UCONN

UNIVERSITY OF CONNECTICUT

Board of

TRUSTEES

VOL. 203 FEBRUARY 26, 2020

MEETING OF THE BOARD OF TRUSTEES
UNIVERSITY OF CONNECTICUT

AGENDA

University of Connecticut
Wilbur Cross Building
North Reading Room
233 Glenbrook Road
Storrs, Connecticut

February 26, 2020

BOARD OF TRUSTEES SCHEDULE

8:45 a.m.	Institutional Advancement Committee Special Meeting (Room 109)
9:00 a.m.	Academic Affairs Committee Meeting (Room 109)
9:30 a.m.	Financial Affairs Committee Meeting (Room 109)
9:45 a.m.	Board of Trustees Meeting (Room 109)
11:30 a.m.	Student Life Committee Meeting (Room 27)

BOARD MEETING AGENDA

Call to order at **9:45 a.m.**

1. Public Participation
2. Chairman's Report
   - (a) Matters outstanding
   - (b) Minutes of the meetings of December 11, 2019 and January 29, 2020
   - (c) Consent Agenda Items:

(1)	Contracts and Agreements for the Storrs-based Programs	(Attachment 1)
(2)	Designation of Emeritus Status	(Attachment 2)
(3)	Appointment of Retired Faculty to Emeritus Status	(Attachment 3)
(4)	Sabbatical Leave Recommendations	(Attachment 4)
(5)	Appointment of Professor Del Siegle to the Lynn and Ray Neag Endowed Chair for Talent Development	(Attachment 5)
(6)	Graduate Certificate in Bridge Engineering	(Attachment 6)
(7)	Graduate Engineering Data Sciences Certificate	(Attachment 7)
(8)	Graduate Certificate in Advanced Materials Characterization	(Attachment 8)
(9)	Faculty Hiring Plan	(Attachment 9)
(10)	Welsh Family Classroom (School of Law Library)	(Attachment 10)

3. President's Report
   - (a) Item requiring Board discussion and approval:

(1)	Honorary Degrees	(Attachment 11)

4. Academic Affairs Committee Report

   (a) Report on Committee activities

   (b) Informational Item:

      (1) Academic Program Inventory (Attachment 12)

5. Financial Affairs Committee Report

   (a) Report on Committee activities

   (b) Items requiring Board discussion and approval:

      (1) Software Upgrade to the PeopleSoft Student Administration System (Attachment 13)

      (2) Project Budget (Revised Final) for South Campus Commons Landscape and Pedestrian Improvements Plan (Attachment 14)

      (3) Project Budget (Revised Final) for Fine Arts Phase II – Renovation and Improvements (Attachment 15)

      (4) Project Budget (Revised Final) for North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III (Attachment 16)

      (5) Project Budget (Final) for Supplemental Utility Plant Project (Attachment 17)

      (6) Project Budget (Final) for Boiler Plant Equipment Replacement and Utility Tunnel Connection (Attachment 18)

      (7) Project Budget (Final) for Residential Life Facilities - North Campus Residence Halls Renovations – Phase 2 (Attachment 19)

      (8) Project Budget (Final) for Residential Life Facilities - Hicks and Grange Student Room and Common Area Renovations (Attachment 20)

      (9) Project Budget (Final) for Main Campus Substation Switchgear Relay Replacement – AET5P-14G SCADA (Attachment 21)

      (10) Project Budget (Final) for UCONN 2000 Code Remediation: Stamford Downtown Relocation (Attachment 22)

      (11) Project Budget (Final) for UConn Health Dermatology Clinic Renovation – C Main (Attachment 23)

      (12) Project Budget (Final) for UConn Health Main Building Lab Area Renovations – 3rd Floor (Attachment 24)

6. UConn Health Report

   (a) Report on UConn Health activities

7. Joint Audit and Compliance Committee Report

   (a) Report on Committee activities

8. Buildings, Grounds and Environment Committee Report

   (a) Report on Committee activities

   (b) Item requiring Board discussion and approval:

      (1) Modification of Utility Easement to CL&P dba Eversource Energy (Attachment 25)

9. Construction Management Oversight Committee Report
   (a) Report on Committee activities
10. Student Life Committee Report
   (a) Report of Committee activities
11. Institutional Advancement Committee Report
   (a) Report on Committee activities
12. Committee on Compensation Report
   (a) Report on Committee activities
13. Committee for Research, Entrepreneurship and Innovation Report
   (a) Report on Committee activities
   (b) Item requiring Board discussion and approval:
      (1) Technology Transfer Plan (Attachment 26)
14. Other business
15. Executive Session anticipated
16. Adjournment

PLEASE NOTE: *If you are an individual with a disability and require accommodations, please call the Board of Trustees Office at (860) 486-2333 prior to the meeting.*

ATTACHMENT 1

CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 26, 2020

PROCUREMENT - NEW

IT CONSULTING

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
1	uWork.com, Inc. dba Covendis	14PSX0338	$2,000,000	03/01/20-02/28/21	Operating Funds	Michael Mundrane, Vice Provost and Chief Information Officer	Consulting support for the PeopleSoft 9.2 upgrade for the Storrs and Regional campuses. This is a State contract. Future extensions may be exercised at the discretion of the State.

REVENUE AGREEMENTS - NEW

TUITION DISCOUNT PROGRAM

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
2	Carrier Corporation	UTC070112-2	N/A	01/01/20-06/30/21	Tuition Funds	John Elliott, Interim Provost and EVP for Academic Affairs	This award is made under the Tuition Discount Policy that provides 5% graduate school tuition to companies that have spent at least $1.0mm in graduate and undergraduate tuition in the prior fiscal year. The Policy was initially applied to the UTC Employee Scholar Program, approved by the Board on 06/28/12. In light of the pending company separation from UTC, this agreement extends the Program to all employees at Carrier Corporation to align with Program at UTC.
3	Otis Elevator Company	UTC070112-3	N/A	01/01/20-06/30/21	Tuition Funds	John Elliott, Interim Provost and EVP for Academic Affairs	This award is made under the Tuition Discount Policy that provides 5% graduate school tuition to companies that have spent at least $1.0mm in graduate and undergraduate tuition in the prior fiscal year. The Policy was initially applied to the UTC Employee Scholar Program, approved by the Board on 06/28/12. In light of the pending company separation from UTC, this agreement extends the Program to all employees at Otis Elevator Company to align with Program at UTC.

PROCUREMENT - AMENDMENTS

CABLE TELEVISION SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
4	Charter Communications	UC-15-LP090613	*$1,100,000; [Contract Value Previously $2,047,777; Total New Contract Value $3,147,777]*	07/01/15-06/30/23	Operational Funds	Michael Mundrane, Vice Provost and Chief Information Officer	$1,837,077	$363,690	$362,379	Cable and satellite television and video services for all University campuses. ***Amend to increase contract value $1,100,000, for total new contract value of $3,147,777. Amend to extend contract term three years, through 06/30/23.*** Zero extensions remain.

COMPUTERS AND PERIPHERALS

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
5	Apple, Inc.	12PSX0280	*$1,154,038 [Contract Value Previously $2,550,638; Total New Contract Value $2,950,638]*	10/02/15-07/31/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$1,646,523	$957,347	$0	Apple desktop and laptop computers, related equipment, peripherals and software. ***Amend to increase contract value $1,154,038, for total new contract value of $3,704,676. Amend to extend contract term sixteen months, through 07/31/21.*** Zero extensions remain. This is a State contract. Future extensions may be exercised at the discretion of the State.

CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 26, 2020

COMPUTERS AND PERIPHERALS (Continued)

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
6	Dell Marketing, LP	UC-MF080913	*$6,000,000; [Contract Value Previously $21,838,000; Total New Contract Value $27,838,000]*	07/01/14-12/31/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$21,182,721	$4,257,720	$5,720,227	Personal computers and other hardware for all campuses. ***Amend to increase contract value $6,000,000, for total new contract value of $27,838,000. Amend to extend term six months, through 12/31/20.*** Zero extensions remain.

COPIER EQUIPMENT AND MAINTENANCE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
7	A&A Office Systems, Inc.	12PSX0026	*$0 [Contract Value Previously $2,302,536; Contract Value Remains the Same]*	08/01/12-12/31/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$2,021,614	$107,826	$219,233	Printers, multi-function devices and related support for all University campuses, excluding UCH. ***Amend to extend contract term one year, through 12/31/20.*** Contract value remains the same. This is a State contract. Future extensions may be exercised at the discretion of the State.

IT HARDWARE AND RELATED SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
8	Presidio Holdings, Inc.	UC-16-SF071116-J	*$3,000,000 [Contract Value Previously $5,000,000; Total New Contract Value $8,000,000]*	05/26/17-05/26/23	Operating Funds	Michael Mundrane, Vice President and Chief Information Officer	$2,365,604	$1,044,677	$137,779	Operating system, network, and security hardware and services for all University campuses. ***Amend to increase contract value $3,000,000, for total new contract value of $8,000,000.*** Contract term remains the same. One extension of three years remains.
9	SHI International, Inc.	SO-85-14	*$850,000 [Contract Value Previously $950,000; Total New Contract Value $1,800,000]*	06/01/14-06/30/20	Operating Funds	Michael Mundrane, Vice Provost and Chief Information Officer	$1,251,832	$269,241	$303,889	Hardware products and related services for Storrs and Regional campuses. ***Amend to increase contract value $850,000, for total new contract value of $1,800,000. Amend to extend contract term six months, through 06/30/20.*** This is a Connecticut State Colleges & Universities (CSCU) contract. Future extensions may be exercised at the discretion of CSCU.

CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 26, 2020

LAB SUPPLIES AND EQUIPMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
10	Life Technologies	UC-13-CGP031612	*$228,000 [Contract Value Previously $2,100,000; Total New Contract Value $2,328,000]*	11/15/13-06/30/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$2,066,733	$462,910	$500,374	Provide lab supplies and equipment for all University campuses, excluding UCH. ***Amend to increase contract value $228,000, for total new contract value of $2,328,000.*** Contract term remains the same. Zero extensions remain.

OFFICE SUPPLIES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
11	Office Depot, Inc.	JP156810	*$250,000 [Contract Value Previously $1,500,000; Total New Contract Value $1,750,000]*	01/01/12-12/31/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$1,349,542	$784,421	$0	Office supplies and delivery for all University campuses. ***Amend to increase contract value $250,000, for total new contract value of $1,750,000.*** Contract term remains the same. This is a National IPA consortia contract. Three extensions of one year each remain. Additional extensions may be exercised at the discretion of the consortia.

TELECOMMUNICATIONS AND NETWORK HARDWARE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
12	Anixter, Inc.	PA R161701/R170501	*$400,000; [Contract Value Previously $1,586,625; Total New Contract Value $1,986,625]*	07/01/18-06/30/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$682,093	$421,717	$0	Telecommunications hardware and supplies for all University campuses. ***Amend to increase contract term $400,000, for total new contract value of $1,986,625. Amend to extend contract term three months, through 06/30/20.*** Sourced through National IPA consortia. Zero extensions remain. Additional extensions may be exercised at the discretion of the consortia.

CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 26, 2020

TRADE LABOR SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
13	Sarazin General Contractors, Inc.	060116JP-1	*$500,000; [Contract Value Previously $3,950,000; Total New Contract Value $4,450,000]*	02/27/17-08/31/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$3,345,066	$1,306,911	$1,068,497	General trade labor services for all University campuses to provide additional support as needed on a project-by-project basis. ***Amend to increase contract value $500,000, for total new contract value of $4,450,000. Amend to extend contract term six months, through 08/31/20.*** Zero extensions remain.

WATER SYSTEMS MANAGEMENT AND OPERATION SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
14	New England Water Utility Services, Inc.	DS072219	*$3,210,000 [Contract Value Previously $990,000; Total New Contract Value $4,200,000]*	12/01/19-11/30/25	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	$0	$0	$0	Complete water systems management, operation, maintenance, development and regulatory compliance for Storrs, Deport and the Agronomy Farm campuses. ***Amend to increase contract value $3,210,000, for total new contract value of $4,200,000. Amend to extend contract term five years, through 12/31/25***. Zero extensions remain.
15	ChemTreat, Inc.	DS091714-1	*$475,000; [Contract Value Previously $1,241,000; Total New Contract Value $1,716,000]*	02/11/15-12/31/20	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	$1,271,880	$465,066	$326,476	Water and chemical treatment services for all University campuses. ***Amend to increase contract value $475,000, for total new contract value of $1,716,000.*** Contract term remains the same. Zero extentions remain.

ATTACHMENT 2

University of Connecticut Department of Human Resources
Emeritus Retirees
February 26, 2020 Board of Trustees Meeting

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	RETIRED	HIRED
Koo, Sung	Professor	Nutritional Sciences	CAHNR	01/01/2020	08/23/2002

ATTACHMENT 3

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Appointment of Retired Faculty to Emeritus Status

RECOMMENDATION:

That the Board of Trustees appoint retired faculty members John Alexopoulos, Lawrence Gramling, Sandra Shumway, and Robert Wyss to emeritus status.

BACKGROUND:

Following recommendations of the Retirement Committee and of President Thomas Katsouleas, the following four retired faculty are presented to the Board of Trustees for appointment to emeritus status.

Professor John Alexopoulos retired on January 1, 2019 from the College of Agriculture, Health and Natural Resources; Department of Plant Science and Landscape Architecture. Professor Alexopoulos was quite integral to the development of the nationally accredited, professional degree (MSLA) program housed within the department and College. For a number of years, Professor Alexopoulos served as the sole instructor for that program and facilitated its successful accreditation in 1998. Such dedication is matched by a commitment to curricular rigor, as evidenced by the program's high national reputation. In addition to these considerable administrative achievements, Professor Alexopoulos was a skilled classroom practitioner who offered numerous courses at the undergraduate level. Such talent was recognized early on via a college-wide alumni award for teaching excellence. Moreover, Professor Alexopolous greatly expanded the department's international reach vis-à-vis his work with the university's Education Abroad program, wherein he led summer programs to Greece in for several years. Professor Alexopoulos's work within and outside the classroom was admirable. He has actively mentored students and taken seriously the professional development of the department's students. In 2011, he was the recipient of the Provost Award for Excellence in Public Engagement ("Program" category). He has maintained an active research profile via community design projects and initiatives (which include 70 professional site planning projects, funded community projects, and applied community research projects). Professor Alexopoulos was hired at a time when the M.S. was the terminal degree in his field. Accordingly, Professor Alexopoulos retired at the associate professor rank. If approved by the Board of Trustees, he would be appointed to the status of "Associate Professor Emeritus."

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Professor Lawrence Gramling retired on September 21, 2018 from the School of Business; Accounting Department. As George A. Plesko (Head, Account Department) summarizes, Professor Gramling—who most recently completed a six-year tenure as the Associate Dean for Undergraduate Programs in the School of Business—has been a leading administrative figure on campus. To wit, Professor Gramling served on the University Senate, Honors Program, Senate Scholastic Standards Committee, and several other ad hoc task forces and committees. Such service was by no means limited to the university, a point made clear in Professor Gramling's election as President of the Connecticut Society of CPAs (CTCPA), which marked the first time an academic served in the position. In addition to service, Professor Gramling, according to Professor Plesko, "has left a lasting impression on [the] department and the thousands of undergraduate students he taught over the years." He has served as a faculty advisor for several School of Business student organizations and has taught every undergraduate course except for Federal Taxation. Such student engagement is emblematized by Professor Plesko's assertion that former students consistent "comment on the impact [Professor Gramling] has had on them whenever Interim Provost John Elliot or I visit with our distinguished alumni." If approved by the Board of Trustees, he would be appointed to the status of "Assistant Professor Emeritus."

Professor Sandra Shumway retired in May, 2019 from the College of Liberal Arts and Sciences; Department of Marine Sciences (Avery Point Campus), having served for 17 years as a research professor. Professor Shumway has authored more than 180 peer reviewed papers and book chapters, edited even book volumes, and has what J. Evan Ward (Department Head and Professor of Marine Sciences) notes is "an impressive scholarly reputation with a google scholar h-index of 60, an i10-index of 161, and a Research Gate score o0f 39.96." With regard to teaching, Dr. Shumway has been a tireless mentor and advocate for undergraduate and graduate students. Such advocacy and support is evident in her university-level service, emblematized by her work with the National Scholarships and Fellowships Committee. Shifting to a national register, Dr. Shumway has served in key editorial positions for foundational field journals and has been the recipient of numerous fellowships, which include being named a Fellow of the American Association for the Advancement of Science. Most recently, she was recognized by the FUCOBI Foundation for Outstanding Contributions by Women in Aquaculture (2019). If approved by the Board of Trustees, she would be appointed to the status of "Research Professor Emeritus."

Professor Robert Wyss retired on September 1, 2018 from the College of Liberal Arts and Sciences; Journalism Department. Professor Wyss joined the Journalism Department in 2002 after working as a reporter and editor for more than thirty years at the *Providence Journal* (in Rhode Island) and the *Daily Olympian* (in Olympia Washington). According to Professor Maureen Croteau (Department Head, Journalism), Professor Wyss was a highly productive faculty member, publishing three books (*Brimfield Rush, The Thrill of Collecting and the Hunt for the Big Score*; *Covering the Environment: How Journalists Work the Green Beat*; and *The Man Who Built the Sierra Club, A Life of David Bower*). These monographs occurred alongside numerous newspaper and magazine articles (which appeared in high-profile venues such as the *New York Times*, the *Christian Science Monitor*, the *Boston Globe*, *Smithsonian*, *Yankee*, *Environment Writer*, *E- The Environmental Magazine*, and the *Hartford Courant*). As evident by

this brief listing, Professor Wyss is an incredibly capacious scholar, whose published work covers a diverse array of topics that include sport, the environment, nature, ecological crises, material culture, and U.S. popular culture. Professor Wyss also contributed greatly with regard to curriculum and teaching, apparent in his highly popular courses in journalism history, copy-editing, news writing, and environmental journalism. Last, but certainly not least, Professor Wyss expanded the department's purview via a successful $500,000 NSF grant award focused on making scientific research more accessible through public-facing scholarship and journalism. If approved by the Board of Trustees, he would be appointed to the status of "Professor Emeritus."

ATTACHMENT 4

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
February 26, 2020 Board of Trustees Meeting

SABBATICAL MODIFICATIONS/POSTPONEMENTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Berthold, Megan	Associate Professor	Social Work	Social Work	Full	Spring 2018
			Change to	Full	Fall 2020
Campbell, David	Professor	Curriculum and Instruction	Education	Full	Spring 2020
			Change to	Full	Spring 2021
Desai, Manisha	Department Head and Professor	Sociology	Liberal Arts and Sciences	Full	Spring 2020
			Change to	Full	Fall 2021
Reilly, Gregory	Director and Associate Professor	Management	Business	Full	Spring 2020
			Change to	Full	Spring 2027

SABBATICAL LEAVE REQUESTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Alexandrescu, Andrei T	Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Half	CY 2020
Berkowitz, Gerald	Professor	Plant Science and Landscape Architecture	Agriculture, Health, and Natural Resources	Full	Fall 2020
Berthelot, Anne	Professor	Literatures, Cultures, and Languages	Liberal Arts and Sciences	Full	Spring 2021
Bloomfield, Paul	Professor	Philosophy	Liberal Arts and Sciences	Full	Spring 2021
Bontly, Thomas D	Associate Professor	Philosophy	Liberal Arts and Sciences	Full	Spring 2021
Boylan, Alexis L.	Director and Associate Professor	Art and Art History	Fine Arts	Full	Spring 2021
Bush, Andrew	Associate Professor	Geosciences	Liberal Arts and Sciences	Full	Spring 2021
Chang, Jason	Director and Associate Professor	History	Liberal Arts and Sciences	Full	Spring 2021

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Chybowski, Michael R	Associate Professor	Dramatic Arts	Fine Arts	Full	Spring 2021
Cole, James L	Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Half	CY 2021
Coundouriotis, Eleni	Professor	English	Liberal Arts and Sciences	Full	Spring 2021
Craemer, Thomas	Associate Professor	Public Policy	Liberal Arts and Sciences	Full	Spring 2021
Demurjian, Steven A	Professor	Computer Science and Engineering	Engineering	Full	Spring 2021
Eby, Clare V	Professor	English	Liberal Arts and Sciences	Full	Spring 2021
Fendrich, Michael	Associate Dean and Professor	Social Work	Social Work	Full	Spring 2021
Han, Song	Assistant Professor	Computer Science and Engineering	Engineering	Half	AY 2020-2021
Hasenfratz, Robert J	Department Head and Professor	English	Liberal Arts and Sciences	Full	Spring 2021
Kearns, Devin	Associate Professor	Educational Psychology	Education	Full	Fall 2020
King'oo, Clare Costley	Associate Professor	English	Liberal Arts and Sciences	Full	Spring 2021
Levin, Leslie C	Professor	Law	Law	Full	Spring 2021
Lynch, Michael P	Professor	Philosophy	Liberal Arts and Sciences	Full	Fall 2020
Mason, Robert	Professor	Marine Sciences	Liberal Arts and Sciences	Full	Spring 2021
Mcelya, Michele P	Professor	History	Liberal Arts and Sciences	Full	Spring 2021
McLean, Willajeanne F	Professor	Law	Law	Full	Spring 2021
Nyholm, Spencer V.	Associate Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Half	CY 2021
Puckett, Andrew	Associate Professor	Physics	Liberal Arts and Sciences	Full	Spring 2021

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Raissian, Kerri M	Associate Professor	Public Policy	Liberal Arts and Sciences	Full	Spring 2021
Ray, Subhash C	Professor	Economics	Liberal Arts and Sciences	Full	Spring 2021
Rossberg, Marcus	Associate Professor	Philosophy	Liberal Arts and Sciences	Full	Spring 2021
Sanetti, Lisa M.H.	Associate Professor	Educational Psychology	Education	Full	Fall 2020
Saugera, Valerie	Associate Professor	Literatures, Cultures, and Languages	Liberal Arts and Sciences	Full	Fall 2020
Schneider, Susan	Associate Professor	Philosophy	Liberal Arts and Sciences	Half	AY 2020-2021
Scruggs, Lyle A	Professor	Political Science	Liberal Arts and Sciences	Full	Spring 2021
Simien, Evelyn M	Professor	Political Science	Liberal Arts and Sciences	Full	Spring 2021
Simon, Christine M	Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full	Spring 2021
Sosis, Richard H	Professor	Anthropology	Liberal Arts and Sciences	Full	Spring 2021
Teschke, Carolyn M	Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Half	CY 2021
Wagner, David L	Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full	Fall 2020
Walsh, Stephen J.	Associate Professor	Nursing	Nursing	Full	Fall 2020
Wang, Bing	Professor	Computer Science and Engineering	Computer Science and Engineering	Full	Fall 2020
Werkmeister Rozas, Lisa	Director and Assoc. Professor	Social Work	Social Work	Full	Spring 2021

ATTACHMENT 5

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Appointment of Professor Del Siegle to the Lynn and Ray Neag Endowed Chair for Talent Development

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Del Siegle to the Lynn and Ray Neag Endowed Chair for Talent Development, effective August 23, 2020.

BACKGROUND:

The Lynn and Ray Neag Endowed Chair for Talent Development was established through a gift in 1996 to support the creation of the Center for Talent Development, which has been renamed the Renzulli Center for Creativity, Gifted Education, and Talent Development, and the endowed chair, who serves as the Center's director.

Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Gladis Kersaint is nominating Professor Siegle based on his distinguished and sustained record of achievement. Del Siegle is a Professor in the Department of Educational Psychology and is nationally recognized expert in the area of gifted student achievement. Dr. Siegle is a distinguished scholar, as indicated by the quantity and quality of his published work, the journals and books that his work has appeared in and the impact his work has had on the field of Gifted Education and specifically on the identification policies and procedures on many under-represented students who demonstrate their gifts and talents in our schools today, a component of the "achievement gap" in American Schools. He has also received significant funding to support his work. He is the director of the National Center for Research on Gifted Education, the only national center for gifted education funded by the federal government. He was also recognized as the *2018 Distinguished Scholar in Gifted Education* by the National Association of Gifted Children (NAGC), the leading association for the field of Gifted and Talented. Dr. Siegle is an exception teacher, mentor, and advisor, as one would expect of someone who has been awarded a UConn Teaching Fellow medal. He is also committed to excellence in service – at all levels, from local to international. He has held multiple leadership positions with NAGC, served as a journal editor, and have taken on leadership roles at UConn. He served as the Educational Psychology Department Head for six years, and most recently served as the Associate Dean for Research and Faculty Affairs for the Neag School of Education. Overall he is a valued member of the UConn community and his contributions have been outstanding.

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ATTACHMENT 6

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Provost and Executive Vice President for Academic Affairs

RE: Graduate Certificate in Bridge Engineering

RECOMMENDATION:

That the Board of Trustees approve a new Graduate Certificate in Bridge Engineering.

BACKGROUND:

The condition of highway infrastructure in the United States has been deteriorating for years. Bridges are some of the most critical links in our transportation network and many require substantial repairs or replacement. As the nation is tasked with maintaining and replacing bridges in the coming decades, a trained workforce with competency in bridge design and evaluation is required.

Currently, most students that graduate with a bachelor's degree in civil engineering do not have a background in bridge design. Furthermore, while there are many masters programs for structural engineering, very few specialize in bridge engineering. Students may also be deterred from a traditional master's program due to the general required courses, cost, or time commitment. There is a critical need to fill this gap in education by providing specific courses that are relevant to practicing bridge engineers, and a formal means to recognize the completion of such courses. The proposed certificate program was developed based on input from practicing engineers on the applied knowledge they would like their employees to have. As there are very few programs of this sort, it is necessary to provide this option for students both in Connecticut and nationwide.

This program will be entirely online and offered in the Department of Civil and Environmental Engineering within the School of Engineering. It is anticipated that once the program is established 20 students each year will complete the certificate.

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Request for New UConn Academic Degree Program

General Information

Name of degree program:	Graduate Certificate in Bridge Engineering
Name of sponsoring Department:	Civil and Environmental Engineering
Name of sponsoring College:	School of Engineering
Campuses:	Program Entirely Online
Contact persons:	Kylene Perras
Type of Proposal:	New
Type of Program:	Graduate Certificate
Anticipated Initiation Date:	Fall 2020
Anticipated Date of First Graduation:	Dec 2021
Entrepreneurial program, approved by Provost's Office:	Yes
Tuition for the program approved by Provost's Office:	Fee-based
CIP Code:	15.0201 (Civil Engineering Technologies/ Technicians)

Justification for the New Program

The condition of highway infrastructure in the United States has been deteriorating for years. Bridges are some of the most critical links in our transportation network and many require substantial repairs or replacement. As the nation is tasked with maintaining and replacing bridges in the coming decades, a trained workforce with competency in bridge design and evaluation is required.

Currently, most students that graduate with a bachelor's degree in civil engineering do not have a background in bridge design. Furthermore, while there are many masters programs for structural engineering, very few specialize in bridge engineering. Students may also be deterred from a traditional master's program due to the general required courses, cost, or time commitment. There is a critical need to fill this gap in education by providing specific courses that are relevant to practicing bridge engineers, and a formal means to recognize the completion of such courses. The proposed certificate program was developed based on input from practicing engineers on the applied knowledge they would like their employees to have. As there are very few programs of this sort, it is necessary to provide this option for students both in Connecticut and nationwide.

Are there similar programs in CT or elsewhere?

There are no similar programs in CT. The University of Buffalo offers a certificate in Bridge Engineering.

What are the desired learning outcomes of the program?

- At the conclusion of the program students will:
- Gain a well-rounded understanding of the fundamentals of bridge engineering
- Learn how to apply the technologies and methodologies for Accelerated Bridge Construction to typical bridges
- Understand the importance, need for and processes for load rating of bridges
- Learn how to design bridges for the various extreme events experienced

Program Description

Our aging infrastructure includes hundreds of thousands of bridges. Many of these bridges were built during the 1950s and 1960s. They are fast reaching the end of their service life, which represents a large wave of future engineering challenges. Many studies have indicated a growing need for bridge engineers to rise to this challenge. The Certificate in Bridge Engineering provides students with a background in the fundamentals of bridge structures. This program is focused on practicing engineers and covers content not commonly included in structural engineering graduate programs. This four-course program will train the engineering workforce on the design, construction, and evaluation of bridge structures. This will include courses on bridge design, accelerated bridge construction, designing bridges for extreme events, and load rating bridges. Certificate holders will be well qualified for bridge engineering positions with state departments of transportation or private industry.

Proposed Graduate Catalogue Copy

The Civil and Environmental Engineering Department offers a 12-credit certificate program to train engineers on the design, construction and evaluation of bridge structures. The certificate program builds competency in bridge design, accelerated bridge construction, design related to extreme events, and bridge load ratings.

Required Courses: CE 5380, CE 5384, CE 5383 and CE 5382.

The certificate is offered by the School of Engineering.

Faculty Involvement

Dr. Arash E. Zaghi, Dr. Alexandra Hain, Mr. Michael Culmo, Dr. Masoud Mehrraoufi

Enrollment and graduate projections

Initially 10 students are anticipated to enter the program with a date of completion of December 2021. Moving forward it is anticipated that 20 students will be granted a certificate each year.

Program Evaluation
Overall enrollment, the performance of students in the course, surveys to receive student feedback, as well as information provided by these students that are working professionals about their employment will be used to continually assess the needs and value proposition for each student. Program administrators and directors will review all of these items to make ongoing assessments about the certificate and to discuss options for future improvements.

Program Administration
The program will be overseen collectively by the Civil Engineering Department and the School of Engineering's Professional Education (PE) program.

Funding and Financial Resources Needed
The students enrolled in the courses will be sponsored by their employees or will self-pay. No additional financial resources are needed for the program.

Internal and external applicants can apply to this program.

Anticipated term and year of first enrollment
Spring 2020

Admission Requirements
Typical applicant will have the following qualifications:

Baccalaureate (B.S.) degree from an accredited institution in an approved discipline
If your baccalaureate degree is not within engineering, please contact the PE office for further assessment

Cumulative GPA of 3.0 or better for the entire undergraduate record or for the last two years
Four semesters of Calculus

Applicants must also satisfy all the Graduate School admission requirements. The Advanced Engineering Certificate programs do NOT require GRE for admission, however students have the option to send scores if they have taken the examination.

Required for application:

- Personal Statement
- One Letter of Recommendation
- Research Statement

Term(s) to which students will be admitted

- Fall
- Spring

Rolling application deadline.

Initiator

Kylene Perras, kylene.perras@uconn.edu, 860-486-0870

Program Director Name

Professor Maria Chrysochoou, maria.chrysochoou@uconn.edu, 860-486-3594

Administrative Contact Email

Kacey Pilver, kacey.pliver@uconn.edu, 860-486-3429

ATTACHMENT 7

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Provost and Executive Vice President for Academic Affairs

RE: Graduate Engineering Data Sciences Certificate

RECOMMENDATION:

That the Board of Trustees approve a new Graduate Engineering Data Sciences Certificate.

BACKGROUND:

Data Sciences is a fast growing focus area amongst extensive numbers of the School of Engineering industry partners. Engineering companies are increasing reliance on data sciences to drive strategic engineering technical decisions. This certificate is designed to provide functional literacy in critical data sciences engineering technical analytics.

This program will train students in the design of advanced techniques to analyze different kinds of engineering data. They will also be trained in the art of visualizing data and communicating technical ideas through data visualization. In addition, the students will be exposed to various Data Mining, Artificial Intelligence, and Machine Learning algorithms.

The certificate will be offered by the Department of Computer Science and Engineering within the School of Engineering. It is anticipated that 15-20 students will be enrolled each semester, with expected growth quite quickly.

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Request for New UConn Academic Degree Program

General Information

Name of degree program:	Graduate Engineering Data Sciences Certificate
Name of sponsoring Department:	Computer Science and Engineering
Name of sponsoring College:	School of Engineering
Campuses:	Program Entirely Online
Contact persons:	Kylene Perras
Type of Proposal:	New
Type of Program:	Graduate Certificate
Anticipated Initiation Date:	Fall 2020
Anticipated Date of First Graduation:	Spring 2021
Entrepreneurial program, approved by Provost's Office:	Yes
Tuition for the program approved by Provost's Office:	Fee-based
CIP Code:	30.7099 (Data Science, Other)

Justification for the New Program

Data Sciences is a fast growing focus area amongst extensive numbers of the School of Engineering industry partners. Engineering companies are increasing reliance on data sciences to drive strategic engineering technical decisions. This certificate is designed to provide functional literacy in critical data sciences engineering technical analytics.

Are there similar programs in CT or elsewhere?

There is a strong demand from CT companies that is not being fulfilled (Pratt & Whitney, Eversource, Langan Engineering, Medtronic, EDAC Technologies, Pfizer, and more).

Data Science certificate programs are available in many universities in the nation. We show below the descriptions of data science certificates offered by Northeastern University, Columbia University, and UC Berkeley (as taken from their websites).

Northeastern university: The Graduate Certificate in Data Analytics provides foundational knowledge in data analytics, including data management, machine learning, data mining, statistics, and visualizing and communicating data. The program is designed to provide students with foundational knowledge in "big data," data analytics, including data management, machine learning, data mining, statistics, and visualizing and communicating data that can be applied to data-driven decision making in any discipline.

Columbia University: The Certification of Professional Achievement in Data Sciences prepares students to expand their career prospects or change career paths by developing foundational data science skills. Individuals looking to strengthen their career prospects or make a career change by developing in-depth expertise in data science would benefit from this program.

UC Berkeley: Data is everywhere—from e-commerce sales, app downloads to a smartphone, to supply chain management or bioinformatics or connected devices. And that massive increase in the amount and variety of data being collected is translating to an exponential growth in the computer power needed to process that data. In addition, there continues to be an incredible need for data scientists to make sense of the numbers and uncover hidden solutions to messy business problems. With the Certificate Program in Data Science, you gain the skills to perform advanced data wrangling, data mining, statistical modeling and machine learning on data sets that may be very large and complex.

As can be seen from the above descriptions, all of these programs are very generic and offer classes to teach generic data analytics techniques. Any data analytic technique can be optimized if domain knowledge about the data can be utilized. For instance, analytic techniques suitable for biological data may not perform well on business data. There is a crucial need for a certificate program that teaches data science methods specific to engineering data. Given that existing programs cater to a general audience, they are not able to offer skill sets needed to analyze engineering data exclusively. This is where the data science programs we offer are unique.

What are the desired learning outcomes of the program?

- Ability to formulate and analyze engineering data science problems.
- Ability to conduct experimental engineering work related to big data.
- Ability to apply data mining and machine learning methods to solve various data science problems that are engineering challenges.

Program Description

This program will train students in the design of advanced techniques to analyze different kinds of engineering data. They will also be trained in the art of visualizing data and communicating technical ideas through data visualization. In addition, the students will be exposed to various Data Mining, Artificial Intelligence, and Machine Learning algorithms.

Proposed Graduate Catalogue Copy

The Computer Science & Engineering Department offers a 12-credit certificate program to train engineers on the design of advanced techniques to analyze different kinds of engineering data. The certificate program will build competency in the art of visualizing data and communicating technical ideas through data visualization, as well as competency in data mining, artificial intelligence and machine learning algorithms.

Required Courses: CSE 5717, CSE 5820, CSE 5520 and CSE 5713.

The certificate is offered by the School of Engineering.

Faculty Involvement
Sanguthevar Rajasekaran, Wei Wei, Derek Aguiar, Jinbo Bi, Caiwen Ding, Qian Yang, Dong-Guk Shin, Sean Hong

Enrollment and graduate projections
15-20 students each semester, with expected growth quite quickly.

Program Evaluation
Overall enrollment, performance of students in the course, surveys to students to receive their feedback, as well as gathering information from these students that are working professionals about their employment to help us continue to assess need and value proposition for each student. Program administrators and directors will review all of these items to make ongoing assessments about the certificate to discuss options for future improvements. Feedback from relevant employers and the External Advisory Board will also be sought and utilized in the evaluation process.

Program Administration
The program will be led by the Computer Science & Engineering Department, with additional administration and support by the Professional Education team in the School of Engineering.

Funding and Financial Resources Needed
None.

Internal and external applicants can apply to this program.

Anticipated term and year of first enrollment
Fall 2020

Admission Requirements
Bachelor's degree in engineering or closely related STEM field, cumulative GPA of 3.0 or better, four semesters of calculus.

Required for application:

- Personal Statement
- One Letter of Recommendation

- Resume

Term(s) to which students will be admitted

- Fall
- Spring

Rolling application deadline.

Initiator

Kylene Perras, kylene.perras@uconn.edu, 860-486-0870

Program Director Name

Professor Sanguthevar Rajasekaran, sanguthevar.rajasekaran@uconn.edu, 860-486-2428

Administrative Contact Email

Kacey Pilver, kacey.pliver@uconn.edu, 860-486-3429

ATTACHMENT 8

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Provost and Executive Vice President for Academic Affairs

RE: Graduate Certificate in Advanced Materials Characterization

RECOMMENDATION:

That the Board of Trustees approve a new Graduate Certificate in Advanced Materials Characterization.

BACKGROUND:

The justification for the Certificate Program in Advanced Materials involves the integration of all four courses and the knowledge that can be gained and used in the characterization of materials systems with multiple techniques. Real problems almost always require multiple methods of analysis. The outcome of the Certificate Program will be graduates that have the ability to decide what methods are needed to characterize a material, how to analyze data, and from laboratory methods understand basics of sample preparation, loading samples in different instruments, and basic operations. Those students completing the full certificate program will be able to use these credits in pursuing a Master of Engineering degree.

The certificate program has been developed as a collaboration between the Institute of Materials Science, the Department of Chemistry, and Materials Science and Engineering. It is anticipated that 20 students will enroll and graduate from the certificate program each year.

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Request for New UConn Academic Degree Program

General Information

Name of degree program:	Graduate Certificate in Advanced Materials Characterization
Name of sponsoring Department:	Institute of Materials Science / Chemistry / Materials Science and Engineering
Name of sponsoring College:	School of Engineering / College of Liberal Arts and Sciences
Campuses:	Program Entirely Online
Contact persons:	Steven Suib
Type of Proposal:	New
Type of Program:	Graduate Certificate
Anticipated Initiation Date:	Fall 2020
Anticipated Date of First Graduation:	Spring 2021
Entrepreneurial program, approved by Provost's Office:	Yes
Tuition for the program approved by Provost's Office:	Fee-based
CIP Code:	40.1099 (Materials Science, Other)

Justification for the New Program

The justification for the Certificate Program in Advanced Materials involves the integration of all four courses and the knowledge that can be gained and used in the characterization of materials systems with multiple techniques. Real problems almost always require multiple methods of analysis. The outcome of the Certificate Program will be graduates that have the ability to decide what methods are needed to characterize a material, how to analyze data, and from laboratory methods understand basics of sample preparation, loading samples in different instruments, and basic operations. Those students completing the full certificate program will be able to use these credits in pursuing a Master of Engineering degree.

Are there similar programs in CT or elsewhere?

No.

What are the desired learning outcomes of the program?

A person trained in the Graduate Certificate in Advanced Materials Characterization will understand how various methods of analysis for materials complement each other. No one method often solves a problem. What are the best methods to use, which methods are destructive, which are not, how are data analyzed, how are samples prepared – these and related questions will be addressed.

Program Description

The targeted audience would be scientists and engineers either in industry or in academia. The structure of the program would involve both lab experiments and lectures. Ideally, students would have at least an undergraduate degree in science or engineering. Prospective students would be from many different backgrounds. Instructors would be Ph.D. scientists, engineers, and qualified UCONN staff members from IMS, SoE, CLAS, as well as some industrial participants.

Proposed Graduate Catalogue Copy

The Institute of Materials Science (IMS) offers a 12-credit certificate program to train engineers in the characterization of advanced materials that are crucial to creativity, innovation and product analysis and quality control in the globally competitive economy. The certificate program builds competency in the analysis of advanced materials systems related to understanding compositions and physical properties of materials, data analysis, sample preparation methods, and basic operation of spectroscopy, chromatography, and microscopy equipment. The program aims to teach scientists and engineers analysis, decision-making, optimization, verification and validation of materials systems.

Required Courses: IMS 5301, Microscopy; IMS 5302, Structural Analysis; IMS 5303 Compositional Analyses; IMS 5304, Surface and Interfacial Analysis.

The certificate is offered by IMS, the College of Liberal arts and Sciences, and the School of Engineering.

Faculty Involvement

Chemistry - Drs. Steven Suib, Jie He, Jim Rusling. Edward Neth.
IMS - Roger Ristau, Capri Price, Nicholas Eddy, Daniela Morales
Materials Science and Engineering - Drs. Mark Aindow, Pamir Alpay, Rainer Hebert
United Technologies - Drs, Iuliana Cernatescu, Elizabeth Miller - both from Pratt and Whitney.

The current plan is to have the following individuals teach the four courses:

- IMS 5301 - Microscopy - Roger Ristau, Mark Aindow
- IMS 5302 - Structural Analysis - Edward Neth, Iuliana Cernatescu
- IMS 5303 - Compositional Analyses - Capri Price
- IMS 5304 -Surface and Interfacial Analysis, Steven L. Suib; Beth Miller

Enrollment and graduate projections

We estimate that 20 students will enroll and graduate from this program each year.

Program Evaluation
There will be student evaluations as well as evaluations by an Oversight Committee of the Certificate Program. The Oversight Committee will have one member from IMS, one from CLAS, and one from SoE. Metrics for success will involve numbers of continuing enrolled students and potential growth of the program.

Program Administration
The program will be administered through the Materials Science Program in the Institute of Materials Science (IMS). Advising will be done by the administrative assistant in IMS who advises graduate students, currently Osker Dahabsu. Oversight of the program will be by the Dean of the Graduate School and the Provost. Note that this Certificate Program is part of an MOU with Pratt and Whitney (PW) and UCONN signed by the OVPR and Provost. While PW is specifically named here, we expect enrollment from several other major companies as well as graduate students at UCONN. Programmatic changes would be decided by the Director and Associate Director of IMS in conjunction with input from all avenues (Deans, Provost, OVPR, Heads, etc.).

Funding and Financial Resources Needed
At this stage we do not anticipate a need for additional funding. All costs, the overall structure of the program, time requirements of staff, use of instrumentation, and supplies for lab experiments in time will be provided by IMS through the fee base course structure.

Other Resource Needs
Generally there will be use of instrumentation in IMS and for instrumentation in IPB that is run by IMS.

Consultation with other potentially affected units
There has been consultation with OVPR, SoE, CLAS, the Graduate School, and the Office of the Provost.

Who can apply to this program?
Internal applicants (current UConn students enrolled in another UConn degree or certificate program)
External applicants (individuals who are not currently UConn students)

Anticipated term and year of first enrollment
Fall 2020

Admission Requirements
Requirements include a background in science or engineering, preferably a bachelor's degree.

Required for application:

- Personal statement
- 1 letter of recommendation

Term(s) to which students will be admitted

- Fall
- Spring

Application deadline: Rolling

Initiator

Steven L. Suib, Director of IMS, steven.suib@uconn.edu, 860-486-4623

Program Director Name

Steven L. Suib, Director of IMS, steven.suib@uconn.edu, 860-486-4623

Administrative Contact Email

Steven L. Suib, Director of IMS, steven.suib@uconn.edu, 860-486-4623

ATTACHMENT 9

UCONN
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Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, PhD.
Interim Provost and Executive Vice President for Academic Affairs

RE: Faculty Hiring Plan

RECOMMENDATION:

That the Board of Trustees approve the attached plan for the recruitment and hiring of research faculty in response to Public Act No. 19-154.

BACKGROUND:

In 2019, the Connecticut General Assembly passed Public Act No. 19-154. This states that, "Not later than April 1, 2020, and biennially thereafter, [the Board of Trustees of the University of Connecticut] shall develop a plan for the recruitment and hiring of research faculty, including those whose research is focused on societal needs or can be commercialized. Such plan shall outline the operating and capital costs associated with the plan and include recruitment and hiring goals."

The attached Faculty Hiring Plan is submitted to the Board to meet the requirements of Public Act No. 19-154.

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FACULTY + RESEARCH = JOBS

University of Connecticut Faculty Hiring Plan in Response to Public Act 19-154
Summary

Given the financial challenges UConn and the state are facing, the University's FY21 budgetary priorities are:

- Appropriations - Maintain the FY21 appropriations to UConn and UConn Health as approved in the biennial budget;
- Bonding - Allow our planned and approved capital projects to move forward with no deferrals or cuts to the UConn 2000 Capital Program; and to secure bond funding for critical deferred maintenance projects at UConn Health; and
- Fringe Benefit Costs - Address the unsustainable legacy costs currently charged to the University by the state, which impact our students, their families, and research and clinical competitiveness.

The University's proposed faculty hiring plan consists of three main strategies that are synergistic and focused on encouraging collaboration across the university and key industrial sectors while investing in the translation and dissemination of research to help solve complex societal problems, improve the lives of the people of Connecticut, and create economic growth.

1. **Target of opportunity (TOPS) hires:**
    - Outstanding researchers of international stature
    - Leaders in their field, but still in the most productive stages of their careers
2. **Cluster hires:**
    - Hire faculty with related, interdisciplinary interests that support University priorities
    - Linked to addressing complex societal problems and/or translational research areas through convergence research
3. **Innovation hires:**
    - Individual faculty with excellence in translational research (e.g., community-engaged scholarship, significant entrepreneurial efforts, or exceptional applied research)
    - Innovation hire searches will include a wide pool, including those from non-traditional, non-academic career trajectories (e.g., private industry, community organizations)

To support this hiring plan for 51 new faculty, additional resources are required from the State. The budget table on the next page shows that this plan includes:

- $13 million for 11 new research faculty and start-up costs in FY21,
- $29 million for 20 new faculty/start-up costs in FY22, and
- $35 million for 20 more new faculty/start-up costs in FY23.

The total cost of this faculty hiring plan is $109 million over a five year period. If UConn's legislative priorities are met in this upcoming legislative session, i.e. FY21 appropriation levels are maintained and capital projects are able to move forward with no deferrals or cuts, UConn will be able to begin executing this plan. If additional resources are provided to relieve the state's unfunded legacy costs charged to UConn, and/or to assist with execution of this faculty hiring plan, UConn could accomplish the goals of this plan more quickly.

With regard to UConn Health, because the costs imposed on it to cover the state's unfunded liabilities (estimated at $53.8 million in FY21) are causing deficit budgets, it is essential that we first meet the above-listed priorities before any additional investments are considered to implement this plan. Specifically, FY21 appropriations must be maintained, critical deferred maintenance funding must be secured, and the unsustainable legacy costs currently charged to UConn Health must be addressed before funding for new initiatives can be considered.

Budget for Faculty Hiring Plan

(Dollars, $)	FY21	FY22	FY23	FY24	FY25
UConn Faculty Hires					
Salary and fringe benefits	2,981,200	6,759,436	11,009,501	11,339,786	11,679,980
Start-up, lab renovation, equipment	10,400,000	15,350,000	15,350,000	0	0
Totals for UConn faculty hires	**13,381,200**	**22,109,436**	**26,359,501**	**11,339,786**	**11,679,980**
UConn Health Faculty Hires					
Salary and fringe benefits	0	1,696,080	3,826,965	3,941,774	4,060,027
Start-up, lab renovation, equipment	0	5,250,000	5,250,000	0	0
Totals for UConn Health faculty hires	**0**	**6,946,080**	**9,076,965**	**3,941,774**	**4,060,027**
Totals for University faculty hires (PA 19-154)	**13,381,200**	**29,055,516**	**35,436,466**	**15,281,560**	**15,740,007**

In order for UConn's hiring plan to have a strong economic impact, it is critical that the state's high legacy fringe benefit costs be addressed. The table below shows the University's projected costs of the state's unfunded legacy costs –the unfunded pension and health liabilities component of fringe costs—over the time period budgeted. These costs are simply unsustainable, and if nothing is done about them, they will negatively affect everything we do, because these costs will encumber more of our relatively flat budgets, buy nothing in return, and produce less education and research.

*UConn's projected costs for unfunded liabilities and how they are allocated**

Costs of unfunded liabilities (millions)	FY 21	FY 22	FY 23	FY 24	FY 25
UConn					
Tuition, fees, other	24.1	26.9	30.0	33.5	37.3
Research	6.9	7.4	8.0	8.6	9.3
Total UConn cost of unfunded liabilities	31.0	34.3	38.0	42.1	46.6
UConn Health					
Clinical	29.8	33.0	36.6	40.5	44.9
Tuition from Schools of Medicine, Dental Medicine	15.9	16.9	17.9	18.9	20.1
Research	8.1	8.4	8.7	9.1	9.4
Total UConn Health cost of unfunded liabilities	53.8	58.2	63.0	68.2	73.9
Total projected costs of unfunded liabilities	**84.8**	**92.5**	**101.0**	**110.2**	**120.3**

* *We used the actual growth rates in unfunded liability costs from FY19 to FY20 to make projections. Any changes to the state appropriation and actual fringe benefit rates in the out years will change these projections.*

The most upsetting part of the unfunded legacy costs is that our students will cover $40 million of these costs by students in FY21 ($24.1 million at UConn plus $15.9 million at UConn Health), which will grow to $57.4 million by FY25. **Thus, the unfunded legacy costs covered by students will be over $750 per student in FY21 and over $1,100 per student in FY25. These payments do not contribute to student education whatsoever.**

FACULTY + RESEARCH = JOBS

University of Connecticut Faculty Hiring Plan
in Response to Public Act 19-154

Preamble

The University of Connecticut submits this report in response to Public Act 19-154, which requires the University to develop a plan for technology transfer and entrepreneurship, and include the faculty hiring plan. The cost estimate of this faculty hiring plan, as required by the Act, is included in Table 3.

Given the financial challenges UConn and the state are facing, we would like to provide some context of how this plan—which requires significant new funding to be implemented—fits into the University's FY21 budgetary priorities, which are to:

- Appropriations - Maintain the FY21 appropriations to UConn and UConn Health as approved in the biennial budget;
- Bonding - Allow our planned and approved capital projects to move forward with no deferrals or cuts to the UConn 2000 Capital Program, and to secure bond funding for critical deferred maintenance projects at UConn Health; and
- Fringe Benefit Costs - Address the unsustainable legacy costs currently charged to the University by the state, which impact our students, their families, and research and clinical competitiveness.

With the assumption that support for the above priorities are met, the University will begin to move forward on this plan through reprioritization and new revenue generation (including revenue generating master's degree programs and philanthropy). The full realization of this plan and the timeframe for achieving it will of course be aided by new investment in it.

With regard to UConn Health, because the costs imposed on it to cover the state's unfunded liabilities (estimated at $53.8 million in FY21) are causing deficit budgets, it is essential that we first meet the above-listed priorities before any additional investments are considered to implement this plan.

Executive Summary

State investments have been instrumental in the dramatic growth of the University of Connecticut (UConn) and are largely responsible for UConn's meteoric rise to its place among the top 25 public universities in the nation as evidenced by the U.S. News & World Report rankings.

Today the University offers a broad range of academic choices, and students learn from outstanding faculty who are widely recognized for their cutting-edge research and expertise. More than 39,000 students applied to UConn last year for 6,000 spots and the University welcomed its most diverse freshman class ever, including 176 valedictorians and salutatorians. With an average SAT of 1296, more than 50% of freshman were in the top 10%

of their high school class. The University is proud that nearly 70% of our in-state graduates and 26% of our out-of-state students stay in Connecticut after graduation, where they go on to live and work. In total, 138,000 UConn alumni live in Connecticut, including graduates from the Colleges of Liberal Arts and Sciences; and Agriculture, Health and Natural Resources; as well as the Schools of Education, Engineering, Business, Nursing, Law, Medicine, and Pharmacy. With average salaries of over $51,000 two years after graduation, UConn graduates are paying taxes and contributing to their local communities.

These incredible successes are a direct result of a series of landmark state infrastructure investments including UConn 2000, 21st Century UConn, Bioscience Connecticut, and Next Generation Connecticut. These comprehensive building and renovation programs that began in 1995 have transformed UConn's campuses and UConn Health, and made the University a top choice for students from Connecticut and around the world. The last of these, Next Generation Connecticut, continues today and is scheduled to be completed in 2027.

While UConn has made extraordinary progress, the University is committed to doing even more to expand and grow Connecticut's economy through research, discovery, and innovation. President Thomas Katsouleas's bold vision for the University aligns closely with the goals of PA 19-154, providing students with life transformative experiences, including options such as conducting research or starting their own companies, and contributing to our state's economy through commercialization, technology transfer, workforce development and other means.

The path to a more robust UConn and a brighter economic future for our state can be found by looking at the interrelationships between industry and research and development in the major regional economies of Boston, North Carolina Research Triangle, and San Francisco Bay Area. These regional economies thrive in part due to the presence of public and private research universities that have developed human capital for an increasingly modern workforce and sparked innovation through research for decades. The remarkably simple formula is FACULTY + RESEARCH = JOBS, one that we need to expand greatly here in Connecticut for long-term, sustained economic growth. The good news is we have strong evidence this formula works.

President Katsouleas's research vision will supercharge the University's impact on the state's economy. National benchmarking reveals that UConn's current faculty is research productive, but our faculty numbers are substantially smaller compared to our peers, so a focused faculty hiring plan is essential. In fact, National Science Foundation (NSF) data indicate that the smallest top 20 research institutions that average just 293 more faculty than UConn are able to generate $515 million more on average in federal research funding (see Table 2).

