

8-7-2013

## Agenda and attachments, 2013 August 7

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*Board of*



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TRUSTEES

VOL. 129 AUGUST 7, 2013

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

**AGENDA**

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

August 7, 2013

**BOARD OF TRUSTEES SCHEDULE OF THE DAY**

|            |  |
|------------|--|
| 8:30 a.m.  | Committee on Compensation Meeting (Portico)          |
| 9:00 a.m.  | Academic Affairs Committee Meeting                   |
| 9:30 a.m.  | Financial Affairs Committee Meeting                  |
| 10:15 a.m. | Buildings, Grounds and Environment Committee Meeting |
| 11:00 a.m. | Board of Trustees Meeting                            |

**BOARD MEETING AGENDA**

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

1. Public Participation
2. Chairman's Report
  - (a) Matters outstanding
  - (b) Minutes of the meetings of June 26 and July 24, 2013
  - (c) Consent Agenda Items:
    - (1) Contracts and Agreements for the Storrs-based programs (Attachment 1)
    - (2) Reimbursement of Moving Expenses Policy and Procedures (Attachment 2)
    - (3) Reimbursement of Recruitment Expenses Policy and Procedures (Attachment 3)
    - (4) Tenure at Hire (Attachment 4)
    - (5) Tenure Relocation (Attachment 5)
    - (6) Designation of Emeritus Status (Attachment 6)
    - (7) Sabbatical Leave Recommendations (Attachment 7)
    - (8) Appointment of Professor Preston A. Britner to the Philip E. Austin Endowed Chair in the College of Liberal Arts and Sciences (Attachment 8)
    - (9) Appointment of Professor Jeffrey S. Volek to the Dr. Robert C. and Veronica Atkins Endowed Chair in Personalized Approach to Lifestyle in the Neag School of Education (Attachment 9)
    - (10) Appointment of Professor Preston C. Green III to the John and Carla Klein Professorship for Urban Education in the Neag School of Education (Attachment 10)
    - (11) Appointment of Professor Jonathan A. Plucker to a "Neag Professorship" in the Neag School of Education (Attachment 11)
    - (12) Appointment of Professor Suzanne M. Wilson to a "Neag Professorship" in the Neag School of Education (Attachment 12)

- (13) Appointment of Professor Steven Wilf to the Anthony J. Smits Professorship of Global Commerce in the School of Law (Attachment 13)
  - (14) Approval of Proposed Changes to the *By-Laws of the University of Connecticut* (Article XIV – The University Staff, Section K – Retirement) (Attachment 14)
  - (15) Policy on Re-Employed Retirees (Attachment 15)
- (d) Informational item:
  - (1) Notification of Proposed Changes to the *By-Laws of the University of Connecticut* Regarding Aligning Current University Titles and Practices (Attachment 16)
- 3. President's Report
  - (a) Presentation: Recreational Center Update  
 Presenters: Executive Vice President and Chief Financial Officer Richard Gray  
 University Master Planner and Chief Architect Laura Cruickshank  
 Executive Director of Recreational Services Cynthia Costanzo
  - (b) Presentation: Innovative Partnership Building (Tech Park) Update  
 Presenters: Executive Vice President and Chief Financial Officer Richard Gray  
 University Master Planner and Chief Architect Laura Cruickshank
- 4. Academic Affairs Committee Report
  - (a) Report on Committee activities
  - (b) Informational item:
    - (1) Five-Year Review Centers and Institutes (Attachment 17)
- 5. Financial Affairs Committee Report
  - (a) Report on Committee activities
  - (b) Items requiring Board discussion and approval:
    - (1) Revised Spending Plan for Fiscal Year 2014 for the University of Connecticut, Storrs and Regional Campuses (Attachment 18)
    - (2) Settlement of the Advanced Technology and Incubator Building Roof Litigation (Attachment 19)
    - (3) Settlement of the Agricultural Biotechnology Laboratory and Greenhouse ("Ag-Bio") Building Roof Litigation (Attachment 20)
    - (4) Project Budget (Planning) for Hartford Relocation Acquisition/Renovation (Attachment 21)
    - (5) Project Budget (Planning) for Sewer Line Replacement – Storrs Road Pump Station (Attachment 22)
    - (6) Project Budget (Design) for Advanced Technology Laboratory and White Building Electrical & Generator Modifications (Attachment 23)
    - (7) Project Budget (Design) for Atwater Laboratory Electrical Service Project (Attachment 24)
    - (8) Project Budget (Design) for Beach Hall Renovations – Molecular Cell Biology Laboratory for New Faculty (Attachment 25)
    - (9) Project Budget (Design) for Gant Building Renovations – Data Center Stabilization (Attachment 26)



- (10) Project Budget (Design) for New Faculty Renovations – George C. White Building, Animal Science Lab (Attachment 27)
  - (11) Project Budget (Final) for Heating Plant Upgrade – Boiler Reliability Improvements (Attachment 28)
  - (12) Project Budget (Final) for Heating Plant Upgrade – Improve Condensate Return System (Attachment 29)
  - (13) Project Budget (3rd Revised Final) for Floriculture Greenhouse (Under Separate Cover)
- 6. Health Center Report
  - (a) Report on Health Center activities
  - (b) Items requiring Board discussion and approval:
    - (1) Spending Plan for Fiscal Year 2014 for the University of Connecticut Health Center (Under Separate Cover)
    - (2) Capital Spending Plan for Fiscal Year 2014 for the University of Connecticut Health Center (Under Separate Cover)
- 7. Joint Audit and Compliance Committee Report
  - (a) Report on Committee activities
- 8. Buildings, Grounds and Environment Committee Report
  - (a) Report on Committee activities
  - (b) Item requiring Board discussion and approval:
    - (1) Draft Record of Decision (RoD) for the Connecticut Environmental Policy Act Environmental Impact Evaluation of Potential Sources of Water Supply (Under Separate Cover)
- 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) Item requiring Board discussion and approval:
    - (1) Memorandum of Understanding between the University of Connecticut and the University of Connecticut Alumni Association for Fiscal Year 2014 (Attachment 30)
- 12. Committee on Compensation Report
  - (a) Report on Committee activities
- 13. Other business
- 14. Executive Session anticipated.
- 15. Adjournment

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

## **ATTACHMENT 1**

**CONTRACTS AND AGREEMENTS  
FOR APPROVAL  
August 7, 2013**

| PROCUREMENT - NEW        |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
|--------------------------|------------------------------------|-----------------|--|-------------------|------------------|--|-----------------------------------|--------------------|--------------------|--------------------|---|
| NONE                     |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| PROCUREMENT - AMENDMENTS |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| EVENT STAFFING           |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| No.                      | Contractor                         | Contract No.    | New Approval Amount  | Term              | Fund Source      | Program Director                                 | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
| 1                        | Contemporary Services Corporation  | UC-KA051908-8   | \$100,500<br>[Contract Previously Approved at \$1,449,000; Total New Contract Value \$1,549,500]                             | 09/01/08-12/31/13 | Multiple Sources | Matthew Larson, Director of Procurement Services | \$1,403,843                       | \$281,843          | \$244,000          | \$313,000          | Staffing for events on the Storrs campus, including athletic events and commencement. <b>Amend to increase contract value by \$100,500 for a total new contract value of \$1,549,500. Amend to extend term by four (4) months, to 12/31/13.</b> Zero (0) of three (3) one (1) year extensions remaining.  |
| NETWORK HARDWARE         |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| No.                      | Contractor                         | Contract No.    | New Approval Amount  | Term              | Fund Source      | Program Director                                 | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
| 1                        | NWN Corporation                    | UC-11-B001651-G | \$628,376<br>[Contract Value Previously Below Threshold for BOT Reporting; Total New Contract Value \$1,628,375]             | 07/07/10-06/30/14 | Multiple Sources | Nancy Bull, Vice Provost, Information Technology | \$608,375                         | \$518,000          | \$90,375           | \$0                | Operating system, network, and security hardware and services for all University campuses, including UCHC. <b>Amend to increase contract value by \$628,376, for a total new contract value of \$1,628,375. Amend to extend term by one (1) year, to 06/30/14.</b> One (1) of four (4) one (1) year extensions remaining.   |
| PROCUREMENT SERVICES     |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| No.                      | Contractor                         | Contract No.    | New Approval Amount  | Term              | Fund Source      | Program Director                                 | Total Expenditures as of 6/30/13  | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
| 1                        | Mitchell Planning Associates, Inc. | UC-14-JL030113  | \$2,015,000<br>[Contract Value Previously \$985,000, Below Threshold for BOT Approval; Total New Contract Value \$3,000,000] | 7/1/13-6/30/18    | Multiple Sources | Mathew Larson, Director of Procurement Services  | \$0                               | \$0                | \$0                | \$0                | Professional procurement services for the acquisition of medical, high-tech, information technology, research, and other equipment, and of furniture, for projects on all University campuses, including UCHC. <b>Amend to increase contract value by \$2,015,000, for a total new contract value of \$3,000,000.</b> \$1,500,000 of the contract value is reserved for UCHC projects and the remaining \$1,500,000 for projects in Storrs and all other University campuses. |
| TELECOMMUNICATIONS       |                                    |                 |  |                   |                  |  |                                   |                    |                    |                    |   |
| No.                      | Contractor                         | Contract No.    | New Approval Amount  | Term              | Fund Source      | Program Director                                 | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
| 1                        | AT&T/Custom Business Group, Inc.   | MA-B-03-006     | \$0<br>[Contract Previously Approved at \$5,872,972; Contract Value Remains the Same]  | 10/01/03-09/30/14 | Multiple Sources | Nancy Bull, Vice Provost, Information Technology | \$5,163,093                       | \$521,712          | \$541,789          | \$588,680          | Network services for landline communication services and teleconferencing services for all University campuses other than UCHC. Services are contracted through a DAS Master Contract. <b>Amend to extend term by one (1) year, to 09/30/14.</b> Two (2) of twelve (12) one (1) year extensions remaining.  |

## **ATTACHMENT 2**



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

August 7, 2013

TO: Members of the Board of Trustees

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

RE: Reimbursement of Moving Expenses Policy and Procedures

RECOMMENDATION:

That the Board of Trustees approve the Reimbursement of Moving Expenses Policy and Procedures.

BACKGROUND:

The University adopted a Reimbursement of Recruitment and Moving Expenses policy in 2003. Overtime, the policy has been reviewed and revised to meet applicable circumstances and procedures. Now, due to the increase in faculty hiring, it has been determined that the original policy should be divided and focused. Therefore, two new policies have been crafted to address the reimbursement of (1) recruitment expenses and (2) moving expenses.

The new policies address key issues, including recruitment expenses, tax liability, and items that may not be reimbursed under current University policy. The new policies also include specific guidance for departments, helping to facilitate smoother processing of payment as well as provide clarity in the recruitment and hiring processes.

Both policies grant departments the necessary flexibility to pay for or reimburse recruitment and moving expenses for faculty or management-exempt administrator positions.

The hiring process includes three phases: interview, offer and acceptance, and move. The final phase, the move, begins the date of the final one-way trip of the selected candidate and their family to their new residence prior to the start of employment. The move phase ends upon the day of arrival. Expenses incurred in connection with the move phase are reimbursable to the employee.

The full text of the Reimbursement of Moving Expenses Policy and Procedures is attached.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

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

# Reimbursement of Moving Expenses Policy and Procedures

## Reason for Policy

The University recognizes the competitive nature of the hiring process and therefore grants departments the flexibility to pay for or reimburse moving expenses for faculty or management-exempt administrator positions.

## Policy Statement

The hiring process includes three phases: interview, offer and acceptance, and move.

The final phase, the move, begins the date of the final one-way trip of the selected candidate and their family to their new residence prior to the start of employment. The move phase ends upon the day of arrival. As stated in more detail below, expenses incurred in connection with the move phase are reimbursable to the employee.

Individuals should refer to the Reimbursement of Recruitment Expenses Policy for guidance regarding appropriate payment or reimbursement of expenses related to the interview and offer and acceptance phases.

Consistent with IRS regulations the following are considered Nontaxable Expenses that are eligible for reimbursement, up to the amount authorized **in advance** by the hiring department in accordance with the limitations set forth in this policy.

1. Moving of household goods and personal effects (packing, crating and transporting);
2. Actual expenses for gas and oil OR Standard IRS moving mileage rate based on most direct route;
3. Parking fees;
4. Tolls;
5. Lodging for the employee and their immediate family while traveling from former residence to new residence, including the day of arrival (please refer to the Travel and Entertainment Policies and Procedures for guidelines regarding accommodations).
6. Storage of household goods after arrival; not to exceed 30 consecutive days after the day your things are moved from the former residence;
7. Airfare (please refer to the Travel and Entertainment Policies and Procedures for guidelines regarding approved class of travel);
8. Shipping of car;
9. Shipping of household pets;
10. Car rental through and including the day of arrival

The following are considered Taxable Expenses that are eligible for reimbursement, up to the amount authorized **in advance** by the hiring department in accordance with the limitations set forth in this policy. Reimbursement of Nonqualified Expenses is subject to withholding of

applicable income, social security and Medicare taxes; these expenses are included in taxable income and reported on the annual Form W-2.

1. Meals;
2. Lodging outside of the nontaxable time frame;
3. Storage of household goods outside of the nontaxable time frame;
4. Car rental outside of nontaxable timeframe.

The following expenses will **not** be reimbursed by the University:

1. Entertainment;
2. Side trips, sightseeing;
3. Violations (parking tickets, moving violations, etc.);
4. Return trips to former residence;
5. Expenses related to prior residence;
6. General repairs or maintenance of vehicle resulting from self-move.

If employment with the University ends prior to working at least 39 weeks full-time in the first year after arriving, he/she will be required to pay back the University for all moving expense reimbursements received.

Moving expenses are weighted by the rank of the position and the distance of the move (see table below).

The allowance for a particular move constitutes the **maximum** commitment for reimbursement of University and/or Foundation funds, rather than an entitlement of the employee.

## **Procedure**

All requests for moving expenses will identify the fund source, including any commitment to use private funds.

Reimbursements using UConn Foundation funds, or other private sources, will be remitted to the University and paid to the employee as if they were University funds and in accordance with this policy. Department funds may also be used to pay for moving expense reimbursements.

Payments exceeding the reimbursement schedule, or for purposes other than those herein specified, may be granted upon recommendation of the President or Provost. The President will recommend payment of any moving expenses for another Officer of the University to the Board, and the Chairman of the Board will make such recommendations for the moving expenses of the President.

The formula for determining the amount to be reimbursed is based on the rank of the position and on the distance of the move. The sum of these two represents the maximum reimbursement allowed.

| <b>Rank</b>                      | <b>Weight</b> | <b>Base</b> | <b>Rank Total</b> |
|----------------------------------|---------------|-------------|-------------------|
| Assistant Professor              | 1 x           | \$1000      | \$1000            |
| Associate Professor              | 2 x           | \$1000      | \$2000            |
| Professor                        | 3 x           | \$1000      | \$3000            |
| Dept. Head/Director/Assoc.<br>VP | 4 x           | \$1000      | \$4000            |
| Dean/Vice President              | 5 x           | \$1000      | \$5000            |

The distance factor is calculated on the mileage of the move as follows:

| <b>Mileage</b> | <b>Base</b> |
|----------------|-------------|
| ≤ 500 Miles    | \$350       |
| ≤ 1,000 Miles  | \$700       |
| ≤ 1,500 Miles  | \$1,050     |
| ≤ 2,000 Miles  | \$1,400     |
| ≤ 2,500 Miles  | \$2,100     |

After identifying a valid account number, department heads should sign and forward a written [request](#) for moving expenses to the dean/director for approval and signature.

Once Dean, Director or Department Head approval has been received, the department should notify the candidate of the approval and amount authorized.

The candidate may then proceed in either of the following ways:

#### **A. Direct Payment by the University**

The University has contracts with moving companies, who bill the University directly up to the approved amount. See appendix A for a list of approved moving companies.

Departments wishing to use one of these movers should follow the procedure below:

1. The department should provide the employee with the contract vendors' names and telephone numbers and instruct them to obtain a written and signed quotation. The quotation must include a statement of the departure and destination points for the move. All approved vendors offer a "not to exceed" quote with some limitations.
2. The employee should forward the quotation to their department, indicating their vendor preference. (The University assumes no liability for damage or loss, and because the employee is personally responsible for expenses exceeding the amount approved by the University, vendor selection is the employee's decision).
3. The department should obtain a signed copy of the quotation, a signed copy of the moving expense request form, and enter a requisition into KFS identifying the selected vendor, the



amount the University will pay, the moving date, and the departure/destination points. Once Procurement Services receives all required information, a purchase order will be issued.

4. A purchase order will be sent to the selected company authorizing it to invoice the University up to the amount approved. All charges in excess will be the employee's responsibility.

## **B. Reimbursement**

The employee may, if so desired, make arrangements with a moving company of his/her choice or self-move. Employees may request reimbursement of out of pocket expenses up to the amount authorized by this policy and for other permissible items. A Request for Reimbursement of Moving Expenses and Moving Expense Reimbursement form (ME13) should be completed by the Department for approval by the Dean, Director or Department Head. The Department Head's signature acknowledges that the expenses requested are reimbursable under this policy. Departments should forward these forms and original receipts to the appropriate office to obtain the second approval signature. Reimbursement requests that do not have the required two signatures will not be processed.

The Dean, Director or Department Head will forward the approved package to the Payroll Department, which will review the documents to ensure compliance with this policy. Taxes will be applied for any portion of the authorized reimbursement that is taxable as described in this policy.

NOTE: As described in this policy, employees will be reimbursed for the shortest, most direct route available. Travel incurred for side trips or vacations en route, etc. may proportionally reduce the amount reimbursed.

July 2013

## Appendix A

| Contract Mover  | Address   | Phone   |
|---|---|---|
| Nationwide (North American) (Discount = 66%)<br>Contact: Lee Pearlman | 100 Peters Road<br>Bloomfield, CT 06002                     | (860) 243-9555 X224<br>(860) 243-4334 – FAX<br><a href="mailto:lee.pearlman@nationwidemovers.com">lee.pearlman@nationwidemovers.com</a> |
| William B Meyers<br>(Discount = 65%)                                  | 225 Long Beach Blvd.<br>Stratford, Ct. 06615, CT 06050      | (800) 873-6393 X215<br>(203) 375-1624 – FAX<br><a href="mailto:bcoughlin@williambmeyer.com">bcoughlin@williambmeyer.com</a>             |
| Siracusa Moving & Storage<br>(Discount = 68%)                         | 250 Commerce Circle<br>New Britian, CT 06050                | (800) 222-1399<br>(860) 225-4023 – FAX<br><a href="mailto:dbutler@siracusamoving.com">dbutler@siracusamoving.com</a>                    |
| Graebel Van Lines<br>(Discount = 66%)                                 | 33 Stiles Lane<br>North Haven, CT 06473<br>Attn: Judy Benay | (800) 373-8591 x-215<br>(203) 288-5581 – FAX<br><a href="mailto:mscullion@graebel.com">mscullion@graebel.com</a>                        |

Note: The contracted movers provide replacement cost insurance at no additional charge up to \$75,000. More information regarding the coverage per pound should be directed to the moving company.

## **ATTACHMENT 3**



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

August 7, 2013

TO: Members of the Board of Trustees

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

RE: Reimbursement of Recruitment Expenses Policy and Procedures

RECOMMENDATION:

That the Board of Trustees approve the Reimbursement of Recruitment Expenses Policy and Procedures.

BACKGROUND

The University adopted a Reimbursement of Recruitment and Moving Expenses policy in 2003. Over time, the policy has been reviewed and revised to meet applicable circumstances and procedures. Now, due to the increase in faculty hiring, it has been determined that the original policy should be divided into separate policies addressing recruitment and moving expenses, respectively. Therefore, two new policies are proposed, addressing the reimbursement of (1) recruitment expenses and (2) moving expenses.

The new policies address key issues, including recruitment expenses, tax liability, and items that may not be reimbursed under current University policy. The new policies also include specific guidance for departments, helping to facilitate smoother processing of payment as well as provide clarity in the recruitment and hiring processes.

Both policies grant departments the necessary flexibility to pay for or reimburse recruitment and moving expenses for faculty or management-exempt administrator positions.

The hiring process consists of three phases: the interview phase, the offer and acceptance phase, and the move phase. The interview and offer and acceptance phases constitute the recruitment process. Depending on the phase, payments vary and are subject to different tax rules.

The full text of the Reimbursement of Recruitment Expenses Policy and Procedures is attached.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

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

# **Reimbursement of Recruitment Expenses Policy and Procedures**

## **Reason for Policy**

The University recognizes the competitive nature of the recruitment and hiring process, and, therefore, grants departments the flexibility to pay for or reimburse recruitment expenses for faculty or management-exempt administrator positions.

The hiring process consists of three phases: the interview phase, the offer and acceptance phase, and the move phase. The interview and offer and acceptance phases constitute the recruitment process. For expenses incurred in connection with the move phase, please see the Reimbursement of Moving Expenses Policy. Depending on the phase, payments vary and are subject to different tax rules.

This policy allows for reimbursement and/or direct pay of one trip per recruitment phase. Reimbursements for additional visits must be authorized by the President and/or Provost.

## **The Interview Phase Policy Statement**

The interview phase commences upon the first interview and ends upon extension of a written offer to the candidate. The date the request to hire is submitted is considered the extension of a written offer.

Any department seeking to recruit for a position of sufficient importance may, with the approval of the Dean, Director or Department Head, pay full or partial travel expenses of candidates who must travel to interview for the position. All costs of the interview are the responsibility of the department.

Following approval by the Dean, Director or Department Head, the department may proceed with arrangements for interviews. All candidates should be advised of allowable expenses prior to the interview. Payments or reimbursements for companions during the interview phase are not permitted.

The University's Travel and Entertainment Policies and Procedures apply to candidate searches. Costs for airline tickets may be charged to the University contracted travel agency. Please refer to the University's Travel and Entertainment Policies and Procedures for additional information regarding approved class of travel.

## **Procedure**

Prior to the candidate's visit to the University, or as soon as feasible, the sponsoring department should set up the candidate as a vendor using the Vendor Create process in the Kuali Financial System (KFS). After the vendor has been created and the trip has been completed, a Disbursement Voucher needs to be initiated by the department. Payment will be disbursed by the Accounts Payable Department after appropriate routing and approval through KFS. Claims for reimbursement must be itemized and original receipts supporting all claims must be included. The following information should also be included in the Disbursement Voucher:

1. Vendor Number
2. Date of interview
3. Title of position
4. Search number

5. Itemization of expenses
6. KFS Account Number and Object Code to be charged
7. All supporting receipts must be scanned and attached to the Disbursement Voucher in KFS

## **The Offer and Acceptance Phase Policy Statement**

The offer and acceptance phase occurs between the date of the extension of a written offer and the move phase, which is defined as the final one-way trip of the selected candidate and their family to the primary duty station prior to the start of employment.

Once the job offer has been extended, and with the approval of the Dean, Director or Department Head, the following offer and acceptance related expenses may be requested for reimbursement for the employee and one immediate family member defined as a spouse or child:

1. Transportation (please refer to Part 2 and Part 3 of the Travel and Entertainment Policies and Procedure.
2. Lodging (please refer to Part 4 the Travel and Entertainment Policies and Procedures for guidelines regarding accommodations)
3. Meals (please refer to Part 5 of the Travel and Entertainment Policy and Procedure)

Such expenses incurred in connection with the offer and acceptance phase are considered Nonqualified (Taxable) Expenses subject to withholding of applicable income taxes, social security and Medicare taxes. Reimbursements are included in taxable income and reported on the annual Form W-2. Any expenses incurred through any direct pay vendor, including Nathan Hale Inn or any contracted University booking agencies for air travel, need to be properly classified and reported to the Payroll Department as taxable income by the University department incurring the cost for the expenses or sponsoring the search.

## **Procedure**

Requests for reimbursement of expenses incurred during the offer and acceptance phase should be submitted to the Payroll Department on the Recruitment Expense Reimbursement- RE form. The Payroll Department will review the request to ensure compliance with this policy. Reimbursement requests that do not have the required two signatures will not be processed.

All claims for expense reimbursement must be supported by original receipts. Payment will be included in the employee's paycheck.

Please Note: Reimbursements using UConn Foundation funds, or other private sources, will be remitted to the University and paid to the employee as if they were University funds. Departments are permitted to supplement the cost of recruitment expenses from their own departmental funds.

## **ATTACHMENT 4**

**PROMOTION AND TENURE RECOMMENDATIONS  
UNIVERSITY OF CONNECTICUT – COLLEGE OF LIBERAL ARTS & SCIENCES  
PRESENTED TO THE BOARD OF TRUSTEES – August 7, 2013**

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**Effective August 7, 2013:**

|               |                   |
|---------------|-------------------|
| Paul Herrnson | Political Science |
|---------------|-------------------|

**Effective August 23, 2013:**

**TENURE AS PROFESSOR**

|               |                   |
|---------------|-------------------|
| Kenneth Foote | Geography         |
| Peter Zarrow  | History           |
| Jerzy Weyman  | Mathematics       |
| Zehra Arat    | Political Science |

**TENURE AS ASSOCIATE PROFESSOR**

|              |                   |                          |
|--------------|-------------------|--------------------------|
| Jane Gordon  | Political Science |                          |
| Eric Brunner | Public Policy     | (Revised effective date) |

**Effective August 23, 2014:**

**TENURE AS PROFESSOR**

|              |            |
|--------------|------------|
| Dorit Bar-On | Philosophy |
|--------------|------------|



## **ATTACHMENT 5**

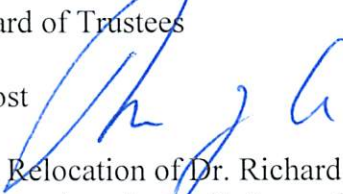


University of Connecticut  
*Office of the Provost*

Mun Y. Choi, Ph.D.  
*Provost & Executive Vice  
President for Academic Affairs*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Provost 

RE: Approval of Tenure Relocation of Dr. Richard A. Wilson from the  
Department of Anthropology in the College of Liberal Arts and  
Sciences to the School of Law

RECOMMENDATION:

That the Board of Trustees approve the tenure relocation of Dr. Richard A. Wilson from the Department of Anthropology in the College of Liberal Arts and Sciences to the School of Law.

BACKGROUND:

Dr. Richard A. Wilson is the Gladstein Chair of Human Rights, the Co-Director of the Human Rights Institute, and holds a joint appointment with the Department of Anthropology in the College of Liberal Arts and Sciences and the School of Law. Dr. Wilson currently holds tenure in the Department of Anthropology. Dr. Wilson's tenure relocation will enhance offerings and help foster synergies between the Law School and Storrs. Dr. Wilson's tenure relocation is supported by Timothy Fisher, Dean of the School of Law and Jeremy Teitelbaum, Dean of the College of Liberal Arts and Sciences.

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## **ATTACHMENT 6**

**University of Connecticut Department of Human Resources  
Emeritus Retirees  
August 7, 2013 Board of Trustees Meeting**

| <b>NAME</b>            | <b>TITLE</b>            | <b>DEPARTMENT</b>       | <b>SCHOOL/COLLEGE</b>   | <b>RETIREMENT</b> |
|------------------------|-------------------------|-------------------------|-------------------------|-------------------|
| Anderson, Elizabeth H. | Associate Professor     | Nursing Instr & Res     | School of Nursing       | 06/01/2012        |
| Calloway, Deborah      | Professor               | Law School Instr & Res  | School of Law           | 06/01/2013        |
| Frank, Harry A.        | Distinguished Professor | Chemistry               | Liberal Arts & Sciences | 06/01/2013        |
| Hiskes, Richard P.     | Professor               | Political Science       | Liberal Arts & Sciences | 08/01/2013        |
| Jambeck, Thomas E.     | Associate Professor     | English                 | Liberal Arts & Sciences | 06/01/2013        |
| Mallett, Ronald L.     | Professor               | Physics                 | Liberal Arts & Sciences | 06/01/2013        |
| Manning, Jr., John J.  | Associate Professor     | English                 | Liberal Arts & Sciences | 06/01/2013        |
| McGavran, Dennis R.    | Associate Professor     | Mathematics             | Liberal Arts & Sciences | 06/01/2013        |
| Neafsey, Patricia J.   | Professor               | Nursing Instr & Res     | School of Nursing       | 06/01/2013        |
| Osleeb, Jeffrey P.     | Professor               | Geography               | Liberal Arts & Sciences | 09/01/2013        |
| Parks, Cheryl A.       | Professor               | Social Work Instr & Res | School of Social Work   | 07/01/2013        |
| Paul, Jeremy R.        | Professor               | Law School Instr & Res  | School of Law           | 07/01/2013        |
| Peters, Thomas B       | Program Director        | VP Grad Edu & Dean      | VP Grad Educ & Dean     | 08/01/2013        |
| Pickering, Samuel F.   | Professor               | English                 | Liberal Arts & Sciences | 09/01/2013        |
| Sewall, Murphy A.      | Professor               | Marketing Dept          | School of Business      | 07/01/2013        |
| Silander, Jr., John A. | Professor               | Ecology & Evol Biology  | Liberal Arts & Sciences | 07/01/2013        |
| Worcester, Wayne A.    | Professor               | Journalism              | Liberal Arts & Sciences | 06/01/2013        |

## **ATTACHMENT 7**

University of Connecticut Office of the Provost  
Sabbatical Leave Recommendations Requiring Board of Trustees Approval  
August 7, 2013 Board of Trustees Meeting

**CHANGES TO PREVIOUSLY APPROVED SABBATICAL LEAVES:**

| <b><u>NAME</u></b>   | <b><u>TITLE</u></b> | <b><u>DEPARTMENT</u></b> | <b><u>SCHOOL/COLLEGE</u></b>       | <b><u>PAY</u></b> | <b><u>PERIOD</u></b>       |
|----------------------|---------------------|--------------------------|------------------------------------|-------------------|----------------------------|
| J.C. Beall           | Professor           | Philosophy               | College of Liberal Arts & Sciences | Full              | Spring 2014<br>Spring 2015 |
| Bontly, Thomas D.    | Associate Professor | Philosophy               | College of Liberal Arts & Sciences | Full              | Fall 2013<br>Spring 2014   |
| Cao, Qing            | Assistant Professor | Management               | School of Business                 | Full<br>Half      | Spring 2014<br>CY 2014     |
| Dudden, Alexis       | Professor           | History                  | College of Liberal Arts & Sciences | Full              | Fall 2013<br>Spring 2015   |
| Kirk, Darcy          | Professor           |                          | School of Law                      | Full              | Summer 2013<br>TBD         |
| Rock, Constance      | Associate Professor | Music                    | School of Fine Arts                | Full              | Fall 2013<br>Fall 2014     |
| Schlund-Vials, Cathy | Associate Professor | English                  | College of Liberal Arts & Sciences | Full              | Fall 2013<br>Fall 2014     |
| Tilton, Robert S.    | Professor           | English                  | College of Liberal Arts & Sciences | Full              | Spring 2009<br>Spring 2014 |

**SABBATICAL LEAVE REQUESTS:**

**Semester at Full Pay**

| <b><u>NAME</u></b>         | <b><u>TITLE</u></b> | <b><u>DEPARTMENT</u></b>            | <b><u>SCHOOL/COLLEGE</u></b>       | <b><u>PAY</u></b> | <b><u>PERIOD</u></b> |
|----------------------------|---------------------|-------------------------------------|------------------------------------|-------------------|----------------------|
| Brown, Scott W.            | Professor           | Educational Psychology              | Neag School of Education           | Full              | Spring 2014          |
| Caner, Daniel              | Associate Professor | History                             | College of Liberal Arts & Sciences | Full              | Spring 2014          |
| Cardetti, Fabiana          | Associate Professor | Mathematics                         | College of Liberal Arts & Sciences | Full              | Spring 2014          |
| Casamayor-Cisneros, Odette | Assistant Professor | Literatures, Cultures and Languages | College of Liberal Arts & Sciences | Full              | Spring 2014          |
| Craemer, Thomas            | Associate Professor | Public Policy                       | College of Liberal Arts & Sciences | Full              | Spring 2014          |

|                        |                     |                                       |  |      |             |
|------------------------|---------------------|---------------------------------------|--|------|-------------|
| Davis, John            | Professor           | History                               | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Diaz-Marcos, Ana Maria | Assistant Professor | Literatures, Cultures and Languages   | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Erickson, Pamela I.    | Professor           | Anthropology                          | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Gascon, Jose           | Associate Professor | Chemistry                             | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Gomes, Miguel          | Professor           | Literatures, Cultures and Languages   | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| van der Hulst, Harry   | Professor           | Linguistics                           | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Li, Xinxin             | Assistant Professor | Operations and Information Management | School of Business                         | Full | Spring 2014 |
| Love, Cathleen T.      | Professor           | Extension                             | College of Agriculture & Natural Resources | Full | Spring 2014 |
| Malcolm, Barris        | Associate Professor |                                       | School of Social Work                      | Full | Spring 2014 |
| Negrone, Lirio K.      | Associate Professor |                                       | School of Social Work                      | Full | Spring 2014 |
| Nyholm, Spencer        | Assistant Professor | Molecular and Cell Biology            | College of Liberal Arts and Sciences       | Full | Spring 2014 |
| Saugera, Valerie       | Assistant Professor | Literatures, Cultures and Languages   | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Shea, Thomas F.        | Associate Professor | English                               | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Staples, Megan         | Associate Professor | Curriculum & Instruction              | Neag School of Education                   | Full | Spring 2014 |
| Swadlow, Harvey        | Professor           | Psychology                            | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Wallace, Michael       | Professor           | Sociology                             | College of Liberal Arts & Sciences         | Full | Spring 2014 |
| Yan, Xiaodong          | Associate Professor | Mathematics                           | College of Liberal Arts & Sciences         | Full | Spring 2014 |

**Academic Year at Full Pay**

| <b><u>NAME</u></b> | <b><u>TITLE</u></b>     | <b><u>DEPARTMENT</u></b> | <b><u>SCHOOL/COLLEGE</u></b> | <b><u>PAY</u></b> | <b><u>PERIOD</u></b>  |
|--------------------|-------------------------|--------------------------|------------------------------|-------------------|-----------------------|
| Maresh, Carl M.    | Distinguished Professor | Kinesiology              | Neag School of Education     | Full              | AY Spring & Fall 2014 |

## **ATTACHMENT 8**



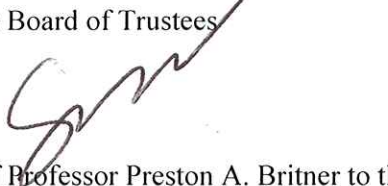


University of Connecticut  
*Office of the President*

Susan Herbst  
President

August 7, 2013

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Appointment of Professor Preston A. Britner to the Philip E. Austin Endowed Chair in the College of Liberal Arts & Sciences

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Preston A. Britner to the Philip E. Austin Endowed Chair.

BACKGROUND:

Dr. Preston A. Britner is a renowned scholar, a generous and respected teacher, a dedicated institutional citizen and, as one of his referees attests, he has the gift of being able to “take research and theory and use it for the public good.” The purpose of the Austin Chair is to honor a scholar in the social sciences who has amassed a distinguished research record in policy-relevant research (in such areas as education, health, housing, and environmental protection), and is respected as an educator of both students at the University of Connecticut and of the Connecticut citizenry more generally.

Professor Britner holds a joint appointment in the Department of Human Development and Family Studies in the College of Liberal Arts and Sciences and in the Department of Educational Psychology in the Neag School of Education. He earned his Ph.D. in Developmental Psychology from the University of Virginia and has been on the UConn faculty since 1997. Professor Britner is a University Teaching Fellow, a Fellow of the American Psychological Association, Editor Emeritus of *The Journal of Primary Prevention*, the 2011 UConn AAUP Service Excellence Award winner, a 2008 recipient of the Connecticut Youth Services Administration’s Award for Legislative Advocacy, and an active contributor to UConn, state, and federal policy initiatives.

As the second holder of the Austin Chair, Professor Britner plans to focus on solutions to a few specific social problems at the intersection of policy, social sciences, and education. His own policy-relevant research has included efforts to divert youth from formal state systems (e.g., juvenile justice) into community-based therapeutic and educational interventions. His current federally funded project involves the integration of child welfare and housing approaches and systems to improve outcomes for families with child in foster care (or at imminent risk for foster care).

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## **ATTACHMENT 9**



University of Connecticut  
*Office of the President*

Susan Herbst  
*President*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Susan Herbst

RE: Appointment of Professor Jeffrey S. Volek to the Dr. Robert C. and Veronica Atkins  
Endowed Chair in Personalized Approach to Lifestyle in the Neag School of Education

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Jeffrey S. Volek to the Dr. Robert C. and Veronica Atkins Endowed Chair in Personalized Approach to Lifestyle in the Neag School of Education.

