

UConn

UNIVERSITY OF CONNECTICUT

Board of



TRUSTEES

VOL. 222 JUNE 30, 2021

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

AGENDA

Meeting held by Telephone

June 30, 2021

Public Call In Number:
(415) 655-0002 US Toll
Access Code: 120 212 5823

Public Access Link:
<http://ait.uconn.edu/bot>

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

BOARD OF TRUSTEES SCHEDULE

8:30 a.m.	Special Academic Affairs Committee Meeting
9:00 a.m.	Financial Affairs Committee Meeting
9:30 a.m.	Board of Trustees Meeting

Call to order at **9:30 a.m.**

1. Executive Session anticipated
2. 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 30 minutes prior to the start of the meeting (by 9:00 a.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. As an alternative, you may also submit your comments via email which will be shared with the Board.

3. Chairman's Report
 - (a) Matters outstanding
 - (b) Board recognitions
 - (c) Minutes of the meetings of May 19, and June 4, 2021
 - (d) Consent Agenda Items:
 - (1) Contracts and Agreements (Attachment 1)
 - (2) Travel and Entertainment Policy – Revised (Attachment 2)
 - (3) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2022 (Attachment 3)
 - (4) Promotion and Tenure (Attachment 4)
 - (5) Tenure at Hire (Attachment 5)

- (6) Designation of Emeritus Status (Attachment 6)
- (7) Sabbatical Leave Recommendations (Attachment 7)
- (8) Appointment of Jiong Tang, PhD to the United Technologies Corporation Professor of Advanced Materials and Processing in the School of Engineering (Attachment 8)
- (9) Appointment of Professor Jeffrey Cohen, PhD to the Kinnard Real Estate Scholar in the School of Business (Attachment 9)
- (10) Appointment of Assistant Professor Alexander van De Minne, PhD as the Real Estate Faculty Fellow in the School of Business (Attachment 10)
- (11) Appointment of Professor Morgaen L. Donaldson, EdD to the Philip E. Austin Endowed Chair (*correction*) (Attachment 11)
- (12) Reappointment of Professor Joseph Golec, PhD to the Finance Department Distinguished Scholar in the School of Business (*correction*) (Attachment 12)
- (13) New Undergraduate Major in Robotics Engineering (Attachment 13)
- (14) Naming Recommendation for the Carole and Ray Neag Innovation Professorship in the School of Medicine (Attachment 14)
- (15) Delegation of Interim President as Senior Management Official (Attachment 15)

4. President's Report

- (a) Presentation: National Science Foundation Grant
Presenters: Dr. Radenka Maric, Vice President for Research, Innovation and Entrepreneurship
Dr. Jeffrey C. Hoch, Principal Investigator and Professor, UConn Health

5. Academic Affairs Committee Report

- (a) Report on Committee activities
- (b) Informational Items:
 - (1) Academic Program Inventory (Attachment 16)
 - (2) Name Change from the Rudd Center for Food Policy and Obesity to the Rudd Center for Food Policy and Health (Attachment 17)

6. Financial Affairs Committee Report

- (a) Report on Committee activities
- (b) Presentation:
 - (1) FY22 Spending Plan (Attachment 18)

- (c) Items requiring Board discussion and approval:
 - (1) Twenty-Eighth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds (Attachment 19)
 - (2) Fiscal Year 2022 Capital Budget (Attachment 20)
 - Project Budgets (Storrs-based):
 - (3) Project Budget (Final) for the George J. Sherman Family Sports Complex Track Resurfacing (Attachment 21)
 - (4) Project Budget (Final) for Werth Family UConn Basketball Champions Center Dining (Attachment 22)
 - (5) Project Budget (Revised Final) for North and South Parking Garages Restoration, Phase 1 & 2 (Attachment 23)
 - Project Budget (UConn Health):
 - (6) Project Budget (Revised Final) for the UConn Health Musculoskeletal Institute Building Roof Top Unit Replacement (Attachment 24)
 - Budget Items (Storrs-based and UConn Health):
 - (7) Fiscal Year 2022 Spending Plan for the University of Connecticut, Storrs and Regional Campuses (Attachment 25)
 - (8) Fiscal Year 2022 Operating Spending Plan for UConn Health (Attachment 26)
 - (9) Fiscal Year 2022 Tuition and Fees for the University of Connecticut, Storrs and Regional Campuses (Attachment 27)
 - (10) Fiscal Year 2022 Academic Program and Course Fees for the University of Connecticut, Storrs and Regional Campuses (Attachment 28)
- 7. UConn Health Report
 - (a) Report on UConn Health activities
- 8. Joint Audit and Compliance Committee Report
 - (a) Report on Committee activities
- 9. Buildings, Grounds and Environment Committee Report
 - (a) Report on Committee activities
- 10. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
- 11. Student Life Committee Report
 - (a) Report of Committee activities

12. Institutional Advancement Committee Report
 - (a) Report on Committee activities
13. Committee for Diversity, Equity and Inclusion Report
 - (a) Report on Committee activities
14. Committee on Compensation Report
 - (a) Report on Committee activities
15. Committee for Research, Entrepreneurship and Innovation Report
 - (a) Report on Committee activities
16. Report by the Board Liaison to the Division of Athletics
 - (a) Item requiring Board discussion and approval:
 - (1) University Policy for Name, Image, and Likeness (Attachment 29)
17. Other business
18. Adjournment

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

ATTACHMENT 1

**CONTRACT AGREEMENTS
FOR APPROVAL
JUNE 30, 2021**

PROCUREMENT AGREEMENTS - NEW*

*The Administration is seeking approval to enter into contracts based on the material terms and conditions identified below, subject to final legal review.

TRASH & RECYCLING SERVICES - STORRS & AVERY POINT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Willimantic Waste Paper Co., Inc.	LM012921	\$8,000,000	09/01/21-08/31/27	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	Trash and recycling services for the Storrs/Depot and Avery Point Campuses. This is the result of a publicly advertised solicitation. Initial term is for three years, with three extensions of one year each available, for a total term of six years. Zero extensions remain.

PARTNERSHIP AGREEMENTS - NEW*

BEVERAGE SPONSORSHIP AGREEMENT/POURING RIGHTS

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
2	Coca-Cola Beverages Northeast, Inc. & The Coca Cola Company	UC-SP-21-002	\$12,000,000	07/01/21-06/30/31	Operating Funds	Kyle Muncy, Director of Strategic Partnerships and Business Development	Exclusive beverage sponsorship/revenue agreement to provide Coca-Cola products for sale, distribution and sampling at all University campus locations, where refreshments are sold. This is a net revenue generating contract that is the result of a publicly advertised solicitation. Revenue streams include sponsorship fees, commissions, fountain sale allowances, financial support for campus initiatives, and product donations. Agreement is for a ten year term. Future extensions may be exercised by agreement of both parties.

CHARTERED BUS PARTNERSHIP AGREEMENT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
3	DATTCO, Inc.	UC-SP-21-001	\$7,000,000	07/01/21-06/30/28	Operating Funds	Kyle Muncy, Director of Strategic Partnerships and Business Development	Exclusive chartered bus transportation purchasing and sponsorship agreement. DATTCO will be the exclusive chartered bus transportation provider for UConn as the result of a publicly advertised solicitation and negotiation. As part of this deal, DATTCO will customize two executive coach buses for exclusive use by UConn Athletics and will also brand multiple coach buses. DATTCO will also provide annual internship placements for students and an annual sponsorship payment for Athletics. Initial term of this agreement is seven years with one three-year extension available.

PROCUREMENT - AMENDMENTS*

CAR RENTAL SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
4	EAN Services LLC (Enterprise)	UC-17-KA042216-8B	\$472,102 Contract Value Previously \$850,572; Total New Contract Value \$1,322,674]	11/25/16-08/31/22	Auxiliary Services	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$712,834	\$363,182	\$41,840	Car rentals for travel for faculty, staff and students, including USG for all University campuses, excluding UCH. Amend to increase contract value \$472,102, for total new contract value of \$1,322,674. Amend to extend term one year, through

CATERING SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
5	KHR (A Step Above Catering)	UC-16-KA121714-8A	\$0 [Contract Value Previously \$2,622,542; Contract Value Remains the Same]	07/01/15-06/30/22	Auxiliary Services	David Benedict, Director of Athletics	\$2,222,525	\$426,031	\$418,760	Catering services for the Division of Athletics in support of varsity sporting events and other special events on Storrs campus. Contract value remains the same. Amend to extend term one year, through 06/30/22. Zero extensions remain.

**CONTRACT AGREEMENTS
FOR APPROVAL
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COMPUTERS AND PERIPHERALS										
	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
6	Apple, Inc.	13PSX0280	\$1,000,000 [Contract Value Previously \$3,704,676; Total New Contract Value \$4,704,676]	10/02/15-07/31/22	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	\$3,368,316	\$1,183,240	\$963,498	Apple desktop and laptop computers, related equipment, peripherals and software. Amend to increase contract value \$1,000,000, for total new contract value of \$4,704,676. Amend to extend contract term one year, through 07/31/22. Sourced through a State of Connecticut contact. Future extensions may be exercised at the discretion of the state.
7	Dell Marketing, LP	UC-MF080913	\$1,000,000; [Contract Value Previously \$27,838,000; Total New Contract Value \$28,838,000]	07/01/14-10/31/21	Multiple Sources	Scott Jordan, Executive Vice President for Administration & Chief Financial Officer	\$26,163,220	\$3,917,712	\$4,329,534	Dell desktop computers for all University campuses, with the exception of UCH. Amend to increase contract value \$1,000,000, for total new contract value of \$28,838,000. Amend to extend contract term four months, through 10/31/21. A four month extension is requested to allow for completion of negotiation and implementation of a new contract, which will replace existing agreement upon execution.
CONSULTING AGREEMENT										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
8	Vanasse Hangen Bruslin	UC-151188	\$500,000 [Contract Value Previously \$1,481,012; Total New Contract Value \$2,031,012]	09/24/19-12/31/22	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	\$1,239,849	\$322,445	\$0	Consulting services to create a new solution to support the University's development of an enterprise geospatial data system which will ultimately reside at the Connecticut Department of Transportation (CTDOT). Amend to increase contract value \$550,000, for total new contract value of \$2,031,012. Contract term remains the same. Zero extensions remain.

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COVID TESTING SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
9	Broad Institute	UC-KK-08042020	\$1,000,000 [Contract Value Previously \$3,000,000; Total New Contract Value \$4,000,000]	08/04/20-06/30/22	Multiple Sources	Suzanne Onorato, Executive Director - Student Health & Wellness	\$1,963,977	\$0	\$0	COVID testing services for UConn's Storrs campus and affiliate locations, as required, to meet the residential re-entry and surveillance needs of the Storrs campus. Vendor is one of multiple on this contract. Amend to increase contract value \$1,000,000, for total new contract value of \$4,000,000. Amend to extend term one year, through 06/30/22. Future extensions may be exercised by agreement of all parties.
10	Let'sGetChecked	UC-KK-062520-3	\$0 [Contract Value Previously \$249,000; Contract Value Remains the Same]	08/04/20-08/03/22	Multiple Sources	Suzanne Onorato, Executive Director - Student Health & Wellness	\$0	\$0	\$0	COVID testing services for UConn's Storrs campus and affiliate locations, as required. Vendor is one of multiple on this contract. Vendor to provide back up services, as needed. Amend to extend term one year, through 08/04/22. Contract value remains the same. Future extensions may be exercised by agreement of all parties.
11	The Jackson Laboratory	UC-KK-062520-8	\$0 [Contract Value Previously \$2,000,000; Contract Value Remains the Same]	08/04/20-08/03/22	Multiple Sources	Suzanne Onorato, Executive Director - Student Health & Wellness	\$0	\$0	\$0	COVID testing services for UConn's Storrs campus and affiliate locations, as required. This vendor is one of multiple vendors on this contract. Vendor to provide back up services, as needed. Amend to extend term one year, through 08/04/22. Contract value remains the same. Future extensions may be exercised by agreement of all parties.
12	Vault Medical Services P.A.	UC-KK-062520-5	\$2,000,000 [Contract Value Previously \$5,000,000; Total New Contract Value \$7,000,000]	07/29/20-07/28/22	Multiple Sources	Suzanne Onorato, Executive Director - Student Health & Wellness	\$2,565,376	\$0	\$0	COVID testing services for UConn's Storrs campus and affiliate locations, as required. This vendor is one of multiple vendors on this contract. Vendor to provide testing services for commuters as well as Stamford residential testing. Amend to increase contract value \$2,000,000, for total new contract value of \$7,000,000. Amend to extend term one year, through 07/28/22. Contract value remains the same. Future extensions may be exercised by agreement of all parties.

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EMPLOYMENT SERVICES, TEMPORARY										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditure FY19	Purpose
13	Murphy Security Service, LLC	17PSX0001	\$400,000; [Contract Value Previously \$864,083; Total New Contract Value \$1,264,083]	07/19/17-12/31/22	Multiple Sources	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$864,083			Security personnel services for all University campuses. Amend to increase contract value \$400,000, for total new contract value of \$1,264,083. Contract term remains the same. Zero extensions remain.
14	United Security	17PSX0001	\$400,000; [Contract Value Previously \$879,120; Total New Contract Value \$1,279,120]	07/19/17-12/31/22	Multiple Sources	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$879,120			Security personnel services for all University campuses. Amend to increase contract value \$400,000, for total new contract value of \$1,279,120. Contract term remains the same. Zero extensions remain.
EVENT STAFFING SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditure FY19	Purpose
15	Contemporary Services Corporation	UC-KMA050313-A	\$0; [Contract Value Previously \$2,304,603; Contract Value Remains the Same]	07/01/14-08/31/21	Operating Funds	David Benedict, Director of Athletics	\$2,052,873	\$81,000	\$269,186	Management and staffing for event on the Storrs campus, including athletic events and commencement. Contract value remains the same. Amend to extend term two months, through 08/31/21. Contract extension is requested to allow for completion of a public solicitation process. Zero extensions remain.
FOOD SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditure FY19	Purpose
16	Sardilli Produce & Dairy, Inc.	UC-17-KA022916-8A	\$2,574,182; [Contract Value Previously \$8,927,364; Total New Contract Value \$11,501,546]	09/02/16-06/30/23	Auxiliary Services	Michael Gilbert, Vice President for Student Affairs	\$7,602,326	\$1,490,725	\$2,065,509	Fresh fruit and produce primarily for the Department of Dining Services for student meals, catering and other needs. Amend to increase contract value \$2,574,182, for total new contract value of \$11,501,546. Amend to extend term two years, through 06/30/23. Zero extensions remain.
17	Sysco Food Services of CT LLC	UC-15-KA111814-8	\$19,679,924; [Contract Value Previously \$79,511,224; Total New Contract Value \$99,191,148]	07/01/15-06/30/23	Auxiliary Services	Michael Gilbert, Vice President for Student Affairs	\$70,526,096	\$10,542,022	\$14,019,053	Grocery, frozen foods and food service paper products, primarily for the Department of Dining Services for student meals, catering and other needs. Amend to increase contract value \$19,679,924, for total new contract value of \$99,191,148. Amend to extend term two years, through 06/30/23. Zero extensions remain.

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HVAC SYSTEMS, INSTALLATION, SERVICE AND REPAIR										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
18	Johnson Controls Inc.	030817-JHN	\$2,500,000 [Contract Value Previously \$750,000; Total New Contract Value \$3,250,000]	05/08/17-05/08/23	Multiple Sources	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$674,586	\$338,763	\$50,905	HVAC systems, installation and service with related products and supplies for Johnson Control and York systems for all University campuses. Amend to increase contract value \$2,500,000, for total new contract value of \$3,250,000. Amend to extend

INTERNET SERVICE PROVIDER & TELECOMMUNICATIONS GOODS AND SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
19	Southern New England Telephone Company a/k/a Frontier Communications Corporations	UC-19-SF071917	\$1,000,000; [Contract Value Previously \$2,565,873; Total New Contract Value \$3,565,873]	07/01/16-06/30/22	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$1,713,230	\$1,065,503	\$576,476	Operating system, network, security hardware and services for all University campuses. Amend to increase contract value \$1,000,000, for total new contract value of \$3,565,873. Amend to extend contract term one year, through 06/30/22. Six
20	State of Connecticut - Bureau of Enterprise Services and Technology (BEST)	MOA082509	\$500,000; [Contract Value Previously \$5,978,262; Total New Contract Value \$6,478,262]	07/01/20-06/30/22	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$2,491,340	\$450,600	\$460,800	Provide internet service through the network operated by the Connecticut Education Network (CEN) for the Storrs and Regional campuses. Amend to increase contract value \$500,000, for total new contract value of \$6,478,262. Amend to extend contract term one year, through 06/30/22. Purchases are through a Memorandum of Agreement with the State. Extensions may be exercised at the discretion of the State.

NETWORK SECURITY HARDWARE & SOFTWARE										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
21	Phantom Technologies, Inc. (aka iBoss)	O1-70	\$0; [Contract Value Previously \$3,100,000; Contract Value Remains the Same]	05/01/17-05/30/22	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$812,013	\$236,382	\$322,267	Network security hardware and software through the network operated by the Connecticut Education Network (CEN) for all University campuses, excluding UCH. Contract value remains the same. Amend to extend contract term nine months, through 05/30/22 to align with consortia agreement. Sourced through the National Cooperative Purchasing Alliance (NCPA). Future extensions may be exercised at the discretion of NCPA.

**CONTRACT AGREEMENTS
FOR APPROVAL
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SECURITY SYSTEMS, INFRASTRUCTURE, HARDWARE AND RELATED SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
22	Security Technologies, Inc.	LM110818-2	\$300,000 [Contract Value Previously \$950,000; Total New Contract Value \$1,250,000]	04/01/19-02/28/22	Multiple Sources	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$621,136	\$322,022	\$0	Security system infrastructure, hardware installation, upgrading, relocation and repair services for all University campuses. Amend to increase contract value \$300,000, for total new contract value of \$1,250,000. Contract term
SOFTWARE & RELATED SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
23	Oracle America, Inc.	A-94-005/94ITZ0005MB	\$2,000,000 [Contract Value Previously \$23,319,975; Total New Contract Value \$25,319,975]	11/27/07-12/31/50	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$10,732,144	\$2,055,453	\$1,902,152	Software licenses, maintenance and support for Oracle IT systems for all University campuses. Amend to increase contract value \$2,000,000, for total new contract value of \$25,319,975. Contract term remains the same. Sourced through a State of Connecticut contract. Future extensions may be exercised at the discretion of the State.
24	Touchnet Information Systems, Inc.	WH110804	\$350,000 [Contract Value Previously \$2,103,013; Total New Contract Value \$2,453,013]	06/01/05-06/30/22	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$1,096,356	\$247,698	\$337,437	Credit card processing services and payments integration with PeopleSoft Student Administration system. Amend to increase contract value \$350,000, for total new contract value of \$2,453,013. Amend to extend contract term one year, through 06/30/22. Future extensions may be exercised by agreement of all parties.
STUDENT HEALTH INSURANCE										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
25	Wellfleet Group, LLC [services previously provided through Consolidated Health Plans, who has been acquired by Wellfleet]	UC-19-KA102918-8	\$0; [Contract Value Previously \$20,750,000; Total New Contract Value \$20,750,000]	04/25/19-08/14/22	Auxiliary Funds	Suzanne Onorato, Executive Director of Student Health and Wellness	\$14,072,031	\$5,598,420	\$5,674,846	Health insurance for registered University and UCH students, including UCH Dental Residents, and other eligible individuals. Coverage underwritten by Commercial Casualty Insurance Co., a Berkshire Hathaway-backed carrier. Broker and Agent Services provided by Smith Brothers, LLC. The expenses for all students associated with this contract are borne by the insured students, not by the University. Contract value remains the same. Amend to extend term four months to 8/14/22. Two extensions of one year each remain.

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UNIFORM RENTAL AND LAUNDERING SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditures FY19	Purpose
26	Swiss Laundry of Rockville, Inc.	UC-18-KA040618-8a	\$152,707; [Contract Value Previously \$900,000; Total New Contract Value \$1,052,707]	09/13/18-08/31/22	Auxiliary Services	Gregory F. Daniels, J.D., Interim AVP for University Business Services & Chief Procurement Officer	\$715,555	\$341,400	\$164,330	Provides uniform purchases and rentals inclusive of FR garments, laundering, dry-cleaning and other applicable services (i.e. pickup, drop-off, alterations). Additionally, provides lab-coat purchase options as well as laundering for these items. Amend to increase contract value \$152,707, for total new contract value of \$1,052,707. Amend to extend term one year, through 08/31/22. One extension of one year remains.
NON-PROCUREMENT - AMENDMENTS*										
LIBRARY SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/21	Expenditures FY20	Expenditure FY19	Purpose
27	EBSCO Information Services	UC-17-JL20316	\$2,659,072; [Contract Value Previously \$13,270,000; Total New Contract Value \$15,929,072]	07/17/16-06/30/22	Multiple Sources	Anne Langley, Dean of UConn Library	\$11,747,636	\$3,470,694	\$3,697,492	Provide an agent to purchase library serials and subscriptions for all University campuses. Journals include packages held by Wiley Interscience Core Collection, Taylor & Francis, and Springer. This relationship may be effectuated through one or more contracts or amendments. Amend to increase contract value \$2,659,072, for total new contract value of \$15,929,072. Amend to extend term one year, through 06/30/22. One extension of one year remains.
REVENUE - AMENDMENT*										
TUITION DISCOUNT PROGRAM										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose			
28	Raytheon Technologies Corporation (f/k/a UTC)	UTC070112	N/A	07/01/19-06/30/22	Tuition Funds	Carl Lejuez, Provost and EVP for Academic Affairs	Continuation of the UTC Employee Scholar Program under the Tuition Discount Policy that provides 5% graduate school tuition discount to companies that have spent at least \$1.0mm in graduate and undergraduate tuition the prior fiscal year. The 5% discount applies to students only if Raytheon Technologies Corporation (f/k/a UTC) exceeds \$1.0mm per year. (Tuition Discount Policy was originally adopted by the Board on 06/28/12). Amend to extend contract term one year, through 06/30/22.			

**CONTRACT AGREEMENTS
FOR APPROVAL
JUNE 30, 2021**

LICENSE FOR APPROVAL *

**Not all provisions of the License appearing below have been 100% completed, but the Administration is seeking approval to proceed to execution based on the material terms described below.*

UNIVERSITY AS LICENSEE

No.	Licensor	Annual Amount Payable	Term	Fund Source	Program Director	Purpose
1	GSCT Owner, LLC (dba Graduate Hotel Storrs)	Not to exceed \$216,000.00 (Fall 2021 Semester)	8/30/21-12/19/21, with possible extension for Spring Semester 2022	Operating Fund - General	Michael Gilbert, Vice President for Student Affairs	License Agreement to support University temporary housing needs for isolation and quarantine due to the COVID 19 pandemic at the Storrs campus, if necessary. The University will have the option to use up to 100 rooms, issued on a floor-by-floor basis (25 rooms per floor) during the Fall Semester 2021, with an option to continue this arrangement in Spring Semester 2022. Floors will be made available to the University upon 15 days written notice, and the University will continue use of the floor until it determines it no longer

LEASES FOR APPROVAL *

**Not all provisions of all Leases appearing below have been 100% completed, but the Administration is seeking approval to proceed to execution based on the material terms described below.*

UNIVERSITY AS TENANT

No.	Landlord	Annual Amount Payable	Term	Fund Source	Program Director	Purpose
1	EDR Storrs, LLC	\$337,656 (maximum for 20 units)	08/01/21-07/31/22	Operating Fund - General	Michael Jednak - Associate Vice President for Facilities Operations	Reservation Agreement to support university temporary housing needs for up to 20 units at The Oaks on the Square in Downtown Storrs, Storrs, CT. This Agreement continues the relationship between the University and the Landlord. The term of the Agreement is for a period of 1 year. Utilities are included in the rent. The University's Department of Facilities Operations will continue to maintain the apartments for Visiting Scholars and Storrs campus faculty, staff and guests.
2	Constitution Plaza Holding, LLC	Current rent continues until December 31, 2021. As of January 1, 2022, annual amount payable is \$209,526 (with annual escalator).	01/01/16-12/31/27	Operating Fund - General	Carl Lejuez - Provost and Executive Vice President for Academic Affairs	Amendment to Lease of office space located at One Constitution Plaza, Hartford, CT. Currently 8,916 sq. ft. of leased space, located on the sixth floor, is used by the UConn Rudd Center for Food Policy & Obesity/CHIP Program and 5,262 sq. ft. of space, located on the 17th floor, is used by the AMIS Program. This amendment would release the University from the 17th floor space on September 30, 2021 - one year early - and would extend the term for the sixth floor space by four years and four months. The University would continue pay the current rent of \$26.25 per rentable square foot (full service gross) for the sixth floor space until December 31, 2021. Commencing on January 1, 2022, the rent would reduce to \$23.50 per rentable square foot and will escalate by a rate of \$0.75 per square foot each year thereafter.
3	DP 26, LLC; Albright Properties Group, LLC; and 80 WEP-1351, LLC	\$48,090 base rent for first year (with annual escalator)	12/01/21-11/30/24	Operating Fund - General	Deborah A. Chyun Dean, School of Nursing	Lease for 1,374 square feet of space on the third floor of 1351 Washington Boulevard, Stamford, CT for the School of Nursing as office, instructional and educational use. This lease continues the use of the space, which was previously authorized by a sublease with Stamford Health. The term of the Agreement is for a period of 3 years. Electricity is included in the rent.

UNIVERSITY AS TENANT

No.	Landlord	Annual Amount Payable	Term	Fund Source	Program Director	Purpose
1	Grove Property Fund LLC DBA: GPF-Drake Hill LLC	\$93,918.60	07/01/21-06/30/22	Operating Funds	Anne Horbatuck, Vice President, UMG-Administration	Lease amendment to extend current lease term for an additional year. This lease is for 4,046 square feet of space located at 720 Hopmeadow Street, Simsbury, CT.
2	Woodstock Academy	\$60,000	07/01/21- 06/12/22 (Early occupancy request for 6/27/21 to allow students to move in the Sunday before.)	Operating Funds	Amy Chmielewski, Univ Director, Curricular Affairs	Lease of property located at 124 Route 169 Woodstock CT. House has 6 bedrooms, 3 full baths. The property will house up to six medical students at a time while they are completing their clinical rotations in the towns of Putnam and Thompson.

**CONTRACT AGREEMENTS
FOR APPROVAL
JUNE 30, 2021**

REAL ESTATE FOR APPROVAL *

**Not all provisions of the Agreements appearing below have been 100% completed, but the Administration is seeking approval to proceed to execution based on the material terms described below.*

UNIVERSITY AS PURCHASER

No.	Seller	Annual Amount Payable	Term	Fund Source	Program Director	Purpose
1	D.D.S. Associates, LLC/Capstone Collegiate Communities, LLC	\$2,000,000 plus closing costs	N/A	Technology Park State General Obligation Bonds and University Funds	Scott A. Jordan, Executive Vice President for Administration and Chief Financial Officer	Authorization for the Administration to enter into agreements necessary to effectuate the acquisition of approximately 9.4 acres of land on Route 44 and immediately to the North of UConn Tech Park Parcel B for future development.
2	The JE Shepard Company and Benjamin Brown/ Capstone Collegiate Communities, LLC	\$2,200,000 plus closing costs	N/A	Technology Park State General Obligation Bonds and University Funds	Scott A. Jordan, Executive Vice President for Administration and Chief Financial Officer	Authorization for the Administration to enter into agreements necessary to effectuate the acquisition of approximately 10.0 acres of land and a 2,800 square foot house on Route 195 and immediately to the North of UConn Tech Park Parcel B for future development.

COLLECTIVE BARGAINING AGREEMENT EXTENSIONS FOR APPROVAL *

**Not all provisions of the Agreements appearing below have been 100% completed, but the Administration is seeking approval to proceed to execution based on the material terms described below.*

No.	Seller	Change in Value	Term	Program Director	Purpose
1	AAUP	\$0	not later than 6/30/2022	Chris Delello, Chief Human Resource Officer & Karen Buffkin, Executive Director of Employee Relations	Authorization for the Administration to enter into agreements necessary to effectuate a one-year extension to the AAUP collective bargaining agreement at no additional cost to the University.
2	UCPEA	\$0	not later than 6/30/2022	Chris Delello, Chief Human Resource Officer & Karen Buffkin, Executive Director of Employee Relations	Authorization for the Administration to enter into agreements necessary to effectuate a one-year extension to the UCPEA collective bargaining agreement at no additional cost to the University.

ATTACHMENT 2

June 30, 2021

TO: Members of the Board of Trustees

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

RE: Travel and Entertainment Policy – Revised

RECOMMENDATION:

That the Board of Trustees approve the attached revised Travel and Entertainment Policy to become effective July 1, 2021.

BACKGROUND:

The Travel and Entertainment Policy (the “Policy”) governs all University-sponsored travel for faculty, staff and students. It recognizes and supports the need for travel for conferences, events, and other purposes that further the reputation of the University and enhance the productivity of the University community. The Policy also applies in those instances where faculty and staff find it important to entertain guests.

The Policy seeks to balance the University’s legitimate business needs with sound stewardship of public resources; along with the goal to respect and safeguard our travel privileges and funds by practicing fiscal, ethical, and public responsibility. The Policy was last revised in 2020.

The attached revised Policy has been reviewed and recommended for approval by the President’s Cabinet as well as the Board of Trustees Joint Audit and Compliance Committee.

Attachment



Title	Travel and Entertainment Policy
Policy Owner	Office of the Associate Vice President for Financial Operations and Controller
Applies to	All University Employees, Students, and Guests, including but not limited to Recruits and Job Candidates
Campus Applicability	All campuses, excluding UConn Health
Effective Date	July 1, 2021
For More Information Contact	Associate Vice President for Financial Operations and Controller
Contact Information	travel@uconn.edu
Official Website	https://travel.uconn.edu

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PURPOSE

The University of Connecticut (University), here defined as all campuses and programs except for UConn Health, recognizes and supports the need for faculty, staff, and students (undergraduate and graduate) to travel for conferences, events, and other purposes that further the reputation of the University and enhance the productivity of the University community. Likewise, the University may also find it important to entertain guests.

University business includes travel and entertainment related to activities such as program accreditation, student assessment, academic programming, clinical placements, presentations at or participation in conferences, professional development, fundraising, continuing education, travel related to an employee's official duties, athletic travel, and many other important activities that support the intellectual and operational endeavors of the University.

At the same time, as a State agency, we must respect and safeguard our travel privileges and funds. We must practice fiscal, ethical, and public responsibility. This policy sets forth rules that balance the University's business travel and entertainment needs with sound stewardship of public resources.

This policy addresses the most common aspects of University business travel and entertainment. It cannot contemplate every situation that might arise, however. Travelers and administrators with questions should contact their supervisor or University Business Services for guidance before they arrange their travel.

This policy applies to all University employees, students, and guests, including but not limited to recruits and job candidates. The policy shall also apply to the travel and entertainment expenses of contractors, unless the applicable contract provides terms inconsistent with this policy. Where the policy is intended to apply differently to any of the above University business travelers, it will be so stated in the appropriate section of the policy. This policy covers all types of University travel for individuals, groups, and team travel. Employees covered under a collective bargaining agreement ("CBA") may be subject to additional and/or different policies regarding travel and entertainment. For such employees, in the event of a conflict between this policy and the applicable CBA, the CBA shall control.

GENERAL GUIDELINES

Employees can be reimbursed for certain travel and entertainment expenses related to University business. University business expenses are the ordinary and necessary expenses of conducting your job, are not lavish or extravagant, and are not for personal purposes. To be reimbursable, such expenses must be reasonable and appropriate to the circumstances, and in the case of federal grant and/or grant-based sponsored travel, conform to the sponsor requirements as described below under "Sponsored Program Travel" and highlighted in specific sections of this policy. All reimbursements are subject to final review and approval from Accounts Payable.

Students should follow the same policies for University employees, with the exception of those provisions in Collective Bargaining Agreements that apply to particular employees. Students are reimbursed at the same rate as unclassified employees. Travelers should also be aware of the Protection of Minors policy (<https://policy.uconn.edu/2016/03/29/protection-of-minors-and-reporting-of-child-abuse-and-neglect-policy/>).

ELIGIBLE FOR REIMBURSEMENT

With appropriate justification and documentation, travelers can be reimbursed for airfare, railroad tickets, conference registrations, mileage, tolls, lodging, meals, car rental, parking, and other relevant business expenses.

Travelers and Administrators should contact travel@uconn.edu or visit travel.uconn.edu for additional information on what may be reimbursed and how.

A primary goal of these policies is to generate cost savings for the University to the greatest extent possible, while simultaneously maintaining the convenience and practicality of the traveler. If a traveler can document a cost saving measure, which would otherwise be in violation of these policies, Accounts Payable will review the expenditure and, most often, support and reimburse the cost saving measure.

In situations where individuals may share expenses related to travel or entertainment, it is the policy of the University to reimburse the individual who can document having paid the shared expense. The University is not a party to agreements between individuals to loan or share expenses, and individuals who enter such agreements are responsible for settlement between themselves.

In special circumstances, exceptions to these policies may be warranted. The President, Provost, Executive Vice President for Administration and Chief Financial Officer, or the Athletic Director or their authorized designees, may review and grant reasonable exceptions. Exceptions are subject to final review and approval by Accounts Payable. Additionally, individuals who require accommodations for reasons of health or disability may seek reasonable exceptions to this policy. Individuals who seek such accommodations may seek the assistance of the Department of Human Resources.

The University reimburses travel and entertainment expenses pursuant to the rules applicable to accountable plans under Section 1.62-2(c)(1) of the Treasury Regulations and, for certain independent contractors, the rules applicable to working condition fringe benefits under Section 132(a)(3) of the Internal Revenue Code and the Treasury Regulations corresponding thereto. Accordingly, all reimbursable expenditures must have a business purpose and must be supported by documentation. Whenever this policy is silent or ambiguous about the sufficiency of documentation of expenses, the terms of the tax authorities cited above shall control. For further guidance, travelers may consult IRS Publication 463.

NOT ELIGIBLE FOR REIMBURSEMENT

Employees are responsible for getting to and from work each workday. Employees will not be reimbursed for mileage associated with their normal commutes, regardless of the location of their home in relation to their official duty station at the University. Moreover, when an employee travels from their home to an off-site business destination (including an airport or a rail station), only the difference between the mileage to the off-site destination and the mileage of the employee's normal commute is eligible for reimbursement. In other words, employees must deduct the mileage of their normal commute when they claim mileage for travel from their homes to business destinations.

Travelers will not be reimbursed for personal items, including but not limited to newspapers, magazines, toiletries, laundry services, childcare costs, pet boarding fees, credit card interest or late fees, hotel and airline membership fees, airline upgrades, pillows, blankets, headsets, or parking for personal travel.

Travelers will not be reimbursed for parking fines, traffic violation tickets, towing charges, or other vehicular fines.

Travelers will not be reimbursed for trip cancellation insurance or other private insurance. For this reason, as well as administrative considerations, travelers are strongly encouraged to book their flights through the University's contracted and preferred agency. For international travel only, medical insurance and emergency evacuation is provided by the University.

Travelers will be responsible for no-show fees (e.g., airfare, hotel, etc.), unless in rare circumstances the no-show fee relates to a business reason or an emergency that prevented the traveler from cancelling. The justification must be documented and provided to Accounts Payable, which may require approval from the appropriate Department Head, Director, or Dean. These fees are typically not reimbursable in the case of federal grant and/or grant-based sponsored travel.

Expenses paid with credits received from rebates, points, vouchers, etc., are not eligible for reimbursement regardless of how the credits were earned.

In addition, travelers will not receive travel reimbursement for participation in events that are not related to their University work or activities.

REIMBURSEMENT APPROVAL

To avoid actual or apparent conflicts of interest, and to ensure proper separation of duties, employees may not approve payment or reimbursement for their own expenses, expenses of a close relative, expenses related to an event in which they participated, or expenses of an individual to whom they directly or indirectly report.

