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Agenda and attachments, 2007 April 10

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University of
Connecticut

Board of



TRUSTEES

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

AGENDA

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

April 10, 2007

OPEN SESSION

Call to order at 11:00 a.m.

EXECUTIVE SESSION

1. Discussion of personnel matters.
2. Close Executive Session and recess for lunch.

OPEN SESSION

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

1. Public Participation
2. Chairman's Report
 - (a) Matters outstanding
 - (b) Minutes of the meeting of March 13, 2007
 - (c) Consent Agenda Items:
 - (1) Contracts and Agreements (Storrs-based programs) (Attachment 1)
 - (2) 2007-2008 Rental Rates for Residential Properties (Attachment 2)
 - (3) Graduate Certificate in Human Rights in the College of Liberal Arts and Sciences and the School of Law (Attachment 3)
 - (4) Teacher Certification Program for College Graduates (TCPCG) in the Neag School of Education to be offered at the Waterbury Campus (Attachment 4)
 - (5) Revised Policy on Individual Conflicts of Interest in Research and Revised Policy on Faculty Consulting (Attachment 5)
 - (6) Appointment to Canvassing Board – Election of Alumni Trustee (Attachment 6)
 - (7) Candidates for Commencement (Attachment 7)
 - (d) Personnel matters (Storrs-based programs) (Attachment 8)
 - (1) Promotion, Tenure, and Reappointment Lists
 - (2) Sabbatics
 - (3) Informational matters

3. President's Report
 - (a) Honorary Degrees
 - (b) NCAA Recertification
 - (c) Other matters
4. Academic Affairs Committee Report – Dr. Jacobs
 - (a) Committee Chairman's report on Committee activities
 - (b) Discussion item:
 - (1) The Academic Plan
 - (c) Informational item:
 - (1) Establishment of the Center for Research in Mathematics Education in the Neag School of Education (Attachment 9)
5. Financial Affairs Committee Report – Mr. Drotch
 - (a) Committee Chairman's report on Committee activities
 - (b) Items requiring Board discussion and approval:
 - (1) Request to Amend the List of UCONN 2000 Named Projects to Add the Old Central Warehouse Renovation Project (Attachment 10)
 - (2) Project Budget (Design) for the Nayden Clinic Relocation (Attachment 11)
 - (3) Project Budget (Design) for Torrington ADA Improvements (Attachment 12)
 - (4) Project Budget (Design) for the Student Union Quadrangle Site Work and Landscape – Phase I (Attachment 13)
 - (5) Project Budget (Design) for East Campus Steam and Condensate Piping Replacement at the Avery Point Campus (Attachment 14)
 - (6) Project Budget (Design) for the University of Connecticut Health Center Cooling Coil Conversion (Attachment 15)
 - (7) Project Budget (Design) for the University of Connecticut Health Center Electric Heat Conversion Project (Attachment 16)
 - (8) Project Budget (Final) for the University of Connecticut Health Center Main Building Renovation – Clinical Skills Renovation (Attachment 17)
 - (c) Informational items:
 - (1) UCONN 2000 Book #23 (Separate cover)
 - (2) Project Status Report (Separate cover)
6. Joint Audit and Compliance Committee Report – Mr. Nayden
 - (a) Committee Chairman's report Committee activities
7. Buildings, Grounds and Environment Committee Report – Mr. Ritter
 - (a) Committee Chairman's report on Committee activities

8. Construction Management Oversight Committee Report – Mr. Ritter
 - (a) Committee Chairman’s report on Committee activities
9. Health Center Report – Dr. Burrow
 - (a) Report on Health Center activities
 - (b) Informational Items: (Attachment 18)
 - (1) Health Center Board of Directors recognitions:
 - (a) James F. Abromaitis
 - (b) John P. Bigos, M.D.
 - (c) Anne D. Gnazzo
10. Student Life Committee Report – Ms. Bailey
 - (a) Committee Chairwoman’s report on Committee activities
11. Institutional Advancement Committee Report – Mr. Treibick
 - (a) Committee Chairman’s report on Committee activities
 - (b) Item requiring Board discussion and approval:
 - (1) Facilities Naming Recommendation: (Attachment 19)
 - (a) Proposal to Name the Towers Dining Commons for former Board of Trustees Chairman Roger A. Gelfenbien
 - (c) Development Progress Executive Summary (Attachment 20)
12. Other
13. Adjournment

The next meeting of the Board of Trustees is scheduled for Tuesday, June 19, 2007 at 1:00 p.m. at the Rome Commons Ballroom (South Campus Complex), Storrs, Connecticut.

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



CONTRACTS AND AGREEMENTS
FOR APPROVAL
APRIL 10, 2007

<u>NO.</u>	<u>CONTRACTOR OR LESSOR</u>	<u>RECEIVED BY UNIVERSITY ANNUALLY</u>	<u>PAYMENT TO CONTRACTOR</u>	<u>FUND CHARGED/ CREDITED</u>
1	OMNIPOINT COMMUNICATIONS, INC.	\$27,000.00		AUXILIARY SERVICES
2	BRICKMAN GROUP		\$800,000.00	OPERATING FUNDS

THE UNIVERSITY OF CONNECTICUT
AGREEMENT DETAILS

LESSEE NAME:	OMNIPOINT COMMUNICATIONS, INC. PARSIPPANY, NJ	TYPE OF CONTRACT CONTRACT <input checked="" type="checkbox"/> LEASE <input checked="" type="checkbox"/> NEW RENEWAL AMENDMENT									
ANNUAL AMOUNT PAYABLE TO UNIVERSITY:	\$27,000.00										
EFFECTIVE DATES:	JANUARY 1, 2008 - DECEMBER 31, 2022										
PROGRAM DIRECTOR:	THOMAS Q. CALLAHAN ASSOCIATE VICE PRESIDENT FOR ADMINISTRATION AND OPERATIONS SERVICES										
PURPOSE:	LESSEE TO LEASE A PORTION OF SPACE ON THE UNIVERSITY OF CONNECTICUT'S FORMER BOILER PLANT SMOKE STACK AT APPROXIMATELY 101 FEET ABOVE GROUND LEVEL, TOGETHER WITH AN APPROXIMATELY 270 [15X18] SQUARE FEET PORTION OF THE ADJACENT GRADE LEVEL AREA FOR EQUIPMENT CABINETS, TO BE LOCATED ON THE GROUNDS OF THE UNIVERSITY OF CONNECTICUT, AVERY POINT CAMPUS, GROTON, CONNECTICUT. THE LEASED PREMISES MAY BE USED BY THE LESSEE FOR THE TRANSMISSION AND RECEPTION OF RADIO COMMUNICATION SIGNALS AND FOR THE CONSTRUCTION, INSTALLATION, OPERATIONS, MAINTENANCE, REPAIR, REMOVAL OR REPLACEMENT OF RELATED FACILITIES, INCLUDING TOWER AND BASE, ANTENNAS, MICROWAVE DISHES, EQUIPMENT SHELTER AND/OR CABINETS AND RELATED ACTIVITIES.										
FUND CREDITED:	AUXILIARY SERVICES										
COST DETERMINATIONS AND HISTORICAL DATA:	<table><tr><td>RENT SCHEDULE:</td><td>01/01/08-12/31/12</td><td>\$2,250.00/MO.</td></tr><tr><td></td><td>01/01/13-12/31/17</td><td>\$2,587.00/MO.</td></tr><tr><td></td><td>01/01/18-12/31/22</td><td>\$2,975.00/MO.</td></tr></table> <p>LESSEE SHALL PROVIDE AND PAY FOR ANY AND ALL LICENSING AND APPROVAL FEES FOR THE COMMUNICATIONS FACILITY; PROVIDE AND PAY FOR ANY REPAIR AND/OR REPLACEMENT OF ANY DAMAGE TO THE LEASED PREMISES BY THE LESSEE OR ITS INVITEES; AND ANY MODIFICATIONS OR RENOVATIONS MADE AT THE REQUEST OR UNDER THE DIRECTION OF THE LESSEE, IS SUBJECT TO THE PRIOR WRITTEN APPROVAL OF THE UNIVERSITY. LIKE KIND EXCHANGE OF LESSEE'S EQUIPMENT SHALL REQUIRE THE PRIOR WRITTEN CONSENT OF THE LESSOR.</p>		RENT SCHEDULE:	01/01/08-12/31/12	\$2,250.00/MO.		01/01/13-12/31/17	\$2,587.00/MO.		01/01/18-12/31/22	\$2,975.00/MO.
RENT SCHEDULE:	01/01/08-12/31/12	\$2,250.00/MO.									
	01/01/13-12/31/17	\$2,587.00/MO.									
	01/01/18-12/31/22	\$2,975.00/MO.									

THE UNIVERSITY OF CONNECTICUT
AGREEMENT DETAILS

CONTRACTOR NAME:	BRICKMAN GROUP MILFORD, CT	TYPE OF CONTRACT <input checked="" type="checkbox"/> CONTRACT LEASE <input checked="" type="checkbox"/> NEW RENEWAL AMENDMENT
AMOUNT PAYABLE TO CONTRACTOR:	\$800,000.00	
EFFECTIVE DATES:	DATE OF AWARD TO DECEMBER 31, 2008	
PROGRAM DIRECTOR:	GENE ROBERTS FACILITIES MANAGEMENT	
PURPOSE:	LANDSCAPE MAINTENANCE SERVICES FOR STORRS & DEPOT CAMPUSES	
FUND CHARGED:	OPERATING FUNDS	
COST DETERMINATIONS AND HISTORICAL DATA:	LANDSCAPE SERVICES CONTRACT FOR SPRING CLEAN UP, LAWN MAINTENANCE (INCLUDING MOWING, TRIMMING, ETC.) AND FALL CLEAN-UP - BASE PRICE \$550,000. CONTRACT ALLOWS FOR ADDITIONAL SERVICES WHICH MAY INCREASE THE ANNUAL EXPENDITURE UP TO \$800,000 ANNUALLY.	



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

April 10, 2007

TO: Members of the Board of Trustees

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

Thomas Q. Callahan *TQC*
Associate Vice President for Administration and Operations Services

SUBJECT: **2007-2008 Rental Rates for Residential Properties**

RECOMMENDATION:

That the Board of Trustees approve increases in rental rates for the Fiscal Year 2007-2008 for the following residential properties:

1. Residential Single and Multi-family – 2.3% (see details in Attachment I.)
2. Northwood Apartments – 6%

BACKGROUND:

The residential properties managed by Capital Project and Contract Administration consist of fifteen single-family houses and four two-family houses. The properties are intended to serve as transitional housing for newly arrived faculty and staff until permanent housing is found. They offer the opportunity, particularly for out-of-state personnel, to become acclimated to the area before a permanent decision about housing is made.

The unit assignments are made on a first-come basis and an eligibility list is carefully monitored. The maximum allowable rental period is three years.

Currently, the annual revenue generated from these facilities is approximately \$261,000. This money is almost entirely expended for repairs, renovations and maintenance of the units, with a small contingency carried forward to cover unforeseen emergencies. These expenditures are necessary in order to bring the houses into acceptable condition.

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352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

Beside the rental fees, the tenants are responsible for utility charges, heating fuel, lawn maintenance and snow removal. Attachment II details the schedule of rental increases over the past five years. Our policy has been that when a vacancy occurs, improvements are made and the rent adjusted to meet market conditions for the incoming tenant.

The proposed rates represent a 2.3% increase over 2006-2007. This is in line with the increase of the 2006 Consumer Price Index [excluding food and fuel] as well as private sector rates. The proposed rates also reflect the present condition of the properties, house size and any significant improvements made to the house.

The Division of Student Affairs currently manages rental units at Northwood Apartments. See details in Attachment III. The 6% level of increase is requested because Northwood apartment rental fees cover all maintenance costs as well as utility costs (except for water and sewer) for the apartments. The Department also plans to continue renovating apartments in FY 08 to bring them up to market standards.

Attachments

**PROPOSED FY 2007-2008 MONTHLY RENTAL RATES
FOR RESIDENTIAL PROPERTIES
MANAGED BY CAPITAL PROJECTS AND CONTRACT ADMINISTRATION**

SINGLE-FAMILY HOUSES

HOUSE NO.	ADDRESS	2006-2007 RENT	2007-2008 RENT
5	1310 Storrs Road	\$1154	\$1180
7A	16 Oak Hill Road	1200	1224
9	28 Oak Hill Road	1021	1044
18	1196 Storrs Road	1113	1139
20	1 Hillside Circle	1213	1241
43	Horsebarn Hill Road	1052	1076
47	14 Eastwood Road	974	996
49	986 Storrs Road	1028	1052
52	968 Storrs Road	1085	1110
55	75 Willowbrook Road	1177	1204
56	48 Dog Lane	1141	1167
66	1590 Storrs Road	145*	145*
69	1595 Storrs Road	1371	1403
71	1561 Storrs Road	974	996
72	25 Hillside Circle	1565	1600
Oak Cottage	1332 Stafford Road	676	692

TWO-FAMILY HOUSES

HOUSE NO.	ADDRESS	2006-2007 RENT	2007-2008 RENT
11D	1204 Storrs Road	\$885	\$905
11U	1204 Storrs Road	676	692
41D	Horsebarn Hill Road	927	948
41U	Horsebarn Hill Road	777	795
42D	Horsebarn Hill Road	699	715
42U	Horsebarn Hill Road	676	692
46D	950 Storrs Road	927	948
46U	950 Storrs Road	795	813

*LIFE LEASE

**MONTHLY RENTAL INCREASES OVER PAST FIVE YEARS
FOR RESIDENTIAL PROPERTIES
MANAGED BY CAPITAL PROJECTS AND CONTRACT ADMINISTRATION**

SINGLE-FAMILY HOUSES

HOUSE NO.	ADDRESS	2002-03 RENT	2006-07 RENT	INCREASE PERCENTAGE
5	1310 Storrs Road	\$1074	\$1154	7.50
7A	16 Oak Hill Road	940	1200	27.76
9	28 Oak Hill Road	950	1021	7.50
18	1196 Storrs Road	1055	1113	5.50
20	1 Hillside Circle	1129	1213	7.50
43	Horsebarn Hill Road	979	1052	7.50
47	14 Eastwood Road	906	974	7.50
49	986 Storrs Road	957	1028	7.50
52	968 Storrs Road	966	1085	12.40
55	75 Willowbrook Road	1096	1177	7.40
56	48 Dog Lane	1062	1141	7.50
66	1591 Storrs Road	145	145*	N/A*
69	1595 Storrs Road	1157	1571	35.75
71	1561 Storrs Road	906	974	7.50
72	25 Hillside Circle	1229	1565	27.40
Oak Cottage	1332 Stafford Road	629	676	7.50

TWO-FAMILY HOUSES

HOUSE NO.	ADDRESS	2002-03 RENT	2006-07 RENT	INCREASE PERCENTAGE
11D	1204 Storrs Road	\$823	\$885	7.50
11U	1204 Storrs Road	629	676	7.50
41D	Horsebarn Hill Road	862	927	7.50
41U	Horsebarn Hill Road	723	777	7.50
42D	Horsebarn Hill Road	634	699	10.25
42U	Horsebarn Hill Road	629	676	7.50
46D	950 Storrs Road	862	927	7.50
46U	950 Storrs Road	740	795	7.50

***LIFE LEASE**

UNIVERSITY OF CONNECTICUT
STATEMENT OF OPERATIONS FOR NORTHWOOD APARTMENTS
FOR FISCAL YEAR 2005-06 THROUGH 2007-08

	2005-06 June Final	2006-07 Estimated Year End	2007-08 Projected
Income:	\$420,864	\$495,712	\$566,994 *
Operating Expenses:			
Personal Services	84,366	89,259	94,436
Contractual	216,297	237,927	261,720
Commodities	47,601	48,315	49,040
Fringe Benefits	52,670	55,135	59,277
Equipment	0	0	0
Total Operating Expenses:	400,934	430,636	464,473
Operating Gain (Loss) for Year:	19,930	65,076	102,521
Reserve Fund Activities			
Reserve Transfers:			
Gain/(loss) from Operation	19,930	65,076	102,521
(To) Constr Proj	(266,524)	(120,000)	(100,000)
Net Fund Balance Replenishment/(Usage)	(\$246,594)	(\$54,924)	\$2,521
Fund Balances			
Operating Reserve			
Balance Beginning Year	\$74,450	\$74,880	\$74,880
Gain/(loss) from Operation	430	0	0
Balance End of Year	<u>\$74,880</u>	<u>\$74,880</u>	<u>\$74,880</u>
Deferred Maint Reserve			
Balance Beginning Year	\$1,043,984	\$796,960	\$742,036
Gain/(loss) from Operation	19,500	65,076	102,521
Transfer in from Lksd(closed)	0	0	0
Transfer (To) Construction Proj	(266,524)	(120,000)	(100,000)
Balance End of Year	<u>\$796,960</u>	<u>\$742,036</u>	<u>\$744,557</u>

* Includes a 6% fee increase in FY2007-08. Pending Board of Trustees approved.

Attachment IIIb

**UNIVERSITY OF CONNECTICUT
DIVISION OF STUDENT AFFAIRS
DEPARTMENT OF RESIDENTIAL LIFE**

History of Rental Rates for Northwood Apartments

Fiscal Year	Rent per Month Utilities Incl.*	Percent Change From Previous Year
2005-06	\$725	6.0%
2006-07	\$769	6.0%
2007-08^	\$815	6.0%

^Pending Board of Trustees approval.

***Tenants pay for water and sewage only.**

3/2007



University of Connecticut
Office of the Provost

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

TO: Members of the Board of Trustees

FROM: Peter J. Nicholls, Provost

DATE: April 10, 2007

SUBJECT: **APPROVAL OF A GRADUATE CERTIFICATE IN HUMAN RIGHTS IN
THE COLLEGE OF LIBERAL ARTS AND SCIENCES AND THE
SCHOOL OF LAW**

RECOMMENDATION:

That the Board of Trustees approve the establishment of a Human Rights certificate in the Graduate School as an option for students in the College of Liberal Arts and Sciences and the School of Law.

BACKGROUND:

The certificate program is designed to recruit and train highly qualified graduate students who are capable of conducting multi-disciplinary research on questions of preventing and protecting human rights and prosecuting human rights offenders. The Graduate Certificate in Human Rights requires the completion of a core course in the central legal and philosophical questions of human rights plus three elective courses in the School of Law and departments of anthropology, history, economics, political science, philosophy, sociology, and women's studies.

This will equip doctoral students with the skills that will enable them to conduct research on today's human rights questions in a way that draws upon a variety of concepts and methodologies in this multidisciplinary field. Individuals who successfully complete the Certificate Program in Human Rights will receive a certificate from the Graduate School, and such completion will also be noted on their official transcripts. It is expected that this designation will improve their career prospects both inside and outside the academy.

It is our view that this Certificate Program will significantly enhance the University's visibility and profile as a globally-recognized center for human rights research.

Attachment

An Equal Opportunity Employer

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

Telephone: (860) 486-4037
Facsimile: (860) 486-6379
e-mail: peter.nicholls@uconn.edu
web: <http://provost.uconn.edu>

UNIVERSITY OF CONNECTICUT

PROPOSAL FOR A GRADUATE CERTIFICATE IN HUMAN RIGHTS

Program Director:

Professor Richard A. Wilson,
Gladstein Chair of Human Rights,
Director, Human Rights Institute
richard.wilson@uconn.edu

I. History and Mission of Human Rights at UConn

In 2001, the University of Connecticut designated human rights as a university priority, and this was the culmination of a number of human rights activities at the university. The Thomas J. Dodd Center, founded in 1995, contains the archives of former Nuremberg Executive Counsel and Connecticut Senator Thomas J. Dodd and presents the Thomas Dodd Human Rights Prize every two years. The University of Connecticut hosts the only UNESCO Chair in Human Rights in the United States. Since 2000, the university has hosted the Marsha Lilien Gladstein Visiting Professor of Human Rights which brings leading human rights scholars to the UConn campus for one semester per year to teach and give a public lecture. In 2001, an interdisciplinary Human Rights Minor was established in the College of Liberal Arts and Sciences [one of only two such programs at a US state university] and the Minor presently has over 80 students.

The Law School has an established reputation in international human rights law and has recently built on its strengths in human rights by adding to its already numerous and distinguished faculty who teach and engage in scholarly research in the area, by establishing a human rights and asylum clinical program, and by creating the Martin-Flynn distinguished visiting professorships to bring leading human rights scholars from around the world to the university.

In 2003, the University established a permanent endowed Chair of Human Rights, Richard A. Wilson, and Professor Wilson established the Human Rights Institute [HRI] to coordinate human rights teaching and research across the various schools and campuses of the university. The goals of the Human Rights Institute are to: 1. Develop new and insightful analyses of human rights issues at the leading edge of international human rights scholarship, by creating an institutional environment that promotes interdisciplinary research. 2. Establish and enhance UConn's institutional visibility and profile as a globally-recognized center for human rights research. 3. Engage and educate UConn students by increasing their awareness of, and involvement in, human rights issues.

In addition to Professor Wilson, three new joint Human Rights faculty have been hired in CLAS since 2004: Shareen Hertel [POLS], Serena Parekh [PHIL] and Emma Gilligan [HIS]. Alexis Dudden [HIS] was hired as an Associate Professor on the Foundations of Humanitarianism Program and will start in AY 07-08, along with a new Assistant Professor in this related field. The Institute has embarked upon an energetic program of scholarly publishing, hosting the *Journal of Human Rights* and publishing three edited books with Cambridge University Press from its UConn conferences. In late 2006, as part of its Strategic Plan, the College of Liberal Arts and Sciences designated Human Rights as one of its signature interdisciplinary initiatives.

This Graduate Certificate in Human Rights is the next logical step in the growing involvement of the University of Connecticut in human rights teaching and research. It is appropriate that it will be administered by Professor Richard Wilson, the Director of the Human Rights Institute, who reports to the Provost and has a university-wide mandate. He will work closely, however, in conjunction with the Gladstein Committee which includes representatives from CLAS and the Law School. The Law School representatives to the Gladstein Committee, Professor Mark Janis and Professor Angel Oquendo, will therefore serve as the Law School's primary liaisons to the Graduate Certificate.

Need for the Proposed Program

A small number of such certificates exist at universities such as Georgetown, Emory, and Boston College, the majority of them based in law schools. Columbia University offers a Masters in International Affairs with a concentration in human rights, but it is phasing this out to offer a Masters in Public Administration.

The UConn Graduate Certificate in Human Rights would be unique insofar as it is highly interdisciplinary and co-taught in both the Law School and the College of Liberal Arts and Sciences, drawing upon the significant strengths of each school. It would not be solely oriented, as programs are at other schools, towards public administration or legal practice, but towards legal inquiry and social science and humanities research. These attributes would make our graduate program unique in the region and indeed the country and enhance the prestige of the University of Connecticut as a research university.

The introduction of a Graduate Certificate would help to market our human rights program as a center of excellence in human rights research, and thereby attract more well-qualified doctoral students to departments. There is already some anecdotal evidence from Political Science that this is occurring: two successful doctoral applicants in 2006 [Dickhoff, Hussein] reported that they were attracted to the University of Connecticut Political Science Department because of its relationship with the Human Rights Institute.

There is a substantial external market justification for the new program. The Certificate would enhance the positive features of our graduate students going onto the academic job market, as human rights teaching has proliferated across North American campuses at the undergraduate level. In the month of September 2006 alone, the Chronicle of Higher Education advertised 18 teaching positions in higher education which included human rights as an area of specialty, in disciplines as diverse as Psychology, Asian Studies, Social Work and Political Science. There are also ample employment opportunities for graduate students trained in human rights in government agencies [from the US State Department to the state department of corrections], non-governmental organizations and the various agencies of the United Nations.