Not moving forward with a faculty hiring plan could result in UConn and our state being left behind as other public universities such as the University of Virginia, Purdue University, and Rutgers University implement hiring plans that "poach" faculty from competing institutions. This report illustrates that UConn has lost productive research faculty to top universities, and losing this competition also comes with significant lost grant revenues.

The University's proposed faculty hiring plan consists of three main strategies that are synergistic and focused on encouraging collaboration across the university and key industrial sectors while investing in the translation and dissemination of research to help solve complex societal problems, improve the lives of the people of Connecticut, and create economic growth.

1. **Target of opportunity (TOPS) hires:**
    - Outstanding researchers of international stature
    - Will hold substantial external research awards
    - Leaders in their field, but still in the most productive stages of their careers
    - Significant resources (e.g., facilities, equipment, ability to hire support faculty & staff) required to attract these individuals
2. **Cluster hires:**
    - Hire faculty with related, interdisciplinary interests that support University priorities
    - Linked to addressing complex societal problems and/or translational research areas through convergence research
    - Faculty appointments will have tenure homes in different disciplinary areas within departments, schools, and colleges, but interdisciplinary hiring committees will work to attract the right candidates
    - Cluster creation must follow strategic priorities with appropriate research development support, including space and instrumentation
3. **Innovation hires:**
    - Individual faculty with excellence in translational research (e.g., community-engaged scholarship, significant entrepreneurial efforts, or exceptional applied research)
    - Innovation hire searches will include a wide pool, including those from non-traditional, non-academic career trajectories (e.g., private industry, community organizations)
    - Research centers and institutes will play a key role in making team science and collaborative research systematic throughout the institution
    - Centers and institutes may catalyze more industry-directed, industry-supported research taking place on campus
    - Should be an agile way of hiring research-active faculty in interdisciplinary areas

To support the hiring strategy above, additional resources will be required. The costs associated with such a plan include those for salaries, fringe benefits, and start-up costs. To recruit eminent scientists, the University must not only pay salaries competitive with the best universities in the nation, but provide start-up resources to build new laboratories, purchase sophisticated scientific instruments, and possibly support an entire team (e.g., affiliated researchers, research assistants, and laboratory technicians).

Additionally, in order for the University's faculty hiring plan to be successful, the state's high fringe benefit rate must be addressed. Fringe benefit rates are determined by the State Comptroller and charged to the University. Because they include unfunded pension and healthcare liability costs that are spread across fewer workers, these state mandated legacy costs have been increasing at alarming and unsustainable rates. As a result, UConn's fringe rates charged to research grants are outliers among peer institutions, and this impacts our research competitiveness negatively in three ways. First, grant reviewers are reluctant to fund research at such high costs when less costly alternatives are available. Second, they affect UConn's ability to retain existing researchers, because they relocate to where fringe rates are lower and their grant dollars go further. Third, they deter highly productive scholars from accepting offers to come to UConn, because their grants are less likely to be funded, and if funded, will produce less research. If the State is interested in generating additional economic development through research, then removing the burden of unfunded legacy pension and health liability costs charged to research grants is critical.

Introduction

Public Act 19-154 was passed by the Connecticut General Assembly and signed into law by the Governor on June 28, 2019. It requires UConn "to undertake initiatives emphasizing entrepreneurship to assist in the economic development of the state and educating students to meet the state's present and projected future workforce needs." Specifically, it directs the university to "...develop a plan for the recruitment and hiring of research faculty, including those whose research is focused on societal needs or can be commercialized." A cornerstone of this legislation requires the University to develop a program to recruit eminent faculty and their research staff to support development in key sectors of the state's economy to accelerate the pace of applied research and development. This mandate comes on the heels of several state-funded initiatives with congruent goals, including the Tech Park/Innovation Partnership Building, BioScience Connecticut, and the 10-year NextGen CT legislation. Leveraging these bold initiatives with an aggressive strategic hiring plan coupled with industry-friendly IP/Tech Transfer policies will yield significant benefits for the state's economy by expanding its research and development (R&D) base and providing opportunities for our talented graduates.

This mandate naturally aligns with President Thomas Katsouleas' vision for UConn. Under his leadership, the university is embarking on an ambitious strategic plan that includes extending life-transformative learning opportunities to all students, including entrepreneurial, internship, and independent research experiences; and strengthening our state's economic growth through research, innovation, entrepreneurism, and workforce development. This requires recruiting and hiring research faculty, including those whose research is focused on societal needs or can be commercialized.

PA 19-154 goals also align with UConn's recent grant proposals and initiatives. For example, we have made a proposal to the Connecticut Biosciences Innovation Fund (CBIF) for $10 million to hire new entrepreneurial faculty in biosciences. Moreover, the University will buy down fringe rates for researchers over a three year period to help them be more competitive for research grants.[1] To the extent that these efforts bear fruit, they will generate additional fiscal leverage for greater innovation, entrepreneurship, and workforce development.

Why is a Faculty Hiring Plan Critical? Faculty + Research = Jobs

What do areas of the country with strong economies such as Boston, Raleigh-Durham-Chapel Hill, and San Francisco-Oakland-San Jose all have in common? What is their secret to long-term economic success? One major factor is that they are home to major public and private research universities that continuously develop and replenish a talented workforce and spark discovery, innovation, and technological advances through research that help expand modern business sectors, creating new companies and jobs. These communities and their burgeoning economies are testament to the simple, successful formula: FACULTY + RESEARCH = JOBS.

[1] At UConn Health, the University took steps to mitigate fringe rates for researchers for FY20. However, this is a one-year effort only, as the initiative was linked to the one-time additional fringe relief that the legislature provided to UConn Health. As a result, UConn Health will need additional resources to continue this initiative to lower fringe rates for its researchers beyond this fiscal year.

Table 1 shows that some of the top regional economies in the US are also home to some of the top research institutions. The NSF's Higher Education Research and Development (HERD) Survey data that tracks research spending by universities reveals that these regional economies benefited from $2.5 to $3.2 billion in research activity in 2018 by the major institutions listed. By comparison, our regional corridor from New Haven, CT to Amherst, MA with three major research universities only produced $1.5 billion in research activity in 2018.

Table 1. NSF HERD data on research expenditures ($000)

Institution (Regional Economy)	2016	2017	2018
New Haven-Hartford-Springfield-Amherst			
Yale	881,765	951,084	990,399
UConn	265,522	267,647	269,685
Massachusetts-Amherst	214,576	210,416	211,140
Boston			
Harvard	$1,077,253	$1,123,160	$1,173,371
Massachusetts Institute of Technology	$946,159	$952,017	$964,336
Boston University	$395,921	$421,360	$484,205
Raleigh-Durham-Chapel-Hill			
Duke	$1,055,778	$1,126,924	$1,167,611
North Carolina-Chapel Hill	$1,045,338	$1,102,063	$1,136,158
North Carolina State	$489,918	$500,445	$509,841
San Francisco-Oakland-San Jose			
California-San Francisco	$1,294,261	$1,409,398	$1,595,732
California-Berkeley	$774,255	$770,822	$796,505
Stanford	$1,066,269	$1,109,708	$1,157,597

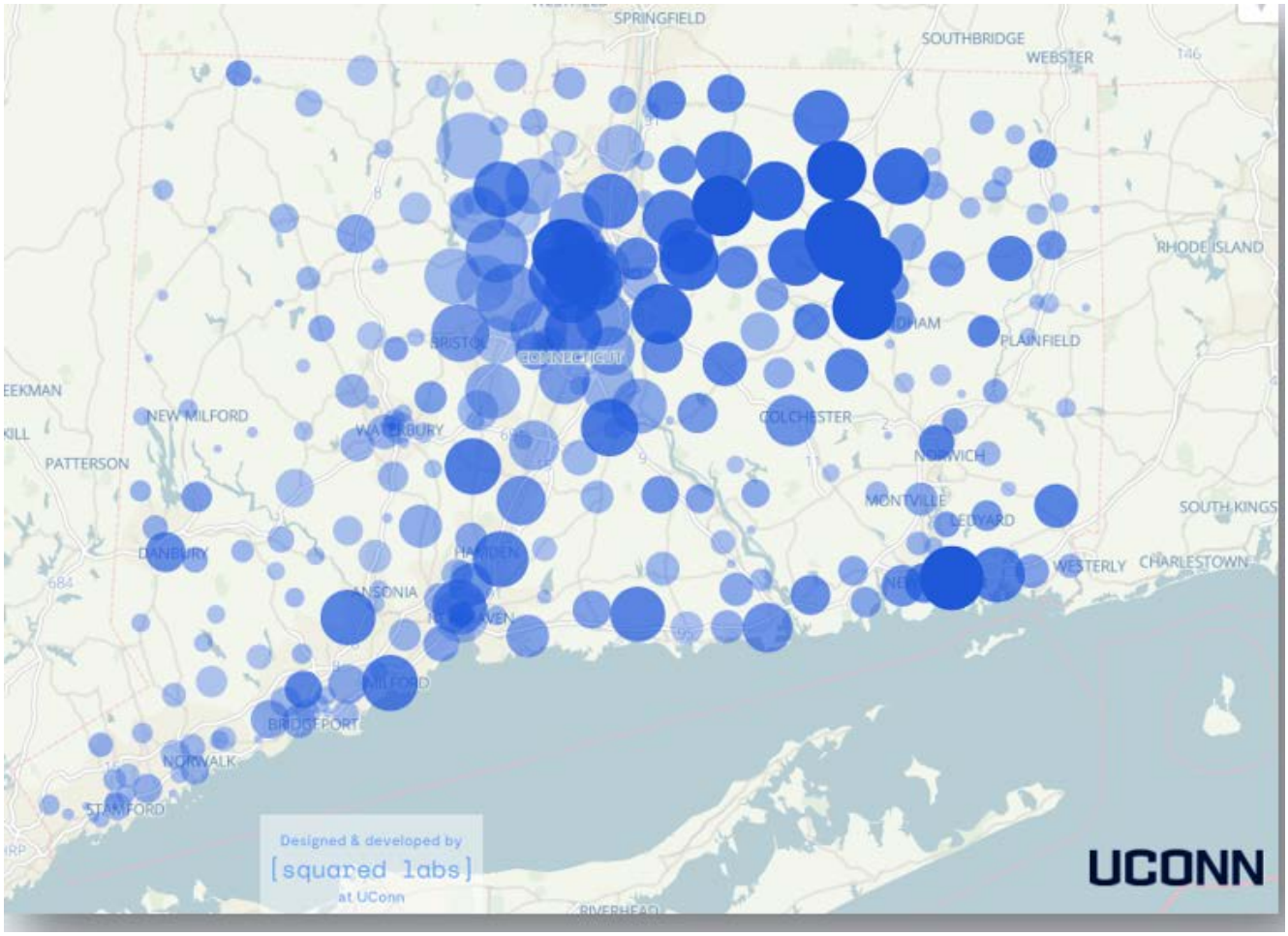
While UConn is already a major contributor to Connecticut's economy, more can and should be done. A recently released economic impact analysis estimates that UConn creates a $5.3 billion annual impact on state economic output, including more than $277 million in state and local taxes. Moreover, UConn's $270 million in research expenditures in FY18 is estimated to have provided over $485 million of that total economic impact.[2] **For every research dollar that UConn attracts in externally sponsored research and spends within the state, 80 cents in economic output is generated elsewhere in the state economy**. As research spending grows, the impact of that spending will grow as well. Figure 1 is a screen-shot of UConn's Grant Trails website (granttrails.uconn.edu/CT) that interactively shows where UConn research grant spending creates economic impact in our state.

Connecticut's Innovation/Entrepreneurial Ecosystem Roadmap (CT Next, 2018) said that research and development as well as talent and human capital are critical components of a robust innovation/entrepreneurial ecosystem providing economic vitality. Further, it indicated the following are key challenges facing Connecticut:

[2] When one applies a 1.77 economic output multiplier to the total spending of the University, it produces $5.3 billion in total economic output in the state—$2.9 billion in direct expenditures and $2.4 billion in indirect and induced economic activity as a result of this direct spending. The same multiplier for research is 1.8. These multipliers come from an analysis of the state-wide economic impact of University expenditures (see impact.uconn.edu) using the well-known IMPLAN economic analysis tool.

- Lack of entrepreneurial culture limits ability to scale/grow companies
- Agglomeration of national risk capital markets threatens ability to finance deal flow
- Perceived lack of talent to support innovative firms
- Deal flow is not robust or "sticky" to economy
- Connecticut is not perceived as a desirable location for high-growth companies

Figure 1. UConn's Grant Trails interactively shows you where research grants that are awarded to UConn faculty are spent throughout our state.



President Katsouleas's research vision will help address some of these challenges by supercharging the University's impact on the state's economy. This bold vision seeks to support entrepreneurship through focused teaching and research, and continue to develop young talent to support innovative firms, thereby contributing to making Connecticut a desirable location for high-growth companies. UConn's current faculty is research productive, but somewhat undersized relative to our peers, so a bold faculty hiring plan is essential. In effect, this means that the critical formula the State and UConn must work together on is FACULTY + RESEARCH = JOBS.

Keeping Up with Peer Public Universities

The following are case studies from three peer institutions that are making strategic investments in their faculty to build their research enterprise. In each case, substantial investments are being made in emerging areas such as data science, environmental sustainability, and personalized medicine where there is potential to become national and/or global leaders. The University needs similar investments to keep up with our peers.

University of Virginia (UVA)

UVA has developed a strategic plan, *A Great and Good University*, which seeks to increase research productivity, quality, and impact by making strategic investments in research infrastructure and upgrade the library. The plan identifies five priority areas that represent major societal challenges, opportunities, and draw on existing strengths. They are Democracy, Environmental Resilience and Sustainability, Precision Medicine, the Brain and Neuroscience, and Digital Technology and Society. A coordinated approach will be followed in institutes, centers, and labs to amplify the impact of the faculty's work, and the university will recruit and support doctoral and post-doctoral fellows to support this faculty research. A Catalyst Fund is to be created to provide seed funding to help launch and grow research initiatives, with preference for collaboration across disciplines.

One example of such UVA investments is the creation of a School of Data Science with a gift of $120 million.[3] This school will be based on a foundation of collaboration—a "School Without Walls," specifically intended to leverage the power of data across all disciplines by helping integrate data science across its campus. Faculty will have joint appointments, outpost across campus, and outside faculty will have the opportunity to receive fellowships. This is likely a major reason why Amazon moved its headquarters to Virginia.

Purdue University

Purdue will continue its Strategic Opportunity Hiring Program from FY 2019-20 to help grow the faculty in ways that increase representation from diverse intellectual traditions, educational institutions, life experiences and backgrounds. The goal is to recruit and retain the best-qualified candidates who contribute to Purdue's excellence through their own diversity, life experience, or through the scholarship of diversity in their discipline. The Office of the Provost will provide matching support for faculty salaries, fringe benefits, and start-up requests for strategic opportunity hires in units. It will provide up to four years of partial salary and fringe benefit support: typically 75% in year 1, 50% in years 2 and 3, and 25% in year 4. In addition, 50% of requested start-up funds will be available (with some limits) for each hire. Start-up allocations will be cash-flowed over the five years of spending period at 40% for year 1, 20% each for years 2 and 3 and 10% each for years 4 and 5.

Additionally, Purdue announced its Integrative Data Science Initiative in 2018, and has recently committed $40 million to build an 86,000 square foot facility dedicated to data science. They project that in the next 10 years, a trillion sensing devices worldwide will be connected to the internet, and this explosive combination of ubiquitous sensors, rapid data transmission, low-cost storage, and the commoditization of on-demand computing has ushered in a revolution in data science that cannot be overlooked. Their dean of the College of

[3] See https://news.virginia.edu/content/uva-plans-new-school-data-science-120-million-gift-largest-university-history.

Science said, "Data science is the new language of life, cutting across all disciplines and fields of research, and so it's crucial that our students are prepared for this future."[4]

Rutgers University

Rutgers's new strategic plan includes four overarching strategic priorities: 1) build faculty excellence, 2) transform the student experience, 3) enhance public prominence, and 4) envision tomorrow's university.

The first goal includes creating professorships to attract top scholars using strategic funds to recruit, retain, and mentor diverse faculty. The initiative provides half the salary support for the first three years of each newly hired faculty member's service at Rutgers, along with funds for mentoring and retention activities. This plan calls for existing endowed chairs to recruit other senior scholars in diverse and excelling fields.

Recently, Rutgers President Robert Barchi announced that he will add an additional $20 million in strategic funding to extend the Rutgers Faculty Diversity Hiring Initiative through June 2024. Since the launch of the initiative in 2016, nearly $22 million has supported hiring 79 new diverse faculty members across the university and mentoring and retaining faculty from diverse backgrounds. Under this initiative, the university has agreed to provide half of the salary support for the first three years of each newly hired faculty member's service at Rutgers, along with additional funds to support mentoring and retention.

Rationale for Hiring Research Faculty

The University seeks to maintain its position as a top 25 public research university, and expand its research footprint not only to keep up with the competition, but also to drive innovation and economic development in the state. In order to do this, UConn seeks to make strategic investments to recruit eminent faculty doing cutting-edge research with extramural sponsored funding, which will serve as seed investments into a larger self-supporting research enterprise.

The more research faculty a university has, the more research it can conduct with sponsored funding. More sponsored research lead to more new discoveries, new technologies, and growth in Connecticut's economy. The link between the number of research faculty and the total amount of research funding is demonstrated in Table 2, which compares UConn to the Top 20 public research universities in the nation, sorted by faculty size quartiles.[5] It shows that institutions that rank #11 - #20 in faculty size average from $764 to $784 million in sponsored research expenditures. Institutions that rank #1 - #10 in faculty size average from $914 million to $1.1 billion in sponsored research expenditures.

[4] See https://www.purdue.edu/newsroom/releases/2019/Q4/purdue-announces-plans-to-build-new-data-science-building.html.

[5] From 20th to 1st in faculty size: University of North Carolina-Chapel Hill, Arizona State University, University of California (UC)-Berkeley, University of Alabama-Birmingham, University of Arizona, University of Pittsburgh, UC-Davis, Rutgers University, Purdue University, UC-Los Angeles, University of Illinois, Michigan State University, University of Texas-Austin, University of Wisconsin-Madison, Texas A & M University, University of Florida, University of Minnesota, Ohio State University, University of Michigan, and University of Washington.

Table 2. Link between the number of tenured & tenure track faculty and research funding

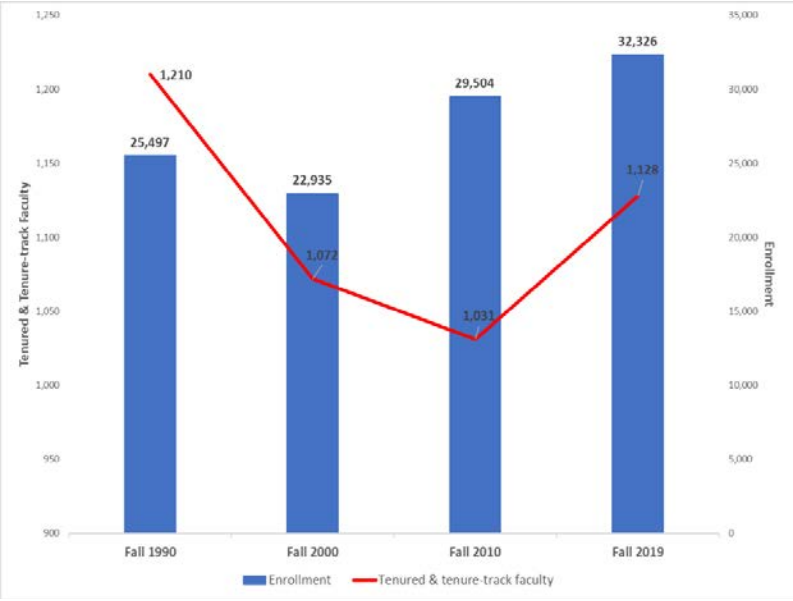
UConn vs. Top 20 Public Research Institutions (faculty size rank)	Fall 2018 FT Tenured and Tenure Track	Fall 2018 FT Non-Tenure Track	R&D expenditures, FY2018
UConn	**1,253**	**374**	**$269,685,000**
Lowest Faculty Size Quartile (#16-20)	1,546	685	$784,647,000
Low-Middle Quartile (#11-15)	1,721	1,450	$764,053,000
High-Middle Quartile (#6-10)	2,060	1,032	$914,282,000
Highest Quartile (#1-5)	2,896	1,712	$1,105,290,000

Among these Top 20 public research universities, **we estimate that for every one additional research faculty member, research expenditures increase by $482,000 per year**, notwithstanding other factors that would explain the variation in research spending (quality of proposals, reputation of university or principal investigators, etc.).[6] However, different disciplines have different opportunities for extramural research funding. While researchers in the health, natural sciences, and engineering fields tend to enjoy larger funding opportunities, researchers in the social sciences and humanities tend to be successful with less funding.

While research faculty are comprised mostly of tenured and tenure-track faculty, some non-tenure track faculty (who mostly handle teaching responsibilities) also conduct research. UConn's research faculty are productive to the extent that the workload balance between teaching and research for tenured and tenure-track faculty is supported with teaching faculty. Table 2 shows that UConn teaching faculty (non-tenure track) comprises 23% of our total faculty, while this share ranges from 31% to 46% for top research institutions. When research faculty have teaching support, they can be more research productive and can attract more external research funding.

Figure 2 shows how UConn's research expenditures have changed over the past three decades along with the size of its tenured and tenure-track faculty. Despite enrollment growth of more than 7,000 students since fall 1990, UConn's research faculty declined by almost 200 between 1990 to 2010, and though research faculty counts have increased since 2010, we have not returned even to 1990 levels. Moreover, **the increase of 97 faculty from 2010 to 2018 coincided with an increase of $32 million in annual research expenditures**, from $238 million to $270 million. We should continue to invest in more research faculty.

Figure 2. Tenured & tenure-track faculty versus enrollment



[6] Using OLS to regress research expenditures / 1000 (Y) on the number of tenured & tenure track faculty (X) for the top 20 research institutions estimates the following equation: Y = 482.3X, with adjusted R-square of .891.

Proposed Hiring Strategies

The proposed faculty hiring plan consists of three main strategies. These strategies are not mutually exclusive but rather synergistic. They are aspirational in terms of growth of research, excellence in areas of strength and opportunity and focused growth in entrepreneurial areas. These strategies are not intended to be limited as the university must continue to establish hiring priorities and approaches to ensure its continued ability to be a comprehensive land grant public research university that serves continuing societal needs. To achieve the greatest impact, a significant portion of new hires at UConn should be: 1) highly collaborative both within the university and with industry and community partners in core sectors (e.g., advanced manufacturing, insurance, pharmaceutical, health care, among others) and in emerging new areas where the university plays an important role (e.g. cybersecurity, bioinformatics, data science), and 2) invested in the translation and dissemination of research to help solve complex societal problems and improve the lives of the people of Connecticut.

1. **Target of opportunity (TOPS) hires:** TOPS hires are special hiring opportunities where the target of hire is at the pinnacle of their research career. Such candidates will be identified and actively pursued based on their potential to further transform the institution and continue the trajectory established by NextGen CT and BioScience Connecticut. Potential TOPS hires will be evaluated in terms of what they can immediately contribute to the university and their potential to shape the future of the institution as economic catalysts to the state. Hires whose work intersects with established or emerging areas of strength at UConn will be prioritized. As ambassadors to the state, TOPS hires will bring international stature (e.g., National Academy members and expected members) to UConn and may have an accomplished record of achievement in IP commercialization, entrepreneurism, and/or translational or applied research, and innovative research projects with substantial external (e.g., NIH, USDA, NSF, etc.) research awards. TOPS hires will be leaders in their fields, yet still in the most productive stages of their careers. In many fields, TOPS hires will be recruited as a group or team along with supporting faculty and/or staff; however, such hires typically require large research facilities and specialized equipment, so significant resources must be identified in order to attract these individuals and their teams.

2. **Cluster hires:** Many complex societal problems and translational research areas require creative interdisciplinary approaches to make significant advances in both the short- and long-term. Federal funding agencies have steadily increased support for 'team science' and convergence research. To speed advancement in strategic areas, a coordinated effort will be made to attract clusters of faculty whose diverse disciplinary training collectively supports successful convergence research. Examples of this type of team science or convergence research include, but are not limited to, the intersection of social science and STEM fields needed to address issues such as social justice implications of climate change, the health impacts of social stratification, or how to best leverage technology and big data to improve public health and well-being. Cluster hires will typically result in faculty appointments in an institute or center with a tenure home in their often different disciplinary areas within departments, schools, and colleges. The strategic area and/or the expertise of the faculty should advance both basic research excellence as well as translational potential to achieve maximum beneficial impacts for the people of Connecticut. The most compelling cases will be made

for cluster hires that also advance President Katsouleas' vision. Prior to creating a cluster, there must be a plan in place for supporting the team as they establish their new network, utilizing best practices in team science and providing the research development support needed to thrive.

3. **Innovation hires:** The innovation hires have two parts focused on specific types of research programs that have strong economic development linkages.

   First, a program will be developed to recruit individual faculty with excellence in translational research as evidenced in part by outstanding community-engaged scholarship, significant entrepreneurial efforts, or exceptional applied research. Entrepreneurial efforts may include technology transfer/patent applications or licensing and commercialization success. Outstanding applied research may include work at technology readiness levels at or beyond the proof-of concept stage, or research requiring substantial clinical or extension effort. Innovation hire searches will draw from a wide pool of qualified applicants including those from non-traditional, non-academic career trajectories (e.g., private industry, community organizations). Faculty hires with industry or community experience augment our research and confer important benefits to Connecticut citizens.

   Second, a number of our strategic and innovation hires will be affiliated with our research centers and institutes. Research centers and institutes unite a complex research agenda across multiple units. At UConn, centers and institutes are vehicles for supporting the university's research mission and are positioned to play a key role in providing incentives and resources to make team science systematic throughout the institution. Opportunities to hire more faculty directly into research centers and institutes will be explored. Centers and institutes can catalyze more industry-directed, industry-supported research on campus through establishing "affiliate" programs with companies, partnerships with communities or NGOs, and by enhancing direct outreach and extension with public and private partners. Centers and institutes represent a more agile way of hiring research-active faculty in growing interdisciplinary areas and offer potential solutions for "partner hires" when traditional tenure track homes are not available.

To recruit such eminent scientists, the University must not only pay salaries competitive with the best universities in the nation, but provide start-up resources to build new laboratories, purchase sophisticated scientific instruments, and possibly support an entire team (e.g., affiliated researchers, research assistants, and laboratory technicians). The University had already developed a hiring plan to support President Katsouleas's new initiatives, and this plan has been expanded to address the requirements of PA 19-154.

The University has already begun implementing these hiring strategies. First, the University has acquired sophisticated data tools to improve our strategic targeting for program development, faculty recruitment, and grant opportunities. Second, a faculty committee will meet regularly and work closely with the Provost's Office and the Office of the Vice President for Research (OVPR) to address the needs of Deans, Department Heads, and Center/Institute Directors. Third, to reduce the burden of legacy fringe costs on research competitiveness, the University will buy down fringe rates for researchers over a three year period while the University works with the state to find a permanent solution to address high fringe benefit costs.

Budget to Support Hiring Strategies

To support this hiring plan for 51 new faculty, additional resources are required from the State. Table 3 shows that this plan includes:

- $13 million for 11 new research faculty and start-up costs in FY21,
- $29 million for 20 new faculty/start-up costs in FY22, and
- $35 million for 20 more new faculty/start-up costs in FY23.[7]

The total cost of this faculty hiring plan is **$109 million over a five year period**. If UConn's legislative priorities are met in this upcoming legislative session, i.e. FY21 appropriation levels are maintained and capital projects are able to move forward with no deferrals or cuts, UConn will be able to begin executing this plan. If additional resources are provided to relieve the state's unfunded legacy costs charged to UConn, and/or to assist with execution of this faculty hiring plan, UConn could accomplish the goals of this plan more quickly.

With regard to UConn Health, meeting the above-listed priorities is a necessity before any additional resources can be considered to implement this plan new research faculty. Not only must UConn Health's FY21 appropriation be maintained, but critical capital needs and relief from the costs of the state's legacy obligations that are imposed on UConn Health must be addressed before investments in new research faculty can be made. UConn Health anticipates that it will be charged $53.8 million to cover the state's unfunded legacy costs in FY21 – an unsustainable amount that is causing deficits at UConn Health.

Table 3. Budget for Faculty Hiring Plan

(Dollars, $)	FY21	FY22	FY23	FY24	FY25
UConn Faculty Hires					
Salary and fringe benefits	2,981,200	6,759,436	11,009,501	11,339,786	11,679,980
Start-up, lab renovation, equipment	10,400,000	15,350,000	15,350,000	0	0
Totals for UConn faculty hires	**13,381,200**	**22,109,436**	**26,359,501**	**11,339,786**	**11,679,980**
UConn Health Faculty Hires					
Salary and fringe benefits	0	1,696,080	3,826,965	3,941,774	4,060,027
Start-up, lab renovation, equipment	0	5,250,000	5,250,000	0	0
Totals for UConn Health faculty hires	**0**	**6,946,080**	**9,076,965**	**3,941,774**	**4,060,027**
Totals for University faculty hires (PA 19-154)	**13,381,200**	**29,055,516**	**35,436,466**	**15,281,560**	**15,740,007**

In order for UConn's hiring plan to have a strong economic impact, it is critical that the state's high legacy fringe benefit costs be addressed. Table 4 shows the University's projected costs of the state's unfunded legacy costs –the unfunded pension and health liabilities component of fringe costs—over the time period budgeted. It

[7] Costs in FY22 through FY25 include continued salary and fringe costs of previous years' new hires.

shows that UConn and UConn Health face an $85 million unfunded legacy expense in FY21, and at the current 10% rate of growth, this expense will grow to $120 million by FY25. These costs are simply unsustainable, and if nothing is done about them, they will negatively affect everything we do, because these costs will encumber more and more of our relatively flat budgets, buy nothing in return, and produce less education and research.

*Table 4. UConn's projected costs for unfunded liabilities and how they are allocated**

Costs of unfunded liabilities (millions)	FY 21	FY 22	FY 23	FY 24	FY 25
UConn					
Tuition, fees, other	24.1	26.9	30.0	33.5	37.3
Research	6.9	7.4	8.0	8.6	9.3
Total UConn cost of unfunded liabilities	31.0	34.3	38.0	42.1	46.6
UConn Health					
Clinical	29.8	33.0	36.6	40.5	44.9
Tuition from Schools of Medicine, Dental Medicine	15.9	16.9	17.9	18.9	20.1
Research	8.1	8.4	8.7	9.1	9.4
Total UConn Health cost of unfunded liabilities	53.8	58.2	63.0	68.2	73.9
Total projected costs of unfunded liabilities	**84.8**	**92.5**	**101.0**	**110.2**	**120.3**

* *We used the actual growth rates in unfunded liability costs from FY19 to FY20 to make projections. Any changes to the state appropriation and actual fringe benefit rates in the out years will change these projections.*

The most upsetting part of the unfunded legacy costs is that our students will cover $40 million of these costs by students in FY21 ($24.1 million at UConn plus $15.9 million at UConn Health), which will grow to $57.4 million by FY25. **Thus, the unfunded legacy costs covered by students will be over $750 per student in FY21 and over $1,100 per student in FY25. These payments do not contribute to student education whatsoever.**

We cannot grow our research enterprise and contribute to the state economy with this extraordinary burden. By asking that the state to support our priorities, we merely seek level operating and bonding support, and suggest that the state remove the unfunded legacy cost burden by reallocating these costs to more appropriate areas within the state. The notion that these costs are placed on UConn because we can generate external funding to cover them ignores the fact that UConn must compete with other universities for this external funding, and these legacy costs make our research proposals uncompetitive.

In each year of this hiring plan, the unfunded legacy costs exceed the proposed costs for new research faculty. To the extent that the state can centralize these legacy costs at the state level, it would free up revenues from tuition, research grants, and clinical fees and allow the University to invest them in the research faculty we propose herein. As one of the major engines of economic development in the state, trading these legacy costs for research faculty is a more productive use of these resources, and thus a smart move in terms of return on investment. FACULTY + RESEARCH = JOBS.

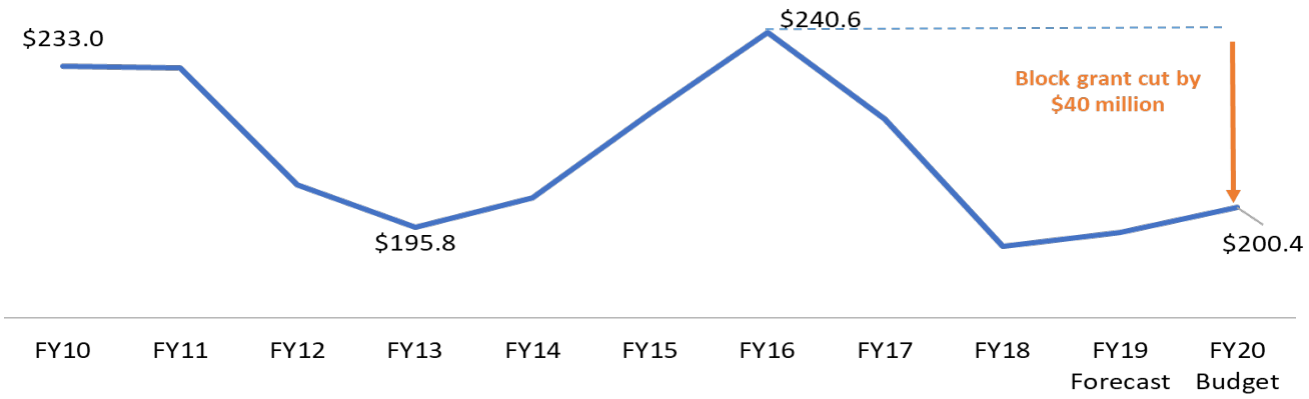
Challenges to Hiring Outstanding Faculty

We emphasize the state's unfunded legacy costs on fringe benefit rates, because they are the biggest challenge to hiring outstanding faculty. These costs create undue burdens not only on our students and their families, but also on University research and clinical competitiveness. UConn must not only compete with other universities for the best students, but also compete for the best faculty. The best students want to learn from the best faculty, and the best faculty want to know that their research funding will be sufficient to support their research. After briefly describing how budget instability also creates a challenge to hiring outstanding faculty, we will discuss the impact of unfunded legacy costs in detail.

Budget instability & funding

UConn's block grant allocation from the state fluctuates with the state's fiscal condition, as shown in Figure 3. This creates tremendous budget instability that can only be addressed by increasing tuition and other revenues. Despite the understandable state budget cuts of more than $40 million since FY 16, UConn is prepared to finance a portion of this hiring plan within current funding levels if UConn's FY21 appropriation are funded at the level enacted in the most recently approved biennial budget. However, if additional reductions to UConn's appropriation occur and the high fringe benefit legacy costs are not addressed, implementing even a portion of the faculty hiring plan outlined in this report will be difficult.

Figure 3. UConn's block grant changes with the state's fiscal condition



High fringe rates

Fringe benefit rates are determined by the State Comptroller and charged to the University. Primarily due to the state's unfunded pension and healthcare liabilities, these costs have been increasing at alarming and unsustainable rates. These rates are negatively affecting UConn's ability to recruit and retain researchers and grow research. UConn's fringe rates charged to research grants are outliers, and much higher than our peers. This results in fewer federal research grant dollars coming into the State's economy, and less innovation and commercialization. If the State is interested in generating additional economic development through research, then removing the burden of unfunded legacy pension and health liability costs charged to research grants is a necessity in order for UConn researchers to be more competitive.

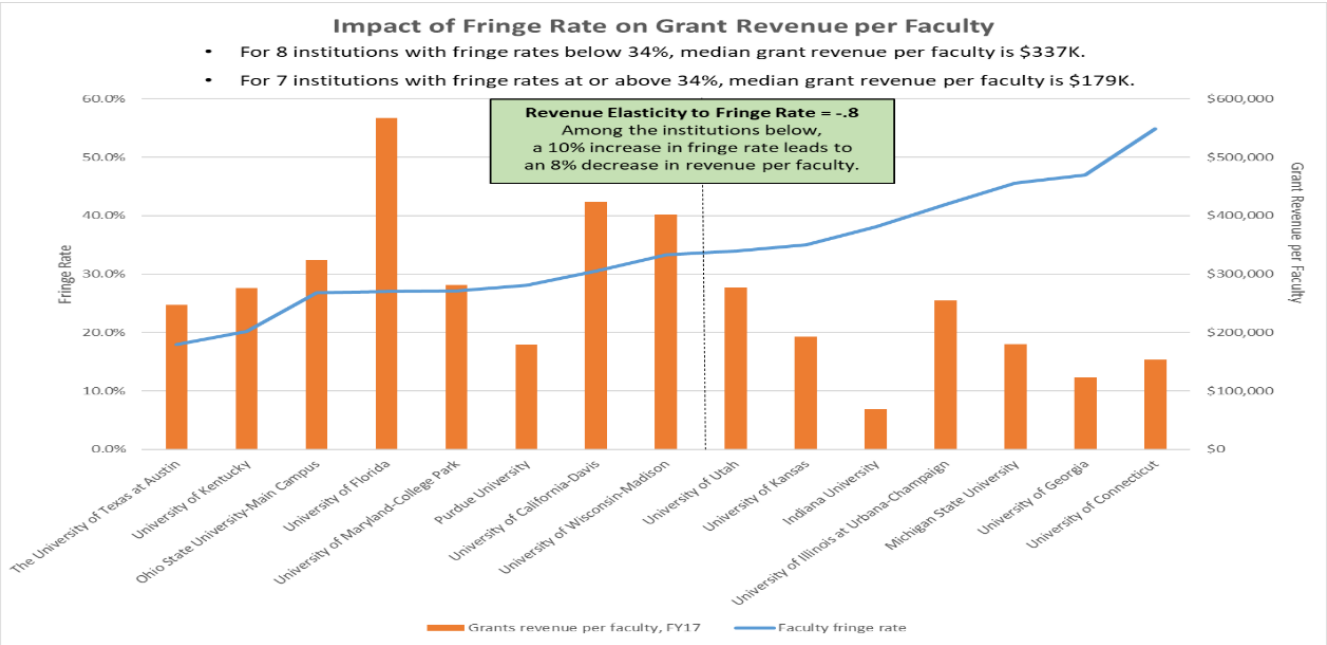
Table 5 highlights the competitive challenge UConn faces by comparing UConn's fringe rates to the rates of a number of our peers. It shows that UConn has the highest and least competitive rates among all of the peers listed. UConn's faculty and professional rates are respectively 16 and 24 percentage points higher than the average rates for our peers of 37% and 41%.

Table 5. Comparison of fringe rates among peers

	Faculty rate	Professional rate
UConn	**53%**	**65%**
Georgia	49	49
Michigan State	47	47
Illinois	42	42
Rutgers	41	41
Penn State	38	38
Wisconsin	35	35
Texas	30	30
Maryland	25	3

Figure 4 illustrates the impact of these high rates on research grant competitiveness. It shows that for the eight public institutions with the lowest fringe rates, the median grant revenue per faculty is $337,000; for the seven institutions with the highest fringe rates, the median grant revenue per faculty is $179,000. UConn, with the highest rates, has one of the lowest grant revenue per faculty. Among these peers, every 10% increase in fringe rates leads to an 8% decrease in research grant revenue.

Figure 4. Impact of fringe rate on research grant revenue



These high rates have been noted by federal and private grant reviewers as too expensive, making our proposed research project budgets uncompetitive. Funding entities are interested in awarding grants to universities that can conduct more research and maximize the number of researchers and professional staff working on the grant. With UConn's current fringe rate, we are simply unable to match the proposals of our competitors. When we are competitive, it is often because portions of research projects are being outsourced to researchers in other states, whose fringe rates are much lower than ours.

Below are two examples of feedback from federal reviewers and UConn research faculty:

- **Grant not funded; $2.9M** (PIs: S. King, E. Eipper) NIH R01 "*Peptide Amidation in Ciliogenesis*"
    - From a NIH grant proposal review: "The budget is excessive for the experiments proposed. Reduce effort/salary for co-PI and technician by ½… Fringe for some positions (nearly 70% of salaries) seems inordinately high…"
- **Grants are not pursued because our high fringe cost make the budget unworkable, and grant not submitted; $320K** (PI: K. Gans)
    - PI feedback regarding Robert Wood Johnson Foundation HER grant proposal: "After submitting a concept paper… I was invited to submit a full proposal (only 41 out of 250 submitted were chosen). I had planned to submit the full proposal (due October 2) but unfortunately, I cannot make the budget work with the high fringe rates that UConn currently has."

High fringe rates also are driving decisions by numerous well-funded faculty to leave UConn for positions at other institutions (with lower fringe rates), taking their grant dollars with them. Table 6 shows examples of productive faculty who have left the university recently, resulting in over $36 million in grant revenue lost, both in terms of transferred or relinquished funds ($16 million) and lost funding opportunities due to departure ($20 million). These departures are evidence of a vigorous competitive market for talented research faculty.

Table 6. Examples of UConn faculty leaving and taking grants with them.[8]

Former UConn Faculty	New Institution	Total Amount Transferred (Relinquished)	New Awards Received Since Leaving UConn
Ramamurthy Ramprasad	Georgia Institute of Technology	$3,226,135	$2,188,438
Mohammad Tehranipoor	University of Florida	3,019,165	$6,000,000
Fudong Liu	University of Texas-Austin	2,893,720	3,474,059
Ulrike Klueh	Wayne State University	1,992,935	568,525
Doug Adams	University of Colorado	1,417,010	684,198
Kyle Baumbauer	University of Kansas	583,579	424,669
Lauren Sansing	Yale University	582,140	3,858,567
At least 8 others	Various locations	2,087,489	3,548,902
	Total grant funds lost	**$15,802,173**	**$20,747,358**

[8] Source of new awards data is Academic Analytics and other publically available sources.

As noted, above, portions of a number of research projects are being outsourced increasingly because of the high fringe costs. Spending on sub-awards from UConn to other entities grew by 17% from FY18 to FY19, after remaining relatively flat since 2013. In spring 2019, two of our top grant funded investigators have moved over $700,000 of their research budget to a non-UConn organization. This move is expected to lead to more such moves to sustain research programs under our high cost environment.

Here are the details driving the problem. Figure 5 shows that the state retirement costs comprise nearly 60% of UConn's fringe benefit rate, which includes the deductions for health care and retirement taken from employee paychecks.[9] The box on the right-hand side shows that half of the state's retirement rate is attributable to the state's unfunded legacy pension and health care liabilities. The University must pay about $78 million of its non-state funds to cover these unfunded liabilities in FY20. We estimate this cost will rise to $85 million in FY21. Without these costs, UConn and UConn Health would not face annual budget deficits.

Figure 5. Unfunded liabilities comprise a third of fringe benefit costs

FY20 State Fringe Benefit Rate Components

State Retirement (SERS) **	**59.99%**
FICA SS	**6.20%**
FICA Medicare	**1.45%**
Unemployment Compensation	**0.00%**
Group Life Insurance*	**~0.20%**
Health Insurance*	**~30.96%**
	98.80%

*Rates vary according to coverage selected

Components of State Retirement (SERS)

Unfunded Pension Liability	31.06%
Retiree Health	20.34%
Normal/Current Retire. Costs	4.49%
Other Post Employ. Benefit Costs (OPEB)	2.79%
Administrative Costs	.35%
Roll-forward/Adjustments	.96%
	59.99%

What can be done to address the high fringe rates?

Due to the fact that our fringe rates are having such a tremendously negative impact on faculty recruitment and retention and on research grant awards, the UConn has pledged to buy down the fringe rate for the next three years at an approximate cost of $5.5 million per year for researchers on the Storrs and regional campuses.[10] However, this action is not a cost UConn can bear in the long-term and any assistance from the General Assembly to address this issue would be helpful.

Table 7 shows the current and recently approved reduced rates.[11] The professional fringe rate will be reduced by nearly 22 percentage points, the faculty fringe rate reduced by 10 percentage points, the graduate/post doc rate by 1.7 points, the special payroll rate by 4.8 points, and the student rate will be reduced by 1.7 percentage points. These lower rates apply to proposal submissions from January 2020 through December 2020, and

[9] This example applies to the 63% of University employees who are in the State Employees Retirement System (SERS). Employees in other retirement programs pay less.
[10] UConn Health was able to accomplish a similar buy down with supplemental appropriations in FY20.
[11] The federal government approved the reduced fringe rates in December 2019.

escalate annually from this new baseline. At 43% each, the critical faculty and professional rates will be comparable to the respective average peer rates of 37% and 41% (from Table 5).

Table 8. Current versus proposed fringe rates for research projects

	Current Rates	Approved Rates, 7/1/20 – 6/30/21
Professional	64.8%	**43%**
Faculty	53.2%	**43%**
Graduate/Post Doc	17.2%	**15.5%**
Special Payroll	24.3%	**19.5%**
Student	4.1%	**2.4%**

Conclusion

The University of Connecticut, herewith, has developed a set of strategies to recruit and hire faculty conducting research addressing societal needs or that can be commercialized. This plan leverages a large number of ongoing initiatives supporting entrepreneurship, innovation, and translational research (e.g., Tech Park/Innovation Partnership Building, BioScience Connecticut, NextGen CT, Werth Institute, etc.) that will collectively accelerate economic development while educating students to meet the state's workforce needs. Core elements of this plan include TOPS Hires (target of opportunity hires) to recruit eminent faculty (and their support staff) who are leaders in their fields with exemplary portfolios including entrepreneurism and/or translational research. Cluster Hires will bolster our faculty ranks in specific areas where interdisciplinary approaches are required to accelerate innovation in regards to entrepreneurism or solving pressing societal needs, with hires being placed in different departments but often in a common center or institute. Innovation hires will target the recruitment of faculty at any rank who have demonstrated excellence in translational research as evidenced in part by significant entrepreneurial efforts (e.g., technology transfer/patent applications, licensing and/or commercialization), impactful applied research (e.g., research and innovation at Technology Readiness Levels at or beyond 3—the proof-of concept stage—or research requiring substantial clinical or extension effort), or through outstanding community-engaged scholarship. Center and institute hires will build on existing areas of research strength and will enhance UConn's ability to both tackle complex problems and work collaboratively with industry through interdisciplinary convergence. Taken together, this FACULTY + RESEARCH = JOBS approach will help broaden the entrepreneurial landscape of UConn, strengthen its contribution to economic development in the State, and improve the lives of Connecticut residents.

ATTACHMENT 10

UCONN
UNIVERSITY OF CONNECTICUT

Office of the President
Thomas C. Katsouleas
President

February 26, 2020

TO: Members of the Board of Trustees

FROM: Thomas Katsouleas Tom Kat

RE: Naming Recommendation for the Welsh Family Classroom

RECOMMENDATION:

That the Board of Trustees authorizes the naming of Classroom A located in the Thomas J. Meskill Law Library at the University of Connecticut School of Law campus in Hartford, Connecticut as the Welsh Family Classroom.

BACKGROUND:

The Thomas J. Meskill Law Library has a new classroom on the second floor that is expected to offer state-of-the-art technology to assist in the teaching and learning of legal applications. The classroom is expected to include projectors and screens, document cameras, and PCs. Videoconference systems may also foster collaborative learning and build on the school's distance learning efforts. The room also has plans to include hearing assistance systems and to support multiple touchscreen monitors. Classroom A is approximately 945 square feet.

Walter C. Welsh LAW '72 (lead donor) has been an Adjunct Professor at the University of Connecticut School of Law since 1988. Mr. Welsh has taught courses in tax law and insurance law. He is also engaged in private practice providing estate and tax planning for individuals and families. Mr. Welsh's wife, Elizabeth, received a BS in Management Human Resource Development from UConn's School of Family Studies (now the School of Business) in 1970. Mr. Welsh's son, Walter, and his wife, Aidan, both received a JD from UConn's Law School in 2006. Mr. Welsh's other son, Kevin, received a JD from UConn's Law School in 2005. Mr. Welsh's brother, Charles, received a JD from the Law School in 1988, and Charles' wife, Cynthia Gregory-Welsh, received a BGS in Individualized Studies from UConn's Center for Continuing Studies (Hartford campus) in 1995.

The Welsh Family has a strong legacy at the School of Law. Each of the family members named above has completed a pledge to support the technology in classroom A. The total family support is within the amount recommended for naming this space under the *University's Named Gift Guidelines.*

At its February 11, 2020, meeting, the Institutional Advancement Committee recommended approval to the full Board.

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ATTACHMENT 11

May 2020 Commencement
Proposed Honorary Degree Recipients

Name	Honorary Degree	Ceremony
Theresia Bauer	Doctor of Humane Letters, *honoris causa*	Neag School of Education Sunday, May 10, 2020
Catherine A. Leslie	Doctor of Humane Letters, *honoris causa*	School of Engineering Saturday, May 9, 2020
Joni Mitchell	Doctor of Fine Arts, *honoris causa*	School of Fine Arts Saturday, May 9, 2020
Richard A. Robinson *	Doctor of Laws, *honoris causa*	College of Liberal Arts and Sciences Sunday, May 10, 2020
Sheila Dinotshe Tlou	Doctor of Humane Letters, *honoris causa*	School of Nursing Saturday, May 9, 2020
Richard Vogel *	Doctor of Humane Letters, *honoris causa*	School of Business Sunday, May 10, 2020

denotes UConn alum

Minister Theresia Bauer (School of Education)

The Baden-Wuerttemberg (Germany) (BW) and Connecticut Exchange Program was established by the Baden-Wuerttemberg Parliament and the Connecticut General Assembly in 1991. Formerly administered by the Connecticut Department of Higher Education, subsequently the Office of Higher Education, it has been administered by the University of Connecticut since 2015. For details of the program, please see: https://bwgermany.uconn.edu/about-2/.

Overtime, although Connecticut has reduced and now eliminated any state support for this program, BW, under the leadership of Ms. Theresia Bauer, Minister of Science, Research, and the Arts, has consistently appropriated significant amount of funds to support Connecticut students who study in BW. Such funds (close to 100,000 euros annually) include free German language emersion courses, and a monthly stipend that covers housing expenses, and recently annual funds to support faculty mobility from both sides. It is important to note that the majority of the students and faculty members benefiting from this exchange program come from UConn. In December 2019, Minister Bauer awarded a grant of 150,000 euros to form a BW-CT Human Rights Consortium led by UConn faculty and University of Freiburg faculty.

Minister Bauer's commitment has had a direct impact on the Connecticut 21st century workforce. The majority of the students who participate in the program are the Eurotech program students from UConn (https://internationalengineering.uconn.edu/german/). The graduates of this program have a track record of securing high-skilled jobs in engineering firms across the state, notably Pratt-Whitney, Electric Boat, and many German firms located in Connecticut. In 2019, President Susan Herbst and Minister Bauer renewed the exchange agreement for another 10 years and has added the exchange in the area of teacher preparation.

Theresia Bauer has been the Minister of Science, Research and Arts for the State of Baden-Württemberg since May 12th, 2011. She is also a member of the State Parliament of BW.

Theresia Bauer was born on April 6th, 1965 in Zweibrücken, Germany. She holds a master's degree (German: Magister) in political science, economics and German philology from the University of Heidelberg, where she studied from 1985 to 1993.

From 1993 until 2001, Theresia Bauer was first the political education spokesperson for the Society for Political Ecology, and was then subsequently named the director of the Heinrich Böll Foundation in Baden-Württemberg. She has been a member of the State Parliament of Baden-Württemberg since 2001. There she has served as the spokesperson for higher education policy, parliamentary secretary and deputy head of the parliamentary faction of the Green Party (Bündnis 90/Die Grünen), and as a member of the committee for Science, Research and the Arts of the State Parliament until becoming Minister in 2011.

Theresia Bauer has visited UConn twice. In October 2014, she led a delegation of Baden-Wuerttemberg Research University Rectors to UConn. In March 2017, she travelled with a Baden-Wuerttemberg Parliament Delegation to UConn. Both visits resulted in specific program development and support for UConn faculty and students.

Catherine A. Leslie (School of Engineering)

Over the past several years, the UConn School of Engineering has embarked on a major initiative to educate and seamlessly instill human rights considerations into our curriculum. The goal of this is rooted in the idea that every decision and technology embarked on by an engineer has a ripple effect on society.

Catherine "Cathy" Leslie (P.E., F. ASCE, CAE), Executive Director of Engineers Without Borders USA since 2004, is the living embodiment of the values and mission of a career rooted in human rights, and has led an organization that has inspired engineering students to participate in countless humanitarian efforts. Engineers Without Borders is a non-profit humanitarian organization established to partner with developing communities worldwide in order to improve their quality of life. This partnership involves the implementation of sustainable engineering projects, while involving and training internationally responsible engineers and engineering students.

She has seen the growth of the organization from one university chapter to more than 275 student and professional chapters. The 16,800+ passionate, highly skilled volunteers that comprise these chapters work in more than 40 countries around the world. Her presence, and EWB's presence extends beyond the borders of the United States and into communities in Central America, South America, Africa, and Asia. Over the last decade, Leslie has led an organization that has touched and bettered nearly 600,000 lives per year, through work in creating clean water sources, rebuilding infrastructure and jumpstarting new sources of agriculture and food.

