



Board of



TRUSTEES

**TELEPHONE MEETING OF THE BOARD OF TRUSTEES
UNIVERSITY OF CONNECTICUT**

AGENDA

Meeting held by Telephone

June 24, 2020

Public Call In Number:

(415) 655-0002 US Toll

Access Code: 647 939 273##

(Note that the meeting will be recorded.)

Call to order at **8:30 a.m.**

1. Public Participation*

* If members of the public wish to address the Board of Trustees during the Public Participation portion of the meeting, you must submit a request in writing **no later than 12:00 noon on Tuesday, June 23**, to the following email address: boardoftrustees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment to a maximum of 30 minutes. As an alternative, you may also submit your comments via email which will be shared with the Board.

2. Chairman's Report

(a) Matters outstanding

(b) Board recognitions

(c) Minutes of the meetings of May 20 and June 12, 2020

(d) Consent Agenda Items:

(1) Contracts and Agreements (Attachment 1)

(2) Promotion and Tenure (Attachment 2)

(3) Designation of Emeritus Status (Attachment 3)

(4) Appointment of Retired Faculty to Emeritus Status (Attachment 4)

(5) Sabbatical Leave Recommendations (Attachment 5)

(6) Appointment of Sandra M. Chafouleas, PhD, to a Neag Professorship in the Neag School of Education (Attachment 6)

(7) Appointment of Jinbo Bi, PhD, to the Frederick H. Leonhardt Computer Science Chair in the School of Engineering (Attachment 7)

(8) Appointment of George Bollas, PhD, to the United Technologies Corporation Chair in Advanced Systems Engineering in the School of Engineering (Attachment 8)

(9) Reappointment of Richard D. Pomp, JD, as the Alva P. Loisel Professor of Law in the School of Law (Attachment 9)

- (10) Reappointment of Steven Wilf, JD, PhD, as the Anthony J. Smits Professor of Global Commerce in the School of Law (Attachment 10)
 - (11) Reappointment of Angel Oquendo, JD, PhD, as the George J. and Helen M. England Professor of Law in the School of Law (Attachment 11)
 - (12) Reappointment of Peter Siegelman, PhD, as the Philip I. Blumberg Professor of Law in the School of Law (Attachment 12)
 - (13) New Graduate Certificate in Life Story Practice and Research (Attachment 13)
 - (14) New Graduate Remote Sensing and Geospatial Data Analytics Certificate (Attachment 14)
 - (15) New Undergraduate Major in Multidisciplinary Engineering (Attachment 15)
3. President's Report
- (a) Presentation: Reopening Plan for the Fall Semester
4. Academic Affairs Committee Report
- (a) Report on Committee activities
 - (b) Informational Items:
 - (1) Academic Program Inventory (Attachment 16)
 - (2) Centers and Institutes (Attachment 17)
5. Financial Affairs Committee Report
- (a) Report on Committee activities
 - (b) Presentation: FY21 Spending Plan (Attachment 18)
 Presenters: Executive Vice President for Administration and Chief Financial Officer Jordan
 Executive Vice President for Health Affairs Agwunobi
 - (c) Items requiring Board discussion and approval:
 - (1) Proposed Second Amended and Restated Master Agreement and Statement of Work for the UConn Foundation for Fiscal Year 2021 (Attachment 19)

Budget Items (Storrs-based and UConn Health):

 - (2) Spending Plan for Fiscal Year 2021 for the University of Connecticut, Storrs and Regional Campuses (Attachment 20)
 - (3) Spending Plan for Fiscal Year 2021 for UConn Health (Attachment 21)
 - (4) Fiscal Year 2021 Capital Budget for the University of Connecticut, Storrs and Regional Campuses (Attachment 22)

Bond Allocations:

 - (5) Twenty-Seventh Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds (Attachment 23)

- (6) Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 24)
- (7) Revised Allocation of Bond Authorizations as set forth in the Twenty-Second Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 25)
- (8) Revised Allocation of Bond Authorizations as set forth in the Twenty-Third Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 26)

Project Budget (Storrs-based):

- (9) Project Budget (Final) for Wired Access Layer Infrastructure Refresh – Phase II (Attachment 27)

- 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
- 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
- 14. Committee for Diversity, Equity and Inclusion Report
 - (a) Report on Committee activities
- 15. Other business
- 16. Executive Session anticipated
- 17. 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
JUNE 24, 2020

AMENDMENTS FOR APPROVAL

RESEARCH SUPPLIES, CHEMICALS AND EQUIPMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 05/30/20	Expenditures FY19	Expenditures FY18	Purpose
1	Life Technolgoies	UC-13-CGP031612	\$0; [Contract Value Previously \$4,100,000; Contract Value Remains the Same]	11/15/12-06/30/21	Multiple Sources	Gregory Daniels, Interim AVP for University Business Services & Chief Procurement Officer	\$2,218,315.64	\$462,910.54	\$500,374.43	Laboratory supplies, chemicals and equipment for all University campuses. Contract value remains the same. Amend to extend contract term one year, through 06/30/21. One extension of one year remains.
2	Sigma-Aldrich	UC-13-CGP031612	\$429,000; [Contract Value Previously \$2,026,972; Total New Contract Value \$2,455,972]	11/15/12-06/30/21	Multiple Sources	Gregory Daniels, Interim AVP for University Business Services & Chief Procurement Officer	\$2,031,463	374,052.96	405,290.67	Laboratory supplies, chemicals and equipment for all University campuses. Amend to increase contract value \$429,000, for total new contract value of \$2,455,972. Amend to extend contract term one year, through 06/30/21. One extension of one year remains.

NON-PROCUREMENT AGREEMENT

ATHLETIC FOOTBALL AGREEMENT

No.	Contractor	Contract No.	Approval Amount	Term	Funding Source	Program Director	Purpose
3	Liberty University	TBD	\$1,025,000	01/24/20-11/15/25	Auxiliary Services	David Benedict, Director, Division of Athletics	Amend the original contract to increase the number of football games UConn and Liberty will play over a five year period and the amount each team will pay over the term of the amended contract. UConn to receive \$500,000 for playing two games at Liberty. UConn to pay Liberty \$525,000 for playing two games at UConn.

REVENUE - AMENDMENT FOR APPROVAL

ORGANIZATIONAL AND STAFF DEVELOPMENT SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Revenue Recipient	Program Director	Total Revenues as of 05/30/20	Revenues FY19	Revenues FY18	Purpose
4	Connecticut Department of Social Services	15DSS2402AY	\$5,000,435; [Contract Value Previously \$32,464,661; Total New Contract Value \$37,465,096]	07/01/15-06/30/21	School of Social Work	Nina Heller, Dean, School of Social Work	\$31,760,598	\$7,490,485	\$5,644,823	This revenue generating Memorandum of Agreement (MOA) is a partnership between the Connecticut Department of Social Services (DSS) and UConn School of Social Work whereby UConn will provide training, staff development, project/program development services, and vendor management support to DSS. Amend to increase contract value \$5,000,435, for total new contract value of \$37,465,096. Extensions to this MOA may be exercised by written agreement of all parties.

ATTACHMENT 2

**PROMOTION AND TENURE RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT
PRESENTED TO THE BOARD OF TRUSTEES — June 24, 2020**

Effective July 27, 2020

Neag School of Education

TENURE AS PROFESSOR

Franklin Tuitt

Educational Leadership

Effective August 23, 2020

College of Agriculture, Health and Natural Resources

TENURE AS ASSOCIATE PROFESSOR

Caitlin Caspi

Allied Health Sciences

Neag School of Education

TENURE AS ASSOCIATE PROFESSOR

Saran Stewart

Educational Leadership

College of Liberal Arts and Sciences

TENURE AS PROFESSOR

Vicki Carstens

Linguistics

Sandy Grande

Political Science

PROMOTION TO PROFESSOR

Andrew Bush

Geosciences

School of Nursing

TENURE AS PROFESSOR

Wendy Henderson

School of Social Work

TENURE AS PROFESSOR

Joanne Corbin

ATTACHMENT 3


**University of Connecticut Department of Human Resources
Emeritus Retirees
June 24, 2020 Board of Trustees Meeting**

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>RETIRED</u>	<u>HIRED</u>
David Benson	Professor	Molecular & Cell Biology Chemical	Liberal Arts & Sciences	06/01/2020	09/01/1980
Douglas Cooper	Professor	Chem & Biomolecular Engineering	Liberal Arts & Sciences	06/01/2020	09/01/1985
Robin Cote	Professor	Physics	Liberal Arts & Sciences	06/01/2020	08/23/1999
Eliane Dalmolin	Professor	Literature, Culture & Languages	Liberal Arts & Sciences	06/01/2020	09/01/1991
Larry Faustman	Professor	Animal Science	Agriculture, Health & Nat Res	06/01/2020	09/01/1989
Hedley Freake	Professor	Nutritional Sciences	Agriculture, Health & Nat Res	06/01/2020	03/01/1988
Cathleen Love	Professor	Department of Extension	Agriculture, Health & Nat Res	06/01/2020	02/01/2005
Suresh Nair	Professor	Operations & Info Management	School of Business	06/01/2020	09/01/1988

ATTACHMENT 4

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Appointment of Retired Faculty to Emeritus Status

RECOMMENDATION:

That the Board of Trustees appoint retiring faculty member Associate Professor Andrea Hubbard to the status of Associate Professor Emeritus.

BACKGROUND:

Following recommendations of the Emeritus (Retirement) Committee and of President Thomas Katsouleas, retiring faculty member Andrea Hubbard is presented to the Board of Trustees for appointment to emeritus status.

Associate Professor Andrea Hubbard is retiring on September 1, 2020 from the Department of Pharmaceutical Sciences in School of Pharmacy. Professor Hubbard has a strong record in terms of research. She has published 44 peer reviewed publications and 8 book chapters. She also served as principal investigator on several grants from National Institutes of Health. She has a significant record as an accomplished teacher and advisor. This includes having taught 11 different undergraduate and 6 different graduate courses across her career. Professor Hubbard also served as major advisor for seven graduate students. José Manauto, Department Head of Pharmaceutical Sciences, describes her as a highly dedicated advisor of pharmacy students. Most notable among Professor Hubbard's accomplishments, and where she truly excels, is in the area of service and administration. Professor Hubbard served as Associate Dean of Academic and Student Affairs in the School of Pharmacy for 10 years (2005-2015). Dean Hritcko describes Professor Hubbard as demonstrating "exceptional leadership" and that across the roles she had within the School, "many of these leadership roles that Andrea has held were highly visible from both a School and University standpoint. Her ability to develop strong relationships, team build and carefully manage multiple projects simultaneously sets Andrea apart from many of our tenured and other health profession faculty colleagues." Professor Manauto describe Professor Hubbard's continued involvement in the School and Department after stepping down as Associate Dean, describing her as a "life-preserver" in his role as department head. Professor Hubbard is retiring at the rank of associate professor. If approved by the Board of Trustees, upon retirement she will be appointed to the status of "Associate Professor Emeritus."



June 12, 2020

President Thomas Katsouleas
Office of the President
352 Mansfield Road, Unit 1048
Storrs, CT 06269-1048

Dear President Katsouleas:

I am writing on behalf of the emeritus committee to strongly recommend the designation of emeritus status for Dr. Andrea Hubbard, who will retire as an Associate Professor of Pharmaceutical Sciences on September 1, 2020. On May 11, 2020, the six members of the Emeritus (Retirement) Committee unanimously voted (6-0-0) to recommend her for emeritus status.

Because Professor Hubbard was at the rank of associate professor, she will not automatically receive emeritus status at retirement. Thus, we used the following criteria from the charge for our committee: *"The title of emeritus status requires that faculty go above and beyond the expectations of research, teaching, and service for their position. Faculty must excel in one or more of these three areas, and thus have helped to elevate the university. The emeritus committee will only recommend the title of emeritus when faculty meet these criteria, and also have strong support from their department head and dean."* We believe that Professor Hubbard is a strong researcher, strong instructor, and a phenomenal administrator, and as a result has elevated the status of the university. She received strong letters of support in favor of her appointment to emeritus status from both her department head and her dean.

Professor Hubbard has a strong record in terms of research. She has published 44 peer reviewed publications and 8 book chapters. She also served as principal investigator on several grants from National Institutes of Health. She has a significant record as an accomplished teacher and advisor. This includes having taught 11 different undergraduate and 6 different graduate courses across her career. Professor Hubbard also served as major advisor for seven graduate students. José Manauto, Department Head of Pharmaceutical Sciences, describes her as a highly dedicated advisor of pharmacy students and states that *"While serving as Associate Dean, Andrea kept a significant teaching load, which included the immunology course for pharmacy students (solo taught) and a graduate course on current concepts in immunology and immunotoxicology."* Philip Hritcko, Interim Dean of the School of Pharmacy states that *"Andrea is one of our School's select faculty members who helped to develop and actively taught in the Pre-College Summer "Pharmacy: Explore the Field" program that has helped to inspire high school students to consider the science research and pharmacy healthcare field. The Pre-College Summer program strives to connect high school students to devoted, enthusiastic course instructors like Andrea, who are leaders in their specific fields of research."*

Most notable among Dr. Hubbard's accomplishments, and where she truly excels, is in the area of service and administration. Dr. Hubbard served as Associate Dean of Academic and Student Affairs in the School of Pharmacy for 10 years (2005-2015). Dr. Manauto states that as Associate Dean *"Andrea was instrumental in conceptualizing and leading a number of initiatives, including the School's LEADERS*

College of Liberal Arts and Sciences
Office of the Dean
215 GLENBROOK ROAD, UNIT 4098
STORRS, CT 06269-4098
PHONE 860 486 2713
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Curricular Track. She also developed the School of Pharmacy Interview Program for prospective students. As Curriculum Committee Co-Chair, she played a vital role in the development of our current professional PharmD. Curriculum.” Dean Hritcko describes Dr. Hubbard as demonstrating “exceptional leadership” and that across the roles she had within the School, “many of these leadership roles that Andrea has held were highly visible from both a School and University standpoint. Her ability to develop strong relationships, team build and carefully manage multiple projects simultaneously sets Andrea apart from many of our tenured and other health profession faculty colleagues.” Dr. Manauto describe Dr. Hubbard’s continued involvement in the School and Department after stepping down as Associate Dean, describing her as a “life-preserver” in his role as department head.

Dr. Hubbard’s contributions to UConn extend far beyond the School of Pharmacy. In the past five years alone, she spent 3 years on the University Senate, one year on the Senate Executive Committee, two years as a UConn Connects mentor, and four years on the AAUP Executive Committee. These represent some of the most important university-wide committees where faculty can serve.

In summary, Dr. Hubbard has truly excelled as a faculty member, particularly in the area of service and administration. Her contributions to the School of Pharmacy, and to UConn at large, far exceed expectations of faculty. According to the University By-Laws, Professor Hubbard may be appointed “Associate Professor Emeritus” following a recommendation by the Retirement Committee, the President, and a vote of approval by the Board of Trustees. The Committee unanimously recommends that Professor Hubbard be appointed this status accordingly.

Sincerely,



Eva Lefkowitz, Professor and Department Head
Human Development and Family Sciences
Chair, Emeritus (Retirement) Committee



Thomas Katsouleas, President

Date:

ATTACHMENT 5

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
June 24, 2020 Board of Trustees Meeting

SABBATICAL MODIFICATIONS/POSTPONEMENTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Baggio Michele	Associate Professor	Economics	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Spring 2021
Berrah, Nora	Professor	Physics	Liberal Arts and Sciences Change to	Half Half	Fall 2020 Fall 2021
Berthold, Megan	Associate Professor	Social Work	Social Work Change to	Full Full	Fall 2020 Fall 2021
Brunner, Eric J	Professor	Public Policy	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Fall 2021
Byrne, Timothy B	Professor	Geosciences	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Spring 2021
Cardetti, Fabiana A	Professor	Mathematics	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Spring 2021
Craemer, Thomas	Associate Professor	Public Policy	Liberal Arts and Sciences Change to	Full Full	Spring 2021 Fall 2021
Cruz, Jose M	Associate Dean & Associate Professor	Operations and Information Management	Business Change to	Full Full	Fall 2020 Fall 2022
Dzhafarov, Damir	Assistant Professor	Mathematics	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Spring 2021
Eigsti, Inge-Marie	Professor	Psychological Sciences	Liberal Arts and Sciences	Half Full	AY 20-21 Spring 2021

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Fernandez, Maria-Luz	Professor	Nutritional Sciences	Agriculture, Health, & Natural Resources Change to	Full Full	Fall 2020 Spring 2021
Furtado, Delia B	Associate Professor	Economics	Liberal Arts and Sciences Change to	Half Half	AY 20-21 AY 21-22
Gordon, Lewis	Professor	Professor	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Spring 2026
Hughey, Matthew	Associate Professor	Sociology	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Fall 2021
Javidi, Bahram	Distinguished Professor	Electrical and Computer Engineering	Engineering Change to	Full Full	Fall 2020 Fall 2021
Jones, Richard T	Professor	Physics	Liberal Arts and Sciences Change to	Half Half	AY 20-21 CY 2021
Kravet, Todd D	Associate Professor	Accounting	Business Change to	Full Full	Fall 2020 Fall 2021
Land, Molly	Associate Director & Professor	Law	Law Change to	Half Half	AY 20-21 AY 21-22
Leahey, Tricia	Associate Professor	Allied Health Sciences	Agriculture, Health, & Natural Resources Change to	Half Half	AY 20-21 AY 21-22
Lee, Juliet	Associate Professor	Molecular and Cell Biology	Liberal Arts and Sciences Change to	Half Half	AY 20-21 AY 21-22
Magnuson, James S	Professor	Psychological Sciences	Liberal Arts and Sciences Change to	Half Full	AY 20-21 Spring 2021
Nanclares, Gustavo	Department Head & Associate Professor	Literatures, Cultures, and Languages	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Fall 2021

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Oeldorf-Hirsch, Anne	Assistant Professor	Communication	Liberal Arts and Sciences Change to	Half Full	AY 20-21 Fall 2020
Sun, Jianjun	Associate Professor	Physiology and Neurobiology	Liberal Arts and Sciences Change to	Full Full	Fall 2020 Fall 2021
Teschke, Carolyn M	Professor	Molecular and Cell Biology	Liberal Arts and Sciences Change to	Half Full	CY 2021 Fall 2021
Wuosmaa, Alan H	Professor	Physics	Liberal Arts and Sciences Change to	Half Half	CY 2020 Spring 2020 & Fall 2021


SABBATICAL LEAVE REQUESTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Abramo, Joseph	Assistant Professor	Curriculum and Instruction	Education	Full	Spring 2021
Cao, Qing	Associate Professor	Management	Business	Full	Spring 2021
Gai, Moshe	Professor	Physics	Liberal Arts and Sciences	Full	Spring 2021
La Salle, Tamika P	Associate Professor	Educational Psychology	Education	Full	Spring 2021
Madaus, Joseph W	Professor	Educational Psychology	Education	Full	Spring 2021
Shea, Thomas F	Associate Professor	English	Liberal Arts and Sciences	Full	Spring 2021
Yegir, Edvin	Associate Professor	Art and Art History	Fine Arts	Full	Fall 2020
Zhong, Xiaobo	Professor	Pharmaceutical Sciences	Pharmacy	Full	Spring 2021

ATTACHMENT 6

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Appointment of Sandra Chafouleas, PhD, to a Neag Professorship

RECOMMENDATION:

That the Board of Trustees approve the appointment of Sandra Chafouleas, PhD, to a Neag Professorship in the Neag School of Education beginning on August 23, 2020.

BACKGROUND:

Unlike independently funded named professorships, Neag Professorships are based on an encumbered allocation of funds from the Ray Neag Endowment held by the Neag School of Education. Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Gladis Kersaint is nominating Professor Chafouleas based on her distinguished and sustained record of achievement.

Dr. Sandra M. Chafouleas is a Board of Trustees Distinguished Professor in the Department of Educational Psychology within the Neag School of Education. She is also the founder and Co-Director of the UConn Collaboratory on School and Child Health (CSCH). Dr. Chafouleas is a nationally known scholar whose work focuses on supporting schools implement evidence-informed practices in areas of integrated health and learning, school mental health, and behavior assessment. Dr. Chafouleas builds and leads research teams that bring together personnel from across UConn and the nation who offer different disciplinary perspectives and expertise in tackling important issues for children, families, and schools. Her scholarly work has focused on assisting with decisions about school-based practices to help define which behaviors are critical to learning, health, and well-being; who needs additional supports to be successful; and what processes can inform practices that are effective for individual students, classrooms, and schools.


Dr. Chafouleas has demonstrated continued success with securing extramural funding for her research, serving as the principal or co-principal investigator for over 10 million dollars of federal funding since 2006. She has authored over 150 publications, and regularly serves as a national presenter and invited speaker. She is a fellow in both the American Psychological Association and Association for Psychological Science, and is an Invited Member and Past-President of the Society for the Study of School Psychology. She received the 2018 Edward C.

Marth Graduate Mentorship award from the University of Connecticut AAUP; the 2018 UConn Alumni Foundation award for Faculty Excellence in Research and Creativity Award in the Humanities, Arts and Social Sciences; the 2016 APA Division 16 Oakland Mid-Career Scholar Award; the 2009 UConn Alumni Association award for Excellence in Graduate Teaching; and previously served as associate dean for The Graduate School (2012-2014) and then the associate dean for research in the Neag School (2014-2016). Most recently she served as chair of the search committee to find our new provost, and is serving as a member and subcommittee co-chair on the president's mental health taskforce. In sum, Dr. Chafouleas is one of our most impactful scholars, teachers, mentors, and ambassadors in the Neag School of Education and across UConn.

ATTACHMENT 7

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Appointment of Jinbo Bi, PhD, to the Frederick H. Leonhardt Computer Science Chair in the School of Engineering

RECOMMENDATION:

That the Board of Trustees approve the appointment of Jinbo Bi, PhD, to the Frederick H. Leonhardt Computer Science Chair in the School of Engineering.

BACKGROUND:


The Frederick H. Leonhardt Computer Science Chair was established in November, 1983 with a generous grant by the Fairfield County Community Foundation to endow a chair in Computer Science at the UConn Stamford Campus. Given the evolving needs of the University, in November 2015 the University was given consent by the Fairfield County Community Foundation to relocate the Chair to the Storrs Campus in the Department of Computer Science and Engineering.

Dr. Jinbo Bi is a Professor of Computer Science and Engineering at UConn, and has established a research program of international prominence in the areas of machine learning and artificial intelligence and their application to medical diagnosis and treatment. Dr. Bi's many professional leadership roles include serving as the General Chair of the 2019 IEE International Conference on Bioinformatics and Biomedicine. She has advised the NIH's Institute for Alcohol Abuse and Addiction (NIAAA) on their strategic planning for innovation in machine learning and big data analytics, and was a highlighted speaker at the International Behavioral and Neural Genetics Society. Dr. Bi has an outstanding record of funding, being awarded over \$7 million in competitive federal funding as sole or co-PI. She is the recipient of a highly competitive Mid-Career Independent Scientist Award from the National Institute on Drug Abuse and National Institute on Alcohol Abuse and Alcoholism, received the 2019 Women Innovators and Leaders Award from the Connecticut Technology Council, and received the 2019 Distinguished Woman in STEM Award from Bay Path University. Dr. Bi's outstanding scholarship, leadership, and accomplishments make her an excellent choice for appointment to the Frederick H. Leonhardt Computer Science Chair.

ATTACHMENT 8

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Appointment of George Bollas, PhD, to the United Technologies Corp. Chair in Advanced Systems Engineering in the School of Engineering

RECOMMENDATION:

That the Board of Trustees approve the appointment of George Bollas, PhD, to the United Technologies Corp. Chair in Advanced Systems Engineering in the School of Engineering.

BACKGROUND:

The United Technologies Corporation Chair in Advanced Systems Engineering was established with a generous grant by the United Technologies Corporation as part of a major investing at UConn to advance systems engineering at UTC and UConn.


Dr. George Bollas is a Professor of Chemical and Biomolecular Engineering and is the Director of the UTC Institute for Systems Engineering (UTC-IASE) at UConn. Dr. Bollas has established a research program of excellence in systems engineering, obtaining over \$7M in research funding from federal agencies and industry for fundamental and applied research, with \$1.8M in matching fellowships. His scholarly publications include five book chapters, 56 refereed journal articles in well recognized journals in his field, over 140 conference proceedings and presentations, three patents filed and two additional provisional patents applied. Dr. Bollas has received national research awards and is a member of Frontiers of Engineering Education - National Academy of Engineering (2016).

Dr. Bollas' leadership of the UTC Institute for Advanced Systems Engineering has been outstanding. He oversees a group of 10 core faculty and 40 affiliated faculty from all departments in the School of Engineering who collaborate with numerous UTC engineers and scientists on cutting edge research projects. Under his leadership, a Masters of Engineering degree in Systems Engineering was created, and fellowships for graduate students pursuing systems engineering have supported almost 30 students. He has established connections with local industry, following the states mandate for job creation and education of the workforce. Dr. George Bollas' accomplishments in research, outreach to industry and leadership in the area of systems engineering make him an outstanding choice for appointment as the UTC Chair in Advanced Systems Engineering.

ATTACHMENT 9

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Reappointment of Richard D. Pomp, JD, as the Alva P. Loiselle Professor of Law

RECOMMENDATION:

That the Board of Trustees approve the reappointment of Richard D. Pomp, JD, as the Alva P. Loiselle Professor of Law for a five-year term.

BACKGROUND:


The Alva P. Loiselle Professorship was established by a gift in 1991 by the late Connecticut Supreme Court Justice Loiselle. Justice Loiselle arose from a modest background in eastern CT to attend UConn earning his BA 1934 and JD in 1943. He served in many judicial capacities before being named to the Supreme Court. He was a key figure in the determinations of the Dean Search Committee in 1974 that selected Philip Blumberg, a choice that led to UConn Law's eventual rise to be the highest ranked public law school in the Northeastern United States. Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Timothy Fisher is presenting the recommendation of a committee in the School of Law that Richard Pomp be reappointed as the Alva P. Loiselle Professor of Law for a further five-year term.

Professor Pomp has held this endowed professorship since 1992. During this time he has published or edited 23 books, monographs, or reports. Most noteworthy is his casebook, now in its ninth edition, which has been used in more than 100 law schools, law and accounting firms, and state tax departments. Portions of the casebook have been translated into Chinese, Dutch, German, Japanese, Spanish, and Vietnamese. He has authored more than 100 articles and has consistently been in the top 10% of SSRN downloads. Professor Pomp has won nine major awards, two of which were for teaching. He has been interviewed by the media more than 1,000 times, including CNN, NPR, Bloomberg Radio, Sirius Radio, KCBS, WINA, The New York Times, The Wall Street Journal, The Washington Post, the Christian Science Monitor, the Los Angeles Times, and the Minneapolis Star Tribune. Additionally, Professor Pomp has spoken at over 350 major tax conferences around the country and abroad. He has served as a consultant to cities, states, the Multistate Tax Commission, the Navajo Nation, the U.S. Congress, the U.S. Treasury, the Department of Justice, the IRS, the United Nations, the IMF, the World Bank, and numerous foreign countries.

ATTACHMENT 10

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Reappointment of Steven Wilf, JD, PhD, as the Anthony J. Smits Professor of Global Commerce

RECOMMENDATION:

That the Board of Trustees approve the reappointment of Steven Wilf, JD, PhD, as the Anthony J. Smits Professor of Global Commerce for a five-year term.

BACKGROUND:

The Anthony Smits Professorship was established by his friends and colleagues after his untimely death early in his career. Earning his LLM from UConn in 1997 Anthony Smits was considered one of the 25 best insolvency lawyers in the world before turning 40. His compassion, integrity, loyalty and good humor inspired others who joined in endowing this professorship to be awarded to a nationally or internationally recognized research who has made significant contributions to the field of global commerce. Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Timothy Fisher has presented the recommendation from a committee in the School of Law that Steven Wilf be reappointed as the Anthony J. Smits Professor of Global Commerce for a further five-year term.

During the past term of his appointment as Anthony J. Smits Professor of Global Commerce, Professor Wilf has actively published and engaged in public service. He has written approximately two dozen articles and book chapters, and published a book, *Patent Cultures: Diversity and Harmonization in Historical Perspective* (with Graeme Gooday, Cambridge University Press, 2020). He has also held various visiting professorships and fellowships. These include: a Radcliffe Institute for Advanced Studies Fellowship at Harvard University (one of 15 scholars selected from around the globe in every academic discipline). He has made numerous scholarly presentations in the United States, Israel, and Europe, including the Sorbonne Faculty of Law and Harvard Law School's Institute for Global Law and Policy.


As much as to scholarship, Professor Wilf been dedicated as Anthony J. Smits Chair to teaching and service. He was twice appointed visiting professor at Yale Law School and delivered various lecture series abroad such as those at Tel Aviv University. Introducing new classes, he has taught a voluntary overload at our Law School virtually every year of his endowed professorship. Professor Wilf has served as chair of two major School of Law elected committees, Faculty

Appointments (FAC) and Tenure and Renewal (PAC). Working under a special appointment that spanned the Obama and Trump administrations, he held a one-year position in the Copyright Office on Capitol Hill. He has also received a Fulbright-Schuman Innovation Award for next year, a jointly funded United States-European Union appointment intended to address shared policy concerns relating to new technologies. In this capacity, he will be a fellow at one of the world's leading intellectual property research institutes, the Centre d'Etudes Internationales de la Propriété Intellectuelle (CEIPI) in Strasbourg. Such involvements in framing global intellectual property policy—in government service at the Copyright Office, as a Fulbright, and next year in France at CEIPI--are critical for furthering the Law School's commitment towards scholarly engagement.

ATTACHMENT 11

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Reappointment of Angel Oquendo, JD, PhD, as the George J. and Helen M. England Professor of Law

RECOMMENDATION:

That the Board of Trustees approve the reappointment of Angel Oquendo, JD, PhD, as the George J. and Helen M. England Professor of Law for a five-year term.

BACKGROUND:


George and Helen England endowed the professorship in their names in 2008, calling for the Dean of the Law School to use it to support the work of a tenured full-time member of the law school faculty. Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Timothy Fisher is presenting the recommendation of a committee in the School of Law that Angel Oquendo be reappointed as the George J. and Helen M. England Professor of Law for a further five-year term.

During his time as the George J. and Helen M. England Professor of Law, Professor Oquendo has had an outstanding record of achievement. This includes being conferred a distinguished chair in legal theory studies from the Fulbright Foundation this year (2020). He has previously received a Fulbright Hays Research Abroad Award, and visiting professor fellowships from the German Academic Exchange Service (DAAD), the Brazilian Organization for the Improvement of Higher Education (CAPES), and the Chilean National Commission on Scientific and Technological Research (CONICYT). Professor Oquendo has also been invited to participate in prestigious seminar series here in the US at Yale and Harvard, and has published widely in leading U.S. international law journals, and he has also published widely in international journals and books. His most recent book is titled *From Human Rights Principles to Politics in the Americas and Beyond* (2020), and it is forthcoming in the series *Globalization and Human Rights*, published by Cambridge University Press. *From Human Rights Principles* will uniquely contribute to contemporary discussion in both human-rights law and philosophy. It analyzes and critiques the Inter-American and other systems from a novel philosophical perspective, which faces up to the intricate interaction of policies and principles in this area.

ATTACHMENT 12

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Reappointment of Peter Siegelman, PhD, as the Phillip I. Blumberg Professor of Law

RECOMMENDATION:

That the Board of Trustees approve the reappointment of Peter Siegelman, PhD, as the Phillip I. Blumberg Professor of Law for a five-year term.

BACKGROUND:


The Philip Blumberg Professorship was endowed by Dean Emeritus Philip Blumberg to advance the scholarly mission of the Law School. Dean Blumberg, who served in that role from 1974 to 1984, was responsible for the profound changes in the school that led to its present stature. He attracted the first group of faculty with national reputations, and accomplished the acquisition and move of the law school to its beautiful campus in the West End of Hartford. Based on the criteria included in the Endowed Chair Appointment and Renewal Process, Dean Timothy Fisher is presenting the recommendation of a committee in the School of Law that Peter Siegelman, PhD, as the Phillip I. Blumberg Professor of Law for a further five-year term.

During the past five years, while serving as the Phillip I. Blumberg Professor of Law, Professor Siegelman has published nine articles and book chapters, and a co-edited book. This includes two empirical pieces on neglected but important aspects of civil procedure which appeared in Cornell (2020) and U.C. Davis (2019) law reviews (joint with Miguel de Figueiredo and Alexandra Lahav). During this period he has continued to work in insurance law and economics. Work in this area has included a co-edited research handbook that surveys the field, and some shorter surveys and syntheses that have appeared as book chapters. Professor Siegelman also been active in law and economics as a peer-reviewer for several leading journals, a tenure reviewer, and as a conference organizer and frequent presenter. His current research includes a forthcoming article on “third party moral hazard” in insurance, as well as works in progress on the problems posed by physical fitness testing in employment discrimination and the application of game theory to criminal procedure.

ATTACHMENT 13

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: New Graduate Certificate in Life Story Practice and Research

RECOMMENDATION:

That the Board of Trustees approve a new Graduate Certificate in Life Story Practice and Research in the School of Nursing.

BACKGROUND:

Life stories play a vital role in promoting the health and well-being of individuals, families, and communities. They are increasingly the focus of academic research and practice in many disciplines including psychology, social work, anthropology, history, linguistics, technology, health sciences, nursing, and gerontology. The purpose of this online certificate program is to prepare graduate students and professionals with the knowledge and skills needed to conduct life story interventions and/or programs with individuals, families, and groups.

At the completion of this one-year program (Fall, Spring, Summer), students will be able to:

1. Analyze the similarities and differences in life story approaches for individuals, families, and groups.
2. Evaluate the effect of life story best practices on the health and well-being of individuals and groups.
3. Develop a plan to conduct life story sessions for a particular individual, family or group.
4. Implement life story methods with individuals, families, or groups.
5. Evaluate process and outcomes related to life story sessions.

There are no known online Life Story Research and Practice certificate programs. This Life Story certificate program is unique in that it will encompass all approaches from reminiscence and life review to narrative and oral history. This fully-online program will be administered through the Graduate School and the School of Nursing.

Request for New UConn Academic Degree Program

General Information

Name of degree program:	Graduate Certificate in Life Story Practice and Research
Name of sponsoring Department:	N/A
Name of sponsoring College:	School of Nursing
Campuses:	Program Entirely Online
Contact persons:	Juliette Shellman
Type of Proposal:	New
Type of Program:	Graduate Certificate
Entrepreneurial program, approved by Provost's Office:	Yes
Tuition for the program approved by Provost's Office:	Fee-based
CIP Code:	Unknown

Justification for the New Program

There are no known online Life Story Research and Practice certificate programs. The Life Story Practice and Research Certificate Program evolved because the University of Wisconsin – Superior (UWS) Center for Continuing Education provided a Reminiscence and Life Review Online Certificate Program (non-credit), but the program manager retired and UWS decided to stop the program. The program was successful with 45 students graduating since the program's start in 2014. Only 10 students, as reported by the Program Manager, withdrew from the program. According to UWS, 33 potential students have inquired about the program. The last cohort from UWS graduated in November 2019. Juliette Shellman, the initiator of the Graduate Certificate in Life Story Practice and Research at UConn was involved in the UWS program as a developer and instructor. There are online programs such as Narrative Medicine at Columbia University and Guided Autobiography from UCLA. This Life Story certificate program is unique in that it will encompass all approaches from reminiscence and life review to narrative and oral history.

Are there similar programs in CT or elsewhere?

No.

What are the desired learning outcomes of the program?

At the completion of this one-year program (Fall, Spring, Summer), students will be able to:

1. Analyze the similarities and differences in life story approaches for individuals, families, and groups.

Graduate Certificate in Life Story Practice and Research

2. Evaluate the effect of life story best practices on the health and well-being of individuals and groups.
3. Develop a plan to conduct life story sessions for a particular individual, family or group.
4. Implement life story methods with individuals, families, or groups.
5. Evaluate process and outcomes related to life story sessions.

Program Description

Life stories play a vital role in promoting the health and well-being of individuals, families, and communities. They are increasingly the focus of academic research and practice in many disciplines including psychology, social work, anthropology, history, linguistics, technology, health sciences, nursing, and gerontology. The purpose of this online certificate program is to prepare graduate students and professionals with the knowledge and skills needed to conduct life story interventions and/or programs with individuals, families, and groups. Students must have a baccalaureate degree to apply. This certificate program is open to students from all disciplines. The program consists of five sequential courses (Spring, Summer, Fall).

This program requires the completion of two, 3-credit didactic courses including NURSXXXX Foundations of Life Story Practice and Research, and NURS XXXX Life Story Methods. The didactic courses will be followed by three, 2 credit courses including NURSXXXX Seminar in Life Story Innovations and Practice, NURSXXXX Fieldwork I in Life Story Innovations and Practice, and NURS XXXX Fieldwork II in Life Story Innovations and Practice.

Proposed Graduate Catalogue Copy

The School of Nursing offers a 12 credit online certificate program in Life Story Practice and Research. The purpose of this online certificate program is to prepare graduate students and professionals with the knowledge and skills needed to conduct life story interventions and/or programs with individuals, families, and groups. Students will examine different life story methods including written and oral narratives, reminiscence, life review, autobiographical memory, and guided autobiography. Two fieldwork courses provide opportunities for students to apply life story methods under the mentorship of experts in the field. Required Courses: NURS 5191 Foundations of Life Story Practice and Research, NURS 5193 Life Story Methods, NURS 5194 Seminar in Life Story Practice and Research, NURS 5190 Fieldwork I in Life Story Practice and Research, NURS 5192 Fieldwork II in Life Story Practice and Research.

Faculty Involvement

Juliette Shellman will play a key role in the development of the program working with CETL to develop the online courses. Faculty from the International Center for Life Story Innovations and Practice (ICLIP) will also play an important role in teaching and advising students in the program (<https://iclip.nursing.uconn.edu/our-team/>). ICLIP, a university approved center, is

housed within the School of Nursing. The Life Story Practice and Research Certificate Program fits well with the mission of the Center. Mission The International Center for Life Story Innovations and Practice (ICLIP) brings together researchers, educators, practitioners, students, historians, and artists from around the world to promote the health and well-being of individuals, families, and communities through written and oral narratives, personal histories, reminiscence, life review, autobiographical memory, and guided autobiographies. With the overarching goal of generating new knowledge in this emerging field, ICLIP provides a collaborative infrastructure to establish programs of research, implement educational programs, develop innovative applications in practice, and disseminate life story best practices. The Center (<https://iclip.nursing.uconn.edu/>) is a membership organization that includes life story experts from around the world as well as UConn faculty and students from other schools and departments. While the School of Nursing will provide faculty support (Juliette Shellman, Millicent Malcolm, Thomas Long) for teaching within the certificate program, ICLIP members will serve as preceptors/mentors for the Fieldwork I and Fieldwork II courses lessening the workload for UConn.

