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2017 June 28 -- Agenda and Attachments

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UConn

UNIVERSITY OF CONNECTICUT

Board of



TRUSTEES

VOL. 173 JUNE 28, 2017

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

AGENDA

University of Connecticut
NextGen Residence Hall
Room 112
2378 Alumni Drive
Storrs, Connecticut

June 28, 2017

BOARD OF TRUSTEES SCHEDULE

9:00 a.m.	Financial Affairs Committee Meeting (Room 112)
9:30 a.m.	Board of Trustees Meeting (Room 112)

BOARD MEETING AGENDA

Call to order at **9:30 a.m.**

1. Public Participation
2. Chairman's Report
 - (a) Matters outstanding
 - (b) Board recognitions
 - (c) Minutes of the meeting of April 26, 2017
 - (d) Consent Agenda Items:
 - (1) Contracts and Agreements for the Storrs-based Programs and UConn Health (Attachment 1)
 - (2) Sabbatical Leave Recommendations (Attachment 2)
 - (3) Appointment of Professor Suresh Nair to the Robert Cizik Chair in Manufacturing and Technology in the School of Business (Attachment 3)
 - (4) Appointment of Professor Sulin Ba to the Treibick Family Chair for the Connecticut Information Technology Institute in the School of Business (Attachment 4)
 - (5) Re-appointment of Board Representative to the Connecticut Agricultural Experiment Station Board of Control (Attachment 5)
 - (6) Kyle Milliken Memorial Lounge (Attachment 6)
 - (7) The Joseph Brown Family Campus Center at the UConn School of Law (Attachment 7)
 - (8) The William and Alice Mortensen Courtyard at the UConn Hartford Campus (Attachment 8)
 - (9) Zachs Atrium at the UConn Hartford Campus (Attachment 9)

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:
 - (1) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2018 and Operational Changes at the UConn Law School Foundation (Attachment 10)
 - (2) Recommendation for Extension of Collective Bargaining Agreement with the University of Connecticut Chapter of the American Association of University Professors (AAUP) (Attachment 11)
 - (3) Recommendation for Extension of Collective Bargaining Agreement with the University of Connecticut Professional Employees Association (UCPEA) (Attachment 12)
- Budget Items (Storrs-based and UConn Health):
- (4) Spending Plan for Fiscal Year 2018 for the University of Connecticut, Storrs and Regional Campuses (Attachment 13)
 - (5) Spending Plan for Fiscal Year 2018 for UConn Health (Attachment 14)
 - (6) Fiscal Year 2018 Capital Budget (Attachment 15)
- Bond Allocations:
- (7) Revised Allocation of Bond Authorizations as set forth in the Eighteenth Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 16)
 - (8) Revised Allocation of Bond Authorizations as set forth in the Nineteenth Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 17)
 - (9) Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 18)
 - (10) Revised Allocation of Bond Authorizations as set forth in the Twenty-First Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 19)
 - (11) Revised Allocation of Bond Authorizations as set forth in the Twenty-Second Supplemental Indenture (University of Connecticut General Obligation Bonds) (Attachment 20)
 - (12) Twenty-Third Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds (Attachment 21)
 - (13) Twenty-Fourth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds for Refunding Purposes (Attachment 22)

Project Budgets (Storrs-based):

- (14) Project Budget (Final) for 28 Professional Park Renovation (Attachment 23)
- (15) Project Budget (Revised Final) for UCONN 2000 Code Remediation: Towers Dormitories (Attachment 24)
- (16) Project Budget (Revised Final) for Residential Life Facilities – Alumni Quad Shower Renovations (Attachment 25)
- (17) Project Budget (Planning) for Main Campus Parking Replacements (Attachment 26)
- (18) Project Budget (Final) for Decentralized Heat at Central Warehouse and Facilities Operations & Building Services Buildings (Attachment 27)
- (19) Project Budget (Final) for the Steam Line Lateral at the John J. Budds Building (Attachment 28)

Project Budgets (UConn Health):

- (20) Project Budget (Final) for the UConn Health Elevator 24 & 25 Modernization and Sill Repair (Attachment 29)
- (21) Project Budget (Final) for the UConn Health Main Accumulation Building (Attachment 30)
- (22) Project Budget (Revised Final) for the UConn Health Medical School Academic Building Addition and Renovations (Attachment 31)
- (23) Project Budget (Revised Final) for the UConn Health New Construction and Renovation – Clinic (C) Building Renovations (Attachment 32)

- 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
- 9. Construction Management Oversight Committee Report
 - (a) Report on Committee activities
- 10. Student Life Committee Report
 - (a) Report of Committee activities
- 11. Institutional Advancement Committee Report
 - (a) Report on Committee activities
 - (b) Informational Item:
 - (1) UConn Foundation Report (Attachment 33)
- 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 28, 2017