BACKGROUND:

Dr. Jeff Volek teaches and leads a research team that explores the physiological impact of various dietary and exercise regimens and nutritional supplements in the Neag School of Education's Department of Kinesiology. Dr. Volek's most significant line of work has been a series of studies aimed at better understanding of what constitutes a well-formulated and low carbohydrate diet and the physiological impact on obesity, body composition, fatty acid composition and lipoprotein metabolism, gut microbiome, adaptations to training and overall metabolic health. This line of work has shown profound effects of ketogenic diets on overall health and well-being, as well as peak performance. He has published more than 250 peer-reviewed manuscripts, many of which were longitudinal interventions of carbohydrate restricted diets. Specific to low carbohydrate diets, Dr. Volek has authored/co-authored four books, 60 peer-reviewed manuscripts and reviews, and delivered over 100 invited presentations on low carbohydrate diets in several countries at scientific and industry meetings. Through more than a decade of research dedicated to better understanding low carbohydrate diets, Dr. Volek has accumulated an enormous amount of laboratory and clinical data on how carbohydrate restricted diets affect human physiology, and acquired a unique knowledge pertaining to the individualization and formulation of safe, effective and sustainable low carbohydrate diets.

The Dr. Robert C. and Veronica Atkins Endowed Chair in Personalized Approach to Lifestyle in the Department of Kinesiology and Neag School of Education will be supported by the Dr. Robert C. and Veronica Atkins Endowment for a three-year term.

The Board of Trustees established the Chair at their meeting on April 24, 2013.

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## **ATTACHMENT 10**




University of Connecticut  
*Office of the President*

Susan Herbst  
*President*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Appointment of Professor Preston C. Green III to the John and Carla Klein Professorship for Urban Education in the Neag School of Education

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Preston C. Green III to the John and Carla Klein Professorship for Urban Education in the Neag School of Education.

BACKGROUND:

Dr. Preston C. Green III was formerly the Harry Lawrence Batschelet II Chair of Educational Administration and professor-in-charge of the Educational Leadership Program within the College of Education at The Pennsylvania State University. Dr. Green's scholarship is evident in his accomplishments and academic reputation, as he has published numerous selected books, book chapters, publications in refereed journals, law reviews, and articles in the area of educational policy, leadership and urban education.

Dr. Green is eminently qualified to hold this Professorship due to his expertise in educational policy, law and urban education. With his outstanding research and scholarship, Dr. Green furthers the outstanding Educational Leadership Department in the Neag School of Education. Dr. Green is an expert in both educational policy and law, and, in particular, the area of equity, race and school reform. His background uniquely qualifies him to advance our efforts in closing the achievement gap in Connecticut.

This Carla Klein Endowed Professorship in Urban Education will be supported by the John and Carla Klein Endowment. The Board of Trustees established the Professorship at their meeting on August 3, 2011.

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## **ATTACHMENT 11**





University of Connecticut  
*Office of the President*

Susan Herbst  
*President*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Susan Herbst

RE: Appointment of Professor Jonathan A. Plucker to a "Neag Professorship" in the Neag School of Education

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Jonathan A. Plucker to a "Neag Professorship" in the Neag School of Education.

BACKGROUND:

Jonathan A. Plucker, Ph.D., was a Professor of Educational Psychology and Cognitive Science at Indiana University, where he directed the Center for Evaluation and Education Policy since 2003. In his capacity as director of the Consortium for Education and Social Science Research, he coordinated efforts to strengthen research across the social sciences. In 2011, he became the Director of the National School Choice Resource Center, funded by the U.S. Department of Education to promote empirically-based strategies for expanding public school choice.

In addition, Dr. Plucker's research interests include program evaluation and education policy, creativity and intelligence, and talent development, and he has written over 150 publications on these topics. Current areas of research, which have been supported by over \$30 million in external funding, include excellence gaps among talented students and evaluations of school choice programs. He is especially interested in studying these issues across cultures, with a focus on U.S.-China comparisons.

Furthermore, Dr. Plucker has received a number of awards for his work, including from the American Psychological Association, Phi Delta Kappa, and the National Association for Gifted Children. He became an AAAS Fellow in 2011, and he will be the 2012 recipient of the APA Rudolf Arnheim Award for Outstanding Achievement in research related to the psychology of creativity. He was also recently ranked as one of the Top 100 most influential academics in the area of education policy. His work has been widely mentioned in the media, including CNN, *The Wall Street Journal*, *The New York Times*, and *Newsweek*.

The Board of Trustees approved the renaming of the Neag Professorship on September 28, 2011. This Neag Endowed Professorship will be supported by the Neag Endowment.

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## **ATTACHMENT 12**



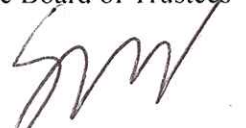


University of Connecticut  
*Office of the President*

Susan Herbst  
*President*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Appointment of Professor Suzanne M. Wilson to a "Neag Professorship" in the Neag School of Education

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Suzanne M. Wilson to a "Neag Professorship" in the Neag School of Education.

BACKGROUND:

Dr. Suzanne M. Wilson was a University Distinguished Professor at Michigan State University, where she served as Chair and Professor in the Department of Teacher Education. Prior to joining the faculty at MSU, Dr. Wilson was the first director of the Teacher Assessment Project, which developed prototype assessments for the National Board for Professional Teaching Standards. Dr. Wilson is a committed teacher, having taught undergraduate, M.A., and doctoral classes in educational policy, teacher learning, and research methods. She has directed 20 dissertations, and served as a committee member on another 25. She currently is the advisor to over 20 doctoral students across the Department of Teacher Education and Education Policy Program. She also served as founding director of the Center for the Scholarship of Teaching, and conceptualized and launched the College of Education's Award for Excellence and Innovation in Teaching, which is awarded every year to accomplished COE faculty and doctoral students.

In addition, she has collaborated on several large-scale research projects, including the National Center for Research on Teacher Education, the Educational Policy and Practice Study, and the National Partnership for Excellence and Accountability in Teaching. She has written on teacher knowledge, curriculum reform, educational policy, and teacher learning.

The Board of Trustees approved the renaming of the Neag Professorship on September 28, 2011. This Neag Endowed Professorship will be supported by the Neag Endowment.

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## **ATTACHMENT 13**



University of Connecticut  
*Office of the President*

Susan Herbst  
*President*

August 7, 2013

TO: Members of the Board of Trustees  
FROM: Susan Herbst  
RE: Appointment of Professor Steven Wilf to the Anthony J. Smits Professorship of Global Commerce in the School of Law

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Steven Wilf to the Anthony J. Smits Professorship of Global Commerce in the School of Law.

BACKGROUND:

The goal of the Anthony J. Smits Professorship for Global Commerce is "to permit the School of Law to attract or retain a nationally or internationally recognized scholar and teacher who has made significant contributions to the field of Global Commerce." Professor Steven Wilf, who joined the UConn faculty in 1999, is a prolific scholar and holds a J.D. and Ph.D. in History from Yale. During the last academic year, he published an edited book of essays, *Intellectual Property Law and History*, three book chapters and a law review article. In addition, he is rapidly becoming a preeminent and internationally known scholar in Intellectual Property. Professor Wilf has lectured at the World Intellectual Property Organization (WIPO) in Geneva, participated at a roundtable on intellectual property law at the Hebrew University in Jerusalem, and he has presented papers at the International Society for the History and Theory of Intellectual Property Law (ISHTIP) in London. Professor Wilf has also distinguished himself as an instructor, teaching Intellectual Property, Criminal Law and seminars, such as Comparative Intellectual Property, that have grown out of his scholarship and academic presentations.

This professorship, a seven-year term, will provide an annual travel fund of \$5,000 per year and a \$5,000 supplement to any summer stipend Professor Wilf is awarded as part of the annual summer research competition now conducted at the Law School.

This endowed professorship was approved by the Board of Trustees on February 28, 2012.

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## **ATTACHMENT 14**





University of Connecticut  
*Office of the Provost*

Mun Y. Choi, Ph.D.  
*Provost & Executive Vice  
President for Academic Affairs*

August 7, 2013

TO: Members of the Board of Trustees  
FROM: Mun Y. Choi, Provost  
RE: Approval to Amend the *By-Laws of the University of Connecticut*

NOTIFICATION:

It is recommended that the Board of Trustees amend the *By-Laws of the University of Connecticut* Article XIV – The University Staff, Section K – Retirement.

BACKGROUND:

The *By-Laws of the University of Connecticut* may be amended at any regular meeting of the Board by a recorded majority of all members of the Board, provided that notice of any proposed amendment, including a draft thereof, shall have been given at the previous regular meeting. This document represents such notice and the resolution calling for the described amendments should be acted upon at the next meeting of the Board. Notification of proposed changes, following an initial posting at the September 28, 2011, occurred at the Board of Trustees meeting.

The Board is being asked to revise the language of Article XIV, The University Staff, Section K, Retirement, to align the University's practice of granting emeritus status to retiring members of the University community, most notably, faculty, with the practices of other major public research universities around the country.

The proposed changes were approved by the Faculty Standards Committee of the University Senate, the UCHC *Ad Hoc* Committee on the Granting of Emeritus Status, and the University Senate.

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

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#### Article XIV, Section K. Retirement

1. A faculty member's decision to retire is understood to be an individual one, but in the interests of continuity and proper academic planning, it is expected that the faculty member will give notice of his/her plans at the earliest opportunity.
2. Any member of the faculty, who at the time of retirement is at the University of Connecticut and either retires under the provisions of the State Retirement Act or the Alternate Retirement Plan, may be awarded emeritus status. Also eligible is any member of the faculty who retires from an affiliated institution and whose promotion to the rank of Professor in the School of Medicine or School of Dental Medicine was based on scholarship after review by the Senior Appointments and Promotions Committee, Dean, and Provost.

Appointment to emeritus status requires a positive ~~by~~ vote of the Board of Trustees or Health Center Board of Directors (for faculty members with primary appointments in the School of Medicine or School of Dental Medicine). Candidates may be presented to the appropriate Board when both be awarded emeritus status provided that one of the following conditions ~~is~~ are met:

- a. The faculty member holds the rank of full professor or equivalent title (e.g. Senior Extension Educator) ~~has served at least 25 years at collegiate institutions including at least five years~~ at the University of Connecticut.
- b. The faculty member has ~~attained the rank of full professor~~ served at the University of Connecticut for at least five years at this rank.

There shall be a standing University of Connecticut Retirement Committee. Faculty members who do not meet ~~ing either both~~ conditions described in Section 2a ~~or~~ and Section 2b above may become emeriti by vote of the Board of Trustees or the Health Center Board of Directors following recommendation of the President and the Retirement Committee. Other professional staff are also eligible for this designation following recommendation of the President and the Retirement Committee.

3. It is in the interest of the University that faculty emeriti, ~~as defined in paragraph two,~~ continue their scholarly, teaching, and/or service activities. The University encourages the maintenance of informal and scholarly contacts between emeriti-retired faculty members and their active colleagues and ~~will endeavor to~~ may provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources ~~at the time.~~ Deans and department heads, where appropriate, may invite emeriti for professional activities such as lecturing, serving on academic committees, and advising students.

## **ATTACHMENT 15**



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

August 7, 2013

TO: Members of the Board of Trustees

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

RE: Policy on Re-Employed Retirees

RECOMMENDATION:

That the Board of Trustees approve the attached revised policy on re-employed retirees which establishes the conditions under which the University may employ retirees of the State of Connecticut.

BACKGROUND:

The revised policy continues to provide central oversight and approval of the use of retirees, limits the number of years during which a retiree may be re-employed, limits the number of days a retiree may work in a calendar year and provides further guidelines for determining compensation for rehired retirees .

The mission of the University of Connecticut requires we ensure that our students receive the instruction, academic support, health services, security, and programming for which they've paid. It includes clinical services and patient care, not only to the public but also to the State's correctional population. As a research university and recipient of federal grants, we have significant contractual and compliance obligations to our granting agencies. It is within this context the University uses re-employed retirees to meet a variety of needs at a cost savings to the University and the State of Connecticut. The University generates more than 70% of its own budget and must ensure that it staffs its operations in a cost effective manner.

The use of re-employed retirees permits assignment of experienced and at times uniquely qualified individuals with proven abilities to meet immediate, temporary and seasonal staffing needs. The ability to retain particular expertise in the classroom or the need to tap into the knowledge and expertise of a former employee supported by extramural funding may also be served by the use of reemployed retirees.

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The revisions strengthen the central oversight and approval process of the use of rehired retirees. For these reasons the University recommends the attached revised policy permitting employment of retirees for limited purposes.

The full text of the revised policy is attached.

# **Re-Employed Retirees, Policy on**

## **BACKGROUND**

The mission of the University of Connecticut requires we ensure that our students receive the instruction, academic support, health services, security, and programming for which they have paid. It includes clinical services and patient care, not only to the public but also to the State's correctional population. As a research university and recipient of federal grants, we have significant contractual and compliance obligations to our granting agencies.

It is within this context the University uses re-employed retirees to meet a variety of needs at a cost savings to the University and the State of Connecticut. The use of re-employed retirees permits assignment of experienced and at times uniquely qualified individuals with proven abilities to meet immediate, temporary, seasonal and ongoing irregular staffing needs. The ability to retain particular expertise in the classroom or the need to tap into the knowledge and expertise of a former employee supported by extramural funding may also be served by the use of re-employed retirees.

## **GENERAL POLICY**

Re-employed retirees may be used on a limited basis when the operational requirements and financial benefits outweigh the use of regular, continuing employment categories or when ongoing staffing requirements cannot be fully determined. Re-employed retirees should generally not be funded by the state appropriation and are not eligible for annual salary adjustments.

Re-employed retiree appointments will be reviewed annually by the appropriate member of the President's Cabinet and Human Resources to assess the continued operational needs and to ensure conformance with the Policy. Proposals to re-employ retirees into senior administrative positions require prior review and approval by one of the following or his/her designee: the President, Provost, Executive Vice President for Administration & Chief Financial Officer, or the Executive Vice President for Health Affairs.

Examples of appropriate uses for re-employed retirees include:

- Maintain faculty with unique, specialized knowledge and skills where qualified replacements cannot be immediately recruited or where it is financially beneficial for the University to maintain their expertise
- Provide qualified staff on a temporary or project basis when part or full-time positions are neither operationally sufficient or financially beneficial
- Prevent the loss of potential revenues generated on newly acquired grants or contracts
- Mitigate against a threat to patient or public safety
- Meet immediate and essential staffing needs required by accrediting agencies, e.g. JCHAO, DPH or other regulatory bodies

- Secure the expertise of uniquely qualified researchers or staff in support of extramural funding or established grant projects when the individual's compensation is fully supported by external resources
- Cover contractually or legally mandated leaves of absence, e.g. FMLA
- Provide clinical coverage to reduce use of agency staff through ongoing float positions

Any questions regarding this policy should be directed to the appropriate Human Resources liaison for clarification or assistance.

## **ADDITIONAL INFORMATION FOR SPECIFIC POSITION TYPES**

### *General Administrative Positions*

Based on the Governor's Executive Order, the compensation rate for individuals rehired into the same position in which the individual just retired should not exceed 75% of the individual's pre-retirement pay for 120 days of work. The compensation rate for individuals rehired into different jobs from which they retired from should be consistent with the assigned duties to be performed and should not exceed the established University or State of Connecticut minimum salary for the job classification.

Re-employed retirees hired to perform general administrative support will be limited to no more than three 120-day calendar year periods. Re-employed retirees hired for seasonal work may be continued to be re-employed beyond three years provided their appointments each calendar year are not longer than three months.

### *Instructional/Research Positions*

The compensation rate for individuals rehired into the same position in which the individual just retired should generally not exceed 75% of the individual's pre-retirement pay for 120 days of work. Teaching a maximum of 12 load credits per calendar year is equivalent to 120 days per calendar year. The compensation rate for individuals rehired into different jobs from which they retired from should be consistent with the assigned duties to be performed and should not exceed the established University or State of Connecticut minimum salary for the job classification.

Faculty and other staff who primarily perform research activities as re-employed retirees and are self-funded by grants and/or contracts will be limited to the period of time for which they receive external funding supporting their own appointment and compensation. Grant and/or contract funded retirees shall be compensated at a rate consistent with the salary terms of the grants and/or contracts. Such appointments may be extended for the term of the research funding.

### *Clinical Positions*

The compensation rate for individuals rehired into the same position in which the individual just retired should generally not exceed 75% of the individual's pre-retirement pay for 120 days of work. The compensation rate for individuals rehired into different jobs from which they retired

from should be consistent with the assigned duties to be performed and should not exceed the established University or State of Connecticut minimum salary for the job classification or the market rate for certain per diem positions.

Re-employed retirees hired to perform clinical duties will generally be limited to no more than three 120-day calendar year periods. However, certain per diem, float and direct patient care positions may be considered for additional employment based on clinical need.

Approved by the Board of Trustees: April 21, 2009

Revised: February 21, 2013

## **ATTACHMENT 16**

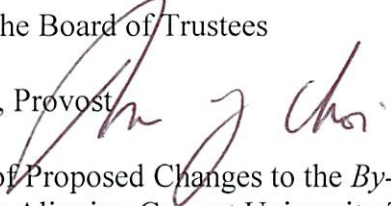


University of Connecticut  
*Office of the Provost*

Mun Y. Choi, Ph.D.  
*Provost & Executive Vice  
President for Academic Affairs*

August 7, 2013

TO: Members of the Board of Trustees

FROM: Mun Y. Choi, Provost 

RE: Notification of Proposed Changes to the *By-Laws of the University of Connecticut*  
Regarding the Aligning Current University Titles and Practices

NOTIFICATION:

It is recommended that the Board of Trustees amend the *By-Laws of the University of Connecticut* regarding aligning current University Titles and Practices.

BACKGROUND:

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

The proposed amendments will align the University By-Laws with the current titles and practices of the University. Some of these changes include the updating of senior administrative titles, ex-officio membership of the University Senate, and the faculty and name of The Graduate School.

For the information of the Board, also attached is the original language of the University By-Laws, with indications of the proposed amendments.

*An Equal Opportunity Employer*

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**BY-LAWS  
OF THE  
UNIVERSITY OF CONNECTICUT**

**ARTICLE I – Board of Trustees**

The functions of the Board of Trustees are legislative and not executive. The Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds. It shall be the duty of each Trustee to participate in all meetings.

**ARTICLE II – Organization of the Board of Trustees**

- A.** The corporate authority of the University of Connecticut is vested in a Board of Trustees.
- B.** Election of officers of the Board shall be conducted once a year.
- C.** The yearly schedule of regular meetings of the Board of Trustees shall be filed in advance in the Office of the Secretary of the State, as required by Statute. Prior written notice of any change in the scheduled time or location of a regular meeting shall be published and filed as required by Statute.
- D.** Special meetings of the Board of Trustees shall be called by the Chair upon the request of at least five members.
- E.** A written notice of regular meetings shall be sent to each member at least one week before the date set for the meeting.

Special meetings may be held no less than twenty-four hours after officially requested. Notice of special meetings shall specify the time and place of the meeting and the business to be transacted. Written notice of special meetings must be delivered to each Board member prior to the special meeting.

Emergency meetings may be convened at any time without formal notice requirements.

- F.** A majority of the current membership of the Board shall constitute a quorum for the transaction of all business.
- G.** Ordinarily, the last Board meeting of the spring semester shall be the regular meeting for the recommendations by the Provost and Executive Vice President for Academic Affairs for promotion of faculty members and for the award of academic tenure. Appointments to positions not leading to tenure and reappointments of those in probationary positions do not require prior action by the Board, but will be reported to them.

### **ARTICLE III – Rules of Procedure and Order of Business of the Board of Trustees**

- A.** General parliamentary rules, except as modified by the rules and regulations of the Board, shall be observed in conducting the business of the Board in session. Members may participate in Board and Committee meetings by speakerphone.
- B.** So far as practicable, the order of business for regular meetings of the Board shall be set by the Secretary to the Board and shall follow a standard format.
- C.** Recommended adjustments to tuition and fees shall be developed and presented to the Board for action during the academic year. Prior to making such recommendations, the process shall provide an opportunity for campus community comment upon the recommended actions.

#### **D. Public Participation**

Under the conditions described below, the Board shall hear brief oral presentations from members of the public who wish to express views on issues pending before the Board or on other issues of concern to the University. The agenda for each regular public meeting of the Board shall allot up to thirty minutes for this purpose:

- 1. Requests to address the Board shall be made to the Chair or the Executive Secretary of the Board prior to the public meeting. In signing up to address the Board, each speaker shall specify the topic on which he/she wishes to remark.
- 2. The Chair of the Board shall recognize each speaker in the order of signing up, shall request proper identification, and shall use discretion in requiring adherence to such individual and total time limits as will permit the orderly progress of the Board through its agenda.
- 3. At a special meeting of the Board, comment by members of the public shall be limited specifically to the subject described in the call of the special meeting.

### **ARTICLE IV – Officers of the Board of Trustees**

- A.** The officers of the Board of Trustees, apart from the Governor, who is President *ex officio*, shall be a Chair, Vice-Chairs, and a Secretary.
- B. The duties of the Chair shall be as follows:**
  - 1. To call special and emergency meetings of the Board when necessary.
  - 2. To preside, in the absence of the Governor, at all meetings.

The Chair is privileged to make or discuss motions and to vote on all questions.



- C. The chairs of all standing committees shall be designated vice-chairs of the Board of Trustees. At the Board's annual organization meeting, the Chair of the Board of Trustees shall designate a vice-chair who shall act for the Chair of the Board of Trustees in case of his/her absence or incapacity.
- D. **The duties of the Secretary shall be as follows:**
1. To notify all members of the Board of Trustees of all regular meetings at least one week in advance.
  2. To call meetings of the Board in the absence of the Chair and vice-chair designated by the Chair to act in his/her absence.
  3. To call meetings of the Board in case the Chair fails to do so, upon receipt of a request of at least five members of the Board.
  4. To keep a record of all meetings and transmit a copy of the minutes of each meeting to every member of the Board at least one week prior to the next meeting.

#### **ARTICLE V – Committees of the Board of Trustees**

- A. The Board shall act as a committee of the whole on all matters requiring action with the exception of those listed in items B, C.1., D, and E below.
- B. **Executive Committee**
1. *Membership*  
The Executive Committee shall consist of the Board Chair and the chairs of all the Board's standing committees. The President shall serve as an *ex officio* nonvoting member. The Chair of the Board shall chair this committee. A simple majority shall constitute a quorum. It shall meet at such times as deemed necessary by the Chair.
  2. The Executive Committee shall exercise in emergencies all the authority of the Board of Trustees, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations.
  3. The committee shall not preempt the Board except in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and shall report to the full Board any action taken at the next regular meeting of the Board.
- C. The Board may appoint from time to time such special or standing committees as may be necessary to make studies or preliminary investigations necessary for determining Board action. Special committees are automatically discharged when their reports are acted upon by the Board or when the Board determines no action is warranted.

1. The standing committee charged with review of matters related to buildings, grounds, and environment may take action on behalf of the Board under emergency circumstances when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations. Such actions shall be reported to the full Board at its next regular meeting.
- D.** The committee of the Board of Trustees having cognizance over financial matters is authorized to buy and sell securities and the Chair of this committee is authorized to instruct the Executive Vice President for Administration and Chief Financial Officer or the University Controller to execute the necessary assignment.
- E.** A standing committee shall be established with jurisdiction over the University of Connecticut Health Center, the Schools of Medicine and Dental Medicine and the John Dempsey Hospital, and its core administrative units.
1. The name of the committee will be "Board of Directors of the University of Connecticut Health Center."
  2. *Authority*
    - a. The Board of Directors is authorized to approve the following:
      - i. Grants, contracts, and indemnifications.
      - ii. Compensation plans and labor contracts.
      - iii. Faculty promotion, tenure, reappointments, and sabbatical leaves.
      - iv. Medical staff appointments.
      - v. Adjudication of all issues including, but not limited to, faculty grievances related to award of promotion, tenure, reappointments, compensation, and merit or incentive pay.
      - vi. Staffing levels.
      - vii. Business contracts and arrangements.
      - viii. General operating policies and by-laws related to operations, administration, and clinical affairs.
      - ix. Space allocations.
      - x. Strategic planning.
      - xi. New academic programs or the elimination of academic programs.
      - xii. Changes in by-laws of the Schools of Medicine and Dental Medicine.

- b. The Board of Directors will act in an advisory capacity to the Board of Trustees in the following areas:
  - i. Annual operating budget.
  - ii. Annual capital budget.
  - iii. Changes in the fundamental mission of the University of Connecticut Health Center.
  - iv. Development and fundraising program.
  - v. Declaration of fiscal exigency, closure of academic departments, and/or changes in policies related to tenure.
  - vi. Any areas set forth in state statute that specifically require the Board of Trustees to act as a committee of the whole.

3. *Membership*

The Board of Directors of the University of Connecticut Health Center shall have 18 members.

a. *Terms*

With the exception of the President of the University, the Secretary of the Office of Policy and Management, and the Commissioner of the Department of Public Health, members will serve for three year staggered terms. Members may serve a maximum of two full terms as a regular member plus a maximum of two additional terms when serving as an officer. Initial appointment to fill the balance of a vacant term shall not count toward the maximum of two full terms. Officers will include the Chair, vice-chair/secretary, and treasurer.

b. *Appointment process*

- i. One member appointed by the Chair of the Board of the Trustees. This member will chair the Board of Directors.
- ii. Two members from the Board of Trustees appointed by the Chair of the Board of Trustees.
- iii. The President of the University. This appointment runs co-terminus with the position of the President.
- iv. Three members appointed by the Governor.
- v. The Secretary of the Office of Policy and Management or a deputy undersecretary designated by the Secretary. This appointment runs co-terminus with holding the position of Secretary.
- vi. The Commissioner of the Department of Public Health. This appointment runs co-terminus with holding the position of Commissioner.

- vii. Nine additional members to be selected by a nominating committee. The members of the nominating committee will be chosen by the Board of Directors and shall include the Chair of the Board of Trustees and the Executive Vice President for Health Affairs as voting members.

#### 4. *Subcommittees*

The Board of Directors may establish standing subcommittees or ad hoc committees as needed.

##### a. Membership

- i. The Board of Directors shall appoint the members of its subcommittees.
- ii. With the exception of the Peer Review Committee, a minimum of one-half of the voting membership shall be comprised of Board of Directors members.
- iii. The Board of Directors may appoint non-voting members to its subcommittees.

##### b. Peer Review Committee

- i. The Peer Review Committee will also be known as the “Joint Conference Committee.”
- ii. The sole topics of discussion shall be those that require confidentiality protection.
- iii. Peer Review Activities  
The Board of Directors functions in some of its activities as a Medical Review Committee conducting peer review as defined in Chapter 368a of the Connecticut General Statutes, as amended from time to time. When acting as a Medical Review Committee, the Board reviews and acts on reports or recommendations from peer review committees of the hospital or medical staff and participates in the evaluation of the quality and efficiency of health care services ordered and performed, including, but not limited to, review of the credentials, qualifications and activities of medical staff members, or applicants; evaluating and improving the quality of health care services rendered; analyzing clinical practices within the hospital; reviewing studies of utilization and medical audits; reviewing studies of morbidity and mortality; and reviewing analysis of sentinel events or potential claims. When the Board, or its officers, committees or subcommittees on its behalf, participate in these or similar studies, reviews, discussions, and actions, the Board is a Medical Review Committee conducting peer review. Proceedings of such peer review activities conducted by the Board, including data and information gathering, analyses, and reporting by authorized individuals for the primary purpose of these peer review activities, as well as minutes and other documents from meetings or portions of meetings addressing peer review, shall be kept strictly confidential.
- iv. Reports of the Peer Review Committee shall be presented to the Board of Directors in executive session only.

c. Authority of subcommittees

The subcommittees will report to the Board of Directors. The Board of Directors may delegate selected duties and authority as it deems necessary and appropriate to a subcommittee if such authority is approved at any regular meeting of the Board of Directors by a recorded majority vote.

**F. Membership on Committees other than the Board of Directors of the University of Connecticut Health Center**

1. The Board of Trustees may appoint individuals who are not Trustees to be voting or non-voting members of its committees provided that a majority of the voting membership of all committees shall be comprised of Board of Trustees members. The Board may specify a term for any such appointments.
2. As to any Board action which is permitted to be taken by a committee of the Board on behalf of the Board, the presence of a quorum for such matter and the vote on any such matter will be determined on the basis of only the Trustee members of the committee.

**ARTICLE VI – President of the University**

**A.** The President is the chief executive of the University. In this capacity, the President is responsible for carrying out and enforcing all policies and regulations adopted by the Board for the operation of the University and is given authority requisite to that end.

**B.** The President may participate in all discussions in Board meetings, but shall not vote. The President is an *ex officio* member of all committees of the Board, but shall not vote.

**C. The duties of the President shall be as follows:**

1. To attend all meetings of the Board except when the Board requests otherwise.
2. To submit to the Board from time to time such recommendations and information concerning any phase of University policy or administration as may seem necessary to the best interests of the University.
3. To appoint, direct, and guide those members of the University staff who report to him/her.
4. To call and preside over meetings of the University Senate.
5. To oversee the development, implementation, and regular updating of the University's Strategic Plan.
6. To appoint such committees as he/she deems necessary and define their duties.
7. To act as the official medium of communication between the Board of Trustees, University officers, and staff members.

8. To sign diplomas of students certified for graduation.
9. To summarize and coordinate the budget estimates submitted by schools, colleges, divisions, and departments, and in consultation with the Provost and Executive Vice President for Academic Affairs and the Vice Presidents, prepare a budget adjusted to the income and the needs of the University.
10. To preserve at the University all papers and records ordered on file by the Board.
11. To present to the Board for prior approval the annual budget for each fiscal year.
12. To be the official representative of the Board of Trustees in all matters affecting the University which come before the General Assembly.
13. To be the official representative of the Board of Trustees in all matters affecting the University, which involve other departments of State Government or relations with the Federal Government.
14. To provide leadership in external relations, development, and fundraising.
15. To prepare such reports as are required by the Board, the State, and the Federal Government.
16. To make such organizational changes in University structure as does not affect degree programs or majors and report these matters to the Board at the next Board meeting. All actions involving the degree programs and the structure of schools and colleges will be brought to the Board for approval.

**D. The Division of Athletics is directly responsible to the President**

It is the function of the Division of Athletics:

1. To organize and carry out programs of athletic sports activities intended to meet the health and recreational needs of students and staff members.
2. To cooperate with the Department of Student Health Services in determining the students whose athletic and sports activities should be especially restricted.
3. To foster athletic and sports activities in line with good health and citizenship between this institution and competing institutions and in the whole area of public relations.

**E. The President shall consult with the senior officers of the University and such other members of the administration as he/she may convene, on matters of University policy and procedure as he/she feels appropriate.**

**ARTICLE VII – The Provost and Executive Vice President for Academic Affairs, the Executive Vice Presidents, and the Vice Presidents**

- A.** The Provost and Executive Vice President for Academic Affairs, the Executive Vice Presidents, and the Vice Presidents report to the President. They shall give direction and assistance to the deans and directors with respect to their administrative duties and shall accept such other responsibilities as may be assigned to them by the President.

**B. Provost and Executive Vice President for Academic Affairs**

1. The Provost and Executive Vice President for Academic Affairs (hereafter referred to as ‘the Provost’) is the chief academic officer and, in this capacity, is responsible for managing the academic operations of the University. He/she also coordinates the formulation of policies and administration of all schools, colleges, divisions, institutes, and regional campuses of the University.
2. *The Provost shall:*
  - a. Serve as Acting President in the absence of the President and be a member of the President’s cabinet.
  - b. Attend all meetings of the Board of Trustees, except when the Board requests otherwise. He/she may participate in discussions, but shall not vote.
  - c. Appoint those members of the University faculty and staff who report to him/her.
  - d. Preside at meetings of the Council of Deans.
  - e. Be a member of the University Senate; preside in the absence of the President at its meetings; interpret in collaboration with the President its By-Laws, rules, and regulations; administer its rules and regulations in consultation with the Senate; and the Provost, or his/her designee, be a member of all its standing committees.
  - f. Be a member of the faculties of all Schools and Colleges.
  - g. Be responsible for University catalogs.
  - h. Conduct such studies and promote such activities in the University in those components of the University under his/her supervision, as will result in effective educational and research programs.
  - i. Disseminate among members of the University faculty and staff such information as will promote the understanding, integration, and coordination of the education program of the University.
  - j. Approve the selection and adjustment in service of all personnel under his/her jurisdiction and make recommendations for promotion and/or tenure to the Board of Trustees or the Board of Directors, as appropriate.

- k. Eliminate so far as possible unnecessary overlapping and duplication in the offerings, functions, and services of the academic parts of the University.
- l. Evaluate the effectiveness of personnel in the teaching, research, and administrative programs.
- m. Assist deans and directors of divisions in preparing budgets and recommend budgets and budget adjustments for the several schools, colleges, and divisions to the President.
- n. Serve as the appellate tribunal for students or staff members in appeals from decisions of deans or directors. The Provost, or his/her designee, shall serve as the appellate tribunal for decisions made within the parameters of the *Student Code of Conduct*, which would result in the suspension or expulsion of a student.
- o. Arrange the schedule for regular meetings of the faculties of schools and colleges and preside at such meetings.
- p. Interpret the by-laws, rules, and regulations of the schools and colleges.
- q. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.
- r. Direct the negotiation and administration of faculty collective bargaining agreements in collaboration with the Executive Vice President for Administration and Chief Financial Officer.
- s. Provide executive leadership for the University's information technology initiatives and organization.

#### **C. Executive Vice President for Health Affairs**

The Executive Vice President for Health Affairs may also be the Dean of the School of Medicine. He/she is the executive director of the University's Health Center and chief operating officer, except for those operations that report to the Provost, subject to policies established by the Board of Trustees. At all times, he/she is responsible and accountable to the President for the implementation and execution of administration at the University Health Center.

- 1. The Executive Vice President for Health Affairs is the coordinator of the University's programs of health care performed by the University Health Center, including the Schools of Medicine and Dental Medicine, and the John Dempsey Hospital. He/she is responsible to the President for the coordination and formulation of policies and administration of administrative, business, budget, finance, and other support departments of the University Health Center.



2. *The Executive Vice President for Health Affairs shall:*

- a. Be a member of the President's cabinet ~~and the University Senate.~~
- b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
- c. Appoint those members of the University staff who report to him/her.
- d. Be a faculty member in the Schools of Medicine and Dental Medicine.
- e. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
- f. Assist in preparing budgets and recommend budgets and budget adjustments for those units that report to him/her.
- g. Be responsible for all monies and funds of the University Health Center regardless of their source. He/she shall make provision for the safekeeping of such monies and funds and an accurate accounting of their receipt and expenditure.
- h. Submit regular reports to the President and to the Board of Trustees showing the financial condition of the University Health Center and all of its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University Health Center.
- i. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University Health Center.
- j. Serve as the appellate tribunal for staff members in appeals from decisions of staff supervised by him/her.
- k. In collaboration with the Executive Vice President for Administration and Chief Financial Officer, supervise the negotiation of collective bargaining agreements for the faculty and the professional staff at the University Health Center and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.
- l. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.

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

1. The Executive Vice President for Administration and Chief Financial Officer is the chief administrative and financial officer of the University. This position reports to the President.

- a. He/she is responsible for overseeing long-range financial planning and management of the operating and capital budgets for all units of the University. Working closely with the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents, the Executive Vice President for Administration and Chief Financial Officer oversees capital and operating budget development, monitoring, and reporting; coordinates operating and capital budgets in conformity with policies set forth by the Board of Trustees; develops financial policy and plans; serves as point of contact for external agencies and partners on financial matters; acts as the President's representative on financial matters to University units and constituencies; and generally promotes the financial health and stability of the University.
  - b. He/she is responsible for overseeing construction, renovation, operation, logistics, and security of the University's physical plant; human resources, labor relations, and payroll; purchasing; business services; and public and environmental safety. He/she is responsible for the formulation of strategy and policies to ensure effective administration, sound business practices, safety and regulatory compliance within these areas in conformity with policies established by the Board of Trustees; serves as the University's point of contact for external agencies and partners on business and operational matters; acts as the President's representative on business and operational matters to University units and constituencies; and generally promotes the operational excellence of the University.
2. *The Executive Vice President for Administration and Chief Financial Officer shall:*
- a. Be a member of the President's cabinet and the University Senate.
  - b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
  - c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
  - d. Assist the President in the preparation of the University budget and coordinate the activities of the Provost, the Executive Vice President for Health Affairs, the Vice Presidents, and other University officers in preparation of those components of the budget that are under their jurisdiction.
  - e. Be responsible for all monies and funds of the University, regardless of their source. He/she shall provide for the safekeeping of such monies and funds and keep an accurate accounting of their receipt and expenditure.
  - f. Ensure the timely completion of combined University of Connecticut financial statements. Submit regular reports to the President and, through the President, to the Board of Trustees showing the financial condition of the University and all of its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University.