Educational Objectives of the Program

There are a number of good pedagogical reasons to establish a Graduate Certificate in Human Rights at the University of Connecticut. Human rights are constantly in the news, covering issues as diverse as global poverty, the treatment of detainees in US military custody and freedom of conscience in authoritarian countries. During the 1990s, the academic literature in human rights

exploded as human rights ceased to be the bailiwick of practitioner or activist scholars and became a scholarly field in its own right, as some of the most prominent humanities, social science and legal scholars of the day addressed human rights questions and themes [e.g., Richard Rorty, Ronald Dworkin, Charlotte Bunch, Clifford Geertz, Jürgen Habermas, to name a few].

In recent years, graduate students have increasingly begun to frame their research interests in global affairs and social justice questions at home in terms of human rights. And yet they often do so in a way which confuses various aspects of human rights, for instance when they do not adequately distinguish between human rights *qua* rights (i.e., as 'justiciable' claims, enforceable in a court of law) and human rights as moral argumentation, political discourse or propaganda. The central educational aim of this proposed Graduate Certificate is to provide a proper and coordinated training in the theories and case law of human rights and to offer students a grounding in the methods through which human rights issues might be studied empirically.

There are other educational benefits which highlight the internal academic need for this program. There is now a critical mass of graduate students in CLAS working on human rights themes [we estimate 20-25] and about a dozen of them are meeting on a regular basis in a graduate human rights reading group sponsored by the Human Rights Institute. These students come from a range of disciplines, but especially from the disciplines of Political Science, Anthropology and Sociology. At the Law School there are a number of courses in the area of human rights, a human rights law clinic, and human rights internships. The Certificate would draw together the initiatives at the Law School and link them to graduate instruction in Storrs, forming a coherent and focused program.

Human Rights is an inherently interdisciplinary field and this degree could serve as a way of bringing together graduate students across a number of schools but especially across the social sciences and humanities and law. We know of no other educational initiative at the university which would draw together the scholarly expertise of the Law School and CLAS. The Human Rights Institute and Law School have an already established record of collaboration. The Human Rights Institute has funded human rights internships for law students in the last two years, funded a Connecticut International Law Review conference on the Cambodian Khmer Rouge Tribunal in 2005 and there has been a steady traffic of visitors and speakers between the two locations.

This Certificate will build on the intellectual strengths in the field of human rights at the Graduate School and Law School and find ways of creating new synergies between the Storrs campus and the Law School in the area of graduate education. We prefer to cultivate the exchange of students and ideas between the Law School and CLAS by using incentives rather than compulsions [i.e., the carrot rather than the stick]. Students may conceivably complete the Certificate by only taking courses within their own School, however, we expect a significant degree of interchange in practice. If, after 2 years, it is apparent that such interchange is not forthcoming on its own merits, we will consider a requirement that students take at least one course outside of their own school of study.

At this time, we think it prudent to confine the Certificate to students the Law School and CLAS doctoral programs in social sciences and humanities. There are few Certificates like this at the University and we intend to proceed cautiously in how we deal with complexity. When we are assured that we have established intellectual rigor and these diverse constituencies may be

combined into a single program, then we will consider opening the program out to graduate students from other schools. We will undertake a review of this issue in the third year of the new graduate program.

In sum, a Graduate Certificate in Human Rights would provide the growing number of UConn graduate students interested in human rights with an intellectual focus, a rigorous curriculum, and a forum for discussion and interchange.

Proposed Course Sequence and Educational Objectives

The Graduate Certificate in Human Rights for graduate students enrolled at the Law School or on CLAS PhD programs will have a minimum total of twelve credits, consisting of one core course and three electives, as detailed below.

In conformance with another new Law School certificate program, law students will be required to complete a three credit pre-requisite before embarking upon the Certificate in Human Rights, but will otherwise have the same requirements. Certificate courses do not require any pre-requisites, except for 'Advanced Constitutional Law' as indicated.

The core courses will introduce students to the key modern debates in international human rights. They will provide a historical, literary and philosophical perspective for thinking broadly about modern human rights, as well as teach the students the basic conventions, treaties and case law from international courts such as the European Court of Human Rights, the International Criminal Tribunals for Rwanda and the former Yugoslavia.

The Certificate will recommend, though not require, that students attain this grounding first before moving on to take the elective courses. The elective courses will allow them to branch out into the various subfields of human rights such as indigenous and cultural rights, economic rights, human rights in Latin America and Europe, and so on. Elective courses may be added and removed with the approval of the program director and the faculty of the program. Courses must be taught at least once every two years.

Core Courses [students take one]

CLAS Storrs Campus

HRTS 301. Contemporary Debates in Human Rights [new course; instructor Richard Wilson; see attached draft course proposal]

UConn Law School

LAW 878. International Human Rights

Electives [students take three]

Storrs Campus

ANTH 315. Gender and Culture

ANTH 390. Cultural Rights

ANTH 377/PH 497. Anthropology and International Health

BLAW 375. Business Ethics

ECON/HRTS/POLS 390. Economic Rights-[new course; instructors; Minkler and Hertel, draft course proposals attached]

HIST 382. Historical Literature of Latin America: Human Rights in the late Twentieth Century

PHIL 315. Seminar in Moral Philosophy

PHIL 352. Feminist Theory: Gender and Rights

POLS 397. The Politics of Human Rights in Contemporary Europe [new course; instructor; Krisch; draft course proposal attached]

POLS 301. Political Theory: Theories of Rights

SOCI 305. Gender, Politics and the State [instructor Naples plans to submit permanent course proposal form]

WS 395. Sexual Citizenship [instructor Naples plans to submit permanent course proposal form]

UConn Law School

LAW 653. European Human Rights

LAW 679. International Law

LAW 883. Human Rights/Post Conflict

LAW 831. Comparative Constitutional Law

LAW 838. Advanced Constitutional Law: Individual Rights [pre-requisite 'Constitutional Law']

LAW 767. Critical Identity Theory

LAW 609. Asylum & Human Rights Clinic [only the 3 credit classroom component will count toward the certificate]

LAW 759. The Nuremburg Trials

LAW 872. Latin American Law

LAW 923. Law and Theories of Human Nature

LAW 957. Asylum Law

Deans of Schools Associated with the Program-See Attached Letters

Mackinnon, Ross Dean, College of Liberal Arts and Sciences

Strasser, Kurt, Interim Dean, Law School

CLAS Department Heads- See Attached Letters

Manning, Jack, Anthropology

Heffley, Dennis, Economics

Roe, Shirley, History

Elder, Crawford, Philosophy

Reiter, Howard, Political Science

Glasberg, Davita, Sociology

Naples, Nancy, Women's Studies

Faculty Associated with the Program

NB: CLAS and the Law School presently have the faculty resources needed to ensure an appropriate high quality program.

Bauer, Jon, Clinical Professor of Law, Law School
Bloomfield, Paul, Assistant Professor, Philosophy
Caldera, Michelle, Clinical Instructor and William R. Davis Fellow, Law School
Coundouriotis, Eleni, Associate Professor, English and Associate Director, Human Rights Institute
Dickinson, Laura Professor, Law School
Dussart, Francoise, Associate Professor, Anthropology
Erickson, Pamela, Professor, Anthropology
Fox, Karla, Professor, Business School
Gilligan, Emma, Assistant Professor, Joint Faculty History-Human Rights Institute
Hertel, Shareen, Assistant Professor, Joint Faculty Political Science-Human Rights Institute
Hiskes, Anne, Associate Professor, Philosophy
Hiskes, Richard, Professor, Political Science
Jain, Subhash, Professor, Business, Center for International Business Education and Research
Janis, Mark, William F. Starr Professor of Law, Law School
Kay, Richard, Wallace Stevens Professor of Law, Law School
Krisch, Henry, Professor Emeritus, Political Science
Kupperman, Joel, Professor, Philosophy
Meyers, Diana T., Professor, Philosophy
Minkler, Alanson Associate Professor, Economics
Naples, Nancy, Professor, Sociology and Women's Studies
Oquendo, Angel, Professor, Law School
Overmyer-Velasquez, Mark, Assistant Professor, History
Parekh, Serena, Assistant Professor, Joint Faculty Philosophy and Human Rights Institute
Silvestrini, Blanca, Professor, History
Wilson, Richard A., Gladstein Chair of Human Rights, Professor of Anthropology, Director, Human Rights Institute,



University of Connecticut
Office of the Provost

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

TO: Members of the Board of Trustees

FROM: Peter J. Nicholls, Provost

DATE: April 10, 2007

SUBJECT: **APPROVAL OF THE TEACHER CERTIFICATION PROGRAM FOR COLLEGE GRADUATES (TCPCG) IN THE NEAG SCHOOL OF EDUCATION TO BE OFFERED AT THE WATERBURY CAMPUS**

RECOMMENDATION:

That the Board of Trustees approve the establishment of the Teacher Certification Program for College Graduates (TCPCG) at the Waterbury Campus.

BACKGROUND:

The state of Connecticut is facing a critical shortage of secondary education teachers. According to the Connecticut State Department of Education, areas such as secondary (7-12) Mathematics, English, Science, Special Education, and World Languages are among the top on the shortage list. In response to this crisis, the Connecticut State Department of Education has called upon teacher preparation programs to rethink the way in which they offer programs to accommodate career-changing professionals to attract them to the teaching profession.

With this in mind, the Neag School of Education designed the TCPCG program and has successfully operated it on the West Hartford campus. This program is a more flexible pathway to teaching certification for limited numbers of well-qualified individuals who have already completed an undergraduate subject area degree. It is a three-semester, 45-credit program, beginning with two intensive sessions during the summer followed by a full year of additional work, and culminates in a Master of Arts degree and the University's recommendation for certification.

As a way of increasing both the accessibility and potential to prepare additional teachers in the TCPCG program, the Neag School of Education is now proposing to offer this program at the Waterbury campus. This is expected to have two major outcomes: first, it will help to make the TCPCG program an attractive option for individuals living and working too far from Storrs, and second, it will allow the program to increase its focus on the preparation of educators for urban, diverse settings, as well as help alleviate the critical shortage of teachers at the secondary level in the state of Connecticut.

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**STATE OF CONNECTICUT
BOARD OF GOVERNORS FOR HIGHER EDUCATION
DEPARTMENT OF HIGHER EDUCATION**

**APPLICATION FOR LICENSURE OF
A PROGRAM OF HIGHER LEARNING WITHIN
AN ACCREDITED CONNECTICUT INSTITUTION OF HIGHER LEARNING**

Institution: University of Connecticut, Waterbury

Item: Licensure and accreditation of a Teacher Certification Program for College Graduates (TCPCG), leading to a Master of Arts (M.A.) degree

The University of Connecticut is submitting the following application to the Connecticut Board of Governors for Higher Education for licensure and accreditation of a program in Teacher Certification in the secondary educational fields of agricultural education, biology, chemistry, earth science, English, general science, history/social studies, mathematics, physics, Special Education, and world languages, leading to a Master of Arts degree. The University currently offers such a program on its West Hartford campus and is proposing to expand the program to its Waterbury branch.

As Connecticut is facing shortage of secondary education teachers, this program proposes to target students who are Bachelor degree holders in the above mentioned fields, and who would like to become certified secondary school teachers.

1. Objectives:

This program has been designed to provide a more flexible pathway to teaching certification for limited numbers of well-qualified individuals who have already completed an undergraduate subject area degree. The TCPCG program is a three-semester, 45-credit program, beginning with two intensive sessions during the summer followed by a full year of additional work, which culminates in a Master of Arts degree and the University's recommendation for certification. Like the University's Integrated Bachelor and Master (IB/M) five-year program, the TCPCG program involves fieldwork, and maintains a cohort structure.

The University states that 98-100% of its graduates from the IB/M program have received teaching positions immediately after graduation, 90% of them are teaching after three years, and 88% of them are teaching after five years. The University suggests the high rate of retention in the teaching profession of its graduates attributes to the high quality of the program.

As a way of increasing both the accessibility and potential to prepare additional teachers of the TCPCG program, the University is now proposing to offer this program at the

Waterbury branch. This is expected to have two major outcomes: first, it will help to make the TCPCG program an attractive option for individuals living and working too far from Storrs, and second, it will allow the program to increase its focus on the preparation of educators for urban, diverse settings. Because the TCPCG program is philosophically aligned with, and modeled on, the IB/M program, the University expects similar retention rates for the TCPCG candidates.

2. Educational Planning Statement

The Connecticut Board of Governors for Higher Education has stated the public school teacher supply and demand¹:

According to the Connecticut State Department of Education, for the current 2002-2003 school year, nine public school teacher shortage areas exist in Connecticut based on 2001-02 data.² The number of Durational Shortage Area Permits (DSAP)³ issued to districts has grown sharply over the past six years, from 35 in 1997-98 to 484 in 2000-01, and then to 805 in 2001-02. While a growing problem, the number of DSAP's in Connecticut accounts for only 1.5% of the state's 50,087 teaching force – very low compared to other states. The largest numbers of DSAP's issued were in Spanish, Special Education and 7-12 Mathematics. At present, some 800 classrooms in Connecticut are filled with teachers who are not fully certified based on the Connecticut requirements.

More than 25% of these less than fully certified teachers are teaching in the state's Education Reference Group I⁴ districts, with the remaining 75% equally distributed across all other districts. In addition, the federal *No Child Left Behind* legislation mandates that all teachers teaching in core academic subjects must hold full certificates by 2005-06. Based on 2001-2002 data, 2.4% of Connecticut teachers are not "highly qualified" as defined by the federal government.⁵ Finally, although more than 23 % of Pre-K-12 public school students are minorities, the state only has about 7% minority teachers.

Approximately 3,700 teachers are newly certified in Connecticut each year. Over the last three years, almost 1,500 teachers have retired each year. Unfortunately, teachers receiving new certificates are often not certified in shortage

¹ Connecticut Board of Governors for Higher Education (2003). *Public school teacher supply and demand in Connecticut*. Hartford: Connecticut Department of Higher Education.

² Connecticut State Department of Education (2002). *Data bulletin: Fall hiring report, 2002*. Hartford, CT: Author.

³ To obtain a DSAP, a district must demonstrate the inability to find a qualified certified teacher and present a candidate who has passed Praxis I and has at least 12 semester hours of credit in the subject area and has enrolled in a teacher preparation or alternate route to certification program.

⁴ Education Reference Groups (ERGs) are a classification of the state's public school districts into groups based on similar socioeconomic status and need for families with children in public schools. ERG I includes districts of Bridgeport, Hartford, New Britain, New Haven, New London, Waterbury, and Windham.

⁵ Sergi, T. (2002). Fall hiring report and related data. *Connecticut State Board of Education Meeting Agenda*. December 4. VIII.C.

subject areas nor are they seeking employment in Connecticut or its urban and priority districts. For example, of the newly certified teachers in 2001-02, approximately 32% were in the non-shortage field of Elementary Education.

In 2001-02, Connecticut's 15 teacher preparation programs, including the Alternate Route to Certification Program, awarded 3,416 bachelor's and master's degrees as well as post-baccalaureate/master's certificates. Of this total, at least 1,317 (or 39%) were new teacher candidates (i.e., never before certified) who completed Connecticut teacher preparation programs.⁶ These include 1,006 awards from baccalaureate and post-baccalaureate programs, and 311 from the Alternate Route to Certification program. Among all program graduates, 6% are minorities and 24% are men.

Looking at fields of study, Connecticut's teacher preparation programs awarded 954 (or 28%) degrees and certificates in Elementary Education, 126 (or 3.7%) in Early Childhood Education and 670 (or 20%) in Pre-K-12 Administration, for a total of 1,750 (or 51%) across Pre-K-6 certification and school administrator fields.

Connecticut's teacher preparation programs awarded 630 (18% of the total) degrees and certificates in shortage areas. Combined, the 14 traditional teacher preparation programs produced 517 (or 17% of the 3,105 awards from the traditional programs) graduates in the state certified shortage areas. The Alternate Route to Certification produced 113 (or 36% of the 311 awards) graduates in the state certified shortage areas of Bilingual Education, Mathematics, Music, and Spanish.

The Connecticut State Department of Education's *Designation of Teacher Shortage Areas 2005-2006 (Fall Hiring Report)* also reveals that secondary (7-12) Mathematics, English, Science, Special Education, and World Languages, are among the top items on the shortage list⁷

This proposal is in response to the state's calling on "reviewing, by teacher preparation programs, their modes of delivery (e.g. weekend program models and summer-to-summer program models) to accommodate diverse adult populations, including career-changing professionals and current paraprofessionals in schools."⁸ The TCPCG program is a full-time three-semester, 45-credit program, beginning with two intensive sessions in the summer followed by a full academic year of additional work. Courses offered during summer sessions I and II will be taught in the evening while courses offered in the Fall and Spring will occur both during the day as well as the evening.

⁶ The number of new teachers are, in fact, higher because there are new candidates through master's or post-master's programs.

⁷ Connecticut State Department of Education (2006). *Designation of Teacher Shortage Areas 2005-2006 (Fall Hiring Report)*. Hartford: Author.

⁸ Connecticut Board of Governors for Higher Education (2003). *Ibid*.

This program in West Hartford has attracted a number of candidates to the certified shortage subject areas since it is philosophically aligned with the IB/M Teacher Preparation Program yet it is different in that the TCPCG program provides more flexibility and a quicker route to certification than the traditional IB/M program. It is the first and only such flexible cohort program preparing comprehensive special education teacher candidates in the state.

Table 1. Demand of teachers in the shortage subject areas in Connecticut (2005-2006)

Subject	Shortage Ranking	Durational Shortage Area Permits	Minor Assignments
Comprehensive Special Education	3	78	0
English (7-12)	7	44	3
Mathematics (7-12)	2	112	6
Science (7-12)	8	112	13
World Languages (7-12)	5	51	13

Source: Connecticut State Department of Education.

Table 2. Supply of teachers in the shortage areas in Connecticut (2005-2006)

Subject Areas	Total Positions to Fill	1 st Connecticut Certificates	Vacancy
Comprehensive Special Education	615	712	52
English (7-12)	403	525	11
Mathematics (7-12)	376	372	32
Science (7-12)	322	537	8
World Languages (7-12)	310	277	10

Source: Connecticut State Department of Education.

Published by the Connecticut State Department of Education, *Guide to Approved Educator Preparation Programs in Connecticut (May 2005)* states that there are a few institutions offering post-baccalaureate certification programs in agricultural education, biology, chemistry, comprehensive special education, earth science, English, French, general science, German, history and social studies, Italian, Latin, mathematics, physics and Spanish. However, according to the Coordinator of Teacher Preparation Programs at the Connecticut State Department of Education, most of these post-baccalaureate certification programs do not result in a master's degree, except the Teacher Certification Program for College Graduates (TCPCG) at the University of Connecticut, the Master of Science in Secondary Education program offered by Eastern Connecticut State University, and the currently proposed Master's degree program offered by Central Connecticut State University.

3. Administration

The Waterbury branch program will be administered by the full-time TCPCG director. The Director will be responsible for the day-to-day operations of the program - that is, the admissions process, the advising of students, the scheduling and staffing courses, and is qualified to teach of some of the courses offered in the program. The current program director is Dr. Michael Alfano (see Appendix I).

The University asserts that teacher education programs are monitored through a number of faculty governance committees. The TCPCG program will be likewise monitored, assessed, and receive change recommendations from the IB/M program committee, policy board, and the Naeg School of Education Assessment committee. Further, assessments used in the IB/M Teacher Preparation Program to monitor and evaluate teacher candidate progress with respect to skills and dispositions, as well as performance in clinical settings will also be used with teacher candidates in the TCPCG program. Finally, faculty performance in classes taught in the TCPCG program will be conducted through evaluations provided through the Office of Institutional Review at the University.

In addition to the proper state licensure and accreditation, this program will become part of the Naeg School's accreditation by the National Council for the Accreditation of Teacher Education (NCATE).

4. Finance

The TCPCG program in Waterbury will be financed by student tuition and applicable fees.

5. Faculty

Courses in the program will be taught by full-time faculty members from the Storrs campus. The University will also hire adjunct faculty to supervise students during their student teaching experience. All adjuncts will hold Connecticut certification in the grade level or subject area and have earned a Master's degree. In such cases where adjunct faculty members are supervising student teachers, a full-time faculty member from the Storrs campus will serve as instructor of record.

6. Curricula and Instruction

The curriculum of the TCPCG program includes five components: (1) the required core courses that all students, regardless of certification area, must take, (2) subject specific courses (e.g., methods of teaching the content area), (3) two school-based seminars, (4) two field experiences (one of which is full-time student teaching), and (5) electives, which may include additional course work in education or in the student's certification area. The specific courses required in the TCPCG program are secondary certification areas including agricultural education, biology, chemistry, earth science, English, French, general science, German, history/social studies, Italian, Latin, Mathematics, Physics, and Spanish. In addition, Comprehensive Special Education is offered as a certification program, with appropriate modifications to ensure appropriate experiential and content knowledge.

Table 3. TCPCG secondary education curriculum

Course Category	Course Number	Title	Credits
	EDCI 326	Curriculum Laboratory	3
	EDCI 357	Multicultural Education	
Core Courses	EDCI 390	Social & Multicultural Foundations of Education	3
	EDCI 391	Learning Theories	3
	EDCI 392	Methods of Instruction & Evaluation	3
	EDCI 394	Reading & Literacy in the Content Areas	3
	EPSY 308	Instruction for Students with Special Needs in the Mainstream	3
	EPSY 354	Teaching with Technology	3
	Subtotal		24
Subject-Specific Courses	EDCI 395	Subject Area Methods	3
	Subtotal		3
Seminar/Clinic Courses	EDCI 388	TCPCG Seminar I: Student Teaching Seminar	3
	EDCI 389	TCPCG Seminar II: Teacher as Professional	3
	Subtotal		6
Student Teaching	EDCI 396	TCPCG Directed Student Teaching	9
	Subtotal		9
Elective Course	Subtotal		3
Total Credits			45

* One elective course is selected by the student working with his/her advisor. It may be either additional graduate-level work in the certification area or in education. Three hours of advanced undergraduate course work may be used, as per Graduate School regulations.

Table 4. TCPCG program sequence in secondary education

	Summer Session I	Summer Session II	Fall	Spring
Core Courses	EDCI 390 (3) EDCI 391 (3) EDCI 392 (3) EPSY 354 (3)	EDCI 394 (3) EPSY 308 (3)		EDCI 357 EDCI 326
Subject Specific Courses		EDCI 395 (3)		
Clinical Experience			EDCI 396 (9)	Embedded within EDCI 326 & EDCI 389
Seminar			EDCI 388 (3)	EDCI 389 (3)
Electives				1 Elective Courses (3)
Total Credits	12	9	12	12

Table 5. TCPCG-comprehensive special education curriculum

Course Category	Course Number	Title	Credits
Core Courses	EDCI 390	Social & Multicultural Foundations of Education	3
	EDCI 391	Learning Theories	3
	EDCI 326	Curriculum Laboratory	3
	EPSY 308	Instruction for Students with Special Needs in the Mainstream	3
	Subtotal		12
Subject-Specific Courses	EPSY 333	Instructional Strategies & Adaptations for Students with Special Learning Needs	3
	EPSY 336	Individual Pupil Assessment	3
	EPSY 349	Procedures for the Education of Individuals with Disordered Behaviors	3
	EPSY 363	Language & Literacy for Students with Cognitive Disabilities	3
	EPSY 369	Policy, Law & Ethics in Special Education	3
	Subtotal		15
	EPSY 381	Practicum	3
Seminar/Clinic Courses	EDCI 388	TCPCG Seminar I: Student Teaching Seminar	3
	EDCI 389	TCPCG Seminar II: Teacher as Professional	3
	Subtotal		9
Student Teaching	EPSY 396	TCPCG Directed Student Teaching: Special Education	9
	Subtotal		9
Total Credits			45

The sequencing of the courses and fieldwork experiences for students seeking Comprehensive Special Education certification have been designed to overlap, to as great an extent as possible, the sequencing for other TCPCG students. Students begin with two intensive summer sessions, followed by student teaching and culminating in a capstone semester, as indicated on the following table (See Table 6).

