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2015 June 24 -- Agenda and attachments

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Board of



TRUSTEES

VOL. 153 JUNE 24, 2015

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

AGENDA

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

June 24, 2015

BOARD OF TRUSTEES SCHEDULE

9:00 a.m.	Financial Affairs Committee Meeting (Budget Workshop)
10:30 a.m.	Board of Trustees Meeting

BOARD MEETING AGENDA

Call to order at **10:30 a.m.**

1. Public Participation
2. Chairman's Report
 - (a) Matters outstanding
 - (b) Board recognitions
 - (c) Minutes of the meeting of April 29, 2015
 - (d) Consent Agenda Items:
 - (1) Contracts and Agreements for the Storrs-based Programs and UConn Health (Attachment 1)
 - (2) Extension and Restructuring of an Existing Long-Term Ground Lease with Celeron Square Associates LLC (CSA) (Attachment 2)
 - (3) Travel and Entertainment Policies and Procedures – Revised (Attachment 3)
 - (4) Promotion and Tenure (Attachment 4)
 - (5) Sabbatical Leave Recommendations (Attachment 5)
 - (6) Doctor of Philosophy in Health Promotion Sciences in the College of Agriculture, Health and Natural Resources (Attachment 6)
 - (e) Informational item:
 - (1) Notification of Proposed Changes to the *By-Laws of the University of Connecticut* Article XV.G – General Policies and Practices (Attachment 7)
3. President's Report
4. Academic Affairs Committee Report
 - (a) Report on Committee activities
5. Financial Affairs Committee Report
 - (a) Report on Committee activities

(b) Items requiring Board discussion and approval:

Budget Items (Storrs-based and UConn Health):

- | | | |
|-----|---|-----------------|
| (1) | UConn Foundation Master Agreement –
Proposed Amendment and Fiscal Year 2016
Statement of Work | (Attachment 8) |
| (2) | Management Agreement for the Nathan Hale Inn | (Attachment 9) |
| (3) | Spending Plan for Fiscal Year 2016 for the University
of Connecticut, Storrs and Regional Campuses | (Attachment 10) |
| (4) | Spending Plan for Fiscal Year 2016 for UConn Health | (Attachment 11) |
| (5) | UCONN 2000 Fiscal Year 2016 Capital Budget | (Attachment 12) |
| (6) | Fiscal Year 2016 Deferred Maintenance/Code/ADA
Renovation Lump Sum Project List | (Attachment 13) |

Bond Allocations:

- | | | |
|------|---|-----------------|
| (7) | Twenty-first Supplemental Indenture Authorizing University
of Connecticut General Obligation Bonds | (Attachment 14) |
| (8) | Revised Allocation of Bond Authorizations as set forth in the
Twentieth Supplemental Indenture (University of Connecticut
General Obligation Bonds) | (Attachment 15) |
| (9) | Revised Allocation of Bond Authorizations as set forth in the
Nineteenth Supplemental Indenture (University of Connecticut
General Obligation Bonds) | (Attachment 16) |
| (10) | Revised Allocation of Bond Authorizations as set forth in the
Seventeenth Supplemental Indenture (University of Connecticut
General Obligation Bonds) | (Attachment 17) |
| (11) | Revised Allocation of Bond Authorizations as set forth in the
Sixteenth Supplemental Indenture (University of Connecticut
General Obligation Bonds) | (Attachment 18) |

Project Budgets (Storrs-based):

- | | | |
|------|---|-----------------|
| (12) | Project Budget (Final) for Academic and Research Facilities –
Main Accumulation Area for Regulated Waste | (Attachment 19) |
| (13) | Project Budget (Final) for Arjona and Monteith –
Monteith Renovations | (Attachment 20) |
| (14) | Project Budget (Final) for Engineering Building –
Engineering and Science Building | (Attachment 21) |
| (15) | Project Budget (Final) to Replace Gampel Chillers | (Attachment 22) |
| (16) | Project Budget (Final) for South Campus Stair Repair | (Attachment 23) |
| (17) | Project Budget (Revised Final) to Replace Gampel
Cooling Towers | (Attachment 24) |

Project Budgets (UConn Health):

- | | | |
|------|---|-----------------|
| (18) | Project Budget (Planning) for the UConn Health Main
Building Boiler and Deaerator Tank Replacement | (Attachment 25) |
| (19) | Project Budget (Design) for the UConn Health Main
Building Renovation; Lab ("L") Building Renovations –
Project 2 | (Attachment 26) |

- (20) Project Budget (Revised Design) for the UConn Health New Construction and Renovations – Clinic (C) Building Renovations (Attachment 27)
 - (21) Project Budget (Revised Final) for the UConn Health Main Building Renovation; Lab (“L”) Building Renovations – Project 1 (Attachment 28)
 - (22) Project Budget (Revised Final) for the UConn Health Medical School Academic Building Addition and Renovations (Attachment 29)
 - (23) Project Budget (Revised Final) for the UConn Health New Construction and Renovations: New Hospital Tower (Attachment 30)
 - (24) Project Budget (Revised Final) for the UConn Health New Construction and Renovations: Roadway and Intersection Improvements (Attachment 31)
 - (25) Project Budget (Revised Final) for the UConn Health Research Tower – Incubator Lab Addition to the Cell and Genome Sciences Building (Attachment 32)
- (c) Informational item:
 - (1) UCONN 2000 Book 40:
<http://reports.uconn.edu/2015/06/11/legislative-report-no-40/>
- 6. UConn Health Report
 - (a) Report on UConn Health activities
- 7. Joint Audit and Compliance Committee Report
 - (a) Report on Committee activities
- 8. Buildings, Grounds and Environment Committee Report
 - (a) Report on Committee activities
 - (b) Item requiring Board discussion and approval:
 - (1) Electric Distribution Easement to CL&P – North Hillside Road, Storrs Campus (Attachment 33)
- 9. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
- 10. Student Life Committee Report
 - (a) Report of Committee activities
- 11. Institutional Advancement Committee Report
 - (a) Report on Committee activities
- 12. Committee on Compensation Report
 - (a) Report on Committee activities
- 13. Other business
- 14. Executive Session anticipated
- 15. Adjournment

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

ATTACHMENT 1

**CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 24, 2015**

PROCUREMENT - NEW

CATERING FOR ATHLETICS

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	KHR (d/b/a A Step Above Catering)	UC-16-KA121714-8A	\$1,485,000	07/01/15-06/30/18	Auxiliary Services	Warde Manual, Director of Athletics	Catering services for Division of Athletics in support of varsity sporting events and other special events on Storrs campus. This is the result of a publicly conducted solicitation. Two extensions of one year each are available.

CHARTER TRAVEL

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Air Planning, LLC	UC- 16-KA021115-8A	\$3,269,880	06/25/15-06/30/18	Auxiliary Services	Warde Manual, Director of Athletics	Air charter for the Division of Athletics, predominately for transporting football and basketball teams, coaching staff, and equipment. This is the result of a publicly conducted solicitation. Two extensions of one year each are available.
2	New England Flight Watch, LLC (d/b/a Charter Search)	UC- 16-KA021115-8B	\$3,070,800	06/25/15-06/30/18	Auxiliary Services	Warde Manual, Director of Athletics	Air charter for the Division of Athletics, predominately for transporting football and basketball teams, coaching staff and equipment. This is the result of a publicly conducted solicitation. Two extensions of one year each are available.

ELEVATOR MAINTENANCE

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Otis Elevator Company	NIPA 19281	\$5,000,000	07/01/15-06/30/20	Multiple Sources	Matthew Larson, Director of Procurement Services	Service, maintenance, repairs, upgrades, and modifications to elevators on all University campuses, including UCH. Zero options to extend.

HR/PAYROLL DATA WAREHOUSE

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Oracle America, Inc.	UC-15-YV112013	\$2,100,000	08/01/15-07/31/17	UConn 2000	Scott Jordan, Executive Vice President of Administration and CFO	Consulting services for implementation of the Core-CT human resources and payroll reporting functions for all University campuses, other than UCH. This is the result of a publicly conducted solicitation. Zero options to extend.

INDUSTRIAL SUPPLIES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	W.W. Grainger	NIPA #1862	\$1,650,000	07/01/15-06/30/20	Multiple Sources	Matthew Larson, Director of Procurement Services	Industrial supplies for all University campuses, other than UCH. Zero options to extend.

JANITORIAL

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	DTZ, Inc.	LM040115-1	\$13,000,000	07/01/15-06/30/18	Operating Funds - Auxiliary Services	Michael Jednak, AVP Facilities Operations and Building Services	Custodial services for the Storrs and Depot Campuses. This is the result of a publicly conducted solicitation. Two extensions of one year each available.

PROFESSIONAL EDUCATION SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Anglo Educational Services	UC-16-KA121114-8	\$2,853,980	07/01/15-06/30/18	Auxiliary Services	Kevin Brennan PhD, Executive Program Director	Housing, office space, classrooms, library and computer access, and financial and accounting services to support the University's London Study Abroad Program for the 2015 - 2018 fall, winter, spring and summer sessions. This is the result of a publicly conducted solicitation. Two extensions of one year each are available. The expenses associated with this contract are borne by the participating students, not by the University.

CONTRACTS AND AGREEMENTS
FOR APPROVAL
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PROCUREMENT - AMENDMENTS

2-WAY RADIO EQUIPMENT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Motorola Solutions Inc.	99ITZ0001MA (formerly A-99-001 MA)	\$251,111 [Contract Value Previously \$979,821; Total New Contract Value \$1,230,932]	11/23/91-12/31/16	Operating Fund, General	Barbara O'Connor, Director of Public Safety and Chief of Police	\$979,821	\$111,605	\$0	2-Way radio equipment, primarily for the Division of Public Safety. Amend to increase contract value by \$251,111 for a total new contract value of \$1,230,932. Four one year options to extend remain.

DORMITORY FURNITURE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Butler Woodcrafters, Inc.	07PSX0285	\$333,727 [Contract Value Previously \$1,898,954; Total New Contract Value \$2,232,681]	11/01/13-06/30/16	Auxiliary Funds	Michael Gilbert, Ph.D., Vice President of Student Affairs	\$1,741,468	\$407,206	\$0	Manufacture, delivery, and installation of dormitory furniture. Amend to increase contract value by \$333,727 for a total new contract value of \$2,232,681. Two extensions of one year each remain.

ELECTRICAL SUPPLIES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Hampden Zimmerman Electric Supply Company (a/k/a Standard Electric)	UC-10-PL021710-1	\$0 [Contract Value Previously \$5,805,038; Contract Value Remains the Same]	07/01/10-06/30/16	Multiple Sources	Matthew Larson, Director of Procurement Services	\$5,240,823	\$490,838	\$1,039,247	Electrical equipment and supplies for maintenance, repair, and operation on all University campuses, including UCH. Amend to extend term by one (1) year, through 06/30/16. Zero extensions remain.
2	Northeast Electric Distributors	UC-10-PL021710-1	\$125,000 [Contract Value Previously \$1,166,204; Total New Contract Value \$1,291,204]	07/01/10-06/30/16	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,042,482	\$250,560	\$65,930	Electrical equipment and supplies for all University campuses, including UCH. Amend to increase contract value by \$125,000 for a total new contract value of \$1,291,204. Zero extensions remain.

FIRE ALARM TESTING & INSPECTION

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Simplex Grinnell, LP	UC-13-051612LM	\$568,685 [Contract Value Previously \$2,769,647; Total New Contract Value \$3,338,332]	07/01/12-06/30/16	Multiple Sources	Matthew Larson, Director of Procurement Services	\$2,343,803	\$792,913	\$879,500	Testing, inspection and preventative maintenance services for fire alarm systems and equipment at all University campuses, other than UCH. Amend to increase contract value by \$568,685 for a total new contract value of \$3,338,332. One extension of one year remains.

**CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 24, 2015**

FOOD CONTRACTS										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Freshpoint	UC-12-KA040111	\$3,026,972 [Contract Value Previously \$8,701,229; Total New Contract Value \$11,728,201]	\$3,026,972 [Contract Value Previously \$8,701,229; Total New Contract Value \$11,728,201]	Auxiliary Services	Michael Gilbert, Vice President for Student Affairs	\$8,582,394	\$2,307,506	\$2,016,147	Fresh fruit and produce primarily for the Department of Dining Services use for student meals, dairy bar and other needs. Amend to increase contract value by \$3,026,972, for a total new total contract value of \$11,728,201. Amend to extend term for one (1) year, through 6/30/16. Zero extensions remain.
2	Performance Food Group	UC-11-KA091010	\$428,282 [Contract Value Previously \$3,328,295; Total New Contract Value \$3,756,577]	03/01/11-02/28/16	Auxiliary Services	Michael Gilbert, Vice President for Student Affairs	\$2,920,217	\$631,048	\$669,896	Meat, poultry and cheese products to Dining Services for the dining halls, catering, and other needs. Amend to increase contract value by \$428,282, for a total new total contract value of \$3,756,577. Zero extensions remain.
JANITORIAL SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	GCA Services Group, Inc.	UC-08-KJ120707-1-B	\$600,000 [Contract Value Previously \$3,841,610; Total New Contract Value \$4,441,610]	01/01/15-07/31/15	Operating Fund - General	Michael Jednak, AVP Facilities Operations and Building Services	\$1,850,475	\$0	\$0	Custodial services at the Storrs and Depot campuses. Amend to increase contract value by \$600,000, for a new total contract value of \$4,441,610. Amend to extend term for one month, through 07/31/15. Zero options to extend.
NETWORK AND SECURITY HARDWARE										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Aruba; Atlantic Computing; Atrion Networking Corporation; Bat Blue Corporation; Carousel Industries; CDW; Dyntek; e-Plus Technologies; HB Communications; Impulse Point; Innovative Information Systems; Integration Partners; Lighthouse Computer Services, Inc.; MTM Technologies, Inc.; OMNI Data, LLC; RESCO Inc.; The Ergonomic Group; Versatile Communications; VION; Wright Line LLC	UC-11-B001651-G(1)	\$0 [Contract Value Previously \$6,950,000; Contract Value Remains the Same]	07/06/10-12/31/15	Multiple Sources	Michael Mundrane, Vice Provost of IT and Chief Information Officer	\$6,175,132	\$1,319,962	\$1,740,926	Operating system, network, and security hardware and services for all University campuses, including UCH. Amend to extend term for six months, through 12/31/15. Zero extensions remain.
2	IGX Acquisitions LLC (d/b/a IGX Global)	UC-11-B001651-G(2)	\$0 [Contract Value Previously \$2,149,646; Contract Value Remains the Same]	07/06/10-12/31/15	Multiple Sources	Michael Mundrane, Ph.D., Vice Provost and Chief Information Officer	\$1,027,946	\$61,868	\$24,942	Operating system, network and security hardware and services for all University campuses, including UCH. Amend to extend term for six months, through 12/31/15. Zero options to extend.

CONTRACTS AND AGREEMENTS
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NETWORK AND SECURITY HARDWARE (continued)										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
3	Mainline Information Systems	UC-11-B001651-G(3)	\$0 [Contract Value Previously \$3,279,461; Contract Value Remains the Same]	07/06/10-12/31/15	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	\$2,507,430	\$148,085	\$1,061,745	Operating system, network, and security hardware and services for all University campuses, including UCH. Amend to increase contract value by \$545,404 for a total new contract value of \$3,824,865. Amend to extend term for six months, through 12/31/15. Zero extensions remain.
4	NWN Corporation	UC-11-B001651-G(4)	\$0 [Contract Value Previously \$7,412,348; Contract Value Remains the Same]	07/01/10-06/30/15	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer	\$2,042,244	\$1,146,886	\$518,000	Operating system, network, and security hardware and services for all University campuses, including UCH. Amend to extend term for six months, through 12/31/15. Zero extensions remain.
OIL & FUEL										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Dime Oil	12PSX0029	\$242,030 [Contract Value Previously \$975,000; Total New Contract Value \$1,217,030]	05/01/12-10/31/15	Operating Funds-General	Michael Jednak. AVP Facilities Operations & Building Services	\$950,126	\$445,807	\$570,962	Diesel fuel for all University campuses, other than UCH. Amend to increase contract value by \$242,030, for a total new total contract value of \$1,217,030. Amend to extend contract by six months to 10/31/15. Zero options to extend.
2	East River Oil	12PSX0028	\$0 [Contract Value Previously \$6,855,410; Contract Value Remains the Same]	05/01/12-10/31/15	Operating Funds-General	Michael Jednak. AVP Facilities Operations & Building Services	\$5,649,340	\$2,590,352	\$0	Heating fuel for the Central Utility Plant/CoGeneration facility. Amend to extend contract by six months to 10/31/15. Zero options to extend.
ON-CALL CONSULTANT SERVICES - PROJECT MANAGEMENT OVERSIGHT										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	AI Engineers, Inc.	PMO-01/900/ 043018	\$1,100,000 [Contract Value Previously \$990,000; Total New Contract Value \$2,000,000]	05/01/15-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$0	\$0	\$0	On-call project management services for construction projects on all University campuses, including UCH. Amend to increase contract value by \$1,100,000 for a total new contract value of \$2,000,000. Zero extensions remain.
2	Hill International, Inc.	PMO-02/900/ 043018	\$1,100,000 [Contract Value Previously \$990,000; Total New Contract Value \$2,000,000]	05/01/15-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$0	\$0	\$0	On-call project management services for construction projects on all University campuses, including UCH. Amend to increase contract value by \$1,100,000 for a total new contract value of \$2,000,000. Zero extensions remain.
3	Jacobs Project Management Co.	PMO-03/900/ 043018	\$1,100,000 [Contract Value Previously \$990,000; Total New Contract Value \$2,000,000]	05/01/15-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$0	\$0	\$0	On-call project management services for construction projects on all University campuses, including UCH. Amend to increase contract value by \$1,100,000 for a total new contract value of \$2,000,000. Zero extensions remain.

CONTRACTS AND AGREEMENTS
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ON-CALL CONSULTANT SERVICES - PROJECT MANAGEMENT OVERSIGHT (continued)										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
4	Strategic Building Solutions, LLC	PMO-04/900/ 043018	\$1,100,000 [Contract Value Previously \$990,000; Total New Contract Value \$2,000,000]	05/01/15-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$0	\$0	\$0	On-call project management services for construction projects on all University campuses, including UCH. Amend to increase contract value by \$1,100,000 for a total new contract value of \$2,000,000. Zero extensions remain.
SOFTWARE & SOFTWARE MAINTENANCE AND SUPPORT										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Accruent, LLC	UC-5-2390	\$650,000 [Contract Value Previously \$2,720,000; Total New Contract Value \$3,370,000]	07/01/10-06/30/17	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer, Information Technology	\$1,616,896	\$319,139	\$323,743	Licenses, maintenance, and support for the University's FAMIS system on all University campuses, including UCH. Amend to increase contract value by \$650,000 for a new contract value of \$3,370,000. Amend to extend term for two years, through 6/30/17. Zero extensions remain.
2	Atlantic Computing; BMC; CDW-G; Cloudpath; DLT; En Pointe Technologies; Ergonomic Group; Velosecure, LLC (d/b/a Identity Finder, LLC); IGX Global; Lighthouse Computer Services; Mainline Information Systems; MTM; Rapid 7; SAI; Software House International; Splunk	UC-10-B001652-3	\$0 [Contract Value Previously \$6,950,000; Contract Value Remains the Same]	06/16/10-12/30/15	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer, Information Technology	\$2,657,920	\$325,990	\$510,770	Operating systems, network and security software and services for University Information Technology Services. Amend to extend term for six (6) months, through 12/30/15. Zero extensions remain.
3	InfoEd International, Inc.	43462	\$299,473 [Contract Value Previously \$2,350,289; Total New Contract Value \$2,649,762]	07/01/10-06/30/19	Research Foundation Fund	Jeff Seemann, Ph.D., Vice President for Research	\$935,867	\$370,748	\$237,447	Maintenance and support for the University's Electronic Research Administration Systems. Amend to increase contract value by \$299,473 for a total new contract value of \$2,649,762. Zero extensions remain.
4	Oracle, USA	94ITZ0005MA/MB	\$920,313 [Contract Value Previously \$12,255,842; Total New Contract Value \$13,176,155]	07/01/08-06/30/17	Multiple Sources	Michael Mundrane, Vice Provost and Chief Information Officer, Information Technology	\$9,201,345	\$1,029,013	\$1,538,649	Software licenses, maintenance and support for administration systems for all University campuses, excluding UCH. Amend to increase contract value by \$920,313 for a new contract value of \$13,176,155. Amend to extend term for two years, through 6/30/17.

CONTRACTS AND AGREEMENTS
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TRADE LABOR SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Sarazin General Contractors, Inc.	071111MS	\$539,012 [Contract Value Previously \$2,346,000; Total New Contract Value \$2,885,012]	11/11/11- 11/10/16	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,810,088	\$727,949	\$705,271	Trade labor for renovation projects on all University campuses, including UCH. Contract used primarily by the University's Department of Academic Renovations. Amend to increase contract value by \$539,012 for a new total contract value of \$2,885,012. Amend to extend term by one (1) year, to 11/10/16. Zero extensions remain.

VEHICLE RENTALS										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	Enterprise Rent-a-Car (d/b/a Camrac LLC)	UC-09-SG71506	\$99,542 [Contract Value Previously \$975,000; Total New Contract Value \$1,074,542]	07/01/08-06/30/16	Multiple Sources	William Wendt, Director of Logistics Administration	\$903,952	\$142,855	\$149,600	On-site vehicle rental service for University business purposes and for sanctioned student activity groups. Amend to increase contract value by \$99,542 for a total new contract value of \$1,074,542. Amend to extend term for one (1) year, through 6/30/16. Zero options to extend.

OTHER AGREEMENTS FOR APPROVAL- AMENDMENTS

LIBRARY- SCIENTIFIC JOURNALS										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 4/30/15	Expenditures FY 14	Expenditures FY 13	Purpose
1	EBSCO Industries Inc.	UC-13-CON070112(A)	\$2,400,000 [Contract Value Previously \$4,100,000; Total New Contract Value \$6,500,000]	0701/13-06/30/16	Multiple Sources	Martha Bedard, Vice Provost for University Libraries	\$3,331,156	\$2,188,063	\$0	Access to academic journals for all University campuses, including UCH. Journals include packages held by Wiley Interscience Core Collection, Taylor & Francis, and Springer. This is a library media acquisition that will be effected under Section 10a-151a of the Connecticut General Statutes. Amend to increase contract value by \$2,400,000 for a total new contract value of \$6,500,000. Amend to extend term for six months, through 6/30/16. Zero options to extend.
2	NorthEast Research Libraries Consortia (a/k/a NERL/Yale)	UC-13-CON070112(B)	\$930,000 [Contract Value Previously \$1,800,000; Total New Contract Value \$2,730,000]	0701/13-06/30/16	Multiple Sources	Martha Bedard, Vice Provost for University Libraries	\$1,824,813	\$997,161	\$0	Access to academic journals for all University campuses, including UCH. Journals include packages held by Nature Publishing Group and LexisNexis. This is a library media acquisition that will be effected under Section 10a-151a of the Connecticut General Statutes. Amend to increase contract value by \$930,000 for a total new contract value of \$2,730,000. Amend to extend term for six months, through 6/30/16.

CONTRACTS AND AGREEMENTS
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UNIVERSITY AS LESSOR						
No.	Lessee	Annual Amount Receivable	Term	Fund Source	Program Director	Purpose
1	CAMRAC, Inc., d/b/a Enterprise Rent-A-Car	\$6,660	02/01/09-06/30/16	Operating Fund - General	William Wendt, Director - Logistics Administration	Third amendment of the lease of approximately 150 square feet of office space in Room 112 West side, of the building known as the Central Warehouse , within the office of Parking and Transportation Services, 3 North Hillside Road, Storrs, CT for the purpose of providing on-site rental of motor vehicles to University employees, sanctioned student activity groups/clubs and affiliates for official University business and no other purpose. Rent will be \$555 per month and the amendment extends the current term by one year to 6/30/2016. Included in lease are 10 parking spaces in University F lot reserved exclusively for rental vehicles.
UNIVERSITY AS LESSEE						
No.	Lessor	Annual Amount Receivable	Term	Fund Source	Program Director	Purpose
1	Farmington Exchange, LLC	\$231,570	09/01/15-08/31/20	Operating Funds	Mary Beth Bruder Director/Professor, Child and Family Studies	Lease renewal for Child and Family Studies of 12,865 sf at Farmington Exchange (Suites 173, 181 & 183).
2	S.S & H. Associates, LLC	\$207,023	02/01/16-03/31/23	Operating Funds	Martin Kelly Facility Practice Manager, Psychiatry	Lease renewal for Psychiatry Department of 9,001 sf at 10 Talcott Notch Road. Five year lease with one 2-year renewal option.
3	2 Simsbury Road LLC	\$77,270	07/01/15-06/30/30	Operating Funds- Clinical	Anne Horbatuck Director, Signature Programs	Lease for Orthopedics of 3,420 sf at 2 Simsbury Road. Ten year lease with one 5-year renewal option. NOTE: This request amends the item that was approved by the Board of Directors on 12/8/14 to reflect the final negotiated price per square foot, lease term, yearly increase and CAM. This lease will be processed through the University of Connecticut Health Center
4	Connecticut Children's Medical Center	\$84,810	07/01/15-06/30/16	Operating Funds- Clinical	John Brigada Director, Dean's Office-Dental	Lease renewal for School of Dental Medicine of 3,000 sf of dental and office space at CCMC. NOTE: This lease will be processed through the University of Connecticut Health Center Finance Corporation.

ATTACHMENT 2



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

Thomas Q. Callahan
Associate Vice President for Infrastructure Planning
& Strategic Project Management



RE: Extension and Restructuring of an Existing Long-Term Ground Lease with
Celeron Square Associates LLC (CSA)

Recommendation:

That the Board of Trustees authorize the extension and restructuring of an existing long-term ground lease with Celeron Square Associates LLC (CSA). The purpose of this action is to facilitate the physical renewal of existing housing units and the construction of additional housing units on UConn-owned property in order to partially accommodate UConn's enrollment growth as well to resolve potential CSA damage claims and litigation and to put in place agreements to allow UConn to satisfy DEEP consent order remediation obligations relative to the closure of the former UConn landfill.

Background:

In the mid 1980's the University, through an affiliate, University of Connecticut Educational Properties Incorporated (UCEPI), hired a third party to develop the Connecticut Technology Park. The proposed tech park was to include research and commercial facilities, a hotel conference center, offices and residential facilities on UConn's 390 acre north campus in Storrs. To facilitate development of the Tech Park, the University entered into a long-term ground lease with UCEPI. The project faltered and ultimately failed in the mid-1990's, except for the construction of Celeron Square Apartments pursuant to a terms of a sub-ground lease from UCEPI to CSA covering approximately 36 acres of land and the partial completion of North Hillside Road. UCEPI was legally dissolved in the mid-2000's and the Celeron Square sub-ground lease became a direct lease with the University.

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

Existing Lease

The approximately 36 acre ground lease property has frontage on Hunting Lodge Road and is depicted on the attached map. The existing residential improvements were constructed on approximately 19 acres of this property in late 1980's. (Identified as Celeron Phase 1). The lease established an initial 45 year term and included provisions for extending the lease through 2052 under four 5-year extension options. UConn agreed to provide water and sewer services as part of the agreement. Land use regulation was executed by the Town of Mansfield, pursuant special statutory authorization provided for in the establishment of UCEPI. CSA's plans to timely construct additional improvements beyond Celeron Square Phase 1 stalled due to a combination of market and regulatory forces. Over the past decade, CSA's insistence that UConn provide a "no cost" lease extension for Phase 1 as compensation for its alleged damages and its reluctance to fully cooperate with UConn in providing a needed environmental land use restriction on a portion of its leasehold contributed to the parties' interests becoming adverse.

Proposed Extension

With the dissolution of UCEPI, the enactment of Next Generation Connecticut and the assurance of additional water supply for UConn and Storrs, the parties reopened negotiations last fall to agree on a lease extension transaction that would provide fair market value rents to UConn (not a "no cost" extension), renovate and refurbish existing student housing units and cause new housing units to be constructed on UConn property, and avoid potential future litigation.

If approved, the lease term would be extended by 52 years to 2084 with no additional extension options. The lease term for the Phase 2 parcel, however, would be subject to early termination if the CSA abandons its efforts to obtain the requisite approvals to construct new housing units or fails to start construction of the improvements within two years of securing all approvals. All improvements are owned by CSA for the full lease term and revert to UConn upon expiration of the lease.

Project Economics

- Through Halloran & Sage, UConn's outside counsel, Patrick J. Wellspeak of Wellspeak Dugas and Kane, LLC was retained to provide a real estate appraisal and valuation consulting services.
- Wellspeak established the present value to the University of Phase 1 is \$3.1million (comprised of the present value of market rents over the remainder of the lease term (~\$2MM) and the value of the reversion of the improved property after the existing lease termination date in 2032.
- Wellspeak also established that the economic cost to the University of CSA's proposed "no-cost" extension as to Phase 1 would be \$2.9 million.
- With respect to Phase 2, the parties' appraisers agreed on fair market rent of \$25K/unit, which corresponds with the fair market value in the Wellspeak appraisal. Assuming 120

new units are constructed (240 beds; number ultimately variable based on density approved), the aggregate Phase 2 rent would be \$3.0 million.

- If phase 2 is constructed, CSA will ultimately pay UConn \$5 million to extend and restructure the lease for both Phases (\$2.5 million in prepaid Phase 1 rent and \$3.0 million for Phase 2 rent, less a negotiated \$500,000 credit).
- Should Phase 2 not be constructed, UConn would receive \$2.5 million for Phase 1 rent and secure an early reversion of the Phase 2 land.
- UConn also benefits by avoiding the capital and operating costs associated with constructing, owning and operating a comparable number of beds on campus.
- Either scenario resolves long-standing disputes between the parties and resolve issues relative to landfill closure.


Other Key Lease Provisions

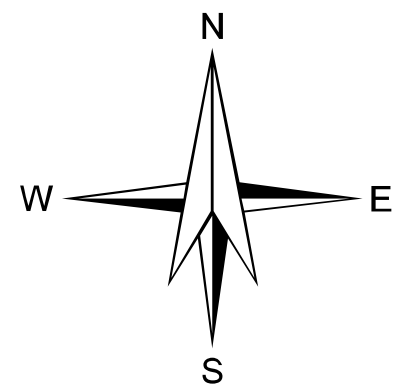
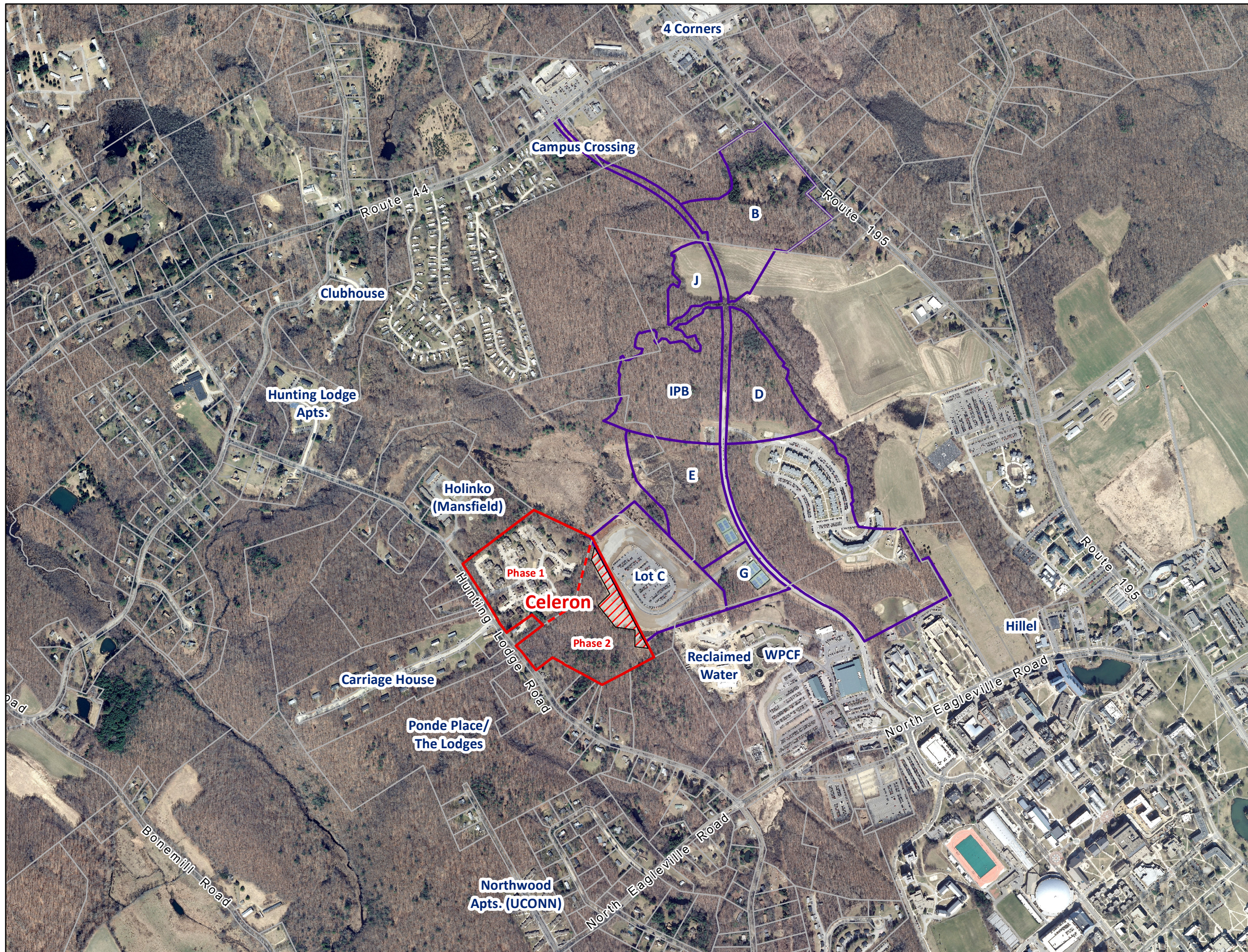
- Permitted Use: CSA will be permitted to use the property for the construction and operation of residential housing units for students and faculty of the University of Connecticut and others.
- Phase 1 Rent: CSA previously prepaid Phase 1 base rent through 2032 at the outset of the existing lease. CSA will prepay base rent in the amount of \$2.5 million upon execution of the lease for this land to extend the lease from 2032 to 2084. UConn will escrow \$250,000 of this amount to split the costs with CSA of paving the existing unpaved Phase 1 parking areas.
- Phase 2 Rent: Base rent for the Phase 2 parcel shall be an amount equal to \$25,000 per new unit constructed, less a \$500,000 credit, such that the overall Phase 1 and 2 rent would be \$5.0 million.
- Additional Rent: The lease is "triple net" meaning CSA is responsible for all taxes, insurance, and utility charges; for all construction; and for all structural and non-structural, maintenance, repairs and replacements of all improvements.
- Second Phase Construction: UConn will have commercially reasonable approval rights over Celeron's construction plans and specifications.
- Refurbishment: CSA at its sole cost and expense will make all necessary or appropriate capital improvements as well as repairs and replacements to the improvements throughout the lease term to ensure the improvements and systems remain in good condition and repair. CSA will also complete capital improvements to refurbish its existing units prior to September 2016 according to an agreed schedule.
- Approvals: CSA is responsible at its expense for pursuing all applicable governmental approvals and permits for the development and construction of Phase 2 prior to April 1, 2017. UConn will cooperate with CSA approval efforts.

- Water and Sewer Services: UConn will continue to provide water and sewer to the property at market rates. CSA acknowledges that a third party owner/operator may eventually assume UConn's role in providing these services and have no further obligations to CSA.
- Overall Agreement: Provides a general release to UConn from any CSA claims for delay attributable to water and the landfill remediation; confirms UConn's continuing responsibility to remediate and mitigate effects of the landfill pursuant to its consent order with DEEP; and grant UConn the right to record an environmental land use restrictions over a portion of the property.

UConn North Campus Area

— Tech Park
Parcel Boundaries

 Landfill Liner and
Former Chemical Pit
Area



0 0.1 0.2 0.4 Miles

ATTACHMENT 3

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Travel and Entertainment Policies and Procedures – Revised

RECOMMENDATION:

That the Board of Trustees approve the attached revised Travel and Entertainment Policies and Procedures to become effective July 1, 2015.

BACKGROUND:

The Travel and Entertainment Policies and Procedures (the “Policies”) govern all University-sponsored travel for faculty, staff and students. They recognize and support the need for travel for conferences, events, and other purposes that further the reputation of the University and enhance the productivity of the University community. The Policies also apply in those instances where faculty and staff find it important to entertain guests.

The Policies seek to balance the University’s legitimate business needs with sound stewardship of public resources; along with the goal to respect and safeguard our travel privileges and funds by practicing fiscal, ethical, and public responsibility. The Policies were last revised in 2012.


The attached revised Policies have been reviewed and recommended for approval by the President’s Cabinet as well as the Board of Trustees Joint Audit and Compliance Committee.

Attachment

MEMORANDUM

DATE: May 26, 2015

TO: Scott A. Jordan
Executive Vice President for Administration and Chief Financial Officer

FROM: Charles Eaton 
Controller

RE: ***Revisions to Travel & Entertainment Policy effective July 1, 2015***

The University's Travel & Entertainment Policies and Procedures presented for Board of Trustees approval include revisions largely directed towards clarifying existing practices, referencing updated University forms and generally improving readability. However, some of the more significant edits include the following:

1. Elimination of the Travel Authorization process. Advance approval for travel will only be required of international travelers, travelers who require a travel advance, and travelers who require a Bradley Airport parking pass. These travelers will complete a streamlined web form available through the Travel Services website. All travelers will be responsible to ensure funding is secured prior to travelling.
2. Consistent with the practices of other state agencies, receipts will no longer be required for reimbursement of expenditures of \$25 and below.
3. Changes to policies on air travel such as: (i) provisions requiring travelers who do not use the University's preferred, contracted vendor for air travel (currently Sanditz) to submit a list of comparable flights offered by Sanditz, establishing that the airfare is reasonably in line with Sanditz offerings; and (ii) provisions allowing for business class travel on international flights with at least one continuous segment of 8 hours or more (noting, however, that all business class travel must be booked through Sanditz).
4. Agendas or conference brochures are no longer required for conferences indicating whether meals were provided. The web reimbursement form will ask the employee if meals are provided and the form allows drop down justification for not partaking in provided meals based on dietary, religious or a legitimate business reason

5. Changes to policies on vehicle rental such as: (i) provisions allowing for direct payment of rental car expenses through Sanditz; and (ii) provisions allowing for payment of charges for GPS and roadside assistance.
6. The hotel maximum will be raised from 125% to 150% of the federal GSA rate for the destination city. Hotels will also be able to be reserved and paid for through Sanditz. This will eliminate the need for advances to be provided for hotel costs.
7. The business meal maximum will be raised from two times the federal per diem rate to three times the federal per diem rate, and the 2-hour minimum requirement for business meals will be eliminated.
8. Uncollected travel advances may be recovered from the traveler's department.
9. International travelers may be reimbursed for out of pocket expenses associated with prescriptions, vaccinations or other medical expenses related to the trip.

Once approved, we will be working with departments and offices to implement these new policies and procedures. We expect that that they will serve to reduce administrative burdens while at the same time, maintaining sound stewardship of University funds.



The University of Connecticut Travel and Entertainment Policies and Procedures



University of Connecticut

Office of Travel Services,
Accounts Payable Department
New Central Warehouse Building,
3 North Hillside Road, Unit 6220
Storrs, CT 06269-6220

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PURPOSE

The University of Connecticut (University), here defined as all campuses and programs except the Health Center, recognizes and supports the need for faculty, staff, and students (undergraduate and graduate) to travel for conferences, events, and other purposes that further the reputation of the University and enhance the productivity of the University community. Likewise, the University may also find it important to entertain guests.

University business includes travel and entertainment related to activities such as program accreditation, student assessment, academic programming, clinical placements, presentations at or participation in conferences, professional development, fundraising, continuing education, travel related to an employee's official duties, and many other important activities that support the intellectual and operational endeavors of the University.

At the same time, as a State agency, we must respect and safeguard our travel privileges and funds. We must practice fiscal, ethical, and public responsibility. This policy sets forth rules and procedures that balance the University's legitimate travel and entertainment needs with sound stewardship of public resources.

This policy addresses the most common aspects of University business travel and entertainment. It cannot contemplate every situation that might arise, however. Travelers and administrators with questions should contact their supervisor or the Office of Travel Services for guidance before they arrange their travel.

This policy applies to all University employees, students, and guests, including but not limited to recruits and job candidates. The policy shall also apply to the travel and entertainment expenses of contractors, unless the applicable contract provides terms inconsistent with this policy. Where the policy is intended to apply differently to any of the above University business travelers it will be so stated in the appropriate section of the policy. This policy covers all types of University travel for individuals, groups, and team travel.

GENERAL GUIDELINES

Employees can be reimbursed for travel and entertainment expenses related to legitimate University business. To be reimbursed, expenses must be reasonable and appropriate to the circumstances.

Students should follow the same policies for University employees, with the exception of those provisions in Collective Bargaining Agreements that apply to particular employees. Students are reimbursed at the same rate as unclassified employees.

ELIGIBLE FOR REIMBURSEMENT

With appropriate justification and documentation, travelers can be reimbursed for coach airfare, standard railroad tickets, conference registrations, mileage, tolls, lodging, meals, car rental, parking (elsewhere than Bradley International Airport), and other relevant business expenses. For domestic out-of-state travel, travelers may receive reimbursement for expenses for one travel day preceding a conference and for one travel day following a conference.

This policy explains in more detail what may be reimbursed and how, and also sets forth exceptions and restrictions that may apply. Travelers and administrators should contact the Office of Travel Services if they have any questions about what may be reimbursed.

A primary goal of these policies is to generate cost savings for the University to the greatest extent possible, while simultaneously maintaining the convenience and practicality of the traveler. If a traveler can document a cost saving measure, which would otherwise be in violation of these policies, the Office of Travel Services will review the expenditure and, most often, support and reimburse the cost saving measure.

In situations where individuals may share expenses related to travel or entertainment, it is the policy of the University to reimburse the individual who can document having paid the shared expense. The University is not a party to agreements between individuals to loan or share expenses, and individuals who enter such agreements are responsible for settlement between themselves.

In special circumstances, exceptions to these policies may be warranted. The President or Provost, or their authorized designees, may review and grant exceptions, as may the Executive Vice President for Administration and Chief Financial Officer, or the Athletic Director. All exceptions must be documented on a completed and signed Exception to Policy form. Additionally, individuals who require accommodations for reasons of health or disability may seek reasonable exceptions to this policy. Individuals who seek such accommodations may seek the assistance of the University's Office of Diversity and Equity.

The University reimburses travel and entertainment expenses pursuant to the rules applicable to accountable plans under Section 1.62-2(c)(1) of the Treasury Regulations and, for certain independent contractors, the rules applicable to working condition fringe benefits under Section 132(a)(3) of the Internal Revenue Code and the Treasury Regulations corresponding thereto. Accordingly, all reimbursable expenditures must have a business purpose and must be supported by documentation. Whenever this policy is silent or ambiguous about the sufficiency of documentation of expenses, the terms of the tax authorities cited above shall control. For further guidance, travelers may consult IRS Publication 463.

NOT ELIGIBLE FOR REIMBURSEMENT

Employees are responsible for getting to and from work each workday. Employees will not be reimbursed for mileage associated with their normal commutes, regardless of the location of their home in relation to their official

duty station at the University. Moreover, when an employee travels from their home to an off-site business destination (including an airport or a rail station), only the difference between the mileage to the off-site destination and the mileage of the employee's normal commute is eligible for reimbursement. In other words, employees must deduct the mileage of their normal commute when they claim mileage for travel from their homes to business destinations.

Travelers will not be reimbursed for personal items, including but not limited to newspapers, magazines, toiletries, laundry services, childcare costs, pet boarding fees, credit card interest or late fees, hotel and airline membership fees, airline upgrades, pillows, blankets, headsets, or parking for personal travel.

Travelers will not be reimbursed for parking fines, traffic violation tickets, towing charges, or other vehicular fines.

Travelers will not be reimbursed for trip cancellation or other private insurance. For this reason, as well as administrative considerations, travelers are strongly encouraged to book their flights through the University's contracted and preferred agency (currently, Sanditz). For international travel only, medical insurance is provided by the University.

Travelers are required to use rebates and vouchers earned during University business travel for future University business travel. Expenses paid with rebates and vouchers are not eligible for reimbursement.

In addition, travelers will not receive travel reimbursement for participation in events that are not related to their University work or activities.

REIMBURSEMENT APPROVAL

To avoid actual or apparent conflicts of interest, and to ensure proper separation of duties, employees may not approve payment or reimbursement for their own expenses, expenses of a close relative, expenses related to an event in which they participated, or expenses of an individual to whom they directly or indirectly report. Employees' travel and reimbursement requests are subject to approval by supervisors, the Fiscal Officer of the account(s) from which the expenses are paid, and the University Office of Travel Services. All three of these constituencies share responsibility in enforcing this policy and confirming that all reimbursements are supported with a business purpose and clear documentation. Additionally, travel expenses funded by sponsored awards administered by the University may be subject to review by Sponsored Program Services. By way of illustration, Deans approve expense reports and reimbursements for Department Heads and other direct reports. The Provost and President approve expense reports and reimbursements for Deans, Vice Provosts, Vice Presidents, and other direct reports. The Board of Trustees or their designee approves the President's expense reports and reimbursements.

To be reimbursed, all travelers must submit receipts. Specific requirements for airfare, rental car, meal, lodging, and entertainment reimbursement are provided in the applicable Policies and Procedures section. The reimbursement approval for non-employees, students, and student athletes follows the same reporting line approval of the funding source.

Procedure

To be reimbursed, Travelers are requested to submit a Travel WebForm, along with all supporting documentation to the Office of Travel Services within fifteen days of returning from a trip. The University is committed to the timely processing of financial transactions as an integral part of operations, and is also observant of the tax rules applicable to employee reimbursements. Therefore, reimbursements submitted later than 60 days after travel is complete will be paid only at the discretion of the appropriate Department Head, Director, or Dean.

Upon returning from travel, travelers or their designated departmental administrators seeking reimbursement of travel expenses must:

1. *Complete the Travel WebForm available at <http://travel.uconn.edu>.* When the Travel WebForm has been completed, the traveler's supervisor will be notified and will be asked to approve the reimbursement. When the supervisor has approved the reimbursement, the traveler and KFS initiator will be notified and directed to the completed form.
2. *Produce documentation of the expenses*, including bills, receipts and/or credit card statements. Consistent with the practice of other Connecticut state agencies, such documentation is not necessary for expenditures of \$25.00 or less.
3. *Have a Disbursement Voucher ("DV") prepared in the KFS System, attaching the completed Travel WebForm and expense documentation.* Note that travelers must have another member of their office or department, such as a departmental administrator, prepare the DV for them.

To limit processing multiple claims for mileage reimbursements for very small amounts, travelers should combine mileage from multiple trips in one claim so that the total reimbursement due is at least \$25.00.

PART 1: PLANNING BUSINESS TRAVEL

1a. AUTHORIZATION TO TRAVEL

While the University Office of Travel Services does not require written preapproval for travel, University travelers are strongly encouraged to obtain written departmental approval before incurring any travel-related expenses. Individuals who incur travel expenses without the approval of their departments bear the risk that their expenses will not be reimbursed upon return. Similarly, individuals who book travel through Sanditz without prior approval may be personally responsible for repayment of such charges. The decision to reimburse a traveler in connection with travel that had not been preapproved, or to seek repayment from a traveler who incurs unauthorized expenses, will be discretion of the traveler's supervisor, Department Head, Director or Dean.

For any trip that requires (i) use of the State Employee Bradley Airport parking pass; (ii) travel advances; and (iii) all employee international travel, travelers must complete the Travel WebForm in advance of their trip. Even where travelers are not required to complete the Travel WebForm in advance, travelers are still encouraged to do so to assist their respective departments with planning, tracking and budgeting.

Procedure

The Travel WebForm is available at <http://travel.uconn.edu>.

1b. TRAVEL ADVANCES

Travel advances are available for out-of-state and international trips that cost more than \$300. To obtain an advance, employees must sign a travel advance agreement that permits the University to recover, through a payroll deduction, any amount of an advance that exceeds the final reimbursement to which the employee is entitled. However, this deduction from payroll is only used when the payment is not received from the employee in a timely manner. Students may also obtain travel advances, but student advances are the responsibility of the sponsoring department. In all cases, in the event that University Office of Travel Services is ultimately unable to recover a travel advance, the unrecovered balance will be charged to the traveler's department.

Travel advances are limited to 75% of estimated costs, excluding those costs that are eligible to be paid directly by the University (such as air tickets, conference registration fees, hotel, or rental car). Advances will not be issued more than 10 days prior to the departure date.

Failure to submit a reimbursement claim or to repay the balance of an advance that exceeds the allowable reimbursement for a trip in a timely manner may jeopardize an employee's ability to obtain future advances. Advances will not be issued when an employee has an outstanding advance balance for more than 15 business days or an existing cash advance for which a reimbursement request has been due for more than 15 business days. Once the outstanding balance has been paid or a reimbursement request has been filed with the Office of Travel Services, the advance request may be processed.

Procedure

To request an advance, a traveler must complete the travel advance agreement on the Travel WebForm, and the KFS initiator must submit a DV for the travel advance with the Travel WebForm attached.

Once the traveler has completed the Travel Advance Agreement portion of the Travel WebForm, the departmental employee responsible for financial transaction submissions must submit the Travel Advance request.

1c. OFFICIAL TRAVEL PARTIES

Formal groups, such as intercollegiate athletic teams, student organizations, and academic groups or classes on field experiences, may be designated as “Official Travel Parties” by a Department Head, Director or Dean.

For the purposes of this subsection, a “non-official travel party person” is any UConn employee not included on the Official Travel Party roster, who has approval to accompany the Official Travel Party on their field experience or athletic competition.

“Non-university affiliated individuals” are persons who are not on the Official Travel Party roster and do not have an employment or contractual agreement with the University. Such persons may travel on official business if they receive prior written approval from the President or Provost (or their authorized designees) or the Athletic Director. All costs associated with the non-university affiliated individual are the sole responsibility of the non-university affiliated individual.

Non-Athletics Division personnel identified as a part of an athletic team’s Official Travel Party (such as team physicians and CPIA, NCAA FAR, and University Public Safety personnel) must have a legitimate business purpose for being included and require approval by the President or his or her authorized designee.

When a student or student athlete who is on Official Travel Party roster requires travel arrangements separate from the Official Travel Party, the appropriate Department Head, Director, Dean or designee must approve the travel request and the additional costs incurred prior to the student’s or student athlete’s departure.

Procedure

Groups must submit an “Official Travel Party” roster to the relevant Department Head, Director, or Dean who will determine the Official Travel Party for each group by semester or season, as appropriate. Departments and Divisions must submit their Official Travel Party roster(s) (including PeopleSoft ID Numbers) to the Office of Travel Services at least one week prior to the first travel event of the semester or season.

Non-official travel party personnel must submit a separate Travel WebForm. These expenses should not be included with the Official Travel Party’s expenses.

Non-university affiliated individuals must receive prior written approval from the President or Provost (or their authorized designees) or the Athletic Director. The justification submitted for approval must include the reason for the individual(s) to travel, the cost incurred by the University for the individual(s) to travel, how that cost was calculated, and how the non-university affiliated individuals will reimburse the University. The repayment from a non-university affiliated individual for charter airfare expenses, incurred on their behalf by the University, will be calculated and based on the Standard Industry Fare Level (SIFL) method, as published by the IRS.

In the event that a student or student athlete requires travel arrangements that are separate from their Official Travel Party, the appropriate Department Head, Director, Dean or designee must approve the request in writing. A written request for approval should include the reason for the separate travel arrangements and comparisons of various modes of alternate transportation. The Department Head, Director, Dean or designee should approve lowest reasonable cost that meets the time constraints of the event or athletic competition. Departments or Divisions must then submit written documentation of cost comparisons and the rationale used to select the method of travel to the Office of Travel Services. The Office of Travel Services and Department or Division should maintain all documentation for subsequent review and audit.

1d. SPOUSAL/PARTNER TRAVEL AND ENTERTAINMENT PARTICIPATION

The travel or entertainment expenses of a spouse, partner, or dependent generally fall within one of three classifications. (Such expenses are not allowed on sponsored awards.)

Bona Fide Business Purpose

If the attendance of a spouse or partner serves a bona fide business purpose for the University, the University may pay the travel or entertainment expenses of the spouse or partner. To meet the high standard of a bona fide business purpose, the presence of the spouse or partner must be compelling or essential (and not just beneficial) to carry out the business interests and functions of the University.

Employment Agreement

Absent a bona fide business purpose, if an individual's University employment arrangement or contract permits his or her spouse to travel, or provides that his or her spouse may attend University events, then the cost of such travel or event, or any reimbursement therefore, will be considered compensation to the employee and will be included in the taxable wages of the employee.

Accompaniment with No Business Purpose

The travel and entertainment expenses of a spouse, partner, or dependent who has no official role for the University and is simply accompanying an individual on University-related travel are the personal responsibility of the traveler. Such individuals may, however, accompany the traveler with the permission of the appropriate Department Head, Director or Dean. If the University incurs any costs associated with such individuals, the traveler shall reimburse the University in a timely manner.

Procedure

The Office of the President will identify certain spouses or partners who are deemed to be representatives of the University with respect to essential University business such as fundraising or development. These individuals will be treated as having a bona fide business purpose for travel related to such essential University business.

The payment or reimbursement of the travel expenses for other spouses or partners having a bona fide business purpose requires the written approval of the President, Provost or their authorized designees.

1e. COMBINED BUSINESS AND PERSONAL TRAVEL

Employees may combine travel for personal and business reasons, but must be mindful of all applicable state and University ethics policies.

Travelers will not receive reimbursement for personal travel expenses. Travelers will only receive reimbursement for travel to and from the business destination.

In special cases, travelers will be able to combine their business and personal travel at a cost lower than if a single trip were only for business. In these special cases, the University will reimburse the traveler for the lower-cost business and personal trip; provided that the traveler has clearly documented the cost savings to the University.

Procedure

Travelers who wish to combine personal pursuits with University business on a single trip must indicate the dates and location of the personal time on the Travel WebForm.

In the unusual case that a combined business and personal trip is at a lower cost than a business-only trip, the traveler must provide supporting documentation and economic justification from the time of booking, including cost comparisons from Sanditz on the date of booking, attached to the Disbursement Voucher.

PART 2: AIR TRAVEL

2a. TRANSPORTATION TO AND FROM AN AIRPORT

Travelers should use the most reasonable and cost effective mode of travel to airports. Except in cases where a traveler provides a written explanation of special circumstances, travelers must use a personal vehicle to travel to and from the airport of departure. For travel to and from the destination airport, the appropriate means of travel to the airport may include a personal vehicle, a rented vehicle, a taxi, or a shuttle service. Private livery services (defined herein to mean all private vehicles for hire, except for taxi services) are not to be used by employees, students, consultants, or gratis appointments unless the traveler provides a written explanation of a special need for a private vehicle. Acceptable special needs for a private vehicle shall be evaluated by the Travel Services office and may include, but not be limited to cost saving, accommodation for a health or medical concern, the unavailability of other options, or the need to transport an important University guest. Exceptions or additional review may be granted or conducted by the appropriate Department Head, Dean, or Director.

Travelers may be reimbursed for personal vehicle mileage in accordance with this policy. However, travelers will receive reimbursement for the difference in mileage between their trip to the airport from their home or official duty station (where the employee is permanently assigned) and their normal commute to work. In other words, if a traveler lives closer to Bradley International Airport than to his or her official duty station, and if the traveler travels directly from his or her home to the airport, the University will not reimburse the traveler for the trip to the airport.

Travelers will not be reimbursed for airport hotel costs prior to the day of departure or after arrival.

Procedure

Travelers should request reimbursement for mileage on the Travel WebForm. To calculate reimbursable mileage to and from the airport, travelers should calculate the total round-trip mileage between their home and the airport, and deduct the round-trip mileage of their normal commutes.

2b. PARKING AT BRADLEY INTERNATIONAL AIRPORT

Fourteen-day parking permits are available to employees on University business for Bradley International Airport. The permits allow state employees to park in designated lots. If a traveler does not request a parking permit or fails to secure the permit from the Office of Travel Services before departure, the traveler will be responsible for his or her own parking expenses and the parking expenses will not be reimbursed.

If the business travel extends beyond the permit's fourteen-day limit, the employee is responsible for the additional fees, but may be reimbursed for the additional parking expense.

If the state-designated lot is at capacity, employees should park at the lowest-cost economy parking lot. Employees will be reimbursed for parking expenses incurred when the state-designated lot is at capacity.

Students who are on payroll are eligible to receive parking permits for Bradley International Airport provided that the business travel is related to their employment. Students who are not on payroll should park at the lowest-cost economy parking lot available, and may be reimbursed for these expenses at the discretion of their departments.

Individuals who park in Short-Term Parking across from the airport terminals in order to pick up arriving University travelers may have these expenses reimbursed.

Procedure

Prior to Travel:

To obtain a parking permit, the traveler must use the Travel WebForm. After the Travel WebForm is submitted, a parking permit will be mailed if the departure is greater than 5 business days away. Travelers that are departing sooner than 5 business days may pick up their parking permits at the front desk of the Office of Travel Services; provided the pre-trip portion of the Travel WebForm has been completed. It is the traveler's responsibility to obtain the parking pass before departure.

Travelers should review and follow the instructions and information printed on the permit prior to parking.

At the Airport:

The employee must present the parking permit to the attendant when they exit the state employee designated parking lot. If the state-designated lot is at capacity, travelers should park at the lowest-cost economy parking lot.

After travel:

To receive reimbursement if the state-designated lot was at capacity or if the traveler incurs any charge for parking for a period greater than fourteen days, the traveler must submit the paid receipt and the original parking permit with a brief explanation in the "Remarks" section of the Travel WebForm.

Those picking up arriving University travelers (including, on rare instances, graduate students) may submit paid parking receipts for reimbursement.

2c. COMMERCIAL AIR TRAVEL

Employees should generally purchase the lowest commercial airfare available, but may also make reasonable allowances for practicality and preferences such as safety, scheduling and any need for special accommodations. Travelers are strongly urged, but not required, to use the University's contracted and preferred agency (currently, Sanditz) to book airline travel. Travelers who do not to use Sanditz are required to submit, along with their reimbursement requests, a list of alternatives from Sanditz for the purposes of price comparison, as detailed below. A traveler's failure to conduct such a comparison and attach it to the DV requesting travel reimbursement will result in a reimbursement equal to the lowest reasonable airfare at the time of processing, to be determined at the sole discretion of the Office of Travel Services.

Likewise, travelers may not insist on non-stop flights. In determining the lowest and most practical commercial fare, the traveler should consider not only non-stop flights, but also flights with one connection (both departing and/or returning). A domestic traveler's flight should depart from the airport nearest to the employee's official duty station or home, but a traveler may use a different airport if travel from that airport is documented to be less expensive, taking into consideration additional expenses such as parking, mileage, and/or overnight stays. International travelers should depart from major airport or airline hub located in reasonably close proximity to the employee's official duty station (for example, JFK, LaGuardia, Newark or Logan). Travelers should purchase non-refundable tickets unless a refundable ticket is documented to be less expensive.

First class air travel rates will not be paid for or reimbursed. The University will allow business class travel, however, on international flights with at least one flight segment exceeding eight (8) hours in duration. All business class ticketing must be booked through Sanditz.

Note that the “Fly America Act,” 49 U.S.C. 40118, requires all University travelers to use United States air carriers for all air travel and cargo transportation services supported by Federal funds. One exception to this requirement is transportation provided under a bilateral or multilateral “Open Skies” air transport agreement, to which the United States government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act. More information is available at <http://www.gsa.gov/portal/content/103191>.

Procedure

Travelers may make commercial air travel arrangements in one of two ways:

- Contracted (Preferred Method)

Travelers may make travel reservations and ticket purchases with Sanditz, available through the link available at <http://travel.uconn.edu> or by calling 1-877-826-6733). At the time of purchasing, the traveler will need to provide Sanditz with his or her employee number, and the KFS account number(s) to fund the airfare. When using the preferred agency for booking, the itinerary and/or boarding pass are not required when submitting the Travel WebForm for other travel expense reimbursement.

- Non-Contracted

Travelers may make travel arrangements through an agency or airline of his/her choice and pay the agency or airline directly. However, travelers will not be reimbursed for costs in excess of those charged that would have been charged by Sanditz for a comparable flight. A cost comparison, documented at the time of booking, must be submitted showing the cost compared to flights offered by Sanditz. Failure to complete and attach comparison to the DV will result in a reimbursement equal to the lowest reasonable airfare at the time of processing, to be determined at the discretion of the Office of Travel Services.

