

# UConn

UNIVERSITY OF CONNECTICUT

*Board of*



# TRUSTEES

VOL. 230 JUNE 29, 2022

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

**AGENDA**

Meeting held by Telephone

June 29, 2022

Public Call In Number:  
(415) 655-0002 US Toll  
Access Code: 2624 118 8403

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 Board of Trustees during the Public Participation portion of the June 29 meeting, you must submit a request in writing **24 hours in advance of the start of the meeting (by Tuesday, June 28 @ 9:00 a.m.)** to the following email address: [boardoftrustees@uconn.edu](mailto:boardoftrustees@uconn.edu). Please indicate your name, affiliation, and topic to be discussed. Per the University By-Laws, the Board may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, you may also submit your comments via email which will be shared with the Board.

2. Chairman's Report

- (a) Matters outstanding
- (b) Board recognitions
- (c) Minutes of the meeting of April 27, 2022
- (d) Consent Agenda Items:
  - (1) Contracts and Agreements (Attachment 1)
  - (2) Option Agreement Concerning Future Development of a Connected and Autonomous Vehicle Test Track at the UConn Depot Campus (Attachment 2)
  - (3) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2023 (Attachment 3)
  - (4) Project Budget (Revised Final) for Public Safety Building Improvements (Attachment 4)

- (5) Project Budget (Revised Final) for B4 Steam Vault and Line Exigent Repair (Attachment 5)
- (6) Project Budget (Design) for South Campus Infrastructure (Attachment 6)
- (7) Project Budget (Final) for Residential Life Facilities: Mansfield Apartments Redevelopment (Attachment 7)
- (8) Project Budget (Revised Planning) for Field House – Old Rec Center Renovation (Attachment 8)
- (9) Project Budget (Revised Final) for Main Campus Substation Switchgear Relay Replacement – AET5P-14G SCADA (Attachment 9)
- (10) Project Budget (Revised Final) for Atwater Laboratory Emergency Power Installation (Attachment 10)
- (11) Project Budget (Final) for School of Engineering Backfill Project (Attachment 11)
- (12) Project Budget (Revised Final) for George C. White Building Roof and Drainage System (Attachment 12)
- (13) Program Budget for Wired Access Layer Infrastructure Refresh – Phase IV (Attachment 13)
- (14) Project Budget (Design) for the UConn Health 16 Munson Road Parking Lot Paving (Attachment 14)
- (15) Project Budget (Design) for the UConn Health Building D and Building N Roof Replacement (Attachment 15)
- (16) Project Budget (Design) for the UConn Health Building E and Building K Roof Replacement (Attachment 16)
- (17) Project Budget (Design) for the UConn Health Main Building Lab Area Renovations – 2nd Floor (Attachment 17)
- (18) Project Budget (Design) for the UConn Health Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation (Attachment 18)
- (19) Project Budget (Final) for the UConn Health 5 Munson Road Clinical Fit-Out (Attachment 19)
- (20) Project Budget (Design) for the UConn Health Canzonetti (F) Building Wound Care Center Renovation (Attachment 20)
- (21) Project Budget (Design) for the UConn Health Psychiatry Seclusion Suite & Nurse Station Security Renovation (Attachment 21)
- (22) Project Budget (Planning) for the UConn Health Central Sterile Washer & Sterilizer Replacement (Attachment 22)
- (23) Project Budget (Planning) for the UConn Health New England Sickle Cell Institute Renovation (Attachment 23)

- (24) Tenure at Hire (Attachment 24)
- (25) Promotion and Tenure (Attachment 25)
- (26) Designation of Emeritus Status (Attachment 26)
- (27) Sabbatical Leave Recommendations (Attachment 27)
- (28) Appointment of Professor Charles Towe to the DeFavero Professorship in the College of Agriculture, Health and Natural Resources (Attachment 28)
- (29) Graduate Certificate in Global Health (Attachment 29)
- (30) Graduate Certificate in Obesity Prevention and Weight Management (Attachment 30)
- (31) Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit (Attachment 31)
- (32) Establishment of the Christopher J. Dodd Chair in Human Practice in the Human Rights Institute (Attachment 32)
- (33) Establishment of the Wiktor Osiatynski Chair in Human Rights in the Human Rights Institute (Attachment 33)
- (34) Modification of GE Capital Professorship in Business (Attachment 34)
- (35) Modification of United Technologies Corporation Engineering Building (Attachment 35)
- (36) Modification of United Technologies Corporation Naming Recommendations (Attachment 36)

3. President's Report

4. Academic Affairs Committee Report

- (a) Report on Committee activities
- (b) Community Engagement Presentation  
Presenter: Steven M. Lepowsky, D.D.S.  
Dean, School of Dental Medicine

5. Financial Affairs Committee Report

- (a) Report on Committee activities
- (b) Presentation: FY23 Budget Presentation (Attachment 37)  
Presenters: Interim Vice President for Finance and Chief Financial Officer Lloyd Blanchard  
UCH Chief Financial Officer Jeffrey Geoghegan
- (c) Items requiring Board discussion and approval:  
Budget Items (Storrs-based and UConn Health):
  - (1) Fiscal Year 2023 Budget for the University of Connecticut, Storrs and Regional Campuses (Attachment 38)
  - (2) Fiscal Year 2023 Budget for UConn Health (Attachment 39)
  - (3) Fiscal Year 2023 Capital Budget for the University of Connecticut (Attachment 40)

Bond Allocations:

- (4) Twenty-Ninth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds (Attachment 41)
  - (5) Revised Allocation of Bond Authorizations as set Forth in the Twenty-Third Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 42)
  - (6) Revised Allocation of Bond Authorizations as set forth in the Twenty-Sixth Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 43)
- 6. UConn Health Report
    - (a) Report on UConn Health activities
  - 7. Joint Audit & Compliance Committee Report
    - (a) Report on Committee activities
  - 8. Buildings, Grounds & Environment Committee Report
    - (a) Report on Committee activities
  - 9. Construction Management Oversight Committee Report
    - (a) Report on Committee activities
  - 10. Student Life Committee Report
    - (a) Report on Committee activities
  - 11. Institutional Advancement Committee Report
    - (a) Report on Committee activities
  - 12. Committee for Diversity, Equity and Inclusion Report
    - (a) Report on Committee activities
  - 13. Committee for Research, Entrepreneurship and Innovation Report
    - (a) Report on Committee activities
  - 14. Committee on Compensation
    - (a) Report on Committee activities
  - 15. Other business
  - 16. Executive Session anticipated
  - 17. Adjournment

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

# **ATTACHMENT 1**

**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

**PROCUREMENT - NEW\* FOR APPROVAL**

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

| <b>FURNITURE</b> |                       |              |                 |                   |                  |   |  |  |  |
|------------------|-----------------------|--------------|-----------------|-------------------|------------------|---|--|--|--|
| No.              | Contractor            | Contract No. | Approval Amount | Term              | Fund Source      | Program Director  | Purpose  |  |  |
| 1                | Red Thread Spaces LLC | EI00140      | \$3,000,000     | 02/28/22-02/27/27 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO | Premium office furniture featuring the Steelcase product line for all University campuses. Sourced through an E&I Cooperative Agreement. Future extensions may be exercised at the discretion of the consortium. Of the \$3,000,000 requested, approximately \$900,000 will be used for the Academic & Research Facilities - STEM Research Center Science 1 project. |  |  |

**PROCUREMENT - AMENDMENTS\* FOR APPROVAL**

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

| <b>APPLE PRODUCTS</b> |            |              |  |                   |                  |  |                                   |                   |                   |   |
|-----------------------|------------|--------------|--|-------------------|------------------|--|-----------------------------------|-------------------|-------------------|---|
| No.                   | Contractor | Contract No. | New Approval Amount  | Term              | Fund Source      | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 2                     | Apple      | 13PSX0280    | \$1,000,000; [Contract Value Previously \$5,704,676; Total New Contract Value \$6,704,766] | 10/01/15-02/28/23 | Multiple Sources | Michael Mundrane, Vice President and Chief Information Officer | \$4,610,429                       | \$1,446,935       | \$1,184,750       | Apple equipment, products and services for all University campuses. <b>Amend to increase contract value by \$1,000,000, for total new contract value of \$6,704,676. Amend to extend contract term seven months, through 02/28/23.</b> Sourced through a State of Connecticut contract. Future extensions may be exercised by the State. An extension of seven months is requested to align with the term under the State's agreement. An increase of \$1,000,000 is requested by ITS to cover the cost of a refresh of hardware (i.e. computers, monitors, etc.) for various University departments. |

**CELLULAR SERVICE AND SUPPLIES**

| No. | Contractor         | Contract No. | New Approval Amount   | Term              | Fund Source        | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
|-----|--------------------|--------------|---|-------------------|--------------------|---|-----------------------------------|-------------------|-------------------|---|
| 3   | Cellco Partnership | 18PSX0189    | \$1,100,000 [Contract Value Previously \$450,000; Total New Contract Value \$1,500,000] | 04/01/21-06/30/24 | Auxiliary Services | Joseph Thompson, AVP for University Business Services and CPO | \$393,364                         | \$0               | \$0               | Cellular service and supplies for all University campuses, excluding UCH. <b>Amend to increase contract value by \$1,100,000, for total new contract value of \$1,150,000.</b> Contract term remains the same. This is a State of Connecticut contract. Future extensions may be exercised at the discretion of the State. An increase of \$1,100,000 is requested to cover cellular service and supply expenses throughout the remainder of the contract term. |

**HVAC & PLUMBING SUPPLIES**

| No. | Contractor                              | Contract No. | New Approval Amount  | Term              | Fund Source      | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
|-----|---|--------------|--|-------------------|------------------|---|-----------------------------------|-------------------|-------------------|--|
| 4   | B&F Electric Motors, LLC/Johnson Supply | DS020116-3   | \$0 [Contract Value Previously \$1,000,000; Contract Value Remains the Same] | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO | \$66,113                          | \$0               | \$8,204           | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22.</b> Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods. |
| 5   | BellSimmons Companies                   | DS020116-1   | \$0 [Contract Value Previously \$1,000,000; Contract Value Remains the Same] | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO | \$445,899                         | \$64,275          | \$50,894          | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22.</b> Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods. |

**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

| <b>HVAC &amp; PLUMBING SUPPLIES (Continued)</b> |  |              |  |                   |                  |  |                                   |                   |                   |   |
|---|--|--------------|--|-------------------|------------------|--|-----------------------------------|-------------------|-------------------|---|
| No.   | Contractor   | Contract No. | New Approval Amount  | Term              | Fund Source      | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 6   | F.W. Webb  | DS020116-2   | \$0<br>[Contract Value Previously \$1,600,000; Contract Value Remains the Same]            | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO  | \$1,180,683                       | \$116,015         | \$138,931         | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22</b> . Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods.   |
| 7   | The Granite Group Wholesaler   | DS020116-4   | \$0<br>[Contract Value Previously \$7,059,054; Contract Value Remains the Same]            | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO  | \$4,784,867                       | \$543,598         | \$849,760         | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22</b> . Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods.   |
| 8   | Torrington Supply Co. Inc.   | DS020116-5   | \$0<br>[Contract Value Previously \$1,000,000; Contract Value Remains the Same]            | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO  | \$679,725                         | \$66,704          | \$123,622         | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22</b> . Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods.   |
| 9   | Tower Equipment  | DS020116-6   | \$0<br>[Contract Value Previously \$1,000,000; Contract Value Remains the Same]            | 07/01/16-12/31/22 | Multiple Sources | Joseph Thompson, AVP for University Business Services and CPO  | \$197,439                         | \$11,440          | \$28,611          | HVAC and plumbing supplies for all University campuses. This agreement is part of a multiple award to various HVAC and plumbing manufacturers to accommodate the needs of end users. <b>Amend to extend contract term 6 months, through 12/31/22</b> . Contract value remains the same. Zero extensions remain. The contract extension is requested to allow sufficient time for the University to evaluate alternate sourcing methods.   |
| <b>INTERNET SERVICES</b>                        |  |              |  |                   |                  |  |                                   |                   |                   |   |
| No.   | Contractor   | Contract No. | New Approval Amount  | Term              | Fund Source      | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 10  | State of Connecticut - Bureau of Enterprise Services and Technology (BEST) | MOA082509    | \$402,505<br>[Contract Value Previously \$6,478,262; Total New Contract Value \$6,880,767] | 07/01/04-06/30/23 | Multiple Sources | Michael Mundrane, Vice President and Chief Information Officer | \$6,130,767                       | \$450,600         | \$450,600         | Internet services provided through the network operated by the Connecticut Education Network (CEN) for all University campuses, excluding UCH. <b>Amend to increase contract value \$402,505, for total new contract value of \$6,880,767. Amend to extend contract term one year, through 06/30/23.</b> Sourced through a Memorandum of Agreement with the State. Future extensions may be exercised at the discretion of the State. An extension of one year and an increase of \$402,505 is requested to provide Internet I & II hardware and support as outlined in the Internet Service Agreement with the State of Connecticut Department of Information Technology and will support the monthly bandwidth and maintenance billings for FY23. |



**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

| <b>MILK AND MILK PRODUCTS</b> |                                |                  |  |                   |                    |  |                                   |                   |                   |   |
|-------------------------------|--------------------------------|------------------|--|-------------------|--------------------|--|-----------------------------------|-------------------|-------------------|---|
| No.                           | Contractor                     | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 11                            | Mountain Dairy                 | UC-17-LP040717-8 | \$404,655;<br>[Contract Value Previously \$900,000; Total New Contract Value \$1,304,655]      | 07/01/17-06/30/24 | Auxiliary Services | Michael Gilbert,<br>Vice President for Student Affairs           | \$864,831                         | \$85,449          | \$249,197         | CT produced milk and milk products primarily for the Department of Dining Services for student meals, catering and other needs. <b>Amend to increase contract value by \$404,655, for total new contract value of \$1,304,655. Amend to extend term two years, through 06/30/24.</b> Milk prices continue to increase. Dining Services, in consultation with Procurement Services, has decided to extend the contract term with the current provider and will solicit a new agreement prior to the end of the 06/30/24 expiration date once the market stabilizes. The anticipated spend is a reflection of the rising costs in the market as well as a projected higher number of incoming freshman students than in past years. |
| <b>MRO SUPPLIES</b>           |                                |                  |  |                   |                    |  |                                   |                   |                   |   |
| No.                           | Contractor                     | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 12                            | Fastenal                       | 2018.00206       | \$5,000,000;<br>[Contract Value Previously \$5,000,000; Total New Contract Value \$10,000,000] | 07/01/18-06/30/25 | Operating Funds    | Michael Jednak,<br>AVP Facilities Operations & Building Services | \$4,467,593                       | \$1,587,160       | \$1,317,892       | Maintenance, repairs, operational supplies and related services for all University campuses. <b>Amend to increase contract value \$5,000,000, for total new contract value of \$10,000,000.</b> Contract term remains the same. Zero extensions remain. Sourced through a National IPA consortia agreement. Future extensions may be exercised at the discretion of the consortium. An increase of \$5,000,000 is requested to fund the contract through the remainder of the current term and cover MRO purchases requested throughout all University campuses.  |
| 13                            | WW Grainger                    | Omnia 192163     | \$500,000;<br>[Contract Value Previously \$900,000; Total New Contract Value \$1,400,000]      | 07/01/19-12/31/24 | Operating Funds    | Michael Jednak,<br>AVP Facilities Operations & Building Services | \$690,671                         | \$315,951         | \$119,288         | Maintenance, repairs, operational supplies and related services for all University campuses. <b>Amend to increase contract value \$500,000, for total new contract value of \$1,400,000. Amend to extend contract term two years, through 12/31/24.</b> Zero extensions remain. Sourced through a National IPA consortia agreement. Future extensions may be exercised at the discretion of the consortium. An increase of \$500,000 is requested to fund the contract through the remainder of the current term and cover MRO purchases requested throughout all University campuses.  |
| <b>PRINT AND PAPER STOCK</b>  |                                |                  |  |                   |                    |  |                                   |                   |                   |   |
| No.                           | Contractor                     | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director   | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose   |
| 14                            | Allied Printing Services, Inc. | MF052119         | \$115,000;<br>[Contract Value Previously \$930,016; Total New Contract Value \$1,050,000]      | 06/06/19-10/30/22 | Multiple Sources   | Joseph Thompson,<br>AVP for University Business Services and CPO | \$930,016                         | \$284,493         | \$326,679         | Print and paper stock for UConn Magazine. <b>Amend to increase contract value \$115,000, for total new contract value of \$1,050,000.</b> Contract term remains the same. An increase of \$115,000 is requested to support remainder of current term during the bidding process and sourcing of a new agreement.  |

**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

| RESEARCH SERVICES   |                                   |               |   |                   |                  |   |                                   |                   |                   |  |
|---|-----------------------------------|---------------|---|-------------------|------------------|---|-----------------------------------|-------------------|-------------------|--|
| No.   | Contractor                        | Contract No.  | New Approval Amount   | Term              | Fund Source      | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 15  | Broad Institute                   | UC-KK080420   | \$0;<br>[Contract Value Previously \$4,000,000; Contract Value Remains the Same]              | 08/04/20-06/30/23 | Operating Funds  | Suzanne Onorato, Executive Director Student Health and Wellness | \$1,972,756                       | \$1,972,756       | \$0               | COVID testing for Storrs residential students. <b>Amend to extend term one year, through 06/30/23.</b> Contract value remains the same. This agreement may be extended upon mutual consent. An extension of one year is requested to extend term through 06/30/23 to meet forecasted testing needs for the 2022-2023 academic year based on current testing plan.  |
| 16  | Vault Medical Services            | UC-KK062520-5 | \$0;<br>[Contract Value Previously \$7,000,000; Contract Value Remains the Same]              | 07/29/20-08/11/23 | Operating Funds  | Suzanne Onorato, Executive Director Student Health and Wellness | \$3,689,727                       | \$3,503,500       | \$0               | COVID testing for Stamford residential students, other UConn populations as testing or required or mandated. <b>Amend to extend term one year, through 08/11/23.</b> Contract value remains the same. This agreement may be extended upon mutual consent. An extension of one year is requested to extend term through 08/11/23 to meet forecasted testing needs for the 2022-2023 academic year based on current testing plan.  |
| SECURITY SYSTEMS INFRASTRUCTURE HARDWARE & RELATED SERVICES |                                   |               |   |                   |                  |   |                                   |                   |                   |  |
| No.   | Contractor                        | Contract No.  | New Approval Amount   | Term              | Fund Source      | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 17  | Security Technologies, Inc.       | LM110818-2    | \$2,000,000;<br>[Contract Value Previously \$1,850,000; Total New Contract Value \$3,850,000] | 04/01/19-02/29/24 | Multiple Sources | Michael Jednak, AVP Facilities Operations & Building Services   | \$1,816,696                       | \$567,656         | \$322,022         | Provide security system infrastructure hardware installation, upgrading, relocation and repair services for all University campuses <b>Amend to increase contract value \$2,000,000, for total new contract value of \$3,850,000. Amend to extend term one year, through 02/29/24.</b> Zero extensions remain. An increase of \$2,000,000 is requested to fund the remainder of the requested term and cover security system upgrades and new system installations that are being performed throughout the campuses.                                 |
| 18  | Environmental Systems Corporation | LM110818-4    | \$1,000,000;<br>[Contract Value Previously \$800,000; Total New Contract Value \$1,800,000]   | 04/01/19-02/29/24 | Multiple Sources | Michael Jednak, AVP Facilities Operations & Building Services   | \$594,217                         | \$284,363         | \$37,707          | Provide security system infrastructure hardware installation, upgrading, relocation and repair services for all University campuses <b>Amend to increase contract value \$1,000,000, for total new contract value of \$1,800,000. Amend to extend term one year, through 02/29/24.</b> Zero extensions remain. An increase of \$1,000,000 is requested to fund the remainder of the requested term and cover security system upgrades and new system installations that are being performed throughout the campuses.                                 |
| SPRINKLER SYSTEM TESTING & INSPECTION                       |                                   |               |   |                   |                  |   |                                   |                   |                   |  |
| No.   | Contractor                        | Contract No.  | New Approval Amount   | Term              | Fund Source      | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 19  | Encore Holdings (All State Fire)  | LM110117      | \$1,900,000<br>[Contract Value Previously \$3,725,392 Total New Contract Value \$5,625,392]   | 07/01/18-06/30/24 | Operating Funds  | Michael Jednak, AVP Facilities Operations & Building Services   | \$3,606,862                       | \$980,732         | \$876,413         | Testing, inspection and repair services for various sprinklers, fixed extinguishing and hood suppression systems at all University campuses, excluding UCH. <b>Amend to increase contract value \$1,900,000, for total new contract value of \$5,625,292.</b> Contract term remains the same. Zero extensions remain. An increase of \$1,900,000 is requested to fund the remainder of the current term and will cover the annual testing and inspection services as well as perform major repairs that are encountered during maintenance services. |

**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

| <b>STUDENT HEALTH INSURANCE</b>                           |                                  |                  |  |                   |                    |   |                                   |                   |                   |  |
|---|----------------------------------|------------------|--|-------------------|--------------------|---|-----------------------------------|-------------------|-------------------|--|
| No.   | Contractor                       | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 20  | Wellfleet Group, LLC             | UC-19-KA102918-8 | \$6,829,143<br>[Contract Value Previously \$20,750,000 Total New Contract Value \$27,579,143]  | 08/15/19-08/14/23 | Auxiliary Services | Suzanne Onorato, Executive Director Student Health and Wellness                       | \$20,579,143                      | \$2,798,765       | \$5,598,420       | Health insurance for registered University and UCH students, including UCH dental residents and other eligible individuals. Coverage is 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. <b>Amend to increase contract value \$6,829,143, for total new contract value of \$27,579,143. Amend to extend contract term one year, through 08/14/23.</b> One extension of one year remains.   |
| <b>TRAVEL SERVICES</b>                                    |                                  |                  |  |                   |                    |   |                                   |                   |                   |  |
| No.   | Contractor                       | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 21  | Anthony Travel                   | UC-18-KA021617-8 | \$0<br>[Contract Value Previously \$25,000,000; Contract Value Remains the Same]               | 07/01/17-06/30/24 | Multiple Sources   | Joseph Thompson AVP for University Business Services and CPO                          | \$11,141,950                      | \$709,839         | \$2,709,601       | Full range of travel services provided to the University including, but not limited to, airline bookings, hotel bookings, group travel and after-hour services. Vendor is paid the salary for three on-site agents (2 for Athletics and 1 for non-Athletics) and any applicable pass-through charges to airline and/or hotels. <b>Amend to extend contract term two years, through 06/30/24.</b> One extension of two years remains. Contract value remains the same.  |
| <b>UNIFORM PURCHASES, RENTALS AND LAUNDERING SERVICES</b> |                                  |                  |  |                   |                    |   |                                   |                   |                   |  |
| No.   | Contractor                       | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 22  | Swiss Laundry of Rockville, Inc. | UC-KA040618-8A   | \$236,837<br>[Contract Value Previously \$1,052,707; Total New Contract Value \$1,289,544]     | 09/13/18-08/31/23 | Multiple Sources   | Joseph M. Thompson, AVP of University Business Services and Chief Procurement Officer | \$989,554                         | \$254,058         | \$341,842         | Uniform purchases and rentals of fire retardant (FR) garments, laundering, dry-cleaning and other applicable services (i.e. pickup, drop-off, and alterations) for all University campuses. Additionally provides lab-coat purchase options as well as laundering for these items. <b>Amend to increase contract value by \$236,837, for total new contract value of \$1,289,544. Amend to extend contract term one year, through 08/31/23.</b> Zero extensions remain. An extension of one year and an increase of \$236,837 are requested to accommodate campus uniform and laundering needs for FY23.   |
| <b>NON-PROCUREMENT AMENDMENTS* FOR APPROVAL</b>           |                                  |                  |  |                   |                    |   |                                   |                   |                   |  |
| <b>LIBRARY SERIALS AND SUBSCRIPTIONS</b>                  |                                  |                  |  |                   |                    |   |                                   |                   |                   |  |
| No.   | Contractor                       | Contract No.     | New Approval Amount  | Term              | Fund Source        | Program Director  | Total Expenditures as of 05/01/22 | Expenditures FY21 | Expenditures FY20 | Purpose  |
| 23  | EBSCO Information Services       | UC-17-JL20316    | \$5,034,420<br>[Contract Value Previously \$15,929,972; Total New Contract Value \$20,963,492] | 07/01/17-06/30/24 | Multiple Sources   | Anne Langley, Dean of UConn Library   | \$13,963,492                      | \$2,213,886       | \$3,470,694       | 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 contract amendments. <b>Amend to increase contract value by \$5,034,420, for total new contract value of \$20,963,492. Amend to extend contract term two years, through 06/30/24.</b> One extension of two years remains. Contract value remains the same. An extension of two years and an increase of \$5,034,420 are requested by UConn Library to support library serials and subscriptions for the next two years. |

**CONTRACT AGREEMENTS  
FOR APPROVAL  
June 29, 2022**

**REVENUE AMENDMENTS\* FOR APPROVAL**

| REVENUE AGREEMENT |                               |              |   |                   |             |   |                              |              |              |  |
|-------------------|-------------------------------|--------------|---|-------------------|-------------|---|------------------------------|--------------|--------------|--|
| No.               | Contractor                    | Contract No. | New Approval Amount   | Term              | Fund Source | Program Director  | Total Revenue as of 05/01/22 | Revenue FY21 | Revenue FY20 | Purpose  |
| 24                | 2U/Trilogy Education Services | N/A          | \$1,574,268<br><i>[Contract Value Previously \$826,004; Total New Contract Value 2,400,272]</i> | 07/30/19-07/29/26 | Revenue     | Jonathan Bartolotta, Program Manager SOE Professional Education | \$720,272                    | \$276,443    | \$140,549    | 2U/Trilogy Education Services provides coding boot camp coursework to students. These services are provided in an online format. 2U/Trilogy provides curriculum, instructors, and marketing for these boot camp classes, and the University provides a review of instructor applications, curriculum development, and branding compliance. The University maintains a website for these programs that links to an external page designed by 2U/Trilogy. <b>Amend to increase contract value by \$1,574,268, for total new contract value of \$2,400,272. Amend to extend contract term four years, through 07/29/26.</b> |

**TUITION DISCOUNT PROGRAM**

| No. | Contractor                                    | Contract No. | New Approval Amount | Term              | Fund Source   | Program Director  | Total Revenue as of 04/25/22 | Revenue AY21 | Revenue AY20 | Purpose  |
|-----|---|--------------|---------------------|-------------------|---------------|---|------------------------------|--------------|--------------|--|
| 25  | Raytheon Technologies Corporation (f/k/a UTC) | UTC070112    | N/A                 | 07/01/19-06/30/23 | Tuition Funds | Anne D'Alleva, Interim Provost and Exec Vice President for Academic Affairs | \$1.7M                       | \$2.55M      | \$3.63M      | 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. <i>(Tuition Discount Policy was originally adopted by the Board on 06/28/12).</i> <b>Amend to extend contract term one year, through 06/30/23.</b> |

**LEASES & LICENSES 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         | \$275,892 (maximum)   | 08/01/22-07/31/23   | Operating Fund - General | Michael Jednak, AVP for Facilities Operations                     | Reservation Agreement to support university temporary housing needs for up to 15 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   | Farmington Exchange LLC | \$149,184             | 11/01/26-01/31/28   | Operating Funds          | Kimberly Metcalf, UCH Assoc Vice President Pharm & Ancillary Svcs | Lease of 4,526 sf in Suite 108 and 3,538 sf in Suite 102 at 270 Farmington Ave., Farmington. This is space for UConn Health's retail pharmacy. Landlord agreed to additional improvements in exchange for extension of lease term.  |
| 3   | SEI LLC                 | \$53,625              | 01/31/23-01/30/29 (2 year term with two 2-year renewal options) | Operating Funds          | Anne Horbatuck, UCH VP/COO Ambulatory Svcs, UMG-Administration    | Lease of 1,950 sf (1st floor) located at 162 Mansfield Avenue, Willimantic. This is a continued use of currently leased space.  |

**SEWER SERVICE AGREEMENT - Extension**

| No. | Grantee           | Annual Amount Receivable | Term                                     | Fund Source              | Program Director   | Purpose  |
|-----|-------------------|--------------------------|--|--------------------------|--|--|
| 1   | Town of Mansfield | Variable by Usage        | 07/01/17-06/30/27 (ie. 5 Year Extension) | Operating Fund - General | Michael Jednak, Associate Vice President for Facilities Operations | Continuation of agreement to provide sewer service up to 400,000 gallons per day from private, non-UConn users in the Town of Mansfield for the next five (5) years. Modifications to the terms of the previous service agreement include the addition of a proactive tracking method for future potential sewer use from Town sources, redistribution of capital costs should the plant be expanded in the future depending on the impetus for the expansion, introduction of technical service application requirements and approval criteria, an updated fee and rate schedule, and introduction of automatic future rate adjustments based on changes to the utility cost index. Sewer rates and automatic rate adjustments, which are attached as Exhibit 1 and included in this approval, will not apply to bills issued by the Town of Mansfield. |

**EXHIBIT 1**

**UConn Water and Sewer Fee & Rate Schedule  
(Effective July 1, 2022)**

**WATER CHARGES**

|   |                          |
|---|--------------------------|
| CONNECTION CHARGE .....                         | \$0                      |
| DOMESTIC WATER USE METERED CHARGE.....          | \$6.000 per 1000 gallons |
| DOMESTIC WATER METER FEE.....                   | \$110 per year           |
| DOMESTIC WATER USE FLAT RATE <sup>1</sup> ..... | \$375 per year           |

FIRE PROTECTION FLAT RATE:

Private Fire Charges

| <u>Connection Size</u> | <u>Annual Charge</u> | <u>Quarterly Charge</u> |
|------------------------|----------------------|-------------------------|
| 1" .....               | \$17.71 .....        | \$6.8494                |
| 2" .....               | \$92.80 .....        | \$25.6233               |
| 3" .....               | \$263.41 .....       | \$68.2750               |
| 4" .....               | \$557.67 .....       | \$141.8401              |
| 6" .....               | \$1613.77.....       | \$405.8638              |
| 8" .....               | \$3435.31.....       | \$861.2511              |
| 10" .....              | \$6175.29.....       | \$1546.2473             |
| 12" .....              | \$9972.81.....       | \$2495.6272             |

Public Fire Charges

|                   | <u>Quarterly Charge</u> | <u>Monthly Charge</u> |
|-------------------|-------------------------|-----------------------|
| Per Hydrant ..... | \$66.00 .....           | \$25.00               |

Miscellaneous Fees and Charges

|  |   |
|--|---|
| Bulk water account activation .....        | \$60                                    |
| Bulk water commodity charge .....          | Metered rate = \$6.000 per 1000 gallons |
| Unauthorized hydrant use .....             | \$250                                   |
| Unauthorized water use .....               | \$350                                   |
| Curb box repairs -equipment required ..... | \$350                                   |
| Curb box repairs -hand dug .....           | \$110                                   |
| Cross connection notice fee .....          | \$50                                    |

---

<sup>1</sup> Domestic water use flat rate is reserved only for connections that do not have a water meter or have a written agreement with supplier. UConn Water Supply Rules and Regulations require that all connections have a water meter.

**UConn Water and Sewer Fee & Rate Schedule  
(Effective July 1, 2022)**

**WATER CHARGES (CONTINUED)**

Special Charges

|   |      |
|---|------|
| Service turn off (normal hours) .....                   | \$50 |
| Service turn off (after hours) .....                    | \$65 |
| Service turn on (normal hours) .....                    | \$50 |
| Service turn on (after hours) .....                     | \$65 |
| Service turn on -large meter <: 2" (normal hours) ..... | \$50 |
| Service turn of -large meter <: 2" (after hours) .....  | \$65 |
| Service turn on at curb (normal hours) .....            | \$50 |
| Service turn on (after hours) .....                     | \$65 |
| Service turn on -seasonal activation .....              | \$25 |
| Frozen meter charge .....                               | \$55 |
| Frozen meter charge (after hours) .....                 | \$80 |

Collection Fees

|                          |                             |
|--------------------------|-----------------------------|
| Returned check fee ..... | \$35                        |
| Late payment fee .....   | 1.5% per month <sup>2</sup> |

**SEWER CHARGES**

CONNECTION CHARGES

|   |                                  |
|---|----------------------------------|
| Commercial Connections.....                               | \$10,000 per connection          |
| Residential Connections                                   |                                  |
| Single Family.....  | \$1500 per connection            |
| Multi-Family .....  | \$650 per unit per connection    |
| Acreage Fee.....  | \$200 per 0.1 acre               |
| SEWER USE CHARGE.....                                     | \$7.60 per 1000 gal              |
| METERED SEWER USE CHARGE.....                             | \$7.60 per 1000 gal <sup>3</sup> |
| SEWER USE FLAT FEE (no sewer meter, no water meter) ..... | \$395 per year                   |

---

<sup>2</sup> The interest charges are applied at the time of billing and are applied to past due amounts only. Monthly customers would have a one-month interest charge applied at the time of billing and quarterly customers would have a three-month interest charge applied at the time of billing (3 times the monthly interest rate).

<sup>3</sup> The Town of Mansfield will be invoiced based on the Sewer Service Agreement between Town of Mansfield and University of Connecticut Section 6 (a) and (b), and Section 9 (a) through (e), as amended.

**UConn Water and Sewer Fee & Rate Schedule**  
**(Effective July 1, 2022)**

**AUTOMATIC ANNUAL ESCALATION OF RATES AND FEES**

The rates and charges set forth shall be annually adjusted for inflation by the Consumer Price Index (CPI-U) for the Hartford CT area. This adjustment shall be effective January 1st of each year beginning January 1, 2023. Under no circumstances shall the rates and charges decrease because of the CPI adjustment, without separate and specific action by the UConn Board of Trustees.

**PENALTIES FOR VIOLATIONS**

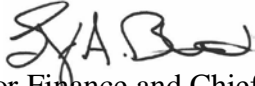
In accordance with **Connecticut General Statutes Title 22 Section 22a-469** any person who or municipality which violates any provisions of sections 22a-463 to 22a-469, inclusive, or the provisions or requirements of this Sewer Service Agreement shall be subject to the penalties provided for in section 22a-438. Additionally, any costs for repair, system recovery, or environmental cleaning and disposal shall be the responsibility of the violator.


## **ATTACHMENT 2**



June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Option Agreement concerning future development of a Connected and  
Autonomous Vehicle Test Track at the UConn Depot Campus

**RECOMMENDATION:**

That the Board of Trustees approve the Option Agreement between the University of Connecticut, as seller, and Promesa Capital LLC, as buyer, concerning the option to purchase approximately 105 acres of land at the UConn Depot Campus for the future development of a Connected and Autonomous Vehicle Test Track and Research Facility. The Administration recommends that the Board of Trustees adopt the Resolution below.

**RESOLUTION:**

“Be it resolved that the Board of Trustees approve the Option Agreement between the University of Connecticut, as seller, and Promesa Capital LLC, as buyer, concerning the option to purchase approximately 105 acres of land at the UConn Depot Campus for the future development of a Connected and Autonomous Vehicle Test Track and Research Facility”.

**BACKGROUND:**

The Connecticut Transportation Institute (CTI), which is part of the UConn School of Engineering, conducts research in connected and autonomous vehicles and smart city/smart energy systems. In 2019, Promesa Capital LLC approached CTI about developing a Connected and Autonomous Vehicle Test Track and Research Facility (hereinafter, the “CAV Test Track”). After conducting preliminary investigations on available property both on- and off-campus for development of a CAV Test Track, a determination was made that the most advantageous location for the facility would be in close proximity to the University and at the UConn Depot

Campus. It was also determined that an outright sale of the property to the buyer would be the most favorable approach for the University and for the project as a whole.

### MATERIAL TERMS

The Option Agreement would grant Promesa Capital LLC the option to purchase approximately 105 acres of the UConn Depot Campus for the purpose of constructing and operating a CAV Test Track and other energy system research facilities. The proposed purchase price is currently \$5.0 million and will be subject to confirmation by appraisal at the time of the sale. Restrictive covenants on the property will be included in the deed and/or purchase and sale agreement to limit the use of the property to such uses that are compatible with vehicle and/or energy research.

The initial term of the Option Agreement is nine months, during which time the buyer may conduct due diligence on the property, such as site investigations, environmental testing, geotechnical tests, and wetlands review, as well as seeking zoning approvals with the Town of Mansfield. The initial term of the option is provided to the buyer for one dollar. The buyer will also have the right to extend the term of the Option Agreement for up to four additional 6-month periods, provided that the buyer continually pursues approvals for the facility and pays the university a fee of not less than \$30,000 for each extension. If the buyer elects to purchase the land within the option period, the University and buyer will use commercially reasonable efforts to enter into a purchase and sale agreement within sixty (60) days. If the buyer does not exercise the option and/or close on the land, or otherwise encounters unavoidable obstacles, the results of the buyer's testing and investigations may create potential obligations/liability for the University.

In 2021, the buyer projected that the total cost of developing the CAV Test Track (including the purchase price of the land) was in the range of \$30 million. The buyer is responsible for fully funding the land purchase and development and operation of the CAV Test Track, and confirmation of their financial ability to do so will be attained prior to closing on the land sale.




*Proposed Land Area on Depot Campus for the Connected and Automated Vehicle (CAV) Test Tract*

## **ATTACHMENT 3**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Proposed Statement of Work for the UConn Foundation for Fiscal Year 2023

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 2023 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 2023 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, 2022.

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 2023. The goals and objectives established for next year include the following:

- A fundraising goal of \$100 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 \$10,000,000 for development and alumni activities and related services which includes a minimum amount of \$2,835,201 to be devoted specifically to alumni relations activities and services. This represents a reduction of \$2,150,201 from the prior Fiscal Year 2022 Service Fee, which will be absorbed by the UConn Foundation's development operations.

In recognition that the goals and benchmarks for Fiscal Year 2023 will be commensurate with or exceed those of the prior fiscal year (i.e., FY2022), and in consideration of the Foundation's acceptance of a one-time reduction to the Service Fee in order to assist the University in managing certain of its financial exigencies, the University agrees that for the fiscal year following Fiscal Year 2023 (i.e., FY24), it will pay a guaranteed amount to the Foundation of not less than Twelve Million Five Hundred Dollars (\$12,500,000) subject to its acceptance of the goals and benchmarks established by the parties under the terms of a separate Statement of Work to be negotiated by the parties.

## Statement of Work FY23

This Statement of Work FY23 (this “SOW”), effective the 1<sup>st</sup> day of July, 2022, 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, 2022 through June 30, 2023 (“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 Ten Million Dollars (\$10,000,000) during the Period for development and alumni activities and related services (“Service Fee”), 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 Two Million Eight Hundred and Thirty-five Thousand Two Hundred and One Dollars (\$2,835,201) will be devoted specifically to alumni relations activities and services.

In recognition that the goals and benchmarks for the Period described below will be commensurate with or exceed those of the prior fiscal year (i.e., FY2022), and in consideration of the Foundation’s acceptance of a one-time reduction to the Service Fee that otherwise would have been applicable for the Period in order to assist the University in managing certain of its financial exigencies, the University agrees that for the fiscal year following the Period (i.e., FY24), it will pay a guaranteed amount to the Foundation of not less than Twelve Million Five Hundred Dollars (\$12,500,000) subject to its acceptance of the goals and benchmarks established by the parties under the terms of a separate Statement of Work to be negotiated by the parties.

- 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”), a Gift Fee on contributions, and retention of 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 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 1<sup>st</sup>, July 1<sup>st</sup>, October 1<sup>st</sup>, and January 1<sup>st</sup>).

- 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.
  - 3) The Foundation will retain all investment earnings on non-endowed Foundation assets.
- c) Fee Modifications and Waivers: The Foundation, from time to time, may change its Advancement Fee and Gift Fee policies and will notify the University, in writing, of any changes made during the Period. The Foundation will also provide written notice to the University of any Advancement or Gift Fee reduction or waiver that is approved during the Period in accordance with its policies for any gift accepted in an amount greater than or equal to Ten Million Dollars (\$10,000,000).

## **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 one hundred million dollars (\$100M) in new gifts and commitments for the University (inclusive of support for UConn Health ), 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 global financial markets and geopolitical events. 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 UConn Health Board of Directors in the 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.
- b) Increase alumni engagement
- 1) Strengthen lifelong bonds between all members of UConn Nation 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 comprehensive alumni data to create new targets for developing alumni programming.
  - 4) Prepare students to engage as active alumni through programming, volunteering, and giving.
  - 5) Execute outreach and engagement programs to promote the value of philanthropy, increase constituent giving, and support pipeline development.
  - 6) Develop an exemplary alumni relations program 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 at UConn Health.
  - 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 Strong (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) Monitor and align as necessary 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.

**8. Counterparts and Electronic Signatures**

This SOW may be executed by electronic signature and/or in two (2) or more counterparts, each of which will be deemed an original instrument, but all of which will constitute one and the same agreement.

**FOR THE UNIVERSITY OF CONNECTICUT**

\_\_\_\_\_  
Radenka Maric, PhD  
Interim President, University of Connecticut

\_\_\_\_\_  
Date

\_\_\_\_\_  
Lloyd Blanchard, PhD  
Interim Vice President for Finance  
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

\_\_\_\_\_  
Jake Lemon  
President, The University of Connecticut  
Foundation, Incorporated

\_\_\_\_\_  
Date

***APPROVED AS TO FORM***

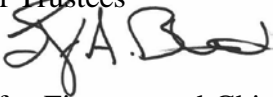
\_\_\_\_\_  
Deputy Associate Attorney General,  
Connecticut State Attorney General's Office

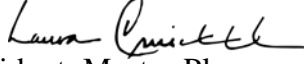
\_\_\_\_\_  
Date

## **ATTACHMENT 4**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Project Budget for Public Safety Building Improvements  
(Revised Final: \$ 7,750,000)

**RECOMMENDATION:**

That the Board of Trustees note the approval of the Revised Final Budget of \$7,750,000, as detailed in the attached project budget, for the Public Safety Building Improvements project, for Construction. The increase of \$300,000 to the Project Budget is attributable to a request made by Public Safety for additional design and construction work to relocate the Dispatch Center from first floor to the second floor, create new offices on the first floor and to develop a business office on the second floor. The Administration recommends that the Board of Trustees adopt the Resolution below.

**RESOLUTION:**

“Be it resolved that the Board of Trustees note the approval of the use of \$7,700,000 in UConn 2000 bond funds and \$50,000 in University Funds for the Public Safety Building Improvements project.”

**BACKGROUND:**

The Public Safety Building on North Eagleville Road is the headquarters for the Division of Public Safety and houses the UConn Police Department, UConn Fire Department, statewide Dispatch Center as well as Division administrative staff. The building serves to support UConn’s statewide public safety efforts at all UConn campuses. The building was opened in 1992 and has not expanded in the nearly 30 years it has been occupied, even though the Division has grown significantly during this time. The dispatch center is undersized to handle the increase in statewide responsibilities, most notably UConn Health. The proposed facility will include gender equitable space for both police, fire and dispatch personnel as well as a safe and inviting lobby area for visitors to the building. The renovation moves the

perception of UConn public safety from an early 1990's view of public safety (police centric) to a progressive and modern university public safety organization.

The scope of this project is to design and construct a new addition at the lawn area adjacent the existing fire department equipment bays to house the fire department staff. The floor area in the existing facility currently occupied by the Fire Department will be renovated to provide additional locker areas for the Police Department, and an expanded dispatch area. To address potential security concerns, a new entrance vestibule and site upgrades are a component of the project scope. The final design is based upon drawings prepared by an architecture firm which have been reviewed during planning and design and approved by the Public Safety Department.

The Public Safety Building Improvements project is currently in the Construction phase with completion in the Fall 2022.

The Public Safety Building Improvements project will conform to Connecticut High Performance Building Code regulations where feasible. The project does not fall within the Statute requirements of a new building construction cost of \$5 million or greater, and the renovation portion of the project is not a construction cost of \$2 million or greater. Applying the high-performance standards to the entire existing building would be burdensome and possibly force changes that are otherwise not within the budget.

The Revised Final Budget is attributable to a request made by Public Safety for additional design and construction work to relocate the Dispatch Center from first floor to the second floor, create new offices on the first floor and to develop a business office on the second floor. The implementation of these changes requires an increase to the \$7,450,000 Approved Revised Final Budget. BOT policy permits the Executive Vice President Administration and CFO to approve changes up to 5% of the project budget, providing that funding is available, and the BOT is subsequently notified of the revised project budget, which is the subject of this resolution.

On May 24, 2022, the Interim Vice President Finance & CFO approved an increase of \$300,000 (4.0% of the approved Revised Final Budget) for a new approved Revised Final Budget of \$7,750,000.

The Revised Final Budget is attached for your information and reflects an increase of \$300,000 to the previously approved final budget of \$7,450,000.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: REVISED FINAL**

**PROJECT NAME: PUBLIC SAFETY BUILDING IMPROVEMENTS**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>10/31/2016</u> | <u>APPROVED<br/>DESIGN<br/>8/10/2018</u> | <u>APPROVED<br/>FINAL<br/>3/27/2019</u> | <u>APPROVED<br/>REVISED<br/>FINAL<br/>12/9/2020</u> | <u>APPROVED<br/>REVISED<br/>FINAL<br/>9/29/2021</u> | <u>APPROVED<br/>REVISED<br/>FINAL<br/>5/24/2022</u> |
|--|---|--|---|---|---|---|
|  | PRC   | PRC                                      |   |   |   | Interim<br>EVPF&CFO                                 |
| CONSTRUCTION                                     | \$ -  | \$ -                                     | \$ 3,200,000                            | \$ 5,550,000  | \$ 5,900,000  | \$ 6,550,000  |
| DESIGN SERVICES                                  | 50,000                                      | 370,000                                  | 462,000                                 | 555,000   | 555,000   | 580,000   |
| TELECOMMUNICATIONS                               | -   | 5,500                                    | 60,000                                  | 60,000  | 60,000  | 60,000  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   | -  | 82,000                                  | 18,000  | 118,000   | 140,000   |
| CONSTRUCTION ADMINISTRATION                      | 2,500                                       | 32,500                                   | 90,000                                  | 56,100  | 56,100  | 65,100  |
| OTHER AE SERVICES (including Project Management) | 2,500                                       | 14,500                                   | 162,750                                 | 274,400   | 274,400   | 274,400   |
| ART  | -   | -  | -                                       | -   | -   | -   |
| RELOCATION                                       | -   | 8,500                                    | 50,000                                  | 55,000  | 55,000  | 55,000  |
| ENVIRONMENTAL                                    | -   | 9,500                                    | 9,500                                   | 4,500   | 4,500   | 4,500   |
| INSURANCE AND LEGAL                              | -   | -  | -                                       | -   | -   | -   |
| MISCELLANEOUS                                    | -   | 9,000                                    | 9,500                                   | 1,000   | 1,000   | 1,000   |
| OTHER SOFT COSTS                                 | -   | -  | -                                       | -   | -   | -   |
| <b>SUBTOTAL</b>                                  | <b>\$ 55,000</b>                            | <b>\$ 449,500</b>                        | <b>\$ 4,125,750</b>                     | <b>\$ 6,574,000</b>                                 | <b>\$ 7,024,000</b>                                 | <b>\$ 7,730,000</b>                                 |
| PROJECT CONTINGENCY                              | 10,000                                      | 38,500                                   | 424,250                                 | 426,000   | 426,000   | 20,000  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 65,000</b>                            | <b>\$ 488,000</b>                        | <b>\$ 4,550,000</b>                     | <b>\$ 7,000,000</b>                                 | <b>\$ 7,450,000</b>                                 | <b>\$ 7,750,000</b>                                 |
| <b><u>SOURCE(S) OF FUNDING*</u></b>              |   |  |   |   |   |   |
| UNIVERSITY FUNDS                                 | \$ 65,000                                   | \$ 488,000                               | \$ 4,550,000                            | \$ 50,000   | \$ 50,000   | \$ 50,000   |
| UConn 2000 BOND FUNDS                            | -   | -  | -                                       | 6,950,000   | 7,400,000   | 7,700,000   |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 65,000</b>                            | <b>\$ 488,000</b>                        | <b>\$ 4,550,000</b>                     | <b>\$ 7,000,000</b>                                 | <b>\$ 7,450,000</b>                                 | <b>\$ 7,750,000</b>                                 |

\* 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.