Joni Mitchell (School of Fine Arts)

Over the course of her remarkable career as songwriter and performing artist, Joni Mitchell richly deserves the award of Honorary Doctoral Degree at the University of Connecticut for her contributions as an artist of the highest stature and national/international reputation; for the sustained high quality of her work over a period of more than 40 years; and for her superb musical gifts as composer, poet, singer, guitarist and pianist.

She ranks among the greatest songwriters of the last half of the 20th century – if not *the* greatest. Her songs have profound importance for the history and development of American music in their ability to reach across class, race, and time. Her lyrics plumb the depths of what it means to think and feel, to love, empathize, to be human with all our flaws, desires, triumphs and disappointments. Her body of work may be fairly described by the German *Gesamtkunstwerk* or total art work: by composing the poetry, music, singing, playing guitar, piano and dulcimer (including a radically innovative approach to the guitar through her deployment of different tunings), producing, and doing the art and paintings for each design of her *nineteen* original studio albums, she has created an artistic legacy that will continue to resonate with audiences, musicians and scholars for generations to come.

The artistic achievement of Ms. Mitchell both reflects and is enabled by her artistic integrity, courage, and moral, ethical, and intellectual standards. Like other iconic artists with long careers like Miles Davis and Pablo Picasso, she has never been satisfied by producing an acclaimed work and finding ways to replicate it. The course of her career demonstrates time and again her re-invention of her music, lyrics and subject matter, ranging from acoustic folk in the 60's, to 70's combo jazz and fusion, to 80's rock and electro-pop, and finally to a grand synthesis in her last four albums. Her songs have proven far ahead of their time in addressing environmental issues, social injustice, poverty and hunger, and prejudice. Her own growth as an artist is intertwined with her personal courage in dealing with polio as a child, being an unwed mother at age twenty, and making her way in a music business that was and remains today largely male-dominated.

As an artist of the highest stature, a person of absolute honesty and integrity, and a matchless chronicler of the human condition and psyche, Ms. Mitchell is an inspiration to our entire UConn nation. Her work reaches out university-wide in its intellectual, moral and ethical principles; to the School of Fine Arts in its integration of manifold artistic genres; and to the Department of Music in the virtuosity and craftsmanship of her compositions and performances. And – finally – there's the gut-level emotional response of listeners to her music: like all composers we consider as "great," her songs make our jaws drop, make us weep, fascinate, energize and elate us even after repeated hearings over many years.

Due to personal reasons, Ms. Mitchell is unable to receive her degree in person. In Ms. Mitchell's absence, Dr. Daniel J. Levitin will accept the award on her behalf, and Dr. Levitin would participate as commencement speaker. He would be able to speak to Joni Mitchell's remarkable achievement as musician, artist, and inspiration to succeeding generations; and, perhaps, speak personally as well to his own trajectory from LA musician, engineer, and producer to his stature as one of the foremost researchers in the world on the perception and cognition of music. Dr. Levitin holds a dual appointment in the Psychology Department and Medical School at McGill University.

Chief Justice Richard Robinson (College of Liberal Arts and Sciences)

Justice Robinson earned his Bachelor of Arts degree from UConn in 1979 as an English major prior to attending law school at the University of West Virginia. He returned to Connecticut to serve in the City of Stamford Law Department, rising to Assistant Corporation Counsel, then on to an appointment as Judge of the Superior Court, and ultimately to Chief Justice following a unanimous confirmation by the State Senate and State House of Representatives in 2018.

Justice Robinson's career has stretched well beyond judicial service into community engagement and an astonishing breadth of public service. Activities include service as President of the NAACP in Stamford, CT, as General Counsel for the CT Conference of the NAACP, President of the Assistant Corporation Counsel's Union, Commissioner of the CT Commission on Human Rights and Opportunities, membership on the Judicial Education Curriculum Committee, among others. He has been awarded the CT Bar Association Young Lawyers Diversity Award, the Naruk Judiciary Award for Integrity, the Penn Award for Excellence in Leadership. And again, this is just the beginning of a long list of recognitions and honors.

Justice Robinson is a renowned and principled leader of the Judiciary of the State of Connecticut. By awarding him an honorary doctorate, we would both acknowledge his accomplishments in law and demonstrate the importance that we attach to his study in the humanities and to his mission of social justice. By recognizing the wide-reaching impact of his work, the College and the University can illustrate his role as a force that unites humanity across boundaries.

Shelia Dinotshe Tlou (School of Nursing)

Sheila Dinotshe Tlou is the Co-Chair of Nursing Now, a global campaign of the International Council of Nurses and the World Health Organization to raise the profile and status of nursing worldwide. After receiving the Ph.D. in Nursing from the University of Illinois at Chicago in 1990, Tlou became Professor, Head of the University of Botswana School of Nursing, and Director of the WHO Collaborating Centre in Primary Health Care.

In 2004, she was Specially Elected as a Member of Parliament of the Republic of Botswana and was appointed a member of cabinet as the first health professional and nurse Minister of Health. During her four-year term, Tlou led a comprehensive prevention, treatment, care and support program for HIV and AIDS. She rolled out antiretroviral and prevention-of-mother-to-child-transmission medications to near universal (90%) uptake. As a result of her efforts, transmission of HIV from mother to child decreased from 29% to 8%, and maternal mortality due to AIDS decreased from 30% to 10%. Based on these dramatic results, her program became the international standard for the treatment of HIV/AIDS among women. In addition to these policy endeavors, Tlou's scholarly work focused on enabling women, particularly married women in a patriarchal society, to negotiate with their partners for safer sex and on reducing the stigma of AIDS and helping people living with HIV live positively.

In 2010, she joined UNAIDS as Regional Director for Eastern and Southern Africa. She provided leadership and political advocacy for quality sustainable AIDS response in 21 African countries, from Eritrea to South Africa, including the Indian Ocean Islands of Madagascar, Mauritius, Seychelles, and Comoros. She was instrumental in the formation of advocacy bodies such as The Pan-African Positive Women's Coalition (PAPWC) and the High-Level Task Force on Women, Girls, Gender Equality and HIV in Africa; and she initiated and chaired a High-Level Task Force on Comprehensive Sexuality Education and Services for Young People.

She continues her efforts in HIV prevention, treatment, and support as Co-Chair of the United Nations Global HIV Prevention Coalition, Co-Chair of Nursing Now Global Campaign, the United Nations Eminent Person for Women, Girls, and HIV/AIDS in Southern Africa, and the International Council of Nurses Goodwill Ambassador for Girl Child Education.

Her honors include the Botswana Presidential Order of Honor, the Florence Nightingale Award from the International Red Cross Society, the Trailblazer Woman Leading Change Award from the World YWCA, the Leadership in Health Award from the Global Business Council (Health), the Lifetime Achievement in Global Health award from Sigma Theta Tau International Honor Society for Nursing, the President's Award from the United States' National League for Nursing, the Princess Srinagarindra Award from Thailand, the Christianne Reimann Award from the International Council of Nurses, and the Princess Muna Al Hussein award from the American Nurses Credentialing Center.

She has been elected a foreign member of the United States National Academy of Medicine and of the American Academy of Nursing, which also honored her with the President's Award. In 2014, alongside then-First Lady Michelle Obama, she was awarded a Doctor of Humane Letters, *honoris causa,* from Dillard University, where she earned a B.S.N. in 1974. She also holds graduate degrees from the Catholic University of America and Columbia University.

Richard Vogel (School of Business)

The truest measure of any public research university is the contribution of students, faculty, staff and alumni to advancing our society. Our association with this community of individuals validates our existence as they champion our mission and the public good.

A seasoned marketing executive, professional manager and startup advisor, Richard Vogel '87 has spent a career shaping and translating ideas into successful marketing programs in the U.S. and abroad. He is a Founding Partner, Chief Financial Officer and Chief Operating Officer of Loeb Enterprises, a New York-based private investor, focused on cultivating opportunities in emerging media and consumer marketing. He holds the same title at Loeb NYC, Loeb Enterprises' startup lab and venture arm. Mr. Vogel is responsible for the development and execution of current projects, as well as the financial management and administration of the company and its holdings.

Mr. Vogel earned a Bachelor of Science degree in finance, *Magna Cum Laude*, and was an *Honors Scholar* from the School of Business at the University of Connecticut in 1987. In 1990, he earned an MBA in Finance from the Stern School of Business at New York University.

Mr. Vogel is an Advisory Board member and financial supporter of the Werth Institute. Even as an undergraduate student, Mr. Vogel was a member of the Sigma Phi Epsilon Fraternity and the John F. Kennedy Institute for International Relations. Mr. Vogel is a member of the Constitution Circle of the Founders Society. In the community, he is a former board member and past President of the Stamford Jewish Community Center, where he also served as co-Chair of the Centennial Committee.

ATTACHMENT 12

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Provost
John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs
Auran J. Fox Chair in Business

February 26, 2020

TO: Members of the Board of Trustees

FROM: John A. Elliott, Ph.D.
Interim Provost and Executive Vice President for Academic Affairs

RE: Academic Program Inventory

BACKGROUND:

The Office of Higher Education maintains an inventory of approved academic programs offered by public and independent colleges and universities in Connecticut. Those listings are available to the general public through the Office's web site and provide the most accurate up-to-date information about programs of study in our state.

The information on the Inventory of Approved Academic programs is an important resource and is used to convey educational information to a broad range of constituencies, both in Connecticut and across the country. Additionally, in order for veterans to receive their earned educational benefits, they must be enrolled in a program that is accredited.

The following non-substantive changes and updates are provided to the Board for informational purposes.

Non-Substantive Changes and Updates

- Addition of Data Sciences as a concentration in the Master of Engineering.

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ATTACHMENT 13

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Executive Vice President for
Administration and Chief Financial Officer
Scott A. Jordan
Executive Vice President
for Administration
and Chief Financial Officer

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

RE: Software Upgrade to the PeopleSoft Student Administration System

RECOMMENDATION:

That the Board of Trustees approve a budget of $1,372,000 for licensing, consulting and contingency required to upgrade the PeopleSoft Student Administration system software to Campus Solutions 9.2 and PeopleTools 8.57. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $1,372,000 in UCONN 2000 Bond Funds for an upgrade to the PeopleSoft Student Administration system."

BACKGROUND:

The University, inclusive of Storrs, the regional campuses, and the Health Center, are currently using PeopleSoft Campus Solutions (CS) 9.0 and PeopleTools (PT) 8.54 from Oracle for the Student Administration system. PT 8.54 is no longer supported by the vendor, which means we do not receive critical patch updates, including those that address security vulnerabilities. We also need to upgrade to the latest PT 8.57 release because the interim upgrade, PT 8.56, requires search functionality not supported by the current CS version.

By upgrading to CS 9.2 and PT 8.57, the University improves the security of a system that contains sensitive data and aligns with Oracle's upgrade schedule, ensuring continued support. This upgrade will also introduce new technology that improves the performance of the internal search engine and enhances mobile responsiveness. These enhancements will deliver a more contemporary experience that better meet student expectations and device preferences.

This project is sponsored by Information Technology Services (ITS) with support from the offices of Financial Aid, Registrar, Admissions, and Bursar. The project budget consists of consulting services and licensing procured in accordance with State contracting requirements and University policies and procedures.

The project is scheduled to begin in March 2020 and targeted for completion in December 2020.

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ATTACHMENT 14

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for South Campus Commons Landscape and Pedestrian Improvements Plan (Revised Final: $5,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of $5,000,000, as detailed in the attached project budget, for the South Campus Commons Landscape and Pedestrian Improvements Plan, for Construction. The increase of $1,500,000 to the Project Budget enables the full scope of work, the prior budget included only the cost of enabling work. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $5,000,000 in UCONN 2000 bond funds for the South Campus Commons Landscape and Pedestrian Improvements project."

BACKGROUND:

The University of Connecticut's 2015 Campus Master Plan illustrated improvements and enhancements to an existing open space on South Campus located primarily between Whitney and Gilbert Roads and that were once occupied by several vacant "brown houses" (formerly known as Faculty Row). This space, bisected by a primary north-south pedestrian route called Academic Way, is adjacent to the new Student Recreation Center and was conceived in the Master Plan for passive recreation and outdoor events, new sidewalks, plantings, lighting, furnishings and improved storm water drainage.

The South Campus Commons project is currently in the Bidding Phase. A site programming guide was completed and used as the basis of schematic design for on-call landscape

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architectural and engineering services that began in 2017. The schematic design included three phased improvement areas. Construction of this initial phase will begin during the 2020 Summer Session and be completed during the Fall 2020 semester. The abatement and demolition of three of the brown houses – located at 5 Gilbert Road, 6 Gilbert Road and 417 Whitney Road – was a required enabling project and was completed in 2017. Two of the houses – located at 3 Gilbert Road and 4 Gilbert Road – were retained and stabilized to prevent further deterioration until a program for their adaptive reuse is developed and implemented at a later date.

The Revised Final Budget recommendation is based upon bid costs to complete the improvement plan, including the enabling work.

The Revised Final Budget is attached for your information and reflects an increase of $1,500,000 to the previously approved final budget of $3,500,000 which only included the cost of the enabling work.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

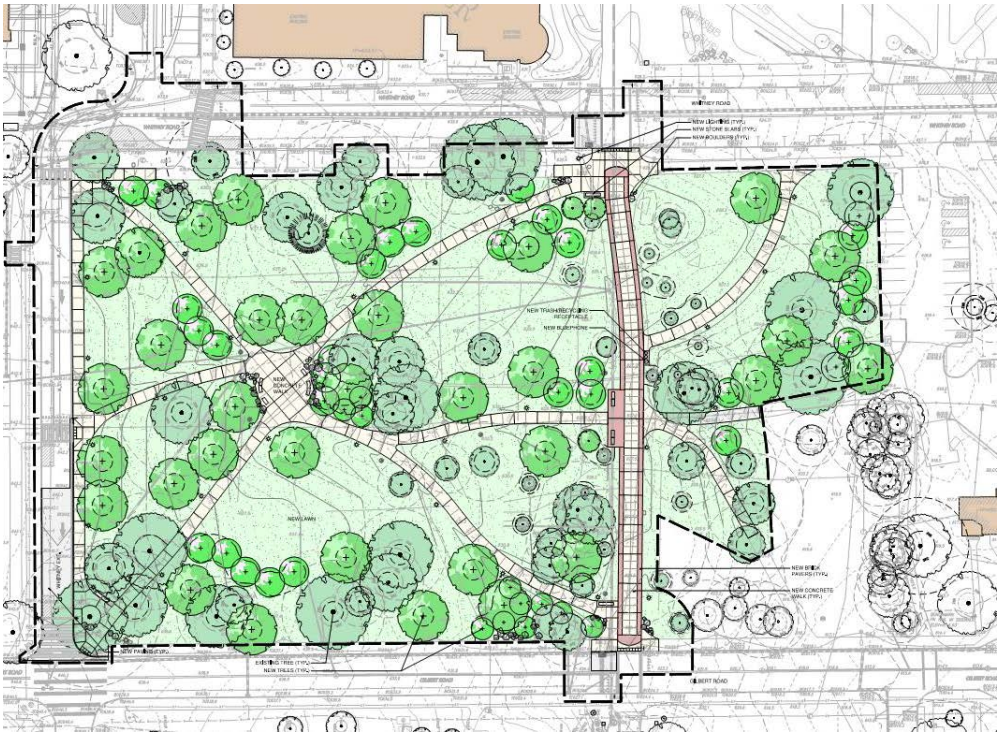
PROJECT NAME: SOUTH CAMPUS COMMONS LANDSCAPE AND PEDESTRIAN IMPROVEMENTS PLAN

BUDGETED EXPENDITURES	APPROVED PLANNING 2/1/2016 PRC	APPROVED REVISED PLANNING 5/18/2016 SARCC	APPROVED DESIGN 6/29/2016	APPROVED FINAL 2/22/2017	PROPOSED REVISED FINAL 2/26/2020
CONSTRUCTION	$ -	$ -	$ 2,200,000	$ 2,200,000	$ 3,300,000
DESIGN SERVICES	-	415,000	300,000	300,000	775,000
TELECOMMUNICATIONS	-	-	35,000	35,000	25,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	110,000	110,000	200,000
OTHER AE SERVICES (including Project Management)	25,000	15,000	145,000	145,000	165,000
ART	-	-	-	-	-
RELOCATION	-	-	25,000	25,000	5,000
ENVIRONMENTAL	-	-	150,000	150,000	10,000
INSURANCE AND LEGAL	-	-	2,500	5,500	5,000
MISCELLANEOUS	-	-	22,500	19,500	15,000
OTHER SOFT COSTS	-	-	-	-	-
SUBTOTAL	$ 25,000	$ 430,000	$ 2,990,000	$ 2,990,000	$ 4,500,000
PROJECT CONTINGENCY	5,000	50,000	510,000	510,000	500,000
TOTAL BUDGETED EXPENDITURES	$ 30,000	$ 480,000	$ 3,500,000	$ 3,500,000	$ 5,000,000
SOURCE(S) OF FUNDING*					
UCONN 2000 BOND FUNDS	$ 30,000	$ 480,000	$ 3,500,000	$ 3,500,000	$ 5,000,000
TOTAL BUDGETED FUNDING	$ 30,000	$ 480,000	$ 3,500,000	$ 3,500,000	$ 5,000,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

SOUTH CAMPUS COMMONS LANDSCAPE AND PEDESTRIAN IMPROVEMENTS PLAN
Project Budget (REVISED FINAL)
February 26, 2020

South Campus Commons Vision Plan



South Campus Commons Phase 1 **|** Plan Rendering of Proposed Work

South Campus Commons **|** View Looking North along Academic Way – Rendering from Master Plan

ATTACHMENT 15

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Fine Arts Phase II – Renovation and Improvements
(Revised Final: $37,530,000)

RECOMMENDATION:

That the Board of Trustees note a report of the Revised Final Budget of $37,530,000, as detailed in the attached project budget, for the Fine Arts Phase II – Renovation and Improvements, for Construction. The UConn Foundation has received a philanthropic gift in the amount of $530,000 to be provided to the School of Fine Arts to purchase additional furniture, fixtures and equipment (FF&E) and small tools for use in the new Production Facility. This Revised Final Budget allows the gift funds to be included in the project so as to effectuate the purchasing of these items. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees note the approval of the use of $35,500,000 in UCONN 2000 bond funds, $1,500,000 in University funds and $530,000 in Gift Funds for Fine Arts Phase II – Renovation and Improvements."

BACKGROUND:

UCONN 2000 and NextGenCT provided funding for the upgrade and renovation of the School of Fine Arts buildings on the main campus. A detailed review of both the program needs and existing conditions was completed and resulted in a Master Plan for the School of Fine Arts. Previously, gateway exterior improvements were approved by the Board of Trustees and completed in 2014 and the Music Library and Dean's offices were renovated in 2017.

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The current and final scope of the Fine Arts Master Plan includes the construction of a 30,000 square foot addition to the existing Drama/Music Building and Nafe Katter Theater to serve as centralized shops and theater production facility. The addition will provide a critical linkage that does not currently exist between Fine Arts buildings, accessible access to the second floor of the Drama/Music Building and a new entry lobby on the north side of the complex. The project also includes removal and replacement of the exterior glazing systems on the Storrs Road and Bolton Road sides of the building. Lastly, the project includes some site improvements and the creation of a plaza on the north side of the addition.

The Fine Arts Phase II – Renovation and Improvements project is currently in the Construction phase. Construction began in June 2018 and has a substantial completion date in January 2020. The project is being constructed under a Project Labor Agreement.

The Fine Arts Phase II – Renovation and Improvements project will conform to Connecticut High Performance Building Code regulations and will be registered as a LEED project with a target of LEED Silver.

The UConn Foundation has received a philanthropic gift in the amount of $530,000 to be provided to the School of Fine Arts to purchase additional FF&E and small tools for use in the new Production Facility. This Revised Final Budget allows the gift funds to be included in the project so as to effectuate the purchasing of these items. Board of Trustee (BOT) policy permits the Executive Vice President for Administration and Chief Financial Officer (EVPACFO) to approve changes up to 5% of the project budget, providing that funding is available, and the BOT is subsequently notified of the revised project budget, which is the subject of this resolution.

On January 27, 2020, the EVPACFO approved an increase of $530,000 (1.43% of the approved Revised Final Budget) for a new approved Revised Final Budget of $37,530.00.

The approved Revised Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: FINE ARTS PHASE II - RENOVATION AND IMPROVEMENTS

BUDGETED EXPENDITURES	**APPROVED PLANNING 8/3/2011**	**APPROVED DESIGN 4/29/2015**	**APPROVED FINAL 2/21/2018**	**APPROVED REVISED FINAL 12/12/2018**	**APPROVED REVISED FINAL 1/27/2020** EVPACFO
CONSTRUCTION	$ 16,000,000	$ 17,225,000	$ 25,100,000	$ 29,100,000	$ 29,100,000
DESIGN SERVICES	1,400,000	1,930,000	2,257,000	2,757,000	2,757,000
TELECOMMUNICATIONS	100,000	40,000	100,000	205,000	205,000
FURNITURE, FIXTURES AND EQUIPMENT	-	125,000	460,000	230,000	745,000
CONSTRUCTION ADMINISTRATION	-	600,000	730,000	770,000	770,000
OTHER AE SERVICES (including Project Management)	458,500	802,000	1,220,000	1,260,000	1,275,000
ART	-	160,000	160,000	-	-
RELOCATION	200,000	40,000	50,000	50,000	50,000
ENVIRONMENTAL	50,000	360,000	355,000	255,000	255,000
INSURANCE AND LEGAL	25,000	10,000	18,000	15,000	15,000
MISCELLANEOUS	-	33,000	20,000	25,000	25,000
OTHER SOFT COSTS*	1,206,500	-	-	-	-
SUBTOTAL	$ 19,440,000	$ 21,325,000	$ 30,470,000	$ 34,667,000	$ 35,197,000
PROJECT CONTINGENCY	2,160,000	2,175,000	3,030,000	2,333,000	2,333,000
TOTAL BUDGETED EXPENDITURES	$ 21,600,000	$ 23,500,000	$ 33,500,000	$ 37,000,000	$ 37,530,000
SOURCE(S) OF FUNDING*					
UCONN 2000 BOND FUNDS	$ 21,600,000	$ 23,500,000	$ 33,500,000	$ 35,500,000	$ 35,500,000
UNIVERSITY FUNDS	-	-	-	1,500,000	1,500,000
GIFT FUNDS	-	-	-	-	530,000
TOTAL BUDGETED FUNDING	$ 21,600,000	$ 23,500,000	$ 33,500,000	$ 37,000,000	$ 37,530,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

ATTACHMENT 16

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III (Revised Final: $57,500,000)

RECOMMENDATION:

That the Board of Trustees note a report of the Revised Final Budget of $57,500,000 for the North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III. The increase of $300,000 to the Project Budget is attributable to additional unforeseen conditions and the necessary repair of an existing steam line during project closeout. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees note the approval of the use of $57,386,364 in UCONN 2000 bond funds and $113,636 in Other Funds for North Eagleville Road Area Infrastructure Repair/ Replacement and Upgrades – Phase III."

BACKGROUND:

The North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III project is intended to replace aging infrastructure along a portion of the North Eagleville Road corridor from the W.B. Young Building westerly to the Northwest Residences.

Phase III is being implemented in two phases of construction over a period of three Summers/Falls in 2016-2018. The University has retained a Construction Manager at Risk to implement the project under a Guaranteed Maximum Price (GMP) contract.

Phase IIIA was completed in the Fall of 2016 and focused on the area of Towers Residence Halls, the CAHNR campus east of Storrs Road and a portion of North Eagleville Road from Storrs Road west to the Lakeside Building and northerly to the Towers Residential Complex.

This phase replaced steam distribution and condensate return piping, electrical power distribution, telecommunications distribution, and a domestic water main.

Phase IIIB is focused on North Eagleville Road from Storrs Road west to Discovery Drive. This phase replaces steam distribution and condensate return piping, electrical power distribution, telecommunication distribution, sanitary force main, and install a new high pressure fire main. Surface and roadway improvements to North Eagleville Road will be included in this phase of construction and will include pedestrian safety improvements, improved lighting, and improved traffic flow through the corridor.

The North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase IIIB is currently in the Closeout Phase. Construction began in May 2017 with anticipated completion in August 2018, with landscape completion to follow in October 2018. Phase IIIB is being constructed under a Project Labor Agreement.

The increase to the Project Budget is attributable to additional unforeseen field conditions during closeout and related to the need to repair existing degraded steam line located in North Eagleville Road. The issues with the existing steam infrastructure were identified during the process of re-energizing the steam system. The construction team determined that the portions of the existing steam pipe system would not hold pressure and to address the issue, the engineer of record recommended excavating and repairing sections of the existing steam line. After excavating commenced in accordance with repair recommendations, the design and construction team identified that the necessary repair work was more extensive than what was initially anticipated. Consequently, the design team revised the investigation and repair scope of work. The implementation of these recommendations required an increase to the $57,200,000 Approved Revised Final Budget. Board of Trustee (BOT) policy permits the Executive Vice President for Administration and CFO (EVPACFO) to approve changes up to 5% of the project budget, providing that funding is available, and the BOT is subsequently notified of the revised project budget, which is the subject of this resolution.

On January 27, 2020, the EVPACFO approved an increase of $300,000 (0.5 % of the approved Revised Final Budget) for a new approved Revised Final Budget of $57,500,000.

The approved Revised Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: NORTH EAGLEVILLE ROAD AREA INFRASTRUCTURE REPAIR/REPLACEMENT AND UPGRADES - PHASE III

BUDGETED EXPENDITURES	**APPROVED PLANNING 4/28/2015 SARCC**	**APPROVED REVISED PLANNING 8/5/2015**	**APPROVED DESIGN 10/28/2015**	**APPROVED FINAL 12/16/2015**	**APPROVED REVISED FINAL 3/29/2017**	**APPROVED REVISED FINAL 9/1/2017 EVPACFO**	**APPROVED REVISED FINAL 9/27/2017**	**APPROVED REVISED FINAL 7/5/2018 EVPACFO**	**APPROVED REVISED FINAL 1/27/2020 EVPACFO**
CONSTRUCTION	$ 250,000	$ 200,000	$ 300,000	$ 13,000,000	$ 41,947,000	$ 44,397,000	$ 49,697,000	$ 50,172,000	$ 50,472,000
DESIGN SERVICES	-	1,000,000	2,000,000	2,000,000	2,100,000	2,100,000	2,100,000	3,700,000	3,700,000
TELECOMMUNICATIONS	-	-	-	-	100,000	100,000	100,000	50,000	50,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-	-	-	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	750,000	750,000	770,000	770,000	770,000	1,000,000	1,000,000
OTHER AE SERVICES (including Project Management)	10,000	90,000	150,000	1,200,000	1,953,000	1,953,000	1,953,000	1,953,000	1,953,000
ART	-	-	-	-	-	-	-	-	-
RELOCATION	-	-	-	-	-	-	-	-	-
ENVIRONMENTAL	-	30,000	30,000	210,000	335,000	335,000	335,000	-	-
INSURANCE AND LEGAL	-	10,000	170,000	200,000	155,000	155,000	155,000	10,000	10,000
MISCELLANEOUS	2,000	-	-	140,000	140,000	140,000	140,000	15,000	15,000
OTHER SOFT COSTS	-	-	-	-	-	-	-	-	-
SUBTOTAL	$ 262,000	$ 1,330,000	$ 3,400,000	$ 17,500,000	$ 47,500,000	$ 49,950,000	$ 55,250,000	$ 56,900,000	$ 57,200,000
PROJECT CONTINGENCY	38,000	170,000	600,000	2,500,000	1,500,000	1,500,000	750,000	300,000	300,000
TOTAL BUDGETED EXPENDITURES	$ 300,000	$ 1,500,000	$ 4,000,000	$ 20,000,000	$ 49,000,000	$ 51,450,000	$ 56,000,000	$ 57,200,000	$ 57,500,000
SOURCE(S) OF FUNDING*									
UCONN 2000 BOND FUNDS	$ 300,000	$ 1,500,000	$ 4,000,000	$ 20,000,000	$ 49,000,000	$ 51,450,000	$ 55,886,364	$ 57,086,364	$ 57,386,364
OTHER FUNDS	-	-	-	-	-	-	113,636	113,636	113,636
TOTAL BUDGETED FUNDING	$ 300,000	$ 1,500,000	$ 4,000,000	$ 20,000,000	$ 49,000,000	$ 51,450,000	$ 56,000,000	$ 57,200,000	$ 57,500,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

ATTACHMENT 17

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Supplemental Utility Plant Project
(Final: $67,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $67,000,000, as detailed in the attached project budget, for the Supplemental Utility Plant Project, for Construction. The project will house only equipment that enables the completion of the Next Generation CT Science program, including heating and cooling for the Gant Science Complex renovation and the STEM Research Center - Science 1 new building. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $67,000,000 in UCONN 2000 bond funds for the Supplemental Utility Plant Project."

BACKGROUND:

Utility modeling has shown that additional chilled water, steam, and electrical power will be needed to complete the renovation of the Gant Science Complex and the construction of the STEM Research Center - Science 1 building, both of which are key elements in the State's Next Generation CT program.

To meet these additional loads, a new Supplemental Utility Plant (SUP) will be constructed in the Northwest Science Quad District, but it will include only equipment required to complete Gant and Science 1. Equipment to generate electricity is NOT included, pending the study of renewable energy resources and the reduction of carbon emissions by the Trustees, Administration, Faculty and Students (TAFS) committee, the Solve Climate by 2030 committee, and the President's Working Group on Sustainability.

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To meet the immediate Gant and Science 1 needs for heating and cooling, and the need for an upgrade to the existing campus power interconnection and distribution system, the SUP will include:

- Two steam chillers and two electric chillers;
- An upgraded electrical utility connection to re-establish the original University operating requirements for campus electrical power distribution, allowing the campus to be serviced fully by either local UConn Cogenerated Clean Heat and Power Distributed Generation Resource Micro-Grid power or purchased imported power from the Eversource grid;
- Two emergency generator(s) to support emergency power demands for Gant Science Complex and Science 1;
- Space allocation and provisions for one (1) steam boiler as part of the replacement of four (4) aging boilers located at the Central Utility Plant (CUP) which are required to be phased out of service by 2023 due to DEEP/EPA regulatory emissions caps. The new dual-fuel efficient steam boilers will reduce greenhouse gas emissions by 3.5% - 5.25% from current levels.

Formerly known as SUP Phase 2, construction to enhance the local UConn Cogenerated Clean Heat and Power Distributed Generation Resource Micro-Grid tri-generation to increase the current capacity to service projected campus needs is **on hold,** pending the outcome of the sustainability committees and working groups.

The Supplemental Utility Plant Project is currently in the Pre-Construction Phase. Planning began in January 2018 and the project was bid in January 2020. Construction is to be coordinated with the STEM Research Center – Science 1 project and Gant Phase 2 renovations and is anticipated to begin in Spring 2020 and to be complete in Winter 2021.

The estimated total project cost is $67 million. The Final Budget is based on reconciled estimates of construction costs prepared by the project consultant and construction manager. The University intends to issue construction contracts on receipt of satisfactory bids and the development of a Guaranteed Maximum Price.

The project is being constructed utilizing a Project Labor Agreement.

The Final Phase Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: SUPPLEMENTAL UTILITY PLANT

BUDGETED EXPENDITURES	APPROVED PLANNING 9/27/2017	APPROVED DESIGN 6/26/2019	PROPOSED FINAL 2/26/2020
CONSTRUCTION	$ 200,000	$ 200,000	$ 51,450,000
DESIGN SERVICES	3,830,000	3,830,000	4,400,000
TELECOMMUNICATIONS	-	-	500,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	50,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	230,000	230,000	3,300,000
ENVIRONMENTAL	60,000	60,000	100,000
RELOCATION	-	-	-
INSURANCE AND LEGAL	30,000	30,000	50,000
MISCELLANEOUS	-	-	-
OTHER SOFT COSTS	150,000	150,000	150,000
SUBTOTAL	$ 4,500,000	$ 4,500,000	$ 60,000,000
PROJECT CONTINGENCY	500,000	500,000	7,000,000
TOTAL BUDGETED EXPENDITURES	$ 5,000,000	$ 5,000,000	$ 67,000,000
SOURCE(S) OF FUNDING*			
UCONN 2000 BOND FUNDS	$ 5,000,000	$ 5,000,000	$ 67,000,000
TOTAL BUDGETED FUNDING	$ 5,000,000	$ 5,000,000	$ 67,000,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

SUPPLEMENTAL UTILITY PLANT
Project Budget (FINAL)
February 26, 2020

Supplemental Utility Plant lower level – from King Hill Road

Supplemental Utility Plant (right) with Science One at left

ATTACHMENT 18

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Boiler Plant Equipment Replacement and Utility Tunnel Connection (Final: $40,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $40,000,000, as detailed in the attached project budget, for the Boiler Plant Equipment Replacement and Utility Tunnel Connection, for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $40,000,000 in UCONN 2000 bond funds for Boiler Plant Equipment Replacement and Utility Tunnel Connection."

BACKGROUND:

This project will be implemented in three (3) phases.

Phase 1 is for the pre-purchase of three (3) factory-fabricated, dual-fuel water-tube boilers. Early purchase of the boilers is necessary to meet the project construction schedule due to the long lead time required to fabricate the boilers. The existing 1960s vintage CUP boilers are inefficient; require extensive maintenance to stay operational and; replacement parts are difficult to obtain or are no longer manufactured. Additionally, CT DEEP notified the University that the boilers are be de-commissioned by June 2023 due to non-compliance with revised more stringent emissions regulations. The new efficient boilers will reduce greenhouse gas emissions by 3.5% - 5.25% from current levels.

Phase 2 will complete the utility tunnel interconnections between the future Supplemental Utility Plant (SUP) and the existing Central Utility Plant (CUP). Work includes extension of the steam, chilled water, and electrical connections from their current locations within the existing "North

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Utility Tunnel" at the northeast corner of the UTEB building into the CUP and extension of the existing electrical distribution system. Four (4) existing steam boilers located at the CUP will be decommissioned and demolished in preparation for Phase 3. These boilers are required to provide heating steam during periods that the Cogeneration turbines are not available to provide sufficient recovered exhaust heat for the campus heating load.

Phase 3 will install two (2) of the factory-fabricated, dual-fuel water-tube boilers purchased in Phase 1 in the CUP with the third boiler to be installed in the SUP.

The Boiler Plant Equipment Replacement and Utility Tunnel Connection is currently in the Design Phase. Planning began in Fall of 2018 and Phase 1 and 2 of the project will bid in February 2020. Construction is anticipated to begin in Summer 2020 with completion in Fall 2022.

The Final Budget is based on reconciled estimates of construction costs prepared by the project consultant and construction manager. The University intends to issue construction contracts on receipt of satisfactory bids and the development of Guaranteed Maximum Prices for all Phases as described herein.

The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: BOILER PLANT EQUIPMENT REPLACEMENT AND UTILITY TUNNEL CONNECTION

BUDGETED EXPENDITURES	**APPROVED PLANNING 3/21/2019**	**APPROVED REVISED PLANNING 4/24/2019**	**APPROVED DESIGN 8/14/2019**	**PROPOSED FINAL 2/26/2020**
	PRC			
CONSTRUCTION	$ -	$ -	$ 600,000	$ 29,200,000
DESIGN SERVICES	350,000	870,000	1,050,000	2,000,000
TELECOMMUNICATIONS	-	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-
CONSTRUCTION ADMINISTRATION	40,000	100,000	100,000	1,200,000
OTHER AE SERVICES (including Project Management)	25,000	125,000	150,000	2,000,000
ART	-	-	-	-
RELOCATION	-	-	-	-
ENVIRONMENTAL	5,000	5,000	160,000	550,000
INSURANCE AND LEGAL	5,000	10,000	10,000	50,000
MISCELLANEOUS	5,000	10,000	30,000	-
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	$ 430,000	$ 1,120,000	$ 2,100,000	$ 35,000,000
PROJECT CONTINGENCY	50,000	130,000	200,000	5,000,000
TOTAL BUDGETED EXPENDITURES	$ 480,000	$ 1,250,000	$ 2,300,000	$ 40,000,000
SOURCE(S) OF FUNDING*				
UCONN 2000 BOND FUNDS	$ 480,000	$ 1,250,000	$ 2,300,000	$ 40,000,000
TOTAL BUDGETED FUNDING	$ 480,000	$ 1,250,000	$ 2,300,000	$ 40,000,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

BOILER PLANT EQUIPMENT REPLACEMENT AND UTILITY TUNNEL CONNECTION

Project Budget (FINAL)

February 26, 2020

Existing Central Utility Plant

Basis of Design Water-Tube Boiler

ATTACHMENT 19

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Residential Life Facilities – North Campus Residence Halls Renovations – Phase 2 (Final: $2,170,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $2,170,000, as detailed in the attached project budget, for the Residential Life Facilities – North Campus Residence Halls Renovations – Phase 2 for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $2,170,000 in UCONN 2000 bond funds for Residential Life Facilities – North Campus Residence Halls Renovations – Phase 2 and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget."

BACKGROUND:

Middlesex, Windham and New London Residence Halls, within North Campus, were built in 1950 to accommodate the surge of students that came in the post-World War II years. The bathrooms in Middlesex Hall are outdated and in need of upgrading of all plumbing fixtures, lighting, shower and floor restoration. Removal of asbestos floor tiles and hazardous material in the ceiling will also be completed in student rooms in both Windham and New London Residence Halls. New flooring, lighting and paint will also be a part of these student room improvements.

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Residential Life Facilities - North Campus Residence Halls Renovations – Phase 2 Project is currently in the Design Phase. Construction is anticipated to begin in May 2020 and completed in August 2020.

The Final Budget is based on the University Planning, Design and Construction preliminary opinion of construction cost during Design.

The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: RESIDENTIAL LIFE FACILITIES - NORTH CAMPUS RESIDENCE HALL RENOVATIONS PHASE 2

BUDGETED EXPENDITURES	**APPROVED DESIGN 10/8/2019**	**PROPOSED FINAL 2/26/2020**
	PRC	
CONSTRUCTION	$ -	$ 1,800,000
DESIGN SERVICES	43,000	45,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	2,000	65,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	5,000	35,000
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	-
OTHER SOFT COSTS	-	-
SUBTOTAL	$ 50,000	$ 1,945,000
PROJECT CONTINGENCY	5,000	225,000
TOTAL BUDGETED EXPENDITURES	$ 55,000	$ 2,170,000
SOURCE(S) OF FUNDING*		
UCONN 2000 BOND FUNDS	$ 55,000	$ 2,170,000
TOTAL BUDGETED FUNDING	$ 55,000	$ 2,170,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

RESIDENTIAL LIFE FACILITIES-
NORTH CAMPUS RENOVATIONS PHASE 2
Project Budget (FINAL)
February 26, 2020

ATTACHMENT 20

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations (Final: $1,600,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $1,600,000, as detailed in the attached project budget, for the Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $1,600,000 in UCONN 2000 bond funds for the Residential Life Facilities- Hicks and Grange Student Room and Common Area Renovations project."

BACKGROUND:

Hicks and Grange Residence Halls, within East Campus, were built in 1950 for agricultural students. Student rooms throughout these two buildings have never been renovated due to asbestos floor tiles and asbestos in the skim coated ceilings. This renovation will remove all asbestos in these locations as well as improving the lighting, fire alarm systems and IT cabling systems. Common areas such as stairwells, corridors and lounges will receive new flooring, paint and lighting. This renovation comes a year after all of the bathrooms in these buildings were renovated.

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The Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations is currently in the Design Phase. Contractor prequalification process is in progress, with bidding to follow immediately. Construction is anticipated to begin in May 2020 and be complete in August 2020.

The Final Budget is based on University Planning, Design and Construction preliminary opinion of construction cost during Design.

The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

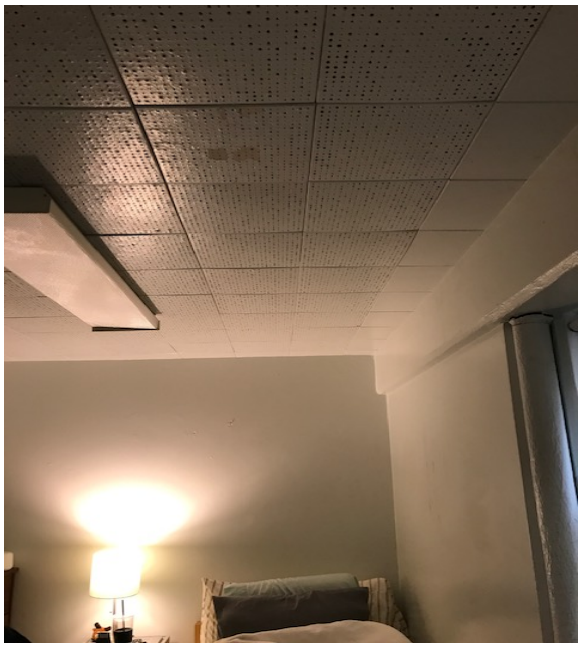
TYPE BUDGET: FINAL

PROJECT NAME: RESIDENTIAL LIFE FACILITIES - HICKS AND GRANGE STUDENT ROOM AND COMMON AREA RENOVATIONS

BUDGETED EXPENDITURES	**APPROVED PLANNING 10/28/2019**	**APPROVED DESIGN 2/7/2020**	**PROPOSED FINAL 2/26/2020**
	PRC	PRC	
CONSTRUCTION	$ -	$ -	$ 1,000,000
DESIGN SERVICES	57,800	105,000	105,000
TELECOMMUNICATIONS	-	40,000	145,000
FURNITURE, FIXTURES AND EQUIPMENT	-	50,000	100,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	2,500	47,000	50,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	10,000	50,000	50,000
INSURANCE AND LEGAL	-	-	-
MISCELLANEOUS	-	-	-
OTHER SOFT COSTS	-	-	-
SUBTOTAL	$ 70,300	$ 292,000	$ 1,450,000
PROJECT CONTINGENCY	11,700	50,000	150,000
TOTAL BUDGETED EXPENDITURES	$ 82,000	$ 342,000	$ 1,600,000
SOURCE(S) OF FUNDING*			
UCONN 2000 BOND FUNDS	$ 82,000	$ 342,000	$ 1,600,000
TOTAL BUDGETED FUNDING	$ 82,000	$ 342,000	$ 1,600,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

RESIDENTIAL LIFE FACILITIES- HICKS AND GRANGE
STUDENT ROOM AND COMMON AREA RENOVATIONS
Project Budget (FINAL)
February 26, 2020



ATTACHMENT 21

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Main Campus Substation Switchgear Relay Replacement – AET5P-14G SCADA (Final: $565,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $565,000, as detailed in the attached project budget, for Main Campus Substation Switchgear Relay Replacement AET 5P-14G SCADA. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $565,000 in University Funds for the Main Campus Substation Switchgear Relay Replacement AET 5P-14G SCADA project; and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget."

BACKGROUND:

The current main campus switchgear is outdated and requires replacement. American Electrical Testing Co., LLC (AET) will provide turn key engineering services associated with the replacement of nine (9) ABB relays at the UCONN 5P – 14G 13.8kV Main Campus Switchgear, with new SCADA SEL microprocessor based relaying, control, Sequence of Events Recording, and GPS satellite clock synchronization. The improved reliability and resilience of the switchgear will reduce carbon and GHG emissions by reducing the number of starts/stops of the Cogeneration Facility and reducing the amount of required imported electricity from the grid.

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The Final Budget is based on the consultant’s preliminary opinion of construction cost during Design.

The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: MAIN CAMPUS SUBSTATION SWITCHGEAR RELAY REPLACEMENT AET 5P-14G SCADA

BUDGETED EXPENDITURES	**PROPOSED FINAL 2/26/2020**
CONSTRUCTION	$ 294,200
DESIGN SERVICES	224,900
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	-
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	4,048
OTHER SOFT COSTS	-
SUBTOTAL	$ 523,148
PROJECT CONTINGENCY	41,852
TOTAL BUDGETED EXPENDITURES	$ 565,000
SOURCE(S) OF FUNDING*	
UNIVERSITY FUNDS	$ 565,000
TOTAL BUDGETED FUNDING	$ 565,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

BOT 2.26.20
FO500090

ATTACHMENT 22

UCONN
UNIVERSITY OF CONNECTICUT

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

John A. Elliott
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for UCONN 2000 Code Remediation: Stamford Downtown Relocation (Final: $4,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $4,000,000, as detailed in the attached project budget, for the first phase of the remediation of code discrepancies at the UConn Stamford Downtown Campus. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $45,000 in University Funds and $3,955,000 in UCONN 2000 bond funds for UCONN 2000 Code Remediation: Stamford Downtown Relocation and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget."

BACKGROUND:

After completing a required plan review and field inspection of the UCONN 2000 Code Remediation – Stamford Downtown Relocation project, the Office of the Fire Marshal and Building Inspector cited fifty-three code discrepancies related to the original project.

The University is in the process of negotiating in-kind services for the remediation of discrepancies determined to be attributable to the original Contractor and Architect.

The University has engaged the services of an architect to complete the necessary design for the remediation of the balance of the discrepancies and to integrate the designs with planned

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programmatic renovations. The University has also retained the services of a construction manager to undertake the necessary preconstruction services to estimate the construction costs and to begin remediation and construction.

The University intends to implement selected programmatic renovations and code remediation over a series of 2 to 3 consecutive summers in order to minimize the impacts on the use and occupancy of the building during construction.

The Final budget is to permit construction described above to begin in the summer of 2020. The costs are based on conceptual estimates by a professional estimator and the current budget includes the proposed remediation work for the summer 2020 and the previously approved costs of the 23 discrepancies already corrected to date. **The costs associated with corrective work required in the summers of 2021 and 2022 are not included in the Final Budget at this time and will be submitted in the future once the design work and construction estimates are completed.**

The scope of the entire project will include correction of all code discrepancies, relocations and logistics as necessary, and minor programmatic renovations. The anticipated total project cost for these items is $15,000,000 to $20,000,000, to be confirmed.

The Final Budget is attached for your information and reflects an increase of $1,500,000 to the previously approved revised planning budget of $2,500,000.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCONN 2000 CODE REMEDIATION: STAMFORD DOWNTOWN RELOCATION

BUDGETED EXPENDITURES	APPROVED PLANNING 10/28/2015	APPROVED REVISED PLANNING 10/23/2019	PROPOSED FINAL 2/26/2020
CONSTRUCTION	$ 1,200,000	$ 1,000,000	$ 2,000,000
DESIGN SERVICES	160,000	700,000	700,000
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	250,000	250,000	250,000
OTHER AE SERVICES (including Project Management)	68,000	75,000	125,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	155,000	225,000	225,000
MISCELLANEOUS	33,660	-	-
OTHER SOFT COSTS	-	-	-
SUBTOTAL	$ 1,866,660	$ 2,250,000	$ 3,300,000
PROJECT CONTINGENCY	133,340	250,000	700,000
TOTAL BUDGETED EXPENDITURES	$ 2,000,000	$ 2,500,000	$ 4,000,000
SOURCE(S) OF FUNDING*			
UNIVERSITY FUNDS	$ 45,000	$ 45,000	$ 45,000
UCONN 2000 BOND FUNDS	1,955,000	2,455,000	3,955,000
TOTAL BUDGETED FUNDING	$ 2,000,000	$ 2,500,000	$ 4,000,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

ATTACHMENT 23

UCONN HEALTH

February 26, 2020

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs

Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Dermatology Clinic Renovation – C Main
(Final: $2,600,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of $2,600,000, as detailed in the attached project budget for the UConn Health Dermatology Clinic Renovation – C Main Project.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $2,600,000 of UConn Health Capital Funds for the UConn Health Dermatology Clinic Renovation – C Main."

BACKGROUND:

The UConn Health (UCH) Dermatology Clinic located at 11 South Road in Farmington, CT has grown and requires more space. UCH plans to renovate 7,400 sf of vacant space within the Clinic (C) Building to create a new Psoriasis Center. The center will consist of 12 treatment rooms, 4 procedure rooms, soaking stations and associated support spaces.

The Final Budget is attached for your consideration. The Final Budget reflects current design estimates and may change based upon the actual bids received. The bids for this project are due on February 18, 2020 and this budget assumes bids that are on budget. The UConn Health Board of Directors is anticipated to approve this budget at their meeting on March 9, 2020.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

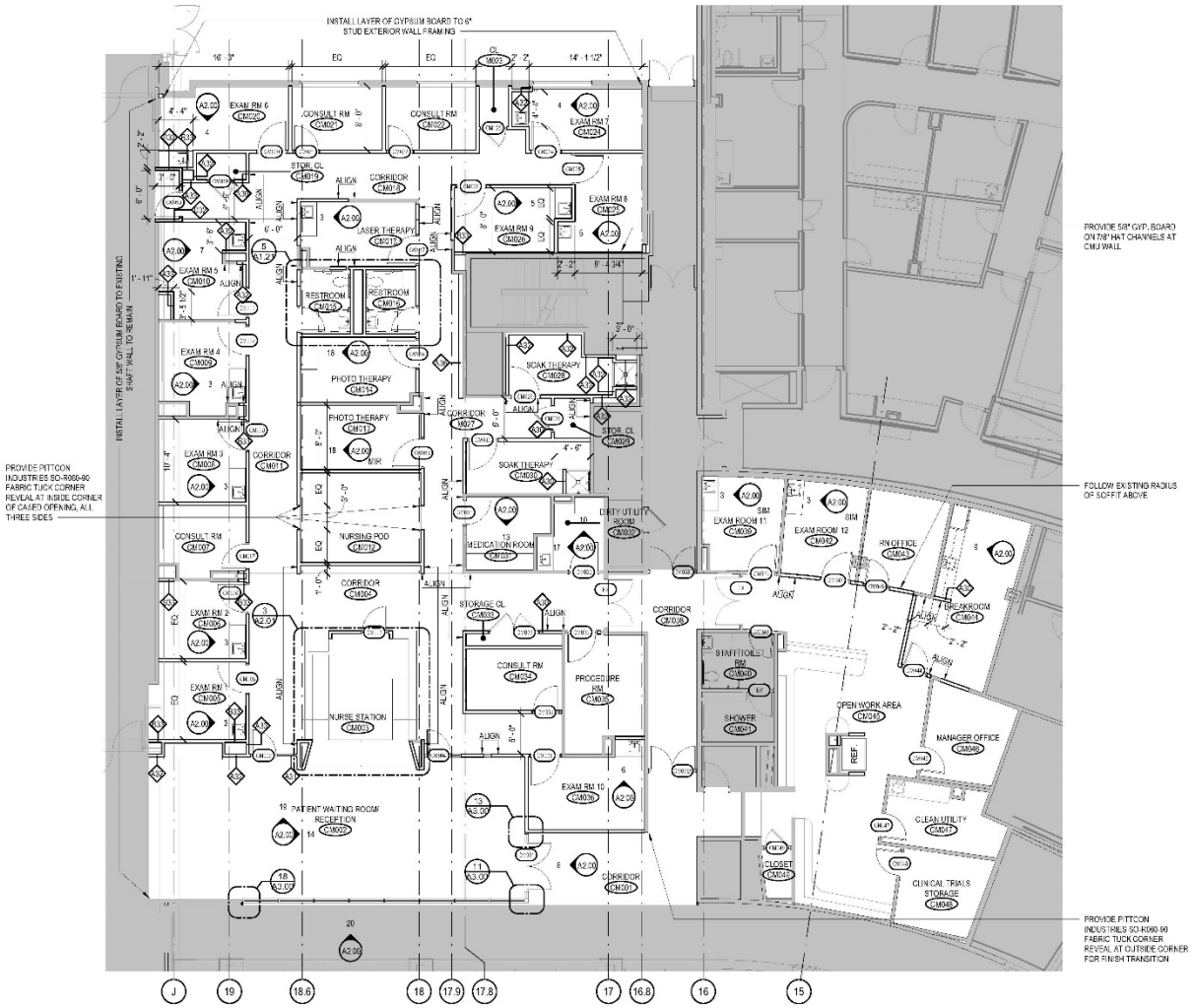
TYPE BUDGET: FINAL

PROJECT NAME: UCH - DERMATOLOGY CLINIC RENOVATION - C MAIN

BUDGETED EXPENDITURES	APPROVED DESIGN 3/27/2019	APPROVED REVISED DESIGN 12/11/2019	PROPOSED FINAL 2/26/2020
CONSTRUCTION	$ 1,475,000	$ 1,810,000	$ 1,810,000
DESIGN SERVICES	154,000	180,000	180,000
TELECOMMUNICATIONS	41,000	150,000	150,000
FURNITURE, FIXTURES AND EQUIPMENT	140,000	190,000	190,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	9,000	9,000	9,000
ART	-	-	-
RELOCATION	15,000	15,000	15,000
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	-	-	-
MISCELLANEOUS	6,000	6,000	6,000
SUBTOTAL	$ 1,840,000	$ 2,360,000	$ 2,360,000
PROJECT CONTINGENCY	190,000	240,000	240,000
TOTAL BUDGETED EXPENDITURES	$ 2,030,000	$ 2,600,000	$ 2,600,000
SOURCE(S) OF FUNDING*			
UCONN HEALTH CAPITAL FUNDS	$ 2,030,000	$ 2,600,000	$ 2,600,000
TOTAL BUDGETED FUNDING	$ 2,030,000	$ 2,600,000	$ 2,600,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HEALTH/IMPROVEMENTS
UConn Health Dermatology Clinic Renovation – C Main
Project Budget (Final) $2,600,000
February 26, 2020



13 PARTIAL MAIN FLOOR CONSTRUCTION PLAN
SCALE: 1/8" = 1'-0"

DERMATOLOGY CLINIC RENOVATION FLOOR PLAN

ATTACHMENT 24

UCONN HEALTH

February 26, 2020

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs

Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Main Building Lab Area Renovations - 3rd Floor (Final: $7,800,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of $7,800,000 as detailed in the attached project budget for the UConn Health Main Building (L) Lab Renovations – 3rd Floor Project.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $7,800,000 from UConn Health School of Medicine Operating funds, Research IDC Capital, and the Foundation philanthropic funds for the UConn Health Main Building (L) Lab Renovations – 3rd Floor Project.