Table 6. TCPCG-comprehensive special education sequence

	Summer Session I	Summer Session II	Fall	Spring
Core Courses	EDCI 390 (3) EDCI 391 (3)	EPSY 308 (3)		EDCI 326
Subject Specific Courses	EPSY 333 (3)	EPSY 363 (3)	EPSY 369 (3)	EPSY 336 (3) EPSY 349 (3)
Clinical Experience		EPSY 381 (3)	EPSY 396 (9)	
Seminar			EDCI 388 (3)	EDCI 389 (3)
Electives				
Total Credits	9	9	15	12

The student clinical experience will be administered by the Director of the program and articulated through the seminar class, which is the student's point of accountability for the

clinic assignment. The field work component (clinic assignment) is included as part of the grade for the seminar. Clinic placements for TCPCG students will occur during the Fall and Spring semesters. In particular, these students will participate in a student teaching placement (nine credits) during the Fall. In the spring semester these students will participate in a clinic based experience where they will collaborate with 7-12 teachers to develop an inquiry project that investigates issues or concerns identified by the school.

The Director of the program will ensure that appropriate supervision and evaluation of seminar and clinic experiences is ongoing. The Director will be responsible for developing Professional Development Centers (PDCs). Agreements will be established between the University and the local school personnel, as appropriate.

7. Resource Centers and Libraries

The University of Connecticut Libraries provides high quality collections and information services in support of the University's research and educational missions. In fulfilling this mission, the Libraries provide access to collections in a broad range of formats; facilitate access to collections owned by other institutions; serve as a gateway and contributor to global networked information resources; provide assistance and education in information retrieval utilizing current technologies; and provide facilities conducive to learning and research. In particular, the Libraries provide a wide array of print and electronic resources to support the academic and research needs of education faculty and students. While these resources are distributed throughout the University of Connecticut Libraries system, the Homer Babbidge Library is the main service point for education and education related materials. Additionally, library print materials and electronic resources support graduate study in cognate areas such as English and American literature, modern foreign languages, history, life sciences, mathematics, agricultural sciences, and educational psychology.

The University of Connecticut Library System includes the following sites:

- University Libraries at Storrs – Homer Babbidge Library, Cookson Music Library, the Dodd Research Center, and the Pharmacy Library,
- Regional Campus Libraries at Avery Point, Stamford, Torrington, West Hartford, Waterbury,
- Health Center Library for the School of Medicine in Farmington,
- School of Law in Hartford.

In addition to onsite materials held on site, regional campus libraries provide research support to the Neag School of Education students enrolled in programs at those campuses, or living within proximity of those campuses, through system-wide access to books, journals, and electronic database resources.

With 2,500,000 volumes, the University of Connecticut Libraries system holds the largest public collection of research materials in the state. More than two million volumes are shelved in the Babbidge Library, which also houses nearly three million units of microtext, 180,000 maps, 35,000 reference volumes, and subscriptions to about 5000 current journals.

The Libraries' World Wide Web site www.lib.uconn.edu provides access to a wealth of information resources in the library, the university, and from around the world. Through the library home page, faculty and students can connect to research resources including over 10,000 full text journals, primary reference sources, hundreds of research databases, online encyclopedias, electronic course reserves, university information resources, and Internet search engines. A complete list of journals related to academic majors and cognate areas can be retrieved via the Libraries' online catalog at: <http://homerweb.lib.uconn.edu/>. The libraries' current holdings are sufficient resources for the program. The Director will work the appropriate library liaison in an advisory capacity for future acquisitions.

8. Admission Policies

The Waterbury program plans to enroll, on an annual basis, up to 30 program participants eligible for teaching certification in Connecticut in Secondary Education. The first cohort of students is expected to enroll during the Summer of 2008. Students are expected to graduate one calendar year following enrollment, at the conclusion of the Spring Semester in the year following first enrollment.

The students in the TCPCG programs will already possess undergraduate degrees in the appropriate certification areas, and will meet all of the University's requirements for admission to the Graduate School. Successful completion of Praxis I or SAT scores above 1100 is a prerequisite for admission into the program. The University has stated that the admissions priority will be given to candidates in the state identified shortage certification areas⁹. In addition, students will submit applications to the TCPCG program which include all of the elements necessary for admission to a teacher certification program (a personal statement, evidence of experience working with children and young people, letters of reference, a personal interview, etc.).

Students in the TCPCG program will be required to be full-time students. At the completion of the TCPCG program, students will be seeking teaching positions throughout the state. Since the program emphasis is on critical shortage areas, the University would expect that the program placement rate will be approximately 95%.

9. Facilities and Equipment

Existing facilities and equipment on the Waterbury campus are sufficient for the operation of the program. The Director will work with appropriate personnel on the branch campus regarding future facility and/or equipment needs.

⁹ For 2005-2006 school year, the Connecticut State Department of Education has identified the following 10 shortage subject areas: bilingual education, comprehensive special education, English, intermediate administrator, mathematics, remedial reading, science, speech language pathologist, teaching English as a second language, and world languages. See Connecticut State Board of Education *Designation of Teacher Shortage Areas (2005-2006)*.

Attachment: Course Descriptions

EDCI 326. Curriculum Laboratory

Open to teachers and administrators seeking practical solutions to curriculum problems in elementary and secondary schools. Reorganization of courses, reorientation of the program of studies, articulation of administrative units, and development of new materials are considered in relation to the local situation. Students make individual studies of their specific problems, and group studies of related problems. 3 credits. Practicum.

EDCI 357. Multicultural Education

Interrelationships between education and various sociocultural aspects of cultural diversity and cultural pluralism, including language acquisition and diversity. 3 credits. Lecture.

EDCI 388. TCPCG Seminar I: Student Teaching Seminar

Analysis of instructional practice in the clinical setting. Relationship of instruction to theory, and implications for instructional evaluation, are emphasized. 3 credits, Seminar. Department consent required.

EDCI 389. TCPCG Seminar II: Teacher as Professional

Culminating seminar experience in the TCPCG program. 3 credits, Seminar. Department consent required.

EDCI 390. Social and Multicultural Foundations of Education

An introduction to the social and multicultural foundations of contemporary public education in U.S. society. Includes discussion of the nature, organization and purposes of public education in a democratic society, cultural diversity in U.S. schools and society, the role of the classroom teacher, professional ethics, and contemporary issues in U.S. education.

3 credits, Lecture. Department consent required.

EDCI 391. Learning Theories

Introduction to learning theories as they are applied to educational contexts. Topics include instructional objectives, behavioral analysis, social cognitive theory, cognitive psychology, social emotional development, and cognitive development.

3 credits, Lecture. Department consent required.

EDCI 392. Methods of Instruction and Evaluation

Selection and organization of learning experiences, instructional activities and materials, and methods of instruction. Course activities include a combination of lecture and seminar experiences.

3 credits, Lecture. Department consent required.

EDCI 393. Meeting the Needs of Exceptional Learners

Introduction to the characteristics of and educational programming for students with

exceptionalities.

3 credits, Lecture. Department consent required.

EDCI 394. Reading and Literacy in the Content Areas

Effective use of reading and writing to help students learning content material. Includes selection of reading materials that are appropriate for individual students with diverse reading abilities, understanding reading diagnosis provided by other professionals, using reading material in ways that facilitate comprehension and learning, and using written assignments to increase understanding and recall.

3 credits, Lecture. Department consent required.

EDCI 395. Subject Area Methods

Selection and organization of learning experiences, instructional activities and materials, and methods of instruction related to the subject area. Course activities include a combination of lecture and seminar experiences, as well as extensive practice teaching.

3 credits, Lecture. Department consent required.

EDCI 396. TCPCG Directed Student Teaching

Supervised student teaching in a subject-specific content area.

9 credits, Clinical. Department consent required.

EPSY 308. Instruction for Students with Special Needs in the Mainstream

Focus on planning for and working with students with special needs in schools.

3 credits, Lecture.

EPSY 333. Instructional Strategies and Adaptations for Students with Special Learning Needs

Principles and practices for the provision of effective instruction for students with special learning needs.

3 credits, Lecture.

EPSY 336. Individual Pupil Assessment

Diagnosis and prescription for children with special learning and behavioral disabilities, including administration, scoring and interpretation of pupil assessment instruments.

3 credits, Lecture.

EPSY 349. Procedures for the Education of Individuals with Disordered Behavior

Approaches for adapting programs to the behavioral, social and emotional needs of exceptional learners.

3 credits, Lecture.

EPSY 354. Learning with Technology

Uses a problem-based design format to integrate learning theory and principles with educational technology to develop an integrated lesson plan in a content area. Students select meaningful authentic problems to integrate. 3 credits, Lecture.

EPSY 363. Language and Literacy for Students with Cognitive Disabilities

Methods and procedures for developing literacy instruction for students with cognitive disabilities including learning disabilities, attention-deficit disorder, and traumatic-brain injury. Lecture.

EPSY 369. Policy, Law, and Ethics in Special Education

Knowledge and skill needed by special educators to be ethical and professional school leaders and advocates for students with disabilities.

3 credits, Lecture.

EPSY 381. Practicum Practicum. Open to master's and Sixth-Year students. The implementation and application of theory in the student's area of specialization. 3 credits.

EPSY 396. Directed Student Teaching for Students in the Teacher Certification

Program for College Graduates Clinical. Open to students in the Teaching Certification Program for College Graduates, others with permission. Supervised student teaching in special education. 9 credits.

CONNECTICUT BOARD OF GOVERNORS FOR HIGHER EDUCATION

Department of Higher Education

RESOURCE SUMMARY

Institution University of Connecticut

Program Teachers Certification Program for College Graduates

Name Richard Schwab Signature _____ Date _____

PROJECTED ENROLLMENT	YEAR 1 FY 2008/09 *		YEAR 2 FY 2009/10		YEAR 3 FY 2010/11	
	FT	PT	FT	PT	FT	PT
Internal Transfers	_____	_____	_____	_____	_____	_____
New Students	20		20		20	
TOTAL ENROLLMENT (est.)	20		20		20	

NEW REVENUES	YEAR 1 EST. AMOUNT	YEAR 2 EST. AMOUNT	YEAR 3 EST. AMOUNT
Tuition (1) 4 semesters	356,400	377,784	400,451
Extension Fund Fees (2)	_____	_____	_____
Other Sources (Please attach a description)	_____	_____	_____
TOTAL NEW REVENUES	356,400	377,784	400,451

NEW EXPENDITURES	YEAR 1 Number Est. Cost		YEAR 2 Number Est. Cost		YEAR 3 Number Est. Cost	
Faculty (full-time) Sal & FB	(2)	\$167,400	(2)	\$177,072	(2)	\$187,292
Support Staff (full-time) Sal & FB	(1)	\$63,788	(1)	\$67,474	(1)	\$71,367
Library	_____	_____	_____	_____	_____	_____
Equipment (3) computers	(3)	\$7,500				

Other (4)	\$116,500	\$121,430	\$126,588
TOTAL NEW EXPENDITURES	\$355,188	\$365,976	\$385,247

PLEASE FILL IN) (1) Calculated for new students only at \$17,820 per year for full-time and _____ per sch for an average of . sch per year for part-time students.

(2) Calculated at _____ per credit hour.

(3) Please attach a list of equipment and estimated costs.

(4) Please attach a description.

The Program will start in May of 08 which is FY 07/08 but it is only for one month. There will be startup costs in 07/08

Department of Higher Education Budget Detail

	08/09	09/10	10/11
Equipment			
3 Computers	7,500		
Total Equipment	7,500		
Other			
Office Expenses/Phone/	18,000	19,000	20,000
Marketing/Advertising	15,000	15,000	15,000
Outside Professional	15,000	15,000	15,000
Travel	2,500	2,500	2,500
Adjuncts	66,000	69,930	74,088
Total	116,500	121,430	126,588

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Appendix I Program Director

Michael P. Alfano

215 Chimney Hill Road

Wallingford, CT 06492

(W)860.486.1903

(H)203.626.5050

e-mail: michael.alfano@uconn.edu

Education:

Ph.D. Educational Psychology, Special Education- Department of Educational Psychology, University of Connecticut, Storrs, CT- Dissertation Title- *Preservice Teachers' Perceptions Toward the Meaning and Purpose of Democratic Education*, August, 2001.

Master of Education in Reading and Learning Disabilities- DePaul University- Chicago, IL-June, 1998.

Bachelor of Science in History and Social Science-S.C.S.U., New Haven, CT-May, 1995.

Teaching Credentials:

Connecticut Provisional Educator Certificate- Grades 1-12 Comprehensive Special Education, Grades 7-12-World History, U.S. History, Social Science

Professional Experience:

July 2004-present- Director, Teacher Certification Program for College Graduates and Associate Professor-in-Residence. Responsible for all aspects of teacher education program. Increased enrollment by 25 percent in two years; increased diversity of students by over 12 percent in two years; aligned program to NCATE standards; reintroduced special education certification area

August 2002-2004- Director, Reading Center and Assistant Professor. Department of Special Education and Reading, Southern Connecticut State University. Responsibilities supervising all operational, administrative and diagnostic responsibilities associated with the SCSU Reading Center; taught graduate level courses as part of appointment to the Graduate Reading Program's faculty, graduate student advisement, departmental and University wide service, and conducting research.

August 2001-August 2002- Assistant Professor-in-Residence. Department of Educational Psychology, University of Connecticut. Responsibilities included teaching

undergraduate and graduate level courses, student teaching supervision, graduate student supervision, providing departmental and University wide service, and conducting research.

September 1999- May 2001- Graduate Assistant--Leadership Grant, Office of Special Education. Responsibilities included maintaining and improving the University/School Partnership by facilitating the Professional Development Center model via defining and refining Master level research and internship roles as well as serving as a liaison between University of Connecticut Integrated Bachelor's/Master's students, faculty and administration and participating Professional Development Center faculty and administration.

June 1999- February 2000- Research Associate at the University of Connecticut. Conducted research study that focused on developing a screening method for identifying learning disabilities in pre-adolescents using psychosocial disability markers. Primary responsibilities included administering and interpreting the results from 50 comprehensive test batteries and assisting in manuscript development.

August 1998-May 1999- Learning Specialist at the University Program for College Students with Learning Disabilities (UPLD) at the University of Connecticut. Responsibilities included creating and implementing goals and objectives and creating and implementing learning strategies for undergraduate and graduate level learning disabled students. Responsibilities also include seeking out appropriate on-campus resources for students in need.

June 1997-June 1998- Special Education Teacher: The Mansion High School (Naperville, IL). Worked with adolescents of average to above average cognitive ability diagnosed with emotional and/or behavior disorders. Responsibilities included creating, maintaining and implementing curriculum, individualized education programs, as well as supporting the school's therapeutic milieu.

August 1995-June 1997- Special Education Teacher: Krejci Academy (Naperville, IL). In a self-contained special education setting, worked with students identified as having severe emotional /behavioral disorders. Most students were also identified as learning disabled (as a secondary diagnosis). Responsibilities included modifying curriculum to meet individualized education program requirements, writing individualized education programs, tracking goal progress, attending staffings and creating and implementing behavior management programs. Attended an eight hour training workshop in aggression management and was a member of the school's aggression management team.

Courses Taught:

____ RDG 517- Content Area Literacy in Middle and Secondary Schools (Graduate Level)- Instructor, fall of 2002 at Southern Connecticut State University.

RDG 565- Content Area Reading and Language Arts in Middle and Secondary Schools (Graduate Level)- Instructor, fall of 2002 at Southern Connecticut State University.

RDG 567-Assessment in Reading and Language Arts (Graduate Level)-Instructor, fall and spring 2003 and 2004 at Southern Connecticut State University.

RDG 568- Analysis and Diagnosis of Difficulties in Reading and Language Arts (Graduate Level)- Instructor, fall of 2002 at Southern Connecticut State University.

RDG 661- Advanced Remediation for Children with Reading and Writing Difficulties (Graduate Level)- Instructor, spring of 2003 at Southern Connecticut State University.

RDG 665-Reading Research (Graduate Level)- Instructor, spring, 2002-4 at Southern Connecticut State University.

EPSY 206- Introduction to Exceptionality- Instructor, fall of 2001 at the University of Connecticut.

EPSY 208- Exceptionality II- Instructor, fall of 2001 at the University of Connecticut.

EPSY 277- Student Teaching- Instructor, springs of 1999- 2002 at the University of Connecticut.

EPSY 333: Instructional Strategies & Adaptations for Students with Special Learning Needs (Graduate Level), Instructor, spring 2005 at the University of Connecticut.

EPSY 336- Individual Pupil Assessment (Graduate Level)- Instructor, spring and summer (session I) of 2002 at the University of Connecticut.

EPSY 381 (Graduate Level Seminar/Clinic)- Teachers as Professionals- The On-going Role of Inquiry and Reflection- Co-Instructor, fall 2000/spring 2001 at the University of Connecticut.

EGEN 294- Student as Learner (Seminar/Clinic)- Instructor in fall, 1999 at the University of Connecticut.

EDCI 326- Curriculum Laboratory- Instructor, spring 2005 to current

EDCI 388-TCPC Student Teaching (Graduate Level Seminar)- Instructor fall 2004-current at the University of Connecticut.

Scholarly Activity:

Alfano, M.P. (2006). An LD primer. *Smart Kids with Learning Disabilities*, 6, 6.

Spear-Swerling, L., Brucker, P.O., & Alfano, M.P. (2005). Teacher's literacy-related

- knowledge and self-perceptions in relation to preparation and experience. *Annals of Dyslexia*, 55, 266-296.
- Brucker, P.O., Spear-Swerling, L., & Alfano, M.P. (under review). Novice teachers' perceptions of the importance of field experience in the acquisition of course content. *Teaching and Teacher Education*.
- Alfano, M.P. (2004). *Teaching teachers to be strategic in their application of reading strategies*. Presentation made at the 12th Annual ATDN/CREC Conference on Serving Youth & Adults with Learning Disabilities, Hartford, CT, May 27, 2004.
- Alfano, M.P. (2003). *Nonverbal learning disability: An overview and implications for practice*. Presentation made at the 11th Annual ATDN/CREC Conference on Serving Youth & Adults with Learning Disabilities, Hartford, CT, May 27, 2004.
- Alfano, M.P. *Nonverbal learning disabilities: Characteristics and implications on social skill development*. Presentation made to Learning Disabilities Association of Connecticut, Inc, March 15, 2003.
- Dreyer, L.G. & Alfano, M.P. (2004). *Meaningful connections between assessment and instruction*. Presentation made at the 49th International Reading Association Annual Conference, Reno, NV, May 2-6, 2004
- Harkness, S., Hughes, M., & Alfano, M. (2002). *The GEAR-UP project: Strengthening academic transitions and attainment through relationship building*. Paper accepted to be presented, as part of a symposium titled: *After school programs for at-risk youth: Matching interventions to community needs*. Society for Research in Adolescence Annual Conference: New Orleans, LA.
- Campbell, P., Norlander-Case, K., Case, C.W., & Alfano, M. (2001). *Infusing the moral dimensions of teaching into teacher preparation*. Paper presentation Teacher Education Division, Council for Exceptional Children Annual Conference. St. Pete Beach, FL
- Campbell, P., Kelleher, J., Alfano, M., & Ryan, M. (2000). *Student assessment: Reflected reality or utopian dream?* Paper presentation National Network for Educational Renewal. The University of Southern Maine: Portland, ME.
- Austin, S.G., Ford, J.F., Cherkes-Julkowski, M., Alfano, M., Hall, C., & Sheehan, J.

(1999). *Screening for learning problems in pre-adolescents using educational and psychosocial indicators*. Paper supported by the Donaghue Foundation. The University of Connecticut: Storrs, CT.

Professional Work In Schools:

Comprehensive Academic-Achievement Psycho-educational Evaluations- Various local and regional school districts & private families; on-going.

Reading Program Consultant- Area Cooperative Educational Services (ACES)-2002-2004.

New Haven Public Schools- Assessing minority populations: Interpreting assessment results relative to minority populations- March 24, 2004.

Meriden Public Schools- Differentiated instruction: Team planning an application of strategies for general and special educators- March 19, 2004.

Wilton Public Schools- Improving Reading Instruction For Students With Exceptionalities-February 2004

ACES Mill Road School- Using the Fundamentals of Literacy to Inform The Strategic Teaching of Reading- January 2004.

ACES Mill Road School- Lexia Learning Systems, Presented by Ludden, S., Dorne, J., Crocker, D., & Alfano, M. (consultant)- November 2003.

ACES Whitney North High School- Using The Fundamentals of Literacy Acquisition To Inform Classroom Instruction- August 2003.

Wilton Public School System._Introduction to Students with Autism. A presentation made to the para-professionals of the. November, 2001.

Invited Presentations/Reviews:

Alfano, M. (2005). *LD 101*. Invited presentation, Smart Kids with Learning Disabilities, Fairfield, CT.

Alfano, M. (2004). *Struggling to learn: What to do when reading and learning break down*. Smart Kids with Learning Disabilities, Wilton, CT.

Invited Reviewer: International Dyslexia Association, 57th Annual Conference.

Ad Hoc Reviewer: *The Reading Teacher*; *The Journal of Adolescent and Adult Literacy*-

Grant Related Activity:

Alfano, M.P. (2004). *Teacher Certification Program for College Graduates Pilot*

Program for Recruiting U.S. Minority Graduate Students. Graduate Recruitment Grant: \$2,500.

Kelleher, J. & Alfano, M.P. (2005). *Teacher for a New Era: Faculty Grant.* \$8000.00.

September 1999-August 2002- Project Co-Director, GEAR-UP, University of Connecticut, Neag School of Education. Was responsible for all School of Education initiatives in regards to large federal grant implemented within the Hartford Public School system. Responsibilities also included quantifying grant progress to officials in Washington D.C., supervising a staff of undergraduate and graduate students, and maintaining an on-going data-base.

Academic Honors:

Doctoral Dissertation Fellowship Award Recipient, University of Connecticut
Lisa Pappanikou Glidden Memorial Scholarship Recipient
University of Connecticut Graduate Student Fellowship.
Phi Kappa Phi National Collegiate Honor Society.
Dean's List.

Military Experience:

United States Marine Corps- DD 214 furnished upon request.

References:

References are available upon request from higher education and k-12 school-based administrators and faculty. Also available from private families with whom I have consulted with in the past.



University of Connecticut
Office of the Provost

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

TO: Members of the Board of Trustees

FROM: Peter J. Nicholls, Provost and Executive Vice President for Academic Affairs *Peter Nicholls*
Peter J. Deckers, Executive Vice President for Health Affairs *PJD*

DATE: April 10, 2007

**SUBJECT: APPROVAL OF THE REVISED POLICY ON INDIVIDUAL CONFLICTS
OF INTEREST IN RESEARCH AND THE REVISED POLICY ON
FACULTY CONSULTING**

RECOMMENDATION:

That the University of Connecticut Board of Trustees approve the attached Policy on Individual Conflicts of Interest in Research and Policy on Faculty Consulting. These policies apply to all units of the University.

BACKGROUND:

At the University of Connecticut, as at all major public research universities, the faculty's ability to consult with private industry, non-profit institutions and government agencies results in increased research activity and enhanced support for economic development. Such consulting also provides an opportunity for the faculty's professional development. Without such opportunities, the university's ability to recruit and retain faculty of the highest quality would be impaired.

