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2014 January 29 -- Agenda and Attachments

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Board of



TRUSTEES

VOL. 134 JANUARY 29, 2014



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

AGENDA

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

January 29, 2014

BOARD OF TRUSTEES SCHEDULE OF THE DAY

9:00 a.m.	Academic Affairs Committee Meeting
9:15 a.m.	Financial Affairs Committee Meeting
9:45 a.m.	Board of Trustees Meeting

BOARD MEETING AGENDA

Call to order at **9:45 a.m.**

1. Public Participation
2. Chairman's Report
 - (a) Matters outstanding
 - (b) Minutes of the meeting of December 11, 2013
 - (c) Consent Agenda Items:
 - (1) Designation of Emeritus Status (Attachment 1)
 - (2) Sabbatical Leave Recommendations (Attachment 2)
3. President's Report
4. Academic Affairs Committee Report
 - (a) Report on Committee activities
 - (b) Informational item:
 - (1) Faculty Consulting Program (Attachment 3)
5. Financial Affairs Committee Report
 - (a) Report on Committee activities
 - (b) Items requiring Board discussion and approval:
 - (1) Proposed School of Medicine and School of Dental Medicine Tuition and Fees Rates for Fiscal Year 2015 (Attachment 4)
 - (2) Designation of Authorized Officer for Sale Purposes for UCONN 2000 General Obligation and Special Obligation Bonds (Attachment 5)
 - (3) Project Budget (Revised Final) for the Basketball Development Facility (Attachment 6)

- (4) Project Budget (Final) for the UConn Health Center Roadway and Intersection Improvements (Attachment 7)
 - (5) Project Budget (Revised Final) for the UConn Health Center Dental Clinic Fit-Out, Storrs Center (Attachment 8)
 - (6) Project Budget (Revised Final) for the UConn Health Center Main Building Renovation; Lab (“L”) Building Renovations – Project I (Attachment 9)
- 6. Health Center Report
 - (a) Report on Health Center activities
- 7. Joint Audit and Compliance Committee Report
 - (a) Report on Committee activities
- 8. Buildings, Grounds and Environment Committee Report
 - (a) Report on Committee activities
- 9. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
- 10. Student Life Committee Report
 - (a) Report of Committee activities
- 11. Institutional Advancement Committee Report
 - (a) Report on Committee activities
 - (b) Informational items:
 - (1) Development Progress Executive Summaries (Attachment 10)
- 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

**University of Connecticut Department of Human Resources
Emeritus Retirees
January 29, 2014 Board of Trustees Meeting**

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	RETIREMENT DATE
Hollenberg, Donna C.	Professor	English	Liberal Arts & Sciences	1/1/2014
Karan, Orville C.	Professor	Educational Psychology	Neag School of Education	1/1/2014
Nicholls, Peter J.	Professor	Educational Leadership	Neag School of Education	1/1/2014
Strasser, Kurt A.	Professor	Law Instruction & Rsch	School of Law	1/1/2014

ATTACHMENT 2

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
January 29, 2014 Board of Trustees Meeting

CHANGES TO PREVIOUSLY APPROVED SABBATICAL LEAVES:

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Casamayor-Cisneros, Odette	Associate Professor	Literatures, Cultures & Languages	College of Liberal Arts & Sciences	Full Full	Spring 2014 Spring 2015
Diaz-Marcos, Ana Maria	Associate Professor	Literatures, Cultures & Languages	College of Liberal Arts & Sciences	Full Full	Spring 2014 Spring 2015
Levin, Leslie	Professor		School of Law	Full Full	Spring 2013 (postponed) Spring 2015

SABBATICAL LEAVE REQUESTS:

Semester at Full Pay

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Ammar, Reda A.	Professor	Computer Science & Engineering	School of Engineering	Full	Fall 2014
Balma, Philip	Assistant Professor	Literatures, Cultures & Languages	College of Liberal Arts & Sciences	Full	Spring 2015
Bansal, Rajeev	Professor	Electrical & Computer Engineering	School of Engineering	Full	Spring 2015
Barreca, Regina	Professor	English	College of Liberal Arts & Sciences	Full	Fall 2014
Benzecry, Claudio	Associate Professor	Sociology	College of Liberal Arts & Sciences	Full	Spring 2015
Bernstein, Mary	Professor	Sociology	College of Liberal Arts & Sciences	Full	Spring 2015
Bhat, Anjana N.	Assistant Professor	Kinesiology	Neag School of Education	Full	Fall 2014
Brody, Harold	Distinguished Professor	Materials Science & Engineering	School of Engineering	Full	Fall 2014
Chi, Zhiyi	Professor	Statistics	College of Liberal Arts & Sciences	Full	Spring 2015
Chiu, Wilson	Professor	Mechanical Engineering	School of Engineering	Full	Spring 2015

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Clark, Austen G.	Professor	Philosophy	College of Liberal Arts & Sciences	Full Fall 2014
Coundouriotis, Eleni	Associate Professor	English	College of Liberal Arts & Sciences	Full Fall 2014
Deener, Andrew	Assistant Professor	Sociology	College of Liberal Arts & Sciences	Full Fall 2014
Eby, Clare	Professor	English	College of Liberal Arts & Sciences	Full Fall 2014
Fairbanks, A. Harris	Associate Professor	English	College of Liberal Arts & Sciences	Full Fall 2014
Finger, Anke	Associate Professor	Literatures, Cultures & Languages	College of Liberal Arts & Sciences	Full Fall 2014
Fischl, Richard Michael	Professor		School of Law	Full Fall 2014
Li, Baikum	Associate Professor	Civil & Environmental Engineering	School of Engineering	Full Fall 2014
Loss, Jacqueline	Associate Professor	Literatures, Cultures & Languages	College of Liberal Arts & Sciences	Full Fall 2014
McElya, Michelle	Associate Professor	History	College of Liberal Arts & Sciences	Full Fall 2014
Miller, David B.	Professor	Psychology	College of Liberal Arts & Sciences	Full Fall 2014
Pomp, Richard D.	Professor		School of Law	Full Spring 2015
Rossberg, Marcus	Assistant Professor	Philosophy	College of Liberal Arts & Sciences	Full Fall 2014
Rueckl, Jay	Associate Professor	Psychology	College of Liberal Arts & Sciences	Full Fall 2014
Schmeiser, Susan	Professor		School of Law	Full Fall 2014
Semenza, Gregory M. Colon	Associate Professor	English	College of Liberal Arts & Sciences	Full Fall 2014
Simmons, Louise	Professor		School of Social Work	Full Fall 2014
Stark, James H.	Professor		School of Law	Full Spring 2015
Taylor, Geoff	Professor	Electrical & Computer Engineering	School of Engineering	Full Fall 2014
Volgushev, Maxim	Professor	Psychology	College of Liberal Arts & Sciences	Full Fall 2014

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Weakliem, David	Professor	Sociology	College of Liberal Arts & Sciences	Full Spring 2015
Weber, David	Associate Professor	Accounting	School of Business	Full Spring 2015
Zheng, Yu	Assistant Professor	Political Science	College of Liberal Arts & Sciences	Full Spring 2015
<u>Academic Year at Half Pay</u>				
<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Baldwin, Peter C.	Professor	History	College of Liberal Arts & Sciences	Half AY 2014-2015
Chrysochoou, Maria	Associate Professor	Civil & Environmental Engineering	School of Engineering	Half AY 2014-2015
Fan, Tai-His	Associate Professor	Mechanical Engineering	School of Engineering	Half AY 2014-2015
Gokirmak, Ali	Associate Professor	Electrical & Computer Engineering	School of Engineering	Half AY 2014-2015
Hamilton, Mark	Professor	Communication	College of Liberal Arts & Sciences	Half AY 2014-2015
Magley, Vicki	Associate Professor	Psychology	College of Liberal Arts & Sciences	Half AY 2014-2015
Marsden, Jean I.	Professor	English	College of Liberal Arts & Sciences	Half AY 2014-2015
Rossetti, George	Associate Professor	Materials Science & Engineering	School of Engineering	Half AY 2014-2015
Silva, Helena	Associate Professor	Electrical & Computer Engineering	School of Engineering	Half AY 2014-2015
Wu, Yufeng	Associate Professor	Computer Science & Engineering	School of Engineering	Half AY 2014-2015
<u>Calendar Year at Half Pay</u>				
<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Shin, Dong-Guk	Professor	Computer Science & Engineering	School of Engineering	Half CY 2015

ATTACHMENT 3

THE UNIVERSITY OF CONNECTICUT CONSULTING PROGRAM FY 2013 ANNUAL REPORT

SUMMARY

FY 13 represented the fifth full year of operation of the University's consulting program that was implemented in mid FY '08¹. The policies, procedures and staffing remained stable throughout the year.

As indicated in the FY 12 report, the first half of the year was marked by significant problems with the new on-line faculty consulting approval system (OFCAS) and the need to implement version 2 of the system prior to its intended start date. While such problems put a considerable extra demand on the Faculty Consulting Offices, as well requiring a high level of patience from the faculty, these issues were resolved by the spring of 2013 and the system is now functional and stable. This has enabled the submission and processing of all reconciliation reports on time and thus allowed the timely completion of this annual report.²

All of the goals for OFCAS were successfully addressed in FY 13 and both faculty and department heads generally view the system as a significant improvement over the prior paper request forms. The original goals were to:

- Accelerate the time it takes to obtain approval for consulting activities.
- Enable requests for consulting to be easily tracked through the approval process.
- Reduce the occurrence of data errors.
- Facilitate the annual reconciliation process.
- Provide those approving requests to consult with more organized data to support their decision making.

Based on previous audit recommendations, mandatory, face-to-face training on the current rules related to consulting was provided to all department heads and deans in the fall of 2012. In addition, a University-wide Committee was convened to review complex consulting requests deemed to have a high risk for conflicts of interest. This committee is chaired by the head of the Storrs Compliance Office and has representatives from a range of offices including those responsible for intellectual property, technology transfer, research compliance, and consulting. It has developed definitions of the types of activities it will review. The Committee is expected to review these situations starting in the fall of 2013.

As mandated by legislation, the Faculty Consulting Oversight Committee (including a member of the Citizen's Ethics Advisory Board and members appointed by the Legislature) filed its fourth annual report to the UConn Board of Trustees and to the Legislature in the spring of 2013. This was a positive report. The Oversight Committee continues to monitor all audit reports related to the program and will issue its fifth report in the winter of 2014.

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

² The Faculty Consulting Offices are thankful for the dedication of the Information Technology staff assigned to OFCAS during this difficult time, especially the services of Mr. Michael Oatley.

CONSULTING MANAGEMENT COMMITTEE

The Consulting Management Committee (CMC) did not need to make any significant revisions to its library of decisions on consulting. It continued to review the audit reports and monitor the implementation of management plans. It also provided advice regarding revisions to the Board of Trustees' policy and procedures on consulting, which included:

November 2012

- Banning teaching that would compete with the University's course offerings. As a result of this revision, the University's Policy on Teaching Elsewhere was redundant and thus removed.
- Redefining the activities eligible for accelerated approval (i.e. low risk of CoI activities) to include panels advising the U.S. government how to conduct research, and for providing feedback on surveys so long as such information would not only be known by a State employee.

April 2013

- Removal on the cap set for consulting during normal work time. The cap was somewhat arbitrary and was set as an average of one day per week. The current standard is fully addressing all of one's job duties including being present for assigned teaching, clinical work, meetings, etc.

PERFORMANCE NUMBERS: STORRS+ CAMPUS

The Faculty Consulting Office (FCO) on the Storrs Campus received 1,125 consulting forms from 443 individuals or 33% of those eligible to consult³ (Table 1). Of these, 1,105 were approved (98.2% of the total) and 20 (1.8 %) were denied. In FY12, the FCO received 1, 152 requests from 446 individuals with 97.2% approved and < 1% denied.

All data were analyzed using the information submitted on the FY13 Annual Reconciliation Report. Reconciliation reports were received from all individuals who engaged in consulting activities and who remained on the payroll when reconciliation reports were due; one report was received late. Eleven individuals (20 requests) left employment with UConn-Storrs+ and did not complete a report. A twelfth faculty member left UConn but contacted the Faculty Consulting Office requesting to reconcile by hard copy.

Of the 1,105 approved activities, 971 occurred (88%) and 98 (8.8 %) were not performed. The remaining 36 (3.2%) requests were duplicates of approved requests (often initially approved by hard copy, due to system errors) or not reconciled by employees who left UConn employment. There were 443 individual faculty members who performed at least one consulting activity during the fiscal year.

The mean amount of time spent consulting during normal work time was 1.79 days. Of these, only 1 faculty member reported reaching the Provost's maximum of an average of one day per week during normal work hours (39 days for a nine month appointment).

³ The total number eligible faculty was obtained from the UConn 2012 Fact Sheet.

Seventeen (17) faculty members (3.8 % of those who consulted) indicated on their reconciliation reports that they used more time during the normal work hours than originally estimated (Table 3). The maximum number of additional days was 17 with a mean of 2.79 days.

The Storrs FCO performed four investigations of faculty who exceeded their requested normal work time by 4 days or more. Of those, three were deemed data input errors during reconciliation. The fourth investigation - exceeding normal work time by 5 days - revealed an activity that crossed fiscal years, and the reconciliation report contained normal work time from FY 12, and, therefore, there was no material overage in FY 13.

PERFORMANCE NUMBERS: UCHC CAMPUS

The FCO on the UCHC Campus received 767 consulting requests from 171 individuals (Table 3). Of these, 671 were approved (87.5% of the total), 74 (9.6%) were withdrawn or system errors, and 22 (2.9%) were denied. In FY 12 the FCO received 735 requests from 164 individuals with 95.4% approved, .8% withdrawn, and 3.8% denied.

Reconciliation reports were received on time from all those who engaged in consulting activities and who remained on the payroll when reconciliation reports were due. Several individuals left employment with UCHC and therefore 25 activities did not have reconciliation reports.

Of the 671 approved activities, 579 occurred and were reconciled (86.3%). There were 152 unique faculty members who performed at least one consulting activity during the fiscal year. The mean amount of time spent consulting during normal work time was 4.5 days. The maximum was 41.6 normal work days.

Eight faculty members indicated on their reconciliation reports that they used more time during the normal work hours than originally estimated (Table 4). Six of these reported using no more than one additional day, one indicating no more than 2 additional days, and one using no more than 3 additional days. The department heads will be notified of any unapproved time of more than one day (i.e. for two of the faculty) with a copy also sent to the faculty member.

AUDIT FINDINGS

By State statute, the consulting program must be audited by the Office of Audit, Compliance and Ethics. The original audit schedule was for two a year but, starting in FY 13, the requirement was revised to once a year.

The eighth audit, covering the period of time from July 1, 2011 - June 30, 2012 was issued on September 12, 2013. The auditors noted the difficulties with the on-line faculty consulting approval system and due to duplicate requests; the summary data reported at year end might have over stated the amount of consulting actually performed. They recommended measures to improve the quality of the data. Many of these recommendations have already been implemented. The auditors also noted that that reconciliation reports were complete and recognized an improvement in knowledge of the consulting rules by deans, department heads and faculty.

A concern was raised regarding the new Open Payments program that is being implemented under the Affordable Care Act (previously known as the Payment to Physicians Sunshine Act). Starting August 1, 2013, pharmaceutical and medical device companies began collecting data on payments made to physicians and dentists. These data will be assembled into a publically accessible web site by the end of the summer of 2014. The auditors recommended that an awareness campaign be implemented with the goal of informing all clinical faculty of the Open Payment program.

This awareness effort was begun in July 2013 and will continue through the fall and into next year. In addition, the Health Center will be developing an institutional approach for ensuring that the affected faculty members take advantage of their opportunity to review payment data before they are published. Lastly, a risk assessment is underway to determine if there are any possible liabilities associated with the public release of the physician/dentist payment data and, if present, how to mitigate them.