Additionally, reimbursement requests for airline tickets that are not booked through the preferred agency must be accompanied by documentation or confirmation that the trip actually took place. Acceptable documentation will vary from case to case, but may include, for example, a hotel receipt, restaurant receipt, or receipts for other business expenses, demonstrating that the Traveler reached his or her destination.

Airfare that is booked outside of Sanditz is not eligible for business class travel. If a traveler chooses business class travel for a flight booked through channels other than Sanditz, the traveler will be reimbursed at the lowest reasonable coach class airfare.

Travelers using a federal grant to fund their travel must be in compliance with the Fly America Act and Open Skies Agreement. The Office of Vice President for Research, Sponsored Program Services may be contacted for more information regarding compliance with the Fly America Act and Open Skies Agreement.

To be reimbursed for special arrangements that involve extra expenses, travelers must document that the total cost to the University is lower by providing economic justification with the Disbursement Voucher and attaching supporting documentation of their calculations (e.g. copies of airfare quotations from the travel agency when the travel was booked).

By requesting payment or reimbursement for airfare expenses, each traveler certifies that he or she has made best efforts to choose the lowest commercial fare available, giving due consideration for nonmonetary factors such as practicality, safety, scheduling and any need for special accommodations. Payment or reimbursement amounts may be subject to additional review by departments and administrative offices, including the Office of Travel Services.

2d. BAGGAGE FEES

If there is a charge for checked baggage, the cost for the first two bags checked will be reimbursed. Additional baggage fees will only be reimbursed if the traveler provides an appropriate written business justification for the excess baggage.

Travelers will be reimbursed for baggage handling gratuities at a rate of \$5 for day of departure and \$5 for day of return. The total of gratuities for baggage handling, maid service, bell hops and other similar gratuities will only be reimbursed in the aggregate at \$5 for day of departure and \$5 for day of return. If the per diem method for meals is selected for reimbursement, these gratuities cannot be claimed, as they are already included in the incidental expense reimbursement portion of the per diem.

Procedure

Travelers should attach receipts or documentation for baggage fees, specifically detailing the traveler's name and proof of payment, to the Disbursement Voucher.

2e. UNUSED TICKETS

The University will not reimburse a traveler for an unused ticket purchased by the traveler.

Procedure

If the traveler purchased a ticket using Sanditz, who billed the University, then the traveler's department should contact the agency to determine if the ticket is reusable. If the ticket is reusable, the department will need to track the ticket and use it for future business travel. If the ticket is refundable, the agency will apply the credit to the University's procurement-card number on file. Tickets purchased by the University remain University property, and may not be used for personal purposes.

Unused tickets may not be charged to sponsored awards unless the tickets are reused, and such reuse inures to the benefit of the same sponsored award.

2f. CHARTER AIR TRAVEL FOR OFFICIAL TRAVEL PARTIES

Under limited circumstances, University staff and students may use a charter airplane when it supports legitimate University business, if approved by the President or his or her authorized designee.

Procedure

Departments and Divisions that want to charter air travel must perform a comparative analysis with commercial air travel and obtain the President's or his or her designee's approval prior to requesting a chartered flight. The request for charter air travel must include a justification statement, the Official Travel Party roster, the number of additional people traveling, and their affiliation with the University.

If approved, the University Purchasing Department will conduct a competitive bid process. The selection of a charter airplane must reasonably align with the size of the official travel party, taking into account the travel distance, necessary cargo space or capacity, and the available aircraft for the date and location. In the event that the seating capacity of the airplane significantly exceeds the size of the travel party, the Department or Division must provide a clear explanation.

The requesting Department or Division must provide all documentation of the rationale for using this mode of travel, the approval obtained, and the procedure followed to secure the charter to the Office of Travel Services.

PART 3: GROUND TRAVEL

3a. GROUND VERSUS AIR TRAVEL

A traveler may use ground transportation (vehicle or rail) for personal reasons, even if air travel is a more time-effective mode of transportation. Under these circumstances, the cost for the ground transportation, meals and lodging, parking, mileage, tolls, taxis, and ferries may be reimbursed as long as these costs do not exceed the cost of airfare, based on the lowest reasonable commercial fare available from a standard commercial air carrier, plus transportation costs to and from the airport.

Procedure

To obtain reimbursement for ground transportation when air travel is more time-effective (taking into consideration additional time requirements of air travel such transportation to and from airports, parking, and connections), travelers must document the cost comparisons of ground travel versus air travel using itineraries from Sanditz, and include the documentation with the DV requesting reimbursement.

3b. RAIL TRAVEL

The University will pay for or reimburse rail travel in accordance with this policy, even if air travel is a more time-effective mode of transportation. Business class accommodations are available for rail journeys longer than four hours. Travelers will not receive reimbursement for first class travel rates.

Procedure

Rail tickets may be booked through Sanditz, and the University will pay the agency directly. Alternatively, Travelers may book rail travel independently, but prior to reimbursement, such travelers will be required to document the cost of such travel compared to the rail tickets offered by Sanditz, and the University will only reimburse the lesser of the two. Travelers who book rail travel independently should attach all original and applicable receipts, tickets and itineraries to the Disbursement Voucher.

Ticket delivery fees will not be reimbursed if online tickets or pick-up is available.

3c. STATE-OWNED VEHICLES

If the University issues an employee or department a state-owned vehicle, the employee or department should use the state-owned vehicle for in-state business travel whenever possible. Charges for tolls and parking are reimbursable when using a State-owned vehicle. Further Information is available from the UConn Motor Pool: <http://tlp.uconn.edu/motorpool.html>. Also, the Connecticut Department of Administrative Services provides a "Policy for Motor Vehicles Used for State Business": <http://das.ct.gov/Fleet/GL115rev2012.pdf>.

3d. PERSONALLY OWNED VEHICLES

When a department authorizes an employee to use his or her personal vehicle for University business, the University will reimburse the employee at an established mileage rate, which is periodically updated and located on the Travel Services website. Travelers will be reimbursed for trip related tolls and parking.

Travelers will not receive reimbursement for travel from their homes to their official duty stations, such as commuting expenses, unless provided under the applicable collective bargaining agreement. In those limited cases where commuting expenses are reimbursed, the tax laws require that the reimbursement be treated as taxable income to the employee, and the University will withhold the appropriate taxes.

For the purposes of this policy, the term “official duty station” has the same meaning as his or her “tax home,” as that term is used in IRS authorities related to travel expenses. Generally, an individual’s official duty station is his or her regular office or post of duty. If an individual has more than one office or post of duty at the University, then the official duty station of that individual is generally the location at which the individual spends the most time.

When an employee’s official duty station is not a physical location at the University, or if the employee’s official duty station has changed from its original location, the employee may be eligible for travel reimbursements based on his or her official duty station if he or she first provides documentation, such as an employment letter or signed memorandum from his or her Department. The documentation must be received by the Office of Travel Services before the reimbursement may be processed.

Travelers will not receive travel reimbursement for participation in events that are not related to their University work or activities.

Consistent with requirements of Connecticut State Agencies, it is the responsibility of the traveler to maintain automobile insurance in the minimum amounts of \$50,000/\$100,000 (third party liability) and \$5,000 (property damage liability), if using his or her personal vehicle for business purposes.

Unless permitted by collective bargaining agreements or exception to policy, travelers will not receive reimbursement for travel on the Storrs Campus or for travel between the Storrs and Depot Campuses.

Procedure

If an employee uses his or her personal vehicle for business travel, the employee should calculate the mileage sought to be reimbursed by deducting their normal commuting mileage from the total mileage of their trip. The trip mileage should start from home and end at home.

3e. RENTAL VEHICLES

Travelers may rent vehicles from the preferred vendors (currently, Enterprise and National) for domestic travel when needed for the business trip, at the discretion of each traveler’s reporting line and/or funding source.

The size and class of the rented vehicle should be reasonable and appropriate for the number of intended passengers. Travelers should only rent vehicles in the following classes: economy, compact, intermediate, standard, full size, mini-van, cargo van, and pick-up truck. Travelers may not rent vehicles in the following classes without justification and approval from the appropriate Department Head, Director, or Dean: premium, luxury, small sport utility, or large sport utility.

University-contracted rental rates already include the following insurances: collision, third party liability, and property damage liability insurances. The University will not pay for or reimburse the traveler for additional insurance. However, additional charges for GPS and roadside assistance may be reimbursed at the discretion of the department and/or funding source. Travelers are encouraged to obtain the authorization of their respective departments and/or funding sources prior to incurring such additional charges.

Travelers are responsible for returning the vehicle with a full tank of fuel to avoid surcharges. Travelers may not be reimbursed for the fuel service option, whereby a renter agrees to pay for a full tank of gas at a set price instead of returning the vehicle with a full tank of gas.

The University will not pay for penalties, fines, fees, or extra cost options not discussed above.

When a rental vehicle is needed for international travel, the University's preferred agencies (currently, Enterprise and National) should be utilized to obtain the best rates. For international travel, it is recommended that travelers maintain the minimum coverages for insurance through the rental company.

All efforts to secure the preferred vendor pricing for University guests are to be made by the host department. When a guest uses a non-preferred vendor at a higher cost, a justification must be documented. In these cases, the Office of Travel Services may require approval from the appropriate Department Head, Director, or Dean.

Procedure

Reservations using the University's preferred rental car vendors (currently Enterprise and National) can be secured by using Sanditz and paid for directly with a University account. To reserve a rental car through Sanditz, travelers must supply the KFS account(s) that will fund the expense.

Travelers who do not reserve their vehicle rentals through Sanditz are still eligible for reimbursement of their vehicle rental expenses; provided that the expenses do not exceed the preferred vendor's comparable cost. Travelers who rent a vehicle for University business should still use the University-contracted agencies (currently, Enterprise and National), unless a competitor is less expensive. If the traveler chooses a competitor, the traveler must justify the selection with documentation of the cost savings, including a comparison of comparable rentals from the University-contracted agencies (including insurance costs), when submitting the Travel WebForm. When a non-preferred vendor is selected on the basis of cost savings, the traveler should maintain the required minimum insurance coverage (\$50,000/\$100,000 third party liability and \$5,000 property damage liability, or the closest coverage available). Travelers are personally responsible for any costs associated with not carrying the minimum required insurance coverage.

Note that, in all cases, travelers will be required to present a credit card and driver's license when picking up their vehicles. Direct payment for rental costs from a University account is limited to car class rates and mandatory taxes and fees.

All rental car reimbursement requests must be submitted with an itemized paid receipt. Credit card receipts, by themselves, are not sufficient for reimbursement.

PART 4: LODGING

4a. OUT-OF-STATE LODGING

When overnight accommodations are required to conduct official University business, reimbursement for lodging will be the actual cost of lodging at the lowest reasonable cost available, as determined by the trip's circumstances. Any lodging expense that exceeds the federal per diem lodging rate by more than fifty percent (excluding taxes) requires the approval of the Department Head, Director, or Dean. Lodging provided through a conference may exceed the federal per diem rate by more than fifty percent (excluding taxes), provided the conference rate was obtained when registering.

Procedure

Travelers and travel arrangers are encouraged, but not obligated, to reserve lodging through Sanditz, as a number of discounted rates are available. Direct payment for most lodging expenses (including room & tax) can be made through Sanditz. To utilize the direct payment option, the KFS account number(s) must be provided to Sanditz when the reservation is made. When special conference or event lodging rates are available, special rate information must be provided to Sanditz at the time of booking.

Travelers must justify lodging expenses that exceed the federal per diem lodging rate by more than fifty percent by destination on the Travel WebForm and obtain approval from their Department Head, Director, or Dean. Travelers are encouraged to ask providers of lodging for discounts provided to governmental employees.

Federal per diem lodging rates are available through the Office of Travel Services Website or from the GSA at <http://www.gsa.gov/portal/content/104877>.

4b. IN-STATE LODGING

Subject to prior approval from the appropriate Department Head, Director, or Dean, travelers on University business may request reimbursement for lodging when the distance they are required to travel is more than 75 miles, one-way, from their official duty stations. However, if the traveler's destination is less than 75 miles from his or her personal residence, the traveler may not request reimbursement for lodging even if the mileage from the traveler's official duty station is 75 miles or greater.

Travelers may receive reimbursement for in-state lodging when attending a conference within the State of Connecticut, regardless of distance from official duty station.

A University guest staying in state is subject to the maximum lodging rate of fifty percent above the federal per diem rate by destination. Travel arrangers are encouraged to use the University's preferred agency to obtain the best rates available.

4c. USE OF NATHAN HALE INN

The University recognizes that, from time to time, it may be important and in the best interests of the University to provide on campus lodging to certain individuals. The maximum rates for lodging and subsistence meals do not apply to the Nathan Hale Inn. Please note, however, that cancellations within 24 hours prior to arrival (noting that the current check-in time is 3:00 pm) are subject to a one night cancellation fee.

University Guests, Candidates, Recruits and Affiliates

Lodging and meals can be provided to University guests, such as candidates, recruits and affiliates, through a direct billing.

University Employees

In rare circumstances, a University employee may require lodging at the Nathan Hale Inn in order to carry out his or her duties as a University employee. In these cases, the employee must receive prior approval for the stay from the Office of the President, the Provost, the Executive Vice President for Administration and Chief Financial Officer, or Athletic Director, based on the reporting relationship of the employee.

Procedure

The Nathan Hale Inn requires a KFS reservation form for reserving direct payment for lodging and meal expenses. The form must be completed and e-mailed to the front desk at the Nathan Hale Inn and Conference Center (frontdesk@nathanhaleinn.com). The form can be obtained by contacting the Nathan Hale Inn via e-mail or by telephone (860-427-7888).

4d. GROUP LODGING

“Group lodging” is defined, for the purposes of this policy, as the booking of 10 rooms or more for a specified University travel need.

Group lodging having a total cost of \$10,000 or more must be arranged through the University Purchasing Department. Business units arranging group travel in excess of \$10,000 are also required to solicit competing bids from a minimum of three providers in the proximity of the travel destination. For all other group lodging arrangements, business units are still urged, but not required, to contact the Purchasing Department for assistance.

Procedure

Group Lodging (under \$10,000): Travelers should contact Sanditz directly via phone for assistance with booking needs. If personal funds are not used, then the request must be processed through the Purchasing Department as a purchase order. Even if not required, Purchasing expertise should be utilized for group hotel contracts consisting of 10 rooms even if under \$10,000.

Group Lodging (over \$10,000): Group lodging in excess of \$10,000 requires a purchase order to be processed through the Purchasing Department. A minimum of three written quotes must be secured directly from the hotels or from Sanditz. These quotes must itemize all foreseeable group expenses for the group’s stay and related functions. If the unit does not select the lowest bidder, or if three properties are not available, the unit must provide a written explanation to justify the choice of lodging. The unit must process a requisition and attach the justification and relevant documentation with the contract. The Purchasing Department will issue a purchase order upon full compliance.

PART 5: MEALS

5a. MEALS FOR UNCLASSIFIED EMPLOYEES (WHILE TRAVELING)

Travelers in the following categories may claim reimbursement for the actual cost of their meals (substantiated with original receipts) or they may claim reimbursement using the per diem method; provided, however, that travelers may be required by their respective departments or business units to use a particular method.

- AAUP
- UCPEA
- Managerial and Confidential NP Plan
- Managerial and Confidential
- UConn Non-Represented (Dining Services)
- Special Payroll Employees
- Students

Travelers must use one method of reimbursement for the entire trip. **The total reimbursement for actual meal costs over the course of travel may not exceed the amount that would have been reimbursable based on daily per diem rates over the same time period.**

Procedure

Travelers must indicate departure and return times on the Travel WebForm. Meals for out-of-state travel are reimbursable according to the following time schedule:

REIMBURSABLE MEAL	DAY OF DEPARTURE (DEPARTING BEFORE)	DAY OF RETURN (ARRIVING AFTER)
Breakfast	7:00 A.M.	9:00 A.M.
Lunch	11:00 A.M.	2:00 P.M.
Dinner	5:00 P.M.	7:00 P.M.

Reimbursement by per diem:

Travelers claiming up to the per diem reimbursement (discussed in greater detail below) do not need to provide receipts for their meals to the University Office of Travel Services. Please note, however, that travelers may be required by their respective departments or business units to provide receipts. It is advisable, therefore, for travelers to discuss meal reimbursements with their departments or business units before travelling.

Travelers may receive per diem meal reimbursements, including tax and tips, at the appropriate rates as published by the GSA: <http://www.gsa.gov/portal/content/104877>. The full daily per diem rate is applicable for a day of travel during which a traveler is away from before 7:00 A.M. until after 7:00 P.M. On the day of departure and day of return, travelers must deduct the allowable per diem for meals before they leave and after they arrive, respectively, according to the departure time and arrival timetable above. Meals are broken down by breakfast, lunch and dinner in the per diem rate table as published on the website. See section 5d and 5e below for limitations on per diem.

Gratuities for maid service, baggage handling, etc. are included in the incidental expenses portion of the per diem.

5b. MEALS FOR CLASSIFIED EMPLOYEES (WHILE TRAVELING)

By statute, employees, through their legally designated representatives, have the right to bargain with the State concerning travel expenses. Accordingly, some collective bargaining contracts may contain provisions that vary from the reimbursement policies contained herein. **For such cases, collective bargaining contracts take precedence.** For more information about what travel rules apply under what circumstances, travelers should contact Human Resources. Travel reimbursement rates for employees in P-2, NP-5, NP-3 and NP-2 bargaining units are found within each current bargaining unit contract at: <http://lr.uconn.edu/resources/collective-bargaining-agreements/>.

Travelers in the above referenced categories may claim reimbursement up to the amount defined in the appropriate bargaining unit contract, less any meals provided and/or any amount funded directly by the collective bargaining unit.

Procedure

Reimbursement by per diem:

Travelers may receive per diem meal reimbursements as allowed by Union contracts (including tax and tips) dependent on the locality. Detailed listings of the per diem rates are available at: <http://www.gsa.gov/portal/content/104877>. The full daily per diem rate is applicable for a day of travel during which a traveler is away from before 7:00 A.M. until after 7:00 P.M. On the day of departure and day of return, travelers must deduct the allowable per diem for meals before they leave and after they arrive, respectively, according to the departure time and arrival timetable above. Travelers who claim per diem reimbursement do not need to provide receipts for their meals. See section 5d and 5e below for limitations on per diem. All expenses are only eligible for reimbursement based upon funding. Departments are still allowed to request that travelers hand in receipts in order to limit expenses.

5c. MEAL EXPENSES FOR SINGLE-DAY TRAVEL (NO OVERNIGHT)

Unless otherwise provided under Collective Bargaining Agreements, travelers who are required to travel for University business without an overnight stay may be eligible for meal reimbursement if the traveler is away from his or her home and official duty station for more than ten hours and the reimbursement requests are occasional and non-routine. In such situations, employees are entitled to reimbursement for lunch. In addition, employees who depart their homes or official duty stations prior to 7:00 a.m. are entitled to reimbursement for breakfast. Employees who return to their homes or official duty stations after 7:00 p.m. are entitled to reimbursement for dinner. All of such meal reimbursements are subject to approval by the appropriate Department Head, Director, or Dean.

Receipts are not required. Travelers must note times of departure and return on the Travel WebForm to substantiate meals eligible for reimbursement.

In these instances, the following per diem rates apply: 75% of the GSA per diem meal rate in effect for destination of travel.

5d. CONFERENCE AND OTHER MEALS PROVIDED

Conferences frequently provide meals to attendees as part of the registration fee. As discussed below, the traveler is generally not entitled to a meal per diem allowance for meals that are included as part of the registration fee. The same is true for any meetings or group travel event in which a meal is provided or where the traveler has been included on a list of attendees for a business expense, or where meals are provided complimentary as part of the transportation or hotel accommodations.

Procedure

When completing the Travel WebForm, travelers who attend conferences or other functions must indicate which meals were provided to them, if any. A travelers should note, however, that he or she may be reimbursed for meals that were offered, but not accepted for reasons such as:

- The traveler has a special dietary need or restriction, including religious;
 - The traveler had to attend a business meeting during the time that the meal was offered; or
 - The meal was not an open event, and the traveler was not invited.
-

5e. BUSINESS MEALS

From time to time, it is necessary to the interests of the University to host or provide meals to guests such as job candidates, visiting scholars or donors. Likewise, a meal may be an essential or important part of an event, such as a conference or workshop, which is conducted by the University. In cases where the University provides a meal (or reimburses the expense of the meal, as the case may be) to individual(s) who are not travelling on behalf of the University (herein defined broadly as “business meals”), the University will pay or reimburse the business meal under the requirements and procedures under this section.

As a public agency, the University has an obligation to students, taxpayers and benefactors to use all of its funds as prudently as possible. Therefore, all employees and individuals with authority to request, control or approve University funds, including but not limited to travelers, shall use their best judgment in applying those funds towards business meals only when justified with a business purpose and a clearly identifiable benefit to the University. The act of requesting, using or approving a business meal constitutes an individual’s official determination that, to the best of such individual’s knowledge, the expense was actually incurred, is justified by a business purpose, and serves the best interests of the University.

The University’s policy of paying or reimbursing for business meals is subject to the following general rules:

1. University employees are generally responsible for paying for their own meals when they are not traveling.
2. University funds may not be used for meals at social functions, such as parties or summer outings, attended entirely or primarily by University employees and/or their personal guests.
3. University funds may not be used to purchase alcoholic beverages.
4. In most cases, business meals may not be charged to sponsored awards (the responsible OVPR, SPS Grant Manager may provide more information or grant exceptions where appropriate).

Meals between faculty/staff and students, while allowable when there is a business justification, should be infrequent. In addition, units may purchase group business meals when a group meal is essential to the effectiveness and efficiency of the meeting. This is especially the case when multiple units are called together for a substantial meeting, or when stopping the meeting to allow employees to leave for a normal meal would be disruptive and inconvenient for the University.

For the avoidance of doubt, this policy shall extend fully to business meals that are paid for by interdepartmental transactions, such as meals purchased through Dining Services (including Chuck and Augie’s). Business Meals

require the documented approval of the Department Head, Director or Dean. The approval request should include the purpose of the meeting or event; a formal written agenda including session times; a list of attendees with their associated departments/entities; and the expected cost of the meal per person. Set-up and delivery costs associated with the group meal shall not be included in the meal limit calculation.

For all business meals, including group meals, organizers should limit attendance to essential guests only. Without proper justification on the Business Meal Detail Form, the University will not reimburse expenses for spouses or partners or non-essential guests. Under no circumstances may the cost of the meal for each guest (including taxes and tip) exceed three times the appropriate GSA Per Diem meal amount for the location.

For the purposes of this policy, business meals shall not include refreshments, such as snacks or nonalcoholic beverages, which are made available to guests outside of the context of a meal. Such refreshments may be provided in appropriate business contexts, provided that the cost of providing refreshments, when combined with any meals served, is less than the applicable GSA meal rate (inclusive of incidental costs, such as set up, delivery, and service charges). For example, refreshments provided before a morning meeting at the Storrs campus cannot exceed the allowed breakfast per diem expense (currently \$7 for FY15). Refreshment transactions must also be justified by a business purpose and require the attendee list, total costs, and per person breakdown before the costs may be paid or reimbursed.

Note that the provisions in this section shall not be construed as to supersede the provisions of any collective bargaining agreement.

Procedure

Departments with ability to control or request Foundation funds are encouraged to consider use of these funds as the primary reimbursement method to cover the expense of business meals.

If Foundation funds are not used, employees may request reimbursement for business meals by attaching the Business Meal Detail Form available at <http://travel.uconn.edu/> with the original itemized receipt and proof of payment to the Reimbursement Request. Note that the form requires written approval for the meal from the Department Head, Director, or Dean. The Business Meal Detail Form must also include the date, location, business purpose, names of attendees and their affiliation to the University and the actual cost of the meal per person.

For authorized business meals at the Nathan Hale Inn and Conference Center, a Meal Charge Ticket allows departments to charge the meal to a KFS account.

Finally, for reference, the GSA Per Diem tables are available at: <http://www.gsa.gov/portal/content/104877>.

Units that want to contract for catering services for a group meal that will cost more than \$2,000 should refer to UConn's Purchasing Department for guidance.

5f. GRATUITIES FOR MEALS

Travelers who use the per diem method for meal reimbursement may not seek additional reimbursement for meal gratuities, as the per diem rates are calculated to include an allowance for meal gratuities. In all other cases, however, gratuities for meals and business meals are reimbursable at a rate not to exceed 20% of the pre-tax meal cost, except in cases where a vendor stipulates a gratuity and reflects it in the bill as a service charge. In such cases, any additional gratuity is not reimbursable. The employee may be responsible for reimbursing the gratuity to the University when the employee authorized billing to the University beyond 20% of the pre-tax meal or the vendor service charge.

PART 6: OTHER EXPENSES

6a. REGISTRATION FEES

Travelers may use University funds to pre-pay conference registration fees. Alternatively, travelers may be reimbursed for registration fees.

Sometimes meals, hotel accommodations, or additional fees for other goods and services may be included in a registration fee. Travelers will not be reimbursed separately for these—that is, travelers will not be reimbursed twice for the same thing. See Sections 5d and 5e for further details on meals provided with conference registration and business meals.

Procedure

Travelers may use the following methods to pay registration fees:

- Payment with University Procurement Card (Preferred Method)

To use the procurement card, travelers and administrators should follow the rules and regulations for use of the procurement card (available at <http://www.purchasing.uconn.edu/>).

- Personal Payments for Registration Fees

Travelers who pay registration fees themselves must attach all receipts and appropriate documentation to the Disbursement Voucher in KFS.

- Office of Travel Services Checks

If no other options are available, the Office of Travel Services can process a check to prepay registration fees. Travelers requesting prepayment of registration fees must do so by completing and submitting the Travel WebForm.

Regardless of how registration fees are paid, travelers must attach applicable receipts and conference agendas to the Travel WebForm in order to be reimbursed. If other fees, meals, hotel accommodations, or other goods and services are included in the registration fee, the documentation should reflect this. If a program or schedule is not available, then the traveler may submit a simple written statement indicating whether and to what expense such additional goods or services were provided as part of the conference.

6b. TELEPHONE, INTERNET, COMPUTER, AND FACSIMILE CHARGES WHILE TRAVELING

Charges for telephone calls made for official University business while traveling are reimbursable, unless the employee has a University issued cell phone or cell phone stipend that includes a voice tier option.

Travelers may receive reimbursement for charges for internet access, use of a fax machine, use of a computer, and other similar business services while traveling on University business. Translation charges are also eligible for reimbursement, provided however, that the traveler must additionally provide a documentation establishing the charges as having actually been paid (e.g., a credit card statement).

Procedure

Travelers should submit documentation and receipts for expenses incurred for these services with the Travel WebForm. When available, individual call destination and rates must be supplied with only business related calls claimed for reimbursement. For international travel, flat rate of data, text, and voice is charged by many service providers. The full amount is eligible for reimbursement, prorated by any personal travel during the trip.

6c. FOREIGN CURRENCY RATES AND PER DIEM REIMBURSEMENT

When traveling outside the U.S., travelers will receive the foreign per diem rates for the duration of their trip. Of note, foreign per diem rates include a significant daily incidental expense reimbursement for items such as laundry and dry cleaning.

Travelers will be reimbursed for expenses paid in foreign currencies, and for currency exchange fees, based on the exchange rate for the date marked on their receipts.

Procedure

Travelers may account for currency conversion in one of two ways:

1. Converting each receipt to U.S. dollars using the exchange rate for the date marked on their receipts.
 2. Including the transaction detail that documents the actual U.S. dollar amount charged from a debit or credit account statement.
-

6d. PRESCRIPTIONS AND MEDICAL EXPENSES FOR INTERNATIONAL TRAVEL

When preparing to travel internationally on University business, travelers are eligible to be reimbursed for any out-of-pocket medical expenses related to the trip such as prescriptions, vaccinations, medical co-pays or additional insurance costs.

Procedure

Travelers should submit documentation and receipts for expenses incurred for these services with the Travel WebForm.

ATTACHMENT 4

**PROMOTION AND TENURE RECOMMENDATIONS
UNIVERSITY OF CONNECTICUT – COLLEGE OF AGRICULTURE, HEALTH & NATURAL RESOURCES
PRESENTED TO THE BOARD OF TRUSTEES – June 24, 2015**

PROMOTION TO SENIOR EXTENSION EDUCATOR

Diane Wright-Hirsch

Extension

PROMOTION TO EXTENSION EDUCATOR

Candace Bartholomew

Extension

ATTACHMENT 5

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
June 24, 2015 Board of Trustees Meeting

SABBATICAL MODIFICATIONS/POSTPONEMENTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Anyah, Richard	Associate Professor	Natural Resources and the Environment	Agriculture, Health and Natural Resources	Full Half	Fall 2015 AY 2015 - 2016
Lindseth, Peter	Professor		Law	Full Full	Spring 2016 Spring 2017

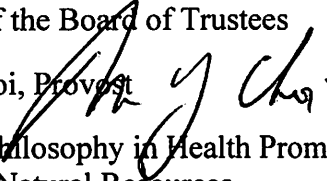
SABBATICAL LEAVE REQUESTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
Arnold, Chester A.	Extension Education	Extension	Agriculture, Health and Natural Resources	Full	Fall 2015
Best, Samuel	Professor	Political Science	Liberal Arts and Sciences	Full	Spring 2016
Biggs, Frederick M.	Professor	English	Liberal Arts and Sciences	Full	Spring 2016
Bollas, Georgios	Assistant Professor	Chemical & Biomolecular Engineering	Engineering	Half	CY 2016
Carillo, Ellen	Assistant Professor	English	Liberal Arts and Sciences	Full	Spring 2016
Dulack, Thomas	Professor	English	Liberal Arts and Sciences	Full	Spring 2016
Giacchetto, Carmelo	Professor	Finance	Business	Full	Spring 2016
Glenn, Wendy J.	Associate Professor	Curriculum and Instruction	Education	Full	Spring 2016
Kendall, Debra A.	Dist. Professor	Pharmaceutical Sciences	Pharmacy	Full	Spring 2016
LoTurco, Joseph	Professor	Physiology and Neurobiology	Liberal Arts and Sciences	Full	Spring 2016
Mahoney, Charles W.	Professor	English	Liberal Arts and Sciences	Full	Spring 2016

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY</u>	<u>PERIOD</u>
O'Neill, Michael	Associate Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Full	Spring 2016
O'Neill, Rachel	Professor	Molecular and Cell Biology	Liberal Arts and Sciences	Full	Spring 2016
Parker, Richard	Professor		Law	Full	Spring 2016
Schweitzer, Peter	Associate Professor	Physics	Liberal Arts and Sciences	Full	Spring 2016
Tobias, Craig	Associate Professor	Marine Sciences	Liberal Arts and Sciences	Full	Spring 2016
VanLear, C. Arthur	Associate Professor	Communication	Liberal Arts and Sciences	Full	Spring 2016

ATTACHMENT 6

June 24, 2015

TO: Members of the Board of Trustees
FROM: Mun Y. Choi, Provost 
RE: Doctor of Philosophy in Health Promotion Sciences in the College of Agriculture,
Health and Natural Resources

RECOMMENDATION:

That the Board of Trustees approve the Doctor of Philosophy in Health Promotion Sciences in the College of Agriculture, Health and Natural Resources.

BACKGROUND:

Over the past decade, the Department of Allied Health Sciences has recognized the rapidly growing demand for higher-level leadership and research-oriented skills specific to the field of health promotion sciences.

In addition, the market demand for specific skill sets indicates an overwhelming need for candidates with skills in clinical research as principal investigators and skills in clinical trials leadership – skills that would be conveyed through the proposed Ph.D. program.

The four-year Ph.D. in Health Promotion Sciences is an advanced, applied and research-oriented degree based on synergy between major areas – behavioral and environmental change interventions, diet and physical activity across the lifespan, genetics/diagnostics and statistical modeling sciences – to promote health and prevent diseases in a variety of settings and for diverse individuals. Doctoral students in this program acquire the knowledge and skills to advance the understanding of the role of behavioral, social and environmental influences in chronic diseases and conditions and to apply the principles and practices of health promotion and health behavior to create innovative solutions for current and emerging health challenges.

The Ph.D. in Health Promotion Sciences is appropriate for students who wish to prepare themselves for high-level careers in research, teaching/mentoring, consulting, policy development, or other leadership roles primarily focused on the behavioral determinants of health, the promotion of health, and the prevention of premature disease and disability. The graduate can develop a career in the following settings—university, local/state/national/international health promotion agencies, health care systems and services organizations, and private industry.

Item: **Doctor of Philosophy in Health Promotion Sciences**

Background & Description

Consistent with the mission of the University, The Allied Health Sciences Department evolved in 2006 from a School of Allied Health Professions to produce leaders who promote health and well-being in the form of interdisciplinary leadership in health promotion, and disease and disability prevention. The Department has a history of synergy between the credentialed health programs, and the variety of undergraduate concentrations and master's degree in health promotion sciences to prepare graduates who have professional competence, to work across disciplines, and contribute to research aimed at improving health and well-being. Congruent with this synergy, the Department's faculty is comprised of credentialed health professionals from multiple disciplines who lead and teach in professional programs as well as faculty who lead research programs. Thus, the Department is devoted to effectiveness across undergraduate and graduate teaching, research and scholarship, and public engagement.

The Graduate Program in Allied Health (GPAH) offers a MS degree in Health Promotion Sciences (MSHP) and a newly approved Master's Degree in Health Care Genetics. The department graduated 83 master's students from the MSHP program since 2005 - with research experience including quantitative and evidence-based methods, and advances in health promotion sciences through culminating projects and theses, and with dissemination of new knowledge through scientific meetings and publications.

Graduates of GPAH are typically employed as practitioners in research, and clinical positions in public health, community-based treatment and health care, worksite and research settings. The MSHP offers students competitive graduate research and teaching assistantships, individualized programs of study, and opportunities for expanded roles in health care. Additionally, the GPAH offers a Graduate Certificate in Health Promotion and Health Education (CHPHE). Completion of core competencies in the MSHP automatically makes students eligible to sit for the certificate examination to become a Certified Health Educator Specialist (CHES), which differentiates them from other Master's level professionals in this area.

Reasons for the Proposed Program

The Allied Health Sciences department is providing exceptional broad training for undergraduates as well as preparing graduate students for a range of employment positions as health promotion practitioners and professionals. In addition to providing education and graduate training to students within our own department, our graduate faculty has been very involved in training and providing major funding to doctoral students across several UConn disciplines and departments. Over the past decade, we have come to recognize, however, that there is a rapidly growing demand for higher level leadership and research-oriented skills specific to the field of health promotion sciences. Moreover, such skills are not being adequately addressed by the existing graduate programs at UConn nor among existing graduate programs in the region.

Workforce trends indicate the need for higher level health promotion leadership and research-oriented skills. Based on a market analysis provided to UConn via Burning Glass Labor Insight (2013), we are able to report several recent trends in the job market in terms of demand for the health promotion science skill set with which our students would be equipped upon graduating

from the proposed PhD program as well as the overall trend in jobs that require such skills. Unless otherwise noted, all information provided below has been provided by the Burning Glass (2013) report.

From 2011-2013, the demand for employment positions in the US that require health promotion skills increased 38%. The demand for PhDs with health promotion skills consistently fluctuated within a range of 1,300 job postings between 2011 and 2013, except for a brief spike in demand in the 3rd quarter of 2011 that was consistent with the national post-recession employment trend.

In addition, the market demand by employers for specific skill sets indicates an overwhelming demand by employers for candidates with the skills in clinical research as principal investigators and skills in clinical trials leadership – skills that would be conveyed through the proposed PhD program. Postings demonstrate twice the demand for clinical research skills as for clinical trials, the second most skill in demand. Other areas to be emphasized by the proposed PhD program – including behavioral health and program development - also increased between 2011 and 2012.

Objective data show continued increasing demand in today's workforce for higher level health promotion leadership and research-oriented skills. Such demands are not being adequately addressed by existing PhD programs. Aside from examining the demand for health promotion skills by the workforce and the supply of specific occupations that require such skills, the AHS department also requested that UConn's Center for Excellence in Teaching and Learning (CETL) independently conduct an analysis of existing programs throughout the U.S. that provide any type of substantial training related to health promotion. In short, the vast majority of programs provide broad training in health promotion but are not designed to convey the research-related skills that are in demand in today's workforce.

Curriculum & Program Outline

The four-year PhD in Health Promotion Sciences is an advanced, applied and research-oriented degree based on synergy between major areas—behavioral and environmental change interventions, diet and physical activity across the lifespan, genetics/diagnostics and statistical modeling sciences—to promote health and prevent diseases in a variety of settings and for diverse individuals. Doctoral students in this program acquire the knowledge and skills to advance our understanding of the role of behavioral, social and environmental influences in chronic diseases and conditions and to apply the principles and practices of health promotion and health behavior to create innovative solutions for current and emerging health challenges.

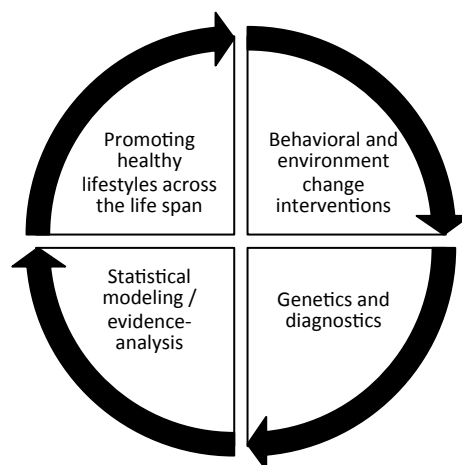


Figure 1. Conceptual model of the Health Promotion Sciences areas of focus and expertise in the Department of Allied Health Sciences

Table 1 below displays the typical sequence of events across the doctoral program.

Table 1. Typical sequence of academic work to complete a PhD in Health Promotion Sciences

Typical Sequence		Semester in Program (of 8)
1	Assigned to major advisor	1
2	Select committee members in consultation with major advisor	1-2
3	Approval of student's program of study (POS), including: - Outline of POS after consulting with major advisor and committee members; - File signed POS with Graduate School	3-4
4	Completion of written and oral exam, approval and oral defense of Dissertation Proposal; Advancement to candidacy	5-6
5	Completion coursework	7
6	Intensive Dissertation research	6-8
7 – 8	Approval of draft dissertation by committee members	8
8	Final oral defense of Dissertation research	8
9	Graduation	8

The PhD in Health Promotion Sciences is appropriate for students who wish to prepare themselves for high-level careers in research, teaching/mentoring, consulting, policy development, or other leadership roles primarily focused on the behavioral determinants of health, the promotion of health, and the prevention of premature disease and disability. The graduate can develop a career in the following settings—university, local/state/national/international health promotion agencies, health care systems and services organizations, and private industry. The core components of the program aim to empower students to: (a) produce

and defend an original significant contribution to knowledge; (b) demonstrate mastery of subject material; and (c) be able to conduct scholarly activities in an ethical manner.

Outline of Core Components of the Program:

The student and her/his doctoral committee jointly determine the specific program of doctoral study in health promotion science. This process allows for designing plan of study uniquely suited to each person's particular needs and career goals. The PhD program consists of a minimum of 48 credits. Courses included on the approved program of study must achieve a grade of B- or higher. Students must maintain an overall grade point average (GPA) of 3.0 per term to be in good standing. Although there is flexibility in the courses taken – as determined by the graduate student and doctoral committee – the typical sequence of courses and study is outlined in Table 2.

Table 2. Typical sequence of coursework to complete a PhD in Health Promotion Sciences

Fall 1	Spring 2
Critical Issues in Health Promotion, Disease and Disability Prevention	Research Methods in Allied Health
Design and Implementing Health Promotion Programs	Program Planning and Evaluation for Health Professionals
Biostatistics for Health Professions	Experiential Learning in Health Promotion Research I*
	Graduate seminar in Health Promotion Research *
Fall 3	Spring 4
Graduate seminar in Health Promotion Research *	Graduate seminar in Health Promotion Research*
Ethical considerations in genetics research and testing	Multilevel Mediation-Moderation Modeling for Health Sciences
Experiential Learning in Health Promotion Research II*	Related Cognate
Related Cognate	
Fall 5	Spring 6
Graduate seminar in Health Promotion Research *	Developing Grant Proposal
General Exam	Dissertation prep
Dissertation prep	
Fall 7	Spring 8
Dissertation prep	Doctoral Defense and final approvals

* Asterisk courses are new and described below.

1. Health Promotion Core (15 credits minimum):

GPAH 6324 - Critical Issues in Health Promotion, Disease and Disability Prevention—An in-depth study of health promotion, disease and disability prevention policies, programs and strategies. (3 credits)

GPAH 6421 - Design and Implementing Health Promotion Programs—Designed to assist students with the skill development necessary to design and implement health promotion programs via a settings approach. Various program development models will be presented. Experts from the field will be integrated into the course from various programmatic settings. (3 credits)

GPAH 6305 - Program Planning and Evaluation for Health Professionals— A theoretical and practical introduction to program evaluation for health professionals who deliver health care services, manage departments and personnel, or provide training and continuing educational opportunities. Students apply the practical program evaluation framework for health-related intervention programs and document the impact of interventions within health promotion and disease and disability prevention programs. Skill development is facilitated. (3 credits)

GPAH 6181—Experiential Learning in Health Promotion Research— This course involves mentored research experiences on and/or off-campus to increase doctoral student's breadth and depth of knowledge, skills and competence in health promotion science. The credit is variable (42 hours per semester per credit), repeatable to a maximum of six credits, with hours by arrangement. Instructor consent is required; open only to doctoral students after successful completion of their first semester of doctoral work. Pre-requisite: GPAH 6324 Critical Issues in Disease Prevention and Health Promotion, and a graduate statistics course. The course is graded. Students must pay a malpractice fee. (4 credits)

GPAH 5700: Ethical considerations in genetics research and testing—Recommended preparation: a course in human genetics. Conceptual and philosophical analysis of ethical issues specific and special to genetic testing and research. Presentations, case-studies and readings will cover topics such as world wide web genomics, access to genetic information, privacy and confidentiality, ownership, personal and societal perceptions, reproduction, utility and limitations of genetic data, education of physicians and patients, treatment versus enhancement, regulation and reimbursement, and other time-relevant issues. (2 credits)

2. Courses in Methodology and Statistics (9 credits minimum). A minimum of 2 courses must be of a statistical nature. Courses in advanced research methods are required in quantitative and qualitative research.

GPAH 6306 - Research Methods in Allied Health —An inquiry into the nature of research with emphasis on the spirit, logic, and components of the scientific method. Health related research literature is used to aid the student in learning to read, understand, and critically analyze published materials. The preparation of research proposals and reports is emphasized.

GPAH 5005 - Biostatistics for Health Professions—This course will present basic statistical methods to a broad range of medical or public health problems. The course will emphasize the use of these methods and the interpretation of results using biomedical and health sciences applications.

GPAH 6005 - Multilevel Mediation-Moderation Modeling for Health Sciences—This course present advanced multivariate statistical methods focusing on statistical techniques commonly used in empirical research under a latent-variable approach This course will teach the students multilevel mediation-moderation techniques in order to analyze complex or multilevel databases. At the end of the course, students will understand how to analyze multivariate data using multilevel mediation-moderation concepts to test a variety of health-related research hypotheses. Knowledge of linear models is needed for participants enrolling in this course.

3. Cognate courses supportive of knowledge/skills and dissertation – 9 credits

4. Developing research and academic teaching skills and competence – 6 credits

GPAH 6184 - Graduate Seminar in Health Promotion Research (5 credits) – 1 credit per semester with major topics of attending seminars, giving a seminar, research professional skills (reviewing, abstracts, posters, attending meetings, ethics and research compliance), writing and college-level teaching. Throughout the student's involvement with the seminar, they must complete a research manuscript of publishable quality.

GPAH 6422 - Writing Successful Grant Proposal (1 credit) - Designed for the advanced graduate student in a health field to obtain experience writing a scientific research proposal. Students will be expected to enter the course with both a fairly well developed research topic and an actual Request for Proposal in hand. The final outcome from this class will be a grant proposal that is suitable for submission to a funding agency.

5. Doctoral general examination:

The goal of the general examination is to assure that all students have acquired and can effectively communicate the breadth and depth of the field. The exam challenges students to think critically, creatively and interdisciplinary about areas of health promotion sciences. Completion of the examination acknowledges that the student has become a candidate with growing expertise in the field of health promotion sciences. Completion of the general examination allows the student to become a doctoral candidate and commence intense work on the doctoral dissertation and scholarly output associated with the doctoral dissertation work.

The general examination is overseen by the major advisor with the doctoral advisory committee in addition to additional GPAH faculty to comprise a total of 5 members. The general examination contains a written component and oral examination of the written component as well as the dissertation proposal and oral defense of the dissertation proposal. The dissertation proposal is reviewed by an expert in the field external to the University and comments considered for the final draft of the dissertation proposal.

6. Dissertation Preparation – 15 credits

New Courses (already approved through CAHNR C&C):

GPAH 6181: Experiential Learning in Health Promotion Research. Effective Fall 2015.

By mentoring with health promotion researchers in their research settings, students completing this experiential learning course will gain breadth and depth of knowledge, skills and

competence in health promotion science. The experiential learning must engage students in at least two of the following health promotion science areas as shown in Figure 1 below: behavioral change interventions, statistical modeling/ evidence-analysis, diet and physical activity for health across the lifespan, and diagnostics/genetics. Interactive learning experiences will facilitate interdisciplinary and critical thinking for the development of dissertation ideas and approaches.

Learning Outcomes

Doctoral students are expected to develop competencies in theory, research methods, health promotion principles and practices, and professional skills. These competencies are minimum competencies that form the foundation of doctoral training. Students have additional specialized competencies in their areas of concentration:

- Demonstrate competence in applying theories and conceptual frameworks/models in the field of health promotion science;
- Demonstrate and appropriately apply a range of research and statistical methods to improve understanding of health promotion science and to hold leadership roles in the field through scholarly contributions (e.g., conference presentations, manuscript/grant writing);
- Assess health problems in terms of their multi-disciplinary nature including but not limited to cultural, social, environmental, behavioral, and economic factors related to prevention and control;
- Demonstrate professional skills that uphold standards of professional integrity and that allow for effective synthesis, communication, instruction, and collaboration.

Enrollment & Graduation Projections

The Health Promotion Sciences PhD program plans to initiate enrollment in Fall 2015. We expect that the average time to completion of the PhD degree will be four years although this will vary depending upon each student's prior coursework. Students will be expected to obtain approval for a program of study by the end of the 4th semester, complete an oral exam and advance to candidacy by the end of the 6th semester, and successfully complete and defend their dissertation research by the end of the 8th semester in sufficient time to graduate.

Admission Policy:

Both the Graduate School and the program's regulations and policies will govern the admission of students for this program. In order to apply to the doctoral program, students must meet the following requirements:

- A demonstrated commitment to health promotion, either through education, work or volunteer experience.
- An earned baccalaureate degree.
- A master's degree in a relevant field is strongly preferred; determination will be made on an individual basis by the Graduate Admissions Committee.
- Preference will be given for an individual who holds a relevant health credential.
- Completion of the seven core areas (Health Promotion, Doctoral Seminar, Methodology & Statistics, Grant Writing, Cognates, Research Manuscript Writing, and Dissertation). Accepted students who are deficient in one or two areas must take the necessary course(s)

either before admission or upon matriculation into the doctoral program, as determined by the Graduate Admissions Committee.

- Applicants are expected to have a strong statistical background and demonstrated research experience, as evidenced by a thesis-based master's degree, authored publications or a description of research activities in their personal statement.
- A minimum grade point average of 3.0 in all courses of record. Alternatively, a student may present a grade point average greater than 3.0 for the last two years of graduate study coupled with other evidence of research competence.
- Accepted students who hold a MS in Health Promotion Sciences from UConn would only be required to take the following courses (totally 38 credits) to complete the doctoral degree:
 - Experiential Learning in Health Promotion Research (6 credits)
 - Ethical Considerations in Genetics Research and Testing (2 credits)
 - Graduate Seminar in Health Promotion Research (5 credits)
 - Writing Successful Grant Proposal (1 credit)
 - Cognate Course for Dissertation (9 credits)
 - Dissertation Preparation (15 credits)

Financial Resources

We do not expect the program to have any negative impact on existing financial resources within or outside the AHS department. There are currently offices and resources for administrative and programmatic leadership at the Storrs campus – at Koons Hall, Hawley Armory, and at the Center for Health, Intervention, & Prevention (CHIP) – and there is more than adequate space for seminars, meetings, and administrative staff. Students will be able to utilize existing office space provided by their major advisors. The new program will primarily utilize existing graduate faculty in AHS as well as existing financial resources for Graduate Research Assistantships and Teaching Assistantships to support students. The department has a solid track record in supporting graduate students through our grant-funded research and teaching assistantships. We currently provide a Graduate Research Assistantship to 11 students and a Teaching Assistantship to 8 students in the department. Rather than have a negative impact on resources, this interdisciplinary program will strengthen the existing financial and physical resources and create greater synergy and in the department among faculty, staff, and students.

Facilities/Equipment/Library/Special Resources

Graduate faculty have offices and plan to provide offices to graduate students in this program within Koons Hall, Hawley Armory, and the Center for Health, Intervention, & Prevention (CHIP) on the Storrs campus as well as a variety of grant-funded research facilities throughout Connecticut. These facilities include conference rooms, scan/fax/photocopy machines, computer equipment, information technology equipment, and teleconferencing capability. Students in the program will be housed in offices and labs on campus and in the community that are funded through their major advisors. A key criterion for assigning students to a major advisor is the advisor's ability to provide the necessary long-term funding, space, and equipment – which the graduate faculty in AHS is well positioned to provide.

In terms of resource centers and research literature to support the program, the University of Connecticut Library System holds the largest public collection of research materials in the State of Connecticut. The collection contains over 2.5 million volumes, 9,000 currently received periodicals, 25,000 full-text electronic journals, 2.8 million units of microfilm, 35,000 reference sources, 180,000 maps and an array of electronic information sources. In addition, the University of Connecticut Libraries provide access to over 10,000 journals, online and in full text. They also provide access to journals indexed by the National Library of Medicine, including Index Medicus and PubMed, which include journals specifically related to health promotion and disease prevention.

Program Administration

The general administration of the Doctoral Program is the responsibility of the Director of the Graduate Program in Allied Health Sciences (GPAH) with direction and guidance from the graduate faculty and in alignment with the University's policies and procedure for graduate education. The GPAH is a standing committee of the faculty, which has regular face-to-face meetings during the academic year.

Students are advised and mentored by the major advisors, the doctoral advisory committee and the entire faculty of the Department. Major advisors hold graduate faculty status in the University and GPAH. The pairing of students with major advisors generally happens through the acceptance and admission process. In consultation with the major advisor and consistent with the dissertation topic, the student selects a doctoral advisory committee with at least one additional member from the GPAH faculty. It is suggested that the advisory committee also has a member external to the University. Students may change major advisors consistent with the University policies. At the close of each academic year, the student completes a PhD Student Progress Report with a signature of the student, major advisors and advisory committee and submits the Report to the Director of the Graduate Program. This Report documents the specific progress of the student, recommendations to enhance the academic progress over the next year, academic and scholarly achievement, the plans for the following academic year, and a timeline of completing all of the program requirements. The Report serves as a check and balance to support a timely completion of the requirements of the doctoral degree and becomes part of the student academic record. Students are encouraged to seek counsel of the Director of the GPAH if academic concerns are between the student and major advisor and with the progress of completing the doctoral program.

The Director of GPAH is responsible for being an active member of the University Graduate Council and prepares reports of accomplishments as part of the Department's Annual Report. The Director, with involvement of the Graduate faculty, will assure that the doctoral program is meeting the goals and objectives, attracting the best students, and that graduates are well-qualified to become leaders in Health Promotion Sciences.

Faculty Involvement

The interdisciplinary faculty who comprise the department has an extensive track record of training graduate students within our own department (Masters of Science program in Health

Promotion), actively training diverse PhD students throughout the University, and providing significant graduate assistantship (GA) funding to graduate students at all levels. Below, we have summarized the core graduate faculty who will be the most actively involved in the proposed PhD program in Health Promotion Sciences.

Valerie Duffy, PhD, RD. Dr. Duffy is a Professor in AHS and Director of the Graduate Program in Allied Health Sciences and PI at the Center for Health, Intervention, and Prevention (CHIP). She offers a wealth of experience in food, nutrition, health promotion and public health nutrition. With continuous funding primarily by the USDA and NIH, the Duffy Lab at the University of Connecticut has two main research interests. First is to understand variation in chemosensory perception in humans and how this variation influences food flavor, food preference, food intake and chronic conditions such as obesity and tobacco addiction. The ultimate goal is to understand how chemosensory variation influences our ability to follow a healthy diet for the prevention of chronic disease and obesity. Second is multiple collaborations with community agencies across the state to promote healthy diets and healthy weights of children and their, particularly those of economic disadvantage. Through involvement of undergraduate and graduate student research, Dr. Duffy and her group investigate the effectiveness of community-based interventions to improve dietary quality and level of physical activity of children.

Pouran Faghri, MD, MS. Dr. Faghri is Professor in AHS with an emphasis on Health Promotion Disease and Disability Prevention. She is the Director of the University of Connecticut Center for Environmental Health and Health Promotion and Co-Principal investigator (Storrs) of the NIOSH/CDC-funded Center of Excellence: Center for Promoting Health in the New England Workplace-CPH-NEW. Dr. Faghri also has joint appointments as Professor with the Biomedical Engineering Program, School of Engineering and the Department of Community Medicine and Health Care (MPH and PhD Programs) at the University of Connecticut Health Center. As a medical doctor and an exercise physiologist, Professor Faghri has expertise in health promotion, wellness, disease, and disability prevention for healthy individuals as well as neurologically impaired and those with chronic conditions and elderly. Dr. Faghri's research funding ranges from NIOSH, USDA, NSF, to the CDC, thus covering her broad areas of interest and expertise in work-site health promotion programs (design/intervention/evaluation), community health promotion programs (design/intervention/evaluation), health related behavior, intervention strategies for health promotion and secondary disability prevention (neuromuscular, musculoskeletal, and physiological) in disabled and elderly populations. Dr. Faghri's research has been continuously funded by federal and private organizations. She has extensive experience in mentoring both Masters and PhD students and has graduated numerous students with theses in the area of health promotion, disease and disability prevention.

Michael Copenhaver, PhD. Dr. Copenhaver is an Associate Professor in AHS, the Department of Psychology, a PI at the Center for Health, Intervention, and Prevention (CHIP), and a licensed clinical psychologist. He conducts NIH/NIDA-funded research aimed at developing and adapting evidence-based behavioral HIV prevention interventions for optimal use in clinical settings (drug treatment, prison) where high risk drug users may be more effectively reached. He recently completed an NIH-funded randomized trial targeting high risk HIV- drug users and was then awarded an NIH grant that involves conducting a large non-inferiority randomized trial of an

adapted secondary HIV prevention intervention targeting HIV+ person in treatment. He was also awarded a Career Development Grant (K02) from NIH that will ensure that I have the protected time necessary to successfully conduct high impact HIV prevention research and mentor the next generation of investigators. Since coming to UConn in 2002, Dr. Copenhaver has been continuously funded as a PI by NIH to conduct HIV prevention research among priority populations locally, nationally, and internationally, and has successfully used these community-based efforts to mentor numerous health promotion researchers.

Jane Kerstetter, PhD, RD. Dr. Kerstetter is a Professor in AHS. Her research has been funded primarily by NIH and USDA and is conducted through ongoing collaborations with the General Clinical Research Centers (GCRCs) at Yale University and the University of Connecticut Health Center (UCHC). In both GCRCs, she leads research teams (students, nurses, dietitians, physicians, pharmacists), all of whom have garnered external funding to understand how dietary protein affects bone health. In collaboration with investigators at Yale University and Cornell University for the past 15 years, her research team has discovered that dietary protein is a major regulator of intestinal calcium absorption. Most recently, the research team of Drs. Jane Kerstetter, Anne Kenny (UCHC), and Karl Insogna (Yale), has been conducting a large NIH-funded clinical trial to determine if a protein supplement is beneficial to skeletal health. This is a multi-center intervention trial involving Yale University, University of Connecticut at Storrs, and the Health Center at Farmington. Dr. Kerstetter has been highly effective at incorporating such research efforts into her mentoring of budding researchers in health promotion.

Tania Huedo-Medina, PhD. Dr. Medina is an Assistant Professor in AHS. Since 2006, Dr. Huedo-Medina's health promotion research activities have been continuously funded by NIH and the Agency for Health Research Quality (AHRQ). Dr. Medina's work focuses on developing and applying statistics to health promotion and related prevention research data at both the individual and community levels. Her main goal is to obtain more precise estimations of the biological-behavioral-contextual relationships that will allow us to understand and predict behavior and biological changes, and ultimately enable us to develop evidence-based knowledge for reducing inequalities and improving health care. She works on refining both the qualitative assessments and statistical techniques involved in evidence-based methodology. She uses Monte Carlo simulations and other computational methods to develop new, statistically-valid methods. Dr. Medina is currently working on an innovative approach to developing a multilevel structural equation approach for individual-level meta-analytical data. Together with several graduate trainees, she also collaborates on primary studies involving structural equations and multivariate analyses of clinical data and coordinates and conducts meta-analyses on prevention literature in multiple health domains (e.g., cancer, mental health, physical activity, HIV/AIDS and sexual health, blood pressure).

Lawrence Silbart, PhD, MPH. Dr. Silbart is a professor in AHS and currently serves as the Vice Provost for Strategic Initiatives at UConn (2013-present). He previously served as the Department Head for AHS (2006-13) and has maintained an active/well-funded health promotion research program that focuses on in mucosal vaccines, mucosal immunology and host-pathogen interactions. Most of his recent research has involved vaccine development for FMDV and mycoplasma gallisepticum, and in understanding the role of alveolar macrophages in asthma using a mouse model. Dr. Silbart has a long track record of mentoring graduate students

at various levels of training and across disciplines at UConn. Over the course of his career, he has earned prestigious awards for research, teaching, and leadership. Dr. Silbart has been very effective at applying animal model research to human health promotion and incorporating his research laboratory into graduate training for new health promotion scientists.

Denis Coble, PhD. Dr. Coble is an Associate Professor in AHS. During his lengthy career in AHS at UConn, he has received four Golden Apple Awards - three for Community Service and Leadership (1995-96, 1996-97 and 2006-07) and one for Leadership and Mentoring (2003). In 2001, he received a National Excellence in Education Award from the American Society of Cytopathology, and in 2005, he received the Dean's Leadership Award. In 2006, Dr. Coble received the Vice Provost's Award for Excellence in Outreach and Public Engagement with Mark Samos, Special Assistant to Tribal Secretary, Mashantucket Pequot Tribal Nation. This award was for Public Health, Culturally Sensitive Cancer Risk Reduction/Prevention Education and Counseling with the Mashantucket Pequot Tribal Nation and other tribes in Connecticut, Rhode Island and Massachusetts. His current research, teaching, and outreach engagement (extension/community-based service learning) areas of interests address Cancer Prevention Education in Culturally Diverse Populations, Management in Health Care, On-Line Health Promotion Education, Health Care Entrepreneurial Activities, Native American Health, and PCR tick testing for associated Lyme disease bacterium. Dr. Coble has been able to incorporate his community-based health promotion efforts as a training mechanism for numerous graduate students from various disciplines.

Tricia Leahey, PhD. Dr. Leahey is a new Associate Professor and licensed clinical psychologist who joined the AHS faculty in 2014 and will be an integral player in new health promotion PhD program. She has an exceptional track record in garnering NIH funding and is now the PI of a randomized trial testing the efficacy of lay coaches for obesity treatment. In addition, she is Co-I on several other NIH-funded projects focusing on obesity. She also has pending NIH funding for a project that involves adding evidence-based strategies to a commercial weight-loss program delivered via internet. Overall, her work involves developing and evaluating cost-effective behavioral interventions for the treatment of obesity in real-world settings and on testing novel approaches for weight loss maintenance. She has also developed collaborations with a small Internet company to develop a wide-reaching, evidence-based commercial weight loss program that involves social gaming and financial incentives. Dr. Leahey will provide hands-on training in health promotion to the next generation of investigators interested in innovative means to tackle the obesity epidemic.

