

2-22-2011

## Agenda and attachments, February 22, 2011

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

**AGENDA**

University of Connecticut  
Rome Commons Ballroom  
South Campus Complex  
Storrs, Connecticut

February 22, 2011

**OPEN SESSION**

Call to order at 11:00 a.m.

**EXECUTIVE SESSION**

1. Executive Session anticipated.
2. Close Executive Session.

**OPEN SESSION**

Reconvene in Open Session at 1:00 p.m.

1. Public Participation
2. Chairman's Report
  - (a) Matters outstanding
  - (b) Minutes of the meeting of January 26, 2011
  - (c) Consent Agenda Items:
    - (1) Contracts and Agreements for the Storrs-based programs (Attachment 1)
    - (2) Designation of Emeritus Status (Attachment 2)
    - (3) Approval of Sabbatical Leaves (Attachment 3)
    - (4) Notification of Proposed Changes to the *By-Laws of the University of Connecticut* (Article V – Committees of the Board of Trustees) (Attachment 4)
    - (5) Revised University Code of Conduct (Attachment 5)
3. President's Report
4. Academic Affairs Committee Report
  - (a) Report on Committee activities
  - (b) Informational items:
    - (1) Five Year Review of Academic Centers and Institutes (Attachment 6)
    - (2) Faculty Consulting Program (Attachment 7)

5. Financial Affairs Committee Report

(a) Report on Committee activities

(b) Items requiring Board discussion and approval:

- (1) Fiscal Year 2012 Institutional Fees (Tuition, Room & Board) for the University of Connecticut, Storrs and Regional Campuses (Separate cover)
- (2) Fiscal Year 2012 Student Activity and Service Fees for the University of Connecticut, Storrs and Regional Campuses (Separate cover)
- (3) Fiscal Year 2012 Academic Materials Fees for the University of Connecticut, Storrs and Regional Campuses (Separate cover)
- (4) Project Budget (Planning) for Beach Hall Renovations – Façade and Roof Repair (Attachment 8)
- (5) Project Budget (Planning) for Bishop Renovation – Mechanical System Improvements and Façade Modifications (Attachment 9)
- (6) Project Budget (Planning) for Law School Renovations/Improvements – Starr, Chase and Knight Halls Building Envelope Repair (Attachment 10)
- (7) Project Budget (Planning) for Manchester Hall Renovation – Building Envelope Repair (Attachment 11)
- (8) Project Budget (Planning) for Pedestrian Safety Improvements – Phase I (Attachment 12)
- (9) Project Budget (Revised Planning) for Gant Building Renovations – Phase I (Attachment 13)
- (10) Project Budget (Final) for Floriculture Greenhouse (Attachment 14)
- (11) Project Budget (Final) for Storrs Hall (Nursing) Addition (Attachment 15)
- (12) Project Budget (Revised Final) for Gant IMS Fire Alarm Replacement (Attachment 16)
- (13) Project Budget (Revised Final) for West Hartford Campus Renovations/Improvements – Student Lounge and Office Relocation (Attachment 17)

(c) Informational items:

- (1) Financial Statements for Storrs and the Health Center

Storrs:

**<http://accountingoffice.uconn.edu/accounting/PDF%20FILES/2010%20Financial%20Statements.pdf>**

UHC:

**[http://controller.uchc.edu/reports/docs/year\\_end\\_report\\_2010.pdf](http://controller.uchc.edu/reports/docs/year_end_report_2010.pdf)**

6. Health Center Report
  - (a) Report on Health Center activities
  - (b) Item requiring Board discussion and approval:
    - (1) Proposed Tuition and Fees Rates for Fiscal Year 2012 for the University of Connecticut School of Medicine and School of Dental Medicine (Attachment 18)
7. Joint Audit and Compliance Committee Report
  - (a) Report on Committee activities
8. Buildings, Grounds and Environment Committee Report
  - (a) Report on Committee activities
  - (b) Items requiring Board discussion and approval:
    - (1) Change in Recipient of Certain Approved Easements Related to Storrs Center (Attachment 19)
    - (2) Transfer of Custody and Control of Drainage Area Related to Storrs Center (Attachment 20)
    - (3) Release of Covenants, Conditions, Restrictions and Reservations for Warzocha Property (Attachment 21)
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
  - (b) Item requiring Board discussion and approval:
    - (1) Naming Recommendation for the John and Donna Krenicki Professorship in Biomedical Engineering (Attachment 22)
  - (c) Development Progress Executive Summary (Attachment 23)
12. Other
13. Adjournment

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



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PROCUREMENT - NEW					PROCUREMENT	
No.	Contractor	Approval Amount	Term	Fund Source	Program Director	Purpose
1	568 Systems, Inc.	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
2	AZ Corporation	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
3	ComNet Communications, LLC	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
4	Fibre Optic Plus, Inc.	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
5	Mercury Cabling Systems, LLC	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
6	Network Installation Services, Inc.	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
7	Northeastern Communications & Electrical	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.
8	ValCor Communications Corp.	\$1,500,000	03/01/11-02/28/14	UCONN 2000	Matthew Larson, Director of Procurement Services	On-Call Trade Contractor Program to provide Telecommunications contracting services for use by the Storrs, Regional Campuses and UCHC for individual trade construction services on a project by project basis. Program will be utilized for small Capital Renewal and/or Capital building projects requiring a minimal number of individual trade contractors. The term of the contract is for 3 years with an option to extend the contract for two 1-year terms.



**University of Connecticut Department of Human Resources  
Emeritus Retirees  
February 22, 2011 Board of Trustees Meeting**

<b>NAME</b>	<b>TITLE</b>	<b>DEPARTMENT</b>	<b>SCHOOL/COLLEGE</b>	<b>RETIREMENT DATE</b>
Meyer, Michael C.	Professor	English	Liberal Arts & Sciences	3/1/2011
Storhoff, Gary P.	Associate Professor	English	Liberal Arts & Sciences	2/1/2011
Torgersen, Thomas L.	Professor	Marine Sciences/MSTC	Liberal Arts & Sciences	2/1/2011



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University of Connecticut  
*Board of Trustees*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Lawrence D. McHugh, Chairman 

RE: Notification of Proposed Changes to the *By-Laws of the University of Connecticut*

RECOMMENDATION:

That the Board of Trustees amend the *By-Laws of the University of Connecticut* Article V – Committees of the Board of Trustees.

BACKGROUND:

The *By-Laws of the University of Connecticut* may be amended at any regular meeting of the Board by a recorded majority of all members of the Board, provided that notice of any proposed amendment, including a draft thereof, shall have been given at the previous regular meeting. This document represents such notice and the resolution calling for the described amendments should be acted upon at the next meeting of the Board.

Regularly scheduled meetings of the Board typically occur between six and seven times a year. On rare occasions the business of the University requires Board action between regularly scheduled meetings. The proposed amendment to the By-Laws will permit the Buildings, Grounds and Environment Committee of the Board to promptly address urgent university business, the delay of which could result in significant risk, expense or disruption to the University or its operations.

For the information of the Board, also attached is the original language of Article V, with indications of the proposed amendments.

*An Equal Opportunity Employer*

Gulley Hall  
352 Mansfield Road Unit 2048  
Storrs, Connecticut 06269-2048

Telephone: (860) 486-2337  
Facsimile: (860) 486-2627



## Article V – Committees of the Board of Trustees

(New language underlined)

- A. The Board shall act as a committee of the whole on all matters requiring action with the exception of those listed in items B, C.1., D, and E below.
- B. Executive Committee
  - 1. *Membership*

The Executive Committee shall consist of the Board Chair and the chairs of all the Board's standing committees. The President shall serve as an *ex officio* nonvoting member. The Chair of the Board shall chair this committee. A simple majority shall constitute a quorum. It shall meet at such times as deemed necessary by the Chair.
  - 2. The Executive Committee shall exercise in emergencies all the authority of the Board of Trustees, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations.
  - 3. The committee shall not preempt the Board except in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and shall report to the full Board any action taken at the next regular meeting of the Board.
- C. The Board may appoint from time to time such special or standing committees as may be necessary to make studies or preliminary investigations necessary for determining Board action. Special committees are automatically discharged when their reports are acted upon by the Board or when the Board determines no action is warranted.
  - 1. The standing committee charged with review of matters related to buildings, grounds, and environment may take action on behalf of the Board under emergency circumstances when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations. Such actions shall be reported to the full Board at its next regular meeting.
- D. The committee of the Board of Trustees having cognizance over financial matters is authorized to buy and sell securities and the Chair of this committee is authorized to instruct the Vice President and Chief Financial Officer or the University Controller to execute the necessary assignment.
- E. A standing committee shall be established with jurisdiction over the University of Connecticut Health Center, the Schools of Medicine and Dental Medicine and the John Dempsey Hospital, and its core administrative units.






University of Connecticut  
*Office of the President*

Philip E. Austin  
*Interim President and  
University Professor*

February 22, 2011

TO: Members of the Board of Trustees  
FROM: Philip E. Austin   
RE: Revised University Code of Conduct

RECOMMENDATION:

That the Board of Trustees approves revisions to the University *Code of Conduct*.

BACKGROUND:

On April 11, 2006 the Board of Trustees approved the University's *Code of Conduct*, which serves to set the standards of workplace behavior; state publicly the University's long-term commitment to the highest standards of integrity in education, research, health care and service; and assure that faculty, administrators and staff understand their shared responsibility for keeping the University in full compliance with all applicable laws, regulations and policies.

The proposed revisions include language so as to be consistent with changes in University policies since April 11, 2006 and which addresses public engagement and outreach and civility. The Joint Audit and Compliance Committee has reviewed and approved these revisions.

This revised Code of Conduct is attached for your consideration and approval.

*An Equal Opportunity Employer*

Gulley Hall  
352 Mansfield Road Unit 2048  
Storrs, Connecticut 06269-2048  
Telephone: (860) 486-2337  
Facsimile: (860) 486-2627

**Code of Conduct:**  
**University of Connecticut**

This document serves to guide the daily operations of our University system including:

- The Storrs campus;
- Schools of Law and Social Work;
- Regional campuses throughout the State;
- University of Connecticut Health Center

## **Table of Contents**

**Letter from the President**

**Ethics Statement**

**Introduction**

**Campus-Wide Standards**

**Education Standards**

**Research Principles and Standards**

**Public Engagement and Outreach Standards**

**Patient Care Standards**

**Business, Fiscal and Legal Standards**

**External Relations and University Advancement**

**Resources, Additional Information, and Reporting**

## Letter from the President

Dear Colleagues:

The University of Connecticut is committed to assuring the highest standard of integrity in all aspects of University life and in all University and University-sponsored activities. While this goal is simply stated, its attainment requires concerted effort on the part of all members of the University community, particularly faculty, administrators and staff. Federal, state and local regulations which govern our activities are increasingly complex, and as the University's activities expand in size, scope and prominence, it is important that all of us understand relevant policies and know what is required in terms of compliance and reporting.

The University of Connecticut Board of Trustees is the body that is ultimately responsible for ensuring full compliance. At the Board's direction, the University has established a Compliance Program to help in our efforts to adhere to all federal, state and local regulatory requirements. A key ingredient of an effective Compliance Program is the establishment of a Code of Conduct. This Code of Conduct was developed with input from faculty, administrators and staff.

This Code serves to guide the conduct of University activities in support of the University's mission and is designed to serve three key purposes:

1. To set the basic standards of workplace behavior that the University expects of all faculty, administrators and staff.
2. To state publicly the University's long-term commitment to the highest standards of integrity in education, research, health care, public engagement and service.
3. To assure that faculty, administrators and staff understand their shared responsibility for keeping the University in full compliance with all applicable laws, regulations and policies.

Please read the Code carefully, and take all steps necessary to apply its standards. The University's Office of Audit, Compliance and Ethics is responsible for monitoring compliance and serving as a resource for questions and guidance on the Code, and on the University policies and procedures that spell out compliance requirements in greater detail.

A key element in assuring University-wide compliance is a system for reporting potential violations. In an institution this large and active, there may be areas of confusion; regrettably, there may also be instances in which individual behavior does not meet appropriate ethical expectations. Any University employee who observes a possible violation of law, regulation, policy or approved procedure has an obligation to report it. While a key element is reporting inappropriate activity, I want to emphasize that the most important element of any compliance or ethics program is working cooperatively to assure a positive climate of openness and integrity. Great universities function as true communities in which faculty, administrators, staff and students collaborate to achieve common goals. That holds true for instruction, research, public engagement, service and, at the most fundamental level, ethical compliance.

I want to thank you for understanding and adhering to these standards, and for your commitment to the highest level of ethical conduct in fulfillment of our institutional responsibilities.

Sincerely,

President

# The University of Connecticut Ethics Statement

The standards contained in this Code of Conduct reflect the University of Connecticut's core values, as they have been articulated over time by generations of faculty, staff, administrators, students and the State of Connecticut. These values are essential and enduring tenets of our organization. A statement of these values, while reiterating concepts already well understood, is helpful in outlining the context in which our Code will operate. Please be advised that violation of the standards in this Code of Conduct may result in appropriate disciplinary measures **up to and including dismissal.**

**Knowledge:** Members of the University community value truth, the pursuit of truth, intellectual curiosity and academic freedom. Our faculty and students seek to create new knowledge and are committed to sharing ideas, research findings and the products of intellectual and creative pursuits with the broader community

**Honesty:** Members of the University community are truthful and sincere in their words and actions and do not intentionally mislead others or provide inaccurate information.

**Integrity:** Institutional and individual behaviors at the University reflect fundamental moral and ethical values. Our actions are beyond reproach and avoid both the fact and the appearance of impropriety.

**Respect:** The University honors **and respects** individuality and demonstrates tolerance for the personal beliefs and cultural differences of all individuals. As members of an academic community, we seek to foster a spirit of civility and collegiality through open and honest communication. We strive to protect the health, **safety and well-being of** all persons. We protect the private and confidential information that is provided by our patients and research participants, faculty, administrators, staff, students, volunteers and others. We value an environment that is free from harassment, **intimidation, bullying, incivility, disrespect** and violence.

**Professionalism:** The University and its members expect that the professional standards and requirements that are applicable to the academic, research, clinical, **engagement**, administrative and other professions comprising our community will be followed. We are responsible and accountable for our actions and are expected to make reasonable efforts to comply with all applicable federal, state and local government laws and regulations. As individuals and as an institution, we also strive to follow ethical business practices and to act as good stewards of the resources made available to us.

## Introduction to the University of Connecticut Code of Conduct

In all its endeavors, the University of Connecticut is dedicated to excellence that is demonstrated through national and international recognition. As Connecticut's public research, **land-grant and sea-grant** university, through freedom of academic inquiry and expression, we create and disseminate knowledge by means of scholarly and creative achievements, graduate and professional education, **and public engagement and service**. Through our focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national and world communities. Through teaching, research, **engagement and service** we embrace diversity and cultivate leadership, integrity and engage citizenship in our students, faculty, staff and alumni. As our state's flagship public land and sea grant institution, we promote the health and well being of Connecticut's citizens through enhancing the social, economic, cultural and natural environments of the state and beyond.

**If you are faced with an ethical issue, you should consult this Code of Conduct as well as current University policies and procedures. You are responsible and accountable for addressing your ethical dilemmas. Consultation with your supervisor, other appropriate colleagues, or the Office of Audit, Compliance & Ethics is appropriate and valued.**

*The Code of Conduct includes "Questions to Ask Yourself" after each set of Standards. These questions are intended to be thought provoking and assist employees by providing examples of matters that each of us may face during our employment with the University. For guidance regarding individual situations that relate to any of these or other questions, please feel free to contact the Office of Audit, Compliance and Ethics.*



## Campus-Wide Standards

The University of Connecticut values all members of its community and recognizes that each person contributes to the overall success of the institution. The University further recognizes that it is through the efforts of its faculty, administrators and staff that it achieves national and international prominence and delivers a world class education to its students. The culture of the University is one of **respect, civility**, trust, cooperation and collaboration among all its members. We believe all members of the University community are entitled to an environment that **ensures** collegiality and mutual respect.

### Conduct of Faculty, Administrators and Staff

- Members of the University community shall perform their duties in a fair and ethical manner in accordance with established policies, procedures and regulations.
- Members of the University community shall carry out their duties with professionalism. The University supports the efforts of its faculty, administrators and staff to achieve and maintain professional standards.
- The University provides equal opportunity and access to its employment, programs, benefits and services.
- Supervisors have a particular responsibility to support the Code of Conduct and to demonstrate compliance within their units.
- Relationships of an inappropriate personal nature between supervisors and those they supervise are prohibited.

### Civility

- The University values an environment that promotes a spirit of civility and collegiality, while fostering open and constructive intellectual debate.
- All members of the University community have a responsibility to treat each other with consideration and respect. Managers and supervisors have an elevated responsibility to demonstrate these behaviors and support their expression in the workplace.
- Engaging in behaviors that harass, intimidate, bully, threaten or harm another member of the University community does not support a respectful and civil work environment.

### Non-Discrimination

- The University encourages and respects diversity within the university community and does not allow discrimination on the basis of age, race, national origin, religion, disability, sex, sexual orientation or any other characteristic protected by law in any activity or operation of the institution.

### Harassment

- The University affirms its dedication to foster a community that condemns all forms of discrimination or acts of intolerance including sexual harassment, intimidation and **retaliation**.

### **Confidentiality**

- Confidentiality of faculty, staff, **patient** and student records is respected and maintained in accordance with University policies and procedures, federal laws and state regulations. We use such records for legitimate purposes only and in accordance with proper authorization.

### **Computer/Telecommunications Use**

- The University's computer and telecommunication networks are University resources that are provided to employees, students and volunteers to allow them to carry out the functions of the institution. Those who use the computer and telecommunication networks are responsible for the appropriate use of these resources. We understand, support and abide by the policies concerning the ethical and responsible use of computers and electronic information at the University of Connecticut.

### **Regulatory Compliance**

- The University of Connecticut Office of Audit, Compliance and Ethics strives to ensure that we meet the highest possible standards where relevant federal, state and local regulations, laws and guidelines are concerned. This office supports ethical conduct by all faculty, administrators and staff and requires ongoing monitoring of policies, procedures and practices. Education is a key component of this program.

### **Health and Safety**

- We are responsible for complying with all workplace safety and health regulations and will report unsafe conditions, equipment or practices to appropriate University officials, as required by law.

### **Conflict of Interest**

- We, as employees of the State of Connecticut, adhere to the guidelines set forth in the Connecticut Code of Ethics for Public Officials, as well as the University's Guide to the State Code of Ethics.
- We will not engage in outside activities which will create an actual conflict of interest and will strive to avoid the appearance of a conflict. If faced with a potential conflict of interest, members of the university community **shall** disclose the nature of the conflict to the appropriate parties.
- We do not accept gifts, including food and beverage, from vendors, lobbyists or any other person or entity that is doing business with or seeking to do business with the University unless permitted under the Connecticut Code of Ethics for Public Officials.
- We do not accept secondary employment that will impair our independence of judgment as to our official duties or which will require us to disclose confidential information.
- We will not use our state positions for personal financial gain beyond our official compensation, or for the financial benefit of our family members or domestic partners.
- We will not use state resources for personal use or for use unrelated to our University responsibilities.

## Questions to Ask Yourself

- *Have I treated others as **they** wish to be treated?*
- *Do I make discriminatory **and harassing** statements?*
- *Have I used my position to intimidate **or isolate** others?*
- *As a faculty member or staff member, should I accept a gift from a student?*
- *Do I frequently use my university telephone for personal phone calls?*
- *Do I use my contacts at the University to help my outside business?*
- ***Do my outside professional activities create an appearance of a conflict of interest?***
- *Do I maintain appropriate professional relationships with students, colleagues, patients, clients and customers?*
- ***Have I used my position to gain employment for a family member?***
- ***Even if I have access to certain records, do I have the authority to view them and/or distribute them to others?***
- ***Do I know what to do if I think that a University record have been accessed inappropriately by someone inside or outside the University?***
- *Do I take shortcuts that create a safety hazard?*

## Education Standards

The University of Connecticut recognizes education as one of its primary missions and strives to maintain a professional environment conducive to the development of its students. To that end, the University believes that the purposes of an educational institution are best served by attracting **and developing** scholars of proven professional and personal competence and integrity and by assuring those teachers and scholars freedom to expand human knowledge and understanding.

- We educate students from a wide range of backgrounds and respect differences in each individual's heritage and goals.
- We respect the individual choices that students make for career paths.
- We respect each student as a valuable individual regardless of age, race, color, nationality, ethnicity, ancestry, marital status, gender, disability, religion, sexual orientation or personal beliefs.
- We acknowledge and support students' rights to question faculty members, the administration and staff in good faith.
- We comply with all applicable statutes and regulations.

Student conduct is governed by the applicable codes of conduct and professional standards of conduct adopted by their schools. While this Code applies primarily to faculty, administrators and staff, its underlying principles are, however, common to codes and regulations governing students.

## Athletics

The Division of Athletics operates a broad-based program of intercollegiate athletics and recreational and intramural opportunities that reflect the ethical philosophy of the University, the interest of the student body and the desires of the University's internal and external constituencies.

- We offer student-athletes the opportunity to excel in academic achievement and athletic accomplishments.
- We foster among our students a sense of citizenship, leadership and social responsibility and encourage adherence to the highest standards of integrity and ethics.
- We promote principles of good sportsmanship, honesty and fiscal responsibility in compliance with University, state, National Collegiate Athletic Association (NCAA) and conference regulations.
- We promote and support the University's comprehensive commitment to diversity and equity, providing equitable opportunity for all students and staff, including women and members of minority groups.