The auditors issued recommendations regarding the review of consulting performed by nine and ten month faculty during the summer if they work 100% on research grants. They also recommended a second reviewer approve the consulting requests from School of Medicine Department heads. OFCAS could not provide this functionality when first implemented. Both these issues have already been addressed by management.

ISSUES FOR FY '14

- Continuing the development of the Health Center's approach for addressing Open Payments.
- Continuing the development of the inter-disciplinary approach to be used by the High Risk Conflict of Interest Committee, followed by the actual review of these complex cases.
- Addressing all previously raised and new audit findings

S. Reis
S. Wetstone
October 29, 2013

Table 1 – Storrs Requests to Consult

Requests

	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	1125	27	47	51	321	232	97	76	31	48	143	28	24
%	100%	2.4%	4.2%	4.5%	28.5%	20.6%	8.6%	6.8%	2.8%	4.3%	12.7%	2.5%	2.1%

Unique Faculty

	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
#	443	13	23	26	156	59	48	25	15	20	35	12	11
%	100%	2.9%	5.2%	5.9%	35.2%	13.3%	10.8%	5.6%	3.4%	4.5%	7.9%	2.7%	2.5%

Requests/faculty

mean
10 or more requests

	Total	ATHL	BUS	CANR	CLAS	ED	ENG	FA	LAW	NURS	PHARM	SW	Other
	2.51	2.08	2.04	1.96	2.06	3.93	2.02	3.04	2	2.4	4.09	2.33	2.18
	10	-	1	1	1	6	-	1	-	-	5	1	-

DEFINITIONS:

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

SCHOOL/COLLEGE/UNIT

ATHL Athletics

BUS Business

CANR Agriculture and Natural
Resources

CLAS Liberal Arts & Sciences

ED Education

ENG Engineering

FA Fine Arts

LAW School of Law

NURS Nursing

PHARM Pharmacy

SW School of Social Work

OTHER Center for Continuing Studies; Ctr Under Grd Ed;
Library; OMIA; Prov & Exvp Acad Affairs, Vice
President for Research

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

Effort During Normal Work Days	
# with extra days	17
% of faculty with extra days	(3.84%)
min	0.3
max	17.0

Table 3 – UCHC Requests to Consult

Requests	Total	SoDM	SoM
#	735	110	625
%		15.0%	85.0%
Individual faculty	Total	SoDM	SoM
#	164	36	128
%		22.0%	78.0%
Requests/faculty	Total	SoDM	SoM
mean	4.5	3.1	4.9
median	2.00	2.00	2.00
10 or more requests	18	2	16

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

Effort During Normal Work Days	
# with extra days	8
% of faculty with extra days	(5.3%)
min	0.2
max	2.5

**REPORT ON THE UNIVERSITY OF CONNECTICUT'S
COMPLIANCE WITH PUBLIC ACT 07-166 (Section 12)
FACULTY CONSULTING PROGRAM¹**

December 10, 2013

Report Issued by the Faculty Consulting Oversight Committee

SUMMARY

Pursuant to a change in the Connecticut State Statutes and action by the University of Connecticut Board of Trustees, new policies and procedures for approving consulting activities for the Faculty and members of the AAUP bargaining unit were implemented in December 2007. The latest revisions to these policies were approved by the Board of Trustees in April 2013.

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

As required by PA 07-166, the Faculty Consulting Oversight Committee was convened including members appointed by the Legislature/Executive branch and from the Citizens' Ethics Advisory Board. This Committee has met on a regular basis to review the implementation of the consulting program and to review the twice a year audits of the program conducted by the University's Office of Audit, Compliance and Ethics.

Implementing this program required development of policies, procedures, forms and databases; identification and training of staff; and awareness and training of faculty, department heads, and deans. The Office of Audit, Compliance and Ethics has conducted semiannual audits as required and as expected have identified areas in which clarifications and improvements have been recommended. The University is addressing each of the issues raised in a timely and appropriate manner.

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

To continue the quality improvement of this program, the Oversight Committee endorses the objectives described in the FY 2013 Annual Report for the University of Connecticut Consulting Program (attached.) These include developing an approach for addressing the Open Payments program mandated by the Federal Affordable Care Act and continuing the deliberations of the newly convened High Risk Conflict of Interest Committee.

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

Further, based on the long track record of continuing quality improvement, the Oversight Committee supports the development of new procedures to increase the efficiency of the approval process used by the University in regards to low risk consulting activities. These are characterized as being traditional ‘academic’ activities that have low rates of compensation.

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

BACKGROUND

Public Act (PA) 07-166 (Section 12)², approved on June 19, 2007, created a carve-out from the portion of the State Ethics Code dealing with consulting. Participating in appropriate consulting activities is viewed as being mutually beneficial for the University and its faculty and the intent of the Act is to enable such activities. Many consulting requests are for our most well-known faculty to give keynote addresses at national or international conferences for modest stipends and expenses.

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

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

This carve-out from the State Ethics Code is predicated on a set of requirements being met including significant institutional oversight. The University of Connecticut Board of Trustees (BOT) approved the University’s “Policy on Consulting for Faculty and Members of the Faculty Bargaining Unit,” and reviewed the operational procedures for implementation, on September 25, 2007. The Policy and Procedures define a consistent set of rules for consulting for all the faculty of the University. These documents have been reviewed and revised by the BoT several times since 2007 in order to make improvements to the program.³

The new consulting system became fully operational on December 15, 2007. Since that time, both the Storrs Campus and the Health Center have each established a Faculty Consulting Office (FCO)

² See <http://consulting.uconn.edu/statutes.html> .

³ The policy and procedures governing consulting may be found at: <http://consulting.uconn.edu/policies.html> .

with reporting lines and staffing. Usage data systems have been developed by each FCO. Further, both campuses have developed on-line and live training programs.

Requests to consult must be reviewed and approved by each faculty member's department head, dean, and the provost's designees (one for each campus). Consulting may not negatively impact the faculty member's ability to fully and satisfactorily address his/her assigned job duties. At the end of the fiscal year, each faculty member must submit a reconciliation report indicating variances from the requested time spent consulting during the normal work time and confirming any and all appropriate reimbursements for use of University resources, if any.

If a faculty member does not adhere to the provisions described in the Act or the University's Consulting Policy and Procedures, the Office of State Ethics will retain jurisdiction over the activity and have the responsibility for determining whether it complies with the State Code of Ethics and whether sanctions should be imposed. Violations of the University's Consulting Policy and Procedures will in addition be subject to sanctions issued by the University which may result in termination.

CONSULTING MANAGEMENT COMMITTEE (CMC)

As required by the implementation procedures, a University-wide Consulting Management Committee (CMC) was first convened on December 10, 2007. The CMC is authorized to review and recommend disposition of certain consulting situations that do not have obvious resolution. The CMC also offers input on unforeseen situations put before it that may arise as a result of consulting activities. To date, the CMC provided advice to the directors of the Faculty Consulting Offices on an ad hoc basis, and has also reviewed eleven general situations resulting in formal position papers. For example, based on one position paper, participation in promotional presentations with pharmaceutical companies has been banned.⁴

SEMIANNUAL and ANNUAL AUDITS

As required in PA 07-166, the University's Office of Audit, Compliance and Ethics has conducted semiannual audits with the data collection⁵. Per standard practice, management has had the opportunity to provide responses to each audit finding and recommendation. These audits are reviewed by the Joint Audit and Compliance Committee of the Board of Trustees as well as by the Faculty Consulting Oversight Committee.⁶

FACULTY CONSULTING OVERSIGHT COMMITTEE

As required in PA 07-166, the Faculty Consulting Oversight committee meets on an on-going basis in order to review the University's compliance with PA 07-166, and to file annual reports regarding such compliance with the University's Board of Trustees and to the Legislature. This document is

⁴ These position papers and the minutes of the CMC may be found at <http://consulting.uconn.edu/cmc/index.html> .

⁵ The legislature changed this to a once a year audit schedule starting in FY 12.

⁶ Copies of past audits may be found at: http://consulting.uconn.edu/reports_audits.html .

the fourth of such reports.⁷ The Committee's responsibility is to ensure that the University complies with the provisions of the Act and the University's policies and procedures on consulting. It may also make recommendation for improvements to the consulting program.

The membership of the Faculty Consulting Oversight Committee is:

Name	Background
Clemons, T.	Former Legislator
Cobb, Casey	Professor, School of Education
Dennis-Lavigne, A	Member, Board of Trustees
Freedman, J. (chair)	Former Legislator
Nair, S	Professor, School of Business
Pawelkiewicz, W.	Former Legislator
Riley, D.	Member, Citizens' Ethics Advisory Board
Siegle, D	Professor, School of Education

The Committee last met on November 7, 2013 and December 10, 2013. It has reviewed the latest final audit report and the FY 13 annual report of the Faculty Consulting Offices (attached).

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

The audits have led to improvements to the Consulting Program including revisions to the consulting request form, enhancements to the training program, improving the clarity and predictability of decision making, and assuring sufficient information is available to inform the decision making of the approvers. The University has developed an on-line request form/approval process that became operational in FY 12 and has been revised in FY 13. As described in the attached report, this system has successfully addressed many of its objectives, but it also has encountered unexpected problems as well. It is believe that these problems are almost entirely resolved now. All of these actions should ensure complete compliance with PA 07-166 on an on-going basis.

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

The Committee takes note that number and severity of audit findings has decreased over time and this demonstrates management's commitment to operate the program optimally and in full compliance with the Legislature's intent for the program.

⁷ Past reports may be found at: http://consulting.uconn.edu/reports_audits.html .

Recommendations for Improvement:

- 1) The Committee is aware that the University has convened a committee charged with identifying what it believes is a small number of complex, consulting arrangements that have a high risk of having a conflict of interest. Once identified, the committee, which has membership from a wide range of offices that handle conflicts of interest and conflicts of commitment, will examine each case to determine if a conflict exists and if yes, to develop and implement an appropriate management plan. Such a plan could include denial of the request to consult or other actions. The Committee encourages the University to complete its development of this process and to implement it in FY 14.
- 2) The Federal Affordable Care Act has created the Open Payments program which requires pharmaceutical and medical device companies to make annual reports on payments to physicians, dentists and similar health care providers. The University has developed educational awareness programs for its faculty and it has begun a risk assessment process regarding the release of such information. It should continue its risk assessment process and develop a comprehensive approach for addressing the possible impacts of the Open Payments program.
- 3) The University should consider methodologies for increasing the efficiency of the approval process when dealing with low risk of Conflict of Interest consulting activities. These are characterized as being 'academically related, traditionally performed by faculty at similar institutions, and as having low rates of compensation.

VOLUME OF CONSULTING ACTIVITIES


In FY 13, the fifth full year of operations, the Faculty Consulting Office on the Storrs Campus received 1,125 requests to consult from 443 individuals. The Health Center's office received 767 requests from 171 individuals). Both campuses had very high response rate with the required reconciliation reports from those individuals who had filed requests to consult. The FY 13 annual report of the University's Faculty Consulting Program is attached.

ATTACHMENT 4

UConn

HEALTH CENTER

TO: Members, Board of Trustees

FROM: Frank Torti, M.D., M.P.H.
Executive Vice President for Health Affairs 

DATE: January 29, 2014

SUBJECT: Proposed SoM & SoDM Tuition and Fees Rates for FY 15

RECOMMENDATION

That the Board of Trustees approves a 5% increase in the combined rate of tuition and fees for the School of Medicine and School of Dental Medicine (per attachment 1 which also reflects a shift of \$1,000 from the category of fees to the category of tuition.) This increase applies to both the resident and non-resident rates.

BACKGROUND

The tuition and fee rates for the Schools of Medicine and Dental Medicine are now set by the Board of Trustees upon the recommendation of the Board of Directors. A regional tuition rate (for matriculants from certain other New England states) is set at 175% of the resident rate. Based on state regulations, a minimum of 15% of the tuition must be set aside for need based financial aid. The UCHC Board of Directors approved the attached proposed rates at their meeting on January 13, 2014.

The annual increases in national tuition and fees rates for public schools for residents have varied widely year to year, but over the last 6 years they have been more consistent and averaged approximately 6.25% for schools of medicine and over 10% for schools of dental medicine (attachment 2). Over this time period, the UCHC increases in the resident rate have consistently been below the national average increase for public schools. Based on the latest available data, the SoM and SoDM resident rates are at the 60th and 33rd percentiles of public schools respectively.

Rates for non-resident students are at the 78th and 50th percentiles respectively. Only a small number of students actually pay the non-resident rate given the ease of converting to resident status after one year of attendance and the availability of scholarships or tuition waivers for many non-resident students. Currently 4.9% of the SoM students and 13.8% of SoDM students are non-resident.

Due to the uncertainty of the national economy and UCHC's financial situation, this proposal is only for FY 15. We are recommending an across the board increase for tuition and fees of 5%. Each 1% increase in rates will net approximately \$150,000 in new revenues.

While UCHC has separate categories for tuition versus fees, there is no distinct difference as to how the funds are used with the exception of the requirement to use 15% of tuition for need based financial aid. UCHC's current fee levels are significantly above the national average and therefore to bring them in alignment with our peers we are beginning a process of shifting from the category of fees to tuition, starting this year at the level of \$1,000. From a student perspective, they will be paying the same combined amount.

Comparisons to our competitors: When compared to the ten public schools in our geographic region (attachment 3a), the SoM resident rate dropped from the 5th highest in FY 12 to the 8th highest in FY 14. Over this time the SoM non-resident rate increased from the 3rd highest to the highest. When compared to the five public schools in our geographic area, the SoDM resident rate dropped from the 4th highest to the 5th highest and the SoDM non-resident rate dropped from the 2nd highest to the 4th highest.

Just under one hundred of the students accepted by the SoM subsequently elected to matriculate at another school. This group of competitor schools had an average tuition and fees in FY 14 that was significantly higher than the UConn resident rate (attachment 3b). The same trend occurred for the SoDM.

The number of completed applications to the schools has been as follows (note the SoM data are estimates due to issues with older databases):

Entering Year	SoM #	% change	SoDM #	% change
2008	1956		1516	
2009	1817	-7.1%	1410	-7.0%
2010	2070	13.9%	1192	-
2011	1963	-5.2%	1171	-1.8%
2012	1798	-8.4%	1235	5.5%
2013	1828	1.7%	1313	6.3%

Student Indebtedness: The Schools monitor the indebtedness of students, especially as this relates to national data (attachments 4a and 4b). SoM students with debt on graduation in FY 13, have an average total debt (i.e. debt from undergraduate and graduate years) of approximately \$130,000 which was 7.5% below the previous last year. This compared to a national average debt for public schools of \$163,000 which was 4.3% higher than the previous year. Seventeen percent of the last graduating class had no debt compared to a national average of 14.8% of other public schools.

SoDM students with debt on graduation in FY 13 had an average total debt of approximately \$163,000 which was \$30,000 above the previous year. However in the last year in which we have national data, FY 12, the SoDM debt was \$88,000 lower than the average for other schools.

We are cognizant of the financial pressures being place on our students and their families due to the national financial environment and that the SoM's accreditor (the Liaison Committee for Medical Education – LCME) has taken note of the rate in which student indebtedness is increasing.

Financial Aid:

A total of \$20.4 million was issued in financial aid for FY 14. This included \$4.2 million in institutional grants (see attachment 5). All students who applied and were qualified received financial aid. The allocation of financial aid is based on the data provided in the Federal FAFSA (Free Application for Federal Student Aid) program.