- g. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University.
- h. Manage and coordinate the University's responsibilities pertaining to bond financing of capital projects.
- i. Provide support to the President, the Provost, the other Vice Presidents, and those reporting to the Office of the President by providing fiscal planning, coordination, and financial analysis.
- j. Oversee or monitor the execution of major financing agreements.
- k. Administer such support units of the University as the President may designate.
- l. Assist the President in preparation of strategic and tactical operations, plans and initiatives, and coordinate the activities of the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents in the preparation of similar plans for operational units that are under their jurisdiction.
- m. Supervise the negotiation of collective bargaining agreements with all professional staff of the University and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.
- n. Be responsible for the development, renovation, maintenance, and safekeeping of the physical assets of the University, regardless of their source.
- o. Manage and coordinate the University's responsibilities pertaining to construction and renovation of facilities.
- p. Direct the University's purchasing and contracting programs.
- q. Provide support to the President, the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents in development of operational strategy, planning, coordination, and analysis.

#### **E. Vice President for Student Affairs**

1. The Vice President for Student Affairs is the chief student personnel officer of the University, and supervises the work of the Division of Student Affairs and the Division of Health Services, and reports to both the President and the Provost.
2. *The Vice President for Student Affairs shall:*
  - a. Be a member of the President's cabinet and the University Senate.
  - b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

- c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
- d. Assist deans, directors, and department heads in preparing budgets and recommend budgets and budget adjustments in his/her area to the Provost.
- e. Serve as an appellate agency for students or staff members in appeals from decisions of deans or department heads supervised by him/her.

#### **F. Vice President for Research**

1. The Vice President for Research is the University's chief research officer, reporting jointly to the President and Provost. Working closely with the President and the Provost, as well as other Vice Presidents and deans, the Vice President for Research is responsible for the research enterprise and the coordination of research-related operations across the University of Connecticut (i.e., its regional campuses, School of Law, School of Social Work, Graduate Business Learning Center, and University of Connecticut Health Center, including the School of Medicine and the School of Dental Medicine). The Vice President for Research oversees the Research Foundation, consistent with State Statute. He/she oversees the disbursement of funds acquired by the foundation from any source, for purposes of instruction, research, invention, discovery, development, or engineering for the dissemination of information related to such activities and for other purposes approved by the Board. The responsibilities of the Vice President for Research include compliance functions, sponsored programs, internal funding programs, animal research services, as well as overseeing several university research centers.

#### *2. The Vice President for Research shall:*

- a. Be a member of the President's cabinet and the University Senate.
- b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
- c. In consultation with the President, ~~and~~ Provost, and the Executive Vice President for Health Affairs, approve the selection and adjustment of service of all personnel under his/her jurisdiction.
- d. Provide executive leadership for the University's research ~~and—economic development~~ initiatives, including working with the President, Provost, the Executive Vice President for Health Affairs, and other Vice Presidents to create, implement, and regularly assess progress on a University-wide research agenda.
- e. Administer such centers and institutes related to research as the President, ~~and~~ Provost, and the Executive Vice President for Health Affairs may designate.
- f. Act as an advocate for the University's research enterprise and economic development initiatives to constituencies inside and outside the University.

- g. Manage the University's responsibilities pertaining to regulatory compliance in research activities.
- h. Oversee the execution of research grants and contracts.
- i. Oversee policies and administration of the University of Connecticut Research Foundation.

#### **G. Other Vice Presidents**

The President may establish other Vice President positions and define the duties of such positions in the best interest of the University. The President shall report the establishment of such positions to the Board.

### **ARTICLE VIII – The University Administration**

The administration of the University is determined in part by legislative enactment, in part by the Laws and By-Laws of the Board of Trustees, and in part by regulations made by the President, the University Senate, and the several faculties.

#### **A. Officers of Administration**

##### *1. Central*

a. President

b. Provost

b.c. Executive Vice Presidents

de. Vice Presidents

##### *2. Schools, Colleges, Divisions, Institutes and Centers, and Departments*

Each school, college, division, institute, and center shall have a dean or director. Each department shall have an executive officer (the head or chair).

Each administrative officer shall submit to the President such reports as are requested by the President.

#### **B. The Council of Deans**

- 1. The Council of Deans shall consist of the deans of the schools and colleges, and such others as the Provost deems appropriate. The Provost shall convene the Council.
- 2. The Council shall provide a forum in which the members may discuss matters of common interest.

#### **C. The Trustee-Administration-Faculty-Student Committee**

##### *1. Membership*

The Trustee-Administration-Faculty-Student (TAFS) Committee shall consist of the members of the committee of the Board of Trustees having cognizance over academic matters; the President; the Provost; the Vice Presidents; the members of the Senate Executive Committee; the President, Undergraduate Student Government; the President, Student Union Board of Governors; the Chair, Residence Hall Advisory Board; the President, Graduate Student Senate; and such other individuals serving in a non-voting capacity as may be designated.

The Chairperson of the TAFS Committee shall be chosen by the Committee at its first meeting each academic year.

2. *Functions*

The TAFS Committee shall serve as a conference committee to facilitate communication among the groups represented thereon, and shall serve as an advisory body to the Board of Trustees on matters where Board action is requested by faculty or student groups and on any others matters that the Board deems appropriate.

3. The TAFS Committee shall meet at least once a year with the first meeting called by the President. Subsequent meetings shall be convened by the chairperson of the TAFS Committee when he/she deems it necessary or at the request of constituent unit members.

## **ARTICLE IX – The University Senate**

There shall be a University Senate that shall be a legislative body for the purpose of establishing minimum rules and general regulations the educational program and mission of the institution, excluding the University of Connecticut Health Center, that are not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties. The University Senate shall be regularly consulted by the Administration on matters pertaining to the Senate's purview.

### **A. Membership**

The University Senate shall consist of *ex officio* and elected members. The *ex officio* members shall be the President, the Provost, all Vice Presidents, except the Executive Vice President for Health Affairs, and all Vice Provosts, ~~and the Chief Information Officer.~~ These *ex officio* members shall not vote.

The Senate shall contain ninety-one elected, voting members, as follows:

1. Three deans of the schools and colleges, which are Senate electoral constituencies (see Section B below).
2. Seventy-two members of the faculty elected according to one or the other of the two faculty electoral processes described in Section B.2. below.
3. Nine professional staff members elected by and from the constituencies described in Section B.3. below.
4. Five undergraduate students (see Section B.4 below).

5. Two graduate students (see Section B.5. below).

## **B. Elections**

The election of faculty and other staff members to the Senate shall normally be held between October and March and shall be conducted by secret ballot. A minimum of one week, excluding time when the University is in recess, shall be allowed between the distribution and collection of ballots for Senate elections. Those elected shall take office on July 1. All elections shall be in the charge of the Senate Executive Committee and the returns shall be certified by two inspectors of election selected by the Senate.

In any Senate election, persons eligible for election who feel unable to serve shall be given an opportunity to withdraw their names from the list of candidates for nomination. The names of those persons who have withdrawn, as well as the names of persons who are completing two consecutive terms, shall be indicated on the nominating ballot.

After the election, the number of votes received by those persons who were elected and the number of votes received by nominees who were not elected must be kept on file in the Senate Office.

The Senate Executive Committee shall retain on file the number of votes cast for each candidate in each constituency for each annual class whose term has not expired, and shall designate the available candidate with the highest vote at the last previous election in the proper constituency as the alternate to replace any senator whose place will be vacant in any semester because of resignation, retirement, or leave of absence from the University. Priority in case of tie votes shall be determined by lot. Such alternates shall be designated for up to one year at a time and at the beginning of the semester unless the vacancy occurs later.

When it is known that there will be a vacancy throughout the last year or last two years of a three-year term in a constituency not otherwise scheduled to participate in a regular annual election, then that constituency will participate in order to elect a replacement to serve for the one- or two-year period remaining in the unexpired term.

The term of office of a senator shall begin on July 1 and shall extend for one year in the case of student members and for three years in the case of other elected members. Senators shall be eligible for re-election, except that a member who has completed two consecutive three-year terms shall be ineligible for re-election to serve during the year which immediately follows the period of consecutive service (which may have been extended by virtue of election to the Senate Executive Committee).

1. The Deans shall constitute a constituency from which they will elect one member each year for a three-year term.
2. Two electoral processes for faculty membership in the Senate shall be followed, (a) constituency and (b) at-large. Faculty members shall not be eligible to stand for election or to vote in the first regular election following their initial appointment to the faculty.

### *a. Faculty constituency elections*

The voting members of the faculty (see Article X.A.) of each of the following units shall, for these purposes, be deemed an electoral constituency: College of Agriculture and Natural Resources, School of Business, Neag School of Education, School of Engineering, School of Fine Arts, School of Law, College of Liberal Arts and Sciences, School of Nursing, School of Pharmacy, School of Social Work, and the Avery Point, Hartford, Stamford, Torrington, and Waterbury Regional Campuses. A person who is a voting member of more than one faculty will belong to only one constituency, that of the faculty in which his or her principal appointment is held.

The number of senators to be elected from each constituency will be one for each thirty faculty members or major fraction thereof within that constituency, with the proviso that each school, college, or regional campus will have at least one senator. The faculty of a school, college, or regional campus that is thus allocated more than one senator will have the option of establishing non-overlapping sub-constituencies. Senators chosen from a constituency will be elected by and from among the members of that constituency. The determination of the proper number of senators to be allocated to each constituency will be reviewed annually by the Senate. The annual schedule for electing members from each constituency shall be determined by the Senate in such a way as to provide for the optimum staggering of three-year terms within each constituency and for a reasonable degree of uniformity in the total number of members to be elected each year from all constituencies. To achieve these objectives, when a constituency becomes eligible to elect an additional senator, the initial term may be limited to one or two years in order that succeeding three-year terms may begin in the most appropriate years.

b. *At-large elections*

The number of faculty elected at-large will be the number remaining after the number of senators to be elected from constituencies is subtracted from seventy-two. Senators chosen at-large will be elected by and from the faculty electoral constituencies.

No school/college shall have more than five faculty representatives elected at-large except the College of Liberal Arts and Sciences, which may have no more than fifteen.

3. The professional staff<sup>1</sup> members shall be elected according to procedures approved by the Provost and Executive Vice President for Academic Affairs from four constituencies as described below. Staff members are ineligible to stand for election or to vote in the first regular election following their initial appointment to the staff.

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<sup>1</sup> For University Senate constituency purposes, professional staff shall be defined as:

- I. Full-time (nine month or more) management exempt employees not included in the faculty or administrative constituencies.
- II. Full-time (nine month or more, non-student) professional staff represented by the professional employees collective bargaining unit and not included in the faculty constituency.
- III. Full-time (nine month or more, non-student) professional staff represented by the faculty collective bargaining unit but not included in the faculty constituency.



- a. Division of Student Affairs and Enrollment Planning and Management (excluding regional campuses), who shall elect two senators.
  - b. University libraries (excluding regional campuses), who shall elect one senator.
  - c. Regional campuses, who shall elect one senator.
  - d. All professional staff shall elect five at-large senators.
- 4. Undergraduate student members shall be appointed by the President of the Undergraduate Student Government according to procedures established by the Undergraduate Student Government.
  - 5. Graduate student members shall be appointed by the President of the Graduate Student Senate according to procedures established by the Graduate Student Senate.

### **C. Functions**

The University Senate is a legislative body for the purpose of establishing minimum rules and general regulations pertaining to the educational program and mission of the institution that are not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties.

The University Senate shall appoint ex-officio representatives to the Board of Trustees committees, with full participation in discussion but without vote. These representatives will have the same status at Board of Trustees meetings, with voice but without vote. When executive sessions are called only those persons whose presence is necessary to provide their opinion on the issue at hand will be invited into Executive Session.

The University Senate will make other appointments to University committees and boards as it deems appropriate.

### **D. Officers**

The President of the University shall be Chair of the University Senate. If the President chooses not to preside, the presiding officer shall be the Provost. A moderator shall be elected from the membership for an annual term beginning in September. At a meeting called at the request of at least twenty-five percent of the members, the presiding officer shall be the Chair of the Senate Executive Committee.

A recording secretary of the Senate, elected by the Senate, is responsible for recording and distributing minutes of Senate meetings.

### **E. Meetings**

Meetings of the University Senate shall be held regularly at times to be fixed by the Senate. The dates and times of meetings shall be published at the start of the academic year.

Special meetings of the University Senate may be called by the President or by the Secretary at the request of at least twenty-five percent of the members. Such request, with

signatures, shall be presented in writing to the Secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

On the request of any member of the Senate, if supported by four colleagues, a record vote shall be taken. These record votes shall be made a part of the minutes.

## **F. Minutes and Reports**

Minutes of the meetings of the University Senate shall be posted on the University Senate website and sent to the University Archives. The University Archives shall be the official place for filing minutes of the University Senate.

## **G. Committees**

### **1. The Senate Executive Committee**

The Senate Executive Committee (SEC) shall consist of eight faculty members, one professional staff member, and one undergraduate and one graduate student member. The faculty and professional staff members shall be elected by the Senate from among the elected members of the Senate who are not primarily administrators. Department heads and directors are not regarded as primarily administrators. The undergraduate and graduate members shall be selected from among and by all student members of the Senate. The Undergraduate Student Government and Graduate Student Senate Presidents or their student Senate member designee will serve as the interim student representatives to the Senate Executive Committee during the summer months until the permanent members are selected.

Elections shall follow the annual election of such members and shall normally take place in April. For faculty and professional staff members, a term of service on the Executive Committee shall begin on July 1 and shall be for three years. The term of membership in the Senate of a faculty or professional staff representative elected to the Executive Committee shall be automatically extended, if necessary, to be co-terminal. For the student member, the term of service shall be one year, renewable to a maximum of three consecutive years. After the annual election, the Senate shall elect one of the nine faculty and professional staff members to serve as Chair of the SEC for a one-year term, which may be renewed. A vacancy on the SEC shall be filled by election for the duration of the vacancy.

No school/college shall have more than one faculty representative elected in any class, except the College of Liberal Arts and Sciences, which may have as many as two representatives in any class. The College of Liberal Arts and Sciences may have no more than a total of four members on the SEC at any time and no other school/college may have more than two members at any time. No faculty or professional staff senator shall be eligible for immediate re-election to the SEC.

The SEC is responsible for organizing and coordinating the business of the Senate and of Senate committees. To this end, it shall maintain a clerical staff and an

office. It shall distribute an agenda for each Senate meeting to the faculty and professional staff at least five days before the meeting. (Items of an extraordinary nature may be considered at a Senate meeting which have not been included in the agenda for that meeting.) It shall receive the reports of Senate committees before they are forwarded to the Senate. It also shall be available to be consulted as the voice of the Senate, especially in reference to resolutions of the Senate, which are designed to be transmitted ultimately to the Board of Trustees. SEC members shall also constitute the faculty membership of the Trustee-Administration-Faculty-Student Committee (see Section VIII.C.).

2. Committee of Three

The Committee of Three, which functions in faculty dismissal and grievance procedures, is to be constituted as follows: Each fall, after the Senate election for the Faculty Review Board is completed, the Nominating Committee shall submit to the Senate for the election of one person to the Committee of Three for a three-year term by written ballot, a slate of at least three faculty members who are tenured professors (excluding those who have the administrative titles of department head or higher). The slate of nominees must not represent the same department as any member whose term continues into the following year. Members of the Faculty Review Board shall not be eligible for nomination.

When a vacancy occurs in the membership of the Committee of Three, the Senate shall elect in the same manner from the faculty group in which the vacancy exists, except if the vacancy is for less than one year, then it shall be filled by the available candidate with the highest vote in the last previous election in the appropriate class and constituency.

3. Standing/Special Committees of the Senate

The Senate may appoint and define the duties of standing or special committees. The Provost shall be or assign a delegate to be an *ex officio* member of all standing committees.

Each standing committee shall keep accurate records of its proceedings and shall provide these to the SEC. Reports shall be presented to the University Senate as often as the amount and nature of business warrants, and at least annually.

Special committees shall be considered as discharged, without formal vote, when their final reports have been received by the Senate.

## **ARTICLE X – The Schools and Colleges**

### **A. Membership**

The faculty of each school/college except ~~the~~ The Graduate School, the School of Medicine, and the School of Dental Medicine shall consist of the President, the Provost, the dean of the school/college, and all full-time professors, associate professors, assistant professors, and instructors belonging to departments administratively organized, regardless of campus affiliation, in the school/college and others who are appointed by the Provost either as voting members of the faculty or as associates and consultants without voting rights.

The faculty of ~~†~~The Graduate School shall include the President, the Provost, the Executive Vice President for Health Affairs, the Vice President for Research, and the Vice Provost for Graduate Education and Dean of ~~†~~The Graduate School, and all members of the University staff appointed as graduate advisors by the Provost.

The voting and non-voting faculty of the Schools of Medicine and Dental Medicine shall be defined in the by-laws of the schools and shall include the President, the Provost, the Executive Vice President for Health Affairs and the Dean of the school.

## **B. Functions**

The functions of each school/college are to:

1. Establish and maintain published policies and procedures, approved by the Provost in consultation with the President, describing the standards by which the school/college conducts its business.
2. Enforce the rules and regulations of the University Senate as they apply.
3. Establish degree programs in particular majors with the approval of the appropriate faculty, the dean of the school/college, the Provost, and the Board of Trustees.
4. Set up and administer curriculum and degree requirements appropriate to its mission and responsibility.
  - a. Standards more rigid or more specific than those outlined by the University Senate may be imposed by the school/college voting faculty. Standards less rigid or less specific than those approved by the University Senate may not be established.
  - b. Administer courses established by the Senate that serve to meet the curriculum requirements of the University. Establish and administer other courses in fields appropriate to the school/college provided that all courses open to freshmen and sophomores are approved by the Senate.
  - c. To suggest basic and prerequisite courses for the freshman and sophomore years and graduate programs, as appropriate.
  - d. Establish and administer other courses in fields appropriate to the school/college at the junior and senior years and graduate levels.
5. Set up admission requirements in line with the purpose and responsibility of the school/college and the University.
6. Plan and execute programs of research and service in line with the general policy of the University.
7. Monitor the academic progress of its students and assist them in educational planning and placement.
8. Maintain records and reports on students, staff, programs and services, and budget.

9. Integrate its program with the general program of the University and foster effective coordination of effort.
10. Secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.

In addition to the relevant functions above, ~~†~~The Graduate School facilitates graduate research and education at the University. It administers, promotes, and reviews all University post-baccalaureate educational programs and curricula, with the exception of programs in Law, Medicine, Dental Medicine, and the Sixth-year Professional Diploma in Education. It serves as an advocate for the University's research and scholarly mission.

### **C. Officers**

The Provost shall preside at meetings of the faculties of the several schools and colleges. In the absence of the Provost, the dean of the school/college concerned shall preside, or if the dean prefers, the faculty may elect a presiding officer.

The dean of each school/college shall be its executive officer. The dean shall be responsible to the Provost for the work and proper administration of the school/college.

Each school/college shall elect annually a secretary who will call faculty meetings to order in the absence of the Provost and the dean.

### **D. Meetings**

Meetings of the schools and colleges shall be held regularly. Special meetings of the schools/colleges may be called by the Provost, or by the secretary, at the request of at least twenty-five percent of the voting members. Such request, with signatures, shall be presented in writing to the secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

### **E. Minutes and Reports**

Minutes of the meetings of the schools/colleges shall be made available to the Provost and the faculty and sent to the University Archives. The University Archives shall be the official place for filing minutes of the school/colleges.

- F.** The Provost shall communicate in writing to the secretaries of the various schools/colleges and of the University Senate, insofar as they are mutually concerned, such actions by these bodies that will, impact the understanding, integration, and coordination of the academic program of the University.

### **G. Committees**

#### *1. Standing Committees*

The dean of each school/college shall appoint and define the duties of standing committees.

The Provost and the dean of the school/college concerned, or their designees, shall be *ex officio* members of all standing committees.

Each standing committee shall keep a record of actions taken and shall file copies with the President, the Provost, the University Archives, and the dean of the appropriate school/college. Reports shall be presented to the appropriate school/college by the committee chair, or designee, at least annually.

## **2. *Ad Hoc Committees***

Ad Hoc committees may be set up by the President, the Provost, the deans of schools/colleges, or the faculties of schools/colleges at any time. The members of ad hoc committees shall be selected by the appropriate dean unless the faculty specifies some other means of selection.

All ad hoc committees shall report to the authority that initiated their appointment and shall be considered as discharged, without formal vote, when their final reports have been made.

## **ARTICLE XI – The Divisions**

The Divisions are administrative units with programs that serve the entire university. Divisions must integrate their programs with the general mission of the University and foster effective coordination of effort. Divisions do not administer academic programs.

Each division shall have an executive officer who reports to the President, Provost, or Vice President. The executive officer is responsible for the administration of the division, including the hiring of personnel. Each executive officer shall keep adequate records of all personnel, programs, and budgets of the division and shall submit such reports as are required including an annual report to the Senate.

Each executive officer may have an advisory committee appointed by the President, the Provost, or appropriate Vice President. These committees are advisory to the executive officers of the divisions, and not to the Senate, nor are they responsible to the Senate.

Standing or ad hoc committees may be established by the President, the Provost, the Vice President or the executive officers as appropriate.

## **ARTICLE XII – The Institutes and Centers in Academic Affairs**

### **A. Functions**

The ability to make significant contributions to the University's teaching, research and outreach mission, and to solve increasingly complex problems, may be facilitated by interdisciplinary approaches that enable and encourage collaborative contributions from different disciplines. A center or institute provides a venue for activities that cannot flourish within existing academic structures. The goals of the center or institute should be

congruent with those of the institution and capable of enhancing the achievement of these goals more efficiently than existing departments.

A *Center* is a unit that ordinarily has a focused mission and a clearly defined objective. It may involve a group of faculty from one or more departments from a single school/college or from different schools/colleges.

An *Institute* is a unit that ordinarily is larger, has a broader mission, and a more complex interdisciplinary focus than a center. It is expected that most institutes would involve faculty from multiple departments and schools/colleges. Unlike centers, a primary mission of institutes is an academic one.

## **B. Membership**

Each institute or center shall consist of a director and a minimum of four affiliated faculty. The director will be appointed by the dean or other officer to whom the unit reports, in consultation with the Provost. The director shall be responsible for appointing any staff associated with the center or institute. Faculty appointments and consideration for promotion and/or tenure continue to be granted through academic departments of the University.

## **C. Reports**

Each institute or center must have clear lines of responsibility, usually through a dean to the Provost or to the Vice President for Research. Centers may be primarily responsible to a department head, if department heads of affiliated faculty and the relevant dean approve. Externally sponsored activities (e.g., research/training grants, donations/gifts, fees for services and contracts and letters of agreement) of institutes and centers must have prior approval from the responsible administrative officers.

All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University's mission, except that centers and institutes in the Schools of Medicine and Dental Medicine will be reviewed at least every seven years. Each center and institute will submit an Annual Report that documents scholarly accomplishments and productivity, including funding obtained during the year and any changes in the membership of participating faculty. The report is to be submitted to the department head(s) and dean(s) of the participating department(s) and school(s)/college(s) and a copy provided to the Provost. The Provost will routinely inform the Board of Trustees, and if appropriate, the Health Center Board of Directors, of the establishment and discontinuation of all centers and institutes.

# **ARTICLE XIII – The Departments**

## **A. Membership**

Department members shall consist of all faculty as defined in Article X at all campuses. Each faculty member is assigned to a primary campus and when granted tenure, is tenured

throughout the University. Should the primary campus cease to exist or a tenured faculty member's program be terminated at the primary campus, the faculty member would be assigned to another campus with that program.

## **B. Functions**

Departments are organized in terms of subject matter areas. They bear definite cross-relationships, but their organization into distinct administrative units is intended to assure that the attention of small groups of faculty members will be centered on teaching, research, clinical activities, and/or service in these areas.

The functions of each department are to:

1. Develop an educational program designed to meet the needs of the students in the various schools/colleges and of other individuals and groups served by the teaching, research, clinical, and/or service programs.
2. Evaluate and improve its educational programs.
3. Recommend to the faculty of its school/college changes intended to improve the work of the department.
4. Secure the safety and proper inventory of all University property assigned to it.
5. Integrate its program with the general program of the University and to foster effective coordination of effort.

## **C. Officers**

Each department shall have an executive officer (head/chair) who shall represent his/her department and who shall report to the dean of the school/college within which the department is organized. Except at the Health Center, the executive officer shall not serve more than two consecutive terms unless the majority of his/her department recommends otherwise. Health Center executive officers do not have term limits.

## **D. Meetings**

Meetings of the department may be called by the executive officer of the department, the dean of the school/college within which the department is organized, or the Provost. Each department shall hold meetings as needed.

# **ARTICLE XIV – The University Staff**

- A.** The President shall appoint individuals and members of units reporting to him/her. All other members of the faculty and professional staff shall be appointed by the Provost, the Vice Presidents, or their designees. Tenure shall only be granted by the Board of Trustees or as delegated to the Board of Directors.



Termination for cause of a tenured faculty member or the dismissal for cause of a faculty member previous to the expiration of a term appointment shall be made only by the affirmative vote of a majority of members of the Board of Trustees or, for faculty in the Schools of Medicine and Dental Medicine, of the Board of Directors.

- B.** The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees.

Academic freedom applies to all members of the faculty and professional staff of the university.

1. All members of the faculty, whether tenured or not, are entitled to academic freedom set forth in the 1940 Statement of Principles on Academic Freedom and Tenure formulated by the Association of American Colleges and the American Association of University Professors. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for monetary return should adhere to University policies.
2. The faculty member is entitled to freedom in the classroom in treating his/her subject and in conducting a class. The faculty members should not contravene the free speech and academic freedom of other members of the professional staff, nor impede faculty, other members of the professional staff, or students, in their central tasks of teaching, research, and learning.
3. The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge the faculty member's profession and the University by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the institution.
4. Membership in the academic community imposes on students, faculty members, professional staff, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals, damage institutional facilities, or disrupt classes. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal

choices as to political action or the student's own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of his/her subject and scholarship which entitle him/her to the classroom and to freedom in the presentation of his/her own subject. Thus, it is improper for an instructor persistently to introduce material that has no relation to his/her subject or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the teacher's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute and the teacher's attention to his/her obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, the teacher cannot escape the responsibility of that choice, but should either request a leave of absence or resign his/her academic position.

5. The University, in fulfilling an essential function as a forum for the free expression of ideas, shall endeavor to preserve and facilitate the full enjoyment of constitutionally protected civil liberties.

Members of the professional staff shall have equal opportunity in their employment regardless of gender, race, religion, national origin, or disability.

The highest standards shall be sought in the protection of all forms of freedom of thought, expression, association, and peaceful assembly. In the exercise of these civil liberties the members of the professional staff are obliged to protect the same rights of others and to bear in mind their respective obligations to their profession and to the University.

### **C. Academic Appointment and Tenure<sup>2</sup>**

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<sup>2</sup> The regulations concerning academic tenure in this and the following sections apply only to members of the professional staff who hold full-time appointments in certain ranks recognized by the Board of Trustees. These recognized ranks include Instructor, Assistant Professor, Associate Professor and Professor, but do not include the following: Lecturer; Professor in Residence; Associate Professor in Residence; Assistant Professor in Residence; Instructor in Residence; Clinical Professor; Associate Clinical Professor; Assistant Clinical Professor; Clinical Instructor; Research Professor; Associate Research Professor; Assistant Research Professor; Research Instructor; Research Associate I, II, III; Research Assistant I, II, III; Research Specialist; Special Research Technician; Graduate Assistant; Extension Professor; Associate Extension Professor; Assistant Extension Professor; Extension Instructor; Specialist I, II, III, IV; Assistant Instructor; University Educational Director; Department Head, Student Affairs; University Educational Assistant I, II, III; University Associate Librarian; University Assistant Librarian; University Librarian I, II, III; University Library Assistant I, II, III; University Library Specialist; University Staff Professional I, II, III, IV, V, VI; University of Connecticut Professional I, II, III, IV, V, VI, VII, VIII, IX, X, XI, XII; University Technician I, II; University Physician; Resident Educational Counselor; and titles that contain the words "University Hospital" (e.g., University Hospital Nurse I). The one exception to the standard of "full-time appointment" shall be if University of Connecticut Health Center (UCHC) faculty work full-time in total, but are employed in part by UCHC and in part by the Veterans' Administration Medical Center (VAMC), then they may be granted a tenure track appointment. Both the tenure track appointment and tenure, if awarded, would be co-terminus

The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees. No professional staff member who has not attained tenure by vote of the Board of Trustees or the Board of Directors, as set forth herein, shall have a claim that he/she has tenure.

1. The terms and conditions of every appointment to the faculty will be confirmed in writing and an appointment letter will be provided to the faculty member. Any subsequent extensions or modifications of an appointment and any special understandings or any notices incumbent upon either party to provide, will be confirmed in writing and a copy will be given to the faculty member.
2. With the exception of special appointments clearly limited to a temporary association with the institution, all full-time appointments to the rank of instructor or higher are of three kinds: (1) probationary appointments in a tenure track position; (2) tenured appointments; and (3) at the Health Center, in-residence appointments.
3. Except for faculty members who have tenure status, every person with a teaching or research appointment of any kind will be informed each year in writing of the terms of his/her appointment.
4. Beginning with appointment to a full-time, tenure track position, the probationary period shall not exceed seven years, except when the original appointment is in January or as provided elsewhere in the University By-Laws. When the original appointment is in January, the probationary period shall not exceed seven and one-half years.

For faculty with primary appointments in the Schools of Medicine or Dental Medicine, the probationary period shall not exceed nine years, including within this period full-time service in all institutions of higher education, except when the original appointment is in January. Then the probationary period shall not exceed nine and one-half years.

New appointees to tenure track positions with prior service in a tenure track position at another university may, in consultation with their deans and department heads, be granted up to a full probationary period at the time of hire. The probationary period agreed upon in the candidate's offer letter will be viewed as the tenure track period.

Ordinarily, a leave with or without pay awarded for the purpose of pursuing scholarly research activities shall be included in the probationary period toward tenure.

A leave of at least one semester for personal or other reasons ordinarily will not be included in the probationary period toward tenure. Such leaves must be requested in writing by the faculty member and granted in writing by the department head, dean, and the Provost.

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with the VAMC employment. If the VAMC employment ends, the UConn tenure also ends. If the Health Center School of Medicine or School of Dental Medicine wishes to hire the faculty member full time, then tenure may be continued. If not, the faculty member will enter the in-residence track.

Academic tenure does not confer upon any staff member the right to continued assignment to administrative responsibilities.

Faculty members who provide timely notice to the University that they have experienced a qualifying major life event, as defined under the Federal Family and Medical Leave Act, prior to their mandatory tenure evaluation year will receive an automatic one-year extension of the tenure clock.

For faculty with primary appointments in the School of Medicine, significant life events may be allowed to increase the probationary period leading to promotion or tenure for a maximum of twenty-four months. An increase in the probationary period leading to promotion and/or tenure is automatically awarded when the faculty member takes leave documented and approved under the Federal Family Medical Leave Act, the State of Connecticut Family Medical Leave Act, or the State of Connecticut Workers' Compensation Act. Alternatively, the faculty member may request an increase in the probationary period to promotion and/or tenure even when the above criteria are not met, but when the faculty member's productivity is affected by a significant life event. Such requests must be approved by the Department Chair and the Dean or his/her designee per the School of Medicine Bylaws.

Faculty who wish to be considered for promotion and tenure before the end of the probationary period will be evaluated by the same standards applied to faculty who have taken the full probationary period.

The University ordinarily requires of all new appointees a probationary period of at least one year in this institution, but tenure may be granted at any time thereafter and before the expiration of the maximum probationary period by vote of the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors. In appropriate circumstances, tenure may be granted by the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors upon arrival at the University at the rank of Professor, and, in special circumstances, at the rank of Associate Professor.

Following award of tenure, a faculty appointment shall be terminated only for adequate cause or under extraordinary circumstances of financial exigencies.

5. Regardless of the stated term or other provisions of any appointments, written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of his/her appointment as follows: (1) Not later than March 15 of the first academic year of service, if the appointment expires at the end of that year or if a one-year appointment does not coincide with an academic year, at least three months in advance of its termination; (2) not later than December 15 of the second academic year of service, if the appointment expires at the end of that year or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination; (3) at least twelve months before the expiration of an appointment after two or more years of service at the institution. The institution will normally notify faculty members of their renewals by March 31.

#### **D. Policies and Procedures Relating to Rank, Salary, and Advancement**

1. Tenure and promotion in the professorial ranks will be granted only to persons of outstanding achievement consistent with standards expected of a top public research

university. Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion, there must be evidence of strong performance in both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also receive significant weight. Ordinarily, those in the rank of assistant professor are not eligible for tenure. Continued reappointment of a person in a tenure track position, after it is clear that he/she will not become eligible for permanent tenure, cannot be justified on grounds of immediate convenience. In his/her own interest and that of the University, he/she should be released after the customary notice.

Policies for promotion should operate to advance the most promising. These policies should give careful consideration both to current performance and to future promise and should convey an assurance of impartiality by recognizing and rewarding accomplishment and by maintaining opportunities for advancement. To do this, the policies must be based on merit, determined on the broadest possible basis.

The value of a faculty member to the University results from the possession of a number of different qualities. In enumerating certain of these, it is not intended to formulate a rigid set of standards, nor to require that all faculty attain a stated minimum in each of the items. The value of each person is rather to be judged by both strengths and weaknesses so as to arrive at an estimate of his/her total contribution. No fixed numerical weighting can be prescribed, though greater emphasis should be placed on scholarship, teaching ability, and activity in research than on other characteristics.

A faculty member's salary is in large part a payment for services rendered; however, it includes an additional element that is an investment by the University in the potential of the individual. Adequate salaries permit the assumption of the expenses of travel and study and other professional and cultural activities and provide an appropriate standard of living. Inadequate salaries are contrary to the interest of the University because they impede faculty development or force faculty to supplement earnings at the expense of the time needed for study, thought, and research – and may, of course, even involve the loss of valuable faculty.

## 2. *Qualities desired in faculty of all ranks*

All candidates for appointment to the faculty and for promotion are expected to show satisfactory attainment and continuous growth in the following qualities, though in varying degrees and in different proportions. The individual's accomplishment in each should be evaluated on every occasion when advancement in salary or rank is being considered and particular care must be exercised when it is proposed to grant tenure.

- a. Professional competence in the field of his/her specialization, as evidenced initially by the record of his/her training and scholastic achievement, and later by the opinion of professional colleagues here and elsewhere; and in certain fields by the execution of professional commissions, the giving of expert testimony, and the like; or by the holding of a license for professional practice, where licensing has been established.

- b. Teaching ability and performance, beginning with the capacity to excite interest and evoke response in students, to broaden their outlook, to impart knowledge, to see and convey relationships, to encourage the faculty of criticism, and to stimulate a sense of inquiry. The educational role of the faculty member is not confined to the classroom. It should include willing skillful attention to the individual student who can profit from additional help in the mastery of a course to which the faculty member is assigned. Also important is the role of academic advisor, who will encourage students to gain as much as possible from the educational resources of the University and will guide the student to the proper selection of courses consistent with his/her academic and life goals.
- c. Research and such other scholarly activity as gives evidence of the effective utilization and continuing development of his/her natural endowment. This will ordinarily result in publications, lectures, or papers at professional meetings and should in any case be reflected in the vitality of the person's teaching. Such activity will take many forms, some of which are:
  - i. Study, including reading, laboratory work, and museum work;
  - ii. Membership and appropriate activity in one or more professional societies;
  - iii. Writing—creative, critical, analytical, summarizing, or editorial;
  - iv. Creative work in other fields, such as the arts and engineering;
  - v. Research, including both the routine application of known techniques to the accumulation and analysis of new data, and the invaluable gift of making fundamental contributions to knowledge;

Creative activity in the arts and the ability to make research contributions of the second or fundamental kind will be especially noted and rewarded.

- d. Although the qualities listed above should receive the greatest consideration, the following items bearing on professional fitness also should be taken into account, particularly when new appointments are being made and at the end of the probationary period.
  - i. Personal attributes; integrity, industry, open-mindedness, objectivity, friendliness, effectiveness in speaking, capacity for leadership and cooperation, breadth of intellectual interests.
  - ii. Concern for the educational, social, and personal welfare of students, such as is demonstrated, for example, by success in mentoring.
  - iii. Willingness and ability to assist in the various types of service which a state University renders, in the answering of inquiries, the giving of advice, the conduct of surveys, and the like.

- iv. Competence in fulfilling responsibilities toward democratic University government, as in department and faculty meetings, committee work, and administrative duties.
  - v. A sympathetic but discriminating interest in the development of the University, and the assumption of a share of responsibility for the efficient execution of its functions; or in the case of recent appointees, indication that this interest will develop in due time.
3. In addition to these general desiderata, the following qualifications will be borne in mind in making appointments or promotions to the several ranks.

a. *Qualifications for instructors*

- i. Training or experience appropriate to the performance of his/her assigned responsibilities. In many cases, this will mean the possession of, or evidence of, substantial progress toward the appropriate terminal degree.
- ii. A consensus on the part of those qualified to judge that the faculty member's training, experience, and interest in his/her subject are appropriate for the performance of the duties to be assigned.
- iii. For certain types of teaching, it may be more desirable to appoint persons whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary.

