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Agenda and attachments, November 14, 2012

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University of
Connecticut

Board of



T R U S T E E S

VOL. 121 NOVEMBER 14, 2012

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

AGENDA

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

November 14, 2012

BOARD OF TRUSTEES SCHEDULE OF THE DAY

9:00 a.m.	Academic Affairs Committee Meeting
9:30 a.m.	Financial Affairs Committee Meeting
10:00 a.m.	Board of Trustees Meeting

BOARD MEETING AGENDA

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

OPEN SESSION

1. Public Participation
2. Chairman's Report
 - (a) Matters outstanding
 - (b) Minutes of the meeting of September 27, 2012
 - (c) Consent Agenda Items:
 - (1) Contracts and Agreements for the Storrs-based programs and the Health Center (Attachment 1)
 - (2) Ground Lease between the University of Connecticut and the University of Connecticut Health Center Finance Corporation (Attachment 2)
 - (3) Tenure at Hire (Attachment 3)
 - (4) Sabbatical Leave Recommendations (Attachment 4)
 - (5) Appointment of Dr. Jeffrey Shoulson to the Doris and Simon Konover Chair in Judaic Studies in the College of Liberal Arts and Sciences (Attachment 5)
 - (6) Modification and Renaming of the Communication Sciences Degree Programs in the College of Liberal Arts and Sciences (Attachment 6)
 - (7) Financial Management Major at the Stamford Campus (Attachment 7)
 - (8) Division of the Department of Chemical, Materials and Biomolecular Engineering into the Department of Materials Science and Engineering and the Department of Chemical and Biomolecular Engineering in the School of Engineering (Attachment 8)
 - (9) Policies and Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit (Attachment 9)

3. President's Report
4. Academic Affairs Committee Report
 - (a) Report on Committee activities
 - (b) Informational item:
 - (1) Institute for Systems Genomics (Attachment 10)
5. Financial Affairs Committee Report
 - (a) Report on Committee activities
 - (b) Items requiring Board discussion and approval:
 - (1) Project Budget (Planning) for Gant Building Renovations – Data Center Stabilization (Attachment 11)
 - (2) Project Budget (Final) for Basketball Development Center (Separate cover)
6. Health Center Report
 - (a) Report on Health Center activities
7. Joint Audit and Compliance Committee Report
 - (a) Report on Committee activities
8. Buildings, Grounds and Environment Committee Report
 - (a) Report on Committee activities
9. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
10. Student Life Committee Report
 - (a) Report of Committee activities
11. Institutional Advancement Committee Report
 - (a) Report on Committee activities
 - (b) Development Progress Executive Summary (Attachment 12)
12. Committee on Compensation Report
 - (a) Report on Committee activities
13. Executive Session anticipated.
14. 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.*

EXIGENT PROCUREMENT CONTRACTS / AWARDS - NEW FOR APPROVAL							
PROJECT NO. 901753 - GANT BUILDING RENOVATIONS - EXTERIOR REPAIRS							
CONSTRUCTION SERVICES							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	NER Construction Management, Inc.	901753	\$5,978,345	11/15/12-12/18/13	UCONN 2000	Matthew Larson, Director of Procurement Services	Contractor will provide exigent construction services for exterior repairs to the <u>Gant Building</u> located at the Storrs Campus for emergency stabilization repairs to the façade, parapet and failed roof. <i>This request meets the exigent requirements for the safety and health of the University community.</i>
PROJECT NO. BI 901719 - ARJONA BUILDING RENOVATION							
STANDARD FIXED-FEE ARCHITECT'S SERVICES							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	BL Companies, Inc.	BI 901719	\$365,000	10/10/12-03/01/14	UCONN 2000	Matthew Larson, Director of Procurement Services	Architect will provide exigent Pre-Design Study Phase and Schematic Design Phase (Phase I) and Project Design and Acquisition (Phase IIA) services for recommendation of the renovations required to accommodate the needs of the University to make necessary improvements to the building systems of <u>Arjona Building</u> at the Storrs Campus. <i>Such exigent approval is to ensure renovations are complete for new faculty and staff members.</i>
PROJECT NO. 201606 - 200 CONSTITUTION PLAZA							
STANDARD FIXED-FEE ARCHITECT'S SERVICES							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	JCJ Architecture, PC	201606	\$243,524	10/11/12-10/10/13	Operating Funds	Matthew Larson, Director of Procurement Services	Architect will provide exigent Pre-Design Phase services for due diligence study and condition assessment for the property located at <u>200 Constitution Plaza</u> . <i>Such exigent approval is to produce additional revenue income.</i>
PROJECT NO. 201583 - ECOLOGY AND EVOLUTIONARY BIOLOGY GREENHOUSE							
STANDARD FIXED-FEE ARCHITECT'S SERVICES							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Svigals + Partners, LLP	201583	\$210,000	10/09/12-09/25/14	Multiple Sources	Matthew Larson, Director of Procurement Services	Architect will provide exigent Pre-Design Study Phase, Schematic Design Phase, Design Development and Construction Documents Phase services for renovations to the <u>Ecology and Evolutionary Biology Greenhouse</u> at the Storrs Campus. <i>Such exigent approval is to provide for safety and health of the University Community.</i>
PROCUREMENT - NEW							
CONSULTING SERVICES FOR OPERATION OF THE RECLAIMED WATER AND WATER POLLUTION CONTROL FACILITIES							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Woodard & Curran, Inc.	UC-13-PR082812	\$4,500,000	12/01/12-11/30/15	Operating Funds	Kenneth Egeberg, AVP Architectural, Engineering and Building Services	Operations Maintenance Services Contractor for the Reclaim Water Facility (RCWF). Staffing the facility to ensure 365/24/7 operation and emergency coverage, establishing maintenance programs and to assure compliance with State and Federal Regulations associated with water and wastewater management. This is the result of a publicly advertised solicitation. Initial term is for three years; with option to extend for two (2) one (1) year terms.

**CONTRACTS AGREEMENTS
FOR APPROVAL
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**** REVISED ****

RESEARCH SUPPLIES & EQUIPMENT							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Bio-Rad Laboratories, Inc.	UC-13-CGP031612	\$2,100,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	To provide the research community with supplies, chemicals and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional campuses and UCHC. Contract term is for five and a half (5 1/2) years.
2	Leica Microsystems, Inc.	UC-13-CGP031612	\$1,500,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	To provide the research community with supplies, chemicals and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional campuses and UCHC. Contract term is for five and a half (5 1/2) years.
3	Life Technologies Corp.	UC-13-CGP031612	\$4,100,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	To provide the research community with supplies, chemicals and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional campuses and UCHC. Contract term is for five and a half (5 1/2) years.
4	Olympus America, Inc.	UC-13-CGP031612	\$1,100,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	To provide the research community with supplies, chemicals and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional campuses and UCHC. Contract term is for five and a half (5 1/2) years.
5	Sigma-Aldrich, Inc.	UC-13-CGP031612	\$1,500,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	To provide the research community with supplies, chemicals and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional campuses and UCHC. Contract term is for five and a half (5 1/2) years.

STUDENT LOAN PROVIDERS - MULTIPLE AWARD CONTRACT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	CitiBank	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be \$15,000,000.
2	Citizen's	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be \$15,000,000.
3	Discover	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be \$15,000,000.

**CONTRACTS AGREEMENTS
FOR APPROVAL
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**** REVISED ****

STUDENT LOAN PROVIDERS - MULTIPLE AWARD CONTRACT (Continued)							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
4	PNC	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be \$15,000,000.
5	Sallie Mae	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. One of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as necessary. Total loan volume for the first year across all lenders is estimated to be \$15,000,000.
6	Union Federal	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be approximately \$15,000,000.
7	Wells Fargo	UC-13-CGP041012	\$15,000,000	08/27/12-05/11/15	Student Funds - No UConn Funds Expended or Received	Wayne Locust, Vice President for Enrollment, Planning and Management	Provide student loan services to students enrolled at the Storrs, Regionals and Farmington campuses to include alternative loans (undergraduate and graduate), School of Law Bar Exam Loans, and/or School of Medicine/Dental Medicine Residency and Relocation loans for the 2013/2014 and 2014/2015 academic years. Loans provided to students at no cost to the University. Firm is one of seven firms selected as a result of a publicly advertised RFP. Initial term of contract is one (1) year with option to extend for one (1) additional one (1) year term for a total of two (2) years. Each firm will be called upon individually as selected by students. Potential total loan volume for the first year across all lenders is estimated to be \$15,000,000.

PROCUREMENT AMENDMENTS

A/V SERVICES, SUPPLIES AND EQUIPMENT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	HB Communications	UC-07-KJ110106	\$0 [Contract Previously Approved at \$16,411,577; Contract Value Remains the Same]	03/15/07-12/31/15	Multiple Sources	Matthew Larson, Director of Procurement Services	\$14,899,006	\$1,697,030	\$3,182,807	Master Agreement for the purchase of all University A/V services, equipment and supplies. Initial term 3/15/07-12/31/07 with eight (8) one (1) year extensions. Amend to exercise the sixth of eight (8) possible one (1) year extensions. Contract value remains the same.

FINANCIAL SYSTEM CONSULTING

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	The rSmart Group, Inc. dba, rSmart	PG082510	\$915,000 [Contract Previously Approved at \$9,149,983; Total New Contract Amount \$10,064,983]	01/03/11 -12/31/14	Multiple Sources	Richard Gray, Executive Vice President for Administration and Chief Financial Officer	\$6,426,387	\$3,939,932	\$2,423,559	Amend to extend end date to 12/31/14 and increase by \$915,000 for total new contract value of \$10,064,983 maximum amount payable and extend end date of contract for additional KFS project support for Application Developer, Report Writer, Rice Developer and System Architect to support University staff with critical KFS modifications. This is the result of a publicly advertised bid. Amend to extend end date to 12/31/14 and increase by \$915,000 for total new contract value of \$10,064,983.

FOOD CONTRACT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Performance Food Group	UC-11-KA091010-8	\$164,300 [Contract Previously Approved at \$1,500,000; Total New Contract Amount \$1,664,300]	03/01/11-02/14/14	Auxiliary Services	John Saddlemire, Vice President Student for Affairs	\$964,300	\$718,300	\$46,000	Provide meat, poultry and cheese products for Dining Services (Storrs campus) for the dining halls, catering, etc. Initial term is one year with four (4) one (1) year extensions. Amend to exercise second option to extend for one (1) year through 02/14/14 and increase \$164,300 for total new contract value of \$1,664,300.

CONTRACTS AGREEMENTS
FOR APPROVAL
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FURNITURE CONTRACTS										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Red Thread	UC-03-B092302-5	\$2,880,000 [Contract Previously Approved at \$20,700,000; Total new Contract Amount \$23,580,000]	05/01/03-04/30/15	Multiple Sources	Matthew Larson, Director of Procurement Services	\$19,812,000	\$1,237,000	\$2,300,000	Exclusive contract for purchase of system office furniture for all University locations. Annual master contract of convenience for office furniture. This is the result of a publicly advertised RFP. Amend to increase by \$2,880,000 for total new contract value of \$23,580,000.
ISP RACK & POWER SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Northeast Research & Education Network (NEREN)	MOA082709	\$80,300 [Contract Previously Approved at \$300,000; Total New Contract Amount \$380,300]	04/01/09-08/13/13	Multiple Sources	Nancy Bull, Vice Provost, Information Technology Services	\$300,000	\$81,350	\$81,350	Memorandum of Agreement (MOA) - The University locates and operates certain of its communications and computing equipment at the Safe Harbor Facilities located at 1 Federal Street, Springfield, MA and leased to Northeast Research and Education Network (NEREN) by RCN Metro Optical Networks. Fees paid by the University will be for rack space, power, network and escort fees. Amend to extend through 08/13/13 and increase contract value by \$80,300 for a new contract value of \$380,300.
ISP SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Northeast Research & Education Network (NEREN)	SS081712	\$500,000 [Contract Previously Approved at \$2,383,572; Total New Contract Amount \$2,883,572]	07/01/04-06/30/13	Multiple Sources	Nancy Bull, Vice Provost, Information Technology Services	\$2,251,708	\$134,433	\$388,832	For Old North Church (ONC) optical network project and Connecticut's share of the Northeast Research and Education Network (NEREN). Includes annual connector fee, membership fee, optics to connect, NEREN One member services, participation in the Northern Crossroad New England Gigapop for Internet II, hosted by MIT and administered by NEREN. Amend to extend end date one (1) year and increase contract value \$500,000 for a total new contract value of \$2,883,572.

CONTRACTS AGREEMENTS
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IT CONSULTING SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	SDI (Superior Design International)	09ITZ0047	\$0 [Contract Previously Approved at \$2,000,000; Contract Value Remains the Same]	02/01/09-01/31/13	Multiple Sources	Nancy Bull, Vice Provost, Information Technology Services	\$457,838	\$181,648	\$49,542	Provide IT Professional Service to include consultants for UITS Help Desk, Network & Security, Wireless Design and FAMIS upgrade under DOIT contract 09ITZ0047. Amend to extend through 01/31/13 to align with State's contract extension. Contract value remains the same.
2	On-Line Systems, Inc.	09ITZ0047	\$1,250,000 [Contract Previously Approved at \$2,000,000; Total New Contract Value of \$3,250,000]	02/01/09-01/31/13	Multiple Sources	Nancy Bull, Vice Provost, Information Technology Services	\$1,991,982	\$822,100	\$228,733	Provide IT Professional Service to include consultants for UITS Help Desk, Network & Security, Wireless Design and FAMIS upgrade under DOIT contract 09ITZ0047. Amend to extend through 01/31/13 to align with State's contract extension and increase contract value \$1,250,000 for total new contract value of \$1,325,000.
LEGAL SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Gordon, Muir and Foley, Attorneys at Law	Employment Agreement	\$500,000 [Contract Previously \$2,250,000; Total New Contract Amount \$2,750,000]	12/04/07-06/03/13	UCONN 2000	Matthew Larson, Director of Procurement Services	\$1,794,947	\$323,487	\$508,168	Primary law firm to provide legal services on construction related matters. Third amendment to extend contract term six (6) months to 06/03/13 and increase by \$500,000 for total new contract value of \$2,750,000. (Original contract approved by BOT on 12/04/07).

CONTRACTS AGREEMENTS
FOR APPROVAL
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* * R E V I S E D * *

OFFICE SUPPLIES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Staples Advantage (formerly Corporate Express)	UC-08-KJ031607	\$800,000 [Contract Previously Approved at \$3,512,000; Total new Contract Amount \$4,312,000]	01/02/08-03/31/13	Multiple Sources	Matthew Larson, Director of Procurement Services	\$3,483,000	\$565,000	\$700,000	Amend exclusive agreement with office supply dealer to supply and deliver general office supplies to the University, Storrs campus, regional campuses and extension offices located throughout the State of CT. This is the result of a RFP which was publicly advertised. Original term of contract 01/02/08-12/31/08, with four one year extensions for a total of five years. Amend to increase contract by \$800,000 for total new contract value of \$4,312,000 and extend term to 03/31/13.
SATELLITE/CABLE TV SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Charter Communications	UC-10-PG022009	\$1,000,000 [Contract Previously Approved at \$3,000,000 for a Total new Contract Value of \$4,000,000]	03/01/10-02/28/16	Multiple Sources	Nancy Bull, Vice Provost, Information Technology Services	\$1,487,575	\$478,194	\$485,268	Provide cable and/or satellite TV services to the campus via Telecommunications. This is the result of a publically advertised RFP. Initial term for three years with option to extend for one (1) three (3) year term. Amend to extend through 02/28/16 and increase by \$1,000,000 for a new contract value of \$4,000,000.
TRAVEL SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Orbitz for Business	UC-06-WH021705	\$1,200,000 [Contract Previously Approved at \$4,209,908; Total New Contract Amount \$5,409,908]	02/21/09-03/31/13	Multiple Sources	Matthew Larson, Director of Procurement Services	\$4,186,700	\$778,247	\$668,185	Exclusive contract for on-line travel services for all University locations. Master contract of convenience for on-line travel services. Amend to extend contract for an additional three (3) months through 03/31/13 and increase contract value by \$1,200,000 for total new contract value of \$5,409,908.
2	Worldtek Travel Management	UC-09-KJ071808	\$800,000 [Contract Previously Approved at \$3,500,000; Total New Contract Amount \$4,300,000]	05/01/09-03/31/13	Multiple Sources	Matthew Larson, Director of Procurement Services	\$3,479,000	\$827,900	\$933,404	Provide travel services for the University and Health Center faculty, staff and students traveling on official University business. Amend to extend term through 03/31/13 and increase value by \$800,000 for total new contract value of \$4,300,000.

CONTRACTS AGREEMENTS
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** REVISED **

UTILITY PLANT SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Nalco Company	UC-09-PL092408	\$500,000 [Contract Previously Approved at \$2,000,000; Total New Contract Amount \$2,500,000]	01/01/09-06/30/13	Operating Fund - General	Kenneth Egeberg, AVP Architectural, Engineering and Building Services	\$1,849,029	\$466,735	\$412,375	Contract to provide water treatment services, equipment, supplies and consulting for all campus locations. Initial three (3) year term with the option to extend for an additional three (3) year term. Amend to extend contract for an additional six (6) month term to 06/30/13 and increase value by \$500,000 for total new contract value of \$2,500,000.

LEASES FOR APPROVAL

UNIVERSITY AS LESSEE						
No.	Lessor	Annual Amount Receivable	Term	Fund Source	Program Director	Purpose
1	Farmington Exchange, LLC	\$177,000	10/01/12-09/30/17	Operating Fund-General	Mark Siraco, Director, Graduate Medical Education	This lease will provide 9,799 rentable square feet of leased space at the Farmington Exchange, Suite 262, Farmington, CT for Occupation Medicine.
2	University of Connecticut	\$1	12/01/12-09/30/57	UCHC Finance Corporation Fund-General	Richard Gray, Executive Director	The UCHC Finance Corporation will enter into a 45 years ground lease with the University of Connecticut as part of the development and construction of the Ambulatory Care Center on the main campus of the Health Center
3	UCHC Finance Corporation - subsidiary	\$13,900,000	04/01/15-03/31/40	Operating Fund-General	Dr. Frank Torti, Executive Vice President Health Affairs	The Health Center will enter into a 25 years lease with the UCHC Finance Corporation subsidiary to be created to lease approx. 300,000 sqft of space as part of the development and construction of the Ambulatory Care Center on the main campus of the Health Center
4	Leyland Storrs, LLC	\$90,000	05/01/13-11/30/28	Operating Fund-General	Dr. Monty MacNeil Dean, School of Dental Medicine	Lease for property located at Storrs Center Mansfield, CT in order to provide "Dental Services" within the New Storrs Town Project. The lease will provide 2,644 sq ft of space for Dental Services. This is a fifteen year lease and includes Common Area Maintenance Charges(CAM).
5	EH 800 Connecticut Blvd, LLC	\$501,000	09/01/13-08/31/23	Operating Fund-General	Amanda Hopkins Tirrell, COO UMG	This lease will provide 18,215 square feet of space at 800 Connecticut Blvd East Hartford, CT. This is a ten year lease and includes base rent and utilities. This new location provides the UConn Medical Group(UMG) Class A Medical Space in the Greater Hartford Area, it is in close proximity to the current location allowing minimal disruption and continuity of patient care.
6	Homewood Suites	\$165,000	11/01/12-10/31/14	Operating Fund-General	Anne Diamond, COO JDH	Lease for space located at 2 Farm Glen Farmington, CT in order to provide space to the UCHC Sleep Services Program to conduct sleep disorder studies. This is a two year agreement and includes one, 2 bedroom suite to accommodate one study location and control room for technicians and three, 1 bedroom suites to accommodate three study locations.

CONTRACTS AGREEMENTS
FOR APPROVAL
November 14, 2012

* * R E V I S E D * *

UNIVERSITY AS LESSOR						
No.	Lessee	Annual Amount Receivable	Term	Fund Source	Program Director	Purpose
1	Eight Mile River Wild & Scenic Study	\$1,845	01/01/13-12/31/13	Operating Fund - General	Alexandria Roe, Director of University Planning	Renewal of lease for office space comprising approximately 150 s.f. of office space in the enclosed lower level of the Middlesex Agricultural Building located at 1066 Saybrook Road, Haddam, Connecticut. Rent increased 2 1/2% for new lease term.
2	Interdistrict Committee for Project Oceanology	\$180,000 <i>(cash and in-kind services)</i>	12/01/12-11/30/17	Operating Fund - General	Alexandria Roe, Director of University Planning	Lease of the Project Oceanology building, having approximately 31,000 s.f., and related dock space, small boat basin, shop and gear storage, small boat storage area, pump house, parking spaces and access to shoreline areas on the grounds of the Avery Point campus. The lease agreement is five (5) years, with two (2) additional five (5) year options to renew. The leased premises are used for oceanology research, education, public outreach and related business activities of Project Oceanology. The total value received by the University from Project Oceanology is \$180,000 per year composed of both cash payments and services/benefits.
3	Town of Mansfield	\$1	03/01/13-02/28/14	Operating Fund - General	Alexandria Roe, Director of University Planning	Renewal of lease for Tredgold Hall on the grounds of the Depot Campus at 123 Walters Avenue, Mansfield for storage use.

ATTACHMENT 2




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

Richard D. Gray
*Executive Vice President
for Administration
and Chief Financial Officer*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Richard Gray, 
Executive Vice President for Administration and Chief Financial Officer

RE: Ground Lease between the University of Connecticut and the University of
Connecticut Health Center Finance Corporation

RECOMMENDATION:

That the Board of Trustees approve the Ground Lease and related authorizations between the University of Connecticut and the University of Connecticut Health Center Finance Corporation, as detailed in the attached documents.

BACKGROUND:

That the University of Connecticut Health Center Finance Corporation enter into a 45 year Ground Lease with the University of Connecticut as part of the development and construction of the Ambulatory Care Center on the main campus of the Health Center, as detailed in the attached documents.

Attachments

An Equal Opportunity Employer

352 Mansfield Road Unit 2122
Storrs, Connecticut 06269-2122

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

**RESOLUTIONS OF
THE BOARD OF TRUSTEES
OF
THE UNIVERSITY OF CONNECTICUT
Adopted: November 14, 2012**

WHEREAS, the Board of Trustees (the "Board") of THE UNIVERSITY OF CONNECTICUT (the "University") desires to adopt resolutions authorizing the lease of certain real property owned by the University located adjacent to the Medical Arts and Research Building, north of the University of Connecticut Health Center main facility in Farmington, Connecticut (the "Property") to a subsidiary of the University of Connecticut Health Center Finance Corporation (the "Subsidiary"); and

WHEREAS, the Subsidiary shall (a) use the Property to design, construct and equip an Ambulatory Care Center and related facilities (the "Project"); (b) borrow funds for the Project (the "Financing"), as described in more detail in the letter dated August 9, 2012 from Teachers Insurance and Annuity Association (the "Lender"), which letter is attached hereto as Schedule A (the "Commitment Letter"); (c) enter into documents related to the Project and the Financing; (d) lease the Property from the University for the Project; and (e) further lease the Property and Project to The University of Connecticut Health Center; and

WHEREAS, the Board deems it advisable and appropriate to authorize the University's officers to take all necessary actions required by the University in connection with the leasing of the Property and to authorize the Subsidiary to further lease the Property and to mortgage its leasehold interest as described in these resolutions.

NOW, THEREFORE, BE IT

RESOLVED, that the University is authorized to enter into a lease transaction with the Subsidiary, as lessee, and the University, as lessor, for the Property; and

FURTHER RESOLVED, that the President of the University of Connecticut or her designee (each an "Authorized Signer") is authorized, acting alone, to negotiate, execute and deliver any such lease (the "Lease"), the Lease to contain such terms and conditions as such Authorized Signer, acting alone, may approve, his or her execution and delivery of the Lease to be conclusive evidence of such approval; and

FURTHER RESOLVED, that the University authorizes the Subsidiary to further lease the Property and mortgage its leasehold interest in the Property and the Project as security for the Financing, as described in more detail in the Commitment Letter; and

FURTHER RESOLVED, that each Authorized Signer shall be authorized and empowered, acting alone, to execute and deliver, in the name and on behalf of the University, any other consent, contract, agreement, document, instrument, certificate or affidavit necessary or required to effectuate the Lease or other document contemplated by the Commitment Letter and to carry out the intent of and the transactions contemplated by these resolutions; and that any such Authorized Signer is authorized and empowered, acting alone, to take all other actions necessary or required to effectuate the Lease and to carry out the intent of and the transactions contemplated by

these resolutions. The necessity of each such document or action shall be conclusively evidenced by the execution and delivery or taking thereof by any such Authorized Signer; and

FURTHER RESOLVED, any and all actions taken or caused to be taken by any Authorized Signer in the name and on behalf of the University, in connection with the execution and delivery of any document or agreement required to carry out the intent of and the transactions contemplated by these resolutions, be and the same hereby is approved, ratified and confirmed in all respects.

2443474v3



730 Third Avenue, New York, NY 10017

August 9, 2012

University of Connecticut Health Center Finance Corporation
263 Farmington Avenue
Farmington, CT 06030

Attn: Richard D. Gray | Executive Director

Re: A Bankruptcy Remote Special Purpose Entity ("Lessor" or "Borrower")
University of Connecticut Health Center ("Lessee")
\$203,000,000 (+/- 1%) 4.809% Secured Notes due 2040 ("Notes")

Gentlemen:

Teachers Insurance and Annuity Association of America ("TIAA") is pleased to inform you of our agreement to acquire the Notes to provide construction and permanent financing for the Lessee's to-be-built Ambulatory Care Center and equipment located in Farmington, Connecticut (the "Property"). The Notes are to yield 4.809% on a monthly basis (the "Rate") and be issued at a dollar price equal to 100% of par. Except as otherwise set forth below, the proposal will be substantially in accordance with the attached Proposed Summary of Terms (the "Summary"). Capitalized terms used but not defined herein shall have the meanings ascribed to them in the Summary.

1. Conditions to Acquisition of Notes:

(a) TIAA's acquisition of the Notes is contingent upon the preparation, execution and delivery of documents, in form and substance reasonably satisfactory to TIAA and to TIAA's special counsel, substantially in accordance with the Summary. TIAA's acquisition of the Notes will be further contingent upon the satisfactory completion of due diligence, including, without limitation, appraisal, environmental, seismic (if needed) and engineering reports; and is further contingent upon, among other things, the absence of (i) any material adverse change in the business, operations, creditworthiness or financial condition of the Lessee (ii) any material default by the Lessee under its Lease.

(b) The documents shall contain such representations and warranties, closing conditions, covenants, events of default and remedies, requirements for delivery of financial statements, and other information and provisions as are usual and customary in this type of transaction and as we and our special counsel may deem reasonably necessary to accomplish this transaction.

(c) Such authorization will expire if the necessary documents, as foresaid, have not been executed and the transaction has not closed, other than primarily through TIAA's fault, on or prior to Dec. 31, 2012 (the "Closing Date"), unless TIAA has extended such date in writing.

2. Special Counsel: Dechert LLP

3. Expenses: University of Connecticut Health Center Finance Corp. ("UCHCFC") agrees to pay, or ^{Schedule A} cause to pay, TIAA for all reasonable and out-of-pocket expenses incurred in connection with this transaction, including, without limitation, fees and expenses of our special counsel, local counsel, printing costs, costs of procuring a private placement number, the initial NAIC filing fee, broker's or finder's fees or commissions, and appraisal, engineering, construction review/monitoring, and environmental reports, whether or not this transaction is consummated.

4. Confidentiality: Unless otherwise required by law, you are in agreement that you will not disclose, and you will cause your affiliates not to disclose, to any other person (other than your partners, representatives or advisors on a need to know basis) the existence of this letter or the Summary, the identity of TIAA as a party to this letter or any information included in the attached Summary, nor will you issue or make any press announcements or press release or statement relating to same, in each case without TIAA's prior written consent, unless as required by law.

If the foregoing properly sets forth your understanding of this transaction, please evidence acceptance of the conditions of this letter by having it executed below by a duly authorized officer of UCHCFC and by returning to TIAA one executed counterpart for the attention of David Persky, Global Private Markets, along with a check payable to Teachers Insurance and Annuity Association of America in the amount of \$200,000 in immediately available and good funds, as a good faith deposit and to cover estimated transaction expenses.

In the event the Notes are acquired, the good faith deposit will be returned to the payor in its entirety.

In the event the Notes are not acquired and subject to the following two sentences, if the payor has acted in good faith to comply with all terms and conditions set forth herein (as determined by TIAA in its reasonable discretion) and TIAA elects not to acquire the Notes, the good faith deposit will be used to pay for all of TIAA's expenses and any remaining balance shall be returned to the payor. In addition, if TIAA does not acquire the Notes due to a material adverse change with respect to the business, operations, creditworthiness or financial condition of the Lessee or the Borrower, the good faith deposit will be used to pay for all of TIAA's reasonable out-of-pocket expenses and any remaining balance shall be returned to the payor. In all other circumstances, if the Notes are not acquired due to the payor's failure to act in good faith to comply with the terms and conditions set forth herein, then TIAA shall retain the entire good faith deposit. Notwithstanding the foregoing, in the event that TIAA defaults in its obligations hereunder due to its bankruptcy or insolvency, then Borrower shall be entitled to the return of the full amount of the good faith deposit.

Furthermore, notwithstanding anything else to the contrary herein, from and after the date hereof to and including December 31, 2012 if (i) Borrower obtains financing for the Property from another lender or (ii) Borrower signs any commitment with another lender to obtain such financing and TIAA has not notified Borrower in writing that it has elected not to acquire the Notes, the good faith deposit will be retained by TIAA in its entirety and Borrower hereby agrees to pay or cause to be paid to TIAA an additional Make-Whole Amount (if such amount is a positive number), which shall be calculated in good faith as follows:

TIAA shall calculate the Make-Whole Amount payable as if the Notes, bearing the terms set forth in the Summary, had been acquired by TIAA on the earlier of the occurrence of (i) or (ii) above and immediately thereafter prepaid in full, in accordance with standard market practices for calculating "make-whole" or yield maintenance and assuming a discount rate of U.S. Treasuries plus 50 basis points. Borrower agrees to promptly notify TIAA in writing of the occurrence of either event set forth in items (i) or (ii) in the first sentence of this paragraph, and TIAA and Borrower agree that the payment of such Make-Whole Amount represents a reasonable and appropriate approximation of the harm suffered by TIAA if either event set forth in items (i) or (ii) in the first sentence of this paragraph occurs.

Upon receipt by TIAA of an executed counterpart of this letter along with a check in the amount specified above in immediately available and good funds, our agreement to purchase from you and your agreement to issue, sell and deliver the Notes to us, upon the terms and conditions set forth herein, shall become a binding agreement between us. Failure to receive such counterpart and check by August 16, 2012 will constitute termination of the agreements contained herein, unless TIAA has extended such date in writing. Notwithstanding the foregoing, for the avoidance of doubt, in the event of a termination pursuant to the prior sentence, Borrower will remain liable for the expenses of TIAA as provided above.

Very truly yours,

TEACHERS INSURANCE AND ANNUITY ASSOCIATION OF AMERICA

By David Persky ECH
Name:
Title: **DAVID G. PERSKY**
MANAGING DIRECTOR

Accepted and agreed to:

University of Connecticut Health Center Finance Corporation

By: Richard D. Gray
Name: Richard D. Gray
Title: Executive Director

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule A

PROPOSED SUMMARY OF TERMS

Purpose:	<p>Provide financing for the construction and long term ownership of a 300,000 square foot Ambulatory Care Center ("ACC") and two parking facilities with 1,200-1,600 spaces ("Project") located adjacent to the Medical Arts and Research Building north of the UCHC main facility on its Farmington, CT campus.</p> <p>Landlord/Borrower shall borrow the funds and the Tenant will act as the construction agent and develop the Project on the Landlord's behalf.</p>
Timing:	<p><i>Landlord commenced predevelopment of the Project effective January 1, 2012. The CTL Closing is targeted for the 4th quarter of 2012 and Landlord shall commence construction no later than April 2013 with the first funding to occur on December 1, 2012 and complete construction no later than the earlier of the Construction Completion Date or March 31, 2015.</i></p>
Funding:	<p>First funding to occur on Dec. 1, 2012 with subsequent fundings to occur over 25 months per the draw schedule on Schedule <u>1</u></p>
Use of Funds:	<p>Approximately \$203,000,000 (+/- 1%) financing including i) \$187,200,000 for the soft and hard costs of the construction of the ACC plus two parking facilities with 1,200-1,600 spaces, financing fees and expenses including an interest reserve for the development period, and ii) \$15,800,000 for the ACC's equipment including an interest reserve ("Equipment").</p>
Landlord/Borrower:	<p>A bankruptcy remote special purpose entity, acceptable to TIAA, owned by University of Connecticut Health Center Finance Corporation</p>
Tenant:	<p>University of Connecticut Health Center (UCHC)</p> <ul style="list-style-type: none">- UCHC is a constituent unit of the University of Connecticut, whose financial obligations are binding on the State of Connecticut- No appropriation risk- Opinion of Counsel from State Attorney General's office or other acceptable counsel reflecting the foregoing, satisfactory to TIAA is required
Lender:	<p>TIAA</p>
Type of Financing:	<p>Credit Tenant Lease ("CTL") which allows the Lender to provide financing for 100% of the Project cost</p>

<i>Loan to Cost:</i>	Not to exceed 100%
<i>Lease:</i>	<ul style="list-style-type: none"> - Date certain lease with rent commencing on April 1, 2015 regardless if construction is completed - Triple net bond lease (no landlord obligations) - No lease termination due to casualty
<i>Principal Amount:</i>	\$203,000,000 (+/- 1%)
<i>Lease Term:</i>	25 years commencing upon the Rent Commencement Date
<i>Loan Term:</i>	25 years plus Construction Period commencing upon Closing Date.
<i>Loan Amortization Period:</i>	25 years commencing upon the Rent Commencement Date
<i>Rent Commencement:</i>	Rent Commencement Date shall be the earlier of the Construction Completion Date of the Project or April 1, 2015
<i>Date Certain Lease:</i>	The Lease shall commence no later than April 1, 2015 without any Tenant right to cancel or terminate the Lease or cause or delay the payment of Rent or change the Rent Commencement Date
<i>Maturity/Average Life:</i>	27.4 years/ 17.4 years (approximately) <ul style="list-style-type: none"> - Interest only during construction period (interest reserve to be funded at closing and each draw to service interest) - 25 month construction period - P&I commences upon Rent Commencement Date - Fully amortizing, no balloon payment
<i>Pricing Basis:</i>	4.809%
<i>Debt Service:</i>	Projected monthly interest and principal payments are approximately \$1,157,338.24 (attach full schedule if necessary) and are payable to the Lender on the 15 th day of each calendar month ("Payment Dates") commencing on the 15 th day after Rent Commencement Date
<i>Base Rent/ DSC Ratio:</i>	1.0x DSC (after trustee fees)

Key Documents:

Reciprocal Easement Agreement, Lease, Ground Lease, Participation Agreement, Leasehold Mortgage, Promissory Note, Construction Escrow Agreement from Tenant and Landlord in a form acceptable to the parties, Assignment of Lease, Collateral Assignment of Construction Documents, Recourse Carve-out Guaranty, Hazardous Substances Indemnity Agreement, Assignment of Warranties, SNDA, Tenant and Ground Lessor Estoppel Certificates, and any other documents reasonably required by TIAA.

Rate Lock:

After rate lock, a commitment letter will be sent to the Borrower at which time a good faith deposit of \$200,000 to cover transaction expenses will be required.