BACKGROUND:

Under Bioscience Connecticut, two projects were implemented to renovate the laboratory space located in the Main Building Lab (L) Area per the concepts developed under the 2009 Main Building Renovation Master Plan. The two projects renovated approximately 200,000 SF of the 280,000 SF in the Lab Area, leaving a portion of floors 1, 2, and 3 un-renovated. This project will renovate a section of the 3rd floor to create open and flexible, state of the art wet lab research space similar to the work done on other floors under the Bioscience CT projects.

Funding for this project is from multiple sources including UConn Health School of Medicine Operating funds, Research IDC Capital, and the Foundation philanthropic efforts.

The Final Budget is attached for your consideration. The Final Budget reflects current design estimates and may change based upon the actual bids received. The bids for this project are due on February 10, 2020 and this budget assumes bids that are on budget. The UConn Health Board of Directors is anticipated to approve this budget at their meeting on March 9, 2020.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

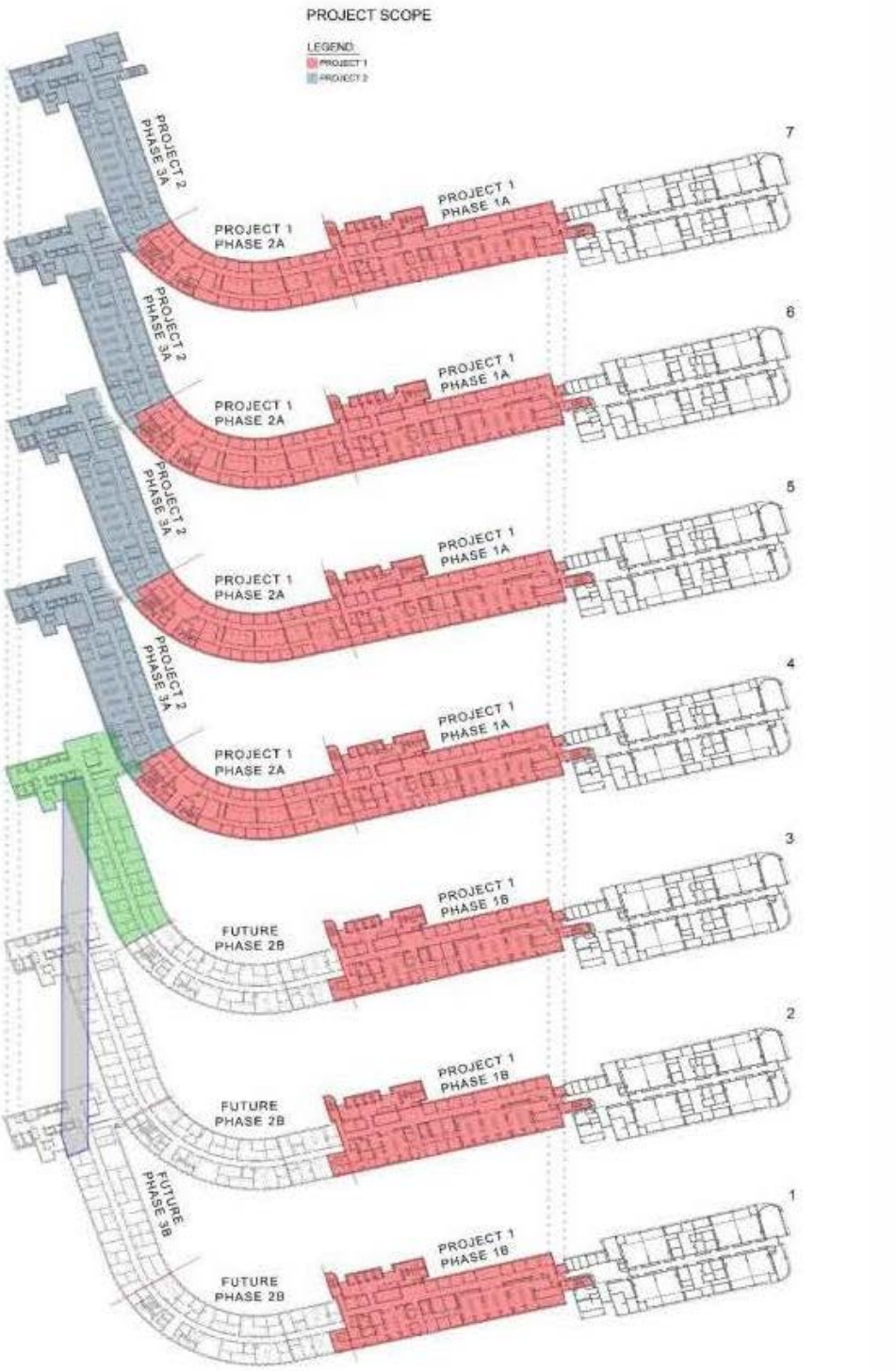
TYPE BUDGET: FINAL

PROJECT NAME: UCONN HEALTH - MAIN BUILDING (L) LAB RENOVATIONS - 3RD FLOOR

BUDGETED EXPENDITURES	APPROVED DESIGN 10/23/2019	PROPOSED FINAL 2/26/2020
CONSTRUCTION	$ 5,750,000	$ 5,750,000
DESIGN SERVICES	665,000	665,000
TELECOMMUNICATIONS	150,000	150,000
FURNITURE, FIXTURES AND EQUIPMENT	115,000	115,000
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	75,000	75,000
ART	-	-
RELOCATION	110,000	110,000
ENVIRONMENTAL	65,000	65,000
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	50,000	50,000
SUBTOTAL	$ 6,980,000	$ 6,980,000
PROJECT CONTINGENCY	820,000	820,000
TOTAL BUDGETED EXPENDITURES	$ 7,800,000	$ 7,800,000
SOURCE(S) OF FUNDING*		
UCONN HEALTH RESEARCH IDC CAPITAL	$ 2,000,000	$ 2,000,000
UCONN HEALTH SCHOOL OF MEDICINE DEAN'S IDC RECOVERY	950,000	950,000
UCONN HEALTH SCHOOL OF MEDICINE OPERATING FUNDS	4,700,000	4,700,000
UCONN HEALTH GIFT FUNDS	150,000	150,000
TOTAL BUDGETED FUNDING	$ 7,800,000	$ 7,800,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HEALTH/IMPROVEMENTS
UConn Health Main Building Lab Area Renovations – 3rd Floor
Project Budget (Final) $7,800,000
February 26, 2020



MASTER PLAN MAIN BUILDING LAB RENOVATIONS

ATTACHMENT 25

UCONN
UNIVERSITY OF CONNECTICUT

Office of the Executive Vice President for
Administration and Chief Financial Officer
Scott A. Jordan
Executive Vice President
for Administration
and Chief Financial Officer

February 26, 2020

TO: Members of the Board of Trustees

FROM: Scott Jordan
Executive Vice President for Administration and Chief Financial Officer

RE: Modification of Utility Easement to CL&P dba Eversource Energy

RECOMMENDATION:

That the Board of Trustees approves the modification of an existing easement to allow CL&P dba Eversource Energy to construct and maintain an additional line of poles and associated distribution lines. The Administration recommends that the Board of Trustee adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approves an easement modification to allow CL&P dba Eversource Energy to construct and maintain an additional line of poles and associated distribution lines."

BACKGROUND:

This easement modification is associated with a project by CL&P dba Eversource Energy ("Eversource") to enhance the reliability of its local distribution system. Within an existing 50-foot wide and approximately 1250-foot long easement area, Eversource proposes to construct a new circuit on a new pole line from its Mansfield Substation located on the north side of North Eagleville Road. The beginning and the end of the affected area within the existing easement area is shown on the attached aerial location map.

The existing pole line is at capacity, so the new pole line is needed to bring two new circuits out of the Substation, providing for more circuit diversity and resiliency. To accomplish this work, Eversource proposes to modify the easement in the following ways:

1. To allow for more than one line of poles in the easement area;
2. To add limited guying areas outside the current easement area; and
3. To create an additional 10'-0" aerial overhang easement area for cross-arms and other overhead appurtenances to be located 15'-0" or more above grade.

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These features are shown on the attached “Easement Plan -- Map Showing Aerial Easement and Guying Area Easements to be granted to The Connecticut Light and Power Company D/B/A Eversource Energy Across Property of The University of Connecticut.”

Eversource represents that the proposed section of distribution line will stop at the northernmost pole as shown on the referenced easement plan, and that it currently has no plans for this additional line to go any farther north toward Route 44.

CNG has proposed its standard form of modification, which remains subject to negotiation.

UConn will seek no consideration for this modification given its limited scope and because UConn and Eversource have ongoing cooperative efforts in several respects.

Attachments

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MAP REFERENCES :

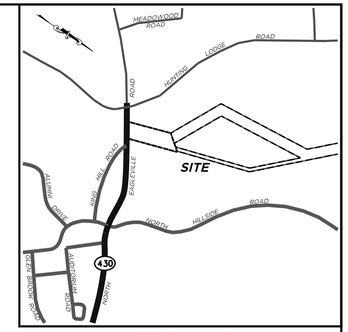
1. MANSFIELD S/S – BLAIR ROAD S/S
   SURVEY PLAN FROM STA 0+00.00 MANSFIELD S/S TO STA. 100+95.35 VIC. CONN RT. 195 TOWN OF MANSFIELD. SCALE: 1"=200'. DATE: 3-6-73. BY: THE CONNECTICUT LIGHT AND POWER COMPANY, BERLIN, CONNECTICUT. SHEET 1 OF 6. DRAWING NO. 18312-1.
2. MANSFIELD SUBSTATION PLAN SHOWING LAND TO BE ACQUIRED FROM JOHN F. COSTELLO TOWN OF MANSFIELD. SCALE: 1"=200'. DATE: 5-16-51 REVISED 4-15-54. BY: THE CONNECTICUT LIGHT AND POWER COMPANY, WATERBURY, CONNECTICUT. DRAWING NO. 11871.
3. PLAN SHOWING X-SECTIONS VIC. MANSFIELD SUBSTATION MANSFIELD SUBSTATION DISTRICT TOLLAND TOWN MANSFIELD SCALE: 1"=20'. DATE: 3/21/73. BY: THE CONNECTICUT LIGHT AND POWER COMPANY. DRAWING NO. 18314.
4. EASEMENT PLAN PREPARED FOR TRANSITION STATION & DUCTBANKS ACROSS PROPERTY OF CONNECTICUT LIGHT & POWER CO. NORTH EAGLEVILLE ROAD MANSFIELD, CONNECTICUT. SCALE: 1"=20'. DATE: JUNE 2005 REVISED 05 JULY 2005. BY: KARL F. ACIMOVIC.
5. LOCATION OF RIGHT OF WAY OF THE CONNECTICUT LIGHT AND POWER COMPANY ACROSS THE PROPERTY OF STATE OF CONNECTICUT TOWN OF MANSFIELD COUNTY OF TOLLAND STATE OF CONNECTICUT. SCALE: 1"=200'. DATE: JUNE 1955. BY: THE CONNECTICUT LIGHT AND POWER COMPANY.
6. LOCATION OF RIGHT OF WAY OF THE CONNECTICUT LIGHT AND POWER COMPANY ACROSS THE PROPERTY OF MARY MARCHEGIANO & OTHERS TOWN OF MANSFIELD COUNTY OF TOLLAND STATE OF CONNECTICUT. SCALE: 1"=200'. DATE: MAY 1955. BY: THE CONNECTICUT LIGHT AND POWER COMPANY.
7. LOCATION OF RIGHT OF WAY OF THE CONNECTICUT LIGHT AND POWER COMPANY ACROSS THE PROPERTY OF CLAUDE V. & ANNA J. COSTELLO TOWN OF MANSFIELD COUNTY OF TOLLAND STATE OF CONNECTICUT. SCALE: 1"=200'. DATE: OCTOBER 1955. BY: THE CONNECTICUT LIGHT AND POWER COMPANY.
8. LOCATION OF RIGHT OF WAY OF THE CONNECTICUT LIGHT AND POWER COMPANY ACROSS THE PROPERTY OF PAUL J. & AGNES R. WHITEHOUSE TOWN OF MANSFIELD COUNTY OF TOLLAND STATE OF CONNECTICUT. SCALE: 1"=200'. DATE: JUNE 1955. BY: THE CONNECTICUT LIGHT AND POWER COMPANY.
9. LOCATION OF RIGHT OF WAY OF THE CONNECTICUT LIGHT AND POWER COMPANY ACROSS THE PROPERTY OF GEORGE & MARGARET KASPER TOWN OF MANSFIELD COUNTY OF TOLLAND STATE OF CONNECTICUT. SCALE: 1"=200'. DATE: MARCH 1955. BY: THE CONNECTICUT LIGHT AND POWER COMPANY.
10. RIGHT OF WAY MAP ADDITIONS TO SEWAGE DISPOSAL PLANT PIPELINE TO WILLIMANTIC RIVER UNIVERSITY OF CONNECTICUT STORRS, CONN. SCALE: 1" = 40'. DATE: 11-26-62 REVISED 2-19-63. DRAWING 17815.
11. EVERSOURCE ENERGY. TRANSMISSION RIGHT OF WAY PLAN MANSFIELD S/S TO ROUTE 44-MANSFIELD, MANSFIELD SUBSTATION NORTH EAGLEVILLE ROAD, MANSFIELD, CT. SCALE: 1"=100' DATE: 5/26/16. BY: ANCHOR ENGINEERING SERVICES, INC.

NOTES :

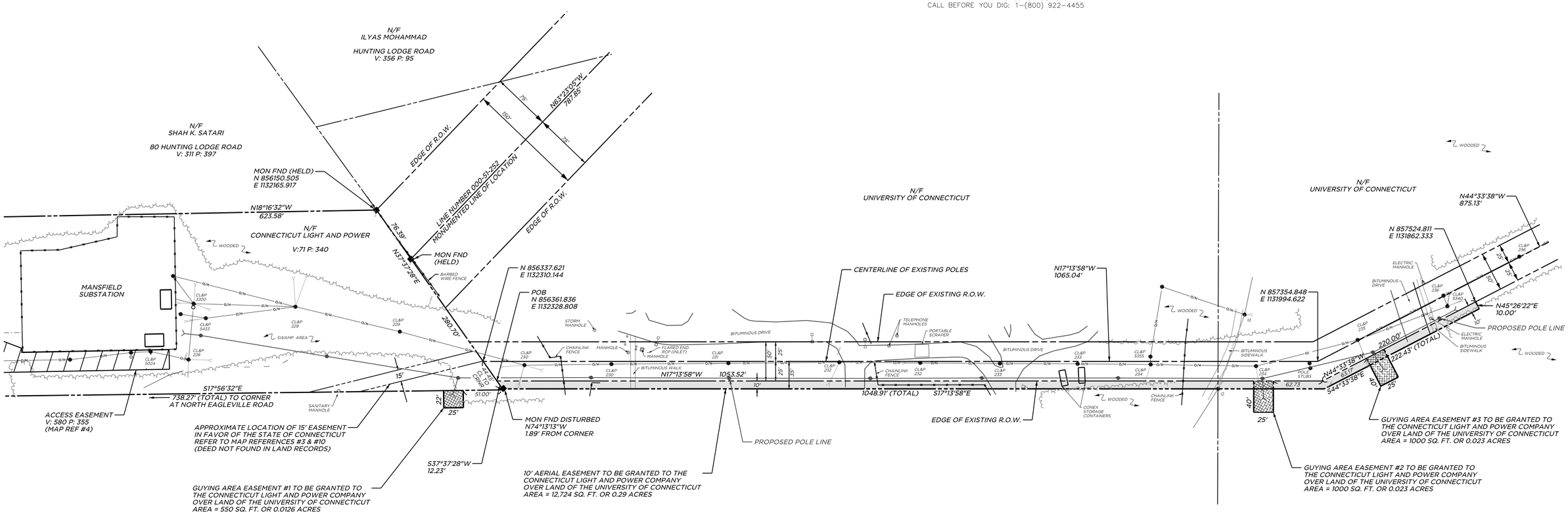
1. FIELD SURVEY SHOWN WAS PERFORMED ON THE GROUND BY ANCHOR ENGINEERING SERVICES, INC. IN MAY 2016. DATA WAS OBTAINED USING BOTH CONVENTIONAL SURVEYING WITH TOTAL STATIONS AND GPS-RTK (SUPERIOR INSTRUMENT RTK NETWORK).
2. BEARINGS SHOWN HEREON ARE BASED ON CONNECTICUT STATE PLANE GRID NORTH AMERICAN DATUM 1983 (NAD 83) AND WERE OBTAINED VIA GPS THROUGH SUPERIOR INSTRUMENT RTK NETWORK AS WELL AS STATIC GPS OBSERVATIONS PROCESSED THROUGH THE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION ONLINE POSITIONING USER SERVICE WEBSITE (NOAA OPUS).
3. PARCEL PROPERTY LINES DEPICTED ON THIS PLAN WERE COMPILED FROM TOWN OF MANSFIELD GIS WEBSITE (MAIN STREET GIS). FIELD SURVEY WAS NOT PERFORMED TO VERIFY THESE LINES.
4. NO CONTOURS OR ELEVATIONS ARE DEPICTED HEREON.
5. UNDERGROUND UTILITY, STRUCTURE AND FACILITY LOCATIONS DEPICTED AND NOTED HEREON HAVE BEEN COMPILED, IN PART, FROM RECORD MAPPING SUPPLIED BY THE RESPECTIVE UTILITY COMPANIES OR GOVERNMENT AGENCIES, FROM PAROL TESTIMONY AND FROM OTHER SOURCES. THESE LOCATIONS MUST BE CONSIDERED APPROXIMATE IN NATURE. ADDITIONALLY, OTHER SUCH FEATURES MAY EXIST ON THE SITE, THE EXISTENCE OF WHICH ARE UNKNOWN TO ANCHOR ENGINEERING SERVICES, INC., THE SIZE, LOCATION AND EXISTENCE OF ALL SUCH FEATURES MUST BE FIELD DETERMINED AND VERIFIED BY THE APPROPRIATE AUTHORITIES PRIOR TO CONSTRUCTION.
   CALL BEFORE YOU DIG: 1-(800) 922-4455

ANCHOR
ENGINEERING SERVICES, INC.

CONNECTICUT COORDINATE GRID (NOTE #2)



LOCUS MAP
NTS



LEGEND

MONUMENTED LINE OF LOCATION(MLOL)	METAL GUARDRAIL	UTILITY POLE	
CL&P PROPERTY LINE	STONEWALL	SIGN	
RIGHT OF WAY LINE	HEDGEROW	GUY WIRE	
APPROXIMATE PROPERTY LINE	TREELINE	LIGHTPOST	
EASEMENT LINE	OVERHEAD WIRES		
STOCKADE FENCE	UNDERGROUND GAS		
CHAINLINK FENCE	STREAM		
	SWAMP AREA		

ALL MEASUREMENTS DEPICTED HEREON ARE GRID MEASUREMENTS AND ARE REFERENCED TO THE CONNECTICUT STATE PLANE COORDINATE SYSTEM NAD 83 USING A COMBINED SCALE FACTOR OF 0.999972. DIVIDE PLAN DISTANCE BY COMBINED FACTOR TO CONVERT GRID DISTANCE TO GROUND DISTANCE.

MAP SCALE

60 0 30 60 120

(IN FEET)
1 inch = 60 ft.

THIS SURVEY AND MAP HAS BEEN PREPARED IN ACCORDANCE WITH SECTIONS 20-300b-1 THRU 20-300b-20 OF THE REGULATIONS OF CONNECTICUT STATE AGENCIES-"MINIMUM STANDARDS FOR SURVEYS AND MAPS IN THE STATE OF CONNECTICUT" AS ENDORSED BY THE CONNECTICUT ASSOCIATION OF LAND SURVEYORS INC. IT IS AN EASEMENT MAP, BOUNDARY DETERMINATION CATEGORY DEPENDANT RESURVEY OF THE EXISTING EASEMENT LINES, CONFORMING TO HORIZONTAL ACCURACY CLASS A-2.

TO THE BEST OF MY KNOWLEDGE AND BELIEF THIS MAP IS SUBSTANTIALLY CORRECT AS NOTED HEREON.

WILLIAM E. WERTZ, CT. L.S. #70067

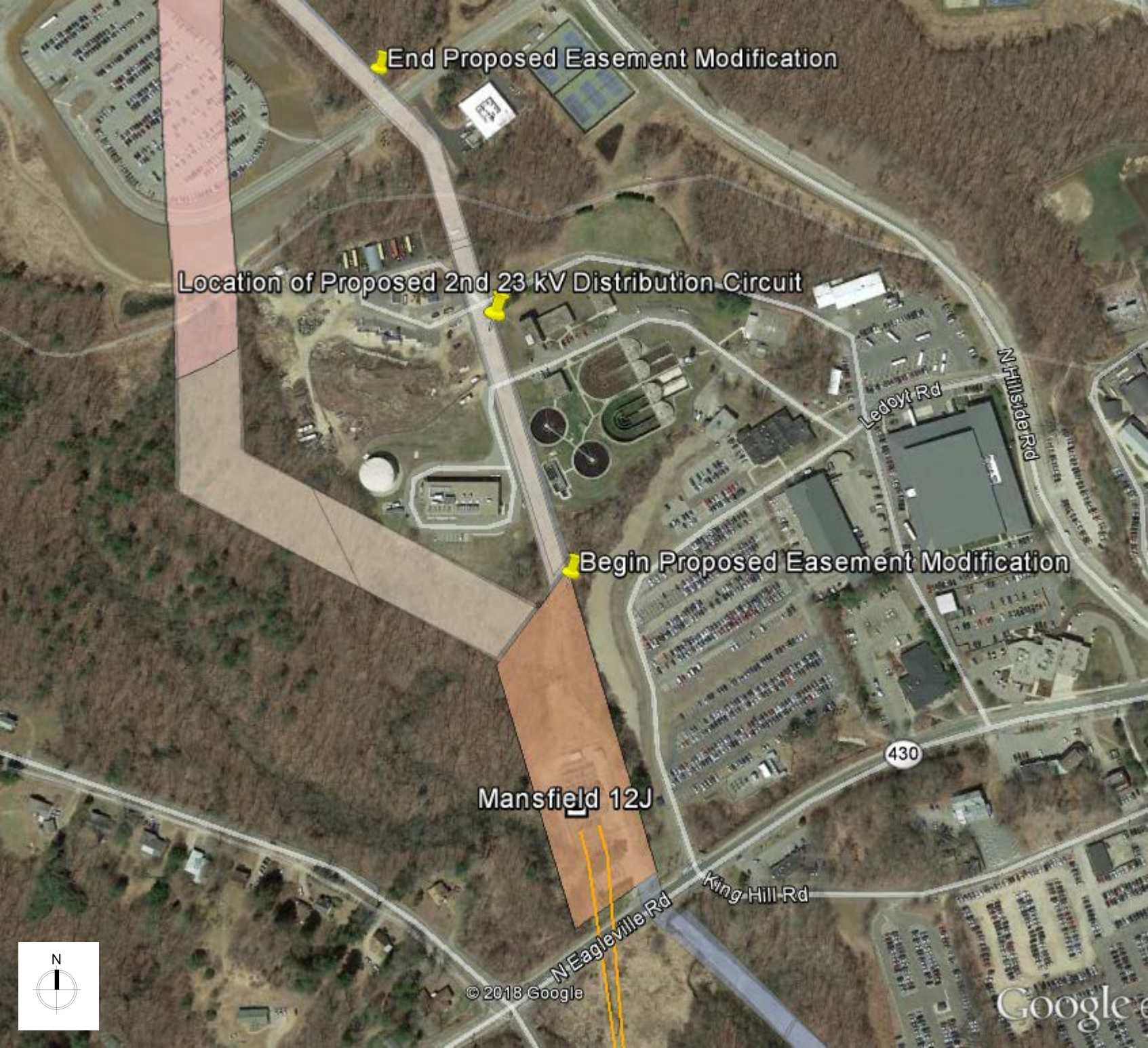
ANY ORIGINAL OR DUPLICATE OF THIS MAP IS NOT VALID UNLESS IT BEARS THE EMBOSSED SEAL OF THE SURVEYOR WHOSE REGISTRATION APPEARS ABOVE NO OTHER CERTIFICATION OR WARRANTY IS EXPRESSED OR IMPLIED.

PRELIMINARY
SHOWING PROPOSED POLE LINE

EVERSOURCE ENERGY

TITLE
EASEMENT PLAN
MAP SHOWING AERIAL EASEMENT AND GUYING AREA EASEMENTS TO BE GRANTED TO THE CONNECTICUT LIGHT AND POWER COMPANY D/B/A EVERSOURCE ENERGY ACROSS PROPERTY OF THE UNIVERSITY OF CONNECTICUT
NORTH EAGLEVILLE ROAD MANSFIELD, CT

BY	KJF	CHKD	WEW	APP	APP
DATE	11/22/19	DATE	11/25/19	DATE	DATE
H-SCALE	1"=60'	SIZE	ARCH 'D'	SURVEY JOB #:	SXXXXX
V-SCALE	N.T.S.	V.S.	X-X-X	R.E. DWG	
R.E. PROJ. NUMBER		XXX-XX.XXX		DWG NO.	XXXXXX


End Proposed Easement Modification
Location of Proposed 2nd 23 kV Distribution Circuit
Ledoyt Rd
N Hillside Rd
Begin Proposed Easement Modification
430
Mansfield 12J
King Hill Rd
N Eagleville Rd
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Google
N

ATTACHMENT 26

UCONN
UNIVERSITY OF CONNECTICUT

Office of the President
Thomas C. Katsouleas
President

February 26, 2020

TO: Member of the Board of Trustees

FROM: Thomas Katsouleas

RE: Technology Transfer Plan

RECOMENDATION:

The Board of Trustees approve the Technology Transfer Plan as required under Public Act 19-154 to increase the impact of UConn's technology commercialization and entrepreneurship efforts.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the Technology Transfer Plan: A Roadmap to Innovation and Entrepreneurship at the University of Connecticut."

BACKGROUND:

Public Act 19-154 requires that the University develop a plan for technology transfer as well as an associated plan concerning faculty hiring and an assessment of student entrepreneurship space needs in order to facilitate UConn's ability to be on par with high performing universities engaged in innovation. The act mandates either approval of the Technology Transfer Plan or a request for modifications by the Board of Trustees (BOT) by March 1, 2020. The President is provided thirty days after receiving a request for modifications to submit a revised plan to the BOT. The Technology Transfer Plan includes the student space assessment and was provided to the BOT on December 31, 2019. The Faculty Hiring Plan is due for board approval by April 1, per the Act.

The legislation also requires that UConn comment on any funding increases necessary for implementation of each plan and suggests that the Finance Revenue and Bonding and Higher Education committees may raise bills to implement recommendations for the Tech Transfer Plan. Both the Technology Transfer Plan and the Faculty Hiring Plan include a preamble that provides some context for how the new funding required for full implementation fits into the University's FY21 budgetary priorities.

The Technology Transfer Plan includes content that is responsive to comments provided by the Board of Trustees Committee on Research, Innovation and Entrepreneurship (REI). Approval of the plan by the Board of Trustees was recommended by a consensus of the REI committee at its January 23rd meeting.

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GULLEY HALL
STORRS, CT 06269-1048
PHONE 860.486.2337
FAX 860.486.2627
www.uconn.edu

The Technology Transfer Plan was developed by the Office of the Vice President for Research (OVPR) with input from the Provost's Office. OVPR first conducted an extensive effort to benchmark UConn tech transfer policies and compare its metrics over five years to peers and those universities widely considered to be leaders in technology transfer and entrepreneurship. An OVPR best practice review included interviews with the top 25 Institutions named in a Milken Institute study Concept to Commercialization the Best Universities for Technology Transfer, an onsite panel review with a select group of individuals associated with national tech transfer leaders and a literature review. The analysis and reviews met the requirements of the law and the plan recommends actions consistent with the law. The plan carefully outlines those actions that can be undertaken with existing resources and those that require additional funds.

Key components of the Tech Transfer Plan include:

- Current data and future plans for tech transfer benchmarking
- Recommendations for updating policies
- Actionable measures
- A focus on startups
- Comments on the faculty hiring plan
- Enhancement of our alumni mentor network
- Space for student entrepreneurs
- Assistance to other CT institutions of higher education
- Goals and funding recommendations to foster faculty and student entrepreneurship

Goals within the plan address the need to:

- Increase and simplify tech transfer support for university startups for strong IP platforms
- Provide experienced, informed, and enthusiastic champions to support and guide faculty through commercialization process
- Provide financial resources for UConn faculty and student innovators to advance startups
- Build internal and external networks to improve and communicate performance of university efforts and success of its companies

In the past few months UConn has gained recognition for its increasingly successful innovation activities. The University ranked 46th in Princeton Review/Entrepreneur Magazine Top 50 Undergraduate Programs for Entrepreneurs and ranked 90th in the Reuters Top 100: The World's Most Innovative Universities; based on patents filed, success rate of patents and commercial impact.

Technology Transfer Plan: A Roadmap to Innovation and Entrepreneurship at the University of Connecticut

Preamble

The University of Connecticut submits this report in response to Public Act 19-154 which requires UConn to develop a plan for technology transfer and entrepreneurship. The cost estimate of this plan, as required by the Act, is included in on page 29.

Given the financial challenges UConn and the state are facing, we would like to provide some context for how this plan--which requires significant new funding to be implemented--fits into the University's FY21 budgetary priorities, which are to:

> Appropriations - Maintain the FY21 appropriations to UConn and UConn Health as approved in the biennial budget;
> Bonding - Allow our planned and approved capital projects to move forward with no deferrals or cuts to the UConn 2000 Capital Program and secure support funding for critical deferred maintenance projects at UConn Health; and
> Fringe Benefit Costs - Address the unsustainable legacy costs currently charged to the University by the state, which impact our students and families, research and clinical competitiveness.

If these budgetary priorities are supported, the University will be in a position to begin implementing this plan. However, due to the understandable but significant state cuts totaling more than $40 Million since FY16, without additional funding beyond that described above, the University will need to reassess what portions of this plan can be achieved.

Executive Summary

This plan represents a shared vision from the University and state leaders to apply the energy and expertise of UConn students and faculty in technological innovation and entrepreneurship for economic and societal benefit. While much has been accomplished by stimulating Connecticut's entrepreneurial ecosystem to support our ability to continue to compete globally, it is imperative that UConn be fully integrated into Connecticut's economic development strategy by leveraging its resources and successes to help drive the state forward as a leading innovation hub. Guided by Public Act 19-154, the University has investigated policies, practices, and programs at top research universities, and has benchmarked UConn's performance to develop a well-informed plan to support this aim.

While much has been accomplished by stimulating Connecticut's entrepreneurial ecosystem to support our ability to continue to compete globally, it is imperative that UConn be fully integrated into Connecticut's economic development strategy by leveraging its resources and successes to help drive the state forward as a leading innovation hub.

Leveraging the University's primary role as a research and educational institution, UConn's plan will facilitate innovation and entrepreneurship to convert research into intellectual property and

technological companies. Our analysis recognizes the strengths gained through historically high levels of state infrastructure support, and identifies weaknesses and threats indicating that the recent budgetary instability of university operations has impeded research progress. However, we also see new opportunities on the horizon with institutional strengths in areas such as Biomedical, Artificial Intelligence, Digitalization, Materials, AgBio, Software, Clean Energy, and Imaging; this suggests that promising results are possible. Furthermore, the rapid growth of data science presents a unique opportunity for UConn to become a research leader and a commercialization power in this space. For a variety of reasons, not the least of which is Stamford's unusually high density of Fortune 500 companies[1], we propose the expansion of a data science initiative and incubator seeded with industry-friendly and entrepreneurially-minded faculty in Stamford to complement strengthening initiatives in Storrs and Farmington and making a smart investment in the future of our students, our institution, and our state. This new effort will provide a pipeline of startups, and the workforce needed to provide solutions demanded by existing sectors. The scope of the data science initiative and incubator will be determined down the road in conjunction with our deans.

Adding to these opportunities, UConn's new President, Tom Katsouleas, is highly experienced in the commercialization process and best practices for enhancing technology transfer. Thus, there exists the leadership necessary to pursue diverse opportunities for statewide and regional cooperation in venture development. Moreover, federal agencies, such as the National Institutes of Health which established the National Center for Advancing Translational Sciences (NCATS), are placing greater focus on new programs and grant funding for commercialization.

In April 2017, the Milken Institute released a report entitled Concept to Commercialization-The Best Universities for Technology Transfer, which ranked universities based upon their performance in four commercialization metrics: Patents Issued, Licenses Granted, Licensing Revenue, and Startups Formed. The report utilized a four-year average of these metrics as reported in the Association of University Technology Managers (AUTM) Annual Licensing Survey. Of the 225 universities and research institutions that were reviewed in the report, UConn ranked 74th. With this ranking, UConn outperformed five of seven University-designated peer universities[2], only underperforming the University of Georgia (51st) and Purdue University (12th). UConn was recently ranked #46 by the Princeton Review for its undergraduate programs in entrepreneurship -- quite impressive given that it was only the second year the University participated in the survey. However, our own benchmarking has demonstrated weaknesses in revenue creation and in the ability to create scalable startups that can impact the state economy which is largely due to lack of proof-of-concept and pre-seed funding.

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[1] When the number of Fortune 500 companies are calculated on a per capita basis, the Bridgeport-Stamford-Norwalk MSA ranks 1st nationally (4.77 Fortune 500 companies per 500,000 people)

[2] **Peers:** University of Delaware, University of Kentucky, University of Kansas, Indiana University, Purdue University, University of Georgia, Michigan State University; Utah not included due to data limitations.

Rankings are an important reflection of many contributing factors – resources, quality, proven outcomes, responsiveness, etc., and the positive economic effects that can result. It is important to note that the success of technology-driven innovative companies requires strong intellectual property (IP) backed by legal protections and data to attract investors. While UConn will support these companies, we also recognize that many companies, such as those developing software and consumer products, base their strategies on market fit before determining the specific technologies that would be built. UConn will provide services to support the development of both types of companies.

This plan will address these foundational issues with the adoption of new policies and practices informed by: a literature review of recent studies; interviews with the top 20 institutions in the Milken report; and an in-person panel review with eight national technology transfer leaders (Appendix E and Appendix F). These efforts indicated specific requirements for sustained long-term growth and are reflected in a detailed Action Plan and metrics. However, it must be made clear at the outset that UConn does not currently have the funding to implement the entirety of this plan. New resources will be required for full implementation.

Throughout the plan we emphasize student entrepreneurship, faculty entrepreneurship, research grants that translate into the commercialization of technology, industry collaboration, and engagement in regional economic development. We also build on the growing number of existing activities supporting innovation and entrepreneurship at UConn and leverage our relationships with leading global research universities. It is important to note that the total amount of new funding required to implement this plan is approximately **$**46.5 Million over five years including capital and operational costs. A budget is provided to outline these costs.

UConn plays a significant role in fostering an environment that enables a robust entrepreneurial economy, but it cannot do so alone. According to Connecticut's Innovation/Entrepreneurial Ecosystem Roadmap developed by CTNext in 2018, the following are key challenges facing Connecticut:

- Lack of entrepreneurial culture limits ability to scale/grow companies
- Agglomeration of national risk capital markets threatens ability to finance deal flow
- Perceived lack of talent to support innovative firms
- Deal flow is not robust or "sticky" to economy
- Connecticut is not perceived as a desirable location for high-growth companies

> UConn's growing ecosystem is an active part of the larger state ecosystem. […] Going forward as partners with CTNext and Connecticut Innovations, the state agencies responsible for building an ecosystem that supports startup development and provides risk capital for startup growth, the University will seek to become a national leader as envisioned in PA 19-154

UConn's ability to impact the state economy will be limited by the extent to which these challenges are overcome at a state level. However, with UConn, Connecticut Innovations and CTNext acting as united partners, we are confident that success is indeed possible.

Introduction

UConn is proud to serve the state of Connecticut as a leading research and educational institution. Through this plan, we will leverage this primary institutional role and our nationally-recognized expertise by facilitating innovation and entrepreneurship with a new capacity to convert research into Intellectual Property (IP) to produce and support products and services sold by technological companies. This plan responds to the requirements of Public Act 19-154 to investigate policies, practices, and programs at top institutions, to benchmark UConn's performance, and to create a plan to increase technological innovation and entrepreneurship at UConn for economic and societal benefit. Universities are becoming ever more important in their role in the accelerating transition from basic science to a "knowledge-based economy." UConn is trying to adjust to identify the means to commercialize the small subset of projects that appear suitable for further development. Of special concern among faculty is the growing tendency to encourage academic "innovators" to develop spin-out companies "on the side." This is a difficult step. Faculty have technical ability, but many lack of relevant management experience. Commercialization in an academic environment is a complex process. As we seek to capture more fully the value of commercialization at UConn, it is important to consider the following characteristics of IP created at universities:

- Invention seldom occurs as a single event, and it typically takes years of research and experimentation.
- University inventions seldom occur within the context of a well-defined problem; rather it is typical for faculty who push the envelope of science, medicine, or engineering to develop technology "solutions" independent of market defined needs or problems.
- Most university IP is considered "raw technology" – it is incomplete, unrefined, and years from being formulated into products or services ready for commercial markets.
- Faculty inventors optimize their research in anticipation of rigorous peer review for publication and additional funding, not commercial outcomes.
- As in research where a small proportion of the faculty are responsible for most of the funded projects, in technology commercialization, a small fraction of the faculty are responsible for the majority of the marketable inventions.
- Basic research is foundational to IP generation, and its funding is widely available through federal agencies. Translational research is the first step in converting basic research and its emerging IP into a market-compatible product, and funding is highly competitive through very limited sources.

Critically important to the success of all technology driven innovative companies is the ability to build a strong IP platform backed by the legal protections and data necessary to attract funding and to compete in the marketplace. This patent protection requires extensive resources for technology transfer within a university including staff and external partners with deep scientific and business expertise in diverse areas who can identify promising technologies. An ability to oversee patent prosecution to ensure coverage on all key features of an invention is also critical along with funding for patent prosecution, development and proof-of-concept work to demonstrate a technology's value early on in the commercialization process. While UConn will support these companies with robust technology transfer resources, we also recognize that not all companies will rely on IP. In fact many, such as those developing software and consumer products, are based on market fit long before determining the specific technology that would be built. UConn will provide services to build both types of companies.

Of the 225 US universities and research institutions included in the [Milken] report, UConn was ranked 74th. With this ranking, UConn outperformed five of its seven University-designated peer universities, only underperforming the University of Georgia (51st) and Purdue University (12th).

Public Act 19-154 seeks to harness the power of UConn expertise and IP to propel the University to top-ranked status as an institution for innovation and entrepreneurship. Rankings are an important reflection of many contributing factors: resources, quality, proven outcomes, and responsiveness, and the positive economic effects that can result. This plan addresses these foundational issues and strengthens UConn's commercialization infrastructure for an increased impact on the state economy.

Comparative Analysis

In April 2017, the Milken Institute released a report entitled Concept to Commercialization-The Best Universities for Technology Transfer, which ranked universities based upon their performance on four commercialization metrics: Patents Issued, Licenses Granted, Licensing Revenue, and Startups Formed. The report utilized a four-year average of these metrics as reported in the AUTM Annual Licensing Survey. Of the 225 US universities and research institutions included in the report, UConn was ranked 74th. With this ranking, UConn outperformed five of seven University-designated peer universities, only underperforming the University of Georgia (51st) and Purdue University (12th). As in the Milken study, our own benchmarking using both the AUTM survey and normalized research spending data to compare UConn's tech transfer operation against peers and icons[3] showed weaknesses in revenue creation and in the ability to create scalable startups that can impact the state's economy. Due to the importance of

Public Act 19-154 seeks to harness the power of UConn expertise and IP to propel the University to top-ranked status as an institution for innovation and entrepreneurship.

[3] **Icons:** Arizona State University, Massachusetts Institute of Technology, Stanford University, Columbia University, University of Pennsylvania, Johns Hopkins University. Those institutions named as icons, are those that tech transfer officers have traditionally viewed as tech transfer powerhouses.

research to technology transfer, we also compared UConn's average research expenditures to those at peer and icon institutions. (see Appendix A for the full data set)

Research

- For FY13-FY17, UConn is the second lowest in research expenditures of the Peers, only exceeding the University of Delaware. Four of the Peers, the University of Delaware, UConn, the University of Kansas, and the University of Kentucky are below the average and median research expenditures of the group, with UConn's research expenditures lying at approximately half of the average and median. Of particular note, the average and median research expenditures of the Icons for FY13-FY17 were approximately three times higher than those of the Peers. Doubling research in the next decade is one of President Katsouleas' goals as he recognizes the direct correlation between research, societal and economic benefits.

Inventions

- Of the Peers, only Purdue exceeds the average and the median of the Icons with 54 disclosures per $100 Million in research expenditures. Only UConn, Indiana University, the University of Georgia, and Purdue University exceed the average and the median for the Peer Group with 39, 41, 42, and 54 average annual disclosures received per $100 Million in research expenditures, respectively.
- UConn's invention disclosure yield is just below the standard technology transfer measure,[4] producing 70.6 disclosures as compared to the 72 expected based on its research expenditures for FY13-FY17. UConn exceeds four members of the Peers in invention disclosure yields relative to the standard measure.

Patents

- When normalized to $100 Million in research expenditures, UConn is second only to Purdue University among the Peers for the average number of patents issued annually during the FY13-FY17 period. UConn also exceeds the output of four of the six Icons, with only the Massachusetts Institute of Technology and Stanford University yielding more.
- Despite its excellent performance in patents issued relative to the Peers and several Icons, UConn's patent expenditures as a percentage of its research expenditures in FY13-FY17 is below the average and median of the Peers and only half of the average and median of the Icons.

Licenses

- UConn is the fourth highest amongst the Peers in the annual number of licenses and options executed per $100 Million in research expenditures in FY13-FY17, though it is still below the average for the group; UConn is also below the median, although only slightly. It should be noted that the

[4] As a general rule, one invention is typically disclosed for every $2.5 Million in research spending. Both a 2009 publication and a 2011 study validated this number, and a recent review of activity of research from 1991 to 2015 at Columbia University reaffirmed it.

exceptionally large number of licenses and options executed by University of Georgia relative to the remaining Peers and all of the Icons does impact the overall average for the Peers significantly. UConn exceeds both Massachusetts Institute of Technology and Johns Hopkins University in license and options executed per $100 Million in research expenditures in FY13-FY17.

- UConn has the second-lowest normalized license revenue levels of the Peers for FY13-FY17, exceeding only the University of Delaware. UConn performs below both the average and the median for the Peers, as do Michigan State University and Purdue University.

Startups

- UConn exceeds both the average and median of the Peers in the annual number of startups formed (as defined in the AUTM Annual Licensing Survey[5]) per $100 Million in research expenditures in FY13-FY17, ranking third. Of note, when normalized to $100 Million in research expenditures, UConn outperforms Icons Johns Hopkins University and the Massachusetts Institute of Technology, which is known for its proliferation of startup companies.

> UConn's research horsepower has provided novel ways for us to critically assess how our product responds to the needs of the marketplace.
>
> John Hoffert, Chief Operating Officer,
> Enviropower Technologies

SWOT Analysis

A strong plan requires first knowing what you are good at, what can be improved, and the internal and external context for change. The following analysis presents this situation.

[5] START-UP COMPANIES: As used in the AUTM Survey, start-up companies are new companies that were dependent on licensing an institution's technology for their formation.

Strengths

- Comprehensive university, largest public institution in Connecticut
- Increasing recognition of high quality research
- An established team for technology transfer
- Engaged faculty outperforming peers for disclosures, patents, and licenses
- Recent progress in venture development
- Promotion Tenure and Reappointment (PTR) process recognizes commercialization and entrepreneurial activity (Appendix G and H)
- Well-established, high quality incubator with a diverse portfolio of companies
- Tech Park supporting steady growth of industry relationships

Weaknesses

- Limited local capital
- Inadequate proof-of-concept and translational funding
- Mainly due to the lack of local capital and proof-of-concept funding, a history of underperformance in revenue and startups
- Faculty entrepreneurship was only recently rewarded through PTR, and requires cultural change across UConn for full recognition to be achieved
- Insufficient staff/resources to support venture development and tech transfer
- Limited number and use of local, regional, and alumni experts to assist in startup process

Opportunities

- Focus technology transfer resources on strengths
- Leadership supportive of technology transfer
- Opportunities for regional cooperation and venture development
- A dedicated Proof-of-Concept Fund and Seed Fund focused on very early opportunities
- UConn's geographic reach across Connecticut
- Collaboration and partnerships outside of Connecticut– including leading global research universities – that support UConn efforts
- Quality, affordable lab space for start-ups
- Federal agencies increasing focus on translational funding
- Cultivate partnerships with local, regional VCs/angels/family offices/biotech/Pharma/insurance for capital, networking, recruitment

Threats

- Loss of key faculty and innovators
- An unstable university budget situation due to fluctuating state support
- Potential issues with faculty retention and recruitment given the impact of the high fringe benefit and F&A rates on grant activity[6]
- Commitment of resources to tech transfer efforts impacted by budget
- Federal deficits and other priorities could decrease financial support for research

[6] With a 53% faculty rate and 65% professional rate UConn's rates are respectively 16 and 24 percentage points higher than the average rates for our peers of 37% and 41%.

Rankings and Continuous Review

Given the dramatic impact of university research on national, regional, and local economies, as well as its contribution to the improvement of the human condition, university technology transfer best practices are a frequent topic of studies, reviews, and reports.

Although the Milken Institute Concept to Commercialization-The Best Universities for Technology Transfer report is only released sporadically (the previous report was in 2006), the methodology used to rank the institutions is outlined in detail. This enables UConn to track our ranking on an annual basis, upon the release of the AUTM Annual Licensing Survey results.

Technology transfer success depends on many key requirements that can accelerate the trajectory of a startup such as CEO and technical talent, funding, public recognition and strategic partners.

A March 2019 report by the University of Michigan's Economic Growth Institute entitled Maximizing Innovation and Technology Commercialization of Federal Research Investments: Best Practices at Innovation and Economic Prosperity Universities assesses the best practices of institutions designated as Innovation and Economic Prosperity (IEP) Universities by the APLU. Of the 241 member institutions of the APLU, only 59 have received the IEP designation.

While not a ranking, *per se*, the APLU designation is granted to "institutions that have demonstrated a meaningful, ongoing and substantial commitment to economic and community development, growth, and economic opportunity" and represents a holistic view of the value and success of a university's technology transfer and venture development efforts. At UConn, we found this study to be informative and aspirational. For this reason, we have aligned our action plan with the four key IEP categories: *culture, champions, incentives, and collaboration.* This long-term plan will allow us to ultimately seek to acquire this elite designation.

To respond to Public Act 19-154 (PA 19-154), UConn will use AUTM data and the Milken methodology to conduct annual reviews as described below in order to achieve APLU IEP designation. UConn was recently ranked #46 by the Princeton Review for its undergraduate programs in entrepreneurship -- quite impressive given that it was only the second year the University participated in the survey. We will continue to participate in the Princeton Review process.

UConn recently completed a comprehensive benchmarking review against peers and a cadre of universities recognized as leaders in technology transfer and venture development (Appendix A). In addition to an analysis of standard commercialization metrics, we also conducted interviews to identify best practices amongst leading universities and an external panel review with national experts (Appendix E). The results of this benchmarking exercise were used to develop the actionable measures to be undertaken by the University to address the goals of PA 19-154. An assessment of the progress

and success of these initiatives will be made through an annual review of UConn's commercialization metrics. As results emerge, this assessment will be used to inform adjustments in business practices. In addition, at three-year intervals we will review UConn's technology and startup portfolio to assess its promise and value. The outcomes of this assessment will be utilized to determine the success of our policies and practices. Adjustments will be made should the assessment indicate the plan has not yielded the desired results. UConn will also support continuous improvement through guidance from expert panels that we will convene periodically.

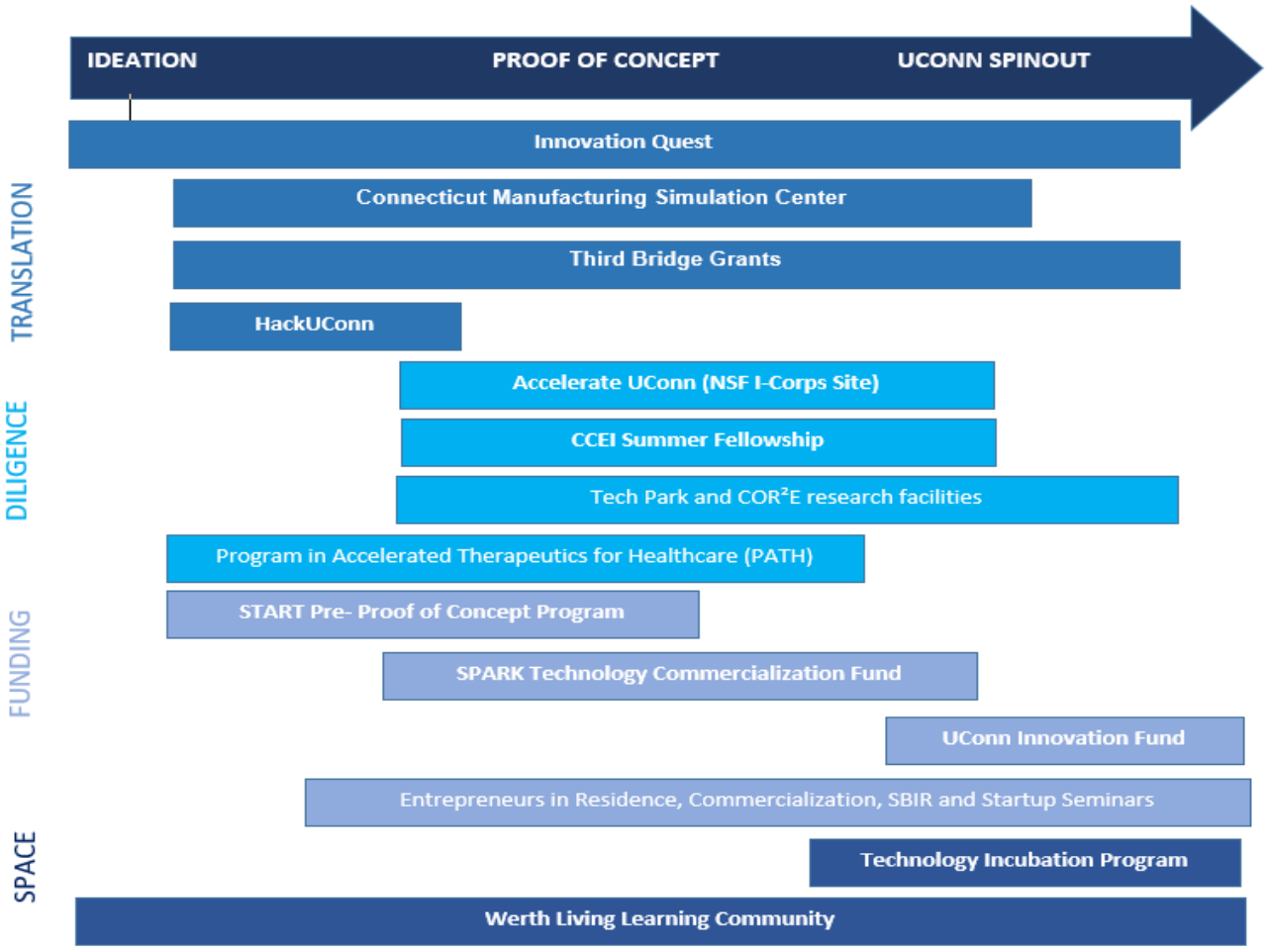
"UConn provides my business with an advanced level of expertise in research that I need to advance my product."

Wade Moore, Moore Engineering

Technology transfer success depends on many key requirements that can accelerate the trajectory of a startup such as CEO and technical talent, funding, public recognition and strategic partners. UConn programs support these needs, as well as Connecticut's need for incubator space for startups, and the state's evolving strategy for growing the bioscience industry. UConn has long been the driver of economic development and innovation, bolstering the state's talent pipeline and conducting nearly $270 Million in academic research activity each year. In the last five years, with state and private investment we have: expanded entrepreneurship programs and facilities for students on university campuses, increased the emphasis on commercialization among research faculty, and expanded the availability of funding to create university startups.