Employees' travel and reimbursement requests are subject to approval by supervisors, the Fiscal Officer of the account(s) from which the expenses are paid and Accounts Payable. These constituencies share responsibility in enforcing this policy and confirming that all reimbursements are supported with a business purpose and clear documentation. Additionally, travel expenses funded by sponsored awards administered by the University will be reviewed by Sponsored Program Services and the Principal Investigator (PI). Final approval of the expenses is subject to review by Accounts Payable.

PROCEDURES

Travel and Entertainment procedures are available at: <https://travel.uconn.edu>.

Part 1: PLANNING BUSINESS TRAVEL

1a. AUTHORIZATION TO TRAVEL

The University requires pre-approval for travel that involves any travel segment (Airfare, Hotel or Car Rental) for employees, students and guests. Individuals who incur travel expenses relating to any travel segment (Airfare, Hotel or Car Rental) without prior approval from their supervisor bear the risk that their expenses may not be reimbursed upon return. The decision to reimburse a traveler in connection with travel that had not been pre-approved will be at the sole discretion of the President, Provost, Executive Vice President for Administration and Chief Financial Officer, or Athletic Director (or their designees).

Further, travelers are strongly encouraged to secure a pre-approval through Concur's Travel Request module for travel that does not involve a travel segment (e.g., day trip to Boston or New York City), as this will enable monitoring in the event of an emergency.

Travelers should make every effort to reserve travel as soon as practicable, in order to achieve the most cost-effective travel rates.

1b. TRAVEL ADVANCES AND PAYROLL DEDUCTIONS

It is possible to request an advance for certain travel expenses. However, such advances will only be issued in certain limited circumstances, and may not be used for expenses that can be charged to the employee's University Travel Card or that may be paid directly by the University.

1c. OFFICIAL TRAVEL PARTIES – ATHLETIC TRAVEL

An "Official Travel Party" is a group of individuals who are authorized to travel on behalf of the University to athletic events. The Athletic Director is required to approve the "Official Travel Party."

Individuals not included in an "Official Travel Party" require pre-approval by the Athletic Director, or his or her designee, prior to travelling on a team trip.

Once travel is completed, Athletics is required to submit the final travel roster for that trip. The final travel roster must include the names and affiliation of individuals that traveled.

1d. SPOUSAL/PARTNER TRAVEL AND ENTERTAINMENT PARTICIPATION

The travel or entertainment expenses of a spouse, partner, immediate family or dependent generally fall within one of three classifications. (Such expenses are not allowed on sponsored awards.)

Bona Fide Business Purpose

If the attendance of a spouse, partner, immediate family or dependent serves a bona fide business purpose for the University, the University may pay the travel or entertainment expenses of the spouse or partner. To meet the high standard of a bona fide business purpose, the presence of the spouse or partner must be compelling or essential (and not just beneficial) to carry out the business interests and functions of the University.

Employment Agreement

Absent a bona fide business purpose, if an individual's University employment arrangement or contract permits his or her spouse or partner to travel, or provides that his or her spouse or partner may attend University events, then the cost of such travel or event, or any reimbursement therefore, will be considered compensation to the employee and will be included in the taxable wages of the employee.

Accompaniment with No Business Purpose

The travel and entertainment expenses of a spouse, partner, immediate family or dependent who has no official role for the University and is simply accompanying an individual on University-related travel are the personal responsibility of the traveler, and as such will not be paid or reimbursed using University funds.

1e. COMBINED BUSINESS AND PERSONAL TRAVEL

Employees may combine travel for personal and business reasons, subject to the guidelines below.

If weekends, holidays, or necessary standby days fall between business travel days the traveler may be reimbursed for a hotel where a cost savings can be demonstrated. Example – if a traveler attends a two-week conference and there is a cost savings by remaining at the conference location over the weekend versus flying home and back during the weekend.

If a traveler chooses to arrive early or to stay longer for non-business reasons, the University will not pay for expenses incurred during additional personal days or any other personal travel expense. The only exception and in special cases, travelers will be able to combine their business and personal travel at a cost lower than if a single trip

were only for business. In these special cases, the University will reimburse the traveler for the lower-cost business and personal trip; provided that the traveler has clearly documented the cost savings to the University. The traveler must provide supporting documentation and economic justification from the time of booking, including cost comparisons from the University's contracted and preferred agency on the date of booking.

1f. FELLOWSHIP TRAVEL

Travel by University Fellows, to be reimbursed or otherwise paid by the University, must adhere to the guidelines contained throughout this policy. Such travel may be taxable to the Fellow under IRS guidance.

1g. SPONSORED PROGRAM TRAVEL

Travel is a direct cost to a sponsored project when such travel will provide direct benefit to the award and is:

- **Allowable:** The cost must be allowable under both the provisions of the Office of Management and Uniform Guidance and under the terms of a specific award.
- **Allocable:** The cost must be allocable; that is, the expense can be associated to a project with a high degree of accuracy.
- **Reasonable:** The cost must be reasonable; that is, the cost reflects what a "prudent person" would pay in a like circumstance.

If federally funded, sponsored awards are subject to certain federal laws and the guidelines set forth in the Uniform Guidance, 2 CFR Part 200—uniform administrative requirements, cost principles, and audit requirements for federal awards. All sponsored project awards may be subject to specific agency restrictions, as well as the remainder of this policy. The terms and conditions of the individual agreement should be reviewed prior to incurring and/or submitting any travel for approval or for reimbursement. The terms of this travel policy apply to all sponsored programs unless the sponsor's requirements are more restrictive; if they are, then the sponsor rules must be followed. The Principal Investigator is responsible for the financial stewardship of their award and for adhering to sponsor and University requirements for travel, and the spending of sponsored funds in general.

The following list highlights some common sponsored travel restrictions. Some awards **may**:

- Prohibit foreign travel
- Require pre-authorization by Sponsor for each trip
- Restrict the number of trips that can be taken
- Restrict the number of travelers on an authorized trip
- Set a maximum dollar value per trip
- Allow attendance to a conference to present research, but not for the purpose of "staying current in the field"
- Limit travel to a specific destination or purpose
- Specify maximum meal, mileage or other cost rates.

Sponsored travel must be justified, well-documented, in compliance with the sponsor requirements, and incurred within the period of the award. Travelers on sponsored funds must provide sufficient explanation so that anyone reviewing the transaction can verify that it is allowable, allocable, and reasonable to the project charged. Charges that are split between two or more projects must demonstrate how the trip specifically benefited each project respectively.

Entertainment costs are not allowable to a sponsored project without explicit prior approval from the sponsor and Sponsored Program Services.

Federal airfare

The federal Fly America Act mandates that travel sponsored by the federal government must be on U.S. airlines or a foreign air carrier that code shares with a U.S. flag carrier on the flight taken, subject to certain limited exceptions. This includes flights within the U.S. If there is no U.S. carrier to your destination, you must travel on a U.S. carrier as far as possible. By law, additional cost for U.S. carrier flights is not sufficient justification to fly on foreign carriers. Please note that the same rules apply to a foreign visitor's flights.

One exception to this requirement is transportation provided under a bilateral or multilateral air transport agreement called "Open Skies Agreements." There are currently four Open Skies Agreements that permit traveling on a European Union, Norwegian, Icelandic, Australian, Swiss, or Japanese carrier under specific circumstances.

Though the federal Open Skies policies allow the use of foreign airlines, the easiest and safest way to comply with Federal air travel regulations is to continue to book flights only on U.S. airlines. The use of a U.S. air carrier is required on Department of Defense (DoD) awards even when there is an Open Skies Agreement in place.

Fly American and Open Skies are covered further in the Air Travel section of this policy.

Part 2: AIR TRAVEL

2a. TRANSPORTATION TO AND FROM AN AIRPORT

Travelers should use the most reasonable and cost-effective mode of travel to airports. Except in cases where a traveler provides a written explanation of special circumstances, travelers must use a personal vehicle to travel to and from the airport of departure. For travel to and from the destination airport, the appropriate means of travel to the airport may include a personal vehicle, a rented vehicle, a ride-sharing service (e.g., Uber or Lyft), a taxi, or a shuttle service. Private livery services (defined herein to mean all private vehicles for hire, except for taxi services) are not to be used by employees, students, consultants, or gratis appointments unless the traveler provides a written explanation of a special need for a private vehicle. Acceptable special needs for a private vehicle shall be evaluated by Travel Services and may include, but not be limited to cost saving, accommodation for a health or medical concern, the unavailability of other options, or the need to transport an important University guest. Exceptions or additional review may be granted or conducted by the appropriate Department Head, Director, or Dean subject to final review and approval by Accounts Payable.

Travelers may be reimbursed for personal vehicle mileage in accordance with this policy. However, travelers will receive reimbursement for the difference in mileage between their trip to the airport from their home or official duty station (where the employee is permanently assigned) and their normal commute to work. In other words, if a traveler lives closer to Bradley International Airport than to his or her official duty station, and if the traveler travels directly from his or her home to the airport, the University will not reimburse the traveler for the trip to the airport.

Travelers will not be reimbursed for airport hotel costs prior to the day of departure or after return.

2b. AIRPORT PARKING

Travelers should park at the lowest-cost parking lot. Applicable procedures are available at: <https://travel.uconn.edu>.

2c. COMMERCIAL AIR TRAVEL

Employees should generally purchase the lowest commercial airfare available, but may also make reasonable allowances for practicality and preferences such as safety, scheduling and any need for special accommodations. Travelers are strongly urged, but not required, to use the University's contracted and preferred agency to book airline travel. Additionally, individuals who require accommodations for reasons of health or disability may seek reasonable exceptions to this policy. Individuals who seek such accommodations may seek the assistance of the University's Office of

Diversity and Equity.

Travelers may not insist on non-stop flights. In determining the lowest and most practical commercial fare, the traveler should consider not only non-stop flights, but also flights with one connection (both departing and/or returning).

Travelers should purchase non-refundable tickets unless a refundable ticket is documented to be within \$50 of the non-refundable ticket for the same flight.

First class air travel rates will not be paid for or reimbursed by the University. The University will allow business class travel only on international flights with at least one flight segment exceeding eight (8) hours in duration. All business class ticketing must be booked through the University's contracted and preferred agency. Business class airfare may not be charged to a federal sponsored award, and the cost in excess of the coach fare must be charged to an account other than the federal grant/contract, except when traveling coach would: (1) require circuitous routing; (2) require travel during unreasonable hours; (3) excessively prolong travel; (4) result in additional costs that would offset the transportation savings; or (5) offer accommodations not adequate for the traveler's medical needs. The traveler is responsible for documenting the foregoing exceptions.

Note that the "Fly America Act," 49 U.S.C. 40118, requires all University travelers to use United States air carriers for all air travel and cargo transportation services supported by Federal funds. One exception to this requirement is transportation provided under a bilateral or multilateral "Open Skies" air transport agreement, to which the United States government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act. More information is available at <http://www.gsa.gov/portal/content/103191>.

Travelers should make every effort to reserve airfare as soon as practicable, in order to achieve the most cost-effective fares. Contact the University's contracted and preferred agency or University Business Services if you have any questions on how to secure the most cost-effective airfares. Accounts Payable reserves the right to question unreasonable airline travel costs.

2d. BAGGAGE FEES

If there is a charge for checked baggage, the cost for the first two bags checked will be reimbursed. Additional baggage fees will only be reimbursed if the traveler provides an appropriate written business justification for the excess baggage.

2e. UNUSED TICKETS

The University will not reimburse a traveler for an unused ticket purchased by the traveler.

2f. CHARTER AIR TRAVEL FOR OFFICIAL TRAVEL PARTIES

Under limited circumstances, University staff and students may use a charter airplane when it supports University business, if approved by the President or Athletic Director or his or her authorized designee.

Part 3: GROUND TRAVEL

3a. GROUND VERSUS AIR TRAVEL

A traveler may use ground transportation (vehicle or rail) for personal reasons, even if air travel is a more time-effective mode of transportation. Under these circumstances, the cost for the ground transportation, meals and lodging, parking, mileage, tolls, taxis, and ferries may be reimbursed as long as these costs do not exceed the cost of airfare, based on the lowest reasonable commercial fare available from a standard commercial air carrier, plus

transportation costs to and from the airport.

3b. RAIL TRAVEL

The University will pay for or reimburse rail travel in accordance with this policy, even if air travel is a more time-effective mode of transportation. Business class accommodations are available for rail journeys longer than four hours. Travelers will not receive reimbursement for first class travel rates.

3c. STATE-OWNED AND STATE-FUNDED VEHICLES

If an employee or department has a state-owned or state-funded (i.e., an automobile allowance/stipend) vehicle, the employee or department should use the vehicle for business travel whenever possible. Charges for tolls and parking are reimbursable.

For state-owned vehicles only: further information is available from the UConn Motor Pool: <https://fo.uconn.edu/departments/motor-pool/>. Also, the Connecticut Department of Administrative Services provides a "Policy for Motor Vehicles Used for State Business": <https://portal.ct.gov/-/media/DAS/Fleet-Operations/DAS-GL-115.pdf?la=en>.

For state-funded vehicles (i.e., an automobile allowance/stipend) only: when an employee uses his or her state-funded vehicle for University business, the University will reimburse the employee for their mileage, in accordance with the mileage reimbursement principles contained in this policy, at the IRS's standard moving/medical rate, which is periodically updated and located on the Travel Services website

3d. PERSONALLY OWNED VEHICLES

When a department authorizes an employee to use his or her personal vehicle for University business, the University will reimburse the employee at an established mileage rate, which is periodically updated and located on the Travel Services website. Travelers will be reimbursed for trip related tolls and parking.

Travelers will not receive reimbursement for travel from their homes to their official duty stations, such as commuting expenses, unless provided under the applicable collective bargaining agreement. In those limited cases where commuting expenses are reimbursed, the tax laws require that the reimbursement be treated as taxable income to the employee, and the University will withhold the appropriate taxes.

For the purposes of this policy, the term "official duty station" has the same meaning as his or her "tax home," as that term is used in IRS authorities related to travel expenses. Generally, an individual's official duty station is his or her regular office or post of duty. If an individual has more than one office or post of duty at the University, then the official duty station of that individual is generally the location at which the individual spends the most time.

When an employee's official duty station is not a physical location at the University, or if the employee's official duty station has changed from its original location, the employee may be eligible for travel reimbursements based on his or her official duty station if he or she first provides documentation, such as an employment letter or signed memorandum from his or her Department. The documentation must be received by Accounts Payable before the reimbursement may be processed.

Travelers will not receive travel reimbursement for participation in events that are not related to their University work or activities.

Consistent with requirements of Connecticut State Agencies, it is the responsibility of the traveler to maintain automobile insurance in the minimum amounts of \$50,000/\$100,000 (third party liability) and \$25,000 (property damage liability), if using his or her personal vehicle for business purposes.

Unless permitted by collective bargaining agreements or exception to policy, travelers will not receive reimbursement for travel on the Storrs Campus, between the Storrs and Depot Campuses, between the Storrs campus and local buildings in which University employees are housed (e.g., 28 Professional Park), or between the Storrs campus and Storrs Center.

3e. RENTAL VEHICLES

Travelers may rent vehicles from the preferred vendors (currently, Enterprise and National) for domestic travel when needed for the business trip, at the discretion of each traveler's reporting line and/or funding source.

The size and class of the rented vehicle should be reasonable and appropriate for the number of intended passengers. Travelers should only rent vehicles in the following classes: economy, compact, intermediate, standard, full size, mini-van, cargo van, and pick-up truck. Travelers may not rent vehicles in the following classes without justification and approval from the appropriate Department Head, Director, or Dean and subject to review and approval from Accounts Payable: premium, luxury, small sport utility, or large sport utility.

University-contracted rental rates for preferred vendors for domestic travel already include the following insurances: collision, third party liability, and property damage liability insurances. This coverage is required, and is available at an additional charge for international renters and young renters. The University will not pay for or reimburse the traveler for additional insurance. However, additional charges for GPS and roadside assistance may be reimbursed at the discretion of the Department Head, Director, or Dean subject to final review and approval by Accounts Payable. Travelers are encouraged to obtain the authorization of their respective departments prior to incurring such additional charges.

Travelers are responsible for returning the vehicle with a full tank of fuel to avoid surcharges. Travelers may not be reimbursed for the fuel service option, whereby a renter agrees to pay for a full tank of gas at a set price instead of returning the vehicle with a full tank of gas.

The University will not pay for penalties, fines, fees, or extra cost options not discussed above.

When a rental vehicle is needed for international travel, the University's preferred agencies (currently, Enterprise and National) should be utilized to obtain the best rates. For international travel, it is recommended that travelers maintain the minimum coverages for insurance through the rental company.

All efforts to secure the preferred vendor pricing for University guests are to be made by the host department. When a guest uses a non-preferred vendor at a higher cost, a justification must be documented. In these cases, Accounts Payable may require approval from the appropriate Department Head, Director, or Dean.

Part 4: LODGING

When overnight accommodations are required to conduct University business, reimbursement for lodging will be the actual cost of lodging at the lowest reasonable cost available, as determined by the trip's circumstances.

4a. OUT-OF-STATE LODGING

Overnight accommodations of less than 30 consecutive nights.

Any lodging expense that exceeds the federal per diem lodging rate by more than fifty percent (excluding taxes) requires the approval of the Department Head, Director, or Dean, subject to final review and approval by Accounts Payable. Federal per diem lodging rate can be found at www.gsa.gov/perdiem.

Exception for certain conference lodging expenses: rates for lodging provided through a conference may exceed the federal per diem rate by more than fifty percent (excluding taxes), without Department Head, Director, or Dean

approval. Travelers are encouraged to reserve conference lodging as early as practicable, and before any lodging discount offered to conference participants expires.

Overnight accommodations of 30 consecutive nights or more.

In order to secure the most cost-effective long term accommodations, when University business requires lodging for 30 consecutive nights or more, the traveler is strongly encouraged to work with the Procurement Services Department to arrange these long term accommodations. Procurement Services will make efforts to secure long term accommodations with meal preparation facilities, which will allow the traveler the option to purchase groceries and prepare meals, generating meal cost savings.

4b. IN-STATE LODGING

Subject to prior approval from the appropriate Department Head, Director, or Dean, travelers on University business may reserve in-state lodging when the distance they are required to travel is more than 75 miles, one-way, from both their official duty station and their personal residence. For example, if the traveler’s destination is less than 75 miles from his or her personal residence, the traveler may not reserve in-state lodging even if the mileage from the traveler’s official duty station is more than 75 miles away.

Travelers may reserve in-state lodging when attending a conference within the State of Connecticut, regardless of distance from official duty station.

4c. USE OF LOCAL HOTELS

The University recognizes that, from time to time, it may be important and in the best interests of the University to provide on campus or local lodging to certain individuals. UConn encourages the use of contracted preferred hotels in the local area.

University Business Guests, Candidates, Recruits, and Affiliates

Lodging at local hotels can be provided to University business guests, such as candidates, recruits and affiliates.

University Employees

In rare circumstances, a University employee may require local lodging (within 75 miles of both official duty station and personal residence) in order to carry out his or her duties as a University employee. In these cases, the employee must receive prior approval for the stay from the Office of the President, the Provost, the Executive Vice President for Administration and Chief Financial Officer, or Athletic Director, based on the reporting relationship of the employee. Please note such lodging will generally be taxable to the University employee.

4d. GROUP LODGING

“Group lodging” is defined, for the purposes of this policy, as the booking of 10 rooms or more for a specified University travel need.

Group lodging having a total cost of \$10,000 or more must be arranged through University Business Services. Business units arranging group travel in excess of \$10,000 are also required to solicit competing bids from a minimum of three providers in the proximity of the travel destination. For all other group lodging arrangements, business units are still urged, but not required, to contact the Procurement Services Department for assistance.

Part 5: MEALS

5a. MEALS FOR UNCLASSIFIED EMPLOYEES (WHILE TRAVELING)

Travelers belonging to one or more of the groups below may claim reimbursement for the actual cost of their meals incurred while traveling on University business (substantiated with original receipts) or they may claim reimbursement up to the meal per diem rates published by the GSA / U.S. Department of State. Travelers may be required by their respective departments or business units to use a particular method. For non-sponsored travel, if meal per diem is requested, the President, Provost, Executive Vice President for Administration and Chief Financial Officer, or Athletic Director (or their designee) has the authority to reduce the meal per diem rate requested. Travelers requesting reimbursement for meals using the per diem method should not use their University Travel Card to purchase meals.

- AAUP
- UCPEA
- Managerial and Confidential NP Plan
- Managerial and Confidential
- UConn Non-Represented (Dining Services)
- Special Payroll Employees
- Students

The maximum reimbursement for actual meal costs, including tax and tips, may not exceed the daily meal per diem, based on the meal per diem rates published by the GSA / U.S. Department of State (please note that GSA and U.S. Department of State published per diem rates include both meal and incidental components.). The meal per diem applicable to the first and last day of travel will be 75% of the full day per diem.

Additionally, if a meal was provided, the meal per diem is reduced by the per diem applicable to the meal provided (see Section 5d below).

Travelers must use one method of reimbursement for the entire trip.

The provisions of this section also apply generally to athletic team travel. However, due to the special nutritional needs of the University's athletes and the demands of their training and schedules, additional meals or per diems for student athletes, if made in accordance with NCAA rules and limits, are allowable under this policy without the need for an exception or higher level approval.

5b. MEALS FOR CLASSIFIED EMPLOYEES (WHILE TRAVELING)

By statute, employees, through their legally designated representatives, have the right to bargain with the State concerning travel expenses. Accordingly, some collective bargaining contracts may contain provisions that vary from the reimbursement policies contained herein. For such cases, collective bargaining contracts take precedence. For more information about what travel rules apply under what circumstances, travelers should contact Human Resources. Travel reimbursement rates for employees in P-2, NP-5, NP-3 and NP-2 bargaining units are found within each current bargaining unit contract at: <https://hr.uconn.edu/labor-contracts-unions/>.

Travelers in the above-referenced categories may claim reimbursement up to the amount defined in the appropriate bargaining unit contract, less any meals provided and/or any amount funded directly by the collective bargaining unit.

All expenses are only eligible for reimbursement based upon funding. Departments are still allowed to request that travelers hand in receipts in order to limit expenses.

5c. MEAL EXPENSES FOR SINGLE-DAY TRAVEL (NO OVERNIGHT)

Unless otherwise provided under Collective Bargaining Agreements, travelers who are required to travel for University business without an overnight stay may be eligible for meal reimbursement if the traveler is away from his or her home and official duty station for more than ten hours and the reimbursement requests are occasional and non-routine. Consistent with IRS guidance, such reimbursements will be treated as taxable income to the employee and will be included in the employee's W-2 wages.

In these instances, the actual meal expense or per diem cannot exceed 75% of the GSA per diem rate in effect for the destination of travel.

5d. CONFERENCE AND OTHER MEALS PROVIDED

All travel related to conferences (also called seminars, workshops, retreats, conventions, etc.) must have itineraries/brochures attached to the expense report relating to the conference. At the time of pre-approval, travelers must provide a description of the conference details, including dates and subject matter of conference. If available, a conference brochure should be attached. Conferences frequently provide meals to attendees as part of the registration fee. The traveler is generally not entitled to a meal per diem allowance or actuals for meals that are provided as part of the registration fee. The same is true for any meetings or group travel event in which a meal is provided or where the traveler has been included on a list of attendees for a business expense, or where meals are provided complimentary as part of the transportation or hotel accommodation. See section 5a above.

5e. BUSINESS MEALS

From time to time, it is necessary to the interests of the University to host or provide meals to University guests such as job candidates, visiting scholars or donors. Likewise, a meal may be an essential or important part of an event, such as a conference or workshop, which is conducted by the University. All meals, other than those provided to an individual travelling on University business, must qualify as a "business meal" under the requirements of this section, in order to be provided or reimbursed by the University.

As a public agency, the University has an obligation to students, taxpayers and benefactors to use all of its funds as prudently as possible. Therefore, all employees and individuals with authority to request, control or approve University funds, including but not limited to travelers, shall use their best judgment in applying those funds towards business meals only when justified with a business purpose and a clearly identifiable benefit to the University. The act of requesting, using or approving a business meal constitutes an individual's official determination that, to the best of such individual's knowledge, the expense was actually incurred, is justified by a business purpose, and serves the best interests of the University.

The University's policy of paying or reimbursing for business meals is subject to the following general rules:

1. University employees are generally responsible for paying for their own meals when they are not traveling.
2. University funds may not be used for meals at social functions, such as parties or summer outings, attended entirely or primarily by University employees and/or their personal guests.
3. The number of University-affiliated persons (employees and spouses, where appropriate) attending business events (including meals) with University guests should be limited to those essential to the University's business.
4. University funds may not be used to purchase alcoholic beverages.
5. In most cases, business meals may not be charged to sponsored awards (the responsible OVPR, SPS Grant Manager may provide more information or grant exceptions where appropriate). See section 1g.

See also the University's policy re: "Use of University Funds for Gifts, Social Functions, Sponsorships & Donations."

Meals between faculty/staff and students, while allowable when there is a business purpose, should be infrequent. In addition, Departments may purchase group business meals when a group meal is essential to the effectiveness and efficiency of the meeting. This is especially the case when multiple Departments are called together for a substantial meeting, or when stopping the meeting to allow employees to leave for a normal meal would be disruptive and

inconvenient for the University.

For the avoidance of doubt, this policy shall extend fully to business meals that are paid for by interdepartmental transactions, such as meals purchased through Dining Services.

While the University does not require written pre-approval for business meals, University staff are strongly encouraged to obtain written departmental approval before incurring any business meal expenses. Individuals who incur business meal expenses without the approval of their departments bear the risk that their expenses will not be reimbursed.

For all business meals, including group meals, organizers should limit attendance to essential guests only. Without proper justification, the University will not reimburse expenses for spouses, partners or non-essential guests. Further, the number of University-affiliated persons (employees and spouses, where appropriate) attending business events (including meals) with University guests should be limited to those essential to the University's business. Under no circumstances may the cost of the meal for each guest (including taxes and tip) exceed three times the appropriate GSA or U.S. Department of State Per Diem meal amount for the location.

For purposes of this policy, business meals shall not include refreshments, such as snacks or nonalcoholic beverages, which are made available to guests outside of the context of a meal. Such refreshments may be provided in appropriate business contexts, provided that the cost of providing refreshments, when combined with any meals served, is less than the applicable GSA or U.S. Department of State meal rate (inclusive of incidental costs, such as set up, delivery, and service charges). For example, refreshments provided before a morning meeting at the Storrs campus cannot exceed the allowed breakfast per diem expense. Refreshment transactions must also be justified by a business purpose and require the attendee list, and per person breakdown before the costs may be paid or reimbursed.

Note that the provisions in this section shall not be construed as to supersede the provisions of any collective bargaining agreement.

5f. GRATUITIES

Meals

Reimbursement for actual meal gratuities will be limited to 20% of the meal cost.

Incidental expenses

Travelers using the actual expense method will be reimbursed for incidental expenses (gratuities for baggage handling, maid service, etc.) not to exceed the published GSA or U.S. Department of State Incidental Expense per diem amount.

Other Gratuities

Gratuities for other travel services, including but not limited to taxis and rideshare, are reimbursable at a rate not to exceed 20% of the cost of the service.

Part 6: OTHER EXPENSES

6a. REGISTRATION FEES

Travelers may use University funds to pre-pay conference registration fees. Alternatively, travelers may be reimbursed for registration fees. Travelers are encouraged to reserve conferences as early as practicable and in time to secure any early booking discounts.

Sometimes meals, hotel accommodations, or additional fees for other goods and services may be included in a registration fee. Travelers will not be reimbursed separately for these—that is, travelers will not be reimbursed twice for the same thing. See Sections 5d and 5e for further details on meals provided with conference registration and business meals.

6b. TELEPHONE, INTERNET, COMPUTER, AND FACSIMILE CHARGES WHILE TRAVELING

Charges for telephone calls made for University business while traveling are reimbursable, unless the employee has a University issued cell phone or cell phone stipend that includes a voice tier option.

Travelers may receive reimbursement for charges for internet access, use of a fax machine, use of a computer, and other similar business services while traveling on University business. Translation charges are also eligible for reimbursement, provided however, that the traveler must additionally provide a documentation establishing the charges as having actually been paid (e.g., a credit card statement).

6c. FOREIGN CURRENCY RATES

Travelers will be reimbursed for expenses paid in foreign currencies, and for currency exchange fees, based on the exchange rate for the date marked on their receipts.

6d. PRESCRIPTIONS AND MEDICAL EXPENSES FOR INTERNATIONAL TRAVEL

When preparing to travel internationally on University business, travelers are eligible to be reimbursed for any out-of-pocket medical expenses related to the trip such as prescriptions, vaccinations, medical co-pays or additional insurance costs.


ATTACHMENT 3



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 30, 2021

TO: Members of the Board of Trustees

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

RE: Proposed Statement of Work for the UConn Foundation for Fiscal Year 2022

RECOMMENDATION:

The University recommends that the Board of Trustees approve the resolution below authorizing the University to enter into a statement of work for Fiscal Year 2022 with the University of Connecticut Foundation, Incorporated (the "UConn Foundation").

RESOLUTION:

RESOLVED, that the University's President and administration are authorized to execute and deliver a statement of work for Fiscal Year 2022 with the UConn Foundation on the terms described below 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.

BACKGROUND:

The University has entered into 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 statement of work expires on June 30, 2019.

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 2022. 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 a goal aimed at increasing scholarships and need-based financial aid for University students;
- Providing quality alumni programs and services that strengthen lifelong bonds between all members of the UConn family; and
- Continued planning and preparation for a significant and concerted fundraising campaign for the benefit of the University.

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 development activities and related services which includes a minimum amount of \$2,835,201 to be devoted specifically to alumni relations activities and services.

Statement of Work FY22

This Statement of Work FY22 (this “SOW”), effective the 1st day of July, 2021, 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, 2021 through June 30, 2022 (“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 and enhanced annual giving strategy
- 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) Redefine metrics for use in tracking success of alumni programs, defining strategic areas of focus, and conducting personal visits.
- 3) Utilize alumni survey data to create new targets for developing alumni programming
- 4) Prepare students to become engaged alumni through educational programming.
- 5) Execute outreach and engagement programs 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 for University students. 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

Andrew Agwunobi, MD, MBA
Interim 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

Melinda Brown
Chair, The University of Connecticut
Foundation, Incorporated

Date

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

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 Katsouleas

Thomas Katsouleas (Jul 16, 2020 16:18 EDT)

Thomas C. Katsouleas
President, University of Connecticut

Jul 16, 2020

Date

Scott Jordan

Scott Jordan (Jul 15, 2020 16:19 EDT)

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

Jul 15, 2020

Date

FOR THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

John P. Malfettone

John Malfettone (Jun 30, 2020 15:26 EDT)

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

Jun 30, 2020

Date

Scott Roberts

Scott Roberts (Jun 30, 2020 15:30 EDT)

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

Jun 30, 2020

Date

APPROVED AS TO FORM

Joseph Rubin,
Asst. Dep. A.G.

Digitally signed by Joseph
Rubin, Asst. Dep. A.G.
Date: 2020.07.27 13:39:29
-04'00'

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

Date

ATTACHMENT 4

UNIVERSITY OF CONNECTICUT - School of Business
PROMOTION AND TENURE RECOMMENDATIONS
PRESENTED TO THE BOARD OF TRUSTEES - June 30, 2021

NAME

DEPARTMENT

PROMOTION TO ASSISTANT PROFESSOR IN-RESIDENCE (Non-Tenure Track)

Livingston, Ricki

Accounting

ATTACHMENT 5

UNIVERSITY OF CONNECTICUT
TENURE AT HIRE RECOMMENDATIONS
PRESENTED TO THE BOARD OF TRUSTEES - June 30, 2021

<u>NAME</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>
TENURE AS PROFESSOR		
Fielding, Christopher	Geosciences	Liberal Arts and Sciences
Frank, Tracy	Geosciences	Liberal Arts and Sciences
TENURE AS ASSOCIATE PROFESSOR		
Gonzalez Seligmann, Katerina	Literatures, Cultures, and Languages	Liberal Arts and Sciences
Moise, Imelda	Geography	Liberal Arts and Sciences
Williams, Erika	English	Liberal Arts and Sciences

ATTACHMENT 6

**University of Connecticut Department of Human Resources
Emeritus Retirees
June 30, 2021 Board of Trustees Meeting**

Name	Title	Department	School/College	Retired	Hired
Michael Accorsi	Associate Dean & Professor	Engineering	School of Engineering	06/01/2021	09/01/1986
Alexandra Bell	Associate Professor	Educational Leadership	School of Education	8/1/2018	8/23/2000
Mark Boyer	Distinguished Professor	Geography	Liberal Arts & Sciences	06/01/2021	09/01/1988
Edna Comer	Associate Dean & Associate Professor	Social Work Instruct and Research	School of Social Work	9/1/2019	1/1/1998
Antonia Cordero	Associate Professor	Social Work	School of Social Work	6/1/2019	8/23/2001
Mary Cygan	Associate Professor	History	Liberal Arts and Sciences	10/1/2018	9/1/1990
Colleen Delaney	Associate Professor	Nursing Instruct and Research	School of Nursing	10/1/2017	8/23/2007
Michael Dintenfass	Associate Professor	History	Liberal Arts and Sciences	9/1/2019	8/23/2003
Arthur Engler	Associate Professor	Nursing Instruct and Research	School of Nursing	6/1/2019	8/23/1999
Albert Fairbanks	Associate Professor	English	Liberal Arts and Sciences	6/1/2020	9/10/1970
Carmelo Giaccotto	Professor	Finance	School of Business	06/01/2021	09/01/1981
Davita Glasberg	Professor	Sociology	Liberal Arts & Sciences	06/01/2021	09/01/1988
Charles Hagen	Associate Professor	Art and Art History	School of Fine Arts	9/1/2019	8/23/1998
Peter Kaminsky	Professor	Music	School of Fine Arts	06/01/2021	09/01/1993
Barris Malcolm	Associate Professor	Social Work Instruct and Research	School of Social Work	7/1/2019	8/23/1998

**University of Connecticut Department of Human Resources
Emeritus Retirees
June 30, 2021 Board of Trustees Meeting**

Name	Title	Department	School/College	Retired	Hired
Robert McCartney	Associate Professor	Computer Sci and Engineering	School of Engineering	9/1/2019	9/1/1987
Dana McDermott	Associate Professor	Dramatic Arts	School of Fine Arts	1/1/2018	9/1/1987
Catherine Medina	Associate Professor	Social Work	School of Social Work	7/1/2019	8/23/2005
Judith Meyer	Associate Professor	History	Liberal Arts and Sciences	9/1/2018	9/1/1989
Amy Kenefick Moore	Associate Professor	Nursing Instruct and Research	School of Nursing	1/1/2021	8/23/1999
Rachelle Perusse	Associate Professor	Educational Psychology	School of Education	5/1/2021	8/23/2004
Helen Rogers	Associate Professor	Educational Psychology	School of Education	1/1/2021	8/23/2004
Cristian Schulthess	Associate Professor	Plant Sci and Landscape Arch	Agriculture, Health & Nat Res	2/1/2021	10/1/1991
Kristin Schwab	Associate Professor	Plant Sci and Landscape Arch	Agriculture, Health & Nat Res	2/1/2019	8/23/1998
Mary Truxaw	Associate Professor	Ed Curriculum and Instruction	School of Education	1/1/2021	8/23/2004
Richard Vitale	Professor	Statistics	Liberal Arts & Sciences	06/01/2021	09/01/1987
Guanhua Wang	Associate Professor	History	Liberal Arts and Sciences	2/1/2020	9/1/1995

ATTACHMENT 7

**University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
June 30, 2021 Board of Trustees Meeting**

SABBATICAL MODIFICATIONS/POSTPONEMENTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Dudden, Alexis	Professor	History	Liberal Arts and Sciences Change to	Full Full	Fall 2021 Spring 2023
Dzhafarov, Damir	Assistant Professor	Mathematics	Liberal Arts and Sciences Change to	Half Full	AY 2021-2022 Fall 2021
Naples, Nancy A	Distinguished Professor	Sociology	Liberal Arts and Sciences Change to	Full Full	Spring 2022 Spring 2023
Ross, Stephen L	Professor	Economics	Liberal Arts and Sciences Change to	Full Full	Fall 2021 Spring 2022

SABBATICAL LEAVE REQUESTS

NAME	TITLE	DEPARTMENT	SCHOOL/COLLEGE	PAY	PERIOD
Li, Zhongyang	Associate Professor	Mathematics	Liberal Arts and Sciences	Full	Fall 2021
Magley, Vicki J	Professor	Psychological Sciences	Liberal Arts and Sciences	Half	AY 2021-2022
Martinez, Jose V	Assistant Professor	Finance	Business	Full	Spring 2022
Seth, Anji	Professor	Geography	Liberal Arts and Sciences	Half	AY 2021-2022
Starkweather, Angela	Assoc Dean & Professor	Nursing	Nursing	Full	Spring 2022
Urban, Mark C	Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full	Spring 2022
Zhang, Chuanrong	Department Head & Professor	Geography	Liberal Arts and Sciences	Full	Fall 2021

ATTACHMENT 8

June 30, 2021

TO: Members of the Board of Trustees

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



RE: Appointment of Jiong Tang, PhD, to the United Technologies Corporation Professor of Advanced Materials and Processing in the School of Engineering

RECOMMENDATION:

That the Board of Trustees approve the appointment of Dr. Jiong Tang to the United Technologies Corporation Professor of Advanced Materials and Processing in the School of Engineering

BACKGROUND:

The United Technologies Corporation Professor of Advanced Materials and Processing was established in February 2006 by agreement of the Provost's Office, the School of Engineering and the Institute of Material Science. The UTC Professorship of Advanced Materials and Processing is reserved for a renowned researcher and teacher in an area of materials science and engineering who will provide leadership and vision toward the development of advanced technologies and process, the enhancement of graduate and undergraduate education, and the elevation of UConn's reputation for excellence in materials science and allied areas.


