

UConn

UNIVERSITY OF CONNECTICUT

Board of



TRUSTEES

VOL. 234 FEBRUARY 22, 2023

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

AGENDA

University of Connecticut
Wilbur Cross Building
North Reading Room (109)
233 Glenbrook Road
Storrs, Connecticut

February 22, 2023

Public Streaming Link (with live captioning):

<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 **9:00 a.m.**

1. Public Participation*

* Individuals who wish to speak during the Public Participation portion of the Wednesday, February 22, meeting must do so in person and sign up 24 hours in advance of the meeting's start time (i.e., 9:00 a.m. on Tuesday, February 21) by emailing boardoftrustees@uconn.edu. Speaking requests must include a name, topic, and affiliation with the University (i.e., student, employee, member of the public). Per the University By-Laws, the Board may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Board via boardoftrustees@uconn.edu, and all comments will be transmitted to the Board.

2. Chairman's Report

(a) Matters outstanding

(b) Minutes of the meeting of December 7, 2022

(c) Consent Agenda Items:

- | | |
|---|----------------|
| (1) Contracts and Agreements | (Attachment 1) |
| (2) Transfer of University Property to Quentin Kessel | (Attachment 2) |
| (3) Project Budget (Final) for Branford House Exterior Repairs, Phases 1 & 2 | (Attachment 3) |
| (4) Project Budget (Design) for the UConn Health Transitional Nursery Renovation | (Attachment 4) |
| (5) Project Budget (Final) for the UConn Health, Health Information Management (HIM) Workplace Improvements | (Attachment 5) |
| (6) Project Budget (Revised Final) for the UConn Health Road Parking Lot Paving | (Attachment 6) |

- (7) Tenure at Hire (Attachment 7)
- (8) Designation of Emeritus Status (Attachment 8)
- (9) Sabbatical Leave Recommendations (Attachment 9)
- (10) Reappointment of Professor Heather Elliott-Famularo as the Donna Krenicki Professor in Design and Digital Media in the School of Fine Arts (Attachment 10)
- (11) Appointment of Professor Anne Dailey to the Ellen Ash Peters Professorship in the School of Law (Attachment 11)
- (12) Bachelor of Science in Financial Technology in the School of Business (Attachment 12)
- (13) Bachelor of Science in Data Science and Engineering in the School of Engineering (Attachment 13)
- (14) Master of Science in Environmental Earth Sciences in the College of Liberal Arts and Sciences (Attachment 14)
- (15) Licensed Professional Counselor (LPC) Certificate (Attachment 15)
- (16) Naming Recommendation for the Gladstein Family Human Rights Institute (Attachment 16)
- (17) Naming Recommendation for the Boucher Management & Entrepreneurship Department in the School of Business (Attachment 17)
- (18) Policy on Board of Trustees Conflict of Interest (Attachment 18)
- (19) Policy on Instruction and Training for Newly Appointed and Elected Members of the Board of Trustees (Attachment 19)
- (20) Appointment of Board Representative to the Connecticut Agricultural Experiment Station Board of Control (Attachment 20)

3. President's Report

4. Academic Affairs Committee Report

(a) Report on Committee activities

(b) Community Engagement Presentation

Presenter: Rachel J. O'Neill, Board of Trustees Distinguished Professor
Director, Institute for Systems Genomics

5. Financial Affairs Committee Report

(a) Report on Committee activities

(b) Presentation: Budget Update

Presenter: Jeffrey Geoghegan, Executive Vice President for Finance
and Chief Financial Officer for UConn and UConn Health

6. UConn Health Report
 - (a) Report on UConn Health activities
7. Joint Audit and Compliance Committee Report
 - (a) Report on Committee activities
8. Buildings, Grounds and Environment Committee Report
 - (a) Report on Committee activities
9. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
10. Student Life Committee Report
 - (a) Report 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 on Compensation Report
 - (a) Report on Committee activities
14. Committee for Research, Entrepreneurship and Innovation Report
 - (a) Report on Committee activities
15. Other business
16. Executive Session anticipated
17. Adjournment

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

ATTACHMENT 1

**CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 22, 2023**

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.*

WASTEWATER PIPING MAINTENANCE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Purpose	CT Based	S/MBE
1	VMS Construction Company	SK080522	\$2,500,000	03/01/23-02/28/28	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	University contract to conduct maintenance services on all University sewer collection systems at all University campuses. Services include testing, inspection and repairs to the aging wastewater systems. Contract was awarded as a result of a public solicitation. Contract is presented for full five year term. Zero extension remain.		

PROCUREMENT - AMENDMENTS* FOR APPROVAL

ARCHITECTURAL & ENGINEERING SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
2	BVH Integrated Services, P.C.	902040	\$4,500,000; [Contract Value Previously \$16,199,062; Total New Contract Value \$20,699,062]	11/05/15-11/04/25	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$17,402,817	\$2,165,429	\$1,884,944	Utility framework consulting services and utility engineering services for Storrs campus master planning and on a project-by-project basis. Amend to increase contract \$4,500,00, for total new contract value of \$20,699,062. Contract term remains the same. Zero extensions remain. Contract value increase is requested to support projects (300174) Mirror Lake Improvements, (300241) South Campus Infrastructure, (300247) Steam Vault B4, (902035) Utility GIS Upgrades.	X	

EMPLOYMENT SERVICES, TEMPORARY

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
3	Murphy Security Service LLC	17PSX0001	\$0; [Contract Value Previously \$1,279,120; Contract Value Remains the Same]	07/19/17-06/30/23	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$1,174,224	\$166,221	\$154,091	Security personnel services for all University campuses. Amend to extend contract term six months, through 06/30/23. Contract value remains the same. Sourced through a State of Connecticut contract. Future extensions may be exercised by agreement of the parties prior to termination or expiration of the contract. Contract extension is requested to remain aligned with terms of State contract so departments can continue to utilize services provided under this agreement.	X	
4	United Security	17PSX0001	\$0; [Contract Value Previously \$1,264,083; Contract Value Remains the Same]	07/19/17-06/30/23	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$1,174,224	\$143,709	\$155,899	Security personnel services for all University campuses. Amend to extend contract term six months, through 06/30/23. Contract value remains the same. Sourced through a State of Connecticut contract. Future extensions may be exercised by agreement of the parties prior to termination or expiration of the contract. Contract extension is requested to remain aligned with terms of State contract so departments can continue to utilize services provided under this agreement.	X	

**CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 22, 2023**

FIRE ALARM SYSTEM ALTERATIONS												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
5	Johnson Controls LP	LM101118-1	\$500,000; [Contract Value Previously \$990,000; Total New Contract Value \$1,490,000]	03/01/19-02/28/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$704,518	\$371,577	\$124,538	Fire alarm system alteration services for all University campuses. Amend to increase contract value \$500,000, for total new contract value of \$1,490,000. Amend to extend contract term one year, through 02/28/24. Zero extensions remain. Increase is requested to fund contract through remainder of contract term and exercise remaining extension option. The requested increase is for additional repairs, moves and upgrading of existing fire alarm systems at various University campuses.		
FIRE ALARM SYSTEM TESTING, INSPECTION AND REPAIR												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
6	Siemens Industry, Inc.	LM020117-1	\$700,000; [Contract Value Previously \$3,000,000; Total New Contract Value \$3,700,000]	07/01/17-06/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$2,474,13	\$513,573	\$524,896	Testing, inspection and repair services for fire alarm systems on all University campus, excluding UCH. Amend to increase contract value \$700,000, for total new contract value of \$3,700,000. Contract term remains the same. Zero extensions remain. Increase is requested to fund contract through remainder of current term. Contract pricing has been revised to reflect additional locations (i.e. Student Rec Center, the Waterbury Campus, and Hosmer Hall at the law School). Additionally increase is requested to cover a cost increase due to a 4% rate increase.		
HVAC SERVICES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
7	Johnson Controls	070121-JHN	\$2,500,000; [Contract Value Previously \$750,000; Total New Contract Value \$3,250,000]	08/12/21-08/12/25	Multiple Sources	Michael Jednak, AVP Facilities Operations & Building Services	\$442,258	\$0	\$0	HVAC system installation, services and repairs for all University campuses. Amend to increase contract value \$2,500,00, for total new contract value of \$3,250,000. Contract term remains the same. Sourced through a Sourcewell Consortia Agreement. Future extensions may be exercised at the discretion of the Consortia. Contract value increase is requested to cover service maintenance of the York chillers and steam turbines through the remainder of the contract term. Johnson Controls is certified and the owner of York systems.		
INFORMATION TECHNOLOGY, HARDWARE, SOFTWARE AND ACCESSORIES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
8	Apple	13PSX0280	\$1,000,000; [Contract Value Previously \$6,704,676; Total New Contract Value \$7,704,676]	10/01/15-07/31/23	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$5,736,744	\$1,244,613	\$1,451,055	Apple equipment, products and services for all University campuses. Amend to increase contract value by \$1,000,000, for total new contract value of \$7,704,676. Amend to extend contract term five months, through 07/31/23. Sourced through a State of Connecticut contract. Future extensions may be exercised at the discretion of the State. An increase of \$1,000,000 is requested by ITS to cover the costs of the refresh of hardware (i.e. computers, monitors, etc.) for various University departments. An extension of five months is requested to remain aligned with the term under the State's agreement.		

**CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 22, 2023**

INFORMATION TECHNOLOGY, HARDWARE, SOFTWARE AND ACCESSORIES (Continued)											CT Based	S/MBE
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose		
9	AssetWorks, Inc.	UC-MF111915	\$150,000; [Contract Value Previously \$3,315,216; Total New Contract Value \$3,465,216]	12/07/16-11/30/26	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$1,707,713	\$228,830	\$223,109	Operating system, network, security hardware, and services for all University campuses. Amend to increase contract value by \$150,000, for total new contract value of \$3,465,216. Contract term remains the same. Zero extensions remain. Contract value increase is requested to cover a new module to AssetWorks. The module will replace an existing application that was developed by internal resources and will significantly reduce the administrative overhead in processing requests for Facilities Operations.		
10	ePlus Technology, Inc.	UC-16-SF071116-G	\$5,000,000; [Contract Value Previously \$8,315,216; Total New Contract Value \$13,315,216]	12/07/16-11/30/26	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$7,862,395	\$311,711	\$1,420	Operating system, network, security hardware, and services for all University campuses. Amend to increase contract value by \$5,000,000, for total new contract value of \$13,315,216. Contract term remains the same. Contract value increase is requested to cover large projects anticipated in the coming year (i.e. Wired Access Layer Refresh Program - WALR and/or voice over IP - VOIP), as well as typical average spend.		
11	Presidio Holdings, Inc.	UC-16-SF071116-J	\$5,000,000; [Contract Value Previously \$11,450,000; Total New Contract Value \$16,450,000]	05/26/17-05/25/26	Multiple Sources	Michael Mundrane, Vice President and Chief Information Officer	\$7,921,530	\$1,584,515	\$1,926,611	Operating system, network, security hardware, and services for all University campuses. Amend to increase contract value by \$5,000,000, for total new contract value of \$16,450,000. Contract term remains the same. Zero extensions remain. Contract value increase is requested to cover large projects anticipated in the coming year (i.e. Wired Access Layer Refresh Program - WALR and/or voice over IP - VOIP), as well as typical average spend.		
12	PageUp People Limited	UC-18-JL041217	\$0; [Contract Value Previously \$2,200,000; Contract Value Remains the Same]	06/01/18-05/31/26	Multiple Sources	Christopher Delello, AVP & Chief Human Resources Officer	\$891,567	\$143,500	\$143,500	Employee recruiting and onboarding software for all University campuses. Amend to extend contract term three years, through 05/31/26. Contract value remains the same. Extensions are perpetual by agreement. Contract extension is requested to support the software renewal of for the recruiting and onboarding system.		
13	The Cbord Group, Inc.	3331	\$500,000; [Contract Value Previously \$950,000; Total New Contract Value \$1,450,000]	10/28/18-10/11/26	Multiple Sources	Michael Gilbert, Vice President of Student Affairs	\$954,102	\$202,841	\$161,748	Platform used by One Card Office providing card and credentials for all University campuses. Amend to increase contract value by \$500,000, for total new contract value of \$1,450,000. Amend to extend contract term three years, through 10/11/26. Zero extensions remain. Contract value increase is requested to support system upgrade to be completed during FY23 as well as anticipated expenses during the remainder of the new contract term.		

JANITORIAL SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
14	Building Maintenance Enterprises, LLC	LM110119	\$1,000,000; [Contract Value Previously \$12,500,000; Total New Contract Value \$13,500,000]	01/01/21-06/30/25	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	\$5,309,527	\$2,660,545	\$1,213,202	Janitorial services for all campuses. Amend to increase contract value \$1,000,000, for total new contract value of \$13,500,000. Contract term remains the same. Five extensions of one year each remain. In addition to a change in scope of services, the contract increase is requested to supplement current staffing levels, as needed, to ensure workload is covered.	X	X
15	C&W Services	LM120119	\$12,000,000; [Contract Value Previously \$31,000,000; Total New Contract Value \$43,000,000]	07/01/20-06/30/26	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	\$16,111,914	\$6,860,662	\$5,502,845	Janitorial services for the Storrs and Depot Campuses. Amend to increase contract value \$12,000,000, for total new contract value of \$43,000,000. Amend to extend contract term one year, through 06/30/26. Four extensions of one year each remain. Contract increase is requested to cover the additional expense due to the one year extension and the addition of several new locations (e.g., Hockey Arena, Student Rec Center, Science 1 building, and Supplemental Utilities Building).		

**CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 22, 2023**

LAUNDRY EQUIPMENT, PARTS, AND SERVICES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
16	Swiss Laundry of Rockville, Inc.	UC-KA040618-8A	\$50,000; [Contract Value Previously \$1,289,544; Total New Contract Value \$1,339,544]	09/13/18-08/31/23	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$1,153,231	\$271,147	\$254,058	Uniform purchases and rentals of fire retardant (FR) garments, laundering, dry-cleaning and other applicable services (i.e. pickup, drop-off, and alterations, lab coat purchases and laundering services) for all University campuses. Amend to increase contract value \$50,000, for total new contract value of \$1,339,544. Contract term remains the same. One extension of one year remains. Increase is requested to cover anticipated expenses during remainder of contract term.	X	X
17	Yankee Equipment Systems, Inc.	UC-16-KA0513158	\$556,118; [Contract Value Previously \$643,882; Total New Contract Value \$1,200,000]	08/12/15-06/30/23	Multiple Sources	Michael Jednak, AVP Facilities Operations & Building Services	\$643,882	\$83,385	\$43,579	Laundry equipment for all residential living spaces. Amend to increase contract value \$556,118, for total new contract value of \$1,200,000. Contract term remains the same. Increase is requested due to a large purchase pending to replace existing washers and dryers in residential areas. A new solicitation is in process to establish a new contract effective 07/01/23.		
LONG TERM DISABILITY INSURANCE												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
18	Prudential Insurance Company of America	UC-15-JW051115	\$0; [Contract Value Previously \$6,631,055; Contract Value Remains the Same]	01/01/16-06/30/23	Multiple Sources	Christopher Delello, AVP & Chief Human Resources Officer	\$5,190,233	\$611,782	\$644,617	Long term disability for all University employees, including UCH, however, UCH utilizes a separate participating agreement under this contract. Amend to extend contract term three months, through 06/30/23. Contract value remains the same. Zero extensions remain. Contract term extension is requested to provide time for completion of a Request for Proposal, evaluation, and agreement execution.		
MATERIAL TESTING SERVICES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
19	Tri State Materials Testing Lab LLC	19PSX0223	\$950,000; [Contract Value Previously \$1,750,000; Total New Contract Value \$2,700,000]	03/01/20-03/01/25	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$1,695,131	\$362,364	\$148,747	For material testing services, including but not limited to: site inspection and sampling, laboratory testing, analysis of aggregates, concrete, soils, structural steel, mortar/grout, brick, asphalt paving materials, spray-on fireproofing, and caisson inspection; to be used on all UConn campuses as needed to provide project support. Amend to increase contract value \$950,000, for total new contract value of \$2,700,000. Contract term remains the same. Sourced through a State of Connecticut agreement. Future extensions may be exercised at the discretion of the State.	X	X
NATURAL GAS												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
20	Connecticut Natural Gas Corporation	6133-CNG	\$75,000,000; [Contract Value Previously \$67,000,000; Total New Contract Value \$142,000,000]	09/01/18-08/31/30	Operating Funds	Michael Jednak, Associate Vice President Facilities Operations & Building Services	\$57,382,564	\$13,050,738	\$10,423,607	Transportation element of our natural gas cost for the Central Utilities Plant and Cogeneration plants for the Storrs Campus. Amend to increase contract value \$75,000,000, for total new contract value of \$142,000,000. Amend to extend contract term seven years through 08/31/30. This term includes an initial extension of two years plus an option for five additional one-year extensions. The increase and extension are requested to cover the transportation element of our natural gas cost during the remainder of the contract term.		

**CONTRACT AGREEMENTS
FOR APPROVAL
FEBRUARY 22, 2023**

SECURITY SYSTEMS INFRASTRUCTURE HARDWARE												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
21	Siemens Industry, Inc.	LM110818-3	\$0; [Contract Value Previously \$1,450,000; Contract Value Remains the Same]	04/01/19-02/28/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$752,136	\$75,331	\$360,402	Security system infrastructure hardware installations, upgrades, relocation and repair services for all University campuses. Amend to extend contract term one year, through 02/28/24. Contract value remains the same. Zero extensions remain. Contract extension is requested to exercise final option under current agreement, utilizing current vendor who is certified to install various systems for the University.		

SPRINKLER ALTERATION SERVICES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
22	Encore Holding LLC dba Encore Fire Protection	UC-19-LM110518	\$250,000; [Contract Value Previously \$750,000; Total New Contract Value \$1,000,000]	03/01/19-02/28/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$552,824	\$229,609	\$2,615	Security system infrastructure hardware installations, upgrades, relocation and repair services for all University campuses. Amend to increase contract value \$250,000, for total new contract value of \$1,000,000. Amend to extend contract term one year, through 02/28/24. Zero extensions remain. Contract extension is requested to exercise final option under current agreement to allow for additional repairs, moves and upgrading of existing sprinkler systems throughout the University.		

TEMPORARY STAFF												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
23	HRH Consulting Group, a division of BRANY (Biomedical Research Alliance of New York)	MF100220	\$0; [Contract Value Previously \$1,693,000; Contract Value Remains the Same]	03/19/21-03/18/24	Operating Funds	Julie Schwager, AVP, Office of the Vice President for Research	\$904,919	\$488,600	\$16,319	Research compliance temporary staffing services for all University campuses. Amend to extend contract term one year, through 03/18/24. Contract value remains the same. One extension of two years remains. Extension is requested to support the OVPR office in the need to rely on HRP for consulting services and temporary staff assistance in the management of human subjects protection in research.		

WATER TREATMENT SERVICES												
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
24	Nalco Company LLC	KS052920-2	\$500,000; [Contract Value Previously \$650,000; Total New Contract Value \$1,150,000]	02/03/21-12/31/24	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	\$581,844	\$231,571	\$113,569	Water treatment services for all University campuses, except UCH. Amend to increase contract value \$500,000, for total new contract value of \$1,150,000. Amend to extend contract term one year, through 12/31/24. One extension of one year remains. Contract value increase is requested to cover additional expenses throughout the remainder of the contract term.		


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 LICENSOR											
No.	Licensee	Annual Amount Receivable	Term	Fund Source	Program Director	Purpose					
1	Alan & Susan Cyr	\$800.00, plus 5% annual escalation	05/01/23-04/30/28	Operating Fund - General	Indrajeet Chaubey, Dean and Director - College of Agriculture and Natural Resources	License Agreement for continued use of approximately 7 acres of pastureland on Bone Mill Road at the Depot Campus in Storrs. The term will be for five (5) years, and the fee will be paid in a lump sum. This agreement may be terminated by either party upon thirty (30) day written notice. Although this is a new license agreement, the user and CAHNR have a similar land use agreement for approximately 30 years.					

ATTACHMENT 2

February 22, 2023

TO: Members of the Board of Trustees 
FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer
RE: Transfer of University Property to Quentin Kessel

RECOMMENDATION:

That the Board of Trustees authorizes the Administration to enter into agreements and any other ancillary documents required to transfer to Quentin Kessel approximately 0.45 acres of University property on Moulton Road adjacent to Mr. Kessel's existing property for a price of Forty-Five Thousand Dollars (\$45,000.00).

RESOLUTION:

"Be it resolved that the Board of Trustees authorizes the Administration to enter into agreements and any other ancillary documents required to transfer to Quentin Kessel approximately 0.45 acres of University property on Moulton Road adjacent to Mr. Kessel's existing property."

BACKGROUND:

Quentin Kessel (the "Requestor") is the owner of a 2.1-acre single-family residential property located at 4 Moulton Road in Mansfield, and he has requested that UConn sell to him an immediately adjacent approximately 0.45-acre parcel of land with a barn that is presently owned by UConn.

In the 1960's, the Requestor's family sold approximately 120 acres of land to UConn. The current 4 Moulton Road property was created in the early 2000s when UConn divested/returned a 2.1-acre portion of the 120-acre parcel to the Requestor. This portion of the property contained the Requestor's original family house and the Requestor fully restored the home in 2016.

The additional 0.45-acre parcel proposed to be transferred includes an existing barn that was present on the property when UConn acquired the 120-acre parcel. This barn was used by UConn Facilities Operations for storage in the past, but at present is not in use and only has been minimally maintained. The Requestor desires to re-acquire the barn and rehabilitate it for personal use. The Requestor proposes to acquire the modest amount of land on which the barn is located so he can create a single parcel that includes the barn and house.

TRANSFER CONSIDERATIONS:

This disposition would require a lot line revision, rather than a subdivision, to separate the modest amount of land surrounding the barn from the approximately 120-acre UConn parcel. UConn will work with the Requestor and his counsel to properly document this transaction.

In exchange for the lot line revision, the Requestor will:

1. Pay UConn Forty-Five Thousand Dollars (\$45,000.00), which amount is supported by an appraisal;
2. Suitably restore the barn within 3 years of acquisition, which restoration shall be in accordance with those standards set forth by the State Historic Preservation Office; and
3. Place a suitable conservation restriction on the barn and single-family house.

UConn has no programmatic or conservation need for the 0.45 acres on which the barn is located, can vacate the barn without interfering with University operations, and has no plans to rehabilitate or reuse the barn.

**PROPERTY TRANSFER TO KESSEL
FEBRUARY 22, 2023
Board of Trustees**

Dashed line shows approximate area of land to be conveyed through a lot line adjustment.



ATTACHMENT 3

February 22, 2023

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for Branford House Exterior Repairs, Phases 1 & 2
(Final: \$800,000)

RECOMMENDATION:

That the Board of Trustees approves the Revised Final Budget of \$800,000 as detailed in the attached project budget, for the Branford House Exterior repairs, Phases 1 & 2, for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$800,000 in University Funds for Branford House Exterior Repairs, Phases 1 & 2 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:

This project involves repairing the building envelope of the historic, three-level, granite-masonry Gilded-Age manor at the Avery Point campus which is now leaking in multiple areas. Elements of the work include the following: repointing mortar joints; repairing/replacing granite masonry units, flashing, perimeter sealants, selective slate roof tile replacement, copper roof repairs, and copper gutter/downspout repairs. The work also incorporates repair of certain windows, including removal and reinstallation, new wood blocking, flashing and sealants.

This project has multiple phases. The sequence of work is dictated by the priority of repairs. Phase 1 was completed in August 2022. Phase 2 is anticipated to commence in the spring of 2023.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: BRANFORD HOUSE EXTERIOR REPAIRS, PHASES 1 & 2

<u>BUDGETED EXPENDITURE</u>	PHASE 1 PRC 7/1/2022	PROPOSED FINAL 2/22/2023
CONSTRUCTION	\$ 298,000	\$ 630,000
DESIGN SERVICES	74,000	97,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	-
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	-
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 372,000	\$ 727,000
PROJECT CONTINGENCY	28,000	73,000
TOTAL BUDGETED EXPENDITURES	\$ 400,000	\$ 800,000
<u>SOURCE(S) OF FUNDING*</u>		
UNIVERSITY FUNDS	\$ 400,000	\$ 800,000
TOTAL BUDGETED FUNDING	\$ 400,000	\$ 800,000

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

BRANFORD HOUSE EXTERIOR REPAIRS, PHASES 1 & 2
Project Budget (FINAL)
February 22, 2023





ATTACHMENT 4

UConn HEALTH

February 22, 2023

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

Jeffrey P. Geoghegan, CPA 
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Transitional Nursery Renovation
(Design: \$1,800,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$1,800,000 as detailed in the attached project budget for the UConn Health Transitional Nursery Renovation.

RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$1,800,000 from UConn Health Capital for the UConn Health Transitional Nursery 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 UConn Health Labor and Delivery currently uses a “rooming in” program where the mother and baby stay together during recovery and is served by a small satellite nursery that can accommodate 2 bassinets. This project would renovate space to create a 7 bassinet nursery along with an isolation area that can also serve as a transitional nursery for babies that require additional monitoring and care.

The Design Budget is attached for your consideration. The Design budget reflects current design estimates and may change as bids are received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on March 13, 2023.

Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

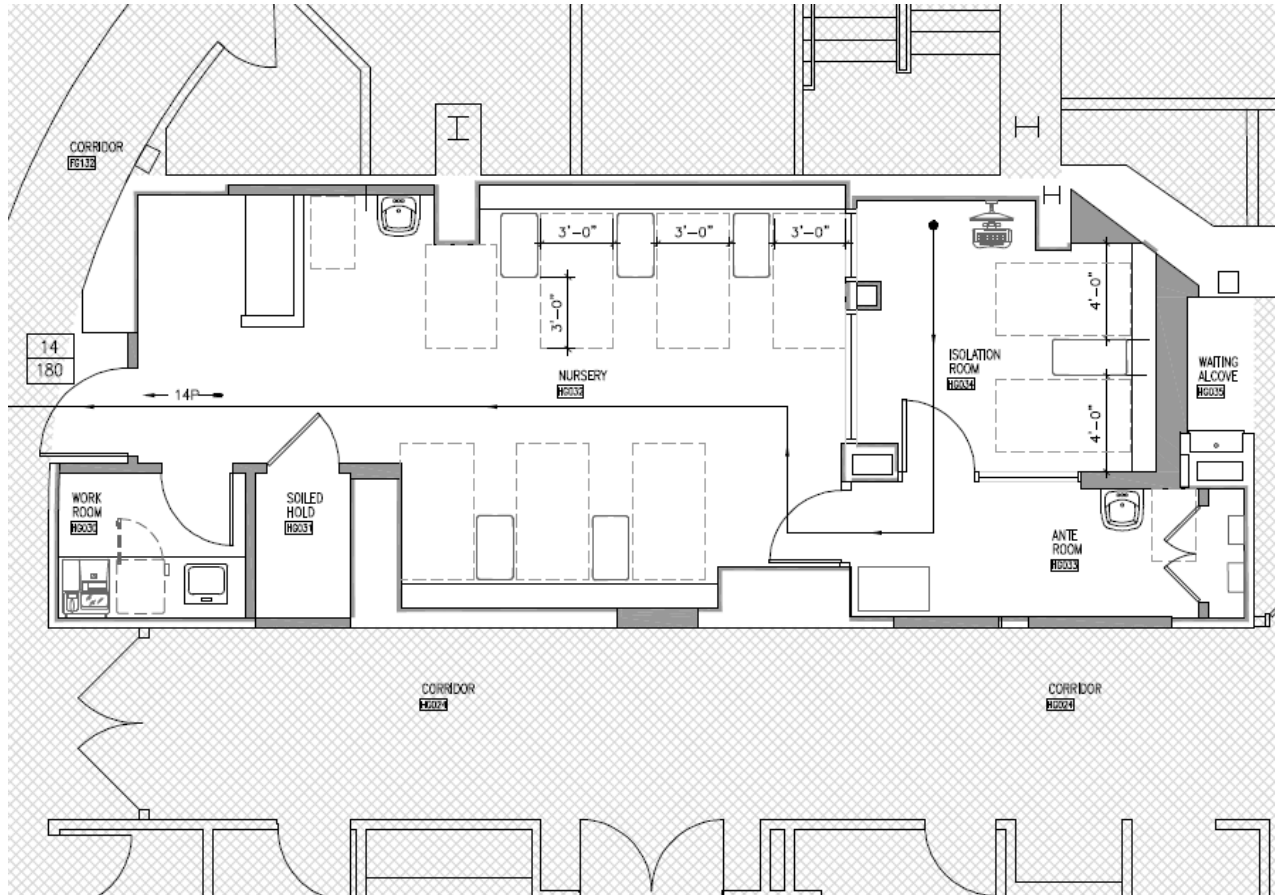
TYPE BUDGET: DESIGN

PROJECT NAME: UCONN HEALTH - TRANSITIONAL NURSERY RENOVATION

<u>BUDGETED EXPENDITURES</u>	<u>PROPOSED DESIGN 2/22/2023</u>
CONSTRUCTION	\$ 1,290,000
DESIGN SERVICES	105,000
TELECOMMUNICATIONS	5,000
FURNITURE, FIXTURES AND EQUIPMENT	170,000
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	-
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	-
SUBTOTAL	\$ 1,570,000
PROJECT CONTINGENCY	230,000
TOTAL BUDGETED EXPENDITURES	\$ 1,800,000
<u>SOURCE(S) OF FUNDING*</u>	
UCONN HEALTH CAPITAL FUNDS	1,800,000
TOTAL BUDGETED FUNDING	\$ 1,800,000

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

UCONN HEALTH/IMPROVEMENTS
UConn Health Transitional Nursery Renovation
Budget (Design) \$1,800,000
February 22, 2023



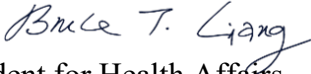
Conceptual Floor Plan


ATTACHMENT 5

UConn HEALTH

February 22, 2023

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

Jeffrey P. Geoghegan, CPA 
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health, Health Information Management (HIM)
Workplace Improvements (Final: \$763,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$763,000, as detailed in the attached project budget for the UConn Health HIM Workplace Improvements Project.

RESOLUTION:

“Be it resolved that the Board of Trustees approve of the use of \$763,000 of UCONN 2000 Phase III Deferred Maintenance Funds for the UConn Health HIM Workplace Improvements Project and; approve the request for a waiver of the three-stage budget approval process to allow construction to proceed based upon bids received which have been evaluated for conformance with the project scope and budget.”

BACKGROUND:

The Health Information Management (HIM) department at UConn Health maintains patient records of treatment of care. The transition to an electronic medical records system has changed the HIM workflow considerable. This project will renovate the outdated HIM workplace to improve operations.

The Final Budget is attached for your consideration. The Final budget is based on actual bids received. This Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on March 13, 2023.

Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCONN HEALTH - HIM WORKPLACE IMPROVEMENTS

<u>BUDGETED EXPENDITURES</u>	<u>PROPOSED FINAL 2/22/2023</u>
CONSTRUCTION	\$ 508,000
DESIGN SERVICES	50,000
TELECOMMUNICATIONS	35,000
FURNITURE, FIXTURES AND EQUIPMENT	66,000
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	2,000
ART	-
RELOCATION	2,000
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	-
SUBTOTAL	\$ 663,000
PROJECT CONTINGENCY	100,000
TOTAL BUDGETED EXPENDITURES	\$ 763,000
<u>SOURCE(S) OF FUNDING*</u>	
UCONN 2000 BOND FUNDS	763,000
TOTAL BUDGETED FUNDING	\$ 763,000

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

UCONN HEALTH/IMPROVEMENTS
UConn Health HIM Workplace Improvements
Project Budget (Final) \$763,000
February 22, 2023



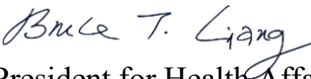
Proposed Floor Plan


ATTACHMENT 6

UConn HEALTH

February 22, 2023

TO: Members of the Board of Trustees

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

Jeffrey P. Geoghegan, CPA 
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health 16 Munson Road Parking Lot Paving
(Revised Final: \$1,615,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$1,615,000, 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 \$1,615,000 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. The project was put out to bid and subsequently cancelled due to the inability of bidders to meet the scheduled construction completion of the Fall of 2022. The project was rebid in November 2022 and resulted in savings.

The Revised Final Budget is attached for your consideration. The Revised Final budget is based upon actual bids received. This Revised Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on March 13, 2023.

Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

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

<u>BUDGETED EXPENDITURES</u>	<u>APPROVED PLANNING 12/8/2021</u>	<u>APPROVED DESIGN 6/29/2022</u>	<u>APPROVED FINAL 9/28/2022</u>	<u>PROPOSED REVISED FINAL 2/22/2023</u>
CONSTRUCTION	\$ 940,000	\$ 1,232,000	\$ 1,600,000	\$ 1,320,000
DESIGN SERVICES	113,000	77,000	77,000	77,000
TELECOMMUNICATIONS	-	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-	-
OTHER AE SERVICES (including Project Management)	-	-	-	5,000
ART	-	-	-	-
RELOCATION	-	-	-	-
ENVIRONMENTAL	-	-	-	-
INSURANCE AND LEGAL	-	-	-	-
MISCELLANEOUS	1,000	5,000	-	2,000
SUBTOTAL	\$ 1,054,000	\$ 1,314,000	\$ 1,677,000	\$ 1,404,000
PROJECT CONTINGENCY	106,000	131,000	253,000	211,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 1,160,000</u>	<u>\$ 1,445,000</u>	<u>\$ 1,930,000</u>	<u>\$ 1,615,000</u>
<u>SOURCE(S) OF FUNDING*</u>				
UCONN 2000 BOND FUNDS	\$ 1,160,000	\$ 1,445,000	\$ 1,930,000	\$ 1,615,000
TOTAL BUDGETED FUNDING	<u>\$ 1,160,000</u>	<u>\$ 1,445,000</u>	<u>\$ 1,930,000</u>	<u>\$ 1,615,000</u>

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

UCONN HEALTH/IMPROVEMENTS
UConn Health 16 Munson Road Parking Lot Paving
Project Budget (Revised Final) \$1,615,000
February 22, 2023



16 MUNSON ROAD PARKING LOTS

ATTACHMENT 7

UNIVERSITY OF CONNECTICUT
TENURE AT HIRE RECOMMENDATIONS
PRESENTED TO THE BOARD OF TRUSTEES - February 22, 2023

<u>NAME</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>
TENURE AS ASSOCIATE PROFESSOR		
<i>Effective July 29, 2022</i>		
Manuel, Jennifer		Social Work
<i>Effective January 1, 2023</i>		
Hadley Dunn, Alyssa	Curriculum and Instruction	Education
<i>Effective August 23, 2023</i>		
Gray, Sarah	Psychological Sciences	Liberal Arts and Sciences

ATTACHMENT 8

University of Connecticut Department of Human Resources
Emeritus Retirees
February 22, 2023 Board of Trustees Meeting

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE*</u>	<u>RETIRED</u>	<u>HIRED</u>
<i>Faculty meeting “automatic” criteria for emeritus status</i>					
Berger, Deborah Fein	Distinguished Professor	Psychological Sciences	CLAS	1/1/2023	9/1/1988
Berthelot, Anne	Professor	Literature, Cultures and Languages	CLAS	1/1/2023	10/30/1996
Bradford, Michael	Vice Provost	Dramatic Arts	Fine Arts	2/3/2023	8/23/2000
Bubela, Deborah J.	Assistant Professor in Residence	Kinesiology	CAHNR	7/1/22	4/29/2005
Bucklin, Ann C.	Professor	Marine Sciences	CLAS	1/1/2023	4/1/2005
Celestin, Roger	Professor	Literature, Cultures and Languages	CLAS	1/1/2023	9/1/1989
Yalof, David A.	Department Head and Professor	Political Science	CLAS	1/1/2023	8/23/1997
Schurin, Ronald C.	Associate Professor in Residence	Political Science	CLAS	2/1/2023	7/7/1997
<i>Recommendations from the Emeritus Committee</i>					
Gross, David	Lecturer	Mathematics	CLAS	6/1/2022	9/1/1994
Kochenberger, Peter	Associate Clinical Professor	Law	Law	7/1/2022	3/25/2004
Ratcliff, Kathryn	Assistant Professor	Sociology	CLAS	6/1/2019	9/1/1983

*Key

CAHNR – College of Agriculture, Health & Natural Resources

CLAS – College of Liberal Arts & Sciences

David Gross

Dr. Gross served as lecturer at UConn from 1995 to 2022, resulting in the longest continuous record of teaching and service in the mathematics department. Dr. Gross taught over 16 different courses, ranging from basic levels such as Math 1010 to advanced courses such as Math 3210 Abstract Linear Algebra. However, it is not only the number of courses he has taught, but his excellence in teaching them. Dr. Sengupta, head of the Math Department, describes him as an “absolutely dedicated teacher” who frequently met with students outside of classes for extended office hours. He also described Dr. Gross as the “most consulted instructor” in the Mathematics department, someone who new faculty and graduate teaching assistants went to for advice on teaching. Dr. Sengupta stated that he himself would go to Dr. Gross for instructional issues and questions more than to any other faculty member. Dr. Gross also served as major adviser to many hundreds of Mathematics majors. In addition, Dr. Gross continually worked to improve his teaching, attending 23 different CETL workshops.

At the department level, for more than 25 years, he led the Mathematics department’s undergraduate program in a range of different capacities. These roles include: Undergraduate Program Coordinator (1994-2010); Associate Department Head for the Undergraduate Program (2010-2015); Director of the Undergraduate Program (2015-2020); Director of Undergraduate Advising (2020-2022); longest serving member of the Undergraduate Program Committee Member (1994-2022). Across these many leadership roles, he was responsible for a large range of activities, including representing the department at external forums.

Beyond his roles at UConn, Dr. Gross has provided extensive service to the state and the profession. He served on the Connecticut Mathematics Advisory Council (CMAC), and a similar body, Mathematics Basic Skills Committee of Connecticut (MBSCC), for over two decades, including as co-chair and as chair of MBSCC. The CMAC is comprised of members from the mathematics departments of all the state public colleges, and serves as the key coordinating body, including comparing curricula and syllabi. He also served for three years on the Math Alignment and Transition Council, working to improve students’ math preparation at entry to state colleges and universities. Across all of these activities, he is providing input in the standards for college-level mathematics education across the state, thus contributing to UConn’s outreach and reputation across Connecticut. At the national level, Dr. Gross has maintained involvement across his career with professional forums. He regularly participated at national mathematics professional meetings, such as the Joint Mathematics Meetings.

Peter Kochenburger

Professor Kochenburger worked at UConn from 2004 through 2022. Professor Kochenburger has engaged in thought-provoking scholarship that has focused on various topics including, but not limited to, insurance regulation, big data, insurance and consumer protection, insurance and gun violence, cyber insurance, and insurance and climate change. His books, book chapters, and journal articles have also explored legal and public policy issues related to international, federal, and state insurance regulation and to insurance implications for autonomous vehicles. Perhaps most impactful is his groundbreaking book on cyber insurance., *The Dematerialized Insurance: Insurance Distance-Selling and Cyber Risks From an International Perspective*. Additionally, Professor Kochenburger has published eight law review articles or book chapters in flagship journals such as the Connecticut Law Review, European Insurance Law Review, and John Marshall Law Review. He maintained a highly active record of presentations in conferences, seminars and symposia and at professional organizations and bar associations in the United States and internationally. He spoke about issues as diverse as artificial intelligence, autonomous vehicles, cyber-insurance, compliance, COVID-19 litigation, discrimination, flood risks, gun control, and pet insurance. Thus, Professor Kochenburger has elevated UConn's reputation with his strong and consistent scholarship.

Professor Kochenburger has also engaged in impactful service to the profession and greater community that has been instrumental in promoting the School of Law and UConn as a whole. His professional appointments include the National Association of Insurance Commissioners (NAIC); Federal Advisory Committee on Insurance, U.S. Department of the Treasury; Connecticut Insurance Department Advisory Committee on Regulation where he serves as chair of the "Enabling Innovations" subcommittee; and the New York Department of Financial Services Consumer Protection Task Force. He is a frequent speaker and panelist at NAIC meetings, professional organizations including state and national bar associations, actuarial and compliance associations, and academic conferences. Professor Kochenburger is active on committees relevant to the practice of insurance law and often serves as an expert witness for insurance-related litigation and regulation matters, including retentions by the Connecticut State Attorneys' Office and the New York Attorney General's Office.

One of Professor Kochenburger's most impactful roles at UConn has been his contributions to the Insurance Law Center, the only Insurance Law LLM Program in the United States. He served as the Executive Director, and in this role, had extensive influence on the program internally through a number of responsibilities such as managing the comprehensive insurance law curriculum, hiring adjunct faculty, developing and organizing conferences and programs, and creating new courses and initiatives. He also worked to create new programs, courses, and initiatives to increase diversity and enrollment in the Insurance Law Program.

Kathryn Ratcliff

Dr. Ratcliff worked at UConn as an assistant professor from 1983 to 2019. Her case is unique in that she remained at the level of assistant professor, with tenure, at her retirement. Dr. Ratcliff's scholarship has been influential in the area of health. Her earliest work focused on women's health. In more recent years, Dr. Ratcliff has focused her work on the social determinants of health. This work has included a book, *The Social Determinants of Health, Looking Upstream*. This book was praised by Professor Sir Michael Marmot, Chair of the World Health Organization's Commission on Social Determinants of Health (2005-2008). "What we breathe in, eat, and drink; where we work and live; how we travel - each, done badly, can damage health. Kathryn Strother Ratcliff takes us on a wonderfully informative journey to examine the governmental and industrial causes of exposures that determine health." In addition to this book, Dr. Ratcliff has published other books and journal articles. Dr. Ratcliff has also performed strongly as an instructor. Among her mentees are students who have gone to Harvard University (A. Roderiguez), Oxford University, UK (M. Clucas), and most recently our Truman and Marshall scholar, A Chittibabu.

Professor Ratcliff has provided exemplary service to the university (and to the community). She served as the Director of National Scholarships and numerous administrative positions within the Sociology department including Director of Graduate Studies, Director of Undergraduate Studies, and Associate Head, as well as on numerous departmental committees. As one colleague noted: "In the 20 years that I have been in the department, Kay has done more than any other faculty member to keep the department running on a day-to-day basis. She attended all the meetings, knew all the procedures, and remembered all the details that she was responsible for. She had a substantial service load, usually being either the director of undergraduate studies or associate head most years. I had the pleasure of co-teaching the internship program with her, and she tirelessly advocated it for students as a way to gain essential service learning. In fact, one year, she even took a group of students to the Dominican Republic as part of the internship program. As a colleague, she was always congenial, and her door was open for whoever would walk in needing help-whether student or faculty."

Outside of UConn, Dr. Ratcliff has served in multiple roles to the profession and community. For instance, she worked on the board of Eastern Area Health Education Center Inc and served as the organization's President. This group was recognized by the Governor of Connecticut, in March 2018, for the exemplary work they did while she was President of the organization, further evidence of her influence outside of UConn.

ATTACHMENT 9

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
February 22, 2023 Board of Trustees Meeting

SABBATICAL MODIFICATIONS/POSTPONEMENTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Litman, Ellen	Associate Professor	English	Liberal Arts and Sciences	Full	Spring 2023
			Change to	Full	Spring 2025
Watson, Ryan J	Associate Professor	Human Development and Family Sciences	Liberal Arts and Sciences	Full	Fall 2023
			Change to	Full	Fall 2024
Zhong, Xiaobo	Professor	Pharmaceutical Science	Pharmacy	Full	Spring 2023
			Change to	Full	Spring 2024

SABBATICAL LEAVE REQUESTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Azimi, Fakhreddin	Professor	History	Liberal Arts and Sciences	Full	Spring 2024
Bi, Jinbo	Professor	Computer Science and Engineering	Engineering	Half	AY 2023-2024
Deans, Tom	Professor & Director	English	Liberal Arts and Sciences	Full	Spring 2024
Chafouleas, Sandra M	Distinguished Professor	Educational Psychology	Education	Full	Spring 2024
Cheng, Hsu-Chih	Professor	Sociology	Liberal Arts and Sciences	Full	Spring 2024
Choi, Yung S	Professor	Mathematics	Liberal Arts and Sciences	Half	AY 2023-2024
Chun, Ock K.	Professor	Nutritional Sciences	Agriculture, Health and Natural Resources	Full	Spring 2024
Grenier, Robin S	Professor	Educational Leadership	Education	Full	Spring 2024
Herzberg, Amir	Professor	Computer Science and Engineering	Engineering	Full	Spring 2024
Hettinger, Virginia A	Associate Professor	Political Science	Liberal Arts and Sciences	Full	Spring 2024
Kane, Brendan M	Professor & Director	History	Liberal Arts and Sciences	Full	Spring 2024

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Kao, Chih-hwa	Department Head & Professor	Economics	Liberal Arts and Sciences	Full	Spring 2024
Lombardi, Caitlin S	Assistant Professor	Human Development and Family Sciences	Liberal Arts and Sciences	Full	Spring 2024
Lu, Guozhen	Professor	Mathematics	Liberal Arts and Sciences	Full	Spring 2024
Marcus, Alan S	Professor	Curriculum and Instruction	Education	Full	Spring 2024
Menuz, Karen A	Associate Professor	Physiology and Neurobiology	Liberal Arts and Sciences	Full	Spring 2024
Miao, Fei	Assistant Professor	Computer Science and Engineering	Engineering	Half	AY 2023-2024
Nabavi, Sheida	Associate Professor	Computer Science and Engineering	Engineering	Full	Fall 2023
Norato Escobar, Julian A	Associate Professor	Mechanical Engineering	Engineering	Half	AY 2023-2024
O'Neill, Michael J	Associate Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Full	Spring 2024
Park, Sung Yeul	Associate Professor	Electrical and Computer Engineering	Engineering	Half	AY 2023-2024
Pasaogullari, Ugur	Professor & Director	Mechanical Engineering	Engineering	Full	Fall 2023
Rubega, Margaret A	Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full	Spring 2024
Shapiro, Lionel S	Professor	Philosophy	Liberal Arts and Sciences	Full	Spring 2024
Tirrell, Lynne	Professor	Philosophy	Liberal Arts and Sciences	Full	Spring 2024
Travis Jr, Roger M	Associate Professor	Literatures, Cultures, and Languages	Liberal Arts and Sciences	Full	Fall 2023
Ung, Gael W	Assistant Professor	Chemistry	Liberal Arts and Sciences	Full	Fall 2023
Zurolo, Mark G	Associate Professor	Art and Art History	Fine Arts	Full	Spring 2024

ATTACHMENT 10

February 22, 2023

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, Ph.D.



Provost and Executive Vice President for Academic Affairs

RE: Reappointment of Professor Heather Elliott-Famularo as the Donna Krenicki Professor in Design and Digital Media in the School of Fine Arts.

RECOMMENDATION:

That the Board of Trustees reappoint Professor Heather Elliott-Famularo as the Donna Krenicki Professor in Design and Digital Media in the School of Fine Arts.

BACKGROUND:

The Donna Krenicki Professor in Design and Digital Media in the School of Fine Arts was established on Dec. 22, 2015, with a generous gift from John Krenicki Jr. and Donna M. Krenicki. According to the terms of the gift, 'the individual appointed to the Professorship will be a recognized researcher, scholar and teacher and will have made significant contributions to the field of Design and Digital Media'. Professor Elliott-Famularo is the first to hold the position; she was appointed on December 29, 2017, in conjunction with her appointment as Head of the Department of Digital Media & Design, in which role she is also being renewed for a second term. The decision to reappoint was made by the dean in consultation with senior academic leadership in the school, in this case the Heads of the three other academic departments, Art & Art History, Dramatic Arts, and Music.

In her role as Department Head of Digital Media & Design (DMD), Professor Elliott-Famularo has provided exemplary leadership. With support from the School of Fine Arts and the Provost's Office, Professor Elliott-Famularo has expanded significantly both the number of tenure-track positions and student enrollment, and established DMD as an important presence at the Stamford campus as well as in Storrs. She has also led a comprehensive restructuring of the DMD curriculum, a key element in securing accreditation from the National Association of Schools of Art and Design. Professor Elliott-Famularo has at the same time maintained a strong record of research and professional activity, presenting at prestigious conferences, serving on juries at leading film festivals, and working as Co-PI on a number of major external grants developed in collaboration with colleagues across campus, including awards from CREC, NEH, and, most recently, a \$1.3 million grant from NSF. She also remains active as an advisor on graduate research projects and offers numerous independent studies to both undergraduates and graduates.

ATTACHMENT 11

February 22, 2023

TO: Members of the Board of Trustees

FROM: Anne D'Alleva, PhD
Provost and Executive Vice President for Academic Affairs



RE: Appointment of Professor Anne Dailey to the Ellen Ash Peters Professorship in the School of Law

RECOMMENDATION:

That the Board of Trustees appoint Professor Anne Dailey to the Ellen Ash Peters Professorship in the School of Law.

BACKGROUND:

The Ellen Ash Peters Professorship was established in 1990 by an endowment from Phillip I. Blumberg, University of Connecticut School of Law Dean Emeritus. The School of Law enthusiastically supports Professor Anne Dailey for the position of the Ellen Ash Peters Professorship.

The decision to appoint was made following the Office of the Provost procedures; this recommendation is being made based on consultation with the Dean of the School of Law and the School of Law's Professorship Advisory Committee. I strongly support the recommendation of the Dean and advisory committee.

Professor Dailey is a Professor of Law and Associate Dean for Faculty Development and Intellectual Life. She is a renowned scholar and thought leader in the area of family law. She has a strong history of research excellence and dedicated teaching and service in the area of children and the law, constitutional law, and law and psychoanalysis. Professor Dailey has a distinguished record in the field as demonstrated through highly impactful scholarly publications that have advanced the field. She has received numerous awards for her scholarship. In addition, she has established a well-earned reputation as a rigorous, enthusiastic, and innovative educator. Finally, she has provided exemplary service to national organizations such as the American Law Institute and serves on the advisory board for the new Restatement of the Law of Children.

ATTACHMENT 12

February 22, 2023

TO: Members of the Board of Trustees

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

RE: Bachelor of Science in Financial Technology



RECOMMENDATION:

That the Board of Trustees approve a new Bachelor of Science in Financial Technology in the School of Business.

BACKGROUND:

Financial technology (FinTech) uses technological innovation to compete with traditional financial methods in delivering financial services. Ongoing technology innovations are disrupting existing structures of the financial services industry. Technologies such as blockchain, cryptocurrency, peer-to-peer lending, mobile payment systems, robo-advising, and automated insurance underwriting redefine how financial services are offered and consumed. These new trends are also creating new demand for talent and changing the skills set companies seek, which is in short supply. Advanced skills in finance, mathematics, programming, analytics, data science, applied statistics, and regulatory and compliance are in high demand. The UConn FinTech program will develop and enhance these attributes to bridge the gap between finance and technology, uniquely preparing the students for the most well-paid and sought-after positions in the financial industry.

A UConn FinTech major is both timely and strategic. Our FinTech program will be the first of its kind offered in Connecticut, and the second in New England. The program can reach several key industry stakeholders by utilizing UConn's existing geographic strengths. The School of Business already features a popular finance major, deep expertise in data analytics, a master's program in FinTech, and a location that facilitates the placement of many students at financial employers in Manhattan, Fairfield County, and Hartford. These provide a foundation for a strong undergraduate major in FinTech. Moreover, a FinTech undergraduate major has pathways to the M.S. in FinTech or M.S. in Business Analytics and Project Management, thereby creating synergies between the existing graduate programs. A survey of current School of Business was conducted to gauge interest in a FinTech program, resulting in 68% of students expressing interest in FinTech over their existing major, where it available when they came to UConn.

We anticipate a cohort of approximately 20 students by Fall 2024. Graduates will be strong in the traditional functional areas of business (accounting, marketing, finance, and management). They will have a solid understanding of the integration of technology and its application in financial services and related industries. This major is currently only open to students at the Stamford Campus.

Bachelor of Science in Financial Technology

New Program Proposal, January 2023

Finance, Operations & Information Management, School of Business

CIP Code: 30.7104

Background

Financial technology uses technological innovation to compete with traditional financial methods in delivering financial services. The fintech industry has experienced rapid growth recently. For example, fintech companies raised more than \$70 billion in 2021 and accounted for 5 of the 10 largest US VC-backed tech IPOs in 2021. Ongoing technology innovations are disrupting existing structures of the financial services industry. Technologies such as blockchain, cryptocurrency, peer-to-peer lending, mobile payment systems, robo-advising, and automated insurance underwriting redefine how financial services are offered and consumed. Many tech startups and heavyweight players have leveraged their technological advantages and started offering an array of financial products that financial firms traditionally offered. As a result, many financial firms are rethinking the way they need to do business.

These new trends are also creating new demand for talent and changing the skills set companies seek, which is in short supply ([Experts warn that skills shortage could hamper fintech startups](#)). Indeed, FinTech has brought an unprecedented demand for professionals with advanced skills in finance, mathematics, programming, analytics, data science, applied statistics, and regulatory and compliance. The UConn Fintech program will develop and enhance these attributes to bridge the gap between finance and technology, uniquely preparing the students for the most well-paid and sought-after positions in the financial industry.

A UConn Finance and Technology (FinTech) major is both timely and strategic. The program can reach several key industry stakeholders by utilizing UConn's existing geographic strengths. The School of Business already features a popular finance major, deep expertise in data analytics, a master's program in Fintech, and a location that facilitates the placement of many students at financial employers in Manhattan, Fairfield County, and Hartford. These provide a foundation for a strong undergraduate major in Fintech. Moreover, a fintech undergraduate major can have a pathway to the M.S. in Fintech and M.S. in Business Analytics and Project Management, thereby creating synergies between the existing graduate programs.