In Figure 1, in order to demonstrate the breadth of resources offered at UConn we have mapped the stages of where a selected group of UConn's more than 50 entrepreneurship programs specifically assist in startup development. By offering a continuum of resources from ideation to commercialization that meet the key needs of faculty, graduate students and undergraduate entrepreneurs, UConn aims to increase our impact on the state's innovation economy.

Figure 1


IDEATION
PROOF OF CONCEPT
UCONN SPINOUT
TRANSLATION
DILIGENCE
FUNDING
SPACE
Innovation Quest
Connecticut Manufacturing Simulation Center
Third Bridge Grants
HackUConn
Accelerate UConn (NSF I-Corps Site)
CCEI Summer Fellowship
Tech Park and COR²E research facilities
Program in Accelerated Therapeutics for Healthcare (PATH)
START Pre- Proof of Concept Program
SPARK Technology Commercialization Fund
UConn Innovation Fund
Entrepreneurs in Residence, Commercialization, SBIR and Startup Seminars
Technology Incubation Program
Werth Living Learning Community

As a university, UConn has historically enjoyed incremental results supported by the combined efforts of technology transfer, the university venture development arm, and the Technology Incubation Program (TIP). While not a comprehensive list, specific cases that speak to our progress and which are at various stages are noted below. [7]

- Alphachromics was formed in 2010 to leverage a portfolio of electrochromic polymer technologies developed by Professor Gregory Sotzing with applications in optical products such as eyewear, wearable electronics, and decorative surfaces, but dissolved after failing to raise sufficient funding to support its commercialization plans. Despite this disappointing, yet common, outcome for startups, in 2013 UConn signed an agreement with a global electronics company producing $750 Thousand in revenue for two Sotzing technologies. Sotzing's portfolio has benefited from $978 Thousand in research support from several industry partners. These technologies are now maturing and UConn is optimistic that commercial products are forthcoming.
- Vestaron was formed in 2004 to commercialize an environmentally friendly pesticide disclosed in the late 90's by former UConn Health Professor Glenn King. The company announced in September 2018 that it launched its first two approved products.
- ImCorp was formed in 1995 by Professor Matt Mashikian to commercialize technology invented at UConn to detect breakage in utility cables. The company has made the Inc. 5,000 fastest growing company list eight times. However, in order to achieve dramatic revenue growth, the company pivoted to a services model, which means that the university is not receiving royalties. However, the founder has contributed to the University with an endowed scholarship. The company is based in Manchester, CT and employs over 80 people most of whom are UConn graduates.
- UConn Health Professor Leo LaFrancois (deceased) developed the IL-15/IL-15a immunotherapy, which was disclosed in 2004, licensed to a biotech company in 2008, and entered Phase I clinical trials in 2015. The trials made it an attractive buyout option and it was subsequently purchased by a large pharmaceutical company.
- Renzulli Learning, a company which specializes in customized education solutions based on a high-engagement enrichment model created by Professors Joseph Renzulli and Sally Reis of UConn's Neag School of Education, was acquired in 2010 by Compass Learning, Inc. the leading provider of personalized educational technology solutions.
- A new antibody, invented by UConn's Michael Lynes, to prevent a patient's immune system from attacking its own body and potentially causing irreversible damage was recently licensed to New Haven company, Biohaven Pharmaceutical Holdings.
- New sterile versions of barberry shrubs were created by UConn plant scientist Mark Brand and new sterile burning bushes created by UConn plant scientist Yi Li to prevent the spread of these

[7] We are unable to report revenue for each example as royalty reports are considered proprietary information under our license agreements; licensees for business reasons would not want those figures to be public.

robust, invasive species. Professor Brand is also responsible for developing many other cultivars sold in nurseries across the US.

While such case studies are informative, it is our intent that in the future we will utilize quantitative and qualitative factors to assess the value of UConn innovative activities.

Action Plan

It is important to note that while UConn is fully committed to the objectives outlined in our action plan, many of the actions necessary to achieve the metrics associated with each objective will require additional resources. Those that do require additional resources are called out in blue. Furthermore, the proposed increases in resources are based on the plan as proposed. However, if research expenditures escalate more rapidly than expected, the resultant increase in inventions, patenting and startup formation would potentially necessitate a further increase in new resources to meet all of the action plan's objectives.

Culture - UConn promotes a culture of excellence, which values technological innovation and entrepreneurship, provides outstanding services to faculty, and serves to increase the quantity and quality of faculty commercialization activities and ventures.

Goal: Increase and simplify tech transfer support for university startups.

Objective 1 ***Startup Creation*** **-** Align the operations of Technology Transfer and Venture Development under the leadership of a new Associate Vice President (AVP) for Innovation and Entrepreneurship to increase the current base of startups as defined by AUTM.

Execution:

- Institute a unified review procedure for all inventions with updated guidelines and internal and outside experts providing timely and detailed vetting of startup opportunities. *(Requires New Funding*)
- Enroll a robust cadre of experts (see Leadership Network) to participate in a prescribed and timely vetting process and to provide startup support. *(Requires New Funding*)
- Implement a triage process for new and existing university startups that: a.) defines service plans and assigns resources to all startups; b.) regular reviews of business progress; and c.) assists with funding, leadership, partnership development and exit strategies beginning Dec 2020. *(Requires New Funding*)
- Utilize specific criteria to set expectations for servicing all companies, including those with no UConn IP, through varied service levels and company commitments. *(Requires New Funding*)
- Institute a seamless process with the Werth Institute to engage alumni mentors for external support of disclosure review and startup formation.

Measures:

- Total new startups vetted by internal and external experts per year over our current base of AUTM-defined startups, with a minimum of three annually for the first five years
- Total companies served, graduates from the ecosystem service structure, total Full Time Equivalents (FTEs) employed, funding acquired by companies serviced annually (over ten years)
- Total technology opportunities reviewed annually through the new process and the percentage reviewed within a turnaround period of four weeks
- Total new startups by 2025

Completion: as above, by Executive Director of Venture Development and Director of Technology Transfer

Objective 2 ***Startup Access to IP -*** Enhance startup success by simplifying early contract negotiations with a new policy that offers university startups a limited time License Option Agreement. This approach allows faculty to obtain IP rights quickly and to begin startup development prior to establishing the full business team typically needed for the complex negotiation of a long-term License Agreement.

Execution:

- Create a well-vetted, standard, time-limited License Option Agreement with no upfront or maintenance fees, small initial and delayed payments for patent prosecution expenses, and any other terms deemed useful in supporting university startups by June 30, 2020.
- Provide transparency and set expectations by making public detailed information on typical option agreement terms beginning June 2020.
- Allow for customized terms in option agreements that address the specific scope of activity proposed by faculty inventors.
- To ensure that all startups are credible and able to advance the technology, apply best business practices as option holders seek to become licensees. Implement a collaborative structure for negotiations and a consistent compliance effort for startups and conventional licensees.

Measures:

- Increase in License Options annually
- Improve licensee success with 100% compliance with terms and conditions
- Increase in the percentage of startups funded by outside sources
- Improve recruitment of UConn graduate and undergraduate students in startups and retention rate in Connecticut

Completion: as above, by Executive Director of Venture Development, Director of Technology Transfer, Licensing Directors

Objective 3 ***Intellectual Property Portfolio -*** Invest in efforts that build a strong portfolio of IP by supporting increased faculty participation in commercialization

Execution:

- Establish both a live and online commercialization orientation by fall 2021 with details on the commercialization process from disclosure to startup formation and a policy ensuring that all new faculty participate within the first year of hire. *(Requires New Funding*)
- Expand content and deliver to all schools and/or departments ongoing educational programs with "lab to market" guidance. *(Requires New Funding*)
- Simplify the Invention Disclosure process with an online Invention Disclosure Form by June 30, 2020 followed by launch and training of faculty.
- Work with leadership, the faculty union, and the University Senate to continue to identify methods to incentivize inventors beyond our existing PTR policy and the policy on revenue sharing which already exceeds the state's mandated minimum of 20 percent. (see "Champions" Objective 1)
- Promote and reward the accomplishments of entrepreneurial faculty with recognition programs such as a President's Innovator of the Year Award with a cash prize to be used for further development of technologies.
- Increase the quantity and quality of one-on-one relationships between Technology Transfer staff and faculty enabling transparency and trust in the process. *(Requires New Funding*)
- Develop and implement a digital monitoring tool regarding patents, publications, mentoring, venture capital activities etc. *(Requires New Funding*)

Measures:

- A 5% annual increase in Invention Disclosures as compared to the five-year average for FY15-FY19 (77 invention disclosures), reaching 90 by the end of FY22, with a subsequent 10% increase each year thereafter.
- A 25% increase in meetings between Licensing Directors and faculty, particularly with faculty who have not previously engaged in commercialization activities, with a 5% increase in each year thereafter.
- Informational commercialization programing delivered at all schools, institutes, and colleges annually.

Completion: as above, by Vice President for Research, Innovation and Entrepreneurship, AVP for Innovation and Entrepreneurship, Director of Technology Transfer, Licensing Directors

Objective 4 ***Communications*** **-** Frequent, Transparent, and Informative Communications to All Audiences

Execution:

- Immediately identify a few startups and technologies that demonstrate success to frequently and broadly promote so that investors and industry begin to look to UConn for partnership opportunities. *(Requires New Funding*)
- Create a quarterly electronic newsletter that, after one year, becomes a monthly newsletter to be distributed to all faculty; increasing distribution to interested external audiences. *(Requires New Funding*)

- Prepare and distribute widely an annual report that, for the first three years, focuses on yearly performance and results resulting from changes outlined in this Strategic Plan. *(Requires New Funding*)
- Distribute a press release for every major license and coordinate press releases with licensee companies; evolve a set of messages that are emphasized in the news releases. *(Requires New Funding*)
- Create opportunities in college, institute, and alumni outreach material to emphasize the role that Technology Transfer plays in those units and constituencies.
- Drive audiences to the Innovation Portal and revise Office of the Vice President for Research (OVPR) Venture Development and Technology Transfer website to become a rich, crisp, and inviting source of information. Add social media and video content as a second stage of revision. *(Requires New Funding*)
- Develop new web opportunities to offer easy access licenses for software and apps, and to offer access to IP that is being made publicly available.
- Develop and disseminate clear and concise informational process statements about the changes that ensued from the Technology Transfer Plan. For example, what are the reasons for an option agreement, how does it work, and what are the next steps.
- Develop and execute a coordinated process for communicating to civic, business, and political leadership and representative organizations about the role, importance, and change in UConn technology transfer.

Measures:

- Newsletter created by July 2020, annual report released July 2020
- Website updated by June 2020 with social media and video enhancements by January 2021
- Initial process statement by July 2020
- Coordinated news releases
- Creation and continual revision of presentation materials that can be used to address different audiences and constituencies

Completion: January 2021, various groups led by AVP for Innovation and Entrepreneurship

Champions*- Champions guide an institution and support its faculty for successful innovation and entrepreneurship.*

Goal: Provide experienced, informed, and enthusiastic champions to support and guide faculty researchers towards and through the commercialization process.

Objective 1 ***The Imprimatur of the President*** **-** Establish the President as UConn's leading voice and advocate for innovation and entrepreneurship and deploy the President's cabinet university-wide in support of this effort.

Execution:

- Identify themes and venues along with specific messaging for the President to advocate for faculty innovation, commercialization, and startup formation. *(Requires New Funding*)

- Position the Provost, deans, and department heads as engaged leaders supporting the President's role by helping faculty to balance academic responsibilities with commercialization interests; taking an active role to promote and support commercialization including communicating and guiding implementation of the new PTR policy.
- Create a Faculty Ambassador Program with experienced UConn inventors from commercially active schools and/or departments working to motivate and advise early career faculty.
- Standardize practices associated with critical policies impacting faculty engagement in entrepreneurship, including merit review and implementation of the new PTR policy, which considers inventive and entrepreneurial activity.
- Continue to identify methods to recognize entrepreneurial and interdisciplinary research as part of the upcoming 5-year strategic planning exercise and reexamine long-standing policies and operating procedures across the university with an eye toward rewarding entrepreneurial faculty through the PTR process, merit awards, as well as providing financial incentives. Develop strategies to enhance translation by starting to value translation.

Measures:

- Implementation of a supportive messaging plan, in collaboration with University Communications, for the President to reach the university leadership and the broader community with targeted communications.
- Meetings in each school/college to provide deans and department heads with informational resources to guide faculty inventors and to reduce barriers to commercialization.
- Guidance issued on policies impacting the availability of faculty to work on commercialization and startups, e.g. sabbatical, consulting, teaching release, conflict of interest and commitment, use of equipment and facilities, roles of students and technical staff, and access to additional IP generated by the faculty inventor.
- Consistent practices for implementation university-wide of the new PTR policy at all campuses ensuring recognition of commercialization accomplishments as scholarly works in accordance with the updated view of commercialization within the academic community.

Completion: June 30, 2020, by President, VP for Research, Innovation and Entrepreneurship, Provost, OVPR Manager of Research Communications, Executive Director of Venture Development, Director of Tech Transfer

Objective 2 ***Faculty Inventors and Entrepreneurs*** **-** Increase the base of faculty experienced in industry research and development, technology transfer, and startup creation.

Execution:

- Recruit academic entrepreneurs as research faculty as well as postdoctoral researchers able to further startup creation. *(Requires New Funding*)
- Develop a world-class data science initiative and incubator where companies are supported by industry-friendly and entrepreneurially-minded faculty with critical cross- disciplinary expertise (e.g., artificial intelligence, data visualization, cybersecurity/data integrity) to back the growth of multiple industry "pillars" including biotech, healthcare, fintech and insurance. through startup creation and talent development. *(Requires New Funding*)
- Implement a campus wide collaboration including the Vice President for Research, Innovation and Entrepreneurship and Provost working to identify methods and standards that integrate

commercialization experience and commercially relevant research with high academic standards consistent with the new Faculty Hiring plan as required in the Act.

- Utilize the Deans' Council for dissemination of updates on emerging industry interests that could be aligned with faculty hiring goals.
- Include the AVP for Innovation and Entrepreneurship as a presenter at all new faculty orientation sessions.
- Include the Vice President for Research, Innovation and Entrepreneurship, AVP for Innovation and Entrepreneurship or representative from Technology Transfer and/or Venture Development in search process as leading job candidates emerge.
- Collaborate within the OVPR to enable technology partnerships at the UConn Tech Park that build on existing industry partnerships and create new ones.
- Pursue opportunities to grow the University endowment in support of faculty innovation and entrepreneurship.
- Provide a one-stop service for faculty to receive direction on Conflict of Interest as relates to tech transfer and startup activities and explore the need for a policy on Conflict of Commitment.

Measures:

- Standards and processes developed and instituted for faculty hiring
- New endowed chairs in scientific areas of interest to industry
- Funding established to support a new data science initiative and incubator in Stamford

Completion: June 30, 2020, Provost, Vice President for Research, Innovation and Entrepreneurship

Objective 3 ***Translational Research*** **-** Support translational research as the first step in university commercialization with access to internal and external non-dilutive funds for startups.

Execution:

- Provide coaching and support for the development and submission of Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) proposals. *(Requires New Funding*)
- Pursue grant opportunities for participation as a node in the NSF I-Corps program
- Identify and recruit promising faculty translational projects to apply to the SPARK Technology Commercialization grant for scientific and business evaluation

Measures:

- Double SBIR/STTR awards over three years/two grant cycles
- Increase SBIR success rate in Phase 1, 2, and Fast Track; total raised
- Increase percentage of SPARK projects that become companies
- Continue as an NSF I-Corp site and seek award for NSF I-Corps Node

Completion: Start in 2020, with milestones at 2023 and 2026, by Executive Director of Venture Development, Director of Technology Transfer, Connecticut Center for Innovation and Entrepreneurship (CCEI)

Objective 4 ***Venture Funding*** **-** Appreciably increase venture equity funding for UConn startups

Execution:

- Provide services to double venture equity funding in three years (two cycles) by supporting development and review of professional pitch decks, vetting, formation and engagement of management teams, initiating prospective customer interviews, attendance at trade shows, providing introductions to Venture Capitalists (VCs) and accredited investors, advising on term sheet negotiations and follow-on funding. *(Requires New Funding*)

Measures:

- Total angel and venture dollars raised by companies

Completion: Start in 2020, with milestones at 2023 and 2026, by Executive Director of Venture Development

Incentives*- Incentives and resources facilitate and accelerate technology commercialization and venture development.*

Goal: Provide financial resources for UConn faculty and student innovators.

Objective 1 ***Seed Investment Funding*** **-** Launch a significant UConn seed investment fund to address the severe gap in external funding and critical need for solid business proof of concept to attract outside investors/partners

Execution:

- Identify sources, secure and structure a $10 Million UConn Seed Investment Fund with a 10-year vesting period and evergreen model to be the first dollars in UConn startups. *(Requires New Funding*)
- Model after top tier and peer universities like MIT's recently launched Engine Fund, UC Berkeley's SkyDeck Fund, or those at University of Arizona, University of Pennsylvania, Purdue, and University of Virginia.
- Coordinate and collaborate with the Werth Institute.

Measures:

- Launch the fund and its review/investment processes/teams
- Total and size of investments
- Dollars leveraged as seen in follow-on investments
- Return on investment (ROI) (Venture Capital with alternative metrics for social/non-profit startups)
- Viability of fund as an evergreen model

Completion: Fund committed by 2021, start investment immediately, by President, UConn Foundation, Vice President for Research, Innovation and Entrepreneurship, Executive Director of Venture Development, and Director of Technology Transfer

Objective 2 ***Proof of Concept Grant Funds*** **-** Exponentially increase the size of UConn SPARK Technology Commercialization Fund and UConn Program in Accelerated Therapeutics for Healthcare (PATH) for increased proof of concept support for faculty innovators translating research into products.

Execution:

- Provide $1Million annually for an updated SPARK Technology Commercialization Grant Program operating as a Proof-of Concept Fund modeled after the Yale Blatvatnik Fund, the Tech Launch Arizona Asset Development Fund, and others to provide external validation of scientific and business opportunities for faculty inventions. *(Requires New Funding*)
- Identify opportunities to increase PATH support to faculty in therapeutics areas.

Measures:

- Committed financial support to increase funding
- Percentage of SPARK projects that transition to become companies
- Percentage of PATH projects that transition to become companies or license technology positioning it for increased support from university or state sources

Completion: Funds committed by 2021, start investment immediately, by President, UConn Foundation, Vice President for Research, Innovation and Entrepreneurship, Executive Director of Venture Development, and Director of Technology Transfer

Objective 3 ***Angel Network*** **-** Develop a UConn Alumni & Friends Angel Network

Execution:

- Continue the ongoing engagement of donors and alumni by the Werth Institute and the UConn Foundation to formally develop and launch an angel network for early stage/pre-revenue investment in student and faculty entrepreneurship. *(Requires New Funding*)
- Address Connecticut's lack of consistent and steady access to active early-stage investors by engaging individuals who will make investments that range from $10 Thousand-$250 Thousand in early-stage companies. *(Requires New Funding*)
- Maintain relationships with entrepreneurs to monitor suitability and readiness and advise on what is needed to obtain funding to enable consistent deal flow that the network will need to be viable. *(Requires New Funding*)

Measures:

- Total number of angels identified and on-boarded into the network
- Number of alumni mentors that invest in UConn companies
- Total number of events with VC and angel community hosted at UConn and available for UConn entrepreneurs
- Average amount of funding received by startups that are deemed suitable by our external partners

Completion: June 30, 2020 and ongoing, by Werth Institute, Executive Director of Venture Development, UConn Foundation

Objective 4 ***Experiential Learning to Build Talent and Startup Financial Capacity*** **-** Increase funded companies while developing a strong cohort of talented technology leaders that can help to stem Connecticut's brain drain.

Execution:

- Support the President's Transformative Learning Initiative for undergraduates that stresses experiential learning and mentorship for all undergraduates by establishing linkages to entrepreneurial and talent development offerings.
- Leverage the expertise of Venture Development and Technology Transfer to support student entrepreneurship by collaborating with the Werth Institute to support student educational and business competition activities, mentorship, and incubation space (for students' companies that pass the Werth Institute vetting process).
- Leverage the graduate business student population to help student and faculty entrepreneurs build advisory and financial networks through a for-credit, experiential education class.
- Utilize graduate teams to prepare entrepreneurs to transition from concept to startup to venture, accelerating the business-side development of startup teams while they develop the technology to create value.
- Focus on the elements that UConn programs are missing today for startup fundraising; realistic financial projections, go-to market strategies, and building executive teams.
- Build on CTNext's highly successful Technology Talent Bridge program and the Innovate Stamford internships.
- Recruit an aggressive business-development-oriented person to drive and lead an effort to sell and connect students and companies for increased experiential opportunities. *(Requires New Funding*)
- Explore establishment of a student-managed fund in seed-stage venture development for professional interaction and engagement between students and VCs around potential investments.

Measures:

- Total number of startup teams that have successful pre-seed and seed rounds
- Internships in startups including 100 in Stamford annually
- Number of MBA students that join startup executive teams
- Number of MBA students that have jobs in the startup investment ecosystem three, five, and seven years out
- Total program participation by Venture Development and Technology Transfer (mentor, judge)
- Total Entrepreneurs-in-Residence (EIRs) provided for support by Venture Development
- Total student companies in TIP (and their associated metrics)

Completion: Course and method of instruction completed first quarter of 2020. Instructor recruited and funded by May 2020. Teams from Innovation Quest, CCEI Summer Fellows, Engineering's Third Bridge Program, and OVPR TIP program recruited and participate in pilot class during the Fall of 2020; proposal for student-managed fund; by Werth Institute & Graduate School of Business; ongoing support from OVPR. By Werth Institute, Executive Director of Venture Development, Director of Technology Transfer

Collaboration*- Internal and external collaboration with corporate and entrepreneurial communities, state and federal agencies, and other universities fills institutional gaps and enriches commercialization and startup opportunities.*

Goal: Build internal and external networks to improve performance of university efforts and the success of its companies.

Objective-1 ***Technology Marketing*** - Increase corporate and community awareness of UConn innovators and technologies in order to improve the frequency and quality of technology marketing efforts for startups and licensing.

Execution:

- Create a robust paid internship program to support technology transfer efforts with an initial focus on technology marketing, hiring two interns by end Q2FY21 and building the program to four interns over time. *(Requires New Funding*)
- Strategically increase industry conference attendance with a targeted approach identifying those that should be attended by Technology Transfer and Venture Development staff, with a goal to maximize coverage, while maintaining reasonable costs. *(Requires New Funding*)
- Promote opportunities, successes, and active inventors at UConn by building on our relationship with University Communications and external public sector partners to increase earned media posts, university coverage, and social media posts. *(Requires New Funding*)

Measures:

- 50% increase in executed Option Agreements and License Agreements in FY21 as compared to the five-year average FY15-FY19 with a subsequent 10% increase each year thereafter.
- 10% increase in License Revenue in FY21 as compared to the five-year average FY15-FY19 with a subsequent 10% increase each year thereafter.

Completion: as above; by Executive Director of Venture Development, Director of Technology Transfer, Licensing Directors, OVPR Manager of Research Communications, University Communications

Objective 2 ***State-wide University Collaboration -*** Enable other Connecticut universities that lack internal support programs for innovation entrepreneurship to launch new startups based on their own IP or on IP that such universities jointly hold with others institutions, including UConn.

Execution:

- Open and promote UConn educational events to such universities.
- Provide access to equipment and instrumentation in UConn core labs to support R&D needs of startups and other innovative technology companies.
- Build on START Preliminary Proof-Of-Concept (PPOC) Fund and use Venture Development and Tech Transfer teams to deliver services.
- Provide forums to share best practices with universities state-wide that seek to establish new or build on current technology commercialization programing.

Measures:

- At least one new startup per year based on collaboration with other universities in Connecticut over the period of this plan
- Startup performance (# of such startups, funding performance)

- Host an annual state-wide university forum on best practices by January 2021

Completion: As above, by Executive Director of Venture Development, Director of Technology Transfer

Objective 3 Build on the success of the Husky Mentor Network developed by the Center for Career Development for a more robust network of alumni entrepreneurs able to support student and faculty entrepreneurship through expanded alumni connections

Execution:

- Develop a distinguished, diverse group of mentors specifically for student and faculty entrepreneurs to address a lack of support from successful executive teams. It will help to provide deep industry knowledge of needs and problems where value can be created, which currently impedes the consistent execution of entrepreneurs' vision. *(Requires New Funding*)
- Recruit from alumni and industry professionals a deep network across numerous technologies and industries to act as advisors, coaches, and mentors and regularly advise student and faculty entrepreneurs, including serving on startup advisory boards and executive teams. *(Requires New Funding*)
- Work with The Center for Career Development and Venture Development to recruit and convert mentors to become leaders in UConn companies.
- Develop standardized and accessible (web-based) mentor training to assess and align mentor's skills and understanding, and to ensure mentees have realistic expectations. *(Requires New Funding*)

Measures:

- Total number of judges and industries represented (current total # >100)
- Total number of mentor engagements with UConn entrepreneurs
- Average number of advisory and leadership roles filled with student startups that have crossed a threshold into viability

Completion: Immediately and ongoing. Review annually with at least 50% growth in the first two years, by Werth Institute & CCEI

Objective 4 ***Outside Expertise*** **-** Expand our network of EIRs and business leaders through external national l and international contacts and by collaborating with Werth and the Alumni Network to provide a vast group of domain experts and seasoned business leaders for student and faculty startups.

Execution:

- Recruit highly experienced "visiting entrepreneurs" to join UConn for specified time periods, up to one year, during which they advise startups, work within classes, and bridge their experience and networks to enhance the development of our entrepreneurship culture, including in keeping course content current and dynamic. *(Requires New Funding*)
- Expand, maintain, and grow a pool of EIRs to support due diligence, launch, and grow UConn startups. *(Requires New Funding*)

- Tap the Alumni Mentor Network and external parties as a source of experienced executive business leaders to fill in specific roles within startups and complement UConn scientific teams. *(Requires New Funding*)
- Create a network of domain experts with unique expertise required to evaluate technologies in specific areas, help Technology Transfer and inventors to determine commercialization pathways, and make connections with people who work in those pathways. *(Requires New Funding*)
- Further develop international research collaboration with technology transfer and commercialization possibilities *(Requires New Funding*)
- Build study abroad opportunities for UConn students that are focused on innovation and entrepreneurship

Measures:

- Staffing provided for network coordination ensuring a strong process for matching mentors and mentees
- Total vetted and engaged EIRs and domain experts
- Assessment of their annual contribution
- Total leadership positions (CEO, CFO, CTO etc.) filled within UConn startups
- Assessment of study abroad learning outcomes

Completion: Starts in 2020, ongoing and measured annually, by Executive Director of Venture Development, Director of Technology Transfer

Objective 5 ***Technology Incubation Program (TIP)*** **-** Maintain current high quality of UConn TIP as a state economic development resource and expand capacity where demand exists.

Execution:

- Recruit, support, and graduate high quality companies
- Design, resource, and launch of TIP Stamford incubator planned in partnership with Innovate Stamford and CTNext *(Requires New Funding*)
- Support a new data science initiative and incubator or in Stamford (see Objective 2 ***Faculty Inventors and Entrepreneurs)***

Measures:

- Entry and buildup of first cohort of UConn, non-UConn startups in Stamford (Y2-3). Fully occupied and operational (Y3-5)
- Total TIP companies
- Percentage of successful TIP graduations
- Aggregate capital raised, revenue, employment
- Annual satisfaction surveys
- Percentage of promising non-CT companies attracted
- UConn vs non-UConn startups metrics delineated for tracking purposes

Completion: Ongoing; AVP for Innovation and Entrepreneurship, Executive Director of Venture Development with Executive Director of Innovation, External Engagement and Industry Relations

Objective 6 ***Periodic Informational Programs*** **-** Provide seminars, workshops, meetup sessions, and forums, including public external events to inform faculty members, researchers, key administrators, industry and other interested ecosystem participants about processes, issues, and opportunities associated with technology commercialization (emphasis on startups) and university expertise.

Execution:

- Using examples of national and local opinion leaders, design and execute programs that inform, entertain, and demonstrate best practices of technology commercialization and startup development.
- Deliver hands-on training through nationally funded programs, internal custom-designed sessions, and public external events to bring together key investors and corporate partners, and to showcase UConn startups.
- Offer seminars and workshops for industry to promote faculty expertise and consulting capacity.

Measures:

- Total annual educational modules delivered to schools, departments, and institutes
- Total annual workshops and programs
- Total annual external events
- Satisfaction survey results on quality of presenters/presentations
- Outreach strategy deployed to attract appropriate participants

Completion: Immediately and ongoing, by Executive Director of Venture Development, Director of Technology Transfer

Objective 7 ***Student Entrepreneurial Spaces*** **-** Provide a long-term space plan to operate a centralized hub for student entrepreneurs in Storrs and at all campuses, which will leverage the multitude of existing facilities for student entrepreneurs – Werth Tower Meetup Space, Werth Wilbur Cross offices, Library Maker Space, Tech Park POC – (See Appendix J)

Execution:

- Utilize recently formed committee to continue to evaluate locations that have been identified.
- Develop a plan to address the needs based upon the President's and Provost's inputs and resource allocation.
- The Werth Institute and OVPR will provide input to ensure that both student and faculty needs are considered and met.
- Utilize the plan to outfit the selected space as a location to further promote experiential learning, practical skill development, and community building. *(Requires New Funding*)
- Create an interface with the many other experiential learning programs on campus through a unique branding effort.

Measures:

- Site selected and funding provided

Completion: Plan delivered by the Werth Institute, Office of the CFO, University Planning, Design and Construction as part of this Strategic Plan.

Objective 7 ***Engage with state government and private sector leaders for talent creation and retention***

Execution:

- Participate in evolving public-private partnership where technology-company thought leaders from Stamford are seeking to drive increased engagement between companies and state government.

Measures:

- Newly funded statewide CT's Innovation Fellowship Program for talent retention
- Increase number of students educated at UConn staying in Connecticut due to CT's Innovation Fellowship Program
- Coordinate with EIR programs currently at CI, university tech transfer offices and VC firms
- Leverage in-progress programs and programs in development via BioCT and CTNext

Completion: Ongoing; by VP for Research, Innovation and Entrepreneurship, Executive Director of Venture Development, Director of Technology Transfer, Werth Institute

Key Metrics

All projected increases will be relative to current baseline data (e.g. historical averages or the most recent year). Also, Tech Transfer goals shall not be at the expense of startup formation. Adjustments will be made as necessary. Those in blue in particular are dependent on the availability of new resources.

Technology Transfer

- Receive 1.25 invention disclosures/$2.5 Million research expenditures
- Double leveraged funding tied to SPARK/START/PATH funding and licensed technology in five-year increments *(Requires New Funding*)
- Increase disclosures, patents managed per FTE
- Societal benefits of UConn technologies

Venture Development

- Launch additional three new and externally vetted startups [8]per year for the first five years (Appendix C) *(Requires New Funding*)
- Double SBIR/STTR grants in three years (two cycles) *(Requires New Funding*)
- Double venture equity funding in UConn companies in three years (two cycles) *(Requires New Funding*)
- Incubator occupancy at least 90 to 92% along with TIP goals (# of companies, % successful graduation, raised capital, revenue, employment, attracting promising non-UConn and non-CT companies) *(Requires New Funding*)

[8] While AUTM only accounts for startups that are developed specifically to commercialize a university-owned technology, startups supported by Venture Development as proposed in this plan will also include student companies and companies with no university IP.

- Fully functional Stamford incubator and integrated in TIP in three to five years *(Requires New Funding*)
- Seed Investment Fund of $10 Million established *(Requires New Funding*)
- Societal benefit of UConn startups

Werth Institute

- Student companies
- Students participating in Werth Institute member programs.
- Number of Werth Institute members programs that are created (special emphasis on collaborative programs across units)
- Students in Entrepreneurship specific classes
- Students applying to startup programs including GetSeeded, Accelerate UConn, InnovationQuest,
- Creation of new startup programs for students
- Student Companies receiving outside investment, launching products
- Alumni student connections
- Endowed Scholarship Funds specified to entrepreneurship
- Number of faculty teaching Entrepreneurship

Joint

- Total number of faculty involved in commercialization and startups
- The estimated aggregate value of UConn's company portfolio *(Requires New Funding*)
- Total number of jobs created in Connecticut by UConn companies and those affiliated through TIP *(Requires New Funding*)
- Number of small Connecticut companies that increased revenue or jobs with assistance from UConn *(Requires New Funding*)
- Percentage increase in students educated at UConn that stay in the state over the next five years
- Faculty and student satisfaction rates (annual surveyed results)

Organization

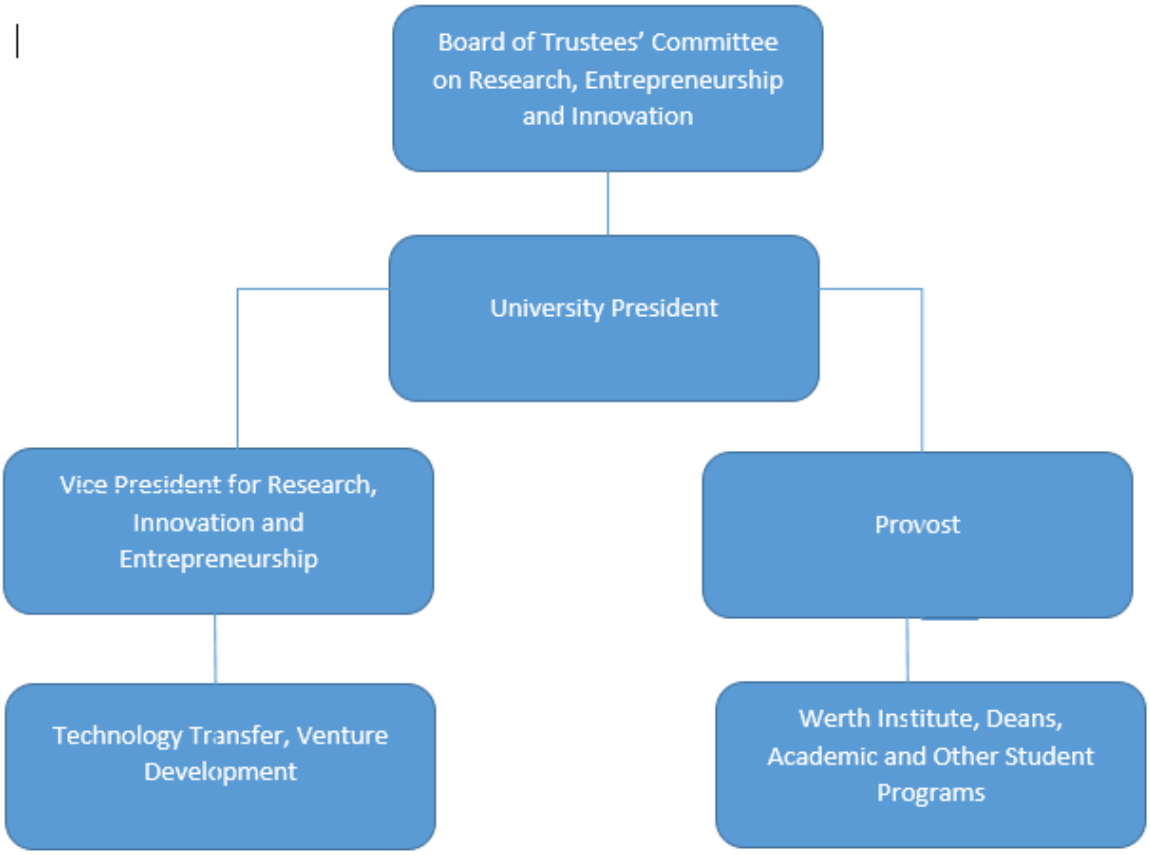
Led by the President, a new vision for innovation and entrepreneurship will be implemented by the Vice President for Research, Innovation and Entrepreneurship, the Provost, and their designees. The new Board of Trustees Innovation, Entrepreneurship, and Research Committee that includes successful entrepreneurs will provide input and oversight.

As an academic unit, the Werth Institute reports to the Provost, while Technology Transfer and Venture Development report to the Vice President for Research, Innovation and Entrepreneurship. Significant collaboration already occurs, and will continue through the President's leadership and an internal Innovation and Entrepreneurship Committee, which convenes monthly and includes the Provost, the Director of the Werth Institute, the Vice President for Research, Innovation and Entrepreneurship and key deans. In the near future, this committee will also include a new AVP for Innovation and Entrepreneurship, the Vice Provost for Academic Affairs and the Vice Provost for Academic Operations.

As a recently established entity, the Werth Institute remains focused on students and will evolve as growth occurs. The Technology Transfer group is well-established, and Venture Development was recast

within the OVPR just three years ago. The following is our new structure that integrates Tech Transfer and Venture Development for implementation of this plan and provides leadership to promote innovation and entrepreneurship among both faculty and students university wide.

Leadership Structure



Financial Resources

Current Technology Transfer and Venture Development Budget[i9]	
Patent Prosecution (outside IP Counsel)	$900,000
Royalties to Inventors and Administrative Units[10]	$500,000
SPARK Technology Commercialization Grant Fund	$400,000
PATH Translational Research Program	$200,000
Salaries, fringe, and operating needs of staff such as travel and supplies.	$1,560,000
Total Current Spending	$3,560,000

The Werth Institute is not included above as it operates through an endowed $22.5M private donation. The budget below only represents the increased funding to UConn needed to carry out this plan which may require additional support from the state.

Technology Transfer and Entrepreneurship Plan	FY21	FY22	FY23	FY24	FY25
Total Technology Transfer and Entrepreneurship budget	**$5,366,580**	**$26,930,424**	**$7,108,945**	**$7,343,893**	**$7,585,587**
Operating budget	**$5,366,580**	**$6,930,424**	**$7,108,945**	**$7,343,893**	**$7,585,587**
Salaries and fringe benefits	$3,996,580	$4,660,424	$4,788,945	$4,923,893	$5,065,587
Venture Development Staff	263,700	791,100	830,655	872,188	915,797
Tech Transfer Staff & Interns	437,700	482,385	506,504	531,829	558,421
Werth Staff and TIP Incubator Manager	271,580	312,159	323,267	334,931	347,177
Data Sciences Initiative and Incubator[11]	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000
Visiting Entrepreneurs	1,023,600	1,074,780	1,128,519	1,184,945	1,244,192
Non-personnel expenses	$1,370,000	$2,270,000	$2,320,000	$2,420,000	$2,520,000
Patents, travel, supplies	170,000	570,000	670,000	770,000	870,000
Student Entrepreneurship Spaces Branding	600,000	100,000	50,000	50,000	50,000
SPARK Proof of Concept Fund Increase	600,000	600,000	600,000	600,000	600,000
New Seed Investment Fund	0	1,000,000	1,000,000	1,000,000	1,000,000
Capital budget	**$0**	**$20,000,000**	**$0**	**$0**	**$0**
Entrepreneurship Space Development	0	20,000,000	0	0	0

[9] The source of these dollars is primarily a percentage of fiscal and administrative (F&A) cost (aka, indirect charges) obtained from federal research grants to UConn and the University one-third share of license revenue (per University policy).

[10] These dollar are a share of tech transfer revenue to the University and are spent according the University Royalty Sharing Policy; split equally between inventors (personal compensation to reward them for their inventive activities) and funding to their labs, departments, and/or schools for additional research.

[11] Does not include funds required for space renovations

UConn and Connecticut's Innovation Ecosystem

UConn's growing innovation ecosystem (Appendix I) is an active part of the larger state ecosystem. For example, the UConn Innovation Fund is administered and funded jointly with Connecticut Innovations (CI) and CI's Connecticut Bioscience Innovation Fund supports selected UConn startups. Often these companies seek funding through other CI investment mechanisms after successfully completing these programs. Additionally, CI's subsidiary, CTNext, offers programing and competitive funding at the earliest stages of startup development, which has boosted many UConn entrepreneurs. UConn contributes through joint programs like those funded by CTNext Innovation Places and the START program. The University also supports internal and external entrepreneurs by operating programs like TIP. Collaboration with other research leaders like Yale and The Jackson Laboratory for Genomic Medicine have been a key component of our efforts. For instance, Biopipeline CT is a joint program with Yale, but equally important are the SBIR/STTR, Food and Drug Administration (FDA) workshops, and many other seminars that occur both at UConn and Yale and which are open to the larger ecosystem.

> "This [Lambdavision] all started in Dr. Birge's laboratory on North Eagleville Road in Storrs," "Since then, UConn has been incredibly supportive in the development of our technology, providing access to top tier scientists, facilities, and resources. We could have relocated out of state, but we chose to keep our company in Connecticut in Farmington, which gave us access to other innovation hubs in New York and Massachusetts," she continues. "Connecticut also has talented employees and resources like Connecticut Innovations to help us get the technology off the ground – no pun intended."
>
> Nicole Wagner, CEO of LambdaVision.

While Connecticut's ecosystem is relatively new, and cannot be compared to those regions where established leaders like MIT and Stanford call home, it is growing rapidly. The University wholeheartedly supports efforts to respond to Connecticut's Innovation/Entrepreneurial Ecosystem Roadmap which indicated that the state continues to face many challenges as it seeks to build an environment that can support an entrepreneurial economy:

- Lack of entrepreneurial culture limits ability to scale/grow companies
- Agglomeration of national risk capital markets threatens the ability to finance deal flow
- Perceived lack of talent to support innovative firms
- Deal flow is not robust or "sticky" to economy
- Connecticut is not perceived as a desirable location for high-growth companies

Going forward as partners with Connecticut Innovations and CTNext, the state agencies responsible for building an ecosystem that supports startup development and provides risk capital for startup growth, the University seeks to become a national innovation leader as envisioned in PA 19-154.

Appendix A: Quantitative Analysis

Tech Transfer

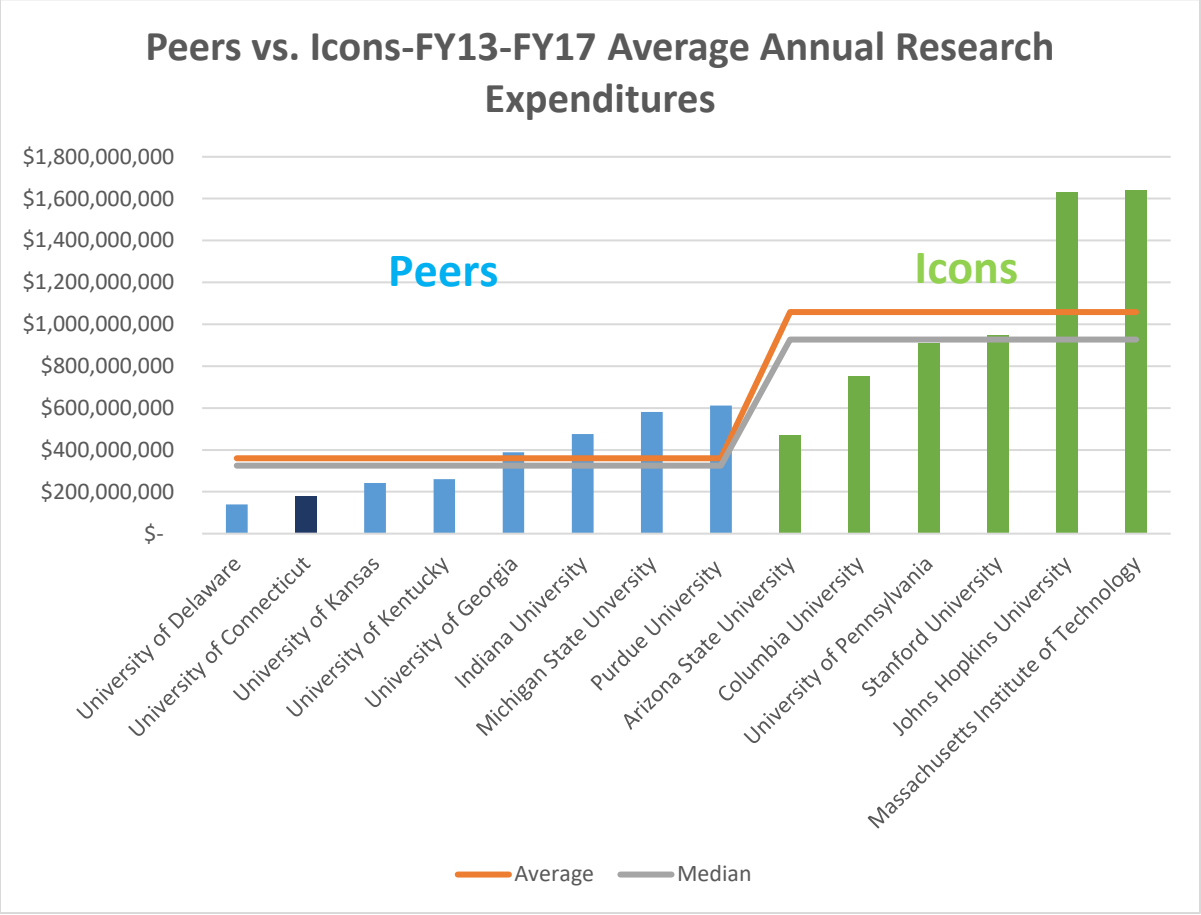
A 2017 Milken study entitled The Best Universities for Technology Transfer[12] used a methodology that includes data on traditional sector-specific metrics, such as patents issued, licensing, licensing income, and startups formed to identify top performers. The study normalized that data based on a four-year average of research dollars. In this study, UConn ranked within the top third nationally, at 74 of 225 institutions.

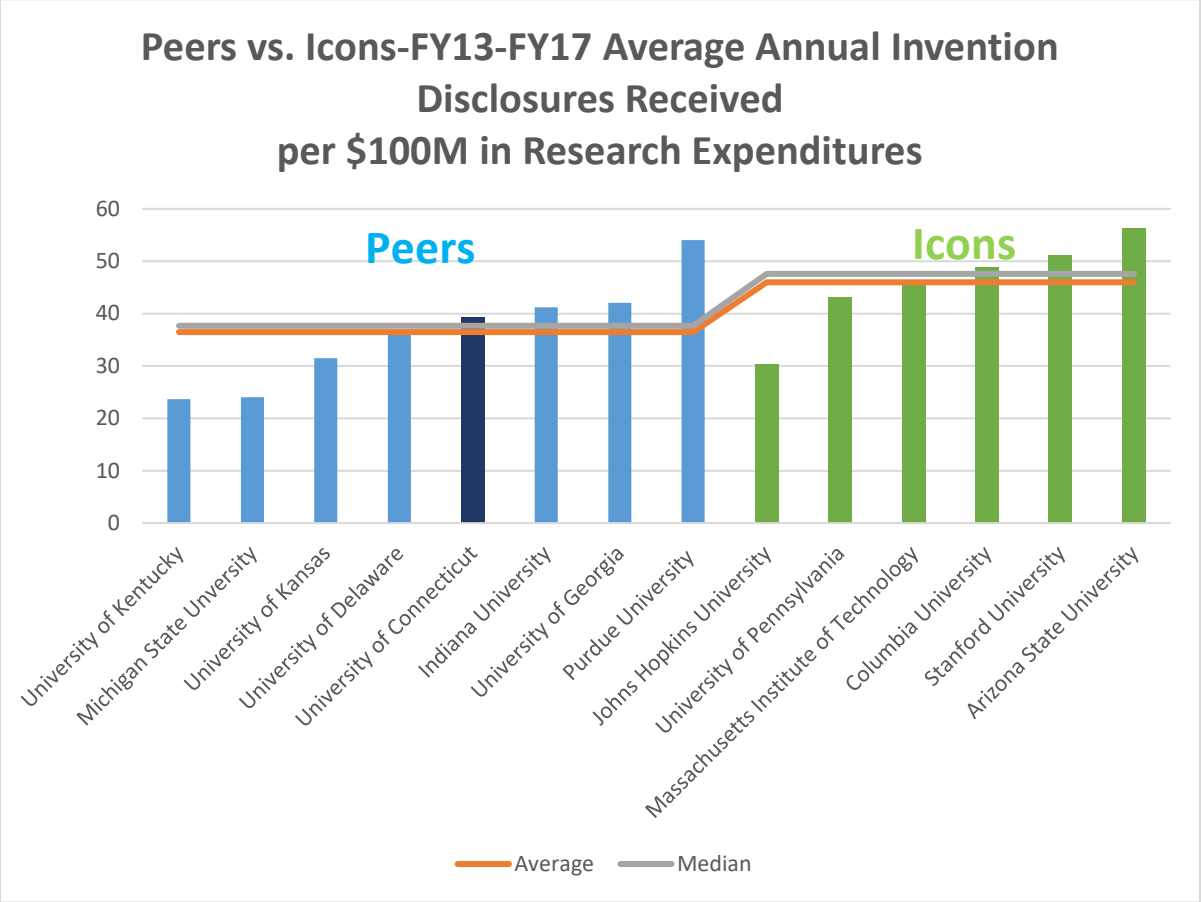
In the following charts, we benchmark UConn's tech transfer operation against peers and icons,[13] utilizing the most recent annual AUTM survey and normalizing data for research spending, as in the Milken study.[14] However, due to the importance of research to technology transfer, we start with a look at average research expenditures at peer and icon institutions.

[12] https://assets1c.milkeninstitute.org/assets/Publication/ResearchReport/PDF/Concept2Commercialization-MR19-WEB.pdf

[13] **Icons:** Arizona State University, Massachusetts Institute of Technology, Stanford University, Columbia University, University of Pennsylvania, Johns Hopkins. **Peers:** University of Delaware, University of Kentucky, University of Kansas, Indiana University, Purdue University, University of Georgia, Michigan State University

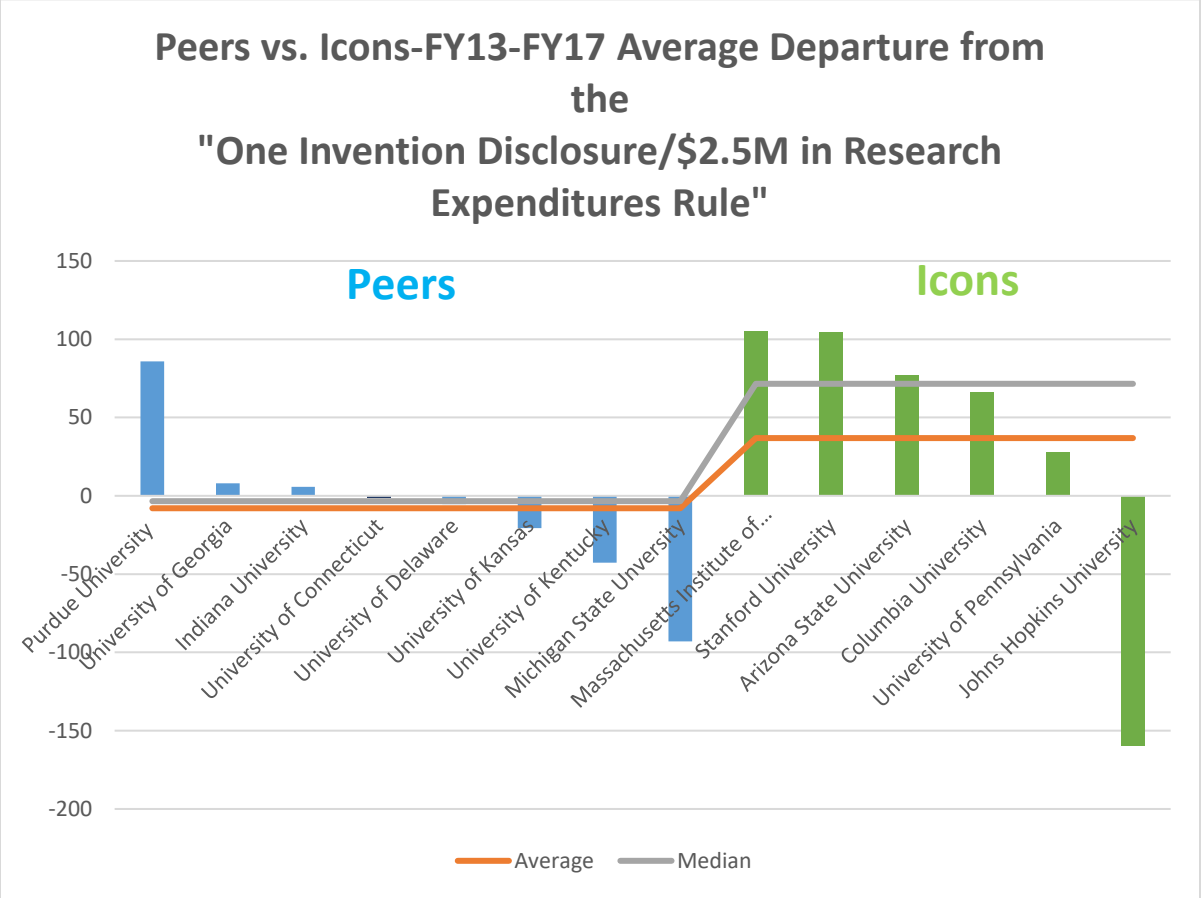
[14] Those institutions named as icons, are those that tech transfer officers have traditionally viewed as tech transfer powerhouses. Four of the six are in the Milken top 10 (Columbia #2, Stanford #5, Penn #6, MIT #8). Arizona State (Milken #21) was added because of notable interest by media and local opinion leaders. Johns Hopkins (Milken #33) was added because it has the highest research expenditures of AUTM survey respondents for FY13-FY17, other than MIT, which is already in the Milken Top 10. Universities that report as a conglomerate "system" have not been included in any analyses.