Dr. Jiong Tang is a Professor of Mechanical Engineering at UConn, and has established himself as an international leader in system dynamics, sensing, control and specifically in piezoelectric-based smart structures. He is the co-director of the Management and Engineering of Manufacturing program, a growing field within engineering, and led the program through curriculum restructuring, a reformat of the senior design courses, and a successful ABET accreditation process. Dr. Tang devotes tremendous energy to advising graduate and undergraduate students, including successfully guiding 14 Ph.D. students to completion, advising the undergraduate students in the Management and Engineering for Manufacturing program annually, and serving as advisor to 60 undergraduate honors students in the Mechanical Engineering department. Professionally, Dr. Tang has served as associate and technical editor for leading journals in his areas of expertise, and has served as general chair or program chair of multiple conferences and symposia. Dr. Tang has an outstanding record of research funding, serving as PI or co-PI for over 35 externally funded research projects totaling more than \$20M, with \$6M as his share. Dr. Tang is an elected member of the Connecticut Academy of Science and Engineering, and is a Fellow of the American Society of Mechanical Engineers.

Dr. Tang was nominated for this appointment by the department, received unanimous support from the Dean's Council for PT&R, and is fully supported by Dean Kazem Kazerounian. Dr. Tang's outstanding record of scholarship, leadership and accomplishments make him an excellent choice for appointment to the UTC Professor of Advanced Materials and Processing.

ATTACHMENT 9

June 30, 2021

TO: Members of the Board of Trustees

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

RE: Appointment Professor Jeffrey Cohen, PhD to the Kinnard Real Estate Scholar in the School of Business

RECOMMENDATION:

That the Board of Trustees appoint Professor Jeffrey Cohen to the Kinnard Real Estate Scholar in the School of Business for the period May 23, 2021 through August 22, 2023.

BACKGROUND:

The Kinnard Scholar Fund was established to support a top scholar within the real estate and economics studies program within the School of Business. The decision to recommend this appointment was made following the School of Business policy; Dean Elliott is making his recommendation based on consultation with the associate deans, the relevant department head, and Real Estate Center Director in the School of Business.

Professor Cohen (PhD University of Maryland) joined the UConn faculty in 2014 and was promoted to the rank of Professor in 2019. His academic interests center transit oriented development; whether the real estate wealth associated with highway construction has been distributed equitably across residents; the impact of airports and airport noise on commercial and residential property values; equitable approaches to property taxation; land value estimation; housing price spillovers across jurisdictions; and the relationships between substance use treatment provider operating costs and urban economic issues. He has published approximately 50 peer-reviewed journal publications, in top journals, including: *Review of Economics and Statistics*, *Journal of Urban Economics*, *Journal of Regional Science*, *Regional Science and Urban Economics*, *Journal of Real Estate Finance and Economics*, and *Real Estate Economics*.

Professor Cohen was recently awarded a \$500,000 grant (as the Principal Investigator) from the Robert Wood Johnson Foundation's Systems for Action, to study how transit impacts the operating costs of substance abuse treatment providers, equitable treatment outcomes, and the potential implications for aligning these systems. In addition, Professor Cohen is currently the Principal Investigator on the Phase 2 grant from the State of Connecticut Department of Transportation and the U.S. Department of Transportation/Federal Highway Administration/Federal Transit Administration, on the property value impacts of a bus rapid transit line (called CTfastrak).

ATTACHMENT 10

June 30, 2021

TO: Members of the Board of Trustees

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



RE: Appointment of Assistant Professor Alexander van De Minne, PhD as the Real Estate Faculty Fellow in the School of Business

RECOMMENDATION:

That the Board of Trustees appoint Assistant Professor Alexander van De Minne as the Real Estate Faculty Fellow in the School of Business for May 23, 2021 through August 22, 2023.

BACKGROUND:

The Real Estate Faculty Fellow is a position that provides financial support (a "Fellowship") for a new or existing faculty member whose work aligns with the mission of the UConn School of Business Real Estate Center.

The decision to appoint was made following the School of Business policy; Dean Elliott is making his recommendation based on consultation with the associate deans, the relevant department head, and Real Estate Center Director in the School of Business.


Dr. Alexander van De Minne (PhD University of Amsterdam) is an Assistant Professor of Real Estate Finance in the School of Business. He joined UConn in 2020. From 2015-2019 he was a Research Scientist at the MIT Center for Real Estate. His research is focused on estimating commercial property values, and he uses a wide range of methodologies to empirically understand commercial property price dynamics. His work has been published in *Real Estate Economics*, *Journal of Real Estate Finance and Economics*, *Regional Science and Urban Economics*, and *Journal of Portfolio Management*. His work is also used extensively in industry. For example; his index methodology is used by Real Capital Analytics to produce over 400 commercial property price indexes world wide.

In the most recent Real Estate Academic Leaderships Rankings for 2016-2020, Dr. van De Minne was ranked 7th in the world based on his research productivity in the top real estate journals. Dr. van De Minne teaches real estate principles and real estate investment.

ATTACHMENT 11

June 30, 2021

TO: Members of the Board of Trustees

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

RE: Appointment of Professor Morgaen L. Donaldson, EdD to the Philip E. Austin Endowed Chair

RECOMMENDATION:

That the Board of Trustees appoint Professor Morgaen L. Donaldson, EdD to Philip E. Austin Endowed Chair for August 23, 2021 through August 22, 2024.

BACKGROUND:

Established in 2007, the endowed chair is supported by interest generated from the original endowment creating this chair to advance scholarly work including support of research experiences for undergraduate and graduate students. This chair is awarded to a tenured associate or full professor in either the College of Liberal Arts & Sciences or the Neag School of Education who has a distinguished record in both policy-relevant research (for example in social, education, health, housing, environmental, criminal justice, or other salient policy areas) and public engagement (work that is highly visible and relevant to both scholarly and lay audiences). In addition, incumbents are expected to use funds to enhance the impact of their work by promoting it to external audiences.

The decision to appoint was made following the Office of the Provost procedure; this recommendation is being made based on consultation with the Philip E. Austin Endowed Chair Selection Committee charged in Spring 2021. I strongly support the recommendation of the Committee.

Professor Donaldson (EdD. Harvard Graduate School of Education) is a Professor of Educational Leadership, the Director for the Center for Education Policy Analysis, Research, & Evaluation as well as Director of the EdD. program. Professor Donaldson's research has centered on educator development, including educator performance evaluation, teaching and leadership quality, and school reform broadly. Her research on teacher evaluation practices has gained state and national attention due to high-quality research on these prominent policy issues and her work in translating her research into policy and practice. Her work is also tightly connected to the work of policymakers affiliated with the Connecticut State Department of Education, superintendents, principals, and teachers within the state's public schools. Professor Donaldson is an interdisciplinary scholar, co-sponsoring events with the departments of Economics and Public Policy, as well as the Collaboratory on School and Community Health, and the National Center for Research on Gifted Education. She has created numerous opportunities for students to engage in policy analysis and research.

ATTACHMENT 12

June 30, 2021

TO: Members of the Board of Trustees
FROM: Carl W. Lejuez, PhD
Provost and Executive Vice President for Academic Affairs
RE: Reappointment of Professor Joseph Golec, PhD to the Finance Department
Distinguished Scholar in the School of Business

RECOMMENDATION:

That the Board of Trustees reappoint Joseph Golec, PhD to the Finance Department Distinguished Scholar in the School of Business for August 23, 2020 through August 22, 2024.

BACKGROUND:

The Finance Department Distinguished Scholar is awarded to a department faculty member for distinguished research record, strong teaching and exemplary leadership and service to the School, the University and/or the Academic Community.

The decision to reappoint was made following the school of business policy; Dean Elliott has made his recommendation based on consultation with the associate deans and the relevant department head in the School of Business.

Joseph Golec (PhD Washington University, St. Louis) is a tenured Professor of Finance recognized for his work in investments, financial institutions, mutual funds, healthcare, real estate, and regulation. In addition to publishing in top journals, his work is relevant. For example, he has modeled how to use options prices to estimate the stock market's expectation of the probability that an event would occur and applied it to estimate the probability that Obamacare would pass Congress. This work appears in the *Journal of Financial Economics*, one of the top three premier journals in finance.

Over the last five years, Professor Golec has published five finance papers and two healthcare finance/economics papers. Four of these papers are designated premier (A) on the school's journal list, one is premier list equivalent, one is an A-, and one is not on the list. In addition, he has had 757 Google citations during the last five years. Professor Golec continues to work extensively with the department's PhD students serving as the PhD program coordinator where in addition to a finance theory research seminar; he organized a seminar that brings outside scholars to campus. He teaches in the part-time MBA program, where his teaching evaluations are consistently excellent. At the school level, he served on the Promotion and Tenure committee (2018-2019), the Teaching and Research Excellence Committee (2016-2020), the Master's Program Committee (2016-2019), and Chaired the search for the Toscano Chair (2016-2019).

ATTACHMENT 13

June 30, 2021

TO: Members of the Board of Trustees

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

RE: New Undergraduate Major in Robotics Engineering

RECOMMENDATION:

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

BACKGROUND:

Robotics is an interdisciplinary field focused on the design, construction, and operation of robots. The increased capability of embedded computation as well as advanced sensors has enabled significant growth in robotics. Application needs are apparent in a number of commercial areas including healthcare, logistics, manufacturing, maintenance, surveillance, amongst others as well as handling mundane household tasks such as mowing the lawn and vacuuming the floor. Robotics is anticipated to see significant growth in employment over the next decade. Data from Burning Glass Technologies showed over 5000 robotics job openings over the last year in New England (66000 nationally). Of those, 200 were explicitly listed as robotics engineer (1900 nationally). It is already one of the most popular STEM club activities at the middle school and high school level. While there is some local competition with Worcester Polytechnic Institute (WPI) and UHart, if UConn were to create this undergraduate robotics major, it would be the second Research 1 university, and only one outside of California with such a program.

The home department will be the Electrical and Computer Engineering (ECE) Department because of the department's overlap with many of the core robotics topics and its existing faculty strength in the area. An estimate for enrollment, based on figures from the program at WPI would expect around 250 students in the program once it has been established. Because of the New England Regional Tuition Break program, we may expect an additional 50-100 students for a total of 300-350 students. We suspect that there may be a reduction of 50-100 students from the EE, CMPE, ME, and CSE programs as students opt for the robotics engineering program instead. An overall small increase in resources (faculty and robotics design labs) is detailed in the attached proposal.

PROPOSAL FOR A MAJOR IN ROBOTICS ENGINEERING
DEPT. OF ELECTRICAL AND COMPUTER ENGINEERING
SCHOOL OF ENGINEERING
UNIVERSITY OF CONNECTICUT

Introduction and Rationale

Robotics is an interdisciplinary field focused on the design, construction, and operation of robots. While robots are commonly thought of as machines capable of autonomously carrying out complex actions, a broader definition of a robot is a physical system which integrates sensing and actuation with computation and control. The increased capability of embedded computation as well as advanced sensors has enabled significant growth in robotics. Application needs are apparent in a number of commercial areas including healthcare, logistics, manufacturing, maintenance, surveillance, amongst others as well as handling mundane household tasks such as mowing the lawn and vacuuming the floor.

Robotics naturally builds on a number of disciplines including control systems, embedded systems, electronics, computer hardware and software design, machine learning, mechanical design, biomechanics, and others. These disciplines span a number of majors including Electrical Engineering, Computer Engineering, Mechanical Engineering, Computer Science, and Biomedical Engineering. However, one major alone cannot provide the needs of a practicing robotics engineer. It is in that light, we propose the creation of a new Robotics Engineering undergraduate degree. The home department will be the Electrical and Computer Engineering (ECE) Department because of the department's overlap with many of the core robotics topics and its existing faculty strength in the area.

Robotics is anticipated to see significant growth in employment over the next decade¹. Data from Burning Glass Technologies showed over 5000 robotics job openings over the last year in New England (66000 nationally). Of those, 200 were explicitly listed as robotics engineer (1900 nationally). It is already one of the most popular STEM club activities at the middle school and high school level. FIRST Robotics has over 3000 high-school-age teams nationwide, with 61 teams and over 300 participants in Connecticut. Likewise, VEX Robotics has over 100 high-school and middle-school teams with over 500 participants in Connecticut. UConn ECE has been a long-time sponsor of FIRST robotics at EO Smith High School. Oftentimes, students who participate in these robotics programs struggle to find a program at the college level that allows them to further their interests. In 2007, Worcester Polytechnic Institute was the first American university to launch an undergraduate robotics program. Since then, robotics programs have been created at a handful of other universities including Gannon University, Lawrence Technological University, Southern Illinois Edwardsville, University of Michigan Dearborn, UC Santa Cruz, and Widener University. The University of Hartford inaugurated their new robotics program this past

¹ <https://www.zdnet.com/article/robots-will-take-50-million-jobs-in-the-next-decade-these-are-the-skills-youll-need-to-stay-employed/>
<https://www.robotictomorrow.com/article/2019/06/the-robotics-engineering-job-market-expected-growth-and-changes/13812>
<https://www.marketwatch.com/story/this-is-how-many-us-jobs-robots-and-automation-will-create-over-the-next-10-years-2017-04-04>

fall². While there is some local competition with WPI and UHart, if UConn were to create this undergraduate robotics major, it would be the second Research 1 university, and only one outside of California with such a program. Mechatronics Engineering, which is similar in scope to robotics engineering, is offered at a few universities internationally, but is available in the US only at Kennesaw State, Middle Tennessee State, and UNC Asheville.

WPI's program in robotics engineering was accredited by ABET in 2009. Gannon, Lawrence Tech and Michigan-Dearborn are the only other programs with ABET accreditation³. We will seek accreditation from ABET for the robotics engineering program as soon as the program graduates its first cohort of students. The School of Engineering's next scheduled ABET visit is in 2025.

Enrollment Projections

We can only provide estimates of enrollment based on educated guesses. WPI, in Fall 2019, had enrollment of 565 in robotics engineering – roughly equivalent to their electrical engineering enrollment and half of their mechanical engineering enrollment⁴. If we have a similar distribution at UConn, we would expect around 250 students in the program once it has been established. Because of the New England Regional Tuition Break program, we may expect an additional 50-100 students for a total of 300-350 students. We suspect that there may be a reduction of 50-100 students from the EE, CMPE, ME, and CSE programs as students opt for the robotics engineering program instead.

Required Resources

In ECE, we have a core of 3 existing robotics faculty. With 75-80 robotics students each year, we will need to support 1-2 new robotics elective courses each semester which will require the effort of one new faculty member (at an average of 3 courses per year). In addition, the extra load on existing courses (e.g. ECE2001, ECE3101, etc.) will probably require extra faculty in ECE, ME, and CSE. Thus, we expect a need to hire at least 4-5 new faculty in ECE, ME, and CSE with additional funding for appropriate TA support. The new robotics design labs will require new specialized equipment and space. We anticipate the cost to equip the physical lab space will be around \$150,000. ITE C27 may be able to serve as a location for this lab.

² <https://www.hartford.edu/news/press-releases/2019/10/ns-ceta-new-robotics-program.aspx>


³ <https://amspub.abet.org/aps/name-search?searchType=program&keyword=robotics>

⁴ https://public.tableau.com/profile/wpi.institutional.research#!/vizhome/Enrollment_15718046316670/Story1

ATTACHMENT 14

June 30, 2021

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Incoming Interim President | University of Connecticut
EVP for Health Affairs and Chief Executive Officer | UConn Health

RE: Naming Recommendation for the Carole and Ray Neag Innovation Professorship

RECOMMENDATION:

That the Board of Trustees authorize the naming of a professorship in the UConn School of Medicine to be the Carole and Ray Neag Innovation Professorship.

BACKGROUND:

The Neag Foundation has given a gift in the amount recommended under the University's *Named Gift Guidelines* to fund an endowed professorship. The purpose of the fund is to provide financial support to faculty specializing in transformational research at the UConn School of Medicine.

The Neag Foundation serves as a philanthropic force for positive change in education, health, and human services initiatives dedicated to improving the human condition and making a positive difference in the world. It supports requests to improve and enhance education, human services and make a medical impact, primarily in Pennsylvania and Connecticut. The Neag Foundation encourages creative educational ideas, as well as exciting initiatives for health and wellness. Its mission is to provide grants that improve and enhance communities. Its goal is to make a positive impact and help people live healthier, happier, and more productive lives.

Carole Neag and her late husband Ray Neag '56, who established the Neag Foundation, are among the most generous donors to the university. Their philanthropy has named and transformed the Neag School of Education and the Carole and Ray Neag Comprehensive Cancer Center. They and their foundation have endowed professorships, research and programs that have supported faculty and students across UConn Health and the University. The Neag Medal is named in their honor and recognizes other generous philanthropists in the health sciences at UConn Health.

At its June 22, 2021, meeting, the Institutional Advancement Committee recommended approval to the full Board.

ATTACHMENT 15

June 30, 2021

TO: Members of the Board of Trustees

FROM: Daniel D. Toscano, Board Chair



RE: Delegation of the Senior Management Official for the University of Connecticut

RECOMMENDATION:

As Chair of the University of Connecticut Board of Trustees, I represent, effective immediately, that the members of the Board of Trustees appoint Andrew Chuma Agwunobi, MD, MBA, Interim President of the University of Connecticut, as the Senior Management Official for the University's Facility Clearance License (Cage Code 01NY7). As the Senior Management Official, Dr. Agwunobi will be processed for the required eligibility for access to classified information, and is delegated full authority to act in all matters that involve or relate to the University's responsibility to perform on classified contracts and to safeguard classified information in conformity with the 32 CFR Part 117 – National Industrial Security Program Operating Manual (NISPOM), including:

- Ensure the University maintains a system of security controls in accordance with the requirements of NISPOM.
- Appoint a contractor employee or employees, in writing, as the Facility Senior Official and appoint the same employee or a different employee as the Insider Threat Program Security Officer. The Senior Management Official may appoint a single employee for both roles or may appoint one employee as the Facility Security Officer and a different employee as the Insider Threat Program Senior Official.
- Remain fully informed of the University's classified operations.
- Make decisions based on classified threat reporting and their thorough knowledge, understanding, and appreciation of the threat information and the potential impacts caused by a loss of classified information.
- Retain accountability for the management and operations of the University without delegating that accountability to a subordinate manager.

ATTACHMENT 16

June 30, 2021

TO: Members of the Board of Trustees

FROM: Carl W. Lejuez, PhD
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 of name: Sixth-Year Certificate in Cognition, Instruction, and Learning Technology *name change to* Sixth-Year Certificate in Educational Psychology (Cognition, Instruction, and Learning Technology)
- Change of name: Sixth-Year Certificate in Counseling *name change to* Sixth-Year Certificate in Educational Psychology (Counseling)
- Change of name: Sixth-Year Certificate in Education Technology *name change to* Sixth-Year Certificate in Educational Psychology (Educational Technology)
- Change of name: Sixth-Year Certificate in School Psychology *name change to* Sixth-Year Certificate in Educational Psychology (School Psychology)
- Change of name: Sixth-Year Certificate in Special Education *name change to* Sixth-Year Certificate in Educational Psychology (Special Education)
- Change of name: Sixth-Year Certificate in Bilingual and Bicultural Education *name change to* Sixth-Year Certificate in Curriculum and Instruction, with CIP code change *from* 13.0201 (bilingual and bicultural education) *to* 13.1301 (curriculum and instruction)

ATTACHMENT 17

June 30, 2021

TO: Members of the Board of Trustees

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



RE: Name change from the Rudd Center for Food Policy and Obesity to the Rudd Center for Food Policy and Health

BACKGROUND:

The Rudd Center, supported by the Institute for Collaboration on Health, Intervention, and Policy (InCHIP) and the Office of the Vice President of Research is changing the name of the center from the Rudd Center for Food Policy and Obesity to the Rudd Center for Food Policy and Health. I also support this change.

The Rudd Center was founded in 2005. At that time, the epidemic of obesity was considered to be the most pressing public health problem in our country. The original leadership team of the Rudd Center included clinical psychologists, physicians, and public health experts who studied obesity interventions. Consequently, the Center's research agendas were grounded in the fact that obesity rates had doubled for children and tripled for adolescents in the previous three decades, and primary question of the Center was how to use policy and education to reduce obesity rates.

Over the past 15 years, however, a number of things have changed. First, it is now clear that independent of obesity, consuming a nutritionally poor diet has negative health outcomes, especially when associated with food insecurity and poverty. Second, research agendas at the Rudd Center have broadened and now include a number of other disciplines, including economics, communications, nutrition, and education. Since moving to UConn in 2015 (after 10 years at Yale University), the Rudd Center has become even more multidisciplinary and researchers at the Rudd Center have developed close collaborations with faculty in other units. The Center still primarily studies food policy and the food environment, but instead of a narrow focus on obesity rates as the key outcome, the Center now assesses a range of outcomes, including food security, social and emotional wellbeing, and other diet-related conditions (e.g., type II diabetes). Therefore, the broader word "health" more accurately captures how the Rudd Center has evolved and grown over time.

ATTACHMENT 18



FY22 Spending Plan

Board of Trustees
6/30/21

UConn

Storrs & Regionals

Operating & Capital Budgets

FY21 Budget Mitigation

Of a \$76M projected deficit, \$45M in mitigation has been realized and \$21M was received from the State via CRF and GEER with the remainder coming from additional federal relief, bringing the deficit to \$0.

	FY21 Forecast
State Block Grant lapse/cut (incl fringe)	(\$4.6)
Net Loss of housing/dining/other fees	(\$66.9)
Net program revenues/expenses	(\$4.0)
Original Deficit	(\$75.5)
Mitigation plans identified	
Departmental expense savings	\$21.1
Capital reallocation	\$8.8
University-wide program cuts	\$13.0
Furlough - management	\$1.9
	\$44.8
State Request / Deficit	(\$30.7)
Federal COVID Relief	\$30.7
Remaining Deficit	\$0.0

Cuts Included:

- Furlough days
- Elimination of academic programs
- Reduction in graduate admissions
- Hiring Freeze
- Spending Freeze
- Reduction of Athletics budget
- Suspension of extension services to adult learners
- Halting of planned expansion of the Masters in Social Work

Budget Framework: FY22

This is how UConn will pay for its \$1.6 billion in FY22 costs.

Source of funds		FY22 Amount	Share of budget	Use of funds
State	Block grant	\$208M	13%	Salaries for 47% of employees
	Fringe reimb. & legacy cost support	\$201M	13%	Fringe for 47% of employees. Plus \$7.5M towards legacy fringe cost
Students	Tuition	\$473M	29%	Instructional costs
	Fees	\$298M	18%	Housing, dining, academic support, student service costs
University	Grants, contracts, gifts	\$307M	19%	Research and public service. Includes federal COVID relief funding
	Sales, auxiliary, other	\$122M	8%	Commercial activities, programmatic maintenance, etc.

FY22 Budget and Structural Deficit

Due to the State's unfunded legacy costs and modest revenue increases, a structural deficit still exists at UConn. However, FY22 will be in balance because of the generous federal COVID relief support through the State and internal departmental cuts.

Deficit Mitigation (in millions)			
	FY20	FY21	
Changes in operating position	COVID	COVID	FY22
Initial Operating Gain/(Loss)	(22.2)	(66.0)	8.7
Net SERS unfunded legacy costs	(38.2)	(34.5)	(36.7)
Structural Deficit	(60.4)	(100.5)	(28.0)
Budget cuts allocated to departments**	26.0	25.0	13.0
Deficit after initial rescission	\$ (34.4)	\$ (75.5)	\$ (15.0)
COVID mitigation	21.2	44.8	
Federal Relief	10.8	30.7	15.0
Final Gain / (Loss)	\$ (2.4)	\$ -	\$ -

** Includes attrition, efficiency gains, operational reductions

FY22/FY23 SERS Unfunded Legacy Costs

The State reimburses UConn/UCH for some unfunded legacy costs, but we must use our own non-State funds to pay a large share of the state liability, for a combined estimated total of **\$95M** in FY22

UConn - Storrs & Regionals			
Fund Type	FY21	FY22	FY23
Tuition/Fees/Other	\$27.4	\$29.3	\$31.3
Research	\$7.1	\$7.5	\$7.7
Non-State Funds/Liability	\$34.5	\$36.7	\$38.9
UConn Health			
Fund Type	FY21	FY22	FY23
Clinical	\$29.8	\$32.9	\$34.0
SOM/SODM Academic Units	\$15.9	\$16.6	\$17.2
Research Fund	\$8.1	\$9.2	\$9.5
Initial Non-State Funds/Liability	\$53.8	\$58.7	\$60.7
Additional State support for legacy costs			
Final Non-State Funds/Liability	\$53.8	\$58.7	\$60.7
Non-State Funds/Liability Combined UConn/UCH	\$88.3	\$95.4	\$99.7

Major Budget Assumptions FY22

- **State Appropriation** – General Assembly Budget (6/9/21)
- **Tuition** – Previously approved tuition increase
- **Fees** – No room, board, or general university fee (GUF) increases
- **Housing/Dining** – 85% residential housing capacity
- **Salaries**
 - No faculty or staff union increases
 - Graduate Assistants at 2% collective bargaining increase
- **Fringes**
 - State comptrollers estimated State retirement rate of 68.5%
 - Health insurance employer portion increase of 4%
- **Other** – 2% rescissions allocated to departments to reduce structural deficit

Financial Aid

UConn is doing its part to ensure access and affordability by increasing financial aid support.

- Federal COVID student aid relief funding is **\$50.4M** in total.
- In addition to university supported aid, the State included additional funding for the Roberta Willis Scholarship, of which a portion will come to UConn.

Undergraduate & Graduate Aid (\$M)	FY19	FY20	FY21 Forecast	FY22 Budget	FY19-FY22 Change
University Supported*	\$129.2	\$142.8	\$149.3	\$163.6	\$34.4
State (incl. Roberta Willis Scholarship)	9.0	9.7	10.7	9.5	0.5
Federal (Pell/SEOG)	35.3	35.5	39.9	37.0	1.7
Federal COVID relief	0	10.8	11.1	28.5	28.5
Other**	14.8	12.9	17.6	17.0	2.2
Total Aid in Budget	\$188.3	\$211.7	\$228.6	\$255.6	\$67.3

*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.

Budget Summary FY22

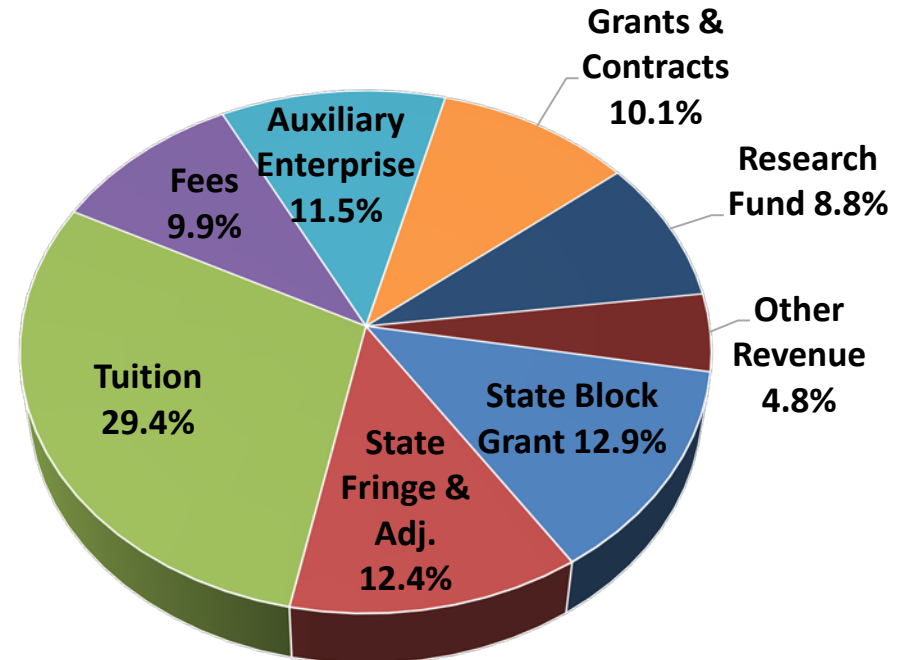
UConn presents a balanced budget for FY22, with strong support from the State and the Federal government.

	FY22
Revenues:	
State Block Grant	208.2
Adjustments/accruals	10.9
Fringe Benefits	189.4
State Support	\$ 408.5
Tuition	472.6
Mandatory/Course Fees	158.6
Grants & Contracts	162.3
Auxiliary Enterprise	185.5
Other Revenue (incl Foundation reimb.)	77.0
Research Fund	144.7
Total Revenues	\$ 1,609.2
Expenditures:	
Salaries & Wages	545.5
Fringe Benefits	327.3
Other Expenses (incl energy/equip.)	285.2
Student Financial Aid	255.6
Debt/Capital/Initiatives	50.5
Research Fund	145.0
Total Expenditures	\$ 1,609.2
Net Gain/(Loss)	\$ 0.0

FY22 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 12.9% of total revenues, and when combined with the State fringe reimbursement, only accounts for 26% from the State.

Revenues (\$M)	
State Block Grant	208.2
State Fringe Benefits & Adjustments	200.3
Total State Support	\$ 408.5
Tuition	472.6
Mandatory/Course Fees	158.6
Grants & Contracts	162.3
Auxiliary Enterprise	185.5
Other Revenue	77.1
Total Operating Fund	\$ 1464.5
Research Fund	144.7
Total Revenues	\$ 1609.2



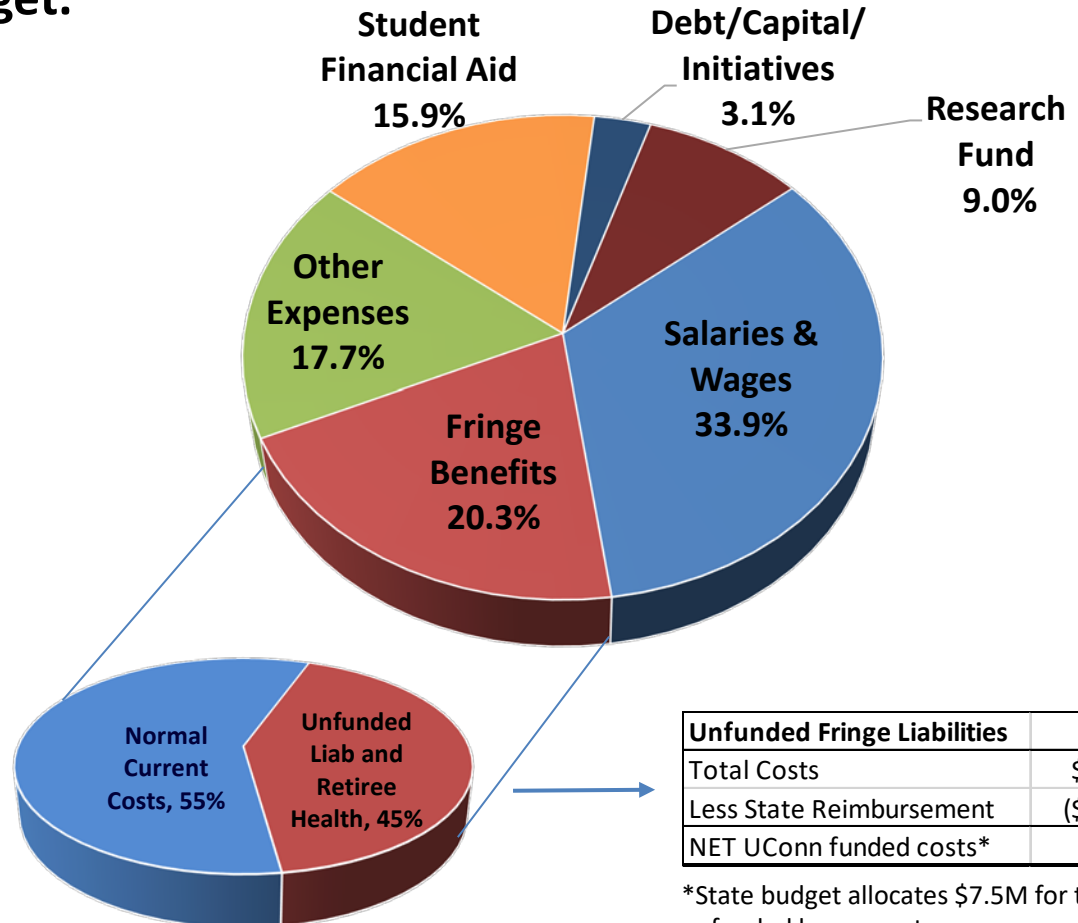
Note: Use of decimals may result in rounding differences.

FY22 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 55% of the University's operating budget.

Expenditures (\$M)

Salaries & Wages	545.5
Fringe Benefits	327.3
Student Financial Aid	255.6
Other Expenses	285.3
Debt/Capital/Initiatives	50.5
Total Operating Fund	\$ 1464.2
Research Fund	145.0
Total Expenditures	\$ 1609.2



Unfunded Fringe Liabilities	(\$M)
Total Costs	\$147.8
Less State Reimbursement	(\$111.1)
NET UConn funded costs*	\$36.7

*State budget allocates \$7.5M for these unfunded legacy costs.

Note: Use of decimals may result in rounding differences.

FY22 Capital Budget by Fund Source

61% of the capital budget will provide funding for active construction projects, with the remaining 39% dedicated to planning and design

Academic & Research Facilities	\$73.0	STEM Science 1 Building
Infrastructure DM	24.8	Science Program Utilities
Other DM	61.7	Academic Renovations, Code Corrections, Other, Contingency
Equipment	16.0	Faculty start-up/research, IT network, Other
Residential Life	15.0	Housing Renovations
UCH DM	25.0	Critical deferred maintenance
UCONN 2000 State Bonds	\$215.5	
Other Funds	56.0	Faculty Innovators, Facilities Repairs, Academic Renovations, Hockey
Total Capital Budget	\$271.5	All capital projects costing \$500K or more are submitted for Board action on a project-by-project basis

UConn Health

FY2021 Budget Mitigation

For FY2021, UConn Health had a projected deficit of \$114.9M (\$53.8M due to unfunded legacy costs and \$61.1M due to COVID-19 related losses). As of April, \$64.9M in mitigation has been realized, resulting in a \$50.0M deficiency. The General Assembly budget allocates \$50M for FY21 in the Deficiency bill.