Note: Two years is regarded as the maximum length of service in the rank of instructor for those in a tenure track position.

b. *Qualifications for assistant professors*

- i. The possession of the appropriate terminal degree.
- ii. A record of success in his/her work. Information considered may include the judgment of colleagues, information from students, and occasionally the progress and achievement of his/her students.

c. *Qualifications for associate professors*

Continued growth in the qualities desired in all faculty members, especially evidence that he/she is keeping abreast of the times in method and subject matter, and a consensus among colleagues that the faculty member is making a substantial contribution to the advancement of knowledge in his/her field.

d. *Qualifications for professors*

- i. Service here or elsewhere as an associate professor of at least five years except when there is evidence that he/she is of superior ability as compared with other associate professors.

- ii. Evidence that he/she is regarded by colleagues within and outside the University as a capable, mature teacher, and a recognized scholar.

e. *Special Title: Board of Trustees Distinguished Professor*

- i. The title “Board of Trustees Distinguished Professor” should be reserved exclusively to recognize faculty who have achieved exceptional distinction in scholarship, teaching, and service while at the University of Connecticut.
- ii. The Board of Trustees Distinguished Professor title will be conferred as a result of a peer review process. The Review Committee will solicit and evaluate all nominations. The Review Committee will obtain detailed information including materials from external sources and recommend candidates to the Board of Trustees via the Provost.
- iii. The title will normally be awarded to three persons per year. Up to five persons per year may be recognized when the total number of Board of Trustees Distinguished Professors drops below 5% of the full professors on the active faculty.

4. Procedure for Reviews of Faculty

- a. The status of every faculty member with regard to salary and/or rank shall be considered at least once each year. The head of the department shall ordinarily be responsible for seeing that this is done.
- b. It is the duty of each department head to conduct a continuing appraisal of the work and potentialities of the people in the department and by informal consultation, to ascertain the views of the other members of the department. It is his/her responsibility not only to give his/her own appraisal, but also to transmit that of his/her colleagues within the department. In this connection, it should be emphasized that all such evaluations are to be based on the criteria listed above. Recommendations resulting from these reviews, with supporting data, shall be sent to the dean of the school or college, and by the dean, with his/her own recommendations, to the Provost

5. Promotion and tenure procedures

In considering nominations for promotion and tenure research activities of candidates shall be judged by those who are competent in the general field, who have read the publications of the candidate, and who are familiar with the progress of his/her unpublished work. Care must be exercised to determine the actual amount and true nature of the work. Undue emphasis should not be placed upon mere volume of publication.

- a. In view of the paramount importance of good teaching and the difficulty of judging the quality of a teacher's performance, student evaluations shall be taken into consideration during promotion and tenure decisions. Student evaluations shall be conducted according to procedures approved by the University Senate. Caution



must be observed to discount mass prejudices and to avoid overestimating the impressions of the moment, which may well be different from the considered judgment of later years. Student evaluations shall also be available to deans and heads of departments.

- b. The Provost will accept and may request new information about a candidate's qualifications at any step in the promotion/tenure process.
- c. Final action on promotions and tenure will be based on all available evidence, and will be taken by the Board of Trustees or the Board of Directors for Health Center faculty, upon the recommendation of the Provost, following receipt of recommendations from the dean of the college, the department head, and such other officers as may from time to time be charged with this responsibility.

For procedures on promotion and tenure, go to the Provost's website.

For procedures on promotion and tenure for the Schools of Medicine and Dental Medicine, go to the Health Center Faculty Handbook.

#### **E. Professional Staff Loads**

1. While faculty members are employed for a variety of duties, as a general rule the University will expect to assign to each duties that are reasonable and consistent with good and effective practices in teaching, research, clinical care, and outreach. In addition, faculty will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement and professional development which are part of every faculty member's investment in his/her own future.

In determining teaching contact hours and clinical care assignments, consideration will be given to unusually heavy responsibilities for student advising, chairing committees, research projects, unusually large courses, and assigned administrative duties.

Assignment of duties will be made by the appropriate deans and department heads consistent with University policy. Insofar as it is possible, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.

2. Except in the Schools of Medicine and Dental Medicine, the teaching duties of each department shall generally be regarded as a joint responsibility of all its members to be divided as far as possible by mutual agreement, with proper attention to the interests and activities of all. It shall be the responsibility of the department head to make decisions when agreement is lacking and to submit the complete schedule of teaching engagements to the appropriate dean.

The preceding paragraph does not imply that teaching loads and assignments of individual faculty members are to be determined by departmental vote. Departmental action is to be limited to consideration of general policy.

In settling details of teaching schedules within the department or in meeting situations that arise on short notice, the department head has three responsibilities:

- a. The department head must understand and put into effect the general policies and programs of the University.
- b. The department head must act on behalf of and as a representative of the department.
- c. All faculty of the department should participate in the formulation of general departmental policy and assess the department's professional program, both for long-run development and current decisions.
- d. The department head has a responsibility to discuss with individual faculty his/her ambitions and aspirations within the University and the profession. While no one is completely a free agent to lay out a program exactly as one pleases, scholarly activity flourishes best in an environment of self-direction and self-propulsion.

**F. Resignation of a Faculty Member**

A faculty member planning to resign is expected to give notice in writing at the earliest opportunity.

**G. Termination of Appointments by the Institution**

1. Dismissal, defined as termination of a tenured appointment, or a special or probationary appointment, or for faculty in the Schools of Medicine or Dental Medicine, an in-residence appointment before the end of the specified term, may be effected by the institution only for adequate cause. Dismissals will be pursuant to the procedure specified in Section H, below.
2. Non-reappointment of a special, probationary, or in-residence appointment at the end of the specified term shall not be defined as dismissal.
3. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a program or department of instruction, Section H will not apply, but faculty members shall be able to have the issues reviewed under the grievance procedure as provided in Sections S and T.

In every case of financial exigency or discontinuance of a program or department of instruction, an affected tenured faculty member will be given notice as soon as possible and never less than 12 months' notice, or in lieu thereof, he/she will be given severance salary for 12 months. Before terminating a tenured or probationary appointment because of the abandonment of a program or department of instruction, the University will make every effort to place affected faculty members in other suitable positions. If a tenured or probationary appointment is terminated because of financial exigency or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years from the date of termination unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

## H. Dismissal Procedures

1. a. Adequate cause for dismissal will be related directly and substantially to the fitness of the faculty member in his/her professional capacity as described in Section D. Dismissal procedures will not be used to restrain faculty members in the exercise of their academic freedom or their rights as citizens.
- b. For faculty with primary appointments in the School of Medicine or the School of Dental Medicine, adequate cause for dismissal may also include unsatisfactory job performance, as determined in part by the post-tenure review process described in the faculty member's school by-laws.
2. a. If circumstances arise that, on their face, cause the Provost to anticipate the reasonable possibility of dismissal being recommended for a faculty member with tenure, or with a special or probationary or for faculty in the Schools of Medicine or Dental Medicine, in-residence appointment before the end of the specified term, the ~~appropriate administrative officer (usually the~~ Provost or his/her representative) will initiate discussion of the matter with the faculty member looking towards a mutually acceptable settlement.
- b. If such settlement is not reached, the question will be referred to the Committee of Three within 14 days<sup>3</sup> of the invitation of the administration to the faculty member to discuss the matter. The Committee of Three will proceed to an informal inquiry, including further attempts at conciliation. The Committee shall report to the Provost within 14 days from the date it enters the case its recommendations based on the results of its inquiry and efforts toward conciliation.
- c. If continued action seems to the Provost to be warranted, then he/she or his/her representative, taking into account the report of the Committee of Three, shall frame with reasonable particularity a statement of charges. The statement will then be provided to the concerned faculty member within 14 days after the Provost receives the recommendations of the Committee of Three.
3. A dismissal, as defined in Section G.1. must be preceded by the sequence of steps outlined in Section H.2., culminating in the statement of charges provided for in Section H.2.c. Both the individual concerned and the Provost will have the right to have the matter heard by a committee of five. In order to exercise this right, the faculty member, or the Provost, within 7 days of the faculty member's receipt of the statement of charges must request the Committee of Three to form a hearing committee.

The essential functions of the hearing committee are to assemble and review pertinent information and to make appropriate recommendations. In constituting a hearing committee, the Committee of Three shall choose a panel of nine members of the faculty from which either party, within 5 days of notification of the panel, may strike not more than two names. In the event that more than five names remain after the completion of this process, the Committee of Three shall select five to serve as the hearing committee.

The hearing committee shall, within 7 days after its appointment, select its own presiding officer and promptly notify the Provost and the Committee of Three of the

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<sup>3</sup> All references to days are to calendar days.

name of the presiding officer and the date of selection. If the hearing committee wishes to retain independent counsel, prior approval of the Attorney General of the State of Connecticut is necessary. The University will bear any costs of the hearing procedure, except that the individual concerned will be responsible for any fees he/she incur may incur for counsel, expert witnesses, and other defense expenses, and for the expense of any witness provided for the individual by the University.

Within 7 days of the selection of a presiding officer for the hearing committee, written notice of specific charges will be served. The faculty member may respond to the charges in writing within 7 days.

The date for the hearing shall not be set until the faculty member has responded or the time limit for such response has expired. If the faculty member denies the charge against him/her, asserts the charges do not support a finding of adequate cause, waives his/her right to appear, or refuses to participate in the hearing in person or in writing, the hearing committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

- a. Since the hearing deals with personnel matters, it shall be closed unless the faculty member requires in writing that it be open.
- b. During the hearing the faculty member will be permitted to be represented by or to have with him/her an academic adviser and/or legal counsel of his/her own choosing. The Provost may be accompanied by or represented at the hearing by a delegate and/or legal counsel of his/her own choosing.
- c. At the request of either party or the hearing committee, representatives of professional organizations shall be permitted to attend the hearing as observers.
- d. A verbatim record of the hearing or hearings will be taken and a typewritten copy or legible facsimile thereof will be made available without cost to the faculty member and to the hearing committee. The requirement of a verbatim record may be waived by mutual consent of the hearing committee and both parties.
- e. The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- f. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.
- g. The hearing committee may grant adjournment to enable either party to investigate evidence as to which a valid claim of surprise is made.
- h. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interest of justice require admission of his/her statement, the committee will identify the witness, disclose his/her statement, and if possible, provide for written interrogation.

- i. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
  - j. The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every reasonable effort will be made to obtain the most reliable evidence available.
  - k. The findings of fact and the decision will be based solely on the hearing record.
  - l. Except for such simple announcements as may be required covering the time of hearing and similar matters, public statements and publicity about the case by the hearing committee, the faculty member, and the administrative officers will be avoided until the proceedings have been completed, including consideration by the Board of Trustees. The Provost and the faculty member will be notified of the recommendation in writing and will be given a copy of the record of the hearing.
4. The hearing committee shall report to the President within 30 days after the selection of its presiding officer. The committee may conclude, and shall report to the President, that the conduct with which the faculty member is charged (a) merits dismissal or (b) does not merit dismissal. If the committee concludes that the conduct does merit dismissal, but that there are circumstances that warrant clemency, it will so recommend, with supporting reasons. If the committee concludes that the conduct does not merit dismissal, (a) it may recommend that the conduct does not merit any disciplinary action or (b) it may recommend a penalty short of dismissal.
  5. If the President does not accept the recommendation of the hearing committee, he/she will state the reasons therefore to the hearing committee and to the faculty member within 14 days after receiving the report of the hearing committee. The hearing committee shall, within 14 days, prepare a rejoinder or notify the President that it intends no rejoinder. The President shall within 10 days notify the faculty member, the hearing committee, and the Committee of Three of his/her decision in the case, together with reasons therefore if he/she does impose a penalty.

The President shall report to the next meeting of the Board of Trustees any action taken by him/her in response to the report of a hearing committee. If dismissal or other penalty is invoked, the faculty member may within 30 days request the President to notify the Board of Trustees that the faculty member wishes to appeal the decision. The President shall then within 10 days transmit to the Board the record of the case. In such an event, the Board's review will be based on the record of the committee hearing and the correspondence between the hearing committee and the President after the hearing committee makes its recommendation. This review will provide opportunity for argument, oral, written, or both, by the principals at the hearing or by their representatives. Such a review must be scheduled within 21 days of the date on which the Board members are supplied with the record. Since the review deals with personnel matters, it will be closed unless the faculty member requires in writing that it be open. If the Board disagrees with the recommendations of the hearing committee, it will so notify the committee with specific objections. Taking into account the stated objections, and receiving new evidence if necessary, the committee will then reply to

the Board within 10 days. The Board will make a final decision only after study of the committee's reply.

6. Expeditious completion of these procedures is in the best interests of all parties concerned. The time limits specified are maxima. The Committee of Three may, upon request, extend, for cause, any of the foregoing time limits.

## **I. Suspensions**

Until the final decision on dismissal has been reached, the faculty member may be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to him/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of his status, the administration will consult the Committee of Three. Suspension is appropriate only pending a hearing; a suspension which is intended to be final is a dismissal, and will be dealt with as such. Salary will continue during the period of suspension.

## **J. Terminal Salary**

Tenured faculty who are dismissed for reasons other than moral turpitude will receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the University. Faculty members on probationary appointment will receive their salaries to the end of the current year.

## **K. Retirement**

1. A faculty member's decision to retire is understood to be an individual one, but in the interests of continuity and proper academic planning, it is expected that the faculty member will give notice of his/her plans at the earliest opportunity.
2. Any member of the faculty, who at the time of retirement is at the University of Connecticut and retires under the provisions of the State Retirement Act or the Alternate Retirement Plan, may by vote of the Board of Trustees or Health Center Board of Directors be awarded emeritus status provided that one of the following conditions is met:
  - a. The faculty member has served at least 25 years at collegiate institutions including at least five years at the University of Connecticut.
  - b. The faculty member has attained the rank of full professor at the University of Connecticut.
3. There shall be a standing University of Connecticut Retirement Committee. Faculty not meeting either conditions in Section 2a or Section 2b above may become emeriti by vote of the Board of Trustees following recommendation of the President and the Retirement Committee. Other professional staff are also eligible for this designation following recommendation of the President and the Retirement Committee.
4. It is in the interest of the University that emeriti, as defined in paragraph two, continue their scholarly activities. The University encourages the maintenance of informal and

scholarly contacts between emeriti and their active colleagues and will endeavor to provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources at the time. Deans and department heads, where appropriate, may invite emeriti for professional activities such as lecturing, serving on academic committees, and advising students.

## **L. Leaves of Absence**

### **1. *Sabbatical Leaves***

- a. Sabbatical leave is a privilege to be applied for in each case and is in no instance to be considered an earned perquisite. Such leaves may be granted on application for the purpose of the advancement of knowledge or professional improvement of mutual benefit to the University and the individual. Following such leave, individuals are obligated to return to active service at the University for a minimum of one year. The applicant should file a specific written application accompanied by a statement as to how the leave is to be used. This application should be approved by the department head, the dean or director, and the Provost or the appropriate Vice President, who will in turn submit it to the Board of Trustees with his/her recommendation.

The privilege is open to all full-time teachers who have at least the rank of assistant professor or a corresponding rank and who have been in continuous full-time service at the institution for at least six years. Following a grant of sabbatical leave, the privilege may be renewed after an additional period of continuous full-time service of at least six years. Exceptions in regard to continuous service may be made upon recommendation of the Provost or the appropriate Vice President and the approval of the Board of Trustees or the Board of Directors. The receipt of grant or fellowship funds to cover travel and other expenses incidental to the leave will not ordinarily impact the granting of a request for such leave.

- b. The duration of the leave granted shall be determined by the Provost or the appropriate Vice President. Six years of continuous full-time service is defined as full-time service for at least twelve of the fourteen semesters preceding the leave. Each sabbatical leave eligibility is for a period of one year (two semesters). Leave may be taken for the full period at half pay or for up to half the period at full pay. After each period of eligibility in which a sabbatical leave is taken, whether for all or a portion of the period, there must be at least six years of continuous full-time service before the next eligibility period. Thus, the timing of eligibility periods is not affected by whether leave is taken for a full period at half pay or for up to half the period at full pay. Faculty members in tenure track positions are not eligible for sabbatical leave before the last year of their probationary periods.

Leave for faculty members employed on an eleven months' basis or for faculty in the Schools of Medicine and Dental Medicine may be for a period of up to six months with full pay or for a period up to twelve months with half pay.

- c. Sabbatical leave, whether at full or reduced pay, is considered full-time service, and therefore, persons on sabbatical leave are not permitted to engage in paid

employment elsewhere. If a staff member is considering an arrangement in which he/she will receive compensation for services from the University and from outside agencies which will together exceed his/her regular University salary, the staff member is expected to take a leave without pay rather than a sabbatical leave.

- d. Members of the professional staff are in a separate classification. They shall make their application directly to the President if the unit reports to the President or to the Provost or appropriate Vice President, if any.
- e. The recommendation of the head of the department and of the dean in charge of the school/college shall accompany applications for leave. All applications should be made at least one year prior to the date when the leave is to begin. Ordinarily the grantee will receive notification that the leave is granted at least two months before the end of the semester previous to the one in which the leave is to begin.
- f. Arrangements for carrying on the duties of a person on leave shall be made by the appropriate department head and dean in consultation with the faculty member as appropriate. The department head is expected to certify whether or not the work of the department can be carried on if the leave is granted substantially as it would have been otherwise. If courses would have been withdrawn or other changes made in the department's program even without the granting of the leave, the changes may be made during the leave, but it is not expected that sabbatical leaves will be granted if they must be taken at the expense of the students or of the regular departmental program.
- g. If an approved leave is postponed for a period by the administration, the applicant's next leave may be granted for the year in which it would have fallen if there had been no such postponement.
- h. Sabbatical leaves are granted in the expectation that the recipient will resume his/her previous duties at the end of the leave. Ordinarily the staff member will return at the same rank and salary which he/she had when the leave began. This understanding, however, is subject to the qualification (which applies in the same degree to those in residence) that the Board may sometimes find it necessary to change the compensation or duties of some or all staff members because of changes in enrollment, financial exigencies, or other circumstances beyond its control. The grant of leave does not change the tenure-status of the recipient.
- i. After leave has been taken, a written report of the work done shall be made to the officer who approved the leave through the department head and the dean or director.

## *2. Leave Without Pay*

Leave of absence without pay may be granted by the President for those units which report to the President or by the Provost or the Vice Presidents for reasons considered to be in the best interest of the University and in the interests of professional growth and improvement of the staff member concerned. All such cases are treated as special cases and are in the first instance, ordinarily granted for up to a year. Professional staff members desiring such leaves should apply through their department heads and deans



and through the appropriate Vice President, if any. A report of all such leaves as are granted shall be made to the Board of Trustees for their information.

3. *Military Leave*

Members of the professional staff are eligible for military leave consistent with applicable state and federal law. Part-time employees will be granted such leave if they have worked the equivalent of six months or more full time. Thus, an employee would become eligible after twelve months of half-time employment, etc.

4. *Sick Leave for Faculty With or Without Pay*

Each case is considered separately and involves careful consideration of length of service, nature of the illness, and anticipated length of disability. Application for sick leave should be made not later than ten days after the staff member's return to work.

5. *Other Regulations Regarding Leave of Absence*

- a. No employee of the University of Connecticut shall receive leave with pay for service in any elective political office.
  - b. No member of the professional staff shall be absent from his/her duties at the University except by permission of the department head. Short leaves to cover emergency situations may be granted by the department head, who will make such arrangements as are feasible to re-assign the absent staff member's work. In each such case, the department head will file a record of the matter with the dean. No such emergency leave shall be granted for a longer period than ten days without previous permission of the President for those units which report to the President or by the Provost or the appropriate Vice President.
  - c. Except in very unusual circumstances, no tenured or tenure track faculty member may receive a leave of absence to accept a tenured or tenure track position with another University. Such exceptions will require advance approval from the Provost.
- M. No employee in the service of the University shall devote to private purposes any portion of the time due the University without consent as may be provided in established University policy. Faculty members may take on outside consulting and research activities after the specific project has been approved by the Provost. Nothing herein contained shall be construed as authorizing any private practice by any full-time member of the faculty of either the School of Medicine or the School of Dental Medicine.
- N. To the extent that there are facilities available, University employees are entitled to receive from the University unit responsible for student health services immediate care for injuries incurred in the line of duty. This unit is to offer limited primary medical care services to University employees within available resources on a fee for service basis.
- O. The University Libraries shall be used by faculty, staff, and students and as appropriate, by the citizens of the State.

- P.** Members of the faculty are permitted to audit courses without payment of fees, subject to consent of instructor, and availability of library, laboratory, and classroom facilities.
- Q.** No full-time member of the professional staff may take for credit any academic work at this institution or elsewhere during that employee's regular working hours, without prior written approval of the President for those units that report to him/her, the Provost, or appropriate Vice President.
- R.** The existence of a family relationship to a staff member does not affect the eligibility of any person for employment by the University. To avoid potential conflict between personal and institutional interests, no staff member may be assigned responsibility for supervising the work of a relative consistent with the University's policy on nepotism.
- S. University Faculty Grievance Procedure<sup>4</sup>**

If a member of the faculty under the jurisdiction of the Provost, excluding the faculty in the Schools of Medicine and Dental Medicine, believes there is a cause for grievance which cannot be resolved by ordinary means, the complainant may request the Committee of Three (Article IX.G.2.) to appoint a hearing committee to evaluate the grievance and to make appropriate recommendations concerning its resolution.

1. Complaints involving promotion, tenure, and reappointment decisions may be brought to the Committee of Three only at the end of a sequence of peer review procedures, including those of the Faculty Review Board (see Article I.X.G).
2. Other complaints may be brought to the Committee of Three only after appropriate administrative remedies have been exhausted.
3. The Committee of Three is empowered to mediate the complaint informally in consultation with the complainant, the person or persons against whom the grievance is lodged, and such other persons as the committee deems appropriate.
4. If the Committee of Three has been unable to mediate the complaint informally or determines mediation is not appropriate under the circumstances and believes that there may be such substance to the grievance as to justify further investigation, it shall appoint an ad hoc hearing committee of three or five faculty members and convey the grievant's written statement of the grievance to the hearing committee with a copy (or copies) to be sent to the person(s) against whom the grievance is lodged.
5. The hearing committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The hearing committee, after consulting all parties to the dispute, may decide to conduct its proceedings in confidence or with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.
6. The hearing committee appointed by the Committee of Three shall be instructed by the Committee of Three to determine:

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<sup>4</sup> This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

- a. Whether the relevant procedures established by the University have been followed in the case before them.
  - b. Whether in substance the grievant has just cause for complaint.
  - c. In cases involving promotion, tenure, and reappointment:
    - i. the sufficiency and relevance of the evidence employed in making the decision.
    - ii. whether the decision arrived at was in reasonable conformity with the evidence considered.
  - d. Appropriate remedy, if any.
7. The hearing committee will make a report of its findings and recommendations to the Provost, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three. In those cases involving a grievance against the Provost, the report shall be sent to the President.
  8. The collective bargaining agent shall be informed by the hearing committee of the substance of its report to the President or Provost.
  9. Within thirty days of receipt of the hearing committee's report, the President or Provost shall inform the hearing committee, in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three.
  10. The collective bargaining agent shall be informed by the President or Provost of his/her response. The Committee of Three may make the hearing committee's findings and the response of the President or Provost known to persons or groups it deems appropriate.
  11. If not satisfied with the outcome of the hearing committee's investigation and the action of the President or Provost in response thereto, the grievant may within thirty days of receiving the response, address a written appeal to the Board of Trustees through the President or Provost. The Board of Trustees will respond to the appeal in writing within a reasonable time.

## **T. Health Center Faculty Grievance Procedure<sup>5</sup>**

Under most circumstances, a faculty member in the School of Medicine or the School of Dental Medicine who has a grievance will seek resolution through the usual channels of administrative authority (e.g., initial referral of the grievance to the Department Chair, to the dean of the appropriate school, and then to the Provost) or through the appropriate standing faculty appeals committees (e.g. space or compensation appeals committees), if any. If resolution is not possible or if the aggrieved party is dissatisfied with the proposed resolution(s), faculty peer review committees are empowered to hear grievances. Grievances related to promotion, reappointment, and tenure issues shall first be reviewed by the Health Center Faculty Review Board (HCFRB). In the case of a possible dismissal of a tenured faculty, the grievance will be referred to the Committee of Three at Storrs [see

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<sup>5</sup> This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

By-Laws Article XIV.G]. All other appeals and grievances will be referred directly to the Health Center Appeals Committee (HCAC).

1. Health Center Faculty Review Board (HCFRB)

- a. The Health Center Faculty Review Board (HCFRB), in its advisory role to the Provost, shall be the primary body to hear grievances related to promotion, reappointment, and tenure. It shall consist of a standing committee of seven (7) members, with two (2) representatives from basic science departments, two (2) from clinical dental departments, and three (3) from clinical medical departments. Each member must be a School of Medicine or School of Dental Medicine faculty member of senior rank on the UCHC payroll and may not be a Department Chair or Type II Center Director or a dean of any rank, or be a current member of the Committee on Appointments and Promotions of either the School of Medicine or the School of Dental Medicine. The term of service is three (3) years and terms shall be staggered. The chair will be selected from the membership by the HCFRB. Each year, a nominating committee consisting of the chairpersons of the School of Medicine Oversight Committee and the School of Dental Medicine Council shall select at least two (2) candidates from the appropriate constituency to fill vacancies. The members of the HCFRB shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC. The HCFRB will develop, revise as necessary, and post rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.
- b. Grievances may be brought to the HCFRB by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCFRB in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and materials will be sent to the Provost and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.
- c. The HCFRB may conduct its proceedings in closed session or, with the concurrence of the grievant, hold public hearings. Parties to the proceedings may choose to be represented. The HCFRB shall evaluate the grievance in a prompt and timely manner.
- d. The HCFRB will submit its report and recommendations to the Provost. Copies of its report shall be sent to the grievant and to the person(s) against whom the grievance is lodged. In cases of grievances against the Provost, a copy of the report shall be sent to the President. Final disposition of grievances shall be effected without unnecessary delay.
- e. If not satisfied with the outcome of the HCFRB investigation and the action of the Provost in response thereto, the grievant or the person or persons against whom the grievance is lodged may, within thirty days of receiving the response, address a written appeal to the HCAC.

2. Health Center Appeals Committee (HCAC)

- a. This committee shall be a standing committee consisting of three (3) permanent members. The permanent members will include one (1) representative each from a basic science department, a clinical dental department, and a clinical medical department. Permanent members shall be School of Medicine or School of Dental Medicine faculty members of professorial rank on the UCHC payroll. They shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC from a slate of candidates nominated by the chairs of the School of Dental Medicine Council and the School of Medicine Oversight Committee to serve staggered terms of six (6) years. A permanent member may not be a current member of the HCFRB or the Committee on Appointments and Promotions of either school and may not be a Department Chair, Type II Center Director, or dean of any rank. The HCAC will develop, revise as necessary, and publish rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.
- b. Grievances may be brought to the HCAC directly by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCAC in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and supporting documents will be sent to the Provost and Executive Vice President for Academic Affairs and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.
- c. If, after consultation with the complainant, the person or persons against whom the grievance is lodged and such other persons as the committee deems appropriate, the HCAC has been unable to mediate the complaint informally, it then must determine if the complaint has enough substance to warrant a full hearing.
- d. The HCAC may not come to a decision that there is insufficient substance to justify further investigation without first providing the grievant an opportunity to address the HCAC in person. In such a case, the grievant may be represented.
- e. If the HCAC believes that there may be such substance to the grievances as to justify further investigation, it shall appoint a five member ad hoc committee called the Hearing Committee. Members of the HCAC may serve on the Hearing Committee. The ad hoc members must be of senior rank, but not necessarily full professors, and must otherwise meet the same restrictions on eligibility as described for members of the HCFRB and HCAC.
- f. The Hearing Committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The grievant and the person or person(s) to whom the grievance is lodged will be afforded the opportunity to directly address the Hearing Committee in person. The Hearing Committee, after consulting all parties to the dispute, may decide to conduct its proceedings in private or, with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

The Hearing Committees shall determine:

1. Whether the relevant procedures established by the University have been followed in the case before them.
  2. Whether the grievant has just cause for complaint.
  3. In cases involving promotion, tenure, and reappointment:
    - a. Whether the evidence employed in making the decision was sufficient and relevant.
    - b. Whether the decision was reasonable considering the evidence presented.
  4. An appropriate remedy, if any.
- g. The Hearing Committee will issue its report and recommendations to the Provost. In those cases involving a grievance against the Provost, the report shall be sent to the President. Within thirty days of receipt of the Hearing Committee's report, the President or the Provost shall inform the Hearing Committee in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the HCAC. Final disposition of grievances by the Health Center Appeals Committee shall be effected without unnecessary delay.
  - h. If not satisfied with the outcome of the Health Center Appeals Committees' investigation and the action of the President or Provost in response thereto, the grievant, the person against whom the grievance is lodged, the University President or Provost may, within thirty days of receiving the response, address a written appeal to the University of Connecticut Health Center Board of Directors through the President or Provost.
3. Board of Directors

The Board of Directors or its designee will examine the grievance for the process and will respond to the appeal in writing within a reasonable time. At its discretion, the Board of Directors or its designee may elect to mediate the grievance, conduct further investigation, and/or act on the grievance. If the Board of Directors or its designee elects to hold interviews or hearings, these may be held in public only with the concurrence of the grievant. All parties to interviews and hearings may be represented.

**U. Grievance Procedure for Management-Confidential Professional Staff**

A member of the management-confidential professional staff who believes he/she has cause for a grievance that cannot be adjusted by informal means may present a formal grievance under the following procedure:

1. The employee, with or without a representative, shall first present the grievance to the immediate supervisor. The immediate supervisor shall answer in writing to the employee within seven calendar days from the date the grievance is submitted.
2. When the answer is not satisfactory to the employee, the employee, with or without a representative, shall present the grievance to the appropriate Vice President. The Vice President shall answer in writing to the employee within seven calendar days thereafter.
3. An employee who is still aggrieved may appeal the grievance to an ad hoc Appeal Board appointed by the President. The Appeal Board shall consist of seven members at least four of which shall be members of the management-confidential professional staff. The grievant may be represented in matters before the Appeal Board.
4. The decision of the Appeal Board shall be in writing and shall be in the form of a recommendation to the President. Copies of the Appeal Board's recommendation shall be forwarded to the employee.

#### **ARTICLE XV – General Policies and Practices**

- A. No organization or group shall discriminate against or exclude a person because of race, religion, national origin or other protected class recognized by state or federal anti-discrimination laws, on that land owned or operated by the University of Connecticut, and organizations or groups that are found to have violated state or federal anti-discrimination laws shall not have the use of University-owned or operated buildings or property.
- B. All purchasing and contracting for supplies, equipment, and/or services and the management, accounting, and deposit of University funds must conform to applicable state statutes and University policies and procedures.
- C. Any business or communication from members or groups of the University staff that concerns the University or its departments and which requires action by the Board of Trustees shall be presented to the Board by the President of the University. If the President refuses or neglects to place such business or communication or any part thereof before the Trustees within a reasonable time, those concerned may present their petition directly to the Board.
- D. All apparatus, museum, and scientific collections, and other University property shall be in the immediate charge of the department head to which such material has been assigned, subject, however, to the control of the appropriate Vice President. Every person having charge of any apparatus, specimens, books, collections, or other University property shall be held responsible for their safety and shall ensure a record or inventory of all property for which he/she is responsible is maintained in compliance with University policy.
- E. The name or insignia of the University shall not be used by any individual or by any group not duly organized as a part of the University without the approval of the President.

## **F. Naming of Facilities**

The act of naming or renaming a University facility for a person, family or organization confers one of the University's highest and most conspicuous honors.

The President is authorized to establish guidelines and procedures in accordance with this policy for naming University facilities. The naming of any facility must be approved by the Board of Trustees upon recommendation of the President.

## **G. Intellectual Property**

### *1. Ownership of inventions<sup>6</sup>*

The University shall be entitled to own, or to participate in the ownership of, any invention, on the following conditions:

- a. The University shall be entitled to own the entire right, title, and interest in and to any invention:
  - i. conceived by one employee solely or by employees jointly in any instance in which such invention is conceived in the course of performance of customary or assigned duties of the employee inventor or inventors, or
  - ii. in which the invention emerges from any research, development, or other program of the University, or
  - iii. is conceived or developed wholly or partly at the expense of the University, or
  - iv. with the aid of its equipment, facilities, or personnel.
- b. In each such instance, the employee inventor shall be deemed to be obligated, by reason of employment by the University, to (i) disclose the invention fully and promptly to an authorized executive of the University; (ii) to assign to the University the entire right, title, and interest in and to each such invention; (iii) to execute such instruments of assignment to that effect; (iv) to execute such proper patent applications on such invention as may be requested by an authorized executive of the University, and (v) to give all reasonable aid in the prosecution of such patent applications and the procurement of patents.
- c. The University shall have the rights defined in Section G.1.a. with respect to inventions conceived jointly between employees and non-employees to the extent to which an employee has or employees have disposable interests therein and to the same extent the employee or employees shall be obligated as defined in said Section G.1.b.
- d. The University shall have no right to inventions conceived by non-employees, except as may be otherwise provided in contracts, express or implied, between the University and those entitled to the control of inventions.

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<sup>6</sup> For the purpose of this section, 'invention' shall mean that which is produced for the first time through the use of imagination or ingenious thinking and experiment.



## *2. Management of Intellectual Property*

The University shall:

- a. File and prosecute patent applications and obtain patents, relating to inventions or discoveries which the University may be justly entitled to own or control, wholly or partly, and receive and hold in separate custody, assignments, grants, licenses, and other rights in respect to such inventions, discoveries, patent applications, and patents.
- b. Make assignments, grants, licenses, or other disposal, equitably in the public interest, of any rights owned, acquired or controlled by the University, in or to inventions, discoveries, patent applications, and patents, and to charge therefore and collect, and to incorporate such funds in the custody of the University, reasonable compensation in such form and measure as the Board of Trustees authorizes or ratifies.
- c. Execute contracts with employees and others for the purpose of carrying out the appropriate management of the University's intellectual property. The entire beneficial ownership of intellectual property shall vest in the University and the Board shall exercise complete control thereof.

## *3. Employees to share in proceeds*

- a. Each employee who conceives any invention and discharges his/her obligations to the University as herein before provided shall be entitled to share in any net proceeds that may be derived from the assignment, grant, license or other disposal of such invention.
- b. Proceeds shall be computed with reasonable promptness after collection and after deducting from gross proceeds the costs and expenses allocated to that invention or discovery.
- c. A minimum of twenty percent of the net proceeds shall be paid to an employee who solely conceived or made the invention, and shall be paid in shares to two or more employees who jointly made the invention. The Board of Trustees may increase the amount by which any employee or employees may participate in such net proceeds.

## *4. Dispute Resolution*

Disagreements as to the allocation of any invention to a category, or with respect to the obligations of any employee, or due performance thereof, or with respect to participation of any employee in net proceeds, or with respect to the rights or obligations with reference to inventions in any category, shall be resolved as follows:

- a. By voluntary arbitration of all relevant issues if the disagreeing parties approve and agree to be bound by the decision upon such arbitration.
- b. By compulsory arbitration if that is provided for in any applicable contract between the disagreeing parties.

- c. By recourse to courts of appropriate jurisdiction within the State if arbitration cannot be resorted to under either subsection (a) or (b) of this section.
5. *Regulations for arbitration*

The Board is authorized to establish and regulate equitably in the public interest, such measures as the Board deems necessary for the purposes of such arbitration, and to make contracts for compulsory arbitration, in the name of the University.
6. *Rights as to products of authorship*

The University shall not claim any literary, artistic, musical, or other product of authorship covered by actual or potential copyright laws of the United States, but the University shall be authorized to make and enforce any contract, express or implied, which it may make with respect to any such subject matter.

## **H. Establishment of University Regional Campuses**

Before a new campus of the University of Connecticut is opened in any locality, the University's Board of Trustees must be convinced that a significant number of prospective students in that locality are unable to secure education at the college level from resources already available in the community and that there is urgent local demand for the University to establish a campus there.

## **I. Student Organizations**

Responsibility for the oversight and, where appropriate, support of student organizations is vested with the Vice President for Student Affairs or his/her designee. Such oversight shall include, but not be limited to, the development of policies and procedures related to student organization registration, recognition, and activities.

1. The University recognizes the right of any group of students to form a voluntary organization for any purpose not prohibited by law. Student organizations wishing to hold meetings and events in University facilities and be eligible for advice, training, and support from the University must have an active membership comprised chiefly of registered students and have met and maintained registration requirements as determined by the Vice President of Student Affairs or his/her designee. Such organizations shall be deemed 'registered student organizations.'
2. The University assumes no responsibility for the actions and activities of registered student organizations or their membership.

Registered student organizations having a formal advisee/advisor relationship with a University department may, in some cases, receive special help and supervision from those departments.