Student response to proposed increases: Drs. Rose and Lepowsky have informed the students of the proposed increases in tuition and fees via email. The students have been invited to provide their feedback to Drs. Rose and Lepowsky directly or during information sessions which were held on January 8, 2014. The responses were as follows:

School of Medicine

Three students attended a presentation session and one student responded by email:

- Questions were raised as to how the new funds generated would be used to directly impact students and more specifically how money associated with fees is allocated.
- A concern was articulated that for some students, any increase in rates is significant due to their high debt and that more funds should be made available outside any FAFSA formulaic determination of need.
- A concern was raised that it is hard to cope with unpredictable increases in cost while matriculating and that approaches that would allow rates to be known at the time of being admitted would be appreciated.

School of Dental Medicine

Three students attended a presentation session, one responded by email, and one directly to a dean.

- An increase was expected and the level at 5% is both reasonable and fair.

ATTACHMENT 1

PROPOSED TUITION AND FEE SCHEDULE FOR FY 2015

		Current		PROPOSED	
School of Medicine		FY 2014		FY 2015	
Tuition		Base	%	Amount	FY 13 Base
	Resident	\$24,832	9.03%	\$2,242	\$27,074
	Non-Resident	\$52,312	6.91%	\$3,616	\$55,928
	Regional **	\$43,456	7.30%	\$3,173	\$46,629
Professional School Fee					
	Resident	\$10,437	-4.58%	-\$478	\$9,959
	Non-Resident	\$10,437	-4.58%	-\$478	\$9,959
	Regional	\$10,437	-4.58%	-\$478	\$9,959
TOTAL TUITION & FEES					
	Resident	\$35,269	5.00%	\$1,763	\$37,032
	Non-Resident	\$62,749	5.00%	\$3,137	\$65,886
	Regional	\$53,892	5.00%	\$2,695	\$56,587

		Current		PROPOSED	
School of Dental Medicine		FY 2014		FY 2015	
Tuition		Base	%	Amount	FY 13 Base
	Resident	\$23,363	9.28%	\$2,168	\$25,531
	Non-Resident	\$53,804	6.86%	\$3,690	\$57,494
	Regional **	\$40,886	7.45%	\$3,044	\$43,930
Professional School Fee		0%			
	Resident	\$9,524	-5.50%	-\$524	\$9,000
	Non-Resident	\$9,524	-5.50%	-\$524	\$9,000
	Regional	\$9,524	-5.50%	-\$524	\$9,000
TOTAL TUITION & FEES		\$0			
	Resident	\$32,887	5.00%	\$1,644	\$34,531
	Non-Resident	\$63,328	5.00%	\$3,166	\$66,494
	Regional	\$50,409	5.00%	\$2,520	\$52,929

Notes:

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

ATTACHMENT 2

Historic Public School Rankings - Combined Tuition and Fees

Schools of Medicine

Resident						
	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
National Average +	\$23,596	\$25,373	\$27,025	\$28,815	*	\$32,029
UConn	\$28,168	\$29,576	\$31,055	\$32,297	\$33,589	\$35,269
National percentage increase	5.8%	7.8%	6.5%	6.6%	5.6% **	5.6% **
UConn percentage increase	5.0%	5.0%	5.0%	4.0%	4.0%	5.0%
UConn rank (1 - highest)	19	21	23	29	*	34
# of Schools reporting	75	77	78	79	*	85
UConn percentile	75%	73%	71%	63%	*	60%

Non-Resident					
FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
\$43,780	\$46,132	\$48,804	\$51,184	*	\$55,262
\$50,815	\$52,621	\$55,252	\$57,462	\$59,761	\$62,749
4.6%	4.9%	5.8%	4.9%	4.0% **	4.0% **
3.3%	3.6%	5.0%	4.0%	4.0%	5.0%
16	21	18	21	*	18
72	74	76	78	*	81
78%	72%	76%	73%	*	78%

Schools of Dental Medicine

Resident						
	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
National Average !	\$22,034	\$23,091	\$27,544	*	\$33,544	*
UConn	\$25,115	\$27,579	\$28,958	\$30,116	\$31,321	\$32,887
National percentage increase	9.5% **	4.8%	19.3% !	10.9% **	10.9% **	*
UConn percentage increase	5.0%	9.8%	5.0%	4.0%	4.0%	5.0%
UConn rank (1 - highest)	12	10	17	*	12	*
# of Schools reporting	36	36	36	*	36	*
UConn percentile	67%	72%	53%	*	33%	*

Non-Resident					
FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
\$42,001	\$45,903	\$52,172	*	\$59,196	*
\$50,152	\$53,107	\$57,992	\$59,992	\$60,312	\$63,328
5.7% **	8.9%	13.7%	6.7% **	6.7% **	*
5.0%	5.9%	9.2%	3.4%	0.5%	5.0%
9	9	11	*	17	*
35	34	34	*	34	*
74%	74%	68%	*	50%	*

Notes:

* No national data were available and/or analysed.

** Annualized based on the known 2 year change from FY 07 to FY 09 and FY 13 to FY 14.

+ SoM data used through FY 12 are based on the September AAMC snapshot (i.e. preliminary data.) SoM data after FY 12 is based on the final AAMC report.

! SoDM data used through FY 10 was based on polling web sites. SODM data after FY 10 are from ADEA.

ATTACHMENT 3a

UNIVERSITY OF CONNECTICUT HEALTH CENTER
AAMC Database: Public Schools of Medicine 2013/2014
ADEA Database: Public Schools of Dental Medicine 2012/2013
Comparisons to Local, Public Competitor Schools

School of Medicine
Resident

SCHOOL	FY 11	FY 12	FY 14
UMDNJ-R W Johnson Medical Schl	\$34,632	\$36,454	\$39,077
UMDNJ-New Jersey Medical Schl	\$34,254	\$36,324	\$38,516
SUNY Upstate Medical Univ.	\$29,428	\$31,795	\$37,383
SUNY Downstate Coll of Med	\$28,854	\$31,963	\$37,063
Stony Brook University Health	\$27,345	\$29,861	\$36,600
Univ at Buffalo Sch of Med	\$26,307	\$26,602	\$35,945
Univ of Maryland Schl of Med	\$30,418	\$32,400	\$35,931
U of Connecticut School of Med	\$31,055	\$32,297	\$35,269
Univ of Vermont College of Med	\$31,971	\$32,856	\$35,110
Univ of Mass Medical School	\$20,144	\$23,164	\$27,014

Non-Resident

SCHOOL	FY 11	FY 12	FY 14
U of Connecticut School of Med	\$55,252	\$57,462	\$62,749
SUNY Upstate Medical Univ.	\$53,348	\$58,355	\$62,573
SUNY Downstate Coll of Med	\$52,774	\$58,523	\$62,253
Univ of Maryland Schl of Med	\$51,665	\$54,710	\$61,810
Stony Brook University Health	\$51,265	\$56,421	\$61,790
Univ at Buffalo Sch of Med	\$44,147	\$50,522	\$61,135
UMDNJ-R W Johnson Medical Schl	\$53,341	\$56,285	\$60,733
UMDNJ-New Jersey Medical Schl	\$52,963	\$56,155	\$60,172
Univ of Vermont College of Med	\$53,311	\$54,786	\$58,330
Univ of Mass Medical School	N/A	N/A	N/A

School of Dental Medicine
Resident

SCHOOL	FY 10	FY 11	FY 13
UMDNJ-New Jersey Medical Schl	\$29,859	\$35,631	\$38,548
Univ of Maryland Schl of Med	\$32,561	\$34,598	\$37,976
SUNY Stony Brook	\$26,115	\$30,725	\$35,597
SUNY Buffalo	\$21,257	\$23,027	\$34,099
U of Connecticut School of Dental Med	\$28,958	\$30,116	\$31,321

Non-Resident

SCHOOL	FY 10	FY 11	FY 13
Univ of Maryland Schl of Med	\$57,349	\$62,312	\$69,177
SUNY Stony Brook	\$44,805	\$56,605	\$67,377
SUNY Buffalo	\$41,027	\$48,907	\$65,879
U of Connecticut School of Dental Med	\$55,762	\$57,992	\$60,312
UMDNJ-New Jersey Medical Schl	\$44,671	\$54,340	\$59,371

Notes:

Data sorted by current year in descending order

ATTACHMENT 3b

Accepted Students Not Matriculating at UCHC

School of Medicine Top 12 Competitor Schools:

Students Accepted at UConn Who Elected
to Matriculate at Another AAMC School (n=96)

Class entering in the Fall of 2013

School	#	%	Resident Tuition, Fees & Health Ins.	Non-Resident Tuition, Fees & Health Ins.
New York Univ	12	12.5%	\$55,396	\$55,396
Harvard	5	5.2%	\$55,771	\$55,771
Tufts	5	5.2%	\$60,048	\$60,048
U Pennsylvania	4	4.2%	\$55,878	\$55,878
Yale	4	4.2%	\$54,425	\$54,425
Albert Einstein	3	3.1%	\$51,361	\$51,361
Boston Univ	3	3.1%	\$56,396	\$56,396
Cornell Univ	3	3.1%	\$56,877	\$56,877
Maryland	3	3.1%	\$35,931	\$61,810
Massachusetts	3	3.1%	\$27,014	N/A
Mount Sinai	3	3.1%	\$48,452	\$48,452
Rochester	3	3.1%	\$51,056	\$51,056
Subtotal / Average	51	53.1%	\$50,717	\$55,225
Median			\$54,911	\$55,771

Source: 2013 Joint Acceptance Report (Interim) from the AAMC

School of Dental Medicine Competitor Schools:

There are no data available indicating where students matriculate when they turn down an offer to attend UConn SoDM. Anecdotally, it is unusual for a Connecticut resident to turn down an offer to attend the SoDM and when this occurs they most often matriculate at the 4 schools listed below.

Class entering in the Fall of 2012

School	#	%	Resident Tuition & Fees	Non-Resident Tuition & Fees
Tufts			\$69,491	\$69,491
Columbia			\$67,296	\$67,296
U Penn			\$67,008	\$67,008
Harvard *			\$60,585	\$60,585
Subtotal / Average			\$66,095	\$66,095
Median			\$67,152	\$67,152

SoDM competitor rates do not include health insurance.

* Average of 4 years of fees used.

Medical Student Debt and Tuition

Suzanne Rose, MD, MEd, Senior Associate Dean for Education, SOM

December 2013

INTRODUCTION: DEBT AND TUITION

The table and three graphs below are from data from the LCME and AAMC and show that:

1. Percentage of UCONN graduates with medical school debt is less than the percentage in public schools and in all medical schools (Table 1).
2. The average debt (Figure 1) indicates that at all times since 2002 UCONN average medical school debt is less than that for all schools and at most times (except for a point in 2011-2012) has been less than that at public schools.
3. Resident tuition (Figure 2) at UCONN SOM is slightly above that for public schools but less than tuition for all schools.
4. Nonresident tuition (Figure 3) exceeds tuition at both public schools and all schools since 2004-5 but it should be noted that this affects a small number of students for one year. The school facilitates our students becoming CT state residents after one year and thus eligible for the resident tuition.

Figure 1:

Average Medical School Debt of Indebted Graduates

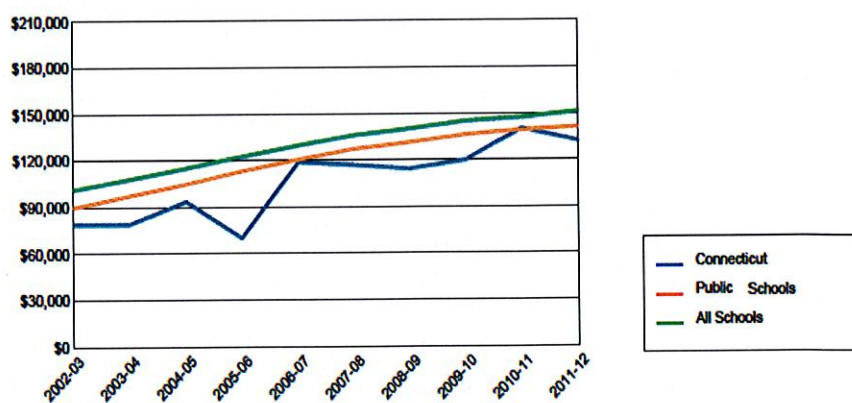


Table 1:

Connecticut	83.0%
Public Schools	86.2%
All Schools	84.4%

Figure 2:

Resident Tuition and Fees for First-Year Students

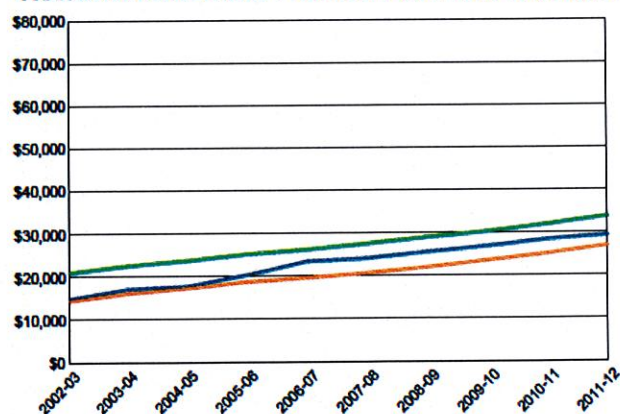
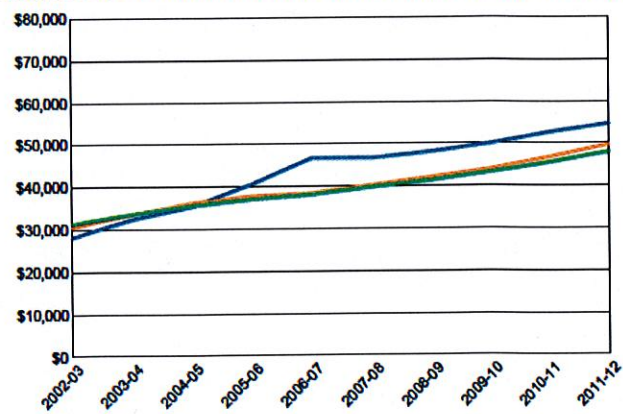


Figure 3:

Nonresident Tuition and Fees for First-Year Students



UCONN SOM STUDENT DEBT TABLES:

1. Table 2 shows that the mean debt for the Class of 2013 from UCONN SOM is less than that for graduates from public, private, and all schools. UCONN SOM also has fewer students with large amounts of debt.
2. Table 3 includes data for only those students who have medical school debt. Most years our indebted students have less debt than the national average for public schools.