PROCUREMENT - NEW

FIRE ALARM TESTING & INSPECTION

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
1	Siemens Industry, Inc.	UC-17-LM020117-2	\$3,000,000	07/01/17-06/30/24	Multiple Sources	Matthew Larson, Director of Procurement Services	Testing, inspection and preventative maintenance services for fire alarm systems and equipment at all campuses, excluding UCH. This is the result of a publicly advertised RFP. Zero extensions remain.
2	SimplexGrinnell, LP	UC-17-LM020117-1	\$6,000,000	07/01/17-06/30/24	Multiple Sources	Matthew Larson, Director of Procurement Services	Testing, inspection and preventative maintenance services for fire alarm systems and equipment at all campuses, excluding UCH. This is the result of a publicly advertised RFP. Zero extensions remain.

TRANSIT OPERATOR SERVICES

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
3	First Transit, Inc.	UC-17-JW120916	\$15,000,000	07/01/17-06/30/22	Operating Funds	William Wendt, Director of Logistics Administration	Provide and manage shuttle transit operators for shuttle buses and charter bus services for trips, as needed, for the Storrs campus only. This is the result of a publicly advertised RFP. Zero extensions remain.

TRAVEL SERVICES - ATHLETICS

No.	Contractor	Contract No.	Approval Amount	Term	Fund Source	Program Director	Purpose
4	Anthony Travel Inc.	UC-18-KA021617-8	\$25,000,000	07/01/17-06/30/20	Auxiliary Services	David Benedict, Director of Athletics	Provide a full range of travel services to the University's Division of Athletics, including airline bookings, air charter bookings, hotel bookings, group travel, after-hour services, and on-site support. This is a result of a publicly advertised RFP. Two extensions of one year each remain.

PROCUREMENT - AMENDMENTS

EVENT STAFFING SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
5	Contemporary Services Corporation	UC-KMA050313-A	\$304,254 [Contract Value Previously \$1,121,842; Total New Contract Value \$1,495,600]	01/01/14-06/30/18	Operating Funds	David Benedict, Athletic Director	\$1,052,338	\$331,931	\$308,790	Management and staffing for events on the Storrs campus, including athletic events and commencement. Amend to increase contract value by \$304,254, for a total new contract value of \$1,495,600. Amend to extend term for one year, through 06/30/18. One extension of one year remains.

FURNITURE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
6	Red Thread Spaces LLC	15PSX0041	\$2,000,000 [Contract Value Previously \$4,557,193; Total New Contract Value \$6,557,193]	07/02/15-06/30/20	Multiple Sources	Matthew Larson, Director of Procurement Services	\$4,261,089	\$1,310,674	\$0	System office furniture for all campuses, including UCH. Amend to increase contract value by \$2,000,000, for a total new contract value of \$6,557,193. Zero extensions remain.

CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 28, 2017

JANITORIAL SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
7	Building Maintenance Enterprises, LLC (f/k/a Suvan, LLC)	UC-15-LM011014-1B	\$6,708,360 [Contract Value Previously \$4,470,000; Total New Contract Value \$11,178,360]	07/01/15-06/30/20	Operating Funds	Michael Jednak, AVP Facilities Operations & Building Services	\$3,694,610	\$1,704,441	\$0	Janitorial services for all campuses other than the Storrs, Depot, and UCH campuses. Amend to increase contract value by \$6,708,360, for a total new contract value of \$11,178,360. Amend to extend term three years, through 06/30/20. Zero extensions remain.
MEDIA BUYING SERVICES										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
8	Communications Corporation of Connecticut (d/b/a Makiaris Media)	UC-15-JL060414	\$4,000,000 [Contract Value Previously \$8,315,634; Total New Contract Value \$12,315,634]	09/01/14-06/30/18	Multiple Sources	Matthew Larson, Director of Procurement	\$6,353,266	\$2,845,316	\$659,708	Strategic media placement campaigns for the University, including UCH. Amend to increase contract value by \$4,000,000, for a total new contract value of \$12,315,634. Amend to extend term for ten months, through 06/30/18, to align with fiscal year. One extension of one year remains.
ON-CALL PROFESSIONAL SERVICES - GENERAL ARCHITECTURAL										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
9	Tai Soo Kim Partners, LLC	009.2-12-2M-22916	\$400,000 [Contract Value Previously \$2,000,000; Total New Contract Value \$2,400,000]	03/01/13-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,831,385	\$88,099	\$202,450	On-call architectural services for all University campuses, including UCH. Amend to increase contract value \$400,000, for total new contract value of \$2,400,000. Zero extensions remain.
ON-CALL PROFESSIONAL SERVICES - HAZARDOUS MATERIAL & INDUSTRIAL HYGIENE										
No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
10	Tighe & Bond, Inc.	004-3-500-103117	\$1,306,618 [Contract Value Previously \$950,000; Total New Contract Value \$2,256,618]	11/01/14-10/31/19	Multiple Sources	Matthew Larson, Director of Procurement Services	\$756,618	\$3,028	\$0	On-call hazardous material and industrial hygiene consulting services for all campuses, including UCH. Amend to increase contract value \$1,306,618, for total new contract value of \$2,356,618. Amend to extend term two years, through 10/31/19. Zero extensions remain.

CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 28, 2017

ON-CALL PROFESSIONAL SERVICES - PROJECT MANAGEMENT OVERSIGHT

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
11	Strategic Building Solutions, LLC	PMO-04-900-043018	\$300,000 [Contract Value Previously \$2,000,000; Total New Contract Value \$2,300,000]	05/01/15-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,170,755	\$658,026	\$0	On-call project management services for construction projects on all University campuses, including UCH. Amend to increase contract value \$400,000, for total new contract value of \$2,400,000. Zero extensions remain.

ON-CALL TRADE SERVICES - HVAC

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
12	Air Temp Mechanical Services, Inc.	OC.HVAC2014-800-1	\$1,000,000 [Contract Value Previously \$2,500,000; Total New Contract Value \$3,500,000]	05/01/14-04/30/19	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,721,029	\$575,913	\$489,916	On-Call HVAC services for all campuses, including UCH. Maximum of \$500,000 per project. Amend to increase contract value \$1,000,000, for total new contract value of \$3,500,000. Zero extensions remain.
13	All State Construction, Inc.	OC.HVAC2014-800-2	\$1,000,000 [Contract Value Previously \$2,000,000; Total New Contract Value \$3,000,000]	05/01/14-04/30/19	Multiple Sources	Matthew Larson, Director of Procurement Services	\$1,506,525	\$172,215	\$156,060	On-Call HVAC services for all campuses, including UCH. Maximum of \$500,000 per project. Amend to increase contract value \$1,000,000, for total new contract value of \$3,000,000. Zero extensions remain.

ON-CALL TRADE SERVICES - SITE

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
14	All State Construction, Inc.	OC.SITE2014-950-2	\$500,000 [Contract Value Previously \$950,000; Total New Contract Value \$1,450,000]	05/01/14-04/30/18	Multiple Sources	Matthew Larson, Director of Procurement Services	\$756,618	\$49,500	\$0	On-Call site contractor services for all campuses, including UCH. Maximum of \$500,000 per project. Amend to increase contract value \$500,000, for total new contract value of \$1,450,000. Zero extensions remain.

POURING RIGHTS

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
15	Coca-Cola Refreshments USA, Inc. (d/b/a The Coca-Cola Bottling Company of New England)	UC-12-KJ091611	\$0 [Contract Value Previously \$6,841,070; Contract Value Remains the Same]	07/01/12 - 06/30/19	Operating Funds	Matthew Larson, Director of Procurement	\$3,605,301	\$671,227	\$675,091	Exclusive right to provide certain beverages on all University campuses, excluding UCH. Revenues to UConn under this contract exceed expenditures. Amend to extend contract term two years, through 06/30/19. One extension of two years remains.

CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 28, 2017

TRASH & RECYCLING SERVICES

No.	Contractor	Contract No.	New Approval Amount	Term	Fund Source	Program Director	Total Expenditures as of 04/30/17	Expenditures FY 16	Expenditures FY 15	Purpose
16	Willimantic Waste Paper Co., Inc.	UC-15-DS013015-1	\$1,120,242 [Contract Value Previously \$2,811,000; Total New Contract Value \$3,931,242]	06/01/15-05/31/18	Multiple Sources	Michael Jednak, AVP Facilities Operations & Building Services	\$2,512,010	\$1,341,919	\$0	Trash and recycling services for the Storrs, Depot, and Avery Point campuses. Amend to increase contract value \$1,120,242, for a total new contract value of \$3,931,242. One extension of three years remains.