\*\* An additional \$25,000 may be expended on furniture outside of this project budget.

PUBLIC SAFETY BUILDING IMPROVEMENTS  
Project Budget (REVISED FINAL)  
June 29, 2022



Old Dispatch Looking North



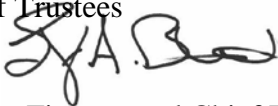
Old Dispatch Looking South




# **ATTACHMENT 5**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Project Budget for B4 Steam Vault and Line Exigent Repair (Revised Final:  
\$7,700,000)

**RECOMMENDATION:**

That the Board of Trustees approve the Revised Final Budget of \$7,700,000 as detailed in the attached project budget, for the B4 Steam Vault and Line Exigent Repair project, for procuring services and contracts, and completing design and construction, in accordance with Procurement's Policy and Procedure for Exigent Projects. The Administration recommends that the Board of Trustees adopt the Resolution below. The increase in cost is related primarily to construction escalation.

**RESOLUTION:**

"Be it resolved that the Board of Trustees approve the use of \$5,500,000 in University funds and \$2,200,000 in UCONN 2000 bond funds and the use of exigent procedures to procure services and contracts, design and construct repairs and replacements for the B4 Steam Vault and Line Exigent Repair project."

**BACKGROUND:**

The University recently experienced a failure in one or more of the steam system components within the existing B4 steam vault and lines located on the Central Utility Plant access road off Glenbrook Road. A feasibility study for the vault and steam system replacement has been completed, which also includes extending new direct-buried steam piping from the Cogeneration Facility through the existing north utility tunnel to the B4 vault. The feasibility study provided conceptual site plans, narratives for the replacement and removal of the failed steam vault, and development of a conceptual estimate for the construction cost. This project will be performed under the Exigent Project process due to the critical nature of this piece of infrastructure. A

steam system failure at this location poses a public safety hazard and has the additional potential of disrupting services to extensive portions of the campus for extended periods of time. Emergency measures (not included in this request) were taken in response to the conditions and included the isolation of the failed components in the B4 Steam Vault, redirection of steam flow to serve areas west of the B4 Steam Vault, preparations made for temporary steam generators to provide steam to Engineering II and Bronwell, diversion of condensate flow to other drains, and attaining early commitments for replacement steam and condensate vaults and components due to ongoing national supply chain issues and the long-lead times involved.

In accordance with the engineer's recommendations, this project will replace the steam and condensate return lines as expeditiously as possible and this resolution notes the approval on March 30, 2022 of an Exigent Procurement to ensure that the work is completed in the shortest possible time frame. It is not feasible to use a traditional procurement process, exigent procurement services are required due to the long lead time with manufacturing and delivery of the steam vault and pipes and to secure the necessary services to align with the arrival of the components and timetable for the replacements.

The Connecticut General Statutes generally require the University to competitively procure its contracts, except in cases of emergency and need for exigent procedures. The approval of the exigent procedure for design and construction and engagement of Whiting-Turner as the Construction Manager for the B4 Steam Vault and Line Exigent Repair project is in accordance with Procurement's Policy and Procedure for Exigent Projects as Whiting Turner is currently under contract with the University as Construction Manager on the adjacent Gant Building Renovation project and has significant experience in this type of work. BVH Engineers is engaged for design under their existing on-call framework contract to undertake inspections, condition assessments, the vault structure and new steam line repairs and replacements.

The B4 Steam Vault and Line Exigent Repair project is estimated to be complete by the Fall 2022.

The proposed Revised Final Budget is based on additional field investigations and cost information that has been prepared by Whiting Turner.

The Revised Final Budget is attached for your information.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:**        **REVISED FINAL**

**PROJECT NAME:**        **B4 STEAM VAULT and LINE EXIGENT REPAIR**

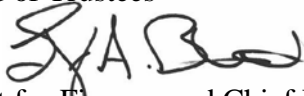
|  | <b>APPROVED<br/>PLANNING<br/>2/3/2022</b> | <b>APPROVED<br/>DESIGN<br/>2/24/2022</b> | <b>APPROVED<br/>FINAL<br/>3/30/2022</b> | <b>PROPOSED<br/>REVISED<br/>FINAL<br/>6/29/2022</b> |
|--|---|--|---|---|
| <b><u>BUDGETED EXPENDITURES</u></b>              | <b>PRC</b>                                | <b>PRC</b>                               |   |   |
| CONSTRUCTION                                     | \$ -                                      | \$ -                                     | \$ 3,600,000                            | \$ 5,500,000  |
| DESIGN SERVICES                                  | 50,000                                    | 350,000                                  | 350,000                                 | 540,000   |
| TELECOMMUNICATIONS                               | -   | -  | -                                       | -   |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   | -  | -                                       | -   |
| CONSTRUCTION ADMINISTRATION                      | -   | 15,000                                   | 194,000                                 | 236,000   |
| OTHER AE SERVICES (including Project Management) | -   | 15,000                                   | 242,000                                 | 310,000   |
| ART  | -   | -  | -                                       | -   |
| RELOCATION                                       | -   | -  | -                                       | -   |
| ENVIRONMENTAL                                    | 25,000                                    | 25,000                                   | 149,000                                 | 149,000   |
| INSURANCE AND LEGAL                              | 5,000                                     | 5,000                                    | 10,000                                  | 10,000  |
| MISCELLANEOUS                                    | -   | -  | 5,000                                   | 5,000   |
| OTHER SOFT COSTS                                 | -   | -  | -                                       | -   |
| <b>SUBTOTAL</b>                                  | <b>\$ 80,000</b>                          | <b>\$ 410,000</b>                        | <b>\$ 4,550,000</b>                     | <b>\$ 6,750,000</b>                                 |
| PROJECT CONTINGENCY                              | 20,000                                    | 65,000                                   | 950,000                                 | 950,000   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 100,000</u></b>                  | <b><u>\$ 475,000</u></b>                 | <b><u>\$ 5,500,000</u></b>              | <b><u>\$ 7,700,000</u></b>                          |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |  |   |   |
| UNIVERSITY FUNDS                                 | \$ 100,000                                | \$ 475,000                               | \$ 5,500,000                            | \$ 5,500,000  |
| UCONN 2000 BOND FUNDS                            | -   | -  | -                                       | 2,200,000   |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 100,000</u></b>                  | <b><u>\$ 475,000</u></b>                 | <b><u>\$ 5,500,000</u></b>              | <b><u>\$ 7,700,000</u></b>                          |


\* 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 6**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Project Budget for South Campus Infrastructure (Design: \$1,750,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Phase Budget of \$1,750,000, as detailed in the attached project budget, for the Design of the South Campus Infrastructure project. The project will include investigation of new sustainable heating and cooling and repairs to existing infrastructure. 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 \$1,750,000 in UCONN 2000 bond funds for the Design Phase of the South Campus Infrastructure project.”

BACKGROUND:

Connecticut Public Act No 13-233, known as Next Generation Connecticut, authorized the University to undertake a special capital improvement program for the express purposes of constructing infrastructure, renovating existing facilities and developing new buildings. In 2015 the University completed the Next Gen CT Campus Masterplan and in 2016 the University performed a Framework Utility Analysis to create a systematic approach for infrastructure projects that support development of the Next Gen CT program. The intent of this project is to repair, relocate, and replace south campus utilities to ensure uninterrupted operation of university facilities and to enable planned development in the South Campus District.

This project will be coordinated with the South Campus Residence Hall project and will include improvements to steam lines, condensate lines, chilled water lines, south campus chiller plant, electrical utilities, sanitary and water service improvements.

The Design Budget is attached for your information. Costs for the construction phase of the project will be submitted at a later date.

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:**        **DESIGN**

**PROJECT NAME:**        **SOUTH CAMPUS INFRASTRUCTURE**

| <u>BUDGETED EXPENDITURES</u>                     | <b>APPROVED<br/>PLANNING<br/>1/20/2022</b> | <b>APPROVED<br/>REVISED<br/>PLANNING<br/>3/30/2022</b> | <b>PROPOSED<br/>DESIGN<br/>6/29/2022</b> |
|--|--|--|--|
|  | <b>PRC</b>                                 |  |  |
| CONSTRUCTION                                     | \$ -                                       | \$ -   | \$ 200,000                               |
| DESIGN SERVICES                                  | 315,000                                    | 915,000  | 1,055,000                                |
| TELECOMMUNICATIONS                               | -  | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  | -  |
| OTHER AE SERVICES (including Project Management) | 30,000                                     | 50,000   | 100,000                                  |
| ART  | -  | -  | -  |
| RELOCATION                                       | -  | -  | -  |
| ENVIRONMENTAL                                    | 50,000                                     | 75,000   | 75,000                                   |
| INSURANCE AND LEGAL                              | 5,000                                      | 5,000  | 10,000                                   |
| MISCELLANEOUS                                    | -  | 5,000  | 10,000                                   |
| OTHER SOFT COSTS                                 | -  | -  | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 400,000</b>                          | <b>\$ 1,050,000</b>                                    | <b>\$ 1,450,000</b>                      |
| PROJECT CONTINGENCY                              | 50,000                                     | 200,000  | 300,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 450,000</u></b>                   | <b><u>\$ 1,250,000</u></b>                             | <b><u>\$ 1,750,000</u></b>               |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |  |  |  |
| UCONN 2000 BOND FUNDS                            | <u>\$ 450,000</u>                          | <u>\$ 1,250,000</u>                                    | <u>\$ 1,750,000</u>                      |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 450,000</u></b>                   | <b><u>\$ 1,250,000</u></b>                             | <b><u>\$ 1,750,000</u></b>               |


\* 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 7**



June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Project Budget for Residential Life Facilities: Mansfield Apartments  
Redevelopment (Final: \$12,000,000)

**RECOMMENDATION:**

That the Board of Trustees approve the Final Budget of \$12,000,000, as detailed in the attached project budget, for Part One of the Final Phase (abatement and demolition of existing apartments only) for Residential Life Facilities: Mansfield Apartments Redevelopment and related utility infrastructure and landscape improvements. 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 \$12,000,000 in UCONN 2000 bond funds for Part One of the Final phase (abatement and demolition of existing apartments only) for Residential Life Facilities: Mansfield Apartments Redevelopment and related utility infrastructure and landscape improvements.”

**BACKGROUND:**

Mansfield Apartments is an existing 240 bed apartment complex located on South Eagleville Road in Storrs CT and was constructed circa 1940. The townhouse-style apartments were originally constructed as graduate family housing but have been primarily utilized by undergraduate upper classes. The facilities have reached the end of their useful life and the property, which contains approximately 16 acres, can be designed for a denser apartment-style development. The complex has been utilized exclusively as an isolation location during the Covid-19 pandemic and it is desirable to commence redevelopment activities at this time, with

the intention of not having to reopen the complex again in its current condition to the general student population.

The University has engaged the services of a design team to assess opportunities to develop a new apartment-style complex on the Mansfield Apartments site in the range of 800 to 950 beds in apartments to fully replace the existing complex. This Final budget includes costs for the abatement and demolition of the existing apartment buildings and utility infrastructure only, and additional funding will be required to construct the project.

To expedite the completion, the project will investigate utilizing a Design-Build delivery method, but a final decision on the project delivery method will be determined in the future. When the scope and size of the project is finalized, an anticipated total project cost projection will be prepared.

The intent is that this project will conform to Connecticut High Performance Building regulations and will be registered as a LEED project, with a target goal of LEED Gold. Additional sustainability measures towards a potential net zero carbon goal will continue to be investigated during the Design phase.

The Part One Final Budget (abatement and demolition of existing apartments only) is attached for your information.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:**        **REVISED DESIGN**

**PROJECT NAME:**        **RESIDENTIAL LIFE FACILITIES: MANSFIELD APARTMENTS REDEVELOPMENT**

|  | <b>APPROVED<br/>PLANNING<br/>9/29/2021</b> | <b>APPROVED<br/>DESIGN<br/>2/23/2022</b> | <b>PROPOSED<br/>REVISED<br/>DESIGN<br/>6/29/2022</b> |
|--|--|--|--|
| <b><u>BUDGETED EXPENDITURES</u></b>              |  |  |  |
| CONSTRUCTION                                     | \$ 30,000                                  | \$ 30,000                                | \$ 5,800,000   |
| DESIGN SERVICES                                  | 500,000                                    | 3,490,000                                | 3,490,000  |
| TELECOMMUNICATIONS                               | -  | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  | -  |
| OTHER AE SERVICES (including Project Management) | 25,500                                     | 323,000                                  | 900,000  |
| ART  | -  | -  | -  |
| RELOCATION                                       | -  | -  | -  |
| ENVIRONMENTAL                                    | 200,000                                    | 300,000                                  | 362,000  |
| INSURANCE AND LEGAL                              | 14,500                                     | 20,000                                   | 20,000   |
| MISCELLANEOUS                                    | -  | 7,000                                    | 28,000   |
| OTHER SOFT COSTS                                 | -  | -  | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 770,000</b>                          | <b>\$ 4,170,000</b>                      | <b>\$ 10,600,000</b>                                 |
| PROJECT CONTINGENCY                              | 80,000                                     | 430,000                                  | 1,400,000  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 850,000</u></b>                   | <b><u>\$ 4,600,000</u></b>               | <b><u>\$ 12,000,000</u></b>                          |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |  |  |  |
| UCONN 2000 BOND FUNDS                            | <u>\$ 850,000</u>                          | <u>\$ 4,600,000</u>                      | <u>\$ 12,000,000</u>                                 |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 850,000</u></b>                   | <b><u>\$ 4,600,000</u></b>               | <b><u>\$ 12,000,000</u></b>                          |

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


BOT 6.29.2022

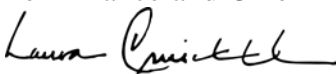
300234

## **ATTACHMENT 8**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

Laura Cruickshank   
Associate Vice President, Master Planner and Chief Architect

RE: Project Budget for Field House – Old Rec Center Renovation  
(Revised Planning: \$ 3,000,000)

**RECOMMENDATION:**

That the Board of Trustees approve the Revised Planning Budget of \$3,000,000, as detailed in the attached project budget, for the Field House - Old Rec Center Renovation project, for Planning and Design. 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 \$3,000,000 in University Funds for the Field House - Old Rec Center Renovation project.”

**BACKGROUND:**

The Greer Field House was the former Student Recreation Center, and upon their move to the new facility in August 2019, space became available to meet Athletic Department program needs. In the summer of 2021, design consultants were hired to begin the programming and conceptual design for the backfill of the facility.

This project will bring athletics, research, clinical operations as well as academic support together in one building that can build upon each other. The proposed program for the facility will include a consolidated Academic Center to support the Student Academic Success Program (SASP) for all student athletes.

This project will also renovate existing offices, support spaces, and team locker rooms for the following sports: men’s and women’s track and field, women’s field hockey, women’s rowing,

and women's swimming & diving which are to remain within the Field House and Wolff Zackin facility to a standard established in the new locker rooms within the Rizza Performance Center.

The Planning Phase of the Field House- Old Rec Center Renovation project began in May 2021, resulting in a concept design for the renovation, which is under review. Design is expected to be complete in Summer 2023 and construction is anticipated to start Fall 2023.

The Revised Planning Phase Budget is attached for your information and reflects an increase of \$2,505,000 to the previously revised planning budget of \$495,000.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

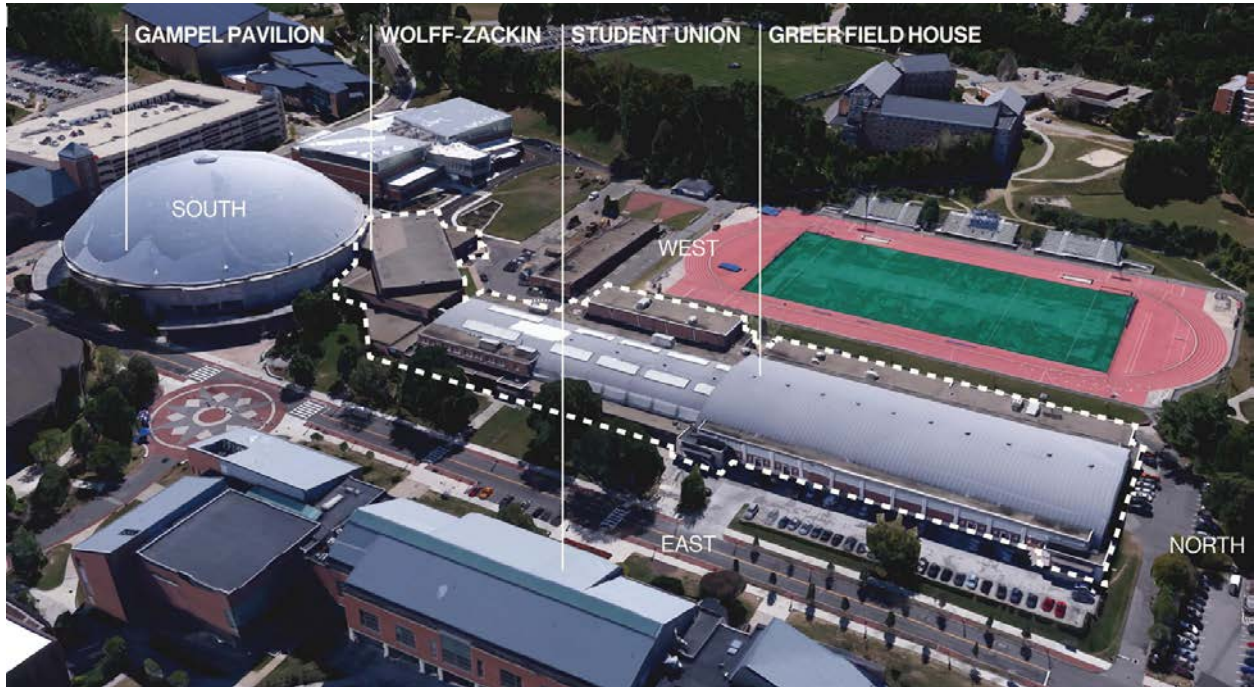
**TYPE BUDGET:**      **REVISED PLANNING**

**PROJECT NAME:**      **FIELD HOUSE- OLD REC CENTER RENOVATION**

|  | <b>APPROVED<br/>PLANNING<br/>5/21/2021</b> | <b>APPROVED<br/>REVISED<br/>PLANNING<br/>11/3/2021</b> | <b>PROPOSED<br/>REVISED<br/>PLANNING<br/>6/29/2022</b> |
|--|--|--|--|
| <b><u>BUDGETED EXPENDITURES</u></b>              | <u>PRC</u>                                 | <u>PRC</u>   |  |
| CONSTRUCTION                                     | \$ -                                       | \$ -   | \$ -   |
| DESIGN SERVICES                                  | 385,000                                    | 425,000  | 2,280,000  |
| TELECOMMUNICATIONS                               | -  | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  | -  |
| OTHER AE SERVICES (including Project Management) | 15,000                                     | 15,000   | 150,000  |
| ART  | -  | -  | -  |
| RELOCATION                                       | -  | -  | -  |
| ENVIRONMENTAL                                    | -  | -  | 250,000  |
| INSURANCE AND LEGAL                              | 5,000                                      | 5,000  | 15,000   |
| MISCELLANEOUS                                    | -  | -  | 5,000  |
| OTHER SOFT COSTS                                 | -  | -  | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 405,000</b>                          | <b>\$ 445,000</b>                                      | <b>\$ 2,700,000</b>                                    |
| PROJECT CONTINGENCY                              | 45,000                                     | 50,000   | 300,000  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 450,000</u></b>                   | <b><u>\$ 495,000</u></b>                               | <b><u>\$ 3,000,000</u></b>                             |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |  |  |  |
| UNIVERSITY FUNDS                                 | <u>\$ 450,000</u>                          | <u>\$ 495,000</u>                                      | <u>\$ 3,000,000</u>                                    |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 450,000</u></b>                   | <b><u>\$ 495,000</u></b>                               | <b><u>\$ 3,000,000</u></b>                             |

\* 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.

FIELD HOUSE – OLD REC CENTER RENOVATION  
Project Budget (REVISED PLANNING)  
June 29, 2022






## **ATTACHMENT 9**



June 29, 2022

TO: Members of the Board of Trustees  
FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer  
RE: Project Budget for Main Campus Substation Switchgear Relay Replacement –  
AET5P-14G SCADA (Revised Final: \$640,000)

**RECOMMENDATION:**

That the Board of Trustees approve the Final Budget of \$640,000, as detailed in the attached project budget, for Main Campus Substation Switchgear Relay Replacement AET 5P – 14G SCADA. The Administration recommends that the Board of Trustees adopt the Resolution below.

**RESOLUTION:**

“Be it resolved that the Board of Trustees approve the use of \$640,000 in University Funds for the Main Campus Substation Switchgear Relay Replacement AET 5P – 14G SCADA project; and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget.”

**BACKGROUND:**

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

The Revised Final Budget is based on the consultant’s preliminary opinion of construction cost during Design. The Revised Final Budget is necessary due to electrical distribution scheduling conflicts occasioned by exigent repairs required by as found conditions revealed in the aged electrical distribution system and reconfiguration to the Ring Buss.  
The Revised Final Budget is attached for your information.

Office of the Vice President for  
Finance 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: REVISED FINAL**

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


| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>FINAL<br/>2/26/2020</u> | <u>APPROVED<br/>REVISED FINAL<br/>4/27/2022</u> | <u>PROPOSED<br/>REVISED FINAL<br/>6/29/2022</u> |
|--|---|---|---|
| CONSTRUCTION                                     | \$ 294,200                              | \$ 363,052                                      | \$ 415,100                                      |
| DESIGN SERVICES                                  | 224,900                                 | 224,900   | 224,900   |
| TELECOMMUNICATIONS                               | -                                       | -   | -   |
| FURNITURE, FIXTURES AND EQUIPMENT                | -                                       | -   | -   |
| CONSTRUCTION ADMINISTRATION                      | -                                       | -   | -   |
| OTHER AE SERVICES (including Project Management) | -                                       | -   | -   |
| ART  | -                                       | -   | -   |
| RELOCATION                                       | -                                       | -   | -   |
| ENVIRONMENTAL                                    | -                                       | -   | -   |
| INSURANCE AND LEGAL                              | -                                       | -   | -   |
| MISCELLANEOUS                                    | 4,048                                   | 4,048   | -   |
| OTHER SOFT COSTS                                 | -                                       | -   | -   |
| <b>SUBTOTAL</b>                                  | <b>\$ 523,148</b>                       | <b>\$ 592,000</b>                               | <b>\$ 640,000</b>                               |
| PROJECT CONTINGENCY                              | 41,852                                  | -   | -   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 565,000</b>                       | <b>\$ 592,000</b>                               | <b>\$ 640,000</b>                               |
| <b><u>SOURCE(S) OF FUNDING*</u></b>              |   |   |   |
| UNIVERSITY FUNDS                                 | \$ 565,000                              | \$ 592,000                                      | \$ 640,000                                      |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 565,000</b>                       | <b>\$ 592,000</b>                               | <b>\$ 640,000</b>                               |

\* 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 10**



June 29, 2022

TO: Members of the Board of Trustees  
FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer  
RE: Project Budget for Atwater Laboratory Emergency Power Installation  
(Revised Final: \$682,700)

RECOMMENDATION:

That the Board of Trustees approves the Revised Final Budget of \$682,700 as detailed in the attached project budget, for Atwater Laboratory Emergency Power Installation 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 \$682,700 in University Funds for the Atwater Laboratory Emergency Power Installation 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:

Atwater Pathobiology building is a 44,000 gross square foot building located on North Eagleville Road. The building houses laboratories, offices, and classrooms. The building was originally built in 1930 with several additions and renovations; the latest renovation was in 1989. The building is on the National Historic Register.

The Atwater Building’s current electrical generator has reached the end of its useful life and should be replaced due to age and degradation. This project would remove the existing electrical generator with a dedicated electrical circuit that originates at the campus power plant and also upgrade the manual transfer switch with an automatic transfer switch.

The Final Revised Budget is based on actual contract cost. Construction commenced in November 2021 and will be completed in October 2022.

The Final Revised Budget is attached for your information.

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:** REVISED FINAL

**PROJECT NAME:** ATWATER LABORATORY EMERGENCY POWER INSTALLATION

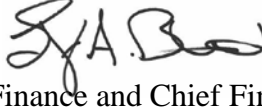
| <u>BUDGETED EXPENDITURES</u>                     | APPROVED<br>FINAL<br><u>4/28/2021</u> | APPROVED<br>REVISED<br>FINAL<br><u>10/27/2021</u> | PROPOSED<br>REVISED<br>FINAL<br><u>6/29/2022</u> |
|--|---------------------------------------|---|--|
| CONSTRUCTION                                     | \$ 382,862                            | \$ 446,500  | \$ 523,650                                       |
| DESIGN SERVICES                                  | 125,100                               | 128,000   | 139,050  |
| TELECOMMUNICATIONS                               | -                                     | -   | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -                                     | -   | -  |
| CONSTRUCTION ADMINISTRATION                      | -                                     | -   | -  |
| OTHER AE SERVICES (including Project Management) | -                                     | -   | -  |
| ART  | -                                     | -   | -  |
| RELOCATION                                       | -                                     | -   | -  |
| ENVIRONMENTAL                                    | -                                     | -   | -  |
| INSURANCE AND LEGAL                              | -                                     | -   | -  |
| MISCELLANEOUS                                    | -                                     | -   | -  |
| OTHER SOFT COSTS                                 | -                                     | -   | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 507,962</b>                     | <b>\$ 574,500</b>                                 | <b>\$ 662,700</b>                                |
| PROJECT CONTINGENCY                              | 27,038                                | 28,500  | 20,000   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 535,000</b>                     | <b>\$ 603,000</b>                                 | <b>\$ 682,700</b>                                |
| <b><u>SOURCE(S) OF FUNDING*</u></b>              |                                       |   |  |
| UNIVERSITY FUNDS                                 | \$ 535,000                            | \$ 603,000  | \$ 682,700                                       |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 535,000</b>                     | <b>\$ 603,000</b>                                 | <b>\$ 682,700</b>                                |

\* 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 11**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for School of Engineering Backfill Project  
(Final: \$ 1,777,410.00)

RECOMMENDATION:

That the Board of Trustees approves the Final Budget of \$1,777,410 as detailed in the attached project budget, for School of Engineering Backfill Project for Design and 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 \$1,777,410 in University Funds for School of Engineering Backfill 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 School of Engineering (SoE) has developed a list of specific SoE occupied spaces within seven (7) University buildings on the Storrs campus that are in need of minor upgrades, alterations and renovation to support research and programmatic needs for the SoE departments. These departments include Electrical and Computer Engineering (ECE), Chemical and Biomolecular Engineering (CBE), Computer Science Engineering (CSE), Mechanical Engineering (ME), Biomedical Engineering (BME), Connecticut Transportation Institute (CTI) and Center for Clean Energy Engineering (C2E2).

The construction budget includes design, construction, and contingency.

The Final Budget is attached for your information.

Attachment



# CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:** FINAL

**PROJECT NAME:** SCHOOL OF ENGINEERING BACKFILL PROJECT

| <u>BUDGETED EXPENDITURES</u>                     | <u>PROPOSED<br/>FINAL<br/>6/29/2022</u> |
|--|---|
| CONSTRUCTION                                     | \$ 618,200                              |
| DESIGN SERVICES                                  | 56,420                                  |
| TELECOMMUNICATIONS                               | 5,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                | 914,049                                 |
| CONSTRUCTION ADMINISTRATION                      | -                                       |
| OTHER AE SERVICES (including Project Management) | -                                       |
| ART  | -                                       |
| RELOCATION                                       | -                                       |
| ENVIRONMENTAL                                    | -                                       |
| INSURANCE AND LEGAL                              | -                                       |
| MISCELLANEOUS                                    | -                                       |
| OTHER SOFT COSTS                                 | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,593,669</b>                     |
| PROJECT CONTINGENCY                              | <u>183,741</u>                          |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 1,777,410</u></b>              |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |   |
| UNIVERSITY FUNDS                                 | <u>\$ 1,777,410</u>                     |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 1,777,410</u></b>              |

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

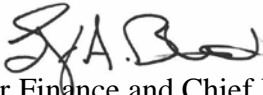
BOT 6.29.22

Project # TL2405

## **ATTACHMENT 12**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for George C. White Building Roof & Drainage System  
(Revised Final: \$ 945,800)

**RECOMMENDATION:**

That the Board of Trustees approves the Revised Final Budget of \$945,800 as detailed in the attached project budget, for George C. White Building Roof & Drainage System for Design and 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 \$945,800 in University Funds for George C. White Building Roof & Drainage System 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:**

George C. White building is located on the Storrs campus at 17 Manter Road. The building houses the College of Agriculture, Health and Natural Resources Department of Animal Science, graduate student, staff and faculty offices, classrooms, research and class labs, conference rooms, support spaces and food service (Dairy Bar).

Design Services have been completed for the entire building. The project proposes the construction work for replacement of the roof and drainage system in three phases. Phase one has been bid, awarded, and is scheduled to start October 2022. Phase 2 estimate has been received and will be bid fall/winter 2022, scheduled for construction start spring 2023. Given the current climate with construction costs and lead times for materials, schedule and budget for phase 3 is TBD.

The construction budget includes design, construction, and contingency.

The Final Budget is attached for your information.

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:**        **FINAL**

**PROJECT NAME:**        **GEORGE C. WHITE BUILDING ROOF & DRAINAGE SYSTEM**

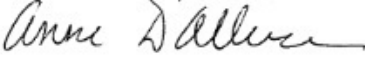
| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>DESIGN<br/>9/3/2021</u> | <u>PROPOSED<br/>FINAL<br/>6/29/2022</u> |
|--|---|---|
|  | PRC                                     |   |
| CONSTRUCTION                                     | \$ 100,000                              | \$ 737,800                              |
| DESIGN SERVICES                                  | 33,896                                  | 84,843                                  |
| TELECOMMUNICATIONS                               | -                                       | -                                       |
| FURNITURE, FIXTURES AND EQUIPMENT                |   |   |
| CONSTRUCTION ADMINISTRATION                      | -                                       | 35,500                                  |
| OTHER AE SERVICES (including Project Management) | -                                       | -                                       |
| ART  | -                                       | -                                       |
| RELOCATION                                       | -                                       | -                                       |
| ENVIRONMENTAL                                    | -                                       | -                                       |
| INSURANCE AND LEGAL                              | -                                       | -                                       |
| MISCELLANEOUS                                    | -                                       | 25,000                                  |
| OTHER SOFT COSTS                                 | -                                       | -                                       |
|  | <hr/>                                   | <hr/>                                   |
| <b>SUBTOTAL</b>                                  | <b>\$ 133,896</b>                       | <b>\$ 883,143</b>                       |
| PROJECT CONTINGENCY                              | 11,904                                  | 62,657                                  |
|  | <hr/>                                   | <hr/>                                   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 145,800</b>                       | <b>\$ 945,800</b>                       |
|  | <hr/>                                   | <hr/>                                   |
| <b><u>SOURCE(S) OF FUNDING*</u></b>              |   |   |
| UNIVERSITY FUNDS                                 | \$ 145,800                              | \$ 945,800                              |
|  | <hr/>                                   | <hr/>                                   |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 145,800</b>                       | <b>\$ 945,800</b>                       |
|  | <hr/>                                   | <hr/>                                   |

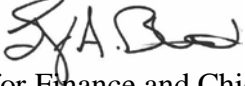
\* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount,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

# **ATTACHMENT 13**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.   
Interim Provost and Executive Vice President for Academic Affairs

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Program Budget for Wired Access Layer Infrastructure Refresh – Phase IV  
( \$2,000,000)

**RECOMMENDATION:**

That the Board of Trustees approve the Budget of \$2,000,000, as detailed in the attached program budget, to execute the fourth phase of Wired Access Layer Infrastructure Refresh deferred maintenance. The Administration recommends that the Board of Trustees adopt the Resolution below.

**RESOLUTION:**

“Be it resolved that the Board of Trustees approve the use of \$2,000,000 in UCONN 2000 bond funds for the fourth phase of the Wired Access Layer Infrastructure Refresh deferred maintenance and approve the request to waive the three-stage budget approval, allowing work to proceed immediately.”

**BACKGROUND:**

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

The ITS sponsored deferred maintenance program was initiated in 2019 with an estimated total budget of \$32M. Each phase of the multi-year project is scoped, budgeted, and approved

individually. Individual phases have been completed within budget. Due to limited funding, initial phases have resulted in deferred scope, which may either be dropped or completed in subsequent phases. The funding sources, timing and final cost for all remaining phases of this program have not been determined yet.

Work required for the refresh ranges from nominal equipment and facilities upgrades to a comprehensive, and more disruptive, overhaul of cabling, equipment, and facilities. Planning and scheduling for the phases takes into consideration ongoing and upcoming construction projects, the academic calendar, available resources, and the business needs of the University.

In Phase III, work was completed or is in progress for 44 buildings. Cabling and equipment include refreshes at the Avery Point campus (14 buildings), Storrs Horsebarn Hill (20 buildings), two academic/research buildings, and two residence hall complexes (eight buildings) on the Storrs campus. Contingency funding was used to address bids that came in higher than estimated allocations.

The proposed work for Phase IV will include the School of Business (three buildings), two buildings at the Hartford Law School, one academic/research building, and one residence hall complex (see Table 1). The list of proposed buildings will be reviewed with the Office of the Provost, University Planning, Design and Construction, and Residential Life and will be adjusted as necessary.

To complete Phase IV of the wired access layer refresh, we are requesting \$2.0M, funded by UCONN 2000 bonds. This project will be executed in the smallest number of awards practical.

Table 1. Proposed list of buildings for Phase IV

| <b>Building</b>                      | <b>FY23 Budget</b> |
|--------------------------------------|--------------------|
| McMahon Hall and Dining Facility     | \$905,000          |
| Family Studies Building              | \$290,000          |
| Hartford Law School, Hosmer Hall     | \$210,000          |
| Hartford Law School, Knight Hall     | \$165,000          |
| School of Business                   | \$160,000          |
| Hartford 100 Constitution Plaza      | \$95,000           |
| Hartford 1 Constitution Plaza        | \$35,000           |
| <b>Subtotal, Cable and Equipment</b> | <b>\$1,860,000</b> |
| Contingency                          | \$140,000          |
| <b>Total</b>                         | <b>\$2,000,000</b> |

# **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET:** FINAL

**PROJECT NAME:** WIRED ACCESS LAYER INFRASTRUCTURE  
REFRESH - PHASE IV

|  | <b>PROPOSED<br/>FINAL<br/>6/29/2022</b> |
|--|---|
| <b><u>BUDGETED EXPENDITURES</u></b>              |   |
| CONSTRUCTION                                     | \$ 799,800                              |
| DESIGN SERVICES                                  | 46,500                                  |
| TELECOMMUNICATIONS                               | 837,000                                 |
| FURNITURE, FIXTURES AND EQUIPMENT                | 74,400                                  |
| CONSTRUCTION ADMINISTRATION                      | 83,700                                  |
| OTHER AE SERVICES (including Project Management) | -                                       |
| ART  | -                                       |
| RELOCATION                                       | -                                       |
| ENVIRONMENTAL                                    | -                                       |
| INSURANCE AND LEGAL                              | -                                       |
| MISCELLANEOUS                                    | 18,600                                  |
| OTHER SOFT COSTS                                 | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,860,000</b>                     |
| PROJECT CONTINGENCY                              | 140,000                                 |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 2,000,000</u></b>              |
| <b><u>SOURCE(S) OF FUNDING*</u></b>              |   |
| UCONN 2000 BOND FUNDS                            | <u>\$ 2,000,000</u>                     |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 2,000,000</u></b>              |

\* 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 14**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC *Bruce T. Liang*  
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard *L.A. Blanchard*  
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health 16 Munson Road Parking Lot Paving  
(Design: \$1,445,000)

## RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$1,445,000, as detailed in the attached project budget for the UConn Health 16 Munson Road Parking Lot Paving Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$1,445,000 of UCONN 2000 Phase III Deferred Maintenance Funds for the UConn Health 16 Munson Road Parking Lot Paving Project.”

## BACKGROUND:

The existing parking lots serving 16 Munson Road are in poor condition, consisting of a patchwork of repaired areas and deteriorated pavement. Based on information gathered from previous repairs, the cause of pavement failure is due to poor drainage and inadequate subbase conditions. This project will address the subsurface conditions leading to the pavement failure and re-pave the parking lots during the Fall of 2022.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my change based upon actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - 16 MUNSON ROAD PARKING LOT PAVING**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>12/8/2021</u> | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|--|
| CONSTRUCTION                                     | \$ 940,000                                 | \$ 1,232,000                             |
| DESIGN SERVICES                                  | 113,000                                    | 77,000                                   |
| TELECOMMUNICATIONS                               | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  |
| OTHER AE SERVICES (including Project Management) | -  | -  |
| ART  | -  | -  |
| RELOCATION                                       | -  | -  |
| ENVIRONMENTAL                                    | -  | -  |
| INSURANCE AND LEGAL                              | -  | -  |
| MISCELLANEOUS                                    | 1,000                                      | 5,000                                    |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,054,000</b>                        | <b>\$ 1,314,000</b>                      |
| PROJECT CONTINGENCY                              | 106,000                                    | 131,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 1,160,000</b>                        | <b>\$ 1,445,000</b>                      |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |  |  |
| UCONN 2000 BOND FUNDS                            | \$ 1,160,000                               | \$ 1,445,000                             |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 1,160,000</b>                        | <b>\$ 1,445,000</b>                      |

\* 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 16 Munson Road Parking Lot Paving  
Project Budget (Design) \$1,445,000  
June 29, 2022



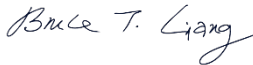
**16 MUNSON ROAD PARKING LOTS**


# **ATTACHMENT 15**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Building D & Building N Roof Replacement  
(Design: \$2,565,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$2,565,000, as detailed in the attached project budget for the UConn Health Building D & Building N Roof Replacement Project.

RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$2,565,000 of UCONN 2000 Phase III Deferred Maintenance Funds for the UConn Health Building D & Building N Roof Replacement Project.”

BACKGROUND:

The Administrative Service Building (Building D) and Muscular Skeletal Institute (Building N) roofs are original construction. The roofing membrane has deteriorated beyond the scope of normal maintenance and a full replacement is required. These roofs will be replaced with a sustainable / high solar reflectance EPDM membrane system during the Fall of 2022.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my change based upon actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

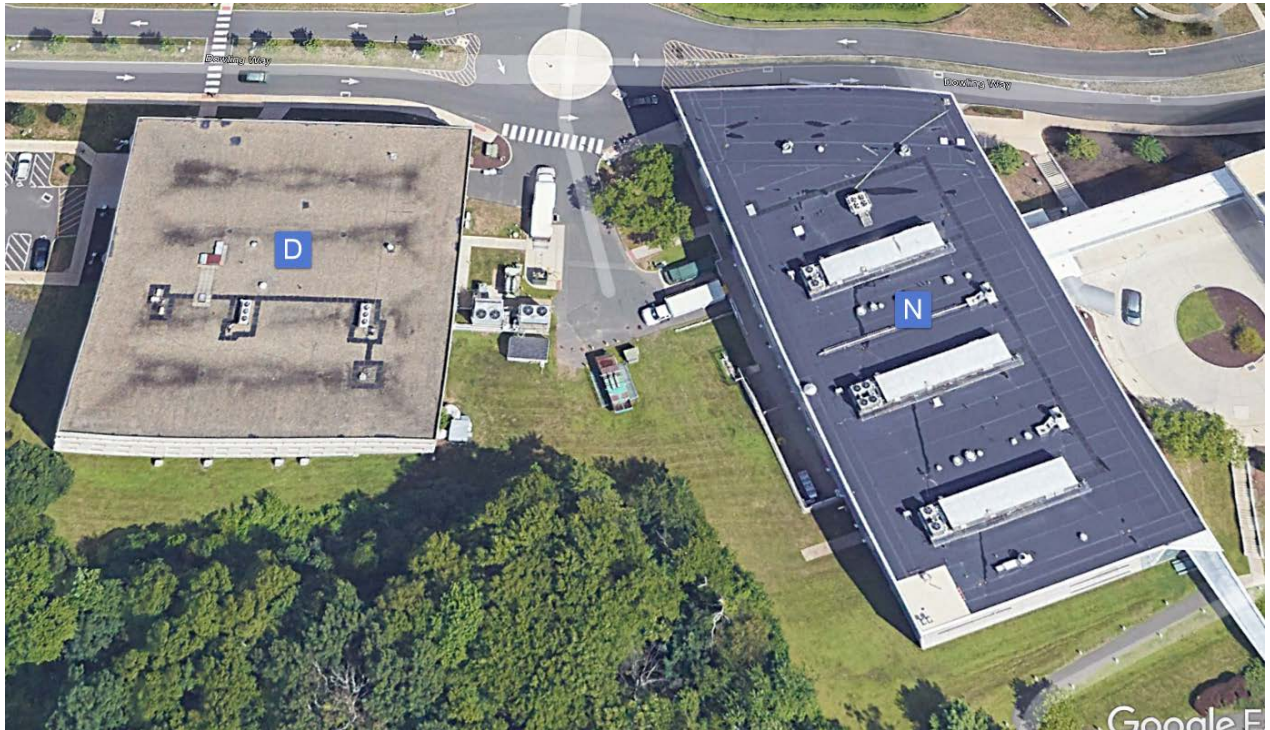
**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - BUILDING D & BUILDING N ROOF REPLACEMENT**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>12/8/2021</u> | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|--|
| CONSTRUCTION                                     | \$ 834,000                                 | \$ 2,082,000                             |
| DESIGN SERVICES                                  | 84,000                                     | 248,000                                  |
| TELECOMMUNICATIONS                               | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  |
| OTHER AE SERVICES (including Project Management) | -  | -  |
| ART  | -  | -  |
| RELOCATION                                       | -  | -  |
| ENVIRONMENTAL                                    | -  | -  |
| INSURANCE AND LEGAL                              | -  | -  |
| MISCELLANEOUS                                    | -  | 1,000                                    |
| <b>SUBTOTAL</b>                                  | <b>\$ 918,000</b>                          | <b>\$ 2,331,000</b>                      |
| PROJECT CONTINGENCY                              | 182,000                                    | 234,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 1,100,000</b>                        | <b>\$ 2,565,000</b>                      |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |  |  |
| UCONN 2000 BOND FUNDS                            | \$ 1,100,000                               | \$ 2,565,000                             |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 1,100,000</b>                        | <b>\$ 2,565,000</b>                      |

\* 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 Building D & Building N Roof  
Replacement  
Project Budget (Design) \$2,565,000  
June 29, 2022



**BUILDING D ROOF and BUILDING N ROOF**

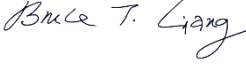



# **ATTACHMENT 16**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Building E & Building K Roof Replacement  
(Design: \$2,160,000)

## RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$2,160,000 as detailed in the attached project budget for the UConn Health Building E & Building K Roof Replacement Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$2,160,000 of UCONN 2000 Phase III Deferred Maintenance Funds for the UConn Health Building E & Building K Roof Replacement Project.”