### Questions to Ask Yourself

- *Do I foster an environment that is conducive to learning?*
- *Am I providing each student an equal opportunity to learn?*
- *Do I react negatively when students challenge or critique my interpretation of source material?*
- *Do I protect the privacy of each student's academic record and personal information?*
- *Are my grading practices fair and understood by all of my students?*
- *Do I regularly update my teaching materials?*
- *Am I a role model for my students regarding professional values?*
- *Do I acknowledge and support providing student athletes equitable and appropriate opportunities to excel in academic achievement?*

## Research Principles and Standards

The University of Connecticut is committed to the highest standards of professional conduct and integrity in research. These standards include honesty, trustworthiness, objectivity, accountability, openness, respect and fairness when dealing with other people, a sense of responsibility towards others and loyalty to the ethical principles espoused by our institution.

The University expects these standards to be maintained by all academic, research and relevant support staff, students and their supervisors and other individuals conducting research or involved in the peer review process within or on behalf of the University. Prompt reporting to the appropriate institutional administrative committees of violations of human subjects' protection, laboratory safety, or humane treatment of animals is expected.

We understand that academic freedom is essential to creating an atmosphere in which scholarship flourishes. Promotion of intellectual freedom is consistent with assuring a climate of integrity and the University has the right and the obligation to inquire into all instances of alleged or apparent misconduct in scholarly activities.

### Scholarly Integrity

- We properly collect, record and maintain research data.
- We take responsibility for all publications and presentations of which we are author or co-author.
- We appropriately acknowledge, in publications and presentations, those who have contributed to our research.
- We grant access to our research data to co-investigators involved in generating the data.
- We grant reasonable access to our research equipment and resources to other University investigators involved in research.
- We, the University and its faculty, administrators and staff, do not interfere with the research conducted by students or faculty.
- We do not tolerate plagiarism, falsification, or fabrication of research data, or other scientific misconduct.

### Human Research

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, when performing studies involving human subjects.
- We respect human research participants and are committed to their safety.
- We protect human subjects by securing institutional review and approval for any research.
- We adhere to approved protocols and obtain prospective institutional approval of any changes in those protocols.
- We engage all human subjects, or their appropriate representatives, before initiating a research protocol, in a meaningful informed consent process including explanations of possible risks and benefits.
- We allow potential or current participants to withdraw from a study at any time without prejudice.

- We notify human subjects in a timely fashion of any serious adverse events associated with a human subjects study.
- We conduct appropriate education and training before initiating a human subjects study.

### **Animal Research**

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, regarding the care, transport, maintenance and use of animals.
- We are committed to the humane treatment of animals in research.
- We protect research animals by securing appropriate institutional review and approval for any research.
- We adhere to approved protocols and obtain prospective institutional approval of any changes in those protocols.
- We conduct appropriate education and training before initiating animal research.

### **Laboratory Safety**

- We abide by all federal and state laws and regulations, in addition to the University's policies and procedures, concerning laboratory safety.
- We seek prior approval of appropriate University committees when research involves hazardous chemical substances, bio-hazardous materials or radioactive materials.
- We properly document, store, handle, transport and dispose of radioactive, bio-hazardous and hazardous chemical materials, pharmaceuticals and investigative drugs.
- We participate in appropriate education and training before initiating studies involving such materials.
- We comply with all workplace safety and health regulations and will report unsafe conditions, equipment or practices to our supervisors or other appropriate University officials.
- We attend required instructional and training sessions when dictated by funding or oversight agencies.

### **Research Support**

- We use research funds only for their designated purposes.
- We accurately account for time and effort related to research funding.
- We disclose financial conflicts of interest to University administrators and, as appropriate, manage such conflicts in accordance with existing policies and procedures.
- We properly acknowledge sponsorship of research in our publications and presentations. We disclose inventions produced from our research to the University so that consideration is given to the protection of intellectual property.

## Questions to Ask Yourself

- *Do I work safely in the lab?*
- *Have I received training and approval to use research materials?*
- *Have I collected data and documented my research accurately?*
- *Did I face a conflict of interest today? Does it bias my research?*
- *Do I protect the safety and well-being of my human or animal subjects?*
- *Did I obtain proper consent from my human subjects?*
- *Do I respect the privacy of research participants? Do I appropriately protect the confidentiality of their research data?*



## Public Engagement and Outreach Standards

The primary purpose of public engagement is to serve external constituents in a manner that leads to enhanced teaching and research. Public engagement efforts impact on the reputation of the University. Engaged scholarship, as a component of public engagement, results from public engagement and outreach. It focuses on those activities that promote advanced understanding and creative works in a mutually beneficial manner. Public engagement, which includes outreach and public service, consists of all activities where the University offers its resources, both human and physical, to external constituencies in such a manner where there is a partnership or that engaged scholarship results. These efforts are on behalf of the public good and not for private gain. The term University resource refers to those activities and entities that the University makes available to its various constituencies which may involve a cost to access.

As a land and sea grant university, the University of Connecticut is committed to our mission that includes public engagement as measured by the impact of teaching and research on the world outside of the institution. In the spirit of true partnership, we seek to expand our interactions with groups beyond our campuses in areas of mutual concern and enhance their access to the resources available at the University. In addition to collaborations in the arts and humanities, we encourage constructive partnerships in new areas of interdisciplinary excellence, such as Health and Human Behavior, the Environment, and Human Rights. Through broadened access and reciprocal interaction, we realize synergistic outcomes that further strengthen the University and benefit the people of Connecticut as well as those beyond the state borders.

- We believe the reputation of the University is tied to its responsiveness to the needs of the citizens and communities of the State.
- We reach out to and engage communities in reciprocal partnerships.
- We are respectful of our community members, demonstrate cultural competence in their interactions, and comply with University policies while engaged in and with communities, just as we would on campus.
- We strive for responsible engaged scholarship and community-based programs to the benefit of communities by involving our partners in the planning, execution, and dissemination of the knowledge gained by such programs.
- We translate and disseminate research results to real world applications to address problems.
- We recognize and respect the knowledge and behaviors of our partners as we work in a collaborative environment.
- We effectively communicate these standards and values with the organization.
- We actively engage students in community experiences as part of our service learning priority.

## **Practical Considerations for Public Engagement and Outreach Principles and Standards**

- Have I ensured that the public engagement effort is consistent with the University's mission and vision?
- How do I solicit input regarding community needs when designing, planning, and conducting my engaged scholarship or community-based project?
- How can I work with community members as equal and collaborative partners in all phases of the project, from planning to dissemination of findings, and avoid the perception of using the group for my gain?
- How do I handle the findings of my work to ensure confidentiality when appropriate?
- Am I culturally sensitive to the diverse needs of community members and partners, starting with the selection and training of my University team members?
- How can I prioritize considerations of diversity when designing, planning, and conducting my community-based research or program, identify any barriers to participation, and work to ameliorate or eliminate such barriers?
- How will my actions reflect how the University is viewed in the community?
- How do I manage, use and share resources of the University in a manner that is respectful to partners?
- How do I teach and engage my students in the work of the community as they apply classroom learning to real world situations?

## Patient Care Standards

Clinicians associated with the Health Center, Storrs and regional campuses and other University health care facilities provide compassionate primary and specialty health care in an academic environment. We focus on delivering quality patient care and fostering continuous improvement through scientific knowledge that is shared with patients, colleagues and the public.

- We, each faculty and staff member involved in patient-related activities, are expected to understand and support the applicable Patient's Bill of Rights and Responsibilities.
- We strive to deliver health care that is based on contemporary scientific knowledge and technology.
- We provide educational resources and opportunity for consultations with other health care programs to assist our patients in the planning of their treatment.
- We strive to consider the physical, emotional and spiritual needs of our patients in making our treatment recommendations.
- We do not extend or receive payments or benefits in exchange for referrals. Our health care and referrals are based on the well-being of and best treatment for our patients.
- Patients have a right to ask members of their health care team about the role of students and residents in their care and to receive complete and accurate information. We explain to our patients the importance of the educational mission at the University as it relates to their treatment.
- We provide our patients with information necessary to make informed health care decisions. This includes reviewing medical findings with each patient, as well as discussing alternative treatment options and the associated risks and benefits.
- We prepare clear, honest and accurate patient medical documentation in a timely manner. We maintain the confidentiality of this information in accordance with existing University policies and procedures, federal laws and state regulations, including but not limited to the Health Information Portability and Accountability Act (HIPAA).
- We provide clinical facilities and laboratories to support quality care for our patients. We adhere to appropriate policies and procedures to ensure that we retain certification in all aspects of program function as required by institutional, state and federal regulatory agencies.

## Questions to Ask Yourself

- *Do I demonstrate respect and compassion for my patients and their families?*
- *Was the care that I provided today in the best interest of my patients?*
- *Did I answer my patients' questions to the best of my ability or assist them in obtaining the information they requested?*
- *Do I offer all of the needed resources and services to my patients or assist them in making a referral to obtain those services?*
- *Do I respect the privacy of my patients and protect the confidentiality of their health information?*
- *Did I document my patient care thoroughly and accurately today?*

## **Business, Fiscal and Legal Standards**

The University of Connecticut adheres to established business standards in its conduct as an institution of higher education and as a health care provider. We comply with all applicable federal, state and local government laws and regulations and strive to follow ethical business practice standards. We endeavor to conduct all University business with honesty, integrity, accuracy and fairness.

### **Contracts**

- We strive to make all purchasing decisions based on the best interests of and value to the University. The University follows fair business practices in its contracting.
- We recognize the value of obtaining competitive bids when appropriate, maintaining independence, ascertaining the financial and legal status of vendors and obtaining clear written agreements for services or goods to be purchased.
- We comply with all state guidelines regarding procurement activities. We comply with all laws relating to pricing, competition and business arrangements.

### **Proprietary information**

- In the course of doing business, the University creates and receives information that could directly affect the success of its business ventures or those of its current or prospective business partners. If used inappropriately, this information could unduly benefit individuals who have access to such information. The University depends on the ethical business practices and personal integrity of its employees to protect this information from premature or improper use and disclosure.

### **Physical property and intellectual property, including data**

- The University's physical property includes property that is owned by the University but entrusted to individuals or organizational units within the University. Examples include office and departmental equipment and supplies, vehicles, facilities, cash, reports and records, including clinical and billing records in department offices, computer software, electronic files and data, patents, trademarks and service marks.
- We utilize such resources properly and protect property against loss, theft, misuse and waste.
- Research materials, inventions or devices developed through the use of University resources are the property of the University. Rights to such property may be transferred to other parties (such as commercial sponsors) only with express written authorization. Materials subject to copyright are generally not the property of the University.
- Research data are considered the property of the principal investigator or the joint property of collaborating individuals when research data are generated by a principal investigator working in collaboration with one or more faculty colleagues. Research data generated by postdoctoral fellows, graduate students, research trainees or others who have had significant intellectual input, shall be considered the joint property of the collaborating individuals.
- The use of any form of intellectual property covered by copyright and license agreements and used for face-to-face, distance teaching purposes or a combination of the two, will

comply with copyright law and the terms of the license agreement under which it was obtained. Examples include books, journal articles, newspapers, images, audio, and video in physical or electronic form owned or borrowed by the University or the instructor.

### **Financial Records and Funding Sources**

- We understand that the federal and state governments constitute major funding sources for the University in student financial aid, research and other areas. As such, we acknowledge responsibility for the stewardship of such funds, understanding and complying with federal and state laws and regulations.
- We maintain accurate and timely financial records in accordance with the University's policies and Generally Accepted Accounting Principles. We use appropriate internal financial controls to safeguard assets and to ensure compliance with all internal and external accounting rules and regulations. We cooperate fully with internal and external auditors and regulatory agencies during examinations of all books and records and do not alter or destroy any documents in anticipation of such reviews.
- We, as employees of the University, accurately account for our time and properly document when seeking reimbursement for work-related expenses.
- We charge and bill for patient care services in accordance with third party regulations and applicable state and federal laws. We bill for medically appropriate services that are clearly and accurately documented in the medical record. We submit claims for services in a timely manner. We maintain accurate patient accounts and promptly correct billing errors.
- We acknowledge that clinical care providers, coding personnel and billing staff have a collective responsibility to understand the third party regulations and federal and state laws governing the services they are providing.

## Questions to Ask Yourself

- *Did I document my work clearly, honestly and accurately?*
- *When I sign a document do I understand what I am signing?*
- *Do I understand when the competitive bidding process must be used?*
- *Have I signed a contract without obtaining proper authorization?*
- *Am I wasteful of university supplies?*
- *Was I honest with my coding of patient visits today?*
- *Do I share my computer password with others?*

## **External Relations and University Advancement**

### **Government relations and political activity**

- We depend, as a public institution, upon the support and trust of federal and state officials.
- We will not make representations on behalf of the University without official authorization.
- We do not engage in partisan political activities while on state time nor will we use University resources for the purposes of influencing a political election.
- We adhere to federal and state laws which provide guidance for the political activities of the University employees.

### **Public access to University information**

- We facilitate accurate, ethical and timely news coverage of significant programs and the achievements of faculty, administrators, staff, students and alumni.
- We comply with all federal and state laws and regulations as well as all University policies regarding the release of information about activities of the University, or its employees, students, volunteers, patients or research subjects, carefully balancing privacy rights with the public's interest.

### **University Advancement**

- We recognize that the process of raising charitable funds requires ethical and sensitive interactions with prospective and current donors. Although we may release general information about alumni or other supporters, we respect an individual donor's intent and honor all requests for anonymity.
- We recognize that the primary responsibility for development of prospective donors lies with the University of Connecticut Foundation. The Foundation staff works in cooperation with offices and departments across the University but which is organizationally independent of the University itself.

### **Media Relations**

- We acknowledge that University Communications is the University's primary and official liaisons to the news media – international, national, regional, state and local – and that this department is responsible for initiating, developing and maintaining effective, productive and beneficial relations with the news media in communicating University news and in responding to media requests.
- We respect the individual freedom of faculty, staff and administrators to express their personal opinions on University actions and policies, while also recognizing that University Communications is responsible for coordinating official University comment on all matters regarding the institution.
- We understand that the University encourages its faculty, staff and administrators to serve as members of community panels, boards, civic organizations, professional associations and other similar voluntary associations. An employee assuming such a role is not acting as a spokesperson of the University.



## Graphic Standards

- We recognize that **University Communications is** responsible for establishing and maintaining the University's graphic standards and that specific standards apply to the use of the University's logos and seals.
- We understand that the University has legal rights regarding the use of its name, logos and seals and protected trademarks.

## Questions to Ask Yourself

- *Have I referred media requests to University Communications?*
- *Should I talk "off the record" to a reporter?*
- *When is it appropriate to talk to the media about my research or to comment on the research of others?*
- *Should I speak on behalf of the University to government officials regarding University matters? Can I be identified as a University employee in my political or charitable activities?*
- *Do I maintain clear boundaries between my professional role and my personal activities that are unrelated to the University?*

## Resources, Additional Information and Reporting

The University has established the Office of Audit, Compliance and Ethics to oversee its internal audit and compliance programs and to ensure compliance with applicable laws, regulations, policies and procedures.

### Obtaining Additional Information, Reporting Compliance Concerns and Non-retaliation Policy

- For additional information please refer to the appropriate website or contact the office at the phone numbers or email addresses noted below. If you wish to report suspected violations of laws, regulations, rules, policies, procedures, ethics or any other information you feel uncomfortable reporting to your supervisor or faculty administrator you may also contact the Office of Audit, Compliance and Ethics directly using the phone numbers or email addresses listed below.

#### Storrs and Regional Campuses:

Website: [www.audit.uconn.edu](http://www.audit.uconn.edu)

Phone: (860) 486-4526

Fax: (860) 486-4527

Email: [reportline@uconn.edu](mailto:reportline@uconn.edu)

#### Health Center:

Website: [www.uchc.edu/compliance/index.html](http://www.uchc.edu/compliance/index.html)

Phone: (860) 679-4180

Fax: (860) 679-1608

Email: [compliance.officer@uchc.edu](mailto:compliance.officer@uchc.edu)

- If you wish to report a concern or a suspected violation anonymously you may contact the University's **REPORTLINE** using the contact information below. The **REPORTLINE** is operated by a private (non-University) company. No effort is made to identify the person reporting and no trace of the call is performed. Information received is given to the Compliance Officer for appropriate action. This service is available 24 hours a day, 7 days a week and is staffed by independent specialists trained to obtain complete and accurate information in a confidential manner. If you wish, you may obtain information about the Compliance Office response to your call by following up with the **REPORTLINE** at a later date. To contact the **REPORTLINE**:

#### Storrs and Regional Campuses

Phone: 1-888-685-2637

Web reporting address:

<https://www.compliance-helpline.com/uconncares.jsp>

#### Health Center:

Phone: 1-888-685-2637

## Other Reporting Options

- **State Auditors of Public Accounts**

The Whistle Blower Act, [Section 4-61dd](#) of the Connecticut General Statutes, authorizes the Auditors of Public Accounts to receive information concerning matters involving corruption, unethical practices, violation of State laws or regulations, mismanagement, gross waste of funds, abuse of authority or danger to the public safety occurring in any State department or agency. Upon receiving such information the Auditors are required to review such matter and report their findings and any recommendations to the Attorney General. The Auditors shall not, after receipt of any information from a person under the provisions of this section, disclose the identity of such person without his/her consent unless the Auditors determine that such disclosure is unavoidable during the course of the review. You can file a complaint with the Auditors of Public Accounts by calling **(860) 566-1435** or toll free at **(800) 797-1702**. Website: [www.state.ct.us/ap/](http://www.state.ct.us/ap/)

- **Federal False Claims Act (31 U.S.C. § 3729-3733)**

This act permits a person with knowledge of fraud against the federal government to file a lawsuit on behalf of the government against those that committed the fraud. The person filing the lawsuit is also known as the “whistleblower” or “qui tam” plaintiff. The “qui tam” plaintiff must notify the United States Department of Justice (DOJ) of all information regarding the fraud. If the DOJ takes the case and fraud is proven the “qui tam” plaintiff is entitled to a portion of the money recovered by the federal government. Under the False Claims Act the “qui tam” plaintiff is protected from retaliation that may result from his or her involvement in the case. This is known as Whistleblower Protection.

## Non-Retaliation

- University policy prohibits retaliation if you report in good faith a compliance concern to any supervisor, faculty, administrator, the Compliance Office, the **REPORTLINE** or any appropriate agency outside of the University. If you feel that you have been subject to retaliation, you should contact the Compliance Office immediately. The Compliance Office will respond to all reports in a timely manner in order to resolve any non-compliance and to educate regarding compliance concerns.






University of Connecticut  
*Office of the Provost*

Peter J. Nicholls  
*Provost & Executive  
Vice President for  
Academic Affairs*

February 22, 2011

TO: Members of the Board of Trustees  
FROM: Peter J. Nicholls, Provost   
RE: Five Year Review of Academic Centers and Institutes

The Laws, By-Laws and Rules of the University (Article XIII) require that “All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University’s mission”. I charged a Committee in 2005 to develop criteria for the establishment and review of academic centers and institutes. Based on the guidelines developed by this Committee, all academic centers and institutes at the University of Connecticut will be reviewed over a period not to exceed five years. As a result of the review of the Centers and Institutes Committee, the following are recommended for renewal:

Renewed for five year term:

The Center for Applied Genetics and Technology  
The Center for Education Policy and Analysis  
The Center of Excellence for Vaccine Research  
The Center for the Ecological Study of Perception and Action  
The Center for Regenerative Biology

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University of Connecticut  
*Office of the Provost*

Peter J. Nicholls  
*Provost & Executive  
Vice President for  
Academic Affairs*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Peter J. Nicholls, Provost and Executive Vice President for Academic Affairs

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

Per the Board approved Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit, the procedures associated with this policy may be revised by mutual consent of the Provost and the Vice President for Health Affairs, with notification to the University's Board of Trustees. After discussing with the Consulting Management Committee and the Consulting Oversight Committee, among others, further elaboration regarding what consulting activities are eligible for the accelerated approval process is being made (see the attached).

The original accelerated approval process was intended to provide efficiency in the review and approval of requests to consult. It applied to standard "academic activities", as defined by the department head, and a level of compensation of \$500 or less per activity. The latter was amended in April 2010 to \$1,000 per activity. In part, the low level of compensation reduced the potential for conflict of interest.

Based on past experience with this process, the recommendation is to provide for more predictability and consistency as to what activities are eligible for, and might be expected to be approved, under the accelerated process. The attached elaboration describes a subset of consulting activities that are viewed to have low, if any, risk of conflict of interest or other problems, due to their nature and the nature of the contracting entities provided funding for the activities.

In addition, this elaboration recognizes the Federal government's increasing use of a \$5,000 threshold when considering individual conflicts of interest in research rather than the older \$10,000 level. While the existing threshold for the accelerated process is being raised from \$1,000 per activity to \$5,000 per year from each contracting entity, the corresponding elaboration on what is an eligible activity results in a reduced risk of what is conflict of interest.

These changes will be effective April 1, 2011.

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In 2007, the General Assembly enacted Public Act 07-166, which required modifications to the University policy on consulting. The Public Act provides for an exemption from the State Ethics Code for consulting activities of members of the faculty or members of the faculty bargaining unit. In order to obtain this exemption, the Public Act requires the Board of Trustees to adopt rules and processes to ensure that such members are not inappropriately using proprietary information, the consulting work does not interfere with a member's state duties, and that such members are not inappropriately using their association with the University. The processes must include methods for the disclosure, review and management of conflicts of interest, review and approval of requests to consult by the chief academic officer or his designee, and sanctions and penalties for failure to comply with rules of the program.