In addition to the job placement advantages of UConn's existing locations, there are local ecosystems that foster and develop fintech-type startups. Stamford has the advantage of

attracting many fintech companies and being proximal to several hedge funds and other large-scale financial services firms.

Our fintech major will be the first undergraduate degree offered in Connecticut and the second in New England. There is no similar program in Connecticut. Below is the list of similar undergraduate programs in universities across the United States.

New England Region

1. Northeastern University: Undergraduate Concentration in Fintech
 - Link: <https://damore-mckim.northeastern.edu/programs/undergraduate-concentration-in-fintech/>

New Jersey

1. New Jersey Institute of Technology: Bachelor of Science in Financial Technology
 - Link: <https://www.njit.edu/academics/degree/bs-financial-technology>
2. Seton Hall University: Bachelor of Science in Finance and Technology
 - Link: <https://www.shu.edu/academics/bs-finance-and-technology.cfm>

Virginia

1. Virginia Tech: FinTech and Big Data Analytics (FBTA)
 - Link: <https://finance.pamplin.vt.edu/undergraduate/options/fintech.html>
2. Virginia Commonwealth University: Bachelor of Science in Financial Technology
 - Link: <https://business.vcu.edu/academics/finance-insurance-and-real-estate/bs-in-financial-technology/>

Nebraska

1. Creighton University: FinTech Degree (Bachelor of Science in Business Administration)
 - Link: <https://www.creighton.edu/academics/programs/finance-technology>

Program Information

Program Description

The finance and technology (Fintech) major is designed for students interested in applying cutting-edge technology to improve financial services, develop new business models, and solve business problems. This new degree program not only provides students with the opportunity to complete the core coursework of a traditional finance major but also provides a set of rigorous coursework such as fintech foundations, big data financial analytics, blockchain applications, cryptocurrency essentials, ethics and sustainability in financial technologies, programming skills, and mobile app development. The primary goal of this degree program is to bridge the knowledge gap between finance and technology and prepare them with the necessary skills upon graduation for the most sought-after professional and academic careers.

Staffing

Faculty will be primarily derived from two departments in the School of Business;

Finance (<https://www.business.uconn.edu/contact/finance/>) and Operations and Information Management (<https://www.business.uconn.edu/contact/opim/>). However, as the program grows, both new teaching and research faculty will be needed.

The existing facilities, equipment, and library at the Stamford Campus should meet the short-term needs of the program. The campus administrators will evaluate future facilities, equipment, and special resources needs.

A new program academic director will be appointed. The School of Business in Stamford campus has student advising groups and career coaches.

Students

Market Trends

The program did a detailed market analysis using Lightcast Database (please see the Appendices). Lightcast report is derived from official government sources such as the U.S. Census Bureau, Bureau of Economic Analysis, and Bureau of Labor Statistics and captures more than 99% of all workers in the United States with data from online social profiles, resumés, and job postings.

Since Fintech is a new field of study, data on job postings were not readily available. However, we used two related fields as a proxy for Fintech since fintech students can qualify for jobs in these fields: 1) Financial and Investment Analysts; 2) Business and Financial Operations. For Financial and Investment Analysts, the data for 2020 showed, on average, 13,432 job openings per month in the USA, with an annual average wage of \$91,582. The data also indicates that from 2020 to 2031, there is approximately a 3.2% yearly growth of new jobs in this field.

For Business and Financial Operations, the data for 2020 showed, on average, 219,722 job openings per month in the USA, with an average annual salary of \$72,884. From 2020 to 2031, a job opportunity in this field is expected to grow by 9.5 % annually.

We note that more than 50% of the job openings require a Bachelor's degree and that the highest percentage is in the neighboring State of New York. The development of this program is not only timely but also strategic. The Fintech economy is in its infancy, and it's only scratching the surface of its potential. There is a need and demand locally and nationally for professionals with the skills proposed by this program. To be competitive, local and national businesses must make quick and precise decisions based on technology disruption. Therefore, this program can fill the need and demand for professionals with Fintech skills for a long time.

Enrollment Projections

- How many students do you anticipate that this program will recruit?
 - We do not anticipate we can recruit an entire class for Fall 2023. However, we believe there is a market with current UConn students, and the School of Business offers an internal admissions process to support students in their selection. Indeed, 68% of students (n = 353) surveyed expressed some degree of likelihood of selecting Financial Technology over their existing major if it were available to them when they came to UConn.
 - We project that if this major follows a similar pattern to Financial Management offered in Stamford Campus, whose first full year in recruitment, we achieved approximately 25 new students. On average, Financial Management has had 23 first-year students entering the major since the Fall of 2018.
 - We are estimating that by Fall 2024, we can bring in a cohort of 20 students.

- What are the numbers of students you expect each year in the first years of the program? How long will it take to get to full capacity?
 - Financial Management has had an average of 35 students in the junior/senior years for the last two years.
 - We would expect a similar type of enrollment within 4 to 5 years.

- Do you have any numbers for students graduating from comparable programs elsewhere you can use to help indicate how many students you think you will recruit?
 - There are very few schools that have comparable programs. At this time, we don't have graduation numbers.

- How will student numbers compare with other programs in your unit?
 - We project that if this major follows a similar pattern to Financial Management offered in Stamford Campus, whose first full year in recruitment, we achieved approximately 25 new students. On average, Financial Management has had 23 first-year students entering the major since the Fall of 2018.

- Will this program pull students from existing programs in your unit (or elsewhere at the University)? If so, how many students and what proportion of students in those programs do you expect will change to this new program?
 - We expect it to pull from Financial Management and Business Data Analytics and attract Business Undecided students. Since this is a new program across the country, we are not sure what proportion of students will change to this program.

- Is retention and timely graduation strong in your current program? Do you think you will retain most students who matriculate to the program? How many students do you think will graduate from the program compared to those you will recruit and matriculate?

- The School already operates a team of advisors and programming staff in Stamford whose job is to ensure degree progress for students proactively.
- A timely graduate depends on the quality of students enrolled in the program. The School will be involved in the admission of these students to assess quantitative foundation as a factor for admission. Moreover, we are a selective program. Therefore, we expect some admitted students to be dismissed from the program based on academic performance.
- Do you expect to recruit a diverse student population (gender, race/ethnicity, international, income level, etc.)? Are there any steps you will be taking to recruit and retain a diverse student population for this new program? Are there any points you want to make about the importance of diverse students as a pipeline to this field?
 - We expect to recruit a diverse student population and provide a sustainable student service leading to success. As mentioned above, many services (from advising to career support) are already in Stamford Campus. The availability of Housing services in Stamford Campus will also allow us an opportunity to recruit international students.
- Do you have a plan to evaluate how you are meeting these recruitment goals? Will there be impacts (e.g., inability to hire new faculty or staff) if you do not meet these goals? If so, how will you know if there might be a problem in a timely manner so that you can address any issues?
 - We will need to partner with University admissions for external recruitment.
 - Since we are a dual admissions program, we will be able to do outreach to current students to enroll in the program.

Program Learning Objectives, Assessment, and Accreditation

Business today needs to leverage innovation at the intersection of Finance and Technology to create better financial products and services. This program will help students understand disruptions in the fintech industry across a broad cross-section of products and services, from traditional banking to secure mobile services and transactions. Students will learn how Fintech can help you reach untapped markets, reduce costs, create economies of scale, and improve customer experience.

The program will be evaluated routinely and regularly under the accrediting process of AACSB (Association to Advance Collegiate Schools of Business). Internally, the program will be evaluated in each of the following ways: i) course content, classroom instruction, administration and grading will be evaluated each semester by registered students using the standard process and questionnaire currently in place for School of Business courses, ii) course content, rigor, and overall implementation will be evaluated for each course by the department head and academic

director, both working in close conjunction with the instructor(s), and iii) alums and managers at hiring companies will be surveyed to monitor program quality and content.

Program Learning Outcomes

As a graduate, you will be prepared to:

- Demonstrate an advanced knowledge of key theoretical finance and economic concepts underpinning financial markets.
- Identify the interaction between technological innovation and financial service disruptions and the technologies appropriate to solve financial problems.
- Identify new fintech business models in blockchain technologies, cryptocurrency, alternative lending, open banking, insurtech, robo-advising, and cybersecurity.
- Use data analytics tools such as artificial intelligence and machine learning to perform financial big data analytics and to implement Fintech solutions.
- Use programming languages to build financial models and trading algorithms.
- Explain fintech trends such as cryptocurrency, blockchain, real-time settlements, peer-to-peer transactions, financial inclusion, and mobile fintech applications.
- Explore contemporary issues in blockchain, crypto assets, algorithmic fairness, ethics, financial inclusion, regulation, and compliance procedures within the FinTech industry.
- Adhere to ethical and legal guidelines to ensure data security, cyber security, integrity, and confidentiality in the delivery of fintech applications.
- Analyze organizational structures and management processes to recommend improvements to organizational performance through financial technology solutions.
- Apply interpersonal, teambuilding, leadership, and communication skills when participating in diverse organizational environments.

Catalog Description

Financial Technology (Fintech)

Course descriptions ([Finance & OPIM](#))

The objective of this major is to train students in financial technology. Graduates will be strong in the traditional functional areas of business (accounting, marketing, finance, and management). They will have a solid understanding of the integration of technology and its application in financial services and related industries. This major is only open to students at the Stamford regional campus.

Bachelor of Science Requirements

Fintech majors are required to achieve a cumulative 2.0-grade point average for all Finance (FNCE) and Operations and Information Management (OPIM) courses for which they have been registered at the University of Connecticut, excluding grades and credits for independent studies and internships.

Residence Requirement

In addition to the School of Business residence requirements for all majors, a Fintech major must complete FNCE [3303](#), [3240](#), [4230](#), OPIM [3510](#), [3511](#), [3806](#); and two additional FinTech courses in residence at the University of Connecticut. Education Abroad courses may not be used to meet this requirement.

Required Major Courses

In addition to the courses outlined in the Common Body of Knowledge and Capstone Requirements, Fintech majors must take:

FNCE [3303](#), [3240](#), [4230](#), OPIM [3510](#), [3511](#), [3806](#); choose two additional 3-credit courses from FNCE [4306](#), [4308](#), [4319](#), [5721](#), OPIM [3505](#), [3512](#), [3702](#), [3402](#).

For students admitted to Accelerated M.S. Fintech

FNCE [5710](#) may be used in place of FNCE [3303](#), and/or FNCE [5711](#) may be used in place of FNCE [3240](#), but in either case, credit is not given for both to satisfy the major requirements.

For students admitted to Accelerated M.S. BAPM

OPIM [5604](#) may be used in place of OPIM [3511](#), and/or OPIM [5270](#) may be used in place of OPIM [3512](#), but in either case, credit is not given for both to satisfy the major requirements.

ATTACHMENT 13

February 22, 2023

TO: Members of the Board of Trustees

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



RE: Bachelor of Science in Data Science & Engineering

RECOMMENDATION:

That the Board of Trustees approve a new Bachelor of Science in Data Science and Engineering in the School of Engineering.

BACKGROUND:

In the past few years, demand for data scientists and engineers has skyrocketed. The latest job report from the career website dice.com lists “Data Scientists” and “Data Engineers” as 5th and 6th occupations by job posting volume, with 44.9% and 42.2% year-over-year growth in the first ten months of 2022, respectively. The latest projections from the US Bureau of Labor Statistics suggest that the strong demand for data scientists will continue into the next decade, with 40,500 new “Data Scientist” positions (35.8% growth) anticipated between 2021 and 2031.

UConn’s College of Liberal Arts and Sciences (CLAS) recently developed a B.S. in Statistical Data Science and a B.A. degree in Applied Data Analysis. The School of Engineering proposes to complement the CLAS degrees with a new 120 credits B.S. in Data Science and Engineering. While the CLAS degrees emphasize training in statistical aspects of Data Science and application of Data Science methods to specific social science domains, the proposed curriculum for the Data Science and Engineering degree will provide graduates with strong computing competencies for designing and building systems for collecting, storing, and analyzing data at scale. The new major will be offered by the CSE Department at the main campus in Storrs, but students will be able to complete the first year of the major at branch campuses before transferring to Storrs.

The curriculum includes 33 credits of required Data Science and Engineering courses. A newly developed course on “Introduction to Data Science and Engineering” will introduce students to the principles of data acquisition, management, integration, predictive modeling, and visualization. Required courses will provide rigorous training in computer programming and fundamental Data Science and Engineering topics including algorithms, data structures, databases, statistical inference, predictive modeling, big data analytics, and machine learning. They will also cover data security, privacy, and ethics. All Data Science and Engineering majors will also be required to complete a year-long senior design project where they apply their Data Science and Engineering skills to design and implement solutions to real-world data-intensive problems. It’s expected that once fully established, this program would graduate approximately 100 students per year.



Proposal for a
Bachelor of Science in Data Science and Engineering
School of Engineering
University of Connecticut

1. Background and Rationale

Triggered by the challenge of dealing with an exponentially growing volume of data, the field of data analysis envisioned by Tukey 60 years ago* has dramatically evolved over the past decade into an interdisciplinary field commonly referred to as Data Science. In the past few years demand for data scientists and engineers has skyrocketed. The latest job report from the career website dice.com (Table 1) lists “Data Scientists” and “Data Engineers” as 5th and 6th occupations by job posting volume, with 44.9% and 42.2% year-over-year growth in the first ten months of 2022, respectively. The latest projections from the US Bureau of Labor Statistics† suggest that the strong demand for data scientists will continue into the next decade, with 40,500 new “Data Scientist” positions (35.8% growth) anticipated between 2021 and 2031.

Table 1. Year-to-Year growth for the top 10 tech occupations by job posting volume in the November 2022 Dice tech job report.

Rank	Occupation	YoY Change
1	Software Engineers	+28.4%
2	Business Analysts	+21.0%
3	Systems Engineers	+31.4%
4	Data Analysts	+47.7%
5	Data Scientists	+44.9%
6	Data Engineers	+42.2%
7	Software Developers	+1.0%
8	Electrical Engineers	+48.8%
9	DevOps Engineers	+9.7%
10	Java Developers	-19.4%

To meet this demand many US universities including UConn’s peer and aspirant institutions have developed undergraduate degrees in Data Science and/or Data Science and Engineering. The College of Liberal Arts and Sciences at UConn has recently developed a BS degree in Statistical Data Science and a BA degree in Applied Data Analysis. We propose to complement the CLAS degrees with a new 120 credits BS degree in Data Science and Engineering. While the CLAS degrees emphasize training in statistical aspects of Data Science and application of Data Science methods to specific social science domains, the proposed curriculum for the Data Science and Engineering degree will provide graduates with strong computing competencies for designing and building systems for collecting, storing, and analyzing data at scale. The new major will be offered by the CSE Department at the main campus in Storrs, but students will be able to complete the first year of the major at branch campuses before transferring to Storrs.

* John W. Tukey, The Future of Data Analysis, Ann. Math. Statist. 33(1): 1-67 (March, 1962). DOI: [10.1214/aoms/1177704711](https://doi.org/10.1214/aoms/1177704711)

† <https://www.bls.gov/emp/tables/fastest-growing-occupations.htm>

The curriculum for the proposed Data Science and Engineering major, detailed in next section, has been informed by the report on “Computing Competencies for Undergraduate Data Science Curricula” released in 2021 by the Data Science Task Force convened by the Association for Computing Machinery’s Education Board[‡]. The curriculum has been designed carefully to meet the proposed program criteria for Data Science, Data Analytics and similarly named computing programs[§] developed by ABET’s Computing Accreditation Commission (CAC) and CSAB, the lead society for computing accreditation. The proposed ABET criteria are expected to become effective following the ABET Computing Area Delegation Meeting in the fall of 2022.

Under Criterion 3 (Student Outcomes) the ABET proposal requires that graduates of the program have an ability to:

1. Analyze a complex computing problem and to apply principles of computing and other relevant disciplines to identify solutions.
2. Design, implement, and evaluate a computing-based solution to meet a given set of computing requirements in the context of the program’s discipline.
3. Communicate effectively in a variety of professional contexts.
4. Recognize professional responsibilities and make informed judgments in computing practice based on legal and ethical principles.
5. Function effectively as a member or leader of a team engaged in activities appropriate to the program’s discipline.
6. *Apply theory, techniques, and tools throughout the data science lifecycle and employ the resulting knowledge to satisfy stakeholders’ needs. [DS]*

The first five student outcomes are general requirements for all computing-related programs, while the last one is specific to Data Science, Data Analytics and similarly named computing programs.

Under Criterion 5 (Curriculum), in addition to the general criteria curriculum requirements,^{**} the ABET proposal includes the following:

At least 45 semester credit hours (or equivalent) of data science course work that must cover:

1. *Fundamental data science lifecycle topics:*
 - a) *Data acquisition and representativeness*
 - b) *Data management*
 - c) *Data preparation and integration*
 - d) *Data analysis*
 - e) *Model development and deployment*
 - f) *Visualization and communication of the knowledge obtained from the data*
2. *Concepts that span and are applied to the data science lifecycle:*
 - a) *Data ethics including legitimate use and algorithmic fairness*
 - b) *Governance including privacy, security, and stewardship*

[‡] https://www.acm.org/binaries/content/assets/education/curricula-recommendations/dstf_ccdsc2021.pdf

[§] <https://www.abet.org/accreditation/accreditation-criteria/criteria-for-accrediting-computing-programs-2022-2023/>

^{**} Mathematics appropriate to the discipline and at least 30 semester credit hours or equivalent of up-to-date coverage of fundamental and advanced computing topics that provide both breadth and depth, including (1) Techniques, skills, and tools necessary for computing practice; (2) Principles and practices for secure computing; and (3) Local and global impacts of computing solutions on individuals, organizations, and society.

- c) Statistical and mathematical topics including inference, modeling, linear algebra, probability and optimization*
 - d) Computing, including data structures, and algorithms*
- 3. Advanced data science coursework that provides depth.*
 - 4. Coverage of at least one application area to provide a context for data science activities.*
 - 5. A major project that incorporates an application area and requires integration and application of knowledge and skills acquired in earlier course work.*

The math and science requirements for the new degree are comparable but more specific than the current math and science requirements for the BS in Computer Science. In particular, Multivariate Calculus is required for Data Science and Engineering majors (while Computer Science majors can take Differential Equations as an alternative) since it provides recommended preparation for the required course in Machine Learning. Similarly, Statistical Methods - which covers basic probability distributions, point and interval estimation, tests of hypotheses, correlation and regression, analysis of variance, experimental design, and non-parametric procedures - is specifically required for Data Science and Engineering majors whereas Computer Science majors can take several probability and mathematical statistics courses as alternatives.

The curriculum includes 33 credits of required Data Science and Engineering courses. These courses will provide students with the knowledge and skills required throughout the data science lifecycle. A newly developed course on “Introduction to Data Science and Engineering” will introduce students to the principles of data acquisition, management, integration, predictive modeling, and visualization. Required courses will provide rigorous training in computer programming and fundamental Data Science and Engineering topics including algorithms, data structures, databases, statistical inference, predictive modeling, big data analytics, and machine learning. They will also cover data security, privacy, and ethics. All Data Science and Engineering majors will also be required to complete a year-long senior design project where they apply their Data Science and Engineering skills to design and implement solutions to real-world data-intensive problems.

The proposed curriculum also includes 12 credits of Data Science and Engineering electives, for a total of 45 credits of Data Science and Engineering courses. Elective courses provide students the opportunity to acquire advanced Data Science and Engineering competencies such as artificial intelligence and data mining, software engineering, numerical computing, and stochastic modeling. Students will also be able to become familiar with various data-intensive scientific and engineering domains such as bioinformatics, biomedical engineering, chemical and material engineering, and other emerging areas. The list of elective courses is expected to expand over time with newly developed courses in Data Science and Engineering as well as new application domains.

Next section details the curriculum for the new degree. Catalog descriptions of the required Data Science and Engineering courses as well as a course schedule template are included in the Appendix.

2. Curriculum

2.1 Math and Science Requirements

- MATH 2110Q (Multivariable Calculus) and MATH 2210Q (Applied Linear Algebra)
- STAT 3025Q (Statistical Methods)
- One two-semester laboratory course sequence from either chemistry or physics: Chemistry: CHEM 1127Q–1128Q, 1137Q–1138Q, or 1147Q–1148Q; Physics: PHYS 1401Q–1402Q, 1501Q–1502Q, or 1601Q–1602Q
- One additional science course from the following list (but not in the same department as the two semester sequence): BIOL 1107, 1108, or 1110; CHEM 1127Q, or 1128Q; PHYS 1401Q, 1402Q, 1502Q, 1601Q, or 1602Q; EARTH 1050, or EARTH 1051 and 1052

2.2 Required Data Science and Engineering Courses

Course number	Credits	Course Name	Notes
CSE 1010	3	Introduction to Computing for Engineers	
CSE 2050	3	Data Structures and Object-Oriented Design	
CSE 2500	3	Introduction to Discrete Systems	
CSE 2600	3	Introduction to Data Science and Engineering	New course
CSE 3000	1	Contemporary Issues in Computer Science and Engineering	
CSE 3140	2	Cybersecurity Lab	
CSE 3500	3	Algorithms and Complexity	
CSE 4502	3	Big Data Analytics	
CSE 4701	3	Principles of Databases	
CSE 4820	3	Introduction to Machine Learning	
CSE 4939W	3	Senior Design I	
CSE 4940	3	Senior Design II	
Total	33		

2.3 Elective Data Science & Engineering Courses

A minimum of four (4) courses totaling 12 credits from the following list:

- CSE 2102 (Introduction to Software Engineering)
- CSE 3400 or CSE 5850 (Introduction to Cyber-Security)
- BME 3401 (Introduction to Computational and Systems Biology)
- CSE 3800 or CSE 5800 (Bioinformatics)
- CSE 3802 or ECE 3431 (Numerical Methods in Scientific Computation)
- STAT 3965 or MATH 3170 (Elementary Stochastic Processes)
- ECE 4131 (Introduction to Digital Signal Processing)
- ECE 4132 (Image Processing Systems Laboratory)
- CSE 4705 (Artificial Intelligence)
- BME 4810 (Machine Learning Methods for Biomedical Signal Analysis)
- CSE 5520 (Data Visualization and Communication)
- CSE 5713 (Data Mining)
- CSE 5820 (Machine Learning)

2.4 Free Electives

Additional elective courses to reach a minimum of 120 credits.

3. Enrollment Projections and Required Resources

Given the increasing interest for Data Scientist and Data Engineer careers (Figure 1) coupled with the high demand from employers (Table 1) we expect that a substantial number of incoming students will be interested in pursuing a BS in Data Science and Engineering. We anticipate that once the new program is fully established it will graduate around 100 Data Science and Engineering majors per year. This is supported by the fact that the “Computational Data Analytics” concentration for the Computer Science and Computer Science and Engineering majors is currently the second most popular concentration, attracting over 20% of the majors that declare a specialized concentration. The addition of the new major in Data Science and Engineering is expected to attract some of the students that would have otherwise pursued a CS or CSE degree with a “Computational Data Analytics” concentration, and if necessary, this concentration may need to be eliminated.

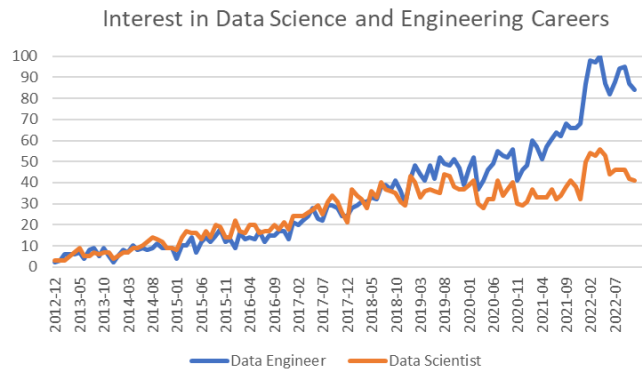


Figure 1. Google trends search term popularity under the Jobs & Education category (United States searches only, 100 means peak popularity of the compared terms, 50 means half as popular, etc.).

The proposed curriculum leverages existing Computer Science and Engineering courses, with a single new course that needs to be developed. The CSE faculty have the necessary expertise to deliver the Data Science and Engineering curriculum – indeed the CSE department is already delivering a full complement of courses for the Master of Engineering degree in Data Science. Since the ongoing search for four new tenured/tenured track CSE faculty includes data visualization and natural language processing among the priority areas some of the new hires are also expected to contribute delivering the Data Science and Engineering curriculum. Undoubtedly, supporting an overall population of around 400 Data Science and Engineering majors will eventually require new faculty hires, additional IT and administrative staff, and commensurate increases in teaching assistant funding. These resources are expected to be allocated progressively as the program grows, supporting the need for additional course sections, student advising, and general IT and administrative support to accommodate the increased student enrollment and the new faculty hires.

Appendix: Core course descriptions and course schedule template

CSE 1010. Introduction to Computing for Engineers

Introduction to computing logic, algorithmic thinking, computing processes, a programming language and computing environment. Knowledge obtained in this course enables use of the computer as an instrument to solve computing problems. Representative problems from science, mathematics, and engineering will be solved.

2050. Data Structures and Object-Oriented Design

Prerequisites: CSE 1010

Introduction to fundamental data structures and algorithms. The emphasis is on understanding how to efficiently implement different data structures, communicate clearly about design decisions, and understand the relationships among implementations, design decisions, and the four pillars of object-oriented programming: abstraction, encapsulation, inheritance, and polymorphism.

2500. Introduction to Discrete Systems

Prerequisites: CSE 1010

Introduction to formal mathematical thinking including discrete systems and proofs. Discrete system topics include logic, set theory, basic number theory, basic combinatorics, functions, relations, sequences, sums, products, recurrence, and countability. Proof topics include direct proof, including proof by cases and induction, and indirect proof, including proof by contrapositive and contradiction.

CSE 2600. Introduction to Data Science and Engineering (new course)

Prerequisites: CSE 2050

Introduction to a broad selection of challenges and methodologies in working with big data. Topics to be covered include fundamental data science lifecycle topics such as data acquisition, management, integration, visualization, modeling, analysis, prediction, as well as data security, data privacy and ethics.

CSE 3000. Contemporary Issues in Computer Science and Engineering

Prerequisites: CSE 2050

Information management, the global and societal impact of computer science and engineering decisions, professional and ethical responsibility.

CSE 3140. Cybersecurity Lab

Prerequisites: CSE 2050.

Introduction to the design of secure systems. Explores issues that arise in multiple design phases to understand the limitations of the platform and the source of opportunities for attackers. Each unit will explore a system, its design, its vulnerabilities and how to exploit them, culminating with the creation, implementation and deployment of counter-measures to eliminate the vulnerabilities and nullify the threat.

CSE 3500. Algorithms and Complexity

Prerequisites: CSE 2050 and 2500

Design and analysis of efficient computer algorithms. Algorithm design techniques, including divide-and-conquer, dynamic programming, and greedy approaches. Graph

algorithms and advanced data structures. Worst-case and average-case analysis, reductions, and NP-completeness.

CSE 4502. Big Data Analytics

Prerequisites: CSE 3500 and MATH 2210Q

Focuses on basic concepts of data science and big data analytics. Different algorithmic techniques employed to process data will be discussed. Specific topics include: Parallel and out-of-core algorithms and data structures, rules mining, clustering algorithms, text mining, string algorithms, data reduction techniques, and learning algorithms.

Applications such as motif search, k-locus association, k-mer counting, error correction, sequence assembly, genotype-phenotype correlations, etc. will be investigated.

CSE 4701. Principles of Databases

Prerequisites: CSE 3500

Fundamentals of data base design and data indexing techniques. Hierarchical, network, and relational data models. Data base design theory. Query languages, their implementation and optimization. Data base security and concurrent data base operations.

CSE 4820. Introduction to Machine Learning

Prerequisites: MATH 2210Q and STAT 3025Q

Recommended preparation: CSE 3500.

An introduction to the basic tools and techniques of machine learning, including models for both supervised and unsupervised learning, related optimization techniques, and methods for model validation. Topics include linear and logistic regression, SVM classification and regression, kernels, regularization, clustering, and on-line algorithms for regret minimization.

Data Science and Engineering Bachelor of Science Program

FRESHMAN YEAR

First Semester	Credits	Second Semester	Credits
Science lab course ¹	4	Science lab course ¹	4
MATH 1131Q – Calculus I	4	Math 1132Q – Calculus II	4
CSE 1010 – Intro Computing for Engineers	3	CSE 2050 – Data Structures & Object-Oriented Design	3
ENGR 1000 – Orientation to Engineering	1	ENGL 1007 – Seminar in Writing	4
Area 2 (Social Sciences)	<u>3</u>		<u>15</u>
	15		

SOPHOMORE YEAR

First Semester	Credits	Second Semester	Credits
Additional science course ¹	4	CSE 3140 – Cybersecurity Lab	2
CSE 2500 - Intro to Discrete Systems	3	CSE 3500 - Algorithms and Complexity	3
CSE 2600 – Intro to Data Science & Engineering	3	STAT 3025Q – Statistical Methods	3
MATH 2110Q – Multivariate Calculus	3	Area 2 (Social Science)	3
Area 1 (Arts and Humanities)	<u>3</u>	MATH 2210Q – Linear Algebra	<u>3</u>
	16		14

JUNIOR YEAR

First Semester	Credits	Second Semester	Credits
CSE 4701 – Principals of Databases	3	CSE 4502 – Big Data Analytics	3
CSE 4820 – Intro to Machine Learning	3	CSE 3000 - Contemporary Issues in CSE	1
Data Science & Engineering elective course 1	3	CSE Elective course 2	3
PHIL 1104 (Area 1) – Phil. and Soc Ethics	3	CSE Elective course 2	3
Elective	<u>3</u>	Area 4 (Diversity and Multiculturalism)	3
	15	Elective	<u>3</u>
			16

SENIOR YEAR

First Semester	Credits	Second Semester	Credits
CSE 4939W - Design Project I	3	CSE 4940 - Design Project II	3
Data Science & Engineering elective course 3	3	Data Science & Engineering elective course 4	3
Area 4 (Diversity and Multiculturalism)	3	Elective	3
Elective	3	Elective ⁶	<u>5</u>
Elective	<u>3</u>		14
	15		

Additionally the program must include 1) one W course other than CSE 4939W, which may be used to satisfy other requirements or Free Electives, and 2) one E course of at least three credits in Environmental Literacy.

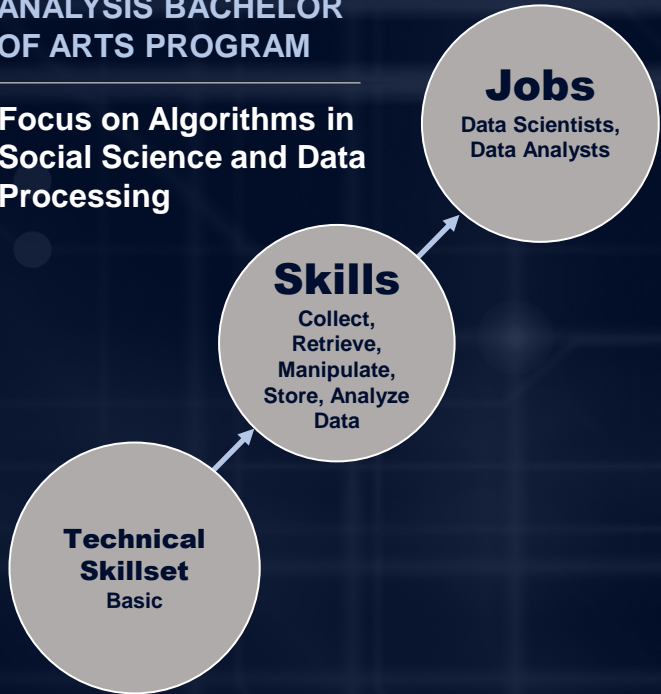
¹ A two-course sequence must be selected from one of the following sequences: CHEM 1127Q–1128Q; CHEM 1137Q–1138Q; CHEM 1147Q–1148Q; PHYS 1401Q–1402Q; PHYS 1501Q–1502Q; or PHYS 1601Q–1602Q. One additional science course must be selected from the the department not selected for the two-course sequence or from BIOL 1107, BIOL 1108, BIOL 1110, EARTH 1050, or EARTH 1051 and 1052

Three Degrees:

UCONN | COLLEGE OF LIBERAL ARTS AND SCIENCES

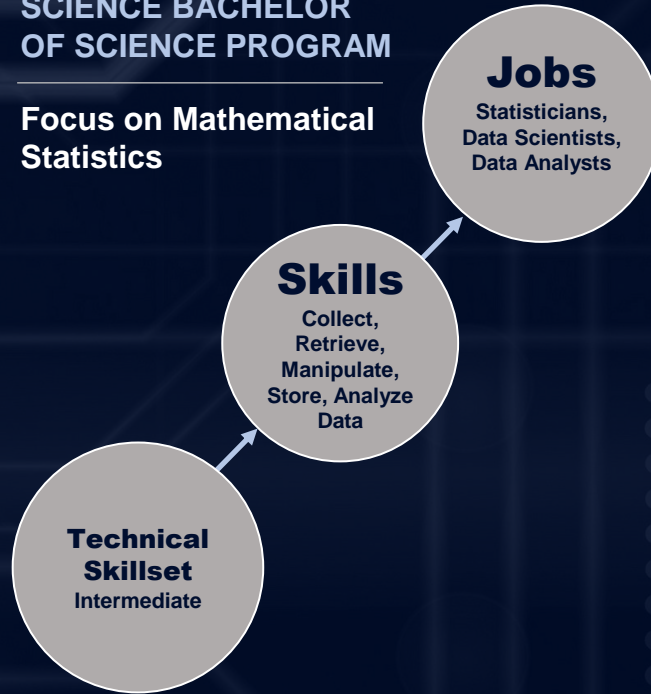
APPLIED DATA ANALYSIS BACHELOR OF ARTS PROGRAM

Focus on Algorithms in Social Science and Data Processing



STATISTICAL DATA SCIENCE BACHELOR OF SCIENCE PROGRAM

Focus on Mathematical Statistics

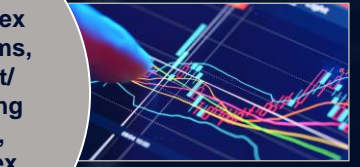
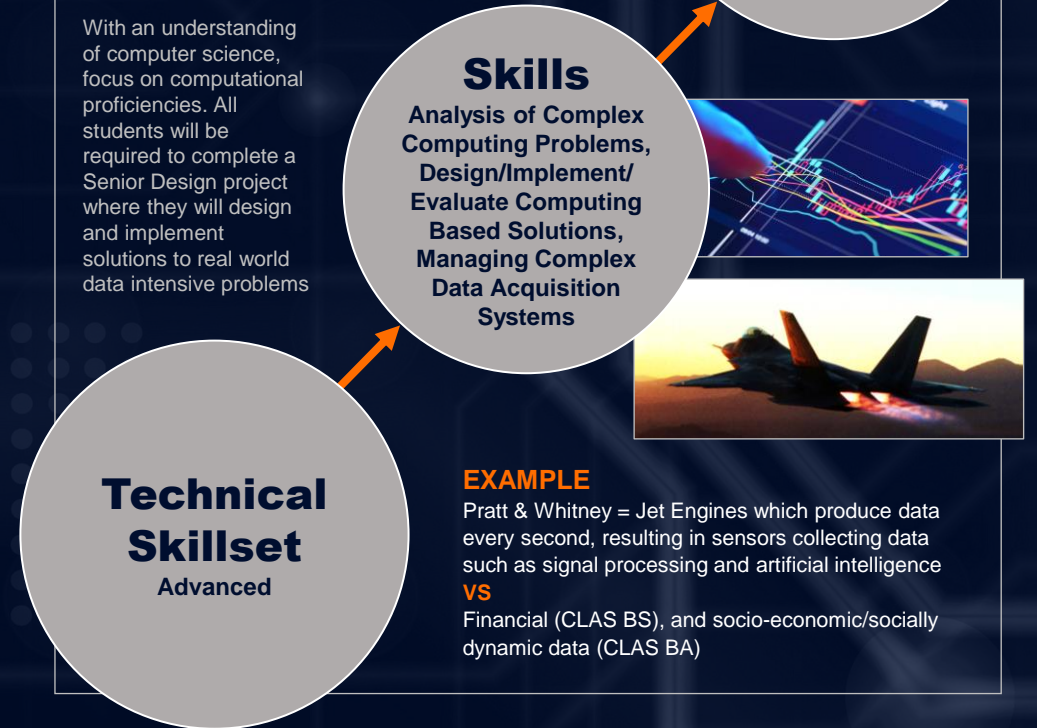


UCONN | SCHOOL OF ENGINEERING

DATA SCIENCE AND ENGINEERING BACHELOR OF SCIENCE PROGRAM

Focus on Engineering Data from Machines that Translate to Industrial Systems

With an understanding of computer science, focus on computational proficiencies. All students will be required to complete a Senior Design project where they will design and implement solutions to real world data intensive problems



EXAMPLE

Pratt & Whitney = Jet Engines which produce data every second, resulting in sensors collecting data such as signal processing and artificial intelligence **vs** Financial (CLAS BS), and socio-economic/socially dynamic data (CLAS BA)

ATTACHMENT 14

February 22, 2023

TO: Members of the Board of Trustees

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

RE: Master of Science in Environmental Earth Sciences



RECOMMENDATION:

That the Board of Trustees approve a new Master of Science in Environmental Earth Sciences in the College of Liberal Arts and Sciences.

BACKGROUND:

Earth Sciences is a STEM interdisciplinary field focused on the study of the Earth and the complex geologic, atmospheric, and hydrologic processes that sustain life and the economy. Understanding the Earth's surface and subsurface, as well as its resources, history, and hazards, allows us to develop solutions to critical economic, environmental, health, and safety challenges of the 21st century. Earth scientists are broadly trained in fundamentals of how the earth works from physical, chemical and biologic perspectives; they have an interdisciplinary understanding of the connections and feedbacks between earth system components (water, biota, atmosphere, and solid earth) and how these links shape human interaction with the environment. There are presently no other similar Master's programs in Connecticut.

Training in the Earth Sciences is critical for all students looking for employment in the environmental consulting or remediation field around New England and the nation. The proposed entrepreneurial 4+1 B.S./M.S. program in Environmental Earth Sciences through the Department of Earth Sciences is designed to provide an accelerated pathway for Earth Scientists, and dual degree students between Earth Science and Environmental Sciences or Engineering, to obtain a M.S. degree in Environmental Earth Science. This program provides a coherent curriculum centered on the themes of Earth, Water and the Environment that will put students on a path to employment in the field of Environmental Earth Sciences/Environmental Consulting. This is an underserved market and the Department of Earth Sciences is uniquely positioned to capitalize on this need. The goal of this program is to provide students with the skills needed to succeed in the Earth Sciences and Environmental workforce of the 21st century.

The program is intended for UConn students entering their junior year who are able to enroll in up to 12 credits of coursework that will count towards the M.S. while simultaneously completing their baccalaureate degree requirements. It's anticipated this program would graduate 10 students per year within 5 years of being established.



Request for New Academic Degree Program

General Information

Name of degree program:	Environmental Earth Sciences
Name of sponsoring Department:	Department of Earth Sciences
Name of School/College	College of Liberal Arts & Sciences
Type of Proposal:	New
Type of Program:	Master of Science (M.S.)
Location:	Storrs
Anticipated Initiation Date:	Fall 2023
Program Payment Type:	Tuition-based

Justification for the New Program

Earth Sciences is a STEM interdisciplinary field focused on the study of the Earth and the complex geologic, atmospheric, and hydrologic processes that sustain life and the economy. Understanding the Earth's surface and subsurface, as well as its resources, history, and hazards, allows us to develop solutions to critical economic, environmental, health, and safety challenges of the 21st century. Earth scientists are broadly trained in fundamentals of how the earth works from physical, chemical and biologic perspectives; they have an interdisciplinary understanding of the connections and feedbacks between earth system components (water, biota, atmosphere, and solid earth) and how these links shape human interaction with the environment. Thus, Earth scientists have a unique set of skills required to address environmental remediation, natural hazards, resource needs, and adaptations to living in the Human Epoch, the Anthropocene. At present, Connecticut has the largest number of professional geologists per capita in all of New England + New York, yet the fewest number of university programs per capita to train this workforce. The US Bureau of Labor Statistics projects an average 4.9% increase in geoscience jobs between 2019 and 2029, yet there is no professional M.S. program similar to that proposed here in all of Connecticut. The lack of production of environmentally-focused earth science graduates reveals a critical skills gap today and into the future. Earth science occupations that are projected to gain the greatest number of jobs over the coming decade include environmental scientists, environmental science technicians, and environmental engineers, who all benefit from graduate training. Growth in the earth sciences/geoscience sector is compounded by the "Silver Tsunami" facing the Connecticut public employment sector. Based on the age demographics of the current earth sciences/geosciences workforce, the BLS predicts that c. 27% of the existing Earth science workforce will be retiring by 2029. At current rates, the number of earth science graduates entering the workforce each year will not be sufficient to fill the gap created by these retirements. As a result, the AGI 2019 Workforce Report predicts significant growth in the demand for Earth Scientists across all Earth and Environmental Sectors and specifically at the M.S. level. If Connecticut does not train scientists to fill these roles, other states in the region will do so. The majority of M.S. and a large percentage of B.S. students graduating in Earth Sciences at UConn and regional Universities embark on careers as professional geologists, hydrologists or certified environmental professionals in the environmental/remediation and groundwater fields. The majority of U.S. states have a formal licensing program for professional Geoscientists and Environmental Professionals in the Earth/Geoscience field. Connecticut is one of six states that offers licensing for Environmental Professionals only, which encompasses all groundwater, environmental quality, and geological engineering related subdisciplines. However, Earth/Geoscientists practicing in the Tri-State or regional New England area may pursue both a Professional Geologist (PG) and Environmental Professional (EP) License. A B.S./M.S. in Environmental Earth Science will provide a solid foundation for both PG and EP careers. UConn Earth Sciences is



poised to fill this critical need for skills development, with minimal new resources. The 4+1 MS program in Environmental Earth Sciences is designed to provide motivated students with a fast track to a professional M.S. degree that is focused on the needs of the next generation of environmental professionals. This will be the only program of its kind in Connecticut, and will be a draw to students from around the region.

Are there similar programs in CT or elsewhere?

There are no professional Master's programs in Earth Sciences similar to that proposed here in all of Connecticut.

What are the desired learning outcomes of the program?

At present, the UConn Department of Earth Sciences offers research-focused Ph.D. and M.S. degrees, as well as a coursework-only (plan B) M.S. Here we propose a new 4+1 B.S./M.S. program through the Department of Earth Sciences focused on Earth, Water and the Environment and tailored to students looking to enter the field of Earth and Environmental Consulting as Professional Geoscientists and Environmental Professionals. This track is closely aligned with the direction the majority of our students already take, but provides an entrepreneurial masters program that allows them to achieve skills mastery and professional preparation faster and at lower cost.

Program Description

Training in the Earth Sciences is critical for all students looking for employment in the Environmental Consulting / Remediation field around New England and the nation. Success in this field requires cross-disciplinary knowledge of the structure and composition of the Earth, the natural and anthropological drivers of environmental change, and how humans interact with these systems. The new entrepreneurial 4+1 B.S./M.S. program in Environmental Earth Sciences through the Department of Earth Sciences is designed to provide an accelerated pathway for Earth Scientists, and dual degree students between Earth Science and Environmental Sciences or Engineering, to obtain a M.S. degree in Environmental Earth Science. This program provides a coherent curriculum centered on the themes of Earth, Water and the Environment that will put students on a path to employment in the field of Environmental Earth Sciences/Environmental Consulting. This is an underserved market and the Department of Earth Sciences is uniquely positioned to capitalize on this need. The goal of this program is to provide students with the skills needed to succeed in the Earth Sciences and Environmental workforce of the 21st century. At present, the Department of Earth Sciences is the only program at UConn with the coursework and expertise to provide this cross-disciplinary training that companies will recognize as preparation for positions as either Environmental Geologist/Geological Engineer or Environmental Consultant. Earth Sciences is interdisciplinary by its very nature. As a result, a diversity of courses exist within a single department to provide the skillset required for the 21st Century environmental Earth Sciences workforce. The new 4+1 program will be built around existing courses and faculty in the Department of Earth Sciences and will not incur any new costs associated with rollout. The curriculum is planned to be delivered on the Storrs campus for full and part-time students via Face to Face classes, though long-term plans may include a hybrid model to incorporate students who have internships or positions with Environmental Consulting companies following their B.S. The anticipated size of the program on a 3-5 year timeframe is 4-10 students per year. The program will recruit from Earth Sciences majors and dual majors with Environmental Sciences/Engineering and other programs, and will disseminate information regionally to attract new majors/enrollees to UConn interested in this program. Environmental Earth Sciences and the Applied Earth Sciences are one of the most diverse sub-fields within the Earth Sciences. A new 4+1 is an opportunity for increasing the diversity of UConn STEM students and the Earth Sciences



profession. The program is intended for UConn students entering their junior year who are able to enroll in up to 12 credits of coursework that will count towards the M.S. while simultaneously completing their baccalaureate degree requirements. Students will focus on two key areas of skill development. First, students will gain experience with data acquisition and analysis to provide real-world training in how earth and environmental scientists collect, analyze and interpret data. Second, students will be exposed to classroom and field training centered on the theme of Water, Climate and the Environment. 4+1 students are required to take 30 credits of coursework. All students should enroll in EARTH 4150/5150 and 6000 as Seniors. EARTH 6000 will serve as a nexus for bringing students together around a central theme that will catalyze further intellectual growth during the 1-year M.S. Courses are completed on the Storrs Campus. Upon earning the baccalaureate degree, 4+1 students complete the remaining M.S. requirements with other Earth Sciences graduate students on the Storrs Campus. Students may apply up to 12 credits of required 4+1 coursework that are taken during undergraduate to the degree. Six of these credits may be at the 3000/4000 level.

Proposed Graduate Catalogue Copy

The 4+1 M.S. in Environmental Earth Sciences prepares students for a career as an Environmental Professional/Professional Geoscientist. Courses cover the fundamentals of how the earth works from physical, chemical and biologic perspectives and provide program participants with a unique set of skills to address the environmental, water and climate challenges of the 21st century. Students complete 30 credits. Up to 12 credits of the required graduate coursework at the 5000 level or higher may be used toward both the undergraduate and M.S. plans of study and students are expected to take between 9 and 12 credits of required courses while they are undergraduates. However, courses taken at the 3000-4000 level that are counted on a graduate plan of study cannot also be counted toward an undergraduate degree. Only 6 credits of 3000 or 4000 level coursework may count toward the M.S.

Required Courses:

ERTH 4150/5150 and EARTH 6000

Track Courses:

Students must take at least 2 courses from group A (Data Acquisition and Analysis), 2 from the group B (Water, Climate, and the Environment), and select 2 from either group chosen in consultation with the student's advisor.

Group A: Data Acquisition and Analysis

ERTH 3030
ERTH 3710
ERTH 5/4230
ERTH 5/4240
ERTH 5/4430
ERTH 5/4440
ERTH 5/4710
ERTH 5/4810

Group B: Water, Climate and the Environment



ERTH 3020
ERTH 3230
ERTH 5/4130
ERTH 5/4210
ERTH 5/4720
ERTH 5/4735
ERTH 5/4740
ERTH 5/4850

Electives: Students must complete six additional credits of graduate-level coursework chosen in consultation with the student's major advisor.

The program is offered by the College of Liberal Arts and Sciences.

Faculty Involvement

The program coordinator will be an Earth Sciences faculty member. The anticipated size of the new 4+1 program is relatively small, so the effort associated with program coordination will be counted as part of faculty member service. Faculty member Michael Hren will be the program coordinator for the start of the M.S. program.

Enrollment and graduate projections

We project initial enrollments of 2 students in the first FY of the program, increasing to a total of 10 graduate students by year 5.

Program Evaluation

The department of Earth Sciences has developed a five year plan for the implementation and growth the 4+1 program in Environmental Earth Sciences. There are two metrics that will be used to judge the success of the program. First, we anticipate FY1 enrollments of approximately two students. The target for growth of the program is to reach 10 enrolled students by Y5 of the program. Growth of this program is one metric of success. Second, career placement of graduate students within the field of earth sciences is critical to the long-term success of the program. The Department of Earth Sciences will engage with 4+1 MS students to track career placement and will engage alums to assess employment in the field in the years following completion of the program.

Program Administration

The new MS will be administered by the Department of Earth Sciences. Advising will be managed by the program coordinator and admissions, oversight and programmatic changes will be managed jointly by the Graduate and Curriculum Committees in the Department of Earth Sciences.

Funding and Financial Resources Needed

The department of Earth Sciences has all the required resources to start this program. No additional funds are required.

Consultation with other potentially affected units

UConn

There are no potential overlaps with existing programs. It is anticipated that 4+1 program participants will come from the ranks of undergraduate Earth Sciences Majors.

Who can apply to this program?

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

Anticipated term and year of first enrollment

Fall 2023

Admission Requirements

The 4+1 program in Environmental Earth Science is intended for students who have maintained a strong academic record (a minimum 3.0 GPA through 4 semesters of college), have a strong background in one or more of the foundation earth sciences (e.g., atmospheric sciences, biology, chemistry, geology, math, physics, statistics) and are committed to a career in Environmental Earth Sciences. To be considered for admission your application should include:

- Official college transcript(s)
- Two (2) letters of recommendation
- A statement of your interests and goals.

If English is not your primary language, you may be required to submit evidence of your proficiency in the English language.

Term(s) to which students will be admitted

Fall


Program Director Name

Michael Hren, Associate Professor, Earth Sciences

ATTACHMENT 15

February 22, 2023

TO: Members of the Board of Trustees

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

RE: Licensed Professional Counselor (LPC) Certificate

RECOMMENDATION:

That the Board of Trustees approve a new Licensed Professional Counselor (LPC) Certificate in the Neag School of Education.

BACKGROUND:

According to Connecticut General Statutes (chapter 383c), a Licensed Professional Counselor (LPC) may engage or practice in professional counseling: "The practice of professional counseling includes, but is not limited to, engaging in the independent practice of professional counseling." This would enable individuals with their LPC to open their own private practices, and charge insurance for counseling services. The LPC in Connecticut is overseen by the Department of Public Health. Currently in Connecticut and nationwide, there is a shortage of LPC's in the workforce, including over 900 LPC openings in Connecticut in February 2022. The need and demand for individuals trained in counseling is only going to increase as the state and nation recover from the COVID pandemic.

The Licensed Professional Counselor Certificate is an 18-credit minimum online program completed over that occurs in the summer. Individuals who apply for this certificate will need to meet strict admissions criteria and commit to summer coursework and clinical internships (please see the admission requirements section for more details). Individuals who successfully complete the certificate program will be able to apply to the Connecticut Department of Public Health for their LPC-A (Licensed Professional Counselor - Associate) certification. This certification acknowledges that the individual has completed the coursework and graduate school clinical internship requirements but will still need to complete 3,000 hours of post-graduate supervised counseling work to be able to apply for the full LPC licensure. The LPC Certificate requirements conform to the Connecticut General Statutes, Chapter 383c (Professional Counselors) and requirements from the Connecticut Department of Public Health, the Graduate School, and the Department of Educational Psychology.

Request for New Academic Degree Program

General Information

Name of degree program:	Licensed Professional Counselor (LPC) Certificate
Name of sponsoring Department:	Department of Educational Psychology
Name of School/College	Neag School of Education
Type of Proposal:	New
Type of Program:	Post-Master's or Sixth Year Certificate
Location:	Online
Anticipated Initiation Date:	Fall 2023
Program Payment Type:	Fee-based
CIP Code:	51.1508

Justification for the New Program

What is a Licensed Professional Counselor (LPC)? According to Connecticut general statutes (chapter 383c), a Licensed Professional Counselor may engage or practice in professional counseling: "The practice of professional counseling includes, but is not limited to, engaging in the independent practice of professional counseling." This would enable individuals with their LPC to open their own private practices, and charge insurance for counseling services. The LPC in Connecticut is overseen by the Department of Public Health.

Currently in Connecticut and nationwide, there is a shortage of LPC's in the workforce. For example, there were over 900 LPC openings in Connecticut in February 2022. The need and demand for individuals trained in counseling is only going to increase as the state and nation recover from the COVID pandemic. The levels of trauma, anxiety, isolation, and social anxiety that children and adults are experiencing is unprecedented, and an adequate workforce of trained licensed counselors to meet the needs is simply not available. This certificate is a logical extension for the Counselor Education program because the plan of study for students in the master's program includes much of the content which is required for the LPC. The law requires that individuals pursuing an LPC have completed at least sixty hours in counseling or a related mental health field at a regionally accredited institution of higher education. In addition, specific coursework needs to be completed in the following areas.

The list below are the required content areas which the current master's degree program in School Counseling and Counseling Psychology includes in the plan of study. Human Growth and Development, Social and Cultural Foundations, Counseling Theories, Counseling Techniques, Group Counseling, Career Counseling -Appraisals or Tests and Measurements, Research & Evaluation, 100 hour practicum.

The following content areas are also required for the LPC, and will be the focus of the new courses being offered as part of the certificate: -Professional Orientation to Mental health Counseling -Addiction and Substance Abuse -Trauma & Crisis Counseling -Diagnosis and Treatment of Mental and Emotional Disorders -600 hour Clinical Mental Health Internship (taught by a faculty member licensed or certified as a professional counselor).