Such consultation must take place in a manner that protects the University's interests and intellectual property, adheres to State of Connecticut regulations on ethics and conflicts of interest, and does not divert faculty from fully addressing their responsibilities to the University.

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web: <http://provost.uconn.edu>

We are pleased to forward to you for your consideration the revised and clarified University of Connecticut Policy on Individual Conflicts of Interest in Research and Policy on Faculty Consulting. The responsibility for review and clarification of these policies was given by us to a Working Group on External Activity, which included as its members faculty and administrators. (Membership attached.) The Group's primary responsibilities were to ensure that the University's policies governing faculty external activity demonstrate ever greater accountability and to ensure responsible management of all such activities. For the first time, the proposed policies will apply to all University campuses, including Storrs and the regional campuses, the School of Law, the School of Social Work and the University of Connecticut Health Center. Implementation of these policies may vary in a manner that reflects different reporting structures and specific standards developed by the Provost and Executive Vice President for Academic Affairs and Executive Vice President for Health Affairs.

The Committee proposed only two substantive changes to the Individual Conflicts of Interest in Research Policy. They are clarification of differences between the Federal guidelines and the more stringent State laws that govern relationships with non-profit, non-governmental agencies and honorarium received from such agencies, and the addition of the requirement that an independent conflict monitoring and audit plan be implemented by the University's Office of Audit, Compliance and Ethics. Additional procedural changes were made to ensure tighter management of this process, including the requirement for more frequent financial disclosures by Investigators; clarification of final signatory authority; and, the articulation of specific factors that may increase the risk of conflicts.

The proposed substantive changes to the Policy on Faculty Consulting include application of the policy to faculty members only; a change in emphasis *from* guaranteed minimum or maximum number of consulting days *to* the standard of having executed all responsibilities of one's state position; the requirement that the Provost and Executive Vice President for Academic Affairs and the Executive Vice President for Health Affairs submit an annual report on consulting to the Joint Audit and Compliance Committee; and the requirement that an independent monitoring and auditing plan be implemented by the University's Office of Audit, Compliance, and Ethics. Procedural changes include separation of policies on consulting and Academically Related Activity; and the requirement to complete a year-end reconciliation report.

These revised policies have been shared with faculty governance bodies including, on the Storrs campus, the Executive Committee of the Graduate Faculty Council, the Executive Committee of the Faculty Senate, and the Dean's Council, and, at the Health Center, a Joint Faculty Meeting of the School of Medicine and the School of Dental Medicine.

Attachments

Working Group on External Activity

Carlson, Bruce, Chair
Chief of Staff, UCHC
Managing Director, Office of Technology
Commercialization

Adams, Nancy *
Director, Office of Audit, Compliance and
Ethics; Professor, Medicine

Albert, Arlene *
Professor, Molecular and Cell Biology

Basu, Ashis *,
Professor, Chemistry

Boyer, Mark *
Professor, Political Science

Brody, Harold *
Distinguished Professor
Chemical Materials and Biomolecular
Engineering

Brohinsky, Scott
Director, University Relations Office

Caron, Joan *,
Director of Research Compliance, Office of
Audit, Compliance and Ethics
Assistant Professor, Department of Cell
Biology

Eaton, Brian
Associate Vice President, Human
Resources, UCHC

Garber, Gail
Director, Governmental Relations

Goldberg, Jon *,
Professor, Oral Rehabilitation, Biomaterials
and Skeletal Development; Member of the
UCHC Board of Directors

Hewett, Sandra *,
Associate Professor, Neuroscience

Krisst, Ilze,
Assistant Vice Provost, Research
Foundation

Lombardo, Joann,
Director of Governmental Relations for
Health Affairs

Marth, Ed,
Executive Director
AAUP, UConn Chapter

McCarthy, Robert *
Dean, School of Pharmacy

Rubin, Rachel
Director of Compliance, Office of
Audit, Compliance and Ethics. University
Ethics Officer

Wetstone, Scott *
Director, Health Affairs and Policy Planning
Associate Professor, Department of
Community Medicine and Health Care

White, William *
Professor, Medicine

Wolfson, Les *
Department Head and Professor,
Neurology

* Faculty member



University of Connecticut

POLICY ON INDIVIDUAL CONFLICTS OF INTEREST IN RESEARCH

DECEMBER, 2006

1. BACKGROUND

The investigators and staff of the University of Connecticut understand that their primary responsibility is to the University and to its mission. Integral to that mission is the pursuit of research excellence and the dissemination of knowledge that emerges from that research. Participation in activities of professional associations; industry collaborations; and other public and private entities can assist in meeting these expectations, while also serving the academic interests of the University. In addition, such participation brings enhanced national and international status to the University and the State. Nevertheless, serious consideration needs to be given to the amount of time and effort that can appropriately be devoted to such pursuits while fulfilling all commitments to the University.

Over the past decade, the opportunity for University faculty and staff to engage in external professional and entrepreneurial activities has increased markedly, and is encouraged by the state and federal governments because of the resulting economic development benefits. The State of Connecticut has determined that the commercialization of University research and technology transfer are critical to Connecticut's long-term economic growth. To support these objectives, the Governor and General Assembly last year appropriated \$4M to the University to increase entrepreneurial activities and attract eminent research faculty. In addition, the Legislature appropriated funds to support stem cell research at state higher education institutions with expectation of economic development benefits for the State. At the same time, scrutiny of such activities has grown, including state and federal regulations dealing with avoiding and managing potential and existing conflicts of interest. In order for the University of Connecticut to maintain public trust and support in carrying out its mission, including all external activities, the University must demonstrate that it subjects itself to the highest standards of ethical behavior.

2. PURPOSE

This Policy on Conflicts of Interest in Research (hereinafter, the "Policy") provides guidelines for relationships between the University and its investigators with private industry, federal and state government, and the nonprofit sector that will help to assure the primacy of academic integrity. The University encourages investigators to engage in appropriate outside relationships, and members of the University community are expected to avoid conflicts of interest that have the potential to directly and significantly affect the University's interests, compromise objectivity in carrying out University responsibilities, or otherwise compromise performance of University responsibilities, unless such conflicts are disclosed, reviewed, and managed in accordance with this Policy. The fact that an individual

has a conflict does not imply that the conflict is unethical or impermissible; it means that the relation of the conflict to the individual's University responsibilities must be carefully examined because conflicts – real or perceived – may impair performance of the University's missions of teaching, research, and public service, as well as jeopardize public trust and support.

3. APPLICABLE FEDERAL REGULATIONS

At present, there are three sets of federal regulations (DHHS/PHS/NIH, NSF, and FDA) which serve as the basis for this policy. Copies of these regulations are available at the following web sites.

Federal Regulations:

The U. S. Public Health Service (PHS) *Objectivity in Research*

The National Institutes of Health (NIH) Office of Extramural Research:

Conflict of Interest <http://www.utsystem.edu/ogc/ETHICS/CONFLICT.HTM>

The National Science Foundation (NSF) Investigator Financial Disclosure

Policy <http://www.nsf.gov/pubs/stis1996/iin117/iin117.txt>

The Food and Drug Administration (FDA) Guidance for Clinical Investigators on COI Disclosure

<http://www.fda.gov/oc/advisory/conflictinterest/guidance.html>

In summary, all three federal policies and regulations stipulate:

- a. Annual financial disclosures on the part of ALL research investigators;
- b. Institutional certification that all proposed and ongoing NIH/NSF/FDA sponsored research is either free of COI, or that such conflicts are adequately managed;
- c. The implementation of an institutional mechanism for managing conflicts of interest in research;
- d. Keeping NIH/NSF/FDA informed if the University is unable to satisfactorily manage actual or potential conflicts of interest;
- e. Sanctions where appropriate; and,
- f. Maintenance of records relating to this policy for at least three years following the termination of a given project.

The definition of "Significant Financial Interest" differs amongst NIH, NSF and FDA. The differences are primarily with the amount of money (equity, payments, etc.) that is considered a COI. The University follows the guidelines of NIH for determination of a financial COI, with additional guidance from the FDA and NSF.

For example, regardless of the source of funding, a COI exists when:

- The investigator (or family member) has a financial interest in a sponsor (e.g. pharmaceutical company; see Definitions) that exceeds the limits defined below, and
- The investigator is performing studies that are related to the interests of this sponsor.

4. DEFINITIONS

Business means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes.

Clinical Investigation (DHHS) means any experiment in which a drug is administered or dispensed to, or used, involving one or more human subjects. An experiment here is any use of a drug, except for the use of a marketed drug in the course of medical practice.

Clinical investigation (FDA) means any experiment that involves a test article and one or more human subjects, and that either is subject to requirements for prior submission to the Food and Drug Administration under section 505(i) or 520(g) of the act, or is not subject to requirements for prior submission to the Food and Drug Administration under these sections of the act, but the results of which are intended to be submitted later to, or held for inspection by, the Food and Drug Administration as part of an application for a research or marketing permit. The term does not include experiments that are subject to the provisions of part 58 of this chapter, regarding non-clinical laboratory studies.

Conflict of Interest means a situation in which significant financial interests in a business, or other personal considerations provided by a business, may compromise, or have the appearance of compromising, an investigator's professional judgment in conducting or reporting research, the results of which could affect the aforementioned business, either directly or indirectly.

A Conflict of Interest does not necessarily arise in connection with the following activities, and this Policy does not automatically prohibit activities such as:

- equity participation in a corporation;
- service as an officer in a corporation;
- service on a governing board;
- service on a scientific advisory board;
- receipt of funding from an external entity in which an employee has an interest;
- acceptance of publication royalties, royalties under the terms of the University Royalty Distribution Policy, or honoraria for papers and lectures; or
- service to outside educational, professional, scientific, artistic, cultural, civic, business, or other organizations, which service enhances the value of the employee to the University, and does not adversely affect the employee's primary commitment to the University.

An Apparent Conflict of Interest arises when an employee is involved in a particular matter, and the circumstances are such that a reasonable person with knowledge of the relevant facts would question the impartiality of the employee in the matter.

Human Subject (DHHS regulations "Protection of Human Subjects" 45 CFR Part 46, as administered by OHRP) means a living individual about whom an investigator conducting research obtains:

1. Data through intervention or interaction with the individual, or
2. Identifiable private information.

Human Subject (FDA regulations 21 CFR 50) means an individual who is, or becomes, a participant in research, either as a recipient of the test article or as a control. A subject may be either a healthy human or a patient.

Immediate Family means the investigator's spouse, minor children, and any other persons living in the same household.

Intellectual Property means a product of the intellect that has commercial value, including copyrighted property such as literature or artistic works, and ideational property such as patents, appellations of origin, business methods, and industrial processes.

Investigator means the principal investigator and any other person at the University who is responsible for the design, conduct or reporting of research, and the investigator's immediate family. This shall include faculty and research staff (research associates and assistants, postdoctoral fellows, graduate students, visiting scientists, and medical or dental students engaged in research conducted in the department).

Participate means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.

Research (HHS regulation 45 CFR 46.102(d)) means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

Significant Financial Interest (NIH/FDA/NSF) means anything of monetary value, including, but not limited to:

1. An equity interest that when aggregated for the investigator and the investigator's spouse and dependent children exceeded \$10,000 over the last 12 months, and/or is expected to exceed \$10,000 in value over the next 12 months as determined through reference to public prices or other reasonable measures of fair market value; or
2. An equity interest that represents equal to or more than 5% ownership interest in any single entity; or
3. Salary, royalties or other payments not from the University for services (e.g., consulting fees or honoraria) that when aggregated for the investigator and the investigator's spouse and dependent children over the last 12 months exceeded \$10,000 or are expected to exceed \$10,000 over the next 12 months; or
4. Compensation made to the investigator in which the value of compensation could be affected by the outcome of the study/research project. This requirement applies to all covered studies/research projects, whether ongoing or completed as of February 2, 1999;

- or
5. Intellectual property rights (e.g., patents, copyrights and royalties from such rights); or
 6. A proprietary interest in the tested product, including, but not limited to, a patent, trademark, copyright or licensing agreement; or
 7. Significant payments of any sort made by the sponsor of a covered study/research project to the investigator or the investigators' institution to support activities of the investigator exclusive of the costs of conducting the study or other studies, (e.g., a grant to fund ongoing research, compensation in the form of equipment). This includes payments over the last 12 months, and an estimate of the next 12 months.

The term does not include:

1. Salary, royalties, or other remuneration from the University; or
2. Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities, (Refer to Sec. 14.2); or
3. Income from service on advisory committees or review panels for public or non-profit entities, (Refer to Sec. 14.2); or
4. Examples of specific federal exemptions from COI, such as the NIH exemption for Phase I SBIR and STTR grants.

Sponsor means an individual company, or any which takes responsibility for the initiation, management, and/or financing of a clinical trial, or any research project, but who does not actually conduct the investigation.

Technology means memorialized knowledge, experience, information, instructions, and data including, without limitation, formulae and formulations, devices, compounds, drugs, processes, techniques, methods, materials, discoveries, ideas, developments, procedures, results, reports, unpatented inventions, and patent applications.

Technology Transfer means the movement of a new technology from its creator or researcher to a user, especially as products or publications.

5. KEY ELEMENTS OF POLICY IMPLEMENTATION

The University Conflicts of Interest Policy is designed to identify actual or potential sources of conflicts of interest in research, and to either eliminate, reduce or manage such conflicts. As such, the following sub-sections outline the procedures which will be followed to assure compliance with this policy, and all applicable state and federal regulations related to conflicts of interest.

Due to differences in the reporting structures, the implementation procedures in Section 6 are specific to the UCHC; those in Section 7 are specific to the Storrs campus, all regional campuses, the School of Law, and the School of Social Work.

6. IMPLEMENTATION AT THE HEALTH CENTER

6.1 Notification of Investigators

A copy of this policy is given to all persons upon hire and, subsequently, upon request by contacting the UCHC Corporate Compliance Office. The policy also resides on the UCHC

website under "UCHC Policies". The UCHC Corporate Compliance Office, in cooperation with the Human Resources Department, assures proper distribution to all affected persons. Material changes to the policy will be accessible on the UCHC website.

6.2 Financial Disclosure Procedures

The Office of Research Compliance annually distributes the COI Financial Disclosure Form (attached as Appendix 1) to UCHC Department Administrators in the Schools of Medicine and Dental Medicine for distribution to all investigators engaged in research conducted in the department. Annual distribution of disclosure forms occurs in May/June for the previous July 1 – June 30 calendar year.

Department Administrators are responsible for assuring that completed forms are forwarded to the Office of Research Compliance. From the COI Financial Disclosure Forms, the Director of the Office of Research Compliance determines whether a COI exists.

If a COI exists, the Director of the Office of Research Compliance requires the investigator to complete a Supplemental Information Form (attached as Appendix 2). The Office of Research Compliance presents the case to the COI Management Committee to either manage or eliminate the conflict, as noted in Section 6.3.

Investigators are responsible for ensuring that an updated UCHC COI Financial Disclosure Form shall be completed and filed at any time during the year when their significant financial interests may change.

Whenever an investigator submits a proposal for funding of a new or continuing project, the investigator signs a UCHC Statement of Commitments and Proposal Approval form thereby acknowledging that financial disclosure forms have been submitted and that either no COI exists or any COI has been disclosed and managed per the UCHC policy. If a COI is noted as being present or pending review, the Associate Vice President for Research Administration and Finance will notify the Office of Research Compliance. The Office of Research Compliance determines whether a COI management plan is in place. If not, a COI Disclosure Form is completed by the investigator and sent to the Office of Research Compliance for review. Once a proposal is funded, expenditures on that account cannot be accessed until the COI is managed or eliminated.

When research involves human subjects, the investigator must disclose COI(s) to the IRB with every submission of protocols. If an investigator has a COI, but a management plan is not on file with the IRB, then the IRB will refer this information to the COI Management Committee, and hold approval of the protocol until the COI Management Committee makes a determination.

In the event that UCHC is unable to resolve an identified COI, the Director of Research Compliance will notify, in writing, the Associate Vice President for Research Administration and Finance of this, and the facts surrounding the case. In the event that notification of research sponsors is required, the Director of the Office of Research Compliance will ensure that this notification occurs.

6.3 Resolution and/or Management of COI

The COI Management Committee is appointed annually by the Executive Vice President for Health Affairs, upon recommendation of the Deans of the Schools of Medicine and Dental Medicine.

The COI Management Committee is composed of five (5) senior faculty, one of whom will be appointed as chair, and one community member. Responsible efforts are made to have representation on this committee of faculty who have experience in industrially sponsored research, as well as basic and clinical research. The Director of the Office of Research Compliance serves as an ex-officio member of the Committee.

The COI Management Committee determines whether the financial interest identified by the investigator could affect decisions related to either the design, conduct, or reporting of research. The Committee then determines what conditions or restrictions, if any, should be imposed by the UCHC to manage such conflicts; or it may decide that the probability that the financial interest would affect the participation of the individual is too remote to warrant any specific conditions or restrictions. The Committee will be authorized to request any other information that it deems necessary to assist it in this determination.

Examples of conditions or restrictions that might be imposed to manage or eliminate actual or potential COI include:

1. Public disclosure of significant financial interests;
2. Monitoring of the individual and/or their work by independent reviewers;
3. Modification of the research;
4. Disqualification from participation in all or a portion of the activities that are the subject of the COI;
5. Divestiture of the financial interests; or,
6. Severance of relationships that create actual or potential conflicts.

If a COI is identified as a result of the procedures outlined in Section 6.2, the COI Management Committee is responsible for:

- Notification of the researcher of the management plan designed by the Committee for his/her COI;
- Notification of the Office of Research and Sponsored Programs to assure that no spending of funds from involved grants occurs without prior approval of the COI Management Committee;
- Notification of funding sponsors as required;
- Notification of the Human Subjects Protection Office of COI management plans when the research involves human subjects.

The Office of Research Compliance will notify the above individuals, offices, and sponsors.

Reasonable efforts will be made to maintain the privacy of information gathered in the Committee's deliberations, within the limits imposed by applicable laws and regulations.

6.4 Maintenance of Records

All records related to the implementation of this policy, e.g., COI Financial Disclosure Forms, Supplemental Information Forms, minutes of the meetings of the UCHC COI Management Committee, notifications to funding agencies, etc., shall be maintained in the Office of Research Compliance. These records shall be securely maintained. Research COI records must be maintained for a period of at least three years following the termination of the project. COI records shall be subject to periodic review for compliance with this policy by the UCHC Compliance Office, or by any agency, per the regulations cited in Section 4 above.

6.5 Notification of Research Sponsors, Federal Agencies and Private Foundations

The Office of Research Compliance will notify research sponsors, federal agencies and private foundations, as may be required by policies or agreements between UCHC and funding sources, of any actual or potential conflicts of interest; including any measures taken to reduce, manage or eliminate such conflicts.

7. IMPLEMENTATION AT THE STORRS AND REGIONAL CAMPUSES

7.1 Disclosure of External Interests

Each investigator must disclose all of his/her significant financial interests (including those of the spouse and dependent children) that would reasonably appear to be affected by the instructional, research, or service activities funded or proposed for funding by an external sponsor, agency, or organization, or in entities whose financial interests would reasonably appear to be affected by such activities.

Disclosures of any conflict of interest shall be made annually, and at the time of submitting any proposal for external funding, or immediately upon request by the University.

Disclosures of any conflict of interest shall be made by completing the Significant Financial Interest Review Form. A new form must be completed for each proposal to be submitted for external funding, and the Significant Financial Interest Review Form will be made a part of each proposal submitted to the University. A copy of this form may be obtained from the Office for Sponsored Programs or the Office for Sponsored Program's website: <http://www.osp.uconn.edu/>. Additionally, the form may be found on the Research Compliance website: <http://www.compliance.uconn.edu/>.

The Significant Financial Interest Review Form must be updated annually during the period of the award, and at any time new reportable significant financial interests are recognized. When research involves human subjects, the Investigator must disclose COIs to the Institutional Review Board (IRB) with every submission of protocols. If an Investigator has a COI, but a management plan is not on file with the IRB, then the IRB will refer this information to the COI Committee and hold approval of the protocol until the Committee makes a determination.

7.2 Responsibility for Implementation of This Policy

The Provost is responsible for overseeing the implementation of the Policy. Possible sanctions for violation of the Policy, including furnishing false, misleading, or incomplete information, can range from administrative intervention to termination of employment, all in accordance with applicable University policies. The Provost, or his/her designee, will review all breaches of the evaluation and review process, including:

- a. failure to comply with the process (by refusal to respond, by responding with incomplete or knowingly inaccurate information, or otherwise) ;
- b. failure to remedy conflicts; and
- c. failure to comply with a prescribed monitoring plan.

The Provost has delegated the review process to the Office of the Vice Provost for Research and Graduate Education (hereinafter referred to as OVPRGE). The Assistant Vice Provost for Research/Director of Research Compliance does an initial administrative review, and refers the matter to the Conflicts of Interest Committee (COIC).

7.3 The Conflict of Interest Committee

The Conflict of Interest Committee (COIC) is appointed by the VPRGE, and serves as the resource with respect to matters involving conflicts of interest, and involving the identification and management, mitigation, or elimination of specific conflicts of interest. The COIC shall be chaired by the VPRGE or his/her designee. It shall also include not less than five (5) additional appointed members with broad representation across the University, and one community member who is not a University employee. Members shall serve three-year staggered terms.

7.4 Conflict Management

If the COIC identifies a conflict, it will resolve the conflict by management, mitigation, or elimination. Frequently, the mere disclosure of a conflict is sufficient management. However, certain situations may require the formation of a Management Committee.

7.5 Restrictions

Examples of conditions or restrictions that might be imposed to manage, mitigate, or eliminate conflicts of interest include, but are not limited to:

- public disclosure of significant financial interests, including disclosure on manuscripts submitted for publication, on abstracts and posters submitted for presentation, and on informed consent documents;
- monitoring of instruction, research, or service activities by independent reviewers;
- modification of the instruction, research, or service activity plan;
- disqualification of an individual from participation in the portion of the externally funded activity that would be affected by that individual's significant financial interest;
- divestiture of an individual's significant financial interest;
- relinquishment or reassignment of duties;
- severance of relationships or holdings that create conflicts.

7.6 Records for the COIC

All Project-Specific Evaluation Forms and all records of actions taken to resolve or mitigate conflicts of interest will be maintained by the Assistant Vice Provost for the COIC for a period of at least three (3) years beyond the termination or completion of the sponsored award to which they relate, or until the resolution of any action involving those records, whichever is longer.

7.7 Reporting Conflicts of Interest to Funding Sources

The Office of the Vice Provost for Research and Graduate Education shall be responsible for timely notification of research sponsors as may be required by the sponsors' policies, or agreements between the University and the sponsors, of any actual or potential non-resolved conflicts of interest, including any measures taken to reduce, manage, or eliminate such conflicts.

8. APPEALS

In situations where an investigator disputes the decision of a COI Management Committee, the investigator may request to present his case to the COI Management Committee in person. An investigator who disagrees with the COI Committee's findings may appeal in writing to the Designated Official (Executive Vice President for Health Affairs at UCHC/Vice Provost for Research and Graduate Education at the Storrs Campus). An appeal may be made in regard to whether the professional judgment of the investigator is likely to affect his or her conduct of research, but investigators may not contest the terms and conditions of this policy (e.g., they may not contest the prohibitions relating to significant financial interests, nor the remedy for such interests). One copy of the appeal must be sent to the Designated Official and another copy of the appeal must be sent to the COI Committee. The Designated Official may agree with the COI Committee's findings and/or recommendations, or may amend such findings and/or recommendations. The Designated Official shall promptly notify the investigator and the COI Committee in writing of the conclusions of his or her review, including the actions that must be taken by the investigator to comply with this policy. Upon receipt of the Designated Official's written report, the investigator must promptly comply with the actions specified in that report.