## BACKGROUND:

The Academic Research Building (Building E) and the Transgenic Animal Facility (Building K) roofs are original construction. The roofing membrane has deteriorated beyond the scope of normal maintenance and a full replacement is required. These roofs will be replaced with a sustainable / high solar reflectance EPDM membrane system over the Fall of 2022.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my change based upon actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

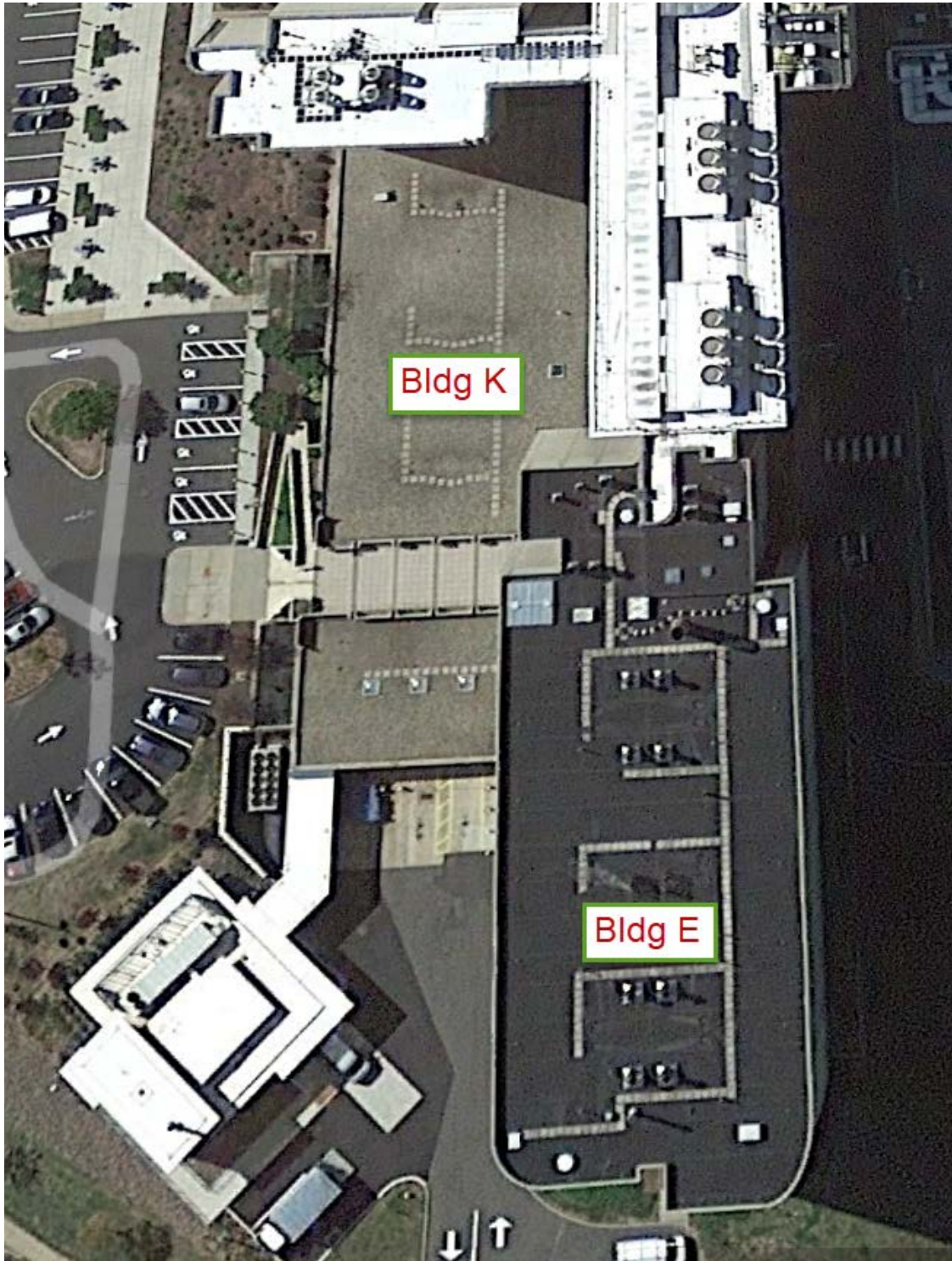
**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - BUILDING E & BUILDING K ROOF REPLACEMENT**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>12/8/2021</u> | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|--|
| CONSTRUCTION                                     | \$ 477,000                                 | \$ 1,712,000                             |
| DESIGN SERVICES                                  | 48,000                                     | 248,000                                  |
| TELECOMMUNICATIONS                               | -  | -  |
| FURNITURE, FIXTURES AND EQUIPMENT                | -  | -  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  |
| OTHER AE SERVICES (including Project Management) | -  | -  |
| ART  | -  | -  |
| RELOCATION                                       | -  | -  |
| ENVIRONMENTAL                                    | -  | -  |
| INSURANCE AND LEGAL                              | -  | -  |
| MISCELLANEOUS                                    | -  | 3,000                                    |
| <b>SUBTOTAL</b>                                  | <b>\$ 525,000</b>                          | <b>\$ 1,963,000</b>                      |
| PROJECT CONTINGENCY                              | 105,000                                    | 197,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 630,000</b>                          | <b>\$ 2,160,000</b>                      |
| <br><b><u>SOURCE(S) OF FUNDING*</u></b>          |  |  |
| UCONN 2000 BOND FUNDS                            | \$ 630,000                                 | \$ 2,160,000                             |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 630,000</b>                          | <b>\$ 2,160,000</b>                      |

\* 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 Building E & Building K Roof  
Replacement  
Project Budget (Design) \$2,160,000  
June 29, 2022




**BUILDING E ROOF and BUILDING K ROOF**


## **ATTACHMENT 17**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Main Building Lab Area Renovations - 2nd Floor (Design: \$8,972,000)

## RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$8,972,000, as detailed in the attached project budget for the UConn Health Main Building Lab Area Renovations - 2nd Floor Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$8,972,000 from UConn Health Capital, School of Medicine Operating funds, Research IDC Capital, and UCONN 2000 phase III DM funds for the UConn Health Main Building (L) Lab Renovations - 2nd Floor Project.”

## BACKGROUND:

Two major projects under Bioscience Connecticut and a subsequent project in 2018 were implemented to renovate the laboratory space located in the Main Building Lab (L) Area per the concepts developed under the 2009 Main Building Renovation Master Plan. This project will continue to implement the Master Plan and renovate a section of the 2nd floor to create open and flexible, state of the art wet lab research space similar to the work done on the previous floors.

Funding for this project is from multiple sources including UConn Health Capital, School of Medicine Operating funds, Research IDC Capital, and UConn 2000 phase III DM funds. The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my change based upon actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - MAIN BUILDING (L) LAB RENOVATIONS - 2ND FLOOR**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>12/8/2021</u> | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|--|
| CONSTRUCTION                                     | \$ 6,160,000                               | \$ 7,260,000                             |
| DESIGN SERVICES                                  | 575,000                                    | 540,000                                  |
| TELECOMMUNICATIONS                               | 156,000                                    | 156,000                                  |
| FURNITURE, FIXTURES AND EQUIPMENT                | 115,000                                    | 115,000                                  |
| CONSTRUCTION ADMINISTRATION                      | -  | -  |
| OTHER AE SERVICES (including Project Management) | 40,000                                     | 40,000                                   |
| ART  | -  | -  |
| RELOCATION                                       | 15,000                                     | 15,000                                   |
| ENVIRONMENTAL                                    | 13,000                                     | 13,000                                   |
| INSURANCE AND LEGAL                              | -  | -  |
| MISCELLANEOUS                                    | 16,000                                     | 17,000                                   |
| <b>SUBTOTAL</b>                                  | <b>\$ 7,090,000</b>                        | <b>\$ 8,156,000</b>                      |
| PROJECT CONTINGENCY                              | 710,000                                    | 816,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 7,800,000</b>                        | <b>\$ 8,972,000</b>                      |
| <br><u>SOURCE(S) OF FUNDING*</u>                 |  |  |
| UCONN 2000 BOND FUNDS                            | \$ 1,500,000                               | \$ 2,550,000                             |
| UCONN HEALTH RESEARCH IDC CAPITAL                | 1,500,000                                  | 1,500,000                                |
| UCONN HEALTH SCHOOL OF MEDICINE OPERATING FUNDS  | 3,300,000                                  | 3,300,000                                |
| UCONN HEALTH CAPITAL FUNDS                       | 1,500,000                                  | 1,622,000                                |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 7,800,000</b>                        | <b>\$ 8,972,000</b>                      |

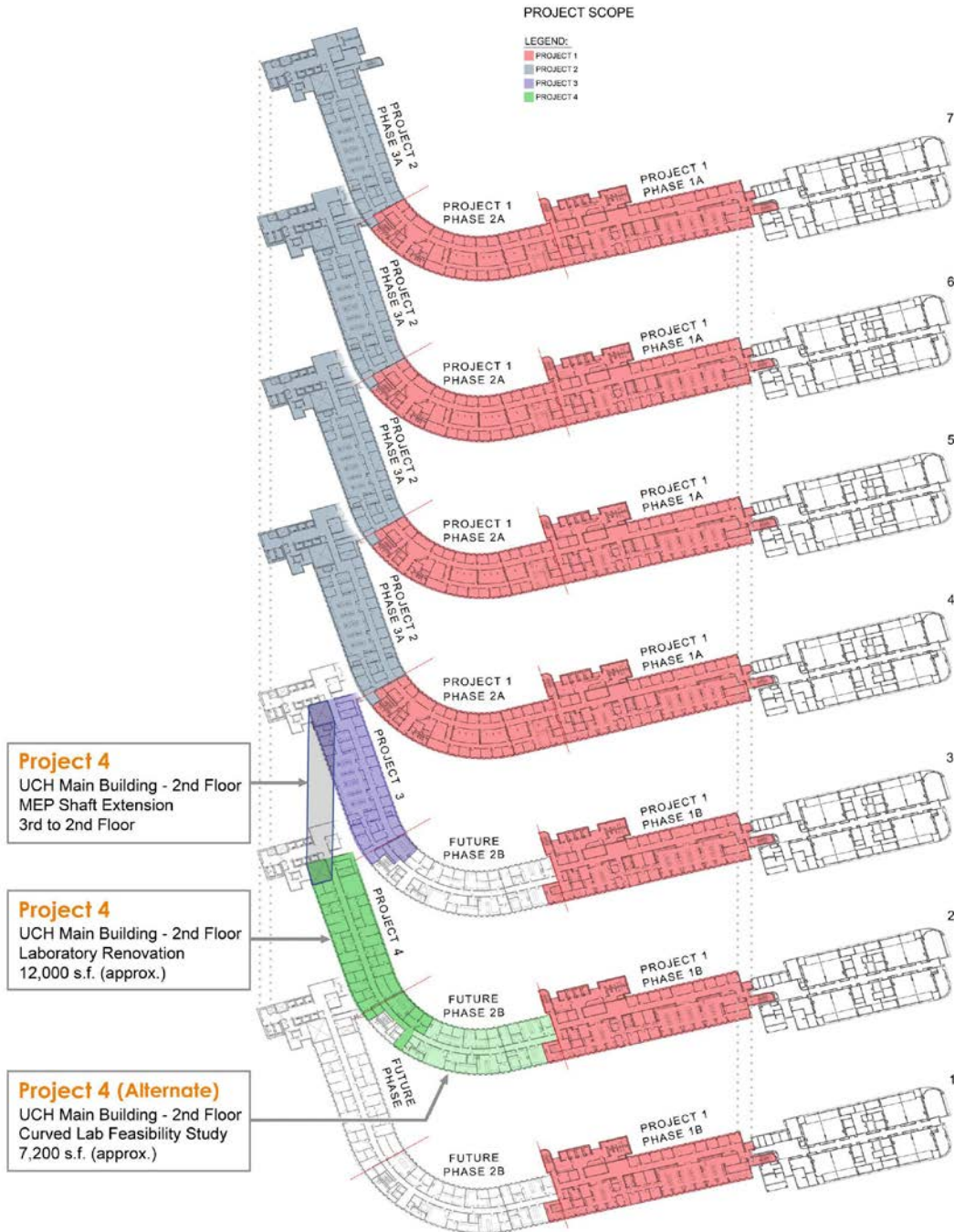
\* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount,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

# UCONN HEALTH/IMPROVEMENTS

## UConn Health Main Building Lab Area

### Renovations – 2<sup>nd</sup> Floor

Project Budget (Design) \$8,972,000  
June 29, 2022



### MASTER PLAN MAIN BUILDING LAB RENOVATIONS

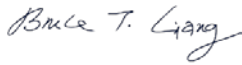



# **ATTACHMENT 18**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Chief Executive Officer and EVP for Health Affairs | UConn Health

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation (Design: \$6,166,000)

## RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$6,166,000, as detailed in the attached project budget for the UConn Health Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$6,166,000 from UConn Health Capital for the UConn Health Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation.”

## BACKGROUND:

The UConn Health Cardio Catheterization (Cath) & Electro Physiology (EP) Labs are minimally invasive surgical units that utilizes a fluoroscopic x-ray imaging system specifically designed to visually and quantitatively evaluate the anatomy and function of blood vessels of the heart to perform minimally invasive surgical techniques associated with the treatment of various cardiovascular conditions. The Cath & EP Lab imaging systems were installed in 2007 and have reached the end of service life. This project will replace the outdated imaging equipment and renovate the surgical unit to comply with current Connecticut Department of Health guidelines.

The Design Budget is attached for your consideration. The Design Budget is based on conceptual estimates and is subject to change based upon actual design work. The Design Budget is anticipated to be approved by the Board of Directors at their meeting on June 13, 2022.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

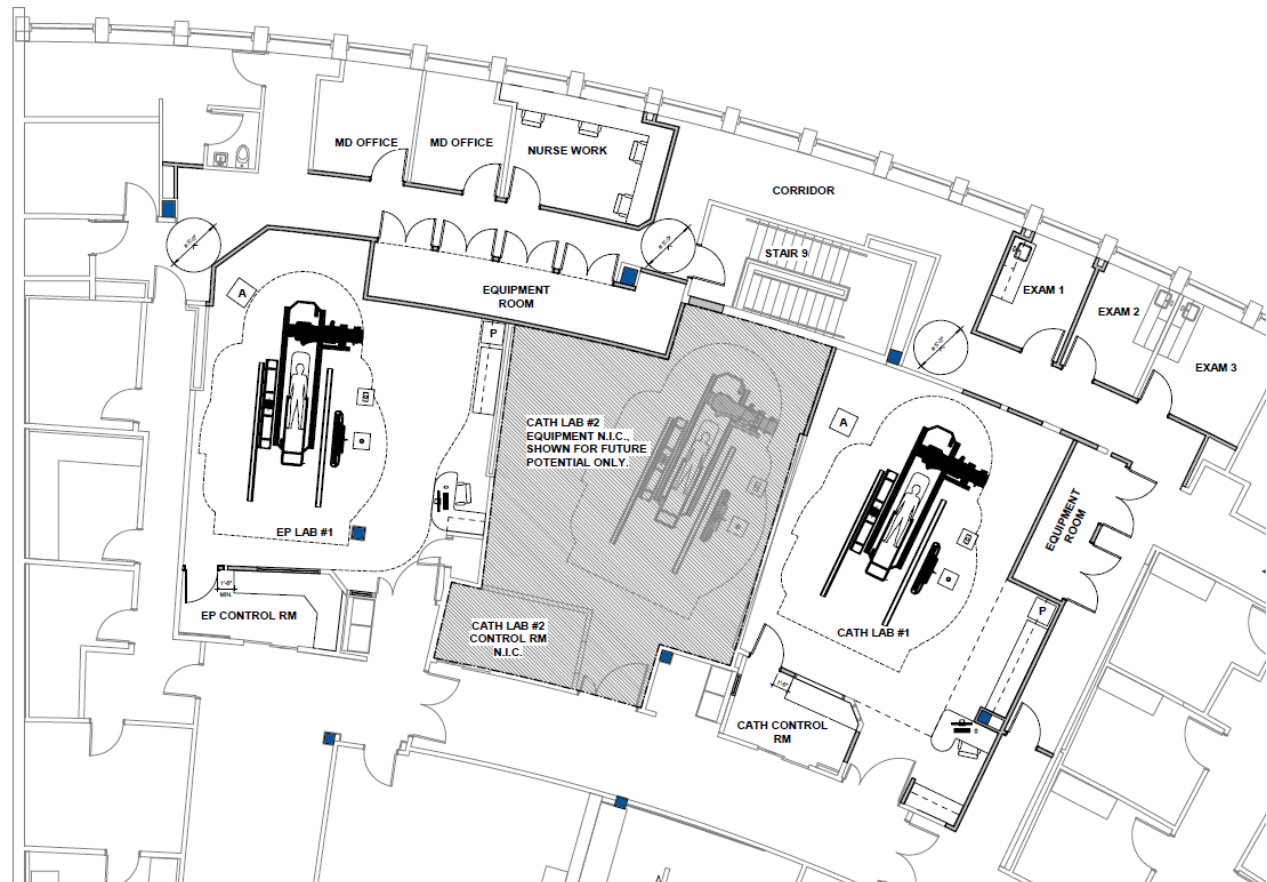
**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - CARDIO CATHETERIZATION (CATH) & ELECTRO  
PHYSIOLOGY (EP) LAB RENOVATION**

| <u>BUDGETED EXPENDITURES</u>                     | <u>APPROVED<br/>PLANNING<br/>3/30/2022</u> | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|--|
| CONSTRUCTION                                     | \$ 650,000                                 | \$ 1,300,000                             |
| DESIGN SERVICES                                  | 72,000                                     | 138,000                                  |
| TELECOMMUNICATIONS                               | 8,000                                      | 20,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                | 2,475,000                                  | 3,900,000                                |
| CONSTRUCTION ADMINISTRATION                      | -  | -  |
| OTHER AE SERVICES (including Project Management) | -  | -  |
| ART  | -  | -  |
| RELOCATION                                       | 1,000                                      | -  |
| ENVIRONMENTAL                                    | -  | -  |
| INSURANCE AND LEGAL                              | -  | -  |
| MISCELLANEOUS                                    | 12,000                                     | 3,000                                    |
| <b>SUBTOTAL</b>                                  | <b>\$ 3,218,000</b>                        | <b>\$ 5,361,000</b>                      |
| PROJECT CONTINGENCY                              | 482,000                                    | 805,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 3,700,000</b>                        | <b>\$ 6,166,000</b>                      |
| <br><u>SOURCE(S) OF FUNDING*</u>                 |  |  |
| UCONN HEALTH CAPITAL FUNDS                       | \$ 3,700,000                               | \$ 6,166,000                             |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 3,700,000</b>                        | <b>\$ 6,166,000</b>                      |

\* 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 Cardio Catheterization (Cath) & Electro  
Physiology (EP) Lab Equipment Renovation  
Project Budget (Design) \$6,166,000  
June 29, 2022



**EP & CATH LAB RENOVATION**

263 FARMINGTON AVENUE, FARMINGTON, CT 06030  
SCHEMATIC PLAN - OPTION 2 | 05/09/22


**CONCEPTUAL PLAN OF CATH & EP LAB**

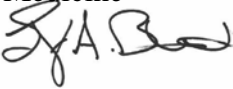
## **ATTACHMENT 19**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health 5 Munson Road Clinical Fit-Out (Final: \$8,380,000)

## RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$8,380,000, as detailed in the attached project budget for the UConn Health Main Building 5 Munson Road Clinical Fit-Out Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$8,380,000 from UConn Health Capital and a Fit-out Allowance from Metro Realty (the “Landlord”) for the UConn Health 5 Munson Road Clinical Fit-Out 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:

UConn Health plans to create a Brain and Spine Institute by relocating and combining the specialty practices of Neurology, Neurosurgery/Cranial and the Comprehensive Spine (Orthopedics & Neurosurgery) from the Outpatient Pavilion into leased space located at the newly constructed building known as 5 Munson Road. The relocation of these practices will also allow for much needed expansion of clinical programs within the Outpatient Pavilion located on the Main Campus in Farmington, CT.

On March 25, 2022 the UConn Finance Corporation executed the lease for the space (approximately 23,000 sq. ft. on the first and second floors and 6,400 sq. ft. on the lower level). The lease terms provide the UConn Health use of the space for 20 years and one month (the “original term”) plus two, five-year extensions. The base lease rate for the space on the first and

second floors is \$40.00 per sq. ft. with a 1.3% annual increase during the original term. The base lease rate for the space on the lower level is \$11.00 per sq. ft. during the original term. The Landlord will be responsible for the tenant fit-out of the space. The Landlord has provided an allowance to UConn Health of \$150/square feet of useable space on the first and second floors (approximately \$3,450,000) to be used for the tenant fit-out. UConn Health is responsible for all construction costs in excess of the allowance.

The Final Budget is attached for your consideration. The Final budget reflects current design estimates and changes based upon actual bids received. This Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: FINAL**

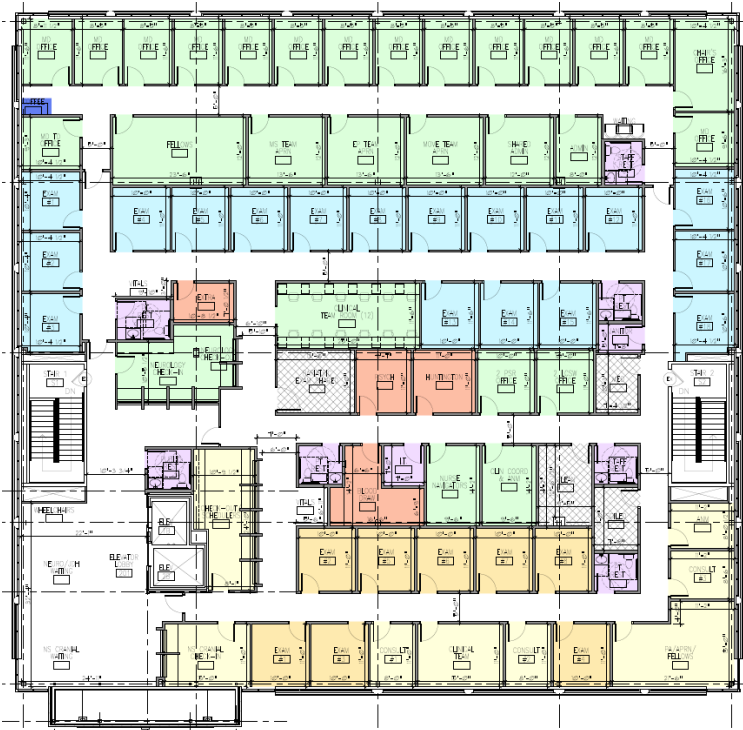
**PROJECT NAME: UCONN HEALTH - 5 MUNSON ROAD CLINICAL FIT-OUT**

| <u>BUDGETED EXPENDITURES</u>                     | <u>PROPOSED<br/>FINAL<br/>6/29/2022</u> |
|--|---|
| CONSTRUCTION                                     | \$ 5,880,000                            |
| DESIGN SERVICES                                  | -                                       |
| TELECOMMUNICATIONS                               | 623,000                                 |
| FURNITURE, FIXTURES AND EQUIPMENT                | 950,000                                 |
| CONSTRUCTION ADMINISTRATION                      | -                                       |
| OTHER AE SERVICES (including Project Management) | -                                       |
| ART  | 50,000                                  |
| RELOCATION                                       | 115,000                                 |
| ENVIRONMENTAL                                    | -                                       |
| INSURANCE AND LEGAL                              | -                                       |
| MISCELLANEOUS                                    | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 7,618,000</b>                     |
| PROJECT CONTINGENCY                              | 762,000                                 |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 8,380,000</b>                     |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |   |
| UCONN HEALTH CAPITAL FUNDS                       | \$ 4,930,000                            |
| LANDLORD TENANT FIT-OUT ALLOWANCE                | 3,450,000                               |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 8,380,000</b>                     |

\* 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 5 Munson Road Clinical Fit-Out  
Project Budget (Final) \$8,380,000  
June 29, 2022




**1<sup>st</sup> Floor and 2<sup>nd</sup> Floor Plans**


## **ATTACHMENT 20**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Canzonetti (F) Building Wound Care Center  
Renovation (Design: \$850,000)

## RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$850,000 as detailed in the attached project budget for the UConn Health Canzonetti (F) Building Wound Care Center Renovation.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$850,000 from UConn Health Capital and a Design and Construction allowance from Restorix Health Inc (Wound Care Center operator) for the UConn Health Canzonetti (F) Building Wound Care Center Renovation and; approve the request for a waiver of the submission of a Planning Budget for approval, to allow bidding to occur as soon as the project design work is completed.”

## BACKGROUND:

UConn Health and Restorix Health Inc will enter into a Professional Service Agreement to create a Comprehensive Wound Care Center (CWC) utilizing Hyperbaric Oxygen Therapy within the Canzonetti Building (F) that will be designed, furnished, staffed and operated by Restorix Health Inc.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my as bids are received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - CANZONETTI (F) BUILDING WOUND CARE CENTER  
RENOVATION**

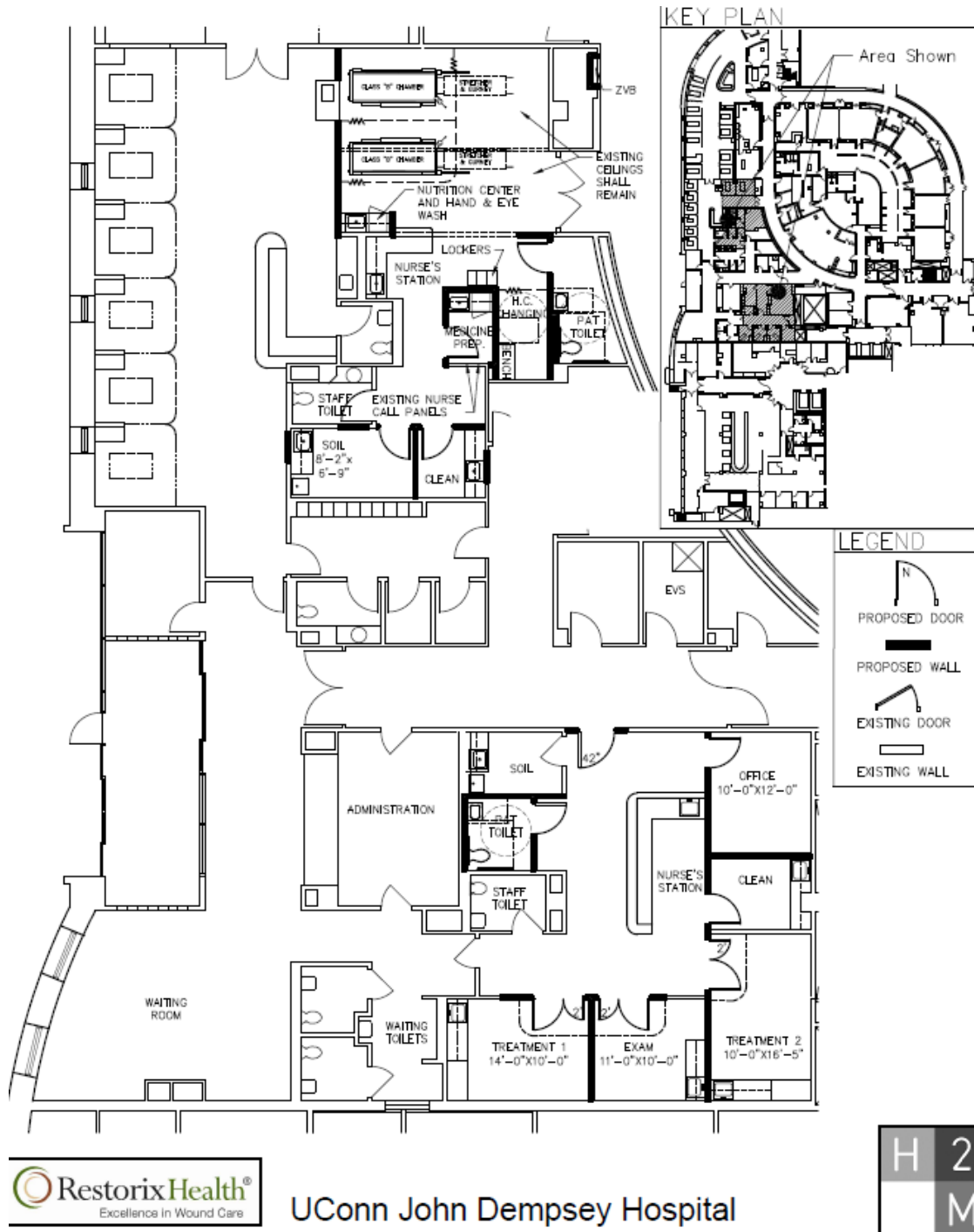
| <u>BUDGETED EXPENDITURES</u>                        | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|---|--|
| CONSTRUCTION  | \$ 640,000                               |
| DESIGN SERVICES                                     | 64,000                                   |
| TELECOMMUNICATIONS                                  | 64,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                   | 5,000                                    |
| CONSTRUCTION ADMINISTRATION                         | -  |
| OTHER AE SERVICES (including Project Management)    | -  |
| ART   | -  |
| RELOCATION  | -  |
| ENVIRONMENTAL                                       | -  |
| INSURANCE AND LEGAL                                 | -  |
| MISCELLANEOUS                                       | -  |
| <b>SUBTOTAL</b>                                     | <b>\$ 773,000</b>                        |
| PROJECT CONTINGENCY                                 | 77,000                                   |
| <b>TOTAL BUDGETED EXPENDITURES</b>                  | <b>\$ 850,000</b>                        |
| <u><b>SOURCE(S) OF FUNDING*</b></u>                 |  |
| UCONN HEALTH CAPITAL FUNDS                          | \$ 500,000                               |
| RESTORIX HEALTH INC DESIGN & CONSTRUCTION ALLOWANCE | 350,000                                  |
| <b>TOTAL BUDGETED FUNDING</b>                       | <b>\$ 850,000</b>                        |

\* 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 Canzonetti (F) Building Wound Care Center Renovation Budget (Design) \$850,000

June 29, 2022




Conceptual Floor Plan


## **ATTACHMENT 21**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Psychiatry Seclusion Suite & Nurse Station Security Renovation (Design: \$790,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$790,000 as detailed in the attached project budget for the UConn Health Psychiatry Seclusion Suite & Nurse Station Security Renovation.

RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$790,000 from UConn Health Capital for the UConn Health Psychiatry Seclusion Suite & Nurse Station Security Renovation and; approve the request for a waiver of the submission of a Planning Budget for approval, to allow bidding to occur as soon as the project design work is completed.”

BACKGROUND:

The Inpatient Psychiatry unit located on the 1<sup>st</sup> floor of the Connecticut Tower sometimes has to deal with violent and disruptive psychiatric patients. This project will renovate portions of the unit to create a Seclusion suite to allow for the secure separation of potentially violent individuals from the patient population and install security barriers at the existing Nurses Station to protect staff.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and my as bids are received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: DESIGN**

**PROJECT NAME: UCONN HEALTH - PSYCHIATRY SECLUSION SUITE & NURSE STATION  
SECURITY RENOVATION**

| <u>BUDGETED EXPENDITURES</u>                     | <u>PROPOSED<br/>DESIGN<br/>6/29/2022</u> |
|--|--|
| CONSTRUCTION                                     | \$ 506,000                               |
| DESIGN SERVICES                                  | 66,000                                   |
| TELECOMMUNICATIONS                               | 25,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                | 21,000                                   |
| CONSTRUCTION ADMINISTRATION                      | -  |
| OTHER AE SERVICES (including Project Management) | -  |
| ART  | 3,000                                    |
| RELOCATION                                       | 18,000                                   |
| ENVIRONMENTAL                                    | -  |
| INSURANCE AND LEGAL                              | 19,000                                   |
| MISCELLANEOUS                                    | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 658,000</b>                        |
| PROJECT CONTINGENCY                              | 132,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 790,000</b>                        |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |  |
| UCONN HEALTH CAPITAL FUNDS                       | \$ 790,000                               |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 790,000</b>                        |

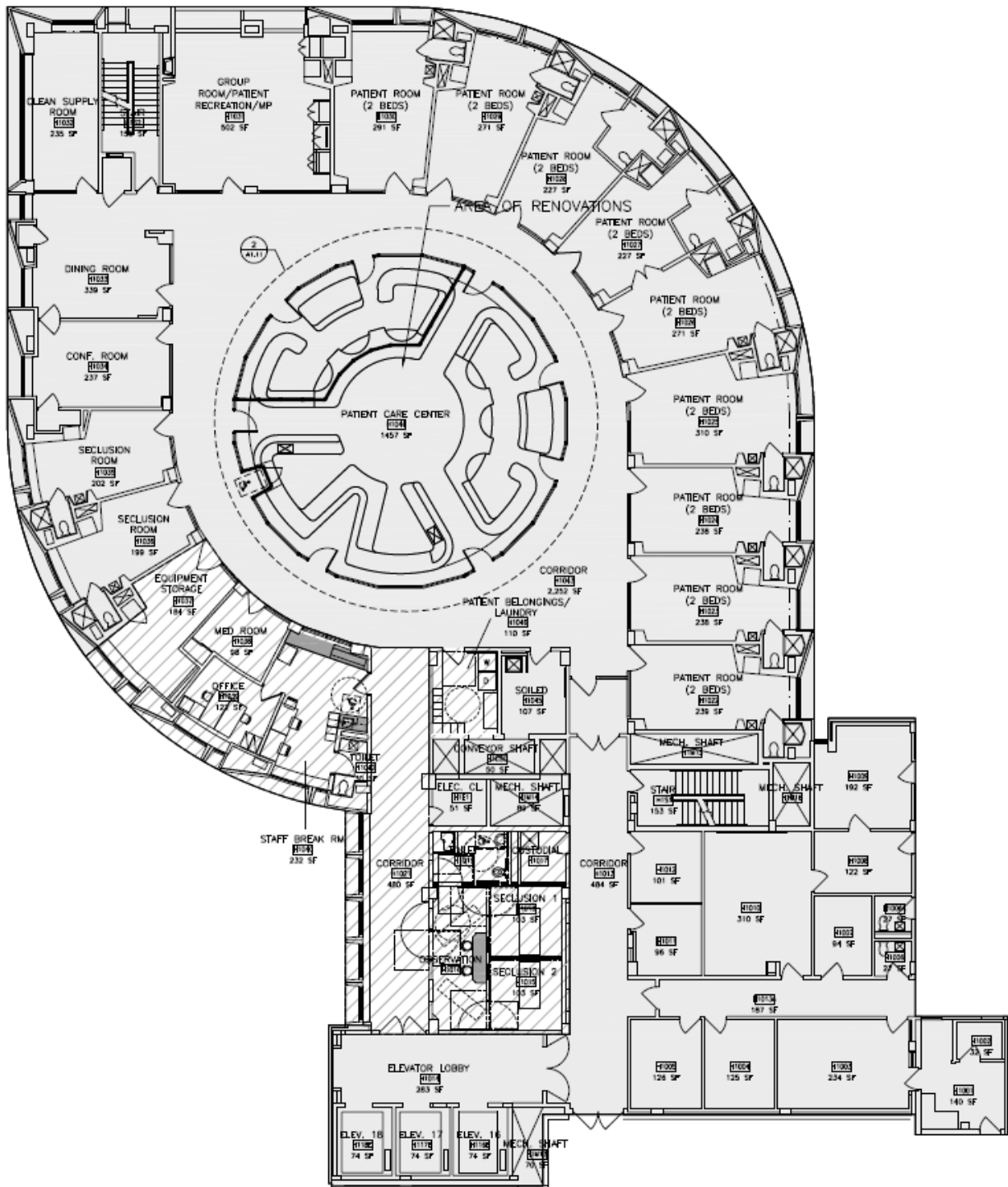
\* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount,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



# UCONN HEALTH/IMPROVEMENTS

## UConn Health Psychiatry Seclusion Suite & Nurse Station Security Renovation Budget (Design) \$790,000

June 28, 2022




**Conceptual Floor Plan**

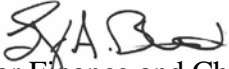
## **ATTACHMENT 22**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Central Sterile Washer & Sterilizer  
Replacement (Planning: \$1,905,000)

## RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$1,905,000, as detailed in the attached project budget for the UConn Health Central Sterile Washer & Sterilizer Replacement Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$1,905,000 from UConn Health Capital for the UConn Health Central Sterile Washer & Sterilizer Replacement Project.”

## BACKGROUND:

Central Sterile Services located in the basement level of the Connecticut Tower provides instrument sterilization services for the medical and dental clinics and outpatient surgical services. The main washer and sterilizer equipment is outdated and prone to downtime which significantly impacts clinical operations. This project will replace the outdated equipment and supporting infrastructure.

The Planning Budget is attached for your consideration. The Planning budget reflects current conceptual estimates and my change as the design is developed. This Planning Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

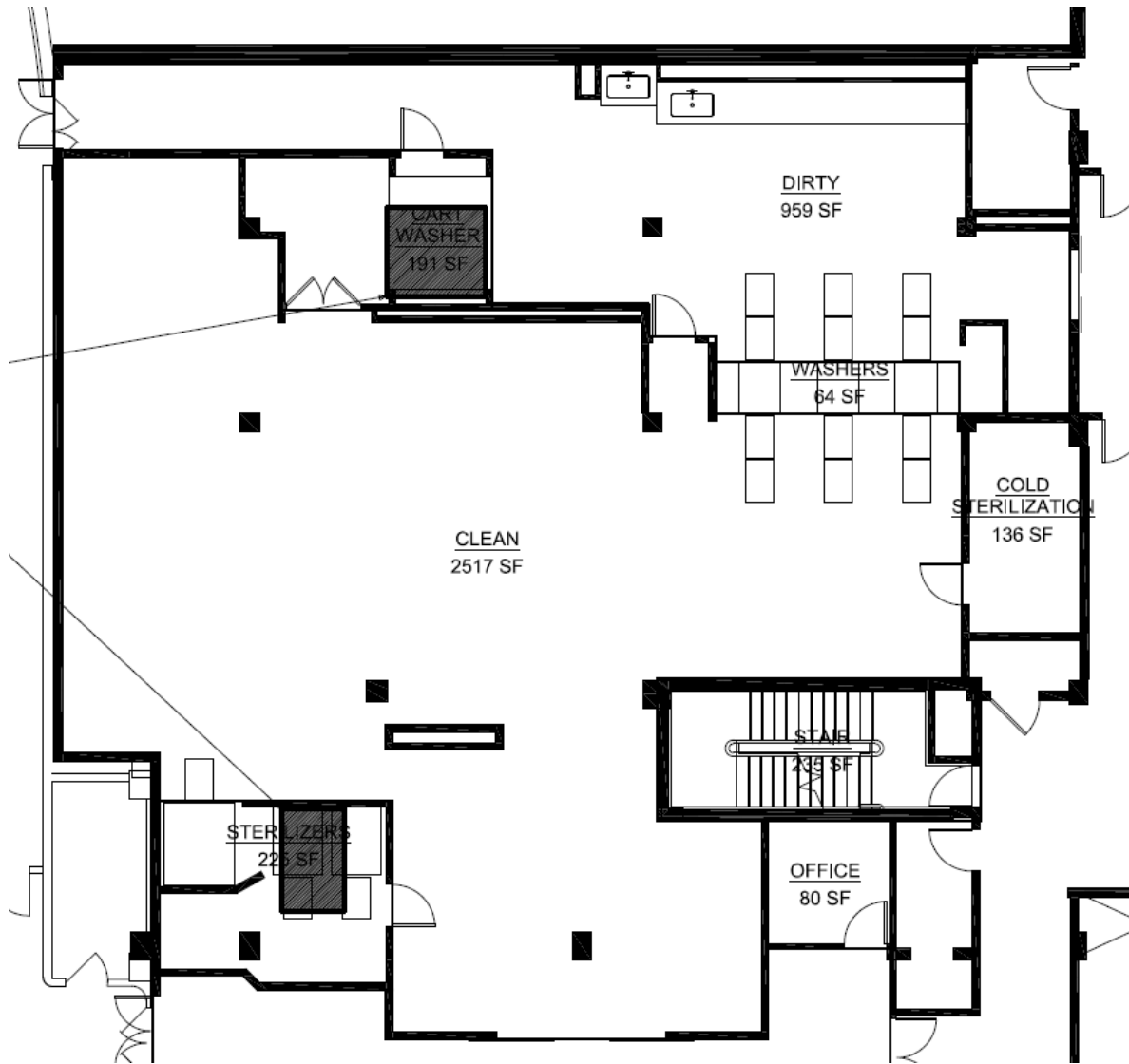
**TYPE BUDGET: PLANNING**

**PROJECT NAME: UCONN HEALTH - CENTRAL STERILE WASHER & STERILIZER  
REPLACEMENT**

| <u>BUDGETED EXPENDITURES</u>                     | <u>PROPOSED<br/>PLANNING<br/>6/29/2022</u> |
|--|--|
| CONSTRUCTION                                     | \$ 565,000                                 |
| DESIGN SERVICES                                  | 95,000                                     |
| TELECOMMUNICATIONS                               | 2,000                                      |
| FURNITURE, FIXTURES AND EQUIPMENT                | 991,000                                    |
| CONSTRUCTION ADMINISTRATION                      | -  |
| OTHER AE SERVICES (including Project Management) | -  |
| ART  | -  |
| RELOCATION                                       | -  |
| ENVIRONMENTAL                                    | -  |
| INSURANCE AND LEGAL                              | -  |
| MISCELLANEOUS                                    | 3,000                                      |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,656,000</b>                        |
| PROJECT CONTINGENCY                              | 249,000                                    |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 1,905,000</b>                        |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |  |
| UCONN HEALTH CAPITAL FUNDS                       | \$ 1,905,000                               |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 1,905,000</b>                        |

\* 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 Central Sterile Washer & Sterilizer  
Replacement Budget (Planning) \$1,905,000  
June 29, 2022



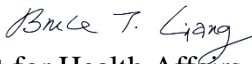
**Conceptual Floor Plan**

## **ATTACHMENT 23**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD, FACC   
Interim Executive Vice President for Health Affairs  
Dean, UConn School of Medicine

Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health New England Sickle Cell Institute  
Renovation (Planning: \$3,000,000)

## RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$3,000,000, as detailed in the attached project budget for the UConn Health New England Sickle Cell Institute Renovation Project.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$3,000,000 from UConn Health Capital for the UConn Health New England Sickle Cell Institute Renovation Project.”

## BACKGROUND:

The New England Sickle Cell Institute (NESCI) and Connecticut Blood Disorders (CBD) clinics were located on an under-utilized inpatient floor within the recently constructed University Tower. In response to the COVID pandemic these clinics were downsized and relocated to allow for the expansion of inpatient services. This project will renovate the 4<sup>th</sup> floor of the Connecticut Tower to accommodate the relocation of the New England Sickle Cell Institute and Connecticut Blood Disorders clinics.

The Planning Budget is attached for your consideration. The Planning budget reflects current conceptual estimates and my change as the design is developed. This Planning Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 13, 2022.

Attachments

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: PLANNING**

**PROJECT NAME: UCONN HEALTH - NEW ENGLAND SICKLE CELL INSTITUTE RENOVATION**

| <u>BUDGETED EXPENDITURES</u>                     | <u>PROPOSED<br/>PLANNING<br/>6/29/2022</u> |
|--|--|
| CONSTRUCTION                                     | \$ 2,235,000                               |
| DESIGN SERVICES                                  | 128,000                                    |
| TELECOMMUNICATIONS                               | 150,000                                    |
| FURNITURE, FIXTURES AND EQUIPMENT                | 199,000                                    |
| CONSTRUCTION ADMINISTRATION                      | -  |
| OTHER AE SERVICES (including Project Management) | -  |
| ART  | 15,000                                     |
| RELOCATION                                       | -  |
| ENVIRONMENTAL                                    | -  |
| INSURANCE AND LEGAL                              | -  |
| MISCELLANEOUS                                    | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 2,727,000</b>                        |
| PROJECT CONTINGENCY                              | 273,000                                    |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 3,000,000</b>                        |
| <u><b>SOURCE(S) OF FUNDING*</b></u>              |  |
| UCONN HEALTH CAPITAL FUNDS                       | \$ 3,000,000                               |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 3,000,000</b>                        |

\* 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 New England Sickle Cell Institute  
Renovation Project Budget (Planning) \$3,000,000  
June 29, 2022



Conceptual Floor Plan

## **ATTACHMENT 24**

**UNIVERSITY OF CONNECTICUT**  
**TENURE AT HIRE RECOMMENDATIONS**  
**PRESENTED TO THE BOARD OF TRUSTEES - June 29, 2022**

| <b><u>NAME</u></b>                   | <b><u>DEPARTMENT</u></b>                 | <b><u>SCHOOL/COLLEGE</u></b>              |
|--------------------------------------|--|---|
| <b>TENURE AS ASSOCIATE PROFESSOR</b> |  |   |
| Bernard, Cara                        | Curriculum and Instruction               | Education                                 |
| Desimini, Jill                       | Plant Science and Landscape Architecture | Agriculture, Health and Natural Resources |
| Hong, Yuan                           | Computer Science and Engineering         | Engineering                               |
| Horowitz, Andrew                     | History                                  | Liberal Arts and Sciences                 |
| Lavelle, Peter                       | History                                  | Liberal Arts and Sciences                 |
| <b>TENURE AS PROFESSOR</b>           |  |   |
| Ferreira dos Santos, Lea             | Physics                                  | Liberal Arts and Sciences                 |
| Houston, Derek                       | Speech, Language, and Hearing Sciences   | Liberal Arts and Sciences                 |

## **ATTACHMENT 25**

**UNIVERSITY OF CONNECTICUT - Law**  
**PROMOTION AND TENURE RECOMMENDATIONS**  
**PRESENTED TO THE BOARD OF TRUSTEES - June 29, 2022**

**NAME**

**Promotion to Associate Clinical Professor**

Beattie, Mary

## **ATTACHMENT 26**

**University of Connecticut Department of Human Resources**  
**Emeritus Retirees**  
**June 29, 2022 Board of Trustees Meeting**

| <b><u>NAME</u></b>  | <b><u>TITLE</u></b>              | <b><u>DEPARTMENT</u></b>         | <b><u>SCHOOL/COLLEGE*</u></b> | <b><u>RETIRED</u></b> | <b><u>HIRED</u></b> |
|---|----------------------------------|----------------------------------|-------------------------------|-----------------------|---------------------|
| <i>Faculty meeting "automatic" criteria for emeritus status</i> |                                  |                                  |                               |                       |                     |
| Pundt, Leanne S.  | Extension Educator               | Dept of Extension Litchfield     | CAHNR                         | 5/1/22                | 1/1/93              |
| Bramble, Pamela C.  | Associate Professor              | Art and Art History              | School of Fine Arts           | 6/1/22                | 9/1/89              |
| Brody, Harold D.  | Professor                        | Materials Science and Engr       | School of Engineering         | 6/1/22                | 7/1/91              |
| Brown, Edna   | Associate Professor              | Human Dev and Family Sciences    | CLAS                          | 6/1/22                | 8/23/07             |
| Bushmich, Sandra L.   | Associate Dean & Professor       | Agriculture, Health, Natural Rcs | CAHNR                         | 6/1/22                | 1/1/88              |
| Caira, Janine N.  | Distinguished Professor          | Ecology and Evolutionary Biology | CLAS                          | 6/1/22                | 9/1/85              |
| Cetegen, Baki   | Professor                        | Mechanical Engineering           | School of Engineering         | 6/1/22                | 9/1/87              |
| Clark, Christopher F.   | Professor                        | History                          | CLAS                          | 6/1/22                | 8/23/05             |
| Demurjian, Steven A.  | Professor                        | Computer Science & Engineering   | School of Engineering         | 6/1/22                | 9/1/87              |
| Eby, Clare V.   | Professor                        | English                          | CLAS                          | 6/1/22                | 9/1/88              |
| Erickson, Pamela I.   | Professor                        | Anthropology                     | CLAS                          | 6/1/22                | 9/1/91              |
| Fendrich, Michael   | Associate Dean & Professor       | Social Work                      | School of Social Work         | 6/3/22                | 8/23/14             |
| Fernandez, Maria L.   | Professor                        | Nutritional Sciences             | School of Agriculture         | 6/1/22                | 1/1/97              |
| Glenney, Susan S.   | Associate Professor in Residence | Kinesiology                      | CAHNR                         | 6/1/22                | 10/8/10             |
| Hussein, Mohamed E.   | Professor                        | Accounting                       | School of Business            | 6/1/22                | 9/1/78              |
| Jones, Cynthia S.   | Professor                        | Ecology and Evolutionary Biology | CLAS                          | 6/1/22                | 9/1/91              |

\*Key

CAHNR – College of Agriculture, Health & Natural Resources

CLAS – College of Liberal Arts & Sciences

**University of Connecticut Department of Human Resources**  
**Emeritus Retirees**  
**June 29, 2022 Board of Trustees Meeting**

| <b><u>NAME</u></b>   | <b><u>TITLE</u></b>    | <b><u>DEPARTMENT</u></b>         | <b><u>SCHOOL/COLLEGE*</u></b> | <b><u>RETIRED</u></b> | <b><u>HIRED</u></b> |
|----------------------|------------------------|----------------------------------|-------------------------------|-----------------------|---------------------|
| Knecht, David A.     | Professor              | Molecular and Cell Biology       | CLAS                          | 6/1/22                | 9/1/87              |
| Kumar, Challa V.     | Professor              | Chemistry                        | CLAS                          | 6/1/22                | 9/1/88              |
| Kuo, Lynn            | Professor              | Statistics                       | CLAS                          | 6/1/22                | 9/1/86              |
| Liu, Lanbo           | Professor              | Geosciences                      | CLAS                          | 6/1/22                | 9/1/95              |
| Long, Thomas L.      | Professor in Residence | Nursing Instruction and Research | School of Nursing             | 6/1/22                | 8/23/08             |
| Mannheim, Philip D.  | Professor              | Physics                          | CLAS                          | 6/1/22                | 9/1/79              |
| Robbins, Mark        | Professor              | Public Policy                    | CLAS                          | 6/1/22                | 8/23/01             |
| Rodriguez, Nancy R.  | Professor              | Nutritional Sciences             | CAHNR                         | 6/1/22                | 9/1/91              |
| Roe, Shirley A.      | Professor & Director   | History                          | CLAS                          | 6/1/22                | 9/1/87              |
| Silbart, Lawrence K. | Professor              | Allied Health Sciences           | CAHNR                         | 6/1/22                | 9/1/91              |
| Simon, Christine M.  | Professor              | Ecology and Evolutionary Biology | CLAS                          | 6/1/22                | 9/1/90              |
| VanLear, Carl A.     | Associate Professor    | Communication                    | CLAS                          | 6/1/22                | 9/1/88              |
| Watnick, Richard M.  | Associate Professor    | Mathematics                      | CLAS                          | 6/1/22                | 9/1/79              |

\*Key

CAHNR – College of Agriculture, Health & Natural Resources

CLAS – College of Liberal Arts & Sciences



**University of Connecticut Department of Human Resources**  
**Emeritus Retirees**  
**June 29, 2022 Board of Trustees Meeting**

| <b><u>NAME</u></b>                                 | <b><u>TITLE</u></b>           | <b><u>DEPARTMENT</u></b>              | <b><u>SCHOOL/COLLEGE*</u></b> | <b><u>RETIRED</u></b> | <b><u>HIRED</u></b> |
|--|-------------------------------|---------------------------------------|-------------------------------|-----------------------|---------------------|
| <i>Recommendations from the Emeritus Committee</i> |                               |                                       |                               |                       |                     |
| Galante-DeAngelis,<br>Mary Ellen                   | Lecturer                      | Human Development & Family<br>Studies | CLAS                          | 6/1/22                | 9/1/92              |
| Gustafson, Gwen                                    | Research Professor            | Psychological Sciences                | CLAS                          | 7/1/22                | 9/1/86              |
| McNulty, John                                      | Assistant Clinical Instructor | Nursing                               | School of Nursing             | 9/1/17                | 8/23/97             |

\*Key

CAHNR – College of Agriculture, Health & Natural Resources

CLAS – College of Liberal Arts & Sciences

## **Mary Ellen Galante-DeAngelis**

Ms. Galante-DeAngelis retired on June 1, 2022 from the College of Liberal Arts and Sciences; Department of Human Development and Family Studies (HDFS), after 30 years of service to the University. Ms. Galante-DeAngelis has excelled in both teaching and service, and has gone above and beyond the expectations for her position, and thus meets the criteria for emeritus status. In 2019 Ms. Galante-DeAngelis won the inaugural HDFS Faculty Teaching Award. In 2020 she won the UConn-AAUP Excellence Award for a Career of Teaching Excellence. She served as the Early Childhood Program Coordinator for five years beginning in 1990, consistently serves on the Early Childhood Program Committee, on the Undergraduate Scholarship Committee, and has continuously served on the HDFS Curriculum Committee since its inception. She serves as the faculty advisor to Jumpstart, a group of 80 UConn students serving approximately 175 preschool children each year.