Expected Closing Date:

Dec. 3, 2012

Ground Lease:

- Ground Lessee is The University of Connecticut Health Center Finance Corp.
- Ground Lessor is UCHC
- All Ground Lease obligations are pass through to Tenant as obligations under the Lease
- Term of Ground Lease is 20 years longer than Maturity
- \$1 per year ground rent
- Default under the Lease will not result in a default under the Ground Lease
- Default under the Ground Lease will be a Lease default
- Default will result in extension of ground lease term at TIAA's option
- Tenant's interest in Ground Lease to be subject to Leasehold Mortgage

Security:

- First mortgage on leasehold in land and ownership of improvements
- First lien on Equipment
- Assignment of Lease
- Lien on funds held in reserve during construction, including construction reserve and capitalized interest reserve
- Assignment of all construction documents and contracts, including GMP
- Assignment of all Warranties

Construction Budget and Funding Schedule:

See Attached Schedule 1 for a proposed Lender Funding Schedule

***Construction Interest
Reserve Accrual:***

Monthly interest charges shall accrue during construction on the accumulated loan principal based on an interest rate of 4.809%_ ("Construction Interest Reserve Accrual").

Casualty/Condemnation:

No lease termination due to casualty; payable at par by Tenant if substantial condemnation occurs resulting in lease termination

Insurance Requirements:

Tenant shall purchase casualty and/or liability insurance from a carrier rated at least "A-" by S&P or if Tenant meets NAIC requirements for doing so, it may self-insure.

Optional Redemption:

Borrower shall be permitted, at any time, to redeem the Note in full but not in part by paying the then-outstanding principal amount of the Note, accrued interest and make-whole premium calculated by discounting the then remaining principal and interest payments at a rate equivalent to a U.S. Treasury security (corresponding) to the remaining average life of the Note) plus 50] basis points.

Recourse Carve-outs:

The Loan shall be non-recourse to the Borrower, provided, however, that [UCHC Finance Corp.] shall be required to indemnify the lender against losses for standard recourse carve-outs including, without limitation, fraud, misrepresentation, misappropriation of funds, breach of exclusive use provision, and environmental remediation.

Transfer:

The Borrower shall be permitted to transfer the property or the ownership interests in the borrowing entity to any entity owned, controlled or a part of the State of Connecticut and otherwise only once during the term of the loan subject to the payment of a transfer fee equal to 1/8% of the then outstanding loan amount and payment of lender expenses incurred in connection with the transfer, subject to conditions in the Loan Documents. No transfer fee shall apply to a transfer to the State as herein described. The Borrower must be at all times a bankruptcy remote special purpose entity.

NAIC/Schedule D:

The financing transaction shall be structured to comply with the NAIC requirements for Schedule D treatment by the Lender.

Expenses:

All expenses incurred in connection with this financing, whether or not the transaction closes, shall be Borrower's responsibility including, without limitation, title insurance, survey, mortgage or tax stamps, recording fees, Borrower's and Lender's legal fees and

expenses, local counsel, appraisal, construction monitoring and engineering and environmental audit. Such costs shall be in addition to any other damages for which Borrower is liable under the Loan Agreement. The Lender will not order any third party reports and such reports shall be the responsibility of Borrower.

Assignment:

The Borrower may not transfer this Term Sheet to any party without the prior written consent of the Lender.

Termination:

Lender may terminate this Term Sheet by written notice to Borrower in the sole discretion of the Lender if (i) a material adverse change has occurred with respect to the creditworthiness or financial condition of the Tenant, the Borrower, its principal(s) or any other party whose management or financial condition is material to the making of the subject loan, (ii) the Borrower fails to comply with any material term of this Term Sheet, (iii) any representation or warranty of the Borrower or any information provided by the Borrower is false or misleading in any material respect as of the date made or provided, (iv) the subject property is condemned or condemnation proceeding have been initiated with respect thereto.

Closing Conditions:

A Lender's obligation to close and fund the Loan is subject to delivery by Borrower of, among other standard loan closing requirements, the following items in form and substance satisfactory to Lender: all of the Key Documents, title insurance, legal opinions, survey, insurance certificates, environmental audit, appraisal, evidence of zoning compliance, Subordination and Non-Disturbance Agreement (SNDA), no-condemnation letter and evidence of no flood zone, no material adverse change in the financial condition of the Tenant and Borrower.

Lender's Counsel:

Dechert, LLP

Trustee:

Wells Fargo Bank Northwest, N.A.

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule A

Schedule 1 – ACC Development Budget			
UCHC ACC Project			
Development Budget			
Accounts	description	Subtotal	costs \$
1001	Design Build Architect - Core & Shell - 8%		1,577,000
1002	Design Build - Site, Parking, Core & Shell		78,825,000
	Parking Garage - 1350 cars @ \$20k ea	27,000,000	
	Clinical - 165,000 gsf @ \$147.5/sf	24,337,500	
	Dental - 105,000 gsf @ \$147.5/sf	15,487,500	
	Sitework	12,000,000	
1003	Fit-Out Clinical and Dental		58,327,500
	Clinical - 165,000 gsf @ \$197.5/sf	32,587,500	
	Dental - 105,000 gsf @ \$247.5/sf	25,740,000	
3001	Voice/Data Cabling - \$3/sf		810,000
3004	TV/Cable - wiring \$1/sf		270,000
3005	Security - \$2/ sf		540,000
3006	Wireless - \$3/sf		810,000
10001	OCIP Premium & Brokerage fee		2,500,000
12001	Uncommitted Project Contingency + adj.		16,002,761
Hard Costs			159,662,261
2101	DB Criteria Architect		1,700,000
2102	Design Services: Fit-out		6,999,300
2201	Environmental Consultant		300,000
2299	IT Consultant		250,000
5001	Construction Administration		400,000
6001	Special Inspections		400,000
6003	Air Balance		150,000
6004	Materials Testing		250,000
6005	Independent Plan Review		300,000
6007	Commissioning		540,000
6008	Site Survey		100,000
6010	PMO Fees		2,700,000
6099	Site Safety		1,310,000
8001	Relocation		270,000
8099	Logistics /Operation Transistion Planning		200,000
10004	Legal		750,000
11001	Reproduction		10,000
11002	Advertising		24,000
11003	Facilities Management Costs		15,000
11005	Financing Consultant		1,330,000
Soft Cost			17,998,300
3002	Equipment - Data: \$10/sf, Telephone: \$2/sf		3,240,000
3007	Wayfinding Systems		540,000
4101	Furniture \$15/sf		4,050,000
4202	Clinical & Dental Equipment - \$25/sf		6,750,000
4203	AV Equipment - \$2/sf		540,000
7099	Other Art - .5% of Fit-Out		290,000
Equipment			\$15,410,000
Total Costs before Interest Reserve			\$193,070,561
Capitalized Interest			9,929,439
	Building Cost Construction Interest	9,525,616	
	Equipment Cost Construction Interest	403,823	
Total Project and Equipment Development Cost			\$203,000,000

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule 1 – Financing Draw Schedule

CTL Financing Closing, Quarterly Draw Schedule and Accrued Interest											
	Draw Date (Start of Quarter)	12/1/2012	4/1/2013	7/1/2013	10/1/2013	1/1/2014	4/1/2014	7/1/2014	10/1/2014	1/1/2015	
	End of Quarter	3/31/2013	6/30/2013	9/30/2013	12/31/2013	3/31/2014	6/30/2014	9/30/2014	12/31/2014	3/31/2015	
Total Project Cost (Hard & Soft)		Closing + 1st D	2nd QD	3rd QD	4th QD	5th QD	6th QD	7th QD	8th QD	9th QD	Total
Closing/Quarterly Draw Schedule		8,244,854	6,636,205	15,513,511	26,424,761	30,473,014	18,580,704	20,317,454	44,723,759	6,746,301	177,660,561
Funding Balance - Start of Quarter		8,244,854	15,011,603	30,703,376	57,492,739	88,648,479	108,281,883	129,885,184	176,151,330	184,989,427	
Accrued Interest		130,544	178,263	364,603	682,726	1,052,701	1,285,847	1,542,387	2,091,797	2,196,749	9,525,616
Funding Balance - End of Quarter		8,375,398	15,189,865	31,067,978	58,175,465	89,701,180	109,567,731	131,427,571	178,243,127	187,186,177	
Total Project Cost before Interest Reserve		177,660,561									
Total Construction Funding Period	Months	28									
Total Capitalized Interest		9,525,616									
Total Project Cost		187,186,177									
Lease Term (Amortization Period)	Years	25									
Lease Commencement (Date Certain)		4/1/2015									
Total Equipment Cost		Closing + 1st D	2nd QD	3rd QD	4th QD	5th QD	6th QD	7th QD	8th QD	9th QD	Total
Closing/Quarterly Draw Schedule		0	0	0	0	616,845	202,500	3,033,094	9,149,252	2,408,309	15,410,000
Funding Balance - Start of Quarter		0	0	0	0	616,845	826,670	3,869,581	13,064,784	15,628,237	
Accrued Interest		0	0	0	0	7,325	9,817	45,951	155,144	185,585	403,823
Funding Balance - End of Quarter		0	0	0	0	624,170	836,487	3,915,532	13,219,928	15,813,823	
Total Equipment Cost		15,410,000									
Total Construction Funding Period	Months	15									
Total Capitalized Interest		403,823									
Total Equipment Development Cost		15,813,823									
Equipment Lease Term (Amortization)	Years	25									
Lease Commencement (Date Certain)		4/1/2015									
Total Project and Equipment Cost before Interest Reserve		193,070,561									
Total Capitalized Interest		9,929,439									
Total Project & Equipment Cost		203,000,000									

Schedule A

ATTACHMENT 3




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

Richard D. Gray
*Executive Vice President
for Administration
and Chief Financial Officer*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Richard Gray, 
Executive Vice President for Administration and Chief Financial Officer

RE: Ground Lease between the University of Connecticut and the University of Connecticut Health Center Finance Corporation

RECOMMENDATION:

That the Board of Trustees approve the Ground Lease and related authorizations between the University of Connecticut and the University of Connecticut Health Center Finance Corporation, as detailed in the attached documents.

BACKGROUND:

That the University of Connecticut Health Center Finance Corporation enter into a 45 year Ground Lease with the University of Connecticut as part of the development and construction of the Ambulatory Care Center on the main campus of the Health Center, as detailed in the attached documents.

Attachments

An Equal Opportunity Employer

352 Mansfield Road Unit 2122
Storrs, Connecticut 06269-2122

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

**RESOLUTIONS OF
THE BOARD OF TRUSTEES
OF
THE UNIVERSITY OF CONNECTICUT
Adopted: November 14, 2012**

WHEREAS, the Board of Trustees (the "Board") of THE UNIVERSITY OF CONNECTICUT (the "University") desires to adopt resolutions authorizing the lease of certain real property owned by the University located adjacent to the Medical Arts and Research Building, north of the University of Connecticut Health Center main facility in Farmington, Connecticut (the "Property") to a subsidiary of the University of Connecticut Health Center Finance Corporation (the "Subsidiary"); and

WHEREAS, the Subsidiary shall (a) use the Property to design, construct and equip an Ambulatory Care Center and related facilities (the "Project"); (b) borrow funds for the Project (the "Financing"), as described in more detail in the letter dated August 9, 2012 from Teachers Insurance and Annuity Association (the "Lender"), which letter is attached hereto as Schedule A (the "Commitment Letter"); (c) enter into documents related to the Project and the Financing; (d) lease the Property from the University for the Project; and (e) further lease the Property and Project to The University of Connecticut Health Center; and

WHEREAS, the Board deems it advisable and appropriate to authorize the University's officers to take all necessary actions required by the University in connection with the leasing of the Property and to authorize the Subsidiary to further lease the Property and to mortgage its leasehold interest as described in these resolutions.

NOW, THEREFORE, BE IT

RESOLVED, that the University is authorized to enter into a lease transaction with the Subsidiary, as lessee, and the University, as lessor, for the Property; and

FURTHER RESOLVED, that the President of the University of Connecticut or her designee (each an "Authorized Signer") is authorized, acting alone, to negotiate, execute and deliver any such lease (the "Lease"), the Lease to contain such terms and conditions as such Authorized Signer, acting alone, may approve, his or her execution and delivery of the Lease to be conclusive evidence of such approval; and

FURTHER RESOLVED, that the University authorizes the Subsidiary to further lease the Property and mortgage its leasehold interest in the Property and the Project as security for the Financing, as described in more detail in the Commitment Letter; and

FURTHER RESOLVED, that each Authorized Signer shall be authorized and empowered, acting alone, to execute and deliver, in the name and on behalf of the University, any other consent, contract, agreement, document, instrument, certificate or affidavit necessary or required to effectuate the Lease or other document contemplated by the Commitment Letter and to carry out the intent of and the transactions contemplated by these resolutions; and that any such Authorized Signer is authorized and empowered, acting alone, to take all other actions necessary or required to effectuate the Lease and to carry out the intent of and the transactions contemplated by

these resolutions. The necessity of each such document or action shall be conclusively evidenced by the execution and delivery or taking thereof by any such Authorized Signer; and

FURTHER RESOLVED, any and all actions taken or caused to be taken by any Authorized Signer in the name and on behalf of the University, in connection with the execution and delivery of any document or agreement required to carry out the intent of and the transactions contemplated by these resolutions, be and the same hereby is approved, ratified and confirmed in all respects.

2443474v3



730 Third Avenue, New York, NY 10017

August 9, 2012

University of Connecticut Health Center Finance Corporation
263 Farmington Avenue
Farmington, CT 06030

Attn: Richard D. Gray | Executive Director

Re: A Bankruptcy Remote Special Purpose Entity ("Lessor" or "Borrower")
University of Connecticut Health Center ("Lessee")
\$203,000,000 (+/- 1%) 4.809% Secured Notes due 2040 ("Notes")

Gentlemen:

Teachers Insurance and Annuity Association of America ("TIAA") is pleased to inform you of our agreement to acquire the Notes to provide construction and permanent financing for the Lessee's to-be-built Ambulatory Care Center and equipment located in Farmington, Connecticut (the "Property"). The Notes are to yield 4.809% on a monthly basis (the "Rate") and be issued at a dollar price equal to 100% of par. Except as otherwise set forth below, the proposal will be substantially in accordance with the attached Proposed Summary of Terms (the "Summary"). Capitalized terms used but not defined herein shall have the meanings ascribed to them in the Summary.

1. Conditions to Acquisition of Notes:

(a) TIAA's acquisition of the Notes is contingent upon the preparation, execution and delivery of documents, in form and substance reasonably satisfactory to TIAA and to TIAA's special counsel, substantially in accordance with the Summary. TIAA's acquisition of the Notes will be further contingent upon the satisfactory completion of due diligence, including, without limitation, appraisal, environmental, seismic (if needed) and engineering reports; and is further contingent upon, among other things, the absence of (i) any material adverse change in the business, operations, creditworthiness or financial condition of the Lessee (ii) any material default by the Lessee under its Lease.

(b) The documents shall contain such representations and warranties, closing conditions, covenants, events of default and remedies, requirements for delivery of financial statements, and other information and provisions as are usual and customary in this type of transaction and as we and our special counsel may deem reasonably necessary to accomplish this transaction.

(c) Such authorization will expire if the necessary documents, as foresaid, have not been executed and the transaction has not closed, other than primarily through TIAA's fault, on or prior to Dec. 31, 2012 (the "Closing Date"), unless TIAA has extended such date in writing.

2. Special Counsel: Dechert LLP

3. Expenses: University of Connecticut Health Center Finance Corp. ("UCHCFC") agrees to pay, or ^{Schedule A} cause to pay, TIAA for all reasonable and out-of-pocket expenses incurred in connection with this transaction, including, without limitation, fees and expenses of our special counsel, local counsel, printing costs, costs of procuring a private placement number, the initial NAIC filing fee, broker's or finder's fees or commissions, and appraisal, engineering, construction review/monitoring, and environmental reports, whether or not this transaction is consummated.

4. Confidentiality: Unless otherwise required by law, you are in agreement that you will not disclose, and you will cause your affiliates not to disclose, to any other person (other than your partners, representatives or advisors on a need to know basis) the existence of this letter or the Summary, the identity of TIAA as a party to this letter or any information included in the attached Summary, nor will you issue or make any press announcements or press release or statement relating to same, in each case without TIAA's prior written consent, unless as required by law.

If the foregoing properly sets forth your understanding of this transaction, please evidence acceptance of the conditions of this letter by having it executed below by a duly authorized officer of UCHCFC and by returning to TIAA one executed counterpart for the attention of David Persky, Global Private Markets, along with a check payable to Teachers Insurance and Annuity Association of America in the amount of \$200,000 in immediately available and good funds, as a good faith deposit and to cover estimated transaction expenses.

In the event the Notes are acquired, the good faith deposit will be returned to the payor in its entirety.

In the event the Notes are not acquired and subject to the following two sentences, if the payor has acted in good faith to comply with all terms and conditions set forth herein (as determined by TIAA in its reasonable discretion) and TIAA elects not to acquire the Notes, the good faith deposit will be used to pay for all of TIAA's expenses and any remaining balance shall be returned to the payor. In addition, if TIAA does not acquire the Notes due to a material adverse change with respect to the business, operations, creditworthiness or financial condition of the Lessee or the Borrower, the good faith deposit will be used to pay for all of TIAA's reasonable out-of-pocket expenses and any remaining balance shall be returned to the payor. In all other circumstances, if the Notes are not acquired due to the payor's failure to act in good faith to comply with the terms and conditions set forth herein, then TIAA shall retain the entire good faith deposit. Notwithstanding the foregoing, in the event that TIAA defaults in its obligations hereunder due to its bankruptcy or insolvency, then Borrower shall be entitled to the return of the full amount of the good faith deposit.

Furthermore, notwithstanding anything else to the contrary herein, from and after the date hereof to and including December 31, 2012 if (i) Borrower obtains financing for the Property from another lender or (ii) Borrower signs any commitment with another lender to obtain such financing and TIAA has not notified Borrower in writing that it has elected not to acquire the Notes, the good faith deposit will be retained by TIAA in its entirety and Borrower hereby agrees to pay or cause to be paid to TIAA an additional Make-Whole Amount (if such amount is a positive number), which shall be calculated in good faith as follows:

TIAA shall calculate the Make-Whole Amount payable as if the Notes, bearing the terms set forth in the Summary, had been acquired by TIAA on the earlier of the occurrence of (i) or (ii) above and immediately thereafter prepaid in full, in accordance with standard market practices for calculating "make-whole" or yield maintenance and assuming a discount rate of U.S. Treasuries plus 50 basis points. Borrower agrees to promptly notify TIAA in writing of the occurrence of either event set forth in items (i) or (ii) in the first sentence of this paragraph, and TIAA and Borrower agree that the payment of such Make-Whole Amount represents a reasonable and appropriate approximation of the harm suffered by TIAA if either event set forth in items (i) or (ii) in the first sentence of this paragraph occurs.

Upon receipt by TIAA of an executed counterpart of this letter along with a check in the amount specified above in immediately available and good funds, our agreement to purchase from you and your agreement to issue, sell and deliver the Notes to us, upon the terms and conditions set forth herein, shall become a binding agreement between us. Failure to receive such counterpart and check by August 16, 2012 will constitute termination of the agreements contained herein, unless TIAA has extended such date in writing. Notwithstanding the foregoing, for the avoidance of doubt, in the event of a termination pursuant to the prior sentence, Borrower will remain liable for the expenses of TIAA as provided above.

Very truly yours,

TEACHERS INSURANCE AND ANNUITY ASSOCIATION OF AMERICA

By David Persky ECH
Name:
Title: **DAVID G. PERSKY**
MANAGING DIRECTOR

Accepted and agreed to:

University of Connecticut Health Center Finance Corporation

By: Richard D. Gray
Name: Richard D. Gray
Title: Executive Director

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule A

PROPOSED SUMMARY OF TERMS

Purpose:	<p>Provide financing for the construction and long term ownership of a 300,000 square foot Ambulatory Care Center ("ACC") and two parking facilities with 1,200-1,600 spaces ("Project") located adjacent to the Medical Arts and Research Building north of the UCHC main facility on its Farmington, CT campus.</p> <p>Landlord/Borrower shall borrow the funds and the Tenant will act as the construction agent and develop the Project on the Landlord's behalf.</p>
Timing:	<p><i>Landlord commenced predevelopment of the Project effective January 1, 2012. The CTL Closing is targeted for the 4th quarter of 2012 and Landlord shall commence construction no later than April 2013 with the first funding to occur on December 1, 2012 and complete construction no later than the earlier of the Construction Completion Date or March 31, 2015.</i></p>
Funding:	<p>First funding to occur on Dec. 1, 2012 with subsequent fundings to occur over 25 months per the draw schedule on Schedule <u>1</u></p>
Use of Funds:	<p>Approximately \$203,000,000 (+/- 1%) financing including i) \$187,200,000 for the soft and hard costs of the construction of the ACC plus two parking facilities with 1,200-1,600 spaces, financing fees and expenses including an interest reserve for the development period, and ii) \$15,800,000 for the ACC's equipment including an interest reserve ("Equipment").</p>
Landlord/Borrower:	<p>A bankruptcy remote special purpose entity, acceptable to TIAA, owned by University of Connecticut Health Center Finance Corporation</p>
Tenant:	<p>University of Connecticut Health Center (UCHC)</p> <ul style="list-style-type: none">- UCHC is a constituent unit of the University of Connecticut, whose financial obligations are binding on the State of Connecticut- No appropriation risk- Opinion of Counsel from State Attorney General's office or other acceptable counsel reflecting the foregoing, satisfactory to TIAA is required
Lender:	<p>TIAA</p>
Type of Financing:	<p>Credit Tenant Lease ("CTL") which allows the Lender to provide financing for 100% of the Project cost</p>

<i>Loan to Cost:</i>	Not to exceed 100%
<i>Lease:</i>	<ul style="list-style-type: none"> - Date certain lease with rent commencing on April 1, 2015 regardless if construction is completed - Triple net bond lease (no landlord obligations) - No lease termination due to casualty
<i>Principal Amount:</i>	\$203,000,000 (+/- 1%)
<i>Lease Term:</i>	25 years commencing upon the Rent Commencement Date
<i>Loan Term:</i>	25 years plus Construction Period commencing upon Closing Date.
<i>Loan Amortization Period:</i>	25 years commencing upon the Rent Commencement Date
<i>Rent Commencement:</i>	Rent Commencement Date shall be the earlier of the Construction Completion Date of the Project or April 1, 2015
<i>Date Certain Lease:</i>	The Lease shall commence no later than April 1, 2015 without any Tenant right to cancel or terminate the Lease or cause or delay the payment of Rent or change the Rent Commencement Date
<i>Maturity/Average Life:</i>	27.4 years/ 17.4 years (approximately) <ul style="list-style-type: none"> - Interest only during construction period (interest reserve to be funded at closing and each draw to service interest) - 25 month construction period - P&I commences upon Rent Commencement Date - Fully amortizing, no balloon payment
<i>Pricing Basis:</i>	4.809%
<i>Debt Service:</i>	Projected monthly interest and principal payments are approximately \$1,157,338.24 (attach full schedule if necessary) and are payable to the Lender on the 15 th day of each calendar month ("Payment Dates") commencing on the 15 th day after Rent Commencement Date
<i>Base Rent/ DSC Ratio:</i>	1.0x DSC (after trustee fees)

Key Documents:

Reciprocal Easement Agreement, Lease, Ground Lease, Participation Agreement, Leasehold Mortgage, Promissory Note, Construction Escrow Agreement from Tenant and Landlord in a form acceptable to the parties, Assignment of Lease, Collateral Assignment of Construction Documents, Recourse Carve-out Guaranty, Hazardous Substances Indemnity Agreement, Assignment of Warranties, SNDA, Tenant and Ground Lessor Estoppel Certificates, and any other documents reasonably required by TIAA.

Rate Lock:

After rate lock, a commitment letter will be sent to the Borrower at which time a good faith deposit of \$200,000 to cover transaction expenses will be required.

Expected Closing Date:

Dec. 3, 2012

Ground Lease:

- Ground Lessee is The University of Connecticut Health Center Finance Corp.
- Ground Lessor is UCHC
- All Ground Lease obligations are pass through to Tenant as obligations under the Lease
- Term of Ground Lease is 20 years longer than Maturity
- \$1 per year ground rent
- Default under the Lease will not result in a default under the Ground Lease
- Default under the Ground Lease will be a Lease default
- Default will result in extension of ground lease term at TIAA's option
- Tenant's interest in Ground Lease to be subject to Leasehold Mortgage

Security:

- First mortgage on leasehold in land and ownership of improvements
- First lien on Equipment
- Assignment of Lease
- Lien on funds held in reserve during construction, including construction reserve and capitalized interest reserve
- Assignment of all construction documents and contracts, including GMP
- Assignment of all Warranties

Construction Budget and Funding Schedule:

See Attached Schedule 1 for a proposed Lender Funding Schedule

<i>Construction Interest Reserve Accrual:</i>	Monthly interest charges shall accrue during construction on the accumulated loan principal based on an interest rate of 4.809%_ ("Construction Interest Reserve Accrual").
<i>Casualty/Condemnation:</i>	No lease termination due to casualty; payable at par by Tenant if substantial condemnation occurs resulting in lease termination
<i>Insurance Requirements:</i>	Tenant shall purchase casualty and/or liability insurance from a carrier rated at least "A-" by S&P or if Tenant meets NAIC requirements for doing so, it may self-insure.
<i>Optional Redemption:</i>	Borrower shall be permitted, at any time, to redeem the Note in full but not in part by paying the then-outstanding principal amount of the Note, accrued interest and make-whole premium calculated by discounting the then remaining principal and interest payments at a rate equivalent to a U.S. Treasury security (corresponding) to the remaining average life of the Note) plus 50] basis points.
<i>Recourse Carve-outs:</i>	The Loan shall be non-recourse to the Borrower, provided, however, that [UCHC Finance Corp.] shall be required to indemnify the lender against losses for standard recourse carve-outs including, without limitation, fraud, misrepresentation, misappropriation of funds, breach of exclusive use provision, and environmental remediation.
<i>Transfer:</i>	The Borrower shall be permitted to transfer the property or the ownership interests in the borrowing entity to any entity owned, controlled or a part of the State of Connecticut and otherwise only once during the term of the loan subject to the payment of a transfer fee equal to 1/8% of the then outstanding loan amount and payment of lender expenses incurred in connection with the transfer, subject to conditions in the Loan Documents. No transfer fee shall apply to a transfer to the State as herein described. The Borrower must be at all times a bankruptcy remote special purpose entity.
<i>NAIC/Schedule D:</i>	The financing transaction shall be structured to comply with the NAIC requirements for Schedule D treatment by the Lender.
<i>Expenses:</i>	All expenses incurred in connection with this financing, whether or not the transaction closes, shall be Borrower's responsibility including, without limitation, title insurance, survey, mortgage or tax stamps, recording fees, Borrower's and Lender's legal fees and

expenses, local counsel, appraisal, construction monitoring and engineering and environmental audit. Such costs shall be in addition to any other damages for which Borrower is liable under the Loan Agreement. The Lender will not order any third party reports and such reports shall be the responsibility of Borrower.

Assignment:

The Borrower may not transfer this Term Sheet to any party without the prior written consent of the Lender.

Termination:

Lender may terminate this Term Sheet by written notice to Borrower in the sole discretion of the Lender if (i) a material adverse change has occurred with respect to the creditworthiness or financial condition of the Tenant, the Borrower, its principal(s) or any other party whose management or financial condition is material to the making of the subject loan, (ii) the Borrower fails to comply with any material term of this Term Sheet, (iii) any representation or warranty of the Borrower or any information provided by the Borrower is false or misleading in any material respect as of the date made or provided, (iv) the subject property is condemned or condemnation proceeding have been initiated with respect thereto.

Closing Conditions:

A Lender's obligation to close and fund the Loan is subject to delivery by Borrower of, among other standard loan closing requirements, the following items in form and substance satisfactory to Lender: all of the Key Documents, title insurance, legal opinions, survey, insurance certificates, environmental audit, appraisal, evidence of zoning compliance, Subordination and Non-Disturbance Agreement (SNDA), no-condemnation letter and evidence of no flood zone, no material adverse change in the financial condition of the Tenant and Borrower.

Lender's Counsel:

Dechert, LLP

Trustee:

Wells Fargo Bank Northwest, N.A.

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule A

Schedule 1 – ACC Development Budget			
UCHC ACC Project			
Development Budget			
Accounts	description	Subtotal	costs \$
1001	Design Build Architect - Core & Shell - 8%		1,577,000
1002	Design Build - Site, Parking, Core & Shell		78,825,000
	Parking Garage - 1350 cars @ \$20k ea	27,000,000	
	Clinical - 165,000 gsf @ \$147.5/sf	24,337,500	
	Dental - 105,000 gsf @ \$147.5/sf	15,487,500	
	Sitework	12,000,000	
1003	Fit-Out Clinical and Dental		58,327,500
	Clinical - 165,000 gsf @ \$197.5/sf	32,587,500	
	Dental - 105,000 gsf @ \$247.5/sf	25,740,000	
3001	Voice/Data Cabling - \$3/sf		810,000
3004	TV/Cable - wiring \$1/sf		270,000
3005	Security - \$2/ sf		540,000
3006	Wireless - \$3/sf		810,000
10001	OCIP Premium & Brokerage fee		2,500,000
12001	Uncommitted Project Contingency + adj.		16,002,761
Hard Costs			159,662,261
2101	DB Criteria Architect		1,700,000
2102	Design Services: Fit-out		6,999,300
2201	Environmental Consultant		300,000
2299	IT Consultant		250,000
5001	Construction Administration		400,000
6001	Special Inspections		400,000
6003	Air Balance		150,000
6004	Materials Testing		250,000
6005	Independent Plan Review		300,000
6007	Commissioning		540,000
6008	Site Survey		100,000
6010	PMO Fees		2,700,000
6099	Site Safety		1,310,000
8001	Relocation		270,000
8099	Logistics /Operation Transistion Planning		200,000
10004	Legal		750,000
11001	Reproduction		10,000
11002	Advertising		24,000
11003	Facilities Management Costs		15,000
11005	Financing Consultant		1,330,000
Soft Cost			17,998,300
3002	Equipment - Data: \$10/sf, Telephone: \$2/sf		3,240,000
3007	Wayfinding Systems		540,000
4101	Furniture \$15/sf		4,050,000
4202	Clinical & Dental Equipment - \$25/sf		6,750,000
4203	AV Equipment - \$2/sf		540,000
7099	Other Art - .5% of Fit-Out		290,000
Equipment			\$15,410,000
Total Costs before Interest Reserve			\$193,070,561
Capitalized Interest			9,929,439
	Building Cost Construction Interest	9,525,616	
	Equipment Cost Construction Interest	403,823	
Total Project and Equipment Development Cost			\$203,000,000

The University of Connecticut Health Center

Credit Tenant Lease Financing

Schedule 1 – Financing Draw Schedule

CTL Financing Closing, Quarterly Draw Schedule and Accrued Interest											
	Draw Date (Start of Quarter)	12/1/2012	4/1/2013	7/1/2013	10/1/2013	1/1/2014	4/1/2014	7/1/2014	10/1/2014	1/1/2015	
	End of Quarter	3/31/2013	6/30/2013	9/30/2013	12/31/2013	3/31/2014	6/30/2014	9/30/2014	12/31/2014	3/31/2015	
Total Project Cost (Hard & Soft)		Closing + 1st D	2nd QD	3rd QD	4th QD	5th QD	6th QD	7th QD	8th QD	9th QD	Total
Closing/Quarterly Draw Schedule		8,244,854	6,636,205	15,513,511	26,424,761	30,473,014	18,580,704	20,317,454	44,723,759	6,746,301	177,660,561
Funding Balance - Start of Quarter		8,244,854	15,011,603	30,703,376	57,492,739	88,648,479	108,281,883	129,885,184	176,151,330	184,989,427	
Accrued Interest		130,544	178,263	364,603	682,726	1,052,701	1,285,847	1,542,387	2,091,797	2,196,749	9,525,616
Funding Balance - End of Quarter		8,375,398	15,189,865	31,067,978	58,175,465	89,701,180	109,567,731	131,427,571	178,243,127	187,186,177	
Total Project Cost before Interest Reserve		177,660,561									
Total Construction Funding Period	Months	28									
Total Capitalized Interest		9,525,616									
Total Project Cost		187,186,177									
Lease Term (Amortization Period)	Years	25									
Lease Commencement (Date Certain)		4/1/2015									
Total Equipment Cost		Closing + 1st D	2nd QD	3rd QD	4th QD	5th QD	6th QD	7th QD	8th QD	9th QD	Total
Closing/Quarterly Draw Schedule		0	0	0	0	616,845	202,500	3,033,094	9,149,252	2,408,309	15,410,000
Funding Balance - Start of Quarter		0	0	0	0	616,845	826,670	3,869,581	13,064,784	15,628,237	
Accrued Interest		0	0	0	0	7,325	9,817	45,951	155,144	185,585	403,823
Funding Balance - End of Quarter		0	0	0	0	624,170	836,487	3,915,532	13,219,928	15,813,823	
Total Equipment Cost		15,410,000									
Total Construction Funding Period	Months	15									
Total Capitalized Interest		403,823									
Total Equipment Development Cost		15,813,823									
Equipment Lease Term (Amortization)	Years	25									
Lease Commencement (Date Certain)		4/1/2015									
Total Project and Equipment Cost before Interest Reserve		193,070,561									
Total Capitalized Interest		9,929,439									
Total Project & Equipment Cost		203,000,000									

Schedule A

**PROMOTION AND TENURE RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT
PRESENTED TO THE BOARD OF TRUSTEES – November 14, 2012**

Effective November 14, 2012:

COLLEGE OF AGRICULTURE AND NATURAL RESOURCES

TENURE AS PROFESSOR:

Michael O'Neill

Natural Resources and the Environment

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
November 14, 2012 Board of Trustees Meeting

CHANGES TO PREVIOUSLY APPROVED SABBATICAL LEAVES:

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Burton, Laura J.	Associate Professor	Educational Leadership	Neag School of Education	Full	Spring 2013 Spring 2014
Eisdorfer, Assaf	Associate Professor	Finance	School of Business	Full	Spring 2013 TBD
Ghosh, Chinmoy	Professor	Finance	School of Business	Full	Spring 2013 TBD
Janis, Mark	Professor		School of Law	Full	Spring 2013 Spring 2014
Madaus, Joseph	Associate Professor	Educational Psychology	Neag School of Education	Half Full	AY 2012-2013 Fall 2012
Morris, Thomas F.	Professor	Plant Science and Landscape Architecture	College of Agriculture & Natural Resources	Half	AY 2012-2013 Cancelled
Nanclares, Gustavo	Associate Professor	Literatures, Cultures and Languages	College of Liberal Arts & Sciences	Half Full	CY 2013-2014 Fall 2013
Oquendo, Angel	Professor		School of Law	Full Half	Spring 2013 AY 2013-2014
Snyder, William	Professor	Linguistics	College of Liberal Arts & Sciences	Full	Fall 2012 Spring 2013

SABBATICAL LEAVE REQUESTS:

Semester at Full Pay

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Bhattacharjee, Sudip	Associate Professor	Operations and Information Management	School of Business	Full	Spring 2013

Givens, Jean A.	Professor	Art & Art History	School of Fine Arts	Full	Spring 2014
Golec, Joseph	Professor	Finance	School of Business	Full	Spring 2014
Skoog, Annelie	Associate Professor	Marine Sciences	College of Liberal Arts & Sciences	Full	Spring 2013
Tung, Yung-Chin A.	Associate Professor	Operations and Information Management	School of Business	Full	Fall 2013

Academic Year at Half Pay

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Kasi, Rajeswari	Associate Professor	Chemistry	College of Liberal Arts & Sciences	Half	AY 2013 - 2014

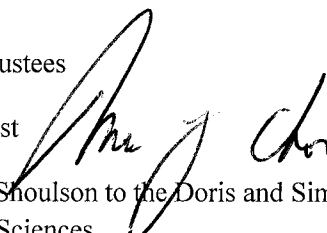


University of Connecticut
Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Interim Provost 

RE: Appointment of Dr. Jeffrey Shoulson to the Doris and Simon Konover Chair in Judaic Studies in the College of Liberal Arts and Sciences

RECOMMENDATION:

That the Board of Trustees approve the appointment of Dr. Jeffrey Shoulson to the Doris and Simon Konover Chair in Judaic Studies in the College of Liberal Arts and Sciences.