Table 2:

Indebted Graduates, Class of 2013				
	Public	Private	All	UCONN
Mean	\$162,736	\$181,058	\$169,901	\$130,147
Median	\$168,000	\$190,000	\$175,000	\$129,620
PERCENT Graduates with Education Debt				
\$100,000 or more	79%	79%	79%	65%
\$150,000 or more	62%	66%	63%	42%
\$200,000 or more	34%	48%	40%	17%
\$250,000 or more	14%	27%	19%	3%
\$300,000 or more	5%	11%	7%	3%

Table 3:

Medical School Debt - ONLY students with medical school debt				
Year of Graduation	UCONN SOM Average Medical School Debt ONLY Students w/ Medical School Debt	UCONN SOM: Percent of change from year-to-year	PUBLIC SCHOOLS: National Average of Medical School Debt for ONLY students with medical school debt	PUBLIC SCHOOLS: Percent of change from year-to-year
2007	\$121,493	na	\$118,524	na
2008	\$116,908	-3.77%	\$125,329	4.87%
2009	\$114,429	-2.12%	\$129,292	3.01%
2010	\$119,957	4.83%	\$133,571	3.20%
2011	\$140,249	16.92%	\$137,151	1.80%
2012	\$132,433	-5.57%	\$140,960	3.17%
2013	\$115,994	-12.41%	\$144,332	2.85%

Dental Student Debt

December 2013

Year of Graduation	UConn SODM Dental School Debt as calculated by the FA Office	% of change	National Average of Debt for Students With Dental School Debt	% of Change	UConn SODM Dental Students with Undergraduate and Graduate (Dental) Educational Debt	% of Change	National Average of Debt for Students with Undergraduate and Graduate (Dental) Educational Debt as reported by ADEA
2009	\$ 146,337	n/a	n/a	n/a	\$ 153,295	n/a	\$ 198,678
2010	\$ 149,942	2.46%	n/a	n/a	\$ 158,531	3.42%	\$ 197,366
2011	\$ 122,382	-18.38%	n/a	n/a	\$ 131,082	-17.31%	\$ 203,374
2012	\$ 129,684	5.97%	n/a	n/a	\$ 133,131	1.53%	\$ 221,713
2013	\$ 155,414	19.84%	n/a	n/a	\$ 162,514	22.07%	n/a

Financial Aid FY 14

Item	Medicine	Dental Medicine	Interest Rate
Federal Loans			
Unsubsidized Direct Loans	\$ 8,935,851	\$ 4,772,514	5.41%
Grad Plus Direct Loans	\$ 1,134,737	\$ 729,055	6.41%
sub total	\$ 10,070,588	\$ 5,501,569	
Institutional Loans			
University Loan	\$ 484,138	\$ 179,031	5.00%
sub total			
Institutional Grants			
HCOP	\$ 1,397,608	\$ 948,591	
Merit	\$ 124,375	-	
Tuition Remission	\$ 1,131,466	\$ 574,909	
sub total	\$ 2,653,449	\$ 1,523,500	
Grand total	\$ 13,208,175	\$ 7,204,100	

ATTACHMENT 5

January 29, 2014

TO: Members of the Board of Trustees

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

RE: Designation of Authorized Officer for Sale Purposes for UCONN 2000 General
Obligation and Special Obligation Bonds

RECOMMENDATION:

That the Board of Trustees designate Shari G. Cantor or in her absence the Board of Trustees Chairman, as its Authorized Officer for Sale Purposes, pursuant to Connecticut General Statute 10(a)-109g(e), and the General Obligation Master Indenture of Trust, dated as of November 1, 1995, and the Special Obligation Master Indenture of Trust, dated as of January 1, 1997, as amended. This Resolution shall take effect upon adoption by the Board of Trustees.

BACKGROUND:

The Authorized Officer for Sale Purposes is delegated by the Board of Trustees to sign certain bond documents on behalf of the University during the bond issuance process, as required under Connecticut General Statute 10(a)-109g and the University's General Obligation and Special Obligation Master and Supplemental Indentures of Trust. The term of Dr. Francis Archambault who served as former Authorized Officer for Sale Purposes, as Board member ended on August 31, 2013. The University needs to delegate a member of the Financial Affairs Committee of the Board of Trustees to serve as an Authorized Officer for Sale Purposes. Ms. Cantor is a member of the Financial Affairs Committee and has agreed to serve in this capacity. It is also requested that the Board of Trustees Chair be granted authority in Ms. Cantor's absence.

An example of a document that an Authorized Officer for Sale Purposes would sign is the "CERTIFICATE OF DETERMINATION OF THE TREASURER OF THE STATE OF CONNECTICUT PURSUANT TO SECTION 10a-109g(e) AND (f) OF THE GENERAL STATUTES OF CONNECTICUT, AS AMENDED, AND CERTAIN INDENTURES OF THE UNIVERSITY OF CONNECTICUT FOR THE ISSUANCE OF \$172,660,000 GENERAL OBLIGATION BONDS, 2013 SERIES A BY THE UNIVERSITY OF CONNECTICUT" There are similar documents to sign for other UCONN 2000 Financings including the Special Obligation Student Fee Revenue Bonds.

**UNIVERSITY OF CONNECTICUT BOARD OF TRUSTEES
RESOLUTION
TO APPOINT AUTHORIZED OFFICER FOR SALE PURPOSES**

WHEREAS pursuant to the University of Connecticut 2000 Act as amended (the "Act") the University of Connecticut (the "University") may when directed by majority vote of its Board of Trustees (the Board), issue securities to finance the cost of UCONN 2000 as more fully described in the Act and may delegate to the Finance Committee such matters as it may determine appropriate, other than the authorization and maximum amount of the securities to be issued; and

WHEREAS pursuant to the General Obligation Master Indenture of Trust, dated as of November 1, 1995 as amended and supplemented to date (the "Master Indenture") and the Special Obligation Indenture of Trust, Student Fee Revenue Bonds, dated as of January 1, 1997 as amended and supplemented to date (the "Special Obligation Master Indenture" and collectively with the Master Indenture, the "Indentures"), the University authorized and has issued its bonds; and

WHEREAS pursuant to the Indentures, the Board has delegated certain matters with respect to the sale and issuance of such bonds to the Authorized Officer for Sale Purposes; and

WHEREAS pursuant to the Indentures, the Authorized Officer for Sale Purposes means the Authorized Officer who shall be an officer, official or trustee serving on the Financial Affairs Committee of the Board; and

WHEREAS the Board desires to appoint a member of the Financial Affairs Committee to serve as the Authorized Officer For Sale Purposes.

NOW THEREFORE BE IT RESOLVED that the Board hereby appoints Shari G. Cantor or in her absence the Board of Trustees Chairman, as the Authorized Officer for Sale Purposes in connection with the sale and issuance of bonds of the University.

ATTACHMENT 6



January 29, 2014

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 Basketball Development Facility
(Revised Final: \$33,538,300)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$33,538,300 for the Basketball Development Center.

BACKGROUND:

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

The project is currently in construction and projected to be on schedule and is approximately sixty-two percent (62%) complete.

The original budget excluded furniture, fixtures, equipment and exterior signage. The purpose of this funding request is to increase the project budget by \$230,000 specifically to furnish and install court equipment and exterior building signage.

A recent contract with Coke has provided a sponsorship commitment to the Basketball Development Facility of which \$200,000 will be used to furnish and install wall mounted goals, scoreboards and shot clocks.

In addition, the UConn Foundation has provided \$30,000 additional funding to furnish exterior building signage.

Office of the Executive Vice President for
Administration and Chief Financial Officer
352 MANSFIELD ROAD, UNIT 1122
GULLEY HALL
STORRS, CT 06269-1122
PHONE 860.486.3455
FAX 860.486.1070

The University requests that the existing Revised Final Budget be increased in the amount of \$230,000 bringing the total Revised Final Budget to \$33,538,300.

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

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: BASKETBALL DEVELOPMENT FACILITY (aka BASKETBALL CHAMPIONS CENTER)

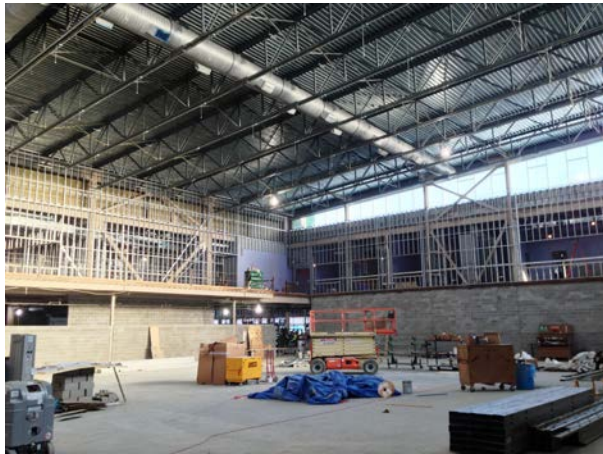
	APPROVED PLANNING 9/21/2010	APPROVED FINAL 11/14/2012	APPROVED REVISED FINAL 4/24/2013	APPROVED REVISED FINAL 9/25/2013	PROPOSED REVISED FINAL 1/29/2014
<u>BUDGETED EXPENDITURES</u>					
CONSTRUCTION	\$ -	\$ 27,806,450	\$ 27,824,950	\$ 27,824,950	\$ 27,824,950
DESIGN SERVICES	1,900,000	2,462,971	2,462,971	2,537,971	2,537,971
TELECOMMUNICATIONS	-	261,500	261,500	261,500	261,500
FURNITURE, FIXTURES AND EQUIPMENT*	-	-	-	-	230,000
CONSTRUCTION ADMINISTRATION	-	-	212,800	212,800	212,800
OTHER AE SERVICES (including Project Management)	200,000	853,000	853,000	855,000	859,020
ART	-	-	-	-	-
RELOCATION	-	-	-	-	-
ENVIRONMENTAL	8,000	7,500	7,500	7,500	7,500
INSURANCE AND LEGAL	2,000	2,000	2,000	2,000	2,000
MISCELLANEOUS	-	19,200	19,200	19,200	19,200
OTHER SOFT COSTS*	590,000	-	-	-	-
SUBTOTAL	\$ 2,700,000	\$ 31,412,621	\$ 31,643,921	\$ 31,720,921	\$ 31,954,941
PROJECT CONTINGENCY	300,000	1,587,379	1,587,379	1,587,379	1,583,359
TOTAL BUDGETED EXPENDITURES	<u>\$ 3,000,000</u>	<u>\$ 33,000,000</u>	<u>\$ 33,231,300</u>	<u>\$ 33,308,300</u>	<u>\$ 33,538,300</u>
<u>SOURCE(S) OF FUNDING</u>					
GIFTS	\$ 2,998,755	\$ 32,998,755	\$ 32,998,755	\$ 33,075,755	\$ 33,105,755
DEPARTMENTAL FUNDS - ATHLETICS	1,245	1,245	1,245	1,245	201,245
UNIVERSITY OPERATING FUNDS	-	-	231,300	231,300	231,300
TOTAL BUDGETED FUNDING	<u>\$ 3,000,000</u>	<u>\$ 33,000,000</u>	<u>\$ 33,231,300</u>	<u>\$ 33,308,300</u>	<u>\$ 33,538,300</u>

*Does not include all Furniture, Fixtures and Equipment.

BASKETBALL DEVELOPMENT FACILITY

Project Budget (REVISED FINAL)

01/29/2014




ATTACHMENT 7


UConn

HEALTH CENTER

January 29, 2014

TO: Members of the Board of Trustees

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

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

RE: **Project Budget for the UConn Health Center (UHC) Roadway and Intersection Improvements (Final: \$5,710,000)**

RECOMMENDATION:

That the Board of Trustees approves the Final Budget in the amount of \$5,710,000 for the UHC Roadway & Intersection Improvements

BACKGROUND:

The planning for the construction associated with the Bioscience Connecticut initiative required that UHC complete an Environmental Impact Evaluation (EIE) and an application to the Connecticut Department of Transportation's Office of State Traffic Administration (OSTA). As part of the EIE and OSTA certification process, certain on-site as well as off-site roadway and traffic control improvements have been proposed to mitigate increased traffic volumes that are projected as a result of the construction of the New Hospital Building, Ambulatory Care Center and the Jackson labs facilities.

Such improvements include on-campus and off-campus roadway widening and modifications to existing geometry, additional lanes for increased capacity, new traffic control signalization, modifications to existing signalization, and modifications to pavement markings. Construction bids are due beginning of February and construction is scheduled to start in March, 2014.

The Ground Lease Agreement with the Jackson Laboratories (JAX) requires that JAX reimburse UHC for a portion of the cost of the improvements based upon their proportioned share of projected traffic generation. The calculated share is 20% and the attached budget reflects this proportioned share of funding.

The Final Budget is attached for your consideration and approval. This Final Budget is anticipated to be approved by the Board of Directors Finance Committee and the UCHC Board of Directors at their respective meetings on January 13th, 2014.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCHC NEW CONSTRUCTION AND RENOVATION - ROADWAY & INTERSECTION IMPROVEMENTS

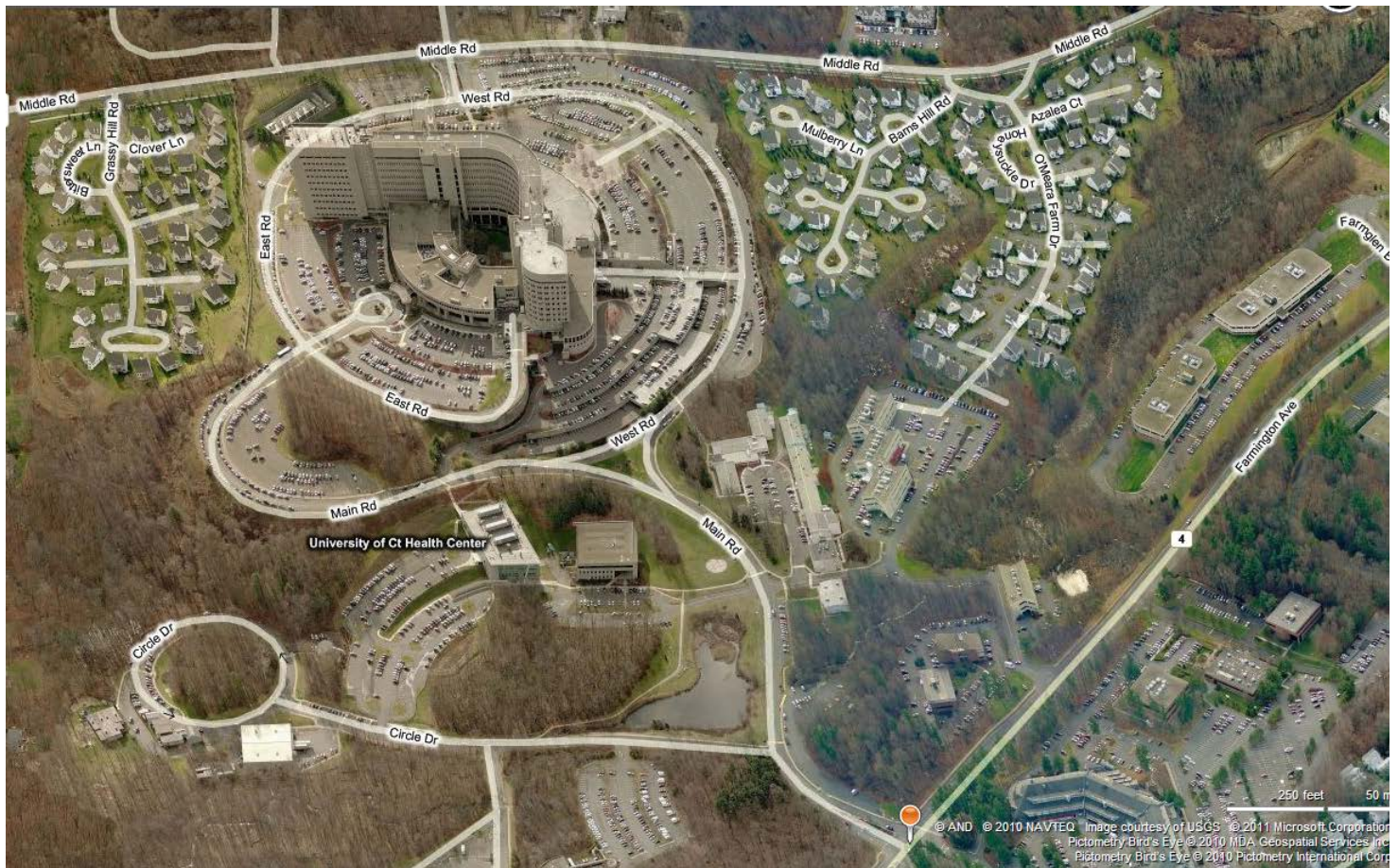
	APPROVED PLANNING 6/26/2013	APPROVED DESIGN 9/25/2013	PROPOSED FINAL 1/29/2014
<u>BUDGETED EXPENDITURES</u>			
CONSTRUCTION	\$ 3,876,000	\$ 4,655,000	\$ 4,655,000
DESIGN SERVICES*	427,000	-	-
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	150,000	185,000	185,000
OTHER AE SERVICES (including Project Management)	240,000	240,000	240,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	20,000	20,000	20,000
INSURANCE AND LEGAL	25,000	25,000	25,000
MISCELLANEOUS	66,000	65,000	65,000
OTHER SOFT COSTS	-	-	-
SUBTOTAL	\$ 4,804,000	\$ 5,190,000	\$ 5,190,000
PROJECT CONTINGENCY	481,000	520,000	520,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 5,285,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,710,000</u>
<u>SOURCE(S) OF FUNDING</u>			
UConn 2000 PHASE III - DM	\$ 5,285,000	\$ -	\$ -
UConn 2000 PHASE III	-	4,568,000	4,568,000
JACKSON LABORATORIES	-	1,142,000	1,142,000
TOTAL BUDGETED FUNDING	<u>\$ 5,285,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,710,000</u>

* Costs for Design Services were allocated to Jackson Labs, UCHC New Construction & Renovations, and the UCHC Ambulatory Care Center project outside of this project budget.