Jennifer Harris, PhD, MBA. Dr. Harris recently joined our department and continues as a PI at UConn's Center for Health, Intervention, & Prevention (CHIP). She joins forces with other AHS faculty as a Rudd Center researcher interested in obesity prevention research. Dr. Harris conducts health promotion research focused on understanding the extent and impact of children's exposure to food advertising and communicating that information to the health community, parents, and policymakers. Her current research is funded through a three-year \$5.2 million grant from the Robert Wood Johnson Foundation. She has conducted extensive research to quantify the amount and types of food marketing seen by young people and its impact on their health and diets and has also published on the psychological and behavioral effects of marketing to children and teens and the need to reduce unhealthy food marketing. As a member of AHS and a CHIP

affiliate, Dr. Harris plans to continue conducting research on both the extent and impact of food marketing to youth and to identify opportunities for intervention approaches to improve young people's diets and reduce obesity.

Laijun Lai, MD. Dr. Lai is an Associate Research Professor in AHS who is conducting innovative stem cell research that focuses primarily on: inducing the differentiation of embryonic stem cells and iPSCs into hematopoietic stem cells and T cell progenitors; enhancing antitumor immunity by a novel hybrid cytokine; regenerating T cells after bone marrow transplantation; and inducing the differentiation of embryonic stem cells and iPSCs into thymic epithelial progenitors. He serves as PI on a thriving stem cell research program totaling well over 2 million dollars in grant funding from the American Cancer Society, Department of Public Health, and the CT stem cell program (CT innovation). Dr. Lai is well positioned to train the next generation of researchers in health promotion pertaining to stem cell technologies.

Judy Brown, PhD. Dr. Brown is an Associate Professor in Residence in AHS, Director of the Genetics and Genomics Division of the UCONN Stem Cell Core, and a certified clinical laboratory specialist in cytogenetics and molecular biology. She is developing new models for studying the interplay between chromosome instability and human disease and provides training and expertise on diverse collaborative projects to expand grant-funded efforts in the growing field of study: chromosome biology. Dr. Brown's current projects include 1) characterizing the contribution of retro-elements to the function of the centromere and chromosome instability (NSF grant-funded), 2) identifying targets for small RNAs derived from Epstein Barr Virus infection associated with cancer, 3) examining the genes and mechanisms responsible for hybrid sterility in mammals, 4) identifying a candidate for the initiation of chromosome abnormalities that contribute to both tumor susceptibility and karyotypic evolution (initiated with American Cancer Society grant funds) and 5) determining whether telomere integrity is a reliable genetic marker of risk for heart failure progression and of effective treatment with a ventricular assist device implant (funded by grant dollars from Hartford Hospital). As Director of the Chromosome Core, Dr. Brown receives State of CT Stem Cell Research Grant Funding to examine the genome integrity of human induced pluripotent stem cells created to mimic diseases such as autism, breast cancer, Prader-Willi, Angelman syndrome and psychiatric disorders. In the classroom, student laboratory, and at the research bench, Dr. Brown incorporates research questions focused on genetic instability in both human and non-human model systems, clinical applications of cytogenetics and personalized genomics and the ethical implications of genetic testing and research.

Bruce Blanchard, PhD. Dr. Blanchard is an Assistant Clinical Professor in AHS. Before coming to UConn, he worked in the clinical laboratory at Hartford Hospital as a supervisor and educator. Dr. Blanchard specializes in the fields of laboratory science, with an emphasis on hematology, transfusion services and urinalysis/body fluids. His primary research interests include hematological diseases/disorders with a focus on diagnosis, prognosis and disease progression, using cytogenetic and molecular techniques. Bruce brings a wealth of basic/bench science to the field of health promotion and is able to balance the research perspectives contributed to the department by those in the applied sciences. Dr. Blanchard serves on the graduate faculty and teaches and mentors students at both the undergraduate and graduate levels.

Jessica D Bihuniak, PhD, RD. Dr. Bihuniak is a Lecturer and Advisor in the department. She has received extensive training at The University of Connecticut and Yale University School of Medicine in both clinical and bench nutrition research, with a focus on exploring the impact of dietary protein and select groups of amino acids on skeletal health throughout the lifespan. She recently undertook two randomized, double-blind, placebo-controlled, crossover, feeding trials in young and older women, one of which was funded by the USDA. Findings from her most recent study suggest that dibasic amino acids improve Ca absorption efficiency in young women consuming a low-protein diet. She has also assisted in a NIH-funded, multicenter, randomized, double-blind protein supplementation trial in older men and women with bone mineral density as the primary outcome. This project provided her with the opportunity to mentor senior dietetic students and master students at UCONN and at Yale. In the course of these studies she has established collaborative relationships with Dr. Jane Kerstetter, a professor in the department, Dr. Karl Insogna (Yale) and Dr. Anne Kenny (UCHC).

Paul Bureau, M.S., M.S., CIH. Paul Bureau is a Lecturer/Advisor in the department. He has worked in manufacturing, construction, shipbuilding and repair, and financial services as an occupational health and safety professional, identifying and implementing interventions to enhance employee health and safety. He is a certified industrial hygienist (CIH) and a member of both local and national American Industrial Hygiene Association (AIHA) sections. He teaches undergraduate courses in occupational health and safety and he is a guest lecturer in the Health Promotion Sciences graduate program. Current grant activity includes being a principal investigator on a CDC/NIOSH grant titled Recovery from Catastrophic Weather: Mold Exposure and Health-Related Training, and providing industrial hygiene services to the University of Connecticut Health Center (UCHC) Department of Occupational Medicine in support of a State of Connecticut Department of Labor grant titled Occupational Health Clinics.

Similar Programs in Connecticut or Region

Workforce trends have consistently shown the greatest demands in research-oriented health promotion employment. There are shortages of PhD-level candidates in allied health fields who hold a research degree to make them successful beyond the practice credential to advancing new knowledge in promoting health and preventing disease in a university and variety of settings. We believe that this is crucial because very few of the existing doctoral programs in the US are designed to provide the higher level health promotion leadership and research-related skills that are needed today. Particularly in the northeast region of the US, there are virtually no programs designed to meet today's workforce needs in this regard. Based on the analysis provided to us, the vast majority of similar programs (83%) appear to be characterized by significantly less time/content/emphasis on research-related skill development than the proposed program. This may be a function of the curriculum requirements imposed by the Council on Education for Public Health (CEPH), which is not a governing body for the proposed program in Health Promotion Sciences.

In an effort to examine possible overlap with existing programs at UConn, in the extensive process of constructing this proposal and in designing the PhD program in Health Promotion Sciences, we thoughtfully considered the potential synergistic and/or negative impact that our program might have on existing programs, specifically the existing program in Public Health at

UConn Health. In doing so, we sought objective data as well as a wide range of sources, and we have concluded that, while similar in some aspects, the programs serve distinct and complementary purposes, and that the proposed program would rapidly fill an important void while providing synergy to existing programs as well as UConn initiatives.

ATTACHMENT 7



June 24, 2015

TO: Members of the Board of Trustees

FROM: Jeffrey R. Seemann, Vice President for Research

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

A handwritten signature in blue ink, appearing to be "J. Seemann", is written over the "FROM:" line of the memo.

NOTIFICATION:

It is recommended that the Board of Trustees amend the *By-Laws of the University of Connecticut* Article XV.G – General Policies and Practices.

BACKGROUND:

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

The state of Connecticut modified the statute governing ownership of inventions. The prior statute stated: "The University shall be entitled to own the entire right, title and interest in and to any invention." The pertinent section of the statute now reads: "The university shall own, or participate in the ownership of . . . any invention." This change was made in light of the Supreme Court ruling in *Stanford v. Roche* to clarify the legislative intent that ownership in inventions vests immediately in the university, and is not dependent on further action or agreement with the inventor.

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

ARTICLE XV – General Policies and Practices

G. Intellectual Property

1. *Ownership of inventions*¹

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


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

¹ For the purpose of this section, 'invention' shall mean that which is produced for the first time through the use of imagination or ingenious thinking and experiment.

ATTACHMENT 8

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: UConn Foundation Master Agreement – Proposed Amendment and Fiscal Year
2016 Statement of Work

RECOMMENDATION:

The University administration recommends that the Board of Trustees approve the resolutions below authorizing the University to amend the Master Agreement between the University and The University of Connecticut Foundation, Incorporated (the "UConn Foundation"). The proposed amendment will incorporate into the Master Agreement the UConn Foundation's assumption of responsibility for performing alumni relations activities in support of the University.

The University administration also recommends that the Board of Trustees authorize the University to enter into a statement of work with the UConn Foundation pursuant to the Master Agreement for Fiscal Year 2016. The proposed statement of work outlines the specific fundraising, investment management, alumni relations activities and other related goals and objectives, and the financial consideration to be provided by the University, which have been agreed upon by the University and the UConn Foundation for the next fiscal year.

BACKGROUND:

In July 2014, the University and the UConn Foundation entered into a Master Agreement that detailed the relationship between the two entities and the responsibilities of the UConn Foundation with respect to performing development, investment and other services for the University. The UConn Foundation is a private organization, exempt from taxation under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended, that operates exclusively to promote the educational, research, cultural, and recreational objectives of the University.

The Master Agreement requires that the University and the UConn Foundation enter into statements of work from time to time outlining the specific goals and objectives, and the financial consideration to be provided by the University, that is agreed upon by the University and the UConn Foundation. The current statement of work expires June 30, 2015.

On April 1, 2015, the UConn Foundation assumed responsibility for performing alumni relations activities in support of the University pursuant to an addendum to the Master Agreement. During the last three months, the UConn Foundation has actively collaborated with the University and University of Connecticut Alumni Association, Inc. to develop an alumni engagement model that is inclusive of all University alumni, without any requirement for paying dues. The addendum for alumni relations activities also expires June 30, 2015.

The University and the UConn Foundation have agreed to incorporate into the Master Agreement the terms on which the UConn Foundation will continue to perform alumni relations activities in support of the University as it currently does pursuant to the addendum. The only substantive changes in the amendment to the Master Agreement are to incorporate alumni relations matters as follows:

- To incorporate the role and responsibility of the UConn Foundation with respect to performing alumni relations activities in support of the University;
- To ensure that the University and the UConn Foundation have and maintain a center for alumni on the University's Storrs campus;
- To permit the UConn Foundation to use the University's name, logo, seal and other marks in connection with its performance of alumni relations activities, including any affinity programs and corporate sponsorships approved by the University; and
- To require the UConn Foundation to perform the duties, and exercise the powers of, the University's alumni association, as are provided in General Statutes § 10a-103.

The University and the UConn Foundation have also agreed upon a statement of work that sets forth the specific fundraising, investment management, alumni relations activities and other related goals and objectives for Fiscal Year 2016. The goals and objectives established for next year include the following:

- A fundraising goal of \$78 million. Projected results for Fiscal Year 2015 are approximately \$72 million;
- Continuation of a five-year \$150 million goal aimed at doubling annual scholarships for the University (from \$15 to \$30 million);
- Implementation of a comprehensive Grateful Patient program in Cancer and Cardio programs; and
- Providing quality alumni programs and services that strengthen lifelong bonds between all members of the UConn family.

In consideration for the UConn Foundation's performance of such services during the next fiscal year, the University has agreed to pay the UConn Foundation \$8,065,000 during the Period, which payments will be made quarterly in advance in equal installments during the Period. In addition, the University will pay to the Foundation an amount not to exceed \$1,385,000 for those services formerly provided by the University of Connecticut Alumni Association, Inc., subject to the approval of the Executive Vice President for Administration and Chief Financial Officer, or his designee.

RESOLUTION:

In furtherance of the foregoing, the University recommends the Board of Trustees of the University approve the following resolutions:

RESOLVED, that the University's President and administration are hereby authorized to execute and deliver an amendment to the Master Agreement incorporating the terms described above and such other terms as may be deemed advisable and in the best interest of the University by the University's President and administration; and

RESOLVED, that the University's President and administration are hereby further authorized to execute and deliver a statement of work for Fiscal Year 2016 that sets forth the specific fundraising, investment management, alumni relations activities and other related goals and objectives described above and that provides that the University pay \$8,065,000 during the Period, which payments will be made quarterly in advance in equal installments during the Period. In addition, the University will pay to the Foundation an amount not to exceed \$1,385,000 for those services formerly provided by the University of Connecticut Alumni Association, Inc., subject to the approval of the Executive Vice President for Administration and Chief Financial Officer, or his designee, to the UConn Foundation to support such activities; and

RESOLVED, that the University's President and administration are hereby further authorized to execute, deliver and perform, in the name of and on behalf of the University, such certificates, instruments, documents and agreements as each of them may deem necessary, useful or required in furtherance of the foregoing resolutions.

FIRST AMENDED AND RESTATED MASTER AGREEMENT
between
THE UNIVERSITY OF CONNECTICUT
and
THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

WHEREAS, the UNIVERSITY OF CONNECTICUT (hereinafter the “University” or “UConn”), Connecticut’s land grant university, whose statutory authority is set forth in Chapter 185b of the Connecticut General Statutes, and THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED (hereinafter the “Foundation”), a Connecticut non-stock corporation that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (the “Code”), entered into an agreement effective July 1, 2014 (the “Original Agreement”) to outline the relationship between the parties and to assure compliance with the provisions of CONN. GEN. STAT. § 4-37e et seq., as they may be amended, and other applicable laws;

WHEREAS, pursuant to the Original Agreement the University designated the Foundation to assume primary responsibility for the University’s development efforts and the investment and administration of endowment funds established to benefit the University, and the Foundation agreed to undertake these responsibilities;

WHEREAS, the University and the Foundation entered into the First Addendum to Master Agreement, effective as of April 1, 2015, pursuant to which, among other things, the University designated the Foundation to assume primary responsibility for performing alumni relations activities in support of the University, and the Foundation agreed to undertake these responsibilities

WHEREAS, the mission of the Foundation is to solicit, receive, invest and administer gifts and financial resources from private sources for the benefit of all campuses and programs of the University (inclusive of the University’s Health Center), and, to this end, to support the University’s alumni relations activities; and the Foundation operates exclusively to promote the educational, research, cultural, and recreational objectives of the University; and as a primary fundraising vehicle to solicit and administer private gifts and grants which will enhance the University’s mission, the Foundation supports the University’s pursuit of excellence in teaching, research and public service;

WHEREAS, the University and the Foundation desire to set forth the terms on which the Foundation will continue to support the University by engaging in development efforts, investing and administering endowment funds established to benefit the University and performing alumni relations activities;

WHEREAS, Section 10.2 of the Original Agreement provides that it may be amended from time to time upon mutual written agreement of the parties, approval of their respective governing boards and approval as to form by the Office of the Attorney General;

NOW, THEREFORE, the Original Agreement is hereby amended and restated in its entirety by the execution of this First Amended and Restated Master Agreement dated effective July 1, 2015 (this “Agreement”), entered into between the University and the Foundation:

1.0 Relationship of the Parties

- 1.1 The University and the Foundation acknowledge that the University is a constituent unit of the State of Connecticut’s system of public higher education, as defined in CONN. GEN. STAT. §10a-1, and is responsible for the governance and administration of all the schools, colleges, divisions and departments of all the University’s campuses (including, without limitation, the University Health Center and the UConn School of Law); and the Foundation is an independent Connecticut non-stock corporation exempt from federal taxation under Section 501(c)(3) of the Code, and a “foundation” as defined under CONN. GEN. STAT§ 4-37e(2); that each entity is governed by separate governing boards; that each entity is permitted only to deposit funds to their respective accounts which are properly designated for that specific entity; and that each entity is subject to separate accounting, disbursement, and disclosure requirements as a matter of internal governance regulations and applicable state and federal law.
- 1.2 The Foundation and University are each independent entities and agree that neither shall have any liability for the obligations, acts or omissions of the other party, or the other’s trustees, directors, officers, employees and agents.
- 1.3 The Foundation will be governed, in accordance with its bylaws as amended from time to time, by a volunteer board of elected directors, which includes the following ex-officio non-voting (except as otherwise indicated) directors: the President of the University, the University’s chief academic officer, a senior administrator from the University Health Center, the chief financial officer of the University, a chief administrator from the Department of Athletics, the Chair of the Institutional Advancement Committee of the University Board of Trustees or any other member of the Institutional Advancement Committee as designated by the Chair of the Institutional Advancement Committee, the President of the Foundation (voting), a student enrolled at the University and elected by enrolled students, and a faculty member of the University (elected by the faculty). With respect to the University positions serving as ex-officio members of the Foundation board of directors, the positions will be identified consistent with titles in the University’s bylaws as amended by the University from time to time. The Foundation reserves all rights and powers granted to it under its charter and bylaws, the Connecticut non-stock corporation law and federal law.
- 1.4 This Agreement provides the terms and conditions of the relationship between the University and Foundation. From time to time, but in no event less frequently than once every five years, the Foundation and University will enter into statements of work (each, a “SOW”) which outline the specific fundraising, investment management, alumni relations activities and other related goals and objectives that the University and Foundation have agreed upon and the annual amount agreed to be paid (if any) to the Foundation for each fiscal year (Fiscal Year: July 1 – June 30) in consideration of the

Foundation's fundraising, investment management, alumni relations and other related services described in this Agreement.

- 1.5 The University and the Foundation will use their best efforts to ensure that Foundation activities contemplated by this Agreement comply with the Internal Revenue Code, particularly, Section 501(c)(3) and its regulations, and applicable state law, including without limitation CONN. GEN. STAT. § 21a-175 et seq.
- 1.6 The Foundation in its discretion will assign Foundation employees to work primarily with the University's alumni and other potential donors and with the administration and faculty of particular University schools, colleges and programs for the activities contemplated by this Agreement. The Foundation agrees that it will collaborate with the Deans and Directors of such schools, colleges, and programs in establishing objectives and performance expectations of such employees. The employees will also be permitted to perform general advancement and alumni relations work as requested by the school, college and program and agreed to by the Foundation. As an independent organization the Foundation has the authority to hire employees and otherwise develop its own human resources infrastructure and compensation policies to accomplish the mission of the Foundation.
- 1.7 At times the University may request the use of financial services of the Foundation to facilitate special fundraising or alumni events or other University projects, in accordance with best practices, that extend beyond the normal fiscal functions of the Foundation contemplated by this Agreement, to deposit and account for private gifts and to process routine disbursements. In such cases, the University shall request prior approval from the Foundation for the use of these services. The parties agree that the Foundation will be entitled to reasonable and appropriate compensation for such services. The University and the Foundation agree to make no commitment to a third party on behalf of the other without expressed prior written permission of such other party.
- 2.0 Fundraising Services
- 2.1 The University designates the Foundation as the primary entity to raise private financial support, manage philanthropic assets, and steward donors in support of the University. All University fundraising shall be directed by the Foundation. The parties will work closely to create a culture of philanthropy and provide the transformational support necessary for UConn to achieve its aspirations within all of the University's schools, colleges, athletic programs and the University Health Center. The University will engage the Foundation in strategic planning to develop University and unit priorities, long-range goals and associated fundraising needs. The University will advise and include the Foundation in matters related to the University's marketing, branding and other communications strategies to the extent that they are relevant to the Foundation's mission of supporting the University.
- 2.2 As set forth in a SOW entered into between the parties from time to time, the Foundation will use its best efforts to increase total voluntary support (gifts raised by the Foundation,

the UConn Law School Foundation, and the University (including non-governmental philanthropic research grants)); the Foundation will strengthen its principal, major, planned, and corporate and foundation giving programs; and the Foundation will also use its best efforts to enhance prospect identification, alumni participation rates, donor retention rates, and volunteer engagement.

3.0 Acceptance and Stewardship of Gifts

- 3.1 The Foundation will in its discretion establish and maintain gift acceptance policies. The Foundation shall make its best efforts to ensure that any monies received by the Foundation and defined in CONN. GEN. STAT. § 4-37g as “funds for deposit and retention in state accounts” are transferred to the University in a timely manner. The University and Foundation will jointly develop and maintain guidelines for determining the proper deposit of funds.
- 3.2 The Foundation will provide receipts and acknowledgments, as required by the Code, for all private gifts made for the benefit of the University, including gifts that will be assets of the University.
- 3.3 The Foundation will be responsible for coordinating University and Foundation activities related to thanking, acknowledging and stewarding donors. The University will assist the Foundation in such activity by, without limitation, providing to the Foundation, upon request, appropriate information on the use of charitable funds by the University.
- 3.4 The Foundation owns a private home located at 61 Scarborough Street in Hartford, Connecticut (“Foundation House”). The primary purpose of Foundation House is to advance the mission of the Foundation in support of the University by supporting fundraising, stewardship and engagement activities. For so long as the Foundation chooses to own Foundation House, it may be made available by the Foundation, in its discretion, to the University in support of University business under the terms of a separate agreement between the parties establishing terms and conditions for Foundation House’s use.
- 3.5 As appropriate, and in the best interest of the University, the Foundation in its discretion and in consultation with University Communications will be responsible for arranging press conferences, releases, print, web, radio, and television communications to acknowledge significant gifts to all University schools, colleges, departments and units.

4.0 Investment of Funds

- 4.1 The University and the Foundation entered a separate Endowment Management Agreement, dated April 28, 1996, authorizing the Foundation to manage endowed funds donated directly to the University as the University’s agent. This Agreement replaces and supersedes the Endowment Management Agreement in its entirety. The University designates the Foundation as the investment manager of all University endowment and quasi-endowment fund assets, but excluding those of the UConn Law School Foundation.

The Foundation will in its sole discretion maintain and modify investment and spending policies for such University endowment fund assets and for all Foundation assets (both endowed and non-endowed) that adhere to applicable federal and state laws, including the Uniform Prudent Investor Act (CONN. GEN. STAT§ 45-541 et seq.) and the Uniform Prudent Management of Institutional Funds Act (CONN. GEN. STAT. § 45a-535 et seq.). The Foundation as agent for the University in managing University endowment fund assets shall also have the following powers:

- (a) To invest and re-invest the University endowment assets in such securities and property as are from time to time legal investments for the Foundation;
- (b) To purchase, manage and sell property;
- (c) To exercise all conversion and subscription rights pertaining to any property;
- (d) To exercise all voting rights with respect to any investment and to grant proxies, discretionary or otherwise;
- (e) To cause any investments to be registered and held in the name of one or more of its nominees, or one or more nominees of any system for the central handling of securities, without increase or decrease of liability;
- (f) To collect and receive any and all money and other property due to the University endowment assets and to give full discharge therefore;
- (g) To commence or defend suits or legal proceedings to protect any interest of the University endowment assets; and to represent the University endowment assets in all suits or legal proceedings in any court or before any other body or tribunal, except that to the extent the interests of the University are implicated in any such suit or proceeding, the Office of the University's General Counsel and the Office of the Attorney General shall be notified of such suit or proceeding and shall provide legal representation to the University in connection therewith;
- (h) To employ agents and depositories, to delegate to them discretionary powers, to compensate them for their services and to reimburse their reasonable expenses; and
- (i) Generally to do all acts, whether or not expressly authorized, which the Foundation may deem necessary or desirable for the protection of the University endowment assets.

- 4.2 The Foundation's current endowment investment and spending policies aim to preserve intergenerational equity (purchasing power) and provide a relatively stable spending stream to meet the needs of the University and comply with donor intent. The Foundation will, in its discretion, establish and achieve a reasonable endowment benchmark rate of return based on prudent levels of risk, targeted spending and an inflation factor calculated

over a relevant rolling period. Such returns may also be benchmarked, in the Foundation's discretion, for a risk adjusted return defined by strategic asset allocation policy long-term targets using measurable market and manager benchmarks. Specific benchmarks may be identified in a SOW.

- 4.3 The Foundation's current non-endowed investment policy aims to provide sufficient liquidity and preserve capital for University needs. Specific benchmarks may be identified in a SOW.
- 4.4 The Foundation also agrees that it will act as the University's agent for gifts of securities or other non-cash gifts that are donated to the University with the intention to be liquidated.
- 4.5 The Foundation will maintain such reasonable operating reserve as it determines appropriate to ensure continuity of its business operations in periods of economic uncertainty.
- 5.0 Expenditure of Funds
- 5.1 The University will use its best efforts to ensure that all available Foundation funds are timely utilized in accordance with donor intent. The Foundation will only approve disbursement requests received from the University that are properly authorized and in compliance with Foundation disbursement policies, which may include, without limitation, requirements that the request: complies with all donor imposed restrictions on the fund; supports the University's mission and programs; represents a reasonable, legitimate and arm's length business transaction; is properly authorized in the context of CONN. GEN. STAT. § 4-37e et seq.; and is compliant with all state laws applicable to University employees.
- 5.2 Annually, the President of the University shall certify to the Foundation a list (which shall be updated as changes occur) of University employees who are authorized to request disbursements from the Foundation ("Authorized Officials"). Requests for disbursements by the Foundation from an Authorized Official shall constitute a representation and certification by the Authorized Official that the disbursement is being made in accordance with University policies and procedures.
- 5.3 Requests for disbursement from the Foundation for the benefit of University employees or officers for any salary, fee, fringe benefit, loan or other compensation item (collectively "Compensation Items") must be approved by the University President or his or her delegate, and paid by the Foundation, in accordance with CONN. GEN. STAT. § 4-37i and the University's Policy Regarding Financial Transactions with the Foundation, adopted by the University Board of Trustees, and as amended from time to time ("University's Policy Regarding Financial Transactions with the Foundation") which defines the proper use of the Foundation's fiscal services. Requests for disbursement from the Foundation for the benefit of the University President for any Compensation Item due him or her must be approved by the Chairman of the University Board of

Trustees in accordance with CONN. GEN. STAT. § 4-37i and the University's Policy Regarding Financial Transactions with the Foundation.

5.4 The Foundation agrees to provide to the University, on a semi-annual basis, a summary of all fund balances held for the benefit of the University, disbursements provided to the University, and expenditures made on behalf of the University to third parties during the preceding six months.

5.5 In order to assist the University in its reporting responsibilities, the Foundation agrees to report annually to the University Controller all fixed asset expenditures made on behalf of the University.

6.0 Alumni Relations Activities

6.1 Roles and Responsibilities: The University and the Foundation recognize that alumni are key stakeholders of the University who provide valuable perspective to University leaders and are a source of significant support for the University's goals. The Foundation will use its best efforts to foster the continued connection between the University and its alumni and cultivate and steward alumni relationships for the University by organizing programs, activities and communications that are in the best interests of the University and in furtherance of the goals and objectives as may be set forth in a SOW entered into between the parties from time to time.

6.2 Alumni Center: The University and the Foundation acknowledge the importance of, and agree to work in good faith to have and maintain, a center for alumni on the University's Storrs campus. The location of and manner in which such center will be used and maintained by the University and the Foundation will be set forth in a SOW and other appropriate agreements entered into between the parties from time to time.

6.3 Affinity Relationships: The University acknowledges that the Foundation's performance of alumni relations activities may be supported, in part, by affinity programs and corporate sponsorships mutually acceptable to the University and the Foundation. The University agrees to consider, in good faith, use of the University's name, logo, seal, and other marks in connection with such affinity programs and corporate sponsorships, which such use will be subject to the prior review and written approval of the University.

6.4 Trustee Elections: In furtherance of the University's Board of Trustees' designation of the Foundation as the "alumni association" of the University for purposes of participating in elections of University graduates to the University's Board of Trustees pursuant to Connecticut General Statutes § 10a-103, the Foundation will, in coordination with the University, perform the duties, and exercise the powers, as are set forth in Connecticut General Statutes § 10a-103.

7.0 Compensation for Foundation Services

- 7.1 In consideration for the Foundation’s fundraising, investment management, alumni relations and other related services described herein the University will provide the following compensation:
- (a) Service Fee: The University will provide a payment to support the Foundation’s general operations as agreed upon in a SOW.
 - (b) Endowment Administrative Fee: The Foundation may assess an endowment administrative fee on Foundation endowment and University endowment funds as determined in the Foundation’s discretion. The current rate for such fees will be provided in a SOW.
 - (c) Gift Fees: The Foundation in its discretion may assess gift fees on new gifts received. The current rate for such fees will be provided in a SOW.
 - (d) Retained Earnings: The Foundation will retain all investment earnings on non-endowed funds.
- 7.2 The University will also provide the following in-kind support without fee, charge, or reimbursement:
- (a) Alumni Lists: The University agrees to provide an electronic interface to enable the Foundation to extract, on a regular basis and in an automated fashion exclusively for the purpose of enabling the Foundation to achieve its mission, which mission may require, without limitation, the release of such information to third parties, the following: (1) student directory information pertaining to current and past University students consistent with its established Family Educational Rights and Privacy Act of 1974 (20 U.S.C. §1232g; 34 CFR Part 99) (“FERPA”) policy, (2) demographic information and protected health information pertaining to current and past patients of the University’s Health Center (“Patient Information”) consistent with the Health Insurance Portability and Accountability Act (“HIPAA”) of 1996 and related rules and regulations related to institutionally related foundations, as amended from time to time, (3) University employee names and campus contact information consistent with University personnel policies, (4) University students’ parents’ contact information, exclusive of any parents who have opted out of providing such information for Foundation purposes.
 - (b) Computer Network & Telecommunications Infrastructure: The University will provide to the Foundation standard University network and telecommunications infrastructure including, but not limited to, networking, internet access (including band width), and server rack space and power in the same manner as are provided to University departments and programs. The Foundation and University acknowledge and agree that the Foundation may be assessed fees or charges by the University for services other than the standard infrastructure described above,

but that such fees or charges will not exceed the rates paid for such services, in accordance with University policy, by University departments or programs.

- (c) Event Planning: The University will provide standard University Event services to the Foundation to assist in its fundraising and stewardship efforts.
- (d) Facilities: Employees of the Foundation will have the same privileges for parking and the use of University facilities as similarly situated employees of the University. Facilities include, but are not limited to, recreational and library facilities. The University will provide office space, furniture, printers, photocopiers, telephone service, storage space, and utilities used by Foundation employees assigned to fundraise for, and physically work in, the University's schools, colleges and units. The Foundation agrees that it will advise Foundation employees against the misuse or abuse of state equipment, including the prohibition against the use of state equipment for personal purposes, and require employees to report any misuse of which they become aware.

Pursuant to a Land Lease dated November 1, 1998, the University leased land located at 2390 Alumni Drive, Storrs, Connecticut to the Foundation for the purpose of constructing the Foundation's main office building, which is owned and operated by the Foundation. The Land Lease remains in effect in accordance with its terms.

- (e) University Personnel: The University agrees to allow the Foundation to utilize University employees for the Foundation's fundraising and alumni relations activities without additional compensation or reimbursement from the Foundation (except that out of pocket business expenses incurred thereby may be reimbursed by the Foundation in accordance with its policies) including, without limitation, the President, Provost, Associate Provosts, Executive Vice Presidents, Vice Presidents, Associate Vice Presidents, Deans, Director of Athletics, Directors, Associate Directors, Department Heads, faculty and support staff. The University also agrees that the Foundation is allowed to utilize University employees (including those of the University Health Center) presently employed in positions that are primarily fundraising positions, for the Foundation's fundraising provided that in the event the incumbents in such primarily fundraising positions are no longer employed in such positions by the University, and the Foundation chooses to hire a new employee to perform the Foundation-related duties of this position, the new hire will be a Foundation employee, subject to restrictions imposed by any applicable collective bargaining agreement.
- (f) Mail Services: To the extent that it can do so, consistent with U.S. Postal Service statutes and regulations, the Foundation may use the University's mail system.
- (g) Intellectual Property: The University agrees that the Foundation may in connection with its lawful business and activities use the name of the University as well as the University's logo, seal, and other marks consistent with University

restrictions applicable to University departments; provided that any use of the University's name, logo, seal and other marks in connection with affinity programs and corporate sponsorships is subject to Section 6.3 hereof and, as provided therein, will be subject to the University's prior review and written approval.

- 7.3 Except as otherwise provided herein or agreed to by the parties, the Foundation will reimburse the University for expenses the University incurs as a result of Foundation operations, if the University would not have otherwise incurred such expenses including, without limitation, expenses related to the maintenance and operation of the Foundation's facilities. The Foundation may in its discretion and subject to its policies make its facilities available to University schools, colleges and units (and organizations which are affiliated with the University and which support the furtherance of the University's purpose) for events and programs primarily related to fundraising, alumni relations activities and other meetings. The Foundation may charge any fees for such usage directly to the relevant school, college, unit or organization.
- 8.0 Ownership and Management of Records
- 8.1 The Foundation will maintain appropriate financial and business records related to fundraising, investment, and other Foundation operations in a prudent manner. This will include, without limitation, a comprehensive, secure, state-of-the art electronic prospect management system and donor database, for which the Foundation will establish and maintain data integrity standards.
- 8.2 The University acknowledges and agrees that it does not have any ownership rights with respect to any Foundation information, records, documents or other materials provided to the University, including, but not limited to, donor records, gift records, financial records, or other Foundation business information which may have been derived from or related to information initially provided to the Foundation by the University. Any such Foundation information, records, documents or other materials including, without limitation, those maintained by the University will not be deemed public records and shall not be subject to disclosure pursuant to CONN. GEN. STAT. § 1-210. The Foundation will establish and enforce policies to protect the confidentiality of its records to the fullest extent allowable by law.
- 8.3 The Foundation may release information to third-parties exclusively for the purpose of accomplishing its mission provided that any such release is consistent with Foundation policies and applicable provisions of law, including without limitation, the applicable provisions of FERPA and HIPAA.
- 8.4 Without limiting the foregoing, the Foundation agrees (1) to enter into a data use and confidentiality agreement with any third-parties that will receive Patient Information, requiring such third-parties to hold such Patient Information confidential and to implement safeguards against further disclosure in a manner consistent with HIPAA, or (2) to allow the University to enter into a business associate agreement with such third-

parties and permit the University (including the University Health Center) to provide such Patient Information to such third-parties directly. The Foundation agrees that it will include in any fundraising materials sent using Patient Information a description in accordance with HIPAA of how individuals may opt-out of receiving further fundraising communications. The Foundation also agrees to honor opt-out requests received. The Foundation agrees to maintain any Patient Information received from the University in a manner consistent with the requirements of 45 C.F.R. Parts 160 and 164 (the “HIPAA Privacy Rule”) pertaining to institutionally related foundations. The Foundation agrees to establish processes and procedures sufficient to limit access to such Patient Information to Foundation personnel with a need to access such information. The University, through the University Health Center’s Privacy and Security Offices, agrees to periodically offer, and provide at no cost to the Foundation, training to Foundation personnel on the HIPAA Privacy Rule and its implications for institutionally related foundations and the Foundation will require Foundation personnel who will have access to Patient Information to attend such HIPAA training.

8.5 The Foundation agrees not to share or disclose information with third parties in a manner inconsistent with this Agreement, unless required to do so by law or other agency regulations.

8.6 The Foundation is aware of and supports the University’s Identity Theft Prevention Program as approved by the University’s Board of Trustees. The Foundation agrees to report any violations of the University’s Identity Theft Prevention Program which it becomes aware of to the University’s Office of Audit, Compliance and Ethics (“OACE”) as soon as possible.

9.0 Audits and Legal Advice

9.1 The Foundation shall be responsible for retaining and compensating the independent auditing firm required by CONN. GEN. STAT. §4-37f(8). The audit report shall include financial statements, a management letter and an audit opinion which address the conformance of the operating procedures of the Foundation with the provisions of sections 4-37e to 4-37i (including, without limitation, whether funds for deposit and retention in state accounts have been deposited and retained in Foundation accounts in violation of section 4-37g), and recommend any corrective actions needed to ensure such conformance.

9.2 The Foundation will permit the University’s OACE to conduct, if it so chooses, an annual examination of Foundation disbursements for compliance with the University’s Policy Regarding Financial Transactions with the Foundation. The Foundation will also permit the University’s OACE to conduct, if it so chooses, a post-deposit review of any gift, including reviewing checks, gifts, agreements and other supporting documentation for compliance with CONN. GEN. STAT. § 4-37e et seq. and the policy concerning the University Role and Review of Foundation Deposit of Funds, approved by the University and Foundation as of August 2006, as amended from time to time.

9.3 The Foundation shall provide a copy of each audit report completed pursuant to CONN. GEN. STAT. § 4-37f(8) to the President of the University.

9.4 The Foundation shall have its own legal counsel and shall be responsible for all costs for Foundation legal services.

10.0 Non-discrimination and Executive Orders

10.1 References in this section to “Contract” shall mean this “Agreement” and references to “Contractor” shall mean the “Foundation.”

(a) For purposes of this Section, the following terms are defined as follows:

- (i) “Commission” means the Commission on Human Rights and Opportunities;
- (ii) “Contract” and “contract” include any extension or modification of the Contract or contract;
- (iii) “Contractor” and “contractor” include any successors or assigns of the Contractor or contractor;
- (iv) “gender identity or expression” means a person’s gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person’s physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person’s core identity or not being asserted for an improper purpose.
- (v) “good faith” means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- (vi) “good faith efforts” shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
- (vii) “marital status” means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
- (viii) “mental disability” means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association’s “Diagnostic and Statistical Manual of Mental Disorders”, or a record of or regarding a person as having one or more such disorders;
- (ix) “minority business enterprise” means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and

(x) “public works contract” means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms “Contract” and “contract” do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

- (b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an “affirmative action-equal opportunity employer” in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers’ representative of the Contractor’s commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested

by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

- (c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.
- (e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes §46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.
- (f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.
- (g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment;

(3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.

- (h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

10.2 This Agreement is subject to the provisions of Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, all of which are incorporated into and are made a part of this Agreement as if they had been fully set forth in it. At the Foundation's request, the University shall provide a copy of these orders to the Foundation.

11.0 General

- 11.1 The Foundation may in its discretion enter into written agreements, for such purposes as it determines necessary or appropriate, with other University affiliates including, without limitation, the University of Connecticut Law School Foundation, Inc. and the UConn Advocates.
- 11.2 This Agreement may be amended from time to time at the request of either party. Any such amendment shall be set forth in writing by the parties and shall require the approval of both governing boards and approval as to form by the Office of the Attorney General.
- 11.3 This Agreement is governed by the laws of the State of Connecticut.

- 11.4 No right or duty, in whole or in part, of either party to this agreement may be assigned or delegated without the prior written consent of the other party.
- 11.5 The term of this Agreement shall commence on July 1, 2015, subject to approval as to form by the Office of the Attorney General, and shall continue for a period of five years (5) years. The term of this Agreement may be extended for an additional period of time with the mutual written agreement of the parties. This Agreement may be terminated by either party upon one year's prior written notice. Upon any expiration or termination of this Agreement, or if the Foundation ceases to exist, or ceases to be a foundation as defined in CONN. GEN. STAT. § 4-37e(2), then (a) the Foundation shall be prohibited from using the name of the University, (b) the records of the Foundation, or copies of such records, shall be made available to and may be retained by the University, provided any such records or copies which are retained by the University shall not be deemed to be public records and shall not be subject to disclosure pursuant to the provisions of CONN. GEN. STAT. § 1-210, and (c) the Foundation's Board of Directors will, in consultation with the University, dispose of the Foundation's assets, consistent with the Foundation's certificate of incorporation, its bylaws, state and federal laws, and such restrictions as may have been imposed by donors.

FOR THE UNIVERSITY OF CONNECTICUT

Susan Herbst
President, University of Connecticut

Date

Scott Jordan
Executive Vice President and
Chief Financial Officer, University of Connecticut

Date

FOR THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

Coleman Levy
Chair, The University of
Connecticut Foundation, Incorporated

Date

Joshua R. Newton
President, The University of
Connecticut Foundation, Incorporated

Date

APPROVED AS TO FORM

By,
Associate Attorney General,
Connecticut State Attorney General's Office

Date

DRAFT

Statement of Work FY16

This Statement of Work FY16 (this "SOW"), effective the 1st day of July, 2015, is made between UNIVERSITY OF CONNECTICUT ("University"), Connecticut's land grant university, whose statutory authority is set forth in Chapter 185b of the Connecticut General Statutes, and THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED ("Foundation"), a Connecticut nonstock corporation that is exempt from taxation under 501(c)(3) of the Internal Revenue Code of 1986, as amended.

The University and the Foundation have entered into an Amended and Restated Master Agreement dated July 1, 2015 (the "Agreement") under which the Foundation has responsibility for development efforts for the benefit of the University, management of endowment funds designated to benefit the University and for performing alumni relations activities in support of the University.

The Agreement stipulates that the University and Foundation will from time to time, but in no event less frequently than once every five (5) years, enter into statements of work which outline the specific fundraising, investment management and alumni relations activities goals and objectives that the University and Foundation have agreed upon and the consideration to be provided to the Foundation each fiscal year. This SOW covers the period July 1, 2015 through June 30, 2016 ("Period").

1. Payments

The University agreed to provide certain in-kind consideration to the Foundation for its services under the terms of the Agreement. In addition to agreeing to provide such in-kind consideration, the University further agrees to provide the following consideration to the Foundation for each year of the Period:

- a) Service Fee: The University will pay a guaranteed amount to the Foundation of \$8,065,000 during the Period, which payments will be made quarterly in advance in equal installments during the Period. In addition, the University will pay to the Foundation an amount not to exceed \$1,385,000 for those services formerly provided by the University of Connecticut Alumni Association, Inc., subject to the approval of the Executive Vice President for Administration and Chief Financial Officer, or his designee.
- b) Other Fees: The University agrees that Foundation operations will also be funded by an annual endowment administrative fee, and a gift fee on contributions and earnings on non-endowed Foundation assets.
 - 1) The Foundation will assess and retain an endowment administrative fee, as reasonably determined by the Foundation, on all endowment assets (University and Foundation assets) invested by the Foundation. The Foundation's endowment administrative fee is generally calculated annually on March 31st ("Calculation Date") and presently equals one and one-half percent (1.50%) of the rolling prior twelve (12) quarter average unitized market value of the long-term pooled investment portfolio multiplied by the number of units held by each endowed fund. The Foundation, from time to time, may change the endowment administrative fee and will notify the University, in writing, of any changes to the endowment administrative fee made during the Period. The endowment administrative fee owing to the Foundation will be

transferred to Foundation operating funds in four equal installments on the first day of each quarter following the Calculation Date (April 1st, July 1st, October 1st, and January 1st).

- 2) The Foundation will assess and retain gift fees on all gifts deposited in the Foundation, as reasonably determined by the Foundation. The Foundation's gift fee for endowed gifts is presently three percent (3%) of the value of the gift as of the date of receipt. The Foundation's gift fee for non-endowed gifts is presently five percent (5%) of the value of the gift as of the date of receipt. Twenty-five percent (25%) of any non-endowed gift fee (or 1.25%) may be transferred to Foundation operating accounts supporting the school, college or unit supported by the fund to which the original gift was designated. The remaining seventy-five percent (75%) of any non-endowed gift fees (3.75%) is retained by the Foundation to support its operations. The Foundation, from time to time, may change the gift fees and will notify the University, in writing, of any changes to the gift fees made during the Period.
 - 3) The Foundation will retain all investment earnings on non-endowed Foundation assets.
- c) Use of Facilities: The University and the Foundation acknowledge that (i) certain alumni relations activities are expected to be performed during the Period at the Alumni Center, located at 2384 Alumni Drive, and using certain fixed assets, furnishings, computers and hardware located at the Alumni Center; and (ii) the Alumni Center and the fixed assets, furnishings, computers and hardware located at the Alumni Center, are currently owned by University of Connecticut Alumni Association, Inc. ("UCAA"). To the extent the University obtains a right from UCAA to use the Alumni Center, its parking lot and the fixed assets, furnishings, computers and hardware located at the Alumni Center for University purposes, the University will grant the Foundation a nonexclusive license, during the period of time in which such right is obtained from UCAA, to use the Alumni Center, its parking lot and the fixed assets, furnishings, computers and hardware located at the Alumni Center pursuant to the terms and conditions described in Schedule 1 to this SOW. If, at any time during the Period, the University obtains title to the Alumni Center, the Foundation and the University agree to negotiate, in good faith, the terms of a formal lease agreement setting forth the terms and conditions upon which the University will lease the Alumni Center to the Foundation for the purpose of performing alumni relations activities and for such other purposes as may be agreed upon by the parties, which such terms and consistent will be consistent with those described in Schedule 1 to this SOW. If the Alumni Center is not available for use during the Period, the University and the Foundation will endeavor to find facilities, within space available, suitable for performing alumni relations activities, in a manner mutually agreed upon by the University and the Foundation.

2. Foundation Mission

The Foundation operates to support the University and fulfills this mission primarily through fundraising, asset management and related support activities. Among such activities the Foundation cultivates, solicits, acknowledges and receipts gifts; administers, invests and disburses funds; maintains constituent records; manages and coordinates communications with constituents; performs alumni relations activities; and presently serves as the sole shareholder of The University of Connecticut Research and Development Corporation d/b/a UConn Ventures ("UConn Ventures"), a Connecticut for-profit stock corporation incorporated in the State of Connecticut for the purpose of facilitating the commercialization of University research and technology.

3. Fundraising and Alumni Engagement Goals and Benchmarks

In consideration of the compensation provided to Foundation by the University under the terms of the Agreement and this SOW, the Foundation, consistent with its mission, agrees as follows:

The Foundation will continue its efforts to increase total private gift revenue toward an annual target of seventy-eight million dollars (\$78M) in new gifts and commitments for the University (inclusive of support for the UConn Health Center), by June 30, 2016, such amount to be calculated in accordance with the Foundation's reasonably established gift counting policy, as amended from time to time. The annual strategies will include:

a) Increase donor engagement

- 1) Utilize the University President, Provost, Deans and Program Directors in strategic donor outreach at the six-figure level and above.
- 2) Strengthen UConn Foundation Board of Directors giving with a target of surpassing the national average of 14% of total annual commitments.
- 3) Increase the role of the UConn Health Center Board of Directors in fundraising for all health science programs.
- 4) Continue to focus on building customized engagement strategies for principal gift donors and prospects, understanding this group will have a disproportionate impact on the ability to reach and exceed goals.
- 5) Increase contact and deepen engagement of donors and prospects at the \$50K+ rated level through more efficient deployment of appropriate numbers of full time frontline fundraisers, effectively utilizing prospect research and screening data.
- 6) Facilitate stronger collaboration in donor strategy working across the Foundation and the University, using Prospect Management meetings to review and discuss the status of top donor strategies and package comprehensive proposals. Engage deans and directors in strategy discussions and direct implementation of fundraising. Increase engagement of University President and Provost with key University stakeholders.

b) Align fundraising with University priorities

- 1) Continue enrollment management scholarship fundraising with increased focus on a five-year \$150 million goal aimed at annually doubling scholarship support for the University (from \$15M annually to \$30M annually).
- 2) Implement a comprehensive Grateful Patient program in Cancer and Cardio programs supported by direct mail outreach and personalized follow up from staff.
- 3) Complete funding for Basketball Champions Center and continue fundraising for soccer, softball and baseball projects.
- 4) Maintain an emphasis on endowment fundraising to improve on the current three-year average of \$17.3M per year.
- 5) Begin preparations to launch teaching/research and facility fundraising campaigns.
- 6) Support School and College fundraising priorities.

c) Increase alumni engagement

- 1) Strengthen lifelong bonds between all members of the UConn family by inspiring pride and providing quality programs and services which enhance the engagement of the diverse university community.
- 2) Enrich the lives of alumni by offering them remarkable learning experiences through engagement with the University of Connecticut.
- 3) Increase alumni gifts of time, talent, and treasure by creating meaningful opportunities for alumni to be engaged and involved on behalf of the University through, for example, local chapter networks.
- 4) Develop an exemplary Alumni organization respected for its energy, expertise, effectiveness, and inclusiveness.

d) Enhance external and internal communications

- 1) Help educate faculty and staff across the University community about the important role of cultivating and stewarding private support.
- 2) Develop fundraising focused companion communication material related to the academic vision, as well as the “transforming lives” scholarship initiative.
- 3) Coordinate communications to alumni and donors with the University.
- 4) Continue efforts to educate the legislature, and general public, regarding the important role the Foundation plays in providing support to the University.

e) Increase operational efficiencies

- 1) Establish new metrics and goals for Annual Giving, while continuing to transition front line development staff toward more active portfolio management.
- 2) Strengthen stewardship for donors at various levels, including \$1K or more annual donors, as well as lifetime donors of \$100K or more.
- 3) Continue to integrate Regional Major Gift program into fundraising and event strategies.
- 4) Retain staff and increase investment in staff training.

4. Investment Benchmarks

- a) The Foundation in its discretion will establish appropriate investment benchmarks for assets invested for the benefit of the University, both those owned by the Foundation and those owned by the University. The Foundation will provide to the University’s President and Chief Financial Officer a summary report of its investment risk and return benchmarks during the Period. The Foundation will use reasonable efforts to maintain the following benchmarks during the Period:

- 1) The target return on Foundation investments will be 5.5% plus inflation.
- 2) The Foundation will limit to 12% the level of volatility on an annualized basis based on the Foundation’s Board of Director’s policy.
- 3) The Foundation’s target risk adjusted return measured by Sharpe ratio will be 1.0 or greater measured over rolling periods.

- b) The Foundation will, for so long as it determines it to be in its best interests and those of the University, continue to retain its 100% ownership interest in UConn Ventures. The Foundation will exercise its rights as a shareholder, including but not limited to election of directors and approval of auditors. The Foundation will obtain from UConn Ventures an annual financial report and narrative report on operations and activities and will share this information with the University.

5. State Contract Requirements

The state contracting requirements set forth in Section 10 of the Agreement are incorporated herein by reference, to the extent necessary.

6. Amendment

This SOW may be modified or amended in whole or in part by mutual written agreement signed by duly authorized representatives of each of the parties.

7. Governing Law

This SOW is governed by the laws of the State of Connecticut. If there shall be any inconsistency between the provisions of this SOW and the Agreement, the provisions of the Agreement shall control.

FOR THE UNIVERSITY OF CONNECTICUT

Susan Herbst, Ph.D.
President, University of Connecticut

Date

Scott A. Jordan
Executive Vice President for Administration and
Chief Financial Officer, University of Connecticut

Date

FOR THE UNIVERSITY OF CONNECTICUT FOUNDATION, INCORPORATED

Coleman Levy
Chair, The University of Connecticut
Foundation, Incorporated

Date

Joshua R. Newton
President, The University of Connecticut
Foundation, Incorporated.

Date

APPROVED AS TO FORM

Associate Attorney General,
Connecticut State Attorney General's Office

Date

DRAFT

Schedule 1 to SOW FY16

Alumni Center License Terms


- 1) No fees will be charged by the University for the Foundation's use of the Alumni Center, its parking lot and any fixed assets, furnishings, computers and hardware located at the Alumni Center; provided, however, that the Foundation will be responsible for any damage to the Alumni Center caused by the Foundation, reasonable wear and tear excepted.
- 2) The Foundation acknowledges that the University may adopt reasonable rules and regulations regarding the use of the Alumni Center, including its parking lot and the fixed assets, furnishings, computers and hardware located at the Alumni Center, from time to time during the Period. The Foundation agrees to comply with any such reasonable rules or regulations and other applicable University policies, if the Foundation uses the Alumni Center, parking lot or any fixed assets, furnishings, computers or hardware maintained at the Alumni Center.
- 3) During the period of time during the Period in which UCAA grants the University the right to use the Alumni Center, the University (i) will be responsible for repairing and maintaining, in its discretion, all structural and exterior components of the Alumni Center; and (ii) will provide or require that UCAA continue to (a) provide utilities to the Alumni Center; and (b) maintain adequate insurance for the Alumni Center. The Foundation will be responsible for keeping and maintaining in good condition and repairing, in its discretion, all nonstructural and interior components of the Alumni Center, any fixed assets, furnishings, computers and hardware located at the Alumni Center and all utility and building equipment servicing the Alumni Center, such as HVAC, plumbing, and electric wiring.


ATTACHMENT 9



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

Richard F. Orr
Vice President and General Counsel 

RE: Management Agreement for the Nathan Hale Inn

RECOMMENDATION:

That the Board of Trustees approve the Administration entering into a Management Agreement with an outside hotel management company to manage the Nathan Hale Inn ("NHI") on behalf of the University as described below.

BACKGROUND:

During its meeting of December 10, 2014, the Board of Trustees authorized the University Administration to enter into a Purchase & Sale Agreement ("P&S") to acquire the NHI and amended the UCONN 2000 Residential Life Facilities project definition to allow for the acquisition. The P&S was executed on March 30, 2015, and the Administration expects to close on this transaction by early July, 2015.

At its April 29, 2015 meeting, the BOT authorized the financing of the acquisition of the NHI (Exhibit A). In the supporting memorandum at that time, the Administration stated that it was continuing to negotiate a management agreement ("Agreement") with Interstate Hotels & Resorts, Inc. ("Interstate") and that it would seek Board approval of that management agreement prior to closing (See Exhibit A, page 3).

Rationale

Until such time as a suitable alternative hotel enters the market, the University expects to be running the building in its current state, as a mixed 49-room hotel and 50-room dormitory. The University expects that it will do so for the next two to five years. Thereafter, the building will serve as a dormitory only.

Office of the Executive Vice President for
Administration and Chief Financial Officer
352 MANSFIELD ROAD, UNIT 1122
GULLEY HALL
STORRS, CT 06269-1122
PHONE 860.486.3455
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Nathan Hale Inn
June 24, 2015
Page 1

While the University has established an internal group, led by Thomas Callahan, to oversee the management of the NHI during this interim time, the University has no specific expertise in hotel management.

Interstate is the incumbent management company, and has been since the NHI opened well over a decade ago. Given its broad and deep familiarity with the facility and the University calendar, Interstate is in a singular position to assist the University during this transition period, and Interstate has agreed to remain in place.

Primary Agreement Terms

The initial term of the Agreement is two years, and there are three, one-year renewal terms. This arrangement ensures the University a great deal of latitude to respond to market conditions as they evolve in the near future.

All approximately 40 full- and part-time Interstate employees will continue to be employees of Interstate.

The essential business terms of the Agreement are substantially similar to the terms of Interstate's existing agreement with the private owner with one exception. The Management Fee in the existing agreement is based on incentives for filling hotel rooms. Following acquisition, the University will be effectively guaranteeing occupancy for half the hotel during the academic year. Under the new agreement, Interstate will earn a Management Fee that would provide it a stable and predictable management income, but at the same time creates sufficient incentives for Interstate to ensure the hotel rooms are as fully utilized as possible.¹

BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY AS FOLLOWS:

Section 1. That Administration is authorized to enter into a Management Agreement with Interstate Hotels and Resorts, Inc. to manage the Nathan Hale Inn on behalf of the University consistent with the terms outlined above.

¹ At the time this memorandum was issued for printing, the amount of this management fee was still being negotiated.


EXHIBIT A


April 29, 2015 BOT Memorandum in Support of Request to Approve the Financing of the
Acquisition of the Nathan Hale Inn



April 29, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

Richard F. Orr 
Vice President and General Counsel

RE: Financing the Acquisition of the Nathan Hale Inn

RECOMMENDATION:

That the BOT approve the two attached resolutions (Exhibits **C** and **D**) to authorize the financing of the acquisition of the Nathan Hale Inn ("NHI").

The authorization consists of two pieces: The first resolution will authorize the purchase of the NHI and add the purchase to the capital budget in the amount of \$8,500,000. This sum includes the purchase price and transaction costs.

The second resolution will authorize the University to effectively assume the existing financing on the NHI in the form of a note issued by Webster Bank. That note will fund \$5,500,000 of the purchase price. The remainder of the purchase price will be paid from bond proceeds borrowed to finance Residential Life Facilities. The Webster note has a prepayment penalty. Once that prepayment penalty expires at the end of 2016, the Webster note will be paid off. The refinancing of the note also will be from bond proceeds borrowed to finance Residential Life Facilities.

BACKGROUND:

During its meeting of December 10, 2014, the Board of Trustees authorized the University Administration to enter into a Purchase & Sale Agreement to acquire the NHI (Exhibit **A**). The Purchase & Sale Agreement was executed on March 30, 2015, at a purchase price of \$8,372,333. The Administration expects to close on this transaction by early July, 2015.

During its meeting on December 10, 2014 the Board of Trustees also amended the UCONN 2000 Residential Life Facilities project definition (Exhibit B). This amended definition gives the University the ability to purchase a residential life facility under the authority of UCONN 2000. At the time of the Purchase & Sale Agreement approval in December 2014, the Administration noted that it would seek Board approval for any necessary University expenditures to finance the transaction. The financing plan for this transaction has two components: (1) the purchase of the NHI, in an amount not to exceed \$8,500,000, would be accomplished by drawing down UCONN 2000 Residential Life Facilities funds, but only applying \$3,000,000 at the time of purchase; and (2) the University will assume a promissory note from the owner payable to Webster Bank in an amount not to exceed \$5,500,000.

The existing promissory note is secured by a mortgage. The Administration seeks authorization for the University to assume the debt associated with the note, as amended and restated, without a mortgage. In other words, the University will effectively be borrowing \$5,500,000 of the \$8,500,000 purchase price from Webster Bank. The balance of the purchase price will be paid from UCONN Residential Life Facilities funds. The Webster note has a substantial prepayment penalty if it is paid before December 2016. Once the prepayment penalty date has passed, the University will use the UCONN 2000 Residential Life Facilities funds to satisfy the Webster note. The net effect will be that the majority of the entire purchase price will be paid through UCONN 2000 Residential Life Facilities funds.

Acquisition of NHI through UCONN 2000 Funds (Resolution attached at Exhibit C)

The purpose of this request is to fund the acquisition of the NHI, in accordance with the previous approval of the execution of the Purchase and Sale Agreement.

The Administration seeks authorization from the Board of Trustees to utilize up to \$8,500,000 of UCONN 2000 Residential Life Facilities funds for the purchase price to acquire the NHI. As noted above, approximately \$3,000,000 will be applied to the purchase price now. The remaining \$5,500,000 will be used to refinance the Webster note.

The Webster Note (Resolution attached at Exhibit D)

This resolution is required by the State Treasurer.

The Administration recommends that the Board of Trustees approve an amended and restated promissory note entitled to the benefit, protection and security of the University of Connecticut 2000 Act, Sections 10a-109a to 10a-109y inclusive of the General Statutes of Connecticut, as amended (the "Act") in the maximum principal amount of \$5,500,000 plus any amounts for the costs of issuance (the "Note") made to the order of Webster Bank, National Association (the "Bank") to partially finance certain Residential Life Facilities, a project identified in Section 10a-109e of the Act and approved as a project of UCONN 2000 (the "Project"). The Project will include the purchase of the building and improvements known as the Nathan Hale Inn and

Conference Center, located on the University campus in Storrs, Connecticut from Campus Associates Limited Partnership.

The Note shall be dated and shall have a term not longer than two years from its dated date, shall carry such interest rate or rates payable at least semiannually as, the Treasurer of the State (the "Treasurer") in conjunction with the President or Executive Vice President for Administration and Chief Financial Officer of the University (the "Authorized Officers") shall determine is in the best interests of the State and University.

The principal, interest and other payment obligations of the University under the Note shall be a general obligation of the University and the full faith and credit of the University will be pledged to such payments.

Next Steps

These approvals will be the last approval sought for the acquisition of the NHI. With the adoption of these resolutions, the Administration will have the authority to close the purchase. In addition, the Administration continues to negotiate a management agreement with Interstate Hotels & Resorts, Inc. (see Exhibit A, pages 2 and 4), and will seek Board approval of that management agreement prior to closing.

Future Funding

At a later date, after acquisition, the University expects to spend UCONN 2000 Residential Life Facilities funding for necessary renovations to the NHI to enable it to remain in its current mixed use configuration.

At the time the Board approved entering into the Purchase & Sale Agreement, the estimated cost of necessary renovations was approximately \$648,000 (Exhibit A, p. 4). That estimate will be further refined during the due diligence period and through design.

A request for approval for that funding will follow the typical project budget process, and is not part of this pre-acquisition request.

Exhibits

- A. December 10, 2014 Board Memorandum in Support of Request to Approve the Acquisition of the Nathan Hale Inn
- B. December 10, 2014 Board Resolution Amending the Definition of Residential Life Facilities
- C. Resolution Related to the Assumption of the Webster Bank Promissory Note Supporting the Acquisition of the Nathan Hale Inn
- D. Resolution authorizing UCONN 2000 funds for Acquisition of the Nathan Hale Inn

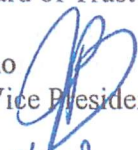
EXHIBIT A


**December 10, 2014 BOT Memorandum in Support of Request to Approve the Acquisition
of the Nathan Hale Inn**



December 10, 2014

TO: Members of the Board of Trustees

FROM: John M. Biancamano 
Interim Executive Vice President for Administration and Chief Financial Officer

Richard F. Orr, Esq. 
General Counsel

RE: Acquisition of Nathan Hale Inn

RECOMMENDATION:

That the Board of Trustees approves the Administration to enter into a Purchase & Sale Agreement to acquire the Nathan Hale Inn.

OVERVIEW:

The University of Connecticut ("UConn") currently owns the land under the Nathan Hale Inn ("NHI"), but not the building or other improvements.