The rules and processes of the faculty consulting program are described in two documents: the Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit, and the Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit. The initial Policy document was approved by the Board of Trustees in September 2007 and subsequent revisions must also be approved by the full Board. The Procedures document was created by the Provost and may be revised at the Provost's discretion, but such changes must be presented to the Board of Trustees as an information item.



**Definitions of Activities Eligible for Accelerated Approval**  
 (Yearly compensation from the contracting entity not to exceed \$5,000)<sup>1,2</sup>

#	Activity	AND the Contracting Entity
1	Review of Grant Proposals	U.S. governmental agency (federal or state), non-profit entity, state/national professional society, or higher education unit.
2	Review of a manuscript to be published in a peer review publication.	Any
3	Review of a manuscript to be published in something other than a peer review publication.	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or higher education unit.
4	Review of book chapter.	Any
5	Review of student thesis, membership on a thesis committee, and/or development of a reference or review supporting a promotion-tenure-reappointment decision of another faculty member.	Higher education unit.
6	External program-department-school-institution review.	Higher education unit or accreditation granting agency.
7	Serving as an editor of a journal.	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or higher education unit.
8	Scientific presentation	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or higher education unit.
9	Educational (non-promotional) presentation (limited duration) in which the content, slides, and other materials are controlled by the faculty member.	Any
10	Educational (non-promotional) course/workshop (longer term) that does not compete with University and CE office offerings and in which the content, slides and other materials are controlled by the faculty member.	Any
11	Advice regarding a legal action and/or serving as an expert witness but only when the faculty member was not involved in any aspect of the case while acting as a state employee.	Any
12	Dramatic arts performance (including acting, rehearsals, set design, etc.)	Any
13	Safety or scientific advisory committee of an IRB approved clinical trial.	Any

<sup>1</sup> This cap is tied to the lower of the thresholds used by the NSF and NIH in dealing with Col in research.

<sup>2</sup> The yearly cap does not apply to U.S. and state governmental entities.

# **THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2010 ANNUAL REPORT**

## **SUMMARY**

FY 10 represented the second full year of operation of the University's new consulting program that was implemented in mid FY '08<sup>1</sup>. Based on the University's growing experience with this program, a systematic review was conducted of the University's Consulting Policy and Procedures. This review included faculty, the Faculty Consulting Offices, the Consulting Management Committee, the Office of the Provost, the Office of the Vice President for Health Affairs, and the Faculty Consulting Oversight Committee and led to recommendations that were approved by the Board of Trustees in April 2010.

A detailed list of these changes can be found at [www.consulting.uconn.edu](http://www.consulting.uconn.edu) and include:

- Special rules for part-time faculty (faculty at less than 50% employment have the option of not participating in the program and thereby not being included in the University's carve-out.)
- Modifications to the consulting request form designed to provide more information to the individuals responsible for approving request forms and that make such decision makers more accountable for considering important issues when approving requests.
- Expanding the fast-track approval system from a maximum of \$500 to \$1,000.
- Revisions to the annual reconciliation report.
- Enhancing communications between the faculty member consulting and his/her department head regarding time away during normal work hours.
- Clarifications to the Policy including the definition of "normal work time/days", the "summer prior approval process", and other similar issues.

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 first annual report to the UConn Board of Trustees and to the Legislature in the spring of 2010. This was a positive report. The Oversight Committee continues to monitor all audit reports related to the program and will issue its second annual report early in 2011.

## **CONSULTING MANAGEMENT COMMITTEE**

The Consulting Management Committee (CMC) issued one major ruling in FY 10 which concerned the procedure for assessing whether faculty are competing with the University when engaged in clinical practice as a consulting activity. In addition, the CMC continued to refine the definition of "promotional presentations" as well as situations in which the faculty do not have sufficient control over the educational materials used in the presentations when consulting.

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<sup>1</sup> A full description of the origins of this new system was provided in the FY 08 Annual Report of the University's Consulting Program.

## **PERFORMANCE NUMBERS-STORRS CAMPUS+**

The Faculty Consulting Office (FCO) on the Storrs Campus received 1,310 consulting forms from 498 individuals or 32% of those eligible to consult<sup>2</sup> (Table 1). Of these, 1,275 were approved (97.3% of the total), 13 (1.0%) were withdrawn, and 22 (1.7%) were denied. In FY09, the FCO received 1,374 requests from 517 individuals with 95.7% approved, 3% withdrawn, and 1.3% denied.

All data were analyzed using the information submitted on the FY10 Annual Reconciliation Report. Reconciliation reports were received from all but five individuals who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Six individuals left employment with UConn-Storrs+ and did not complete a report which accounted for 11 activities.

Of the 1,275 approved activities, 1,176 occurred (92.2%), 69 (5.4%) were cancelled, 4 (.3%) were determined to be duplicate requests, and 26 were not reported (2.1%). There were 464 individual faculty members who performed at least one consulting activity during the fiscal year.

### Number of Days During Normal Work Time

The mean amount of time spent consulting during normal work time for this group during this period was 2.54 days, with a median number of 2.0 days (Table 2). Forty-two percent of the faculty who consulted used one full normal work day or less. Only two faculty members (43%) reported using the Provost's maximum of an average of one day per week during normal work hours (39 days for a nine month appointment).

Twelve faculty members (2.6% of those who consulted) indicated on their reconciliation reports that they used more time during the normal work hours than originally estimated (Table 3). The maximum number of additional days was 10.75 with a mean of 2.1 days and a median of 1.0 day. Of these, two were deemed to be material in the overage and appropriate actions have been taken.

## **PERFORMANCE NUMBERS-UCHC CAMPUS**

The FCO on the UCHC Campus received 796 Consulting Forms from 196 individuals (Table 4). Of these, 762 were approved (95.7% of the total), 20 (2.5%) were withdrawn and 14 (1.8%) were denied. In FY 09 the FCO received 790 requests from 171 individuals with 95.9% approved, 3.2% withdrawn, and .9% denied.

Reconciliation reports were received from all but one of those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Five individuals who left employment with UCHC filed reconciliation reports and 2 did not. The latter accounted for 6 activities.

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<sup>2</sup> The total number eligible faculty was obtained from the UConn 2010 Fact Sheet.

Of the 762 approved activities, 688 occurred (90.3%), 72 (9.4%) were cancelled, and 2 (.3%) were determined to be duplicate requests. There were 179 unique faculty members who performed at least one consulting activity during the fiscal year.

#### Number of Days During Normal Work Time

The mean amount of time spent consulting during normal work time was 4.2 days with a median of 2.0 days (Table 5). Thirty-eight percent of the faculty who consulted used one or less normal work days. The maximum number of days used during normal work time was 29 days, far below the Provost's maximum of an average of one day per week during normal work hours.

Five faculty members (2.8% of those who consulted) indicated on their reconciliation reports that they use more time during the normal work hours than originally estimated (Table 6). The maximum number of additional days was 3.0 with a mean of 1.1 days and a median of 1.0 days. Of these, one was deemed to be material in the overage and appropriate actions have been taken.

#### **AUDIT FINDINGS**

By State statute, the consulting program must be audited twice a year by the Office of Audit, Compliance and Ethics. The third audit covering the period of time from January 1, 2009 – June 30, 2009 was completed and released in July 2010. The 4<sup>th</sup> audit for the period of time of July 1, 2009 – December 31, 2009 is underway, but has not yet been released.

The main focus of the third audit dealt with ensuring compliance with the annual reconciliation report requirement and that the program continues to comply with State statute and University Policy concerning consulting. By and large, the auditors found the program to be compliant. However, a number of issues were raised and management agreed to:

- Revise the annual Reconciliation report to include not only consulting requests that were approved but also for those that were denied as well as to improve the process to ensure all reconciliation reports are received on the designated due date rather than soon after that date.
- Ensure that any revisions to previously approved requests to consult are reviewed and approved by all appropriate parties.
- Increase attention placed in determining whether a consulting activity is in competition with the University.
- Use standard wording when issuing sanction letters when requests to consult are denied because they are submitted late and to ensure the Department Head will be sent such letters in addition to the faculty member.

## ISSUES FOR FY '11

- The use of an on-line computer system for handling requests to consult will be explored and if possible implemented. Such a system would have many logistical benefits and should enhance the flow of information between the requestors and those making the decisions whether to approve consulting activities. It will also greatly reduce the possibility of human error when entering data and allow summary reports of previous consulting activities available in a timely manner to the decision makers.
- Continued refinement on how consulting rules apply during periods of sabbatical leaves will take place.
- Additional efforts will be made to increase the transparency of how consulting decisions are made. These will include the development of a new web site, flow diagrams that explain the process, revised training materials, and publishing the CMC's minutes and formal decision position papers.

N. Bull  
S. Wetstone  
11/9/10



Table 2 – Storrs Consulting Requests for Time During Normal Work Hours

Days/faculty	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	VPR	LAW	NURS	PHARM	SW	Other
mean	<b>2.54</b>	2.56	3.36	1.73	2.23	3.20	1.70	4.22	4.00	2.86	2.23	3.74	1.65	1.33
median	<b>2.00</b>	2.00	1.50	1.00	2.00	2.00	2.00	2.00	4.00	1.00	1.00	4.00	1.00	1.00
10 or more	<b>60</b>	-	3	6	18	13	9	1	-	2	1	4	2	1

DEFINITIONS:

\*STORRS CAMPUS: includes Storrs and Regional campuses, School of Social Work and School of Law

SCHOOL/COLLEGE/UNIT

ATHL	Athletics	GRAD	Vice President Research & Graduate Education
BUS	Business	LAW	School of Law
CANR	Agriculture and Natural Resources	NURS	Nursing
CLAS	Liberal Arts & Sciences	PHARM	Pharmacy
ED	Education	SW	School of Social Work
ENG	Engineering	OTHER	Center for Continuing Studies; Ctr Under Grd Ed;
FA	Fine Arts		Library; OMIA; Prov & Exvp Acad Affairs

Table 3 – Storrs Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# of faculty with extra days	12
% of faculty with extra days (2.6%)	
min	0.50
max	10.75
# with a material impact	2

Table 4 – UCHC Requests to Consult

<b>Requests</b>	Total	SoDM	SoM
#	796	101	695
%		12.7%	87.3%
<b>Individual faculty</b>	Total	SoDM	SoM
#	196	32	164
%		16.3%	83.7%
<b>Requests/faculty</b>	Total	SoDM	SoM
mean	4.06	3.16	4.24
median	2.00	2.00	2.00
10 or more requests	17	1	16

Table 5 – UCHC Consulting Time Performed During Normal Work Hours

<b>Days/faculty</b>	Total	SoDM	SoM
mean	4.2	4.0	4.2
median	2.0	2.0	2.0
10 or more	29	3	29



Table 6 – UCHC Reconciliation Report Variances for Time During Normal Work Hours

Effort During Normal Work Days	
# with extra days (%)	5 (2.8%)
min	0.2
max	3.0
# with a material impact	1

**REPORT ON THE UNIVERSITY OF CONNECTICUT'S  
COMPLIANCE WITH PUBLIC ACT 07-166 (Section 12)  
FACULTY CONSULTING PROGRAM<sup>1</sup>  
February 22, 2011  
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 latest revisions to these policies were approved by the Board of Trustees, and the revisions regarding procedures were reviewed by the Board of Trustees in April 2010.

Faculty Consulting Offices (FCOs) were established for Storrs+ and UCHC and have provided an extensive amount of 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 PA 07-166, 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 four times to review the implementation of the consulting program and to review the semi-annual 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, Compliance and Ethics has carried out semi-annual audits as required and as expected have identified areas in which clarifications and improvements have been recommended. The University is addressing each of the issues raised in a timely and appropriate manner.

The Faculty Consulting Oversight Committee has determined that the University of Connecticut is complying with PA 07-166. The oversight required by the Act, including the Faculty Consulting Oversight Committee itself and the audits, has and should continue to enable ongoing review and improvement of the program.

In the spirit of a continuing quality improvement philosophy, the Oversight Committee has made three recommendations for implementation over the next year. These include more customized, face to face training sessions for department heads, an elaboration of activities eligible for the accelerated approval process, and changing the audit schedule required by PA 07-166.

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<sup>1</sup> The University had developed a consulting web site ([consulting.uconn.edu](http://consulting.uconn.edu)) that includes the University's policy and procedures, training materials, request form, and minutes/actions of the Consulting Management Committee.

To date, the program, its policies, procedures, and implementation have resulted in a system that pro-actively identifies and manages potential conflicts of interest. It should be noted that an 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), 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. It should be noted that 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. The implementation procedures were subsequently amended on December 4, 2007 and both the policy and procedures revised again in April 2010.

The new consulting system became fully operational on December 15, 2007. Since that time, both the Storrs Campus and the Health Center have each established a Faculty Consulting Office (FCO) with reporting lines and staffing. Usage data systems have been developed by each FCO. Further, both campuses have developed on-line and live training programs.

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). Consulting may not negatively impact the faculty member’s ability to fully and satisfactorily address his/her assigned job duties. 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 will retain jurisdiction over the activity and have the responsibility for determining whether it complies with the State Code of Ethics and whether sanctions should be imposed. Violations of the University's Consulting Policy and Procedures will in addition be subject to sanctions issued by the University which may result in termination.

### **CONSULTING MANAGEMENT COMMITTEE (CMC)**

As required by the implementation procedures, President Hogan appointed the University's Consulting Management Committee (CMC) on December 10, 2007. The CMC is authorized to review and recommend disposition of certain consulting situations that do not have obvious resolution. The CMC also offers input on unforeseen situations put before it that may arise as a result of consulting activities. To date, the CMC provided advice to the directors of the Faculty Consulting Offices on an ad hoc basis, and also 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.

### **SEMIANNUAL AUDITS**

As required in PA 07-166, the University's Office of Audit, Compliance and Ethics has conducted and finalized two audits to date with the data collection of the third audit underway. Per standard practice, management has had the opportunity to provide responses to each audit finding and recommendation.

The latest audit for the period of time of July 1, 2008 through June 30, 2009 has been reviewed by the Board of Trustees Joint Audit and Compliance Committee (members of the committee come from the Board of Trustees and the University of Connecticut Health Center's Board of Directors) and the Faculty Consulting Oversight Committee (see below).

### **FACULTY CONSULTING OVERSIGHT COMMITTEE**

As required in PA 07-166, the Faculty Consulting Oversight committee continues to meet to review the University's compliance with PA 07-166, and to file annual reports regarding such compliance with the University's Board of Trustees and to the Legislature. This document is the second of such reports. 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:

<b>Name</b>	<b>Background</b>
Archambault Jr., F.	Professor Emeritus
Clemons, T.	Former Legislator
Dennis-Lavigne A.	Member, Board of Trustees
Freedman, J. (chair)	Former Legislator
Lowe, C.	Department Head, Psychology
McFadden, P.	Professor Emeritus
Bull, N.	Vice Provost
Pawelkiewicz, W.	Former Legislator
Riley, D.	Member, Citizens' Ethics Advisory Board

The Committee met on November 17, 2010 and January 26, 2011. It has reviewed the latest final audit report (July 1, 2008 through June 30, 2009) and the 2010 annual report of the Faculty Consulting Offices

The Committee believes the program was effectively initiated and through on-going revisions has been improved. In fact, in many regards the program is more rigorous than how consulting is handled for other State employees not covered by PA 07-166, especially through the requirement for approval prior to the consulting activities taking place.

The 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. The University is exploring the development of on-line request form/approval process. All of these should ensure complete compliance with PA 07-166.

The initial implementation of the consulting program, both in terms of logistics and compliance, has met initial expectations. There have been areas of different interpretations regarding the requirements of PA 07-166 and the University's Policy and Procedures. The audit processes in place appear to be working to identify such areas and to report them to senior management and to the Faculty Consulting Oversight Committee. Management has demonstrated its willingness to address the audit findings in a timely manner. Management appears to be keenly aware of the need to fully comply with PA 07-166, but that as a new program, this program is a work in progress that requires monitoring and revision as necessary.

Recommendations for Improvement:

- 1) The Faculty Consulting Offices should develop and administer customized, in-person training sessions for department heads that include details on how to determine if a proposed consulting activity might be competing with University for work it would choose to perform and the meaning of the various attestations the department head must sign in approving a request to consult form.. Attendance at such training sessions should be reported to the attendee's respective dean.

- 2) The Board of Trustees should approve the proposed elaboration of activities eligible for the accelerated approval process. This elaboration specifically describes routine academic activities and acceptable funding sources (as presented to the Oversight Committee), will bring the University into alignment with the shifting Federal threshold for Conflict of Interest in Research (\$5,000), and it will enhance the clarity and predictability on which academic activities the University will be approving.
- 3) After consultation with the Office of State Ethics, the chair of the Oversight Committee should meet with the co-chairs of the Legislature's Higher Education and Government and Administration committees and propose the semi-annual audits mandated by PA07-166 be reduced to a single annual audit. This reduced audit schedule is viewed to be a more efficient and effective use of audit office resources and should have no less, if not actually more, value than a twice a year schedule.

### **VOLUME OF CONSULTING ACTIVITIES**

In FY '10, the second full year of operations, the Faculty Consulting Office on the Storrs Campus received 1,310 requests to consult from 498 individuals. These requests represent very slight declines from FY '09. The Health Center's office received 796 requests (on par with FY '09) from 196 individuals. (~ a 10% increase). Both campuses had over a 99% response rate with the required reconciliation reports from those individuals who had filed requests to consult. The FY'10 annual report of the University's Faculty Consulting Program is attached.





University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard M. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Beach Hall Renovations – Façade and Roof Repair  
(Planning: \$2,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget of \$2,000,000 for the planning, design and construction of exterior repairs to the façade of Beach Hall.

BACKGROUND:

Beach Hall is a 103,000 square foot office, laboratory and classroom building built in 1929. The building is on the National Historic Register. The intent of this project is to repair the façade and roof. New windows were previously installed in the building.

The University commissioned an architect to determine the scope and preliminary estimate for the repair work. The architect identified significant deterioration of the brick and roof. This work will start in fall 2011.

This Planning Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070



## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: PLANNING**

**PROJECT NAME: BEACH HALL RENOVATIONS - FAÇADE AND ROOF REPAIR**

<b><u>BUDGETED EXPENDITURES</u></b>	<b>PROPOSED PLANNING 2/22/2011</b>
CONSTRUCTION	\$ 1,550,000
DESIGN SERVICES	100,000
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	50,000
OTHER AE SERVICES (including Project Management)	68,000
ART	-
RELOCATION	-
ENVIRONMENTAL	21,000
INSURANCE AND LEGAL	5,500
MISCELLANEOUS	5,500
OTHER SOFT COSTS*	-
<b>SUBTOTAL</b>	<b>\$ 1,800,000</b>
PROJECT CONTINGENCY	200,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 2,000,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>	
UCONN 2000 PHASE III	\$ 2,000,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 2,000,000</b>

\*Does not include Furniture, Fixtures and Equipment.





University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Fellman  
Vice President and Chief Operating Officer

Richard M. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Bishop Renovation – Mechanical System  
Improvements and Façade Modifications (Planning: \$2,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget of \$2,000,000 for the planning, design and construction of mechanical system improvements and façade modifications to the Merlin D. Bishop Center.

BACKGROUND:

The Bishop Center is a 36,200 square foot office and classroom building built in 1971.

The building has a history of mechanical and heat distribution issues related to the original design. The University commissioned a mechanical engineer to analyze the issues and recommend solutions. The engineer found old equipment that is in need of replacement and out of date interior controls. The equipment is roof mounted which has caused some water problems with the roof. The University intends to use a design team to correct these problems. This work is planned to start in spring 2012.

This Planning Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

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## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: PLANNING**

**PROJECT NAME: BISHOP RENOVATION - MECHANICAL SYSTEM IMPROVEMENTS & FAÇADE MODIFICATIONS**

<b><u>BUDGETED EXPENDITURES</u></b>	<b><u>PROPOSED PLANNING 2/22/2011</u></b>
CONSTRUCTION	\$ 1,550,000
DESIGN SERVICES	120,000
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	40,000
OTHER AE SERVICES (including Project Management)	50,000
ART	-
RELOCATION	-
ENVIRONMENTAL	15,000
INSURANCE AND LEGAL	6,000
MISCELLANEOUS	19,000
OTHER SOFT COSTS*	-
<b>SUBTOTAL</b>	<b>\$ 1,800,000</b>
PROJECT CONTINGENCY	200,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b><u>\$ 2,000,000</u></b>
<b><u>SOURCE(S) OF FUNDING</u></b>	
UCONN 2000 PHASE III	<u>\$ 2,000,000</u>
<b>TOTAL BUDGETED FUNDING</b>	<b><u>\$ 2,000,000</u></b>

\*Does not include Furniture, Fixtures and Equipment.





University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard M. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Law School Renovations/Improvements – Starr, Chase  
and Knight Halls Building Envelope Repair (Planning: \$2,517,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget of \$2,517,000 for the planning, design and construction of exterior repairs to the façade of the William F. Starr Hall, Cheryl A. Chase Hall and Knight Hall on the School of Law in Hartford.

BACKGROUND:

Starr Hall (50,750 square feet), Chase Hall (19,500 square feet) and Knight Hall (13,500 square feet) are office and classroom buildings on the Law School Campus. The buildings are on the National Historic Register. The intent of this project is to repair façade deterioration and roofs of the three buildings.

The University previously commissioned an architect to determine the scope and preliminary estimate for the repair work. The architect identified significant issues with the facades of all three buildings. The most pressing issues have been corrected. This project will address the remaining problems. Work is planned to start in fall 2011.