LEASES FOR APPROVAL

UNIVERSITY AS LESSEE

No.	Lessor	Annual Amount Payable	Term	Fund Source	Program Director	Purpose
1	Connecticut Center for Advanced Technology, Inc. ("CCAT")	\$126,000	07/01/07-12/31/17	Operating Fund, General	John Elliott, Dean of the School of Business	The University currently leases 5,224 square feet at 222 Pitkin Street in East Hartford CT for the School of Business. The lease expires on July 31, 2017. The University will be consolidating and down-sizing within the space, but needs additional time to finalize its plans. This extension allows the lease to be extended five (5) months, to December 31, 2017 under the same terms and conditions.
2	Connecticut Children's Medical Center	\$84,810	07/01/17-06/30/18	Operating Funds - Clinical	John Brigada Director, Dean's Office Dental	UCH Lease renewal for the School of Dental Medicine for 3,000 sf of dental and office space at CCMC.
3	Eagleville Partners LLC	\$21,600	07/01/17-06/30/18	Operating Funds	Suzanne Rose Senior Associate Dean Academic Affairs & Education	UCH Lease of residential property located at 66 Indian Spring Road, Woodstock, to house up to three 3rd-year medical students while they are completing their 6-week clinical rotations in the towns of Putnam, Thompson and Natchaug, Connecticut.
4	Eagleville Partners LLC	\$16,650	09/24/17-06/30/18	Operating Funds	Suzanne Rose Senior Associate Dean Academic Affairs & Education	UCH Lease of residential property located at 33 Hiawatha Heights, Woodstock Valley, to house up to three 3rd-year medical students while they are completing their 6-week clinical rotations in the towns of Putnam, Thompson and Natchaug, Connecticut.
5	EDR Storrs, LLC	\$290,340	08/01/17-07/31/19 with University Option for three (3) one(1)-year renewals	Operating Fund - General	Michael Jednak, Associate Vice President for Facilities Operations and	Reservation Agreement to support university temporary housing needs at The Oaks on the Square in Storrs Center, Storrs, CT. This Agreement continues the existing 5-year relationship between the University and the Contractor. The term of the Agreement is for a period of 2 years and the annual rental amount shall remain fixed during that time. Following the initial term, the University shall have three annual options to extend the term for 1 year each, at a renegotiated market rate. Utilities are included in the rent. The University's Department of Facilities Operations and
6	RMS Rippowam LLC	\$176,000 annually, increasing at a rate of 2.5% per year	10 Years, with a University Option for one (1) five (5)-year renewal	Operating Fund, General	John Elliott, Dean of the School of Business	The School of Business at the Stamford campus (the "School") is growing, and the School needs additional classroom and teaching space. This lease is for 6,202 square feet of ground-floor space at 900 Washington Boulevard, the location of the new UConn Stamford Housing. The rent includes the build-out of the space for the School's needs. The University is responsible for reimbursement of real estate tax expenses, utilities and janitorial. The Landlord is responsible to maintain the premises.
7	Trinity Health-New England, Inc. dba Asylum Hill Family Medicine Center, Inc. & Saint Francis Hospital and Medical Center, Inc.	\$120,964	07/01/17-06/30/20	Operating Funds	Montgomery Douglas, MD Chair, Family Medicine	The Contractor will provide an educational site, located at 99 Woodland Street, Hartford, for the training of UConn Health medical students, Family Medicine residents and fellows, and other health professionals.

CONTRACTS AND AGREEMENTS
FOR APPROVAL
June 28, 2017

AGREEMENT FOR APPROVAL

No.	Contractor	Amount Receivable	Term	Fund Source	Program Director	Purpose
1	Storrs Center Alliance LLC	Varies	11/21/06-12/31/17	Operating Fund - General	Scott Jordan, Executive Vice President for Administration and Chief Financial Officer	Amendment to Storrs Center Omnibus Agreement to extend the Outside Date for closing on the remainder of the property by six months, from June 30, 2017 to December 31, 2017, to allow for the final parcel take-down. This Amendment removes Parcel "E" (the 1.26-acre parcel at the southwest corner of Storrs Road and South Eagleville Road) from the property to be acquired by the Contractor, which reduces the overall purchase price by \$127,340.64. If the University does not commence development on or before July 1, 2020, the Contractor can purchase Parcel "E" for \$127,340.64. To retain the parcel, the Contractor must commence development within 2 years of the purchase, and close one month thereafter.

NON-PROCUREMENT - NEW

ATHLETICS EVENT

No.	Host	Amount Receivable	Event Date	Fund Credited	Program Director	Purpose
1	Clemson University	\$1,200,000	09/11/21	Auxiliary Services	David Benedict, Director Division of Athletics	The University will play a regular season away football game at Clemson University on September 11, 2021. This is a standard game competition agreement in which the University's football team is participating as the away team.