BACKGROUND:

The establishment of the permanent Chair has enabled the College to recruit an outstanding scholar and researcher, Professor Jeffrey Shoulson. He comes to UConn from the University of Miami, where he has served as an Associate Professor of English and Judaic Studies since 2002; also serving as Director of the George Feldenkreis Program in Judaic Studies there for a five year term. Professor Shoulson graduated summa cum laude from Princeton with a degree in English Literature, completed an M.Phil degree at Cambridge University in Renaissance Studies, and received his PhD in English from Columbia. A Milton scholar, Professor Shoulson is the author of *Milton and the Rabbis: Hebraism, Hellenism, and Christianity*, published by Columbia University Press, and *Fictions of Conversion: Jews, Christians, and Cultures of Change in Early Modern England*, forthcoming from the University of Pennsylvania Press, as well as many articles and book reviews on Milton and his rabbinic influences. Tenured in the Judaic Studies section of the Department of Literatures, Cultures, and Languages, he holds a joint position as a Professor of English.

As Chair and Director of the Center for Judaic Studies and Contemporary Jewish Life, Professor Shoulson will increase awareness of Jewish heritage in the University community, the state, and beyond. He will provide creative leadership for the Center and will develop its programs, as well as contribute to associated programs in Human Rights, Religious Studies, Middle East Studies, Medieval Studies, and History.

The endowment will be fully funded by the end of this calendar year.

At its January 22, 2008 meeting, the Board of Trustees approved the creation of this endowed Chair. At its April 15, 2008 meeting, the Board of Trustees appointed Professor Arnold Dashefsky as Interim Chair.

An Equal Opportunity Employer

Gulley Hall
352 Mansfield Road Unit 2086
Storrs, Connecticut 06269-2086

Telephone: (860) 486-4037
Facsimile: (860) 486-6379
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University of Connecticut
Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Interim Provost 

RE: Modification and Renaming of the Communication Sciences Degree Programs in the College of Liberal Arts and Sciences

RECOMMENDATION:

That the Board of Trustees approve the modification and renaming of the Communication Sciences Degree Programs in the College of Liberal Arts and Sciences.

BACKGROUND:

On August 8, 2012, the Board of Trustees approved the division of the Department of Communication Sciences into the Department of Communication and the Department of Speech, Language, and Hearing Sciences. Prior to the division, the Department of Communication Sciences offered degree programs along two tracts, Communication and Communication Disorders.

With the creation of separate departments, the academic degree programs require separation and renaming. The courses, requirements, faculty, and facilities do not change with these modifications and renamings.

1. The current B.A. in Communication Sciences with a concentration in Speech, Language, and Hearing will be modified to a B.A. in Speech, Language, and Hearing Sciences.
2. The current B.A. in Communication Sciences with a concentration in Communication will be modified to a B.A. in Communication.
3. The current M.A., Au.D., and Ph.D. programs in Communication Sciences: Speech, Language and Hearing will be renamed Speech, Language and Hearing Sciences.
4. The current M.A. and Ph.D. programs in Communication Sciences: Communication Processes and Marketing Communication will be renamed Communication.

An Equal Opportunity Employer

Gulley Hall
352 Mansfield Road Unit 2086
Storrs, Connecticut 06269-2086

Telephone: (860) 486-4037
Facsimile: (860) 486-6379
e-mail: mun.choi@uconn.edu

Request for New/Modified UConn Academic Degree Program or Name Change

General Information

Name of proposed academic degree program (If solely a Name Change, indicate old and new names):

Speech, Language, and Hearing Sciences

Name of sponsoring Department(s):

Speech, Language, and Hearing Sciences

Name of sponsoring School(s) and/or College(s):

College of Liberal Arts & Sciences

Campuses (Storrs and/or regional[s]) proposed to offer this degree program:

Storrs

Contact person and contact details:

Bernard Grela, Ph.D.
Interim Department Chair
850 Bolton Road, Unit 1085
Storrs, CT 06269-1085
bernard.grela@uconn.edu
(860) 486-3394

Type of Proposal (New/Modified/Name Change/Discontinuation):

New: Speech, Language, and Hearing Sciences

Discontinue: Communication Sciences: Speech, Language, and Hearing concentration

Type of Program (B.A./B.S./M.S./Ph.D./Certificate, ETC):

B.A.

Anticipated Initiation Date:

Anticipated Date of First Graduation:

2012**May, 2013**

CIP Code:

DHE Code (if available):

BA: 090101**BA: 01085****These are the codes for the CDIS concentration.****Submittal Information**Name of Department Head(s): **Bernard Grela, Ph.D.**Department(s): **Speech, Language, and Hearing Sciences**

Signature of Department Head(s):

Date:

Name of Dean: **Jeremy Teitelbaum, Ph.D.**School/College: **Liberal Arts and Sciences**

Signature of Dean:

Date:

Name of Document Recipient in Provost's Office:

Date:

Please include the following applicable documents upon delivery to Provost's Office:

Course and Curriculum Committee Minutes (One set for all involved departments)

Undergraduate Program Review Committee Minutes (Undergrad Only)

Graduate Faculty Council Executive Committee Minutes (Grad Only; not for the Law School)

Board of Trustees Resolution (Template available on Provost's website)

The Provost's Office will submit the proposal to the Council of Deans, the Board of Trustees, the Advisory Committee on Accreditation (if necessary), and the Board of Regents.

Program Proposal Instructions

Please populate the following fields with all applicable information for your proposed program, modification, or discontinuation. The information below will be shared with the Council of Deans, the Board of Trustees, the Connecticut Board of Regents and the Advisory Committee in Accreditation (if necessary). If you have any questions, please contact the Provost's Office.

Please submit the Program Proposal in WORD format.

Further instructions are available here: <http://policy.uconn.edu/?p=1024>

CONSENT CALENDAR

Institution: University of Connecticut

Item: Modification of the current B.A. in Communication Sciences with a concentration in Speech, Language, and Hearing to a B.A. in Speech, Language, and Hearing Sciences

Date: November 14, 2012

Background & Description

The Communication Sciences Department has two separate concentrations: 1) Communication and 2) Communication Disorders. Communication includes the study of interpersonal, organizational, and mediated communication as well as advertising and public relations. Communication Disorders includes the study of speech, language, and hearing as well as developmental and acquired impairments of those processes. Research and teaching in Communication Disorders focuses on identifying the underlying causes of these impairments, and the assessment and remediation processes involved in the disorders. Communication Disorders prepares students to apply for graduate school in either Speech-Language Pathology or Audiology.

The two areas of concentration for Communication Sciences (Communication Disorders and Communication) are unrelated disciplines. The courses required for the undergraduate concentrations are different and there is no common area of expertise between the faculty. Graduates in Speech, Language, and Hearing continue on to graduate school in either Speech-Language Pathology or Audiology. While graduates from Communication continue in areas of mass media, advertising, and public relations. The proposed new majors will replace the two areas of concentration which currently exist under Communication Sciences.

Reasons for the Proposed Program/Modification/Discontinuation

For the reasons outlined below, the faculty members of both programs propose that the two concentrations be separated into different programs.

1. The two sections act as distinct administrative units with a Department Chair for each section. The different programs have had separate faculty meetings and act independently on merit, PTR, hiring decisions, and therefore, should have separate representation on

university and CLAS committees. For example, the department has only one representative on the Courses and Curricula Committee, but faculty members lack knowledge of the needs and issues of the other discipline.

2. There is no curricular overlap. Undergraduate students in the different concentrations do not include any courses from the other section and the two sections do not share advising responsibilities. In addition, undergraduate admissions and the undergraduate portal (ppc.uconn.edu) cannot distinguish the two programs, causing confusion for students, advisors, and faculty.
3. The two programs do not have the following areas in common: journals for publishing research, targeted funding agencies for grant proposals, professional organizations, or academic associations.
4. Separating the programs could enhance alumni relations and fund raising. Fund raising by both sections is hampered by the lack of one clear identity for the department and Alumni Relations has had difficulty targeting the alumni from the different programs.

Curriculum & Program Outline

Both the undergraduate curriculums in Speech, Language, and Hearing Sciences and Communication function as independent programs. They have no coursework in common. The outline below represents the structure of the undergraduate curriculum in SLHS only.

BA in Speech, Language, and Hearing Sciences

During the first two years of the program, students must meet the General Education requirements of the University of Connecticut. During their final two years, students concentrate on courses within the major (26 credits), and complete 12 credits of related coursework and 9 credits of electives.

Successful completion of the B.A. degree in Speech, Language, and Hearing Sciences requires the following:

1. A total of 26 credits at the 2000 level or higher in Speech, Language, and Hearing Sciences.
2. Courses on normal development of speech, language, and hearing including: SLHS 3201, 3202 or 3202W, 3250, and 3247.
3. Courses on measurement and disorders of speech, language and hearing including: SLHS 3248, 4242, 4249 or 4249W, and two of the following 4244 or 4244W, 4251, or 4253.
4. Twelve (12) credits of related coursework from outside the department. Related courses can be tailored to the interests and needs of the student but must be approved by a Speech, Language, and Hearing Sciences advisor.

5. Nine (9) credits of elective coursework. Elective courses can be any 2000 level or higher course of interest to the student.

Note: All students in the Speech, Language, and Hearing Sciences major are required to complete the following requirements specified by the American Speech, Language, and Hearing Association prior to entering a graduate program in audiology or speech-language pathology.

1. Students must take one course in each of the following areas:
 - a. Math/Statistics: MATH 1040Q or 1060Q, STAT 1100Q, 1000Q
 - b. Biological science: BIOL 1102, 1103, 1107 or 1108
 - c. Physical science: PHYS 1010Q or PHYS 1075Q
2. Students must accumulate a total of 25 hours of approved observations of assessment and treatment of speech, language and hearing disorders.

See appendix to this proposal with the catalog description for the major that was approved at CLAS C&C committee on April 18, 2012.

Learning Outcomes

BA:

Students will:

1. demonstrate an understanding of the normal processes of human communication including language development, anatomy/physiology, and sound production/perception.
2. demonstrate the ability to evaluate, integrate, and synthesize scientific evidence about various communication disorders through both oral and written means.
3. observe at least 25 hours of clinical practicum with a variety of communication disorders including clients from a variety of multicultural backgrounds and age groups. Students will demonstrate the ability to participate in conversations about these disorders and write summative evaluations of these observations.

Enrollment & Graduation Projections

As of Fall 2012, the undergraduate program has 331 majors. We anticipate a graduating class (2013) of approximately 120 undergraduate students. We have experienced a steady growth in our undergraduate program. In the past 5 years, we have seen an 86% increase in the number of undergraduate majors in our program. If this growth continues, we can expect that the number of students graduating by 2017 will double (n=220) from the current number.

Financial Resources

The creation of Speech, Language, and Hearing Sciences will not require any new resources.

Facilities//Equipment/Library/Special Resources

The D.C. Phillips building in which the department is housed consists of approximately 30,000 square feet. The ground floor is divided into two wings, one of which contains research facilities, classrooms and a computer lab. The other wing contains the UConn Speech and Hearing Clinic and additional laboratories. The second floor consists primarily of office space, study area for graduate students, and a conference room.

Each faculty member has office space and a research lab in PCSB, Monteith, or other facility based on their arranged with the department chair and the Dean. The clinic facilities are used by the Speech and Hearing Clinic exclusively. Both divisions of the department share the conference room, photocopy room, student computer room, and classrooms. There should be no changes with facilities, equipment, or special resources with a division of the two programs.

Program Administration

Department Head: Bernard Grela

Director of Graduate Programs: Bernard Grela & Kathleen Cienkowski

Undergraduate Program Committee: Carl Coelho, Bernard Grela, Kathleen Cienkowski, Jennifer Tufts

Faculty**Academic Faculty****Kathleen M. Cienkowski, Ph.D.**

Associate Professor

Amplification and Aural Rehabilitation

Email: kathleen.cienkowski@uconn.edu

Carl A. Coelho, Ph.D.

Professor

Aphasia rehabilitation, traumatic brain injury,
language functions of the prefrontal cortex,
discourse analysis

Email: carl.coelho@uconn.edu

Bernard G. Grela, Ph.D.

Department Head & Associate Professor

Language Disorders in Preschool Children
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Frank E. Musiek, Ph.D.

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Central Auditory Processing Disorders, Auditory
Evoked Potentials Neuroaudiology and
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Clinical Faculty

Elizabeth Burke, M.S., CCC-SLP

Clinical Supervision in SLP

Email: elizabeth.burke@uconn.edu**Wendy Chase, M.S., CCC-SLP**

Clinic Director & Supervision in SLP

Email: wendy.chase@uconn.edu**Linda A. Guenette, M.A., CCC-A**

Clinical Supervision in Audiology

Email: linda.guenette@uconn.edu**Christine Hare, Au.D., CCC-A**

Clinical Supervision in Audiology

Email: Christine.hare@uconn.edu**Jean McCarthy, M.S., CCC-SLP**

Clinical Supervision in SLP

Email: jean.mccarthy@uconn.edu**Denise Van der Voort, M.A., CCC-SLP**

Clinical Supervision in SLP

Email: denise.vandervoort@uconn.edu**Terry Yanaway, Au.D., CCC-A**

Clinical Supervision in Audiology

Email: terry.yanaway@uconn.edu

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Similar Programs in Connecticut or Region

In the State of Connecticut, Southern Connecticut State University (SCSU) is the only other institution that offers a Bachelor's degree in Speech, Language, and Hearing Sciences. Each surrounding state has a least one undergraduate program in Speech, Language and Hearing Sciences. However, because of the high demand for Speech-Language Pathologists and Audiologists some states offer more than one undergraduate program. The programs include University of Massachusetts, Boston University, Worcester State University, Elms College, Emerson College, Northeastern University, University of Rhode Island, University of Vermont, University of New Hampshire, University of Maine, College of Saint Rose, CUNY-Brooklyn College, CUNY-Lehman College, CUNY-Queens College, Hofstra University, New York University, and St. John's University. These programs provide the basic pre-professional background in Speech, Language, and Hearing Sciences, which prepares the students to apply to graduate school.

Appendix I: Catalog copy as approved by CLAS C&C on April 18, 2012.

Proposals for reconsideration

**2012-033 Add Major–Speech, Language and Hearing Sciences (SLHS)
(orig. CDIS track of COMS)**

Approved Catalog Description of the Major

The Communication Sciences Department offers an undergraduate major in Speech, Language, and Hearing Sciences. The Speech, Language, and Hearing Sciences major is a pre-professional program within the liberal arts and sciences curriculum. It provides a broad overview of normal speech, language and hearing processes and development. In addition a variety of

CLAS C&C Minutes

Approved April 27th, 2012 by email ballot

speech, language, and hearing disorders are introduced. This major permits the student to apply for graduate studies in one of two specialty areas: audiology or speech-language pathology.

Students who want to learn more about communication disorders and the fields of audiology and speech-language pathology, but are unsure about declaring the major are encouraged to take one or both of the following introductory courses: SLHS 1150 and 1155Q. Students may declare the major at the beginning of each semester. Once the required paperwork is received in the Speech, Language, and Hearing Sciences Department the student will be assigned an academic advisor

Successful completion of the BA degree in Speech, Language, and Hearing Sciences requires the following:

1. A total of 26 credits at the 2000 level or higher in Speech, Language, and Hearing Sciences.
2. Courses on normal development of speech, language, and hearing including: SLHS 3201, 3202 or 3202W, 2204 or, 3247, 3250
3. Courses on measurement and disorders of speech, language and hearing including: SLHS 3248, 4249 or 4249W, and at least two (2) of the following 4244 or 4244W, 4251 or 4253
4. Course on directed observations of assessment and treatment of speech, language and hearing disorders SLHS 4242
5. Twelve (12) credits of related coursework. Related courses can be tailored to the interests and needs of the student but must be approved by a Speech, Language, and Hearing Sciences advisor.

Note: All students in the Speech, Language, and Hearing Sciences major are encouraged to complete the following requirements specified by the American Speech, Language, and Hearing Association prior to entering a graduate program in audiology or speech-language pathology.

1. Students must take one course in each of the following areas:
 - a. Mathematics/statistics: MATH 1040Q or 1060Q or STAT 1100Q, or STAT 1000Q
 - b. Biological science: BIOL 1102 or BIOL 1103 or BIOL 1107/1108
 - c. Physical science: PHYS 1010Q or PHYS 1075Q

More advanced level courses may be substituted for the courses listed above.

2. Students must accumulate a total of 25 hours of approved observations of assessment and treatment of speech, language and hearing disorders.

Request for New/Modified UConn Academic Degree Program or Name Change

General Information

Name of proposed academic degree program (If solely a Name Change, indicate old and new names):
Communication (Old name Communication Sciences with Communication as concentration)

Name of sponsoring Department(s):
Communication

Name of sponsoring School(s) and/or College(s):
CLAS

Campuses (Storrs and/or regional[s]) proposed to offer this degree program:
Storrs, Stamford

Contact person and contact details:
Kristine Nowak (Kristine.nowak@Uconn.edu)

Type of Proposal (New/Modified/Name Change/Discontinuation):
Modification

Type of Program (B.A./B.S./M.S./Ph.D./Certificate, ETC):
BA

Anticipated Initiation Date:
2012

Anticipated Date of First Graduation:
May 2013

CIP Code:

DHE Code (if available):

Submittal Information

Name of Department Head(s): Kristine Nowak
Department(s): Communication

Signature of Department Head(s):

Date:

Name of Dean: Jeremy Teitelbaum

School/College: CLAS

Signature of Dean:

Date:

Name of Document Recipient in Provost's Office:

Date:

Please include the following applicable documents upon delivery to Provost's Office:

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Undergraduate Program Review Committee Minutes (Undergrad Only)

Graduate Faculty Council Executive Committee Minutes (Grad Only; not for the Law School)

Board of Trustees Resolution (Template available on Provost's website)

The Provost's Office will submit the proposal to the Council of Deans, the Board of Trustees, the Advisory Committee on Accreditation (if necessary), and the Board of Regents.

Program Proposal Instructions

Please populate the following fields with all applicable information for your proposed program, modification, or discontinuation. The information below will be shared with the Council of Deans, the Board of Trustees, the Connecticut Board of Regents and the Advisory Committee in Accreditation (if necessary). If you have any questions, please contact the Provost's Office.

Please submit the Program Proposal in WORD format.

Further instructions are available here: <http://policy.uconn.edu/?p=1024>

CONSENT CALENDAR

Institution: University of Connecticut

Item: Modification of the B.A. in Communication Sciences with a concentration in Communication to a B.A. in Communication

Date: November 14, 2012

Background & Description

Historically, the department of Communication Sciences offered one major, Communication Sciences with two specific concentrations: Communication (COMM) and Communication Disorders (CDIS). These two concentrations have always been completely independent of one another in terms of courses offered, requirements, application to the major, and faculty. Therefore, in conjunction with our department's other proposal's to add Communication and Communication Disorders as new majors, this change major proposal is proposing the elimination of the Communication Sciences (COMS) major that currently exists. The proposed "new majors" will be replacing the two individual concentrations that exist under the current Communication Sciences major.

Reasons for the Proposed Program/Modification/Discontinuation

The Department of Communication Sciences has been split into two programs. The Board of Trustees recently eliminated the Department of Communication Sciences and created two new departments. This proposal will modify the current B.A. in Communication Sciences: Communication into a B.A. in Communication. This change will provide a tremendous benefit to the students, it will allow them to graduate with a major that is specific to their studies, it will provide student's greater clarity in terms of their major course requirements, as well as provide greater clarity for students who are applying to these two majors (Communication and Communication Disorders). It will help eliminate the current issue of students accidentally enrolling in one concentration when they intended to enroll in the other. Communication and Communication Disorders (proposed to be Department of Speech, Language and Hearing Sciences) are completely independent of one another. There are no courses, faculty, or requirements in common but all students get the same degree. The creation of the two new majors (Communication and Communication Disorders), would ensure students are placed in the correct intro course for their intended major.

The separation would help the department better distinguish the students according to their specific major. This change would provide us greater clarity in our contact with students, from orientation, to enrolled students, to alumni, their different majors would appear on their transcript, and they would graduate with their respective majors, rather than the same major as is currently the case. It would also

clarify the two majors for prospective students who have expressed confusion while searching for the major and cannot distinguish between the two concentrations. They also have different admissions processes, one requiring an application while the other does not. This makes it difficult for us to track our majors, provide them with appropriate advising, or to separate them for administrative purposes. Students are also often confused on the major, curriculum, admission process and pre-communication designation.

Curriculum & Program Outline

The proposed major is exactly the same as the curriculum and coursework of the Communication concentration in what is currently the Communication Sciences major. We are proposing only to create a new major that does not include Communication Disorders, or Speech, Language, and Hearing Sciences. The separation has been in place for some time procedurally in that there is no curriculum overlap or overlap of faculty or students. This proposal seeks only to make the separation official at the level of the major instead of having the separation at the level of a concentration within a major, as it is currently.

See appendix to this proposal with the catalog description for the major that was approved at CLAS C&C committee on April 18, 2012.

Learning Outcomes

The undergraduate Degree Communication is designed to produce students capable of analyzing human communication behavior from a scientific standpoint. It concentrates on the empirical investigation of human communication, stressing developments in communication theory and research. The track emphasizes interpersonal, mass, new communication technologies, nonverbal, intercultural, and international communication.

Enrollment & Graduation Projections

Communication would be the third largest major in CLAS and will continue to grow over the next few years. The program of Communication had 495 official majors and 203 Pre-Communication majors as of April 2012. The program graduated 194 undergraduate majors in May or August of 2012. As part of our expansion program, we admitted another 135 undergraduate majors into the Communication program in the fall semester we now have 436 Comm majors and 180 Precom majors for a total of 616. We estimate that we will graduate 100 students in the fall and another 200-300 in the spring and summer.

Financial Resources

The creation of this new department will not require any new financial resources.

Facilities//Equipment/Library/Special Resources

Experimental and survey research facilities are available, including the Digital Gamesmith Lab, the Emotional Communication Lab, the Ethnic and Women Audiences Lab, the Human Communication Interaction Lab, and the Media Effects Lab.

Program Administration

Department Head: Kristine Nowak

Director of Graduate Studies: Mark Hamilton

Director of Undergraduate Studies: Rory McGloin

Undergraduate Advisors: Lauren Munyard and Jeff Flaherty

Faculty**Professors**

Atkin, Buck, Lin, and Snyder

Associate Professor

Farrar, D'Alessio, Hamilton, Jalbert, Nowak, Rios, VanLear, and Wang

Assistant Professors

Denes, Bellur, Gaztambide-Geigel, Christiansen

Similar Programs in Connecticut or Region

Programs in Communication are offered at many institutions in the state and region, including: Southern Connecticut State University, Central Connecticut State University, Eastern Connecticut State University, Emerson University, Boston University. Programs in communication at other state and regional institutions tend to emphasize applied skills, such as video production, journalism practice, media management, creative advertising, communication law, and public relations skills. For example, the new School of Communication at Quinnipiac University features an M.A. in e-Media that aims to train students to be new media producers.

Appendix I: Catalog copy as approved by CLAS C&C on April 18, 2012.

**2012-034 Add Major – Communication (COMM)
(originally COMM track of COMS)**

1. Date: April 18, 2012

2. Department or Program: Department of Communication Sciences

3. Title of Major: Communication

4. Catalog Description of the Major

The department of Communication Sciences offers an undergraduate major in Communication. The Communication major is designed to educate students about human communication behavior from a scientific standpoint. It concentrates on the empirical investigation of human communication, stressing developments in communication theory and research. The major emphasizes interpersonal, mass, new communication technologies, nonverbal, organizational, intercultural and international communication. Training in the basic theories, principles, practices and research methods of Communication can qualify students for a variety of positions in the communication and media industries, such as: business, advertising, public relations, marketing, electronic media, government/politics, and promotion.

Students must apply to the Communication Sciences Department to become a Communication major. Applications are accepted for Fall and Spring semesters and the deadline for applications is the end of the second week of classes. Forms can be obtained outside Room 212 PCSB, on the department website www.coms.uconn.edu/undergraduate/admissions.html, and from Communication faculty members at the Stamford Regional Campus.

The decision to admit students to the major will depend on several criteria:

- Successful completion of at least 54 credits, or successful completion of 40 credits plus current enrollment that should result in at least 54 credits by the end of the current semester.
- Cumulative GPA
- Completion of COMM 1000 with a grade of “C” or better.
- The applicant’s academic record and space availability are also considered.

Prior to acceptance into the Communication major, students with fewer than 70 credits may declare themselves a Pre-Communication major online at www.ppc.uconn.edu or at the College of Liberal Arts and Sciences Academic Services Center (www.services.clas.uconn.edu). The Pre-Communication designation indicates an intention to apply to the major. It does not ensure acceptance into the Communication major or give students priority in registering for Communication courses. Pre-Communication majors must still apply to become Communication majors by following the process described above.

Students interested in the Communication major should complete **COMM 1100** and **COMM 1300** before junior year, if possible. **COMM 1300** is a prerequisite for many 2000-level media courses and is advised for all students, particularly those interested in media production, communication technology, marketing, public relations, or advertising.

Successful completion of a BA degree in Communication requires the following:

1. Acceptance as a Communication major.
2. COMM 1000, 1100, 3000Q.
3. At least two (2) of the following Core courses: COMM 3100, 3200, 3300. Students are welcome to take all 3 Core courses.
4. A total of 24 credits in Communication at the 2000 or above level (typically 8 courses).
5. A minimum of 5 theory courses including a W course in Communication at the 2000 or above level. Communication offers applied and theory courses:
 - a. Applied courses include the following: COMM 4800, 4820, 4940, 4991 and, 4992.
 - i. Applied courses are optional and students are not required to take any applied courses, though they are highly recommended for a variety of career paths. As long as students have met the above requirements, they may take additional applied courses, but only two may be applied towards the minimum 24 credits of upper level Communication courses required for the major.
 - b. Theory courses are the remaining COMM courses numbered 2000 or above including the Core courses.
6. 6. Related Courses: 12 credits required. Related courses can be uniquely tailored to the needs of the student but must be approved by a Communication advisor.

Note: All students are encouraged to do at least one internship (COMM 4991). Internships can be taken during the academic year or summer. Students must have completed 12 credits in Communication courses at the 2000 level or above to be eligible for internship credit.

To satisfy the information literacy competency, all students must pass COMM 1000, 1100, and 3000Q. Other courses that will further enhance competency in information literacy include COMM 1300, 3100, 3103, 3200, 3300, 3321, 3400, 3450, 3600, 4089, 4100, 4120, 4220W, 4230, 4320, 4330, 4410W, 4420, 4450W, 4451W, 4460, 4500, 4551W, and 4620. To satisfy the writing in the major requirement, students must pass at least one course from COMM 2310W, 4220W, 4410W, 4450W, 4451W, 4551W, 4660W, 4930W, 4996W, or any 2000-level or above W course approved for this major. For students interested in media and public relations careers, journalism courses are recommended for additional writing competency.

A minor in Communication is described in the "Minors" section.

Request for New/Modified UConn Academic Degree Program or Name Change

General Information

Name of proposed academic degree program (If solely a Name Change, indicate old and new names):

New Name: **Speech, Language, and Hearing Sciences**

Former name: **Communication Sciences: Speech, Language, and Hearing**

Name of sponsoring Department(s):

Department of Speech, Language, and Hearing Sciences

Name of sponsoring School(s) and/or College(s):

College of Liberal Arts & Sciences

Campuses (Storrs and/or regional[s]) proposed to offer this degree program:

Storrs, CT

Contact person and contact details:

Bernard Grela (bernard.grela@uconn.edu)

Type of Proposal (New/Modified/Name Change/Discontinuation):

Name Change

Type of Program (B.A./B.S./M.S./Ph.D./Certificate, ETC):

MA, AuD, PhD

Anticipated Initiation Date:

2012

Anticipated Date of First Graduation:

May 2013

CIP Code:

MA: 510204

Ph.D.: 510204

Au.D.: 510202

DHE Code (if available):

MA: 01057

Ph.D.: 01056

Au.D.: 12628

Submittal Information

Name of Department Head(s): **Bernard Grela, Ph.D.**

Department(s): **Speech, Language, and Hearing Sciences**

Signature of Department Head(s):

Date:

Name of Dean: **Jeremy Teitelbaum**

School/College: **Liberal Arts and Sciences**

Signature of Dean:

Date:

Name of Document Recipient in Provost's Office:

Date:

Please include the following applicable documents upon delivery to Provost's Office:

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Please submit the Program Proposal in WORD format.

Further instructions are available here: <http://policy.uconn.edu/?p=1024>

CONSENT CALENDAR

Institution: University of Connecticut

Item: Renaming the M.A., Au.D., and Ph.D. programs in Communication Sciences: Speech, Language, and Hearing to Speech, Language, and Hearing Sciences

Date: November 14, 2012

Background & Description

The graduate program in Speech, Language, and Hearing requests a name change to “Speech, Language, and Hearing Sciences.” The mission of this department is to develop a theoretical perspective on speech, language, and hearing disorders and their clinical management through habilitation and rehabilitation.

Reasons for the Proposed Program/Modification/Discontinuation

This name change corresponds to the change in department name from “Communication Sciences” to “Speech, Language, and Hearing Sciences.”

Curriculum & Program Outline**Master of Arts**

The M.A. program provides an understanding of speech, language, and hearing disorders and their clinical management by emphasizing a scientific approach through evidence-based practice. Academic courses and clinical education experiences encourage a theoretical perspective and experimental orientation to develop an appreciation of current knowledge and future research needs. All students must complete a program of study of at least 56 credit hours of graduate course work in order to meet the requirements of clinical certification through the American Speech Language and Hearing Association (ASHA). The M. A. in Speech, Language, and Hearing Sciences prepares persons to be certified and licensed as Speech-Language Pathologists who will work in a variety of clinical settings across the country. There is a thesis and non-thesis option. The M.A. provides a solid foundation for Ph.D. work.

Doctor of Audiology

The Au.D. program educates students in the science and practice of audiology. Academic courses and clinical education experiences encourage a theoretical perspective and experimental orientation to develop an appreciation of current knowledge and future research needs of the hearing disordered population. All students must complete a program of study of at least 84 credit hours of graduate course work in order to meet the requirements of clinical certification through the American Speech Language and Hearing Association (ASHA). The Au.D. in Speech, Language, and Hearing Sciences prepares persons to be certified and licensed as Audiologists who will work in a variety of clinical settings across

the country. There is an audiological research project and comprehensive exams that are used to determine the students' successful performance at the end of the program. The Au.D. provides a solid foundation for Ph.D. work.

Doctor of Philosophy

The Ph.D. program in Speech, Language, and Hearing Sciences offers students a unique curriculum which stresses the integration of theory and research in speech, language, and hearing disorders. The total number of credits taken by a student will vary. Students are required to take 9 credits in statistics and research design. They may choose from statistic courses in the Psychology, Educational Psychology, or Statistics Departments. Each department has a recommended three course sequence.

Each student is required to be involved in research activity every semester which must be accomplished by formal registration (SLHS 6319) and will be reviewed each semester by the student's advisory committee. Students in the child language or adult language disorders areas of specialization are required to complete a 1st and 2nd year research project (registered as SLHS 5300 or 6319) under the supervision of their major advisor. These projects must be approved by the student's advisory committee. Completion includes presentation of findings at departmental research colloquia, submission to research conferences, and submission for publication. Students must also complete two, semester-long, lab rotations (registered as SLHS 5300 or 6319) with faculty other than their major advisor. Nature and scope of these projects will be negotiated with the supervising faculty member.

Learning Outcomes

Graduate Curricula in Speech, Language, and Hearing Sciences Leading to a Master of Arts Degree

Students will:

1. demonstrate knowledge in the areas of basic human communication and its associated disorders through successful completion of coursework and clinical practicum.
2. demonstrate the ability to evaluate, integrate, and synthesize evidence based research to support their use of prevention programs, assessment procedures, and treatment options for clients with a variety of communication disorders. This will be demonstrated through a written capstone project (non-thesis option) or thesis and an oral defense of either project.
3. demonstrate skills required to perform in a clinical setting (e.g., prevention, assessment, outcome development, counseling, treatment, and professional report writing). This will be accomplished through successful completion of clinical practicum.

Graduate Curriculum in Speech, Language and Hearing Sciences Leading to an Au.D. Degree

The students will be able to:

1. identify, assess, and manage disorders of the auditory and balance systems
2. obtain and evaluate behavioral and physiologic measures of these systems

3. provide aural habilitation/rehabilitation to children and adults across the age span
4. select, fit, and dispense amplification systems including hearing aids, assistive listening technology and implantable hearing devices
5. prevent hearing loss through the provision and fitting of hearing protective devices
6. engage in clinical research as it relates to the prevention, identification, and management of hearing loss, auditory processing disorders, and vestibular function.
7. provide services in a variety of settings and maintain cultural/linguistic sensitivity.

Graduate Curriculum in Speech, Language and Hearing Sciences Leading to a Ph.D. Degree

The student will demonstrate:

1. the ability to design and implement well-grounded experimental designs that apply to disordered populations. This will be demonstrated through completion of lab rotations, publications, and presentations at professional conferences.
2. a comprehensive knowledge of the essential aspects of normal and disordered communication. This will be demonstrated through successful completion of comprehensive exams.
3. a comprehensive knowledge of their area of specialization. This will be accomplished through successful completion of comprehensive exams and defense of the doctoral dissertation.

Enrollment & Graduation Projections

As of Fall 2012, the graduate programs have 36 students in the M.A. program, 35 students in the Au.D. program, and 13 students in the Ph.D. program for a total of 84 graduate students. We anticipate a graduating class (2013) of 14 M.A. students, 6 Au.D. students, and 2 Ph.D. students. The number of graduate students in our M.A., Au.D., and Ph.D. programs have remained relatively stable over the past 10 years, therefore, we do not expect any changes in the number of students entering the program or graduating over the next 5 years.

Financial Resources

Teaching and research assistantships are available to qualified M.A., Au.D. and Ph.D. students. Duties of graduate assistants vary according to the needs of the department. Teaching assistant responsibilities have included teaching undergraduate courses including the W sections. Research assistants work with faculty on funded research projects.

Facilities//Equipment/Library/Special Resources

The D.C. Phillips building in which the department is housed consists of approximately 30,000 square feet. The ground floor is divided into two wings, one of which contains research facilities, classrooms and a computer lab for graduate students. The other wing contains the UConn Speech

and Hearing Clinic and additional laboratories. All of the clinical rooms are equipped for observation and audio monitoring and video recording. Three audiological test suites are equipped with up-to-date test and research instruments for diagnostic and hearing aid applications. The second floor consists primarily of office space, study area for graduate students, and a conference room.

Program Administration

Department Head: Bernard Grela

Director of Graduate Studies: Bernard Grela/Kathleen Cienkowski

Faculty**Professors**

Coelho, Musiek

Associate Professor

Grela, Cienkowski, Tufts

Assistant Professors

Spaulding, Ramanathan, Myers, Theodore

Assistant Professor in Residence

Vasil-Dilaj

Lecturers

Chase, Guenette, van der Voort, Burke, Yanaway, Hare, McCarthy

Similar Programs in Connecticut or Region

Southern Connecticut State University (SCSU) offers Bachelor and Masters degrees in Communication Disorders. This is the only other program in the state offering training in the area of Speech, Language, and Hearing Sciences. SCSU does not offer an Au.D. or a Ph.D. degree. Over the past 25 years, there has been a shortage of speech-language pathologists and audiologists in the state of Connecticut and across the country. UConn, along with SCSU, provide training programs in an effort to meet the needs of speech-language pathologists and audiologists in the state.