9. PROHIBITED ACTIVITIES

Consistent with the regulations outlined in Section 4, it is the policy of the University that conflicts of interest in research may be allowable, provided that an acceptable plan of management can be developed and implemented in situations where such conflicts arise, as long as such management plans are not in conflict with applicable state and federal regulations.

10. ASSESSMENT OF RISK

10.1 The Review Process, Including Risk Assessment by the COIC

Upon referral, the Committee shall review all material related to a potential or apparent conflict of interest, considering the following:

Risk Factors:

- a. Risk increases with amount, i.e., the larger the amount of financial interest, the greater the risk;
- b. Risk on equity holding is higher than risk associated with cash interests;
- c. Personal compensation and research support increases risk;
- d. Participation of research trainees and graduate students on projects increases risk;
- e. Human subjects involvement increases risk;
- f. Financial interest in the outcome may compromise the technical management of the project and the use of facilities;
- g. The leaders of the project have the most responsibility.

Risk Levels:

- a. Low level – Consulting interest only: Solve with public disclosure on publications.
- b. Medium level – Consulting and Research: Disclose interest to participating graduate students and their thesis committees; Reveal interest to IRB committee if clinical study and to patients.
- c. High level – Equity holdings: All the above, plus some limits on trading during the period of the conflict.

11. SANCTIONS

Sanctions and penalties for those who knowingly and willfully disregard this policy, or refuse to comply with its terms, will be determined by the appropriate responsible Institutional Official in consultation with the Dean of the appropriate School with advice from the Investigator(s) Department Head. Sanctions include, but are not restricted to:

- Letter of reprimand
- Notification to professional and/or scientific societies, funding agencies and/or professional journals
- Reassignment of duties
- Termination of grant support
- Adjustment of research space allocation
- Adjustment of salary
- Suspension
- Dismissal

12. EXAMPLES OF ACTIVITIES WHICH ARE NOT A COI

The following synopsis is presented as another educational resource to the University research community. It is simply a set of different scenarios which have been gleaned from various institutional policies and publications about conflicts of interest in research. For purposes of this policy, the definition of conflict of interest is as stated in Section 4 above.

Activities that are not a COI

- Receiving royalties for copyrights and patents obtained in accordance with University policy and State law;
- Receiving honoraria for giving seminars or guest lectures, (Refer to Sec. 14.2);
- Duty to professional organizations, peer review panels, publication boards, and accreditation bodies, (Refer to Sec. 14.2);
- Ownership of company where there is no relationship to University responsibilities;
- Ownership of mutual funds which may invest in companies that support the investigator's research.

13. AUDIT PROCEDURES

In order to ensure that all declarations are being made and conflicts managed, each campus will implement a relevant audit program through the University's Office of Audit, Compliance and Ethics.

14. STATE OF CONNECTICUT

14.1 Ethics for Public Officials

Connecticut General Statutes, Sec. 1-79 through 1-89 stipulates what types of activities are allowable for state employees who may have financial interests in companies which do business with the State of Connecticut. <http://www.ethics.state.ct.us/>.

There are state regulations that deal with research activities. If investigators are doing research and receive any investment opportunities or payment directly from a company, the investigator needs to make sure that they are in compliance with the State Code of Ethics.

For example, as required by the Connecticut General Statutes, investigators may not engage in research activities sponsored by businesses in which those investigators have an ownership interest equaling 5% or more of the outstanding stock (or other ownership interests) of that business without going out to public bid.

14.2 Differences with Federal Regulations

The federal (NIH/FDA/NSF) definition of significant financial interest (Section 3) exempts "income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities" and "income from service on advisory committees or review panels for public or non-profit entities".

The University policy acknowledges that income from non-profit entities may create an appearance of conflict of interest even when received for performing seminars, lectures, teaching engagements, or service on an advisory committee/review panel. Therefore, such income must be reported to, and reviewed by, the University.

Income from U. S. governmental agencies (federal, state or local) for seminars, lectures, teaching engagements, or service on an advisory committee/review panel is exempt from review under the University policy.

Policy on Faculty Consulting

April 10, 2007

1. INTRODUCTION

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

Consulting is an activity performed by a faculty member for compensation as a result of his/her expertise while not acting in his/her official capacity as a State employee (i.e. in his/her own time.) The State of Connecticut Code of Ethics prohibits state employees from obtaining any personal financial benefits, beyond their earnings paid by the State, due to their State position. It does permit consulting if such an engagement is obtained as a result of the faculty member's own expertise. The University's Laws and Bylaws prohibit faculty from consulting on "time due to the University".

2. PURPOSE

This Policy describes how faculty may participate in consulting activities while complying with the State of Connecticut Code of Ethics, the University of Connecticut Ethics Statement, the University's Code of Conduct and the University's Laws and Bylaws.

3. SCOPE

This policy applies to all faculty paid by the University of Connecticut or University of Connecticut Health Center.

4. DEFINITIONS

- a. consulting – providing services, advice and similar activities for compensation, based on a state employee's professional expertise, while not acting as a State employee.
- b. contracting entity – The entity engaging and compensating the faculty member for the consulting activity.
- c. 'time due to the University' – Any time necessary for successfully carrying out the duties assigned to and for which a State employee was hired. This includes both sufficient time to perform assigned duties as well as sufficient opportunity to meet with other faculty, staff and students.

5. POLICY

- a) All faculty must receive written permission in advance from their supervisor and the Provost or Executive Vice President for Health Affairs, (whoever has jurisdiction over that faculty member), or his/her designee, in order to engage in consulting activities. Requests for such permission will describe the activity, its contracting entity, dates and times to take place, and an estimate of the total time it will take to complete.
- b) Permission to consult may only be granted when:
 - The request to perform the consulting activity occurs due to the faculty member's expertise, not the faculty member's official State position.
 - The faculty member is currently, fully performing his/her State duties.
 - The consulting activity will not interfere with a faculty member's future ability to perform his/her duties and the total amount of consulting in any fiscal year will not exceed an average of one day per week.
 - The faculty member is not competing with the University for work that may be perceived as being work the University would choose to perform.
 - The consulting contributes to the continued development of the faculty member's expertise.
- c) A separate request to consult is required for each fiscal year (July 1 – June 30).
- d) The disclosure of proprietary information (i.e. intellectual property owned in part or in total by the University) is prohibited unless specific permission is granted (see the University's policies on intellectual property and technology transfer.)
- e) The faculty member must inform the contracting entity that s/he is not acting as a State employee while performing the consulting activity and is not covered by any State liability protection.
- f) Permission to use State resources while consulting must be provided in writing, in advance, and use of such resources must be fully reimbursed to the University of Connecticut.
- g) When compensation exceeds the threshold established in the Policy on Individual Conflict of Interest in Research, it must be disclosed in any financial statements made under that policy.
- h) All faculty who were engaged in a consulting activity in a given fiscal year must complete a year end reconciliation report describing all consulting activities they have engaged in including the actual amount of time spent on each activity and the total compensation received for such consulting (including travel expenses.)

- i) The Provost and the Executive Vice President for Health Affairs will submit annual reports of consulting activities for the faculty under their respective jurisdictions to the Joint Audit and Compliance Committee of the Board of Trustees.
- j) The University's Office of Audit, Compliance and Ethics will develop and implement a plan of regularly recurring monitoring and audits to ensure the complete and accurate implementation of this policy.

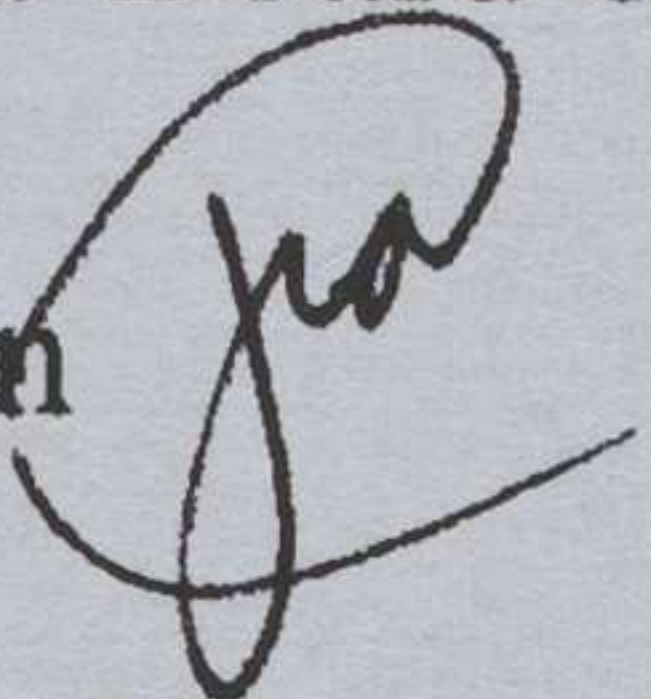


University of Connecticut
Office of the President

Philip E. Austin
President

April 10, 2007

TO: Members of the Board of Trustees

FROM: Philip E. Austin 

SUBJECT: Appointment to Canvassing Board – Election of Alumni Trustee

RECOMMENDATION:

That Ronald C. Schurin be designated the Board of Trustees staff representative to the Canvassing Board for the Election of the Alumni Trustee.

BACKGROUND:

Under the provisions of the State Statutes (Sec. 10a-103), the Board of Trustees appoints one member of a three-person board which supervises the election of alumni Trustees. It has been the custom of the Board to name a Trustee staff representative to this post.

The following is an excerpt from the State Statute:

Sec. 10a-103 (Formerly Sec. 10-118) Appointment of Trustees.

“Such election shall be conducted by mail prior to September first under the supervision of a canvassing board consisting of three members, one appointed by the board of trustees, one by the board of directors of the alumni association of the university and one by the president of the university.”

An Equal Opportunity Employer

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

Telephone: (860) 486-2337
Facsimile: (860) 486-2627
e-mail: philip.austin@uconn.edu

OFFICE OF THE REGISTRAR, MARCH 21, 2007
Commencement 2007 Degree Conferrals

TO: President's Office
 FROM: Kathy Shipton *Kathy Shipton*
 Assistant Registrar

TO: President's Office		#1	#2	#3	#4	#5
FROM: Kathy Shipton <i>Kathy Shipton</i> Assistant Registrar		Conferred 2005-2006	Conferred 8/24/06	Conferred 12/17/06	Estimated 5/07	Est. Total 2006-2007
TOTALS	Assoc. Applied Science	24	2	9	13	24
	Bachelor	4231	552	809	3190	4551
	Master	1374	381	251	636	1268
	Prof. Diploma in Ed.	90	13	6	38	57
	Doctoral	394	108	102	209	419
	Law	267	13	22	184	219
	Health Center	121	0	0	113	113
	GRAND TOTAL:	6501	1069	1199	4383	6651
UNDERGRADUATES	<u>Bachelor Degrees:</u>					
	Agriculture & Natural Resources	227	21	67	236	324
	Allied Health	85	22			22
	Business	595	41	109	487	637
	Continuing Studies	333	87	132	175	394
	Education	167	20	9	159	188
	Engineering	254	16	79	206	301
	Family Studies	213	22			22
	Fine Arts	130	11	25	80	116
	Liberal Arts & Sciences	1972	307	387	1586	2280
	Nursing	138	1	0	146	147
	Pharmacy	105	4	0	98	102
	Combined Business/Engineering	12	0	1	17	18
	<u>Total Bachelor:</u>	4231	552	809	3190	4551
	Assoc. Applied Science:	24	2	9	13	24
	<u>Total Undergraduates:</u>	4255	554	818	3203	4575
GRADUATE / PROFESSIONAL	Master of Arts	500	111	51	240	402
	Master of Science	330	128	110	110	348
	Master of Business Adm.	288	90	68	132	290
	Master of Engineering	0	0	1	0	1
	Master of Fine Arts	14	1	2	6	9
	Master of Music	13	9	1	1	11
	Master of Professional Studies	2	0	0	10	10
	Master of Public Administration	17	1	2	3	6
	Master of Public Health	34	13	11	24	48
	Master of Dental Science	10	8	1	0	9
	Master of Social Work	166	20	4	110	134
	<u>Total Masters:</u>	1374	381	251	636	1268
	<u>Prof. Diploma in Ed.</u>	90	13	6	38	57
	Doctor of Pharmacy	88	1	0	87	88
	Doctor of Philosophy	301	107	100	117	324
	Doctor of Audiology	2	0	0	1	1
	Doctor of Education	1	0	1	2	3
	Doctor of Musical Arts	2	0	1	2	3
	<u>Total Doctoral:</u>	394	108	102	209	419
	Juris Doctor	235	11	14	158	183
	Master of Laws	32	2	8	26	36
	<u>Total Law:</u>	267	13	22	184	219
	Doctor of Medicine	76	0	0	77	77
	Doctor of Dental Medicine	45	0	0	36	36
	<u>Total Health Center:</u>	121	0	0	113	113
	<u>Total Graduate and Professional:</u>	2246	515	381	1180	2076
	GRAND TOTAL:	6501	1069	1199	4383	6651

Comparative figures are given in columns #1 and #5 and include counts for degrees conferred in August and December in addition to candidates for May. These counts are the best estimates from the figures available on March 21, 2007.

**PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF AGRICULTURE AND NATURAL RESOURCES
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007**

APPOINTMENT AS PROFESSOR WITH TENURE

Daniel L. Fletcher

Animal Science

PROMOTION TO PROFESSOR

Sandra Bushmich

Pathobiology & Veterinary Science

Yi Li

Plant Science

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Jenifer Nadeau

Animal Science

PROMOTION TO EXTENSION EDUCATOR IN RESIDENCE

Nancy Balcom

Extension

REAPPOINTMENTS – TENURE TRACK

Richard Mancini

Assistant Professor

Animal Science

Theodore Rasmussen

Assistant Professor

Animal Science

Mark Rudniki

Assistant Professor

Natural Resources Mngmnt & Engr.

Jason Vokoun

Assistant Professor

Natural Resources Mngmnt & Engr.

Richard Bruno

Assistant Professor

Nutritional Sciences

Steven Davis

Assistant Professor

Nutritional Sciences

Guillermo Risatti

Assistant Professor

Pathobiology & Veterinary Science

Joan Smyth

Associate Professor

Pathobiology & Veterinary Science

Jason Henderson

Assistant Professor

Plant Science

John Kaminski

Assistant Professor

Plant Science

Julia Kuzovkina-Eischen

Assistant Professor

Plant Science

Dawn Pettinelli

Assistant Extension Educator

Plant Science

REAPPOINTMENTS – NON-TENURE TRACK

David Dzurec

Associate Extension Professor

Animal Science

John McCracken

Professor in Residence

Animal Science

Nancy Balcom

Extension Education

Extension

Joseph Bonelli

Assoc. Ext. Educator in Residence

Extension

David Dickson

Asst. Educator in Residence

Extension

Michael Dietz

Asst. Educator in Residence

Extension

Michael Prisloe

Assoc. Ext. Educator in Residence

Extension

John Rozum

Assoc. Ext. Educator in Residence

Extension

Susan Westa

Asst. Educator in Residence

Extension

Thomas Worthley

Assoc. Ext. Educator

Extension

Donna Chapman

Asst. Professor in Residence

Nutritional Sciences

Christine Greene

Asst. Professor in Residence

Nutritional Sciences

Ellen Shanley

Extension Instructor in Residence

Nutritional Sciences

Timothy Gorton

Assistant Professor in Residence

Pathobiology & Veterinary Science

Donna Ellis

Extension Educator in Residence

Plant Science

Steven Ratckliffe

Extension Instructor

Plant Science

Paula Stahl

Asst. Educator in Residence

Plant Science

PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – SCHOOL OF BUSINESS
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007

PROMOTION TO PROFESSOR

Linda Klein	Finance
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PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Manuel Nunez	Operations & Information Management
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TENURE AS ASSOCIATE PROFESSOR

George Plesko	Accounting
---------------	------------

PROMOTION TO PROFESSOR IN RESIDENCE

Kathleen Dechant	Management
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PROMOTION TO ASSOCIATE PROFESSOR IN RESIDENCE

Wei-Kuang Huang	Operations & Information Management
-----------------	-------------------------------------

REAPPOINTMENTS – TENURE TRACK

David Weber	Assistant Professor	Accounting
Alfred Liu	Assistant Professor	Accounting
Sarah Rice	Assistant Professor	Accounting
Assaf Eisdorfer	Assistant Professor	Finance
John Knopf	Assistant Professor	Finance
John Vernon	Assistant Professor	Finance
Qing Cao	Assistant Professor	Management
Dimo Dimov	Assistant Professor	Management
Nora Madjar	Assistant Professor	Management
Zeki Simsek	Assistant Professor	Management
Robert Bird	Assistant Professor	Marketing
Joseph Pancras	Assistant Professor	Marketing
Srinivasaraghavan Sriram	Assistant Professor	Marketing
Fidan Boylu	Assistant Professor	Operations & Information Management
Jose Cruz	Assistant Professor	Operations & Information Management
Robert Day	Assistant Professor	Operations & Information Management
Cuihong Li	Assistant Professor	Operations & Information Management
Xinxin Li	Assistant Professor	Operations & Information Management
Ramesh Sankaranarayanan	Assistant Professor	Operations & Information Management
Zhongju (John) Zhang	Assistant Professor	Operations & Information Management

PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – NEAG SCHOOL OF EDUCATION
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Joseph Madaus	Educational Psychology
Michael Coyne	Educational Psychology
Jeffrey Volek	Kinesiology

REAPPOINTMENTS – TENURE TRACK

Courtney Bell	Assistant Professor	Curriculum and Instruction
Wendy Glenn	Assistant Professor	Curriculum and Instruction
Elizabeth Howard	Assistant Professor	Curriculum and Instruction
Thomas Levine	Assistant Professor	Curriculum and Instruction
Alan Marcus	Assistant Professor	Curriculum and Instruction
Mark Olson	Assistant Professor	Curriculum and Instruction
Megan Staples	Assistant Professor	Curriculum and Instruction
Mary Truxaw	Assistant Professor	Curriculum and Instruction
Robin Grenier	Assistant Professor	Educational Leadership
Eric Haas	Assistant Professor	Educational Leadership
Glen Wilson	Assistant Professor	Educational Leadership
Robert Colbert	Assistant Professor	Educational Psychology
Robert Hannafin	Associate Professor	Educational Psychology
Catherine Little	Assistant Professor	Educational Psychology
Michael Faggella-Luby	Assistant Professor	Educational Psychology
Dorothy (Betsy) McCoach	Assistant Professor	Educational Psychology
Rachelle Perusse	Associate Professor	Educational Psychology
Brandi Simonsen	Assistant Professor	Educational Psychology
Jason Stephens	Assistant Professor	Educational Psychology
Jennifer Bruening	Assistant Professor	Kinesiology
Laura Burton	Assistant Professor	Kinesiology
Jeff Kinsella Shaw	Assistant Professor	Physical Therapy

REAPPOINTMENTS - NON-TENURE TRACK

Jason Irizarry	Assistant Professor	Curriculum and Instruction
Eliana Rojas	Assistant Professor	Curriculum and Instruction
Tutita Casa	Assistant Professor	Educational Psychology
Mary (Katherine) Gavin	Associate Professor	Educational Psychology
David Parker	Assistant Professor	Educational Psychology
Carrie Graham	Lecturer	Kinesiology
Stephanie Mazerolle	Assistant Professor	Kinesiology

PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – SCHOOL OF ENGINEERING
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007

PROMOTION TO PROFESSOR

John Ivan

Civil & Environmental Engineering

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Pamir Alpay

Mei Wei

Lei Zhu

Chemical, Materials & Biomolecular Engineering

Chemical, Materials & Biomolecular Engineering

Chemical, Materials & Biomolecular Engineering

Chun-Hsi Huang

Computer Science & Engineering

REAPPOINTMENTS – TENURE TRACK

Rainer Hebert

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Bryan Huey

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Yu Lei

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Ramamurthy Ramprasad

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Ranjan Srivastava

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Yong Wang

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Benjamin Wilhite

Assistant Professor

Chemical, Materials & Biomolecular Engineering

Richard Christenson

Assistant Professor

Civil & Environmental Engineering

Mekonnen Gebremichael

Assistant Professor

Civil & Environmental Engineering

Jeong-Ho Kim

Assistant Professor

Civil & Environmental Engineering

Baikun Li

Assistant Professor

Civil & Environmental Engineering

Guiling Wang

Assistant Professor

Civil & Environmental Engineering

Jun-Hong Cui

Assistant Professor

Computer Science & Engineering

Swapna Gokhale

Assistant Professor

Computer Science & Engineering

Aggelos Kiayias

Assistant Professor

Computer Science & Engineering

Yoo-Ah Kim

Assistant Professor

Computer Science & Engineering

Ion Mandoiu

Assistant Professor

Computer Science & Engineering

Laurent Michel

Assistant Professor

Computer Science & Engineering

Zhijie Shi

Assistant Professor

Computer Science & Engineering

Bing Wang

Assistant Professor

Computer Science & Engineering

John Chandy

Assistant Professor

Electrical & Computer Engineering

Yunsi Fei

Assistant Professor

Electrical & Computer Engineering

Ali Gokirmak

Assistant Professor

Electrical & Computer Engineering

Helena Silva

Assistant Professor

Electrical & Computer Engineering

Mohammad Tehranipoor

Assistant Professor

Electrical & Computer Engineering

Lei Wang

Assistant Professor

Electrical & Computer Engineering

Shengli Zhou

Assistant Professor

Electrical & Computer Engineering

Tai-Hsi Fan

Assistant Professor

Mechanical Engineering

Horea Ilies

Assistant Professor

Mechanical Engineering

Ugar Pasaogullari

Assistant Professor

Mechanical Engineering

Michael Renfro

Assistant Professor

Mechanical Engineering

Jiong Tang

Assistant Professor

Mechanical Engineering

REAPPOINTMENTS – NON-TENURE TRACK

Alevtina Smirnova

Asst. Research Professor

Chemical, Materials & Biomolecular Engineering

Thomas Barber

Professor in Residence

Mechanical Engineering

Xinyu Huang

Asst. Research Professor

Mechanical Engineering

PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – SCHOOL OF FINE ARTS
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Randall Hoyt	Art and Art History
Janet Pritchard	Art and Art History
Mark Zurolo	Art and Art History
James Ackley	Music
Constance Rock	Music
Ronald Squibbs	Music

REAPPOINTMENTS – TENURE TRACK

Kelly Dennis	Assistant Professor	Art and Art History
Barry Rosenberg	Assistant Professor	Art and Art History
Constance DeFotis	Assistant Professor	Music
Kangho Lee	Assistant Professor	Music
Eric Rice	Assistant Professor	Music

**PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT - SCHOOL OF LAW
PRESENTED TO THE BOARD OF TRUSTEES – APRIL 10, 2007**

REAPPOINTMENTS – TENURE TRACK

Bethany Berger
Kaaryn Gustafson
Alexandra Lahav
Ruth Mason
Susan Schmeiser

Associate Professor
Associate Professor
Associate Professor
Associate Professor
Associate Professor

**PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – MISCELLANEOUS PROMOTIONS
PRESENTED TO THE BOARD OF TRUSTEES – APRIL 10, 2007**

MISCELLANEOUS PROMOTIONS:

University Libraries:

David Bretthauer	From: University Librarian III	To: Assistant Librarian
Susanna Cowan	From: University Librarian I	To: University Librarian II
Deborah Sanford	From: University Librarian II	To: University Librarian III
Laura Katz Smith	From: University Librarian III	To: Assistant Librarian