In late September 2014, the owners of the NHI received an offer from a private hotel company to purchase the NHI for \$8,372,333. Included in the lease of the land for the construction of the NHI, UConn has a Right of First Refusal ("ROFR") to purchase the NHI for the same price and on the same material terms as a private buyer. On November 24, 2014, UConn exercised that ROFR and began negotiating a Purchase & Sale Agreement ("P&S") with the seller.

The intent of the purchase is to acquire 98 dorm rooms (to accommodate approximately 280 students); however, in the short term UConn will need to manage a mixed-use hotel of 48 rooms and 50 dorm rooms.

UConn's acquisition will be a cost-effective way of meeting some of UConn's short- and long-term student housing needs. UConn will retain the existing hotel manager to minimize the financial and other risks associated with operating a hotel during the transition period. The intent is to convert the NHI into a full UConn dormitory.

The purchase of the NHI allows UConn to control the use of the property in the future without needing to negotiate with a private owner.

Exercising the ROFR did not irrevocably commit UConn to purchasing the NHI. As explained more fully below, exercising the ROFR was a prerequisite to negotiating a P&S with the seller. Entering into the P&S only occurs if the Board accepts this recommendation. UConn will not actually acquire the property pursuant to the P&S until all contingencies have been addressed to UConn's satisfaction.

At the time this memorandum was prepared for the Board's December 10, 2014 meeting, negotiations were still in progress. If needed, additional or updated information will be provided in advance of, or at, that meeting.

BACKGROUND:

Existing Contractual Relationship and the ROFR

Two primary agreements govern the relationship between UConn and Campus Associates Limited Partnership d/b/a/ Nathan Hale Inn and Conference Center (the "Seller"). The first is a Ground Lease that terminates in 2050. Under the Ground Lease, UConn has a ROFR when presented with a bona fide purchase offer to buy the NHI. Separately, the Ground Lease provides that UConn is prevented from developing or "promoting" development of a hotel on or within 15 miles of campus. That restriction continues to 2050.

Article 34 of the Ground Lease grants UConn a ROFR, which must be exercised no later than 60 days after the receipt of a "Sale Notice" from the Seller. The Sale Notice was received by UConn on Monday, September 27, 2014. It included a P&S with FM Storrs Hospitality, Inc. (the "Private Buyer") containing a purchase price of \$8,372,333. UConn's 60 days to exercise the ROFR expired on Friday, November 28, 2014 (the day after Thanksgiving), so UConn exercised the ROFR on Monday November 24, 2014 by sending the Seller a required "Acceptance Notice."

Under the Ground Lease, UConn must agree that it will "purchase the Leasehold Estate on the terms and conditions set forth in the Offer." Since the Sale Notice included an executed P&S with the Private Buyer, UConn's Acceptance Notice noted that UConn's P&S would have to reflect UConn's status as a State agency, while retaining the price and fundamental terms of the Private Buyer's transaction.

The second agreement is a Joint Use Agreement that governs, among other items, booking of function rooms for UConn events held at the NHI. This agreement also terminates in 2050.

Current Operational Framework

The Seller is a partnership of individual investors. The NHI is operated, for the Seller, by a hotel management company, Interstate Hotels & Resorts, Inc. ("Interstate"). UConn – with the

permission of the Seller – has been negotiating an agreement with Interstate to ensure the terms on which Interstate will remain as manager in the short term, until such time as the building is used exclusively as a dormitory. At this time, the Administration does not see any obstacles to concluding an acceptable management agreement.

UConn's Student Housing Need

UConn guarantees on-campus housing to newly admitted freshmen, returning undergraduate residents who meet all deadlines, undergraduates returning from an off-campus program, and students changing campuses. To assist UConn in meeting these housing needs, the Board of Trustees, last year, approved UConn to enter into a Room Reservation Agreement (“RRA”) with the Seller under which UConn has reserved 50 rooms in the NHI for the current (2014-2015) academic year with an option for two additional years. Each hotel room houses three students or a resident advisor and a roommate.

UConn has exercised its option for 2015-2016 and expects to do so for 2016-2017; the cost for the 2015-2016 academic year will be \$1,085,250.

UConn currently has no agreement to use the NHI for students after the spring of 2017.

The need for additional student housing is described fully in the material prepared by Dr. Michael Gilbert, Vice President for Student Affairs, attached as Exhibit A. As set forth there, the need to continue to rely on the NHI to house students continues well beyond the 2016-2017 expiration of the RRA.

Demand for on-campus housing has surpassed the designed capacity (11,116 beds) of UConn's residential facilities in each of the past 13 years. The Department of Residential Life has accommodated this strong demand by converting some single and double rooms to house additional students. These efforts have created approximately 900 additional spaces, and increased the total of available on-campus beds for assignment to 12,000. As demand has grown in the past five years, Residential Life has also converted spaces originally designed as floor lounge and study spaces to accommodate an additional 400 – 700 students annually, as reflected in the 12,711 on campus residents in August 2014. Accordingly, as the chart appearing in Exhibit A describes, existing student housing is currently well over 100% of designed capacity.

Further detail on occupancy percentages, projected enrollment growth, and the suitability of the NHI for undergraduate student housing is found in Exhibit A. As shown there, the need for these beds for student housing will continue into the foreseeable future.

Operational Considerations

If UConn were to acquire the NHI, the expectation is that UConn would operate it as it is now: a mixed use hotel and dormitory. UConn will be able to adjust the relative proportion as between dorm rooms and hotel rooms to meet UConn's needs without requiring consent of a private

owner. Absent the acquisition, there is no assurance of being able to use the NHI for student housing after spring 2017 or the cost to do so.

A critical aspect of this model is management of the hotel. As explained above, at the time this memorandum was prepared, UConn was in negotiations with the incumbent management company, Interstate, to continue as the management company.

The Administration recognizes that an independent management company must have owner oversight. UConn will identify a senior administrator to be accountable for performance by the management company and for the operation of the hotel.

Financial Viability

Determining the financial viability of acquisition and operation is a multivariate complex task. There are two aspects to this analysis: acquisition costs and operational costs.

Acquisition Cost

Under the ROFR, UConn cannot renegotiate the purchase price established between the Seller and the Private Buyer. That price is \$8,372,333. Based on the information available, there is no indication that the Private Buyer's offer is other than an arms-length transaction. The purchase price and deal structure appear to have been negotiated between a willing buyer and willing seller.

Although the ROFR requires UConn to purchase the property at the same price and on same material terms as the Private Buyer, UConn obtained an appraisal of the value of the leasehold interest with the assumption that the RRA is in place for 10 years. That value is \$8.7 million.

Fletcher Thompson performed a building conditions assessment. The total potential cost for replacement of all identified short- and long-term items was \$3.3 million. The estimated cost of items need at time of turnover-- such as code compliance improvements, deferred maintenance, and furniture and fixtures -- is \$648,000.

Accordingly, in addition to the purchase price of \$8,372,333, there are immediate costs of approximately \$648,000, for a total acquisition cost of approximately \$9.1 million. This cost is very favorable when compared to the cost of new construction. A rough estimate of the cost of dormitory new construction is approximately \$100,000 per bed. This estimate is based on UConn's recent experience in the market including the new STEM dormitory. The NHI has a capacity of approximately 280 beds, so the cost of new construction of equivalent capacity would be roughly \$28,000,000.

Operational Cost

A detailed five-year pro forma income statement for UConn's ownership is presented in Exhibit B. That five-year financial projection indicates both a positive operating profit and positive cash flow.

The NHI has operated at a loss for Calendar Year ("CY") 12 and 13 and is budgeted to lose \$204,000 in CY 14. Upon UConn's acquisition in CY 15, this situation improves to profitability in CY 15 and beyond. There are several reasons for this improvement.

- The full impact of the RRA occurs in CY 15 because that is the first year where there are two semesters of dormitory revenue. That continues in subsequent years.
- Almost \$300,000 in fees paid by the Seller to the general partner and for legal fees do not continue.
- Approximately \$34,000 per year in ground rent paid to UConn does not continue.
- After the existing debt is extinguished in December 2016, the annual interest expense of \$418,000 is no longer required.

The result is a projected profit of \$293,000 in CY 2015, increasing in the out years.

Transactional Issues

UConn would purchase from the Seller the leasehold interest and the building, including its furnishings and equipment, from the Seller.

As noted above, although UConn will negotiate its own P&S, UConn must accept the price and fundamental terms in the P&S between the Private Buyer and the Seller. As presented in that P&S, the transaction contemplates either: the assumption of the existing leasehold mortgage; or prepayment of an existing leasehold mortgage with a prepayment penalty that is currently \$688,000.

UConn has been exploring an alternative financing structure with the existing mortgage holder, Webster Bank, and the Office of the State Treasurer. At the time this memorandum was prepared, the negotiations with Webster and discussions with the Treasurer's office were ongoing but the Administration does not see insurmountable hurdles to being able to finance the entire transaction through Webster or the State, or some combination, on financially reasonable terms. Webster has provided preliminary approval to release the mortgage lien on the NHI. This was a critical issue to the assumption of the existing promissory note by UConn.

More detailed information will be provided before or at the December 10, 2014 Board meeting. The Administration is working to define the precise nature of the financial structure by that meeting to secure BOT approval. In the event the financing is not finalized by December 10, then, at a later time when the financial structure has been finalized, the Administration will seek Board approval for any necessary UConn expenditures to finance the transaction.

Moreover, as noted above, the P&S that the Board is being asked to approve will not irrevocably commit UConn to purchase. UConn can walk away in its discretion if satisfactory financing cannot be obtained or for other reasons.

Other Hotels in Storrs

Under the current Ground Lease, UConn cannot promote a competing hotel on campus or within 15 miles, nor can UConn build a hotel of its own until 2050. If UConn acquires the NHI, those restrictions would be extinguished and UConn could choose to build its own hotel, promote a new hotel through some collaboration with a private party or simply sit back and see what the market produces.

Those possibilities have not been fully explored, nor will they be within the time available. Acquiring the NHI will give UConn control over that facility for use as a hotel or dorm in such proportion that meets UConn's needs.

EXHIBIT A
Housing Needs Analysis

NEED FOR ADDITIONAL ON-CAMPUS HOUSING

A. On-Campus Housing Capacity/Occupancy

The University of Connecticut guarantees on-campus housing to newly admitted freshmen, returning undergraduate residents who meet all deadlines, undergraduates returning from an off-campus program, and campus change students.

Demand for on-campus housing has surpassed the designed capacity (11,116 beds) of the University's residential facilities in each of the past 13 years. The Department of Residential Life has accommodated this strong demand by converting some single and double rooms to house additional students. These efforts have created approximately 900 additional spaces, and increased the total of available on-campus beds for assignment to 12,000. As demand has grown in the past five years, Residential Life has also converted spaces originally designed as floor lounge and study spaces to accommodate an additional 400 – 700 students annually, as reflected in the 12,711 on campus residents in August 2014.

The chart below documents total on-campus housing assignments and occupancy percentages, against system design capacity (11,116), and the modified capacity (12,000) at the start of each academic year since 2010.

Year	August Demand	Percentage Housed to Modified Capacity 12,000	Percentage Housed to Design Capacity 11,116
2014-2015	12,711	106%	114%
2013-2014	12,668	106%	114%
2012-2013	12,469	104%	112%
2011-2012	12,716	106%	114%
2010-2011	12,546	105%	113%

B. Projected Enrollment Growth

In January 2014, the University embarked on a master planning process to define a 20-year vision for the campus and further the goals of Next Generation Connecticut, which includes growing undergraduate student enrollment on the Storrs campus. UConn's Master Plan anticipates incremental enrollment growth in the range of 1,000 – 5,000 students, over the next 10+ years.

Two new residence halls are currently in the planning and design phases for the Storrs campus. The first residence hall will be a new Science, Technology, Engineering and Math (STEM) Living Learning Community and will have approximately 725 beds. The current target completion date for the project is

fall semester 2016. The second facility, an Honors Residence Hall, will provide housing for first-year Honors students and have approximately 650 beds. It is expected that UConn's undergraduate student enrollment will increase incrementally, in 2016 and 2017, and apace with on and off-campus housing growth.

If enrollment growth precedes or surpasses University targets, the current 149 Nathan Hale Inn beds will continue to be critical in meeting student demand. If enrollment growth lags, Residential Life will adjust policy to accommodate more upper-division transfer students and more graduate students – neither of which is currently guaranteed housing - to ensure strong occupancy.

C. Nathan Hale Inn's (NHI) Suitability For Undergraduate Student Housing

The NHI is located in a distinctly residential neighborhood with close proximity to several dining halls, Storrs Center and the academic core of campus. Students assigned to the NHI have expressed satisfaction with their experience. The residential floor design supports social interaction and community development, and students enjoy special amenities including more private bathrooms, a pool and fitness center. One measure of their satisfaction with the NHI is 41 the 48 students assigned to that facility in 2013 – 2014 continue to live on campus, with 20 returning to the NHI this year.

If the University acquires the NHI the residential floors will not require significant structural changes to accommodate students. The public areas on the first floor of the facility will provide ample study, recreation, and social space. In addition, the potential 200+ NHI bed spaces will lessen the total count of new beds that may be required if Next Generation Connecticut enrollment goals are actualized.

EXHIBIT B

December 10, 2014 BOT Resolution Amending the Definition of Residential Life Facilities



December 10, 2014

TO: Members of the Board of Trustees

FROM: John M. Biancamano
Interim Executive Vice President for Administration and Chief Financial Officer

RE: Residential Life Facilities Project Definition

RECOMMENDATION:

That the Board of Trustees approve the attached resolution clarifying that the project entitled, Residential Life Facilities, may include a facility or facilities suited to residential life purposes, which facility or facilities may be newly constructed or purchased and renovated to accomplish said purpose, and hereby finds and determines that such project definition and scope is consistent with the intent and purpose of the original project.

BACKGROUND:

As a result of several factors, including the success of the UCONN 2000 Infrastructure Improvement Program and subsequent enrollment growth, the University has experienced an increased demand for additional student housing units. In order to address this immediate need for residential life facilities, several planning options were discussed including the possible purchase of an existing building suited for a residential life facility and the possible use of UCONN 2000 Phase III funding.

Accordingly, we request that the Board approve the resolution clarifying that the Residential Life Facilities project may include a facility or facilities suited to residential life purposes, which facility or facilities may be newly constructed or purchased and renovated to accomplish said purpose and that the Board find and determine that such project definition and scope is consistent with the intent and purpose of the original project.

Office of the Executive Vice President for
Administration and Chief Financial Officer
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GULLEY HALL
STORRS, CT 06269-1122
PHONE 860.486.3455
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RESOLUTION REGARDING
THE RESIDENTIAL LIFE FACILITIES PROJECT SCOPE

WHEREAS, Section 10a-109d(a)(10) of the UConn 2000 Act (the "Act") provides, in pertinent part, that the University may borrow money and issue securities to finance projects as long as such project or projects are included in subsection a of Section 10a-109e of the Act; and

WHEREAS, Section 10a-109e(d) of the Act provides, in pertinent part, that wherever appropriate or necessary, the University may revise, delete and add a particular project or projects subject to certain conditions described in such section; and

WHEREAS, the Board of Trustees wants to clarify the scope of the project listed as Residential Life Facilities and included in Section 10a-109e(a).

NOW THEREFORE, BE IT RESOLVED, that

1. The project entitled Residential Life Facilities may include a facility or facilities suited to residential life purposes, which facility or facilities may be newly constructed, renovations to existing dormitories or purchased and renovated to accomplish said purpose.
2. The Board of Trustees hereby finds and determines that such project definition and scope is consistent with the intent and purpose of the original project and that the clarification of such scope is the result of a change in University planning.

EXHIBIT C

Resolution Authorizing UCONN 2000 funds for the Acquisition of the Nathan Hale Inn

BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY AS FOLLOWS:

Section 1. That funds from the Residential Life Facilities line item under the University of Connecticut 2000 Act, Sections 10a-109a to 10a-109y inclusive of the General Statutes of Connecticut, as amended (the "Act"), in an amount not to exceed eight million, five hundred thousand dollars (\$8,500,000.00), shall be used to purchase the Nathan Hale Inn and Conference Center.

EXHIBIT D

Resolution Related to the Assumption of the Webster Bank Promissory Note Supporting the Acquisition of the Nathan Hale Inn

WHEREAS, The University of Connecticut 2000 Act, Sections 10a-109a to 10a-109y inclusive of the General Statutes of Connecticut, as amended (the "Act"), declares the purpose of the Act is to promote the welfare and prosperity of the people of the State and the continuation and improvement of their educational opportunities by approving a special capital improvement program for the University of Connecticut (the "University") and enabling the University to borrow money and enter into financing transactions in its own name, on behalf of the State, to expand the authority of the University to construct projects and to assure State support for the financing of the acquisition, construction, reconstruction, improvement and equipping of facilities, structures and related systems for the benefit of the educational and economic development needs of the State and the University, all to the public benefit and good, and the exercise of the powers, to the extent and in the manner provided in the Act, which the Act declared to be for a public purpose and to be the exercise of an essential governmental function; and

WHEREAS, the University is empowered by Section 10a-109d of the Act pursuant to a resolution adopted by a majority of its Board of Trustees to borrow money and issue securities to finance the acquisition, construction, reconstruction, improvement or equipping of any one project, or more than one, or any combination of projects and to provide for the security and payment of those securities; and

WHEREAS, the term "securities" is defined in the Act to include bonds, notes and other evidences of indebtedness and such securities issued by the University shall be general obligations of the University payable out of any revenues or other funds or moneys of the University; and

WHEREAS, Section 10a-109f of the Act provides that the Board of Trustees of the University shall submit to the Governor each resolution for the issuance of securities approved pursuant to Section 10a-109f of the Act. The Governor may, not later than thirty days after such submission, disapprove such resolution by notifying the Board of Trustees in writing of his disapproval and the reasons for it. If the Governor does not act within such thirty-day period, the resolution is deemed approved; and

WHEREAS, the project identified in Section 10a-109e(a) of the Act as Residential Life Facilities may include a facility or facilities suited to residential life purposes, which facility or facilities may be newly constructed, renovations to existing dormitories or purchased and renovated to accomplish said purpose; and

WHEREAS, the University desires to purchase the Nathan Hale Inn and Conference Center (the "Inn") and to partially finance such purchase, by assuming the existing indebtedness of the seller of the Inn to Webster Bank, National Association (the "Bank"); and

WHEREAS, a portion of the Inn currently houses students of the University and it is the intent of the University to convert the remaining portion of the Inn to serve as a dormitory for students of the University.

NOW THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY AS FOLLOWS:

Section 1. An amended and restated promissory note entitled to the benefit, protection and security of the Act in the maximum principal amount of \$5,500,000 plus any amounts for the costs of issuance made to the order of the Bank (the "Note") is hereby authorized to partially finance certain Residential Life Facilities, a project identified in Section 10a-109e of the Act and approved as a project of UConn 2000 (the "Project"). The Project will include the purchase of the buildings and improvements known as the Nathan Hale Inn and Conference Center, located on the University campus in Storrs, Connecticut from Campus Associates Limited Partnership.

Section 2. The principal, interest and other payment obligations of the University under the Note shall be a general obligation of the University and the full faith and credit of the University is hereby pledged to such payments. The Note shall be payable out of any revenues or other assets, receipts, funds or moneys of the University available therefor and may be additionally secured by a pledge of revenues to be derived from the operation of the Project, subject only to any agreements with the holders of any other securities pledging any particular assets, revenues, receipts, funds or moneys.

Section 3. The Note shall be dated and shall have a term not longer than two years from its dated date, shall carry such interest rate or rates payable at least semiannually as, the Treasurer of the State (the "Treasurer") in conjunction with the President or Executive Vice President for Administration and Chief Financial Officer of the University (the "Authorized Officers") shall determine is in the best interests of the State and University.

Section 4. The determination of the principal amount of the Note, Note term, principal and interest payment dates and amounts, interest rate, terms, form and other details of the Note is hereby delegated to be determined by certificates of the Authorized Officers and the Treasurer in accordance with the Act, such principal amount, Note term, principal and interest payment dates and amounts, interest rate, terms, form and other details to be conclusively evidenced by the execution and delivery of the Note.

Section 5. The terms, time and manner of the sale of the Note including whether such sale is by competitive bid, negotiation or private placement, and any other conditions of the issuance and sale of the Note shall be determined by the Treasurer pursuant to a certificate of determination which shall be filed with the University and the Secretary of the State Bond Commission on or before the date of delivery of the Note or any participations or interests therein setting forth the details and particulars of the Note determined by her in accordance herewith. The Treasurer is further authorized, pursuant to the Act and pursuant to certain provisions of the General Statutes of the State of Connecticut, as amended, the authority to enter

into agreements in consultation with an Authorized Officer with respect to the issuance and sale of the Note, or any participations or any interests therein, including financial advisory agreements, purchase agreements and investment agreements.

Section 6. The Note shall be executed and attested to by the manual signatures of the Authorized Officers and authenticated if necessary, in accordance with the provisions of the Act and the Connecticut General Statutes.

Section 7. The Treasurer and the Authorized Officers of the University and each of them, are hereby authorized to perform all acts which are necessary or appropriate in connection with the execution and delivery of the Note, or any participations or interests therein, provided that the proceeds from the Note are used for the Project.


Section 8. The Treasurer and the Authorized Officers, and each of them, hereby is authorized to provide for the security and payment of the Note and for the rights of the holders of the Note, or any participations or interests therein, to secure such obligations, pledge security and execute such security agreements, reimbursement agreements, instruments, opinions, certificates, affidavits and other documents and to do or cause to be done any and all other acts and things necessary, advisable or proper for carrying out this resolution, the terms, obligations and/or security of the Note and the implementation of the Project. The interest payable on the Note will be includable in the gross income of the owners thereof and it is therefore hereby determined that the Note and the Project that will be financed with the Note are in the public interest.

Section 9. An Authorized Officer shall cause this resolution of the Board of Trustees approving the Note to be submitted to the Governor together with a summary report of the estimated total completion costs of the Project for his approval in accordance with Section 10a-109f.

ATTACHMENT 10

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Spending Plan for Fiscal Year 2016 for the University of Connecticut, Storrs &
Regional Campuses

RECOMMENDATION:

That the Board of Trustees approve the Spending Plan for Fiscal Year 2016 of \$1,292.4 million for the University of Connecticut, Storrs and Regional Campuses.

BACKGROUND:

The Fiscal Year 2016 Spending Plan includes \$1,294.6 million of revenue, including State support of \$396.7 million to cover \$1,292.4 million in expenses, yielding a small net gain.

State funding is critical to the University's finances, as it provides approximately 30% of our total revenue. In February, the Governor's proposed budget was released, which would have cut UConn's FY16 appropriation by \$39.5 million. This significant reduction in State support would have resulted in drastic cuts to achieve a balanced budget. UConn is relieved and grateful that the Legislature and the Governor agreed to restore funding, which will make balancing the FY16 budget manageable and reduce the need for various deficit mitigation strategies the University was contemplating.

The final State appropriation of \$243.2 million that was included in the budget passed by the General Assembly and reflects a \$15.7 million reduction from the University request. This reduction still represents a substantial cut, including \$3.7 million less than requested for the operating expenses and \$14.7 million less than was originally planned for Next Generation Connecticut. To cover this shortfall from the State, spending reductions and rescissions will still be necessary. UConn's focus will continue to be on carrying out our academic plan and funding key academic priorities in support of teaching and research. It is vital that the University remain committed to achieving these goals. UConn has come so far as an institution in the last several years, and the University remains unwilling to see progress stall – or even reverse – when it comes to carrying out the academic mission and enhancing academic strength.

FY15 Budget Results

UConn Storrs & Regional Campuses are projected to end the fiscal year with a small gain of \$2.6 million, which is approximately 0.2% of the overall budget. UConn has implemented deficit mitigation to address and solve the FY14 structural deficit. The FY15 balanced budget was accomplished despite \$7.4 million in State rescissions by carefully reviewing hiring requests, slower hiring than projected, increased enrollment, conservative spending for operational expenses, and implementation of operational efficiencies.

FY16 Spending Plan Overview

UConn's spending priorities balance the economic reality of a decline in State operating support while growing robust academic, research and student service enterprises from which the University derives its long-standing reputation. This reputation, along with proper stewardship of its assets, has created a value proposition that drives continued increases in applications for admission from in-state, out-of-state and international students. This spending plan continues the University's commitment to its students, financial aid, faculty and research.

- State Support:
 - Like many State agencies, UConn received reductions as a result of the economy and the State's commitment to a balanced budget
 - Reductions in base appropriation over the past several years, even as funding for new initiatives such as NextGenCT increase
- Tuition and Fees:
 - Maintaining rates that keep the University affordable for in-state students
 - Maintaining rates that keep the University competitive for out-of-state students
 - 4 year tuition plan ends in FY16 and Board of Trustees must approve tuition rates in the fall for FY17 and beyond
- Fringe Benefits:
 - Sharp increases in past couple of years in State controlled fringe rates
 - Rates projected to continue to climb; final new rates will not be known until mid-to late June
 - Increasing numbers of conversions to the Hybrid retirement plan
 - Research rates increased substantially this year (two-year delay from University)
- Financial Commitments:
 - Promises made to faculty & students based on current & assumed economic conditions (Example: Next Generation Connecticut, financial aid, etc.)
- Contractual Salary Increases:
 - Union increases are contractual
 - SEBAC required approximately 5% in FY15 and 5% in FY16
 - New Graduate Assistant (UAW) contract provides 9% over 3 years
 - SEBAC collective bargaining agreement ends in FY16 and all contracts will need to be bargained for FY17
- Next Generation Connecticut
 - Much lower amount appropriated (\$14.6 million less than planned for in FY16)
 - Need to request operating funds annually although UConn is committing to 4 year scholarships prior to the approved appropriation

- Faculty need to be hired well before appropriation is finalized, which makes the timing and instability difficult
- Escalating project construction costs

FY16 Revenues /Expenditures:

- Revenues

State support is a major source of revenue for FY16 at \$396.7 million. State Support accounts for approximately 30% of our spending plan. This substantial and crucial support is greatly appreciated by UConn students, faculty and staff. State support allows UConn to provide an affordable education to Connecticut students, as they pay only a portion of what the full cost of their education would be. Out-of-state students pay a higher tuition rate because they more fully cover the cost of their education. With the difficult economic pressures on the State, UConn is also feeling these impacts. During FY15, UConn's State appropriation was reduced 4 different times for a total of \$7.4 million. This instability makes budgeting difficult and long-range operational planning nearly impossible. UConn's ability to maintain any kind of reserve to mitigate against difficult years is also hampered by the State, as historically the State has used agency reserves to balance their budget as happened in FY10 and FY11.

The University relies heavily on its non-state revenue streams for fiscal stability, particularly in times when State support is under stress. These sources include tuition, room, board and fees as well as private support and research funding.

The proposed FY16 spending plan incorporates the implementation of rate increases previously approved by the Board of Trustees for tuition, room, board and fees. For FY16, the in-state undergraduate student cost of tuition is \$10,522, which is a 6.75% increase over FY15. For an out-of-state undergraduate student, the cost of tuition will be \$32,066. As described below, financial aid is budgeted to offset the impact of these increases on financially needy students and their families. UConn remains a tremendous value in comparison to competitors.

FY16 tuition revenue growth is driven by increased enrollment, residency mix and tuition rates, and it is projected to be 9.9% over FY15. Changes in room and board fees (in Auxiliary Enterprises) drive an increase of 5.4% for FY16 over FY15 revenue. Note that growth in room and board revenue is a function of rate changes as well as occupancy.

- Next Generation Connecticut (NextGenCT)

In NextGenCT's second year, UConn was appropriated \$19.1 million. UConn gratefully acknowledges this funding and hopes that sustained support will be received to allow the University to continue to move forward with this transformative program. Unfortunately, the amount appropriated in FY15 was reduced to \$7.6 million due to rescissions, nearly half of all funds appropriated. With a combination of State appropriated funds and University funds, UConn hired 85 faculty, 39 staff, and awarded 79 new STEM scholarships. The FY16 amount of \$19.1 million is \$4.1 million more than last year, but it is \$14.6 million less than was originally planned. The additional funding will allow UConn to move forward slower than planned with the initiative, including hiring new faculty and providing associated start-up funds, offering \$1.1 million of new STEM scholarships, and hiring required support staff.

Next Generation Connecticut is comprised of both capital and operating budget components. The capital funding provided through the UCONN 2000 program will not only enable construction of new laboratories, classrooms and dorms to support the increased student enrollment, but it will also allow the University to attend to deferred maintenance needs across all campuses.

- **Enrollment Growth**

The proposed spending plan includes increased tuition and fee revenues from growth in undergraduate students at the Storrs and Regional campuses. In addition, the mix of in-state and out-of-state/international undergraduate students is changing. Total undergraduate enrollment is expected to increase 2.4%.

- **Commitment to Financial Aid**

Financial aid represents an expenditure that is inextricably intertwined with the mission of the University. During the budgeting process, the goal is to provide an appropriate amount of financial aid to ensure that no qualified student is denied a UConn education because of financial need. In FY16, UConn will be awarding approximately \$1.1 million in new merit scholarships to students pursuing degrees in STEM fields of study.

For FY16, the University will fund \$151.8 million of financial aid with tuition revenue. In other words, in this FY16 budget, 25.7% of the University's tuition revenue is dedicated to tuition funded financial aid; of that amount, 16.4% is dedicated to need-based aid. The University's best financial aid packages are provided to in-state, low income students. For FY15, 21,779 students received financial aid from all known sources, so this funding is critical for student support. The amount of total financial aid included in this proposed budget represents an increase of 3.2% over the FY15 forecast.

- **Fringe Benefit Impact**

Fringe benefit rates have increased substantially over the past few years. The University develops composite fringe benefit rates annually based upon the actual charges from the benefit programs administered by the State of Connecticut. The actual State rates are not known until after this budget is approved by the Board of Trustees. In FY15, the rates were higher than expected partially due to the effect of more employees choosing or switching to the Hybrid retirement plan. For FY16, the fringe benefit rates assumed in the budget are 3.5 percentage points higher than the FY15 rates. This increase alone adds \$21 million to the FY16 budget. In addition, the FY16 budget includes funds for increased graduate student health insurance costs due to the new contract.

- **Spending Reductions and Controls**

UConn has mitigated its deficit and as a result of the following actions, the proposed spending plan for FY16 reflects a small net gain:

- Increased enrollment
- Increased online and certificate programs

- Savings from Facilities/Residential Life operational merger
- Elimination of positions vacated due to resignation, retirement, etc.
- Careful hiring - any new position must be approved by President
- Selective layoffs
- Reductions in faculty start-up
- Selected rescissions to academic department and programs
- Reduction in Merit Scholarships for specific programs

Through this proposed spending plan, UConn will continue to focus on carrying out the Academic Plan and funding key academic priorities. Over the past several years, UConn has improved its educational quality on every level. Students of higher quality are choosing UConn, new faculty and leading scholars from around the country are choosing UConn, and the University is enjoying the highest ranking by *U.S. News* in its history. Despite declining State support, the proposed FY16 spending plan attempts builds on these past successes by providing the required funds for improving the student experience, strengthening research and teaching, supporting economic development, increasing philanthropy and communicating the University's commitment to excellence.

University of Connecticut
Storrs & Regional Campuses
FY16 Spending Plan Table of Contents

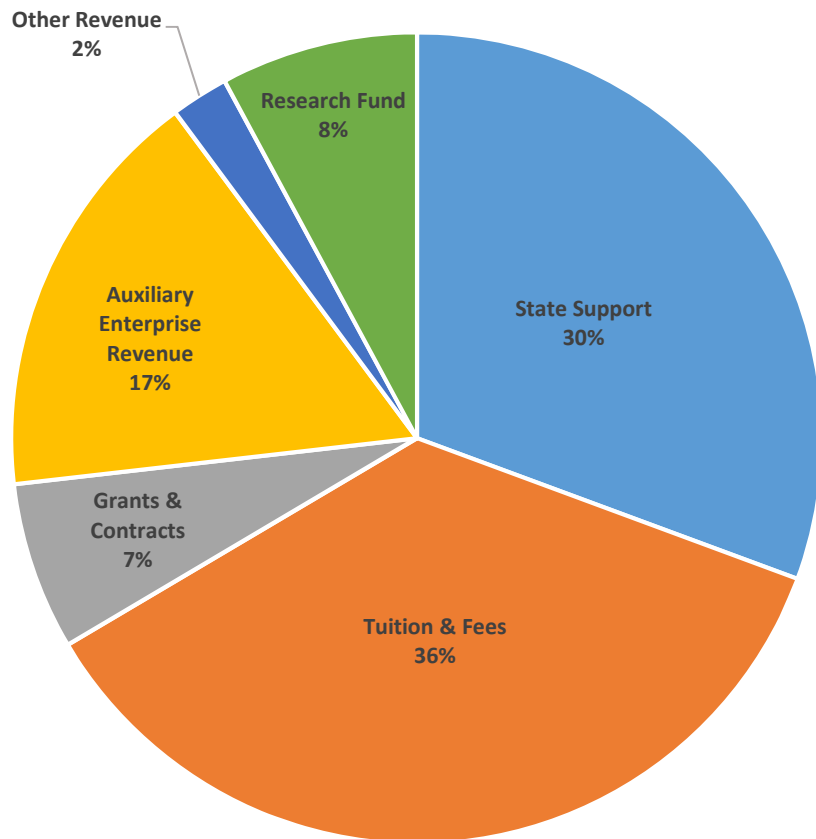
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University of Connecticut
Storrs & Regional Campuses
Spending Plan: Fiscal Years 2014 - 2016 (in millions)

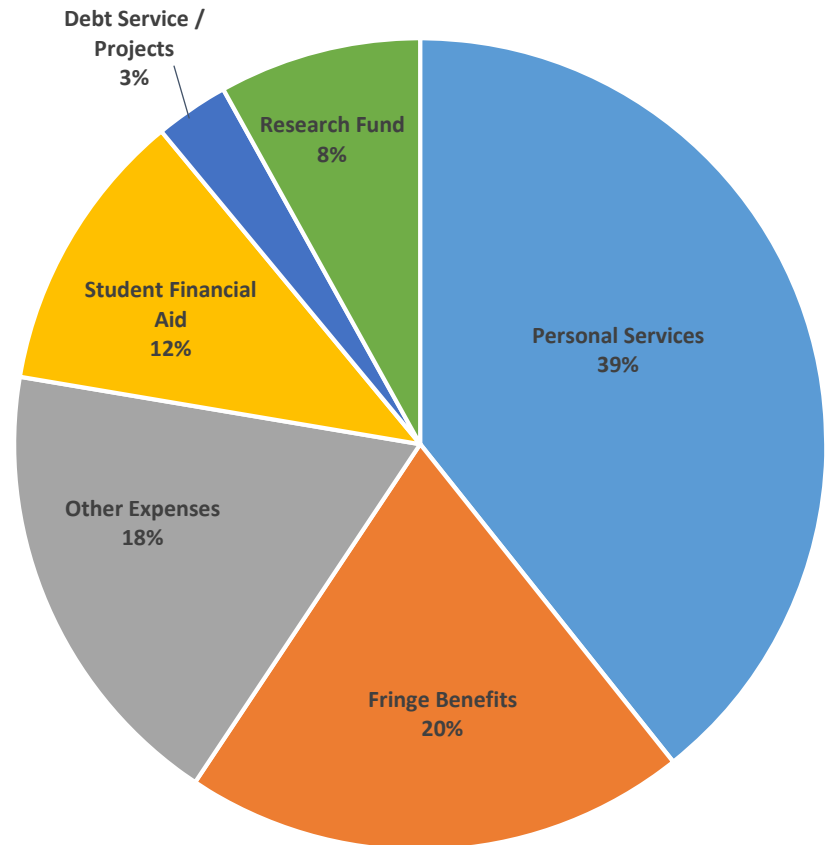
	FY14	FY15	FY16	FY15 Forecast - FY16	
	Actual	Budget	Forecast	Budget	\$ Change % Change
Revenues:					
State Support	\$308.1	\$348.7	\$355.7	\$396.7	\$41.0 11.5%
Tuition	290.4	313.2	318.1	346.8	28.7 9.0%
Fees	106.7	110.6	112.3	117.4	5.1 4.5%
Grants & Contracts	84.1	85.6	86.3	86.5	0.2 0.3%
Sales & Service Education	19.3	16.1	17.3	18.4	1.1 6.4%
Auxiliary Enterprise Revenue	198.7	209.2	204.9	215.7	10.7 5.2%
Other Revenue	10.5	9.4	9.4	11.3	2.0 21.1%
Total Operating Funds	\$1,017.8	\$1,092.8	\$1,104.0	\$1,192.8	\$88.8 8.0%
Research Fund	100.3	96.0	100.2	101.8	1.6 1.6%
Total Revenues	\$1,118.1	\$1,188.8	\$1,204.2	\$1,294.6	\$90.4 7.5%
Expenditures:					
Personal Services	\$461.8	\$489.5	\$482.3	\$507.8	\$25.5 5.3%
Fringe Benefits	212.0	228.1	225.0	259.3	34.3 15.2%
Other Expenses	190.6	188.8	191.3	208.2	16.9 8.9%
Energy	21.0	23.8	23.0	24.5	1.4 6.1%
Equipment	4.5	7.0	5.2	3.9	(1.3) -24.3%
Student Financial Aid	132.0	139.2	142.3	146.5	4.3 3.0%
Debt Service/Projects	(7.5)	15.6	31.9	38.0	6.1 19.2%
Total Operating Funds	\$1,014.4	\$1,092.0	\$1,101.0	\$1,188.2	\$87.2 7.9%
Research Fund	102.5	96.8	100.6	104.2	3.6 3.6%
Total Expenditures	\$1,116.9	\$1,188.8	\$1,201.6	\$1,292.4	\$90.8 7.6%
Net Gain / (Loss)	\$1.2	\$0.0	\$2.6	\$2.2	

**University of Connecticut
Storrs & Regional Campuses
Spending Plan by Source: Fiscal Year 2016**

Revenues: \$1,294.6 M



Expenses: \$1,292.4 M



University of Connecticut
Storrs & Regional Campuses
State Support: Fiscal Years 2014 - 2017

	FY14	FY15		FY16		FY17	
	Actual	PA 14-47	Forecasted	Requested	HB7061	Requested	HB7061
	Allotment	5/8/2014	Allotment	Approp	6/3/2015	Approp	6/3/2015
Operating Expenses	\$ 201,348,929	\$ 212,994,757	\$ 213,471,770	\$ 224,285,156	\$ 220,582,283	\$ 225,043,955	\$ 225,082,283
<i>Next Generation Connecticut</i>	-	15,000,000	7,611,670	33,785,372	19,144,737	53,989,905	20,394,737
Workers' Compensation Claims	-	-	-	-	3,092,062	-	3,092,062
CT Ctr for Advanced Technology	250,000	250,000	250,000	-	-	-	-
CommPACT Schools	475,000	475,000	451,250	475,000	-	475,000	-
Kirklyn M. Kerr Grant	400,000	400,000	400,000	400,000	400,000	400,000	400,000
FoodCorps	-	27,000	27,000	-	-	-	-
Agronomy	100,000	-	-	-	-	-	-
Total Appropriation	\$ 202,573,929	\$ 229,146,757	\$ 222,211,690	\$ 258,945,528	\$ 243,219,082	\$ 279,908,860	\$ 248,969,082
Fringe Benefits / Adjustments*	<u>105,495,273</u>		<u>133,448,764</u>		<u>153,449,592</u>		<u>158,160,515</u>
Total State Support	\$ 308,069,202		\$ 355,660,454		\$ 396,668,674		\$ 407,129,597

*Adjustments include year-end accounting accruals.

University of Connecticut
Storrs & Regional Campuses
Spending Plan Select Revenues: Fiscal Years 2014 - 2016 (in millions)

	FY14	FY15		FY16	FY15 Forecast - FY16	
	Actual	Budget	Forecast	Budget	\$ Change	% Change
Tuition & Fees						
Tuition	\$290.4	\$313.2	\$318.1	\$346.8	\$28.7	9.0%
Course Fees	46.1	47.4	49.7	54.1	4.4	8.7%
General University Fee	36.2	37.5	37.5	38.6	1.1	2.8%
Other Fees ¹	24.4	25.7	25.1	24.7	(0.4)	-1.4%
Total Tuition & Fees	\$397.1	\$423.8	\$430.4	\$464.2	33.8	7.9%
Grants & Contracts						
Federal Financial Aid Grants	\$23.6	\$25.6	\$27.3	\$27.6	\$0.3	1.3%
State Financial Aid Grants	9.4	9.3	9.3	9.6	0.3	3.0%
Foundation ²	17.6	17.2	16.2	15.7	(0.5)	-3.2%
Department of Agriculture	4.2	4.3	4.3	4.4	0.1	3.0%
Miscellaneous Grants and Contracts ³	29.3	29.2	29.2	29.2	0.0	0.0%
Total Grants & Contracts	\$84.1	\$85.6	\$86.3	\$86.5	0.2	0.3%
Auxiliary Enterprise Revenues						
Residential Life & Rental Properties	\$81.1	\$87.9	\$90.0	\$93.3	\$3.3	3.7%
Dining Services	67.3	69.7	69.6	72.1	2.5	3.5%
Athletics	37.2	38.2	31.4	35.0	3.6	11.4%
Transportation & Parking	7.3	7.8	8.0	8.5	0.5	5.9%
Health Services	3.1	3.1	3.5	3.6	0.1	3.8%
Jorgensen Center for Performing Arts	1.0	1.0	1.0	1.8	0.7	74.7%
Student Union & Student Activities	1.4	1.1	1.1	1.1	0.0	4.5%
Other Student Affairs	0.3	0.4	0.3	0.3	(0.0)	-10.0%
Total Auxiliary Enterprise Revenues	\$198.7	\$209.2	\$204.9	\$215.7	10.8	5.2%

¹ Includes IMF, Admissions, Acceptance, etc.

² Foundation includes direct income only

³ Miscellaneous Grants and Contracts includes private non-Foundation income, other Federal and State grants and contracts

University of Connecticut - Storrs Campus
Undergraduate Tuition & Fees: Fiscal Years 2014 - 2016

	In-State Undergraduate				Out-of-State Undergraduate			
	FY14	FY15	FY16		FY14	FY15	FY16	
Tuition, Full-time	\$ 9,256	\$ 9,858	\$ 10,522	6.74%	\$ 28,204	\$ 30,038	\$ 32,066	6.75%
General University Fee	1,848	1,914	1,914		1,848	1,914	1,914	
Other Fees:								
Student Newspaper	20	20	20		20	20	20	
Student Government (USG)	96	96	96		96	96	96	
WHUS	18	18	18		18	18	18	
Student Union (SUBOG)	46	46	46		46	46	46	
UCONN TV	10	10	10		10	10	10	
Transit Fee	110	120	120		110	120	120	
Technology Fee	150	150	150		150	150	150	
Infrastructure Maintenance	468	468	468		468	468	468	
Subtotal Other Fees	918	928	928		918	928	928	
Total Tuition & Mandatory Fees	\$ 12,022	\$ 12,700	\$ 13,364	5.2%	\$ 30,970	\$ 32,880	\$ 34,908	6.2%
Room Fee - Double	6,278	6,466	6,660	3.0%	6,278	6,466	6,660	3.0%
Board Fee - Value Meal Plan ^A	5,196	5,352	5,514	3.0%	5,196	5,352	5,514	3.0%
Grand Total	\$ 23,496	\$ 24,518	\$ 25,538	4.2%	\$ 42,444	\$ 44,698	\$ 47,082	5.3%

^A The Value Meal Plan represents the most popular meal plan available (Per semester: unlimited meals, 200 points, 40 flex passes). Higher and lower cost meal plan options are available.

University of Connecticut - Storrs Campus
Graduate Tuition & Fees: Fiscal Years 2014 - 2016

	In-State Graduate				Out-of-State Graduate			
	FY14	FY15	FY16		FY14	FY15	FY16	
Tuition, Full-time	\$ 11,456	\$ 12,202	\$ 13,026	6.75%	\$ 29,740	\$ 31,674	\$ 33,812	6.75%
General University Fee	1,368	1,416	1,416		1,368	1,416	1,416	
Other Fees:								
Student Activity Fee	26	32	32		26	32	32	
Graduate Matriculation Fee	84	84	84		84	84	84	
Transit Fee	110	120	120		110	120	120	
Technology Fee	150	150	150		150	150	150	
Infrastructure Maintenance	468	468	468		468	468	468	
Subtotal Other Fees	838	854	854		838	854	854	
Total Tuition & Mandatory Fees	\$ 13,662	\$ 14,472	\$ 15,296	5.7%	\$ 31,946	\$ 33,944	\$ 36,082	6.3%
Room Fee - Single	7,540	7,842	8,078	3.0%	7,540	7,842	8,078	3.0%
Board Fee - Value Meal Plan ^A	5,196	5,352	5,514	3.0%	5,196	5,352	5,514	3.0%
Grand Total	\$ 26,398	\$ 27,666	\$ 28,888	4.4%	\$ 44,682	\$ 47,138	\$ 49,674	5.4%

^A The Value Meal Plan represents the most popular meal plan available (Per semester: unlimited meals, 200 points, 40 flex passes). Higher and lower cost meal plan options are available. Please note that for Graduate students living in Graduate student housing, the meal plan is optional.

University of Connecticut
Storrs & Regional Campuses
Salaries & Fringe Benefits: Fiscal Years 2014 - 2016 (in millions)

Salaries & Fringe Benefits are expected to account for approximately 65% of the operating fund
expenditure budget in FY16

Fiscal Year	Salaries	Fringe Benefits	Salaries & Fringe Benefits % of Budget¹	Fringe Benefits % of Budget¹
FY14	\$461.8	\$212.0	66.4%	20.9%
FY15 Forecast	\$482.4	\$224.9	64.4%	20.5%
FY16 Budget	\$507.8	\$259.3	64.6%	21.8%

¹ Excludes Research Fund

University of Connecticut
Storrs & Regional Campuses
Financial Aid: Fiscal Years 2014-2016 (in millions)

	FY14	FY15		FY16	FY15 Forecast - FY16	
	Actual	Budget	Forecast	Budget	\$ Change	% Change
<u>Total Financial Aid</u>						
University Supported Aid*	\$77.9	\$83.1	\$82.1	\$85.4	\$3.3	4%
Other Scholarships	8.2	8.7	11.0	10.7	(0.3)	-3%
State Aid	9.4	9.3	11.3	11.2	(0.1)	0%
Federal Aid	24.3	25.6	25.9	27.0	1.1	4%
Private Aid	12.3	12.5	12.0	12.2	0.2	2%
Total Financial Aid ¹	132.1	139.2	142.3	146.5	\$4.2	3%
<u>*University Supported Aid</u>						
Need-Based Grants	\$51.6	\$54.5	\$54.6	\$54.7	\$0.1	0%
Scholarships	26.3	28.6	27.5	30.7	3.2	12%
Total University Supported Aid	\$77.9	\$83.1	\$82.1	\$85.4	\$3.3	4%
Need-Based as a % of Tuition Revenue ²	18.6%	18.3%	17.8%	16.4%		

¹ Excludes loans, student employment, research fellowships, waivers and outside private scholarships

² Higher Education guideline for need based aid is 15% (of net tuition revenue)

ATTACHMENT 11

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan
Chief Financial Officer



RE: Spending Plan for Fiscal Year 2016 for UConn Health

RECOMMENDATION:

That the Board of Trustees approve the Spending Plan for Fiscal Year 2016 of \$1,023,556,848 for UConn Health.

BACKGROUND:

The Fiscal Year 2016 Spending Plan includes \$1,023,556,848 of revenue, including State support of \$233,183,064 to cover \$1,023,556,848 in expenses.

Highlights

UCH's proposed spending plan for FY16 projects an operating loss of \$15,963,189. However, decreasing the FY16 capital spend to \$13,182,167 will balance the requested Spending Plan budget in FY16.

Assumptions

- **Revenues:**

The State appropriation for FY16 for UConn Health is \$137.3 million. UConn Health expects State fringe benefit support of \$82.4 million, along with \$13.5 million for the John Dempsey Hospital fringe benefit differential. Of UConn Health's \$986.9 million in revenue for FY16, sources other than the State appropriation account for an increase of \$41.2 million. Clinical revenue is budgeted at \$445.8 million, a 7.5% increase over FY15. Clinical revenues for JDH are budgeted to increase 5.5% over FY15. The revenue increase is due to volume increase, a rate increase of 2% and the remaining portion is attributable to the new hospital tower. For the UConn Medical Group (UMG), the overall increase to net patient revenue is 15.7% which is based on volume and a 1% rate increase.

In FY16, we expect research revenue to decrease by 3.4%. Research revenue is budgeted at \$78.7 million. Income related to the placement of interns and residents is \$64.6 million, an increase of 7.8%. Tuition and fee revenue is \$22.6 million, which reflects the rate increases previously approved by the Board. \$92.4 million (on both the revenue and the expense side) reflects the contract with the Department of Correction for inmate health services.

- **Expenses:**

Salaries and fringes are budgeted at \$588.4 million, an increase of 8.4% primarily related to bargaining unit salary increases based on the SEBAC agreement and an increase to health, dental and pharmacy insurance benefits along with retirement rate increases. Utilities are increasing by 9.0% or \$1.2 million, and Repairs and Maintenance is increasing by 8.8% due to the full year of the Outpatient Pavilion. Drugs and medical supplies are increasing by \$4.3 million due to an expected increase in volume. The increase in salaries and fringes, medical supplies, drugs, utilities, repairs and maintenance also includes the new hospital tower expected to open in the last quarter of FY16. Debt service is increasing by \$7.1 million due to the full year of interest payments for the Outpatient Pavilion.

Fiscal Year 2016 Spending Plan

Total Operating Revenue	\$ 753,704,284	
State Support	233,183,064	
Restricted Balances:		
Use Allowance	6,300,000	
State Bond Funds	29,369,500	
Departmental /Grant Funds	<u>1,000,000</u>	
Total Available for Spending		\$ 1,023,556,848
Total Operating Expenses (less depreciation)	\$ 964,564,352	
Current Approved Capital Projects	2,243,000	
Working Capital Needs	2,000,000	
FY 2016 Capital Spending	13,182,167	
Use Allowance	6,300,000	
State Bond Funds	28,769,500	
Departmental /Grant Funds	1,000,000	
Principal Payment on Debt	5,497,829	
Total Spending Plan		\$ 1,023,556,848
		<u>-</u>
Excess/(Deficiency)		<u><u>-</u></u>

**Proposed Operating Budget
Fiscal Year 2016**

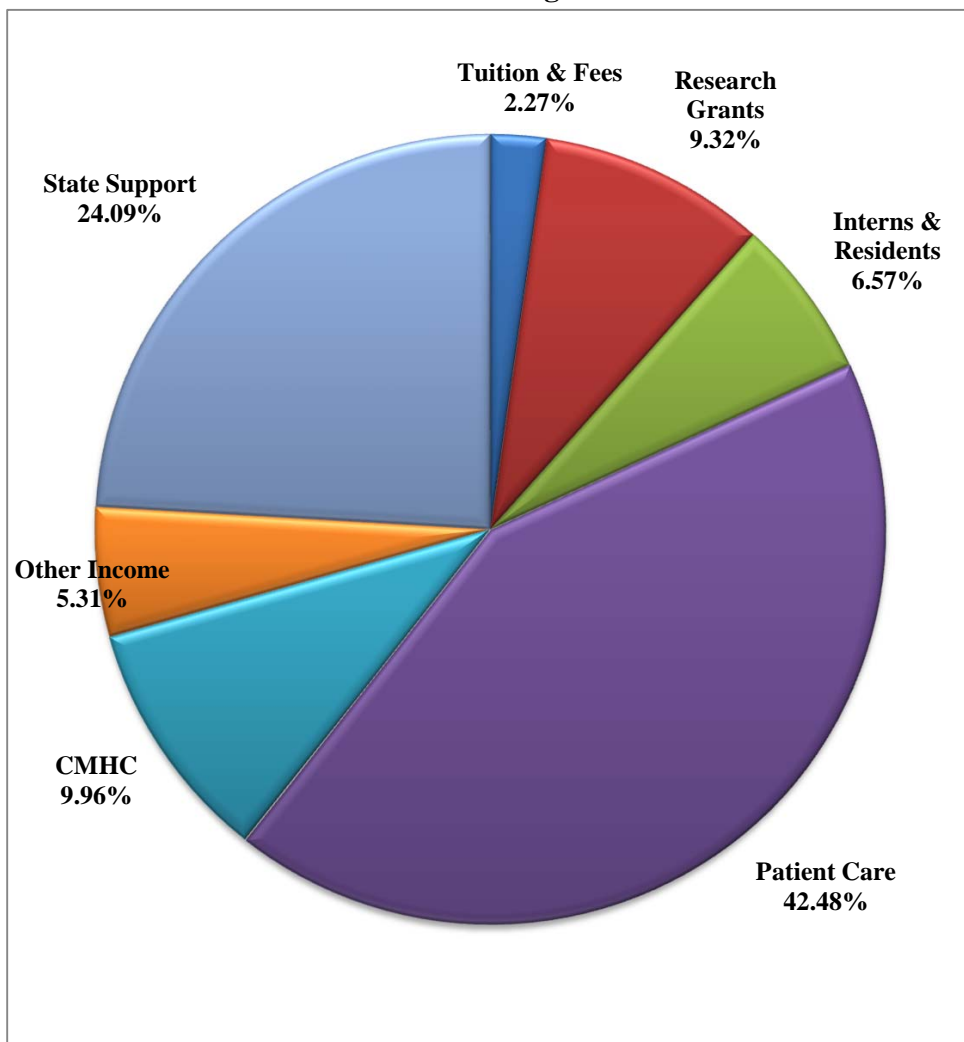
and

Review of Fiscal Year 2015

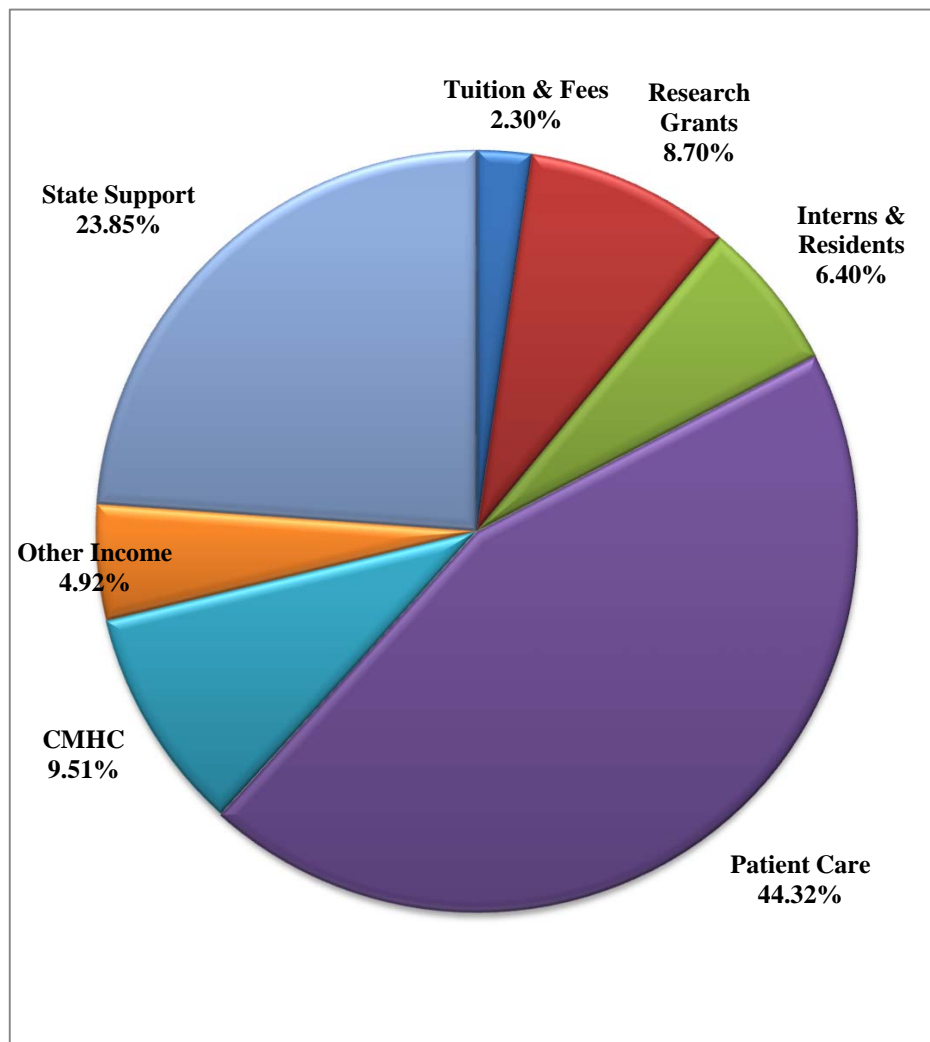
Board of Directors Meeting
June 15, 2015

Revenues by Source

FY2015 Budget

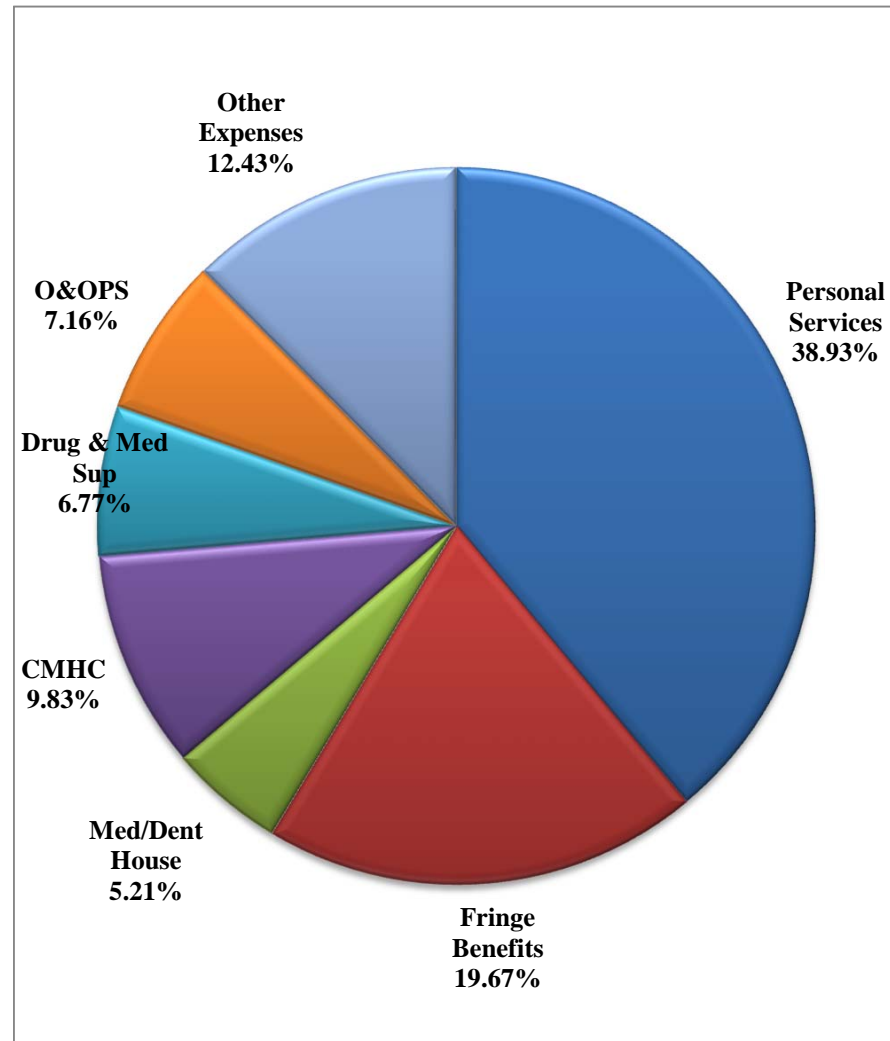


FY2015 Forecast

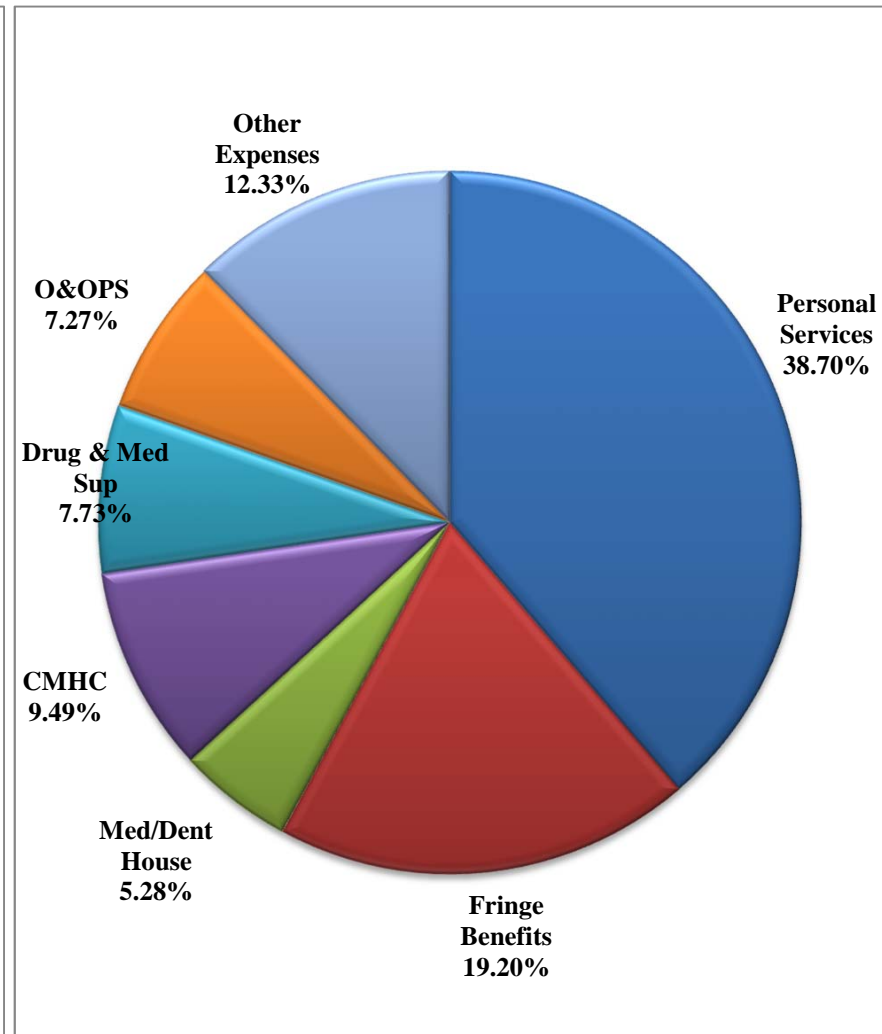


Expenses by Source

FY2015 Budget



FY2015 Forecast



Current Fiscal Year Highlights

Fiscal Year 2015 Budget vs. Fiscal Year 2015 Forecast

Revenue Changes:

- Research grants and contract decreased by \$6.4M (offset by expense decrease)
- Auxiliary Enterprises \$3.2M decrease due to parking operations and external contracts
- Interns and Residents revenue \$2.1M decrease (offset by expense decrease)
- Net Patient Care revenue increased by \$14.4M resulting from higher than expected volumes in the Hospital
 - John Dempsey Hospital \$21.3M increase
 - UConn Medical Group \$6.3M decrease
 - Dental Clinics and Ambulance Service \$606K decrease
- Correctional Managed Health Care \$4.9M decrease (offset by expense decrease)
- Other income decreased by \$1.6M due to hemophilia clinic and CCMC NICU agreement (offset by expense decrease)
- Decrease in state support of \$3.7M due to rescissions

Expense Changes:

- Salary and fringe benefits are under budget \$16.5M due to management's review of new positions and refilling of vacancies
- Medical contractual support is under budget by \$922K due to anesthesiology agreement
- Correctional Managed Health Care \$4.9M expense decrease (offset by revenue decrease)
- Drugs and medical supplies increased by \$7.9M due to volume increase in the hospital

Consolidated Statement of Revenues and Expenses (with Eliminations)

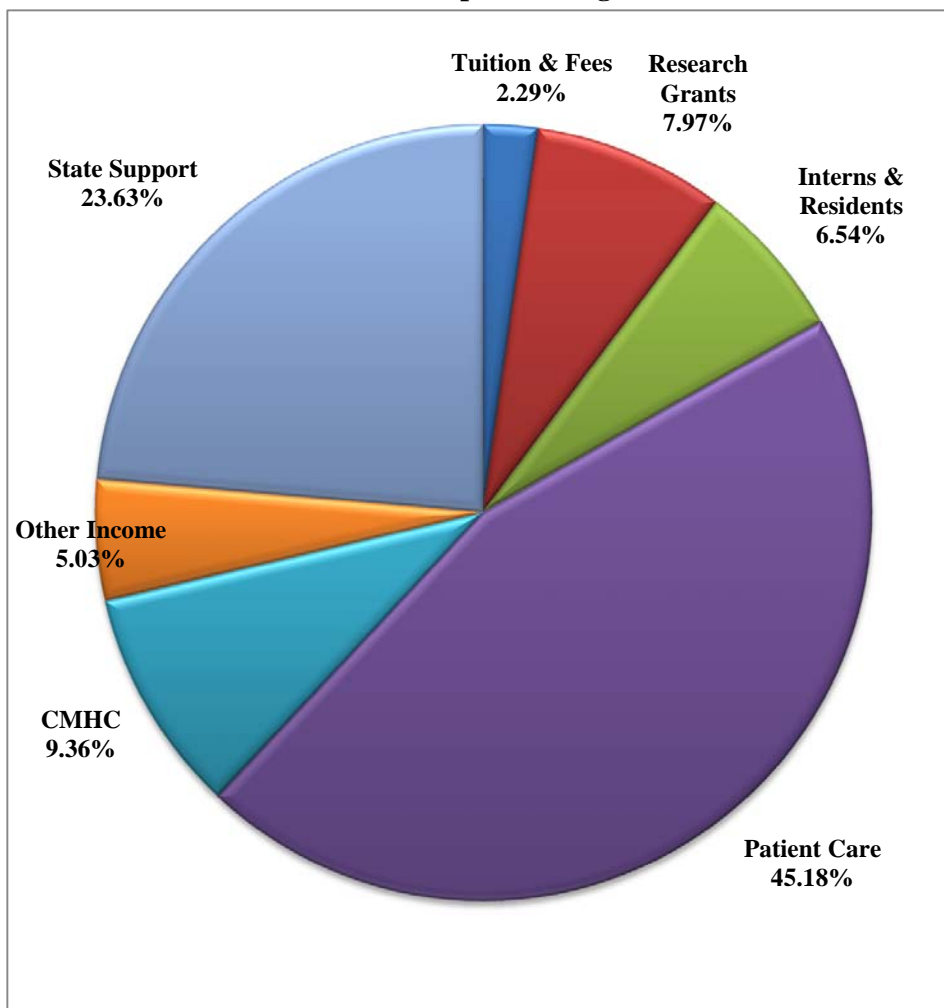
Fiscal Year 2015 Budget vs. Fiscal Year 2015 Forecast

	Fiscal Year 2015	Fiscal Year 2015		
	Approved Budget	Forecast	Variance	Percent Variance
<u>Revenues:</u>				
Tuition & Fees	\$ 21,416,731	\$ 21,483,767	\$ 67,036	0.3%
Research Grants and Contracts	87,829,615	81,433,508	(6,396,107)	-7.3%
Auxiliary Enterprises	18,685,454	15,466,603	(3,218,851)	-17.2%
Interns and Residents	61,948,103	59,897,448	(2,050,655)	-3.3%
Net Patient Care	400,294,965	414,730,362	14,435,397	3.6%
Correctional Managed Health Care	93,861,152	88,985,190	(4,875,962)	-5.2%
Gift & Endowment Income	6,271,717	7,156,726	885,009	14.1%
Other Income	24,970,754	23,342,198	(1,628,556)	-6.5%
Total Revenue	\$ 715,278,491	\$ 712,495,802	\$ (2,782,689)	-0.4%
<u>Expenses:</u>				
Salary Expense	\$ 371,716,466	\$ 362,970,433	\$ (8,746,033)	-2.4%
Fringe Benefits	187,817,300	180,045,549	(7,771,751)	-4.1%
Medical/Dental House Staff	49,733,252	49,515,891	(217,361)	-0.4%
Medical Contractual Support	20,591,496	19,668,552	(922,944)	-4.5%
Correctional Managed Health Care	93,861,152	88,985,190	(4,875,962)	-5.2%
Temporary/Per Diem Staff	1,214,456	965,646	(248,810)	-20.5%
Utilities	13,276,303	13,027,918	(248,385)	-1.9%
Outside & Other Purchased Services	68,401,810	68,157,823	(243,987)	-0.4%
Insurance	4,658,063	4,635,445	(22,618)	-0.5%
Repair and Maintenance	10,304,857	9,680,855	(624,002)	-6.1%
Drugs	21,620,539	23,841,189	2,220,650	10.3%
Medical Supplies	42,968,812	48,667,759	5,698,947	13.3%
Other Expenses	28,850,612	27,487,502	(1,363,110)	-4.7%
Debt Service	3,452,029	3,395,504	(56,525)	-1.6%
Depreciation	36,262,543	36,753,132	490,589	1.4%
Total Expenses	\$ 954,729,690	\$ 937,798,388	\$ (16,931,302)	-1.8%
<u>Excess/(Deficiency)</u>				
<u>of Revenues over Expenses</u>	\$ (239,451,199)	\$ (225,302,586)	\$ 14,148,613	-5.9%
State Appropriation-Block Grant	134,880,720	134,880,720	-	0.0%
GF Appropriation Rescission	-	(3,745,775)	(3,745,775)	-100.0%
GF RIP Appropriation	289,439	289,439	-	0.0%
State Supported Fringe Benefits	91,787,656	91,787,656	-	0.0%
<u>Excess/(Deficiency)</u>	\$ (12,493,384)	\$ (2,090,546)	\$ 10,402,838	83.3%
Total State Support	226,957,815	223,212,040	(3,745,775)	-1.7%
State Support as a Percentage of Total Revenues	24.09%	23.85%		

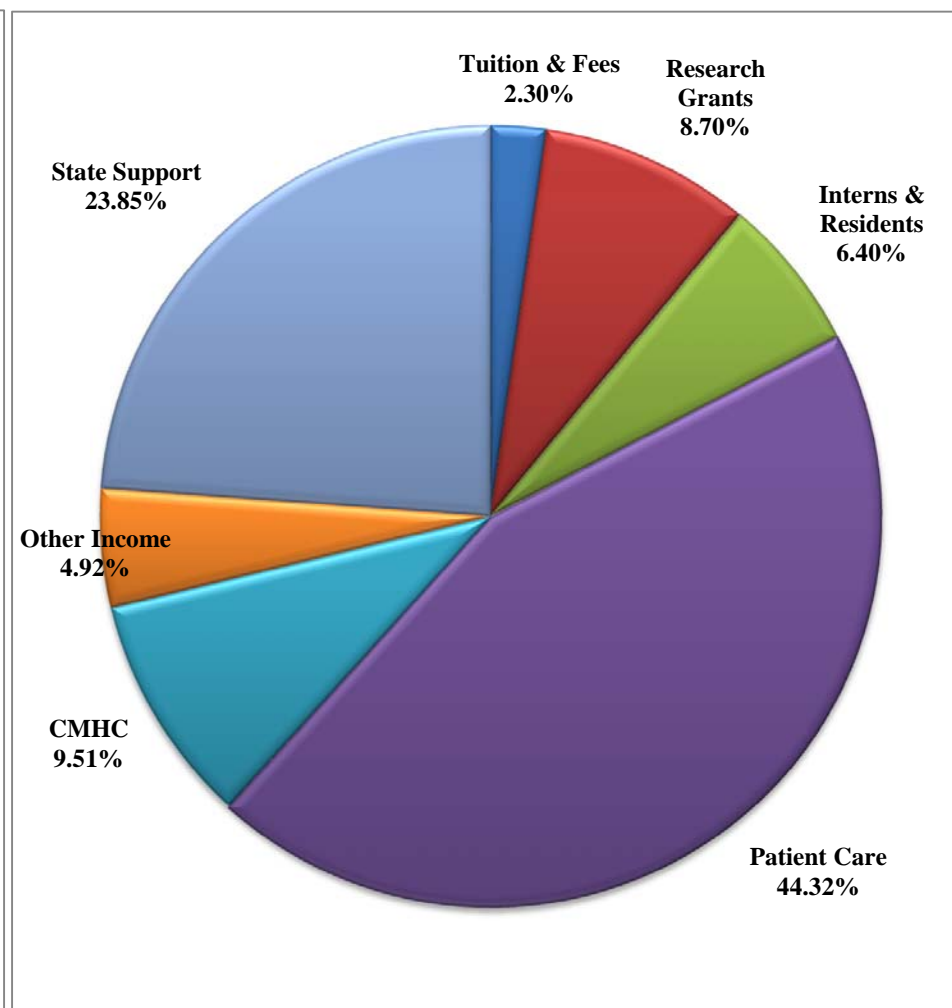
**Proposed Operating Budget
Fiscal Year 2016**

Revenues by Source

FY2016 Proposed Budget

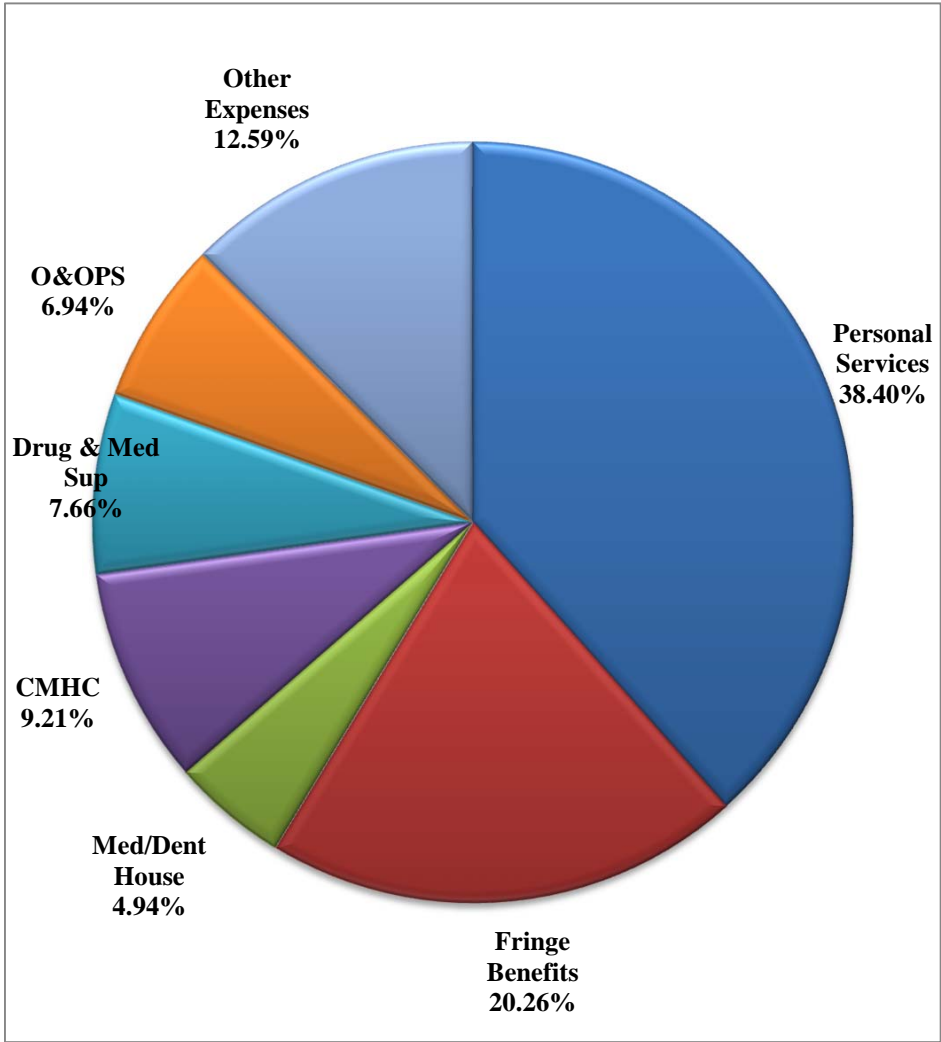


FY2015 Forecast

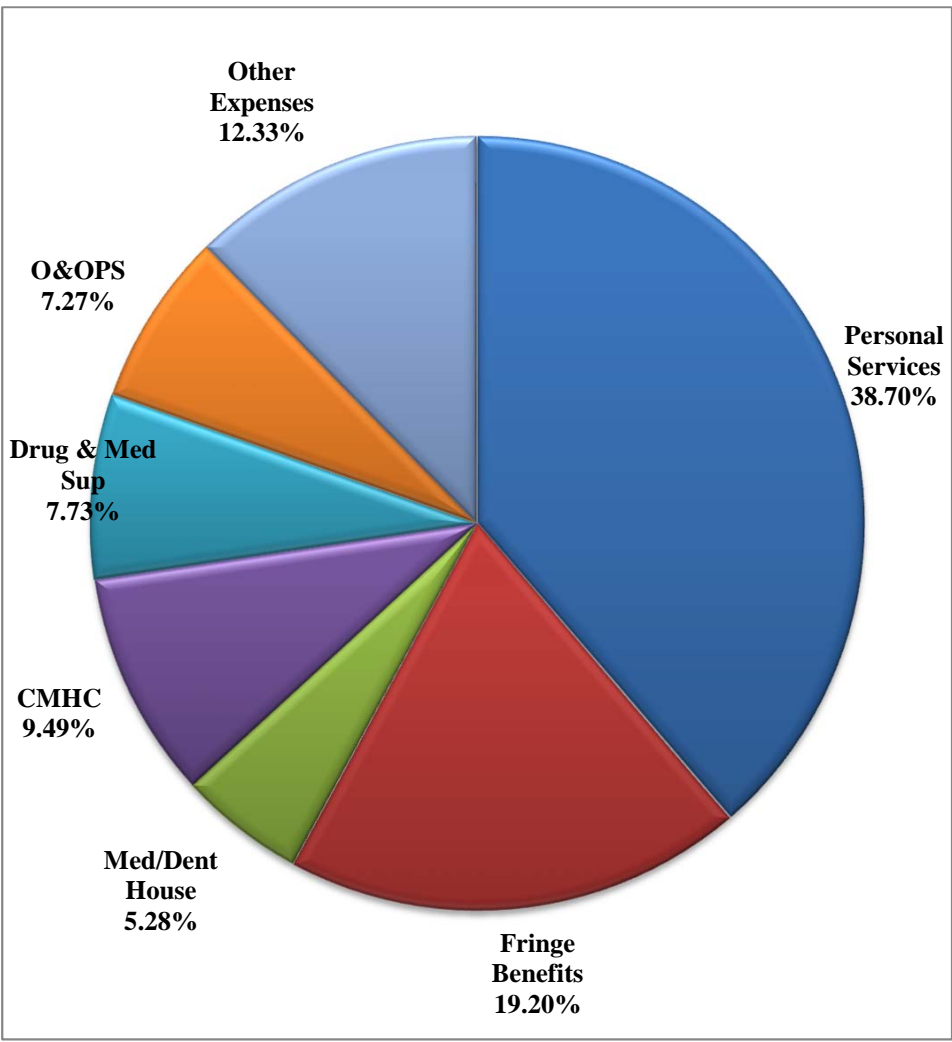


Expenses by Source

FY2016 Proposed Budget



FY2015 Forecast



Proposed Operating Budget Fiscal Year 2016 Assumptions

Revenue

- Tuition and fees \$1.2M increase for the School of Medicine (SOM) and School of Dental Medicine (SODM) assumes approved rate increase
- Federal and non federal grants revenue 3.4% decrease projected by Research Administration
- Interns and residents revenue increased by 7.8% due to higher fees and expenses for the GME program
- Net patient revenue had an overall increase of \$31.1M - UMG \$13M or 15.7% (1% rate and the remaining is volume) and JDH \$18M or 5.5% (2% rate increase, and the remaining is volume and new hospital beds)
- Correctional Managed Health Care increase of 3.8% (offset by expense increase)
- Gift & endowment income increase of \$1.8M due to an increase in foundation dollars for capital projects
- State appropriation increase of 4.5% based on final approved state budget

Expenses

- Salaries increases as follows:
 - based on SEBAC agreement (4.5% bargaining unit increases for non-faculty and 5% for AAUP faculty)
- Fringe benefit increase (estimated state retirement increase and potential hybrid plan transfers)
- Utilities, repairs and maintenance increase of \$2.0M is mainly related to a full year of the Outpatient Pavilion and new hospital for last three months
- Drugs and medical supplies increase of \$4.3M due to volume increase in the hospital
- Debt service increase of \$7.1M is due to a full year of interest expense for the Outpatient Pavilion

Consolidated Statement of Revenues and Expenses (with Eliminations)

Fiscal Year 2015 Forecast vs. Fiscal Year 2016 Proposed Budget

	Fiscal Year 2015	Fiscal Year 2016		
	Forecast	Proposed Budget	Variance	Percent Variance
<u>Revenues:</u>				
Tuition & Fees	\$ 21,483,767	\$ 22,639,548	\$ 1,155,781	5.4%
Research Grants and Contracts	81,433,508	78,704,254	(2,729,254)	-3.4%
Auxiliary Enterprises	15,466,603	16,679,182	1,212,579	7.8%
Interns and Residents	59,897,448	64,589,099	4,691,651	7.8%
Net Patient Care	414,730,362	445,808,412	31,078,050	7.5%
Correctional Managed Health Care	88,985,190	92,358,473	3,373,283	3.8%
Gift & Endowment Income	7,156,726	8,952,001	1,795,275	25.1%
Other Income	23,342,198	23,973,315	631,117	2.7%
Total Revenue	\$ 712,495,802	\$ 753,704,284	\$ 41,208,482	5.8%
<u>Expenses:</u>				
Salary Expense	\$ 362,970,433	\$ 385,113,386	\$ 22,142,953	6.1%
Fringe Benefits	180,045,549	203,252,084	23,206,535	12.9%
Medical/Dental House Staff	49,515,891	49,496,596	(19,295)	0.0%
Medical Contractual Support	19,668,552	19,387,745	(280,807)	-1.4%
Correctional Managed Health Care	88,985,190	92,358,473	3,373,283	3.8%
Temporary/Per Diem Staff	965,646	877,925	(87,721)	-9.1%
Utilities	13,027,918	14,196,164	1,168,246	9.0%
Outside & Other Purchased Services	68,157,823	69,587,879	1,430,056	2.1%
Insurance	4,635,445	4,546,851	(88,594)	-1.9%
Repair and Maintenance	9,680,855	10,534,976	854,121	8.8%
Drugs	23,841,189	26,211,684	2,370,495	9.9%
Medical Supplies	48,667,759	50,617,493	1,949,734	4.0%
Other Expenses	27,487,502	27,895,886	408,384	1.5%
Debt Service	3,395,504	10,487,210	7,091,706	208.9%
Depreciation	36,753,132	38,286,185	1,533,053	4.2%
Total Expenses	\$ 937,798,388	\$ 1,002,850,537	\$ 65,052,149	6.9%
<u>Excess/(Deficiency) of Revenues over Expenses</u>	\$ (225,302,586)	\$ (249,146,253)	\$ (23,843,667)	10.6%
State Appropriation-Block Grant	134,880,720	137,274,756	2,394,036	1.8%
GF Appropriation Rescission	(3,745,775)	-	3,745,775	-100.0%
GF RIP Appropriation	289,439	-	(289,439)	-100.0%
State Supported Fringe Benefits	91,787,656	95,908,308	4,120,652	4.5%
<u>Excess/(Deficiency)</u>	\$ (2,090,546)	\$ (15,963,189)	\$ (13,872,643)	-663.6%
Total State Support	223,212,040	233,183,064	9,971,024	4.5%
Percent of Total Revenues	23.85%	23.63%		

Budget Assumptions - Clinical JDH

Fiscal Year 2016

- **Net Patient Revenue assumes**

Summary of Net Patient Revenue Change:

	Fiscal Year 2015	Fiscal Year 2016		
	Forecast	Proposed Budget	Variance	% Variance
Average Daily Census	108.6	115.9	7.3	6.7%
Patient Days	39,634	42,416	2,782	7.0%
Discharges	9,017	9,640	623	6.9%
Adjusted Discharges	23,574	24,537	963	4.1%
Outpatient Equivalents	14,557	14,897	340	2.3%

John Dempsey Hospital Statement of Revenues and Expenses Fiscal Year 2015 Forecast vs. Fiscal Year 2016 Proposed Budget

	Fiscal Year 2015	Fiscal Year 2016		
	Forecast	Budget Proposed	Variance	Percent Variance
<u>Revenues:</u>				
Net Patient Care Revenue	\$ 324,558,278	\$ 342,550,934	\$ 17,992,656	5.5%
Other Income	23,633,612	27,017,489	3,383,877	14.3%
Total Revenue	\$ 348,191,890	\$ 369,568,423	\$ 21,376,533	6.1%
<u>Expenses:</u>				
Salary Expense	\$ 106,611,872	\$ 115,378,293	\$ 8,766,421	8.2%
Fringe Benefits	57,919,128	68,372,614	10,453,486	18.0%
Internal Contractual Support	55,067,198	62,403,034	7,335,836	13.3%
Medical/Dental House Staff	2,300,000	3,000,000	700,000	30.4%
Medical Contractual Support	4,422,414	3,787,372	(635,042)	-14.4%
Temporary/Per Diem Staff	693,007	646,059	(46,948)	-6.8%
Utilities	2,256,598	3,307,477	1,050,879	46.6%
Outside & Other Purchased Serv	31,719,825	30,929,205	(790,620)	-2.5%
Insurance	3,390,658	3,367,075	(23,583)	-0.7%
Repair and Maintenance	7,582,545	7,950,847	368,302	4.9%
Drugs	21,045,590	23,152,463	2,106,873	10.0%
Medical Supplies	35,917,746	38,084,617	2,166,871	6.0%
Other Expenses	2,260,059	3,626,196	1,366,137	60.4%
Depreciation	7,917,931	8,188,768	270,837	3.4%
Total Expenses	\$ 339,104,571	\$ 372,194,020	\$ 33,089,449	9.8%
<u>Excess/(Deficiency) of Revenues over Expenses</u>	\$ 9,087,319	\$ (2,625,597)	\$ (11,712,916)	128.9%

Budget Assumptions - Clinical UMG Fiscal Year 2016

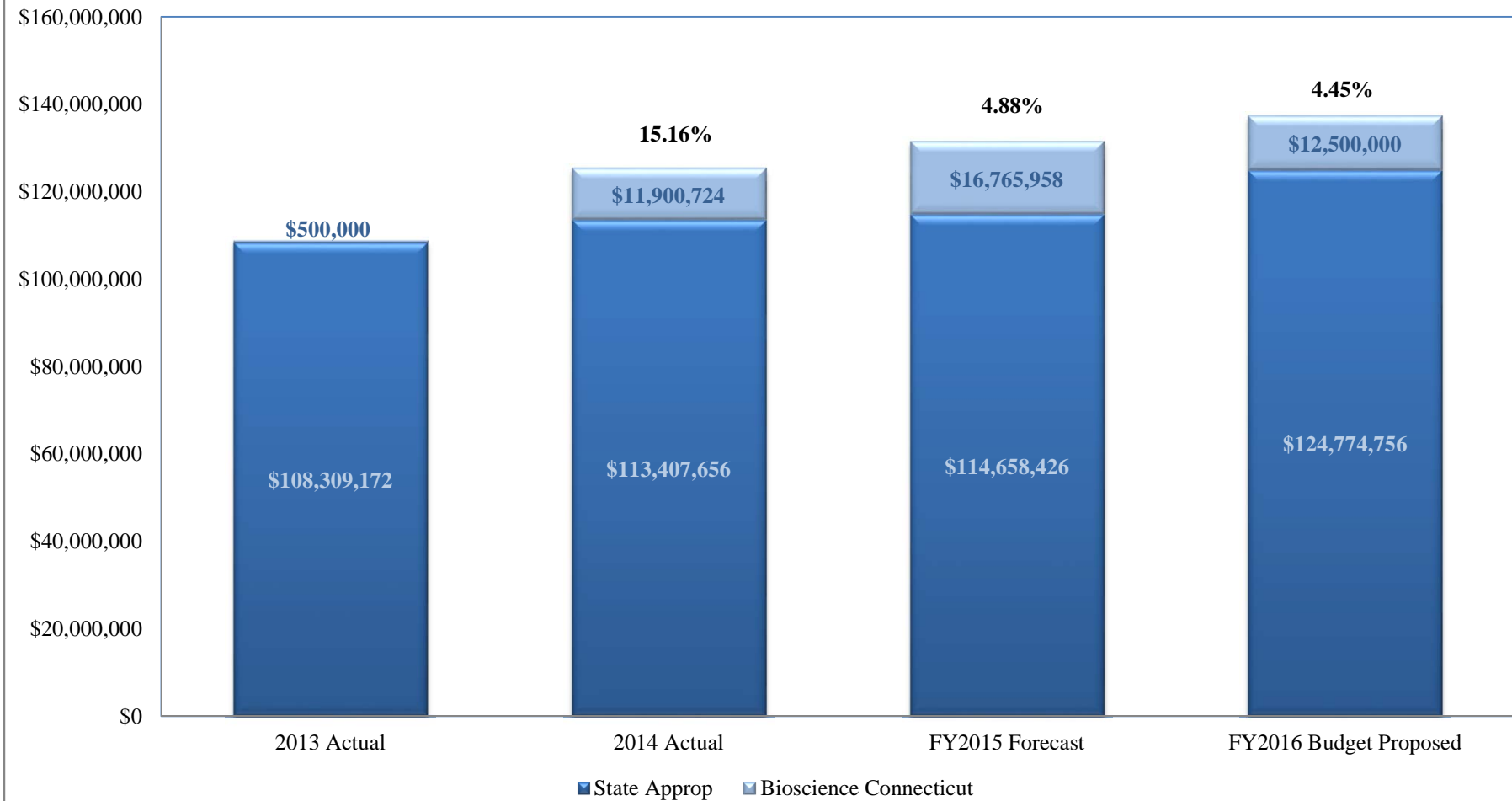
- Net Patient Revenue assumes a 1% rate increase

	Net Rev Var	Encounters Var	RVU Var	FTE Var
Summary of Net Patient Revenue Change				
FY15 Departing Providers	(1,293,190)	(11,217)	(15,965)	(4.46)
FY15 New Providers	5,111,111	38,575	54,875	18.48
Providers with FTE Decreases	(228,447)	(2,242)	(3,848)	(0.70)
Return from Maternity-Sick Leave in FY15/Retirement-Sabbatical in FY16 (net)	597,426	3,209	7,138	-
Yr 2 & 3 Ramp Ups	1,881,759	10,179	18,299	-
FY16 New Providers/Rate increase	2,920,044	33,211	32,041	9.06
Anesthesiology	943,616	1,868	-	-
Established Providers	3,153,335	26,447	34,347	-
Total increase in Net Revenue	<u>13,085,654</u>	<u>100,030</u>	<u>126,887</u>	<u>22.38</u>

UConn Medical Group Statement of Revenues and Expenses Fiscal Year 2015 Forecast vs. Fiscal Year 2016 Proposed Budget

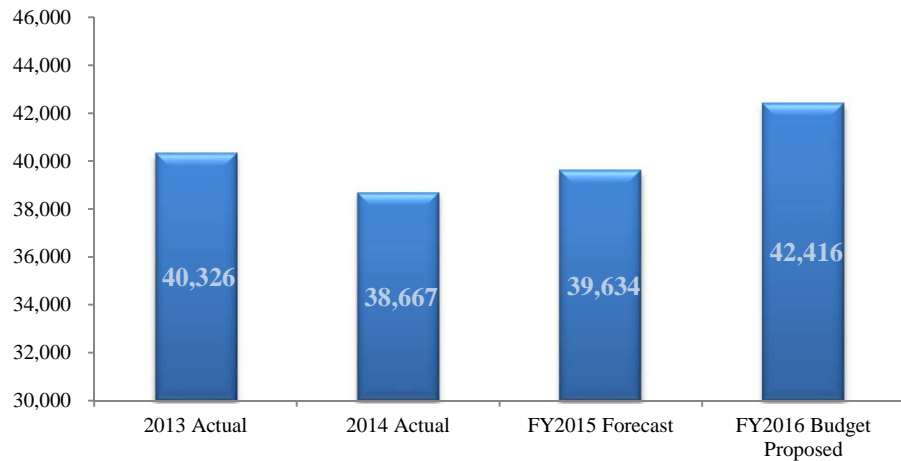
	Fiscal Year 2015	Fiscal Year 2016		
	Forecast	Budget Proposed	Variance	Percent Variance
<u>Revenues:</u>				
Net Patient Care Revenue	\$ 83,479,145	\$ 96,564,799	\$ 13,085,654	15.7%
Other Income	13,127,668	11,963,465	(1,164,203)	-8.9%
Total Revenue	\$ 96,606,813	\$ 108,528,264	\$ 11,921,451	12.3%
<u>Expenses:</u>				
Salary Expense	\$ 77,178,036	\$ 82,252,631	\$ 5,074,595	6.6%
Fringe Benefits	34,032,567	37,943,098	3,910,531	11.5%
Internal Contractual Support	6,556,769	12,114,265	5,557,496	84.8%
Medical Contractual Support	6,949,448	6,603,657	(345,791)	-5.0%
Temporary/Per Diem Staff	213,665	176,236	(37,429)	-17.5%
Utilities	240,283	245,147	4,864	2.0%
Outside & Other Purchased Serv	9,893,301	10,186,015	292,714	3.0%
Insurance	474,798	486,003	11,205	2.4%
Repair and Maintenance	850,292	949,520	99,228	11.7%
Drugs	2,695,117	2,977,050	281,933	10.5%
Medical Supplies	1,241,299	1,700,084	458,785	37.0%
Other Expenses	1,344,275	1,293,545	(50,730)	-3.8%
Depreciation	4,197,837	4,731,602	533,765	12.7%
Total Expenses	\$ 145,867,687	\$ 161,658,853	\$ 15,791,166	10.8%
<u>Excess/(Deficiency)</u> <u>of Revenues over Expenses</u>	\$ (49,260,874)	\$ (53,130,589)	\$ (3,869,715)	-7.9%

State Appropriation w/o Fringe Benefits by Fiscal Year

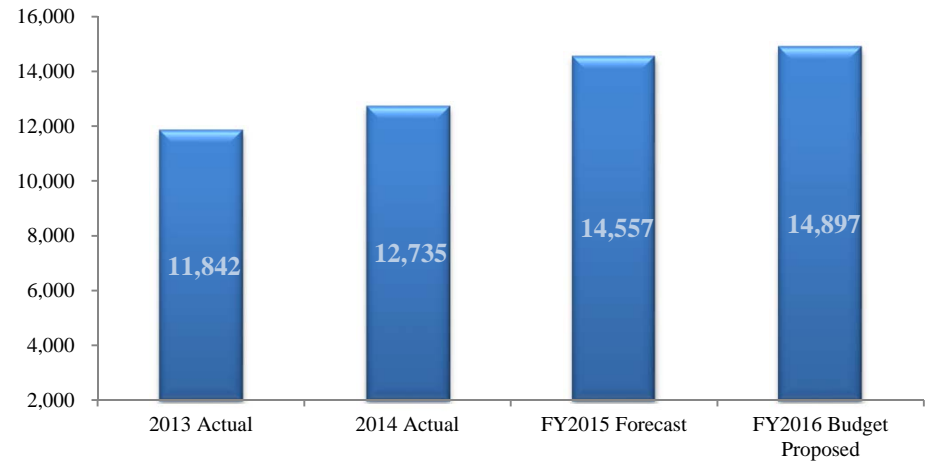


John Dempsey Hospital Statistical Graphs (Excludes NICU)

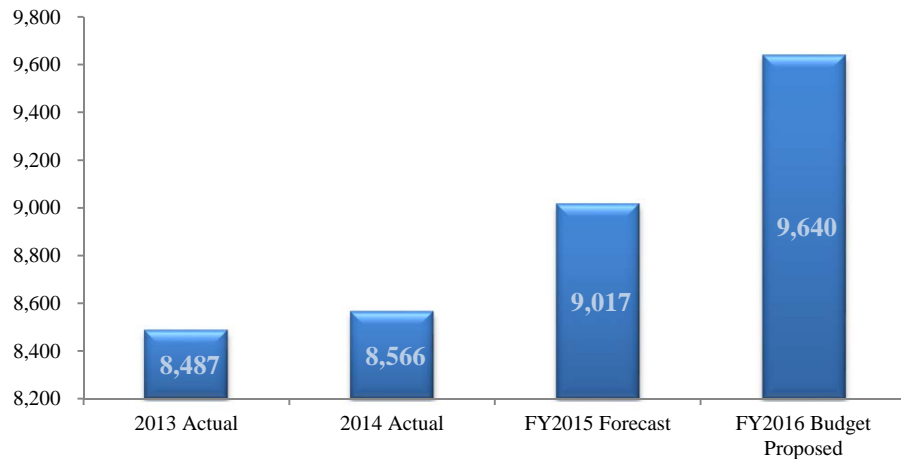
Patient Days



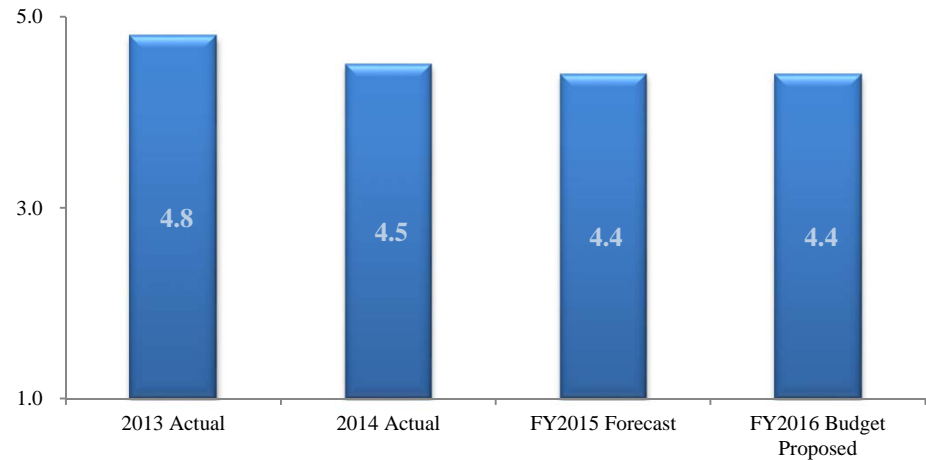
Outpatient Equivalents



Discharges



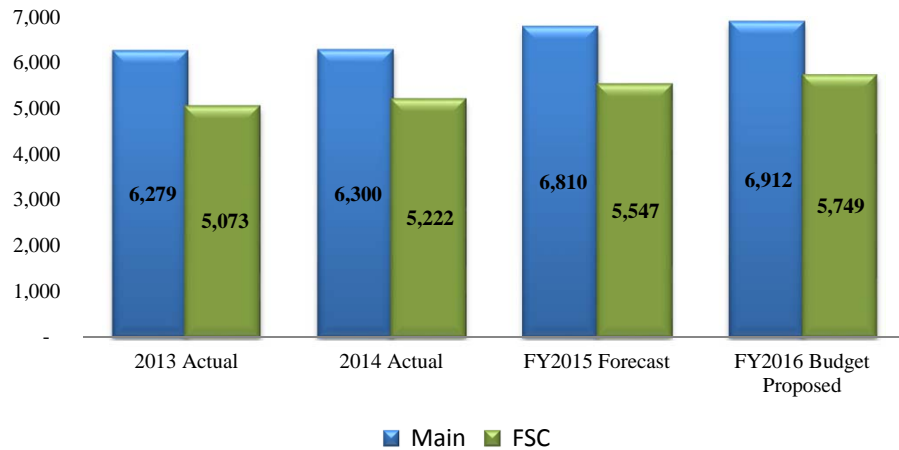
Average Length of Stay



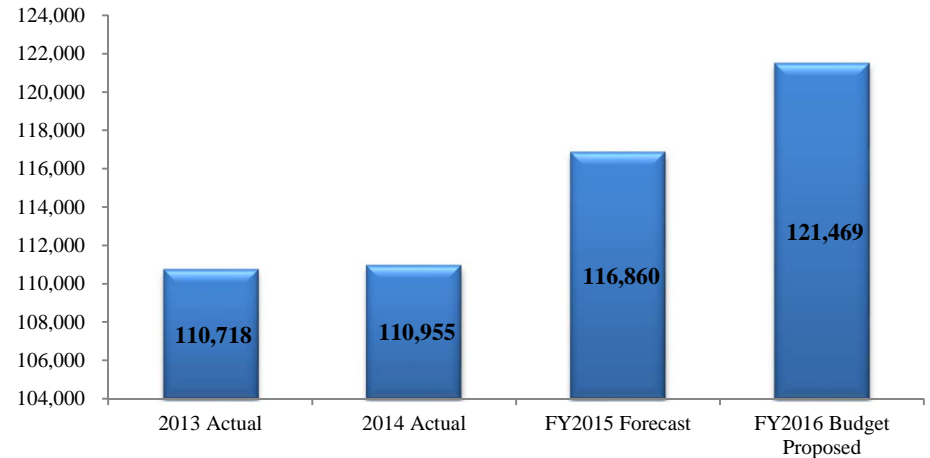
John Dempsey Hospital

Statistical Graphs (Excludes NICU)

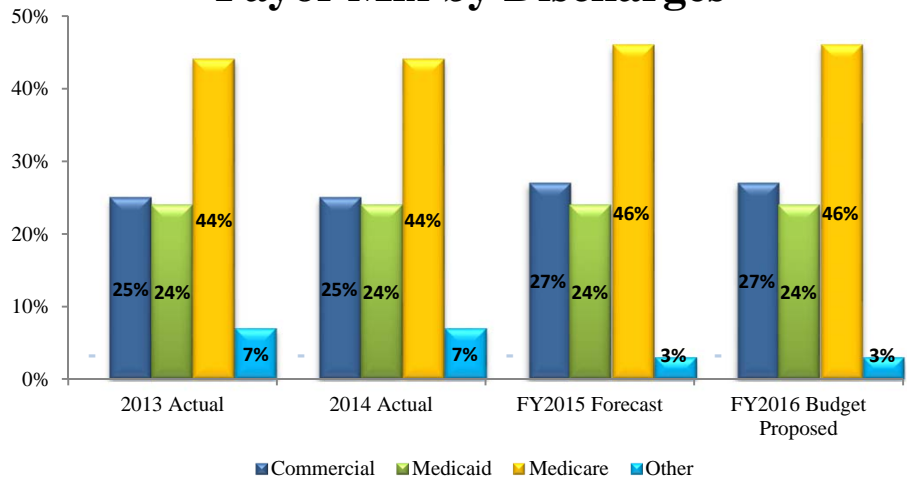
Surgical Cases



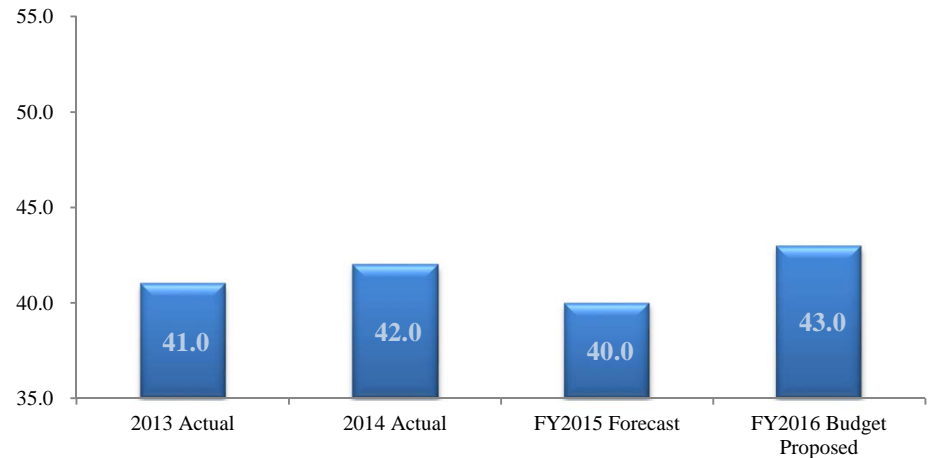
Emergency Department Visits



Payor Mix by Discharges

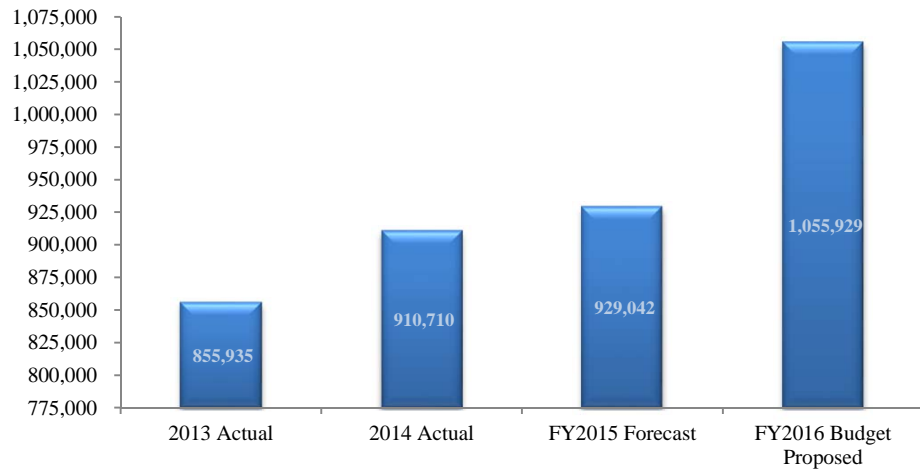


Days in Accounts Receivable

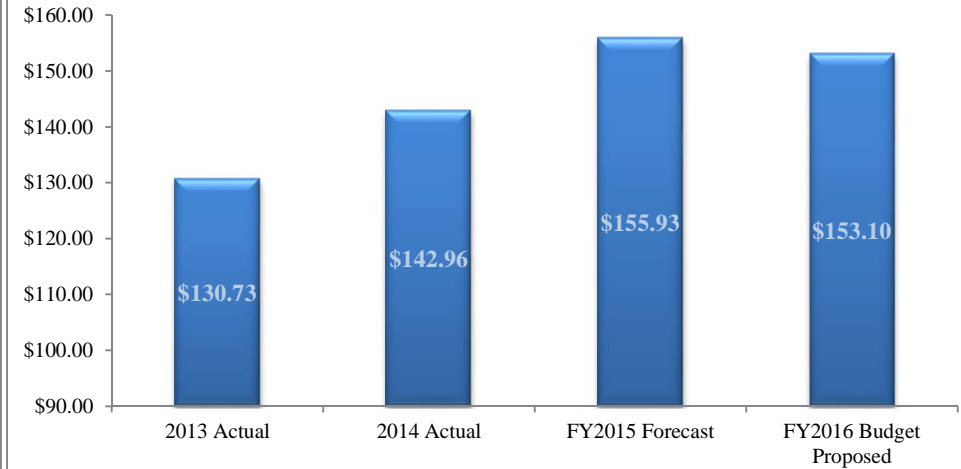


UConn Medical Group Statistical Graphs

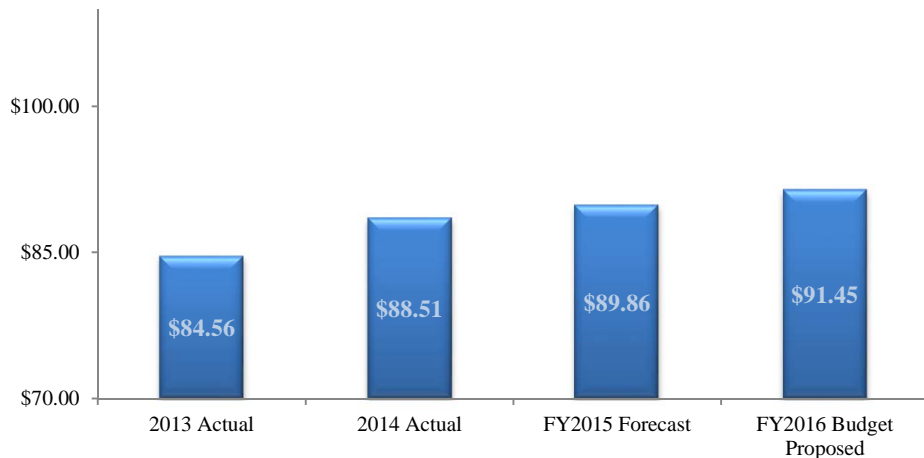
Physician RVU's



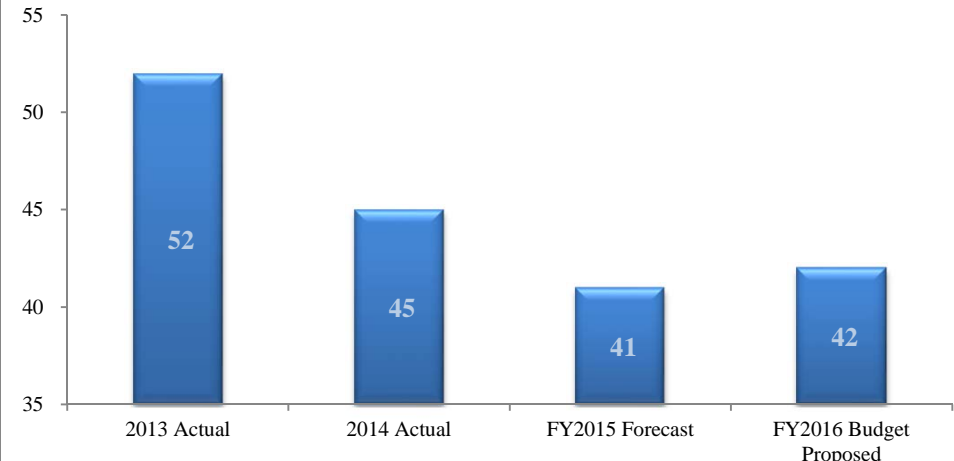
Expense Per RVU



Net Revenue Per RVU

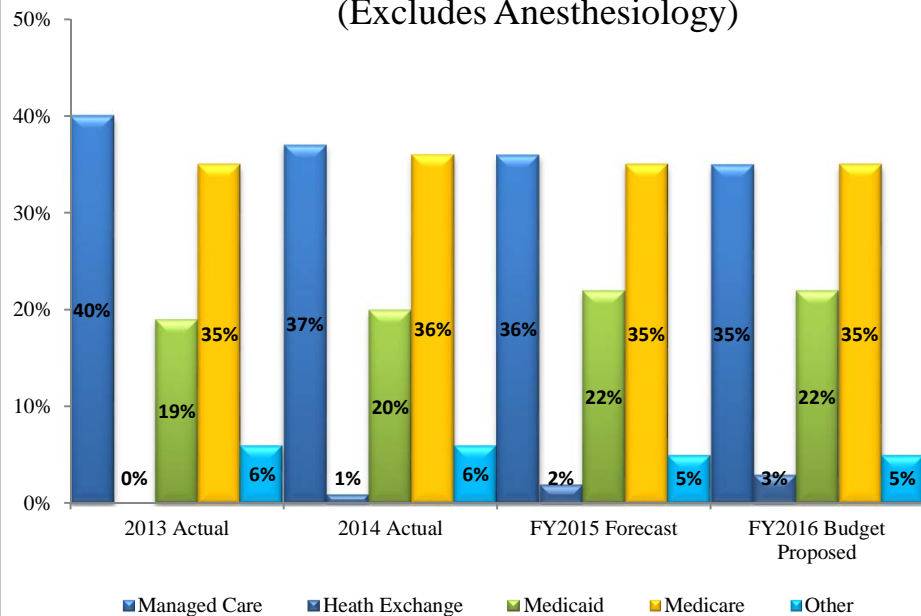


Days in Accounts Receivable

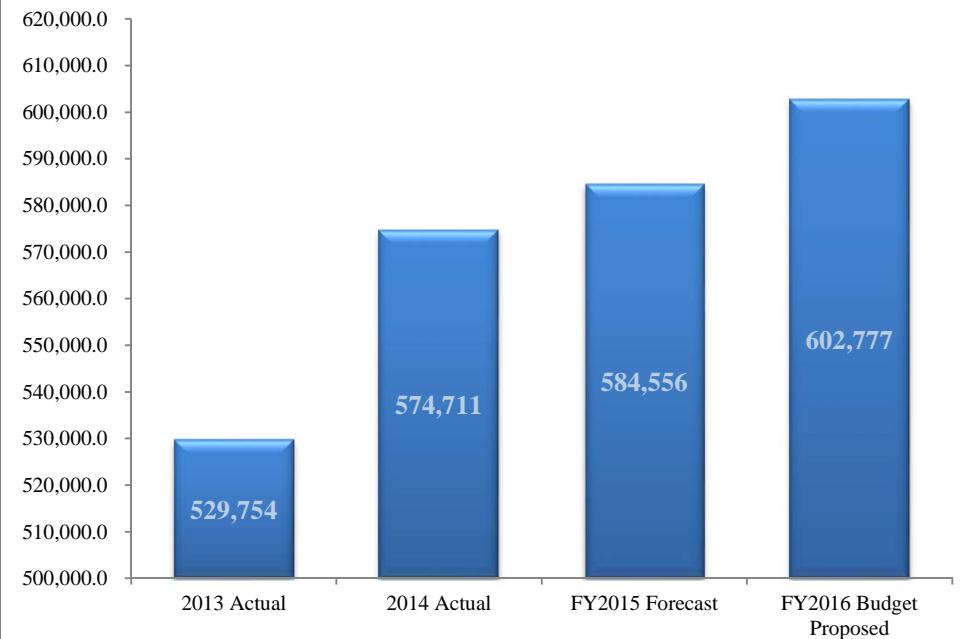


UConn Medical Group Statistical Graphs

Payor Mix by Gross Charges (Excludes Anesthesiology)

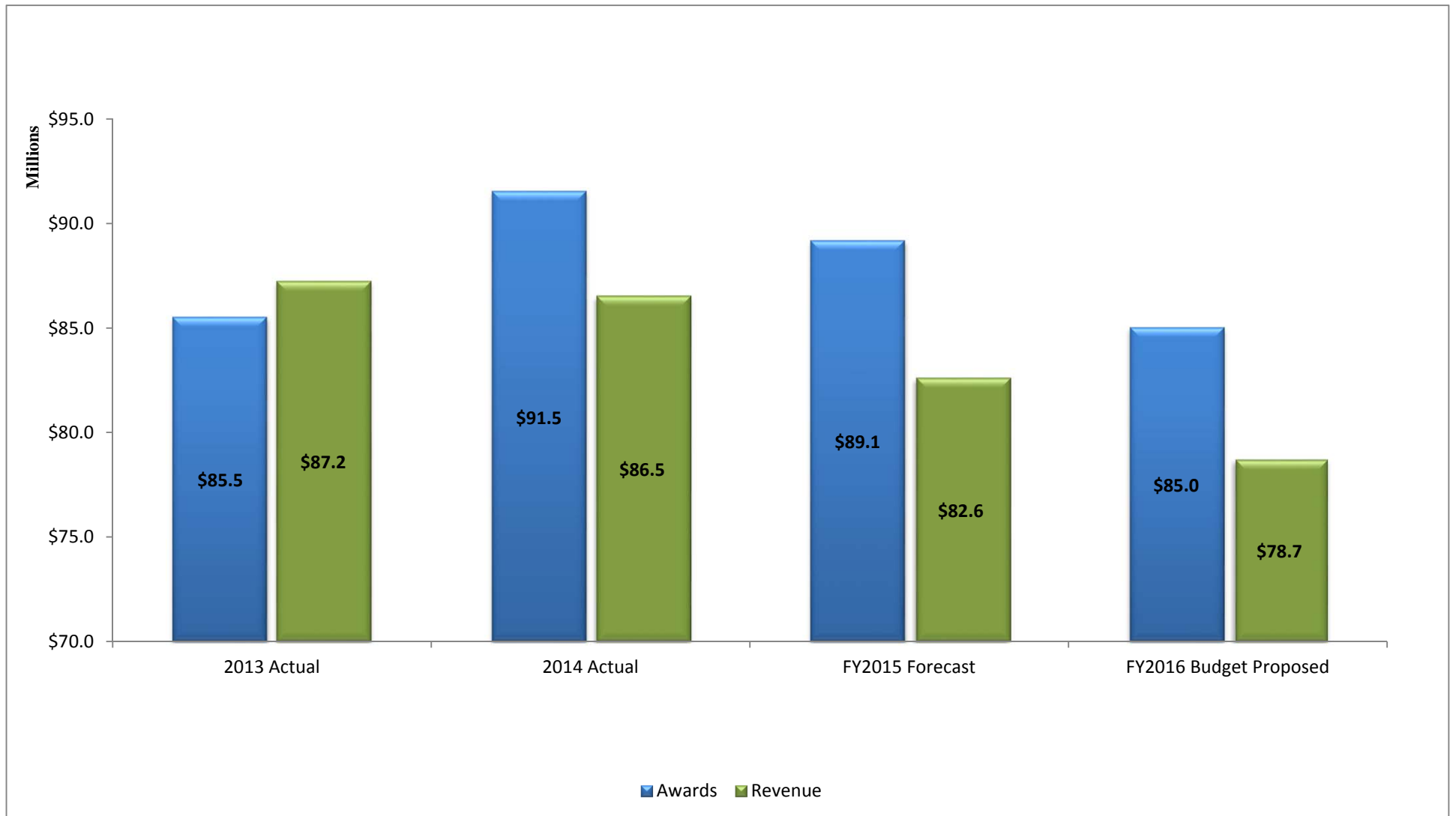


Encounters (Excludes Anesthesiology)



Research Awards and Revenue Recognition by Fiscal Year (in millions)

Graph includes the full grant amount (even if multi-year) in the year of the award




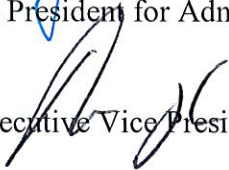
ATTACHMENT 12



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Operating Officer

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

RE: UCONN 2000 Fiscal Year 2016 Capital Budget

RECOMMENDATION:

That the Board of Trustees approve a capital budget in the amount of \$312,100,000 in UCONN 2000 General Obligation Bonds for Fiscal Year 2016.

BACKGROUND:

The proposed capital budget for UCONN 2000 Phase III for FY16 reflects the statutory authorization "cap" of \$312,100,000. This amount includes \$204,400,000 for the UConn program and \$107,700,000 for UConn Health. To support this capital activity, the Twenty-first Supplemental Indenture authorizing University of Connecticut General Obligation Bonds for the twenty-first issuance under the Master Indenture in an amount not to exceed \$312,100,000 plus cost of issuance and amounts carried forward from the Twentieth Supplemental Indenture is separately submitted to the Board for approval. As with previous issuances, these funds support cash flows for both current year projects and prior years' projects where bonding has not yet occurred.

The proposed FY16 capital budget is Attachment A. Also enclosed for your information is a document updated annually (and sometimes more frequently): the UCONN 2000 Phase III Phasing Plan, which reflects the plan by statutory named line.

The key elements underlying the revisions to the phasing plan are detailed below. These changes are driven by academic priorities, economic realities and the importance of spending bond proceeds in a timely manner.

Program & Planning Adjustments:

Adjustments have been made to the UConn preliminary phasing plan due to the Next Generation Connecticut initiative. Next Generation Connecticut is a transformational investment in the University of the sort most academic communities only dream of; it adds \$1.5 billion to the UCONN 2000 program. It will enable the University to build more laboratories, classrooms and dorms, enroll many more students, secure advanced scientific equipment, create an outstanding campus in downtown Hartford, enhance our operations in Stamford, and attend to deferred maintenance needs across all campuses. This initiative is launching UConn into the very top tier of international universities not only in the fields of Science, Technology, Engineering and Math, but in every single discipline in this modern age, where disciplines are increasingly intertwined. Planning for Next Generation Connecticut will be thoroughly integrated into academic planning for the entire University in the months and years to come.

The master plan has been completed and reflects the impacts of the projects included in the Next Generation Connecticut program, and it accounts for the development of the Storrs Campus for the twenty (20) year period between 2015 and 2035. The master plan documents the state of existing conditions on campus and recognizes issues related to land use. Space needs for academic, research, student life and administrative uses have been identified. The master plan includes recommendations for deferred maintenance and capital investments in the physical plant, and pinpoints environmental issues incorporating sustainable design principles for future development. Overall parking, circulation and transportation issues have been evaluated and will be resolved through advanced planning. Specific strategies to improve landscape quality and open spaces are integrated with all aspects of the master plan. The planning effort references the programmatic ties to the Regional campuses, but does not include separate master plans for those locations. The University has reached an agreement with the Office of Policy Management (OPM) regarding the processing of Environment Impact Evaluations (EIE's) for new construction. The projects defined in the Next Generation Connecticut program will be clustered by geography and timeline into incremental EIE's that will address the direct effects of each project and the cumulative effects of phased development of the program. The first of these EIE's will address the proposed developments located in the South Campus and establish a campus-wise baseline for the analysis of cumulative effects through 2018.