	FY2021 Forecast
Unfunded Legacy Costs	(53.8)
COVID-19 Related Losses	(61.1)
Deficit	(114.9)
<u>Mitigation plans:</u>	
Capital deferral	4.9
Financial Improvement Plan (FIP)	48.8
Furlough - management	1.2
Federal Funds	10.0
	64.9
FY 21 Deficiency	(50.0)
FY21 COVID Revenue Losses/Deficiency Appropriation	50.0
Net Profit/(Loss)	-

State Support from the Current Legislative Session

- FY2021 Deficiency - Allocates \$50M for FY21
- Federal American Rescue Plan Act (ARPA) - \$35M for revenue impact and \$38M for Operating support
- FY2022 = \$6.9M for additional operating support
- FY2022 – FY2023
 - block grant at the following levels FY22 - \$133,354,285, FY23 - \$133,354,285
 - AHEC is appropriated in the amount of: FY22 - \$375,832, FY23 - \$375,832

Additional State Support

UConn Health Request	FY20	FY21	FY22	FY23
Deficiency (actual/estimated)	(18.9)	(50.0)	(61.1)	(70.5)
General Assembly Approved				
FY 2021 Deficiency		50.0		
Unfunded Legacy Cost / Operating Support			6.9	30.2
Federal COVID relief funds from ARPA State allocation - Revenue Impact			35.0	-
Federal COVID relief funds from ARPA State allocation - UCHC			38.0	-
ARPA funds to cover FY20	18.9		(18.9)	-
Total Remaining Request	-	-	0.1	(40.3)

Fiscal Year 2022 Proposed Budget and Spending Plan

FY2022 Budget Assumptions

- **Appropriation** – General Assembly's Budget – June 9, 2021.
- **Tuition and Fees** - Board approved School of Medicine and School of Dental Medicine tuition and fees rate increase of 3.5%.
- **Clinical Revenue** - ramp up based on actual experience over the past 24 months.
- **Salaries** - no increase.
- **Fringes** - State Comptroller's estimated state retirement rates used
 - FY 2021 64.14% of salary.
 - FY 2022 68.50% of salary.

Health/Dental/Pharmacy insurance based on Comptroller's April 27, 2021 rates - 4% increase in the employer portion

FY2022 Budget

	Total UCH
Total Revenue	\$ 1,056,288,801
State Support	339,248,882
Total Expenses	1,400,739,129
Loss	(5,201,445)
Lapses (FIP and Capital Reduction)	(5,300,000)
FY22 Budget	\$ 98,555

Detailed Spending Plan

	Fiscal Year 2021	Fiscal Year 2022		
Revenue and Expense (\$M)	Actuals	Proposed Budget	Variance	% Variance
State Support Salary	\$ 135.8	\$ 133.7	\$ (2.0)	-1.5%
State Support Fringe	147.2	144.5	(2.7)	-1.8%
Additional Support	50.0	61.0	11.0	-100.0%
Tuition and Fees	30.2	31.4	1.2	4.0%
Grants & Contracts	90.0	110.6	20.6	22.8%
Interns/Residents	74.3	76.0	1.7	2.3%
Net Patient Revenue	603.1	668.1	65.0	10.8%
Other Revenue	178.4	173.5	(5.0)	-2.8%
Total Revenue	\$ 1,309.1	\$ 1,398.8	\$ 89.8	6.9%
Personal Services	\$ 466.4	\$ 485.4	\$ 19.0	4.1%
Fringe Benefits	305.3	324.8	19.6	6.4%
Drugs/Medical Supplies	157.1	171.6	14.5	9.2%
Resident and Fellow house staff	61.2	61.4	0.2	0.4%
Utilities	14.1	13.6	(0.6)	-4.1%
Interest Expense on Debt Service	9.0	8.6	(0.4)	-4.2%
Other Expenses	266.7	309.6	42.9	16.1%
Principal Debt Payments	7.1	7.5	0.4	5.3%
Capital Lease Payments	1.3	1.1	(0.2)	-18.7%
Capital Projects	20.8	15.1	(5.7)	-27.5%
Total Expenses	\$ 1,309.1	\$ 1,398.7	\$ 89.6	6.8%
Excess/(Deficiency)	\$ (0.0)	\$ 0.1	\$ 0.1	

Summary of FY22 Issues

COVID

- Housing/dining capacity for Fall
- Patient reaction towards resuming clinical care

State Support

- Mid year appropriation rescissions or fund sweeps
- Support for remaining legacy costs and operating deficit (UCH)

Fringe – State Unfunded Legacy Costs

- Fringe benefit rates continue to rise, largely due to the State's unfunded pension and health care liabilities for state retirees.

Patient Revenue

- Payer mix and volume uncontrollable
- Medicare proposed payment reduction and overall shift of services to outpatient
- Consolidation of other systems reducing outside referrals
- DSS Supplement/Enhanced payments Federal match

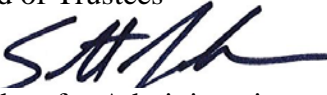
ATTACHMENT 19



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 30, 2021

TO: Members of the Board of Trustees

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

Carl Lejuez 
Provost and Executive Vice President for Academic Affairs

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

RECOMMENDATION:

That the Board of Trustees approves the Twenty-eighth 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 \$215,500,000 plus costs of issuance, plus amounts carried forward from the Twenty-seventh 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-eighth Supplemental Indenture authorizes the appropriations for and issuance of bonds in the maximum amount of \$215,500,000 plus costs of issuance to finance fiscal year 2022 capital projects pursuant to Section 10a-109e (a) of the UCONN 2000 Act, as amended effective July 1, 2021, plus amounts carried forward from the Twenty-seventh Supplemental Indenture. The list includes projects which the Board has approved undertaking during Phase III of UCONN 2000 at Storrs, the regional campuses and the UConn Health Center.

The Twenty-eighth 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

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Administration and Chief Financial Officer
352 MANSFIELD ROAD, UNIT 1122
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months or less following issuance. Appendix A of the Twenty-eighth 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-eighth 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.

UNIVERSITY OF CONNECTICUT

as Issuer

and

U.S. BANK NATIONAL ASSOCIATION

as Trustee

TWENTY-EIGHTH 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-EIGHTH 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-eighth Supplemental Indenture.** This Twenty-eighth 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-eighth Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-eighth 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-eighth 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-seventh Supplemental Indenture” means the Twenty-seventh Supplemental Indenture adopted by the Board of Trustees of the University on June 24, 2020 and deemed approved by the Governor on August 13, 2020 authorizing the Fiscal Year 2020-2021 bonds.

“Twenty-eighth Supplemental Indenture” means this Twenty-eighth 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-eighth Supplemental Indenture.** This Twenty-eighth 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 2021-2022 Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds for Fiscal Year ending June 30, 2022 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 \$215,500,000.00 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 2022 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-seventh Supplemental Indenture, submitted to the Governor on July 13, 2020 and deemed approved by the Governor on August 13, 2020, is carried forward to Fiscal Year 2021-2022 in accordance with the

Act. The amount of authorized but unissued bonds carried forward from the Twenty-seventh Supplemental Indenture is \$259,600,000.

The exact amount of the Bonds to be issued in each series under this Twenty-eighth 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 \$215,500,000 (plus Costs of Issuance and any carry forward amounts). The amount of the balance of Bonds herein authorized for Fiscal Year ending 2022 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-eighth 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 Indenture, 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.

© 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-eighth 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-eighth 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.

© 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-eighth Supplemental Indenture, the Authorized Officer for Sale Purposes is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-eighth Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-eighth 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-eighth 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-eighth 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-eighth 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: _____, 202_

By: _____

Name:

Title:

**TWENTY-EIGHTH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2021-2022
UCONN 2000 BOND AUTHORIZATIONS
___SERIES ___ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2021-2022 Bond Authorization ⁽²⁾
--<u>Storrs and Regional Campuses</u>		
Academic and Research Facilities	\$479,179,824.00	\$73,000,000.00
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities ⁽³⁾	971,817,674.08	86,500,000.00
Equipment, Library Collections & Telecommunications	234,491,656.00	16,000,000.00
Residential Life Facilities	164,772,476.01	15,000,000.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$190,500,000.00</u>
UCONN 2000 Projects*		
<u>UConn Health Center</u>		
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities – Health Center	76,165,519.91	\$25,000,000.00
Total Fiscal Year 2021-2022 Bond Authorization		\$215,500,000.00

*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 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-eighth Supplemental Indenture on June 30, 2021.

⁽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 20

June 30, 2021

TO: Members of the Board of Trustees

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

RE: Fiscal Year 2022 Capital Budget

RECOMMENDATION:

That the Board of Trustees approve a capital budget of \$271,460,000, as detailed in Attachment A, for Fiscal Year 2022 which is comprised of \$55,960,000 of University, Gift and State bond funds and \$215,500,000 of UCONN 2000 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 2022 capital budget of \$271,460,000 for the University of Connecticut, Storrs and Regional Campuses.”

BACKGROUND:

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 capital project funds outside of the UCONN 2000 program in their annual Operating Budget Spending Plan proposal.

The proposed capital budget for FY22 of \$271,460,000 includes \$55,960,000 of University, Gift and State bond funds and \$215,500,000 of UCONN 2000 State bond funds. The two attached documents reflect the capital budget spending plan detail:

- Attachment A - the proposed FY22 capital budget spending plan
- Attachment B - the UCONN 2000 Phase III State Bond Phasing Plan by Statutory Named Line

The FY22 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. Projects costing less than \$500,000 are approved by the internal capital governance committees.

Program & Planning Adjustments:

The University has benefitted tremendously from the UCONN 2000 Infrastructure Improvement Program established by the General Assembly in 1995. We are now in the third phase of this 32-year program, which is designed to modernize, rehabilitate, and dramatically expand the physical plant of the University. This phase, which extends through FY27, includes the NextGenCT and the Bioscience Connecticut initiatives. The Bioscience initiative at UConn Health, completed in 2018 and the NextGenCT program at Storrs and the Regional Campuses is moving along aggressively. We are about to begin year 8 of the 13-year NextGenCT program. Numerous projects are currently in construction with required funding to be allotted in FY22 through FY27. Most importantly, construction is currently underway on the STEM Research Center Science 1 building, which is a keystone in the effort to fulfill the mandates of NextGenCT and will provide critical new research facilities for the existing and new STEM faculty. We are appreciative of the State’s support of this capital initiative and the recognition that planned levels of capital funding remain intact to support these projects to avoid additional costs associated with delaying or shutting down projects in construction.

At the request of UConn Health, the Governor and the General Assembly adjusted the UCONN 2000 capital program authorization for FY22 by \$25M to cover critical deferred maintenance at the Health Center. It is imperative that UConn Health maintain and reinvest in the assets of the State to avoid additional costs over the long term.

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

Bonding Schedule (\$M)		Prior Statute	Revised Statute
Phase I	FY96-FY99	\$382.0	\$382.0
Phase II	FY00-FY05	580.0	580.0
Phase III	FY05-FY21	2,841.6	2,841.6
	FY22	190.5	215.5
	FY23	125.1	125.1
	FY24	84.7	84.7
	FY25	56.0	56.0
	FY26	14.0	14.0
	FY27	9.0	9.0
Total		\$4,282.9	\$4,307.9

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.

Indenture Amendments:

The law specifically gives the Board of Trustees the authority to revise 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 to reflect changes as project budgets are finalized or other events affect the capital budget for a given prior fiscal year. Currently, the University is not proposing revisions to any Supplemental Indentures.

Other Funds: University, Gifts, State bonds

Since there are insufficient UCONN 2000 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, gifts or to bridge cash flow for State bond funded projects. The FY22 capital budget includes \$55,960,000 of funds for facilities repairs & improvements, programmatic renovations, faculty innovators program and the new hockey arena.

The faculty innovators program is an initiative recently approved by the Governor and General Assembly. The program costs are phased over six years and split between new State bonds and University funds. The University will focus on hiring 10 faculty with demonstrated excellence in their research field and an interest in collaborating on research that meets societal needs or commercializing discoveries, innovations, or technologies. The funding will also support related construction, renovation and equipment required to encourage and facilitate creation of new business ventures in the State that fuel economic growth and provide resources to expand the University's entrepreneurial ecosystem.

University of Connecticut
FY22 Capital Budget Spending Plan
Proposed Projects by Statutory Named Lines & by Program*

UCONN 2000 Bond Funded Projects by Statutory Named Lines	Total	By Program		
		Academic/ Research	Deferred Maintenance	Other
STEM Research Center Science 1	73,000,000	73,000,000		
Academic and Research Facilities	\$ 73,000,000			
Infrastructure - NW Science Quad Electrical Upgrades	24,750,000	24,750,000		
Code Corrections - Stamford	14,000,000		14,000,000	
Academic Renovations - Engineering	1,000,000	1,000,000		
Academic Renovations - Research Labs & Classrooms	16,000,000	16,000,000		
Other Repairs, Replacements & Improvements	26,650,000		26,650,000	
Contingency	4,100,000			4,100,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities	86,500,000			
Academic & Research	5,250,000	5,250,000		
Information Technology	5,750,000		5,750,000	
Other	5,000,000		2,500,000	2,500,000
Equipment, Library Collections & Telecommunications	16,000,000			
Residential Life Facilities	15,000,000			15,000,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities - Health Center	25,000,000		25,000,000	
Total UCONN 2000 Bond Funded Projects	\$ 215,500,000	\$120,000,000	\$ 73,900,000	\$21,600,000
Other Funded Projects (University, Gifts, State GO Bonds)				
Facilities Repairs & Improvements (including Residential Life)	17,000,000		17,000,000	
Programmatic Renovations	5,000,000	5,000,000		
Faculty Innovators	6,460,000	6,460,000		
Hockey Arena	25,000,000			25,000,000
Other/Contingency	2,500,000			2,500,000
Total Other Funded Projects	\$ 55,960,000	\$ 11,460,000	\$ 17,000,000	\$27,500,000
Grand Total FY22 Capital Budget	\$ 271,460,000	\$131,460,000	\$ 90,900,000	\$49,100,000

*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 6/30/21				
Project	FY05-FY21	FY22	FY23-FY27	Total Phase III
Academic and Research Facilities	\$328,007,429	\$73,000,000	\$78,172,395	\$479,179,824
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	727,890,069	86,500,000	157,427,605	971,817,674
Engineering Building	92,579,390			92,579,390
Equipment, Library Collections & Telecommunications	169,091,656	16,000,000	49,400,000	234,491,656
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
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
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			3,000,000
Natural History Museum Completion	500,000			500,000
North Hillside Road Completion	6,700,000			6,700,000
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	145,972,476	15,000,000	3,800,000	164,772,476
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	\$2,015,700,000	\$190,500,000	\$288,800,000	\$2,495,000,000
CLAC Renovation Biosafety Level 3 Lab	15,901,466			15,901,466
Deferred Maintenance-UCH	51,165,520	25,000,000		76,165,520
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
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	25,000,000	-	\$850,900,000
GRAND TOTAL	\$2,841,600,000	\$215,500,000	\$288,800,000	\$3,345,900,000

UConn 2000 Capital Program



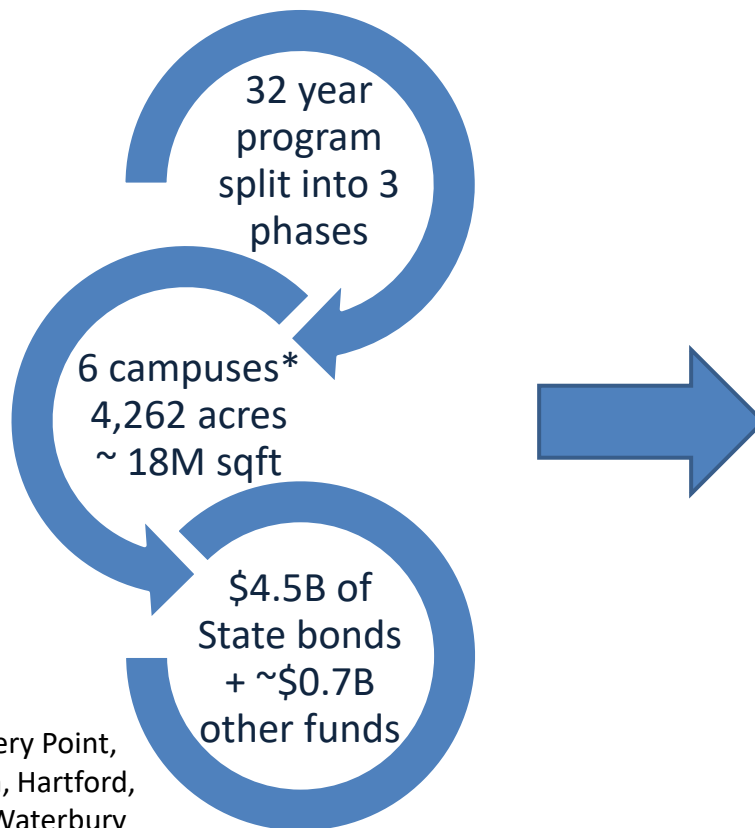
Board of Trustees

June 2021



UCONN 2000 Capital Program

The UCONN 2000 capital program will continue the transformation of modernizing, rehabilitating and expanding the physical plant of the University



*Storrs, Avery Point, Farmington, Hartford, Stamford, Waterbury

Over \$4.4B in capital expenditures since FY96 from all fund sources

Capital Expenditures (\$M)	
\$3,414.2	State-supported UCONN 2000 GO Bonds
254.9	Other State-supported bonds (i.e. Tech Park, Waterbury)
341.2	UConn-supported Special Obligation bonds
355.3	Non-State funds (i.e. UConn operating funds, gifts)
\$4,365.6M Total Expenditures (as of 5/31/21)	

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 – timing and cost
 - Future State funding is not guaranteed
- Project delays result in increased costs and reduced project scopes; current construction cost annual escalation estimated @ 0.5% per month or 6% per year

Capital Budget Plan

UCONN 2000 Bond Funded Projects (in millions)		Prior Auth	FY22	FY23-FY27	Budget	Status for FY22
Academic /Research	NW Quad: Gant Science Building Renovation	\$169.8		\$78.2	\$248.0	Construction
	NW Quad: STEM Research Center Science 1	147.0	\$73.0	0.0	220.0	Construction
	NW Quad: Electrical Infrastructure Upgrades	0.3	24.8	0.0	25.0	Design
	Academic Renovations - Engineering	4.0	1.0	0.0	5.0	Design/Construction
	Academic Renovations - PharmBio			20.0	20.0	Planning
	Academic Renovations -Research Labs & Classrooms	41.4	16.0	11.0	68.4	Design/Construction
	Major Equipment (Faculty Start-up)	34.5	5.3	25.5	65.3	Ongoing
	Total Academic/Research Priorities		\$120.0	\$134.7		
DM	Code Corrections - Stamford	8.0	14.0	0.0	22.0	Construction
	Other Repairs, Replacements & Improvements		26.7	118.6	145.3	Design
	Major Equipment - Information Technology	25.3	5.8	3.5	34.5	Construction
	Major Equipment - Replacement	4.5	2.5	2.5	9.5	Ongoing
	Total Deferred Maintenance		\$48.9	\$124.6		
Other	Major Equipment - Other	41.9	2.5	17.9	62.3	Ongoing
	Residential Life Facilities	5.6	15.0	3.8	24.4	Design
	Contingency		4.1	7.9	12.0	
UCONN 2000 Bond Funded Projects for NextGenCT			\$190.5	\$288.8		
UCH	Deferred Maintenance		25.0		25.0	Design/Construction
UCONN 2000 Bond Funded Projects for UCH			\$25.0	\$0.0		
Total UCONN 2000 Bond Funded Projects			\$215.5	\$288.8		
Other Funded Projects (University, Gifts, State GO Bond)						
Academic	Programmatic Renovations		5.0	25.0	30.0	Design/Construction
	Faculty Innovators		6.5	39.6	46.1	Ongoing
DM	Facilities Repairs & Improvements	108.9	17.0	44.0	169.9	Design/Construction
Other	Hockey	20.0	25.0	25.0	70.0	Construction
	Contingency		2.5	12.5	15.0	
Total University Funded Projects			\$56.0	\$146.1		
Grand Total Capital Budget			\$271.5	\$435.0		

The long-term capital budget plan is continuously reviewed to ensure funding for our highest priorities

FY22 Capital Budget by Fund Source

61% of the capital budget will provide funding for active construction projects, with the remaining 39% dedicated to planning and design

Academic & Research Facilities	\$73.0	STEM Science 1 Building
Infrastructure DM	24.8	Science Program Utilities
Other DM	61.7	Academic Renovations, Code Corrections, Other, Contingency
Equipment	16.0	Faculty start-up/research, IT network, Other
Residential Life	15.0	Housing Renovations
UCH DM	25.0	Critical deferred maintenance
UConn 2000 State Bonds	\$215.5	
Other Funds	56.0	Faculty Innovators, Facilities Repairs, Academic Renovations, Hockey
Total Capital Budget	\$271.5	All capital projects costing \$500K or more are submitted for Board action on a project-by-project basis

FY22 Capital Budget by Named Line & by Program

UCONN 2000 Bond Funded Projects by Statutory Named Lines		Total	By Program		
			Academic/ Research	Deferred Maintenance	Other
STEM Research Center Science 1	73,000,000	\$ 73,000,000	73,000,000		
Academic and Research Facilities					
Infrastructure - NW Science Quad Electrical Upgrades	24,750,000		24,750,000		
Code Corrections - Stamford	14,000,000			14,000,000	
Academic Renovations - Engineering	1,000,000		1,000,000		
Academic Renovations - Research Labs & Classrooms	16,000,000		16,000,000		
Other Repairs, Replacements & Improvements	26,650,000			26,650,000	
Contingency	4,100,000				4,100,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities		86,500,000			
Academic & Research	5,250,000		5,250,000		
Information Technology	5,750,000			5,750,000	
Other	5,000,000		2,500,000	2,500,000	
Equipment, Library Collections & Telecommunications		16,000,000			
Residential Life Facilities		15,000,000			15,000,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities - Health Center		25,000,000		25,000,000	
Total UCONN 2000 Bond Funded Projects		\$ 215,500,000	\$120,000,000	\$ 73,900,000	\$21,600,000
Other Funded Projects (University, Gifts, State GO Bonds)					
Facilities Repairs & Improvements (including Residential Life)	17,000,000			17,000,000	
Programmatic Renovations	5,000,000		5,000,000		
Faculty Innovators	6,460,000		6,460,000		
Hockey Arena	25,000,000				25,000,000
Other/Contingency	2,500,000				2,500,000
Total Other Funded Projects		\$ 55,960,000	\$ 11,460,000	\$ 17,000,000	\$27,500,000
Grand Total FY22 Capital Budget		\$ 271,460,000	\$131,460,000	\$ 90,900,000	\$49,100,000

UCONN 2000 State General Obligation Bonds

Bonding Schedule (\$M)		Prior Statute	Revised Statute	Status
Phase I	FY96-FY99	\$382.0	\$382.0	Complete
Phase II	FY00-FY05	580.0	580.0	
Phase III	FY05-FY19	2,384.4	2,384.4	
Phase III	FY20-FY21	457.2	457.2	Active
	FY22	190.5	215.5	
	FY23	125.1	125.1	
	FY24	84.7	84.7	
	FY25	56.0	56.0	
	FY26	14.0	14.0	
	FY27	9.0	9.0	
Total		\$4,282.9	\$4,307.9	

UCONN 2000 State supported GO bonds fund the majority of the capital budget

The State added \$25M to the UCONN 2000 program for UCH DM

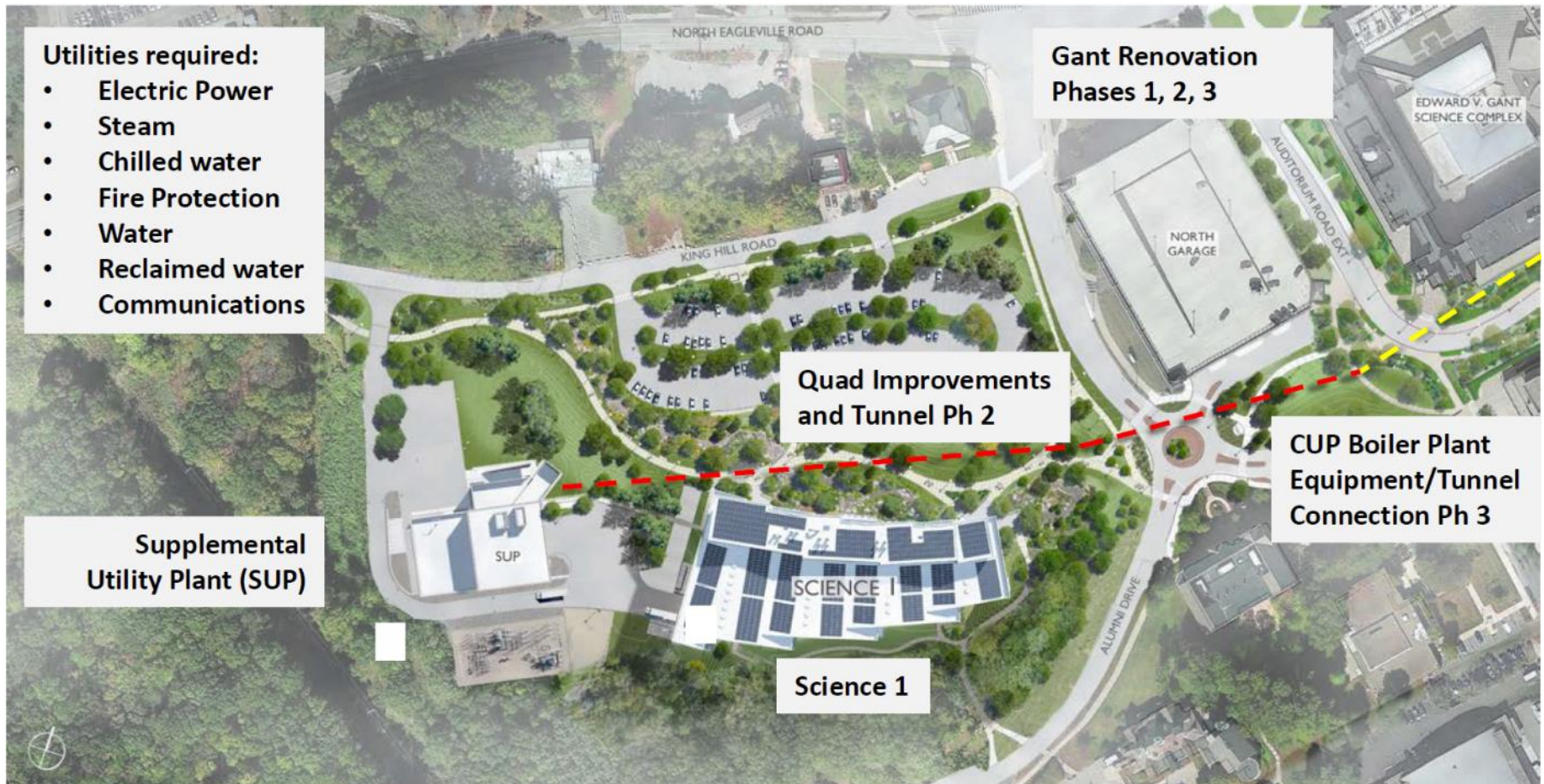
Faculty Innovators

New State GO bond funds to support a research faculty recruitment and hiring program

Program Costs (\$M)	FY22	FY23	FY24	FY25	FY26	FY27
New GO Bonds	\$6.5	\$11.7	\$14.5	\$9.2	\$4.2	\$0
UConn Funds		0.3	1.0	2.3	3.3	3.8
Total	\$6.5	\$12.0	\$15.5	\$11.5	\$7.5	\$3.8
New Faculty	2	4	4			

- Costs will support faculty compensation and related construction, renovation and equipment
- Program will focus on hiring faculty with demonstrated excellence in their research field and an interest in collaborating on research that meets societal needs or commercializing discoveries, innovations, or technologies
- UConn must encourage and facilitate creating new business ventures in the State that fuel economic growth and provide resources to expand the University's entrepreneurial ecosystem
- Requires annual report to the State on the program's implementation and progress toward goals

NW Science Quad – 5 Projects in Construction



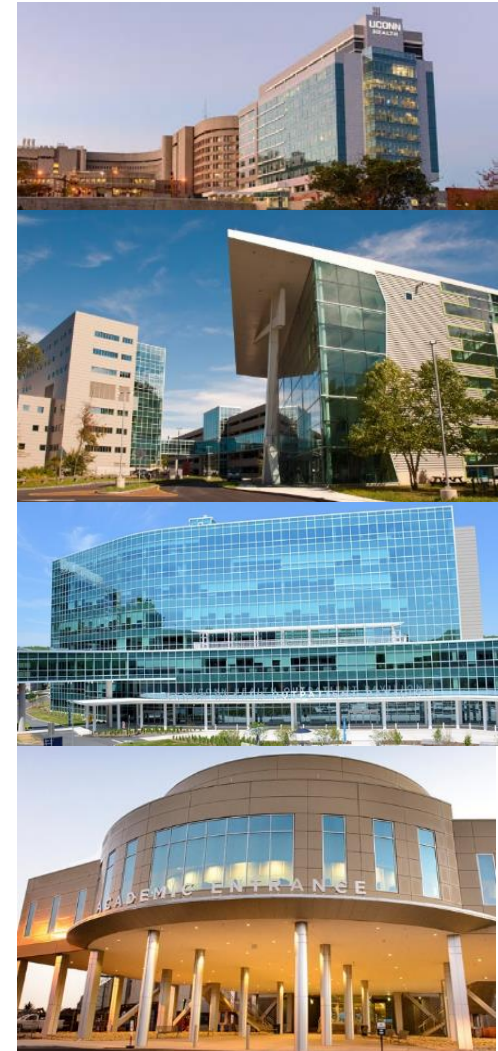
As Gant Renovation Phase 2 is completed, Phase 3 design is underway along with construction of Science 1 and the enabling infrastructure projects

UConn Health Capital

\$25M of new UCONN 2000 GO bond funds will fund critical deferred maintenance

	Request		Approved
Capital Authorization (\$M)	FY22	FY23	FY22
Campus Renovations	\$7.0	\$7.0	
Deferred Maintenance	27.1	8.0	25.0
Clinical Equipment	3.0	3.0	
Information Technology	10.0	3.0	
Revenue Growth Investment	10.0	2.0	
Total	\$57.1	\$23.0	\$25.0

- The recent facilities condition assessment report identified ~\$35M of annual capital needs at UConn Health
- UCH must maintain and reinvest in the assets of the State to avoid additional costs over the long-term



Capital Program Summary

In spite of the negative COVID impacts, UConn continues to complete projects within the capital program

- State bond funding currently in statute will support the academic and research priorities as well as other priority projects for Storrs and UCH
- Construction began 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
- While future year State bond funding is not guaranteed, UConn continues to work with the State to communicate project funding requirements

Major NextGenCT Buildings Opened



UConn Hartford Campus

\$139M
3 bldgs & 215,000 sqft
Completed August 2017



Werth Residence Hall

\$95.8M
212,000 sqft & 730 beds
Completed August 2016



Engineering & Science Building

~\$92.5M
115,000 sqft
Completed October 2017



Fine Arts Production Facility

~\$35.7M
30,000 sqft
Completed April 2020



Monteith Building Renovation

\$23.7M
73,000 sqft
Completed August 2016



Gant Building Renovation Phase I -II

~\$170M
200,000 sqft
Completed August 2019, May 2021



Putnam Refectory Renovation

\$18.7M
42,000 sqft
Completed August 2016



Student Recreation Center


~\$100M
191,000 sqft
Completed August 2019


ATTACHMENT 21



June 30, 2020

TO: Members of the Board of Trustees

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

Carl Lejuez 
Provost and Executive Vice President for Academic Affairs

RE: Project Budget for the George J. Sherman Family Sports Complex Track Resurfacing (Final: \$763,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$763,000, as detailed in the attached project budget, for the resurfacing of the George J. Sherman Family Sports Complex track. 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 \$763,000 of University funds for the completion of the resurfacing of the George J. Family Sports Complex track; and approve the request for a waiver of the three-stage budget approval process.”

BACKGROUND:

The George J. Family Sports Complex track was last resurfaced in 2008 as part of an overall project to replace the track as well as artificial turf surfaces. The overall complex is home to our Women’s Field Hockey program, Men’s & Women’s Track and Field, as well as Recreational programming.

The existing track requires periodic resurfacing in order to maintain a safe practice and competition facility, meeting all NCAA standards. This project will also address the replacement of four jump sand pits which are embedded in the track complex.

The Final Budget is attached for your information.

Attachment

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

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

**PROJECT NAME: GEORGE J. SHERMAN FAMILY SPORTS COMPLEX TRACK
RESURFACING**

<u>BUDGETED EXPENDITURES</u>	<u>PROPOSED FINAL 6/30/2021</u>
CONSTRUCTION	\$ 726,000
DESIGN SERVICES	-
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	-
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	-
OTHER SOFT COSTS	-
SUBTOTAL	\$ 726,000
PROJECT CONTINGENCY	37,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 763,000</u>
<u>SOURCE(S) OF FUNDING*</u>	
UNIVERSITY FUNDS	<u>\$ 763,000</u>
TOTAL BUDGETED FUNDING	<u>\$ 763,000</u>


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


ATTACHMENT 22



June 30, 2021

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Werth Family UConn Basketball Champions Center Dining
(Final: \$1,268,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$1,268,000 as detailed in the attached project budget, for Werth Family UConn Basketball Champions Center Dining for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$1,268,000 in University funds for Werth Family UConn Basketball Champions Center Dining project; and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget.”

BACKGROUND:

The Werth Family Basketball Champions Center opened in the fall of 2014 and is home to both our men’s and women’s Basketball programs. The facility houses all facets of these programs and includes an academic center, strength and conditioning, athletic training, locker rooms, practice courts, offices and dining area.

The current food preparation area is not physically or functionally set up to support the food services & regulatory requirements needed. The current dining area is not inviting nor aesthetically pleasing for the student athletes to dine at. This project will create a much-improved dining experience along with the food preparation services and equipment required to support it.

Interior renovations will include an update to the existing pantry and dining areas, rooms 227 & 228 at the Werth Family UConn Basketball Champions Center Building.

This initiative will be managed by Academic Renovations in Facilities Operations. Construction will begin in Fall 2021 with completion expected by February 2022. While most of the project will initially be funded through University funds; Athletics will replenish these funds through philanthropy.

The Final Budget is based on the consultant's preliminary opinion of construction cost during Design. The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: WERTH FAMILY BASKETBALL CHAMPIONS CENTER DINING RENOVATION

<u>BUDGETED EXPENDITURES</u>	<u>APPROVED DESIGN 12/5/2019</u>	<u>PROPOSED FINAL 6/30/2021</u>
CONSTRUCTION	\$ -	\$ 710,644
DESIGN SERVICES	20,000	25,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	437,294
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	-
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	-
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 20,000	\$ 1,172,938
PROJECT CONTINGENCY	3,000	95,062
TOTAL BUDGETED EXPENDITURES	\$ 23,000	\$ 1,268,000
 <u>SOURCE(S) OF FUNDING*</u>		
UNIVERSITY FUNDS	\$ 23,000	\$ 1,268,000
TOTAL BUDGETED FUNDING	\$ 23,000	\$ 1,268,000


* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate. While a majority of the project will initially be funded through University funds; Athletics will replenish these funds through philanthropy.


ATTACHMENT 23



June 30, 2020

TO: Members of the Board of Trustees

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

Carl Lejuez 
Provost and Executive Vice President for Academic Affairs

RE: Project Budget for North and South Parking Garages Restoration, Phase 1 & 2
(Revised Final: \$2,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$2,000,000 as detailed in the attached project budget, for North and South Garages Restoration, Phase 1 & 2, for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$2,000,000 in University funds for North and South Garages Restoration, Phase 1 & 2 project.”

BACKGROUND:

The University of Connecticut owns two precast concrete parking garages at the Storrs Campus. The North Garage, located adjacent to the Jorgensen Center for Performing Arts, is a five-level structure constructed in 1997. The South Garage, located adjacent to the Harry A. Gampel Pavilion, is a six-level structure constructed in 2000. The University commissioned a condition assessment and structural evaluation for each structure, which concluded that, while the structures are both in good condition, certain repairs were recommended. The University intends to utilize a phased approach to completing the repairs. This project is in the second phase of the repairs. It will focus primarily on one level of each of the two garages at the Storrs Campus.