PROMOTION, TENURE & REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF LIBERAL ARTS AND SCIENCES
PRESENTED TO THE BOARD OF TRUSTEES — April 10, 2007

PROMOTION TO PROFESSOR

Eldridge Adams	Ecology and Evolutionary Biology
David Wagner	Ecology and Evolutionary Biology
Thomas Cooke	Geography
Fakhreddin Azimi	History
Andrea Calabrese	Linguistics
George McManus	Marine Sciences
Roger Celestin	Modern and Classical Languages
Katharina von Hammerstein	Modern and Classical Languages
Kenneth Noll	Molecular and Cell Biology
JC Beall	Philosophy
Michael Lynch	Philosophy
Janet Barnes-Farrell	Psychology

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Natalie Munro	Anthropology
Alexandru Asandei	Chemistry
Mark Peczuh	Chemistry
Shannon Weaver	Human Development and Family Studies
Maria Gordina	Mathematics
Ralph Kaufmann	Mathematics
David Reed Solomon	Mathematics
Anke Finger	Modern and Classical Languages
Guillermo Irizarry	Modern and Classical Languages
Kyungseon Joo	Physics
Maria Rubio	Physiology and Neurobiology
Randall Walikonis	Physiology and Neurobiology
Evelyn Simien	Political Science
Virginia Hettinger	Political Science
Robert Bifulco	Public Policy
Vladimir Pozdnyakov	Statistics

TENURE AS ASSOCIATE PROFESSOR

Martha Cutter	English
Mary Bercaw Edwards	English
Thomas Deans	English
Alexis Dudden	History
Zhiyi Chi	Statistics

PROMOTION, TENURE & REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF LIBERAL ARTS AND SCIENCES
PRESENTED TO THE BOARD OF TRUSTEES — April 10, 2007

APPOINTMENT AS ASSOCIATE PROFESSOR WITH TENURE

Donna Lee Van Cott	Political Science
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REAPPOINTMENTS – TENURE TRACK

Daniel Adler	Assistant Professor	Anthropology
Shawn Burdette	Assistant Professor	Chemistry
Gabriel Fenteany	Assistant Professor	Chemistry
Jose Gascon	Assistant Professor	Chemistry
Rajeswari Kasi	Assistant Professor	Chemistry
Nicholas Leadbeater	Assistant Professor	Chemistry
Tyson Miller	Assistant Professor	Chemistry
Xudong Yao	Assistant Professor	Chemistry
Kirstie Farrar	Assistant Professor	Communication Sciences
Kristine Nowak	Assistant Professor	Communication Sciences
Jennifer Tufts	Assistant Professor	Communication Sciences
Shih-Lun (Alex) Wang	Assistant Professor	Communication Sciences
Andrew Bush	Assistant Professor	Ecology and Evolutionary Biology
Felix Coe	Assistant Professor	Ecology and Evolutionary Biology
Christopher Elphick	Assistant Professor	Ecology and Evolutionary Biology
Uluc Aysun	Assistant Professor	Economics
Anurudha Dhammika Dharmapala	Assistant Professor	Economics
Delia Furtado	Assistant Professor	Economics
Xenia Matschke	Assistant Professor	Economics
Amanda Bailey	Assistant Professor	English
Pamela Bedore	Assistant Professor	English
Mary Burke	Assistant Professor	English
Scott Campbell	Assistant Professor	English
Anna Mae Duane	Assistant Professor	English
Clare King'oo	Assistant Professor	English
Gregory Kneidel	Assistant Professor	English
Suzette Spencer	Assistant Professor	English
Kathleen Tonry	Assistant Professor	English
Melinda Daniels	Assistant Professor	Geography
Emma Gilligan	Assistant Professor	History
Brendan Kane	Assistant Professor	History
Charles Lansing	Assistant Professor	History
Matthew McKenzie	Assistant Professor	History
Mark Overmeyer-Velazquez	Assistant Professor	History
Melina Pappademos	Assistant Professor	History
Fiona Vernal	Assistant Professor	History
Walter Woodward	Assistant Professor	History
Lara Descartes	Assistant Professor	Human Development and Family Studies
Laura Donorfio	Assistant Professor	Human Development and Family Studies
Anne Farrell	Assistant Professor	Human Development and Family Studies
Timothy Kenny	Associate Professor	Journalism
Robert Wyss	Assistant Professor	Journalism

PROMOTION, TENURE & REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF LIBERAL ARTS AND SCIENCES
PRESENTED TO THE BOARD OF TRUSTEES — April 10, 2007

REAPPOINTMENTS – TENURE TRACK (CONTINUED)

Jon Gajewski	Assistant Professor	Linguistics
Susanne Wurmbrand	Assistant Professor	Linguistics
Heidi Dierssen	Assistant Professor	Marine Sciences
Michael Whitney	Assistant Professor	Marine Sciences
Fabiana Cardetti	Assistant Professor	Mathematics
Keith Conrad	Assistant Professor	Mathematics
Sarah Frey	Assistant Professor	Mathematics
Tara Holm	Assistant Professor	Mathematics
Kyu-Hwan Lee	Assistant Professor	Mathematics
Joseph Miller	Assistant Professor	Mathematics
Erin Terwilliger-Mullen	Assistant Professor	Mathematics
Gustavo Nanclares	Assistant Professor	Modern and Classical Languages
Eduardo Urios-Aparisi	Assistant Professor	Modern and Classical Languages
Manuela Maria Wagner	Assistant Professor	Modern and Classical Languages
Sebastian Wogenstein	Assistant Professor	Modern and Classical Languages
Peter Burkhard	Associate Professor	Molecular and Cell Biology
Joerg Graf	Assistant Professor	Molecular and Cell Biology
Craig Nelson	Assistant Professor	Molecular and Cell Biology
Victoria Robinson	Assistant Professor	Molecular and Cell Biology
Thomas Daniel Ryder	Assistant Professor	Philosophy
Lionel Shapiro	Assistant Professor	Philosophy
Thomas Blum	Assistant Professor	Physics
Susanne Yelin	Assistant Professor	Physics
Joanne Conover	Assistant Professor	Physiology and Neurobiology
Catherine Proenza	Assistant Professor	Physiology and Neurobiology
Oksan Bayulgen	Assistant Professor	Political Science
Jeffrey Dudas	Assistant Professor	Political Science
Shareen Hertel	Assistant Professor	Political Science
Jeffrey Ladewig	Assistant Professor	Political Science
Monika McDermott	Assistant Professor	Political Science
Michael Morrell	Assistant Professor	Political Science
Shayla Nunnally	Assistant Professor	Political Science
Jeremy Pressman	Assistant Professor	Political Science
Venerable Bede Agocha	Assistant Professor	Psychology
Inge-Marie Eigsti	Assistant Professor	Psychology
Bruce Kay	Assistant Professor	Psychology
James Magnuson	Assistant Professor	Psychology
Stephanie Milan	Assistant Professor	Psychology
Heather Read	Assistant Professor	Psychology
Kimberli Treadwell	Assistant Professor	Psychology
Julie Wargo Aikins	Assistant Professor	Psychology
Hilary Botein	Assistant Professor	Public Policy
Ivory Copeland	Assistant Professor	Public Policy
Thomas Daniel Craemer	Assistant Professor	Public Policy
Andrea Hetling-Wernyj	Assistant Professor	Public Policy

**PROMOTION, TENURE & REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF LIBERAL ARTS AND SCIENCES
PRESENTED TO THE BOARD OF TRUSTEES — April 10, 2007**

REAPPOINTMENTS – TENURE TRACK (CONTINUED)

Maya Beasley	Assistant Professor	Sociology
C. Wesley Brakefield-Younts	Assistant Professor	Sociology
Simon Hsu-Chih Cheng	Assistant Professor	Sociology
Mary Fischer	Assistant Professor	Sociology
Michael Mulcahy	Assistant Professor	Sociology
Kim Price	Assistant Professor	Sociology
Ofer Harel	Assistant Professor	Statistics
Cyr M'Lan	Assistant Professor	Statistics

REAPPOINTMENTS – NON-TENURE TRACK

Susan Bartlett	Lecturer III	Communication Sciences
Elizabeth Burke	Lecturer I	Communication Sciences
Linda Guenette	Lecturer II	Communication Sciences
Denise Van Der Voort	Lecturer I	Communication Sciences
Igor Ovchinnikov	Assoc. Professor in Residence	Molecular and Cell Biology
Kristen Kimball	Instructor in Residence	Physiology & Neurobiology
Marianne Barton	Clinical Associate Professor	Psychology
Sarah Hodgson	Asst. Clinical Professor	Psychology

**PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – SCHOOL OF NURSING
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007**

REAPPOINTMENTS – TENURE TRACK

Sherry Bassi	Assistant Professor
Barbara Jacobs	Associate Professor
Antonia Nelson	Assistant Professor
Jeannie Pasacreta	Associate Professor

PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT - SCHOOL OF PHARMACY
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007

REAPPOINTMENTS – TENURE TRACK

Spiro Pavlopoulos	Assistant Professor	Pharmaceutical Sciences
Olga Y. Vinogradova	Assistant Professor	Pharmaceutical Sciences
Craig I. Coleman	Assistant Professor	Pharmacy Practice
Megan Jo Ehret	Assistant Professor	Pharmacy Practice
Effie L. Kuti	Assistant Professor	Pharmacy Practice

REAPPOINTMENTS - NON-TENURE TRACK

Sneha G. Baxi	Assistant Clinical Professor	Pharmacy Practice
Charles F. Caley	Associate Clinical Professor	Pharmacy Practice
Kevin W. Chamberlin	Assistant Clinical Professor	Pharmacy Practice
Khanh V. (Devra) Dang	Assistant Clinical Professor	Pharmacy Practice
Jennifer M. Ellis	Assistant Clinical Professor	Pharmacy Practice
Philip M. Hritcko	Assistant Clinical Professor	Pharmacy Practice
Sean M. Jeffery	Associate Clinical Professor	Pharmacy Practice
Trinh P. Pham	Assistant Clinical Professor	Pharmacy Practice
Lauren S. Schlesselman	Assistant Clinical Professor	Pharmacy Practice
Jennifer J. Lee	Assistant Clinical Professor	Pharmacy Practice

**PROMOTION, TENURE AND REAPPOINTMENT RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – SCHOOL OF SOCIAL WORK
PRESENTED TO THE BOARD OF TRUSTEES – April 10, 2007**

PROMOTION TO ASSOCIATE PROFESSOR AND TENURE

Karen Bullock

Antonia Cordero

REAPPOINTMENTS – TENURE TRACK

Scott Harding

Assistant Professor

Joan Letendre

Assistant Professor

Catherine Medina

Assistant Professor

Lisa Werkmeister Rozas

Assistant Professor

Robin Spath

Assistant Professor

Rebecca Thomas

Assistant Professor

The following list represents recommended

ACTIONS FOR APPROVAL

by the Board of Trustees at its meeting on April 10, 2007

Changes To Previously Approved Sabbatic Leaves:

<u>Name</u>	<u>Title</u>	<u>Department</u>	<u>School/College</u>	<u>Pay</u>	<u>Period</u>
Auer, Carol	Assoc. Prof.	Plant Science	CANR Changed to	Full Full	Fall 2007 Spring 2008
Bernstein, Mary	Assoc. Prof.	Sociology	Liberal Arts & Sci. Changed to	Full Half	Fall 2007 AY 2007-08
O'Brien, Thomas	Assoc. Prof.	Finance	Business Admin. Postponed to	Half Half	AY 2006-07 AY 2007-08

Sabbatical Leave Requests:

<u>Name</u>	<u>Title</u>	<u>Department</u>	<u>School/College</u>	<u>Pay</u>	<u>Period</u>
Alpert, William	Assoc. Prof.	Economics/ Stamford Campus	Liberal Arts & Sci.	Full	Fall 2007
Hogan, Patrick	Professor	English	Liberal Arts & Sci.	Full	Spring 2008
Meyer, Michael	Professor	English	Liberal Arts & Sci.	Half	AY 2007-08
Rusling, James	Professor	Chemistry	Liberal Arts & Sci.	Full	Spring 2008
Visscher, Pieter	Professor	Marine Sciences/ Avery Point Campus	Liberal Arts & Sci.	Full	Spring 2008

UNIVERSITY OF CONNECTICUT DEPARTMENT OF HUMAN RESOURCES
NEW EMPLOYEE LISTING - RUNDATE: 03/19/2007
PRESENTED TO THE BOARD OF TRUSTEES FOR INFORMATION
ON PROFESSIONAL EMPLOYEES

EMPLOYEE ACTIONS PROCESSED FROM FEBRUARY 22, 2007 TO MARCH 18, 2007

TITLE -----	EMPLOYEE NAME -----	DEPARTMENT NAME -----	HIRE DATE -----
RESEARCH ASSISTANT 2	BAYREUTHER, JOHN W.	MARINE SCIENCES/MSTC	02/16/2007
	KALBERER, SCOTT R.	ECOLOGY & EVOL BIOLOGY	02/02/2007
RESEARCH ASSOCIATE 1	ARNOLD, RUTH M.	PSYCHOLOGY	02/16/2007
U POST DOC FEL 1	COLIS, LAUREEN C.	CHEMISTRY	02/16/2007
	LU, SHUJUN	MECHANICAL ENGR	02/16/2007
	VAUDREY, JAMIE	MARINE SCIENCES/MSTC	02/16/2007
U STAFF PROF I	GORGONE, JOHANNAH	HUMAN RESOURCES	03/02/2007
UC PROFESSIONAL 01 - FINANCIAL ASST I	PERKINS, ASHLEY R.	CHEMISTRY	02/26/2007
UC PROFESSIONAL 04 - COMP TECH SUP CONS 1	JOYCE, CORY	EDUCATION DEAN OFC	03/03/2006
UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	DAHABSU, OSKER	CHEMISTRY	03/02/2007
UC PROFESSIONAL 05 - DATA BASE PROG	BOURRET, SUSAN S.	ADMISSIONS	03/02/2007
UC PROFESSIONAL 06 - GRANTS/CONTR SPEC I	GRIEDER, CHRISTINA	SPONSORED PROGRAMS	10/13/2006
	IVES, DEBORAH M.	SPONSORED PROGRAMS	02/16/2007

UNIVERSITY OF CONNECTICUT DEPARTMENT OF HUMAN RESOURCES
F1993R62 EMPLOYEE SEPARATION LISTING - RUNDATE: 03/19/2007
PRESENTED TO THE BOARD OF TRUSTEES FOR INFORMATION
ON PROFESSIONAL EMPLOYEES

EMPLOYEE ACTIONS PROCESSED FROM FEBRUARY 22, 2007 TO MARCH 18, 2007

SEPARATION REASON -----	EMPLOYEE NAME -----	TITLE -----	DEPARTMENT -----	SEPARATION DATE -----
RESIGNATION (GOOD STANDING)	COWLEY, NICOLE	UC PROFESSIONAL 05 - RES HALL DIRECTOR	RESLIF	03/01/2007
	GUPTA, PIYUSH	U POST DOC FEL 1	PHSCI	02/28/2007
	JORDAN, NANCY	CLIN INSTRUCTOR	NURS	02/22/2007
	JOYNER, MARIE S.	UC PROFESSIONAL 05 - ANIMAL CARE SPEC	ANIMAL	03/01/2007
	LITOR-LI, ALEXANDRA S.	GRADUATE ASSISTANT	FOOD	03/01/2007
	MITCHELL, HEATHER M.	RESEARCH ASSISTANT 2	PUBPOL	02/23/2007
	PAREKH MCGUSHIN, SERENA M	ASST PROFESSOR	PHIL	08/01/2006
	RAYNOR QUINN, JULIE	U STAFF PROF II	ATH	08/11/2006
	ROMANO, MICHAEL R.	RESEARCH ASSISTANT 1	CSE	02/21/2007
	SMITH, BONNIE	UC PROFESSIONAL 06 - ADMIN SERV ASST IV	TCAVP	03/16/2007
	STARGARDTER, KATHERINE M.	UC PROFESSIONAL 05 - DATA BASE PROG	PUBPOL	02/23/2007
RETIREMENT (25+ YRS SERVICE)	PALMER, RAYMOND A.	UC PROFESSIONAL 10 - DIR-PLACEMENT SERV	SBDO	02/28/2007

PERSONNEL LIST
April 10, 2007

What follows is a list of actions, taken by the President under authority delegated to him by the Board
This list is presented to the Board of Trustees
FOR INFORMATION

EMPLOYEE NAME	TITLE	DEPARTMENT	DATES APPROVED	REASON FOR LEAVE
Barry, Lynn	Clinical Lab Tech, UCP-4	Student Health Services	2/16/2007	Medical leave with pay
Bernier, Debra	Clinical Lab Supervisor, UCP-7	Student Health Services	2/21/07, 2/23/07	Medical leave with pay
Bouchard, Robert	Machine Shop Manager, UCP-9	Materials Science Institute	3/2/07-5/2/07	Medical leave without pay
Covey, Katherine	Program Asst. I, UCP-3	Sociology	2/5/07, 2/8/07	Medical leave with pay
Decher, Nora	Specialist IA	Athletics	8/23/07-8/22/08	Personal leave without pay
Derring, Mary	Technical Records Coordinator, UCP-3	Accounts Payable	2/22/07-2/23/07	Medical leave with pay
Downs, Catherine	U Ed Assistant 1	Vice President for Student Affair	3/13/2007	Medical leave with pay
Felke, Thomas	OSD Cons & Project Mgr, UCP-9	Social Work	3/12/07-3/30/07	Medical leave with pay
Gaffey, Thomas	Facilities Prof. IV, UCP-10	Facilities	2/16/07-3/15/07	Medical leave with pay
Gillard, Jane	Program Assistant I, UCP-3	Allied Health Sciences	2/6/07-2/7/07	Medical leave with pay
Goldreyer, Janelle	Program Aide, UCP-1	Survey Research Center	2/15/07-3/25/07 (Revised)	Family leave with pay
Grigoreas, Steven	U Library Asst. IV, UCP-8	Library Collection Services	3/2/07-3/15/07	Medical leave with pay
Guerra, Lisa	Admin Service Spec II, UCP-4	Nursing	3/1/2007	Medical leave with pay
Kaminski, Linda	Graphic Designer/Illustrator III, UCP-6	CCS Marketing, Research &	2/2/07-2/23/07 (sporadic-7 days total)	Medical leave with pay
Lafontaine, Lorri	Program Asst. I, UCP-3	Judaic Studies	2/15/2007	Medical leave with pay
Lambert-Hustus, Angela	Admin Mgr I, UCP-7	Business Deans Office	4/4/07-5/18/07	Family leave with pay
MacDonald, Neil	Network Tech III, UCP-9	UTS	2/14/2007	Medical leave with pay
McGinnis, Holly	Lab Tech I, UCP-3	Pathobiology	4/2/07-4/27/07 (1/2 days)	Family leave without pay
Milliken, Marilyn	Admin Services Specialist III, UCP-5	Roper Center	3/5/07-3/15/07 (1/2 days)	Medical leave with pay
Mulcahy, Michael	Assistant Professor	Sociology - Stamford campus	8/23/07-8/22/08	Personal leave without pay
Palmer, Ray	Director, Placement Services, UCP-10	Business Deans Office	2/2/07-0/28/07	Medical leave with pay
Pavone, Annette	U Accountant II, UCP-7	Accounting	2/23/07-3/9/07	Medical leave with pay
Pavone, Annette	U Accountant II, UCP-7	Accounting	3/12/07-4/23/07	Maternity leave with pay
Pechie, Geraldine	Admin Services Specialist II, UCP-4	Payroll	2/26/07-3/7/07	Medical leave with pay
Postemski, Carolyn	Admin Services Specialist III, UCP-5	Academic Partnership & Special	2/23/2007	Medical leave with pay
Quish, Carol	Program Aide, UCP-1	Plant Science	3/7/07-3/14/07	Medical leave with pay
Reiman, Amy	Program Assistant, UCP-4	Business Deans Office	2/2/07-4/2/07 (Revised)	Maternity leave with pay
Reiman, Amy	Program Assistant, UCP-4	Business Deans Office	4/3/07-6/1/07 (1/2 days)	Family leave without pay
Ruddy, Nikole	Admin Services Specialist II, UCP-4	Athletics Business Office	3/13/07-8/28/07	Family leave without pay
Sibicky, Joanne	X-Ray Supervisor, UCP-4	Student Health Services	2/28/2007	Medical leave with pay
Tellier, Kenneth	Building Services Mgr., UCP-6	Biology Central Services	1/19/07-2/9/07, 2/23/07	Medical leave with pay
Traichel, Paulette	U Library Asst. II, UCP-5	Library	2/21/07-2/28/07, 3/5/07-3/7/07	Medical leave with pay
White, Karen	Purchasing Agent II, UCP-8	Purchasing	2/20/07-2/21/07	Medical leave with pay
Williams, Lan	Database Programmer/Analyst, UCP-6	Bursars Office	2/1/07-3/15/07	Medical leave with pay



University of Connecticut
Office of the Provost

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

TO:

Members of the Board of Trustees

FROM:

Peter J. Nicholls, Provost

DATE:

April 10, 2007

RE:

**ESTABLISHMENT OF THE CENTER FOR RESEARCH IN
MATHEMATICS EDUCATION IN THE NEAG SCHOOL OF
EDUCATION**

I am writing to inform the Board of Trustees that pursuant to the Laws, By-Laws and Rules of the University of Connecticut I have approved the creation of the Center for Research in Mathematics Education (CRME).

The CRME in the Neag School of Education will be a collaborative effort involving faculty from the Neag School of Education and the Department of Mathematics. The CRME will serve as a teaching, training, research, and development center whose mission is to improve classroom instruction and the academic performance of all students K-16. The center will afford researchers, teachers, and policy makers an opportunity to exchange and disseminate information among all persons interested in improving mathematics education.

The CRME will support broad-based, systemic reform in mathematics education through the following activities:

- Developing a comprehensive and cohesive research agenda to conduct research on the teaching and learning of mathematics at the K-16 level;
- Identifying and seeking external funding sources to support ongoing professional development and scholarship activities;
- Developing mathematics courses to enhance the knowledge base of K-12 teacher candidates in the NSOE, as well as undergraduate students taking courses in the Department of Mathematics;
- Working in collaboration with the Q-center and provide support to the *Teachers for a New Era* initiative in order to help support and meet their goals;
- Developing and providing professional development programs, seminars, and courses for K-16 mathematics faculty and teachers interested in improving classroom instruction, and
- Developing a website to disseminate information and materials generated through the CRME.

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

Telephone: (860) 486-4037
Facsimile: (860) 486-6379
e-mail: peter.nicholls@uconn.edu
web: <http://provost.uconn.edu>



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

TO: Members of the Board of Trustees

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

Lorraine M. Aronson *LMA*
Vice President and Chief Financial Officer

DATE: April 10, 2007

SUBJECT: Request to Amend the List of UCONN 2000 Named Projects to
Add the Old Central Warehouse Renovation Project

RECOMMENDATION:

That the Board of Trustees approve the addition of the Old Central Warehouse Renovation Project to the UCONN 2000 Phase III project list, with the estimated cost of \$18 million supported by a reallocation of \$6 million each from the Torrey Renovation Completion and Biology Expansion, Gant Building Renovations and Engineering Building named projects and request the General Assembly to amend the UCONN 2000 Act to include such project and reallocation of funds.

BACKGROUND:

The Old Central Warehouse was not included as a named project in the UCONN 2000 program because it had long been slated for demolition. At the time, no one could have foreseen the dramatic increase in enrollment generally, and demand in the sciences specifically. The University has reevaluated the plan to demolish the facility in light of current and newly projected academic, research and laboratory space needs outlined below. We believe that this fundamentally sound structure can and should be reused.