ATTACHMENT 2

University of Connecticut Office of the Provost
Sabbatical Leave Recommendations Requiring Board of Trustees Approval
June 28, 2017 Board of Trustees Meeting

SABBATICAL MODIFICATIONS/POSTPONEMENTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Faghri, Pouran	Professor	Allied Health Sciences	Agriculture, Health and Natural Resources	Half CY 2018 Cancel
Hunter, Timothy	Professor	Digital Media and Design	Fine Arts	Full Fall 2017 Cancel

SABBATICAL LEAVE REQUESTS

<u>NAME</u>	<u>TITLE</u>	<u>DEPARTMENT</u>	<u>SCHOOL/COLLEGE</u>	<u>PAY PERIOD</u>
Adams, Eldridge S.	Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full Spring 2018
Bird, Robert	Professor	Marketing	Business	Full Spring 2018
Calabrese, Andrea	Professor	Linguistics	Liberal Arts and Sciences	Full Spring 2018
Côté, Robin	Professor	Physics	Liberal Arts and Sciences	Half CY 2018
Elphick, Christopher	Associate Professor	Ecology and Evolutionary Biology	Liberal Arts and Sciences	Full Spring 2018
Greeley, Robin A.	Associate Professor	Art and Art History	Fine Arts	Full Spring 2018
Huang, Ling	Assistant Professor	Economics	Liberal Arts and Sciences	Full Spring 2018

Morand, Olivier	Associate Professor	Economics	Liberal Arts and Sciences	Full	Spring 2018
Nair, Suresh	Professor	Operations and Information Managemen	Business	Full	Spring 2018
Rios, Diana I.	Associate Professor	Communication	Liberal Arts and Sciences	Full	Spring 2018
Singh, Prabhakar	Professor	Materials Science and Engineering	Engineering	Half	CY 2018
Sinkovic, Boris	Associate Professor	Physics	Liberal Arts and Sciences	Full	Spring 2018
Willenborg, Michael	Professor	Accounting	Business	Full	Spring 2018

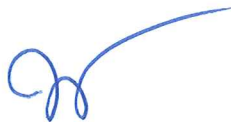
ATTACHMENT 3

June 28, 2017

TO: Members of the Board of Trustees

FROM: Jeremy Teitelbaum, Interim Provost

RE: Appointment of Professor Suresh Nair to the Robert Cizik Chair in Manufacturing and Technology in the School of Business



RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Suresh Nair to the Robert Cizik Chair in Manufacturing and Technology in the School of Business.

BACKGROUND:

Established in 1996, the Robert Cizik Chair in Manufacturing and Technology recognizes nationally and internationally eminent faculty in the area of manufacturing and technology management.


In evaluating candidates for the chair using the School of Business's Policy for Selection and Renewal of Endowed Chairs, Professors and Research Fellows/Scholars, Professor Suresh Nair was unanimously supported.

Professor Nair is an accomplished scholar with highly relevant academic work in equipment replacement under technological change, inventory rationing and control operations, outsourcing, and supply chain management. He is an experienced professional with three years of shop floor experience in automobile and electronic products manufacturing. He has spent sabbatical leaves working with GE Research and Merrill Lynch, in addition to six years of consulting with JP Morgan Chase and starting a company based on a patent he generated. He is very well fitted to fulfill the Chair's mandate for a focus on manufacturing and technology management.

Professor Nair's appointment will run through August 22, 2022. Professor John Mathieu was honored to be the most recent Chair-holder, appointed by the Board on September 26, 2006. He was named a Board of Trustees Distinguished Professor in 2016.

ATTACHMENT 4

June 28, 2017

TO: Members of the Board of Trustees 

FROM: Jeremy Teitelbaum, Interim Provost

RE: Appointment of Professor Sulin Ba to the Treibeck Family Chair for the
Connecticut Information Technology Institute in the School of Business

RECOMMENDATION:

That the Board of Trustees approve the appointment of Professor Sulin Ba to the Treibeck Family Chair for the Connecticut Information Technology Institute in the School of Business.

BACKGROUND:

The Treibeck Family Chair, established in 2000, recognizes faculty in information technology within the Department of Operations and Information Management (OPIM).

In evaluating candidates for the Treibeck Family Chair using the School of Business's Policy for Selection and Renewal of Endowed Chairs, Professors and Research Fellows/Scholars, Professor Sulin Ba was unanimously supported.

After earning her PhD at the University of Texas at Austin in 1996, Professor Ba joined the UConn School of Business and OPIM Department in 2002. Prior to joining UConn, Professor Ba spent six years on the faculty at the University of Southern California. Professor Ba's scholarship is strong and widely cited, and she is senior editor on several journals, including MIS Quarterly and Production and Operations Management. Now in her second three-year term as Associate Dean for Academic Research and Support, Professor Ba has continued a strong research program. She has had a significant role in overseeing and leading both the state-funded Connecticut Information Technology Institute (CITI) and our federally-funded Center for International Business Education and Research (CIBER).