The certificate is designed to enable current and former graduate students in school counseling, as well as current school counselors, to participate. Accordingly, all coursework and clinical experiences will be conducted over the course of at least two summers (or longer, if the individual would like to spread the coursework over time). To successfully complete the certificate, students must complete a)600 hours of

internship in a clinical mental health setting. (Please note, that this internship can be completed in two summers with students doing 300 hours per summer, or in up to four summers), and b)12 credits of coursework in the following: a)Professional Orientation to Mental Health Counseling b)Addictions and Substance Counseling c)Trauma & Crisis Counseling d)Diagnosis and Treatment of Mental Disorder (Please note, this coursework can be completed over the course of two summers, or spread out to accommodate the students schedule).

We provide here, examples of how a student may structure their certificate program over two summers and over three summers to show that the certificate has a flexible schedule to accommodate students with differing demands on their time. Example 1: Sample course structure for a two-summer program Summer 1: 9 Credits - Professional Orientation to Mental Health Counseling (Summer Session 1, 3 credits);Addictions and Substance Counseling (Summer Session 2, 3 credits);Internship (300 hours) (Summer Session 3, 3 credits); Summer 2: 9 Credits -Trauma & Crisis Counseling (Summer Session 1, 3 credits);Diagnosis and Treatment of Mental Disorders (Summer Session 2, 3 credits); Internship (300 hours) (Summer Session 3, 3 credits). Example 2: Sample course structure for three summers: Summer 1 - 12 credits -Trauma and Crisis Counseling (summer 1, 3 credits) -Professional Orientation to Mental Health Counseling (summer 1, 3 credits) -Addictions & Substance Abuse Counseling (summer 2, 3 credits) -Diagnosis and Treatment of Mental Disorders (summer 2, 3 credits) Summer 2 - 3 credits - Internship (300 hours) (summer session 3 - 3 credits) Summer 3 - 3 credits - Internship (300 hours) (summer session 3 - 3 credits)

Are there similar programs in CT or elsewhere?

Several Clinical Mental Health master's degree programs are available in CT. Students who complete one of these programs would be eligible for the LPC. The following Connecticut Schools have a MS or MA in Clinical Mental Health Counseling: - Central Connecticut State University, M.S. in Clinical Mental Health Counseling; Fairfield University, M.A. in Clinical Health Counseling; Southern Connecticut State University, M.S. in Clinical Mental Health Counseling; University of Bridgeport, M.S. in Clinical Mental Health Counseling; University of Saint Joseph, M.A. in Clinical Mental Health Counseling. When individuals graduate from these programs they are known as a LPC-A, or LPC Associate. Per the Connecticut General Statutes, 383c, "An applicant for a license as a professional counselor associate shall submit to the Commissioner of Public Health evidence satisfactory to the commissioner of having (1) earned a graduate degree in clinical mental health counseling as part of a program of higher learning accredited by the Council for Accreditation of Counseling and Related Educational Programs, or a successor organization, or (2) (A) completed at least sixty graduate semester hours in counseling or a related mental health field at a regionally accredited institution of higher education that included coursework in each of the following areas: Human growth and development; social and cultural foundations; counseling theories; counseling techniques; group counseling; career counseling; appraisals or tests and measurements to individuals and groups; research and evaluation; professional orientation to mental health counseling; addiction and substance abuse counseling; trauma and crisis counseling; and diagnosis and treatment of mental and emotional disorders, (B) completed a one-hundred-hour practicum in counseling taught by a faculty member licensed or certified as a professional counselor or its equivalent in another state, (C) completed a six-hundred-hour clinical mental health counseling internship taught by a faculty member licensed or certified as a professional counselor or its equivalent in another state, and (D) earned from a regionally accredited institution of higher education a graduate degree in counseling or a related mental health field." Individuals who are LPC-A's have completed all the coursework, and graduate school supervised clinical experiences outlined by the Department of Public Health, and have applied for LPC-A status. They will still need to have 3,000 hours of supervised postgraduate work to

become an LPC. Graduates from the master's programs listed above will be able to apply for the LPC-A, through the CT-DPH immediately after graduation, then will need to complete 3,000 hours of supervised counseling to earn the full LPC credential.

In Connecticut, there are two in-person LPC Certificate programs designed for individuals who have a master's degree in School Counseling:

1. Southern Connecticut State University: Clinical Mental Health Counseling, Post-Master's Certificate and
2. Central Connecticut State University: Advanced Official Certificate Program in Professional Counseling Both of the certificate programs are designed for individuals who have graduated with their master's in school counseling (or a related degree). Both take place during the regular academic year. When individuals complete these certificates they will be able to apply for their LPC-A, and will need to find a supervisor to oversee their 3,000 post-graduate hours to become a LPC.

What are the desired learning outcomes of the program?

Students will have the knowledge and skills that allows them to achieve the following objectives (which are aligned with the identified CACREP standards for Clinical Mental Health Counseling):

1. Demonstrate the ability to effectively work with and counsel individuals from diverse or underrepresented communities (CACREP Standard 5.C.2.j, 5.C.3.e);
2. Demonstrate an understanding of the impact on crises and trauma on an individual (CACREP Standard 5.C.2.f, 5.C.3.b);
3. Demonstrate an understanding of the diagnostic process and procedures utilized in the counseling process (CACREP Standard 5.C.2.d, 5.C.3.a);
4. Demonstrate an understanding of the skills and counseling process when dealing with addictions or substance abuse (CACREP Standard 5.C.2.e, 5.C.3.b);
5. Understand the history and development of the clinical mental health profession, as well as the role the counselor plays in different settings (CACREP Standard 5.C.1.a)

Program Description

The Licensed Professional Counselor Certificate is at least an 18 credit online program completed over that occurs in the summer. Individuals who apply for this certificate will need to meet strict admissions criteria and commit to summer coursework and clinical internships (please see the admission requirements section for more details). Individuals who successfully complete the certificate program will be able to apply to the Connecticut Department of Public Health for their LPC-A (Licensed Professional Counselor - Associate) certification. This certification acknowledges that the individual has completed the coursework and graduate school clinical internship requirements but will still need to complete 3,000 hours of post-graduate supervised counseling work to be able to apply for the full LPC licensure. Program Requirements: The LPC Certificate requirements conform to the Connecticut General Statutes, Chapter 383c (Professional Counselors), requirements from the Connecticut Department of Public Health, the Graduate School, and the Department of Educational Psychology. The LPC Certificate requires satisfactory completion of 18 credits maintaining at least a "B" average. The required courses are listed below; there are no elective courses in this certificate sequence.

Required Courses for the LPC Certificate are: Professional Orientation to Mental Health Counseling; Addictions and Substance Abuse Counseling; Trauma and Crisis Counseling; Diagnosis and Treatment of Mental Disorders; Internship (taken at least twice). Students will be placed in a clinical counseling

internship for a specified number of hours in the summers (600 hours total for the certificate). Internship requirement: Students are required to complete a total of 600 internship hours (240 of those hours must be in direct service) at a clinical mental health setting. The internship complies with the Connecticut General Statutes, Chapter 383c, Professional Counselors, and requirements established by the Connecticut Department of Public Health. Distinctive Features: The certificate program has several distinctive features compared with the other two certificate programs in the state (offered at Central and Southern). UConn's certificate will be fully online and all classes and clinical experiences will occur in the summer. The certificate can be completed in a minimum of two summers or extended so that an individual completes one course per summer. The intention of running this program in the summer is so that current graduate students and practicing school counselors can participate while not having to add a full year of coursework to their graduate programs or to take a leave of absence from work. Students will complete two clinical internships over the summer, 300 hours each summer. The internships will be close to, if not full time, for eight weeks. Thus, the summer courses will be hosted online to accommodate the student's internship schedules. Coursework and the clinical internship schedules will accommodate the schedule of current graduate students, and individuals working in public schools.

Proposed Graduate Catalogue Copy

The Licensed Professional Counselor Certificate is designed for those students who have already completed a master's degree in School Counseling, School Psychology, or a related mental health field at a regionally accredited institution. Applicants must have taken, or, be enrolled in a master's program that requires coursework in the following content areas; human growth and development, social and cultural foundations, counseling theories, counseling techniques, group counseling, career counseling, appraisal procedures, research and evaluation, and a practicum of at least 100 hours. At the conclusion of the coursework and clinical internships individuals can apply for the LPC-A certification from the Connecticut Department of Public Health. Students must complete 18 credits.

Required Courses: EPSY 5625, EPSY 5323, EPSY 5322 (must be repeated for a total of 6 credits), EPSY 5324, EPSY 5626.

Faculty Involvement

Dr. Sara Renzulli, Ph.D., LPC, NCC
Dr. Diandra Prescod, Ph.D., LPC, NCC
Dr. Latoya Haynes-Thoby, Ph.D., LPC, NCC

Enrollment and graduate projections

The certificate is designed to accommodate between 12 and 40 students, and can be completed in a minimum of two summers, but could be extended if students needed additional time. The table below details enrollment projections for the first 4 years of the certificate program. Start Date/Enrollment Projection: Summer 2023 12 Students; Summer 2024 24 Students; Summer 2025 24 Students; Summer 2026 24 Students

Program Evaluation

The program will utilize the following evaluative markers and measures to track effectiveness:

1. Each course in the certificate program will have a Key Performance Indicator (KPI) which will be filled out in Task Stream after the summer session is concluded. Students will complete a self-evaluation mid-way through each internship experience.

2. Internship site-supervisors will complete an evaluation of the student intern mid-way through the internship experience.
3. At the mid-way point in the certificate program (when students have completed two courses and the first internship experience), students will be evaluated by faculty to determine if they are making satisfactory progress.
4. The certificate program will also send surveys to those who have graduated to see if they have found employment which utilizes their LPC.

Program Administration

1. There are several key administrative components to the certificate, which will be handled by Dr. Renzulli. Admissions: Dr. Renzulli will ensure that applicants meet the requirements for admission, audit their transcripts and arrange interviews with the counseling faculty.
2. Teaching Courses: Dr. Renzulli will work with the department head of Educational Psychology to determine who will teach the summer courses for the certificate.
3. Internship Placements / Agreements: Dr. Renzulli will work with each student to secure a summer internship placement. This process will start immediately after the student is admitted into the program.
4. Evaluations: Dr. Renzulli will work with the Neag School Director of Assessment to send out evaluations to students, site supervisors, alumni, and set up the KPI's in Task Stream.

Funding and Financial Resources Needed

No funding is currently needed for the certificate other than allocation of faculty time to develop courses.

Consultation with other potentially affected units

Consultations have already taken place with CETL, School Psychology, the School of Social Work and UConn Health.

Who can apply to this program?

Internal applicants (current UConn students enrolled in another UConn degree or certificate program), External applicants (individuals who are not currently UConn students) - School counseling students and professionals.

Anticipated term and year of first enrollment

June 2023

Admission Requirements

A: Required Coursework / minimum grade in required coursework. Completed or scheduled to take coursework in the following content areas at the graduate level from an accredited higher education institution is required for admission to the program: Human growth & development; -Social and cultural foundations; Counseling theories; Counseling techniques; Group counseling; Career counseling; Appraisals or tests and measurements; Research and evaluation; Practicum, (at least 100 hours). Students need to have earned at least a B in all of these courses.

B: Graduate school GPA. Graduate school GPA of 3.3 or above.

Term(s) to which students will be admitted



Summer

Program Director Name

Sara Renzulli, Assistant Professor-in-Residence, Counselor Education and Counseling Psychology

ATTACHMENT 16

February 22, 2023

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric 

RE: Naming Recommendation for the Gladstein Family Human Rights Institute

RECOMMENDATION:

That in honor of Gary Gladstein and his family's legacy of philanthropic and volunteer service to the human rights programs, the Board of Trustees authorize the naming of the Human Rights Institute, in the Office of Global Affairs, the "Gladstein Family Human Rights Institute."

BACKGROUND:

The Human Rights Institute (HRI) operates within the Office of Global Affairs. The Institute's mission is to advance human rights knowledge and practice through research, teaching, and engagement. As a university-wide program under the Office of Global Affairs, HRI supports interdisciplinary inquiry into the most pressing human rights questions and prepares the next generation of human rights advocates across a range of fields.

Over the past twenty years, Mr. Gary Gladstein and his family have generously supported the Human Rights Institute through personal philanthropy and multiple volunteer positions. Through their philanthropy, the Gladsteins have provided generous unrestricted support and established key endowment funds including the Judi and Gary Gladstein Distinguished Chair in Human Rights, the Gary and Phyllis Gladstein Fund for the Human Rights Institute, and the Marsha Lilien Gladstein Visiting Professor in Human Rights. Most recently, the Gladsteins generously contributed to the creation of the Wiktor Osiatyński Chair in Human Rights. The Gladsteins have also encouraged others in the UConn community to make human rights programs part of their philanthropy by supporting two dollar-to-dollar matches, the most recent of which was completed in December 2022.

In addition to his philanthropy, Mr. Gladstein has served in many volunteer roles with the Foundation and the University. He is a Director *emeritus* of the Foundation, having served from 1998 to 2008. During his tenure on the Foundation Board, he was a member of the Investment Committee and Chair of the Audit Committee. Mr. Gladstein is also a Life Member of the Alumni Association and a former member of the UConn Foundation Campaign Steering Committee, the CLAS Advisory Board (2011 to 2014), the Governing Board of UConn Hillel, and the UConn Technology Transfer Board. This past December, Mr. Gladstein, and his daughter, Mindy Grafstein, became founding members of the Dodd Advisory Board, which provides advisory support for Dodd Human Rights Impact Programs.


Through Mr. Gladstein and his family's legacy, the Human Rights Institute has established one of the largest and most vibrant interdisciplinary human rights studies programs in the country. The Institute is among the top programs in the country in terms of the number of students enrolled in its Human Rights major. HRI has also launched a Master's in Human Rights Program and is preparing to offer a Post-Baccalaureate Certificate in Holocaust and Genocide Studies in collaboration with Judaic Studies and the Neag School of Education. The Institute has hired new faculty and staff, adding four new faculty members in recent years (two jointly appointed with the School of Fine Arts) and two additional administrative support staff members. The Institute is in an active search for the new Wiktor Osiatyński Chair in Human Rights, which will rotate among UConn faculty who are distinguished teachers and scholars in human rights education. The Institute is also conducting a search for an endowed Christopher J. Dodd Chair in Human Rights Practice, who will direct Dodd Impact programs. The Human Rights Institute is poised to solidify its prominence through expanded programs, including a Human Rights Research and Data Hub, a faculty research cluster in Arts and Human Rights, and other new public engagement and outreach programs through Dodd Human Rights Impact.

The Gladsteins' contributions have enabled the Institute to grow substantively, yielding one of the finest programs in the world through their transformational support. The proposed naming recognizes Mr. Gladstein and his family's legacy of philanthropy and volunteer service to the University in support of human rights programs and is consistent with the amount recommended under the University's *Named Gift Guidelines* to name this institute.

The Institutional Advancement Committee approved this recommendation on February 7, 2023.

ATTACHMENT 17

February 22, 2023

TO: Members of the Board of Trustees
FROM: Dr. Radenka Maric 
RE: Naming Recommendation for the Boucher Management & Entrepreneurship Department

RECOMMENDATION:

That the Board of Trustees rename the Management & Entrepreneurship Department in the School of Business as the “Boucher Management & Entrepreneurship Department.”

BACKGROUND:

With courses and programs at the undergraduate, masters and doctoral levels, the Management & Entrepreneurship (M&E) Department teaches students from all of UConn’s schools and colleges at every campus. M&E faculty lead academic institutes and centers that drive research and real-world impact, helping make the Department a major presence in the School of Business, across UConn, and in the global business community.

The Honorable Antonietta “Toni” Boucher is an alumna of the School of Business, where she earned her MBA in 2002. Mrs. Boucher was a member of the General Assembly of the State of Connecticut, where she served as both a Representative and a Senator for districts in Fairfield County. She was co-chair of the Education Committee and a leader on various other committees, including Higher Education, Finance, Appropriation, and Judiciary. Parallel to this public service, she also worked in various capacities at Commonfund, an independent asset management firm focused on not-for-profit institutions. Mrs. Boucher and her now-late husband, Henry “Bud” Boucher, created a scholarship for School of Business students in 2003, the year after her graduation, and she has been actively involved in the activities of the School ever since.

Renaming the Management & Entrepreneurship Department as the Boucher Management & Entrepreneurship Department acknowledges Mrs. Boucher’s significant philanthropic contributions supporting the School of Business, including a scholarship endowment, support for the Student Venture Fund program in her late husband’s name, and a pledge to provide lifetime annual contributions and other deferred commitments in amounts commensurate under the University’s *Named Gift Guidelines*.

The Institutional Advancement Committee approved this recommendation on February 7, 2023.

ATTACHMENT 18

February 22, 2023

TO: Members of the Board of Trustees

FROM: Kimberly Fearney
Associate Vice President and Chief Compliance Officer

RE: Approval of the Policy on Board of Trustees Conflict of Interest

RECOMMENDATION:

That the Board of Trustees approve the Policy on Board of Trustees Conflict of Interest.

BACKGROUND:

Per the *By-Laws of the University of Connecticut*, the Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds. As such, in carrying out its public trust, the adoption of this Policy by the Board of Trustees will enhance public confidence in the Board. Nothing in this Policy shall supersede any responsibilities a Board member may have under the *State Code of Ethics for Public Officials*.

This Policy applies to all members of the Board of Trustees, including appointed, ex-officio, and elected members, as well as non-Board of Trustee voting members of a Board Committee. In addition to this policy, a Board Committee may adopt their own policy to guide the identification and review of conflicts of interest.

This Policy includes guidance and instruction related to a Board Member's fiduciary responsibilities, the use of authority and/or information, competition or diversion of opportunity, and it defines and outlines a process for the disclosure, determination, and addressing of conflicts of interest.

The Joint Audit and Compliance Committee approved this Policy on December 16, 2023.

UConn

Title	Board of Trustees Conflict of Interest, Policy On
Policy Owner	Office of the Board of Trustees
Applies to	Trustees, Non-Trustee Members of Board Committees
Applicability	The Board of Trustees
Effective Date	TBD
For More Information Contact	Executive Secretary to the Board of Trustees
Contact Information	boardoftrustees@uconn.edu
Official Website	http://boardoftrustees.uconn.edu

PURPOSE

Per the *By-Laws of the University of Connecticut*, the Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds (see Article I). As such, in carrying out its public trust, the Board of Trustees has adopted this Policy to enhance public confidence in the Board. Nothing in this Policy shall supersede any responsibilities a Board member may have under the *State Code of Ethics for Public Officials*.

APPLIES TO

This Policy applies to all members of the Board of Trustees, including appointed, ex-officio, and elected members as well as non-Board of Trustee voting members of a Board Committee (“Board Members”). In addition to this policy, a Board Committee may adopt their own policy to guide the identification and review of conflicts of interest.

POLICY STATEMENT

Fiduciary Responsibilities. Board Members will act in a manner consistent with their fiduciary responsibilities to the University. Board Members will place the University’s interests ahead of their private interests. Board Members will exercise their powers and duties in the best interests of the Board and the University and for the public good.

Use of Authority/Information. Board Members will not use their positions, or any privileges or information attendant to their offices, to obtain or provide others with a benefit that is inconsistent with the policies of the University. No Board Member will solicit or accept any gift, loan, or other item of value, or the promise thereof in the future, which would tend to influence improperly the manner in which the Board Member performs their duties.

Competition or Diversion of Opportunity. No Board Member will knowingly compete with the University for any property, asset, or opportunity that may be of interest to the University unless the University has been informed of the opportunity on a timely basis and has declined to act on it. No Board Member will divert to another individual or entity an opportunity that may be of interest to the University unless the University has first been informed of the opportunity and has declined to act on it.

Conflict of Interest. (a) A conflict of interest exists when financial interests or other opportunities for the personal benefit of a Board Member, member of their immediate family or an associated business may compromise the Board Member’s independence of judgment in fulfilling their Board duties. (b) Board

Members will endeavor to remain free from the influence of any conflicting interest in fulfilling their Board duties. Board Members will exercise care that no detriment to the University results from conflicts between their interests and those of the University.

Disclosure of Conflicts. If a Board Member believes that they may have a conflict of interest or is notified of a complaint of non-compliance with this Policy, the Board Member shall promptly and fully disclose the potential conflict to the Executive Secretary to the Board of Trustees and shall refrain from participating in any way in the matter until the conflict question has been resolved. The Executive Secretary to the Board of Trustees shall inform the Chair of the Board, the President, the General Counsel, and the Chief Compliance Officer of any conflicts of interest which have been disclosed to the Executive Secretary.

Determining Conflicts. The opinion of the Chief Compliance Officer, following consultation with the Executive Secretary of the Board of Trustees and General Counsel, shall be final in regard to determining compliance with this Policy. The Executive Secretary to the Board of Trustees may consult with the remaining members of the Board, or other appropriate University personnel, in making the determination.

Addressing Conflicts. If it is determined that a conflict of interest exists, the Chair of the Board, the President, the Executive Secretary of the Board, and the General Counsel shall work with the affected Board Member to address the conflict and explore alternative arrangements that would eliminate the conflict. If after reasonable efforts, it is not possible to reach a mutually acceptable alternative arrangement, the Board Member shall be excluded from participating in the transaction or matter relating to the conflict. If it is determined the Chair of the Board has a conflict, the same process outlined above will be followed, without participation of the Chair.

Violations. If a Board Member fails to disclose a conflict of interest or a conflict is otherwise discovered after the fact, the matter shall be forwarded to the Executive Secretary to the Board of the Trustees for review. The full Board of Trustees shall review the matter and determine corrective action, which may include, but is not limited to, termination of a contract or other appropriate measures.

The Chief Compliance Officer, in consultation with the General Counsel, may develop guidelines and procedures to implement this policy.

POLICY HISTORY

Policy created: *12/16/2022 (Approved by Joint Audit & Compliance Committee)*
XX/XX/XXXX (Approved by the Board of Trustees)

ATTACHMENT 19

February 22, 2023

TO: Members of the Board of Trustees

FROM: Kimberly Fearney
Associate Vice President and Chief Compliance Officer

RE: Approval of the Policy on Instruction and Training for Newly Appointed and Elected Members of the Board of Trustees

RECOMMENDATION:

That the Board of Trustees approve the Policy on Instruction and Training for Newly Appointed and Elected Members of the Board of Trustees.

BACKGROUND:

In accordance with Public Act 22-16, the Executive Secretary to the Board of Trustees will provide training, mandated for all newly appointed and elected members of the Board, within twelve (12) months of the Trustee's appointment or election. This Policy aims to establish uniform and consistent training for newly appointed and elected members of the Board of Trustees in areas related to the University's academic, physical, and financial operations.

Newly appointed and elected Trustees will receive instruction or training on duties to the state and the University, including, but not limited to, methods for meeting associated statutory, regulatory, and fiduciary obligations; the functions and purviews of all the Board's Committees; professional accounting and reporting standards; applicable provisions of the Freedom of Information Act; institutional and statutory ethical responsibilities and obligations; student tuition, mandatory fees, and student debt trends; institutional advancement; and student welfare issues.

The Joint Audit and Compliance Committee approved this Policy on December 16, 2023.

UConn

Title	Instruction and Training for Newly Appointed and Elected Members of the Board of Trustees, Policy On
Policy Owner	Office of the Board of Trustees
Applies to	Appointed or Elected Trustees
Applicability	The Board of Trustees
Effective Date	January 3, 2023
For More Information Contact	Executive Secretary to the Board of Trustees
Contact Information	boardoftrustees@uconn.edu
Official Website	http://boardoftrustees.uconn.edu

PURPOSE

To establish uniform and consistent training for newly appointed and elected members of the Board of Trustees in areas related to the University's academic, physical, and financial operations.

APPLIES TO

This policy applies to all members of the Board of Trustees appointed by the Governor or elected by student or alumni constituencies.

POLICY STATEMENT

In accordance with Public Act 22-16, the Executive Secretary to the Board of Trustees will provide training, mandated for all newly appointed and elected members of the Board, within twelve (12) months of the Trustee's appointment or election.

As mandated by the public act, Trustees will receive instruction or training in the following:

1. Duties to the state and the University, including methods for meeting associated statutory, regulatory, and fiduciary obligations.
2. The functions and purviews of all the Board's Committees.
3. Professional accounting and reporting standards.
4. Applicable provisions of the Freedom of Information Act, as defined in section 1-200 of the general statutes.
5. Institutional and statutory ethical responsibilities and obligations, including the Board's Policy on Conflicts of Interest.
6. University process for the development and implementation of policies.
7. Higher education business and administrative operations, including budgeting, financing, financial reporting and services, and endowment management.
8. Student tuition, mandatory fees, and student debt trends.
9. Planning, construction, maintenance, expansion, renovation, and oversight related to projects and plans that impact the infrastructure, physical facilities, and natural environment under the Board's jurisdiction.
10. Workforce planning, strategy, and investment.
11. Institutional advancement, including philanthropic giving, fundraising initiatives, alumni engagement and programming, communications and media, government and public relations, and community affairs.

12. Student welfare issues, includes academic studies, curriculum, residence life, student governance and activities, and the general and overall physical and mental well-being of students.
13. Current and anticipated issues in higher education.
14. Other topics as the Board Chair, Executive Secretary, or President deem necessary and appropriate.

The Executive Secretary to the Board of Trustees, in consultation with General Counsel, may update this policy to reflect any future statutory changes.

POLICY HISTORY

Policy created: 12/16/2022 *(Approved by Joint Audit & Compliance Committee)*
XX/XX/XXXX *(Approved by the Board of Trustees)*

ATTACHMENT 20

February 22, 2023

TO: Members of the Board of Trustees

FROM: Dr. Radenka Maric 

RE: Appointment of Board Representative to the Connecticut Agricultural
Experiment Station Board of Control

RECOMMENDATION:

That pursuant to Connecticut General Statutes Chapter 426, Sec. 22-79, Dr. Kumar Venkitanarayanan be appointed as the Board representative to the Connecticut Agricultural Experiment Station Board of Control for the period January 1 to June 30, 2023, to fill the unexpired term of Dr. Michael Patrick O'Neill, who was first appointed in July, 2020, and retired January 1, 2023. Dr. Venkitanarayanan will serve a full three-year term beginning July 1, 2023.

BACKGROUND:

Dr. Venkitanarayanan currently serves as Associate Dean for Research and Graduate Studies in the College of Agriculture, Health and Natural Resources.

The following is the State statute, Chapter 426, Sec. 22-79, which authorizes the Board of Trustees to appoint an appropriate representative to the Connecticut Agricultural Experiment Station Board of Control.

“Sec. 22-79. Connecticut Agricultural Experiment Station. Board of control. The Connecticut Agricultural Experiment Station shall be within the Department of Agriculture for administrative purposes only. The management of the Connecticut Agricultural Experiment Station shall be vested in a board of control, consisting of eight members, one of whom shall be the Commissioner of Agriculture or some person to be selected by him, one of whom shall be selected by the Board of Trustees of The University of Connecticut, one by the governing board of the Sheffield Scientific School and one by the Board of Trustees of Wesleyan University, and two of whom shall be appointed by the Governor. The Governor and the director of the station shall be, ex officio, members of said board of control. The members of the board shall continue in office for the term of three years from the first day of July next succeeding their appointment. Upon the death or resignation of a member of the board, the authority or institution by which such member was appointed shall fill the vacancy.”

INFORMATIONAL ITEMS

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Abarno,Gina Michelle	Admin Program Support 2	Pathobiology	1/27/2023
Analoui,Mostafa	Research Professor	Biomedical Engineering	1/1/2023
Arganaraz Gomez,Melisa	Asst Professor in Res	Urban Studies Program	1/1/2023
Bard-Martel,Maryse	Specialist IA	Athletics WI Soccer	1/27/2023
Bernstein,Anna	Professor - LAW	Law Instruction and Research	1/1/2023
Boardman,Michelle L	U Staff Professional 2	Innovations Institute	11/18/2022
Bonadio Jr,Francis Anthony	Assoc Research Professor	Innovations Institute	12/30/2022
Bosset,Morgan	Admin Program Support 3	Innovations Institute	12/30/2022
Boucher,Gregory D	Ed Program Administrator	CT Entrepreneurship Innov Ctr	1/27/2023
Bradshaw,Emily Almand	Senior Admin Program Support	Innovations Institute	12/30/2022
Brown,Tiara S	Ed Program Assistant 2	Innovations Institute	12/30/2022
Butikofer,Jason Francis	U Staff Professional 4	Athletics	1/10/2023
Butler-Trump,Lindsay	Asst Professor	Speech, Lang and Hearing Sci	1/1/2023
Callender Jr,Bryan Gilbert	Publicity/Marketing Coord	Public Policy	12/2/2022
Carlisle,Kaylee	Ed Program Assistant 1	Dept of Extension Hartford	11/4/2022
Casaly,Allison Mary	Ed Program Coordinator	Global Affairs	12/2/2022
Chavez Carlos,Jorge	Postdoctoral Research Assoc	Physics	12/2/2022
Chishty,Wajid Ali	Professor in Residence	Mechanical Engineering	1/1/2023
Coburn,Mary Kathryn	Research Asst 1	Educational Psychology	1/13/2023
Cole,Emily Morgan	Ed Program Assistant 1	Music	1/27/2023
Conklin,Laurie D.	Contract Specialist 2	University Business Services	12/2/2022
Costabile,Gino Adam	Academic Asst 1	Connecticut Repertory Theatre	12/2/2022
Covell,Marlene Matarese	Assoc Research Professor	Innovations Institute	12/30/2022
Coviello,Kimberly Anne	Admin Program Manager 2	Innovations Institute	12/30/2022
Craig,Allison Lynette Balajadia	Admin Program Support 3	Innovations Institute	12/30/2022
Craun,Elizabeth Woodworth	U Staff Prof III & Director	Planning, Design and Construct	11/4/2022
Crichlow,Vaughn Joel	Assoc Research Professor	Inst for Municipal & Rgnl Plcy	1/13/2023

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Czeczotka,Erin E	Laboratory Assistant	Molecular and Cell Biology	1/13/2023
Dammati,Sai Sandeep	Postdoctoral Research Assoc	Mechanical Engineering	11/4/2022
Davis,Kearsten Staige	Software Developer 2	Enterprise Applications	11/18/2022
Decker,Kaitlyn	Ed Program Assistant 2	Innovations Institute	12/30/2022
Deng,Limin	Postdoctoral Research Assoc	Chemistry	12/19/2022
Devarakonda,Parvathi Madhavi	Postdoctoral Research Assoc	Molecular and Cell Biology	12/2/2022
Diaz,Yomarie	Student Services Prog Coord	Community Standards	12/30/2022
Diyaroglu,Cagan	Postdoctoral Research Assoc	Mechanical Engineering	1/13/2023
Donnelly,Antoinette T	Admin Program Support 4	Innovations Institute	12/30/2022
Downs,Michael Glenn	Academic Advisor 1	CAHNR Acad Prog	11/18/2022
Duduta,Mihai	Asst Professor	Mechanical Engineering	1/1/2023
Dunn,Alyssa Hadley	Director & Assoc Prof 11 Mo	Ed Curriculum and Instruction	1/1/2023
Dunn,John Kevin	Visiting Asst Professor	Human Rights Institute	1/1/2023
Duvall,Joshua Ryan	Admin Program Support 1	Nutritional Sciences	11/18/2022
Ebron,Kolin Avery	Academic Advisor 2	CLAS Academic Services	11/18/2022
Estep,Kimberly Michelle	Asst Extension Professor	Innovations Institute	12/30/2022
Faipler,Danielle Austin Louise	Publicity/Marketing Coord	InCHIP	11/4/2022
Ferreira,Bianca Tasha	Research Asst 1	Ecology and Evolutionary Bio	1/13/2023
Fiducia,Kathryn Ann	Librarian 1	UConn Library	1/13/2023
Fletcher,Darquita	Admin Program Manager 2	Innovations Institute	12/30/2022
Flynn,Kara	Librarian 2	Library Archives SpecCollects	1/27/2023
Foster,Stephanie	Business Ops Specialist 1	Innovations Institute	12/30/2022
Friedman,Paul Raymond	Specialist IA	Athletics Sports Medicine	1/27/2023
Fulcher,Sheldron	Student Services Prog Coord	Student Activities	12/2/2022
Galvin,Claire Marie	Comm and Publicity Manager	Engineering	1/13/2023
Garcia,Vanessa	Library Assistant 1	UConn Library	12/30/2022
Garland,Lisa Amanda	Senior Admin Program Support	Innovations Institute	12/30/2022

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Geary,Sara J	Admin Program Support 1	Speech, Lang and Hearing Sci	12/30/2022
Getty,Rosanna Nicole	Research Asst 1	CT Transportation Institute	12/30/2022
Gianetti,Todd Michael	Envir Health and Safety Spec 1	Environmental Hlth and Safety	12/2/2022
Gilman,Danielle Nicole	Asst Professor in Res	English	1/1/2023
Godino Loring,Patricia L	Student Services Prog Assist 2	Residential Life	1/27/2023
Goldman,Emily	Admin Program Manager 1	Innovations Institute	11/18/2022
Gossett,Jessika	Student Services Prog Assist 2	Veteran Military Prog and Svcs	12/30/2022
Gould-Kabler,Carrie Margaret	Research Asst 3	Innovations Institute	12/30/2022
Govert,Nicole	Research Asst 2	CT Inst Resilience and Adapt	1/27/2023
Grady,Katherine K	U Staff Professional 1	Research	1/13/2023
Graham,Jeanelle Leticia	Admin Program Support 4	Research Compliance	1/13/2023
Greene,Owen	Research Asst 1	Physiology and Neurobiology	12/2/2022
Greeno,Elizabeth Jane Daniels	Assoc Research Professor	Innovations Institute	12/30/2022
Gunn,Meredith Waudby	Educational Program Manager 2	Innovations Institute	11/18/2022
Haider,Syed Rizwan	Software Developer 2	Enterprise Applications	11/18/2022
Hallarin,Michael George	Senior Facilities Professional	Academic Renovations	11/18/2022
Hammond,Paige	Research Asst 3	Innovations Institute	12/30/2022
Handley,Nicole Foster	Admin Program Support 3	Innovations Institute	12/30/2022
Harburger,Deborah Sarah	Asst Extension Professor	Innovations Institute	11/18/2022
Harder,Amy	Assoc Dean & Professor	Agriculture,Health,Natural Rcs	1/27/2023
Heiner,Kylie Nikole	Grants and Contracts Dvpmt Off	CT Transportation Institute	11/4/2022
Heyduk,Caroline	Asst Professor	Ecology and Evolutionary Bio	1/1/2023
Hinton,Ryan Patrick	Sr Student Services Prog Admin	Veteran Military Prog and Svcs	12/30/2022
Holmes,Tatiana J	U Ed Asst 3	Research	12/30/2022
Jednak,Annie Farrell	Student Services Prog Assist 1	Students with Disabilities Ctr	1/18/2023
Jordan, Carey L	Student Services Prog Assist 2	Students with Disabilities Ctr	12/30/2022
Kayode,Oyindamola	Postdoctoral Research Assoc	Tech Park	1/13/2023

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Khan,Md Azizur Rahman	Postdoctoral Research Assoc	Materials Science Institute	1/13/2023
Koffman,Rachel Marie	Financial Assistant 1	CLAS Business Center	11/18/2022
Korzeniowski,Maria	Financial Assistant 2	Tech Park	12/2/2022
Kremer,Colin T	Asst Professor	Ecology and Evolutionary Bio	1/1/2023
Krzywda,Matthew Rodgers	Facilities Professional	Pharmacy	11/4/2022
Lamb,Janice Madison	Admissions Officer 2	Avery Point Campus	12/30/2022
LaPointe,Jessica	Procurement Specialist 2	University Business Services	11/18/2022
Lee,SooWan	Postdoctoral Research Assoc	Pharmaceutical Science	1/13/2023
Li,Han	Data Administrator 3	Enterprise Systems	12/30/2022
Liburd,Lydia Karen	Admin Program Support 2	Procurement Services	1/13/2023
Lieman,Rebecca Bertell	Publicity/Marketing Coord	Innovations Institute	12/30/2022
Liggett,Aime E	Admin Program Support 2	Nursing	12/2/2022
Lin,Rong-Chien	Postdoctoral Research Assoc	Ecology and Evolutionary Bio	1/13/2023
Lindblad,Erik Robert	Audio Visual Specialist	Campus Technology Services	12/2/2022
Loftus,Tyler Quinn	Specialist IA	Athletics	1/20/2023
Longanecker,Mathew Cushing	U Staff Professional 3	Planning, Design and Construct	1/13/2023
Macharelli Jr,David R	Media Producer 2	Social Work Instruct and Rsrch	11/18/2022
Manley,Elizabeth	Asst Extension Professor	Innovations Institute	12/30/2022
Mayland Jr,Donald Kirton	Research Scholar	CT Inst Resilience and Adapt	1/13/2023
McAssey IV,Edward Vincent	Asst Professor in Res	Ecology and Evolutionary Bio	1/1/2023
McNerney,Megan A	Admin Program Support 2	Nursing	11/4/2022
Metz,Grace	Research Asst 1	Innovations Institute	12/30/2022
Middleton,Shea Colin	Sr Student Services Prog Admin	Community Standards	11/4/2022
Mills,Christopher S	Equipment Technician 1	Marine Sciences	1/27/2023
Molbert,Noelie	Postdoctoral Research Assoc	Natural Resources and Environ	11/18/2022
Moore,Kashif	Specialist IIA	Athletics MI Football	1/31/2023
Morse,Andrew Richard	Software Developer 2	Enterprise Applications	12/16/2022

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Morton,Goldie	Sen Ed Program Administrator	Innovations Institute	12/30/2022
Mosher,Daniel Keith	Senior Facilities Professional	Academic Renovations	11/18/2022
Mudzingwa,Emily Anne	Asst Research Professor	InCHIP	11/18/2022
Nagaraj,Shruthi	Research Asst 2	UTC Inst Advanced Systems Engr	12/30/2022
Nagrotsky,Kathryn	Asst Clinical Professor	Education	1/13/2023
Ochoteco,Tania Y	Financial Analyst 1	Engineering	12/2/2022
Orlova,Elena	Research Asst 2	CT Transportation Institute	11/4/2022
Ormsby,Michael	U Staff Professional 3	Enrollment Planning and Mgmt	1/27/2023
O'Rourke,Patricia Marie	Research Assoc 1	Inst for Municipal & Rgnl Plcy	11/4/2022
Ortenberg,Ron	Asst Professor in Res	Molecular and Cell Biology	1/1/2023
Perera,Amal Shehan	Postdoctoral Research Assoc	Natural Resources and Environ	12/16/2022
Periverzov,Eileen Rose	Admin Program Support 2	CAHNR Acad Prog	12/30/2022
Petry,Emily Erin	Ed Program Assistant 1	CLAS Business Center	1/27/2023
Piscitelli,Daniele	Asst Professor	Kinesiology	1/1/2023
Poonam Gopika Vinayamohan,FNU	Asst Research Professor	Animal Science	1/13/2023
Powell,Kory Adam	Admin Program Support 1	Experiential Global Learning	11/18/2022
Prunier,Rachel Elise	Academic Asst 4	Faculty Development	1/13/2023
Qiao,Mingyu	Asst Professor	Agriculture,Health,Natural Rcs	1/1/2023
Quinn,Sarah Elizabeth	Senior Admin Program Support	Innovations Institute	12/30/2022
Rasamsetty,Amaleswari	Postdoctoral Research Assoc	Chemistry	12/16/2022
Rattenni,Alize Paola	Admin Program Support 4	Innovations Institute	12/30/2022
Reilly,Anastasia Rae	Admin Program Support 2	Computer Sci and Engineering	1/13/2023
Reynoso,Samantha	Research Asst 1	Molecular and Cell Biology	12/30/2022
Richey,Natalie Theresa May	Senior Admin Program Support	Innovations Institute	12/30/2022
Rodriguez,Alenies Shanelle	Ed Program Assistant 1	Philosophy	11/18/2022
Rosado,Victoria Alexis	Financial Assistant 2	CLAS Grant Management	12/30/2022
Rose,Brittany	Ed Program Assistant 1	Innovations Institute	12/30/2022

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Ruiz,Hector Camilo	Asst Professor	Anthropology	1/1/2023
Ryan,Michael Francis	Specialist IA	Athletics	1/20/2023
Sapumal,Hanthige Gayan	Research Asst 3	Chemistry	1/27/2023
Scabich,Jonathan Allen	Software Developer 1	CLAS Information Technology	11/18/2022
Schober,Melissa	Research Assoc 1	Innovations Institute	12/30/2022
Serra Diaz,Jose Maria	Asst Research Professor	Eversource Energy Center	1/1/2023
Sherafat,Elham	Asst Professor in Res	Computer Sci and Engineering	1/1/2023
Siggins,Jenny Hwang	Admin Program Support 1	Business	1/13/2023
Sisk,Stacy	Ed Program Assistant 2	Law	12/2/2022
Smith,Ley Cody	Asst Professor	Pharmaceutical Science	1/1/2023
Smith,Lindsay Kyle	Admin Program Support 3	Innovations Institute	12/30/2022
Speaker,Kaitlyn Kara	Ed Program Administrator	Business Graduate Programs	1/27/2023
Spera,Lisa Jeanne	Senior Admin Program Support	Innovations Institute	12/30/2022
Srivastava,Ankur	Postdoctoral Research Assoc	Eversource Energy Center	1/1/2023
Stapelfeldt,Anna Marlana	Research Asst 1	Ecology and Evolutionary Bio	11/18/2022
Strader,Sara	Senior Admin Program Support	Innovations Institute	12/30/2022
Suh, Ji Won	Postdoctoral Research Assoc	Natural Resources and Environ	11/21/2022
Sulzbach,Denise Cave	Asst Extension Professor	Innovations Institute	12/30/2022
Summers,Cheyenne Star	Research Asst 2	Animal Science	12/16/2022
Summers,Julia Alyse	Financial Analyst 2	Law	12/2/2022
Summers,Shelby Louise	Student Services Prog Mngr 1	Law	11/18/2022
Sutton,Nora Louise	Educational Program Manager 2	Engineering	12/2/2022
Swanson,Ellen Scarlett	Ed Program Assistant 1	Law	12/16/2022
Syracuse,Margot Lee	Laboratory Technician 2	Pathobiology	1/27/2023
Taghizadeh Mehrjardi,Ruhollah	Postdoctoral Research Assoc	Plant Sci and Landscape Arch	1/13/2023
Urban,Alexandra Elizabeth	Financial Assistant 2	CLAS Grant Management	12/30/2022
Valenta,Rebekah C	Admin Program Support 4	Innovations Institute	12/30/2022

**University of Connecticut Department of Human Resources
Hires Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
Wang,Yuxiang	Postdoctoral Research Assoc	Pathobiology	1/13/2023
Wang,Zhiguo	Visiting Asst Professor	Mathematics	1/18/2023
Warner,Sarah	Admin Program Support 3	Innovations Institute	12/30/2022
Weeks,Angela	Admin Program Manager 2	Innovations Institute	12/30/2022
Weese,Raleigh Anna	Sr Student Services Prog Admin	Community Standards	11/18/2022
Weinel,Anne Elizabeth	Grants and Contracts Spec	Innovations Institute	12/30/2022
Wellington,Ryan	Financial Assistant 1	Education	12/16/2022
West,Samantha Irene Eldredge	Financial Assistant 2	Environmental Sci and Engr Ctr	12/16/2022
Whiteford,Jacob Paul	Lead Instructional Developer	Innovations Institute	12/30/2022
Wilcox,Curtis Antonio	Specialist IIA	Athletics MI Football	12/16/2022
Williams, Jamie W	Financial Assistant 1	Agriculture,Health,Natural Rcs	12/16/2022
Wolnitzek,Gary Albert	Ed Program Administrator	Innovations Institute	12/30/2022
Xiao,Zhenlei	Assoc Professor in Res	Nutritional Sciences	1/1/2023
Yer,Huseyin	Facility Scientist 3	Clean Energy Engineering Ctr	12/30/2022
Yeung,Hung Wai	Financial Assistant 2	Animal Care	12/2/2022
Zabel,Michelle	Executive Director	Innovations Institute	12/30/2022
Zarkada,Georgia	Asst Professor	Physiology and Neurobiology	1/1/2023
Zhao,Jin	Postdoctoral Research Assoc	Allied Health Sciences	11/1/2022
Zott,Karen A	Ad Practice Registered Nurse	Student Health and Wellness	12/2/2022

University of Connecticut Department of Human Resources
Separations Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Abreu,Gabriel	Systems Administrator 1	Separation	Enterprise Systems	11/5/2022
Almasi,Ashkan	Postdoctoral Research Assoc	Separation	Mechanical Engineering	11/12/2022
Analoui,Mostafa	U Staff Professional 3	Separation	Tech Comm and Industry Rltns	10/27/2022
Aniello,Daniel F.	Admin Program Manager 3	Separation	Stamford Campus	11/18/2022
Bailey,Sarah T	Ed Program Coordinator	Retirement	Dept of Extension Hartford	1/1/2023
Barthel,Elijah	Specialist IIA	Separation	Athletics MI Football	12/2/2022
Bartlett,Kelly L	Student Services Prog Mngr 3	Separation	Waterbury Campus	11/17/2022
Berger,Deborah F	DISTINGUISHED PROFESSOR	Retirement	Psychological Sciences	1/1/2023
Berthelot,Anne	Professor	Retirement	Lit, Cultures and Languages	1/1/2023
Blake,Thomas	Procurement Specialist 1	Separation	Procurement Services	12/15/2022
Bodle,Jessica Marie	Admin Program Support 1	Separation	Pathobiology	11/12/2022
Bucklin,Ann	Professor	Retirement	Marine Sciences	1/1/2023
Buda,Megan	U Staff Professional 3	Separation	Community Standards	11/29/2022
Burgess,Karin Whiting	Publicity/Marketing Admin	Separation	Pharmacy	12/17/2022
Burke,Sharon L	Media Producer 2	Death	Social Work Instruct and Rsrch	6/30/2022
Celestin,Roger	Professor	Retirement	Lit, Cultures and Languages	1/1/2023
Damiata,Mario J	Research Asst 3	Separation	CT Transportation Institute	4/9/2022
Daniels,Gregory	University Director	Separation	Procurement Services	1/13/2023
Daugherty,Eleanor JB	Assoc Vice President	Separation	Dean of Students	1/3/2023
Davidson,Gregory Beau	Specialist IA	Separation	Athletics MI Football	1/6/2023
Dougherty,Caitlin E	Student Services Prog Coord	Separation	Law	12/6/2022
Fekete,Christopher Douglas	Postdoctoral Research Assoc	Separation	Physiology and Neurobiology	11/22/2022
Fernandez-Illescas,Coral Pilar	Student Services Program Admin	Separation	Enrichment Programs	1/4/2023
Fraga,Guilherme Crivelli	Postdoctoral Research Assoc	Separation	Clean Energy Engineering Ctr	12/30/2022
Gabelman,Nicole Deanna	Admin Program Support 3	Death	Plant Sci and Landscape Arch	11/17/2022
Galligan,Jonathan M.	Admin Program Manager 1	Separation	Accounts Payable	11/29/2022
Grainger,Rowena P	Sr Student Services Prog Admin	Separation	Enrichment Programs	1/7/2023

University of Connecticut Department of Human Resources
Separations Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Hatchfield,H Perry Tunick	Postdoctoral Research Assoc	Separation	Physics	1/4/2023
Higgins,Roxanne Emily	Student Services Prog Coord	Separation	Student Activities	12/7/2022
Hofer,Courtney Reid	Specialist IA	Separation	Athletics WI Soccer	11/5/2022
Hubbard,Daniel Craig	Mngr Ath Equip and Facilities	Separation	Athletics MI Football	11/3/2022
Jones,Hilarie	Ad Practice Registered Nurse	Separation	Student Health and Wellness	1/1/2023
Kader,Amina	Student Services Program Admin	Separation	Intl Student and Scholar Svcs	1/27/2023
Khan,Md Tarique Hasan	Postdoctoral Research Assoc	Separation	Civil and Environ Engineering	11/24/2022
Koebel,Carly	Ed Program Administrator	Separation	Political Science	1/1/2023
Kottwitz,Jennine K	Library Assistant 1	Separation	Law Library and Technology	10/15/2022
Kushner,Jeffrey M.	Network Administrator 2	Separation	Network Engr and Design	12/7/2022
Lachut,Kimberly M	Ed Program Administrator	Separation	Business	11/1/2022
Lauzier,Meagan Leigh	U Ed Asst 3	Separation	Human Resources Operations	12/6/2022
LeClair,Jessica H	Asst Coop Ext Edu	Separation	Department of Extension	11/2/2022
Mancini,Sally A.	Educational Program Manager 1	Separation	InCHIP Rudd Center	1/1/2023
Mariotti,Sharon E	Ed Program Assistant 1	Separation	Mechanical Engineering	10/22/2022
Massidda,Caterina	Research Asst 1	Separation	CT Inst Resilience and Adapt	12/3/2022
Matson,Kirk J	Theater Operations Manager	Retirement	von der Mehden Recital Hall	7/1/2022
McCauley,Molly Elizabeth	Laboratory Technician 2	Separation	Pathobiology	11/4/2022
McComas,Garrett Norbert	Postdoctoral Research Assoc	Separation	UConn Library	1/7/2023
McKenna,Meaghan	Asst Research Professor	Separation	Educational Psychology	12/20/2022
Mcmahon,Erin R.	Sr Student Services Prog Admin	Separation	Student Activities	11/18/2022
Mitchell,Barbara A	Library Assistant 3 - Manager	Death	UConn Library	4/20/2022
Monahan Wilding,Jolene L.	Sen Ed Program Administrator	Separation	Social Work Instruct and Rsrch	11/4/2022
Moroch,Katarina Harley	Research Asst 2	Separation	Social Work Instruct and Rsrch	10/29/2022
Mullaney,Nancy	U Staff Professional 3	Separation	Dining Services	10/28/2022
Munoz Arbelaez,Santiago	Asst Professor	Separation	UConn	8/23/2022
Murphy,Mackenzie Rhaea	Ed Program Assistant 2	Separation	Liberal Arts and Sciences	1/13/2023

University of Connecticut Department of Human Resources
Separations Processed from November 1, 2022 to January 31, 2023
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Naik,Swapna Gangadhar	Postdoctoral Research Assoc	Separation	Chemistry	1/4/2023
Negron Roman,Hiram D	Media Producer 1	Retirement	Social Work Instruct and Rsrch	12/1/2022
O'Neill,Michael	Assoc Dean & Professor	Retirement	Agriculture,Health,Natural Rcs	1/1/2023
Paquette,Jessica M	Senior Admin Program Support	Separation	University Communications	1/13/2023
Portuguez,Ricky P	Systems Administrator 2	Separation	Campus Technology Services	12/30/2022
Powell, Simone A	Research Asst 3	Separation	Social Work Instruct and Rsrch	12/2/2022
Prakash,Nishith	Assoc Professor	Separation	Economics	1/2/2023
Prudente,Yvonne Rachel	Finance Manager 1	Separation	Fine Arts	1/13/2023
Quardokus,Rebecca C	Asst Professor	Separation	Chemistry	1/9/2023
Ravi Narayan,Lakshmi	Postdoctoral Research Assoc	Separation	Tech Park	11/2/2022
Reed,Jess E	Financial Assistant 2	Separation	Fine Arts	1/13/2023
Reichle,Sarah E	Admin Program Support 1	Separation	Agricultural and Resource Econ	12/2/2022
Rodgers,Maria L	Postdoctoral Research Assoc	Separation	Ecology and Evolutionary Bio	1/2/2023
Rouse,Mary E	U Ed Asst 1	Separation	General Counsel	1/13/2023
Sasaki,Matthew	Postdoctoral Research Assoc	Separation	Marine Sciences	1/1/2023
Sikes,Jillian Elise	Specialist IA	Separation	Athletics WI Volleyball	12/10/2022
Silveira,Jacob Nathaniel	Residence Hall Director	Separation	Residential Life	1/6/2023
Sitkowski,Robert	U Staff Professional 3	Retirement	Planning, Design and Construct	1/1/2023
Slingluff,Caitlyn	Asst Trainer (Specialist IA)	Separation	Athletics Sports Medicine	1/5/2023
Srimatkandada,Padma	IT Team Lead 2	Separation	Student Affairs Info Tech	12/10/2022
Steinbach,Sandro	Asst Professor	Separation	Agricultural and Resource Econ	11/2/2022
Tavousi,Pouya	Senior Research Scientist	Separation	Materials Science Institute	10/20/2022
Tesla,Yudhistira	Postdoctoral Research Assoc	Separation	Chemistry	12/1/2022
Testerman,Todd	Postdoctoral Research Assoc	Separation	Molecular and Cell Biology	1/1/2023
Toger,Danielle	U Ed Asst 3	Separation	Human Resources Operations	1/1/2023
Tyson,Alicia Felice	Visiting Asst Ext Educator	Separation	Department of Extension	11/19/2022
Van Scoter,Diane	Assoc Professor in Res	Separation	Mechanical Engineering	12/5/2022

**University of Connecticut Department of Human Resources
 Separations Processed from November 1, 2022 to January 31, 2023
 Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Vega,Solmary	Laboratory Assistant	Separation	Molecular and Cell Biology	1/4/2023
Vinal,Stephanie	Financial Assistant 1	Separation	Chemistry	1/13/2023
Walker,Devon M	Residence Hall Director	Separation	Residential Life	11/18/2022
Walsh,Alexander	Institutional Resrch Analyst 1	Separation	Budget, Plan and Inst Research	12/16/2022
Wang,Ningzhen	Postdoctoral Research Assoc	Separation	Materials Science Institute	11/17/2022
Wang,Yifei	Asst Research Professor	Separation	Materials Science Institute	1/9/2023
Watson,Peter Lawrence	Postdoctoral Research Assoc	Separation	Eversource Energy Center	1/1/2023
White,Kathryn	Animal Care Specialist	Separation	Animal Care	10/22/2022
White,Simon James	Asst Professor	Separation	Molecular and Cell Biology	12/10/2022
Wu,Chao	Asst Research Professor	Separation	Materials Science Institute	11/17/2022
Xiao,Lixiang	Financial Assistant 1	Separation	Student Activities	11/18/2022
Yalof,David A	Department Head & Professor	Retirement	Political Science	1/1/2023
Zacchea,Michael J	Educational Program Manager 1	Death	Full-Time MBA Program	4/22/2022

University of Connecticut Department of Human Resources
Leaves of Absence Processed through 2/1/23
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Abibou, Deborah	Visiting Asst Ext Educator	Department of Extension	11/16/2022	11/18/2022	Bonding	Unpaid
Magnuson, James	Professor	Psychological Sciences	01/06/2023	05/22/2023	Research	Partially Paid - (56%)
Hennessy, Briana	Asst Research Professor	Educational Psychology	8/25/2022	10/5/2022	Maternity	Unpaid
Hennessy, Briana	Asst Research Professor	Educational Psychology	10/6/2022	1/9/2023	Bonding	Unpaid
Lisboa, Maria	Clinical Instructor	Nursing Instruct and Research	11/1/2022	1/25/2023	Medical	Unpaid

COMMITTEE AGENDAS

AGENDA

Meeting of the
BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE
February 14, 2023 at 10:00 a.m.
University of Connecticut

Meeting held by Telephone

Public Call In Number:

(415) 655-0002 US Toll

Access Code: 262 051 63657

Public Streaming Link (with live captioning): <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*

* Individuals who wish to speak during the Public Participation portion of the Tuesday, February 14, meeting must do so 24 hours in advance of the meeting's start time (i.e., 10:00 a.m. on Monday, February 13) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). Per the University By-Laws, the Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

APPROVAL ITEMS:

TAB

- | | |
|---|---|
| 2. Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of November 29, 2022, as circulated. | 1 |
|---|---|

PRESENTATION/DISCUSSION ITEMS:

- | | |
|---|---|
| 3. Transfer of University Property to Quentin Kessel | 2 |
| 4. Office of Construction Assurance
➤ Presenter: David Hook, Construction Auditor | 3 |
| 5. UConn Health Updates, Facilities Development and Operations
➤ Presenter: George Karsanow, Associate Vice President for UConn Health
Campus Planning, Design & Construction | 4 |
| 6. Project Updates ~ Storrs Based Programs
➤ Presenter: Laura Cruickshank, Associate Vice President for University Planning,
Design and Construction
➤ Presenter: Michael Jednak, Associate Vice President for Facilities Operations | 5 |

7. **Projects Reviewed by BGE and to be presented to Financial Affairs on 02/21/23:**

<u>STORRS BASED PROGRAMS</u>	<u>Phase</u>	<u>Budget</u>	<u>Tab</u>
Branford House Exterior Repairs, Phase 1 & 2	Final	\$800,000	6
 <u>UConn HEALTH</u>			
UCH Transitional Nursery Renovation	Design	\$1,800,000	7
UCH Health Information Management (HIM) Workplace Improvements	Final	\$763,000	8
UCH 16 Munson Road Parking Lot Paving	Revised Final	\$1,615,000	9

INFORMATION ITEMS:

- 8. Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) 10
- 9. Status of Code Correction Projects 11
 - Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report
 - Quarterly Construction Status Report, Period Ending December 31, 2022
https://updc.uconn.edu/wp-content/uploads/sites/1525/2023/02/UConn_Quarterly_Construction_Status_Report_12312022_web.pdf
- 10. Construction Projects Status Report
<https://bpir.uconn.edu/home/capital-budget/capital-reports-and-presentations/construction-status-reports/>
- 11. Other Business
- 12. Executive Session (*As Needed*)
- 13. Adjournment

SPECIAL TELEPHONE MEETING
UNIVERSITY OF CONNECTICUT BOARD OF TRUSTEES
COMMITTEE ON COMPENSATION

AGENDA

Meeting held by Telephone

December 16, 2022

Public Call In Number:
(415) 655-0002 US Toll
Access Code: 2623 029 1643

Public Access Link (with live captioning):
<http://ait.uconn.edu/bot>

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

Call to order at 8:15 a.m.