Beyond UConn, Ms. Galante-DeAngelis' influence on the early childhood discipline is extensive and far-reaching. She has served as Editor of the Newsletter of the Council for Child Development Laboratory Administrators (CCDLA) for more than 20 years. In addition, she serves on many early childhood related boards, such as the Social and Behavioral Sciences Advisory Committee for Charter Oak State College, the State of Connecticut Early Childhood Higher Education Committee, the Quinebaug Community Technical College Advisory Board for the Early Childhood Teacher Preparation Program, and the Board of Directors of the CCDLA, where she also served as president for ten years. Her influence on the field of early childhood education in the state of Connecticut is immense and long lasting. If approved by the Board of Trustees, she would be appointed to the status of "Lecturer Emeritus."

## **Gwen Gustafson**

Dr. Gustafson will retire on July 1, 2022 from the College of Liberal Arts and Sciences; Department of Psychological Sciences, after nearly 36 years of service to the University. Dr. Gustafson served as an associate professor at UConn for 18 years (1986-2004). Due to extraordinary family circumstances, she left that position to care for family members in 2004. She then served as a senior research scientist and lecturer for nine years (2004-2013) and for the last nine years (2013-2022) has served as a research professor. In the past 18 years, Dr. Gustafson has continuously served the department of Psychological Sciences in a range of gratis and part time roles, predominantly in the areas of research and teaching.

In the area of research, Dr. Gustafson has received several research grants, including funding from the National Institute of Child Health and Human Development. She has published almost 30 journal articles and book chapters, some in the most important journals in her discipline including *Child Development* and *Developmental Psychology*. Dr. Gustafson has taught several courses in the Psychological Sciences department. For instance, she has taught many sections of *Developmental Psychology*, one of the department's major service courses. She also has taught several semesters of *History and Systems of Psychology*, which is required for research-track majors. Dr. Gustafson also has provided service to UConn, including serving as the director of the graduate program in child and developmental psychology for five years and as the director of the undergraduate honors program in Psychology for 11 years. Outside of her department, she served as the historian, vice-president, and co-chair of the nominating committee for UConn's Phi Beta Kappa chapter. If approved by the Board of Trustees, she would be appointed to the status of "Research Professor Emeritus."

## **John McNulty**

Mr. McNulty retired on September 1, 2017 from the School of Nursing after nearly 23 years of service to the University. Mr. McNulty served as a visiting lecturer from 1997 to 2001. He then served as instructor and undergraduate clinical coordinator from 2001 to 2004; instructor and director of academic advising services from 2004 to 2008; as assistant clinical professor from 2008 to 2017, and as director of pre-licensure programs from 2013 to 2017.

Mr. McNulty was a highly valued instructor in the School of Nursing and introduced the first computerized simulation manikin into the curriculum, allowing students to practice their clinical decision making skills in a low risk environment. Mr. McNulty's teaching has been honored with several awards, including the Connecticut Nurses Association Diamond Jubilarian Award for Excellence in Nursing, the Visiting Nurse Association of South Central Connecticut, and the UConn School of Nursing Dean's Caring Award. In fact, the School of Nursing named an award after Mr. McNulty, the John McNulty Excellence in the Scholarship of Clinical Education Award.

Within the School of Nursing, Mr. McNulty held various administrative roles such as director of academic advising and director of pre-licensure programs. He also served as faculty advisor to the Student Nurses Association and coordinated the Student Leaders Council. He also served on many university-level committees, such as the Classrooms Committee, University Advising Roundtable, and Freshmen Orientation. Outside of UConn, Mr. McNulty was active in his field, holding leadership positions in professional organizations such as the Connecticut League of Nursing, the Connecticut Nurses Foundation Board of Directors, the American Nurses Association, and Sigma Theta Tau International Honor Society of Nursing. If approved by the Board of Trustees, he would be appointed to the status of "Assistant Clinical Instructor Emeritus."

## **ATTACHMENT 27**

**University of Connecticut Office of the Provost**  
**Sabbatical Leave Recommendations Requiring Board of Trustees Approval**  
**June 29, 2022 Board of Trustees Meeting**

**SABBATICAL MODIFICATIONS/POSTPONEMENTS**

| <b>NAME</b>            | <b>TITLE</b>        | <b>DEPARTMENT</b>                | <b>SCHOOL/COLLEGE</b>                  | <b>PAY</b>   | <b>PERIOD</b>                |
|------------------------|---------------------|----------------------------------|--|--------------|------------------------------|
| Boush, Lisa Ellyn Park | Professor           | Earth Sciences                   | Liberal Arts and Sciences<br>Change to | Half<br>Full | AY 2022-2023<br>Fall 2022    |
| Jain, Menka            | Associate Professor | Physics                          | Liberal Arts and Sciences<br>Change to | Full<br>Half | Fall 2022<br>AY 2022-2023    |
| Nowak, Kristine        | Professor           | Communication                    | Liberal Arts and Sciences<br>Change to | Half<br>Full | AY 2022-2023<br>Fall 2022    |
| Seth, Anji             | Professor           | Geography                        | Liberal Arts and Sciences<br>Change to | Half<br>Half | AY 2022-2023<br>AY 2023-2024 |
| Urban, Mark C          | Professor           | Ecology and Evolutionary Biology | Liberal Arts and Sciences<br>Change to | Full<br>Full | Fall 2022<br>Spring 2023     |
| Zhao, Xinyu            | Associate Professor | Mechanical Engineering           | Engineering<br>Change to               | Half<br>Full | AY 2022-2023<br>Fall 2022    |


**SABBATICAL LEAVE REQUESTS**

| <b>NAME</b>                   | <b>TITLE</b>               | <b>DEPARTMENT</b>                   | <b>SCHOOL/COLLEGE</b>     | <b>PAY</b> | <b>PERIOD</b> |
|-------------------------------|----------------------------|-------------------------------------|---------------------------|------------|---------------|
| Chousionis, Vasileios         | Associate Professor        | Mathematics                         | Liberal Arts and Sciences | Full       | Spring 2023   |
| Day, Robert W                 | Associate Dean & Professor | Business                            | Business                  | Full       | Spring 2023   |
| Dongare, Avinash              | Associate Professor        | Material Science and Engineering    | Engineering               | Full       | Fall 2022     |
| Garcia-Robledo, Carlos Andres | Assistant Professor        | Ecology and Evolutionary Biology    | Liberal Arts and Sciences | Full       | Fall 2023     |
| Ivan, John N                  | Professor                  | Civil and Environmental Engineering | Engineering               | Full       | Spring 2023   |
| Lu, Xiuling                   | Associate Professor        | Pharmaceutical Science              | Pharmacy                  | Full       | Spring 2023   |
| Skoog, Annelie                | Associate Professor        | Marine Sciences                     | Liberal Arts and Sciences | Full       | Fall 2022     |
| Utke, Steven                  | Associate Professor        | Accounting                          | Business                  | Full       | Spring 2024   |
| Wegrzyn, Jill L               | Associate Professor        | Ecology and Evolutionary Biology    | Liberal Arts and Sciences | Full       | Spring 2023   |

## **ATTACHMENT 28**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.  
Interim Provost and Executive Vice President for Academic Affairs 

RE: Appointment of Professor Charles Towe to the DeFavero Professorship in the College of Agriculture, Health and Natural Resources

RECOMMENDATION:

That the Board of Trustees appoint Professor Charles Towe to the DeFavero Professorship in the College of Agriculture, Health and Natural Resources, from August 23, 2022, to August 23, 2025.

BACKGROUND:

The DeFavero Professorship supports the work of a selected faculty member in the Department of Agricultural and Resource Economics. The decision to recommend this appointment was made following the CAHNR policy; Dean Chaubey made his recommendation based on consultation with the associate deans and department heads in the College of Agriculture, Health and Natural Resources.

Professor Charles Towe joined the UConn faculty in 2014 and has a strong national and international research reputation in the area of natural resource and environmental economics. Professor Towe has a strong publication record and has been recently nominated as the in-coming President of the Northeastern Agricultural and Resource Economics Association.

Professor Towe researches water quality, noise and air pollution, and non-market environmental valuation. He has a strong record developing and conducting research that crosses disciplines and he is a highly effective mentor of students and junior faculty.

In addition to his research and teaching, Professor Towe's service ethic and record benefits the academic community. He played an instrumental role in the development of the University-wide Entrepreneurial MS in Data Science, he was a key member of the CAHNR core team that lead development of the College Strategic Vision, he is a co-chair of one of the Strategic Vision Implementation Committees, he served as the ARE graduate program chair up until his spring 2022 sabbatical.

Established in 2019, the DeFavero Professorship supports the work of a selected faculty member in the Department of Agricultural and Resource Economics.



## **ATTACHMENT 29**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.  
Interim Provost and Executive Vice President for Academic Affairs



RE: Graduate Certificate in Global Health

RECOMMENDATION:

That the Board of Trustees approve a Graduate Certificate in Global Health.

BACKGROUND:

The proposal to develop a Graduate Certificate in Global Health represents a partnership between Global Affairs, the Institute for Collaboration on Health, Intervention, and Policy (InCHIP), and faculty from several departments, schools, colleges, centers, and institutes. As the world continues to deal with the long-lasting effects of the COVID-19 pandemic, institutes of higher education have a responsibility to create informed citizens and a globally aware workforce that understands the global burden of disease, the social and environmental determinants of health, basic principles of health equity and health justice, and the ethics of working with diverse populations. As a land grant university in an increasingly global state (nearly one in seven CT residents were born outside the U.S., and of those born in the U.S., nearly 16% have at least one immigrant parent, American Immigration Council), UConn is positioned to be an educational leader in this space. Notably, UConn has significant existing strength in global health with both research and clinical expertise found throughout the university.

The proposed certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts, all while providing the support and supervision needed to address pressing global health issues through a research or experiential-based capstone project. The proposed program provides a 12-credit graduate certificate in interdisciplinary global health. It's expected the program would admit 10-15 students per year. Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements.

## Request for New UConn Academic Degree Program

### General Information

|                             |  |
|-----------------------------|--|
| Name of degree program:     | Global Health Graduate Certificate   |
| Name of sponsoring college: | College of Agriculture, Health, and Natural Resources;<br>College of Liberal Arts and Sciences, School of Medicine,<br>School of Social Work |
| Campuses:                   | Storrs   |
| Type of Proposal:           | New  |
| Type of Program:            | Graduate Certificate   |
| Program Payment Type:       | Tuition-based  |
| Proposed CIP Code(s):       | 51.2210  |

### Justification

"Global health is an area for study, research, and practice that places a priority on improving health and achieving equity in health for all people worldwide. Global health emphasizes transnational health issues, determinants, and solutions; involves many disciplines within and beyond the health sciences and promotes interdisciplinary collaboration and is a synthesis of population-based prevention with individual-level clinical care." - JP Koplan, TC Bond, MH Merson, KS Reddy, MH Rodriguez, NK Sewankambo, JN Wasserheit, for the Consortium of Universities for Global Health Executive Board. Towards a common definition of global health. Lancet 2009, 373. 1993-95.

This proposal to develop a Graduate Certificate in Global Health represents a partnership between Global Affairs, the Institute for Collaboration on Health, Intervention, and Policy (InCHIP), and faculty from several departments, schools, colleges, centers, and institutes. As the entire world continues to grapple with the far-reaching effects of the COVID-19 pandemic, institutes of higher education have a responsibility to create informed citizens and a globally aware workforce that understands the global burden of disease, the social and environmental determinants of health, basic principles of health equity and health justice, and the ethics of working with diverse populations. As a land grant university in an increasingly global state (nearly one in seven CT residents were born outside the U.S., and of those born in the U.S., nearly 16% have at least one immigrant parent, American Immigration Council), UConn is positioned to be an educational leader in this space. Notably, UConn has significant existing strength in global health with both research and clinical expertise found throughout the university. Relevant coursework, research, and field experience can be found in CLAS, CAHNR, SOM, and other schools, colleges, and units.

The proposed certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts, all while providing the support and supervision needed to address pressing global health issues through a research or experiential-based capstone project. The proposed certificate program also recognizes that global

health encompasses not only international contexts, but also local health, and more importantly how local and global' health influence each other.

### **Are there similar programs in Connecticut or elsewhere?**

Several Connecticut and New England colleges and universities offer graduate certificates or degrees in Global Health. There are also major national leaders in the space such as Johns Hopkins Bloomberg School of Public Health. Most existing programs are housed exclusively in Schools of Public Health, or other medical school settings. A unique aspect of this proposal is its Cross-department and cross-school/college nature. This truly interdisciplinary approach offers students opportunities to address global health issues from a multidimensional perspective using a variety of methodological approaches. The certificate is intended for current UConn students who are interested in expanding their global health skills and knowledge. If we find that the program appeals to professionals looking for an opportunity to enhance their skill set and area of expertise as well as individuals interested in enrolling into a graduate program in an adjacent area, we will revisit whether an entrepreneurial program is justified.

### **What are the desired learning outcomes of the program?**

Upon completion of the certificate, students should be able to:

- Demonstrate understanding of key issues in global health such as infant and child health, maternal health, sexuality and gender, food security, mental health, infectious diseases, non-communicable diseases, and international development.
- Describe the most important frameworks from the fields of public health, social medicine, and environmental, behavioral, and social sciences that are used to understand global health issues.
- Analyze the social, cultural, political, economic, and structural determinants of health, and their effects on access and utilization of quality health services.
- Gain familiarity with the complicated history of global health, and its antecedent field of international health.
- Gain insight into how power, politics, and structural inequities predispose certain populations to be healthier or sicker than others, and how certain populations benefit from advances in science and medicine while others do not.
- Apply evidence-based practices to investigate, understand, and interpret global health science.
- Gain familiarity with multidisciplinary methodological approaches such as surveys, participatory research methods (practice based and community-based research), statistical methods, mapping, and randomized control trials to understand global health issues originating from public health, social and behavioral medicine, and social sciences
- Recognize the critical role of interdisciplinary collaboration and capacity building in the development and implementation of interventions, programs, and policies that address global health issues.

## **Program Description**

The proposed program provides a 12-credit graduate certificate in interdisciplinary global health. Students will be required to take CHIP 5100: Interdisciplinary Global Health (3 credits) and will select three additional courses (3 credits each) from the menu of courses below, as approved by the Global Health Graduate Certificate Committee. Students are allowed, but not required, to take one elective course in their home department and one course listed in the Foundational Courses category. No prior experience with, or knowledge of global health is required, but prior coursework in statistics, epidemiology and/or **research** methods may be helpful. Students must have fulfilled prerequisites as noted in the graduate catalog to enroll in a given course. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

## **Proposed Graduate Catalog copy**

The Global Health certificate is a 12-credit graduate certificate in interdisciplinary global health offered through the Institute for Collaboration on Health, Intervention, and Policy (InCHIP) in partnership with Global Affairs.

The certificate recognizes the interdisciplinary nature of global health and offers students concentrated exposure to foundational concepts, opportunities to dive deeper into an area of interest, and exploration of interdisciplinary methodological concepts. The certificate program also recognizes that global health encompasses not only international contexts, but also local health, and more importantly how "local and global health influence each other. No prior experience with, or knowledge of global health is required, but prior coursework in statistics, epidemiology and/or research methods may be helpful.

Requirements: Students are required to take CHIP 5100 (3 credits), plus three additional elective courses (3 credits each) chosen from the courses listed below, as approved by the Global Health Graduate Certificate Committee. Students are allowed but not required, to take one elective course in their home department and one course listed in the Foundational Courses category. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Electives courses: - Foundational Courses (limited to one from this category): AH 5501, ANTH 5377, PUBH 5462

- Culture and Health: HDFS 5020
- Infectious Diseases: PSYC 5711 - Health as a Human Right: ANTH 5305, PUBH 5201, PUBH 5451, PUBH 5460, SWEL 5385
- Sustainability: ARE 5305, AH 5505
- Healthcare and Systems: PUBH 5463
- Methods and Data Analytics: AH 6310, ARE 5311, ARE 5353, ARE 5203, GEOG 5500, GEOG 5530. HDFS 5004.

### **Faculty involvement**

- César E. Abadía-Barrero, Associate Professor, Anthropology and Director of Undergraduate Programs, Human Rights Institute . Lisa M. Butler, Associate Research Professor, InCHIP Principal Investigator

Shayna Cunningham, Assistant Professor, Public Health Sciences

- Kevin Deickaus, Associate Professor of Medicine and Chief, Division of Infectious Diseases
- Debarchana (Debs) Ghosh, Associate Professor, Geography, Head of Courses and Curriculum Community, and InCHIP Principal Investigator

- Amy Gorin, Director of InCHIP and Professor of Psychological Sciences . David Gregorio, Professor, Public Health Sciences

Sara Harkness, Ph.D., M.P.H., Professor of Human Development and Pediatrics and Director, Center for the Study of Culture, Health, and Human Development

- Seth Kalichman, Ph.D., Professor of Psychological Sciences and InCHIP Principal Investigator

Kathy Libal, Ph.D., Associate Professor of Social Work and Human Rights and Director of the Human Rights Institute . Roman Shrestha, Assistant Professor, Allied Health Sciences, and InCHIP Principal Investigator . Sandro Steinbach, Assistant Professor, Agricultural and Resource Economics, and InCHIP Principal Investigator . Charles M. Super, Ph.D., Professor of Human Development and Pediatrics, and Co-Director, Center for the Study of Culture, Health, and Human Development

- Sarah Willen, Associate Professor, Anthropology and Director of the Research Program on Global Health and Human Rights, UConn's Human Rights Institute, and InCHIP Principal Investigator

### **Enrollment and graduation projections**

We expect to admit 10-15 students per year and to graduate 10-15 students per year.

### **Program Evaluation**

Enrollment and Retention. We will recruit graduate students enrolled in departments that have intersecting or complementary graduate programs (MA or PhD) via email solicitation, presentations at department and student-focused meetings, and presentations at professional development seminars. These departments and colleges include but are not limited to Agricultural and Resource Economics, Allied Health Sciences, Animal Sciences, Anthropology, School of Business, Communication, Economics, Educational Psychology, School of Engineering, School of Fine Arts, Geography, Human Development and Family Sciences, School of Medicine, School of Nursing, Pharmacy Practice, Plant Sciences, Psychological Sciences, Public Health Sciences, Public Policy, School of Social Work, and Sociology. We will also reach out to the recent graduates from the Individualized Major Program with Global Health and equivalent majors. We will track the number of students who apply, the number of students accepted, and the number of students that matriculate. We expect the majority of students to obtain a 'B' or better in courses, if data suggests otherwise, faculty will reflect on course development, recruitment, and other support that may be needed. Course evaluations will be reviewed after each term to inform iterative course improvement.

Student Satisfaction and Placement. Students will be surveyed upon completion of the program so that they can provide immediate feedback. This survey will include measures of program relevance, thoroughness, timeliness, convenience, and accessibility. Graduates will receive a second survey one year after they have completed the program to assess whether and how their feedback has changed based on additional experience and the opportunity to apply the material learned. Both of these exit surveys will request information about how the program impacted the placement of the student after graduation. Student placement following this program may include any of the following: clinical, applied, or a research-focused position that includes responsibilities that relate to global health, admission to an advanced graduate program in a relevant field, or promotion associated with the completion of this specialized certificate. We will also reach out to students who do not complete or withdraw from the certificate program to understand their reasons for doing so

### **Program Administration**

Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements. No interview will be required.

Each student will be assigned a faculty advisor within the certificate program. Students will meet with their advisor 1-2 times per year to discuss what they are learning through the coursework, how it applies to their research or career aspirations, and questions they have about opportunities in global health. The program director will hold an annual meeting for program faculty and advisors. Programmatic changes will be made by consensus of these associated faculty members.

### **Funding and financial resources needed**

InCHIP and Global Affairs will share the cost of hiring an instructor to organize and oversee the required 3-credit course, Interdisciplinary Global Health. Funds will also be needed to hire a 5-hour per week program coordinator who will provide support regarding advertising, website upkeep, seminar organization, application processing, and other coordinating functions.

### **Other Resource Needs**

No additional resources are needed; however, we aspire to be able to offer competitive fellowships for certificate students to do fieldwork, complete a capstone project if desired, and/or attend a conference to present their research.

### **Consultations with other potentially affected units**

This proposal has been shared with relevant faculty, department heads and deans who were invited to provide feedback on the certificate as well as CETL and Global Affairs

### **Who can apply to this program?**

Internal applicants (current UConn students enrolled in another UConn degree or certificate program)

**Admissions requirements**

Anticipated term and year of Fall 2022 first enrollment

Proof of enrollment in a UConn Graduate Program, digital copy of unofficial transcript, personal statement, an email from their primary advisor indicating their support of certificate participation, and a planned list of electives for certificate.

**Requirements for application to the program (in addition to transcripts)**

Number of Letters of Recommendation: 1

Required materials: Unofficial transcript, list of planned electives

**Term(s) to which students will be admitted**

Fall, Spring

**Anticipated application deadline**

Rolling

**Program Director Name:** Amy Gorin



## **ATTACHMENT 30**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.

Interim Provost and Executive Vice President for Academic Affairs



RE: Graduate Certificate in Obesity Prevention and Weight Management

RECOMMENDATION:

That the Board of Trustees approve a Graduate Certificate in Obesity Prevention and Weight Management.

BACKGROUND:

The College of Agriculture, Health and Natural Resources, in partnership with the Institute for Collaboration on Health, Intervention and Policy (InCHIP), is proposing to offer a Graduate Certificate in Obesity Prevention and Weight Management. Obesity is a significant public health threat. Over 70% of American adults and nearly one-third of U.S. children are overweight or obese (CDC, 2018). Similar trends are observed worldwide, prompting the World Health Organization to recognize obesity as a global epidemic. With pathways from the cell to society implicated in its etiology, the prevention and management of obesity is a complex process, one that often has limited success.

As the percentage of overweight and obese Americans continues to rise, there is an increasing demand for health care professionals and researchers who can prevent and address obesity in the environments in which people live, learn, work, and play. The proposed certificate will train students from various behavioral, social science, and clinical fields to tackle this 21st century challenge; to understand the multiple drivers of the obesity crisis and to have the knowledge and skills to develop, implement, and evaluate solutions for obesity at various levels and in different settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity.

The Interdisciplinary Obesity Prevention and Weight Management certificate is a 12-credit graduate certificate offered through InCHIP. The certificate recognizes the interdisciplinary nature of obesity and offers students concentrated exposure to foundational concepts and opportunities to dive deeper into broad topic areas such as the nutritional, exercise, and behavioral sciences as well as policy. It's expected the program would enroll 5-10 students per year.

## Request for New UConn Academic Degree Program

### General Information

|                             |   |
|-----------------------------|---|
| Name of degree program:     | Obesity Prevention and Weight Management              |
| Name of sponsoring college: | College of Agriculture, Health, and Natural Resources |
| Type of Program:            | Graduate Certificate                                  |
| Campus Locations:           | Storrs  |
| Program Payment Type:       | Tuition-based   |
| Proposed CIP Code:          | 51.2212   |

### Justification

Obesity is a significant public health threat. Over 70% of American adults and nearly one-third of U.S. children are overweight or obese (CDC, 2018). Similar trends are observed worldwide, prompting the World Health Organization to recognize obesity as a global epidemic. Obesity incurs tremendous costs at the individual and societal level. Obesity related conditions (e.g., cardiovascular disease, diabetes, respiratory ailments, some forms of cancer, infertility, cognitive decline, mental health issues, and chronic pain) are among the leading causes of preventable death and disability (CDC, 2017) accounting for over 20% of U.S. medical spending (Cawley & Meyerhoefer, 2012). The impact of obesity on health outcomes is acutely evident in the ongoing coronavirus pandemic, with obesity linked to increased risk of severe illness, hospitalization, and death among individuals with COVID-19 (see Obesity Society for growing list of empirical studies). Particularly troubling is that the burdens of obesity are not evenly distributed in the U.S. population. As with many health indicators, there are notable disparities in obesity prevalence rates with higher rates observed in Black and Hispanic adults than white adults (Hales et al., 2017). Similar disparities exist in children.

With pathways from the cell to society implicated in its etiology, the prevention and management of obesity is a complex process, one that often has limited success. Several effective options are available for initial weight loss in the behavioral, pharmacology, and surgical realms, with the exception of perhaps bariatric surgery, weight loss maintenance remains an elusive goal regardless of weight loss method. Many contributing factors, such as obesogenic environments and lack of access to healthy foods, are outside of an individual's control requiring a broadening of our weight management paradigms to include both upstream (e.g., policy-based approaches; community- and organization-level interventions) and downstream (e.g., individual-focused programs) approaches. Moreover, while excessive body weight is now the norm in the U.S., obesity remains a highly stigmatized condition and many individuals with obesity experience bias and discrimination in the workplace, health care setting, educational environment, and even the home. This stigma has been shown to exacerbate unhealthy behavior patterns, further jeopardizing successful weight management.

As the percentage of Americans living with overweight and obesity continues to rise, there is an increasing demand for health care professionals and researchers who can prevent and address obesity in the environments in which people live, learn, work, and play. The proposed certificate will train students from various behavioral, social science, and clinical fields to tackle this 21st century challenge -- to understand the multiple drivers of the obesity crisis and to have the knowledge and skills to develop, implement, and evaluate solutions for obesity at various levels and in different settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity.

### Are there similar programs in Connecticut or elsewhere?

Given the high rates of obesity in the U.S. and worldwide, understanding how best to prevent and treat obesity will be critical for new researchers and clinicians alike (e.g., dietitians, physicians, etc.). Thus, our target audience is broad we have designed the certificate to appeal to graduate students from a range of educational backgrounds, cutting across departments, colleges, and campuses at UConn including UConn Health. The certificate is intended

for current UConn students who are interested in expanding their skills and knowledge. If we find that the program appeals to professionals looking for an opportunity to enhance their skill set and area of expertise as well as individuals interested in enrolling into a graduate program in an adjacent area, we will revisit whether an entrepreneurial program is justified. There are 3-4 similar programs nationally with most offering 15-16 credit hours (e.g., University of Nebraska/South Dakota State's joint Transdisciplinary Childhood Obesity Prevention Graduate Certificate). We are not aware of any similar comprehensive, interdisciplinary programs in the New England region.

### **What are the desired learning outcomes of the program?**

The learning objectives are consistent with training recommendations outlined by the Association of the American learning outcomes of the Medical Colleges and reflect best practices in obesity training program.

Upon successful completion of the program, students will be able to:

- Describe the antecedents and consequences of the obesity epidemic across the lifespan, including risk factors, social and physical determinants, health disparities, etc
- Demonstrate a basic knowledge of the physiology of diet, hunger, physical activity, energy consumption, and weight management principles.
- Analyze and apply evidence-based dietary and physical activity guidelines and behavior modification principles.
- Evaluate the research literature related to obesity prevention/management using the socio-ecological model.
- Apply systems thinking to obesity prevention and treatment.
- Evaluate policies with the potential to impact obesity.

### **Program Description**

The proposed program provides a 12-credit graduate certificate in interdisciplinary training in obesity research and management. Students will be required to take CHIP 5000: Obesity from an Interdisciplinary Perspective (3 credits). In addition, three courses (3 credits each) must be taken from the menu of courses below, one course per group (Nutritional Sciences, Physical Activity/Exercise Science, and Behavioral Science/Policy). Students are allowed to take one of their elective courses in their home department (Plan of Study to be approved by the Program Director). No prior experience with or knowledge of obesity research and management is required, but prior coursework in research methods, nutrition, kinesiology, or behavioral sciences may be helpful. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

### **Proposed Graduate Catalog copy**

The Interdisciplinary Obesity Prevention and Weight Management certificate is a 12-credit graduate certificate offered through the Institute for Collaboration on Health, Intervention, and Policy (In CHIP). The certificate recognizes the interdisciplinary nature of obesity and offers students concentrated exposure to foundational concepts and opportunities to dive deeper into broad topic areas such as the nutritional, exercise, and behavioral sciences as well as policy. The certificate program recognizes that there are multiple drivers of the obesity epidemic and challenges students to explore solutions for obesity at various levels and settings (e.g., from prevention to treatment, from childhood to adult, from individual to policy). Students who earn this graduate certificate will be better equipped to engage in interdisciplinary research and clinical care on obesity-related issues and collaborate across knowledge silos with the goal of understanding, preventing, and treating obesity. No prior experience with, or knowledge of obesity prevention or weight management is required, but prior coursework in research methods, nutrition, kinesiology, or behavioral sciences may be helpful.

Requirements: Students are required to take CHIP 5000 (3 credits), plus three additional elective courses (3 credits each), one from each of the three areas below, as approved by the Interdisciplinary Certificate in Obesity Prevention and Weight Management Committee. Students are allowed, but not required, to take one elective course in their home department. The certificate requires completing all four courses while maintaining a GPA of 3.0 or higher in each required course.

Electives courses (minimum of one course from each category):

- Nutritional Sciences: NUSC 5398, NUSC 6315, NUSC 6317, HDFS 5095

- Physical Activity/Exercise Science: KINS 5507, KINS 5508, KINS 5595
- Behavioral Science and Policy: PSYC 5120, PSYC 6750, AH 6305, AH 6324, COMM 5770, HDFS 5095, HDFS 5340, PUBH 5477, ARE 5205

### **Faculty involvement**

Amy Gorin (Director of InCHIP/Professor of Psychology Sciences) will oversee and administer the program as well as advise and teach students. Core faculty from several departments and colleges will also advise and teach students in the program and will meet yearly to review program requirements, enrollment, curriculum, and outcomes.

Agricultural and Resource Economics: Tatiana Andreyeva (Associate Professor), Cristina Connolly (Assistant Professor)

Allied Health Sciences: Caitlin Caspi (Associate Professor); Kristen Cooksey Stowers (Assistant Professor); Valerie Duffy (Professor), Tania Huedo-Medina (Associate Professor), Tricia Leahey (Professor), Jeanne McCaffery (Associate Professor), Sherry Pagoto (Director, Center for mHealth and Social Media/Professor); Molly Waring (Associate Professor)

Communication: Elizabeth Hintz (Assistant Professor)

Human Development and Family Sciences: Kim Gans (Professor), Rebecca Puhl (Deputy Director, Rudd Center for Food Policy and Obesity/Professor); Marlene Schwartz (Director, Rudd Center for Food Policy and Obesity/Professor)

Kinesiology: Linda Pescatello (Distinguished BOT Professor)

Nutritional Sciences: Loneke Blackman Carr (Assistant Professor)

Psychological Sciences: Amy Gorin (Professor/InCHIP Director), Diane Quinn (Professor)

Public Health Sciences: Angela Bermudez-Millan (Assistant Professor)

### **Enrollment and graduation projections**

We expect to admit 5-10 students per year and to graduate 5-10 students per year.

### **Program Evaluation**

Enrollment and Retention.

We will recruit graduate students enrolled in departments that have intersecting or complementary graduate programs (MA or PhD) via email solicitation, presentations at department and student-led meetings, and presentations at professional development seminars. These departments and colleges include but are not limited to Agricultural and Resource Economics, Allied Health Sciences, Anthropology, School of Business, Communication, Economics, Educational Psychology, School of Engineering, School of Fine Arts, Geography, Human Development and Family Sciences, Kinesiology, School of Medicine, School of Nursing, Pharmacy Practice, Plant Sciences, Psychological Sciences, Public Health Sciences, Public Policy, School of Social Work, and Sociology. We will track the number of students who apply, the number of students accepted, and the number of students that matriculate. We expect the majority of students to obtain a B or better in courses, if data suggests otherwise, faculty will reflect on course development, recruitment, and other supports that may be needed. Course evaluations will be reviewed after each term to inform iterative course improvement.

Student Satisfaction and Placement.

Students will be surveyed upon completion of the program so that they can provide immediate feedback. This survey will include measures of program relevance, thoroughness, timeliness convenience, and accessibility. Graduates will receive a second survey one year after they have completed the program to assess whether and how their feedback has changed based on additional experience and the opportunity to apply the material learned. Both of these exit surveys will request information about how the program impacted the placement of the student after graduation. Student placement following this program may include any of the following: clinical, applied, or a research-focused position that includes responsibilities that relate to obesity and/or weight management, admission to an advanced graduate program in a relevant field, or promotion associated with the completion of this specialized certificate. We will also reach out to students who do not complete or withdraw from the certificate program to understand their reasons for doing so.

**Program Administration**

Admissions will occur twice per year, for entry in the fall and spring terms. A committee of associated faculty members will review applications and offer admission to those meeting the program requirements. No interview will be required.

Each student will be assigned a faculty advisor within the certificate program. Students will meet with their advisor 1-2 times per year to discuss what they are learning through the coursework, how it applies to their research or career aspirations, and questions they have about opportunities in obesity and weight management research. The program director will hold an annual meeting for program faculty and advisors. Programmatic changes will be made by consensus of these associated faculty members.

**Funding and financial resources needed**

InCHIP will assume the costs of offering the required 3-credit course, Obesity from an Interdisciplinary Perspective, and will provide funds to hire a 5-hour per week program coordinator who will provide support regarding advertising, website upkeep, seminar organization, application processing, and other coordinating functions.

**Other Resource Needs**

No additional resources are needed.

**Consultations with other potentially affected units**

This proposal has been shared with relevant department heads (Agricultural and Resource Economics, Allied Health Sciences, Communication, Human Development and Family Sciences, Kinesiology, Nutritional Sciences, Public Health Sciences, Psychological Sciences) and deans (CAHNR, CLAS, School of Medicine) who were invited to provide feedback on the certificate.

**Who can apply to this program?**

Internal applicants (current UConn students enrolled in another UConn degree or certificate program)

**Anticipated term and year Fall 2022 of first enrollment**

Admissions requirements Proof of enrollment in a UConn Graduate Program, digital copy of unofficial transcript, personal statement, an email from their primary advisor indicating their support of certificate participation, and a planned list of electives and timeline for certificate completion.

**Requirements for application to the program (in addition to transcripts)**

Number of Letters of Recommendation: 1

Required materials: Unofficial transcript, planned list of electives

**Term(s) to which students will be admitted**

Fall, Spring Summer

**Anticipated application deadline:** Rolling

**Contact Info**

**Initiator Name:** Amy Gorin

Initiator Department: In CHIP

Initiator Email: [amy-gorin@uconn.edu](mailto:amy-gorin@uconn.edu)

Initiator Phone Number: 860-486-5670

# **ATTACHMENT 31**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.



Interim Provost and Executive Vice President for Academic Affairs

RE: Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit

RECOMMENDATION:

That the Board of Trustees approve the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

BACKGROUND:

Connecticut General Statute 1-84(r) requires the Board of Trustees to establish a policy for faculty consulting activities. The Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit was first approved by the University of Connecticut Board of Trustees and has gone through various revisions over the last eleven years.

The updates presented today bring the policy in line with current standards on format and language, with the intention of ensuring clarity for faculty. No major changes have been made to the policy itself, but the revisions are significant in that they involve major rewording and restructuring.



**Proposed changes to the *Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit*. (Previous procedures presented as a strike all are shown in ~~strikethrough~~.)**

# ~~**POLICY ON CONSULTING FOR FACULTY AND MEMBERS OF THE FACULTY BARGAINING UNIT**~~

~~**June 26, 2019**~~

## ~~**1. INTRODUCTION**~~

~~Consulting is a time honored and frequent activity of faculty throughout U.S. research universities. The ability to consult is important in promoting recruitment and retention of faculty of the highest quality. Often, such consulting activities provide a range of benefits including fostering economic development, enhancing the reputation of the University, promoting faculty development and enhancing the faculty's ability to bring to the classroom current and relevant "real world" experiences, among others.~~

~~Consulting is an activity performed by a faculty member for compensation as a result of his/her expertise or prominence in his/her field while not acting in his/her official capacity as a State employee (i.e. in his/her own time.) The University's Laws and Bylaws prohibit faculty from consulting on "time due to the University".~~

## ~~**2. PURPOSE**~~

~~This Policy describes how members of the faculty and members of the faculty bargaining unit (both hereafter referred to as "faculty member(s)") may participate in consulting activities while complying with the State of Connecticut Code of Ethics, the University of Connecticut Ethics Statement, the University's Code of Conduct and the University's Laws and Bylaws.~~

## ~~**3. SCOPE**~~

~~This policy applies to all faculty members paid by the University of Connecticut and University of Connecticut Health Center.~~

## ~~**4. DEFINITIONS**~~

- ~~a) consulting—providing services, advice and similar activities for compensation<sup>1</sup>, based on a faculty member’s professional expertise or prominence in his or her field, while not acting as a State employee.~~
- ~~b) contracting entity—The entity engaging and compensating the faculty member for the consulting activity.~~
- ~~c) ‘time due to the University’—Any time necessary for successfully carrying out the duties assigned to and for which a faculty member was hired. This includes both sufficient time to perform assigned duties as well as sufficient opportunity to meet with other faculty, staff and students.~~
- ~~d) “normal work time/days”—The usual time (days of the week, hours in the day) committed to assigned duties.~~
- ~~e) Compensation—compensation for services rendered include, but are not limited to, money, stock, stock options, material gifts, equity interest, other interests of value, and “luxury travel” (i.e. travel expenses in excess to what the State would have paid if the person had traveled as a State employee). Within this policy, compensation does not include royalties covered under Connecticut statutes 10a-110g (Rights as to products of authorship).~~
- ~~f) “a faculty affiliated company” is a company [or other legal entity] in which the faculty member, or a faculty member’s immediate family, has an ownership interest or serves on the board of directors or board of advisors.~~

## **5. POLICY**

- ~~a) All faculty members, with the exception noted under ‘q’ below must receive written permission in advance from their supervisor and the Provost or Executive Vice President for Health Affairs, (whoever has jurisdiction over that member), or their designees, in order to engage in consulting activities. Requests for such permission will describe the consulting activity, the contracting entity, the dates (or range of dates) that the activity will occur, and the maximum total effort in terms of the faculty members’ normal work days to complete the consulting activity.~~
- ~~b) Permission to consult may only be granted when:
 
  - ~~i. The request to perform the consulting activity occurs due to the faculty member's expertise or prominence in his or her field, not the faculty member's official State position.~~
  - ~~ii. The faculty member is currently, fully performing his/her State duties.~~
  - ~~iii. The consulting activity will not interfere with a faculty member's future ability to perform his/her duties.~~
  - ~~iv. The faculty member is not competing with the University for work that may be perceived as being work the University would choose to perform.~~
  - ~~v. Those members of a faculty bargaining unit who have specific teaching and/or research responsibilities, the consulting contributes to the continued~~~~

---

<sup>1</sup> Within this policy, compensation does not include royalties covered under Connecticut statutes 10a-110g.

development of the faculty member's professional expertise or academic reputation.

- ~~e) Approvals must be obtained for each consulting activity. Any on-going consulting activity must be approved on a fiscal year basis (i.e. July 1—June 30.)~~
- ~~d) The disclosure of proprietary information (i.e. intellectual property owned in part or in total by the University) is prohibited unless specific permission is granted.~~
- ~~e) The faculty member must inform the contracting entity that s/he is not acting as a State employee while performing the consulting activity and is not covered by any State liability protection.~~
- ~~f) The faculty member may not inappropriately use his/her association with the University in connection with the consulting activity. That is, members may identify their employee status, but they shall not speak, act, or make representations on behalf of the University or express institutional endorsement in relation to the outside activity. Further, it must be made clear that permission to use the University name, logos, or other identifiable marks may only be granted by the University.~~
- ~~g) Permission to use State resources while consulting must be provided in writing, in advance, and use of such resources must be fully reimbursed to the University of Connecticut.~~
- ~~h) When compensation would be deemed to be a 'significant financial interest' as defined in the [Policy on Financial Conflicts of Interest in Research](#), the faculty member must disclose this in financial statements made under that policy.~~
- ~~i) The faculty member must get approval if the faculty member is working for a faculty affiliated company in a paid or unpaid capacity, including as an employee, consultant, or advisor.~~
- ~~j) It is in the University's best interest to ensure that its faculty does not compete with the University for work it has or is planning to do itself by teaching a course at another institution for compensation. With this understanding, faculty members may request permission to teach elsewhere under the conditions of this policy and as long as the assignment is determined to be beneficial to the interest of the University.~~
- ~~k) All faculty members who were engaged in a consulting activity in a given fiscal year must complete a year-end reconciliation report describing all consulting activities for which they have received approval. If the estimates regarding anticipated time spent on each activity and the compensation range provided when requesting permission to consult do not reflect what actually occurred, such information should be revised appropriately.~~
- ~~l) The Provost and the Executive Vice President for Health Affairs will submit annual reports of consulting activities for the faculty members under their respective jurisdictions to the Joint Audit and Compliance Committee of the Board of Trustees.~~

- ~~m) The University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement a plan of regularly recurring monitoring and audits to ensure the complete and accurate implementation of this policy.~~
- ~~n) A report or allegation of a violation or noncompliance with this policy shall be reviewed by the Provost or Provost designee. After due process, the Provost may elect to withdraw the authorization or appropriately modify the conditions upon which the authorization to consult is granted so as to resolve any conflict. Such actions are subject to reversal through relevant appeal procedures including those described in the University's Bylaws.~~
- ~~o) Failure to comply with the provisions of this policy may result in appropriate disciplinary action, including but not limited to, loss of the privilege to engage in consulting activities or termination from service. Such disciplinary action will be issued in accordance with the applicable provisions of the collective bargaining agreement or the employment agreement of the faculty member and subject to any appeal rights that may be available.~~
- ~~p) Any faculty member who does not receive prior written approval under this policy is subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy.~~
- ~~q) Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center do not need approval to consult. The requirements described in 5b. ii—iv, 5d-m still apply.<sup>2</sup> Provisions 5b i., 5b v., 5c do not apply.~~
- ~~r) Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center may voluntarily elect to request prior approval to consult as described in 5a. In such cases, all the rules under 5a-n are applicable.<sup>3</sup> Once such a faculty member has requested approval to consult, all subsequent consulting activities in that fiscal year must also obtain such approval.~~

## ~~6. CONFIDENTIAL INFORMATION~~

~~Any financial information provided in the consulting request forms or reconciliation reports will be deemed confidential financial information, in accordance with Section 1-210(b) of the Freedom of Information Act, and will not be disclosed to any third party unless the member agrees or a court of competent jurisdiction so orders, or in order to comply with Federal and/or State laws or regulations related to the handling of Federal research grants.~~

---

<sup>2</sup> Per State statute, final jurisdiction whether such consulting is compliant with the State Code of Ethics resides with the Office of State Ethics for such consulting activities.

<sup>3</sup> Per Public Act 07-166 section 12, the University has final jurisdiction to approve such consulting activities.

|                                     |   |
|-------------------------------------|---|
| <b>Title</b>                        | Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit   |
| <b>Policy Owner</b>                 | Office of the Provost   |
| <b>Applies to</b>                   | UConn and UConn Health <ul style="list-style-type: none"> <li>• Faculty and members of the faculty bargaining units</li> <li>• Management-exempt personnel with faculty appointments</li> </ul> |
| <b>Campus Applicability</b>         | All campuses  |
| <b>Effective Date</b>               | June 29, 2022   |
| <b>For More Information Contact</b> | Faculty Consulting Office   |
| <b>Contact Information</b>          | Storrs and Regional Campuses- Sarah Croucher<br>sarah.croucher@uconn.edu<br>UConn Health- Jody Terranova jterranova@uchc.edu.   |
| <b>Official Website</b>             | Consulting.uconn.edu  |

## 1. BACKGROUND

The University recognizes the benefits derived from faculty members participating in consulting activities with outside entities. Such activities are vital for professional service, provide intellectual enrichment of faculty members and students, may foster economic development, and enhance the reputation of the University. Participation in such activities is a norm for faculty at all highly ranked U.S. public research universities. All activities where outside compensation is received that are related to the expertise of a faculty member fall within the purview of this policy, as are any activities with faculty affiliated companies.