Enrollment and graduate projections

10-15.

Program Evaluation

The program will be evaluated through the following indicators: 1) Course evaluations: we will monitor course evaluations for the five courses that are part of the certificate program. 2) Certificate completion: we will monitor the percentage of participants who complete all five courses. Exit interviews will be conducted with any student withdrawing from the program to identify the reasons for the withdrawal. 3) Alumni surveys: online surveys for graduates to gather data regarding their perceptions about program strengths and areas for improvement in regard to preparing them to utilize life story approaches in research, education, and practice.

Program Administration

The program will be administered through the Graduate School and the School of Nursing. The Program Director, Juliette Shellman, will be responsible for admissions, advising and oversight. Future programmatic changes will be discussed with Associate Dean Angela Starkweather as well as other faculty involved in the program.

Funding and Financial Resources Needed

None at this time. Administrative assistance may be needed depending on enrollment.

Other Resource Needs

This is a fully online program. Initially, I will work with CETL to develop the courses.

Consultation with other potentially affected units

The School of Social Work, the Human Development and Family Sciences Department have been enthusiastically supportive of the International Center for Life Story Innovations and Practice from the beginning through faculty and student membership and collaborations in the development of the Center. It is anticipated that this certificate program will have a positive impact on other units providing more opportunities for interdisciplinary practice and research collaborations and additional course offerings for students interested in Life Story.

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

Spring 2021

Admission Requirements

Baccalaureate degree with minimum of a 3.0 GPA.

Required for application:

- Personal statement
- 1 letter of recommendation

Term(s) to which students will be admitted

- Spring

Application deadline: Unsure at this time

Initiator

Juliette Shellman, School of Nursing, juliette.shellman@uconn.edu, 860-212-4044

Program Director Name

Juliette Shellman, School of Nursing, juliette.shellman@uconn.edu, 860-212-4044


Administrative Contact Email

Juliette Shellman, School of Nursing, juliette.shellman@uconn.edu, 860-212-4044

ATTACHMENT 14

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: New Graduate Remote Sensing and Geospatial Data Analytics Certificate

RECOMMENDATION:

That the Board of Trustees approve a new graduate Remote Sensing and Geospatial Data Analytics Certificate in the College of Agriculture, Health and Natural Resources.

BACKGROUND:

Remote sensing is the science of obtaining information about objects or areas from a distance, typically from aircraft (manned or unmanned), or satellites, or ground-based sensors. Agriculture, environment, business, defense, geointelligence, disaster management, ocean resources, urban planning, and water resources are some of the critical areas where remote sensing is widely used. Remote sensing is a ubiquitous technology that has been seamlessly integrated into modern economies. Over the recent decade, remote sensing has made a radical shift from its traditional role of being the central data engine of geographical information systems (GISs) to an imagery-enabled application horizon. The global market for satellite remote sensing has been projected to reach US\$ 7 billion by 2024 in which the United States represents the largest market worldwide.

Despite the remote-sensing market growth and workforce needs, traditional GIS certificate programs overlook the criticality of remote-sensing data analytics in modern applications. The proposed certificate program will be attractive to a broader audience as it aims to resonate market trends and workforce needs. Our remote-sensing certificate program will be the first in the State and one of the few in the Nation. The proposed certificate program is designed to equip students with modern remote sensing technologies to solve real-world problems. Students will complete the certificate program with highly-valued remote sensing knowledge and technical skills. The Remote Sensing and Geospatial Data Analytics Certificate has the potential to generate a significant amount of revenue for UConn and would provide financial support for non-tenure-track faculty and Postdocs in Natural Resources and the Environment.

**Remote Sensing and Geospatial Data Analytics Certificate
Add/Create New Certificate Program**

General Information

Program Name:	Remote Sensing and Geospatial Data Analytics Certificate
Name of sponsoring College:	College of Agriculture, Health and Natural Resources
Name of sponsoring Department:	Natural Resources and the Environment
Degree Type:	Graduate Certificate
Proposed CIP Code(s):	45.0702 (Geographic Information Science and Cartography)
Campus:	Program entirely online
Program discussed with CETL?	Yes
Entrepreneurial Program approved by the Provost's Office?	Yes
Payment for the program, approved by Provost's Office:	Fee-based

Justification/need for new program:

Remote sensing is the science of obtaining information about objects or areas from a distance, typically from aircraft (manned or unmanned), or satellites, or ground-based sensors. Agriculture, environment, business, defense, geointelligence, disaster management, ocean resources, urban planning, and water resources are some of the critical areas where remote sensing is widely used. Remote sensing is a ubiquitous technology that has been seamlessly integrated into modern economies. Over the recent decade, remote sensing has made a radical shift from its traditional role of being the central data engine of geographical information systems (GISs) to an imagery-enabled application horizon. The global market for satellite remote sensing has been projected to reach US\$ 7 billion by 2024 in which the United States represents the largest market worldwide.

Unmanned aerial system technology (UAS, commonly known as drones) is an emerging branch of remote sensing. It has been projected that there is a \$100-billion market opportunity in the US for drones, which is driven by growing demand from the commercial and civil government sectors. The unprecedented growth of remote sensing – from satellites to drones – across a multitude of sectors demands a workforce equipped with an advanced skill-set tailored to generate insightful analytics from remote sensing data. Remote sensing is quickly blending with trending data science, artificial intelligence, and cloud computing domains. Employment opportunities are growing due to the increased adaptation of remote-sensing technologies in commercial and government sectors. New sectors are becoming the frontlines of remote sensing

end-users. For example, the construction and engineering sectors are projected to be the number-one user of drone technology.

Despite the remote-sensing market growth and workforce needs, traditional GIS-certificate programs overlook the criticality of remote-sensing data analytics in modern applications. The proposed certificate program will be attractive to a broader audience as it aims to resonate market trends and workforce needs. Our remote-sensing certificate program will be the first in the state and one of the few in the nation. The proposed program would potentially generate a significant amount of revenue for UConn and would provide financial support for non-tenure-track faculty and Postdocs at NRE.

Are there similar programs in CT or elsewhere?

In Connecticut there are no similar programs that are specifically tailored to remote sensing technologies and data analytics. The available certificate programs in the State are devoted to the geographical information system (GIS) technology. Those in-state institutions equipped with GIS certificate programs include UCONN, Univ. of New Haven, Eastern Connecticut State University, and Central Connecticut State University. Compared to nation-wide GIS certificate programs, there are comparatively few programs available for remote sensing. Some example institutions that offer remote sensing certificate programs include Pennsylvania State University, Texas A&M University, University of Colorado Boulder, George Mason University. In the New England region, only the Northeastern University offers a remote sensing certificate program.

What are the desired learning outcomes?

The proposed certificate program is designed to equip students with modern remote sensing technologies to solve real-world problems. Students will complete the certificate program with highly-valued remote sensing knowledge and technical skills.

Learning outcomes include:

- Understanding remote sensing sensors, platforms, data products, and processing techniques to address real-world applications.
- Applying remote sensing knowledge and skills to professional work or research questions.
- Customizing geospatial software via programming to extend its built-in functionality and to automate repetitive tasks.
- Gaining knowledge on regulatory framework on unmanned aerial systems and operations.

Program description:

The proposed certificate program primarily targets the geospatial audience consisting of professionals at all levels of government, military, geointelligence as well as engineering and

Remote Sensing and Geospatial Data Analytics Certificate

environmental consulting groups and other private organizations. The certificate program aims to provide advanced training for students currently working in this field who would like to leverage their skills in this area and acquire the latest knowledge in remote sensing technology. The certificate program requires 12 credits. Students are required to complete two required courses, and two elective courses.

Required courses are: [NRE 5525] Remote Sensing of the Environment, [NRE 5535] Remote Sensing Image Processing. Elective course are: [NRE 5215] Introduction to Geospatial Analysis with Remote Sensing, [NRE 5545] Quantitative Remote Sensing Methods, [NRE 5560] High Resolution Remote Sensing Applications of UAS and LiDAR, [NRE 5585] Python Scripting for Geospatial Analysis.

All these courses exist from a Course Catalog perspective, and NRE5585 is already an online graduate course. NRE 5535 and NRE 5545 are under development with CETL currently, and NRE5525 and NRE 5215 are soon to follow.

Proposed catalog copy:

This is an online program offered by the Department of Natural Resources and the Environment. The RSGDA program is designed for college graduates and graduate students looking to develop remote sensing knowledge and skills, and working professionals looking to enhance their skills or prepare for a graduate degree program. It takes about 12 to 18 months to complete.

Requirements: The program requires 12 credits total. Six credits come from two required courses; NRE 5525 and NRE 5535. Six additional credits are earned by selecting two of the following four courses; NRE 5215, NRE 5545, NRE 5560, or NRE 5585.

Faculty involvement:

- Jason Vokoun (Head, Dept of Natural Resources and the Environment)
- Chandi Witharana (Assistant Research Professor, Dept of Natural Resources and the Environment)
- Zhe Zhu (Assistant Professor, Dept of Natural Resources and the Environment)
- Tom Meyer (Professor, Dept of Natural Resources and the Environment)

Enrollment and graduation projections:

Enrollment (graduates):

- Spring 2021 - 5 (0)
- Fall 2021 - 10 (0)
- Spring 2022 - 15 (8)
- Fall 2022 - 20 (10)
- Spring 2023 20 (10)

Program evaluation:

Performance evaluation includes informal and formal assessments to measure and report student and program performance outcomes and impacts. Informal assessments include surveys at the beginning and end of each programmatic year with questions pertaining to students' knowledge of remote sensing and geospatial data analytics and applications; and actions taken to collaboratively apply knowledge in professional, research, and academic endeavors. These informal assessments will be used to assess if the program is suitable for students to achieve expected outcomes, and to assess the cumulative changes of the program. Success of the program will be measured in terms of changing knowledge, actions, and conditions with respect to program outcomes, as well as increased collaboration among students, faculty, and outside partners.

Formal assessments of the program will target primarily performance outcomes of progress, products, and networking. Progress metrics are time to completion of the graduate certificate and time to first employment opportunity (if the student is not employed) or change in the career level (if the student is employed). Product metrics include number of students graduated from the program, number of graduate certificates awarded to program participants, and number of students participating in one or more program courses. Networking metrics include number of partners engaged in the program and number of internship opportunities. All formal assessments will be conducted during the program. The goal for tracking students post-completion is 100% contact rate. All students will be required to maintain current contact information with the program coordinator upon completion of the certificate program.

Program administration:

The remote sensing graduate certificate will be administered by the Department of Natural Resources and the Environment, with advising and oversight provided by a program Coordinator reporting to the head of NRE. Any programmatic changes stemming from program evaluation or otherwise would be decided by the coordinator, NRE department head, and the NRE Courses and Curricula committee. Applications will be evaluated by the NRE Graduate Admissions Committee, with admission recommendations of the committee sent to the Graduate School by the Coordinator.

Funding and financial resources:

The remote sensing certificate program coordinator will be partially supported with entrepreneurial revenues generated by this program. Staffing for three courses is provided by existing tenure track faculty, the remainder will be taught by the program coordinator (non-tenure track) and post-doctoral scholars as adjuncts. The Center for Excellence in Teaching and Learning and eCampus will provide necessary technical, administrative, and online course development support.

Other resource needs:

No additional or unique resources are required for program success.

Consultations with other potentially affected units:

The proposed remote sensing certificate program compliments the under development new GIS MS program from the Dept of Geography (we have been co-planning these programs) and the campus-wide Data Science online initiative. An email confirmation of support from Geography was provided by the Department Head of Geography.

Who can apply to this program?

- Internal applicants (current UConn students enrolled in another degree or certificate program)
- External applicants (individuals who are not currently UConn students)

Anticipated term and year of first enrollment:

Spring 2021

Admissions Requirements

There are no official course requirements for admission to the remote sensing graduate certificate. A background in GIS/Remote Sensing will be helpful but is not assumed. Professional experience in related fields (e.g., Engineering, Geoscience, Geography, Environmental Science, Ecology) or academic degree in those fields are preferred for acceptable progress through the program.

Terms to which students will be admitted:

- Fall
- Spring

Anticipated application deadline:


- Rolling

Initiator, Administrative Contact, & Program Director: Chandi Witharana, Natural Resources and the Environment, chandi.witharana@uconn.edu, 860-486-8732

ATTACHMENT 15

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: New Undergraduate Major in Multidisciplinary Engineering

RECOMMENDATION:

That the Board of Trustees approve a new undergraduate major in Multidisciplinary Engineering in the School of Engineering.

BACKGROUND:

There are some important reasons to introduce this new major. It will allow UConn to have a baseline engineering degree that can be paired with partner programs from other schools and colleges across the University to create unique degree opportunities. With our recently announced Krenicki Institute between the School of Fine Arts and the School of Engineering, we were looking for creative ways to create dual programs. The General/Multidisciplinary Engineering program allows us to do that, not only with fine arts, but with other programs across the university, providing students with unique opportunities here at UConn. It also provides us a single degree program that we can use for ABET accreditation purposes, maximizing creativity and flexibility and minimizing administrative burden.

By introducing a new General/Multidisciplinary engineering major, we will eliminate Undecided Engineering as an admissions choice, while serving the same purpose – an unspecialized engineering program for students that may not have decided exactly which degree program they want to pursue upon admission. The biggest downsides to undecided engineering are that it does not have a truly defined curriculum, and it does not lead to a terminal degree. By introducing the General/Multidisciplinary engineering degree, we formalize a curriculum, as well as provide a degree path for students who truly remain undecided or want to be more of a generalist. As other engineering programs in the Northeast do not have this program, we see it as an opportunity and a differentiator that may attract new students to UConn Engineering.

University of Connecticut
Degree Program/Major Processing Form

Requester's Information:

Name (and title): Daniel D. Burkey, Associate Dean for Undergraduate Education and Diversity
Department: Engineering Dean's Office
School/College: School of Engineering
Phone: 860-486-5466
Email: daniel.burkey@uconn.edu

- If **creating a new** Degree Program/Major, please fill in the following:

Degree Program/Major Abbreviation (up to 10 characters): *ENGR*
Degree Program/Major Name (up to 30 characters) *Multidisciplinary Engineering*
Effective date of change will be *May 1 following the completing by Dec. 31 of the previous year, unless a later date is requested.*
Later Effective Date: *May 1, 2021*

- If **changing an existing** Degree Program/Major, please fill in the following:

Present Name of Degree Program/Major:
New Name:
Effective Date:

- If **inactivating** a Degree Program/Major, please fill in the following:

Present Abbreviation of Degree Program/Major:
Present Name of Degree Program/Major:
Last Admission Term:

Approval Signatures:

 _____ Department Head	<u>04/06/2020</u> Date
 _____ Dean	<u>04/06/2020</u> Date
_____ Provost's Office	_____ Date

Note: Enclose any supporting documentation regarding this request, such as meeting minutes from the School/College, indicating the approval of the requested change.

cc: Registrar
OIR

Undergrad Council Meeting
Wednesday, April 1, 2020
10:30am – 12:00pm
Virtual meeting

Attendees: A. Lozefski, A. McLaury, S. Armington, B. Schwarz, , D. Kaputa, S. Nakhmanson, B. Weber; J. Tang , I. Mandoiu, L. Ephraim, T. Maheu, D. Burkey, T. Vadas, L. Zhang; J. Pascal, W. Losapio, M. Bullock; N. Lownes; N. Delaney
Absent: K. McLaughlin, D. Ziter, M. Zoni

1) Advising Updates

- a) Summer orientation will all be virtual. The advising team is actively working on this.
- b) Can folks at department level override advisor portion in Plan of studies and final plan of studies. Seems to be dependent on department.
- c) How do we want to evaluate students transferring, specifically if they are taking classes on Pass/fail at another institution this semester? Dan will check with provost on University's perspective.

2) Undergrad Updates:

- a) General Check In – How is it Going, What are you hearing from the field?
Concerns with ABET reporting; students are overwhelmed and having a hard time adjusting; students feel they are getting extra assignments; students are disengaged because they are overwhelmed and can always go to pass/fail; faculty concerned about final exams.
- b) ABET – June 1 Supplemental Response and need to assess even though online
30 day response submitted March 18th; Supplemental is due June 1st please be sure that we stay on schedule with assessments.
- c) Design Day (see <https://undergrad.engr.uconn.edu/keep-teaching>)
Will be important to communicate to students and faculty
Students will submit a video about 5 minutes by April 24th. Website will be shared widely so student should be sure the project is explained thoroughly. We want the students to present o and authentic audience.
- d) Commencement Updates (Virtual Ceremony 5/9 – info to come; Alumn/Commencement Weekend Oct 9-11)
Students will graduate even if there is no physical ceremony
A new commencement ceremony has been launched and graduates have been reached out to.
We will have a virtual ceremony on May 9th
Possible ceremony in October during Alumni weekend
Diploma covers and diplomas will be mailed.
Can '20 graduates walk in '21 ceremony? Most likely not due to capacity
- e) Admitted Students Update (Monday April 13) - presentations throughout the week – Eng. Is scheduled for Monday, the 13th from 6-7pm. Learning Comm, International Engineering and co-ops will be treated like a department and should put together a video. Department heads want to do outreach – virtual. Sessions to be scheduled.
- f) General Education Committee Update (attached) – this will go back to senate in Spring.
- g) Apparel – email sent – requested mailing addresses for seniors or those not returning to UConn, others can pickup when campus reopens and at beginning of Fall semester.
- h) Other Business
UTA's – need choices by end of week – April 3rd.

3) C & C Items

- a) UGP Updates:

Motion: Create General Engineering Degree program

Can still be fine-tuned, won't be offered until all 2021

A general engineering with a specialized concentration

Motion: I. Mandouis

Second Motion: J.Tang

Motion passed

Motion: Eliminate Undecided Engineering as an admissions option

Those in Undecided will have to choose a major before graduating – can move to general engineering - adding this major won't affect those currently in Undecided.

Motion: B. Weber

Second Motion: I. Mandoius

Motion passed

b) BME Updates

Motion: Create a new course, BME 3630 ~~Finite Element Analysis for Design Engineers~~ Multiphysics Finite Element Analysis and add the course as a BME Elective in all four BME concentrations, Biomaterials and Tissue Engineering (BTE), Biomechanics & Mechanobiology (BMM), Systems, Imaging and Instrumentation Track (SII) and Computational and Systems Biology (CSB). CAR # 15570

Rationale: This course was taught as a BME 4985 Special Topics Course Spring 2018, Fall 2018 & Fall 2019 and will be taught again Fall 2020. The department wishes to assign a permanent catalog number to the course. In previous semesters the course has been taken by BME as well as ME students. **Course title changed to better reflect course content.**

Catalog Description

BME 3630 **Multiphysics Finite Element Analysis**

Three Credits

Graded

Prerequisite: MATH 1132Q and MATH 2410Q, or by instructors consent.

The course material emphasizes basic mathematical and physical principles underlying finite element analysis (FEA), general procedure of identifying and solving engineering problems using COMSOL Multiphysics FEA software, and interpretation of FEA results.

Biomaterial & Tissue Engineering Track

From: (<https://www.bme.uconn.edu/wp-content/uploads/2019/08/FINAL-BTE-Track-19-20.pdf>)

Biomaterial & Tissue Engineering Track – BME Electives	Credits
BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3420 - Stem Cells for Regenerative Medicine	3
BME 3520 - Developing Mobile Apps for Healthcare	3
BME 3720 - Drug Delivery	3
BME 3740 - Introduction to Microscopy and Biophotonics	3
BME 4701 - Advanced Biomaterials	3
BME 4720 - Cellular Engineering	3

To:

Biomaterial & Tissue Engineering Track – BME Electives	Credits
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BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3420 - Stem Cells for Regenerative Medicine	3
BME 3520 - Developing Mobile Apps for Healthcare	3
<i>BME 3630 – Multiphysics Finite Element Analysis</i>	<i>3</i>
BME 3720 - Drug Delivery	3
BME 3740 - Introduction to Microscopy and Biophotonics	3
BME 4701 - Advanced Biomaterials	3
BME 4720 - Cellular Engineering	3

Biomechanics & Mechanobiology Track

From: (<https://www.bme.uconn.edu/wp-content/uploads/2019/08/Final-BMM-Track-19-20.pdf>)

Biomaterial & Tissue Engineering Track – BME Electives	Credits
BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3500 - Biomedical Engineering Measurements	4
BME 3520 - Developing Mobile Apps for Healthcare	3
BME 3700 - Biomaterials	4
BME 4201 - Introduction to Medical Imaging.	3
BME 4600 - Biosolid Mechanics	3

To:

Biomaterial & Tissue Engineering Track – BME Electives	Credits
BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3500 - Biomedical Engineering Measurements	4
BME 3520 - Developing Mobile Apps for Healthcare	3
<i>BME 3630 – Multiphysics Finite Element Analysis</i>	<i>3</i>
BME 3700 - Biomaterials	4
BME 4201 - Introduction to Medical Imaging.	3
BME 4600 - Biosolid Mechanics	3

Systems, Imaging and Instrumentation Track

From: (<https://www.bme.uconn.edu/wp-content/uploads/2019/08/Final-SII-Track-19-20.pdf>)

Systems, Imaging and Instrumentation - BME Electives	Credits
BME 3100 - Physiological Modeling	3
BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3520 - Developing Mobile Apps for Healthcare	3
BME 3740 - Introduction to Microscopy and Biophotonics	3
BME 4120 - Neural Information Processing and Sensory Coding	3
BME 4300 - Physiological Control Systems	3
BME 4520 - Digital Imaging Processing	3

To:

Systems, Imaging and Instrumentation - BME Electives	Credits
BME 3100 - Physiological Modeling	3
BME 3320 - Biosensors and Nanodevices for Biomedical Applications	3
BME 3520 - Developing Mobile Apps for Healthcare	3
<i>BME 3630 – Multiphysics Finite Element Analysis</i>	<i>3</i>
BME 3740 - Introduction to Microscopy and Biophotonics	3

BME 4120 - Neural Information Processing and Sensory Coding	3
BME 4300 - Physiological Control Systems	3
BME 4520 - Digital Imaging Processing	3

Computational and Systems Biology Track

From (<https://www.bme.uconn.edu/wp-content/uploads/2019/08/Final-CSB-Track-19-20.pdf>)

Systems, Imaging and Instrumentation - BME Electives	Credits
BME 3100 - Physiological Modeling	3
BME 3520 - Developing Mobile Apps for Healthcare	3
BME 4300 - Physiological Control Systems	3
BME 4800 - Bioinformatics	3

To:

Systems, Imaging and Instrumentation - BME Electives	Credits
BME 3100 - Physiological Modeling	3
BME 3520 - Developing Mobile Apps for Healthcare	3
<i>BME 3630 – Multiphysics Finite Element Analysis</i>	<i>3</i>
BME 4300 - Physiological Control Systems	3
BME 4800 - Bioinformatics	3
BME 4720 - Cellular Engineering	3

Motion: B. Weber


Second Motion: N. Lownes

Motion passed

ATTACHMENT 16

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
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

- Change name of current Nursing Practice Graduate Certificate so that it is listed as "Post-Graduate APRN Certificate") with concentrations each reported separately: Adult Gerontology Acute Care Nurse Practitioner; Adult Gerontology Primary Care Nurse Practitioner; Family Nurse Practitioner; Neonatal Nurse Practitioner.

ATTACHMENT 17

June 23, 2020

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Centers and Institutes

The *By-Laws of the University of Connecticut*, Article XII, state that “All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University’s mission,” and that the “Provost will routinely inform the Board of Trustees ... of the establishment and discontinuation of all centers and institutes.” This document represents such notice.

BACKGROUND:

Following review and deliberation, the Academic Centers and Institutes Review Committee brought forth the following recommendations, which I support:

Established

Connecticut Advanced Computing Center (CACC)

Renewed for five-year term

Center for Applied Research in Human Development (CARHD)

Center for Clean Energy Engineering (C2E2)

Center for the Ecological Study of Perception and Action (CESPA)

Center for Education Policy Analysis (CEPA)

Center for Judaic Studies and Contemporary Jewish Life

Connecticut Institute for Resilience and Climate Adaptation (CIRCA)

Connecticut Institute of Water Resources (CTIWR)

Institute for Systems Genomics (ISG)

Institute of Materials Science (IMS)

Kildsig Center for Pharmaceutical Processing Research (CPPR)

Renzulli Center for Creativity, Gifted Education, and Talent Development

Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis (CAMMA)

Renewed for two-year term

Center for the Study of Culture, Health, and Human Development (CHHD)

Granted one-year extension

Reading-Language Arts Center

Mission statements for established and renewed Centers and Institutes are available on the following pages.

Established

Connecticut Advanced Computing Center

The mission is to bring under one umbrella entity within the School of Engineering the advanced computing capabilities of the Booth Engineering Center for Advanced Technology (BECAT) and the Connecticut Cybersecurity Center (C³). The latter center incorporates the Center for Voting Technology Research, the Center for Hardware and Embedded Systems Security and Trust (CHEST, formerly the Center for Hardware Assurance, Security, and Engineering, CHASE), the Comcast Center of Excellence for Security Innovation (CSI), and the Synchrony Financial Center for Cybersecurity (SYF). CACC is envisaged as a rebranding of BECAT, newly incorporating C³.

Renewed

Center for Advanced Microscopy and Materials Analysis

The mission is to provide faculty expertise, state-of-the-art laboratories and specialized equipment to enhance commercialization of new products and high-paying jobs for the State of Connecticut.

Center for Applied Research in Human Development

The Center enables the development and application of interventions intended to improve quality of life for individuals, families, and communities. In particular, to improve outcomes for sociodemographically marginalized populations by informing and evaluating interventions intended for public benefit. To provide assistance to state and community-based agencies in the development, delivery, and evaluation of human service programs. The collaboration with state and community-based agencies is intended to facilitate the development of high quality program evaluations.

Center for Clean Energy Engineering

To provide an umbrella and platform for developing and validating advanced energy systems concepts and cost effective engineering and demonstration of the long term operation and reliability. The Center for Clean Energy Engineering further serves as a nexus for the development to deployment activities involving fundamental and applied research in clean and efficient energy systems (from energy conversion and distributed generation technologies to utilization of fossil and non-fossil fuels to power distribution and management) utilizing foundational knowledge in the field of materials science, systems engineering, computational analysis, large scale demonstration and testing as well as training of 21st century scientists and engineers.

Center for Ecological Study of Perception and Action

The Center's mission is to understand perceiving, acting, and knowing as the natural-law consequences of self-organizing systems embedded in rich ecosystems.

Center for Education Policy Analysis

To inform educational leaders and policymakers on issues related to the development, implementation and consequences of education policies. The Center for Education Policy Analysis examines policies through multiple perspectives, paying particular attention to the impact of policies on social justice and educational equity across P-20 educational settings.

Center for Judaic Studies and Contemporary Jewish Life

The mission is to foster research and scholarship in Judaic Studies, enrich undergraduate and graduate education in Judaic Studies as part of a general liberal arts education, and provide resources for continuing education and community service. The program objective is the pursuit of empirical, historical, literary, philosophical, and theoretical approaches to the field of Judaic Studies through creative scholarship, undergraduate and graduate courses, scholarly lectures, and community events. The Center seeks to promote the academic and scholarly study of Jewish history, culture, and civilization in recognition of the need to bring that study to a general audience. Center activities are open to all persons, regardless of religious or ethnic background.

Center for Pharmaceutical Processing Research

The Center is an industry/university research center focusing on new technology for pharmaceutical processing, to foster collaborative research projects between industrial and academic scientists, and to promote an interdisciplinary approach to training students in pharmaceutical process research and development.

Center for the Study of Culture, Health and Human Development

The Center was established to promote interdisciplinary scientific collaboration, training, and outreach related to human development and health in cultural context.

Connecticut Institute for Resilience and Climate Adaptation

The mission is to increase the resilience and sustainability of vulnerable communities along Connecticut's coast and inland waterways to the growing impacts of climate change on the natural, built, and human environment.

Connecticut Institute of Water Resources

The mission is to collaborate with and serve all colleges and universities in the state to resolve state and regional water related problems and provide a strong connection between water resource managers and the academic community, in addition to sharing the results of water resources research and other information with the general public.

Institute for Systems Genomics

The Institute's mission is to integrate genomics research and education across The Jackson Laboratory and UConn campuses as well as affiliated teaching hospitals. The advantages of joining the ISG include participation in seed/pilot grant programs, in the ISG-affiliated Ph.D. program, in networking events and in the implementation of the UConn academic plan in genetics, genomics and personalized medicine. In addition, ISG members may have preferred access to certain core facilities and the opportunity to sponsor/invite speakers for joint ISG/UConn/JAX seminars.

Institute of Materials Science

The Institute was established in 1965 by the Connecticut General Assembly to maintain an advanced materials research center, provide superior graduate research education in the interdisciplinary fields of materials science and engineering, and provide materials-related technical outreach to Connecticut's industries.

Renzulli Center for Creativity, Gifted Education, and Talent Development

The Center is one of the leading national and international centers in the area of gifted education and talent development. For over four decades, the faculty at the Center has conducted research and been involved in training and professional development that has influenced policy and practice on creativity, talent development, and gifted education across the country and the world.

April 24, 2020

Dr. Ugur Pasaogullari
Center for Clean Energy Engineering
Unit 3139

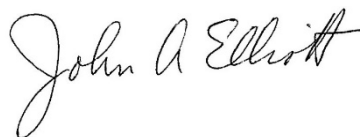
Dear Dr. Pasaogullari,

The Center for Clean Energy Engineering (C2E2) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Clean Energy Engineering will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Clean Energy Engineering. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**Center for Clean Energy Engineering (C2E2)
2019-2020 University Centers/Institutes Review Committee**

Mission/Criteria:

The mission of the Center for Clean Energy Engineering (C2E2) is to be recognized for world class education, research and training of scientists and engineers; for innovations in transforming “Science to Systems”; enabling industries and organizations in developing cost effective solutions for multi-disciplinary problems in a timely manner; and for providing guidance and leadership in solving global societal issues ranging from sustainable energy to environment. The Center focuses on basic and applied research, provides educational opportunities and training for campus, industry, and outreach audiences, and has dedicated research facilities. Components of these services include: consultations, advocacy, education, research, athlete testing, and mass-market outreach. The center launched in 2002 under a different name has been C2E2 since 2009. The center has an advisory board consisting of representatives from industry, government, and UConn. Directors during the self-study period were Prabhakar Singh (2009-2017) and Ugur Pasaogullari (2017-present).

Staff/Budget:

C2E2 had an operating budget of \$506,482 over the 2015-2019 period which was split between the School of Engineering, VPR Office (IDC Return), and the Provost’s office. Incoming external funding over the 2015-19 period averaged >\$4 million per year from a variety of (mostly) federal and industry sources. The center supports 9 staff members and includes 18 core faculty and 17 affiliated faculty all from the School of Engineering.

Contributions/Accomplishments:

- 1) External funding awarded 2015-2019: \$29,143,820
- 2) 333 journal articles and 138 conference proceedings between 2015 and 2019
- 3) Hosted 5 regional/national workshops
- 4) Developed new interdisciplinary MS program with initial funding from DOE: Master of Science in Advanced Manufacturing for Energy Systems (AMES)
- 5) Initiated Summer Undergraduate Fellowship in Energy with funding from VPR and SOE.
- 6) Conducted outreach to school-age students, industry groups, and government including hosting State Reps in 2015.
- 7) Expanded and maintained research facilities in 3 locations including space in New Engineering Science Building.

Strategic Plan and Goals/Challenges:

Strategic goals stated for the next 5 years include: 1) increasing in visibility, size, and research productivity, 2) increasing collaboration, and 3) improving interaction with stakeholders.

The center will undergo a strategic planning process in 2020 with a focus on better identifying and engaging with stakeholders both internal and external to the university. Faculty-led working groups will focus on growth opportunities to help meet goal #1 above.

The center will focus on fostering a nationwide network of energy centers that will also engage energy-focused centers at UConn. The center will continue in a similar direction thematically with some expansion noted into energy storage and deployment of renewables.

Recommendations:

The center has been highly and consistently successful over the past several years in terms of scholarly output, external research funding, training, and outreach.

The University Center/Institute Review Committee recommends a 5-year approval with review scheduled for 2024. In the next self-study, the following points should be considered:

- Document increased interdisciplinarity including integration with other energy-focused C/Is at UConn (EEC, Fraunhofer, IOE, etc.) and increasing the number of faculty from outside the SOE engaged as either core or affiliate faculty
- Clarification of the roles and activities of 1) staff, 2) “core” faculty, and 3) “affiliated” faculty.
- Identification of how scholarship, funding, and related accomplishments are uniquely attributable to C2E2 activities/projects.
- Outcomes of Strategic Planning process mentioned in the self-study.

May 11, 2020

Dr. John A. Chandy
Dr. Laurent Michel
Connecticut Advanced Computing Center
Unit 3237

Dear Drs. Chandy and Michel,

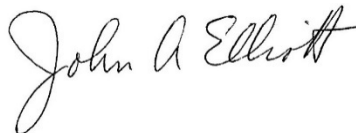
The proposal to create the Connecticut Advanced Computing Center (CACC) through the rebranding of the Booth Engineering Center for Advanced Technology (BECAT) and incorporation of the Connecticut Cybersecurity Center (C³) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Connecticut Advanced Computing Center has been approved with renewal scheduled for a three-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee. We look forward to learning how these recommendations have been instituted in your next self-study report.

Furthermore, as a result of the merger, the following centers will cease to function as independent entities, serving instead as sub-centers within CACC. They are as follows: Connecticut Cybersecurity Center (C³); Center of Hardware and Embedded Systems Security and Trust (CHEST formerly CHASE); Comcast Center of Excellence in Cybersecurity (CSI); Center for Voting Technology Research; Synchrony Financial Center for Cybersecurity (SYF).

Please accept our thanks and congratulations for the many fine accomplishments of the two centers now merged into one. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

cc: Jeannette Burke, Administrative Assistant
Benjamin Fuller, Associate Director
Omer Khan, Associate Director

Connecticut Advanced Computing Center (CACC)
2019-2020 C/I Review of Proposed Merger of BECAT and C³

Mission/Criteria: CACC's mission is to bring under one umbrella entity within the School of Engineering the advanced computing capabilities of the Booth Engineering Center for Advanced Technology (BECAT) and the Connecticut Cybersecurity Center (C³). The latter center incorporates the Center for Voting Technology Research, the Center for Hardware and Embedded Systems Security and Trust (CHEST, formerly the Center for Hardware Assurance, Security, and Engineering (CHASE), the Comcast Center of Excellence for Security Innovation (CSI), and the Synchrony Financial Center for Cybersecurity (SYF). CACC is envisaged as a rebranding of BECAT, newly incorporating C³.

Staff/Budget: Professors John Chandy and Laurent Michel will co-direct CACC, with a budget of approximately \$200K per year. Jeannette Burke, the current admin for C³, will be the admin for the new CACC center. This budget will support the current CSI Assistant Jeannette Burke, a postdoc researcher, two graduate students, and summer salary for the CACC directors.

Funding: Funding is split between the School of Engineering (IDCs: \$100K per year) and income from CHEST (\$100K per year). Dr. Bollas, current director of BECAT, and the co-directors have agreed to transfer any remaining funds in BECAT to CACC and IASE proportionally with respect to faculty contributions. Any revenue that the subcenters generate through grants and contracts will be retained within the subcenter to support the activities delineated by the grant or contract. However, all indirect costs from these activities will flow the parent CACC center to support common services such as administrative and technical staff, computing and test equipment, and grant writing services. A supportive letters is provided by Dr. Bollas, who has agreed to the conditions described above and will step down as director of BECAT once the merger is complete.

Strategic Plan and Goals/Challenges: A merger of the currently separate entities is sensible, as evidenced by the governance structure of each: Professors Chandy and Michel direct or co-direct C³, CHEST, CSI, and SYF. A transition plan is presented regarding how existing infrastructures, such as admin support in BECAT, will be transferred to CACC, and how technical requirements due to the merger (e.g. website reorganization) will be managed. CACC will take over the BECAT website and forward it to the new CACC website. Current CACC technical staff will manage the website reorganization. The organizational chart is presented. Day-to-day management of the center will be conducted by the co-directors John Chandy and Laurent Michel with the assistance of Ben Fuller and Omer Khan. The executive committee is comprised of the Dean of School of Engineering (Kazem Kazerounian) and the Senior Associate Dean of School of Engineering (Michael Accorsi). The executive committee will provide overall guidance and governance and will meet with the co-directors on a regular basis.

A self-evaluation plan is also included, which will focus on the following areas: 1) the extent to which CACC faculty provides high quality outcomes that enhance the university's reputation; 2) CACC's impact on industry and government practices and activities; and 3) the extent to which external communities are reached. The metrics of assessment build on prior activities and will help guide the evaluation post-merger.

Recommendations:

The University Center/Institute Review Committee recommends approval of the BECAT and C³ merger to create the **Connecticut Advanced Computing Center (CACC)**, with a re-evaluation after three years (2023). For the next review, the Committee highly recommends articulation of specific, measurable annual goals/outcomes and resources required to produce the outcomes over this period of time, as well as a 5-year plan that builds on post-merger activities to guide the strategic goals and activities of the CACC.

April 24, 2020

Dr. Steven L. Suib
Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis
Unit 3136

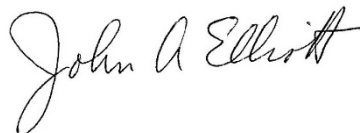
Dear Dr. Suib,

The Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis (CAMMA) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Advanced Microscopy and Materials Analysis will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Advanced Microscopy and Materials Analysis. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**UConn Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis
(CAMMA)
2019-2020 University Centers/Institutes Review Committee**

Mission/Criteria: The UConn Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis (CAMMA) is to promote state-of-the-art electron microscopy research endeavors. CAMMA oversees operations, technical training and oversight of nine instruments housed in the Innovation Partnership Building (IPB) and manages service agreements through Institute for Materials Science (IMS), which is responsible for billing, setting charges, maintenance, training of users, and operation of the facilities.

Staff/Budget: Dr. Steven L. Suib, Board of Trustees Distinguished Professor, Department of Chemistry, has been serving as Director of CAMMA since 2015. There are 3 academic assistants supported by CAMMA. The role descriptions of the director and staff are provided under CAMMA Operations. There are 72 supervisory users with 332 group member users of CAMMA over the past 5 years representing a diverse array of departments across UConn including Anthropology, Biology, Chemistry, Engineering, and Physics. Thermo Fisher funds selected projects and is committed to do so for another 2 years. In addition, a Memorandum of Understanding was initiated with Pratt and Whitney to station Pratt researchers at UConn and fund the use of the instruments, training and supplies used.