University faculty, staff and graduate assistants serving in an advisory capacity for registered student organizations will not be held responsible for the actions of student organization members provided any advice offered is consistent with applicable University, State, and Federal laws and is in the best interest of the safety of students and all individuals involved.

3. So far as its facilities permit, the University will provide registered student organizations with suitable meeting places without charge and will encourage and protect lawful freedom of expression during meetings of such organizations. The responsibility for any views expressed in such meetings vests with the individuals concerned. The University's role is not to approve or disapprove such views, whatever their nature, but to be concerned exclusively with the discharge of its educational obligation to facilitate free discussion of all points of view to the extent guaranteed by the Constitution of the United States and of the State of Connecticut. The University does not approve the qualifications of speakers whom registered student organizations invite to address them, nor, except as to availability of space and related issues of public safety, on the number or size of meetings which may be held.
4. The name of the University shall not be used by any group not duly authorized as a part of the University, nor by any individual, without the approval of the President or his/her designee. Registered student organizations are considered not to be "duly organized as a part of the University." In authorizing or denying the use of the name of the University, the President will, in general, be guided by the need of making clear to the public the nature of the relation of the organization in question to the University.
5. The University places no restrictions as to purpose on the solicitation of funds by registered student organizations, within or without the University community unless such activities violate state or federal laws. The time, place, and method of solicitation within the University by registered student organizations shall be governed by regulations established by the Vice President for Student Affairs or designee in the interest of public safety, avoiding over-crowding and unreasonable interference with those using an area for other purposes.

**J.** Use, possession, sale, distribution, or manufacture of alcohol, controlled substances and/or drugs or drug paraphernalia are prohibited except as expressly permitted by law and University regulations.

**K. Regulations Regarding Residence**

1. All students, before registering for classes for the first time at the University of Connecticut, must file an affidavit of residence, on forms prescribed by the University. On the basis of this information, each entering student will be initially classified as a Connecticut or an Out-of-State student.
2. The status of each student will be determined by the definitions established in the Connecticut General Statutes.
3. The failure of a student to disclose fully and accurately all facts relating to his/her residence status shall be grounds for suspension or expulsion.

**L. Policy Regarding the Expression of Dissent**

1. Orderly picketing and other forms of peaceful demonstration are permitted outside of buildings and in other public gathering areas. Significant interference with entry into or exit from such buildings or areas or with the free movement of any person on the University campus is not permissible.

2. Entry into University buildings, meeting halls, classrooms, and other designated areas may properly be restricted to those engaged in the normal or scheduled activities being conducted. The presence of unauthorized persons in such areas leading to substantial interference with other University activities, after due notice has been given, orally or in writing, will be construed as interfering with or obstructing a University activity and is not permissible.
3. The creation of loud or excessive noise that substantially disrupts or interferes with classes or other University activities is not permissible.
4. Direct personal abuse, whether physical or verbal, that significantly infringes upon the rights of others to participate in the academic community or leads to substantial disruption of a University related activity is not permissible.

**M. Commencement**

Commencement Exercises are authorized at the conclusion of both the Fall and Spring semesters.

**ARTICLE XVI – Advisory Search Committee for President**

- A. The purpose of the committee is to assist the Board of Trustees in its statutory responsibility of selecting the President of the University of Connecticut. To this end, the committee will need to conduct a broad search, developing a diverse candidate pool, screen qualified candidates, and make appropriate recommendations to the Board.
- B. The committee will be appointed by the Board of Trustees from recommendations submitted from various constituencies, including trustees, professional staff, faculty, students, and alumni. The committee should be large enough to represent each of the constituencies adequately. The Chair of the Board of Trustees shall serve *ex officio* as the Chair of the Search Committee. The faculty members of the search committee will include the faculty members of the Senate Executive Committee.
- C. The Board of Trustees should designate a small steering committee of the Advisory Search committee composed of committee members who can devote long hours to the work. The steering committee will be used to expedite the search procedures in ways agreed upon by the full committee. It will keep the full committee informed of the progress of the search by means of periodic meetings and, when appropriate, by written report.
- D. In order to insure equity and an objective evaluation of all candidates, it is essential that information on all candidates be available to each member of the committee and that no candidate be allowed to by-pass consideration by the committee.
- E. The search will normally proceed along the following lines:
  1. Clearly defining the needs of the University and the characteristics desired in the person to be chosen.

2. Developing a list of possible candidates and eliminating those unsuitable or not interested.
3. Developing a profile of the University for distribution to candidates being seriously considered.
4. Selecting and interviewing the most highly qualified candidates.
5. Ranking the leading candidates by vote and transmitting name(s) of finalist(s) to the Board of Trustees, with whatever qualifications the committee wishes to include.

During all of these stages, the steering committee will recommend steps to be taken to the Advisory Search committee, which will be responsible for all decisions.

- F. Every possible method should be used in developing the initial list of candidates, including advertising and the solicitation of names from the various University constituencies, as well as from other sources, such as college presidents, foundation officials, officers of learned societies, business and labor leaders, and other prominent citizens.
- G. Complete confidentiality of all proceedings must be maintained throughout the search; it becomes especially crucial during the later stages. Grave injustice to the candidates and serious harm to the University's reputation result from any breach of confidentiality. The damage to the University may not be immediately discernible, but will become evident in the willingness of outstanding individuals to be considered as candidates for high positions at the University of Connecticut.

## **ARTICLE XVII – Honorary Degrees**

On recommendation of the Honors and Awards Committee and the President, the Board of Trustees may vote to confer honorary degrees on distinguished individuals. The Board should award an honorary degree only in recognition of extraordinary and lasting distinction. The award should represent the highest intellectual and moral values; it should reflect the very character and quality of the University itself.

- A. There shall be an Honors and Awards Committee, consisting of the President, the Provost, the Executive Vice President for Health Affairs (~~both~~-all *ex-officio*), three faculty members nominated by the University Senate Executive Committee and appointed by the President, four members of the Board of Trustees appointed by the Chair of the Board, and two students appointed by the President. The President will chair the Committee. The faculty appointed by the President will serve for staggered terms of five years each and ordinarily may not succeed themselves. Students will serve one-year terms. The Board-appointed members will serve at the pleasure of the Chair.
- B. The Honors and Awards Committee will prepare for approval of the Board of Trustees written criteria and procedures for the selection of candidates for honorary degrees.
- C. Honorary degrees may be conferred at Commencement or at special convocations. Only under extraordinary circumstances will honorary degrees be conferred in absentia.

### **ARTICLE XVIII – Repeal and Amendment**

- A.** All rules, orders, and resolutions of the Board heretofore enacted and in conflict with these By-Laws are hereby repealed.
- B.** These By-Laws may be amended at any regular meeting of the Board by a recorded majority vote of all members of the Board, provided notice of any proposed amendment, including a draft thereof, shall have been given at the previous regular meeting.

### **ARTICLE XIX – Contravention with Law**

Should it be determined that any provision of these by-laws contravene any applicable federal or state law or regulation, such provision shall be invalid only to the extent of such actual contravention.

Board of Trustees approved April 24, 2013

## **ATTACHMENT 17**



University of Connecticut  
*Office of the Provost*

Mun Y. Choi, Ph.D.  
*Provost & Executive Vice  
President for Academic Affairs*

August 7, 2013

TO: Members of the Board of Trustees  
FROM: Mun Y. Choi, Provost  
RE: Five Year Review of Academic Centers and Institutes

The Laws, By-Laws and Rules of the University (Article XIII) require that "All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University's mission." In 2005, a Committee was charged to develop criteria for the establishment and review of academic centers and institutes. Based on the guidelines developed by this Committee, all academic centers and institutes at the University of Connecticut are reviewed over a period not to exceed five years.

BACKGROUND:

Following review and deliberation, the Academic Centers and Institutes Review Committee brought forth the following recommendations, which I support:

Renewed for five-year term

Center for Applied Research in Human Development  
Center for Environmental Sciences and Engineering  
Connecticut Information Technology Institute  
Center on Postsecondary Education and Disability

**Mission statements for the renewed Centers are available on the following page.**

*An Equal Opportunity Employer*

Gulley Hall  
352 Mansfield Road Unit 1086  
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web: www.uconn.edu



### **Center for Applied Research in Human Development (Five-Year Renewal)**

The primary mission of the Center for Applied Research in Human Development (CARHD) is to provide assistance to state and community-based agencies in the development, delivery, and evaluation of human service programs, with a specific focus on promoting high quality educational programming and evaluation for programs that promote child, youth, and family development. The Center's goals are to:

- Provide consultation to state and community human service programs to offer advice on program development and evaluation planning;
- Conduct program evaluations, performing data analyses, and preparing evaluation reports;
- Design and evaluate educational materials used in state and community-based agencies and organizations;
- Partner with community programs, state agencies, and others within the University community on the development of grant proposals for external funding;
- Promote scholarship in the form of journal publications, conference presentations, and doctoral dissertations derived from the Center's program evaluation activities; and
- Offer graduate and undergraduate students research internships or assistantships in program development and evaluation.

### **Center for Environmental Sciences and Engineering (CESE) (Five-Year Renewal)**

The mission of this Center is manifold and spans the areas of collaborative research, trans-disciplinary education, and outreach in environmental sciences, engineering, policy and sustainability. Established in 2004 by the Provost's Office following a reconfiguration of the Environmental Research Institute (ERI), the CESE plays a central role in the University's mission of advancing high levels of scholarship and research grants in the area of environmental sustainability.

### **Connecticut Information Technology Institute (CITI) (Five-Year Renewal)**

As a School of Business Unit, the Connecticut Information Technology Institute is a university-industry partnership created to enhance IT focused academic offerings, to increase the reputation of the University in the academic and business communities, and to address the needs of information technology businesses in Fairfield County and the State of Connecticut.

### **Center on Postsecondary Education and Disability (CPED) (Five-Year Renewal)**

The mission is to promote equal postsecondary educational opportunity for adolescents and adults with disabilities. CPED focuses on research and training to build the capacity of professionals and to enhance the field of postsecondary and secondary education and disability. CPED addresses its mission within three topics: secondary transition, college and career readiness, and the use of Universal Design for Instruction.

### **Center for Applied Research in Human Development (Five-Year Renewal)**

The primary mission of the Center for Applied Research in Human Development (CARHD) is to provide assistance to state and community-based agencies in the development, delivery, and evaluation of human service programs, with a specific focus on promoting high quality educational programming and evaluation for programs that promote child, youth, and family development. The Center's goals are to:

- Provide consultation to state and community human service programs to offer advice on program development and evaluation planning;
- Conduct program evaluations, performing data analyses, and preparing evaluation reports;
- Design and evaluate educational materials used in state and community-based agencies and organizations;
- Partner with community programs, state agencies, and others within the University community on the development of grant proposals for external funding;
- Promote scholarship in the form of journal publications, conference presentations, and doctoral dissertations derived from the Center's program evaluation activities; and
- Offer graduate and undergraduate students research internships or assistantships in program development and evaluation.

### **Center for Environmental Sciences and Engineering (CESE) (Five-Year Renewal)**

The mission of this Center is manifold and spans the areas of collaborative research, trans-disciplinary education, and outreach in environmental sciences, engineering, policy and sustainability. Established in 2004 by the Provost's Office following a reconfiguration of the Environmental Research Institute (ERI), the CESE plays a central role in the University's mission of advancing high levels of scholarship and research grants in the area of environmental sustainability.

### **Connecticut Information Technology Institute (CITI) (Five-Year Renewal)**

As a School of Business Unit, the Connecticut Information Technology Institute is a university-industry partnership created to enhance IT focused academic offerings, to increase the reputation of the University in the academic and business communities, and to address the needs of information technology businesses in Fairfield County and the State of Connecticut.

### **Center on Postsecondary Education and Disability (CPED) (Five-Year Renewal)**

The mission is to promote equal postsecondary educational opportunity for adolescents and adults with disabilities. CPED focuses on research and training to build the capacity of professionals and to enhance the field of postsecondary and secondary education and disability. CPED addresses its mission within three topics: secondary transition, college and career readiness, and the use of Universal Design for Instruction.


## **ATTACHMENT 18**




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

August 7, 2013

TO: Members of the Board of Trustees

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

Lysa Teal   
Associate Vice President of Finance and Budget

RE: Revised Spending Plan for Fiscal Year 2014 for the University of Connecticut,  
Storrs, and Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve the Revised Spending Plan for Fiscal Year 2014 of \$1,126.7 million for the University of Connecticut, Storrs and Regional Campuses.

BACKGROUND:

Subsequent to the approval of the FY 2014 Spending Plan on June 26, 2013, changes in the financial environment have taken place which necessitates revisions to the Spending Plan for FY 2014. The State Comptroller's Office has issued the official State fringe benefit rates which reflect significant increases over the FY 2013 rates. Since the State appropriation does not support all University employees and their fringe benefit costs, the University must cover the net increase of \$9.6 million in expenditures. In addition, expenditure for Salaries & Wages and Fringe Benefits have been increased by \$2.5 million to ensure that the course demands of a larger freshman class are supported. The Fiscal Year 2014 Revised Spending Plan includes \$1,095.8 million of revenue, including state support of \$306.6 million, to cover \$1,126.7 million in expenses and transfers, yielding a net loss of \$30.9 million. It is expected that \$30.9 million of prior years' accumulation of funds will be used to balance the FY 2014 budget.

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**University of Connecticut**  
**Storrs & Regional Campuses**  
**Current Funds - Fiscal Years 2011-2014 (in millions)**

|   | <i>Actual</i>        | <i>Actual</i>       | <i>Forecast</i>     | <i>Approved<br/>Budget</i> | <i>Revised<br/>Budget</i> |               |             |
|---|----------------------|---------------------|---------------------|----------------------------|---------------------------|---------------|-------------|
|   | <u>FY 2011</u>       | <u>FY 2012</u>      | <u>FY 2013</u>      | <u>FY 2014</u>             | <u>FY 2014</u>            | <u>Change</u> | <u>%</u>    |
| <b>Revenues:</b>                        |                      |                     |                     |                            |                           |               |             |
| Operating Fund                          |                      |                     |                     |                            |                           |               |             |
| State Support                           | \$329.0              | \$282.4             | \$285.1             | \$304.8                    | \$306.6                   | \$1.8         | 0.6%        |
| Tuition                                 | 246.1                | 259.9               | 270.3               | 288.6                      | 288.6                     |               |             |
| Fees                                    | 92.3                 | 97.0                | 103.2               | 107.6                      | 107.6                     |               |             |
| Auxiliary Enterprise Revenue            | 176.4                | 185.0               | 186.2               | 195.9                      | 195.9                     |               |             |
| All Other Revenues                      | <u>117.1</u>         | <u>110.3</u>        | <u>106.9</u>        | <u>106.6</u>               | <u>106.6</u>              |               |             |
| Total Operating Fund                    | \$960.9              | \$934.5             | \$951.7             | \$1,003.5                  | \$1,005.3                 | 1.8           | 0.2%        |
| Research Fund                           | <u>97.3</u>          | <u>97.8</u>         | <u>93.0</u>         | <u>90.5</u>                | <u>90.5</u>               |               |             |
| <b>Total Revenues</b>                   | <b>\$1,058.2</b>     | <b>\$1,032.4</b>    | <b>\$1,044.7</b>    | <b>\$1,094.0</b>           | <b>\$1,095.8</b>          | <b>1.8</b>    | <b>0.2%</b> |
| <b>Expenditures:</b>                    |                      |                     |                     |                            |                           |               |             |
| Operating Fund                          |                      |                     |                     |                            |                           |               |             |
| Salaries & Wages                        | \$413.0              | \$414.2             | \$428.5             | \$461.0                    | \$462.8                   | \$1.8         | 0.4%        |
| Fringe Benefits                         | 148.3                | 151.0               | 166.1               | 191.4                      | 203.0                     | 11.6          | 6.1%        |
| Other Expenses                          | 196.9                | 188.7               | 196.2               | 200.6                      | 200.6                     |               |             |
| Equipment                               | 17.4                 | 15.5                | 18.9                | 19.0                       | 19.0                      |               |             |
| Student Financial Aid                   | 118.4                | 121.1               | 125.6               | 130.8                      | 130.8                     |               |             |
| Debt Service/Transfers                  | <u>49.1</u>          | <u>40.6</u>         | <u>17.8</u>         | <u>19.0</u>                | <u>19.0</u>               |               |             |
| Total Operating Fund                    | \$943.1              | \$931.1             | \$953.1             | \$1,021.8                  | \$1,035.2                 | 13.4          | 1.3%        |
| Research Fund Expenditures              | <u>98.4</u>          | <u>97.4</u>         | <u>94.4</u>         | <u>91.0</u>                | <u>91.5</u>               | <u>0.5</u>    | 0.5%        |
| <b>Total Expenditures</b>               | <b>\$1,041.5</b>     | <b>\$1,028.5</b>    | <b>\$1,047.5</b>    | <b>\$1,112.8</b>           | <b>\$1,126.7</b>          | <b>13.9</b>   | <b>1.2%</b> |
| Use of Reserves                         |                      |                     | <u>2.8</u>          | <u>18.8</u>                | <u>30.9</u>               | \$12.1        | 64.4%       |
| <b>Gain (Loss)</b>                      | <b><u>\$16.7</u></b> | <b><u>\$3.9</u></b> | <b><u>\$0.0</u></b> | <b><u>\$0.0</u></b>        | <b><u>(\$0.0)</u></b>     |               |             |
| Transfer from Reserves to State General | (15.0)               |                     |                     |                            |                           |               |             |
| <b>Net Gain (Loss)</b>                  | <b><u>\$1.7</u></b>  |                     |                     |                            |                           |               |             |

## **ATTACHMENT 19**







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

August 7, 2013

TO: Members of the Board of Trustees

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

Richard F. Orr, Esq.   
General Counsel

RE: Settlement of the Advanced Technology and Incubator Building  
Roof Litigation

RECOMMENDATION:

That the Board of Trustees approve the proposed settlement between the University of Connecticut ("UConn" or the "University") and Svigals Associates, P.C., Svigals + Partners, LLP; Turner Construction Company and Ernest Peterson, Inc. and authorize the Executive Vice President for Administration and Chief Financial Officer, or his designee, to execute a Settlement Agreement and Release whereby the University is to receive: (1) in-kind services to replace the defective and broken slate shingles, and (2) \$80,000.00 lump sum payment, to compromise the claims related to the Advanced Technology and Incubator Building Roof litigation.

BACKGROUND:

The University's Advanced Technology and Incubator Building, Project No. BI-900925 (the "ATIB Building") was constructed and substantially completed in 2003. The architect for the project was Svigals Associates, P.C., also known as Svigals + Partners, LLP (collectively referred to as "Svigals"). The construction manager for the project was Turner Construction Company ("Turner"), and Ernest Peterson, Inc. ("Peterson") was the roofing contractor.

The design of the ATIB Building called for a slate roof. After the building was completed, University representatives noted that slates were visibly distorted in several locations throughout the fields of the roof, some slates had broken, and other slates and/or parts of slates had fallen to the ground causing a hazard to students and pedestrians. Although the University has taken measures to insure that broken slates cannot fall off of the building, this condition has continued to date.

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Suit was filed against Svigals in July 2009 for design defects and deficiencies and subsequently, as a result of UConn's consultant's report concluding that there were both design and construction defects and deficiencies, Turner was made a party to the action. Pursuant to a contractual indemnification provision, Peterson is providing a defense and indemnification on behalf of Turner.

Based upon the analysis and recommendation of UConn's consultant, Simpson Gumpertz and Heger, UConn decided that the best course of action was to repair the broken and defective slate roof. Consequently, the parties engaged in settlement discussions resulting in a proposal to settle the ATIB Roof Litigation. The proposed settlement consists of: (1) in-kind services provided by Peterson to replace the broken or defective slate shingles in accordance with the design specifications of Simpson Gumpertz and Heger; and (2) \$80,000.00 lump sum payment by Svigals for future maintenance costs of the slate roof.

This recommendation, if approved, acts as the Board of Trustees' Resolution authorizing the settlement of the ATIB Roof Litigation as indicated above and authorizes the Executive Vice President for Administration and Chief Financial Officer, or his designee, to execute the Settlement Agreement and Release entered into between the parties related to this matter.



## **ATTACHMENT 20**



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

August 7, 2013

TO: Members of the Board of Trustees

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

Richard F. Orr, Esq.  
General Counsel

RE: Settlement of the Agricultural Biotechnology Laboratory and Greenhouse  
("Ag-Bio") Building Roof Litigation

RECOMMENDATION:

That the Board of Trustees approve the proposed settlement between the University of Connecticut ("UConn" or the "University") and Svigals Associates, P.C., Svigals + Partners, LLP; HRH/Atlas Construction, Inc.; and Starrett Corporation and authorize the Executive Vice President for Administration and Chief Financial Officer, or his designee, to execute a Settlement Agreement and Release whereby the University is to receive a total of \$425,000.00 to compromise the claims related to the Agricultural Biotechnology Laboratory and Greenhouse Roof litigation.

BACKGROUND:

The University's Agricultural Biotechnology Laboratory and Greenhouse, Project No. BI-900584 (the "Ag-Bio Building") was constructed and substantially completed in 2001. The architect for the project was Svigals Associates, P.C., also known as Svigals + Partners, LLP (collectively referred to as "Svigals"). The general contractor for the project was HRH/Atlas Construction, Inc. ("HRH"). Starrett Corporation ("Starrett") provided a written guarantee that HRH would fully and faithfully perform its contract obligations.

The design of the Ag-Bio Building called for a slate roof. After the building was completed, University representatives noted that slates were visibly distorted in several locations throughout the fields of the roof, some slates had broken, and other slates and/or parts of slates had fallen to the ground causing a hazard to students and pedestrians. Although the University has taken measures to insure that broken slates cannot fall off of the building, this condition has continued to date.

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Suit was filed against Svigals in July 2009 for design defects and deficiencies. Subsequently, as a result of UConn's consultant's report concluding that there were both design and construction defects and deficiencies, HRH and Starrett were placed on notice of the alleged construction defects and deficiencies and the intent of UConn to amend the pending suit to include them as direct defendants.

Based upon the analysis and recommendation of UConn's consultant, Simpson Gumpertz and Heger, UConn decided that the best course of action was to repair the broken and defective slate roof. Consequently, the parties engaged in settlement discussions resulting in a proposal to settle the Ag-Bio Roof Litigation and claims against HRH and Starrett for the total amount of \$425,000.00, with payment to be made to UConn by Starrett in the amount of \$200,000.00 and by Svigals in the amount of \$225,000.00.

This recommendation, if approved, acts as the Board of Trustees' Resolution authorizing the settlement of the Ag-Bio Roof Litigation in the total amount of \$425,000.00 and authorizes the Executive Vice President for Administration and Chief Financial Officer, or his designee, to execute the Settlement Agreement and Release entered into between the parties related to this matter.

## **ATTACHMENT 21**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Hartford Relocation Acquisition/Renovation  
(Planning: \$1,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$1,000,000 for due diligence and preliminary planning related to the Relocation and Acquisition of the Downtown Hartford Campus.

BACKGROUND:

A strategically important University initiative is to relocate and consolidate the various Hartford based academic programs into a central, downtown Hartford location. The University wishes to invest in and maintain a vibrant presence in the Hartford capital region. The current activities are located at the West Hartford campus or, in the case of the School of Business, in a leased facility in downtown Hartford.

The existing four building West Hartford Campus has served the University needs well. However, a significant investment would be required in all of the facilities to prolong their use. Even with substantial investment, the facilities would still be inadequate for the type of pedagogical activities envisioned in the future.

The most advantageous and economical strategy is to relocate the various academic components into a purpose built facility. The University has recently completed a request for information from potential developer teams, interested in working with the University to achieve this goal. Thirteen development teams responded, three were invited for discussions and one team and site was identified as preferred. The first step is

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to confirm the viability of the offer and to initiate the planning to develop a program which incorporates University program goals. Approval of this budget will allow the University to employ legal, architectural and engineering teams to assist with due diligence and planning.

The Planning Budget reflects an initial estimate of \$1,000,000 required to initiate this work. Future project budget resolutions will request approval for the total project cost.

The Planning Budget is attached for your consideration and approval.

## **CAPITAL PROJECT BUDGET REPORTING FORM**

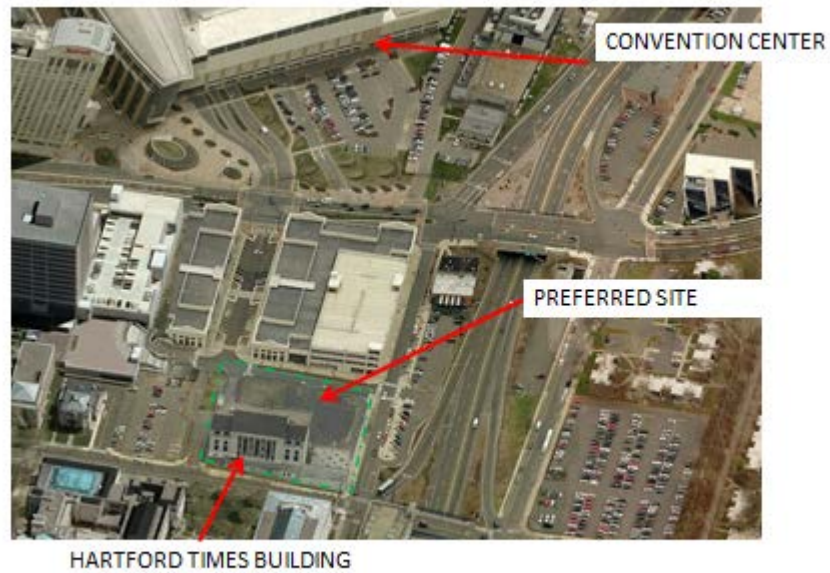
**TYPE BUDGET: PLANNING**

**PROJECT NAME: HARTFORD RELOCATION ACQUISITION/RENOVATION**

| <b><u>BUDGETED EXPENDITURES</u></b>              | <b>PROPOSED<br/>PLANNING<br/>8/7/2013</b> |
|--|---|
| CONSTRUCTION                                     | \$ -                                      |
| DESIGN SERVICES                                  | 100,000                                   |
| TELECOMMUNICATIONS                               | -   |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   |
| CONSTRUCTION ADMINISTRATION                      | 200,000                                   |
| OTHER AE SERVICES (including Project Management) | 350,000                                   |
| ART  | -   |
| RELOCATION                                       | -   |
| ENVIRONMENTAL                                    | 50,000                                    |
| INSURANCE AND LEGAL                              | 125,000                                   |
| MISCELLANEOUS                                    | 75,000                                    |
| OTHER SOFT COSTS                                 | -   |
| <b>SUBTOTAL</b>                                  | <b>\$ 900,000</b>                         |
| PROJECT CONTINGENCY                              | 100,000                                   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 1,000,000</b>                       |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |
| UConn 2000 PHASE III                             | \$ 1,000,000                              |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 1,000,000</b>                       |



# Hartford Relocation Acquisition/Renovation Project Budget (PLANNING) 08/07/2013





## **ATTACHMENT 22**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Sewer Line Replacement – Storrs Road Pump Station  
(Planning: \$3,150,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$3,150,000 for the planning, design and construction of a replacement project for key components of the Storrs Road Pump Station system.

BACKGROUND:

The University operates a Sewage Treatment Plant that treats sanitary waste from the University and a large part of the surrounding area including the new Storrs Center. There is an extensive network of sanitary sewers connecting the plant to the numerous buildings throughout the area. The system consists of increasing size pipes connecting the individual buildings to the plant. One of the largest and most important service areas is located on Storrs Road. This collects and moves waste from the entire southern and eastern parts of the campus and the entire new area of downtown development and moves it to the Sewage Treatment Plant.

The primary components of this system are a large sewer main running the length of Route 195, two pump stations and a force main that moves the waste from the low point of the system to a gravity sewer. Altogether, this area processes over 35% of the daily sewer flow.

The University commissioned a firm to investigate the system from the standpoint of capacity and reliability. The firm concluded that repairs were needed to the system to insure continued functionality to support the current and future flows. The University has commissioned a design firm to prepare project plans and specifications for this project.

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The Planning Budget reflects a total project cost of \$3,150,000 based upon the engineer's estimates. The project design will be completed by January 2014. Implementation schedule will be dependent upon environmental permitting and funding.

The Planning Budget is attached for your consideration and approval.

Attachment

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: PLANNING**

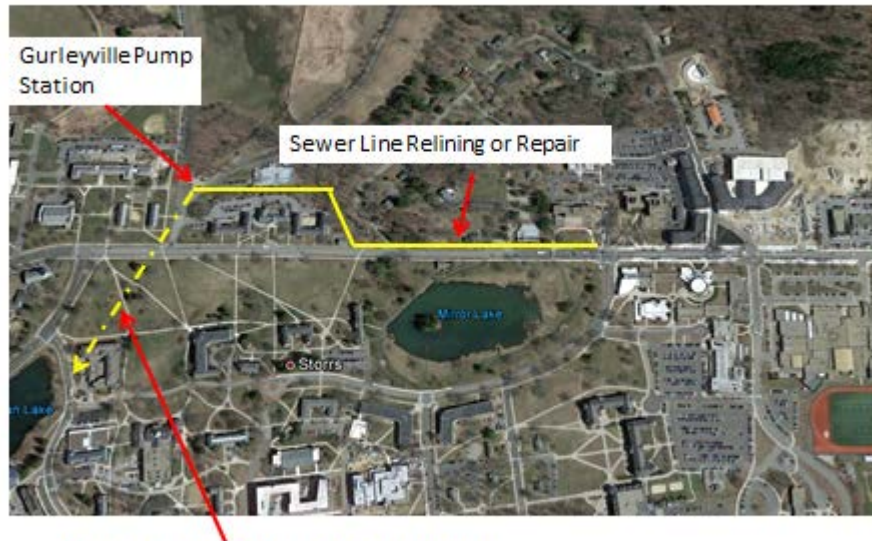
**PROJECT NAME: SEWER LINE REPLACEMENT @ STORRS ROAD PUMP STATION**

| <b><u>BUDGETED EXPENDITURES</u></b>              | <b>PROPOSED<br/>PLANNING<br/>8/7/2013</b> |
|--|---|
| CONSTRUCTION                                     | \$ 2,195,000                              |
| DESIGN SERVICES                                  | 350,000                                   |
| TELECOMMUNICATIONS                               | 5,000                                     |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   |
| CONSTRUCTION ADMINISTRATION                      | 115,000                                   |
| OTHER AE SERVICES (including Project Management) | 75,000                                    |
| ART  | -   |
| RELOCATION                                       | -   |
| ENVIRONMENTAL                                    | 60,000                                    |
| INSURANCE AND LEGAL                              | 15,000                                    |
| MISCELLANEOUS                                    | 35,000                                    |
| OTHER SOFT COSTS                                 | -   |
| <b>SUBTOTAL</b>                                  | <b>\$ 2,850,000</b>                       |
| PROJECT CONTINGENCY                              | 300,000                                   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 3,150,000</b>                       |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |
| UConn 2000 PHASE III - FY12 DM                   | \$ 3,150,000                              |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 3,150,000</b>                       |

# SEWER LINE REPLACEMENT STORRS ROAD PUMP STATION

Project Budget (Planning)

08/07/2013



FORCE MAIN – ROUTING TO BE DETERMINED  
TO MINIMIZE DISRUPTION



Gurleyville Road Pump Station exterior



Horsebarn Hill Road Pump Station  
exterior

## **ATTACHMENT 23**





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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for the Advanced Technology Laboratory and White Building  
Electrical & Generator Modifications (Design: \$605,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$605,000 for the design and construction of upgrades related to the increased generation capacity of the Advanced Tech Lab, Agriculture-Bio Tech Lab, and George C. White Building.

BACKGROUND:

The Advanced Tech Lab, Agriculture-Bio Tech Lab, and George C. White Building, are mixed use, laboratory and office buildings. Normal, day to day power needs are provided by the University electrical distribution system. While this system is extremely reliable, power interruption events may occur that require power for life safety and for continuity of operations.

These needs are met by a local standby power generator at the Agriculture-Bio Tech Lab and the Advanced Technology Lab buildings. The White Building is not connected to a standby power source.

The purpose of this project is to replace the existing generator with a larger unit and to connect the White building to the supply. Additionally, work will be completed within each building to allow for distribution to the areas that require back up power.

The scope of work includes increasing generation capacity and optimizing the layout of stand-by receptacles within the laboratories to improve research support, adding existing mechanical systems such as sump pumps to stand-by power, and connecting the White Building to the new generator.

The University commissioned a design firm to prepare plans and specifications for this project and the project design is now complete. The attached Project Budget is based on the estimate of construction cost.

The Design Budget is attached for your consideration and approval.

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## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: DESIGN**

**PROJECT NAME: ADVANCED TECHNOLOGY LABORATORY & WHITE BUILDING  
ELECTRICAL & GENERATOR MODIFICATIONS**

| <b><u>BUDGETED EXPENDITURES</u></b>              | <b>PROPOSED<br/>DESIGN<br/>8/7/2013</b> |
|--|---|
| CONSTRUCTION                                     | \$ 450,000                              |
| DESIGN SERVICES                                  | 48,400                                  |
| TELECOMMUNICATIONS                               | -                                       |
| FURNITURE, FIXTURES AND EQUIPMENT                | -                                       |
| CONSTRUCTION ADMINISTRATION                      | 8,000                                   |
| OTHER AE SERVICES (including Project Management) | 3,600                                   |
| ART  | -                                       |
| RELOCATION                                       | -                                       |
| ENVIRONMENTAL                                    | 2,000                                   |
| INSURANCE AND LEGAL                              | 7,000                                   |
| MISCELLANEOUS                                    | 26,000                                  |
| OTHER SOFT COSTS                                 | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 545,000</b>                       |
| PROJECT CONTINGENCY                              | 60,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 605,000</b>                       |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |
| UConn 2000 PHASE III - FY13 DM                   | \$ 565,000                              |
| UNIVERSITY PLANT FUNDS                           | 40,000                                  |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 605,000</b>                       |



# ADVANCED TECHNOLOGY LABORATORY/WHITE BUILDING ELECTRICAL & GENERATOR MODIFICATIONS

Project Budget (DESIGN)  
08/07/2013



## **ATTACHMENT 24**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Atwater Laboratory Electrical Service Project  
(Design: \$785,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$785,000 for the planning, design and construction of upgrades to the electrical service at the Wilbur O. Atwater Laboratory Building.

BACKGROUND:

Atwater Laboratory has inadequate electrical service for present research loads, and cannot support additional research loads within the facility. During the summer cooling periods, it is not possible to run the entire air conditioning load with the present service. Due to the services' age, corrosion has led to NEC Citations from the Office of the State Fire Marshal and Building Inspector that should be corrected.

This project will replace the existing 208/120V main service with a new 480/277V main service of approximately twice the capacity. At project completion, the ability for research growth and powering the existing air conditioning loads will be possible and all NEC Citations will be corrected.

The University has commissioned a design team to prepare contract documents for the project. The Project Budget includes a "construction" line item that was estimated by the design architect. This is based upon design documents, not competitive bidding and represents the best effort of the design team to establish a contract value at this phase of the project.

The Design Budget is attached for your consideration and approval.

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## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: DESIGN**

**PROJECT NAME: ATWATER LABORATORY ELECTRICAL SERVICE**

| <b><u>BUDGETED EXPENDITURES</u></b>              | <b>PROPOSED<br/>DESIGN<br/>8/7/2013</b> |
|--|---|
| CONSTRUCTION                                     | \$ 580,000                              |
| DESIGN SERVICES                                  | 89,000                                  |
| TELECOMMUNICATIONS                               | 5,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                | -                                       |
| CONSTRUCTION ADMINISTRATION                      | 5,000                                   |
| OTHER AE SERVICES (including Project Management) | 5,000                                   |
| ART  | -                                       |
| RELOCATION                                       | -                                       |
| ENVIRONMENTAL                                    | -                                       |
| INSURANCE AND LEGAL                              | 2,000                                   |
| MISCELLANEOUS                                    | 19,000                                  |
| OTHER SOFT COSTS                                 | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 705,000</b>                       |
| PROJECT CONTINGENCY                              | 80,000                                  |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 785,000</b>                       |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |
| UConn 2000 PHASE III - FY05 DM                   | \$ 20,000                               |
| UConn 2000 PHASE III - FY06 DM                   | 300,000                                 |
| UConn 2000 PHASE III - FY13 DM                   | 465,000                                 |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 785,000</b>                       |

# ATWATER LABORATORY ELECTRICAL SERVICE PROJECT

## Project Budget (DESIGN)

08/07/2013



EXTERIOR TRANSFORMER

INTERIORELECTRICAL ROOM



## **ATTACHMENT 25**





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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Beach Hall Renovations – Molecular Cell Biology Laboratory  
for New Faculty (Design: \$1,615,574)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$1,615,574 for a project related to the renovation of the College of Liberal Arts and Sciences, Molecular Cell Biology Laboratory in the Charles Lewis Beach Hall for new faculty.

BACKGROUND:

Beach Hall is a mixed use, laboratory and office building. The scope of this project is to renovate a partial ground floor of this building into state-of-the-art wet research laboratories. The scope of work includes foundation waterproofing, interior renovation, freezer room, faculty office, tissue culture room, storage, laboratory casework and equipment, fume hoods, finishes, electrical, plumbing and mechanical support.