Request for New/Modified UConn Academic Degree Program or Name Change

General Information

Name of proposed academic degree program (If solely a Name Change, indicate old and new names):

New Name: Communication.

Former name: Communication Sciences: Communication Processes and Marketing Communication.

Name of sponsoring Department(s):

Communication Department

Name of sponsoring School(s) and/or College(s):

CLAS

Campuses (Storrs and/or regional[s]) proposed to offer this degree program:

Storrs, CT

Contact person and contact details:

Mark Hamilton (mark.hamilton@uconn.edu)

Type of Proposal (New/Modified/Name Change/Discontinuation):

Name Change.

Type of Program (B.A./B.S./M.S./Ph.D./Certificate, ETC):

MA, PhD

Anticipated Initiation Date:

2012

Anticipated Date of First Graduation:

May 2013

CIP Code:

DHE Code (if available):

Submittal Information

Name of Department Head(s): Kristine Nowak

Department(s): Communication

Signature of Department Head(s):

Date:

Name of Dean: Jeremy Teitelbaum

School/College: CLAS

Signature of Dean:

Date:

Name of Document Recipient in Provost's Office:

Date:

Please include the following applicable documents upon delivery to Provost's Office:

Course and Curriculum Committee Minutes (One set for all involved departments)

Undergraduate Program Review Committee Minutes (Undergrad Only)

Graduate Faculty Council Executive Committee Minutes (Grad Only; not for the Law School)

Board of Trustees Resolution (Template available on Provost's website)

The Provost's Office will submit the proposal to the Council of Deans, the Board of Trustees, the Advisory Committee on Accreditation (if necessary), and the Board of Regents.

Program Proposal Instructions

Please populate the following fields with all applicable information for your proposed program, modification, or discontinuation. The information below will be shared with the Council of Deans, the Board of Trustees, the Connecticut Board of Regents and the Advisory Committee in Accreditation (if necessary). If you have any questions, please contact the Provost's Office.

Please submit the Program Proposal in WORD format.

Further instructions are available here: <http://policy.uconn.edu/?p=1024>

CONSENT CALENDAR

Institution: University of Connecticut

Item: Renaming M.A. and Ph.D. programs in Communication Science: Communication Processes and Marketing Communication to Communication.

Date: November 14, 2012

Background & Description

The graduate program in Communication Processes and Marketing Communication requests a name change to “Communication.” The mission of this department is to study and teach about communication. Our goal is to pursue theoretically grounded research and to disseminate knowledge by publishing our research and through teaching.

Reasons for the Proposed Program/Modification/Discontinuation

This name change corresponds to the change in department name from “Communication Sciences” to “Communication.”

Curriculum & Program Outline**Master of Arts**

The M.A. program in Communication emphasizes the scientific investigation of human communication behavior, stressing developments in communication theory and research as they relate to society and the communication process. All students must complete a program of study of at least 27 credit hours of graduate course work, including 9-12 credits of required courses. The M. A. in Communication prepares persons for entry into a number of fields that require analysis of communication situations (e.g., advertising and marketing research, personnel training, organization research, social program evaluation). There is a thesis and non-thesis option. It also provides a solid foundation for Ph.D. work.

Doctor of Philosophy

The Ph.D. program in Communication offers students a unique curriculum which stresses the integration of theory and research in communication. Students may approach their study of communication from a variety of specializations, including mass communication, marketing, interpersonal, nonverbal, new communication technology, marketing, advertising, public relations, and persuasion. It culminates in the Ph.D. degree in Communication Sciences.

Learning Outcomes**Graduate Curricula in Communication Leading to a Master of Arts Degree**

The mission of the Master's degree program is to provide an understanding of human communication at different levels of social organization – interpersonal, organizational, and mass. The M.A. program offers a broad scientific approach to the study of communication theory and research. Students can receive a solid foundation for Ph.D. work, or prepare for entry into fields that require analysis of communication situations, such as advertising and marketing research, program evaluation, health communication, and personnel training. We do not offer M.A. training in journalism or media production.

Graduate Curriculum in Communication Leading to a Ph.D. Degree

The Ph.D. program helps students develop strong theoretical knowledge and scientific research skills to prepare for an academic career, or a research position in the commercial, government, or non-profit sectors. The major objective is to develop communication scientists who: a) are well grounded in multiple scientific methods; b) possess a comprehensive knowledge of communication theory; and, c) have in-depth knowledge in their area of specialization.

Enrollment & Graduation Projections

Enrollments in the PhD program are growing. In 2012, 34 were enrolled, with an increase to 30 projected for 2013 and a further increase to 45 in 2014. Enrollments in the MA program are steady. In 2012, 8 were enrolled, with 8 projected for 2013 and 8 in 2014. The PhD program awarded 8 degrees in 2012 and anticipates granting 7 in 2013 and 4 in 2014. The MA program awarded 2 degrees in 2012 and anticipates granting 5 in 2013 and 3 in 2014.

Financial Resources

Teaching and research assistantships are available to qualified M.A. and Ph.D. students. Duties of graduate assistants vary according to the needs of the department. Teaching assistant responsibilities have included conducting discussion sections of the undergraduate introductory communication course, supervised teaching of public speaking and, for experienced teachers and those with a completed master's degree, supervised teaching of upper-level undergraduate courses. Research assistants work with faculty on funded research projects.

Facilities//Equipment/Library/Special Resources

Experimental and survey research facilities are available, including the Digital Gamesmith Lab, the Emotional Communication Lab, the Ethnic and Women Audiences Lab, the Human Communication Interaction Lab, and the Media Effects Lab.

Program Administration

Department Head: Kristine Nowak

Director of Graduate Studies: Mark Hamilton

Faculty**Professors**

Atkin, Buck, Lin, and Snyder

Associate Professor

Farrar, D'Alessio, Hamilton, Jalbert, Nowak, Rios, VanLear, and Wang

Assistant Professors

Denes, Bellur, Gaztambide-Geigel, Christiansen

Similar Programs in Connecticut or Region

The only other communication Ph.D. program in New England is at University of Massachusetts – Amherst. The two Ph.D. programs differ in the degree to which social science is emphasized; we focus almost exclusively on social science, while they have strong programs in rhetoric and critical studies.

Masters Degrees in Communication are offered at many institutions in the state and region, including: Southern Connecticut State University, Central Connecticut State University, Eastern Connecticut State University, Emerson University, Boston University. MA programs in communication at other state and regional institutions tend to emphasize applied skills, such as video production, journalism practice, media management, creative advertising, communication law, and public relations skills. For example, the new School of Communication at Quinnipiac University features an M.A. in e-Media that aims to train students to be new media producers.

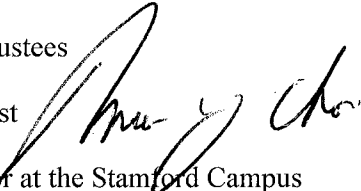
ATTACHMENT 7



University of Connecticut
Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

November 14, 2012

TO: Members of the Board of Trustees
FROM: Mun Y. Choi, Interim Provost 
RE: Financial Management Major at the Stamford Campus

RECOMMENDATION:

That the Board of Trustees approve the Financial Management Major at the Stamford Campus.

BACKGROUND:

The proposed Financial Management Major is part of the academic expansion initiative for the Stamford Campus, and is intended to only be offered on the Stamford Campus. The major was developed to meet the special needs of the southwestern Connecticut business and investment community while also being different from the mainstream finance major offered in Storrs.

Fairfield County has a vibrant business community and is the headquarters location to numerous Fortune 500 and Fortune 1000 companies. Given the significant concentration of financial services businesses in Fairfield County, there is a great demand for financial services professionals. Currently there is no public AACSB-accredited undergraduate finance major offered in Fairfield County. The Fairfield County business community has frequently expressed a strong desire for the University to initiate such a program. Hence, development of the major was both an important and a welcome task, as many business faculty and administration on the Stamford Campus strongly believe that a Finance major is needed on this regional campus for two primary reasons. First, students have continually requested a Finance major, and, second, the campus has lost students to other area universities when they realize they cannot complete a finance major in Stamford and the Stamford business community has growing internship and hiring needs in Finance.

In keeping with the business base in Fairfield County, the proposed Stamford Campus Financial Management major is specifically designed to prepare students for careers in corporate money management and investment. The curriculum includes the same General Education requirements and Business Core requirements as the other traditional business majors at the University. The proposed major then focuses on courses designed for careers in financial management and analysis, investments, portfolio management, and financial ethics.

An Equal Opportunity Employer

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352 Mansfield Road Unit 2086
Storrs, Connecticut 06269-2086

Telephone: (860) 486-4037
Facsimile: (860) 486-6379
e-mail: mun.choi@uconn.edu

Request for New UConn Academic Degree Program

Financial Management

**Undergraduate Program
Stamford Campus**

October 3, 2012

Submitted by:

**Chinmoy Ghosh
Head, Department of Finance**

Drafted by:

Katherine Pancak, Professor In-Residence of Finance

John Knopf, Associate Professor of Finance

Glen Richardson, Director, Waterbury Campus

Jud Saviskas, Executive Director, Stamford Campus

Chinmoy Ghosh, Professor and Head of Finance

General Information

Name of proposed academic degree program (If solely a Name Change, indicate old and new names):

Financial Management

Name of sponsoring Department(s):

Department of Finance

Name of sponsoring School(s) and/or College(s):

School of Business

Campuses (Storrs and/or regional[s]) proposed to offer this degree program:

Stamford

Contact person and contact details:

Chinmoy Ghosh, Head, Department of Finance

School of Business, Storrs

Room 452, Ph 860 486 4431

Chinmoy.ghosh@business.uconn.edu

Type of Proposal (New/Modified/Name Change/Discontinuation):

New

Type of Program (B.A./B.S./M.S./Ph.D./Certificate, ETC):

B.S.

Anticipated Initiation Date:

Fall 2013

Anticipated Date of First Graduation:

Spring 2017

CIP Code: **52.0804**

DHE Code (if available):

Submittal Information

Name of Department Head(s): **Chinmoy Ghosh**

Department(s): **Finance**

Signature of Department Head(s):

Date:

Name of Dean: **John Elliott**

School/College: **Business**

Signature of Dean:

Date:

Name of Document Recipient in Provost's Office:

Date:

Please include the following applicable documents upon delivery to Provost's Office:

Course and Curriculum Committee Minutes (One set for all involved departments)

Finance Department Curriculum voted for the proposal unanimously on March 9, 2012. The committee has 4 members and all members voted for it. But some members had some questions.

The proposal was presented to the departmental faculty at the Spring faculty meeting on March 9, 2012. There were more discussions but no vote was taken. Based on these discussions, faculty members were invited to cast their votes electronically. All the votes were sent to the department Administrative Assistant Elaine Workman and the proposal was approved by overwhelming majority on March 15, 2012. The proposal was supported by 11 faculty members, 2 faculty members voted against it, and one abstained. The proposal was then forwarded to the Business School Undergraduate Committee chaired by Professor Murphy Sewall.

Undergraduate Program Review Committee Minutes (Undergrad Only)

The Undergraduate Programs and Students Committee adopted the motion (see below) at its meeting on 04/12/12.

MOVED: Approve a Financial Management Major for the Stamford campus.

RATONALE: This major is being developed in partnership with the local Stamford Chartered Financial Analyst Society (SCFAS), and is specifically designed to prepare students who plan on careers in money management and investment. It envisioned as part of a greater partnership between the University and the Stamford community. A detailed description is appended.

The motion made by the UPSC was passed by the School's faculty at the April 20, 2012 Faculty meeting. The minutes of the meeting is reproduced below:

MOVED: Approve a Financial Management Major for the Stamford campus.

RATONALE: This major is being developed in partnership with the local Stamford Chartered Financial Analyst Society (SCFAS), and is specifically designed to prepare students who plan on careers in money management and investment. It envisioned as part of a greater partnership between the University and the Stamford community. A detailed description is appended. (see attached)

Discussion followed.

MOTION CARRIED with 2 faculty abstaining and 1 opposed

Graduate Faculty Council Executive Committee Minutes (Grad Only; not for the Law School)

Not applicable.

Board of Trustees Resolution (Template available on Provost's website)

The Provost's Office will submit the proposal to the Council of Deans, the Board of Trustees, the Advisory Committee on Accreditation (if necessary), and the Board of Regents.

Program Proposal Instructions

Please populate the following fields with all applicable information for your proposed program, modification, or discontinuation. The information below will be shared with the Council of Deans, the Board of Trustees, the Connecticut Board of Regents and the Advisory Committee in Accreditation (if necessary). If you have any questions, please contact the Provost's Office.

Please submit the Program Proposal in WORD format.

Further instructions are available here: <http://policy.uconn.edu/?p=1024>

CONSENT CALENDAR

Institution: University of Connecticut

Item: Proposal for Undergraduate Major in Financial Management at the Stamford Campus

Date: October 3, 2012

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FINANCIAL MANAGEMENT MAJOR

UConn STAMFORD

A. Background and Description

The proposed Financial Management Major is part of the academic expansion initiative for the Stamford Campus, and is intended to only be offered on the Stamford Campus. The major was developed to meet the special needs of the southwestern Connecticut business and investment community while also being different from the mainstream finance major offered in Storrs. As part of the Stamford campus' efforts to provide students the skills and learning required by the southwestern Connecticut business community, the Dean of the School of Business and the Finance Department Head requested the Stamford Campus undergraduate Finance faculty to develop the curriculum for an undergraduate Finance major on the Stamford Campus.

Fairfield County has a vibrant business community and is the headquarters location to numerous Fortune 500 and Fortune 1000 companies. Among the larger companies are General Electric (and its financial services unit GE Capital), UBS, Royal Bank of Scotland, Starwood Resorts and Hotels, Pitney Bowes, Xerox, Purdue Pharma, and General Re. Fairfield County also has a large concentration of investment management firms in the area, most notably Bridgewater Associates (one of the world's largest hedge fund companies), Aladdin Capital Management, and SAC Capital Advisors.

Given the significant concentration of financial services businesses in Fairfield County, there is a great demand for financial services professionals. As an example, a Fall 2012 search on Indeed.com for "Financial Analyst" in Stamford yielded 735 job openings, and "Finance" yielded 1,926 job openings. Currently there is no public AACSB-accredited undergraduate finance major offered in Fairfield County. The Fairfield County business community has frequently expressed a strong desire to the University to initiate such a program. Hence, development of the major was both an important and a welcome task, as many business faculty and administration on the Stamford Campus strongly believe that a Finance major is needed on this regional campus for two primary reasons:

- students have continually requested a Finance major, and the campus has lost students to other area universities when they realize they cannot complete a finance major in Stamford
- the Stamford business community has growing internship and hiring needs in Finance

In keeping with the business base in Fairfield County, the proposed Stamford Campus Financial Management major is **specifically designed to prepare students for careers in corporate money management and investment**. The curriculum includes the same General Education requirements and Business Core requirements as the other traditional business majors at the University. The proposed major then focuses on courses designed for careers in financial management and analysis, investments, portfolio management, and financial ethics.

The curriculum is closely tied to professional financial services practice. It has been developed in partnership with the local Chartered Financial Analyst (CFA) society (SCFAS), and prepares

students to take the first level of the CFA exams which leads to the CFA designation (the premier professional qualification for finance and investment professionals, similar to the CPA in accounting; there are currently 95,000 CFA charter holders in 138 countries).

The Stamford Campus Financial Management major will continue to work with the professional investment community in two ways. First, the major will apply for the status of a CFA Program Partners. There are currently 140 CFA Program Partners internationally; the University of Connecticut at Stamford would be the first CFA Program Partner in Connecticut. Second, the administration of the proposed major will also work closely with the local Stamford Chartered Financial Analyst Society (SCFAS) on a new program called the Investment Management Program (IMP). This program is offered at very few universities at the undergraduate level, and provides students with local industry-specific support mechanisms such as mentoring, job and internship networking, speakers, scholarships, and more. Stamford Campus finance faculty have already met with SCFAS professionals, and a preliminary IMP program relationship is underway.

B. Reasons for the Proposed Program

There is both substantial anecdotal and statistical support that confirms the need for this program. Anecdotal support of a financial major in Stamford is plentiful, as summarized in these typical comments:

"A Finance degree from UConn is the most important goal I have had for my education. I cannot afford to go to Storrs because of my work, so I guess I cannot achieve that goal. I will have to finish with a different business major." - UConn Student

"Once you get the Finance degree at the Stamford campus, you will see more students who want to achieve this degree that are currently going to Sacred Heart." Norwalk Community College Professor

"I want to graduate from UConn with a Finance degree. How can I do this and not have to attend the Storrs campus for more than a semester because my job and focus is in the Stamford area." Stamford Business Student

"Once students can graduate from Stamford with a Finance degree, we can recruit more students from the Stamford campus for our employment needs in our finance department." Multiple Fairfield County Employers

In addition to anecdotal support for a financial major, statistical support is equally strong.

- Data from Career Builder's Supply and Demand Report points to a lack of candidates for financial positions. For example, just focusing on the title Financial Analyst, Career Builder sites had 1,653 job postings in CT for the period August 2010 through July, 2012, but only 433 active candidates. This means that instead of multiple candidates for a financial position, there were only 0.26 active candidates in this very large job website. Looked at another way, there were about four times as many jobs as candidates.

- Financial Analyst job postings in Career Builder in CT for the same timeframe, included 309 in Stamford alone.
- Another respected job website, **Indeed.com**, confirms significant financial positions currently being advertised on it (as of 9/29/12). Specifically, within a 25 mile radius of Stamford it lists 2,627 financial positions, of which 741 could be classified entry-level (paying less than \$50k). Relatedly, within a 50 mile radius it lists 16,563 financial positions, of which 3,719 could be classified as entry-level. Job titles for these positions include: financial analyst, financial reporting, financial sales, financial services, etc.

Over the last couple of years, the administration at Stamford has been gathering support for the Financial Management major. In addition to the anecdotal evidence, some recent hard data on BSBA and BSBT is very encouraging.

As for the anecdotal, the administration obtained input from Norwalk Community College, NCC (particularly Thomas Jackson, Director of the Business Program). NCC is currently the primary feeder community college to Stamford. Some NCC students currently attend Fairfield University and Sacred Heart University to study finance. Professor Jackson anticipates interest in transferring for finance study to increase after the start of the major at UConn. Specifically, Professor Jackson estimates that over the course of next several years there may be 20 students transferring to finance major at UConn. Further, Housatonic and Westchester Community Colleges in White Plains which have strong business programs have potential to transfer students into our major.

Further, from our counseling of undergraduate business students, we know that of the internships they obtain, many are in financial assignments which would indicate that a financial major would be of interest to students and employers. Unfortunately, because neither the internships nor the placements upon graduation are tracked, we do not have hard figures to substantiate this.

Based on hard data gathered from the Registrar via *Peoplesoft*, the support for the financial management major is very encouraging. There has been significant growth in both BSBT and BSBA business majors at Stamford over the past year. This data demonstrate that:

- *since the introduction of BSBA, the total number of business majors has grown with an additional major; arguably, the same pattern may repeat with the finance major;*
- *general interest of students in business majors is growing, which could help support a new major; specifically, the total number of business majors has grown from 72 students (41 BSBT, 24 BSBA, 7 other/undecided) in May 2011 to 97 students (51 BSBT, 33 BSBA, 13 other/undecided) in May 2012;*
- *both of the above observations are consistent with the anecdotal information, including NCC's estimated potential for the finance major.*

In response to the repeated requests from the business community and students, this unique major is being developed with significant input and advice from business professionals and in partnership with the local Stamford Chartered Financial Analyst Society (SCFAS), and is specifically designed to prepare students who plan on careers in money management and investment. The curriculum is closely tied to professional practice, and prepares students to take

the first level of the CFA exams (outline of curriculum and CFA core body of knowledge is also set out on the next pages). The CFA exams lead to the CFA designation, which is a professional standard of excellence in the investment community. There are currently 95,000 CFA charter holders in 138 countries.

The Stamford Campus Financial Management major will continue to work with the CFAS in two ways. First, the major will apply for the status of a CFA Program Partners. There are currently 140 CFA Program Partners internationally, including such other institutions as Boston University, Cornell University, New York University, Ohio State University, University of North Carolina at Chapel Hill, and University of Virginia. Recognition as a CFA Program Partner provides a signal to potential students, current students, and the marketplace that the finance major curriculum is closely tied to professional practice, embraces professional standards of ethics, and is well suited to preparing students to sit for the CFA exams. The University of Connecticut at Stamford major would be the first CFA Program Partner in Connecticut.

The Stamford Campus Financial Management major will also work closely with the local SCFAS in a new program called the Investment Management Program (IMP). This program is offered at few universities at the undergraduate level, and provides students with local industry-specific support mechanisms such as mentoring, job and internship networking, speakers, scholarships, and more. Stamford Campus Finance faculty have already met with SCFAS professionals, and a preliminary IMP program relationship is underway.

C. Curriculum & Program Outline

The business degree at the University of Connecticut is a Bachelor of Science in Business Administration. The proposed program will be a major within that degree. As with business majors in the School of Business at the Storrs campus of the University of Connecticut, students must earn 120 credits to graduate. For the proposed major, a **total of 50 business credits** is required.

The proposed curriculum is set out below. The General Education requirements and Business Core requirements will be the same as those for all business majors in the School of Business at the University of Connecticut.

For the proposed major, 6 specific and finance courses and 1 finance elective will be required.

General Education Requirements:

School of Business GENERAL EDUCATION REQUIRED COURSES: *Must be completed by graduation.*

- ___ ANTH 1000 or GEOG 1700
- ___ COMM 1000 or 1100
- ___ HIST 1400
- ___ PHIL 1101 or 1102 or 1103 or 1104 or 1105 or 1106
- ___ PSYC 1100

University GENERAL EDUCATION REQUIRED COURSES: *Must be completed by graduation.*

- _____ 4-credit laboratory science course
- _____ 3-credit course from Content Area 4 List
- _____ "W" writing course

School of Business CRITICAL REQUIRED COURSES: *Must be completed before taking 3000/4000-level Business Courses*

- _____ MATH 1070Q
- _____ MATH 1071Q
- _____ STAT 1000 or 1100
- _____ ECON 1201
- _____ ECON 1202

Business Core Requirements:**Credits**

_____ ACCT 2001 Principles of Financial Accounting	3
_____ ACCT 2101 Principles of Managerial Accounting	3
_____ BADM 4075W Business Communications	3
_____ BADM 4072 Career Development in Business	1
_____ BLAW 3175 Legal and Ethical Environment of Business	3
_____ FNCE 3101 Financial Management	3
_____ MGMT 3101 Managerial & Interpersonal Behavior	3
_____ MGMT 4902 Strategy, Policy & Planning	3
_____ MKTG 3101 Introduction to Marketing Management	3
_____ OPIM 3103 Business Information Systems	3
_____ OPIM 3104 Operations Management	3
Total Core Credits	<u>31</u>

Finance Requirements:

_____ FNCE 3303 Principles of Investments and Derivatives	3
_____ FNCE 4302 Fixed Income	3
_____ FNCE 4xxx Alternative Investments and Risk Management	3
_____ FNCE 4xxx Security Valuation and Portfolio Management	3
_____ FNCE 4209 Applications in Financial Management	3
_____ FNCE 4xxx Financial Ethics	1
Major Required Credits	<u>16</u>

Finance Electives: *one 3-credit course from the following list:*

<u> </u> FNCE 3230 Real Estate Principles	3
<u> </u> FNCE 3715 Personal Finance	3
<u> </u> FNCE 4305 Global Finance	3
<u> </u> FNCE 4306 Financial Services	3
<u> </u> FNCE 4xxx Mergers and Acquisitions	3
<u> </u> FNCE 4xxx Financial Reporting and Analysis	3
Finance Electives Credits	<u>3</u>

TOTAL REQUIRED BUSINESS CREDITS **50**

The Financial Management Plan of Study (POS) is as below (please note that we show only the Business courses; the general body of knowledge requirements remain the same as for other Business majors):

STAFF REPORT**ADVISORY COMMITTEE IN ACCREDITATION****FINANCIAL MANAGEMENT MAJOR****UConn STAMFORD****PROPOSED PLAN OF STUDY****FIFTH SEMESTER**

FNCE 3101
 FINANCE ETHICS
 MKTG 3101
 ACCT 2101¹

SIXTH SEMESTER

FOCUS COURSE CHOICE
 BLAW OR MGMT 3101
 OPIM 3103
 BADM 4072
 FINANCE ELECTIVE

SEVENTH SEMESTER

FOCUS COURSE CHOICE
 FOCUS COURSE CHOICE
 BLAW OR MGMT 3101
 OPIM 3104

EIGHTH SEMESTER

FOCUS COURSE CHOICE
 FOCUS COURSE CHOICE
 MGMT 4900
 BADM 4070W

¹**ACCT 2101**: Open to sophomores - should be taken as early as possible as it is a pre/co-requisite for FNCE 3101.

General Education Requirements: All School of Business requirements, including:

___ MATH 1070Q
 ___ MATH 1071Q
 ___ STAT 1000 or 1100
 ___ ECON 1201
 ___ ECON 1202

Business Core Requirements:

___ ACCT 2001 Principles of Financial Accounting
 ___ ACCT 2002 Principles of Managerial Accounting
 ___ BADM 4075W Business Communications
 ___ BADM 4072 Career Development in Business
 ___ BLAW 3175 Legal and Ethical Environment of Business
 ___ FNCE 3101 Financial Management
 ___ MGMT 3101 Managerial & Interpersonal Behavior
 ___ MGMT 4900 Strategy, Policy & Planning
 ___ MKTG 3101 Introduction to Marketing Management
 ___ OPIM 3103 Business Information Systems
 ___ OPIM 3104 Operations Management

Credits

3
 3
 3
 1
 3
 3
 3
 3
 3
 3
 3
 3

Total Core Credits**31****FOCUS Finance Requirements:**

___ FNCE 3303 Principles of Investments and Derivatives
 ___ FNCE 4xxx Fixed Income
 ___ FNCE 4xxx Alternative Investments and Portfolio Management
 ___ FNCE 4xxx Security Valuation and Portfolio Management
 ___ FNCE 4209 Applications in Financial Management
 ___ FNCE 4xxx Financial Ethics

3
 3
 3
 3
 3
 1

Major Required Credits**16****Finance Electives:** one 3-credit course from the following list:

___ FNCE 3230 Real Estate Principles
 ___ FNCE 3715 Personal Finance
 ___ FNCE 4305 Global Finance
 ___ FNCE 4306 Financial Services
 ___ ACCT 4204 Financial Statement Analysis

3
 3
 3
 3
 3

Finance Electives Credits**3****TOTAL REQUIRED BUSINESS CREDITS 50**

Finance Course Descriptions**Core Requirement****3101. Financial Management** (existing course)

Three credits. Prerequisite: ACCT 2101, which may be taken concurrently; ECON 1200 or both 1201 and 1202; ENGL 1010 or 1011 or 2011 or 3800; MATH 1071 or 1122 or 1132; and STAT 1000 or 1100; open to juniors or higher. Not open for credit to students who have passed BADM 3730.

An introductory examination of how a business plans its needs for funds, raises the necessary funds, and invests them to attain its goals.

Required Courses (5 courses, 3 credits each, 1 course with 1 credit))**3303. Principles of Investments and Derivatives** (existing course)

Three credits. Prerequisite: FNCE 3101; open to juniors or higher. Not open for students who have passed or are taking FNCE 3302. Offered only at the Hartford, Waterbury, and Stamford Regional Campus locations for students admitted to business major programs offered only at those locations. Cannot be used toward fulfilling the Finance major requirements.

Application of the general principles of investing to a wide range of assets including bonds, stocks, and derivatives. Various models are used to price fundamental assets such as bonds and stocks as well as derivative securities such as options and futures contracts. Written analysis is required.

4209. Applications in Financial Management (existing course)

Three credits. Prerequisite: FNCE 3101; open to juniors or higher. Recommendation preparation: OPIM 3103.

An intermediate level course using cases i.e., problems faced by actual firms, to teach students how to apply financial management concepts and techniques to real-world situations.

4302. Fixed Income Securities (new for Stamford)

Three credits. Prerequisite: FNCE 3101 or instructor consent; open to juniors or higher.

Provides an understanding of the common types of fixed income securities and their valuation, the major risks associated with investing in fixed income securities, the standard measures of those risks and approaches to managing those risks. In addition the basics of modeling interest rate processes and valuing securities with embedded options will be introduced.

4xxx Alternative Investments and Portfolio Management (new course)

Three credits. Prerequisite: FNCE 3101; or instructor consent; open to juniors or higher

This course provides students with knowledge of investment characteristics of alternative investments such as hedge funds, private equity, and commodities. Students learn how to form portfolios and evaluate their performance.

4xxx Security Valuation and Portfolio Management (new course)

Three credits. Prerequisite: FNCE 3101 or instructor consent; open to juniors or higher

Determining asset allocation strategies and equity valuation methods, along with the study and interpretation of business models, and the value drivers that create shareholder wealth. Evaluation of the investment thought process that is useful in the analysis of the physical, intellectual, social, and emotional factors related to valuing a business and/or an investment.

4xxx Financial Ethics (new course)

One credit. Prerequisite: BLAW 3175

This course provides students with an understanding of the importance of ethics in the finance profession. The focus is on the concept that capital markets operate on trust; topic coverage includes professionalism and integrity of the capital markets, duties to clients and employers, investment analysis and recommendations, and conflicts of interest.

Finance Electives (any one of the following 3-credit course)**4305. Global Financial Management (existing course)**

Three credits. Prerequisite: **FNCE 3101**; open to juniors or higher.

Focuses on the detailed study of: (1) exchange rate determination, (2) operation of the foreign currency and global capital markets, and (3) hedging both transaction and economic exposure to exchange rate changes.

4306. Financial Services (existing course)

Three credits. Prerequisite: **FNCE 3101**; open to juniors or higher.

Study of the role of financial services companies in the money and capital markets, funds acquisitions, investment and credit extension.

3230. Real Estate Principles (existing course)

Three credits. Prerequisite: Open to juniors or higher.

Overview of the personal, social and business aspects of real estate. Emphasis on home purchase decisions, location analysis, market characteristics and investment decision-making.

3715. Personal Finance (existing course)

Three credits. Prerequisite: Open to juniors or higher. Recommended preparation: Completion of a college level math course is strongly recommended.

Designed to provide students with practical financial management skills that will enable them to identify their personal financial goals, and to plan and make financial decisions that will help them reach those goals. Topics include budgeting, investing, effective use of cash and credit, taxes, insurance, housing and automobile purchases, and retirement planning.

4xxx Mergers and Acquisitions (new course)

Three credits. Prerequisite: FNCE 3101

This course provides students with the theoretical background as well as the analytical and technological tools necessary to analyze corporate combinations, restructurings, and bankruptcies. Specific topics include relevant laws, takeover defenses, corporate control issues, leveraged buyouts, valuation, restructuring and bankruptcy.

4xxx: Financial Reporting and Analysis.

Three credits. Prerequisites: FNCE 3101 (new course)

This course gives students a more thorough understanding of the general principles of the financial reporting system, underscoring the critical role of the analysis of financial reports in investment decision.

D. Learning Outcomes

The proposed Financial Management Major curriculum is closely tied to professional practice, and prepares students to take the first level of the CFA exams. The learning objectives **specific to the major** are to cover the topics outlined below.

Learning Outcomes	Courses
I. Ethics and Professional Standards A. Professional Standards of Practice B. Ethical Practices	BLAW 3175 and FNCE 4xxx (Financial Ethics)
II. Quantitative Methods A. Time Value of Money B. Probability C. Probability Distributions and Descriptive Statistics	FNCE 3101, 3303, and 4209 MATH 1070Q and 1071Q STAT 1000Q/1100Q

D. Sampling and Estimation E. Hypothesis Testing F. Correlation Analysis and Regression G. Time Series Analysis H. Simulation Analysis I. Technical Analysis	
III. Economics A. Market Forces of Supply and Demand B. The Firm and Industry Organization C. Measuring National Income and Growth D. Business Cycles E. The Monetary System F. Inflation G. International Trade and Capital Flows H. Currency Exchange Rates I. Monetary and Fiscal Policy J. Economic Growth and Development K. Effects of Government Regulation L. Impact of Economic Factors on Investment Markets	ECON 1201 and 1202
IV. Financial Reporting and Analysis A. Financial Reporting System (IFRS and GAAP) B. Principal Financial Statements C. Financial Reporting Quality D. Analysis of Inventories E. Analysis of Long-Lived Assets F. Analysis of Taxes G. Analysis of Debt H. Analysis of Off-Balance-Sheet Assets and Liabilities I. Analysis of Pensions, Stock Compensation, and Other Employee Benefits J. Analysis of Inter-Corporate Investments K. Analysis of Business Combinations L. Analysis of Global Operations M. Ratio and Financial Analysis	ACCT 2001 and 2101 FNCE 4xxx (Security Valuation and Portfolio Management) FNCE XXXX
V. Corporate Finance A. Corporate Governance B. Dividend Policy C. Capital Investment Decisions D. Business and Financial Risk E. Long-Term Financial Policy F. Short-Term Financial Policy G. Mergers and Acquisitions and Corporate	FNCE 3101 and 4209 FNCE 4xxx (Mergers and Acquisitions)

Restructuring	
VI. Equity Investments A. Types of Equity Securities and Their Characteristics B. Equity Markets: Characteristics, Institutions, and Benchmarks C. Fundamental Analysis (Sector, Industry, Company) and the Valuation of Individual Equity Securities D. Equity Market Valuation and Return Analysis E. Special Applications of Fundamental Analysis (Residual Earnings) F. Equity of Hybrid Investment Vehicles	FNCE 3303
VII. Fixed Income Investments A. Types of Fixed-Income Securities and Their Characteristics B. Fixed-Income Markets: Characteristics, Institutions, and Benchmarks C. Fixed-Income Valuation (Sector, Industry, Company) and Return Analysis D. Term Structure Determination and Yield Spreads E. Analysis of Interest Rate Risk F. Analysis of Credit Risk G. Valuing Bonds with Embedded Options H. Structured Products	FNCE 4xxx (Fixed Income)
VIII. Derivatives A. Types of Derivative Instruments and Their Characteristics B. Forward Markets and Instruments C. Futures Markets and Instruments D. Options Markets and Instruments E. Swaps Markets and Instruments F. Credit Derivatives Markets and Instruments	FNCE 3303, 4209, and 4305
IX. Alternative Investments A. Types of Alternative Investments and their Characteristics B. Real Estate C. Private Equity/Venture Capital D. Hedge Funds E. Closely Held Companies and Inactively Traded Securities F. Distressed Securities/Bankruptcies	FNCE 4xxx (Alternative Investments) FNCE 3230 and 4306

G. Commodities H. Tangible Assets with Low Liquidity	
X. Portfolio Management and Wealth Planning A. Portfolio Concepts B. Management of Individual/Family Investor Portfolios C. Management of Institutional Investor Portfolios D. Pension Plans and Employee Benefit Funds E. Investment Manager Selection F. Other Institutional Investors G. Mutual Funds, Pooled Funds, and ETFs H. Economic Analysis and Setting Capital Market Expectations I. Tax Efficiency J. Asset Allocation (including Currency Overlay) K. Portfolio Construction and Revision L. Equity Portfolio Management Strategies M. Fixed-Income Portfolio Management Strategies N. Alternative Investments Management Strategies O. Risk Management P. Execution of Portfolio Decisions (Trading) Q. Performance Evaluation R. Presentation of Performance Results	FNCE 4xxx (Security Valuation and Portfolio Management) FNCE 3715 and 4209

E. Enrollment & Graduation Projections

Based on information about the size of Finance major at area business schools, our conservative estimate is that the first entering class will have 25 students. Although we can reasonably expect the class size to increase as the major benefits from increased visibility, and enhanced reputation, we have decided to project the same conservative target class size of 25 students for the first five years. With an entering class size of 25 students in each of the first four years, the total number of students is expected to be 100 when the first class graduates in 2017. This is a conservative and highly reasonable projection, given that after two years of inception in Stamford, the BS in Business Administration degree has a little over 60 declared majors and expects to graduate about 25 seniors in 2013.