This Planning Budget is attached for your consideration and approval.

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352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: PLANNING**

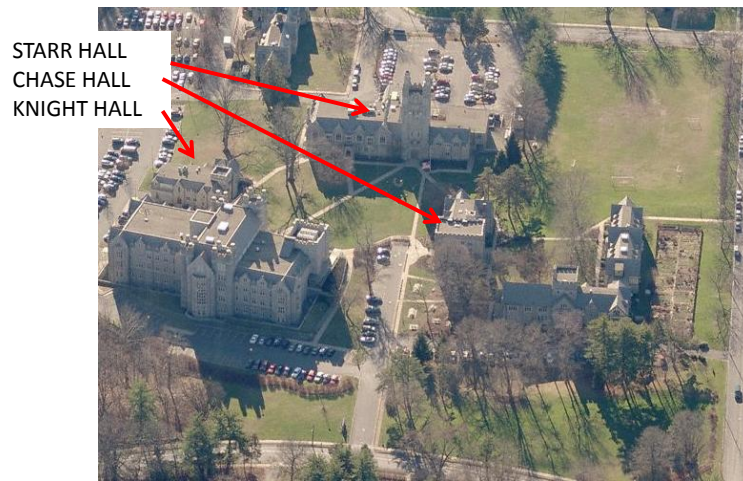
**PROJECT NAME: LAW SCHOOL RENOVATIONS/IMPROVEMENTS - STARR, CHASE & KNIGHT  
HALLS ENVELOPE REPAIR**

<b><u>BUDGETED EXPENDITURES</u></b>	<b>PROPOSED PLANNING 2/22/2011</b>
CONSTRUCTION	\$ 2,035,000
DESIGN SERVICES	130,000
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	40,000
OTHER AE SERVICES (including Project Management)	57,250
ART	-
RELOCATION	15,000
ENVIRONMENTAL	6,000
INSURANCE AND LEGAL	3,750
MISCELLANEOUS	-
OTHER SOFT COSTS*	-
<b>SUBTOTAL</b>	<b>\$ 2,287,000</b>
PROJECT CONTINGENCY	230,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 2,517,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>	
UCONN 2000 PHASE III	\$ 2,517,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 2,517,000</b>

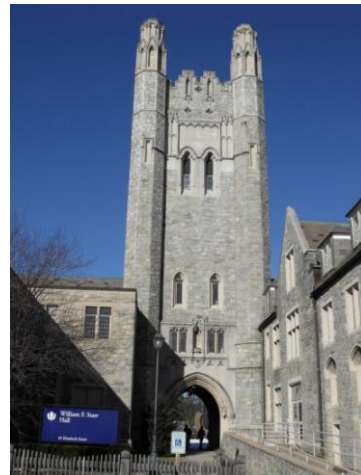
\*Does not include Furniture, Fixtures and Equipment.

LAW SCHOOL RENOVATIONS/IMPROVEMENTS – STARR, CHASE,  
KNIGHT HALLS, ENVELOPE REPAIR  
Project Budget (PLANNING)  
02/22/11

LAW SCHOOL CAMPUS



TYPICAL PROBLEMS









University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard M. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Manchester Hall Renovation – Building Envelope Repair  
(Planning: \$2,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget of \$2,000,000 for the planning, design and construction of exterior repairs to the façade of Harry Grant Manchester Hall.

BACKGROUND:

Manchester Hall is a 28,500 square foot office and classroom building built in 1940. The building is on the National Historic Register. The intent of this project is to repair the façade and roof.

The University intends to commission an architect to determine the scope and preliminary estimate for the repair work. This work will start in spring 2012.

This Planning Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: PLANNING**

**PROJECT NAME: MANCHESTER HALL RENOVATION - ENVELOPE REPAIRS**

<b><u>BUDGETED EXPENDITURES</u></b>	<b>PROPOSED PLANNING 2/22/2011</b>
CONSTRUCTION	\$ 1,600,000
DESIGN SERVICES	85,000
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	40,000
OTHER AE SERVICES (including Project Management)	22,000
ART	-
RELOCATION	-
ENVIRONMENTAL	17,000
INSURANCE AND LEGAL	6,000
MISCELLANEOUS	30,000
OTHER SOFT COSTS*	-
<b>SUBTOTAL</b>	<b>\$ 1,800,000</b>
PROJECT CONTINGENCY	200,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 2,000,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>	
UConn 2000 PHASE III	\$ 2,000,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 2,000,000</b>

\*Does not include Furniture, Fixtures and Equipment.

MANCHESTER HALL RENOVATION  
– BUILDING ENVELOPE REPAIR  
Project Budget (PLANNING)  
02/22/11

MANCHESTER HALL







University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: ~~Members of the Board of Trustees~~

FROM: ~~Barry M. Feldman~~  
Vice President and Chief Operating Officer

~~Richard D. Gray~~  
Vice President and Chief Financial Officer

RE: Project Budget for Pedestrian Safety Improvements – Phase I  
(Planning: \$1,890,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$1,890,000 for the design and construction of Pedestrian Safety Improvements – Phase I.

BACKGROUND:

The University recently completed a Landscape Master Plan and is finalizing an Access Management Plan for buildings on the main campus. The Access Management Plan provides a template for pedestrian safety, service, loading, trash removal and other related access issues for individual buildings. The plans have identified areas on campus that have pedestrian and vehicular conflicts that require reconfiguration. This is required to provide clear pathways for pedestrians while accommodating the service needs of buildings. The first area designated is a quadrangle between the School of Business, Information Technologies Engineering Building (ITEB), Connecticut Commons and the Whetton Building off of Hillside Road.

The University has retained a landscape architect to design the area to conform with recommendations from the planning studies and work with user groups affected by the project.

This Planning Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## **CAPITAL PROJECT BUDGET REPORTING FORM**

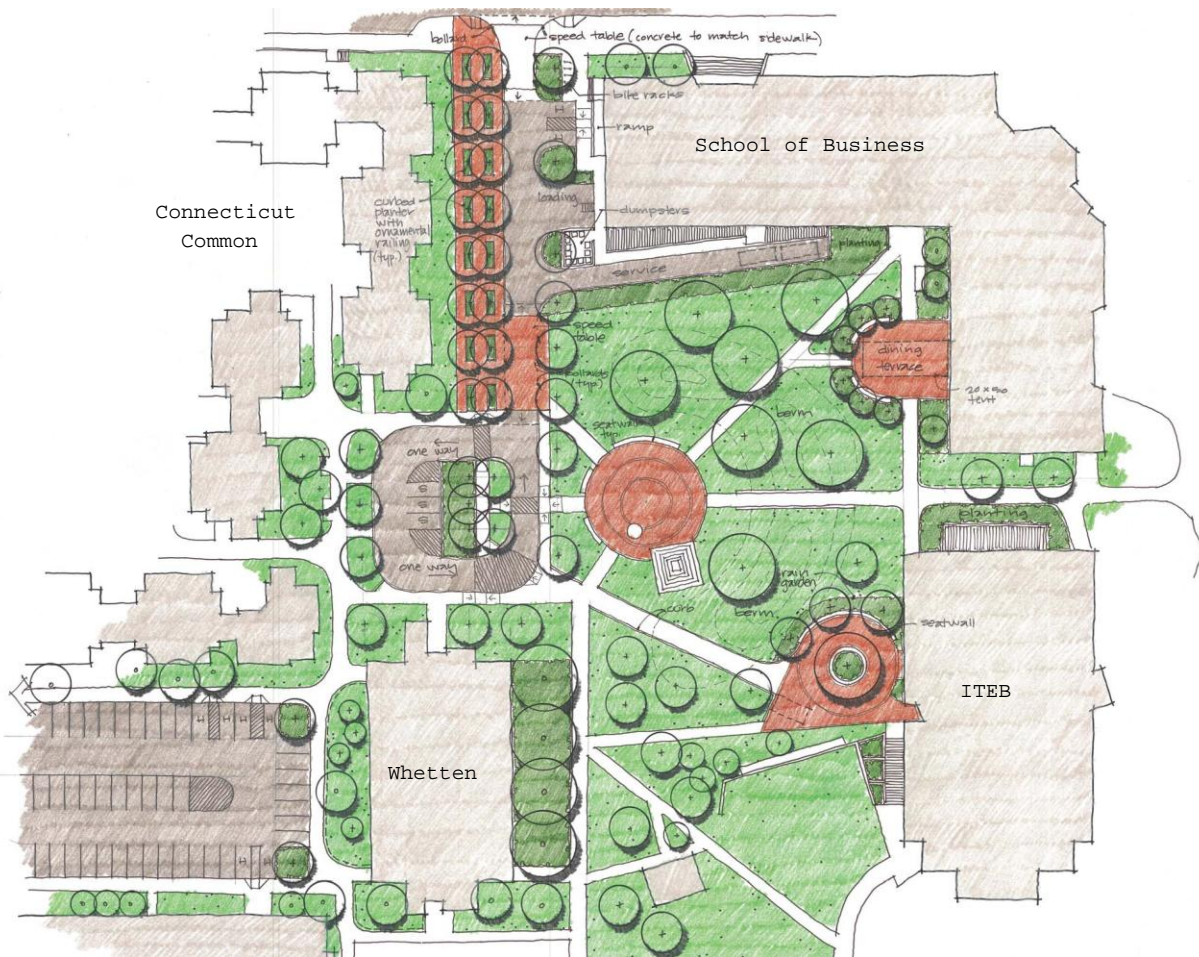
**TYPE BUDGET: PLANNING**

**PROJECT NAME: PEDESTRIAN SAFETY IMPROVEMENTS - PHASE I**

<b><u>BUDGETED EXPENDITURES</u></b>		<b>PROPOSED PLANNING 2/22/2011</b>
CONSTRUCTION	\$	1,523,000
DESIGN SERVICES		135,000
TELECOMMUNICATIONS		-
FURNITURE, FIXTURES AND EQUIPMENT		-
CONSTRUCTION ADMINISTRATION		-
OTHER AE SERVICES (including Project Management)		-
ART		-
RELOCATION		-
ENVIRONMENTAL		-
INSURANCE AND LEGAL		-
MISCELLANEOUS		-
OTHER SOFT COSTS*		45,000
<b>SUBTOTAL</b>	<b>\$</b>	<b>1,703,000</b>
PROJECT CONTINGENCY		187,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$</b>	<b>1,890,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>		
UConn 2000 PHASE III - FY07 DM	\$	15,000
UConn 2000 PHASE III - FY11 DM		1,875,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$</b>	<b>1,890,000</b>

\*Does not include Furniture, Fixtures and Equipment.

PEDESTRIAN SAFETY IMPROVEMENTS –  
PHASE I  
Project Budget (Planning)  
02/22/11









University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard D. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Gant Building Renovations – Phase I  
(Revised Planning: \$2,310,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Planning Budget of \$2,310,000 for design and renovation of the Edward V. Gant Science Complex.

BACKGROUND:

The Gant Complex encompasses over 280,000 square feet in four interconnected wings. The major occupants of the building are the Physics and Mathematics Departments, the Institute of Materials Sciences (IMS), and the University Computer Center. Except for the 26,000 square foot addition built in 2002, the bulk of the building was constructed between 1970 and 1974. The building will require significant repair and alterations over the remaining years of the UCONN 2000 program.

The primary scope of work of this project is to address problems common to the entire building. This includes façade and roof repairs, fume hood replacement, new central cooling, installation of energy efficient HVAC units, and new windows. An architectural team has been retained and has provided a pre-planning study that will serve as the template for the renovation project's scope, budget and phasing. This study has identified an immediate need to replace roofs and upgrade critical mechanical and electrical systems. Design is ongoing and construction is anticipated to take place later in the year. It is anticipated that design and renovation activities will take place throughout the next several years.

This Revised Planning Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED PLANNING

PROJECT NAME: GANT BUILDING RENOVATIONS - PHASE I

	APPROVED PLANNING 11/23/2009 by VP&CFO	APPROVED REVISED PLANNING 2/18/2010	PROPOSED REVISED PLANNING 2/22/2011
<b><u>BUDGETED EXPENDITURES</u></b>			
CONSTRUCTION	\$ -	\$ 200,000	\$ 1,000,000
DESIGN SERVICES	350,000	720,000	820,000
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	4,000	100,000	100,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	-	30,000	30,000
MISCELLANEOUS	42,000	89,000	89,000
OTHER SOFT COSTS*	-	40,000	40,000
<b>SUBTOTAL</b>	<b>\$ 396,000</b>	<b>\$ 1,179,000</b>	<b>\$ 2,079,000</b>
PROJECT CONTINGENCY	44,000	131,000	231,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 440,000</b>	<b>\$ 1,310,000</b>	<b>\$ 2,310,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>			
UConn 2000 PHASE III	\$ 440,000	\$ 1,310,000	\$ 2,310,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 440,000</b>	<b>\$ 1,310,000</b>	<b>\$ 2,310,000</b>

\*Does not include Furniture, Fixtures and Equipment.

# GANT BUILDING RENOVATIONS – PHASE I

Project Budget (Revised Planning)

02/22/11



← **Gant Building - East**

**Gant Building - West** →







University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Heikman  
Vice President and Chief Operating Officer

Richard Gray  
Vice President and Chief Financial Officer

SUBJECT: Project Budget for Floriculture Greenhouse (Final: \$5,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$5,000,000 for the Floriculture greenhouse project.

BACKGROUND:

The Floriculture greenhouses were constructed in 1953 and encompass 23,750 square feet of greenhouse, office and small classroom space. The greenhouses are a vital portion of the College of Natural Resource's Plant Science Program.

The purpose of this project is to renovate or partially replace the greenhouses and upgrade the head house to meet life safety codes and programmatic needs developed by the Plant Science Department. The project will provide for systems replacement of the headhouse, improved academic spaces, and a new research greenhouse. The University has prequalified General Contractors and released the project for bidding as a general contractor type of construction contract. Bids are expected on February 10, 2011.

This Final Budget is attached for your consideration and approval.

Attachment

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: FINAL**

**PROJECT NAME: FLORICULTURE GREENHOUSE**

	<b>APPROVED PLANNING 6/24/2008</b>	<b>APPROVED REVISED PLANNING 9/22/2009</b>	<b>APPROVED DESIGN 9/21/2010</b>	<b>PROPOSED FINAL 2/22/2011</b>
<b><u>BUDGETED EXPENDITURES</u></b>				
CONSTRUCTION	\$ 2,215,000	\$ 3,690,000	\$ 3,700,000	\$ 3,810,000
DESIGN SERVICES	250,000	550,000	475,000	450,000
TELECOMMUNICATIONS	-	-	75,000	50,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	106,500
CONSTRUCTION ADMINISTRATION	-	-	-	-
OTHER AE SERVICES (including Project Management)	25,000	75,000	85,000	127,045
ART	-	-	-	-
RELOCATION	-	-	-	-
ENVIRONMENTAL	50,000	50,000	50,000	60,000
INSURANCE AND LEGAL	10,000	10,000	10,000	5,500
MISCELLANEOUS	-	-	105,000	22,955
OTHER SOFT COSTS*	150,000	125,000	-	-
<b>SUBTOTAL</b>	<b>\$ 2,700,000</b>	<b>\$ 4,500,000</b>	<b>\$ 4,500,000</b>	<b>\$ 4,632,000</b>
PROJECT CONTINGENCY	300,000	500,000	500,000	368,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 3,000,000</b>	<b>\$ 5,000,000</b>	<b>\$ 5,000,000</b>	<b>\$ 5,000,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>				
UConn 2000 PHASE III	\$ 3,000,000	\$ 5,000,000	\$ 5,000,000	\$ 5,000,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 3,000,000</b>	<b>\$ 5,000,000</b>	<b>\$ 5,000,000</b>	<b>\$ 5,000,000</b>

\*Does not include Furniture, Fixtures and Equipment.

BOT 2.22.11

901367

# FLORICULTURE GREENHOUSE

## Project Budget (Final)

02/22/11



Chamney Architects LLC  
1100 Chapel Street  
New Haven, CT 06511  
Tel: 203.333.1234  
Fax: 203.333.1235



University of Connecticut  
*Floriculture Building*  
1395 Shennecossett Road  
Storrs, Connecticut

Street View Looking West  
02/22/11



Chamney Architects LLC  
1100 Chapel Street  
New Haven, CT 06511  
Tel: 203.333.1234  
Fax: 203.333.1235



University of Connecticut  
*Floriculture Building*  
1395 Shennecossett Road  
Storrs, Connecticut

Street View Looking Southwest  
02/22/11







University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard M. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Storrs Hall Addition (Final: \$13,400,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$13,400,000 for the planning, design and addition to the Augustus Storrs Hall Building.

BACKGROUND:

The School of Nursing is housed in the 35,000 square foot Storrs Hall (circa 1908) and in a 4,000 square foot modular building. The modular building was installed to replace the old Nursing Cottage. This project replaces the modular building and fulfills the need for additional space, by providing student-centered space necessary to prepare students for the 21<sup>st</sup> century health care environment.

The new 15,800 square foot addition will allow for the development of student functions such as individual exam rooms, clinical simulation rooms and a case study room. New technology will allow teachers to instruct entire levels of students in one section as they witness and benefit from the practice of others. Broadcast ability among the simulation rooms and case study room allows creative use of technology, and can expand collaborations with scholars and scientists located on other campuses. The Final Budget includes funds to repair flooring and other improvements on the 1908 Storrs Hall building not completed under the previous construction project.

The University has hired a Construction Manager at Risk to manage the construction and renovation, which is expected to begin in March 2011 and be completed by June 2012.

This Final Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: FINAL**

**PROJECT NAME: STORRS HALL ADDITION**

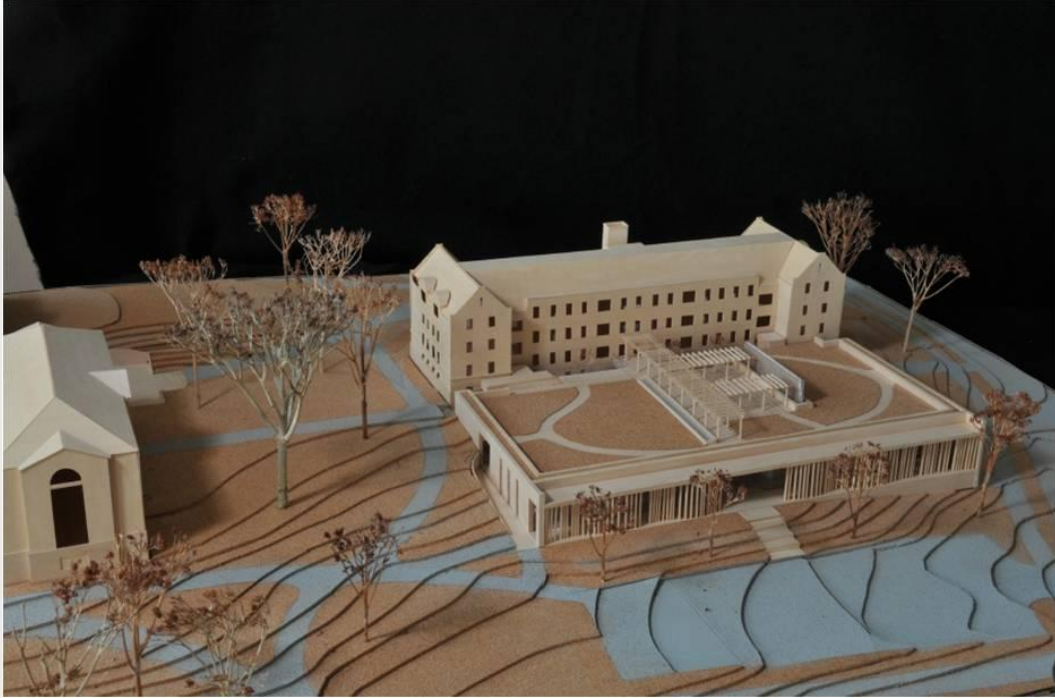
<b><u>BUDGETED EXPENDITURES</u></b>	<b>APPROVED PLANNING 8/1/2007</b>	<b>APPROVED REVISED PLANNING 6/23/2009</b>	<b>APPROVED DESIGN 9/21/2010</b>	<b>PROPOSED FINAL 2/22/2011</b>
CONSTRUCTION	\$ 5,000,000	\$ 9,850,000	\$ 9,540,000	\$ 9,775,000
DESIGN SERVICES	550,000	1,096,000	1,096,000	1,095,970
TELECOMMUNICATIONS	-	307,000	307,000	307,000
FURNITURE, FIXTURES AND EQUIPMENT	-	402,000	402,000	540,000
CONSTRUCTION ADMINISTRATION	-	-	-	-
OTHER AE SERVICES (including Project Management)	-	338,000	385,000	395,800
ART	-	70,000	70,000	96,000
RELOCATION	-	100,000	100,000	10,000
ENVIRONMENTAL	-	70,000	70,000	118,000
INSURANCE AND LEGAL	-	30,000	30,000	15,000
MISCELLANEOUS	-	25,000	50,000	53,230
OTHER SOFT COSTS*	814,000	312,000	-	-
<b>SUBTOTAL</b>	<b>\$ 6,364,000</b>	<b>\$ 12,600,000</b>	<b>\$ 12,050,000</b>	<b>\$ 12,406,000</b>
PROJECT CONTINGENCY	636,000	1,400,000	1,350,000	994,000
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 7,000,000</b>	<b>\$ 14,000,000</b>	<b>\$ 13,400,000</b>	<b>\$ 13,400,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>				
UConn 2000 PHASE III	\$ 7,000,000	\$ 14,000,000	\$ 13,400,000	\$ 13,400,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 7,000,000</b>	<b>\$ 14,000,000</b>	<b>\$ 13,400,000</b>	<b>\$ 13,400,000</b>

\*Does not include Furniture, Fixtures and Equipment.