Repairs that will be required as part of this project include the following:

- Replacement of joint sealants that have reached the end of their service life to include removal of existing sealants, cleaning of adjacent surfaces, preparation of adjacent surfaces, and installation of new sealants.
- Repair of deteriorated or damaged concrete on floors, beams, columns, walls, curbs, and stairs to include removal of deteriorated or damaged, concrete, preparation of surfaces, and installation of concrete patch.
- Repair and/or sealing of cracks using epoxy injection or other specified techniques.
- Repair or replacement of shear connectors.
- Repair of damaged door hardware.
- Power-washing of deck and painting of new line striping.
- Miscellaneous cleaning and repairs of drainage system.
- Painting of miscellaneous surfaces and items.

The Revised Final Budget is based on the consultant's preliminary opinion of construction cost during Design. Portions of the scope may be deferred to the following phase based on funding availability.

The Revised Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: NORTH & SOUTH PARKING GARAGES RESTORATION-PHASE 1 & 2

	PHASE 1	PHASE 1	PHASE 1 & 2
	APPROVED	APPROVED	PROPOSED
	PLANNING	FINAL	REVISED
	2/24/2020	10/28/2020	FINAL
			6/30/2021
<u>BUDGETED EXPENDITURES</u>			
	PRC		
CONSTRUCTION	\$ 110,000	\$ 728,000	\$ 1,456,000
DESIGN SERVICES	150,000	172,000	344,000
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	-	-	-
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	-	-	-
MISCELLANEOUS	-	-	-
OTHER SOFT COSTS	-	-	-
SUBTOTAL	\$ 260,000	\$ 900,000	\$ 1,800,000
PROJECT CONTINGENCY	40,000	100,000	200,000
TOTAL BUDGETED EXPENDITURES	\$ 300,000	\$ 1,000,000	\$ 2,000,000
<u>SOURCE(S) OF FUNDING*</u>			
UNIVERSITY FUNDS	\$ 300,000	\$ 1,000,000	\$ 2,000,000
TOTAL BUDGETED FUNDING	\$ 300,000	\$ 1,000,000	\$ 2,000,000


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

ATTACHMENT 24

UConn HEALTH

June 30, 2021

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Interim President, University of Connecticut
Chief Executive Officer, UConn Health

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

RE: Project Budget for the UConn Health Musculoskeletal Institute Building (MSI)
Roof Top Unit Replacement (Revised Final: \$1,762,500)

RECOMMENDATION:

That the Board of Trustees note a report of the Revised Final Budget in the amount of \$1,762,500 as detailed in the attached project budget for the UConn Health Musculoskeletal Institute Building (MSI) Roof Top Unit Replacement Project.

RESOLUTION:

“Be it resolved that the Board of Trustees note the approval of the use of \$1,762,500 of UConn Health Capital Funds for the UConn Health Musculoskeletal Institute Building (MSI) Roof Top Unit Replacement Project with the subsequent incentive payment, not to exceed \$839,500, from Eversource of 50% of the project’s final costs.”

BACKGROUND:

In October 2020, UConn Health (UCH) was notified of a competitive incentive program from Eversource to replace old/end of life, energy inefficient, roof top units (RTUs) with new energy efficient models. Eversource customers were invited to submit proposals that would be evaluated based upon anticipated energy efficiency improvements, energy savings, and proposed percentage of funding requested. On December 5, 2020, UCH submitted a proposal to replace the 3 RTUs serving the MSI building. UCH was notified by Eversource on February 2, 2021, that our proposal was accepted and funding will be provided for 50% of the actual cost associated with the work, contingent upon the project being completed by July 18, 2021.

In order to meet the Eversource imposed completion deadline, UCH pre-purchased the roof top units (RTUs) directly from the vendor and utilize an expedited design/bid process for the installation of the RTUs. The Board approved a waiver for both the Planning and Design Budget to allow the project to proceed as quickly as possible. A Final Budget was approved by the Board on March 15, 2021.

The current estimated cost to complete the project exceeded the approved budget by \$83,500. The projected overage is attributed to a low bid award for the RTU installation exceeding the originally budgeted amount.

On April 06, 2021, the Executive Vice President for Administration and Chief Financial Officer approved an increase of \$83,500 (4.9% of the previous approved Final Budget) for a new approved Revised Final Budget of \$1,762,500.

Board of Trustees policy permits the Executive Vice President for Administration and Chief Financial Officer to approve changes up to 5% of the project budget, providing that funding is available, and the BOT is subsequently notified of the revised project budget, which is the subject of this resolution.

The approved Revised Final Budget is attached for your information. The approved Revised Final Budget was presented to the UConn Health Board of Directors at their meeting on June 14, 2021.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: UCONN HEALTH - MUSCULOSKELETAL INSTITUTE BUILDING (MSI) ROOF TOP UNIT REPLACEMENT

<u>BUDGETED EXPENDITURES</u>	<u>APPROVED FINAL 2/24/2021</u>	<u>APPROVED REVISED FINAL 4/6/2021</u>
		EVPACFO
CONSTRUCTION	\$ 1,482,000	\$ 1,677,075
DESIGN SERVICES	38,000	60,540
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	-
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	6,000	6,000
SUBTOTAL	\$ 1,526,000	\$ 1,743,615
PROJECT CONTINGENCY	153,000	18,885
TOTAL BUDGETED EXPENDITURES	\$ 1,679,000	\$ 1,762,500
<u>SOURCE(S) OF FUNDING*</u>		
UCONN HEALTH CAPITAL FUNDS	\$ 839,500	\$ 923,000
EVERSOURCE REBATE	839,500	839,500
TOTAL BUDGETED FUNDING	\$ 1,679,000	\$ 1,762,500

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

UCONN HEALTH/IMPROVEMENTS
UConn Health Musculoskeletal Institute Building (MSI)
Roof Top Unit Replacement
Project Budget (Revised Final) \$1,762,500
June 30, 2021



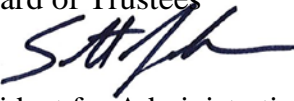
VIEW OF MSI BUILDING ROOF TOP UNITS #1, #2 & #3

ATTACHMENT 25



June 30, 2021

TO: Members of the Board of Trustees

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

RE: Fiscal Year 2022 Spending Plan for the University of Connecticut,
Storrs and Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve the attached Operating Spending Plan for Fiscal Year 2022 of \$1,609.2 million for the University of Connecticut, Storrs and Regional Campuses.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2022 Operating Spending Plan of \$1,609.2 million for the University of Connecticut, Storrs and Regional Campuses.”

BACKGROUND:

After a year of tremendous uncertainty amid a global pandemic, the fiscal situation is looking brighter, if only temporarily. The support from the State and the federal government has allowed us to balance the budget for Fiscal Year 2022. However, we continue to search for ways to eliminate the underlying structural deficit. The operating budget includes \$1,609.2 million of revenues to cover \$1,609.2 million of expenses.

During Fall 2021 we anticipate having 80%-90% of residential housing capacity, about 93% of undergraduate classes taught in person and staff back on campus. While COVID protocols and precautions remain in place and student and staff safety remain a top priority, the budget impact will be greatly reduced.

The General Assembly has approved an FY22 budget that includes a block grant of \$208.2 million (\$408.5 million with fringe reimbursement and unfunded legacy cost support) 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. The \$7.5 million provided towards unfunded legacy fringe costs is a great start in helping to reduce our burden of rising fringe costs, specifically the unfunded pension and retiree health liabilities, on the University’s other revenue sources like research, tuition, fees, etc.

UConn continues to focus on protecting academic excellence and providing strong student support. The proposed budget again increases our financial aid budget, with need-based aid at 17.0% of tuition and overall student financial aid of \$255.6 million, including \$28.5 million in direct student federal COVID relief support.

UConn stands committed to maintaining and enhancing our academic excellence in support of our students and the State of Connecticut. UConn's success is vital to Connecticut's success.

Attachments

University of Connecticut, Storrs & Regional Campuses

Spending Plan for Fiscal Year 2022


Revenues:	FY22 (\$M)
State Block Grant	208.2
Adjustments/accruals	10.9
Fringe Benefits	189.4
State Support	\$ 408.5
Tuition	472.6
Mandatory/Course Fees	158.6
Grants & Contracts	162.3
Auxiliary Enterprise	185.5
Other Revenue (incl Foundation reimb.)	77.0
Research Fund	144.7
Total Revenues	\$ 1,609.2
Expenditures:	
Salaries & Wages	545.5
Fringe Benefits	327.3
Other Expenses (incl energy/equip.)	285.2
Student Financial Aid	255.6
Debt/Capital/Initiatives	50.5
Research Fund	145.0
Total Expenditures	\$ 1,609.2
Net Gain/(Loss)	\$ 0.0


ATTACHMENT 26

UConn HEALTH

June 30, 2021

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: Fiscal Year 2022 Operating Spending Plan for UConn Health

RECOMMENDATION:

That the Board of Trustees approve the attached Operating Spending Plan for Fiscal Year 2022 of \$1,398.7 million for the UConn Health.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2022 Operating Spending Plan of \$1,398.7 million for the UConn Health.”

BACKGROUND:

The FY 22 Spending Plan includes \$1,398.8 million of revenue, including estimated state support of \$339.2 million, to cover \$1,398.7 million in expenses and transfers.

The General Assembly has approved an FY22 budget that includes a block grant of \$133.7 million (\$339.2 million with fringe reimbursement and additional operating support) for UConn Health. 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.

UConn Health will continue to manage its budget closely monitoring State support, clinical volume, and fringe benefits costs. We will also continue to focus on providing excellent patient care, protecting academic excellence, and supporting the research mission.

UConn Health

Spending Plan for Fiscal Year 2022


	Fiscal Year 2022
Revenue and Expense (\$M)	Proposed Budget
State Support Salary	\$ 133.7
State Support Fringe	144.5
Additional Support	61.0
Tuition and Fees	31.4
Grants & Contracts	110.6
Interns/Residents	76.0
Net Patient Revenue	668.1
Other Revenue	173.5
Total Revenue	\$ 1,398.8
Personal Services	\$ 485.4
Fringe Benefits	324.8
Drugs/Medical Supplies	171.6
Resident and Fellow house staff	61.4
Utilities	13.6
Interest Expense on Debt Service	8.6
Other Expenses	309.6
Principal Debt Payments	7.5
Capital Lease Payments	1.1
Capital Projects	15.1
Total Expenses	\$ 1,398.7
Excess/(Deficiency)	\$ 0.1


ATTACHMENT 27



June 30, 2021

TO: Members of the Board of Trustees

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

Carl Lejuez 
Provost and Executive Vice President for Academic Affairs

RE: Fiscal Year 2022 Tuition and Fees for the University of Connecticut, Storrs and Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve increases to the Student Health and Wellness Fee, Transit Fee and Student Activity Fee for Fiscal Year 2022, as detailed in the attachments.

RESOLUTION:

“Be it resolved that the University’s Tuition and Fees for Fiscal Year 2022 shall be set according to the attached Rate Schedule. Further, that the President may make limited adjustments to fees in the event circumstances due to COVID-19 warrant such change, 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:

Tuition

On December 11, 2019, the Board of Trustees approved a five-year tuition plan for Fiscal Years 2021 – 2025 applying to all undergraduate and graduate tuition-based programs excluding the School of Law. The approved increase for Fiscal Year 2022 was set at \$625 for in-state and out-of-state students.

Institutional Fees

Institutional Fees require central administrative approval and include fees such as Housing and Board, specific student fees (i.e. Infrastructure Maintenance Fee, Transit Fee, etc.), and other institutional fees such as late fees, escrow fee, etc.

Housing and Board: No increases to the Housing and Board rates are proposed. Housing and Board rate changes are driven in part by market demand as well as increases in costs to operate each program. The overall University housing program has seen declines in demand in recent years, primarily a result of aging housing stock and growth in off-campus housing around the Storrs Campus. Costs to operate the University's dining program are projected to increase in Fiscal Year 2022 primarily due to increased commodity costs, but the University will look for cost reduction measures to offset any necessary fee increase.

Transit Fee: An increase of \$4 per semester or \$8 per academic year is proposed across all campuses. The resulting annual rate will increase from \$160 to \$168 for the Storrs campus and \$40 to \$48 for the Regional campuses in Fiscal Year 2022. The increase reflects the cost of operating the U-Pass program administered by the State Department of Transportation. U-Pass is available to all students, both undergraduate and graduate, at the Storrs and Regional campuses. This fee change is primarily due to increased rail costs which are part of the U-Pass program.

Student Fees

Student Fees are reviewed and proposed through the Student Activity and Service Fee Advisory Committee (which includes students, faculty and administrative representatives). Increases are requested for Student Health and Wellness as well as a small increase to the Student Activity Fee.

Student Health and Wellness: An increase of \$56 per year is proposed for the Student Health Services Fee for Storrs based students. In 2020, President Katsouleas established a Task Force on Mental Health and Wellness to review current efforts and practices; identify areas of diminished capacity; and identify priorities for best practices and expansion of care for our students. As a result of the task force and the identification of areas of need, the University seeks to add additional case workers and clinicians to strengthen its mental health practice, improve access to care, and develop expertise in diversity and inclusion best practices within a clinical setting. With these additional funds, Student Health and Wellness will add four Mental Health Clinicians with various roles and specialties and three Health educators focused on mental health education.

Student Activity Fee: The Student Activity Fee includes the Connecticut Daily Campus, Student Government, WHUS, UConn TV, and Student Union. A \$2 per year increase to the Student Activity Fee is proposed, resulting in an annual rate increase from \$190 to \$192. The primary purpose for the proposal is to cover the increasing costs of producing the Nutmeg Yearbook, which each student receives at no cost upon graduation. This fee only applies to Storrs undergraduate students.

UNIVERSITY OF CONNECTICUT
Undergraduate Schedule of Full-time Tuition and Common Fees

	FY21			FY22 Proposed		
	Resident	Non-Resident	NE Regional	Resident	Non-Resident	NE
STORRS						
Tuition	\$ 14,406	\$ 37,074	\$ 23,424	\$ 15,030	\$ 37,698	\$ 24,048
General University Fee	1,380	1,380	1,380	1,380	1,380	1,380
Student Health Services	580	580	580	636	636	636
Student Recreation Center Fee	500	500	500	500	500	500
Infrastructure Maintenance Fee	468	468	468	468	468	468
Connecticut Daily Campus Fee	20	20	20	20	20	20
Student Government Fee	96	96	96	98	98	98
WHUS Fee	18	18	18	18	18	18
UConn TV	10	10	10	10	10	10
Student Union Fee	46	46	46	46	46	46
Technology Fee	150	150	150	150	150	150
Transit Fee	160	160	160	168	168	168
Total, Commuting Student	\$ 17,834	\$ 40,502	\$ 26,852	\$ 18,524	\$ 41,192	\$ 27,542
Room Fee (Double)	7,238	7,238	7,238	7,238	7,238	7,238
Board Fee ^(A)	6,020	6,020	6,020	6,020	6,020	6,020
Total, Dormitory Student	\$ 31,092	\$ 53,760	\$ 40,110	\$ 31,782	\$ 54,450	\$ 40,800
EVERY POINT						
Tuition	\$ 14,406	\$ 37,074	\$ 23,424	\$ 15,030	\$ 37,698	\$ 24,048
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Government	70	70	70	70	70	70
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 15,246	\$ 37,914	\$ 24,264	\$ 15,878	\$ 38,546	\$ 24,896
HARTFORD						
Tuition	\$ 14,406	\$ 37,074	\$ 23,424	\$ 15,030	\$ 37,698	\$ 24,048
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Government	60	60	60	60	60	60
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 15,236	\$ 37,904	\$ 24,254	\$ 15,868	\$ 38,536	\$ 24,886
STAMFORD						
Tuition	\$ 14,406	\$ 37,074	\$ 23,424	\$ 15,030	\$ 37,698	\$ 24,048
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Government	80	80	80	80	80	80
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total, Commuting Student	\$ 15,256	\$ 37,924	\$ 24,274	\$ 15,888	\$ 38,556	\$ 24,906
Room Fee (Stamford Rate 1 - Shared Bedroom)	\$0	\$0	\$0	\$0	\$0	\$0
Total, Dormitory Student	\$ 15,256	\$ 37,924	\$ 24,274	\$ 15,888	\$ 38,556	\$ 24,906
WATERBURY						
Tuition	\$ 14,406	\$ 37,074	\$ 23,424	\$ 15,030	\$ 37,698	\$ 24,048
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Government	70	70	70	70	70	70
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 15,246	\$ 37,914	\$ 24,264	\$ 15,878	\$ 38,546	\$ 24,896

UNIVERSITY OF CONNECTICUT
Undergraduate Schedule of Full-time Tuition and Common Fees

	FY21			FY22 Proposed		
	Resident	Non-Resident	NE Regional	Resident	Non-Resident	NE
PHARMACY (Pharm. D.)						
Tuition	\$ 27,238	\$ 55,410	\$ 45,876	\$ 27,862	\$ 56,034	\$ 46,500
General University Fee	1,380	1,380	1,380	1,380	1,380	1,380
Student Health Services	580	580	580	636	636	636
Student Recreation Center Fee	500	500	500	500	500	500
Infrastructure Maintenance Fee	468	468	468	468	468	468
Connecticut Daily Campus Fee	20	20	20	20	20	20
Student Government Fee	96	96	96	98	98	98
WHUS Fee	18	18	18	18	18	18
UConn TV	10	10	10	10	10	10
Student Union Fee	46	46	46	46	46	46
Technology Fee	150	150	150	150	150	150
Transit Fee	160	160	160	168	168	168
Total, Commuting Student	\$ 30,666	\$ 58,838	\$ 49,304	\$ 31,356	\$ 59,528	\$ 49,994
Room Fee (Double)	7,238	7,238	7,238	7,238	7,238	7,238
Board Fee ^(A)	6,020	6,020	6,020	6,020	6,020	6,020
Total, Dormitory Student	\$ 43,924	\$ 72,096	\$ 62,562	\$ 44,614	\$ 72,786	\$ 63,252

(A) Board fee represents the value meal plan

UNIVERSITY OF CONNECTICUT
Graduate Schedule of Full-time Tuition and Common Fees

	FY21			FY22 Proposed		
	<u>Resident</u>	<u>Non-Resident</u>	<u>NE Regional</u>	<u>Resident</u>	<u>Non-Resident</u>	<u>NE</u>
STORRS						
Tuition	\$ 16,908	\$ 38,820	\$ 27,804	\$ 17,532	\$ 39,444	\$ 28,428
General University Fee	882	882	882	882	882	882
Student Health Services	580	580	580	636	636	636
Student Recreation Center Fee	400	400	400	400	400	400
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Activity Fee	32	32	32	32	32	32
Graduate Matriculation Fee	84	84	84	84	84	84
Transit Fee	160	160	160	168	168	168
Technology Fee	150	150	150	150	150	150
Total, Commuting Student	\$ 19,664	\$ 41,576	\$ 30,560	\$ 20,352	\$ 42,264	\$ 31,248
Room Fee	\$8,868	\$8,868	\$8,868	\$8,868	\$8,868	\$8,868
Board Fee ^(A)	\$6,020	\$6,020	\$6,020	\$6,020	\$6,020	\$6,020
Total, Dormitory Student	\$ 34,552	\$ 56,464	\$ 45,448	\$ 35,240	\$ 57,152	\$ 46,136
STORRS-DPT (PHYSICAL THERAPY)						
Tuition	\$ 22,366	\$ 44,296	\$ 33,250	\$ 22,990	\$ 44,920	\$ 33,874
General University Fee	882	882	882	882	882	882
Student Health Services	580	580	580	636	636	636
Student Recreation Center Fee	400	400	400	400	400	400
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Activity Fee	32	32	32	32	32	32
Graduate Matriculation Fee	84	84	84	84	84	84
Transit Fee	160	160	160	168	168	168
Technology Fee	150	150	150	150	150	150
Total, Commuting Student	\$ 25,122	\$ 47,052	\$ 36,006	\$ 25,810	\$ 47,740	\$ 36,694
Room Fee (Double)	8,868	8,868	8,868	8,868	8,868	8,868
Board Fee ^(A)	6,020	6,020	6,020	6,020	6,020	6,020
Total, Dormitory Student	\$ 40,010	\$ 61,940	\$ 50,894	\$ 40,698	\$ 62,628	\$ 51,582
LAW SCHOOL-Day						
Tuition	\$ 30,354	\$ 61,396	\$ 51,786	\$ 30,354	\$ 61,396	\$ 51,786
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Activity Fee	164	164	164	164	164	164
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 31,288	\$ 62,330	\$ 52,720	\$ 31,296	\$ 62,338	\$ 52,728
(A) Board fee represents the value meal plan						
SOCIAL WORK						
Tuition	\$ 16,908	\$ 38,820	\$ 27,804	\$ 17,532	\$ 39,444	\$ 28,428
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Graduate Matriculation Fee	84	84	84	84	84	84
Student Activity Fee	50	50	50	50	50	50
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 17,812	\$ 39,724	\$ 28,708	\$ 18,444	\$ 40,356	\$ 29,340
STAMFORD Ph. D.						
Tuition	\$ 20,408	\$ 38,820	\$ 33,926	\$ 21,032	\$ 39,444	\$ 34,550
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Graduate Matriculation Fee	84	84	84	84	84	84
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 21,262	\$ 39,674	\$ 34,780	\$ 21,894	\$ 40,306	\$ 35,412

UNIVERSITY OF CONNECTICUT
Graduate Schedule of Full-time Tuition and Common Fees

	FY21			FY22 Proposed		
LAW SCHOOL-Evening						
Tuition	\$ 22,160	\$ 44,180	\$ 37,440	\$ 22,160	\$ 44,180	\$ 37,440
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Activity Fee	164	164	164	164	164	164
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 23,094	\$ 45,114	\$ 38,374	\$ 23,102	\$ 45,122	\$ 38,382
LAW SCHOOL-SJD						
Tuition	\$ 10,538	\$ 18,902	\$ 17,108	\$ 10,538	\$ 18,902	\$ 17,108
General University Fee	112	112	112	112	112	112
Infrastructure Maintenance Fee	468	468	468	468	468	468
Student Activity Fee	164	164	164	164	164	164
Transit Fee	40	40	40	48	48	48
Technology Fee	150	150	150	150	150	150
Total	\$ 11,472	\$ 19,836	\$ 18,042	\$ 11,480	\$ 19,844	\$ 18,050

**UNIVERSITY OF CONNECTICUT
Tuition Rates Per Credit**

Credits	Undergraduate			Graduate / Social Work			Law - Day Division			Law - Evening Division		
	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg
<u>2020-21</u>												
1	601	1,545	976	940	2,157	1,545	1,265	2,559	2,158	1,108	2,209	1,872
2	1,202	3,090	1,952	1,880	4,314	3,090	2,530	5,118	4,316	2,216	4,418	3,744
3	1,803	4,635	2,928	2,820	6,471	4,635	3,795	7,677	6,474	3,324	6,627	5,616
4	2,404	6,180	3,904	3,760	8,628	6,180	5,060	10,236	8,632	4,432	8,836	7,488
5	3,005	7,725	4,880	4,700	10,785	7,725	6,325	12,795	10,790	5,540	11,045	9,360
6	3,606	9,270	5,856	5,640	12,942	9,270	7,590	15,354	12,948	6,648	13,254	11,232
7	4,207	10,815	6,832	6,580	15,099	10,815	8,855	17,913	15,106	7,756	15,463	13,104
8	4,808	12,360	7,808	7,520	17,256	12,360	10,120	20,472	17,264	8,864	17,672	14,976
9	5,409	13,905	8,784	8,454	19,410	13,902	11,385	23,031	19,422	9,972	19,881	16,848
10	6,010	15,450	9,760				12,650	25,590	21,580	11,080	22,090	18,720
11	6,611	16,995	10,736				13,915	28,149	23,738			
12	7,203	18,537	11,712				15,177	30,698	25,893			
annual - full time	14,406	37,074	23,424	16,908	38,820	27,804	30,354	61,396	51,786	22,160	44,180	37,440

Credits	Undergraduate			Graduate / Social Work			Law - Day Division			Law - Evening Division		
	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg
<u>2021-22</u>												
1	627	1,571	1,002	974	2,192	1,580	1,265	2,559	2,158	1,108	2,209	1,872
2	1,254	3,142	2,004	1,948	4,384	3,160	2,530	5,118	4,316	2,216	4,418	3,744
3	1,881	4,713	3,006	2,922	6,576	4,740	3,795	7,677	6,474	3,324	6,627	5,616
4	2,508	6,284	4,008	3,896	8,768	6,320	5,060	10,236	8,632	4,432	8,836	7,488
5	3,135	7,855	5,010	4,870	10,960	7,900	6,325	12,795	10,790	5,540	11,045	9,360
6	3,762	9,426	6,012	5,844	13,152	9,480	7,590	15,354	12,948	6,648	13,254	11,232
7	4,389	10,997	7,014	6,818	15,344	11,060	8,855	17,913	15,106	7,756	15,463	13,104
8	5,016	12,568	8,016	7,792	17,536	12,640	10,120	20,472	17,264	8,864	17,672	14,976
9	5,643	14,139	9,018	8,766	19,722	14,214	11,385	23,031	19,422	9,972	19,881	16,848
10	6,270	15,710	10,020				12,650	25,590	21,580	11,080	22,090	18,720
11	6,897	17,281	11,022				13,915	28,149	23,738			
12	7,515	18,849	12,024				15,177	30,698	25,893			
annual - full time	15,030	37,698	24,048	17,532	39,444	28,428	30,354	61,396	51,786	22,160	44,180	37,440

**UNIVERSITY OF CONNECTICUT
Tuition Rates Per Credit**

Credits	Stamford Ph.D			Pharmacy (Pharm.D.)			Physical Therapy (DPT)			SJD Law		
	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg
<u>2020-21</u>												
1	1,134	2,157	1,885	1,514	3,079	2,549	1,243	2,461	1,848	586	1,051	951
2	2,268	4,314	3,770	3,028	6,158	5,098	2,486	4,922	3,696	1,172	2,102	1,902
3	3,402	6,471	5,655	4,542	9,237	7,647	3,729	7,383	5,544	1,758	3,153	2,853
4	4,536	8,628	7,540	6,056	12,316	10,196	4,972	9,844	7,392	2,344	4,204	3,804
5	5,670	10,785	9,425	7,570	15,395	12,745	6,215	12,305	9,240	2,930	5,255	4,755
6	6,804	12,942	11,310	9,084	18,474	15,294	7,458	14,766	11,088	3,516	6,306	5,706
7	7,938	15,099	13,195	10,598	21,553	17,843	8,701	17,227	12,936	4,102	7,357	6,657
8	9,072	17,256	15,080	12,112	24,632	20,392	9,944	19,688	14,784	4,688	8,408	7,608
9	10,204	19,410	16,963	13,619	27,705	22,938	11,183	22,148	16,625	5,269	9,451	8,554
10												
11												
12												
annual - full time	20,408	38,820	33,926	27,238	55,410	45,876	22,366	44,296	33,250	10,538	18,902	17,108

Credits	Stamford Ph.D			Pharmacy (Pharm.D.)			Physical Therapy (DPT)			SJD Law		
	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg	Resident	Non-Resid	NE Reg
<u>2021-22</u>												
1	1,169	2,192	1,920	1,548	3,113	2,583	1,278	2,496	1,882	586	1,051	951
2	2,338	4,384	3,840	3,096	6,226	5,167	2,556	4,992	3,764	1,172	2,102	1,902
3	3,507	6,576	5,760	4,644	9,339	7,750	3,834	7,488	5,646	1,758	3,153	2,853
4	4,676	8,768	7,680	6,192	12,452	10,333	5,112	9,984	7,528	2,344	4,204	3,804
5	5,845	10,960	9,600	7,740	15,565	12,917	6,390	12,480	9,410	2,930	5,255	4,755
6	7,014	13,152	11,520	9,288	18,678	15,500	7,668	14,976	11,292	3,516	6,306	5,706
7	8,183	15,344	13,440	10,836	21,791	18,083	8,946	17,472	13,174	4,102	7,357	6,657
8	9,352	17,536	15,360	12,384	24,904	20,667	10,224	19,968	15,056	4,688	8,408	7,608
9	10,516	19,722	17,275	13,931	28,017	23,250	11,495	22,460	16,937	5,269	9,451	8,554
10												
11												
12												
annual - full time	21,032	39,444	34,550	27,862	56,034	46,500	22,990	44,920	33,874	10,538	18,902	17,108

UNIVERSITY OF CONNECTICUT
Fee Charges By Credit

Per Semester														Per Credit						
Credits	Infrastructure Maintenance Fee		General University Fee				Student Rec Center Fee (Storrs Only)		Student Health Services		Technology Fee		Online Fee	Storrs Non-Degree Fall/Spring	Summer, Intercession and Winter Session		June and Winter Term			
	Undergrad	Grad	Storrs Undergrad	Storrs Grad (c)	Off-Campus Grad (a)	Other Reg Campus (a)	Undergrad	Grad	(UG Storrs)	Services (Grad Storrs)	Undergrad	Grad	Summer / Intercession/ Non-degree	Grad and Non-degree, & all students in intercessions and summer sessions	Undergrad Degree and BGS, BPS	Grad	Undergrad	Grad	Law (b)	
2019-20																				
1	59	59	172	147	56	56	250	200	73	96	75	75	30	20	575	906	575	906	1,112	
2	59	59	172	147	56	56	250	200	73	96	75	75	30	20	1,150	1,812	1,150	1,812	2,224	
3	59	59	172	147	56	56	250	200	73	96	75	75	30	20	1,725	2,718	1,725	2,718	3,336	
4	59	59	172	147	56	56	250	200	73	96	75	75	30	20	2,300	3,624	2,300	3,624	4,448	
5	59	117	172	294	56	56	250	200	73	193	75	75	30	20	2,875	4,530	2,875	4,530	5,560	
6	117	117	345	294	56	56	250	200	145	193	75	75	30	20	3,450	5,436	3,450	5,436	6,672	
7	117	117	345	294	56	56	250	200	145	193	75	75	30	20	4,025	6,342	4,025	6,342	7,784	
8	117	117	345	294	56	56	250	200	145	193	75	75	30	20	4,600	7,248	4,600	7,248	8,896	
9	117	234	345	441	56	56	250	200	145	290	75	75	30	20	5,175	8,150	5,175	8,154	10,008	
10	117	234	345	441	56	56	250	200	145	290	75	75	30	20	5,750	8,725	5,750	9,060	11,120	
11	117	234	345	441	56	56	250	200	145	290	75	75	30	20	6,325	9,300	6,325	9,966	12,232	
12	234	234	690	441	56	56	250	200	290	290	75	75	30	20	6,899	10,872	6,900	10,872	13,344	
13	234	234	690	441	56	56	250	200	290	290	75	75	30	20			7,475	11,778	14,456	
2020-21																				
1	59	59	172	147	56	56	250	200	73	96	75	75	30	20	601	940	601	940	1,112	
2	59	59	172	147	56	56	250	200	73	96	75	75	30	20	1,202	1,880	1,202	1,880	2,224	
3	59	59	172	147	56	56	250	200	73	96	75	75	30	20	1,803	2,820	1,803	2,820	3,336	
4	59	59	172	147	56	56	250	200	73	96	75	75	30	20	2,404	3,760	2,404	3,760	4,448	
5	59	117	172	294	56	56	250	200	73	193	75	75	30	20	3,005	4,700	3,005	4,700	5,560	
6	117	117	345	294	56	56	250	200	145	193	75	75	30	20	3,606	5,640	3,606	5,640	6,672	
7	117	117	345	294	56	56	250	200	145	193	75	75	30	20	4,207	6,580	4,207	6,580	7,784	
8	117	117	345	294	56	56	250	200	145	193	75	75	30	20	4,808	7,520	4,808	7,520	8,896	
9	117	234	345	441	56	56	250	200	145	290	75	75	30	20	5,409	8,454	5,409	8,460	10,008	
10	117	234	345	441	56	56	250	200	145	290	75	75	30	20	6,010	9,050	6,010	9,400	11,120	
11	117	234	345	441	56	56	250	200	145	290	75	75	30	20	6,611	9,651	6,611	10,340	12,232	
12	234	234	690	441	56	56	250	200	290	290	75	75	30	20	7,203	10,853	7,212	11,280	13,344	
13	234	234	690	441	56	56	250	200	290	290	75	75	30	20			7,813	12,220	14,456	
2021-22																				
1	59	59	172	147	56	56	250	200	73	106	75	75	30	25	627	974	627	974	1,112	
2	59	59	172	147	56	56	250	200	73	106	75	75	30	25	1,254	1,948	1,254	1,948	2,224	
3	59	59	172	147	56	56	250	200	73	106	75	75	30	25	1,881	2,922	1,881	2,922	3,336	
4	59	59	172	147	56	56	250	200	73	106	75	75	30	25	2,508	3,896	2,508	3,896	4,448	
5	59	117	172	294	56	56	250	200	73	212	75	75	30	25	3,135	4,870	3,135	4,870	5,560	
6	117	117	345	294	56	56	250	200	159	212	75	75	30	25	3,762	5,844	3,762	5,844	6,672	
7	117	117	345	294	56	56	250	200	159	212	75	75	30	25	4,389	6,818	4,389	6,818	7,784	
8	117	117	345	294	56	56	250	200	159	212	75	75	30	25	5,016	7,792	5,016	7,792	8,896	
9	117	234	345	441	56	56	250	200	159	318	75	75	30	25	5,643	8,766	5,643	8,766	10,008	
10	117	234	345	441	56	56	250	200	159	318	75	75	30	25	6,270	9,400	6,270	9,740	11,120	
11	117	234	345	441	56	56	250	200	159	318	75	75	30	25	6,897	10,714	6,897	10,714	12,232	
12	234	234	690	441	56	56	250	200	318	318	75	75	30	25	7,515	11,688	7,515	11,688	13,344	
13	234	234	690	441	56	56	250	200	318	318	75	75	30	25			8,151	12,662	14,456	

(a) The General University Fees for SSW, MPA HFTD, Law Day/Eve, Full Time MBA as well as for the other regional campuses are not prorated per credit.

(b) Law School summer and winter charges per credit are based on the evening division tuition plus prorated General University Fee.

(c) GUF rate for Grad Assistants will be a flat rate per semester of \$141.