UCHC ROADWAY AND INTERSECTION IMPROVEMENTS

Project Budget (FINAL)

01/29/2014



ATTACHMENT 8

UConn

HEALTH CENTER

January 29, 2014

TO: Members of the Board of Trustees

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

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

RE: **Project Budget for the UConn Health Center (UHC) Dental Clinic Fit-Out, Storrs Center (Revised Final: \$925,000)**

RECOMMENDATION:

That the Board of Trustees approves the Revised Final Budget in the amount of \$925,000 for the UHC Dental Clinic Fit-Out, Storrs Center

BACKGROUND:

The UHC School of Dental Medicine leased 2,644 rentable square feet at the Storrs Center for the purposes of developing a dental practice to serve the University and the community. The lease terms provide that the tenant (UHC Finance Corporation) shall fit-out the space by making appropriate renovations and equipping the space for its intended use. The program for the clinic includes 5 dental exam rooms and the appropriate support and administrative spaces required for dental practice.

At the September 25, 2013 Board meeting the Final Budget was submitted and approved with the understanding that the project was yet to be bid. UHC received bids for the construction that were within budget. The scope review of the lowest bidder revealed equipment that was required for the Dental Clinic was not included within any of the bidder's proposals. UHC is in the process of rebidding the project. The budget increase will cover the cost of the necessary dental equipment. The requested additional project funds will be allocated from funds that were originally set aside for the project during the initial planning phase.

The Revised Final Budget is attached for your consideration and approval. This Revised Final Budget is anticipated to be approved by the Board of Directors Finance Committee and the UHC Board of Directors at their respective meetings on January 13th, 2014.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

PROJECT NAME: **UCHC - DENTAL CLINIC FIT OUT, STORRS CENTER**

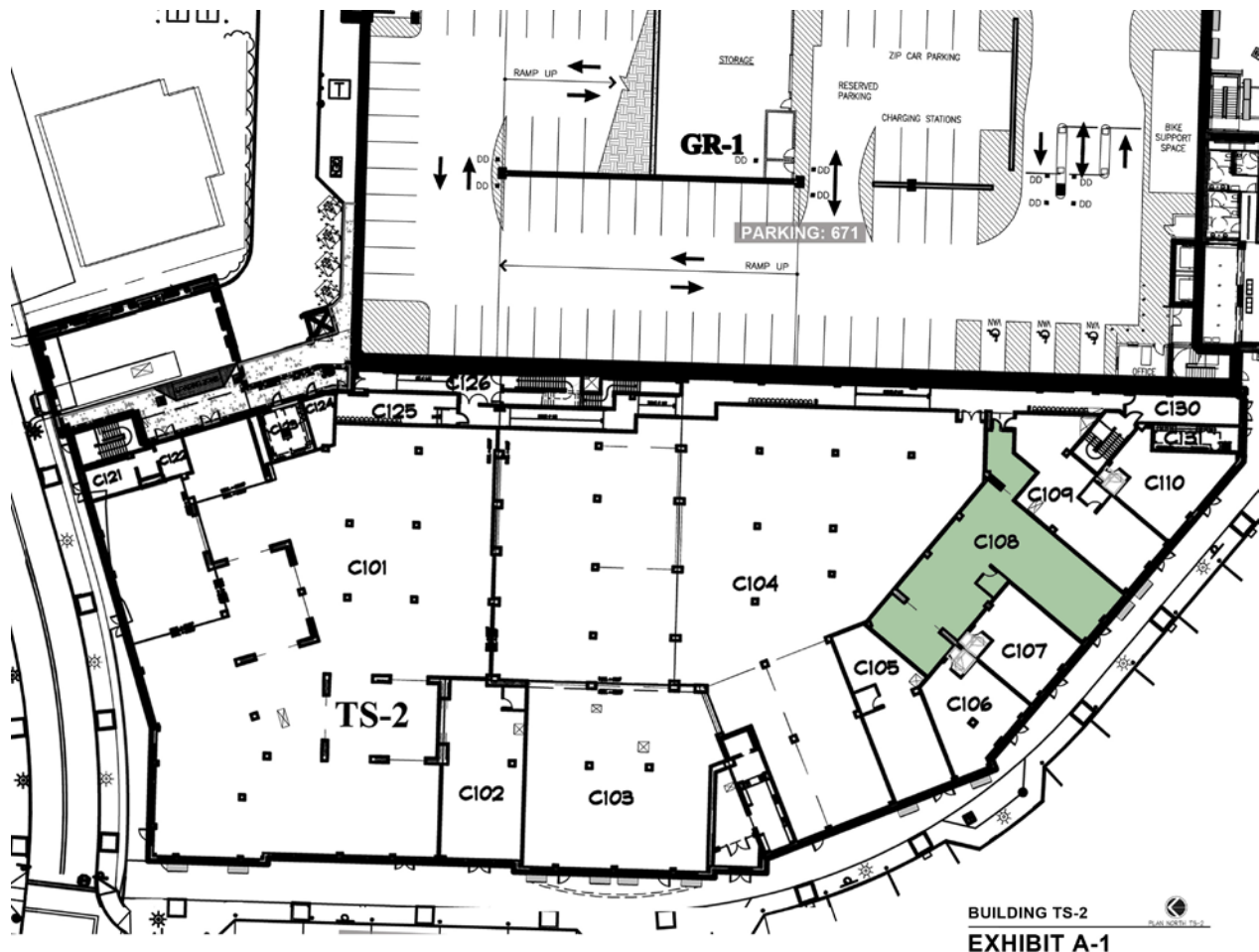
<u>BUDGETED EXPENDITURES</u>	APPROVED PLANNING 2/27/2013	APPROVED FINAL 9/25/2013	PROPOSED REVISED FINAL 1/29/2014
CONSTRUCTION	\$ 530,000	\$ 354,000	\$ 440,000
DESIGN SERVICES	53,000	37,000	37,000
TELECOMMUNICATIONS	15,000	27,000	35,000
FURNITURE, FIXTURES AND EQUIPMENT	160,000	345,000	315,000
CONSTRUCTION ADMINISTRATION	5,000	4,000	-
OTHER AE SERVICES (including Project Management)	-	-	2,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	5,000	3,000	2,000
MISCELLANEOUS	10,000	10,000	10,000
SUBTOTAL	\$ 778,000	\$ 780,000	\$ 841,000
PROJECT CONTINGENCY	80,000	78,000	84,000
TOTAL BUDGETED EXPENDITURES	\$ 858,000	\$ 858,000	\$ 925,000
<u>SOURCE(S) OF FUNDING</u>			
UCHC CAPITAL FUNDS	\$ 858,000	\$ 858,000	\$ 925,000
TOTAL BUDGETED FUNDING	\$ 858,000	\$ 858,000	\$ 925,000

BOT 1.29.14

13-023

UCHC DENTAL CLINIC FIT-OUT, STORRS CENTER
Project Budget (REVISED FINAL)
01/29/2014

FLOOR PLAN OF LEASED AREA



ATTACHMENT 9

UConn

HEALTH CENTER

January 29, 2014

TO: Members of the Board of Trustees

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

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

RE: Project Budget for the UConn Health Center (UHC) Main Building
Renovation; Lab ("L") Building Renovations - Project 1:
(Revised Final \$79,215,503)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$79,215,503 for the UHC Main Building Renovation, L Building - Project 1.

BACKGROUND:

The Board approved a \$79,000,000 Final budget in December 2012 for the UHC Main Building Renovation; Lab ("L") Building Renovations - Project 1. The renovation project, currently under construction, is creating large flexible open laboratory space and replacing the aged mechanical, plumbing and electrical infrastructure. Subsequent to the Board's approval UHC applied for and received a grant of \$215,503 from the Department of Public Health to expand the capacity of the morgue freezer which is being relocated as part of this project.

The grant was received from the Department of Public Health (DPH) under the Hospital Preparedness Program (HPP). The HPP provides funding through grants and cooperative agreements to States, territories, and eligible municipalities to improve surge capacity and enhance community and hospital preparedness for public health emergencies. This funding is used to support numerous programs to help strengthen public health emergency preparedness which includes the State of CT Mass Fatality Management Plan. The Office of the State Medical Examiner, located on the UHC campus, is the lead State agency when it comes to Mass Fatality Management. The morgue freezer that is being relocated is a resource in the State Medical Examiner's and the State's Mass Fatality Plan. The grant received allowed UHC to expand the capacity of the morgue freezer.

The Revised Final Budget reflects the addition of these grant funds and is attached for your consideration and approval. This Revised Final Budget is anticipated to be approved by the Board of Directors Finance Committee and the UCHC Board of Directors at their respective meetings on January 13th, 2014.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

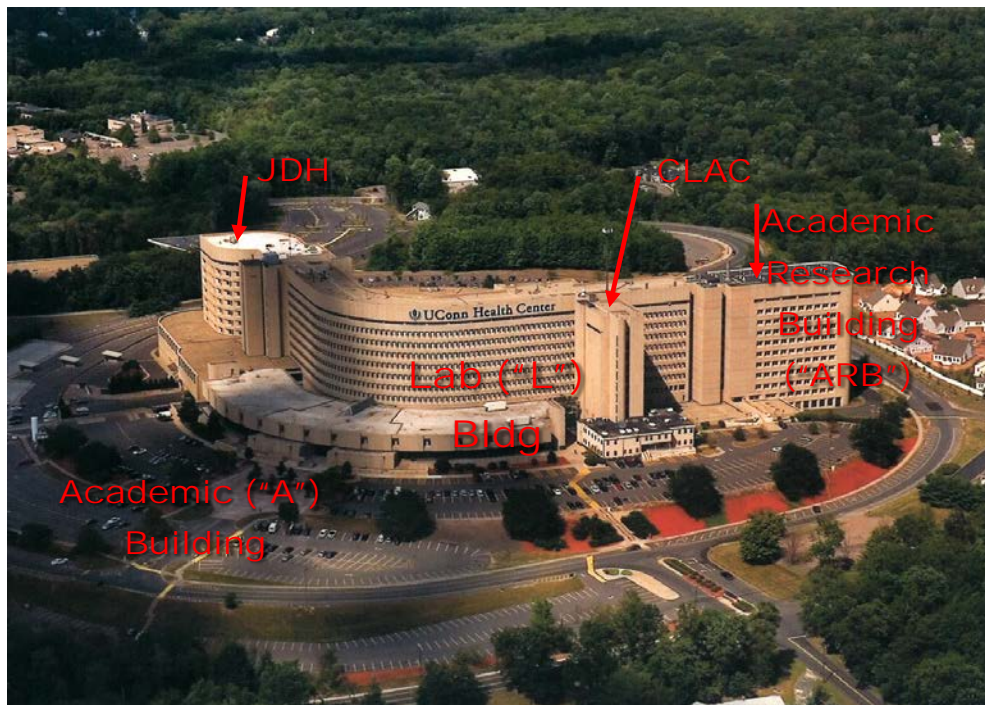
PROJECT NAME: **UCHC MAIN BUILDING RENOVATION: LAB ("L") BUILDING RENOVATIONS - PROJECT 1**

	APPROVED PLANNING 6/20/2006	APPROVED REVISED PLANNING 2/28/2012	APPROVED DESIGN 6/28/2012	APPROVED FINAL 12/12/2012	PROPOSED REVISED FINAL 1/29/2014
<u>BUDGETED EXPENDITURES</u>					
CONSTRUCTION	\$ 50,681,800	\$ 57,042,000	\$ 58,630,000	\$ 58,630,000	\$ 58,845,503
DESIGN SERVICES	5,000,000	6,560,000	6,872,000	6,872,000	6,872,000
TELECOMMUNICATIONS		913,000	1,775,000	1,775,000	1,775,000
FURNITURE, FIXTURES AND EQUIPMENT		1,830,000	1,981,000	1,981,000	1,981,000
CONSTRUCTION ADMINISTRATION		1,780,000	1,780,000	1,780,000	1,780,000
OTHER AE SERVICES (including Project Management)		320,000	320,000	320,000	320,000
ART (1% OF NEW CONSTRUCTION)		-	-	-	-
RELOCATION		280,000	280,000	280,000	280,000
ENVIRONMENTAL		350,000	69,000	69,000	69,000
INSURANCE AND LEGAL		80,000	75,000	75,000	75,000
MISCELLANEOUS		51,000	38,000	38,000	38,000
OTHER SOFT COSTS	12,500,000	-	-	-	-
SUBTOTAL	\$ 68,181,800	\$ 69,206,000	\$ 71,820,000	\$ 71,820,000	\$ 72,035,503
PROJECT CONTINGENCY	6,818,200	6,921,000	7,180,000	7,180,000	7,180,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 75,000,000</u>	<u>\$ 76,127,000</u>	<u>\$ 79,000,000</u>	<u>\$ 79,000,000</u>	<u>\$ 79,215,503</u>
<u>SOURCE(S) OF FUNDING</u>					
UConn 2000 PHASE III	\$ 75,000,000	\$ 76,127,000	\$ 79,000,000	\$ 79,000,000	\$ 79,000,000
DPH GRANT	-	-	-	-	215,503
TOTAL BUDGETED FUNDING	<u>\$ 75,000,000</u>	<u>\$ 76,127,000</u>	<u>\$ 79,000,000</u>	<u>\$ 79,000,000</u>	<u>\$ 79,215,503</u>

UCHC MAIN BUILDING RENOVATION
LAB ("L") BUILDING RENOVATIONS – Project 1
Project Budget (REVISED FINAL)
01/29/2014



IMAGE OF PROPOSED RENOVATED LAB SPACE



ATTACHMENT 10

Summary of Commitments by Level
Through 1/13/2014

Printed 01-13-2014

Giving Range	FY 2012		FY 2013		FYTD 2013 through 1/13		FYTD 2014 through 1/13		FYTD 2014 vs. FYTD 2013
	Dollars	Donors	Dollars	Donors	Dollars	Donors	Dollars	Donors	Dollars
\$500,000 +	\$28,791,757	23	\$33,692,276	18	\$21,172,632	10	\$12,566,701	7	-40.6%
\$250,000 - \$499,999	\$5,338,403	15	\$5,597,145	17	\$3,949,806	12	\$2,964,286	8	-25.0%
\$100,000 - \$249,999	\$5,944,349	39	\$5,377,038	40	\$2,899,262	21	\$2,497,656	19	-13.9%
\$25,000 - \$99,999	\$7,118,839	168	\$6,706,972	152	\$3,809,300	88	\$3,191,085	74	-16.2%
\$10,000 - \$24,999	\$3,594,616	258	\$3,616,141	261	\$1,630,800	120	\$1,760,447	131	7.9%
\$1,000 - \$9,999	\$5,903,698	2,403	\$5,938,001	2,444	\$2,409,868	1,019	\$2,383,925	977	-1.1%
\$1 - \$999	\$3,086,499	25,222	\$3,480,959	30,487	\$1,695,269	15,982	\$1,399,123	12,681	-17.5%
Totals	\$59,778,162	28,128	\$64,408,532	33,419	\$37,566,937	17,252	\$26,763,222	13,897	-28.8%