It is important to note that the University is not requesting new bond funding for this project. The addition of this project will not increase the funding level for the UCONN 2000 program. Adding the Old Central Warehouse Renovation project to the list will, however, enable us to take advantage of an opportunity to create much-needed science instruction space in a timely and cost-effective manner. As you may know, only the General Assembly can add a new project. Since this is a renovation of an old facility,

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Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

it could conceivably be addressed as part of the “Deferred Maintenance/Code/ADA Renovation Lumpsum” line item on the law’s project list. However, we believe that the project is of sufficient size to warrant addition to the list as a separate named project. If added, the University’s Board of Trustees is authorized to reallocate funding amongst projects to accommodate the costs of the planned Warehouse renovation. This proposal has been developed with the assistance of our bond counsel, Marie Phelan.

Permanent Academic and Research Space Needs:

The Old Central Warehouse is located in the Storrs Campus’ Tech Quad, adjacent to the new Chemistry, Pharmacy/Biology, Biology/Physics buildings and other science and engineering facilities. There is a tremendous need for teaching, research, laboratory and related space. Enrollments in biological sciences, engineering and math have increased significantly in the past six years and the University anticipates that trend to continue. For example, enrollment in the biological sciences has increased by 354 students from fall 2000 to fall 2006, enrollment in engineering has increased by 610 students, and enrollment in math has increased by 126 during the same time period. The old Warehouse location and significant size make it a very attractive option—near to much of our science activity and big enough to make a serious contribution to meeting the demands of increased enrollment.

Academic and Research Swing Space Needs:

The Old Central Warehouse is also located near University science, engineering and math classroom and research buildings that are slated for renovation in Phase III of UCONN 2000 – specifically, the Torrey Life Science Building, and the Gant Science and Engineering Complex. The Old Central Warehouse can also serve as academic and research swing space allowing the Torrey Life Science building and the Gant Complex to be taken off-line for renovation and expansion.

Renovation versus New

The Old Warehouse is structurally sound and a good candidate for reuse. Built in 1957, it is a three-story, 48,000 square foot building. It is an ideal candidate for renovation – or recycling, if you will. We will also avoid significant demolition costs, as well as the longer timetable for new construction. The University has a preliminary cost estimate of \$18.0 million to renovate and expand (by approximately 50 percent) this building. Because this project will provide flexible instructional lab and office space for the sciences, we are tentatively suggesting that funds be reallocated from three project lines: (1) Torrey Renovation Completion and Biology Expansion, (2) Gant Building Renovations, and (3) Engineering Building. A full proposal will come to the Board as part of the capital budget, which will be prepared after the close of the legislative session when we have a better sense of the UCONN 2000, Phase III funding structure.



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

April 10, 2007

TO: Members of the Board of Trustees

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

Lorraine M. Aronson
Vice President and Chief Financial Officer

SUBJECT: **Project Budget (Design) for Nayden Clinic Relocation**

RECOMMENDATION:

That the Board of Trustees approve a Design Budget for the relocation of the Nayden Clinic facility in the amount of \$650,000.

BACKGROUND:

The Nayden Clinic is located in the old Fleet Bank Building on the east side of Rte 195, behind the University Commercial Block. This location is included in Phase I of the Mansfield Downtown Partnership's Storrs Center development. As a result the building housing the clinic is scheduled to be demolished to make way for the development. The Nayden Clinic will be relocated to the first floor of the Human Development Building located at the end of Bolton Road.

The scope of the project will include interior renovations, HVAC upgrades, connection to central utilities, telecommunications upgrades and exterior site work to include parking and signage.

This Design Budget is attached for your consideration and approval.

Attachment

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352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

C:\Documents and Settings\dearone\My Documents\Word\BOT\Financial Affairs\Project Budgets\NaydenClinicRelocation DesignBudget 04.10.07.doc

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

PROJECT NAME: NAYDEN CLINIC RELOCATION

	APPROVED PLANNING 3/13/2007	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 500,000	\$ 463,000
DESIGN SERVICES	20,000	20,000
TELECOMMUNICATIONS	-	50,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	20,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	5,000
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	2,000
OTHER SOFT COSTS*	55,000	15,000
	<hr/>	<hr/>
SUBTOTAL	\$ 575,000	\$ 575,000
	<hr/>	<hr/>
PROJECT CONTINGENCY	75,000	75,000
	<hr/>	<hr/>
TOTAL BUDGETED EXPENDITURES	\$ 650,000	\$ 650,000
	<hr/> <hr/>	<hr/> <hr/>
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - FY06 DM	\$ 15,000	\$ 15,000
UCONN 2000 PHASE III - FY07 DM	635,000	635,000
	<hr/>	<hr/>
TOTAL BUDGETED FUNDING	\$ 650,000	\$ 650,000
	<hr/> <hr/>	<hr/> <hr/>

*Does not include Furniture, Fixtures and Equipment.

BOT 4/10/07

901166



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

April 10, 2007

TO: Members of the Board of Trustees

FROM: Lorraine M. Aronson
Vice President and Chief Financial Officer

Barry M. Feldman, Ph.D.
Vice President and Chief Operating Officer

SUBJECT: Project Budget (Design) for Torrington ADA Improvements

RECOMMENDATION:

That the Board of Trustees approve a Design Budget in the amount of \$650,000 for design services and construction to correct existing deficiencies in handicap accessibility at the University of Connecticut Torrington Campus.

BACKGROUND:

The Board previously approved a Planning Budget in the amount of \$550,000 for renovations and alterations regarding the correction of accessibility (ADA) deficiencies in the main building at the University of Connecticut's Torrington Campus. The University retained the services of an architect, proceeded with preliminary design for the project and discovered that additional scope items to meet ADA requirements would require additional funding. The scope of the project now includes all minimum required improvements in the restrooms, lecture hall, building entrance and faculty offices. These improvements will also have a positive impact on the general functioning of the building. The identification and resolution of the ADA issues was a result of collaboration between the Project Architect, University ADA representatives, Facilities Operations and the Torrington Campus Director.

This Design Budget is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

PROJECT NAME: TORRINGTON ADA IMPROVEMENTS

	APPROVED PLANNING 9/26/2006	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 405,000	\$ 488,000
DESIGN SERVICES	70,000	70,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	20,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	2,000
MISCELLANEOUS	-	10,000
OTHER SOFT COSTS*	25,000	
SUBTOTAL	\$ 500,000	\$ 590,000
PROJECT CONTINGENCY	50,000	60,000
TOTAL BUDGETED EXPENDITURES	\$ 550,000	\$ 650,000
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - FY07 DM	\$ 550,000	\$ 550,000
UCONN 2000 PHASE III - FY08 DM	-	100,000
TOTAL BUDGETED FUNDING	\$ 550,000	\$ 650,000

*Does not include Furniture, Fixtures and Equipment.

BOT 4/10/07

901201



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

April 10, 2007

TO: Members of the Board of Trustees

FROM: Lorraine M. Aronson
Vice President and Chief Financial Officer

Barry M. Feldman, Ph.D.
Interim Vice President and Chief Operating Officer

SUBJECT: **Project Budget (Design) for the Student Union Quadrangle Site
Work and Landscape – Phase I**

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget for Phase I to renovate and improve the Student Union Quadrangle as shown in the attached budget in the amount of \$1,282,800.

BACKGROUND:

With the recent completion of the Student Union and the demolition of the old Pharmacy buildings, design and presentation of bid documents can begin on this important component of the University's Master Plan. The project is the area bounded by the Student Union, Castleman Building, Benton Museum of Art, Center for Undergraduate Education (CUE) building and Fairfield Way. The improvements will be phased. The first phase includes landscape planning, infrastructure improvements (mainly drainage) and completion of new landscaping in the area of the former Pharmacy buildings. Preliminary plans, including landscape improvements, have been reviewed with various committees within the university community.

A Design Budget for Phase I is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

C:\Documents and Settings\dearone\My Documents\Word\BOT\Financial Affairs\Project Budgets\Student Union Quad - Ph I DesignBudget 04.10.07.doc

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

PROJECT NAME: STUDENT UNION QUAD - PHASE I

	APPROVED PLANNING 1/30/2007	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 785,000	\$ 800,000
DESIGN SERVICES	350,000 (1)	350,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	40,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	10,000
OTHER SOFT COSTS*	30,000	
SUBTOTAL	\$ 1,165,000	\$ 1,200,000
PROJECT CONTINGENCY	117,000	82,000
TOTAL BUDGETED EXPENDITURES	\$ 1,282,000	\$ 1,282,000
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - FY05 DM	\$ 232,800	\$ 232,800
UCONN 2000 PHASE III - FY07 DM	650,000	650,000
UNIVERSITY OPERATING FUNDS	400,000	400,000
TOTAL BUDGETED FUNDING	\$ 1,282,800	\$ 1,282,800

*Does not include Furniture, Fixtures and Equipment.

(1) Design service includes both Master Planning (\$250,000) and Phase I design (\$100,000).

BOT 4/10/07

UBI901101



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

April 10, 2007

TO: Members of the Board of Trustees

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

Lorraine M. Aronson
Vice President and Chief Financial Officer

SUBJECT: **Project Budget (Design) for East Campus Steam and
Condensate Piping Replacement at the Avery Point Campus**

RECOMMENDATION:

That the Board of Trustees approve a Design Budget in the amount of \$800,000 for the replacement of the east campus steam and condensate piping at the Avery Point Campus.

BACKGROUND:

Heat for most buildings at the Avery Point Campus is supplied by steam from the on-site central utility plant. Steam is distributed via an underground network of steam supply and condensate return lines.

Campus maintenance staff have determined one section of supply and return piping to be severely corroded and in need of replacement. The purpose of this project is to replace this deteriorated section of pipe prior to failure.

This Design Budget is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

C:\Documents and Settings\lcarone\My Documents\Word\BOT\Financial Affairs\Project Budgets\East Campus Steam Line DesignBudget 04.10.07.doc

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

**PROJECT NAME: EAST CAMPUS STEAM AND CONDENSATE PIPING REPLACEMENT AT THE
AVERY POINT CAMPUS**

	APPROVED PLANNING 9/26/2006	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 650,000	\$ 650,000
DESIGN SERVICES	25,000	25,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	25,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	2,000
OTHER SOFT COSTS*	52,275	25,275
SUBTOTAL	\$ 727,275	\$ 727,275
PROJECT CONTINGENCY	72,725	72,725
TOTAL BUDGETED EXPENDITURES	\$ 800,000	\$ 800,000
<u>SOURCE(S) OF FUNDING</u>		
UConn 2000 PHASE III - FY07 DM	\$ 800,000	\$ 800,000
TOTAL BUDGETED FUNDING	\$ 800,000	\$ 800,000

*Does not include Furniture, Fixtures and Equipment.

BOT 4/10/07
UBI901198



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

April 10, 2007

TO: Members of the Board of Trustees

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

Lorraine M. Aronson
Vice President and Chief Financial Officer

SUBJECT: Project Budget (Design) for the UConn Health Center (UCHC) Cooling
Coil Conversion Project

RECOMMENDATION:

That the Board of Trustees approve the Design Budget of \$1,700,000 for the UCHC Cooling Coil Conversion Project, which services the entire UCHC Main Building.

BACKGROUND:

A Planning Budget in the amount of \$650,000 was approved by the Board of Trustees on November 15, 2005. The approval of the Planning Budget allowed the UCHC to engage BVH Engineers to review the design and further define the project scope and costs. The project will reduce the use of the high cost electric pre-heating coils and eliminate the need to drain the cooling coils during the heating season, thus lowering heating costs and reducing operating costs by as much as \$700,000 per year. This project is separate from the Electric Heat Conversion project which replaces electric heating coils with hot water heating coils.

This Design Budget represents an increase over the original approved Planning Budget. This increase reflects the fact that when the Planning Budget was prepared we did not have detailed engineering plans to base the Planning Budget estimate. The Planning Budget approval was needed to hire an outside engineering company – BVH Engineers – to develop a Design Budget.

The Design Budget is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

PROJECT NAME: UCHC COOLING COIL CONVERSION PROJECT

	APPROVED PLANNING 11/15/2005	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 420,000	\$ 1,450,000
DESIGN SERVICES	50,000	35,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	5,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	10,000
MISCELLANEOUS	-	10,000
OTHER SOFT COSTS*	89,000	-
SUBTOTAL	\$ 559,000	\$ 1,510,000
PROJECT CONTINGENCY	91,000	190,000
TOTAL BUDGETED EXPENDITURES	\$ 650,000	\$ 1,700,000
<u>SOURCE(S) OF FUNDING</u>		
UConn 2000 PHASE III - FY07 DM	\$ 650,000	\$ 650,000
UConn 2000 PHASE III - FY08 DM	-	1,050,000
TOTAL BUDGETED FUNDING	\$ 650,000	\$ 1,700,000

*Does not include Furniture, Fixtures and Equipment.



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

April 10, 2007

TO: Members of the Board of Trustees

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

Lorraine M. Aronson
Vice President and Chief Financial Officer

SUBJECT: Project Budget (Design) for the UConn Health Center (UCHC) Electric Heat Conversion Project

RECOMMENDATION:

That the Board of Trustees approve the Design Budget of \$2,740,000 for the UCHC Electric Heat Conversion Project.

BACKGROUND:

A Planning Budget in the amount of \$1,250,000 was approved by the Board of Trustees on June 20, 2006. The approval of the Planning Budget allowed the UCHC to engage BVH Engineers to review the design and further define the project scope and costs. The project will convert high cost electric reheating coils to hot water coils thus lowering heating costs and reducing operating costs by as much as \$1.1 million per year.

This conversion will service the entire 477,000 gross square foot L Building which primarily houses research lab space. All other electric reheating coils in the Main building have been previously converted to hot water coils. This project will eliminate the final groups of electric reheat coils from the Main Building.

This Design Budget represents an increase over the original approved Planning Budget. The increase reflects the fact that when the Planning Budget was prepared we did not have detailed engineering plans to base our Planning Budget estimate. The Planning Budget approval was necessary to allow us to secure the outside engineering design services of BVH Engineers to develop design level budget.

The Design Budget is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

PROJECT NAME: UCHC ELECTRIC HEAT CONVERSION PROJECT

	APPROVED PLANNING 6/20/2006	PROPOSED DESIGN 4/10/2007
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 806,300	\$ 2,400,000
DESIGN SERVICES	80,000	50,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	10,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	10,000
MISCELLANEOUS	-	20,000
OTHER SOFT COSTS*	250,000	-
SUBTOTAL	\$ 1,136,300	\$ 2,490,000
PROJECT CONTINGENCY	113,700	250,000
TOTAL BUDGETED EXPENDITURES	\$ 1,250,000	\$ 2,740,000
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - FY07 DM	\$ 1,250,000	\$ 1,250,000
UCONN 2000 PHASE III - FY08 DM	-	1,490,000
TOTAL BUDGETED FUNDING	\$ 1,250,000	\$ 2,740,000

*Does not include Furniture, Fixtures and Equipment.



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

April 10, 2007

TO: Members of the Board of Trustees

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

Lorraine M. Aronson
Vice President and Chief Financial Officer

SUBJECT: Project Budget (Final) for the UConn Health Center (UCHC) Main Building Renovation – Clinical Skills Renovation

RECOMMENDATION:

That the Board of Trustees approve a Final Budget in the amount of \$1,400,000 for the Main Building Renovation – Clinical Skills Renovation.

BACKGROUND:

The UCONN 2000, Phase III project list includes \$75,000,000 for Main Building Renovation at the Health Center. The Clinical Skills Renovation project is a sub-project to the Main Building Renovation. The project will completely renovate an area of approximately 7,000 square feet, including state of the art A/V equipment to enhance the student learning environment. This project also includes expansion of the Anatomic Pathology Laboratory administrative space, currently adjacent to the clinical skills renovation area.

A Planning Budget for the Clinical Skills Renovation project was previously approved by the Board in the amount of \$830,000. During the programming stage of the project, the School of Medicine determined that the audio/visual scope and size needed to be expanded from 3,750 square feet to 7,000 square feet resulting in a revised Design Budget of \$1,605,000. The construction bids were received on March 22, 2007. Based on these bids, the Final Budget is reduced to \$1,400,000.

The Final Budget is attached for your consideration and approval.

Attachment

An Equal Opportunity Employer

352 Mansfield Road Unit 2014
Storrs, Connecticut 06269-2014

Telephone: (860) 486-4340
Facsimile: (860) 486-1070

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCHC MAIN BUILDING RENOVATION - CLINICAL SKILLS RENOVATION

	APPROVED PLANNING 9/20/2005	APPROVED DESIGN 9/26/2006	PROPOSED FINAL 4/10/2007
<u>BUDGETED EXPENDITURES</u>			
CONSTRUCTION	\$ 420,000	\$ 1,000,000	\$ 795,000
DESIGN SERVICES	83,000	88,000	88,000
TELECOMMUNICATIONS	-	19,000	19,000
FURNITURE, FIXTURES AND EQUIPMENT	-	330,000	295,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	-	-	-
ART	-	-	-
RELOCATION	-	8,000	8,000
ENVIRONMENTAL	-	10,000	10,000
INSURANCE AND LEGAL	-	-	5,000
MISCELLANEOUS	-	-	5,000
OTHER SOFT COSTS*	231,000	-	-
SUBTOTAL	\$ 734,000	\$ 1,455,000	\$ 1,225,000
PROJECT CONTINGENCY	96,000	150,000	175,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 830,000</u>	<u>\$ 1,605,000</u>	<u>\$ 1,400,000</u>
<u>SOURCE(S) OF FUNDING</u>			
UConn 2000 PHASE III	\$ 655,000	\$ 1,200,000	\$ 1,200,000
DEPARTMENTAL FUNDS	175,000	405,000	200,000
TOTAL BUDGETED FUNDING	<u>\$ 830,000</u>	<u>\$ 1,605,000</u>	<u>\$ 1,400,000</u>

*Includes Equipment.

BOT 4/10/07

901211



University of Connecticut Health Center

Board of Directors

James F. Abromaitis

2002 - 2007

Whereas, James F. Abromaitis has served the people of the State of Connecticut and the University of Connecticut as a member of the University of Connecticut Health Center Board of Directors for the past four years; and

Whereas, Mr. Abromaitis has brought to his responsibilities as a member of the Board a unique combination of organizational and fiscal expertise, ability to define problems and develop solutions, and capacity to work effectively with Board colleagues and University administrators toward common goals; and

Whereas, In all aspects of his service on the Board of Directors, James F. Abromaitis has been an advocate for cooperation between State agencies and promoted the Health Center's role in achieving the State's economic development goals, and

Whereas, James F. Abromaitis is a founding member of the University of Connecticut Health Center Board of Directors, and

Whereas, Mr. Abromaitis leaves the Board of Directors with the gratitude, respect and affection of his colleagues, and their best wishes for the future;

Therefore Be It Resolved That the Board of Directors records its deep appreciation to James F. Abromaitis for exemplary service to the Board and to the University of Connecticut.

Be It Further Resolved That this resolution be spread upon the minutes of the Board of Directors, with copies sent to University of Connecticut Board of Trustees and to Mr. Abromaitis.

Gerard N. Burrow

Gerard N. Burrow, M.D., Chair
March 5, 2007



University of Connecticut Health Center

Board of Directors

John P. Bigos, M.D.

2005 – 2006

Whereas, John P. Bigos, M.D. served the people of the State of Connecticut and the University of Connecticut as a member of the University of Connecticut Health Center Board of Directors for the past two years; and

Whereas, Dr. Bigos brought to his responsibilities as a member of the Board a unique combination of clinical skills and experiences, public health knowledge and the desire to facilitate the development of public health policy, the ability to define problems and develop solutions, and the capacity to work effectively with Board colleagues and University administrators toward common goals; and

Whereas, In all aspects of his service on the Board of Directors, John P. Bigos well represented the perspectives of physicians as individuals, in group practice settings and as organized medicine, and

Whereas, at the time of his untimely death, Dr. Bigos had the gratitude, respect and affection of his colleagues, and their best wishes for his family in the future;

Therefore Be It Resolved That the Board of Directors records its deep appreciation for John P. Bigos and his exemplary service to the Board and to the University of Connecticut.

Be It Further Resolved That this resolution be spread upon the minutes of the Board of Directors, with copies sent to University of Connecticut Board of Trustees and to the family of Dr. Bigos.

Gerard N. Burrow, M.D., Chair

March 5, 2007



University of Connecticut Health Center

Board of Directors

Anne D. Gnazzo

2005 – 2007

Whereas, Anne D. Gnazzo has served the people of the State of Connecticut and the University of Connecticut as a member of the University of Connecticut Health Center Board of Directors for the past two years; and

Whereas, Ms. Gnazzo has brought to her responsibilities as a member of the Board a unique combination of organizational and fiscal expertise, ability to define problems and develop solutions, and capacity to work effectively with Board colleagues and University administrators toward common goals; and

Whereas, In all aspects of her service on the Board of Directors, Anne D. Gnazzo has been a forceful advocate for cooperation between State agencies, and

Whereas, Ms. Gnazzo leaves the Board of Directors with the gratitude, respect and affection of her colleagues, and their best wishes for the future;

Therefore Be It Resolved That the Board of Directors records its deep appreciation to Anne D. Gnazzo for exemplary service to the Board and to the University of Connecticut.

Be It Further Resolved That this resolution be spread upon the minutes of the Board of Directors, with copies sent to University of Connecticut Board of Trustees and to Ms. Gnazzo.

Gerard N. Burrow

Gerard N. Burrow, M.D., Chair

March 5, 2007

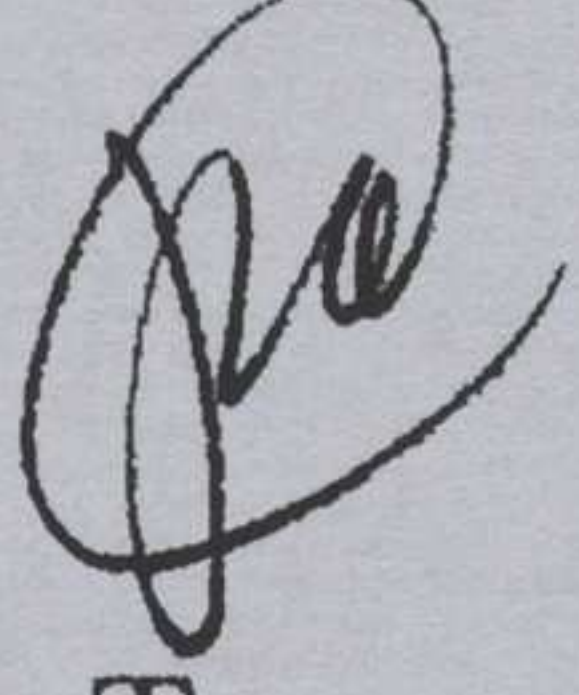


University of Connecticut
Office of the President

Philip E. Austin
President

April 10, 2007

TO: Members of the Board of Trustees

FROM: Philip E. Austin 

SUBJECT: Proposal to Name Towers Dining Commons for former Board of Trustees Chairman Roger A. Gelfenbien

RECOMMENDATION:

That Towers Dining Commons at the Storrs campus be named for former Board of Trustees Chairman Roger A. Gelfenbien.

BACKGROUND:

The University has a longstanding tradition of naming facilities in honor of former chairs of the Board of Trustees. Notable examples are Rome Commons (Lewis Rome, 1992-97), the Canzonetti Building at the Health Center (Andrew Canzonetti, 1980-92), and the Tasker Admissions Building (Gordon Tasker, 1972-80). Other buildings are named for Board chairs John Budds, Lester Shippee, James Hook, and Samuel Spencer.