1. Public Participation (limited to agenda items)*
* If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing **24 hours in advance of the start of the meeting (by Thursday, December 15 at 8:15 a.m.)** to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.
2. Minutes of the Committee on Compensation Special Meeting of September 9, 2022
3. Executive Session
4. Adjournment

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

AGENDA

Meeting of the CONSTRUCTION MANAGEMENT OVERSIGHT COMMITTEE (CMOC)

February 14, 2023 at 10:00 a.m.

University of Connecticut

Meeting held by Telephone

Public Call In Number:

(415) 655-0002 US Toll

Access Code: 262 051 63657

Public Streaming Link (with live captioning): <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*

* Individuals who wish to speak during the Public Participation portion of the Tuesday, February 14, meeting must do so 24 hours in advance of the meeting's start time (i.e., 10:00 a.m. on Monday, February 13) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

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, February 7, 2023, at 1:00 p.m.

AGENDA

Meeting held by Telephone

Public Call-In Number: (415) 655-0002 US Toll

Access Code: 262 078 66018 # #

Public Streaming Link (with live captioning): <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 24 hours in advance of the start of the meeting (by Monday, February 6 at 1:00 p.m.) to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.
2. Meeting Minutes of September 20, 2022, and October 12, 2022.....Dr. Dennis-LaVigne
Attachment 1
3. Naming Resolutions.....Mr. Lemon
Attachment 2
 - Boucher Management & Entrepreneurship Department
 - Gladstein Family Human Rights Institute
4. Legislative Update.....Ms. Lombardo
5. UConn Foundation / Alumni / Communications Update.....Ms. Cotton Kelly & Mr. Lemon
6. University Communications Update.....Mr. Kendig
Attachment 3
7. Other Business
8. Executive Session (as needed)
9. Adjournment

University of Connecticut & UConn Health
Joint Audit & Compliance Committee Meeting
 December 16, 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 614 5628

Public Access Link (with live captioning): <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
Executive Session Anticipated	Review	None
1. GENERAL		
<ul style="list-style-type: none"> • Public Comment* 		None
<ul style="list-style-type: none"> • Minutes of the September 29, 2022, Meeting 	Approval	1.1
2. EXTERNAL AUDIT ACTIVITIES		
<ul style="list-style-type: none"> • Status of External Audit Engagements 	Update	2.1
<ul style="list-style-type: none"> • Appointment of Pharmacy Consultants, Inc., DBA 340B Compliance Partners, to Conduct Audits of UConn Health’s 340B Drug Pricing Program 	Approval	2.2
<ul style="list-style-type: none"> • CliftonLarsonAllen LLP (CLA) – Audits of Financial Statements for the Fiscal Year Ended June 30, 2022, of UConn Health’s John Dempsey Hospital, University Medical Group & Finance Corporation 	Presentation	2.3
<ul style="list-style-type: none"> • James Moore & Co (JMCO) – Independent Accountant’s Report on Applying Agreed-Upon Procedures Performed on the Division of Athletics as Required by NCAA Bylaw 3.2.4.17.1 for Year Ended June 30, 2022 	Presentation	2.4
<ul style="list-style-type: none"> • University of Connecticut and University of Connecticut Health Center Single Audit for the year ended June 30, 2021 	Presentation	2.5
3. SIGNIFICANT INTERNAL AUDIT ACTIVITIES		
<ul style="list-style-type: none"> • Status of Audits 	Update	3.1
<ul style="list-style-type: none"> • Status of Audit Findings 	Update	3.2
4. COMPLIANCE ACTIVITIES		
<ul style="list-style-type: none"> • Policy on Instruction and Training for Newly Appointed and Elected Members of the Board of Trustees 	Approval	4.1
<ul style="list-style-type: none"> • Policy on Board of Trustees Conflict of Interest 	Approval	4.2
<ul style="list-style-type: none"> • Significant Compliance Activities 	Update	4.3
<ul style="list-style-type: none"> • University Compliance Data and Trends 	Presentation	4.4
<ul style="list-style-type: none"> • Informational/Educational Items 	Informational	4.5
5. INFORMATION TECHNOLOGY		
<ul style="list-style-type: none"> • UConn 	Update	5.1
<ul style="list-style-type: none"> • UConn Health 	Update	5.2
6. OTHER BUSINESS		
<ul style="list-style-type: none"> • JACC Meeting Schedule for Calendar Year 2023 	Informational	6.1
7. ADJOURNMENT		

* 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 **24 hours in advance of the start of the meeting (by Thursday, December 15 at 10:00 a.m.)** to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Board.

Special Telephone Meeting

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

Tuesday, December 13, 2022

AGENDA

Meeting held by Telephone:

Public Call in #: (415) 655-0002 US Toll
Access Code: 2620 155 7677

Public Access Link (with live captioning): <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 **11:00 a.m.**

1. Public Participation (limited to agenda items)*

* If members of the public wish to address the Committee during the Public Participation portion of the meeting, limited to agenda items, you must submit a request in writing **24 hours in advance of the start of the meeting (by Monday, December 12 at 11:00 a.m.)** to the following email address: BoardCommittees@uconn.edu. Please indicate your name, telephone number, and topic on the agenda to be discussed. Per the University By-Laws, the Board may limit public comment. As an alternative, you may also submit your comments via email which will be shared with the Committee.

ACTION ITEMS:

2. Minutes of the Meetings of March 8, May 24, and September 15, 2022.

DISCUSSION ITEMS:

3. Potential Innovation Initiatives
4. Potential Research and Commercialization Initiatives
5. Future Meeting Topics, Discussion, and Format
6. Executive Session (as needed)
7. Adjournment

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

Academic Affairs

Board of Trustees
ACADEMIC AFFAIRS COMMITTEE
University of Connecticut
Tuesday, February 21, 2023
8:30 a.m.

AGENDA

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 2624 524 4236

Public Streaming Link (with live captioning): <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 **8:30 a.m.**

1. Public Participation*

* Individuals who wish to speak during the Public Participation portion of the Tuesday, February 21, meeting must do so 24 hours in advance of the meeting's start time (i.e., 8:30 a.m. on Monday, February 20) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

ACTION ITEMS:

ATTACHMENT

- | | |
|---|---|
| 2. Minutes of the Academic Affairs Committee Meeting of December 5, 2022 | 1 |
| 3. Tenure at Hire | 2 |
| 4. Designation of Emeritus Status | 3 |
| 5. Sabbatical Leave Recommendations | 4 |
| 6. Reappointment of Professor Heather Elliott-Famularo as the Donna Krenicki Professor in Design and Digital Media in the School of Fine Arts | 5 |
| 7. Appointment of Professor Anne Dailey to the Ellen Ash Peters Professorship in the School of Law | 6 |
| 8. Bachelor of Science in Financial Technology | 7 |

9. Bachelor of Science in Data Science and Engineering	8
10. Master of Science in Environmental Earth Sciences	9
11. Licensed Professional Counselor (LPC) Certificate	10


INFORMATION ITEMS:

12. Cato T. Laurencin Institute for Regenerative Engineering	11
13. Naming Recommendation for the Boucher Management & Entrepreneurship Department	12
14. Naming Recommendation for the Gladstein Family Human Rights Institute	13
15. STAR Talk Credit Billing	14
16. Appointment of Board Representative to the Connecticut Agricultural Experiment Station Board of Control	15
17. Faculty Consulting Program	
• The University of Connecticut Consulting Program FY22 Annual Report	
• Report on the University of Connecticut's compliance with CGS 1-84(r) Faculty Consulting Program: Report Issued by the Faculty Consulting Oversight Committee	16
18. Academic Program Inventory	17
19. ChatGPT/AI in Higher Education Presentation	
20. Academic Affairs Presentation	
21. Other Business	
22. Executive Session (<i>as needed</i>)	
23. Adjournment	

ATTACHMENT A

February 22, 2023

TO: Members of the Board of Trustees

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

RE: Cato T. Laurencin Institute for Regenerative Engineering

BACKGROUND:

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.

The Cato T. Laurencin Institute for Regenerative Engineering is being established and will replace the Connecticut Convergence Institute for Translation in Regenerative Engineering. The Institute will be a type II center residing in the School of Medicine, and is a cross-university institute. In accordance with the School of Medicine policies and procedures, the Institute will be reviewed for renewal in the 2031-2032 academic year, and subsequently reviewed in five-year intervals. The Institute will maintain the same level of funding and support from university partners as the Connecticut Convergence Institute.

Dr. Cato Laurencin is a University Professor and Albert and Wilda Van Dusen Distinguished Endowed Professor of Orthopaedic Surgery at the University of Connecticut. He is Professor of Chemical Engineering, Professor of Materials Science and Engineering and Professor of Biomedical Engineering. Dr. Laurencin is known as a world leader in biomaterials, polymeric materials science, nanotechnology, stem cell science, drug delivery systems, and a field he has pioneered, regenerative engineering. His papers and patents have had broad impact on human health, launching the use of nanotechnology in musculoskeletal regeneration and ushering in a new era in orthopaedic therapies. The field of regenerative engineering uses a convergence approach to create a regenerative toolbox to move beyond individual tissue repair to the regeneration of complex tissues and organ systems.

The Cato T. Laurencin Institute for Regenerative Engineering will continue advancement in the field of Regenerative Engineering and is named in recognition of Dr. Laurencin’s incredible work in the field thus far.

ATTACHMENT B

February 22, 2023

TO: Members of the Board of Trustees

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



RE: STAR Talk Credit Billing

BACKGROUND:

The University of Connecticut runs a collaborative program between the Department of Literatures, Cultures, and Languages (LCL) and the Office of Early College Programs, funded by the STAR Talk program of the National Security Agency (NSA). UConn receives \$350,000 per year in grant funding for this program. The STAR Talk grant is designed to make the Chinese and Korean Culture and Language Immersion through Gaming and Storytelling programs as accessible as possible. All students admitted participate free of charge. This includes a two-week summer residential program, complete with room and board. Students receive up to three college credits for completing the program.

The program has some administrative challenges for the University as it includes high school students (some enrolled in UConn Early College Experience and some who are not), UConn students, and non-UConn college students. This creates issues as students in one program have three billing structures. There is significant administrative burden for the Bursar to handle these variations, and challenges for LCL in managing grant funding, as the cost-per-student is highly variable.

To improve administrative processing of this fully-grant funded program and to ensure that the budgeting for the program can be predictable based on size of cohort rather than the mix of students in a given class, a single fee will be charged internally for the program. This has been calculated based on the current cohort of students and the average cost of their participation. A flat program fee of \$350 per student will be charged for participation in the STAR Talk program each term (spring and fall), retroactive to January 2023. This will not change revenue to the University, it is purely a structure to improve internal administration of this externally-funded program.

ATTACHMENT C

THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2022 ANNUAL REPORT

SUMMARY

Fiscal Year 2022 (FY22) (July 1, 2021 – June 30, 2022) represented the full fourteenth year of operation of the University’s consulting program, which was implemented in mid-FY 08. The policies and procedures remained materially the same throughout the year. As discussed later in this report, the Faculty Consulting Offices (FCOs) work with other relevant offices at the University of Connecticut on an active program of continuous improvement with regard to the faculty consulting program.

The FCOs continue to maintain close working relationships with the Office of the Vice President for Research, the Office of Research Compliance, and the Clinical Conflict of Interest Committee at UConn Health. Both FCOs now regularly receive updates on the establishment of new faculty-affiliated companies (FACs).

The FCOs spent the majority of the second half of FY22 collaborating with OVPR to transition the online consulting request system from OFCAS to InfoEd. This will enable better integration with financial conflicts of interest reporting (including those related to faculty-affiliated companies), and with information related to consulting efforts required to develop grant applications or needed for compliance associated with grant funding and research activities. Training materials were developed and shared in-person and online prior to the implementation of the system in early June 2022.

Updates to the [Policy](#) and [Procedures](#) on Consulting for Faculty and Members of the Faculty Bargaining Unit were approved by the Board of Trustees on June 29, 2022.

Several broad changes were made to the procedures. These include:

- The ability to provide exceptions to sanctions for “low conflict of interest risk” activities that are reported shortly after taking place.
- A change in the reporting year, for the Storrs and regional campus faculty only. It will now align with the contract year. The upcoming year will be a transitional year, with FY23 requests spanning July 1, 2022, through to May 22, 2023. Beginning in FY24, requests will be approved within 12 months, beginning on May 23, 2023, and ending on May 22, 2024. This change in reporting year eliminates the need to report on summer consulting activities across two fiscal years. At the Health Center the fiscal year will remain July 1st - June 30th.
- All faculty with FACs will now be required to submit a request for each entity each year. In cases where no consulting effort is associated with a FAC in a given year,

there is now a straightforward process for faculty members to attest to this fact. This new requirement addresses an ongoing audit finding related to oversight of FACs.

As mandated by legislation, the Faculty Consulting Oversight Committee (including a member of the Citizen’s Ethics Advisory Board and members appointed by the Legislature) filed its thirteenth annual report with the UConn Board of Trustees and to the Legislature in the winter of 2022. This report found the consulting program fully compliant with the Legislature’s intent and did not issue any recommendations for improvement. The Oversight Committee continues to monitor all audit reports related to the program and will issue its fourteenth report in the winter of 2023.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee (CMC) was reconstituted in FY22 to ensure that it includes representation across all campuses and faculty ranks. It also includes clearly defined term limits for committee members. The CMC will continue to review the audit reports, monitor the implementation of management plans, and provide feedback relating to the consulting policy and system from the perspective of faculty. The committee did not meet in FY22.

PERFORMANCE NUMBERS: STORRS+ CAMPUS

In FY22, the UConn Storrs+ FCO received 1,376 consulting requests from 588 individuals, accounting for approximately 36% of the full-time faculty eligible to consult¹ (Table 1). Of these, 1,250 were approved (91% of the total), 91 were withdrawn (7%),² and 30 were “stuck” in the OFCAS system (2%).³ In FY21 the FCO received 1,075 requests from 482 individuals with 94.3% approved, 5.1% withdrawn, and <1% “stuck” in the OFCAS system.

All data were analyzed using the information submitted on the FY22 Annual Reconciliation Report. Reconciliation reports were received from all individuals who engaged in consulting activities. A total of 44 requests related to faculty who had left the University and who did not reconcile these requests prior to departure. The FCO indicated this and placed the requests in the appropriate end stage.

Of the 1,014 approved and reconciled faculty consulting activities, 876 occurred (86%) and 138 (14%) were not performed. The UConn FCO issued first-offense verbal or written counseling (sanctions) to 87 faculty members. The FCO determined that all of these requests would have been approved had they been submitted on time. One faculty member was terminated from the University for an issue related to faculty consulting. There were no other known cases related to noncompliance with the consulting policy.

¹ The total number eligible faculty was obtained from the UConn 2022 Fact Sheet.

² At Storrs+ this includes requests that received a documented sanction or exception, or that were withdrawn for other reasons (*e.g.*, duplication of an already submitted request).

³ These requests had been returned for withdrawal to faculty members who had then not withdrawn them, returned for modification and not resubmitted, or were in the workflow of a department head or dean.

The mean amount of time faculty spent consulting during normal work time was 3.5 days. Six faculty members reported exceeding the Provost's recommended maximum of an average of one day per week during normal work hours (39 days for a nine-month appointment).⁴ Sixteen faculty members (0.2% of those who consulted) indicated on their reconciliation reports (25 unique activities) that they used more time during the normal work hours than originally estimated (Table 2), with a mean of 4.5 days.

PERFORMANCE NUMBERS: UCONN HEALTH CAMPUS

In FY22, the UConn Health FCO received 752 consulting requests from 224 individuals (Table 3). Of these, 719 were approved (95.6% of the total), 16 (2.1%) were withdrawn or system errors, 15 (2.0%) were denied, and 2 requests were test submissions (0.3). In FY21, the FCO received 762 requests from 218 individuals, with 727 (95.4%) approved and 1.2% denied.

Reconciliation reports were received on time from all those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Several individuals left employment with UConn Health and therefore 9 approved activities did not have reconciliation reports.

Of the 719 approved activities, 609 occurred (84.7%) and 101 (14.0%) did not occur. As noted above, 9 (1.3%) approved activities were not reconciled due to faculty leaving UConn employment. All other consulting requests were reconciled. There were 224 unique members who performed at least one consulting activity during the fiscal year. The mean amount of time spent consulting during normal work time per faculty member was 3.0. days with a maximum of 36.0 days and a median of 1.1 days. The UConn Health FCO issued verbal or written counseling (sanctions) to 13 faculty members. These were for late submissions or unanticipated compensation received after the activity occurred. The FCO determined that all of these requests would have been approved had they been submitted on time. Two requests were denied as they were entered in error or as a test.

Ten faculty members used more time during the normal work hours than originally estimated and approved (Table 4). Two of these were contacted and deemed entry errors but could not be corrected in the system. Excluding these two, the maximum number of additional days of normal work time was 4 days and the mean was 0.9.

AUDIT FINDINGS

By State statute, the consulting program must be audited by the internal audit office of each constituent unit which is currently the Office of Audit and Management Advisory Services. The original audit schedule was twice a year but starting in FY 13 the requirement was revised to once each year⁵.

⁵ All finalized audit reports, FCO annual reports, and Oversight Committee annual reports are posted on the University's consulting web site: <https://consulting.uconn.edu/>

The audit, covering FY21 (July 1, 2020 - June 30, 2021) was issued on June 23, 2022. The auditors' overall conclusions were that the University is in compliance with CGS 1-84(r) and the University's Policy on Consulting. The auditors also concluded that the FY21 Annual Report of the Faculty Consulting Office was materially correct and no new observations were identified in their report. No management responses were requested from this audit.

The auditors rated all of their observations as low risk. They found that "effective controls exist to mitigate the risk associated with UConn and UConn Health Faculty Consulting Policy with some recurring deficiencies or areas of improvement that have been identified."

The auditors identified a small number of cases in which faculty submitted requests after the expected start date or with insufficient lead time for review and timely approval, approvals received after the expected start date and one reconciliation after the September 15th deadline. Review of the Sanctions Log indicated that appropriate sanctions were applied in these cases.

The auditors advise the FCOs to establish an attestation process to document compliance with the new procedures regarding management-exempt employees' use of normal work time. The auditors noted that Faculty Affiliated Companies are a risk area in terms of potential conflicts of interest. They encouraged more data sharing between the FCO and the Office of the Vice President for Research. OVPR will now have full, real-time access to consulting request in InfoEd for FY23.

The auditors also identified that consulting requests with foreign entities were occasionally routed through the low conflict of interest pathway in OFCAS. This has since been corrected with the transition to InfoEd.

ISSUES FOR FY 23

- The departure of Dr. Jody Terranova will require support from the UConn Storrs+ FCO while her successor transitions into the FCO role. An interim has been identified and UConn Health will need to identify a permanent replacement for Dr. Terranova.
- The FCOs are working with the Office of University Compliance to produce a training module on the Saba platform. Participation in this training will be optional for any faculty who wish to update their knowledge. In addition, this will permit the FCOs to assign faculty to take this training when counseling faculty for noncompliance with the policy, when deemed appropriate (*i.e.*, sanctions).
- In our continued efforts to approach faculty consulting in a risk-based manner, we are working with OVPR to better delineate responsibility for FACs and to categorize FACs based on level of potential risk.

G Kersaint
S. Croucher
J. Terranova
January 13, 2023

Table 1 – Storrs+ Requests to Consult

Requests	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	1376	24	58	127	446	136	142	107	43	52	101	15	125
%	100%	1.74%	4.22%	9.23%	32.41%	9.88%	10.32%	7.78%	3.13%	3.78%	7.34%	1.09%	9.08%
Unique Faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	588	15	34	48	211	52	62	43	18	26	28	9	42
%	100%	2.55%	5.78%	8.16%	35.88%	8.84%	10.54%	7.31%	3.06%	4.42%	4.76%	1.53%	7.14%
Requests/faculty	Total	ATHL	BUS	CAHNR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
mean	2.34	1.60	1.71	2.65	2.11	2.62	2.29	2.49	2.39	2.00	3.61	1.67	2.98
10 or more requests	12	0	0	1	3	1	1	1	1	0	2	0	2

“Other” includes faculty affiliated with the Provost’s Office, the Center for Excellence in Teaching and Learning, and the Vice President for Research, including four UConn Health employees.

Table 2 – Storrs+ Reconciliation Report Variances for Time During Normal Work Hours⁶

Effort During Normal Work Days	
# of faculty with extra days	16
% of faculty with extra days	(0.2%)
min	0.2
max	59

Table 3 – UConn Health Requests to Consult

Requests	Total	SoDM	SoM
#	750	103	647
%		13.73%	86.27%
Individual faculty	Total	SoDM	SoM
#	224	38	186
%		16.96%	83.04%
Requests/faculty	Total	SoDM	SoM
mean	3.3	2.7	3.5
median	2.0	2.0	2.0
10 or more requests	11	2	9

Table 4 – UConn Health Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# of faculty with extra days	10
% of faculty with extra days	(4.46%)
min	0.13
max	4

⁶ 13 of the 16 requests with extra work days at Storrs were between 0.2 days and 3 days.

**REPORT ON THE UNIVERSITY OF CONNECTICUT'S
COMPLIANCE WITH CGS 1-84(r)
FACULTY CONSULTING PROGRAM**

February 9, 2023

Report Issued by the Faculty Consulting Oversight Committee

SUMMARY

Pursuant to a change in the Connecticut State Statutes and action by the University of Connecticut Board of Trustees, new policies and procedures for approving consulting activities for the Faculty and members of the AAUP bargaining unit were implemented in December 2007. The Board of Trustees approved the latest revisions to these policies in June 2022.

Faculty Consulting Offices (FCOs) were established in Storrs and at UConn Health to oversee the consulting request and approval process and provide training to those who consult and for those who must participate in the consulting approval process, such as department heads and deans. A University-wide Consulting Management Committee (CMC) was convened to provide recommendations regarding the identification and management of potential Conflicts of Interest arising from consulting activities.

As required by CGS 1-84(r), the Faculty Consulting Oversight Committee was convened including members appointed by the Legislature/Executive branch and from the Citizens' Ethics Advisory Board. This Committee has met on a regular basis to review the implementation of the consulting program and to review audits of the program conducted by the University's Office of Audit, Compliance and Ethics.

Implementing this program required development of policies, procedures, forms and databases; identification and training of staff; and awareness and training of faculty, department heads, and deans. The Office of Audit and Management Advisory Services has carried out annual (and previously semiannual) audits as required and as expected, have identified areas in which clarifications and improvements have been recommended. The University has developed procedures to address all identified issues in a timely and appropriate manner.

The Faculty Consulting Oversight Committee has determined that the University of Connecticut complies with CGS 1-84(r). The oversight required by the Act, including the Faculty Consulting Oversight Committee itself and the audits, has and will continue to perform ongoing review, assessment and improvements to the program.

The Oversight Committee has no explicit recommendations for improvement of the program at the current time and has concluded that the University has made a committed effort to oversee the process and implement improvements, as necessary.

To date, the program, with its policies, procedures, and implementation, have resulted in a system that proactively identifies and manages potential conflicts of interest. Any individual who does not participate with the program is subject to sanctions by the University and may also be subject to additional sanctions by the Office of State Ethics.

BACKGROUND

Public Act (PA) 07-166 (Section 12)¹, approved on June 19, 2007, created a carve-out from the portion of the State Ethics Code dealing with consulting. Participating in appropriate consulting activities is viewed as being mutually beneficial for the University and its faculty and the intent of the Act is to enable such activities.

This carve-out applies to faculty and members of the faculty bargaining unit (herein fore referenced as “faculty”) of a constituent unit of the State system of higher education. In the context of the Act, “consulting” represents situations in which faculty are compensated for services rendered while not acting as a State employee. The request to consult must be based on the faculty member’s expertise in a field or prominence in such field and not due to the State position held. Faculty must receive prior approval before such consulting begins. No other State agency requires prior approval or any such mandated disclosure of outside employment activities.

The Act transfers final authority for approval of such activities to the University and it allows management plans to be implemented for addressing perceived conflicts of interest. Specifically, the legislation allowed these individuals to enter into a consulting agreement with a public or private entity, provided such agreement or project does not conflict with the individual’s employment as determined by policies established by the Board of Trustees for such constituent unit.

This carve-out from the State Ethics Code is predicated on a set of requirements being met including significant institutional oversight. The University of Connecticut Board of Trustees (BOT) approved the University’s “Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit,” and reviewed the operational procedures for implementation, on September 25, 2007. The Policy and Procedures define a consistent set of rules for consulting for all the faculty of the University. These documents have been reviewed and revised by the BOT several times since 2007 in order to make improvements to the program.² The most recent updates to the policy and procedures were approved on June 29, 2022. These changes ensured that the language is clear and easy to read and coincided with the implementation of the InfoEd system for consulting approvals.

The new consulting system became fully operational on December 15, 2007. Since that time, both the Storrs Campus and UConn Health campus have each established a Faculty Consulting Office (FCO) with reporting lines and staffing. All faculty consulting requests are submitted through an online request system, which is updated regularly. For fiscal year 2023, the system has moved to the same system used by the Office for the Vice President for Research (InfoEd), with the intent of continued improvements for data sharing. Implementation of this new system will be reviewed in the fiscal year 2023 audit.

Requests to consult must be reviewed and approved by each faculty member’s department head, dean, and the provost’s designees (one for each campus). A subset of consulting activities with very low risk of conflict of interest are eligible for an accelerated approval process that only requires the approval of the department head.

¹ See <http://consulting.uconn.edu/state-statutes/>

² The policy and procedures governing consulting may be found at: <http://consulting.uconn.edu/consulting-policies-procedures/>

At the end of the fiscal year, each faculty member must submit a reconciliation report indicating variances from the requested time spent consulting during the normal work time and confirming any and all appropriate reimbursements for use of University resources, if any.

If a faculty member does not adhere to the provisions described in the Act or the University's Consulting Policy and Procedures, the Office of State Ethics retains jurisdiction over the activity and has the responsibility for assessing compliance with the State Code of Ethics and whether additional sanctions are justified. Violations of the University's Consulting Policy and Procedures will in addition be subject to sanctions issued by the University, the most serious of which may result in termination.

CONSULTING MANAGEMENT COMMITTEE (CMC)

As required by the implementation procedures, a University-wide Consulting Management Committee (CMC) was first convened on December 10, 2007. The CMC was previously authorized to review and recommend disposition of certain consulting situations that did not have obvious resolution. The CMC offered input on unforeseen situations put before it that might arise as a result of consulting activities. The CMC provided advice to the directors of the Faculty Consulting Offices on an *ad hoc* basis and reviewed eleven general situations resulting in formal position papers. For example, based on one position paper, participation in promotional presentations with pharmaceutical companies has been banned.³ As of FY22, the CMC will continue to review the audit reports, monitor implementation of management plans and provide feedback relating to the consulting policy and system from the perspective of the faculty. However, due to the complex regulatory environment in which consulting resides, questions related to specific cases will no longer be addressed by the committee but will be examined collaboratively by the FCOs, Compliance, the Office for the Vice President of Research and other relevant University offices.

AUDITS

As required in CGS 1-84(r), the University's Office of Audit and Management Advisory Services has conducted audits on the University's faculty consulting program⁴. Per standard practice, management has had the opportunity to provide responses to each audit finding and recommendation. These audits are reviewed by the Joint Audit and Compliance Committee of the Board of Trustees as well as by the Faculty Consulting Oversight Committee.⁵

FACULTY CONSULTING OVERSIGHT COMMITTEE

As required in CGS 1-84(r), the Faculty Consulting Oversight committee meets on an on-going basis to review the University's compliance with CGS 1-84(r), and to file annual reports regarding such compliance with the University's Board of Trustees and to the Legislature. This document is the

³ These position papers and the minutes of the CMC may be found at: <https://consulting.uconn.edu/policy-oversight-and-archives/cmc/>

⁴ Initially, audits were required twice a year but the legislature changed this to a once a year audit schedule starting in FY 12.

⁵ Copies of past audits may be found at: <https://consulting.uconn.edu/policy-oversight-and-archives/audits/>

thirteenth in a series of such reports.⁶ The Committee’s responsibility is to ensure that the University complies with the provisions of the Act and the University’s policies and procedures on consulting. It may also make recommendation for improvements to the consulting program.

The membership of the Faculty Consulting Oversight Committee is:

Name	Background
Cobb, C.	Professor, School of Education
Dennis-Lavigne, A	Member, Board of Trustees
Chiusano, C.	Citizen’s Ethics Advisory Board
Fox, K.	Professor Emerita, School of Business
Freedman, J. (chair)	Former Legislator
Krisst, I.	Former UConn Administrator
Silbart, L.	Professor, School of Allied Health
Siegle, D.	Professor, School of Education

The Committee last met on January 26, 2023 and reviewed and approved this annual report by email on February 8, 2023. It has reviewed the FY 21 final internal audit report and the FY 2022 annual report of the Faculty Consulting Offices (attached⁷). The former was presented at the Joint Audit and Compliance Committee of the University’s Board of the Trustees and the latter will be reviewed at an upcoming meeting of the Board of Trustees along with this report from the Oversight Committee.

The Committee believes the program was effectively initiated and through ongoing revisions has been improved. In fact, in many regards the program is more rigorous than those governing other State employees not covered by CGS 1-84(r), especially through the requirement for approval prior to the consulting activities taking place.

Annual audits have led to improvements to the Consulting Program including revisions to the consulting request form, enhancements to the training program, improving the clarity and predictability of decision making, and assuring sufficient information is available to inform the decision making of the approvers. As described above, an online request form/approval process has been operational since FY 12. This was updated in FY 13, FY 14, FY 15, FY 20 and replaced in June 2022. This system has successfully addressed its objectives. All these actions assure compliance with CGS 1-84(r).

Implementation of the consulting program, both in terms of logistics and compliance, has consistently met or exceeded expectations. During the 15 years that the faculty consulting program has been in place, there have been occasional differences in interpretations regarding the requirements of CGS 1-84(r) and the University’s Policy and Procedures. However, the audit processes in place have consistently identified any such areas and have reported them to senior management and to the Faculty Consulting Oversight Committee. Audit findings have always been willingly addressed by management, consistent with their full support and keen awareness of the

⁶ Past reports may be found at: <https://consulting.uconn.edu/policy-oversight-and-archives/audits/>

⁷ The Office of Audit and Managerial Services has found this report to be materially correct.

need to fully comply with CGS 1-84(r). Proactive continuous improvements are in place to the extent that no management findings were issued from the FY21 audit.

The Committee takes note that the number and severity of audit finding has decreased over time and this demonstrates management's commitment to operate the program optimally and in full compliance with the Legislature's intent for the program. The Committee also takes notes that the two Faculty Consulting Offices (Storrs/regional campuses and at UConn Health) work together exceedingly well and thus present a consistent and reliable approach to consulting across all the units of the University.

The Oversight Committee did not issue recommendations for improvement based on the audit from FY 2021.

VOLUME OF CONSULTING ACTIVITIES

In FY 22, the fourteenth full year of operations, the Faculty Consulting Office on the Storrs Campus received 1,376 requests to consult from 588 individuals. The UConn Health office received 752 requests from 224 individuals. Both campuses had a 100% response rate for those individuals required to complete reconciliation reports. The FY 22 annual report of the University's Faculty Consulting Program is attached.

ATTACHMENT D

February 22, 2023

TO: Members of the Board of Trustees

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



RE: Academic Program Inventory

BACKGROUND:

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

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

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

- Eliminate areas of concentration from M.B.A. programs (including OMBA and PMBA)
- Name change *from* M.A. in International Studies, concentration in Latino and Latin American Studies *to* M.A. in Latino and Latin American Studies
- Name change *from* Dual Business Administration M.B.A./M.A. in International Studies *to* Dual Business Administration M.B.A./M.A. in Latino and Latin American Studies
- Location change for the M.S. in Quantitative Economics *from* Storrs only *to* Storrs and Stamford
- Delivery method change for the M.S. in Data Science *from* face-to-face only *to* face-to-face and online

Financial Affairs

AGENDA

Meeting of the
FINANCIAL AFFAIRS COMMITTEE
February 21, 2023, at 10:00 a.m.
University of Connecticut

Meeting held by Telephone

Public Call-In Number:

(415) 655-0002 US Toll

Access Code: 262 022 66159

Public Streaming Link (with live captioning): <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*

* Individuals who wish to speak during the Public Participation portion of the Tuesday, February 21, meeting must do so 24 hours in advance of the meeting's start time (i.e., 10:00 a.m. on Monday, February 20) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

PRESENTATION ITEMS:

TAB

2) Budget Update 1

ACTION ITEMS:

3) Minutes of the Financial Affairs Committee Meeting of December 6, 2022 2

4) Contracts and Agreements for Approval 3

5) Transfer of University Property to Quentin Kessel 4

CAPITAL PROJECT BUDGETS FOR APPROVAL:

STORRS BASED PROGRAMS

6) Branford House Exterior Repairs, Phases 1 & 2 Final \$800,000 5

UCONN HEALTH

7) UCH Transitional Nursery Renovation Design \$1,800,000 6

8) UCH HIM Workplace Improvements Final \$763,000 7

9) UCH 16 Munson Road Parking Lot Paving Revised Final \$1,615,000 8

INFORMATION ITEMS:

TAB

- 10) Contracts and Agreements for Information 9
- 11) Capital Project Expenditure Report as of 12/31/22
<https://bpir.uconn.edu/home/capital-budget/capital-reports-and-presentations/capital-project-expenditure-reports/>
- 12) Construction Project Status Report
<https://bpir.uconn.edu/home/capital-budget/capital-reports-and-presentations/construction-status-reports/>
- 13) UCONN 2000 Book 55
<https://cfo.uconn.edu/uconn2000reports/>
- 14) Executive Session (*as needed*)
- 15) Adjournment

ATTACHMENT A

**CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 22, 2023**

PROCUREMENT - NEW* FOR INFORMATION

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

CONSTRUCTION SERVICES - CONSTRUCTION MANAGER

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose	CT Based	S/MBE
1	KBE Building Corporation	300200	\$171,500,000	10/06/22-07/01/24	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Construction manager services for construction of a new building - the South Campus Residence Hall and Dining Hall located on the Storrs Campus under Project No. 300200 Residential Life Facilities - South Campus Residence Hall. (Final Budget approved on 08/03/22 - \$215,000,000)	X	
2	O&G Industries, Inc.	300241	\$396,187	11/10/22-07/31/24	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Construction manager services to repair, relocate, replace, and construct south campus utilities located on the Storrs Campus under Project No. 300241 South Campus Infrastructure. Approval Amount is for pre-construction services. (Final Project Budget approved on 03/30/22 - \$11,000,000)	X	

CONSTRUCTION SERVICES - GENERAL CONTRACTOR

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose	CT Based	S/MBE
3	Sarazin General Contractors, Inc.	300235	\$6,091,000	10/12/22-08/01/23	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Provide general contractor services to restore and relocate an existing building located on the Storrs Campus under Project No. 300235 Gilbert Road Site Preparation. (Final Project Budget approved on 06/29/22 - \$6,600,000)	X	X

ON-CALL CONSULTANT SERVICES - ROOFING CONSULTANT SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose	CT Based	S/MBE
4	Friar Architecture, Inc.	012.4-3-NV-043024	No Value	02/01/22-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Roofing Consultant services to be used at all UConn campuses on an on-call basis to provide project support as needed. This "No Value" contract is being presented for informational purposes. The contract has an initial term length of twenty-six (26) months, up to two, one year extensions, for a total possible term of four years.	X	X
5	Maier Design Group, LLC.	012.4-5-NV-043024	No Value	02/01/22-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Roofing Consultant services to be used at all UConn campuses on an on-call basis to provide project support as needed. This "No Value" contract is being presented for informational purposes. The contract has an initial term length of twenty-six (26) months, up to two, one year extensions, for a total possible term of four years.		
6	Wendel Architecture, PC	012.4-7-NV-043024	No Value	02/01/22-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Roofing Consultant services to be used at all UConn campuses on an on-call basis to provide project support as needed. This "No Value" contract is being presented for informational purposes. The contract has an initial term length of twenty-six (26) months with up to two, one year extensions, for a total possible term of four years.		

ON-CALL CONSULTANT SERVICES - TELECOMMUNICATIONS AND DATA DESIGN SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose	CT Based	S/MBE
7	AKF Engineers, LLP	007.1-1-NV-043024	No Value	05/01/21-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	Telecommunications and Data Design services to be used at all UConn campuses on an on-call basis to provide project support as needed. This "No Value" contract is being presented for informational purposes. The contract has an initial contract term length of three (3) years, up to two (2) 1-year term extensions, for a total possible term length of five (5) years.		

PROCUREMENT - AMENDMENTS* FOR INFORMATION

ON-CALL CONSULTANT SERVICES - MEP SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT Based	S/MBE
8	AI Engineers, Inc.	012.2-1-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$61,550	\$46,163	\$0	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for projects IT 1293-IT1306 - Hilltop Apartment Complex, IT 1312-IT1315 - West Campus Residential Halls, IT 1277-IT1282 - Northwest Residential Halls, and IT 1269-IT1276 - Towers Residence Halls.	X	
9	AKF Engineers, LLP	012.2-2-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$37,800	\$1,200	\$5,950	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project 300204 IPD Backup Generator.		

**CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 22, 2023**

ON-CALL CONSULTANT SERVICES - MEP SERVICES <i>(continued)</i>												
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT	Based \$/MBE
10	BVH Integrated Services, P.C.	012.2-3-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$94,950	\$14,563	\$5,950	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is used for project FO500133 38 Prospect St AHU 1 & 3 Replacement.	X	
11	Fuss & O'Neil, Inc.	012.2-4-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$301,634	\$226,687	\$32,002	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is used for project for 300201 Bronwell Electrical Service Replacement.	X	
12	H.F. Lenz Co.	012.2-5-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$74,320	\$0	\$68,374	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Contract extension is requested to allow vendor to remain active under the Professional Services On-Call Program to be used at all UConn campuses on an on-call basis to provide project support as needed.	X	
13	Kohler Ronan, LLC	012.2-6-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$53,290	\$0	\$53,290	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Contract extension is requested to allow vendor to remain active under the Professional Services On-Call Program to be used at all UConn campuses on an on-call basis to provide project support as needed.	X	X
14	Landmark Facilities Group, Inc.	012.2-7-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$36,009	\$7,410	\$28,598	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Contract extension is requested to allow vendor to remain active under the Professional Services On-Call Program to be used at all UConn campuses on an on-call basis to provide project support as needed.	X	
15	Richard D. Kimball Co., d/b/a NV5	012.2-8-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$42,000	\$0	\$42,000	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project 300176 North Residence Halls Steam to Hot Water Conversion.		
16	Silver, Petrucelli & Associates, Inc.	012.2-9-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$99,712	\$36,242	\$19,370	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project TL-2350 Atwater Trimming Lab, and 300183 McMahon Hall Laundry Operations.	X	X
17	Stantec Consulting Services, Inc.	012.2-10-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$79,943	\$15,128	\$2,640	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project FO500010 Dining Hall Ventilation and Upgrades, and 300207 UPDC Relocation.		
18	Thielsch Engineering, Inc.	012.2-15-NV-113019	No Value	12/01/16-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$403,338	\$55,781	\$60,663	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project FO500054 WPCF Chlorine Contact Chamber Rehabilitation.		
19	Tighe & Bond, Inc.	012.2-16-NV-113019	No Value	12/01/16-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$139,050	\$50,600	\$52,000	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project FO500058 Atwater Electrical Generator Replacement.		
20	Urban Engineers, Inc.	012.2-17-NV-113019	No Value	12/01/16-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$116,952	\$30,657	\$73,124	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Agreement is being used for project FO500063 Gampel Electrical Generator Replacement.	X	
21	WSP USA Buildings, Inc.	012.2-11-NV-113022	No Value	12/01/19-04/30/24	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$0	\$0	\$0	On-Call Consultant MEP Services for all UConn campuses as needed. Amend to extend contract term two years, through 04/30/2024. Contract extension is requested to allow vendor to remain active under the Professional Services On-Call Program to be used at all UConn campuses on an on-call basis to provide project support as needed.		

**CONTRACT AGREEMENTS
FOR INFORMATION
FEBRUARY 22, 2023**

ON-CALL TRADE CONTRACTOR SERVICES - TELECOMMUNICATIONS													
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT	Based	S/MBE
22	A/Z Corporation	159-1-NV-022823	No Value	02/26/20-02/28/23	Multiple Sources	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$1,000,801	\$493,067	\$95,342	On-Call Trade - Telecommunications contractor services to be used at all UConn campus to provide project support as needed. This "No Value" contract is being presented for informational purposes to report spend to date.		X	
SNOW AND ICE CHEMICALS													
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT	Based	S/MBE
23	DRVN Enterprises, Inc.	KS110119-1	\$800,000	07/01/20-06/30/25	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	\$527,743	\$253,640	\$212,402	Snow and ice chemicals for use as needed for the Storrs and Regional campuses. Agreement is the result of a public solicitation. Initial term was for two years with three extensions of one year each, for total term of five years. Agreement presented to present spend to date.		X	X
STANDARD FIXED-FEE ARCHITECTS' CONTRACT													
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 01/01/23	Expenditures FY22	Expenditures FY21	Purpose	CT	Based	S/MBE
24	Richard Turlington Architects, Inc.	300025	\$74,828.00 [Contract Value Previously \$5,332,705.45; Total New Contract Value \$5,407,533.45]	02/22/22-Completion of Project	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$5,332,705	\$1,121,342	\$540,893	Provide additional design services for Project 300025 Northwest Science Quad Supplemental Utility Plant located at Storrs Campus. (Final Budget approved on 02/26/20 - \$67,000,000). Increase is requested to support additional professional services for additional construction observation services.		X	
25	Sasaki Associates, Inc.	300200	\$110,014.00 [Contract Value Previously \$4,797,940.00; Total New Contract Value \$4,907,954.00]	02/24/22-Completion of Project	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$4,989,054	\$1,957,765	\$0	Provide additional design services for Project 300200 South Campus Residence Hall located at Storrs Campus. (Final Budget approved on 08/03/2022 - \$215,000,000). Increase is requested to support additional professional services to add a furniture package.			
26	Sasaki Associates, Inc.	300234	\$54,980.00 [Contract Value Previously \$4,975,390.00; Total New Contract Value \$5,030,370.00]	01/13/22-07/31/25	UCONN 2000	Joseph Thompson, Associate Vice President and Chief Procurement Officer	\$3,457,150	\$588,415	\$0	Provide additional design services for Project 300234 Mansfield Apartments Redevelopment located at Storrs Campus. (Final Budget approved on 06/29/22 - \$12,000,000). Increase is requested to support additional professional services for schematic design traffic engineering and traffic planning services, as well as additional professional services for SITES Certificate Consulting services.			