Funding: The Operative Budget of CAMMA was \$640,000 in FY2020. User fees were established to cover costs of maintenance, repair and purchase of expendables for the CAMMA facility.

Accomplishments: The first 5 years of operation were focused on setting up the laboratory and microscopes, establishing a fee-for-service model and growing the number of users. During this time, a Fellowship program was established and now supports 5 students per year. In addition, six new faculty positions have been filled with researchers who are experts in electron microscopy. Faculty users have published 40 peer-reviewed manuscripts based on work conducted at CAMMA and many scholarly contributions are noted by CAMMA faculty. In addition, over 30 patent applications have been submitted or issued from work generated by the CAMMA instruments. Numerous research projects have developed due to the existence of CAMMA, with partnerships between UConn and industry (Thermo Fisher, Pratt & Whitney) and visiting researchers from other academic institutions including Yale, Wesleyan, and UMass. The FEI company awarded \$50K each year for 5 years to support student scholarships and \$2M to support 4 UConn research projects.

Strategic Plan and Goals/Challenges: The CTIWR has set the following goals for the next 5 years:

1. Continue providing seed funding opportunities for groups of faculty members to use CAMMA to develop new multi-investigator research areas that will lead to major funding.

2. Developing stronger relationships with Thermo Fisher Scientific researchers, other industrial researchers, and continued collaborations with other Centers and Institutes.
3. Promoting CAMMA to external partners in order to increase usage and revenue flow for maintenance of equipment.

Recommendations:

CAMMA was established to provide state-of-the-art equipment and training for research using electron microscopy. Over the past 5 years, CAMMA has become a foundational resource for faculty and student training, multiple research grants and patents. Based on the 5-year self-report the University Center/Institute Review Committee recommends another 5-year approval with the next self-report due in 2024. Specific recommendations that should be considered include:

1. With the goal of becoming a self-sustaining unit, affiliate faculty responsibilities for grant submissions or contracts that use CAMMA resources should be a priority. This could be facilitated by developing an itemized budget template that incorporates maintenance and service fees. Grants submitted (funded and unfunded) would be a useful metric to report on the next self-study. In addition, indirect revenue streams from federally-funded grants that are primarily based on CAMMA resources could be negotiated with the dean to provide maintenance support.
2. A budget that includes service contracts, personnel costs, upgrades, and repairs would be useful to determine projected expenses and required revenue to make more strategic decisions and provide constituents with more concrete fundraising goals.
3. Planning for the next five years would be enhanced by articulating measurable goals with activities to achieve the goals and who will be responsible to carry them out. This could serve as a template for Center meetings and activities and provide affiliate faculty with a better sense of how they can contribute to the Center's mission.

April 24, 2020

Dr. Beth Russell
Center for Applied Research in Human Development
Unit 1058

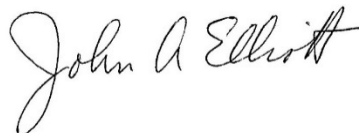
Dear Dr. Russell,

The Center for Applied Research in Human Development (CARHD) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Applied Research in Human Development will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Applied Research in Human Development. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**Center for Applied Research in Human Development
2019-2020 University Centers/Institutes Review Committee**

Mission/Criteria: The primary mission of the Center for Applied Research in Human Development is to provide assistance to state and community-based agencies in the development, delivery, and evaluation of human service programs. CARHD's primary focus is on promoting high quality human service programming and evaluation for programs that promote child, youth, and family development. Recent advances in theory and research are applied in the planning and implementation of all Center initiatives. These foci are separate from the academic mission of the department as a whole but complement the academic, research, and scholarship/service mission of the department, particularly through faculty and student research-practice partnerships with external agencies.

Staff/Budget: Beth Russell, Associate Professor of Human Development and Family Sciences, has been serving as Director of the CARDHD since 2018. There are 5 core faculty from HDFS and 12 affiliated faculty across different units with approximately 30 student members. There does not appear to be any dedicated staff support for CARHD.

Funding: In FY2013-2017, the Center has generated over \$335,000 per year in external funding, although FY18 and FY19 are not listed. Additional revenue has been accrued through over 20 fee-for-service contracts over the past 5 years. Five external grants have been awarded as well to support projects.

Accomplishments: The Center has dispersed \$2,392,856 from 2013-present on projects related to its mission. Center faculty have published 8 peer-reviewed articles and composed 60 reports over the last 5 years. Additional recognition of the Center has been through invited presentations and over 25 national and international presentations by Center faculty and students. Awards and other contributions to the University are noted, although it is unclear whether these activities are individual faculty accomplishments versus supported by the Center as part of the mission.

Strategic Plan and Goals/Challenges: By December 2020 the Center will

- (1) recruit faculty affiliates, identify Core Faculty members and establish a steering/advisory committee;
- (2) create an annual report template;
- (3) create a key finding infographic template;
- (4) develop a sustainable research-practice partnerships resource;
- (5) finalize website updates; and
- (6) develop sustainable resource and staffing plan.

Long-term goals are set to:

- (1) formalize and align CARHD policy with department and college standards;
- (2) increase faculty and graduate student affiliates and recognize community partners as community affiliates; and
- (3) promote CARHD project scholarship.

Recommendations:

The CARHD has played an instrumental role in leading service-research partnerships between the University and local/state/federal-based agencies and programs and in promoting opportunities for faculty and students to be involved in the development, delivery, and evaluation of human service programs. The goals of the CARHD were met over the past 5 year cycle and the University Center/Institute Review Committee recommends a 5 year approval with review scheduled for 2024. In the next self-study, the following points should be considered:

1. Clarification of the roles and activities of core faculty, affiliated faculty and students.
2. Document reliable sources of revenue that can support Center infrastructure and staff support, such as the certificate course or Parent Education program.
3. Ensure that a Strategic Planning process is used to develop measurable goals, steps, and resources required to achieve the goals, and person/people responsible to carry them out, to document the success of the Center.

April 24, 2020

Dr. Avinoam Patt
Center for Judaic Studies and Contemporary Jewish Life
Unit 1205

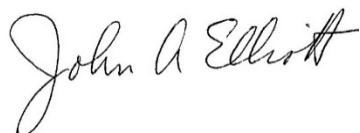
Dear Dr. Patt,

The Center for Judaic Studies and Contemporary Jewish Life was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Judaic Studies and Contemporary Jewish Life will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Judaic Studies and Contemporary Jewish Life. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**Center for Judaic Studies and Contemporary Jewish Life
2019-2020 University Center/Institute Committee Review**

Reviewers: I. Valla and S. Chafouleas

Mission/Criteria: The mission of the Center for Judaic Studies and Contemporary Jewish Life is to foster research and scholarship in Judaic Studies; to enrich undergraduate and graduate education in the liberal arts by providing opportunities for students to study for the B.A., M.A. and PhD degrees in Judaic Studies; and to provide resources for continuing education and community service. During the last five years the Center has worked to expand its potential impact and reach to a broader audience of students and changed its mission. New coursework has been added and an expanded program of community outreach and engagement was developed to enhance teaching, research and service associated with the Judaic Studies. Collaboration with the Office of Global Affairs to develop innovative new programs in Israel has been successful in stimulating faculty research and enhancing learning opportunities for students.

Staff/Budget/Funds: The newly hired Associate Professor Avinoam Patt serves as the Director of the center which counts 7 core faculty, 23 affiliated faculty and 7 staff members. The faculty members come from various departments, including History LCL, Digital Media and Design etc. which meets the Center's requirements. The budget of the center between 2015 to 2020 is \$266,745.67 and it is funded by the College of Liberal Arts and Sciences and supported by the Doris and Simon Konover Chair in Judaic Studies.

Goals/Accomplishments: Over the last 5 years the goals of the Center for Judaic Studies and Contemporary Jewish Life were:

1. Enhance learning opportunities through new and innovative coursework on campus for both undergraduate and graduate students. The HEJS was approved in the 2017-18 year. New courses have been added and two more are expected to be added through course development grant competition. The enrollment of the students has increased from 154 in Fall 2015 to 199 in Spring 2020. The graduate program for MA and PhD in Judaic Studies is also strong because HEJS is situated within LCL. The Center and the LCL offer teaching and research assistantship to the grad students as well as resources including an estate gift by the late Stephen Cohen and the Cohen Henes Scholarship Fund in Judaic Studies and the Fund for the Enhancement of Judaic Studies. Moreover the Center took the following actions to enhance the graduate program: a) use of Foundation funds to support faculty and students travel to Israel, 2) work with the Office of Global Affairs to develop new programs, 3) work with El Instituto and the Office of Global Affairs to promote a new study abroad program, 4) continued preparations to launch a new degree program in Hebrew and Judaic Studies and majors in School of Engineering and School of Business. 5) explore the creation of a Holocaust and genocide studies certificate to train teachers in the state.
2. Campus programming: The Center has a robust series of programs which support undergraduate coursework, benefit graduate students, contribute to the scholarly

community on campus and provide adult learning opportunities. The Center also sponsor annual events to commemorate the victims of the Nazi genocide through a variety of events focused on the Shoah.

3. Community outreach. In the summer of 2015 the Center launched the Judaic Road Show, a program to bring our faculty out into the community, which was very successful. In collaborative partnership with the Charter Oak Cultural Center, the Center organized and attracted more people in events such as the Jewish Plays Project and multiple concerts. Community activities were also developed in the Stamford branch of the Center, which was very important taking into account the fact that there is not Jewish student organization at UConn Stamford. The new initiatives in the Greater Hartford area include: a) ALEPH: the Institute of Jewish Ideas, 2) The Jewish Hartford: European Roots.
 4. International programs and partnerships. The programs include; a) UConn Education Abroad in Israel, where the Center awards travel stipends to students who travel to Israel, b) Summer Brain and Behavior in Tel Aviv and c) Summer Entrepreneurship and Innovation Program. Exchange programs are also offered to students.
- The Center has also invited and hosted various scholars.

Goals for the next five years: The Center will focus on: a) Expanding undergraduate enrollments and increasing the number of majors/minors in the program, by offering combination of large enrollment classes that fill General Education requirements, and developing new coursework that explores interdisciplinary connections, promotes conversations among diverse group of students and challenges conventional thinking. The Center will also explore new programs (American Jewish Studies for Israelis, Jewish Life and Culture in Europe, Holocaust and genocide education certificate) and will work with the UConn Foundation to raise money for scholarships. b) Building the graduate program through offering new graduate level courses in collaboration with other departments, while recruiting PhD students in disciplines associated with Judaic Studies. The hiring of the new director, an expert in Modern Jewish History and Holocaust Studies, with broader scholarly engagement in the fields of Modern and American Jewish History, Holocaust Studies, Israel Studies, and Jewish Literature will help the Center towards recruiting more grad students to the program. c) Supporting and developing innovative scholarship among faculty in Judaic Studies and d) offering high-level community-oriented programming, which will translate into donor support for long-term Judaic Studies-related initiatives. The Center will continue to work with partners to turn UConn into the state leader in advancing Holocaust and genocide education workshops.

Recommendations:

The Center is very focused with clear directions and priorities in education, scholarly accomplishments, and outreach. All of which are very reasonable. The committee highly recommends that the Center establish clear metrics and a rigorous assessment plan for itself. The goals of the Center are very well defined, but the progress towards these goals is not clearly measured. How many publications, conferences, workshops took place in the previous 5 years cycle of the Center compared to the currently reviewed (2015 – 2020) cycle? The Center should have also clearly stated in their report what were the concerns/recommendations from their

previous report cycle and whether it had addressed these concerns or not. In the next report the Center is highly encouraged to provide clear measures and assessments of the goals and the progress. This way the committee will have a clearer understanding of the progress and will better assess and give feedback on the viability of the Center.

April 24, 2020

Dr. Morgaen L. Donaldson
Center for Education Policy Analysis
Unit 3093

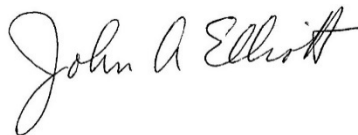
Dear Dr. Donaldson,

The Center for Education Policy Analysis (CEPA) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Education Policy Analysis will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Education Policy Analysis. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**Center for Education Policy Analysis
2019-2020 University Center/Institute Committee Review**

Reviewers: I. Valla and M. Hussein

Mission/Criteria: The mission of the Center for Education Policy Analysis (CEPA) is to inform educational and public policy leaders about the development, analysis and implementation of educational policies. CEPA examines policies through multiple perspectives paying particulate attention to the impact of policies on social justice and educational equity in P-20 educational settings. The Center's role is to serve as a hub of learning regarding education policy matters for UCONN faculty and students and provide learning opportunities for policymakers and education professionals in the state. The goals of CEPA during the last 5 years were to: 1) conduct original research on educational policy issues, 2) Analyze (a) existing policy initiatives to determine their impact and (b) pending proposals to delineate potential outcomes, 3) provide technical assistance to states, educational organizations and educational leaders that inform policy options and provides useful information on state and federal policy initiatives, 4) disseminate information to educational and public policy leaders about the consequences of various educational policies and 5) propose new or revised policies that have the potential to help educational leaders address education problems and issues.

Staff/Budget/Funds: Dr Morgaen L. Donaldson is serving as the Director of CEPA. The Center has 17 more core faculty, 5 affiliated faculty and 2 staff members. The core faculty are involved in planning events and participate in short term and long-term planning meetings. Affiliated faculty are regularly involved in these activities and sometimes help to organize these events. The budget of the Center for the last 5 years were \$701,794. The funds were distributed to faculty, post doc, staff and GA. The post doc funds were provided by the Director of CEPA Dr. Donaldson, while all the other funds were provided by the Neag School of Education.

Accomplishments: Over the last 5 years CEPA has engaged in five major initiatives tied to goals laid out in 2015. The first Goal was to serve as a Nexus for education policy research campus and statewide. To achieve this goal the Center has initiated the CEPA Speaker Series and they created opportunities to develop the next generation of education policy researchers. For the later, CEPA launched the CEPA Policy Brief Series through which a small number of students were selected to write policy briefs and were mentored through the process. The second Goal was to increase publications and research productivity. The Centers exceeded their benchmark for this goal. CEPA faculty have published a high number of papers and have received over \$11M in grants far surpassing their benchmark. The third Goal of CEPA was to strengthen the connections with state policymakers and educational leaders. The Center has developed many more than 10 partnerships including the Connecticut State Department of Educations, the Connecticut Association for Boards of Education, the Queen Rania Teacher Academy, the Hartford Educational Research Consortium the Connecticut Technical High Schools and the Connecticut Association of Public School Superintendents, the Bridgeport Public Schools and more. The fourth Goal was to establish a stronger national presence in key areas of educational policy. CEPA has created and maintained s social media presence both state

and nationwide, however the Center has not hold a national conference yet (although the goal was to hold two national conferences). Lastly, the fifth Goal was to expand the core and affiliated faculty by 10%. CEPA has not been able to increase the number of faculty members (core or affiliated) due to attrition issues. However, they have been able to attract faculty from other departments, outside the Neag School.

Strategic Plan and Goals/Challenges for the next five years: The CEPA has set the following goals for the next 5 years:

1. Continue to serve as a Nexus for education policy research campus wide and expand reach statewide. CEPA will target three campus wide events per year and one statewide event every two years, on average
2. Increase publications and grant productivity. CEPA will target at least four applied research products per core faculty member per year, a minimum of \$10M in submitted proposals and will generate a substantial number of website hits assessing research products.
3. Strengthen connections with state policymakers and educational leaders. CEPA is targeting a minimum of 10 partners seeking research partnerships.
4. Establish a stronger national presence in key areas of education policy. Monthly social media interactions and at least one conference in the next five years.
5. Expand core and affiliated faculty. CEPA will target to increase the core or affiliated faculty members by 10% and triple the number of CEPA outside the School of Education.

The Center recognizes the many opportunities, but also the threats and challenges for the next five years of the life of CEPA. Specifically, one of CEPA's strengths is the many research and proposal writing collaborations with the Connecticut State Department of Education and with state-level professional organizations. Another big opportunity lies on possibility moving CEPA from Neag's Department of Education Leadership, to the Neag Scholl as a whole. Such as move will expand CEPA's opportunities for collaborations within and outside of the state.

One of the biggest concerns is the difficult of the Center to retain its faculty. The last 2 -3 years the Center has lost some of the most productive faculty to other universities with more resources for education. The Center claims that the university has not filled the lost positions yet and this is a serious threat. Another big challenge is the lack of funding to incentivize faculty involvement.

Recommendations:

Grant productivity has been a great success for CEPA for the last five years. Collaborations with various organizations have also been instrumental to the success of the Center and one of its major strengths. However, it is apparent that faculty retention and lack of resources is a challenge. Based on the 5-year self-report the University Center/Institute Review Committee recommends another 5-year approval with the next self-report due in 2024. Specific recommendations that should be considered include:

1. As stated in the review, the Center should increase its resources to the faculty and should incentivize faculty and students. The opportunity to move the Center directly under the Neag School of Education should be leveraged here. The Center should engage the

School for funding resources. It is unclear from the report why the funds from the Neag School have been reduced to such extent over the years.

2. It is also highly recommended for the Center to achieve the goal of developing a National conference in the next five years. It is very encouraging that the Center has developed and strengthened the connections with state organizations. However, it is important for the Center to increase its visibility to faculty and organizations nation-wide.
3. Working directly with the Office of Vice President for Research to secure funds for resources from workshops and conferences in state and nation level might also help.

April 24, 2020

Dr. James A. Dixon
Center for the Ecological Study of Perception and Action
Unit 1020

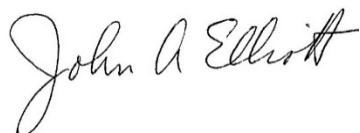
Dear Dr. Dixon,

The Center for the Ecological Study of Perception and Action (CESPA) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for the Ecological Study of Perception and Action will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for the Ecological Study of Perception and Action. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

Center for the Ecological Study of Perception & Action (CESPA)

2019-2020 University Centers/Institutes Committee Review

Reviewers: Mohamed Hussein and Robert Fahey

Mission and Goals: The mission of the Center is to promote research on perceiving, acting, and knowing as the natural-law consequences of self-organizing systems embedded in rich ecosystems.

The Center's goals include: 1. Strive to keep the science moving forward. 2. Work to expand the scope of ecological science by extending ideas into new domain. 3. Seek new opportunities for graduate students such as collaboration with an external scientist, a corporate or paid internship.

Staff:

Professor James A. Dixon, Director

No dedicated administrative staff. The Department of Psychological Sciences provide administrative assistance with grants. Graduate students help organize social and intellectual events. The center does not appear to have an advisory board either internal or external to UConn.

Core Faculty:

James A. Dixon, Director, Professor of Psychological Sciences [Perception, Action, Cognition: Ecological]

Steven Harrison, Assistant Professor of Kinesiology

Alexandra Paxton, Assistant Professor of Psychological Sciences [Perception, Action, Cognition: Ecological]

Till D. Frank, Associate Professor of Psychological Sciences [Perception, Action, Cognition: Ecological]

Tehran J. Davis, Assistant Professor of Psychological Sciences [Perception, Action, Cognition: Ecological] (now at University of Cincinnati)

Dilip Kondepudi, Professor of Chemistry (Wake Forest University)

Bruce A. Kay, Research Scientist

Jeffrey Kinsella-Shaw, Associate Professor of Kinesiology, Head of Physical Therapy Program

Kerry Marsh, Professor of Psychological Sciences [Social]

Adam Sheya, Assistant Professor of Psychological Sciences [Developmental]

Edward Large, Professor of Psychological Sciences [Perception, Action, Cognition: Language & Cognition]

Affiliated Faculty:

James F. Rusling, Professor of Chemistry

Sudha Srinivasan, Assistant Professor of Kinesiology

Dimitris Xygalatas, Assistant Professor of Anthropology

Bert Hodges, Professor of Psychology (Gordon College)

Maurici Lopez Felip, Senior Scientist (Futbol Club Barcelona)

Emeriti: Claudia Carello, Professor Emerita of Psychological Sciences

Budget: No regular budget. Depends on research grants. Over the 5 years had 13 grants with total funding of \$1,401,947. Also receives an annual donation by anonymous donor of \$10,000.

Contributions of the Center:

Research: The Center's research is in three areas; 1. Research on Perception and action, 2. Research on self-organizing Physical systems and 3. Research on Collective Behavior and Impersonal Dynamic. In the three areas the Center collaborates with partners including the military, firefighters, corporations, the NSF and private foundations. The Center has published a 117 publications including 2 authored and 2 edited books.

20 graduate students trained over past 5 years, including award of 8 PhDs.

The Center has two endowed faculty positions and in the process of establishing a graduate endowed fellowship.

Three annual conferences organized, weekly workshops, and large volume of visiting scholars.

Challenges and Strategic Plans for the Next Five Years:

Considering the current interest of the faculty, the Center plans to focus on collective behavior and interpersonal dynamics research.

The Center will also continue to push on the core ideas of self-organization in living and non-living systems

A strength of the Center is the makeup of the faculty with five assistant professors and a group of senior professors with international reputation and considerable experience. However, the Center has to plan for retirement of a leading faculty member and the prospect of losing the emeriti faculty.

The Center will continue to develop the corporate partnerships into stable and reliable sources of funding and graduate students training.

The Center hopes to generate funding from the corporate partners to pay the University for overhead.

The Center leadership certainly view interdisciplinarity as a strong feature of CESP and repeatedly indicate the link to natural sciences as an important feature of the work. However, there is only one UConn faculty member outside Psychology/Kinesiology listed among the either the core or affiliated faculty. More effort to expand the affiliated faculty to (or at least engage with) researchers from the natural sciences (biology, physics, ecology, etc.) would seem to be of great potential value going forward.

Recommendation: The University Centers/Institutes Review Committee recognizes the contributions of CESP in terms of education, research, outreach, and funding generation. The self-study indicates a high level of productivity and strong likelihood of continued success. However, there is a lack of specific attainable goals presented in the self-study that could indicate success at the next review period.

The University Center/Institute Review Committee recommends a 5-year approval with review scheduled for 2024. In the next self-study, the following points should be considered:

- Include specific and attainable goals that are likely to be met prior to the next self-study
- Document increased interdisciplinarity including integration with other academic units in the natural sciences and increasing the number of faculty engaged as either core or affiliate faculty
- Identification of scholarship, funding, and related accomplishments as center activities rather than collected multiple times as accomplishments of individual faculty.

April 24, 2020

Dr. Sara Harkness
Center for the Study of Culture, Health, and Human Development
Unit 1058

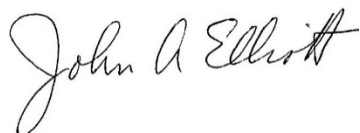
Dear Dr. Harkness,

The Center for the Study of Culture, Health, and Human Development (CHHD) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for the Study of Culture, Health, and Human Development will be renewed for a two-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for the Study of Culture, Health, and Human Development. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

**Center for the Study of Culture, Health, and Human Development
2019-2020 Centers/Institutes Committee Review**

Mission/Criteria:

The mission of the Center for the Study of Culture, Health, and Human Development is to bring together (as an educational resource) UConn faculty from various disciplines and organizational units whose scholarship focuses on the scientific understanding and active promotion of healthy human development in cultural context, to create a platform for collaboration on this subject, and to recruit students from various doctoral programs whose interests overlap the topic and provide them certification and training. The Center provides educational opportunities and training for students across a range of disciplines through its Graduate Certificate Program in Culture, Health and Development and its participation in the National Family Development Credential Program. The center launched in 1998 in conjunction with the establishment of the Graduate Certificate Program and Sara Harkness and Charles Super have been Director and C-Director of the center since its inception, including throughout the current study period. The center does not indicate an advisory board.

Staff/Budget:

CHHD receives no routine direct support from any university source and is supported through external funding. The center has brought in ~\$4 million in external funding over the 2015-2019 self-study period, the majority of which (~\$2.5 million) is associated with its entrepreneurial National Family Development Credential program. The center partially supports 3 staff members in Research Professor and Coordinator roles and includes 4 core faculty (2 tenure-track) and 13 affiliated faculty across 3 academic units (Human Development and Family Sciences, Psychological Sciences, and Anthropology and Human Rights).

Contributions/Accomplishments:

- 1) External funding awarded 2015-2019: \$3,922,665
- 2) 12 journal articles and 18 invited/keynote presentations between 2015 and 2019
- 3) Continued Graduate Certificate Program in Culture, Health and Development and produced 13 Graduate Certificate awardees
- 4) Initiated CHHD “Seed Grant” program and awarded one grant to two affiliated faculty members
- 5) Organized informal seminar series entitled “Culture ‘n’ Cuisine”
- 6) Developed MOU with University of Botswana and initiated/explored several other international opportunities

Strategic Plan and Goals/Challenges:

The goal of maintaining the Graduate certificate program was met and there was increased success in encouraging students to complete all requirements. Other strategic goals listed in prior self-study were not met for a variety of reasons, mostly outside the control of the Center faculty.

The directors identify several challenges including a lack of departmental diversity in the affiliated faculty (largely HDFS) and a slow (but consistent) influx of students into the Certificate program, also largely from HDFS. The success of the National FDC program is identified as an opportunity as well as a challenge in terms of administrative support. The directors also list their workload as a challenge and the lack of course release as an issue with maintaining center activities that are largely conducted by them.

The directors did not discuss the issue of the center being almost entirely dependent on two faculty members within the same department and at similar stages of career. This would seem to be a huge issue that will affect the long-term viability of the center and its activities, and there should be some indication of efforts to engage a wider net of faculty in a more substantial capacity.

Recommendations:

The center has been somewhat successful over the past several years, mostly in the development/maintenance of an entrepreneurial program that supports the majority of center activities. There has also been some success in terms of scholarly output, external research funding, and training, but many of the stated goals from the prior self-study were not met.

The University Center/Institute Review Committee recommends a 2-year approval with review scheduled for 2022. In the next self-study, the following points should be addressed:

- There is need to establish a clear plan with specific goals and metrics for the center for the next self-study. For example, what might the goals and metrics be for the potential new global opportunities? As another example, what is the future plan to ensure leadership stability, such as involving a wider net of faculty who could provide a long-term vision?
- It is critical to document clear strategy for increased interdisciplinarity, including integration with other academic units beyond HDFS and increasing the number of faculty engaged as either core or affiliate faculty. An alternative option for the center is to consider merging or folding of the center within another entity in order to strengthen unique and substantial contribution as a university center.
- As noted in the prior points, it is important to identify scholarship, funding, and related accomplishments as activities that substantiate a university center distinction, as opposed to focus on accomplishments, albeit important, of individual faculty.

April 24, 2020

Dr. James O'Donnell
Connecticut Institute for Resilience and Climate Adaptation
Avery Point Campus

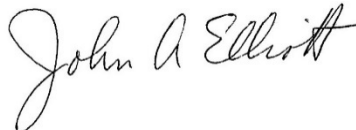
Dear Dr. O'Donnell,

The Connecticut Institute for Resilience and Climate Adaptation (CIRCA) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Connecticut Institute for Resilience & Climate Adaptation will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Connecticut Institute for Resilience and Climate Adaptation. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

Connecticut Institute for Resilience and Climate Adaptation (CIRCA)
2019-2020 C/I Review

Mission/Criteria: CIRCA's mission is to work with communities in CT and the Northeast to increase resilience and sustainability along Connecticut's coast and inland waterways in the face of the growing impacts of climate change on the natural, built, and human environment. CIRCA works with the Connecticut Department of Energy and Environmental Protection (CTDEEP) to create sustainable strategies for these communities that enhance resilience while protecting natural ecosystems. The Institute's principle goals are not education and research, but rather their application to practical approaches to protecting the environment (both natural and manmade). Among other activities, CIRCA develops and coordinates the Climate Change Resilience and Adaptation strategy for the State of Connecticut, disbursing grants to local and regional projects. This multi-million dollar program ("Resilient Connecticut") continues through to July 2022.

Staff/Budget: James O'Donnell, Professor of Marine Sciences, serves as Director of the CIRCA. There are 4 core faculty drawn from 4 different departments at UConn, although only the Director is (partially) supported by UConn funds to participate in CIRCA. Another 12 staff are listed (in the 2nd "Table 1") who are primarily based at Avery Point and are supported by the Resilient Connecticut program. There are a further 27 affiliated faculty who participate in the various projects/programs supported by CIRCA.

Funding: CIRCA was initially funded with \$2.5M from CTDEEP, \$450K from UConn, and \$49K from U.S. Department of Housing's National Disaster Resilience Competition (NDRC). It has raised, during the period 2014-2019, \$13.5M in external funds including \$8.2M from NDRC for its ongoing Resilient Connecticut program ((it was a challenge, however, to identify from the document the individual funds making up the additional \$5.3M). Some IDCs have been returned to the Institute: In 2019, as an example, the OVPR provided a share of IDCs to cover accounting expenses and \$14K for other purposes.

Accomplishments: The Institute has disbursed over \$2.1M in grants (to local communities, and faculty), and has received a further \$2.3M in grants from 6 other agencies not covered by the CTDEEP MOU. These have led to 35 project products. CIRCA has supported at least 17 events and 21 scholarly publications, and has supported 5 postdocs and 8 graduate students (and 10 undergraduates). There have been countless presentations at conferences and workshops. The primary goals of the Institute have been met by ample engagement with local communities and agencies, as well as UConn faculty whose grants (and associated income) have supported the mission of the Institute.

Strategic Plan and Goals/Challenges: It is anticipated that the Institute's mission will necessarily change over the next 5 years, reflecting changes in partnerships and funding. There are opportunities associated with the CT Governor's Council on Climate Change although it is currently unclear how these might manifest. CIRCA has established itself as the foremost State entity with expertise on managing resilience and sustainability along the coastline, and should likely be a part of future State investments. Two challenges in particular stand out: (1) the

challenges inherent in building multi-disciplinary groups, although UConn has experience of managing such challenges; (2) perhaps more crucially, CIRCA's reliance on a single member of faculty (The Executive Director) with responsibility for the future development of CIRCA. As a part of the strategic plan, CIRCA are proposing five 50% faculty positions to support the Executive Director in developing projects and proposals (including academic offerings in the classroom) and four FTEs for administrative support (including a research coordinator and IT support; the submitted document did not detail any current administrative support). It was quite unclear as to how these numbers were arrived at, what cannot currently be accomplished that these new positions would enable, and how their utility would be evaluated if these new positions came to fruition. The proposal is for University resourcing to be linked to support from state agencies and the legislature.

Over the next five years the strategic plan includes:

- (1) expanding Resilient Connecticut to become sustainable beyond 2022, with additional/renewed funding, aiming to deliver climate change adaptation programs in 25 towns by 2025;
- (2) publishing 100 peer-reviewed publications and technical reports;
- (3) winning 10 external grants to support faculty, postdoctoral and other students;
- (4) hosting a national conference on Adaptation Science and Policy;
- (5) developing partnerships with 5 out-of-state institutions and 2 non-US institutions.

Recommendations:

CIRCA has been instrumental in leading a major partnership with the State and other agencies concerned with adaptation to climate change. It has met, and exceeded, its original goals, and has proven highly successful at winning both large grants/contracts and smaller grants. It occupies a unique niche within the State. The University Center/Institute Review Committee recommends a 5 year approval with review scheduled for 2024/5. Over the next five years the following points should be considered:

1. Development and clarification of roles that core faculty can provide in supporting the Executive Director. For example, the Executive Director might consider appointing Associate Directors with clearly designated roles and creating an organizational chart. This should be a part of a related goal to ensure that a strategic planning process in the short-term identifies the governance and other infrastructures that would support CIRCA in the event that the current Executive Director is unable to sustain in the current role. It was unclear how the Executive Steering Committee feeds into the governance structure, again, supporting the potential need for an organization chart.
2. Related, it is important to ensure that the institutional experience gained from negotiating Resilient Connecticut (and other funding) is not lost by (a) establishing a mechanism/infrastructure to ensure continuity across the next five years and more, and (b) documenting contacts, resources, policies, and operational practices that have uniquely contributed to, and supported, the success of CIRCA over the past five years.
3. As another suggestion, it may be helpful to consider the relationship between CIRCA and other, related centers and institutes, such as the Institute of the Environment. Similarly, consideration of how the activities of CIRCA will dovetail with ongoing school-level strategic planning. And if moving forward with academic offerings, how would these dovetail with current course offerings?

4. Given the strong potential for CIRCA in accelerating trajectory of reach (e.g. aspiring to become more visible regionally and nationally) further attention to identifying both the opportunities that may exist beyond CT, and the resources that may be required to meet these opportunities may be necessary.

April 24, 2020

Dr. Robin Bogner
Kildsig Center for Pharmaceutical Processing Research
Unit 3092

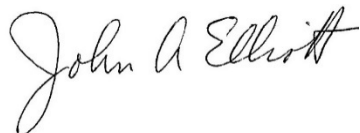
Dear Dr. Bogner,

The Kildsig Center for Pharmaceutical Processing Research (CPPR) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Center for Pharmaceutical Processing Research will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Center for Pharmaceutical Processing Research. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

cc: Xiuling Lu, Associate Director

**Kildsig Center for Pharmaceutical Processing Research (CPPR) at UConn
2019-2020 University Centers/Institutes Committee Review**

Reviewers:

Mohamed Hussein and Angela Starkweather

Description: a multi-university cooperative research center, consisting of 4 academic sites – Purdue University, University of Connecticut, University of Minnesota. and University of Puerto Rico – funded by annual fees of member companies interested its research focus. CPPR was founded in 1995, as part of the industry/university cooperative research center (I/UCRC) of the National Science Foundation (NSF). Due to the small number of faculty across the country that are involved in pharmaceutical processing research, the CPPR provides a critical mass of researchers that can attract the interest of pharmaceutical and related companies. The Headquarters of CPPR was moved from Perdue to UConn on September, 2018. The report submitted focuses on the UConn Site of the CPPR.

Mission:

1. advance the understanding of how unit operations in the manufacture of pharmaceutical dosage forms influence critical quality attributes of pharmaceutical products,
2. explore novel processing technology aimed at improving product quality or decreasing cost,
3. develop and implement improved process monitoring methods,
4. foster an interdisciplinary approach to pharmaceutical processing research,
5. support the application of rigorous science in graduate pharmaceutical education, and
6. catalyze scientific interaction between academic scientists and their counterparts in the pharmaceutical industry.

Staff/Budget:

Budget for the UConn Site of the CPPR– in thousands of dollars

	2015	2016	2017	2018	2019	2020
Member Company Fees ¹	\$175	\$175	\$210	\$240	\$228 ₂	\$225

1:The budget is from fees paid by member companies; in 2018-2019 was \$40K, in 20-21 \$\$45K and 21-22 \$50 K. Member companies included AstraZeneca-Biologics, Biogen, Boehringer-Ingelheim, GlaxoSmithkline, Regeneron, and SP Scientific.

Staff:

Center Director: Robin Bogner.

Assoc. Director: Xiuling Lu.

Administrative Specialist: Joanne Nault.

Participating Faculty (since 2015) from Dept. of Pharmaceutical Science:

1. Robin H. Bogner, Professor – Center Director, Site Director and PI on projects
2. Diane Burgess, Professor – PI on projects
3. Bodhi Chaudhuri, Associate Professor – PI on projects
4. Xiuling Lu, Associate Professor– Assoc. Center and Site Director and PI on projects
5. Na Li, Assistant Professor – new faculty who proposed a project last Fall
6. Raman Bahal, Assistant Professor – PI on a project
7. Michael Pikal, Professor – retired – former Site Director and former PI on projects
8. Devendra Kalonia, Professor – retired – former PI on projects

Affiliated Faculty:

Faculty whose expertise is required for CPPR projects are considered affiliated faculty during the project period.

1. Tai-Hsi Fan (Dept. of Mechanical Engineering) – co-I on a project
2. Anson Ma (Dept. of Chemical & Biomolecular Engineering) – co-I on a project
3. Sina Shahbazmohamadi (Dept. of Biomedical Engineering) – co-I on a project

Contributions of the Center (in the past 5 years):

- 1. Advance the understanding of how unit operations in the manufacture of pharmaceutical dosage forms influence critical quality attributes of pharmaceutical products** a. Project on Investigation of Mixing and Segregation of Ordered Mixtures for Dry Powered Inhaler (DPI) Formulations. i. **Final Report:** Delivered to CPPR Industrial Advisory Board May 2016 and three papers were published.
- 2. Explore novel processing technology aimed at improving product quality or decreasing cost. The results were two projects:** a. Project on Controlled Ice Nucleation in Freeze-Drying Optimization of Nucleation Control and Quality by Design Implications i. **Final Report:** Delivered to CPPR Industrial Advisory Board May 2014. b. Project on Impact of Freezing Variability on Process Economics and Product Quality: Characterization of Scale-up Differences i. **Final Report:** Delivered to CPPR Industrial Advisory Board May 2016
- 3. Develop and implement improved process monitoring methods** a. Project on Impact of Water Resorption on MTM Product Temperature Measurement: Implications for the Smart Freeze Dryer **Final Report:** Delivered to CPPR Industrial Advisory Board May 2014 b. Project on Protein Conformation in Freeze-Dried Amorphous Solids: Implications for Product Stability i. **Final Report:** Delivered to CPPR Industrial Advisory Board May 2018 c. Investigation of Heat and Mass Transfer in Dual Chamber Syringes/Cartridges i. **Final Report:** Delivered to CPPR Industrial Advisory Board May 2018. ii. **Invention Disclosure:** Submitted Nov 2018.
- 4. Foster an interdisciplinary approach to pharmaceutical processing research** a. Faculty outside of the Department of Pharmaceutical Sciences have been included on 3 project teams i. Tai-Hsi Fan (Department of Mechanical Engineering) was co-I on the completed project on Development of a scale-down model for freeze-thaw of biologics applying a design of experiments (DoE) approach. ii. Anson Ma (Department of Chemical &

Biomolecular Engineering) is co-I on the current project on Inkjet Based 3D Printing Methods for Solid Oral Dosage Manufacturing. iii. Sina Shabzhmohamadi (Department of Biomedical Engineering) is co-I on the current project on Pore Structure Characterization of Freeze-Dried Products.

5. **Support the application of rigorous science in graduate pharmaceutical education** a. Support of \$1,083,000 over the last 5 years was provided by the member companies for CPPR projects, all of which involve graduate student support as the major portion of the budget. b. Scientific rigor of the CPPR projects is ensured by i) the process by which PI's present their proposals twice – once for feedback and the second time incorporating that feedback, and ii) holding midpoint teleconference meetings to update interested CPPR industry scientists on the progress of the project and solicit further feedback to guide the project.
6. **Catalyze scientific interaction between academic scientists and their counterparts in the pharmaceutical industry** a. The CPPR holds face-to-face meetings twice yearly (in May and Oct) for 1 ½ days each, during which faculty, students, and scientists from member companies discuss pressing research needs of the industry and how to solve them. b. Each CPPR project is required to have at least one “industrial mentor” to work closely with the project team – faculty and graduate students.
7. **Foster collaborative research projects between industrial and academic scientists** a. CPPR faculty often work with scientists at the CPPR member companies to develop new project proposals. The higher success rate in receiving funding approval for collaboratively developed proposals provides incentive for such collaboration.
8. **Train the next generation of process and development scientists for the changing needs of the pharmaceutical industry** a. Funding was provided for 17 graduate students and 3 post-doctoral fellows. b. Many of the Ph.D. graduates and post-doctoral fellows who have completed their training are now employed in major pharmaceutical companies such as Pfizer, Genentech, Merck, Bristol-Myers Squibb, Sanofi, and Regeneron.