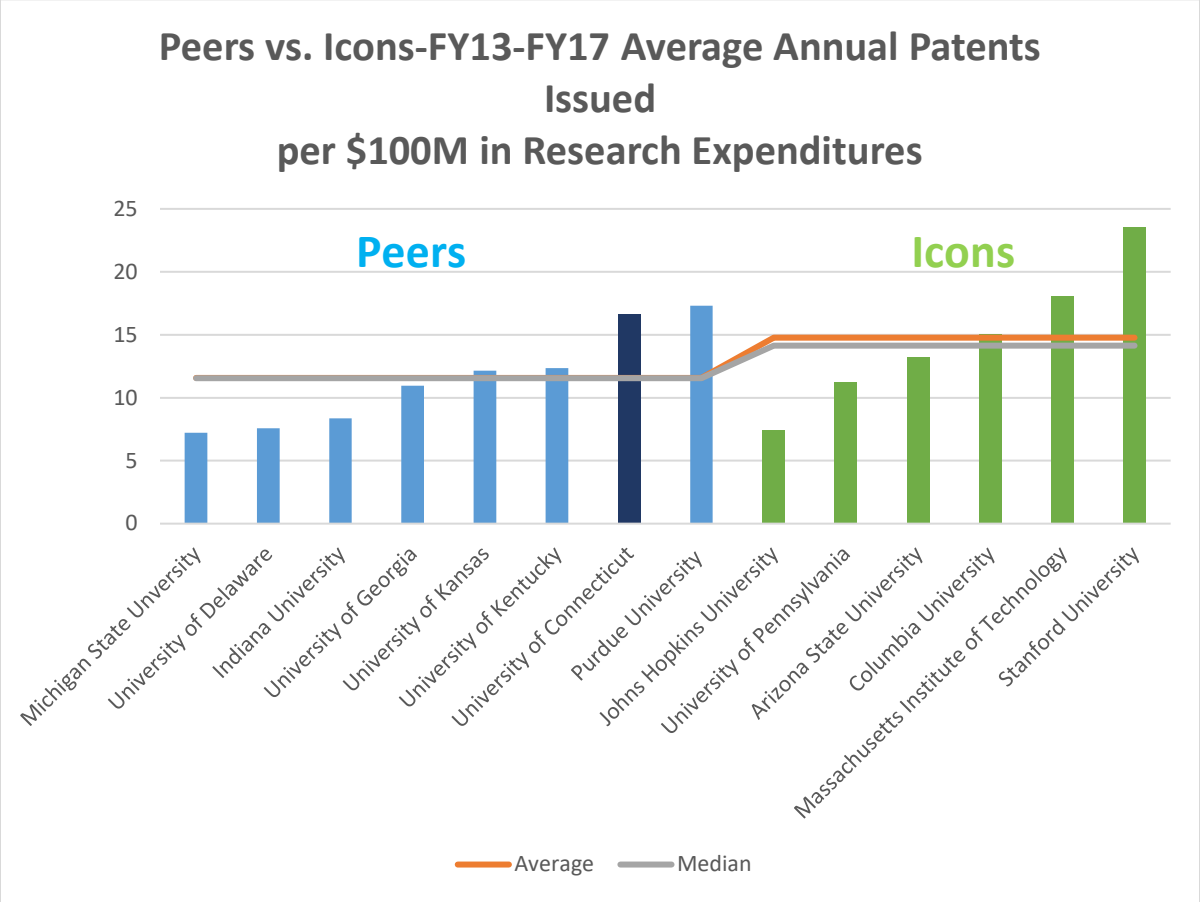

Peers vs. Icons-FY13-FY17 Average Annual Research Expenditures
$1,800,000,000
$1,600,000,000
$1,400,000,000
$1,200,000,000
$1,000,000,000
$800,000,000
$600,000,000
$400,000,000
$200,000,000
$-
Peers
Icons
University of Delaware
University of Connecticut
University of Kansas
University of Kentucky
University of Georgia
Indiana University
Michigan State Unversity
Purdue University
Arizona State University
Columbia University
University of Pennsylvania
Stanford University
Johns Hopkins University
Massachusetts Institute of Technology
Average
Median

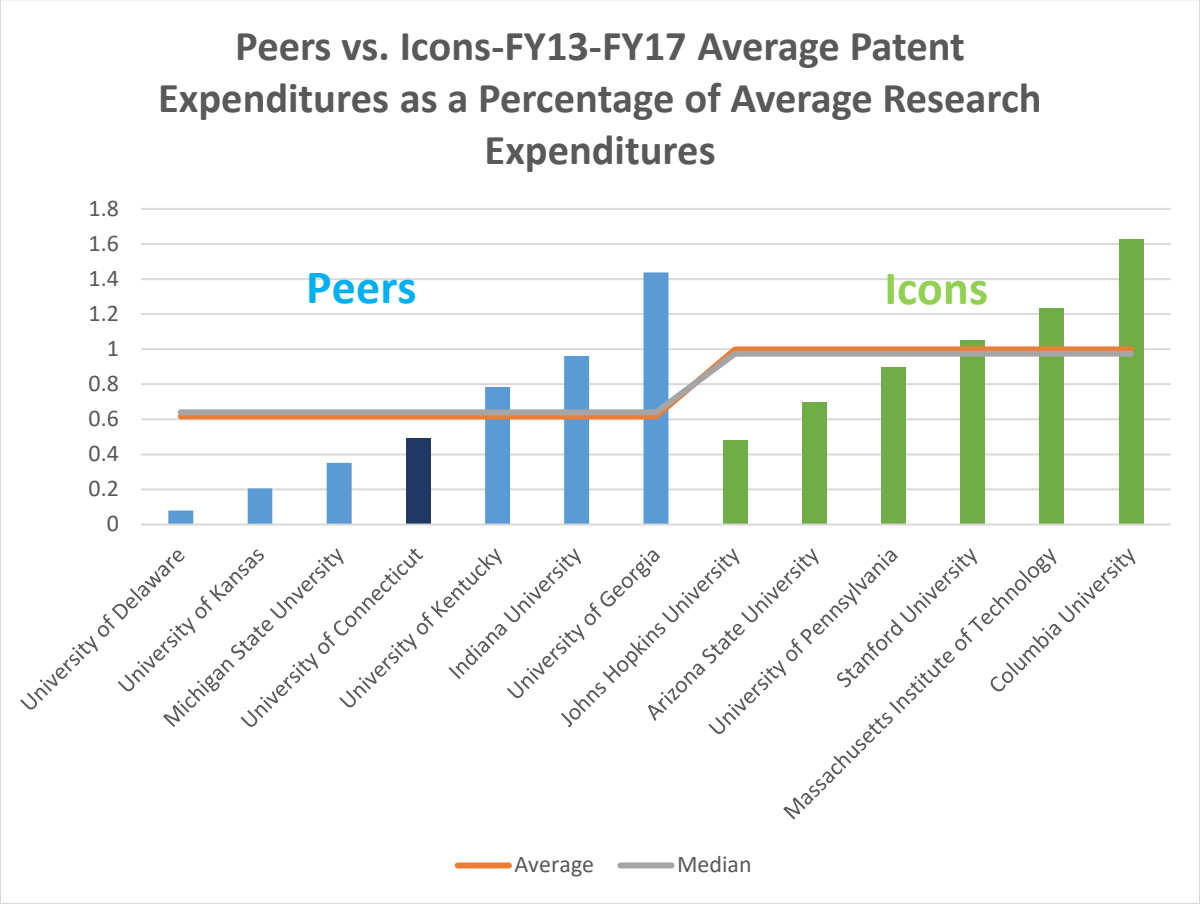


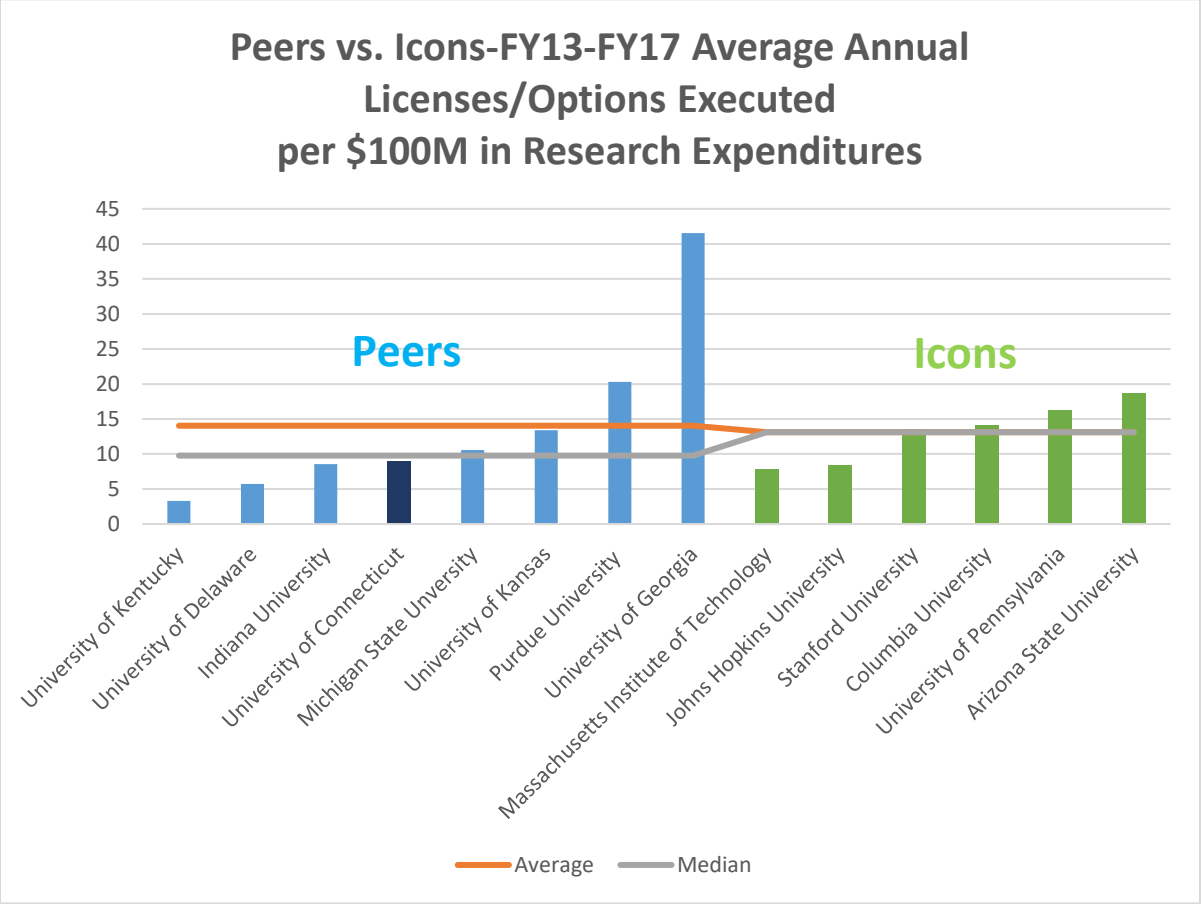
[15]

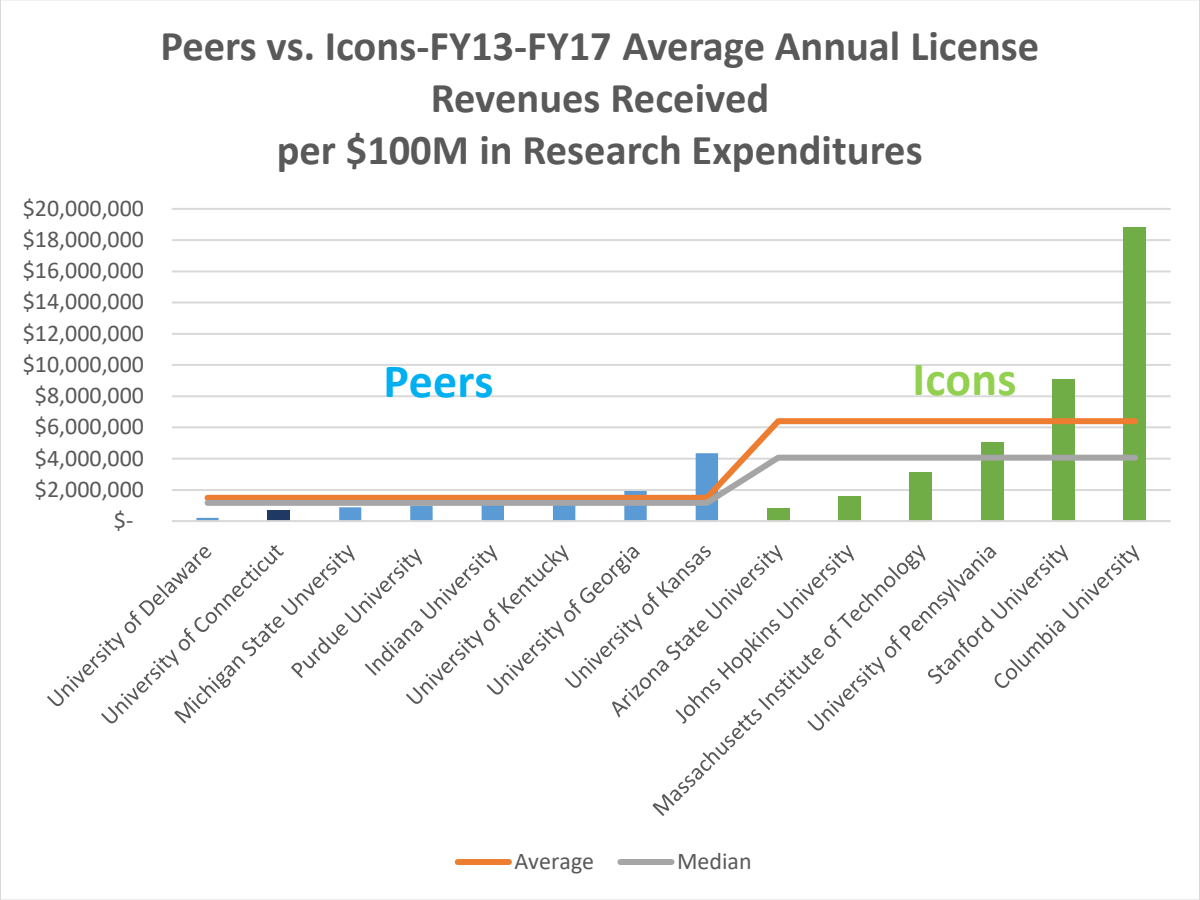
[15] Purdue is not included as it does not report their patent expenditures.

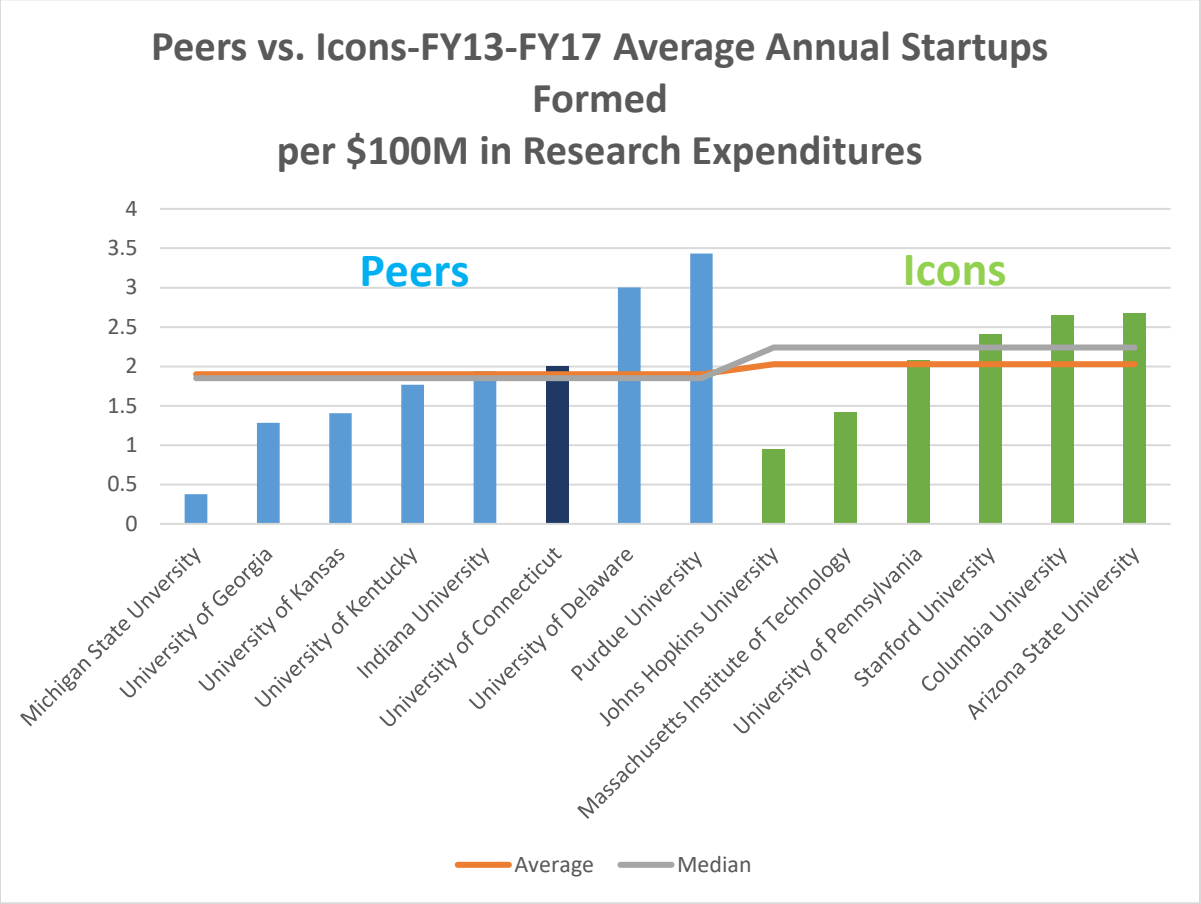

Peers vs. Icons-FY13-FY17 Average Departure from the "One Invention Disclosure/$2.5M in Research Expenditures Rule"
Peers
Icons
150
100
50
0
-50
-100
-150
-200
Purdue University
University of Georgia
Indiana University
University of Connecticut
University of Delaware
University of Kansas
University of Kentucky
Michigan State University
Massachusetts Institute of...
Stanford University
Arizona State University
Columbia University
University of Pennsylvania
Johns Hopkins University
Average
Median

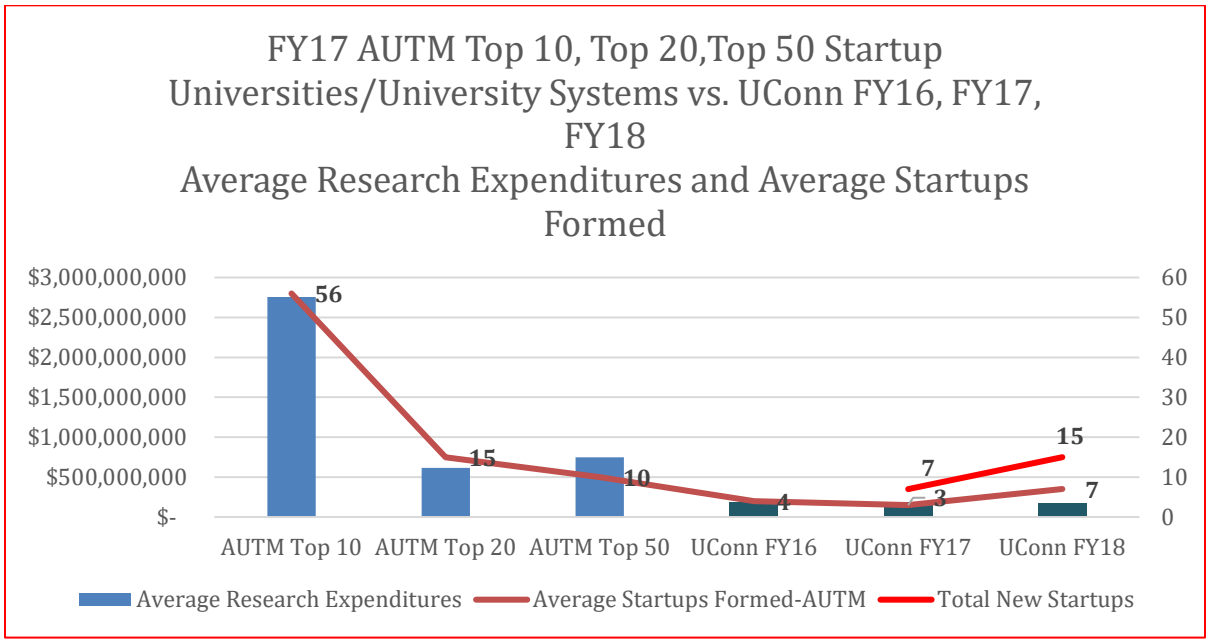

Peers vs. Icons-FY13-FY17 Average Annual Patents Issued
per $100M in Research Expenditures
25
20
15
10
5
0
Peers
Icons
Michigan State University
University of Delaware
Indiana University
University of Georgia
University of Kansas
University of Kentucky
University of Connecticut
Purdue University
Johns Hopkins University
University of Pennsylvania
Arizona State University
Columbia University
Massachusetts Institute of Technology
Stanford University
Average
Median


Peers vs. Icons-FY13-FY17 Average Patent Expenditures as a Percentage of Average Research Expenditures
1.8
1.6
1.4
1.2
1
0.8
0.6
0.4
0.2
0
Peers
Icons
University of Delaware
University of Kansas
Michigan State University
University of Connecticut
University of Kentucky
Indiana University
University of Georgia
Johns Hopkins University
Arizona State University
University of Pennsylvania
Stanford University
Massachusetts Institute of Technology
Columbia University
Average
Median


Peers vs. Icons-FY13-FY17 Average Annual Licenses/Options Executed per $100M in Research Expenditures
45
40
35
30
25
20
15
10
5
0
Peers
Icons
University of Kentucky
University of Delaware
Indiana University
University of Connecticut
Michigan State Unversity
University of Kansas
Purdue University
University of Georgia
Massachusetts Institute of Technology
Johns Hopkins University
Stanford University
Columbia University
University of Pennsylvania
Arizona State University
Average
Median


Peers vs. Icons-FY13-FY17 Average Annual License Revenues Received per $100M in Research Expenditures
$20,000,000
$18,000,000
$16,000,000
$14,000,000
$12,000,000
$10,000,000
$8,000,000
$6,000,000
$4,000,000
$2,000,000
$-
Peers
Icons
University of Delaware
University of Connecticut
Michigan State University
Purdue University
Indiana University
University of Kentucky
University of Georgia
University of Kansas
Arizona State University
Johns Hopkins University
Massachusetts Institute of Technology
University of Pennsylvania
Stanford University
Columbia University
Average
Median


Peers vs. Icons-FY13-FY17 Average Annual Startups Formed
per $100M in Research Expenditures
4
3.5
3
2.5
2
1.5
1
0.5
0
Peers
Icons
Michigan State University
University of Georgia
University of Kansas
University of Kentucky
Indiana University
University of Connecticut
University of Delaware
Purdue University
Johns Hopkins University
Massachusetts Institute of Technology
University of Pennsylvania
Stanford University
Columbia University
Arizona State University
Average
Median



Total New Startups in 2017 and 2018 (after formation of Venture Development function in UConn) includes all UConn startups served, including those that fall within and outside definition of AUTM.

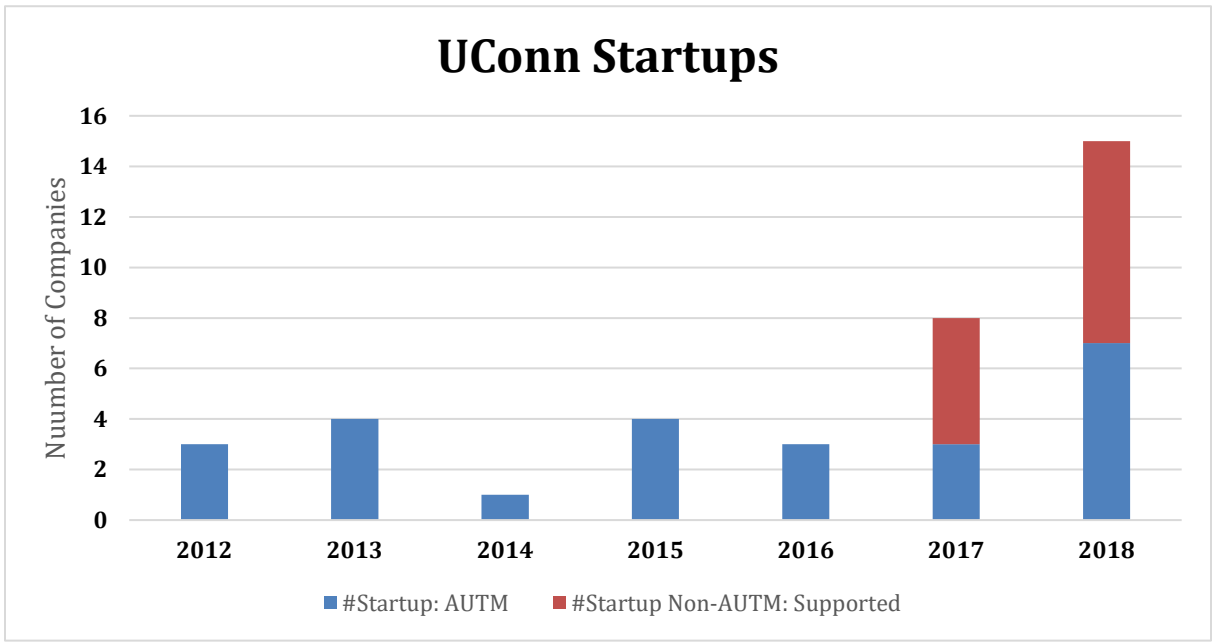
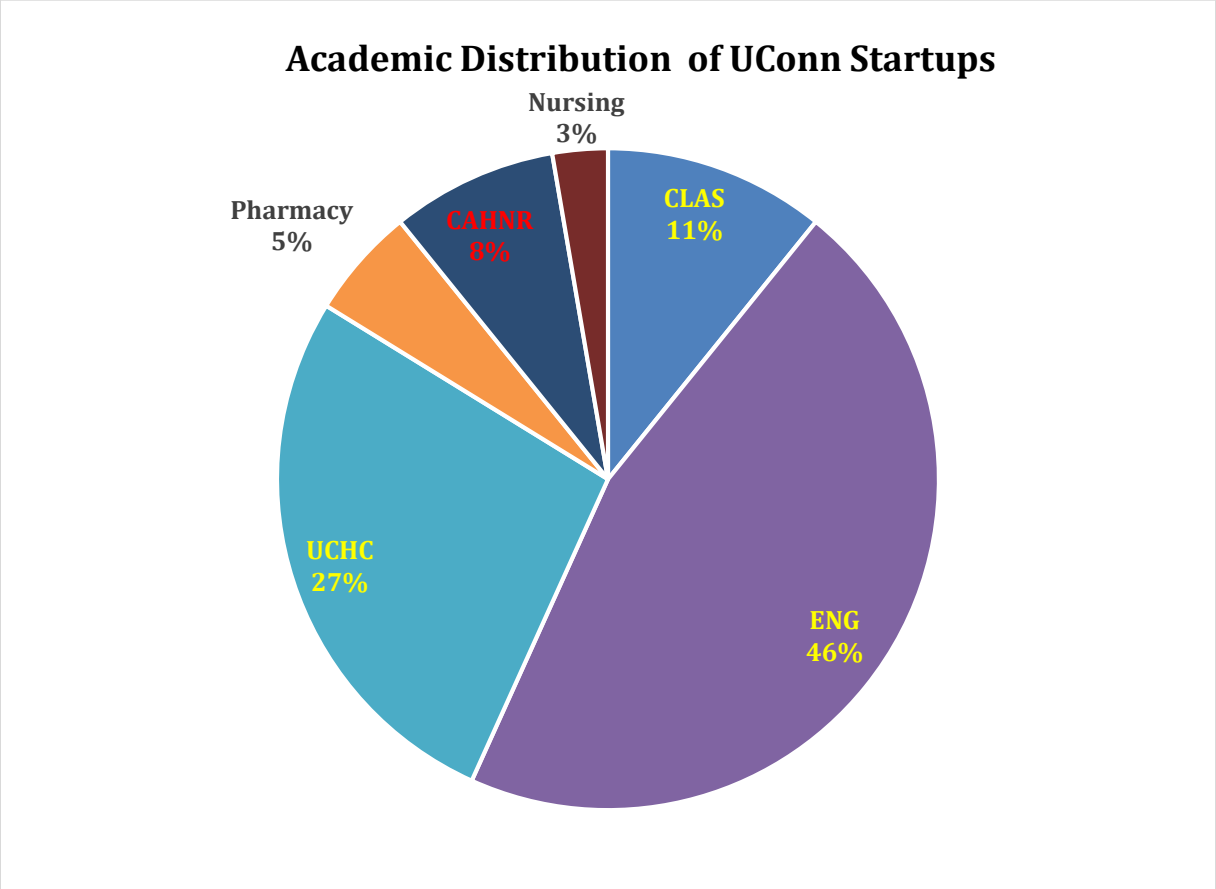


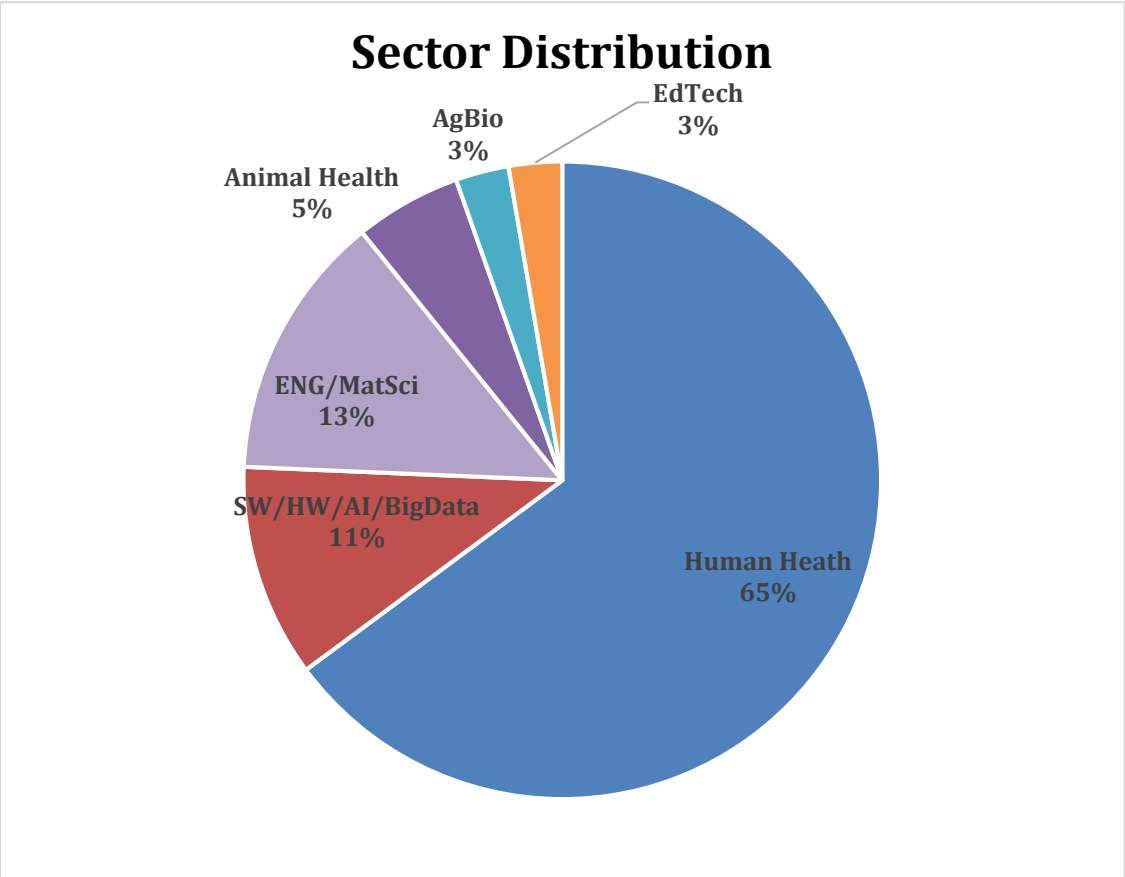
Chart does not include faculty consulting companies, or student companies that were created as part of a class activity or business competition.

Total 6-year sum of UConn startups between 2012-2016: 15

Total 2-year sum of UCONN startup for 2017-2018: 22



UCHC: Schools of Medicine and Dentistry
CLAS: College of Liberal Arts and Sciences
ENG: School of Engineering
CAHNR: College of Agriculture, Health and Natural Resources



ENG/MatSci: Engineering and Material Sciences
SW/HW/AI/BigData: Software, Hardware, Artificial Intelligence, Big Data
AgBio: Agriculture, Nutrition and Plant Sciences
EdTech: Educational Technology

Appendix B: Venture Development FTE Comparison

Our comparison includes universities that were selected as examples of leaders and peers with a focus on the startup development. Also, since such data is not reported to AUTM or published, we relied on the universities willing to share their internal information with us. In certain cases we had to contact different divisions of a university and cross-validate the data for accuracy. It must be noted that not all universities were willing to share such info.

Based on one senior/mid-level FTE, how many new ventures are created per year in your university?

Notes:

- Only senior/mid-level FTEs counted (Dir, Assoc Dir, and Manager).
- FTE count does not include EIRs, admin support and students
- Ventures created in a given year will become part of portfolio companies to be managed until their exit

Source: AUTM, Milken, and direct input from Venture/Tech Transfer leaders within the universities

Comp Group: Top Universities and Peers, Data from AUTM, Milken, Direct Input from Senior Leaders of each University									
University	2016	2015	2014	2013	2012	2012-16 average NewCo	# of Senior Staff in Venture Dev	Milken Rank	University
U of Utah	15	16	16	23	14	16.8	6	1	U1
UPenn	13	16	21	26	14	18	4	6	U2
Purdue	27	25	24	8	5	17.8	3	12	U4
U Michigan	12	19	14	9	11	13	4	13	U5
U Minnesota	17	16	15	14	12	14.8	4	14	U6
Cornel	11	15	11	8	7	10.4	3.5	17	U7
Arizona State U	13	12	12	11	9	11.4	4	21	U8
Northwestern	11	5	11	13	12	10.4	3	23	U9
Univ. of Pittsburgh	13	11	6	9	9	9.6	3	24	U10
						Average	Average		
						13.58	3.83		
UConn 2012-16	4	2	4	4	2	3.2	0	74	
UConn2017-18*						11	0.6		
						FTE Needed to match top cohort	3.1		
Senior staff count excludes EIRs, admin support, students						FTE Gap to maintain this level	2.5		

UConn 2017-18 Average: 11 Startups (AUTM and non-AUTM)

UConn Milken rank: 74th

Appendix C: Venture Development Vetting Process

Startup: Key Ingredients and Process

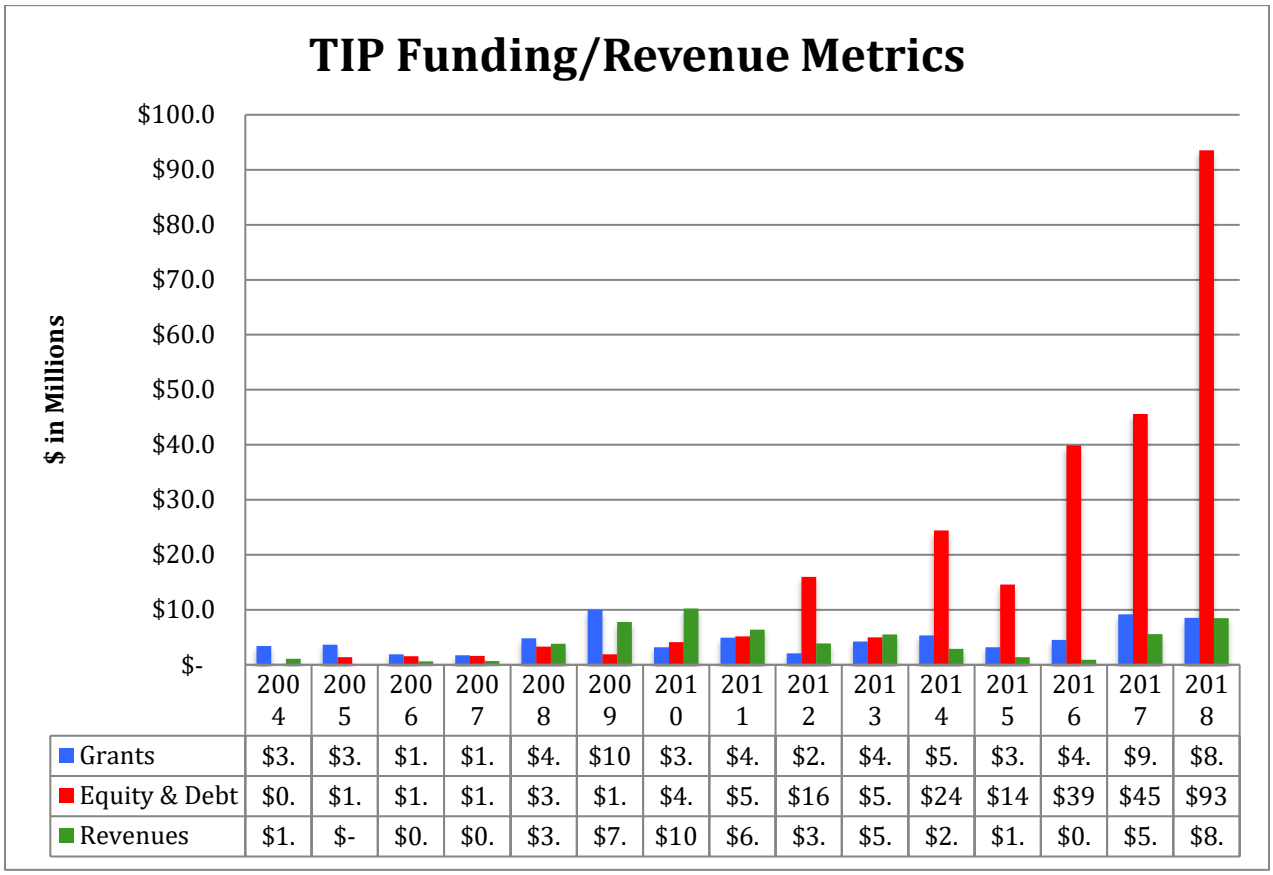
- The vetting process is led by Venture Development and includes UConn Tech Transfer, Entrepreneurs in Residence (EIRs), and external technical/business/investment advisors.
- The venture team is committed to a fast turnaround, with clear action items, including next steps.
- Each researcher/innovation will receive support consistent with where they fit.

Key elements to be assessed:

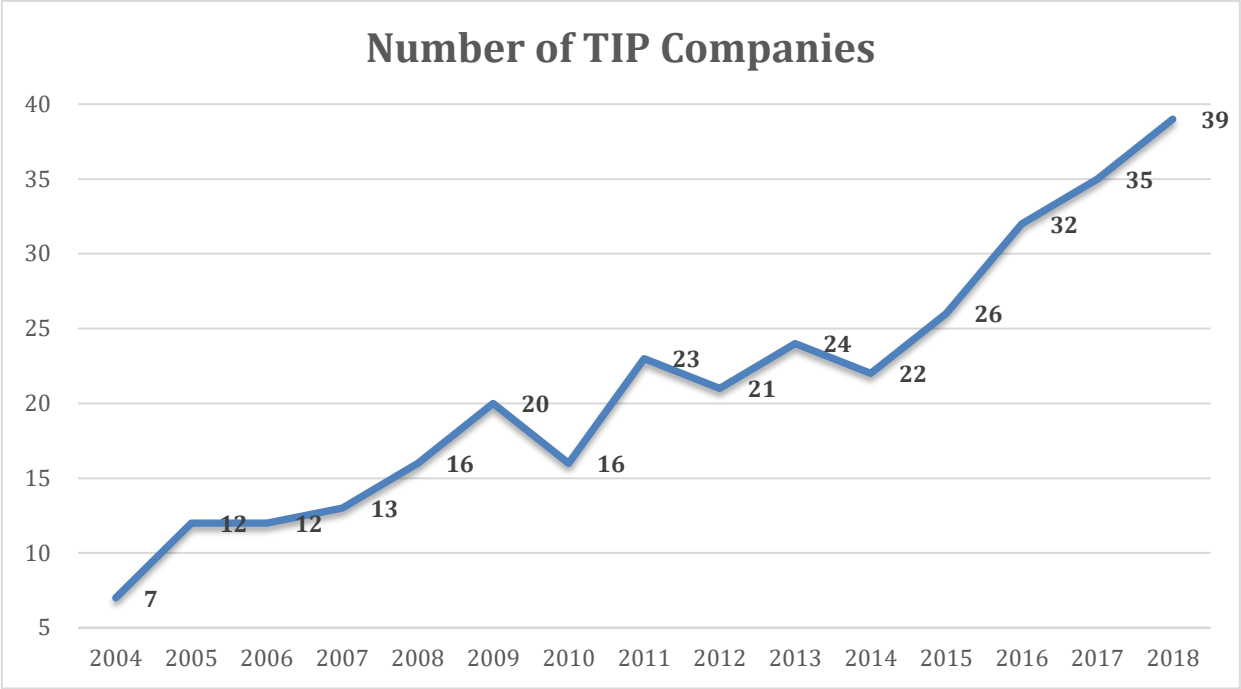
- Is there an Innovation?
- Evidence and Data
- Scope and time of work / research to date with significant milestones achieved noted
- Status of IP & FTO
- Market analysis including competitive assessment
- Top level business plan
- Team
    - Scientific Team: Credentials and level of commitment to startup
    - Business Team: Credentials and level of commitment to startup
    - Gaps
- Funding needs and sources
- Facility / Operational Needs
- Any key Concerns / Issues raised by potential Venture Founder

Appendix D: Technology Incubation Program (TIP) Company Data

The following charts are indicators of the performance of TIP companies and the demand for incubator space and services at UConn.



	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018
Grants	$3.	$3.	$1.	$1.	$4.	$10	$3.	$4.	$2.	$4.	$5.	$3.	$4.	$9.	$8.
Equity & Debt	$0.	$1.	$1.	$1.	$3.	$1.	$4.	$5.	$16	$5.	$24	$14	$39	$45	$93
Revenues	$1.	$-	$0.	$0.	$3.	$7.	$10	$6.	$3.	$5.	$2.	$1.	$0.	$5.	$8.


Number of TIP Companies
40
35
30
25
20
15
10
5
2004
2005
2006
2007
2008
2009
2010
2011
2012
2013
2014
2015
2016
2017
2018
7
12
12
13
16
20
16
23
21
24
22
26
32
35
39

Appendix E: Best Practice Review

Policy and Best Practice Review

UConn's current Intellectual Property and Commercialization Policy https://policy.uconn.edu/2015/10/08/intellectual-property-and-commercialization-policy/ was adopted in 2015 and was designed to ensure compliance with State and Federal laws. The policy does not address specific business practices utilized to commercialize IP or other policies impacting innovators. For this reason, we reviewed IP and commercialization policies as well as related policies and best business practices at UConn and leading institutions in order to meet the objectives of PA 19-154.

As mentioned above, UConn also completed comprehensive benchmarking, interviewed staff from leading universities, and held a multi-day external panel review to inform this plan. A summary of the findings from these activities follows along with key learnings from an associated Literature Review.

Interviews

The following indicates UConn's status related to best practices employed at top universities for technology commercialization. The listed policies and practices are those that were noted as critical in interviews with the top 20 universities ranked in the April 2017 report by the Milken Institute, Concept to Commercialization-The Best Universities for Technology Transfer.

Policy/Practice	UConn Status
Strategy and Sustained Top-Down Support: A clear university-wide mission with explicit support from the President down to academic/research/unit leaders.	All innovation and entrepreneurship activities report to the President who provides leadership, direction and implements his vision through the Vice President for Research, Innovation and Entrepreneurship, who is responsible for faculty tech transfer and venture development, and the Provost, who is responsible for academic programing for entrepreneurship. Our new strategic plan for innovation and entrepreneurship supports a top down approach that encourages all University leaders to be engaged and supportive.
Culture: It is woven into the fabric of the university's mission, along with teaching, research, and service.	UConn has established a culture that emerged steadily over several years and continues to grow as new programs and resources are added to our ecosystem that support and encourage faculty and student entrepreneurship.

Research Focus: High quality research and differentiation are needed to feed the venture/commercialization pipeline.	Based on research spending, UConn performs well for most tech transfer metrics and will improve as research grows. Has not reached levels anticipated due to reduced budget and faculty hiring limitations.
Long-term commitment and resources are necessary to create a diverse portfolio with staggered timeline for return on investment (ROI).	The limited and incremental nature of early stage resources available at UConn and in Connecticut do not enable sustained progress for company/technology development. Proof-of-concept and seed investment money is needed for this purpose.
Efforts led by leaders and teams with experience in academia, research, venture development, and investment.	While our National Science Foundation Innovation Corps (NSF I-Corps) site supports this capability, UConn would benefit from greater participation from serial entrepreneurs and a more diverse mentor pool.
Recruitment and support of young faculty with entrepreneurial mindset is critical.	A new Promotion, Tenure, and Reappointment (PTR) policy enacted in 2018 allows for recognition of commercialization efforts to support faculty engaged in entrepreneurship. Additionally, hiring faculty with this mindset is a core tenet of the faculty hiring plan UConn has developed in response to PA 19-154.
Active engagement with investment, corporate, and business communities fuels success.	Underway via new venture development and external relations roles, but UConn's geographic location presents challenges with VCs.
Availability of broad and rich investment capital and corporate presence is needed.	This is a recognized need state-wide.
Proof-of-concept, seed, and side-car funds serve to fill the gap between academic innovation and expectation of institutional investors.	More proof-of-concept money beyond current SPARK, PATH, and START funding is needed and will fuel a robust pipeline for seed and side-car funds.
Internally and externally active technology transfer teams are essential.	More external focus is needed and is currently being pursued.
Where a strong innovation ecosystem does not exist, the university must fill the gap.	UConn has successfully created its own innovation ecosystem and is active in the state's ecosystem as well, but both remain lacking in terms of players with investment capital and entrepreneurial experience.
Within the ecosystem, there are various sources of internal funding for establishing companies and seed funding.	SPARK and our NSF I-Corps site support faculty startups and while other programs exist for student ventures, more are needed for both types of entrepreneurship.
It is critically important to nurture faculty relationships and contacts.	This is the historical focus of our tech transfer group yet our staff resources have been inconsistent in key areas.

Link tech transfer and venture development under common reporting.	Both report to the Vice President for Research, Innovation and Entrepreneurship right now and a new Associated Vice President for Innovation and Entrepreneurship is being recruited to further integrate the two units.
Exercise flexibility in license and sponsored research terms.	The goal of UConn Technology Transfer has always been and continues to be the culmination of license and sponsored research negotiations in an agreement that has maximal benefit for all stakeholders: the company, the University, and the faculty member.
Software and apps are a growing market for quick, small hits.	The recent hiring of a Licensing Director to focus on Electrical Engineering and Computer Sciences will increase the ability to explore this area more thoroughly.
Market aggressively but in highly specific market sectors.	While marketing efforts have always been focused on relevant market sectors, they have not been aggressively pursued. Proposed changes in workload and/or personnel are intended to increase and strengthen future marketing campaigns.
Royalty sharing policies at leading institutions include variations that benefit inventors. At Brigham Young University, which has exceptionally high tech transfer revenue relative to its research expenditure base, the royalty sharing policy was very favorable for faculty with revenues received by licensing split at 45% for the inventor(s) as personal income and the university at 55% for research support.	UConn has a royalty sharing policy that provides one third of net revenue to inventors as personal compensation which we have found to be competitive. An increase may be a strong, motivating factor for faculty researchers, but would come at a loss to the University.
Incentivize faculty through Promotion, Tenure and Reappointment rules.	New PTR policies enacted in 2018 recognize commercialization efforts to support faculty engagement in entrepreneurship.
Clear mission, objectives, and goals are important for performance.	The mission statement of UConn Technology Transfer and Venture Development has the overarching goal of bringing innovative technologies to the marketplace for the benefit of society. A set of common metrics is used by UConn and the majority of technology transfer offices to measure performance in achieving this overarching goal; these metrics are self-reported

	in the annual AUTM licensing survey from which many of the data in this report were obtained.
A robust cadre of student fellows and interns add value to technology transfer and provide an educational experience to business and science/engineering students.	Student volunteers have been utilized only very rarely in the past. A concerted effort to build a strong internship program moving forward is a top priority.
Set appropriate expectations for faculty and administrators regarding what success will look like.	The vast majority of technology transfer offices (84-87%; Brookings Institution) do not bring in enough licensing revenue to cover their operating expenses. How to effectively convey the message that the ROI on technology transfer is more than just dollars is a common topic of discussion amongst technology transfer offices, particularly in lean financial times. In spite of the daunting figures, technology transfer is clearly still viewed as a valuable endeavor by many research institutions.
Ensure that policies and processes within the University are designed to simplify and remove barriers to encourage the faculty members and expedite processes.	Clear conflict of interest policies were noted to be most critical. UConn has several resources that help guide faculty through the conflict of interest disclosure and management processes. Committees, such as the Financial Conflicts of Interest in Research Committee, include broad representation from across the institution to provide informed guidance.
Use of no-cost or low-cost, fast-track, online licensing portals are especially useful for apps and software.	Being explored at UConn.
Leverage successful student ventures for the recognition they bring to an institution despite the fact that they do not generate revenue for the University.	Underway at UConn through stories, videos, social media – led by University Communications, the School of Business, and the Peter J. Werth Institute for Entrepreneurship & Innovation.

External Panel Review

In addition to phone interviews, we invited technology transfer and venture development leaders to join us at UConn. The experts were asked to share their advice on what steps the University could take to accelerate technology commercialization after having reviewed data on UConn's historic performance. Leaders from the following organizations participated in this review:

- MIT
- University of Utah
- Arizona State University

- Emory University
- Innovation Works (serves University of Pittsburgh and Carnegie Mellon University)
- BioGenerator (serves Washington University)
- Elm Street Ventures (serves Yale University)

All of the selected panelists also shared prior relevant experience from their time working in industry as entrepreneurs or investors, and at other leading institutions including UCLA, University of Illinois Urbana Champaign, University of Pennsylvania, Pennsylvania State University, and the Georgia Research Alliance. These external experts provided the following feedback which informed the University's Action Plan detailed in this report.

Requirements for Sustained Long Term Success

A five-year strategic plan supported by University leadership aimed at increasing impact with both quantitative and qualitative metrics:

- Consolidation of tech transfer and venture development
- Focus on startups as a means to generate tech transfer revenue
- Development of a "portfolio approach" to manage caseload and prioritize resources for the highest return
- Assess and align FTEs with top institutions and strategic goals

Establish a translational research fund modeled on similar funds at other universities

- Proof-of-Concept funding is needed to spur outside investment
- Utilize business rather than academic milestones and investors as evaluators/advisors

Consider the density of high quality research in commercialization strategies

- Recruit faculty with research that will contribute to tech transfer (integrated into UConn's Faculty Hiring Plan)
- Recognize that Connecticut's out-migration affects faculty recruitment and retention and thus tech transfer
- Endowment growth is an opportunity to be explored to improve/increase research as well as tech transfer

Immediate Opportunities

Revise various Tech Transfer practices, including but not limited to the following:

- All inventions should be evaluated for startup potential
- Solicit detailed input from external parties on all inventions disclosed

- Require all faculty to meet business standards prior to receiving a startup license and support services
- Apply best practices for licensee compliance of startups and conventional licensees
- Build industry relationships

Revisit Venture Development's role:

- Determine criteria for resource allocation, such as startup potential to generate equity/revenue, jobs, and economic impact
- In regard to capital/investment, make clear that the role of Venture Development is as a catalyst/advisor while confirming that it is the responsibility of the companies to raise funds
- More direct service, less ecosystem development

Increase communication on tech transfer and venture development both on campus and externally.

In addition to hearing from leading institutions and programs, we reviewed many recent studies and reports on technology commercialization. AUTM data suggests that over 20 years, university licenses have contributed between $320 Billion and $1.33 Trillion to industry gross output. However, a number of studies suggest alternative views on the value of tech commercialization, how to measure that value, and the appropriate university approach. For example it is important to consider the societal impacts and outcomes of university research. While societal impacts may occur through commercialization of innovative products such as new diagnostics or therapies, not all beneficial outcomes are commercial opportunities. At UConn university researchers that evaluate female soldier stress, study food security, help shape smart cities and investigate health disparities are providing great value to society. Further, it is important to underscore the need for continued support from the federal government for basic research in order to achieve both societal and commercial outcomes. Basic research provides the foundation for discovery.

Participating Institutions

Tech transfer and venture development leaders from the following institutions participated in an in person one-day review:

- MIT
- University of Utah
- Arizona State University
- Emory University
- Innovation Works (serves University of Pittsburg and Carnegie Mellon University)
- BioGenerator (serves Washington University)
- Elm Street Ventures (serves Yale University)

Each of the selected panelists also shared prior relevant experience from work in industry, as entrepreneurs, investors and at other leading institutions including UCLA, University Illinois Urbana

Champaign, University of Pennsylvania, Pennsylvania State University and the Georgia Research Alliance.