# STORRS HALL ADDITION

Project Budget (Final)

02/22/11







University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Pailman  
Vice President and Chief Operating Officer

Richard D. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for Gant IMS Fire Alarm Replacement  
(Revised Final: \$1,372,000)

RECOMMENDATION:

That the Board of Trustees approve a Revised Final Budget in the amount of \$1,372,000 for the replacement of the existing fire alarm systems in the Gant Building Complex including the Physics, IMS and Math wings.

BACKGROUND:

The Gant Complex is a 284,000 square foot laboratory, classroom and office building constructed in 1974. This proposed project includes the complete removal and replacement of the outdated fire alarm detection and notification systems. The new system was designed and installed to accommodate future expansion and modification of the system which will occur during the Gant renovation project.

The scope of work specified that the existing first floor fire alarm cable was to be re-used as part of the project. During the final phase of construction, this cable was discovered to be speaker wire, which is non code compliant and must be replaced with appropriately rated fire alarm cable. This has added requirements to the project resulting in increased time and cost to complete the project. The UConn Fire Marshal has required the installation of additional audio visual devices, smoke detectors and magnetic hold open devices at locations which were not originally specified for the project. This has resulted in an estimated increase of \$250,000 to the project. This brings the total budget to \$1,372,000.

This Revised Final Budget is attached for your consideration and approval and is based on bids for the work.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: REVISED FINAL**

**PROJECT NAME: GANT IMS FIRE ALARM REPLACEMENT**

	<b>APPROVED FINAL 6/23/2009</b>	<b>PROPOSED REVISED FINAL 2/22/2011</b>
<b><u>BUDGETED EXPENDITURES</u></b>		
CONSTRUCTION	\$ 780,000	\$ 1,071,130
DESIGN SERVICES	5,000	5,800
TELECOMMUNICATIONS	1,000	1,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	150,000	166,000
OTHER AE SERVICES (including Project Management)	30,000	21,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	30,000	30,000
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	12,000	12,000
OTHER SOFT COSTS*	-	-
<b>SUBTOTAL</b>	<b>\$ 1,008,000</b>	<b>\$ 1,306,930</b>
PROJECT CONTINGENCY	114,000	65,070
<b>TOTAL BUDGETED EXPENDITURES</b>	<b>\$ 1,122,000</b>	<b>\$ 1,372,000</b>
<b><u>SOURCE(S) OF FUNDING</u></b>		
UNIVERSITY PLANT FUNDS	\$ 1,122,000	\$ 1,122,000
UConn 2000 PHASE III - FY11 DM	-	250,000
<b>TOTAL BUDGETED FUNDING</b>	<b>\$ 1,122,000</b>	<b>\$ 1,372,000</b>

\*Does not include Furniture, Fixtures and Equipment.







University of Connecticut  
*Office of the Vice President and  
Chief Financial Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

Richard D. Gray  
Vice President and Chief Financial Officer

RE: Project Budget for West Hartford Campus Renovations/Improvements –  
Student Lounge and Office Relocation (Revised Final: \$839,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$839,000 for the planning, design and construction related to the renovation of the Student Lounge at the West Hartford Campus.

BACKGROUND:

The existing student lounge is located on the third floor of the Undergraduate Building that is the proposed location of the chemistry lab. The selected area for the proposed new student lounge is on the first floor, adjacent to other common areas such as the food service operation and the CoOp. This project will not start until the proposed new chemistry lab project is completed. The proposed new student lounge location is currently occupied by offices. The office area will eventually be relocated to the area vacated by the chemistry lab as a separate project. The project has been competitively bid. The bids resulted in qualified bids that resulted in an increase to the previously approved budget. The bids were extremely competitive, with thirteen (13) bids received with two low bids tied at \$587,000; the next lowest bid was only \$4,000 above the low bids. The closeness of the bids indicates that the estimate prepared by the University's consultant was optimistic and that additional bidding would not result in a lower cost.

This Revised Final Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455  
Facsimile: (860) 486-1070

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET:**    **REVISED FINAL**

**PROJECT NAME:**    **WEST HARTFORD CAMPUS RENOVATIONS/IMPROVEMENTS - STUDENT LOUNGE AND OFFICE RELOCATION**

	<b>APPROVED PLANNING 2/18/2010</b>	<b>APPROVED REVISED PLANNING 6/10/2010</b>	<b>APPROVED FINAL 1/26/2011</b>	<b>PROPOSED REVISED FINAL 2/22/2011</b>
<b><u>BUDGETED EXPENDITURES</u></b>				
CONSTRUCTION	\$ 460,000	\$ 410,000	\$ 410,000	\$ 590,000
DESIGN SERVICES	55,000	49,200	49,200	50,000
TELECOMMUNICATIONS	8,000	8,000	8,000	12,000
FURNITURE, FIXTURES AND EQUIPMENT	76,000	76,000	76,000	76,000
CONSTRUCTION ADMINISTRATION	70,000	65,000	65,000	-
OTHER AE SERVICES (including Project Management)	21,250	16,500	16,500	23,000
ART	-	-	-	-
RELOCATION	20,000	20,000	20,000	10,000
ENVIRONMENTAL	12,000	12,000	12,000	5,000
INSURANCE AND LEGAL	2,500	2,500	2,500	4,000
MISCELLANEOUS	14,500	14,500	14,500	8,500
OTHER SOFT COSTS*	-	-	-	-
<b>SUBTOTAL</b>	<b>\$ 739,250</b>	<b>\$ 673,700</b>	<b>\$ 673,700</b>	<b>\$ 778,500</b>
PROJECT CONTINGENCY	85,750	76,300	76,300	60,500
<b>TOTAL BUDGETED EXPENDITURES</b>	<b><u>\$ 825,000</u></b>	<b><u>\$ 750,000</u></b>	<b><u>\$ 750,000</u></b>	<b><u>\$ 839,000</u></b>
<b><u>SOURCE(S) OF FUNDING</u></b>				
UCONN 2000 PHASE III	\$ 825,000	\$ 750,000	\$ 750,000	\$ 839,000
<b>TOTAL BUDGETED FUNDING</b>	<b><u>\$ 825,000</u></b>	<b><u>\$ 750,000</u></b>	<b><u>\$ 750,000</u></b>	<b><u>\$ 839,000</u></b>

\*Does not include Furniture, Fixtures and Equipment.

WEST HARTFORD CAMPUS RENOVATIONS/IMPROVEMENTS –  
STUDENT LOUNGE AND OFFICE RELOCATION  
Project Budget (REVISED FINAL)  
02/22/11







# University of Connecticut Health Center

TO: Members, University of Connecticut Board of Trustees

FROM: Cato Laurencin, Ph.D, M.D.  
Vice President for Health Affairs  
Dean, School of Medicine

Richard Gray  
Vice President and Chief Financial Officer

DATE: February 22, 2011

SUBJECT: Proposed Tuition and Fees Rates for FY 12

## **RECOMMENDATION**

That the Board of Directors recommends that the Board of Trustees approves the proposed tuition and fee increases for the School of Medicine and School of Dental Medicine for the 2011/2012 academic year as described in attachment 1.

## **BACKGROUND**

The tuition and fee rates for the Schools of Medicine and Dental Medicine are set in accordance with the tuition policy of the Board of Governors for Higher Education. This policy requires that the combined tuition and fee rates be set between the 70th and 75th percentile for public medical and dental schools (attachment 2).

Separate tuition rates are established for residents and non-residents. The vast majority of UCHC students fall in the resident category. The Board of Governors also requires that a regional tuition rate (for matriculants from certain other New England states) be set at 175% of the resident rate. The Board of Governor's policy caps any increase in tuition and fees to a maximum of 15% in any year and requires that a minimum of 15% of the tuition be set aside for need based financial aid.

The data on public schools of medicine come from the Association of American Medical Colleges who conducts an annual survey of all U.S. schools of medicine (attachment 3a). In the past, there was no national database for schools of dental medicine, but recently, this is now available from the American Dental Education Association (attachment 3b).

Historically, national tuition and fees rates for public schools have varied widely year to year (attachment 4). Currently (i.e. FY 11), the SoM and SoDM resident rates are at the 71<sup>st</sup> and 69<sup>th</sup> percentiles respectively. These are at the 76<sup>th</sup> and 74<sup>th</sup> percentiles respectively for the non-resident rates.

For FY 12, we continue to target the 70<sup>th</sup> - 75<sup>th</sup> percentile. In order to achieve this, we must first predict the increases in tuition and fees that will be imposed at other public schools. UCHC is mandated to negotiate this 'inflation factor' with the Department of Higher Education and historically, a single inflation factor is set to be applied to both schools.

With the exception of last year, we usually attempt to set rates for a two year period. Even in normal times, this can be challenging given the relative unpredictable fluctuations in rates year to year and because the spread between the 70<sup>th</sup> and 75<sup>th</sup> percentiles can be small. We are not in normal times and given the potential volatility in tuition and fees being driven by the downturn in the national economy and the varying degrees to which legislature attempt to keep public education affordable we have less confidence in predicting the correct inflation factor. Therefore, the proposal this year is only for a single year of rate changes.

As UCHC requested, DHE has set the inflation factor for FY 12 as 4.0%. While we note that the SOM non-resident fee is currently \$4 over the 75<sup>th</sup> percentile and the SoDM resident rate is currently \$112 below the 70<sup>th</sup> percentile, a uniform 4% increase is being proposed for all subcategories of tuition and professional fees (as shown in attachment 1).

Comparisons to our competitors- When compared to other public schools in our geographic regions (appendix 6a), the SoM resident rate dropped from the 3<sup>rd</sup> highest in FY 10 to the 4<sup>th</sup> highest in FY 11. Over this time the SoM non-resident rate remained as the highest, the SoDM resident rate remained at third highest and the SoDM non-resident rate remained as the 2<sup>nd</sup> highest.

Just over 100 of the students accepted by the SoM elected to matriculate at another school. This group of competitor schools had an average tuition and fees in FY 11 that was significantly higher than the UConn resident rate (appendix 6b). The same trend occurred for the SoDM.

Student Indebtedness: The Schools monitor the indebtedness of students, especially as this relates to national data (attachment 7a & 7b). SOM students with debt on graduation, have an average debt of approximately \$131 thousand which is 8.6% above last year. This compared to a national average debt of \$147 thousand which is 12.6% over last year. The national data for SoDM student indebtedness will not be release until early December. Therefore last year's data only has been included in attachment 7b.

Financial Aid: Financial aid in the form of scholarships and loans is available to meet student need (attachment 8a & 8b). SoM students received approximately \$4.5 million in scholarships and \$11.8 million in loans (changes from FY 10 were +13.7% and +7.1% respectively). SoDM students received approximately \$1.5 million in scholarships and \$6.0 million in loans (changes from FY10 were +5.1% and +6.4% respectively.)

Student response to proposed increases: Drs. Koeppen and Lepowsky informed all students of the proposed increases in tuition and fees via email. They were also invited to attend a presentation and discussion of the proposal on 10/21/10. No students attended. A single email was received by a student with the comment is that all?"

Approval: Changes in the rate of tuition and fees require the approval of the Board of Directors and the Board of Trustees.

ATTACHMENT 1

UNIVERSITY OF CONNECTICUT HEALTH CENTER  
PROPOSED TUITION AND FEE SCHEDULE FOR FY 2012

School of Medicine Tuition	Current	PROPOSED			
	FY 2011	FY 2012		FY 2013	
	<u>Base</u>	<u>%</u>	<u>Amount</u>	<u>Base</u>	<u>Amount</u>
Resident	\$21,865	4.00%	\$875	\$22,740	
Non-Resident	\$46,062	4.00%	\$1,842	\$47,905	
Regional **	\$38,264	4.00%	\$1,531	\$39,795	
Professional School Fee *					
Resident	\$9,190	4.00%	\$368	\$9,557	Since no inflation factor has been set for FY 13, these rates cannot be set at this time.
Non-Resident	\$9,190	4.00%	\$368	\$9,557	
Regional	\$9,190	4.00%	\$368	\$9,557	
Resident	\$31,055	4.00%	\$1,242	\$32,297	
Non-Resident	\$55,252	4.00%	\$2,210	\$57,462	
Regional	\$47,454	4.00%	\$1,898	\$49,352	
TOTAL TUITION & FEES					

School of Dental Medicine Tuition	Current FY 2011	PROPOSED			
		FY 2012		FY 2013	
		%	Amount	%	Amount
		Base	Base	Base	Base
Resident	\$20,572	4.00%	\$823	\$21,395	
Non-Resident	\$47,376	4.00%	\$1,895	\$49,271	
Regional **	\$36,001	4.00%	\$1,440	\$37,441	
Professional School Fee *					
Resident	\$8,386	4.00%	\$335	\$8,721	Since no inflation factor has been
Non-Resident	\$8,386	4.00%	\$335	\$8,721	set for FY 13, these rates cannot be
Regional	\$8,386	4.00%	\$335	\$8,721	set at this time.
TOTAL TUITION & FEES					
Resident	\$28,958	4.00%	\$1,158	\$30,116	
Non-Resident	\$55,762	4.00%	\$2,230	\$57,992	
Regional	\$44,387	4.00%	\$1,775	\$46,162	

Notes:

\* The percent increase in professional fees is constant for all categories and set to the SoM resident rate for total tuition & fees.

\*\* The regional rate for tuition must be 175% the resident rate.



## ATTACHMENT 2

### **Excerpt from the Connecticut Public Higher Education Tuition and Student Fee Policy**

#### **"Health Center Tuition and Fee Policy"**

The setting of tuition and required fee rates at the UConn Health Center medical and dental schools shall be targeted at between the 70th and 75th percentile of tuition and required fee charges at public medical and public dental schools respectively. Consistent with the annual increase ceiling included in the policy adopted for other units, the UConn Health Center tuition and required fees for undergraduate medical and dental students shall not increase by more than 15 percent from one year to the next.

The data base for determining the percentile factor will come from tuition/fee data reported annually by the American Association of Medical Schools and the American Dental Association. Adjustments to the data base to account for inflation from the point in time the data is reported to the fiscal year in which the new Health Center tuition rates will take effect will be negotiated between DHE staff and Health Center staff. Negotiations will center on the choice of the most appropriate inflation index for costs associated with medical and dental educational programs.

Paralleling the overall tuition policy for the higher education system, 15 percent of tuition revenues shall be earmarked for financial assistance programs to needy students.

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### **Excerpt from CT General Statutes 10a-8**

(This statute concerns the development and submission of a single public higher education budget to the General Assembly based on the individual budgets approved by each higher education unit's board of trustees.

"...if the General Assembly does not appropriate the amount requested by any such board of trustees, such board of trustees may increase tuition and fees by an amount greater than that included in the budget request in response to which the appropriation was made."

## ATTACHMENT 3a

Tuition, Fees, Health Insurance Cost for First Year Medical Students  
 Association of American Medical Colleges (AAMC)  
 Public Medical Schools - 2010/2011  
 Preliminary Data as of September 29, 2010

School Name	RESIDENT Tuition, Fees, and Health Ins.	Rank	% Tile	School Name	NON-RESIDENT Tuition, Fees, and Health Ins.	Rank	% Tile
Oregon	40,684	1	99%	Southern Illinois	78,888	1	99%
Virginia	40,031	2	97%	Illinois	72,214	2	97%
Penn State	39,286	3	96%	South Carolina	69,445	3	96%
Minnesota	38,636	4	95%	Wayne State	63,148	4	95%
Illinois	35,834	5	94%	Michigan State	62,890	5	93%
UMDNJ-RW Johnson	34,632	6	92%	Nebraska	62,632	6	92%
MU South Carolina	34,531	7	91%	Northeastern Ohio	62,587	7	91%
UC Davis	34,321	8	90%	FIU-Wertheim	62,196	8	89%
UMDNJ New Jersey	34,254	9	88%	Toledo	61,829	9	88%
Northeastern Ohio	33,115	10	87%	Alabama	61,636	10	87%
Colorado	33,089	11	86%	Florida	59,995	11	86%
Ohio State	32,758	12	85%	MU South Carolina	59,263	12	84%
Wright State-Boonshoft	32,682	13	83%	Hawaii-Burns	59,123	13	83%
Indiana	32,588	14	82%	Colorado	58,660	14	82%
Cincinnati	32,304	15	81%	Missouri Kansas City	57,619	15	80%
Wayne State	32,273	16	79%	Eastern Virginia	57,291	16	79%
South Carolina	32,231	17	78%	Florida State	56,307	17	78%
Vermont	31,971	18	77%	<b>Connecticut</b>	<b>55,252</b>	<b>18</b>	<b>76%</b>
Eastern Virginia	31,853	19	76%	Kentucky	55,248	19	75%
Toledo	31,625	20	74%	South Florida	54,578	20	74%
Virginia Commonwealth	31,373	21	73%	Oregon	54,365	21	72%
Iowa-Carver	31,326	22	72%	East Tennessee-Quillen	53,745	22	71%
<b>Connecticut</b>	<b>31,055</b>	<b>23</b>	<b>71%</b>	Central Florida	53,375	23	70%
UC Irvine	30,948	24	69%	SUNY Upstate	53,348	24	68%
Florida	30,755	25	68%	UMDNJ-RW Johnson	53,341	25	67%
FIU-Wertheim	30,696	26	67%	Vermont	53,311	26	66%
UC San Francisco	30,474	27	65%	UMDNJ New Jersey	52,963	27	64%
Maryland	30,418	28	64%	SUNY Downstate	52,774	28	63%
Missouri Kansas City	30,150	29	63%	U Washington	52,029	29	62%
Louisville	30,133	30	62%	Missouri Columbia	51,726	30	61%
Michigan	30,118	31	60%	Maryland	51,665	31	59%
Kentucky	30,110	32	59%	Utah	51,317	32	58%
UCLA-Geffen	30,083	33	58%	Stony Brook	51,265	33	57%
Michigan State	30,062	34	56%	New Mexico	51,152	34	55%
UC San Diego	29,989	35	55%	Virginia	51,025	35	54%
Hawaii-Burns	29,939	36	54%	South Dakota-Sanford	51,001	36	53%
SUNY Upstate	29,428	37	53%	Penn State	50,772	37	51%
South Florida	29,018	38	51%	West Virginia	49,552	38	50%
SUNY Downstate	28,854	39	50%	Oklahoma	49,438	39	49%
Southern Illinois	28,516	40	49%	Cincinnati	48,855	40	47%
Missouri Columbia	28,214	41	47%	Marshall-Edwards	48,830	41	46%
Kansas	28,084	42	46%	Ohio State	48,808	42	45%
Nebraska	28,076	43	45%	Kansas	48,504	43	43%
Arizona	27,860	44	44%	Minnesota	47,906	44	42%

School Name	RESIDENT Tuition, Fees, and Health Ins.	Rank	% Tile	School Name	NON-RESIDENT Tuition, Fees, and Health Ins.	Rank	% Tile
East Tennessee-Quillen	27,849	45	42%	Wright State-Boonshoft	47,682	45	41%
Utah	27,509	46	41%	Iowa-Carver	47,140	46	39%
Stony Brook	27,345	47	40%	Michigan	46,856	47	38%
South Dakota-Sanford	26,875	48	38%	UC Davis	46,566	48	37%
Buffalo	26,307	49	37%	North Dakota	46,251	49	36%
Wisconsin	26,226	50	36%	South Alabama	46,153	50	34%
Central Florida	26,175	51	35%	Indiana	45,916	51	33%
North Dakota	25,726	52	33%	Virginia Commonwealth	45,836	52	32%
MC Georgia	25,382	53	32%	Tennessee	45,750	53	30%
South Alabama	25,328	54	31%	Louisville	45,171	54	29%
Tennessee	24,214	55	29%	Arizona	44,968	55	28%
Oklahoma	23,812	56	28%	Buffalo	44,147	56	26%
West Virginia	23,790	57	27%	MC Georgia	43,560	57	25%
Alabama	23,726	58	26%	UC Irvine	43,193	58	24%
U Washington	23,049	59	24%	UC San Francisco	42,719	59	22%
Marshall-Edwards	22,040	60	23%	UCLA-Geffen	42,328	60	21%
Florida State	21,756	61	22%	UC San Diego	42,234	61	20%
Arkansas	21,376	62	21%	Nevada	40,739	62	18%
New Mexico	20,925	63	19%	North Carolina	39,570	63	17%
Massachusetts	20,144	64	18%	Arkansas	39,356	64	16%
Nevada	18,287	65	17%	East Carolina-Brody	38,317	65	14%
Mississippi	17,557	66	15%	Wisconsin	36,963	66	13%
UT San Antonio	16,913	67	14%	UT San Antonio	32,320	67	12%
UT Southwestern	16,740	68	13%	LSU New Orleans	32,112	68	11%
LSU New Orleans	16,517	69	12%	LSU Shreveport	31,119	69	9%
Texas Tech	15,371	70	10%	UT Southwestern	29,840	70	8%
Texas Tech-Foster	15,370	71	9%	Texas Tech	28,471	71	7%
Texas A & M	15,362	72	8%	Texas Tech-Foster	28,470	72	5%
North Carolina	15,172	73	6%	Texas A & M	28,462	73	4%
UT Galveston	14,875	74	5%	UT Galveston	27,975	74	3%
LSU Shreveport	14,741	75	4%	UT Houston	26,709	75	1%
UT Houston	13,609	76	3%	* Puerto Rico	20,309	76	0%
East Carolina-Brody	12,382	77	1%	Massachusetts	NA		
* Puerto Rico	11,091	78	0%	Mississippi	NA		
<b>Average</b>	<b>27,025</b>			<b>Average</b>	<b>48,804</b>		