Customarily no naming takes place until three or more years after the chairman leaves office.

In accordance with this tradition several individuals at the University have proposed, and I endorse, that the ***Towers Dining Commons*** be named for **Roger A. Gelfenbien**, who served as Chairman of the Board of Trustees from 1997 to 2003.

The Building Names Committee unanimously approved this recommendation on March 22, 2006.

An Equal Opportunity Employer

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

Telephone: (860) 486-2337
Facsimile: (860) 486-2627
e-mail: philip.austin@uconn.edu

Roger A. Gelfenbien

Mr. Gelfenbien is a native of Hartford. He received his undergraduate degree from UConn in 1965 (living in Towers during part of undergraduate career). His professional career included service as comptroller of the City of Bridgeport from 1971 to 1975 and then many years in the private sector, culminating as managing partner of the Hartford office of Andersen Consulting. Mr. Gelfenbien has also played a leading role in Hartford and Connecticut civic life, serving as a member of the Millennium Management Committee (designed to stimulate the region's economic growth), the Bushnell Board of Directors, the Executive Board of the Hartford Downtown Council, and the Board of Directors of the Greater Hartford Chamber of Commerce.

At UConn, Mr. Gelfenbien served as a member and then Chairman of the Board of the UConn Foundation and as Chairman of the University's Operations and Management Advisory Board. As Chairman of the Board of Trustees, he led the Board through a period of major transformation at the University, marked by increases in the size and academic strength of the student body, dramatic growth in research, strengthening of the Health Center, and massive expansion of private philanthropy.

Towers Dining Commons

The ***Towers Dining Commons*** opened in 2003. The architect was Livermore Edwards and Associates of Waltham, Massachusetts, and the contractor was FIP Construction. Total cost of the facility was \$7,727,000, and the size is 19,963 square feet.

Towers has seating for 450 students and is one of the most notable dining halls on campus. In addition to the overall quality and attractiveness of the facility, Towers has attracted attention throughout the state and beyond for its focus on meeting the needs of a diverse student population. It includes a certified kosher kitchen, and a Muslim halal menu is also available. There is also some late night service.

The University of Connecticut Foundation, Inc.

Development Progress Executive Summary

July 1, 2006 to February 28, 2007

Progress Toward Goals	FYTD06 Results	FY07 Goal	FYTD07 Results	% of Goal
<u>Commitment Results</u>				
New gifts and pledges	\$ 18.62M	\$ 51.00M	\$ 24.05M	47%
<u>Cash Results</u>				
Cash basis gift receipts	\$ 32.30M	\$ 50.00M	\$ 24.72M	49%
Annual fund unrestricted receipts	\$ 658K	\$ 1.00M	\$ 695K	70%
Number of cash basis household donors	21,937	35,000	21,573	62%

Progress	CYTD06 Results	CY07 Limit	CYTD07 Results	% Received
<u>State Match – Calendar Year</u>				
Anticipated subscription of endowment state matching program (Current year receipts plus anticipated pledge payments)	\$ 5.68M	\$ 30.00M	\$ 4.11M	14%

AGENDA

Meeting of the
FINANCIAL AFFAIRS COMMITTEE
Tuesday, April 10 at 10:30 a.m.
University of Connecticut

ATTACHMENT LOCATION	
<u>COMMITTEE</u>	<u>FULL BOARD</u>

- | | |
|---|---|
| 1) Approval of the Minutes of the Financial Affairs Committee Meetings of March 13, 2007, as circulated | A |
|---|---|

ACTION ITEM(S):

- | | |
|---|----|
| 2) Contracts and Agreements for Approval | 1 |
| 3) 2007-2008 Rental Rates for Residential Properties | 2 |
| 4) Request to Amend the List of UCONN 2000 Named Projects to Add the Old Central Warehouse Renovation Project | 10 |

Project Budgets for Approval:

- | | |
|---|----|
| 5) Project Budget (Design) for Nayden Clinic Relocation | 11 |
| 6) Project Budget (Design) for Torrington ADA Improvements | 12 |
| 7) Project Budget (Design) for the Student Union Quadrangle Site Work and Landscape – Phase I | 13 |
| 8) Project Budget (Design) for East Campus Steam and Condensate Piping Replacement at the Avery Point Campus | 14 |
| 9) Project Budget (Design) for the UConn Health Center (UCHC) Cooling Coil Conversion Project | 15 |
| 10) Project Budget (Design) for the UConn Health Center (UCHC) Electric Heat Conversion Project | 16 |
| 11) Project Budget (Final) for the UConn Health Center (UCHC) Main Building Renovation – Clinical Skills Renovation | 17 |

**ATTACHMENT
LOCATION
COMMITTEE FULL BOARD**

DISCUSSION ITEM:

12) Construction Status Report

(Under Separate Cover)

INFORMATION ITEM(S):

13) Contracts and Agreements – Over \$100,000

B

14) UCONN 2000 – Book #23

(Under Separate Cover)

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
March 13, 2007

TRUSTEES PRESENT: Bailey, Barry, Braun, Burrow, Dennis-LaVigne, Drotch, Gatling, Kazerounian, Lobo, Prelli, Rowe, Ritter Shepperd and Treibick

STAFF PRESENT: Austin, Bradley, Brohinsky, Callahan, Carone, Chiaputti, Deckers, DeTora, Eaton, Evanovich, Feldman, Grava, Hudd, Locke, Nicholls, Saddlemire, Schurin, Singha, Sullivan, Taylor, Upton, Urban,

GUEST(S) PRESENT: Nancy Brady, Department of Higher Education
Grace Merritt, Hartford Courant

Committee Chairman Peter Drotch convened the meeting at 11:00 a.m. in the multi-purpose room of the University of Connecticut in Waterbury, CT. Trustee Drotch directed the committee to *Item #1, Approval of the Minutes of the Financial Affairs Committee Meetings of January 30, 2007*. On a motion by Trustee Barry and seconded by Trustee Ritter the minutes were approved, as circulated.

Agenda *Item #2, Contracts and Agreements for Approval* was recommended to the full Board for approval on a motion by Trustee Ritter and seconded by Trustee Barry.

Dr. Barry Feldman, Vice President and Chief Operating Officer and Mr. James Bradley, Interim Executive Director for Architectural and Engineering Services, provided detailed explanations of each proposed project budget. On a motion by Trustee Drotch and seconded by Trustee Barry agenda *Item #9, Project Budget (Planning) for Family Studies Elevator Replacement; Item #10, Project Budget (Planning) for Nayden Clinic Relocation; Item #11, Project Budget (Planning) for South Garage Slope and Ramp Repair; Item #12, Project Budget (Design) UConn Health Center (UHC) Dental Implant Center Renovation; Item #13, Project Budget (Final) for UHC Medical Arts and Research Building Lab Fit-Out; and Item #14, Project Budget (Final) for UHC Tomotherapy Equipment Installation* were recommended to the Board of Trustees for approval.

Mr. Drotch introduced the Six Month Financial Update, stating that time did not permit discussion of the report at the January committee meeting and asked Bruce DeTora, Chief Financial Officer to provide any additional updates. Mr. DeTora stated that the figures through February and the information provided for the end of December are consistent with the actual. The energy budget was anticipated to be under budget by approximately \$4 million and the latest figures for the cogeneration plant are \$3.5 million and we anticipate additional energy savings not related to the cogeneration plant. Tuition and fees revenues are expected to come in on budget. Mr. Drotch asked where the University is in finding the

funds necessary to accomplish the plan to hire additional faculty. Dr. Peter Nichols, Provost, responded that there is legislation proposed to add 35 faculty positions for the next five consecutive years. He has testified before the Higher Education and Appropriations Committees on these matters and has received their concerns regarding workforce and economic development issues. The University is aggressively pursuing the faculty funding plan with the legislature.

President Austin stated that the University has a very ambitious legislative agenda. The University has focused its efforts on the faculty funding and the Health Center's requests. President Austin stated his belief that the University may not be given all the faculty it requests, but some funds may be made available for some number of positions. The University is receiving a positive reception from the legislature but there is a long way to go to reach our stated goals.

Committee Chair Drotch directed the committee to the information items. He stated that there have been recent articles in the press commenting on the use of operating dollars to fund some of the remedial work in the UCONN 2000 plan. The UCONN 2000 legislation prohibits the use of UCONN 2000 funds for the required remedial work. Mr. Drotch inquired that if that is the case, what other sources of funding are available to pay for the remediation work. Dr. Feldman stated that Mr. Drotch is correct that the oversight legislation of 2006 prohibits the use of UCONN 2000 funds for code repairs. Dr. Feldman explained that the University is using plant funds for this purpose.

Dr. Rowe asked if the University has other funds, other than operational funds, and UCONN 2000 funds. Dr. Feldman responded that there are auxiliary funds. Dr. Rowe stated that this would mean that the University is required to expend operating funds to pay for the remediation work necessary. Mr. Drotch stated that approximately 22% of revenue is from tuition and once money is received it is all fungible.

Trustee Kazerounian asked if the prohibition of utilizing the UCONN 2000 funds for remediation work pertains to all of the UCONN 2000 allotment. Dr. Feldman stated that the use prohibition in the 2006 legislation affects all phases of the UCONN 2000 program including 21st Century UConn. Trustee Treibick asked where funds recovered from insurers and lawsuits with original contractors would be put if it cannot go into the UCONN 2000 account. Mr. DeTora stated that all corrective action work has been funded through the operating funds and any recovery funds would be applied to the operating funds. The amount that has been expensed off over the last two years is approximately \$26 million.

There being no additional questions and no other action items appearing on the agenda Trustee Drotch adjourned the meeting at 11:25 a.m.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone

Secretary to the Committee



CONTRACTS AND AGREEMENTS
FOR INFORMATION
OVER \$100,000
APRIL 10, 2007

<u>NO.</u>	<u>CONTRACTOR OR LESSOR</u>	<u>RECEIVED BY UNIVERSITY</u>	<u>PAYMENT TO CONTRACTOR</u>	<u>FUND CHARGED/ CREDITED</u>
1	TENNESSEE TECHNOLOGICAL UNIVERSITY		\$156,451	RESEARCH FOUNDATION
2	NEW MEXICO STATE UNIVERSITY		\$209,890	RESEARCH FOUNDATION
3	THE LEFFLER AGENCY		\$480,000	AUXILIARY SERVICES
4	PGM, INC.		\$100,000	RESEARCH FOUNDATION
5	ACADEMIC CENTERS ABROAD, LLC		\$300,000.00	TUITION FUNDS

**CONTRACTS AND AGREEMENTS
FOR INFORMATION
OVER \$100,000
APRIL 10, 2007**

NO.

- | | |
|---------------------------|---|
| 1 AGREEMENT WITH : | TENNESSEE TECHNOLOGICAL UNIVERSITY
COOKEVILLE, TN |
| AMOUNT: | \$156,451.00 |
| EFFECTIVE DATES: | JANUARY 12, 2007 - JANUARY 11, 2010 |
| PROGRAM DIRECTOR: | EMMANOUIL ANAGNOSTOU
CIVIL & ENVIRONMENTAL ENGINEERING |
| PURPOSE: | PROVIDE AN ASSESSMENT IN THE IMPROVEMENT ANTICIPATED FROM
INCREASED SAMPLING DUE TO GLOBAL PRECIPITATION MEASUREMENT. |
| | |
| 2 AGREEMENT WITH: | NEW MEXICO STATE UNIVERSITY
LAS CRUCES, NM |
| AMOUNT: | \$209,890.00 |
| EFFECTIVE DATES: | JANUARY 15, 2007 - JANUARY 14, 2010 |
| PROGRAM DIRECTOR: | DAVID MILLER
NATURAL RESOURCE MANAGEMENT & ENGINEERING |
| PURPOSE: | WORKING TO MEASURE AND MODEL ROAD DUST AND AGRICULTUREAL FIELD
OPERATION DUST EMISSIONS BYADAPTING ENVIONRMENTAL PROTECTION
AGENCY STANDARD REGULATORY AIR-QUALITY MODELS TO SIMULATE FIELD-
SCALE DUST DISPERSION. |
| | |
| 3 AGREEMENT WITH: | THE LEFFLER AGENCY
BALTIMORE, MD |
| AMOUNT: | \$480,000 |
| EFFECTIVE DATES: | APRIL 1, 2007 - MARCH 31, 2008 |
| PROGRAM DIRECTOR: | JEFFREY A. HATHAWAY
DIVISION OF ATHLETICS |
| PURPOSE: | SPORTS MARKETING SERVICES AND CONSULTING FOR TICKET SALES AND
RELATED BUSINESS PLANS. INCLUDING CREATING PROMOTIONAL EVENTS
RELATED TO TICKET SALES, IDENTIFYING AND DEVELOPING NEW TICKET
CUSTOMERS, PLANNING FOR AND MAKING MEDIA BUYS RELATED TO TICKET
SALES, EVALUATING AND ANALYZING MEDIA BUYS, ASSISTING IN RELATED
PUBLIC RELATIONS, PRODUCING CREATIVE AD DESIGN, AND LIMITED
GRAPHIC ART, COPYWRITING, SECURING TALENT AND MANAGING THE MEDIA
PRODUCTION PROCESS. |
| | |
| 4 AGREEMENT WITH: | PGM, INC.
OREM, UT |
| AMOUNT: | \$100,000 |
| EFFECTIVE DATES: | FEBRUARY 1, 2007 - JANUARY 31, 2008 |
| PROGRAM DIRECTOR: | SAMUEL BEST & MARILYN MOIR
COLLEGE OF LIBERAL ARTS & SCIENCES |
| PURPOSE: | STANDARDIZED COMPUTER ASSISTED TELEPHONE INTERVIEW SERVICES |

**CONTRACTS AND AGREEMENTS
FOR INFORMATION
OVER \$100,000
APRIL 10, 2007**

NO.

5 AGREEMENT WITH :	ACADEMIC CENTERS ABROAD, LLC YONKERS, NY
AMOUNT:	\$300,000.00
EFFECTIVE DATES:	MAY 23, 2007 - JULY 1, 2007
PROGRAM DIRECTOR:	ROSS LEWIN STUDY ABROAD
PURPOSE:	PROVIDE STUDY ABROAD SERVICES TO A MAXIMUM OF 100 UCONN STUDENTS FOR THE SUMMER 2007 TERM AT PALAZZO RUCELLAI, ITALY.

AGENDA

Board of Trustees
ACADEMIC AFFAIRS COMMITTEE

Tuesday, April 10, 2007
University of Connecticut
Rome Commons Ballroom
10:00 a.m.

	<u>COMMITTEE</u>	<u>ATTACHMENT</u>
1) Approval of the Minutes of the Academic Affairs Committee Meeting of March 13, 2007 as circulated	A	

ACTION ITEMS:

2) Approval of a Graduate Certificate in Human Rights in the College of Liberal Arts and Sciences and the School of Law		3
3) Approval of the Teacher Certification Program for College Graduates (TCPCG) in the Neag School of Education to be offered at the Waterbury Campus		4

DISCUSSION ITEM:

- 4) The Academic Plan

INFORMATIONAL ITEM:

5) Establishment of the Center for Research in Mathematics Education in the Neag School of Education		9
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MINUTES
MEETING OF THE ACADEMIC AFFAIRS COMMITTEE
March 13, 2007

TRUSTEES PRESENT: Messrs. Barry, Burrow, Drotch, Kazerounian, Martinez, Prelli, Ritter, Rowe, Shepperd; Mesdames Bailey, Braun, Dennis-LaVigne, Gatling Lobo

STAFF PRESENT: Messrs. Anderson, Austin, Bradley, Callahan, DeTora, Feldman, Nicholls, Saddlemire, Schurin, Singha, Sullivan, Walker; Mesdames Aronson, Dunnack

Trustee Dennis-LaVigne convened the meeting at 10:00 a.m. at the University of Connecticut Waterbury Campus. On a motion by Trustee Gatling, seconded by Trustee Shepperd, the minutes of the January 30, 2007 meeting were approved as circulated.

Provost Nicholls introduced *Action Item #2, Approval of proposed changes to the University of Connecticut Laws and By-Laws (Article XV.K.1.b, Sabbatical Leave Eligibility)*. Provost Nicholls remarked that the Board is being asked to revise the language of Article XV Section K.1 to clarify language relating to length of continuous service needed prior to a sabbatical. The proposed language is six years of continuous full-time service is defined as full-time service for at least twelve of the fourteen semesters preceding the leave. This change will bring the policy in alignment with a memo from Chancellor Emmert from 1998 that allowed some flexibility in the definition of continuous service to accommodate special situations. On a motion by Trustee Dennis-LaVigne, seconded by Trustee Shepperd, the Committee recommended the approval of these *Laws and By-Laws* to the full Board for approval.

Provost Nicholls introduced *Action Item #3, Approval of a Graduate Certificate in Law and Public Policy in the School of Law*. The program, which will be housed at the Law School, will be complemented initially by a new law and public policy track within the DPP's existing certificate program in Public and Non-Profit Management, which is housed at the DPP on the West Hartford campus. The Law School certificate program, as well as the new track within the DPP's existing certificate program, will run as a two-year pilot project, at the end of which it will be evaluated by an oversight committee consisting of faculty members from both schools. Trustee Gatling asked if the certificate will be given at the same time as a degree. Associate Dean Paul Chill, School of Law, replied there would be no additional time of study. On a motion by Trustee Dennis-LaVigne, seconded by Trustee Lobo, the Committee recommended the approval of a graduate certificate in Law and Public Policy to the full Board for approval.

Provost Nicholls introduced *Action Item #4, Discontinuation of Three Majors in Allied Health Sciences (Diagnostic Sciences, Health Promotion Sciences, Rehabilitation Sciences) in the College of Agriculture and Natural Resources*. On January 31, 2006, the Board of Trustees approved the restructuring of programs at the University. This included the Department of Applied Health Sciences and Health Promotion becoming a department within the College of Agriculture and Natural Resources and being renamed the Department of Allied Health Sciences. The faculty in the Department of Allied Health Sciences carefully evaluated their programs and decided that the most

meaningful approach to developing programmatic strength and quality would be to offer a single major in Allied Health Sciences. This major allows students to follow concentrations in either Diagnostic Sciences or Health Promotion Sciences. Trustee Gatling asked if any students are presently enrolled in any of these majors; Dr. Lawrence Silbart, Department Head, Allied Health Sciences, responded that no students are presently enrolled. On a motion by Trustee Dennis-LaVigne, seconded by Trustee Gatling, the Committee recommended the approval of the discontinuation of three Allied Health Science majors to the full Board for approval.

Provost Nicholls introduced *Action Item #5, Appointment of Urs A. Boelsterli to the Boehringer Ingelheim Pharmaceuticals, Inc. Chair in Mechanistic Toxicology in the School of Pharmacy*. Dr. Boelsterli will be the first recipient of this Chair, established in 2006 by an endowment from Boehringer Ingelheim Pharmaceuticals, Inc. Dr. Boelsterli's interests focus on elucidating mechanisms underlying drug-induced liver injury and identifying the determinants of susceptibility to idiosyncratic liver injury. His work has been supported by major international pharmaceutical industries and by European and Asian governmental agencies. His current research efforts are funded at nearly \$1 million per year. He has been invited to speak in numerous international symposia on his research. He is the author of two text books and over 75 articles in the peer reviewed literature. On a motion by Trustee Dennis-LaVigne, seconded by Trustee Shepperd, the Committee recommended the appointment of Urs A. Boelsterli to the Boehringer Ingelheim Pharmaceuticals, Inc. Chair in Mechanistic Toxicology to the full Board for approval.

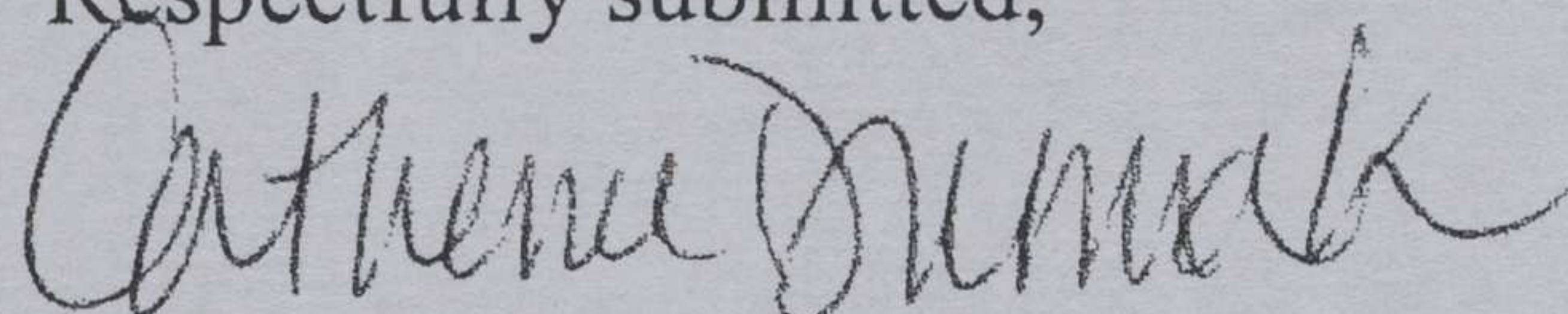
Provost Nicholls introduced *Informational Item #6, 2006 Report of Sponsored Activity*. Dr. Gregory Anderson, Vice Provost for Research and Graduate Education distributed the 2006 Report of Sponsored Activity. This book is comprised of three sections: Proposals, Awards, and Expenditures. Over 50% of submitted proposals at the University of Connecticut are from Liberal Arts and Sciences, with almost 1/3 of proposals from the School of Engineering. Approximately 50% of proposals go to federal agencies as well as State, private and other agencies. Most of the funds (3/4) come from the federal government with 1/4 coming from all other entities. The National Institute of Health went through a doubling program, where the amount of grant funds was doubled and all entities including the University of Connecticut showed a dramatic increase in external funding. The program has currently leveled off. Chairman Rowe asked Dr. Anderson to inform the Board as to why the School of Engineering Fuel Cell Center was down approximately \$980,000. Dr. Anderson explained that the facility was constructed in part through the federal earmark process, and when the construction was complete, this federal earmark funding ended.

Presentation by Ms. Maria Sedotti, Coordinator of Orientation Services. Orientation Services is a three phase process which includes: summer orientation, Husky Week of Welcome (Husky WOW) and First Year Experience. These programs support freshman throughout the summer and during their first semester. Orientation Services hold 12 two-day sessions for parents and incoming freshman during the end of May and beginning of July. Trustee Dennis-LaVigne asked if there is a cost for these sessions; Ms. Sedotti replied that the charge is \$225.00 for freshman and \$110.00 for transfer students; this includes up to two parents/guardians, overnight accommodations for the student, program materials and meals for the student. Approximately 250 freshmen attend these two-day sessions. A separate program is held for parents, with over 240 parents in attendance at each session. Topics covered during orientation include registration, WEB CT Vista, technology, academic life, alcohol issues and discussions on diversity and campus tours. A sexual assault class is offered during weeks

one through four, where the instances on assault are highest across colleges in the nation. Chairman Rowe asked how incoming students, arriving after the July orientation program are handled, to which Ms. Sedotti replied that special arrangements are made for any student not able to attend orientation. Trustee Gatling asked how sessions and students are coordinated; Ms. Sedotti replied that the date of the two-day session is determined by the student's school/college. Trustee Dennis-LaVigne asked how many freshman attend Husky WOW; Ms. Sedotti replied approximately 2,000.

There being no other items on the agenda the meeting was adjourned at 11:00 a.m.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Catherine Dunnack".

Catherine Dunnack
Secretary to the Committee