Professor Ba's appointment will run through August 22, 2022. The most recent holder of the chair is Professor James Marsden, appointed by the Board on November 17, 2004. Professor Marsden was designated a Board of Trustees Distinguished Professor in 2004.

ATTACHMENT 5

June 28, 2017

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Re-Appointment of Board Representative to the Connecticut Agricultural Experiment Station Board of Control

RECOMMENDATION:

That pursuant to Connecticut General Statutes Chapter 426, Sec. 22-79, Mr. Paul C. Larson be re-appointed as the Board representative to the Connecticut Agricultural Experiment Station Board of Control for a three-year term beginning July 1, 2017.

BACKGROUND:

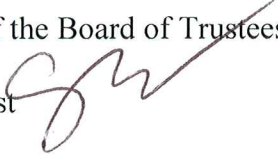
Mr. Larson was first appointed in 2008. He is a 1983 graduate of the College of Agriculture and Natural Resources and is a member of several horticulture organizations. In 2003, Mr. Larson was appointed by the Legislature to serve on the newly formed Connecticut Invasive Plants Council to address the issue of non-native invasive plants in Connecticut.

The following is the State statute, Chapter 426, Sec. 22-79, which authorizes the Board of Trustees to appoint an appropriate representative to the Connecticut Agricultural Experiment Station Board of Control.

“Sec. 22-79. Connecticut Agricultural Experiment Station. Board of control. The Connecticut Agricultural Experiment Station shall be within the Department of Agriculture for administrative purposes only. The management of the Connecticut Agricultural Experiment Station shall be vested in a board of control, consisting of eight members, one of whom shall be the Commissioner of Agriculture or some person to be selected by him, one of whom shall be selected by the Board of Trustees of The University of Connecticut, one by the governing board of the Sheffield Scientific School and one by the Board of Trustees of Wesleyan University, and two of whom shall be appointed by the Governor. The Governor and the director of the station shall be, ex officio, members of said board of control. The members of the board shall continue in office for the term of three years from the first day of July next succeeding their appointment. Upon the death or resignation of a member of the board, the authority or institution by which such member was appointed shall fill the vacancy.”

ATTACHMENT 6

June 28, 2017

TO: Members of the Board of Trustees
FROM: Susan Herbst 
RE: Kyle Milliken Memorial Lounge

RECOMMENDATION:

That the Board of Trustees authorize the University to name the Veterans Affairs and Military Programs student lounge the Kyle Milliken Memorial Lounge.

BACKGROUND:

The Office of Veterans Affairs and Military Programs has a room used as a study lounge, event space, and meeting space for student groups that are connected to military service. This space is known as the student lounge and is located in the Arjona Building on the Storrs Campus, Room 339.


Kyle Milliken was a graduate of the University of Connecticut, Class of 2001. During his time at UConn, he was an outstanding student, athlete, and member of the campus community. Shortly after graduation, Kyle joined the Navy and became a Navy SEAL. He deployed to Iraq and Afghanistan multiple times, and earned four Bronze Star Medals.

On May 5, 2017, Kyle Milliken was on a mission in Somalia targeting a compound used by militants. Kyle lost his life when his unit came under attack before dawn. Kyle gave the ultimate sacrifice for our nation. He is a model of service and sacrifice that should be remembered for generations to come. As such, naming one of the spaces frequently used by student veterans, current service members, and military families in his honor would serve as a powerful reminder of Kyle's service and the pride the University community takes in his memory and legacy. A plaque will also be displayed in the lounge with a photograph of Kyle as well as a short biography detailing his time at UConn and his military service.

At its June 13, 2017, meeting, the Institutional Advancement Committee recommended approval to the full Board.

ATTACHMENT 7

June 28, 2017

TO: Members of the Board of Trustees
FROM: Susan Herbst 
RE: The Joseph Brown Family Campus Center at the UConn School of Law

RECOMMENDATION:

That the Board of Trustees authorizes the naming of The Joseph Brown Family Campus Center at the UConn School of Law.

BACKGROUND:

Joseph "Jay" Brown and Valerie Brown are the parents of Joseph Brown, LAW 2016. In 2016, Mr. and Mrs. Brown completed a contribution intended to fund a campus center at the Law School. At the time of the Brown's anonymous commitment, their son was a student at the Law School, and during a campus visit Mr. Brown noted the absence of a central space for the school community to relax, eat and meet in a non-academic setting. Their contribution will completely fund the creation (through renovation) of such a facility in the Thomas J. Meskill Law Library that, with the centralization of other student services within, creates a dynamic hub for campus life.

The Joseph Brown Family Campus Center will occupy approximately 2,000 square feet on the third floor (entry) of the Library that is currently used as a foyer and student lounge.