\* Puerto Rico - FY 11 data was not available, FY10 tuition and fees used

**Public Dental Schools - 2010/2011  
TUITION AND FEES  
ADEA 2010 Guide to Dental Schools - for incoming 2010 Students**

School	RESIDENT TUITION & FEES FY10-11	Rank	% Tile
Univ. of South Carolina	50,582	1	97%
Univ. of Maryland	32,561	2	94%
Univ. of Iowa	32,123	3	92%
Univ. of Oregon	32,090	4	89%
Univ. of California, San Francisco	30,762	5	86%
Univ. of Illinois	30,624	6	83%
Univ. of Med. and Dentistry, NJ	29,859	7	81%
Univ. of Minnesota	29,623	8	78%
Univ. of Michigan	29,457	9	75%
UCLA	29,069	10	72%
<b>Univ. of Connecticut</b>	<b>28,958</b>	<b>11</b>	<b>69%</b>
Southern Illinois Univ.	28,448	12	67%
Univ. of Nebraska	28,178	13	64%
Ohio State Univ.	27,888	14	61%
Univ. of Missouri, Kansas City	27,661	15	58%
Virginia Commonwealth Univ.	26,897	16	56%
Univ. of Florida	26,894	17	53%
SUNY Stonybrook	26,115	18	50%
Univ. of Colorado	26,084	19	47%
Univ. of Indiana	25,777	20	44%
Univ. of Kentucky	24,999	21	42%
Univ. of Louisville	23,403	22	39%
Univ. of Tennessee	22,119	23	36%
Univ. of Oklahoma	21,923	24	33%
Univ. of North Carolina	21,502	25	31%
Univ. of Washington	21,472	26	28%
SUNY Buffalo	21,257	27	25%
Univ. of Texas, San Antonio	21,155	28	22%
Medical College of Georgia	19,864	29	19%
Univ. of Alabama	18,711	30	17%
Univ. of Texas, Houston	17,553	31	14%
West Virginia Univ.	14,965	32	11%
Univ. of Mississippi	14,030	33	8%
LSU	12,000	34	6%
Univ. of Puerto Rico	8,714	35	3%
Baylor College of Dentistry	7,628	36	0%

<b>Average</b>	<b>24,748</b>		
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School	NON-RESIDENT TUITION & FEES FY10-11	Rank	% Tile
Univ. of South Carolina	99,121	1	97%
Southern Illinois Univ.	75,016	2	94%
UCLA	67,955	3	91%
Univ. of Illinois	60,890	4	88%
Univ. of Nebraska	60,802	5	85%
Ohio State Univ.	59,163	6	82%
Univ. of Maryland	57,349	7	79%
Univ. of Indiana	57,011	8	76%
<b>Univ. of Connecticut</b>	<b>55,762</b>	<b>9</b>	<b>74%</b>
Univ. of Florida	53,375	10	71%
Univ. of Iowa	51,909	11	68%
Univ. of Colorado	51,387	12	65%
Univ. of Louisville	50,939	13	62%
Univ. of Washington	50,512	14	59%
Univ. of Kentucky	49,878	15	56%
Univ. of Tennessee	49,729	16	53%
Virginia Commonwealth Univ.	49,438	17	50%
Univ. of Alabama	49,247	18	47%
Univ. of Oregon	49,186	19	44%
Univ. of Minnesota	48,889	20	41%
Univ. of Michigan	46,013	21	38%
Univ. of North Carolina	45,373	22	35%
SUNY Stonybrook	44,805	23	32%
Univ. of Med. and Dentistry, NJ	44,671	24	29%
Univ. of Oklahoma	44,365	25	26%
Univ. of California, San Francisco	43,007	26	24%
SUNY Buffalo	41,027	27	21%
West Virginia Univ.	37,683	28	18%
Univ. of Texas, San Antonio	31,955	29	15%
Univ. of Texas, Houston	28,353	30	12%
Univ. of Missouri, Kansas City	27,836	31	9%
LSU	25,640	32	6%
Baylor College of Dentistry	18,428	33	3%
Univ. of Puerto Rico	15,934	34	0%
Univ. of Mississippi	N/A		
Medical College of Georgia	N/A		

<b>Average</b>	<b>48,313</b>		
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**ATTACHMENT 4**

**Historic School Rankings - Combined Tuition and Fees**

**School of Medicine**

	Resident						Non-Resident					
	FY 06	FY 07	FY 08	FY 09	FY 10	FY 11	FY 06	FY 07	FY 08	FY 09	FY 10	FY 11
National Average	\$19,981	\$20,980	\$22,303	\$23,596	\$25,373	\$27,025	\$38,885	\$39,974	\$41,870	\$43,780	\$46,132	\$48,804
UConn	\$22,540	\$25,920	\$26,827	\$28,168	\$29,576	\$31,055	\$42,780	\$49,195	\$49,463	\$50,815	\$52,621	\$55,252
National percentage increase	8.5%	4.6%	5.3%	5.8%	7.8% *	6.5%	4.4%	2.7%	3.9%	4.6%	4.9% *	5.8%
UConn percentage increase	15.0%	15.0%	3.5%	5.0%	5.0%	5.0%	15.0%	15.0%	0.5%	3.3%	3.6%	5.0%
UConn rank (1 - highest)	26	17	18	19	21	23	19	14	15	16	21	18
# of Schools reporting	73	74	75	75	77	78	71	72	73	72	74	76
UConn percentile	64%	77%	76%	75%	73%	71%	73%	81%	79%	78%	72%	76%
National 75th percentile	\$24,024	\$25,565	\$26,755	\$28,168	\$29,678	\$31,852	\$43,241	\$46,105	\$46,243	\$50,115	\$52,891	\$55,248
National 70th percentile	\$23,251	\$25,048	\$25,942	\$27,926	\$29,418	\$30,949	\$42,159	\$42,374	\$45,215	\$48,206	\$51,840	\$53,375
<b>Target Range</b>	<b>\$773</b>	<b>\$517</b>	<b>\$813</b>	<b>\$242</b>	<b>\$260</b>	<b>\$903</b>	<b>\$1,082</b>	<b>\$3,731</b>	<b>\$1,028</b>	<b>\$1,909</b>	<b>\$1,051</b>	<b>\$1,873</b>

**School of Dental Medicine**

	Resident						Non-Resident					
	FY 06 *	FY 07	FY 08 *	FY 09	FY 10	FY 11	FY 06 *	FY 07	FY 08 *	FY 09	FY 10	FY 11
National Average	\$16,642	\$18,513	\$20,274	\$22,034	\$23,091	\$24,748	\$34,314	\$37,687	\$39,844	\$42,001	\$45,903	\$48,313
UConn	\$18,882	\$21,665	\$23,919	\$25,115	\$27,579	\$28,958	\$38,784	\$44,587	\$47,764	\$50,152	\$53,107	\$55,762
National percentage increase	11.1% **	11.1% **	9.5% **	9.5% **	9.6%	7.2%	11.2% **	11.2% **	5.7% **	5.7% **	8.9%	5.3%
UConn percentage increase	15.0%	15.0%	10.4%	5.0%	9.8%	5.0%	15.0%	15.0%	7.13%	5.0%	5.9%	5.0%
UConn rank (1 - highest)		12		12	10	11		10		9	9	9
# of Schools reporting		36		36	36	36		35		35	34	34
UConn percentile		67%		67%	72%	69%		71%		74%	74%	74%
National 75th percentile		\$22,786		\$26,266	\$27,660	\$29,457		\$45,504		\$50,578	\$53,205	\$57,010
National 70th percentile		\$22,401		\$25,928	\$27,271	\$29,070		\$44,572		\$49,267	\$49,966	\$51,910
<b>Target Range</b>		<b>\$385</b>		<b>\$338</b>	<b>\$389</b>	<b>\$387</b>		<b>\$932</b>		<b>\$1,311</b>	<b>\$3,239</b>	<b>\$5,100</b>

**Notes:**

\* No national data were collected

\*\* Annualized based on the known 2 year change from FY 05 to FY 07 and FY 07 to FY 09

Data used in this worksheet is based on the September AAMC snapshot (i.e. preliminary data)

**UNIVERSITY OF CONNECTICUT HEALTH CENTER**  
***School of Medicine and Dental School of Medicine***

**70th - 75th Percentile Target Ranges**

		FY 2011		FY 2012	
<b>School of Medicine - Resident</b>					
	UCONN				
	National 75th percentile	\$31,055		\$1,242	\$32,297
	National 70th percentile	\$31,852		\$1,274	\$33,126
		\$30,949		\$1,238	\$32,187
<b>School of Medicine - Non-Resident</b>					
	UCONN				
	National 75th percentile	\$55,252		\$2,210	\$57,462
	National 70th percentile	\$55,248		\$2,210	\$57,458
		\$53,375		\$2,135	\$55,510
<b>School of Dental Medicine - Resident</b>					
	UCONN				
	National 75th percentile	\$28,958		\$1,158	\$30,116
	National 70th percentile	\$29,457		\$1,178	\$30,635
		\$29,070		\$1,163	\$30,233
<b>School of Dental Medicine - Non-Resident</b>					
	UCONN				
	National 75th percentile	\$55,762		\$2,230	\$57,992
	National 70th percentile	\$57,010		\$2,280	\$59,290
		\$51,940		\$2,078	\$54,018

**Notes:**

Assumption: National increases of 4.0% in FY 12. This is the DHE approved inflation factor.

**ATTACHMENT 6a**

**UNIVERSITY OF CONNECTICUT HEALTH CENTER**  
**AAMC Database: Public Schools of Medicine 2010/2011**  
**Comparisons to Local, Public Competitor Schools**

**School of Medicine**  
**Resident**

SCHOOL	FY 09	FY 10	FY 11
UMDNJ-R W Johnson Medical Schl	\$28,419	\$29,735	\$34,632
UMDNJ-New Jersey Medical Schl	\$27,934	\$29,412	\$34,254
Univ of Vermont College of Med	\$28,470	\$29,583	\$31,971
<b>U of Connecticut School of Med</b>	<b>\$28,168</b>	<b>\$29,576</b>	<b>\$31,055</b>
Univ of Maryland Schl of Med	\$26,421	\$28,023	\$30,418
SUNY Upstate Medical Univ.	\$22,476	\$27,350	\$29,428
SUNY Downstate Coll of Med	\$22,665	\$26,795	\$28,854
Stony Brook University Health	\$22,718	\$26,839	\$27,345
Univ at Buffalo Sch of Med	\$21,844	\$26,095	\$26,307
Univ of Mass Medical School	\$17,450	\$19,744	\$20,144

**Non-Resident**

SCHOOL	FY 09	FY 10	FY 11
<b>U of Connecticut School of Med</b>	<b>\$50,815</b>	<b>\$52,621</b>	<b>\$55,252</b>
SUNY Upstate Medical Univ.	\$42,177	\$44,224	\$53,348
UMDNJ-R W Johnson Medical Schl	\$37,176	\$45,190	\$53,341
Univ of Vermont College of Med	\$48,490	\$50,403	\$53,311
UMDNJ-New Jersey Medical Schl	\$37,418	\$44,679	\$52,963
SUNY Downstate Coll of Med	\$42,662	\$44,547	\$52,774
Univ of Maryland Schl of Med	\$45,291	\$48,067	\$51,665
Stony Brook University Health	\$37,365	\$44,635	\$51,265
Univ at Buffalo Sch of Med	\$36,540	\$43,935	\$44,147
Univ of Mass Medical School	N/A	N/A	N/A

**School of Dental Medicine**  
**Resident**

SCHOOL	FY 09	FY 10	FY 11
Univ of Maryland Schl of Med	\$27,052	\$31,361	\$32,561
UMDNJ-New Jersey Medical Schl	\$26,860	\$28,942	\$29,859
<b>U of Connecticut School of Dental Med</b>	<b>\$25,115</b>	<b>\$27,579</b>	<b>\$28,958</b>
SUNY Stony Brook	\$22,723	\$25,065	\$26,115
SUNY Buffalo	\$19,070	\$17,745	\$21,257

**Non-Resident**

SCHOOL	FY 09	FY 10	FY 11
Univ of Maryland Schl of Med	\$48,704	\$54,746	\$57,349
<b>U of Connecticut School of Dental Med</b>	<b>\$50,152</b>	<b>\$53,107</b>	<b>\$55,762</b>
SUNY Stony Brook	\$39,023	\$45,985	\$44,805
UMDNJ-New Jersey Medical Schl	\$39,927	\$43,185	\$44,671
SUNY Buffalo	\$34,870	\$34,045	\$41,027

**Notes:**

Data sorted by current year in descending order

## School of Medicine

## Top 15 Competitor Schools:

Students Accepted at UConn Who Elected  
to Matriculate at Another AAMC School (n=110)  
Class Entering Fall 2010

School	#	%	Resident Tuition, Fees & Health Ins.	Non-Resident Tuition, Fees & Health Ins.
Yale	8	7.3%	\$48,230	\$48,230
New York Univ	7	6.4%	\$51,129	\$51,129
U Pennsylvania	7	6.4%	\$49,896	\$49,896
Columbia	6	5.5%	\$50,962	\$50,962
Mayo	6	5.5%	\$32,620	\$32,620
Dartmouth	5	4.5%	\$48,835	\$48,835
Mount Sinai	5	4.5%	\$42,882	\$42,882
Boston Univ	4	3.6%	\$51,134	\$51,134
Cornell Univ	4	3.6%	\$51,967	\$51,967
Duke	4	3.6%	\$49,635	\$49,635
Massachusetts	4	3.6%	\$20,144	NA
Albert Einstein	3	2.7%	\$46,331	\$46,331
Brown	3	2.7%	\$46,186	\$46,186
Harvard	3	2.7%	\$48,517	\$48,517
Vanderbilt	3	2.7%	\$43,053	\$43,053
<b>Subtotal / Average</b>	<b>72</b>	<b>65.5%</b>	<b>\$45,435</b>	<b>\$47,241</b>
<b>Median</b>	<b>\$48,517</b>			

Source: 2010 Joint Acceptance Report (Interim) from the AAMC - 09/27/2010

**School of Dental Medicine**

### Competitor Schools:

There are no data available indicating where students matriculate when they turn down an offer to attend UConn SoDM. Anecdotally, it is unusual for a Connecticut resident to turn down an offer to attend the SoDM and when this occurs, the two most frequent are schools they choose to

School	#	%	Resident Tuition & Fees	Non-Resident Tuition & Fees
Harvard			\$41,797	\$41,797
U Penn			\$56,692	\$56,692
Subtotal / Average			\$49,245	\$49,245
Median			\$49,245	\$49,245



ATTACHMENT 7a

UNIVERSITY OF CONNECTICUT HEALTH CENTER  
School of Medicine Student Indebtedness

Graduating Year	% with Debt	Average Debt (for those with debt)	% increase
2006	79.2%	\$105,920	
2007	94.4%	\$108,900	2.8%
2008	77.8%	\$129,742	19.1%
2009	89.7%	\$120,511	-7.1%
2010	73.6%	\$130,845	8.6%
2010 National Average	84.3%	\$147,364	12.6%

Data source: 2010 AAMC Financial Aid Summary Report 2009-2010 July 2010)

In FY 07 Graduate Plus loans became available to SoM students

# ATTACHMENT 7b

## UNIVERSITY OF CONNECTICUT HEALTH CENTER School of Dental Medicine

### Student Indebtedness

( data on the class graduating May 2010 not available until December 2010)

		University of Connecticut 2008	University of Connecticut 2009
		Percent	Percent
1.	Did you receive any scholarships or grants (not loans) for dental school?		
	Yes	80.95	81.00
	No	19.50	19.00
2.	Did you have any outstanding educational loans for your college/premedical education, which you are legally required to repay?		
	Yes	48.78	52.50
	No	51.22	47.50
	Premedical Debt Categories		
	No debt	51.22	47.50
	\$ 1 to \$ 24,999	41.46	52.50
	\$ 25,000 to \$ 49,999	4.88	0.00
	\$ 50,000 to \$ 74,999	2.43	0.00
	\$ 75,000 to \$ 99,999	0.00	0.00
	\$ 100,000 to \$ 124,999	0.00	0.00
	\$ 125,000 to \$ 149,999	0.00	0.00
	\$ 150,000 to \$ 174,999	0.00	0.00
	\$ 175,000 to \$ 199,999	0.00	0.00
	\$ 200,000 or more	0.00	0.00
	Number of responses	41	40
	Average premedical debt of all students	\$ 9,325	\$ 6,609
	Average premedical indebt of all students	\$ 19,117	\$ 12,590
3.	Do you have any outstanding loans for your dental school education, which you are legally required to repay?		
	Yes	85.37	95.00
	No	14.63	5.00
	Number of responses	41	40
	Dental School Debt Categories		
	No debt	14.50	5.00
	\$ 1 to \$ 24,999	7.20	5.00
	\$ 25,000 to \$ 49,999	4.70	0.00
	\$ 50,000 to \$ 74,999	7.20	7.50
	\$ 75,000 to \$ 99,999	9.60	12.50
	\$ 100,000 to \$ 124,999	2.30	5.00
	\$ 125,000 to \$ 149,999	9.50	5.00
	\$ 150,000 to \$ 174,999	29.00	7.50
	\$ 175,000 to \$ 199,999	12.00	50.00
	\$ 200,000 or more	4.00	2.50

# ATTACHMENT 7b

	University of Connecticut 2008	University of Connecticut 2009
	Percent	Percent
Number of responses	41	40
Average premedical debt of all students	\$ 110,244	\$139,020
Average premedical indebt of all students	\$ 129,144	\$146,337

## Total Educational Debt Categories

### Dental School Debt Categories

No debt	14.60	5.00
\$ 1 to \$ 24,999	2.40	5.00
\$ 25,000 to \$ 49,999	7.30	0.00
\$ 50,000 to \$ 74,999	7.30	7.50
\$ 75,000 to \$ 99,999	7.30	10.00
\$ 100,000 to \$ 124,999	2.40	7.50
\$ 125,000 to \$ 149,999	12.20	2.50
\$ 150,000 to \$ 174,999	22.00	10.00
\$ 175,000 to \$ 199,999	12.20	30.00
\$ 200,000 or more	12.20	22.50
Number of responses	41	40
Average total educational debt of all students	\$ 119,570	\$145,630
Average total educational indebt of all students	\$ 140,068	\$153,295

# Financial Aid Report - September 2010

## School of Medicine

**SUMMARY**

	<b>FY 08</b>	<b>FY 09</b>	<b>FY 10</b>	<b>FY 11</b>	<b>Last Year % Change</b>
<b>Assistance Determined Necessary (1)</b>	<b>\$9,770,056</b>	<b>\$10,414,255</b>	<b>\$10,703,344</b>	<b>\$11,831,713</b>	<b>10.54</b>
Total Funded by Loans	\$8,594,331	\$9,251,195	\$9,467,870	\$10,141,848	7.12
Total Funded by Scholarships	\$3,462,686	\$3,855,996	\$3,971,814	\$4,517,079	13.73
<b>Total Loans and Scholarships</b>	<b>\$12,057,017</b>	<b>\$13,107,191</b>	<b>\$13,439,684</b>	<b>\$14,658,927</b>	<b>9.07</b>
<b>Need Not Funded</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0.00</b>
Number of Students Receiving Aid	291	289	297	310	4.38

**SOURCES OF FUNDING**

	<b>FY 08</b>	<b>FY 09</b>	<b>FY 10</b>	<b>FY 11</b>	<b>Last Year % Change</b>
<b>Loans - Federal</b>					
Federal Subsidized Stafford	\$2,205,448	\$2,300,321	\$2,371,500	\$2,507,083	5.72
Federal Unsubsidized Stafford	\$5,169,668	\$5,733,658	\$5,835,162	\$6,268,089	7.42
Fed. Graduate Plus	\$518,541	\$359,543	\$581,750	\$767,203	31.88
<b>Total Federal Loans</b>	<b>\$7,893,657</b>	<b>\$8,393,522</b>	<b>\$8,788,412</b>	<b>\$9,542,375</b>	<b>8.58</b>
<b>Loans - Institutional (UCHC)</b>					
University Loans (UL)	\$570,911	\$593,643	\$443,232	\$483,381	9.06
<b>Total Institutional Loans</b>	<b>\$570,911</b>	<b>\$593,643</b>	<b>\$443,232</b>	<b>\$483,381</b>	<b>9.06</b>
<b>Loans - Private</b>					
Alternative/Private Loans	\$129,763	\$264,030	\$236,226	\$116,092	(50.85)
<b>Total Alternative/Private Loans</b>	<b>\$129,763</b>	<b>\$264,030</b>	<b>\$236,226</b>	<b>\$116,092</b>	<b>(50.85)</b>
<b>Scholarships - Outside:</b>					
Other	\$122,311	\$130,625	\$110,862	\$94,445	14.81
National Health Services Corps (NHSC) (2)	\$26,952	\$56,737	\$29,576	\$62,110	110.00
Military Scholarships	\$212,275	\$170,011	\$79,976	\$183,660	129.64
<b>Total - Scholarships Outside</b>	<b>\$361,538</b>	<b>\$357,373</b>	<b>\$220,414</b>	<b>\$340,215</b>	<b>54.35</b>
<b>Scholarships - Institutional (UCHC)</b>					
UConn Foundation *	\$33,500	\$99,000	\$93,250	\$45,250	(51.47)
Merit Scholarships	\$63,217	\$64,490	\$47,980	\$56,625	18.01
MD/PhD Support **	\$776,980	\$1,083,831	\$1,001,673	\$1,448,418	44.59
Need Based Tuition Remission ***	\$901,519	\$1,006,765	\$1,119,716	\$1,214,376	8.45
Health Care Opportunity Grant Program **	\$1,325,932	\$1,244,537	\$1,488,781	\$1,412,195	5.14
<b>Total - Scholarships Institutional</b>	<b>\$3,101,148</b>	<b>\$3,498,623</b>	<b>\$3,751,400</b>	<b>\$4,176,864</b>	<b>11.34</b>

(1) Assistance Determined Necessary (Need) is the Total Cost of Attendance (TCA) for all students requesting aid minus their Estimated Family Contribution (EFC). For students applying for federal loans only, need is TCA - EFC of the student. For students applying for funding sources beyond federal loans, need is TCA - EFC of the student and of the parents..