## 2. PURPOSE

This policy provides a framework for consulting work with external entities to ensure compliance with the State of Connecticut Code of Ethics (Conn. General Stat §1-84(r)), other applicable policies, and to ensure such work does not conflict with University employment.

## 3. APPLIES TO

This policy applies to all faculty at the University of Connecticut and the University of Connecticut Health Center, and all staff eligible to be members of the faculty bargaining units (hereafter described as “faculty members”). The policy applies to management-exempt employees only when they have a base faculty appointment, as determined by their appointment letter.

Faculty members who are employed by the University below 0.5 FTE (full-time equivalent) do not need approval to engage in consulting activities. However, such faculty may voluntarily elect to request prior approval for consulting activities. Once a faculty member in this position has requested approval to consult, all subsequent consulting activities in that reporting year must also obtain such approval.

#### 4. DEFINITIONS

- a) **Consulting:** an activity (*e.g.*, provide services, give advice or analysis) undertaken by a faculty member for compensation as a result of their expertise or prominence in their field, while not acting in their official capacity as a State employee (*i.e.*, in their own time). Activities such as serving on grant review panels, giving talks, or reviewing academic works are classified as consulting when undertaken for compensation. Paid or unpaid work conducted for a faculty affiliated company is also considered consulting.
- b) **Compensation:** any form of payment received for the consulting activity. Compensation for consulting activities includes, but is not limited to; honoraria, stipends, payments in goods or services, stocks or stock options, other interests of value, or any forms of compensation (including “luxury travel”) above necessary expenses, even if this is intended to support costs associated with undertaking the activity.
- c) **Contracting entity:** the business, nonprofit organization, government body, individual, or other organization that engages and compensates the faculty member for the consulting activity.
- d) **Faculty affiliated company (FAC):** A faculty affiliated company (or other legal entity) is a for-profit or not-for-profit business where a faculty member or member of their immediate family: 1) is a director, officer, owner, or limited or general partner *or*, 2) is a beneficiary of a trust, or holder of stock constituting five percent or more of the total outstanding stock of any class.
- e) **Time due to the University:** any time necessary for successfully carrying out the workload duties assigned to a faculty member. The University’s Bylaws and policies prohibit faculty from consulting on “time due to the university.”
- f) **Normal work time:** the usual time during which a faculty member is expected to perform their job duties. These times and job duties may be defined in specific appointment letters, workload policies, or other workload assignment documentation.
- g) **Reconciliation:** the process of closing out each approved consulting request after the activity has taken place (or was due to take place if it does not occur) by confirming or updating information regarding the time spent consulting and the compensation received.

#### 5. POLICY STATEMENT

All full-time faculty members must receive written permission from the appropriate supervisory hierarchy prior to engaging in any consulting activity. All consulting requests

and reconciliations must be submitted via the University online consulting request system. Faculty must adhere to the University's procedures associated with this policy.

Consulting approval is not required for compensation received from royalties.

The provost will submit an annual report of consulting activities for all faculty members to the Joint Audit and Compliance Committee of the Board of Trustees. The University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement a plan of regularly recurring monitoring and audits to ensure the complete and accurate implementation of this policy.

The disclosure of proprietary information (*i.e.*, intellectual property owned in part or in total by the University) is prohibited when consulting unless specific permission is granted.

## **6. ENFORCEMENT**

Violations of this policy may result in appropriate disciplinary measures in accordance with University Bylaws, General Rules of Conduct for all University Employees, and applicable collective bargaining agreements.

Faculty members who do not receive prior approval under this policy are subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy, as outlined in the associated Procedures.

## **7. PROCEDURES/FORMS**

Procedures for the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit

## **8. REFERENCES**

[Connecticut General Statutes § 1-84 \(Formerly Section 1-66\). \*\*Prohibited Activities.\*\*](#)

[University of Connecticut Code of Conduct](#)

[Guide to the State Code of Ethics](#) (For UConn employees)

[Faculty Affiliated Companies/External Entities Website](#)

[Guidelines for Faculty, Staff and Students who are affiliated with a Company](#)

[University Logo and Wordmark Policy](#)

## **9. POLICY HISTORY**

**Policy created:** 9/25/2007 (Approved by Board of Trustees)

**Revisions:**

*4/20/2010 (Approved by Board of Trustees)*

*4/13/2011 (Approved by Board of Trustees)*

*11/12/2012 (Approved by Board of Trustees)*


*4/24/2013 (Approved by Board of Trustees)*  
*3/25/2015 (Approved by Board of Trustees)*  
*6/29/2019 (Approved by Board of Trustees)*  
*06/29/2022 (Approved by Board of Trustees)*



# **ATTACHMENT 32**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric   
Interim President

RE: Establishment of the Christopher J. Dodd Chair in Human Rights Practice

RECOMMENDATION:

That the Board of Trustees establish the Christopher J. Dodd Chair in Human Rights Practice in the Human Rights Institute in the Office of Global Affairs.

BACKGROUND:

The Honorable Christopher J. Dodd and Jackie Clegg Dodd established the Dodd Endowment at the University of Connecticut Foundation in 2020. The endowment fund was publicly announced on October 1, 2020, and additional gifts and commitments are consistent with the amount recommended under the University's *Named Gift Guidelines* for an endowed Chair.

The Christopher J. Dodd Chair in Human Rights Practice will honor Senator Dodd's contributions to the world and to the University and extend his legacy by creating a new and innovative space for the University's human rights outreach and engagement work. The position will enable the University to attract a dynamic and innovative scholar/leader to direct the Dodd Programs providing a platform for engaging the broader public and acting as a critical bridge between the resources and expertise of the University's Human Rights Institute and local, national, and global communities. The Dodd Chair will help address the urgent need to protect human rights and preserve human dignity.

Senator Dodd dedicated his life to serving the people of Connecticut and to defending the fundamental rights and freedoms in the U.S. and around the world. From his earliest days in the Senate, when he worked to end the worst abuses of human rights in Nicaragua and El Salvador, to the essential role he played in achieving peace in Northern Ireland, Christopher Dodd was a consistent voice for the values of human rights around the world. In particular, he focused on trying to ensure all children have the opportunity to grow, learn, and thrive, playing an essential role in the passage of the Family and Medical Leave Act, the establishment of the Children's Health Insurance Program, and defending and extending Head Start. In his final years in the Senate, Senator Dodd's leadership was critical to the drafting and adoption of the Dodd-Frank Act and the Affordable Care Act.

At its June 7, 2022, meeting, the Institutional Advancement Committee recommended approval to the full Board.

# **ATTACHMENT 33**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric  
Interim President



RE: Establishment of the Wiktor Osiatyński Chair in Human Rights

RECOMMENDATION:

That the Board of Trustees establish the Wiktor Osiatyński Chair in Human Rights in the Human Rights Institute in the Office of Global Affairs.

BACKGROUND:

Alumnus Gary Gladstein and the Foundation to Promote Open Society are longstanding donors to the University's human rights program and recently partnered to establish an endowed fund in recognition of their friendship with, and the scholarly contributions of, the late Professor Wiktor Osiatyński. This donation is consistent with the amount recommended under the University's *Named Gift Guidelines* for an endowed Chair.

The purpose of the fund is to provide faculty support for the appointed chairholder within the Office of Global Affairs' Human Rights Institute. The individual appointed to the Chair will be a nationally or internationally recognized researcher, scholar, and teacher and will have made significant contributions to human rights research and practice. The appointed chair will be from the disciplines represented in the University's human rights faculty. Currently those disciplines include the humanities, social sciences, business, education, engineering, fine arts, law, social work, and medicine and dental medicine.


Professor Wiktor Osiatyński was an eminent constitutional scholar and served as a board member of the Open Society Foundations. In 2000, he held the inaugural Marsha Lilien Gladstein Visiting Professorship in Human Rights at the University of Connecticut and played a fundamental role in the formation of the University's Human Rights Institute in 2003.

At its June 7, 2022, meeting, the Institutional Advancement Committee recommended approval to the full Board.

# **ATTACHMENT 34**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric   
Interim President

RE: Modification of GE Capital Professorship in Business

RECOMMENDATION:

That the University of Connecticut Board of Trustees, as requested by General Electric, the successor to GE Capital Corporation, change the name of the “GE Capital Professorship in Business” to the “GE Professorship in Business” and other GE Capital namings upon request by GE to the UConn Foundation.

BACKGROUND:

The General Electric Company (GE), and their subsidiaries, have been supporting UConn since 1982 where they have primarily supported the Schools of Engineering and Business. In 2002, GE Capital reorganized into its current business with the General Electric moniker, but the University did not update the names of any associated funds. This resolution addresses the modification of the GE Capital Professorship in Business to the GE Professorship in Business and other GE Capital namings, as identified by the UConn Foundation.

GE is one of the largest and most diversified infrastructure and financial services corporations in the world. With products and services ranging from aircraft engines, power generation, oil and gas production equipment, and household appliances to medical imaging, business and consumer financing and industrial products, they serve customers in approximately 175 countries and employ approximately 305,000 people worldwide. The company was founded in 1892.

The purpose of the GE Professorship in Business is to provide financial support for an endowed professorship in the Department of Operations and Information Management, within the University’s School of Business. The individual appointed to the Professorship will be a nationally recognized researcher, scholar, teacher, or business leader and will have made significant contributions to the field of commerce.

At its June 7, 2022, meeting, the Institutional Advancement Committee recommended approval to the full Board.

# **ATTACHMENT 35**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric  
Interim President



RE: Modification of United Technologies Corporation Engineering Building

RECOMMENDATION:

That the Board of Trustees, as requested by Raytheon Technologies, the successor to United Technologies Corporation (UTC), change the name of The United Technologies Engineering Building to The Pratt & Whitney Engineering Building.

BACKGROUND:

On July 13, 1984, President DiBiaggio requested approval for the new Engineering building to be named The United Technologies Engineering Building. The United Technologies Engineering Building hosts engineering classes and faculty offices and is located at 191 Auditorium Road on the Storrs campus.

United Technologies Corporation was an American multinational conglomerate headquartered in Farmington, Connecticut. It merged with the Raytheon Company in April, 2020, to form Raytheon Technologies Corporation. Pursuant to its Certificate of Amendment dated April 3, 2020, to its Restated Certificate of Incorporation, United Technologies Corporation changed its name to Raytheon Technologies Corporation.

At its April 11, 2022, meeting, the Institutional Advancement Committee recommended approval to the full Board.



# **ATTACHMENT 36**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric  
Interim President



RE: Modification of United Technologies Corporation Naming Recommendations

RECOMMENDATION:

That the University of Connecticut Board of Trustees, as requested by Raytheon Technologies Corporation, the successor to United Technologies Corporation (UTC), change the names of the below listed institute, chairs, professorships, and clinic, which were created in recognition of past charitable contributions, to reflect Raytheon Technologies Corporation’s new name and the names of its Connecticut-based divisions.

| <b>Current Name</b>   | <b>Proposed Rename</b>  |
|---|---|
| United Technologies Corporation Chair in Fuel Cell Technology                 | Raytheon Technologies Chair in Fuel Cell Technology           |
| The United Technologies Corporation Professor in Systems Engineering          | The Collins Aerospace Professor in Systems Engineering        |
| United Technologies Corporation Professorship in Advanced Systems Engineering | Pratt & Whitney Professorship in Advanced Systems Engineering |
| United Technologies Corporation Chair in Thermal-Fluids Engineering           | Collins Aerospace Chair in Thermal-Fluids Engineering         |
| United Technologies Corporation Chair in Advanced Systems Engineering         | Pratt & Whitney Chair in Advanced Systems Engineering         |
| United Technologies Corporation Advanced Technology Clinic                    | Collins Aerospace Advanced Technology Clinic                  |
| United Technologies Institute for Advanced Systems Engineering                | Pratt & Whitney Institute for Advanced Systems Engineering    |

BACKGROUND:

United Technologies Corporation was an American multinational conglomerate headquartered in Farmington, Connecticut. It merged with the Raytheon Company in April, 2020, to form Raytheon Technologies Corporation. Pursuant to its Certificate of Amendment dated April 3, 2020, to its Restated Certificate of Incorporation, United Technologies Corporation changed its name to Raytheon Technologies Corporation.

At its April 11, 2022, meeting, the Institutional Advancement Committee recommended approval to the full Board.

# **ATTACHMENT 37**



# **FY23 Budget Presentation**

to the

**Financial Affairs Committee  
Board of Trustees**

**June 27, 2022**

# UConn Storrs & Regionals



# Budget Risks

## State Support

- Generous CBI funding from the State is largely one-time in both FY22 and FY23 which puts a strain on our FY24 budget and beyond. It is possible that we lose \$47M in CBI funding for FY24.

|                                      | FY22          | FY23          | FY24         |
|--------------------------------------|---------------|---------------|--------------|
| <u>Total cumulative cost of CBIs</u> | <u>\$45.0</u> | <u>\$62.7</u> | <u>~\$89</u> |
| Block grant employees                | 19.9          | 29.5          | ~42          |
| Non-Block Grant employees            | 25.1          | 33.2          | <b>~47</b>   |

## State Fringe Benefits

- The State's legacy costs continue to rise. High fringe benefit costs impact UConn budgets, research competitiveness, students and their families. About \$1,000 per student in tuition and fee dollars end up being diverted from their education to contribute to retiree liability.

## Tuition Rates

- The in-state population has become more rate sensitive in recent years. Rate changes may have a greater impact on overall quality as well as diversity than those in years prior. This is in addition to the trend that has already happened in the out-of-state market.

## Capital

- Capital bond funds from the State are insufficient to fund high priority projects; operating revenues limited to support additional debt payments; and timing of philanthropy is unreliable.

# FY23 Proposed Operating Budget

Despite fiscal challenges, UConn is presenting a balanced budget for FY23.

|  | FY22 *            | FY23 Budget       | \$ Change      | % Change    |
|--|-------------------|-------------------|----------------|-------------|
| State Support                          | \$ 448.6          | \$ 445.9          | \$ (2.8)       | -0.6%       |
| Tuition                                | 468.6             | 505.2             | 36.7           | 7.8%        |
| Mandatory/Course Fees                  | 149.6             | 160.1             | 10.4           | 7.0%        |
| Grants & Contracts                     | 109.7             | 110.8             | 1.1            | 1.0%        |
| G&C - Federal COVID relief             | 82.9              | 39.2              | (43.7)         | -52.7%      |
| Auxiliary Enterprise                   | 183.0             | 201.9             | 18.9           | 10.3%       |
| Other Revenue (incl Foundation reimb.) | 77.9              | 73.4              | (4.5)          | -5.8%       |
| Research Fund                          | 154.6             | 172.3             | 17.7           | 11.5%       |
| <b>Total Revenues</b>                  | <b>\$ 1,674.9</b> | <b>\$ 1,708.7</b> | <b>\$ 33.8</b> | <b>2.0%</b> |
| Salaries & Wages                       | \$ 592.0          | \$ 601.3          | \$ 9.3         | 1.6%        |
| Fringe Benefits                        | 353.1             | 366.1             | 13.0           | 3.7%        |
| Other Expenses (incl energy/equip.)    | 242.4             | 268.6             | 26.2           | 10.8%       |
| Student Financial Aid                  | 264.2             | 244.9             | (19.3)         | -7.3%       |
| Debt/Capital                           | 69.4              | 55.8              | (13.6)         | -19.6%      |
| Research Fund                          | 153.8             | 172.0             | 18.2           | 11.9%       |
| <b>Total Expenditures</b>              | <b>\$ 1,674.9</b> | <b>\$ 1,708.7</b> | <b>\$ 33.8</b> | <b>2.0%</b> |
| <b>Net Gain/(Loss)</b>                 | <b>\$ 0.0</b>     | <b>\$ 0.0</b>     | <b>\$ 0.0</b>  |             |

\*Projected as of 3rd qtr. 2022

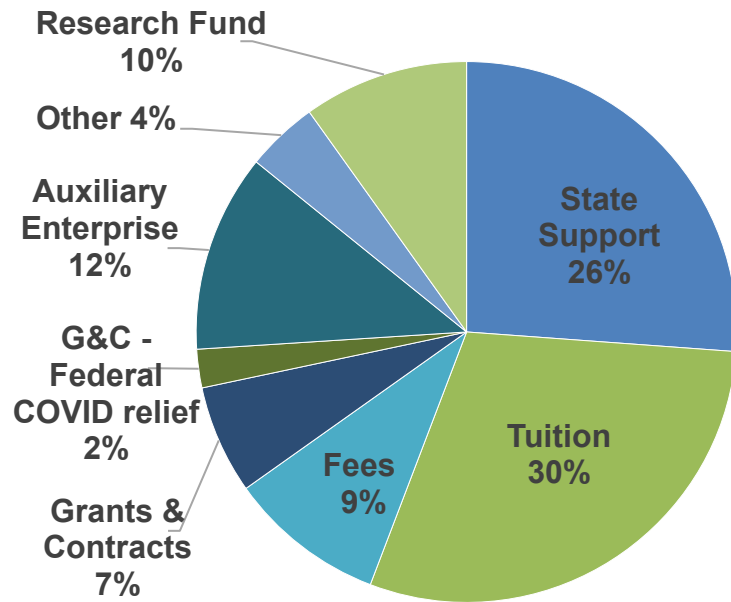
Note: Use of decimals may result in rounding differences.



# FY23 Revenues and Expenses

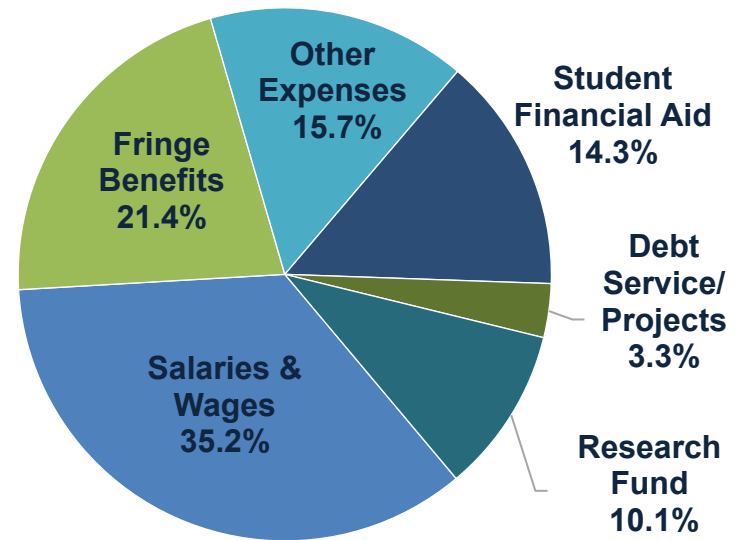
Revenues and expenses will increase 2% each over FY22.

Revenue Budget



- 39% of total revenue is funded by students and their families through mandatory tuition and fees.

Expense Budget



- 57% of total expense is allocated to personnel costs.
- Student financial aid commitment is strong with a 7% increase in tuition funded aid.

# State Support

UConn is grateful for the large amount of support from the State, but we will need to mitigate against one-time funding for permanent costs (e.g., SEBAC).

| State Support                                      | FY22            | FY23            |
|--|-----------------|-----------------|
| Block grant  | \$ 208.2        | \$ 208.2        |
| CBI - block grant employees                        | 19.0            | 32.5            |
| CBI - non-block grant employees (one-time)         | 25.1            | 33.2            |
| Temporary operating support*                       | 22.8            | 15.0            |
| 27th payroll funding                               |                 | 15.5            |
| <b>Subtotal</b>                                    | <b>\$ 274.9</b> | <b>\$ 304.4</b> |
| Fringe reimbursement/27th pay adj.                 | 193.7           | 180.7           |
| <b>Total state support</b>                         | <b>\$ 468.6</b> | <b>\$ 485.1</b> |
| Reclassify covid relief funding as federal revenue | (20.0)          | (39.2)          |
| <b>Remaining State Support</b>                     | <b>\$ 448.6</b> | <b>\$ 445.9</b> |

\* Temporary operating support includes funding towards legacy fringe costs, COVID revenue loss and other program initiatives.

Note: Use of decimals may result in rounding differences.

# FY23 Capital Budget

| UCONN 2000 Bond Funded Projects by Statutory Named Lines         | Total          | By Program        |                 |                |
|--|----------------|-------------------|-----------------|----------------|
|  |                | Academic/Research | Deferred Maint. | Other          |
| <b>Academic and Research Facilities</b>                          | <b>\$32.0</b>  |                   |                 |                |
| Gant Science Building Renovations - STEM                         | 32.0           | 32.0              |                 |                |
| <b>Deferred Maintenance</b>                                      | <b>26.5</b>    |                   |                 |                |
| Academic Renovations - PharmBio Backfill                         | 1.0            | 1.0               |                 |                |
| Mirror Lake & South Campus Infrastructure                        | 23.2           |                   | 23.2            |                |
| Contingency  | 2.3            |                   |                 | 2.3            |
| <b>Equipment</b>   | <b>12.0</b>    |                   |                 |                |
| Academic & Research  | 2.9            | 2.9               |                 |                |
| Information Technology   | 6.7            |                   | 6.7             |                |
| Other  | 2.4            |                   | 1.6             | 0.8            |
| <b>Residential Life Facilities</b>                               | <b>54.7</b>    |                   |                 |                |
| South Campus Residence Hall                                      | 54.7           |                   |                 | 54.7           |
| <b>Total UCONN 2000 Bond Funded Projects</b>                     | <b>\$125.1</b> | <b>\$35.9</b>     | <b>\$31.5</b>   | <b>\$57.8</b>  |
| <b>Other Funded Projects (University, Gifts, State GO Bonds)</b> |                |                   |                 |                |
| Facilities Repairs & Improvements                                | 10.0           |                   | 10.0            |                |
| Programmatic Renovations   | 6.0            | 6.0               |                 |                |
| Hockey Arena   | 34.8           |                   |                 | 34.8           |
| Faculty Innovators (State GO Bonds)                              | 11.7           | 11.7              |                 |                |
| UCH Deferred Maintenance (State GO Bonds)                        | 40.0           |                   |                 | 40.0           |
| Other/Contingency  | 2.4            |                   |                 | 2.4            |
| <b>Total Other Funded Projects</b>                               | <b>\$104.9</b> | <b>\$17.7</b>     | <b>\$10.0</b>   | <b>\$77.2</b>  |
| <b>Grand Total FY23 Capital Budget</b>                           | <b>\$230.0</b> | <b>\$53.6</b>     | <b>\$41.5</b>   | <b>\$134.9</b> |

- 93% of the Storrs & Regionals capital budget will provide funding for active construction projects.

- New State GO bonds for UCH will support critical DM needs.



**UConn Health**

# FY23 Operating Budget Risks

## COVID

- Unknown level of possible spikes in COVID cases, new waves, new variants

## Staffing

- Employee turnover is greater than historical trends; Overtime, Travel/Temporary Staff, Stipends

## Fringe Costs

- Fringe benefit rates – final retirement rates not set

## Other Expenses

- Increased inflationary pressures and supply chain shortages, backorders and outages

## Patient Revenue

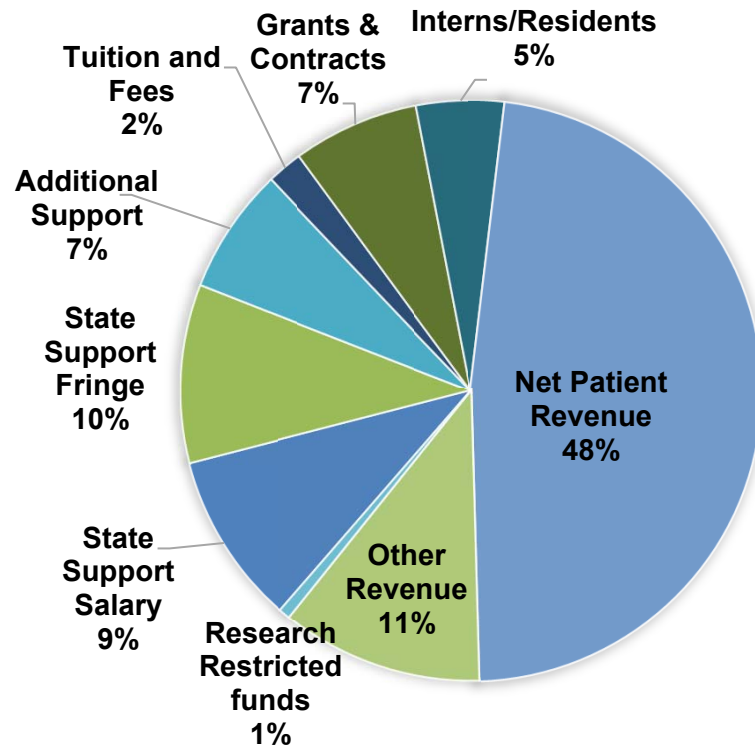
- DSS Supplement/Enhanced payments Federal match
- 340B eligibility
- Proposed payment reductions and overall shift of services to outpatient
- Payer mix and volume fluctuations
- Hospital consolidation and outside referral reductions

# FY23 Proposed Operating Budget

| <u>UConn Health Center</u>               | Fiscal Year<br>2023 | Fiscal Year<br>2022 |                |               |
|--|---------------------|---------------------|----------------|---------------|
| Revenue and Expense (\$M)                | Proposed<br>Budget  | Forecast            | Variance       | %<br>Variance |
| State Support Salary                     | \$ 151.5            | \$ 142.4            | \$ 9.0         | 6.0%          |
| State Support Fringe                     | 157.0               | 154.2               | 2.8            | 1.8%          |
| Additional Support                       | 110.4               | 85.0                | 25.4           | 23.0%         |
| Tuition and Fees                         | 32.0                | 31.2                | 0.8            | 2.4%          |
| Grants & Contracts                       | 111.2               | 119.0               | (7.8)          | -7.0%         |
| Interns/Residents                        | 77.2                | 74.2                | 3.1            | 4.0%          |
| Net Patient Revenue                      | 752.2               | 714.5               | 37.7           | 5.0%          |
| Other Revenue                            | 176.6               | 180.4               | (3.8)          | -2.2%         |
| <b>Total Operating Fund</b>              | <b>\$ 1,568.1</b>   | <b>\$ 1,501.0</b>   | <b>\$ 67.2</b> | <b>4.3%</b>   |
| Research Restricted funds                | 10.0                | 4.0                 | 6.0            | 60.0%         |
| <b>Total Revenues</b>                    | <b>\$ 1,578.1</b>   | <b>\$ 1,505.0</b>   | <b>\$ 73.2</b> | <b>4.6%</b>   |
| Personal Services                        | \$ 536.5            | \$ 514.4            | \$ 22.0        | 4.1%          |
| Fringe Benefits                          | 359.3               | 326.2               | 33.1           | 9.2%          |
| Drugs/Medical Supplies                   | 232.4               | 213.7               | 18.6           | 8.0%          |
| Resident and Fellow house staff          | 63.2                | 61.6                | 1.6            | 2.5%          |
| Utilities                                | 15.2                | 13.3                | 1.9            | 12.5%         |
| Interest Expense on Debt Service         | 8.3                 | 8.7                 | (0.4)          | -4.9%         |
| Other Expenses                           | 313.7               | 301.5               | 12.2           | 3.9%          |
| Capital Projects/Lease and Debt Payments | 39.0                | 60.9                | (21.9)         | -56.1%        |
| <b>Total Operating Fund</b>              | <b>\$ 1,567.5</b>   | <b>\$ 1,500.4</b>   | <b>\$ 67.1</b> | <b>4.3%</b>   |
| Research Restricted funds                | 10.0                | 4.0                 | 6.0            | 60.0%         |
| <b>Total Expenses</b>                    | <b>\$ 1,577.5</b>   | <b>\$ 1,504.4</b>   | <b>\$ 64.9</b> | <b>4.1%</b>   |
| <b>Excess/(Deficiency)</b>               | <b>\$ 0.6</b>       | <b>\$ 0.5</b>       | <b>\$ 0.1</b>  |               |

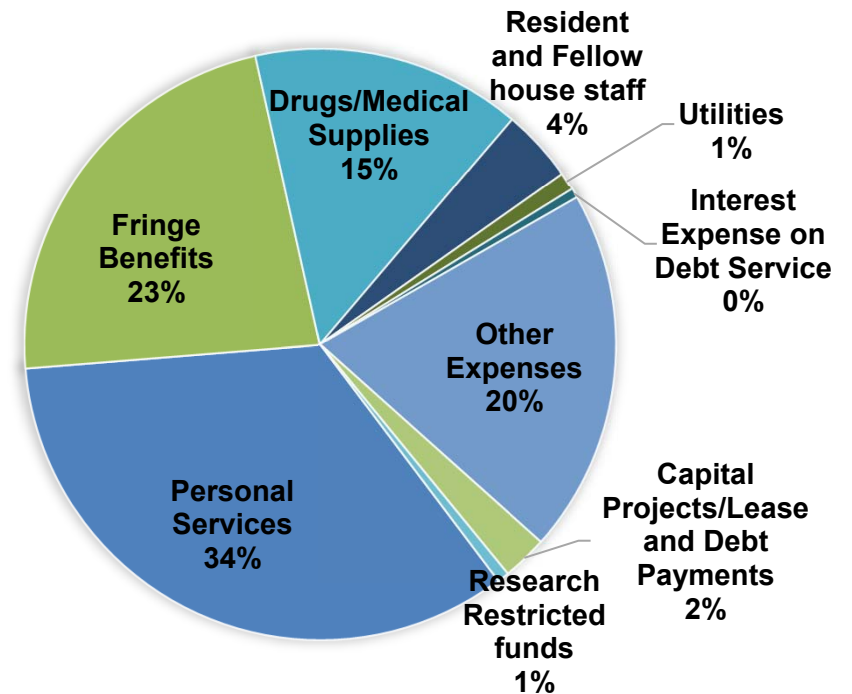
# FY23 Revenues and Expenses

Revenue Budget



- 48% of total revenue is funded by patients.

Expense Budget



- 57% of total expense is allocated to personnel costs.

# State Support


| <b>State Support Salary</b>                             | <b>FY2023</b> | <b>FY2022</b> |
|---|---------------|---------------|
| Operating Expenses                                      | 133.4         | 133.4         |
| AHEC  | 0.4           | 0.4           |
| Reserve for Salary Adjustment (RSA)                     | 12.6          | 8.7           |
| 27th Payroll (one-time) - no inkind fb                  | 5.1           | -             |
|   | <b>151.5</b>  | <b>142.4</b>  |
| <b><u>Additional Support</u></b>                        |               |               |
| Temporary Operating Support/Legacy Costs                | 30.2          | 6.9           |
| Temporary Operating Support                             | 7.5           | 24.0          |
| ARPA (American Rescue Plan Act)                         | 72.7          | 54.1          |
|   | <b>110.4</b>  | <b>85.0</b>   |
|   |               |               |
| <b>Total State Support</b>                              | <b>261.9</b>  | <b>227.4</b>  |
| <b><u>State Support Fringe</u></b>                      |               |               |
| In Kind Fringe Benefits                                 | 137.7         | 136.7         |
| Reserve for Salary Adjustment (RSA) related fringe      | 5.8           | 4.0           |
| Fringe Benefit Differential                             | 13.5          | 13.5          |
|   | <b>157.0</b>  | <b>154.2</b>  |
|   |               |               |
| <b>Total State Support With Fringe</b>                  | <b>418.9</b>  | <b>381.6</b>  |
| <b><u>Other items:</u></b>                              |               |               |
| Deferred Maintenance                                    | 40.0          |               |
| Carryforward - Replenish Medical Malpractice Trust Fund | 20.0          |               |



# **ATTACHMENT 38**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

RE: Fiscal Year 2023 Budget for the University of Connecticut, Storrs and  
Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve the attached Operating Budget for Fiscal Year 2023 of \$1,708.7 million for the University of Connecticut, Storrs and Regional Campuses.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2023 Operating Budget of \$1,708.7 million for the University of Connecticut, Storrs and Regional Campuses.”

BACKGROUND:

The support from the State has helped us balance the budget in FY22 and their continued support in FY23 allows us to mitigate down a small deficit to zero. The FY23 operating budget includes \$1,708.7 million of revenues and \$1,708.7 million of expenditures and includes a Fiscal Improvement Plan necessary to balance the budget.

In FY23, we expect to see a post-COVID recovery in on-campus housing capacity and entrepreneurial program enrollment. While some 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 a FY23 budget that includes a block grant of \$208.2 million. It also includes additional support of \$63.7 million to cover CBI's, a portion of legacy fringe costs, 27<sup>th</sup> pay period, and other programmatic items. We are grateful to the Governor and General Assembly for their continued support of UConn.

UConn continues to focus on protecting academic excellence and providing strong student support. The proposed budget increases our tuition-funded financial aid budget by 7% with need-based aid at 17% of tuition and an overall student financial aid budget of \$244.9 million.

# University of Connecticut, Storrs & Regional Campuses

## Fiscal Year 2023 Budget

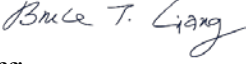
| <b>Revenues:</b>                       | <b>FY23 (\$M)</b> |
|--|-------------------|
| State Support                          | \$ 445.9          |
| Tuition                                | 505.2             |
| Mandatory/Course Fees                  | 160.1             |
| Grants & Contracts                     | 110.8             |
| G&C - Federal COVID relief             | 39.2              |
| Auxiliary Enterprise                   | 201.9             |
| Other Revenue (incl Foundation reimb.) | 73.4              |
| Research Fund                          | 172.3             |
| <b>Total Revenues</b>                  | <b>\$ 1,708.7</b> |
| <b>Expenditures:</b>                   |                   |
| Salaries & Wages                       | 601.3             |
| Fringe Benefits                        | 366.1             |
| Other Expenses (incl energy/equip.)    | 268.6             |
| Student Financial Aid                  | 244.9             |
| Debt/Capital                           | 55.8              |
| Research Fund                          | 172.0             |
| <b>Total Expenditures</b>              | <b>\$ 1,708.7</b> |
| <b>Net Gain/(Loss)</b>                 | <b>\$ 0.0</b>     |

# **ATTACHMENT 39**

# UConn HEALTH

June 29, 2022

TO: Members of the Board of Trustees

FROM: Bruce T. Liang, MD   
Interim Chief Executive Officer  
Dean |UConn School of Medicine

Jeffrey P Geoghegan, CPA   
Chief Financial Officer

RE: Fiscal Year 2023 Budget for UConn Health

## RECOMMENDATION:

That the Board of Trustees approve the attached Operating Budget for Fiscal Year 2023 of \$1,577.5 million for UConn Health.

## RESOLUTION:

“Be it resolved that the Board of Trustees approve the Fiscal Year 2023 Operating Budget of \$1,577.5 million for UConn Health.”

## BACKGROUND:

The FY 23 Operating Budget includes \$1,578.1 million of revenue, including estimated state support of \$418.9 million, to cover \$1577.5 million in expenses and transfers.

The General Assembly has approved an FY23 budget that includes a block grant of \$133.7 million. It also includes additional support of \$128.1 million to cover CBI’s, legacy fringe costs, and the 27th pay period (\$418.9 million with fringe reimbursement) 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


### Operating Budget for Fiscal Year 2023

| Revenue and Expense (\$M)                | FY23 (\$M)        |
|--|-------------------|
| State Support Salary                     | \$ 151.5          |
| State Support Fringe                     | 157.0             |
| Additional Support                       | 110.4             |
| Tuition and Fees                         | 32.0              |
| Grants & Contracts                       | 111.2             |
| Interns/Residents                        | 77.2              |
| Net Patient Revenue                      | 752.2             |
| Other Revenue                            | 176.6             |
| <b>Total Operating Fund</b>              | <b>\$ 1,568.1</b> |
| Research Restricted funds                | 10.0              |
| <b>Total Current Funds Revenues</b>      | <b>\$ 1,578.1</b> |
| Personal Services                        | \$ 536.5          |
| Fringe Benefits                          | 359.3             |
| Drugs/Medical Supplies                   | 232.4             |
| Resident and Fellow house staff          | 63.2              |
| Utilities                                | 15.2              |
| Interest Expense on Debt Service         | 8.3               |
| Other Expenses                           | 313.7             |
| Capital Projects/Lease and Debt Payments | 39.0              |
| <b>Total Operating Fund</b>              | <b>\$ 1,567.5</b> |
| Research Restricted funds                | 10.0              |
| <b>Total Operating Expenses</b>          | <b>\$ 1,577.5</b> |
| <b>Excess/(Deficiency)</b>               | <b>\$ 0.6</b>     |

# **ATTACHMENT 40**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

SUBJECT: Fiscal Year 2023 Capital Budget for the University of Connecticut

**RECOMMENDATION:**

That the Board of Trustees approve a capital budget of \$230,000,000, as detailed in Attachment A, for Fiscal Year 2023 which is comprised of \$53,170,800 of University funds, \$125,100,000 of UCONN 2000 State GO bond funds, and \$51,729,200 of State GO 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 2023 capital budget of \$230,000,000 for the University of Connecticut.”

**BACKGROUND:**

In order to manage all capital fund sources in a strategic and transparent manner, UConn is proposing an all funds capital budget for approval.

The proposed capital budget for FY23 of \$230,000,000 includes \$53,170,800 of University funds, \$125,100,000 of UCONN 2000 State General Obligation bond funds, and \$51,729,200 of State General Obligation bond funds. The two attached documents reflect the capital budget spending plan detail:

- Attachment A - the proposed FY23 capital budget spending plan
- Attachment B - the UCONN 2000 Phase III State Bond Phasing Plan by Statutory Named Line

The FY23 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 9 of the 13-year NextGenCT program.

Numerous projects are currently in construction with required funding to be allotted in FY23 through FY27. Construction is currently underway on the Gant Science Complex, which is undergoing major renovations to accommodate current and future University needs in response to growing student enrollment in STEM programs. These improvements will include classrooms, lecture halls, teaching and research laboratories, faculty offices and support spaces. In FY23, funds will be utilized to maintain the critical information technology infrastructure university-wide as well as support new academic and research equipment. Finally, a significant portion of the capital budget will fund the construction of the new South Campus Residence Hall and the required improvements to Mirror Lake and nearby infrastructure.

We are appreciative of the State’s support of the NextGenCT 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. Also, 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.

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

| <b>UCONN 2000 Bonding Schedule (\$M)</b> |              | <b>Statute</b>   |
|--|--------------|------------------|
| Phase I                                  | FY96-FY99    | \$382.0          |
| Phase II                                 | FY00-FY05    | 580.0            |
| Phase III                                | FY05-FY22    | 3,057.1          |
|  | <b>FY23</b>  | <b>125.1</b>     |
|  | FY24         | 84.7             |
|  | FY25         | 56.0             |
|  | FY26         | 14.0             |
|  | FY27         | 9.0              |
|  | <b>Total</b> | <b>\$4,307.9</b> |

**Indenture Amendments:**

The law specifically gives the Board of Trustees the authority to make revisions to project budgets and related indentures. It would be virtually impossible to manage a thirty-two-year capital program without the authority to make such adjustments. These revisions are complex because 1) there are many projects, 2) UConn must operate within statutory annual bond caps, 3) tax-related expenditure requirements must be observed, and 4) the adjustments to numerous lines generally involve projects that span a number of years. While revisions may affect current projects, given the annual bond caps, they also have a rollout effect over the next decade. The Board of Trustees has the authority to amend past indentures in order to reflect changes as project budgets are finalized or other events affect the capital budget for a given prior fiscal year. At this time, the University is proposing revisions to the 23<sup>rd</sup> and 26<sup>th</sup> Supplemental Indentures which reflect the financial closeouts of the Fine Arts Production Center and the UCH Clinic Building Renovation projects.

**State General Obligation Bonds**

From time to time, in addition to the UCONN 2000 program, the State will authorize General Obligation bonds for special initiatives. In 2021, the Innovation Faculty Hires and Entrepreneurial Ecosystem Initiative was approved. This program spans FY22 through FY26 and includes \$46.1 million of State bonding. These State funds along with a University investment will support the hiring of faculty innovators, lab/equipment start-up costs, and entrepreneurial support such as angel and venture funds. The University has requested the FY22 and FY23 bonding amounts for the Faculty Hires initiative from the State; however, to date these authorizations have not been approved by the State Bond Commission.

Additionally, during 2022 the Governor and General Assembly authorized \$40,000,000 for UConn Health for deferred maintenance, code compliance and infrastructure improvements. These funds will support critical needs at UConn Health so that they may continue to maintain and reinvest in the assets of the State to avoid additional costs over the long term.

The FY23 State General Obligation bond amount is \$51,729,200. This authorization is pending allotment by the State Bond Commission.

**University Funds:**

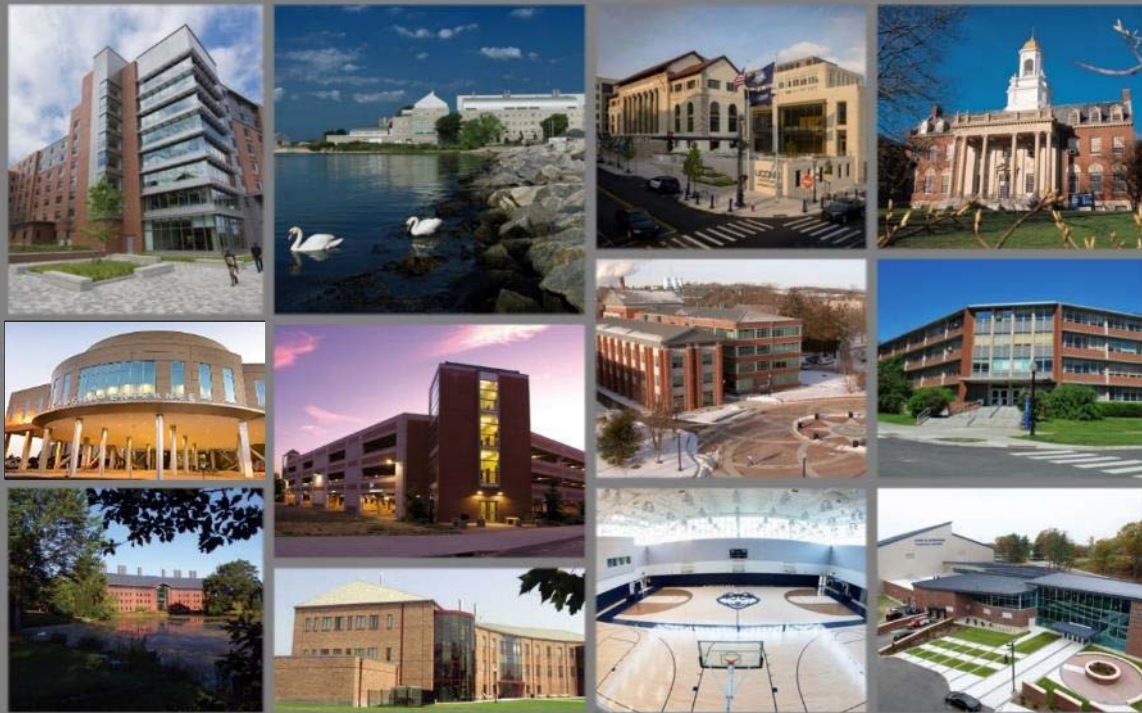
Since there are insufficient State bonds to fund all capital projects, UConn utilizes other fund sources for high priority capital and maintenance initiatives. These requests are reviewed and approved in the same way as State bond funded projects. In addition, the University may choose to utilize cash balances to temporarily fund capital projects in advance of the issuance of new UConn Revenue bonds or to bridge cash flow for State bond funded projects. The FY23 capital budget includes \$53,170,800 of University funds for facilities repairs & improvements, programmatic renovations, and the new hockey arena.

| <b>University of Connecticut</b>                                    |                |                       |                    |                |
|---|----------------|-----------------------|--------------------|----------------|
| <b>FY23 Capital Budget Spending Plan</b>                            |                |                       |                    |                |
| <b>Proposed Projects by Statutory Named Lines &amp; by Program*</b> |                |                       |                    |                |
| UCONN 2000 Bond Funded Projects by Statutory<br>Named Lines         | Total          | By Program            |                    |                |
|   |                | Academic/<br>Research | Deferred<br>Maint. | Other          |
| <b>Academic and Research Facilities</b>                             | <b>\$32.0</b>  |                       |                    |                |
| Gant Science Building Renovations - STEM                            | 32.0           | 32.0                  |                    |                |
| <b>Deferred Maintenance</b>   | <b>26.5</b>    |                       |                    |                |
| Academic Renovations - PharmBio Backfill                            | 1.0            | 1.0                   |                    |                |
| Mirror Lake & South Campus Infrastructure                           | 23.2           |                       | 23.2               |                |
| Contingency   | 2.3            |                       |                    | 2.3            |
| <b>Equipment</b>  | <b>12.0</b>    |                       |                    |                |
| Academic & Research   | 2.9            | 2.9                   |                    |                |
| Information Technology  | 6.7            |                       | 6.7                |                |
| Other   | 2.4            |                       | 1.6                | 0.8            |
| <b>Residential Life Facilities</b>                                  | <b>54.7</b>    |                       |                    |                |
| South Campus Residence Hall   | 54.7           |                       |                    | 54.7           |
| <b>Total UCONN 2000 Bond Funded Projects</b>                        | <b>\$125.1</b> | <b>\$35.9</b>         | <b>\$31.5</b>      | <b>\$57.8</b>  |
| <b>Other Funded Projects (University, Gifts, State GO Bonds)</b>    |                |                       |                    |                |
| Facilities Repairs & Improvements                                   | 10.0           |                       | 10.0               |                |
| Programmatic Renovations  | 6.0            | 6.0                   |                    |                |
| Hockey Arena  | 34.8           |                       |                    | 34.8           |
| Faculty Innovators (State GO Bonds)                                 | 11.7           | 11.7                  |                    |                |
| UCH Deferred Maintenance (State GO Bonds)                           | 40.0           |                       |                    | 40.0           |
| Other/Contingency   | 2.4            |                       |                    | 2.4            |
| <b>Total Other Funded Projects</b>                                  | <b>\$104.9</b> | <b>\$17.7</b>         | <b>\$10.0</b>      | <b>\$77.2</b>  |
| <b>Grand Total FY23 Capital Budget</b>                              | <b>\$230.0</b> | <b>\$53.6</b>         | <b>\$41.5</b>      | <b>\$134.9</b> |

\*Projects less than \$500,000 are approved by UConn administrative committee. Projects costing \$500,000 or more are

| <b>UCONN 2000 Bonds</b>  |                        |                      |                      |                        |
|--|------------------------|----------------------|----------------------|------------------------|
| <b>State Bond Phasing Plan by Statutory Named Line for Informational Purposes Only - Revised 6/29/22</b>   |                        |                      |                      |                        |
| <b>Project</b>   | <b>FY05-FY22</b>       | <b>FY23</b>          | <b>FY24-FY27</b>     | <b>Total Phase III</b> |
| Academic and Research Facilities   | \$401,007,429          | \$32,000,000         | \$45,697,010         | \$478,704,439          |
| 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 | 816,306,272            | 26,450,000           | 37,175,384           | 879,931,656            |
| Engineering Building   | 92,579,390             |                      |                      | 92,579,390             |
| Equipment, Library Collections & Telecommunications  | 185,091,656            | 12,000,000           | 37,400,000           | 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   | 38,792,721             |                      |                      | 38,792,721             |
| 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  | 160,972,476            | 54,650,000           | 43,427,606           | 259,050,082            |
| 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             |
| <b>SUBTOTAL FOR STORRS &amp; REGIONAL CAMPUS</b>   | <b>\$2,206,200,000</b> | <b>\$125,100,000</b> | <b>\$163,700,000</b> | <b>\$2,495,000,000</b> |
| CLAC Renovation Biosafety Level 3 Lab  | 15,901,466             |                      |                      | 15,901,466             |
| Deferred Maintenance-UCH   | 76,959,697             |                      |                      | 76,959,697             |
| 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  | 386,663,210            |                      |                      | 386,663,210            |
| <b>SUBTOTAL FOR HEALTH CENTER</b>  | <b>\$850,900,000</b>   | -                    | -                    | <b>\$850,900,000</b>   |
| <b>GRAND TOTAL</b>   | <b>\$3,057,100,000</b> | <b>\$125,100,000</b> | <b>\$163,700,000</b> | <b>\$3,345,900,000</b> |

# UConn 2000 Capital Program



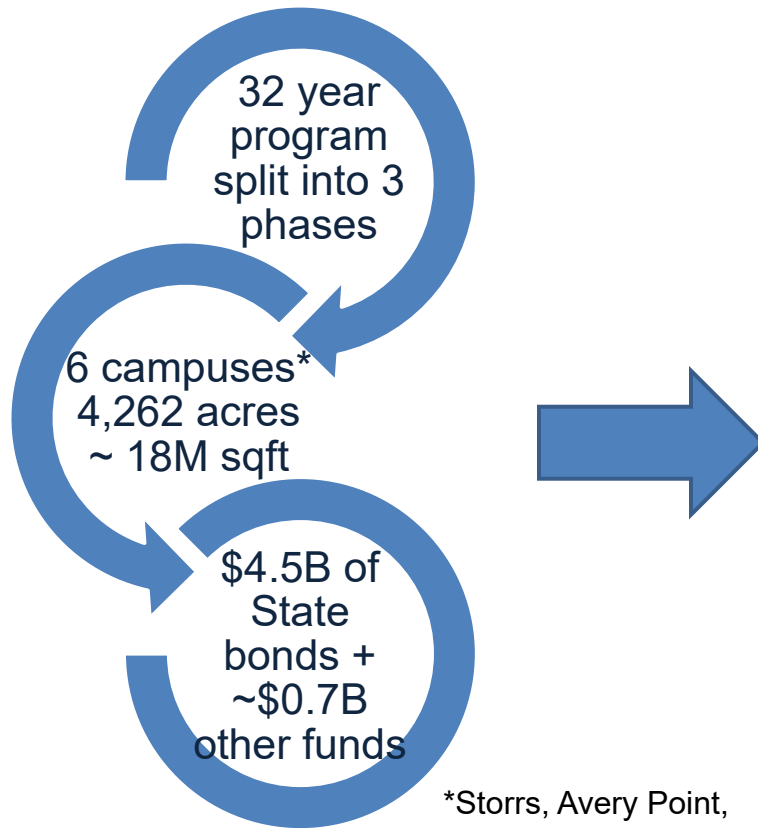
**Board of Trustees  
Buildings, Grounds and  
Environment Committee**

**June 14, 2022**



# UCONN 2000 Capital Program

The UCONN 2000 capital program was enacted to attract and retain CT's high-achieving students through a dramatic transformation and modernization of the physical plant of the University.