Phone interviews utilizing a standard group of questions occurred with the following institutions from the Top 25 Milken University Technology Transfer and Commercialization Index:

- Columbia University
- University of Florida
- Brigham Young University
- Massachusetts Institute of Technology
- Cornell University
- Arizona State
- University of California San Diego
- University of Minnesota
- University of Illinois Chicago
- University of Texas System
- New York University
- University of Utah
- University of California Los Angeles
- University of Washington

Less formal but valuable discussions also occurred with:

- University of Georgia
- Northwestern University
- Purdue University
- Yale University
- Carnegie Mellon University
- California Institute of Technology
- University of Pennsylvania

Appendix F: Literature Review

A 2014 study in the Yale Journal of Law and Technology[16] questions the value of patenting in the high tech sector. Based on a survey of faculty in high tech disciplines (Computer Science and Engineering, Electrical and Computer Engineering) at 20 universities that are known leaders in these fields, the study said:

- Patenting on university campuses may not be profitable and that such effort earns a negative rate of return with a loss of more than 3% on funds invested in high tech.
- Patent rights and commercialization does not appear to motivate researchers in high tech fields to produce more or better research.
- Universities continue to patent despite limited results, in hopes of winning the "lottery," which has been the case in only rare, highly publicized patent licensing successes. This bases global policy on outliers rather than the norm.
- Aggregate licensing revenue is often dependent on small numbers of licenses that are those outliers – more than 70% of the reported royalty total for those institutions reviewed in this study were generated by less than 3% of the licensors – the top 9 licenses provided 85% of revenue.
- Costs and benefits of patents vary greatly across industry with high tech and biotech industries at opposite ends of the spectrum.

In 2107, the Association of Public Land Grant Universities[17] examined how university technology transfer is evolving. Their findings indicate that universities are moving beyond a revenue-driven, transactional technology transfer approach. Their role now includes integrating the efforts of technology management offices into the broader engagement activities of institutions, becoming active in regional and national innovation ecosystems, preparing students for today's disruption economy, and driving economic and social prosperity. In a paper supported by the National Academy of Inventors, Technology Transfer for all the Right Reasons[18], James K. Woodall and Tobin L. Smith recommend:

- Visible policies that restrict working with entities not intending to commercialize
- Innovative, effective approaches to IP management to speed up processes and ensure technology is made available to develop quickly at a reasonable cost

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[16] Love, Brian J. (2014) "Do University Patents Pay Off? Evidence From a Survey of University Inventors in Computer Science and Electrical Engineering," *Yale Journal of Law and Technology*: Vol. 16 : Iss. 2 , Article 2. Available at: https://digitalcommons.law.yale.edu/yjolt/vol16/iss2/2

[17] http://www.aplu.org/library/technology-transfer-evolution-driving-economic-prosperity/file

http://www.aplu.org/projects-and-initiatives/economic-development-and-community-engagement/economic-engagement-framework/related-resources/cicep-new-metrics-field-guide_201405.pdf\

[18] https://www.aau.edu/sites/default/files/AAU%20Files/Key%20Issues/Intellectual%20Property/Technology%20Transfer%20For%20All%20The%20Right%20Reasons.pdf

- Reaffirm university commitment to the public interest (including economic development)
- Anticipate and help manage technology transfer related conflicts of interest
- Ensure broad access to research tools for inventors
- Enforcement should be carefully considered
- Develop appropriate measures of success for intellectual property management and technology transfer with clear procedures and a set of non-revenue indicators as part of IP management policies and practices to ensure public benefit

In a June 2016 presentation, Best Practices in Commercialization and Technology Transfer[19], Stephen Ezell, VP Global Innovation Policy at the Information Technology and Innovation Foundation suggested the following for university technology transfer success:

- Develop platforms/communities that provide services, facilities, and networks necessary for innovators and entrepreneurs to de-risk and commercialize new technology
- Create mentorship programs for Principal Investigators that teach grantees to identify valuable product opportunities that can emerge from academic research
- Incentives and messaging from leadership are vital to influencing cultures
- The focus should be on societal impact and outcomes; not about licensing income

In an article in the Licensing Journal,[20] "Commercializing the Full Value of Academic Technology Transfer: Some Lessons Learned," John Fraser:

- Questions if licensing income is the best metric because it overlooks key concerns in academic settings where the core mission is teaching, research, and community
- Suggests that technology transfer should be measured more broadly to include increased financial support for research, products services introduced, number of companies and jobs created, induced investment in product development and impact of facilities, tech parks and incubators in the areas around the academic center
- Notes that the age of a technology transfer program matters; if less than five years old it should count traditional metrics, older than five but less than ten years should have less emphasis on this and more on outputs such as research contracts; over ten years outcomes such as number of products should be measured.
- Suggests that financial outcomes are only one aspect of return on investment–enhanced university reputation, student enrichment, national and international reputation, etc. should also be considered
- States that clearly written policies accelerate activity
- Notes that technology transfer offices act as conduits between university research, the proof-of-concept stage, and company product development

[19] http://www2.itif.org/2016-turkey-tech-transfer.pdf?_ga=2.63110379.511347801.1538767940-1685814642.1538767940

[20] https://www.research.fsu.edu/.../communicating-the-full-value-of-technology-transfer..

- Asserts that timing is a major factor in technology transfer–the time from disclosure to licenses is typically over three years; 12 years from patent to developed drug with approval from FDA, for example.
- Concludes that it is almost impossible for universities to replace declining state and federal funding through technology transfer operations

The Milken Institute's Concept to Commercialization-The Best Universities for Technology Transfer study makes recommendations for a national agenda including:

- Maintain basic scientific research funding. Basic research provides long-term economic benefits by allowing universities to take on research that has a low probability of quick commercial success, but the potential to deliver a value in other ways and to create whole new industries.
- Incentivize technology transfer through a new federal commercialization fund. The federal government should increase research funding under a special commercialization pool. Universities demonstrating greater commercialization success in the market should receive higher funding in this program.
- Increase technology transfer capacity through federal matching grants. The federal government should establish a matching grant program with states to fund an increase in staff and resources in technology transfer offices (TTOs). Higher rates of academic entrepreneurship are essential to revive declining startup rates and productivity across the economy. New firms have higher productivity as they are at the cutting edge of technology.
- Increase technology transfer efficiency by adopting best practices. At the state level, policies should be implemented that incentivize the adoption of best practices in commercialization at public universities, including TTOs. Efficiency gaps between universities outside of the top 25 in the Technology Transfer and Commercialization Index should be narrowed.

Appendix G: Tenure Language at Universities

Supporting Information

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Table S1. Language used to incorporate entrepreneurial activities in tenure and promotion documents at universities

Institution	Date founded	Public/private	Tenure and promotion language
Auburn University	1856	Public	"Evaluation of Research...Other indicators of research productivity which can supplement one's record include external grants and the creation of intellectual property, copyrights, and patents" (1).
Carnegie Institute of Technology at Carnegie Mellon	1900	Private	"Research: Measures of excellence in this area include the quality, volume, and impact of publications, including papers, monographs, books and research reports; evaluation of research by others; patents; prizes and awards for research; solicited and invited lectures; the amount of financial support; and the contribution of the candidate's work towards the needs of society" (2).
Clemson University	1889	Public	"2.) Scholarship (refereed scholarly work is weighed much more heavily), as indicated by the following possible supporting evidence: 2.6.) Patents awarded" (3).
East Carolina University	1907	Public	"Research/Creative Activity:...Patents" (4).
Florida Atlantic University	1961	Public	"Evidence of achievement in the appropriate discipline(s)...where appropriate, patents and research grants" (5).
Florida Institute of Technology	1958	Private	"Research/Scholarly Activities:...List and describe briefly any disclosures of inventions or resulting patents" (6).
Florida International University	1965	Public	"Research/Scholarship/Creative Work: e. Patent Disclosures/Applications/Awards: Patent disclosures, applications, and provisional and final patent awards should be listed. If there are co-investigators on the disclosure, application or award, these should be indicated" (7).
Kent State University	1910	Public	"Evidence of the scholarship of discovery, integration, application and teaching, as well as university citizenship...In addition, candidates are expected to provide documented evidence which may include...evidence of outstanding achievement, such as awards, patents, and copyrights" (8).
Lehigh University	1865	Private	"Publications and Creative Activities: Creative Activities:...Original designs, plan, inventions, and patents" (9).
Lincoln University	1866	Public	"Scholarly Research/ Creative Activity and Professional Achievement:...Documentation of externally funded grants and inventions and patents..."(10).
New Jersey Institute of Technology	1885	Public	"A complete curriculum vitae documenting publications and patent applications since appointment or last promotion...Applications for, and granting of patents and copyrights are recognized as a measure of importance and/or peer evaluation of the work in the field" (11).
North Dakota State University	1890	Public	"[T]he development and public release of new products or varieties, research techniques, copyrights, and patents or other intellectual property... ."(12).
Northeastern University	1854	Private	"...the receipt of patents represents professional recognition of research activities. In some fields technical, procedural, or practical innovations made clinically or professionally are evidence of productive scholarship" (13).
The Ohio State University	1870	Public	"2. List of creative works pertinent to the candidate's professional focus:...Inventions and patents, including disclosures, options, and commercial licenses'" (14).
Oregon State University	1868	Public	"Authorship of a patent in the faculty member's field is considered as evidence of creative scholarship" (15).
The Pennsylvania State University	1855	Public	"Other evidence of research or creative accomplishments as appropriate (patents, new product development, new art forms, citation index analysis, etc.)" (16).
Purdue University (Consumer Sciences and Retailing)	1869	Public	"Benchmarking Excellence:...Patents and license agreements resulting from research done while at Purdue" (17).
South Dakota State University	1881	Public	"Examples (non-exhaustive) of publications or activities of research, scholarship, and creative activity:...patents," (18).
Stevens Institute of Technology	1870	Private	"Scholarly activities:...patents" (19).

Table S1. Cont.

Institution	Date founded	Public/private	Tenure and promotion language
Texas A&M University	1876	Public	"Patents or commercialization of research, where applicable" (20)... Patents are listed under "Other Research, Scholarship, or Creativity Accomplishments," in the faculty summary table (21).
Texas Tech University	1923	Public	"Evidence of research and creative activity includes print or electronic publications, non-print presentations, funded grant applications and reports, patents and other intellectual property, curatorships, and artistic productions and performances. Textbooks and innovative instructional materials having significant value beyond this campus may be considered contributions to research and creative activity" (22).
The University of Alabama at Birmingham	1969	Public	"Although scholarly work takes many forms, including design, basic and applied research, and other creative activities, a faculty member's effectiveness can be demonstrated by such achievements as ...patents, and the like. The quality of the individual's scholarly approach, capacity for independent thought, originality, and products of scholarship must be addressed" (23).
University of Arkansas at Little Rock	1927	Public	"The Scholarship of Integration may result in a traditional academic product such as an article, book or presentation. It also may take the form of a product or patent. As in other areas, appropriate forms of external review must be used to determine the merit of such products" (24).
University of Arizona	1885	Public	"...promotion and tenure reviews, as detailed in the criteria of individual departments and colleges, will recognize original research contributions in peer-reviewed publications as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with business and community partners, including translational research, commercialization activities, and patents" (25).
University of Colorado Denver	1912	Public	"Research and/or Other Scholarly Activities:...Patent or patent applications" (26).
University of Houston	1927	Public	"Generation of intellectual property: List any patents issued or pending including patent number, date of filing, and status (provisional, non-provisional, issued)" (27).
University of Illinois at Urbana–Champaign	1867	Public	"Publications and Creative Works:...H. Patents." (28).
University of Maryland System	1856	Public	"Original Designs, Plans, Inventions, Software and/or Patents" (29).
University of Michigan School of Music	1817	Public	"Full recognition, both in evaluating tenure and promotion cases, will be given for a broad range of entrepreneurial, outreach and creative activities in which faculty engage. These activities may enhance any of the criteria on which faculty are measured – teaching, research and service... Examples are...• creating a start-up company that enhances the broader scholarly, public service, or health care missions of the University...• creating new or enhanced practices, products or services, • working with the Office of Technology Transfer to patent or license an invention, • encouraging and instructing students in entrepreneurial and public service activities, • developing collaborative approaches to solving complex world problems" (30).
University of Minnesota	1851	Public	"[I]nclude significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society" (31).
University of Nebraska at Omaha (Medical Center)	1869	Public	"Evidence of Scholarly Activity: ...A complete listing of patents, patents pending, and any licensed products are also required in this evaluation... Scholarly activity should be accepted in its broadest sense, and should not be viewed solely as basic or clinical research as acknowledged traditionally... ... recognize as scholarly activity the development of innovative teaching methods, the synthesis of new concepts based on data already published by the candidates or others, technology transfer successes, software design, website design, or other activities related to information sciences, etc." (32).
University of North Carolina – Greensboro	1891	Public	"Research and creative activities may include, but are not limited to, the following:... .Developing innovative solutions that address social, economic, or environmental challenges (e.g., inventions, patents, products, services, clinical procedures and practices)... Granted patents, Patent applications, Disclosures of innovation, Entrepreneurship and related activities... ." (33).

Table S1. Cont.

Institution	Date founded	Public/private	Tenure and promotion language
University of Saskatchewan	1907	Public	"Evaluation of research, scholarly and/or artistic work for tenure and promotion at all ranks will address the quality and significance of the work. Evidence will include the peer-reviewed publications and presentations referenced above, but may also include other works (e.g., artistic works, performances, research related patents, copyrighted software and audio-visual materials)" (34).
University of Southern California	1880	Private	"While patents cannot replace peer-reviewed publications in a candidate's dossier, they are a sign of impact and productivity and will be considered accordingly" (35).
University of South Florida	1956	Public	"Other Creative Activities…Patents and Licensing…Other unique or entrepreneurial activities of significance" (36).
University of Wisconsin Madison	1848	Public	"[E]vidence of research performance and of a candidate's standing in a discipline includes … (9)patents or evidence of intellectual property. The case must be made as to the quality and level of contribution of the candidate's present work" (37).
Utah State University	1888	Public	"Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge and/or to original contributions in the arts and humanities. Documentation supporting such activities must include peer recognition of their value and may include, but is not restricted to:…intellectual contributions represented by patents, inventions and other intellectual property" (38).
Virginia Polytechnic Institute and State University (Virginia Tech)	1872	Public	"Economic contributions and entrepreneurship: 1. Start-up businesses (including competitive grants and contracts such as SBIR awards and other notable business achievements), 2. Commercialization of discoveries, 3. Other…Intellectual properties: 1. Software, 2. Patents, 3. Disclosures (pre-patent)" (39).
Washington University at St. Louis (Sam Fox School of Design & Visual Arts)	1853	Private	"Other kinds of recognition for research may include patents, production or product development contracts, and demonstration of influence through citations, papers, awards, graduate student support, and the ability of the research to attract further funding" (40).

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Appendix H: UConn Tenure Form Language

SECTION THREE: RESEARCH, SCHOLARSHIP, AND CREATIVE WORK

(Faculty member should complete Section Three parts A-I)

A. NARRATIVE ON RESEARCH, SCHOLARSHIP AND OTHER CREATIVE WORK (Including for example: art exhibits, musical compositions, or dramatic productions, etc.). Summarize your scholarly/creative goals for the next 5 to10 years and the activities you have initiated to achieve them. **(Narrative should not exceed 500 words.)**

B. Published Books, Book Chapters, and Edited Volumes.

List your published work in the standard form used in your field for the categories listed below - note if these are published electronically with a URL if appropriate. (Do not include work in progress or submitted for publication.)

B1. Books or Monographs
Author(s), title, year of publication, publisher
B2. Refereed Book Chapters
Author(s), title, year of publication, publisher
B3. Edited Volumes
Author(s), title, year of publication, publisher
B4. Books or Monographs in Press
Author(s), title, year of publication, publisher

C. Refereed Publications and Submitted Articles.

List all refereed journal publications, then refereed conference proceedings, and then other refereed materials. Include those accepted or submitted and indicate their status. (Consult your department, school or college standards for what counts as "refereed.")

C1. Published and Accepted Journal Articles
Author(s), article title, journal title, volume, year of publication, page numbers
C2. Conference Presentations with Proceedings (Refereed)

Author(s), title, venue, year, page numbers
C3. Other Refereed Material
Provide detailed description, including author(s), title, venue, year, and page(s) where appropriate.
C4. Submitted Journal Articles
Author(s), article title, journal title, date submitted

D. Other Publications and Creative Products.

List all other publications and creative products/activities that are not otherwise included in Sections Three. A – C. Indicate whether these are refereed or not. These products may include exhibitions, competitions, performances, professional practice/studio work, software, patents, designs, compositions, scholarly editions, posters, artifacts, datasets, catalogues, and other non-refereed publications.

E. Presentations.

List all conference presentations (identify if keynote or invited presentation); invited seminars, scholarly presentations, etc. (Do not list a presentation here if it is listed elsewhere.)

F. Grants and Contracts

List all grants and contracts as principal, co-principal investigator, and senior personnel. List PI and Co-PI for each grant. An example listing of what information should be included is given below:
Title of Project:
Agency/Company:
Total Dollar Amount:
Role: PI, Co-PI, or Senior Personnel
Collaborators: Jane Doe (PI), John Doe (Co-PI), etc.
Period of Contract: month/year – month/year

F1. As Principal Investigator
F2. As Co-Principal Investigator
F3. As Senior Personnel or Contributor
F4. Pending Proposals
F5. Proposals Submitted
F6. Proposals not funded

G. Other Scholarly and Creative Accomplishments

List all other scholarly and creative accomplishments such as invention disclosures, start-up companies, etc. that are not listed elsewhere.

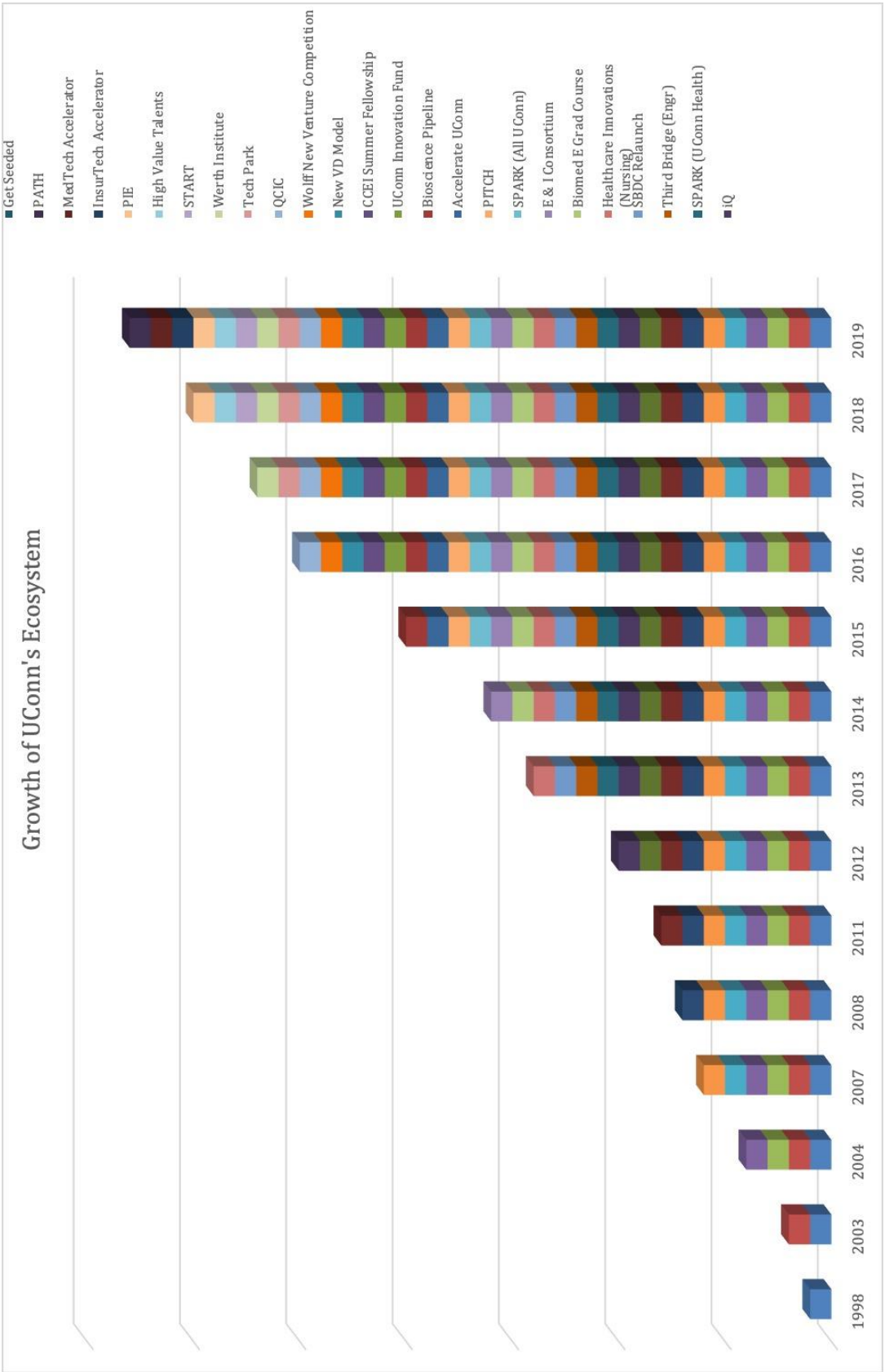
H. Societal and Policy Impacts

Present a brief list of the broader impacts of your scholarship, and elaborate on them in your personal statement; include testimony before legislative committees or other public bodies, expert witness roles, and press and media coverage, if appropriate.

I. Other Professional Activities

List other professional activities, such as consulting, temporary employment, and visiting professorships.

Appendix I: Growth of UConn's Innovation Ecosystem



1998

Technology Transfer Office Established: UConn Center for Science and Technology Commercialization office created to more aggressively pursue technology commercialization. Focused on evaluation, patenting, marketing, and licensing.

2003

UConn Research & Development Corporation (UConn R&D): UConn R&D granted first right of refusal by UConn to license technology discovered in UConn labs. Its mission was to create new business startups based on UConn technologies. Operations were initially funded completely by UConn and UConn Health.

2004

Department of Economic and Community Development (DECD) Prototype Fund: $200 Thousand in funding ($50 Thousand per project – 1 year – with possibility of up to $75 Thousand).

Technology Incubation Program (TIP): TIP was established to accelerate the growth of technology-based startups with a strong connection to UConn.

2007

Connecticut Center for Entrepreneurship & Innovation (CCEI): CCEI was established to foster student and faculty participation in entrepreneurship and innovation and assist new and existing companies to enhance CT's business climate.

IP Law Clinic: Under the direction of supervising attorneys, students conduct pro bono work with local businesses, including patentability and trademark clearance searches, patent and trademark applications, and interactions with the U.S. Patent and Trademark Office and the U.S. Copyright Office.

2008

President's Prototype Fund: Up $75 Thousand per project in the first year ($150 Thousand total). Projects must involve UConn IP, and applicants must show how the project could attract additional investment capital to commercialize the technology.

2011

TIP Internship Program: Provides qualified UConn students with internships at TIP companies. When the program was launched, stipends for students were split between the employer and the intern's school/college.

2012

Innovation & Entrepreneurship graduate course: Collaboration between the Schools of Business and Engineering. Teaches product design process combined with business principals required for any viable startup and enterprise in an experiential setting.

Innovation Quest: Encourages innovators to pursue their ideas and get funded for it. Winners meet with business mentors for guidance and support. Open to UConn undergraduate and graduate students. Prizes are $5 Thousand-$15 Thousand.

2013

SPARK (UConn Health): Supports innovative research and early studies that will likely translate into products with potential for commercial application. UConn Health funded 5 pilot grants up to $30 Thousand each in 2013.

3rd Bridge (Engineering): Funded by Connecticut Innovations, this program identifies promising technologies developed in UConn engineering labs and facilitates their path to commercialization. Ranges from $10 Thousand-$75 Thousand per student.

Connecticut Small Business Development Center (SBDC) Relaunch at UConn: The SBDC helps CT businesses start, grow, and thrive by providing free financial and technical assistance to businesses with 500 or fewer employees.

Healthcare Innovations (School of Nursing): Launched to empower and teach students to be innovators and change agents in the healthcare arena. The program integrates concepts of innovation, collaboration and entrepreneurship into select courses in the School of Nursing.

2014

Biomedical Entrepreneurship graduate course: The multi-disciplinary course in biomedical entrepreneurship is sponsored by CCEI. It is a collaboration between the Schools of Business, Engineering, Medicine and CLAS, and is offered to grad students and honors/advanced undergrads.

Entrepreneurship & Innovation Consortium: Collaboration between the Schools of Engineering and Business, Office of the Provost, and OVPR Entrepreneurship. Created to maximize UConn resources by inspiring and mentoring faculty and students and promoting their ventures within and beyond campus.

UConn R&D rebranded (UConn Ventures): UConn R&D becomes part of the OVPR, with operations funded by the OVPR. By 2015, UConn Ventures has no employees.

2015

SPARK Technology Commercialization Fund (OVPR): Supports innovative proof-of-concept studies involving UConn discoveries on the path to commercialization. Funding provided by OVPR and School of Medicine. Program administered by OVPR, including 2 step proposal review and quantitative scoring rubric for increased transparency/communication with applicants.

Program in Innovative Therapeutics for Connecticut's Health (PITCH): Program funding is available to scientists from Yale or UConn with compelling projects that meet a new clinical demand or offer a significant improvement over an existing treatment. The program is sponsored by UConn, Yale, and Connecticut Innovations.

Accelerate UConn: UConn's National Science Foundation Innovation Corps (NSF I-Corps) site. It helps to catalyze the transition of UConn discoveries from the lab to the marketplace with a 7-week NSF I-Corps course and $3 Thousand in seed funding. The program is open to all university faculty and students.

Bioscience Pipeline: Up to $30 Thousand per project funding, aimed at helping to commercialize biomedical technology innovations. Any early-stage company or faculty and student group associated with a CT university is eligible to apply. Program is sponsored by UConn, Yale, Quinnipiac and Connecticut Innovations and the Bioscience Innovation Fund.

2016

UConn Innovation Fund: UConn, Connecticut Innovations, and Webster Bank established the $1.5 Million fund to provide early-stage financial support to new business startups affiliated with UConn. Investments of up to $100 Thousand are available to UConn students, faculty or alumni with an in-state startup tied to research, advanced technologies, or innovations developed at UConn.

CCEI Summer Fellowship: Helps aspiring entrepreneurs move out of the conceptual stage of venture development into the marketplace. Ten student or faculty startups spend 8 weeks developing the skills needed to bring new products and technologies to market.

Wolff New Venture Competition (extended to non-business students): Features 10-minute presentations by the top 5 entrepreneurial teams from the CCEI Summer Fellowship program. The winner, selected by a panel of venture experts, wins $15 Thousand.

New Venture Development Model at OVPR: OVPR Technology Commercialization Services created an Executive Director of Venture Development position to focus on identifying technologies ripe for venture development, recruiting entrepreneurs and staff to lead these startups, and helping to raise early-stage and follow-on funding to grow the companies.

Quiet Corner Innovation Cluster (QCIC): This initiative is funded by the U.S. Economic Development Administration, UConn, and Connecticut Innovations. QCIC forms partnerships with select small and

medium-sized technology and manufacturing enterprises (SMEs) in rural Tolland, Windham, and New London Counties. SMEs collaborate with UConn faculty and Technology Commercialization Services to help enhance or expand their product and service offerings.

2017

UConn Tech Park: Innovation Partnership Building at UConn Tech Park opens its doors and is now UConn's premier center for cutting edge research and industry collaboration and innovation. The facility houses 10 industrial research and development centers covering a diverse base, ranging from advanced manufacturing to biomedical devices to cybersecurity.

Peter Werth $22.5 Million gift, Peter J Werth Institute for Innovation & Entrepreneurship: The Institute brings together student and faculty programs that foster entrepreneurship and innovation. It facilitates opportunities for students and promotes UConn's academic, co-curricular, and extracurricular programs. The Institute organizes entrepreneurship speaker forums and hosts an entrepreneur-in-residence to instruct students.

2018

START Preliminary Proof-of-Concept Fund: Early-stage translational research funding available to investigators at Central Connecticut State University, Southern Connecticut State University, University of Bridgeport, and UConn. Supported by a grant from the CTNext Higher Education Fund, awards are up to $10 Thousand.

High Value Talents: New industry-academic initiative to increase entrepreneurial education and output among the state's top researchers from UConn, Unilever, Quinnipiac and Wesleyan Universities, and The Jackson Laboratory. With funding through a grant from the CTNext Higher Education Fund, the goal is to increase the number of successful ventures coming out of universities in the state.

Partnership in Innovation & Education (PIE): Expansion of the UConn TIP Summer Fellowship Program. PIE aims to help build Connecticut's future health and technology workforce and to encourage bioscience commercialization in the state.

2019

InsurTech Accelerator: Designed to grow the next generation of entrepreneurs and innovators in the insurance industry and the InsurTech space. Funded by a grant from CTNext and coordinated by the CCEI at UConn and the University of Hartford.

MedTech Accelerator: To be located at Trinity College's downtown campus at Constitution Plaza, the MedTech Accelerator is designed to attract medical and health care technology companies to

the city. It is a partnership between Trinity, Hartford HealthCare, UConn's School of Business and CTNext, the state's startup support organization.

Get Seeded: New initiative managed by CCEI that was developed to give students the opportunity help move their ideas forward by providing them with seed funding and mentorship. Recipients win between $500-$1,000 for successful pitches.

Program in Accelerated Therapeutics for Healthcare (PATH): Partnership between the OVPR and the Schools of Pharmacy and Medicine to accelerate the translational pathway for researchers to convert their discoveries to new medical therapeutics. Recipients receive between $500-$1,000 for successful pitches.

Program in Accelerated Therapeutics for Healthcare (PATH): Partnership between the OVPR and the Schools of Pharmacy and Medicine to accelerate the translational pathway for researchers to convert their discoveries to new medical therapeutics. Recipients receive between $10 Thousand-$150 Thousand.

Appendix J: Entrepreneurial Village

The Entrepreneurial Village

University of Connecticut Board of Trustees

Committee for Research, Entrepreneurship, & Innovation

Report Provided by the Werth Institute

In Response to

Public Act 19-154

Existing Locations

Currently, the University of Connecticut has a robust number of spaces within the entrepreneurial ecosystem at the Storrs campus totaling over 20,000 square feet. But, their scattered locations create

disconnect, prove it difficult for students to identify where they can go to feel as though they "belong" in entrepreneurship, or where they should begin their own journey. The entrepreneurial ecosystem at UConn would be improved by the creation of a physical entrepreneurial hub for students to connect with each other and program leaders.

The existing spaces as of 12/1/2019 consist of:

EXISTING SPACES (~5,000+ ASF)		
ATL	3,500 ASF	TIP
Longley (Depot)		TIP
Business School	150 ASF	OPIM /room 338
	630 ASF	OPIM/room 391
Wilbur Cross	460 ASF	Werth Institute
School of Engineering		Machine shop

RESIDENTIAL HALLS (10,000+ ASF)		
Werth Res Tower	4,200 ASF	Maker space, idea lab
	6,000 ASF	8 Learning communities
Residential halls		McMahon, Watson (2), Eddy, Wilson, Busby, Belden, Russell, Batterson

COULD BE USED (5,000+ ASF)		
Babbidge	380 ASF	Maker Studio/3D printing studio (2nd floor)
	2 x 1,090 ASF	Visualization lab and conference room (2nd floor)
	2,800 ASF	Greenhouse Studio (2nd floor)
	300 seats	7 bookable classrooms
	110 ASF	Recording Studio
	100 ASF	Sound Booth (to be installed, level A)

If a central entrepreneurial space were to exist for students, the opportunity for and quality of collaboration, ideation and creation grow at a much faster pace. Public Act 19-154 (PA 19-154) primarily centers around creating a culture of entrepreneurialism at UConn that is stronger than it currently exists. Therefore, through the creation of an Entrepreneurial Village, where students can socialize, work, and learn from each other, this cultural change will have a physical home at the center of UConn's Storrs Campus.

Possibilities at UConn

The Entrepreneurial Village will provide opportunities for students to learn about entrepreneurship and innovation and will provide:

- shared meeting/event space/ flexible space with various technology fit-outs
- landing/offices and workstations for visiting executives, staff, students and faculty
- idea labs
- digital rooms
- cafe
- maker spaces

We have identified a number of different approaches to accomplishing this goal at UConn, and they are listed below.

	Where	ASF	CC	Notes	Enabling
Option I Within existing	**Take advantage of existing facilities/spaces**	**19,000+**		**Several locations: Babbidge, SoE, School of Business, Wilbur Cross, Werth Res Tower, multiple residential halls**	**Branding needed**
Option II Babbidge Library	**Plaza Level –i**		**$10-$14M** 2018$	**Estimated by the project design team, includes full gut renovation of the entire floor, two alternatives, basic and expanded**	**Relocate some staff (12-15) and staff lounge from Plaza to Level B, reduce Dean's Office footprint (3 offices less)**
	Plaza Level – ii	new construction, some existing		Add new space, 3 bays. Incremental approach.	Relocate Library staff/lounge to Level B (about 8-10)
	Level B -iii	TBD		Access from Academic Way	Relocate some stack area (library is in the process of reducing stacks footprint on this floor)
Option III Old Student Rec Ctr	**Former Rec Ctr backfill**	**9,000-11,000**	**TBD**	**Location on Hillside Rd**	**Renovation of existing space, front area only one floor, back areas 2 floors high**

Preferred Option

After consultation, the Provost's Office, the Werth Institute, the Dean of the Library, and the Associate Vice President, Master Planner & Chief Architect have determined that the preferred option is to pursue Option II. This would lead to the Entrepreneurial Village locating within the main level of the Homer Babbidge Library, becoming a part of all student traffic flow through the library. This option would

provide 24 hour access to the work space, and allow students and faculty to identify a core part of the University as dedicated to entrepreneurial skill and knowledge development.

The ad hoc committee that evaluated the options and spaces has looked at comparable spaces at other Universities as inspiration and goals for the proposed Entrepreneurship Village at UConn. The Universities researched include, but are not limited to, Northwestern University, University of Utah, Boston University and Yale (see Appendix A).

The Werth Institute will continue to evaluate spaces at all of our campuses. Currently, all of the Hartford campuses are served by Connecticut's Center for Entrepreneurship & Innovation space at the Graduate Business Learning Center, which is being evaluated for further expansion to meet the needs of the center. In Stamford campus, there are a number of innovation spaces that allow for students to participate in different activities.

Next Steps

At UConn, we have developed a number of next steps as we make progress towards the end goal of pursuing Option II as outlined above.

1. Connect the existing identified spaces through mapping, wayfinding, and uniform branding. UConn will begin this process immediately.
2. During 2020, UConn will hire an architect to begin developing the plans for the three steps of Option II. Architectural renderings and actual costs related to this transformation will be provided to the Committee upon completion of this process.
    a. The Provost's Office together with the Werth Institute will work to further refine the source of funding for the Entrepreneurship Village, and the construction timeline will be developed during this time.
3. Upon approval of the architecture, funding, and construction plans, the Entrepreneurial Village development will begin inside of the Homer Babbidge library. This project is likely to conclude in 2022.

Initial Cost Structure and Potential Funding Mechanism

We have begun the process of identifying the cost structure and potential funding mechanisms available for Option II. Using general estimates, we believe that $10 Million will begin the transformation of the space that has been identified. This will require moving existing uses into other areas of the library, as well as making the area more suitable for this activity through the opening up of the space and including much more natural light. Completion of the project will require over $30 Million in funding.

Upon receipt of the initial architecture work, we will determine what steps can be taken in phases, as shutting the entire space down at one time is unfeasible.

Funding mechanisms, include but are not limited to, the use of additional state funding through capital improvement bonding, philanthropic fundraising, and the deployment of limited available University funds allocated to the Library improvement.

Entrepreneurial Village

We have reviewed the intent and usage of a central entrepreneurial space within PA 19-154. The existing gap is the lack of a large open space for students to spend time at to get to know more about entrepreneurial activities, programs, and projects in Storrs. Currently, the Experience Innovation Expo, where innovative programs can come together in one spot as a resource for students, is run annually to help students find the myriad of student entrepreneurship and innovation programs. The creation of the Entrepreneurial Village at UConn would allow for far greater synergies as all of these programs would identify a place where they know others like them will be.

The ability of student and faculty startups to interact on a regular basis with other curious and smart students and faculty is largely limited due to the lack of a dedicated central space. The Entrepreneurial Village would provide a home base where students and professionals could come together and have a constant fluidity of communications about events, meetings and opportunities. This space would foster the occurrence of happy accidents, where people interact without knowing why to create great entrepreneurial outcomes.

One attractive, central location with great exposure and ample space would greatly increase the knowledge of entrepreneurial events and opportunities on campus while eliminating the use of valuable time to research and connect with each resource by students and faculty. The creation of the Werth Institute was designed to effect this very outcome, and we are seeing the benefits of this and the Entrepreneurial Village would only serve to enhance these effects.

Entrepreneurial Village APPENDIX A

Northwestern University; The Garage

Includes:

- The Cafe
- The Workspace
- The Makerspace
- The Conference Room
- Left Brain
- Right Brain
- The conference room at 1871

The Garage at Northwestern is the heart of innovation, imagination, and collaboration. It is a cross-disciplinary community of students, faculty, staff and alumni who all share a passion for building new ideas. The 11,000 square foot space is carved out of the North Campus parking structure for more than 60 student-founded startups and projects. This space provides a community, space, and network of resources for every Northwestern student to learn, iterate, and grow. (https://thegarage.northwestern.edu/spaces/)

University of Utah; Lassonde Studios

"Lassonde Studios is a five-story home for student entrepreneurs, innovators and creators at the University of Utah. The housing and innovation facility opened in August 2016. It's the place where students from any major or background can "Live. Create. Launch." Students can apply to be one of the "Lassonde 400" residents. All students at the University of Utah are welcome to use the Neeleman Hangar, which is the 20,000-square-foot innovation space on the main floor to connect, test ideas, build prototypes, launch companies and learn by doing. Above are four floors of themed residential and dorm space. The building and diverse engagement opportunities are managed by the Lassonde Entrepreneur Institute". (https://lassonde.utah.edu/studios)

Boston University; BUild Lab IDG Capital Student Innovation Center - Inovate@BU

"Centrally located on the Charles River campus, the BUild Lab IDG Capital Student Innovation Center is your on-campus collaboration space and information center. Students and alumni are encouraged to use the BUild Lab coworking space for new ventures and collaborative projects. It's also home to the Innovate@BU programs and staff who can point you in the right direction of innovation resources across the University and City of Boston. Faculty and community members can also request to use the space for classes, workshops, and events.

The BUild Lab IDG Capital Student Innovation Center includes:

- 8 meeting rooms to be used for meetings, conference calls, and collaborative projects. Capacity ranges from 2-3 to 12.
- Four cubicles available on a first-come first-served basis.
- A kitchenette and eating area.
- Lockers and storage bins that can be used for storing equipment, prototypes, and supplies.
- An open coworking space with 24 hot-desks available on a first-come first-served basis.
- A large lounge area with mobile furniture that can be used for working, small meetings, events, and workshops". (http://www.bu.edu/innovate/build-your-idea/build-lab/)

Yale; Yale Center for Engineering Innovation & Design

"The CEID acts as both an educational resource as well as a focal point for design and engineering at Yale. The 8,700 square foot design lab combines an open studio, lecture hall, wet lab, and meeting rooms. The studio is equipped with 3-D printers, a sewing station, hand-tools, electronics work stations, and a variety of materials for our members to use. Members have 24/7 access to the studio space, as well as to a state of-the-art machine shop, wood + plastics shop, and wet lab while CEID staff are present.

The CEID is also home to a vibrant and diverse community of members. Over the past three years, nearly 3000 people have become members of the CEID, representing over a hundred undergraduate and graduate degrees and all the professional schools on campus. They are supported by talented CEID staff members who provide theoretical and technical expertise on topics ranging from mechanical engineering to graphic design". (https://entrepreneurship.yale.edu/center/yale-center-engineering-innovation-and-design)

[i] The source of these dollars is primarily a percentage of fiscal and administrative (F&A) cost (aka, indirect charges) obtained from federal research grants to UConn and the University one-third share of license revenue (per University policy).

COMMITTEE AGENDAS

AGENDA

Special Meeting of the
BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE
February 25, 2020, 11:00 a.m.
University of Connecticut – Hartford Campus
10 Prospect Street, Executive Conference Room #216
Hartford, Connecticut 06103

TAB

ACTION ITEMS:

1) Approval of the Minutes of the Buildings, Grounds and Environment Committee Meetings of December 4, 2019 and January 23, 2020, as circulated — 1

2) Modification of Utility Easement to CL&P dba Eversource Energy — 2

PRESENTATION/DISCUSSION ITEMS:

3) Office of Construction Assurance Quarterly Report – February 2020 — 3
   - Presenter: James Bradley, Director of Construction Assurance

4) Status of Code Correction Projects
   - Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report — 4
   - Quarterly Construction Status Report, Period Ending December 31, 2019 https://updc.uconn.edu/wp-content/uploads/sites/1525/2020/01/UConn_Quarterly_Construction_Status_Report_12312019_web.pdf
     - Presenter: Brian Gore, Director of Project and Program Management

5) Project Update ~ Storrs Based Programs — 5
   - Process and Project Updates
     - Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction

INFORMATION ITEMS:

6) Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) ~UPDC & Fac Ops — 6

7) Construction Project Status Report ~ as of 12/11/19 — 7

8) Projects Reviewed by BGE and to be presented to Financial Affairs for approval 02/26/20:

CAPITAL PROJECT BUDGETS FOR APPROVAL:

	STORRS BASED PROGRAMS	***Phase***	***Budget***
1.	South Campus Commons Landscape and Pedestrian Improvements Plan	Revised Final	$5,000,000
2.	Fine Arts Phase II – Renovation and Improvements	Revised Final	$37,530,000
3.	North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III	Revised Final	$57,500,000
4.	Supplemental Utility Plant Project	Final	$67,000,000
5.	Boiler Plant Equipment Replacement and Utility Tunnel Connection	Final	$40,000,000
6.	Residential Life Facilities – North Campus Residence Halls Renovations – Phase 2	Final	$2,170,000
7.	Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations	Final	$1,600,000
8.	Main Campus Substation Switchgear Relay Replacement – AET5P-14g SCADA	Final	$565,000
9.	UCONN 2000 Code Remediation: Stamford Downtown Relocation	Final	$4,000,000
	UCONN HEALTH		
10.	UCH Dermatology Clinic Renovation – C Main	Final	$2,600,000
11.	UCH Main Building Lab Area Renovations – 3rd Floor	Final	$7,800,000

**Note that project budgets may change after bids are received.*

EXECUTIVE SESSION ***(As Needed)***

University of Connecticut Board of Trustees
Institutional Advancement Committee

University of Connecticut
University Communications
Lakeside Building
34 North Eagleville Road, Room 101
Storrs, Connecticut

Tuesday, February 11, 2020
1:00 p.m.

1. Acceptance of the Minutes from November 19, 2019…..……Dr. Dennis-LaVigne
   Attachment 1

2. Naming Recommendations..…….....Mr. Roberts
   Attachment 2

   Welsh Family Classroom

3. UConn Foundation Update……..Mr. Roberts / Ms. Cotton Kelly

4. University Communications Update……..Mr. Kendig

5. Legislative Update……..Ms. Lombardo

Executive session as needed

Special Meeting

University of Connecticut Board of Trustees
Committee for Research, Entrepreneurship and Innovation
Thursday, January 23, 2020

University of Connecticut - Hartford Campus
Executive Conference Room 216
10 Prospect Street
Hartford, Connecticut 06103

AGENDA

Call to order at **10:00 a.m.**

ACTION ITEMS:

1. Approval of the minutes of the Special Meeting of the Research, Entrepreneurship and Innovation Committee of December 11, 2019, as circulated.

PRESENTATION/DISCUSSION ITEMS:

2. Discussion and Recommendation to the Board of Trustees for Approval of Technology Transfer per PA 19-154.
3. Adjournment

Please Note:
If you are an individual with a disability and require accommodations, please call the Board of Trustees Office at (860) 486-2333 prior to the meeting.

UNIVERSITY OF CONNECTICUT
BOARD OF TRUSTEES

MEETING OF THE STUDENT LIFE COMMITTEE
February 26, 2020

Wilbur Cross Building, Room 27
233 Glenbrook Road, Storrs, Connecticut

11:30 a.m.

AGENDA

1.	Call to order	Vice-Chair Cantor
2.	Review and Approval of minutes of 10/23/19	Vice-Chair Cantor
3.	Chair Report	Vice-Chair Cantor
4.	Student Trustees Report	Trustee Tumu Trustee Fang
5.	Mental Health Discussion	
6.	Constitution Updates: -Daily Campus -UCTV -Nutmeg Publishing -UConn PIRG -Stamford Associated Student Government -Undergraduate Student Government -School of Social Work Graduate Student Organization	Joe Briody
7.	Vice President for Student Affairs Report	Michael Gilbert
8.	Updates: -Food Insecurity -Climate Change Activism Update -Diversity and Inclusion Update	
9.	Other Business	All
10.	Adjournment	Vice-Chair Cantor

INFORMATIONAL ITEMS

University of Connecticut Department of Human Resources
Hires Processed from November 19th, 2019 to February 4th, 2020
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
Ahmed, Choudhary S	Postdoctoral Research Assoc	Chemistry	1/1/2020
Aniello, Daniel F	UCP 08-Program Director	Stamford Campus	1/17/2020
Arroyo, Guadalupe	UCP 05-Purchasing Agent 1	Procurement Services	1/17/2020
Barber, Ryan	UCP 07-University Librarian 2	Law Library and Technology	12/6/2019
Batista Souza Da Silva, Pauline	UCP 06-Program Specialist 1	African-American Cultural Ctr	1/1/2020
Baughman, Peter J	UCP 04-Comp Tech Sup Cons 1	Campus Technology Services	1/31/2020
Bergeron, Cody	UCP 07-Counselor	Stamford Campus	1/3/2020
Blake, Miriam	UCP 05-Financial Asst 2	CT Small Bus Development Ctr	11/22/2019
Bloom, Melica L	UCP 05-U Library Asst 2	University Libraries	11/22/2019
Bouten, Kimberly	UCP 03-Program Asst I	Speech, Lang and Hearing Sci	12/20/2019
Brandt, Jessica	Asst Professor	Natural Resources and Environ	12/31/2019
Brennan, James	UCP 07-Training Dev Coord	Animal Care	12/6/2019
Carlson, Benjamin E	UCP 09-Mgr Technical Projects	Law Library and Technology	12/20/2019
Carver, Gabrielle	UCP 05-Program Coordinator	Career Development Center	12/6/2019
Casey, Patricia	Assoc Vice President	Controller	1/17/2020
Chavez, Cynthia D	UCP 04-Admin Serv Specialist 2	Engineering	1/3/2020
Clark, Jennifer M	UCP 03-Program Asst I	UConn Recreation	12/20/2019
Clement-Lam, Siu Yin	Postdoctoral Research Assoc	Psychological Sciences	11/8/2019
Codr, Ariana R	Asst Professor in Res	Women, Gender and Sexuality	1/1/2020
Cunha, Francisco J	Professor in Residence	Mechanical Engineering	1/1/2020
Dickson, Hope	Research Asst 2	Physiology and Neurobiology	1/31/2020
Doe, Charles M	UCP 06-Publicity/Mktg Admin	Business	1/31/2020
Erickson, Kathy D	UCP 05-Admin Coordinator	History	12/20/2019
Fabris, Daniele	Professor	Chemistry	1/1/2020
Fragomeni, Mariana	Asst Professor	Plant Sci and Landscape Arch	1/31/2020

NAME	TITLE	DEPARTMENT	DATE
Gan, Huijie	Postdoctoral Research Assoc	Plant Sci and Landscape Arch	2/3/2020
Gelbar, Nicholas W	Assoc Research Professor	Ed Psychology Gift and Talent	11/22/2019
Giesler, Markus	Professor	Marketing	1/1/2020
Gigstad, Joan E	UCP 12-SHS Physician 2	Student Health and Wellness	12/6/2019
Hall, Christine	Postdoctoral Research Assoc	Geosciences	1/3/2020
Haney, Scott	UCP 03-Network Technician 1	Telecommunications	12/20/2019
Hashimoto, Masako	UCP 06-Program Administrator	MS BAPM	1/17/2020
Henry, Nahkia	UCP 06-Program Administrator	Business	12/6/2019
Kinsey, Steven G	Assoc Professor	Nursing Instruct and Research	12/13/2019
Knapp, Elizabeth M	Postdoctoral Research Assoc	Physiology and Neurobiology	1/8/2020
Kuell, Grace A	U Staff Professional 1	Human Resources	11/22/2019
LaFontaine, Amber	UCP 03-Program Asst I	Physiology and Neurobiology	12/6/2019
Lamagna Jr., Robert F	UCP 06-Program Specialist 1	Info Technology Security	12/6/2019
Lester, Regina R	Asst Professor in Res	Social Work Instruct and Rsrch	1/1/2020
Li, Chuanyang	Postdoctoral Research Assoc	Materials Science Institute	11/25/2019
Luchon, Meagan L	U Ed Asst 3	Human Resources	11/22/2019
Luzzatto, Sergio	Professor	History	1/1/2020
Madden-Hennessey, JeanMarie A	UCP 04-Admin Serv Specialist 2	Cooperative Extension System	12/20/2019
Manan, David T	Research Asst 2	Civil and Environ Engineering	1/17/2020
Marchetti, Matteo	UCP 09-Oper Sys Prog/Analyst 3	Enterprise Systems	12/6/2019
McIntyre, William D	Postdoctoral Research Assoc	Chemistry	1/3/2020
Mcmahon, Erin R	UCP 05-Program Coordinator	Student Activities	1/3/2020
McMahon, Susan	U Ed Asst 3	Human Resources	11/22/2019
Monko, Michelle	U Staff Professional 1	Human Resources	11/22/2019
Morris, Samantha	UCP 10-SHS Psychologist	Student Health and Wellness	12/31/2019
Mullin, Cristina A	Postdoctoral Research Assoc	Civil and Environ Engineering	1/17/2020
Nash, Aaron C	Research Asst 3	CT Transportation Institute	12/20/2019
O'Day-Stevens, Tamara	UCP 09-Executive Program Dir	Stamford Campus	1/3/2020
Oravecz, Andrew M	UCP 05-Program Coordinator	Student Activities	1/3/2020
Palma, Wanda	UCP 03-Program Asst I	Digital Media and Design	12/6/2019

NAME	TITLE	DEPARTMENT	DATE
Pierre, Denise F	Research Asst 2	InCHIP	12/20/2019
Pongratz, Jacob	UCP 04-Admin Serv Specialist 2	Admissions	12/6/2019
Premo, Kenneth H	UCP 09-Technical Shop Engr/Mgr	Engineering Technical Services	12/6/2019
Reeves, Mark E	U Staff Professional 3	Research	1/31/2020
Rhodes, Catherine	UCP 09-Sr Comp Prog/Analyst	Information Technology Svcs	12/6/2019
Rifenbark, Graham	Postdoctoral Research Assoc	Educational Psychology	12/6/2019
Rossetti, Danyelle M	UCP 07-Administrative Mgr 2	Financial Aid	11/22/2019
Sak, Courtney A	UCP 03-Program Asst I	Women, Gender and Sexuality	1/17/2020
Sengupta, Ragini	U Ed Asst 3	Human Resources	1/3/2020
Seok, Seungwook	Postdoctoral Research Assoc	Civil and Environ Engineering	12/6/2019
Sheffield, Timothy S	UCP 05-Dining Serv Ar Asst Mgr	Dining Services	11/22/2019
Shelton, Michael	UCP 04-Admin Serv Specialist 2	Engineering	1/3/2020
Shook, Natalie	Assoc Professor	Nursing Instruct and Research	12/13/2019
Smith, Andrew	Specialist IA	Athletics Strength Center	12/20/2019
Song, Amanda L	UCP 05-Writer/Editor 3	Liberal Arts and Sciences	1/17/2020
Song, Minghu	Assoc Research Professor	Biomedical Engineering	1/31/2020
Soni, Vishal	UCP 08-Asst Finance Dir 1	Sponsored Programs	11/22/2019
Tessman, Edward J	U Staff Professional 2	UConn Police Services	1/31/2020
Thompson, Jacqueline	UCP 03-Technical Records Coord	Student Activities	12/6/2019
Tucker, Andrew	Research Assoc 1	CT Transportation Institute	1/17/2020
Vasquez, Kimberly M	UCP 03-Program Asst I	El Instituto Lat Amer Studies	12/20/2019
Wang, Qing	Visiting Asst Professor	Educational Psychology	1/1/2020
White, Sterling L	UCP 05-Academic Advisor 1	ISS Academic Programs Center	12/20/2019
Yamamoto, Shoko	UCP 04-Comp Tech Sup Cons 1	Campus Technology Services	12/6/2019
Yang, Xiucheng	Postdoctoral Research Assoc	Natural Resources and Environ	1/17/2020
Yassaghi, Ghazaleh	Postdoctoral Research Assoc	Chemistry	1/3/2020
Zipkin, Molly	UCP 03-Program Asst I	CT Education Network ASC	1/31/2020
Zurell, Jesele	UCP 07-Publicity/Mktg Manager	Fine Arts	1/3/2020

University of Connecticut Department of Human Resources
Separations Processed from November 19th, 2019 to February 4th, 2020
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Anderson, Julia K	UCP 06-Program Specialist 1	Separation	Rainbow Center	1/17/2020
Aquino, Gabriela S	Research Asst 2	Separation	Physiology and Neurobiology	1/5/2020
Bourguignon, Nicolas	Postdoctoral Research Assoc	Separation	Psychological Sciences	12/6/2019
Bryant, Karl A	UCP 07-Comp Tech Sup Cons 2	Separation	Campus Technology Services	11/19/2019
Cardinal, Katy	UCP 07-University Accountant 2	Separation	Accounting Office	1/1/2020
Carelock, Frankie L	UCP 07-Comp Tech Sup Cons 2	Separation	Social Work Instruct and Rsrch	11/12/2019
Choudhary, Navita	Postdoctoral Research Assoc	Separation	Psychological Sciences	11/1/2019
Coontz, Phillip G	UCP 05-Residence Hall Director	Separation	Residential Life	12/20/2019
Cooper, Joseph N	Assoc Professor	Separation	Educational Leadership	1/8/2020
Corsini-Nelson, Lori-Jean	UCP 05-Admin Services Spec 3	Retirement	English	11/1/2019
Croze, Joseph R	UCP 04-Laboratory Technician 2	Separation	Plant Sci and Landscape Arch	11/16/2019
Cutz, German R	Assoc Coop Ext Edu	Separation	Dept of Extension Fairfield	1/14/2020
Davies, Donald T	UCP 07-Administrative Mgr 2	Separation	Student Health and Wellness	1/2/2020
Deegan, Molly	Research Asst 2	Separation	Dept of Extension Tolland	1/1/2020
Degroff, Robert E	UCP 01-Financial Asst 1	Separation	Liberal Arts and Sciences	1/11/2020
Durairaj, Vinod	UCP 07-Info Systems Analyst 2	Separation	Nursing-UConn AIMS	11/15/2019
Gallagher, Molly J	Postdoctoral Research Assoc	Separation	Physics	1/22/2020
Hall, Bryan R	UCP 07-Counselor	Separation	Hartford Campus	11/1/2019
Hibert, Katherine	Research Asst 1	Separation	InCHIP	11/28/2019
Hinchliffe, Amelia K	UCP 08-Executive Asst 1	Separation	Nursing	1/1/2020
Hirsch, Diane W	Sr Coop Ext Edu	Retirement	Dept of Extension New Haven	1/1/2020
Hoffmann, Jessamy	UCP 06-Academic Advisor 2	Separation	Enrichment Programs	12/7/2019
Hu, Ping	Postdoctoral Research Assoc	Separation	Pharmaceutical Science	11/10/2019
Joshi, Chetan	UCP 12-SHS Clincal Coord	Separation	Student Health and Wellness	1/11/2020
Klaassen, Julianne L	UCP 06-Career Consultant	Separation	Law	12/19/2019

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Koo, Sung I	Professor	Retirement	Nutritional Sciences	1/1/2020
Lanka, Laurie A	UCP 09-PROCURE SVCS SR SPEC	Retirement	Procurement Services	1/1/2020
Lindauer, Alexa	U Staff Professional 2	Separation	Institutional Equity	1/3/2020
Liu, Hui-Xin	Asst Research Professor	Separation	Physiology and Neurobiology	10/26/2019
Manchanda, Arushi	Postdoctoral Research Assoc	Separation	Pharmaceutical Science	12/7/2019
Matos Jennings, Angelica	UCP 05-Residence Hall Director	Separation	Residential Life	12/8/2019
May, Shannon E	Postdoctoral Research Assoc	Separation	Physiology and Neurobiology	11/16/2019
Mcallister, Janet	Visiting Asst Ext Educator	Retirement	Plant Sci and Landscape Arch	1/1/2020
Mcclure, Emily A	Postdoctoral Research Assoc	Separation	Molecular and Cell Biology	1/1/2020
Michno, Jennifer A	Clinical Instructor	Separation	Educational Leadership	1/1/2020
Mills, Brittany	Research Asst 3	Separation	Psychological Sciences	12/20/2019
Mohammadiarani, Hossein	Postdoctoral Research Assoc	Separation	Pharmaceutical Science	11/23/2019
O'Donnell, Jane E	UCP 07-Mgr Scientific Coll	Retirement	Ecology and Evolutionary Bio	1/1/2020
Pitz, Laura	UCP 03-Program Asst I	Separation	UConn Recreation	12/20/2019
Robinson, Abigail R	UCP 03-Program Asst I	Separation	Women, Gender and Sexuality	11/30/2019
Rudnick, Rachel L	Assoc Vice President	Separation	Privacy Protection and Mgmt	12/1/2019
Schremser, Brian P	UCP 05-Admissions Officer	Separation	Admissions	11/22/2019
Shin, Youngmi	Postdoctoral Research Assoc	Separation	Marine Sciences	1/1/2020
Soto, Victor M	UCP 03-Network Technician 1	Separation	Network Engr and Design	1/16/2020
Spillman, Kevin	UCP 04-Publicity/Mktg Coord	Separation	Athletics Marketing	11/11/2019
Stanojevic, Jovica Z	Postdoctoral Research Assoc	Separation	Physics	1/1/2020
Tanner, Elise	Research Asst 2	Separation	CT Transportation Institute	12/21/2019
Tingley, Morgan W	Asst Professor	Separation	Ecology and Evolutionary Bio	1/1/2020
Tripathi, Shalini	Postdoctoral Research Assoc	Separation	Electrical and Computer Engr	12/8/2019
Tyczkowski, John C	UCP 04-Publicity/Mktg Coord	Separation	Nursing	11/21/2019
Valiantis, Alexandros A	UCP 03-Program Asst I	Separation	El Instituto Lat Amer Studies	11/14/2019
Varre, Venkata Sai Kiran	UCP 07-Info Systems Analyst 2	Separation	Nursing-UConn AIMS	12/20/2019
Wasilewski, Marcus	Specialist IA	Separation	Athletics Strength Center	11/15/2019
Wu, Jianguo	Asst Research Professor	Separation	Physiology and Neurobiology	12/16/2019
You, Hee Jo	Postdoctoral Research Assoc	Separation	Psychological Sciences	12/6/2019
Youngflesh, Casey	Postdoctoral Research Assoc	Separation	Ecology and Evolutionary Bio	1/4/2020

University of Connecticut Department of Human Resources
Leaves of Absence Processed through 02/06/20
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Kwak, James	Professor	LAW	1/8/2020	5/21/2020	Personal Leave	Unpaid
Jolly-Ballantine, John	Associate Professor in Res	Geography	1/8/2020	5/21/2020	Personal Leave	Unpaid
Cummings, Lindsay	Associate Professor	Dramatic Arts	10/16/2019	1/14/2020	Bonding Leave	Unpaid
Janton, Susan	Research Assistant I	Molecular and Cell Biology	12/27/2019	1/5/2020	Medical Leave	Unpaid

Academic Affairs

AGENDA
Board of Trustees
ACADEMIC AFFAIRS COMMITTEE
Wednesday, February 26, 2020
University of Connecticut
Wilbur Cross Building
North Reading Room (Room 109)
233 Glenbrook Road
Storrs, Connecticut
9:00 a.m.