Summary of Commitments by Unit

Through 1/13/2014

Printed 01-13-2014

Executive Level Unit	FY 2012	FY 2013	FYTD 2013 through 1/13	FYTD 2014 through 1/13	FYTD 2014 vs. FYTD 2013
University	\$26,487,741	\$22,228,465	\$10,819,842	\$4,252,627	-60.7%
Athletics	\$21,738,520	\$14,276,525	\$7,216,236	\$2,517,906	-65.1%
Diversity & Equity	\$0	\$100,000	\$0	\$0	0.0%
Economic Development	\$0	\$27,000	\$5,000	\$3,025	-39.5%
Enrollment Planning And Management	\$3,106,409	\$6,916,561	\$3,038,626	\$1,299,109	-57.2%
University	\$1,412,168	\$780,475	\$507,319	\$363,185	-28.4%
Department					
General - Includes Fund for UConn	\$1,412,168	\$780,475	\$507,319	\$363,185	-28.4%
University Communications	\$230,644	\$122,213	\$52,636	\$69,362	31.8%
Vice President For Research	\$0	\$5,692	\$25	\$39	56.8%
Executive Vice President For Administration & Chief Financial Officer	\$220	\$1,200	\$1,100	\$150	-86.4%
Facilities Operation	\$120	\$1,000	\$1,000	\$0	-100.0%
Public Safety	\$100	\$200	\$100	\$150	50.0%
Provost & Executive Vice President For Academic Affairs	\$1,643,669	\$2,201,492	\$1,399,548	\$556,614	-60.2%
Center For Continuing Studies	\$10,262	\$7,077	\$6,238	\$5,495	-11.9%
Provost & Executive Vice President For Academic Affairs	\$1,132,335	\$1,355,244	\$828,912	\$33,585	-95.9%
Undergraduate Education	\$190,035	\$237,176	\$40,063	\$44,777	11.8%
University Information Technology Services	\$6,691	\$2,545	\$980	\$760	-22.4%
University Libraries	\$299,200	\$590,833	\$520,199	\$95,916	-81.6%
Vice Provost For Global Affairs	\$5,147	\$8,617	\$3,156	\$376,081	11816.8%
Schools & Colleges	\$21,614,823	\$31,840,255	\$22,029,085	\$17,350,671	-21.2%
Agriculture And Natural Resources	\$1,329,075	\$787,517	\$529,000	\$388,406	-26.6%

Summary of Commitments by Unit
 Through 1/13/2014

Printed 01-13-2014

Business	\$5,427,250	\$4,368,276	\$1,037,582	\$790,819	-23.8%
Education	\$1,903,366	\$1,839,737	\$1,018,512	\$645,177	-36.7%
Engineering	\$2,058,838	\$8,915,416	\$6,461,846	\$9,438,478	46.1%
Fine Arts	\$4,792,510	\$3,785,719	\$3,236,189	\$792,188	-75.5%
Law	\$1,723,705	\$798,035	\$493,024	\$178,274	-63.8%
Liberal Arts And Sciences	\$3,309,482	\$9,759,180	\$8,554,693	\$3,676,187	-57.0%
Nursing	\$458,126	\$762,692	\$163,687	\$183,159	11.9%
School Of Pharmacy	\$518,831	\$508,557	\$263,347	\$949,263	260.5%
Social Work	\$83,690	\$314,076	\$270,155	\$307,720	13.9%
Vice Provost For Graduate Education & Dean Of The Graduate School	\$9,950	\$1,050	\$1,050	\$1,000	-4.8%
Regional Campuses	\$284,286	\$210,167	\$68,283	\$65,746	-3.7%
Avery Point Regional Campus	\$74,209	\$82,038	\$32,010	\$28,602	-10.6%
Hartford Regional Campus	\$4,590	\$5,298	\$4,740	\$4,865	2.6%
Stamford Regional Campus	\$175,359	\$100,957	\$24,284	\$23,939	-1.4%
Torrington Regional Campus	\$6,269	\$7,236	\$3,972	\$4,823	21.4%
Waterbury Regional Campus	\$23,858	\$14,637	\$3,277	\$3,516	7.3%
Office Of Vice President For Student Affairs	\$250,532	\$227,873	\$78,489	\$63,167	-19.5%
Health Services	\$0	\$0	\$0	\$10,000	100.0%
Student Activities	\$50,437	\$112,932	\$45,642	\$28,158	-38.3%
Student Union	\$4,785	\$6,480	\$5,360	\$4,230	-21.1%
Vice President Of Student Affairs	\$195,310	\$108,461	\$27,487	\$20,779	-24.4%
Health Affairs	\$8,488,525	\$5,986,746	\$2,971,796	\$4,101,956	38.0%
Dental Medicine	\$566,996	\$371,207	\$249,380	\$178,843	-28.3%
Executive Vice President Of Health Affairs	\$1,808,977	\$1,241,768	\$1,140,580	\$599,155	-47.5%
Foundation Fundraising Health Center	\$1,277,398	\$1,648,048	\$447,398	\$404,002	-9.7%
Medicine	\$4,835,154	\$2,725,723	\$1,134,439	\$2,919,956	157.4%

Summary of Commitments by Unit
 Through 1/13/2014

Printed 01-13-2014

Foundation	\$838,156	\$1,652,901	\$145,662	\$348,677	139.4%
Foundation Operations	\$838,156	\$1,652,901	\$145,662	\$348,677	139.4%
Other Entities	\$170,209	\$59,434	\$53,131	\$23,614	-55.6%
Hillel	\$170,209	\$59,434	\$53,131	\$23,614	-55.6%
Totals	\$59,778,162	\$64,408,532	\$37,566,937	\$26,763,222	-28.8%
Endowment and Similar	\$12,716,205	\$26,173,514	\$19,352,395	\$12,084,578	-37.6%
Other Current Operations	\$47,061,956	\$38,235,018	\$18,214,541	\$14,678,644	-19.4%

Summary of Commitments by Purpose
 FYTD 2014 Through 1/13/2014

Printed 01-13-2014

Development Area Unit / Group	Capital Improvements	Faculty Support	Research	Program Support	Student Support	TOTAL	FYTD 2014 vs. FYTD 2013
University	\$1,056,674	\$0	\$0	\$1,579,174	\$1,616,778	\$4,252,627	-60.7%
Athletics	\$1,049,316	\$0	\$0	\$1,187,758	\$280,833	\$2,517,906	-65.1%
Economic Development	\$0	\$0	\$0	\$3,025	\$0	\$3,025	-39.5%
Enrollment Planning And Management	\$0	\$0	\$0	\$0	\$1,299,109	\$1,299,109	-57.2%
University	\$6,519	\$0	\$0	\$356,666	\$0	\$363,185	-28.4%
Department							
General - Includes Fund for UCONN	\$6,519	\$0	\$0	\$356,666	\$0	\$363,185	-28.4%
University Communications	\$800	\$0	\$0	\$31,725	\$36,837	\$69,362	31.8%
Vice President For Research	\$39	\$0	\$0	\$0	\$0	\$39	56.8%
Executive Vice President For Administration & Chief Financial Officer	\$0	\$0	\$0	\$150	\$0	\$150	-86.4%
Facilities Operation	\$0	\$0	\$0	\$0	\$0	\$0	-100.0%
Public Safety	\$0	\$0	\$0	\$150	\$0	\$150	50.0%
Provost & Executive Vice President For Academic Affairs	\$10,395	\$10,973	\$0	\$435,189	\$100,057	\$556,614	-60.2%
Center For Continuing Studies	\$0	\$0	\$0	\$3,118	\$2,377	\$5,495	-11.9%
Provost & Executive Vice President For Academic Affairs	\$10,395	\$10,000	\$0	\$11,190	\$2,000	\$33,585	-95.9%
Undergraduate Education	\$0	\$70	\$0	\$42,265	\$2,442	\$44,777	11.8%
University Information Technology Services	\$0	\$0	\$0	\$760	\$0	\$760	-22.4%
University Libraries	\$0	\$903	\$0	\$95,013	\$0	\$95,916	-81.6%
Vice Provost For Global Affairs	\$0	\$0	\$0	\$282,843	\$93,238	\$376,081	11816.8%
Schools & Colleges	\$54,747	\$2,595,209	\$1,248,257	\$6,396,846	\$7,055,612	\$17,350,671	-21.2%

Summary of Commitments by Purpose
FYTD 2014 Through 1/13/2014

Printed 01-13-2014

Agriculture And Natural Resources	\$45,955	\$150	\$65,688	\$189,525	\$87,088	\$388,406	-26.6%
Business	\$0	\$11,175	\$0	\$607,001	\$172,643	\$790,819	-23.8%
Education	\$0	\$0	\$213,425	\$240,749	\$191,003	\$645,177	-36.7%
Engineering	\$1,850	\$2,292,000	\$0	\$3,168,656	\$3,975,972	\$9,438,478	46.1%
Fine Arts	\$1,400	\$0	\$0	\$742,673	\$48,116	\$792,188	-75.5%
Law	\$0	\$0	\$0	\$149,019	\$29,255	\$178,274	-63.8%
Liberal Arts And Sciences	\$0	\$256,158	\$206,644	\$1,081,200	\$2,132,186	\$3,676,187	-57.0%
Nursing	\$5,542	\$0	\$15,000	\$67,215	\$95,402	\$183,159	11.9%
School Of Pharmacy	\$0	\$35,727	\$747,500	\$126,442	\$39,595	\$949,263	260.5%
Social Work	\$0	\$0	\$0	\$24,367	\$283,353	\$307,720	13.9%
Vice Provost For Graduate Education & Dean Of The Graduate School	\$0	\$0	\$0	\$0	\$1,000	\$1,000	-4.8%
Regional Campuses	\$0	\$0	\$0	\$48,130	\$17,615	\$65,746	-3.7%
Avery Point Regional Campus	\$0	\$0	\$0	\$17,952	\$10,650	\$28,602	-10.6%
Hartford Regional Campus	\$0	\$0	\$0	\$865	\$4,000	\$4,865	2.6%
Stamford Regional Campus	\$0	\$0	\$0	\$22,719	\$1,220	\$23,939	-1.4%
Torrington Regional Campus	\$0	\$0	\$0	\$3,077	\$1,745	\$4,823	21.4%
Waterbury Regional Campus	\$0	\$0	\$0	\$3,516	\$0	\$3,516	7.3%
Office Of Vice President For Student Affairs	\$0	\$0	\$10,000	\$36,345	\$16,822	\$63,167	-19.5%
Health Services	\$0	\$0	\$10,000	\$0	\$0	\$10,000	100.0%
Student Activities	\$0	\$0	\$0	\$22,675	\$5,483	\$28,158	-38.3%
Student Union	\$0	\$0	\$0	\$4,230	\$0	\$4,230	-21.1%
Vice President Of Student Affairs	\$0	\$0	\$0	\$9,440	\$11,339	\$20,779	-24.4%
Health Affairs	\$14,310	\$10,617	\$1,861,076	\$2,117,127	\$98,827	\$4,101,956	38.0%
Dental Medicine	\$0	\$100	\$40,000	\$115,736	\$23,007	\$178,843	-28.3%

Summary of Commitments by Purpose
 FYTD 2014 Through 1/13/2014

Printed 01-13-2014

Executive Vice President Of Health Affairs	\$325	\$200	\$0	\$587,708	\$10,922	\$599,155	-47.5%
Foundation Fundraising Health Center	\$0	\$0	\$0	\$404,002	\$0	\$404,002	-9.7%
Medicine	\$13,985	\$10,317	\$1,821,076	\$1,009,680	\$64,898	\$2,919,956	157.4%
Foundation	\$75,000	\$26,826	\$0	\$246,821	\$30	\$348,677	139.4%
Foundation Operations	\$75,000	\$26,826	\$0	\$246,821	\$30	\$348,677	139.4%
Other Entities	\$0	\$0	\$0	\$23,614	\$0	\$23,614	-55.6%
Hillel	\$0	\$0	\$0	\$23,614	\$0	\$23,614	-55.6%
Totals	\$1,211,126	\$2,643,625	\$3,119,333	\$10,883,397	\$8,905,741	\$26,763,222	-28.8%
Endowment and Similar	\$800	\$2,549,526	\$0	\$2,574,469	\$6,959,782	\$12,084,578	-37.6%
Other Current Operations	\$1,210,326	\$94,098	\$3,119,333	\$8,308,928	\$1,945,959	\$14,678,644	-19.4%

Summary of Commitments by Source

Through 1/13/2014

Printed 01-13-2014

Executive Level Unit	Individuals			Organizations			TOTAL	FYTD 2014 vs. FYTD 2013
	Alumni / Students	Parents	Other Individuals	Corporations	Foundations	Other Organizations		
University	\$1,466,496	\$121,998	\$1,904,474	\$503,323	\$189,509	\$57,485	\$4,252,627	-60.7%
Athletics	\$1,051,935	\$38,622	\$858,531	\$458,810	\$60,161	\$43,790	\$2,517,906	-65.1%
Economic Development	\$25	\$0	\$3,000	\$0	\$0	\$0	\$3,025	-39.5%
Enrollment Planning And Management	\$209,823	\$9,164	\$949,595	\$10,764	\$109,130	\$8,748	\$1,299,109	-57.2%
University	\$156,276	\$73,372	\$90,648	\$30,967	\$8,351	\$2,172	\$363,185	-28.4%
Department								
General - Includes Fund for UCONN	\$156,276	\$73,372	\$90,648	\$30,967	\$8,351	\$2,172	\$363,185	-28.4%
University Communications	\$48,437	\$840	\$2,661	\$2,782	\$11,867	\$2,775	\$69,362	31.8%
Vice President For Research	\$0	\$0	\$39	\$0	\$0	\$0	\$39	56.8%
Executive Vice President For Administration & Chief Financial Officer	\$0	\$150	\$0	\$0	\$0	\$0	\$150	-86.4%
Facilities Operation	\$0	\$0	\$0	\$0	\$0	\$0	\$0	-100.0%
Public Safety	\$0	\$150	\$0	\$0	\$0	\$0	\$150	50.0%
Provost & Executive Vice President For Academic Affairs	\$88,472	\$7,351	\$61,992	\$24,713	\$289,950	\$76,180	\$556,614	-60.2%
Center For Continuing Studies	\$3,335	\$25	\$2,135	\$0	\$0	\$0	\$5,495	-11.9%
Provost & Executive Vice President For Academic Affairs	\$11,050	\$0	\$11,520	\$11,000	\$0	\$0	\$33,585	-95.9%
Undergraduate Education	\$27,953	\$3,529	\$720	\$7,525	\$4,850	\$0	\$44,777	11.8%
University Information Technology Services	\$26	\$182	\$400	\$100	\$0	\$0	\$760	-22.4%
University Libraries	\$17,501	\$2,185	\$18,081	\$5,913	\$9,000	\$42,647	\$95,916	-81.6%
Vice Provost For Global Affairs	\$28,607	\$1,430	\$29,136	\$175	\$276,100	\$33,533	\$376,081	11816.8%
Schools & Colleges	\$2,923,344	\$73,439	\$3,298,011	\$8,445,011	\$653,835	\$1,867,430	\$17,350,671	-21.2%
Agriculture And Natural Resources	\$55,549	\$8,270	\$178,183	\$19,223	\$106,438	\$8,841	\$388,406	-26.6%
Business	\$325,978	\$7,543	\$35,680	\$265,467	\$124,425	\$26,756	\$790,819	-23.8%