Over \$4.6B in capital expenditures since FY96 from all fund sources

| Capital Expenditures (\$M)                           |   |
|--|---|
| \$3,586.7  | State-supported UCONN 2000 GO Bonds                     |
| 259.6  | Other State-supported bonds (i.e. Tech Park, Waterbury) |
| 341.6  | UConn-supported Special Obligation bonds                |
| 372.6  | Non-State funds (i.e. UConn operating funds, gifts)     |
| <b>\$4,577.8M Total Expenditures (as of 3/31/22)</b> |   |

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

# UConn Capital Budget Plan

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

| UCONN 2000 Bond Funded Projects (in millions)                   |  | Prior Auth | FY23           | FY24-FY27      | Budget  | Status for FY23     |
|---|--|------------|----------------|----------------|---------|---------------------|
| Academic /Research  | NW Quad: Gant Science Building Renovation        | \$170.3    | \$32.0         | \$45.7         | \$248.0 | Construction        |
|   | Academic Renovations - PharmBio                  |            | 1.0            | 19.0           | 20.0    | Planning            |
|   | Academic Renovations -Research Labs & Classrooms | 62.4       |                | 11.0           | 73.4    | Design/Construction |
|   | Major Equipment (Faculty Start-up)               | 24.7       | 2.9            | 20.3           | 47.8    | Ongoing             |
| <b>Total Academic/Research Priorities</b>                       |  |            | <b>\$35.9</b>  | <b>\$95.9</b>  |         |                     |
| DM  | Mirror Lake & South Infrastructure               | 46.9       | 23.2           | 10.5           | 80.5    | Construction        |
|   | Major Equipment - Information Technology         | 32.8       | 6.7            | 8.4            | 47.9    | Ongoing             |
|   | Major Equipment - Replacement                    | 12.3       | 1.6            | 5.0            | 18.9    | Ongoing             |
| <b>Total Deferred Maintenance</b>                               |  |            | <b>\$31.5</b>  | <b>\$23.9</b>  |         |                     |
| Other   | Major Equipment - Other                          | 52.6       | 0.8            | 3.8            | 57.2    | Ongoing             |
|   | Residential Life Facilities - South Campus       | 17.9       | 54.7           | 32.9           | 105.5   | Design/Construction |
|   | Contingency                                      |            | 2.3            | 7.2            | 9.5     |                     |
| <b>Total UCONN 2000 Bond Funded Projects</b>                    |  |            | <b>\$125.1</b> | <b>\$163.7</b> |         |                     |
| <b>Other Funded Projects (University, Gifts, State GO Bond)</b> |  |            |                |                | 0       |                     |
| Academic  | Programmatic Renovations                         |            | 6.0            | 20.9           | 26.9    | Design/Construction |
|   | Faculty Innovators (State GO Bonds)              | 6.5        | 11.7           | 27.9           | 46.1    | Ongoing             |
| DM  | Facilities Repairs & Improvements                | 87.5       | 10.0           | 12.5           | 110.0   | Design/Construction |
| Other   | Hockey   | 35.2       | 34.8           | 0.0            | 70.0    | Construction        |
|   | Contingency                                      |            | 2.4            | 9.0            | 11.4    |                     |
| <b>Total Other Funded Projects</b>                              |  |            | <b>\$64.9</b>  | <b>\$70.3</b>  | 135.2   |                     |
| <b>Total Capital Budget - Storrs &amp; Regional Campuses</b>    |  |            | <b>\$190.0</b> | <b>\$234.0</b> |         |                     |

# UConn 2000 State GO Bonds

UConn 2000 State supported General Obligation bonds have funded the majority of the capital budget.

| Bonding Schedule (\$M)         |                  | Phase I          | Phase II | Phase III      | Status   |
|--------------------------------|------------------|------------------|----------|----------------|----------|
| UConn                          | FY96-FY99        | \$382.0          |          |                | Complete |
| UConn                          | FY00-FY05        |                  | \$580.0  |                |          |
| 21 <sup>st</sup> Century UConn | FY05-FY14        |                  |          | \$627.2        |          |
| Bioscience CT                  | FY05-FY19        |                  |          | 825.9          | Active   |
| <b>NextGenCT</b>               | <b>FY15-FY27</b> |                  |          | <b>1,867.8</b> |          |
| UConn Health                   | FY22             |                  |          | 25.0           |          |
| <b>Total</b>                   |                  | <b>\$4,307.9</b> |          |                |          |

|             |              |
|-------------|--------------|
| <b>FY23</b> | <b>125.1</b> |
| FY24        | 84.7         |
| FY25        | 56.0         |
| FY26        | 14.0         |
| FY27        | 9.0          |

- Only \$288.8M remains in the NextGenCT initiative over the next 5 years (FY23-FY27).



# Faculty Innovators

The Innovation Faculty Hires and Entrepreneurial Ecosystem initiative (PA 21-111) included \$46.1M over five years to hire faculty to create new business ventures & expand our entrepreneurial ecosystem.

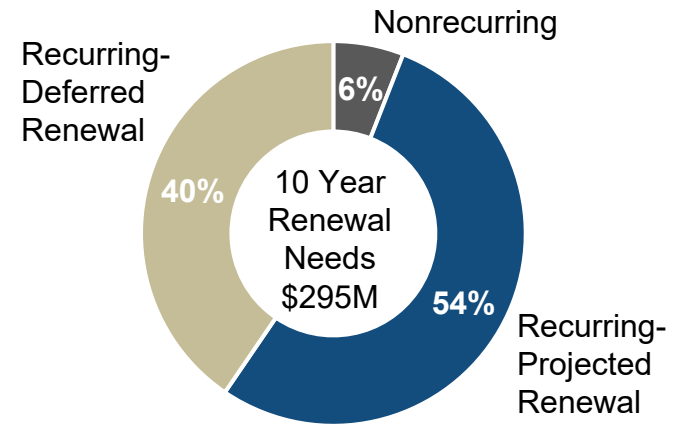
| Program Costs (\$M) | Year 1       | Year 2        | Year 3        | Year 4        | Year 5       | Year 6       |
|---------------------|--------------|---------------|---------------|---------------|--------------|--------------|
| New GO Bonds        | \$6.5        | \$11.7        | \$14.5        | \$9.2         | \$4.2        | \$0          |
| UConn Funds         |              | 0.3           | 1.0           | 2.3           | 3.3          | 3.8          |
| <b>Total</b>        | <b>\$6.5</b> | <b>\$12.0</b> | <b>\$15.5</b> | <b>\$11.5</b> | <b>\$7.5</b> | <b>\$3.8</b> |
| New Faculty         | 2            | 4             | 4             |               |              |              |

- UConn will fund \$6.8M over five years and \$3.8M annually after year five
- The first two years of funding - \$18.2M – has been formally requested from the State (Bond Commission)

# UConn Health Deferred Maintenance

For FY23, the State has authorized \$40M of new State GO bond funds for UConn Health.

- The UCH 2018 Facilities Condition Assessment (FCA) identified \$295 Million in Deferred Maintenance needs.
- Last year the State added \$25M to the UCONN 2000 Program for UCH deferred maintenance to begin addressing this need.
  - Funds were prioritized for projects to protect physical assets, address safety and code issues, replace building components to extend the life of systems, and infrastructure upgrades.
- This year the State added \$40M of bond funds, outside of the UCONN 2000 Program, to continue support of critical facility and equipment needs.
  - This new funding authorization will require approval through the State Bond Commission.



# FY23 Capital Budget

| UCONN 2000 Bond Funded Projects by Statutory Named Lines         | Total          | By Program        |                 |                |
|--|----------------|-------------------|-----------------|----------------|
|  |                | Academic/Research | Deferred Maint. | Other          |
| <b>Academic and Research Facilities</b>                          | <b>\$32.0</b>  |                   |                 |                |
| Gant Science Building Renovations - STEM                         | 32.0           | 32.0              |                 |                |
| <b>Deferred Maintenance</b>                                      | <b>26.5</b>    |                   |                 |                |
| Academic Renovations - PharmBio Backfill                         | 1.0            | 1.0               |                 |                |
| Mirror Lake & South Campus Infrastructure                        | 23.2           |                   | 23.2            |                |
| Contingency  | 2.3            |                   |                 | 2.3            |
| <b>Equipment</b>   | <b>12.0</b>    |                   |                 |                |
| Academic & Research  | 2.9            | 2.9               |                 |                |
| Information Technology   | 6.7            |                   | 6.7             |                |
| Other  | 2.4            |                   | 1.6             | 0.8            |
| <b>Residential Life Facilities</b>                               | <b>54.7</b>    |                   |                 |                |
| South Campus Residence Hall                                      | 54.7           |                   |                 | 54.7           |
| <b>Total UCONN 2000 Bond Funded Projects</b>                     | <b>\$125.1</b> | <b>\$35.9</b>     | <b>\$31.5</b>   | <b>\$57.8</b>  |
| <b>Other Funded Projects (University, Gifts, State GO Bonds)</b> |                |                   |                 |                |
| Facilities Repairs & Improvements                                | 10.0           |                   | 10.0            |                |
| Programmatic Renovations   | 6.0            | 6.0               |                 |                |
| Hockey Arena   | 34.8           |                   |                 | 34.8           |
| Faculty Innovators (State GO Bonds)                              | 11.7           | 11.7              |                 |                |
| UCH Deferred Maintenance (State GO Bonds)                        | 40.0           |                   |                 | 40.0           |
| Other/Contingency  | 2.4            |                   |                 | 2.4            |
| <b>Total Other Funded Projects</b>                               | <b>\$104.9</b> | <b>\$17.7</b>     | <b>\$10.0</b>   | <b>\$77.2</b>  |
| <b>Grand Total FY23 Capital Budget</b>                           | <b>\$230.0</b> | <b>\$53.6</b>     | <b>\$41.5</b>   | <b>\$134.9</b> |

- **93% of the Storrs & Regionals capital budget will provide funding for active construction projects.**
- **New State GO bonds for UCH will support critical DM needs.**

# Capital Program Challenges

---



**COVID impact:** workforce - limitations, interruptions or unavailability; materials - increasing production timelines, shortages and prices.



**Economy:** significant escalation of ~15-20% annually year/year which will likely moderate but not down to the 4% budgeted in the near future.



**Project priorities:** Increased costs result in reduced project scopes; future funding insufficient for priority projects.

# Major UConn Projects Completed

---



## 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

**\$35.5M**  
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 Aug 2019, May 2021



## Putnam Refectory Renovation

**\$18.7M**  
42,000 sqft  
Completed August 2016



## STEM Research Center Science 1

**~\$220M**  
200,000 sqft  
Est Completion Fall 2022

# Bioscience Connecticut (P.A. 11-75)

*Making Connecticut a Leader in Bioscience*



## **New Hospital Tower**

169 private patient rooms  
New & expanded ED  
New Operating suite  
400 car Staff & Patient garages  
Cost: ~ \$324M  
Opened: May 2016



## **Clinical Renovations**

Renovation and expansion of the Pat and Jim Calhoun Cardiology Center  
Renovation of multi-specialty clinics  
Completed: May 2019



## **Outpatient Pavilion**

306,000 sf state-of-the-art clinical building.  
1,400 car parking garage.  
Private financing: TIAA \$203M  
Clinic Opened: Jan 2015  
Garage Opened: Nov 2013



## **Incubator Lab Addition**

28,000 sf laboratory addition to Cell & Genome Sciences Building to foster new bioscience and biotech business start-ups.  
Cost: ~\$19M  
Completed: Jan 2016



## **Education Construction**

Addition/renovations to Academic bldg. Allowed for 30% enrollment growth in Medical and Dental schools. Cost: \$36M  
Completed: May 2017



## **Dental Care Center**

Renovation/expansion of clinical facilities for the School of Dental Medicine  
174 treatment rooms  
Completed: May 2019



## **Research Space Renovation**

Renovated 205,000 sf of 280,000 sf of existing UCH laboratories / research facilities.  
Cost: ~ \$116M  
Completed: May 2017



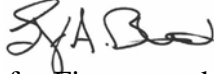
## **Jackson Laboratory**

New research facility dedicated to personalized medicine, collaborating with regional universities and hospitals.  
Opened: Oct. 2014

# **ATTACHMENT 41**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

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

RECOMMENDATION:

That the Board of Trustees approves the Twenty-ninth 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 \$125,100,000 plus costs of issuance, plus amounts carried forward from the Twenty-eighth 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-ninth Supplemental Indenture authorizes the appropriations for and issuance of bonds in the maximum amount of \$125,100,000 plus costs of issuance to finance fiscal year 2023 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-eighth 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-ninth Supplemental Indenture also authorizes that the exact amount of the bonds be determined at the time of issuance depending on cash expenditure requirements for twelve



months or less following issuance. Appendix A of the Twenty-ninth 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-ninth 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 TRUST COMPANY, NATIONAL ASSOCIATION

as Trustee

---

TWENTY-NINTH SUPPLEMENTAL INDENTURE

AUTHORIZING

THE UNIVERSITY OF CONNECTICUT  
GENERAL OBLIGATION BONDS

(Secured by the State Debt Service Commitment)

and

AMENDING THE GENERAL OBLIGATION MASTER INDENTURE OF TRUST  
DATED AS OF NOVEMBER 1, 1995, as amended

---

Dated as of \_\_\_\_\_

**TABLE OF CONTENTS**

Page

**ARTICLE I**

Definitions and Statutory Authority

|  |   |
|--|---|
| 101. Twenty-ninth Supplemental Indenture .....                   | 1 |
| 102. Definitions.....  | 1 |
| 103. Authority for the Twenty-ninth Supplemental Indenture ..... | 2 |

**ARTICLE II**

Authorization, Terms and Issuance of Bonds

|   |   |
|---|---|
| 201. Authorization of Fiscal Year 2021-2022 Bonds, Maximum Amount,<br>Bonds Delegation, Designation and Pledge..... | 2 |
| 202. Purposes .....   | 3 |
| 203. Interest Payments.....   | 3 |
| 204. Form, Denomination, Numbers and Letters.....   | 3 |
| 205. Places of Payment and Paying Agent .....   | 4 |
| 206. Sale .....   | 4 |
| 207. Execution .....  | 4 |
| 208. Delivery and Application of Bond Proceeds.....   | 4 |
| 209. Defeasance .....   | 4 |
| 210. UConn 2000 Infrastructure Improvement Program .....  | 5 |
| 211. Continuing Disclosure Undertaking .....  | 5 |

**ARTICLE III**

Form of the Bonds

|                              |   |
|------------------------------|---|
| 301. Form of the Bonds ..... | 5 |
|------------------------------|---|

**ARTICLE IV**

Tax Covenant

|                          |   |
|--------------------------|---|
| 401. Tax Exemption ..... | 5 |
|--------------------------|---|

**ARTICLE V**

Miscellaneous

|   |   |
|---|---|
| 501. No Recourse .....  | 6 |
| 502. Delegation of Authority to Treasurer and to Authorized Officer for Sale<br>Purposes or the Chief Financial Officer ..... | 6 |
| 503. Declaration of Official Intent .....   | 7 |

**ARTICLE VI**

Amendment to the Master Indenture

|                       |   |
|-----------------------|---|
| 601. Definitions..... | 7 |
|-----------------------|---|

**TWENTY-NINTH 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-ninth Supplemental Indenture.** This Twenty-ninth 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-ninth Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-ninth 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-ninth 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-eighth Supplemental Indenture”** means the Twenty-eighth Supplemental Indenture adopted by the Board of Trustees of the University on June 30, 2021 and deemed approved by the Governor on September 5, 2021 authorizing the Fiscal Year 2021-2022 bonds.

**“Twenty-ninth Supplemental Indenture”** means this Twenty-ninth 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-ninth Supplemental Indenture.** This Twenty-ninth 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 2022-2023 Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds for Fiscal Year ending June 30, 2023 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 \$125,100,000 for the UConn Projects as set forth in Appendix A (attached hereto and hereby made a part hereof) and constituting UConn 2000 Projects (provided nothing herein shall preclude the amendment of Appendix A pursuant to the Act and in accordance with the Indenture and as provided by Appendix A), plus the amount of the Costs of Issuance to be funded from the proceeds of such Bonds. The amount of bonds which may be secured by the State debt service commitment and be issued for fiscal year ending 2023 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-eighth Supplemental Indenture, submitted to the Governor on August 6, 2021 and deemed approved by the Governor on September 5, 2021, is carried forward to Fiscal Year 2022-2023 in accordance with the

Act. The amount of authorized but unissued bonds carried forward from the Twenty-eighth Supplemental Indenture is \$215,100,000.

The exact amount of the Bonds to be issued in each series under this Twenty-ninth 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 \$125,100,000 (plus Costs of Issuance and any carry forward amounts). The amount of the balance of Bonds herein authorized for Fiscal Year ending 2023 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-ninth 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 the University. The terms and particulars of each such sale, the receipt of each proposal and each award of the Bonds and all other action appropriate or necessary in connection therewith shall be set by the Treasurer, including the selection of the Trustee pursuant to Article VIII of the Indenture, in conjunction with the Authorized Officer for Sale Purposes to whom such matters are hereby delegated and shall be recited in the Treasurer's Certificate of Determination, and confirmed by the Authorized Officer for Sale Purposes.

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

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

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

(c) in the event said Bonds are not by their terms subject to redemption within the next succeeding 60 days, the University shall have given the Trustee in

form satisfactory to it irrevocable instructions to mail at least once, or to publish at least twice at an interval of not less than seven days between publications in an Authorized Newspaper, as soon as practicable, a notice to the Holders of such Bonds that the deposit required by (b) above has been made with the Trustee and that said Bonds are deemed to have been paid in accordance with this Section and stating such maturity or redemption date upon which moneys are to be available for the payment of the principal or Redemption Price, if applicable, on said Bonds.

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

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

### **ARTICLE III**

#### **Form of the Bonds**

301. **Form of the Bonds.** The Bonds shall be substantially in the form set forth in the Indenture with such additions or deletions anticipated by this Twenty-ninth 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-ninth Supplemental Indenture against any member of the Board of Trustees or 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 nor 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 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 him or her in accordance with this delegation. Such Certificate of Determination shall be delivered to the Trustee on or before the date of closing of the Bonds.

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

(C) The Authorized Officer for Sale Purposes or the 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 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-ninth Supplemental Indenture, the Authorized Officer for Sale Purposes is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-ninth Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-ninth 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-ninth 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.

## ARTICLE VI

### Amendment to the Master Indenture

601. **Definitions.** Pursuant to Section 1001(7) of the Master Indenture, the following definition contained in Section 101 of the Master Indenture is hereby amended in its entirety as follows:

“**Authorized Officer**” means, in the case of the University, the Chairman or Vice-Chairman of the Board of Trustees, the finance committee of the Board of Trustees (acting by resolution and constituting the finance committee of the Board of Trustees within the meaning of the Act), the President, the Provost and Executive Vice President for Academic Affairs, the Chief Financial

Officer, or the Associate Vice President of Financial Operations and Controller (for the purpose of making disbursements and investments only), the Director of Financial Operations (for the purpose of making disbursements and investments only), or any other person duly authorized by the bylaws or resolution of the University to perform the act or sign the document in question

**IN WITNESS WHEREOF**, the University of Connecticut has caused this Twenty-ninth 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-ninth 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: \_\_\_\_\_

U.S. BANK TRUST COMPANY, NATIONAL  
ASSOCIATION,  
as Trustee

Date: \_\_\_\_\_, 202\_

By: \_\_\_\_\_

Name:

Title:

**TWENTY-NINTH SUPPLEMENTAL INDENTURE  
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM  
FISCAL YEAR 2022-2023  
UCONN 2000 BOND AUTHORIZATIONS  
\_\_\_ SERIES \_\_\_ BOND PROJECTS**

| <b>UCONN 2000 Projects*</b>  | <b>UCONN 2000<br/>Phase III<br/>Total (\$) Needed -D.S.C.<br/>Bonds**</b> | <b>Fiscal Year<br/>2022-2023<br/>Bond<br/>Authorization <sup>(2)</sup></b> |
|--|---|--|
| <b>--<u>Storrs and Regional Campuses</u></b>   |   |  |
| Academic and Research Facilities   | \$478,704,439.00  | \$32,000,000.00  |
| Deferred Maintenance/Code Compliance/ADA<br>Compliance/Infrastructure Improvements & Renovation<br>Lump Sum and Utility, Administrative and Support<br>Facilities <sup>(3)</sup> | 879,931,655.83  | 26,450,000.00  |
| Equipment, Library Collections & Telecommunications  | 234,491,656.00  | 12,000,000.00  |
| Residential Life Facilities  | 259,050,082.01  | 54,650,000.00  |
| <u>Subtotal – Storrs and Regional Campuses</u>   |   | <b><u>\$125,100,000.00</u></b>   |
| <b>Total Fiscal Year 2022-2023 Bond Authorization</b>  |   | <b><u>\$125,100,000.00</u></b>   |

\*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.

<sup>(1)</sup> The Board of Trustees approved the Twenty-ninth Supplemental Indenture on \_\_\_\_ \_\_, 2022.


<sup>(2)</sup> 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 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.

<sup>(3)</sup> 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 42**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

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

RECOMMENDATION:

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

- Decrease The University of Connecticut Health Center New Construction and Renovation by \$794,177.26 for a total fiscal year 2017-2018 bond authorization of \$5,750,822.74: and
- Increase Deferred Maintenance/Code/ADA Renovation Sum – Health Center by \$794,177.26 for a total fiscal year 2017-2018 bond authorization for such project of \$1,657,583.26.

BACKGROUND:

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

The projects authorized under the Twenty-Third Supplemental Indenture have been financed with the proceeds of the University’s debt service commitment bonds issued in 2018, 2019 and 2020.

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

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

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

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

**WHEREAS**, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2018, 2019 and 2020 to finance the Fiscal Year 2017-2018 bond authorizations; and

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

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

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

That Appendix A to the Twenty-Third Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2017-2018 bond authorization amongst projects as follows: (a) decrease The University of Connecticut Health Center New Construction and Renovation by \$794,177.26 for a total fiscal year 2017-2018 bond authorization of \$5,750,822.74; and (b) increase Deferred Maintenance/Code/ADA Renovation Sum – Health Center by \$794,177.26 for a total fiscal year 2017-2018 bond authorization for such project of \$1,657,583.26; and to update the total amounts of debt service commitment (“DSC”) bonds needed.

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



**TWENTY-THIRD SUPPLEMENTAL INDENTURE  
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM  
FISCAL YEAR 2017-2018  
UCONN 2000 BOND AUTHORIZATIONS  
\_\_\_\_SERIES \_\_\_\_ BOND PROJECTS**

| UCONN 2000 Projects*   | UCONN 2000<br>Phase III<br>Total (\$) Needed -D.S.C.<br>Bonds** | Fiscal Year<br>2017-2018<br>Bond<br>Authorization <sup>(2)</sup> |
|--|---|--|
| <b>--<u>Storrs and Regional Campuses</u></b>   |   |  |
| Academic and Research Facilities   | \$478,704,439.00  | \$44,903,037.00  |
| Deferred Maintenance/Code Compliance/ADA<br>Compliance/Infrastructure Improvements &<br>Renovation Lump Sum <sup>(3)</sup> | 879,931,655.83  | 74,052,276.96  |
| Engineering Building (with Environmental Research<br>Institute)  | 92,579,389.76   | 6,165,842.76   |
| Equipment, Library Collections & Telecommunications  | 234,491,656.00  | 11,775,160.00  |
| Farm Buildings Repairs/Replacement   | 6,408,304.09  | 1,371,907.00   |
| Hartford Relocation Acquisition/Renovation   | 139,027,625.42  | 17,317,626.28  |
| <b>Subtotal – Storrs and Regional Campuses</b>   |   | <b><u>\$155,585,850.00</u></b>                                   |
| <b>--<u>Health Center</u></b>  |   |  |
| Deferred Maintenance/Code/ADA Renovation Sum —<br>Health Center  | \$76,959,697.17   | \$1,657,583.26   |
| Equipment, Library Collections and Telecommunications —<br>Health Center   | 116,429,390.00  | 36,475,000.00  |
| Medical School Academic Building Renovation  | 39,578,232.00   | 530,744.00   |
| The University of Connecticut Health Center New<br>Construction and Renovation   | 386,663,209.83  | 5,750,822.74   |
| <b>Subtotal – Health Center</b>  |   | <b><u>\$44,414,150.00</u></b>                                    |
| <b>Total Fiscal Year 2017-2018 Bond Authorization</b>  |   | <b><u>\$200,000,000.00</u></b>                                   |

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

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

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

<sup>(1)</sup> The Board of Trustees approved the Twenty-third Supplemental Indenture on November 1, 2017 and amended it on June 24, 2020 and June 29, 2022.


<sup>(2)</sup> 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.

<sup>(3)</sup> 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 43**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Lloyd A. Blanchard   
Interim Vice President for Finance and Chief Financial Officer

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

**RECOMMENDATION:**

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

- Decrease Fine Arts Phase II by \$1,916,202.75 for a total Fiscal Year 2019-2020 bond authorization for such project of \$4,014,297.25: and
- Increase Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities by \$1,916,202.75 for a total Fiscal Year 2019-2020 bond authorization for such project of \$101,185,702.75.

**BACKGROUND:**

The Board of Trustees approved the Twenty-sixth Supplemental Indenture on June 26, 2019 supplementing the Master Indenture of Trust dated November 1, 1995. The Twenty-sixth Supplemental Indenture was deemed approved by the Governor on August 8, 2019.

The projects authorized under the Twenty-sixth Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2020 and 2022.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2019-2020, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed.

**RESOLUTION AMENDING THE TWENTY-SIXTH SUPPLEMENTAL INDENTURE  
TO REALLOCATE FISCAL YEAR 2019-2020  
GENERAL OBLIGATION BOND AUTHORIZATIONS**

**WHEREAS**, on June 26, 2019, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Twenty-sixth Supplemental Indenture supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank Trust Company, National Association), as trustee (the “Master Indenture”); and

**WHEREAS**, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2020 and 2022 to finance the Fiscal Year 2019-2020 bond authorizations; and

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

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

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

That Appendix A to the Twenty-sixth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2019-2020 bond authorization amongst projects as follows: (a) decrease Fine Arts Phase II by \$1,916,202.75 for a total Fiscal Year 2019-2020 bond authorization for such project of \$4,014,297.25; and (b) increase Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities by \$1,916,202.75 for a total Fiscal Year 2019-2020 bond authorization for such project of \$101,185,702.75; and to update the total amounts of debt service commitment (“DSC”) bonds needed.

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

**TWENTY-SIXTH SUPPLEMENTAL INDENTURE**  
**UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM**  
**FISCAL YEAR 2019-2020**  
**UCONN 2000 BOND AUTHORIZATIONS**  
**\_\_\_SERIES \_\_\_ BOND PROJECTS**

| <b>UCONN 2000 Projects*</b>   | <b>UCONN 2000<br/>Phase III<br/>Total (\$) Needed -D.S.C.<br/>Bonds**</b> | <b>Fiscal Year<br/>2019-2020<br/>Bond<br/>Authorization <sup>(2)</sup></b> |
|---|---|--|
| <b><u>--Storrs and Regional Campuses</u></b>  |   |  |
| Academic and Research Facilities  | \$478,704,439.00  | \$80,000,000.00  |
| Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities <sup>(3)</sup> | 879,931,655.83  | 101,185,702.75   |
| Equipment, Library Collections & Telecommunications   | 234,491,656.00  | 8,500,000.00   |
| Fine Arts Phase II  | 38,792,721.25   | 4,014,297.25   |
| Residential Life Facilities   | 259,050,082.01  | 3,500,000.00   |
| <b>Subtotal – Storrs and Regional Campuses</b>  |   | <b><u>\$197,200,000.00</u></b>   |
| <b>Total Fiscal Year 2019-2020 Bond Authorization</b>   |   | <b><u>\$197,200,000.00</u></b>   |

\*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 Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

<sup>(1)</sup> The Board of Trustees approved the Twenty-sixth Supplemental Indenture on June 26, 2019 and amended it on June 29, 2022.

<sup>(2)</sup> 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.

<sup>(3)</sup> 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”.

# INFORMATIONAL ITEMS

**University of Connecticut Department of Human Resources**  
**Hires Processed from April 4, 2022 to June 6, 2022**  
**Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>             | <b>TITLE</b>                   | <b>DEPARTMENT</b>             | <b>DATE</b> |
|-------------------------|--------------------------------|-------------------------------|-------------|
| Altermatt, Rebecca J    | Librarian 2                    | Law Library and Technology    | 4/22/2022   |
| Amtower, Hayden M       | Laboratory Technician 1        | Plant Sci and Landscape Arch  | 5/6/2022    |
| Ardolino, Jonathan N    | Systems Administrator 2        | Network Engr and Design       | 4/22/2022   |
| Askew, David J          | Research Asst 1                | Ecology and Evolutionary Bio  | 6/3/2022    |
| Bernhardt, Sarah C      | Student Services Prog Coord    | Student Activities            | 6/3/2022    |
| Bhatt, Jitkumar H       | Postdoctoral Research Assoc    | Clean Energy Engineering Ctr  | 6/3/2022    |
| Blum, James B           | Envir Health and Safety Spec 2 | Environmental Hlth and Safety | 6/3/2022    |
| Bovell, Sarah           | Admin Program Support 2        | Pharmacy Practice             | 6/3/2022    |
| Bress, Keith R          | Publicity/Marketing Coord      | Liberal Arts and Sciences     | 4/22/2022   |
| Byron, Alexander        | Financial Assistant 2          | CLAS Grant Management         | 5/20/2022   |
| Cai, Jia                | Academic Advisor 2             | Business Undergrad Programs   | 6/3/2022    |
| Charles, Imani D        | Research Asst 1                | Physiology and Neurobiology   | 6/3/2022    |
| Clark, Travis           | Educational Program Manager 1  | Plant Sci and Landscape Arch  | 6/3/2022    |
| Colon-Succi, Victoria L | Sr Student Services Prog Admin | Student Activities            | 6/3/2022    |
| Dube, Melissa M         | Student Services Program Admin | Student Union                 | 6/3/2022    |
| Durning, Sarah C        | Student Services Prog Coord    | Student Activities            | 6/3/2022    |
| Fernandez, Gustavo      | Computer Support Technician 1  | Campus Technology Services    | 4/22/2022   |
| Ferriss, Joseph B       | Specialist IA                  | Athletics MI Hockey           | 5/20/2022   |
| Fisher, Tyler           | Student Services Prog Coord    | Student-Athlete Success Prog  | 6/10/2022   |
| Gault Galjan, Anna      | Grants and Contracts Dvpmt Off | CAHNR Research                | 5/20/2022   |
| Greene, Bethany         | Ed Program Assistant 1         | CT Transportation Institute   | 5/20/2022   |
| Hall, Kelsie G          | Publicity/Marketing Coord      | University Communications     | 5/6/2022    |
| Harris, Isabella Z      | Media Producer 2               | University Communications     | 5/20/2022   |



**University of Connecticut Department of Human Resources**  
**Hires Processed from April 4, 2022 to June 6, 2022**  
**Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>               | <b>TITLE</b>                  | <b>DEPARTMENT</b>              | <b>DATE</b> |
|---------------------------|-------------------------------|--------------------------------|-------------|
| Herdle, Sydney N          | Media Producer 2              | University Communications      | 5/20/2022   |
| Hines, Jeffrey F          | Assoc Vice President          | Diversity and Inclusion        | 6/3/2022    |
| Hitchcock, Christian E    | Network Administrator 1       | CT Education Network ASC       | 4/22/2022   |
| Hu, Liang                 | Postdoctoral Research Assoc   | Physiology and Neurobiology    | 5/20/2022   |
| Keim, Ann B               | Ed Program Coordinator        | Experiential Global Learning   | 6/3/2022    |
| Lei, Fangni               | Asst Research Professor       | Eversource Energy Center       | 5/6/2022    |
| Luciano, Jennifer L       | Assoc Clinical Professor      | Pharmacy Practice              | 5/20/2022   |
| Madore, Trevor J          | Academic Advisor 1            | ISS Acad Ctr Entering Students | 5/11/2022   |
| Mahendiratta, Saniya      | Postdoctoral Research Assoc   | Pharmaceutical Science         | 4/8/2022    |
| McMahon, Ryan D           | Research Asst 1               | CT Transportation Institute    | 6/3/2022    |
| Mitchell, Heather         | Financial Assistant 1         | CLAS Business Center           | 6/3/2022    |
| Morrissey, Margaret C     | Postdoctoral Research Assoc   | Kinesiology                    | 6/3/2022    |
| Murphy, Katherine E       | Asst Clin Professor 11 Mo     | Pharmacy Practice              | 5/6/2022    |
| Newman, Anthony J         | Computer Support Specialist 2 | Campus Technology Services     | 6/3/2022    |
| Noren, Kayla              | Admin Program Manager 2       | Accounts Payable               | 6/3/2022    |
| Ouzounov, Tetiana O       | Ed Program Administrator      | Lit, Cultures and Languages    | 5/20/2022   |
| Pelton, Benjamin R        | Admin Program Support 2       | Accounts Payable               | 6/3/2022    |
| Pereira, Michael          | Specialist IA                 | Athletics MI Hockey            | 5/31/2022   |
| Reichle, Sarah E          | Admin Program Support 1       | Agricultural and Resource Econ | 6/3/2022    |
| Reinhardt, Lisa B         | Ed Program Coordinator        | Engineering                    | 5/6/2022    |
| Rivera, Savannah          | Financial Assistant 2         | CLAS Grant Management          | 4/22/2022   |
| Schoonderwoerd, Kristel M | Postdoctoral Research Assoc   | Ecology and Evolutionary Bio   | 4/22/2022   |
| Smith, Chantaul T         | Mental Health Clinician       | Student Health and Wellness    | 6/3/2022    |

**University of Connecticut Department of Human Resources  
Hires Processed from April 4, 2022 to June 6, 2022  
Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>            | <b>TITLE</b>                | <b>DEPARTMENT</b>            | <b>DATE</b> |
|------------------------|-----------------------------|------------------------------|-------------|
| Smith, Jaran W         | Admin Program Support 1     | Animal Science               | 5/6/2022    |
| Smith, Tyrell          | Specialist IA               | Athletics MI Football        | 4/8/2022    |
| Thomson, Madison L     | Admin Program Support 2     | Bursar                       | 5/6/2022    |
| Thornton, Staci N      | Postdoctoral Research Assoc | InCHIP                       | 5/20/2022   |
| Tingley, Christopher A | Network Administrator 1     | CT Education Network ASC     | 5/6/2022    |
| Tsui, Dennis           | Ed Program Assistant 1      | Plant Sci and Landscape Arch | 4/22/2022   |
| Valentine, Holly A     | Research Asst 3             | Molecular and Cell Biology   | 5/20/2022   |
| Wilson, Aaron C        | Financial Assistant 1       | CLAS Business Center         | 6/3/2022    |

**University of Connecticut Department of Human Resources  
 Separations Processed from April 4, 2022 to June 6, 2022  
 Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>                   | <b>TITLE</b>                  | <b>SEPARATION REASON</b> | <b>DEPARTMENT</b>              | <b>DATE</b> |
|-------------------------------|-------------------------------|--------------------------|--------------------------------|-------------|
| Acquah, Kojo S                | Postdoctoral Research Assoc   | Separation               | Pharmaceutical Science         | 5/15/2022   |
| Allen, Amy M                  | U Staff Prof IV & Assoc Dir   | Separation               | Supply Chain Management        | 5/13/2022   |
| Barber, Ryan T                | Librarian 2                   | Separation               | Law Library and Technology     | 4/30/2022   |
| Batt, Steven T                | Librarian 2                   | Separation               | UConn Library                  | 4/6/2022    |
| Beaudet, Sallyann             | Plan Dsgn Const Project S Mgr | Retirement               | Planning, Design and Construct | 4/1/2022    |
| Bertora, Cheryl A             | Admin Program Support 4       | Retirement               | Athletics                      | 4/1/2022    |
| Bhatt, Himanshu Narendrakumar | Postdoctoral Research Assoc   | Separation               | Pharmaceutical Science         | 4/5/2022    |
| Bonelli, Joseph A             | Assoc Coop Ext Edu            | Retirement               | Department of Extension        | 4/1/2022    |
| Buckley, Holly A              | Business Ops Specialist 2     | Retirement               | Avery Point Campus             | 5/1/2022    |
| Buller, Jessica R             | Career Consultant             | Separation               | Career Development Center      | 4/23/2022   |
| Burrell, Jennifer D           | Admin Program Manager 1       | Separation               | Financial Aid                  | 5/5/2022    |
| Campbell, Abigail J           | Admin Program Support 1       | Separation               | Graduate Education             | 5/6/2022    |
| Cannon, Catherine L           | Asst Vice President           | Separation               | University Communications      | 4/8/2022    |
| Carcano, Raymond              | Network Administrator 2       | Retirement               | CT Education Network ASC       | 4/1/2022    |
| Casteline, Jane M             | Grants and Contracts Spec     | Separation               | Sponsored Programs             | 4/23/2022   |
| Castleberry, Aaliyah R        | Career Consultant             | Separation               | Career Development Center      | 5/7/2022    |
| Chabot-Weingart, James L      | Systems Administrator 2       | Separation               | Student Affairs Info Tech      | 3/18/2022   |
| Cobo Simon, Irene             | Postdoctoral Research Assoc   | Separation               | Ecology and Evolutionary Bio   | 4/16/2022   |
| Coleman, Katie D              | Procurement Specialist 1      | Separation               | Procurement Services           | 4/8/2022    |
| Cooke, Darren G               | U Staff Professional 3        | Retirement               | Fire Marshal and Bldg Inspect  | 4/1/2022    |
| Dabrowski, Mario              | Dining Serv Area Asst Manager | Retirement               | Dining Services                | 5/1/2022    |
| Decozio-Wiley, Marita A       | Business Ops Specialist 3     | Retirement               | Environmental Sci and Engr Ctr | 5/1/2022    |
| Devlin, Paul J                | Specialist IA                 | Separation               | Athletics MI Hockey            | 4/30/2022   |
| Dion-Jones, Stefanie          | Publicity/Marketing Manager   | Separation               | Education                      | 5/9/2022    |
| Doherty, James D              | Specialist IA                 | Separation               | Athletics MI Basketball        | 5/14/2022   |

**University of Connecticut Department of Human Resources  
 Separations Processed from April 4, 2022 to June 6, 2022  
 Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>            | <b>TITLE</b>                   | <b>SEPARATION REASON</b> | <b>DEPARTMENT</b>              | <b>DATE</b> |
|------------------------|--------------------------------|--------------------------|--------------------------------|-------------|
| Domkowski, Jordan T    | Ed Program Assistant 2         | Separation               | CT Entrepreneurship Innov Ctr  | 4/2/2022    |
| Erlandsen, Heidi       | Academic Asst 3                | Separation               | Ctr Open Research Resrcs/Equip | 5/20/2022   |
| Fiorentino, Elise M    | Financial Assistant 2          | Retirement               | Procurement Services           | 5/1/2022    |
| Fitzgerald, Jill M     | Assoc Clinical Professor       | Retirement               | Pharmacy                       | 4/1/2022    |
| Fontes, Alan           | U Staff Prof IV & Director     | Retirement               | Nursing-UConn AIMS             | 4/1/2022    |
| Frank, Melissa         | Admin Program Support 4        | Separation               | Procurement Services           | 5/6/2022    |
| Gaedt, Louis E         | Plan Dsgn Const Project S Mgr  | Retirement               | Planning, Design and Construct | 5/1/2022    |
| Garcia, Lisa           | IT Team Lead 2                 | Retirement               | Enterprise Applications        | 4/1/2022    |
| Garcia, Willie         | Student Services Prog Mngr 2   | Separation               | Residential Life               | 5/13/2022   |
| Giufre, Frank          | Asst Coach (Specialist IIA)    | Separation               | Athletics MI Football          | 3/27/2022   |
| Guan, Chao             | Postdoctoral Research Assoc    | Separation               | Materials Science Institute    | 5/14/2022   |
| Hallarin, Lynn M       | U Staff Prof III & Director    | Retirement               | Facilities Business Svc Center | 4/1/2022    |
| Harding, Susan         | Academic Advisor 2             | Separation               | Business                       | 4/8/2022    |
| Hayes, Elise M         | Admin Program Manager 2        | Separation               | Marine Sciences                | 4/8/2022    |
| Hestick, Allison P     | Admin Program Support 2        | Separation               | Procurement Services           | 3/25/2022   |
| Hogan, Jo-Anne         | Computer Support Technician 1  | Retirement               | Campus Technology Services     | 4/1/2022    |
| Holman, Elaine M       | Admin Program Support 3        | Separation               | Business PhD Program           | 5/3/2022    |
| Horn, Amy              | Procurement Specialist 1       | Separation               | Procurement Services           | 4/8/2022    |
| Jackman, Mary I        | Academic Asst 3                | Retirement               | Pathobiology                   | 4/1/2022    |
| Jackson-Morris, Cheryl | Ed Program Administrator       | Retirement               | Social Work Instruct and Rsrch | 4/1/2022    |
| Jia, Yan               | Research Assoc 1               | Separation               | CT Inst Resilience and Adapt   | 4/10/2022   |
| Kaplan, Jodi           | U Staff Professional 2         | Retirement               | Alumni Relations               | 5/1/2022    |
| Kazerounian, Jila      | University Director            | Retirement               | Enterprise Applications        | 4/1/2022    |
| Krauss, Katrina D      | Grants and Contracts Manager   | Separation               | CLAS Grant Management          | 5/14/2022   |
| Kucko, Sheila          | Student Services Program Admin | Retirement               | Asian American Cultural Center | 11/1/2020   |

**University of Connecticut Department of Human Resources  
 Separations Processed from April 4, 2022 to June 6, 2022  
 Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>          | <b>TITLE</b>                  | <b>SEPARATION REASON</b> | <b>DEPARTMENT</b>              | <b>DATE</b> |
|----------------------|-------------------------------|--------------------------|--------------------------------|-------------|
| Langley, Philip D    | Laboratory Technician 1       | Separation               | Chemistry                      | 5/14/2022   |
| Lanzit, Anne K       | Admin Program Manager 1       | Retirement               | Graduate Education             | 5/1/2022    |
| Limberger, Lois E    | Admin Program Support 4       | Retirement               | Agriculture,Health,Natural Rcs | 4/1/2022    |
| Majnich, Michael S   | Admin Program Support 2       | Separation               | Academic Renovations           | 5/1/2022    |
| Mara, Arlind         | Postdoctoral Research Assoc   | Separation               | Pathobiology                   | 4/30/2022   |
| Mathews, Judith W    | Admin Program Support 3       | Retirement               | Educational Psychology         | 4/1/2022    |
| McGee, Shireena T    | Research Asst 3               | Separation               | Social Work Instruct and Rsrch | 4/30/2022   |
| Mensah, Phyllis      | Academic Advisor 2            | Separation               | Business Undergrad Programs    | 5/14/2022   |
| Merrall, Stephanie G | Ed Program Coordinator        | Retirement               | CT Transportation Institute    | 4/1/2022    |
| Miller, June P       | Computer Support Specialist 2 | Retirement               | Campus Technology Services     | 4/1/2022    |
| Miller, Michael B    | Specialist IA                 | Separation               | Athletics MI Soccer            | 4/2/2022    |
| Morytko, Mary H      | Ed Program Coordinator        | Retirement               | Pharmacy                       | 5/1/2022    |
| Oravec, Andrew M     | Student Services Prog Coord   | Separation               | Student Activities             | 5/20/2022   |
| Orcutt, Ashley       | Ed Program Assistant 2        | Separation               | Chemistry                      | 4/22/2022   |
| Ortiz, Jenny         | Student Services Prog Coord   | Separation               | ISS Academic Programs Center   | 5/20/2022   |
| Owens, Lauren W      | U Staff Professional 3        | Separation               | University Communications      | 4/8/2022    |
| Parkhurst, Bruce D   | Finance Manager 2             | Retirement               | Social Work                    | 4/1/2022    |
| Parmer, Rebecca      | Librarian 4 - Manager         | Separation               | UConn Library                  | 5/6/2022    |
| Patchen, Sheila M    | Clinical Phlebotomist         | Retirement               | Student Health and Wellness    | 5/1/2022    |
| Paulraj, Kanagaraj   | Procurement Specialist 2      | Separation               | Procurement Services           | 3/25/2022   |
| Pemberton, Marianne  | Laboratory Technician 3       | Separation               | Clean Energy Engineering Ctr   | 4/22/2022   |
| Pereira, Joseph M    | Specialist IA                 | Separation               | Athletics MI Hockey            | 5/16/2022   |
| Perkins, Brenda L    | Admin Program Support 4       | Retirement               | Payroll                        | 4/1/2022    |
| Phaneuf, Mary A      | Ed Program Administrator      | Retirement               | Pharmacy                       | 4/1/2022    |
| Preston, Judy C      | Ed Program Coordinator        | Retirement               | Sea Grant College Program      | 4/1/2022    |