	COMMITTEE	ATTACHMENT
1) Minutes of the Academic Affairs Committee Meeting of December 11, 2019, as circulated	A	

ACTION ITEMS:

2) Designation of Emeritus Status	2
3) Appointment of Retired Faculty to Emeritus Status	3
4) Sabbatical Leave Recommendations	4
5) Appointment of Professor Del Siegle to the Lynn and Ray Neag Endowed Chair for Talent Development	5
6) Graduate Certificate in Bridge Engineering	6
7) Graduate Engineering Data Sciences Certificate	7
8) Graduate Certificate in Advanced Materials Characterization	8
9) Faculty Hiring Plan	9

INFORMATIONAL ITEMS:

10) Academic Program Inventory	12

PRESENTATIONS:

11) UConn Engagement Initiatives
BRIDGE Engineering Program; Kevin McLaughlin, Director of Diversity and Outreach Center, School of Engineering

EXECUTIVE SESSION ***(As Needed)***

ATTACHMENT A

DRAFT MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE
December 11, 2019

Committee Trustees:	Dennis-LaVigne, Fang, Gouin, Lobo (Telephone), and Rubin (Telephone)
Additional Trustees:	Bessette, Boxer, Bunnell, Cantor, Cardona, O'Connor, Pollard, Ritter, Toscano, and Tumu
University Senate:	Boyer, Chafouleas, Van Heest, and Yalof
Staff:	Agwunobi, Benedict, Burckhardt, Carone, Cruickshank, Elliott, Fuerst, Gelston, Gilbert, Jednak, Jordan, Katsouleas, Kendig, Kirk, Larson, Locke, Maric, Rubin, Volin

Committee Chairwoman Gouin convened the meeting at 11:30 a.m. at the University of Connecticut, North Reading Room, Room 109, Wilbur Cross Building, Storrs Campus.

On a motion by Trustee Dennis-LaVigne, seconded by Trustee Rubin, the minutes of the October 23, 2019, meeting were approved as circulated.

Interim Provost Elliott introduced ***Action Item #2, Designation of Emeritus Status.*** Moved by Trustee Rubin, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Interim Provost Elliott introduced ***Action Item #3, Tenure at Hire.*** Moved by Trustee Dennis-LaVigne, seconded by Trustee Rubin, the Committee recommended approval to the full Board

Interim Provost Elliott introduced ***Action Item #4, Sabbatical Leave Recommendations.*** Moved by Trustee Rubin, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Interim Provost Elliott introduced ***Action Item #5, Appointment of Dr. Laurent Michel to the Synchrony Financial Chair for Cybersecurity in the School of Engineering.*** Moved by Trustee Dennis-LaVigne, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Interim Provost Elliott introduced ***Action Item #6, New Graduate Certificate in Applied Behavior Analysis, Action Item #7, New Graduate Certificate in Literacy & Deaf Education, and Action Item #8, New Graduate Certificate in Process Engineering.*** Moved by Trustee Dennis-LaVigne, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Interim Provost Elliott introduced ***Action Item #9, New Post-Master's Graduate Certificate, Nursing Practice: Family Nurse Practitioner.*** Moved by Trustee Dennis-LaVigne, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Interim Provost Elliott introduced ***Action Item #10, Prospero Chair in the Department of Ecology and Evolutionary Biology*** and ***Action Item #11, Titania Chair in the Department of Ecology and Evolutionary Biology.***

Interim Provost Elliott shared ***Informational Item #18, Academic Program Inventory.***

Interim Provost Elliott introduced a short presentation by UConn's first Rhodes Scholar, Wanjiku (Wawa) Gatheru.

Trustee Rubin called a motion to close the meeting, seconded by Trustee Dennis-LaVigne. Chairwoman Gouin adjourned the meeting at 12:00 p.m.

Respectfully submitted,

Sarah K. Croucher
Committee Secretary

Financial Affairs

Meeting of the
FINANCIAL AFFAIRS COMMITTEE
February 26, 2020 at 9:30 a.m.
University of Connecticut
Wilbur Cross Building
North Reading Room (Room 109)
233 Glenbrook Road
Storrs, Connecticut

	ATTACHMENT COMMITTEE	LOCATION FULL BOARD
1) Approval of the Minutes of the Financial Affairs Committee Meetings of December 9, 2019 and January 29, 2020, as circulated	A	

DISCUSSION ITEM:

2) FY20 Operating Forecast – 6 Month Update

ACTION ITEMS:

3) Contracts and Agreements for Approval		1
4) Software Upgrade to the PeopleSoft Student Administration System		13

CAPITAL PROJECT BUDGETS FOR APPROVAL:

	STORRS BASED PROGRAMS	***Phase***	***Budget***	***Tab***
5)	South Campus Commons Landscape and Pedestrian Improvements Plan	Revised Final	$5,000,000	14
6)	Fine Arts Phase II – Renovation and Improvements	Revised Final	$37,530,000	15
7)	North Eagleville Road Area Infrastructure Repair/Replacement and Upgrades – Phase III	Revised Final	$57,500,000	16
8)	Supplemental Utility Plant Project	Final	$67,000,000	17
9)	Boiler Plant Equipment Replacement and Utility Tunnel Connection	Final	$40,000,000	18
10)	Residential Life Facilities – North Campus Residence Halls Renovations – Phase 2	Final	$2,170,000	19
11)	Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations	Final	$1,600,000	20
12)	Main Campus Substation Switchgear Relay Replacement – AET5P-14g SCADA	Final	$565,000	21
13)	UCONN 2000 Code Remediation: Stamford Downtown Relocation	Final	$4,000,000	22
	UCONN HEALTH			
14)	UCH Dermatology Clinic Renovation – C Main	Final	$2,600,000	23
15)	UCH Main Building Lab Area Renovations – 3rd Floor	Final	$7,800,000	24

INFORMATION ITEMS:

16) Project Budget Map B

17) Contracts and Agreements for Information C

18) Capital Project Expenditure Report – All Funding Sources D
Fiscal Year 2020 as of 12/31/2019

19) Construction Project Status Report (Under Separate Cover)
https://budget.uconn.edu/wp-content/uploads/sites/1441/2020/02/Construction-Status-Report-2.26.20.pdf

20) UCONN 2000 Book 49 (Under Separate Cover)
https://evpacfo.uconn.edu/wp-content/uploads/sites/2318/2019/09/Report-49-January-2020.pdf

EXECUTIVE SESSION ***(As Needed)***

ATTACHMENT A

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
University of Connecticut
Executive Conference Room, Room 216
10 Prospect Street – Hartford, Connecticut
January 29, 2020

TRUSTEES PRESENT: Andy Bessette, Mark Boxer *(via Telephone)*, Charles Bunnell *(via Telephone)*, Shari Cantor *(via Telephone)*, Scott Cowen *(via Telephone)*, Andrea Dennis-LaVigne *(via Telephone)*, Justin Fang *(via Telephone)*, Marilda Gandara, Jeanine Gouin *(via Telephone)*, Bryan Hurlburt *(via Telephone)*, David Lehman *(via Telephone)*, Rebecca Lobo *(via Telephone)*, Bryan Pollard, Thomas Ritter, Philip Rubin *(via Telephone)*, Daniel Toscano *(via Telephone)*, Nandan Tumu *(via Telephone)*, and Paul Mounds *(via Telephone)*

STAFF PRESENT: David Benedict, Lloyd Blanchard, James Bradley, Kristen Brierley *(via Telephone)*, Karen Buffkin *(via Telephone)*, Debbie Carone, Robert Corbett, Laura Cruickshank, Christopher Delello *(via Telephone)*, John Elliott *(via Telephone)*, Scott Jordan, Thomas Katsouleas, Tysen Kendig, Michael Kirk, Lynn Lesniak *(via Telephone)*, Susan Locke *(via Telephone)*, Joann Lombardo, Michael Mundrane, Rachel Rubin, and Michael Schrier

UNIVERSITY SENATE MEMBERS PRESENT:
Robert Bird, and Mark Boyer *(via Telephone)*

Committee Chairman Andy Bessette convened the meeting of the Financial Affairs Committee at 9:00 a.m. in the Executive Conference Room #216 on the University of Connecticut campus in Hartford, Connecticut. Trustee Bessette asked for a roll of Trustees present and on the telephone.

Scott Jordan, Executive Vice President for Administration and Chief Financial Officer, presented agenda ***Item #1, Approve the Project Budget (Design) for the UConn Hockey Arena.*** Trustee Gandara confirmed that the Buildings, Grounds and Environment Committee had reviewed the project and the resolution at their meeting on January 23; and confirmed that the committee recommended that the Financial Affairs Committee and Board of Trustees approve the resolution as presented. On a motion by Trustee Rubin and seconded by Trustee Cantor the item was recommended to the full Board for approval.

There being no additional agenda items the meeting was adjourned at 9:05 a.m. on a motion by Trustee Rubin and seconded by Trustee Cantor.

Respectfully submitted,
Debbie L Carone
Debbie L. Carone,
Secretary to the Committee

D R A F T
MINUTES
SPECIAL MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
University of Connecticut – Hartford Campus
10 Prospect Street, Room 209
Hartford, Connecticut 06103
December 9, 2019, 11:00 a.m.

TRUSTEES PRESENT: Andy Bessette, Mark Boxer *(via Telephone)*, Chuck Bunnell *(via Telephone)*, Shari Cantor *(via Telephone)*, Andrea Dennis-LaVigne *(via Telephone)*, Justin Fang, Marilda Gandara, Kevin O'Connor *(via Telephone)*, Thomas Ritter, Daniel Toscano *(via Telephone)*, and Nandan Tumu *(via Telephone)*

STAFF PRESENT: Andy Agwunobi *(via Telephone)*, Debbie Carone, Laura Cruickshank, John Elliott, Nathan Fuerst *(via Telephone)*, Nicole Gelston, Jeffrey Geoghegan *(via Telephone)*, Scott Jordan, Thomas Katsouleas, Michael Kirk, Matthew Larson *(via Telephone)*, Stephanie Reitz, Rachel Rubin, Thomas Trutter *(via Telephone)*,

UNIVERSITY SENATE MEMBERS PRESENT:
Robert Bird, Carol Polifroni *(via Telephone)*,

Committee Chairman Andy Bessette convened a special meeting of the Financial Affairs Committee at 11:02 a.m. in room 209 on the University of Connecticut campus in Hartford, Connecticut.

Scott Jordan, Executive Vice President for Administration and Chief Financial Officer, presented agenda ***Item #2, Contracts and Agreements for Approval (Tab 1).*** Trustee Gandara requested that action on items referencing the Hockey Arena be tabled to a later date as the Buildings, Grounds and Environment Committee are continuing to discuss and work through the details of the project. On a motion by Trustee Cantor and seconded by Trustee Boxer agenda Item #2, was recommended to the full Board for approval, as amended to table the hockey agreement.

On a motion by Trustee Cantor and seconded by Trustee Boxer the minutes of the meeting of October 23, 2019 were approved as circulated.

Mr. Jordan briefed the Trustees on the Storrs based project budgets presented for approval and Jeffrey Geoghegan, UCH Chief Financial Officer, detailed the UConn Health project budget presented for approval. On a motion by Trustee Boxer and seconded by Trustee Cantor agenda ***Items 6-8, UCONN 2000 Code Remediation – Northwest Residence Halls (Revised Final: $1,600,000); North Campus Dish Room Renovation (Final: $850,000); Torrey Life Sciences 2nd Floor Biology Renovation (Final: $900,000);*** and ***UCH Dermatology Clinic***

Renovation – C Main (Revised Design: $2,600,000) were recommended to the full Board for approval; and the project for the UConn Hockey Arena (Revised Design: $2,600,000) was tabled for future discussion and approval.

Mr. Jordan detailed agenda ***Item #5, Extension of Statutory Tuition Waivers***. On a motion by Trustee Tumu and seconded by Trustee Cantor the item was recommended to the full Board for approval.

Following a review of agenda ***Item #4, Fiscal Year 2021 Self-Supporting Program Fes for the University of Connecticut, Storrs and Regional Campuses,*** the item was recommended to the full Board for approval on a motion by Trustee Boxer and seconded by Trustee Tumu.

Mr. Jordan, directed the Trustees to a PowerPoint presentation detailing the *"Five Year Tuition Plan FY21-FY25"(attached to these minutes for the record)*. He informed the Trustees that the Tuition Plan was reviewed with student leadership; presented at two student Town Halls, which were live streamed; the Governor and members of the legislature. The proposed Tuition Plan provides a simpler, transparent approach to setting tuition. Utilizing this approach, the proposed increase for in-state tuition for 2020-2021 increases by $608. The proposed five year tuition plan results in the lowest tuition increase in years. On a motion by Trustee Tumu and seconded by Trustee O'Connor agenda ***Item #3. Fall 2020-Spring 2025 Tuition Plan for the University of Connecticut, Storrs and Regional Campuses*** was recommended to the full Board for approval.

Trustee Ritter expressed concerns regarding funding for the CT Commitment Program. Mr. Jordan confirmed the administration's intent to raise funds for the Program through the UConn Foundation.

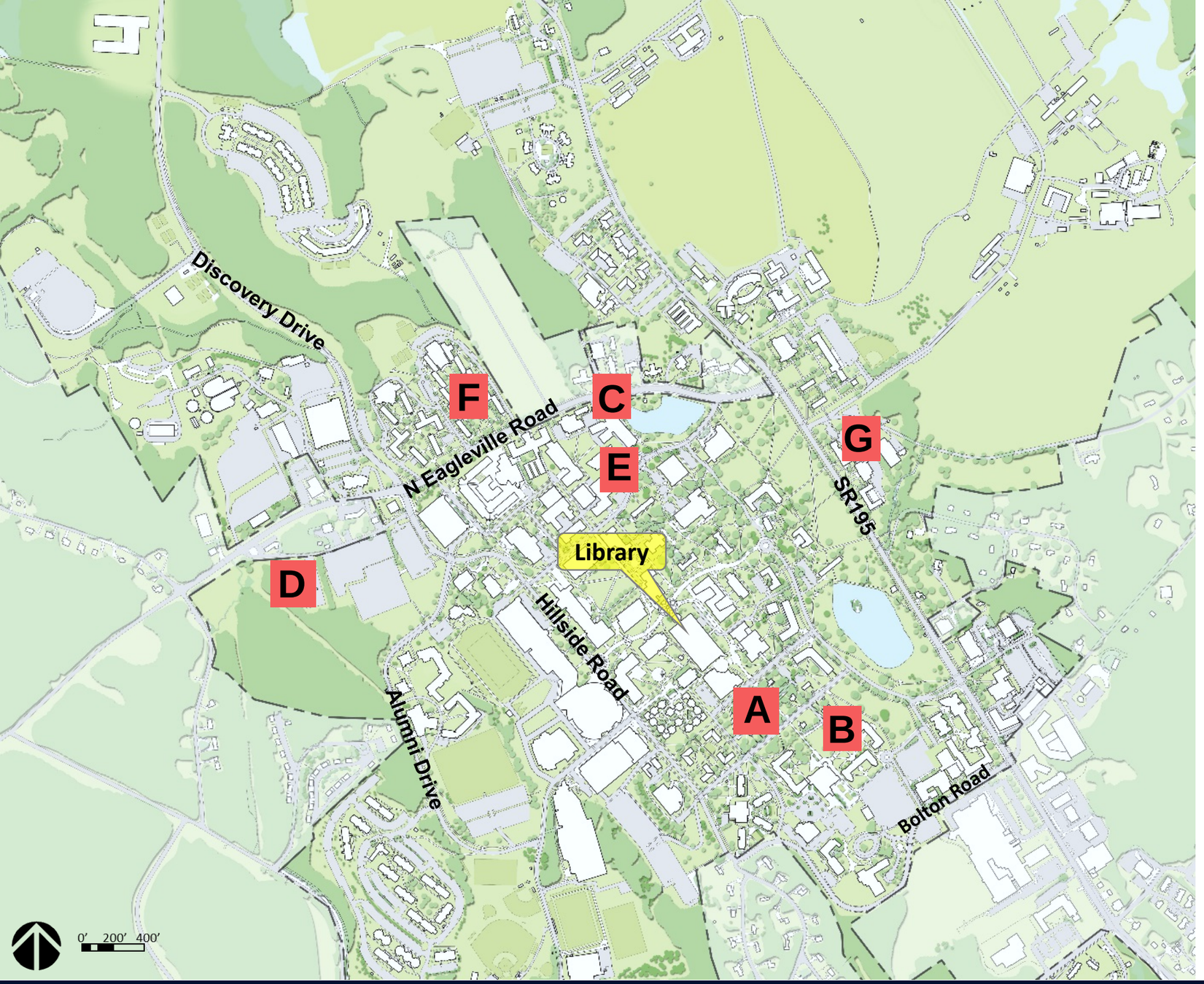
There being no additional agenda items, the meeting was adjourned on a motion by Trustee Cantor and seconded by Trustee Bessette at 1:17 p.m.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

ATTACHMENT B



KEY TO PROJECTS

Final / Revised Final

A. South Campus Commons
B. Fine Arts Production Facility
C. North Eagleville Road- Phase III
D. Supplemental Utility Plant
E. Boiler Plant Equipment Replacement and Utility Tunnel Connection
F. Residential Life Facilities- North Campus Residence Hall Renovations-Phase 2
G. Residential Life Facilities- Hicks and Grange Student Room and Common Area Renovations

** UCONN 2000 Code Remediation- Stamford Downtown Relocation
** Main Campus Substation Switchgear Relay Replacement - AET5P-14G SCADA
** UCH Dermatology Clinic Renovation – C Main
** UCH Main Building Lab Area Renovations – 3rd Floor

Design / Revised Design

None

Planning / Revised Planning

None

** *Note: Campus-Wide or Regional Campus project. Location not shown on map.*

Project Locations

UCONN UNIVERSITY OF CONNECTICUT

ATTACHMENT C

CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 26, 2020

PROCUREMENT - AMENDMENTS

CONSTRUCTION SERVICES - GENERAL CONTRACTOR

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
1	Bond Brothers, Inc.	300157	$1,508,322	11/01/19-01/06/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	Exigent repair/replacement of steam and condensate piping from vault A5A (West) A5a (East) - Infirmary Tunnel. (***Final Phase Budget approved on 06/26/19 - $2,000,000.)***

CONSULTING AGREEMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
2	Vanasse Hangen Bruslin	UC-151188	$753,540	09/24/19-06/30/20	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	Consulting services to create a new solution to support the University's development of an enterprise geospatial data system which will ultimately reside at the Connecticut Department of Transportation (CTDOT). This is a one-time purchase agreement.

EMISSIONS MONITORING AND SYSTEM MAINTENANCE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
3	Air Tox Environmental Company, Inc.	UC-DS031319	$550,000	08/01/19-07/31/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	Routine maintenance, performance audits, emissions monitoring and reporting, customer support, as well as routine and non-routine testing on fuel bringing equipment at the Storrs and Regional campuses. This award is the result of a public solicitation. Three extensions of one year each remain.

LAB ANIMALS AND SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
4	Envigo	UC-DS111519-1	$500,000	01/01/20-12/31/20	Multiple Sources	Radenka Maric, Vice President, Research Innovation & Entrepreneurship	Feed and bedding for research animals at all University campuses. This award is one of two awards made as the result of a public solicitation. Four extensions of one year each remain.

FEED AND BEDDING

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
5	Charles River Lab	UC-DS111819-1	$750,000	01/01/20-12/31/20	Multiple Sources	Radenka Maric, Vice President, Research Innovation & Entrepreneurship	Purchase of lab animals and services for various research programs at all University campuses. This is the result of a public solicitation. Four extensions of one year each remain.
6	Jackson Lab	UC-DS111819-2	$500,000	01/01/20-12/31/20	Multiple Sources	Radenka Maric, Vice President, Research Innovation & Entrepreneurship	Purchase of lab animals and services for various research programs at all University campuses. This is the result of a public solicitation. Four extensions of one year each remain.

CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 26, 2020

PARKING MANAGEMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
7	LAZ Parking, LTD, LLC	DS030619	$995,000	10/01/19-09/30/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	Parking, management and maintenance services for the North and South Parking Garages at the Storrs campus, as well as event parking management for the Storrs and Regional campuses. This award is the result of a public solicitation. Three extensions of two years each remain.

START UP EQUIPMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose
8	Bruker Corp	S127119199	$589,000	12/20/19-07/30/20	Operating Funds	John Elliott, Interim Provost & EVP for Academic Affairs	Start-up equipment for new PI. Purchase of this mass spectrometer is made under a sole source due to the unique functions of the instrument. A discount of 28% from list was negotiated and obtained on behalf of UConn. Contract period reflects estimated delivery lead time.
9	Bruker Corp	S127068579	$864,102	12/23/19-12/20/20	Operating Funds	John Elliott, Interim Provost & EVP for Academic Affairs	Start-up equipment for new PI. Purchase of this mass spectrometer is made under a sole source due to the unique characteristics of the instruments. A discount of 26% from list was negotiated and obtained on behalf of UConn.

PROCUREMENT - AMENDMENTS

CONSTRUCTION MANAGEMENT SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
10	The Whiting-Turner Contracting Company	901803	*$51,138,753 [Contract Value Previously $77,190,890; Total New Contract Value $128,329,643]*	11/23/15-03/31/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$61,639,771	$26,973,207	$13,176,288	Construction management services for Project 901803 - Gant Building Renovations - STEM - Phase 2. (***Revised Final Budget approved 06/26/19 - $170,000,000.)***

FACILITIES SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
11	Security Technologies Inc.	UC-19-LM110818-2	*$400,000 [Contract Value Previously $100,000; Total New Contract Value $500,000]*	04/01/19-02/28/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$78,501	$0	$0	Installation, upgrading, relocation and repair services for security systems infrastructure hardware on an on-call, project-by-project basis. ***Amend to increase contract value $400,000, for total new contract value of $500,000. Amend to extend contract term one year, through 02/28/21.*** Two extensions of one year each remain.

CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 26, 2020

IT HARDWARE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
12	Burwood Group	UC-16-SF071116-B	*$0 [Contract Value Previously $800,000; Contract Value Remains the Same]*	03/23/17-03/23/23	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	$1,255	$0	$1,255	Operating system, network, security hardware and services for all University campuses. ***Amend to extend contract term three years, through 03/23/23. Contract value remains the same.*** *One extension of three years remains.*
13	Kelser Corporation	UC-16-SF071116-A	*$0 [Contract Value Previously $800,000; Contract Value Remains the Same]*	04/24/17-04/24/23	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	$109,159	$109	$0	Operating system, network, security hardware and services for all University campuses. ***Amend to extend contract term three years, through 04/24/23.*** Contract value remains the same. *One extension of three years remains.*
14	Lighthouse Computer	UC-16-SF071116-E	*$0 [Contract Value Previously $800,000; Contract Value Remains the Same]*	03/24/17-03/23/23	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	$173,714	$59,714	$58,215	Operating system, network, security hardware and services for all University campuses. ***Amend to extend contract term three years, through 03/23/23.*** Contract value remains the same. *One extension of three years remains.*

EMISSIONS MONITORING AND SYSTEM MAINTENANCE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
15	ELLANA, Inc.	009.5-5-NV-093020	*No Value Contact*	10/01/17-09/30/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$487,740	$0	$0	On-call cost estimating and scheduling services for all University campuses to provide support, as needed, on a project-by-project basis. ***This is a "No Value Contract" that is being presented for informational purposes to report spend to date***. Contract term remains the same. Zero extensions remain.

LAB ANIMALS AND SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 12/31/19	Expenditures FY19	Expenditures FY18	Purpose
16	Bright View Landscapes, LLC	OC.LAND2016-950-1	*$0 [Contract Value Previously $950,000; Contract Value Remains the Same]*	12/15/16-04/30/20	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	$0	$0	$0	On-call landscape services for all University campuses to provide support, as needed, on a project-by-project basis. ***Amend to extend contract term one year, through 04/30/20.*** Contract value remains the same. Zero extensions remain.

ATTACHMENT D

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2020 as of 12/31/2019

Project Name	Current Funded Budget*	Total Project Expenditures	Total Fiscal Year Expenditures	Fiscal Year to Date Expenditures By Funding Source			
				UCONN 2000 Bonds	University Operating	Revenue Bonds	Other Funding**
Storrs and Regional Campuses							
Academic and Research Facilities							
Academic & Research Facilities - Gant Building Renovations - STEM	136,135,507	73,551,508	13,511,518	13,511,518			
Academic & Research Facilities - Homer Babbidge Library Renovation	5,700,000	1,109,371	70,735	70,735			
Academic & Research Facilities - STEM Research Center Science 1	15,000,000	11,260,713	2,906,059	2,906,059			
Academic and Research Facilities Total			**16,488,312**	**16,488,312**	**-**	**-**	**-**
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities							
Atwater A206 & A210 BSC Replacement	3,464	3,464	3,464		3,464		
Avery Point - Academic Building Chemistry Lab Renovation	300,000	226,410	207,075		207,075		
Avery Point Academic Building Roof Replacement	1,270,000	523,634	473,442		473,442		
Avery Point Community & Professional Building Restrooms Renovation	433,000	324,428	256,644		256,644		
Avery Point Marine Sciences Building Retro Commisioning	526,950	61,920	61,920		61,920		
Babbidge Library Electrical Distribution System Upgrade	2,783,000	2,559,647	44,242	44,242			
Ballard Institute and Museum of Puppetry HVAC Upgrade	9,424	9,424	2,357		2,357		
Beach Hall Lab Renovations	5,400,000	3,741,021	444,889	444,889			
Beach Hall-Renovation Rooms 319/321 SLHS	30,000	26,616	7,253		7,253		
Bio 4 Annex Sustainability Office Relocation	142,000	21,496	21,496		21,496		
Bishop Center Roof - Electrical & HVAC Upgrade	400,000	138,031	75,179		75,179		
Boiler Plant Equipment Replacement	316,136	316,136	16,686	16,686			
Boiler Plant Equipment Replacement and Utility Tunnel Connection	2,300,000	578,208	578,208	578,208			
Buckley Hall Life Safety System Replacement	205,003	205,003	205,003		205,003		
Burton Family Football Complex Locker Replacement	894,750	849,819	452,723				452,723
C2E2 Clean Room Renovation	150,000	50,303	50,303		303		50,000
Campus Insulation Program	482,000	471,425	278,581		278,581		
Campus Wayfinding and Gateways - FO Phase 1	475,000	381,487	18,515		18,515		
Campus Wayfinding and Gateways - FO Phase 2	400,000	347,638	17,382		17,382		
Campus Wayfinding Improvements	1,900,000	1,037,431	434,548	434,548			
Castleman Engineering Building Chiller Replacement	400,000	48,100	48,100		48,100		
Central Campus Infrastructure	5,000,000	3,424,889	516,361	516,361			
Central Campus Parking	2,250,000	1,878,573	138,850	138,580	270		
Central Warehouse Parking Services Interior Renovation	325,000	259,042	186,877		186,877		
Clay Tile Sewer Pipe Relining Phase 3	446,905	446,905	421,911		421,911		
CPCA Work Station Configuration	85,000	68,370	45,653		45,653		
CUP Equipment Replacement and Pumping Improvements	23,000,000	10,570,330	1,281,808	1,281,808			
Decentralized Heat at Warehouse and Facilities Operations	616,864	616,864	4,000		4,000		
Depot Campus Hardscape Improvements	98,130	58,000	58,000		58,000		
Dining Hall Facilities Ventilation Upgrades	892,700	127,003	126,000		126,000		
East Central Campus Utility Upgrade	2,613,255	2,613,255	125,618	120,009	5,609		
Energy Services Performance Contract - Phase I (a.k.a. ESCO)***	27,602,000	25,650,948	852,898	4,023,260	(3,170,362)		
Engineering II Roof Replacement	950,000	555,450	5,576		5,576		
Environmental Health & Safety Building Office Renovation	95,000	51,262	51,262		51,262		
Eversource Second Electrical Feed - Planning	95,000	26,700	(24,800)	(24,800)			
Exigent Repair - Replacement of Steam & Cond Piping	2,000,000	168,252	168,252	168,252			
Fac Ops & Building Services - Plant	8,410,678	5,653,851	277,167		277,167		
Fairfield Way Entry Gates	325,000	48,740	1,645		1,645		
Fenton River Well Field & Road Repair	450,000	90,678	3,787	3,787			
Fine Arts at Kirby Mills Renovation	475,000	434,235	25,926		25,926		
Gampel Area Bollards	1,250,000	1,018,120	600,929	600,929			
Gampel Pavilion Dome Ceiling and Roof Repair	11,800,000	10,939,414	760,935	760,935			
Gampel Pavilion Enabling Power Upgrade	125,000	42,644	42,644	42,644			
Gant North - Minor Upgrades for IMS New Faculty Hires	350,000	119,929	69,544		69,544		
Gelfenbien and North Dining Hall Dish Room Renovation	840,000	603,984	470,341		470,341		
Gelfenbien Patio Landscaping Improvements	300,000	253,090	232,435		232,435		
George J. Sherman Family-Sports Complex Field Restoration	1,070,000	779,780	779,780		779,780		

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2020 as of 12/31/2019

Project Name	Current Funded Budget*	Total Project Expenditures	Total Fiscal Year Expenditures	Fiscal Year to Date Expenditures By Funding Source			
				UCONN 2000 Bonds	University Operating	Revenue Bonds	Other Funding**
Hale Hall 15KV Electrical Service Repairs	891,800	868,525	110,788		110,788		
Hartford - Student Academic Achievement Center Renovation	450,000	51,177	36,386		36,386		
Heating Plant Upgrade - Emergency Power System Upgrade	765,000	435,916	28,924	28,924			
High Head Emergency Generator System Replacement	1,106,040	916,459	816,198		816,198		
Horse Unit & Lorentzon Stables Refurbishment	300,000	18,700	18,700				18,700
Horsebarn Hill Pedestrian Safety Improvements	1,750,000	1,194,967	1,056,018	973,119	82,899		
Horsebarn Hill Sewage Pump Station Upgrade	1,500,000	182,688	141,588		141,588		
Human Development Center SLHS Renovations	460,000	385,948	302,138		302,138		
ITEB 114 CSE & ECE Lab Renovation	63,000	42,328	42,328		42,328		
ITEB 138 Cybersecurity Lab Reno	200,000	169,731	159,309		159,309		
Jones Building Heating Replacement	350,000	256,625	256,625		256,625		
Jorgensen Basement HVAC Repairs	9,424	9,424	2,357		2,357		
Jorgensen Building Envelope Study	64,000	44,397	2,024		2,024		
Kellogg Dairy Center Robotic Milkers	1,856,602	1,856,602	19,399		19,399		
Koons Hall 317 Lab Renovation	65,500	33,092	33,092		33,092		
Koons Hall Renovation	5,500,000	5,387,512	43,368	43,368			
Landscape Barn and Administrative Building Replacement Planning	1,400,000	212,139	197,674	197,674			
Law School Knight Hall Elevator Modernization	400,000	101,760	101,760		101,760		
Law School Library Cooling Tower Replacement	600,000	429,787	7,270		7,270		
Litchfield and Windham Hall Electrical Service Repairs	500,000	493,001	226,022		226,022		
Longley Bathroom Renovations	89,310	55,620	52,131	52,131			
Longley Lab 114 Renovation (Depot Campus)	65,229	65,229	5,152		564		4,588
Main Campus Parking Replacements	12,000,000	9,140,673	3,867,486	3,864,396	3,090		
McConaughy Hall Electrical Replacement	150,000	112,181	112,181		112,181		
Middlesex Extension Ctr Bathroom Renovations	240,000	179,306	150,157		150,157		
Mold / Lead / Asbestos Remediation	2,438,216	1,802,623	524,636		524,636		
N. Eagleville Rd Area Infrastr Repair / Replace & Upgrade Phase III	57,200,000	55,270,637	1,092,439	1,092,439			
North Campus Dining Ceiling/Lighting Replacement	115,808	115,808	86,041		86,041		
North East Residence Halls - Security Camera System	1,400,000	252,668	15,684	15,684			
Northeast Science Quad Site Improvements	2,000,000	1,582,150	1,389,207	1,389,207			
Northwest Quad - Science 1 - Site Improvements & Tunnel Phase II	7,500,000	2,785,627	1,238,795	1,238,795			
Northwest Science Quad Infrastructure - Phase 1	20,750,000	18,865,142	261,385	261,385			
Northwest Science Quad Supplemental Utility Plant	5,000,000	3,209,818	413,408	413,408			
NW Quad Residence Halls Plumbing Replacement	263,000	61,091	38,603		38,603		
Pharmacy / Biology 102 PNB Hood Removal	11,050	4,586	4,586		4,586		
Philip E Austin 105,108,110 & Lecture Halls Upgrades	125,500	28	28		28		
Philip E Austin Lecture Hall A/V Support Upgrades	8,691	8,691	8,691		8,691		
Public Safety Building Improvements	4,550,000	374,148	180,873		180,873		
Purchase of 88 Gurleyville Road - Lodewick House	740,951	740,951	740,951		740,951		
Refrigeration Upgrades McConaughy Hall NC-11	300,000	199,859	151,637		151,637		
Res Life Facilities - Restroom Rehabilitation Program Phase 1	2,200,000	1,481,203	981,223		981,223		
Sale of the Nathan Hale Inn	100,000	84,283	40,358		40,358		
School of Business Classrooms AV Support	3,842	3,842	3,842		3,842		
South Campus Commons Landscape & Pedestrian Improvement Plan	3,500,000	1,594,076	140,782	140,782			
South East Campus Infrastructure	5,000,000	3,305,811	3,017,366	3,017,366			
Southwest Campus Infrastructure Upgrade	10,000,000	8,308,924	325,142	325,142			
Stamford Abutting Property Restoration	2,500,000	1,199,287	1,196,197	1,196,197			
Stamford Campus Garage - Demolition	10,000,000	7,757,803	271,159	271,159			
Stamford Campus Surface Parking Lot	4,500,000	2,863,982	236,766	236,766			
Stamford Classroom 220 Renovation	425,000	337,788	270,819		270,819		
Storrs Hall 1st & 2nd Floor Bathroom	255,000	53,456	29,971	29,971			
Storrs LED (SLED) Lighting Upgrade	1,496,000	678,555	312,555		312,555		
Storrs LED (SLED) Lighting Upgrade - Athletic Facilities	1,377,772	828,000	555,000		555,000		
Student Union - QSR Dining Buildout	700,000	405,848	371,188		371,188		
Student Union 314 Renovation	271,000	190,947	161,091		161,091		

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2020 as of 12/31/2019

Project Name	Current Funded Budget*	Total Project Expenditures	Total Fiscal Year Expenditures	Fiscal Year to Date Expenditures By Funding Source			
				UCONN 2000 Bonds	University Operating	Revenue Bonds	Other Funding**
Torrey Life Science Genetech Access Control Installation	46,541	46,541	46,541		46,541		
Torrey Life Sciences 2nd Floor Biology Renovation	900,000	59,671	59,671	59,671			
Towers Dorm T-5 Heating Replacement	300,000	221,482	221,482		221,482		
UCFM Code Remediation - Campus Wide Laundry Alterations	3,300,000	2,146,625	1,568,353	1,568,353			
UCFM Code Remediation - Hall Building	146,200	22,402	10,165	10,165			
UCFM Code Remediation - Longley School-Depot Campus	497,000	353,335	14,175	14,175			
UCFM Code Remediation - South Parking Garage	473,000	216,564	163,862	163,862			
UCFM Code Remediation - Williams Health Services Building	135,000	84,148	11,658	11,658			
UConn 2000 Code Remed - Northwest Residence Halls	1,598,735	1,160,726	10,312	10,312			
UConn 2000 Code Remed - Wilbur Cross Building	1,640,000	1,505,769	99,982	99,982			
UConn Hartford School of Business - 4th Floor BAPM Suite	202,521	202,521	1,318		1,318		
UConn Hockey Arena	850,000	492,237	469,656		469,656		
UConn School of Fine Arts - Wadsworth Athenaeum	700,000	219,349	156,228		156,228		
UConn Stamford Mill River Remediation	450,000	7,695	7,695	7,695			
University Athletic District Development (a.k.a. Stadia)	14,300,000	350,402	350,402	350,402			
UTEB - Freshman Design Teach Lab Renovation	525,000	464,289	59,270	59,270			
W&T Lot Electrical and Parking Restoration	2,844,000	2,519,013	2,219,350		2,219,350		
Waterbury Chiller 1 Replacement	300,000	236,550	236,550		236,550		
Waterbury Life Safety System Replacement	137,755	137,755	81,003		81,003		
Werth Family Basketball Champions Center Hall of Fame	3,465,000	3,365,785	281,020		77,835		203,185
Whitney Hall Dining Renovations	4,200,000	3,368,463	2,620,208		2,620,208		
Wilbur Cross Reading Rooms Finish Upgrades	3,200,000	2,768,977	160,015	1,803	158,212		
DM/Code/ADA/Infrastructure/Renovation/Utility/Administrative/Support Facilities Total			**41,619,823**	**26,295,599**	**14,595,028**	**-**	**729,196**
Engineering Building							
Engineering Building - Engineering & Science Building	93,300,000	92,093,716	846,850	846,850			
Engineering Building Total			**846,850**	**846,850**	**-**	**-**	**-**
Equipment, Library Collections & Telecommunications - Phase III							
eProcurement / SciQuest Software Implementation	1,401,737	974,122	3,193		3,193		
Gampel Audio System Replacement	600,000	558,181	243,172	243,172			
Gampel Pavilion Wireless Infrastructure	550,000	142,066	142,066	142,066			
ITS Capital Equipment	17,742,108	14,432,179	1,256,979	1,256,979			
Public Safety Capital Equipment	14,926,692	14,297,171	1,008,501	1,008,501			
Recruiting & Onboarding System Implementation	780,735	365,443	177,563		177,563		
Travel Management & Expense Reimbursement System Implementation	1,148,103	834,397	589,974		589,974		
Wired Access Layer (ITS) - Phase I	4,021,000	514,935	361,541	361,541			
Equipment, Library Collections & Telecommunications - Phase III Total			**3,782,989**	**3,012,259**	**770,730**	**-**	**-**
Farm Buildings Repairs/Replacement							
Farm Buildings Repair / Replace - Spring Hill Farm	3,740,000	3,423,805	89,806	340	89,466		
Farm Buildings Repairs/Replacement Total			**89,806**	**340**	**89,466**	**-**	**-**
Fine Arts Phase II							
Fine Arts Phase II - Renovation & Improvements	37,000,000	25,738,564	12,088,477	12,088,477			
Fine Arts Phase II Total			**12,088,477**	**12,088,477**	**-**	**-**	**-**
Hartford Relocation Acquisition/Renovation							
Hartford Relocation Acquisition / Renovation	139,027,625	139,027,625	18,390	18,390			
Hartford Relocation Acquisition/Renovation Total			**18,390**	**18,390**	**-**	**-**	**-**
Intramural, Recreational & Intercollegiate Facilities							
Central Campus Infrastructure	15,000,000	14,130,615	47,415			47,415	
Student Recreation Center	98,000,000	93,083,778	14,686,379			14,686,379	
University Athletic District Development (a.k.a. Stadia)	41,750,000	28,508,458	18,146,834			18,100,937	45,897
Intramural, Recreational & Intercollegiate Facilities Total			**32,880,628**	**-**	**-**	**32,834,731**	**45,897**
Jorgensen Renovation							
Jorgensen Renovation - HVAC Renewal	1,850,000	1,812,823	10,445	10,445			
Jorgensen Renovation Total			**10,445**	**10,445**	**-**	**-**	**-**
North Hillside Road Completion							
North Hillside Road Completion	20,307,913	18,583,511	26,512	26,512			

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2020 as of 12/31/2019

Project Name	Current Funded Budget*	Total Project Expenditures	Total Fiscal Year Expenditures	Fiscal Year to Date Expenditures By Funding Source: UCONN 2000 Bonds	University Operating	Revenue Bonds	Other Funding**
North Hillside Road Completion Total			**26,512**	**26,512**	**-**	**-**	**-**
Residential Life Facilities							
Res Life Facilities - Alumni Quad Roof & Facade Renovation	193,000	111,700	106,369	106,369			
Res Life Facilities - Alumni Res Hall Granite Restoration	645,000	277,036	6,021	6,021			
Res Life Facilities - East Campus Door Hardware Replacement	13,000	12,878	2,028	2,028			
Res Life Facilities - Hilltop Apt Complex Roof Repairs - Phase III	1,519,493	1,519,493	80	80			
Res Life Facilities - McMahon Hall Envelope Repairs	499,000	194,455	43,243	43,243			
Res Life Facilities - Next Generation Conn. Hall	95,792,776	95,792,776	23,619	23,619			
Res Life Facilities - North Campus Residence Hall Reno - Phase II	55,000	11,450	11,450	11,450			
Res Life Facilities - North Residence Halls Roof Refurb Phase II	1,576,000	1,204,697	1,187,147	1,187,147			
Res Life Facilities - Northwood Chimney Renovation	112,000	107,869	98,373	98,373			
Residential Life Facilities Total			**1,478,330**	**1,478,330**	**-**	**-**	**-**
School of Pharmacy/Biology Completion							
School of Pharmacy Medicinal Garden	915,000	694,489	89,196	89,196			
School of Pharmacy/Biology Completion Total			**89,196**	**89,196**	**-**	**-**	**-**
Technology Quadrant-Phase III							
Tech Quad Phase III - Innovation Partnership Building	162,300,000	155,037,989	3,037,027				3,037,027
Technology Quadrant-Phase III Total			**3,037,027**	**-**	**-**	**-**	**3,037,027**
Sub Total - Storrs & Regional Campuses:			**$ 112,456,785**	**$ 60,354,710**	**$ 15,455,224**	**$ 32,834,731**	**$ 3,812,120**
UConn Health Center (UCONN 2000 Funding Only)							
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities-UCHC							
UCHC Deferred Maintenance	50,951,264	48,925,754	652,621	652,621			
DM/Code/ADA/Infrastructure/Renovation/Utility/Administrative/Support Facilities-UCHC Total			**652,621**	**652,621**	**-**	**-**	**-**
Equipment, Library Collections & Telecommunications-UCHC							
UCHC Capital Equipment	71,929,390	70,772,264	1,990,373	1,990,373			
Equipment, Library Collections & Telecommunications-UCHC Total			**1,990,373**	**1,990,373**	**-**	**-**	**-**
Main Building Renovation							
UCHC New Construction & Renovation - Clinic Building	870,000	4,660	4,660	4,660			
Main Building Renovation Total			**4,660**	**4,660**	**-**	**-**	**-**
UCHC New Construction & Renovation							
UCHC New Construction & Renovation - Clinic Building	89,156,127	85,507,241	2,315,258	2,315,258			
UCHC New Construction & Renovation Total			**2,315,258**	**2,315,258**	**-**	**-**	**-**
Sub Total - UConn Health Center (UCONN 2000 Funding Only):			**4,962,912**	**4,962,912**	**-**	**-**	**-**
Total - Storrs, Regional Campuses and UConn Health Center - Current Year Expenditures:			**$ 117,419,697**	**$ 65,317,622**	**$ 15,455,224**	**$ 32,834,731**	**$ 3,812,120**
Adjustment for Transfers Between Fund Sources*:**			**$ -**	**$ (3,170,362)**	**$ 3,170,362**	**$ -**	**$ -**
Adjusted Total - Storrs, Regional Campuses and UConn Health Center - Current Year Expenditures:			**$ 117,419,697**	**$ 62,147,260**	**$ 18,625,586**	**$ 32,834,731**	**$ 3,812,120**

* - Current Funded Budget may be less than the approved budget, and represents the current funding available for the project

** - Other funding sources include State Bond Funds, Gifts, Grants and Federal Funds

*** - Per Capital Projects Policies and Procedures, transfers between funding sources may occur periodically, as determined necessary by the Office of Budget and Planning and approved by the Board of Trustees, if necessary. If a current period transfer captures expenses paid in a previous fiscal year, a negative balance occurs in the report. This adjustment corrects for prior year expenditures in the current year transfers.

UCONN

UNIVERSITY OF CONNECTICUT

Board of Trustees

NAMING RECOMMENDATION FOR NAYDEN HALL OF CHAMPIONS IN THE WERTH FAMILY BASKETBALL CHAMPIONS CENTER

(PRESENTED UNDER THE INSTITUTIONAL ADVANCEMENT COMMITTEE REPORT – DISTRIBUTED UNDER SEPARATE COVER)

Wednesday, February 26, 2020

UCONN
UNIVERSITY OF CONNECTICUT

Office of the President
Thomas C. Katsouleas
President

February 26, 2020

TO: Members of the Board of Trustees

FROM: Thomas Katsouleas

RE: Naming Recommendation for Nayden Hall of Champions in the Werth Family Basketball Champions Center

RECOMMENDATION:

That the Board of Trustees authorizes the naming of the Hall of Champions in the Werth Family Basketball Champions Center lobby, to be known as the Nayden Hall of Champions.

BACKGROUND:

The Basketball Champions Center is a state-of-the-art facility designed to address the on and off court needs of the men's and women's basketball student-athletes at the University of Connecticut. The 78,000 square foot space is located at 500 Jim Calhoun Way on the University of Connecticut Storrs Campus. It houses academic, athletic training and rehabilitation, dining and nutrition, practice and training, and locker facilities that will enhance development as student-athletes.

Denis J. Nayden CLAS '76 BUS '77 and Britta R. Nayden CAHNR '76 are lifetime significant donors to many programs at UConn including Athletics. Denis has served on both the UConn Foundation Board of Directors and the University of Connecticut Board of Trustees. The Naydens have been instrumental in moving several projects forward during their history with UConn.

The Naydens have pledged a gift amount consistent with the amounts recommended for naming the Hall of Champions, located in the Werth Family Basketball Champions Center at the University of Connecticut Storrs campus, under the University's Named Gift Guidelines.

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