The current laboratory space has been substantially demolished, creating an open area for development.

The University has commissioned a design team to prepare contract documents for the project. The Project Budget includes a "construction" line item that was estimated by the design architect. This is based upon design documents, not competitive bidding and represents the best effort of the design team to establish a contract value at this phase of the project.

The Design Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

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

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET:    DESIGN**

**PROJECT NAME:        BEACH HALL RENOVATIONS - MCB LAB FOR NEW FACULTY**

|  | <b>APPROVED<br/>PLANNING<br/>6/26/2013</b> | <b>PROPOSED<br/>DESIGN<br/>8/7/2013</b> |
|--|--|---|
| <b><u>BUDGETED EXPENDITURES</u></b>              |  |   |
| CONSTRUCTION                                     | \$ 1,100,000                               | \$ 1,100,000                            |
| DESIGN SERVICES                                  | 45,000                                     | 45,000                                  |
| TELECOMMUNICATIONS                               | 3,000                                      | 3,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT*               | 190,000                                    | 190,000                                 |
| CONSTRUCTION ADMINISTRATION                      | 574  | 574                                     |
| OTHER AE SERVICES (including Project Management) | 44,000                                     | 44,000                                  |
| ART  | -  | -                                       |
| RELOCATION                                       | 15,000                                     | 15,000                                  |
| ENVIRONMENTAL                                    | -  | -                                       |
| INSURANCE AND LEGAL                              | 3,000                                      | 3,000                                   |
| MISCELLANEOUS                                    | 15,000                                     | 15,000                                  |
| OTHER SOFT COSTS                                 | -  | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,415,574</b>                        | <b>\$ 1,415,574</b>                     |
| PROJECT CONTINGENCY                              | 200,000                                    | 200,000                                 |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 1,615,574</u></b>                 | <b><u>\$ 1,615,574</u></b>              |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |  |   |
| UConn 2000 PHASE III                             | <u>\$ 1,615,574</u>                        | <u>\$ 1,615,574</u>                     |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 1,615,574</u></b>                 | <b><u>\$ 1,615,574</u></b>              |

\* Additional Furniture, Fixtures and Equipment may be procured outside of the Capital Projects Delivery procedures, in accordance with standard UConn procurement policies and procedures, utilizing non-UConn 2000 funds from a faculty start-up package.



BEACH HALL RENOVATIONS –  
MOLECULAR CELL BIOLOGY LABORATORY FOR NEW FACULTY  
Project Budget (Design)  
08/07/2013



ROOM TO BE RENOVATED



View Looking West



View at Corridor Wall



View of Steam Lines at Exterior Wall

## **ATTACHMENT 26**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

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

RECOMMENDATION:

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

BACKGROUND:

The University has commissioned a design consultant to prepare a master and implementation plan for the Data Center Stabilization Rescue Project.

The design consultant has met with University program managers to determine the most effective and efficient means to ensure the 24/7 operation of the Data Center. They completed a master plan that proposes a significant increase in the reliability of the current Data Center.

The general scope of the master plan includes the following system upgrades:

- Two additional power distribution circuits.
- Redundant Uninterruptible Power Supply (UPS) to power infrastructure from independent sources.
- Overhead power distribution to provide a flexible power supply system for the ever-changing process environment.
- Removal of power distribution wiring under the raised floor.
- Complete air conditioning system upgrade to allow further expansion.

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The completion of this project will provide the needed infrastructure to ensure a stable Data Center; allow for some expansion due to changing needs, and allow the University to explore long term options.

The University has commissioned a design team to prepare contract documents for the project. The Project Budget includes a "construction" line item that was estimated by the design architect. This is based upon design documents, not competitive bidding and represents the best effort of the design team to establish a contract value at this phase of the project.

The Design Budget is attached for your consideration and approval.

Attachment

## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET: DESIGN**

**PROJECT NAME: GANT BUILDING RENOVATIONS - DATA CENTER  
STABILIZATION**

|  | <b>APPROVED<br/>PLANNING<br/>11/14/2012</b> | <b>PROPOSED<br/>DESIGN<br/>8/7/2013</b> |
|--|---|---|
| <b><u>BUDGETED EXPENDITURES</u></b>              |   |   |
| CONSTRUCTION                                     | \$ 2,750,000                                | \$ 2,750,000                            |
| DESIGN SERVICES                                  | 522,497                                     | 522,497                                 |
| TELECOMMUNICATIONS                               | -   | -                                       |
| FURNITURE, FIXTURES AND EQUIPMENT                | 300,000                                     | 300,000                                 |
| CONSTRUCTION ADMINISTRATION                      | -   | -                                       |
| OTHER AE SERVICES (including Project Management) | -   | -                                       |
| ART  | -   | -                                       |
| RELOCATION                                       | -   | -                                       |
| ENVIRONMENTAL                                    | -   | -                                       |
| INSURANCE AND LEGAL                              | -   | -                                       |
| MISCELLANEOUS                                    | 15,003                                      | 15,003                                  |
| OTHER SOFT COSTS                                 | -   | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 3,587,500</b>                         | <b>\$ 3,587,500</b>                     |
| PROJECT CONTINGENCY                              | 412,500                                     | 412,500                                 |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 4,000,000</u></b>                  | <b><u>\$ 4,000,000</u></b>              |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |   |
| UConn 2000 PHASE III                             | <u>\$ 4,000,000</u>                         | <u>\$ 4,000,000</u>                     |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 4,000,000</u></b>                  | <b><u>\$ 4,000,000</u></b>              |



# GANT BUILDING RENOVATIONS – DATA CENTER STABILIZATION

Project Budget (Design)

08/07/13



EDWARD V. GANT BUILDING

DATA CENTER – GROUND  
FLOOR LOCATION



ORIGINAL POWER  
DISTRIBUTION



SINGLE UNINTERRUPTABLE  
POWER SUPPLY



OUTDATED  
MONITORING  
SYSTEM



SUPPLEMENTAL  
COOLING

## **ATTACHMENT 27**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for the New Faculty Renovations – George C. White Building,  
Animal Science Lab (Design: \$1,827,500)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$1,827,500 for the planning, design and construction of the College of Agriculture & Natural Resources – Animal Science Lab Renovation – George C. White Building.

BACKGROUND:

The George C. White Building is occupied by the Animal Science Department and is a mixed use building containing classrooms, faculty offices, research space and the UConn Dairy Bar. The scope of this project is to renovate two existing laboratories (006 and 007) into state-of-the-art research laboratories. The scope of work includes demolition, interior renovation, laboratory casework, fume hoods, finishes, electrical improvements and mechanical upgrades.

The University has commissioned a design team to prepare contract documents for the project. The Project Budget includes a “construction” line item that was estimated by the design architect. This is based upon initial programmatic design, not fully developed construction documents or competitive bidding and represents the best effort of the design team to establish a contract value at this phase of the project.

The Design Budget is attached for your consideration and approval.

Attachment

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352 Mansfield Road Unit 2122  
Storrs, Connecticut 06269-2122

Telephone: (860) 486-3455 C:\Users\dlc02004\Documents\Word\BOT\Financial Affairs\Project Budgets\NewFacultyRenov-WhiteBldgAnimalSciLabWhite Bld Lab Reno DesignBudget 08.07.13.doc  
Facsimile: (860) 486-1070



## **CAPITAL PROJECT BUDGET REPORTING FORM**

**TYPE BUDGET:    DESIGN**

**PROJECT NAME:        NEW FACULTY RENOVATIONS-WHITE BUILDING ANIMAL  
SCIENCE LAB**

|  | <b>APPROVED<br/>PLANNING<br/>6/26/2013</b> | <b>PROPOSED<br/>DESIGN<br/>8/7/2013</b> |
|--|--|---|
| <b><u>BUDGETED EXPENDITURES</u></b>              |  |   |
| CONSTRUCTION                                     | \$ 1,050,000                               | \$ 1,050,000                            |
| DESIGN SERVICES                                  | 120,000                                    | 120,000                                 |
| TELECOMMUNICATIONS                               | 15,000                                     | 15,000                                  |
| FURNITURE, FIXTURES AND EQUIPMENT*               | 275,000                                    | 275,000                                 |
| CONSTRUCTION ADMINISTRATION                      | 30,000                                     | 30,000                                  |
| OTHER AE SERVICES (including Project Management) | 26,500                                     | 26,500                                  |
| ART  | -  | -                                       |
| RELOCATION                                       | 10,000                                     | 10,000                                  |
| ENVIRONMENTAL                                    | 21,000                                     | 21,000                                  |
| INSURANCE AND LEGAL                              | 5,000                                      | 5,000                                   |
| MISCELLANEOUS                                    | 15,000                                     | 15,000                                  |
| OTHER SOFT COSTS                                 | -  | -                                       |
| <b>SUBTOTAL</b>                                  | <b>\$ 1,567,500</b>                        | <b>\$ 1,567,500</b>                     |
| PROJECT CONTINGENCY                              | 260,000                                    | 260,000                                 |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 1,827,500</u></b>                 | <b><u>\$ 1,827,500</u></b>              |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |  |   |
| UConn 2000 PHASE III - FY13 DM                   | <u>\$ 1,827,500</u>                        | <u>\$ 1,827,500</u>                     |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 1,827,500</u></b>                 | <b><u>\$ 1,827,500</u></b>              |

\* Additional Furniture, Fixtures and Equipment may be procured outside of the Capital Projects Delivery procedures, in accordance with standard UConn procurement policies and procedures, utilizing non-UConn 2000 funds from a faculty start-up package.

NEW FACULTY RENOVATIONS – GEORGE C. WHITE  
BUILDING, ANIMAL SCIENCE LAB  
Project Budget (Design)  
08/07/2013



WHITE BUILDING

ROOM TO BE RENOVATED



General View of Lab 006



General View of Existing Lab 007



General View of Existing Lab 007

## **ATTACHMENT 28**



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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Heating Plant Upgrade Project – Boiler Reliability  
Improvements (Final: \$840,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$840,000 for the planning, design and construction of boiler reliability improvements at the Central Utility Plant (CUP).

BACKGROUND:

The purpose of the project is to improve the reliability of the CUP by replacing two steam turbine drives with electrical motors for two of the largest boilers.

The CUP is a very complex power plant that, among other functions, produces steam for campus use. The steam is used to heat buildings and provide hot water and the reliability of steam production is critical to the continuance of everyday campus life. The operations staff continually seeks ways to improve the reliability of steam production under adverse circumstances.

In recent operational reviews, Facilities staff noted that the plant is entirely dependent on the use of steam to restart the boilers if they stop. To allow restart with another power source, the suggestion was made to replace the current steam driven turbines with electrical driven turbine fans. (Large steam boilers require powerful fans to blow combustion air into the burner (forced-draft or FD fans) and to draw fumes out of the boiler (induced draft or ID fans) to discharge through the breechings and chimneys, and are essential to continued operation.) This change would allow restart with another power source.

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The University commissioned a design team to develop contract documents for this project. The team has completed their task. The attached Project Budget is based on their construction budget and other associated project development costs.

This Final Budget is attached for your consideration and approval.

Attachment

## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: FINAL**

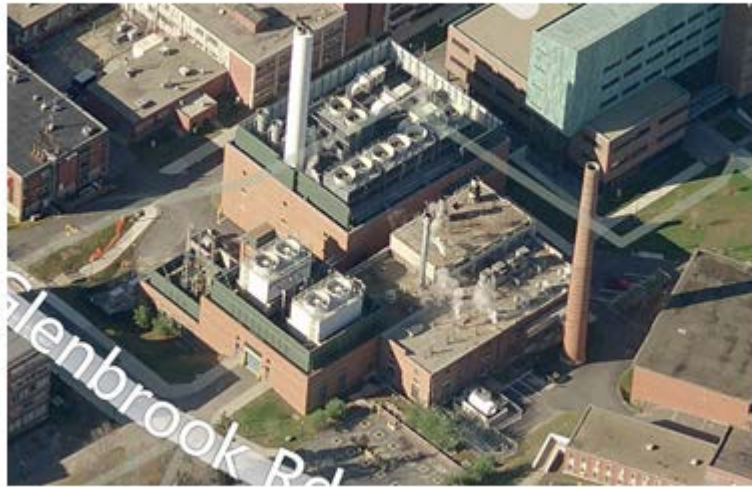
**PROJECT NAME: HEATING PLANT UPGRADE-BOILER RELIABILITY IMPROVEMENTS**

|  | <b>APPROVED<br/>PLANNING<br/>9/2/2011<br/>BY EVPA/CFO</b> | <b>APPROVED<br/>DESIGN<br/>6/26/2013</b> | <b>PROPOSED<br/>FINAL<br/>8/7/2013</b> |
|--|---|--|--|
| <b><u>BUDGETED EXPENDITURES</u></b>              |   |  |  |
| CONSTRUCTION                                     | \$ -  | \$ 588,500                               | \$ 588,500                             |
| DESIGN SERVICES                                  | 45,000  | 44,200                                   | 44,200                                 |
| TELECOMMUNICATIONS                               | -   | -  | -                                      |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   | -  | -                                      |
| CONSTRUCTION ADMINISTRATION                      | -   | 40,000                                   | 40,000                                 |
| OTHER AE SERVICES (including Project Management) | -   | 29,000                                   | 29,000                                 |
| ART  | -   | -  | -                                      |
| RELOCATION                                       | -   | -  | -                                      |
| ENVIRONMENTAL                                    | -   | 7,300                                    | 7,300                                  |
| INSURANCE AND LEGAL                              | -   | 1,000                                    | 1,000                                  |
| MISCELLANEOUS                                    | -   | 10,000                                   | 10,000                                 |
| OTHER SOFT COSTS                                 | -   | -  | -                                      |
| <b>SUBTOTAL</b>                                  | <b>\$ 45,000</b>  | <b>\$ 720,000</b>                        | <b>\$ 720,000</b>                      |
| PROJECT CONTINGENCY                              | 5,000   | 120,000                                  | 120,000                                |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 50,000</b>  | <b>\$ 840,000</b>                        | <b>\$ 840,000</b>                      |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |  |  |
| UCONN 2000 PHASE III                             | 50,000  | 840,000                                  | 840,000                                |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>50,000</b>   | <b>840,000</b>                           | <b>840,000</b>                         |



HEATING PLANT UPGRADE –  
BOILER RELIABILITY IMPROVEMENTS  
Project Budget (Final)  
08/07/2013

CENTRAL UTILITY PLANT (CUP)



STEAM DRIVEN INDUCED DRAFT FANS

Steam Turbine Driven ID Fan at Boiler #3



Steam Turbine Driven FD Fan at Boiler #7



## **ATTACHMENT 29**





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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Heating Plant Upgrade Project – Improve Condensate Return System (Final: \$1,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$1,000,000 for the planning, design and construction of repairs to the condensate return system at the Central Utility Plant (CUP).

BACKGROUND:

The purpose of the project is to repair a critical component system of the Central Utility plant by replacing two leaking condensate return tanks and replacing them with new tanks.

The Central Utility Plant (CUP) produces and distributes steam for heating in numerous campus buildings. The steam is converted to water as the temperature rises and the water is pumped back to the CUP for the start of a new cycle by reheating it back to steam. The condensate return tanks collect the returning water; their failure would result in a total loss of water and the need to continually replenish the system with new water. This would be extremely inefficient and costly. The existing tanks are in poor condition and should be replaced prior to failure.

The University commissioned a design team to prepare contract documents for this project; the project documents were completed. The attached Project Budget is based on the design team's estimated construction cost. The project is out to bid and the proposed budget will be amended if required by the results of the competitive bids.

The Final Budget is attached for your consideration and approval.

*An Equal Opportunity Employer*

352 Mansfield Road Unit 2122  
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Telephone: (860) 486-3455  
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## CAPITAL PROJECT BUDGET REPORTING FORM

**TYPE BUDGET: FINAL**

**PROJECT NAME: HEATING PLANT UPGRADE-IMPROVE CONDENSATE RETURN SYSTEM**

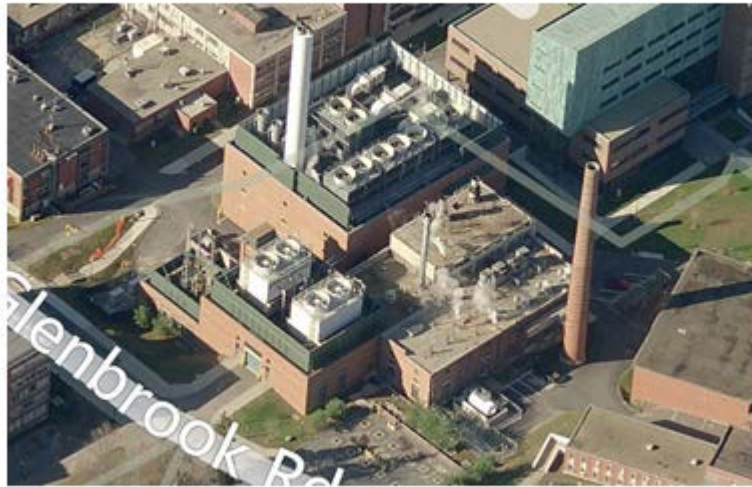
|  | <b>APPROVED<br/>PLANNING<br/>9/2/2011<br/>BY EVPA/CFO</b> | <b>APPROVED<br/>DESIGN<br/>6/26/2013</b> | <b>PROPOSED<br/>FINAL<br/>8/7/2013</b> |
|--|---|--|--|
| <b><u>BUDGETED EXPENDITURES</u></b>              |   |  |  |
| CONSTRUCTION                                     | \$ -  | \$ 731,000                               | \$ 731,000                             |
| DESIGN SERVICES                                  | 55,000  | 28,900                                   | 28,900                                 |
| TELECOMMUNICATIONS                               | -   | -  | -                                      |
| FURNITURE, FIXTURES AND EQUIPMENT                | -   | -  | -                                      |
| CONSTRUCTION ADMINISTRATION                      | -   | 40,000                                   | 40,000                                 |
| OTHER AE SERVICES (including Project Management) | -   | 35,000                                   | 35,000                                 |
| ART  | -   | -  | -                                      |
| RELOCATION                                       | -   | -  | -                                      |
| ENVIRONMENTAL                                    | -   | -  | -                                      |
| INSURANCE AND LEGAL                              | -   | 2,000                                    | 2,000                                  |
| MISCELLANEOUS                                    | -   | 13,100                                   | 13,100                                 |
| OTHER SOFT COSTS                                 | -   | -  | -                                      |
| <b>SUBTOTAL</b>                                  | <b>\$ 55,000</b>  | <b>\$ 850,000</b>                        | <b>\$ 850,000</b>                      |
| PROJECT CONTINGENCY                              | 5,000   | 150,000                                  | 150,000                                |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b>\$ 60,000</b>  | <b>\$ 1,000,000</b>                      | <b>\$ 1,000,000</b>                    |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |   |  |  |
| UCONN 2000 PHASE III                             | \$ 55,000   | \$ 1,000,000                             | \$ 1,000,000                           |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b>\$ 55,000</b>  | <b>\$ 1,000,000</b>                      | <b>\$ 1,000,000</b>                    |

# HEATING PLANT UPGRADE – IMPROVE CONDENSATE RETURN SYSTEM

Project Budget (Final)

08/07/2013

## CENTRAL UTILITY PLANT (CUP)



## LEAKING CONDENSATE TANKS

North End of the East and West Tanks



Active leak as seen facing the West Tank



LEAKING TANKS

**UNDER SEPARATE COVER**





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

August 7, 2013

TO: Members of the Board of Trustees

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

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

RE: Project Budget for Floriculture Greenhouse (Revised Final: \$6,832,300)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$6,832,300 for the Floriculture greenhouse project.

BACKGROUND:

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

The purpose of this project is to renovate portions of the greenhouses and upgrade the head house to meet life safety codes and programmatic needs developed by the Plant Science Department. The project provides for systems replacement of the headhouse, improved academic spaces, and a new research greenhouse. The University prequalified General Contractors, awarded the project, and commenced construction.

During construction it was observed that the existing heating system for the existing five greenhouses is deteriorated and does not function efficiently and warrants significant repairs. The existing greenhouses are heated via the University Central Steam system. Steam is piped into heat exchangers in the existing building and condensate is returned to the central heating facility via buried pipes. These pipes have deteriorated over time and cannot adequately convey the condensate, resulting in severe condensate leaks.

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University Planning, Architectural and Engineering Services (PAES) compared the feasibility and cost of replacement of the condensate lines with an alternate solution of providing a closed hot water system to heat the existing greenhouses. PAES recommends the closed hot water system, which is the least expensive solution and preferred by UConn Facilities Operations. This type of heating system is also consistent with the system utilized in the new greenhouse constructed as part of this project.

The new heating system has been designed and the work competitively priced. The bids received were in excess of current available funds by \$12,300. The University is providing the additional funding necessary to complete the work to the heating system.

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

## CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: 3rd REVISED FINAL

PROJECT NAME: FLORICULTURE GREENHOUSE

|  | APPROVED<br>PLANNING<br>6/24/2008 | APPROVED<br>REVISED<br>PLANNING<br>9/22/2009 | APPROVED<br>DESIGN<br>9/21/2010 | APPROVED<br>FINAL<br>2/22/2011 | APPROVED<br>REVISED<br>FINAL<br>4/13/2011 | APPROVED<br>REVISED<br>FINAL<br>4/25/2012 | PROPOSED<br>REVISED<br>FINAL<br>8/7/2013 |
|--|-----------------------------------|--|---------------------------------|--------------------------------|---|---|--|
| <b><u>BUDGETED EXPENDITURES</u></b>              |                                   |  |                                 |                                |   |   |  |
| CONSTRUCTION                                     | \$ 2,215,000                      | \$ 3,690,000                                 | \$ 3,700,000                    | \$ 3,810,000                   | \$ 4,800,000                              | \$ 5,930,000                              | \$ 5,942,300                             |
| DESIGN SERVICES                                  | 250,000                           | 550,000                                      | 475,000                         | 450,000                        | 400,000                                   | 420,000                                   | 420,000                                  |
| TELECOMMUNICATIONS                               | -                                 | -  | 75,000                          | 50,000                         | 50,000                                    | 45,000                                    | 45,000                                   |
| FURNITURE, FIXTURES AND EQUIPMENT                | -                                 | -  | -                               | 106,500                        | 70,000                                    | 92,000                                    | 92,000                                   |
| CONSTRUCTION ADMINISTRATION                      | -                                 | -  | -                               | -                              | -   | 18,000                                    | 18,000                                   |
| OTHER AE SERVICES (including Project Management) | 25,000                            | 75,000                                       | 85,000                          | 127,045                        | 189,745                                   | 207,000                                   | 207,000                                  |
| ART  | -                                 | -  | -                               | -                              | -   | -   | -  |
| RELOCATION                                       | -                                 | -  | -                               | -                              | -   | -   | -  |
| ENVIRONMENTAL                                    | 50,000                            | 50,000                                       | 50,000                          | 60,000                         | 70,000                                    | 35,000                                    | 35,000                                   |
| INSURANCE AND LEGAL                              | 10,000                            | 10,000                                       | 10,000                          | 5,500                          | 5,500                                     | 5,500                                     | 5,500                                    |
| MISCELLANEOUS                                    | -                                 | -  | 105,000                         | 22,955                         | 12,555                                    | 31,000                                    | 31,000                                   |
| OTHER SOFT COSTS                                 | 150,000                           | 125,000                                      | -                               | -                              | -   | -   | -  |
| <b>SUBTOTAL</b>                                  | <b>\$ 2,700,000</b>               | <b>\$ 4,500,000</b>                          | <b>\$ 4,500,000</b>             | <b>\$ 4,632,000</b>            | <b>\$ 5,597,800</b>                       | <b>\$ 6,783,500</b>                       | <b>\$ 6,795,800</b>                      |
| PROJECT CONTINGENCY                              | 300,000                           | 500,000                                      | 500,000                         | 368,000                        | 472,200                                   | 36,500                                    | 36,500                                   |
| <b>TOTAL BUDGETED EXPENDITURES</b>               | <b><u>\$ 3,000,000</u></b>        | <b><u>\$ 5,000,000</u></b>                   | <b><u>\$ 5,000,000</u></b>      | <b><u>\$ 5,000,000</u></b>     | <b><u>\$ 6,070,000</u></b>                | <b><u>\$ 6,820,000</u></b>                | <b><u>\$ 6,832,300</u></b>               |
| <b><u>SOURCE(S) OF FUNDING</u></b>               |                                   |  |                                 |                                |   |   |  |
| UCONN 2000 PHASE III                             | \$ 3,000,000                      | \$ 5,000,000                                 | \$ 5,000,000                    | \$ 5,000,000                   | \$ 6,000,000                              | \$ 6,750,000                              | \$ 6,750,000                             |
| DEPARTMENTAL FUNDS                               | -                                 | -  | -                               | -                              | 70,000                                    | 70,000                                    | 70,000                                   |
| UNIVERSITY OPERATING FUNDS                       | -                                 | -  | -                               | -                              | -   | -   | 12,300                                   |
| <b>TOTAL BUDGETED FUNDING</b>                    | <b><u>\$ 3,000,000</u></b>        | <b><u>\$ 5,000,000</u></b>                   | <b><u>\$ 5,000,000</u></b>      | <b><u>\$ 5,000,000</u></b>     | <b><u>\$ 6,070,000</u></b>                | <b><u>\$ 6,820,000</u></b>                | <b><u>\$ 6,832,300</u></b>               |

FLORICULTURE GREENHOUSE  
Project Budget (Revised Final)  
8/7/2013





**UNDER SEPARATE COVER**

# UConn | HEALTH CENTER

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DATE: August 7, 2013

TO: Members of the Board of Trustees

FROM: Frank M. Torti, MD, MPH  
Executive Vice President of Health Affairs  
Dean, School of Medicine

John Biancamano  
Chief Financial Officer

RE: Proposed Spending Plan for Fiscal Year 2014 for the University of Connecticut Health Center

## **RECOMMENDATION:**

That the Board of Trustees approve the Spending Plan for Fiscal Year 2014 of \$891.4 million for the University of Connecticut Health Center

## **BACKGROUND:**

The Fiscal Year 2014 Spending Plan includes \$880.4 million of revenue including state funding of \$203.5 million (including fringe benefits), to cover \$891.4 million in expenses yielding a net loss of \$11 million.

This request was reviewed and endorsed by the Board of Directors on August 6, 2013.


**UNDER SEPARATE COVER**


# UConn | HEALTH CENTER

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DATE: August 7, 2013

TO: Members of the Board of Trustees

FROM: Frank M. Torti, MD, MPH  
Executive Vice President of Health Affairs  
Dean, School of Medicine 

John Biancamano  
Chief Financial Officer 

RE: Proposed Capital Spending Plan for Fiscal Year 2014 for the University of  
Connecticut Health Center

## **RECOMMENDATION:**

That the Board of Trustees approve the Capital Spending Plan for Fiscal Year 2014 of \$24,573,000 for the University of Connecticut Health Center

## **BACKGROUND:**

The Fiscal Year 2014 Capital Spending Plan for the Health Center incorporates funds which include Research Use Allowance and Grant Revenues, Departmental Funds and Cash Available from Operations for a total of \$24,573,000.

This request was reviewed and endorsed by the Board of Directors on August 6, 2013.

**UNDER SEPARATE COVER**


**DRAFT RECORD OF DECISION (RoD) FOR THE  
CONNECTICUT ENVIRONMENTAL POLICY ACT  
ENVIRONMENTAL IMPACT EVALUATION OF  
POTENTIAL SOURCES OF WATER SUPPLY**

**Materials**

## **ATTACHMENT 30**

August 7, 2013

TO: Members of the Board of Trustees

FROM: Tysen Kendig, Vice President for Communications  
UConn Alumni Association Interim Executive Director 

RE: Memorandum of Understanding between the University of  
Connecticut and University of Connecticut Alumni Association  
for Fiscal Year 2014

**RECOMMENDATION:**

That the Board of Trustees approve the Fiscal Year 2014 Memorandum of Understanding (MOU) between the University of Connecticut Alumni Association and the University of Connecticut. The MOU establishes fundamental goals and objectives shared by the University and the Association in the area of alumni relations, as well as the financial arrangements agreed upon by the University and the Association to accomplish these goals and objectives, in addition to addressing other matters.

**BACKGROUND:**

For several years, the UConn Alumni Association and the University have entered into annual agreements that outline the relationship between the two entities and the responsibilities of the Association with respect to alumni relations on behalf of UConn. The University has designated the Association as the primary alumni relations entity for UConn and agreed to reimburse the Association for appropriate portions of carrying out this responsibility.

Until this year, these annual agreements have been adjusted modestly by the University administration. Keeping in line with a recommendation recently made by state auditors that formal approval of agreements of this size and nature be granted by the Board of Trustees, this MOU is presented for review and consent by the Board.

The FY 2014 MOU (July 1, 2013 to June 30, 2014) is substantially similar to the FY 2013 MOU with regard to the nature of the relationship between the Association and the University. The most significant change involves the provision of specific alumni relations functions and staffing that the University stipulates its funding will support. Previously, funding from the University was largely provided as a block grant unrestricted for use at the Association's discretion.

The key provisions are:

- Salary and benefits for one part-time and two full-time Directors of Alumni Relations, Association employees assigned to serve three UConn academic colleges/schools: \$185,225.87 for fiscal 2014;
- Salary and benefits for two full-time Web Developers, both Association employees: \$151,827.05 for fiscal 2014;
- Salary and benefits for one full-time Alumni Records Specialist, an Association employee: \$51,018.00 for fiscal 2014;
- Allocation from the "Fund for UConn" to support alumni-specific programming: \$100,000.00 for fiscal 2014.
- Salary and benefits for an Executive Director, a University employee assigned to the Association: TBD based on market and experience, but budgeted internally at \$277,874.01 for fiscal 2014;
- Salary and benefits for an editor, designer, and marketing specialist, three existing University positions whose jobs will primarily serve alumni and the interests and needs of the Association: budgeted internally at \$320,239.75 for fiscal 2014.
- Compilation, publishing, and distribution of the *UConn* magazine, a primary communications and engagement tool for Association members: budgeted internally at \$257,244.00 for fiscal 2014.
- Provision of landscaping, tree/brush removal, and snow removal services at the Alumni Center: budgeted internally at \$21,500 for fiscal 2014.
- The sum of FY 2014 University support to the Association, when accounting salary and benefits support, UConn magazine production, and private programmatic support from the "Fund for UConn," totals \$1,364,928.68.



**Memorandum of Understanding  
University of Connecticut  
and  
University of Connecticut Alumni Association  
Fiscal Year 2014**

This Memorandum of Understanding effective the 1<sup>st</sup> day of July 2013 is made between the University of Connecticut ("University"), Connecticut's land grant university, whose statutory authority is set forth in Chapter 195b of the Connecticut General Statutes and the University of Connecticut Alumni Association ("Association"), a Connecticut nonstock corporation that is exempt from taxation under 501(c) (3) of the Internal Revenue Code of 1986, as amended.

Annually, the University and the Association shall enter into a memorandum of understanding which outlines their goals and objectives, as well as the financial arrangements agreed upon by the University and the Association to accomplish these goals and objectives. This Memorandum of Understanding covers the period of July 1, 2013 through June 30, 2014 (fiscal year 2014).

**Roles and Responsibilities**

1. The relationship between the University and the Association is based on shared recognition that alumni are key stakeholders of the University community. They provide valuable perspective to University leaders and are a source of significant support for the University's goals. A strong, engaged alumni body is important to the University's success.
2. The Association is governed by a Board of Directors that establishes the goals and direction of the organization. The Board is responsible for developing policies that will facilitate the effective management of the Association. The Board and its elected officers speak on behalf of the Association.
3. The Association agrees to organize the programs, activities and communications that are in the best interests of and approved by the University and to provide a venue for supporting activities and programs. It is the intent of the Association to provide equal participation in the Association by all alumni. The University and the Association recognize the importance of including alumni from diverse backgrounds and alumni living throughout Connecticut, across the country and around the world. The Association will provide the following alumni programs and services for the benefit of the University:
  - Fostering the continued connection between the alumni and the University.
  - Identifying and recruiting alumni leaders and volunteers for University service.
  - Cultivating and stewarding alumni relationships for UConn.
  - Creating a climate of an alumni "network" or "family".
  - Recognizing outstanding alumni and faculty contributions through the awards program.
  - Hosting alumni events that connect alumni with each other and the University.

- Maintaining a campus home for alumni and an event space for the University through the Alumni Center.
  - Reaching out to UConn's international alumni to support academic, student recruitment and study abroad objectives.
  - Assisting UConn in securing its legislative priorities and needs.
  - Awarding scholarships to students.
  - Providing a robust group of alumni mentors willing to help students and other alumni.
  - Serving the campus, college, department and constituent alumni groups.
  - Promoting UConn's academic and community-based programs to alumni. Examples include environmental lectures, key campus speakers, writing workshops, museum events, possible online library access and athletic events.
  - Contributing to a rich database of alumni records.
  - Supporting UConn Athletics by promoting game attendance, ticket sales, athletic news and travel to away games.
  - Supporting the Foundation's capital campaign through communications and enhanced alumni relationships.
  - Serving the community on behalf of UConn through alumni volunteers.
  - Enriching the student experience by supporting student-oriented initiatives whenever possible.
  - Identifying and promoting UConn traditions.
4. The Association communicates with the University Board of Trustees through the Institutional Advancement Committee. The president of the Association's Board of Directors is invited to attend Institutional Advancement Committee meetings to help keep the Committee apprised of Association news and discuss Association matters.
  5. The Executive Director of the Association shall serve as the chief executive of the Association, reporting to the Office of the President of the University or his/her designee as well as to the Association's Board of Directors. In this capacity, the Executive Director shall implement the policies and programs of the Board of Directors and/or the University, and shall serve as the principal point of contact with the University on matters concerning its alumni. The Association's Board of Directors, in consultation with the Institutional Advancement Committee, approves a long-term strategic plan as well as an annual operating plan and budget. Consistent with the approved strategic plan, operating plan, and budget, as well as Association policies and procedures, the Executive Director shall be responsible for handling all financial issues, records, publications, and contracts of the Association.

### **Name and Brand Usage**

6. The University gives permission to the Association to use the various names and marks of the University of Connecticut in ways that will positively communicate or promote the University or the Association to alumni. Use of the University marks is granted for communications regarding the programs and activities of the Alumni Association, with the approval of University Communications. Use of the marks for corporate or affinity agreements must follow the process established in this agreement.

## **Communications and Representations**

7. The University, through the President of the University or his/her designee, the Executive Director of the Alumni Association, or other administrative officer will keep the Association informed of relevant institutional issues. Likewise, the Association will endeavor to communicate all issues of importance to the University, through the Executive Director of the Alumni Association.

## **Funding Support**

8. The University agrees to pay the Association not less than \$488,070.92 in fiscal 2014 to assist the Association in alumni engagement efforts for the benefit of the University. Of this amount, \$100,000 is provided through the "Fund for UConn," which is intended to subsidize uses outlined in section 9. The remaining funds are to be applied for the following specific functions intended to serve the breadth of University alumni:
  - One-part time and two full-time Directors of Alumni Relations assigned respectively to the College of Liberal Arts and Sciences, the College of Agriculture and Natural Resources, and the Neag School of Education. The sum of the salary and benefits for these three Association staff positions totals \$185,225.87;
  - Two full-time Web Developer positions. The sum of the salary and benefits for these two Association staff positions totals \$151,827.05;
  - One full-time Alumni Records Specialist position. This position will address the UConn Foundation's expressed intent to no longer provide staff support in fiscal 2014 for alumni records needs. The sum of the salary and benefits for this Association staff position totals \$51,018.00.
  - If any of the aforementioned positions should go vacant during fiscal 2014, the University reserves the right to rescind a portion of these funds no greater than the amount of unpaid salary and benefits.
9. The "Fund for UConn" allocation from the University of Connecticut Foundation is intended to support programs administered by the Association that directly serve alumni. In fiscal 2014, \$100,000 will be provided from this account for the Association to use, at the discretion of the Executive Director, in support of alumni-specific events, programs, and/or scholarships. It is not to be allocated for staff salaries or related personnel expenses, management overhead, or consultative services. The Association will, at the end of each fiscal year, provide the University and the Foundation with a complete accounting for the expenditures from this fund, along with a detailed budget plan for how said funds will be allocated in the next fiscal year. Unused or misappropriated "Fund for UConn" monies at the end of the fiscal year would revert back to the Foundation.
10. The University agrees to continue providing salary and benefits for one full-time University staff member assigned to the Association: the Executive Director. Salary and benefits for this position will be determined in accordance with University human resource protocols, with involvement and input from the Association's Board of Directors in hiring and review processes.