ATTACHMENT B

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2023 as of 12/31/2022

Project Name	Current Funded Budget*	Total Project Expenditures	Project Status	Total Fiscal Year Expenditures	Fiscal Year to Date Expenditures By Funding Source		
					UCONN 2000 Bonds	University Operating	Other Funding**
Storrs and Regional Campuses							
Academic and Research Facilities							
Academic & Research Facilities - Gant Building Renovations - STEM	169,827,606	148,492,910	Construction	1,443,846	1,443,846		
Academic & Research Facilities - STEM Research Center Science 1	220,000,000	149,161,191	Substantially Complete	24,870,254	24,870,254		
Academic and Research Facilities Total				26,314,100	26,314,100	-	-
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities							
Ace Water Heater Replacement	275,000	238,392	Substantially Complete	21,919			21,919
Active Transportation Plan Study	100,000	97,009	Planning/Design	32,878	32,878		
Ag Bio-Technology Bldg Cagewasher Replacement	185,000	183,818	Substantially Complete	9,827			9,827
Alumni Center Wood Shake Roof Replacement	100,000	24,613	Construction	19,384			19,384
Alumni Residence Halls Roof Replacement	285,000	227,831	Planning/Design	-			
Andover Infrastructure & Software Upgrade	3,346,000	2,919,919	Construction	877,183			877,183
Athletics Master Plan	425,000	144,523	Planning/Design	144,523			144,523
Atwater A050 Trimming Lab	135,000	17,780	Construction	10,430			10,430
Atwater Aquatics Room A221 and A222	23,800	7,475	Planning/Design	7,475			7,475
Atwater Electrical Generator Replacement	682,700	630,876	Substantially Complete	236,397			236,397
Atwater Facade Repairs - Phase 2	42,000	14,056	Planning/Design	14,056			14,056
Avery Point Academic Building Chemistry Lab Renovation	282,329	282,329	Completed	18,402			18,402
Avery Point Academic Building Roof Replacement	1,270,000	922,205	Substantially Complete	191,455			191,455
Avery Point Sea Lab Floor Repair	230,000	92,993	Construction	74,593			74,593
Avery Point Seawall Restoration	3,063,069	-	Planning/Design	-			-
B4 Steam Vault Replacement	7,700,000	3,580,692	Construction	3,467,686	268,204		3,199,482
Babbidge Library VAV Replacement	202,161	202,161	Completed	10,108			10,108
Beach Hall 130 Suite Renovation	40,000	13,500	Construction	13,500			13,500
Beach Hall 1st Floor Classrooms & Study Space Upgrade	190,000	24,263	Planning/Design	24,263			24,263
Beach Hall 302,317,443 Classroom Upgrades	135,000	99,176	Substantially Complete	-			-
Benton Art Museum Patio and Fountain Restoration	250,000	23,000	Planning/Design	-			-
Bio 4 Chiller Replacement	250,000	139,361	Substantially Complete	17,210			17,210
Bio Annex 4 Switchgear and Transformer Replacement	250,000	175,047	Substantially Complete	121,688			121,688
Bio/Physics Cold Room - Phase 1	225,000	215,300	Substantially Complete	215,300			215,300
Bishop Center Roof - Electrical & HVAC Upgrade	400,000	161,047	Substantially Complete	-			-
Boiler Plant Equipment Replacement and Utility Tunnel Connection	40,000,000	26,814,031	Construction	2,903,946	2,903,946		
Bousfield 3rd Floor Office Upgrades	155,000	-	Planning/Design	-			-
Bousfield Plaza Landscaping	180,000	9,600	Planning/Design	-			-
Branford House Exterior Repairs	400,000	272,550	Construction	143,047			143,047
Bronwell Switchgear Service Replacement	350,000	281,656	Planning/Design	7,052			7,052
Campus Wayfinding 2022	300,000	122,753	Construction	122,753	122,753		
Castleman - 122, 123, 123A Renovations For NASA Research	209,943	185,837	Substantially Complete	43,486			43,477
Castleman 136 Renovations	58,107	29,273	Construction	20,392			20,392
Central Utility Plant Office Renovation	175,000	21,718	Planning/Design	3,066			3,066
Chemistry A102 Research Lab Renovation	118,900	99,234	Substantially Complete	7,639			7,639
Chemistry A302 Computer Lab Renovation	90,000	23,404	Construction	23,404			23,404
Chemistry Roof Snow Guard Repair	916,000	669,846	Substantially Complete	1,210			1,210
Coventry Boathouse Upgrades	190,000	40,058	Construction	40,058			40,058
CUP Equipment Replacement and Pumping Improvements	23,000,000	14,715,059	Substantially Complete	8,003	8,003		
Cyber Security Upgrades	275,000	210,938	Substantially Complete	7,705			7,705
Depot Campus - Sewer Line Inspection	400,000	-	Planning/Design	-			-
Depot Campus School of Engineering Club Relocation	93,014	45,739	Construction	4,870	3,809		1,061
Dining Hall Facilities Ventilation Upgrades	892,700	127,003	Substantially Complete	-			-
Downtown Hartford Front Entrance Paver Replacement	123,000	104,914	Substantially Complete	81,914			81,914
Drama Music 219 A&B Classroom Renovation	125,000	84,583	Construction	57,914			57,914
EH&S Building Interior Upgrades (TL2389)	149,783	98,330	Construction	22,788	22,788		
Engineering II 205 Renovation (TL2377)	268,656	206,119	Substantially Complete	99,863	2,759		97,104
Eversource Second Electrical Feed - Planning	3,000,000	220,284	Planning/Design	22,554	22,554		
Facilities Building Boiler Steam/Condensate Repair	394,818	157,807	Construction	157,807			157,807
Facilities Code Remediation	196,757	150,403	Construction	48,179			48,179
Facilities Expensed Deferred Maintenance Projects	4,500,046	2,312,425	Construction	1,679,816			1,679,816
Family Studies R22 Split System	100,000	86,830	Substantially Complete	86,830			86,830
Fenton River Well Field & Road Repair	450,000	181,367	Planning/Design	7,413	7,413		
Field House - Old Recreation Center Renovation	3,000,000	877,907	Planning/Design	388,969	(488,938)		877,907
Fine Arts - Krenicki Institute Renovation (TL2304)	457,000	438,428	Substantially Complete	31	1,050		(1,019)

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2023 as of 12/31/2022

Project Name	Current Funded Budget*	Total Project Expenditures	Project Status	Fiscal Year to Date Expenditures By Funding Source			
				Total Fiscal Year Expenditures	UCONN 2000 Bonds	University Operating	Other Funding**
Freitas Renovation	450,000	-	Planning/Design	-			
Gampel Electrical Generator Replacement	250,000	46,541	Planning/Design	-			
Gant 404 Lab Renovation	200,000	-	Planning/Design	-			
Garrigus Staircase Replacement	154,400	12,144	Construction	-			
Garrigus Suites Control Valves Installation	200,000	63,541	Planning/Design	63,541		63,541	
George J. Sherman Family Sports Complex Track Resurfacing	763,000	706,253	Substantially Complete	706,253		706,253	
Gilbert Road Site Preparation	6,600,000	730,422	Construction	179,486	179,486		
Hartford 38 Prospect Street Air Handling Unit Replacement	89,000	81,650	Substantially Complete	67,088		67,088	
Hartford Graphic Art & Interior Signage	350,000	244,921	Substantially Complete	112,191		112,191	
HEEP Pavilion and Pollinator Garden	50,000	11,912	Planning/Design	-			
Hilltop Apartments Crawford Interior Improvements	150,000	99,550	Substantially Complete	99,550		99,550	
Human Development Center Houston Lab Renovation	115,000	-	Planning/Design	-			
I-Lot Improvements	7,000,000	5,192,179	Substantially Complete	2,659,902	2,659,902		
Innovation Partnership Building - Backup Power	125,000	7,365	Planning/Design	-			
IPB 3rd Floor NIUVT Office Fit Out	480,000	78,116	Planning/Design	74,730		74,730	
Jones Annex Renovation	940,000	81,546	Planning/Design	1,149	1,149		
Jorgensen Freight Elevator Modernization	550,000	275,881	Construction	182,620		182,620	
Jorgensen Lobby Renovations	125,000	40,347	Construction	40,347		40,347	
Kinesiology Building HALL Renovation (TL2355)	753,500	455,438	Substantially Complete	-		-	
Lafayette C110 Classroom Renovation	70,000	42,179	Construction	32,416		32,416	
Law School - Knight and Hosmer Window Replacement	80,000	30,263	Construction	30,263		30,263	
Law School Boiler Optimization	233,000	-	Construction	-		-	
Main Campus Substation Switchgear Relay Replacement	640,000	444,740	Construction	99,570		99,570	
Mansfield Road Paving Phase I	150,000	128,953	Substantially Complete	-		-	
McConaughy Elevator Modernization	230,000	30,369	Construction	-		-	
McMahon / 2019 Hillside Rd - Events & ISSS Renovation (TL2402)	454,775	314,963	Construction	172,754	172,754		
Mirror Lake Improvements	2,600,000	1,945,523	Planning/Design	721,286	721,286		
Mold / Lead / Asbestos Remediation	4,106,954	4,042,714	Substantially Complete	511,901		511,901	
Music Building Hypalon Roof Replacement	250,000	13,518	Planning/Design	-		-	
N. Eagleville Road and Discovery Drive Intersection Improvements	3,000,000	52,607	Construction	8,200	8,200		
North and South Parking Garage Restoration	3,000,000	1,393,926	Construction	721,719		721,719	
North Campus Stairwell Infill Renovation	86,000	74,109	Planning/Design	29,046		29,046	
North Campus Student Room Renovations Phase 3	2,415,000	2,007,661	Substantially Complete	1,442,421		1,442,421	
North Eagleville Road East Steam Repair	650,000	456,681	Substantially Complete	19,781	19,781		
North East Residence Halls - Security Camera System	1,471,333	1,471,333	Completed	110,228	110,228		
Northwest Quad - Science 1 - Site Improvements & Tunnel Phase II	56,000,000	39,276,495	Substantially Complete	4,453,293	4,453,293		
Northwest Quad Fire Panels	195,221	195,221	Completed	16,143		16,143	
Northwest Science Quad Infrastructure - Phase 1	20,750,000	20,290,615	Substantially Complete	-		-	
Northwest Science Quad Supplemental Utility Plant	67,000,000	55,203,747	Substantially Complete	4,180,013	4,180,013		
Oak Hall Building Lighting System Replacement	152,100	40,355	Construction	14,420		14,420	
Pharmacy/Biology Autoclave Replacement	175,000	86,778	Construction	86,778		86,778	
Phillips Comm. Science 143E Renovation	81,614	81,614	Completed	6,486		6,486	
Public Safety Building Improvements	7,750,000	5,803,904	Substantially Complete	735,055	735,055		
Public Safety Risk Assessment and Design Guideline	200,000	102,067	Planning/Design	100,420	100,420		
Putnam Refectory 2 Boiler Replacement	393,500	-	Construction	-		-	
Residence Hall Water Bottle Filling Stations	100,000	17,453	Planning/Design	17,453		17,453	
Rowe Center 122 Classroom Upgrade	77,000	48,490	Construction	-		-	
Sale of the Nathan Hale Inn	100,000	86,773	Substantially Complete	-		-	
SFA Benton American Alliance of Museums Modification	150,000	84,505	Construction	71,733		71,733	
Shakers Testing Facility - Castleman	350,000	38,781	Bidding	-		-	
Sherman Complex Turf Replacement	1,640,997	-	Planning/Design	-		-	
SOE Backfill Project	1,777,410	577,845	Construction	577,845		577,845	
South Campus Infrastructure	11,000,000	1,557,670	Construction	1,187,981	1,187,981		
Spring Manor Farm Demolition Mitigation	75,000	42,665	Substantially Complete	2,715	2,715		
Stamford Abutting Property Restoration	2,500,000	1,744,410	Substantially Complete	2,480	2,480		
Stamford Campus Garage - Demolition	10,000,000	8,924,562	Substantially Complete	10,314	10,314		
Stamford Campus Pump Replacement	142,293	142,293	Completed	13,518		13,518	
Stamford Campus Surface Parking Lot	3,917,512	3,917,512	Completed	-		-	
Stamford Main Building Roof Replacement	57,054	25,755	Planning/Design	-		-	
Storrs LED (SLED) Lighting Upgrade	7,850,000	7,380,976	Construction	1,482,858		1,482,858	
Student Union - Security Card Access & Cameras	110,000	93,321	Planning/Design	30,234		30,234	

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2023 as of 12/31/2022

Project Name	Current Funded Budget*	Total Project Expenditures	Project Status	Fiscal Year to Date Expenditures By Funding Source			
				Total Fiscal Year Expenditures	UConn 2000 Bonds	University Operating	Other Funding**
Student Union Cultural Center Renovation	180,000	69,954	Construction	18,387	18,387		
Tasker Admissions Roof Restoration	662,040	371,099	Construction	-			
Tasker Wall Repair	435,061	-	Planning/Design	-			
Torrey Greenhouses Wiring Upgrade	200,000	14,847	Planning/Design	5,241		5,241	
Torrey Life Sciences 267/277 MCB New Faculty Lab Renovation	400,000	81,699	Construction	46,018		46,018	
Torrey Life Sciences 2nd Floor Biology Renovation (TL2314)	806,634	806,634	Completed	35,682	35,682		
Torrey Life Sciences 415 & 417 Lab Renovations (TL2325)	150,000	96,676	Substantially Complete	96,676	96,676		
Torrey Life Sciences Building Evaluation Study	175,000	163,770	Planning/Design	60,976	60,976		
Towers Mechanical Room Upgrade	300,000	254,766	Construction	133,200		133,200	
UCFM Code Remediation - McMahon Hall Laundry Operations	280,000	34,155	Construction	25,918		25,918	
UCFM Code Remediation - Williams Health Services Building	197,263	197,263	Completed	515	515		
UConn 2000 Code Remed - Stamford Downtown Relocation	22,000,000	13,919,688	Construction	3,540,346	3,540,346		
UConn Parking Services Relocation Project	682,000	679,349	Substantially Complete	46,556		46,556	
UConn Stamford Mill River Remediation	450,000	131,034	Planning/Design	43,540	43,540		
University Athletic District Development (a.k.a. Stadia)	21,800,000	21,767,907	Substantially Complete	2,277	2,277		
UPDC Relocation (TL2399)	960,000	811,570	Substantially Complete	99,602	99,602		
UTEB 150 Lecture Hall Upgrades	128,975	88,889	Construction	56,273		56,273	
UTEB SoE Faculty Offices Renovation (TL2378)	95,000	93,822	Substantially Complete	11,010	11,010		
Von Der Mehden Hall Roof Restoration	200,000	23,634	Planning/Design	-			
Werth Champions Center Dining Renovation	1,268,000	679,927	Substantially Complete	582,174		582,174	
Werth Residence Hall High Humidity Mitigation	80,000	-	Planning/Design	-			
West ALSOP Mechanical Room Upgrade	180,000	174,545	Substantially Complete	141,364		141,364	
White Building Roof & Drainage System Replacement	945,800	368,248	Construction	283,955		283,955	
White Building Water Heater Replacement	275,000	155,316	Construction	155,316		155,316	
Wilbur Cross Cupola Repair	41,600	-	Planning/Design	-			
William H Hall Building SoE 4th Floor Renovation (TL2417)	154,230	154,230	Completed	119,043	71,287	47,756	
WPCF Chlorine Contact Chamber Rehabilitation	300,000	197,728	Substantially Complete	15,562		15,562	
WPCF Clarifier Tank Improvement & Repair	251,766	242,012	Substantially Complete	221,457		221,457	
Y & Z Parking Lots and Electrical Restoration	1,933,846	1,933,846	Completed	628		628	
Young Quad Steam Repairs	189,933	-	Planning/Design	-			
Zero Carbon Scenario Planning	250,000	211,827	Planning/Design	-			
DM/Code/ADA/Infrastructure/Renovation/Utility/Administrative/Support Facilities Total				38,362,638	21,432,574	16,786,551	143,513
Equipment, Library Collections & Telecommunications - Phase III							
Academic Capital Equipment	25,516,662	22,831,264	Underway	373,391	373,391		
Cyber Security Upgrades	1,000,000	-	Underway	-			
ITS Capital Equipment	28,720,366	26,835,346	Underway	1,261,283	1,261,283		
Kuali Cloud Implementation	700,000	45,188	Underway	45,188	45,188		
Public Safety Capital Equipment	19,893,750	18,016,015	Underway	691,601	691,601		
Wired Access Layer (ITS) - Phase 1	3,632,326	3,526,388	Substantially Complete	-			
Wired Access Layer (ITS) - Phase 2	4,200,000	3,905,477	Substantially Complete	260,423	260,423		
Wired Access Layer (ITS) - Phase 3	4,000,000	1,979,865	Construction	1,830,984	1,830,984		
Wired Access Layer (ITS) - Phase 4	2,000,000	1,874	Construction	1,874	1,874		
Equipment, Library Collections & Telecommunications - Phase III Total				4,464,744	4,464,744		
Intramural, Recreational & Intercollegiate Facilities							
UConn Hockey Arena	58,679,489	53,754,569	Substantially Complete	25,659,229		25,532,673	126,556
University Athletic District Development (a.k.a. Stadia)	67,161,925	65,139,271	Substantially Complete	75,892		(31,844)	107,736
Intramural, Recreational & Intercollegiate Facilities Total				25,735,121		25,500,829	234,292
Residential Life Facilities							
Res Life Facilities - Mansfield Apartments Redevelopment	12,000,000	3,676,066	Planning/Design	2,619,901	2,619,901		
Res Life Facilities - Site Evaluations	450,000	-	Planning/Design	-			
Res Life Facilities - South Campus Residence Halls Improvements	64,633,990	7,386,945	Construction	4,601,806	4,601,806		
Residential Life Facilities Total				7,221,707	7,221,707		
Sub Total - Storrs & Regional Campuses:				102,098,310	59,433,125	42,287,380	377,805
UConn Health Center (UConn 2000 Funding Only)							
Def Mtn/Code & ADA Cmp/Inf Imp & Reno Lump Sum/UA&S Fac-UCHC							
UCHC Deferred Maintenance	76,959,697	50,417,413	Construction	-			
Def Mtn/Code & ADA Cmp/Inf Imp & Reno Lump Sum/UA&S Fac-UCHC Total				-	-	-	-
Equipment, Library Collections & Telecommunications-UCHC							
UCHC Capital Equipment	74,399,314	73,683,769	Underway	-			
Equipment, Library Collections & Telecommunications-UCHC Total				-	-	-	-

University of Connecticut
Capital Project Expenditure Report - All Funding Sources
Fiscal Year 2023 as of 12/31/2022

Project Name	Current Funded Budget*	Total Project Expenditures	Project Status	Fiscal Year to Date Expenditures By Funding Source			
				Total Fiscal Year Expenditures	UCONN 2000 Bonds	University Operating	Other Funding**
Sub Total - UConn Health Center (UCONN 2000 Funding Only):				-	-	-	-
Total - Storrs, Regional Campuses and UConn Health Center - Current Year Expenditures:				\$ 102,098,310	\$ 59,433,125	\$ 42,287,380	\$ 377,805
Adjustment for Transfers Between Fund Sources***:				-	488,938	(457,094)	(31,844)
Adjusted Total - Storrs, Regional Campuses and UConn Health Center - Current Year Expenditures:				\$ 102,098,310	\$ 59,922,063	\$ 41,830,286	\$ 345,961

* - Current Funded Budget may be less than the approved budget, and represents the current funding available for the project

** - Other funding sources include State Bond Funds, Gifts, Grants and Federal Funds

*** - Per Capital Projects Policies and Procedures, transfers between funding sources may occur periodically, as determined necessary by the Office of Budget and Planning and approved by the Board of Trustees, if necessary. If a current period transfer captures expenses paid in a previous fiscal year, a negative balance occurs in the report. This adjustment corrects for prior year expenditures in the current year transfers.

University of Connecticut - Capital Project Financial and Funding Summary by Status
Capital Project Financial and Funding Summary by Status
Fiscal Year 2023 as of 12/31/2022

Financial Summary of FY23 Projects by Project Status				
Project Status	Funded Budget - FY23 Projects	Cumulative Project Expenditures - FY23 Projects	Total Project Count By Status	Total Fiscal Year Expenditures
Planning / Design / Bidding:	34,764,514	8,951,411	45	4,445,521
Construction:	437,353,817	273,568,133	52	26,714,663
Underway (Equipment Only):	150,230,092	141,411,581	6	2,371,463
Substantially Complete:	589,996,858	464,629,031	51	68,235,910
Completed:	9,384,436	9,384,436	11	330,753
Totals:	1,221,729,718	897,944,592	165	102,098,310

FY23 Expenditures by Project Status and Funding Source				
Project Status	UCONN 2000 Bonds	University Operating	Revenue Bonds	Other Funding*
Planning / Design / Bidding:	3,121,179	1,179,819	-	144,523
Construction:	16,307,164	10,407,499	-	-
Underway (Equipment Only):	2,371,463	-	-	-
Substantially Complete:	37,415,607	30,587,021	-	233,282
Completed:	217,712	113,041	-	-
Totals:	59,433,125	42,287,380	-	377,805

* Other funding sources include State Bond Funds, Gifts, Grants and Federal Funds

University of Connecticut - Capital Project Analytics: By Status and Department
Fiscal Year 2023 as of 12/31/2022

Fiscal Year Expenditures by Status and Department						
Project Status	Departments					Totals
	UPDC	Facilities Ops	Health Center**	Academic Reno	All Others***	
Planning / Design / Bidding:	4,284,671	105,789	-	55,061	-	4,445,521
Construction:	17,642,409	5,999,129	-	1,240,267	1,832,858	26,714,663
Underway (Equipment Only):	-	-	-	-	2,371,463	2,371,463
Substantially Complete:	65,007,449	2,497,190	-	470,848	260,423	68,235,910
Completed:	110,743	11,289	-	208,721	-	330,753
Totals:	87,045,272	8,613,397	-	1,974,897	4,464,744	102,098,310

Cumulative Project Expenditures by Status and Department						
Project Status	Departments					Totals
	UPDC	Facilities Ops	Health Center**	Academic Reno	All Others***	
Planning / Design / Bidding:	8,669,645	208,053	-	73,713	-	8,951,411
Construction:	202,916,653	16,583,990	50,417,413	1,668,338	1,981,739	273,568,133
Underway (Equipment Only):	-	-	73,683,769	-	67,727,812	141,411,581
Substantially Complete:	445,489,016	8,199,918	-	3,421,459	7,518,638	464,629,031
Completed:	5,586,107	2,353,961	-	1,444,368	-	9,384,436
Totals:	662,661,422	27,345,922	124,101,182	6,607,877	77,228,189	897,944,592

Funded Budget by Status and Department						
Project Status	Departments					Totals
	UPDC	Facilities Ops	Health Center**	Academic Reno	All Others***	
Planning / Design / Bidding:	29,669,069	4,013,445	-	1,082,000	-	34,764,514
Construction:	325,941,596	24,305,766	76,959,697	4,146,759	6,000,000	437,353,817
Underway (Equipment Only):	-	-	74,399,314	-	75,830,777	150,230,092
Substantially Complete:	568,069,414	9,893,290	-	4,101,829	7,932,326	589,996,858
Completed:	5,586,107	2,353,961	-	1,444,368	-	9,384,436
Totals:	929,266,186	40,566,462	151,359,011	10,774,956	89,763,103	1,221,729,718

Project Count by Status and Department****						
Project Status	Departments					Totals
	UPDC	Facilities Ops	Health Center**	Academic Reno	All Others***	
Planning / Design / Bidding:	25	18	0	2	0	45
Construction:	14	21	1	14	2	52
Underway (Equipment Only):	0	0	1	0	5	6
Substantially Complete:	19	19	0	10	3	51
Completed:	3	4	0	4	0	11
Totals:	61	62	2	30	10	165

** UConn 2000 funded deferred maintenance and equipment expenses at the Health Center are initially paid by the Health Center and reimbursed by the University upon submission and approval. There are 17 deferred maintenance and equipment projects totaling \$477K pending submission for reimbursement.

*** This category includes project managed by ITS, as well as projects managed centrally.

**** Project Count for Facilities Operations and Academic Renovations reported above includes a single project for Facilities Expensed Deferred Maintenance Projects. As of the report date this single project was comprised of 76 Facilities Operations and 19 Academic Renovations sub-projects.

ATTACHMENT C

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Revised Planning Budget Phase								
Field House- Old Rec Center Renovation	300209	\$3,000,000	\$1,846,863	RP	University Funds	06/29/22	TBD	
Design Budget Phase								
Eversource Second Electrical Feed	300136	\$3,000,000	\$1,297,546	D-\$3M	UCONN 2000 Bond Funds	12/08/21	TBD	
Jones Annex Renovation	300203	\$940,000	\$441,206	D-\$940k	UCONN 2000 Bond Funds	09/28/22	TBD	
Final Budget Phase								
Academic and Research Facilities - STEM Research Center	901802	\$220,000,000	\$163,735,423	P-\$1M RP-\$5M RP-\$15M D-\$15M F-\$220M	UCONN 2000 Bond Funds	11/13/13 06/29/16 09/27/17 06/26/19 04/29/20	Spring 2023	97%
Avery Point Seawall Exigent Improvements	300253	\$3,063,069		F	UCONN 2000 Bond Funds	12/07/22	Spring 2023	0%
Boiler Plant Equipment Replacement and Utility Tunnel Connection	300151	\$40,000,000	\$37,146,191	RP-\$1.25M D-\$2.3M F-\$40M	UCONN 2000 Bond Funds	04/24/19 08/14/19 02/26/20	Spring 2023	82%
Branford House Exterior Repairs, Phases 1 & 2	FO500106	\$800,000	\$371,003	F	University Funds	02/22/23-pending	September 2023	0%
Chemistry Building Roof Snow Guard Replacement	FO500093	\$916,000	\$829,805	F	University Funds	09/30/20	March 2023	98%
Dining Hall Facilities Ventilation Upgrades	FO500010	\$892,700	\$161,593	F	University Funds	02/21/18	October 2023	25%
Gampel Pavilion Court Replacement	300255	\$688,480		F	University Funds	12/07/22	July 2023	0%
George J. Sherman Family Sports Complex Turf Replacement	FO500156	\$1,640,997	\$1,491,815	F	University Funds	06/26/22	July 2023	0%
Gilbert Road Site Preparation	300235	\$6,600,000	\$3,218,819	RD-\$1.25M F-\$6.6M	UCONN 2000 Bond Funds	06/29/22	Summer 2023	20%
Greer Field House Indoor Track Resurfacing	FO500159	\$807,092		F	University Funds	12/07/22	July 2023	0%
I-Lot Improvements	300173	\$7,000,000	\$6,544,975	F	UCONN 2000 Bond Funds	04/28/21	March 2023	95%
Kinesiology Bldg. Human Anatomy Learning Laboratory Renovation	300188	\$753,500	\$499,846	F	UCONN 2000 Bond Funds	12/09/20	March 2023	99%
Mirror Lake Improvements	300174	\$35,000,000	\$2,046,111	D-\$1.6M RD-\$2.6M F-\$35.0M	UCONN 2000 Bond Funds	10/27/21 03/30/22 12/07/22	TBD	0%
Northwest Quad: Science 1-Site Improvements	300050	\$56,000,000	\$44,722,917	RP-\$1M D-\$7.5M F-\$56M	UCONN 2000 Bond Funds	02/21/18 06/27/18 04/29/20	March 2023	98%
Residential Life Facilities: Mansfield Apartments Redevelopment - Part 1	300234	\$12,000,000	\$8,317,171	P-\$850k D-\$4.6M F-\$12.0M	UCONN 2000 Bond Funds	09/29/21 03/30/22 06/29/22	TBD	0%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Final Budget Phase - continued								
Residential Life Facilities: South Campus Residence Hall	300200	\$215,000,000	\$43,125,648	P-\$800k D-\$6.5M F-\$215M	UCONN 2000 Bond Funds	12/08/21 12/09/20 08/03/22	Fall 2024	10%
School of Engineering Backfill Renovations	TL2405	\$1,771,410	\$758,438	F	University Funds	06/29/22	August 2023	75%
South Campus Infrastructure	300241	\$11,000,000	\$3,562,925	RP-\$1.25M D-\$1.750M RD- \$4.5M F-\$11.0M	UCONN 2000 Bond Funds	03/30/22 06/29/22 09/28/22 12/07/22	TBD	0%
Stamford Abutting Property Remediation	300149	\$2,500,000	\$1,976,880	F	UCONN 2000 Bond Funds	04/24/19	Spring 2023	99%
Supplemental Utility Plant	300025	\$67,000,000	\$62,478,634	P-\$5M D -\$5M F-\$67M	UCONN 2000 Bond Funds	09/27/17 06/26/19 02/26/20	March 2023	96%
Tasker Roof Restoration	FO500082	\$662,040	\$404,990	F	University Funds	10/28/20	March 2023	98%
UConn Hockey Arena	300133	\$70,000,000	\$55,674,746	RP- \$0.85M D-\$2.85M RD-\$4.6M F-\$70M	University Funds Revenue Bonds Gift Funds	08/14/19 01/29/20 09/03/20 04/28/21	March 2023	96%
White Building Roof and Drainage System Replacement	FO500127	\$945,800	\$591,573	F	University Funds	06/29/22	March 2023	95%
Wired Access Layer Infrastructure Refresh - Phase III	Various	\$4,000,000	\$3,973,465	F	UCONN 2000 Bond Funds	09/29/21	April 2023	80%
Wired Access Layer Infrastructure Refresh - Phase IV	Various	\$2,000,000	\$1,173,975	F	UCONN 2000 Bond Funds	06/29/22	August 2023	20%
Revised Final Phase								
Academic & Research Facilities - Gant Building Renovations - STEM	901803	\$268,000,000	\$151,801,396	P-\$1M RP-\$5M D-\$15M F -\$85M RF-\$170M RF- \$268M	UCONN 2000 Bond Funds University Funds	11/13/13 09/30/15 08/10/16 02/22/17 06/26/19 2/22/2023- pending	2025	MOB-100% Phase 1-100% Phase 2-100% Phase 3-0%
Andover Infrastructure and Software Upgrade- Phase I, II, III	FO500073	\$3,346,000	\$3,221,302	F-\$2.6M RF-\$3.346M	University Funds	09/30/20 02/24/21 04/27/22	COMPLETE 6/30/22 6/30/23	100% 100% 50%
Atwater Laboratory Emergency Power Installation	FO500058	\$682,700	\$675,551	F-\$535k RF-\$603k RF-\$682k	University funds	04/28/21 10/27/21 06/29/22	March 2023	98%
B4 Steam Vault and Line Exigent Repair	300247	\$7,700,000	\$6,338,529	F-\$5.5M RF-\$7.7M	UCONN 2000 Bond Funds University Funds	03/30/22 06/29/22	Summer 2023	75%
Jorgensen Freight Elevator Modernization	FO500135	\$550,000	\$519,560	RF	University Funds	12/07/22	March 2023	75%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Revised Final Budget Phase - continued								
Main Campus SubStation Switchgear Relay Replacement AET 5P-14G SCADA	FO500090	\$640,000	\$640,000	F-\$565k RF-\$592k RF-\$640k	University Funds	02/26/20 04/27/22 06/29/22	March 2023	80%
North & South Parking Garages Restoration, Phase I & II	FO500056	\$3,000,000	\$1,732,493	F-\$1.0M RF-\$2.0M RF\$3.0M	University Funds	10/28/20 06/30/21 12/07/22	March 2023	Phase 1- 100% Phase 2- 98% Phase 3-0%
North Eagleville Road and Discovery Drive Intersection Improvements	300169	\$3,000,000	\$2,194,572	D-\$750k F-\$800k RF-\$2.0M	UCONN 2000 Bond Funds	09/30/20 10/27/21 04/27/22	Fall 2023	15%
Public Safety Building Improvements	201703	\$7,750,000	\$7,225,045	F-\$4.55M RF-\$7.0M RF-\$7.45M RF-\$7.75M	UCONN 2000 Bond Funds University Funds	3/27/19 12/09/20 09/29/21 06/29/22	Summer 2023	80%
Storrs LED (SLED) Lighting Upgrade	FO500025	\$7,850,000	\$7,735,435	F-\$5.35M RF-\$7.85M	University Funds	12/09/20	June 2023	90%
UCONN 2000 Code Remediation: Stamford Downtown Relocation	201523	\$22,000,000	\$17,790,014	P-\$2M RP-\$2.5M F-\$4M RF-\$22M	University Funds UCONN 2000 Bond Funds	10/28/15 10/23/19 02/26/20 02/24/21	Jan. 2021-Ph. 1 Fall 2023-Ph. 2	Phase 1: 100% Phase 2: 84%
Recently Completed Projects ⁽¹⁾								
Agricultural Biotechnology Laboratory Phoenix Upgrade	FO500077	\$592,350	\$522,660	F	University Funds	09/30/20	January 2022	100%
Athletic Facilities Storrs LED Lighting Upgrade	FO500014	\$1,377,772	\$1,186,275	F	University Funds	05/02/18	October 2021	100%
FacOps Bldg. Merger of Parking Services	TL2384	\$682,000	\$679,349	F-\$650k RF-\$682k	University Funds	09/3/21 04/27/22	November 2022	100%
George J. Sherman Family Sports Complex Track Resurfacing	FO500118	\$763,000	\$740,388	F	University Funds	06/30/21	January 2023	100%
Heating Plant Upgrade - Emergency Power System Upgrade	901697	\$2,500,000	\$435,961	RP-\$2.5M D-\$2.5M F-\$2.5M	UCONN 2000 Bond Funds	06/25/14 08/05/15 10/28/15	Project Closed	0%
Horsebarn Hill Sewage Pump Station Upgrade	FO500016	\$1,500,000	\$1,404,745	F-\$650k RF-\$1.5M	University Funds	06/27/18 06/26/19	July 2022	100%
NER East Steam Repair	300185	\$650,000	\$479,348	F	UCONN 2000 Bond Funds	04/28/21	April 2022	100%
North and East Area Residence Halls - Security Camera System	300020	\$1,750,000	\$1,471,333	F	UCONN 2000 Bond Funds	05/02/18	April 2022	100%
North Campus Student Room Renovations Phase 3	300232	\$2,415,000	\$2,134,414	F	University Funds	03/30/22	August 2022	100%
Residential Life Facilities- North Campus Residence Hall Renovations Phase 2	300164	\$2,170,000	\$1,817,004	F-\$2.17M	UCONN 2000 Bond Funds	02/26/20	January 2022	100%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Recently Completed Projects Continued ⁽¹⁾								
Torrey Life Sciences 2nd Floor Biology Renovation	300152	\$900,000	\$806,634	F	UCONN 2000 Bond Funds	12/11/19	January 2023	100%
University Athletics District Development	201696	\$96,600,000	\$88,333,846	RP-\$4.8M RP-\$6.3M D-\$8M F-\$25M RF- \$96.6M	UCONN 2000 Bond Funds University Funds Other -Gift Funds Revenue Bond Funds	02/22/17 05/02/18 08/01/18 12/12/18 03/27/19	July 2021	100%
UPDC Relocation	300207	\$960,000	\$869,461	F-\$960k	UCONN 2000 Bond Funds	09/29/21	July 2022	100%
Utility Infrastructure GIS Mapping	902035	\$3,236,000	\$759,444	F	UCONN 2000 Bond Funds	03/30/16	Project Closed	0%
Werth Family Basketball Champions Center Dining Renovation	300237	\$1,268,000	\$866,844	F	University Funds	06/30/21	November 2022	100%
Wired Access Layer Infrastructure Refresh - Phase II	Various	\$4,200,000	\$4,125,232	F	UCONN 2000 Bond Funds	06/24/20	November 2022	100%
Y & Z Parking Lots Repaving and Electrical Restoration	FO500076	\$2,377,000	\$1,933,845	F	University Funds	09/30/20	Complete	100%
Planning Budget Phase								
UCH - Central Sterile Washer & Sterilizer Replacement	21-034	\$1,905,000	\$0	P	UConn Health Capital Funds	(06/13/22)* 06/29/22		
UCH - New England Sickle Cell Institute Renovation	21-063	\$3,000,000	\$142,150	P	UConn Health Capital Funds	(06/13/22)* 06/29/22		
Design Budget Phase								
UCH - 16 Munson Road Emergency Lighting & Egress Upgrades	21-010	\$935,000	\$38,500	D	UCONN 2000 Bond Funds UConn Health Capital Funds	(12/06/21)* 12/08/21	December 2023	0%
UCH - Building D & Building N Roof Replacement	22-601.02	\$2,565,000	\$97,765	P-\$1.1M D-\$2.565M	UCONN 2000 Bond Funds	(12/06/21)* 12/08/21 (06/13/22)* 06/29/22	November 2023	0%
UCH - Building E & Building K Roof Replacement	22-601.01	\$2,160,000	\$103,400	P-\$630K D-\$2.16M	UCONN 2000 Bond Funds	(12/06/21)* 12/08/21 (06/13/22)* 06/29/22	November 2023	0%
UCH - Canzonetti (F) Building Wound Care Center Renovation	22-019	\$850,000	\$0	D	UConn Health Capital Funds Restorix Health Inc Design & Construction Allowance	(06/13/22)* 06/29/22	November 2023	0%
UCH-Transitional Nursery Renovation	21-016	\$1,800,000	\$0	D	UConn Health Capital Funds	(03/13/23)*	February 2024	0%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Final Budget Phase								
UCH - Cardio Catheterization (Cath) & Electro Physiology (EP) Lap Renovation	22-017	\$6,430,000	\$3,226,051	P-\$3.7M D-\$6.166M F-\$6.430M	UConn Health Capital Funds	(06/13/22)* 06/29/22 (12/05/22)* 12/07/22	March 2024	0%
UCH-CGSB & ARB Autoclave and Washer Replacement	22-012	\$1,200,000	\$791,608	F-\$1.2M	UConn Health Research IDC Capital	(12/05/22)* 12/07/22	December 2023	0%
UCH-Main Building (L) Lab Renovations - 2nd Floor	22-013	\$10,200,000	\$421,081	P-\$7.8M D-\$8.972M F-\$10.2M	UCONN 2000 Bond Funds UConn Health Research IDC Capital UCH School of Medicine Operating Funds UConn Health Capital Funds	(12/06/21)* 12/08/21 (06/13/22)* 06/29/22 (12/05/22)* 12/07/22	March 2024	0%
UCH - 5 Munson Road Clinical Fit-Out	22-042	\$8,380,000	\$0	F	UConn Health Capital Funds Landlord Tenant Fit-out Allowance	(06/13/22)* 06/29/22	September 2023	0%
UCH-HIM Workplace Improvements	21-019	\$763,000		F	UCONN 2000 Bond Funds	(03/13/23)* 02/22/23-pending	August 2023	
UCH - Replace Chilled Water Pump CHWP#4	21-018	\$642,000	\$295,090	F	UCONN 2000 Bond Funds UConn Health Capital Funds	(12/06/21)* 12/08/21	May 2023	50%
Revised Final Phase								
UCH-836 Hopmeadow Street, Simsbury Clinical Practice Relocation	21-036	\$3,930,000	\$3,782,059	P-\$3.875M D-\$3.875M F-\$4.297M RF-\$3.93M	UConn Health Capital Funds Landlord Tenant Fit Out Allowance	(09/20/21)* 09/29/21 (12/06/21)* 12/08/21 (06/13/22)* 04/27/22	May 2023	20%
UCH-16 Munson Road Parking Lot Paving	22-601.03	\$1,615,000	\$79,973	P-\$1.16M D-\$1.445M F-\$1.93M RF-\$1.62M	UCONN 2000 Bond Funds	(12/06/21)* 12/08/21 (06/13/22)* 06/29/22 (9/12/22)* 09/28/22 (09/12/22)* 09/28/22 (0313/23)* 02/22/23-pending	August 2023	0%
UCH - Psychiatry Seclusion Suite & Nurse Station Security Renovation	21-050	\$1,197,000	\$48,120	D-\$790k F-\$1.042M RF-\$1.197M	UConn Health Capital Funds	(06/13/22)* 06/29/22 (12/05/22)* 12/07/22	August 2023	0%
UCH - Replace Building F & H Hot Water Tanks	19-603.11	\$845,000	\$35,600	F-547k RF-\$845k	UCONN 2000 Bond Funds	(12/06/21)* 12/08/21 (09/12/22)* 09/28/22	August 2023	0%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING -February 22, 2023

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 1/30/23)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Recently Completed Projects ⁽¹⁾								
UCH-Main Building (L) Lab Renovations-3rd Floor	19-007	\$7,800,000	\$6,571,494	D-\$7.8M F-\$7.8M	UConn Health Research IDC Capital UConn Health School of Medicine Dean's UConn Health School of Medicine Operating UConn Health Gift Funds	(09/16/19)* 10/23/19 (03/03/20)* 02/26/20	September 2021	100%
UCH- Musculoskeletal Institute Building (MSI)	20-052	\$1,762,500	\$1,744,068	F-\$1.6M RF- \$1.7M	Uconn Health Capital Funds Eversource Rebate- 50% Actual Cost	(03/09/21)* 02/24/21 (04/09/21)* 04/09/21	July 2021	100%
P = Planning Budget		RD = Revised Design Budget						
RP = Revised Planning Budget		F = Final Budget						
D = Design Budget		RF = Revised Final Budget						
* UConn Health Board of Directors Reviewed and Recommended for Board of Trustees Approval								
⁽¹⁾ Completed projects assume "Completed, Commissioned and Occupied". Projects continue to be included in this report for 1 year after completion to accommodate initial financial closeout adjustments.								

ATTACHMENT D

UConn
2000

55 REPORT



UConn
UNIVERSITY OF CONNECTICUT



UCONN 2000

REBUILDING, RENEWING AND ENHANCING THE UNIVERSITY OF CONNECTICUT

January 2023

The Fifty-Fifth
in a series of reports to

Governor Ned Lamont
and the
Connecticut General Assembly

UNIVERSITY OF CONNECTICUT

UCONN 2000: THE UPDATE

This is the fifty-fifth in a series of semi-annual reports to the Governor and the General Assembly pursuant to the provisions of Sections 10a-109 through 10a-109y of the Connecticut General Statutes, originally An Act to Enhance the Infrastructure of the University of Connecticut, now known as UCONN 2000. These reports have been issued biannually since passage of UCONN 2000 on June 7, 1995. The law also requires a four-year progress report, which was filed on January 15, 1999, as well as two five-year performance reviews, which were submitted January 15, 2006 and January 15, 2011. The Act further provides that not later than December 31, 2019 and every 5 years thereafter, the University shall conduct an assessment of the University's progress in meeting the purposes set forth and incorporated in the Act by Next Generation Connecticut.

UCONN 2000: PROGRAM IMPROVEMENT

During this reporting period, the requirements concerning UCONN 2000 contained in Public Act 06-134 continue to be implemented. In 2008, the Construction Management Oversight Committee (CMOC) concluded its most significant and major undertaking, approving the policies and procedures developed by the University. In December 2014, the CMOC unanimously voted that the CMOC had successfully concluded its work as defined in statute and the four members appointed by the Governor and legislative leaders resigned from the committee. Despite requests to refill vacancies, no new appointments have been made and the committee has not been able to meet due to the lack of a quorum. Absent the appointments being made, the UConn Board of Trustees voted to transfer the CMOC's responsibilities to the Board's Buildings, Grounds and Environment Committee (BGE). BGE meets on a regular basis to review reports from the Office of Audit and Management Advisory Services (AMAS), which has taken on the statutory responsibilities of the Office of Construction Assurance. The office reviews the University's management of projects for conformance with the applicable policies and procedures governing construction, and is headed by the Chief Audit Executive, who reports to the Joint Audit & Compliance Committee, UConn Board of Trustees and the President. BGE also reviews the status of major projects and remaining code correction programs.

Pursuant to Chapter 185b, Section 10a-109z of the Connecticut General Statutes (the Statute), the Board of Trustees for the University of Connecticut appointed the independent accounting firms of Marcum LLP (formerly UHY LLP), and RSM US LLP (formerly McGladrey LLP), to perform audits of the UCONN 2000 project expenditures for the Fiscal Years 2005 through 2010 and 2011 through 2015, respectively. Marcum and RSM issued an unmodified or clean audit opinion for each year of the engagement. With the exception of Fiscal Year 2013, no material weaknesses or significant deficiencies in internal controls were reported to management in connection with the audits of UCONN 2000 project expenditures for Fiscal Years 2005 through 2015. In connection with the audit of UCONN 2000 project expenditures for the 2013 Fiscal Year, RSM identified a deficiency in internal control that they determined constituted a significant deficiency related to the application of certain markups on change orders and base contracts. University management has taken steps to enhance the effectiveness of internal control to ensure that markup calculations are accurate and in accordance with contract terms. CohnReznick was appointed to perform audits

of the UCONN 2000 project expenditures for the Fiscal Years 2016 through 2020. CohnReznick issued unmodified audit opinions with no material weakness or significant deficiencies in internal controls reported to management for each year of the engagement.

Mayer Hoffman McCann P.C. (MHM) has been appointed to perform audits of the UCONN 2000 project expenditures for the Fiscal Years 2021 through 2023. For the 2021 Fiscal Year, MHM issued a report with no material weaknesses or significant deficiencies in internal controls as related to the Statute requirements.

The University employs building and life safety inspectors who review and sign off on all University construction plans and conduct field inspections to ensure that construction work meets all state building and life safety codes. The University inspectors work closely and effectively with the State Building Inspectors to ensure projects are code compliant.

RECENT CAPITAL FUNDING HISTORY: UNPARALLELED STATE COMMITMENT

In 2011, the State of Connecticut made strategic investments in the University of Connecticut and the University of Connecticut Health Center (UConn Health) to position Connecticut at the forefront of the growing bioscience industry. The investments were made with the promise that they would leverage other bioscience initiatives.

In 2011, the General Assembly approved the Bioscience Connecticut Initiative (Public Act 11-75), a bold \$864 million plan to reinvigorate all three areas of the UConn Health mission – research, education and clinical care. These investments aimed to generate long term sustainable economic growth based on bioscience research, innovation, entrepreneurship and commercialization. The project also called for short-term economic activity through a surge of construction-related jobs attributable to the expansion and renovation of infrastructure at UConn Health.

Construction components of Bioscience Connecticut on the UConn Health campus included:

- Renovating and modernizing, for the first time in its history, UConn Health’s original research facilities on the Farmington campus. This included expanding space for start-up bioscience businesses at the Cell and Genome Sciences Building.
- Constructing a new hospital tower.
- Renovating portions of the John Dempsey Hospital and the Clinic Building. Constructing, with private financing, a new UConn Health Outpatient Pavilion on the lower campus.
- Construction of an addition to the Academic Building to support an increase in Medical and Dental School class sizes.

Programmatic components of Bioscience Connecticut included:

- Recruiting new faculty, including clinicians and basic scientists, to increase healthcare access and federal and industry research awards.
- Doubling existing business incubator space to support commercialization and start-up companies.

- Expanding the School of Medicine and School of Dental Medicine class sizes by 30 percent.
- Implementing a loan forgiveness program for UConn Medical School graduates who pursue careers in primary care in Connecticut.
- Sponsoring a Health Disparities Institute to enhance research and the delivery of care to the minority and medically underserved populations of the state.
- Supporting the development of a primary care institute located on the campus of Saint Francis Hospital and Medical Center – the Connecticut Institute for Primary Care Innovation – intended to increase the number of primary care providers in the state.
- Supporting the development of a comprehensive cancer center to expand clinical trials and advance patient care at multiple sites in the Hartford region.

The groundbreaking for the first Bioscience Connecticut project took place on June 11, 2012. As previously reported, all projects associated with Bioscience Connecticut are complete and the UConn Health campus has been transformed into a modern, state-of-the-art academic medical center campus. Key construction projects that have been finalized include the Main Building Research Lab Renovations, the Technology Incubator Addition, the Academic Addition and Renovations, the Outpatient Pavilion, a new hospital bed tower known as the University Tower, three new parking garages, and many roadway improvements both on and off campus. The final project, Renovations to the Clinical Area of the Main Building, was completed in May 2019. With the completion of the final projects, FY18 was the final year of funding for UConn Health projects under the Bioscience Connecticut Initiative.

Also in 2011, legislation was enacted, which was subsequently amended in 2014 that provided \$169.5 million in funding to create the first building of a Technology Park (The Innovation Partnership Building – IPB) on the Storrs campus. The new Tech Park, like the Bioscience Connecticut Initiative, is a critical component of Connecticut’s plan to stimulate long-term economic growth by supporting innovation, new technologies and the creation of new companies and high-paying, sustainable jobs. Twenty-first century tech park models emphasize invention, incubation and entrepreneurship. The first building of the Tech Park will help hit the mark by promoting academic and industrial partnerships and by providing the physical and intellectual capacity to foster discovery. The IPB was completed in 2020.

In October 2011, just months after the passage of the capital investment at UConn Health, the General Assembly adopted in special session, Public Act 11-2 establishing the Connecticut Bioscience Collaboration Program (the “Collaboration”) supporting the establishment of a Bioscience cluster anchored by the world-renowned Jackson Laboratory. The Jackson Laboratory Center for Genomic Medicine research building, located on UConn Health’s campus in Farmington, opened in October 2014.

In July 2013, the General Assembly adopted Public Act 13-233 establishing Next Generation Connecticut for the purposes of construction, renovations, infrastructure and equipment related to the development of preeminence in the University of Connecticut's research and innovation programs. The Act not only authorized additional projects, but it also extended the capital program by 6 years through 2024 and added \$1.551 billion of additional funding. Pending annual operating appropriations, the Next Generation Connecticut initiative will also allow the University to (1) hire and support outstanding faculty, (2) train and educate more science, technology, engineering and

math (STEM) graduates to meet the future workforce needs of Connecticut, and (3) initiate collaborative partnerships that lead to scientific and technological breakthroughs. During the 2017 legislative session, the phasing of the capital program funding was changed and the Next Generation Connecticut initiative was extended by three years to 2027.

For UConn Health, during the 2021 legislative session, the General Assembly approved an additional \$25 million in the UCONN 2000 Program, Phase III, for deferred maintenance. During the 2022 legislative session, the General Assembly authorized the bond commission to issue an additional \$40 million in bonds to fund UConn Health deferred maintenance. In December 2022 the State Bond Commission approved the authorization of \$40 million in bond funds for UConn Health deferred maintenance. These critical funds will be used to repair or replace building infrastructure components that are outdated and/or past their projected life span. The overall need for such funding is projected to be \$295 million over a 10-year period.

UCONN 2000: STATUS REPORT

MASTER PLANNING, DESIGN AND MANAGEMENT

The University's Master Plan provides a template for the development of the University's physical plant and infrastructure. The 1998 Storrs Campus Master Plan was updated in 2006 to reflect the extensive physical changes on all the campuses resulting from the UCONN 2000 initiatives. It should be noted that the Master Plan has been modified throughout the project planning, design and construction process of UCONN 2000. As part of the Technology Park initiative, an update to the North Campus Master Plan was prepared to delineate various site, vehicular and pedestrian pathways, utility corridors, and landscape improvements to facilitate the future development of that part of campus. This work is incorporated in the comprehensive 2015 Master Plan for the campus.

The 2015 Master Plan reflects the impacts of the proposed projects included in the Next Generation Connecticut initiative and guides the development of the Storrs campus for the twenty (20) year period between 2015 and 2035. The 2015 Master Plan documents the state of existing conditions on campus and issues related to land use; space needs for academic, research, student life and administrative uses; recommended deferred maintenance and capital investments in the physical plant; environmental issues and sustainable design principles for future development; parking, circulation and transportation issues; and specific strategies to improve landscape quality and open spaces. The Master Plan references the programmatic ties to the Regional campuses, but does not include separate master plans for those locations.

The 2015 Master Plan is a comprehensive summary of the current conditions of the campus as of 2015 and a guideline for the proposed development of the Storrs campus over the next 20 years. The first ten years of development (2015-2024) are driven by the adopted Academic Vision Plan and fueled by the Next Generation Connecticut funding program. The plan also forecasts development that may occur beyond the Next Generation Connecticut projects (2028 -2035). This potential future development will require new funding sources and builds on the success of the first decade of growth. The total amount of development portrayed in the plan includes facilities that would be needed to grow the undergraduate student population by 5,000, accommodate a

substantially larger research enterprise, repair or replace obsolete facilities and meet the commitments of the Climate Action Plan for a sustainable campus.

Implementation of the Master Plan

Future planned development will be programmed and designed to conform to the concepts and the development pattern contained in the Master Plan documents. The Master Plan will inform the design and implementation of the utility infrastructure, storm water management systems, roads and parking areas, landscape and land use, and individual projects. The urban form of the campus will take shape as envisioned in the Master Plan and will be refined by future design initiatives as specific developments are designed and built. While the Master Plan will inform and guide future development decisions, the final location, design, and programming of specific projects will be decided when those projects are implemented. Individual construction projects undertaken as part of this plan will, as always, be brought to the Board of Trustees for approval, along with the project budgets.

The final version of the Master Plan and its Executive Summary, Design Guidelines and Appendices, dated May 2015, were issued and are posted on the UConn website at <http://masterplan.uconn.edu/documents/>.

BIOSCIENCE CONNECTICUT

All of the Bioscience Connecticut construction projects are complete. Through March 2019, over 6,200 construction workers were employed on the Bioscience Connecticut projects and 85% of the construction contracts were awarded to Connecticut companies. The Minority/Women/Disadvantaged Business participation reached 23%, exceeding the statutory minimum of 6.25% by nearly 17%.

The Bioscience Connecticut initiative planned for \$69 million in funding from operations, special eligible gifts or other sources toward new construction and renovation projects. UConn Health and the University of Connecticut Foundation have met this requirement.

**UNIVERSITY OF CONNECTICUT
NEXT GENERATION CONNECTICUT REPORT
DECEMBER 2022**

Statutory Requirement

As part of Next Generation Connecticut, the University shall report not later than January 1, 2016, and annually thereafter, in accordance with the provisions of Section 10a-109x(c), to the joint standing committees of the General Assembly having cognizance of matters relating to finance, revenue and bonding, commerce and higher education on its progress toward achieving the goals set forth in the plan developed pursuant to the act. The report shall include a summary of the research and economic development activities of the University. Pursuant to Section 10a-109nn, the University has assessed this progress in achieving the goals set forth in the plan as compared to nationally ranked research universities. This assessment is submitted to the chairpersons and ranking members of the joint standing committees of the General Assembly having cognizance of matters relating to finance, revenue and bonding, commerce, and higher education by December 31, 2019, and thereafter.

Summary

The Next Generation Connecticut (NextGenCT) initiative represents one of the most ambitious State investments in economic development, higher education, and research in the nation. UConn is grateful for the support we have received, especially capital funds. The continued pursuit of academic excellence will fuel Connecticut's economy with new technologies, highly skilled graduates, marketable patents and licenses, and the creation of new companies and high-wage jobs.

The components of this ambitious plan include:

- Hiring new research and teaching faculty;
- Increasing enrollment of undergraduate students at the Storrs and Stamford campuses;
- Building research facilities to house materials science, physics, biology, engineering, cognitive science, genomics and related disciplines;
- Constructing new teaching laboratories;
- Creating a premier STEM Honors program to attract increasing numbers of high achieving undergraduates;
- Upgrading aging infrastructure to accommodate new faculty and students;
- Expanding degree programs and providing student housing in Stamford;
- Relocating the Greater Hartford Campus to downtown Hartford; and
- Better integrating the research activities of the Storrs and regional campuses with the UConn Health campus.

NextGenCT is comprised of both capital and operating budget components. The University gratefully acknowledges this funding and hopes that sustained support will be received to allow the University to continue to move forward with this transformative program. Since capital funding was first made available in July 2015, the University has moved forward aggressively with NextGenCT projects. A Campus Master Plan, which is a summary of the current conditions of the campus as of 2015 and a guideline for the proposed development of the Storrs campus over the

next 20 years, was approved by the Board of Trustees on February 25, 2015. A new Next Generation Residence Hall was completed for the Fall of 2016; and the Engineering and Science Building in Storrs and the new downtown Hartford Campus were completed for the Fall of 2017. Major renovations to the Gant Science Building as well as construction of the new STEM Research building are underway. Given the State’s fiscal challenges, the amount of operating funds appropriated from the State in FY15 through FY23 has understandably been significantly reduced relative to what was originally planned. It must be noted that this reduction in operating funds is specifically a reduction in the capacity to hire new faculty, and it creates significant challenges for the University in meeting the operating goals of NextGenCT. Growing STEM faculty is the first step in growing the discovery, innovation, technology commercialization, and new company/job creation pipeline that is a critical element of UConn’s role in Connecticut’s economic development. Lack of faculty also hampers our ability to grow undergraduate enrollment while maintaining class size and academic excellence.

The following report represents the specific information, per statute, which the University is required to submit. As appropriate and available, peer comparisons have been included.

- Student applications, student enrollment and degrees awarded
- Sponsored Programs Proposals, Awards, and Expenditures
- Industry partnerships including joint projects, consortium projects, and technology incubator support
- A summary of university and joint University-industry intellectual property activities, including the number of disclosures, patents, licenses, new businesses, and entrepreneurial activities established with university technologies
- Identification of research and innovation benchmarks and an analysis of the University’s progress in meeting such benchmarks

Undergraduate Student applications, student enrollment and degrees awarded:

Undergraduate Student Applications and Student Enrollment												
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	13-23 % Change
Undergraduate Freshmen Applications												
STEM : Storrs	14,916	13,857	15,539	17,540	19,264	17,295	17,800	18,195	16,706	20,464	22,593	51%
Non-STEM : Storrs	15,050	13,622	15,741	17,438	16,716	16,903	17,086	16,901	17,731	16,289	18,301	22%
Subtotal : Storrs	29,966	27,479	31,280	34,978	35,980	34,198	34,886	35,096	34,437	36,753	40,894	36%
Regionals	1,397	1,610	912	1,022	1,083	2,699	3,144	1,945	2,115	2,176	2,208	58%
Total	31,363	29,089	32,192	36,000	37,063	36,897	38,030	37,041	36,552	38,929	43,102	37%
Avg Peer Total	22,090	23,482	25,377	25,991	27,261	29,408	30,256	32,118	32,755	35,647		
Undergraduate Enrollment												
STEM : Storrs	8,025	8,818	9,542	9,995	10,532	10,637	10,815	10,655	10,791	10,732	10,977	37%
Non-STEM : Storrs	9,503	9,214	8,853	8,831	8,792	8,604	8,318	8,192	8,126	7,835	8,006	-16%
STEM : Regionals	1,143	1,251	1,283	1,410	1,405	1,452	1,538	1,648	1,855	1,777	1,790	57%
Non-STEM : Regionals	3,630	3,312	3,295	3,171	2,901	3,152	3,307	3,405	3,599	3,493	3,303	-9%
Total	22,301	22,595	22,973	23,407	23,630	23,845	23,978	23,900	24,371	23,837	24,076	8%
Avg Peer Total	26,288	26,901	27,094	27,557	27,777	27,444	27,813	27,846	27,785	28,387		

Undergraduate Student Degrees Awarded											
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	13-22 % Change
Bachelors Degrees											
STEM	2,387	2,537	2,634	2,672	2,964	3,036	3,158	3,226	3,176	2,989	25%
Non-STEM	2,735	2,663	2,686	2,525	2,566	2,582	2,498	2,505	2,447	2,401	-12%
Total	5,122	5,200	5,320	5,197	5,530	5,618	5,656	5,731	5,623	5,390	5%
Avg Peer Total	5,789	5,665	5,894	6,023	6,112	6,222	6,301	6,490	6,579	6,212	7%

Graduate Student applications, student enrollment and degrees awarded:

Graduate Student Applications and Student Enrollment												
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	13-23 % Change
Master's Applications												
STEM	2,175	2,461	2,854	3,703	4,449	4,828	4,289	3,775	3,657	1,600	1,482	-32%
Non-STEM	3,126	2,937	3,018	3,136	3,192	2,859	2,712	2,575	2,643	3,076	3,353	7%
Total	5,301	5,398	5,872	6,839	7,641	7,687	7,001	6,350	6,300	4,676	4,835	-9%
Doctoral Applications												
STEM	2,856	2,548	2,407	2,224	2,145	2,193	2,067	2,119	2,264	2,359	2,473	-13%
Non-STEM	1,516	1,543	1,567	1,613	1,613	1,615	1,439	1,472	1,456	1,534	1,344	-11%
Total	4,372	4,091	3,974	3,837	3,758	3,808	3,506	3,591	3,720	3,893	3,817	-13%
Graduate Enrollment												
Master's STEM	775	862	880	876	837	781	784	812	880	939	934	21%
Master's Non-STEM	2,593	2,536	2,662	2,830	3,107	3,131	3,077	3,113	2,901	2,757	2,614	1%
Subtotal Master's	3,368	3,398	3,542	3,706	3,944	3,912	3,861	3,925	3,781	3,696	3,548	5%
Doctoral STEM	1,428	1,500	1,524	1,477	1,481	1,560	1,592	1,607	1,600	1,672	1,699	19%
Doctoral Non-STEM	1,023	1,041	1,051	1,024	1,009	971	947	925	894	929	882	-14%
Subtotal Doctoral	2,451	2,541	2,575	2,501	2,490	2,531	2,539	2,532	2,494	2,601	2,581	5%
Other Graduate	794	616	713	738	705	655	604	640	653	626	546	-31%
Total	6,613	6,555	6,830	6,945	7,139	7,098	7,004	7,097	6,928	6,923	6,675	1%
Avg Peer Total	8,117	8,113	8,160	8,328	8,515	8,518	8,562	8,542	8,713	9,248		

Graduate Student Degrees Awarded											
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	13-22 % Change
Master's Degrees											
STEM	391	415	453	443	425	477	429	351	401	420	7%
Non-STEM	1,136	1,221	1,260	1,307	1,479	1,571	1,466	1,423	1,525	1,283	13%
Total	1,527	1,636	1,713	1,750	1,904	2,048	1,895	1,774	1,926	1,703	12%
Doctoral Degrees											
STEM	201	214	234	232	270	261	286	253	255	230	14%
Non-STEM	139	128	138	147	141	123	132	129	113	122	-12%
Total	340	342	372	379	411	384	418	382	368	352	4%
Master's + Doctoral Total	1,867	1,978	2,085	2,129	2,315	2,432	2,313	2,156	2,294	2,055	10%
Avg Peer Master's + Doctoral Total	2,078	2,140	2,151	2,154	2,291	2,341	2,363	2,374	2,332	2,804	35%

Note: Peer Average is calculated utilizing Nationally Ranked Research Universities: Indiana University, Michigan State University, Purdue University, University of Delaware, University of Georgia, University of Kansas, University of Kentucky, and University of Utah.