Publications: During the reporting period, thirteen articles were published, five conferences were hosted and many presentations were made.

Conferences: The Center hosted the CPPR semi-Annual Conference in 2015, 2018 and 2019. The Center faculty also made several presentations at member companies.

Strategic Analysis and Plan for Upcoming Five Year Period

Opportunities and threats:

1. Increase visibility and name recognition utilizing social media and other promotional opportunities
2. The number of CPPR member companies has declined from over 20 at its maximum to 10 as of January 2020. The decline is a threat to survival of CPPR, and an opportunity to recruit more companies, thereby strengthening the consortium.

3. The University of Puerto Rico has been inactive for several years. A major strength of CPPR that attracts industrial funding is the multi-university aspect that brings together a critical mass of research expertise. The loss of academic sites diminishes ability to attract funding.

4. The most pressing threat is from similar research centers. The Center for Pharmaceutical Development (CPD, an NSF I/UCRC) and the Center for Integrated Material Science and Engineering for Pharmaceutical Products (CIMSEPP, which has a planning grant from NSF I/UCRC) have overlap with CPPR's mission and seek to recruit and/or poach the same set of companies. Furthermore, the CPD has overlap with a CPPR academic site – Purdue University. CIMSEPP has overlap with another CPPR academic site – University of Minnesota. The overlap with the two academic sites threatens the ability of those sites to remain in CPPR. If we lose those sites, we lose some research strength, and CPPR would be a single university center. At the time of this report, it appears that CPD will fold into CPPR. The status of CIMSEPP is pending.

Strategic goals/aims for the next 5 years

1. **Goal** – Although is a constitution, CPPR was run informally. The contracts that the member companies signed with each academic site did not always match the constitution. Now that UConn has become the lead academic site, the relevant portions of the constitution and contract are now being recast into a Governance document, with the remainder incorporated into a Policies and Procedures document. Distributing these to all CPPR IAB members and faculty will allow full disclosure and uniform understanding of the operation of the Center. 1.2.

Action plan – Finalize the Governance Document, submit it to the Industrial Advisory Board, revised as necessary, and have it approved **by** the celebration planned for the 25th Anniversary of the Founding of CPPR to be held in **Fall 2020**.

2. **Goal** – Increase the number of member companies. 2.1. Background – Many years ago, there were more than 21 member companies in CPPR, with UConn having 6-8. As of January 2020, the four academic sites are down to 10 member companies, with UConn having 4. 2.2. **Action Plan** – Identify 4 companies to recruit **by March 2020**. Actively recruit to increase the number of UConn's member companies to **8 by May 2021**.

3. **Goal** – Reduce the attrition of member companies by increasing the value of CPPR to a broader audience within each company.

3.2. **Action Plan** – Visit current member companies to present a formal research talk and general overview of CPPR **at least once every other year**.

4. **Goal** - The strength of CPPR is having active research at multiple academic sites. Once UConn has 8 member companies, the recruiting effort of the Center Director can turn to adding companies to CPPR's other academic sites. Adding research dollars to the other sites helps UConn by strengthening CPPR as a whole.

4.2. **Action Plan** – Once UConn has 8 member companies, identify another 8 companies to recruit for other institutions. Actively recruit those companies to increase the total number of member companies (over all academic sites) to **18 by 2023**.

Recommendation:

The Kildsig Center for Pharmaceutical Processing Research (CPPR) has a unique role in serving as a multi-university cooperative research center. There are, however, some significant challenges to the previous structure and financial support that has been instrumental to successful collaboration and achievement of set goals. The director and associate director are to be commended for providing a thorough assessment of the assets, as well as real and potential threats. Each goal for the next 5 years is followed by an action plan with feasible solutions and alternatives. The University Centers/Institutes Review Committee recognizes the contributions of CPPR in terms of education, research, outreach and funding generation. Thus, we recommend the approval of five years for the 2024 cycle.

April 24, 2020

Dr. Michael Dietz
Connecticut Institute of Water Resources
Unit 4036

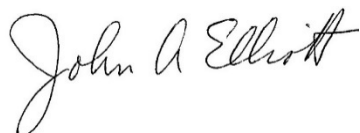
Dear Dr. Dietz,

The Connecticut Institute of Water Resources (CTIWR) was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Connecticut Institute of Water Resources will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Connecticut Institute of Water Resources. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

cc: James Hurd, Associate Director

Connecticut Institute of Water Resources 2019-2020 University Centers/Institutes Committee Review

Mission/Criteria: The Connecticut Institute of Water Resources (CTIWR) has been in continuous existence since 1965 and is currently located within the Department of Natural Resource and the Environment (NRE), in the College of Agriculture, Health and Natural Resources at the University of Connecticut. The mission of the CTIWR is stipulated by the Federal Water Resources Research Act of 1984 and involves: (1) planning, conducting and arranging for research that fosters the entry of new scientists into the water resources field; training and education of future water scientists; exploration of new ideas that address water problems or expand understanding of water and water-related phenomena; and dissemination of research results to water managers and the public; (2) coordination with other colleges and universities in Connecticut that have demonstrated capabilities for research, information dissemination and student training in order to develop a statewide program designed to resolve state and regional water and related land problems.

Staff/Budget: Dr. Michael Dietz, Associate Professor and Extension Educator has been serving as Director since 2018. Mr. James Hurd has been serving as Associate Director at 50% FTE since 2012. The role descriptions of the director and associate director are well defined. There are 4 administrative faculty, 2 faculty advisors and 13 faculty PIs internal and external to UConn from 2015-2019. A student worker was hired to carry out social media activities. An Advisory Board is engaged in the activities and planning of the CTIWR by reviewing grant applications and providing recommendations for program implementation and evaluation.

Funding: The United State Geological Survey 104B Base Grant Program awards CTIWR \$92,335 per year to provide core financial support. The bulk of these funds (73%) are distributed to water resource scientists at Connecticut institutions of higher learning through a competitive grant program. An additional \$40,000 is provided by the Dean of the College of Agriculture, Health and Natural Resources at the University of Connecticut. These funds provide a portion of the 50% FTE salary of the associate director and is part of the 2:1 match of the Federal dollars provided.

Accomplishments: The CTIWR has dispersed over \$300,000 from 2015-present toward 15 research projects related to its mission, 1 of which resulted in external funding, and supported 6 student theses and dissertations. In addition, ongoing projects and activities of the CTIWR involved 35 students across all levels of training (BS, MS, PhD, Postdocs, Visiting Scholars). The main method of dissemination is through the CTIWR website. CTIWR faculty have published 8 peer-reviewed articles and provided 22 presentations at local and national conferences over the last 5 years. Additional recognition of the CTIWR has been through the Director's participation on several statewide water related panels, committees and workgroups. The CTIWR also coordinates a weekly seminar series with invited speakers, and a student photography contest.

Strategic Plan and Goals/Challenges: The CTIWR has set the following goals for the next 5 years:

1. Continue providing funding opportunities for water resources based research, education and information transfer for researchers in Connecticut via the 104B Base Grant and 104G National Competitive Grant Programs. The CTIWR depends on federal appropriations and financial support from CAHNR, which is expected to continue. The goal is to improve participation in research submission in the 104B and 104G grant programs, especially from researchers from outside UConn.
2. Pursue eternal, stable funding sources. The Director has worked with external agencies to identify the most likely partner for collaboration on an externally funded grant. The Director will continue dialogue with contacts at the Connecticut Department of Public Health to develop and implement one externally funded project.
3. Improve in-state visibility of CTIWR. Several strategies are described to increase recognition and dissemination of information including increase in social media presence, annual newsletter posted on the website, via electronic means and to key stakeholders.
4. Provide increased services and information to researchers and the general public. The Director has added content on the website “For Residents” tab on water-related topics. Google analytics will be employed to evaluate visitor statistics and new content will be developed to maintain interest. A free drinking water testing campaign will be launched in 2020 to increase services to residents of the state. In addition, the CTIWR will continue to support an international speaker at the fall Department of Natural Resources and the Environment (NRE) seminar series to create visibility of CTIWR within the state.
5. Impacts of research on public policy and general public. Working with the Advisory Board, the CTIWR will develop a method for measuring impact of research results on public policy, implementation and information to the general public.

Recommendations:

The CTIWR has a rich history with the United States Geological Survey that provides a continuous source of support for research on water-related topics led by faculty and students across the state. Leadership of CTIWR has been instrumental in meeting each of the goals over the past review cycle and will continue to be imperative for continued success. Based on the 5-year self-report the University Center/Institute Review Committee recommends another 5-year approval with the next self-report due in 2024. Specific recommendations that should be considered include:

1. As previously stated in the review, leadership succession is a priority with an opportunity to re-evaluate the Associate Director role and responsibilities of affiliate members who contribute to the mission of CTIWR. Responsibilities of faculty PIs and affiliate members could be developed and might include federal grant submissions and publications.
2. It is unclear whether there is a goal to increase submissions to the 104G National Competitive Grants Program. If so, the CTIWR could host a workshop for interested investigators to develop ideas prior to or as part of distributing the 104G RFP to generate more applications. Working

with the OVPR or INCHIP, resources on grant writing and submission could be a part of creating a pipeline to facilitate grant development and submission.

3. Impacts of Institute research on public policy and water management and the information transfer program will be a priority over the next self-study cycle. The C/I Committee recommends collaboration with InCHIP as a potential source of expertise to carry out recommended plans developed with the Advisory Board.

April 24, 2020

Dr. Steven L. Suib
Institute of Materials Science
Unit 3136

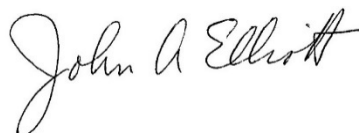
Dear Dr. Suib,

The Institute of Materials Science was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Institute of Materials Science will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Institute of Materials Science. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

cc: Rainer J. Hebert, Associate Director

Institute of Materials Science (IMS)

2019-2020 University Centers and Institutes Review Committee

Mission/Role:

The current mission of the Institute of Materials Science (IMS) is to promote interdisciplinary activities amongst various schools, departments, centers, and institutes at the University of Connecticut in the broad areas of research, teaching, service, and outreach. IMS activities that are unique contributions atypical to departments, schools and colleges primarily include multi-investigator awarded proposals and contracts; novel interactions with industry via the Industrial Affiliates Program; and research and education at the borders of numerous disciplines. Stated goals for the next 5 years are to expand already strong research programs in IMS, enhance joint programs with other Centers and Institutes at UConn, promote industry collaboration, and strengthen and build educational programs.

Staff/Budget:

Net operating budget of slightly over \$9 million annually, with combined sources including university permanent funds, IDC return, and services/contracts. Appendix 7 contains a list of awards obtained by IMS over the review period.

IMS is led by a director (Suib) and associate director (Hebert), with leaders designated for each of the various program areas as well as core and affiliated faculty. In addition, IMS includes both internal and external advisory boards, and is supported by 20 staff members. See Appendix 1 for the IMS organizational chart.

Accomplishments:

- Emphasis has been successful with regard to raising visibility of IMS, increasing external support, and strengthening multi-investigator programs with both academic and industrial researchers. For example, on average, slightly over 80 extramural proposals have been submitted annually over the reporting period.
- An impressive list of publications attributed to IMS appear in Appendix 2 as well as indications of accolades/honors by faculty (see p 11). IMS researchers have been in patents as well as starting companies.
- IMS has included employment of a substantial number of positions that include post-docs, graduate students, student labor, and temporary researchers. In addition to those employed by IMS, users of laboratory resources has included close to 700 undergraduates and over 700 graduate students.
- Multi-disciplinary efforts have led to inclusion of multiple centers within IMS, as well as supports to the Innovation Partnership Building – all demonstrated during challenging budget times.
- Outreach and dissemination has increased reach and exposure of IMS, with targeted efforts to share information about the work of IMS.

Recommendations:

- The report shared summary information using portions of a SWOT analysis approach (e.g. threats on return, opportunities in strengthening external board), however, more detailed analysis and strategies for addressing, enhancing, or strengthening would be helpful. For example, is there industry analysis that suggests strengthening the External Advisory Board in certain areas would be

most beneficial? Does that analysis also suggest directions for creating new educational programs – what is needed, why, and how might IMS be positioned to fill that gap?

- The 5-year goal plan should include greater specificity (as suggested in the prior review), formatted as SMART goals (specific, measurable, actionable, relevant, and time-bound) for each of the defined areas (e.g. website includes education, research, outreach as main areas) in order to facilitate evaluation at the end of the next review period. Although a section on strategic goals and associated strategies is included, it was somewhat difficult to discern the goals in alignment with the stated areas within the mission (education, research, outreach), and metrics for evaluating success of goals were not included. For example, Appendix 8 includes a list of equipment needs - what are the proposed strategies for meeting those needs?

Overall Recommendation:

- Renew for 5 years, with submission of a more detailed plan outlining goals, objectives, and expected outcomes.

April 24, 2020

Dr. Rachel J. O'Neill
Institute for Systems Genomics
Unit 3197

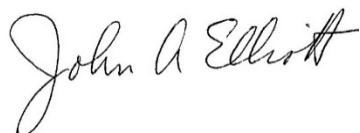
Dear Dr. O'Neill,

The Institute for Systems Genomics was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Institute for Systems Genomics will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Institute for Systems Genomics. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

Institute for Systems Genomics
2019-2020 University Center/Institute Committee Review

Reviewers: I. Valla and M. Hussein

Mission/Criteria: The Institute of the Systems Genomics (ISG) was established in 2012 by Prof. Marc Lalande. The field of genomics today spans areas as broad as data science, biology, agriculture and sustainability, computer science, physics, chemistry, engineering, math, medicine, sociology, philosophy, data visualization, business and law. For this reason, the ISG is multi-disciplinary, cross-campus and inter-institutional and serves as a nexus to coalesce genome based inquiry across diverse disciplines to support an internally recognized CT community. The goals of the ISG are: a) to establish a world class program for research and training in Genomics and in Personalized Medicine by mobilizing the strengths of the Jackson Labs (JAX) and the UCONN, with other academic and industry partners, b) to lower administrative barriers to collaboration among JAX, the Farmington Campus and the Storrs campus in areas related to Genomics and to Personalized Medicine, 3) to develop an academic structure that supports undergraduate, professional and graduate education bridging the UConn and JAX genomics communities.

Organizational Structure: The leadership team includes Dr. Rachel O’Neil, who serves as the Director of the ISG and Dr. Brenton Graveley, who serves as the Associate Director. The activities of the Institute are also supported by the ISG Executive Committee (14 members) and two sub-committees: the ISG Scientific Committee (12 members) and the ISG Education/Curricula and Courses Committee (12 members). The Institute serves as a hub of four centers and core facilities which represent its research pillars: 1) the Center for Genome Innovation (CGI), 2) the computational biology core (CBC), 3) the iPSC and Chromosome Core (CC) and 4) the Single Cell Genomics Center (SCGC). The Institute has also outreach and educational pillars for graduate and undergraduate training. Within all these research and educational pillars, the ISG has 148 faculty members, representing 36 department and 10 schools/colleges within UConn.

Accomplishments: The most important success of the Institute during the period of 2013 to 2019 is the grant awards of \$414M in total funding. Even more remarkable is the increase of the funding from \$8M in 2013 to \$93.4M. Other major accomplishments of the ISG faculty include 64 book chapters and review articles, 1,502 peer review publications, 34 prizes/achievement awards, 24 patents, the development of 21 genomics software tools, 89 professional society accolades, 84 journal editorships/advisory board memberships, 987 invited presentations, 187 grant review panels and the organization of 125 conferences. Beyond the aforementioned accomplishments, the ISG has worked towards the following goals:

- 1) Built an internationally recognized cluster of four cores and centers (CGI, CBC, CC and SCGC).
- 2) Incentivized and facilitated collaborations among the faculty and centers. ISG achieved this goal via two different internal funding mechanisms: a) the Affinity Research Collaboration award mechanism launched in 2013 (\$1M) and the b) the Seed Grant

Mechanism launched in 2010 (\$200K). The first mechanism supported 11 UConn faculty, 6 JAX faculty and 12 CCMX participant/faculty and the results included 5 awarded grants of more than \$5M (5-fold return on investment), 19 publications and 18 trainees. The second mechanism just started to generate results which look encouraging.

- 3) Sponsored integrative research symposia and conferences and fostered reeducations across disciplines through the executive training modules. Since 2012 the Institute hosted 18 workshops and networking events, conferences and special events. Furthermore, a total of 36 formal workshops was offered and held by the CGI and CBC.
- 4) Developed an interdisciplinary graduate program. To achieve this goal the ISG started the following programs: a) In 2014 the PhD in Systems Genomics was approved. This is an interdisciplinary, cross campus and inter institutional program with participation from various departments and schools across UConn. However, immediately after the launch of the program and prior to recruitment of its first class, funding was suspended due to university budget constraints. To support students' stipend the program needs restoration of the funding, b) the Professional Science Masters in Generic Counseling was established, approved and is ready to launch in fall of 2021. It is anticipated that ten students will be enrolled, c) the Professional Masters degree in Health Care Genetics started in 2015. It has already graduated 15 students, while the current program student enrollment is 10, d) the certificate in clinical genetic and genomics was launched in July 2019. The certificate is already a feeder for further graduate training, e) The certificate in clinical communication and counseling has been approved. The estimated enrollment is 6-10 students per year, f) two graduate fellowship opportunities, the Kenneth and Paula Munson Family Funds and the Linda D. Strausbaugh Fellowship in Genetics and Genomics. Through these fellowships have been awarded to UConn graduate students, g) Mentorship for UConn students is provided by JAX.
- 5) Developed hybrid, on-line and distanced learning capabilities
- 6) Supported the entrepreneurial undergraduate program iGEM, which consists of 25 undergraduate students from a diverse range of different majors at UConn.
- 7) Supported various different outreach programs, targeting high school students, families, Native American college and university students and various special events for the public.

Strategic Plan and Goals/Challenges for the next five years: The ISG is committed to grow its research portfolio and to establish concentrations that will prepare the Institute for successful federal grant opportunities, emerging training grant initiatives and to meet the growing demands for genetics and genomics training and workforce enhancement across disciplines. The ISG will also work with the UConn administration to develop faculty reporting mechanisms that decreasing reporting efforts by members and staff, comprehensively track impact and derive metric based data analytics. Specifically, the goals of ISG are:

- 1) Fiscal Sustainability. Through the first 5 years the Institute was supported by the Academic Plan. The ISG is no longer operating under the funds of the Academic Plan. The Institute seeks support for its centers through Health Center Research Advisory Council (HCRAC), OVPR and Provost requests. However, university investment is essential for the continuation of various activities including the graduate and undergraduate programs, as well as the acquisition of various equipment.

- 2) Growth in research portfolio and grant revenue. Assuming that the ISG will have support from the university, it will: 1) continue offering network events, conferences, 2) provide seed grant program, 3) provide workshops and staff support for large consortium efforts, 4) reduce structural barriers among UConn campuses, 5) increase faculty recruitment, 6) solidify partnership with UConn Foundation, 7) establish Clinical Genomics Core.
- 3) Promote multidisciplinary training opportunities in genomics, including existing programs of graduate and undergraduate students as well as fellowships. The application for the Accreditation Council for Genetic Counseling Program will be submitted by 2020 with a goal of matriculating the first cohort of generic counseling programs in fall 2021 or 2022.
- 4) Promote outreach programs in genomics, health and the environment.

Recommendations:

Apparently, the ISG has achieved outstanding progress through the last years. The review committee supports the continuation of the Institute for the next five years and recommends to work closely with the OVPR, the Provost and the UConn Foundation to secure the required funds for the continuations of the research, educational and outreach programs. However, it is unclear the extent of the support that is required for the next years. It is also unclear from the report what is the budget of the Institute.

April 24, 2020

Dr. Joseph S. Renzulli
Renzulli Center for Creativity, Gifted Education, and Talent Development
Unit 3007

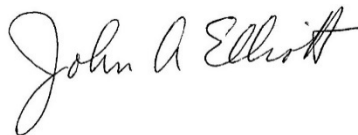
Dear Dr. Renzulli,

The Renzulli Center for Creativity, Gifted Education, and Talent Development was reviewed during the 2019-2020 academic year by the Academic Centers and Institutes Review Committee, chaired by Professor Angela Starkweather. The Review Committee's report is attached.

We are pleased to add our endorsement to that of the Review Committee and notify you that the Renzulli Center for Creativity, Gifted Education, and Talent Development will be renewed for a five-year period beginning in September 2020. We ask that you carefully consider the recommendations of the Committee and begin instituting the recommended changes as soon as possible. We look forward to learning how these recommendations have been instituted in your next self-study report.

Please accept our thanks and congratulations for the many fine accomplishments of the Renzulli Center. The Board of Trustees will be informed of this recommendation at a forthcoming meeting.

Best,



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



Jeffrey Shoulson, Ph.D.
Vice Provost for Academic Operations
Co-chair, Centers and Institutes Review
Committee (*ex officio*)

cc: E. Jean Gubbins, Associate Director
Del Siegle, Associate Director

Renzulli Center for Creativity, Gifted Education, and Talent Development 2019-2020 University Centers/Institutes Committee Review

Mission/Criteria:

The Renzulli Center for Creativity, Gifted Education, and Talent Development focuses on gifted education and talent development with a mission to engage teachers and students at all levels of education through high quality research and outreach on innovative teaching strategies. The center houses a federally-funded research center in gifted education (National Center for Research on Gifted Education [NCRGE]) and conducts Confratute (conference/institute), an internationally renowned professional learning experience in talent development. The center has expanded its focus to more emphasize engagement/study of underserved populations. The center provides direct services to teachers, administrators, researchers, and policy makers throughout the world. The center is directed by its namesake Joseph Renzulli and two Associate Directors (Del Siegle and Jean Gubbins). The center does not list an advisory board but the self-study included input from several faculty from outside the core faculty group.

Staff/Budget:

The Renzulli Center has received >\$17 million in external grant and outreach-focused funding to support the activities of the center, much of the funding was from federal grants. No direct budget from UConn is listed in the self-study document. The center lists 4 staff members administrative or coordinator roles, but does not explicitly specify that they are funded directly by the center. Center programs also supported 8 Research Scientist/Associate staff during the 2015-2019 period. The center included 9 core faculty (7 active) during the self-study period, all at the rank of Professor and all from the Department of Educational Psychology. In addition 7 affiliated faculty are listed including two from the Department of Curriculum and Instruction, only one affiliate faculty is pre-tenure.

Contributions/Accomplishments:

- 1) External funding awarded 2015-2019: Grants - \$13,687,641, Outreach Revenue - \$3,645,749
- 2) Center affiliated faculty produced 30 books, 109 book chapter and 129 journal articles and presented 190 invited/keynote presentations between 2015 and 2019
- 3) Annual Confratute and technology conference engaged “several hundred” educators
- 4) 31 graduate students and 26 undergraduate students were engaged in center projects
- 5) Grants and programs supported 9 postdoctoral scholars and the center hosted 13 visiting scholars from around the world
- 6) Several national and regional media outlets have featured the work of the center

Strategic Plan and Goals/Challenges:

The self-study identifies several challenges the center has faced or may need to address in the future. This includes potential uncertainty surround the main federal funding source that has supported the center (>80% of grant income is from Department of Education) and the need to diversify funding streams. The self-study identifies some initial progress toward this aim. Two of the core faculty engaged with the center left the university during the review period and the replacement of this capacity is a need. The self-study also identifies a plan for transition from the current Director (who is Emeritus) to a new Director – Dr. Siegle former Associate Dean of the Neag School scheduled to occur in August 2020.

The self-study provides 4 strategic goals, which are largely continuation of the excellent direction of the center to this point, but with an emphasis on diversifying funding sources. The center identifies attainable and measureable outcomes/metrics for each of the strategic goals, highlighting activities such as having summits of leading scholars to drive the direction of the center, exploring distance learning options for outreach activities, developing a social media plan, partnerships with school districts, and formation of a national advisory board.

Recommendations:

The center has been extremely successful over the past several years, strongly achieving the goals presented in the previous self-study. The center faculty have had great success in terms of scholarly output, external research funding, training, and outreach and engagement of a wide variety of stakeholder groups. The lack of junior faculty among the core or affiliate faculty of the center is a concern that was not identified by the center leadership. The lack of new directions for the center could be viewed as an issue, but this may be an important outcome of some of the new initiatives listed (i.e., the scholar summits and national advisory board). There may also be value in attempting to more effectively expand the engaged faculty (or at least advisory board) beyond EPSY and especially outside Neag to incorporate other viewpoints and potential interdisciplinary research directions.

The University Center/Institute Review Committee recommends a 5-year approval with review scheduled for 2024. In the next self-study, the following points should be considered:

- Illustrate the involvement of faculty from across the career spectrum who may be able to provide a longer-term vision for the center.
- Include some indication of new directions and initiatives stemming from scholar summits and advisory board input
- Document increased interdisciplinary including integration with other academic units beyond EPSY/Neag and increasing the number of affiliate faculty
- Identification of how scholarship, funding, and related accomplishments are uniquely attributable to center activities/projects.

ATTACHMENT 18

UConn & UConn Health FY21 Spending Plans

- University seeks approval of spending plan for FY21, with quarterly updates to show progress on deficit mitigation.
 - UConn: \$1,536 million annual spending plan
 - UConn Health: \$645.4 million six-month spending plan, with the final six-month approval to be presented in December

FY21 estimates (\$M)	UConn		UConn Health	
	Low	High	Low	High
Pre-COVID deficit	(7.0)	(7.0)	(55.9)*	(55.9)*
COVID-19 net losses (Fall & Spring)	(40.0)	(122.0)	(46.4)	(132.6)
Projected Operating gain/(loss)	(47.0)	(129.0)	(102.3)	(188.5)

*In FY21 \$53.8M of the deficit is due to legacy costs

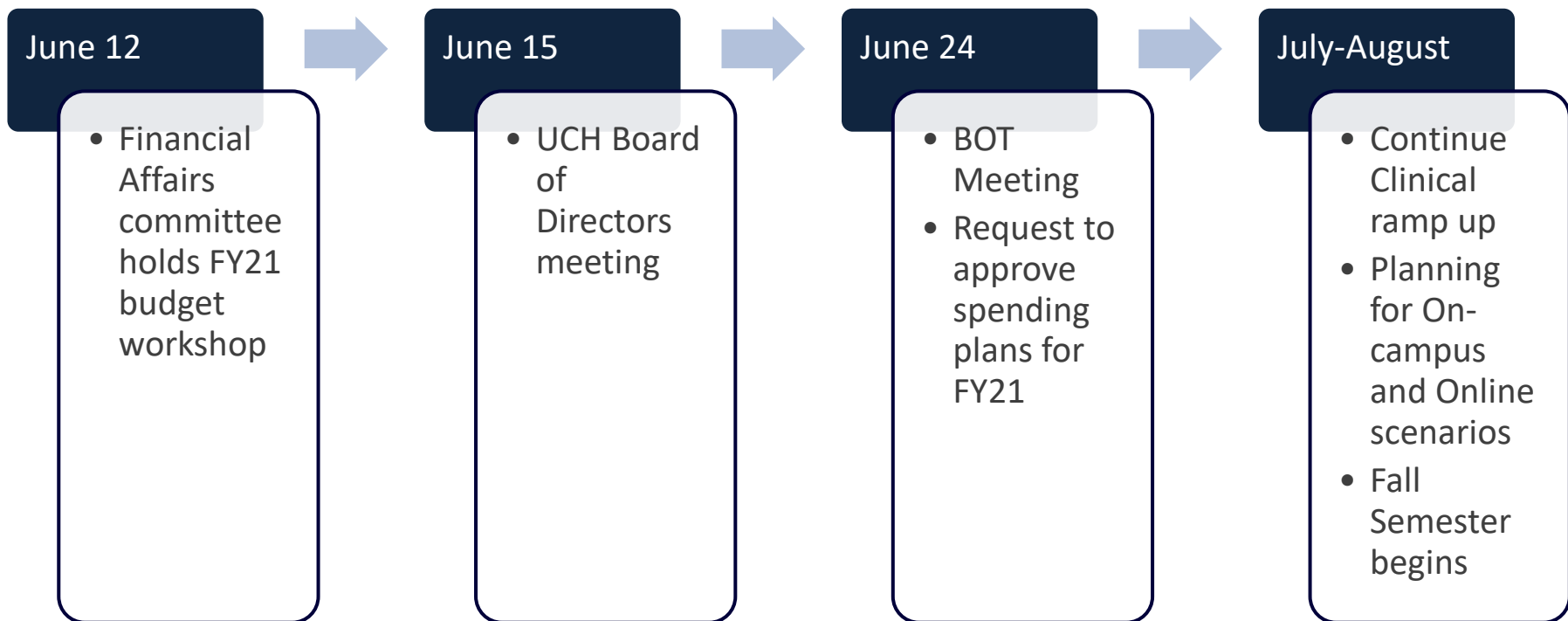


FY21 Spending Plan

Board of Trustees
6/24/20

Timeline: FY21 Budget Process

- Working groups studying challenges and preparing implementation plans and safety guides
- Fall decision will guide the budget scenario



Key Issues

Uncertainty on timing of pandemic leads to unknown risks and affects many decisions needed for developing the FY21 budget

- Before the pandemic, University generated operating surpluses, but unfunded fringe legacy costs erased them
- These high legacy costs impact our research and clinical competitiveness, and we had taken steps to address this issue
- Since the pandemic,
 - UConn Storrs/Regionals issued over **\$30 million in pro-rated student refunds of housing, dining, and parking fees**
 - UConn Health **stopped elective surgeries worth over \$100 million** to focus on COVID patients

FY21 SERS Unfunded Legacy Costs

State reimburses UConn/UCH for some unfunded legacy costs, but we must use our own non-State funds to pay a large share of that liability, plus retiree health costs, for a combined total of **\$85M** in FY21

UConn (Storrs & Regionals)		
Fund Type	FY20	FY21
Tuition/Fees/Other*	\$21.6	\$24.1
Research	\$6.4	\$6.9
Non-State Funds/Liabilities	\$28.0	\$30.9
UConn Health**		
Fund Type	FY20	FY21
Clinical	\$26.9	\$29.8
SOM/SODM Academic Units***	\$15.0	\$15.9
Research Fund	\$7.8	\$8.1
Non-State Funds/Liabilities	\$49.7	\$53.8
Combined UConn/UCH	\$77.7	\$84.7

*Other includes outside educational revenue, indirect cost return from grants, etc.

UCH received **\$33.2M additional State support in FY20 to help cover a portion of the unfunded pension liability and retiree health costs.

***Includes tuition, contracts, interns, residents etc.

FY21 Operating Budget Risks

COVID

- Unknown student reaction towards either Fall scenario
- Potential for additional outbreak in the Fall even after students return for on-campus learning

State Support

- Mid year appropriation rescissions or fund sweeps

Fringe Costs

- Fringe benefit rates continue to rise, largely due to the State's unfunded pension liability and retiree health costs. UConn has no control over the rates, but must cover the associated costs with non-state funds (tuition and fees, research and clinical revenues)

Patient Revenue

- Payer mix and volume uncontrollable
- Provider based reimbursement
- Consolidation of other systems reducing outside referrals
- DSS Supplement/Enhanced payments Federal match

FY21 Deficit Mitigation Options

With deficit projections ranging from **\$47M to \$129M** for UConn Storrs/Regionals and **\$115M to \$188M** for UConn Health, we must consider numerous potential mitigation options.

- **New Revenue**
 - Entrepreneurial programs
 - Consolidate, modernize, and expand auxiliary services
- **Academic Program Review**
 - Larger class sizes
 - Elimination/reduction of programs with low enrollment
- **Athletics**
 - Subsidy reduced by 25% (\$10M over 3-5 years)
- **Labor Expense Reductions**
 - Pay raise deferrals
 - Furloughs / layoffs

Academic Savings

Budget decisions should be driven by our upcoming strategic plan and a metrics-driven approach at multiple levels

- **Schools/Colleges**

- Consideration of a new budget model that allocates resources based on priorities and outcomes in key areas:
 - Student success
 - Research
 - Diversity, equity, and inclusion
 - Responsible use of resources

- **Academic Departments and Programs**

- Deans will make challenging decisions about their academic programs, which will be evaluated using metrics below and benchmarked against disciplinary peers at other institutions:
 - Instructional costs per credit hour
 - Teaching load
 - Research productivity

- **Center and Institutes (C/I)**

- Moving towards return on investment expectations for C/I
- Instituting regular review process with clear outcomes and plans for sun-setting

UConn

Storrs & Regionals

Operating & Capital Budgets

Balancing the Budget (Pre-COVID)

UConn has resolved past budget gaps mostly through department rescissions, but these cut into core operations, affecting productivity. In last 4 years, academic and administrative areas have been cut by **\$92M**.

Deficit Mitigation (in millions)				
Strategy	FY18	FY19	FY20	FY21
Original Deficit (Pre-COVID)	\$ (39.1)	\$ (33.5)	\$ (40.5)	\$ (42.6)
Approved tuition increase; net of financial aid	\$ 14.2	\$ 16.7	\$ 17.2	\$ 10.6
State reimbursement of SEBAC payments		8.4		
Additional revenues	2.0			
Budget cuts allocated to departments (Includes attrition, efficiency gains, operational reductions)	25.3	14.4	28.0	25.0
Budget Gap resolutions	\$ 41.5	\$ 39.5	\$ 45.2	\$ 35.6
Net Gain / (Loss)	\$ 2.4	\$ 6.0	\$ 4.7	\$ (7.0)
Additional attrition/expense savings expected throughout the year				7.0
				\$ -

*FY21 Key Budget Assumptions (Pre-COVID)

- Flat State Appropriation (with CBI's)
- BOT approved tuition plan
- 5.5% CBI's for faculty and staff (Mgmt at 0%)
- 1.5% fringe rate increase
- 3% and 4% departmental budget rescissions
- Flat room and board rates

FY21: Fall Scenarios

Given uncertainty, we are planning based on multiple budget scenarios for FY21. The best case scenario is based on strong deposits at June 1 deadline.

In Millions (\$M)	A. On Campus Best Case (INT -74%; OSS +64%)	B. On Campus Mid Case (INT -40%; OSS -7%)	C. All Online Worst Case (INT -65%, OSS -50%)
	FY21 existing deficit	7.0	7.0
COVID impact:			
Loss of in-state students (CT)	8.2	8.7	6.1
Loss of international students (INT)	12.9	9.4	13.5
Loss of domestic out-of-state students (OSS)	(9.9)	6.3	18.1
Lost housing revenue (net)	14.3	24.6	45.9
Lost dining revenue (net)	2.2	7.8	12.0
Lost fees	2.0	1.0	26.0
Reduced State Support	9.8	-	-
COVID impact	39.5	57.8	121.6
Total Budget Impact - FY21	\$46.6	\$64.8	\$128.6

FY21 Assumptions

- Enrollment assumptions in best case based on remediation strategy and confirmed by June 1 deposits. Middle/worst case assumptions are theoretical

New students	On-campus Best Case	On-campus Mid Case	Online Worst Case
In-state	+1%	-5%	-5%
Out-of-state	+64%	-7%	-40%
International	-74%	-50%	-65%

- Residential assumptions based on social distancing policy

	On-campus Best Case	On-campus Mid Case	Online Worst Case
Housing	-25%	-55%	-100%
Dining contracts	-50%	-66%	-100%

UConn FY21 Budget Scenarios

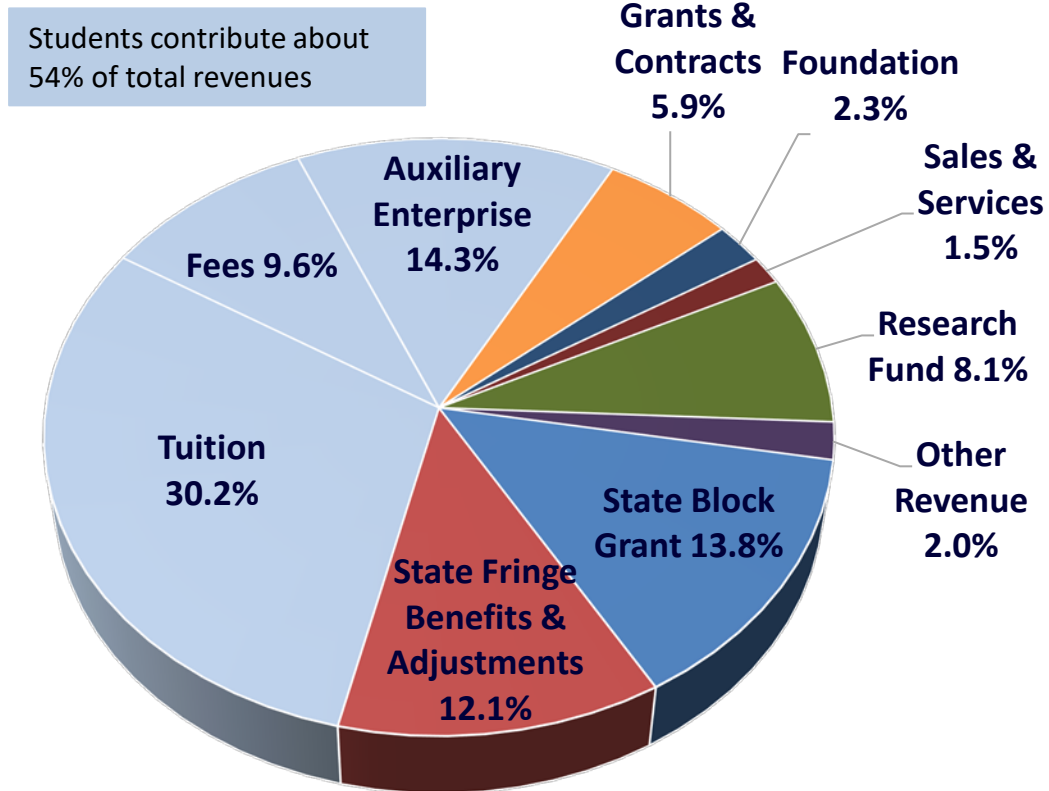
UConn is monitoring various scenarios and developing strategies to mitigate the impact under each scenario.