(d) Executive MBA program at \$90,000 AY21

**UNIVERSITY OF CONNECTICUT
Program Fee Charges By Credit**

Credits	Master of Engineering	Nursing - Doctorate in Nursing (PM/DNP)	Nursing - Nurse Practitioner (AGPCNP/AGAC NP/FNP/NNP)	Nursing - Certificate Entry in Nursing BS (CEIN_BS)	Social Work Extension	Survey Research, MPA Fellows, Nonprofit Management and Leadership & Public Management	Online Graduate Certificates and Programs, GIS and Post Secondary Disability Cert	Business MSFRM per credit	Business (PTMBA) / (MSHRM) per credit	Business MSBAPM per credit	Business MSA per credit	Business Accounting Certificate Program (ACP)	Business Fee Based Programs (Other) Non ACP- Per Credit	LL.M. INSURANCE LAW	LL.M. U.S. Legal Law, Executive LLM, LLM-Energy & Environmental Law & LLM-Human Rights & Social Justice
2020-21															
1	1,300	925	925	810	906	825	825	1,425	975	975	875	875	975	1,326	1,215
2	2,600	1,850	1,850	1,620	1,812	1,650	1,650	2,850	1,950	1,950	1,750	1,750	1,950	2,652	2,430
3	3,900	2,775	2,775	2,430	2,718	2,475	2,475	4,275	2,925	2,925	2,625	2,625	2,925	3,978	3,645
4	5,200	3,700	3,700	3,240	3,624	3,300	3,300	5,700	3,900	3,900	3,500	3,500	3,900	5,304	4,860
5	6,500	4,625	4,625	4,050	4,530	4,125	4,125	7,125	4,875	4,875	4,375	4,375	4,875	6,630	6,075
6	7,800	5,550	5,550	4,860	5,436	4,950	4,950	8,550	5,850	5,850	5,250	5,250	5,850	7,956	7,290
7	9,100	6,475	6,475	5,670	6,342	5,775	5,775	9,975	6,825	6,825	6,125	6,125	6,825	9,282	8,505
8	10,400	7,400	7,400	6,480	7,248	6,600	6,600	11,400	7,800	7,800	7,000	7,000	7,800	10,608	9,720
9	11,700	8,325	8,325	7,290	8,154	7,425	7,425	12,825	8,775	8,775	7,875	7,875	8,775	11,934	10,935
10	13,000	9,250	9,250	8,100	9,060	8,250	8,250	14,250	9,750	9,750	8,750	8,750	9,750	13,260	12,150
11	14,300	10,175	10,175	8,910	9,966	9,075	9,075	15,675	10,725	10,725	9,625	9,625	10,725	14,586	13,365
12	15,600	11,100	11,100	9,720	10,872	9,900	9,900	17,100	11,700	11,700	10,500	10,500	11,700	15,912	14,580
13	16,900	12,025	12,025	10,530	11,778	10,725	10,725	18,525	12,675	12,675	11,375	11,375	12,675	17,238	15,795

Credits	Master of Engineering	Nursing - Doctorate in Nursing (PM/DNP)	Nursing - Nurse Practitioner (AGPCNP/AGAC NP/FNP/NNP)	Nursing - Certificate Entry in Nursing BS (CEIN_BS)	Social Work Extension	Survey Research, MPA Fellows, Nonprofit Management and Leadership & Public Management	Online Graduate Certificates and Programs, GIS and Post Secondary Disability Cert	Business MSFRM per credit	Business (PTMBA) / (MSHRM) per credit	Business MSBAPM per credit	Business MSA per credit	Business Accounting Certificate Program (ACP)	Business Fee Based Programs (Other) Non ACP- Per Credit	LL.M. INSURANCE LAW	LL.M. U.S. Legal Law, Executive LLM, LLM-Energy & Environmental Law & LLM-Human Rights & Social Justice
2021-22															
1	1,300	925	925	867	974	900	825	1,500	1,050	1,050	925	925	1,050	1,326	1,276
2	2,600	1,850	1,850	1,734	1,948	1,800	1,650	3,000	2,100	2,100	1,850	1,850	2,100	2,652	2,552
3	3,900	2,775	2,775	2,601	2,922	2,700	2,475	4,500	3,150	3,150	2,775	2,775	3,150	3,978	3,828
4	5,200	3,700	3,700	3,468	3,896	3,600	3,300	6,000	4,200	4,200	3,700	3,700	4,200	5,304	5,104
5	6,500	4,625	4,625	4,335	4,870	4,500	4,125	7,500	5,250	5,250	4,625	4,625	5,250	6,630	6,380
6	7,800	5,550	5,550	5,202	5,844	5,400	4,950	9,000	6,300	6,300	5,550	5,550	6,300	7,956	7,656
7	9,100	6,475	6,475	6,069	6,818	6,300	5,775	10,500	7,350	7,350	6,475	6,475	7,350	9,282	8,932
8	10,400	7,400	7,400	6,936	7,792	7,200	6,600	12,000	8,400	8,400	7,400	7,400	8,400	10,608	10,208
9	11,700	8,325	8,325	7,803	8,766	8,100	7,425	13,500	9,450	9,450	8,325	8,325	9,450	11,934	11,484
10	13,000	9,250	9,250	8,670	9,740	9,000	8,250	15,000	10,500	10,500	9,250	9,250	10,500	13,260	12,760
11	14,300	10,175	10,175	9,537	10,714	9,900	9,075	16,500	11,550	11,550	10,175	10,175	11,550	14,586	14,036
12	15,600	11,100	11,100	10,404	11,688	10,800	9,900	18,000	12,600	12,600	11,100	11,100	12,600	15,912	15,312
13	16,900	12,025	12,025	11,271	12,662	11,700	10,725	19,500	13,650	13,650	12,025	12,025	13,650	17,238	16,588

Note: The University also offers an Executive MBA program at \$90,000

UNIVERSITY OF CONNECTICUT
Fee Summary - Non-mandatory Tier II

	<u>FY2021</u>	<u>FY2022</u>	<u>\$ Change</u>	<u>% Change</u>	
Acceptance Fees					
Enrollment Deposit	\$ 300	\$ 400	\$ 100	0.0%	Enrollment deposit to \$400 (will not be posted on fee bill)
Law (day and evening)	\$ 250	\$ 250	\$ -	0.0%	Law School charges incoming JD students two separate \$250 seat deposits for a total of \$500
Law LLM	\$ 500	\$ 500	\$ -	0.0%	
Law SJD	\$ 500	\$ 500	\$ -	0.0%	
Executive MBA	\$ 1,800	\$ 1,800	\$ -	0.0%	
Full-time MBA	\$ 500	\$ 500	\$ -	0.0%	
Business BAPM	\$ 500	\$ 500	\$ -	0.0%	
Business MDFRM	\$ 500	\$ 500	\$ -	0.0%	
Certification in Risk Management	\$ 500	\$ 500	\$ -	0.0%	
Business MS HR Management	\$ 500	\$ 500	\$ -	0.0%	
Business ABC HR Management	\$ 100	\$ 100	\$ -	0.0%	
Social Work (MS)	\$ 60	\$ 60	\$ -	0.0%	
Doctor of Physical Therapy	\$ 1,000	\$ 1,000	\$ -	0.0%	
Nursing (MS)	\$ 1,000	\$ 1,000	\$ -	0.0%	
Nursing (MD/DMP)	\$ 1,000	\$ 1,000	\$ -	0.0%	
Nursing (DNP)	\$ 1,000	\$ 1,000	\$ -	0.0%	
Nursing (PhD)	\$ 1,000	\$ 1,000	\$ -	0.0%	
Nursing (CEIN)	\$ 1,000	\$ 1,000	\$ -	0.0%	
Activity Fee					
Storrs Graduate	\$ 16	\$ 16	\$ -	0.0%	
Law (day and evening)	\$ 82	\$ 82	\$ -	0.0%	
Law LLM	\$ 82	\$ 82	\$ -	0.0%	
Social Work	\$ 25	\$ 25	\$ -	0.0%	
Summer Session (undergrad/graduate)	\$ 16	\$ 16	\$ -	0.0%	
Full-time MBA	\$ 16	\$ 16	\$ -	0.0%	
Application Fee					
Storrs Undergraduate	\$ 80	\$ 80	\$ -	0.0%	
Regionals Undergraduate	\$ 80	\$ 80	\$ -	0.0%	
Law (day and evening)	\$ 60	\$ 60	\$ -	0.0%	
Law SJD	\$ 100	\$ 100	\$ -	0.0%	
Law LLM	\$ 75	\$ 75	\$ -	0.0%	
Social Work	\$ 55	\$ 55	\$ -	0.0%	
BGS	\$ 95	\$ 95	\$ -	0.0%	
Graduate	\$ 75	\$ 75	\$ -	0.0%	
Study Abroad	\$ 25	\$ 25	\$ -	0.0%	
Bad Check Charge	\$ 25	\$ 25	\$ -	0.0%	
Continuous Registration Fee					
Storrs Campus & Law Students	\$ 400	\$ 400	\$ -	0.0%	
Regional Campus Students	\$ 100	\$ 100	\$ -	0.0%	
Course Credit by Exam - Storrs	\$ 10	\$ 10	\$ -	0.0%	
German Section Admin Charge (summer)	\$ 350	\$ 350	\$ -	0.0%	
ID Card Replacement	\$ 30	\$ 30	\$ -	0.0%	
Late Fee					
Storrs Undergrad	\$ 150	\$ 150	\$ -	0.0%	Additional \$150 after add/drop period
Storrs Graduate, MBA (per day)	\$ 150	\$ 150	\$ -	0.0%	Additional \$150 after add/drop period
Law (per day)	\$ 150	\$ 150	\$ -	0.0%	Additional \$150 after add/drop period
Social Work Step	\$ 150	\$ 150	\$ -	0.0%	Additional \$150 after add/drop period
Social Work	\$ 150	\$ 150	\$ -	0.0%	Additional \$150 after add/drop period
Materials Fees - Majors (per semester)					
Post-Baccalaureate Certificate in Pre-Medicine / Dentistry	\$ 1,500	\$ 1,500	\$ -	0.0%	

UNIVERSITY OF CONNECTICUT
Fee Summary - Non-mandatory Tier II

	<u>FY2021</u>	<u>FY2022</u>	<u>\$ Change</u>	<u>% Change</u>
Parking Decal (Temporary) Storrs, MBA	\$ 2	\$ 2	\$ -	0.0%
Parking Decal (Replacement) Storrs, MBA	\$ 10	\$ 10	\$ -	0.0%
Parking Fees - Commuters				
Storrs	\$72 - \$188	\$72 - \$188	\$ -	0.0%
Regional Campuses				
Law School				
Garages	\$ 440	\$ 440	\$ -	0.0%
Parking Fees				
Graduate Assistants - Storrs	\$72 - \$188	\$72 - \$188	\$ -	0.0%
Residents	\$72 - \$188	\$72 - \$188	\$ -	0.0%
Summer	\$ 10	\$ 10	\$ -	0.0%
'C' Lot Storage/Remote	\$ 48	\$ 48	\$ -	0.0%
Ratcliffe Hicks Degree Process (One-time)	\$ 300	\$ 300	\$ -	0.0%
Reinstatement Fee				
Storrs - Graduate & MBA	\$ 65	\$ 65	\$ -	0.0%
Law	\$ 10	\$ 10	\$ -	0.0%
Senior Citizen Audit Fee - Credit Ext.	\$ 15	\$ 15	\$ -	0.0%
Social Work Enrollment Fee Step Program	\$ 20	\$ 20	\$ -	0.0%
Study Abroad - undergrad/one-time	\$ 475	\$ 475	\$ -	0.0%
Study Abroad - Law School/one-time	\$ 475	\$ 475	\$ -	0.0%
Summer Enrollment Fee				
Degree	\$ 45	\$ 45	\$ -	0.0%
Non-Degree	\$ 65	\$ 65	\$ -	0.0%
UconnPIRG (optional)				
Storrs	\$ 5	\$ 5	\$ -	0.0%
VISA Compliance Fee	\$ 700	\$ 700	\$ -	0.0%

J-1 and F-1 Visa Holders. Waived for Graduate Assistants

University of Connecticut
Summary of Recommended adjustments to Housing and Dining Rates

Storrs Campus Rates				
Rate	Room Type	FY21	FY22 Proposed	Dollar Increase
Rate 1	Regular Double	\$7,238	\$7,238	
Rate 1	Triple Traditional Residence Hall	\$7,238	\$7,238	
Rate 1	Quad Four Person Room	\$7,238	\$7,238	\$0
Rate 1	Northwood Apartments (Double in 2 Bedroom/3 Person)	\$7,238	\$7,238	
Rate 2	NextGen Hall Double (new)	\$7,422	\$7,422	\$0
Rate 3	Busby/Garrigus Suites Triples	\$7,956	\$7,956	
Rate 3	Nathan Hale Inn Triple	\$7,956	\$7,956	\$0
Rate 4	Busby/Garrigus/South Suites Double	\$8,868	\$8,868	
Rate 4	Husky Village	\$8,868	\$8,868	
Rate 4	Mansfield Apartments	\$8,868	\$8,868	
Rate 4	Northwood Apartments (Single in 2 Bed/2 Person)	\$8,868	\$8,868	\$0
Rate 4	Regular Single	\$8,868	\$8,868	
Rate 4	Shippee C Section	\$8,868	\$8,868	
Rate 5	NextGen Hall Single (new)	\$9,006	\$9,006	\$0
Rate 6	Busby/Garrigus/South Suites Single	\$9,452	\$9,452	
Rate 6	Charter Oak/Hilltop Apartments 2 Bedroom/4 Person	\$9,452	\$9,452	\$0
Rate 6	Hilltop Apartments Double Efficiency	\$9,452	\$9,452	
Rate 7	Charter Oak/Hilltop Apartments 4 Bedroom/4 Person	\$12,194	\$12,194	\$0
Rate 8	Charter Oak/Hilltop Apartments – 2 Bedroom/2 Person (new)	\$14,130	\$14,130	\$0

Stamford Campus Rates - Board not required				
Rate	Room Type	FY21	FY22 Proposed	Dollar Increase
Stamford Rate 1	Standard Shared Bedroom	\$10,554	\$10,554	\$0
Stamford Rate 2	Premium Shared Bedroom	\$12,800	\$12,800	\$0
Stamford Rate 3	Penthouse Shared Bedroom	\$13,368	\$13,368	\$0


Storrs Campus Dining Rates				
Rate	Room Type	FY21	FY22 Proposed	Dollar Increase
Rate 1	Ultimate	\$6,308	\$6,308	\$0
Rate 2	Value	\$6,020	\$6,020	\$0
Rate 3	Custom	\$5,710	\$5,710	\$0


ATTACHMENT 28



June 30, 2021

TO: Members of the Board of Trustees

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

Carl Lejuez 
Provost and Executive Vice President for Academic Affairs

RE: Fiscal Year 2022 Academic Program and Course Fees for the University of Connecticut, Storrs and Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve a schedule of specific academic program and course fee adjustments for Fiscal Year 2022.

RESOLUTION:

“Be it resolved that the University’s Academic Program and Course Fees for Fiscal Year 2022 shall be set according to the attached Rate Schedule.”

BACKGROUND:

Academic Program fees include specific program or course fees and are approved by a committee led by the Provost's Office. Academic Program fees are applied to all students within a specific program. The majority of program fees are from self-supporting programs that are at the graduate level.

See attached for the summary of recommended rate adjustments and rationale by academic program.

University of Connecticut (Storrs & Regional Campuses)
 Summary of Recommended Adjustments to Academic Program Fees
 Fiscal Year 2022

Rates are Per Credit Hour	FY 2021	FY 2022 Proposed	Dollar Increase
<u>College of Liberal Arts and Sciences</u>			
Leadership and Public Management Certificate	\$825	\$900	\$75
Online Graduate Certificate in Nonprofit Management	\$825	\$900	\$75
Master of Public Administration Fellows Program	\$825	\$900	\$75
Survey Research – MA and Graduate Certificate	\$825	\$900	\$75
<u>School of Business</u>			
Part Time MBA	\$975	\$1,050	\$75
MS in Business Analytics & Project Management	\$975	\$1,050	\$75
MS in Human Resource Management	\$975	\$1,050	\$75
MS Financial Risk Management	\$1,425	\$1,500	\$75
MS in Accounting	\$875	\$925	\$50
Certificates in Accounting Fundamentals and Accounting Analytics	\$875	\$925	\$50
Other Certificates	\$975	\$1,050	\$75
<u>School of Nursing</u>			
Certificate Entry in Nursing BS	\$810	\$867	\$57
<u>School of Law</u>			
LL.M. Programs	\$1,215	\$1,276	\$61

FEE BASED PROGRAMS

College of Liberal Arts and Sciences

Leadership and Public Management Graduate Certificate

Online Graduate Certificate in Nonprofit Management

Master of Public Administration Fellows Program

Survey Research – MA and Graduate Certificate

Recommendation: To approve a fee increase from \$825/credit to \$900/credit (9%).

Justification: These programs have not increased program fees in at least five years. The proposed fee increases cover related program costs, primarily program administration and instructional costs. The total program fees remains competitive as compared to peer programs and the graduate tuition per credit rate.

School of Business

MS in Accounting

Accounting Fundamentals Certificate

Advanced Business Certificate in Accounting Analytics

Recommendation: To approve a fee increase from \$875/credit to \$925/credit (5.7%).

Justification: An increase in program fees is necessary to deliver quality programs and offset reductions in university funding. Direct expenses to deliver programs are increasing to improve the quality of teaching faculty, enhance programmatic support, enhance marketing and recruitment efforts, and hire skilled faculty and staff. The proposed increases result in program fees that remain competitive with peer institutions.

MS in Financial Risk Management

Recommendation: To approve a fee increase from \$1,425/credit to \$1,500/credit (5.3%).

Justification: An increase in program fees is necessary to deliver quality programs and offset reductions in university funding. This program has a higher cost to deliver because it uses industry specialists to supplement classroom learning with real-world projects. Direct expenses to deliver programs are increasing to improve the quality of teaching faculty, enhance programmatic support, enhance marketing and recruitment efforts, and hire skilled faculty and staff. The proposed increases result in program fees that remain competitive with peer institutions.

Part-time MBA

MS in Business Analytics & Project Management

MS in Human Resource Management

All Other Graduate Certificates

Recommendation: To approve a fee increase from \$975/credit to \$1,050/credit (7.7%).

Justification: An increase in program fees is necessary to deliver quality programs and offset reductions in university funding. Direct expenses to deliver programs are increasing to improve the quality of teaching faculty, enhance programmatic support, enhance marketing and recruitment efforts, and hire skilled faculty and staff. The proposed increases result in program fees that remain competitive with peer institutions.

School of Nursing

Certificate Entry into Nursing BS Program Fee

Recommendation: To approve an increase of 7% to the CEIN_BS program fee. This would result in a total program fee increase from \$34,650 to \$39,000 for the cohort entering in January 2022. The proposed fee equates to \$867 per credit.

Justification: The cost to administer this program continues to increase due to increasing salaries for regular and adjunct faculty salaries. Clinical agencies are now requiring clinical group faculty/student ratios to move from 1:8 to 1:6, increasing the number of faculty needed to administer the program. Additional programming expenses are required to meet compliance requirements.

School of Law

LL.M. – U.S. Legal Studies, Energy & Environmental Law, Human Rights & Social Justice Law, and Executive LLM

Recommendation: To approve a fee increase from \$1,215/credit to \$1,276/credit (5%).

Justification: The proposed fee covers increases in personnel costs to administer the program, additional programming costs such as marketing and recruitment, and supports student scholarships. The total program fee remains competitive as compared to peers.

ATTACHMENT 29



June 30, 2021

TO: Members of the Board of Trustees

FROM: David Benedict,
Director of Athletics

RE: Adoption of Policy for Student Athlete's Name, Image, and Likeness Pursuant to
Public Act No. 21-132

RECOMMENDATION:

That the Board of Trustees adopt a policy, pursuant to Public Act No. 21-132, to permit student-athletes to (1) earn compensation through an endorsement contract or employment in an activity unrelated to an intercollegiate athletic program and (2) obtain legal or professional representation of an attorney or sports agent through a written agreement, provided that in each case, the student-athlete complies with the terms and conditions of the policy and applicable law.

RESOLUTION:

“Be it resolved that the attached policy be approved and become effective July 12, 2021.”

BACKGROUND:

Connecticut Public Act No. 21-132 requires each Connecticut institution of higher education to adopt a policy that permits student-athletes to (1) earn compensation through an endorsement contract or employment in an activity unrelated to an intercollegiate athletic program and (2) obtain legal or professional representation of an attorney or sports agent through a written agreement, provided that the student-athlete complies with the terms and conditions of the institution's policy and applicable law. Starting July 1, 2021, numerous institutions in multiple states will begin permitting their student-athletes to engage in the same activities. It is important that UConn student-athletes also have the ability to engage in these activities starting this July.

Policy Number	
Title	University Policy for Student Athlete's Name, Image, and Likeness
Policy Owner	Athletics
Applies to	All Student Athletes and University Employees
Campus Applicability	All Campuses
Effective Date	July 12, 2021
For More Information Contact	David Benedict, Director of Athletics
Contact Information	(860) 486-2725

REASON FOR POLICY

To establish a policy pursuant to which University of Connecticut ("University") student-athletes are permitted by the University to (1) earn compensation through an endorsement contract or employment in an activity unrelated to an intercollegiate athletic program; and (2) obtain legal or professional representation of an attorney or sports agent through a written agreement, provided that in each case, the student-athlete complies with the terms and conditions of this policy and applicable law.

APPLIES TO

All student-athletes and University Employees.

DEFINITIONS

Athletics booster means a person who directly contributes to a University athletic program.

Compensation means the receipt, whether directly or indirectly, of any cryptocurrency, money, goods, services, other items of value, in kind contributions and any other form of payment or remuneration.

Endorsement contract means a written agreement under which a student-athlete is employed or receives compensation for the use by another party of such student-athlete's person, name, image or likeness in the promotion of any product, service or event.

Intercollegiate athletic program means a program at the University for sports played at the collegiate level for which eligibility requirements for participation by a student-athlete are established by a national association for the promotion or regulation of college athletics.

NCAA means the National Collegiate Athletic Association or its successor.

Official team activities means all games, practices, exhibitions, scrimmages, team appearances, team photograph sessions, sports camps sponsored by the University and other team-organized activities, including, but not limited to, photograph sessions, news media interviews, and other related activities as specified by the University.

Prohibited endorsements means receipt of compensation by, or employment of, a student-athlete for use of the student-athlete's person, name, image or likeness ("NIL") in association with any product, category of companies, brands, or types of endorsement contracts that are: (1) prohibited by law; (2) prohibited by this policy; or (3) prohibited under the applicable University procedures adopted in accordance with this policy.

Sports agent means a duly licensed person who negotiates or solicits a contract on behalf of a student-athlete in accordance with the Sports Agent Responsibility and Trust Act, 15 USC 7801, et seq., as amended from time to time.

Student-athlete means a student enrolled at the University who participates in an intercollegiate athletic program.

University marks means the name, logo, trademarks, mascot, unique colors, copyrights and other defining insignia of the University.

POLICY STATEMENT

The University shall permit its student-athletes to (1) earn compensation through an endorsement contract or employment in an activity unrelated to an intercollegiate athletic program and (2) obtain legal or professional representation of an attorney or sports agent through a written agreement, provided that the student-athlete complies with this policy and applicable law.

I. Agreements for Representation by a Sports Agent or an Attorney

- a. A student-athlete may only enter into an agreement for representation with a sports agent if the student-athlete submits a copy of the agreement to the University.
- b. A student-athlete may only enter into an agreement for representation with an attorney if the student-athlete submits a copy of the agreement to the University.

II. Endorsement Contracts and Agreements for Employment Activities

A student-athlete may only enter into an endorsement contract or agreement for other employment activities if:

- a. the student-athlete discloses the existence of the agreement to the University;
- b. the student-athlete submits a copy of the agreement to the University prior to the student-athlete performing any activity or service under the agreement;
- c. the agreement, or any portion thereof, does not conflict with the provisions of any agreement to which the University is a party. In the event that a potential conflict is identified, the University shall disclose to the student-athlete or the student-athlete's attorney or sports agent the provisions of the University agreement that are in conflict; and
- d. the agreement does not require the student-athlete to participate or engage in any activity prohibited by Section III of this policy.

III. Prohibitions

- a. Student-athletes are prohibited from using or consenting to the use of any University marks when performing any services or activity associated with an endorsement contract or employment activity.
- b. Student-athletes are prohibited from performing any service or activity associated with an endorsement contract or employment activity that interferes with any official team activities or academic obligations.
- c. University staff members are prohibited from creating or facilitating endorsement contracts for a student-athlete or providing compensation themselves to a student-athlete.
- d. University employees, students, and athletic boosters are prohibited from creating or facilitating NIL compensation opportunities for prospective student-athletes as a recruiting inducement or current student-athlete as an inducement to remain enrolled at the University.
- e. University athletic boosters are prohibited from creating or facilitating NIL compensation opportunities for current or prospective student-athletes.
- f. Student-athletes are prohibited from receiving compensation from, entering into an endorsement contract with, and/or otherwise engaging in an employment activity with companies, brands, products, conduct, and/or entertainment prohibited under University procedures adopted in accordance with this policy.

IV. Procedures

The President or the President's designee may adopt procedures concerning the implementation of this policy.

ENFORCEMENT

Violations of this Policy may result in appropriate disciplinary measures in accordance with state law, University Laws and By-Laws, and Division of Athletics Student Athlete Handbook.

INFORMATIONAL ITEMS

**University of Connecticut Department of Human Resources
Hires Processed from April 12, 2021 to June 07, 2021
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Ayers, Sarah A	Academic Asst 1	Environmental Sci and Engr Ctr	6/4/2021
Bourassa, Tracy	University Director	Sponsored Programs	6/4/2021
Campbell, Abigail J	Admin Program Support 1	Graduate Education	5/21/2021
Cleary, Colin M	Postdoctoral Research Assoc	Physiology and Neurobiology	5/7/2021
Harkness, Joseph	Data Analyst 2	Research	6/4/2021
Harris, Rashonda D	University Director	Sponsored Programs	5/7/2021
Hayward, Timothy B	Postdoctoral Research Assoc	Physics	4/23/2021
Hinton, Robert C	Senior Admin Program Support	Sponsored Programs	5/7/2021
Hubbard, Daniel C	Asst Mngr Ath Equip Facilities	Athletics Equipment Center	6/4/2021
Koslouski, Jessica B	Postdoctoral Research Assoc	Educational Psychology	6/4/2021
Krogstad, Emily A	Asst Research Professor	InCHIP	5/21/2021
Lowry, Devyn W	Computer Support Specialist 2	Campus Technology Services	5/7/2021
Lussier-Smith, Liane I	Ed Program Administrator	Social Work Instruct and Rsrch	5/21/2021
Mindek, Joshua P	Computer Support Technician 2	Campus Technology Services	6/4/2021
Murray, Luke	Asst Coach (Specialist IA)	Athletics MI Basketball	5/7/2021
Ouellette, Evaline S	Grants and Contracts Assistant	CLAS Grant Management	5/21/2021
Roberts, Gavin J	Specialist IA	Athletics MI Basketball	6/1/2021
Shaw, Jessica S	Postdoctoral Research Assoc	Marine Sciences	6/4/2021
Simmons, Jennifer A	Admin Program Support 1	Mechanical Engineering	5/7/2021
Simon, Kyle	Postdoctoral Research Assoc	InCHIP	6/4/2021
Thompkins, Quantavious B	Specialist IA	Athletics Strength Center	5/21/2021
Troy, Haley B	Research Asst 2	InCHIP	5/21/2021
Valley, Morgan	Specialist IA	Athletics WI Basketball	4/23/2021

**University of Connecticut Department of Human Resources
Hires Processed from April 12, 2021 to June 07, 2021
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Wohl, John N	Research Asst 2	CT Advanced Computing Center	5/21/2021
Wyse, Alicia D	Admin Program Support 2	Engineering	6/4/2021
Yang, Xin	Postdoctoral Research Assoc	Biomedical Engineering	4/23/2021
Zoli, Corrinne	Research Scholar	International Studies Assoc	6/4/2021

**University of Connecticut Department of Human Resources
 Separations Processed from April 12, 2021 to June 07, 2021
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Baez-Fajardo, Johanny V	Admissions Officer 2	Separation	Admissions	5/7/2021
Bradley, James P	U Staff Professional 4	Separation	Construction Assurance	4/3/2021
Brine, Erik	U Staff Professional 3	Separation	Engineering	5/8/2021
Canela, Juan E	Computer Support Specialist 1	Separation	Student Affairs Info Tech	5/1/2021
Champagne, Griselda	Ed Program Administrator	Separation	CT Small Bus Development Ctr	5/7/2021
Cornell, Debra	Dining Serv Area Asst Manager	Retirement	Dining Services	4/1/2021
Crystal-Thurston, Bryan R	Data Analyst 1	Separation	Nursing-UConn AIMS	4/3/2021
Dalia, Walter	Procurement Specialist 1	Retirement	Procurement Services	5/1/2021
Deans, Jill	Academic Advisor 1	Separation	CAHNR Acad Prog	3/26/2021
Gallo, Gregory J	U Staff Prof III & Director	Retirement	Tech Comm and Industry Rltns	5/1/2021
Gile, Maryann	Data Administrator 2	Retirement	Enterprise Applications	4/1/2021
Gordon, Jason M	Student Services Program Admin	Separation	Enrichment Programs	4/8/2021
Goss, Katherine	U Staff Professional 2	Retirement	Audit and Mgmt Advisory Svcs	4/1/2021
Guay-Richards, Patricia J	Facilities Manager 1	Retirement	FO Custodial Services	4/1/2021
Huo, Jindong	Postdoctoral Research Assoc	Separation	Materials Science Institute	5/7/2021
Kask, Virge A	Senior Graphic Designer	Retirement	Liberal Arts and Sciences	4/1/2021
Kuhl, John	Dining Services Manager 2	Retirement	Dining Services	4/1/2021
Leonard, Jessica L	Research Asst 2	Separation	Educational Psychology	4/10/2021
Levesque, Kyle M	Grants and Contracts Spec	Separation	Sponsored Programs	5/15/2021
Lozano Salazar, Lia I	Research Asst 1	Separation	Pharmaceutical Science	5/5/2021
McPherson, Latoya B	Admin Program Manager 1	Separation	Sponsored Programs	4/9/2021
Mishra, Avantika	Data Analyst 1	Separation	Nursing-UConn AIMS	4/3/2021
Mohammad Mirzai, Nadia	Postdoctoral Research Assoc	Separation	CT Transportation Institute	5/17/2021

**University of Connecticut Department of Human Resources
 Separations Processed from April 12, 2021 to June 07, 2021
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Napolitano, Kristi A	U Ed Asst 2	Separation	Provost Academic Affairs	5/1/2021
Parker, Andrew	Asst Coach (Specialist IA)	Separation	Athletics MI Soccer	4/17/2021
Parker, Julia K	Specialist IA	Separation	Athletics WI Ice Hockey	5/7/2021
Perusse, Rachelle	Assoc Professor	Retirement	Educational Psychology	5/1/2021
Petro, Jennifer L	Psychologist	Separation	Student Health and Wellness	4/16/2021
Pierce, C D	Dept Head Student Affairs	Retirement	Dining Services	5/1/2021
Pollard, Katherine	Admin Program Support 2	Retirement	Avery Point Campus	4/1/2021
Ralph, Shea	Specialist IA	Separation	Athletics WI Basketball	4/13/2021
Randall, Ann C	U Ed Asst 2	Retirement	Institutional Equity	5/1/2021
Rehfeldt, Michael	Specialist IA	Separation	Athletics MI Basketball	4/30/2021
Rizzi, Marlys J	Ed Program Administrator	Retirement	Stamford PMBA	5/1/2021
Robinson-Smey, Pamela J	U Ed Asst 1	Retirement	Enrollment Planning and Mgmt	4/1/2021
Roper, Wayne R	Postdoctoral Research Assoc	Separation	Plant Sci and Landscape Arch	4/24/2021
Schulz, Krista L	Computer Support Specialist 1	Retirement	Student Affairs Info Tech	5/1/2021
West Rogers, Melina J	Postdoctoral Research Assoc	Separation	Psychological Sciences	4/13/2021
Wilder, Aliza	Executive Director	Retirement	Human Resources	4/1/2021
Yu, Binyu	Postdoctoral Research Assoc	Separation	Materials Science Institute	4/12/2021
Zhao, Yunmei	Postdoctoral Research Assoc	Separation	Materials Science Institute	3/1/2021

**University of Connecticut Department of Human Resources
 Leaves of Absence Processed through 06/11/21
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY
			START	END		STATUS
Ryan, Amanda	Visiting Assistant Extension Educator	Dept of Extension Middlesex	2/11/2021	3/24/2021	Maternity	Unpaid
Ryan, Amanda	Visiting Assistant Extension Educator	Dept of Extension Middlesex	3/25/2021	5/11/2021	Bonding	Unpaid
Janton, Susan	Research Asst 1	Molecular and Cell Biology	5/3/2021	6/1/2021	Medical	Unpaid

COMMITTEE AGENDAS

AGENDA
Meeting of the
BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE
June 15, 2021 at 10:00 a.m.
University of Connecticut

Meeting held by Telephone

Public Call In Number:
(415) 655-0002 US Toll
Access Code: 629 930 823

Livestream: <https://ait.uconn.edu/bot>

(A recording of the meeting will be posted on the Board website <https://boardoftrustees.uconn.edu/> within seven days of the meeting.)

Call to order at **10:00 a.m.**

1. Public Participation *

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, you must submit a request in writing 30 minutes prior to the start of the meeting (by 9:30 a.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

APPROVAL ITEMS:

TAB

- | | |
|--|---|
| 2. Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of April 13, 2021, as circulated. | 1 |
|--|---|

PRESENTATION/DISCUSSION ITEMS:

- | | |
|---|---|
| 3. Office of Construction Assurance
➤ Frank LaRosa, Associate Vice President and Chief Audit Executive | 2 |
| 4. Fiscal Year 2022 Capital Budget <i>[Info-No Vote]</i>
➤ Presenter: Scott Jordan, Executive Vice President for Administration and Chief Financial Officer | 3 |
| 5. Project Updates ~ Storrs Based Programs
➤ Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction <ul style="list-style-type: none">● Field House – Old Recreation Center Project● South Campus Residence Hall | 4 |

TAB

- 6. Proposal for Bergin (*preliminary*) 5
- 7. Proposal for Connected and Automated Vehicle Test Track (*preliminary*) 6
- 8. Proposal for Living Building Initiative (*preliminary*) 7
- 9. UConn Health Updates, Facilities Development and Operations 8
 - Presenter: Thomas Trutter, Vice President for UConn Health Facilities Development & Operations

10. Projects Reviewed by BGE and to be presented to Financial Affairs on 6/30/21:

<u>STORRS BASED PROGRAMS</u>	<u>Phase</u>	<u>Budget</u>	
George J. Sherman Family Sports Complex Track Resurfacing	Final	\$763,000	9
North and South Parking Garages Restoration, Phase 2	Final	\$1,000,000	10
Werth Family Basketball Champions Center Hall of Fame	Revised Final	\$3,537,000	11
<u>UCONN HEALTH</u>			
Musculoskeletal Institute Building (MSI) Roof Top Unit Replacement	Revised Final	\$1,762,500	12

INFORMATION ITEMS:

- 11. Status of Code Correction Projects
 - Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report 13
 - Quarterly Construction Status Report, Period Ending March 31, 2021
https://updc.uconn.edu/wp-content/uploads/sites/1525/2021/04/UConn_Quarterly_Construction_Status_Report_03312021_web.pdf
- 12. Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) 14
- 13. Construction Projects Status Report ~ as of April 28, 2021
<https://budget.uconn.edu/construction-status-reports/>
- 14. Other Business
- 15. Executive Session (*As Needed*)
- 16. Adjournment

SPECIAL JOINT TELEPHONE MEETING

UNIVERSITY OF CONNECTICUT BOARD OF TRUSTEES COMMITTEES FOR DIVERSITY, EQUITY and INCLUSION and STUDENT LIFE

AGENDA

Meeting held by Telephone

May 17, 2021

Public Call-in Number:
(415) 655-0002 US Toll
Access Code: 120 059 0579

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

Call to order at **11:00 a.m.**

1. Public Participation (limited to agenda items)*

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing 30 minutes prior to the start of the meeting (by 10:30 a.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your *name, telephone number, and topic on the agenda* to be discussed. Per the University By-Laws, the Committee Vice-Chair may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Committee.

2. Student Leaders Reflections and Recommendations

3. Executive Session (as needed)

4. 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
Special Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 14, 2021 at 3:00 p.m.
University of Connecticut
Conference Call

Meeting held by Telephone

Public Access Link:
<http://ait.uconn.edu/bot>

Public Call-In Number:
(415) 655-0002 US Toll
Access Code: 629 930 823

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

1) Public Participation (limited to agenda items)*

** If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing 30 minutes prior to the start of the meeting (by 2:30 p.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Committee.*

PRESENTATION ITEM:

TAB

2) FY22 Budget Presentation 1

ACTION ITEMS:

3) Fiscal Year 2022 Spending Plan for the University of Connecticut,
Storrs & Regional Campuses 2

4) Fiscal Year 2022 Spending Plan for UConn Health 3

5) Fiscal Year 2022 Tuition and Fees for the University of Connecticut,
Storrs and Regional Campuses 4

6) Fiscal Year 2022 Academic Program and Course Fees for the
University of Connecticut, Storrs and Regional Campuses 5

7) Fiscal Year 2022 Capital Budget for the University of Connecticut,
Storrs and Regional Campuses 6

8) Fiscal Year 2022 Capital Budget for UConn Health 7

EXECUTIVE SESSION *(As Needed)*

Telephone Meeting

**University of Connecticut Board of Trustees
Institutional Advancement Committee**

Tuesday, June 22, 2021 at 1:00 p.m.