F. Financial Resources

The Financial Management major requires new faculty members. Given our current Finance faculty strength at Stamford, to deliver a quality program to the 25 students in the major, we need to hire two tenure-track faculty members in Finance in the next two years. One of these is currently being hired as a full time tenure-track faculty at the Assistant Professor rank for the Stamford campus. This faculty member is expected to start in Fall 2013. For the long-term sustenance of the program, one more full-time tenure-track faculty should be hired for the Stamford campus to start in Fall 2014. Until then, three newly proposed classes will be taught by adjunct faculty.

In addition to two new faculty lines, the program needs significant administrative support from the planning stage. As soon as the major is approved by the UConn Board of Trustees, and the State of CT Board of Regents, full promotion of the program, along with several open houses must begin in anticipation of classes starting from Fall 2013. With a target class size of 25 students joining the major every year, the major will need at least one full-time administrative staffer. However, we have budgeted this full-time administrative staffer to join from Fall 2014. Until then, we are hopeful that the current administrative staff at the Stamford will share the extra burden.

The program will also hire a Director from Fall 2014. The Director will be responsible for all academic aspects of the program (see duties and responsibilities of the Director elsewhere in this proposal) and work closely with the Head of the Department of Finance at Storrs on all academic matters of the program.

Finally, the major will need significant investment in advertising in the first 2 – 3 years until we reach the steady state. These advertisements should be in the local media of newspapers, radio, TV and railway station kiosks. We already have significant experience of the costs involved for advertising through these channels from the MSFRM program introduced three years ago. While the advertising campaign need not be as intense, significant advertising budget is involved for at least the first two years. We feel that the projected advertising expense included in the budget is a conservative estimate for a new program in the greater Stamford market.

On the revenue side the only source is the tuition. Although all the revenue generated by the student tuition fees from UG major will go to the Provost office, we will use the income from the target class size of 25 to analyze the financial viability of the program.

In the following analysis, we present the projected income and expenses for the first five years. As already stated, for the first five years, we assume entering classes of 25 students each year. We make the following additional assumptions:

- a. All expense and income items increase at the rate consistent with university guidelines. .
- b. Since we provide no housing in Stamford, we assume in-state students only.
- c. A full time administrative staffer and a Director of the program to start from Fall 2014.

Expense & Tuition Revenue Projection (Fall 2012 – Fall 2017)

Projected # of Students - new and transfers	Fall 2013 (25 students)	Fall 2014 (25 students)	Fall 2015 (40 students)	Fall 2016 (60 students)	Fall 2017 (80 students)
	Expenses				
Asst Prof in Finance #1 (including benefits, 5% increase)	\$203,933 <small>sal \$147K plus FB, not fully funded in year one</small>	\$215,673	\$228,078	\$241,183	\$255,029
Asst Prof in Finance #2 & partial #1 (including benefits, 5% increase)		\$354,356 <small>**incl, \$52K plus FB of Faculty #1</small>	\$374,736	\$396,270	\$419,017
Asst Prof in Accounting (1) (including benefits, 5% increase)		\$258,501	\$273,368	\$289,077	\$305,672
Adjunct faculty (for 3 courses), 5% increase	\$14,984	\$15,875	\$16,817	\$17,814	\$18,869
Admin Asst (1 full time) (including benefits, 5% increase)		\$90,198 <small>sal \$60K plus FB</small>	\$95,338	\$100,766	\$106,500
Advertising		\$100,000	\$50,000	0	0
Program's Faculty Director 1-month sal plus 1-course release		\$32,441 <small>1-month plus FB</small>	\$34,307	\$36,277	\$38,360
Total Expense	\$218,917	\$1,067,044	\$1,072,644	\$1,081,387	\$1,143,447
	Tuition Revenue				
Tuition Fees	\$231,425	\$246,450	\$420,960	\$663,012	\$928,217
University and Student Fees	\$11,691	\$12,041	\$19,844	\$30,659	\$42,105
Total Tuition Revenue	\$243,116	\$258,491	\$440,804	\$693,671	\$1,185,552
Net Income	\$24,199	(\$808,553)	(\$631,840)	(\$387,716)	\$42,105
Cumulative Loss		(\$784,354)	(\$1,416,194)	(\$1,803,911)	
New & Transfer Undergrads	25	25	40	60	80
	Year 1: 2013-14	Year 2: 2014-2015	Year3: 2015-2016	Year 4: 2016-2017	Year 5: 2017-2018
Increase %	6.25%	6.50%	6.75%	5%	5%
Tuition	\$9,257	\$9,858	\$10,524	\$11,050	\$11,603
Fee	\$468	\$482	\$496	\$511	\$526

As shown in the income statement, with a very conservative estimate of 25 entering students for each of the first five years, and assuming no out-of-state students, the major should break even in the 5th year. With a larger number of students, we will break even sooner. So, the program is definitely financially viable.

G. Facilities//Equipment/Library/Special Resources

a) Number of volumes, periodicals and other materials in the major field and cognate subject areas.

The University of Connecticut Libraries' collection consists of 2,941,336 volumes and 200 databases <http://www.lib.uconn.edu/about/publications/annreps/ar2011_2012.pdf>. Approximately 35,000 volumes fall under the category of business, including those in finance management, risk management, business statistics, finance, banking, credit, international finance, investment, insurance, and public finance. By utilizing Document Delivery/Interlibrary Loan Services (DD/ILL), Stamford Regional Campus users have access to thousands of other resources from all UConn campuses, libraries within the OCLC WorldCat system, and those within the Boston Library Consortium (BLC)'s Virtual Catalog. DD/ILL which often provides 24-hour turnaround time, allows Stamford Regional Campus users to have items delivered directly to each campus or other designated location; and articles scanned and available electronically to a campus email account. Virtual Personal Computing (vPC), a collaboration between the Libraries and the Schools of Business and Engineering, allows students to connect d to statistical software such as SPSS.

b) A representative listing of periodical literature in the library which will support the program.

UConn Libraries has successfully transitioned to a dynamic electronic environment. We subscribe to some 3,000 print journals, the Stamford Regional Campus users have access to an ever-growing number of periodicals from UConn's subscription databases. UConn Libraries has approximately 27 databases which focus on business-related topics. Access to subscription-based periodicals is **available to all** Stamford Regional Campus UConn students, staff, and faculty, both on campus and remotely from their personal computers. A complete listing of databases is available at <http://rdl.lib.uconn.edu/subjects/1871;all>.

- ❖ The University of Connecticut Libraries subscribes to over 40,000 journals. These electronic journals are available to all UConn users, both on campus and remotely. Within Business & Economics, Stamford Regional Campus users can access more than 8,000 full text journals, including (complete listing is available at: <http://tinyurl.com/dh27uk>)

Business Discipline	# Full Text Journals
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Accounting	168
Business Communication	29
Commerce/International Commerce	269
Labor & Workers' Economics	300
Marketing & Sales	446
Economic History	1,177
Economic Theory	416
Finance	878
Industries	818
Management	898

b) *A representative listing of periodical literature in the library which will support the program. (continued)....*

❖ Below is a highly abridged listing of business-related electronic journals available to the Stamford Regional Campus from subscription databases:

- *Academy of Management Journal*
- *Adweek*
- *AdMedia*
- *Annals of Finance*
- *Boston Business Journal*
- *Business & Economic Review*
- *Business & Finance Week*
- *Business Review*
- *Business Week*
- *Crain's New York Business*
- *Crain's Small Business*
- *Crane's Today*
- *CPI Financial*
- *Entrepreneur*
- *Fairfield Country Business Journal*
- *Finance & Commerce*
- *Finance & Development*
- *Financial adviser*
- *Financial History Review*
- *Financial Management*

- *Financial Executive*
- *Financial Planning*
- *Financial Times, London*
- *Foreign Affairs*
- *Harvard Business Reviews*
- *Institutional Investor*
- *International Business Management*
- *International Business Review*
- *Journal of Direct, Data and Digital Marketing Practice*
- *Journal of Marketing*
- *Journal of Marketing Management*
- *Journal of the Academy of Marketing Science*
- *Long Island Business Week News*
- *Marketing*
- *Marketing & Business Development*
- *Nation's Business*
- *Real Estate, New York*
- *Real Estate Forum, New York*
- *Thunderbird International Business Review*
- *Journal of Marketing*
- *Managerial Finance*
- *Marketing Business Weekly*

b) *A representative listing of periodical literature in the library which will support the program. (continued)....*

- *Marketing Management*
- *Marketing Intelligence & Planning*
- *Marketing Letters*
- *Marketing Management*
- *Marketing to Women*
- *Marketing News*
- *Marketing Science*
- *Marketing Week*
- *North American International Business*
- *Wall Street Journal*

❖ Below are the primary databases designated for business programs at the Stamford Regional Campus:

Key Business Databases:	Coverage
<i>ABI/INFORM Global</i>	business and economic conditions, management techniques, theory, practice of business, advertising, marketing,

	economics, finance, taxation, and computers, 1991-current (fulltext); 1971-current (index & abstracts).
Dun & Bradstreet's Key Business Ratios	Financial statements of U.S. corporations, partnerships, and proprietorships. 14 ratios include solvency, efficiency, and profitability.
Hoover's Company Records	information on 15,000 companies covered by Hoovers

b) *A representative listing of periodical literature in the library which will support the program. (continued)*

❖ *Below are the primary databases designated for business programs at the Stamford Regional Campus: (continued)....*

Factiva	Full-text global news and business information service, combining the content sets of Dow Jones Interactive and Reuters Business Briefing.
LexisNexis Business	Company financial reports; company profiles; SEC filings & reports; corporate directories; business articles from newspapers, magazines, journals, wires & transcripts; industry reports.
LexisNexis Legal	Primary source materials such as federal and state case law, statutes and codes, federal regulations, international legal materials, and patents. Secondary sources include legal news and law review articles. .
LexisNexis News	National and international newspapers, news transcripts from TV and radio, and company financial reports. .
Mergent Online	Business & financial data about U.S. and international public companies. Includes: company data and annual reports. Most recent 15 years
Safari Business Books Online	Full text of 250 electronic books in technology and business fields, from publishers such as O'Reilly & Associates, Que, New Riders, Sams, Prentice-Hall, and Addison-Wesley.
Standard and Poor's NetAdvantage	Financial information for thousands of US and global companies. Also includes Industry Surveys, Bond Reports, Stock Reports, Directory of Corporations, Register of Executives and more.

b) *A representative listing of periodical literature in the library which will support the program. (continued)*

❖ *Below are the primary databases designated for business programs at the Stamford Regional Campuses: (continued)....*

<i>Thomson ONE Banker</i>	Current & historical financials, filings, earning estimates, real-time market data and stock quotes, ownership profiles, deals data and more for U.S. and International companies. An Excel Add-in facilitates the downloading and analysis of data
<i>Business & Company Resource Center</i>	<p>Company profiles, brand information, rankings, investment reports, company histories, chronologies and periodicals. Includes detailed company and industry news and information. 1980-current</p> <p>Includes:</p> <ul style="list-style-type: none"> • Company profiles, including corporate parent/sibling relationships • Industry ranking • Products and brands • Stock prices • Investment reports • Industry statistics • Corporate chronologies and histories • Consumer marketing data • Emerging technology reports • Industry newsletter news and analysis • Business journal news and analysis • Press releases • Global coverage • Investext (ASCII) reports • Comprehensive financial overviews • Twenty minute delayed stock quotes • Company performance ratings • Current investment ratings • First Call Consensus Estimates • CDA/Investnet Insider Buying & Selling Activity • CDA/Spectrum Major Shareholders • Pricing Momentum Short Interest Share and Ratios Key Measures • Balance sheets and income statements • Financial ratios • Coverage of major business events and trends

- c) **New learning materials, which will be added for the program. Indicate when they will be available for student and faculty use.**

The Financial Management Major is Library Resource Neutral. No new learning materials are planned at this time.

H. Program Administration

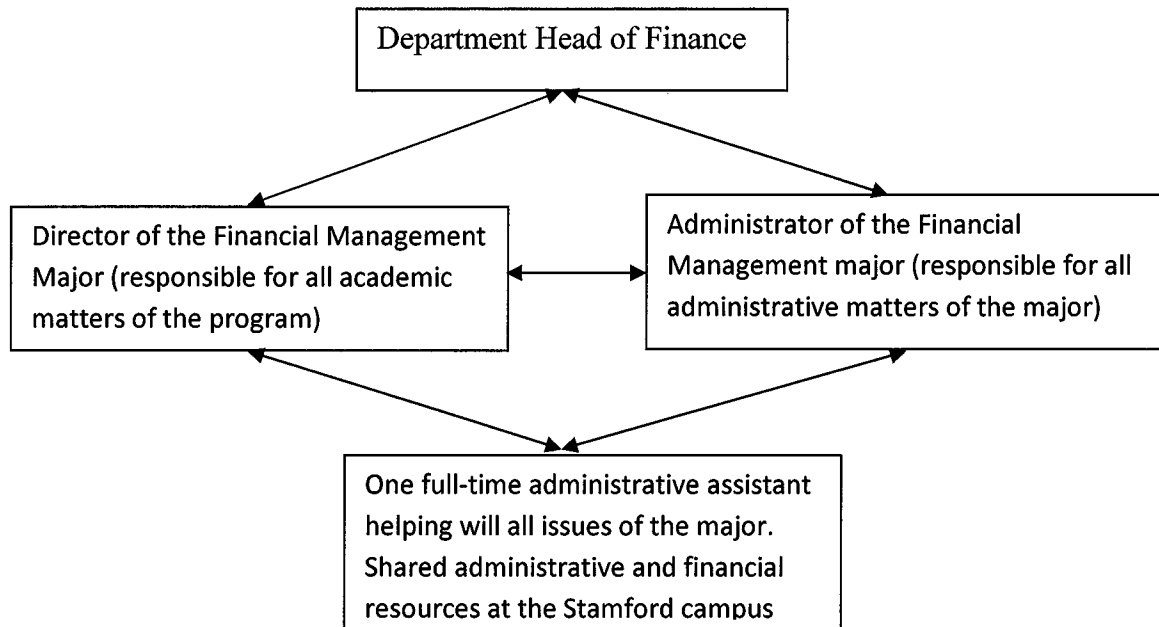
The Financial Management major at the Stamford campus will be administered by the Finance Department at the main campus at Storrs. The department head of Finance will have the responsibility and authority with respect to the following aspects of the program:

- a. All new/modified courses will be approved by the curriculum committee of the Finance department, the UG committee in the school and the business faculty at large through presentation at the faculty meeting.
- b. Faculty administration and governance including performance evaluation will be under the authority and responsibility of the Finance department head.
- c. All teaching assignments of the program will be the authority and responsibility of the Finance department head.
- d. All academic policies and issues related to the program will be guided by relevant University policies and fully ratified by the finance department faculty and business school faculty, where appropriate.

The administration at Stamford will be responsible – with assistance and guidance of the Finance department and the Stamford Admissions, Registrar, and Career Center- for the following matters relating to the program:

- a. All recruitment initiatives and admission decisions of the program;
- b. Scheduling of all courses and registration of students;
- c. Counseling of students and guiding them with the requirements of the major leading to graduation;
- d. All routine matters relating to student governance (organizing open houses, meeting during open houses, attendance in classes, conduct in the classroom, transfer credits, routine grading issues, payments of fees and any adjustments thereof, work study, etc.)
- e. All internships and placement services;
- f. All promotional and advertising programs and campaigns of the major among business community in the greater Stamford area;
- g. Arrange visits by business professionals to the classes, and visits by students to area businesses;
- h. Maintain regular contact and liaison with the CFA society of Stamford to ensure the relevance of the major to the society, and prepare students for the CFA certification;

The organization structure of the Financial Management major will be as follows:



It is expected that Jud Saviskas, Executive Director of the Stamford campus will serve as the administrator of the major with help from the full-time administrative assistant. The positions of the Director and administrative assistant are currently vacant and will be filled through a search process in full compliance of the University hiring rules and procedure. We expect to fill these positions from Fall 2014, a year after the launch of the program in Fall 2014. Until then, we hope that the administrative staff at the Stamford campus will bear the extra burden of this major.

I. Faculty

Many of the courses in the program are currently being taught as part of the BSBT and BSBA programs, and will continue to be taught by existing faculty members. While all or several of the four finance faculty members have experience in teaching the course in the Financial Management major, it is expected that majority of the classes currently being offered will be taught by Professors Katherine Pancak, and John Knopf.

Katherine Pancak, Professor In-residence

Katherine Pancak is Professor in Residence of Finance and Real Estate at the University of Connecticut at Stamford. Her specialties are real estate law and distance education. She teaches undergraduate and graduate courses in finance and real estate, including Financial Management, Personal Finance, and Real Estate Principles.

Professor Pancak has been on the forefront of using technology in the classroom. She incorporates an online class site into all of her traditional courses, not to replace traditional learning, but to supplement it and to make the learning experience more flexible for today's students. She also developed and taught the first online graduate business course for the

University, as well as an online undergraduate course. Both of these courses have been highly acclaimed by students and are always oversubscribed. The School of Business has honored Professor Pancak for her dedication to her students, by naming her the recipient of the the 2004 and 1998 School of Business Undergraduate Teaching Awards and the 2001 School of Business Innovation in Teaching Award. In 2008, she was named national Real Estate Educator of the Year by the Real Estate Educators Association, and received a citation of appreciation from Connecticut Governor Jodi Rell.

In addition to teaching, Professor Pancak conducts research on real estate law topics and has been published in a variety of real estate journals and law reviews, including the *Journal of Real Estate Research*, the *Journal of Real Estate Finance and Economics*, the *Real Estate Law Journal*, and the *Boston College Environmental Law Review*. She is the author of *Connecticut Real Estate: Law and Practice*, Consulting Editor of *Real Estate Fundamentals*, and former President of the Connecticut Real Estate Educators Association.

John Knopf, Associate Professor of Finance

John D. Knopf is currently an Associate Professor in the Department of Finance at the University of Connecticut. He has previously held positions at New York University Stern School of Business, Pace University, Seton Hall University and the University of Gothenburg. Professor Knopf has published articles in firm risk-taking and hedging in journals including the *Journal of Finance*, *European Financial Management*, *Journal of Quantitative and Financial Analysis*, *Journal of Law and Economics* and *Journal of Banking and Finance*.

The other full time finance faculty members at the Stamford campus are **Norman Moore, Associate Professor of Finance**, and **Walter Dolde, Associate Professor of Finance**. While both of these faculty members have experience with several of the courses, they are fully occupied with teaching for the MBA, and MSFRM programs. Asking them to teach in the Financial Management major will require some of the regular graduate courses to be taught by adjunct faculty, which may adversely affect the reputation of our graduate programs. So, we do not intend to assign any courses in the Financial Management major to Prof Moore and Dolde at this time. The current plan for assigning various Business and Finance classes in the plan of study of the Financial Management major is presented in the table below:

Course	New /Existing Course	Core/elective	Faculty	New Faculty?
Business School Core Requirement				
ACCT 2001	existing	Core	Hurley	no
ACCT 2101	existing	Core	Hurley	no
BADM 4075W	existing	Core	adjunct	no
BADM 4072	existing	Core	adjunct	no
BLAW 3175	existing	Core	Carrafiello	no
MGMT 3101	existing	Core	adjunct	no
MGMT 4902	existing	Core	Salorio	no
MKTG 3101	existing	Core	McEvoy	no
OPIM 3103	existing	Core	Boylu	no

OPIM 3104	existing	Core	Dowding	no
FNCE 3101 – Financial Management	existing	Core	Knopf	no
Financial Management Finance Course Requirement				
FNCE 3303 – Investments	existing	FNCE req	Knopf	no
FNCE 4209 - Adv Corporate Finance	existing	FNCE req	Knopf	no
FNCE 4302 - Fixed Income Analysis	existing	FNCE req	None	Yes*
FNCE 4xxx - Alternative Inv.	new	FNCE req	None	Yes*
FNCE 4xxx - Security Valuation	new	FNCE req	None	Yes*
FNCE 4xxx - Financial Ethics	new	FNCE req	Pancak	No
Financial Management Elective Course Requirement (one of the following 3-credit courses)				
<i>FNCE 4xxx - Mergers & Acquisitions</i>	<i>new</i>	<i>elective</i>	<i>Knopf</i>	<i>No</i>
<i>FNCE 3230 - Real Estate Principles</i>	<i>existing</i>	<i>elective</i>	<i>Pancak</i>	<i>No</i>
<i>FNCE 3715 - Personal Fin Planning</i>	<i>existing</i>	<i>elective</i>	<i>Pancak</i>	<i>No</i>
<i>FNCE 4305 - Global Finance</i>	<i>existing</i>	<i>elective</i>	<i>adjunct</i>	<i>No**</i>
<i>FNCE 4306 - Financial Services</i>	<i>existing</i>	<i>elective</i>	<i>adjunct</i>	<i>No**</i>
<i>FNCE 4xxx - Financial Reporting</i>	<i>new</i>	<i>elective</i>	<i>adjunct</i>	<i>No**</i>
*To be taught by tenure-track faculty currently being hired,				
**To be taught by adjunct faculty until new full-time faculty is hired.				

We have been assured by the Directors at the Stamford and Waterbury campuses that all general education and core business requirements of the Financial Management major are currently being offered in Stamford.

Including the core requirement, the Financial Management major includes 13 courses, 6 of which are electives. As the table shows, Prof Knopf will be assigned 4 courses, and Prof Pancak will be assigned 3 courses. As a tenure track faculty member, Prof Knopf's regular teaching load is 4 courses, so he is fully engaged. As an in-residence faculty member, Prof Pancak's teaching load is 7 courses, but frequently it is 6 courses because of her research productivity and service contributions. In addition, she is a Real Estate faculty and is expected to teach some Real Estate classes. So, with 3 courses in the Financial Management major, she is assigned the maximum load she can carry in the Financial Management major.

With a total of 7 courses being assigned to Profs Pancak and Knopf, 6 remaining FNCE courses must be assigned to other faculty members. These 6 include 3 of the following five new courses are being developed for the Financial Management major:

1. FNCE 4xxx Mergers and Acquisitions, Three credits. Prerequisite: FNCE 3101
2. FNCE4xxx Alternative Investments and Portfolio Management, Three credits. Prerequisite: FNCE 3101
3. FNCE 4xxx Financial Ethics. One credit. Prerequisite: BLAW 3175
4. FNCE 4xxx Security Valuation and Portfolio Management. Three credits. Prerequisite: FNCE 3101
5. FNCE 4xxx: Financial Reporting and Analysis. Three credits. Prerequisites: FNCE 3101

Professors Pancak and Knopf have been assigned three of these courses.

A new tenure-track full-time faculty position in the rank of assistant Professor has been approved for the Financial Management major, and a nationwide search is currently underway. We expect that the search committee will recommend a final selection for the approval of the department head and the Dean in the next three months. Since this is a tenure-track position, pure academic research in quality list journals is a requirement for career advancement. The standard teaching load of a newly hired tenure-track research faculty member during the academic year is 3 courses, which implies that the remaining 3 courses must be taught by adjunct faculty. Having as many as 3 of the full roster of 13 courses taught by adjunct faculty is not a feasible long-term solution. For long-term success and reputation of the major, hiring at least one more full-time faculty members is essential in the next 2 – 3 years.

J. Similar Programs in Connecticut

We expect that the Financial Management major will draw students mainly from the greater Fairfield County and the business corridor from Stamford to New Haven. The list of four year degree granting institutions in that part of the state of Connecticut that offer undergraduate programs in Finance is set out below. We classify the schools in groups of AACSB-Accredited and non-AACSB Accredited programs. We believe given the location of the program at Stamford where many large multinationals in financial services have headquarters, the quality and reputation of the school is an important consideration with the students.

Institution	Location	Program
AACSB Accredited		
Fairfield University	Fairfield	Finance Major
Sacred Heart University	Fairfield	Finance Major
Quinnipiac University	Hamden	B.S. in Finance
Non-AACSB Accredited		
Albertus Magnus College	New Haven	Finance Concentration
Post University	Waterbury and online	B.S. in Finance
Southern CT State University	New Haven	Finance Major
University of Bridgeport	Bridgeport	B.S. in Finance
University of New Haven	West Haven	B.S. in Finance
Western CT State University	Danbury	Finance Major

Besides UConn, the three Connecticut AACSB accredited institutions are all private, where the tuition is significantly higher. They are much smaller than UConn, so the students do not have access to as comprehensive an educational experience as UConn. Further, of these three schools, Sacred Heart is the only one that has a relationship with CFA, and follows the CFA recommended curriculum. No public institution has a relationship with CFA.

All non-AACSB accredited schools are public. To the best of our knowledge, there is **no public AACSB-accredited undergraduate finance program in Fairfield County**, and no undergraduate finance program of any kind in Stamford.

Because of the growing size of the finance job market in the greater Stamford area, our large alum base between New York City and Stamford, our research oriented faculty, the persistent feedback from our students requesting a Finance major, and the large investment in the UConn-Stamford campus by the University and the state government, we feel that our program is timely, and has great potential to play a significant strategic role in the economic development of the greater Fairfield County area.

APPENDIX A

DRAFT COURSE SYLLABUS
Alternative Investments Strategies (FNCE 4xxx)
Three Credits

Required Text:

The Handbook of Traditional and Alternative Investment Vehicles: Investment Characteristics and Strategies, 2010, by Anson, Fabozzi, and Jones, Wiley Finance.

Course Objectives:

This course provides students with knowledge of investment characteristics of alternative investments such as hedge funds, private equity, and commodities. Students learn how to form portfolios and evaluate their performance.

Project and Presentation:

Students will break into groups of three or four. The group will thoroughly analyze a particular alternative investment and make a recommendation as to how to invest.

Grading:

There will be two exams and a project. The final exam will not be cumulative. The final grade will be calculated based upon the following:

30% Mid-term Exam

30% Final Exam

30% Project and Presentation

10% Class Participation

Topics:

- 1 Alternative Investments and their Characteristics
- 2 Common Stock
- 3 Fixed Income
- 4 Asset Backed Securities
- 5 Investment-Oriented Life Insurance
- 6 Hedge Funds
- 7 Hedge Fund Strategies
- 8 Hedge Fund Risk
- 9 Hedge Fund Performance Evaluation
- 10 Private Equity
- 11 Private Equity Investments
- 12 Commodities
- 13 LBOs, Distressed Debt, and Mezzanine Debt
- 14 Real Estate

**DRAFT COURSE SYLLABUS
MERGERS AND ACQUISITIONS (FNCE 4xxx)**

Three Credits

Required Text:

Mergers, Acquisitions and Corporate Restructuring, Patrick A. Gaughan, 2010 (5th Ed.), Wiley.

Harvard Business Review and Cases:

Geoffrey Cullinan, Jean-Marc Le Roux, and Rolf-Magnus Weddigen, "When to Walk Away from a Deal," Reprint R0404F.

Ronald N. Ashkenas, Lawrence J. DeMonaco, and Suzanne C. Francis, "Making the Deal Real: How GE Capital Integrates Acquisitions," Reprint 98101.

Robert G. Eccles, Kersten L. Lanes, and Thomas C. Wilson, "Are You Paying Too Much for That Acquisition," Reprint 99402.

Additional Required Readings:

Students are expected to read the financial press regularly to keep abreast of the latest M&A transactions.

Anslinger, Patricia L., Sheila Bonini, and Michael Patsalos-Fox, "Doing the spin-off," *The McKinsey Quarterly* (2000), No.1.

Anslinger, Patricia L., Steven J. Klepper, and Somu Subramaniam, "Breaking up is Good to do," *The McKinsey Quarterly* (1999) No. 1.

Bieshaar, Hans, Jeremy Knight, and Alexander van Wassenae, "Deals that create value," *The McKinsey Quarterly* (2001), No. 1.

Denis, David J., "Organizational form and the consequences of highly leveraged transactions: Kroger's recapitalization and Safeway's LBO," *Journal of Financial Economics* 36 (1994) pp. 193-224.

Course Objectives:

The primary objective of this course is to provide the student with the theoretical background as well as the analytical and technological tools necessary to analyze corporate combinations, restructurings, and bankruptcies.

Class Participation:

You are strongly encouraged although not required to attend every class. You are judged by the quantity and quality of your participation. It is particularly important that you do all readings (chapters, cases and articles) prior to classroom discussion.

Project and Presentation:

Students should form groups of three or four. Every group must select one merger to analyze. No two groups may select the same merger. Mergers will be awarded on a first come, first serve basis. Guidelines for the project are provided under separate cover. Each group must submit a written project and make a 20 minute presentation.

Grading:

There will be two exams and a project. The final exam will not be cumulative. The final grade will be calculated based upon the following:

- 25% Mid-term Exam
- 25% Final Exam
- 40% Project and Presentation
- 10% Class Participation

Topic #	Topics	Assignments, Cases and Readings
I	Introduction <ul style="list-style-type: none"> • Definitions • Types of Mergers • Stakeholders • Free-riders • Prisoner's Dilemma • Recent Activity • History 	Text-Chapter 1, 2 <ul style="list-style-type: none"> • Form Groups—ASAP • Pick Company for Analysis—ASAP • Information Sheets—ASAP
II.	Laws and Regulations <ul style="list-style-type: none"> • Anti-Trust • Securities Laws 	Text-Chapter 3
III.	Motivations & Strategies <ul style="list-style-type: none"> • Synergies • Managerial • Undervalued Target • Legal • Earnings (Bootstrapping) 	Text-Chapter 4 <ul style="list-style-type: none"> • When to Walk Away from a Deal • Making the Deal Real: How GE Capital Integrates Acquisitions

IV.	Takeover Defenses <ul style="list-style-type: none"> • Motivation • Preemptive Steps • Tactics 	Text-Chapter 5
V.	Corporate Control <ul style="list-style-type: none"> • Acquiring Shares • Proxy Voting 	Text-Chapter 6
VI.	Empirical Evidence <ul style="list-style-type: none"> • Calculating Premiums • Target and Bidder Premiums • Causes of Premiums 	Text-Chapter 6
VII.	Leveraged Buyout (LBO) and Junk Bonds <ul style="list-style-type: none"> • History of LBOs • Management Buyouts (MBOs) • LBO Process • LBO Financing & Capital Structure • Advantages of LBOs • Reverse LBOs • Creditor Protection • Junk Bonds 	Text-Chapters 7,8 <ul style="list-style-type: none"> • Kroger's and Safeway
VIII.	Valuation <ul style="list-style-type: none"> • Price Relatives • Discounted Cash Flow 	Text-Chapter 13 <ul style="list-style-type: none"> • Are You Paying Too Much for That Acquisition
IX.	Employee Stock Ownership Plan (ESOP) <ul style="list-style-type: none"> • Types • Characteristics • Uses 	Text-Chapter 9
X.	Corporate Restructuring <ul style="list-style-type: none"> • Benefits • Spin-Offs • Equity Carve Outs • Split-up, -off • Tracking Stock • Master Limited • Empirical Evidence 	Text-Chapter 10 <ul style="list-style-type: none"> • Breaking Up • Deals that Create Value • Doing the Spin-off

XI.	Bankruptcy and Reorganization <ul style="list-style-type: none">• Financial Distress• Costs• Bargaining• Liquidation• Reorganization• Workouts	Text-Chapter 11
XIII.	International <ul style="list-style-type: none">• Benefits	Course Notes

DRAFT COURSE SYLLABUS
Security Valuation and Portfolio Management (FNCE 4xxx)
Three Credits

Required Text:

Investment Valuation: Tools and Techniques for Determining the Value of any Asset, University Edition, 3rd Edition, 2012, Wiley.

Required Cases:

Warren Buffett
Harvard Management Company
McDonald's Corporation
Matching Dell

Course Objectives:

Determining asset allocation strategies and equity valuation methods, along with the study and interpretation of business models, and the value drivers that create shareholder wealth.
Evaluation of the investment thought process that is useful in the analysis of the physical, intellectual, social, and emotional factors related to valuing a business and/or an investment.

Class Participation:

You are strongly encouraged although not required to attend every class. You are judged by the quantity and quality of your participation. It is particularly important that you do all readings (chapters, cases and articles) prior to classroom discussion.

Project and Presentation:

Students should form groups of three or four. Every group must select one company to value. No two groups may select the same company. Companies will be awarded on a first come, first serve basis. You must do a thorough valuation of the company. At a minimum you must perform DFC, PE, PEG and EBITDA Relative Valuations. Each group must submit a written project and make a 20 minute presentation.

Grading:

There will be two exams and a project. The final exam will not be cumulative. The final grade will be calculated based upon the following:

25% Mid-term Exam
25% Final Exam
40% Project and Presentation
10% Class Participation

Topics:

- 1 Introduction to Valuation and Portfolio Management
- 2 Financial Statement Analysis for Valuation
- 3 Risk and Valuation
- 4 Required Returns
- 5 Measuring Earnings and Forecasting Cash Flows
- 6 Dividend Discount Models
- 7 Discounted Cash Flow Analysis
- 8 Valuing Private Firms
- 9 Valuing Financial Institutions
- 10 Portfolio Risk Measurement
- 11 Efficient Portfolios
- 12 Asset Allocation Strategies
- 13 Portfolio Performance Evaluation

DRAFT COURSE SYLLABUS
Financial Reporting and Analysis (FNCE 4xxx)

Three Credits

Course Objective:

This course provides students with knowledge of how to use financial information to analyze and value firms. Students will learn about the information contained in financial reports, why firms report certain information, and how to be a sophisticated user of this information. The student will also learn to apply a variety of valuation techniques.

Required Text:

Financial Statement Analysis and Security Valuation, 5th Edition, 2012, Stephen H. Penman. Mc-Graw Hill.

Homework Assignments:

Students will form groups of four. Each group will submit four homework assignments.

Valuation and Accounting Analysis Project :

Each group will fully analyze a company as a security analyst. The group will make a 10 page report which provides a summary of the analysis performed to make a buy or sell recommendation on the specific security. The group will also make a 15 minute presentation.

Grading:

There will be two exams, homework and a project. The final exam will not be cumulative. The final grade will be calculated based upon the following:

25% Mid-term Exam

25% Final Exam

20% Project and Presentation

20% Homework

10% Class Participation

Topics:

A. Financial Reporting System (IFRS and GAAP)

B. Principal Financial Statements

C. Financial Reporting Quality

D. Analysis of Inventories

E. Analysis of Long-Lived Assets

F. Valuation

G. Analysis of Taxes

H. Analysis of Debt

I. Ratio and Financial Analysis

J. Business Combinations

ATTACHMENT 8

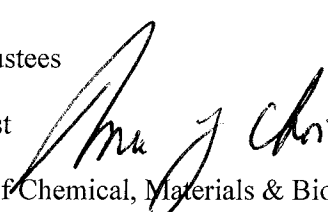


University of Connecticut
Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Interim Provost 

RE: Division of the Department of Chemical, Materials & Biomolecular Engineering into the Department of Materials Science & Engineering (MSE) and the Department of Chemical & Biomolecular Engineering (CBE) in the School of Engineering

RECOMMENDATION:

That the Board of Trustees approve the division of the Department of Chemical, Materials & Biomolecular Engineering into the Department of Materials Science & Engineering (MSE) and the Department of Chemical & Biomolecular Engineering (CBE) in the School of Engineering.

BACKGROUND:

The creation of two separate departments will position the School of Engineering and the participating faculty to better serve the strategies and initiatives of the University as it builds momentum in its unfolding relationships with the Biosciences Connecticut initiative (particularly in areas including systems biology, systems genomics and advanced materials), the Jackson Laboratory and the nascent Genomics Institute, and the advanced manufacturing initiative. Furthermore, this new structure will better position the University to attract industry partners, and for the School of Engineering to fully collaborate with these partners within the Storrs Tech Park.