	FY19 Actuals	FY20 Forecast	FY21 Budget (Pre-Covid)	FY21 Budget Covid On-Campus Best Case	FY21 Budget Covid On-Campus Mid Case	FY21 Budget Covid Online Worst Case
Revenues:						
State Support	\$ 356.7	\$ 369.3	\$ 397.0	\$ 387.1	\$ 397.0	\$ 397.0
Tuition	426.4	445.9	462.0	450.8	437.6	424.3
Mandatory/Course Fees	137.7	146.7	147.7	145.7	146.7	121.7
Grants & Contracts	88.4	87.9	90.6	90.6	90.6	90.6
Auxiliary Enterprise	218.9	184.4	219.4	202.9	187.0	161.5
Other Revenue (incl Foundation reimb.)	85.3	101.4	88.6	88.6	88.6	88.6
Research Fund	122.2	123.3	126.9	124.3	124.3	124.3
Total Revenues	\$ 1,435.5	\$ 1,458.8	\$ 1,532.2	\$ 1,490.0	\$ 1,471.8	\$ 1,408.0
Expenditures:						
Salaries & Wages	501.2	524.2	548.3	548.3	548.3	548.3
Fringe Benefits	285.9	305.1	326.2	326.2	326.2	326.2
Other Expenses (incl energy/equip.)	281.7	278.5	296.4	296.4	296.4	296.4
Student Financial Aid	188.2	213.6	211.9	211.9	211.9	211.9
Projects/Debt	49.6	30.8	30.5	30.5	30.5	30.5
Research Fund	122.4	123.3	125.9	123.3	123.3	123.3
Total Expenditures	\$ 1,429.0	\$ 1,475.5	\$ 1,539.2	\$ 1,536.6	\$ 1,536.6	\$ 1,536.6
Net Gain/Loss	\$ 6.5	\$ (16.7)	\$ (7.0)	\$ (46.6)	\$ (64.8)	\$ (128.6)

FY21 Revenue by Category

The University relies more on tuition than any other revenue source at nearly 30%. State support in the form of the block grant is only 13.8% of total revenues, and when combined with the State fringe reimbursement, only accounts for 26% from the State.

Revenues (\$M)	
State Block Grant	211.3
State Fringe Benefits & Adjustments	185.7
Total State Support	\$ 397.0
Tuition	462.0
Mandatory/Course Fees	147.7
Grants & Contracts	90.6
Foundation/Endowment	34.6
Sales & Services	23.1
Auxiliary Enterprise	219.4
Other Revenue	30.9
Total Operating Fund	\$ 1405.3
Research Fund	126.9
Total Revenues	\$ 1532.2



Note: Use of decimals may result in rounding differences.

FY21 Expense by Category

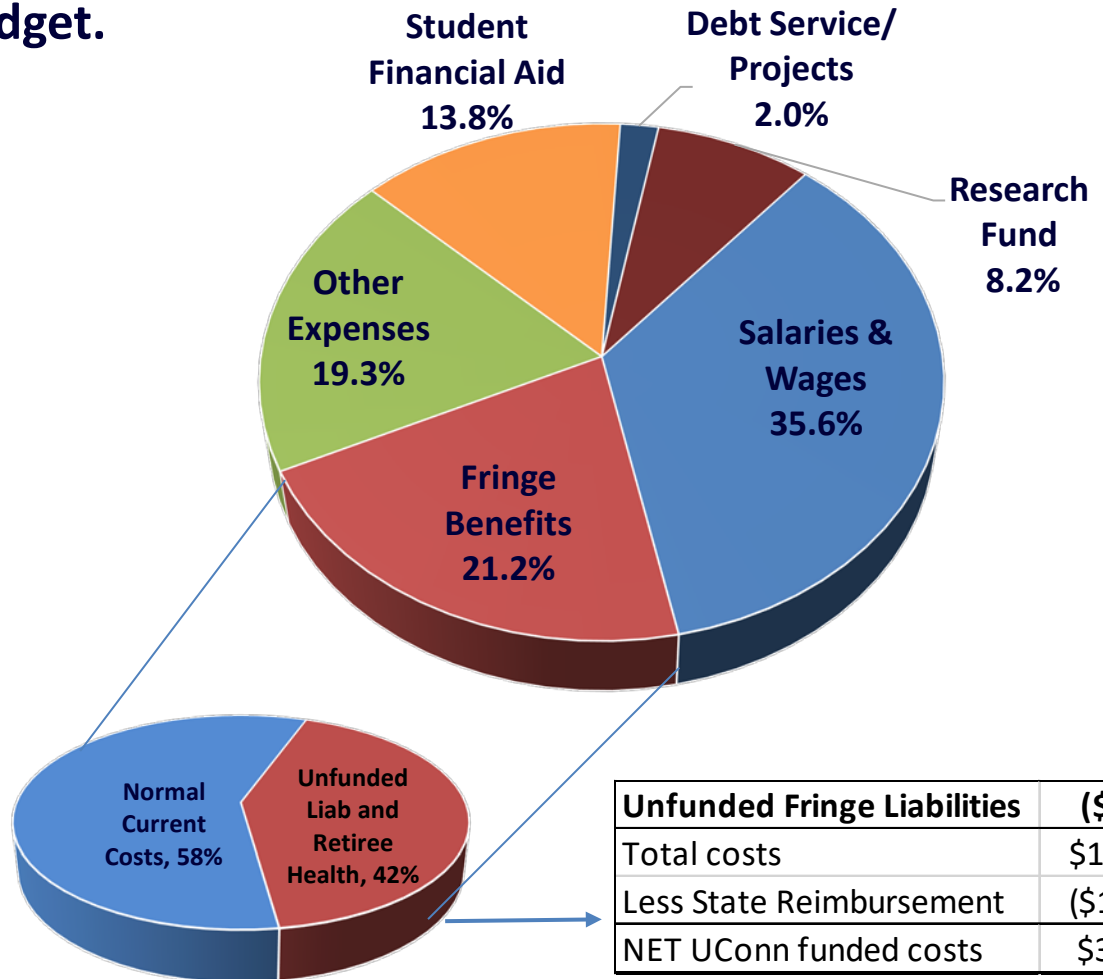
Salary and fringe benefit costs, primarily due to the state's unfunded legacy costs, are growing at a significant pace and account for over 57% of the University's operating budget.

Expenditures (\$M)

Salaries & Wages	548.3
Fringe Benefits	326.2
Other Expenses	249.8
Energy	21.5
Equipment	25.1
Student Financial Aid	211.9
Debt Service	21.3
Capital Projects	9.2
Total Operating Fund	\$ 1413.3

Research Fund	125.9
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Total Expenditures	\$ 1539.2
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Note: Use of decimals may result in rounding differences.

Financial Aid

UConn is doing its part to ensure access and affordability by increasing financial aid support. The Federal CARES act provided an additional \$10.75M to allocate to students in FY20

- University Supported aid has increased 25% over the last 3 years
- 63% of all undergraduates are receiving some form of gift aid
- 77% of gift aid for undergraduates is utilized to cover financial need

Undergraduate & Graduate Aid (\$M)	FY18	FY19	FY20 Forecast	FY21 Budget	FY18-FY21 Change
University Supported*	\$119.5	\$129.2	\$141.6	\$149.3	\$29.8
State (includes R. Willis Scholarship)	8.9	9.0	9.7	9.7	0.8
Federal (Pell/SEOG)	31.2	35.3	46.1	35.1	3.9
Other**	10.6	14.8	16.4	17.6	7.0
Total Aid in Budget	\$170.2	\$188.3	\$213.9	\$211.7	\$41.5

*University Supported includes undergraduate and graduate aid funded by tuition, departmental revenue, and work study.

**Other funding comes from the private sources such as the Foundation and Endowments.

Capital Program Challenges

Instability in economy is contributing to workforce, supply chain and funding uncertainty

- COVID has created capital program risks and challenges that could result in project delays
 - Potential for workforce limitations, interruptions or unavailability – job site safety is highest priority
 - Unknown impact to supply chain for select materials
 - Future State funding is not guaranteed
- Project delays result in increased costs and reduced project scopes; current construction cost annual escalation estimated @ 4%
- Action plan:
 - Communicate major capital project status to State leaders to ensure that the essential future year funding remains intact
 - Focus on minimizing active project delays and rebidding select projects to take advantage of current market

Capital Budget Plan

UCONN 2000 Bond Funded Projects (in millions)		Prior Auth	FY21	FY22-FY27	Budget	Status for FY21
Science Program	NW Quad: Gant Science Building Renovation	\$140.2	\$29.6	\$78.2	\$248.0	Construction
	NW Quad: STEM Research Center Science 1*	51.0	92.0	77.0	220.0	Construction
	NW Quad: Science Program Utility Plant & Infrastructure*	84.4	75.7	27.9	188.0	Construction
	Engineering Lab Renovations	3.0	1.0	1.0	5.0	Design/Construction
	Classroom & Lab Renovations	8.6	4.3	64.4	77.2	Design/Construction
	Torrey Demolition			12.5	12.5	Planning
	Major Equipment (Faculty Start-up)	14.42	4.8	28.8	48.0	Ongoing
	Total Science Program		\$207.3	\$289.8		
Academic	Classroom & Lab Renovations	8.6	7.4	35.4	51.4	Design/Construction
	Major Equipment (Faculty Start-up, ITS)	26.4	4.6	18.0	49.0	Ongoing
	Total Academic Priorities		\$12.0	\$53.4		
Deferred Maintenance	Watershed Compliance	0.8	3.7	0.0	4.5	Design/Construction
	Historic Buildings Exterior Repairs (per SHPO agreement)	0.8	2.0	3.7	6.5	Design/Construction
	Pedestrian Safety Improvements	2.3	2.4	2.2	6.8	Design/Construction
	Wastewater Treatment Plant (Sewage) Repairs			35.0	35.0	Planning
	Deferred Maintenance-All Campuses	76.5	20.3	74.1	170.9	Design/Construction
	Total Deferred Maintenance		\$28.4	\$115.0		
Other/Contingency			12.4	21.2		
Total UCONN 2000 Bond Funded Projects for NextGenCT		\$1,348.7	\$260.0	\$479.3	\$2,087.9	
University Funded Projects						
DM	Facilities Repairs & Improvements	98.9	7.0	68.1	174.0	Design/Construction
Academic	Programmatic Renovations		5.0	58	63.0	Design/Construction
Other	Athletic Stadia	78.6	18.0	0.0	96.6	Construction
	Hockey	15.0	20.0	33.0	68.0	Construction
	Other/Contingency		5.0	21.6		
Total University Funded Projects**		\$192.5	\$55.0	\$180.7	\$428.2	
Grand Total Capital Budget**		\$1,541.2	\$315.0	\$659.9	\$2,516.1	

*Project is or is anticipated to be constructed under a Project Labor Agreement.

**Excludes other project funds not part of the Next Generation Connecticut initiative or previously approved.

FY21 Capital Budget by Fund Source

86% of the \$315M capital budget will provide funding for active construction projects, with the remaining 14% dedicated to planning and design

Academic & Research Facilities	\$125.6	Gant Science Building Renovation, STEM Science 1 Building
Infrastructure DM	78.6	Science Program Utilities, Supplemental Utility Plant, Central Utility Plant
Other DM	37.8	Programmatic Renovations, Pedestrian Safety Improvements, Contingency
Equipment	13.0	Faculty start-up/research, IT network
Residential Life	5.0	Repairs & Renovations
UCONN 2000 State Bonds	\$260.0	
University Funds	55.0	Facilities & Infrastructure Repairs, Academic Renovations, Athletics
Total Capital Budget	\$315.0	All capital projects costing \$500K or more are submitted for Board action on a project by project basis

Capital Program Summary

In spite of the negative COVID impacts, UConn will continue to complete projects within the Capital Program

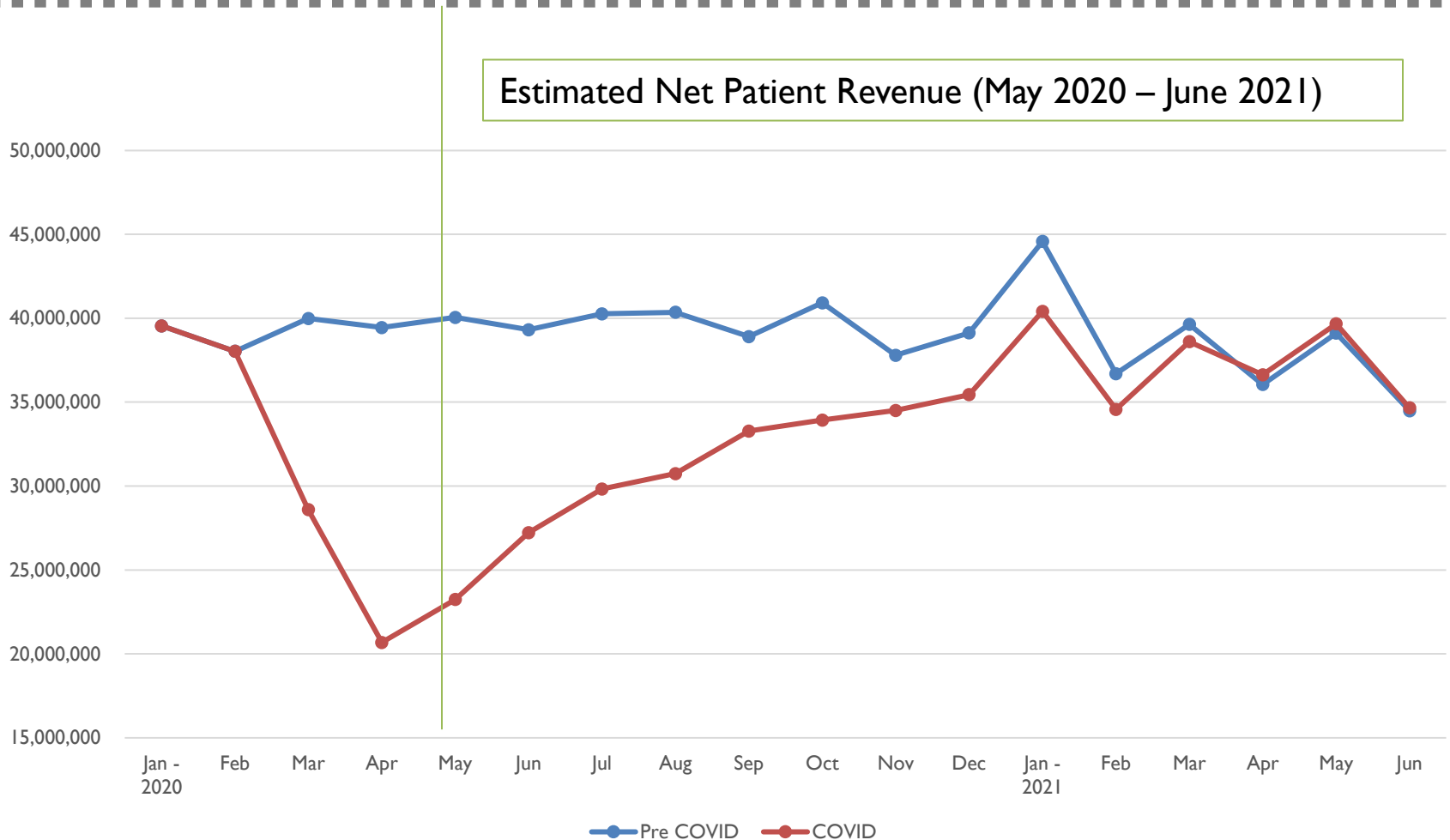
- State bond funding currently in statute will support the NextGenCT Science Program as well as other required infrastructure projects
- While future year State bond funding is not guaranteed, UConn continues to work with the State to communicate project funding requirements
- UConn will identify funding strategies to mitigate the negative impacts of any COVID related cost or delays while limiting the impact to the strained operating budget
- Construction begins on the NW Quad Science projects which accomplishes the simultaneous goals of assisting in the State's economic recovery from the COVID crisis, as the construction value of these projects supports the creation and/or preservation of thousands of jobs, as well as working towards the University's goal of doubling research

UConn Health

Operating Budget

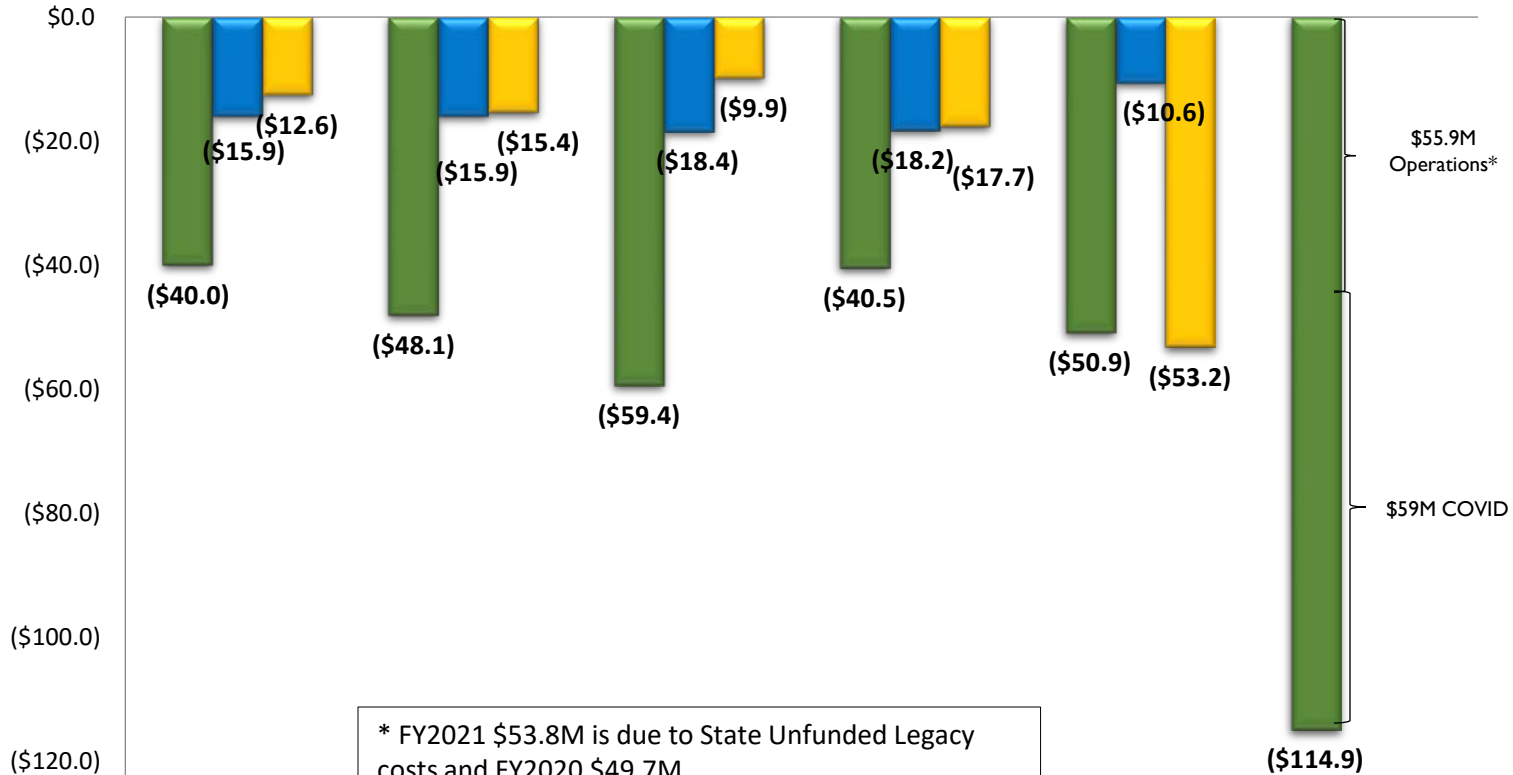
FY 21 Assumptions

Net Patient Revenue (per month)



- The reduction of Net Patient revenue is the main driver of the FY 21 UCH deficit.

Forecast (with COVID)



Original Projection w/o Intervention	(\$40.0)	(\$48.1)	(\$59.4)	(\$40.5)	(\$50.9)	(\$114.9)
Final Budget	(\$15.9)	(\$15.9)	(\$18.4)	(\$18.2)	(\$10.6)	
Actuals/Forecast FY20 (with COVID)	(\$12.6)	(\$15.4)	(\$9.9)	(\$17.7)	(\$53.2)	

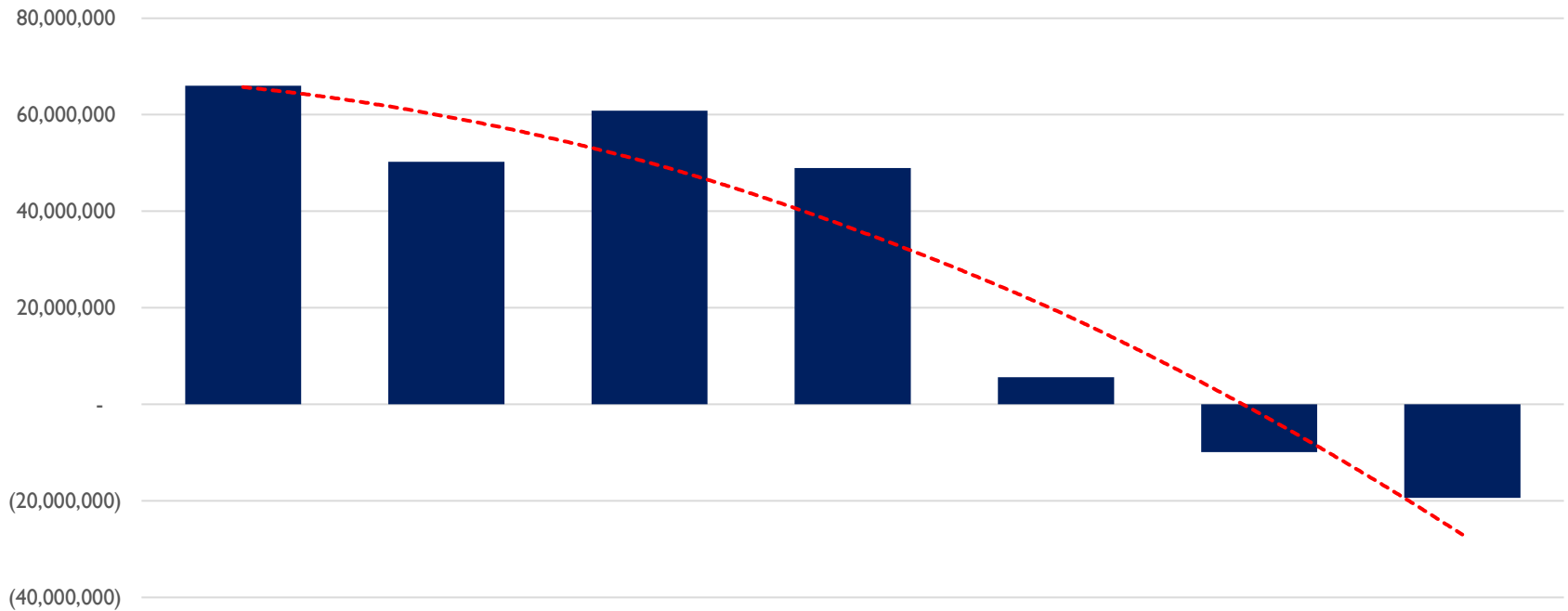
Fiscal Year 2020 Actuals vs. Fiscal Year 2021 Proposed Budget - With COVID

	Fiscal Year 2020	Fiscal Year 2021		
<u>Revenues:</u>	Actuals	Proposed Budget	Variance	% Variance
Tuition and Fees	\$ 29.2	\$ 29.7	\$ 0.4	1.5%
Grants & Contracts	83.8	89.4	5.6	6.3%
Interns/Residents	71.5	77.7	6.2	8.0%
Net Patient Revenue	501.9	531.4	29.5	5.5%
Other Revenue	177.1	172.3	(4.8)	-2.8%
Total Revenue	\$ 863.6	\$ 900.5	\$ 36.9	4.1%
<u>Expenses:</u>				
Personal Services	\$ 441.6	\$ 475.3	\$ 33.7	7.1%
Fringe Benefits	276.0	309.9	33.9	11.0%
Drugs/Medical Supplies	128.9	133.4	4.5	3.4%
Resident and Fellow house staff	58.0	61.8	3.8	6.1%
Utilities	13.4	15.0	1.5	10.3%
Interest Expense on Debt Service	9.3	9.2	(0.2)	-2.0%
Other Expenses	253.6	256.3	2.7	1.1%
Depreciation	29.6	30.0	0.4	1.2%
Total Expenses	\$ 1,210.4	\$ 1,290.8	\$ 80.4	6.2%
<u>Excess/(Deficiency) of Revenues over Expenses</u>	\$ (346.9)	\$ (390.3)	\$ (43.4)	11.1%
Block Grant	\$ 128.0	\$ 132.9	\$ 5.0	3.7%
Fringe Reimbursement	132.5	142.4	9.9	7.0%
Additional Support-State Unfunded legacy costs	33.2	-	(33.2)	-100.0%
Total State Support	\$ 293.7	\$ 275.3	\$ (18.3)	-6.7%
<u>Excess/(Deficiency)</u>	\$ (53.2)	\$ (114.9)	\$ (61.8)	-53.7%

Cash

UConn Health April to September Cash Balance Projections

March Actual, April-September estimated



	3/31/2020	4/30/2020	5/31/2020	6/30/2020	7/31/2020	8/31/2020	9/30/2020
■ Cash Balance	66,011,075	50,246,454	60,822,111	48,930,646	5,598,550	(9,910,334)	(19,410,334)

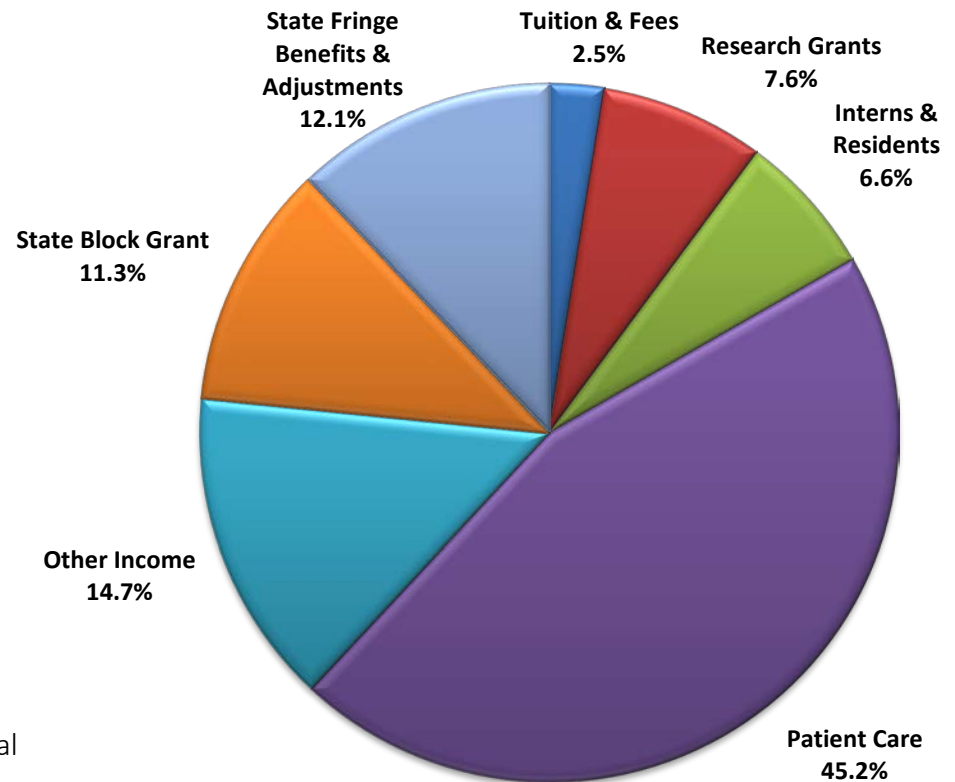
- These estimates include a pending \$31M loan from the federal Medicare Accelerated Payment Program. If this loan is not approved, UCH will go cash negative by the end of July.

FY21 Revenue by Category

With COVID

Patient Care Revenue represents 45% of total revenue for UConn Health; State support in the form of the block grant is only 11% of total revenues, and when combined with the State fringe reimbursement, only accounts for 23% from the State.

Revenue (\$M)	
State Block Grant	132.9
State Fringe Benefits & Adjustments	142.4
Total State Support	\$ 275.3
Tuition	29.7
Grants & Contracts	89.4
Interns/Residents	77.7
Net Patient Revenue	531.4
Other Revenue*	172.3
Total Revenues	\$ 1,175.9



* Other Revenue includes auxiliary services, gifts/endowments, external contract revenue and internal income (offset by internal expense)

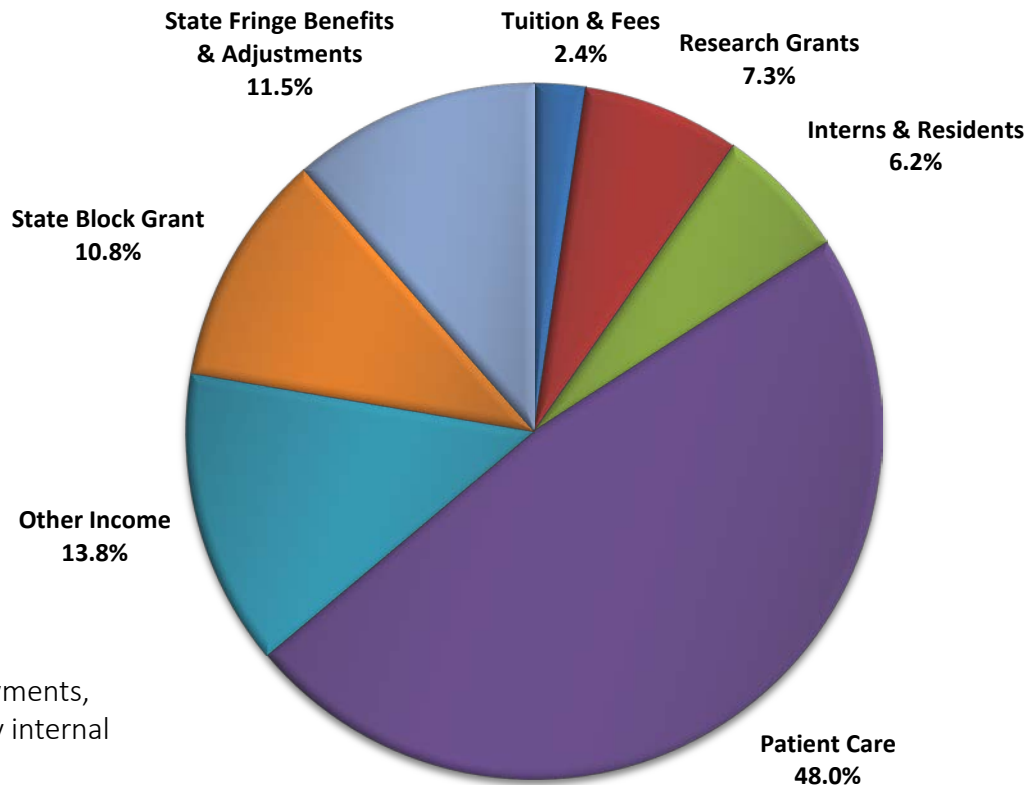
Note: Use of decimals may result in rounding differences.

FY21 Revenue by Category

Without
COVID

Patient Care Revenue represents 48% of total revenue for UConn Health; State support in the form of the block grant is only 11% of total revenues, and when combined with the State fringe reimbursement, only accounts for 22% from the State.

Revenue (\$M)	
State Block Grant	135.9
State Fringe Benefits & Adjustments	143.9
Total State Support	\$ 279.7
Tuition	29.7
Grants & Contracts	91.8
Interns/Residents	77.7
Net Patient Revenue	601.6
Other Revenue*	172.3
Total Revenues	\$ 1,252.9



* Other Revenue includes auxiliary services, gifts/endowments, external contract revenue and internal income (offset by internal expense)

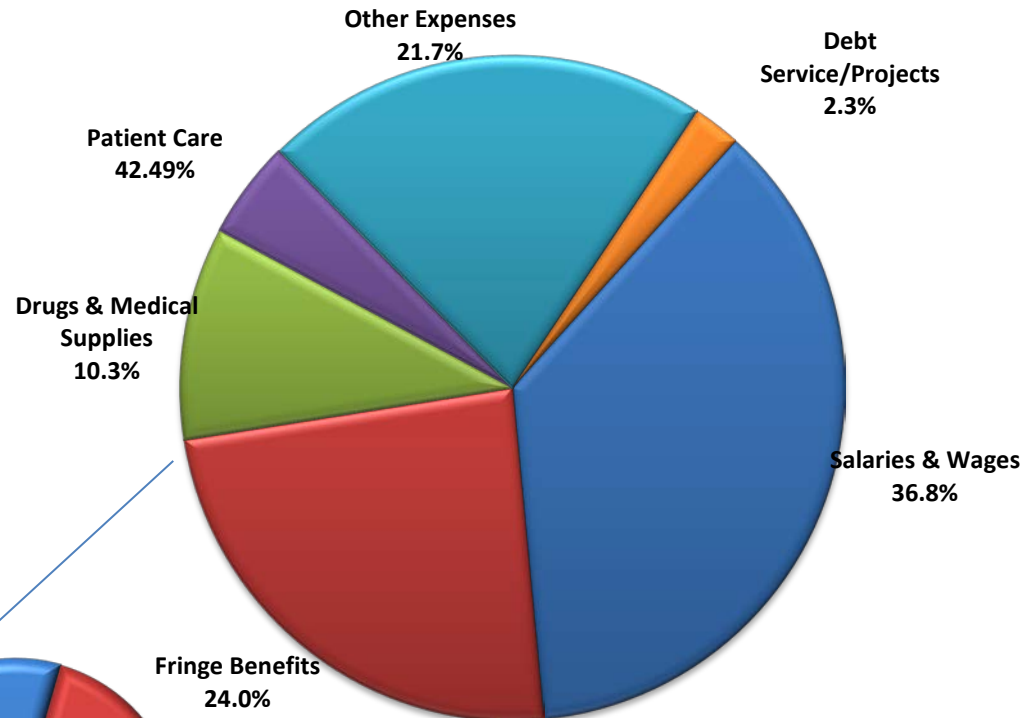
Note: Use of decimals may result in rounding differences.

FY21 Expense by Category

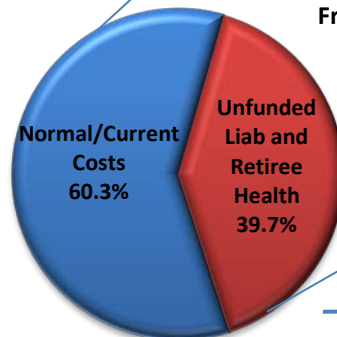
With COVID

Salary and fringe benefit costs, primarily due to the state's unfunded legacy costs, are growing at a significant pace and account for over 60% of the University's operating budget.

Expenditures (\$M)	
Salaries & Wages	475.3
Fringe Benefits	309.9
Drugs & Medical Supplies	133.4
Resident and Fellow house staff	61.8
Other Expenses*	280.3
Debt Service/Projects	30.0
Total Expenditures	\$ 1,290.8



* Other Expenses includes utilities, data processing hardware/software licenses/maintenance agreements, food service, rent, telephone services, internal expense (offset by internal income) and other outside purchased services.



Unfunded Fringe Liabilities (\$M)	
Total Costs	\$ 123.1
Less State Reimbursement	(69.2)
Net UCH Funded Costs	\$ 53.8

Note: Use of decimals may result in rounding differences.

ATTACHMENT 19

June 24, 2020

TO: Members of the Board of Trustees

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

RE: Proposed Second Amended and Restated Master Agreement and Statement of
Work for the UConn Foundation for Fiscal Year 2021

RECOMMENDATION:

The University administration recommends that the Board of Trustees approve the resolutions below authorizing the University approved the Second Amended and Restated Master Agreement and to enter into a statement of work for Fiscal Year 2021 with The University of Connecticut Foundation, Incorporated (the "UConn Foundation").

BACKGROUND:

The University has established a Master Agreement with the UConn Foundation in satisfaction of the requirements of Connecticut General Statutes § 4-37f(9). This agreement details the University's relationship with the UConn Foundation and sets forth the UConn Foundation's responsibilities for performing development, investment and other services in support of the University. The UConn Foundation is a private organization, exempt from taxation under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended, that operates exclusively to promote the educational, research, cultural, and recreational objectives of the University.

The Master Agreement requires, among other things, that the University enter into statements of work with the UConn Foundation outlining specific goals and objectives and the financial consideration to be provided by the University. The current Master Agreement and statement of work both expire on June 30, 2020.

The SECOND AMENDED AND RESTATED MASTER AGREEMENT:

The Second Amended and Restated Master Agreement between the University and the UConn Foundation continues the current relationship between the parties for a period of five years, from July 1, 2020 through June 30, 2025. The terms are identical to the First Amended and Restated Master Agreement of July 1, 2015 through June 30, 2020 but for updates to the language of the nondiscrimination terms and Executive Orders required for state contracts and to current University administrative titles and names of University offices.

The STATEMENT OF WORK FY21:

The proposed statement of work with the UConn Foundation sets forth the fundraising, investment management, alumni relations activities and other related goals and objectives for Fiscal Year 2021. The goals and objectives established for next year include the following:

- A fundraising goal of \$90 million in new gifts and commitments for the University (including support for UConn Health);
- Continuation of focused fundraising activities around supporting need-based financial aid, with particular focus on the University's Connecticut Commitment;
- Expansion of the grateful patient program through work with identified physician champions and patient rounding with nurse managers;
- Providing quality alumni programs and services that strengthen lifelong bonds between all members of the UConn family; and
- Continued building upon the ongoing planning activities for the significant and concerted fundraising campaign for the benefit of the University. The amount of funds to be raised, priorities to be funded, and the timing of the campaign will be mutually agreed upon by the University and the UConn Foundation in consideration of relevant operational and economic factors, including the COVID-19 pandemic and its global economic impact.

In consideration for the UConn Foundation's performance of these services during the next fiscal year, the University has agreed to pay the UConn Foundation \$12,150,201 for all development and alumni activities and related services, of which a minimum amount of \$2,835,201 will be devoted specifically to alumni relations activities and services.

RESOLUTION:

In furtherance of the foregoing, the University recommends the Board of Trustees of the University approve the following resolutions:

RESOLVED, that the University's President and administration are authorized to execute and deliver the Second Amended and Restated Master Agreement with the UConn Foundation on the terms described above; and

RESOLVED, that the University's President and administration are authorized to execute and deliver a statement of work for Fiscal Year 2021 with the UConn Foundation on the terms described above and such other terms as may be deemed advisable and in the best interest of the University by the University's President and administration; and

RESOLVED, that the University's President and administration are hereby further authorized to execute, deliver and perform, in the name of and on behalf of the University, such certificates, instruments, documents and agreements as each of them may deem necessary, useful or required in furtherance of the foregoing resolution.