**University of Connecticut Department of Human Resources  
 Separations Processed from April 4, 2022 to June 6, 2022  
 Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>              | <b>TITLE</b>                  | <b>SEPARATION REASON</b> | <b>DEPARTMENT</b>              | <b>DATE</b> |
|--------------------------|-------------------------------|--------------------------|--------------------------------|-------------|
| Pugliese, Matthew J      | Educational Program Manager 2 | Separation               | CT Small Bus Development Ctr   | 4/22/2022   |
| Pundt, Leanne S          | EXTENSION EDUCATOR            | Retirement               | Dept of Extension Litchfield   | 5/1/2022    |
| Ranjeet, Bidya           | U Staff Professional 3        | Retirement               | ISS Academic Programs Center   | 4/1/2022    |
| Reid, Eloise             | Research Asst 2               | Separation               | CT Inst Resilience and Adapt   | 4/23/2022   |
| Robles-Gerena, Lizbeth M | Dining Serv Area Asst Manager | Separation               | Dining Services                | 4/9/2022    |
| Roy, Roxanne M           | U Staff Prof III & Director   | Retirement               | Information Technology Svcs    | 4/1/2022    |
| Rubin, Rachel            | Deputy Dir and Chief of Staff | Retirement               | Athletics                      | 4/1/2022    |
| Ruiz, David              | Systems Administrator 2       | Separation               | Enterprise Systems             | 3/12/2022   |
| Sherman, Blake           | Residence Hall Director       | Separation               | Residential Life               | 5/6/2022    |
| Smith, Tyrell            | Specialist IA                 | Separation               | Athletics MI Football          | 4/23/2022   |
| Stone, Nancy             | IT Team Lead 2                | Retirement               | Enterprise Systems             | 5/1/2022    |
| Tiky, Lembe M            | Research Assoc 2              | Separation               | International Studies Assoc    | 4/13/2022   |
| Transport, Zachary D     | Laboratory Technician 2       | Separation               | Physics                        | 5/5/2022    |
| Volkert, William S       | Network Construction Admin 2  | Retirement               | Network Engr and Design        | 5/1/2022    |
| Vose, Donna              | Nurse Clinical Coordinator    | Retirement               | Student Health and Wellness    | 5/1/2022    |
| Willemin, Mary Jo        | Admin Program Support 3       | Separation               | Social Work Instruct and Rsrch | 4/22/2022   |
| Willis, William S        | Academic Asst 2               | Retirement               | Chemistry                      | 5/1/2022    |

**University of Connecticut Department of Human Resources  
 Leaves of Absence Processed through 6/9/22  
 Presented to the Board of Trustees for Information on Professional Employees**

| NAME                    | TITLE          | DEPARTMENT                   | DATES    |           | REASON FOR LEAVE | PAY    |
|-------------------------|----------------|------------------------------|----------|-----------|------------------|--------|
|                         |                |                              | START    | END       |                  | STATUS |
| ☐<br>Nkounkou, Brittany | Asst Professor | Computer Sci and Engineering | 1/6/2022 | 5/22/2022 | Personal         | Unpaid |
| Smachylo, Julia         | Asst Professor | Plant Sci and Landscape Arch | 1/5/2022 | 5/22/2022 | Bonding          | Unpaid |

# **COMMITTEE AGENDAS**



## AGENDA

Meeting of the  
**BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE**  
**June 14, 2022 at 10:00 a.m.**  
**University of Connecticut**

Meeting held by Telephone

Public Call In Number:

(415) 655-0002 US Toll

Access Code: 2622 188 4992

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](mailto: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 ITEM:**

**TAB**

- |  |   |
|--|---|
| 2. Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of April 12, 2022, as circulated. | 1 |
|--|---|

**PRESENTATION/DISCUSSION ITEMS:**

- |   |   |
|---|---|
| 3. Office of Construction Assurance<br>➤ Presenter: David Hook, Construction Auditor  | 2 |
| 4. University Business Services – Capital Projects and Facilities Procurement (CPFP) Operational Activities and Organizational Improvements<br>➤ Presenter: Joseph Thompson, Associate Vice President of University Business Services and Chief Procurement Officer | 3 |
| 5. UConn Health Updates, Facilities Development and Operations<br>➤ Presenter: George Karsanow, Associate Vice President for UConn Health Campus Planning, Design & Construction  | 4 |
| 6. Fiscal Year 2023 Capital Budget for the University of Connecticut<br>➤ Presenter: Reka Wrynn, Interim Associate Vice President of Budget, Planning and Institutional Research  | 5 |

**PRESENTATION/DISCUSSION ITEMS (Continued):**

**TAB**

7. Project Updates ~ Storrs Based Programs 6  
➤ Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction

**Projects Reviewed by BGE and to be presented to Financial Affairs on 06/29/22:**

| <b><u>STORRS BASED PROGRAMS</u></b>  | <b><u>Phase</u></b> | <b><u>Budget</u></b> |    |
|--|---------------------|----------------------|----|
| Public Safety Building Improvements  | Revised Final       | \$7,750,000          | 7  |
| B4 Steam Vault and Line Exigent Repair                                     | Revised Final       | \$7,700,000          | 8  |
| Jones Annex Renovation   | Design              | \$940,000            | 9  |
| Gilbert Road Site Preparation  | Final               | \$6,600,000          | 10 |
| South Campus Infrastructure  | Design              | \$1,750,000          | 11 |
| Residential Life Facilities: Mansfield Apartments Redevelopment            | Part One/Final      | \$12,000,000         | 12 |
| Field House – Old Rec Center Renovation                                    | Revised Planning    | \$3,000,000          | 13 |
| Main Campus Substation Switchgear Relay Replacement – AET5P-14G SCADA      | Revised Final       | \$640,000            | 14 |
| Atwater Laboratory Emergency Power Installation                            | Revised Final       | \$682,700            | 15 |
| School of Engineering Backfill Project                                     | Final               | \$1,777,410          | 16 |
| George C White Building Roof & Drainage System                             | Revised Final       | \$945,800            | 17 |
| Wired Access Layer Infrastructure Refresh – Phase IV                       | Final               | \$2,000,000          | 18 |
| <b><u>UCONN HEALTH</u></b>   |                     |                      |    |
| UCH 16 Munson Road Parking Lot Paving                                      | Design              | \$1,445,000          | 19 |
| UCH Buildings D & N Roof Replacement                                       | Design              | \$2,565,000          | 20 |
| UCH Buildings E & K Roof Replacement                                       | Design              | \$2,160,000          | 21 |
| UCH Main Building Lab Area Renovations – 2 <sup>nd</sup> Floor             | Design              | \$8,972,000          | 22 |
| UCH Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation | Design              | \$6,166,000          | 23 |
| UCH 5 Munson Road Clinical Fit-Out   | Final               | \$8,380,000          | 24 |
| UCH Canzonetti (F) Building Wound Care Center Renovation                   | Design              | \$850,000            | 25 |
| UCH Psychiatry Seclusion Suite & Nurse Station Security Renovation         | Design              | \$790,000            | 26 |
| UCH Central Sterile Washer & Sterilizer Replacement                        | Planning            | \$1,905,000          | 27 |
| UCH New England Sickle Institute Renovation                                | Planning            | \$3,000,000          | 28 |

## **INFORMATION ITEMS:**

8. Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) 29
9. Status of Code Correction Projects 30
  - Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report
  - Quarterly Construction Status Report, Period Ending March 31, 2022  
[https://updc.uconn.edu/wp-content/uploads/sites/1525/2022/05/UConn\\_Quarterly\\_Construction\\_Status\\_Report\\_03312022\\_web-1.pdf](https://updc.uconn.edu/wp-content/uploads/sites/1525/2022/05/UConn_Quarterly_Construction_Status_Report_03312022_web-1.pdf)
10. Capital Projects Status Report ~ as of April 27, 2022  
<https://bpir.uconn.edu/wp-content/uploads/sites/1441/2022/04/Construction-Status-Report-4.27.22.pdf>
11. Other Business
12. Executive Session (*As Needed*)
13. Adjournment

## AGENDA

### Meeting of the CONSTRUCTION MANAGEMENT OVERSIGHT COMMITTEE (CMOC)

June 14, 2022, at 10:00 a.m.

University of Connecticut

#### Meeting held by Telephone

Public Call In Number:

(415) 655-0002 US Toll

Access Code: 2622 188 4992

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](mailto: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. Construction Management Oversight Committee Membership

#### 3. Executive Session (*As Needed*)

#### 4. Adjournment

**Telephone Meeting**

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

**Tuesday, June 7, 2022, at 1:00 p.m.**

**AGENDA**

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 2622 671 7304 # #

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.)*

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](mailto: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. Meeting Minutes dated April 11, 2022 .....Dr. Dennis-LaVigne  
**Attachment 1**
3. Naming Resolutions .....Mr. Lemon  
**Attachment 2**
  - Establishment of the Christopher J. Dodd Chair in Human Rights Practice
  - Establishment of the Wiktor Osiatyński Chair in Human Rights
  - Modification of GE Capital Professorship in Business
4. Proposed Statement of Work for the UConn Foundation for Fiscal Year 2023 ..... Mr. Blanchard  
**Attachment 3**
5. Legislative Update.....Ms. Lombardo
6. UConn Foundation / Alumni / Communications Update.....Ms. Cotton Kelly & Mr. Lemon
7. University Communications Update.....Mr. Kendig  
**Attachment 4**
8. Other Business
9. Executive Session (as needed)
10. Adjournment

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

June 23, 2022

**Agenda**

10:00 am – 10:30 am - Executive Session / 10:30 am – 12:00 pm - Public Session

Meeting held by Telephone

Public Call in # +1-415-655-0002 US Toll

Access Code: 2622 764 1237

Public Access Link: <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.)

| Topic  | Proposed Action  | Attachment                |
|--|--|---------------------------|
| <b>Executive Session Anticipated</b>   | Review   | None                      |
| <b>1. GENERAL</b>  |  |                           |
| <ul style="list-style-type: none"> <li>• Opportunity for Public Comments*</li> </ul>   |  | None                      |
| <ul style="list-style-type: none"> <li>• Minutes of the March 18, 2022 JACC Meeting</li> </ul>   | Approval   | 1.1                       |
| <b>2. EXTERNAL AUDIT ACTIVITIES</b>  |  |                           |
| <ul style="list-style-type: none"> <li>• Status of External Audit Engagements</li> </ul>   | Update   | 2.1                       |
| <ul style="list-style-type: none"> <li>• FY21 UCONN 2000 Infrastructure Program Agreed-Upon Procedures Audit – Mayer Hoffman McCann P.C.</li> </ul>  | Presentation<br>Audit Report                                     | 2.2<br>2.3                |
| <ul style="list-style-type: none"> <li>• Annual 340B Drug Pricing Program Audits - Pharmacy Optimization Consultants for the period June 1, 2021-November 30, 2021 as well as Findings and Areas for Improvements for:                             <ul style="list-style-type: none"> <li>• John Dempsey Hospital (JDH)</li> <li>• Division of Infectious Diseases (Ryan White Part A)</li> <li>• Hemophilia Treatment Center (HTC)</li> </ul> </li> </ul> | Presentation<br><br>Audit Report<br>Audit Report<br>Audit Report | <br><br>2.4<br>2.5<br>2.6 |
| <b>3. SIGNIFICANT INTERNAL AUDIT ACTIVITIES</b>  |  |                           |
| <ul style="list-style-type: none"> <li>• Status of Audits</li> </ul>   | Update   | 3.1                       |
| <ul style="list-style-type: none"> <li>• Status of Audit Findings</li> </ul>   | Update   | 3.2                       |
| <b>4. COMPLIANCE ACTIVITIES</b>  |  |                           |
| <ul style="list-style-type: none"> <li>• Significant Compliance Activities</li> </ul>  | Update   | 4.1                       |
| <ul style="list-style-type: none"> <li>• Required Compliance Training Completion Data</li> </ul>   | Presentation   | 4.2                       |
| <ul style="list-style-type: none"> <li>• Informational/Educational Items</li> </ul>  | Informational  | 4.3                       |
| <b>5. INFORMATION TECHNOLOGY</b>   |  |                           |
| <ul style="list-style-type: none"> <li>• UConn</li> </ul>  | Update   | 5.1                       |
| <ul style="list-style-type: none"> <li>• UConn Health</li> </ul>   | Update   | 5.2                       |
| <b>6. RETIREMENT UPDATES</b>   |  |                           |
| <ul style="list-style-type: none"> <li>• UConn</li> </ul>  | Presentation   | 6.1                       |
| <ul style="list-style-type: none"> <li>• UConn Health</li> </ul>   | Presentation   | 6.2                       |
| <b>7. CLOSING</b>  |  |                           |
| <ul style="list-style-type: none"> <li>• Conclusion of Full Meeting</li> </ul>   |  |                           |

\* 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](mailto: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.

## **AGENDA**

### **University of Connecticut Board of Trustees**

#### **Committee for Research, Entrepreneurship and Innovation**

**Tuesday, May 24, 2022**

Meeting held by Telephone:

Public Call in #: (415) 655-0002 US Toll  
Access Code: 2624 949 3893

Public Access Link: <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.)*

## **AGENDA**

Call to order at **1:00 p.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 12:30 p.m. to the following email address: [BoardCommittees@uconn.edu](mailto: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. Minutes of the Meeting of the Research, Entrepreneurship and Innovation Committee of March 8, 2022.

PRESENTATION/DISCUSSION ITEMS:

3. Update on the Visit of National Science Foundation (NSF) Director  
Pamir Alpay, Interim Vice President for Research, Innovation, & Entrepreneurship
4. Update on the UConn Genomic & Mechanistic Metabolism Group (GMMG)  
Ji-Young Lee, Professor and Department Head, Nutritional Sciences
5. Update on the TIP Innovation Fellows Program  
Caroline Dealy, Director
6. Update on the CT Center for Entrepreneurship & Innovation (CCEI)  
Jennifer Mathieu, Director

7. Other business
8. Executive Session (as needed)
9. 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](mailto:boardoftrustees@uconn.edu) prior to the meeting.*



# Academic Affairs

Board of Trustees  
**ACADEMIC AFFAIRS COMMITTEE**  
University of Connecticut  
Tuesday, June 28, 2022  
1:00 p.m.

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 2621 263 9298

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 **1:00 p.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 12:30 p.m.) to the following email address: [BoardCommittees@uconn.edu](mailto: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.

**ACTION ITEMS:**

**ATTACHEMNT**

|  |   |
|--|---|
| 2. Minutes of the Academic Affairs Committee Meeting of April 26, 2022   | I |
| 3. Tenure at Hire  | 1 |
| 4. Promotion and Tenure  | 2 |
| 5. Designation of Emeritus Status  | 3 |
| 6. Sabbatical Leave Recommendations  | 4 |
| 7. Appointment of Professor Charles Towe to the DeFavero Professorship in the College of Agriculture, Health and Natural Resources | 5 |
| 8. Graduate Certificate in Global Health   | 6 |
| 9. Graduate Certificate in Obesity Prevention and Weight Management  | 7 |
| 10. Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit  | 8 |

**INFORMATIONAL ITEMS:**

**ATTACHMENT**

- |   |   |
|---|---|
| 11. Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit | A |
| 12. Academic Program Inventory  | B |
| 13. Academic Centers and Institutes   | C |


**PRESENTATIONS:**

14. Academic Affairs Update
  
15. Test Optional Pilot Update
  - Nathan Fuerst, Vice President for Enrollment, Planning & Management
  - Dr. Morgaen Donaldson, Associate Dean for Research, Philip E. Austin Endowed Chair, Neag School of Education
  - Dr. Eric Loken, Associate Professor of Educational Psychology, Neag School of Education

**ATTACHMENT A**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.   
Interim Provost and Executive Vice President for Academic Affairs

RE: Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit

**BACKGROUND:**

Revisions to the Consulting Procedures must be presented to the Board of Trustees as an informational item. These revisions are a strike all of the previous procedures. They provide updates in format and language, with the intention of ensuring clarity for faculty. Separate procedural documents that provided “sanctions” for faculty who fail to comply with the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit are now included in this single procedural document, as are the procedures for consulting time related to faculty who hold management-exempt positions.

The changes clarify the approval process for “low Conflict of Interest risk” (low COI risk) activities, and include a more flexible provision for providing an exception to the requirement for a sanction if such activities are reported after they take place. The procedures update requirements related to faculty affiliated companies, so that requests will be submitted for all such entities, affirming that no effort is taking place when this is the case. The reporting year for faculty at Storrs and regional campuses has been aligned with the contractual year, and will now be May 23 through May 22, with faculty at UConn Health continuing to utilize the regular fiscal year for reporting purposes.

**Proposed changes to the *Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit*. (Previous procedures presented as a strike all are shown in strikethrough.)**

**~~PROCEDURES ON CONSULTING FOR FACULTY  
AND MEMBERS OF THE FACULTY BARGAINING UNIT~~**

**~~October 28, 2020~~**

**~~1. PERMISSION~~**

~~Prior to engaging in consulting activities, faculty employed 50% or more time must complete and submit the “Request for Approval of Consulting Activities” form<sup>1</sup> as approved by the Provost and the Executive Vice President for Health Affairs at UCHC. For the purpose of this policy, faculty on Board approved sabbatical leaves are considered to be full-time faculty. Such request must be submitted sufficiently in advance of the start of the consulting activity to allow for its appropriate review. Further, new requests must be completed and approved prior to making substantial changes to a previously approved activity. Consulting requests must be based on the faculty member’s professional expertise or prominence in his/her field.~~

~~Faculty paid less than 50% time by the University of Connecticut and/or University of Connecticut Health Center may voluntarily elect to obtain prior approval to consult. Once such a faculty member has requested approval to consult for a single consulting activity, all subsequent consulting activities in that same fiscal year must also obtain such approval.~~

**~~2. INFORMATION~~**

~~Information to be provided on this form must include the following: The name and address of the payer (contracting entity); a description of the consulting activity with enough detail so that the approver may determine whether such activities conflict with one’s state responsibilities; description of interaction or responsibilities in one’s official capacity, if any, with respect to the contracting entity; estimated amount of remuneration in ranges established by the Provost; an indication whether the faculty member holds an equity interest in the contracting entity of 5% or more, the total number of days expected to complete the consulting activity; maximum total number of days during normal work time, and disclosure of material use of state resources. Additional information regarding remuneration or other matters must be provided, if requested.~~

~~It is understood at the time a request form is being considered for approval that all the dates and times of the consulting activity might not be known. As these dates and times become known, the faculty member is expected to provide them to his/her department~~

---

<sup>1</sup> Currently this is completed and transmitted using an on-line approval system.

head. In all cases these notifications should be at least one day in advance of any consulting work so that the department head can ensure that the faculty member's assigned job duties are fully addressed. Such notifications must be made in writing to the department heads and emails are acceptable. The need for such prior notification of such dates and times only applies if such dates and times are during normal work time.

### 3. SIGNATORIES

Requests to consult must be approved by the member's Department Head and Dean. For members employed in Storrs and the Regional campuses, the requests must also be reviewed and approved by the Provost or the Provost's designee. For members at the University Health Center, the request must be reviewed and signed by the Executive Vice President for Health Affairs or the Executive Vice President's designee. For members employed by the Division of Athletics, the Athletic Director must approve in place of a Dean and forward the form to the Provost's designee for review. Subsequent to review and pursuant to NCAA regulations, the President will approve as the Provost's designee.

The Storrs and Regional Faculty Consulting Office adheres to the practice that consulting should not exceed an average of one normal work day per week during periods of appointment. The University Health Center Faculty Consulting Office utilizes the annual evaluation for assessing the negative impact of consulting on a faculty member's duties. Further, the department chair must give approval in advance for each day of consulting during normal work time, and in making this decision, the chair must consider the impact of such consulting on the faculty member's duties (such as teaching, office hours, attending clinics, attending important meetings, etc.).

### 4. ACCELERATED APPROVAL PROCESS

There is a set of purely academic activities that faculty members are normally expected and encouraged to undertake. Such activities would include, but are not limited to, reviewing books, articles and research proposals (i.e. federal grants), presenting occasional lectures, speeches, and colloquia to non-profit entities, refereeing of manuscripts, creation of works of art, serving as a member of thesis committee, or case-review (medical-legal review of cases). The nature of such activities will vary from one discipline to another—but the underlying principle is that they are part of faculty member's expected academic-professional development. For activities of this type, and for which the compensation does not exceed \$5,000 (per contracting entity per year), the Provost and Executive Vice President for Health Affairs delegate to the faculty member's department head the sole approving authority. This means that the faculty member should fill out the required on-line request form sufficiently in advance of the activity to allow adequate time for the Department head to review and approve it.

### 5. SUMMER PRIOR APPROVAL PROCESS

~~Faculty members may participate in “academic related consulting activities” (as described below) during the summer without advance filing of a consulting request form. Eligible consulting activities are pre-approved.~~

~~Eligible faculty are those who hold (9, 10, or 11 month contracts). The consulting activity must occur in the summer and, during this time, the faculty member must ensure that adequate time has been allocated to fully complete their assigned, contractual or grant related job responsibilities for which they are paid by the University. While employed 100% on a federal grant during the summer, faculty members should comply with all federally related guidelines. Due to time and effort reporting, faculty members should avoid being employed 100% on federal grants during the summer, if they anticipate consulting.~~

~~“Academic related activities” are those normally considered to enhance a faculty member’s professional expertise or prominence in their field and include the following:~~

- ~~● Educational and scientific presentations;~~
- ~~● Giving occasional lectures and speeches;~~
- ~~● Participation in colloquia, symposia, site visits, study sections and similar gatherings;~~
- ~~● Ad hoc refereeing of manuscripts (not to include paid editorships);~~
- ~~● Activities deemed by the Department Head to be similar to the activities described above. The nature of these activities will be reviewed by the Faculty Consulting Offices.~~

~~To be eligible for summer prior approval, remuneration for any one academically related activity may not exceed \$1,000 with a total limit over the summer of \$10,000 for such activities.~~

~~By September 15 each year, faculty must submit a list and description of the academically related activities they participated in during the previous summer to their department head and to the appropriate Faculty Consulting Office. Such activities will be included in the year end reconciliation report.~~

~~The normal approval process that requires approval prior to the start of the consulting activity may also be used during the summer and is not subject to the financial caps on the Summer Prior Approval process.~~

## ~~6. REPORTING~~

~~By the end of each fiscal year, members must complete and submit a year-end reconciliation of all consulting activities, due not later than September 15, on a form<sup>2</sup> developed by the Provost and the Executive Vice President for Health Affairs at the~~

---

<sup>2</sup> Currently this is completed and transmitted using an on-line system.



~~UCHC. Such form must include verification that the University has been appropriately reimbursed for material use of state resources.~~

## ~~7. MANAGEMENT COMMITTEE~~

~~A University Consulting Management Committee must be formed. Two members must be designated by the Provost and two must be designated by the Executive Vice President of the UCHC. One member must be designated by the President. The Committee must elect a chair. The University's ethics officer will serve ex officio as a non-voting member to serve in an advisory capacity only.~~

~~Any of the individuals responsible for approving such consulting activities may request advice from Consulting Management Committee. The Committee shall have the ability to recommend that the proposed activity be denied, approved, or to suggest a plan to manage the potential conflict. The Committee will be authorized to request any other information that it deems necessary to assist it in this determination. Some examples of conditions or restrictions that may be recommended include, but are not limited to: recusal for making decisions in one's state capacity regarding the payer; review of decisions regarding a payer by a superior; change in required work schedules; permission to work on consulting limited to nights and/or weekends. The Committee may develop generic guidelines for approving requests to consult.~~

## ~~8. SANCTIONS~~

~~Any member who intentionally provides misleading or false information during the course of the approval process will be subject to disciplinary action in accordance with such member's collective bargaining agreement or employment agreement. Such disciplinary action may include, but not be restricted to: letter of reprimand; loss of the privilege to continue to engage in consulting activities; suspension; or, dismissal. The Provost will develop and publish ([consulting.uconn.edu](http://consulting.uconn.edu)) a sanctions policy relating to non-compliance with this policy on consulting.~~

## ~~9. TRAINING~~

~~The Faculty Consulting Offices will offer training sessions on an on-going basis as well as maintain a web site with training materials. Such training will include reminders to the Department Heads and Deans as to their responsibilities related to their review and approval of requests to consult.~~

## ~~10. CONSULTING FOR UCONN AND UCONN HEALTH MANAGEMENT-EXEMPT EMPLOYEES<sup>3</sup> WITH A FACULTY TITLE~~

~~State legislation permits consulting activities for UConn and UConn Health faculty provided these activities are carried out in accordance with the regulations set out in the~~

---

<sup>3</sup> Management-exempt faculty are not eligible to be members of the AAUP collective bargaining units and the terms and conditions of their employment are not governed by the AAUP contracts.

~~legislation and the University Faculty Consulting Policy. Management exempt employees with a faculty title may consult following the same procedures as all other faculty. In addition, they must document that if they perform approved consulting work during normal business hours (*i.e.* Monday—Friday, 8 a.m.—5 p.m.), that they have worked an equivalent number of hours performing University work outside of normal business hours. If this is not possible, the consulting work should be performed on approved vacation, personal, comp, or holiday leave time.~~

#### ~~11. REVISIONS~~

~~These procedures may be revised by mutual consent of the Provost and the Executive Vice President for Health Affairs with notification to the University's Board of Trustees.~~

#### ~~12. APPEALS~~

~~As articulated in the Policy on Consulting for Faculty and Members of the Faculty Collective Bargaining Unit, the Procedures outlined above are to be implemented in accordance with the applicable provisions of the Collective Bargaining agreement or the employment agreement of the faculty member and are subject to any appeal rights that may be available.~~

September 2011

## ~~SANCTIONS FOR NON-COMPLIANCE WITH THE UNIVERSITY'S CONSULTING POLICY AND PROCEDURES~~

~~These SANCTIONS have been developed in response to the provisions of Public Act 07-166 that requires the University to establish "procedures that impose sanctions and penalties on any member for failing to comply with the provisions of the policies." In addition, the internal auditor's report, issued November, 2008, states, "Management should develop consistent procedures relating to consulting requests received on or after the activity start date and explicit sanctions and penalties to noncompliance with University faculty consulting policies and procedures. The sanctions and penalties should include progressive levels of action and related procedures to impose such sanctions as required by PA 07-166 and the BOT approved University policy."~~

- ~~A. The following sanctions will be taken when a request to consult is submitted late (i.e., either received by the Department Head, Dean or the Faculty Consulting Office (FCO) on or after the start date of the activity, or submitted before the start date, but without sufficient time to process it. Ordinarily, at least one week lead-time is suggested. This section (A) applies only to requests to consult that would routinely have been approved and late submission is the only non-compliance issue.~~
- ~~1. First Occurrence — letter to or phone conversation with the faculty member and his/her superior explaining the implications of late submission.~~
  - ~~2. Second Occurrence — a letter to the faculty member and his/her superior explaining the implications of late submission and advising him/her that sanctions will be imposed the next time this occurs.~~
  - ~~3. Third Occurrence — a letter to the faculty member and his/her superior indicating that all requests to consult during normal work time for the remainder of the fiscal year will be denied with a letter to the personnel file.~~
  - ~~4. Fourth Occurrence — a letter to the faculty member and his/her superior indicating that permission to consult during normal work time has been indefinitely suspended with a letter to the personnel file.~~
- ~~B. Occurrences of late submission will be cumulative. The count will be reset to zero occurrences if the faculty member goes a full fiscal year without any new occurrence.~~

- ~~C. There will be an exceptions process that will affect the sanctions under section A above. (It should be noted that this process has no impact on Office of State Ethics jurisdiction over the activity). If the requestor provides written documentation to the FCO that the offer to consult was received so close to the start of the activity that approval was not possible, then it will not be considered an occurrence of non-compliance. If the form is received late because of slow processing in a college/school administrative office, the exception may only be granted upon written request of that Office's Chief Academic Officer. Such exceptions will generally be granted only for activities that qualify for the accelerated (aka "fast track") approval process.~~
- ~~D. Failure to submit required annual reconciliation reports by the published deadline will result in the following sanctions:~~
- ~~1. No further requests to consult will be approved until 3 months after the missing reconciliation reports are received.~~
  - ~~2. A notification letter will be sent to the faculty member and his/her department head. If the faculty member doesn't complete all overdue reconciliation reports within two weeks of this issuance of this notification letter, permission to participate in all currently approved consulting activities will be revoked.~~
- ~~E. This section applies when faculty engage in a consulting activity when the request to consult was disapproved (whether such request was submitted prior to the start of the activity or late), no request to consult was submitted, or for other material non-compliance (such as the unauthorized material use of State resources, use of the University's logo without permission, or when the person represents him/herself as acting as an agent of the University while consulting, etc). In these situations, sanctions will be determined on a case by case basis. Factors used in determining the level of sanctions include but are not limited to: a) whether or not the University would have approved the activity if a formal request had been made; b) the level of compensation for the activity; c) the time expended for the activity from the time due the University; and d) existence and nature of previous non-compliance with the consulting policy. Sanctions may include a ban on future approval of requests to consult, cancellation of previously approved and on-going consulting activities, or other disciplinary actions. The progression of these latter disciplinary actions will be consistent with those specified in the AAUP contract and the University By Laws.~~
- ~~F. All sanctions will be issued by the Provost and Executive President for Academic Affairs.~~

~~Approved by the Provost on: October 6, 2011~~

|                                      |   |
|--------------------------------------|---|
| <b>Title:</b>                        | Procedures for the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.                                     |
| <b>Protocol Owner:</b>               | Office of the Provost   |
| <b>Applies to:</b>                   | Faculty and members of the faculty bargaining unit,<br>Management-exempt personnel with faculty appointments                        |
| <b>Campus Applicability:</b>         | UConn & UConn Health  |
| <b>Effective Date:</b>               | June 29, 2022   |
| <b>For More Information, Contact</b> | Faculty Consulting Office   |
| <b>Contact Information:</b>          | UConn Storrs and Regional Campuses- Sarah Croucher<br>sarah.croucher@uconn.edu<br>UConn Health- Jody Terranova jterranova@uchc.edu. |
| <b>Official Website:</b>             | <a href="https://policy.uconn.edu/procedures/">https://policy.uconn.edu/procedures/</a>   |

## Table of Contents

|   |    |
|---|----|
| <b>PURPOSE</b> .....  | 3  |
| <b>CONSULTING REQUESTS</b> .....  | 3  |
| Required Information for Consulting Requests Forms.....                     | 3  |
| Reporting Years .....   | 4  |
| Part-Time Faculty & Faculty Leaves.....                                     | 4  |
| Faculty Affiliated Companies.....   | 4  |
| Required Time for Approvals .....   | 4  |
| Low Conflict of Interest (COI) Risk Consulting Activity .....               | 5  |
| <b>CONSULTING REQUESTS APPROVAL PROCESS</b> .....                           | 5  |
| Approvers.....  | 5  |
| Approval for Low COI risk consulting activity .....                         | 6  |
| Criteria for Consulting Approvals .....                                     | 6  |
| Approval for 9, 10, and 11-month faculty .....                              | 6  |
| <b>FACULTY MEMBER’S OBLIGATION TO THE UNIVERSITY WHILE CONSULTING</b> ..... | 7  |
| Not Acting as a State Employee .....  | 7  |
| Obligations to the University when engaged in Consulting Activities.....    | 7  |
| Use of University Resources.....  | 7  |
| Consulting During Normal Work Time.....                                     | 8  |
| Proprietary and Confidential Information.....                               | 8  |
| <b>MANAGEMENT-EXEMPT EMPLOYEES WITH A FACULTY BASE APPOINTMENT</b> .....    | 8  |
| <b>CONSULTING RECONCILIATION</b> .....                                      | 8  |
| <b>ROYALTIES</b> .....  | 9  |
| <b>POLICY ENFORCEMENT</b> .....   | 9  |
| Office of State Ethics .....  | 9  |
| Sanctions.....  | 10 |
| Appeals .....   | 11 |
| <b>REPORTING, AUDITS, AND OVERSIGHT</b> .....                               | 11 |
| Third-Party Disclosures .....   | 12 |

## PURPOSE

To establish the process, procedures, and criteria for implementing the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit.

## CONSULTING REQUESTS

Faculty must submit consulting requests for externally compensated activities that are based on the faculty member's professional expertise or prominence in their field. Requests are also required for any active faculty affiliated company (FAC), either to approve effort with the company, or to provide an affirmation that there is no effort on the part of the faculty member in relation to the FAC during any given reporting year.

Compensated activities that are not associated with the faculty member's professional expertise do not require consulting approval (such activities should be conducted outside of normal work time or time due to the University). Consulting approval is not required for activity undertaken by a faculty member with outside entities that is related to their expertise but is uncompensated (even if necessary expenses to support the activity are provided). This latter activity may often be professional service and undertaken as part of the faculty member's work as a State employee.

### Required Information for Consulting Requests Forms

To be considered for approval, the consulting request form must be completed in full. The information provided on the request form must be accurate. The consulting request form requires the following information:

- The name and address of the contracting entity, including whether this is a domestic or foreign entity.
- A detailed description of the proposed consulting activity to allow for determinations related to conflicts of interest, conflicts of commitment, or other compliance questions as relevant.
- The expected dates or range of dates when the activity will occur.
- Estimated compensation for the consulting activity (in ranges provided on the form).
- Information related to any affiliation with the contracting entity (including, but not limited to, equity interests, board service or directorships, or other financial interests).
- Total time that the faculty expects to spend on the consulting activity, including an estimate of how much of this time will be during normal work time.
- Disclosure of any proposed material use of state resources (see section below for detail).
- For all FACs an affirmation of whether there will be any effort on the part of the faculty member in relation to the FAC.

After submitting the form, the Faculty Consulting Office may request additional information for further clarification.

## Reporting Years

Consulting requests only cover a single reporting year. A new consulting request must be submitted for ongoing activities each new reporting year.

- The reporting year for Storrs and regional campuses mirrors the academic contract year (May 23 through May 22).
- The reporting year for UConn Health follows the regular reporting year of the University (July 1 through June 30).

The relevant date ranges for the reporting year should be applied according to the appropriate work location of the faculty member.

## Part-Time Faculty & Faculty Leaves

Faculty on sabbatical, research leave, or other leave where the faculty member remains an employee of the University 0.5 FTE or greater, must continue to submit consulting requests. If a faculty member takes a personal leave where they are not an employee of the University for the duration of their leave, they do not have to submit consulting requests.

Faculty whose employment is below 0.5 FTE are not required, but may choose to submit, a consulting request form. Once such a faculty member has requested approval to consult for a single consulting activity, all subsequent consulting activities within the same reporting year must also obtain such approval.

If a faculty member changes employment status so that they move at or above 0.5 FTE, they are then required to submit consulting requests for any consulting work they will engage in going forward.

## Faculty Affiliated Companies

Faculty must submit a request each reporting year in relation to any faculty affiliated company. This should include any work (even in an unpaid capacity), including as an employee, consultant, or advisor. If no work will be taking place in a given reporting year, a request must be submitted attesting to this fact for any active faculty affiliated company on the list maintained by the Office of the Vice President for Research. Consulting approval for such work does not mitigate the obligation to adhere to other policies related to faculty affiliated companies.

## Required Time for Approvals

Consulting request forms must be submitted in a reasonable time to allow for the review and approval process. Once approved, the consulting request form cannot be amended. Therefore, any significant change requires the submission of a new or updated consulting request form.



Faculty are not permitted to initiate work on consulting activities until the submitted request has been fully approved.

It is recommended that requests are submitted at least one week prior to starting work on the activity to allow time for approval.

### Low Conflict of Interest (COI) Risk Consulting Activity

When conducted in a domestic context (*i.e.*, in the U.S.), several academic activities that faculty members usually undertake pose a low risk for conflicts of interest (COI) (hereafter, low COI risk). These are activities that often form an expected part of faculty work.

Activity with U.S. entities that falls into the following categories may qualify as low COI risk:

- Academic or research presentations that are non-promotional in nature.
- Serving as a grant reviewer, including on grant review panels (includes reviewing fellowship applications, honorific awards, or similar materials).
- Reviewing a thesis, tenure case, or academic unit.
- Writing or reviewing for publication (includes articles, journalistic pieces, book chapters, or books).\*
- Artistic performances.\*

To be considered a low COI risk consulting activity, the compensation for the activity must not exceed \$5,000 (this is an aggregate figure for multiple activities with the same contracting entity within the same reporting year). The contracting entity must be based in the U.S.

For activities in the category of writing or reviewing for publication or artistic performances (marked with an asterisk) to qualify as a low COI risk consulting activity total time spent on the activity must not exceed 2.1 days of normal work time (this is an aggregate figure for multiple activities with the same contracting entity within the same reporting year).

If all conditions to qualify an activity for the low COI risk category are not met the request must go through the full review process.

## CONSULTING REQUESTS APPROVAL PROCESS

### Approvers

Consulting requests must be approved by the unit head (or their designee) at all levels of the supervisory hierarchy based on the unit's reporting structure, including the department/unit head, dean/equivalent unit head, provost. Provost-level review is conducted by a designee of the provost, who will be a senior leader of an appropriate level.

Consulting requests are also reviewed by the Faculty Consulting Offices (FCO), who may request additional or clarifying information before a request is able to be approved. In most cases (except for

those routed through the low COI risk pathway), review and final approval is conducted by the provost's designee.

For the majority of faculty, the initial approval is provided at the departmental level. In centers or institutes the director takes the role of unit head for approvals. These unit heads should only approve consulting requests for faculty they directly supervise. They should not approve affiliates who are supervised within a different unit. Faculty with joint appointments must be approved by the department head of their home department. For the Schools of Law, Nursing, and Social Work, consulting requests route directly to the dean. Consulting requests from department heads route directly to deans, consulting requests from deans route directly to the Provost.

### Approval for Low COI risk consulting activity

The Provost delegates authority to department/unit heads to serve as the sole approving authority for reviewing and approving consulting requests submitted through the low COI risk consulting activity approval pathway.

### Criteria for Consulting Approvals

Permission to consult will be granted when:

1. The consulting request relates to the faculty member's expertise or prominence in their field and is not due to their position as a State employee.
2. The consulting activity will not create a conflict of interest that cannot be adequately managed.
3. The consulting activity is not work that could be performed by the University.
4. The faculty member is currently, fully, and satisfactorily performing their assigned duties as established by their workload assignment.
5. The consulting activity will not interfere with a faculty member's future ability to perform their assigned duties as established by their workload assignment.
6. The consulting activity is not competing with the University, including in relation to future business plans of the University.
7. The consulting contributes to the continued development of the faculty member's professional expertise or academic reputation.

### Approval for 9, 10, and 11-month faculty

Potential for conflicts of interest and conflicts of commitment are relevant during off-contract months. Consulting approval is required for all faculty, regardless of contract length, throughout the calendar year.

## FACULTY MEMBER'S OBLIGATION TO THE UNIVERSITY WHILE CONSULTING

### Not Acting as a State Employee

The faculty member must inform the contracting entity that they are not acting as a State or University employee while performing the consulting activity and are not covered by any State liability protection.

- The faculty member may not inappropriately use their association with the University in connection with the consulting activity. Faculty members may identify their employee status, but they shall not speak, act, or make representations on behalf of the University or express institutional endorsement in relation to the outside activity.
- Permission to use the University name, logos, or other identifiable marks may only be granted by the University.
- When compensation is deemed a “significant financial interest” as defined in the [Policy on Financial Conflicts of Interest in Research](#), the faculty member must disclose this in financial statements made under that policy.

### Obligations to the University when engaged in Consulting Activities

Faculty must provide notification of the specific dates and times spent consulting for activities conducted during normal work time (*e.g.*, consulting that will occur when a faculty meeting is scheduled, when a class should be taught, when patient care is scheduled, or any other such obligations).

Faculty members must provide their supervisor (normally a department head) the details of time spent consulting during normal work time at least one day before engaging in the consulting activity. This information should be provided on the consulting request form if known at the time of the request. If this information is not available when the request is made, it must be provided in writing (via email) to the supervisor once known. The supervisor has the discretion to deny any request for consulting during normal work time if they are concerned that the consulting would interfere with the ability to complete assigned duties as established by the faculty member's workload assignment.

### Use of University Resources

In rare cases, material use of University resources may be used to support consulting activities. Such use should be documented with a formal agreement and the University must be compensated for such use at fair market rates. Any consulting request involving material use of University resources must include documentation that includes the following:

1. A summary of the material use of state resources.
2. A description of the fair market value of these resources.
3. The name of the University employee who approved the use of the resources, including an attestation of this approval.

4. An attestation that this University employee is responsible for monitoring the appropriate reimbursement for such resources.
5. An attestation that the faculty member is prepared to provide documentation of all points above to the auditors when requested.

### Consulting During Normal Work Time

Consulting should not adversely impact the ability of a faculty member to carry out their assigned workload. Approvers should utilize any relevant information to assess whether the proposed consulting activity will have an impact on the ability of the faculty member to carry out their assigned work. This information may include annual performance evaluations.

If an approver has reason to think that a consulting activity will negatively impact the ability of a faculty member to carry out their assigned workload, the request should be denied.

Specific regulations may apply during any period when a faculty member is earning summer salary from a grant.

### Proprietary and Confidential Information

The disclosure of proprietary information (*i.e.*, intellectual property owned in part or in total by the University) is prohibited unless specific permission is granted.

## **MANAGEMENT-EXEMPT EMPLOYEES WITH A FACULTY BASE APPOINTMENT**

Management-exempt employees with a base faculty appointment (as defined in their offer letter) may consult following the same policies and procedures outlined for all UConn faculty. However, when they perform approved consulting work during regular business hours (*i.e.*, Monday – Friday, 8 a.m. – 5 p.m.), management-exempt employees with a faculty base must document when they have worked an equivalent number of hours performing University work outside of normal business hours, which may include work performed on approved vacation, personal, compensatory, or holiday leave time.

## **CONSULTING RECONCILIATION**

Each approved consulting request must be reconciled at the end of each reporting year. This reconciliation process requires the faculty to report actual time spent on consulting activities and actual compensation that was received. If the estimates of anticipated time spent on each activity and the compensation provided when requesting permission to consult differs from what occurred, such information should be updated appropriately.

Each campus has an established deadline for the reconciliation of consulting requests from the prior reporting year.

- The reconciliation deadline for Storrs and regional campuses is September 10.
- The reconciliation deadline for UConn Health is September 1.

The relevant reconciliation deadline should be applied according to the appropriate work location of the faculty member.

Failure to reconcile approved consulting requests by September 15, even if the activity did not occur, will result in sanctions.

## **ROYALTIES**

Compensation received from royalties does not fall under the purview of this policy, as per Office of State Ethics Advisory Opinion No. 1991-12.

It may be in the interest of the University to support publication of books or artistic works with financial support. This will usually be in cases where the book or artistic work is an expected output of the faculty member, but without support from the University the work cannot be published or would be diminished in some form.

If the financial support from the University is \$5,000 or more, the faculty member may be requested to remit royalties to the University. However, this will be evaluated on a case-by-case basis.

## **POLICY ENFORCEMENT**

Violations of the Policy on Consulting may result in appropriate disciplinary measures in accordance with University Bylaws, General Rules of Conduct for all University Employees, and applicable collective bargaining agreements.

A report or allegation of a violation or noncompliance with this policy shall be reviewed by the Provost or Provost designee. After due process, the Provost may elect to withdraw the authorization or appropriately modify the conditions upon which the authorization to consult is granted to resolve any conflict.

### **Office of State Ethics**

Any faculty member who does not receive prior written approval under this policy and engages in consulting activities is subject to the jurisdiction of the Office of State Ethics. In addition, the faculty member may be subject to sanctions issued by the University for violating this policy.

## Sanctions

The sanctions outlined below relate to the provisions of Conn. General Stat §1-84(r), which requires the University to establish “procedures that impose sanctions and penalties on any member for failing to comply with the provisions of the policies.”

- A. The following sanctions will be taken when a request to consult is late. Requests are late when they are received by the department head, dean, FCO, or provost’s designee after the activity has started. This section (A) applies only to requests to consult that would routinely have been approved and where late submission is the only non-compliance issue.
  - 1. First Occurrence – a counseling letter with the faculty member and their direct supervisor explaining the implications of late submission.
  - 2. Second Occurrence – a counseling letter to the faculty member, their direct supervisor, and dean explaining the implications of late submission and advising them that disciplinary sanctions may be imposed the next time this occurs.
  - 3. Third Occurrence – suspension of approval for all requests to consult during normal work time for the remainder of the reporting year. This occurrence will be documented with a letter to the personnel file.
  - 4. Fourth Occurrence – indefinite suspension of approval for all requests to consult during normal work time. This occurrence will be documented with a letter to the personnel file.
- B. Occurrences of late submission will be cumulative. The count will be reset to zero occurrences if the faculty member goes a full reporting year without any new occurrence.
- C. Some exceptions can be made for late requests. These exceptions will only be granted for activities that do not involve significant potential risk for conflicts of interest or conflicts of commitment. All exceptions will be documented.

Exceptions for late requests may be made in the following circumstances:

- 1. When a faculty member learns of the consulting opportunity without sufficient time for full approval. Written documentation should be submitted to support this justification.
  - 2. If the request is late because of delayed processing of the submitted form by the department head, dean, FCO, or provost’s designee.
  - 3. If a request qualifies as low COI risk, as defined above, and the activity is reported via the faculty consulting approval system prior to the reconciliation deadline for the reporting year in which the consulting work took place.
- D. Failure to submit required annual reconciliation reports by September 15 will result in the following sanctions:
  - 1. No further requests to consult will be approved until three months after the missing reconciliation reports are received.