While the Materials Science & Engineering Program and Chemical Engineering Program currently operate as discrete units within the CMBE Department – with separate curricula, budgets, faculty meetings and program directors – we assert that the creation of two independent *departments* will:

- Enable the outstanding faculty and students in each unit to garner the scholarly recognition they deserve;
- Improve name recognition for the respective units, thereby enhancing *U.S. News* rankings, which specifically recognize “Chemical Engineering” and “Materials Engineering” as separate disciplines;

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University of Connecticut

Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

- Provide a structure consistent with national norms to create increased interest by and enrollment of undergraduates in each of the disciplines;
- Improve recruiting success among prospective graduate student and faculty populations; and
- Better position faculty to leverage federal research funding opportunities.

Importantly, the creation of separate MSE and CBE Departments will entail no additional costs or space. The administrative structure and office space of the currently combined CMBE Department will remain sufficient for the leadership, management and administration of the independent MSE and CBE Departments.

In terms of commitment, the current CMBE tenured and tenure-track faculty members (29) have expressed overwhelming support for the creation of the MSE and CBE Departments. In an anonymous vote completed on September 5, 2012, 27 faculty members voted affirmatively for the reorganization, while one expressed opposition and one failed to respond.

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Proposal

The Department of Chemical, Materials & Biomolecular Engineering (CMBE) at the University of Connecticut is the combination of two successful academic programs: the Chemical Engineering Program (which contains Biomolecular Engineering), and the Materials Science & Engineering Program.

After a careful assessment of the activity, structure and mission of CMBE, we propose to elevate these two individual programs to the Department level, and to eliminate CMBE as a unit. The two departments that will replace CMBE will be:

- The Department of Materials Science & Engineering (MSE)
- The Department of Chemical & Biomolecular Engineering (CBE)

This proposal is supported by the faculty of CMBE, the industrial advisory boards of the two programs, and by the administration of the School of Engineering (SOE).

Rationale

A two-department structure will organize existing resources to better serve the mission of the University. In particular, the departments of CBE and MSE will have new flexibility to pursue and support initiatives such as Biosciences Connecticut, Advanced Materials, the Materials Genome Initiative, Additive Manufacturing, and the Technology Park.

Equally important is that a two-department structure will build a stronger brand identity for each of the disciplines and their associated teaching and research activities by:

1. Giving improved visibility to the disciplines as they are presented nationally and internationally, leading to higher rankings for the school, disciplines and faculty.
2. Setting the stage for increased interest, enrollment, and career opportunity by undergraduates in each of the disciplines.
3. Presenting an organizational face that will better appeal to the top graduate students in the disciplines, thus improving our recruiting of these vital contributors of research.
4. Providing for an improved organization of the faculty around well-defined disciplines that enhance competitiveness in obtaining Federal and industrial research grants.

All of this can be attained at no additional cost or space allotment over the current combined resources used to operate CMBE.

An important consideration for this proposal is that the Chemical (& Biomolecular) Engineering Program and the Materials Science & Engineering Program within CMBE already act as separate entities:

- Each has distinct program office space (Chemical in EII room 204; Materials in IMS room 111)
- Each has an independent Program Director overseeing various administrative activities (e.g. teaching assignments, committee duties, services activities) and providing representation for the discipline at major national conferences (e.g., American Institute of Chemical Engineering Annual Meetings, Materials Research Society Fall and Spring Meetings).
- Each has a complete and wholly independent undergraduate and graduate curriculum with separate Undergraduate Program Chairs and Graduate Program Chairs.
- Each has separate faculty meetings, seminar series, committee organizations, industrial advisory boards, student organizations, and brochures and fliers.

- Each has separate budgets, though these are currently maintained internally within CMBE and not at the University Budget Office level.
- Each recruits new faculty members, graduate students, and undergraduate students through separate academic program activities.

Appendix

Our Aspirant Programs and Institutions

Of the top 50 engineering schools/colleges in the 2012 US News rankings (listing at end of appendix):

- 30 schools/colleges have stand-alone Materials Engineering departments
- 38 schools/colleges have stand-alone Chemical Engineering departments
- None of the top 25 engineering schools/colleges have combined Chemical and Materials departments.

Chemical & Biomolecular Engineering, and Materials Science & Engineering, are the dominant organizational structures for the two disciplines. Through this proposal, UConn SOE seeks to present these disciplines in a manner consistent with the national and international norms.

US News 2012 - Top Engineering Schools Whose Highest Degree is a Doctorate

Of the top 50 Schools/Colleges of Engineering in the rankings (see listing at end of appendix):

- 28 have Dept./Schools of Materials Science and Engineering
- 2 have Dept./Schools of Materials Engineering
- 17 have Dept./Schools of Chemical Engineering
- 21 have Dept./Schools of Chemical and Biomolecular/Biological/Biochemical Engineering
- 5 have Dept. of Chemical and Materials Engineering
- 0 have Dept. of Chemical, Biomolecular and Materials Engineering

Rankings

US News ranks the top departments individually as either Chemical or as Materials Engineering. We must be visible to improve our rankings. The table below shows the US News presentation categories for 2012.

Top Programs AT ENGINEERING SCHOOLS WHOSE HIGHEST DEGREE IS A DOCTORATE	
CHEMICAL 1. Massachusetts Inst. of Technology 2. University of California-Berkeley* 3. Stanford University (CA)	MATERIALS 1. Massachusetts Inst. of Technology 2. University of California-Berkeley* 3. U. of Illinois-Urbana-Champaign*

Similarly, the National Research Council ranks the disciplines individually as either Chemical or as Materials Science and Engineering.

This proposal seeks to organize the Chemical Engineering and Materials Engineering disciplines at UConn in a manner consistent with that used by these important and highly cited agencies. The faculty and industrial advisors of our Chemical and Materials programs all believe that this action will measurably impact the rankings of the individual disciplines through this straightforward reorganization.

Accreditation

The Accreditation Board for Engineering and Technology (ABET) accredits post secondary engineering education programs around the world.

ABET lists the accreditation criteria for Chemical & Biomolecular Engineering separate from the accreditation criteria for Materials Science & Engineering.

ABET Criteria for Accrediting Engineering Programs, 2012 – 2013 http://abet.org/engineering-criteria-2012-2013/	
<i>Verbatim from ABET website:</i> “Program Criteria for Chemical, Biochemical, Biomolecular, and Similarly Named Engineering Programs”	<i>Verbatim from ABET website:</i> “Program Criteria for Materials (1), Metallurgical (2) and Similarly Named Engineering Programs”

Program Growth

As shown in the table below, the faculty and student populations for both Chemical Engineering and Materials Engineering have grown. They have both reached the critical mass necessary for them to thrive as stand-alone departments. Looking to the future, the faculty numbers for 2012 will grow to reflect the new hires from UConn’s cluster hire initiative. This initiative will add at least two additional faculty per program by 2013.

	2005	2006	2007	2008	2009	2010	2011
Tenured/TT Faculty							
Chemical	10	10	9	11	9	11	14
Materials	9	10	12	13	14	16	15
Undergrad Students							
Chemical	133	149	142	167	196	230	219
Materials	30	39	59	72	61	80	87
Master’s Students							
Chemical	15	10	11	15	12	9	12
Materials	20	17	26	28	22	17	13
PhD Students							
Chemical	32	23	25	27	33	39	42
Materials	40	42	49	48	58	75	71

No Impact on Collaboration

Research collaboration is not motivated by the department name. Rather, collaborations are driven by common interests, circumstances of opportunity, and personal relationships.

CMBE faculty members currently collaborate with all other departments in the School of Engineering, as well as with faculty from Physics, Chemistry, College of Agriculture, UConn Health Center, Molecular and Cell Biology, Ecology and Evolutionary Biology, Marine Sciences, Pathobiology, and more. None of these collaborations were enhanced by choice of department name, and none will be harmed by the structure proposed here.

No New Administrators Required

The current combined CMBE department has a Department Head, an Assistant Department Head, a Program Director for Chemical (& Biomolecular) Engineering, and a Program Director for Materials Science & Engineering. This administrative staff is sufficient to provide leadership to the two new departments with no investment necessary for additional administrative positions.

No New Space Needs

Currently, Chemical has a program office (EII room 204) and Materials has a program office (IMS room 111). No additional or different space is required to establish the new department offices.

Teaching/Curriculum

Chemical Engineering has a complete undergraduate and graduate degree program listed as CHEG in the course catalog. Materials Science & Engineering has a complete undergraduate and graduate degree program listed as MSE in the course catalog. There are no common courses between the two programs, and no new courses need be created to establish the departments as proposed here.

Advice of Faculty

The faculty vote is recorded as below: *“Do you support organizing the Department of Chemical, Materials and Biomolecular Engineering (CMBE) into two departments: the Department of Materials Science & Engineering, and the Department of Chemical & Biomolecular Engineering”*

	Yes	No	Abstain
Faculty vote (Sept 5, 2012)	27	1	1

Rank Order US News 2012 - Top Engineering Schools Whose Highest Degree is a Doctorate

Of the Top 50 Schools/Colleges of Engineering From 2012 US News:

28 have Dept./Schools of Materials Science and Engineering
 2 have Dept./Schools of Materials Engineering
 17 have Dept./Schools of Chemical Engineering
 21 have Dept./Schools of Chemical and Biomolecular/Biological/Biochemical Engineering
 5 have Dept. of Chemical and Materials Engineering
 0 have Dept. of Chemical, Biomolecular and Materials Engineering

<i>Massachusetts Inst. of Technology</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Stanford University (CA)</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>University of California–Berkeley</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>California Institute of Technology</i>	Dept. of Chemical Engineering	Dept. of Materials Science
<i>Georgia Institute of Technology</i>	School of Chemical & Biomolecular Engineering	School of Materials Science & Engineering
<i>U. of Illinois–Urbana-Champaign</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Univ of Michigan–Ann Arbor</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Carnegie Mellon University (PA)</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Cornell University (NY)</i>	School of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Purdue Univ.</i>	School of Chemical Engineering	School of Materials Engineering
<i>Princeton University (NJ)</i>	Dept. of Chemical & Biological Engineering	None
<i>University of Texas–Austin</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Northwestern University (IL)</i>	Dept. of Chemical & Biological Engineering	Dept. of Materials Science & Engineering
<i>Univ. of Wisconsin–Madison</i>	Dept. of Chemical & Biological Engineering	Dept. of Materials Science & Engineering
<i>Johns Hopkins University (MD)</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Virginia Tech</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Pennsylvania State U.–Univ Park</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Rice University (TX)</i>	Dept. of Chemical & Biomolecular Engineering	Mechanical Engineering & Materials Science
<i>Texas A&M Univ.–College Station</i>	Dept. of Chemical Engineering	Materials Science & Engineering Program
<i>Columbia University (NY)</i>	Dept. of Chemical Engineering	Materials Science & Engineering Program
<i>Univ. of California–Los Angeles</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Univ. of California–San Diego</i>	Dept. of Nanoengineering	Materials Science Program
<i>University of Washington</i>	Dept. Energy, Environment & Chemical Engineering	Dept. of Materials Science & Engineering
<i>Duke University (NC)</i>	None	Mechanical Engineering & Materials Science

<i>Univ. of Maryland–College Park</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Univ. of Minnesota–Twin Cities</i>	Dept. of Chemical Engineering & Materials Science	Dept. of Chemical Engineering & Materials Science
<i>Harvard University (MA)</i>	None	Materials Science & Mechanical Engineering
<i>North Carolina State U.–Raleigh</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Ohio State University–Columbus</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Rensselaer Polytechnic Inst. (NY)</i>	Dept. of Chemical & Biological Engineering	Dept. of Materials Science & Engineering
<i>University of Florida</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>University of Pennsylvania</i>	Dept. of Chemical & Biomolecular Engineering	Dept. of Materials Science & Engineering
<i>Univ. of Southern California</i>	Dept. of Chemical Engineering & Materials Science	Dept. of Chemical Engineering & Materials Science
<i>University of California–Davis</i>	Dept. of Chemical Engineering & Materials Science	Dept. of Chemical Engineering & Materials Science
<i>University of Colorado–Boulder</i>	Dept. of Chemical & Biological Engineering	Materials Science & Engineering Program
<i>University of Virginia</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Vanderbilt University (TN)</i>	Dept. of Chemical & Biomolecular Engineering	Interdisciplinary Program in Materials Science
<i>Iowa State University</i>	Dept. of Chemical & Biological Engineering	Dept. of Materials Science & Engineering
<i>Univ. of California–Santa Barbara</i>	Dept. of Chemical Engineering	Dept. of Materials
<i>Washington University in St. Louis</i>	Dept. Energy, Environment & Chemical Engineering	Mechanical Engineering & Materials Science
<i>Yale University (CT)</i>	Dept. of Chemical & Environmental Engineering	Mechanical Engineering & Materials Science
<i>Arizona State University</i>	Chemical Engineering Program	Materials Science & Engineering Program
<i>Brown University (RI)</i>	Chemical & Biochemical Engineering Program	Materials Engineering Program
<i>Case Western Reserve Univ. (OH)</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>Lehigh University (PA)</i>	Dept. of Chemical Engineering	Dept. of Materials Science & Engineering
<i>University of California–Irvine</i>	Dept. of Chemical Engineering & Materials Science	Dept. of Chemical Engineering & Materials Science
<i>University of Notre Dame (IN)</i>	Dept. of Chemical & Biomolecular Engineering	None
<i>Michigan State University</i>	Dept. of Chemical Engineering & Material Science	Dept. of Chemical Engineering & Materials Science
<i>Rutgers, St. U. of N.J.</i>	Dept. of Chemical & Biochemical Engineering	Dept. of Materials Science & Engineering
<i>University of Arizona</i>	Dept. of Chemical & Environmental Engineering	Dept. of Materials Science & Engineering

--- end top 50

<i>Univ of Connecticut (rank # 89)</i>	Dept. of Chemical, Materials, & Biomolecular Engineering	Dept. of Chemical, Materials, & Biomolecular Engineering
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University of Connecticut
Office of the Provost

November 14, 2012

TO: Members of the Board of Trustees
FROM: Mun Y. Choi, Interim Provost
RE: Consulting for Faculty and Members of the Faculty Bargaining Unit

RECOMMENDATION:

That the Board of Trustees approve the revisions to the Consulting Policy for Faculty and Members of the AAUP Faculty Bargaining Unit.

BACKGROUND:

Policy: The proposed revisions to the Consulting Policy, paragraph 5i, resolve a conflict between the University's Consulting Policy and the current External Teaching by Faculty and Non-Teaching Professionals Policy. The latter would be eliminated.

The current External Teaching Policy bans faculty from teaching any credit course at another institution, and there is no exemptions process articulated. Faculty member participation in such activities can be beneficial to the University.

The proposed revision does not have an across the board ban; instead, it considers whether the faculty member's teaching at another institution is competing for work that should be done by faculty while acting as UConn employees. An additional revision was inserted related to confidentiality and Federal research grants. All other considerations under the Consulting Policy continue to apply.

Revisions to the Consulting Policy require approval by the Board of Trustees. The proposed revisions have been reviewed and endorsed by the University's Consulting Management Committee.

Consulting Procedures: Revisions to the Consulting Procedures must be presented to the Board of Trustees as an informational item. These revisions provide further definition of the activities eligible for the accelerated approval process; such activities are viewed to have a very low risk of conflict of interest. Further revisions address updated procedures stemming from the online approval system and consulting while on federal grants.

The first change expands the faculty member's ability to participate in U.S. governmental advisory panels. The second deals with surveys in which specialized knowledge only known by a State employee would not be divulged. In addition, clarifying language was inserted into the definitions.

Additionally, the deadline for reconciliation of Fiscal Year 2012 consulting activities was extended to October 31, 2012, due to the implementation of a new online consulting application.

Attached are copies of the original language of the Consulting Policy and Procedures, with indications of the proposed revisions.

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POLICY ON CONSULTING FOR FACULTY AND MEMBERS OF THE FACULTY BARGAINING UNIT

~~April 13,~~ November 14, 2012

1. INTRODUCTION

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

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

2. PURPOSE

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

3. SCOPE

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

4. DEFINITIONS

- a) consulting - providing services, advice and similar activities for compensation¹, based on a faculty member's professional expertise or prominence in his or her field, while not acting as a State employee.
- b) contracting entity - The entity engaging and compensating the faculty member for the consulting activity.
- c) 'time due to the University' - Any time necessary for successfully carrying out the duties assigned to and for which a faculty member was hired. This includes both sufficient time to perform assigned duties as well as sufficient opportunity to meet with other faculty, staff and students.
- d) "normal work time/days" – The usual time (days of the week, hours in the day) committed to assigned duties. For most faculty members this represents Mondays – Fridays, 8:00 am – 5:00 pm and not weeknights, weekends, or holiday and vacation days. For faculty on 9, 10 and 11 month contracts, normal work time pertains to those portions of the year to which they are earning their base pay and to any additional time for which they are assigned duties and receive additional compensation over base pay (e.g. "summer work and summer salary".) For part-time faculty, normal work hours only applies to time contracted for by the University.

5. POLICY

- a) All faculty members, with the exception noted under 'o' below, must receive written permission in advance from their supervisor and the Provost or Executive Vice President for Health Affairs, (whoever has jurisdiction over that member), or their designees, in order to engage in consulting activities. Requests for such permission will describe the consulting activity, the contracting entity, the dates (or range of dates) that the activity will occur, and the maximum total effort in terms of the faculty members' normal work days to complete the consulting activity.
- b) Permission to consult may only be granted when:
 - i. The request to perform the consulting activity occurs due to the faculty member's expertise or prominence in his or her field, not the faculty member's official State position.
 - ii. The faculty member is currently, fully performing his/her State duties.
 - iii. The consulting activity will not interfere with a faculty member's future ability to perform his/her duties and the total time spent consulting in any fiscal year, (July 1 – June 30), will not exceed an average of one day per week during normal work time (as defined in 4d above).
 - iv. The faculty member is not competing with the University for work that may be perceived as being work the University would choose to perform.

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

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

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

6. CONFIDENTIAL INFORMATION

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

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

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

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

October 19, 2012

1. PERMISSION

Prior to engaging in consulting activities, faculty employed 50% or more time must complete and submit the “Request for Approval of Consulting Activities” form¹ as approved by the Provost and the [Executive](#) Vice President for Health Affairs at UCHC. For the purpose of this policy, faculty on Board approved sabbatical leaves are considered to be full-time faculty. Such request must be submitted sufficiently in advance of the start of the consulting activity to allow for its appropriate review. Further, new [forms-requests](#) must be completed and approved prior to making substantial changes to a previously approved activity. Consulting requests must be based on the faculty member’s professional expertise or prominence in his/her field.

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

2. INFORMATION

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

¹ [Currently this is completed and transmitted using an on-line approval system.](#)

It is understood at the time a request form is being considered for approval that all the dates and times of the consulting activity might not be known. As these dates and times become known, the faculty member is expected to provide them to his/her department head. In all cases these notifications should be at least one day in advance of any consulting work so that the department head can ensure that the faculty member's assigned job duties are fully addressed. Such notifications must be made in writing to the department heads and emails are acceptable. The need for such prior notification of such dates and times only applies if such dates and times are during normal work time.

3. SIGNATORIES

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

4. ACCELERATED APPROVAL PROCESS

There is a set of purely academic activities that faculty members are normally expected and encouraged to undertake. Such activities would include, but are not limited to, reviewing books, articles and research proposals (i.e. federal grant study sections), presenting occasional lectures, speeches, and colloquia to non-profit entities, refereeing of manuscripts, creation of works of art, serving as a member of thesis committee, or case-review (medical-legal review of cases) . The nature of such activities will vary from one discipline to another – but the underlying principle is that they are part of faculty member's expected academic professional development. For activities of this type, and for which the compensation does not exceed ~~\$1,000~~\$5,000 (per ~~occasion~~contracting entity per year), The Provost and Executive Vice-President for Health Affairs delegate to the faculty member's department head the sole approving authority. This means that the faculty member should fill out the required on-line request form ~~and take it to the department head for signature~~sufficiently in advance of the activity to allow adequate time for the Department head to review and approve it. ~~The department head will approve, make and keep a copy, and then immediately forward the original signed form to the appropriate Faculty Consulting Office to ensure consistent record keeping for all consulting activities.~~

5. SUMMER PRIOR APPROVAL PROCESS

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

Eligible faculty are those who hold (9, 10, or 11 month contracts). The consulting activity must occur in the summer and during this time, the faculty member must have no assigned, contractual or grant related job responsibilities for which they are paid by the University. Due to time and effort reporting, consulting while employed 100% on a federal grant during the summer is not allowed on time due to the University.

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

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

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

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

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

6. REPORTING

~~At~~By the end of each fiscal year, members must complete and submit a year-end reconciliation of all consulting activities, due not later than September 15, on a form developed by the Provost and the Executive Vice President for Health Affairs at the UCHC. Such form must include verification that the University has been appropriately reimbursed for material use of state resources.

7. MANAGEMENT COMMITTEE

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

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

8. SANCTIONS

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

9. TRAINING

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

10. REVISIONS

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

11. APPEALS

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

Definitions of Activities Eligible for Accelerated Approval
(Yearly compensation from the contracting entity not to exceed \$5,000)^{1,2}

#	Activity	AND the Contracting Entity
1	Scholarly presentation <u>of one's own published work.</u>	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or <u>accredited</u> higher education unit.
2	Educational (non-promotional) presentation in which the content, slides, and other materials are controlled by the faculty member.	Any
3	Educational (non-promotional) course or workshop that does not compete with University (including continuing education) offerings and in which the content, slides and other materials are controlled by the faculty member.	Any
4	Participation in fine arts/artistic performance (including acting, rehearsals, set design, etc.)	Any
5	Writing a book, book chapter, introduction to a book, pamphlet, educational web/computer module, or examination questions.	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or <u>accredited</u> higher education unit.
6	Review of a book chapter or manuscript to be published in a peer review publication.	Any
7	Review of a manuscript to be published in something other than a peer review publication or serving as an editor of a journal.	U.S. governmental agency (federal or state), non-profit entity, state/national professional society or <u>accredited</u> higher education unit.
8	Review of student theses, membership on a thesis committee, and/or development of a reference or review supporting a promotion-tenure-reappointment decision of another faculty member.	<u>Accredited h</u> Higher education unit.
9	External program, department, school, or institution review.	<u>Accredited h</u> Higher education unit or , accreditation granting agency <u>or U.S. governmental agency.</u>
10	Review of grant proposals <u>and/or serve on an U.S. governmental committee/panel on research or clinical care.</u>	U.S. governmental agency (federal or state), non-profit entity, state/national professional society, or <u>accredited</u> higher education unit.
11	Safety or scientific advisory committee of an IRB approved clinical trial.	Any
12	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
<u>13</u>	<u>Complete a survey so long as no information known only to a University employee is not divulged.</u>	<u>Any</u>

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

² The yearly cap does not apply to U.S. and state governmental entities.



University of Connecticut
Office of the Provost

Mun Y. Choi
*Interim Provost &
Executive Vice President
for Academic Affairs*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Interim Provost

RE: Institute for Systems Genomics

BACKGROUND:

Under the leadership of Dr. Marc Lalande, the Institute for Systems Genomics will work towards the following mission:

- 1) Establish a world-class program for research and training in Genomics and Personalized Medicine by mobilizing the strengths of the Jackson Lab and the University of Connecticut, with other academic and industry partners;
- 2) Lower administrative barriers to collaboration among JAX, the Farmington campus, and the Storrs campus in areas related to Genomics and Personalized Medicine, and;
- 3) Develop an academic structure that supports undergraduate, professional, and graduate education bridging the UConn and JAX genomics communities.

To accomplish these goals, the Institute's faculty and staff at Jackson Laboratory and the University of Connecticut will build robust cutting-edge technology pipelines that are well managed with expertise from both institutions; will coordinate recruitment to achieve critical mass and impact; will incentivize and facilitate collaboration via mechanisms that fund and support seed grants and access to students, will facilitate site interaction, distance meeting as well and housing and transport. The Institute will sponsor integrative research symposia and conferences and foster reeducation across disciplines through the executive training modules.

The Institute will develop an Interdisciplinary Graduate Program that selects for the best graduate students and that features modular units of education that are experiential, problem based and targeted. The Institute will establish a mechanism for joint mentorship and advising, and define a core knowledge base. There is a strong consensus to create a professional science master's degree in Systems Genomics, and this new program may be an excellent entry point for the Ph.D. The Institute will also develop distance learning and e-learning strategies for a futuristic graduate program.

The Institute's establishment proposal was reviewed and approved by the Academic Centers and Institutes Review Committee.

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

November 14, 2012

TO: Members of the Board of Trustees

FROM: Richard D. Gray
Executive Vice President

Mun Y. Choi
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Gant Building Renovations – Data Center Stabilization
(Planning: \$4,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$4,000,000 for the planning, design and construction of a Data Center Rescue Project at the Edward V. Gant Science Complex.

BACKGROUND:

UConn's centralized Data Center, located within the Gant Science Complex, was constructed in 1969. Modern data centers are designed to be capable of sustained 24/7 operation. These centers are heavily dependent of robust mechanical and electrical infrastructure that anticipates failure of key pieces of equipment. Conversely, the primary mechanical and electrical components at the UCONN data center vary in age from 10 to 40 years old. The design lacks the redundant systems that characterize the modern data center. As a result, there are multiple single mechanical and electrical elements that can fail and cause the entire operating environment to crash. UConn must address these critical aging / single point of failure issue or at some point in the very near future experience a system failure that will result in widespread service disruptions to core business processes. A critical failure may cause an extended outage of more than one week.

The general scope of this project includes the following system upgrades.

- Two additional power distribution circuits
- Redundant Uninterruptable Power Supply (UPS) – to power infrastructure from independent sources

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- Overhead cable tray for distribution – to allow for better under floor airflow
- Overhead power distribution infrastructure – to provide a flexible power supply system for the ever-changing process environment.
- Network infrastructure and distribution – to build redundant links
- Clean agent fire suppression system
- Complete Air Conditioning (AC) upgrade – To allow further expansion
- Relocate all cables from under the raised floor – to mitigate electrical hazards when leaks happen
- Provide electronic monitoring of the new and existing critical infrastructure, to keep the user community informed.

The completion of this project will provide the needed infrastructure that ensures a stable data center that will allow for some expansion due to changing needs and allow the University to explore long term options.

The Planning Budget is attached for your consideration and approval.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: PLANNING

PROJECT NAME: GANT BUILDING RENOVATIONS - DATA CENTER STABILIZATION

<u>BUDGETED EXPENDITURES</u>	PROPOSED PLANNING 11/14/2012
CONSTRUCTION	\$ 2,750,000
DESIGN SERVICES	522,497
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	300,000
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	-
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	-
OTHER SOFT COSTS*	15,003
SUBTOTAL	\$ 3,587,500
PROJECT CONTINGENCY	412,500
TOTAL BUDGETED EXPENDITURES	\$ 4,000,000
<u>SOURCE(S) OF FUNDING</u>	
UCONN 2000 PHASE III	\$ 4,000,000
TOTAL BUDGETED FUNDING	\$ 4,000,000

*Does not include Furniture, Fixtures and Equipment.

GANT BUILDING RENOVATIONS – DATA CENTER STABILIZATION

Project Budget (PLANNING)

11/14/2012



EDWARD V. GANT BUILDING

DATA CENTER – GROUND
FLOOR LOCATION



ORIGINAL POWER
DISTRIBUTION



SINGLE UNINTERRUPTABLE
POWER SUPPLY

OUTDATED
MONITORING
SYSTEM



SUPPLEMENTAL
COOLING



The University of Connecticut Foundation, Inc.

Development Progress Executive Summary

July 1, 2012 to September 30, 2012

Progress Toward Goals	FYTD12 Results	FY13 Goal	FYTD13 Results	
<u>Commitment Results</u>				
Athletics	\$ 2.41 M	\$ 17.00 M	\$ 2.25 M	13%
UConn Health Center	\$ 1.61 M	\$ 12.00 M	\$ 1.17 M	10%
UConn General	\$ 2.69 M	\$ 34.00 M	\$ 8.79 M	26%
Total Commitments	\$ 6.71 M	\$ 63.00 M	\$ 12.21 M	19%
<u>Number of donors</u>				
	6,658	30,000	5,843	
<u>Cash Results</u>				
Cash basis gift receipts	\$ 6.71 M	\$ 50.00 M	\$ 11.06 M	22%
Annual fund unrestricted receipts	\$ 166 K	\$ 1.00 M	\$ 149 K	15%

Campaign Commitments Progress	
Fiscal Year 2013 Campaign Total (to Date)*	\$ 348.85 M
* This total reflects campaign write-offs and pre-campaign total of \$10.6 million, as appropriate.	

Informational Items

University of Connecticut Department of Human Resources
New Hires Processed from September 5, 2012 to October 23, 2012
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
ADOMEIT, KRISTIN A.	RESEARCH ASSISTANT 2	SOCIAL WORK INSTR & RES	8/24/2012
BAKAN, GOKHAN	U POST DOC FEL 1	ELECTRICAL & CPTR ENGR	9/28/2012
BENOIT, LORI K.	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	9/1/2012
BESAW, MICHAEL D.	UC PROFESSIONAL 01 - LAB ASST	BIOLOGY CENTRAL SERVICES	10/15/2012
BHUNIA, GIRIJA S.	UC PROFESSIONAL 10 - COMP TECH SUP CONS 4	ENTERPRISE ADMIN SYSTEMS	9/7/2012
BIRON, MARK	UC PROFESSIONAL 05 - SPEC DESIGN TECH	CTR CLEAN ENERGY ENGINEER	10/5/2012
BITEW, MENBERU M.	U POST DOC FEL 1	CIVIL & ENVIRON ENG	8/23/2012
BOIS, SARAH T.	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	8/31/2012
CHAMPION, GREGORY J.	UC PROFESSIONAL 05 - ACADEMIC ADVISOR I	PSYCHOLOGY	9/7/2012
COBB, WILLIAM J.	ASSOCIATE PROFESSOR - DIRECTOR	HISTORY	8/23/2012
COHEN, MATHILDE	ASSOCIATE PROFESSOR	LAW SCH INSTR & RES	8/23/2012
COHEN, TAMARA L.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	LINGUISTICS	10/17/2012
CORNELIUS, CHRISTOPHER	ASSOCIATE PROFESSOR	ENGINEERING DEAN OFC	8/23/2010
CORUM, DEBORAH P.	U STAFF PROF IV	ATHLETICS ADMIN	9/17/2012
COSTANZO, CYNTHIA P.	SPECIALIST IVA	ATHLETICS STUDENT REC	8/29/2012
DELANEY, MEGAN Y.	UC PROFESSIONAL 03 - PROG ASSISTANT I	MUSEUM OF NATURAL HISTORY	9/21/2012
DEMARCO, JOEL	SPECIALIST IA	ATHLETICS STRENGTH CTR	9/10/2012
DEVINE, SUSAN P.	RESEARCH ASSISTANT 2	MOLECULAR & CELL BIOLOGY	9/1/2012
DOHERTY, KERRY	UC PROFESSIONAL 07 - U ACCOUNTANT II	ACCOUNTING OFC	2/7/2011
FARRAR, WILLIAM J.	LECTURER	COMMUNICATION	8/27/2012
FIONDELLA, LANCE N.	U POST DOC FEL 1	COMPUTER SCIENCE & ENGR	8/27/2012
GALLAGHER, KIMBERLEY L.	U POST DOC FEL 1	MARINE SCIENCES/MSTC	8/24/2012
GIRASOLI, CLARISSA	UC PROFESSIONAL 07 - U ACCOUNTANT II	ACCOUNTING OFC	11/1/2012
GURLEY, JONELLE L.	UC PROFESSIONAL 03 - LAB TECHNICIAN I	CHEMISTRY	10/3/2012
HAIGHT, BETHANNE R.	UC PROFESSIONAL 01 - FINANCIAL ASST I	CHIP	10/5/2012
HAWKINS, VIRGINIA E.	U POST DOC FEL 1	PHYSIOLOGY & NEUROBIOLOGY	10/1/2012
HEPBURN, MELANIE	UC PROFESSIONAL 07 - ADMIN MANAGER II	ENGLISH	9/4/2012

University of Connecticut Department of Human Resources
New Hires Processed from September 5, 2012 to October 23, 2012
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NAME	TITLE	DEPARTMENT	DATE
HILLE, DAVID C.	UC PROFESSIONAL 05 - DNG SERV AR AST MGR	DINING SERVICES	10/19/2012
JACOBY, BRUCE H.	ASST CLIN PROF 11MO	LAW SCH INSTR & RES	9/14/2012
JOO, JAE EUN	ASSOC PROF IN RES - DIRECTOR	EDUCATIONAL PSYCHOLOGY	9/21/2012
KAUFMANN, STEFAN	LECTURER	LINGUISTICS	8/23/2012
KILGOUR, MORGAN J.	U POST DOC FEL 1	MARINE SCIENCES/MSTC	9/10/2012
KILLMISTER, SUZY	ASSISTANT PROFESSOR	PHILOSOPHY	8/23/2012
KOLLANOOR JOHNY, ANUP	U POST DOC FEL 1	ANIMAL SCIENCE	9/20/2012
KURATNIK, ANTON V.	RESEARCH ASSISTANT 1	MOLECULAR & CELL BIOLOGY	9/10/2012
KWON, BONGBACK	UC PROFESSIONAL 08 - COMP PROG/ANAL 2	ENTERPRISE ADMIN SYSTEMS	9/21/2012
LANGTON, CHRISTINE R.	RESEARCH ASSISTANT 2	SOCIAL WORK INSTR & RES	10/19/2012
LIU, DONGWEN	U POST DOC FEL 1	MATHEMATICS	8/25/2012
LIU, XI	RESEARCH ASSISTANT 3	PHARMACEUTICAL SCI	10/1/2012
MCCORMICK, DAVID L.	UC PROFESSIONAL 11 - COMPUTER TECHNICIAN	VP INFORMATION SERVICES	9/21/2012
MEDINA-BUJALANCE, RAFAEL	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	10/19/2012
MEHARRY, PAMELA M.	ASST CLIN PROF	NURSING INSTR & RES	8/23/2012
MILLER, MICHAEL J.	ASST PROF IN RES	COMMUNICATION	8/23/2012
MISIRLI, EFDAL U.	ASSISTANT PROFESSOR	FINANCE DEPT	8/23/2012
MOORE, RICKY S.	SPECIALIST IA	ATHLETICS MENS INTERCOL	10/12/2012
MOTWANI, TINA	U POST DOC FEL 1	MOLECULAR & CELL BIOLOGY	9/4/2012
O'CONNOR, KATHLEEN M.	UC PROFESSIONAL 04 - ADMIN SERV ASST III	OPERATIONS & INFO MGMT	10/1/2012
O'FIELD, ALLISON N.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	ISS-1ST YR PROG/LEARNING	8/24/2012
OLSCHAN, SAMANTHA	ASST PROF IN RES	DIGITAL MEDIA	8/23/2012
PETRIZZO, JOHN F.	UC PROFESSIONAL 07 - U ACCOUNTANT II	ACCOUNTING OFC	9/17/2012
PETRIZZO, JOHN F.	UC PROFESSIONAL 07 - U ACCOUNTANT II	ACCOUNTING OFC	9/17/2012
PRADHAN, PRIYA P.	ASST PROF IN RES	CHEMISTRY	8/23/2012
RADZIWILLOWICZ, ANNA M.	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	VP INFORMATION SERVICES	8/27/2012
REZUKE, JEANNE L.	UC PROFESSIONAL 06 - SHS NURSE	STUDENT HEALTH SERVICES	8/10/2012