EXECUTION VERSION

SECOND AMENDED AND RESTATED MASTER AGREEMENT

between

THE UNIVERSITY OF CONNECTICUT

and

THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

WHEREAS, the UNIVERSITY OF CONNECTICUT (hereinafter the “University” or “UConn”), Connecticut’s land grant university, whose statutory authority is set forth in Chapter 185b of the Connecticut General Statutes, and THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED (hereinafter the “Foundation”), a Connecticut non-stock corporation that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the “Code”), entered into an agreement effective July 1, 2014 (the “Original Agreement”) to outline the relationship between the parties and to assure compliance with the provisions of CONN. GEN. STAT. § 4-37e et seq., as they may be amended, and other applicable laws;

WHEREAS, pursuant to the Original Agreement the University designated the Foundation to assume primary responsibility for the University’s development efforts and the investment and administration of endowment funds established to benefit the University, and the Foundation agreed to undertake these responsibilities;

WHEREAS, the University and the Foundation entered into the First Addendum to Master Agreement, effective as of April 1, 2015, pursuant to which, among other things, the University designated the Foundation to assume primary responsibility for performing alumni relations activities in support of the University, and the Foundation agreed to undertake these responsibilities;

WHEREAS, the University and the Foundation entered into the First Amended and Restated Master Agreement, effective July 1, 2015, whereby the Original Agreement and First Addendum were amended and restated in their entirety to set forth the terms on which the Foundation would continue for a period of five (5) years to support the University by engaging in development efforts, investing and administering endowment and other funds established to benefit the University and performing alumni relations activities;

WHEREAS, the mission of the Foundation is to solicit, receive, invest and administer gifts and financial resources from private sources for the benefit of all campuses and programs of the University (inclusive of the University’s Health Center), and, to this end, to support the University’s alumni relations activities; and the Foundation operates exclusively to promote the educational, research, cultural, and recreational objectives of the University; and as a primary fundraising vehicle to solicit and administer private gifts and grants which will enhance the University’s mission, the Foundation supports the University’s pursuit of excellence in teaching, research and public service;

WHEREAS, the University and the Foundation desire to set forth the terms on which the Foundation will continue to support the University by engaging in development efforts, investing and administering endowment and other funds established to benefit the University and performing alumni relations activities;

WHEREAS, Section 11.2 of the First Amended and Restated Master Agreement provides that it may be amended from time to time upon mutual written agreement of the parties, approval of their respective governing boards and approval as to form by the Office of the Attorney General;

NOW, THEREFORE, the First Amended and Restated Master Agreement is hereby amended and restated in its entirety by the execution of this Second Amended and Restated Master Agreement dated effective July 1, 2020 (this "Agreement"), entered into between the University and the Foundation:

1.0 Relationship of the Parties

1.1 The University and the Foundation acknowledge that the University is a constituent unit of the State of Connecticut's system of public higher education, as defined in CONN. GEN. STAT. §10a-1, and is responsible for the governance and administration of all the schools, colleges, divisions and departments of all the University's campuses (including, without limitation, the University Health Center); and the Foundation is an independent Connecticut non-stock corporation exempt from federal taxation under Section 501(c)(3) of the Code, and a "foundation" as defined under CONN. GEN. STAT§ 4-37e(2); that each entity is governed by separate governing boards; that each entity is permitted only to deposit funds to their respective accounts which are properly designated for that specific entity; and that each entity is subject to separate accounting, disbursement, and disclosure requirements as a matter of internal governance regulations and applicable state and federal law.

1.2 The Foundation and University are each independent entities and agree that neither shall have any liability for the obligations, acts or omissions of the other party, or the other's trustees, directors, officers, employees and agents.

1.3 The Foundation will be governed, in accordance with its bylaws as amended from time to time, by a volunteer board of elected directors, which includes the following ex-officio non-voting (except as otherwise indicated) directors: the President of the University, the University's chief academic officer, a senior administrator from the University Health Center, the chief financial officer of the University, a chief administrator from the Department of Athletics, the Chair of the Institutional Advancement Committee of the University Board of Trustees or any other member of the Institutional Advancement Committee as designated by the Chair of the Institutional Advancement Committee, the President of the Foundation (voting), a student enrolled at the University and elected by enrolled students, and a faculty member of the University (elected by the faculty). With respect to the University positions serving as ex-officio members of the Foundation board of directors, the positions will be identified consistent with titles in the University's

bylaws as amended by the University from time to time. The Foundation reserves all rights and powers granted to it under its charter and bylaws, the Connecticut non-stock corporation law and federal law.

- 1.4 This Agreement provides the terms and conditions of the relationship between the University and Foundation. From time to time, but in no event less frequently than once every five years, the Foundation and University will enter into statements of work (each, a “SOW”) which outline the specific fundraising, investment management, alumni relations activities and other related goals and objectives that the University and Foundation have agreed upon and the annual amount agreed to be paid (if any) to the Foundation for each fiscal year (Fiscal Year: July 1 – June 30) in consideration of the Foundation’s fundraising, investment management, alumni relations and other related services described in this Agreement.
- 1.5 The University and the Foundation will use their best efforts to ensure that Foundation activities contemplated by this Agreement comply with the Internal Revenue Code, particularly, Section 501(c)(3) and its regulations, and applicable state law, including without limitation CONN. GEN. STAT. § 21a-175 et seq.
- 1.6 The Foundation in its discretion will assign Foundation employees to work primarily with the University’s alumni and other potential donors and with the administration and faculty of particular University schools, colleges and programs for the activities contemplated by this Agreement. The Foundation agrees that it will collaborate with the Deans and Directors of such schools, colleges, and programs in establishing objectives and performance expectations of such employees. The employees will also be permitted to perform general advancement and alumni relations work as requested by the school, college and program and agreed to by the Foundation. As an independent organization the Foundation has the authority to hire employees and otherwise develop its own human resources infrastructure and compensation policies to accomplish the mission of the Foundation.
- 1.7 At times the University may request the use of financial services of the Foundation to facilitate special fundraising or alumni events or other University projects, in accordance with best practices, that extend beyond the normal fiscal functions of the Foundation contemplated by this Agreement, to deposit and account for private gifts and to process routine disbursements. In such cases, the University shall request prior approval from the Foundation for the use of these services. The parties agree that the Foundation will be entitled to reasonable and appropriate compensation for such services. The University and the Foundation agree to make no commitment to a third party on behalf of the other without expressed prior written permission of such other party.

2.0 Fundraising Services

- 2.1 The University designates the Foundation as the primary entity to raise private financial support, manage philanthropic assets, and steward donors in support of the University. All University fundraising shall be directed by the Foundation. The parties will work

closely to create a culture of philanthropy and provide the transformational support necessary for UConn to achieve its aspirations within all of the University's schools, colleges, athletic programs and the University Health Center. The University will engage the Foundation in strategic planning to develop University and unit priorities, long-range goals and associated fundraising needs. The University will advise and include the Foundation in matters related to the University's marketing, branding and other communications strategies to the extent that they are relevant to the Foundation's mission of supporting the University.

- 2.2 As set forth in a SOW entered into between the parties from time to time, the Foundation will use its best efforts to increase total voluntary support (gifts raised by the Foundation, the UConn Law School Foundation, and the University (including non-governmental philanthropic research grants)); the Foundation will strengthen its principal, major, planned, and corporate and foundation giving programs; and the Foundation will also use its best efforts to enhance prospect identification, alumni participation rates, donor retention rates, and volunteer engagement.
- 3.0 Acceptance and Stewardship of Gifts
- 3.1 The Foundation will in its discretion establish and maintain gift acceptance policies. The Foundation shall make its best efforts to ensure that any monies received by the Foundation and defined in CONN. GEN. STAT. § 4-37g as "funds for deposit and retention in state accounts" are transferred to the University in a timely manner. The University and Foundation will jointly develop and maintain guidelines for determining the proper deposit of funds.
- 3.2 The Foundation will provide receipts and acknowledgments, as required by the Code, for all private gifts made for the benefit of the University, including gifts that will be assets of the University.
- 3.3 The Foundation will be responsible for coordinating University and Foundation activities related to thanking, acknowledging and stewarding donors. The University will assist the Foundation in such activity by, without limitation, providing to the Foundation, upon request, appropriate information on the use of charitable funds by the University.
- 3.4 The Foundation owns a private home located at 61 Scarborough Street in Hartford, Connecticut ("Foundation House"). The primary purpose of Foundation House is to advance the mission of the Foundation in support of the University by supporting fundraising, stewardship and engagement activities. For so long as the Foundation chooses to own Foundation House, it may be made available by the Foundation, in its discretion, to the University in support of University business under the terms of a separate agreement between the parties establishing terms and conditions for Foundation House's use.
- 3.5 As appropriate, and in the best interest of the University, the Foundation in its discretion and in consultation with University Communications will be responsible for arranging

press conferences, releases, print, web, radio, and television communications to acknowledge significant gifts to all University schools, colleges, departments and units.

4.0 Investment of Funds

4.1 The University and the Foundation entered a separate Endowment Management Agreement, dated April 28, 1996, authorizing the Foundation to manage endowed funds donated directly to the University as the University's agent. This Agreement replaces and supersedes the Endowment Management Agreement in its entirety. The University designates the Foundation as the investment manager of all University endowment and quasi-endowment fund assets. The Foundation will in its sole discretion maintain and modify investment and spending policies for such University endowment fund assets and for all Foundation assets (both endowed and non-endowed) that adhere to applicable federal and state laws, including the Uniform Prudent Investor Act (CONN. GEN. STAT. § 45-541 et seq.) and the Uniform Prudent Management of Institutional Funds Act (CONN. GEN. STAT. § 45a-535 et seq.). The Foundation as agent for the University in managing University endowment fund assets shall also have the following powers:

- (a) To invest and re-invest the University endowment assets in such securities and property as are from time to time legal investments for the Foundation;
- (b) To purchase, manage and sell property;
- (c) To exercise all conversion and subscription rights pertaining to any property;
- (d) To exercise all voting rights with respect to any investment and to grant proxies, discretionary or otherwise;
- (e) To cause any investments to be registered and held in the name of one or more of its nominees, or one or more nominees of any system for the central handling of securities, without increase or decrease of liability;
- (f) To collect and receive any and all money and other property due to the University endowment assets and to give full discharge therefore;
- (g) To commence or defend suits or legal proceedings to protect any interest of the University endowment assets; and to represent the University endowment assets in all suits or legal proceedings in any court or before any other body or tribunal, except that to the extent the interests of the University are implicated in any such suit or proceeding, the Office of the University's General Counsel and the Office of the Attorney General shall be notified of such suit or proceeding and shall provide legal representation to the University in connection therewith;
- (h) To employ agents and depositories, to delegate to them discretionary powers, to compensate them for their services and to reimburse their reasonable expenses; and

- (i) Generally to do all acts, whether or not expressly authorized, which the Foundation may deem necessary or desirable for the protection of the University endowment assets.
- 4.2 The Foundation’s current endowment investment and spending policies aim to preserve intergenerational equity (purchasing power) and provide a relatively stable spending stream to meet the needs of the University and comply with donor intent. The Foundation will, in its discretion, establish and achieve a reasonable endowment benchmark rate of return based on prudent levels of risk, targeted spending and an inflation factor calculated over a relevant rolling period. Such returns may also be benchmarked, in the Foundation’s discretion, for a risk adjusted return defined by strategic asset allocation policy long-term targets using measurable market and manager benchmarks. Specific benchmarks may be identified in a SOW.
- 4.3 The Foundation’s current non-endowed investment policy aims to provide sufficient liquidity and preserve capital for University needs. Specific benchmarks may be identified in a SOW.
- 4.4 The Foundation also agrees that it will act as the University’s agent for gifts of securities or other non-cash gifts that are donated to the University with the intention to be liquidated.
- 4.5 The Foundation will maintain such reasonable operating reserve as it determines appropriate to ensure continuity of its business operations in periods of economic uncertainty.
- 5.0 Expenditure of Funds
- 5.1 The University will use its best efforts to ensure that all available Foundation funds are timely utilized in accordance with donor intent. The Foundation will only approve disbursement requests received from the University that are properly authorized and in compliance with Foundation disbursement policies, which may include, without limitation, requirements that the request: complies with all donor imposed restrictions on the fund; supports the University’s mission and programs; represents a reasonable, legitimate and arm’s length business transaction; is properly authorized in the context of CONN. GEN. STAT. § 4-37e et seq.; and is compliant with all state laws applicable to University employees.
- 5.2 Annually, the President of the University shall certify to the Foundation a list (which shall be updated as changes occur) of University employees who are authorized to request disbursements from the Foundation (“Authorized Officials”). Requests for disbursements by the Foundation from an Authorized Official shall constitute a representation and certification by the Authorized Official that the disbursement is being made in accordance with University policies and procedures.

- 5.3 Requests for disbursement from the Foundation for the benefit of University employees or officers for any salary, fee, fringe benefit, loan or other compensation item (collectively “Compensation Items”) must be approved by the University President or his or her delegate, and paid by the Foundation, in accordance with CONN. GEN. STAT. § 4-37i and the University’s Policy Regarding Financial Transactions with the Foundation, adopted by the University Board of Trustees, and as amended from time to time (“University’s Policy Regarding Financial Transactions with the Foundation”) which defines the proper use of the Foundation’s fiscal services. Requests for disbursement from the Foundation for the benefit of the University President for any Compensation Item due him or her must be approved by the Chairman of the University Board of Trustees in accordance with CONN. GEN. STAT. § 4-37i and the University’s Policy Regarding Financial Transactions with the Foundation.
- 5.4 The Foundation agrees to provide to the University, on a semi-annual basis, a summary of all fund balances held for the benefit of the University, disbursements provided to the University, and expenditures made on behalf of the University to third parties during the preceding six months.
- 5.5 In order to assist the University in its reporting responsibilities, the Foundation agrees to report annually to the University Controller all fixed asset expenditures made on behalf of the University.
- 6.0 Alumni Relations Activities
- 6.1 Roles and Responsibilities: The University and the Foundation recognize that alumni are key stakeholders of the University who provide valuable perspective to University leaders and are a source of significant support for the University’s goals. The Foundation will use its best efforts to foster the continued connection between the University and its alumni and cultivate and steward alumni relationships for the University by organizing programs, activities and communications that are in the best interests of the University and in furtherance of the goals and objectives as may be set forth in a SOW entered into between the parties from time to time.
- 6.2 Alumni Center: The University and the Foundation acknowledge the importance of, and agree to work in good faith to have and maintain, a center for alumni on the University’s Storrs campus. The location of and manner in which such center will be used and maintained by the University and the Foundation are set forth in a separate Lease Agreement effective as of October 22, 2015 which documents the terms and conditions for the Foundation’s use of the center.
- 6.3 Affinity Relationships: The University acknowledges that the Foundation’s performance of alumni relations activities may be supported, in part, by affinity programs (including but not limited to alumni insurance and credit card programs) and corporate sponsorships mutually acceptable to the University and the Foundation. The University agrees to consider, in good faith, use of the University’s name, logo, seal, and other marks in

connection with such affinity programs and corporate sponsorships, which such use will be subject to the prior review and written approval of the University.

(a) The University agrees that no other University school, college, department or unit will be authorized to offer an affinity insurance or credit card program without the consent of the Foundation.

(b) The Foundation will be responsible for operating the University license plate program offered through the State of Connecticut Department of Motor Vehicles and will in its sole discretion determine the purpose and use of any revenue generated by the program.

6.4 Trustee Elections: In furtherance of the University's Board of Trustees' designation of the Foundation as the "alumni association" of the University for purposes of participating in elections of University graduates to the University's Board of Trustees pursuant to Connecticut General Statutes § 10a-103, the Foundation will, in coordination with the University, perform the duties, and exercise the powers, as are set forth in Connecticut General Statutes § 10a-103. The University will be responsible for payment of any expenses associated with the production and mailing of ballots required to conduct the election.

7.0 Compensation for Foundation Services

7.1 In consideration for the Foundation's fundraising, investment management, alumni relations and other related services described herein the University will provide the following compensation:

(a) Service Fee: The University will provide a payment to support the Foundation's general operations as agreed upon in a SOW.

(b) Endowment Administrative Fee: The Foundation may assess an endowment administrative fee on Foundation endowment and University endowment funds as determined in the Foundation's discretion. The current rate for such fees will be provided in a SOW.

(c) Gift Fees: The Foundation in its discretion may assess gift fees on new gifts received. The current rate for such fees will be provided in a SOW.

(d) Retained Earnings: The Foundation will retain all investment earnings on non-endowed funds.

(e) Foundation Funds: University schools, colleges, departments, and units that are authorized to expend Foundation funds may, with the agreement of the Foundation, designate such Foundation funds to support Foundation operating expenses supporting the school, college, department or unit.

7.2 The University will also provide the following in-kind support without fee, charge, or reimbursement:

- (a) Alumni Lists: The University agrees to provide an electronic interface to enable the Foundation to extract, on a regular basis and in an automated fashion exclusively for the purpose of enabling the Foundation to achieve its mission, which mission may require, without limitation, the release of such information to third parties, the following: (1) student directory information pertaining to current and past University students consistent with its established Family Educational Rights and Privacy Act of 1974 (20 U.S.C. §1232g; 34 CFR Part 99) (“FERPA”) policy, (2) demographic information and protected health information pertaining to current and past patients of the University’s Health Center (“Patient Information”) consistent with the Health Insurance Portability and Accountability Act (“HIPAA”) of 1996 and related rules and regulations related to institutionally related foundations, as amended from time to time, (3) University employee names and campus contact information consistent with University personnel policies, (4) University students’ parents’ contact information, exclusive of any parents who have opted out of providing such information for Foundation purposes.
- (b) Computer Network & Telecommunications Infrastructure: The University will provide to the Foundation standard University network and telecommunications infrastructure including, but not limited to, networking, internet access (including band width), and server rack space and power in the same manner as are provided to University schools, colleges, departments, and units. The Foundation and University acknowledge and agree that the Foundation may be assessed fees or charges by the University for services other than the standard infrastructure described above, but that such fees or charges will not exceed the rates paid for such services, in accordance with University policy, by University schools, colleges, departments, and units.
- (c) Event Planning: The University will provide standard University Event services to the Foundation to assist in its fundraising and stewardship efforts.
- (d) Facilities: Employees of the Foundation will have the same privileges for parking and the use of University facilities as similarly situated employees of the University. Facilities include, but are not limited to, recreational and library facilities. The University will provide office space, furniture, printers, photocopiers, telephone service, storage space, and utilities used by Foundation employees assigned to fundraise for, and physically work in, the University’s schools, colleges, departments, and units. The Foundation agrees that it will advise Foundation employees against the misuse or abuse of state equipment, including the prohibition against the use of state equipment for personal purposes, and require employees to report any misuse of which they become aware.

Pursuant to a Land Lease dated November 1, 1998, the University leased land located at 2390 Alumni Drive, Storrs, Connecticut to the Foundation for the purpose of constructing the Foundation's main office building, which is owned and operated by the Foundation. The Land Lease remains in effect in accordance with its terms. The University and the Foundation may enter into separate agreements from time to time providing for maintenance, landscaping, and similar services to be provided by the University for the Foundation's main office building.

- (e) University Personnel: The University agrees to allow the Foundation to utilize University employees for the Foundation's fundraising and alumni relations activities without additional compensation or reimbursement from the Foundation (except that out of pocket business expenses incurred thereby may be reimbursed by the Foundation in accordance with its policies) including, without limitation, the President, Provost, Assistant and Associate Vice Provosts, Executive Vice Presidents, Vice Presidents, Associate Vice Presidents, Deans, Director of Athletics, Directors, Associate Directors Department Heads, faculty and support staff. The University also agrees that the Foundation is allowed to utilize University employees (including those of the University Health Center) presently employed in positions that are primarily fundraising and alumni relations positions, for the Foundation's fundraising and alumni relations provided that in the event the incumbents in such primarily fundraising and alumni relations positions are no longer employed in such positions by the University, and the Foundation chooses to hire a new employee to perform the Foundation-related duties of this position, the new hire will be a Foundation employee, subject to restrictions imposed by any applicable collective bargaining agreement.
- (f) Mail Services: To the extent that it can do so, consistent with U.S. Postal Service statutes and regulations, the Foundation may use the University's mail system.
- (g) Intellectual Property: The University agrees that the Foundation may in connection with its lawful business and activities use the name of the University as well as the University's logo, seal, and other marks consistent with University restrictions applicable to University departments; provided that any use of the University's name, logo, seal and other marks in connection with affinity programs and corporate sponsorships is subject to Section 6.3 hereof and, as provided therein, will be subject to the University's prior review and written approval.

7.3 Except as otherwise provided herein or agreed to by the parties, the Foundation will reimburse the University for expenses the University incurs as a result of Foundation operations, if the University would not have otherwise incurred such expenses including, without limitation, expenses related to the maintenance and operation of the Foundation's facilities. The Foundation may in its discretion and subject to its policies make its facilities available to University schools, colleges, departments, and units (and organizations which are affiliated with the University and which support the furtherance

of the University's purpose) for events and programs primarily related to fundraising, alumni relations activities and other meetings. The Foundation may charge any fees for such usage directly to the relevant school, college, department, unit or organization.

8.0 Ownership and Management of Records

- 8.1 The Foundation will maintain appropriate financial and business records related to fundraising, investment, and other Foundation operations in a prudent manner. This will include, without limitation, a comprehensive, secure, state-of-the art electronic prospect management system and donor database, for which the Foundation will establish and maintain data integrity standards.
- 8.2 The University acknowledges and agrees that it does not have any ownership rights with respect to any Foundation information, records, documents or other materials provided to the University, including, but not limited to, donor records, gift records, financial records, or other Foundation business information which may have been derived from or related to information initially provided to the Foundation by the University. Any such Foundation information, records, documents or other materials including, without limitation, those maintained by the University will not be deemed public records and shall not be subject to disclosure pursuant to CONN. GEN. STAT. § 1-210. The Foundation will establish and enforce policies to protect the confidentiality of its records to the fullest extent allowable by law.
- 8.3 The Foundation may release information to third-parties exclusively for the purpose of accomplishing its mission provided that any such release is consistent with Foundation policies and applicable provisions of law, including without limitation, the applicable provisions of FERPA and HIPAA.
- 8.4 Without limiting the foregoing, the Foundation agrees (1) to enter into a data use and confidentiality agreement with any third-parties that will receive Patient Information, requiring such third-parties to hold such Patient Information confidential and to implement safeguards against further disclosure in a manner consistent with HIPAA, or (2) to allow the University to enter into a business associate agreement with such third-parties and permit the University (including the University Health Center) to provide such Patient Information to such third-parties directly. The Foundation agrees that it will include in any fundraising materials sent using Patient Information a description in accordance with HIPAA of how individuals may opt-out of receiving further fundraising communications. The Foundation also agrees to honor opt-out requests received. The Foundation agrees to maintain any Patient Information received from the University in a manner consistent with the requirements of 45 C.F.R. Parts 160 and 164 (the "HIPAA Privacy Rule") pertaining to institutionally related foundations. The Foundation agrees to establish processes and procedures sufficient to limit access to such Patient Information to Foundation personnel with a need to access such information. The University, through the University Health Center's Privacy and Security Offices, agrees to periodically offer, and provide at no cost to the Foundation, training to Foundation personnel on the HIPAA Privacy Rule and its implications for institutionally related foundations and the

Foundation will require Foundation personnel who will have access to Patient Information to attend such HIPAA training.

8.5 The Foundation agrees not to share or disclose information with third parties in a manner inconsistent with this Agreement, unless required to do so by law or other agency regulations.

8.6 The Foundation is aware of and supports the University's Identity Theft Prevention Program as approved by the University's Board of Trustees. The Foundation agrees to report any violations of the University's Identity Theft Prevention Program which it becomes aware of to the University's Audit and Management Advisory Services (AMAS) Office or University Compliance Office as soon as possible.

9.0 Audits and Legal Advice

9.1 The Foundation shall be responsible for retaining and compensating the independent auditing firm required by CONN. GEN. STAT. §4-37f(8). The audit report shall include financial statements, a management letter and an audit opinion which address the conformance of the operating procedures of the Foundation with the provisions of sections 4-37e to 4-37i (including, without limitation, whether funds for deposit and retention in state accounts have been deposited and retained in Foundation accounts in violation of section 4-37g), and recommend any corrective actions needed to ensure such conformance.

9.2 The Foundation will permit the University's AMAS office to conduct, if it so chooses, an annual examination of Foundation disbursements for compliance with the University's Policy Regarding Financial Transactions with the Foundation. The Foundation will also permit AMAS to conduct, if it so chooses, a post-deposit review of any gift, including reviewing checks, gifts, agreements and other supporting documentation for compliance with CONN. GEN. STAT. § 4-37e et seq. and the policy concerning the University Role and Review of Foundation Deposit of Funds, approved by the University and Foundation as of August 2006, as amended from time to time.

9.3 The Foundation shall provide a copy of each audit report completed pursuant to CONN. GEN. STAT. § 4-37f(8) to the President of the University.

9.4 The Foundation shall have its own legal counsel and shall be responsible for all costs for Foundation legal services.

10.0 Non-discrimination and Executive Orders

- 10.1 (a) For purposes of this Section, the following terms are defined as follows:
- i. "Commission" means the Commission on Human Rights and Opportunities;
 - ii. "Contract" and "contract" include any extension or modification of the Contract or contract;

- iii. “Contractor” and “contractor” include any successors or assigns of the Contractor or contractor;
- iv. “Gender identity or expression” means a person’s gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person’s physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person’s core identity or not being asserted for an improper purpose.
- v. “good faith” means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. “good faith efforts” shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- vii. “marital status” means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- viii. “mental disability” means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association’s “Diagnostic and Statistical Manual of Mental Disorders”, or a record of or regarding a person as having one or more such disorders;
- ix. “minority business enterprise” means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Conn. Gen. Stat. § 32-9n; and
- x. “public works contract” means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms “Contract” and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, unless the contract is a municipal public works contract or quasi-public agency project contract, (2) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. § 1-267, (3) the federal government, (4) a foreign government, or (5) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), or (4).

(b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or

group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status of a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to ensure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, status of a veteran, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an “affirmative action equal opportunity employer” in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers’ representative of the Contractor’s commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Conn. Gen. Stat. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. §§ 46a-56, 46a-68e, 46a-68f and 46a-86; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56. If the contract is a public works contract, municipal public works contract or contract for a quasi-public agency project, the Contractor agrees and warrants that he or she will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works or quasi-public agency projects.

(c) Determination of the Contractor’s good faith efforts shall include, but shall not be limited to, the following factors: The Contractor’s employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.

(e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a

contract with the State and in every subcontract entered into in order to fulfill any obligation of a municipal public works contract for a quasi-public agency project, and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 46a-56 as amended; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission regarding a State contract, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Conn. Gen. Stat. § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Conn. Gen. Stat. § 46a-56.

(h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 46a-56 as amended; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission regarding a State contract, the Contractor may request the State of

Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

10.2 This Agreement is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Agreement as if they had been fully set forth in it. The Agreement may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services and to Executive Order No. 49 of Governor Dannel P. Malloy, promulgated May 22, 2015, mandating disclosure of certain gifts to public employees and contributions to certain candidates for office. If Executive Order 14 and/or Executive Order 49 are applicable, they are deemed to be incorporated into and are made a part of the Agreement as if they had been fully set forth in it.

11.0 General

11.1 The Foundation may in its discretion enter into written agreements, for such purposes as it determines necessary or appropriate, with other University affiliates including, without limitation, UConn Nation Proud, as separate tax-exempt 501(c)(4) organization organized by University volunteers to promote the impact the University of Connecticut and its students, faculty, staff and organizations have on the well-being of the residents, culture and economy of the state of Connecticut, .

11.2 This Agreement may be amended from time to time at the request of either party. Any such amendment shall be set forth in writing by the parties and shall require the approval of both governing boards and approval as to form by the Office of the Attorney General.

11.3 This Agreement is governed by the laws of the State of Connecticut.

11.4 No right or duty, in whole or in part, of either party to this agreement may be assigned or delegated without the prior written consent of the other party.

11.5 The term of this Agreement shall commence on July 1, 2020, subject to approval as to form by the Office of the Attorney General, and shall continue for a period of five years (5) years. The term of this Agreement may be extended for an additional period of time with the mutual written agreement of the parties. This Agreement may be terminated by either party upon one year's prior written notice. Upon any expiration or termination of this Agreement, or if the Foundation ceases to exist, or ceases to be a foundation as defined in CONN. GEN. STAT. § 4-37e(2), then (a) the Foundation shall be prohibited from using the name of the University, (b) the records of the Foundation, or copies of such records, shall be made available to and may be retained by the University, provided any such records or copies which are retained by the University shall not be deemed to be

public records and shall not be subject to disclosure pursuant to the provisions of CONN. GEN. STAT. § 1-210, and (c) the Foundation's Board of Directors will, in consultation with the University, dispose of the Foundation's assets, consistent with the Foundation's certificate of incorporation, its bylaws, state and federal laws, and such restrictions as may have been imposed by donors.

FOR THE UNIVERSITY OF CONNECTICUT

Thomas C. Katsouleas
President, University of Connecticut

Date

Scott A. Jordan
Executive Vice President for Administration and
Chief Financial Officer, University of Connecticut

Date

FOR THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

John P. Malfettone
Chair, The University of
Connecticut Foundation, Incorporated

Date

Scott M. Roberts
President, The University of
Connecticut Foundation, Incorporated

Date

APPROVED AS TO FORM

By,
Associate Attorney General,
Connecticut State Attorney General's Office

Date

Statement of Work FY21

This Statement of Work FY21 (this "SOW"), effective the 1st day of July, 2020, is made between THE UNIVERSITY OF CONNECTICUT ("University"), Connecticut's land grant university, whose statutory authority is set forth in Chapter 185b of the Connecticut General Statutes, and THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED ("Foundation"), a Connecticut nonstock corporation that is exempt from taxation under 501(c)(3) of the Internal Revenue Code of 1986, as amended.

The University and the Foundation have entered into a Second Amended and Restated Master Agreement dated July 1, 2020 (the "Agreement") under which the Foundation has responsibility for fundraising efforts for the benefit of the University, management of endowment and other funds designated to benefit the University and for performing alumni relations activities in support of the University.

The Agreement stipulates that the University and Foundation will from time to time, but in no event less frequently than once every five (5) years, enter into statements of work which outline the specific fundraising, investment management and alumni relations activities goals and objectives that the University and Foundation have agreed upon and the consideration to be provided to the Foundation each fiscal year. This SOW covers the period July 1, 2020 through June 30, 2021 ("Period").

1. Payments

The University agreed to provide certain in-kind consideration to the Foundation for its services under the terms of the Agreement. In addition to agreeing to provide such in-kind consideration, the University further agrees to provide the following consideration to the Foundation for the Period:

- a) Service Fee: The University will pay a guaranteed amount to the Foundation of Twelve Million One Hundred Fifty Thousand Two Hundred and One Dollars (\$12,150,201) during the Period for development and alumni activities and related services, which payment will be made quarterly in advance in equal installments during the Period. Of this total amount, the University and the Foundation agree that a minimum amount of \$2,835,201 will be devoted specifically to alumni relations activities and services.
- b) Other Fees: The University agrees that Foundation operations will also be funded by an advancement fee (formerly referred to as an "endowment administrative fee"), and a gift fee on contributions and earnings on non-endowed Foundation assets.
 - 1) The Foundation will assess and retain an advancement fee, as reasonably determined by the Foundation, on all endowment assets (University and Foundation assets) invested by the Foundation. The Foundation's advancement fee is calculated annually on quarterly ("Calculation Date") and presently equals one and three-quarter percent (1.75%) of the rolling prior twelve (12) quarter average unitized market value of the long-term pooled investment portfolio multiplied by the number of units held by each endowed fund. The Foundation, from time to time, may change the advancement fee and will notify the University, in writing, of any changes to the administrative fee made during the Period. The advancement fee owing to the Foundation will be transferred to Foundation operating funds in four equal installments as of the first day of each quarter following the Calculation Date (April 1st, July 1st, October 1st, and January 1st).
 - 2) The Foundation will assess and retain gift fees on all non-endowed gifts deposited in the Foundation, as reasonably determined by the Foundation. The Foundation's gift fee for non-endowed gifts is presently five percent (5%) of the value of the gift as of the date of receipt. Twenty-five percent (25%) of any non-endowed gift fee (or 1.25%) may be transferred to Foundation operating accounts supporting the school, college or unit supported by the fund to which the original gift was designated. The remaining seventy-five

percent (75%) of any non-endowed gift fees (3.75%) is retained by the Foundation to support its operations. The Foundation, from time to time, may change the gift fees and will notify the University, in writing, of any changes to the gift fees made during the Period.

- 3) The Foundation will retain all investment earnings on non-endowed Foundation assets.

2. Foundation Mission

The Foundation is an independent, not-for-profit, tax-exempt organization operating exclusively to promote the educational, scientific, cultural, research and recreational objectives of the University of Connecticut (inclusive of the University's Health Center). This is accomplished by providing quality programs and services for its alumni and supporters, and by serving as the primary fundraising vehicle for the University. The Foundation solicits, administers, and invests private funds for the sole benefit of the University and its mission of pursuing excellence in teaching, research, and public service.

3. Fundraising and Alumni Engagement Goals and Benchmarks

In consideration of the compensation provided to Foundation by the University under the terms of the Agreement and this SOW, the Foundation, consistent with its mission, agrees as follows:

The Foundation will continue its efforts to increase total private gift revenue toward an annual target of ninety million dollars (\$90M) in new gifts and commitments for the University (inclusive of support for the UConn Health Center), in the Period, such amount to be calculated in accordance with the Foundation's reasonably established gift counting policy, as amended from time to time. The parties acknowledge and understand that achieving this target may be significantly negatively impacted by the COVID-19 pandemic and its global economic impact. The Foundation will use its best efforts to reach the fundraising target by implementing annual strategies that will include:

a) Increase donor engagement

- 1) Utilize the University President, Provost, Deans and Program Directors in strategic donor outreach at the six-figure level and above.
- 2) Engage the UConn Board of Trustees, UConn Foundation Board of Directors, and the UConn Health Center Board of Directors cultivation, solicitation, and stewardship of major and principal gift prospects.
- 3) Continue to focus on building customized engagement strategies for principal gift donors and prospects, understanding this group will have a disproportionate impact on the ability to reach and exceed goals.
- 4) Increase contact and deepen engagement of donors and prospects at the \$50K+ rated level through more efficient deployment of appropriate numbers of full-time frontline fundraisers, effectively utilizing prospect research and screening data to drive activity.
- 5) Facilitate stronger collaboration in donor strategy working across the Foundation and the University, using prospect management meetings to review and discuss the status of top donor strategies and package comprehensive proposals. Engage Deans and directors in strategy discussions and direct implementation of fundraising. Increase engagement of University President and Provost with key University stakeholders.
- 6) Continue to focus on increasing overall alumni and donor count using business intelligence.
- 7) Build on ongoing planning activities (e.g., constituent data analysis, staffing analysis, and technology enhancements) for a significant and concerted fundraising effort for the benefit of the University ("Campaign"). Work with the Foundation's chosen campaign consultant, the Deans, and appropriate University administration to build campaign themes, organize them around University priorities, and deliver a compelling campaign case statement. It is understood and agreed by the parties that the decision to pursue a Campaign, the amount of funds to be raised, priorities to be funded, and timing of such Campaign, is to be mutually agreed upon by the parties in consideration of relevant operational and economic factors including, without limitation, the COVID-19 pandemic and its global economic impact.

b) Increase alumni engagement

- 1) Strengthen lifelong bonds between all members of the UConn family by inspiring pride and providing quality programs and services which enhance the engagement of the diverse University community.
- 2) Develop metrics for use in tracking success of alumni programs, defining strategic areas of focus, and conducting personal visits.
- 3) Engage University alumni and Huskies everywhere by tailoring efforts to their geographic location, University experience, and life stage.
- 4) Cultivate students as future alumni with an enduring commitment to the UConn network and the University.
- 5) Execute outreach and engagement strategies to promote the value of philanthropy and increase constituent giving.
- 6) Develop an exemplary alumni organization respected for its energy, expertise, effectiveness, and innovation.

c) Align fundraising with University priorities

- 1) Continue to focus fundraising activities around supporting need-based financial aid, with particular focus on the University's Connecticut Commitment, which applies to in-state students who demonstrate significant need. Use reasonable efforts to raise gifts and commitments for student support, including, but not limited to, scholarships, assistantships, fellowships, awards, and prizes, that equal not less than fifteen percent (15%) of the total amount of all gifts and commitments raised during the Period.
- 2) Expand comprehensive grateful patient program through work with identified physician champions and patient rounding with nurse managers.
- 3) Maintain an emphasis on endowment fundraising to provide sustaining support of the University.
- 4) Support University, as well as School and College, fundraising priorities.

d) Enhance external and internal communications

- 1) Help educate the University community about the important role of cultivating and stewarding private support.
- 2) Continue to develop fundraising focused material related to strategic priorities of the University.
- 3) Align event marketing strategy with alumni goals to increase participation and attendance.
- 4) Coordinate communications to alumni, donors and friends with the University.
- 5) Work with UConn Nation Proud (a separate 501(c)(4) organization established by University volunteers to promote the impact the University of Connecticut and its students, faculty, staff and organizations have on the well-being of the residents, culture and economy of the state of Connecticut) to educate the general-public, including lawmakers and community leaders, regarding the important roles of the UConn Foundation and University.

e) Increase operational efficiencies

- 1) Strengthen stewardship for donors at various levels, including \$1K or more annual donors, as well as lifetime donors of \$100K or more.
- 2) Increase regional development program outreach to strengthen engagement and support from alumni and other constituents nationally.
- 3) Optimize staffing and increase investment in staff training to develop high performing Foundation operation.
- 4) Align our endowed faculty minimum gift guidelines with national peers and best practices.

4. Investment Benchmarks

The Foundation in its discretion will establish appropriate investment benchmarks for assets invested for the benefit of the University, both those owned by the Foundation and those owned by the University. The Foundation will provide to the University’s President and Executive Vice President for Administration and Chief Financial Officer a summary report of its investment risk and return benchmarks during the Period. The Foundation will use reasonable efforts to maintain the following benchmarks during the Period:

- a) The target return on Foundation investments will be five- and three-quarter percent (5.75%) plus inflation.
- b) Volatility is expected to be consistent with the risk associated with exceeding the return of the portfolio benchmark noted above, calculated as the weighted average performance of the asset class benchmarks defined in the Foundation’s Investment Policy Statement.
- c) Risk is expected to be measured by the annualized standard deviation of returns over a market cycle of seven to ten years.