AGENDA

Meeting held by Telephone

Public Call-In Number:
(415) 655-0002 US Toll
Access Code: 629 930 823

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

1. Public Participation*.....Dr. Dennis-LaVigne
*If members of the public wish to address the Committee during the Public Participation portion of the meeting, you must submit a request in writing 30 minutes prior to the start of the meeting (by 12:30 p.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.
2. Acceptance of April 20, 2021 Meeting Minutes.....Dr. Dennis-LaVigne
Attachment 1
3. Naming Recommendation.....Mr. Roberts
Attachment 2
 - Carole and Ray Neag Innovation Professorship
4. Proposed Statement of Work for the UConn Foundation for Fiscal Year 2022.....Mr. Jordan
Attachment 3
5. Legislative Update.....Ms. Lombardo
6. UConn Foundation / Alumni / Communications Update.....Mr. Roberts & Ms. Cotton Kelly
7. University Communications Update.....Mr. Kirk
8. Other Business
9. Executive Session (as needed)
10. Adjournment

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting

June 10, 2021

Agenda

10:00 am – 11:00 am - Executive Session / 11:00 am – 12:00 pm - Public Session

Meeting held by Webex: <https://uconn-cmr.webex.com/j.php?MTID=me9797fe21b1d81a35be067e98cecaea9>

(Note: this meeting will be recorded)

Topic	Proposed Action	Attachment
Call to Order 10am		
Executive Session Anticipated	Review	None
GENERAL		
1. General		
<ul style="list-style-type: none"> • Opportunity for Public Comments* 		None
<ul style="list-style-type: none"> • Minutes of the March 4, 2021 JACC Meeting 	Approval	1.1
<ul style="list-style-type: none"> • Minutes of the April 30, 2021 JACC Meeting 	Approval	1.2
AUDIT		
2. External Audit Activities		
<ul style="list-style-type: none"> • Status of External Audit Engagements 	Update	2.1
<ul style="list-style-type: none"> • Marcum LLP- FY21 Fee Increase 	Approval	2.2
<ul style="list-style-type: none"> • UConn John Dempsey Hospital’s Annual 340B Independent Audit 	Presentation	2.3
<ul style="list-style-type: none"> • UConn Ryan White Annual 340B Independent Audit 	Presentation	2.4
<ul style="list-style-type: none"> • Auditors of Public Accounts UConn Departmental Audit for the FYs 2016, 2017 and 2018 	Presentation	2.5
3. Significant Internal Audit Activities		
<ul style="list-style-type: none"> • Status of Audits 	Update	3.1
<ul style="list-style-type: none"> • Status of Audit Findings 	Update	3.2
COMPLIANCE		
4. Compliance Activities		
<ul style="list-style-type: none"> • Significant Compliance Activities 	Update	4.1
<ul style="list-style-type: none"> • Office of Healthcare Compliance and Privacy 	Presentation	4.2
<ul style="list-style-type: none"> • Informational/Educational Items 	Informational	4.3
INFORMATION TECHNOLOGY		
5. Information Technology Update		
<ul style="list-style-type: none"> • UConn Health 	Update	5.1
<ul style="list-style-type: none"> • UConn 	Update	5.2
CLOSING		
6. Conclusion of Full Meeting		

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, you must submit a request in writing 30 minutes prior to the start of the meeting (by 9:30 a.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your **name, telephone number, and topic** to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

Special Telephone Meeting

University of Connecticut Board of Trustees Committee for Research, Entrepreneurship and Innovation

Tuesday, June 29, 2021

Meeting held by Telephone:

Public Call in #: (415) 655-0002 US Toll
Access Code: 629 930 823

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

AGENDA

Call to order at **3:00 p.m.**

1. Public Participation (limited to agenda items) *

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing 30 minutes prior to the start of the meeting by 2:30 p.m. to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic on the agenda to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Committee.

ACTION ITEM:

2. Approval of the minutes of the Special Meeting of the Research, Entrepreneurship and Innovation Committee Meeting of February 15, 2021.

PRESENTATION/DISCUSSION ITEMS:

3. Opening Remarks – Dr. Philip Rubin
4. Updates and Why Climate Research is Timely for UConn – Dr. Radenka Maric, Vice President for Research, Innovation & Entrepreneurship
5. Climate Research Venture Studio – Dr. Abhijit Banerjee, Associate Vice President for Research, Innovation & Entrepreneurship and Stephen Plumlee, Vice Chairman R/GA, Managing Partner R/GA Ventures
6. Climate Research Initiative Presentation – Dr. Leslie Shor, Dr. Kumar Venkitanarayanan, Dr. Ofer Harel, Dr. Lisa Park-Boush
7. Closing Remarks
8. Executive Session (as needed)
9. Adjournment

Academic Affairs

AGENDA

Special Telephone Meeting
ACADEMIC AFFAIRS COMMITTEE
University of Connecticut
Wednesday, June 30, 2021
8:30 a.m.

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 120 212 5823

Public Access Link:

<http://ait.uconn.edu/bot>

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

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

1. Public Participation (limited to agenda items) *

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing 30 minutes prior to the start of the meeting (by 8:00 a.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

COMMITTEE ATTACHMENT

- | | |
|---|---|
| 1) Minutes of the Academic Affairs Committee Meeting of May 19, 2021, as circulated | A |
|---|---|

ACTION ITEMS:

- | | |
|--|---|
| 2) Promotion and Tenure | 4 |
| 3) Tenure at Hire | 5 |
| 4) Designation of Emeritus Status | 6 |
| 5) Sabbatical Leaves | 7 |
| 6) Appointment of Jiong Tang, PhD to the United Technologies Corporation Professor of Advanced Materials and Processing in the School of Engineering | 8 |
| 7) Appointment of Professor Jeffrey Cohen, PhD to the Kinnard Real Estate Scholar in the School of Business | 9 |

- 8) Appointment of Assistant Professor Alexander van De Minne, PhD as the Real Estate Faculty Fellow in the School of Business 10
- 9) Appointment of Professor Morgaen L. Donaldson, EdD to the Philip E. Austin Endowed Chair (*correction*) 11
- 10) Reappointment of Professor Joseph Golec, PhD to the Finance Department Distinguished Scholar in the School of Business (*correction*) 12
- 11) New Undergraduate Major in Robotics Engineering 13

INFORMATIONAL ITEMS:

- 1) Academic Program Inventory 16
- 2) Name change from the Rudd Center for Food Policy and Obesity to the Rudd Center for Food Policy and Health 17

PRESENTATIONS:

- 1) Professor Marlene Schwartz, Director of the Rudd Center for Food Policy & Obesity: Supporting Children's Health through Policy and Research
- 2) Academic Affairs Update, Carl Lejuez, Provost and Executive Vice President for Academic Affairs

Executive Session (as needed)

Adjournment

ATTACHMENT A

DRAFT MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE
May 19, 2021

Committee Trustees: Dennis-LaVigne, Fang, Gouin, and Rubin

Additional Trustees: Bessette, Boxer, Bunnell, Cantor, Cloud, Gandara, O'Connor, Pollard, Ritter, Toscano, and Werstler

University Senate: Bird, Boyer, Chafouleas, Fernandez, Polifroni, Pritchard, Seth, and Yalof

Staff: Agwunobi, Bradford, Fuerst, Gelston, Gilbert, Henderson, Jednak, Jordan, Katsouleas, Lejuez, Locke, Reitz, Rubin, Shoulson, and Weiner

Committee Chairwoman Gouin convened the meeting at 8:50 a.m. via phone call.

No public comment was volunteered on any of the agenda items.

On a motion by Trustee Dennis-LaVigne, seconded by Rubin, the minutes of the April 28, 2021, meeting was approved as circulated.

Provost Lejuez introduced *Action Item #2 Proposed Changes to the By-Laws of the University of Connecticut*. Moved by Trustee Rubin, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Provost Lejuez introduced *Action Item #3 Designation of Emeritus Status*. Moved by Trustee Dennis-LaVigne, seconded by Rubin, the Committee recommended approval to the full Board.

Provost Lejuez introduced *Action Item #4 Appointment of Professor Morgaen L. Donaldson, EdD to the Philip E. Austin Endowed Chair, Action Item #5 Appointment of Associate Professor Steven Utko, PhD to the Arthur Andersen, LLP Accounting Professorship in the School of Business, Action Item #6 Appointment of Professor Robert Fahey, PhD to the George F. Cloutier Professorship in Forestry in the College of Agriculture, Health & Natural Resources, Action Item #7 Reappointment of Professor Brenda Brueggemann, PhD to the Aetna Chair of Writing in the Department of English in the College of Liberal Arts and Sciences, and Action Item #8 Reappointment Professor Manisha Sinha, PhD to the James L. and Shirley A. Draper Chair in American History in the Department of History in the College of Liberal Arts and Sciences*. Moved by Trustee Dennis-LaVigne, seconded by Trustee Fang, the Committee recommended approval to the full Board.

Provost Lejuez introduced *Action Item #9 Graduate Certificate in Systems Genomics: Clinical Communication and Counseling*. Moved by Trustee Dennis-LaVigne, seconded by Trustee Rubin, the Committee recommended approval to the full Board.

Provost Lejuez shared *Informational Item #9, Academic Program Inventory* and *Informational Item #10 Centers and Institutes*.

Trustee Dennis-LaVigne called a motion to close the meeting, seconded by Trustee Fang. Chairwoman Gouin adjourned the meeting at 9:01 a.m.

Respectfully submitted,
Sarah K. Croucher
Committee Secretary

Financial Affairs

Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 30, 2021 at 9:00 a.m.
University of Connecticut
Conference Call

Meeting held by Telephone

Public Call-In Number:

415-655-0002 US Toll

Access Code: 120 212 5823

Public Access Link: <http://ait.uconn.edu/bot>

*(A recording of the meeting will be posted on the Board website
<https://boardoftrustees.uconn.edu/> within seven days of the meeting.)*

Call to order at **9:00 a.m.**

1) Public Participation *

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, you must submit a request in writing 30 minutes prior to the start of the meeting (by 8:30 a.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

ATTACHMENT

2) Executive Session (*As Needed*)

ACTION ITEMS:

- | | |
|---|----|
| 3) Approval of the Minutes of the Financial Affairs Committee Meetings of April 28, 2021 and June 14, 2021, as circulated | A |
| 4) Contracts and Agreements for Approval | 1 |
| 5) Travel and Entertainment Policy – Revised | 2 |
| 6) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2022 | 3 |
| 7) Twenty-Eighth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds | 19 |
| 8) Fiscal Year 2022 Capital Budget | 20 |

ACTION ITEMS (Continued):

CAPITAL PROJECT BUDGETS FOR APPROVAL:

	<u>STORRS BASED PROGRAMS</u>	<u>Phase</u>	<u>Budget</u>	<u>Attachment</u>
9)	George J. Sherman Family Sports Complex Track Resurfacing	Final	\$763,000	21
10)	Werth Family UConn Basketball Champions Center Dining	Final	\$1,268,000	22
11)	North and South Parking Garages Restoration, Phase 1 & 2	Revised Final	\$2,000,000	23
	<u>UCONN HEALTH</u>			
12)	Musculoskeletal Institute Building (MSI) Roof Top Unit Replacement	Revised Final	\$1,762,500	24
13)	Project Budget Map			B
14)	Capital Project Expenditure Report – All Funding Sources Fiscal Year 2021 as of May 31, 2021 https://budget.uconn.edu/wp-content/uploads/sites/1441/2021/06/Cap-Proj-Exp-Report-5-31-21.pdf			
15)	Construction Project Status Report – June 30, 2021 https://budget.uconn.edu/wp-content/uploads/sites/1441/2021/06/Construction-Status-Report-6.30.21.pdf			
16)	Other Business			
17)	Adjournment			

ATTACHMENT A

DRAFT MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE

University of Connecticut

Telephone Meeting

April 28, 2021

TRUSTEES PARTICIPATING: Andy Bessette, Mark Boxer, Charles Bunnell, Shari Cantor, Sanford Cloud, Jr., Andrea Dennis-LaVigne, Justin Fang, Marilda Gandara, Jeanine Gouin, David Lehman, Rebecca Lobo, Kevin O'Connor, Bryan Pollard, Thomas Ritter, Philip Rubin, Charlene Russell-Tucker, Daniel Toscano, and Ethan Werstler

STAFF PARTICIPATING: Andy Agwunobi, Lloyd Blanchard, Michael Bradford, Karen Buffkin, Debbie Carone, Sarah Croucher, Laura Cruickshank, Greg Daniels, Christopher Delello, Nathan Fuerst, Nicole Gelston, Jeffrey Geoghegan, Michael Gilbert, Kristi Henderson, Michael Jednak, Scott Jordan, Kent Holsinger, Thomas Katsouleas, Tysen Kendig, Gladis Kersaint, Michael Kirk, Kazem Kazerounian, Carl Lejuez, Susan Locke, Radenka Maric, Stephanie Reitz, Rachel Rubin, Jeffrey Shoulson, and Daniel Weiner

SENATE REPRESENTATIVES PARTICIPATING:

Robert Bird, Sandra Chafouleas, Carol Polifroni, Janet Pritchard, Anji Seth, Jaci Van Heest, and David Yalof

Vice-Chair Bessette convened the meeting of the Financial Affairs Committee via teleconference at 9:42 a.m. He asked for a roll call of Trustees and University Senate members and asked if there was anyone from the public who wished to speak.

A PowerPoint presentation entitled, “*Operating Budget Update for Storrs and Regional Campuses and UConn Health*” was detailed by Scott Jordan, Executive Vice President for Administration and Chief Financial Officer, Dr. Andy Agwunobi, Chief Executive Officer and Executive Vice President for UConn Health, and Jeffrey Geoghegan, UConn Health Chief Financial Officer.

Mr. Jordan presented agenda *Item #4, Contracts and Agreements for Approval*. On a motion by Trustee Cantor and seconded by Trustee Rubin, the item was recommended to the full Board for approval.

Trustee Bessette directed the Committee to agenda *Item #3, Approval of the Minutes of the Financial Affairs Committee Meetings of February 24, 2021 and March 15, 2021*. On a motion by Trustee Cantor and seconded by Trustee Rubin, the item was approved as circulated.

On a motion by Trustee Cantor and seconded by Trustee Rubin agenda ***Item #5, Purchase of Mobile Office Buildings*** was recommended to the full Board for approval.

Mr. Jordan briefed the Trustees on the capital project budgets presented for approval. Trustee Gandara confirmed that the hockey arena project had been reviewed at length by the BGE Committee and that Committee is comfortable with the project as presented. On a motion by Trustee Rubin and seconded by Trustee Cantor agenda ***Items 6-11, UConn Hockey Arena (Final: \$70,000,000); I Lot Improvements (Final: \$7,000,000); NER East Steam Repair (Phase I) (Final: \$650,000); Residential Life Facilities – Hicks and Grange Student Room and Common Area Renovations (Revised Final: \$1,875,000); Atwater Laboratory Emergency Power Installation (Final: \$535,000); and Werth Family Basketball Champions Center Hall of Fame (Revised Final: \$3,537,000)*** were recommended to the full Board for approval.

The Committee was directed to review the Information Items listed on the agenda, at their convenience. There being no additional agenda items for approval the meeting was adjourned at 10:23 a.m. on a motion by Trustee Rubin and seconded by Trustee Cantor.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

D R A F T
MINUTES
SPECIAL MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
BUDGET WORKSHOP
University of Connecticut
Telephone Meeting
June 14, 2021

TRUSTEES PARTICIPATING: Andy Bessette, Mark Boxer, Charles Bunnell, Shari Cantor, Andrea Dennis-LaVigne, Justin Fang, Marilda Gandara, Kevin O'Connor, Thomas Ritter, Philip Rubin, and Ethan Werstler

STAFF PARTICIPATING: Andy Agwunobi, Lloyd Blanchard, Jeremy Campbell, Debbie Carone, Patricia Casey, Laura Cruickshank, Lisa Danville, Nathan Fuerst, Nicole Gelston, Jeffrey Geoghegan, Scott Jordan, Andrea Keilty, Tysen Kendig, Michael Kirk, Carl Lejuez, Susan Locke, Joann Lombardo, Maureen Mangan, Radenka Maric, Rachel Rubin, Kelly Wihbey, and Reka Wrynn

SENATE REPRESENTATIVES PARTICIPATING:
Robert Bird, Carol Polifroni, and David Yalof

Vice-Chair Bessette convened a special meeting of the Financial Affairs Committee via teleconference at 3:01 p.m. He asked for a roll call of Trustees and University Senate members and asked if there was anyone from the public who wished to speak.

Scott Jordan, Executive Vice President for Administration and Chief Financial Officer, introduced agenda **Item #2, FY22 Budget Presentation**. He directed the Trustees to a PowerPoint presentation which highlighted where the University is anticipated to end FY21 as well as the FY22 budget framework; budget and structural deficit; unfunded legacy costs; revenues and expenses; capital budget funding; university reserves and budget assumptions. He noted that the Capital Budget request for Storrs and Regional Campuses as well as UConn Health may need to be altered for the June 30 Board of Trustees meeting as the legislation is still subject to change the final determination. Dr. Andy Agwunobi, Interim President and Chief Executive Officer of UConn Health, along with Jeffrey Geoghegan, UConn Health Chief Financial Officer, provided a financial overview of UConn Health including an update on the financial improvement plan; budget mitigation measures; state support; budget assumptions; patient revenues; pharmacy revenues and expenses; UMC; JDH revenues and expenses; proposed spending plan; budget risks and bond fund request.

On a motion by Trustee Boxer and seconded by Trustee Rubin, agenda **Item #3, Fiscal Year 2022 Spending Plan for the University of Connecticut, Storrs & Regional Campuses** was recommended to the full Board for approval.

Vice Chair Bessette directed the committee to agenda ***Item #3, Fiscal Year 2022 Spending Plan for UConn Health.*** On a motion by Trustee Rubin and seconded by Trustee Boxer, the item was recommended to the full Board for approval.

On a motion by Trustee Boxer and seconded by Trustee Cantor, agenda ***Item #7, Fiscal Year 2022 Capital Budget*** was recommended to the full Board for approval.

On a motion by Trustee Cantor and seconded by Trustee Boxer, agenda ***Item #5, Fiscal Year 2022 Tuition and Fees for the University of Connecticut, Storrs and Regional Campuses*** was recommended to the full Board for approval.

On a motion by Trustee Boxer and seconded by Trustee Rubin, agenda ***Item #6, Fiscal Year 2022 Academic Program and Course Fees for the University of Connecticut, Storrs and Regional Campuses*** was recommended to the full Board for approval.

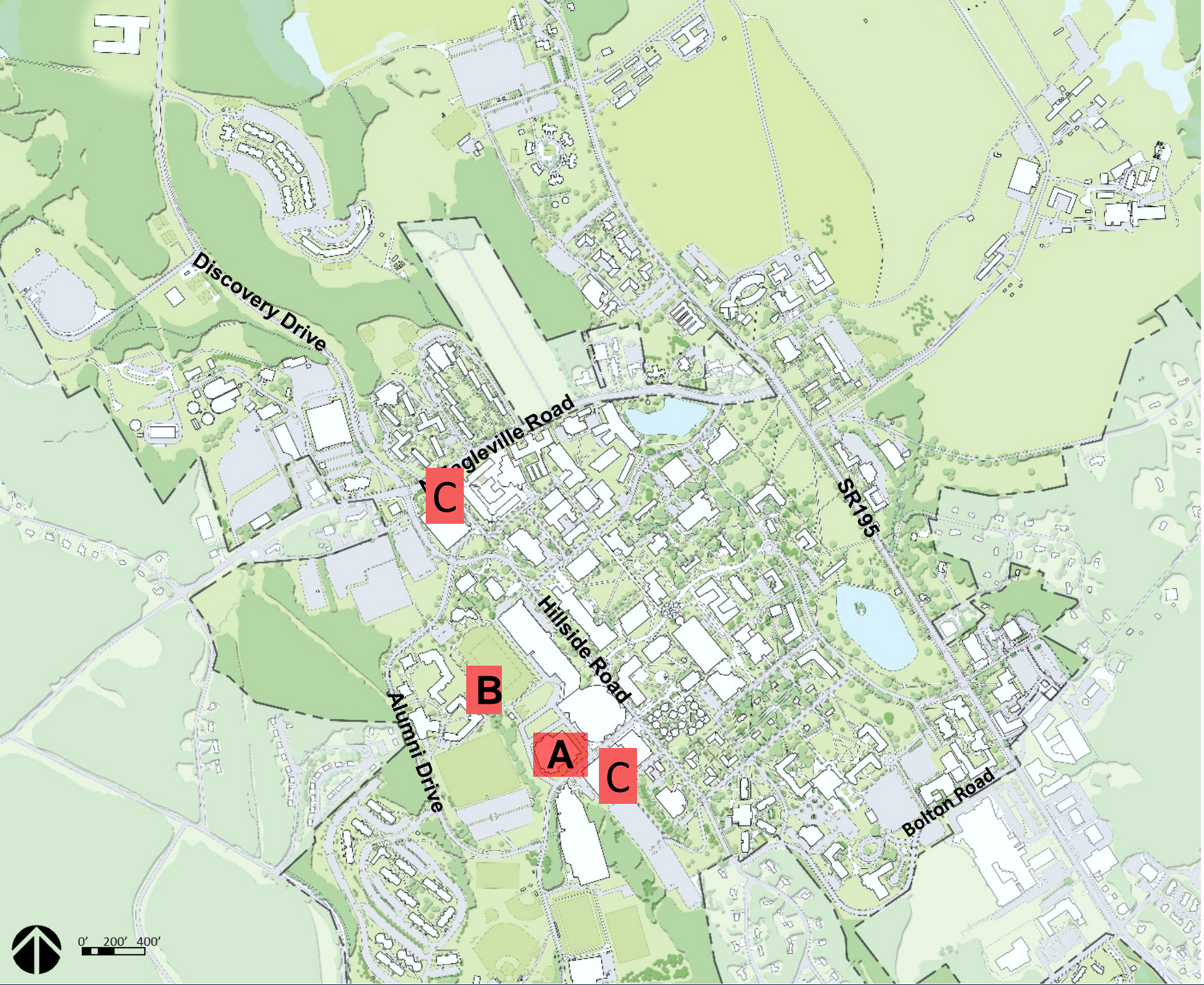
There being no additional agenda items for approval the meeting was adjourned at 4:18 p.m. on a motion by Trustee Cantor and seconded by Trustee Rubin.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

ATTACHMENT B



KEY TO PROJECTS

Final / Revised Final

A Werth Family UConn Basketball Champions Center Dining Project

B Sherman Family Complex Resurfacing

C North and South Garages Restoration Phase 2

Design / Revised Design

None

Planning / Revised Planning

None

Joint Audit & Compliance

Audits of UConn 2000 Projects

Informational Only

The attached two reports are being provided to you pursuant to Connecticut General Statutes section 10a-109aa. CohnReznick completed the annual audit of UConn 2000 projects for fiscal year ended June 30, 2020 pursuant to section 10a-109z. No significant issues were identified in these reports.

University of Connecticut
Agreed-Upon Procedures on UCONN 2000
Construction Expenditures

June 30, 2020

University of Connecticut

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Independent Accountant's Report on Applying Agreed-Upon Procedures

To the Board of Trustees and Joint Audit and Compliance Committee
University of Connecticut
Storrs, Connecticut

We have performed the procedures enumerated below, which were agreed to by University of Connecticut ("University") including the University of Connecticut Health Center ("UConn Health"), its Board of Trustees and the Joint Audit and Compliance Committee, on the UCONN 2000 contracts and expenditures for the fiscal year ended June 30, 2020 for UCONN 2000 Projects not yet substantially complete or previously audited, solely to assist the specified parties with meeting the requirements under Public Act 07-166 which amends Sec. 13 section 10a - 109z of the Connecticut General Statutes. The University's management is responsible for the accounting records related to the UCONN 2000 contracts and expenditures for the fiscal year ended June 30, 2020 for UCONN 2000 Projects not yet substantially complete or previously audited. The sufficiency of these procedures is solely the responsibility of those parties specified above in this report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose.

The procedures performed and associated findings are as follows:

The University's management made selections of UCONN 2000 contracts and expenditures for the fiscal year ended June 30, 2020 for UCONN 2000 Projects not yet substantially complete or previously audited. They made their selections from a list of 2020 UCONN 2000 expenditures for named projects and deferred maintenance ("DM") and equipment projects. The list of 2020 UCONN 2000 expenditures totaled \$126,387,195.71. This total includes UCONN 2000 contracts and expenditures for the fiscal year ended June 30, 2020 for UCONN 2000 Projects not yet substantially complete or previously audited. Management selected expenditures totaling \$111,770,904.18 (the list is included in Exhibit 1), equal to 88% of the total list of 2020 UCONN 2000 expenditures during the fiscal year ended June 30, 2020.

All approval requirements, including appropriate personnel thresholds and sign-offs, were provided by the University.

Procedures and Results

Section A - Agreed-Upon Procedures: UConn and Named Projects UConn Health

Expenditure Testing:

1. Obtain a report of total expenditures by project from UConn for Fiscal Year June 30, 2020.
2. From the report obtained in Procedure 1, select all projects with total expenditures greater than \$50,000, excluding the projects included in the audit schedule of completed projects dated June 30, 2020.
3. For projects selected in Procedure 2 and capital equipment expenditures, aggregate duplicate EDoc numbers per project and select all expenditures greater than \$100,000. For projects without any expenditures greater than \$100,000, select the highest dollar value expenditure.
4. For all expenditures selected in Procedure 3, identify if the expenditure is to an external source supported by a third-party invoice (Kuali Financial System (“KFS”) Payment Request (“PREQ”) and certain Disbursement Vouchers (“DV”)) or internal source (KFS Internal Billing (“IB”) / Distribution of Income and Expense (“DI”) / Journal Voucher (“JV”) / General Error Correction (“GEC”) and certain DV).

Results: No exceptions were noted as a result of applying the above procedure.

5. For all selected expenditures made to external sources that are supported by third-party invoices (PREQ and certain DV):
 - a. Locate the corresponding transaction within the Huskybuy procurement and payment system.
 - b. Inspect the addressee of the supporting invoice for evidence the invoice is addressed to UConn Health, the University of Connecticut or UConn.
 - c. Inspect the invoice for the Vendor, Invoice Number or Payment Application Number, Invoice Date, and Invoice Amount, and compare the attributes to the HuskyBuy Invoice for agreement. If vendor names do not agree, determine if the difference is due to a merger, acquisition, DBA or other business combination and is therefore valid. For construction Payment Applications, refer to UConn procedures pertaining to the assignment of invoice numbers and date to AIA Applications for Payment. Invoice amounts can disagree up to \$1.00, or by any amount if an intentional short payment occurred.
 - d. Obtain a list from UConn identifying approved authorizers and their authorized designees based on UConn authorization thresholds and payment types.
 - e. Inspect the Approvals and / or History tabs within the HuskyBuy Invoice and compare authorizations to the list of authorized approvers obtained in Procedure 5.d and determine the electronic approvals match based on authorization guidelines. Approval may alternatively be located in the “Comments” tab of the invoice if ad-hoc routing was not obtained.
 - f. Mathematically check the amount of the supporting invoice.

Results:

For the one hundred and seventy-four (174) selected expenditures made to external sources that were supported by third-party invoices, there were three (3) exceptions noted based on the procedures performed in step 5.c. above.

<u>Step</u>	<u>Description of Exception</u>	<u>Number of Exceptions Noted</u>
5c	Incorrect Invoice Date	3

For three instances, it was noted that the invoice date per the KFS e-doc did not match the invoice date per the third-party invoice (“AIA Payment Application”). The invoice date was entered incorrectly into the KFS system.

- 6. For all selected expenditures made to internal sources that are supported by internal documents (IB/DI/JV/GEC and certain DV):
 - a. Obtain Internal Billing or Distribution of Income and Expense or Journal Voucher or General Error Correction or Disbursement Voucher KFS e-doc.
 - b. Obtain a list from UConn identifying approved authorizers and their authorized designees with corresponding approval thresholds for the type of e-doc.
 - c. For IB/DI/JV/GEC transactions, inspect the Route Log approvals in KFS e-doc and compare authorizations to the list obtained in Procedure 6.b and determine the electronic approvals match based on transaction type and authorized dollar thresholds. Approval may alternatively be located in the “Notes” section of the e-doc if ad-hoc routing was not obtained.
 - i. Compare the support within the KFS e-doc “attachments” section to the entry in KFS and check for agreement, noting this can take a variety of forms.
 - d. For DV transactions, locate the corresponding transaction within the HuskyBuy procurement and payment system. Inspect the Approvals and / or History tab within the HuskyBuy Invoice and compare authorizations to the list obtained in Procedure 6.b and determine the electronic approvals match based on transaction type and authorized dollar thresholds. Approval may alternatively be located in the “Comments” tab of the Invoice if ad-hoc routing was not obtained.
 - i. Compare the support within the HuskyBuy “Attachments” tab to the entry in HuskyBuy and check for agreement, noting this can take a variety of forms.

Results: No exceptions were noted as a result of applying the above procedures.

- 7. For selected expenditures in Step 6 supported by a DI e-doc that specify “management fee” or “payroll allocation” in the explanation field of the DI e-doc:
 - a. Inspect the backup documents in the “attachments” section to identify the Project ID of the expenditure selected and compare the Project ID to the report obtained in Procedure 1 for agreement.
 - b. Inspect the DI e-doc to identify the Project ID and compare the Project ID to the backup document obtained in Procedure 7.a for agreement, excluding DI e-docs that specify “management fee” or “payroll allocation” for capital equipment as these do not have Project IDs.

- c. Inspect the DI e-doc to identify the amount shown for Project ID selected and compare the amount to the “management fee/payroll” amount shown in the backup document obtained in Procedure 7.a for agreement. Mathematically check the amount of the “management fee” or “payroll allocation” selected by multiplying the percentage and period expenses in the backup document obtained in 7.a.

Results: No exceptions were noted as a result of applying the above procedures.

Contract Testing:

1. Obtain a report of total expenditures by project for Fiscal Year June 30, 2020 from UConn, which also identifies and excludes the projects included in the audit schedule of June 30, 2020 completed projects.
2. From the report obtained in Procedure 1, select all projects with:
 - a. Total expenditures greater than \$500,000 and
 - b. Deferred maintenance projects with board budgets over \$500,000 and total expenditures greater than \$50,000.
3. For projects selected in Procedure 2, obtain the Board of Trustees (“BoT”) budget approval from UConn.

Results: No exceptions were noted as a result of applying the above procedure.

4. For projects selected in Procedure 2, identify those where a construction contractor has been engaged, and obtain the Contract Approval Request Form (“CAR”) or Approval of Change to Original Contract, Workplan, or Purchase Order Request Form (“ACR” - a.k.a. “Greensheet”) or electronic workflow ACR or Unifier Requisition / Unifier Purchase Order Amendment (collectively, “Electronic Workflow Approval” or “EWA”) for construction services.

Results: No exceptions were noted as a result of applying the above procedure.

5. Obtain a list of approved authorizers or their authorized designees based on project type and contract value and the associated approval dollar thresholds.

Results: No exceptions were noted as a result of applying the above procedure.

6. Inspect the CAR, ACR or EWA for the Vendor, Project Name, and Project ID and compare the attributes to the report obtained in Procedure 1 for agreement. In limited instances, projects may have sub-projects and the Project Name and/or Project ID of the sub-project may differ from the report; these are not exceptions.

Results:

For the forty-seven (47) selected contracts, there was one (1) exception noted based on the procedures performed in Step 6 above.

Step	Description of Exception	Number of Exceptions Noted
6	Incorrect Project Name	1

For one (1) instance, it was noted that the project name on the CAR did not match the project name on the report obtained in Step 1. The project name from the report obtained in Step 1 was “East Central Campus Utility Upgrade”. The project name on the CAR was “Steam Line Repairs – Koon, Family Studies, Manchester”.

7. Inspect the CAR, ACR or EWA for authorizations and compare to the list of approved authorizers or their authorized designees provided by UConn for agreement based on approval dollar thresholds.

Results: No exceptions were noted as a result of applying the above procedure.

8. For projects selected in Procedure 4, obtain the executed contract and President's Contract Signing Authority Delegation letter. Inspect the executed contract to identify the title of the person who signed the owner's authorization and compare it to the President's Contract Signing Authority Delegation letter for agreement based on approval dollar thresholds. Inspect the executed contract to identify the Contractor signature line has been signed by the Contractor.

Results: No exceptions were noted as a result of applying the above procedure.

9. Inspect executed contract to identify the initial contract amount and compare the amount to the initial KFS purchase order (or increase if pre-existing purchase order) for agreement.

- a. If amounts do not match by more than \$5.00, then inspect the CAR/ACR/EWA and/or Unifier Unfunded Commits document and/or the Notes section of the KFS PO e-doc for written comments identifying the amounts which are to be designated as “Allocated”, “Obligated” and/or “Future Funding”.
- b. Mathematically add all amounts designated as “Allocated”, “Obligated” and/or “Future Funding” to the PO amount and compare the result to the initial contract amount identified in the executed contract for agreement.

Results: No exceptions were noted as a result of applying the above procedures.

10. For projects selected in Procedure 4, obtain a Change Order (“CO”) Analysis report from UConn, if applicable.

Results: No exceptions were noted as a result of applying the above procedure.

11. Inspect the CO Analysis to identify the total amount of the contract. Compare the amount identified to the PO total in the Purchase Order screen in KFS as of the date of the analysis. If the identified amount from the CO Analysis exceeds the total from the Purchase Order screen in KFS, proceed to step 11a and 11b.

- a. If amounts do not match by more than \$5.00, then inspect the CAR/ACR/EWA and/or Unifier Unfunded Commits Document and/or the Notes section of the KFS PO e-doc for written comments identifying the amounts which are to be designated as “Allocated”, “Obligated” and/or “Future Funding”.
- b. Mathematically add all amounts designated as “Allocated”, “Obligated” and/or “Future Funding” and add the total to the PO amount and compare the results to the total on the CO Analysis for agreement.

Results: No exceptions were noted as a result of applying the above procedures.

12. From the CO Analysis, select all change orders greater than \$100,000 where the Purchase Order Revision within HuskyBuy was fully approved in Fiscal Year June 30, 2020. For projects without any

Fiscal Year June 30, 2020 change orders greater than \$100,000, select the highest dollar value change order fully approved within HuskyBuy in Fiscal Year June 30, 2020.

13. For change orders selected in Procedure 12, obtain the ACR and/or EWA and executed change order documents from KFS and/or Unifier.

Results: No exceptions were noted as a result of applying the above procedure.

14. Inspect executed change order to identify the Vendor, Project ID and Amount and compare the attributes to the ACR and/or EWA and CO Analysis for agreement within \$5.00. In limited instances, projects may have sub-projects and the Project ID of the sub-project may differ from the ACR and/or EWA and CO Analysis; these are not exceptions.

Results: No exceptions were noted as a result of applying the above procedure.

For Procedures 15 and 16, if the selected change order is comprised of Unifier bundled Potential Change Order (“PCO”) and/or Construction Change Directive (“CCD”) transactions, obtain at least 75% coverage of the total change order value and include all individual PCO and/or CCD transactions greater than \$50,000; otherwise obtain 100% coverage of the total change order value.

15. Inspect the executed change order documentation to identify the overhead and profit markup used and compare the percentage to the executed contract for agreement.

Results: No exceptions were noted as a result of applying the above procedure.

16. Inspect the ACR and/or EWA for authorizations and compare them to the list of approved authorizers or their authorized designees provided by UConn and determine authorizations agree based on approval dollar thresholds.

Results: No exceptions were noted as a result of applying the above procedure.

Section B - Agreed-Upon Procedures: University of Connecticut Health Center (UConn Health)

Expenditures Testing:

1. For the items identified as UConn Health DM/Equipment and/or FF&E Expenditures reimbursements in the report provided in Section A, Procedure 1, obtain from UConn Health a report of total expenditures by project for Fiscal Year June 30, 2020, excluding the projects included in the audit schedule of completed projects dated June 30, 2020.
2. From the report obtained in Procedure 1, select all projects with total expenditures greater than \$50,000.
3. For projects selected in Procedure 2 above, select all expenditures greater than \$100,000. For projects without any expenditure greater than \$100,000, select the highest dollar value expenditure.