Adjustments have also been made to the phasing plan for the UConn Health projects related to the Bioscience Connecticut initiative. These adjustments align available funding with the project schedules and account for a delay in obtaining all of the anticipated funding from UConn Health operations, special eligible gifts or other sources. Scope related to the renovations to the existing Hospital and a portion of the existing Lab building is being deferred pending the funding from other sources.

Indenture Amendments:

The law specifically gives the Board the authority to make revisions to project budgets and related indentures. It would be virtually impossible to manage a twenty-nine year capital program without the authority to make such adjustments. These revisions are complex because 1) there are many projects, 2) UConn must operate within statutory annual bond caps, 3) tax-related expenditure requirements must be observed and 4) the adjustment to the equipment and deferred maintenance lines generally involves projects which span a number of years. While revisions may affect current projects, given the annual bond caps, they also have a rollout effect over the next decade. The Board of Trustees also has the authority to amend past indentures in order to reflect changes as project budgets are finalized or other

events affect the capital budget for a given prior fiscal year. At this time, changes to five Supplemental Indentures are requested.

A brief description of each of the projects in the FY16 capital budget is included below. These are very general summaries; individual project budget descriptions (which are acted upon separately) provide much more detail regarding project scope, timetable, cost and funding sources. As always, the proposed use of capital funds for UConn Health is forwarded to you with the recommendation and endorsement of UConn Health's Board of Directors, who discussed and acted on these items on June 15, 2015.

Storrs and the Regional Campuses

Biobehavioral Complex Replacement

At the Biobehavioral complex on Horsebarn Hill Road are a series of eight metal prefab buildings that are used as research laboratories. Many of the buildings are well beyond their useful life. Recently, a renovation project was completed that included repairs to both the original building and annex addition. FY16 funding is needed to replace the annex roof.

Deferred Maintenance/Code/ADA Renovation Lump Sum

The 2007 amendments to the law define the "deferred maintenance" portion of the project name as "repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair." In general, projects fall into one or more of the following categories:

- Safety, code and ADA required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walks and grounds
- Environmental remediation

Engineering/Science Building

The School of Engineering is located in several buildings, five on the main Storrs campus and four at the Depot campus. The three oldest and least renovated buildings on the main campus were built between 1959 and 1987 and can no longer support emerging interdisciplinary engineering programs such as bioengineering and nanotechnology. A planning study identified program components for a new Engineering & Science building which will be a state-of-the-art laboratory for transdisciplinary research in Bio-Nano Engineering, Cyber-Physical System Engineering, Chemical Engineering, the Institute for Systems Genomics and other Sciences that will catalyze research advances in convergence technologies. The new building will be located on the site of the Old Central Warehouse. Demolition of this building took place over the summer of 2014. Work on the new site access road and utility relocations are to begin in August 2015 in advance of the construction of the new building, which will begin in September 2015 and be completed in March 2017.

Equipment, Library Collections & Telecommunications

The enhancement of the University's infrastructure includes its instructional and scientific equipment. The equipment replacement category permits the University to replace outdated items with state of the art laboratory devices and computers. The funding encompasses seven major categories: management information systems, computers, research equipment, instructional equipment, furnishings, operational and

public safety support and library materials. Library materials are no longer purchased with UCONN 2000 funds; this expense is part of the operating budget.

Fine Arts Phase II

In 1991, a Facilities Master Plan was developed with the School of Fine Arts to identify their space needs. It was proposed that a building addition of 30,000 square feet be constructed on Coventry Road that would connect the Fine Arts Building to the Drama Music Building. Located in this new building addition would be space for expanded theater production facilities. At this point, funds have been set-aside to address façade integrity issues at the main Fine Arts Building as well as construction of the new Production Facility.

Gant Building Renovations

This complex, which includes the Institute of Materials Science, Physics and Math buildings, was completed in the early 1970's. The complex has a total of 238,000 square feet of space with offices, research labs, classrooms and computer facilities. The building now operates beyond its useful life. A major renovation or replacement of the space is required to address the physical deterioration, to update the facilities and to meet current program requirements. A recent project repaired major façade issues that impacted the safety at the two main entrances of the building. In addition, the Data Center Stabilization project has been completed. This project addressed the multiple single mechanical and electrical elements that can fail and cause the entire operating environment to crash as well as provide additional power for needed equipment upgrades. During FY16, funds will be used for the start of the design phase for the major renovation of the entire Gant complex.

Hartford Relocation Acquisition/Renovation

The Greater Hartford Campus serves the most diverse student group at UConn. The existing facilities have deteriorated and the cost to repair and restore them is tremendous. Relocating the Greater Hartford Campus to Downtown Hartford will provide enhanced service learning & internship opportunities for undergraduate & graduate education programs; expanded economic activity through increased interaction with local businesses; it will consolidate undergraduate programs, Public Administration, School of Social Work and School of Business into one downtown location; and proximity will increase transfer access for community college students. The project includes construction of a new five-story, 180,000 square foot, building on the former Hartford Times site, plus strategic space use partnerships with neighboring institutions. FY15 funding supported planning and design efforts and construction will commence in FY16.

Heating Plant Upgrade

The University completed an expansion to the existing heating plant, a new Cogeneration system in 2006. At the time of construction, space to accommodate a future chiller and emergency generator were made should the University require additional cooling, electrical standby capacity and reliability improvements. The University will need additional chilled water, emergency power for life safety as well as emergency power for business continuity purposes. FY15 funds allowed for the chilled water system and emergency power projects to continue as well as provided for replacement of the roof. The chilled water upgrade project is in construction and will be completed by March 2016. A project to add an emergency generator is nearing design completion with a planned construction start in the fall of 2015 and completion in the summer of 2016.

Jorgensen Renovation

This facility was constructed in 1956 for orchestra performances. Over the years, it has been modified to accommodate events and gatherings. The building contains five levels, including mezzanine levels above the basement and first floor. With a total of 76,408 square feet of space, the lower floor houses the Little Theatre, the Jorgensen Gallery, and a television studio. The upper floor contains a 2,600-seat auditorium,

lobby areas, and support facilities. At this point, FY16 funding will provide support for limited repairs and renewal of the HVAC system.

Koons Hall Renovation/Addition

Benjamin Franklin Koons Hall was constructed in 1915 and houses the Allied Health programs. It is 28,600 square feet on five levels with classrooms, offices and labs. Within the past ten years, masonry repointing and installation of an elevator were completed. The building is in need of general interior renovation work including HVAC, lighting and utility upgrades, window and door replacements, and new finishes. FY16 funding will support repairs to the roof.

Law School Renovations/Improvements

In May 2000, as part of a plan to undertake a renovation of the Starr building (former Law Library building), a facility program was developed for all original campus buildings: Starr Hall, Knight Hall, Hartranft Hall and Hosmer Hall. As part of the UCONN 2000 program, a \$6,000,000 renovation of Starr Hall was completed. The remaining buildings, formerly a seminary, have extraordinarily beautiful exteriors with severely outdated and cramped interior quarters; many student organization and outreach activities, as well as faculty offices, are in closet-like warrens never renovated. This funding will support the Hosmer Hall elevator modernization as well as façade restoration.

Mansfield Training School Improvements

The Mansfield Training School site, also known as the Depot Campus, has a variety of facilities in mostly fair to poor condition. Several of the buildings have been moderately renovated to serve as incubator or transition space for some academic and administrative purposes, some spaces to be used as storage facilities, and others to be used by operations for maintenance shops, storage and office space. Some of the oldest facilities are no longer in use, have been permanently closed and are in various stages of disrepair and degradation. This project will stabilize some of the facilities that comprise the former Mansfield Training School. Funding to date has been used for renovations in the Longley building (for Engineering research functions and the Technology Incubator Program), the Thompson building (for Fine Arts functions), Merritt Hall (for research incubator technology programs and other administrative activities), a campus-wide high voltage electrical system, mechanical and electrical system improvements to various cottages, roof repairs and the construction of new student recreation fields. Additional renovations, electrical improvements and demolition of uninhabitable buildings will be included in later years of the program. In addition to the improvements that have been made to the useable facilities outlined above, the next phase of work will focus on identifying the buildings to be demolished, securing the buildings that will remain but are not actively used in the near term, and developing a strategy for the long term university use of the property.

Parking Garage #3

The University's Facilities Master Plan identified the need for and recommended a proposed site for a third parking garage. In the UCONN 2000 program, the North Parking Garage was constructed in the north side of the campus and the South Parking Garage was constructed in the campus core next to Gampel Pavilion. The location of this third garage will be synchronized with the development of a new research building to be located on the surface parking lot north of the North Garage. The new parking garage will be sited in a location that will serve the entire future development of the Northwest Science Quadrant.

Residential Life Facilities

This named project represents the overarching authorization to undertake activities to provide housing and dining facilities for the University's students. Although the quantity and the diversity of campus living arrangements were expanded under the first two phases of UCONN 2000, much remains to be done. Some renovations of the older dormitories, code improvements and sprinkler installations were accomplished.

Multiple projects were completed for the installation of sprinkler systems, replacement of elevators, as well as windows and roofs in various residential facilities. The developments of two new residence halls are currently in the design and construction stages. One residence hall will be dedicated to the STEM initiative and have a living/learning community, as well as, approximately 700 beds. A bridging architect was chosen, completed Concept Design and the project was out to bid and awarded. Construction commenced in November 2014 with the current target completion date for the project in the fall 2016. The second residence hall will house Honors students and is in the middle of the design development stage. The project is located on the South side of campus and construction is currently anticipated to start in the spring 2016. In addition to funding these ongoing projects, FY16 funding will support façade repairs at the South Campus complex as well as other deferred maintenance needs in all of the residential facilities.

UConn Health

Deferred Maintenance/Code/ADA Renovation Lump Sum

The 2007 amendments to the law define the “deferred maintenance” part of the project name as “repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair.” In general, projects fall into one or more of the following categories:

- Safety, code and ADA required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walks and grounds
- Environmental remediation

Equipment, Library Collections & Telecommunications

These funds are allocated to support the UConn Health’s equipment, needs and telecommunications infrastructure improvements. More specifically, the project line covers computers, management information systems, research equipment, instructional equipment, furnishings, and operational and public safety support. Outmoded items must be replaced with equipment that is necessary to support research and instructional activities, maintain building compliance, conserve energy and provide a safe environment for the students, staff, and those who use UConn Health services.

Main Building Renovation

UConn Health’s Main building includes access areas used by the general public as well as research, academic and clinical space. The focus of this renovation is the building’s research facility and major building mechanical systems. The research area of the facility consists of seven floors, which house over 200 laboratories and support space. Over the life of the building, no substantial renovations or upgrades have been undertaken.

An early phase of this project, the Clinical Skills Renovation, was completed in December 2007. This project renovated a portion of the Main Building to allow for the relocation and expansion of the Clinical Skills teaching program. The expanded program includes the use of a life-size programmable mannequin with a computerized graphical user interface used to teach clinical and decision making skills during realistic patient care scenarios.

The final work for the Main Building renovation focuses on UConn Health’s largest research facility, the “L” (LAB) building, which houses over 200,000 square feet of research labs and support space. The goal

of the project is the phased replacement of the building heating and air conditioning, electrical, and plumbing systems and renovations to the lab spaces across seven floors of the building.

The renovations will be completed in two multi-phased projects. Construction for Project 1 began December 2012 and is now 80% complete. This project is expected to be complete in August 2015.

Planning for Project 2 is 50% complete and construction is anticipated to begin in early 2016. Project 2 will renovate approximately 60,000 square feet of lab space. Work related to renovations of an additional 34,000 square feet of lab area is deferred pending funding from non-bond fund sources.

UCH New Construction and Renovation

The existing John Dempsey Hospital (JDH) building lacks the capacity to accommodate evolving standards of care, new technologies and patient/provider expectations. Since construction completion in 1972, JDH's physical plant infrastructure, including mechanical, electrical, plumbing, HVAC and fire alarm systems and telecommunication cabling, has never been substantially renovated. The addition and renovation will provide a new state of the art platform, including robust information technology systems, and new essential medical equipment for the delivery of healthcare and the education of the State's medical and dental students.

Under this project, construction is underway for a new 169 patient bed tower as an addition to the existing main Hospital (H) Building. The addition will include space for 13 new operating rooms and a new 42 bay Emergency Department. The renovation work will relocate the Clinical Lab and the Clinical Pharmacy programs and will replace or refurbish the mechanical and electrical infrastructure for much of the existing H building.

The project is being implemented in phases as follows:

- Phase 1: New Parking Garage 3 and site utility work. This phase was completed in April 2013.
- Phase 2: Construction of the new bed tower, Emergency Department, Operating Room suite, and the new Parking Garage2. Construction is 65% complete and scheduled for completion in January 2016.
- Phase 3: Renovations to the existing Hospital (H) building. Work related to this phase is deferred pending funding from non-bond found sources.

UCH New Construction and Renovation: Clinic (C Building) Renovations:

This project is in design and the scope of work includes renovations for the Dental School, the Pat and Jim Calhoun Cardiology Center, the Clinical Research Center, and a multi-specialty clinic area. In addition to the program renovations, the mechanical, electrical and plumbing systems serving these areas will be replaced or upgraded. The design schedule was impacted by changes in scope related to the pharmacy, clinical lab, and dental clinics. Design work will continue through October 2015 and construction will follow in early 2016.

UCONN 2000 Year 21 Proposed FY 2016 Authorized Projects

Storrs & Regional Campuses

<u>Project Name</u>	<u>Phase III - FY16</u>
Biobehavioral Complex Replacement	250,000
Deferred Maintenance/Code/ADA Renovation Lump Sum	33,784,957
Engineering Building	23,228,229
Equipment, Library Collections & Telecommunications	22,868,855
Fine Arts Phase II	9,832,621
Gant Building Renovations	2,870,759
Hartford Relocation Acquisition/Renovation	33,575,000
Heating Plant Upgrade	980,176
Jorgensen Renovation	1,500,000
Koons Hall Renovation/Addition	800,000
Law School Renovations/Improvements	1,000,000
Mansfield Training School Improvements	1,500,000
Parking Garage #3	250,000
Residential Life Facilities	71,959,403
Subtotal of Storrs & Regional Campuses	<u>\$ 204,400,000</u>

UConn Health

<u>Project Name</u>	<u>Phase III - FY16</u>
Deferred Maintenance/Code/ADA Renovation Sum	3,219,345
Equipment, Library Collections & Telecommunications	4,150,125
Main Building Renovation	9,149,518
UCH New Construction and Renovation	91,181,012
Subtotal of UConn Health	<u>\$ 107,700,000</u>

Grand Total FY 2016 **\$ 312,100,000**


<p style="text-align: center;">UConn 2000 Phase III</p> <p style="text-align: center;">Draft Phasing Plan for Informational Purposes Only - Revised 6/24/15</p>				
Project	FY05-FY15	FY16	FY17-FY24	Total Phase III
Academic and Research Facilities	\$ 10,024,327	\$ -	\$ 489,843,902	\$ 499,868,229
Arjona and Monteith (new classroom buildings)	119,570,963	-	11,672,816	131,243,779
Avery Point Campus Undergraduate & Library Building	10,585,532	-	-	10,585,532
Avery Point Renovation	8,631,006	-	16,702,622	25,333,628
Beach Hall Renovations	5,397,695	-	-	5,397,695
Benton State Art Museum Addition	2,903,509	-	-	2,903,509
Biobehavioral Complex Replacement	3,339,141	250,000	-	3,589,141
Bishop Renovation	3,827,302	-	-	3,827,302
Deferred Maintenance/Code/ADA Renovation Lump Sum	224,704,109	33,784,957	388,065,438	646,554,504
Engineering Building	27,970,913	23,228,229	43,959,908	95,159,050
Equipment, Library Collections & Telecommunications	113,641,496	22,868,855	110,831,145	247,341,496
Family Studies (DRM) Renovation	2,868,306	-	-	2,868,306
Farm Buildings Repairs/Replacement	6,618,342	-	-	6,618,342
Fine Arts Phase II	4,601,509	9,832,621	12,302,000	26,736,130
Floriculture Greenhouse	6,691,799	-	-	6,691,799
Gant Building Renovations	16,325,000	2,870,759	141,300,725	160,496,484
Gentry Completion	9,628,209	-	-	9,628,209
Hartford Relocation Acquisition/Renovation	16,425,000	33,575,000	65,000,000	115,000,000
Heating Plant Upgrade	12,703,824	980,176	18,369,824	32,053,824
Intramural, Recreational & Intercollegiate Facilities	31,009,921	-	-	31,009,921
Jorgensen Renovation	2,234,475	1,500,000	-	3,734,475
Koons Hall Renovation/Addition	1,115,057	800,000	-	1,915,057
Lakeside Renovation	3,800,000	-	-	3,800,000
Law School Renovations/Improvements	15,785,625	1,000,000	-	16,785,625
Manchester Hall Renovation	846,302	-	-	846,302
Mansfield Training School Improvements	3,000,000	1,500,000	6,332,533	10,832,533
Natural History Museum Completion	500,000	-	-	500,000
North Hillside Road Completion	8,200,000	-	-	8,200,000
North Superblock Site and Utilities	-	-	41,469,428	41,469,428
Old Central Warehouse	126,000	-	-	126,000
Parking Garage #3	106,034	250,000	69,609,927	69,965,961
Psychology Building Renovation/Addition	24,608,550	-	-	24,608,550
Residential Life Facilities	62,109,439	71,959,403	71,821,233	205,890,075
School of Pharmacy/Biology Completion	6,000,000	-	-	6,000,000
Stamford Campus Improvements/Housing	3,870,616	-	6,800,000	10,670,616
Storrs Hall Addition	14,815,570	-	-	14,815,570
Student Union Addition	13,000,000	-	-	13,000,000
Support Facility (Architectural & Engineering Services)	16,583	-	-	16,583
Torrey Renovation Completion & Biology Expansion	1,937,868	-	12,294,349	14,232,217
Torrington Campus Improvements	369,156	-	-	369,156
Waterbury Downtown Campus	1,899,783	-	-	1,899,783
West Hartford Campus Renovations/Improvements	6,774,305	-	-	6,774,305
Young Building Renovation/Addition	23,640,884	-	-	23,640,884
Subtotal Storrs & Regional Campuses	\$ 832,224,150	\$ 204,400,000	\$ 1,506,375,850	\$ 2,543,000,000
CLAC Renovation Biosafety Level 3 Lab	16,835,000	-	-	16,835,000
Deferred Maintenance/Code/ADA Renovation Sum-Health Center	41,673,522	3,219,345	3,660,122	48,552,989
Dental School Renovation	3,525,000	-	-	3,525,000
Equipment, Library Collections & Telecommunications-Health Center	60,554,265	4,150,125	3,725,000	68,429,390
Library/Student Computer Center Renovation	1,266,460	-	-	1,266,460
Main Building Renovation	88,276,500	9,149,518	22,679,657	120,105,675
Medical School Academic Building Renovation	34,447,500	-	4,599,988	39,047,488
Planning & Design Costs	25,000,000	-	-	25,000,000
Research Tower	68,580,997	-	-	68,580,997
Support Building Addition/Renovation	100,000	-	-	100,000
UCH New Construction and Renovation	259,416,606	91,181,012	35,859,383	386,457,001
Subtotal for UConn Health	\$ 599,675,850	\$ 107,700,000	\$ 70,524,150	\$ 777,900,000
Grand Total	\$ 1,431,900,000	\$ 312,100,000	\$ 1,576,900,000	\$ 3,320,900,000

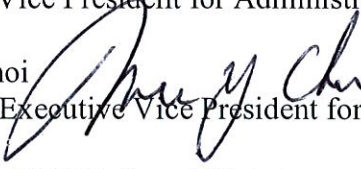
ATTACHMENT 13



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Fiscal Year 2016 Deferred Maintenance/Code/ADA Renovation
Lump Sum Project List

RECOMMENDATION:

That the Board of Trustees approve the Deferred Maintenance/Code/ADA Renovation Lump Sum Project List for FY16 in the total amount of \$33,784,957 for UConn and \$3,219,345 for UConn Health.

BACKGROUND:

The attached FY16 proposed Deferred Maintenance/Code/ADA Renovation Lump Sum Project lists for UConn and UConn Health represent the priority projects for the campuses. Deferred Maintenance includes repairs of infrastructure or structures that were not maintained, repaired or replaced in the usual course of maintenance and repair. It is critical that this work be performed at the required intervals to ensure acceptable facility conditions to support the expected life cycle of our assets. While the University has been aggressively identifying and funding the priority deferred maintenance projects, this category is significantly underfunded due to the size and value of the campuses.

It is anticipated that during the fiscal year some projects may change in priority, scope and cost. There may also be unexpected additions, since the Deferred Maintenance budget is often the appropriate means to address emergencies. It is for this reason that the Board reviews and acts upon Deferred Maintenance twice every year: a proposed list for the coming fiscal year and a final list for the fiscal year just closed. Board of Trustee policy requires that an annual contingency be reserved for budget over runs which, in some cases, is not utilized if the project is completed at or below budget. Upon project close out, these funds are retained in deferred maintenance reserve for reallocation at a later date.

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

The UConn Health Board of Directors, at its June 15, 2015 meeting, endorsed and recommended the UConn Health project list.

All capital projects costing \$500,000 or more are submitted for Board action on a project by project basis.

The proposed lists for FY16 are attached for your consideration and approval.

**University of Connecticut
Storrs & Regional Campuses
FY16 Deferred Maintenance/Code/ADA Renovation Lump Sum Projects**

Buildings

Annual Lifecycle - Building Envelope (Windows, Facades, Roofs) Repairs	\$1,000,000
Annual Lifecycle - Classroom Renewals	250,000
Annual Lifecycle - Elevator Renewals, Replacements & Upgrades	900,000
Annual Lifecycle - Life Safety System Renewals	500,000
Annual Lifecycle - Mechanical, Electrical, Plumbing Repairs, Replacements & Upgrades	1,300,000
Bio-Physics - Laboratory Hood Control System Renewal: Phase II	300,000
Bio-Physics - Sprinkler Corrosion Protection Repair	300,000
Fats, Oil and Grease Compliance - Phase II	900,000
Gampel - Chiller Replacement	1,400,000
Gampel - Dome Ceiling Repair	360,000
Phillips - Air Distribution & Lighting System Upgrades	400,000
Subtotal	\$7,610,000

Infrastructure

Annual Lifecycle - Utility Renewals, Replacements, Upgrades	\$1,700,000
Hillside/Gilbert/Academic Way Infrastructure Repair & Replacement	253,800
North West Quadrant Infrastructure Repair & Replacement	785,700
Sewer Line Replacement	757,980
Water Line Replacement - Phase II	2,117,691
Water Pollution Control Facility Priority Two Repairs	520,892
Subtotal	\$6,136,063

Code / ADA

Code Corrections	\$2,700,000
Environmental Compliance-Asbestos Abatement, Mold Remediation & Restoration	900,000
Subtotal	\$3,600,000

Access, Appearance & Safety

Annual Landscape Maintenance & Repair	\$1,000,000
Strategic Campus Imaging	450,860
Strategic Landscape Programs	1,029,641
Surface Parking Repairs	785,056
Subtotal	\$3,265,556

Renovation and Lump Sum Projects

Bergin Property Renovation	\$2,160,000
New Faculty Programmatic Renovations	900,000
Putnam Refectory Renovation	6,834,343
Subtotal	\$9,894,343

Total Project Allocations	\$30,505,961
Emergency / Reserve	3,278,996
Total	\$33,784,957

UConn Health
Farmington Campus
FY16 Deferred Maintenance/Code/ADA Renovation Lump Sum Projects


Deferred Maintenance - Buildings/Infrastructure

Repairs to Plant Equipment	\$600,000
Boiler and Deaerator Tank Replacement	2,200,000
Grounds Improvements (sidewalk and pavement repairs)	<u>100,000</u>
Total Project Allocations	\$2,900,000
Emergency/Reserve	<u>319,345</u>
Total	\$3,219,345

ATTACHMENT 14

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Twenty-First Supplemental Indenture Authorizing University of Connecticut
General Obligation Bonds

RECOMMENDATION:

That the Board of Trustees approves the Twenty-first Supplemental Indenture, substantially in the form attached hereto, authorizing University of Connecticut General Obligation Bonds secured by the State of Connecticut's (the "State") Debt Service Commitment in an amount not to exceed \$312,100,000 plus costs of issuance, plus amounts carried forward from the Twentieth Supplemental Indenture.

BACKGROUND:

The University of Connecticut's (the "University") General Obligation Bonds authorized by the UCONN 2000 Act (Sections 10a-109a to 10a-109y, inclusive, of the Connecticut General Statutes, as amended) are secured by a Master Indenture of Trust by and between the University and U.S. Bank National Association, dated as of November 1, 1995, as amended (the "Master Indenture") which provides that each new issue of bonds be issued pursuant to a supplemental indenture. For bonds secured by the State Debt Service Commitment, the law sets maximum annual amounts that the University, through its Board of Trustees, may issue.

The Twenty-first Supplemental Indenture authorizes the appropriations for and issuance of bonds in the maximum amount of \$312,100,000 plus costs of issuance to finance fiscal year 2015 Phase III projects, plus amounts carried forward from the Nineteenth Supplemental Indenture. Phase III includes projects at Storrs, the regional campuses and the UConn Health Center.

The Twenty-first Supplemental Indenture also authorizes that the exact amount of the bonds be determined at the time of issuance depending on cash expenditure requirements for twelve months or less following issuance. Appendix A of the Twenty-first Supplemental Indenture lists the UCONN 2000 projects that may be financed by the bonds (excluding the projects financed by the carry forward amounts).

This recommendation, if approved, will serve as the Board of Trustees' resolution for approval of the Twenty-first Supplemental Indenture and for the series of bonds to be issued in accordance therewith. The resolution, with supplemental information, as appropriate, will be sent to the Governor for approval. If the Governor chooses not to exercise his statutory authority to approve or disapprove the resolution within 30 days of its submission, it will be deemed approved in accordance with the Act.

UNIVERSITY OF CONNECTICUT

as Issuer

and

U.S. BANK NATIONAL ASSOCIATION

as Trustee

TWENTY-FIRST SUPPLEMENTAL INDENTURE

AUTHORIZING

THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION BONDS

(Secured by the State Debt Service Commitment)

Dated as of _____

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**TWENTY-FIRST SUPPLEMENTAL INDENTURE
AUTHORIZING THE ISSUANCE OF
THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION BONDS
(SECURED BY THE STATE DEBT SERVICE COMMITMENT)**

ARTICLE I

Definitions and Statutory Authority

101. **Twenty-first Supplemental Indenture.** This Twenty-first Supplemental Indenture authorizing the Bonds is supplemental to, and constitutes a Supplemental Indenture within the meaning of, and is adopted in accordance with Article X of the General Obligation Master Indenture of Trust between the University of Connecticut (the “University”) and the Trustee dated as of November 1, 1995 (the “Indenture”) as amended and supplemented to the date hereof, the form of which was approved by the State Bond Commission as required by Section 10a-109g of the General Statutes of Connecticut.

102. **Definitions.** All terms defined, and the rules of construction set forth, in Article I of the Indenture shall have the same meanings in this Twenty-first Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-first Supplemental Indenture, the following terms shall have the following respective meanings, unless the context shall otherwise require:

“**Authorized Officer’s Certificate**” means a copy of a resolution of the Board of Trustees certified by an Authorized Officer.

“**Authorized Officer for Sale Purposes**” means the Authorized Officer, who shall be an officer, official or trustee serving on the financial affairs committee of the Board of Trustees.

“**Bond Insurance Policy**” means the municipal bond insurance policy, if any, issued by the Bond Insurer that guarantees payment of principal of and interest on the Bonds and constitutes a Bond Facility under the Indenture.

“**Bond Insurer**” means a financial guaranty insurance company, if any, or any successor thereto which insures the Bonds as provided in the Certificate of Determination.

“**Bonds**” means any series of bonds issued pursuant to this Twenty-first Supplemental Indenture.

“**Certificate of Determination**” means the certificate of determination of the Treasurer required by section 502 hereof and otherwise referenced herein.

“**Indenture**” means the General Obligation Master Indenture of Trust between the University and the Trustee dated as of November 1, 1995, as from time to time amended or supplemented.

“Insured Bonds” means any series or certain maturities in any series of bonds to be insured by a municipal bond new issue insurance policy to be issued simultaneously with the delivery of Bonds by the Bond Insurer.

“Official Statement” means the official statement of the University relating to the Bonds.

“Preliminary Official Statement” means the preliminary official statement of the University relating to the Bonds.

“Principal” or **“principal”** means the principal amount of each Bond payable at maturity.

“Principal Amount” means the outstanding principal of a Bond.

“Twenty-first Supplemental Indenture” means this Twenty-first Supplemental Indenture dated as of _____ as may be amended from time to time, authorizing the Bonds.

“Underwriters” means the initial purchasers of the Bonds pursuant to a bond purchase agreement duly executed by the University, the Treasurer and such purchasers.

103. **Authority for the Twenty-first Supplemental Indenture.** This Twenty-first Supplemental Indenture is entered into by the University and the Trustee pursuant to the provisions of the Act and the Indenture.

ARTICLE II

Authorization, Terms and Issuance of Bonds

201. **Authorization of Fiscal Year 2015-2016 Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds for Fiscal Year ending June 30, 2016 entitled to the benefit, protection and security of the Act and Indenture, and constituting Bonds to be secured by the State Debt Service Commitment are hereby authorized to be issued under the Indenture and pursuant to the Act in a maximum amount not to exceed \$312,100,000 for the UConn Projects as set forth in Appendix A (attached hereto and hereby made a part hereof) and constituting UConn 2000 Projects (provided nothing herein shall preclude the amendment of Appendix A pursuant to the Act and in accordance with the Indenture and as provided by Appendix A), plus the amount of the Costs of Issuance to be funded from the proceeds of such Bonds.

All of the principal amount of bonds authorized but unissued under the Twentieth Supplemental Indenture approved by Governor Malloy on June 26, 2014, as amended and as set forth in the Certificate of Determination executed in connection with the bonds issued pursuant to the Twentieth Supplemental Indenture is carried forward to Fiscal Year 2015-2016 in accordance with the Act.

The exact amount of the Bonds to be issued under this Twenty-first Supplemental Indenture is hereby delegated to and is to be determined by a certificate of, the Authorized Officer for Sale Purposes in accordance with Section 7(a)(2) of the Act respecting the anticipated cash expenditure requirements for authorized UConn 2000 Projects within the year following issuance plus not more than twenty (20%) percent in excess thereof, provided that such amount shall not exceed \$312,100,000 (plus Costs

of Issuance and any carry forward amounts). The amount of the balance of Bonds herein authorized for Fiscal Year ending 2016 and not funded by the Bonds shall be issued subsequently pursuant to an additional Certificate of Authorized Officer for Sale Purposes as an additional series of Bonds hereunder or pursuant to a Supplemental Indenture or Supplemental Indentures depending on the remaining cash expenditure requirements respecting each UConn 2000 Project theretofore authorized by a Supplemental Indenture.

The Bonds shall be designated as and shall be distinguished from other Bonds by the additional title “20__ Series A” or such other designation or designations of “Series __” inserting the applicable number and letter, respectively, reflecting the year and series issued, as provided in the Certificate of Determination, pursuant to and subject to the terms, conditions and limitations established in the Indenture, this Twenty-first Supplemental Indenture, an Authorized Officer’s Certificate and the Treasurer’s Certificate of Determination. In accordance with the Act, the amount of the State Debt Service Commitment in each fiscal year is hereby pledged for the punctual payment of the Special Debt Service Requirements on the Bonds as the same arise and shall become due and payable.

202. **Purposes.** The Bonds will be issued and used to provide funds for deposit in the following accounts of the Bond Proceeds Fund: (i) Construction Account, which, pursuant to Section 602 of the Indenture unless otherwise provided by a Supplemental Indenture, shall be held and maintained by the Trustee, for construction and equipping of certain facilities (or reimbursement to the University for funds expended therefor) that are included and that have been authorized as a UCONN 2000 Project by the Board of Trustees and (ii) Cost of Issuance Account, which, pursuant to Section 602 of the Indenture unless otherwise provided by a Supplemental Resolution, shall be held and maintained by the Treasurer, to pay or provide for the Bonds costs of issuance. The Treasurer and University shall cause the proceeds from the sale of the Bonds to be so deposited in the Bond Proceeds Fund. Monies in the Construction Account respecting the proceeds of the Bonds heretofore issued may be disbursed from time to time pursuant to Section 603 of the Master Indenture, particularly paragraph (5) thereof, for any such UConn 2000 Project but not in excess of the aggregate amount authorized for such UConn 2000 Project by the Board of Trustees.

203. **Interest Payments.** The Bonds shall bear interest from their respective dates, payable on the date or dates, and at the rates as shall be determined by the Treasurer in the Certificate of Determination. Except as otherwise may be provided in such Certificates, interest shall be computed on the basis of a 360-day year consisting of 12 months of 30 days each.

204. **Form, Denomination, Numbers and Letters.** The Bonds shall be in fully registered form and shall initially be registered in the name of Cede & Co., as nominee of The Depository Trust Company, New York, New York (“DTC”), which will act as securities depository for the Bonds. The Bonds shall be in denominations to be determined by the Treasurer in the Certificate of Determination. The Bonds shall be lettered “AR-___” or such other letters provided in the Certificate of Determination. Each such letter shall be followed by the number of the Bonds. The Bonds shall be numbered consecutively from one upward in order of issuance.

205. **Places of Payment and Paying Agent.** So long as all of the Bonds are registered in the name of Cede & Co., as nominee of DTC, or any other nominee of DTC or its successor as securities depository, Principal, Sinking Fund Installments, if any, Redemption Price of and interest on the Bonds shall be payable from the Trustee to DTC or its successor as securities depository for the Bonds, as determined by the Treasurer in the Certificate of Determination. If any of the Bonds shall

no longer be registered in the name of a nominee of DTC or any successor securities depository or its nominee, interest on the Bonds shall be payable by check mailed to the registered owners of the Bonds, and Principal, Sinking Fund Installments, if any, or Redemption Price of the Bonds shall be payable at the principal corporate trust office of the Paying Agent for the Bonds.

206. **Sale.** Pursuant to Sections 7(e) and (f) of the Act, the Treasurer is authorized by the Act to sell the Bonds by negotiation or public competitive sale, in such manner, at such price or prices, at such time or times, in one or more series, and on such terms and conditions as the Treasurer shall determine to be in the best interests of the State and University. The terms and particulars of each such sale, the receipt of each proposal and each award of the Bonds and all other action appropriate or necessary in connection therewith shall be set by the Treasurer, including the selection of the Trustee pursuant to Article VIII of the Indenture, in conjunction with the Authorized Officer for Sale Purposes to whom such matters are hereby delegated and shall be recited in the Treasurer's Certificate of Determination, and confirmed by the Authorized Officer for Sale Purposes.

207. **Execution.** The Bonds shall be signed in the name of the University by the manual or facsimile signature of its President and the seal of the University (or a facsimile thereof) shall be affixed, imprinted, engraved or otherwise reproduced thereon and attested by an Authorized Officer. The Bonds shall be authenticated manually by the Trustee in accordance with the provisions of the Indenture.

208. **Delivery and Application of Bond Proceeds.** After their execution as provided herein and in the Indenture, the Bonds shall be delivered to the Trustee for authentication as provided in the Indenture and shall thereupon be delivered to the Underwriters upon receipt by the Trustee of the purchase price therefor in accordance with the documents of sale and upon satisfaction of the conditions contained therein and in the Indenture. The proceeds of the ___Bonds shall be deposited in the Bond Proceeds Fund in the amounts and for the Construction Account and Costs of Issuance Account, as more particularly set forth in the Certificate of Determination of the Treasurer.

209. **Defeasance.** Pursuant to Section 1001(1)(b) of the Master Indenture, for purposes of the Bonds, Section 1402(c) of the Master Indenture is hereby amended in its entirety as follows.

(c) in the event said Bonds are not by their terms subject to redemption within the next succeeding 60 days, the University shall have given the Trustee in form satisfactory to it irrevocable instructions to mail at least once, or to publish at least twice at an interval of not less than seven days between publications in an Authorized Newspaper, as soon as practicable, a notice to the Holders of such Bonds that the deposit required by (b) above has been made with the Trustee and that said Bonds are deemed to have been paid in accordance with this Section and stating such maturity or redemption date upon which moneys are to be available for the payment of the principal or Redemption Price, if applicable, on said Bonds.

ARTICLE III

Form of the Bonds

301. **Form of the Bonds.** The Bonds shall be substantially in the form set forth in the Indenture with such additions or deletions anticipated by this Twenty-first Supplemental Indenture as are set forth in the Certificate of Determination.

ARTICLE IV

Tax Covenant

401. **Tax Exemption.** In order to maintain the exclusion from gross income for purposes of federal income taxation of interest on the Bonds, the University hereby covenants to comply with the provisions of the Code, and any regulations or rulings issued thereunder, applicable to the Bonds. Further, the University covenants that it will not take any action or fail to take any action that would cause the Bonds to be “arbitrage bonds” within the meaning of Section 148(a) of the Code. In fulfilling the covenants set forth in this Section, the University hereby agrees to instruct all parties acting by or on behalf of the University or in any manner with respect to the Bonds regarding all acts necessary to satisfy and fulfill such covenants.

ARTICLE V

Miscellaneous

501. **No Recourse.** No recourse shall be had for the payment of the principal of or interest on the Bonds or for any claim based thereon or on this Twenty-first Supplemental Indenture against any member of the Board of Trustees, nor the State Bond Commission or any officer of the University or the State or any person executing the Bonds and neither the members of the Board of Trustees or the State Bond Commission nor officers of the University or the State nor any person executing the Bonds, or with respect to execution of documents hereinafter mentioned, including the Preliminary Official Statement, the Official Statement and any Bond Purchase Agreement, Tax Regulatory Agreement or documents in connection with the authorization, issuance and sale of the Bonds shall be liable personally thereon or be subject to any personal liability or accountability by reason of the issuance or execution thereof. Pursuant to Section 19 of the Act, the provisions of Sections 4-165 and 5-141d of the General Statutes shall apply to any employee or official of the University or other State agency who is discharging his duties or acting within the scope of his employment in furtherance of the UCONN 2000 Infrastructure Improvement Program.

502. **Delegation of Authority to Treasurer and to Authorized Officer for Sale Purposes.**

(A) The Treasurer is delegated, pursuant to the Act on behalf of the University and subject in all respects to the Indenture, the authority to determine with respect to the Bonds the date or dates and maturities (provided, however, that the Bonds issued to finance equipment and collections shall mature not later than five (5) years from their dated date and the Bonds issued to finance any other purpose shall mature not later than thirty (30) years from their dated date); provisions for either

serial or term bonds, sinking fund requirements, if any; due dates of interest; denominations; the terms, if any, of optional or extraordinary redemption, with or without premium; time or times of sale (subject to the cash flow requirements of the University to cover the cost of the UCONN 2000 Infrastructure Improvement Program) and manner of sale; interest rates and limitations with respect thereto; provisions for receipt and deposit or investment of the good faith deposit pending delivery; and such other terms and conditions of the Bonds and of the issuance and sale thereof as the Treasurer may determine to be in the best interests of the State and University. The Treasurer shall file a Certificate of Determination with the University and Secretary of the State Bond Commission on or before the date of delivery of the Bonds setting forth the details and particulars of the Bonds determined by her in accordance with this delegation. Such Certificate of Determination shall be delivered to the Trustee on or before the date of closing of the Bonds.

(B) The Treasurer is also delegated, pursuant to the Act and, in accordance with Section 4(a)(5) of the Act pursuant to certain provisions of Section 3-20 of the General Statutes of the State of Connecticut, as amended, the authority to enter into agreements in consultation with the University (through an Authorized Officer) with respect to the issuance and sale of the Bonds, including financial advisory agreements, bond purchase agreements, tax regulatory agreements, and agreements with respect to security for the Bonds.

(C) The Authorized Officer for Sale Purposes or the Executive Vice President for Administration and Chief Financial Officer is hereby delegated and the Treasurer is further delegated, pursuant to the Act, the authority to approve the final terms of and publication and distribution of the Official Statement in connection with the offering and sale of the Bonds and to sign and certify that the Preliminary Official Statement is an official statement that the University deems final as of its date for purposes of Rule 15c-2-12 of the Securities and Exchange Commission ("Rule 15c-2-12"), except for certain permitted omissions described in paragraph (b)(1) of Rule 15c-2-12. The mailing, publication and distribution of the Preliminary Official Statement is hereby approved. The Treasurer, in conjunction with the Authorized Officer for Sale Purposes or the Executive Vice President for Administration and Chief Financial Officer, is further authorized and directed to sign any amendment or supplement or certificate with respect to the Official Statement or the Preliminary Official Statement that may, in the Treasurer's judgment, be necessary or appropriate on or before the date of delivery of the Bonds.

(D) Subsequent to adoption of the resolution of the Board of Trustees authorizing the Twenty-first Supplemental Indenture, the Authorized Officer for Sale Purposes is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-first Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-first Supplemental Indenture as so adopted as may be necessary or appropriate to respond to the requirements of the Governor, the Treasurer, the Underwriters of the Bonds, the Bond Insurer, if any, or the rating agencies with respect to the Twenty-first Supplemental Indenture as evidenced by approval of the Certificate of Determination and may rely on a Counsel's Opinion for advice with respect to the foregoing. In addition, any Authorized Officer is authorized and directed to sign other documents ancillary to the authorization, issuance and delivery of the Bonds within the scope of such Authorized Officer's duties at the University and under the Act.

503. Declaration of Official Intent. The University reasonably expects to incur expenditures (the "Expenditures") in connection with the Bond projects of which a general functional description is contained in Appendix A attached hereto (collectively, the "Project"). The University

reasonably expects to reimburse itself for the cost of Expenditures with respect to the Project with the proceeds of Bonds, tax-exempt obligations to be issued by the University, not later than eighteen (18) months after the later of the date the original Expenditure is paid or the date the Project is placed in service or abandoned, but in no event more than three (3) years after the original Expenditure is paid. The maximum principal amount of such debt with respect to the Project is not expected to exceed \$312,100,000. This declaration of official intent is a declaration of official intent made pursuant to Section 1.150-2 of the Regulations.

IN WITNESS WHEREOF, the University of Connecticut has caused this Twenty-first Supplemental Indenture to be signed by its President and sealed the same with its seal attested by an Authorized Officer, and the Trustee, for itself and its successor or successors, has caused this Twenty-first Supplemental Indenture to be signed and sealed by its duly authorized officer and has by its execution hereof signified its acceptance of the trust hereby created and imposed.

THE UNIVERSITY OF CONNECTICUT

By: _____
Susan Herbst
Its President

(SEAL)

ATTEST:

By: _____
Scott A. Jordan

Its Executive Vice President for Administration and Chief Financial Officer

U.S. BANK NATIONAL ASSOCIATION,
as Trustee

Date: _____

By: _____
Name:
Title:

APPENDIX A¹

**TWENTY-FIRST SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2015-2016
UCONN 2000 BOND AUTHORIZATIONS
____SERIES ____ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2015-2016 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Biobehavioral Complex Replacement	\$ 3,589,141.00	\$ 250,000.00	\$ 3,339,141.00
Deferred Maintenance/Code/ADA Renovation Lump Sum	646,554,504.13	33,784,957.00	224,704,109.13
Engineering Building (with Environmental Research Institute)	92,659,050.00	23,228,229.00	27,970,913.00
Equipment, Library Collections & Telecommunications	247,341,496.00	22,868,855.00	113,641,496.00
Fine Arts Phase II	26,736,130.00	9,832,621.00	4,601,509.00
Gant Building Renovations	160,496,484.00	2,870,759.00	16,325,000.00
Hartford Relocation Acquisition/Renovation	114,999,999.59	33,575,000.00	16,424,999.59
Heating Plant Upgrade	32,053,824.00	980,176.00	12,703,824.00
Jorgensen Renovation	3,734,474.58	1,500,000.00	2,234,474.58
Koons Hall Renovation/Addition	1,915,057.00	800,000.00	1,115,057.00
Law School Renovations/Improvements	16,785,624.94	1,000,000.00	15,785,624.94
Mansfield Training School Improvements	10,832,533.00	1,500,000.00	3,000,000.00
Parking Garage #3	69,965,961.00	250,000.00	106,034.00
Residential Life Facilities	205,890,075.01	71,959,403.00	62,109,439.01
Subtotal – Storrs and Regional Campuses		<u>\$204,400,000.00</u>	

--<u>Health Center</u>			
Deferred Maintenance/Code/ADA Renovation Sum - Health Center	\$ 48,552,989.03	\$ 3,219,345.00	\$ 41,673,522.03
Equipment, Library Collections and Telecommunications - Health Center	66,429,390.00	4,150,125.00	60,554,265.00
Main Building Renovation	120,105,675.00	9,149,518.00	88,276,500.00
The University of Connecticut Health Center New Construction and Renovation	386,457,001.00	91,181,012.00	259,416,606.00
Subtotal – Health Center		<u>\$107,700,000.00</u>	
Total Fiscal Year 2015-2016 Bond Authorization		<u>\$312,100,000.00</u>	

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.


⁽¹⁾ The Board of Trustees approved the Twenty-first Supplemental Indenture on June 24, 2015.

⁽²⁾ The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.

ATTACHMENT 15

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Revised Allocation of Bond Authorizations as set forth in the Twentieth
Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Twentieth Supplemental Indenture, as follows:

- Decrease Academic and Research Facilities by \$5,575,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$9,024,327.00; and
- Decrease Avery Point Renovation by \$2,400,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$7,614,536.00; and
- Decrease Biobehavioral Complex Replacement by \$4,834.00 for a total fiscal year 2014-2015 bond authorization for such project of \$551,166.00; and
- Decrease Bishop Renovation by \$22,698.00 for a total fiscal year 2014-2015 bond authorization for such project of \$1,277,302.00; and
- Decrease Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$2,158,606.00 for a total fiscal year 2014-2015 bond authorization for such project of \$741,394.00; and
- Decrease Family Studies (DRM) Renovation by \$25,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and
- Decrease Manchester Hall Renovation by \$35,962.00 for a total fiscal year 2014-2015 bond authorization for such project of \$39,038.00; and
- Decrease Mansfield Training School Improvements by \$1,643,242.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and

- Decrease North Superblock Site and Utilities by \$450,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and
- Decrease Stamford Campus Improvements/Housing by \$6,800,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$2,370,616.00; and
- Decrease Support Facility (Architectural and Engineering Services) by \$233,416.95 for a total fiscal year 2014-2015 bond authorization for such project of \$16,583.05; and
- Decrease Torrey Renovation Completion and Biology Expansion by \$831,500.00 for a total fiscal year 2014-2015 bond authorization for such project of \$437,868.00; and
- Decrease Torrington Campus Improvements by \$250,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and
- Decrease Young Building Renovation/Addition by \$3,011,770.00 for a total fiscal year 2014-2015 bond authorization for such project of \$4,417,454.00; and
- Increase Arjona and Monteith (new classroom buildings) by \$6,459,837.07 for a total fiscal year 2014-2015 bond authorization for such project of \$12,023,606.07; and
- Increase Beach Hall Renovations by \$105,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$655,000.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$8,985,363.88 for a total fiscal year 2014-2015 bond authorization for such project of \$39,667,978.88; and
- Increase Jorgensen Renovation by \$100,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$150,000.00; and
- Increase Koons Hall Renovation/Addition by \$35,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$35,000.00; and
- Increase Residential Life Facilities by \$5,598,222.00 for a total fiscal year 2014-2015 bond authorization for such project of \$43,991,717.00; and
- Increase The University of Connecticut Health Center New Construction and Renovation by \$2,158,606.00 for a total fiscal year 2014-2015 bond authorization for such project of \$88,144,606.00.

BACKGROUND:

The Board of Trustees approved the Twentieth Supplemental Indenture on June 25, 2014 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twentieth Supplemental Indenture on July 2, 2014.

On April 16, 2015, the University, in conjunction with the Treasurer of the state of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2015 Series A in the aggregate principal amount of \$220,165,000, with sale proceeds in the amount of \$250,000,000 which financed part of the Fiscal Year 2014-2015 bond authorizations in accordance with the Twentieth Supplemental Indenture.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2014-2015, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed as well as the prior DSC Bonds authorized for each project.

**RESOLUTION AMENDING THE TWENTIETH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2014-2015
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 25, 2014, the University of Connecticut (the "University"), by vote of its Board of Trustees, approved the Twentieth Supplemental Indenture (the "Twentieth Supplemental Indenture") supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the "Master Indenture"); and

WHEREAS, on April 16, 2015, the University, in conjunction with the Treasurer of the state of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2015 Series A in the aggregate principal amount of \$220,165,000, with sale proceeds in the amount of \$250,000,000 part of which were to be spent on the Fiscal Year 2015-2016 bond authorizations in accordance with the Twentieth Supplemental Indenture; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Twentieth Supplemental Indenture should be revised to reflect the actual progress made on certain of the projects; and

WHEREAS, the University desires to amend the Twentieth Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Twentieth Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Twentieth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2014-2015 bond authorization amongst projects as follows: (a) decrease Academic and Research Facilities by \$5,575,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$9,024,327.00; and (b) decrease Avery Point Renovation by \$2,400,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$7,614,536.00; and (c) decrease Biobehavioral Complex Replacement by \$4,834.00 for a total fiscal year 2014-2015 bond authorization for such project of \$551,166.00; and (d) decrease Bishop Renovation by \$22,698.00 for a total fiscal year 2014-2015 bond authorization for such project of \$1,277,302.00; and (e) decrease Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$2,158,606.00 for a total fiscal year 2014-2015 bond authorization for such project of \$741,394.00; and (f) decrease Family Studies (DRM) Renovation by \$25,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and (g) Decrease Manchester Hall Renovation by \$35,962.00 for a total fiscal year 2014-2015 bond authorization for such project of \$39,038.00; and (h) decrease Mansfield Training School Improvements by \$1,643,242.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and (i) decrease North Superblock Site and Utilities by \$450,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and (j) decrease Stamford Campus Improvements/Housing by \$6,800,000.00 for a total fiscal year 2014-2015 bond

authorization for such project of \$2,370,616.00; and (k) decrease Support Facility (Architectural and Engineering Services) by \$233,416.95 for a total fiscal year 2014-2015 bond authorization for such project of \$16,583.05; and (l) decrease Torrey Renovation Completion and Biology Expansion by \$831,500.00 for a total fiscal year 2014-2015 bond authorization for such project of \$437,868.00; and (m) decrease Torrington Campus Improvements by \$250,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0; and (n) decrease Young Building Renovation/Addition by \$3,011,770.00 for a total fiscal year 2014-2015 bond authorization for such project of \$4,417,454.00; and (o) increase Arjona and Monteith (new classroom buildings) by \$6,459,837.07 for a total fiscal year 2014-2015 bond authorization for such project of \$12,023,606.07; and (p) increase Beach Hall Renovations by \$105,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$655,000.00; and (q) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$8,985,363.88 for a total fiscal year 2014-2015 bond authorization for such project of \$39,667,978.88; and (r) increase Jorgensen Renovation by \$100,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$150,000.00; and (s) increase Koons Hall Renovation/Addition by \$35,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$35,000.00; and (t) increase Residential Life Facilities by \$5,598,222.00 for a total fiscal year 2014-2015 bond authorization for such project of \$43,991,717.00; and (u) increase The University of Connecticut Health Center New Construction and Renovation by \$2,158,606.00 for a total fiscal year 2014-2015 bond authorization for such project of \$88,144,606.00; and to update the total amounts of debt service commitment ("DSC") bonds needed as well as the prior DSC bonds authorized for each project.

This Resolution shall take effect upon adoption by the Board of Trustees.

APPENDIX A¹

**TWENTIETH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2014-2015
UCONN 2000 BOND AUTHORIZATIONS
____ SERIES ____ BOND PROJECTS**

UCONN 2000 Projects* --<u>Storrs and Regional Campuses</u>	UCONN 2000 Phase III Total (\$) Needed -<u>D.S.C.</u> Bonds**	Fiscal Year 2014-2015 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
Academic and Research Facilities	\$ 502,368,229.00	\$ 9,024,327.00	\$ 1,000,000.00
Arjona and Monteith (new classroom buildings)	131,243,779.00	12,023,606.07	107,547,356.93
Avery Point Renovation	25,333,628.00	7,614,536.00	1,016,469.54
Beach Hall Renovations	5,397,695.33	655,000.00	4,742,695.33
Biobehavioral Complex Replacement	3,589,141.00	551,166.00	2,787,975.00
Bishop Renovation	3,827,302.00	1,277,302.00	2,550,000.00
Deferred Maintenance/Code/ADA Renovation Lump Sum	646,554,503.13	39,667,978.88	185,036,130.25
Engineering Building (with Environmental Research Institute)	92,659,050.00	20,970,913.00	7,000,000.00
Equipment, Library Collections & Telecommunications	247,341,496.00	34,500,000.00	79,141,496.00
Fine Arts Phase II	26,736,130.00	26,509.00	4,575,000.00
Gant Building Renovations	160,496,484.00	1,075,000.00	15,250,000.00
Hartford Relocation Acquisition/Renovation	114,999,999.59	13,299,682.00	3,125,317.59
Heating Plant Upgrade	32,053,824.00	9,828,824.00	2,875,000.00
Jorgensen Renovation	3,734,474.58	150,000.00	2,084,474.58
Koons Hall Renovation/Addition	1,915,057.00	35,000.00	-
Manchester Hall Renovation	846,302.00	39,038.00	807,264.00
North Hillside Road Completion	8,200,000.00	1,500,000.00	6,700,000.00
Parking Garage #3	-	106,034.00	-
Residential Life Facilities	205,890,075.01	43,991,717.00	18,117,722.01
Stamford Campus Improvements/Housing	10,670,616.00	2,370,616.00	1,500,000.00
Support Facility (Architectural and Engineering Services)	16,583.05	16,583.05	-
Torrey Renovation Completion and Biology Expansion	14,232,217.00	437,868.00	1,500,000.00
Waterbury Downtown Campus	1,899,783.00	1,420,846.00	478,937.00
Young Building Renovation/Addition	23,640,884.00	4,417,454.00	19,223,430.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$205,000,000.00</u>	

--Health Center			
CLAC Renovation Biosafety Level 3 Lab	\$16,835,000.00	\$5,810,000.00	11,025,000.00
Deferred Maintenance/Code/ADA Renovation Sum —			
Health Center	48,552,989.03	741,394.00	40,932,128.03
Equipment, Library Collections & Telecommunications —			
Health Center	68,429,390.00	4,125,000.00	56,429,265.00
Main Building Renovation	120,105,675.00	11,679,000.00	76,597,500.00
The University of Connecticut Health Center New			
Construction and Renovation	386,457,001.00	88,144,606.00	171,272,000.00
<u>Subtotal – Health Center</u>		<u>\$110,500,000.00</u>	
Total Fiscal Year 2014-2015 Bond Authorization		\$315,500,000.00	

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.


(1) The Board of Trustees approved the Twentieth Supplemental Indenture on June 25, 2014 and amended it on June 24, 2015.

(2) The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.

ATTACHMENT 16

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Revised Allocation of Bond Authorizations as set forth in the Nineteenth
Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Nineteenth Supplemental Indenture, as follows:

- Decrease Deferred Maintenance/Code/ADA Renovation Lump Sum by \$208,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$13,086,450.00; and
- Decrease Farm Buildings Repairs/Replacement by \$110,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$2,890,000.00; and
- Decrease Psychology Building Renovation/Addition by \$562,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$3,108,550.00; and
- Decrease Research Tower by \$120,003.00 for a total fiscal year 2013-2014 bond authorization for such project of \$8,109,997.00; and
- Add the Avery Point Campus Undergraduate and Library Building UCONN 2000 Project in the authorized amount of \$505,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$505,000.00; and
- Add the Storrs Hall Addition UCONN 2000 Project in the authorized amount of \$375,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$375,000.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$120,003.00 for a total fiscal year 2013-2014 bond authorization for such project of \$4,952,003.00.

BACKGROUND:

The Board of Trustees approved the Nineteenth Supplemental Indenture on June 26, 2013 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Nineteenth Supplemental Indenture on July 11, 2013.

On July 31, 2013, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2013 Series A in the aggregate principal amount of \$223,910,000, with sale proceeds in the amount of \$189,000,000 which financed part of the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture.

On April 22, 2014, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2014 Series A in the aggregate principal amount of \$109,050,000, with sale proceeds in the amount of \$120,000,000 which financed part of the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture.

On April 16, 2015, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2015 Series A in the aggregate principal amount of \$220,165,000, with sale proceeds in the amount of \$250,000,000 which financed part of the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture.

On September 25, 2013, and February 26, 2014 the Board of Trustees amended the Nineteenth Supplemental Indenture to reallocate bond authorizations among capital projects.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2013-2014, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed as well as the prior DSC Bonds authorized for each project.

**RESOLUTION AMENDING THE NINETEENTH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2013-2014
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 26, 2013, the University of Connecticut (the "University"), by vote of its Board of Trustees, approved the Nineteenth Supplemental Indenture (the "Nineteenth Supplemental Indenture") supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the "Master Indenture"); and

WHEREAS, on July 31, 2013, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2013 Series A in the aggregate principal amount of \$223,910,000, with sale proceeds in the amount of \$189,000,000 part of which were to be spent on the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture; and on April 22, 2014, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2014 Series A in the aggregate principal amount of \$109,050,000, with sale proceeds in the amount of \$120,000,000 which financed part of the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture; and on April 16, 2015, the University, in conjunction with the Treasurer of the State of Connecticut (the "State Treasurer"), issued the University's General Obligation Bonds, 2015 Series A in the aggregate principal amount of \$220,165,000, with sale proceeds in the amount of \$250,000,000 which financed part of the Fiscal Year 2013-2014 bond authorizations in accordance with the Nineteenth Supplemental Indenture; and

WHEREAS, on September 25, 2013 and February 26, 2014 the University reallocated certain of the fiscal year 2013-2014 bond authorizations by amending the Nineteenth Supplemental Indenture; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Nineteenth Supplemental Indenture should be revised to reflect the actual progress made on certain of the projects; and

WHEREAS, the University desires to amend the Nineteenth Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Nineteenth Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Nineteenth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2013-2014 bond authorization amongst projects as follows: (a) decrease Deferred Maintenance/Code/ADA Renovation Lump Sum by \$208,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$13,086,450.00; and (b) decrease Farm Buildings Repairs/Replacement by \$110,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$2,890,000.00; and (c) decrease Psychology Building Renovation/Addition by \$562,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$3,108,550.00; and (d) decrease Research Tower by \$120,003.00 for a total fiscal year 2013-2014 bond authorization for such project of

\$8,109,997.00; and (e) add the Avery Point Campus Undergraduate and Library Building UCONN 2000 Project in the authorized amount of \$505,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$505,000.00; and (f) add the Storrs Hall Addition UCONN 2000 Project in the authorized amount of \$375,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$375,000.00; and (g) increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$120,003.00 for a total fiscal year 2013-2014 bond authorization for such project of \$4,952,003.00; and to update the total amounts of debt service commitment (“DSC”) bonds needed as well as the prior DSC bonds authorized for each project.

This Resolution shall take effect upon adoption by the Board of Trustees.

APPENDIX A
(as amended) ¹

NINETEENTH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2013-2014
UCONN 2000 BOND AUTHORIZATIONS
_____ SERIES ____ BOND PROJECTS

UCONN 2000 Projects*	UCONN 2000 Phase III Total Needed -D.S.C. Bonds**	Fiscal Year 2013-2014 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Academic and Research Facilities	\$ 2,000,000.00	\$ 1,000,000.00	\$ -
Avery Point Campus Undergraduate and Library Building	10,585,532.48	505,000.00	-
Deferred Maintenance/Code/ADA Renovation Lump Sum	646,554,504.13	13,086,450.00	171,949,680.25
Engineering Building (with Environmental Research Institute)	92,500,000.00	1,500,000.00	5,500,000.00
Equipment, Library Collections & Telecommunications	247,341,496.00	11,002,682.41	68,138,813.59
Farm Buildings Repairs/Replacement	6,618,342.09	2,890,000.00	3,728,342.09
Gant Building Renovations	160,496,484.00	4,000,000.00	11,250,000.00
Hartford Relocation Acquisition/Renovation	114,999,999.59	3,125,317.59	-
Heating Plant Upgrade	32,053,824.00	1,057,000.00	1,190,000.00
North Hillside Road Completion	8,200,000.00	2,700,000.00	4,000,000.00
Psychology Building Renovation/Addition	24,608,550	3,108,550.00	21,500,000.00
Residential Life Facilities	205,890,075.01	8,000,000.00	10,117,722.01
Stamford Campus Improvements/Housing	16,670,616.00	1,000,000.00	500,000.00
Storrs Hall Addition	14,815,570.32	375,000.00	-
Waterbury Downtown Campus	1,899,783.00	50,000.00	428,937.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$53,400,000.00</u>	
--<u>Health Center</u>			
CLAC Renovation Biosafety Level 3 Lab	\$ 16,835,000.00	\$ 9,710,000.00	\$ 1,315,000.00
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	48,552,989.03	4,952,003.00	35,980,125.03
Equipment, Library Collections & Telecommunications — Health Center	68,429,390.00	2,290,000.00	54,139,265.00
Main Building Renovation	120,105,675.00	28,009,500.00	48,588,000.00
Medical School Academic Building Renovation	39,047,488.00	25,747,500.00	8,700,000.00
Research Tower	68,580,997.00	8,109,997.00	60,471,000.00
The University of Connecticut Health Center New Construction and Renovation	386,457,001.00	72,181,000.00	99,091,000.00
<u>Subtotal – Health Center</u>		<u>\$151,000,000.00</u>	
Total Fiscal Year 2013-2014 Bond Authorization		\$204,400,000.00	

*Reflects amendments to project names including Public Act No 13-233.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward.