5. State Contract Requirements

The state contracting requirements set forth in Section 10 of the Agreement are incorporated herein by reference, to the extent necessary.

6. Amendment

This SOW may be modified or amended in whole or in part by mutual written agreement signed by duly authorized representatives of each of the parties.

7. Governing Law

This SOW is governed by the laws of the State of Connecticut. If there shall be any inconsistency between the provisions of this SOW and the Agreement, the provisions of the Agreement shall control.

FOR THE UNIVERSITY OF CONNECTICUT

Thomas C. Katsouleas, Ph.D. President, University of Connecticut	Date
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Scott A. Jordan Executive Vice President for Administration and Chief Financial Officer, University of Connecticut	Date
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FOR THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

John P. Malfettone Chair, The University of Connecticut Foundation, Incorporated	Date
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Scott M. Roberts
President, The University of Connecticut
Foundation, Incorporated

Date

APPROVED AS TO FORM

Associate Attorney General,
Connecticut State Attorney General's Office

Date


ATTACHMENT 20



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

June 24, 2020

TO: Members of the Board of Trustees

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

RE: Spending Plan for Fiscal Year 2021 for the University of Connecticut,
Storrs and Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve the attached Fiscal Year 2021 Spending Plan of \$1,536.6 million for the University of Connecticut, Storrs and Regional Campuses. Further, that the President may make limited adjustments to fees, provided that the adjustments shall not increase the combined cost of tuition and fees for any student, as set by the Board of Trustees, and that at least 5 days prior notice of any changes in fees will be communicated to the Chair of the Financial Affairs Committee of the Board for the Committee's review.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2021 Spending Plan of \$1,536.6 million for the University of Connecticut, Storrs and Regional Campuses. Further, that the President may make limited adjustments to fees, provided that the adjustments shall not increase the combined cost of tuition and fees for any student, as set by the Board of Trustees, and that at least 5 days prior notice of any change in fees will be communicated to the Chair of the Financial Affairs Committee of the Board for the Committee's review.”

BACKGROUND:

With the current global pandemic, the University faces tremendous uncertainty for Fiscal Year 2021 (FY21). In particular, operating revenues will very much depend on our ability to re-open for in-person instruction on our campuses, maintain enrollment, and maintain occupancy in our housing and dining program.

The General Assembly has approved an FY20 & 21 biennial budget that includes a block grant of \$211.3 million (\$397 million with fringe reimbursement and adjustments) for UConn. We are grateful to the Governor and General Assembly for their continued support of UConn and recognize the ongoing financial constraints on the State of Connecticut. State support, which consists of both the block grant and fringe reimbursement, is critical to the University. Our

scenario planning includes the possibility of a 5% rescission. Given the fiscal uncertainty faced by the state, the University remains at risk of further state cuts.

As a result of uncertainty related to both student revenue and state support, we are tracking three potential revenue scenarios for the Fall semester, ranging from \$1,408 million to \$1,490 million for FY21.

While revenues remain uncertain, the University's expenses are relatively fixed. More than 56% of expenses are related to payroll, and more than 90% of our employees are under collective bargaining agreements. The remainder of the budget includes externally-sponsored research, debt service, financial aid to students, and utilities and maintenance of our campuses. Reducing expenses will require a review of each of our programs, partnership with our unions, and analysis of the long-term impacts of our actions – all of which will take some time.

Therefore, the University presents a temporary spending plan for FY21, with a net deficit of \$47-129 million. We will report back to the Board on a quarterly basis to update revenue projections and present deficit mitigating actions. As early as mid-September, the University will have a much clearer idea of the fiscal situation.

In addition, the University is developing plans to de-densify classrooms and residence halls, and this will require offering students the option of taking some or all of their classes online. Should they choose this option, they may not benefit from some of the traditional student services offerings that are paid for by student fees, such as the Rec Center or the shuttle bus system. Having the flexibility to adjust student fees to more closely match the services provided is appropriate and fair and will create an incentive for students to choose on-line classes. In addition, the University offers numerous self-supporting programs that are planning now for fall re-entry. As they do so, we have received and expect additional requests to adjust fees to match the on-line experience – such as elimination of fees to cover food and beverages. Included in this resolution is language that allows the President to make adjustments to fees during FY21 to address this need for flexibility, with 5 days prior notice to the Financial Affairs Committee.

**University of Connecticut
Storrs & Regional Campuses
Spending Plan for Fiscal Year 2021**


Expenditures:	
Salaries & Wages	\$ 548,285,513
Fringe Benefits	326,229,880
Other Expenses	249,833,912
Energy	21,485,941
Equipment	25,126,216
Student Financial Aid	211,851,279
Debt Service/Projects	30,471,267
Total Operating Funds	\$ 1,413,284,009
Research Funds	123,320,836
Total Expenditures	\$ 1,536,604,844


ATTACHMENT 21

UConn HEALTH

June 24, 2020

TO: Members of the Board of Trustees

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

Jeffrey P Geoghegan, CPA 
Chief Financial Officer

RE: Spending Plan for Fiscal Year 2021 for UConn Health

RECOMMENDATION:

That the Board of Trustees approve a six month Spending Plan for Fiscal Year 2021 of \$645.4 million or half of the attached full year \$1,290.8 million for UConn Health, and UConn Health will present to the Board of Trustees an updated spending plan for the final six months in December 2020.

RESOLUTION:

“Be it resolved that the Board of Trustees approve a six month Spending Plan for Fiscal Year 2021 of \$645.4 million or half of the attached full year \$1,290.8 million for UConn Health, and UConn Health will present to the Board of Trustees an updated spending plan for the final six months in December 2020.”

BACKGROUND:

With the current global pandemic, UConn health faces uncertainty specifically related to patient revenues in Fiscal Year 2021 (FY21). The operating revenues are estimated to be \$900.5 million for FY21. Therefore, UConn Health is requesting a temporary spending plan for six month of FY21, and will report back to the Board on a quarterly basis to update the revenue projections along with potential deficit mitigating items. UConn Health will also present an updated spending plan in December for the final six months of FY21.

The General Assembly has approved an FY20 & 21 biennial budget that includes a block grant of \$132.9 million (\$275.3 million with fringe reimbursement and adjustments) for UConn Health for FY21. We are grateful to the Governor and General Assembly for their continued support of UConn Health and recognize the ongoing financial constraints on the State of Connecticut. State support, which consists of both the block grant and fringe reimbursement, is critical to UConn Health.


However, fringe benefit expenses are continuing to rise and these cost trends are unsustainable. A large portion of the fringe cost consists of the state unfunded pension and retiree health liabilities. In FY21, UConn Health estimates that it will pay \$53.8 million towards these liabilities from its non-state funding sources such as clinical, tuition and research grant revenue.

UConn Health	
Spending Plan for Fiscal Year 2021	
Expenditures:	
Personal Services	\$ 475,319,964
Fringe Benefits	309,912,497
Drugs/Medical Supplies	133,424,901
Resident and Fellow house staff	61,790,011
Utilities	14,952,313
Interest Expense on Debt Service	9,166,620
Other Expenses	256,286,956
Depreciation	29,955,538
Total Expenditures	\$ 1,290,808,800

ATTACHMENT 22

June 24, 2020

TO: Members of the Board of Trustees

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

RE: Fiscal Year 2021 Capital Budget for the University of Connecticut, Storrs and
Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve a capital budget of \$315,000,000, as detailed in Attachment A, for Fiscal Year 2021 which is comprised of \$55,000,000 of University funds and \$260,000,000 of State bond funds. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2021 capital budget of \$315,000,000 for the University of Connecticut, Storrs and Regional Campuses.”

BACKGROUND:

In order to manage all capital fund sources in a strategic and transparent manner, UConn is proposing an all funds capital budget for approval. Note that UConn Health includes funds for capital projects in their annual Operating Budget Spending Plan proposal.

The proposed capital budget for FY21 of \$315,000,000 includes \$55,000,000 of University funds and \$260,000,000 of UCONN 2000 State bond funds. The two attached documents reflect the capital budget spending plan detail:

- Attachment A - the proposed FY21 capital budget spending plan
- Attachment B - the UCONN 2000 Phase III State Bond Phasing Plan by Statutory Named Line

The FY21 capital budget does not provide approval for specific projects, per our capital policies and procedures; all capital projects, no matter the fund source, costing \$500,000 or more are submitted for Board action on a project-by-project basis.

Program & Planning Adjustments:

While it is critical to have a long-term capital plan with a stable funding source, it is important to recognize that the plan is a live document which is continuously under review by senior management. This approach allows the University the flexibility to be responsive to changing project needs as well as external market factors/drivers. Over the past year, the capital budget plan has been adjusted due to the following:

- Changes to phasing of State bond funds
- Revised cash flows or timing changes
- Scope changes and (un)favorable bids
- Defunding of projects/project closeouts

The third phase of the UCONN 2000 capital program, which spans FY05 through FY27, includes the Bioscience Connecticut and Next Generation Connecticut (NextGenCT) initiatives. While the capital funding phase of the Bioscience CT initiative is complete, the NextGenCT program is well underway into its seventh year.

In early 2019, the Governor and the General Assembly once again proposed additional changes to the NextGenCT State bonding schedule. While this proposal was not ideal and impacts the pace of some of our STEM facilities, the University has adjusted our plan to accommodate the changes. On the positive side, the deferral smooths funding levels over the life of the program, which will be helpful in managing the out-years of NextGenCT. The State bond bill was finally approved on March 18, 2020 and the revised bonding schedule is now reflected in State statute. To avoid additional costs associated with further delaying or shutting down projects in construction, it is critical that future levels of capital funding remain intact to support planned projects phased over multiple years.

The table below reflects the UCONN 2000 State bond authorizations (in millions):

	Bonding Schedule (\$M)	Previous Statute	3/18/20 Changes	Revised Statute
Phase I	FY96-FY99	\$382.0		\$382.0
Phase II	FY00-FY05	580.0		580.0
Phase III	FY05-FY20	2,676.0	(94.4)	2,581.6
	FY21	186.2	73.8	260.0
	FY22	101.4	89.1	190.5
	FY23	98.0	27.1	125.1
	FY24	85.0	(0.3)	84.7
	FY25	70.1	(14.1)	56.0
	FY26	63.6	(49.6)	14.0
	FY27	40.6	(31.6)	9.0
	Total	\$4,282.9	\$0.0	\$4,282.9

Indenture Amendments:

The law specifically gives the Board of Trustees the authority to make revisions to project budgets and related indentures. It would be virtually impossible to manage a thirty-two-year capital program without the authority to make such adjustments. These revisions are complex because 1) there are many projects, 2) UConn must operate within statutory annual bond caps, 3) tax-related expenditure requirements must be observed, and 4) the adjustments to numerous lines generally involve projects that span a number of years. While revisions may affect current projects, given the annual bond caps, they also have a rollout effect over the next decade. The Board of Trustees has the authority to amend past indentures in order to reflect changes as project budgets are finalized or other events affect the capital budget for a given prior fiscal year. At this time, the University is separately proposing revisions to multiple Supplemental Indentures.

University Funds & UConn Revenue Bonds:

Since there are insufficient State bonds to fund all capital projects, UConn utilizes other fund sources for high priority capital and maintenance initiatives. These requests are reviewed and approved in the same way as State bond funded projects. In addition, the University may choose to utilize cash balances to temporarily fund capital projects in advance of the issuance of new UConn Revenue bonds or to bridge cash flow for State bond funded projects. The FY21 capital budget includes \$55,000,000 of University funds for facilities repairs & improvements, programmatic renovations, and athletics projects.

Attachments

University of Connecticut
FY21 Capital Budget Spending Plan
Proposed Projects by Statutory Named Lines & by Program*

UCONN 2000 Bond Funded Projects by Statutory Named Lines		Total	By Program			
			Science Program	Academic Priorities	Deferred Maintenance	Other
Gant Building STEM Renovations	29,600,000		29,600,000			
STEM Research Center Science 1	92,000,000		92,000,000			
Other/Contingency	4,000,000					4,000,000
Academic and Research Facilities		\$ 125,600,000				
Infrastructure						
Boiler Plant Equipment Replacement & Utility Tunnel	10,000,000		10,000,000			
Mirror Lake Improvements	2,940,000				2,940,000	
Northwest Science Quad Electrical Upgrades	7,000,000		7,000,000			
Northwest Science Quad Phase 2 Tunnel & Site Improvements	27,675,000		27,675,000			
Northwest Science Quad Supplemental Utility Plant	31,000,000		31,000,000			
Pedestrian Safety Improvements-Gateways, Wayfinding, Roadways	2,365,000				2,365,000	
Classroom & Lab Renovations	8,750,000		5,250,000	3,500,000		
Other/Contingency	26,670,000			3,887,500	14,432,500	8,350,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities		116,400,000				
Equipment, Library Collections & Telecommunications		13,000,000	4,812,500	4,562,500	3,625,000	
Residential Life Facilities		5,000,000			5,000,000	
Total UCONN 2000 Bond Funded Projects		\$ 260,000,000	\$207,337,500	\$11,950,000	\$28,362,500	\$12,350,000
University Funded Projects						
Facilities Repairs & Improvements (including Residential Life)	7,000,000				7,000,000	
Programmatic Renovations	5,000,000			5,000,000		
Athletic Stadia	18,000,000					18,000,000
Hockey Arena	20,000,000					20,000,000
Other/Contingency	5,000,000					5,000,000
Total University Funded Projects		\$ 55,000,000	\$ -	\$ 5,000,000	\$ 7,000,000	\$43,000,000
Grand Total FY21 Capital Budget		\$315,000,000	\$207,337,500	\$16,950,000	\$35,362,500	\$55,350,000


*Projects less than \$500,000 are approved by UConn administrative committee. Projects costing \$500,000 or more are submitted for Board action on a project by project basis.

UCONN 2000 Bonds						
State Bond Phasing Plan by Statutory Named Line for Informational Purposes Only - Revised 6/24/20						
Project	FY05-FY20	FY21	FY22-FY27	Total Phase III	Change from 6/26/19	Notes
Academic and Research Facilities	\$202,407,429	\$125,600,000	\$180,503,431	\$508,510,860	(\$21,896,569)	reallocation
Arjona and Monteith (new classroom buildings)	128,219,871			128,219,871		
Avery Point Campus Undergraduate & Library Building	10,461,246			10,461,246		
Avery Point Renovation	8,327,448			8,327,448		
Beach Hall Renovations	5,146,688			5,146,688		
Benton State Art Museum Addition	2,903,509			2,903,509		
Biobehavioral Complex Replacement	3,495,807			3,495,807		
Bishop Renovation	2,480,141			2,480,141		
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities	611,490,069	116,400,000	231,043,460	958,933,529	26,001,658	reallocation
Engineering Building	92,579,390			92,579,390	(833,432)	project closeout
Equipment, Library Collections & Telecommunications	156,091,656	13,000,000	56,284,190	225,375,846		
Family Studies (DRM) Renovation	2,868,306			2,868,306		
Farm Buildings Repairs/Replacement	6,408,304			6,408,304		
Fine Arts Phase II	40,708,924			40,708,924		
Floriculture Greenhouse	6,691,799			6,691,799		
Gant Building Renovations	12,455,770			12,455,770		
Gentry Renovation & Completion	9,628,209			9,628,209		
Hartford Relocation Acquisition/Renovation	139,027,625			139,027,625	(972,375)	project closeout
Heating Plant Upgrade	11,877,724			11,877,724		
Intramural, Recreational & Intercollegiate Facilities	31,009,921			31,009,921		
Jorgensen Renovation	3,899,129			3,899,129	(35,346)	project closeout
Koons Hall Renovation/Addition	1,461,146			1,461,146		
Lakeside Renovation	3,800,000			3,800,000		
Law School Renovations/Improvements	16,660,677			16,660,677		
Manchester Hall Renovation	772,577			772,577		
Mansfield Training School Improvements	3,000,000		2,681,285	5,681,285	14,785	reallocation
Natural History Museum Completion	500,000			500,000		
North Hillside Road Completion	6,700,000			6,700,000	(1,500,000)	project closeout
Old Central Warehouse Renovation	126,000			126,000		
Parking Garage #3	75,214			75,214		
Psychology Building Renovation/Addition	24,337,399			24,337,399		
Residential Life Facilities	140,972,476	5,000,000	8,787,634	154,760,110	(778,721)	reallocation
School of Pharmacy/Biology	6,000,000			6,000,000		
Stamford Campus Improvements/Housing	1,500,870			1,500,870		
Storrs Hall Addition	14,664,091			14,664,091		
Student Union Addition	13,000,000			13,000,000		
Support Facility (Architectural & Engineering Services)	16,583			16,583		
Torrey Life Science Renovation & Completion	1,530,373			1,530,373		
Torrington Campus Improvements	369,156			369,156		
Waterbury Downtown Campus	1,608,764			1,608,764		
West Hartford Campus Renovations/Improvements	6,774,305			6,774,305		
Young Building Renovation/Addition	23,651,403			23,651,403		
SUBTOTAL FOR STORRS & REGIONAL CAMPUS	\$1,755,700,000	\$260,000,000	\$479,300,000	\$2,495,000,000		
CLAC Renovation Biosafety Level 3 Lab	15,901,466			15,901,466		
Deferred Maintenance-UCH	51,165,520			51,165,520	214,256	reallocation
Dental School Renovation	3,525,000			3,525,000		
Equipment, Library Collections & Telecom-UCH	116,429,390			116,429,390		
Library/Student Computer Center Renovation	1,266,460			1,266,460		
Main Building Renovation	117,484,316			117,484,316		
Medical School Academic Building Renovation	39,578,232			39,578,232	(214,256)	project closeout
Planning & Design Costs	25,000,000			25,000,000		
Research Tower	67,992,229			67,992,229		
Support Building Addition/Renovation	100,000			100,000		
UCH New Construction and Renovation	387,457,387			387,457,387		
SUBTOTAL FOR HEALTH CENTER	\$825,900,000	-	-	\$825,900,000		
GRAND TOTAL	\$2,581,600,000	\$260,000,000	\$479,300,000	\$3,320,900,000		


ATTACHMENT 23



June 24, 2020

TO: Members of the Board of Trustees 

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

Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Twenty-Seventh Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds

RECOMMENDATION:

That the Board of Trustees approves the Twenty-seventh Supplemental Indenture, substantially in the form attached hereto, authorizing University of Connecticut General Obligation Bonds secured by the State of Connecticut's (the "State") Debt Service Commitment in an amount not to exceed \$260,000,000 plus costs of issuance, plus amounts carried forward from the Twenty-sixth Supplemental Indenture.

BACKGROUND:

The University of Connecticut's (the "University") General Obligation Bonds authorized by the UCONN 2000 Act (Sections 10a-109a to 10a-109y, inclusive, of the Connecticut General Statutes, as amended) are secured by a Master Indenture of Trust by and between the University and U.S. Bank National Association, dated as of November 1, 1995, as amended (the "Master Indenture") which provides that each new issue of bonds be issued pursuant to a supplemental indenture. For bonds secured by the State Debt Service Commitment, the law sets maximum annual amounts that the University, through its Board of Trustees, may issue.

The Twenty-seventh Supplemental Indenture authorizes the appropriations for and issuance of bonds in the maximum amount of \$260,000,000 plus costs of issuance to finance fiscal year 2021 capital projects pursuant to Section 10a-109e (a) of the UCONN 2000 Act, as amended effective July 1, 2020, plus amounts carried forward from the Twenty-sixth Supplemental Indenture. The list includes projects which the Board has approved undertaking during Phase III at Storrs, the regional campuses and the UConn Health Center.

Office of the Executive Vice President for
Administration and Chief Financial Officer
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The Twenty-seventh Supplemental Indenture also authorizes that the exact amount of the bonds be determined at the time of issuance depending on cash expenditure requirements for twelve months or less following issuance. Appendix A of the Twenty-seventh Supplemental Indenture lists the UCONN 2000 projects that may be financed by the bonds (excluding the projects financed by the carry forward amounts).

This recommendation, if approved, will serve as the Board of Trustees' resolution for approval of the Twenty-seventh Supplemental Indenture and for the series of bonds to be issued in accordance therewith. The resolution, with supplemental information, as appropriate, will be sent to the Governor for approval. If the Governor chooses not to exercise his statutory authority to approve or disapprove the resolution within 30 days of its submission, it will be deemed approved in accordance with the Act.

Attachment

UNIVERSITY OF CONNECTICUT

as Issuer

and

U.S. BANK NATIONAL ASSOCIATION

as Trustee

TWENTY-SEVENTH SUPPLEMENTAL INDENTURE

AUTHORIZING

THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION BONDS

(Secured by the State Debt Service Commitment)

Dated as of _____

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**TWENTY-SEVENTH SUPPLEMENTAL INDENTURE
AUTHORIZING THE ISSUANCE OF
THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION BONDS
(SECURED BY THE STATE DEBT SERVICE COMMITMENT)**

ARTICLE I

Definitions and Statutory Authority

101. **Twenty-seventh Supplemental Indenture.** This Twenty-seventh Supplemental Indenture authorizing the Bonds is supplemental to, and constitutes a Supplemental Indenture within the meaning of, and is adopted in accordance with Article X of the General Obligation Master Indenture of Trust between the University of Connecticut (the “University”) and the Trustee dated as of November 1, 1995 (the “Master Indenture”) as amended and supplemented to the date hereof, the form of which was approved by the State Bond Commission as required by Section 10a-109g of the General Statutes of Connecticut.

102. **Definitions.** All terms defined, and the rules of construction set forth, in Article I of the Indenture shall have the same meanings in this Twenty-seventh Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-seventh Supplemental Indenture, the following terms shall have the following respective meanings, unless the context shall otherwise require:

“**Authorized Officer’s Certificate**” means a copy of a resolution of the Board of Trustees certified by an Authorized Officer.

“**Authorized Officer for Sale Purposes**” means the Authorized Officer, who shall be an officer, official or trustee serving on the financial affairs committee of the Board of Trustees.

“**Bond Insurance Policy**” means the municipal bond insurance policy, if any, issued by the Bond Insurer that guarantees payment of principal of and interest on the Bonds and constitutes a Bond Facility under the Indenture.

“**Bond Insurer**” means a financial guaranty insurance company, if any, or any successor thereto which insures the Bonds as provided in the Certificate of Determination.

“**Bonds**” means any series of bonds issued pursuant to this Twenty-seventh Supplemental Indenture.

“**Certificate of Determination**” means the certificate of determination of the Treasurer required by section 502 hereof and otherwise referenced herein.

“**Indenture**” means the General Obligation Master Indenture of Trust between the University and the Trustee dated as of November 1, 1995, as from time to time amended or supplemented.

“Insured Bonds” means any series or certain maturities in any series of bonds to be insured by a municipal bond new issue insurance policy to be issued simultaneously with the delivery of Bonds by the Bond Insurer.

“Official Statement” means the official statement of the University relating to the Bonds.

“Preliminary Official Statement” means the preliminary official statement of the University relating to the Bonds.

“Principal” or **“principal”** means the principal amount of each Bond payable at maturity.

“Principal Amount” means the outstanding principal of a Bond.

“Twenty-sixth Supplemental Indenture” means the Twenty-sixth Supplemental Indenture adopted by the Board of Trustees of the University on June 26, 2019 and deemed approved by the Governor on August 8, 2019 authorizing the Fiscal Year 2019-2020 bonds.

“Twenty-seventh Supplemental Indenture” means this Twenty-seventh Supplemental Indenture as may be amended from time to time, authorizing the Bonds.

“Underwriters” means the initial purchasers of the Bonds pursuant to a bond purchase agreement duly executed by the University, the Treasurer and such purchasers.

103. **Authority for the Twenty-seventh Supplemental Indenture.** This Twenty-seventh Supplemental Indenture is entered into by the University and the Trustee pursuant to the provisions of the Act and the Indenture.

ARTICLE II

Authorization, Terms and Issuance of Bonds

201. **Authorization of Fiscal Year 2020-2021 Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds for Fiscal Year ending June 30, 2021 entitled to the benefit, protection and security of the Act and Indenture, and constituting Bonds to be secured by the State Debt Service Commitment are hereby authorized to be issued in one or more series under the Indenture and pursuant to the Act in a maximum amount not to exceed \$260,000,000 for the UConn Projects as set forth in Appendix A (attached hereto and hereby made a part hereof) and constituting UConn 2000 Projects (provided nothing herein shall preclude the amendment of Appendix A pursuant to the Act and in accordance with the Indenture and as provided by Appendix A), plus the amount of the Costs of Issuance to be funded from the proceeds of such Bonds. The amount of bonds which may be secured by the State debt service commitment and be issued for fiscal year ending 2021 but not authorized herein, if any, are hereby carried forward to be authorized at a future time.

All of the principal amount of bonds authorized but unissued under the Twenty-sixth Supplemental Indenture, submitted to the Governor on July 9, 2019 and deemed approved by the Governor on August 8, 2019, is carried forward to Fiscal Year 2020-2021 in accordance with the Act. No bonds were issued under the Twenty-sixth Supplemental Indenture and therefore, the amount of authorized but unissued bonds is \$199,600,000.

The exact amount of the Bonds to be issued in each series under this Twenty-seventh Supplemental Indenture is hereby delegated to and is to be determined by a certificate of, the Authorized Officer for Sale Purposes in accordance with Section 10a-109g of the Connecticut General Statutes respecting the anticipated cash expenditure requirements for authorized UConn 2000 Projects within the year following issuance plus not more than twenty (20%) percent in excess thereof, provided that such amount shall not exceed \$260,000,000 (plus Costs of Issuance and any carry forward amounts). The amount of the balance of Bonds herein authorized for Fiscal Year ending 2021 and not funded by the Bonds shall be issued subsequently pursuant to an additional Certificate of Authorized Officer for Sale Purposes as an additional series of Bonds hereunder or pursuant to a Supplemental Indenture or Supplemental Indentures depending on the remaining cash expenditure requirements respecting each UConn 2000 Project theretofore authorized by a Supplemental Indenture.

The Bonds shall be designated as and shall be distinguished from other Bonds by the additional title “20__ Series __” or such other designation or designations of “Series __” inserting the applicable number and letter, respectively, reflecting the year and series issued, as provided in the Certificate of Determination, pursuant to and subject to the terms, conditions and limitations established in the Indenture, this Twenty-seventh Supplemental Indenture, an Authorized Officer’s Certificate and the Treasurer’s Certificate of Determination. In accordance with the Act, the amount of the State Debt Service Commitment in each fiscal year is hereby pledged for the punctual payment of the Special Debt Service Requirements on the Bonds as the same arise and shall become due and payable.

202. **Purposes.** The Bonds will be issued and used to provide funds for deposit in the following accounts of the Bond Proceeds Fund: (i) Construction Account, which, pursuant to Section 602 of the Indenture unless otherwise provided by a Supplemental Indenture, shall be held and maintained by the Trustee, for construction and equipping of certain facilities (or reimbursement to the University for funds expended therefor) that are included and that have been authorized as a UCONN 2000 Project by the Board of Trustees and (ii) Cost of Issuance Account, which, pursuant to Section 602 of the Indenture unless otherwise provided by a Supplemental Resolution, shall be held and maintained by the Treasurer, to pay or provide for the Bonds costs of issuance. The Treasurer and University shall cause the proceeds from the sale of the Bonds to be so deposited in the Bond Proceeds Fund. Monies in the Construction Account respecting the proceeds of the Bonds heretofore issued may be disbursed from time to time pursuant to Section 603 of the Master Indenture, particularly paragraph (5) thereof, for any such UConn 2000 Project but not in excess of the aggregate amount authorized for such UConn 2000 Project by the Board of Trustees.

203. **Interest Payments.** The Bonds shall bear interest from their respective dates, payable on the date or dates, and at the rates as shall be determined by the Treasurer in the Certificate of Determination. Except as otherwise may be provided in such Certificates, interest shall be computed on the basis of a 360-day year consisting of 12 months of 30 days each.

204. **Form, Denomination, Numbers and Letters.** The Bonds shall be in fully registered form and shall initially be registered in the name of Cede & Co., as nominee of The Depository Trust Company, New York, New York (“DTC”), which will act as securities depository for the Bonds. The Bonds shall be in denominations to be determined by the Treasurer in the Certificate of Determination. The Bonds shall be lettered “AR-___” or such other letters provided in the Certificate of Determination. Each such letter shall be followed by the number of the Bonds. The Bonds shall be numbered consecutively from one upward in order of issuance.

205. **Places of Payment and Paying Agent.** So long as all of the Bonds are registered in the name of Cede & Co., as nominee of DTC, or any other nominee of DTC or its successor as securities depository, Principal, Sinking Fund Installments, if any, Redemption Price of and interest on the Bonds shall be payable from the Trustee to DTC or its successor as securities depository for the Bonds, as determined by the Treasurer in the Certificate of Determination. If any of the Bonds shall no longer be registered in the name of a nominee of DTC or any successor securities depository or its nominee, interest on the Bonds shall be payable by check mailed to the registered owners of the Bonds, and Principal, Sinking Fund Installments, if any, or Redemption Price of the Bonds shall be payable at the principal corporate trust office of the Paying Agent for the Bonds.

206. **Sale.** Pursuant to Section 10a-109g of the Connecticut General Statutes, the Treasurer is authorized to sell the Bonds by negotiation or public competitive sale, in such manner, at such price or prices, at such time or times, in one or more series, and on such terms and conditions as the Treasurer shall determine to be in the best interests of the State and University. The terms and particulars of each such sale, the receipt of each proposal and each award of the Bonds and all other action appropriate or necessary in connection therewith shall be set by the Treasurer, including the selection of the Trustee pursuant to Article VIII of the Indenture, in conjunction with the Authorized Officer for Sale Purposes to whom such matters are hereby delegated and shall be recited in the Treasurer's Certificate of Determination, and confirmed by the Authorized Officer for Sale Purposes.

207. **Execution.** The Bonds shall be signed in the name of the University by the manual or facsimile signature of its President and the seal of the University (or a facsimile thereof) shall be affixed, imprinted, engraved or otherwise reproduced thereon and attested by an Authorized Officer. The Bonds shall be authenticated manually by the Trustee in accordance with the provisions of the Indenture.

208. **Delivery and Application of Bond Proceeds.** After their execution as provided herein and in the Indenture, the Bonds shall be delivered to the Trustee for authentication as provided in the Indenture and shall thereupon be delivered to the Underwriters upon receipt by the Trustee of the purchase price therefor in accordance with the documents of sale and upon satisfaction of the conditions contained therein and in the Indenture. The proceeds of the ___Bonds shall be deposited in the Bond Proceeds Fund in the amounts and for the Construction Account and Costs of Issuance Account, as more particularly set forth in the Certificate of Determination of the Treasurer.

209. **Defeasance.** Pursuant to Section 1001(1)(b) of the Master Indenture, for purposes of the Bonds and for any bonds issued under the Master Indenture after the date hereof, Section 1402, of the Master Indenture at the end of the second sentence, item (c) is hereby amended in its entirety as follows.

(c) in the event said Bonds are not by their terms subject to redemption within the next succeeding 60 days, the University shall have given the Trustee in form satisfactory to it irrevocable instructions to mail at least once, or to publish at least twice at an interval of not less than seven days between publications in an Authorized Newspaper, as soon as practicable, a notice to the Holders of such Bonds that the deposit required by (b) above has been made with the Trustee and that said Bonds are deemed to have been paid in accordance with this Section and stating such maturity or redemption date upon which moneys are

to be available for the payment of the principal or Redemption Price, if applicable, on said Bonds.

210. **UConn Infrastructure Improvement Program.** Pursuant to Sections 1001(1)(b) and 1001(6) of the Master Indenture, for purposes of the Bonds and any bonds issued under the Master Indenture after the date hereof, Section 909(C) is deleted in its entirety.

211. **Continuing Disclosure Undertaking.** Pursuant to Sections 1001(1) and 1512 of the Master Indenture, for purposes of the Bonds and for any bonds issued under the Master Indenture after the date hereof, Article XV is hereby deleted in its entirety.

ARTICLE III

Form of the Bonds

301. **Form of the Bonds.** The Bonds shall be substantially in the form set forth in the Indenture with such additions or deletions anticipated by this Twenty-seventh Supplemental Indenture as are set forth in the Certificate of Determination.

ARTICLE IV

Tax Covenant

401. **Tax Exemption.** In order to maintain the exclusion from gross income for purposes of federal income taxation of interest on the Bonds, the University hereby covenants to comply with the provisions of the Code, and any regulations or rulings issued thereunder, applicable to the Bonds. Further, the University covenants that it will not take any action or fail to take any action that would cause the Bonds to be “arbitrage bonds” within the meaning of Section 148(a) of the Code. In fulfilling the covenants set forth in this Section, the University hereby agrees to instruct all parties acting by or on behalf of the University or in any manner with respect to the Bonds regarding all acts necessary to satisfy and fulfill such covenants.

ARTICLE V

Miscellaneous

501. **No Recourse.** No recourse shall be had for the payment of the principal of or interest on the Bonds or for any claim based thereon or on this Twenty-seventh Supplemental Indenture against any member of the Board of Trustees, nor the State Bond Commission or any officer of the University or the State or any person executing the Bonds and neither the members of the Board of Trustees or the State Bond Commission nor officers of the University or the State nor any person executing the Bonds, or with respect to execution of documents hereinafter mentioned, including the Preliminary Official Statement, the Official Statement and any Bond Purchase Agreement, Tax Regulatory Agreement or documents in connection with the authorization, issuance and sale of the Bonds shall be liable personally thereon or be subject to any personal liability or accountability by reason of the issuance or execution thereof. Pursuant to Section 10a-109s of the Connecticut General Statutes, the provisions of Sections 4-165 and 5-141d of the General Statutes shall apply to any employee or official of the University or other State agency who is discharging his duties or acting within the scope of his employment in furtherance of the UCONN 2000 Infrastructure Improvement Program.

502. **Delegation of Authority to Treasurer and to Authorized Officer for Sale Purposes or the Executive Vice President for Administration and Chief Financial Officer.**

(A) The Treasurer is delegated, pursuant to the Act on behalf of the University and subject in all respects to the Indenture, the authority to determine with respect to the Bonds the date or dates and maturities (provided, however, that the Bonds issued to finance equipment and collections shall mature not later than five (5) years from their dated date and the Bonds issued to finance any other purpose shall mature not later than thirty (30) years from their dated date); provisions for either serial or term bonds, sinking fund requirements, if any; due dates of interest; denominations; the terms, if any, of optional or extraordinary redemption, with or without premium; time or times of sale (subject to the cash flow requirements of the University to cover the cost of the UCONN 2000 Infrastructure Improvement Program) and manner of sale; interest rates and limitations with respect thereto; provisions for receipt and deposit or investment of the good faith deposit pending delivery; and such other terms and conditions of the Bonds and of the issuance and sale thereof as the Treasurer may determine to be in the best interests of the State and University. The Treasurer shall file a Certificate of Determination with the University and Secretary of the State Bond Commission on or before the date of delivery of the Bonds setting forth the details and particulars of the Bonds determined by her in accordance with this delegation. Such Certificate of Determination shall be delivered to the Trustee on or before the date of closing of the Bonds.

(B) The Treasurer is also delegated, pursuant to the Act and, in accordance with Section 10a-109g of the Connecticut General Statutes pursuant to certain provisions of Section 3-20 of the General Statutes of the State of Connecticut, as amended, the authority to enter into agreements in consultation with the University (through an Authorized Officer) with respect to the issuance and sale of the Bonds, including financial advisory agreements, bond purchase agreements, tax regulatory agreements, and agreements with respect to security for the Bonds.

(C) The Authorized Officer for Sale Purposes or the Executive Vice President for Administration and Chief Financial Officer is hereby delegated and the Treasurer is further delegated, pursuant to the Act, the authority to approve the final terms of and publication and distribution of the Official Statement in connection with the offering and sale of the Bonds and to sign and certify that the Preliminary Official Statement is an official statement that the University deems final as of its date for purposes of Rule 15c-2-12 of the Securities and Exchange Commission (“Rule 15c-2-12”), except for certain permitted omissions described in paragraph (b)(1) of Rule 15c-2-12. The mailing, publication and distribution of the Preliminary Official Statement is hereby approved. The Treasurer, in conjunction with the Authorized Officer for Sale Purposes or the Executive Vice President for Administration and Chief Financial Officer, is further authorized and directed to sign any amendment or supplement or certificate with respect to the Official Statement or the Preliminary Official Statement that may, in the Treasurer’s judgment, be necessary or appropriate on or before the date of delivery of the Bonds.

(D) Subsequent to adoption of the resolution of the Board of Trustees authorizing the Twenty-seventh Supplemental Indenture, the Authorized Officer for Sale Purposes is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-seventh Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-seventh Supplemental Indenture as so adopted as may be necessary or appropriate to respond to the requirements of the Governor, the Treasurer, the Underwriters of the Bonds, the Bond Insurer, if any, or the rating agencies with respect to the Twenty-seventh Supplemental Indenture as evidenced by approval of the Certificate of Determination and may rely on a Counsel’s Opinion for advice with respect to the foregoing. In addition, any Authorized Officer is authorized and directed to sign other documents ancillary to the authorization, issuance and delivery of the Bonds within the scope of such Authorized Officer’s duties at the University and under the Act.

503. Declaration of Official Intent. The University reasonably expects to incur expenditures (the “Expenditures”) in connection with the Bond projects of which a general functional description is contained in Appendix A attached hereto (collectively, the “Project”). The University reasonably expects to reimburse itself for the cost of Expenditures with respect to the Project with the proceeds of Bonds, tax-exempt obligations to be issued by the University, not later than eighteen (18) months after the later of the date the original Expenditure is paid or the date the Project is placed in service or abandoned, but in no event more than three (3) years after the original Expenditure is paid. The maximum principal amount of such debt with respect to the Project is not expected to exceed the amount as set forth in Appendix A. This declaration of official intent is a declaration of official intent made pursuant to Section 1.150-2 of the Regulations.

IN WITNESS WHEREOF, the University of Connecticut has caused this Twenty-seventh Supplemental Indenture to be signed by its President and sealed the same with its seal attested by an Authorized Officer, and the Trustee, for itself and its successor or successors, has caused this Twenty-seventh Supplemental Indenture to be signed and sealed by its duly authorized officer and has by its execution hereof signified its acceptance of the trust hereby created and imposed.