(2) NHSC is unconfirmed at this time

\* Includes Merit Scholarships

\*\* Full Waiver of Tuition & Professional Fees

\*\*\* Partial Waiver of Tuition

Attachment 8a      Students Receiving Financial Aid - September 2010  
School of Medicine

		FY 08	FY 09	FY 10	FY 11	Last Year % Change
Number of Students Receiving Aid		<b>291</b>	<b>289</b>	<b>297</b>	<b>310</b>	<b>4.38</b>
Enrollment	Year 1	86	89	88	91	3.41
	Year 2	88	88	87	88	1.15
	Year 3	91	97	87	87	0.00
	Year 4	85	80	80	86	7.50
	<b>Totals</b>	<b>350</b>	<b>354</b>	<b>342</b>	<b>352</b>	<b>2.92</b>
Number of Students Requesting Aid From All Sources	Year 1	73	74	73	82	12.33
	Year 2	66	71	70	83	18.57
	Year 3	68	63	77	72	(6.49)
	Year 4	67	65	66	73	10.61
	<b>Totals</b>	<b>274</b>	<b>273</b>	<b>286</b>	<b>310</b>	<b>8.39</b>
Number of Students Receiving Loans	Year 1	73	72	72	78	8.33
	Year 2	66	71	69	78	13.04
	Year 3	67	63	77	70	(9.09)
	Year 4	64	64	61	71	16.39
	<b>Totals</b>	<b>270</b>	<b>270</b>	<b>279</b>	<b>297</b>	<b>6.45</b>
Number of Students Receiving Scholarships	Year 1	59	45	52	59	13.46
	Year 2	41	48	43	53	23.26
	Year 3	44	44	60	36	(40.00)
	Year 4	38	45	44	46	4.55
	<b>Totals</b>	<b>182</b>	<b>182</b>	<b>199</b>	<b>194</b>	<b>(2.51)</b>
Average Total Expense Per Student	Year 1	\$51,127	\$57,525	\$56,910	\$57,382	0.83
	Year 2	\$48,718	\$51,764	\$51,513	\$51,661	0.29
	Year 3	\$55,820	\$57,615	\$55,452	\$56,576	2.03
	Year 4	\$53,332	\$52,243	\$53,226	\$52,735	(0.92)

# Financial Aid Report - September 2010

## School of Dental Medicine

**SUMMARY**

	<b>FY 08</b>	<b>FY 09</b>	<b>FY 10</b>	<b>FY 11</b>	<b>Last Year % Change</b>
<b>Assistance Determined Necessary (1)</b>	*	*	*	<b>\$6,791,418</b>	
Total Funded by Loans	\$5,207,015	\$5,561,287	\$5,618,467	\$5,977,995	6.40
Total Funded by Scholarships	\$1,636,927	\$1,749,135	\$1,459,414	\$1,533,529	5.08
<b>Total Loans and Scholarships</b>	<b>\$6,843,942</b>	<b>\$7,310,422</b>	<b>\$7,077,881</b>	<b>\$7,511,524</b>	<b>6.13</b>
<b>Need Not Funded</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0.00</b>
Number of Students Receiving Funds	156	158	157	160	1.91

**SOURCES OF FUNDING**

	<b>FY 08</b>	<b>FY 09</b>	<b>FY 10</b>	<b>FY 11</b>	<b>Last Year % Change</b>
<b>Loans - Federal</b>					
Federal Subsidized Stafford	\$1,120,518	\$1,239,112	\$1,241,000	\$1,304,210	5.09
Federal Unsubsidized Stafford	\$3,189,062	\$3,506,511	\$3,571,972	\$3,837,859	7.44
Federal Graduate PLUS Loan	\$299,188	\$421,432	\$500,321	\$580,356	16.00
<b>Total Federal Loans</b>	<b>\$4,608,768</b>	<b>\$5,167,055</b>	<b>\$5,313,293</b>	<b>\$5,722,425</b>	<b>7.70</b>
<b>Loans - Institutional (UCHC)</b>					
University Loans	\$266,183	\$283,736	\$211,802	\$200,752	(5.22)
University Loans - Supplemental Loan	\$22,764	\$22,764			
<b>Total Loans/Institutional</b>	<b>\$288,947</b>	<b>\$306,500</b>	<b>\$211,802</b>	<b>\$200,752</b>	<b>(5.22)</b>
<b>Loans - Private</b>					
Alternative/Private Loans	\$309,300	\$87,732	\$93,372	\$54,818	(41.29)
<b>Total Alternative/Private</b>	<b>\$309,300</b>	<b>\$87,732</b>	<b>\$93,372</b>	<b>\$54,818</b>	<b>(41.29)</b>
<b>Scholarships - Outside</b>					
Other	\$43,800	\$30,000	\$6,000	\$12,000	100.00
Military Scholarships	\$81,360	\$80,877	\$27,579	\$0	(100.00)
<b>Total - Scholarships Outside</b>	<b>\$125,160</b>	<b>\$110,877</b>	<b>\$33,579</b>	<b>\$12,000</b>	<b>(64.26)</b>
<b>Scholarships - Institutional (UCHC)</b>					
UConn Foundation	\$19,000	\$20,750	\$29,000	\$21,500	(25.86)
Merit Scholarships	\$27,500	\$900	\$6,909	\$0	(100.00)
DMD/PhD Support **	\$262,961	\$276,137	\$193,053	\$165,747	(14.14)
Need Based Tuition Remission ***	\$494,173	\$459,213	\$565,760	\$543,135	(4.00)
Health Care Opportunity Grant Program **	\$708,133	\$881,258	\$631,113	\$791,147	25.36
<b>Total - Scholarships Institutional</b>	<b>\$1,511,767</b>	<b>\$1,638,258</b>	<b>\$1,425,835</b>	<b>\$1,521,529</b>	<b>6.71</b>

(1) Assistance Determined Necessary (Need) is the Total Cost of Attendance (TCA) for all students requesting aid minus their Estimated Family Contribution (EFC). For students applying for federal loans only, need is TCA - EFC of the student. For students applying for funding sources beyond federal loans, need is TCA - EFC of the student and of the parents..

\* Information not available

\*\* Full Waiver of Tuition & Professional Fees

\*\*\* Partial Waiver of Tuition

Attachment 8b      Students Receiving Financial Aid - September 2010  
School of Dental Medicine

		FY 08	FY 09	FY 10	FY 11	Last Year % Change
<b>Number of Students Receiving Funds</b>		<b>156</b>	<b>158</b>	<b>157</b>	<b>160</b>	<b>1.91</b>
Enrollment	Year 1	42	43	42	51	21.43
	Year 2	45	45	45	38	(15.56)
	Year 3	41	45	41	47	14.63
	Year 4	41	40	42	43	2.38
	<b>Totals</b>	<b>169</b>	<b>173</b>	<b>170</b>	<b>178</b>	<b>4.70</b>
Number of Student Requesting Aid From All Sources	Year 1	35	40	39	48	23.08
	Year 2	43	39	41	34	(17.07)
	Year 3	38	42	33	41	24.24
	Year 4	34	38	38	38	0.00
	<b>Totals</b>	<b>150</b>	<b>159</b>	<b>151</b>	<b>161</b>	<b>6.62</b>
Number of Student Receiving Loans	Year 1	33	39	38	47	23.68
	Year 2	42	36	39	34	(12.82)
	Year 3	35	40	32	41	28.13
	Year 4	33	35	38	36	(5.26)
	<b>Totals</b>	<b>143</b>	<b>150</b>	<b>147</b>	<b>158</b>	<b>7.48</b>
Number of Student Receiving Scholarships	Year 1	21	28	27	36	33.33
	Year 2	29	18	25	20	(20.00)
	Year 3	38	28	23	25	8.70
	Year 4	33	27	27	24	(11.11)
	<b>Totals</b>	<b>90</b>	<b>101</b>	<b>102</b>	<b>105</b>	<b>2.94</b>
Average Total Expense Per Student	Year 1	\$58,703	\$60,748	\$58,363	\$63,390	8.61
	Year 2	\$54,033	\$52,333	\$49,025	\$51,889	5.84
	Year 3	\$55,558	\$54,680	\$56,603	\$57,480	1.55
	Year 4	\$53,262	\$54,188	\$50,174	\$51,323	2.29







University of Connecticut  
*Office of the Vice President and  
Chief Operating Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feltman  
Vice President and Chief Operating Officer

RE: Change in Recipient of Certain Approved Easements related to  
Storrs Center

RECOMMENDATION:

That the Board of Trustees grant Transfers of Custody and Control to the Connecticut Department of Transportation for work related with the reconstruction of Route 195 as part of the development of Storrs Center.

BACKGROUND:

On January 26, 2011, the Board of Trustees granted a series of easements to the Town of Mansfield necessary to accomplish work primarily concerning roadway improvements related to the Storrs Center Project.

Upon review by the Connecticut Department of Transportation (DOT), it was determined that those previously-approved easements located along Route 195, identified as Numbers 1, 2, 4, 5, 6 & 7 in the accompanying table entitled "List of UConn Property Public Infrastructure Transfers to Town and DOT for Storrs Center" (Revised January 25, 2011) and its companion 3-color map entitled "Storrs Road & Dog Lane UConn Easement Figure" (Sheet No. 1A, dated December 21, 2010), should properly be granted as Transfers of Custody and Control to the DOT, rather than easements to the Town of Mansfield.

There is no cost associated with these transfers.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2014  
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340  
Facsimile: (860) 486-1070  
web: [www.uconn.edu](http://www.uconn.edu)





University of Connecticut  
*Office of the Vice President and  
Chief Operating Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

RE: Transfer of Custody and Control of Drainage Area related to Storrs Center

RECOMMENDATION:

That the Board of Trustees grant a Transfer of Custody and Control of a drainage area to the Connecticut Department of Transportation for work related with the reconstruction of Route 195 as part of the development of Storrs Center.

BACKGROUND:

The Town of Mansfield and the Connecticut Department of Transportation is seeking a series of easements and transfers of custody and control from the University necessary to accomplish work primarily concerning roadway improvements related to the Storrs Center Project.

The Town is required under its State Traffic Commission permit to secure this Transfer on behalf of the Department of Transportation to accommodate drainage improvements related to the reconstruction of the Mansfield Road/Route 195 intersection. The surrounding area, which includes a portion of Storrs Center, utilizes a recently installed Hydrodynamic separator. The intersection work was recently completed by a contractor for the University.

In 1963, the University granted an easement to the State Highway Department (DOT's predecessor) to accommodate drainage from Route 195 to Mirror Lake. The area described in the 1963 transfer is not large enough to accommodate the separator; therefore, 675 square feet of area will be added to the drainage area.

Among the transfers listed and assigned numbers in the accompanying table entitled "List of UConn Property Public Infrastructure Transfers to Town and DOT for Storrs Center" (Revised January 25, 2011) and its companion 3-color map entitled "Storrs Road & Dog Lane UConn Easement Figure" (Sheet No. 1A, dated December 21, 2010) is this transfer, identified as Number 3 on the chart.

There is no cost associated with this transfer.

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Storrs, Connecticut 06269-2014

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web: [www.uconn.edu](http://www.uconn.edu)





University of Connecticut  
*Office of the Vice President and  
Chief Operating Officer*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Barry M. Feldman  
Vice President and Chief Operating Officer

RE: Release of Covenants, Conditions, Restrictions and Reservations for Warzocha Property

RECOMMENDATION:

That the Board of Trustees authorizes the release of certain covenants, conditions, restrictions and reservations appearing on the deed conveying property from the University to Philemon A. and Esther W. Warzocha as part of the development of Storrs Center.

BACKGROUND:

In 1966, the parcel at 10 Dog Lane in Mansfield was conveyed by the University to Philemon A. and Esther W. Warzocha. In conveying the property, the University retained several covenants, conditions, restrictions and reservations ("CCRrs") to itself governing future use of and improvements to the property. These CCRrs are listed and summarized at the end of this memorandum (the numbers on the list refer to those paragraphs appearing on the attached copy of deed).

Storrs Center Alliance, LLC ("SCA"), the leader of the development team for Storrs Center, is now preparing to purchase this property as part of its land assemblage for Storrs Center. SCA has requested that the CCRrs be released so they can proceed with its acquisition of the Warzocha property.

This parcel is surrounded by property currently owned by the University that is to be conveyed to SCA under existing purchase and sale agreements. The University, through its membership in the Mansfield Downtown Partnership, is involved in the design review process for Storrs Center, so it enjoys significant oversight and input on the detailed design of the project as it progresses. In addition, the University and SCA currently have in place a Water Service Agreement and a Sewer Service Agreement (both executed in November 2006) that governs the parties' duties with respect to the provision of water and sewer.

There is no cost associated with these releases.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2014  
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340  
Facsimile: (860) 486-1070  
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### **List of CCRRs**

- CCRR 1. No building was to be erected on the property until the Board of Trustees has approved the plans of the building, the location of the building and the business to be conducted in the building.
- CCRR 2. Construction financing and any mortgage was to be approved by the University.
- CCRR 3. The property was to be used to conduct a business similar to the one that the Grantees operated on a nearby site on Route 195 at the time of conveyance, as well as the renting of offices. The University also reserved a first right of purchase in this paragraph.
- CCRR 4. The Grantees reserved a right to connect to University water and sewer lines.
- The deed contains no CCRR 5.
- CCRR 6. The University reserves the right to waive, remove or modify any restriction imposed against the property.
- CCRR 7. The Grantees were to pay for the laying out and maintaining of a parking lot on the property.
- CCRR 8. The Grantees were to construct and maintain curbing, sidewalks and snowstrips along the front of the building.
- CCRR 9. The title to water mains and hydrants, sewer mains and drains, was excepted from the conveyance, and the University is required to make all necessary repairs.
- CCRR (a). University reserved an easement in gross to maintain water mains and hydrants under or through the property.
- CCRR (b). University reserved an easement in gross to maintain sewer mains and drains under and through the property.





# University of Connecticut

## *Office of the President*

Philip E. Austin  
*Interim President and  
University Professor*

February 22, 2011

TO: Members of the Board of Trustees

FROM: Philip E. Austin, Interim President

RE: Naming Recommendation for the John and Donna Krenicki Professorship  
in Biomedical Engineering

### RECOMMENDATION:

That the Board of Trustees establish the John and Donna Krenicki Professorship in Biomedical Engineering in the School of Engineering at the University of Connecticut.

### BACKGROUND:

An endowment fund to support the John and Donna Krenicki Professorship in Biomedical Engineering was created by John and Donna Krenicki with a commitment of \$750,000. To date, \$199,000 has been received by The University of Connecticut Foundation, Inc. toward this commitment. The donors have also indicated, in writing, their intent to recommend that the remaining \$551,000 balance be gifted to the Foundation from their donor-advised fund. The balance of the gift will be paid over the next four years, to be completed by December 31, 2015.

The individual appointed to the Professorship will be a nationally or internationally recognized researcher, scholar and teacher and will have made significant contributions to the field of biomedical engineering. With the approval of the Board of Trustees, the professor will be referred to as the "Krenicki Professor of Biomedical Engineering."

The funds spending allocation amount will be used to support the Professorship and appointee's related research and academic activities. Specific priority uses will be determined by the Dean of the School, upon recommendation by the individual appointed to the Professorship, and may include, without limitation, graduate support, academic travel expenses and academic conference expenses.

John Krenicki is a 1984 UConn Engineering alumnus, and also received an honorary Doctor of Science degree from UConn in 2007. He is currently the Vice Chairman for the General Electric Company and serves on the UConn Foundation Board of Directors. Donna Krenicki is a 1984 Fine Arts alumna. In 2007, the Krenickis established the Donna Samson Krenicki Fund for Fine Arts, which provides financial support for programmatic enhancements within the graphic design studio programs and for activities within the Department of Art at UConn's School of Fine Arts.

*An Equal Opportunity Employer*

Gulley Hall  
352 Mansfield Road Unit 2048  
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Telephone: (860) 486-2337  
Facsimile: (860) 486-2627





# The University of Connecticut Foundation, Inc.

## Development Progress Executive Summary

July 1, 2010 to January 31, 2011

Progress Toward Goals	FYTD10 Results	FY11 Goal	FYTD11 Results	% of Goal
<b><u>Commitment Results</u></b>				
Athletics	\$ 3.63 M	\$ 10.75 M	\$ 2.53 M	24%
UConn Health Center	\$ 4.00 M	\$ 10.75 M	\$ 4.06 M	38%
UConn General	\$ 15.20 M	\$ 32.50 M	\$ 14.94 M	46%
<b>Total Commitments</b>	<b>\$ 22.83 M</b>	<b>\$ 54.00 M</b>	<b>\$ 21.53 M</b>	<b>40%</b>
<b><u>Number of household donors</u></b>				
	15,147	30,000	15,775	53%
<b><u>Cash Results</u></b>				
Cash basis gift receipts	\$ 23.97 M	\$ 50.00 M	\$ 22.36 M	45%
Annual fund unrestricted receipts	\$ 661 K	\$ 1.00 M	\$ 651 K	65%

Campaign Commitments Progress	
<b>Fiscal Year 2010 Campaign Total (to Date)*</b> * This total reflects campaign write-offs and pre-campaign total of \$10.6 million, as appropriate.	\$ 249.00 M



**University of Connecticut Department of Human Resources**  
**New Hires Processed from January 1, 2011 to January 31, 2011**  
**Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATE
ALLISON, PETER	U STAFF PROF I	AUDIT, COMPL. & ETHICS	1/14/2011
BULAJIC, SVETISLAVA	UC PROFESSIONAL 07 - PROGRAM SPEC II	LAW SCH INSTR & RES	12/31/2010
BURNETT, LAURA A.	UC PROFESSIONAL 05 - ADMIN SERV SPEC III	PHARMACEUTICAL SCI	1/14/2011
CHOWDHURY, SAUMITRA K.	ASST PROF IN RES	PHYSICS	1/1/2011
DOLL, TAIS D.	U POST DOC FEL 1	MATERIALS SCIENCE INST	1/6/2011
FAN, ZHAOYAN	ASST RESEARCH PROF	MECHANICAL ENGR	1/14/2011
FUNDERBURK, MARTHA	UC PROFESSIONAL 06 - BUSINESS MANAGER I	TRANS & PARKING SERVICES	12/30/2008
GAGNON, IAN	UC PROFESSIONAL 04 - THEATER PROD TECH	JORGENSEN PERFORM ARTS	1/3/2011
GARCIA, RUBEN O.	UC PROFESSIONAL 06 - ACADEMIC ADVISOR II	ISS-ACADEMIC PROG CTR	1/14/2011
KENNEDY-LAMSON, JOCELYN	U STAFF PROF III	LAW SCH LIBRARY	1/4/2011
LO, HUNG-CHIEH	U POST DOC FEL 1	MOLECULAR & CELL BIOLOGY	1/14/2011
MARTINEZ CABRERA, HUGO I.	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	1/6/2011
NEARY, BETH M.	INSTRUCTOR	PUBLIC POLICY	1/1/2011
NORRIS, JAMES T.	UC PROFESSIONAL 05 - FINANCIAL ASST II	LIBRARY ACQUISITIONS	1/14/2011
OUMET, WILLIAM B.	ASSISTANT PROFESSOR	GEOGRAPHY	1/1/2011
PASQUALONI, PAUL L.	SPECIALIST IVA - HEAD COACH	ATHLETICS MENS INTERCOL	1/14/2011
PATEL, RONAK	UC PROFESSIONAL 04 - COMP TECH SUP CONS 1	HARTFORD DIRECTOR OFC	1/14/2011
PATIL, KAILASH Y.	U POST DOC FEL 1	CTR CLEAN ENERGY ENGINEER	12/24/2010
PENNINGTON, MICHAEL S.	UC PROFESSIONAL 07 - NETWORK TECHNICIAN 2	CEN-ASC	1/14/2011
RANDALL, ANN C.	U ED ASSISTANT 3	OFC OF DIVERSITY & EQUITY	1/4/2011
ROSEN, HADLEY	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	AGRI & RESOURCE ECONOMICS	1/1/2011
RUIZ, KATHERINE	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	BUSINESS DEAN OFC	1/14/2011
SETTY, SUDHA N.	VISITING ASSOC PROF	LAW SCH INSTR & RES	1/1/2011
SWALLOW, STEPHEN K.	PROFESSOR	AGRI & RESOURCE ECONOMICS	1/1/2011
TIAN, XIN	U POST DOC FEL 1	ELECTRICAL & CPTR ENGR	1/14/2011
TREMBLAY, SARA K.	UC PROFESSIONAL 05 - PROGRAM COORD	RATCLIFFE HICKS SCHOOL AG	12/31/2010
VALLA, IOULIA A.	ASST RESEARCH PROF	ENGINEERING DEAN OFC	1/1/2011
YANG, YONGKUN	U POST DOC FEL 1	MATERIALS SCIENCE INST	1/6/2011