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.


(1) The Board of Trustees approved the Nineteenth Supplemental Indenture on June 26, 2013 and amended it on September 25, 2013, February 26, 2014 and June 24, 2015.

(2) The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.

ATTACHMENT 17

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Revised Allocation of Bond Authorizations as set forth in the Seventeenth
Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Seventeenth Supplemental Indenture, as follows:

- Decrease Deferred Maintenance/Code/ADA Renovation Lump Sum by \$17,595.85 for a total fiscal year 2011-2012 bond authorization for such project of \$16,451,335.94; and
- Decrease Storrs Hall Addition by \$547,356.93 for a total fiscal year 2011-2012 bond authorization for such project of \$7,910,570.32; and
- Decrease Dental School Renovation by \$500,000.00 for a total fiscal year 2011-2012 bond authorization for such project of \$0; and
- Increase Arjona and Monteith (new classroom buildings) by \$547,356.93 for a total fiscal year 2011-2012 bond authorization for such project of \$1,047,356.93; and
- Increase Law School Renovations/Improvements by \$17,595.85 for a total fiscal year 2011-2012 bond authorization for such project of \$635,624.94; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$500,000.00 for a total fiscal year 2011-2012 bond authorization for such project of \$3,500,000.00; and

BACKGROUND:

The Board of Trustees approved the Seventeenth Supplemental Indenture on June 23, 2011 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Seventeenth Supplemental Indenture on July 27, 2011.

On December 8, 2011, the University, in conjunction with the State Treasurer, issued the University's General Obligation Bonds, 2011 Series A in the aggregate principal amount of \$179,730,000, with sale proceeds in the amount of \$200,000,000 which financed \$61,200,000 of the Fiscal Year 2011-2012 bond authorizations, and \$138,800,000 of the Fiscal Year 2010-2011 bond authorizations in accordance with the Sixteenth Supplemental Indenture.

On July 31, 2013, the University, in conjunction with the State Treasurer, issued the University's General Obligation Bonds, 2013 Series A in the aggregate principal amount of \$172,660,000, with sale proceeds in the amount of \$189,000,000 which financed \$88,228,499.52 of the Fiscal Year 2011-2012 bond authorizations.

On April 22, 2014, the University, in conjunction with the State Treasurer, issued the University's General Obligation Bonds, 2014 Series A in the aggregate principal amount of \$109,050,000, with sale proceeds in the amount of \$120,000,000 which financed \$7,771,500.48 of the Fiscal Year 2011-2012 bond authorizations.

The Board of Trustees amended the Seventeenth Supplemental Indenture on June 28, 2012, April 24, 2013 and June 26, 2013 to make certain reallocations of bond authorizations among capital projects.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2011-2012, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed as well as the prior DSC Bonds authorized for each project.

**RESOLUTION AMENDING THE SEVENTEENTH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2011-2012
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 23, 2011, the University of Connecticut (the "University"), by vote of its Board of Trustees, approved the Seventeenth Supplemental Indenture (the "Seventeenth Supplemental Indenture") supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the "Master Indenture"); and

WHEREAS, on December 8, 2011, the University, in conjunction with the Treasurer of the State of Connecticut issued the University's General Obligation Bonds, 2011 Series A in the aggregate principal amount of \$179,730,000 with sale proceeds in the amount of \$200,000,000 to finance the Fiscal Year 2010-2011 and a portion of the Fiscal Year 2011-2012 bond authorizations; and on July 31, 2013, the University, in conjunction with the State Treasurer, issued the University's General Obligation Bonds, 2013 Series A in the aggregate principal amount of \$172,660,000, with sale proceeds in the amount of \$189,000,000 which financed \$88,228,499.52 of the Fiscal Year 2011-2012 bond authorization, and on April 22, 2014, the University, in conjunction with the State Treasurer, issued the University's General Obligation Bonds, 2014 Series A in the aggregate principal amount of \$109,050,000, with sale proceeds in the amount of \$120,000,000 which financed \$7,771,500.48 of the Fiscal Year 2011-2012 bond authorizations.

WHEREAS, on June 28, 2012, April 24, 2013 and June 26, 2013 the University amended the Seventeenth Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2011-2012 as set forth in Appendix A.

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Seventeenth Supplemental Indenture should be revised to reflect the actual progress being made on certain of the projects; and

WHEREAS, the University desires to amend the Seventeenth Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Seventeenth Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Seventeenth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2011-2012 bond authorization amongst projects as follows: (a) decrease Deferred Maintenance/Code/ADA Renovation Lump Sum by \$17,595.85 for a total fiscal year 2011-2012 bond authorization for such project of \$16,451,335.94; and (b) decrease Storrs Hall Addition by \$547,356.93 for a total fiscal year 2011-2012 bond authorization for such project of \$7,910,570.32; and (c) decrease Dental School Renovation by \$500,000.00 for a total fiscal year 2011-2012 bond authorization for such project of \$0; and (d) increase Arjona and Monteith (new classroom buildings) by \$547,356.93 for a total fiscal year 2011-2012 bond authorization for such

project of \$1,047,356.93; and (e) increase Law School Renovations/Improvements by \$17,595.85 for a total fiscal year 2011-2012 bond authorization for such project of \$635,624.94; and (f) increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$500,000.00 for a total fiscal year 2011-2012 bond authorization for such project of \$3,500,000.00; and to update the total amounts of debt service commitment (“DSC”) bonds needed as well as the prior DSC bonds authorized for each project.

This Resolution shall take effect upon adoption by the Board of Trustees.

APPENDIX A
As Amended⁽¹⁾

SEVENTEENTH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2011-2012
UCONN 2000 BOND AUTHORIZATIONS
_____ SERIES ____ BOND PROJECTS

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2011-2012 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Arjona and Monteith (new classroom buildings)	\$ 131,243,779.00	\$ 1,047,356.93	\$ 95,000,000.00
Avery Point Campus Undergraduate and Library Building	10,585,532.48	5,600,000.00	3,347,813.00
Beach Hall Renovations	5,397,695.33	3,300,000.00	1,442,695.33
Biobehavioral Complex Replacement	3,589,141.00	1,687,975.00	1,100,000.00
Bishop Renovation	3,827,302.00	2,125,000.00	100,000.00
Deferred Maintenance/Code/ADA Renovation Lump Sum	646,554,504.13	16,451,335.94	146,179,493.79
Engineering Building (with Environmental Research Institute)	92,659,050.00	500,000.00	5,000,000.00
Equipment, Library Collections & Telecommunications	247,341,496.00	13,226,921.00	53,411,892.59
Fine Arts Phase II	26,736,130.00	1,675,000.00	2,850,000.00
Floriculture Greenhouse	6,691,799.00	3,750,000.00	2,941,798.67
Gant Building Renovations	160,496,484.00	6,500,000.00	2,750,000.00
Heating Plant Upgrade	32,053,824.00	1,190,000.00	-
Law School Renovations/Improvements	16,785,625.00	635,624.94	15,150,000.00
Manchester Hall Renovation	846,302.00	807,264.00	-
Mansfield Training School Improvements	10,832,533.00	-	3,000,000.00
North Hillside Road Completion	8,200,000.00	-	1,500,000.00
Old Central Warehouse	126,000.00	-	126,000.00
Psychology Building Renovation/Addition	24,608,550.00	2,900,000.00	2,750,000.00
Residential Life Facilities	205,890,075.01	6,037,951.87	4,079,770.14
Storrs Hall Addition	14,815,570.32	7,910,570.32	6,530,000.00
Torrey Renovation Completion and Biology Expansion	14,232,217.00	500,000.00	1,000,000.00
Young Building Renovation/Addition	23,640,884.00	6,655,000.00	2,845,000.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$82,500,000.00</u>	

--Health Center			
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	\$ 48,552,989	\$ 3,500,000.00	\$ 29,480,125.03
Dental School Renovation	3,525,000	-	3,525,000.00
Equipment, Library Collections & Telecommunications — Health Center	68,429,390	2,500,000.00	50,039,265.00
Main Building Renovation	120,105,675	14,000,000.00	11,385,000.00
The University of Connecticut Health Center New Construction and Renovation	386,457,001	54,700,000.00	-
<u>Subtotal – Health Center</u>		<u>\$74,700,000.00</u>	
Total Fiscal Year 2011-2012 Bond Authorization		\$157,200,000.00	

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.


⁽¹⁾ The Board of Trustees approved the Seventeenth Supplemental Indenture on June 23, 2011 and amended it on June 28, 2012, April 24, 2013 and June 24, 2015.

⁽²⁾ The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.

ATTACHMENT 18

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Revised Allocation of Bond Authorizations as set forth in the Sixteenth Supplemental Indenture (University of Connecticut General Obligation Bonds)

RECOMMENDATION:

That the Board of Trustees approves the reallocation of bond authorizations among capital projects by amending Appendix A of the Sixteenth Supplemental Indenture, as follows:

- Decrease Avery Point Campus Undergraduate and Library Building by \$505,000.00 for a total fiscal year 2010-2011 bond authorization for such project of \$1,297,813.00; and
- Decrease Floriculture Greenhouse by \$58,201.33 for a total fiscal year 2010-2011 bond authorization for such project of \$2,341,798.67; and
- Decrease Dental School Renovation by \$975,000.00 for a total fiscal year 2010-2011 bond authorization for such project of \$0; and
- Decrease Library/Student Computer Center Renovation by \$133,540.03 for a total fiscal year 2010-2011 bond authorization for such project of \$116,459.97; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$563,201.33 for a total fiscal year 2010-2011 bond authorization for such project of \$24,788,201.33; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum - Health Center by \$975,000.03 for a total fiscal year 2010-2011 bond authorization for such project of \$4,975,000.03; and
- Increase Equipment, Library Collections and Telecommunications - Health Center by \$133,540.00 for a total fiscal year 2010-2011 bond authorization for such project of \$8,883,540.00.

BACKGROUND:

The Board of Trustees approved the Sixteenth Supplemental Indenture on June 10, 2010 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Sixteenth Supplemental Indenture on June 25, 2010. On January 26, 2011, April 13, 2011, and June 28, 2012 the Board amended the Sixteenth Supplemental Indenture to make certain reallocations of bond authorizations among capital projects.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2010-2011, including this submission, and updates the total amounts of debt service commitment bonds ("DSC Bonds") needed as well as the prior DSC Bonds authorized for each project.

**RESOLUTION AMENDING THE SIXTEENTH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2010-2011
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 10, 2010, the University of Connecticut (the "University"), by vote of its Board of Trustees, approved the Sixteenth Supplemental Indenture (the "Sixteenth Supplemental Indenture") supplementing the Master Indenture of Trust dated as of November 1, 1995 between the University and Fleet National Bank of Connecticut (predecessor to U.S. Bank National Association), as trustee (the "Master Indenture"); and

WHEREAS, on January 26, 2011, April 13, 2011 and June 28, 2012 the Board amended the Sixteenth Supplemental Indenture to make certain reallocations of bond authorizations as set forth in Appendix A.

WHEREAS, on December 8, 2011, the University, in conjunction with the Treasurer of the State of Connecticut issued the University's General Obligation Bonds, 2011 Series A in the aggregate principal amount of \$179,730,000 with sale proceeds in the amount of \$200,000,000 to finance the Fiscal Year 2010-2011 and a portion of the Fiscal Year 2011-2012 bond authorizations; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Sixteenth Supplemental Indenture should be revised to reflect the actual progress being made on certain of the projects; and

WHEREAS, the University desires to amend the Sixteenth Supplemental Indenture to restate the bond authorizations as set forth in Appendix A of the Sixteenth Supplemental Indenture.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of the University as follows:

That Appendix A to the Sixteenth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2010-2011 bond authorization amongst projects as follows: (a) decrease Avery Point Campus Undergraduate and Library Building by \$505,000.00 for a total fiscal year 2010-2011 bond authorization for such project of \$1,297,813.00; and (b) decrease Floriculture Greenhouse by \$58,201.33 for a total fiscal year 2010-2011 bond authorization for such project of \$2,341,798.67; and (c) decrease Dental School Renovation by \$975,000.00 for a total fiscal year 2010-2011 bond authorization for such project of \$0; and (d) decrease Library/Student Computer Center Renovation by \$133,540.03 for a total fiscal year 2010-2011 bond authorization for such project of \$116,459.97; and (e) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$563,201.33 for a total fiscal year 2010-2011 bond authorization for such project of \$24,788,201.33; and (f) increase Deferred Maintenance/Code/ADA Renovation Sum - Health Center by \$975,000.03 for a total fiscal year 2010-2011 bond authorization for such project of \$4,975,000.03; and (g) increase Equipment, Library Collections and Telecommunications - Health Center by \$133,540.00 for a total fiscal year 2010-2011 bond authorization for such project of \$8,883,540.00; and to update the total amounts of debt service commitment ("DSC") bonds needed as well as the prior DSC bonds authorized for each project.

This Resolution shall take effect upon adoption by the Board of Trustees.

APPENDIX A
(as amended)¹

SIXTEENTH SUPPLEMENTAL INDENTURE
UConn 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2010-2011
UConn 2000 BOND AUTHORIZATIONS
_____ SERIES ____ BOND PROJECTS

UConn 2000 Projects*	UConn 2000 Phase III Total Needed-D.S.C. Bonds**	Fiscal Year 2010-2011 Bond Authorization ⁽²⁾	UConn 2000 Phase III Prior D.S.C. Bond Authorization***
--<u>Storrs and Regional Campuses</u>			
Arjona and Monteith (new classroom buildings)	\$ 131,243,779.00	\$ 45,900,000.00	\$ 49,100,000.00
Avery Point Campus Undergraduate and Library Building	10,585,532.48	1,297,813.00	2,050,000.00
Avery Point Renovation	25,333,628.00	197,187.00	447,282.54
Biobehavioral Complex Replacement	3,589,141.00	1,000,000.00	100,000.00
Bishop Renovation	3,827,302.00	100,000.00	-
Deferred Maintenance/Code/ADA Renovation Lump Sum	646,554,504.13	24,788,201.33	121,391,292.46
Engineering Building (with Environmental Research Institute)	92,659,050.00	2,500,000.00	2,500,000.00
Equipment, Library Collections & Telecommunications	247,341,496.00	2,500,000.00	50,911,892.59
Fine Arts Phase II	26,736,130.00	600,000.00	2,250,000.00
Floriculture Greenhouse	6,691,798.67	2,341,798.67	600,000.00
Gant Building Renovations	160,496,484.00	1,000,000.00	1,750,000.00
Koons Hall Renovation/Addition	1,915,057.00	1,000,000.00	80,057.00
Psychology Building Renovation/Addition	24,608,550.00	2,000,000.00	750,000.00
Storrs Hall Addition	14,815,570.32	4,980,000.00	1,550,000.00
West Hartford Campus Renovations/Improvements	6,774,305.19	1,500,000.00	5,274,,305.19
Young Building Renovation/Addition	23,640,884.00	2,095,000.00	750,000.00
Subtotal – Storrs and Regional Campuses		<u>\$93,800,000.00</u>	

--Health Center			
CLAC Renovation Biosafety Level 3 Lab	\$ 16,835,000.00	\$ 35,000.00	\$ 1,280,000.00
Deferred Maintenance/Code/ADA Renovation Sum —			
Health Center	48,552,989.03	4,975,000.03	24,505,125.00
Equipment, Library Collections & Telecommunications —			
Health Center	68,429,390.00	8,883,540.00	41,155,725.00
Library/Student Computer Center Renovation	1,266,459.97	116,459.97	1,150,000.00
Main Building Renovation	120,105,675.00	5,990,000.00	5,395,000.00
Planning & Design Costs	25,000,000.00	25,000,000.00	
<u>Subtotal – Health Center</u>		<u>\$45,000,000.00</u>	
Total Fiscal Year 2010-2011 Bond Authorization		\$138,800,000.00	

*Reflects amendments to project names by Public Act No 02-3 of the May 2002 Special Session and by Public Act No 07-108 of the 2007 Session of the Connecticut General Assembly.

**Includes only Phase III General Obligation Debt Service Commitment amounts needed from 7/1/2005 forward

***Does not reflect borrowings under Phase I & II including \$50,000,000 of Phase II Project authorizations issued after 7/1/2005 pursuant to the Eleventh Supplemental Indenture.

(1) The Board of Trustees approved the Sixteenth Supplemental Indenture on June 10, 2010 and amended it on January 26, 2011, April 13, 2011, June 28, 2012 and June 24, 2015.


(2) The amounts presented herein may vary (1) by resolution of the Board of Trustees provided that such reallocation does not result in the expenditure of proceeds in excess of the total aggregate amount approved as set forth in this supplemental indenture, and (2) by up to 5% upon a written determination by the Executive Vice President for Administration and Chief Financial Officer, as an Authorized Officer pursuant to the Master Indenture as supplemented, including Section 805 thereof, provided any reallocation shall (i) not result in the expenditure of proceeds in excess of the total aggregate amount approved by the Board of Trustees for all projects as set forth in the Master Indenture as supplemented approving such total expenditures; (ii) shall not result in any adverse tax consequences to the University; (iii) be made only that the UCONN 2000 Projects affected by the reallocation can still be completed within the reallocated amounts, together with any other amounts allocated by the Board of Trustees in subsequent supplemental indentures; and (iv) be reported to the Board of Trustees at its next scheduled meeting.

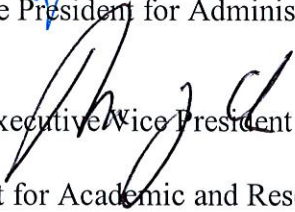
ATTACHMENT 19



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget for Academic and Research Facilities – Main Accumulation Area
for Regulated Waste (Final: \$5,255,580)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$5,255,580 for the Academic and Research Facilities – Main Accumulation Area for Regulated Waste for Planning, Design and Construction.

BACKGROUND:

The University's existing Main Accumulation Area (MAA) has been used since 1989 for short-term storage of regulated wastes that come from academic labs and support operations. The MAA's location off Horsebarn Hill Road is within a public drinking water supply watershed and has been a long-standing public concern. The existing facility for the storage of regulated waste is composed of modular trailers and containers totaling 4,200 square feet and is inefficient and insufficient for current and future use.

The new facility will be sized to adequately handle the (3) three types of waste that are generated, including biological, chemical, and low level radioactive. The diversity of waste dictates certain building design features that promote the safety of operation.

The University commissioned a design team to prepare the plans and specifications for the project. After programming it was determined that the University's requirement is for approximately 8,200 square feet of space in a single level structure. Processing and containment areas are located adjacent to a central loading dock/receiving area.

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Administration and Chief Financial Officer
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The Academic and Research Facilities – Main Accumulation Area for Regulated Waste is currently in the Bidding Phase. Planning began in Fall of 2013 with construction documents completed in April 2015. Construction is anticipated to begin in Summer 2015 and be complete in Spring 2016.

The Academic and Research Facilities – Main Accumulation Area for Regulated Waste project will conform to Connecticut High Performance Building Code regulations and will be registered as a LEED project with a target of LEED Silver.

The Final Budget is based on a 90% complete construction cost estimate prepared by the consultant.

The Final Budget is attached for your consideration and approval.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **FINAL**

PROJECT NAME: **ACADEMIC AND RESEARCH FACILITIES - MAIN ACCUMULATION AREA FOR REGULATED WASTES**

	APPROVED PLANNING 10/29/2013	APPROVED REVISED PLANNING 6/25/2014	APPROVED DESIGN 2/25/2015	PROPOSED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>	<u>10/29/2013</u>	<u>6/25/2014</u>	<u>2/25/2015</u>	<u>6/24/2015</u>
EVPACFO				
CONSTRUCTION	\$ -	\$ 3,905,580	\$ 3,905,580	\$ 3,905,580
DESIGN SERVICES	84,805	475,000	475,000	475,000
TELECOMMUNICATIONS	-	25,000	25,000	25,000
FURNITURE, FIXTURES AND EQUIPMENT	-	54,000	30,500	30,500
CONSTRUCTION ADMINISTRATION	2,000	150,000	100,000	100,000
OTHER AE SERVICES (including Project Management)	3,500	140,000	210,000	210,000
ART	-	-	-	-
RELOCATION	-	10,000	10,000	10,000
ENVIRONMENTAL	-	-	-	-
INSURANCE AND LEGAL	5,000	10,000	8,000	8,000
MISCELLANEOUS	5,000	10,000	11,500	11,500
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	\$ 100,305	\$ 4,779,580	\$ 4,775,580	\$ 4,775,580
PROJECT CONTINGENCY	74,695	476,000	480,000	480,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 175,000</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>
<u>SOURCE(S) OF FUNDING</u>				
UConn 2000 PHASE III	<u>\$ 175,000</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>
TOTAL BUDGETED FUNDING	<u>\$ 175,000</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>	<u>\$ 5,255,580</u>

ACADEMIC AND RESEARCH FACILITIES –
MAIN ACCUMULATION AREA FOR REGULATED WASTES
Project Budget (FINAL)
6/24/15

Proposed
Site



Existing
Site



VIEW FROM NORTH EAST


ATTACHMENT 20

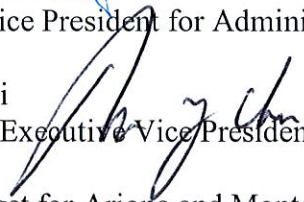


UNIVERSITY OF CONNECTICUT

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget for Arjona and Monteith – Monteith Renovations
(Final: \$25,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$25,000,000 for the Arjona and Monteith – Monteith Renovations and its attached auditorium, known as Andre Schenker Lecture Hall for Planning, Design and Construction.

BACKGROUND:

The Monteith Building and Schenker Hall (circa 1959) have provided faculty office and classroom space to various academic departments. The recent completion of Oak and Laurel Halls allowed the University to relocate the majority of the academic units from Monteith into new or renovated space. The Monteith and Schenker buildings are currently vacant.

As a result of *Next Generation Connecticut*, the University has realized the need for functional office and classroom space to utilize as permanent/swing space to decamp occupied buildings scheduled for renovation/demolition. A judicial investment in Monteith will provide the University with over sixty eight thousand square feet of much needed academic space, and an additional five thousand square feet in Schenker Hall.

Monteith is scheduled to become the new home of the University's Department of Math (CLAS), a first step in vacating the Math wing of the Gant Complex scheduled for renovation. The Monteith interiors will be demolished and reconstructed to accommodate the Math Department program and necessary classrooms. Exterior envelope repairs will include the removal of window-mounted air conditioners, replacement of damaged glazing and the repair/replacement of selected roof areas. Architectural screening will mask the new roof-top equipment that will serve the building. The front entrance steps will be rebuilt and landscape features will be replaced extensively, along with the protection of significant landscape specimens.

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The project scope also includes infrastructure upgrades that will provide new mechanical and electrical systems to support air conditioning and other programmatic needs, new light fixtures, tel/data systems and finish upgrades which conform to current University standards. ADA access, code deficiencies and an out-of-date fire detection system will also be addressed.

The Arjona and Monteith – Monteith Renovations is currently in the Bidding Phase, with bids received in early June. Planning began in December of 2012 with construction documents completed in April 2015. Construction is anticipated to begin in July 2015 and be complete July 2016.

The Arjona and Monteith – Monteith Renovations project will be registered as a LEED project with a target of LEED Silver.

The University commissioned a design team led by Perkins Eastman architects to execute project design. The Final Budget is based on competitive lump-sum bids received in early June, 2015.

The Final Budget is attached for your consideration and approval.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

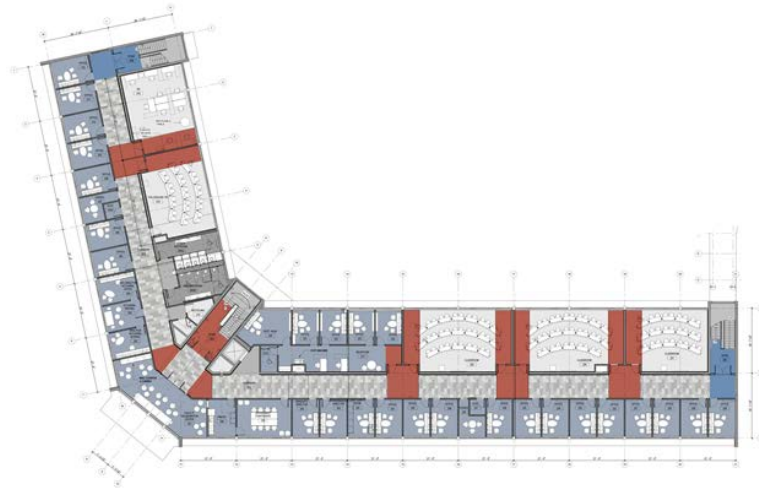
TYPE BUDGET: FINAL

PROJECT NAME: ARJONA AND MONTEITH - MONTEITH RENOVATIONS

	APPROVED PLANNING 12/7/2012	APPROVED REVISED PLANNING 2/26/2014	APPROVED REVISED PLANNING 6/25/2014	APPROVED DESIGN 3/25/2015	PROPOSED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>					
CONSTRUCTION	\$ -	\$ 16,600,000	\$ 16,600,000	\$ 17,000,000	\$ 17,000,000
DESIGN SERVICES	329,000	2,000,000	2,000,000	1,945,000	2,054,000
TELECOMMUNICATIONS	-	500,000	500,000	300,000	325,000
FURNITURE, FIXTURES AND EQUIPMENT	-	2,000,000	2,000,000	2,430,000	2,429,000
CONSTRUCTION ADMINISTRATION	-	500,000	500,000	-	200,000
OTHER AE SERVICES (including Project Management)	16,000	600,000	600,000	820,000	810,000
ART	-	-	-	-	-
RELOCATION	-	50,000	50,000	40,000	90,000
ENVIRONMENTAL	50,000	120,000	120,000	437,000	177,000
INSURANCE AND LEGAL	10,000	15,000	15,000	8,000	8,000
MISCELLANEOUS	-	115,000	115,000	20,000	21,000
OTHER SOFT COSTS	-	-	-	-	-
SUBTOTAL	\$ 405,000	\$ 22,500,000	\$ 22,500,000	\$ 23,000,000	\$ 23,114,000
PROJECT CONTINGENCY	45,000	2,500,000	2,500,000	2,000,000	1,886,000
TOTAL BUDGETED EXPENDITURES	\$ 450,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000
<u>SOURCE(S) OF FUNDING</u>					
UCONN 2000 PHASE III	\$ 450,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000
TOTAL BUDGETED FUNDING	\$ 450,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000

ARJONA AND MONTEITH – MONTEITH RENOVATIONS

Project Budget (FINAL)
6/24/2015



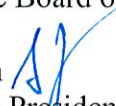
ATTACHMENT 21

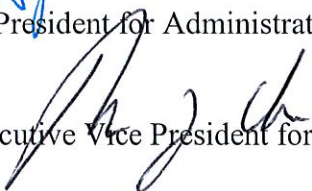


UNIVERSITY OF CONNECTICUT

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget for Engineering Building – Engineering & Science Building
(Final: \$95,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$95,000,00 for the Engineering Building – Engineering & Science Building for Planning, Design and Construction.

BACKGROUND:

The proposed new Engineering & Science Building will be a state-of-the-art laboratory for research in Bio-Nano Engineering, Cyber-Physical Systems Engineering, Chemical Engineering and other sciences that will catalyze research advances in convergence technologies. Planning for this new structure has evolved over time in response to the significant shortage of high-quality laboratory space for trans-disciplinary research.

The planning and design of the building is also integrated with the planning for the Next Generation Connecticut initiative. The building was designed to provide space to accommodate some of the anticipated STEM faculty growth and to house the Institute for Systems Genomics.

In order to ready the site for the new building, two phases of enabling projects were necessary in advance of construction proper. These included demolition of the Old Central Warehouse and natural gas distribution lines and meter relocations which were completed in August of 2014; and site work and utility relocations which are currently in process.

The design of the new building is complete and the project was issued for bid in April 2015. Bids were received May 29th, 2015 and a Guaranteed Maximum Price is anticipated to be

established by June 30th, 2015, after which, the University intends to proceed to construction. Based on market conditions, the bids received were higher than estimated resulting in an increase of \$2.5M to the Final Budget.

Construction is anticipated to begin in July of 2015 and to be complete in Spring 2017.

The Engineering Building – Engineering & Science Building project will conform to Connecticut High Performance Building Code regulations and will be registered as a LEED project with a target of LEED Silver.

The Final Budget is based on bids received.

The Final Budget is attached for your consideration and approval.

Attachment

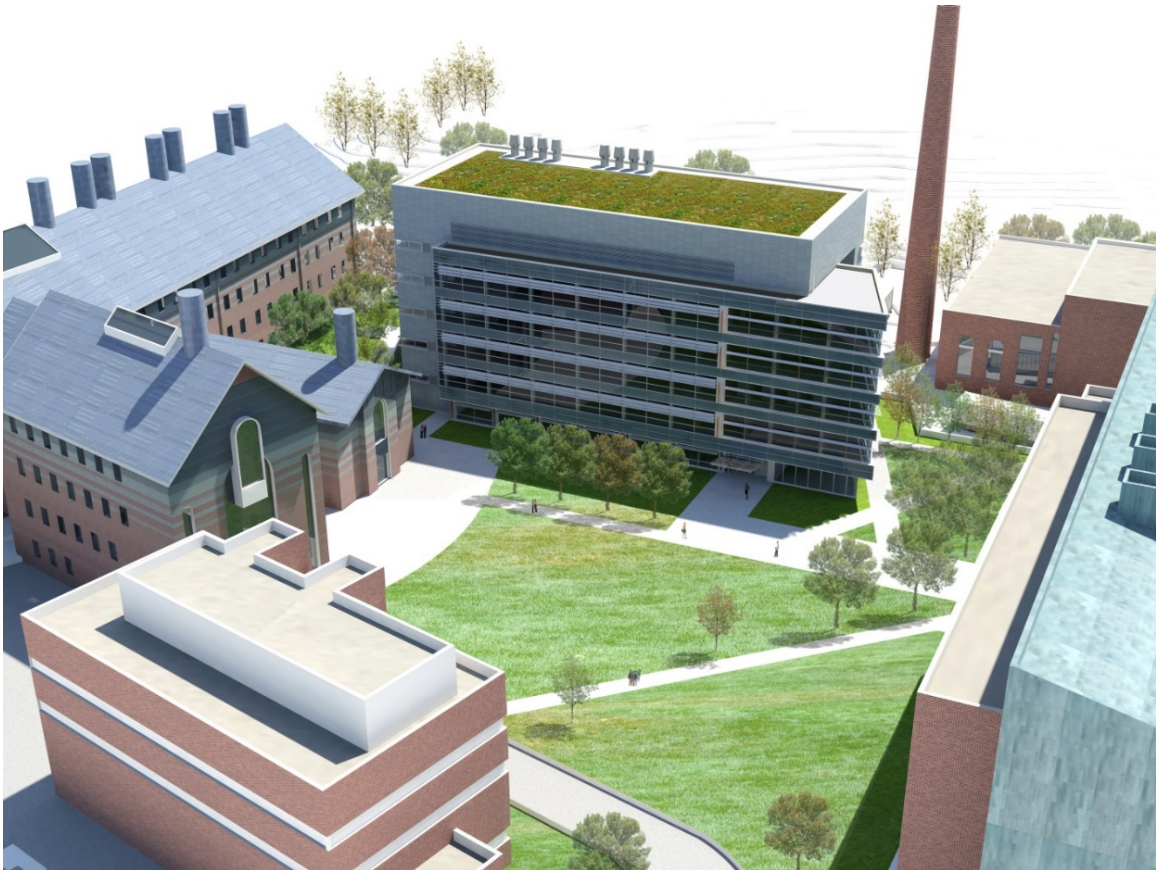
CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: ENGINEERING BUILDING - ENGINEERING & SCIENCE BUILDING

	APPROVED PLANNING 6/24/2008	APPROVED REVISED PLANNING 2/18/2010	APPROVED REVISED PLANNING 9/21/2010	APPROVED REVISED PLANNING 8/3/2011	APPROVED REVISED PLANNING 9/25/2013	APPROVED REVISED PLANNING 3/26/2014	APPROVED DESIGN 4/29/2015	PROPOSED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>								
CONSTRUCTION	\$ -	\$ -	\$ -	\$ 45,750,000	\$ 68,100,000	\$ 68,100,000	\$ 68,100,000	\$ 73,500,000
DESIGN SERVICES	760,000	1,300,000	1,300,000	4,458,147	7,150,000	7,150,000	7,150,000	7,500,000
TELECOMMUNICATIONS	-	-	-	1,025,000	1,500,000	1,100,000	1,100,000	900,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-	1,100,000	1,610,000	1,610,000	1,300,000
CONSTRUCTION ADMINISTRATION	10,000	10,000	10,000	-	1,812,000	1,812,000	1,812,000	1,300,000
OTHER AE SERVICES (including Project Management)	50,000	50,000	50,000	1,683,750	2,544,205	2,675,000	2,675,000	2,600,000
ART	-	-	-	450,000	681,000	681,000	681,000	700,000
RELOCATION	-	-	-	300,000	-	50,000	50,000	300,000
ENVIRONMENTAL	45,000	45,000	45,000	45,000	75,000	110,000	110,000	100,000
INSURANCE AND LEGAL	5,000	15,000	15,000	35,000	55,000	50,000	50,000	100,000
MISCELLANEOUS	-	350,000	350,000	253,103	150,000	50,000	50,000	400,000
OTHER SOFT COSTS	30,000	30,000	30,000	-	85,195	-	-	-
SUBTOTAL	\$ 900,000	\$ 1,800,000	\$ 1,800,000	\$ 54,000,000	\$ 83,252,400	\$ 83,388,000	\$ 83,388,000	\$ 88,700,000
PROJECT CONTINGENCY	100,000	200,000	200,000	6,500,000	9,247,600	9,112,000	9,112,000	6,300,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 1,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 60,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 95,000,000</u>
<u>SOURCE(S) OF FUNDING</u>								
UCONN 2000 PHASE III	<u>\$ 1,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 60,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 95,000,000</u>
TOTAL BUDGETED FUNDING	<u>\$ 1,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 2,000,000</u>	<u>\$ 60,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 92,500,000</u>	<u>\$ 95,000,000</u>

ENGINEERING BUILDING –
ENGINEERING AND SCIENCE BUILDING
Project Budget (FINAL)
(6/24/15)




ATTACHMENT 22

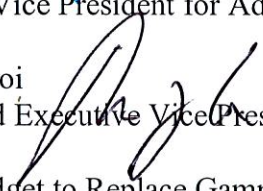


UNIVERSITY OF CONNECTICUT

June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget to Replace Gampel Chillers (Final: \$1,446,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$1,446,000 for the Replace Gampel Chillers project for Planning, Design and Construction.

BACKGROUND:

The Gampel Pavilion is a 228,000 gross square foot athletic facility that was built in 1990 and houses the home court of the 2014 NCAA Champion Men's and Women's basketball teams.

The Gampel Pavilion has two 400-ton, electric centrifugal chillers located in the basement mechanical room on the south-west side of the Gampel Building. These two chillers were part of the original building construction, and have been on-line since 1990. The two cooling towers that provide condenser water to the chillers are being replaced under a separate project. Construction of the new cooling towers is currently underway.

The existing chiller machines are at the end of their useful lives. As these machines age, the frequency of maintenance and repairs (both scheduled and unscheduled) has increased as well as the O&M cost – since the proprietary electronic controls and control components are obsolete. New chillers will be more reliable and energy efficient.

The Replace Gampel Chillers project is currently in the Design Phase. Design is anticipated to be complete in July of 2015. Construction is anticipated to begin in Fall 2015 and to be complete in Spring 2016.

The Final Budget is based on the Design Phase construction cost estimate prepared by the consultant.

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Administration and Chief Financial Officer
352 MANSFIELD ROAD, UNIT 1122
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PHONE 860.486.3455
FAX 860.486.1070

The University requests a waiver of the three stage budget approval process in order to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget.

The Final Budget is attached for your consideration and approval.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: REPLACE GAMPEL CHILLERS

	APPROVED PLANNING 8/14/2014	PROPOSED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>		
	SARCC	
CONSTRUCTION	\$ -	\$ 1,140,000
DESIGN SERVICES	43,000	55,000
TELECOMMUNICATIONS	-	5,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	45,000
OTHER AE SERVICES (including Project Management)	2,000	45,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	2,000
INSURANCE AND LEGAL	-	2,000
MISCELLANEOUS	-	12,000
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 45,000	\$ 1,306,000
PROJECT CONTINGENCY	5,000	140,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 50,000</u>	<u>\$ 1,446,000</u>
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - DM	\$ 50,000	\$ 1,446,000
TOTAL BUDGETED FUNDING	<u>\$ 50,000</u>	<u>\$ 1,446,000</u>

REPLACE GAMPEL CHILLERS

Project Budget (FINAL)

6/24/2015



EXISTING CHILLER #2 IN MECHANICAL ROOM 123




EXISTING CHILLER #1 IN MECHANICAL ROOM 123

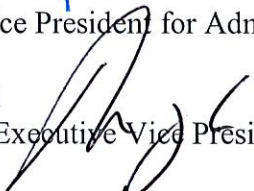
ATTACHMENT 23



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget for Replace Gampel Cooling Towers
(Revised Final: \$3,000,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$3,000,000 for the Replace Gampel Cooling Towers for Planning, Design and Construction.

BACKGROUND:

Gampel Pavilion cooling is accomplished by the use of internal electric chillers and exterior cooling towers used to eject the heat to the outside air. The exterior cooling towers are approaching twenty five (25) years of age, and exceed the normal life span of this type of system equipment. The normal age-related problems include leaks, the deterioration of the sump basins, internal fill materials, structural members, gearboxes, fans, valves, and connecting piping.

The University has determined that the best single course of action is to replace them as soon as possible to prevent possible building closure. There are two existing cooling towers within a walled compound on the west side of the building – at ground level. These two towers were installed approximately 25 years ago, and they failed on November 23, 2014. Without these towers, we are unable to provide air conditioning to the Gampel Pavilion. We are currently using a trailer-mounted rental chiller to provide chilled water to the building.

The project Replace Gampel Cooling Towers is currently in the Construction Phase. Construction began in February of 2015 and the project was publically bid and scoped.

The severe winter weather of 2015 emphasized the potential for snow loading damage in the area of the cooling towers and the design team recommended adding a snow shield canopy over the towers. This work has been estimated to cost approximately an additional \$400,000, and includes modifications to the foundations, increased structural steel, grating protection, and a maintenance ladder.

The Revised Final Budget is based on a construction cost estimate prepared by the contractor and evaluated by a third party professional cost estimator.

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

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: REPLACE GAMPEL COOLING TOWERS


	APPROVED PLANNING 7/31/2013	APPROVED REVISED PLANNING 2/26/2014	APPROVED FINAL 1/28/2015	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>				
SARCC				
CONSTRUCTION	\$ -	\$ 1,900,000	\$ 2,036,000	\$ 2,436,000
DESIGN SERVICES	44,500	200,000	200,000	200,000
TELECOMMUNICATIONS	-	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-
CONSTRUCTION ADMINISTRATION	-	150,000	-	-
OTHER AE SERVICES (including Project Management)	875	5,000	98,000	125,000
ART	-	-	-	-
RELOCATION	-	-	-	-
ENVIRONMENTAL	-	-	-	-
INSURANCE AND LEGAL	-	2,000	2,000	2,000
MISCELLANEOUS	-	10,000	10,000	10,000
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	\$ 45,375	\$ 2,267,000	\$ 2,346,000	\$ 2,773,000
PROJECT CONTINGENCY	4,625	233,000	204,000	227,000
TOTAL BUDGETED EXPENDITURES	\$ 50,000	\$ 2,500,000	\$ 2,550,000	\$ 3,000,000
<u>SOURCE(S) OF FUNDING</u>				
UCONN 2000 PHASE III - DM	\$ 50,000	\$ 2,500,000	\$ 2,550,000	\$ 3,000,000
TOTAL BUDGETED FUNDING	\$ 50,000	\$ 2,500,000	\$ 2,550,000	\$ 3,000,000

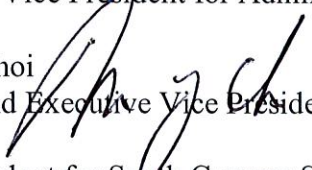
ATTACHMENT 24



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

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

RE: Project Budget for South Campus Stair Repair (Final: \$615,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$615,000 for the South Campus Stair Repair for planning, design and construction.

BACKGROUND:

The South Campus Dormitory and Dining Facility was constructed in the 1990's. Five exterior stairs were constructed of concrete with precast tread/riser units and have cheek walls that are constructed of cast in place concrete with brick veneer and precast concrete caps. The remaining stair is constructed within an exterior corridor running through a portion of the Snow Residence Hall.

Except for the Snow Residence Hall stair, the remaining systems, including the cheek and retaining walls, exhibit significant deterioration of the surface materials. Extensive spalling of brick faces was observed and a few cap stones have moved. The precast stair units have delaminated and are severely cracked in many locations. Moisture has infiltrated into the walls and stairs causing further deterioration.

This project will repair the five deteriorated stair systems. The cheek walls will be reconstructed the existing concrete stair treads will be replaced with granite treads, and the handrails will be replaced.

Office of the Executive Vice President for
Administration and Chief Financial Officer
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PHONE 860.486.3455
FAX 860.486.1070

The South Campus Stair Repair is currently in the Design Phase. Design is anticipated to be complete in June of 2015. Construction is anticipated to begin in July 2015 and be completed in Fall 2015.

The Final Budget is based on a Design Phase construction cost estimate prepared by the consultant.

The University requests a waiver of the three stage budget approval process in order to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget.

The Final Budget is attached for your consideration and approval.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: SOUTH CAMPUS STAIR REPAIRS

	APPROVED PLANNING 9/8/2014	PROPOSED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>		
	PRC	
CONSTRUCTION	\$ -	\$ 460,000
DESIGN SERVICES	29,000	46,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	20,000
OTHER AE SERVICES (including Project Management)	1,100	27,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	7,000
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 30,100	\$ 560,000
PROJECT CONTINGENCY	4,000	55,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 34,100</u>	<u>\$ 615,000</u>
<u>SOURCE(S) OF FUNDING</u>		
UCONN 2000 PHASE III - DM	\$ 34,100	\$ 615,000
TOTAL BUDGETED FUNDING	<u>\$ 34,100</u>	<u>\$ 615,000</u>

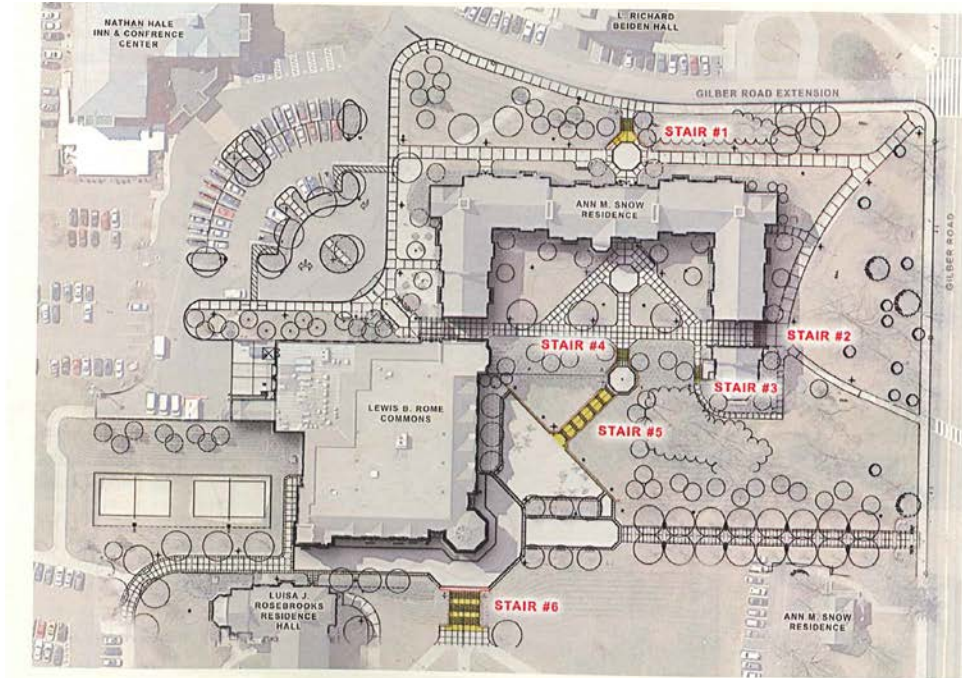
BOT 6.24.15

901883

SOUTH CAMPUS STAIR REPAIR

Project Budget (FINAL)

6/24/2015



STAIR LOCATIONS

Note: Stairs 1,3,4,5 and six are being repaired in this project

ATTACHMENT 25

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim)



Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Center (UCHC) Boiler and Deaerator Tank Replacement (Planning: \$2,200,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of \$2,200,000 for the UCHC Boiler and Deaerator Tank Replacement

BACKGROUND:

The Main Building mechanical system includes a central boiler plant in the basement of the Academic Research Building (ARB). Constructed in 1996, the boiler plant provides hot water for heating and steam generation. The plant serves the entire Main Building including the Hospital, clinical, research, and education space.

As part of the Bioscience Connecticut initiative, Main Building Lab renovations, one backup boiler in a separate location from the main boiler plan will be removed. This project will replace that boiler with a new boiler in the central plant.

Also included in this project is the replacement of the Deaerator tank that serves the entire boiler plant. The Deaerator tank has corroded and is past its useful life. It is critical to replace the Deaerator tank to insure the overall condition of the boiler plant is maintained.

The Planning Budget is attached for your consideration. The Planning Budget is based upon conceptual estimates and may change based upon the actual design work. With your approval the project will proceed into design. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: PLANNING

**PROJECT NAME: UCH MAIN BUILDING BOILER AND DEAERATOR TANK
REPLACEMENT**

<u>BUDGETED EXPENDITURES</u>	<u>APPROVED PLANNING 6/24/2015</u>
CONSTRUCTION	\$ 1,650,000
DESIGN SERVICES	210,000
TELECOMMUNICATIONS	5,000
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	50,000
OTHER AE SERVICES (including Project Management)	50,000
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	25,000
MISCELLANEOUS	10,000
SUBTOTAL	\$ 2,000,000
PROJECT CONTINGENCY	200,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 2,200,000</u>
<u>SOURCE(S) OF FUNDING</u>	
UConn 2000 PHASE III DM	<u>\$ 2,200,000</u>
TOTAL BUDGETED FUNDING	<u>\$ 2,200,000</u>

BOT 6.24.15


14-601.12


ATTACHMENT 26

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim) 

Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Main Building Renovation; Lab ("L")
Building Renovations - Project 2: (Design: \$41,389,671)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of \$41,389,671 for the UConn Health Main Building Renovation, L Building - Project 2.

BACKGROUND:

The UConn Health Main Building includes the Lab (L) building which houses approximately 280,000 gross square feet of research space. The Bioscience Connecticut initiative supplemented the exiting UConn 2000 funds to allow for more complete renovations to the buildings labs and mechanical systems. Project 1, which is under construction, includes renovations to approximately half of the L building research space.

This project continues the renovations of the research space located on floors 4 – 7 and will create large flexible open laboratory space, nearly identical to the labs built under Project 1. In addition, aged mechanical, electrical and plumbing infrastructure will be replaced with new energy efficient systems. At the conclusion of Project 1 and Project 2, approximately 202,000 SF of the 280,000 SF of Lab space in L bldg. will be renovated.

The project is designed to achieve the Leadership in Energy and Environmental (LEED) silver certification.

The Design Budget is attached for your consideration. The budget is reduced from the approved Planning Budget amount to recognize the deferral of portions of the project scope (renovations to approximately 34,0000 sf of lab space) until such time that funding from UConn Health capital, philanthropy, or other sources is obtained. The budget also reflects changes to the funding sources to align available funds with projected cash flows

and incorporates an allocation of funds from UConn Health capital, philanthropy, or other sources into the project. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: DESIGN

**PROJECT NAME: UCH MAIN BUILDING RENOVATION - LAB ("L") BUILDING RENOVATIONS
PROJECT 2**

	APPROVED PLANNING 6/26/2013	PROPOSED DESIGN 6/24/2015
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$ 40,810,000	\$ 30,135,000
DESIGN SERVICES	4,900,000	3,070,000
TELECOMMUNICATIONS	1,445,000	329,000
FURNITURE, FIXTURES AND EQUIPMENT	1,710,000	415,000
CONSTRUCTION ADMINISTRATION	200,000	152,000
OTHER AE SERVICES (including Project Management)	586,000	1,293,000
ART	-	-
RELOCATION	345,000	275,000
ENVIRONMENTAL	615,000	280,000
INSURANCE AND LEGAL	50,000	1,048,000
MISCELLANEOUS	248,000	283,000
OTHER SOFT COSTS	-	-
SUBTOTAL	\$ 50,909,000	\$ 37,280,000
PROJECT CONTINGENCY	5,091,000	4,109,671
TOTAL BUDGETED EXPENDITURES	<u>\$ 56,000,000</u>	<u>\$ 41,389,671</u>
<u>SOURCE(S) OF FUNDING</u>		
UConn 2000 PHASE III	\$ 56,000,000	\$ 40,887,671
UConn HEALTH CAPITAL/OTHER	-	502,000
TOTAL BUDGETED FUNDING	<u>\$ 56,000,000</u>	<u>\$ 41,389,671</u>

UCONN HEALTH (UCH)
MAIN BUILDING RENOVATION:
LAB (“L”) BUILDING RENOVATIONS
Project Budget (DESIGN)
6/24/2015

IMAGE OF PROPOSED RENOVATED LAB SPACE



ATTACHMENT 27

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim)



Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health New Construction and Renovation – Clinic (C)
Building Renovations (Revised Design: \$91,314,604)

RECOMMENDATION:

That the Board of Trustees approve the Revised Design Budget in the amount of \$91,314,604 for the UConn Health New Construction and Renovations: Clinic (C) Building Renovations

BACKGROUND:

As part of the Bioscience Connecticut initiative UConn Health plans to renovate portions of the existing Clinic building. The C building, comprised of 345,000 gross square feet over 4 floors, is the primary entrance to the Main Building. It houses the majority of the outpatient services that are in the Main Building. The renovations under this project will focus on the Dental Teaching Clinics, the Pat and Jim Calhoun Cardiology Center, Clinical Research, and clinical space for a multi-specialty practice. In addition, various mechanical, electrical and plumbing infrastructure systems will be replaced as part of the renovations. The project is designed to achieve Leadership in Energy and Environmental (LEED) silver certification.

The Design Development phase for the project is now complete and the Construction Document phase is underway. Bidding the work is anticipated to take place this fall and construction will begin in early 2016. The construction of this project is being considered to be executed under a Project Labor Agreement.

The Revised Design Budget is attached for your consideration and approval. The budget is reduced from the previously approved amount to recognize the deferral of portions of the project scope (renovations for a new Mechanical Simulation Lab and moving the Clinical Pharmacy) until such time that funding from UConn Health capital, philanthropy, or other sources is obtained. The budget also reflects changes to the funding sources to align available funds with projected cash flows and incorporates an allocation of funds from UConn Health capital,

philanthropy, or other sources into the project. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED DESIGN

**PROJECT NAME: UCH NEW CONSTRUCTION AND RENOVATION: CLINIC BUILDING ("C")
RENOVATIONS**

	APPROVED PLANNING 6/28/2012	APPROVED DESIGN 9/24/2014	PROPOSED REVISED DESIGN 6/24/2015
<u>BUDGETED EXPENDITURES</u>			
CONSTRUCTION	\$ 60,100,000	\$ 70,721,000	\$ 63,800,000
DESIGN SERVICES	6,853,000	6,444,000	7,050,000
TELECOMMUNICATIONS	3,720,000	990,000	990,000
FURNITURE, FIXTURES AND EQUIPMENT	4,082,000	3,462,000	5,298,604
CONSTRUCTION ADMINISTRATION	420,000	420,000	420,000
OTHER AE SERVICES (including Project Management)	2,122,000	2,970,000	3,190,000
ART	-	-	-
RELOCATION	372,000	176,000	176,000
ENVIRONMENTAL	930,000	1,418,000	1,418,000
INSURANCE AND LEGAL	75,000	945,000	1,695,000
MISCELLANEOUS	158,000	22,000	22,000
SUBTOTAL	\$ 78,832,000	\$ 87,568,000	\$ 84,059,604
PROJECT CONTINGENCY	7,883,000	8,758,000	7,255,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 86,715,000</u>	<u>\$ 96,326,000</u>	<u>\$ 91,314,604</u>
<u>SOURCE(S) OF FUNDING</u>			
UConn 2000 PHASE III	\$ 42,716,000	\$ 72,326,000	\$ 86,644,604
UConn HEALTH CAPITAL/OTHER	43,999,000	24,000,000	4,670,000
TOTAL BUDGETED FUNDING	<u>\$ 86,715,000</u>	<u>\$ 96,326,000</u>	<u>\$ 91,314,604</u>

UCONN HEALTH (UCH)
NEW CONSTRUCTION AND RENOVATION
– CLINIC (C) BUILDING RENOVATIONS
Project Budget (REVISED DESIGN)
6/24/2015

PROPOSED MAIN LOBBY RENOVATIONS





ATTACHMENT 28

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Executive Vice President for Health Affairs (interim)

Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Main Building Renovation; Lab ("L")
Building Renovations - Project 1 (Revised Final \$78,415,503)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$78,415,503 for the UConn Health Main Building Renovation, L Building - Project 1

BACKGROUND:

The Board approved a Revised Final Budget in January 2014 in the amount of \$79,215,000 for the UConn Health Main Building Renovation; Lab ("L") Building Renovations - Project 1. The renovation work is creating large flexible open laboratory space and replacing the aged mechanical, plumbing and electrical infrastructure.

The project is 80% complete and is projected to finish in August under budget.

The Revised Final Budget is attached for your consideration and approval. This budget reflects an overall reduction based upon the estimated cost to complete the work and incorporates an allocation of funds from UConn Health capital, philanthropy, or other sources into the project. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

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

	APPROVED PLANNING 6/20/2006	APPROVED REVISED PLANNING 2/28/2012	APPROVED DESIGN 6/28/2012	APPROVED FINAL 12/12/2012	APPROVED REVISED FINAL 1/29/2014	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>						
CONSTRUCTION	\$50,681,800	\$57,042,000	\$58,630,000	\$58,630,000	\$58,845,503	\$62,500,000
DESIGN SERVICES	5,000,000	6,560,000	6,872,000	6,872,000	6,872,000	6,800,000
TELECOMMUNICATIONS		913,000	1,775,000	1,775,000	1,775,000	650,000
FURNITURE, FIXTURES AND EQUIPMENT		1,830,000	1,981,000	1,981,000	1,981,000	1,800,000
CONSTRUCTION ADMINISTRATION		1,780,000	1,780,000	1,780,000	1,780,000	400,000
OTHER AE SERVICES (including Project Management)		320,000	320,000	320,000	320,000	2,105,000
ART (1% OF NEW CONSTRUCTION)		-	-	-	-	-
RELOCATION		280,000	280,000	280,000	280,000	490,000
ENVIRONMENTAL		350,000	69,000	69,000	69,000	265,000
INSURANCE AND LEGAL		80,000	75,000	75,000	75,000	950,000
MISCELLANEOUS		51,000	38,000	38,000	38,000	1,275,000
OTHER SOFT COSTS	12,500,000	-	-	-	-	-
SUBTOTAL	\$68,181,800	\$69,206,000	\$71,820,000	\$71,820,000	\$72,035,503	\$77,235,000
PROJECT CONTINGENCY	6,818,200	6,921,000	7,180,000	7,180,000	7,180,000	1,180,503
TOTAL BUDGETED EXPENDITURES	<u>\$75,000,000</u>	<u>\$76,127,000</u>	<u>\$79,000,000</u>	<u>\$79,000,000</u>	<u>\$79,215,503</u>	<u>\$78,415,503</u>
<u>SOURCE(S) OF FUNDING</u>						
UConn 2000 PHASE III	\$75,000,000	\$76,127,000	\$79,000,000	\$79,000,000	\$79,000,000	\$77,600,000
DPH GRANT	-	-	-	-	215,503	215,503
UConn HEALTH CAPITAL/OTHER	-	-	-	-	-	600,000
TOTAL BUDGETED FUNDING	<u>\$75,000,000</u>	<u>\$76,127,000</u>	<u>\$79,000,000</u>	<u>\$79,000,000</u>	<u>\$79,215,503</u>	<u>\$78,415,503</u>

UCONN HEALTH (UCH)
MAIN BUILDING RENOVATION:
LAB (“L”) BUILDING RENOVATIONS – PROJECT 1
Project Budget (REVISED FINAL)
6/24/2015

IMAGES OF COMPLETED RENOVATED LAB SPACE




ATTACHMENT 29

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim) 

Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health - Medical School Academic Building Addition and Renovations (Revised Final: \$36,050,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$36,050,000 for the Medical School Academic Building Renovation

BACKGROUND:

The Board approved a Final Budget in February 2015 in the amount of \$35,550,000 for the addition and renovations to the Medical and Dental Academic Building. The addition and the renovations will support the potential increase in the school's enrollments by 30% and will provide space to support curriculum changes.

The addition and renovations will provide approximately 17,650 sf of new space including a 216 seat flat floor learning studio and eight additional classrooms. The renovation work includes redesign of the Patterson auditorium for the Dental School classes, constructing additional classrooms of varied size, and modifications to the Human Anatomy Labs.

The construction work began in March and is 5% complete.

The Revised Final Budget is attached for your consideration and approval. This budget reflects changes in the funding amounts and incorporates an allocation of funds from UConn Health capital, philanthropy, or other sources into the project. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

PROJECT NAME: **UCH MEDICAL SCHOOL ACADEMIC BUILDING RENOVATION**

	APPROVED PLANNING 4/25/2012	APPROVED DESIGN 9/24/2014	APPROVED FINAL 2/25/2015	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>				
CONSTRUCTION	\$ 20,125,000	\$ 23,900,000	\$ 25,490,000	\$ 25,490,000
DESIGN SERVICES	2,585,000	3,150,000	3,137,000	3,137,000
TELECOMMUNICATIONS	1,550,000	1,365,000	1,148,000	1,148,000
FURNITURE, FIXTURES AND EQUIPMENT	1,800,000	2,105,000	1,784,000	1,784,000
CONSTRUCTION ADMINISTRATION	300,000	200,000	200,000	200,000
OTHER AE SERVICES (including Project Management)	1,400,000	1,145,000	1,125,000	1,125,000
ART	-	-	-	-
RELOCATION	45,000	145,000	145,000	145,000
ENVIRONMENTAL	25,000	150,000	150,000	150,000
INSURANCE AND LEGAL	25,000	350,000	344,000	844,000
MISCELLANEOUS	30,000	30,000	90,000	90,000
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	\$ 27,885,000	\$ 32,540,000	\$ 33,613,000	\$ 34,113,000
PROJECT CONTINGENCY	2,865,000	3,210,000	1,937,000	1,937,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 30,750,000</u>	<u>\$ 35,750,000</u>	<u>\$ 35,550,000</u>	<u>\$ 36,050,000</u>
<u>SOURCE(S) OF FUNDING</u>				
UCONN 2000 PHASE III	\$ 30,750,000	\$ 35,750,000	\$ 35,550,000	\$ 35,350,000
UCONN HEALTH CAPITAL/OTHER	-	-	-	700,000
TOTAL BUDGETED FUNDING	<u>\$ 30,750,000</u>	<u>\$ 35,750,000</u>	<u>\$ 35,550,000</u>	<u>\$ 36,050,000</u>

UCONN HEALTH (UCH)
MEDICAL SCHOOL ACADEMIC BUILDING ADDITION
AND RENOVATION
Project Budget (REVISED FINAL)
6/24/2015

PROPOSED ADDITION TO THE ACADEMIC BUILDING



ATTACHMENT 30

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim)



Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Center (UCHC) New Construction
and Renovations: New Hospital Tower (Revised Final: \$325,866,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$325,866,000 for the UConn Health New Construction and Renovations: New Hospital Tower

BACKGROUND:

The Board approved a Revised Final Budget in September 2014 in the amount of \$359,366,000 for the construction of a new patient care tower and renovations of the existing John Dempsey Hospital. The new bed tower includes 169 private patient rooms, a 12 room operating room suite, and a 42 bay Emergency Department, and two parking garages with total capacity of 800 cars.