THE UNIVERSITY OF CONNECTICUT

By: _____

Its President

(SEAL)

ATTEST:

By: _____

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

U.S. BANK NATIONAL ASSOCIATION,
as Trustee

Date: _____, 2020

By: _____

Name:

Title:

**TWENTY-SEVENTH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2020-2021
UCONN 2000 BOND AUTHORIZATIONS
___ SERIES ___ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed - <u>D.S.C.</u> <u>Bonds</u> **	Fiscal Year 2020-2021 Bond <u>Authorization</u> ⁽²⁾
--<u>Storrs and Regional Campuses</u>		
Academic and Research Facilities	\$508,510,860.18	\$125,600,000.00
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities ⁽³⁾	958,933,528.91	116,400,000.00
Equipment, Library Collections & Telecommunications	225,375,846.00	13,000,000.00
Residential Life Facilities	154,760,110.26	5,000,000.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$260,000,000.00</u>
Total Fiscal Year 2020-2021 Bond Authorization		\$260,000,000.00

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward and does not include \$50 million of Phase II authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

⁽¹⁾ The Board of Trustees approved the Twenty-seventh Supplemental Indenture on June 24, 2020.

⁽²⁾ The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.


⁽³⁾ Public Act 17-2 passed October 31, 2017 and changed the UCONN 2000 named project formally known as “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”, to the new UCONN 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities” and UConn Health’s UConn 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Sum — Health Center” to the new UConn 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities – Health Center. Similarly, Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 24



June 24, 2020

TO: Members of the Board of Trustees

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

Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Twentieth Supplemental Indenture, as follows:

- Decrease North Hillside Road Completion by \$1,500,000 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$1,500,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$47,748,376.87.

BACKGROUND:

The Board of Trustees approved the Twentieth Supplemental Indenture on June 25, 2014 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twentieth Supplemental Indenture on July 2, 2014.

The projects authorized under the Twentieth Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2015, 2016, 2017 and 2018.

The Board of Trustees amended the Twentieth Supplemental Indenture on June 24, 2015, March 30, 2016, October 26, 2016, June 28, 2017, December 13, 2017 and June 26, 2019 to make certain reallocations of bond authorizations among capital projects.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2014-2015, including this submission, and updates the total amounts of debt service commitment bonds (“DSC Bonds”) needed.

**RESOLUTION AMENDING THE TWENTIETH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2014-2015
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 25, 2014, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Twentieth Supplemental Indenture (the “Twentieth Supplemental Indenture”) supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the “Master Indenture”); and

WHEREAS, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2015, 2016, 2017 and 2018 to finance the Fiscal Year 2014-2015 bond authorizations; and

WHEREAS, on June 24, 2015, March 30, 2016, October 26, 2016, June 28, 2017, December 13, 2017 and June 26, 2019 the University amended the Twentieth Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2014-2015 as set forth in Appendix A; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Twentieth Supplemental Indenture should be revised to reflect the final amounts spent on certain of the projects; and

WHEREAS, the University desires to amend the Twentieth Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Twentieth Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Twentieth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2014-2015 bond authorization amongst projects as follows: (a) decrease North Hillside Road Completion by \$1,500,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and (b) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$1,500,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$47,748,376.87 ; and to update the total amounts of debt service commitment (“DSC”) bonds needed.

This Resolution shall take effect upon adoption by the Board of Trustees.

TWENTIETH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2014-2015
UCONN 2000 BOND AUTHORIZATIONS
_____ SERIES ___ BOND PROJECTS

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed - <u>D.S.C.</u> Bonds**	Fiscal Year 2014-2015 Bond <u>Authorization</u> ⁽²⁾
--<u>Storrs and Regional Campuses</u>		
Academic and Research Facilities	\$508,510,860.18	\$9,024,327.00
Arjona and Monteith (new classroom buildings)	128,219,870.93	12,023,606.07
Avery Point Renovation	8,327,447.54	7,302,782.00
Beach Hall Renovations	5,146,688.33	403,993.00
Biobehavioral Complex Replacement	3,495,807.00	551,166.00
Deferred Maintenance/Code/ADA Renovation Lump Sum ⁽³⁾	958,933,528.91	47,748,376.87
Engineering Building (with Environmental Research Institute)	92,579,389.76	20,970,913.00
Equipment, Library Collections & Telecommunications	225,375,846.00	34,500,000.00
Fine Arts Phase II	40,708,924.00	26,509.00
Gant Building Renovations	12,455,770.32	299,752.32
Hartford Relocation Acquisition/Renovation	139,027,625.42	13,299,682.00
Heating Plant Upgrade	11,877,724.42	9,002,724.42
Jorgensen Renovation	3,899,128.58	150,000.00
Koons Hall Renovation/Addition	1,461,146.00	35,000.00
Parking Garage #3		
Residential Life Facilities	75,214.27	75,214.27
Support Facility (Architectural and Engineering Services)	154,760,110.26	43,991,717.00
Torrey Renovation Completion and Biology Expansion	16,583.05	16,583.05
Waterbury Downtown Campus	1,530,373.00	30,373.00
Young Building Renovation/Addition	1,608,764.00	1,129,827.00
	23,651,403.00	4,417,454.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$205,000,000.00</u>
--<u>Health Center</u>		
CLAC Renovation Biosafety Level 3 Lab	\$15,901,465.91	\$4,876,465.91
Deferred Maintenance/Code/ADA Renovation Sum — Health Center ⁽³⁾	51,165,519.91	1,674,928.09
Equipment, Library Collections & Telecommunications — Health Center	116,429,390.00	4,125,000.00
Main Building Renovation	117,484,315.91	11,679,000.00
The University of Connecticut Health Center New Construction and Renovation	387,457,387.09	88,144,606.00
<u>Subtotal – Health Center</u>		<u>\$110,500,000.00</u>
Total Fiscal Year 2014-2015 Bond Authorization		\$315,500,000.00

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

⁽¹⁾ The Board of Trustees approved the Twentieth Supplemental Indenture on June 25, 2014 and amended it on June 24, 2015, March 30, 2016, October 26, 2016, June 28, 2017, December 13, 2017, June 26, 2019 and June 24, 2020.

⁽²⁾ The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.


⁽³⁾ Public Act 17-2 passed October 31, 2017 and changed the UCONN 2000 named project formally known as “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”, to the new UCONN 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities” and UConn Health’s UConn 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Sum — Health Center” to the new UConn 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities – Health Center. Similarly, Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since these projects were authorized in this supplemental indenture prior to the legislative name changes effective date, the original project names are referred to herein.


ATTACHMENT 25



June 24, 2020

TO: Members of the Board of Trustees

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

Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Twenty-Second Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Twenty-Second Supplemental Indenture, as follows:

- Decrease Jorgensen Renovation by \$35,346.00 for a total fiscal year 2016-2017 bond authorization for such project of \$164,654.00 ; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$35,346.00 for a total fiscal year 2016-2017 bond authorization for such project of \$65,859,127.35 ; and

BACKGROUND:

The Board of Trustees approved the Twenty-Second Supplemental Indenture on June 29, 2016 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twenty-Second Supplemental Indenture on July 5, 2016.

The projects authorized under the Twenty-Second Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2017, 2018 and 2019.

The Board of Trustees amended the Twenty-Second Supplemental Indenture on October 26, 2016, June 28, 2017, December 13, 2017 and June 26, 2019 to make certain reallocations of bond authorizations among capital projects.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2016-2017, including this submission, and updates the total amounts of debt service commitment bonds (“DSC Bonds”) needed.

**RESOLUTION AMENDING THE TWENTY-SECOND SUPPLEMENTAL
INDENTURE
TO REALLOCATE FISCAL YEAR 2016-2017
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 29, 2016, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Twenty-Second Supplemental Indenture (the “Twenty-Second Supplemental Indenture”) supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the “Master Indenture”); and

WHEREAS, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2017, 2018 and 2019 to finance the Fiscal Year 2016-2017 bond authorizations; and

WHEREAS, on October 26, 2016, June 28, 2017, December 13, 2017 and June 26, 2019 the University amended the Twenty-Second Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2016-2017 as set forth in Appendix A; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Twenty-Second Supplemental Indenture should be revised to reflect the amounts to be spent on certain of the projects; and

WHEREAS, the University desires to amend the Twenty-Second Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Twenty-Second Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Twenty-Second Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2016-2017 bond authorization amongst projects as follows: (a) decrease Jorgensen Renovation by \$35,346.00 for a total fiscal year 2016-2017 bond authorization for such project of \$164,654.00; and (b) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$35,346.00 for a total fiscal year 2016-2017 bond authorization for such project of \$65,859,127.35; and to update the total amounts of debt service commitment (“DSC”) bonds needed.

This Resolution shall take effect upon adoption by the Board of Trustees.

**TWENTY-SECOND SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2016-2017
UCONN 2000 BOND AUTHORIZATIONS
___SERIES ___ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2016-2017 Bond Authorization ⁽²⁾
--<u>Storrs and Regional Campuses</u>		
Academic and Research Facilities	\$508,510,860.18	\$6,476,861.00
Arjona and Monteith (new classroom buildings)	128,219,870.93	131,977.65
Deferred Maintenance/Code/ADA Renovation Lump Sum ⁽³⁾	958,933,528.19	65,859,127.35
Engineering Building (with Environmental Research Institute)	92,579,389.76	19,344,710.00
	225,375,846.00	9,000,000.00
Equipment, Library Collections & Telecommunications	40,708,924.00	4,544,998.00
Fine Arts Phase II	139,027,625.42	68,424,318.00
Hartford Relocation Acquisition/Renovation	3,899,128.58	164,654.00
Jorgensen Renovation	154,760,110.26	4,949,910.00
Residential Life Facilities	1,500,870.00	393,444.00
Stamford Campus Improvements/Housing		
		<u>\$179,290,000.00</u>
Subtotal – Storrs and Regional Campuses		
--<u>Health Center</u>		
Deferred Maintenance/Code/ADA Renovation Sum — Health Center ⁽³⁾	\$ 51,165,519.91	\$3,886,945.00
Equipment, Library Collections and Telecommunications - Health Center	116,429,390.00	2,250,000.00
Main Building Renovation	117,484,315.91	20,058,297.91
Medical School Academic Building Renovation	39,578,232.00	4,599,988.00
The University of Connecticut Health Center New Construction and Renovation	387,457,387.09	30,314,769.09
Subtotal – Health Center		<u>\$61,110,000.00</u>
Total Fiscal Year 2016-2017 Bond Authorization		<u>\$240,400,000.00</u>

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

⁽¹⁾ The Board of Trustees approved the Twenty-second Supplemental Indenture on June 29, 2016 and amended it on October 26, 2016, June 28, 2017, December 13, 2017, June 26, 2019 and June 24, 2020.

(2) The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.


(3) Public Act 17-2 passed October 31, 2017 and changed the UCONN 2000 named project formally known as “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”, to the new UCONN 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities” and UConn Health’s UConn 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Sum — Health Center” to the new UConn 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities – Health Center. Similarly, Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since these projects were authorized in this supplemental indenture prior to the legislative name changes effective date, the original project names are referred to herein.


ATTACHMENT 26



June 24, 2020

TO: Members of the Board of Trustees

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

Carl W. Lejuez, Ph.D. 
Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Twenty-Third Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Twenty-Third Supplemental Indenture, as follows:

- Decrease Engineering Building by \$833,432.24 for a total fiscal year 2017-2018 bond authorization for such project of \$6,165,842.76; and
- Decrease Hartford Relocation/Acquisition/Renovation by \$972,374.72 for a total fiscal year 2017-2018 bond authorization of \$17,317,626.28; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$1,805,806.96 for a total fiscal year 2017-2018 bond authorization for such project of \$74,052,276.96; and
- Decrease Medical School Academic Building Renovation by \$214,256.00 for a total fiscal year 2017-2018 bond authorization of \$530,744.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum – UCHC by \$214,256.00 for a total fiscal year 2017-2018 bond authorization for such project of \$863,406.00

BACKGROUND:

The Board of Trustees approved the Amended and Restated Twenty-Third Supplemental Indenture on November 1, 2017 (the “Twenty-Third Supplemental Indenture”) supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twenty-Third Supplemental Indenture on November 21, 2017.

Office of the Executive Vice President for
Administration and Chief Financial Officer
352 MANSFIELD ROAD, UNIT 1122
STORRS, CT 06269-1122
PHONE 860.486.3455
FAX 860.486.1070
www.evpacfo.uconn.edu

The projects authorized under the Twenty-Third Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2018 and 2019.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2017-2018, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed.

**RESOLUTION AMENDING THE TWENTY-THIRD SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2017-2018
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on November 1, 2017, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Amended and Restated Twenty-Third Supplemental Indenture (the “Twenty-Third Supplemental Indenture”) supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the “Master Indenture”); and

WHEREAS, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2018 and 2019 to finance the Fiscal Year 2017-2018 bond authorizations; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Twenty-Third Supplemental Indenture should be revised to reflect the amounts to be spent on certain of the projects; and

WHEREAS, the University desires to amend the Twenty-Third Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Twenty-Third Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Twenty-Third Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2017-2018 bond authorization amongst projects as follows: (a) decrease Engineering Building by \$833,432.24 for a total fiscal year 2017-2018 bond authorization for such project of \$6,165,842.76; and (b) decrease Hartford Relocation/Acquisition/Renovation by \$972,374.72 for a total fiscal year 2017-2018 bond authorization of \$17,317,626.28 (c) increase Deferred Maintenance/Code ADA Renovation Lump Sum by \$1,805,806.96 for a total fiscal year 2017-2018 bond authorization of \$74,052,276.96; and (d) decrease Medical School Academic Building Renovation by \$214,256.00 for a total fiscal year 2017-2018 bond authorization of \$530,744.00; and (e) increase Deferred Maintenance/Code/ADA Renovation Sum- UCHC by \$214,256.00 for a total fiscal year 2017-2018 bond authorization for such project of \$863,406.00; and to update the total amounts of debt service commitment (“DSC”) bonds needed.

This Resolution shall take effect upon adoption by the Board of Trustees.

**TWENTY-THIRD SUPPLEMENTAL INDENTURE
 UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
 FISCAL YEAR 2017-2018
 UCONN 2000 BOND AUTHORIZATIONS
 ___SERIES ___ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2017-2018 Bond Authorization ⁽²⁾
--<u>Storrs and Regional Campuses</u>		
Academic and Research Facilities	\$508,510,860.18	\$44,903,037.00
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum ⁽³⁾	958,933,528.91	74,052,276.96
Engineering Building (with Environmental Research Institute)	92,579,389.76	6,165,842.76
Equipment, Library Collections & Telecommunications	225,375,846.00	11,775,160.00
Farm Buildings Repairs/Replacement	6,408,304.09	1,371,907.00
Hartford Relocation Acquisition/Renovation	139,027,625.42	17,317,626.28
Subtotal – Storrs and Regional Campuses		<u>\$155,585,850.00</u>
--<u>Health Center</u>		
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	\$51,165,519.91	\$863,406.00
Equipment, Library Collections and Telecommunications — Health Center	116,429,390.00 39,578,232.00	36,475,000.00 530,744.00
Medical School Academic Building Renovation The University of Connecticut Health Center New Construction and Renovation	387,457,387.09	6,545,000.00
Subtotal – Health Center		<u>\$44,414,150.00</u>
Total Fiscal Year 2017-2018 Bond Authorization		<u>\$200,000,000.00</u>

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

⁽¹⁾ The Board of Trustees approved the Twenty-third Supplemental Indenture on November 1, 2017.

⁽²⁾ The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.


⁽³⁾ Public Act 17-2 passed October 31, 2017 and changed the UCONN 2000 named project formally known as “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”, to the new UCONN 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities” and UConn Health’s UConn 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Sum — Health Center” to the new UConn 2000 project name of “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities – Health Center. Similarly, Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 27



June 24, 2020

TO: Members of the Board of Trustees

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

Carl W. Lejuez 
Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Wired Access Layer Infrastructure Refresh – Phase II
(Final: \$4,200,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$4,200,000, as detailed in the attached project budget, to execute the second phase of Wired Access Layer Infrastructure Refresh deferred maintenance. 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 \$4,200,000 in UCONN 2000 bond funds for the Wired Access Layer Infrastructure Refresh – Phase II 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:

Network infrastructure, which includes equipment, cabling, and facilities, is the foundation for all wired and wireless connectivity, including Voice over Internet Protocol (VoIP). Cabling and facilities have a typical lifespan of 25-30 years, while the wireless and wired network equipment useful life is limited to five to eight years as new standards and technology are adopted by the industry. Although Information Technology Services (ITS) had made selective investments in both networking and cabling, much of the equipment and a substantive portion of the cabling and facilities on the UConn campuses were at or past their useful life. ITS initiated the five-year project in 2019 to comprehensively refresh the

wired access layer infrastructure. This project would greatly improve network performance for the UConn community, enable contemporary usage, improve network security, and facilitate lifecycle planning for sustainability.

Before beginning, ITS assessed the network infrastructure in all buildings and determined locations that required nominal equipment and facilities upgrades and those that needed a comprehensive, and more disruptive, overhaul of cabling, equipment, and facilities. ITS prepared a schedule that included a mix of buildings each year, to minimize disruptions from construction, and shared it with the Provost's Office and University Design, Planning and Construction for their review. A total of 44 buildings were addressed in Phase I, consisting of 18 academic/research buildings (approximately 19% of institutional space) and 26 residence halls in five complexes (approximately 20% of the rooms).

Multiple factors impacted the original schedule, and ITS made modifications to maintain progress. Ten buildings in need of comprehensive refreshes required more substantial construction activities, which extended the design and procurement timelines and created a gap in the spring 2020 schedule. To accommodate this change, ITS initiated equipment-only refreshes in both the Stamford and Waterbury regional campuses as well as additional residence halls. We made more adjustments when the University changed its operational status in response to the COVID-19 risk. For example, ITS modified the schedule of network equipment deployment in residence halls to align with the University's phased move out of students and their belongings. ITS has adjusted future project schedules and will be allowing more time for the creation and review of designs for construction activities.

The proposed work for Phase II is a balance of residence and non-residence buildings on the Storrs Campus and regional campuses and accommodates the University's operational status. In preparation for Phase II, five academic buildings and seven residence halls are construction-ready with completed designs. Work in the academic buildings can begin immediately and the residence halls will be slated for spring 2021. Because the design and planning stages for several large buildings and regional campuses will extend across fiscal boundaries, large design efforts are included in Phase II and cabling efforts in Phase III for the following buildings and campuses: Stamford, Avery Point, Law School, Homer Babbidge Library, and Beach Hall. Equipment-only upgrades and limited facilities work is planned for several residence halls and will be coordinated with the Department of Residential Life. The list of proposed buildings will be reviewed with the Provost's Office, University Planning, Design and Construction and Residential Life and will be adjusted as necessary.

To complete Phase II, we are requesting \$4.2M. The total estimated cost of the five-year deferred maintenance plan is \$32M. ITS proposed to execute approximately \$6M in scope per phase; however only \$4.2M will be executed in FY21. The projections do not include any currently unknown effects of tariffs on equipment and/or material costs.

The funding sources for phases three through five have not been determined yet. This deferred maintenance program is sponsored by ITS. The budget consists of cabling, equipment, and facilities upgrades procured in accordance with State contracting

CAPITAL PROGRAM BUDGET REPORTING FORM

TYPE BUDGET: **FINAL**

PROJECT NAME: **WIRED ACCESS LAYER INFRASTRUCTURE REFRESH-PHASE II**

<u>BUDGETED EXPENDITURES*</u>	<u>PROPOSED FINAL 6/24/2020</u>
CONSTRUCTION	\$ 1,825,000
DESIGN SERVICES	580,000
TELECOMMUNICATIONS	1,150,000
CONSTRUCTION ADMINISTRATION	110,000
OTHER AE SERVICES (including Project Management)	150,000
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	30,000
OTHER SOFT COSTS	-
SUBTOTAL	<u>\$ 3,845,000</u>
PROJECT CONTINGENCY	<u> 355,000</u>
TOTAL BUDGETED EXPENDITURES	<u><u>\$ 4,200,000</u></u>
<u>SOURCE OF FUNDING*</u>	
UCONN 2000 BOND FUNDS	<u>\$ 4,200,000</u>
TOTAL BUDGETED FUNDING	<u><u>\$ 4,200,000</u></u>

*This budget reflects the University's current intended source(s) of funding for this 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 6.24.20

VARIOUS IT PROJECT #S

INFORMATIONAL ITEMS

**University of Connecticut Department of Human Resources
Hires Processed from April 14th, 2020 to May 26th, 2020
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Almasi, Ashkan	Postdoctoral Research Assoc	Mechanical Engineering	5/8/2020
Babkin, Anton	Asst Research Professor	Agricultural and Resource Econ	4/30/2020
Banerjee, Abhijit	Assoc Vice President	Tech Comm and Industry Rltns	5/22/2020
Barkley, Nicole E	U Ed Asst 3	Research	5/8/2020
Benike, Jeffrey A	UCP 05-Residence Hall Director	Residential Life	4/24/2020
Cassan, Alexis M	U Ed Asst 3	Provost Academic Affairs	4/24/2020
Ciarimboli, Erin B	UCP 08-Program Director	Enrichment Programs	5/8/2020
Conti, Alana A	UCP 03-Program Asst I	Dramatic Arts	4/24/2020
Cropp, John W	UCP 05-U Library Asst 2	Library Access Services	5/22/2020
Dawson, Wiley T	UCP 06-Career Consultant	Career Development Center	5/22/2020
Eyre, William B	UCP 09-Publicity/Mrkg Director	Business	5/8/2020
Farrell, Sarah E	UCP 04-Program Asst 2	ISS Administration	4/24/2020
Hoagland, Andrew T	UCP 01-Research Lab Aide	Plant Sci and Landscape Arch	5/22/2020
Hyeon, Jiyeon	Postdoctoral Research Assoc	Pathobiology	4/24/2020
Jenkins, Kyrstyn	Research Asst 1	InCHIP	5/22/2020
Kane, Mikala F	UCP 04-Publicity/Mktg Coord	Nursing	5/22/2020
Knutie, Sarah A	Asst Professor	Ecology and Evolutionary Bio	8/23/2017
Lejuez, Carl	Provost & Exec Vice President	Provost Academic Affairs	5/29/2020
Mcomber, Chesney A	Postdoctoral Research Assoc	Civil and Environ Engineering	4/24/2020
Ostwal, Mayur	Asst Research Professor	Clean Energy Engineering Ctr	4/30/2020
Patrissi, Lajos D	UCP 09-Facilities Prof 3	Academic Renovations	4/24/2020
Rubin, Michael A	Asst Research Professor	Human Rights Institute	5/22/2020
Smith, Lara W	UCP 04-Admin Serv Specialist 2	Students with Disabilities Ctr	4/24/2020
Wazer, Edward	Research Asst 3	Clean Energy Engineering Ctr	5/31/2020
Wozniak-Brown, Joanna L	Research Assoc 1	CT Inst Resilience and Adapt	5/22/2020
Wu, Bifen	Postdoctoral Research Assoc	Clean Energy Engineering Ctr	5/22/2020
Yong, Jui Shan	Research Assoc 3	Clean Energy Engineering Ctr	5/31/2020

**University of Connecticut Department of Human Resources
 Separations Processed from April 14th, 2020 to May 26th, 2020
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Allard, Kathleen M	UCP 03-Program Asst I	Retirement	Environmental Sci and Engr Ctr	5/1/2020
Bennett, Elise M	UCP 06-Grants & Contr Spec 1	Retirement	Nursing	5/1/2020
Bowen, Connor M	UCP 04-Program Asst 2	Separation	Athletics Facilities Ops	4/4/2020
Browning, Ashley M	UCP 07-Program Specialist 2	Separation	Career Development Center	4/11/2020
Chamberlin, Kevin W	Assoc Dean & Assoc Clin 11 Mo	Separation	Pharmacy Practice	5/22/2020
Desilets, Dianne	Research Asst 2	Separation	Social Work Instruct and Rsrch	5/4/2020
Dowden, Joseph C	UCP 09-Oper Sys Prog/Analyst 3	Separation	Liberal Arts and Sciences	3/28/2020
Glenn, Wendy J	Professor	Separation	Ed Curriculum and Instruction	8/23/2017
Grond, Kirsten	Postdoctoral Research Assoc	Separation	Molecular and Cell Biology	5/1/2020
Hessing, Bruce	UCP 05-Dining Serv Ar Asst Mgr	Retirement	Dining Services	4/1/2020
Higgins, Melissa	UCP 03-Laboratory Technician 1	Separation	Biological Sciences	4/2/2020
Holmes-Hope, Charles A	UCP 09-Executive Program Dir	Separation	Residential Life	4/10/2020
Lamagna Jr., Robert F	UCP 06-Program Specialist 1	Separation	Info Technology Security	3/28/2020
Li, Wei	Postdoctoral Research Assoc	Separation	Physiology and Neurobiology	3/28/2020
Lombardo, Lisa	UCP 06-Publicity/Mktg Admin	Separation	Business Graduate Programs	4/18/2020
Machida, Margo L	Professor	Retirement	Art and Art History	1/1/2017
Merritt, Debra	U Ed Asst 1	Retirement	President	4/1/2020
Modak, Arnab	Postdoctoral Research Assoc	Separation	Molecular and Cell Biology	4/1/2020
Morales, Helen M	UCP 04-Admin Serv Specialist 2	Retirement	Planning, Design and Construct	4/1/2020
Morse, Clinton E	UCP 07-Manager-Growth Opers	Retirement	Ecology and Evolutionary Bio	4/1/2020
Nammour, Shannon S	UCP 06-Community Director	Separation	Residential Life	4/22/2020
Parlette, Patricia M	UCP 05-Admin Coordinator	Retirement	Lit, Cultures and Languages	4/1/2020
Peng, Xiaoguang	Postdoctoral Research Assoc	Separation	Materials Science Institute	4/27/2020
Pinatti, Laura	Research Asst 3	Retirement	Materials Science Institute	5/1/2020
Reel, Michele D	UCP 05-Admissions Officer	Retirement	Admissions	4/1/2020
Rocchetti, Michael J	UCP 10-Facilities Prof 4	Retirement	Facilities Trade Services	5/1/2020
Salois, Sarah	Postdoctoral Research Assoc	Separation	Marine Sciences	3/28/2020

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Salsedo, Carl A	EXTENSION EDUCATOR	Retirement	Dept of Extension Hartford	5/1/2020
Schlehofer, Maryke A	UCP 05-Laboratory Technician 3	Retirement	Molecular and Cell Biology	4/1/2020
Sousa, Shannon	UCP 05-Academic Advisor 1	Separation	CLAS Academic Services	4/10/2020
Steenburg, Nancy H	UCP 07-Asst Dir BGS/ND Prog	Retirement	Avery Point Campus	5/1/2020
Waleszczyk, Tammy	UCP 09-Sr Comp Prog/Analyst	Retirement	Enterprise Applications	4/1/2020

**University of Connecticut Department of Human Resources
 Leaves of Absence Processed through 06/08/2020
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Gooch, Jamie	Clinical Instructor	Nursing Instruct and Research	4/23/2020	5/6/2020	Bonding Leave	Unpaid
Shanahan, Marie	Associate Professor	Journalism	4/20/2020	5/21/2020	Caregiver Leave	Unpaid

COMMITTEE AGENDAS

AGENDA
Board of Trustees
ACADEMIC AFFAIRS COMMITTEE
Tuesday, June 23, 2020
8:30 a.m.

Meeting held by telephone.

Public call-in number:

(415) 655-0002 US Toll

Access Code: 629 930 823##

(Note that the meeting will be recorded.)

ATTACHMENT

- 1) Minutes of the Academic Affairs Committee Meeting of May 20, 2020, as circulated

ACTION ITEMS:

- | | |
|---|----|
| 2) Promotion and Tenure | 1 |
| 3) Designation of Emeritus Status | 2 |
| 4) Appointment of Retired Faculty to Emeritus Status | 3 |
| 5) Sabbatical Leave Recommendations | 4 |
| 6) Appointment of Sandra M. Chafouleas, PhD, to a Neag Professorship in the Neag School of Education | 5 |
| 7) Appointment of Jinbo Bi, PhD, to the Frederick H. Leonhardt Computer Science Chair in the School of Engineering | 6 |
| 8) Appointment of George Bollas, PhD, to the United Technologies Corp. Chair in Advanced Systems Engineering in the School of Engineering | 7 |
| 9) Reappointment of Richard D. Pomp, JD, as the Alva P. Loiselle Professor of Law in the School of Law | 8 |
| 10) Reappointment of Steven Wilf, JD, PhD, as the Anthony J. Smits Professor of Global Commerce in the School of Law | 9 |
| 11) Reappointment of Angel Oquendo, JD, PhD, as the George J. and Helen M. England Professor of Law in the School of Law | 10 |
| 12) Reappointment of Peter Siegelman, PhD, as the Phillip I. Blumberg Professor of Law in the School of Law | 11 |
| 13) New Graduate Certificate in Life Story Practice and Research | 12 |
| 14) New Graduate Remote Sensing and Geospatial Data Analytics Certificate | 13 |
| 15) New Undergraduate Major in Multidisciplinary Engineering | 14 |

INFORMATIONAL ITEMS:

16) Academic Program Inventory	15
17) Centers and Institutes	16

AGENDA

Special Meeting of the
University of Connecticut
BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE
June 11, 2020

Conference Call In:
415-655-0002
Access code: 647 939 273##
Note that this meeting will be recorded.

Call to order at **10:00 a.m.**

TAB

1) Public Participation (limited to agenda items)

ACTION ITEM:

2) Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of May 13, 2020, as circulated 1

PRESENTATION/DISCUSSION ITEMS:

- 3) Office of Construction Assurance Quarterly Report – June 2020
➤ Presenter: James Bradley, Director of Construction Assurance
- 4) Fiscal Year 2021 Capital Budget *[Info]* 2
➤ Presenter: Scott Jordan, Executive Vice President for Administration and Chief Financial Officer
- 5) Project Update ~ Storrs Based Programs 3
▪ Hockey Update
▪ Introduction of the “Report of the President’s Working Group on Sustainability and the Environment”
▪ Reopening Issues that Impact BGE
➤ Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction
- 6) Status of Code Correction Projects 4
▪ Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report
▪ Quarterly Construction Status Report, Period Ending March 31, 2020
https://updc.uconn.edu/wp-content/uploads/sites/1525/2020/04/UConn_Quarterly_Construction_Status_Report_03312020web.pdf

INFORMATION ITEMS:

- 7) Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) 5
- 8) Construction Projects Status Report ~ as of 04/29/20
<https://budget.uconn.edu/wp-content/uploads/sites/1441/2020/04/CSR-4.29.20.pdf>
- 9) Executive Session (*As Needed*)
- 10) Adjournment

SPECIAL TELEPHONE MEETING
UNIVERSITY OF CONNECTICUT
BOARD OF TRUSTEES
COMMITTEE FOR DIVERSITY, EQUITY and INCLUSION

AGENDA

June 10, 2020

Meeting held by Telephone

Public Call-in Number:

(415) 655-0002 US Toll

Access Code: 629 930 823##

(Note that the meeting will be recorded.)

Call to order at **11:00 a.m.**

1. Public Participation (limited to agenda items)
2. Welcome and Introductions of Committee Members – Dr. Andrea Dennis-LaVigne,
Committee Chair
3. Opening Statement - Daniel D. Toscano, Chairman BoT
4. Chief Diversity Officer Introduction – Dr. Frank Tuitt
5. Committee Role | Board of Trustees Resolution (Attachment 1)
6. Key Focal Points and Time Frame
7. Provost Update – Dr. Carl Lejuez
8. Executive Session (as needed)
9. Adjournment

Please Note: If you are an individual with a disability and require accommodations, please call the Office for Diversity and Inclusion at (860) 428-2975 prior to the meeting.

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 12, 2020 at 1:00 p.m.
University of Connecticut
Conference Call

Conference Call In:

415-655-0002

Access code: 647 939 273##

Note that this meeting will be recorded.

ATTACHMENT

1) Public Participation (limited to agenda items)

** If members of the public wish to address the Board of Trustees during the Public Participation portion of the meeting, you must submit a request in writing one hour prior to the start of the meeting (by 12:00 p.m.) to the following email address: boardoftrustees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment to a maximum of 30 minutes. People will be called upon to speak, based upon the order of requests received. Depending on the number of individuals who sign up to address the Board, the Chairperson may limit the comment period to 3 minutes per person. As an alternative, you may also submit your comments via email which will be shared with the Board.*

ACTION ITEMS:

- | | |
|--|---|
| 2) Approval of the Minutes of the Financial Affairs Committee Meeting of April 29, 2020, as circulated | 1 |
| 3) Contracts and Agreements for Approval | 2 |
| 4) Proposed Second Amended and Restated Master Agreement and Statement of Work for the UConn Foundation for Fiscal Year 2021 | 3 |
| 5) Twenty-Seventh Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds | 4 |
| 6) Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture (University of Connecticut General Obligation Bonds) | 5 |
| 7) Revised Allocation of Bond Authorizations as set forth in the Twenty-Second Supplemental Indenture (University of Connecticut General Obligation Bonds) | 6 |
| 8) Revised Allocation of Bond Authorizations as set forth in the Twenty-Third Supplemental Indenture (University of Connecticut General Obligation Bonds) | 7 |

PROJECT BUDGETS FOR APPROVAL:

<i>STORRS BASED PROGRAMS</i>	<i><u>Phase</u></i>	<i><u>Budget</u></i>	
9) Wired Access Layer Infrastructure Refresh – Phase II	Final	\$4,200,000	8
10) Spending Plan for Fiscal Year 2021 for the University of Connecticut, Storrs & Regional Campuses			9
11) Spending Plan for Fiscal Year 2021 for UConn Health			10
12) Fiscal Year 2021 Capital Budget for the University of Connecticut, Storrs and Regional Campuses			11

PRESENTATION ITEM:

13) FY21 Budget Presentation	12
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INFORMATION ITEMS:

14) Capital Project Expenditure Report – All Funding Sources Fiscal Year 2020 as of 05/31/2020	B
15) Construction Project Status Report https://budget.uconn.edu/construction-status-reports/	

EXECUTIVE SESSION (As Needed)

AGENDA
Telephone Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 24, 2020 at 8:15 a.m.
University of Connecticut

Conference Call In:
415-655-0002
Access code: 647 939 273##
Note that this meeting will be recorded.

ATTACHMENT

1) Public Participation

ACTION ITEMS:

2) Contracts and Agreements for Approval

1

EXECUTIVE SESSION (*As Needed*)

**University of Connecticut Board of Trustees
Institutional Advancement Committee**

Teleconference

Tuesday, June 9, 2020
1:00 p.m.

1. Public Participation..... Dr. Dennis-LaVigne
2. Acceptance of April 14, 2020 Meeting Minutes.....Dr. Dennis-LaVigne
Attachment 1
3. UConn Foundation Master Agreements for SOW FY21.....Ms. Salafia
Attachment 2
4. UConn Foundation Update.....Mr. Roberts / Ms. Cotton Kelly
5. University Communications Update.....Mr. Kendig
6. Legislative Update.....Ms. Lombardo

Executive session as needed

Teleconferencing Instructions
Dial 1-415-655-0002 (US Toll Free)
Access code: 629 930 823

(Note that the meeting will be recorded.)

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

June 3, 2020

Agenda

10:00 am - 10:30 am – Executive Session

10:30 - 12:00 pm – Public Session

Meeting held by Telephone:

Public Call In Number:

1-800-988-9775

Access Code: PUBLIC

(Note that the meeting will be recorded.)

Topic	Proposed Action	Tab
Executive Session to discuss: <ul style="list-style-type: none"> • C.G.S. 1-200(6)[E] – Preliminary drafts or notes that the public agency has determined that the public’s interest in withholding such documents clearly outweighs the public interest in disclosure. [1-210(b)(1)] • C.G.S. 1-200(6)[E] – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims [1-210(b)(4)] • C.G.S. 1-200(6)(E) – Records, reports and statements privileged by the attorney-client relationship. [1-210(b)(10)] • C.G.S. 1-200(6)[C] – Records of standards, procedures, processes, software and codes not otherwise available to the public, the disclosure of which would compromise the security and integrity of an information technology system. [1-210(b)(20)] • C.G.S. 1-200(6)[E] – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims regarding Recovery Audit Contractor (RAC) Audits. [1-210(b)(4)] 	Review	None
Opportunity for Public Comments		None
Minutes of the March 5, 2020 Meeting	Approval	1
External Audit Engagements <ul style="list-style-type: none"> • Status of External Audits • Pharmacy Optimization Consultants LLC, dba 340B Compliance Partners – Amended Appointment 	Update Approval	2
CohnReznick LLP <ul style="list-style-type: none"> • UCONN 2000 Construction Projects Substantially Completed Funded with University of Connecticut General Obligation Bonds FY 19 • UCONN 2000 Construction Projects Not Yet Substantially Completed Funded with University of Connecticut General Obligation Bonds FY 19 • Agreed-Upon Procedures on the Technology Quadrant Phase II - Innovative Partnership Building and the Intramural, Recreational and Intercollegiate Facilities – Recreational Center FY 19 	Presentation	3
Auditors of Public Accounts <ul style="list-style-type: none"> • University of Connecticut and UConn Health Federal Single Audit for FY 19 – Report will be uploaded to https://wp.cga.ct.gov/apa/audits/reports/ 	Presentation	4
UConn Health 340B Compliance Audits <ul style="list-style-type: none"> • UConn John Dempsey Hospital’s Annual 340B Independent Audit • UConn Ryan White Annual 340B Independent Audit • UConn Hemophilia Treatment Center Annual 340B Independent Audit 	Presentations	5

SPECIAL MEETING

**University of Connecticut Board of Trustees
Institutional Advancement Committee**

Teleconference

Tuesday, June 16, 2020
12:00 p.m.

1. Public Participation..... Dr. Dennis-LaVigne

2. UConn Foundation Schedule of Work (SOW) FY21.....Ms. Salafia
Attachment 1

Executive session as needed

Teleconferencing Instructions
Dial 1-415-655-0002 (US Toll Free)
Access code: 629 930 823

(Note that the meeting will be recorded.)

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

June 3, 2020

Agenda

10:00 am - 10:30 am – Executive Session

10:30 - 12:00 pm – Public Session

Meeting held by Telephone:

Public Call In Number:

1-800-988-9775

Access Code: PUBLIC

(Note that the meeting will be recorded.)

Compliance Activities <ul style="list-style-type: none">• Significant Compliance Activities• Behind the scenes support during COVID19	Update Presentation	6
IT Updates <ul style="list-style-type: none">• UConn Health IT Projects/EPIC• UConn IT Services	Update	7
Audit Activities <ul style="list-style-type: none">• Status of Audits• Status of Audit Findings	Update	8
Informational/Educational Items <ul style="list-style-type: none">• Important Guidelines on Faculty Consulting• An Accessible Digital Environment for Everyone• FERPA Basics for UConn Families• Healthcare Compliance Matters	Information Only	9
Conclusion of Full Meeting		
Information Session with AMAS, University Compliance and External Auditors		

The next meeting of the JACC will be held on September 10, 2020 at 10:00 am
University of Connecticut, Wilbur Cross, North Reading Room, Mansfield Way, Storrs, CT