University of Connecticut Department of Human Resources
New Hires Processed from September 5, 2012 to October 23, 2012
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
RICHARDSON, JONATHAN L.	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	9/10/2012
RIPLEY, DAVID W.	ASSISTANT PROFESSOR	PHILOSOPHY	8/23/2012
RIVERS, CARL M.	UC PROFESSIONAL 05 - ADMIN SERV SPEC III	REGISTRAR OFC	10/5/2012
RYAN, JOSHUA E.	RESEARCH ASSISTANT 1	SOCIAL WORK INSTR & RES	9/21/2012
SAHNI, EKNEET K.	U POST DOC FEL 1	PHARMACEUTICAL SCI	9/10/2012
SALAS, MARILYN	RESEARCH ASSISTANT 1	PATHOBIOLOGY	9/4/2012
SCHNEIDER, SUSAN	ASSOCIATE PROFESSOR	PHILOSOPHY	8/23/2012
SIMON-KERR, JULIA A.	ASSOCIATE PROFESSOR	LAW SCH INSTR & RES	8/23/2012
SIVAGIRI PALANISAMY, GOPI	ASST CLIN PROF 11MO	PATHOBIOLOGY	9/4/2012
STEFANIAK, LAUREN M.	U POST DOC FEL 1	MARINE SCIENCES/MSTC	8/24/2012
SULLIVAN, DANIELLE L.	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	ACCOUNTS PAYABLE	9/17/2012
SVALESTAD, OWEN	LECTURER	ECONOMICS	8/23/2012
THAMMINA, CHANDRA S.	U POST DOC FEL 1	PLANT SCI & LANDSCAPE ARC	9/1/2012
TURNER, MOLLY	ASST PROF IN RES	ENGLISH	8/23/2012
VAN ISSCHOT, LUIS	ASSISTANT PROFESSOR	HISTORY	8/23/2012
VERROT, TREVOR M.	LECTURER	HARTFORD INSTR & RES	8/23/2012
WANG, JIA	U POST DOC FEL 1	PHYSICS	8/30/2012
WILEY, COURTNEY A.	U ED ASSISTANT 3	PROVOST & EXVP ACAD AFF	10/5/2012
WU, TUNG-LUNG	VISITING ASST PROF	STATISTICS	8/23/2012
YAN, YUAN	U POST DOC FEL 1	ALLIED HEALTH SCIENCES	11/1/2012
YUT, ILIYA	ASST PROF IN RES	CIVIL & ENVIRON ENG	8/23/2012
ZHANG, CHU	RESEARCH ASSOCIATE 2	MOLECULAR & CELL BIOLOGY	9/4/2012

University of Connecticut Department of Human Resources
Separations Processed from September 5, 2012 to October 23, 2012
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPT	DATE
ANDERSON, KIRSTIN	SPECIALIST IA	RESIGNATION (GOOD STANDING)	ATH	9/30/2012
BAKER, NANCY A.	UC PROFESSIONAL 04 - ADMIN SERV ASST III	RETIREMENT (55/W 10-24 YEARS)	SBEMBA	8/31/2012
BARROW, THEOPHILUS L.	INSTR IN RES 11MO	RETIREMENT (55/W 10-24 YEARS)	SBMBA	8/31/2012
BERGMAN, PATRICIA	UC PROFESSIONAL 09 - EXEC PROGRAM DIR	RESIGNATION (GOOD STANDING)	ENGR	10/11/2012
BESSETTE, DONALD A.	UC PROFESSIONAL 05 - ANIMAL CARE SPEC	RETIREMENT (25+ YRS SERVICE)	OAC	8/31/2012
BRODERICK, DAVID J.	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ME	8/31/2012
DAGON, CATHERINE G.	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	RESIGNATION (GOOD STANDING)	ECE	8/24/2012
DAS, APURBA K.	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ME	9/7/2012
DOHERTY, KERRY	UC PROFESSIONAL 07 - U ACCOUNTANT II	RESIGNATION (GOOD STANDING)	ACTOFC	10/1/2012
ESTRADA, EMIR	ASSISTANT PROFESSOR	RESIGNATION (GOOD STANDING)	SOCI	8/23/2012
FITZGERALD, PATRICIA E.	UC PROFESSIONAL 09 - ASST FINANCE DIR II	RETIREMENT (25+ YRS SERVICE)	CLAS	9/30/2012
FOURNIER, SARAH M.	RESEARCH ASSISTANT I	RESIGNATION (GOOD STANDING)	EXTENS	9/30/2012
GILLARD, JANE W.	UC PROFESSIONAL 03 - PROG ASSISTANT I	RETIREMENT (55/W 10-24 YEARS)	PT	8/31/2012
GOODALE, LAUREN A.	RESEARCH ASSISTANT I	RESIGNATION (GOOD STANDING)	PATH	9/14/2012
GORNEAULT, GREGG	UC PROFESSIONAL 05 - ACADEMIC ADVISOR I	RESIGNATION (GOOD STANDING)	HTFD	9/21/2012
HRAMIAK, MARIA	UC PROFESSIONAL 06 - ADMIN SERV ASST IV	RETIREMENT (55/W 10-24 YEARS)	TA PRO	9/30/2012
JONES, RACHEL E.	UC PROFESSIONAL 05 - ACADEMIC ADVISOR I	RESIGNATION (GOOD STANDING)	ISS	10/4/2012
KIM, BOHKYUNG	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	NUSC	9/30/2012
KUZNETSOVA, ELENA A.	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	PHYS	9/10/2012
LEE, SOOHWAN	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ME	9/26/2012
MUNROE, DONNA B.	VICE PRESIDENT	RETIREMENT (25+ YRS SERVICE)	HRPS	8/31/2012
RITTON, CATALINA L.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	RETIREMENT (55/W 10-24 YEARS)	LING	9/30/2012
RODMAN JENKINS, VENIDA C.	UC PROFESSIONAL 06 - PROGRAM SPEC I	RESIGNATION (GOOD STANDING)	WCTR	8/24/2012
SALISBURY, JOEL R.	UC PROFESSIONAL 06 - COMP PROG/ANLYST I	RESIGNATION (GOOD STANDING)	COMM	9/7/2012
SCHREIER, BARRY	U ASST DIRECTOR	RESIGNATION (GOOD STANDING)	HEALTH	8/31/2012
SMITH, SHARLENE R.	UC PROFESSIONAL 03 - PROG ASSISTANT I	RESIGNATION (GOOD STANDING)	ENGL	9/30/2012
SUNDQUIST, CHARLES A.	UC PROFESSIONAL 04 - ADMIN SERV ASST III	DEATH (NON-EMPLOYMENT RELATED)	RESLIF	9/28/2012

University of Connecticut Department of Human Resources
Separations Processed from September 5, 2012 to October 23, 2012
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPT	DATE
WANG, SHUO	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ECE	9/30/2012
WEISS, LUCINDA	UC PROFESSIONAL 09 - PUBLICITY/MKTG DIR	RESIGNATION (GOOD STANDING)	CLAS	8/30/2012
ZHANG, MINGFENG	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	AHS	8/25/2012

University of Connecticut Department of Human Resources
Leaves of Absence Processed through 10/24/12
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATES	REASON FOR LEAVE
Austin, Philip E	President Emeritus	Economics	10/26/12-8/22/13	Unpaid Leave
Cobb, William J	Associate Professor	History	8/23/12-2/22/13	Personal leave without pay
Enderle, John D	Professor	Electrical & Cptr Engr	12/11/12-12/21/12	Medical leave with pay
Faulkner, Gary A	U Staff Prof II	Stamford Assoc Vice Pr	9/4/12-10/17/12	Medical leave with pay
Giotto, Marcus	Acad Assistant III	Materials Science Inst	9/20/12-10/12/12	Medical leave with pay
Guenette, Linda A	Sp Internal Lect III	Communication	8/23/12-2/23/13	Reduced schedule medical leave with pay
Hamley, Jason	UCP 9 - Network Technician III	Telecommunications	9/24/12-10/12/12	Medical leave with pay
Jaczynski, Annadell J	UCP 4 - Admin Serv Asst III	Student Health Service	7/24/12-10/4/12	Revised - Medical leave without pay
Johansen, Katherine	UCP 6 - Program Spec I	Diversity & Equity	9/17/12-10/29/12	Maternity leave with pay
Johansen, Katherine	UCP 6 - Program Spec I	Diversity & Equity	10/30/12-12/12/12	Parental leave with pay
Killmister, Suzy	Assistant Professor	Philosophy	8/22/12-8/22/13	Personal leave without pay
Klein, Waldo C	Professor	Social Work Instr & Re	10/9/12-12/15/12	Medical leave with pay
Kuo, Lynn	Professor	Statistics	9/17/12-11/9/12	Medical leave with pay
Ljubicic, Kimberly M	U Ed Assistant 3	Human Resources	9/24/12-10/3/12	Medical leave with pay
Nixon, Scott	U Technician II	Human Resources	9/24/12-10/15/12	Parental leave with pay
Oguibe, Oluchukwu O	Professor	Art & Art History	8/23/12-1/3/13	Medical leave with pay
Orwicz, Michael	Associate Professor	Art & Art History	10/9/12-3/31/13	Medical leave with pay
Palmieri, Katherine E	UCP 7 - Asst To Director	Torrington Director Ofc	9/17/12-11/23/12	Medical leave with pay
Rimoczy, Stephanie	UCP 7 - U Accountant II	Accounting Office	9/7/12-11/5/12	Maternity leave with pay
Rimoczy, Stephanie	UCP 7 - U Accountant II	Accounting Office	11/6/12-11/23/12	Parental leave with pay
Ripley, David	Assistant Professor	Philosophy	8/23/12-8/22/13	Personal leave without pay
Sanchez, Maribel	UCP 4 - Program Assistant II	ISS-Academic Prog Ctr	10/5/12-12/4/12	Maternity leave with pay
Schneider, Susan	Associate Professor	Philosophy	8/23/12-8/22/13	Personal leave without pay
Schwartz, Natalie	Research Assistant I	Physiology & Neurobiology	10/1/12-11/9/12	Maternity leave with pay
Simoniello, Jennifer L	UCP 5 - Admin Coordinator	Animal Science	9/8/12-9/18/12	Red Sch medical leave with pay
Sternberg-Ellis, Martha S	UCP 12 - SHS Physician II	Student Health Service	9/19/12-10/12/12	Red Sch medical leave with pay
Trotter, Ashley L	UCP 4 - Program Assistant II	Off Campus Student Svc	10/11/12-11/23/12	Maternity leave with pay
Trotter, Ashley L	UCP 4 - Program Assistant II	Off Campus Student Svc	11/26/12-12/20/12	Parental leave with pay
Trotter, Ashley L	UCP 4 - Program Assistant II	Off Campus Student Svc	12/21/12-1/19/13	Parental leave without pay
Wenzel, Christine M	UCP 7 - Program Spec II	Ctr Students Disabilities	9/19/12-10/31/12	Maternity leave with pay
Wenzel, Christine M	UCP 7 - Program Spec II	Ctr Students Disabilities	11/1/12-12/11/12	Parental leave with pay
Whitlatch, Robert B	Professor	Marine Sciences/MSTC	7/30/12-8/31/12	Medical leave with pay
Willen, Sarah	Assistant Professor	Anthropology	9/4/12-10/29/12	Maternity leave with pay

Joint Audit & Compliance Committee

Agenda

1:00 pm – 1:30 pm – Executive Session

1:30 pm – 3:00 pm - Public Meeting

November 7, 2012

Issue	Proposed Action	Tab
Executive Session to discuss:		None
<ul style="list-style-type: none"> C.G.S. 1-200(6)[E] – Preliminary drafts or notes that the public agency has determined the public's interest in withholding outweighs the public's interest in disclosure. [1-210(b)(1)] C.G.S. 1-200(6)[E] – A discussion of any matter which would result in the disclosure of public records or the information contained therein pertaining to strategy and negotiations with respect to pending claims regarding Recovery Audit Contractor (RAC) Audit [1-210(b)(4)] 		
Opportunity for Public Comment		None
Minutes of the JACC of the August 9, 2012 Meeting	Approval	1
Storrs & UCHC Significant Compliance Activities	Update	2
<ul style="list-style-type: none"> Compliance Metrics – Storrs and UCHC Research Compliance - Storrs 	Update Presentation	
Significant Audit Activities		3
<ul style="list-style-type: none"> Status of Audit Assignments (Storrs & UCHC) Audit Follow-up Activity 	Update Update	
External Engagements	Update	4
<ul style="list-style-type: none"> McGladrey & Pullen, LLP Audits of UConn 2000 – FY12 Request to hire 	Approval	
Office of Audit, Compliance & Ethics		5
<ul style="list-style-type: none"> Executive Compliance Committee Charter – Storrs 	Approval	
Joint Audit and Compliance Committee 2013 Meeting Schedule	Approval	6

Individual Responsibility, Institutional Success

Joint Audit & Compliance Committee Agenda

1:00 pm – 1:45 pm – Executive Session

1:45 pm – 3:30 pm - Public Meeting

Issue	Proposed Action	Tab
Freeh Report Summary	Update	7
Informational/Educational Items	Information Only	8
<ul style="list-style-type: none">• Quarterly Newsletter for Summer 2012 - UCHC• Records Retention Pamphlet• JACC Agenda Forecast		
Information Session with OACE's Chief Audit & Compliance Auditor and Direct Reports		
Conclusion of Full Meeting		

November 7, 2012

Individual Responsibility, Institutional Success

Academic Affairs

AGENDA
Board of Trustees
ACADEMIC AFFAIRS COMMITTEE
Wednesday, November 14, 2012
Rome Commons Ballroom
Storrs, CT
9:00 a.m. – 9:30 a.m.

	<u>COMMITTEE</u>	<u>ATTACHMENT</u>
1) Minutes of the Academic Affairs Committee Meeting of September 27, 2012, as circulated	A	

ACTION ITEMS:

2) Tenure at Hire	3
3) Sabbatical Leave Recommendations	4
4) Appointment of Dr. Jeffrey Shoulson to the Doris and Simon Konover Chair in Judaic Studies in the College of Liberal Arts and Sciences	5
5) Modification and Renaming of the Communication Sciences Degree Programs in the College of Liberal Arts and Sciences	6
6) Financial Management Major at the Stamford Campus	7
7) Division of the Department of Chemical, Materials & Biomolecular Engineering into the Department of Materials Science & Engineering (MSE) and the Department of Chemical & Biomolecular Engineering (CBE) in the School of Engineering	8
8) Policies and Procedures on Consulting for Faculty and Members of the Faculty Bargaining Unit	9

INFORMATIONAL ITEM:

9) Institute for Systems Genomics	10
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PRESENTATION ITEM:

- | |
|--|
| 10) UConn Initiatives for Economically Disadvantaged, Culturally Diverse Students, Wayne Locust and Maria Martinez |
|--|

MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE
September 27, 2012

Trustees Present: Archambault, Bailey, Barham, Buckman, Cloud, Drotch, Hendley, Jacobs, James, Kruger, McHugh

Staff Present: Bansal, Biancamano, Bray, Bull, Callahan, Carone, Choi, Conklin, Donahue, Egeberg, Fazio, Gray, Healy, Herbst, Holsinger, Kazerounian, Kirk, Korbel, Locke, Moiseff, Ogbar, Orr, Reis, Roe, Rubin, Saddlemire, Singha, Stwalley, Trutter, Urban, Walker, Weiner, Wetstone

Committee Chairman Jacobs convened the meeting at 9:00 a.m. at the University of Connecticut, Rome Commons Ballroom, Storrs Campus. On a motion by Trustee Barham, seconded by Trustee Archambault, the minutes of the August 8, 2012, meeting were approved, as circulated.

Interim Provost Choi introduced *Action Item #2, Tenure at Hire*. Moved by Trustee Buckman, seconded by Trustee Barham, the Committee recommended approval of all tenure at hire cases brought forward to the full Board.

Interim Provost Choi introduced *Action Item #3, Designation of Emeritus Status*. Moved by Trustee Barham, seconded by Trustee Buckman, the Committee recommended the designation of emeritus status to the full Board.

Interim Provost Choi introduced *Action Item #4, Sabbatical Leave Recommendations*. Moved by Trustee Archambault, seconded by Trustee Buckman, the Committee recommended approval of sabbatical leave recommendations to the full Board.

Interim Provost Choi introduced *Action Item #5, Naming Recommendation for GE Endowed Professorships in Advanced Manufacturing*. Interim Provost Choi noted that the professorships are supported by a \$1,500,000 gift from GE, and appointees will be national and international researchers, scholars, and teachers focusing on Advanced Manufacturing and related fields. Moved by Trustee Archambault, seconded by Trustee Buckman, the Committee recommended approval of the naming recommendation for GE Endowed Professorships in Advanced Manufacturing to the full Board.

Interim Provost Choi introduced *Action Item #6, Establishment of the Biomedical Engineering Department in the Schools of Engineering, Medicine, and Dental Medicine*. Interim Provost Choi informed the Committee that the three departments would govern the new department across both the Storrs and Health Center campuses. The department will offer undergraduate and graduate degree programs, which will lead to careers in medicine, pharmaceuticals, and academia. Moved by Trustee Buckman, seconded by Trustee Barham, the Committee recommended establishment to the full Board.

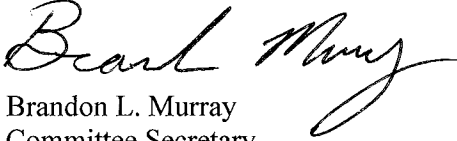
Interim Provost Choi introduced *Informational Item #7, Financial Conflict of Interest in Research Policy*. Interim Provost Choi informed the Committee of changes to the Policy, which promote further objectivity in research and provide standards to ensure that design, conduct, and reporting of research will not be influenced by external funding.

Interim Provost Choi introduced *Informational Item #8, Five-Year Review of Academic Centers and Institutes*. Interim Provost Choi noted that four centers and institutes were reviewed and recommended for a five-year renewal, while one institute received a one-year renewal. Two centers and institutes were renamed, one was reclassified, and one was discontinued. Committee Chairman Jacobs commented on the Board's satisfaction with the review process.

Interim Provost Choi introduced ***Presentation Item #9, Online Learning, Dr. Sally Reis, Interim Vice Provost for Academic Affairs.*** Dr. Reis discussed the rapidly expanding sector of online learning and the University's participation in that expansion. She noted the consolidation and integration of the Center for Continuing Studies and the Institute for Teaching and Learning into the Center for Excellence in Teaching and Learning, who are leading the development and implementation of online courses. Dr. Reis summarized the mission of the new UConn e-campus initiative as contributing online classes in high demand undergraduate classes and in post bachelor's certificates in areas of key academic strengths of our faculty. She also summarized some areas that would make our on-line programming unique. Dr. Reis and the Committee discussed possible collaborations with other major on-line efforts in higher education, and several questions were raised. Committee Chairman Jacobs requested periodic updates on the progress of UConn's e-Campus.

With no further business, Committee Chairman Jacobs adjourned the meeting at 9:35 a.m.

Respectfully submitted,

A handwritten signature in cursive script, reading "Brandon L. Murray". The signature is written in black ink and is positioned above the printed name and title.

Brandon L. Murray
Committee Secretary

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE
November 14, 2012 at 9:30 a.m.
University of Connecticut
Rome Commons Ballroom
Storrs, Connecticut

Revised

ATTACHMENT **LOCATION**
COMMITTEE **FULL BOARD**

ACTION ITEMS:

- | | | |
|---|---|----------|
| 1) Approval of the Minutes of the Financial Affairs Committee Meeting of September 27, 2012, as circulated | A | |
| 2) Contracts and Agreements for Approval - Revised | | 1 |
| 3) Ground Lease between the University of Connecticut and the University of Connecticut Finance Corporation | | 2 |

PROJECT BUDGETS FOR APPROVAL:

	<u>Phase</u>	<u>Budget</u>	<u>Tab</u>
4) Gant Building Renovations – Data Center Stabilization	Planning	\$4,000,000	11
5) Basketball Development Center	Final	\$33,000,000	TBD

INFORMATION ITEMS:

- | | |
|--|------------------------|
| 6) Contracts and Agreements for Information | B |
| 7) Construction Project Status Report | (Under Separate Cover) |
| 8) Master Schedule for UCONN 2000 Phases I, II & III | (Under Separate Cover) |

EXECUTIVE SESSION (*As Needed*)

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
September 27, 2012

TRUSTEES PRESENT: Archambault, Bailey, Barham, Buckman, Carbray, Cloud, Drotch, Handley, Jacobs, Jones, Kruger, McHugh, and Ritter

STAFF PRESENT: Biancamano, Bray, Bull, Callahan, Carone, Chiaputti, Choi, Donahue, Egeberg, Fazio, Garber, Gray, Herbst, Holsinger, Kirk, Larson, Locke, Locust, Martel, Ogbar, Orr, Reis, Roe, Rubin, Saddlemire, Singha, Sullivan, Teal, Torti, Trutter, Urban, Walker, Wetstone and Wrynn

SENATE PRESENT: Bansal, Hiskes, Korbel, Moiseff and Stwalley

Committee Chairman Peter Drotch convened the meeting of the Financial Affairs Committee at 9:35 a.m. in the Lewis B. Rome Commons Ballroom on the University of Connecticut campus in Storrs, Connecticut. He directed the committee to the revised agenda and materials. The agenda was revised due to a number of changes that include:

- Revision of *Contracts and Agreements for Approval – Revised* (Tab 1);
- Removal of “*Signature Authority for Board of Trustees Review of Contracts – Revised*” (Tab 14);
- Addition of “*Acquisition of Parcel of Land to Extend North Eagleville Road to Route 44 in Support of the University of Connecticut Technology Park*”;
- Removal of Project Budget – *Student Health Services Building (Planning: \$30M)* (Tab 17);
- Addition of Project Budget – *Arjona and Monteith – Renovations (Revised Planning: \$22,350,000)*; and correction of Project Budget – *Pedestrian Safety Improvements – Phase I (Final Budget: \$2,985,000)* (Tab 22).

On a motion by Trustee Archambault and seconded by Trustee Drotch the ***Revised Agenda*** was approved as distributed.

Mr. Drotch directed the committee to agenda ***Item #1, Contracts and Agreements for Approval – REVISED***. Richard Gray, Executive Vice President for Administration and Chief Financial Officer and Matthew Larson, Director of Procurement Services, provided information on the agreements presented for approval. On a motion by Trustee Drotch and seconded by Chairman McHugh, the item was recommended to the full Board for approval.

The Committee was directed to agenda ***Item #2, Annual Report of the Endowed Chair Program Entitled “Aetna English Chair in Writing”***. On a motion by Trustee Archambault and seconded by Trustee Kruger the item was recommended to the full Board for approval.

The Committee was directed to agenda ***Item #3, Travel and Entertainment Policies and Procedures - Revised***. Vice Provost Amy Donahue and Associate Vice President Lysa Teal

answered Trustee questions regarding the proposed policies. On a motion by Trustee Drotch and seconded by Trustee Archambault the item was recommended to the full Board for approval.

Mr. Drotch directed the committee to agenda ***Item # 5, Revised Allocation of Bond Authorizations as set forth in the Eighteenth Supplemental Indenture (University of Connecticut General Obligation Bonds)***. On a motion by Trustee Archambault and seconded by Trustee Kruger the item was recommended to the full Board for approval.

Trustee Drotch gave a thorough explanation of the item and a motion by Trustee Archambault and a seconded by Trustee Kruger, agenda ***Item #6, Deferred Maintenance/Code/ADA Renovation Lump Sum Expenditures and Equipment Expenditures*** was recommended to the full Board for approval.

Mr. Drotch reminded the committee that agenda ***Item #7, Signature Authority for Board of Trustees Review of Contracts – Revised***, had been removed from the agenda. Mr. Gray introduced the additional agenda item, ***“Acquisition of Parcel of Land to Extend North Hillside Road to Route 44 in Support of the University of Connecticut Technology Park”***. After extensive negotiations with the Office of the General Counsel, Office of the Attorney General, property owner, State Traffic Commissioner, and the DOT an agreement for purchasing the property has been met. Acquisition of the land allows the University to extend North Hillside Road to Route 44. This road expansion provides for both a new entrance to campus as well as providing access to the land to be used for the new Technology Park. On a motion by Trustee Archambault and seconded by Trustee Kruger the item was recommended to the full Board for approval.

Mr. Gray provided details of the Storrs based program project budget for ***Garrigus Suites – Rear Stairway/Sidewalk Repair (Planning: \$1,000,000)*** and ***North Eagleville Road Area Infrastructure Repair/Replacement and Upgrade (Planning: \$750,000)***. Trustee Drotch requested that after the design is complete for the North Eagleville Road Area Infrastructure Repair/Replacement and Upgrade project, it be brought back to the Trustees for review of the true costs and the planning process for the project. This should include alternatives and best courses of action. President Herbst agreed and added that more planning and review must and will occur before the Board is requested to approve project funding. She anticipates that the new Master Planner, once hired, will facilitate this in the future. On a motion by Trustee Archambault and seconded by Trustee Drotch the project budget for ***North Eagleville Road Area Infrastructure Repair/Replacement and Upgrade (Planning: \$750,000)*** was recommended to the full Board for approval.

Thomas Trutter, Health Center Associate Vice President for Facilities Development & Operations, stated that all Health Center projects presented for Board approval had been reviewed and approved by the Health Center Finance Committee as well as the Health Center Board of Directors. He provided details of each Health Center project budget presented. On a motion by Trustee Archambault and seconded by Trustee Drotch the following project budgets were recommended to the full Board for approval: ***Garrigus Suites – Rear Stairway/Sidewalk Repair (Planning: \$1,000,000); UCHC – Research Tower: Incubator Lab Addition to the Cell & Genome Sciences Building (CGSB) (Planning: \$11,170,000); Arjona and Monteith – Renovations (Revised Planning: \$22,350,000); UCHC – Main Building Exterior Façade Joint Sealant Replacement (Design: \$3,475,000); Atwater Building – Roof Replacements (Final:***

\$600,000); Gant Building Renovations (Final: \$2,985,000); Repair of Water Tank #2 (Final: \$1,700,000); Shippee Dining Hall Renovations (Final: \$4,000,000; UCHC – Ambulatory Care Center (Final: \$203,000,000); UCHC – Demolition – Lower Research Campus (Final: \$850,000); UCHC – Detention Basin Dredging Maintenance (Final: \$990,000); Arjona and Monteith (New Classroom Buildings) (Revised Final: \$95,000,000); and Pedestrian Safety Improvements – Hillside Road (2nd Revised Final: \$3,000,000).

Trustee Drotch directed the committee to the remaining information items listed on the agenda. ***Agenda Item # 24, Project Budget for Bishop Renovation – Various Improvements for Academic and Student Services Activities (Revised Final: \$2,425,000)*** was presented on an exigent basis and approved by Board of Trustees Executive Committee on September 13, 2012 and brought to the Financial Affairs Committee for information. The project was deemed exigent due to timing for the digital media academic program to be completed for student use.

On a motion by Trustee Drotch and seconded by Trustee Archambault the committee was adjourned at 10:28 a.m.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

ATTACHMENT B

CONTRACTS AGREEMENTS
FOR INFORMATION
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EXIGENT PROCUREMENT CONTRACTS / AMENDMENTS

PROJECT NO. 901645 - BISHOP CENTER RENOVATIONS

CONSTRUCTION SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	O & G Industries, Inc.	901645	\$1,196,470 [Contract Previously approved at \$57,000; Total New Contract Amount \$1,253,470]	06/18/12-07/01/12	UCONN 2000	Matthew Larson, Director of Procurement Services	\$665,429	\$665,429	\$0	Change Order to increase contract by lump sum amount for General Construction for renovations to the <u>Bishop Center</u> building located at the Storrs Campus in support of the relocation of the Art Print Department and other smaller facilities. Amend to increase contract value \$1,196,470. (Approved by BOT for exigent services - 08/08/12).

ON-CALL PROFESSIONAL SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	URS Corporation AES	009.5-6-1.5/ 06/30/12	\$113,450 [Contract Previously approved at \$20,000; Total New Contract Amount \$133,450]	05/21/12-08/30/12	UCONN 2000	Matthew Larson, Director of Procurement Services	\$125,200	\$125,200	\$0	Additional design services associated with the design for renovations to the <u>Pharmacy/Biology Building</u> located at the Storrs Campus in support of new faculty hired to start fall semester 2012. Amend to increase contract value \$113,450. (Approved by BOT for exigent services - 08/08/12).

PROJECT NO. 901730 - RENOVATIONS TO PHARMACY/BIOLOGY BUILDING

CONSTRUCTION SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	G. Donovan Associates, Inc.	901730	\$881,231 [Contract Previously approved at \$10,000; Total New Contract Amount \$891,231]	07/02/12-10/05/12	UCONN 2000	Matthew Larson, Director of Procurement Services	\$605,542	\$0	\$0	Change Order to increase contract by lump sum amount for General Construction for renovations to the <u>Pharmacy/ Biology Building</u> located at the Storrs Campus in support of new faculty hired to start fall semester 2012. Amend to increase contract value by \$881,231. (Approved by BOT for exigent services - 08/08/12).

**CONTRACTS AGREEMENTS
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PROJECT NO. 901730 - RENOVATIONS TO PHARMACY/BIOLOGY BUILDING (Continued)

ON-CALL PROFESSIONAL SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Svigals & Partners, LLP	009.2-6-/1.5/06.30/12	\$40,730 [Contract Previously approved at \$59,700; Total New Contract Amount \$100,430]	04/06/12-10/31/12	UCONN 2000	Matthew Larson, Director of Procurement Services	\$59,700	\$59,700	\$0	Additional design services associated with the design for renovations to the <u>Pharmacy/Biology Building</u> located at the Storrs Campus in support of new faculty hired to start fall semester 2012. Amend to increase contract value by \$40,730. (Approved by BOT for exigent services - 08/08/12).
2	Strategic Building Solutions, LLC	PMO-04-/1.5/01/31/15	\$40,100 [Contract Previously approved at \$6,980; Total New Contract Amount \$47,080]	04/19/12-10/31/12	UCONN 2000	Matthew Larson, Director of Procurement Services	\$15,920	\$15,920	\$0	Additional Project Management Oversight services associated with the management of the renovations to the <u>Pharmacy/Biology Building</u> located at the Storrs Campus in support of new faculty hired to start fall semester 2012. Amend to increase contract value by \$40,100. (Approved by BOT for exigent services - 08/08/12).

PROCUREMENT - NEW

CONSULTING SERVICES FOR OPERATION OF THE RECLAIMED WATER AND WATER POLLUTION CONTROL FACILITIES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Woodard & Curran, Inc.	UC-13-PR082212	\$750,000	12/01/12-11/30/15	Operating Funds	Kenneth Egeberg, AVP Architectural, Engineering and Building Services	Professional engineering consultant services for the Reclaim Water Facility and the Water Pollution Control Facility. Services to be performed, but not limited to, Update WPCF Operations and Maintenance Manual, Perform Optimal Performance Evaluation, Support Services for Implementation of the Optimal Performance Evaluation, Operation & Maintenance Manual for the Reclaim Water Facility and General Engineering and Compliance Services as needed for operations maintenance of the Facilities. This is the result of a publicly advertised solicitation. Initial term is for three years; with option to extend for two (2) one (1) year terms.

MEDICAL SUPPLIES, SERVICE AND SUPPORT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Collins Sports Medicine	UC-12-CGP051311	\$750,000	07/01/11-06/30/17	Auxiliary Services	Warde Manuel, Director of Athletics	Provide a complete line of sports medical supplies, as well as all necessary service, training and support for the Division of Athletics. This is the result of a publicly advertised RFP. Contract term is for six years.

**CONTRACTS AGREEMENTS
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MEDICAL SUPPLIES, SERVICE AND SUPPORT (Continued)							
No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
2	Oticon, Inc.	UC-12-015346-4	\$900,000	07/01/11-06/30/17	Auxiliary Services	Jeremy Teitelbaum, Dean of College of Liberal Arts & Sciences	Provide hearing aids, as well as all necessary service, training and support for the Department of Communication Science. This is the result of a publicly advertised RFP. Contract term is for six years.
3	Phonak Hearing Systems	UC-12-015346-4	\$550,000	07/01/11-06/30/17	Auxiliary Services	Jeremy Teitelbaum, Dean of College of Liberal Arts & Sciences	Provide hearing aids, as well as all necessary service, training and support for the Department of Communication Science. This is the result of a publicly advertised RFP. Contract term is for six years.

SCIENTIFIC JOURNALS

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	EBSCO Industries, Inc.	UC-13-CON070112	\$2,400,000	07/01/12-06/30/13	Multiple Sources	Brinley Franklin, Vice Provost of University of Connecticut Libraries	Provide access to large research journal packages, e-journals, print periodical subscriptions and access to numerous research databases via the EBSCO host platform via a consortium. Procured under statutory authority 10A-151A.
2	Elsevier BV	UC-13-CON070112	\$2,210,000	07/01/12-06/30/13	Multiple Sources	Brinley Franklin, Vice Provost of University of Connecticut Libraries	Provide Science Direct Journal Package consortium access to over 1,200 Elsevier science journals including prestigious societies and STM publishers. Procured under statutory authority 10A-151A.
3	NERL/Yale	UC-13-CON070112	\$1,000,000	07/01/12-06/30/13	Multiple Sources	Brinley Franklin, Vice Provost of University of Connecticut Libraries	Provide consortium core journal packages (Nature Academic Journals and Oxford University Press Journals), access to various databases and ebooks. Procured under statutory authority 10A-151A.

RESEARCH SUPPLIES & EQUIPMENT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Qiagen, Inc.	UC-13-CGP031612	\$530,000	11/15/12-06/30/18	Multiple Sources	Matthew Larson Director of Procurement Services	Provide the research community with supplies and/or equipment through a multi-vendor contract portfolio. This is the result of a publicly advertised RFP. Contract is open to the Storrs, Regional Campuses and UCHC. Contract term is for five and a half (5 1/2) years.
2	Airgas East	UC-09-CGP073108	\$800,000	02/15/09-06/30/13	Multiple Sources	Matthew Larson Director of Procurement Services	Provide compressed gases (cylinders and bulk), gas handling, hardware and related supplies as required. This is the result of a publicly advertised RFP. Contract term is for four (4) years.
3	Triumvirate Environmental, Inc.	UC-07-CGP120806	\$800,000	04/01/07-06/30/13	Multiple Sources	Terence Monahan Director of Environmental Health & Safety	Provide packaging, labeling, transporting and disposal of hazardous laboratory waste generated by the University of Connecticut, including the Health Center in accordance with all Federal, State, and local statutes, laws, rules, regulation, and ordinances. Contract term six (6) years.

CONTRACTS AGREEMENTS
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PROCUREMENT - AMENDMENTS

FOOD CONTRACT

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Edo Sushi Express	UC-KA112909-8	\$0 [Contract previously approved at \$512,400; Contract Value Remains the Same Value.]	03/19/10-03/31/14	Auxiliary Services	John Saddlemire, Vice President for Student Affairs	\$390,900	\$156,700	\$150,300	Provide fresh pre-packaged sushi for Dining Services operation (to be sold in Grab 'n Go's and used by Catering) . Initial term is one (1) year with four (4) one (1) year extensions. Amend to exercise third option to extend through 03/31/14. Contract remains the same.

LEGAL SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	McCarter & English, LLP	Employment Agreement	\$0 [Contract Previously approved at \$750,000; Total New Contract Amount \$750,000]	12/04/07-06/03/13	UCONN 2000	Matthew Larson, Director of Procurement Services	\$18,849	\$2,590	\$10,525	Secondary law firm to provide legal services on construction related matters. Amend to extend term for six months to 06/03/13; contract value remains the same. (Original contract approved by BOT on 12/04/07).

ON-CALL CONSULTANT SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures to Date as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Carter & Burgess, Inc, now known as Jacobs Project Management Co.	PMO-01-495/09/30/12	\$405,000 [Contract Previously \$495,000; Total New Contract Amount \$900,000]	02/01/12-09/30/12	Multiple Sources	Matthew Larson, Director of Procurement Services	\$307,616	\$307,616	\$0	Amendment to Professional Services On-Call Contract for Project Management Oversight (PMO), Construction Inspection/Owner's Representative Services for use by the University for added inspection, and/or field observation, estimating, and scheduling. Firm is being utilized for the ongoing project management and administrative support regarding all outstanding code discrepancy resolution issues for both UCONN 2000 projects and non-UCONN 2000 projects. Amend to increase contract value by \$405,000. (Original contract issued on 04/24/12 in the amount of \$495,000 for total new contract value of \$900,000).