11. The University agrees to continue providing salary and benefits for three existing full-time University positions that serve the Association in direct and indirect ways: Magazine Editor, Magazine Designer, and Marketing Specialist. Salary and benefits for these positions are determined in accordance with University human resource protocols. These positions are assigned to University Communications.
12. The University also agrees to assume all costs for compiling, publishing, and distributing – in print and electronic form – on a periodic basis the *UConn* magazine, an alumni publication that serves as a primary communications and engagement vehicle for Association members.
13. The University also agrees to assume responsibility for all landscaping, tree and brush removal, and snow removal at the Alumni Center as part of a broader effort for quality and continuity in the presentation of the campus environment to the community and visitors. Such services would be provided as part of a routine maintenance schedule provided by or outsourced by the University. Should the Association require emergency services of this nature that require tending to Alumni Center property at a specific time, contracting for such service will be the responsibility of the Association.
14. The following stipulations are applied to the aforementioned financial obligations:
  - a. As circumstances permit, the University's payments (excluding amounts provided through the "Fund for UConn") shall be made in advance at the beginning of the fiscal year. The University has the ability to adjust the amount of University funds allotted during times of economic uncertainty (i.e. reductions in State support or declining revenues) in order to preserve the high quality of our core mission of education, research and service. In addition, the University may provide supplemental support for capital equipment, buildings and grounds services, unanticipated program needs and other administrative needs upon request.
  - b. Expenditures of these funds will follow appropriate Foundation, University and State spending guidelines, as applicable. The Association will provide the University with an annual financial report and narrative report on operations and activities.
  - c. The University agrees to provide the Association with access to University services and contracts to include: Telephone services, access to State contracts for information technology purchases, electricity, catering, supplies provided through University Central Stores, mail services, and document production services. The Alumni Association is responsible for paying the costs associated with these services.
  - f. The University agrees to provide access to the University information network to include broadband use, help desk services, exchange access, and infrastructure.
  - g. The Alumni Association also agrees to reimburse the University for expenses actually incurred and paid as a result of Alumni Association operations, if the University would not otherwise have incurred such expenses. Such reimbursement shall be made quarterly based on invoiced amounts of actual expenses and shall be due upon receipt. Such expenses include, but are not limited to document production services, utilization of state contracts, utilities and telephone services.

- h. The parties agree that at the end of the fiscal year, they will, in good faith, determine if any adjustments to the University's payments are required based on funded staff vacancies, independent hiring of Association staff deemed to be redundant or in replacement of University staff assigned to the Association, or outstanding expenditure reimbursements to the University account.
- 15. Association operations also will be supported by Association membership dues, affinity contracts, and corporate sponsorship. The University agrees to consider use of University marks by the Association in these relationships with prior review by University Communications. This review will ensure that the proposed usage of University marks does not conflict with any current University agreements. Affinity products and relationships that use the University marks must be reviewed by the Board of Directors and the University President or his/her designee.

### **Alumni Data**

- 16. The University and the Association acknowledge that there should be one alumni database. The Foundation is the steward of this data (student directory information). As required under the Family Education Rights and Privacy Act (FERPA), the University will notify students of all information designated as directory information under FERPA, including the student identifier, and advise students of their privacy rights with respect to the release of such information. The Association and the [University](#) have a separate agreement on the use of the alumni data which includes, without limitation, invitations to events, identification of potential volunteers, marketing materials, grass roots advocacy in support of University priorities, and revenue generating activities that are consistent with the interests of both the University and the Association. In each instance where data must be transferred to a third party, it is understood that the transfer will be consistent with state and federal law and any contract with the third party will include language concerning confidentiality and use limitations that have been pre-approved by both the legal counsel of the Foundation and the legal counsel for the Alumni Association. It is also the responsibility of the Association to ensure that materials will not be sent to alumni who have asked not to be solicited and/or have opted-out of product marketing. The Association should work in a spirit of cooperation with the Foundation in using, sharing and improving this data for the benefit of both organizations.

### **State Nondiscrimination Provisions**

- 17. References in this section to "Contract" shall mean this Memorandum of Understanding and references to "Contractor" shall mean the UConn Alumni Association.
  - a. The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes:
    - (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of

the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut. The Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this section and section 46a-56.

- b. If the Contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.
- c. "Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.
- d. Determination of the Contractor's good faith efforts shall include but shall not be limited to the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- e. The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

- f. The Contractor shall include the provisions of sections (a) and (b) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- g. The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes:
- (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this section and section 46a-56.
- h. The Contractor shall include the provisions of section (g) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

- i. For the purposes of this entire Non-Discrimination section, "Contract" or "contract" includes any extension or modification of the Contract or contract, "Contractor" or "contractor" includes any successors or assigns of the Contractor or contractor, "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced, and "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders. For the purposes of this section, "Contract" does not include a contract where each contractor is (1) a political subdivision of the State, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

**State Executive Orders (including Ethics Affidavit Requirements)**

18. The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions.



**For the University of Connecticut**

\_\_\_\_\_  
Susan Herbst  
President, University of Connecticut

\_\_\_\_\_  
Date

\_\_\_\_\_  
Richard Gray  
Executive Vice President and  
Chief Financial Officer, University of Connecticut

\_\_\_\_\_  
Date

**For the University of Connecticut Alumni Association**

\_\_\_\_\_  
Laura Cahill  
President, UConn Alumni Association

\_\_\_\_\_  
Date

\_\_\_\_\_  
Tysen Kendig  
Interim Executive Director, UConn Alumni Association

\_\_\_\_\_  
Date

**Approved As To Form**

\_\_\_\_\_  
Associate/Assistant Attorney General  
Office of the Attorney General  
State of Connecticut

\_\_\_\_\_  
Date

## **INFORMATIONAL ITEMS**

**University of Connecticut Department of Human Resources**  
**New Hires Processed from June 5, 2013 to July 16, 2013**  
**Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>               | <b>TITLE</b>                              | <b>DEPARTMENT</b>         | <b>DATE</b> |
|---------------------------|---|---------------------------|-------------|
| BABEY, CALANDRA           | RESEARCH ASSISTANT 1                      | SOCIAL WORK INSTR & RES   | 6/14/2013   |
| BULLOCK, MONICA M.        | UC PROFESSIONAL 05 - PROGRAM COORD        | ENGINEERING DIVERSTY PROG | 5/31/2013   |
| BURNS, RACHEL E.          | ASST CLIN PROF 11MO                       | PATHOBIOLOGY              | 6/14/2013   |
| CARCHEDI, AMANDA L.       | UC PROFESSIONAL 04 - PUBLICITY/MKTG COORD | CAREER SERVICES-AUX       | 6/28/2013   |
| CHIAPPETTA-MILLER, CONCET | ASST PROF IN RES                          | LIT, CULTURE & LANGUAGES  | 6/14/2013   |
| CIELOCHA, JOANNA J.       | U POST DOC FEL 1                          | ECOLOGY & EVOL BIOLOGY    | 5/31/2013   |
| CIFUENTES, ALEJANDRO      | U POST DOC FEL 1                          | MARINE SCIENCES/MSTC      | 7/1/2013    |
| COTE, JENNIFER L.         | UC PROFESSIONAL 04 - ADMIN SERV ASST III  | UNIVERSITY COMMUNICATIONS | 5/31/2013   |
| DANIELS, BENJAMIN L.      | UC PROFESSIONAL 07 - OPER SYS PROG/ANAL 2 | CONTROLLER OFC            | 6/24/2013   |
| DONG, LIANG               | U POST DOC FEL 1                          | MATERIALS SCIENCE INST    | 5/31/2013   |
| FIELD, CARRIANNA K.       | UC PROFESSIONAL 07 - PROGRAM ASSOCIATE    | LAW SCH DEAN OFC          | 6/28/2013   |
| FINLEY, JILL M.           | UC PROFESSIONAL 01 - FINANCIAL ASST I     | CHIP                      | 6/24/2013   |
| FISHER, TIMOTHY S.        | DEAN                                      | LAW SCH DEAN OFC          | 7/1/2013    |
| GROUT, SARAH E.           | RESEARCH ASSISTANT 1                      | MOLECULAR & CELL BIOLOGY  | 6/24/2013   |
| GUGLIOTTI, MELISSA N.     | UC PROFESSIONAL 01 - FINANCIAL ASST I     | LIBERAL ARTS & SCI DEAN   | 6/10/2013   |
| HANDRAHAN, CASEY D.       | SPECIALIST IIA                            | ATHLETICS WMNS INTERCOL   | 5/22/2013   |
| HAWKINS, JACLYN           | SPECIALIST IA                             | ATHLETICS WMNS INTERCOL   | 5/23/2013   |
| HAYCOCK, HEATHER          | RESEARCH ASSISTANT 1                      | PATHOBIOLOGY              | 6/28/2013   |
| KORT, MAXIMILIAN H.       | UC PROFESSIONAL 03 - PROG ASSISTANT I     | INTERNTL SERVICES & PROG  | 6/5/2013    |
| LIAO, YU-HSIEN            | U POST DOC FEL 1                          | MOLECULAR & CELL BIOLOGY  | 7/1/2013    |
| NAIR, MEERA S.            | UC PROFESSIONAL 09 - OPER SYS PROG/ANAL 3 | TECHNICAL INFRASTRUCTURE  | 6/28/2013   |
| O'KEEFE, MEREDITH F.      | UC PROFESSIONAL 06 - CAREER CONSULTANT    | LAW SCH DEAN OFC          | 6/14/2013   |
| OMARA-OTUNNU, LARIB       | UC PROFESSIONAL 01 - PROGRAM AIDE         | ATHLETICS MENS INTERCOL   | 7/5/2013    |
| PEREIRA, JOSEPH M.        | SPECIALIST IA                             | ATHLETICS MENS INTERCOL   | 6/17/2013   |
| REESE, BO U.              | ASST RESEARCH PROF                        | MOLECULAR & CELL BIOLOGY  | 6/28/2013   |
| RIVERA, CHRISTINA L.      | UC PROFESSIONAL 06 - UPWARD BOUND ADVISOR | ISS-ACADEMIC PROG CTR     | 6/10/2013   |
| ROBBINS, KEVIN J.         | U POST DOC FEL 1                          | MOLECULAR & CELL BIOLOGY  | 7/1/2013    |

**University of Connecticut Department of Human Resources**  
**New Hires Processed from June 5, 2013 to July 16, 2013**  
**Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>            | <b>TITLE</b>                              | <b>DEPARTMENT</b>       | <b>DATE</b> |
|------------------------|---|-------------------------|-------------|
| SEAGRAVE, JOHN E.      | UC PROFESSIONAL 06 - PUBLICITY/MKTG ADMIN | ATHLETICS MARKETING     | 5/31/2013   |
| SEEMANN, JEFFREY       | VICE PRESIDENT                            | VICE PRES FOR RESEARCH  | 6/30/2013   |
| SHIROLE, RAJENDRA S.   | INSTR IN RES 11MO                         | BUSINESS DEAN OFC       | 7/1/2013    |
| SHOKRNIAFARD, MARYAM   | RESEARCH ASSISTANT 2                      | ELECTRICAL & CPTR ENGR  | 6/6/2013    |
| SOUZA, MICHAEL J.      | SPECIALIST IA                             | ATHLETICS MENS INTERCOL | 6/14/2013   |
| SPENCER, KATRINA       | U DIRECTOR                                | BUDGET OFC              | 6/10/2013   |
| STEWART, CYNTHIA R.    | UC PROFESSIONAL 04 - PROGRAM ASSISTANT II | COMMUNICATION           | 5/31/2013   |
| STONE, EILEEN M.       | U ASST DIRECTOR                           | WELLNESS & AOD PREVENT  | 6/14/2013   |
| STULA, NANCY           | U DIRECTOR                                | BENTON MUSEUM OF ART    | 6/28/2013   |
| SUN, YU                | U POST DOC FEL 1                          | MATERIALS SCIENCE INST  | 5/31/2013   |
| TIAN, DAYONG           | RESEARCH ASSISTANT 1                      | MARINE SCIENCES/MSTC    | 6/29/2013   |
| TORCELLINI, JACQUELINE | UC PROFESSIONAL 06 - PROGRAM SPEC I       | ECONOMIC DEVELOPMENT    | 6/14/2013   |
| TRAN, HUAN D.          | U POST DOC FEL 1                          | MATERIALS SCIENCE INST  | 6/14/2013   |
| WANG, XIANMING         | U POST DOC FEL 1                          | MECHANICAL ENGR         | 6/1/2013    |
| WENNER, JULIANNE       | U POST DOC FEL 1                          | CURRICULUM & INSTR DEPT | 6/28/2013   |
| WOJTASZEK, DANIELLE P. | U POST DOC FEL 1                          | PHARMACY PRACTICE       | 7/1/2013    |
| ZAGAMI, PAMELA C.      | UC PROFESSIONAL 05 - ADMIN COORDINATOR    | CAREER SERVICES-AUX     | 6/28/2013   |
| ZOHREN, LARISSA D.     | RESEARCH ASSISTANT 1                      | PSYCHOLOGY              | 6/28/2013   |

**University of Connecticut Department of Human Resources**  
**Separations Processed from June 5, 2013 to July 16, 2013**  
**Presented to the Board of Trustees for Information on Professional Employees**

| NAME                     | TITLE                                    | SEPARATION REASON             | DEPT   | DATE      |
|--------------------------|--|-------------------------------|--------|-----------|
| BABBITT, JOHN H.         | U STAFF PROF IV                          | RETIREMENT (25+ YRS SERVICE)  | NED    | 6/30/2013 |
| BALL, REGAN Q.           | UC PROFESSIONAL 05 - ADMISSIONS OFFICER  | RESIGNATION (GOOD STANDING)   | ADMISS | 7/11/2013 |
| BLANEY, GEORGE           | SPECIALIST IA - ASSISTANT COACH          | RETIREMENT (55/W 10-24 YEARS) | ATH    | 6/30/2013 |
| BOMAR, JUDITH A.         | LECTURER                                 | RETIREMENT (55/W 10-24 YEARS) | RG CMP | 6/30/2013 |
| BRAGAW, ELIZABETH        | UC PROFESSIONAL 05 - FIELD COORD         | RESIGNATION (GOOD STANDING)   | PHPRC  | 6/27/2013 |
| BRIGGS, MARY E.          | UC PROFESSIONAL 05 - U LIBRARY ASST II   | RETIREMENT (25+ YRS SERVICE)  | LIB    | 5/31/2013 |
| BRUHN, THOMAS P.         | U DIRECTOR                               | RETIREMENT (25+ YRS SERVICE)  | ARTMUS | 6/30/2013 |
| CALLOWAY, DEBORAH        | PROFESSOR                                | RETIREMENT (25+ YRS SERVICE)  | LAW    | 5/31/2013 |
| CERSOSIMO, MATT          | SPECIALIST IIA - ASSISTANT COACH         | RESIGNATION (GOOD STANDING)   | ATH    | 7/5/2013  |
| COMPRONE, DENNIS P.      | UC PROFESSIONAL 09 - BLDG RENOV PROJ DIR | RETIREMENT (25+ YRS SERVICE)  | RES SV | 6/30/2013 |
| CORNELIUS, CHRISTOPHER   | ASSOCIATE PROFESSOR                      | RESIGNATION (GOOD STANDING)   | ENGR   | 6/14/2013 |
| CZUBA, CHERYL E.         | COOP EXT EDUCATOR                        | RETIREMENT (25+ YRS SERVICE)  | EXTENS | 6/30/2013 |
| DROUIN, BARBARA J.       | UC PROFESSIONAL 05 - ADMIN SERV SPEC III | RETIREMENT (25+ YRS SERVICE)  | COMM   | 6/30/2013 |
| DUDLEY MCDERMOTT, SARAH  | UC PROFESSIONAL 05 - SA PROG COORD II    | RESIGNATION (GOOD STANDING)   | OSA    | 6/28/2013 |
| FARNSWORTH, JASON V.     | UC PROFESSIONAL 05 - ANIMAL CARE SPEC    | RESIGNATION (GOOD STANDING)   | OAC    | 6/4/2013  |
| FITZGERALD, DENISE       | UC PROFESSIONAL 06 - BUSINESS MANAGER I  | RETIREMENT (25+ YRS SERVICE)  | SBDO   | 6/30/2013 |
| FLANAGAN, REBECCA C.     | UC PROFESSIONAL 06 - ACADEMIC ADVISOR II | RESIGNATION (GOOD STANDING)   | SEP    | 6/30/2013 |
| FRANK, HARRY A.          | D PROFESSOR - DISTINGUISHED PROF         | RETIREMENT (25+ YRS SERVICE)  | CHEM   | 5/31/2013 |
| GATES, REBECCA J.        | UC PROFESSIONAL 05 - PROGRAM COORD       | RESIGNATION (GOOD STANDING)   | SEP    | 7/11/2013 |
| GEORGESCU, RAMONA A.     | U POST DOC FEL 1                         | RESIGNATION (GOOD STANDING)   | ECE    | 5/30/2013 |
| GONZALEZ RIVERA, VANESSA | UC PROFESSIONAL 04 - ADMIN SERV SPEC II  | RESIGNATION (GOOD STANDING)   | REGIS  | 6/13/2013 |
| GRIFFITH, JOSEPH         | U STAFF PROF III                         | RESIGNATION (GOOD STANDING)   | FMBIO  | 6/20/2013 |
| GU, XINSHENG             | U POST DOC FEL 1                         | RESIGNATION (GOOD STANDING)   | PHSCI  | 5/31/2013 |
| HAIDER, GUDRUN           | UC PROFESSIONAL 05 - RES HALL DIRECTOR   | RESIGNATION (GOOD STANDING)   | RESLIF | 6/14/2013 |
| HARNER, CHLOE M.         | UC PROFESSIONAL 05 - PROGRAM COORD       | RESIGNATION (GOOD STANDING)   | SBDO   | 5/31/2013 |
| JAMBECK, THOMAS J.       | ASSOCIATE PROFESSOR                      | RETIREMENT (25+ YRS SERVICE)  | ENGL   | 5/31/2013 |
| JOHNSON, KIRSTEN E.      | RESEARCH ASSISTANT 1                     | RESIGNATION (GOOD STANDING)   | PSYC   | 6/13/2013 |

**University of Connecticut Department of Human Resources**  
**Separations Processed from June 5, 2013 to July 16, 2013**  
**Presented to the Board of Trustees for Information on Professional Employees**

| NAME                     | TITLE                                     | SEPARATION REASON              | DEPT   | DATE      |
|--------------------------|---|--------------------------------|--------|-----------|
| KREMER, STEVEN           | ASST VICE PRESIDENT                       | RESIGNATION (GOOD STANDING)    | RESLIF | 6/3/2013  |
| KUBAROVSKIY, ALEXEY      | U POST DOC FEL 1                          | DEATH (NON-EMPLOYMENT RELATED) | PHYS   | 7/5/2013  |
| LANGTON, CHRISTINE R.    | RESEARCH ASSISTANT 2                      | RESIGNATION (GOOD STANDING)    | SW     | 5/24/2013 |
| LEE, JIEHYUN             | U POST DOC FEL 1                          | RESIGNATION (GOOD STANDING)    | PHPRC  | 6/30/2013 |
| LOWE, JANET A.           | UC PROFESSIONAL 07 - COMP TECH SUP CONS 2 | RETIREMENT (55/W 10-24 YEARS)  | EAS    | 5/31/2013 |
| MALLETT, RONALD L.       | PROFESSOR                                 | RETIREMENT (25+ YRS SERVICE)   | PHYS   | 5/31/2013 |
| MANNING, JOHN JR         | ASSOCIATE PROFESSOR                       | RETIREMENT (25+ YRS SERVICE)   | ENGL   | 5/31/2013 |
| MCGAVRAN, DENNIS R.      | ASSOCIATE PROFESSOR                       | RETIREMENT (25+ YRS SERVICE)   | RG CMP | 5/31/2013 |
| MCLAUGHLIN, BETTY J.     | UC PROFESSIONAL 05 - FINANCIAL ASST II    | RETIREMENT (55/W 10-24 YEARS)  | ENERGY | 6/30/2013 |
| NAHORNIAK, ANA-RALUCA    | UC PROFESSIONAL 06 - PROGRAM SPEC I       | RESIGNATION (GOOD STANDING)    | ABROAD | 6/13/2013 |
| NIGRO, STEFANIE C.       | ASST CLIN PROF 11MO                       | RESIGNATION (GOOD STANDING)    | PHARM  | 6/21/2013 |
| PARKS, CHERYL            | PROFESSOR - ASSOCIATE DEAN                | RETIREMENT (55/W 10-24 YEARS)  | SW     | 6/30/2013 |
| PAVLIK, CHRISTOPHER M.   | U POST DOC FEL 1                          | RESIGNATION (GOOD STANDING)    | PHSCI  | 7/2/2013  |
| ROSS, MATTHEW J.         | UC PROFESSIONAL 08 - DATA BASE MANAGER    | RESIGNATION (GOOD STANDING)    | EDUC   | 7/11/2013 |
| ROSSI, DONNA A.          | U ED ASSISTANT 2                          | RETIREMENT (25+ YRS SERVICE)   | HR     | 6/30/2013 |
| SCHAFFHAUSER, DEBORAH P. | UC PROFESSIONAL 04 - ADMIN SERV SPEC II   | RETIREMENT (25+ YRS SERVICE)   | REGIS  | 6/30/2013 |
| SEWALL, MURPHY A.        | PROFESSOR                                 | RETIREMENT (25+ YRS SERVICE)   | MKTG   | 6/30/2013 |
| SILANDER, JOHN A. JR     | PROFESSOR                                 | RETIREMENT (25+ YRS SERVICE)   | EEB    | 6/30/2013 |
| SINGH, RAJNI             | U POST DOC FEL 1                          | RESIGNATION (GOOD STANDING)    | PHSCI  | 6/19/2013 |
| WOOD, MARCELLE E.        | LECTURER 11MO - ASSISTANT DEAN            | RETIREMENT (25+ YRS SERVICE)   | ENGR   | 6/30/2013 |
| WORCESTER, WAYNE A.      | PROFESSOR                                 | RETIREMENT (25+ YRS SERVICE)   | JOUR   | 5/31/2013 |
| WRZESIEN, JENNIFER E.    | UC PROFESSIONAL 05 - TECHNICAL ASST II    | RETIREMENT (55/W 10-24 YEARS)  | PATH   | 6/30/2013 |

**University of Connecticut Department of Human Resources**  
**Leaves of Absence Processed through 7/19/13**  
**Presented to the Board of Trustees for Information on Professional Employees**

| <b>NAME</b>           | <b>TITLE</b>                         | <b>DEPARTMENT</b>            | <b>DATES</b>      | <b>REASON FOR LEAVE</b>          |
|-----------------------|--------------------------------------|------------------------------|-------------------|----------------------------------|
| BEY, MARY             | NURSE (UCP VI)                       | STUDENT HEALTH SERVICES      | 6/24/13-7/28/13   | MEDICAL LEAVE WITH PAY           |
| COTE, ROBIN           | PROFESSOR                            | PHYSICS                      | 1/1/14-7/1/14     | RESEARCH LEAVE WITH PAY          |
| DAVIS, JOHN           | PROFESSOR                            | HISTORY                      | 2/1/13-6/30/13    | IAS(IEA) FELLOWSHIP WITH PAY     |
| FREDERICK, JOANNE     | MGR FINANCIAL SERVICES (UCP VIII)    | OFFICE OF SPONSORED PROGRAMS | 5/4/13-6/14/13    | MEDICAL LEAVE WITH PAY           |
| GOUWENS, KENNETH      | ASSOCIATE PROFESSOR                  | HISTORY                      | 4/1/14-6/30/14    | FOLGER FELLOWSHIP WITH PAY       |
| HEALEY, MARK          | ASSISTANT PROFESSOR                  | HISTORY                      | 8/1/13-10/31/13   | FULBRIGHT WITH PAY               |
| HEALEY, MARK          | ASSISTANT PROFESSOR                  | HISTORY                      | 7/1/13-6/30/14    | ACLS FELLOWSHIP WITH PAY         |
| HIGONNET, MARGARET R. | PROFESSOR                            | ENGLISH                      | 2/23/14-8/22/14   | PERSONAL LEAVE WITHOUT PAY       |
| HUANG, HANCHEN        | PROFESSOR                            | MECHANICAL ENGINEERING       | 8/23/13-8/22/14   | PERSONAL LEAVE WITHOUT PAY       |
| IRIZARRY, JASON       | ASSOCIATE PROFESSOR                  | CURRICULUM AND INSTRUCTION   | 8/23/13-5/22/14   | PERSONAL LEAVE WITHOUT PAY       |
| KELLY, ANDREA         | UNIV EDUCATIONAL ASST I              | VP RESEARCH                  | 5/1/13-6/18/13    | MEDICAL PAY WITH LEAVE           |
| LITMAN, ELLEN         | ASSISTANT PROFESSOR                  | ENGLISH                      | 6/23/13-8/4/13    | MATERNITY LEAVE WITH PAY         |
| LITMAN, ELLEN         | ASSISTANT PROFESSOR                  | ENGLISH                      | 8/5/13-9/29/13    | MATERNITY LEAVE WITH PAY         |
| PIETRZAK, JAMES       | FACILITIES PROFESSIONAL III (UCP IX) | DESIGN & ENG. SERVICES       | 5/31/2013-6/26/13 | MEDICAL LEAVE WITH PAY           |
| QUATTRO-COOK, TERESE  | PSY SOCIAL WORKER (UCP IX)           | STUDENT HEALTH SERVICES      | 6/6/13-6/19/13    | MEDICAL LEAVE WITH PAY           |
| QUATTRO-COOK, TERESE  | PSY SOCIAL WORKER (UCP IX)           | STUDENT HEALTH SERVICES      | 6/20/13-6/30/13   | MEDICAL LEAVE WITHOUT PAY        |
| SALAFIA, LESLEY       | ATTORNEY                             | GENERAL COUNSEL              | 6/6/13-6/30/13    | MATERNITY LEAVE WITH PAY         |
| SCHNEIDER, SUSAN      | ASSOCIATE PROFESSOR                  | PHILOSOPHY DEPARTMENT        | 7/1/13-6/30/14    | ACLS FELLOWSHIP WITH 57% PAY     |
| SEVERO, SUSAN         | EXECUTIVE ASST I (UCP VIII)          | SCHOOL OF LAW                | 5/8/13-5/13/13    | MEDICAL LEAVE WITH PAY           |
| ULLOA, SUSANA         | PROGRAM DIRECTOR (UCP VIII)          | SPEC ACADEMIC PROGRAMS       | 1/25/13-2/15/13   | MEDICAL LEAVE WITH PAY           |
| WEYMAN, JERZY         | PROFESSOR                            | MATHEMATICS                  | 8/23/13-2/22/14   | HUMBOLDT FELLOWSHIP WITH 83% PAY |
| ZHANG, CHU            | RESEARCH ASSOCIATE II                | MOLECULAR AND CELL BIOLOGY   | 5/23/13-7/4/13    | MATERNITY LEAVE WITH PAY         |

# **EXECUTIVE COMMITTEE MINUTES**



**DRAFT**

**SPECIAL MEETING OF THE EXECUTIVE COMMITTEE  
OF THE UNIVERSITY OF CONNECTICUT BOARD OF TRUSTEES**

**MINUTES**

University of Connecticut  
Albert Gurdon Gulley Hall  
President's Office Conference Room  
Storrs, Connecticut

July 12, 2013

**OPEN SESSION**

The meeting was called to order at 3:04 p.m. by Chairman Lawrence D. McHugh.

Executive Committee members who participated by telephone were: Trustee Francis X. Archambault, Jr., Trustee Marilda L. Gandara, Trustee Thomas E. Kruger, and Trustee Thomas D. Ritter.

The following University staff were present for the meeting: Executive Secretary to the Board Rubin, General Counsel Orr, Counsel Gelston, and Deputy Chief of Staff Kirk.

**EXECUTIVE SESSION**

1. Executive Session anticipated to discuss preliminary drafts and notes provided the public agency has determined that the public interest in withholding such documents clearly outweighs the public interest in disclosure.

On a motion by Mr. Kruger, seconded by Ms. Gandara, the Executive Committee voted unanimously to go into Executive Session at 3:05 p.m. to discuss:

- Preliminary drafts and notes that the University has determined that the public interest in withholding such documents clearly outweighs the public interest in disclosure.

Chairman McHugh noted that on the advice of counsel only staff members whose presence was necessary to provide their opinion would be permitted to attend Executive Session.

**OPEN SESSION**

Executive Session ended at 3:52 p.m. The Committee returned to Open Session at 3:53 p.m.

2. Consideration of creation of a Board of Trustees special committee.

On a motion by Dr. Archambault, seconded by Mr. Kruger, the Executive Committee voted to approve the creation of a Special Committee for Investigation. The Committee adopted the following resolution:

**RESOLUTION RE: THE SPECIAL COMMITTEE FOR INVESTIGATION  
July 12, 2013**

Whereas, the Board of Trustees of the University of Connecticut (the "Board") may appoint such special committees as may be necessary to make studies or preliminary investigations necessary for determining Board action; and

Whereas, the Executive Committee shall exercise all of the authority of the Board when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations; and

July 12, 2013

Whereas, the Executive Committee has been informed of allegations of misconduct by Robert Miller, a faculty member in the School of Fine Arts ("Miller"); and

Whereas, the Executive Committee has been informed of more recent allegations of misconduct by Miller involving UConn students; and

Whereas, the Executive Committee has been informed that allegations of misconduct by Miller were brought to the attention of University employees between 2006 and 2011 but there are questions as to whether appropriate action was taken prior to the allegations being brought to the UConn Police Department and the University's current senior administration in 2013; and

Whereas, delay in investigating these matters could result in significant risk, expense, or disruption to the University,

**NOW THEREFORE BE IT RESOLVED** by the Executive Committee exercising the authority of the Board of Trustees as follows:

1. There is established a special committee of the Board which is the Special Committee for Investigation (the "Special Committee"). Trustee Lawrence McHugh is appointed as Chair of the Special Committee and he is authorized to appoint the members of Special Committee.
2. The Special Committee is charged with the responsibility to:
  - a. Oversee the investigation of the allegations of misconduct by Robert Miller for the purposes of meeting the obligations of the University under Title IX, to determine what personnel action, beyond that already taken, should be taken, and for such other purposes as are necessary or desirable.
  - b. Direct an independent retrospective Institutional Review of the University's response to the allegations of misconduct by Miller. The Institutional Review shall particularly address the actions of the institution and the action of individuals involved in responding to allegations received between 2006 and 2011. The Institutional Review shall also encompass the actions of the institution since the allegations were brought to the attention of the UConn Police Department and the University's current senior administration in 2013. The scope of the Institutional Review is to include:
    - i. Making determinations as to whether there was any violation of law or University policy, whether any employee breached a duty, and whether there was any omission or weakness in the University policies or procedures then in force;
    - ii. Reviewing current policies and procedures to determine whether any weakness which existed in the past has been corrected subsequently; and
    - iii. Making recommendations with regard to any issues that require Board action or further attention by the administration.
3. The Special Committee is authorized to utilize the services of a law firm to serve as Special Counsel and such other investigators, consultants or experts as the Special Committee determines are necessary or desirable to assist the Special Committee.
  - a. With regard to the Institutional Review, Special Counsel shall report directly to the Special Committee, and not through the University administration, in order to preserve its independence. Special Counsel and the Special Committee shall take appropriate steps to assure the independence of the Institutional Review.

July 12, 2013

- b. With regard to the investigation of the allegations of misconduct by Miller, Special Counsel shall assist the administration in such investigation and shall provide legal advice and investigative resources as required.
  - c. Special Counsel will assist the Special Committee and the administration in coordinating and managing the various aspects of the investigation for the purpose of, among other things, avoiding any interference with possible criminal proceedings.
4. The General Counsel of the University is directed to serve the Special Committee as the liaison from the Special Committee to Special Counsel and any investigators, consultants or experts assisting the Special Committee. The General Counsel shall be accountable to the Board and the Special Committee rather than to the administration.

Pursuant to the resolution, Chairman McHugh, serving as Chair of the Special Committee, appointed the following Board members to the Special Committee for Investigation: Trustees Andrea Dennis-LaVigne, Marilda L. Gandara, Thomas E. Kruger, and Thomas D. Ritter.

3. Adjournment

There being no further business appearing, the Committee meeting adjourned at 3:56 p.m.

Respectfully submitted,

Rachel S. Rubin  
Executive Secretary to the Board

## **COMMITTEE AGENDAS**

## **AGENDA**

### **Special Meeting of the BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE**

August 7, 2013, 10:15 a.m.  
University of Connecticut  
Rome Commons Ballroom  
Storrs, Connecticut

**ATTACHMENT  
LOCATION  
COMMITTEE    FULL BOARD**

#### **EXECUTIVE SESSION**

#### **ACTION ITEMS:**

- |   |                      |
|---|----------------------|
| 1) Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of June 18, 2013, as circulated                              | Under Separate Cover |
| 2) Draft Record of Decision (RoD) for the Connecticut Environmental Policy Act Environmental Impact Evaluation of Potential Sources of Water Supply | Under Separate Cover |

**SPECIAL MEETING  
UNIVERSITY OF CONNECTICUT  
Board of Trustees**

**COMMITTEE ON COMPENSATION**  
August 7, 2013

Lewis B. Rome Commons, Portico  
Storrs, Connecticut

Call to order at 8:30 a.m.

| <b>ATTACHMENT<br/>LOCATION</b> |                          |
|--------------------------------|--------------------------|
| <b><u>COMMITTEE</u></b>        | <b><u>FULL BOARD</u></b> |

**ACTION ITEMS:**

- |   |                        |
|---|------------------------|
| 1. Approval of the Minutes of the Compensation Committee Meeting<br>of June 18, 2013, as circulated | (Under Separate Cover) |
| 2. Policy on Re-Employed Retirees   | 15                     |

**EXECUTIVE SESSION**

**Special Meeting**

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

*Monday, July 29, 2013*

5:30 p.m.

Teleconference

1. IA Committee Membership ..... Ms. Gandara  
**Attachment 1**
2. Acceptance of the Minutes from June 11, 2013.... Ms. Gandara  
**Attachment 2**
3. UConn / Alumni Association MOU FY14 ..... Mr. Kendig  
**Attachment 3**

## **Academic Affairs**



**AGENDA**  
Board of Trustees  
**ACADEMIC AFFAIRS COMMITTEE**  
Wednesday, August 7, 2013  
Rome Commons Ballroom  
Storrs, CT  
9:00 a.m. – 9:30 a.m.

|  | <b><u>COMMITTEE</u></b> | <b><u>ATTACHMENT</u></b> |
|--|-------------------------|--------------------------|
| 1) Minutes of the Academic Affairs Committee Meeting of June 26, 2013, as circulated | A                       |                          |

**ACTION ITEMS:**

|   |    |
|---|----|
| 2) Tenure at Hire   | 4  |
| 3) Tenure Relocation  | 5  |
| 4) Designation of Emeritus Status   | 6  |
| 5) Sabbatical Leave Recommendations   | 7  |
| 6) Appointment of Professor Preston A. Britner to the Philip E. Austin Endowed Chair in the College of Liberal Arts & Sciences  | 8  |
| 7) Appointment of Professor Jeffrey S. Volek to the Dr. Robert C. and Veronica Atkins Endowed Chair in Personalized Approach to Lifestyle in the Neag School of Education | 9  |
| 8) Appointment of Professor Preston C. Green III to the John and Carla Klein Professorship for Urban Education in the Neag School of Education                            | 10 |
| 9) Appointment of Professor Jonathan A. Plucker to a “Neag Professorship” in the Neag School of Education   | 11 |
| 10) Appointment of Professor Suzanne M. Wilson to a “Neag Professorship” in the Neag School of Education  | 12 |
| 11) Appointment of Professor Steven Wilf to the Anthony J. Smits Professorship of Global Commerce in the School of Law  | 13 |
| 12) Approval to Amend the <i>By-Laws of the University of Connecticut</i> (Article XIV – The University Staff, Section K – Retirement)                                    | 14 |

**INFORMATIONAL ITEMS:**

|  |    |
|--|----|
| 13) Notification of Proposed Changes to the <i>By-Laws of the University of Connecticut</i> Regarding Aligning Current University Titles and Practices | 16 |
| 14) Five-Year Review of Centers and Institutes   | 17 |

## **ATTACHMENT A**

MINUTES  
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE  
June 26, 2013

Trustees: Archambault, Bailey, Barham, Buckman, Carbray, Cloud, Drotch, Gandara, Handley, Jacobs, James, Kruger, Lobo, McHugh, Nayden, Ritter, Shepperd

Staff: Andrews, Bansal, Biancamano, Britner, Carone, Chiaputti, Choi, Donahue, Fuerst, Gray, Healy, Herbst, Holsinger, Kirk, Korbel, Larson, Locke, Locust, McCarthy, Ogbar, Orr, Polifroni, Reis, Reitz, Roy, Rubin, Silbart, Singha, Slowik, Teal, Torti, Urban, Walker, Weiner, Wetstone, A. Wilder, D. Wilder, Wrynn

Committee Chairman Jacobs convened the meeting at 9:30 a.m. at the University of Connecticut, Rome Commons Ballroom, Storrs Campus. On a motion by Trustee Buckman, seconded by Trustee Barham, the minutes of the April 24, 2013, meeting were approved as circulated.