The University has experienced significant growth in applications, enrollment and degrees awarded. Although the number of high school graduates has decreased in the State and region,

UConn is drawing an even larger component of that shrinking pie – without compromising on its high academic standards and admission requirements. The University’s ability to offer an outstanding education and student experience at an affordable price for families continues to attract many of the very best students to UConn from across Connecticut, the nation, and the world, and makes UConn graduates the foundational workforce for Connecticut’s high technology economy. The fall 2022 first year class represents strong academic quality and diversity, which are great examples of how State investments in UConn are paying off. The University is proud to keep great students in Connecticut and to attract new students to our State every year. The competitive UConn Honors Program enrolled another strong class of students in the Fall 2022 class. Additionally, 48% of the members of the Class of 2026 are from minority groups, making it one of the most ethnically diverse group of students to join the University. Over the past 20 years, the mean SAT score of incoming first year students has increased significantly and now stands at 1315 for the entering class of fall 2022, which is 265 points above the national average and 290 points above the Connecticut average. The number of valedictorians and salutatorians in the first-year class has increased from 40 in 1995 to 147 in 2021. The University has improved first year retention and minority first year retention over this same period as well. The first-year retention rate of 91% is substantially higher than our public research peer universities. Following that positive trend are the University’s 4-year and 6-year undergraduate graduation rates. Since 1995, the 4-year graduation rate has risen from 43% to 73% and the 6-year graduation rate has risen from 70% to 83%. The average time to graduate for UConn students is at a remarkably low 4.1 years and ranks 1st among our public research peers, which helps to keep parent/student educational costs down.

In summary, the University has not only made significant progress towards improving the following NextGenCT goals, but it has also exceeded the percentage growth of our nationally ranked peers in many categories of the previous table.

- Storrs Engineering Undergraduate Enrollment increased from 2,109 in FY13 to 3,276 in FY23
- Storrs STEM Undergraduate Enrollment increased from 8,025 in FY13 to 10,977 in FY23
- Storrs Undergraduate Enrollment increased from 17,528 in FY13 to 18,983 in FY23
- Undergraduate STEM Degrees Awarded increased from 2,387 in FY13 to 2,989 in FY22

Sponsored Programs Proposals, Awards, and Expenditures (Storrs and Regional Campuses - not including the UConn Health Campus)*

	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	13-22 % Change
Sponsored Programs Proposals (\$M)											
STEM	\$511	\$573	\$648	\$619	\$569	\$625	\$645	\$609	\$743	\$776	52%
Non-STEM	56	83	74	84	135	67**	93	74	89	143	155%
Total	\$567	\$656	\$722	\$703	\$704	\$692	\$738	\$683	\$832	\$919	62%
Sponsored Programs Awards (\$M)											
STEM	\$71	\$79	\$120	\$165	\$102	\$139	\$135	\$150	\$180	\$170	139%
Non-STEM	24	26	27	30	27	25	29	31	26	38	58%
Total	\$95	\$105	\$147	\$195	\$129	\$164	\$164	\$181	\$206	\$208	119%
Sponsored Programs Average Award Size (\$K)											
STEM	\$176	\$195	\$257	\$370	\$247	\$295	\$307	\$324	\$373	\$340	93%
Non-STEM	204	220	201	280	245	348	338	370	312	348	71%
Total	\$182	\$201	\$244	\$352	\$247	\$302	\$302	\$331	\$364	\$341	87%
Sponsored Programs Expenditures (\$M)											
STEM	\$95	\$93	\$92	\$102	\$101	\$107	\$123	\$130	\$137	\$148	56%
Non-STEM	28	29	33	34	35	33	34	34	31	37	32%
Total	\$123	\$122	\$125	\$136	\$136	\$140	\$157	\$164	\$168	\$185	50%

* Sponsored Programs data includes external funding for research, service, and education projects.

** Non-Stem Proposals: FY17 included one large \$50M proposal and a change in the proposal submission date from previous fiscal years, which resulted in a \$6M proposal being submitted in FY17 that in other fiscal years would have been submitted in the following fiscal year, FY18.

NSF Higher Education Research & Development (HERD) Survey of Research Expenditures (\$M)*

Institution	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	13-21 % Change
UConn (includes UCH)	\$242.3	\$258.1	\$259.4	\$265.5	\$267.6	\$269.7	\$285.8	\$280.1	\$302.3	25%
Michigan State University	\$515.7	\$526.9	\$558.2	\$613.4	\$694.9	\$715.3	\$725.7	\$713.2	\$710.2	38%
Purdue University	\$595.7	\$564.9	\$558.6	\$606.3	\$622.8	\$631.6	\$663.9	\$687.1	\$679.5	14%
Indiana University	\$197.9	\$206.0	\$485.1	\$508.8	\$540.4	\$566.9	\$668.2	\$710.9	\$695.3	251%
University of Utah	\$494.1	\$486.1	\$518.9	\$350.2	\$380.3	\$552.3	\$601.1	\$607.1	\$624.7	26%
University of Georgia	\$350.2	\$355.5	\$374.3	\$410.3	\$455.4	\$453.2	\$477.5	\$482.8	\$493.9	41%
University of Kentucky	\$339.8	\$328.2	\$331.7	\$349.7	\$378.4	\$393.0	\$410.6	\$417.7	\$429.2	26%
University of Kansas	\$298.5	\$301.5	\$311.4	\$297.9	\$300.3	\$339.0	\$352.6	\$368.8	\$385.6	29%
University of Delaware	\$180.0	\$175.6	\$175.7	\$176.3	\$183.4	\$186.2	\$206.3	\$220.4	\$231.5	29%
Peer Average	\$371.5	\$368.1	\$414.2	\$414.1	\$444.5	\$479.7	\$513.2	\$526.0	\$531.2	43%

*NSF HERD Survey data is only available through FY 2021

While the University continues to increase our research expenditures, the percentage change over the past five years lags other institutions, resulting in decreases in our national rank. The following table reflects our research expenditure rankings as compared to these nationally ranked peers.

Research Expenditure Rankings as Compared to Nationally Ranked Peers								
Institution	NSF HERD Expend (\$M)**	U.S. News & World Report Ranking*	Wall Street Journal Ranking*	NSF HERD Ranking**	Land Grant University	Reuters World's 100 Most Innovative Universities	Princeton Review Top 50 Undergrad Entrepreneurship	Milken's Best Universities for Tech Transfer***
UConn (includes UCH)	\$302.3	23	103	88	Y	90	46	74
Indiana University	\$695.3	26	123	40	N	78	N/A	111
Michigan State University	\$710.2	33	81	39	Y	N/A	16	142
Purdue University	\$679.5	17	49	41	Y	62	50	12 (Research Fdn.)
University of Delaware	\$231.5	38	152	109	Y	N/A	38	118
University of Georgia	\$493.9	16	143	57	Y	N/A	N/A	51
University of Kansas	\$385.6	58	219	72	N	N/A	18	103
University of Kentucky	\$429.2	61	330	64	Y	N/A	N/A	80 (Research Fdn.)
University of Utah	\$624.7	42	133	47	N	38	12	1

* 2022 Rankings
** Rankings based on FY21 NSF Survey of Higher Education Research and Development (HERD)
*** Rankings based on most recent report from April 2017

Except for license/options executed and licensing revenue, UConn faculty have exceeded the peer average in all other categories in the table above which is reflective of our commitment to growing licensing and commercialization at UConn and UConn Health.

In summary, the University has funded 174 NextGenCT new faculty hires from FY14 through FY23 with 98 of those hires in the STEM fields.

- Full-time tenured/tenure track STEM faculty increased from 503 in FY13 to 556 in FY23 or by 11%
- Full-time STEM faculty increased from 670 in FY13 to 829 in FY23 or by 24%

However, the total number of new faculty will be significantly lower than planned because of the cuts in State operating support since FY15. These cuts have also restricted our ability to replace retiring faculty, which can result in net loss of faculty despite the new hiring through NextGenCT. Due to the reduction in NextGenCT funding that has occurred, our original goals of hiring faculty to train the next generation of students, conduct transformational research, create new companies based on intellectual property from this research, and to drive job creation in Connecticut may be significantly reduced. Progress toward NextGenCT goals could be further eroded if originally planned funding is not restored and if out-year funding is not appropriated at requested levels.

Full Time Instructional Faculty												
Full Time Faculty	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	13-23 % Change
T/TT Faculty	1,044	1,102	1,151	1,121	1,127	1,140	1,085	1,071	1,098	1,109	1,068	2%
Peer Avg T/TT Faculty	1,233	1,426	1,385	1,401	1,408	1,400	1,471	1,484	1,476	1,451		
Non-TT	268	306	294	298	326	355	350	350	390	385	424	58%
Total Faculty	1,312	1,408	1,445	1,419	1,453	1,495	1,435	1,421	1,488	1,494	1,492	14%
Peer Avg Total Faculty	1,985	2,060	1,847	1,875	1,911	1,930	2,015	2,062	2,050	2,114		

Notes: FT=Full Time; T/TT=Tenured/Tenure Track

Source: National Center for Education Statistics, Integrated Postsecondary Education Data Systems Data Center.

The increase in the number of tenured/tenure track faculty shown in the table above has contributed to the increase in the amount of research proposals and research awards. The positive impact on research expenditures and business activity will continue to be seen over the next few years as the growing number of proposals and research awards translate into expenditures and business activity. While the University's total faculty growth exceeds our peers, our focus on growing tenured/tenure track faculty will continue in order to support greater research growth. Importantly, over the past eight years, the University has made significant progress towards improving the following metrics:

- Sponsored Program New Awards increased from \$95M in FY13 to \$208M in FY22 (Storrs and Regional Campuses)
- Average Award Size increased from \$182K in FY13 to \$341K in FY22

Industry partnerships including joint projects, consortium projects, and technology incubator support:

The full economic return from NextGenCT will be measured not only by the University's continued increases in research and talent generation, but by its broader engagement and partnerships with industry. One of the key objectives set out in the legislation for NextGenCT is to initiate collaborative partnerships with industry that lead to scientific and technological breakthroughs. With this focus on advancing industry partnerships in mind, the University has set out to have an explicit strategic roadmap to establish a comprehensive and leading program for impactful industry partnerships. This strategic roadmap focuses on the development of world-class strengths in areas of expertise that match the needs of Connecticut's industry growth opportunities.

Thus far, the University has developed centers of excellence and announced partnerships with multiple key industries and institutions as part of the development of the Innovation Partnership Building (IPB) at UConn Tech Park totaling nearly \$140 million in partnership funding:

- \$25 million UConn Thermo Fisher Scientific Center for Advanced Microscopy and Materials Analysis
- \$47.9 million for Advanced Systems Engineering
- \$44.3 million Eversource Energy Center
- \$18.1 million Project Daedalus - Air Force Advanced Manufacturing Initiative

- \$36.2 million National Institute for Undersea Vehicle Technology (\$21.3 million committed between FY17-23)
- \$10 million Raytheon Technologies
- \$9 million Reverse Engineering Fabrication Inspection & Non-Destructive Evaluation Labs
- \$7.5 million Pratt & Whitney Additive Manufacturing Center
- \$7.5 million Comcast Center for Security Innovation
- \$12.2 million Connecticut Center for Applied Separation Technologies
- \$3.2 million Synchrony Center of Excellence in Cybersecurity
- \$3.2 million Collins Aerospace Center for Advanced Materials
- \$2.1 million Connecticut Manufacturing Simulation Center
- \$1.8 million Enterprise Solution Center/Proof of Concept Center/Quiet Corner Innovation Cluster

Corporate partnerships and sponsorships are also key to the exploration of new digital methodologies and the development of new digital practices. UConn's Digital Media and Design Center has had many relationships with industry leaders including Cigna, Boston Children's Hospital, Diversified Media Group, UTC Aerospace System, and BBDO, allowing the Center to identify and tackle new challenges that further its research goals.

There are many other growing business and entrepreneurial initiatives intended to encourage and foster a vigorous entrepreneurial culture at UConn and increase the potential for success of commercially viable companies formed from its innovation, entrepreneurship, and proof-of-concept competitions. These activities are designed to: 1) Maximize entrepreneurial education and incentivize the creation of cross-disciplinary innovation teams; 2) Aid the teams in identifying and addressing key business issues through mentorship and real-world problem-solving activities; and 3) Provide mechanisms to deploy and allocate resources to the best commercialization opportunities that can attract future public or private fundraising. Some examples of these initiatives are listed below.

- Technology Commercialization Services (TCS) within UConn's Office of the Vice President for Research is the University's technology transfer and innovation enterprise and has successfully launched more than 70 companies. In addition to new company startup creation, TCS also markets commercially viable patents through license agreements with appropriate industry partners. TCS works closely with internal and external stakeholders and maintains a close relationship with UConn's other entrepreneurship programs.
- The UConn SPARK Technology Commercialization Fund continues to provide support for faculty at Storrs and UConn Health to conduct prototype and proof-of-concept (idea to commercial product) work necessary to establish a startup or attract commercial partners. SPARK is an annual competition that has demonstrated value in a variety of ways, with a strong return on the \$2.54 million in funding awarded as of December 2022, including:
 - More than 20 companies formed
 - Many licensing/option agreements

- At least 16 US patent filings; 4 US patents issued (note: patents typically take several years from application to issuance)
- Over \$775,000 in outside investment into companies formed
- Over \$3 million in federal grant funding, including over \$1 million from SBIR programs
- Over \$1.5 million in CTNext grant funding
- The TCS Internship Program is designed to provide tangible experiences for students in the areas of technology assessment, intellectual property protection, marketing, licensing, and entrepreneurship. The program was piloted in 2020 and launched a four-intern cohort in Fall 2021.
- A program funded by Connecticut Innovations for \$700,000 designed to streamline the translational pathway for researchers and convert their discoveries into new therapeutics for the treatment of human diseases. The fund is dedicated to five promising research projects at UConn and UConn Health.
- PATH (Program in Accelerated Therapeutics for Healthcare) was a targeted \$200,000 seed funding program in FY19 supported by the OVPR and the Schools of Medicine and Pharmacy that aimed to accelerate the translation of UConn discoveries into new medical therapeutics. Competitive awards were provided to seven projects addressing disease areas with an unmet treatment need in the current commercial marketplace.
- The \$2.25 million UConn Innovation Fund was created in partnership with Connecticut Innovations and Webster Bank to invest in new startups that have a UConn affiliation.
- In December 2017, UConn announced the establishment of The Peter J. Werth Institute for Entrepreneurship & Innovation after philanthropist and entrepreneur Peter J. Werth made a historic \$22.5 million commitment to UConn. Under University leadership, the Institute brings together student and faculty programs fostering entrepreneurship and innovation that potentially have commercial application and can be used to create new companies.
- The Connecticut Center for Entrepreneurship and Innovation (CCEI) serves as a hub for entrepreneurship at the University and facilitates student and faculty participation in entrepreneurial activities. CCEI administers the CCEI Summer Fellowship, the Wolff New Venture Competition, Accelerate UConn, Entrepreneurship Abroad, the InsurTech Initiative, Get Seeded, and Veteran Bootcamp. CCEI has moved to Hartford and is leading the Hartford Innovation Place initiative to build new entrepreneurial companies in the city.
- Accelerate UConn (AU) is UConn's National Science Foundation (NSF) Innovation Corps (I-Corps) Site. The only site of its kind in the state, Accelerate UConn aims to catalyze the transition of new scientific discoveries and capabilities from the lab to the marketplace. Launched in 2015 with \$300,000 in funding from the NSF to operate the program, AU offers participating teams an introduction to the most critical elements of the I-Corps Curriculum and Lean Launchpad methodology as well as small seed grants for customer discovery activities. To date, over 100 teams have learned how to determine the market opportunity for their product or technology. The NSF continues to renew funding for Accelerate UConn based on successes achieved by the program and its participating commercialization team.
- Several recent awards granted through the CTNext Higher Education Innovation and Entrepreneurship Initiative include:

- \$4.2M (split between StamfordNext and UConn) for efforts to support workforce development and bolster UConn's standing in data science research. UConn is expanding deeper into Fairfield County and capitalizing on the tremendous opportunities the city of Stamford has to offer as the fastest growing city in Connecticut by working closely with CTNext and StamfordNext to launch a multiphase data science initiative that began with a successful internship program in the summer of 2019 and expanded with the development of a data sciences incubator in the downtown area (Technology Incubation Program, opened February 2021). The next components of the initiative include the creation of the Stamford Startup Studio, a yearlong entrepreneurial co-op experience for extremely motivated and talented undergraduates, and a cluster hire of five cutting-edge data science faculty researchers spanning four colleges/schools at UConn. The Office of the Vice President for Research administers this program and is leading efforts to grow UConn's impact in Stamford in collaboration with UConn's Office of the Provost, Schools of Business, Fine Arts, Engineering, the College of Liberal Arts and Sciences, and the Werth Institute for Entrepreneurship & Innovation.
- \$638,204 to launch a new Master of Engineering in Global Entrepreneurship to attract highly talented entrepreneurs from around the world to the State of Connecticut. The first class from this program graduated in the spring of 2020.
- \$200,000 to increase entrepreneurial education and output among the State's top researchers from industry and academia.
- \$237,000 to expand an existing program at UConn Health through a multi-institution public-private, academia-industry partnership that engages students and faculty in innovation and entrepreneurship training and development in the health and bioscience sectors.
- \$484,500 to leverage current innovation infrastructures at UConn through a multi-institution partnership that will commercialize inventions, promote entrepreneurship, support startups, foster collaboration, and encourage the sharing of knowledge among partners.
- Intellectual Property and Entrepreneurship Law Clinic (IP Law Clinic) at the UConn School of Law was established through a collaborative effort of Technology Commercialization Services in the Office of the Vice President for Research, the UConn School of Law, and the School of Business to help potential companies with analysis of the IP landscape. The Clinic provides law students with the opportunity to counsel Connecticut's innovators in a range of intellectual property (patent, trademark, copyright, and trade secret) and related business law issues.
- Innovation Quest (iQ) is a longstanding entrepreneurial competition at UConn that provides training and potential funding to promising teams of student entrepreneurs. It was established through a collaborative effort of Technology Commercialization Services within the Office of the Vice President for Research and CCEI but is funded, supported, and driven by UConn alumni.
- The University joined Yale, Quinnipiac University, and Connecticut Innovations to establish the Bioscience Pipeline CT Program to support commercialization of early-stage biomedical technologies (medical devices, diagnostics, and health information

technology) with \$30,000 grants that help make projects more competitive under the State's Bioscience Innovation Fund.

- The Third Bridge Grant provides seed funding to the School of Engineering with promising technologies developed independently and within UConn labs. The goal of Third Bridge is to mentor and aid students as they advance their technologies toward commercialization.
- Senior Design Projects: More than 250 industry-sponsored projects per year (spanning 1 to 2 semester courses) designed for senior engineering students to solve real-world engineering problems from industry with the guidance of faculty mentors.
- Industry Liaison Activities: Through the Executive Director for Innovation, External Engagement, and Industry Relations, the University can catalyze new interactions between faculty, potential commercial partners, and other research organizations. The OVPR Executive Director enhances existing efforts of industry liaisons across the University whose mission includes outreach to scientists and engineers from industry. These individuals establish partnerships with industry at many levels, from student internships and senior design projects to the formation of large, industry or federally sponsored research projects and collaborations. In addition, industry liaisons work with chambers of commerce, trade associations, supply chains, and OEMs to broaden awareness of UConn's research capabilities and leverage state and federal programs (e.g., Connecticut Innovations, DECD, federal sponsors, etc.) to establish and strengthen partnerships between UConn faculty and industry partners.
- Student internships through UConn's Center for Career Services and many individual departments.
- Industry sponsorship of undergraduate and graduate research students through research grants.
- Institute of Materials Science (IMS) Industrial Affiliates Program: Since 1974, the program has provided companies with access to UConn resources that can assist industry with materials-related research, development, and production projects. The program is administered through IMS.

The UConn Technology Incubation Program (TIP), which offers incubator facilities at three locations across the State (Storrs, Farmington, and soon in Stamford) is able to provide technology-based startup companies access to a unique range of unparalleled resources, including:

- Incubator facilities featuring offices, wet labs, and access to instrumentation.
- Collaboration with scientific experts.
- Technically trained student interns, employees, and graduates.
- UConn's world-class library resources.
- Customized business educational events, planning assistance, and mentoring.
- Access to venture funding.

Last year, TIP received funding from StamfordNext/CTNext and UConn to launch a new Stamford location focused on Data Science initiatives in Stamford. Expansion of TIP in Stamford is one of the components for this initiative and launched in February 2021.

The following table reflects growth in TIP:

Growth in TIP										
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Companies in Program	29	26	20	26	30	40	35	43	58	71
Capital Raised (\$M)	\$29.1	\$8.6	\$41.9	\$19.1	\$51.9	\$89.2	\$69.0	\$378.8	\$70.9	\$151.0
Revenue (\$M)	\$4.5	\$5.8	\$1.6	\$1.2	\$3.1	\$7.1	\$9.0	\$84.1	\$6.4	\$32.0
Taxes Paid (\$M)	Didn't collect	\$0.4	\$0.4	\$0.4	\$0.6	\$0.8	\$1.3	\$2.1	\$3.4	\$5.5
Full-Time Jobs	85	66	61	66	81	118	106	144	204	121
Part-Time Jobs	33	49	38	38	56	53	62	64	80	395
Company Patents Filed	37	60	62	38	74	41	103	112	124	109
Company Patents Granted	22	27	19	12	43	34	48	32	40	25
Company Patents in Process	19	50	40	57	60	49	65	79	58	Not Avail

Note that the number of companies in TIP varies based on available space and square footage needs of the current incubator companies. TIP leasing practices allow these startups to increase and decrease space as needed. While the number of companies in the program has fluctuated since FY13, this occurs due to graduation of some companies and the entry of others, which happens on a rolling basis. The overall number of companies has grown due to the opening of the new facility at UConn Health in January 2016, which drastically increased the program's available space. The new facility now features 32 new state-of-the-art labs and 40 offices, bringing the total space to 45 labs and almost 58 offices. The current space is 94% occupied.

The University engaged with Connecticut Innovations (CI) and Battelle in 2014 by way of an MOU to identify opportunities for faculty-industry collaboration and to help advance the goals of NextGenCT utilizing the following programs:

- Department of Economic & Community Development (DECD):
 - Connecticut Manufacturing Innovation Fund (MIF) administered through DECD to assist the manufacturing industry to innovate commercial products and services and help drive enhancement in, or development of, products or services designed to strengthen their competitive position. The MIF supports competitive initiatives in the following areas:
 - Voucher Program (DECD/CCAT) – It is designed to help keep pace with the state-of-the-art product development and manufacturing technology. The program provides companies with access to the expertise they need to become more efficient, productive, and profitable.
 - Incumbent Worker Training Program (DECD/DOL) – The program provides financial assistance to train incumbent workers in the appropriate skills to meet current and emerging market needs.
 - Apprenticeship Program (DECD/DOL) – To support a combination of on-the-job training and classroom instruction for apprentices in Connecticut's manufacturing industry. Grants awarded through the program can be used for wage subsidy, tuition reimbursement, and to offset the costs of gaining appropriate credentials for apprentices.

- CT Bioscience Innovation Fund, which creates the opportunity to develop collaborations with UConn faculty and industry partners to leverage external funds from federal agencies (administered through CI).
- Technology Talent Bridge (TTB) – A program that connects student interns with work on relevant projects and companies within the state (administered through CI).
- Multiple collaborations between the University and CCAT to spur innovation within the State’s manufacturing sector and facilitate access to state and federal support.
- Eli Whitney Equity Fund – Provides R&D support and research space to innovative companies receiving investment from CI.

A summary of University and joint University-industry intellectual property activities, including the number of disclosures, patents, licenses, new businesses and entrepreneurial activities established with University technologies:

The mission of Technology Commercialization Services within the Office of the Vice President for Research is to expedite and facilitate the transformation of UConn discoveries into products and services that benefit society and drive economic growth and job creation. The goals are to bring together UConn researchers and the business community in order to significantly enhance the commercial and societal impact of UConn’s research; identify and help move inventions by UConn faculty, staff, and students towards the market through licensing or new company formation; secure patent protection for new technologies where warranted by market forces; and generate industrial support for ongoing applied/translational research projects.

University inventions have led to more than 733 US Patents with 25 US patents issued to UConn inventors in FY22 alone. Additionally, many of our faculty have more intellectual property and patents based on their previous work at other institutions.

Recent State initiatives, such as Next Generation Connecticut and Bioscience Connecticut, have enhanced the University’s role as a center for innovation, but reduced State funding for new faculty hires has substantially limited its capacity to maximize the hoped-for return on investment. A \$169.5 million UConn Technology Park with an anchor facility, the Innovation Partnership Building, designed to house industry-academic research collaborations, officially opened in September 2018, and continues to serve as a hub for the development and growth of industry relationships and entrepreneurship at the University. These initiatives will provide a robust pipeline of innovation, talent, and unique research facilities for technology development, business incubation, and growth.

Identification of research and innovation benchmarks and an analysis of the University’s progress in meeting such benchmarks:

More than eighty research centers, institutes, and programs serve UConn’s teaching, research, diversity, and outreach missions. Undergraduate, graduate, and faculty research at the University drives business development and enhances quality of life. UConn’s research operations make real and vital contributions to the state’s economy. Research dollars enter the Connecticut economy through UConn, but the impact does not end there. Through the bold NextGenCT initiative, the State’s economic development will be fueled.

Experience indicates that there is no uniform approach to technology licensing that will meet the needs of our diverse industry partners. The University is committed to working with its partners to provide the intellectual property rights necessary to meet company goals.

Licensing and Commercialization										
	FY 2013 (Base)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Invention Disclosures Received	71	59	93	69	61	71	90	102	91	91
Patent Applications Filed	95	86	113	91	89	83	105	128	102	109
Patents Issued	20	21	28	31	28	39	30	25	28	25
Licenses & Options Executed	19	22	10	11	10	26	21	15	10	22
Licensing Revenue (\$M)	\$1.0	\$1.7	\$1.1	\$1.0	\$1.7	\$0.9	\$0.7	\$0.9	\$1.2	\$1.1
UConn Startup Companies Formed	4	5	3	2	1	6	15	17	5	8

Year to year fluctuations in disclosures received is not unusual. Since FY 2013 the average number of disclosures received was 78.6. While there was a record high 102 disclosures received in FY 2020, FY 2021 also had a high number of disclosures in spite of the global pandemic. There was a spike in licensing revenue in FY 2014 due to the one-time sale of patent rights to a large international company, and in FY 2017 due to a one-time settlement for underpaid royalties that had been identified during an audit of the licensee's books.

The table below measures UConn against our peers using data based on research expenditures, which is accepted as the chief factor driving innovation.

UConn vs. Peers FY21, Research Expenditures						
Institution	Invention Disclosures Received	Patent Applications Filed	Patents Issued	Licenses & Options Executed	Licensing Revenue (\$K)	Startup Companies Formed
UConn	91	52	30	11	\$1.12M	5
Indiana University	139	166	63	27	\$9.31M	7
Michigan State University	120	71.0	41	40	\$3.99M	3
Purdue University	394	234	187	210	\$5.71M	13
University of Georgia	152	44	36	151	\$10.87M	7
University of Kansas	61	43	40	36	\$6.74M	5
University of Kentucky	99	67	22	40	\$2.65M	6.0
Peer Average	160.8	104.2	64.8	84	\$6.54M	6.8

Notes: Based on annual AUTM Survey Data. The University of Delaware did not respond to the AUTM survey for a portion of this reporting period. Their data has been omitted for that reason. FY21 is the most recent year for which AUTM survey data is available.

Except for license/options executed and licensing revenue, UConn faculty have exceeded the peer average in all other categories in the table above which is reflective of our commitment to growing licensing and commercialization at UConn and UConn Health.

CAPITAL PROGRAM

The Board of Trustees, at its June 29, 2022 meeting, approved the FY23 Capital Budget totaling \$190,000,000 as shown in Exhibit A. This amount reflects \$125,100,000 of UCONN 2000 State bond funds, \$53,170,800 of University funds, and \$11,729,200 of other State bond funds.

Storrs & Regional Campuses

The following is a brief description of some of the named projects included in the FY23 Capital Budget or previous budgets, which are currently in planning, design or construction.

Academic and Research Facilities

The 285,000 gross square foot Gant Science Complex will be renovated 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. Exterior site and plaza areas will be improved to make them more inviting and accessible to the campus community. The building envelope (façades and roofs) will be reconstructed to provide a more attractive waterproof skin with better energy performance. A new light court was built as part of phase 1 which enclosed the existing opening at the Gant Plaza. Phased construction began in Winter 2018 and is scheduled to be complete in 2025.



The STEM Research Center Science 1 building is a keystone in the effort to fulfill the mandates of Next Generation Connecticut and will provide critical new research facilities for the existing and new STEM faculty. The 200,000 square foot research facility was designed to meet some of current and future programmatic requirements of the University as it seeks to balance the anticipated rise in student enrollment in STEM programs with future programmatic research needs.

The building houses the Institute of Materials Science and Materials Science and Engineering. Construction on the building commenced in June 2020 and was completed in Fall 2022. The new building includes a state-of-the-art clean room as well as a 200-seat active learning classroom. The building includes a photovoltaic solar array on the roof and is targeting LEED Gold.



Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities

Per statute, the “deferred maintenance” portion of the project name is defined as “repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair.” In addition, the University intentionally designs projects to repair under-maintained facilities and infrastructure up to current standards and with necessary improvements to accommodate the current needs of the campuses. Also, the statutory named line clarification and new definition allows the University to construct new utility, infrastructure, administrative and support facilities as needed. In general, projects fall into one or more of the following categories:

- Safety, code and ADA required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walks and grounds
- Environmental remediation
- New utility, infrastructure, administrative and support facilities

Some of the major projects to be funded within this category during FY23 are Northwest Science Quad-Science 1- Site Improvements and Tunnel Phase II, a new Supplemental Utility Plant, Boiler Plant Equipment Replacement and Utility Tunnel Connection, UCONN 2000 Code Remediation – Stamford Downtown Relocation, University Safety Building Addition, Infrastructure and Grounds projects (NER and Discovery Drive Intersection Improvements, I-Lot Improvements, and Mirror Lake Improvements), and various programmatic renovations. Five of the projects currently underway in this category are summarized below.



Northwest Quad: Science 1- Site Improvements and Tunnel Phase 2

The Board of Trustees approved the Master Plan on February 25, 2015 that provides a vision and a series of development guidelines for new construction on the Storrs campus and specifically for the advancement of the area known as the Northwest Science Quad District. The District will be the location for the expansion of UConn's research enterprise of buildings and infrastructure in support of new STEM research and teaching facilities. This project consists of a series of enabling projects that support the new quad development including the utility tunnel extension from the existing Gant tunnel, the direct burial of utilities for connections to the campus loop, stormwater management with a woodland corridor extension from the Gant complex, a new surface parking lot, and improvements to King Hill and Hillside Roads, including a new roundabout. These projects were designed concurrently with the STEM Research Center- Science 1 project. Construction on the enabling projects began in Summer 2020 and was complete in Fall 2022.



Supplemental Utility Plant

The University produces or treats and distributes its own electrical power, steam, chilled water domestic water, reclaimed water, and sanitary waste for use on campus. Utility modelling has shown that additional chilled water, steam, and electrical power will be needed to support the development of the Storrs Campus as projected by the University Master Plan and Next Generation Connecticut Capital Plan. These additional loads will be produced in and distributed from a new Supplemental Utility Plant (SUP) located in the Northwest section of campus.



The Supplemental Utility Plant will be constructed in 2 phases:

Phase I includes a new building and the following equipment: four new chillers, and two electric generators to support the new STEM Research Center Science 1 and the renovated Gant Science Complex. The SUP will also include space for a new steam boiler to replace an aging boiler, which is currently located at the Central Utility Plant. Construction began in Summer 2020 and was completed in Fall 2022.

Phase II will include an addition to the building constructed in Phase I and will house two tri-generation turbines. The addition of these turbines will increase the on campus electrical production capacity to align with planned future campus peak demands. As of Fall 2022, Phase II is on hold pending completion of a feasibility study to determine whether the increased electrical demand can be produced using renewable energy sources such as solar power.

UCONN Code Remediation – Stamford Downtown Relocation

After completing a required plan review and field inspection of the UCONN 2000 Code Remediation-Stamford Campus Downtown Relocation project, the Office of the Fire Marshal and Building Inspector cited numerous code discrepancies related to the original project. This project will mitigate the balance of the discrepancies and integrate the designed mitigation with planned programmatic renovations. The project will be completed in phases over a number of consecutive summers in order to minimize the impacts on the use and occupancy of the building during construction. Scope of work includes sprinkler, egress, fire separation assemblies, restrooms, and office/classroom renovations. The first phase was completed in 2020. Construction on the second phase began in Summer 2021 with completion in Summer 2023.



University Safety Building Addition

The University Safety Building is the headquarters for the Division of University 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



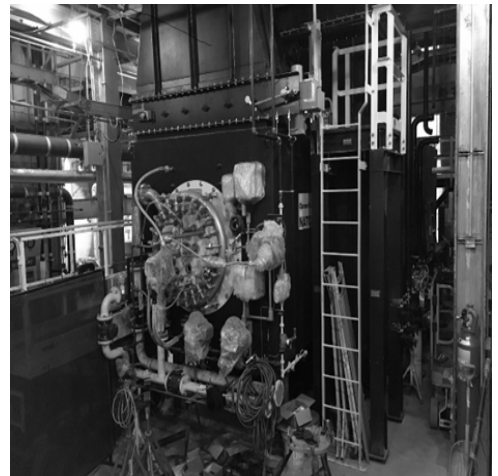
expanded in the nearly 30 years it has been occupied, even though the Division has grown significantly during this time. This project will construct a new addition at the lawn area adjacent the existing fire department equipment bays to house the fire department staff. The floor area in the existing facility currently occupied by the Fire Department will be renovated to provide additional locker areas for the Police Department, and an expanded dispatch area. Construction began in Spring 2021 and will be complete in Spring 2023.

Boiler Plant Equipment Replacement & Utility Tunnel Connection

This project will replace the existing 1960's vintage Central Utility Plant (CUP) Boilers as well as complete the utility tunnel interconnection between the future Supplemental Utility Plant and the existing Central Utility Plant. The existing boilers are inefficient and require extensive maintenance to remain operational. In addition, CT Department of Energy and Environmental Protection notified the University that the boilers are to be de-commissioned by June 2023 due to non-compliance with more stringent emissions regulations. The new efficient boilers will reduce greenhouse gas emissions by 3.5%-5.25% from current levels.

The Boiler Plant Equipment Replacement and Utility Tunnel Connection project will be implemented in three phases. In Phase I, the University will pre-purchase three factory-fabricated, dual-fuel water-tube boilers.

In Phase II, the existing boilers will be decommissioned and demolished in preparation for Phase III. Also, in phase II, the utility tunnel connection will be completed. Work includes extension of the steam, chilled water, and electrical connections from their current locations within the existing "North Utility Tunnel" at the northeast corner of the UTEB building into the CUP.



Phase III will install the new boilers. Construction began in Summer 2020 with anticipated completion in 2023.

Equipment, Library Collections & Telecommunications

The enhancement of the University's infrastructure includes its instructional and scientific equipment. The equipment replacement category permits the University to replace outmoded items with state-of-the-art laboratory devices and computers. The funding encompasses seven major categories: management information systems, computers, research equipment, instructional equipment, furnishings, operational and public safety support, and library materials.

Residential Life Facilities

This named project represents the overarching authorization to undertake activities to provide housing and dining facilities for the University's students. Although the quantity and the diversity of campus living arrangements were expanded under the first two phases of UCONN 2000, much remains to be done. Funding will support improvements to current dormitory amenities and other deferred maintenance needs in all of the residential and dining facilities. Construction of a new residence hall, the Peter J. Werth Residence Tower, was completed in 2016 and renovations of the older dormitories and dining halls and code improvements are continuously ongoing.

Preliminary planning and design of a new South Campus Residence Hall was started in 2021. The new building will create much needed swing space for the housing rehabilitation and replacement program. The new 647 bed residence hall includes an adjoining 500-seat dining hall. Construction of the South Campus Residence Hall commenced in the Fall of 2022 with anticipated completion for the Fall of 2024.



In Fall 2021, the University began planning the redevelopment of the current Mansfield Apartments complex circa 1940. The University's Campus Master Plan identified the Mansfield Apartments site as a primary location for a denser apartment-style development. Apartment-style housing is in high demand from students and the new complex would help satisfy the demand by providing 800-950 beds. In Fall 2022, abatement of the existing apartments began at the site.

UConn Health

In 2018, an external third party provided UConn Health with a ten-year Facilities Condition Assessment (FCA). The assessment identified \$295 million in Deferred Maintenance needs across the following categories:

- **Recurring Deferred Renewal:** Items that have not been replaced during the normal course of maintenance that have reached or exceeded their expected life: \$119 million (e.g., original 1970 era HVAC systems).

- **Recurring Projected Renewal:** Items that during the 2018-2028 time period will “age out” and need to be replaced: \$159 million (e.g., roofs that are 25 years old now but will reach their 30 year life expectancy in the next 5 years and need to be replaced).
- **Nonrecurring:** Items that require replacement on a one-time basis: \$17 million (e.g., stair railings that are not code compliant and need to be replaced but are not expected to be replaced again).

The FY22 allocation of \$25 million in new UCONN 2000 funding for deferred maintenance needs marked the first new funds for UConn Health since the Bioscience Connecticut Initiative funding ended in FY18. New projects are being initiated to utilize these funds for the highest priority deferred maintenance needs. Additionally, in December of 2022, the State Bond Commission voted to approve a state bond allocation for UConn Health in the amount of \$40 million to finance deferred maintenance needs of our buildings and grounds. UConn Health will request DM funding on an on-going basis to meet the needs identified in the FCA.

Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities

Per statute, the “deferred maintenance” portion of the project name is defined as “repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair.” In addition, the University intentionally designs projects to repair under-maintained facilities and infrastructure up to current standards and with necessary improvements to accommodate the current needs of the campuses. The statutory named line clarification and new definition also allows the University to construct new utility, infrastructure, administrative and support facilities as needed. In general, projects fall into one or more of the following categories:

- Safety, code and ADA required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walks and grounds
- Environmental remediation
- New utility, infrastructure, administrative and support facilities

Numerous projects are in the design phase including paving, roof replacements academic and research renovations and replacement of building infrastructure components.

UCONN 2000: SET-ASIDE CONTRACTOR

Public Act 99-241 called for, among other things, information regarding use of Connecticut owned businesses on UCONN 2000 program projects, including those owned by women and minorities (“set-aside” contractors). Since Fiscal Year 1996, construction and related contracts for the UCONN 2000 program totaled \$4.7 billion from all fund sources; \$3.7 billion is strictly UCONN 2000 funds. As of January 2023, Connecticut businesses have accounted for \$2.8 billion of the total contracted dollars with “set-aside” general contractors

and subcontractors accounting for \$961.9 million. Overall, small business participation has amounted to \$540.8 million, minority business participation has amounted to \$125.8 million, and women-owned business participation has amounted to \$296.3 million.

UCONN 2000: FINANCE

Pursuant to Section 10a-109x of the Connecticut General Statutes, the semi-annual report to the General Assembly is to provide, among other things, information on the number of projects and securities authorized, approved and issued; the payment of debt service requirements, and the payment of principal and interest on the UCONN 2000 securities; and the amount of investment earnings. This section provides that information.

Legislative Authorizations - Selected Discussion

During June 2021, the Governor signed Public Act 21-2 increasing the Debt Service Commitment amount for Fiscal Year 2022 by \$25,000,000 to \$215,500,000 which increased the Fiscal Year 1996 to 2027 total Debt Service Commitment amounts to \$4,307,900,000. The estimated costs in the act were also changed including increasing the project known as “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities - Health Center”.

During March 2020, Public Act 20-1 was approved which reallocated the authorized Debt Service Commitment debt funding paid for by the State among the Fiscal Years 2020 through 2027 but did not change the total Debt Service Commitment amount authorized for UCONN 2000 projects.

During October 2017, the General Assembly passed Public Act 17-2 and the Governor signed on October 31, 2017 “An Act Concerning the State Budget for the Biennium Ending June 30, 2019, Making Appropriations Therefor, Authorizing and Adjusting Bonds of the State And Implementing Provisions of the Budget” that which among other things, moved some of the authorized DSC bond funding from Fiscal Years 2018 through 2023 and added it to 2024, and the newly added Fiscal Years 2025, 2026 and 2027 (without changing total DSC funding); and changed the name of the UCONN 2000 project “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum” to “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”.

During the May 2016 Special Session, the General Assembly passed Public Act 16-4 effective July 1, 2016 which among other things changed the name of the UCONN 2000 project “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum” and also shifted \$26,000,000 of Debt Service Commitment authorizations from Fiscal Year 2017 to Fiscal Year 2018.

During May 2014, Governor Malloy signed Public Act 14-98 which clarified that the language in the UCONN 2000 legislation limiting UCONN 2000 debt applied only to the debt service commitment debt that the State pays and the limit does not apply to UCONN 2000 Special Obligation Student Fee Revenue bonds and other types of UCONN 2000 debt which the University and not the State pays. Public Act 14-5 was also signed in May 2014 and eliminated certain UCONN 2000 Act language that limited leasing outside the Storrs Campus.

In July 2013, Governor Malloy signed Public Act 13-233, “An Act Concerning Next Generation Connecticut”, which extended the UCONN 2000 program another six years until Fiscal Year 2024; increased the statutory authorizations for the UCONN 2000 bonds secured by the State’s debt service commitment by \$1.551 billion for a total of \$4,282,900,000; changed certain Fiscal Year bond authorizations; added a new named project called “Academic and Research Facilities”; and also added the housing language to the “Stamford Campus Improvements/Housing” project.

In July 2011, Governor Malloy signed Public Act 11-75, “An Act Concerning the University of Connecticut Health Center”, the Bioscience Connecticut initiative, which increased the statutory authorizations for the UCONN 2000 bonds secured by the State’s debt service commitment by \$262,900,000 for a total of \$2,731,900,000; changed certain Fiscal Year bond authorizations; eliminated a prior provision relating to the \$100 million contribution of federal, private or other non-state money; and provided for funding to renovate research laboratory space and create additional business incubator space.

On August 25, 2011, the Governor signed Public Act 11-57 for creation of a world-class Technology Park on the Storrs Campus to serve as a cornerstone for a new Connecticut research triangle. The Technology Park is expected to generate hundreds of new jobs in Connecticut, encourage new business growth, and leverage millions of dollars in federal and private research funding. The Technology Park will link to UConn Health in Farmington, the Connecticut Bioscience Initiative to Yale University in New Haven and others. A total of \$169.5 million of State General Obligation bond funding has been authorized by the State Bond Commission for the Technology Park. On August 26, 2011, the State Bond Commission authorized the first \$18.0 million of State General Obligation bonding to begin planning and design. On April 26, 2013, the State Bond Commission authorized the release of \$20.0 million in State General Obligation bonding to cover the purchase of equipment. On May 11, 2015, the State Bond Commission authorized the release of \$131.5 million in State General Obligation bonding to fund the construction of the new facility.

During the October 2011 special session, the General Assembly adopted Public Act 11-2 which established the Connecticut Bioscience Collaboration Program (the “Collaboration”) and authorized \$290,685,000 of State General Obligation bonds to be issued over a ten-year period and to be deposited in the Connecticut Bioscience Collaboration Fund. The Collaboration will support the establishment of a bioscience cluster anchored by the Jackson Laboratory for Genomic Medicine located on UCH’s Farmington campus.

In Fiscal Year 2002, the General Assembly enacted and the Governor signed into law Public Act 02-3, An Act Concerning 21st Century UConn. This act authorized additional projects for the

University and UConn Health for Phase III of UCONN 2000. This act amended Public Act 95-230 and extended the UCONN 2000 financing program.

Public Act 95-230 enabled the University to borrow money in its own name for a special 10-year capital improvement program designed to modernize, rehabilitate, and expand the physical plant of the University. It authorized projects for Phases I and II of UCONN 2000, estimated to cost \$1,250 million, of which \$962 million was financed by bonds of the University secured by the State Debt Service Commitment; \$18 million was funded by State General Obligation Bonds; and the balance of \$270 million was financed by gifts, other revenue, or borrowing resources of the University, including Special Obligation Student Fee Revenue bonds.

General Obligation Bonds

Section 10a-109 of the Connecticut General Statutes empowers the University to issue General Obligation Bonds secured by the State's Debt Service Commitment ("DSC"). These bonds are referred to as "General Obligation Debt Service Commitment Bonds" or "GO-DSC Bonds" throughout the remainder of this report. These bonds are issued pursuant to the General Obligation Master Indenture of Trust, dated as of November 1, 1995, between the University of Connecticut, as Issuer, and Fleet National Bank of Connecticut as Trustee (now U.S. Bank Trust Company, National Association). The University's Board of Trustees on November 10, 1995, and the State Bond Commission on December 21, 1995 approved the Master Indenture of Trust. The Master Indenture was subsequently amended and approved by the University's Board of Trustees on September 26, 2003 and the State Bond Commission on December 19, 2003. The Board of Trustees and the Governor approve the subsequent Supplemental Indenture for each bond issue. The University and the Office of the State Treasurer, working in conjunction, manage the GO-DSC Bond sale process.

General Obligation Bond Issues Completed

As of December 31, 2022, there have been thirty-six GO-DSC Bond issues for the UCONN 2000 program including twenty-four new money and twelve refunding bond issues.

There have been twenty-four new money GO-DSC Bonds issues totaling \$3,511,652,146.50 in par value which, together with original issue premium, funded \$3,804,000,000 of UCONN 2000 projects. The remaining balance, together with accrued interest and net original issue premium, funded the costs of issuance including deposits to the State Treasurer pursuant to the indentures. Pursuant to Section 10a-109g of the Connecticut General Statutes, the UCONN 2000 GO-DSC Bonds authorized, approved and issued to date are listed below:

GO-DSC Bonds Phase I, II & III

<u>Date of Issue</u>	<u>Par Amount</u>	<u>TIC (1)</u>	<u>Bond Issue</u>
February 21, 1996	\$83,929,714.85	4.94%	1996 Series A ⁽²⁾
April 24, 1997	124,392,431.65	5.48%	1997 Series A ⁽²⁾
June 24, 1998	99,520,000.00	4.78%	1998 Series A ⁽²⁾
April 8, 1999	79,735,000.00	4.46%	1999 Series A ⁽²⁾
March 29, 2000	130,850,000.00	5.42%	2000 Series A ⁽²⁾
April 11, 2001	100,000,000.00	4.54%	2001 Series A ⁽²⁾
April 18, 2002	100,000,000.00	4.74%	2002 Series A ⁽²⁾⁽³⁾
March 26, 2003	96,210,000.00	3.97%	2003 Series A ⁽²⁾⁽⁴⁾
January 22, 2004	97,845,000.00	3.76%	2004 Series A ⁽²⁾⁽⁵⁾
March 16, 2005	98,110,000.00	4.20%	2005 Series A ⁽²⁾⁽⁶⁾
March 15, 2006	77,145,000.00	4.20%	2006 Series A ⁽²⁾⁽⁷⁾
April 12, 2007	89,355,000.00	4.14%	2007 Series A ⁽²⁾⁽⁸⁾
April 16, 2009	144,855,000.00	4.01%	2009 Series A ⁽²⁾⁽⁹⁾
May 25, 2010	97,115,000.00	3.64%	2010 Series A ⁽²⁾⁽¹⁰⁾
December 8, 2011	179,730,000.00	3.31%	2011 Series A ⁽²⁾⁽¹¹⁾
July 31, 2013	172,660,000.00	3.58%	2013 Series A ⁽¹²⁾
April 22, 2014	109,050,000.00	3.37%	2014 Series A ⁽¹³⁾
April 16, 2015	220,165,000.00	3.09%	2015 Series A ⁽¹⁴⁾
April 21, 2016	261,510,000.00	2.76%	2016 Series A ⁽¹⁵⁾
January 19, 2017	311,200,000.00	3.42%	2017 Series A ⁽¹⁶⁾
May 3, 2018	276,075,000.00	3.67%	2018 Series A ⁽¹⁷⁾
May 8, 2019	174,785,000.00	3.05%	2019 Series A ⁽¹⁸⁾
December 17, 2020	160,230,000.00	2.21%	2020 Series A ⁽¹⁹⁾
<u>April 13, 2022</u>	<u>\$227,185,000.00</u>	3.25%	2022 Series A ⁽²⁰⁾
Subtotal Phase I, II & III	\$3,511,652,146.50		

GO-DSC Refunding Bonds

January 29, 2004	\$216,950,000.00	3.55%	2004 Series A Refunding ⁽²⁾⁽⁵⁾
March 15, 2006	61,020,000.00	4.17%	2006 Series A Refunding ⁽²⁾⁽⁷⁾
April 12, 2007	46,030,000.00	4.22%	2007 Series A Refunding ⁽²⁾⁽⁸⁾
May 25, 2010	36,095,000.00	2.86%	2010 Series A Refunding ⁽²⁾⁽¹⁰⁾
December 8, 2011	31,905,000.00	2.29%	2011 Series A Refunding ⁽²⁾⁽¹¹⁾
July 31, 2013	51,250,000.00	2.71%	2013 Series A Refunding ⁽¹²⁾
April 22, 2014	92,940,000.00	1.41%	2014 Series A Refunding ⁽¹³⁾
April 16, 2015	34,625,000.00	2.15%	2015 Series A Refunding ⁽¹⁴⁾
April 21, 2016	80,425,000.00	1.70%	2016 Series A Refunding ⁽¹⁵⁾
January 19, 2017	33,950,000.00	2.01%	2017 Series A Refunding ⁽²⁾⁽¹⁶⁾
May 8, 2019	64,680,000.00	2.23%	2019 Series A Refunding ⁽¹⁸⁾
<u>December 17, 2020</u>	<u>\$119,085,000.00</u>	0.95%	2020 Series A Refunding ⁽¹⁹⁾
Subtotal Refunding Bonds	\$868,955,000.00		

Total GO-DSC Bonds \$4,380,607,146.50

(1) TIC is the true interest cost reflecting the interest rate for the time value of money across an entire bond issue.