Summary of Commitments by Source
 Through 1/13/2014

Printed 01-13-2014

Education	\$122,968	\$7,149	\$163,380	\$101,825	\$185,160	\$63,795	\$645,177	-36.7%
Engineering	\$343,575	\$4,423	\$1,318,206	\$7,731,637	\$17,370	\$22,917	\$9,438,478	46.1%
Fine Arts	\$53,337	\$30,204	\$566,019	\$14,871	\$64,012	\$30,118	\$792,188	-75.5%
Law	\$118,493	\$100	\$21,806	\$15,733	\$22,000	\$0	\$178,274	-63.8%
Liberal Arts And Sciences	\$1,686,706	\$9,824	\$693,434	\$201,798	\$64,550	\$990,903	\$3,676,187	-57.0%
Nursing	\$54,213	\$1,855	\$76,871	\$2,925	\$36,350	\$7,800	\$183,159	11.9%
School Of Pharmacy	\$98,200	\$2,291	\$8,585	\$91,483	\$31,520	\$716,275	\$949,263	260.5%
Social Work	\$64,326	\$1,780	\$234,847	\$50	\$2,010	\$25	\$307,720	13.9%
Vice Provost For Graduate Education & Dean Of The Graduate School	\$0	\$0	\$1,000	\$0	\$0	\$0	\$1,000	-4.8%
Regional Campuses	\$13,851	\$2,474	\$13,662	\$14,120	\$15,500	\$205	\$65,746	-3.7%
Avery Point Regional Campus	\$5,060	\$675	\$10,262	\$995	\$11,000	\$100	\$28,602	-10.6%
Hartford Regional Campus	\$380	\$125	\$0	\$0	\$0	\$0	\$4,865	2.6%
Stamford Regional Campus	\$6,080	\$179	\$130	\$13,000	\$4,500	\$0	\$23,939	-1.4%
Torrington Regional Campus	\$1,462	\$1,350	\$1,785	\$75	\$0	\$75	\$4,823	21.4%
Waterbury Regional Campus	\$868	\$145	\$1,485	\$50	\$0	\$30	\$3,516	7.3%
Office Of Vice President For Student Affairs	\$25,650	\$5,580	\$11,305	\$7,545	\$10,500	\$1,530	\$63,167	-19.5%
Health Services	\$0	\$0	\$0	\$0	\$10,000	\$0	\$10,000	100.0%
Student Activities	\$14,918	\$2,455	\$7,666	\$820	\$500	\$1,430	\$28,158	-38.3%
Student Union	\$3,680	\$0	\$500	\$0	\$0	\$0	\$4,230	-21.1%
Vice President Of Student Affairs	\$7,052	\$3,125	\$3,139	\$6,725	\$0	\$100	\$20,779	-24.4%
Health Affairs	\$199,467	\$22,556	\$1,547,412	\$530,985	\$299,771	\$1,439,048	\$4,101,956	38.0%
Dental Medicine	\$53,054	\$250	\$14,148	\$18,526	\$0	\$41,375	\$178,843	-28.3%
Executive Vice President Of Health Affairs	\$11,735	\$5,021	\$488,746	\$35,379	\$41,666	\$11,379	\$599,155	-47.5%
Foundation Fundraising Health Center	\$22,154	\$3,037	\$78,009	\$256,661	\$36,470	\$6,757	\$404,002	-9.7%
Medicine	\$112,523	\$14,248	\$966,508	\$220,419	\$221,635	\$1,379,537	\$2,919,956	157.4%

Summary of Commitments by Source
Through 1/13/2014

Printed 01-13-2014

Foundation	\$206,270	\$2,086	\$17,997	\$27,320	\$5,600	\$88,815	\$348,677	139.4%
Foundation Operations	\$206,270	\$2,086	\$17,997	\$27,320	\$5,600	\$88,815	\$348,677	139.4%
Other Entities	\$18,439	\$25	\$0	\$0	\$5,000	\$150	\$23,614	-55.6%
Hillel	\$18,439	\$25	\$0	\$0	\$5,000	\$150	\$23,614	-55.6%
Totals	\$4,941,989	\$235,659	\$6,854,853	\$9,553,017	\$1,469,665	\$3,530,843	\$26,763,222	-28.8%
Endowment and Similar	\$2,130,881	\$35,787	\$3,517,996	\$5,293,243	\$64,625	\$1,018,473	\$12,084,578	-37.6%
Other Current Operations	\$2,811,108	\$199,872	\$3,336,857	\$4,259,774	\$1,405,040	\$2,512,370	\$14,678,644	-19.4%

INFORMATIONAL ITEMS

University of Connecticut Department of Human Resources
New Hires Processed from November 20, 2013 to January 9, 2014
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
ALI, RASHID	RESEARCH ASSOCIATE 1	ALLIED HEALTH SCIENCES	11/29/2013
BAUER, DOUGLAS C.	RESEARCH ASSOCIATE 3	ENGINEERING DEAN OFC	12/13/2013
BEGHETTO, RONALD A.	ASSOCIATE PROFESSOR	EDUCATIONAL PSYCHOLOGY	1/1/2014
BERRAH, NORA	PROFESSOR - DEPARTMENT HEAD	PHYSICS	1/1/2014
BROME, CHARLES A.	UC PROFESSIONAL 10 - FACILITIES PROF IV	ADMINISTRATIVE SERVICES	1/3/2014
BROWN, VINCENT B.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
CASTILLO-MONTOYA, MILAGRO	ASSISTANT PROFESSOR	EDUCATIONAL LEADERSHIP	1/1/2014
CHO, YONGKU P.	ASSISTANT PROFESSOR	CHEMICAL & BIOMOLECULAR	1/1/2014
COLE, KRISTEN	U DIRECTOR	UNIVERSITY COMMUNICATIONS	1/2/2014
CORBETT, ROBERT A.	U DIRECTOR	UNIVERSITY PLANNING	12/2/2013
CUMMINGS, MICHAEL B.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
DENNIGAN, DARCIE	ASST PROF IN RES	ENGLISH	12/27/2013
DEROSA, DANIELLE A.	UC PROFESSIONAL 06 - PROGRAM SPEC I	GLOBAL TRAINING INST	12/2/2013
DIACO, ROBERT A.	SPECIALIST IVA - HEAD COACH	ATHLETICS MENS INTERCOL	12/16/2013
DIGGLE, PAMELA K.	PROFESSOR	ECOLOGY & EVOL BIOLOGY	12/31/2013
ESCALERA, JASON M.	UC PROFESSIONAL 01 - PROGRAM AIDE	INTL STUDENT & SCHOLAR	12/7/2013
FEDELES, CRISTINA A.	UC PROFESSIONAL 09 - FACILITIES PROF III	UNIVERSITY PLANNING	12/2/2013
FIDANTSEF, ANA L.	UC PROFESSIONAL 06 - PROGRAM SPEC I	ECONOMIC DEVELOPMENT	12/2/2013
GEISSERT, DIANNA L.	UC PROFESSIONAL 04 - ADMIN SERV ASST III	EDUCATION DEAN OFC	1/11/2013
GITTENS, BYRON D.	UC PROFESSIONAL 05 - ADMISSIONS OFFICER	ADMISSIONS	11/22/2013
GORDON, NATHAN C.	UC PROFESSIONAL 07 - RES HALL CPLEX COORD	RESIDENTIAL LIFE OFC	1/6/2014
HASKELL, THOMAS M.	UC PROFESSIONAL 10 - FACILITIES PROF IV	ADMINISTRATIVE SERVICES	12/2/2013
HE, JIE	ASSISTANT PROFESSOR	CHEMISTRY	1/1/2014
HEREDIA, ANNA-MARIA	UC PROFESSIONAL 05 - ACADEMIC ADVISOR I	EDUCATION DEAN OFC	1/3/2014
IVES, MELISSA	RESEARCH ASSISTANT 2	SOCIAL WORK INSTR & RES	12/27/2013
JONES, ERNEST T.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
KIM, ANDREY	U POST DOC FEL 1	PHYSICS	12/2/2013

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NAME	TITLE	DEPARTMENT	DATE
KNIGHT, LISA D.	UC PROFESSIONAL 03 - PROG ASSISTANT I	CT TRANSPORTATION INST	12/13/2013
LAMBE, ARIEL M.	ASSISTANT PROFESSOR	HISTORY	1/1/2014
LAUGHERY, SIRRAH L.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	SPEECH, LANG & HEARING	12/9/2013
LEE, JASON C.	ASST PROF IN RES	MECHANICAL ENGR	1/1/2014
LEES-SHEPARD, JOHN B.	U POST DOC FEL 1	MOLECULAR & CELL BIOLOGY	12/6/2013
LEVINE, JOAN G.	UC PROFESSIONAL 06 - PROGRAM SPEC I	VICE PRES FOR RESEARCH	11/29/2013
LI, WEIKUN	U POST DOC FEL 1	CHEMISTRY	12/2/2013
LINEBURG, WAYNE E.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
LIU, YING	U POST DOC FEL 1	CHEMICAL & BIOMOLECULAR	12/27/2013
MCCLUSKEY, CHRISTINE M.	UC PROFESSIONAL 06 - PROGRAM SPEC I	ECONOMIC DEVELOPMENT	12/2/2013
MORAWIEC, JOHN M.	U DIRECTOR	UNIVERSITY COMMUNICATIONS	12/27/2013
MOZEIKO, JENNIFER L.	VISITING INSTRUCTOR	SPEECH, LANG & HEARING	1/1/2014
NANGIA, SHIVANGI	U POST DOC FEL 1	MOLECULAR & CELL BIOLOGY	12/30/2013
NJUKI, ERIC KIVUTI	U POST DOC FEL 1	AGRI & RESOURCE ECONOMICS	1/9/2014
OELDORF-HIRSCH, ANNE	ASSISTANT PROFESSOR	COMMUNICATION	1/1/2014
OLNEY, JAMES N.	UC PROFESSIONAL 04 - MECH DESIGN TECH II	ENGINEERING DEAN OFC	11/15/2013
OMEGA, TONY C.	UC PROFESSIONAL 05 - ACADEMIC ADVISOR I	ISS-ACADEMIC PROG CTR	11/15/2013
PATTERSON, DONNIE K.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
POINDEXTER, ANTHONY S.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
REARDON, JOSHUA J.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
SHEA-CRABB, SANDRA J.	UC PROFESSIONAL 09 - FACILITIES PROF III	UNIVERSITY PLANNING	12/2/2013
SLATER, HEIDI L.	UC PROFESSIONAL 05 - DNG SERV AR AST MGR	DINING SERVICES	11/15/2013
WOLTHAUSEN, KEVIN G.	SPECIALIST IIA - ASSISTANT COACH	ATHLETICS MENS INTERCOL	1/6/2014
WOOD, BEVERLY D.	U DIRECTOR	UNIVERSITY PLANNING	1/3/2014
WUOSMAA, ALAN H.	PROFESSOR	PHYSICS	1/1/2014

University of Connecticut Department of Human Resources
Separations Processed from November 20, 2013 to January 9, 2014
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NAME	TITLE	SEPARATION REASON	DEPT	DATE
ALBERT, TRISTA L.	UC PROFESSIONAL 01 - GRAD ADMISS ASST	RESIGNATION (GOOD STANDING)	IMS	12/16/2013
BURDICK, CRAIG	UC PROFESSIONAL 08 - MEDIA PRODUCER II	RESIGNATION (GOOD STANDING)	COMM	11/28/2013
CARLOZZI, FRANCESCO	UC PROFESSIONAL 09 - DATABASE ADMIN 2	RESIGNATION (GOOD STANDING)	ITQM	12/12/2013
CHAMPAGNE, FRANCES E.	UC PROFESSIONAL 03 - PROG ASSISTANT I	RESIGNATION (GOOD STANDING)	CLAS	12/26/2013
DEMPSEY, ALLISON R.	UC PROFESSIONAL 08 - EXECUTIVE ASST I	RETIREMENT (25+ YRS SERVICE)	FACIL	11/30/2013
DEOJAY, JESSICA S.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	RESIGNATION (GOOD STANDING)	POLS	11/22/2013
ERIKSSON, LYNN	UC PROFESSIONAL 04 - PUBLICITY/MKTG COORD	RETIREMENT (25+ YRS SERVICE)	ARTMUS	12/31/2013
GETHIN-JONES, MARCIA	ASST EXT PROF	RETIREMENT (55/W 10-24 YEARS)	CCSELI	12/31/2013
GISLESON, LOUISE G.	UC PROFESSIONAL 07 - MICROCOMP SUP CON II	RETIREMENT (25+ YRS SERVICE)	SBDO	12/31/2013
HARRIS, SHEILA A.	UC PROFESSIONAL 10 - COMP TECH SUP CONS 4	RETIREMENT (55/W 10-24 YEARS)	CENASC	12/31/2013
HECKMAN, MARY V.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	RETIREMENT (25+ YRS SERVICE)	AVPT	12/31/2013
HIGGS, CLYDE	U STAFF PROF III	RESIGNATION (GOOD STANDING)	ECODVP	11/14/2013
HOLLENBERG, DONNA C.	PROFESSOR	RETIREMENT (55/W 10-24 YEARS)	ENGL	12/31/2013
HOLLISTER, PEGGY O.	UC PROFESSIONAL 03 - PROG ASSISTANT I	RETIREMENT (55/W 10-24 YEARS)	ODE	11/30/2013
HUANG, HANCHEN	PROFESSOR	RESIGNATION (GOOD STANDING)	ME	12/9/2013
KARAN, ORVILLE C.	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	EPSY	12/31/2013
KOLLANOOR JOHNY, ANUP	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ANSC	12/1/2013
LIU, CAIHONG	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	IMS	12/5/2013
LOGAN, CHRISTOPHER R.	UC PROFESSIONAL 08 - PROGRAM DIRECTOR	RESIGNATION (GOOD STANDING)	CSARTS	1/9/2014
LUO, JIE	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ME	12/27/2013
LYONS, SUSAN	UC PROFESSIONAL 09 - EXEC PROGRAM DIR	RETIREMENT (55/W 10-24 YEARS)	AVPT	12/31/2013
MEHTA, ROHIT K.	UC PROFESSIONAL 10 - OPER SYS PROG/ANAL 4	RESIGNATION (GOOD STANDING)	ENGR	12/18/2013
MICKELSON, ANN M.	ASST RESEARCH PROF	RESIGNATION (GOOD STANDING)	EPSY	12/16/2013
PUHLICK, PETER A.	UC PROFESSIONAL 09 - FACILITIES PROF III	RETIREMENT (DISABILITY: NON-SERV	FACIL	11/30/2013
RINDELL, SAMUEL C.	UC PROFESSIONAL 07 - PROGRAM MANAGER	RESIGNATION (GOOD STANDING)	SBEEP	1/3/2014
ROOKE, MARY ANNE	UC PROFESSIONAL 09 - EXEC PROGRAM DIR	RESIGNATION (GOOD STANDING)	TIP	12/2/2013
STRASSER, KURT A.	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	LAW	12/31/2013

University of Connecticut Department of Human Resources
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NAME	TITLE	SEPARATION REASON	DEPT	DATE
TOVAR, ANDREA T.	RESEARCH ASSISTANT 1	RESIGNATION (GOOD STANDING)	PSYC	12/6/2013
TRAN, THI THANH H.	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	PHSCI	12/13/2013
WALKER, KENNETH M.	U DIRECTOR	RETIREMENT (55/W 10-24 YEARS)	OACE	12/31/2013

Academic Affairs

AGENDA
Board of Trustees
ACADEMIC AFFAIRS COMMITTEE

Wednesday, January 29, 2014
Rome Commons Ballroom
Storrs, CT
9:00 a.m. – 9:15 a.m.