2. A notification letter will be sent to the faculty member and their supervisor. If the faculty member does not complete all overdue reconciliation reports within two weeks of the issuance of this notification letter, permission to participate in all currently approved consulting activities will be revoked.
- E. This section applies when faculty engage in a consulting activity when the request to consult was denied (whether such request was submitted prior to the start of the activity or late), no request to consult was submitted, or for other material non-compliance (such as the unauthorized material use of State resources, use of the University's logo without permission, or when the person represents themselves as acting as an agent of the University while consulting, *etc.*). In these situations, sanctions will be determined on a case-by-case basis. Factors used in determining the level of sanctions include but are not limited to:
- a. Whether or not the University would have approved the activity if a formal request had been made.
  - b. The level of compensation for the activity.
  - c. The time expended for the activity from the time due the University.
  - d. The existence and nature of previous non-compliance with the consulting policy.

Sanctions may include a ban on future approval of requests to consult, cancellation of previously approved and ongoing consulting activities, or other disciplinary actions. The progression of these latter disciplinary actions will be consistent with those specified in the AAUP contract and the University Bylaws.

- F. All sanctions will be issued by the provost or provost's designee.

## Appeals

Disciplinary action will be issued in accordance with the applicable provisions of the University Bylaws, Collective Bargaining Agreement, or the employment agreement of the faculty member and subject to any appeal rights that may be available to faculty members.

## REPORTING, AUDITS, AND OVERSIGHT

The provost will submit an annual report of consulting activities for all faculty members to the Joint Audit and Compliance Committee of the Board of Trustees. In addition, the University's Office of Audit and Management Advisory Services (AMAS) shall develop and implement recurring monitoring and auditing to ensure the complete and accurate implementation of this policy. Each year the Consulting Oversight Committee will review these reports.

## Third-Party Disclosures

Any financial information provided in the consulting request forms or reconciliation reports will be deemed confidential, in accordance with Conn. General Stat §1-210 (Freedom of Information Act) and will not be disclosed to any third party unless the member agrees or a court of competent jurisdiction so orders, or in order to comply with Federal and/or State laws or regulations related to the handling of Federal research grants.



**ATTACHMENT B**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.  
Interim Provost and Executive Vice President for Academic Affairs



RE: Academic Program Inventory

BACKGROUND:

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

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

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

Non-Substantive Changes and Updates:


- CIP Code Change: MS in Applied and Resource Economics from 01.0103 (Agricultural Economics) to 45.0603 (Econometrics and Quantitative Economics)
- CIP Code Change: Ph.D. in Agricultural and Resource Economics from 01.0103 (Agricultural Economics) to 45.0603 (Econometrics and Quantitative Economics)

**ATTACHMENT C**

June 29, 2022

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.  
Interim Provost and Executive Vice President for Academic Affairs



RE: Academic Centers and Institutes

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

BACKGROUND:

Following review and deliberation, the following Academic Centers and Institutes are being established or renewed:

Established

Digital Design Research, Analysis and Manufacturing (D<sup>2</sup>REAM Center) (*School of Engineering*)

Renewed for five-year term

Asian and Asian American Students Institute  
Brain Imaging Research Center  
Center for Advancement of Managing Pain (CAMP)  
Center for the Study of Culture, Health, and Human Development (CHHD)  
Center of Excellence for Vaccine Research (CEVR)  
Connecticut Center for Economic Analysis (CCEA)  
Connecticut Institute for the Brain and Cognitive Sciences (IBACS)  
Connecticut Transportation Safety Research Center  
Eversource Energy Center  
Reading and Language Arts Center

Renewed for a three-year term

Zwick Center for Food and Resource Policy (*College of Agriculture, Health and Natural Resources*)

Renewed for a one-year term

Center for Environmental Health and Health Promotion (CEHHP) (*College of Agriculture, Health and Natural Resources*)

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

### Digital Design Research, Analysis and Manufacturing (D<sup>2</sup>REAM Center)

The D<sup>2</sup>REAM center is an academic-government-industry partnership aimed at enabling the development of groundbreaking Modeling and Simulation (M&S) capabilities to support advanced structural digital design and manufacturing and discovery of metamaterials for the next generation of Army ground vehicle systems. Furthermore, the Center will use the strong research ecosystems at UConn to build a strong partnership between academia, government and industry and train a talented workforce and thought leaders for government and industry.

### Asian and Asian American Students Institute

Housed in the College of Liberal Arts and Sciences, the Asian and Asian American Studies Institute is a multidisciplinary research and teaching program. Distinguished by its global, diasporic, national, regional, and transnational orientations, the Institute brings two traditionally distinct fields of inquiry together in dynamic conversation: Asian Studies and Asian American Studies. Comprised of the humanities, social sciences, and the arts, the Institute's research output and course offerings engage Asia, the Pacific, and the Americas not as static, monolithic sites rather as sets of shifting historical, geographic, and geopolitical zone of interaction, struggle, and cooperation. In sum, the Institute fosters intellectual endeavors that concern the broad historical and contemporary experiences of people of Asian descent in Asia and in different parts of the world, inclusive of North and South Americas, the Caribbean, Europe, Africa, and Australia.

### Brain Imaging Research Center

The BIRC is a vibrant hub for multi-disciplinary research, including both basic science and translational research with implications for the classroom, clinic, and quality of life. The Center facilitates scientific discovery and theoretical innovation in cognitive neuroscience and other fields by providing access to state-of-the-art equipment and methods and technical and scientific training. It supports both brain and whole-body imaging and research across the life span and on a range of clinical and nonclinical populations. Additionally, the Center provides educational and research opportunities for UConn's graduate and undergraduate students and disseminates scientific knowledge to the broader university community, relevant professional communities, and the general public.

### Center for Advancement of Managing Pain (CAMP)

With the overarching goal of advancing and generating new knowledge of pain mechanisms and improving the delivery of safe and effective methods to promote pain relief across populations and settings, the Center for Advancement of Managing Pain (CAMP) provides a collaborative infrastructure for pain management professionals and academic researchers from across disciplines to establish translational programs of research, implement interdisciplinary pain education and develop innovative approaches for advancing the practice of precision pain management.

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

The Center for the Study of Culture, Health, and Human Development (CHHD) promotes interdisciplinary scientific collaboration, training, and outreach related to human development and health in cultural context. It offers an interdisciplinary graduate seminar, preparing students to earn a graduate certificate. Innovative collaborations among affiliated faculty can be supported through seed grants, and the Center is developing a library of teaching videos for culture and human development.

### Center of Excellence for Vaccine Research (CEVR)

The elucidation of the mechanisms of pathogenesis of, and immune responses to, primary bacterial and viral pathogens with the goal of developing safe and effective vaccines.

### Connecticut Center for Economic Analysis (CCEA)

CCEA specializes in economic impact and policy analysis studies, as well as advising clients regarding business strategy, market analysis, and related topics. CCEA focuses particular attention on the economic and business dynamics of Connecticut. CCEA's studies of state issues are founded on data sets maintained by Amherst, Massachusetts based Regional Economic Modeling, Inc. (REMI), which licenses dynamic models of the state's economy.

### Connecticut Institute for the Brain and Cognitive Sciences (IBACS)

The mission of the Connecticut Institute for the Brain and Cognitive Sciences (CT IBACS) is to serve as both a beacon and incubator for research across the brain and cognitive sciences at UConn and beyond; promoting and supporting the interdisciplinary science of the mind and its realization in biological and artificial systems. It will enable new research and educational opportunities for graduate students, postdoctoral researchers, and faculty to extend their intellectual reach beyond traditional disciplinary boundaries, as well as enabling undergraduates to receive laboratory-based training in neuroscientific, behavioral, and theoretical research in the brain and cognitive sciences. It aims to provide the physical, financial, administrative, technical, intellectual, and educational infrastructure to enable UConn's extensive but distributed neuroscience and cognitive science community to realize its full potential for disciplinary and interdisciplinary innovation in the brain and cognitive sciences.

### Connecticut Transportation Safety Research Center

The mission of the CTSRC is to support CTDOT in developing and maintaining a state-of-the-art crash data entry, collection, and safety analysis system. The goals of the Center include 1) development of efficient tools for the collection and analysis of crash data 2) tracking, documenting and researching safety improvements and needs in the state 3) researching and developing outreach programs to target Connecticut specific/identified safety concerns 4) developing custom training and early intervention programs to assist law enforcement in collecting uniform, timely and complete crash data, and 5) conducting transportation safety research that has state, national and global implications and applications.

### Eversource Energy Center

To be the foremost energy utility-academia partnership advancing leading-edge interdisciplinary research and technology assuring reliable power during extreme weather and security events.

### Reading and Language Arts Center

We believe in creating communities where: All students read and write meaningful texts; All teachers engage students' strength to address specific needs; All instruction integrates reading, writing, and language in all its forms; All curriculum includes the ethical assessment of development over time; and All educators engage in sustained professional learned about a range of instructional practices so that educators are fully equipped to teach all students.

### Zwick Center for Food and Resource Policy

The Zwick Center performs economic analysis on problems related to food, natural resources, environment, energy, and sustainable regional economic development. The Center's goal is to improve society's wellbeing by providing practical information to support decision-making and the functioning of markets.

### Center for Environmental Health and Health Promotion (CEHHP)

to bring together researchers to investigate and analyze the interaction between human behavior and the environment. We strive to identify health resources and constraints in various environmental settings and how they contribute to the development of chronic diseases. We promote developing interventions that integrate health behavior and lifestyle modifications with environmental alterations, which is essential in improving human health and reducing the rate and prevalence of chronic diseases

# Financial Affairs



**AGENDA**  
Meeting of the  
**FINANCIAL AFFAIRS COMMITTEE**  
**ANNUAL BUDGET WORKSHOP**  
**June 27, 2022 at 4:00 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: 120 706 2814

*(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 \*

\* 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 3:30 p.m.) to the following email address: [BoardCommittees@uconn.edu](mailto: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.

**ACTION/PRESENTATION ITEMS:**

**TAB**

|  |   |
|--|---|
| 2) Approval of the Minutes of the Financial Affairs Committee Meeting of April 26, 2022, as circulated | 1 |
| 3) Contracts and Agreements for Approval   | 2 |
| 4) FY23 Budget Presentation  | 3 |
| 5) Fiscal Year 2023 Budget for the University of Connecticut, Storrs & Regional Campuses               | 4 |
| 6) Fiscal Year 2023 Budget for UConn Health  | 5 |
| 7) Fiscal Year 2023 Capital Budget for the University of Connecticut                                   | 6 |
| 8) Twenty-Ninth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds  | 7 |

**ACTION/PRESENTATION ITEMS:****TAB**

|  |    |
|--|----|
| 9) Revised Allocation of Bond Authorizations as set forth in the Twenty-Third Supplemental Indenture (University of Connecticut General Obligation Bonds)  | 8  |
| 10) Revised Allocation of Bond Authorizations as set forth in the Twenty-Sixth Supplemental Indenture (University of Connecticut General Obligation Bonds) | 9  |
| 11) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2023   | 10 |
| 12) Option Agreement concerning future development of a Connected and Autonomous Vehicle Test Track at the UConn Depot Campus                              | 11 |

**CAPITAL PROJECT BUDGETS FOR APPROVAL:**

| <b><u>STORRS BASED PROGRAMS</u></b>  | <b><u>Phase</u></b> | <b><u>Budget</u></b> | <b><u>Tab</u></b> |
|--|---------------------|----------------------|-------------------|
| 13) Public Safety Building Improvements  | Revised Final       | \$7,750,000          | 12                |
| 14) B4 Steam Vault and Line Exigent Repair                                     | Revised Final       | \$7,700,000          | 13                |
| 15) South Campus Infrastructure  | Design              | \$1,750,000          | 14                |
| 16) Residential Life Facilities: Mansfield Apartments Redevelopment            | Part One/Final      | \$12,000,000         | 15                |
| 17) Field House – Old Rec Center Renovation                                    | Revised Planning    | \$3,000,000          | 16                |
| 18) Main Campus Substation Switchgear Relay Replacement – AET5P-14G SCADA      | Revised Final       | \$640,000            | 17                |
| 19) Atwater Laboratory Emergency Power Installation                            | Revised Final       | \$682,700            | 18                |
| 20) School of Engineering Backfill Project                                     | Final               | \$1,777,410          | 19                |
| 21) George C White Building Roof & Drainage System                             | Revised Final       | \$945,800            | 20                |
| 22) Wired Access Layer Infrastructure Refresh – Phase IV                       | Final               | \$2,000,000          | 21                |
| <b><u>UCONN HEALTH</u></b>   | <b><u>Phase</u></b> | <b><u>Budget</u></b> | <b><u>Tab</u></b> |
| 23) UCH 16 Munson Road Parking Lot Paving                                      | Design              | \$1,445,000          | 22                |
| 24) UCH Buildings D & N Roof Replacement                                       | Design              | \$2,565,000          | 23                |
| 25) UCH Buildings E & K Roof Replacement                                       | Design              | \$2,160,000          | 24                |
| 26) UCH Main Building Lab Area Renovations – 2 <sup>nd</sup> Floor             | Design              | \$8,972,000          | 25                |
| 27) UCH Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation | Design              | \$6,166,000          | 26                |
| 28) UCH 5 Munson Road Clinical Fit-Out   | Final               | \$8,380,000          | 27                |
| 29) UCH Canzonetti (F) Building Wound Care Center Renovation                   | Design              | \$850,000            | 28                |
| 30) UCH Psychiatry Seclusion Suite & Nurse Station Security Renovation         | Design              | \$790,000            | 29                |

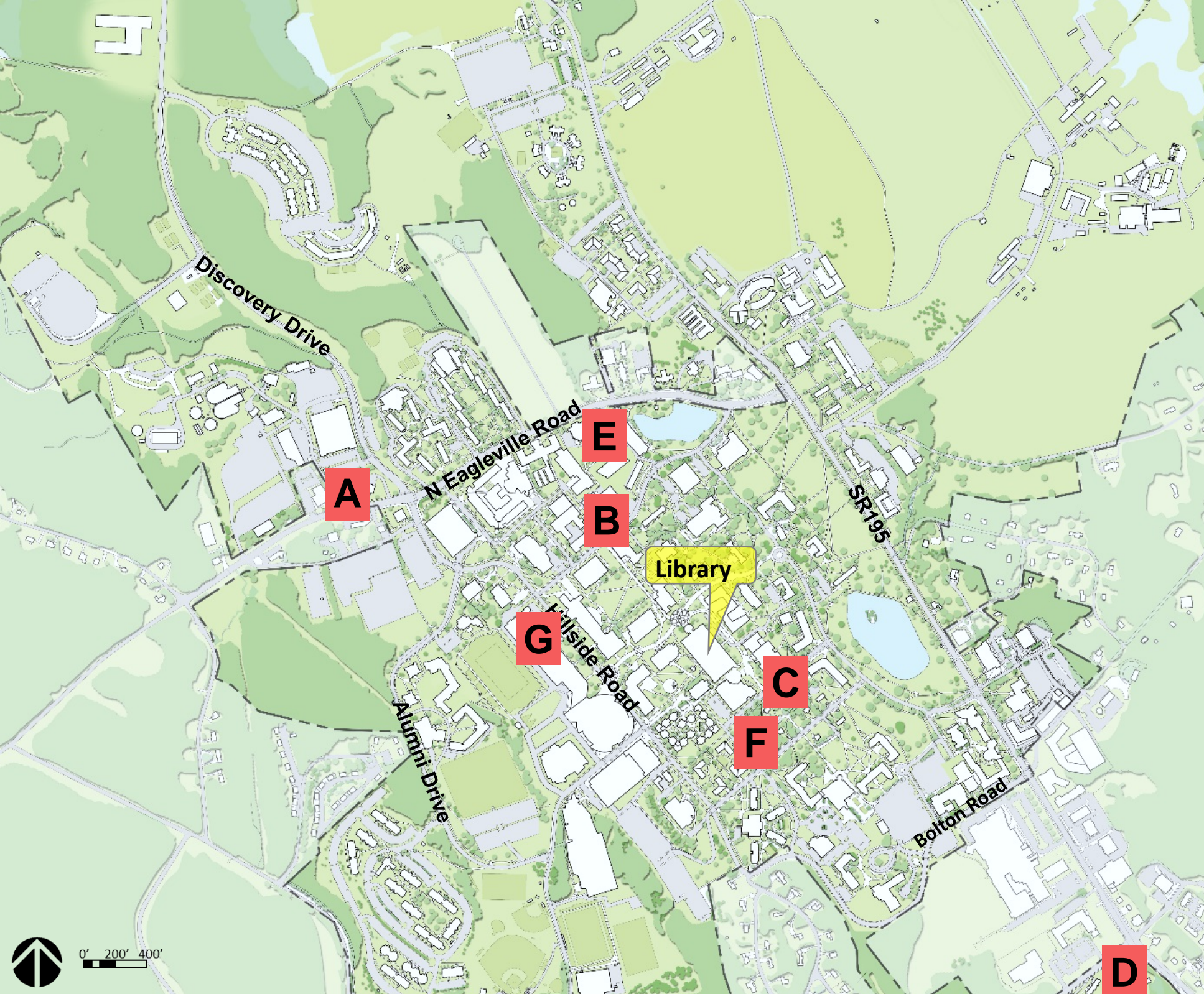
---

|     | <b><u>UCONN HEALTH (Continued)</u></b>              | <b><u>Phase</u></b> | <b><u>Budget</u></b> | <b><u>Tab</u></b> |
|-----|---|---------------------|----------------------|-------------------|
| 31) | UCH Central Sterile Washer & Sterilizer Replacement | Planning            | \$1,905,000          | 30                |
| 32) | UCH New England Sickle Cell Institute Renovation    | Planning            | \$3,000,000          | 31                |

**INFORMATION ITEMS:**

- 33) Project Budget Map – Storrs Projects 32
- 34) Capital Projects Status Report ~ as of June 29, 2022  
<https://bpir.uconn.edu/wp-content/uploads/sites/1441/2022/06/Construction-Status-Report-6.29.22.pdf>
- 35) Capital Project Expenditures as of 03/31/22:  
<https://bpir.uconn.edu/wp-content/uploads/sites/1441/2022/05/Cap-Proj-Exp-Report-3-31-22.pdf>
- 36) Other Business
- 37) Adjournment
- 38) Executive Session (*as needed*)

**ATTACHMENT A**



KEY TO STORRS PROJECTS

Final / Revised Final

- A. Public Safety Building Renovation
- B. B4 Steam Vault and Line Exigent Repair
- C. Gilbert Road Site Preparation
- D. Residential Life Facilities- Mansfield Apartments Redevelopment
- E. Atwater Laboratory Emergency Power Installation
- \* Main Campus Substation Switchgear Relay Replacement AET 5P-14G SCADA
- \* Andover Infrastructure and Software Upgrade Phases I, II, and III
- \* School of Engineering Backfill Project

Design / Revised Design

- F. South Campus Infrastructure

Planning / Revised Planning

- G. Field House - Old Recreation Center Renovation

\* *Note: Campus-Wide. Location not shown on map.*

# Joint Audit & Compliance

# **Audit of UConn 2000 Projects**

## **Informational Only**

The attached report is being provided to you pursuant to Connecticut General Statutes section 10a-109aa. Mayer Hoffman McCann P.C. completed the annual audit of UConn 2000 projects for fiscal year ended June 30, 2021 pursuant to section 10a-109z. No significant issues were identified in the report.



**Agreed-Upon Procedures:  
UConn 2000 Infrastructure Program  
as Required by Sec. 10a-109z of  
the Connecticut General Statutes**

**University of Connecticut**

**Year Ended June 30, 2021**





**UNIVERSITY OF CONNECTICUT**

***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by  
Sec. 10a-109z of the Connecticut General Statutes***

***Table of Contents***

***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by  
Sec. 10a-109z of the Connecticut General Statutes:***

|   |       |
|---|-------|
| Independent Accountants' Report on Applying Agreed-Upon Procedures  | 1     |
| Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by<br>Sec. 10a-109z of the Connecticut General Statutes | 2-12  |
| Appendix A – University of Connecticut - FY21 UConn 2000 AUP Population:<br>Expenditure and Contract Testing                  | 13-14 |
| Appendix B – University of Connecticut - FY21 UConn 2000 AUP Population:<br>Change Order Testing                              | 15-16 |



**Mayer Hoffman McCann P.C.**  
500 Boylston Street ■ Boston, MA 02116  
Main: 617.761.0600 ■ Fax: 617.761.0601  
[www.cbiz.com/newengland](http://www.cbiz.com/newengland)

*Independent Accountants' 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 on the UConn 2000 Infrastructure Program as Required by Sec. 109a-109z of the Connecticut General Statutes for the fiscal year ended June 30, 2021 to assist the University of Connecticut (the "University"), the University of Connecticut Health Center ("UConn Health"), its Board of Trustees and the Joint Audit and Compliance Committee (collectively, the "Responsible Parties") with meeting the requirements under Public Act 07-166 which amends Sec. 13 section 10a – 109z of the Connecticut General Statutes (the "Subject Matter"). The University's management is responsible for meeting the aforementioned requirements.

The Responsible Parties have agreed to and acknowledged that the procedures performed are appropriate to meet the intended purpose of meeting the requirements of the Subject Matter. This report may not be suitable for any other purpose. The procedures performed may not address all the items of interest to a user of this report and may not meet the needs of all users of this report and, as such, users are responsible for determining whether the procedures performed are appropriate for their purposes.

The procedures and the associated results are described on pages 2 through 12 of this report.

We were engaged by the University to perform this agreed-upon procedures engagement and conducted our engagement in accordance with attestation standards established by the AICPA. We were not engaged to and did not conduct an examination or review engagement, the objective of which would be the expression of an opinion or conclusion, respectively, on the Subject Matter. 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.

We are required to be independent of the Responsible Parties and to meet our other ethical responsibilities in accordance with the relevant ethical requirements related to our agreed-upon procedures engagement.

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 UConn Health and is not intended to be and should not be used by anyone other than these specified parties.

*Mayer Hoffman McCann P.C.*

May 18, 2022  
Boston, Massachusetts

# UNIVERSITY OF CONNECTICUT

## ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

Our procedures and results related to UConn 2000 Infrastructure Program as required by Sec. 10a-109z of the Connecticut General Statutes are as follows:

### **Expenditure Testing:**

Procedure:

1. Obtain a report of total UConn 2000 general obligation bond expenditures by project from UConn for Fiscal Year June 30, 2021. To ensure completeness, this report will also include non-UConn 2000 funded expenditures for Fiscal Year June 30, 2021 on projects where any amount of UConn 2000 general obligation bond funded expenditures is present.

Result:

1. We obtained a report of total UConn 2000 general obligation bond expenditures by project from the UConn management team for Fiscal Year June 30, 2021. The report included non-UConn 2000 funded expenditures for Fiscal Year June 30, 2021 on projects where any amount of UConn 2000 general obligation bond fund expenditures were present.

Procedure:

2. From the report obtained in Procedure 1, select all projects, including capital equipment groups/projects, with total fiscal year expenditures greater than \$500,000.

Result:

2. From the report we obtained as part of Procedure 1, all projects including capital equipment groups/projects with total fiscal year expenditures greater than \$500,000 were selected for testing. See Appendix A for this listing.

Procedure:

3. For projects selected in Procedure 2, 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.

Result:

3. For all projects that were selected in Procedure 2, duplicate EDoc numbers per project were aggregated and all expenditures greater than \$100,000 were selected. For any projects without any expenditures greater than \$100,000, the highest dollar value was selected. There were 196 expenditures that met these parameters.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

#### Procedure:

4. For all expenditures selected in Procedure 3, identify if the expenditure is to an external source supported by a third-party invoice (identified by Kuali Financial System ("KFS") Payment Request ("PREQ")), or an internal/related party source (identified by KFS Internal Billing ("IB") / Distribution of Income and Expense ("DI") / Journal Voucher ("JV") / General Error Correction ("GEC") / General Ledger Transfer ("GLT") and Disbursement Vouchers ("DVCA")).

#### Result:

4. We identified the expenditures as follows: Of the 196 expenditures that met the parameters of Procedure 3, 172 were PREQ, 4 were IB, 17 were DI, 1 was GLT, and 2 were DVCA. We did not identify any expenditures that were coded as JV or GEC.

#### Procedures:

5. For all selected expenditures made to external sources that are supported by third-party invoices (PREQ):
  - 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.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

#### Results:

- a. We located the corresponding transaction within the HuskyBuy procurement and payment system for each of the 172 expenditures that were supported by third-party invoices (PREQ) without exception.
- b. We inspected the addressee of the supporting invoice noting that there was evidence that the invoices were addressed to UConn Health, the University of Connecticut or UConn without exception.
- c. We inspected the invoices noting vendor, invoice number or payment application, invoice date and invoice amount agreed to the HuskyBuy invoice without exception.
- d. We obtained a list from UConn identifying approved authorizers and their authorized designees based on the UConn authorization thresholds and payment types.
- e. Using the list obtained in Procedure 5.d, we inspected the approvals and/or history tabs within the HuskyBuy invoice system noting that the approvals agreed to approved authorizers without exception.
- f. We mathematically checked the amount of the supporting invoices without exception.

#### Procedures:

6. For all selected expenditures in Procedure 5 governed by AIA construction contracts that have not been included in prior year audits of completed projects, identify the related purchase order and obtain copies of all current fiscal year construction payment applications from HuskyBuy, regardless of value. Utilizing the construction payment applications:
  - a. If applicable, obtain documentation to support the actual costs of the Contractors' performance and payment bonds, noting these undergo a final reconciliation at the end of the project. Compare to the amounts billed, noting any variances from the contract terms.
  - b. If applicable, obtain documentation to support the actual costs of insurances charged, and compare to the amounts billed, noting any variances from the contract terms.

#### Results:

- a. We identified 58 expenditures from Procedure 5 that were governed by AIA contracts that had not been included in prior year audits of completed projects.
- b. We obtained documentation supporting actual costs of insurances charged and compared to the amounts billed noting one variance in which the builders risk insurance was charged based on budgeted as opposed to actual costs. The amount was credited back to UConn subsequent to June 30, 2021. No other variances were noted.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

#### Procedures:

7. For all selected expenditures made to internal/related party sources that are supported by internal documents (IB/DI/JV/GEC/GLT and DVCA):
  - a. Obtain the KFS EDoc.
  - b. Obtain a list from UConn identifying approved authorizers and their authorized designees with corresponding approval thresholds for the type of EDoc.
  - c. For IB/DI/JV/GEC/GLT transactions, inspect the Route Log approvals in the KFS EDoc and compare authorizations to the list obtained in Procedure 7.b and determine whether the electronic approvals match based on transaction type and authorized dollar thresholds. Approval may alternatively be located in the “Notes” section of the EDoc if ad-hoc routing was not obtained.
    - i. Compare the support within the KFS EDoc “attachments” section to the entry in KFS and check for agreement, noting this can take a variety of forms.
  - d. For DVCA 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 7.b and determine if 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.
    - ii. For DVCA transactions that specify reimbursement to UConn Health in the “Entry Description”, review the support within the HuskyBuy “Attachments” tab and verify the reimbursement is properly supported with third-party invoices or authorized internal charges.

#### Results:

- a. For all selected expenditures, which totaled 24, we obtained the corresponding KFS EDoc.
- b. We obtained a list from UConn identifying approved authorizers and their authorized designees with corresponding approval thresholds for the applicable type of EDoc.
- c. We identified 22 IB/DI/JV/GEC/GLT transactions. For each of those transactions, we inspected the Route Log approvals in the KFS EDoc and compared authorizations to the list obtained in 7.b and determined the electronic approvals matched based on the transaction type and authorized dollar thresholds.
  - i. As applicable, we compared the support within the KFS EDoc “attachments” section to the entry in KFS and checked for agreement.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

- d. For 2 DVCA transactions, we located the corresponding transaction within the HuskyBuy procurement and payment system. We inspected the approvals and/or history tab within the HuskyBuy invoice and compared authorizations to the list obtained in Procedure 7.b. We determined the electronic approvals matched based on the transaction type and authorized dollar thresholds.
  - i. We compared the support within the HuskyBuy “Attachments” noting agreement.
  - ii. We noted 2 DVCA transactions that specified reimbursement to UConn Health in the “Entry Description” noting no exceptions.

#### Procedures:

- 8. For selected expenditures in Procedure 7 supported by a DI EDoc that specify “management fee” or “payroll allocation” in the Explanation field of the DI EDoc:
  - 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 EDoc to identify the Project ID and compare the Project ID to the backup document obtained in Procedure 8.a for agreement, excluding DI EDocs that specify “management fee” or “payroll allocation” for capital equipment as these do not have Project IDs.
  - c. Inspect the DI EDoc 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 8.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 8.a.

#### Results:

- 8. We identified 14 expenditures in Procedure 7 that were supported by a DI EDoc that specify “management fee” or “payroll allocation” was included in the explanation field of the DI EDoc.
  - a. We inspected the backup documents in the “attachments” section and identified the Project ID of the expenditure selected and compared the Project ID to the report obtained in Procedure 1 noting agreement.
  - b. We inspected the DI EDoc identifying the Project ID and compared the Project ID to the backup document obtained in Procedure 8.a noting agreement. DI EDocs that specified “management fee” or “payroll allocation” for capital equipment were excluded.
  - c. We inspected the DI EDoc identifying the amount shown for Project ID selected and compared the amount to the “management fee/payroll” amount shown in the backup document obtained in Procedure 8.a noting agreement. We mathematically checked the amount of the “management fee” or “payroll allocation” selected by multiplying the percentage and period expenses in the backup document that was obtained in 8.a.

# UNIVERSITY OF CONNECTICUT

## ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

### **Contract Testing**

#### Procedure:

1. Obtain a report of total UConn 2000 general obligation bond expenditures by project for Fiscal Year June 30, 2021 from UConn. To ensure completeness, this report will also include non-UConn 2000 funded expenditures for Fiscal Year June 30, 2021 on projects where any amount of UConn 2000 general obligation bond funded expenditures are present.

#### Result:

1. We obtained a report of total UConn 2000 general obligation bond expenditures by project for Fiscal Year 2021 from UConn. This report included non-UConn 2000 funded expenditures for Fiscal Year June 30, 2021 on projects where any amount of UConn 2000 general obligation bond funded expenditures were present.

#### Procedure:

2. From the report obtained in Procedure 1, select all projects, including capital equipment groups/projects, with total fiscal year expenditures greater than \$500,000 that were not audited or examined in a prior fiscal year.

#### Result:

2. Using the report obtained in Contracts Procedure 1, all projects including capital equipment groups/projects with total fiscal expenditures greater than \$500,000 that were not audited or examined in a prior fiscal year were selected. See Appendix A for further detail of the projects selected.

#### Procedure:

3. For construction projects selected in Procedure 2, obtain the Board of Trustees ("BoT") budget approval from UConn.

#### Result:

3. For the projects selected in Contracts Procedure 2, we obtained evidence of the BoT budget approval from UConn.

#### 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.



## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

Result:

4. For each of the projects identified in Procedure 2, we obtained a CAR or POA noting no exceptions.

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.

Result:

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

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.

Result:

6. We inspected the CAR, ACR or EWA for the Vendor, Project Name and Project ID and compared the attributes to the report obtained in Contracts Procedure 1 for agreement without exception.

Procedure:

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.

Result:

7. We inspected the CAR, ACR or EWA for authorizations and compared the authorizations to the list of approved authorizers or their authorized designees provided by UConn for agreement based on approval dollar thresholds without exception.

Procedure:

8. Obtain the executed contract and President's Contract Signing Authority Delegation letter. For projects selected in Procedure 4, 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.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

#### Results:

8. We obtained the executed contract and President's Contract Signing Authority Delegation letter. For projects selected in Contracts Procedure 4 we performed the following:
  - a. Inspected the executed contract and identified the title of the person who signed the owner's authorization and compared that signature to the President's Contract Signing Authority Delegation letter for agreement based on approval dollar thresholds without exception.
  - b. Inspected the executed contract observing the Contractor signature line had been signed by the Contractor without exception.

#### Procedures:

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 EDoc 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:

9. We inspected the executed contracts, identifying the initial contract amount and compared the amount to the initial KFS purchase order noting agreement.
  - a. We did not identify any differences in excess of \$5.00.
  - b. We mathematically added all amounts designated as "Allocated", "Obligated" and/or "Future Funding" to the PO amount and compared the result to the initial contract amount identified in the executed contract without exception.

#### Procedure:

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

#### Result:

10. For the projects selected in Contracts Procedure 4, we obtained a CO Analysis report from UConn for the 11 projects.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

#### Procedures:

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 Procedures 11.a and 11.b.
  - 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 EDoc 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.

#### Result:

11. For the projects selected in Contracts Procedure 10, we inspected the CO Analysis and identified the total amount of the contract. We then compared the amount identified in the CO Analysis to the PO total in the Purchase Order screen in KFS as of the date of the analysis. The identified amount from the CO Analysis did not exceed the total from the Purchase Order screen, therefore Procedures 11.a and 11.b were not required.

#### Procedure:

12. From the CO Analysis, select all change orders greater than \$100,000 where the Purchase Order Revision within HuskyBuy was fully approved in the fiscal year under review. For projects without any change orders greater than \$100,000, select the highest dollar value change order fully approved within HuskyBuy in the fiscal year under review.

#### Result:

12. From the CO Analysis, we selected all change orders greater than \$100,000 where the Purchase Order Revision within HuskyBuy was fully approved in the fiscal year under review. For projects without any change orders greater than \$100,000, we selected the highest dollar value change order that was fully approved within HuskyBuy for the fiscal year ended June 30, 2021 resulting in 52 change orders. No exceptions noted. See Appendix B for listing of change orders selected.

#### Procedure:

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

#### Result:

13. For change orders selected in Procedure 12, we obtained the ACR and/or EWA and executed change order documents from KFS, HuskyBuy and/or Unifier without exception.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

Procedure:

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

Result:

14. We inspected executed change orders to identify the Vendor, Project Name, Project ID and Amount and compared the attributes to the ACR and/or EWA for agreement noting no exceptions in excess of \$5.00.

For Procedures 15 through 19, 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.

Procedure:

15. Inspect the executed change order documentation to identify the prime contractor markups used for insurance, bonds, and overhead and profit, if applicable, and compare the percentages to the executed contract for agreement.

Result:

15. We inspected the executed change order documentation and identified the prime contractor markups used for insurance, bonds, and overhead and profit (if applicable), and compared the percentages to the executed contract for agreement. No exceptions noted.

Procedure:

16. Inspect the executed change order documentation to identify the subcontractor markups used for insurance, bonds, and overhead and profit, if applicable, and compare the percentages to the executed contract for agreement.

Result:

16. We inspected the executed change order documentation to identify the subcontractor markups for insurance, bonds and overhead and profit (if applicable) and compared the percentages to the executed contract for agreement. No exceptions noted.

## UNIVERSITY OF CONNECTICUT

### ***Agreed-Upon Procedures: UConn 2000 Infrastructure Program as Required by Sec. 10a-109z of the Connecticut General Statutes***

Procedure:

17. Inspect the executed change order documentation to identify the labor rates utilized within the change order and compare to the approved rates.

Result:

17. We inspected the executed change order documentation and identified the labor rates utilized within the change order and compared to the approved rates.

Procedure:

18. 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.

Result:

18. We inspected the ACR and/or EWA for authorizations and compared them to the list of approved authorizers or their authorized designees provided by UConn and determined authorizations agreed based on approval dollar thresholds.

Procedure:

19. Mathematically check the amount of the change orders.

Result:

19. We mathematically checked the amount of the change orders for accuracy and no exceptions were noted.

## Appendix A

### University of Connecticut - FY21 UConn 2000 AUP Population: Expenditure and Contract Testing

| <b>UConn 2000 Construction Projects (Storrs, Regionals and UConn Health Named Projects) With Over \$500K In Expenditures</b> |   |                                |                                     |
|--|---|--------------------------------|-------------------------------------|
| Project Name   | UConn 2000 Expenditures in Defined Population | UConn 2000 Tested Expenditures | Contract Testing - Initial Contract |
| Academic & Research Facilities - Gant Building Renovations - STEM  | \$ 38,433,117                                 | \$ 36,261,313                  | Tested in FY21                      |
| Academic & Research Facilities - Homer Babbidge Library Renovation   | 3,396,774                                     | 3,087,936                      | Tested in FY21                      |
| Academic & Research Facilities - STEM Research Center Science 1  | 30,493,142                                    | 28,906,912                     | Tested in FY21                      |
| Boiler Plant Equipment Replacement and Utility Tunnel Connection   | 7,765,410                                     | 6,425,671                      | Tested in FY21                      |
| CUP Equipment Replacement and Pumping Improvements   | 1,252,248                                     | 1,029,522                      | Tested in Prior Year                |
| Fine Arts Phase II - Renovation & Improvements   | 3,119,262                                     | 2,969,334                      | Tested in Prior Year                |
| Northwest Quad - Science 1 - Site Improvements & Tunnel Phase II   | 15,470,916                                    | 14,077,799                     | Tested in FY21                      |
| Northwest Science Quad Supplemental Utility Plant  | 15,551,017                                    | 13,964,071                     | Tested in FY21                      |
| Public Safety Building Improvements  | 931,969                                       | 804,223                        | Tested in FY21                      |
| Res Life Facilities - Hicks and Grange Student Room Renovation   | 1,095,216                                     | 943,276                        | Tested in FY21                      |
| South Campus Commons Landscape & Pedestrian Improvement Plan   | 2,460,293                                     | 2,135,124                      | Tested in FY21*                     |
| South East Campus Infrastructure   | 523,896                                       | 368,140                        | Tested in Prior Year                |
| Stamford Campus Garage - Demolition  | 702,758                                       | 518,746                        | Tested in Prior Year                |
| Stamford Campus Surface Parking Lot  | 610,979                                       | 411,151                        | Tested in Prior Year                |
| UCHC New Construction & Renovation - Clinic Building   | 2,254,927                                     | 2,165,451                      | Tested in Prior Year                |
| UConn 2000 Code Remed - Stamford Downtown Relocation   | 1,292,694                                     | 362,150                        | Tested in FY21                      |
| University Athletic District Development (a.k.a. Stadia)   | 8,605,209                                     | 7,246,469                      | Tested in FY21                      |
|  | \$ 133,959,828                                | \$ 121,677,289                 |                                     |

\* Project had two phases: Phase 1 was completed in FY17 and Phase 2 was completed in FY21. The Phase 1 contract was tested in FY17; therefore, FY21 contract testing was limited to the Phase 2 contract.

| <b>UConn 2000 Capital Equipment Initiatives (Storrs and Regionals) and UConn Health Capital Equipment Initiatives &amp; Deferred Maintenance Projects With Over \$500K In Expenditures</b> |   |                                |   |
|--|---|--------------------------------|---|
| Project Name   | UConn 2000 Expenditures in Defined Population | UConn 2000 Tested Expenditures | Note: Equipment Not Subject to AUP Contract Testing |
| Academic Capital Equipment   | \$ 3,141,487                                  | \$ 2,293,868                   |   |
| ITS Capital Equipment  | 2,758,277                                     | 697,761                        |   |
| Public Safety Capital Equipment  | 581,456                                       | 47,348                         |   |
| UCH Capital Equipment  | 786,938                                       | 786,938                        |   |
| UCH Deferred Maintenance   | 507,671                                       | 507,671                        |   |
| Wired Access Layer (ITS) - Phase 2   | 2,133,856                                     | 1,357,286                      |   |
| Wired Access Layer (ITS) - Phase I   | 1,162,512                                     | 407,941                        |   |
|  | \$ 11,072,196                                 | \$ 6,098,813                   | Not in Scope for FY21                               |

## Appendix A

### University of Connecticut - FY21 UConn 2000 AUP Population: Expenditure and Contract Testing

| <b>Summary of FY21 UConn 2000 AUP Testing</b>  |             |
|--|-------------|
| Total UConn 2000 FY21 Expenditures: \$   | 152,817,711 |
| UConn 2000 Expenditures in Defined Population: \$                                    | 145,032,023 |
| UConn 2000 Expenditures Excluded from Defined Population**: \$                       | 7,785,688   |
| UConn 2000 Expenditures Tested: \$   | 127,776,102 |
| Percent of UConn 2000 Expenditures Tested of the Total UConn 2000 FY21 Expenditures: | 84%         |
| Percent of UConn 2000 Expenditures Tested of the UConn 2000 Defined Population:      | 88%         |
| Number of Expenditure Transactions Tested - UConn 2000 Funded:                       | 183         |
| Number of Expenditure Transactions Tested - All Fund Sources:                        | 196         |
| Number of UConn 2000 Initial Contracts Tested:                                       | 11          |

\*\* Value represents aggregated costs on projects with less than \$500,000 of current fiscal year expenditures. Population for AUP expenditure testing is defined in Expenditure Testing Procedures 1-3.

## Appendix B

### University of Connecticut - FY21 UConn 2000 AUP Population: Change Order Testing

|   |
|---|
| <b>UConn 2000 Construction Projects (Storrs, Regionals and UConn Health Named Projects): FY21 Change Orders Tested In Accordance With Contract Testing Procedure 12</b> |
|---|

| Project Name   | Contractor Name                           | Original Contract Value | Change Order Number | Change Order Value |
|--|---|-------------------------|---------------------|--------------------|
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Pre-Con)      | \$ 199,254              | 4                   | \$ 91,019          |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 44                  | 120,973            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 50                  | 185,771            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 52                  | 176,602            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 55                  | 260,697            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 57                  | 363,173            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 58                  | 287,092            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 62                  | 191,832            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 67                  | 126,330            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 1 GMP)  | 54,232,023              | 68                  | 121,411            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 2 GMP)  | 51,138,753              | 5                   | 288,181            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 2 GMP)  | 51,138,753              | 11                  | 103,529            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 2 GMP)  | 51,138,753              | 17                  | 137,457            |
| Academic & Research Facilities - Gant Building Renovations - STEM  | Whiting-Turner Contracting (Phase 2 GMP)  | 51,138,753              | 25                  | 125,676            |
| Academic & Research Facilities - Homer Babbidge Library Renovation | Downes Construction Co, LLC               | 3,692,379               | 3                   | 103,012            |
| Academic & Research Facilities - STEM Research Center Science 1    | Dimeo Construction Company                | 134,475,210             | 3                   | 163,600            |
| Beach Hall Lab Renovations   | Sarazin General Contractors               | 3,181,500               | 7                   | 19,726             |
| Boiler Plant Equipment Replacement and Utility Tunnel Connection   | Bond Brothers Inc. (Pre-Con)              | 588,097                 | 1                   | 108,027            |
| Boiler Plant Equipment Replacement and Utility Tunnel Connection   | Bond Brothers Inc (GMP Pkg 1)             | 9,200,050               | 2                   | 1,526,846          |
| Boiler Plant Equipment Replacement and Utility Tunnel Connection   | Bond Brothers Inc (GMP Pkg 1)             | 9,200,050               | 4                   | 114,924            |
| Campus Wayfinding Improvements                                     | Sign Pro Inc                              | 800,000                 | 3                   | 12,500             |
| CUP Equipment Replacement and Pumping Improvements                 | Bond Brothers Inc (GMP)                   | 13,579,339              | 6                   | 112,711            |
| Exigent Repair - Replacement of Steam & Cond Piping                | Bond Brothers Inc                         | 1,508,322               | 2                   | 37,635             |
| Exigent Repair - Replacement of Steam & Cond Piping                | Environmental Systems Corp                | 244,980                 | 1                   | 65,087             |
| Fine Arts Phase II - Renovation & Improvements                     | Whiting-Turner Contracting Co             | 25,981,811              | 19                  | 67,293             |
| Fine Arts Phase II - Renovation & Improvements                     | Whiting-Turner Contracting Co (GMP Amend) | 1,887,767               | 4                   | (100,666)          |
| Gampel Pavilion Dome Ceiling and Roof Repair                       | Downes Construction (GMP)                 | 7,523,870               | 6                   | (162,344)          |
| Main Campus Parking Replacements                                   | CJ Fucci Inc                              | 6,070,357               | 17                  | 14,889             |
| Northwest Quad - Science 1 - Site Improvements & Tunnel Phase II   | Dimeo (GMP)                               | 35,124,612              | 2                   | 273,316            |
| Northwest Science Quad Supplemental Utility Plant                  | Bond Brothers Inc. (GMP)                  | 51,377,284              | 2                   | 196,090            |
| Public Safety Building Improvements                                | Sarazin General Contractors, Inc.         | 5,546,000               | 1                   | (70,000)           |
| Res Life Facilities - Hicks and Grange Student Room Renovation     | Scope Construction Co/ In.                | 1,339,000               | 1                   | 5,422              |
| School of Business - Roof Repairs                                  | Silktown Roofing Inc.                     | 333,055                 | 3                   | 35,255             |
| South Campus Commons Landscape & Pedestrian Improvement Plan       | Milton C Beebe & Sons Inc                 | 2,516,623               | 6                   | (107,292)          |
| South East Campus Infrastructure                                   | Whiting-Turner Construction Co            | 3,940,933               | 10                  | (75,428)           |
| Stamford Campus Garage - Demolition                                | Standard Demo Services Inc                | 4,137,500               | 6                   | 491,897            |
| Stamford Campus Surface Parking Lot                                | Giordano Construction Co Inc              | 2,990,000               | 3                   | 186,928            |
| Student Recreation Center  | Turner Contracting Co                     | 299,000                 | 51                  | 46,075             |
| UHC New Construction & Renovation - Clinic Building                | Fusco Corp (GMP)                          | 66,137,795              | 32                  | 240,063            |



## Appendix B

### University of Connecticut - FY21 UConn 2000 AUP Population: Change Order Testing

**UConn 2000 Construction Projects (Storrs, Regionals and UConn Health Named Projects): FY21 Change Orders Tested In Accordance With Contract Testing Procedure 12**

| Project Name   | Contractor Name                      | Original Contract Value | Change Order Number | Change Order Value |
|--|--------------------------------------|-------------------------|---------------------|--------------------|
| UConn 2000 Code Remed - Northwest Residence Halls        | Zlotnick Construction, Inc.          | 268,324                 | 1                   | 18,166             |
| UConn 2000 Code Remed - Stamford Downtown Relocation     | Daniel O'Connells Sons Inc (Phase 1) | 522,856                 | 3                   | (71,999)           |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 16                  | 234,411            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 18                  | 163,264            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 20                  | 303,392            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 21                  | 204,422            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 22                  | 529,485            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 24                  | 209,120            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 25                  | 110,096            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 26                  | 162,900            |
| University Athletic District Development (a.k.a. Stadia) | Daniel O'Connells Sons Inc (GMP)     | 64,051,329              | 27                  | 105,457            |
| University Dams Evaluation and Restoration               | Milton C Beebe & Sons, Inc.          | 133,222                 | 1                   | (5,256)            |
| Wired Access Layer (UPDC) - Phase I                      | Sarazin General Contractors, Inc.    | 174,500                 | 1                   | 1,429              |

**Number of Change Orders Tested: 52**