On a motion by Trustee Archambault, seconded by Trustee Buckman, the Committee amended the posted agenda and added Action Item #2, Renaming the "Graduate School" to "The Graduate School," to the agenda.

Provost Choi introduced *Action Item #2, Renaming the "Graduate School" to "The Graduate School."* This change will enhance efforts by The Graduate School to project an image consistent with the University's new brand. Moved by Trustee Lobo, seconded by Trustee Buckman, the Committee recommended the renaming of the "Graduate School" to "The Graduate School" to the full Board.

Provost Choi introduced *Action Item #3, Promotion and Tenure.* Moved by Trustee Barham, seconded by Trustee James, the Committee recommended approval of all promotion and tenure cases brought forward to the full Board.

Provost Choi introduced *Informational Item #4, Notification of Proposed Changes to the By-Laws of the University Of Connecticut Regarding the Reporting Structure of the Executive Vice President for Health Affairs.*

Provost Choi introduced *Informational Item #5, Notification of Proposed Changes to the By-Laws of the University of Connecticut (Article XIV – The University Staff, Section K – Retirement).*

Provost Choi introduced *Informational Item #6, Faculty Consulting Program – (1) The University of Connecticut Consulting Program FY 2012 Annual Report and (2) Report on the University of Connecticut's Compliance with Public Act 07-166 (Section 12) Faculty Consulting Program: Report Issued by the Faculty Consulting Oversight Committee.* Trustee Archambault thanked staff in both Storrs and Farmington for their effectiveness relating to the Faculty Consulting Program.

Committee Chairman Jacobs reflected on the improved student to faculty ratio and the future faculty hiring initiatives that will maintain and decrease the ratio. Provost Choi noted that the ratio was recently 19:1, but it has dropped to 17:1, and the University anticipates that it will continue to go down.

Trustee Carbray honored Dean Robert McCarthy, noting the great strides taken by the School of Pharmacy during his tenure, including the establishment of endowed chairs, improved national and regional rankings, and the culture of collegial and familial mentoring. Dean McCarthy acknowledged the University's support of him and the School of Pharmacy during his tenure.

Prior to adjournment, Provost Choi thanked Committee Chairman Jacobs at his last Committee meeting for his seventeen-years of dedicated service on the Board of Trustees. Committee Chairman Jacobs adjourned the meeting at 9:42 a.m.

Respectfully submitted,



Brandon L. Murray  
Committee Secretary

## **Financial Affairs**

**AGENDA**  
Meeting of the  
**FINANCIAL AFFAIRS COMMITTEE**  
**August 7, 2013 at 9:30 a.m.**  
University of Connecticut  
Rome Commons Ballroom  
Storrs, Connecticut

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

**EXECUTIVE SESSION**

**ACTION ITEMS:**

- |   |   |    |
|---|---|----|
| 1) Approval of the Minutes of the Financial Affairs Committee Meetings of April 24, 2013 and June 26, 2013, as circulated | A |    |
| 2) Contracts and Agreements for Approval  |   | 1  |
| 3) Reimbursement of Moving Expenses Policy and Procedures   |   | 2  |
| 4) Reimbursement of Recruitment Expenses Policy and Procedures  |   | 3  |
| 5) Revised Spending Plan for Fiscal Year 2014 for the University of Connecticut, Storrs and Regional Campuses             |   | 18 |
| 6) Settlement of the Advanced Technology and Incubator Building Roof Litigation   |   | 19 |
| 7) Settlement of the Agricultural Biotechnology Laboratory and Greenhouse ("Ag-Bio" Building Roof Litigation              |   | 20 |

**PROJECT BUDGETS FOR APPROVAL:**

|  | <i><u>Phase</u></i> | <i><u>Budget</u></i> | <i><u>Tab</u></i> |
|--|---------------------|----------------------|-------------------|
| 8) Hartford Relocation Acquisition/Renovation  | Planning            | 1,000,000            | 21                |
| 9) Sewer Line Replacement – Storrs Road Pump Station                                       | Planning            | \$3,150,000          | 22                |
| 10) Advanced Technology Laboratory and White Building Electrical & Generator Modifications | Design              | \$605,000            | 23                |
| 11) Atwater Laboratory Electrical Service Project  | Design              | \$785,000            | 24                |
| 12) Beach Hall Renovations – Molecular Cell Biology Laboratory for New Faculty             | Design              | \$1,615,574          | 25                |
| 13) Gant Building Renovations – Data Center Stabilization                                  | Design              | \$4,000,000          | 26                |
| 14) New Faculty Renovations – George C. White Building, Animal Science Lab                 | Design              | \$1,827,500          | 27                |

**PROJECT BUDGETS FOR APPROVAL (Continued):**

|  | <b><u>Phase</u></b> | <b><u>Budget</u></b> | <b><u>Tab</u></b> |
|--|---------------------|----------------------|-------------------|
| 15) Heating Plant Upgrade – Boiler Reliability Improvements  | Final               | \$840,000            | 28                |
| 16) Heating Plant Upgrade – Improve Condensate Return System | Final               | \$1,000,000          | 29                |
| 17) Floriculture Greenhouse                                  | (3rd Revised Final) |                      | Separate Cover    |

**INFORMATION ITEMS:**

|  |                        |
|--|------------------------|
| 18) Contracts and Agreements for Information | B                      |
| 19) Construction Project Status Report       | (Under Separate Cover) |

## **ATTACHMENT A**

**MINUTES**  
**MEETING OF THE FINANCIAL AFFAIRS COMMITTEE**  
**April 24, 2013**

TRUSTEES PRESENT: Archambault, Bailey, Barham, Buckman (*via telephone*), Carbray, Drotch, Jacobs, Jones, Kruger, Lobo, McHugh, Nayden (*via telephone*), Reviczky, Ritter, and Shepperd

STAFF PRESENT: Andrews, Biancamano, Bull, Callahan, Carone, Chiaputti, Choi, Cruickshank, Donahue, Fazio, Fearney, Fox, Gore, Gray, Herbst, Holsinger, Holz-Clause, Kendig, Kirk, Larson, Locke, Locust, Orr, Reis, Roy, Rubin, Saddlemire, Singha, Sullivan, Teal, Torti, Trutter, Urban, Vollaro, Walker, Wetstone and Wrynn

SENATE PRESENT: Bansal, Korbel and Moiseff

Committee Chairman Peter Drotch convened the meeting of the Financial Affairs Committee at 9:30 a.m. in the Lewis B. Rome Commons Ballroom on the University of Connecticut campus in Storrs, Connecticut.

Mr. Drotch directed the committee to a revised agenda where revisions included: removal of Attachment #22, *Increase in Board of Trustees Reporting Thresholds for Both Information and Approval of Contracts and Project Budgets* as it required additional discussion; addition of *University of Connecticut Public Interest Research Group (UConnPIRG) New Fee for the Storrs and Hartford Campuses Beginning Fiscal Year 2014*; a change to Attachment #30, *Project Budget for Basketball Development Center* – the dollar amount increased from \$33,018,500 to \$33,231,300 due to the hiring of a dedicated Project Engineer for the construction of the basketball facility; and an addition under Items for Information of *UCONN 2000, Book 36*. On a motion by Trustee Kruger and seconded by Trustee Shepperd the revised agenda was accepted as circulated.

On a motion by Trustee Shepperd and seconded by Trustee Kruger agenda ***Item #1, Approval of the Minutes of the Financial Affairs Committee Meeting of February 27, 2013*** was approved as circulated.

Mr. Drotch directed the committee to agenda ***Item #2, Contracts and Agreements for Approval***. Matthew Larson, Director of Procurement Services, provided detailed information on the contracts presented. He informed the committee that cost savings within contracts are being pursued. Trustee Reviczky stated that the Governor's Council for Agricultural Development's first annual report prioritized increasing institutional buying in private and State Universities' procurement to be focused more on local procurement of food. While the University is currently utilizing local grown products the procurement division will commit to put even more emphasis in this area including working with the Legislation on procurement limits. President Herbst recommended that Mr. Larson and Dennis Pierce, Director of Dining Services, meet with Trustee Reviczky to discuss agricultural opportunities for food procurement. On a motion by Trustee



Archambault and seconded by Trustee Shepperd, the item was recommended to the full Board for approval.

On a motion by Trustee Archambault and seconded by Trustee Shepperd, agenda ***Item #3. Revised Allocation of Bond Authorizations as set forth in the Fifteenth Supplemental Indenture (University of Connecticut General Obligation Bonds); Item #4. Revised Allocation of Bond Authorizations as set forth in the Seventeenth Supplemental Indenture (University of Connecticut General Obligation Bonds); and Item #5, Revised Allocation of Bond Authorizations as set forth in the Eighteenth Supplemental Indenture (University of Connecticut General Obligation Bonds)*** were recommended to the full Board for approval.

On a motion by Trustee Shepperd and seconded by Trustee Archambault the ***University of Connecticut Public Interest Research Group (UConnPIRG) New Fee for the Storrs and Hartford Campuses Beginning Fiscal Year 2014*** was recommended to the full Board for approval.

Agenda ***Item #8. Project Withdrawals*** was recommended to the full Board for approval on a motion by Trustee Archambault and seconded by Trustee Shepperd.

Laura Cruickshank, University Master Planner and Chief Architect provided detailed updates on the project budgets presented for approval. On a motion by Trustee Shepperd and seconded by Trustee Archambault the following project budgets were recommended for approval by the full Board of Trustees: ***Homer Babbidge Library – Replace Floor Coverings (Final: \$1,000,000); Pedestrian Safety Improvements Core Campus – Phase I (Final: \$6,591,000); Residential Life Facilities – Hale and Ellsworth Exterior Masonry Repair (Final: \$2,000,000); UCONN 2000 Code Remediation: North Campus Dormitories (Final: \$1,085,000); UCONN 2000 Code Remediation: Towers Dormitories (Final: \$732,000); UCONN 2000 Code Remediation: Wilbur Cross Building (Final: \$767,000); Basketball Development Center (Revised Final: \$33,231,300); Pedestrian Safety Improvements – Phase I (Revised Final: \$4,000,000); Residential Life Facilities – South Campus (Revised Final: \$1,500,000); Residential Life Facilities – Window Replacement Project for Grange Hall, Hicks Hall, Shippee Hall and Dining Facility and Northwood Complex (Revised Final: \$3,990,000); and Young Building Renovation/Addition (2<sup>nd</sup> Revised Final: \$19,773,430).***

Trustee Drotch directed the committee to the remaining information items listed on the agenda. On a motion by Trustee Shepperd and seconded by Trustee Archambault the committee was adjourned at 10:18 a.m.

Respectfully submitted,

*Debbie L. Carone*

Debbie L. Carone,  
Secretary to the Committee

**MINUTES**  
**MEETING OF THE FINANCIAL AFFAIRS COMMITTEE**  
**BUDGET WORKSHOP**  
**June 26, 2013**

TRUSTEES PRESENT: Archambault, Bailey, Barham, Buckman, Carbray, Cloud (*via telephone*), Drotch, Handley, Jacobs, Jones, Kruger, Lobo, McHugh, Nayden (*via telephone*), Ritter and Shepperd

STAFF PRESENT: Andrews, Biancamano, Bolt, Callahan, Carone, Chiaputti, Choi, Donahue, Gray, Herbst, Holsinger, Karsanow, Kirk, Kraus, Larson, Locke, Lombardo, Manuel, Orr, Reis, Reitz, Rubin, Singha, Sullivan, Teal, Torti, Urban, Vollaro, Walker, Wetstone, Wilder, and Wrynn

SENATE PRESENT: Bansal, Korbel and Healey

NEWLY APPOINTED  
TRUSTEES: Bessette, Bunnell, and Daniels

GUEST: John Noonan, OPM

Committee Chairman Peter Drotch convened the meeting of the Financial Affairs Committee at 9:45 a.m. in the Lewis B. Rome Commons Ballroom on the University of Connecticut campus in Storrs, Connecticut.

On a motion by Trustee Drotch and seconded by Trustee Kruger the committee voted to go into Executive Session at 10:21 a.m. to discuss preliminary drafts and notes that the University had determined that the public interest in withholding such documents clearly outweighed the public interest in disclosure. The Chairman noted that on the advice of counsel only staff members whose presence was necessary to provide their opinion would be permitted to attend Executive Session.

Trustees present included: Mr. Archambault, Ms. Bailey, Ms. Barham, Mr. Buckman, Mr. Carbray, Mr. Cloud (*via telephone*), Mr. Drotch, Ms. Handley, Dr. Jacobs, Ms. Jones, Mr. Kruger, Ms. Lobo, Mr. McHugh, Mr. Nayden (*via telephone*), Mr. Ritter and Mr. Shepperd. Newly Appointed Trustees: Mr. Bessette, Mr. Bunnell, and Mr. Daniels. University staff present included: Dr. Herbst, Ms. Rubin, Mr. Kirk, Mr. Orr, Mr. Gray, Ms. Teal, Dr. Torti, Mr. Biancamano, and Ms. Carone. Assistant Attorney General Urban was also present.

Executive Session ended at 11:07 a.m.

Mr. Drotch directed the committee to a revised agenda where agenda ***Item #1, Contracts and Agreements*** was revised to add an exigent contract with O&G Industries, Inc. for roof and parapet repairs on the Young building. On a motion by Trustee Shepperd and seconded by Trustee Archambault the revised agenda was accepted as circulated.

On a motion by Trustee Kruger and seconded by Trustee Shepperd agenda ***Item #1. Revised Contracts and Agreements*** was recommended to the full Board for approval.

On a motion by Trustee Kruger and seconded by Trustee Archambault agenda ***Item #2. Memorandum of Understanding between the University of Connecticut Foundation and the University of Connecticut for Fiscal Year 2014*** was recommended to the full Board for approval.

On a motion by Trustee Kruger and seconded by Trustee Shepperd, ***Item #3. Master Lease Agreement Between Banc of America Public Capital Corporation and the University of Connecticut including the UConn Health Center*** was recommended to the full Board for approval.

Richard Gray, Executive Vice President for Administration and Chief Financial Officer introduced Lysa Teal, Associate Vice President for Budget and Finance, to provide a presentation on the FY14 budget and guiding principles. Ms. Teal stated that while receiving generous state support through programs such as Next Generation Connecticut and UCONN 2000, the University was subject to reductions in State funding as had other state agencies due to the economic recession. Since 2009 the University has experienced State support reductions of \$42.4 million in appropriation plus fringe benefits and \$23.0 million in fund sweeps. The fringe benefit reduction is a permanent fund reduction. The budgeted loss in FY13 was \$1.0 million increased to a forecasted \$2.8 million loss to be covered with reserve funds. Some of the FY13 financial impacts include an unexpected reduction in State support through a 5% rescission of \$15.0 million; tuition increase of 5.5% to support the faculty hiring plan; no wage increases but higher fringe benefit rates; an increase in financial aid to meet the needs of incoming students; and a beneficial continuation of the university-wide savings efforts.

The projected deficit for FY14 is \$18.8 million; which will again be covered through the use of reserve funds. The FY14 budget plan includes funding initiatives including investments in academic programing, international programs and diversity efforts. A tuition increase of 6.25% to support year two of the faculty hiring plan is budgeted as well as support of \$3.0 million in expense to support increased freshmen enrollment. These initiatives along with wage increases and higher fringe benefit rates all have an effect on the FY14 budget.

Dr. Mun Choi, Provost and Executive Vice President for Academic Affairs, provided highlights of university education and research programs and stated that an emphasis should be placed on the cost of education and incurred student debt at graduation. Research accounts for approximately 16% of the budget and the faculty have been very productive in growing the research programs with research awards doubling since 1996. Research proposal values have increased by 33% since 2008.

Ms. Teal stated that the University's largest expense is salaries, wages and benefits; which account for approximately 58% of FY14 expenses. Financial Aid accounts for 12% of the budget. There is minimal room for growth in the budget. Planned investments include expansion in engineering, biology and chemistry to support and prepare for new STEM initiatives; increased support for course coverage to meet the needs of a larger freshman class; funds for operating the

new Water Reclamation Facility; increased university wide maintenance needs; and funds to support emergency management and a security assessment to ensure University community safety.

Some of the financial challenges facing the university include the support and facilities needed for the faculty hiring plan; no layoffs of unionized employees for FY14 and FY15; salary increases in FY14-FY16; increases to implement the McKinsey savings recommendations; and support to gear up for Next Generation Connecticut.

The University is completing the second year of the faculty hiring plan. In the fall of 2013 there is an expectation of 110 faculty members which is the largest in the history of the University. The Next Generation Connecticut program is the University's academic plan and will direct the hiring of new faculty. The program contains a \$1.5 billion capital investment over ten years with a \$137 million increase in state support of the operating budget by 2024. This will be a transformative program for the future of the University.

Mr. Drotch recommended that any questions or concerns regarding the Budget Workshop materials be addressed to either Mr. Gray or Ms. Teal.

The committee was directed to agenda ***Item #4. Spending Plan for Fiscal Year 2014 for the University of Connecticut, Storrs and Regional Campuses.*** On a motion by Trustee Drotch and seconded by Trustee Shepperd the item was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Kruger, agenda ***Item #6. UCONN 2000 Fiscal Year 2014 Capital Budget*** was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Kruger, agenda ***Item #7. Fiscal Year 2014 Deferred Maintenance/Code/ADA Renovation Lump Sum Project List*** was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Archambault, agenda ***Item #8, Revised Allocation of Bond Authorizations as set forth in the Seventeenth Supplemental Indenture (University of Connecticut General Obligation Bonds)*** was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Shepperd, agenda ***Item #9, Nineteenth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds*** was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Archambault, agenda ***Item #10, Comprehensive Per-Credit-Hour Fee Structure for On-Line Graduate Certificates and Programs*** was recommended to the full Board for approval.

On a motion by Trustee Drotch and seconded by Trustee Shepperd agenda ***Item #5. Fiscal Year 2014 Temporary Spending Plan for the University of Connecticut Health Center*** was recommended to the full Board as a continuing resolution amended as follows:

1. Correct the resolution to replace “Board of Directors” with “Board of Trustees” in the Recommendation and Background sections.
2. Approve a continuing resolution for the Health Center for the next 60 days to continue spending at the levels that have been incurred through the end of Fiscal Year 2013, with two additions: 1) for wage increases that are part of the SEBAC Agreement; and 2) for fringe benefits.

Mr. Gray provided highlights of the project budgets presented for approval. On a motion by Trustee Drotch and seconded by Trustee Archambault the following project budgets were recommended for approval by the full Board of Trustees: ***Beach Hall Renovations – Molecular Cell Biology Laboratory for New Faculty (Planning: \$1,615,574); New Faculty Renovation – White Building, Animal Science Lab (Planning: \$1,827,500); UConn Health Center (UCHC) Main Building Renovation; Lab (“L”) Building Renovations – Project 2 (Planning: \$56,000,000); UConn Health Center (UCHC) Roadway and Intersection Improvements (Planning: \$5,285,000); Heating Plant Upgrade – Boiler Reliability Improvements (Design: \$840,000); Heating Plant Upgrade – Improve Condensate Return System (Design: \$1,000,000); UConn Health Center (UCHC) CLAC Renovation (Design: \$17,125,000); and UConn Health Center (UCHC) UConn Medical Group (UMG) – Clinical Space Fit-Out, Storrs Center (Final: \$4,365,000).***

Trustee Drotch directed the committee to the remaining information items listed on the agenda. On a motion by Trustee Drotch and seconded by Trustee Archambault the committee was adjourned at 12:32 p.m.

Respectfully submitted,

*Debbie L. Carone*

Debbie L. Carone,  
Secretary to the Committee

## **ATTACHMENT B**

**CONTRACTS AND AGREEMENTS  
FOR INFORMATION  
August 7, 2013**

**PROCUREMENT - NEW**

**INSURANCE**

| No. | Contractor                      | Contract No.     | Approval Amount | Term              | Fund Source     | Program Director  | Purpose  |
|-----|---------------------------------|------------------|-----------------|-------------------|-----------------|---|--|
| 1   | Consolidated Health Plans, Inc. | UC-13-KJ113012-1 | \$18,100,000    | 06/01/13-08/15/14 | Auxiliary Funds | Michael Kurland,<br>Director of Student Health Services | Contract was approved by the Board of Trustees on April 24, 2013 in the Approval Amount of \$19,000,000. This entry reduces the Approval Amount to \$18,100,000 and clarifies that the purpose of this contract is only to provide health insurance, and not dental insurance. Health insurance will be provided under this contract for registered University and UCHC students, including University and UCHC Graduate Assistants; Graduate Fellows; and other eligible individuals. Coverage underwritten by Nationwide Life Insurance Company and brokered by Bailey Agencies, Inc. This is the result of a publicly advertised RFP. Initial term of coverage is 08/15/13-08/15/14. Options to extend for four (4) additional one (1) year terms. The majority of the expenses for Graduate Assistants and Graduate Fellows associated with this contract are borne by the University. The expenses for all other students associated with this contract are borne by the insured students, not by the University. |
| 2   | Bailey Agencies, Inc.           | UC-13-KJ113012-2 | \$900,000       | 06/01/13-08/15/14 | Auxiliary Funds | Michael Kurland,<br>Director of Student Health Services | Dental insurance for registered University and UCHC students, including University and UCHC Graduate Assistants; Graduate Fellows; and other eligible individuals. Coverage underwritten by Morgan and White Group and brokered by Bailey Agencies, Inc. This is the result of a publicly advertised RFP. Initial term of coverage is 08/15/13-08/15/14. Options to extend for four (4) additional one (1) year terms. The majority of the expenses for Graduate Assistants and Graduate Fellows associated with this contract are borne by the University. The expenses for all other students associated with this contract are borne by the insured students, not by the University.  |

**PROCUREMENT - AMENDMENTS**

**PRINTING AND PUBLISHING**

| No. | Contractor                         | Contract No. | New Approval Amount   | Term              | Fund Source        | Program Director                                    | Total Expenditures as of 6/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose  |
|-----|------------------------------------|--------------|---|-------------------|--------------------|---|----------------------------------|--------------------|--------------------|--------------------|--|
| 1   | Walsworth Publishing Company, Inc. | UC-KW060810  | \$330,000<br>[Contract Value Previously \$300,000, Below Threshold for BOT Reporting; Total New Contract Value \$630,000] | 11/01/11-10/31/15 | Auxiliary Services | Christine Wilson,<br>Director of Student Activities | \$219,461                        | \$123,590          | \$95,871           | \$0                | Publishing, commercial printing, and distribution services for the Nutmeg Yearbook for the Division of Student Affairs. <b>Amend to increase contract value by \$330,000, for a total new contract value of \$630,000. Amend to extend term by two (2) years, to 10/31/15. Zero (0) of four (4) one (1) year extensions remaining.</b> |

**UNIVERSITY VEHICLES**

| No. | Contractor  | Contract No.   | New Approval Amount   | Term              | Fund Source      | Program Director                                   | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose  |
|-----|---|----------------|---|-------------------|------------------|--|-----------------------------------|--------------------|--------------------|--------------------|--|
| 1   | Ed Bolles Ent., Inc. (d/b/a Bolles Chrysler Dodge Jeep) | UC-13-LP042712 | \$450,000<br>[Contract Value Previously \$380,000, Below Threshold for BOT Reporting; Total New Contract Value \$830,000] | 10/01/12-9/30/14  | Multiple Sources | Mathew Larson,<br>Director of Procurement Services | \$190,406                         | \$190,406          | \$0                | \$0                | Chrysler automobiles and light trucks for all University campuses, including UCHC. <b>Amend to increase contract value by \$450,000, for a total new contract value of \$830,000. Amend to extend contract term by one (1) year, to 9/30/14.</b> Three (3) of four (4) one (1) year extensions remaining.  |
| 2   | Carter Chevrolet Company, Inc.                          | UC-13-LP042712 | \$405,000<br>[Contract Value Previously \$345,000, Below Threshold for BOT Reporting; Total New Contract Value \$750,000] | 10/01/12-09/30/14 | Multiple Sources | Mathew Larson,<br>Director of Procurement Services | \$267,372                         | \$267,372          | \$0                | \$0                | Chevrolet automobiles and light trucks for all University campuses, including UCHC. <b>Amend to increase contract value by \$405,000, for a total new contract value of \$750,000. Amend to extend contract term by one (1) year, to 9/30/14.</b> Three (3) of four (4) one (1) year extensions remaining. |

**LEASES FOR INFORMATION**

**UNIVERSITY AS LESSOR: Technology Incubator Program Leases authorized pursuant to Delegation of Authority to Approve Leases for the Technology Incubation Program dated November 1, 2012**

| No. | Lessee  | Annual Amount<br>Receivable                 | Term  | Fund Source              | Program Director  | Purpose   |
|-----|---|---|---|--------------------------|---|---|
| 1   | Agrivida, Inc.                                    | \$43,808                                    | 02/05/11-02/04/15                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | Amendment to TIP lease to increase leased premises from 1216 s.f. to 1396 s.f. of space, for the addition of Room 108 in the Advanced Technology Laboratory Building located on the grounds of the University of Connecticut Storrs campus. The total revenue for the lease is increased by \$10,098, bringing the total lease value to \$160,882. Lessee to continue to participate in the University Technology Incubator Program.  |
| 2   | Aquatic Sensor Network<br>Technology, LLC         | \$13,340                                    | 05/01/12-04/30/14                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | Renewal of TIP lease. Lease of space not to exceed 290 s.f. of space in the Marine Science Building, located on the grounds of the University of Connecticut Avery Point campus in Groton, Connecticut. Rent will be increased to \$6,960 for the year, paid in monthly installments of \$580; the lease end date is extended to April 30, 2014. Lessee to continue to participate in the University Technology Incubator Program.  |
| 3   | Bioarray Therapeutics, Inc.                       | \$12,782                                    | 07/01/13-10/31/15                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | Amendment to TIP lease. Lease of space not to exceed 581 s.f. of space in 400 Farmington Avenue, located on the grounds of the University of Connecticut Health Center campus in Farmington, Connecticut. Rent shall increase by \$2.00 per s.f. on November 1st of each year, for each subsequent year of occupancy. Lessee to continue to participate in the University Technology Incubator Program.   |
| 4   | Biorasis, Inc.                                    | \$55,936                                    | 05/01/10-04/30/14                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | Amendment to TIP lease for 608 s.f. of space in the Advanced Technology Laboratory Building located on the grounds of the University of Connecticut Storrs campus; the lease was extended for an additional year. Lessee to continue to participate in the University Technology Incubator Program.   |
| 5   | DURA, LLC   | \$4,559                                     | 04/01/13-03/31/16                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | New TIP lease. Lease of space not to exceed 608 s.f. of space in the Advanced Technology Laboratory Building located on the grounds of the University of Connecticut Storrs campus. Rent will be split between three TIP companies initially, and then two companies beginning July 1, 2013. Rent shall increase by \$2 per s.f. on April 1st each year. Lessee to continue to participate in the University Technology Incubator Program.  |
| 6   | IMSTEM Biotechnology, Inc.                        | \$6,970                                     | 11/01/12-10/31/15                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | New TIP lease. Lease of space not to exceed 582 s.f. of space in 400 Farmington Avenue, located on the grounds of the University of Connecticut Health Center campus in Farmington, Connecticut. Rent will be \$6,970.00 for the first year, increasing by \$2 per s.f. on November 1st each year. Lessee to continue to participate in the University Technology Incubator Program.  |
| 7   | Interdistrict Committee for<br>Project Oceanology | \$180,000<br>(cash and in-kind<br>services) | 12/01/12-11/30/17<br>UPDATED TO:<br>07/01/13-06/30/18 | Operating Fund - General | Laura A. Cruickshank, Master<br>Planner and Chief University<br>Architect | 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. Previously Approved 11/14/2012 |
| 8   | Nagare Membranes, LLC                             | \$4,559                                     | 04/01/13-03/31/16                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | New TIP lease. Lease of space not to exceed 608 s.f. of space in the Advanced Technology Laboratory Building located on the grounds of the University of Connecticut Storrs campus. Rent will be split between three TIP companies initially, and then two companies beginning July 1, 2013. Rent shall increase by \$2 per s.f. on April 1st each year. Lessee to continue to participate in the University Technology Incubator Program.  |
| 9   | TRH Therapeutics, LLC                             | \$18,064                                    | 07/01/12-06/30/13                                     | Operating Fund - General | Laura A. Cruickshank,<br>Master Planner and Chief<br>University Architect | Amendment to TIP lease for 600 s.f. of space in the Advanced Technology Laboratory Building located on the grounds of the University of Connecticut Storrs campus; tenant agreed to share space with two new TIP companies during their final three months of tenancy and the rent was proportionately reduced for those final months.  |





## **Board of Trustees**

# **ADDITIONAL MATERIALS**

**The following documents were not noticed with the original Agenda. These include items that were presented or amended during the meeting of**

**Wednesday, August 7, 2013**

**AGENDA**  
Meeting of the  
**FINANCIAL AFFAIRS COMMITTEE**  
**August 7, 2013 at 9:30 a.m.**  
University of Connecticut  
Rome Commons Ballroom  
Storrs, Connecticut

**Revised**

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

**EXECUTIVE SESSION**

**ACTION ITEMS:**

- |   |                        |    |
|---|------------------------|----|
| 1) Approval of the Minutes of the Financial Affairs Committee Meetings of April 24, 2013 and June 26, 2013, as circulated | A                      |    |
| 2) Contracts and Agreements for Approval – Revised  |                        | 1  |
| 3) Reimbursement of Moving Expenses Policy and Procedures   |                        | 2  |
| 4) Reimbursement of Recruitment Expenses Policy and Procedures  |                        | 3  |
| 5) Revised Spending Plan for Fiscal Year 2014 for the University of Connecticut, Storrs and Regional Campuses             |                        | 18 |
| 6) Settlement of the Advanced Technology and Incubator Building Roof Litigation   |                        | 19 |
| 7) Settlement of the Agricultural Biotechnology Laboratory and Greenhouse (“Ag-Bio” Building Roof Litigation)             |                        | 20 |
| 8) Spending Plan for Fiscal Year 2014 for the University of Connecticut Health Center                                     | (Under Separate Cover) |    |
| 9) Capital Spending Plan for Fiscal Year 2014 for the University of Connecticut Health Center                             | (Under Separate Cover) |    |

**PROJECT BUDGETS FOR APPROVAL:**

|  | <u>Phase</u> | <u>Budget</u> | <u>Tab</u> |
|--|--------------|---------------|------------|
| 10) Hartford Relocation Acquisition/Renovation   | Planning     | 1,000,000     | 21         |
| 11) Sewer Line Replacement – Storrs Road Pump Station                                      | Planning     | \$3,150,000   | 22         |
| 12) Advanced Technology Laboratory and White Building Electrical & Generator Modifications | Design       | \$605,000     | 23         |
| 13) Atwater Laboratory Electrical Service Project  | Design       | \$785,000     | 24         |

**PROJECT BUDGETS FOR APPROVAL (Continued):**

|  | <b><u>Phase</u></b> | <b><u>Budget</u></b> | <b><u>Tab</u></b> |
|--|---------------------|----------------------|-------------------|
| 14) Beach Hall Renovations – Molecular Cell Biology Laboratory for New Faculty | Design              | \$1,615,574          | 25                |
| 15) Gant Building Renovations – Data Center Stabilization                      | Design              | \$4,000,000          | 26                |
| 16) New Faculty Renovations – George C. White Building, Animal Science Lab     | Design              | \$1,827,500          | 27                |
| 17) Heating Plant Upgrade – Boiler Reliability Improvements                    | Final               | \$840,000            | 28                |
| 18) Heating Plant Upgrade – Improve Condensate Return System                   | Final               | \$1,000,000          | 29                |
| 19) Floriculture Greenhouse  | (3rd Revised Final) |                      | Sep. Cover        |

**INFORMATION ITEMS:**

- |  |                        |
|--|------------------------|
| 20) Contracts and Agreements for Information | B                      |
| 21) Construction Project Status Report       | (Under Separate Cover) |

**CONTRACTS AND AGREEMENTS FOR  
APPROVAL  
(ATTACHMENT 1)**

**(AMENDED LIST PROVIDED AS A HANDOUT  
UNDER THE CONSENT AGENDA AT THE  
AUGUST 7, 2013 BOARD MEETING)**

CONTRACTS AND AGREEMENTS  
FOR APPROVAL  
August 7, 2013

REVISED

PROCUREMENT - NEW

TRAVEL SERVICES

| No. | Contractor  | Contract No. | Approval Amount | Term              | Fund Source      | Program Director             | Purpose  |
|-----|---|--------------|-----------------|-------------------|------------------|------------------------------|--|
| 1   | HRW Associates, Inc.<br>(d/b/a Sanditz Travel Management) | KJ041013     | \$13,200,000    | 12/15/13-12/15/16 | Multiple Sources | Charles Eaton,<br>Controller | Travel Management Services for all University campuses, including UCHC. Contract will enable consolidation of travel spending under a single vendor. It is anticipated that consolidation will be effected over the term of the contract, resulting in decreased costs and improved monitoring. Services include travel reservations, traveler safety measures, account management, and detailed and extensive reporting. This is the result of a publicly advertised RFP. Option to extend for two (2) additional one (1) year terms. |

PROCUREMENT - AMENDMENTS

EVENT STAFFING

| No. | Contractor                        | Contract No.  | New Approval Amount  | Term              | Fund Source      | Program Director                                    | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose  |
|-----|-----------------------------------|---------------|--|-------------------|------------------|---|-----------------------------------|--------------------|--------------------|--------------------|--|
| 1   | Contemporary Services Corporation | UC-KA051908-8 | \$100,500<br>[Contract Previously Approved at \$1,449,000; Total New Contract Value \$1,549,500] | 09/01/08-12/31/13 | Multiple Sources | Matthew Larson,<br>Director of Procurement Services | \$1,403,843                       | \$281,843          | \$244,000          | \$313,000          | Staffing for events on the Storrs campus, including athletic events and commencement. <b>Amend to increase contract value by \$100,500 for a total new contract value of \$1,549,500. Amend to extend term by four (4) months, to 12/31/13.</b> Zero (0) of three (3) one (1) year extensions remaining. |

NETWORK HARDWARE

| No. | Contractor      | Contract No.    | New Approval Amount  | Term              | Fund Source      | Program Director                                    | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
|-----|-----------------|-----------------|--|-------------------|------------------|---|-----------------------------------|--------------------|--------------------|--------------------|---|
| 1   | NWN Corporation | UC-11-B001651-G | \$628,376<br>[Contract Value Previously Below Threshold for BOT Reporting; Total New Contract Value \$1,628,375] | 07/07/10-06/30/14 | Multiple Sources | Nancy Bull, Vice Provost,<br>Information Technology | \$608,375                         | \$518,000          | \$90,375           | \$0                | Operating system, network, and security hardware and services for all University campuses, including UCHC. <b>Amend to increase contract value by \$628,376, for a total new contract value of \$1,628,375. Amend to extend term by one (1) year, to 06/30/14.</b> One (1) of four (4) one (1) year extensions remaining. |

PROCUREMENT SERVICES

| No. | Contractor                         | Contract No.   | New Approval Amount  | Term           | Fund Source      | Program Director                                   | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose   |
|-----|------------------------------------|----------------|--|----------------|------------------|--|-----------------------------------|--------------------|--------------------|--------------------|---|
| 1   | Mitchell Planning Associates, Inc. | UC-14-JL030113 | \$2,015,000<br>[Contract Value Previously \$985,000, Below Threshold for BOT Approval; Total New Contract Value \$3,000,000] | 7/1/13-6/30/18 | Multiple Sources | Mathew Larson,<br>Director of Procurement Services | \$0                               | \$0                | \$0                | \$0                | Professional procurement services for the acquisition of medical, high-tech, information technology, research, and other equipment, and of furniture, for projects on all University campuses, including UCHC. <b>Amend to increase contract value by \$2,015,000, for a total new contract value of \$3,000,000.</b> \$1,500,000 of the contract value is reserved for UCHC projects and the remaining \$1,500,000 for projects in Storrs and all other University campuses. |

TELECOMMUNICATIONS

| No. | Contractor                       | Contract No. | New Approval Amount   | Term              | Fund Source      | Program Director                                    | Total Expenditures as of 06/30/13 | Expenditures FY 13 | Expenditures FY 12 | Expenditures FY 11 | Purpose  |
|-----|----------------------------------|--------------|---|-------------------|------------------|---|-----------------------------------|--------------------|--------------------|--------------------|--|
| 1   | AT&T/Custom Business Group, Inc. | MA-B-03-006  | \$0<br>[Contract Previously Approved at \$5,872,972; Contract Value Remains the Same] | 10/01/03-09/30/14 | Multiple Sources | Nancy Bull, Vice Provost,<br>Information Technology | \$5,163,093                       | \$521,712          | \$541,789          | \$588,680          | Network services for landline communication services and teleconferencing services for all University campuses other than UCHC. Services are contracted through a DAS Master Contract. <b>Amend to extend term by one (1) year, to 09/30/14.</b> Two (2) of twelve (12) one (1) year extensions remaining. |