	<u>COMMITTEE</u>	<u>ATTACHMENT</u>
1) Minutes of the Academic Affairs Committee Meeting of December 11, 2013, as circulated	A	

ACTION ITEMS:

2) Designation of Emeritus Status	1
3) Sabbatical Leave Recommendations	2

INFORMATIONAL ITEM:

4) Faculty Consulting Program	3
<ul style="list-style-type: none">• The University of Connecticut Consulting Program FY 2013 Annual Report• 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	

EXECUTIVE SESSION *(As Needed)*

ATTACHMENT A

MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE
December 11, 2013

Trustees: Bailey, Barham, Bessette, Carbray, Daniels, Dennis-LaVigne, Gandara, Kruger, Lobo, McHugh, Ritter

Staff: Andrews, Bansal, Biancamano, Bray, Callahan, Carone, Choi, Cruickshank, Donahue, Eaton, Gafford, Gilbert, Grant, Gray, Herbst, Holsinger, Jednak, Kazerounian, Kendig, Kirk, Korbel, Larson, Locke, Locust, Mack, Mundrane, Ogbar, Orr, Patel, Plesko, Reis, Reitz, Rubin, Seemann, Schlund-Vials, Silbart, Simsek, Slowik, Teal, Teitelbaum, Weiner, Wrynn

Committee Chairman Dennis-LaVigne convened the meeting at 9:00 a.m. at the University of Connecticut, Rome Commons Ballroom, Storrs Campus. On a motion by Trustee Barham, seconded by Trustee Carbray, the minutes of the November 13, 2013, meeting were approved as circulated.

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

Provost Choi introduced *Action Item #3, Sabbatical Leave Recommendations*. Moved by Trustee Barham, seconded by Trustee Lobo, the Committee recommended approval of all sabbatical leave recommendations to the full Board.

Provost Choi introduced *Action Item #4, Advanced Certificate and Bridge Program in Accounting*, presented by Dr. George Plesko, Associate Dean and Associate Professor of Accounting. Moved by Trustee Carbray, seconded by Trustee Lobo, the Committee recommended approval of the Advanced Certificate and Bridge Program in Accounting to the full Board.

Provost Choi introduced *Action Item #5, Graduate Certificate in Arts Administration*, presented by Mr. Frank Mack, Associate Professor of Dramatic Arts. Moved by Trustee Carbray, seconded by Trustee Barham, the Committee recommended approval of the Graduate Certificate in Arts Administration to the full Board.

Provost Choi introduced *Information Item #6, Centers and Institutes*. Provost Choi informed the Committee of the establishment of the UTC Institute for Advanced Systems Engineering and introduced Dr. Kazem Kazerounian, Interim Dean of the School of Engineering. The Institute will serve as a hub for world-class research, project-based learning by globally-distributed teams of students, and industrial outreach activities focused on model-based systems engineering of complex systems that are built from, and depend upon, the synergy of computational and physical components. Provost Choi also informed the Committee of the renaming of the Asian American Studies Institute to the Asian and Asian American Studies Institute. Provost Choi introduced Dr. Cathy Schlund-Vials, Associate Professor of English and Asian American Studies and Director of the Asian and Asian American Studies Institute, who provided the Committee with an overview of the Asian and Asian American Studies Institute and the five new Asian Studies faculty who were recently hired in line with the Institute's strategic plan. The name change more accurately reflects the Institute's global mission, the current composition of the faculty, and the courses offered by these faculty.

Committee Chairman Dennis-LaVigne adjourned the meeting at 9:13 a.m.

Respectfully submitted,



Brandon L. Murray
Committee Secretary

Financial Affairs

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE
January 29, 2014 at 9:15 a.m.
University of Connecticut
Rome Commons Ballroom
Storrs, Connecticut

<u>ATTACHMENT COMMITTEE</u>	<u>LOCATION FULL BOARD</u>
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EXECUTIVE SESSION (*As Needed*)

ACTION ITEMS:

- | | | |
|---|---|---|
| 1) Approval of the Minutes of the Financial Affairs Committee Meeting of December 11, 2013, as circulated | A | |
| 2) Proposed School of Medicine and School of Dental Medicine Tuition and Fees Rates for FY 15 | | 4 |
| 3) Designation of Authorized Officer for Sale Purposes for UCONN 2000 General Obligation and Special Obligation Bonds | | 5 |

HEALTH CENTER BASED PROGRAMS PROJECT BUDGETS FOR APPROVAL:

	<u>Phase</u>	<u>Budget</u>	<u>Tab</u>
4) Basketball Development Facility	Revised Final	\$33,538,300	6
5) UCHC Roadway and Intersection Improvements	Final	\$5,710,000	7
6) UCHC Dental Clinic Fit-Out, Storrs Center	Revised Final	\$925,000	8
7) UCHC Main Building Renovation; Lab ("L") Building Renovations – Project 1	Revised Final	\$79,215,503	9

INFORMATION ITEM:

- | | |
|--|------------------------|
| 8) Construction Project Status Report | (Under Separate Cover) |
| 9) Master Schedule for UCONN 2000 Phases I, II & III
(as of 12/31/13) | (Under Separate Cover) |
| 10) University-Wide FY13 Closeout and FY14 Six Month Update | (To Be Distributed) |

ATTACHMENT A

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
December 11, 2013

TRUSTEES PRESENT: Louise Bailey, Rose Barham, Andy Bessette, Richard Carbray, Sanford Cloud, Michael Daniels, Andrea Dennis-LaVigne, Marilda Gandara, Juanita James (*via telephone*), Thomas Kruger, Rebecca Lobo, Donny Marshall, Larry McHugh, Stephan Pryor and Thomas Ritter

STAFF PRESENT: Carolle Andrews, John Biancamano, Nancy Bull, Thomas Callahan, Debbie Carone, Cheryl Chiaputti, Mun Choi, Laura Cruickshank, Amy Donahue, Charles Eaton, Kristi Gafford, Michael Gilbert, Brian Gore, Richard Gray, Susan Herbst, Michael Jednak, Tysen Kendig, Michael Kirk, Matthew Larson, Wayne Locust, Richard Miller, Michael Mundrane, Brandon Murray, Jeffrey Ogbar, Richard Orr, Bhupen Patel, Sally Reis, Stephanie Reitz, Rachel Rubin, Jeffrey Seeman, Lawrence Silbart, Eli Strassfeld, Lysa Teal, Thomas Trutter and Reka Wrynn

UNIVERSITY SENATE MEMBERS PRESENT:
Rajeev Bansal, Donna Korbel and Zeki Simsek

Committee Chairman Thomas Kruger convened the meeting of the Financial Affairs Committee at 9:15 a.m. in the Lewis B. Rome Commons Ballroom on the University of Connecticut campus in Storrs, Connecticut.

Mr. Kruger directed the committee to a revised agenda; which was revised to add the following: *Authorization to expend \$500,000 for Intramural, Recreation and Intercollegiate Facilities – Recreation Center; Project Budget –Master Plan 2014 Development; Project Budget – Microgrid Research Program, Depot Campus; and Project Budget – Residential Life Facilities – South Campus Envelope – Gable Repairs.* On a motion by Trustee Bessette and seconded by Trustee Carbray the revised agenda was accepted as circulated.

On a motion by Trustee Carbray and seconded by Trustee Bessette the committee voted to go into Executive Session at 9:17 a.m. to discuss preliminary drafts and notes; and commercial or financial information given in confidence that the University had determined that the public interest in withholding such documents clearly outweighed the public interest in disclosure.

Trustees present included: Louise Bailey, Rose Barham, Andy Bessette, Richard Carbray, Sanford Cloud, Michael Daniels, Andrea Dennis-LaVigne, Marilda Gandara, Juanita James (*via telephone*), Thomas Kruger, Rebecca Lobo, Donny Marshall, Larry McHugh, Stephan Pryor and Thomas Ritter

University staff present included: President Herbst, Rachel Rubin, Richard Orr, Richard Gray, Mun Choi, Michael Kirk, Lysa Teal, Tysen Kendig, Laura Cruickshank, Brian Gore and Debbie Carone.

The committee reconvened in open session at 9:25 a.m. Mr. Kruger directed the committee to agenda ***Item #2, Approval of the Minutes of the Financial Affairs Committee Meeting of October 23, 2013.*** On a motion by Trustee Bessette and seconded by Trustee Carbray the minutes were approved as circulated.

Mr. Kruger directed the committee to agenda ***Item #2, Contracts and Agreements for Approval.*** Richard Gray, Executive Vice President for Administration and Chief Financial Officer, explained that a contract with RSmart, the consultant for the Kualī Financial System Project, was on the list for approval. He introduced Charles Eaton, Controller, who provided a PowerPoint presentation on the Kualī System. Mr. Gray then continued with explanation of the remainder of contracts on the approval item. On a motion by Trustee Bessette and seconded by Trustee Carbray the item was recommended to the full Board for approval.

Mr. Gray introduced Thomas Callahan, Associate Vice President for Infrastructure Planning and Strategic Project Management. Mr. Callahan detailed agenda ***Item #5, Water Supply and Development Agreement with Connecticut Water Company.*** After outlining the major provisions of the agreement he thanked Jason Coite of the Department of Environmental Policy and Richard Smith of Robinson and Cole, and Peter Pezanko from Connecticut Water for their expertise and hard work on the project. On a motion by Trustee Carbray and seconded by Trustee Bessette the agreement was recommended to the full Board for approval.

The committee was directed to agenda ***Item #6, Authorization to expend \$500,000 for the Intramural, Recreational and Intercollegiate Facilities – Recreation Center.*** Mr. Kruger stated that the Financial Affairs Committee and the Buildings, Grounds and Environment Committee are closely reviewing the project. A final approval on a Recreation Center proposal requires a great deal of background and supporting information. The purpose of the request allows funding to provide the necessary data. Mr. Ritter added that this authorization is not intended to delay but to inform the project. Mr. Gray added that this request for funding does not change the previously discussed fee structure. On a motion by Trustee Bessette and seconded by Trustee Carbray the item was recommended to the full Board for approval.

Ms. Cruickshank provided information on each of the project budgets for Storrs based programs presented for approval which included: ***Master Plan 2014 Development (Planning: \$2,000,000); Microgrid Research Program (Depot Campus) (Final: \$3,000,000); Residential Life Facilities – South Campus Envelope – Gable Repairs (Final: \$3,000,000); Beach Hall Renovations – Molecular Cell Biology Laboratory for New Faculty (Final: \$1,615,574); Gant Building Renovations – Data Center Stabilization (Final: \$4,000,000); and New Faculty Renovations – George C. White Building, Animal Science Lab (Final: \$1,865,000).*** Ms. Cruickshank noted that the Animal Science Lab Project Budget was printed incorrectly in the Board materials and verbally requested that the Committee approve the budget at \$1,865,000. Ms. Cruickshank also informed the committee of a “Request for Expressions of Interest” for housing near the Stamford campus which was published in various media sources. Submissions are due to the University in mid-January. On a motion by Trustee Bessette and seconded by Trustee Cantor the Storrs based project budgets were recommended as amended to the full Board for approval.

Mr. Gray directed the committee to the Construction Project Status Report presented as information.

On a motion by Trustee Carbray and seconded by Trustee Besette the committee was adjourned at 10:05 a.m.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee



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, January 29, 2014



Board of Trustees

PRESENTED UNDER FINANCIAL AFFAIRS REPORT

Wednesday, November 13, 2013

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE
January 29, 2014 at 9:15 a.m.
University of Connecticut
Rome Commons Ballroom
Storrs, Connecticut

Revised

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

EXECUTIVE SESSION (*As Needed*)

ACTION ITEMS:

- | | | |
|---|---|---|
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HEALTH CENTER BASED PROGRAMS PROJECT BUDGETS FOR APPROVAL:

	<u>Phase</u>	<u>Budget</u>	<u>Tab</u>
4) Residential Life Facilities – Residential Life Facilities – South Campus Envelope – Gable Repairs	Final	\$3,000,000	
5) Basketball Development Facility	Revised Final	\$33,538,300	6
6) UCHC Roadway and Intersection Improvements	Final	\$5,710,000	7
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8) UCHC Main Building Renovation; Lab (“L”) Building Renovations – Project 1	Revised Final	\$79,215,503	9

INFORMATION ITEM:

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| 9) Construction Project Status Report | (Under Separate Cover) |
| 10) Master Schedule for UCONN 2000 Phases I, II & III (as of 12/31/13) | (Under Separate Cover) |
| 11) University-Wide FY13 Closeout and FY14 Six Month Update | (To Be Distributed) |



January 29, 2014

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 Residential Life Facilities – Residential Life Facilities
– South Campus Envelope – Gable Repairs (Final: \$3,000,000)

RECOMMENDATION:

That the Board of Trustees approve an exigent Final Budget of \$3,000,000 for repair of the gable walls in the South Campus Building Complex.

BACKGROUND:

The South Campus Complex comprises four buildings; Wilson, Rosebrooks and Snow Halls which are residential housing; and Rome Hall which contains a cafeteria, function rooms and offices. The buildings were constructed in approximately 1998. The buildings have water infiltration problems as well as evidence of significant masonry and exterior envelope deterioration.

The architectural firm of Wiss, Janney Elstner (WJE) was retained to investigate and report on the cause of the leaks and to make recommendations for corrective action. WJE observed that the leaks are due to numerous conditions including improper flashing, deteriorated and cracked masonry, and deteriorated roofing and caulking. In addition, pre-cast concrete capstones located on the gables and intermediate walls throughout the complex were improperly secured at the time of the original construction and this condition represented a potential and significant safety hazard requiring prompt corrective action. The work associated with the correction of the capstones was successfully completed in March 2013.

During the course of investigative field work necessary to complete the construction documents for the balance of the deficiency repairs, WJE observed and documented additional defects relating to the masonry gable walls which had not previously been

identified. WJE noted that the walls were designed and/or constructed such that they do not meet the Connecticut State Building Code design wind load requirements in effect at the time of the design and construction of the buildings representing a potential safety hazard.

A third party structural engineer, retained by the University, has confirmed WJE's findings with respect to the gable end masonry walls.

WJE has advised that immediate repairs are necessary to preserve public safety. A two phased approach has been developed for the corrective work to achieve this goal. The request allows for abatement of the immediate safety concerns, while allowing the balance of the repairs to the gable walls to be completed in the spring/summer of 2014.

Phase I will provide for interior bracing of the gables within the attic space of the existing buildings and this bracing will become a part of the permanent remedial repairs.

Phase II will be undertaken in the spring of 2014 involves more extensive repairs to the masonry walls themselves.

In order to complete this work the University seeks approval of the award of an exigent construction contract in order that the work can be started as soon as possible. The University anticipates phase I construction to begin in early February 2014 and can be completed in approximately eight weeks from the start of construction.

The funding request is based on a negotiated bid for phase I work with a selected contractor and has been verified to be within market conditions by an independent estimator third party estimate of construction costs. The phase II portion of the work is currently based on an estimate of construction costs.

The University also seeks approval of the award of an exigent contract with the project architect to provide Construction Administration services for Phase I of the Gable Wall repairs and photographic documentation and to complete the additional investigation necessary to complete its design for phase II of this work.

The University also seeks approval of the award of an exigent contract with an outsourced project management oversight firm to provide pre-construction, administrative, managerial services and quality control services for phase I of the work and for Preconstruction Services for Phase II of the work.

The University also requests that the three step budget approval be waived at this time due to safety concerns.

The balance of the remedial work necessary to correct remaining defects, not included as part of this request, will include masonry repairs, caulking, pre-cast concrete repairs, window repairs and slate roof replacement and is estimated to be approximately \$20 million.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: RESIDENTIAL LIFE FACILITIES - SOUTH CAMPUS ENVELOPE-GABLE REPAIRS

	APPROVED FINAL 12/11/2013	PROPOSED FINAL 1/29/2014
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 2,000,000	\$ 2,000,000
DESIGN SERVICES	125,000	125,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	250,000	250,000
OTHER AE SERVICES (including Project Management)	150,000	150,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	25,000	25,000
MISCELLANEOUS	50,000	50,000
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 2,600,000	\$ 2,600,000
PROJECT CONTINGENCY	400,000	400,000
TOTAL BUDGETED EXPENDITURES	\$ 3,000,000	\$ 3,000,000
<u>SOURCE(S) OF FUNDING</u>		
UConn 2000 PHASE III	\$ 3,000,000	\$ 3,000,000
TOTAL BUDGETED FUNDING	\$ 3,000,000	\$ 3,000,000