This project is being implemented in three phases. The status of the phases is as follows:

- Phase 1: Parking Garage 3 and site utility work; Completed April 2013
- Phase 2: New Bed Tower and Parking Garage 2; 65 % complete
- Phase 3: Renovations to the existing JDH Bed Tower (Building H): Work deferred

The renovation work related to the existing Hospital building includes the replacement of the building's mechanical, electrical and plumbing infrastructure, and renovating space to allow for the relocation of the pharmacy and lab services programs. The scope related to the renovations is being deferred pending funding from UConn Health, Philanthropy, or other sources.

The Revised Final Budget is attached for your consideration and approval. This budget reflects an overall reduction based upon the deferral of the work related to Phase 3 noted above. This revision also incorporates an allocation of funds from UConn Health capital,

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

PROJECT NAME: **UCH NEW CONSTRUCTION AND RENOVATION**

	APPROVED PLANNING 6/10/2010	APPROVED REVISED PLANNING 2/28/2012	APPROVED DESIGN 4/25/2012	APPROVED FINAL 2/27/2013	APPROVED REVISED FINAL 9/24/2014	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>						
CONSTRUCTION	\$ 224,000,000	\$ 249,438,000	\$ 251,438,000	\$ 251,289,000	\$ 255,485,000	\$ 235,000,000
DESIGN SERVICES	25,000,000	23,539,000	23,539,000	23,307,000	23,750,000	22,950,000
TELECOMMUNICATIONS	11,000,000	10,830,000	10,830,000	9,842,000	9,725,000	8,250,000
FURNITURE, FIXTURES AND EQUIPMENT	31,000,000	30,994,000	30,994,000	31,025,000	30,035,000	27,150,000
CONSTRUCTION ADMINISTRATION	1,000,000	3,410,000	3,410,000	3,410,000	3,575,000	3,575,000
OTHER AE SERVICES (including Project Mgmt)	5,000,000	8,668,000	8,668,000	9,173,000	7,785,000	9,500,000
ART (1% OF NEW CONSTRUCTION)	1,400,000	1,574,000	1,574,000	1,574,000	1,574,000	1,574,000
RELOCATION	1,500,000	1,397,000	1,397,000	1,397,000	1,260,000	735,000
ENVIRONMENTAL	1,000,000	817,140	817,140	788,000	895,000	380,000
INSURANCE AND LEGAL	250,000	200,000	200,000	3,811,000	4,320,000	5,250,000
MISCELLANEOUS	350,000	391,750	391,750	360,000	1,879,000	2,125,000
OTHER SOFT COSTS	-	-	-	-	-	-
SUBTOTAL	\$ 301,500,000	\$ 331,258,890	\$ 333,258,890	\$ 335,976,000	\$ 340,283,000	\$ 316,489,000
PROJECT CONTINGENCY	30,500,000	33,127,110	31,127,110	28,410,000	19,083,000	9,377,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 332,000,000</u>	<u>\$ 364,386,000</u>	<u>\$ 364,386,000</u>	<u>\$ 364,386,000</u>	<u>\$ 359,366,000</u>	<u>\$ 325,866,000</u>
<u>SOURCE(S) OF FUNDING</u>						
UConn 2000 PHASE III - PLANNING & DESIGN COSTS	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000	\$ 25,000,000
UConn 2000 PHASE III - NEW CONSTRUCTION & RENOVATION	207,000,000	314,386,000	314,386,000	314,386,000	289,366,000	293,288,000
OTHER NON-STATE FUNDS	100,000,000	-	-	-	-	-
UCH CAPITAL OR OTHER	-	25,000,000	25,000,000	25,000,000	45,000,000	7,578,000
TOTAL BUDGETED FUNDING	<u>\$ 332,000,000</u>	<u>\$ 364,386,000</u>	<u>\$ 364,386,000</u>	<u>\$ 364,386,000</u>	<u>\$ 359,366,000</u>	<u>\$ 325,866,000</u>

UCONN HEALTH (UCH)
NEW CONSTRUCTION AND RENOVATIONS:
NEW HOSPITAL TOWER
Project Budget (REVISED FINAL)
6/24/2015

NEW HOSPITAL TOWER: WEST ELEVATION, NEW EMERGENCY DEPT AND OR AREA



Progress East View: May 15, 2015



ATTACHMENT 31

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim)



Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health New Construction and Renovations: Roadway and Intersection Improvements (Revised Final: \$5,786,250)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$5,786,250 for the Roadway & Intersection Improvements project

BACKGROUND:

The Board approved a Final Budget in January 2014 in the amount of \$5,710,000 for the Roadway and Intersection Improvement project. This project was required to make on-campus as well as off-campus roadway and traffic control improvements to mitigate increased traffic volumes that are projected as a result of the construction of the New Hospital Building, Ambulatory Care Center and the Jackson labs facilities. The project is 99% complete at this time.

The Ground Lease Agreement with the Jackson Laboratories (JAX) requires that JAX reimburse UCHC for a portion of the cost of the improvements based upon their proportioned share of projected traffic generation.

The Revised Final Budget is attached for your consideration and approval. This budget reflects adjustments to the Jackson Laboratory calculated share (20% of work required by the Environmental Impact Evaluation) and an adjustment in the funding amount from UCONN 2000. These adjustments align funding sources with costs of additional work that was required due to unforeseen field conditions. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

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

	APPROVED PLANNING 6/26/2013	APPROVED DESIGN 9/25/2013	APPROVED FINAL 1/29/2014	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>				
CONSTRUCTION	\$ 3,876,000	\$ 4,655,000	\$ 4,655,000	\$ 5,159,000
DESIGN SERVICES*	427,000	-	-	-
TELECOMMUNICATIONS	-	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-
CONSTRUCTION ADMINISTRATION	150,000	185,000	185,000	463,000
OTHER AE SERVICES (including Project Management)	240,000	240,000	240,000	22,500
ART	-	-	-	-
RELOCATION	-	-	-	-
ENVIRONMENTAL	20,000	20,000	20,000	-
INSURANCE AND LEGAL	25,000	25,000	25,000	25,000
MISCELLANEOUS	66,000	65,000	65,000	98,000
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	\$ 4,804,000	\$ 5,190,000	\$ 5,190,000	\$ 5,767,500
PROJECT CONTINGENCY	481,000	520,000	520,000	18,750
TOTAL BUDGETED EXPENDITURES	<u>\$ 5,285,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,786,250</u>
<u>SOURCE(S) OF FUNDING</u>				
UConn 2000 PHASE III - DM	\$ 5,285,000	\$ -	\$ -	\$ -
UConn 2000 PHASE III	-	4,568,000	4,568,000	4,688,000
JACKSON LABORATORIES	-	1,142,000	1,142,000	1,098,250
TOTAL BUDGETED FUNDING	<u>\$ 5,285,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,710,000</u>	<u>\$ 5,786,250</u>

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

UCONN HEALTH (UCH)
NEW CONSTRUCTION AND RENOVATIONS:
ROADWAY AND INTERSECTION IMPROVEMENTS
Project Budget (REVISED FINAL)
6/24/2015

New Roundabout at Lower Campus



ATTACHMENT 32

UConn HEALTH

June 24, 2015

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA
Executive Vice President for Health Affairs (interim)



Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Project Budget for the UConn Health Research Tower – Incubator Lab
Addition to the Cell and Genome Sciences Building (Revised Final: \$19,800,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$19,800,000 for the Incubator Lab Addition to the Cell and Genome Sciences Building

BACKGROUND:

The Board approved a Final Budget in September 2014 in the amount of \$19,400,000 for the construction of 28,000 square feet of research incubator lab space as an addition to the Cell and Genome Sciences Building (CGSB) at 400 Farmington Avenue. The labs will be similar to the existing CGSB incubator labs, providing a variety of sizes for startup companies to lease.

The addition is under construction and is 20% complete.

The Revised Final Budget is attached for your consideration. This budget reflects changes in the funding amounts and incorporates an allocation of funds from UConn Health capital, philanthropy, or other sources into the project. The UConn Health Board of Directors is anticipated to approve this budget at their June 15, 2015 meeting.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: UCH RESEARCH TOWER: INCUBATOR LAB ADDITION TO THE CELL & GENOME SCIENCES BUILDING

	APPROVED PLANNING 9/27/2012	APPROVED REVISED PLANNING 12/12/2012	APPROVED DESIGN 6/25/2014	APPROVED FINAL 9/24/2014	PROPOSED REVISED FINAL 6/24/2015
<u>BUDGETED EXPENDITURES</u>					
CONSTRUCTION	\$ 7,863,000	\$ 14,020,000	\$ 14,598,000	\$ 15,000,000	\$ 15,190,000
DESIGN SERVICES	1,043,000	1,380,000	1,490,000	1,501,000	1,501,000
TELECOMMUNICATIONS	286,000	780,000	252,000	252,000	252,000
FURNITURE, FIXTURES AND EQUIPMENT	400,000	800,000	225,000	222,000	275,000
CONSTRUCTION ADMINISTRATION	-	-	250,000	250,000	250,000
OTHER AE SERVICES (including Project Management)	483,000	575,000	475,000	489,000	535,000
ART	-	-	-	-	-
RELOCATION	-	-	-	-	-
ENVIRONMENTAL	-	-	20,000	20,000	-
INSURANCE AND LEGAL	50,000	50,000	240,000	238,000	538,000
MISCELLANEOUS	30,000	30,000	85,000	83,000	65,000
SUBTOTAL	\$ 10,155,000	\$ 17,635,000	\$ 17,635,000	\$ 18,055,000	\$ 18,606,000
PROJECT CONTINGENCY	1,015,000	1,765,000	1,765,000	1,345,000	1,194,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 11,170,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,800,000</u>
<u>SOURCE(S) OF FUNDING</u>					
UCONN 2000 PHASE III	\$ 11,170,000	\$ 19,400,000	\$ 19,400,000	\$ 19,400,000	\$ 19,250,000
UCONN HEALTH CAPITAL/OTHER	-	-	-	-	550,000
TOTAL BUDGETED FUNDING	<u>\$ 11,170,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,400,000</u>	<u>\$ 19,800,000</u>

UCONN HEALTH (UCH)
RESEARCH TOWER – INCUBATOR LAB
ADDITION TO THE CELL AND GENOME SCIENCES BUILDING
Project Budget (REVISED FINAL)
6/24/2015

**Addition to the Cell and Genome Sciences Building
Progress as of March 2015**




ATTACHMENT 33



June 24, 2015

TO: Members of the Board of Trustees

FROM: Scott A. Jordan 
Executive Vice President for Administration and Chief Financial Officer

RE: Electric Distribution Easement to CL&P – North Hillside Road, Storrs Campus

RECOMMENDATION:

That the Board of Trustees grants an easement to the Connecticut Light & Power Company (CL&P) for the construction and maintenance of an electrical distribution system, along North Hillside Road, Storrs, Connecticut.

BACKGROUND:

This easement is associated with CL&P's construction and maintenance of an electrical distribution system from the intersection of Route 44 and North Hillside Road (presently under construction), south down North Hillside Road, to the Lot 'C' access drive and west down a portion of the Lot 'C' access drive. The purpose of this easement is to provide electricity to the University's technology park and to provide electricity needed to satisfy the Department of Transportation's requirement for roadway lighting upon completion of North Hillside Road.

The area of this easement is shown on the attached sheets entitled "Compilation Plan: Map Showing Easement Area to be Granted to the Connecticut Light and Power Company Across the Property of the University of Connecticut North Hillside Road Storrs, Connecticut". This drawing also shows equipment and duct banks will be located within the easement area.

The University will seek no consideration for this easement because it is for the benefit of the University, i.e., it is being granted for the purpose of providing electrical service to the future location of the technology park and providing electricity for roadway lighting.

Also attached for your reference is a copy of the form of easement supplied by CL&P, which will be subject to negotiation.

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

ELECTRIC DISTRIBUTION EASEMENT

The State of Connecticut, acting herein by its Treasurer or duly authorized representative, at the request of the Board of Trustees of the University of Connecticut (collectively, hereinafter the "Grantor") acting pursuant to Conn. Gen. Stat. § 4b-21(a), hereby grants to The Connecticut Light and Power Company, a specially chartered Connecticut corporation with offices in Berlin, Connecticut, its successors and assigns, (hereinafter the "Grantee"), the perpetual right to construct, maintain, replace, relocate, remove and rebuild on, across, over and under the land hereinafter described (Easement Area), an electric distribution system consisting of poles, guys, braces, wires, cables, conduits, transformers, transformer pads, pedestals, meters, structures for street lights and traffic signals, fixtures and other appurtenances useful for providing electric, communication, signal and streetlighting service (including wires, cables and conduits running from the poles, transformers and pedestals to any structures erected on the Grantor's lands); the right to provide electric, communication, signal and streetlighting service by means of the same; and the right to enter the Grantor's lands for the purpose of inspecting, maintaining or removing same and the right, after consultation with the Grantor when practicable, to trim and keep trim, cut and remove such trees or shrubbery as in the judgment of the Grantee are necessary to maintain its services.

Said Easement Area is located on the Grantor's lands on the southerly side of Connecticut Route 44 on North Hillside Road in the Town of Mansfield, Connecticut, as more particularly described on a map entitled "CL&P File No. E4132 Compilation Plan Map Showing Easement Area to be Granted to The Connecticut Light & Power Company Across the Property of The University of Connecticut North Hillside Road Storrs, Connecticut Date: 2/5/2015 Scale: Horz.: 1"=50' Sheets VE-01, VE-02 and VE-03" which map has been on or will be filed in the office of the Town Clerk of said Town of Mansfield, Connecticut.

The Grantor agrees, except with the written permission of the Grantee, that: (i) no building, structure, or other improvement or obstruction shall be located upon, there shall be no excavation, filling, flooding or grading of, and there shall be no parking of vehicles or planting of trees or shrubbery upon the Easement Area or outside the Easement Area within five (5) feet from any facilities or appurtenance installed to provide services to any structures erected on the Grantor's premises; and (ii) nothing shall be attached, temporarily or permanently, to any property of the Grantee installed by virtue of this easement. The Grantee may, without liability to the Grantor and at the expense of the Grantor, remove and dispose of any of the aforesaid made or installed in violation of the above and restore said land to its prior condition. In the event of damage to or destruction of any of said facilities of the Grantee by the Grantor or agents or employees thereof, all costs of repair or replacement shall be borne by the Grantor.

The Grantor shall use due care to avoid damage to any Grantee equipment at said facilities of Grantee. In the event of (i) alleged damage to or destruction of any of said facilities of the Grantee by the Grantor or agents or employees thereof or (ii) any request or demand for payment by the Grantee under the terms of this paragraph, Grantee may, as its sole remedy, file a claim pursuant to Connecticut General Statutes Section 4-141 et seq., which claim may be opposed by the Grantor.

The Grantee further agrees, by the acceptance of this deed, that as long as and to the extent that the electric distribution system together with all appurtenances, located on said land pursuant to this easement are used to provide electric, communication, signal or streetlighting service, the Grantee will repair, replace and maintain such facilities at its own expense (except as otherwise provided herein) and in connection with any repair, replacement or maintenance of said system the Grantee shall promptly restore the premises to substantially the same condition as existed prior to such repair, replacement or maintenance, provided, however, that such restoration shall not include any structures, other improvements or plantings made by the Grantor contrary to the provisions of this easement.

If any portion of the above described land upon or under which said facilities or appurtenances thereto shall be located, is now or hereafter becomes a public street or highway or a part thereof, permission, as set forth in Section 16-234 of the General Statutes of Connecticut relating to adjoining landowners, is hereby given to the Grantee and to its successors and assigns, to use that portion of the land for the purposes and in the manner above described.

Any right herein described or granted, or any interest therein or part thereof, may be assigned to any communication or signal company by the Grantee, and the Grantor hereby agrees to and ratifies any such assignment and agrees that the interest so assigned may be used for the purposes described therein for communication or signal purposes.

The words "Grantor" and "Grantee" shall include lessees, heirs, executors, administrators, successors and assigns where the context so requires or permits.

TO HAVE AND TO HOLD the premises unto it, the said Grantee, its successors and assigns, forever.

File No. E4132
Please Return to:
Real Estate Department
Eversource
63R Myrock Avenue
Waterford, CT 06385

DRAFT

IN WITNESS WHEREOF, the State of Connecticut, acting through its Treasurer or duly authorized designee, has hereunto caused her hand and seal to be affixed this ____ day of _____, in the year of two thousand and fifteen.

Signed, Sealed and Delivered
In the presence of:

GRANTOR
THE STATE OF CONNECTICUT

Witness

BY: _____
Its Treasurer
Or other duly-authorized Designee

Witness

STATE OF CONNECTICUT

ss:

COUNTY OF HARTFORD

On this ____ day of _____, 2015, before me, the undersigned officer, personally appeared _____, known to me to be the person whose name is subscribed to the above instrument, who subscribed and swore to the same before me on this date and acknowledged that _____ executed the same for the purposes therein contained.

IN WITNESS WHEREOF, I have hereunto set my hand.

Commissioner of the Superior Court
Notary Public
My Commission Expires: _____

Signed, Sealed and Delivered
In the presence of:

GRANTOR
UNIVERSITY OF CONNECTICUT

Witness

BY: _____
_____, duly authorized

Witness

STATE OF CONNECTICUT

ss:

COUNTY OF HARTFORD

ON this ____ day of _____, 2015, before me, the undersigned officer, personally appeared _____, known to me to be the person whose name is subscribed to the above instrument, who subscribed and swore to the same before me on this date and acknowledged that _____ executed the same for the purposes therein contained.

IN WITNESS WHEREOF, I have hereunto set my hand.

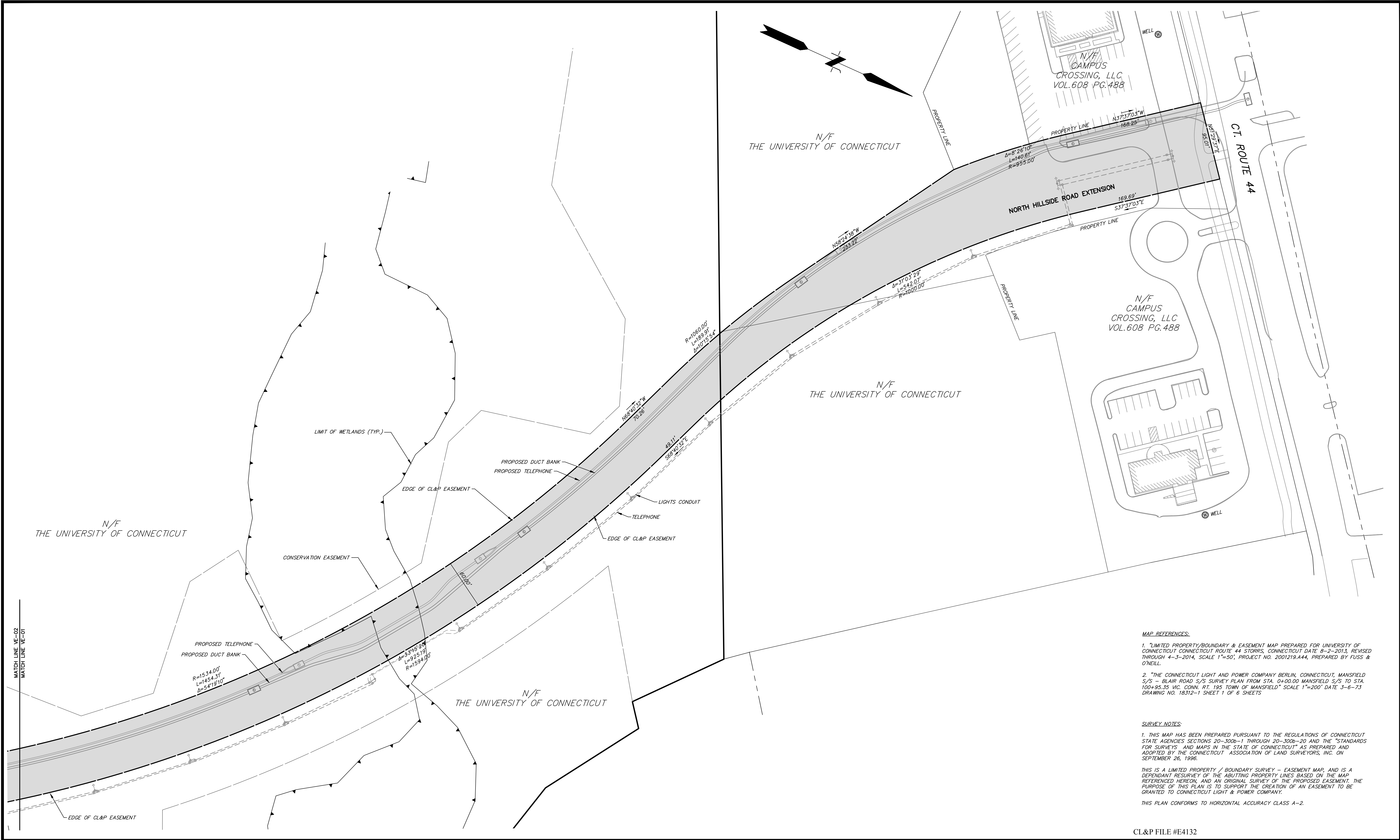
Commissioner of the Superior Court
Notary Public
My Commission Expires: _____

APPROVED AS TO FORM:

Associate Attorney General

Date: _____

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MAP REFERENCES:

1. "LIMITED PROPERTY/BOUNDARY & EASEMENT MAP PREPARED FOR UNIVERSITY OF CONNECTICUT CONNECTICUT ROUTE 44 STORRS, CONNECTICUT DATE 8-2-2013, REVISED THROUGH 4-3-2014, SCALE 1"=50', PROJECT NO. 2001219.A44, PREPARED BY FUSS & O'NEILL.

2. "THE CONNECTICUT LIGHT AND POWER COMPANY BERLIN, CONNECTICUT, MANSFIELD S/S - BLAIR ROAD S/S SURVEY PLAN FROM STA. 0+00.00 MANSFIELD S/S TO STA. 100+95.35 VIC. CONN. RT. 195 TOWN OF MANSFIELD" SCALE 1"=200' DATE 3-6-73 DRAWING NO. 18312-1 SHEET 1 OF 6 SHEETS

SURVEY NOTES:

1. THIS MAP HAS BEEN PREPARED PURSUANT TO THE REGULATIONS OF CONNECTICUT STATE AGENCIES SECTIONS 20-300b-1 THROUGH 20-300b-20 AND THE "STANDARDS FOR SURVEYS" AND MAPS IN THE STATE OF CONNECTICUT" AS PREPARED AND ADOPTED BY THE CONNECTICUT ASSOCIATION OF LAND SURVEYORS, INC. ON SEPTEMBER 26, 1996.

THIS IS A LIMITED PROPERTY / BOUNDARY SURVEY - EASEMENT MAP, AND IS A DEPENDANT RESURVEY OF THE ABUTTING PROPERTY LINES BASED ON THE MAP REFERENCED HEREON, AND AN ORIGINAL SURVEY OF THE PROPOSED EASEMENT. THE PURPOSE OF THIS PLAN IS TO SUPPORT THE CREATION OF AN EASEMENT TO BE GRANTED TO CONNECTICUT LIGHT & POWER COMPANY.

THIS PLAN CONFORMS TO HORIZONTAL ACCURACY CLASS A-2.

CL&P FILE #E4132

No.	DATE	DESCRIPTION	DESIGNER	REVIEWER
1.				

SEAL

SEAL

THIS MAP IS CERTIFIED TO THE UNIVERSITY OF CONNECTICUT, STATE OF CONNECTICUT, AND FIDELITY NATIONAL TITLE INSURANCE COMPANY TO MY KNOWLEDGE AND BELIEF, THIS MAP IS SUBSTANTIALLY CORRECT AS NOTED HEREON.

MICHAEL L. EARLEY, P.E. L.S. 70224
LICENSE No.

SCALE:
HORZ.: 1" = 50'
VERT.:
DATUM:
HORZ.: NAD 83
VERT.:
50 25 0 50
GRAPHIC SCALE



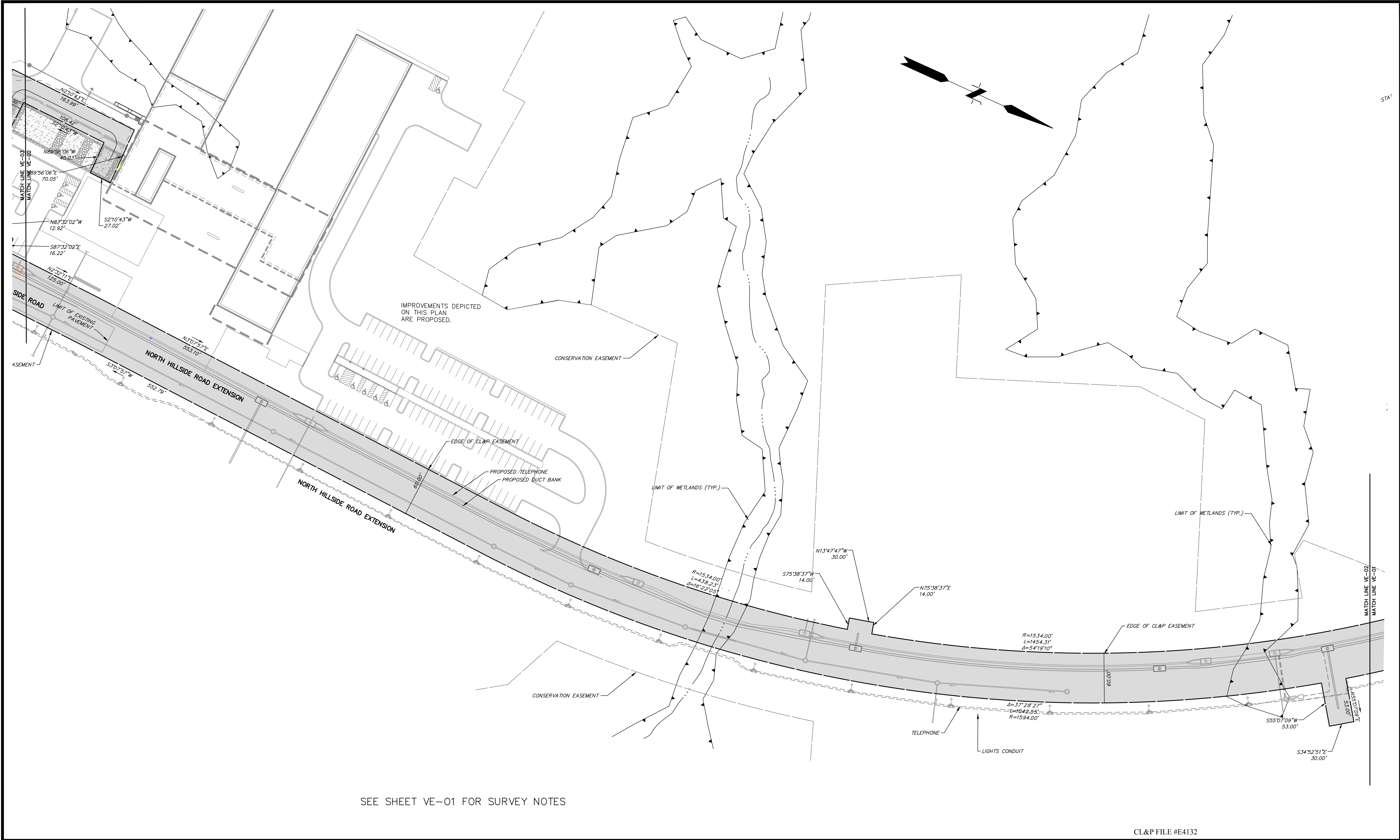
FUSS & O'NEILL
146 HARTFORD ROAD
MANCHESTER, CONNECTICUT 06040
860.646.2469
www.fando.com

COMPILATION PLAN
MAP SHOWING EASEMENT AREA
TO BE GRANTED TO
THE CONNECTICUT LIGHT & POWER COMPANY
ACROSS THE PROPERTY OF THE UNIVERSITY OF CONNECTICUT
NORTH HILLSIDE ROAD STORRS, CONNECTICUT

PROJ. No.: 2001219.A45
DATE: 2/5/2015

VE-01

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MS VIEW: Plotter: DWG TO PDF.PC3 CTB File: FO.STB



No.	DATE	DESCRIPTION	DESIGNER	REVIEWER
1.				

SEAL

SEAL

THIS MAP IS CERTIFIED TO THE UNIVERSITY OF CONNECTICUT, STATE OF CONNECTICUT, AND FIDELITY NATIONAL TITLE INSURANCE COMPANY TO MY KNOWLEDGE AND BELIEF, THIS MAP IS SUBSTANTIALLY CORRECT AS NOTED HEREON.

MICHAEL L. EARLEY, P.E. I. S.

70224

LICENSE No.

SCALE:

HORIZ.: 1" = 50'

VERT.:

DATUM:

HORIZ.: NAD 83

VERT.:

50 25 0 50

GRAPHIC SCALE

f

FUSS & O'NEILL

146 HARTFORD ROAD
MANCHESTER, CONNECTICUT 06040
860.646.2469
www.fando.com

COMPILATION PLAN
MAP SHOWING EASEMENT AREA
TO BE GRANTED TO
THE CONNECTICUT LIGHT & POWER COMPANY
ACROSS THE PROPERTY OF THE UNIVERSITY OF CONNECTICUT
NORTH HILLSIDE ROAD STORRS, CONNECTICUT

PROJ. No.: 2001219.A45
DATE: 2/5/2015

VE-02

INFORMATIONAL ITEMS

University of Connecticut Department of Human Resources
New Hires Processed from April 17, 2015 - June 10, 2015
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
ABBOTT, KELSEY S.	UC PROFESSIONAL 05 - ASST ORIENT COORD	ORIENTATION SERVICES	4/17/2015
AUGUSTE, MARISA E.	RESEARCH ASSISTANT 2	CT TRANSPORTATION INST	5/1/2015
BARON, AMANDA	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	ACCOUNTS PAYABLE	5/26/2015
BENTSON, KIMBERLY R.	U ED ASSISTANT 3	DIVERSITY & EQUITY	5/1/2015
BRACE, KYLE A.	U ED ASSISTANT 3	LABOR RELATIONS	5/29/2015
BRUNO, NICOLE G.	UC PROFESSIONAL 05 - PROGRAM COORD	STUDENT ACTIVITIES	5/26/2015
COTE, MICHELLE A.	EXT INSTRUCTOR	CCEI	5/1/2015
D'ANTONIO, FRANCESCA V.	UC PROFESSIONAL 01 - FINANCIAL ASST I	LIBERAL ARTS & SCI DEAN	5/29/2015
DEMARCHI, BRETT A.	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	ACADEMIC RENOVATIONS OPS	4/17/2015
DONG, HONGLI	RESEARCH ASSOCIATE 1	NUTRITIONAL SCIENCES	5/18/2015
DUNCAN, KATHERINE H.	UC PROFESSIONAL 06 - PROGRAM ADMIN	BUSINESS DEAN OFC	5/1/2015
DUNN, MATTHEW F.	UC PROFESSIONAL 06 - PROGRAM SPEC I	BUSINESS DEAN OFC	5/1/2015
EIMERMAN, CHRISTOPHER A.	UC PROFESSIONAL 05 - RES HALL DIRECTOR	RESIDENTIAL LIFE OFC	4/17/2015
GARRIDO BISCEGLIA, VALERI	UC PROFESSIONAL 07 - BUSINESS CONSULTANT	CT SMALL BUSINESS DEV CTR	6/1/2015
GLYBIN, VITALY	UC PROFESSIONAL 07 - OPER SYS PROG/ANAL 2	INST RESEARCH & EFFECTIVE	5/15/2015
HUNT, AMELIA M.	UC PROFESSIONAL 04 - TECHNICAL ASST I	PATHOBIOLOGY	4/17/2015
KELLEHER, BRIAN A.	UC PROFESSIONAL 06 - COMP PROG/ANLYST 1	UNIVERSITY COMMUNICATIONS	5/15/2015
KIRVELEVICIUS, RIMANTAS	U ASST DIRECTOR	ANIMAL CARE	5/11/2015
LAKENBACH, MATTHEW D.	UC PROFESSIONAL 04 - PROGRAM ASSISTANT II	VP GLOBAL AFFAIRS	6/8/2015
LI, XUN	ACAD ASSISTANT I	CHIP	4/27/2015
MCCONNEL, MARK A.	UC PROFESSIONAL 05 - ADMIN COORDINATOR	ECONOMICS	5/1/2015
MEDEIROS, ELISA	UC PROFESSIONAL 06 - TECHNICAL ASST III	LIBERAL ARTS & SCI DEAN	5/29/2015
MEROW, CORY G.	U POST DOC FEL 1	ECOLOGY & EVOL BIOLOGY	5/15/2015
MODAK, ARNAB	U POST DOC FEL 1	MOLECULAR & CELL BIOLOGY	6/1/2015
MOQUIN, JOANNE M.	UC PROFESSIONAL 04 - FIN AID COUNSELOR	FINANCIAL AID OFC	5/15/2015
MORSE, MICHELLE	UC PROFESSIONAL 05 - ADMIN COORDINATOR	FINANCIAL AID OFC	5/27/2015
MUSTAFA, NASREEN C.	UC PROFESSIONAL 05 - PROGRAM COORD	CTR STUDENTS DISABILITIES	4/17/2015

University of Connecticut Department of Human Resources
New Hires Processed from April 17, 2015 - June 10, 2015
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
NIGRELLI, MICHAEL P.	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	STUDENT ACTIVITIES	4/17/2015
OSE, JEAN E.	UC PROFESSIONAL 08 - INFO SYS ANALYST III	CONTROLLER OFC	4/17/2015
RALICKI, HANNAH F.	RESEARCH ASSISTANT I	ECOLOGY & EVOL BIOLOGY	5/26/2015
REVANGIL, WESLEY E.	UC PROFESSIONAL 06 - FIN AID OFFICER	FINANCIAL AID OFC	5/18/2015
SMITH, MARYJANE	UC PROFESSIONAL 05 - LAB TECHNICIAN III	WATERBURY DIRECTOR OFC	5/15/2015
STIEPOCK, LISA T.	UC PROFESSIONAL 08 - WRITER/EDITOR IV	UNIVERSITY COMMUNICATIONS	4/30/2015
TENCZA, BRIAN J.	UC PROFESSIONAL 03 - PROG ASSISTANT I	ATHLETICS FACILITIES/OPER	4/17/2015
TOLENTINO, EDGAR J.	SPECIALIST IA - ASSISTANT COACH	ATHLETICS WMNS INTERCOL	4/27/2015
WANJERA, OSUNDWA F.	U STAFF PROF III	INST RESEARCH & EFFECTIVE	5/1/2015
WATERMAN, MOLLY K.	RESEARCH ASSISTANT I	PSYCHOLOGY	5/1/2015

University of Connecticut Department of Human Resources
Separations Processed from April 17, 2015 - June 10, 2015
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPT	DATE
AHERN MOGAYZEL, JEANNE	UC PROFESSIONAL 05 - MUSEUM SHOP MGR	RETIREMENT (55/W 10-24 YEARS)	ARTMUS	5/31/2015
BARKER, KEITH	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	CSE	5/31/2015
BASS, RICHARD	D PROFESSOR - DISTINGUISHED PROF	RETIREMENT (55/W 10-24 YEARS)	MATH	5/31/2015
BLOOM, LYNN Z.	D PROFESSOR - DISTINGUISHED PROF	RETIREMENT (25+ YRS SERVICE)	ENGL	5/31/2015
BOURRET, SUSAN S.	UC PROFESSIONAL 06 - DATA BASE PROG/ANLST	RETIREMENT (55/W 10-24 YEARS)	ADMISS	4/30/2015
BURKE, ELIZABETH	SP INTERNAL LECT II	RETIREMENT (55/W 10-24 YEARS)	SPEECH	5/31/2015
CARTER, SARA A.	RESEARCH ASSISTANT 1	RESIGNATION (GOOD STANDING)	SW	6/11/2015
CONNER, SANDRA	U ED ASSISTANT 3	RESIGNATION (GOOD STANDING)	PROVOS	6/1/2015
CROW, LAURA J.	PROFESSOR	RETIREMENT (55/W 10-24 YEARS)	DRAM	5/31/2015
DESROSIERS, JANE L.	UC PROFESSIONAL 05 - SHS INFORMATION COOR	RETIREMENT (55/W 10-24 YEARS)	HEALTH	4/30/2015
DILAURENZIO, JUDITH D.	UC PROFESSIONAL 09 - EXEC PROGRAM DIR	RETIREMENT (55/W 10-24 YEARS)	TORR	4/30/2015
DOWDING, TIMOTHY	PROFESSOR IN RES	RETIREMENT (55/W 10-24 YEARS)	CITI	4/30/2015
DUFILIE, PAUL A.	ACAD ASSISTANT III	RETIREMENT (25+ YRS SERVICE)	ECE	4/30/2015
DUNN, CATHERINE M.	UC PROFESSIONAL 09 - U LIBRARIAN III	RESIGNATION (GOOD STANDING)	LAW	6/2/2015
ELDRIDGE, BRUCE	U STAFF PROF III	RETIREMENT (55/W 10-24 YEARS)	HR	4/30/2015
ELSEY, JAMES W.	RESEARCH ASSISTANT 1	RESIGNATION (GOOD STANDING)	CHIP	5/15/2015
FALL, LINDA M.	UC PROFESSIONAL 05 - ADMIN SERV SPEC III	RETIREMENT (25+ YRS SERVICE)	REGIS	4/30/2015
GALFANO, CARLA A.	UC PROFESSIONAL 05 - ART MUSEUM REGISTRAR	RESIGNATION (GOOD STANDING)	ARTMUS	5/8/2015
GARCIA, ALFRED JR	UC PROFESSIONAL 04 - ADMIN SERV SPEC II	RESIGNATION (GOOD STANDING)	BUDGET	5/14/2015
GIBEAULT, CONNIEJO	UC PROFESSIONAL 07 - SHS NURSE/COORD	RESIGNATION (GOOD STANDING)	HEALTH	5/1/2015
GLADUE, DOUGLAS P.	RESEARCH ASSOCIATE 1	RESIGNATION (GOOD STANDING)	PATH	5/15/2015
GOODKIND, THOMAS	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	EDCI	5/31/2015
GRAY, EMILY A.	UC PROFESSIONAL 01 - LAB ASST	RESIGNATION (GOOD STANDING)	BIOL	5/31/2015
HAYDEN, KATHRYN M.	UC PROFESSIONAL 06 - INS RESEARCH ANAL I	RESIGNATION (GOOD STANDING)	OIRE	4/30/2015
HEALY, LYNNE M.	D PROFESSOR - DISTINGUISHED PROF	RETIREMENT (25+ YRS SERVICE)	SW	5/31/2015
HENRY, DAVID C.	UC PROFESSIONAL 10 - SHS PSYCHOLOGIST	RETIREMENT (25+ YRS SERVICE)	HEALTH	5/31/2015
HERMAN, LOUIS	UC PROFESSIONAL 09 - SR COMP PROG/ANAL	RESIGNATION (GOOD STANDING)	EAS	4/17/2015

University of Connecticut Department of Human Resources
Separations Processed from April 17, 2015 - June 10, 2015
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPT	DATE
HILL, TIANNA	RESEARCH ASSISTANT 1	RESIGNATION (GOOD STANDING)	SW	4/23/2015
HOAGLAND, THOMAS A.	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	ANSC	5/31/2015
KIM, BOHKYUNG	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	NUSC	5/31/2015
KRUEGER, WINFRIED H.	ASSOC RESEARCH PROF	RESIGNATION (GOOD STANDING)	MCB	6/11/2015
LETENDRE, JOAN	ASSOCIATE PROFESSOR	RETIREMENT (55/W 10-24 YEARS)	SW	5/31/2015
LI, WEIKUN	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	CHEM	5/22/2015
MOLAPO-QUARSHIE, THAKANE	UC PROFESSIONAL 06 - GRANTS/CONTR SPEC I	RESIGNATION (GOOD STANDING)	PSYC	6/11/2015
MONAHAN, TERENCE G.	U DIRECTOR	RESIGNATION (GOOD STANDING)	EH&S	5/3/2015
MOORE, NORMAN H.	ASSOCIATE PROFESSOR	RETIREMENT (55/W 10-24 YEARS)	FNCE	5/31/2015
OZIMEK, DANA	UC PROFESSIONAL 01 - RESEARCH LAB AIDE	RESIGNATION (GOOD STANDING)	EEB	4/22/2015
PETERSON, RICHARD S.	PROFESSOR	RETIREMENT (25+ YRS SERVICE)	ENGL	5/31/2015
REDEMSKE, MICHAEL R.	INSTR IN RES	DEATH (NON-EMPLOYMENT RELATED)	ACCT	7/26/2014
SICILIANO, MARIA L.	UC PROFESSIONAL 05 - FINANCIAL ASST II	RESIGNATION (GOOD STANDING)	BIOMED	4/24/2015
SKARIN, HANNAH E.	UC PROFESSIONAL 05 - RES HALL DIRECTOR	RESIGNATION (GOOD STANDING)	RESLIF	5/22/2015
STEELE, DAVID C.	UC PROFESSIONAL 07 - COMP TECH SUP CONS 2	RETIREMENT (55/W 10-24 YEARS)	WTBY	4/30/2015
TEHRANIPOOR, MARYAM	RESEARCH ASSISTANT 3	RESIGNATION (GOOD STANDING)	ECE	4/17/2015
THIBODEAU, CAROLINE A.	RESEARCH ASSISTANT 2	RESIGNATION (GOOD STANDING)	PSYC	4/30/2015
THORNE, GILLIAN B.	UC PROFESSIONAL 09 - EXEC PROGRAM DIR	RETIREMENT (55/W 10-24 YEARS)	ECE	4/30/2015
UPADHYAY, ABHINAV	U POST DOC FEL 1	RESIGNATION (GOOD STANDING)	ANSC	5/13/2015
WOODS, DAVID G.	PROFESSOR	RETIREMENT (55/W 10-24 YEARS)	MUSI	5/31/2015
YEE, JOLIANA	UC PROFESSIONAL 05 - RES HALL DIRECTOR	RESIGNATION (GOOD STANDING)	RESLIF	6/5/2015
YOUNG, MARTHA M.	UC PROFESSIONAL 05 - ASST REG-RC	RETIREMENT (55/W 10-24 YEARS)	AVPT	5/31/2015
ZHENG, YU	ASSOCIATE PROFESSOR	RESIGNATION (GOOD STANDING)	RG CMP	6/1/2015

University of Connecticut Department of Human Resources
Leaves of Absence Processed through 6/11/15
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATES	REASON FOR LEAVE
Anwar, A F M	Professor	Electrical & Computer Engineering	8/23/15 - 8/23/16	Other - Jefferson Sci Fellowship with pay
Bellur-Thandaveshwara, Saras	Assistant Professor	Communication	12/8/14 - 2/3/15	Maternity leave with pay
Bellur-Thandaveshwara, Saras	Assistant Professor	Communication	2/4/15 - 5/9/15	Parental leave without pay
Chazdon, Robin	Professor	Ecology & Evolutionary Biology	8/23/15 - 8/22/16	Personal leave - unpaid
Cohen, Mathilde	Associate Professor	Law School	8/23/15 - 2/22/16	Personal leave - unpaid
Gigliotti, Karen	University Education Assistant 1	Athletics Administration	3/17/15 - 3/18/15	Medical leave with pay
Greene, Hillary	Professor	Law School	8/23/15 - 8/22/16	Personal leave - unpaid
Hatmaker, Deneen	Associate Professor	Public Policy	5/13/15 - 5/27/15	Medical leave with pay
Higonnet, Margaret	Professor	English	2/23/16 - 8/22/16	Personal leave - unpaid
Huang, Lan-Hsuan	Assistant Professor	Mathematics	2/27/15 - 4/9/15	Maternity leave with pay
Jessen, Paula	Student Health Serv Nurse (UCP VI)	Student Health Services	2/23/15 - 2/25/15	Medical leave with pay
Johnson, Jennifer	Team Leader (UCP X)	Sponsored Programs	10/31/14 - 11/3/14	Medical leave with pay
Kaeb, Caroline	Assistant Professor	Marketing, School of Business	9/10/15 - 11/12/15	Other - Research with pay
King, Deborah	Alumni Relations Coordinator (UCP V)	Law School Dean's Office	2/25/15 - 2/25/15	Medical leave with pay
Lanka, Laurie	Senior Specialist (UCP IV)	Procurement Services	1/16/15 - 1/23/15	Medical leave with pay
Linnekin, Jocelyn	Professor	Anthropology	1/20/15 - 4/30/15	Medical leave with pay
Little, Elizabeth	Program Assistant II (UCP IV)	Military Science	12/1/14 - 12/9/14	Medical leave with pay
Livingston, Jill	University Librarian IV (UCP X)	Library Research Services	12/12/14 - 12/19/14	Medical leave with pay
Main, Jean	Assoc Director Admissions (UCP IX)	Admissions	3/26/15 - 4/6/15	Medical leave with pay
Miller, Richard	Director (USP III)	Environmental Policy	12/29/14 - 1/6/15	Medical leave with pay
Palmer, Nanette	Student Health Serv APRN (UCP X)	Student Health Services	11/25/14 - 12/4/14	Medical leave with pay
Reagan, Louise	Clinical Professor	School of Nursing	8/23/15 - 8/22/16	Personal leave - unpaid
Tabb, Mary	Lecturer	Human Develop/Family Studies	4/1/15 - 5/10/15	Maternity leave with pay
Volkert, William	Network Technician 3 (UCP IV)	Network Engineering & Design	2/10/15 - 2/27/15	Medical leave with pay
Xygalatas, Dimitris	Assistant Professor	Anthropology	8/23/15 - 8/22/16	Other - Aarhus Fellowship with 75% pay
Yelin, Susanne	Professor	Physics	8/23/15 - 8/22/16	Other - Fellowship at ITAMP with 50% pay

COMMITTEE AGENDAS

AGENDA
Board of Trustees
ACADEMIC AFFAIRS COMMITTEE
Monday, June 8, 2015
Law School Library, Room 316
Hartford, CT
12:00 – 2:00 p.m.

- 1) Minutes of the Academic Affairs Committee Meeting
of April 29, 2015, as circulated

ACTION ITEMS:

- 2) Promotion and Tenure
- 3) Sabbatical Leave Recommendations
- 4) Doctor of Philosophy in Health Promotion Sciences in the
College of Agriculture, Health and Natural Resources

INFORMATIONAL ITEM:

- 5) Notification of Proposed Changes to *By-Laws of the University of Connecticut*:
Article XV.G – General Policies and Practices

EXECUTIVE SESSION (*As Needed*)

AGENDA

Meeting of the BUILDINGS, GROUNDS AND ENVIRONMENT COMMITTEE

June 11, 2015, 10:30 a.m.

Conference Call

University of Connecticut
352 Mansfield Road
Gulley Hall, 3rd Floor Conference Room
Storrs, Connecticut

ACTION ITEMS:

- 1) Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of April 1, 2015, as circulated
- 2) Electric Distribution Easement to CL&P – North Hillside Road, Storrs Campus
- 3) Extension and Restructuring of an Existing Long-Term Ground Lease with Celeron Square Associates LLC (CSA)

INFORMATION ITEMS:

- 4) Fiscal Year 2016 Deferred Maintenance/Code/ADA Renovation Lump Sum Project List
- 5) Term Sheet – Hartford Public Library
- 6) Project Updates:
 - UCH – BioScience Connecticut Monthly Capital Projects Report
 - Storrs Based Programs –
 - Process & Project Updates
 - UConn Stamford Housing Update
 - UCONN 2000 Code Correction Program Exception Report
- 7) Procurement Services – CPCA Operational Activities and Organizational Improvements

EXECUTIVE SESSION

The next meeting of the BGE Committee is September 23, 2015

AGENDA

Meeting of the
CONSTRUCTION MANAGEMENT OVERSIGHT COMMITTEE (CMOC)

June 11, 2015, 10:30 a.m.

Conference Call

University of Connecticut
352 Mansfield Road
Gulley Hall, 3rd Floor Conference Room
Storrs, Connecticut

PRESENTATIONS AND DISCUSSIONS:

1. Construction Management Oversight Committee Membership

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

Lakeside Conference Room

Tuesday, June 9, 2015
1:30 p.m.

1. Acceptance of the Minutes from March 17, 2015 and March 25, 2015.....Ms. Gándara
Attachment 1
2. 2016 IA Meeting dates.....Ms. Gándara
3. UConn Foundation Report.....Mr. Newton
4. Naming RecommendationsMr. Newton
Attachment 2
 - Modification of Naming Recognition Provided to Northeast Utilities Corporation, its Subsidiaries, and Foundation to reflect new Eversource Energy identity
 - Comcast Chair in Cyber Security
 - The Maryann dePreaux Walmsley Cancer Center Library
 - Errett-Albanese Family
5. UConn Foundation Master Agreement Proposed Amendment and Fiscal Year 2016 Statement of Work.....Mr. Orr
Documents under separate cover
6. Alumni Association ReportMs. Cotton Kelly
7. Alumni Transition Status.....Mr. Nevins
8. University Communications ReportMr. Kendig
9. Legislative Update.....Ms. Lombardo

Financial Affairs

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE – BUDGET WORKSHOP
June 24, 2015 at 9:00 a.m.
University of Connecticut
Rome Commons Ballroom
Storrs, Connecticut

ATTACHMENT

EXECUTIVE SESSION

PRESENTATION ITEM:

- 1) Budget Presentation

ACTION ITEMS:

- | | |
|---|----|
| 2) Approval of the Minutes of the Financial Affairs Committee Meetings of April 29, 2015 and May 20, 2015, as circulated | A |
| 3) Contracts and Agreements for Approval | 1 |
| 4) Extension and Restructuring of an Existing Long-Term Ground Lease with Celeron Square Associates LLC (CSA) | 2 |
| 5) Travel and Entertainment Policies and Procedures – Revised | 3 |
| 6) Master Agreement and Statement of Work between the University of Connecticut Foundation and the University of Connecticut for Fiscal Year 2016 | 8 |
| 7) Management Agreement for the Nathan Hale Inn | 9 |
| 8) Spending Plan for Fiscal Year 2016 for the University of Connecticut, Storrs and Regional Campuses | 10 |
| 9) Spending Plan for Fiscal Year 2016 for UConn Health | 11 |
| 10) UCONN 2000 Fiscal Year 2016 Capital Budget | 12 |
| 11) Fiscal Year 2016 Deferred Maintenance/Code/ADA Renovation Lump Sum Project List | 13 |
| 12) Twenty First Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds | 14 |

ATTACHMENT

13) Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture	15
14) Revised Allocation of Bond Authorizations as set forth in the Nineteenth Supplemental Indenture	16
15) Revised Allocation of Bond Authorizations as set forth in the Seventeenth Supplemental Indenture	17
16) Revised Allocation of Bond Authorizations as set forth in the Sixteenth Supplemental Indenture	18

PROJECT BUDGETS FOR APPROVAL:

<i>STORRS BASED PROGRAMS</i>	<i><u>Phase</u></i>	<i><u>Budget</u></i>	<i><u>Tab</u></i>
17) Academic and Research Facilities – Main Accumulation Area for Regulated Waste	Final	\$5,255,580	19
18) Arjona and Monteith – Monteith Renovations	Final	\$25,000,000	20
19) Engineering Building – Engineering & Science Building	Final	\$95,000,000	21
20) Replace Gampel Chillers	Final	\$1,446,000	22
21) South Campus Stair Repair	Final	\$615,000	23
22) Replace Gampel Cooling Towers	Revised Final	\$3,000,000	24
<i>UCONN HEALTH</i>			
23) UCH Main Building Boiler and Deaerator Tank Replacement	Planning	\$2,200,000	25
24) UCH Main Building Renovation – Lab (“L”) Building Renovations – Project 2	Design	\$41,389,671	26
25) UCH New Construction and Renovation: Clinic Building (“C”) Renovations	Revised Design	\$91,314,604	27
26) UCH Main Building Renovation: Lab (“L”) Building Renovations – Project 1	Revised Final	\$78,415,503	28
27) UCH Medical School Academic Building Addition and Renovations	Revised Final	\$36,050,000	29
28) UCH New Construction and Renovations: New Hospital Tower	Revised Final	\$325,866,000	30
29) UCH New Construction and Renovation – Roadway & Intersection Improvements	Revised Final	\$5,786,250	31
30) UCH Research Tower: Incubator Lab Addition to the Cell & Gnome Sciences Building	Revised Final	\$19,800,000	32

ATTACHMENT

INFORMATION ITEMS:

31) Construction Project Status Report

(Under Separate Cover)

32) UCONN 2000 – Book 40

<http://reports.uconn.edu/2015/06/11/legislative-report-no-40/>

ATTACHMENT A

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE
April 29, 2015

TRUSTEES PRESENT: Louise Bailey, Andy Bessette, Charles Bunnell, Shari Cantor, Richard Carbray, Michael Daniels, Andrea Dennis-LaVigne, Marilda Gandara (*via Telephone*), Mary Anne Handley, Juanita James, Jeremy Jelliffe, Thomas Kruger, Rebecca Lobo (*via Telephone*), Larry McHugh, Steven Reviczky, Thomas Ritter and Catherine Smith (*via Telephone*)

STAFF PRESENT: Andrew Agwanobi, Thomas Callahan, Debbie Carone, Cheryl Chiaputti, Mun Choi, Robert Corbett, Laura Cruickshank, Amy Donahue, Michael Eagen, Joanne Fazio, Kim Fearney, David Galloway, Jeff Geoghegan, Michael Gilbert, Brian Gore, Susan Herbst, Kent Holsinger, Scott Jordan, Tysen Kendig, Mike Kirk, Matthew Larson, Bruce Liang, Susan Locke, Joanne Lombardo, Michael Mundrane, Brandon Murray, Barbara O'Connor, Richard Orr, Sally Reis, Stephanie Reitz, Hans Rhynhart, Rachel Rubin, Jeff Seeman, Katrina Spencer, Eli Strassfeld, Tom Trutter, Bill Wendt, Beverly Wood and Reka Wrynn

UNIVERSITY SENATE MEMBERS PRESENT:
Rajeev Bansal, Larry Gramling, Elizabeth Jockusch, Shayla Nunnally, Zeki Simsek and Angela Rola

GUEST: Attorney George O'Brien

Committee Chairman Thomas Kruger convened the meeting of the Financial Affairs Committee at 9:17 a.m. in the Lewis B. Rome Commons Ballroom on the University of Connecticut campus in Storrs, Connecticut. On a motion by Trustee Bessette and seconded by Trustee Cantor the committee accepted a revised agenda to add a resolution for the "Acquisition of 38 Prospect Street, Hartford, CT" and a recommendation for "Approval of a Collective Bargaining Agreement (GEU-UAW)".

On a motion by Trustee Bessette and seconded by Trustee Carbray the committee voted to go into Executive Session at 9:20 a.m. to Commercial or financial information given in confidence and preliminary drafts and notes that the University has determined that the public interest in withholding such documents clearly outweighs the public interest in disclosure. Trustees Jelliffe and Daniels absented themselves from participation in the Executive Session discussion.

Trustees participating included: Louise Bailey, Andy Bessette, Charles Bunnell, Shari Cantor, Richard Carbray, Andrea Dennis-LaVigne, Marilda Gandara (*via Telephone*), Mary Anne Handley, Juanita James, Thomas Kruger, Rebecca Lobo (*via*

Telephone), Larry McHugh, Steven Reviczky, Thomas Ritter and Catherine Smith (*via Telephone*)

University staff members who participated: President Herbst, Rachel Rubin, Mun Choi, Scott Jordan, Andy Agwanobi, Rich Orr, Michael Eagen, Tysen Kendig, Jeffrey Seaman, Mike Kirk, Amy Donahue, George O'Brien and Debbie Carone

Executive Session ended at 9:42 a.m. and the committee moved into open session.

On a motion by Trustee Bessette and seconded by Trustee Carbray the minutes of the meetings of February 25, 2015 and March 25, 2015 were approved as circulated.

Matthew Larson, Director of Procurement, presented a thorough overview of agenda ***Item #2, Contracts and Agreements for Approval***. On a motion by Trustee Cantor and seconded by Trustee Bessette the item was recommended to the full Board for approval.

Provost Choi described agenda ***Item #3, Fiscal Year 2016 Certificate Entry into Nursing Program Fee (self-supporting program)***. On a motion by Trustee Bessette and seconded by Trustee Cantor the item was recommended to the full Board for approval.

Richard Orr, University General Counsel, detailed agenda ***Item #4, Financing the Acquisition of the Nathan Hale Inn***. He clarified the resolution, stating that the resolution is not required by the State Treasurer, but is required in accordance with the UCONN 2000 statute. On a motion by Trustee Cantor and seconded by Trustee Bessette the item was recommended to the full Board for approval.

On a motion by Trustee Cantor and seconded by Trustee Carbray, agenda ***Item #5, Acquisition of 38 Prospect Street, Hartford, CT*** was recommended to the full Board for approval.

On a motion by Trustee Bessette and seconded by Trustee Cantor, agenda ***Item #6, Recommendation for Approval of Collective Bargaining Agreement (GEU – UAW)*** was recommended to the full Board for approval.

Laura Cruickshank, University Master Planner and Chief Architect, explained the project budgets for Storrs based programs presented for approval which included: ***Gampel Pavilion Dome Ceiling and Roof Repair (Revised Planning: \$10,000,000); Engineering Building – Engineering & Science Building (Design: \$92,500,000); Fine Arts Phase II – Renovation and Improvements (Design: \$23,500,000); Hartford Relocation Acquisition/Renovation (Design: \$115,000,000); Main Water Line Replacement Phase II (Design: \$6,000,000); Residential Life Facilities – Honors Residence Hall (Design: \$10,000,000); Waterbury Downtown Campus – Rectory Renovations (Design: \$2,550,000); Avery Point Renovation – Utility Relocation and Buildings 21/23 Demolition (Final: \$7,300,000); Sewer Line Replacement at Storrs Road Pump Station (Final: \$5,000,000); and UCFM Code Remediation – Campus***

Wide Laundry Alterations (Final: \$1,800,000). On a motion by Trustee Bessette and seconded by Trustee Cantor the committee recommended the Project Budgets to the full Board for approval.

Mr. Kruger directed the committee to the information items on the agenda. There being no additional agenda items the meeting was adjourned at 10:08 a.m. on a motion by Trustee Cantor and seconded by Trustee Bessette.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

ATTACHMENT B

**MINUTES
SPECIAL MEETING
OF THE
FINANCIAL AFFAIRS COMMITTEE
May 20, 2015**

Cantor Colburn, LLP,
20 Church Street, 22nd Floor,
Hartford, CT 06103

Trustees Present: Andy Bessette, Shari Cantor, Richard Carbray, Thomas Kruger,
Larry McHugh and Denis Nayden (*by Telephone*)

University Staff Present: Jeremy Campbell, Mun Choi, Lisa Danville, Jeff Geoghegan,
Susan Herbst, Scott Jordan, Michael Kirk, Rachel Rubin, Katrina
Spencer, Kelly Wihbey and Reka Wrynn

The meeting was called to order at 11:06 a.m. by Committee Chairman Thomas Kruger. On a motion by Trustee Cantor and seconded by Trustee Bessette the committee voted to go into Executive Session at 11:06 a.m. to discuss preliminary drafts and notes; and commercial or financial information given in confidence that the University has determined that the public interest in withholding such documents clearly outweighs the public interest in disclosure.

Trustees present included: Andy Bessette, Shari Cantor, Richard Carbray, Thomas Kruger, Larry McHugh and Denis Nayden (*by Telephone*).

University staff members who participated in the meeting: Jeremy Campbell, Mun Choi, Lisa Danville, Jeff Geoghegan, Susan Herbst, Scott Jordan, Michael Kirk, Rachel Rubin, Katrina Spencer, Kelly Wihbey and Reka Wrynn.

At 1:49 p.m. the Executive Session ended and the meeting was adjourned.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone
Secretary to the Committee