Results: No exceptions were noted as a result of applying the above procedure.

4. For all expenditures selected in Procedure 3 above, obtain from UConn Health the third-party invoice or UConn Health Internal Charge support.

Results: No exceptions were noted as a result of applying the above procedure.

5. For expenditures supported by a third party-invoice:
 - a. Obtain HuskyBuy Purchase Order Invoice.

- b. Compare Invoice amount on expenditure report to Husky Buy Purchase Order Invoice Screen for agreement. If amounts do not agree or were overridden in Husky Buy:
 - i. Obtain from UConn Health the detailed accounting breakout showing the allocation from total invoice amount to expensed amount as amounts may have been split coded.
- c. Inspect the third-party invoice for the Invoice Number, Supplier Invoice Number or AIA Application Number, Vendor and Invoice Amount and compare the attributes to the Purchase Order Invoice for agreement, noting the following for construction Payment Applications: supplier invoices utilizing the AIA number may include related information such as PO# or date.
 - i. If vendor names do not agree, consult with the Accounts Payable department to determine if difference is driven by a corporate consolidation, DBA's or other issue and is therefore valid. (Note, DBA's are available in Banner.)
 - ii. Where invoices have been altered by UCH personnel, compare the revised amount written on the third party invoice by the Invoice Approver to the Husky Buy Purchase Order Invoice. Invoices may be altered downward by reviewers based on their review of goods/services received, discounts, contract terms, to remove improperly charged taxes, or other reasons.
 - iii. Also note that minor underpayments (less than \$3.00) are not exceptions; the system does not flag underpayments.
- d. For system-matched invoices (typically tangible property invoices), obtain from UConn Health the Husky Buy Invoice History and Receiving forms.
 - i. Inspect the Invoice History for a Match Status of "Matched".
 - ii. Inspect the HuskyBuy Purchase Order Invoice obtained in 5.a. and identify the quantity and unit price invoiced. Compare these attributes to the Receiving form for agreement.
 - iii. Invoices that do not agree may be subject to UConn Health's institutional tolerances. If an invoice does not match, obtain UConn's current institutional tolerance levels. Compare tolerance levels to results of d.ii to ensure variances are less than established tolerances.
- e. For manually matched invoices approved on the face of the invoice, obtain from UConn Health a Signature Authorization report for the Fund(s)/Organization(s) on the Invoice. Inspect the invoice for the authorizer(s) based on purchase order coding and compare the authorizations to the Signature Authorization report lists for agreement ensuring that authorizers for at least one of the invoice's coding strings are on the respective report or list. AP approvals signify that a good/service was received and are not meant to authorize the purchase, which was done via the PO process.
 - i. If neither signature nor electronic approvals are evident, the invoice may have been directly received by Accounts Payable, in which case approvals may be made via the Husky Buy comment function. Obtain the Husky Buy comments, review for the approval statement, and compare the approver's name to the names on the Signature Authorization report for agreement.

- ii. Invoices requiring special handling may be approved for payment via Accounts Payable's Vendor Payment Authorization ("VPA") form. Inspect the VPA form for the PO, amount, and signature, and compare these attributes to the Husky Buy Invoice and Signature Authorization report for agreement.
 - iii. If an individual who approved the invoice is not on the Signature Authorization report provided, confirm that the approval was proper based on the employee's position/title at the time of signing.
 - iv. Obtain from UConn Health a signature plate for all relevant approvers including name, authorization threshold (if applicable) and signature sample (and initials if relevant). Inspect the invoice for the authorizer(s) signatures and if manually signed, compare the signatures to the signature plate obtained for agreement; if digitally signed, ensure the authorizer for at least one of the invoice's coding strings are on the Signature Authorization list.
- f. For manually matched invoices approved electronically, obtain from UConn Health the Husky Buy Bioscience and Campus Planning Electronic Invoice Approval lists. Inspect the Invoice Approvals screen shot for the invoice for the authorizer(s) and compare the authorizations to the Husky Buy electronic invoice approval lists for agreement ensuring that authorizers are on the list.
- i. If the invoice was approved in HuskyBuy and the approver is not on the Bioscience Invoice and Campus Planning Approval lists, obtain the "Electronic Approval Changes Notes" listing from UConn Health. Inspect the "Electronic Approval Changes Notes" to identify the authorized approver at the time of the invoices' authorization. Compare the authorized approver on the invoice to the authorized approver on the "Electronic Approval Changes Notes" for agreement.
- g. Mathematically check the amount due of the supporting invoice.
- i. For the EPIC project, vendor invoices may appear to show a rate x units method in their invoicing system rather than charging directly. The rates shown are not part of the underlying contracts. As a result, these erroneous calculations should be ignored and the total expense charged should be matched to the sum of the supporting detail.
- h. For each selected expenditure, obtain from UConn Health a Banner Report (typically the Detail Transaction Activity report, "FGITRND") showing the expense posting to the ledger.
- i. Inspect the FGITRND and identify the Purchase Order Invoice number, the coding strings, and amounts. Compare the attributes to the Purchase Order Invoice Screen for agreement.

Results: No exceptions were noted as a result of applying the above procedures.

6. For expenditures from UConn Health Internal Charges:
 - a. Obtain from UConn Health the internal source document for the expenditure. Source documents can come from a large number of different departments and typically include: Work Orders, Hot Work Permits, Firewatch, Key Charges, Move Orders, Telecommunication Charges, Freight JE's, Misc Departmental Charges (Copy Center, Room Reservation, etc.), and institutional PCard charges.
 - b. Inspect the internal source document obtained in Procedure 6.a to identify the amount of the expenditure and compare the amount to the UConn Health Internal Charge entry on total expenditure report for agreement.
 - c. For each selected expenditure, obtain from UCH a Banner Report (typically the Detail Transaction Activity report, "FGITRND") showing the expense posting to the ledger. Inspect the internal source document and identify the expenditure amount and compare the amount to the Banner Report for agreement.
 - i. For the telecommunications back-up that does not list the amount, inspect the back-up document to identify the reference number and compare the reference number to the Banner line description for agreement.
 - d. For payroll costs originating from UConn Health which are selected as part of the overall selection above:
 - i. Obtain the journal entry or payroll report which supports the costs charged.
 - ii. Obtain supporting State of Connecticut Comptroller's memos detailing appropriate worker's comp rates by fiscal year.
 - iii. Recalculate allocated worker's comp by multiplying the rate times the sum of Regular and Other earnings.
 1. Note that lines in the payroll report that have a sequence number greater than 0 are redistributions of prior payrolls. Therefore, the rate applied may be from a prior year and not the current year. If the rate applied does not match the Comptroller's memo check with accounting.
 - iv. Recalculate the amount charged by adding Regular Earnings, Other Earnings, Fringe cost, and Worker's Comp together. Compare the total on the spreadsheet to that charged to the project.
 - v. If the support in 6.d.i was a journal entry, inspect the journal entry for authorization and compare the signature to the listing of members of the Finance department or appropriate supervisor.

Results: No exceptions were noted as a result of applying the above procedures.

Contract Testing:

1. For all the items identified as UConn Health DM or UConn Health initiated construction reimbursements in the report provided in Section A Contract Testing Procedure 1, obtain from UConn Health a report of total expenditures by project for Fiscal Year June 30, 2020.
2. For projects identified in Procedure 1, excluding those projects included in the audit schedule for June 30, 2020, select those projects with total expenditures greater than \$300,000.

3. For projects identified in Procedure 2 above which have total expenditures greater than \$500,000, obtain the most recent board of Trustees (“BoT”) Project Budget approval from the UConn website. Note that the most recent version of the Project Budget approved by the BoT will be identified as either “Final” or “Revised Final”.

Results: No exceptions were noted as a result of applying the above procedure.

4. For all projects identified in Procedure 2 above which have total expenditures greater than \$500,000, obtain from UConn Health the Banner FRIGITD summary or summaries (project inception to date budget). Note that a single project may have more than one FOAPAL and therefore more than one Banner FRIGITD summary.

Results: No exceptions were noted as a result of applying the above procedure.

5. For all projects identified in Procedure 2 above which have total expenditures greater than \$500,000 inspect the BoT Project Budget to identify the approval amount from Procedure 3 and identify the amount from the Banner FRIGITD summary (or summaries) from Procedure 4. If the Banner budget total from FRIGITD exceeds the BoT Project Budget approval amount, this is an exception.

Results: No exceptions were noted as a result of applying the above procedure.

6. For all projects identified in Procedure 2 above which have total expenditures greater than \$500,000, identify the total project spend. Compare the total project spend to the budget amount in the Banner FRIGITD Summary obtained in Procedure 4. If the total project spend exceeds the budget amount, this is an exception.

Results: No exceptions were noted as a result of applying the above procedure.

7. Obtain from UConn Health a list or matrix identifying approved authorizers based on authorization thresholds for Purchase Requisitions (“PRs”) and Purchase Orders (“POs”).

8. For projects identified in Procedure 2, obtain from UConn Health the following:

- a. Purchase Requisition documentation from HuskyBuy:

- i. Original PR and PR Approvals, which generated the original PO
- ii. All Change Order Requests (“CORs”) and COR Approvals, which generated each of the PO Revisions

- b. Purchase Order documentation from HuskyBuy:

- i. Current PO Summary and Accounting Codes
- ii. PO Revisions list and PO History, including Approvals for each PO Revision
- iii. Original PO and all PO Revisions

- c. Contract documentation: The executed contract or purchase agreement and all executed change orders or amendments

9. Inspect the original HuskyBuy PO obtained in Procedure 8b.iii to identify the supplier/contractor and Project Number (and/or Project Name) and compare the attributes to the original executed contract obtained in 8c for agreement.

Results: No exceptions were noted as a result of applying the above procedure.

10. Inspect the Current PO Summary obtained in 8b.i to identify the total PO amount and compare the attribute to the sum of the Original PO and all PO revisions from Step 8b.iii.

Results: No exceptions were noted as a result of applying the above procedure.

11. Authorizations:

- a. For original PR approval: Inspect the Original PR and PR Approvals obtained in Procedure 8a.i, to identify the person who approved the Department Approval step(s) and compare that person to the authorized approver for the value of the PR according to the list or matrix from Procedure 7.
- b. For original PO approval: The PO History obtained in Procedure 8b.ii will be sorted by Date/Time in chronological order so that the earliest PO activity is displayed on Page 1. Inspect the PO History and identify the approver of the Purchasing step for the original PO and compare the approver to the list or matrix from Procedure 7 for the original value of the PO obtained in Procedure 8b.iii for agreement.

Results: No exceptions were noted as a result of applying the above procedures.

12. For UConn Health initiated projects identified in Procedure 2, obtain the Change Order Analysis prepared by UCH.

Results: No exceptions were noted as a result of applying the above procedure.

13. Inspect the Change Order Analysis from Procedure 12 to identify the total contract value. Inspect the most recent PO revision, obtained in Procedure 8b.iii, to identify the final PO value. If the final PO value exceeds the total from the Change Order Analysis, this is an exception.

Results: No exceptions were noted as a result of applying the above procedure.

14. From the Change Order Analysis, select all change orders in Fiscal Year June 30, 2020 greater than \$100,000. For projects without any change orders in Fiscal Year June 30, 2020 greater than \$100,000, select the highest dollar value change order.

Results: No exceptions were noted as a result of applying the above procedure.

15. For the change order(s) selected in Procedure 14, inspect the executed contract change order(s) obtained in Procedure 8c to identify the contractor/supplier and dollar values and compare the attributes to the CORs from Procedure 8a.ii and PO Revisions from Procedure 8b.iii for agreement.

Results: No exceptions were noted as a result of applying the above procedure.

16. For the change order(s) selected in Procedure 14, inspect each COR and PO revision to identify the approvals and compare the authorizations to the authorized approver list obtained in Procedure 7 for agreement based on authorized dollar thresholds.

- a. For COR approvals: Inspect the COR and COR Approvals obtained in Procedure 8a.ii, to identify the person who approved the Department Approval step(s) and compare the approvers to the list or matrix from Procedure 7 for agreement. (Alternatively, this same approval information can be confirmed on the PR History tab, or by printing a .csv file from the PR History tab.)

- b. For PO Revision approvals: The PO History obtained in Procedure 8b.ii will be sorted by Date/Time in chronological order so that the earliest PO activity is displayed on Page 1. Inspect the PO History and revised value of the PO obtained in Procedure 8b.iii to identify the approver of the Purchasing step for the PO revision and compare the approver to the list or matrix from Procedure 7 for agreement.

Results: No exceptions were noted as a result of applying the above procedures.

This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. We were not engaged to and did not conduct an audit or review, the objective of which would be the expression of an opinion or conclusion, respectively, on the UCONN 2000 contracts and expenditures for the fiscal year ended June 30, 2020 for UCONN 2000 Projects not yet substantially complete. Accordingly, we do not express such an opinion or conclusion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the Board of Trustees, the Joint Audit and Compliance Committee, General Assembly of the Connecticut State Legislature and management of the University, and is not intended to be and should not be used by anyone other than those specified parties.

CohnReznick LLP

Hartford, Connecticut
March 4, 2021

University of Connecticut

Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	\$5,227,226.72
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	4,400,340.00
902074	Energy Services Performance Contract - Phase I (ESCO)	ESCO move expenses to UC2K	4,023,140.75
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,822,373.65
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,715,317.49
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,592,896.32
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,520,372.73
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,479,709.25
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	3,301,176.85
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	3,151,188.52
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	3,030,007.15
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	2,572,857.62
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,543,753.83
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	2,406,624.40
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,146,744.00
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,125,836.13
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,103,098.69
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	2,086,078.19
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,060,030.94
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	2,059,558.62
Hlth Ctr Cap Equip	Health Center Capital Equipment	UCH DM & Equip Reimbursement	1,990,373.29
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,671,501.91
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,587,030.30
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,576,852.48
Hlth Ctr Cap Equip	Health Center Capital Equipment	UCH DM & Equip Reimbursement	1,397,158.09
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,319,999.03
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	1,306,589.06
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,200,648.62

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Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
902074	Energy Services Performance Contract - Phase I (ESCO)	Consolidated Edison Solutions Inc	\$1,154,275.45
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,130,037.62
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	1,027,713.58
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	1,013,047.50
300149	Stamford Abutting Property Restoration	Standard Demolition Services Inc	904,291.02
Hlth Ctr DM	Deferred Maintenance-Phase III UCHC	UCH DM & Equip Reimbursement	902,662.56
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	901,673.69
300124	Residential Life - North Residence Halls Roof Refurb Ph II	Greenwood Industries Inc	887,074.37
901737	UCHC New Construc/Renov: Clinic Building C	Reimbursement for Named Project expenses	773,341.98
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	668,725.35
Hlth Ctr DM	Deferred Maintenance-Phase III UCHC	UCH DM & Equip Reimbursement	652,620.77
901376	Engineering Building-Engineering & Science Building	Fusco Corporation	642,570.08
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	598,720.85
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	590,265.74
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	550,454.33
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	469,044.50
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	456,913.02
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	452,908.12
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	443,739.10
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	439,739.30
901803	Acad & Res Facil - Gant Building Renovations - STEM	Whiting-Turner Contracting Co	433,516.31
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	420,807.65
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	420,609.77
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	409,643.67
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	405,219.00
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	405,219.00
901802	Academic & Research Facilities - STEM Research Ctr Science 1	Payette Associates Inc	405,219.00
901803	Acad & Res Facil - Gant Building Renovations - STEM	Quantum Design Inc	398,527.44

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Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
901888	Gampel Pavilion Dome Ceiling and Roof Repair	Downes Construction Company LLC	\$397,770.61
Cap Equip	ITS Hardware & Software	Mainline Information Systems Inc	393,642.13
901803	Acad & Res Facil - Gant Building Renovations - STEM	ITS Internal Charge - Gant	390,834.39
902115	Northwest Science Quad Infrastructure - Phase 1	Whiting-Turner Contracting Co	383,404.60
Cap Equip	ITS Hardware & Software	Mainline Information Systems Inc	368,280.92
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	351,730.13
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	336,482.45
902091	Southwest Campus Infrastructure Upgrade	Daniel OConnells Sons Inc	323,248.13
201696	University Athletic District Development (Stadia)	Newman Architects PC	314,287.36
901803	Acad & Res Facil - Gant Building Renovations - STEM	De Clercq Office Group Ltd	309,778.50
902115	Northwest Science Quad Infrastructure - Phase 1	Whiting-Turner Contracting Co	297,709.63
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	291,662.91
300067	Gampel Area Bollards	Milton C Beebe & Sons Inc	276,328.03
901803	Acad & Res Facil - Gant Building Renovations - STEM	HB Communications Inc	274,783.62
Cap Equip	ITS Hardware & Software	CBTS LLC	267,275.00
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	265,288.07
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	265,288.07
Cap Equip	Fire Services Cap Eq	School Health Corporation	252,450.00
300025	Northwest Science Quad Supplemental Utility Plant	Richard Turlington Architects Inc	251,205.00
300067	Gampel Area Bollards	Milton C Beebe & Sons Inc	247,141.50
300151	Boiler Plant Equip Replacement and Utility Tunnel Connection	BVH Integrated Services PC	243,000.00
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	240,634.94
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	239,564.83
Cap Equip	Liberal Arts Cap Eq	Bruker Corporation	235,840.00
902075	Central Campus Infrastructure	Turner Construction Co	235,168.26
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	230,430.92
300021	Stamford Campus Garage - Demolition	Standard Demolition Services Inc	228,968.30
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	228,406.45

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Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
Cap Equip	ITS Hardware & Software	Fibre Optics Plus LLC	\$227,755.45
WALR	Wired Access Layer Infrastructure Refresh - Phase I	Presidio Holdings Inc	225,455.81
300149	Stamford Abutting Property Restoration	Standard Demolition Services Inc	217,287.00
902084	Pedestrian Safety Improvements-South Campus Commons	Milton C Beebe & Sons Inc	203,037.50
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	199,630.32
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	191,327.39
901888	Gampel Pavilion Dome Ceiling and Roof Repair	Downes Construction Company LLC	191,236.79
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	186,262.02
201696	University Athletic District Development (Stadia)	Newman Architects PC	183,397.02
902075	Central Campus Infrastructure	BVH Integrated Services PC	182,056.19
Cap Equip	ITS Hardware & Software	Mainline Information Systems Inc	181,924.86
201696	University Athletic District Development (Stadia)	Newman Architects PC	176,181.54
901888	Gampel Pavilion Dome Ceiling and Roof Repair	Downes Construction Company LLC	175,595.92
300147	Landscape Barn and Administrative Building Replacement	OakPark Architects LLC	171,044.00
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 4 FY20	167,961.93
300025	Northwest Science Quad Supplemental Utility Plant	Richard Turlington Architects Inc	167,471.00
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 10 FY20	164,889.24
901376	Engineering Building-Engineering & Science Building	Fusco Corporation	161,552.56
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	159,042.42
902091	Southwest Campus Infrastructure Upgrade	Newman Architects PC	157,341.00
201696	University Athletic District Development (Stadia)	Newman Architects PC	155,485.00
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	152,916.38
902115	Northwest Science Quad Infrastructure - Phase 1	BVH Integrated Services PC	151,974.00
902075	Central Campus Infrastructure	Turner Construction Co	151,377.40
300124	Residential Life - North Residence Halls Roof Refurb Ph II	Greenwood Industries Inc	148,695.67
300025	Northwest Science Quad Supplemental Utility Plant	Richard Turlington Architects Inc	148,590.00
300151	Boiler Plant Equip Replacement and Utility Tunnel Connection	BVH Integrated Services PC	147,614.40
WALR	Wired Access Layer Infrastructure Refresh - Phase I	Presidio Holdings Inc	146,860.69

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Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
WALR	Wired Access Layer Infrastructure Refresh - Phase I	Presidio Holdings Inc	\$145,080.28
300021	Stamford Campus Garage - Demolition	Tighe & Bond Inc	143,893.33
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 3 FY20	142,591.80
300008	Academic & Research Facil - Homer Babbidge Library Renov	Downes Construction Company LLC	139,962.11
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	139,890.04
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	137,256.01
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 12 FY20	136,020.42
300151	Boiler Plant Equip Replacement and Utility Tunnel Connection	BVH Integrated Services PC	135,000.00
902115	Northwest Science Quad Infrastructure - Phase 1	Whiting-Turner Contracting Co	134,517.92
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	133,926.92
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	133,673.82
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	132,354.43
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 11 FY20	130,956.92
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	130,436.10
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 8 FY20	130,422.22
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 7 FY20	129,928.60
300149	Stamford Abutting Property Restoration	Standard Demolition Services Inc	128,474.22
201696	University Athletic District Development (Stadia)	Newman Architects PC	127,929.60
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	127,213.35
300018	Central Campus Parking	Richards Corporation	126,217.89
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	125,226.63
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	125,226.62
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	124,996.81
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	123,789.96
300093	UCFM Code Remediation - South Parking Garage	Richards Corporation	121,622.95
902075	Central Campus Infrastructure	Turner Construction Co	120,977.80
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 5 FY20	120,242.92
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 9 FY20	119,293.84

University of Connecticut

Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 9 FY20	\$118,831.25
902075	Central Campus Infrastructure Upgrades	Turner Construction Co	118,427.44
902115	Northwest Science Quad Infrastructure - Phase 1	Whiting-Turner Contracting Co	118,057.93
902075	Central Campus Infrastructure Upgrades	Turner Construction Co	116,388.47
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 6 FY20	116,039.97
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	114,871.23
Cap Equip	Motor Pool Cap Eq	LSK Enterprises Inc	113,725.00
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 11 FY20	113,243.71
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 1 FY20	113,212.94
901737	UCHC New Construc/Renov: Clinic Building C	Fusco Corporation	112,714.85
901803	Acad & Res Facil - Gant Building Renovations - STEM	Goody Clancy & Associates Inc	111,291.51
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 12 FY20	110,625.62
201696	University Athletic District Development (Stadia)	Mgmt Fees Proj Acct Period 8 FY20	108,530.17
300050	Northwest Quad - Science 1 - Site Improv & Tunnel Phase	Payette Associates Inc	106,115.23
201696	University Athletic District Development (Stadia)	Daniel OConnells Sons Inc	105,328.68
Cap Equip	Gampel Audio System Replacement	HB Communications Inc	105,003.00
Cap Equip	Gampel Audio System Replacement	HB Communications Inc	105,003.00
901883	South Campus Stair Repair	Noble Construction & Management Inc	104,034.57
901803	Acad & Res Facil - Gant Building Renovations - STEM	Mgmt Fees Proj Acct Period 5 FY20	103,340.12
901990	N. Eagleville Rd Area Infrastr. Repair / Repl & Upgr Ph III	Turner Construction Co	102,360.35
Cap Equip	ITS Hardware & Software	Mainline Information Systems Inc	101,601.48
201696	University Athletic District Development (Stadia)	Newman Architects PC	100,527.70
902091	Southwest Campus Infrastructure Upgrade	Connecticut Natural Gas Corp	100,383.02
Cap Equip	Cap Eq Security Infrastructure	Siemens Industry Inc	97,059.20
201523	UC2000 Code Remed - Stamford Downtown Relocation	AECOM Technical Services Inc	86,372.00
300053	School of Pharmacy Medicinal Garden	Milton C Beebe & Sons Inc	86,098.03
902075	Central Campus Infrastructure Upgrades	BVH Integrated Services PC	82,182.81
902118	East Central Campus Utility Upgrade	Nutmeg Companies Inc	80,628.49

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Exhibit 1 Expenditures Selected for Applying Agreed-Upon Procedures For the Fiscal Year Ended June 30, 2020

Project Number	Project Name	Description/Vendor	Project Expenditures
201525	UCONN 2000 Code Remed - Wilbur Cross	G Donovan Associates Inc	\$79,389.22
Cap Equip	Purchasing & Cap Eq	Crowley Ford LLC	75,998.64
901995	Babbidge Library Electrical Distrib. System Upgrade	Electrical Energy Systems Corp	74,338.18
300020	North East Res Halls - Security Camera System	IT 1077 Internal Billing	66,112.00
300140	Residential Life - Alumni Quad Roof-Facade Renovation	Gale Associates Inc	65,761.00
300122	Storrs Hall 1st & 2nd Floor Bathroom	Richards Corporation	63,343.79
902049	Res Life Facilities - Alumni Res Hall Granite Restoration	Mattern Construction Inc.	59,552.57
300102	Res Life Facilities - Northwood Chimney Renovation	Scholar Painting LLC	54,951.99
300175	Homer Babbidge Library SoE Computational Labs (TL2329)	TL-2329 Regular Labor	38,110.21
300163	Res Life Facilities - Hicks and Grange Student Room Reno	DeCarlo & Doll Inc	31,087.00
Cap Equip	UC2000 Cap Eq-1.75% UC Mgmt Fees	Cap Eq Mgmt Fees Period 12 FY20	26,858.42
Cap Equip	PeopleSoft Upgrade	JSMPros Inc	24,000.00
300101	UCFM Code Remediation - Hall Building	Sarazin General Contractors, Inc	23,720.68
300071	Res Life Facilities - McMahan Hall Envelope Repairs	Simpson Gumpertz & Heger Inc	23,525.00
300152	Torrey Life Sciences 2nd Floor Biology Renovation (TL2314)	TL-2314 DM Material and Labor Billing	21,917.55
300125	Longley Bathroom Renovations	Phase Zero Design	11,483.00
Total expenditures subjected to the agreed-upon procedures			\$111,770,904.18
Total 2020 expenditures			\$ 126,387,195.71
Percent of expenditures subjected to the agreed-upon procedures to total expenditures			88%
Total expenditure transactions subjected to the agreed-upon procedures			183



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**University of Connecticut
UCONN 2000 Construction Projects
Substantially Complete**

**Schedules of UCONN 2000 Construction Projects
and UCONN 2000 Reported Project Values
and Independent Auditor's Report**

June 30, 2020

University of Connecticut
UCONN 2000 Construction Projects Substantially Complete
June 30, 2020

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Independent Auditor's Report

To the Board of Trustees and Joint Audit and Compliance Committee
University of Connecticut
Storrs, Connecticut

We have audited the accompanying Schedule of UCONN 2000 Construction Projects and Schedule of UCONN 2000 Reported Project Values (the "Schedules") related to UCONN 2000 Construction Projects of the University of Connecticut (the "University"), including the University of Connecticut Health Center ("UConn Health"), funded all or in part with University of Connecticut General Obligation Bonds, specifically identified by management that were substantially completed during the year ended June 30, 2020, and the related notes to the Schedules.

Management's Responsibility for the Schedules

Management is responsible for the preparation and fair presentation of these Schedules in accordance with accounting principles generally accepted in the United States of America and the requirements for the UCONN 2000 Construction Program under Public Act 07-166 which amends Sec. 13 section 10a - 109z of the Connecticut General Statutes; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the Schedules that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these Schedules based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether these Schedules are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the Schedules. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the Schedules, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the Schedules in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the Schedules.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the accompanying Schedules referred to above present fairly, in all material respects, the construction projects and reported project values related to UCONN 2000 construction projects of the University of Connecticut specifically identified by management that were substantially complete during the year ended June 30, 2020, in accordance with accounting principles generally accepted in the United States of America and the requirements for the UCONN 2000 Construction Program under Public Act 07-166 which amends Sec. 13 section 10a - 109z of the Connecticut General Statutes.

Purpose of the Presentation

We draw attention to Note 1 to the Schedules, which describes that the Schedules are prepared to present the construction projects and reported project values related to UCONN 2000 construction projects of the University of Connecticut specifically identified by management that were substantially complete during the year ended June 30, 2020, pursuant to the requirements for the UCONN 2000 Construction Program under Public Act 07-166 which amends Sec. 13 section 10a - 109z of the Connecticut General Statutes described in Note 1, and is not intended to be a complete presentation of the University's assets and liabilities in accordance with accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to that matter.

Restriction on Use

Our report is intended solely for the information and use of the Board of Trustees, the Joint Audit and Compliance Committee, General Assembly of the Connecticut State Legislature, and management of the University of Connecticut, and is not intended to be and should not be used by anyone other than these specified parties.

CohnReznick LLP

Hartford, Connecticut
March 4, 2021

**University of Connecticut
UCONN 2000 Construction Projects Substantially Complete**

Schedule of UCONN 2000 Construction Projects

June 30, 2020

Project Description	Approved Budget Amount	Original Project Value	Net Construction Change Orders	Reported Project Value	Amount Under Approved Budget Amount
Named Projects					
Fine Arts Phase II - Renovation and Improvements	\$ 37,530,000	\$ 33,309,737	\$ 2,739,273	\$ 36,049,010	\$ 1,480,990
Residential Life Facilities - East Campus Door Hardware Replacement	13,000	12,920	-	12,920	80
Named Projects Totals	\$ 37,543,000	\$ 33,322,657	\$ 2,739,273	\$ 36,061,930	\$ 1,481,070
Stand-Alone UCONN 2000 Deferred Maintenance and Equipment Projects					
Beach Hall Lab Renovations	6,000,000	3,956,144	144,986	4,101,130	1,898,870
Campus Wayfinding Improvements	1,900,000	1,899,432	-	1,899,432	568
CUP Equipment Replacement and Pumping Improvements	23,000,000	16,333,585	331,210	16,664,795	6,335,205
Exigent Repair/Replacement of Steam and Condensate Piping	2,000,000	1,832,871	91,565	1,924,436	75,564
Gampel Pavilion Wireless Infrastructure Expansion	550,000	502,774	-	502,774	47,226
Horsebarn Hill Pedestrian Safety Improvements	1,750,000	1,338,531	(55,730)	1,282,801	467,199
Main Campus Parking Replacements	12,000,000	7,303,982	2,645,026	9,949,008	2,050,992
Northeast Science Quad Site Improvements	2,000,000	1,488,024	365,156	1,853,180	146,820
Southeast Campus Infrastructure Upgrades	5,000,000	4,807,843	190,240	4,998,083	1,917
Stamford Campus Surface Parking	4,500,000	3,773,670	102,201	3,875,871	624,129
UFCM Code Remediation - Campus Wide Laundry Alterations	3,300,000	2,398,769	23,204	2,421,973	878,027
UTEB - Freshman Design Teaching Laboratory Renovation	525,000	464,289	-	464,289	60,711
Utility Infrastructure GIS Mapping	3,236,000	768,623	-	768,623	2,467,377
Stand-Alone UCONN 2000 Deferred Maintenance and Equipment Projects Totals	\$ 65,761,000	\$ 46,868,537	\$ 3,837,858	\$ 50,706,395	\$ 15,054,605
Projects Cancelled or Withdrawn					
Northwest Science Quad Infrastructure - Phase III	700,000	225,245	-	225,245	474,755
Projects Cancelled or Withdrawn Totals	\$ 700,000	\$ 225,245	\$ -	\$ 225,245	\$ 474,755
Totals	\$ 104,004,000	\$ 80,416,439	\$ 6,577,131	\$ 86,993,570	\$ 17,010,430

The accompanying notes are an integral part of the Schedules.

**University of Connecticut
UCONN 2000 Construction Projects Substantially Complete**

Schedule of UCONN 2000 Reported Project Values

June 30, 2020

Project Description	Project Expenditures Paid through December 31, 2020	Anticipated Remaining Commitments	Reported Project Value
Named Projects			
Fine Arts Phase II - Renovation and Improvements	\$ 33,668,159	\$ 2,380,851	\$ 36,049,010
Residential Life Facilities - East Campus Door Hardware Replacement	12,920	-	12,920
Named Projects Totals	\$ 33,681,079	\$ 2,380,851	\$ 36,061,930
Stand-Alone UCONN 2000 Deferred Maintenance and Equipment Projects			
Beach Hall Lab Renovations	\$ 4,082,457	\$ 18,673	\$ 4,101,130
Campus Wayfinding Improvements	1,892,513	6,919	1,899,432
CUP Equipment Replacement and Pumping Improvements	14,450,801	2,213,994	16,664,795
Exigent Repair/Replacement of Steam and Condensate Piping	1,922,284	2,152	1,924,436
Gampel Pavilion Wireless Infrastructure Expansion	501,807	967	502,774
Horsebarn Hill Pedestrian Safety Improvements	1,282,801	-	1,282,801
Main Campus Parking Replacements	9,675,795	273,213	9,949,008
Northeast Science Quad Site Improvements	1,853,180	-	1,853,180
Southeast Campus Infrastructure Upgrades	4,580,708	417,375	4,998,083
Stamford Campus Surface Parking	3,640,731	235,140	3,875,871
UFCM Code Remediation - Campus Wide Laundry Alterations	2,262,331	159,642	2,421,973
UTEB - Freshman Design Teaching Laboratory Renovation	464,289	-	464,289
Utility Infrastructure GIS Mapping	748,212	20,411	768,623
Stand-Alone UCONN 2000 Deferred Maintenance and Equipment Projects Totals	\$ 47,357,909	\$ 3,348,486	\$ 50,706,395
Projects Cancelled or Withdrawn			
Northwest Science Quad Infrastructure - Phase III	\$ 225,245	-	\$ 225,245
Projects Cancelled or Withdrawn Totals	\$ 225,245	\$ -	\$ 225,245
Totals	\$ 81,264,233	\$ 5,729,337	\$ 86,993,570

The accompanying notes are an integral part of the Schedules.

University of Connecticut
UCONN 2000 Construction Projects Substantially Complete

Notes to the Schedules of UCONN 2000 Construction Projects
and UCONN 2000 Reported Project Values
June 30, 2020

Note 1 - Presentation and Significant Accounting Policies

Presentation

The University of Connecticut (the "University") is a comprehensive institution of higher education, which includes the University of Connecticut Health Center ("UConn Health") and is a major enterprise fund of the State of Connecticut, which uses the accrual basis of accounting. Under the accrual basis of accounting, project expenditures are recorded when the related liability is incurred.

The Schedules of UCONN 2000 Construction Projects and Reported Project Values (collectively, the "Schedules") have been prepared by the University's management to comply with certain legislation requiring independent auditors to annually conduct an audit of projects of UCONN 2000, as defined by Public Act 07-166 which amends Sec. 13 section 10a - 109z of the Connecticut General Statutes.

Use of estimates

Management uses estimates and assumptions in preparing the Schedules in accordance with accounting principles generally accepted in the United States of America for reported project values. Those estimates and assumptions affect the reported amounts of the reported project values and disclosure of contingent liabilities. Actual results could vary from the estimates that were used.

Approved budget amounts

The approved budget amounts are the final budgeted amounts for the entire project approved by the Board of Trustees of the University, Executive Vice President for Administration and Chief Financial Officer or other authorized approver in accordance with University policies and procedures.

Original project values

Original project values represent all project costs before construction changes.

Net construction change orders

An approved change order is a written agreement between the University and the general contractor or construction manager to change the original construction contract. Change orders add to, delete from, or otherwise alter the work set forth in the contract documents at the time that the construction contract is bid.

Reported project value

Reported project value includes the original signed contracts plus executed contract changes, and all other project costs, including changes in construction, design, equipment, materials, site, and period for completion of work and represents the total cost of the project.

Amounts under approved budget amount

Amounts under approved budget amount are reallocated to other UConn 2000 projects upon project close out.

University of Connecticut
UCONN 2000 Construction Projects Substantially Complete

Notes to the Schedules of UCONN 2000 Construction Projects
and UCONN 2000 Reported Project Values
June 30, 2020

Project expenditures

Project expenditures include all costs related to the intent of the project, as defined in the approved project's scope, for specific projects that were substantially completed as of June 30, 2020. This includes all direct construction expenditures to general contractors and subcontractors as well as all indirect costs necessary to successfully execute the project, such as internal labor, insurance, various professional fees and any necessary furniture, fixtures and equipment.

Anticipated remaining commitments

Anticipated remaining commitments consist of unpaid balances on approved contracts and change orders as of December 31, 2020.

Note 2 - Subsequent Events

As of December 31, 2020, the University has anticipated remaining commitments on projects that were substantially completed during the year ended June 30, 2020 of \$5,729,337, which have been obligated to the project but the invoice has not yet been received or paid. From December 31, 2020 through March 4, 2021, no additional anticipated remaining commitments on projects that were substantially completed during the year ended June 30, 2020 have been identified.

The University has evaluated subsequent events for potential recognition and/or disclosure through March 4, 2021, the date the Schedules were available to be issued.



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