- (2) Bonds are no longer outstanding.
- (3) The GO-DSC 2002 Series A Bonds provided \$994,688.03 directly to the Office of the State Treasurer.
- (4) The GO-DSC 2003 Series A Bonds par amount of \$96,210,000 plus \$3,790,000 of the original issue premium totaled \$100,000,000 available for projects.
- (5) The GO-DSC 2004 Series A Bonds new money and GO-DSC Refunding 2004 Series A Bonds were issued under a single Official Statement with a par amount of \$216,950,000. The GO-DSC 2004 new money bonds totaled \$100,000,000 for projects, funded by the \$97,845,000 par amount plus \$2,155,000 of the original issue premium; and the GO-DSC Refunding 2004 Series A Bonds provided \$223,160,000 for a refunding escrow. Additional proceeds, including premium, funded the refunding escrow and the costs of issuance.
- (6) The GO-DSC 2005 Series A Bonds totaled \$100,000,000 available for projects funded by the \$98,110,000 par amount plus \$1,890,000 of the original issue premium. Phase II authorizations accounted for \$50 million and Phase III for \$50 million.
- (7) The GO-DSC 2006 Series A Bonds new money and GO-DSC Refunding 2006 Series A Bonds were issued under a single Official Statement with a par amount of \$138,165,000. The GO-DSC 2006 Series A Bonds new money totaled \$79,000,000 available for projects, funded by the \$77,145,000 par amount plus \$1,835,000 of the original issue premium, and the GO-DSC Refunding 2006 Series A Bonds provided \$65,472,900 for a refunding escrow. Additional proceeds, including premium, funded the refunding escrow and the costs of issuance.
- (8) The GO-DSC 2007 Series A Bonds new money and GO-DSC Refunding 2007 Series A Bonds were issued under a single Official Statement with a par amount of \$135,385,000. The GO-DSC 2007 Series A Bonds new money totaled \$89,000,000 available for projects, and the GO-DSC Refunding 2007 Series A Bonds provided \$49,505,476.89 for a refunding escrow. Additional proceeds, including premium, funded the refunding escrow and the costs of issuance.
- (9) The GO-DSC 2009 Series A Bonds par amount of \$144,855,000 plus \$5,145,000 of the original issue premium totaled \$150,000,000 available for projects.
- (10) The GO-DSC 2010 Series A Bonds new money and GO-DSC Refunding 2010 Series A Bonds were issued under a single Official Statement with a combined par amount of \$133,210,000. The GO-DSC 2010 Series A Bonds new money par amount of \$97,115,000 plus \$7,885,000 of the original issue premium totaled \$105,000,000 available for projects; and the GO-DSC Refunding 2010 Series A Bonds par amount of \$36,095,000 plus \$2,609,428.69 of the original issue premium provided \$38,704,428.69 for the refunding escrow. Additional proceeds, including premium, funded the costs of issuance.
- (11) The GO-DSC 2011 Series A Bonds new money and GO-DSC funding 2011 Series A Bonds were issued under a single Official Statement with a combined par amount of \$211,635,000. The GO-DSC 2011 Series A Bonds new money par amount of \$179,730,000 plus \$20,700,000 of the original issue premium totaled \$200,000,000 available for projects; and the GO-DSC Refunding 2011 Series A Bonds par amount of \$31,905,000 plus

\$4,936,565.62 of the original issue premium provided 36,841,565.62 for the refunding escrow. Additional proceeds, including premium, funded the costs of issuance.

- (12) The GO-DSC 2013 Series A Bonds new money and GO-DSC Refunding 2013 Series A Bonds were issued under a single Official Statement with a combined par amount of \$223,910,000. The GO-DSC 2013 Series A Bonds new money par amount of \$172,660,000 plus \$16,340,000 of the original issue premium totaled \$189,000,000 available for projects; and the GO-DSC Refunding 2013 Series A Bonds par amount of \$51,250,000 plus \$6,978,911.08 of the original issue premium provided \$58,228,911.08 for the refunding escrow. Additional proceeds, including premium, funded the costs of issuance.
- (13) The GO-DSC 2014 Series A Bonds new money and GO-DSC Refunding 2014 Series A Bonds were issued under a single Official Statement with a combined par amount of \$201,990,000. The GO-DSC 2014 Series A Bonds new money par amount of \$109,050,000 plus \$10,950,000 of the original issue premium totaled \$120,000,000 available for projects; and the GO-DSC Refunding 2014 Series A Bonds par amount of \$92,940,000 plus \$6,573,683.06 of the original issue premium provided \$99,513,683.06 for the refunding escrow. Additional proceeds, including premium, funded the costs of issuance.
- (14) The GO-DSC 2015 Series A Bonds new money and GO-DSC Refunding 2015 Series A Bonds were issued under a single Official Statement with a combined par amount of \$254,790,000. The GO-DSC 2015 Series A Bonds new money par amount of \$220,165,000 plus \$29,835,000 of the original issue premium totaled \$250,000,000 available for projects; and the GO-DSC Refunding 2015 Series A Bonds par amount of \$34,625,000 plus \$5,654,495.56 of the original issue premium totaled \$40,279,495.56 deposited to the refunding escrow. Additional proceeds, including premium, funded the costs of issuance.
- (15) The GO-DSC 2016 Series A Bonds new money and GO-DSC Refunding 2016 Series A Bonds were issued under a single Official Statement with a combined par amount of \$341,935,000. The GO-DSC 2016 Series A Bonds new money par amount of \$261,510,000 plus \$38,490,000 of the original issue premium totaled \$300,000,000 available for projects; and the GO-DSC Refunding 2016 Series A Bonds par amount of \$80,425,000 plus \$10,056,693.44 of the original issue premium totaled \$90,481,693.44 deposited to the refunding redemption fund and/or escrow. Additional proceeds, including premium, funded the costs of issuance.
- (16) The GO-DSC 2017 Series A Bonds new money and GO-DSC Refunding 2017 Series A Bonds were issued under a single Official Statement with a combined par amount of \$345,150,000. The GO-DSC 2017 Series A Bonds new money par amount of \$311,200,000 plus \$38,800,000 of the original issue premium totaled \$350,000,000 available for projects; and the GO-DSC Refunding 2017 Series A Bonds par amount of \$33,950,000 plus \$3,010,192.04 of the original issue premium totaled \$36,960,192.04 deposited to the refunding redemption fund and/or escrow. Additional proceeds, including premium, funded the costs of issuance.
- (17) The GO-DSC 2018 Series A Bonds were issued with a par amount of \$276,075,000 plus \$23,925,000 of the original issue premium funded \$300,000,000 for projects. Additional proceeds, including premium, funded the costs of issuance.
- (18) The GO-DSC 2019 Series A Bonds new money and GO-DSC Refunding 2019 Series A Bonds were issued under a single Official Statement with a combined par amount of

\$239,465,000. The GO-DSC 2019 Series A Bonds new money par amount of \$174,785,000 plus \$25,215,000 of the original issue premium totaled \$200,000,000 available for projects; and the GO-DSC Refunding 2019 Series A Bonds par amount of \$64,680,000 plus \$8,133,086.38 of the original issue premium totaled \$72,813,086.38 deposited to the trustee bank redemption fund which was immediately used to call and refund all of the outstanding \$72,060,000 DSC 2009 bonds and pay the accrued interest on the same. Additional premium proceeds funded the costs of issuance.

- (19) The GO-DSC 2020 Series A Bonds new money and GO-DSC Refunding 2020 Series A Bonds were issued under a single Official Statement with a combined par amount of \$279,315,000. The GO-DSC 2020 Series A Bonds new money par amount of \$160,230,000 plus \$39,770,000 of the original issue premium funded \$200,000,000 for projects; and the GO-DSC Refunding 2020 Series A Bonds par amount of \$119,085,000 plus \$22,298,769.83 of the original issue premium totaled \$141,383,769.83 deposited to the trustee bank redemption fund which was used to refund \$138,340,000.00 of principal of outstanding bonds as follows: on December 17, 2020 to call and refund \$43,695,000.00 of certain maturities of the GO-DSC 2010 bonds principal outstanding plus \$724,583.42 of accrued interest for a total of \$44,419,583.42; and on February 15, 2021 to call and refund \$89,850,000.00 of the GO-DSC 2011 new money bonds principal outstanding plus \$2,208,875.00 accrued interest for a total of \$92,058,875.00; and to call and refund \$4,795,000.00 of the GO-DSC 2011 Refunding bonds Principal outstanding, plus \$119,875.00 of accrued interest for a total of \$4,914,875.00. Additional premium proceeds funded the costs of issuance.
- (20) The GO-DSC 2022 Series A Bonds were issued with a par amount of \$227,185,000 plus \$32,815,000 of the original issue premium funded \$260,000,000 for projects. Additional premium proceeds funded the costs of issuance.

General Obligation Bonds – Projects

During Fiscal Year 2005, the University finished Phase I and Phase II and initiated Phase III of the UCONN 2000 project authorizations secured by the State's DSC. As of December 31, 2022, the UCONN 2000 act provides for a total of \$4,307,900,000 of UCONN 2000 bonds secured by the State's DSC. As of December 31, 2022, the following projects totaling \$4,144,200,000 have been authorized to receive GO-DSC Bond proceeds by both the Governor and the Board of Trustees:

<u>Phase I & II</u>	<u>Authorized</u>
Agricultural Biotechnology Facility Completion	\$3,000,000.00
Agricultural Biotechnology Facility	9,400,000.00
Alumni Quadrant Renovations	11,183,623.91
Avery Point Marine Science Research Center-Phase I	30,000,000.00
Avery Point Marine Science Research Center-Phase II	7,254,246.03
Avery Point Renovation	4,875,717.46
Benton State Art Museum Addition	700,000.00
Business School Renovation	7,958,470.42
Central Warehouse New	6,933,751.77
Chemistry Building	53,062,000.00
Deferred Maintenance & Renovation Lump Sum	40,798,259.65
Deferred Maintenance & Renovation Lump Sum Balance	117,386,096.72
East Campus North Renovations	7,382,604.53
Equipment, Library Collections & Telecommunications	60,500,000.00
Equipment, Library Collections & Telecommunications Completion	105,812,000.00
Gant Plaza Deck	7,287,174.10
Gentry Renovation	9,664,596.69
Grad Dorm Renovations	2,928,227.59
Heating Plant Upgrade	9,969,000.00
Hilltop Dormitory Renovations	8,176,528.89
Ice Rink Enclosure	3,280,000.00
International House Conversion/(a.k.a. Museum of Natural History)	886,134.00
Litchfield Agricultural Center-Phase I	1,000,000.00
Mansfield Apartments Renovation	2,071,000.00
Mansfield Training School Improvements	3,500,000.00
Monteith Renovation	444,348.00
Music Drama Addition *	7,400,000.00
North Campus Renovation	10,996,050.15
North Superblock Site & Utilities	7,668,000.00
Northwest Quadrant Renovation-Phase I	2,001,000.00
Northwest Quadrant Renovation-Phase II	30,000,000.00
Parking Garage-North	9,658,000.00
Pedestrian Walkways/(a.k.a. Fairfield Road Pedestrian Mall)	6,074,000.00
School of Business	25,652,366.00
School of Pharmacy	88,609,000.00
Shippee/Buckley Renovations	6,920,000.00
South Campus Complex	12,251,000.00
Stamford Downtown Relocation-Phase I	55,781,471.55
Student Union Addition	44,622,633.00
Technology Quadrant-Phase IA	39,993,000.00
Technology Quadrant-Phase II	34,120,000.00
Torrey Life Science Renovation	251,109.43
Towers Renovation	17,950,243.11

Underground Steam & Water Upgrade	6,000,000.00
Underground Steam & Water Upgrade Completion	6,000,000.00
Waring Building Conversion	11,452,000.00
Waterbury Property Purchase	200,000.00
West Campus Renovations	519,507.20
White Building Renovation	2,427,268.80
<u>Wilbur Cross Building Renovation</u>	<u>19,999,571.00</u>
TOTAL PHASE I & II PROJECTS	\$962,000,000.00

** Board of Trustees added Project 2/22/2001*

<u>Phase III - Storrs and Regional Campuses</u>	<u>Authorized</u>
Academic and Research Facilities	\$433,007,429.00
Arjona and Monteith (new classroom buildings)	128,219,870.93
Avery Point Campus Undergraduate and Library Building	10,461,245.77
Avery Point Renovation	8,327,447.54
Beach Hall Renovations	5,146,688.33
Benton State Art Museum Addition	2,903,508.88
Biobehavioral Complex Replacement	3,495,807.00
Bishop Renovation	2,480,140.83
Deferred Maintenance/Code Compliance/ADA Compliance/ Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities	842,756,271.83
Engineering Building (with Environmental Research Institute)	92,579,389.76
Equipment, Library Collections & Telecommunications	197,091,656.00
Family Studies (DRM) Renovation	2,868,306.20
Farm Buildings Repairs/Replacement	6,408,304.09
Fine Arts Phase II	38,792,721.25
Floriculture Greenhouse	6,691,798.67
Gant Building Renovations	12,455,770.32
Gentry Completion	9,628,208.95
Hartford Relocation Acquisition/Renovation	139,027,625.42
Heating Plant Upgrade	11,877,724.42
Intramural, Recreational and Intercollegiate Facilities	31,009,920.63
Jorgensen Renovation	3,899,128.58
Koons Hall Renovation/Addition	1,461,146.00
Lakeside Renovation	3,800,000.00
Law School Renovations/Improvements	16,660,677.09
Manchester Hall Renovation	772,577.13
Mansfield Training School Improvements	3,000,000.00
Natural History Museum Completion	500,000.00
North Hillside Road Completion	6,700,000.00
Old Central Warehouse *	126,000.00
Parking Garage #3	75,214.27
Psychology Building Renovation/Addition	24,337,399.00
Residential Life Facilities	215,622,476.01

School of Pharmacy/Biology Completion	6,000,000.00
Stamford Campus Improvements/Housing	1,500,870.00
Storrs Hall Addition	14,664,091.44
Student Union Addition	13,000,000.00
Support Facility (Architectural and Engineering Services)	16,583.05
Torrey Renovation Completion and Biology Expansion	1,530,373.00
Torrington Campus Improvements	369,156.42
Waterbury Downtown Campus	1,608,764.00
West Hartford Campus Renovations/Improvements	6,774,305.19
<u>Young Building Renovation/Addition</u>	<u>23,651,403.00</u>
Total – Storrs & Regionals Project List	\$2,331,300,000.00

UConn Health

CLAC Renovation Biosafety Level 3 Lab	\$15,901,465.91
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure & Improvements Renovation Lump Sum and Utility, Administrative and Support Facilities - Health Center	76,959,697.17
Dental School Renovation	3,525,000.00
Equipment, Library Collections and Telecommunications - Health Center	116,429,390.00
Library/Student Computer Center Renovation	1,266,459.97
Main Building Renovation	117,484,315.91
Medical School Academic Building Renovation	39,578,232.00
Planning and Design Costs	25,000,000.00
Research Tower	67,992,229.21
Support Building Addition/Renovation	100,000.00
<u>The University of Connecticut Health Center New Construction and Renovation</u>	<u>386,663,209.83</u>
Total – UConn Health Project List	\$850,900,000.00

TOTAL PHASE III PROJECTS **\$3,182,200,000.00**

TOTAL GO-DSC BONDS: PHASE I, II AND III PROJECTS **\$4,144,200,000.00**

* The Old Central Warehouse was added by PA 07-108 effective 7-1-2007

General Obligation Bonds – Refundings

Pursuant to Section 10a-109 of the Connecticut General Statutes, the University may issue refunding securities.

As of December 31, 2022, the University achieved \$93.7 million in cumulative gross debt service savings for Connecticut taxpayers by issuing GO-DSC Refunding Bonds in 2004, 2006, 2007, 2010, 2011, 2013, 2014, 2015, 2016, 2017, 2019 and 2020 as detailed below.

On January 29, 2004, the University achieved \$15.2 million in debt service savings for Connecticut taxpayers through the \$216,950,000 of UCONN 2000 GO-DSC Refunding 2004 Series A Bonds. Proceeds pre-refunded \$223,160,000 of the portions of the 1996, 1997, 1998, 2000, 2001 and 2002 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to

\$15,215,582.84 on a gross cash debt service savings basis or \$10,117,718.77 on a net present value basis (4.53% savings over refunded bonds debt service) spread across Fiscal Years 2004 to 2020.

On March 15, 2006, the University achieved \$4.0 million in debt service savings through the issuance of \$61,020,000 of UCONN 2000 GO-DSC Refunding 2006 Series A Bonds. Proceeds pre-refunded \$61,675,000 of the portions of the 1998, 1999, 2000, 2001 and 2002 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$4,003,734.09 on a gross cash debt service savings basis or \$2,495,916.47 on a net present value basis (3.94% savings over refunded bonds debt service) spread across Fiscal Years 2006 to 2020.

On April 12, 2007, the University achieved \$1.7 million in debt service savings through the issuance of \$46,030,000 of UCONN 2000 GO-DSC Refunding 2007 Series A Bonds. Proceeds pre-refunded \$46,695,000 of the portions of the 2002 and 2003 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$1,680,056.23 on a gross cash debt service savings basis or \$1,387,269.87 on a net present value basis (2.97% savings over refunded bonds debt service) spread across Fiscal Years 2008 to 2022.

On May 25, 2010, the University achieved \$1.8 million in debt service savings through the issuance of \$36,095,000 of UCONN 2000 GO-DSC Refunding 2010 Series A Bonds. Proceeds pre-refunded \$35,885,000 of portions of the 1999, 2001, 2003 and 2004 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$1,791,739.17 on a gross cash debt service savings basis or \$1,470,720.91 on a net present value basis (4.1% savings over refunded bonds debt service) spread across Fiscal Years 2011 to 2021.

On December 8, 2011, the University achieved \$1.9 million in debt service savings through the issuance of \$31,905,000 of UCONN 2000 GO-DSC Refunding 2011 Series A Bonds. Proceeds pre-refunded \$33,735,000 of portions of the 2003 and 2004 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$1,918,938.89 on a gross cash debt service savings basis or \$1,680,287.49 on a net present value basis (5.0% savings over refunded bonds debt service) spread across Fiscal Years 2011 to 2021.

On July 31, 2013, the University achieved \$4.8 million in debt service savings through the issuance of \$51,250,000 of UCONN 2000 GO-DSC Refunding 2013 Series A Bonds. Proceeds pre-refunded \$54,375,000 of portions of the 2004 and 2005 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$4,768,953.75 on a gross cash debt service savings basis or \$3,982,216.07 on a net present value basis (7.3% savings over refunded bonds debt service) spread across Fiscal Years 2014 to 2024.

On April 22, 2014, the University achieved \$8.5 million in debt service savings through the issuance of \$92,940,000 of UCONN 2000 GO-DSC Refunding 2014 Series A Bonds. Proceeds refunded \$97,930,000 of portions of the 2004 and 2005 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$8,491,280.28 on a gross cash debt service savings basis or \$7,697,944.62 on a net present value basis (7.9% savings over refunded bonds debt service) spread across Fiscal Years 2015 to 2025.

On April 16, 2015, the University achieved \$4.9 million in debt service savings through the issuance of \$34,625,000 of UCONN 2000 GO-DSC Refunding 2015 Series A Bonds. Proceeds refunded \$38,550,000 of certain maturities of the 2006 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$4,944,870.51 on a gross cash debt service savings basis or \$4,281,359.73 on a net present value basis (11.1% savings over refunded bonds debt service) spread across Fiscal Years 2016 to 2026.

On April 21, 2016, the University achieved \$8.5 million in debt service savings through the issuance of \$80,425,000 of UCONN 2000 GO-DSC Refunding 2016 Series A Bonds. Proceeds refunded \$46,535,000 of certain maturities of the 2006 UCONN 2000 GO-DSC Refunding Bonds and pre-refunded \$42,000,000 of certain maturities of the 2007 UCONN 2000 GO-DSC Bonds. Debt service savings amounted to \$8,489,980.00 on a gross cash debt service savings basis or \$7,751,484.82 on a net present value basis (8.8% savings over refunded bonds debt service) spread across Fiscal Years 2017 to 2027.

On January 19, 2017, the University achieved \$3.8 million in debt service savings through the issuance of \$33,950,000 of UCONN 2000 GO-DSC Refunding 2017 Series A Bonds. Proceeds refunded \$36,095,000 of the 2007 UCONN 2000 GO-DSC Refunding Bonds 2018 to 2022 maturities. Debt service savings amounted to \$3,763,591.11 on a gross cash debt service savings basis or \$3,295,890.33 on a net present value basis (9.1% savings over refunded bonds debt service) spread across Fiscal Years 2018 to 2022.

On May 8, 2019, the University achieved \$9.6 million in debt service savings through the issuance of \$64,680,000 of UCONN 2000 GO-DSC Refunding 2019 Series A Bonds. Proceeds refunded \$72,060,000 of the 2009 UCONN 2000 GO-DSC Refunding Bonds 2020 to 2029 maturities. Debt service savings amounted to \$9,567,690.89 on a gross cash debt service savings basis or \$8,110,020.66 on a net present value basis (10.9% over refunded bonds debt service) spread across Fiscal Years 2020 to 2029.

On December 17, 2020, the University achieved \$29.0 million in debt service savings through the issuance of \$119,085,000 (plus original issue premium) of UCONN 2000 GO-DSC Refunding 2020 Series A Bonds. Proceeds refunded \$138,340,000.00 of principal of outstanding bonds as follows: on December 17, 2020 to call and refund \$43,695,000.00 of certain maturities of the GO-DSC 2010 bonds principal outstanding plus \$724,583.42 of accrued interest for a total of \$44,419,583.42; and on February 15, 2021 to call and refund \$89,850,000.00 of the GO-DSC 2011 new money bonds principal outstanding plus \$2,208,875.00 accrued interest for a total of \$92,058,875.00; and to call and refund \$4,795,000.00 of the GO-DSC 2011 Refunding bonds Principal outstanding, plus \$119,875.00 of accrued interest for a total of \$4,914,875.00. Additional premium proceeds funded the costs of issuance. Apart from the 2/15/2021 maturity of the 2011 New Money and Refunding bonds all the outstanding principal was refunded. Debt service savings amounted to \$29,010,290.14 on a gross cash debt service savings basis or \$27,416,150.18 on a net present value basis (19.81% over refunded bonds debt service) spread across Fiscal Years 2021 to 2031.

Special Obligation Student Fee Revenue Bonds

UCONN 2000 also authorizes the University to issue Special Obligation Revenue bonds. Unlike the UCONN 2000 GO-DSC Bonds that are paid from the State's General Fund, debt on the Special Obligation Bonds is paid from certain pledged revenues of the University as defined in the particular bond series indenture.

A Special Capital Reserve Fund may be established for UCONN 2000 Special Obligation bond issues only if the Board of Trustees determines that the Special Obligation bond issue is self-sufficient as defined in the Act. The self-sufficiency finding by the University must be submitted to and confirmed as not unreasonable or arbitrary by the State Treasurer prior to issuance of the bonds. Once approved, the Special Capital Reserve Fund is funded at issuance by the University to meet the minimum capital reserve requirement.

Special Obligation Student Fee Revenue Bond Issues Completed

The UCONN 2000 Special Obligation Student Fee Revenue Bonds ("SO-SFR Bonds") authorized, approved and issued to date are listed below.

SO-SFR Bonds have been issued pursuant to the Special Obligation Indenture of Trust, dated as of January 1, 1997, between the University as Issuer and U.S. Bank Trust Company, National Association as successor to State Street Bank & Trust as Trustee ("the Special Obligation Master Indenture"). The Board of Trustees approved the Special Obligation Master Indenture on November 8, 1996. The Board of Trustees and the Governor approve the subsequent Supplemental Indentures for each Special Obligation bond issue.

There have been eight bond issues, including four refundings, pursuant to the Special Obligation Master Indenture that, as mentioned above, are not secured by the State's DSC. The University and the Office of the State Treasurer, working in conjunction, manage the Special Obligation bond sale process. UCONN 2000 SO-SFR Bonds issued to date are summarized below:

UCONN 2000 SO-SFR Bonds

<u>Date of Issue</u>	<u>Par Amount</u>	<u>TIC</u> ⁽¹⁾	<u>Bond Issue</u>
February 4, 1998	\$33,560,000	5.08%	1998 Series A ⁽²⁾
June 1, 2000	\$89,570,000	6.02%	2000 Series A ⁽²⁾
February 14, 2002	\$75,430,000	4.94%	2002 Series A ⁽²⁾
March 29, 2018	\$141,725,000	4.06%	2018 Series A
February 27, 2002	\$96,130,000	4.89%	Refunding 2002 Series A ⁽²⁾
June 16, 2010	\$47,545,000	3.14%	Refunding 2010 Series A ⁽²⁾
December 13, 2012	\$87,980,000	2.47%	Refunding 2012 Series A ⁽²⁾
November 15, 2022	\$52,515,000	3.80%	Refunding 2022 Series A

⁽¹⁾ TIC is the true interest cost reflecting the interest rate for the time value of money across an entire bond issue. The UCONN 2000 SO-SFR Bonds are generally issued for an approximate 30-year final maturity, compared to a 20-year final maturity for the GO-DSC Bonds; hence the TIC may appear relatively higher for SO-SFR Bonds.

⁽²⁾ Bonds are no longer outstanding

On February 4, 1998, the University issued \$33,560,000 of UCONN 2000 Student Fee Revenue 1998 Series A Bonds with a final maturity of November 15, 2027. The Special Obligation First Supplemental Indenture was also dated January 1, 1997 and authorized the issuance of bonds up to a principal amount not to exceed \$30,000,000 for construction of the South Campus Residence and Dining Hall, plus amounts necessary to fund a Special Capital Reserve Fund (“SCRF”) and provide for costs of issuance. The University managed the issuance and sale of these bonds and realized a favorable true interest cost over the term. Debt service for these bonds is paid from pledged revenues as further defined in the Indenture of Trust. Such pledged revenues also help support future operation and maintenance costs for facilities built or renovated through UCONN 2000.

On June 1, 2000, the University issued \$89,570,000 of the UCONN 2000 Student Fee Revenue 2000 Series A Bonds pursuant to the Special Obligation Master Indenture and the SO-SFR Bonds Second Supplemental Indenture dated as of May 1, 2000. Bond proceeds funded \$87,000,000 of construction for the Hilltop Dormitory, Hilltop Student Rental Apartments, and Parking Garage South. They also provided for capitalized interest and costs of issuance. The \$89,570,000 Student Fee Revenue 2000 Series A Bonds were defeased in substance on February 27, 2002, as further described below, and are no longer reflected as outstanding debt on the University’s financial statements.

On February 14, 2002, the University issued \$75,430,000 of the UCONN 2000 Student Fee Revenue 2002 Series A Bonds pursuant to the Special Obligation Master Indenture and the SO- SFR Bonds Fourth Supplemental Indenture dated as of November 16, 2001. Bond proceeds funded \$72,180,000 of construction for the Alumni Quadrant Renovations, Shippee/Buckley Renovations, East Campus North Renovations, Towers Renovations (including Greek Housing), and North Campus Renovations (including North Campus Student Suites and Apartments).

On March 29, 2018, the University issued \$141,725,000 of the UCONN 2000 Student Fee Revenue 2018 Series A Bonds pursuant to the Special Obligation Master Indenture and the SO- SFR Bonds Fifth Supplemental Indenture dated as of November 21, 2017. Bond proceeds funded \$152,000,000 of construction for the UCONN 2000 Project Intramural, Recreational and Intercollegiate Facilities including a new Student Recreation Center, associated infrastructure, and Stadia. They also funded capitalized interest and costs of issuance.

Special Obligation Student Fee Revenue Bonds - Projects

To date, ten projects have been authorized to receive \$374,180,000 of the UCONN 2000 SO-SFR Bond proceeds of which \$341,180,000 were issued (some of these projects were also supported by GO-DSC or other funding) as follows:

<u>Phase I & II</u>	<u>Authorized & Issued</u>
Alumni Quadrant Renovations	7,000,000.00
East Campus North Renovations	1,000,000.00
Hilltop Dormitory New	21,000,000.00
Hilltop Student Rental Apartments	42,000,000.00
North Campus Renovation (including North Campus Student Suites and Apartments)	45,000,000.00
Parking Garage-South	24,000,000.00
Shippee/Buckley Renovations	5,000,000.00
South Campus Complex	30,000,000.00
Towers Renovations (including Greek Housing)	14,180,000.00
TOTAL SO-SFR BONDS: PHASE I AND II PROJECTS	<u>\$189,180,000.00</u>

<u>Phase III</u>	<u>Authorized SFR 2018*</u>
Intramural, Recreational and Intercollegiate Facilities Authorized	185,000,000.00
Intramural, Recreational and Intercollegiate Facilities Not Issued	(33,000,000.00)
TOTAL SO-SFR PHASE III BONDS AUTHORIZED & ISSUED	<u>\$152,000,000.00</u>

*Although the SO-SFR Fifth Supplemental Indenture authorized \$185 million only \$152 million was issued by the SO-SFR 2018A bonds. The remaining \$33 million is not yet issued as of 12/31/2022 and not available to be spent.

<u>Phase I, II & III</u>	<u>Authorized & Issued</u>
TOTAL SO-SFR BONDS AUTHORIZED	\$374,180,000.00
<u>TOTAL SO-SFR BONDS NOT ISSUED</u>	<u>(\$33,000,000.00)</u>
TOTAL SO-SFR BONDS AUTHORIZED & ISSUED	<u>\$341,180,000.00</u>

Special Obligation Student Fee Revenue Bonds – Calls and Refundings

Pursuant to Section 10a-109 of the Connecticut General Statutes, the University may issue refunding securities. The University achieved a total of \$50.3 million in gross debt service savings for Connecticut taxpayers by issuing SO-SFR Refunding Bonds or calling and retiring debt as follows.

On February 27, 2002, the University achieved debt service savings of \$3,553,672 on a gross cash debt service savings basis or \$2,383,106 on a net present value basis (3.036% savings over refunded bonds debt service) through its issuance of \$96,130,000 of the UCONN 2000 Student Fee Revenue Refunding 2002 Series A Bonds. The bonds were issued pursuant to the Special Obligation Master Indenture and the SO-SFR Bonds Third Supplemental Indenture, dated as of February 1, 2002. Proceeds were used to take advantage of favorable market conditions to advance refund and defease in substance all the \$89,570,000 of Student Fee Revenue 2000 Series A Bonds outstanding. Proceeds were deposited with the Trustee bank in an irrevocable escrow fund sufficient to satisfy future debt service and call premiums on the prior issue.

On June 16, 2010, the University achieved debt service savings of \$9,479,927 on a gross cash debt service savings basis or \$7,211,753 on a net present value basis (9.915% savings over refunded bonds debt service) (including the free up of \$2,126,425 of SCRF amounts), through its issuance of \$47,545,000 of the UCONN 2000 Student Fee Revenue Refunding 2010 Series A Bonds. The bonds were issued pursuant to the Special Obligation Master Indenture and the SO-SFR Bonds Third Supplemental Indenture, dated as of February 1, 2002. Proceeds were used to take advantage of favorable market conditions to refund, advance refund and defease in substance \$51,305,000 of prior bonds (including \$25,140,000 of the Student Fee Revenue 1998 Series A Bonds and \$26,165,000 of the Student Fee Revenue 2002 Series A Bonds outstanding). The par amount of \$47,545,000 plus \$4,267,926 of the original issue premium and \$2,126,425 from the 1998 Special Capital Reserve Fund release were deposited with the Trustee bank in a \$53,939,351 irrevocable escrow fund to satisfy future debt service and call premiums on the prior issues.

On December 13, 2012 the University achieved debt service savings of \$31,861,283 on a gross cash debt service savings basis or \$26,701,079 on a net present value basis (25.2% savings over refunded bonds debt service) spanning Fiscal Years 2013 thru 2030 by issuing \$87,980,000 of the UCONN 2000 Student Fee Revenue Refunding 2012 Series A Bonds. We achieved a stunning Total Net Present Value Savings of \$26,701,079 or 25.2% of the refunded principal. Working in conjunction with the Office of the State Treasurer, the University negotiated a remarkable all in True Interest Cost of 2.48 % which is the lowest interest rate for a single bond issue in the history of the program. We refunded \$106,030,000 of prior bonds including \$32,430,000 of the SO-SFR 2002 A new money bonds (all the outstanding), and \$73,600,000 of the SO-SFR Refunding 2002 A bonds (all the outstanding). The par amount of \$87,980,000 plus \$19,690,292 of the original issue premium were deposited with the Trustee bank in a \$107,670,292 irrevocable escrow fund to satisfy future debt service and call premiums on the prior issues. The bonds were issued pursuant to the Special Obligation Master Indenture and the Special Obligation Student Fee Revenue Bonds Third Supplemental Indenture, dated as of February 1, 2002.

On November 15, 2019 the University achieved debt service savings of \$2,683,550 by calling and retiring at face value the outstanding principal of \$16,745,000 of Special Obligation Student Fee Revenue 2010 Refunding bonds on their call date of November 15, 2019, from available pledged

revenues. Interest payments on the outstanding debt have an average coupon of 4.6% per year. Calling and retiring the \$16,745,000 principal eliminates the \$2,683,550 of scheduled interest payments, providing a 16% return on this transaction. The University pledged revenues had been invested in the State Short Term Investment Fund which yields vary daily, but which averaged only 0.72% over the eight years prior to the call. The benefit of calling and retiring the \$16,745,000 bond principal eight years early minus the cost of earning an average of 0.72% per year results in a return of 9.66% in net present value savings of \$1,617,919 (9.66% of refunded par) in favor of retiring the bonds. Accordingly, the Board of Trustees approved the transaction on October 23, 2019, and University pledged revenues were wired to the Trustee bank's dedicated redemption account, pursuant to the indentures, sufficient to call and retire the outstanding \$16,745,000 principal at par on the day of the call. The original bonds refunded all the outstanding SO-SFR 1998-A Bonds and part of the 2002-A Bonds as further described above.

On November 15, 2022 the University achieved debt service savings of \$2,688,850 on a gross cash debt service savings basis or \$2,352,390 on a net present value basis for Fiscal Years 2023 thru 2030 by issuing \$52,515,000 of the UCONN 2000 Student Fee Revenue Refunding 2022 Series A Bonds. Working in conjunction with the Office of the State Treasurer, the University negotiated an all in True Interest Cost of 3.80 %. We refunded all outstanding SO-SFR 2012 Refunding Series A bonds, totaling \$54,795,000. The par amount of \$52,515,000 plus \$3,073,700 of the original issue premium, less costs of issuance, were deposited with the Trustee bank in a \$54,893,565 irrevocable escrow fund to satisfy future debt service and call premiums on the prior issues.

UCONN 2000 Heating Plant Upgrade Tax-Exempt Governmental Lease Purchase Agreement for the Cogeneration Facility

Pursuant to Section 10a-109 of the Connecticut General Statutes, the University may issue other UCONN 2000 securities pursuant to other financing documents. The Board of Trustees authorized \$81,900,000 of UCONN 2000 debt in the form of a Heating Plant Upgrade Tax-Exempt Governmental Lease Purchase Agreement ("Heating Plant Upgrade GLPA") secured by the University's general obligation for the Cogeneration facility portion of the UCONN 2000 Heating Plant Upgrade project on the Storrs Campus.

This \$81,900,000 of UCONN 2000 debt was not issued under the UCONN 2000 General Obligation or Special Obligation Indentures of Trust but was entered into under certain separately negotiated documents and agreements in two parts. On December 18, 2003, the University entered a privately placed \$75,000,000 Heating Plant Upgrade GLPA with a reported nominal interest rate of 4.42% compounded monthly to finance the design and construction of a combined heat and power plant. On August 15, 2005, the University amended the agreement for an additional Heating Plant Upgrade GLPA of \$6,900,000 at a 5.09% interest rate compounded monthly (resulting in a combined interest rate of approximately 4.5%).

The Heating Plant Upgrade is a UCONN 2000 Act listed project and the funding, in addition to the \$81.9 million, has also included GO-DSC proceeds. The cogeneration facility is a linchpin of the University's commitment to energy efficiency and generates much of the needs for electrical power, heating and cooling on the Storrs campus. Cost avoidance achieved through the construction and operation of the facility is expected to provide funds to pay the debt service.

The Heating Plant Upgrade GLPA is not rated by the credit rating agencies, however, all UCONN 2000 debt is considered in the credit rating analysis of the UCONN 2000 General Obligation and Special Obligation programs.

UCONN 2000 Heating Plant Upgrade GLPA– Refundings

Pursuant to the financing documents the University twice renegotiated the interest rate on the original financings of the Heating Plant Upgrade GLPAs and achieved a total of \$7.4 million in gross debt service savings (\$5.0 million net present value) for Connecticut taxpayers through two separate transactions.

During July 2013, the University achieved gross debt service savings of \$5.2 million by negotiating a lower interest rate amendment to the UCONN 2000 Heating Plant Upgrade- Cogeneration Facility Tax-Exempt Governmental Lease Purchase Agreement. The interest rate was lowered, effective in the August 29, 2013 monthly payment, from 4.42% on the original \$75 million loan, and 5.09% on the original \$6.9 million loan, to 3.22% on both. The combined remaining balance of the loans was approximately \$59 million. The amendment achieved combined gross nominal debt service savings of \$5,168,392.06 million or \$3,238,326.69 (4.2%) on a net present value basis over the remaining 12 years and 5 months of the original financing.

During November 2016 the University achieved gross debt service savings of \$2.2 million by negotiating another lower interest rate amendment to the UCONN 2000 Heating Plant Upgrade-Cogeneration Facility Tax-Exempt Governmental Lease Purchase Agreement. The interest rate was lowered a full 100 basis points to 2.22% from 3.22% on the outstanding \$45.1 million balance for a debt service nominal savings of \$2,246,699.46 or present value savings of \$1,758,933.37 (3.9% as a percentage of par) over the remaining term. Monthly debt service payments which UConn pays for out of its own resources were reduced by \$20,802.76 or about \$249,633.06 a year. The new rate was effective from January 2017 to the original term of the loan ending on 12/29/2025 (approximately nine years).

UCONN 2000 Residential Life Facilities – Nathan Hale Inn Promissory Taxable Note

On December 1, 2016, the UCONN 2000 Residential Life Facilities – Nathan Hale Inn Promissory Taxable Note was fully paid off and retired.

On April 29, 2015, the Board of Trustees authorized \$5,500,000 of UCONN 2000 debt in the form of a taxable Promissory Note secured by the University’s general obligation for that portion of the UCONN 2000 Residential Life Facilities project used to purchase the Nathan Hale Inn on the Storrs Campus. The Governor approved the financing on May 19, 2015.

On July 1, 2015, the University entered with Webster Bank a privately placed \$5,376,712.73 principal amount at a 6.84% interest rate known as “UCONN 2000 Residential Life Facilities (Nathan Hale Inn) Promissory Note (Taxable)” which was secured by the general obligation of the University with an approximate 18-month maturity (August 1, 2015 to December 1, 2016). The note’s debt service payments are \$44,989.20 monthly with a balloon payment due on December 1, 2016. The UCONN 2000 Residential Life Facilities (Nathan Hale Inn) Promissory Note (Taxable) was issued pursuant to certain separately negotiated (by the University with Webster Bank)

documents and agreements. UCONN 2000 bond counsel reviewed the process. The note was not issued pursuant to the UCONN 2000 General Obligation or Special Obligation Indentures of Trust.

UCONN 2000 DEBT SERVICE

Pursuant to Section 10a-109x of the Connecticut General Statutes, the Semiannual Report to the General Assembly is to list the payment of debt service requirements and the payment of principal and interest on the UCONN 2000 securities.

DEBT SERVICE: General Obligation Debt Service Commitment Bonds

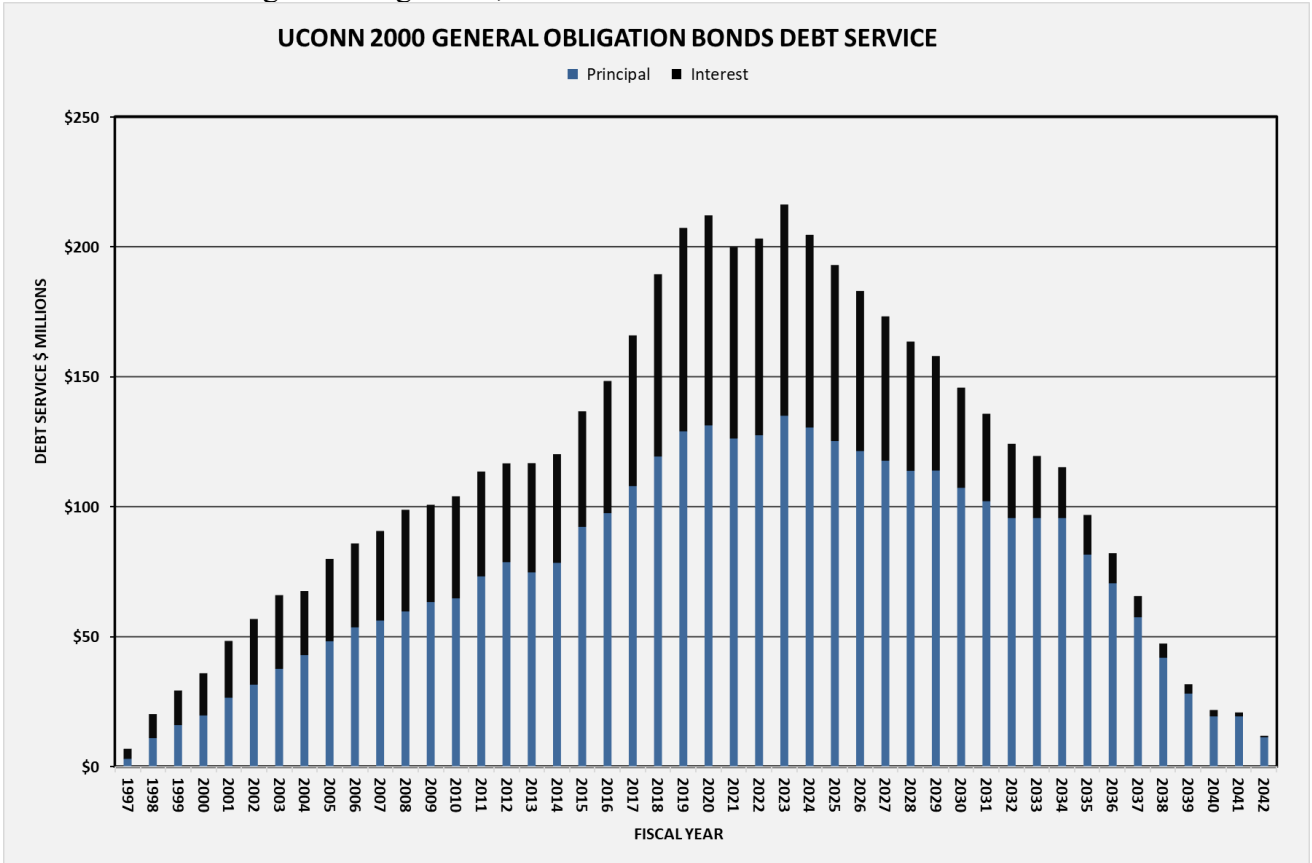
The State General Fund pays the debt service and any arbitrage rebate due on the University's GO-DSC Bonds.

As of December 31, 2022:

- Since the program's inception in 1996, total GO-DSC debt service (which is paid by the state) amounted to \$5,131.1 million, representing \$3,453.6 million of principal and \$1,677.5 million of interest (including the Refunding Bonds but net of refunded debt).
- Of this amount, debt service of \$2,886.0 million, representing \$1,794.0 million of principal and \$1,092.0 million of interest (including capital appreciation bonds) has been paid.
- Future debt service requirements amount to \$2,245.1 million, representing \$1,659.6 million of principal and \$585.5 million of interest (including capital appreciation bonds).

For the Fiscal Year ending June 30, 2022, the GO-DSC bonds debt service paid was \$203.1 million, representing \$127.5 million of principal and \$75.6 million of interest.

As of December 31, 2022, the following graph shows UCONN 2000 GO-DSC debt service by Fiscal Year including refunding issues, but net of refunded.



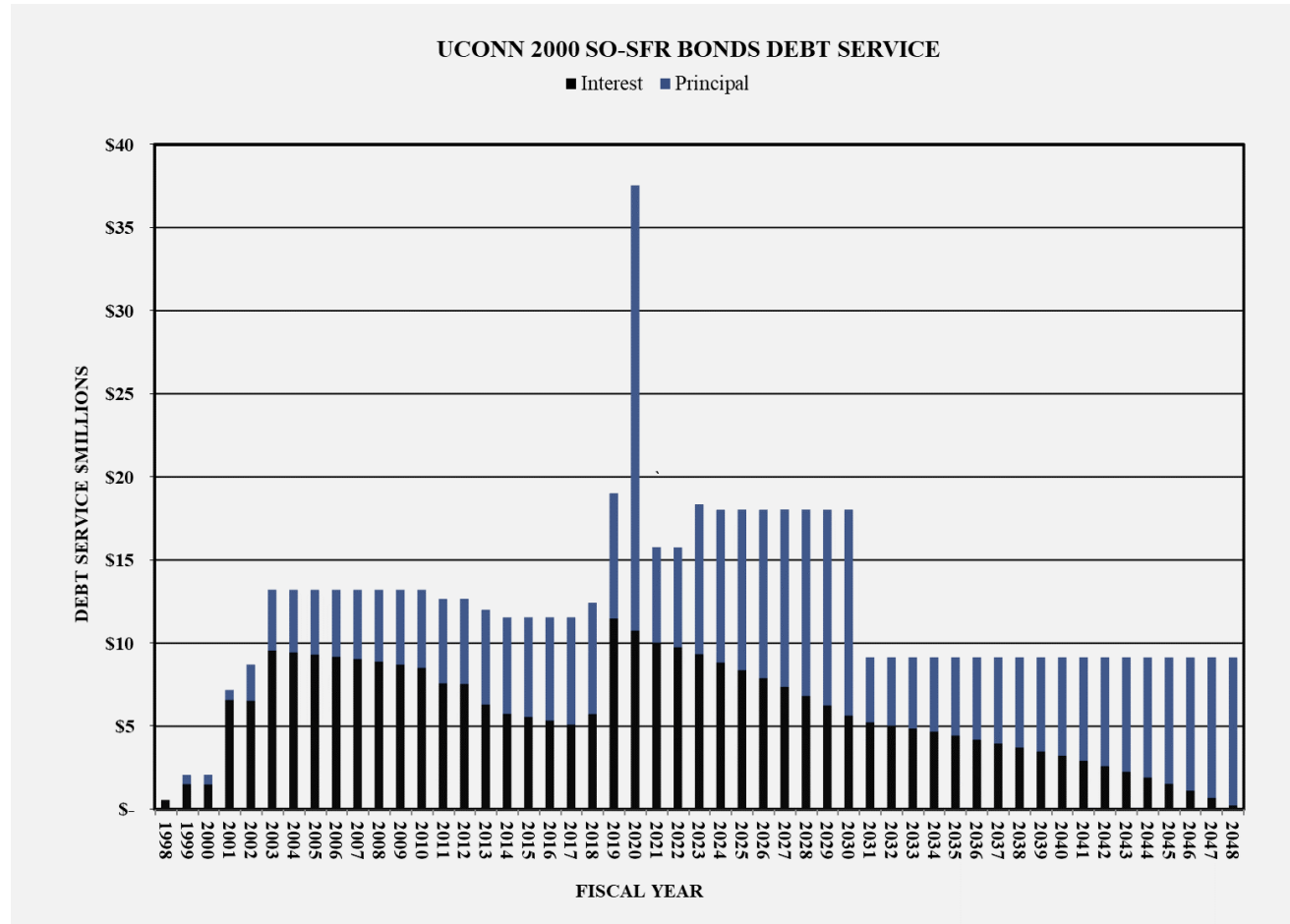
DEBT SERVICE: Special Obligation Student Fee Revenue Bonds

The University is responsible for paying the debt service and any arbitrage rebate due on its Special Obligation debt. All other things equal, the Special Obligation bonds incur proportionally more interest expense because they are generally issued for terms of up to approximately thirty years compared to twenty years for the GO-DSC Bonds. The longer term of the bonds (up to 30 years) generally reflects the long-term debt cost of the assets financed by the bonds being spread more evenly over the annual benefits received by the student populations utilizing the assets.

As of December 31, 2022 (comprising the outstanding SO-SFR 2018 New Money and the Refunding 2022 Series A Bonds, all previous SO-SFR bonds have been retired):

- Total UCONN 2000 SO-SFR debt service (which is paid by the University) amounted to \$619.6 million, representing \$322.8 million of principal and \$296.9 million of interest.
- Of this amount, the University had paid debt service of \$324.2 million representing \$139.2 million of principal and \$185.1 million of interest.
- Debt service remaining totals \$295.4 million comprising \$183.6 million of principal and \$111.8 million of interest (including capital appreciation bonds).

As of December 31, 2022, the graph below shows the SO-SFR debt service paid using UConn's own funds.



* Fiscal Year 2020 debt service includes a voluntary early call and defeasement of the SO-SFR 2010 bonds of \$16,745,000 in outstanding principal to provide future debt service savings.

DEBT SERVICE: UCONN 2000 Heating Plant Upgrade GLPA

The University is responsible for paying the debt service for the Heating Plant Upgrade GLPA. Originally, there were two financing tranches providing a total of \$81,900,000 of funding for the UCONN 2000 Heating Plant Upgrade the Storrs Campus cogeneration facility for the project on the Storrs Campus. Heating Plant Upgrade GLPA debt service payments commenced on January 29, 2006.

Originally, debt service was to be paid in 240 monthly installments of approximately \$517,135 (which over the life of the financing would have totaled \$124,112,424 comprising \$42,212,424 of interest and \$81,900,000 of principal).

During July 2013, the University negotiated and amended the agreement to the lower rate of 3.22% providing for the (at that time) remaining 149 monthly installments to be lowered to approximately \$482,448, which over the life of the financing, totals to debt service of \$118,944,031 comprising \$37,044,031 of interest and \$81,900,000 of principal.

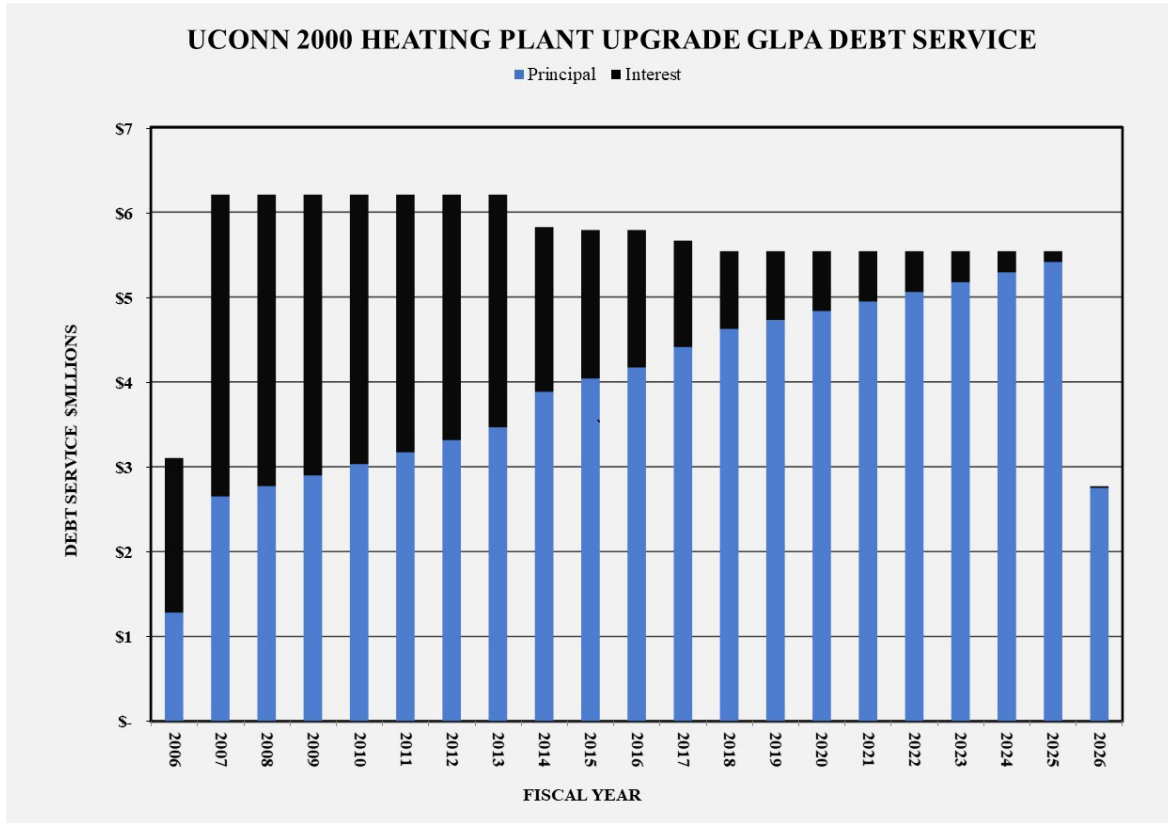
During November 2016, the University renegotiated and amended the agreement to a lower interest rate of 2.22% providing for the remaining 79 monthly installments to be lowered to approximately \$461,645.13 effective January 29, 2017. Following this amendment over the life of the financing total debt service now totals \$116,697,331.91 comprising \$34,797,331.91 of interest and \$81,900,000.00 of principal.

As of December 31, 2022:

- Total UCONN 2000 Heating Plant Upgrade GLPA debt service (which is paid for by the University) amounted to \$116.7 million representing \$81.9 million of principal and \$34.8 million of interest, (post both refinancings to lower rates).
- The University had paid down the Heating Plant Upgrade GLPA debt service by \$100.1 million representing \$65.8 million of principal and \$34.2 million of interest.
- Remaining debt service amounts to \$16.6 million representing \$16.0 million of principal and \$0.6 million of interest.

For the Fiscal Year ending June 30, 2022, the University paid from its own resources Heating Plant Upgrade GLPA debt service of \$5.5 million (representing \$5.0 million of principal and \$0.5 million of interest).

As of December 31, 2022, the below graph shows the UCONN 2000 Heating Plant Upgrade GLPA (for the cogeneration plant) debt service by Fiscal Year.



DEBT SERVICE: UCONN 2000 Residential Life Facilities (Nathan Hale Inn) Promissory Note (Taxable)

The UCONN 2000 Residential Life Facilities (Nathan Hale Inn) Promissory Note (Taxable) was retired on December 1, 2016. Over the eighteen-month term, the University paid total debt service of \$5.9 million representing \$5.4 million of principal and \$0.5 million of interest.