**CONTRACTS AGREEMENTS
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STANDARD FIXED-FEE ARCHITECT'S SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 10/12/12	Expenditures FY12	Expenditures FY11	Purpose
1	Tai Soo Kim Partners, LLC	901265	\$28,973 [Contract Previously approved at \$1,117,020; Total New Contract Amount \$1,145,993]	10/10/10-08/19/13	UCONN 2000	Matthew Larson, Director of Procurement Services	\$1,108,875	\$252,176	\$493,662	Fifth Amendment to provide additional design services in support of increased funding for the Storrs Hall Addition on the Storrs campus. (Revised Final Project Budget approved by BOT on 4/13/11 - \$14,825,000 - Project No. 901265)
2	Tai Soo Kim Partners, LLC	901265	\$28,600 [Contract Previously approved at \$1,145,993; Total New Contract Amount \$1,174,593]	10/10/10-08/19/13	UCONN 2000	Matthew Larson, Director of Procurement Services	\$1,108,875	\$252,176	\$493,662	Sixth Amendment to provide additional design services in support of increased funding for the Storrs Hall Addition on the Storrs campus. (Revised Final Project Budget approved by BOT on 4/13/11 - \$14,825,000 - Project No. 901265)

CONSTRUCTION PROJECTS STATUS REPORT

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING - November 14, 2012

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 11/5/12)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Planning Budget Phase								
Ecology and Evolutionary Biology (EEB) Greenhouse Renovations	201583	\$1,000,000	\$10,136	P	Departmental Funds	02/28/12	Sep-14	0%
Fine Arts Phase II - Renovation and Improvements	901667	\$21,600,000	\$2,370	P	UConn 2000 Phase III	08/03/11	2016	0%
Gant Building Renovations - Data Center Stabilization	901755	\$4,000,000	\$0	P	UConn 2000 Phase III	11/14/12-Pending	2014	0%
Garrigus Suites - Rear Stairway Repair	901749	\$1,000,000	\$0	P	UConn 2000 Phase III - DM	09/27/12	2013	0%
Pedestrian Safety Improvements - CUE/Gentry Corridor	901627	\$1,240,350	\$173,353	P	UConn 2000 Phase III - DM	08/03/11	2013	0%
North Eagleville Road Area Infrastructure Repair/Replacement	901752	\$750,000	\$0	P	UConn 2000 Phase III - DM	09/27/12	TBD	0%
Public Safety Complex Improvements	201574	\$3,000,000	\$0	P	Plant Funds	08/03/11	2014	0%
Student Health Services	901751	\$30,000,000	\$0	P	Departmental Revenue Bonds	09/27/12	2015	0%
Technology Quadrant Phase III	901661, 901662	\$172,500,000	\$2,303,879	P	State General Obligation Bonds	06/23/11	2015	0%
Revised Planning Budget Phase								
Arjona and Monteith - Renovations	901719	\$22,350,000	\$0	P-\$22.5M RP-\$22.35M	UConn 2000 Phase III	02/28/12 09/27/12	2017	0%
Atwater Façade and Window Replacement	901397	\$1,900,000	\$34,413	P-\$650K RP-\$1.9M	UConn 2000 Phase III - DM	09/23/08 09/21/10	2015	0%
Backfeed Loop - North Eagleville to Parking Garage to Storrs Road	901416	\$300,000	\$221,322	P-\$700K RP-\$300K	UConn 2000 Phase III - DM	09/23/08 04/20/10	2014	0%
Engineering Building - Planning & Design	901376	\$60,500,000	\$431,493	P-\$1.0M RP-\$2.0M RP-\$2.0M RP-\$60.5M	UConn 2000 Phase III	06/24/08 02/18/10 09/21/10 08/03/11	2015	0%
Gant Building Renovations - Phase I	901374	\$2,310,000	\$447,555	P-\$440K RP-\$1.31M RP-\$2.31M	UConn 2000 Phase III	11/23/09 02/18/10 02/22/11	2016	0%
Old Central Warehouse	901266	\$2,126,000	\$125,745	P-\$18.0M RP-\$10.0M RP-\$2.126M	UConn 2000 Phase III	08/01/07 06/24/08 08/03/11	2013	0%
Revised Design Budget Phase								
Mansfield Training School Improvements (Phase II) - Merritt Building	901213	\$3,250,000	\$357,442	P-\$3.0M RP-\$2.5M D-\$3.3M RD-\$3.3M	UConn 2000 Phase III	09/24/06 09/25/07 06/24/08 06/10/10	2013	0%
North Hillside Road Completion	900965	\$14,300,000	\$1,671,286	D-\$11.5M RD-\$11.5M RD-\$14.3M	UConn 2000 Phase III (\$8.2M) Federal Funds (\$6.1M)	08/02/05 11/15/05 06/24/08	2014	0%

Storrs and Regional Campuses

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING - November 14, 2012

	Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 11/5/12)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Storrs and Regional Campuses	Final Budget Phase								
	Atwater Building-Roof Replacements	901673	\$600,000	\$22,954	F-\$0.6M	UCONN 2000 Phase III - DM	09/27/12	2013	5%
	Avery Point Campus Undergraduate & Library Bldg - Phase I (Student Center)	901278	\$9,315,150	\$7,769,728	P-\$9.3M RP-\$6.8M D-\$6.8M F-\$9.3M	UCONN 2000 Phase III	06/24/08 06/23/09 02/28/12 04/25/12	2013	25%
	Babbidge IT & Phone Functional Areas - Heating and Air Conditioning and Electrical Repairs	901580	\$2,200,000	\$1,276,215	P-\$700K F-\$2.2M	UCONN 2000 Phase III - DM	01/26/11 06/28/12	2013	10%
	Basketball Development Facility	201434	\$33,000,000	\$1,792,737	P F	Gifts & Departmental Funds	09/21/10 11/14/12-Pending	2014	0%
	Gant Building Renovations - Immediate Exterior Repairs	901753	\$8,570,000	\$0	F	UCONN 2000 Phase III	09/27/12	2013	0%
	Meter Installation - Multiple Locations (Phase II)	901326	\$600,000	\$551,404	P D F	UCONN 2000 Phase III - DM	09/25/07 12/07/07 01/22/08	2012	96%
	Meter Installation - Multiple Locations (Phase III)	901371	\$600,000	\$356,859	P D F	UCONN 2000 Phase III - DM	06/24/08 09/23/08 06/23/09	2013	50%
	Pedestrian Safety Improvements - Phase I	901629	\$2,985,000	\$160,860	P-\$1.9M F-\$3.0M	UCONN 2000 Phase III - DM	02/22/11 09/27/12	2013	5%
	Psychology Building Renovation / Addition	901388	\$25,170,550	\$19,165,751	P-\$20.0M RP-\$22.5M D-\$22.5M F-\$25.2M	UCONN 2000 Phase III	09/23/08 01/26/11 01/25/12 04/25/12	2014	40%
	Renovations for New Faculty-Pharmacy Biology Building	901730	\$1,300,000	\$963,066	F-\$1.3M	UCONN 2000 Phase III - DM (\$875K) Departmental Funds (\$425K)	06/28/12	2012	98%
	Replacement of Chemical House (Well Water Treatment Facility)	901320	\$3,500,000	\$2,945,655	P D F	UCONN 2000 Phase III - DM	09/25/07 01/12/09 11/05/09	2012	95%
	Repair of Water Tank #2	901652	\$1,700,000	\$29,881	F	UCONN 2000 Phase III - DM	09/27/12	2013	0%
	Residential Life Facilities - Window Replacement - Grange Hall, Hicks Hall, Shippee Hall and Dining Facility and Northwood Complex	201555	\$3,800,000	\$1,901,645	P-\$4.2M F-\$3.8M	Departmental Funds	09/21/10 01/26/11	2012-Phase I 2013-Phase II	100% 0%
	Shippee Dining Hall Renovations	201545	\$4,000,000	\$335,770	P-\$3.0M D-\$3.0M F-\$4.0M	Departmental Funds	03/23/10 01/26/11 09/27/12	2013	0%
	Small Capital Projects Fund	901693	\$1,500,000	\$1,228,966	F-\$1.5M	UCONN 2000 Phase III - DM	09/28/11	2012	93%
	Torrey 1 st Floor East Renovations	901572	\$3,500,000	\$2,880,675	P D F	UCONN 2000 Phase III - DM (\$150.0K) Research Funds (\$1.175M) Departmental Funds (\$2.175M)	08/10/10 09/21/10 11/09/10	2012	99%
	UCONN 2000 Code Remediation Towers Dormitories	201472	\$620,000	\$543,968	F	University Operating Funds	04/20/10	2012	99%

CONSTRUCTION PROJECTS STATUS REPORT
BOARD OF TRUSTEES MEETING - November 14, 2012

Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 11/5/12)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Final Budget Phase (Continued)								
West Hartford Campus Renovations/ Improvements - Replace Trecker Library Air Handling Unit	901539	\$525,000	\$45,394	F	UCONN 2000 Phase III	06/10/10	2013	0%
Revised Final Budget Phase								
Bishop Renovation - Various Improvements for Academic and Student Services Activities	901645	\$2,425,000	\$1,540,785	P F RF-\$2.4M	UCONN 2000 Phase III	02/21/11 04/25/12 09/27/12	2012	95%
Northwest Quad Code Remediation	201413	\$887,500	\$495,419	F-\$706.6K RF-\$887.5K	University Operating Funds	08/21/08 08/10/10	2012	75%
Pedestrian Safety Improvements - Hillside Road	901726	\$2,985,000	\$2,219,748	F-\$2.0M RF-\$3.0M RF-\$2.985M	UCONN 2000 Phase III - DM	02/28/12 06/28/12 09/27/12	2012	90%
Storrs Hall Addition	901265	\$14,825,000	\$13,642,385	P-\$7M RP-\$14M D-\$13.4M F-\$13.4M RF-\$14.825M	UCONN 2000 Phase III	08/01/07 06/23/09 09/21/10 02/22/11 04/13/11	2012	99%
Water Reclamation Facility (formerly Gray Water Facility)	901229	\$28,951,000	\$27,212,084	P-\$1.4M RP-\$28.6M D-\$28.9M F-\$28.9M RF-\$28.9M	UCONN 2000 Phase III - DM Plant Funds	06/24/08 08/04/09 02/18/10 04/20/10 01/26/11	2012	85%
Young Building Renovation/Addition	901373	\$17,769,930	\$15,911,871	P-\$10.0M RP-\$15.0M D-\$15.0M F-\$17.8M	UCONN 2000 Phase III	06/24/08 11/09/10 01/25/12 04/25/12	2013	30%
Recently Completed Projects ⁽¹⁾								
Arjona and Monteith (New Classroom Buildings)	901126	\$95,000,000	\$86,579,448 ^(A)	P-\$86.1M R-\$95.0M D-\$95.0M F-\$95.0M RF-\$95.0M	UCONN 2000 Phase III	09/26/06 06/24/08 08/04/09 09/22/09 09/27/12	2011-West 2012-East	100% 100%
Beach Hall Renovations - Façade and Roof Repair	901646	\$2,500,000	\$1,889,077	P-\$2.0M D-\$2.0M F-\$2.0M RF-\$2.5M	UCONN 2000 Phase III	02/22/11 01/25/12 02/28/12 08/08/12	2012	100%
Benton State Art Museum Addition - Mechanical System Improvements	901545	\$2,150,000	\$1,643,528	P-\$1.7M F-\$1.7M RF-\$2.150M	UCONN 2000 Phase III	08/04/09 04/20/10 09/21/10	2011	100%
Biobehavioral Complex Replacement (Renovation)	901380	\$3,000,000	\$2,323,314	P-\$2.0 M RP-\$2.0M RP-\$3.0M F-\$3.0M	UCONN 2000 Phase III	06/24/08 01/26/11 08/03/11 11/10/11	2012	100%

Storrs and Regional Campuses

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Storrs and Regional Campuses	Recently Completed Projects ⁽¹⁾ - (Continued)								
	Castleman Building Drainage Repair	901289	\$550,000	\$514,089	P F	UCONN 2000 Phase III - DM	09/25/07 09/28/11	2012	100%
	Code Remediation and Renovation - Ratcliffe Hicks Arena	901352	\$998,650	\$944,152	P-\$999.7M F-\$998.6K	UCONN 2000 Phase III - DM (\$9K) Departmental Funds (\$988.7K)	03/23/10 06/10/10	2011	100%
	Community Professional Building Renovation - Avery Point	201543	\$1,358,165	\$1,299,019	P-\$1.0M F-\$1.0M RF-\$1.35M	Research Funds - \$300K Grant Funds - \$700K UCONN 2000 Phase III/Grant/Research	01/26/11 04/13/11 08/03/11	2012	100%
	Depot Storehouse - Roof Replacement	201514	\$637,000	\$553,089	D F	Departmental Funds	03/23/10 06/10/10	2011	100%
	Filter Press, Installation	901368	\$850,000	\$774,551	P-\$500K D-\$850K F-\$850K	UCONN 2000 Phase III - DM	06/24/08 04/21/09 06/23/09	2011	100%
	Fine Arts Phase II - Photo Lab Ventilation Improvements	901544	\$700,000	\$543,387	P D F	UCONN 2000 Phase III	08/04/09 09/22/09 11/05/09	2012	100%
	Floriculture Greenhouse	901367	\$6,820,000	\$6,038,369	P-\$3.0M RP-\$5.0M D-\$5.0M F-\$5.0M RF-\$6.07M RF-\$6.82M	UCONN 2000 Phase III	06/24/08 09/22/09 09/21/10 02/22/11 04/13/11 04/25/12	2012	100%
	Gant IMS Fire Alarm Replacement	201502	\$1,372,000	\$1,236,623	F-\$1.122M RF-\$1.372M	University Plant Funds UCONN 2000 Phase III - DM/Univ. Plant	06/23/09 02/22/11	2012	100%
	Jorgensen Renovation - Auditorium Seating Replacement	901553	\$2,162,000	\$2,161,118	P-\$2.1M F-\$2.1M RF-\$2.162M	UCONN 2000 Phase III - DM (\$100K) University Operating Funds (\$2M) Gifts (\$62K)	02/18/10 03/23/10 11/09/10	2011	100%
	Jorgensen Renovation - Phase I	901274	\$1,375,000	\$1,233,817	P-\$1.6M D-\$2.2M F-\$1.375M	UCONN 2000 Phase III	09/25/07 06/24/08 04/21/09	2011	100%
	Koons Hall Renovation/Addition - Windows, Façade & Mechanical System Analysis	901379	\$1,200,000	\$1,075,163	P-\$1.0M D-\$1.0M F-\$1.0M RF-\$1.2M	UCONN 2000 Phase III	06/24/08 08/10/10 09/21/10 06/23/11	2012	100%
	Law School Renovatons/Improvements - Knight Hall, Rm 215 - Classroom Renovation	901589	\$575,000	\$401,165	P D F	UCONN 2000 Phase III	06/10/10 08/03/11 09/28/11	2011	100%
	Law School Renovatons/Improvements - Starr, Chase, Hosmer and Knight Halls Building Envelope Repair	901188	\$3,000,000	\$2,141,568	P-\$2.517M D-\$2.517M F-\$3.0M	UCONN 2000 Phase III	02/22/11 11/10/11 02/28/12	2012	100%
	McMahon Dining Hall Renovations	201357	\$9,900,000	\$8,715,782	P-\$7.81M RP-\$7.81M D-\$8.1M F-8.6M RF-\$9.9M	Departmental Funds UCONN 2000 Phase III	08/10/10 06/23/11 08/03/11 11/10/11 01/25/12	2012	100%
	Manchester Hall Renovation - Building Envelope Repair	901644	\$2,000,000	\$583,400	P-\$2.0M F-\$850K	UCONN 2000 Phase III	02/22/11 03/28/12	2012	100%

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Storrs and Regional Campuses	Recently Completed Projects ⁽¹⁾ - (Continued)								
	Memorial Stadium Demolition	201586	\$800,000	\$422,844	P F	Gifts	02/28/12 04/25/12	2012	100%
	New 16" Water Main - Towers to Glenbrook and North Eagleville and Ph I Relocation of SP3 Circuit	901422	\$2,300,000	\$1,881,796	P-\$1.06M D-\$1.06M F-\$2.30M	UCONN 2000 Phase III - DM	09/23/08 08/04/09 04/20/10	2011	100%
	OSFM Legacy Code Remediation	901259	\$9,000,000	\$8,766,750	P-\$680K D-\$1.190M F-\$8.550M RF-\$9.0M RF-\$9.0M	UCONN 2000 Phase III - DM University Plant Funds University Plant Funds University Plant Funds UCONN 2000 Phase III - DM	09/23/08 04/21/09 06/23/09 04/20/10 01/26/11	2011	100%
	Renovations of Longley Building for Additive Manufacturing Research	901731	\$800,000	\$625,539	F-\$0.8M	UCONN 2000 Phase III - DM (\$295K) Departmental Funds (\$505K)	06/28/12	2012	100%
	Replacement of Two Water Towers	901311	\$2,500,000	\$2,115,189	P-\$2.0M D-\$2.5M F-\$2.5M D-\$2.5M F-\$2.5M	UCONN 2000 Phase III - DM	09/25/07 11/18/08 04/21/09 11/18/08 04/21/09	2011	100%
	Residential Life Facilities - Connecticut Commons Complex Renovations	201554	\$6,250,000	\$4,946,967	P-\$5.2M F-\$5.0M RF-\$6.25M	Departmental Funds UCONN 2000 Phase III/Dept Funds	09/21/10 01/26/11 08/03/11	2011	100%
	Residential Life Facilities - Hale and Ellsworth Elevator Replacement	201511	\$2,140,000	\$1,239,963	P-\$1.6M D-\$2.14M F-\$2.14M	Departmental Funds	11/05/09 02/18/10 04/20/10	2011	100%
	Residential Life Facilities - McMahon Elevator Replacement	201512	\$2,202,000	\$1,221,019	P D F	Departmental Funds	03/23/10 09/21/10 11/09/10	2011	100%
	Roads, Sidewalks and Miscellaneous Repairs - Phase III	901618 901658 901659 901660	\$850,000	\$482,142	F	UCONN 2000 Phase III - DM	01/26/11	2011	100%
	Route 195 Sewer Line Replacement - Area 1	201558	\$550,000	\$300,791	P D F	University Operating Funds	11/09/10 01/26/11 04/13/11	2011	100%
	Security Upgrades Hilltop Apartments	201505	\$967,000	\$623,920	P-\$800K D-\$967K F-\$967K	Departmental Funds	06/23/09 03/23/10 06/10/10	2011	100%
	Stamford Campus Garage Repair and Maintenance Program	901583	\$1,962,434	\$1,569,215	F-\$1.96M	UCONN 2000 Phase III - DM	04/20/10	2011	100%
	Steam and Condensate Distribution System Improvements - Phase I	901317 901372 901421	\$4,014,537	\$3,935,922	RP-\$5.525M D-\$5.525M F-\$5.525M RF-\$3.755M RF-\$4.014M	UCONN 2000 Phase III - DM	02/10/09 04/21/09 03/23/10 04/20/10 09/21/10	2011	100%
	Storrs Hall Addition - Windows and Exterior Repairs	901575	\$740,000	\$612,927	P-\$93,324 RP-\$600K D-\$600K F-\$740K	UCONN 2000 Phase III	03/20/10 09/21/10 11/09/10 01/26/11	2011	Roof-100% Windows-100%

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Storrs and Regional Campuses	Recently Completed Projects ⁽¹⁾ - (Continued)								
	Student Union Quadrangle Site Work and Landscape - Phase II	901440	\$1,150,000	\$1,100,076	P-\$1.0M D-\$1.0M F-\$1.0M RF-\$1.150 M	UCONN 2000 Phase III - DM	09/23/08 06/10/10 09/21/10 11/09/10	2011	100%
	Tie In Drum Heater on Boilers at CUP (Central Utility Plant)	901319	\$104,500	\$78,059	P-\$600K D-\$600K F-\$104.5K	UCONN 2000 Phase III - DM	09/25/07 02/27/08 08/03/11	2012	100%
	University of Connecticut Fire Marshal (UCFM) Code Remediation Charter Oak Apts	201542	\$1,387,000	\$900,347	F	Departmental Funds-Residential Life	04/20/10	2011	100%
	University of Connecticut Fire Marshal (UCFM) Code Remediation Charter Oak Apts	901476	\$537,000	\$415,095	F	UCONN 2000 Phase III - DM Departmental Funds-Residential Life	04/20/10	2011	100%
	University of Connecticut Fire Marshal (UCFM) Code Remediation Gampel Pavilion Fire Alarm Replacement	901552	\$2,200,000	\$739,904	F	UCONN 2000 Phase III - DM	04/20/10	2011	100%
	West Hartford Campus Renovations/ Improvements - Phase I	901285	\$1,400,000	\$1,280,707	P-\$1.5M F-\$1.5M RF-\$1.5M RF-\$1.4M	UCONN 2000 Phase III	06/24/08 11/18/08 04/21/09 06/10/10	2011	100%
	West Hartford Campus Renovations/ Improvements - Chemistry Lab	901569	\$1,469,000	\$1,462,208	P-\$1.3M D-\$1.4M F-\$1.4M RF-\$1.469M	UCONN 2000 Phase III	02/18/10 06/10/10 08/10/10 09/21/10	2011	100%
	West Hartford Campus Renovations/ Improvements - Electrical Switchgear Replacement	901286	\$1,024,700	\$950,960	P-\$550K RP-\$800K F-\$800K RF-\$950K RF-\$1.0M	UCONN 2000 Phase III	09/25/07 06/23/09 01/26/11 09/28/11 02/28/12	2012	100%
	West Hartford Campus Renovations/ Improvements - Replace Boilers, 1800 Asylum Avenue	901538	\$850,000	\$699,920	F-\$525K RF-\$850K	UCONN 2000 Phase III	06/10/10 04/13/11	2011	100%
	West Hartford Campus Renovations/ Improvement - Student Lounge and Office Relocation	901568	\$839,000	\$745,383	P-\$825K RP-\$750K F-\$750K RF-\$839K	UCONN 2000 Phase III	02/18/10 06/10/10 01/26/11 02/22/11	2011	100%
	Wood Hall Façade Repairs	901601	\$1,000,000	\$825,086	P-\$1.7M D-\$1.7M F-\$1.0M	UCONN 2000 Phase III - DM	09/21/10 01/26/11 06/23/11	2012	100%
Health Center	Planning Budget Phase								
	Anechoic Chamber Relocation	12-012	\$555,000	\$0	P P	UCHC Capital Budget	(06/11/12)* 06/28/12	TBD	0%
	Clinical Space Fit-Out Storrs Ctr (UMG)	13-003	\$4,365,000	\$139,105	P P	UCHC Capital Budget	(06/11/12)* 06/28/12	May 2013	0%
	New Construction and Renovation - Academic Building Addition & Renovations	901729	\$30,750,000	\$0	P P	UCONN 2000 Phase III	(04/09/12)* 04/25/12	TBD	0%
	New Construction and Renovation - Clinic (C) Building Renovations	901737	\$86,715,000	\$0	P P	UCONN 2000 Phase III UCHC Capital Budget	(06/11/12)* 06/28/12	TBD	0%

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Project Name by Construction Phase	Project #	Current BOT Approved Budget	Expenditures & Encumbrances (As of 11/5/12)	Budget Phase	Budgeted Funding Source(s)	BOT Budget Approval Date(s)	Estimated Completion Date	Estimated Construction % Complete
Planning Budget Phase (Continued)								
Research Tower - Incubator Lab Addition	901750	\$11,170,000	\$0	P	UConn 2000 Phase III	(09/10/12)* 09/27/12	TBD	0%
Revised Planning Budget Phase								
CLAC Renovation	901133	\$16,125,000	\$1,249,247	P-\$14.0M P-\$14.0M D-\$16.125M D-\$16.125M	UConn 2000 Phase III	(05/17/06)* 06/20/06 (06/11/12)* 06/28/12	TBD	0%
CT Simulator, High Dose Radiation (HDR) Renovations	10-059	\$2,100,000	\$259,274	P-\$2.25M P-\$2.25M RP-\$2.1M RP-\$2.1M	UCHC Capital Budget	(06/13/11)* 06/23/11 (06/11/12)* 06/28/12	TBD	0%
Design Budget Phase								
Main Building Exterior Façade Joint Sealant	08-603.01	\$3,475,000	\$298,256	P-\$3.3M P-\$3.3M D-\$3.5M D-\$3.5M	UConn 2000 Phase III - DM	(06/09/08)* 6/24/08 (09/10/12)* 09/27/12	TBD	0%
New Construction & Renovations	901590	\$364,386,000	\$45,254,563	P-\$332.0M P-\$332.0M RP-\$364.4M RP-\$364.4M D-\$364.4M D-\$364.4M	UConn 2000 Phase III Other Non-State Funds UCHC Capital Funds	(06/07/10)* 06/10/10 (03/05/12)* 02/28/12 (04/09/12)* 04/25/12	2017	10%
Main Building Renovation Lab ("L") Building Renovations - Project 1	901134	\$79,000,000	\$9,007,599	P-\$75.0M P-\$75.0M RP-\$76.127M RP-\$76.127M D-\$79.0M D-\$79.0M	UConn 2000 Phase III	(05/17/06)* 06/20/06 (03/05/12)* 02/28/12 (06/11/12)* 06/28/12	2015	3%
Final Budget Phase								
Ambulatory Care Center (ACC)	11-042	\$203,000,000	\$4,842,151	P P D D F F	UCHC Secured Private Funding	TBD 01/25/12 (06/11/12)* 06/28/12 (09/10/12)* 09/27/12	2015	0%
Cage Processing Facility Renovations	10-050	\$9,895,000	\$9,169,669	P-\$9.3M P-\$9.3M D-\$9.3M D-\$9.3M F-\$9.9M F-\$9.9M	NIH Grant Funds UCHC Capital Budget	(04/12/10)* 04/20/10 (06/13/11)* 06/23/11 (04/09/12)* 04/25/12	08/2013	25%
Demolition - Lower Research Campus	12-010	\$850,000	\$667,152	P P F F	UCHC Capital Budget	(03/05/12)* 02/28/12 (09/10/12)* 09/27/12	Dec-12	15%

Health Center

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Health Center	Final Budget Phase - continued								
	Detention Basin Dredging	08-602.01	\$990,000	\$878,860	P-\$990K P-\$990K D-\$1.3M D-\$1.3M F-\$990K F-\$990K	UCONN 2000 Phase III - DM	(03/05/12)* 02/28/12 (06/11/12)* 06/28/12 (09/10/12)* 09/27/12	Dec-12	35%
	Fire Alarm System Upgrades -Phase I	10-068	\$706,000	\$624,923	P P F F	UCONN 2000 Phase III - DM	(06/13/11)* 06/23/11 (06/11/12)* 06/28/12	May-13	20%
	Munson Road Renovation and Expanded Parking	05006770	\$4,350,000	\$4,275,129	P-\$3.2M P-\$3.2M D-\$4.4M D-\$4.4M F-\$4.4M F-\$4.4M	UCHC Capital Budget	(05/17/06)* 06/20/06 (07/16/07)* 08/01/07 (09/17/07)* 09/25/07	2012	99%
	Recently Completed Projects ⁽¹⁾								
	Academic Building (Bldg A) Roof Replacement	07-601.10	\$1,050,000	\$622,825	P-\$1.15M P-\$1.15M D-\$1.050M D-\$1.050M F-\$725K F-\$725K	UCONN 2000 Phase III - DM	(06/09/08)* 06/24/08 (06/08/09)* 06/23/09 (04/04/11)* 04/13/11	07/30/11	100%
	Administrative Services Building (ASB) Renovations	10-054	\$3,265,000	\$3,038,235	P-\$3.9M P-\$3.9M F-\$3.9M F-\$3.9M RF-\$3.265M RF-\$3.265M	UCHC Capital Budget	(04/12/10)* 04/20/10 (06/07/10)* 06/10/10 (03/05/12)* 02/28/12	05/2012	100%
	Catheterization Lab Equipment Replacement & Renovations	08-031	\$2,530,000	\$2,189,997	P P D D F F	UCHC Capital Budget Departmental Funds	(04/12/10)* 04/20/10 (09/13/10)* 09/21/10 (11/08/10)* 11/09/10	04/2011	100%
	Datacenter Infrastructure Improvements, Phase 1	09-603.01	\$2,055,000	\$1,974,980	P-\$1.8M P-\$1.8M D-\$2.055M D-\$2.055M F-\$2.055M F-\$2.055M	UCONN 2000 Phase III - DM	(06/08/09)* 06/23/09 (01/07/10)* 02/18/10 (04/12/10)* 04/20/10	04/2011	100%

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Health Center	Recently Completed Projects ⁽¹⁾ - continued								
	Dental School CONNcept Clinic Renovation [formerly GP3 Clinic]	10-070	\$1,000,000	\$649,587	P-\$1.40M P-\$1.40M F-\$1.0M F-\$1.0M	UCHC Capital Budget	(04/12/10)* 04/20/10 (04/03/11)* 04/13/11	07/30/11	100%
	Main Building Cooling System, Chiller #1, #2 & #3 Replacement	09-603.02	\$4,945,000	\$4,429,286	P-\$1.350M P-\$1.350M RP-\$5.330M RP-\$5.330M D-\$5.330M D-\$5.330M F-\$4.945M F-\$4.945M	UConn 2000 Phase III - DM	(06/08/09)* 06/23/09 (02/14/11)* 01/26/11 (06/13/11)* 06/23/11 (09/12/11)* 09/28/11	04/2012	100%

CM@R = Construction Manager at Risk

DB = Design Build

DBB = Design - Bid - Build

TBD = To be determined

P = Planning Budget

RP = Revised Planning Budget

D = Design Budget

RD = Revised Design Budget

F = Final Budget

RF = Revised Final Budget

EI = Environmental Impact

C = Complete

SC = Substantial Completion

* University of Connecticut Health Center Board of Directors Reviewed and Recommended for Board of Trustees Approval

⁽¹⁾ Completed projects assume "Completed, Commissioned and Occupied". Projects continue to be included in this report for 1 year after completion to accommodate initial financial closeout adjustments.

Project Budget (Final) for Basketball Development Center

**(This item is listed under the Financial Affairs
Committee Report as “Separate cover.”)**



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

Richard D. Gray
*Executive Vice President
for Administration
and Chief Financial Officer*

November 14, 2012

TO: Members of the Board of Trustees

FROM: Richard D. Gray
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for Basketball Development Center
(Final: \$33,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$33,000,000 for the Basketball Development Center and authorize the University to issue a letter to the University of Connecticut Foundation that covenants with, and make certain representations to, the Foundation to enable the Foundation to make the required representations, warranties and covenants under loan documents executed between the Foundation and the Connecticut Health and Educational Facilities Authority (CHEFA).

BACKGROUND:

On February 1, 2008, the Board's Buildings, Grounds and Environment Committee approved the development of a programming and planning study for the proposed Basketball Development Center and related soccer facility relocation. Funding for the study was provided by private donations. The programming study identified dedicated space for athletic practice and administrative offices, strength and training, audio visual and academic support for the Men's and Women's basketball programs.

On September 21, 2010 the Board of Trustees approved a planning budget in the amount of \$3 Million to commence design of the proposed building utilizing Populous Architects. Populous Architects (formerly HOK Sport) completed the preliminary programming and planning for a proposed Basketball Development Center including the relocation of the soccer performance field.

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Identification of program elements, a site survey and geotechnical tests were included as part of the preliminary study to enable the university to finalize site selection and basic building parameters.

At the completion of the site analysis, it was determined that the new building will be located on the site of Memorial Field behind Gampel Pavilion along Stadium Road. On April 25, 2012, the Board granted permission for the University to demolish Memorial Stadium in preparation for the construction of the new Basketball Development Center. That work was completed in June 2012.

The construction documents and specifications are complete and were released for public bidding of trade packages in October by the Construction Manager at Risk, Daniel O'Connell and Sons.

The project budget includes an allowance to accommodate a late change to the building's entranceway. The allowance has been provided by the Construction Manager and reflects the estimated costs of this change. At this time, no impact to the project schedule is anticipated from this change.

Funding for the project continues to be provided through the Foundation via private financing to be repaid via philanthropy. The university intends to start construction as soon as possible in order to avoid winter impacts. The attached budget includes costs essential to design and construct the building and utilize the practice courts; however funds for equipment related to audio visual and strength and training, Hall of Fame memorabilia, and furniture for academic support and office functions are still being fundraised and therefore are outside this budget request. Those costs are estimated at this time to be between \$4-\$5 Million.

In June of 1999 the University issued a letter to the Foundation in connection with the construction of the Foundation Building and the Lodewick Visitors Center. It is anticipated that a similar letter from the University to the Foundation will be required by CHEFA in connection with the issuance of bonds for the Basketball Development Center.

Accordingly, it is requested that the University be authorized issue a letter required by CHEFA. The following list summarizes the substantive terms that were included in the prior letter and are likely to be required in connection with the financing of the Basketball Development Center:

1. The University will make each representation to the Foundation that the Foundation is required to make to CHEFA with respect to the University property, the activities of the University with respect to the University property and the use of the proceeds of the bonds with respect to the University property.

2. The University agrees to perform all the obligations of the Foundation with respect to the project and the use of the proceeds of the bonds to the extent the obligations related to the University property except for the payment obligation on the bonds.
3. The University will provide to the Foundation all documents and other information relating to the project that the Foundation is required to deliver to CHEFA or the Trustee of the bonds.
4. The University will permit the Foundation and CHEFA to enter and inspect the project.
5. The University assumes the obligations of compliance with environmental laws imposed by federal, state and local authorities that affect the University property or any business or activity conducted thereon, except for those businesses or activities conducted by the Foundation.
6. The University agrees that in the event \$33,000,000 is insufficient to pay costs associated with design and construction of the project, the University will pay for cost overruns. This overrun does not include furniture, fixtures, equipment, or any item associated with the Hall of Fame memorabilia.
7. In consideration of the Foundation having procured financing from CHEFA to enable the University to construct the Basketball Development Center, the University accepts responsibility for all losses and liabilities in connection with the project as it relates to the University property including tax regulatory compliance, environmental remediation and construction, but excluding those which result from the gross negligence, willful misconduct or intentional misrepresentation of the Foundation.

The Final Budget is attached for your consideration and approval.

Authorization to issue a letter to the Foundation to meet the requirements of CHEFA is also requested.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: BASKETBALL DEVELOPMENT CENTER

	APPROVED PLANNING 9/21/2010	PROPOSED FINAL 11/14/2012
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ -	\$ 27,806,450
DESIGN SERVICES	1,900,000	2,462,971
TELECOMMUNICATIONS	-	261,500
FURNITURE, FIXTURES AND EQUIPMENT*	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	200,000	853,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	8,000	7,500
INSURANCE AND LEGAL	2,000	2,000
MISCELLANEOUS	-	19,200
OTHER SOFT COSTS*	590,000	-
SUBTOTAL	\$ 2,700,000	\$ 31,412,621
PROJECT CONTINGENCY	300,000	1,587,379
TOTAL BUDGETED EXPENDITURES	\$ 3,000,000	\$ 33,000,000
<u>SOURCE(S) OF FUNDING</u>		
GIFTS	\$ 2,998,755	\$ 32,998,755
DEPARTMENTAL FUNDS - ATHLETICS	1,245	1,245
TOTAL BUDGETED FUNDING	\$ 3,000,000	\$ 33,000,000

*Does not include Furniture, Fixtures and Equipment.

Basketball Development Center Project Budget (Final) 11/14/2012