**University of Connecticut Department of Human Resources**  
**Separations Processed from January 4, 2011 to January 31, 2011**  
**Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	SEPARATION REASON	DATE
BULLOCK, KAREN	ASSOCIATE PROFESSOR	SW	RESIGNATION (GOOD STANDING)	12/31/2010
EDSALL, RANDY D.	SPECIALIST IVA - HEAD COACH	ATH	RESIGNATION (GOOD STANDING)	1/3/2011
HANCOCK, DAVID	ASST PROF IN RES	JOUR	RESIGNATION (GOOD STANDING)	1/17/2011
JOHNSON, LYNDON F.	SPECIALIST IIA - ASSISTANT COACH	ATH	RESIGNATION (GOOD STANDING)	1/5/2011
ORLANDO, TODD	SPECIALIST IA - ASSISTANT COACH	ATH	RESIGNATION (GOOD STANDING)	1/20/2011
PAINE, PAMELA J.	SP INTERNAL LECT III	COMS	RETIREMENT (55/W 10-24 YEARS)	12/31/2010
RICHARDSON, TERRY	SPECIALIST IA - ASSISTANT COACH	ATH	RESIGNATION (GOOD STANDING)	1/4/2011
SIMEONI, MAUREEN	UC PROFESSIONAL 05 - ADMIN COORDINATOR	STAM	RETIREMENT (25+ YRS SERVICE)	12/31/2010
TEVAULT, KATHLEEN D.	UC PROFESSIONAL 04 - CAREER COUNSELOR	CS-AUX	RESIGNATION (GOOD STANDING)	1/6/2011
TU, LENA Y.	UC PROFESSIONAL 04 - U LIB ASST II-LAW	LAW	RESIGNATION (GOOD STANDING)	1/27/2011
WILSON, ANDREW	SPECIALIST IA	ATH	RESIGNATION (GOOD STANDING)	1/5/2011

**University of Connecticut Department of Human Resources**  
**Leaves of Absence Processed through 2/3/11**  
**Presented to the Board of Trustees for Information on Professional Employees**

NAME	TITLE	DEPARTMENT	DATES	REASON FOR LEAVE
Aston, Marjorie I	UCP 3 - Prog Assistant I	Economics	1/3/11-1/11/11	Medical leave without pay
Bauman, David A	UCP 9 - Publicity/Mktg Dir	Univ Communications	1/25/11-1/31/11	Medical leave with pay
Braun, Danielle M	UCP 6 - Career Consultant	Law Sch Dean Ofc	1/3/11-1/28/11	Medical leave with pay
Braun, Danielle M	UCP 6 - Career Consultant	Law Sch Dean Ofc	1/31/11-3/15/11	Maternity leave with pay
Christie-Francis, LaShawn	UCP 2 - Prog Asst - Ed Outrch	Dept of Extension	1/24/11-1/28/11	Medical leave with pay
Frank, Harry A	Distinguished Professor	Chemistry	12/3/10-12/27/10	Medical leave with pay
Gore, Brigid	UCP 5 - Dng Serv Ar Ast Mgr	Dining Services	1/11/11-2/8/11	Medical leave with pay
Jules, Reynold	Research Assistant II	Social Work Instr & Re	10/25/10-12/5/10	Medical leave with pay
Kimble-Willcutts, Diane L	UCP 3 - Prog Assistant I	CHIP	1/15/11-1/19/11	Medical leave with pay
Kimble-Willcutts, Diane L	UCP 3 - Prog Assistant I	CHIP	1/20/11-2/2/11	Medical leave without pay
Long, Michael E	UCP 9 - Sr Comp Prog/Anal	CTIS	1/5/11-2/24/11	Medical leave with pay
Marcellino, Rosemary	U Ed Assistant II	Human Resources	1/31/11-2/11/11	Medical leave with pay
McCoy, Patricia A	Professor	Law Sch Instr & Res	2/23/11-8/22/11	Fellowship Leave with Pay
Parent, Michelle L	UCP 7 - Fiscal Manager	Univ Communications	1/8/11-1/18/11	Medical leave with pay
Shaw, Brenda R	Associate Professor	Chemistry	2/23/11-8/22/11	Medical leave with half pay
Simonsen-Gaines, Brandi M	Assistant Professor	Educational Psychology	12/6/10-1/14/11	Maternity leave with pay
Steller, Kenneth	UCP 9 - OSD Consl & Proj Mgr	Social Work Instr & Re	1/12/11-1/19/11	Medical leave with pay
Strasser, Kurt A	Professor	Law School	2/23/12-8/22/12	Personal leave without pay
Zack, Suzanne T	UCP 7 - Publicity/Mktg Mgr	Library Dodd Center	1/8/11-2/4/11	Medical leave with pay



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

Tuesday, February 15, 2011  
4:00 PM  
Teleconference

1. Acceptance of the Minutes of October 19, 2010..... Mr. Treibick  
**Attachment 1**
2. Development Report ..... Mr. Martin  
**Attachment 2**
3. Athletics/Fundraising..... Mr. Eskin  
Mr. Otis
4. Naming Recommendation..... Mr. Treibick  
**Attachment 3**
- Academic:**  
**School of Engineering**  
John and Donna Krenicki Professorship in Biomedical Engineering
5. Alumni Update ..... Ms. Lewis  
**Attachment 4**
6. Membership Dues Model ..... Ms. Lewis  
**Attachment 5**
7. Communications Update..... Mr. Walter  
**Attachment 6**
8. Legislative Update..... Ms. Garber  
Ms. Lombardo

Teleconferencing Instructions

- Dial 1-888-995-9707. The password is **ADVANCE**. Conference Leader: **Richard Treibick**.
- The operator will ask for your name, announce to other participants that you are joining the conference and you will be connected.



# Joint Audit & Compliance Committee

## Agenda

11:30am – 12:00pm – Executive Session

12:00pm – 1:30pm - Public Meeting

Executive Session [CGS Sections 1-200(6)] to discuss:

None

- [C] - Matters concerning standards, processes and codes not available to the public the disclosure of which would compromise the security or integrity of information technology systems;
- [E] – Preliminary drafts or notes that the public agency has determined the public's interest in withholding outweighs the public's interest in disclosure.

Opportunity for Public Comment

None

Minutes of the October 15, 2010 JACC Meeting

Approval

1

OACE Performance & Activity Metrics – December 2010

Discussion

2

Storrs ECC Charter Revisions

Approval

3

Significant Compliance Activities

Update

4

Significant Audit Activities

- Status of Audit Assignments (Storrs & UCHC)
- Staff Update
- Revised FY 11 Audit Plans

Update

5

Auditors of Public Accounts – University of Connecticut and University of Connecticut Health Center – Financial Statements as of and for the Year Ended June 30, 2010

Presentation

6

Auditors' Report University of Connecticut Health Center for Fiscal Years Ended June 30, 2007 and 2008

Presentation

7

February 17, 2011

*Individual Responsibility, Institutional Success*

February 17, 2011

# Joint Audit & Compliance Committee

## Agenda

11:30am – 12:00pm – Executive Session

12:00pm – 1:30pm - Public Meeting



### External Engagements Update

- |   |              |   |
|---|--------------|---|
| • Marcum – UConn 2000 for FY 10   | Update       | 8 |
| • Seward & Monde – Agreed Upon Procedures to the Statements of Revenue & Expenses of Intercollegiate Athletics Programs – June 30, 2010 | Presentation |   |
| • KPMG Financial Statements – Fiscal Year 2010  | Presentation |   |
| • University Medical Group (UMG)  |              |   |
| • John Dempsey Hospital (JDH)   |              |   |
| • Finance Corporation   |              |   |

### Informational/Educational Items

- |  |             |   |
|--|-------------|---|
| • Storrs & UCHC Quarterly Newsletters (Fall 2010)              | Information | 9 |
| • Institute of Internal Auditors - "Tone at the Top"           | Only        |   |
| • KPMG "Ten Principles of Effective Audit Committee Oversight" |             |   |

**THE UNIVERSITY OF CONNECTICUT  
BOARD OF TRUSTEES**

**MEETING OF THE STUDENT LIFE COMMITTEE  
February 22, 2011**

**Rome Ballroom Portico, Storrs Campus  
2:00 PM**

**AGENDA**

- |    |   |                                    |
|----|---|------------------------------------|
| 1. | Call to order                                     | Trustee Bailey                     |
| 2. | Review and Approval of minutes of 11/9/10 meeting | Trustee Bailey                     |
| 3. | Recreation Center Presentation/Update             | Alexandria Roe                     |
| 4. | Chairwoman's Report                               | Trustee Bailey                     |
| 5. | Vice President for Student Affairs Report         | John Saddlemire                    |
| 6. | Student Trustees Report                           | Trustee Schmitt<br>Trustee Scianna |
| 7. | Other Business                                    | All                                |
| 8. | Adjournment                                       | Trustee Bailey                     |



## **AGENDA**

Board of Trustees

### **ACADEMIC AFFAIRS COMMITTEE**

Tuesday, February 22, 2011

Rome Commons Ballroom

Storrs, CT

9:30 a.m. – 10:00 a.m.

	<b><u>COMMITTEE</u></b>	<b><u>ATTACHMENT</u></b>
1) Approval of the Minutes of the Academic Affairs Committee Meeting of January 26, 2011 as circulated	A	

#### **ACTION ITEMS:**

2) Designation of Emeritus Status	2
3) Approval of Sabbatical Leaves	3

#### **INFORMATIONAL ITEMS:**

4) Five Year Review of Academic Centers and Institutes	6
5) Faculty Consulting Program	7
<ul style="list-style-type: none"><li>• Revised Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit</li><li>• The University of Connecticut Consulting Program FY 2010 Annual Report</li><li>• Report on the University of Connecticut's Compliance with Public Act 07-166 (Section 12) Faculty Consulting Program: Report Issued by the Faculty Consulting Oversight Committee</li></ul>	



**MINUTES**  
**MEETING OF THE ACADEMIC AFFAIRS COMMITTEE**  
**January 26, 2011**

Trustees Present: Archambault, Bailey, Burrow, Buzzuto, Dennis-LaVigne, Jacobs, Lobo, Martinez, McHugh, Schmitt, Scianna, Shepperd, Ward

Staff Present: Aggison, Bansal, Bull, Feldman, Gray, Laurencin, McDowell, Melvin, Munroe, Nicholls, Rubin, Saddlemire, Singha, Stwalley

Committee Chairman Jacobs convened the meeting at 9:00 a.m. at the University of Connecticut, Rome Ballroom, Storrs Campus. On a motion by Committee Chairman Jacobs, seconded by Trustee Archambault, the minutes of the November 9, 2010 meeting were approved as circulated.

Provost Nicholls introduced *Action Item #2, Designation of Emeritus Status*. Moved by Trustee Archambault, seconded by Trustee Schmidt, the Committee recommended the approval of the appointment to the full Board.

Provost Nicholls introduced *Action Item #3, Approval of Tenure at Hire*. Moved by Trustee Archambault, seconded by Trustee Scianna, the Committee recommended the approval of the tenure at hire recommendation to the full Board.

Provost Nicholls introduced *Action Item #4, Approval of Sabbatical Leave Requests*. Moved by Trustee Archambault, seconded by Trustee Shepperd, the Committee recommended the approval of the sabbatical leave requests to the full Board.

Provost Nicholls introduced *Action Item #5, Renaming the Master of Science Field of Study of Allied Health to Master of Science Field of Study of Health Promotion in Allied Health Sciences in the College of Agriculture and Natural Resources*. Since 2006, the Department of Allied Health Sciences has established strong undergraduate programs with over 520 students, many of whom select the Health Promotion Science Concentration. Changing the name of the program to Master of Science in Health Promotion will better reflect course requirements, and students' educational knowledge base. It will also facilitate the recruitment of high quality graduate students to the program, including undergraduate students with a concentration in Health Promotion. This change is also consistent with the mission statement, goals and objectives that have been adopted by the graduate faculty comprising the Graduate Program in Allied Health. Committee Chairman Jacobs asked Provost Nicholls to remind the Board why the Department of Allied Health Sciences is housed within the College of Agriculture and Natural Resources. Provost Nicholls remarked that because of the many synergies, and possible collaborations with faculty already within the College, as well as the cross disciplinary work with faculty, it was decided to place the Department of Allied Health Sciences within the College of Agriculture and Natural Resources. Committee Chairman Jacobs asked Provost Nicholls if the certificate given to graduate students upon completion of the program would state Health Promotion in the title; Provost Nicholls remarked it would. Moved by Trustee Lobo, seconded by Trustee Archambault, the Committee recommended the approval of the renaming to the full Board.

Provost Nicholls introduced *Action Item #6, Renaming the Women's Studies Program to Women's, Gender, and Sexuality Studies in the College of Liberal Arts and Sciences*. The Women's, Gender, and Sexuality Studies undergraduate major is an interdisciplinary program that is transnational and cross-cultural. The proposed name change more accurately describes the content of

the curriculum, and the intellectual and practical skill sets conferred to graduates. Renaming the program will facilitate and enhance overall student recruitment goals, including numbers of students, as well as their academic preparation and expressed interests. Moved by Trustee Archambault, seconded by Trustee Shepperd, the Committee recommended the approval of the renaming to the full Board.

Provost Nicholls introduced ***Presentation Item #7, Internationalization & Globalization Update, including Universitas 21***. Provost Nicholls introduced the metrics related to International/Global Contributions – Diversity in International Students and Faculty at UConn. Provost Nicholls remarked there has been an increase in the metrics related to the international graduate and professional students at all UConn campuses, and also stated that the University will set a goal to continue to increase these numbers.

Provost Nicholls informed the Board that UConn was recently invited to be a part of Universitas 21, an international network of 23 leading research-intensive universities in 15 countries. All Universitas 21 member institutions are research-led, comprehensive universities providing a strong framework to the network's activities. The purpose of this network is to work collaboratively, to make facilities available to all member groups, and to engage in exchange programs for faculty, undergraduate, and graduate students.

Provost Nicholls introduced ***Presentation Item #8, Why China***. Dr. Gregory Weidemann, Dean, College of Agriculture and Natural Resources, thanked the Board for the opportunity to report on recent activity and collaborations the College of Agriculture and Natural Resources has experienced with China recently. UConn has developed 11 formal collaborative partnerships with nationally ranked, broadly distributed institutions in China. The country seems to be making significant investments in higher education, particularly in graduate training, to emulate training in the United States. The University of Connecticut will be one of three institutions within the United States that will host Chinese partners who wish to study how programs such as the Cooperative Extension are organized. Other areas of interest include nutrition and food safety, water resources, invasive plants, biosafety, and biofuels.

Most of the Chinese institutions that have pursued a partnership with the University of Connecticut are interested in faculty exchanges and graduate training. UConn is currently preparing to send a fourth cohort to Peking University to study traditional Chinese medicine. Trustee Archambault asked Dean Weidemann if China supports sending undergraduate and graduate students to UConn. Dean Weidemann remarked there is currently a Memorandum of Understanding based on grant funding at the national level, so that this could happen. Trustee Archambault asked if international students who attend institutions in the United States stay upon graduation. Dean Weidemann remarked that according to higher education information, a good proportion of individuals do stay in the United States if they are able to secure a faculty position.

Committee Chairman Jacobs stated international partnerships are a very important area of growth, and stated he sees different platforms to develop these ideas, which would allow students to get an education, and experience different cultures. Dr. Jacobs commented that numerous other institutions have already established linkages with international institutions. Once linkages are established, you are an equal partner, and development, budget and resources are bilateral. With Connecticut being a heavy manufacturing State, could UConn develop a linkage with the State, or companies within the State, to develop possible collaborations? Committee Chairman Jacobs asked Dr. Nicholls what assistance the Board of Trustees could provide to help establish slightly different or elaborate metrics that are listed on the handout presented at today's meeting. Provost Nicholls remarked that there is a statewide program involving many institutions in Germany. The State of Connecticut is heavily involved with promoting



these types of collaborations. These linkages enable UConn students to attend German institutions, as well as UConn faculty gaining access to research, development, and infrastructure. Provost Nicholls remarked that asking state agencies for assistance may be the best way to help access additional collaborations.

Provost Nicholls introduced ***Presentation Item #9, The Other side of Japan.*** Dr. Alexis Dudden, Professor of History, recently studied abroad in Japan as a Fulbright Scholar. Dr. Dudden thanked the Board for the opportunity to study abroad as a Fulbright Scholar, and remarked how vital these types of programs are for faculty members as well as helping UConn rankings as a research institution.

Studying in Japan as a Fulbright Scholar was deeply challenging, yet Dr. Dudden remarked she became a better teacher due to her research and experiences, and left Japan with new and collaborative ideas based on the interplay of research, and putting her experiences into her curriculum.

Respectfully submitted,

A handwritten signature in cursive script that reads "Catherine Dunnack".

Catherine Dunnack  
Committee Secretary



**AGENDA**  
Meeting of the  
**FINANCIAL AFFAIRS COMMITTEE**  
February 22, 2011 at 10:00 a.m.  
University of Connecticut  
Lewis B. Rome Commons Ballroom

**ATTACHMENT  
LOCATION  
COMMITTEE    FULL BOARD**

**ACTION ITEM(S):**

- |  |                  |
|--|------------------|
| 1) Approval of the Minutes of the Financial Affairs Committee Meeting of January 26, 2011 as circulated                          | A                |
| 2) Contracts and Agreements for Approval   | 1                |
| 3) Fiscal Year 2012 Institutional Fees (Tuition, Room & Board) for the University of Connecticut, Storrs and Regional Campuses   | (Separate Cover) |
| 4) Fiscal Year 2012 Student Activity and Service Fees for the University of Connecticut, Storrs and Regional Campuses            | (Separate Cover) |
| 5) Fiscal Year 2012 Academic Materials Fees for the University of Connecticut, Storrs and Regional Campuses                      | (Separate Cover) |
| 6) Tuition and Fee Rates for Fiscal Year 2012 for the University of Connecticut School of Medicine and School of Dental Medicine | 18               |

**Project Budgets for Approval:**

	<i>Project</i>	<i>Phase</i>	<i>Budget</i>	<i>Tab</i>
7)	Beach Hall Renovations – Façade and Roof Repair	Planning	\$2,000,000	8
8)	Bishop Renovations – Mechanical System Improvements and Façade Modifications	Planning	\$2,000,000	9
9)	Law School Renovations/Improvements – Starr, Chase and Knight Halls Building Envelope Repair	Planning	\$2,517,000	10
10)	Manchester Hall Renovations – Building Envelope Repair	Planning	\$2,000,000	11
11)	Pedestrian Safety Improvements – Phase I	Planning	\$1,890,000	12
12)	Gant Building Renovations – Phase I	Revised Planning	\$2,310,000	13

**Project Budgets for Approval (Continued):**

<i>Project</i>	<i>Phase</i>	<i>Budget</i>	<i>Tab</i>
13) Floriculture Greenhouse	Final	\$5,000,000	14
14) Storrs Hall Addition ( <i>School of Nursing</i> )	Final	\$13,400,000	15
15) Gant IMS Fire Alarm Replacement	Revised Final	\$1,372,000	16
16) West Hartford Campus Renovations/ Improvements – Student Lounge and Office Relocation	Revised Final	\$839,000	17

### **DISCUSSION ITEMS:**

17) Financial Updates – Storrs based programs and the Health Center

### **INFORMATION ITEMS:**

18) Contracts and Agreements B  
(New contracts with a value of \$500,000 - \$999,999, or  
services previously approved on a Project Budget)

19) Construction Project Status Report (Separate Cover)

20) Financial Statement(s) Storrs and Health Center

Storrs:

**<http://accountingoffice.uconn.edu/accounting/PDF%20FILES/2010%20Financial%20Statements.pdf>**

UCHC:

**[http://controller.uchc.edu/reports/docs/year\\_end\\_report\\_2010.pdf](http://controller.uchc.edu/reports/docs/year_end_report_2010.pdf)**



CONTRACTS AGREEMENTS

FOR INFORMATION

FEBRUARY 22, 2011

New Contracts with a value of \$500,000 - \$999,999 or services previously approved on a Project Budget

PROCUREMENT						
PROCUREMENT - NEW						
No.	Contractor	Amount	Term	Fund Source	Program Director	Purpose
1	All-Phase Enterprises, Inc.	\$834,303	03/01/11-07/30/11	UCONN 2000	Matthew Larson, Director of Procurement Services	Contractor will furnish and install all materials, labor and equipment required to provide general site work at the Student Union Terrace and western margins of the Quadrangle at the Storrs Campus <b>(Revised Final Project Budget approved by BOT on 1/09/10 - \$1,150,000 Project No. 901440)</b>
2	Orlando Annulli & Sons, Inc.	\$2,077,348	12/17/10-05/04/11	UCONN 2000	Matthew Larson, Director of Procurement Services	Contractor will furnish and install all materials, labor and equipment required to provide renovation to the East Wing at the First Floor of the Torrey Life Sciences Building at Storrs Campus <b>(Final Project Budget approved by BOT on 11/09/10 - \$3,500,000 Project No. 901572)</b>
3	Populous Architects, P.C.	\$2,135,000	01/10/11-01/10/16	Multiple Sources	Matthew Larson, Director of Procurement Services	Architect will design an indoor basketball training facility adjacent to the west side of Gampel Pavilion on the Storrs Campus to house indoor training and practice facilities for the Men's and Women's Basketball teams <b>(Planning Budget approved by BOT on 09/21/10 - \$3,000,000 Project No. 201434)</b>