Investment of Debt Proceeds - Management, Investment and Earnings

The proceeds of any bond sale by the University are part of the Trust Estate established under the General Obligation Master Indenture of Trust with the Trustee Bank as security for bondholders. Consequently, the University holds all of the bond proceeds at the Trustee Bank, with the exception of the Cost of Issuance account funded by the University's GO-DSC Bonds, which may be held and invested by the State Treasurer's Office in a segregated account from which the Treasurer pays debt service to the Trustee Bank. The Special Obligation Master Indenture Trust Estate provisions includes all of the Trustee Bank Special Obligation bond proceeds received at issuance including the Costs of Issuance account, plus the periodically funded debt service fund, and the Renewal and Replacement Fund which was not funded with tax-exempt bond proceeds. The University directs the Trustee to invest and disburse these accounts.

Prior to June 1998, all UCONN 2000 GO-DSC Bond proceeds were deposited with the Office of the State Treasurer and treated like state bond proceeds, including payments made to vendors through the Office of the State Comptroller. Subsequently, the Office of the Attorney General opined that the University, and not the State, issues UCONN 2000 bonds. Accordingly, upon advice of bond counsel and in conformity with the Master Indenture of Trust, GO-DSC Bond construction fund proceeds were deposited to the Trustee Bank and disbursed as directed by the University pursuant to the Indenture. The UCONN 2000 GO-DSC Bond proceeds for costs of issuance are still treated like State bond proceeds and deposited with the Office of the State Treasurer and disbursed through the Office of the State Comptroller.

The Indentures of Trust provide that the University is authorized and directed to order each disbursement from the Construction Account held by the Trustee upon a certification filed with the Trustee bank and, in the case of the DSC bonds, the State Treasurer. The Indentures provide that such certification shall be signed by an Authorized Officer of the University and include certain disbursement information. Once the Authorized Officer certification filings are made, the University can directly disburse payments.

The investment of tax-exempt debt proceeds is heavily regulated by the Internal Revenue Service, the relevant Indentures of Trust with bondholders, Connecticut law, and other regulatory restrictions. In addition to meeting those requirements, the University's general investment policy is to balance an appropriate risk-return level, heavily weighted towards safety of assets, with estimated cash flow needs and liquidity requirements. The University is also mindful that the rating agencies, bond buyers, and bond insurers often weigh the quality of an issuer's investment portfolio.

Bond proceeds form part of the Trust Estate established with the Trustee Bank as security for bondholders. To date, the University has directed the Trustee Bank to invest any DSC construction

fund proceeds in the State Treasurer's Short Term Investment Fund ("STIF") which is "AAAm" rated by Standard and Poor's and offers daily liquidity and historically attractive risk-adjusted yields. As discussed above, the State Treasurer's Office holds and invests the University's GO-DSC funded Costs of Issuance account.

The GO-DSC Refunding, 2004, 2006, 2007, 2010, 2011, 2013, 2014, 2015, 2016, 2017, 2019 and 2020 Series A Bond proceeds, other than the costs of issuance, were deposited with the Trustee Bank to immediately redeem bonds or invest in irrevocable escrow funds, which are invested in U.S. Treasury Securities and/or U.S. Treasury State and Local Government Securities ("SLGS") and cash pursuant to the indenture and respective Escrow Agreements.

It has been the University's practice to invest all of the Special Obligation new money bond proceeds, including the debt service funds, in dedicated STIF accounts, with the exception of the 1998 Special Obligation Special Capital Reserve Fund which at times had also been invested in longer term highly rated federal agencies' fixed income Investment Obligations as defined in the Special Obligation Indenture of Trust.

The SO-SFR Refunding 2002, 2010, 2012, and 2022 Series A Bond proceeds, other than the costs of issuance and debt service accounts that were invested in STIF, were deposited with the Trustee Bank in their respective irrevocable Escrow Accounts, which were invested in SLGS, and cash pursuant to the Escrow Agreement.

The University's GO-DSC Bond proceeds investment earnings are retained and accounted for by the State Treasurer's Office and do not flow to the University or to the Trustee Bank. The University's Special Obligation bond investment earnings are part of the pledged revenues and are directly retained by the Trustee Bank to pay debt service on the bonds and may also be used to flow to other Trustee bond accounts, if necessary, pursuant to the Indenture of Trust.

Fiscal Year end June 30, 2022, UCONN 2000 SO-SFR Bond funds (not including the refunding escrows and the Renewal & Replacement Fund) investment earnings amounted to \$2,342.58 (cash basis). Additionally, for Fiscal Year end June 30, 2022, the non-bond proceeds Renewal & Replacement Fund held at the Trustee Bank (U.S. Bank Trust Company, NA) earned \$39,376.91 of investment earnings and were retained in that Trustee Bank account.

Investment earnings on the SO-SFR Bonds Refunding Escrow Accounts flow to their respective irrevocable escrows and are used by the Trustee Bank to meet debt service payments and redeem the defeased bonds. Similarly, investment earnings on the GO-DSC Refunding Escrow Accounts flow to each respective irrevocable escrow and are used by the Trustee Bank to meet debt service payments and redeem the defeased bonds.

On December 29, 2005, the University received \$15,847,241.65 representing the last advance of the \$81,900,000 of funds to the University under the Heating Plant Upgrade GLPA. These funds, and the related investment income, are for uses related to the Cogeneration financing and were deposited in a dedicated STIF account. During December 2006, part of the remaining proceeds, representing the initial December 18, 2003 financing, was yield restricted by investing in a

dedicated Tax-Exempt Proceeds Fund. All the Heating Plant Upgrade GLPA proceeds have been spent.

Future UCONN 2000 Debt Issuance

The University has issued the entire \$962 million of UCONN 2000 Phase I & II authorizations for the GO-DSC bonds.

UCONN 2000 Phase III, as amended, provides for an additional \$3,345,900,000 of funding with GO-DSC bonds. Of this amount, as of December 31, 2022, \$3,182,200,000 of Phase III has been authorized by the Board of Trustees and the Office of the Governor, of which \$340,200,000 is unissued.

During Fiscal Year 2023, the University tentatively plans to issue new money GO-DSC Bonds, and if conditions warrant a possible GO-DSC refunding bond issue. On June 29, 2022 UConn's Board of Trustees approved a Fiscal Year 2023 capital budget of \$230 million that includes \$125.1 million of GO-DSC bond funds. In future Fiscal Years, the University may issue additional new money GO-DSC bonds as well as refund certain GO-DSC bonds to provide debt service savings to the program, should conditions warrant.

During Fiscal Year 2018 the Board of Trustees and the Office of the Governor approved the Special Obligation Student Fee Revenue Bonds Fifth Supplemental Indenture which authorized \$185,000,000 for the UCONN 2000 Project "Intramural, Recreational and Intercollegiate Facilities" ("IRIF"). Of this authorization \$152,000,000 was used in the SO-SFR 2018 new money bond issue (most of which funded the new Student Recreation Facility on the Storrs Campus and the remainder to stadia and infrastructure), and \$33,000,000 remains unissued as of December 31, 2022. Accordingly, the University could issue bonds with this remaining authorization in the future providing that there is financial self-sufficiency capacity and aggregate pledged revenues sufficient to meet requirements of the Special Obligation Master Indenture. Additionally, on November 15, 2022 the University refunded the outstanding SO-SFR 2012 Refunding Series A bonds to provide debt service savings.

The University could enter other types of tax-exempt or taxable financings pursuant to the UCONN 2000 Act. Market conditions and other factors could also lead to the refunding of other non-public debt in the future.

Credit Ratings

The capital markets have recognized the tangible benefits to the state's economy of meeting the infrastructure and educational goals of the program, as well as the University's success in implementing them. A good credit rating not only provides the State and the University with less expensive access to the capital markets but also supports the State's quality reputation among investors.

General Obligation Ratings

As of December 31, 2022, the University's GO-DSC Bonds were rated "AA-" by S&P Global Ratings, "Aa3" by Moody's Investors Service, and "A+" by Fitch Ratings.

On November 21, 2022, S&P Global Ratings upgraded the University's GO-DSC Bonds to "AA-" from "A+" following an upgrade of the State's General Obligation Bonds to "AA-" from "A+".

On March 31, 2021, Moody's Investors Service upgraded the University's GO-DSC Bonds to "Aa3" from "A1" following an upgrade of the State's General Obligation Bonds to "Aa3" from "A1".

On May 14, 2021, Fitch Ratings upgraded the University's GO-DSC Bonds to "A+" from "A" following an upgrade of the State's General Obligation Bonds to "AA-" from "A+".

Special Obligation Ratings

As of December 31, 2022, the University's SO-SFR Bonds were rated "A+" by S&P Global Ratings and "Aa3" by Moody's Investors Service. Fitch Ratings does not have an underlying rating for the University's SO-SFR Bonds.

On April 5, 2019, S&P Global Ratings downgraded the University's SO-SFR Bonds to "A+" from "AA-".

On October 13, 2022 Moody's Investors Service upgraded the University's SO-SFR Bonds to "Aa3" from "A1".

In addition to the underlying credit ratings, in the past the University at times would secure certain bond maturities at issuance with municipal bond insurance from FGIC, MBIA and FSA which originally provided "AAA" credit ratings. Subsequently many bond insurers experienced credit rating downgrades and other changes. At times, this has resulted in the UCONN 2000 bonds underlying credit ratings exceeding the credit ratings for certain bond insurers. Additionally, at times investors might utilize bond insurance at their own expense in the secondary market. As a result, people are advised to check with the credit rating agencies for the most recent bondratings including those that might be so insured.

UCONN 2000 Debt Reflected on Audited Financial Statements

UCONN 2000 financings are debt obligations of the University, as the issuer, and are reflected on UConn's financial statements accordingly. For example, the SO-SFR Bonds, the Heating Plant Upgrade GLPA, and the UCONN 2000 Residential Life Facilities (Nathan Hale Inn) Promissory Note (Taxable) (prior to being paid off and retired by December 1, 2016) debt are shown as liabilities on the University's financial statements and the related capital improvements are shown as assets. The University is the issuer and ultimately responsible for the GO-DSC Bonds which also fund certain assets at UConn Health, and consequently are also partially reflected on UConn Health's financial statements as further discussed below.

Phase III of the Act authorizes the University to fund projects for UConn Health with, among other sources, GO-DSC Bonds and the University has done so. Accordingly, the UCONN 2000 GO-DSC Phase III project proceeds and any unspent debt proceeds are reflected on both UConn's and UConn Health's financial statements. As bonds are issued, the amount of the commitment for UConn Health is recorded as an offset to revenue on UConn's financial statements in the University's Other Changes in Net Position section of the Statement of Revenues, Expenses, and

Changes in Net Position. A corresponding liability is recorded in due to affiliate in UConn's Statement of Net Position for the unspent portion of the bonds due to UConn Health. Correspondingly, UConn Health records that portion of UCONN 2000 bond issuance proceeds for UConn Health in the capital appropriation line in UConn Health's Statement of Revenues, Expenses, and Changes in Net Position. The corresponding receivable is recorded for the unspent portion of the bonds in the Statement on Net Position. The State's DSC for interest on the UCONN 2000 General Obligation bonds is included in Non-Operating Revenues (Expenses) section of the Statement of Revenues, Expenses, and Changes in Net Position.

UCONN 2000: Private Financial Support

For first six month of fiscal year 2023, the Foundation raised \$68 million in new gifts and commitments, \$21 million designated to endowed accounts and \$47 million to restricted.

- Ms. Trisha M. Bailey PhD, CLAS '99 \$15 million to support Athletics
- The Honorable Antonietta Boucher, BUS '02 \$8 million to support the School of Business
- Mr. David E. Gannon MD, MED '80 \$8 million to support the School of Medicine
- Mr. James E. Belmont, ENGR '86 \$5 million to support the School of Engineering

UCONN 2000 in CYBERSPACE

Information about UCONN 2000 is available on the World Wide Web at:

<https://bpir.uconn.edu/home/capital-budget/capital-reports-and-presentations/uconn2000reports/>

The website contains all previous legislative updates to the Governor and the General Assembly (Progress Reports), the four-year Progress Report, the original UCONN 2000 proposal and UCONN 2000 project updates.

University of Connecticut
FY23 Capital Budget Spending Plan
Proposed Projects by Statutory Named Lines & by Program*

UCONN 2000 Bond Funded Projects by Statutory Named Lines		Total	By Program		
			Academic/ Research	Deferred Maintenance	Other
Gant Science Building Renovations-STEM	32,000,000	\$ 32,000,000	32,000,000		
Academic and Research Facilities					
Academic Renovations - PharmBio Backfill	1,000,000			1,000,000	
Mirror Lake & South Campus Infrastructure	23,150,000				23,150,000
Contingency	2,300,000				2,300,000
Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities		26,450,000			
Academic & Research	2,858,125		2,858,125		
Information Technology	6,719,375			6,719,375	
Other	2,422,500			1,598,850	
Equipment, Library Collections & Telecommunications		12,000,000			
Residential Life Facilities		54,650,000			54,650,000
Total UCONN 2000 Bond Funded Projects		\$ 125,100,000	\$ 35,858,125	\$ 31,468,225	\$ 57,773,650
Other Funded Projects (University, Gifts, State GO Bonds)					
Facilities Repairs & Improvements	10,000,000			10,000,000	
Programmatic Renovations	6,000,000		6,000,000		
Faculty Innovators (State GO Bonds)	11,729,200		11,729,200		
Hockey Arena	34,800,000				34,800,000
UCH Deferred Maintenance (State GO Bonds)	40,000,000				40,000,000
Other/Contingency	2,370,800				2,370,800
Total Other Funded Projects		\$ 104,900,000	\$ 17,729,200	\$ 10,000,000	\$ 77,170,800
Grand Total FY23 Capital Budget		\$ 230,000,000	\$ 53,587,325	\$ 41,468,225	\$ 134,944,450

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

UCONN 2000 Bonds
State General Obligation Bond Phasing Plan & Actuals by Statutory Named Line

Project	Authorization as of 11.30.22*				Actuals as of 11.30.22		
	FY96-FY22	FY23	FY24-27	Total Phases I, II, III	Expenditures	Encumbrances	Available**
Academic and Research Facilities	\$401,007,429	\$32,000,000	\$45,697,010	\$478,704,439	\$299,844,190	\$26,849,221	\$106,314,017
Agricultural Biotechnology Facility & Completion	12,400,000			12,400,000	12,400,000		
Alumni Quadrant Renovations	11,183,624			11,183,624	11,183,624		
Arjona and Monteith (new classroom buildings)	128,219,871			128,219,871	128,219,871		
Avery Point Campus Undergraduate & Library Building	10,461,246			10,461,246	10,461,246		
Avery Point Marine Science Research Center - Phase I & II	37,254,246			37,254,246	37,254,246		
Avery Point Renovation	13,203,165			13,203,165	13,203,165		
Beach Hall Renovations	5,146,688			5,146,688	5,146,688		
Benton State Art Museum Addition	3,603,509			3,603,509	3,603,509		
Biobehavioral Complex Replacement	3,495,807			3,495,807	3,495,807		
Bishop Renovation	2,480,141			2,480,141	2,480,141		
Business School Renovation - Phase II	7,958,470			7,958,470	7,958,470		
Central Warehouse New	6,933,752			6,933,752	6,933,752		
Chemistry Building	53,062,000			53,062,000	53,062,000		
Deferred Maintenance-Storrs & Regionals	974,490,629	26,450,000	37,175,384	1,038,116,013	787,264,284	45,596,837	168,079,507
East Campus North Renovations	7,382,605			7,382,605	7,382,605		
Engineering Building	92,579,390			92,579,390	92,579,390		
Equipment, Library Collections & Telecommunications	351,403,656	12,000,000	37,400,000	400,803,656	333,390,391	6,320,670	23,692,595
Family Studies (DRM) Renovation	2,868,306			2,868,306	2,868,306		
Farm Buildings Repairs/Replacement	6,408,304			6,408,304	6,408,304		
Fine Arts Phase II	38,792,721			38,792,721	38,792,721		
Floriculture Greenhouse	6,691,799			6,691,799	6,691,799		
Gant Plaza Deck	7,287,174			7,287,174	7,287,174		
Gant Building Renovations	12,455,770			12,455,770	12,455,770		
Gentry Renovation & Completion	19,292,806			19,292,806	19,292,806		
Grad Dorm Renovations	2,928,228			2,928,228	2,928,228		
Hartford Relocation Acquisition/Renovation	139,027,625			139,027,625	139,027,625		
Heating Plant Upgrade	21,846,724			21,846,724	21,846,724		
Hilltop Dormitory Renovations	8,176,529			8,176,529	8,176,529		
Ice Rink Enclosure	3,280,000			3,280,000	3,280,000		
International House Conversion (Natural History Museum)	886,134			886,134	886,134		
Intramural, Recreational & Intercollegiate Facilities	31,009,921			31,009,921	31,009,921		
Jorgensen Renovation	3,899,129			3,899,129	3,899,129		
Koons Hall Renovation/Addition	1,461,146			1,461,146	1,461,146		
Lakeside Renovation	3,800,000			3,800,000	3,800,000		
Law School Renovations/Improvements	16,660,677			16,660,677	16,660,677		
Litchfield Agricultural Center - Phase I	1,000,000			1,000,000	1,000,000		
Manchester Hall Renovation	772,577			772,577	772,577		
Mansfield Apartments Renovation	2,071,000			2,071,000	2,071,000		
Mansfield Training School Improvements	6,500,000			6,500,000	6,137,450		362,550
Monteith Renovation	444,348			444,348	444,348		
Music Drama Addition	7,400,000			7,400,000	7,400,000		
Natural History Museum Completion	500,000			500,000	500,000		
North Campus Renovation	10,996,050			10,996,050	10,996,050		
North Hillside Road Completion	6,700,000			6,700,000	6,700,000		
North Superblock Site & Utilities	7,668,000			7,668,000	7,668,000		
Northwest Quadrant Renovation - Phase I & II	32,001,000			32,001,000	32,001,000		
Old Central Warehouse Renovation	126,000			126,000	126,000		
Parking Garage North	9,658,000			9,658,000	9,658,000		
Parking Garage #3	75,214			75,214	75,214		
Pedestrian Walkways (Fairfield Road Pedestrian Mall)	6,074,000			6,074,000	6,074,000		
Psychology Building Renovation/Addition	24,337,399			24,337,399	24,337,399		
Residential Life Facilities	160,972,476	54,650,000	43,427,606	259,050,082	147,405,011	40,624,634	27,592,831
School of Business	25,652,366			25,652,366	25,652,366		
School of Pharmacy/Biology	94,609,000			94,609,000	94,428,468		180,532
Shippee/Buckley Renovations	6,920,000			6,920,000	6,920,000		
South Campus Complex	12,251,000			12,251,000	12,251,000		
Stamford Downtown Relocation - Phase I	55,781,472			55,781,472	55,781,472		

UCONN 2000 Bonds
State General Obligation Bond Phasing Plan & Actuals by Statutory Named Line

Project	Authorization as of 11.30.22*				Actuals as of 11.30.22		
	FY96-FY22	FY23	FY24-27	Total Phases I, II, III	Expenditures	Encumbrances	Available**
Stamford Campus Improvements/Housing	1,500,870			1,500,870	1,500,870		
Storrs Hall Addition	14,664,091			14,664,091	14,664,091		
Student Union Addition	57,622,633			57,622,633	57,622,633		
Support Facility (Architectural & Engineering Services)	16,583			16,583	16,583		
Technology Quadrant - Phase IA	39,993,000			39,993,000	39,993,000		
Technology Quadrant-Phase II	34,120,000			34,120,000	34,120,000		
Torrey Life Science Renovation & Completion	1,781,482			1,781,482	1,781,482		
Torrington Campus Improvements	369,156			369,156	369,156		
Towers Renovation	17,950,243			17,950,243	17,950,243		
Underground Steam & Water Upgrade - Phase I & II	12,000,000			12,000,000	12,000,000		
Waring Building Conversion	11,452,000			11,452,000	11,452,000		
Waterbury Property Purchase	200,000			200,000	200,000		
Waterbury Downtown Campus	1,608,764			1,608,764	1,608,764		
West Campus Renovations	519,507			519,507	519,507		
West Hartford Campus Renovations/Improvements	6,774,305			6,774,305	6,774,305		
White Building Renovation	2,427,269			2,427,269	2,427,269		
Wilbur Cross Building Renovation	19,999,571			19,999,571	19,999,571		
Young Building Renovation/Addition	23,651,403			23,651,403	23,651,403		
SUBTOTAL FOR STORRS & REGIONAL CAMPUS	\$3,168,200,000	\$125,100,000	\$163,700,000	\$3,457,000,000	\$2,847,686,604	\$119,391,363	\$326,222,032
CLAC Renovation Biosafety Level 3 Lab	15,901,466			15,901,466	15,901,466		
Deferred Maintenance-UCH	76,959,697			76,959,697	50,417,413		26,542,284
Dental School Renovation	3,525,000			3,525,000	3,525,000		
Equipment, Library Collections & Telecom-UCH	116,429,390			116,429,390	115,713,844		715,546
Library/Student Computer Center Renovation	1,266,460			1,266,460	1,266,460		
Main Building Renovation	117,484,316			117,484,316	117,484,316		
Medical School Academic Building Renovation	39,578,232			39,578,232	39,578,232		
Planning & Design Costs	25,000,000			25,000,000	25,000,000		
Research Tower	67,992,229			67,992,229	67,992,229		
Support Building Addition/Renovation	100,000			100,000	100,000		
UCH New Construction and Renovation	386,663,210			386,663,210	386,663,210		
SUBTOTAL FOR HEALTH CENTER	\$850,900,000	\$0	\$0	\$850,900,000	\$823,642,170	\$0	\$27,257,830
GRAND TOTAL	\$4,019,100,000	\$125,100,000	\$163,700,000	\$4,307,900,000	\$3,671,328,774	\$119,391,363	\$353,479,862

* UCONN 2000 Bond Authorization is separate from and does not agree to UCONN 2000 Bonds Sold, which totals \$3,804,000,000 as of the reported date. This results in a difference of \$340,200,000 between total UCONN 2000 Bonds authorized and total UCONN 2000 Bonds sold.

** The available balance is calculated as FY96-FY23 UCONN 2000 Bond Authorization, less expenditures and encumbrances. As stated above, the bond authorization is separate from bonds sold. The total available balance from bonds sold would be \$340,200,000 less, or \$13,279,862.

EXHIBIT C

POLICIES: SELECTION AND ACQUISITION OF PROFESSIONAL SERVICES

Section 10a-109d (5) of the Connecticut General Statutes authorizes the University to contract with professionals to plan, design and supervise UCONN 2000 projects and other capital projects.

1. The Executive Vice President for Finance and Chief Financial Officer has the responsibility for the administration of these policies. Authority for their implementation may be delegated to appropriate operating departments and/or individuals.
2. A selection committee shall be appointed to select professional services for each project in accordance with university policies and procedures.
3. The selection committee shall develop the rating and evaluation criteria.
4. The contract shall be negotiated in consultation with the University Master Planner and Chief Architect or with the Associate Vice President for Campus Planning Design and Construction for the Health Center.
5. Changes in scope that affect the cost of the project must be approved by the Executive Vice President for Administration and Chief Financial Officer, or as delegated to appropriate operating departments and/or individuals.

EXHIBIT D

POLICIES: PRE-QUALIFICATION AND SELECTION OF CONTRACTORS

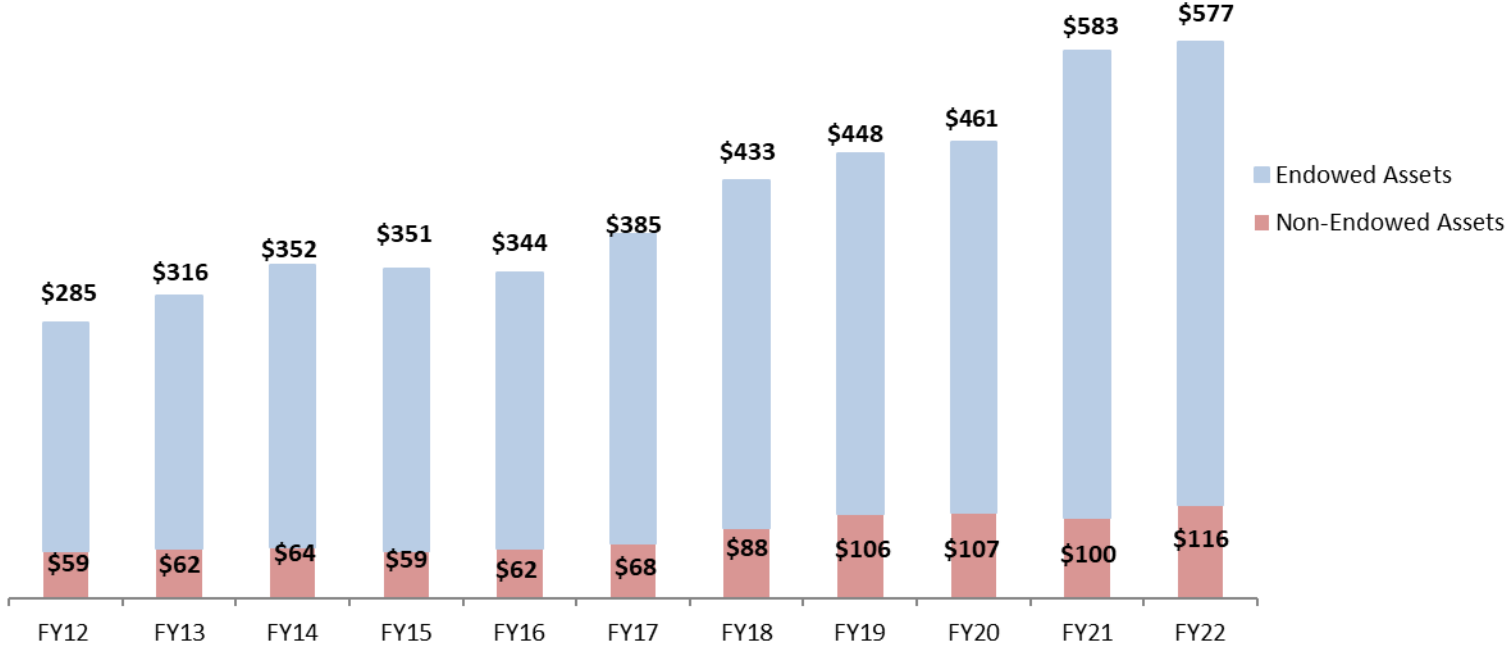
Section 10a-109n (c) (2) of the Connecticut General Statutes authorizes the University to contract with construction firms for the building of UCONN 2000 projects and other capital projects.

1. The Executive Vice President for Administration and Chief Financial Officer has the responsibility for the administration of these policies. Implementing authority may be delegated to appropriate operating departments.
2. Pre-qualification shall be required of all bidders for projects over \$100,000.
3. Objective written criteria for pre-qualification of firms shall be developed.
4. A list of pre-qualified contractors shall be developed on a project basis. Firms will be evaluated on written criteria, including but not limited to: (1) the firm's previous experience with similar projects, (2) the firm's financial ability to complete the project, (3) the firm's ability to post surety bonds, (4) evaluation of the firm's integrity, (5) a determination that the firm has no conflict of interest in connection with the project, (6) technical ability, (7) managerial ability and (8) whether a contractor or one of their subcontractors on one of their previous projects has been in compliance with the provisions of Part III of Chapter 557 and Chapter 558 during the previous five calendar years.
5. Pre-qualified firms shall be invited to bid upon a specific contract. Contracts shall be awarded to the lowest responsible bidder who conforms to the University's standards for the project.
6. If it is in the best interest of the University and the State of Connecticut, all bids may be rejected and the contracting process reopened.
7. The University may negotiate with any pre-qualified contractor that is currently under contract for incorporation work under exigent circumstance. This new work need not be related to the original contract. The new work shall be of a similar nature as the basic contract.
8. Exigent circumstances include work necessary to:
 - a. Prevent loss of grant income or other revenue
 - b. Produce additional revenue or grant income
 - c. Insure renovations are complete for new faculty and staff members
 - d. Provide for safety and health of the University Community
 - e. Comply with any Federal or State laws or regulations

- f. Insure timely and orderly completion of UCONN 2000 or 21st Century UConn Projects.
9. The Executive Vice President for Administration and Chief Financial Officer shall approve use of the exigency provision for an individual job based upon a written recommendation from the University Master Planner and Chief Architect or by the Associate Vice President for Campus Planning Design & Construction as designee for the Health Center
10. The negotiations may be conducted with any contractor or contractors currently performing one of the following types of contracts; lump sum, design build or construction manager at risk.
11. The University Master Planner and Chief Architect or by the Associate Vice President for Campus Planning Design & Construction as designee for the Health Center will prepare a price negotiations memorandum detailing the basis for the award.
12. The Executive Vice President for Administration and Chief Financial Officer shall also stipulate whether the added work shall be incorporated into the contract by change order or be consummated as a new contract.

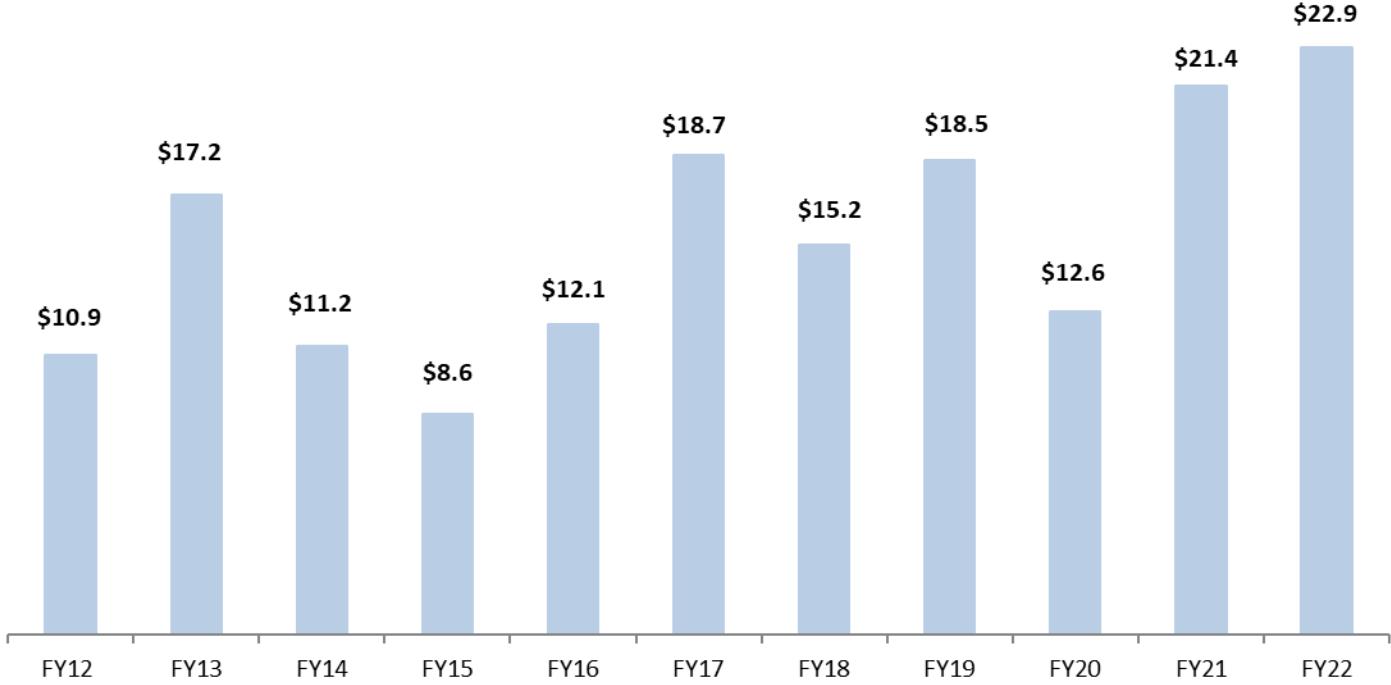
Investment Growth

In Millions of Dollars



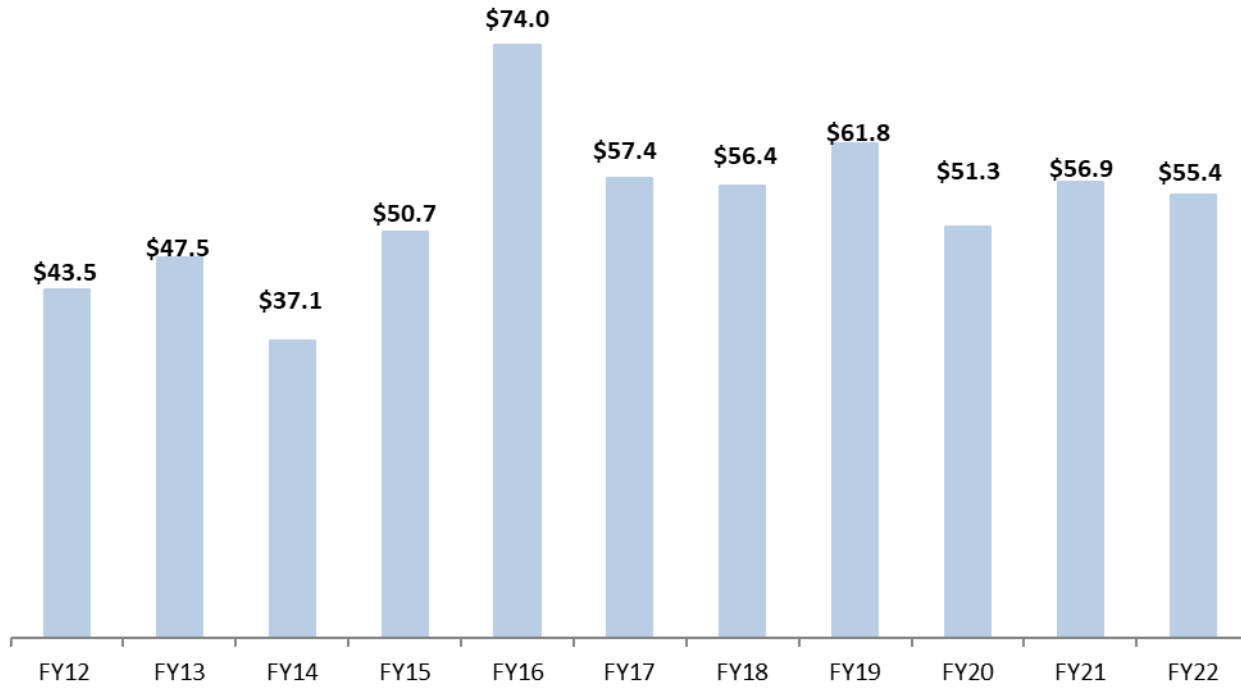
Total Endowment Gift Receipts for the University of Connecticut

In Millions of Dollars



Total Gift Receipts for the University of Connecticut

In Millions of



PREVAILING WAGE COMPLIANCE REPORT

The attachments referred to below cover the reporting period from July 1, 2022 thru December 31, 2022 and are issued pursuant to the requirements of subsection (f) of section (7) of Public Act 02-3, an Act Concerning 21st Century UCONN, by providing the following information:

(1) The names and addresses of contractors and subcontractors performing repair, addition, alteration and new construction on the university's campuses in the previous six months.

Attachment A provides the listing in alphabetical order. This is being filed in conjunction with the January 2023 Report Number Fifty-Five to provide a consolidated report for UCONN 2000 activities. There is no sub-grouping of contractors or subcontractors as the nature of their business makes each interchangeable with the other as business opportunities become available.

Attachment B is based on information from the State of Connecticut Department of Labor, Wage and Workplace Standards Division, Contract Compliance Unit and represents a combined sharing of information by the University of Connecticut and the Department of Labor. No report is made from the Department of Labor, for this reporting period.

Attachment C is the Debarment list issued by the Department of Labor.

ATTACHMENT AALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS
APRIL 1, 2022 THRU SEPTEMBER 30, 2022

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
A Best Buy Premium Fuel & Trucking LLC	196 W Pond Road Extension		North Branford	CT	06471
A Royal Flush Inc	146 Andover Street		Bridgeport	CT	06605
A&J Caulking Company Inc	222 Main Street, Suite 121		Farmington	CT	06032
AAIS/Spectrum Environmental		PO Box 26066	West Haven	CT	06516
Accurate Door & Window LLC	156 Middle Road		Preston	CT	06365
Acorn Glass Inc	30 Century Drive		Stratford	CT	06615
ACP Plus LLC	188 Bailey Road		Middletown	CT	06457
AdamsAhern Sign Solutions Inc	30 Arbor Street #3		Hartford	CT	06106
Adtech	1627 Tolland Turnpike		Manchester	CT	06042
Advanced Sheetmetal Associates Inc	52 Industrial Park Access Road		Middlefield	CT	06455
AEPM International	200 Main Street		Ansonia	CT	06401
AGA Architectural Millwork & Interior Design LLC	178 Newell Street		Southington	CT	06489
Air Balancing Service Company	7 Corporate Drive, U-109-110		North Haven	CT	06473
Air Equipment LLC	43 Thomas Street		East Hartford	CT	06108
Air Temp Mechanical Services Inc	360 Captain Lewis Drive		Southington	CT	06489
All Electric Construction and Communication LLC	80 Farwell Street		New Haven	CT	06515
All Seasons Landscaping Inc	120 Commerce Court		Cheshire	CT	06410
All State Construction Inc	449 Cooke Street		Farmington	CT	06032
Amenta Emma Architects	242 Trumbull Street		Hartford	CT	06103
Anderson Electrical Contractors Limited	55 Airport Road, Suite 101		Hartford	CT	06114
Antinozzi Associates PC	271 Fairfield Avenue		Bridgeport	CT	06604
Aris Land Studio	78 Elm Street		Bridgeport	CT	06604
Armani Restoration Inc	95 Bysiewicz Drive		Middletown	CT	06457
Array Systems LLC	205 Research Drive, Unit 4		Milford	CT	06460
Atlantic Masonry Products Corporation	67 Quinnipiac Avenue		North Haven	CT	06473
Barber Firestop Systems LLC	175 Englewood Drive		Orange	CT	06477
Bartholomew Contract Interiors	3324 Main Street		Hartford	CT	06120
Bestech Incorporated of Connecticut	25 Pinney Street		Ellington	CT	06029
Bond Brothers Inc	370 James Street #405		New Haven	CT	06513
Capasso Restoration Inc	39 Sugar Hill Road		North Haven	CT	06473
CDM Smith Inc	75 State Street, Suite 701		Boston	MA	02109
Central Connecticut Acoustics Inc	105 North Cherry Street	PO Box 519	Wallingford	CT	06492
Charter Oak Environmental Services Inc	33 Ledgebrook Drive		Mansfield Center	CT	06250
Chase Glass Company Inc	73-75 James Street		East Hartford	CT	06108
Cheryl Newton Architect LLC	1917 Main Street		Glastonbury	CT	06033
Christopher Williams Architects LLC	85 Willow Street		New Haven	CT	06511
Clohessy Harris & Kaiser LLC	573 Hopmeadow Street		Simsbury	CT	06070

ATTACHMENT A
ALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS
APRIL 1, 2022 THRU SEPTEMBER 30, 2022

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Collier Electrical Corporation	50 Harvard Street		New Britain	CT	06051
Columbia Sheet Metal Company Inc	4 Commerce Drive		North Windham	CT	06256
Commercial Storefront Services Inc	1265 John Fitch Boulevard		South Windsor	CT	06074
Connecticut Boiler Repair and Manufacturing Company	694 Oakwod Avenue		West Hartford	CT	06110
Connecticut Carpentry Corporation	1850 Silas Deane Highway, 2nd Floor		Rocky Hill	CT	06067
Consolidated Industries Inc	677 Mixville Road		Cheshire	CT	06410
Construction Specialties of New England (DBA CSNE LLC)	636 Nutmeg Road North		South Windsor	CT	06074
Corbett HVAC Services LLC	51 James Drive		North Windham	CT	06256
D/E/F Services Group Ltd	1171 Voluntown Road		Griswold	CT	06351
Daniel O'Connells Sons Inc	234 Church Street, Suite 403		New Haven	CT	06510
DC Sheetmetal LLC	135 Yantic Street		Norwich	CT	06360
Decarlo & Doll Inc Architect	89 Colony Street		Meriden	CT	06451
Decco International	67 Poland Street		Bridgeport	CT	06605
Desco Professional Builders Inc	290 Somers Road		Ellington	CT	06029
Dimeo Construction Company	700 State Street, Suite 101		New Haven	CT	06511
Eagle Environmental Inc	8 South Main Street, Suite 3		Terryville	CT	06786
EF & G Construction Inc (DBA Eagle Fence & Guardrail Inc)	15 Robert Jackson Way	PO Box 7077	Plainville	CT	06062
Electrical Contractors Inc	3510 Main Street		Hartford	CT	06120
Electrical Energy Systems Corporation Voice & Data LLC	215 Captain Lewis Drive		Southington	CT	06489
Electrical Power Solutions LLC	39 Ledger Street		Hartford	CT	06106
Elite Fire Stop LLC	133-B Horse Fence Hill Road		Southbury	CT	06488
Encore Holdings LLC	35 Philmack Drive, Suite D		Middletown	CT	06457
Ernest Peterson Inc	1830 Broad Street		Hartford	CT	06114
Fairfield Electric Supply Inc	711 Post Road		Fairfield	CT	06824
Ferguson Mechanical Company Inc	112 Northwest Drive		Plainville	CT	06062
Fire Rated LLC	254 Prospect Avenue		Hartford	CT	06106
Flow Tech Inc	800 Cottage Grove Boulevard, Building #3		Bloomfield	CT	06002
Fortaleza Concrete LLC	504 Forest Road	PO Box 370	Northford	CT	06472
Frank Capasso & Sons Inc	1003 Middletown Avenue		Northford	CT	06472
Freeman Companies LLC	36 John Street		Hartford	CT	06106
Friar Associates Inc	281 Farmington Avenue		Farmington	CT	06032
General Welding & Fabrication Inc	977 Echo Lake Road		Watertown	CT	06795
Genovesi Construction LLC	97 Gerber Drive		Tolland	CT	06084
Gerald E LePine (DBA LePine Electric)	436 Lisbon Road		Canterbury	CT	06331
Gerber Construction Inc	1 Nutmeg Drive		Ellington	CT	06029
Giliberto & Sons LLC	80 Airport Road		Hartford	CT	06114
GL Capasso Inc	34 Lloyd Street		New Haven	CT	06513

ATTACHMENT AALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS
APRIL 1, 2022 THRU SEPTEMBER 30, 2022

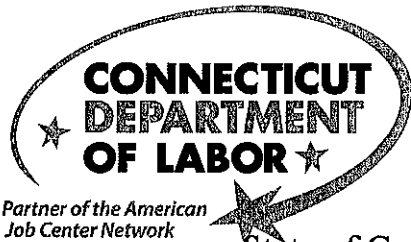
COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Haz-Pros Inc	125-A Brook Street		West Hartford	CT	06110
HHS Mechanical Contractor Inc	80 Colonial Road		Manchester	CT	06042
Hoffman Architects Inc	2321 Whitney Avenue		Hamden	CT	06518
Horizon Services Corporation (DBA Horizon Services Company)	250 Governor Street		East Hartford	CT	06108
ID3A LLC	655 Winding Brook Drive		Glastonbury	CT	06033
J&B Mechanical Contractors LLC	89 Church Street		East Hartford	CT	06108
J&P Construction Corporation	224 Krug Road		Preston	CT	06365
James S Sullivan Cable Company Inc	123 East Aurora Street		Waterbury	CT	06708
John Paul Garcia & Associates PC	190 Fairwood Road		Bethany	CT	06524
Johnson Controls	80 Clark Drive U-5D		East Berlin	CT	06023
Joseph Campbell (DBA Eastern Mechanical LLC)	1774 Manchester Road		Glastonbury	CT	06033
Joseph Cohn & Son Tile & Terrazzo LLC	50 Devine Street		North Haven	CT	06473
Kenneth Boroson Architects LLC	315 Peck Street		New Haven	CT	06513
Kim Industries Inc	34 Mill Plain Road #2D		Danbury	CT	06811
Lab Furniture Installations & Sales Inc	11 River Street, Suite 2		Middleton	MA	01949
Landmark Facilities Services Inc	252 East Avenue		Norwalk	CT	06855
Langan Insulation LLC	420 Sackett Point Road #4a		North Haven	CT	06473
Liquore Sand & Gravel LLC	117 North Street		Enfield	CT	06082
LK Sheet Metal Inc	35 Wrobel Place		East Hartford	CT	06108
Loureiro Engineering Associates Inc	100 Northwest Drive		Plainville	CT	06062
M Frank Higgins & Company Inc	780 North Mountain Road		Newington	CT	06111
MacKenzie Painting Company	60 Mead Street		Stratford	CT	06615
MacKenzie Service Corporation	55 Moffitt Street		Stratford	CT	06615
Macri Roofing Inc	36 Duffy Avenue		Meriden	CT	06451
Maier Design Group LLC	34 Sequassen Street		Hartford	CT	06106
Mather Corporation	21 West Dudley Town Road		Bloomfield	CT	06002
Mechanical Solutions Inc	121 Commerce Way #3		South Windsor	CT	06074
Midstate Abatement LLC	299 John Downey Drive		New Britain	CT	06051
Milton C Beebe & Sons Inc	12 Beebe Lane		Storrs	CT	06268
MT Ford Industries Inc	645 Main Street		Somers	CT	06071
Murray Enterprise LLC (DBA Murray Kaizer Inc)	215 Fairhill Lane		Suffield	CT	06078
NBI New England Inc (DBA Interscape Commercial Environments)	10 Waterside Drive, Suite 201		Farmington	CT	06032
Net Services LLC	1185 Elm Street Extension		Rocky Hill	CT	06067
New England Yankee Construction	34 High Street		West Haven	CT	06516
New Haven Firestop Systems LLC	192 Dixwell Avenue #1		New Haven	CT	06511
Newman Architects PC	300 York Street		New Haven	CT	06511
Northeast Flooring & Kitchens LLC	233 B Kennedy Drive		Putnam	CT	06260

ATTACHMENT AALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS
APRIL 1, 2022 THRU SEPTEMBER 30, 2022

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Northeastern Communications & Electrical LLC	896 Bear Hill Road		Middletown	CT	06457
Offshore Construction Inc	280 Hartford Road		Manchester	CT	06040
OFI Contract Interiors	28 Garfield Street		Newington	CT	06111
One Diversified	60 Dodge Avenue		North Haven	CT	06473
OnSite Services Inc	23 Meadow Road		Clinton	CT	06413
Orissa LLC	45 Andover Drive		Rocky Hill	CT	06067
Oscar's Abatement LLC	29 Meadow Street		Hartford	CT	06114
Proiron LLC	300 Morgan Lane		West Haven	CT	06516
Quisenberry Arcari Malik LLC	195 Scott Swamp Road		Farmington	CT	06032
Red Thread	300 East River Drive		East Hartford	CT	06108
Reynolds Welding & Fabrication	3486 Main Street		Hartford	CT	06120
Richard's Corporation Inc	72 North Harwinton Avenue		Terryville	CT	06786
RJB Contracting Inc	588 Winsted Road		Torrington	CT	06790
Roberge Painting Compajy Inc	29 Church Avenue		Bristol	CT	06010
Roman Electric LLC	23 Kozley Road		Tolland	CT	06084
Safety Solution Consultants Inc	99 Rainbow Road #H		East Granby	CT	06026
Sarazin General Contractors Inc	6 North Commerce Drive		North Windham	CT	06256
Scholar Painting LLC (DBA Scholar Painting & Restoration)	2 Klarides Village Drive #145		Seymour	CT	06483
Security Technologies Inc		PO Box 5357	Bolton	CT	06043
Siemens Industry Inc	104 Sebethe Drive		Cromwell	CT	06416
Sign Pro Inc	60 Westfield Drive		Plantsville	CT	06479
Sil/Carr Corporation	34 Newberry Road		East Windsor	CT	06088
Silver Petrucelli & Associates Inc	3190 Whitney Avenue		Hamden	CT	06518
Simpson Gumpertz and Heger Inc	41 Seyon St Bldg 1 Suite 50		Boston	MA	02453
Siracusa Moving & Storage Inc	250 Commerce Circle		New Britain	CT	06051
SK Mechanical LLC	266 Center Street		Manchester	CT	06040
Sound Mechanical Contractors LLC	82 Colonial Road		Manchester	CT	06042
Southern New England Electrical Testing LLC	3 Buel Street, Unit 2		Wallingford	CT	06492
Spectrum Floors Inc	299 Blacks Road	PO Box 861	Cheshire	CT	06410
Steeltech Building Products Inc	636 Nutmeg Road North		South Windsor	CT	06074
Swan Associates Inc	49 Holly Drive		Newington	CT	06111
TC Lawncare LLC (DBA TC Landscaping LLC)	101 Crouch Road		Amston	CT	06231
Test-Con Inc	16 East Franklin Street		Danbury	CT	06810
The Hartford Lumber Company	17 Albany Avenue	PO Box 320550	Hartford	CT	06120
The Jack Farrelly Company	97 Old Poquonock Road		Bloomfield	CT	06002
The John Boyle Company	152 South Main Street	PO Box 397	New Britain	CT	06050
The Whiting-Turner Contracting Company	195 Church Street, 16th Floor		New Haven	CT	06516

ATTACHMENT AALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS
APRIL 1, 2022 THRU SEPTEMBER 30, 2022

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Thomas W Raftery Inc	1055 Broad Street		Hartford	CT	06106
Thorogood Electric	114 Broad Brook Road		Enfield	CT	06082
Total Fence LLC	525 Ella Greasso Boulevard		New Haven	CT	06519
Tradesource Inc	205 Hallene Road, Units 211-212		Warwick	RI	02886
Tri State Materials Testing Lab LLC	160 South Turnpike Road, Suite 3		Wallingford	CT	06492
Turner Construction Company	50 Waterview Drive, Suite 220		Shelton	CT	06484
Ultimate Construction LLC	19C Andover Drive		Hartford	CT	06110
VIP Supply Inc	68 Nod Road		Clinton	CT	06413
Walch & Company Inc	35 North River Road		Tolland	CT	06084
Walter Electric LLC	41 4th Street		New London	CT	06320
WC McBride Electrical Contractors LLC	1027 Fairfield Avenue, 1st Floor		Bridgeport	CT	06605
West State Mechanical Inc	3000 S. Main Street	PO Box 1045	Torrington	CT	06790
Willco Sales & Service Inc		PO Box 320003	Fairfield	CT	06825
William Constantine Jr/Constantine Sealing Service	100 Kreiger Lane, Unit D		Glastonbury	CT	06033
Wing's Testing & Balancing Company Inc	94 North Branford Road, Suite 1		Branford	CT	06405
Yankee Sheet Metal Company Inc	35 Wrobel Place		East Hartford	CT	06108
Zlotnick Construction Inc	161 Storrs Road		Mansfield Center	CT	06250



June 8, 2017

State of Connecticut Debarment List Pursuant to Section 31-53a(a)

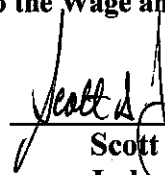
No contract shall be awarded to any person or firms appearing on this list or to any firm, corporation, partnership, or association in which such persons or firms have an interest until the expiration date listed has elapsed.

Please be informed that the following persons or firms have been debarred in accordance with Section 31-53a of the Connecticut General Statutes, as amended:

DEBARMENT LIST

<u>Name of Person or Firm</u>	<u>Expiration Date</u>
-Canterbury Communications, Canterbury Marion T. Mershon, an individual	Indefinite Indefinite
-City Electrical Enterprises LLC, Hartford Lloyd Thompson, an individual	Indefinite Indefinite
-Elite Roofing, Cheshire Sam Stevens, an individual	Indefinite Indefinite
-Gatollari Enterprises Inc., Rochelle Park, NJ Robert Gatollari, an individual	Indefinite Indefinite
-Greenland Enterprises Inc., Wayne, NJ Oneil Mendez, an individual Raymond Blum-Romero, an individual	Indefinite Indefinite Indefinite
-Jarosz Welding Company Inc., Hartford Andrew W. Jarosz, an individual	Indefinite Indefinite
-SCD Services, LLC, Somers Philip Snow, an individual	Indefinite Indefinite
-Seakco Construction, Stamford Robert Evans, an individual	Indefinite Indefinite
-Sun Ray Electric, Prospect Reinaldo DeSousa, an individual	Indefinite Indefinite

Any inquiries regarding this list should be directed to the Wage and Workplace Standards Division at (860)263-6790.



Scott D. Jackson
Labor Commissioner

**Board of Trustees
University of Connecticut**

The Honorable Ned Lamont
(Governor of the State of Connecticut)
(President ex-officio)

Daniel D. Toscano
(Chairman of the Board)

Sanford Cloud, Jr.
(Chair, UConn Health Board of Directors)
(Member ex-officio)

Charlene M. Russell-Tucker
(Commissioner of Education)
(Member ex-officio)

Bryan P. Hurlburt
(Commissioner of Agriculture)
(Member ex-officio)

Alexandra Daum
(Commissioner of Economic and Community Development)
(Member ex-officio)

Andy F. Bessette

Jeanine A. Gouin

Mark L. Boxer

Rebecca Lobo

Charles F. Bunnell

Kevin J. O'Connor

Shari G. Cantor

Brian K. Pollard

Joshua Crow

Thomas D. Ritter

Andrea Dennis-LaVigne

Philip E. Rubin

Marilda L. Gandara

Thanks in good measure to UConn 2000, the University continues to attract scores of the state and nation's best and brightest students to Connecticut, most of whom live and work in the Nutmeg State after commencement.