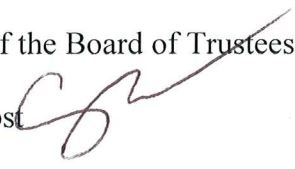
The Browns have made a gift consistent with the amounts recommended for naming this space under the University's *Named Gift Guidelines*, which is expected to provide 100% of the total costs required to fund the renovation of the existing space to a campus center. Construction will begin and end during the summer of 2017, with the facility available for students at the beginning of the 2017-2018 academic year.

At its June 13, 2017, meeting, the Institutional Advancement Committee recommended approval to the full Board.

ATTACHMENT 8

June 28, 2017

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Naming Recommendation for The William and Alice Mortensen
Courtyard at the UConn Hartford Campus

RECOMMENDATION:

That the Board of Trustees authorizes naming the main courtyard at the new UConn Hartford Campus as The William and Alice Mortensen Courtyard.

BACKGROUND:

The William and Alice Mortensen Foundation was established in 1982 by William H. and Alice C. Mortensen. The objectives of the Mortensen Foundation are to support religious, charitable, scientific, literary and educational organizations.

The Mortensen Foundation has been a generous donor to the University of Connecticut with a passion for projects supporting Hartford residents and students. The Mortensen Foundation has given to the Harleigh B. Trecker Library at the former Hartford regional campus and to the Aetna Health Professions Partnership Initiative at UConn Health.


The Mortensen Foundation has pledged a gift amount consistent with the amounts recommended for naming the Hartford Campus main courtyard under the University's *Named Gift Guidelines*.

At its June 13, 2017, meeting, the Institutional Advancement Committee recommended approval to the full Board.

ATTACHMENT 9

June 28, 2017

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Naming Recommendation for the Zachs Atrium at the UConn Hartford Campus

RECOMMENDATION:

That the Board of Trustees authorizes the naming of the Zachs Atrium at the new UConn Hartford Campus.

BACKGROUND:

In 2001, the Board of Trustees approved the naming of the Zachs Community Room in recognition of the Zachs family giving to the School of Social Work and the campus. This named space is located in the University's School of Social Work at the West Hartford campus.

When operations of UConn's West Hartford campus move to the new site for UConn Hartford, anchored by the former Hartford Times building located on Prospect Street in Hartford, it is recommended that the Zachs' name be transferred to a commensurate space. The site selected is the campus atrium, a 3752 square foot lobby area located in the redesigned building.


Both Henry and Judith Zachs are long-time, loyal donors to the University. In addition to their gifts to the School of Social Work and the regional campus, they have generously supported the School of Fine Arts, Hillel, Athletics, and other UConn initiatives. Judith Zachs is an alumna of the School of Social work, and both Henry and Judith are members of the UConn Foundation's Founders Society.

At its June 13, 2017, meeting, the Institutional Advancement Committee recommended approval to the full Board.

ATTACHMENT 10

June 28, 2017

TO: Members of the Board of Trustees

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

RE: Proposed Statement of Work for the UConn Foundation for Fiscal Year 2018 and
Operational Changes at the UConn Law School Foundation

RECOMMENDATION:

The University administration recommends that the Board of Trustees approve the resolutions below authorizing the University to enter into a statement of work for Fiscal Year 2018 with The University of Connecticut Foundation, Incorporated (the "UConn Foundation").

The University administration also recommends that the Board of Trustees approve the resolutions below authorizing the University to collaborate with The University of Connecticut Law School Foundation, Inc. (the "Law School Foundation") and the UConn Foundation in coordinating an orderly transition of the Law School Foundation's operations to the UConn Foundation. The transition is expected to create operational efficiencies that will result in enhanced fundraising and deeper engagement among alumni of the Law School and the University in the years to come.

The transition will result in, among other things, the Law School Foundation transferring its endowment and related assets to the UConn Foundation, and the UConn Foundation will maintain and administer such funds and assets pursuant to any donor imposed use restrictions and the requirements of the University's Master Agreement with the UConn Foundation. The University will not be entering into a statement of work with the Law School Foundation for Fiscal Year 2018 as a result of this transition.

BACKGROUND:

The University has entered into separate Master Agreements with the UConn Foundation and the Law School Foundation in satisfaction of the requirements of Connecticut General Statutes § 4-37f(9). These agreements detail the University's relationship with each organization and set forth each organization's responsibilities for performing development, investment and other services in support of the University. The UConn Foundation and the Law School

Foundation are both private organizations, exempt from taxation under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended, that operate exclusively to promote the educational, research, cultural, and recreational objectives of the University. The Law School Foundation specifically operates for the benefit of the University's School of Law.

The Master Agreements with the UConn Foundation and the Law School Foundation require, among other things, that the University enter into statements of work with each organization outlining specific goals and objectives and the financial consideration to be provided by the University. The current statements of work expire on June 30, 2017.

The Law School Foundation recently notified the University that, after thoughtful consideration and analysis, its board had chosen to dissolve and to transition the Law School Foundation's operations to the UConn Foundation. That transition is currently underway. The transition is expected to create operational efficiencies that will result in enhanced fundraising and deeper engagement among alumni of the Law School and the University in the years to come.

a. UConn Foundation Statement of Work for FY 18

The proposed statement of work with the UConn Foundation sets forth the fundraising, investment management, alumni relations activities and other related goals and objectives for Fiscal Year 2018. The goals and objectives established for next year include the following:

- A fundraising goal of \$85 million in new gifts and commitments for the University (including of support for the UConn Health Center);
- Continuation of enrollment management scholarship fundraising with focus on the \$150 million goal aimed at increasing scholarships for the University by June 30, 2021;
- Implementation of a comprehensive Grateful Patient program in Cancer and Cardio programs;
- Providing quality alumni programs and services that strengthen lifelong bonds between all members of the UConn family; and
- Planning and preparing a significant and concerted fundraising campaign for the benefit of the University. These activities will include determining a campaign model, identifying funding priorities, strengthening staffing and operational resources, among other initiatives. The University will contribute \$500,000 in Fiscal Year 2018 to the UConn Foundation to support these activities. The amount of funds to be raised, priorities to be funded, and the timing of the campaign will be mutually agreed upon by the University and the UConn Foundation.
- In accordance with the Statement of Work for Fiscal Year 2017, the University will also reimburse the UConn Foundation \$250,000 for additional costs incurred by the UConn Foundation to support planning and execution of this campaign during Fiscal Year 2017.

In consideration for the UConn Foundation's performance of these services during the next fiscal year, the University has agreed to pay the UConn Foundation \$8,065,000 for

development activities and related services and \$1,915,000 for alumni relations activities and services.

b. Transition Agreement with Law School Foundation

As a result of the Law School Foundation's decision to dissolve and transition its operations to the UConn Foundation, the University will not be entering into a statement of work with the Law School Foundation for Fiscal Year 2018. The University will instead collaborate with the Law School Foundation and the UConn Foundation in coordinating an orderly transition of the Law School Foundation's operations to the UConn Foundation. This collaboration is expected to be effected through appropriate agreements between and among the University, the UConn Foundation and the Law School Foundation.

The transition will result in, among other things, the Law School Foundation transferring its endowment and related assets to the UConn Foundation, and the UConn Foundation will maintain and administer such funds and assets pursuant to any donor imposed use restrictions and the requirements of the University's Master Agreement with the UConn Foundation.

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 authorized to execute and deliver a statement of work for Fiscal Year 2018 with the UConn Foundation on 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 authorized to execute appropriate agreements between and among the University, the UConn Foundation and the Law School Foundation to effect an orderly transition of the Law School Foundation's operations to the UConn Foundation; 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.

Statement of Work FY18

This Statement of Work FY18 (this “SOW”), effective the 1st day of July, 2017, 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 fundraising 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, 2017 through June 30, 2018 (“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 for development activities and related services, 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 \$1,915,000 for alumni relations activities and services.
- 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 two percent (2.0%) 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 non-endowed gifts deposited in the Foundation, as reasonably determined by the Foundation. 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 have entered into a separate Lease agreement dated effective October 22, 2015, which documents the terms and conditions for the Foundation's use of the Alumni Center, located at 2384 Alumni Drive.

2. Foundation Mission

The Foundation's mission statement is: Strengthening UConn One Relationship at a Time. The independent, not-for-profit, tax-exempt organization does this by operating exclusively to promote the educational, scientific, cultural, research and recreational objectives of the University of Connecticut. This is accomplished by providing quality programs and services for its alumni and supporters, and by serving as the primary fundraising vehicle for the University. The Foundation solicits, administers and invests private funds for the sole benefit of the University and its mission of pursuing excellence in teaching, research and public service.

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 eighty-five million dollars (\$85M) in new gifts and commitments for the University (inclusive of support for the UConn Health Center), in the Period, 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) Utilize the UConn Foundation Board Work Group's – University, Health and Athletics – to support increased cultivation, solicitation and stewardship of major and principal gift prospects.
- 3) Increase commitments from the various boards' members - the UConn Board of Trustees, UConn Foundation Board of Directors, and the UConn Health Center Board of Directors - with the target of reaching the national university average of 14% in total annual commitments through board support.
- 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 to drive activity.
- 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 the \$150 million goal aimed at increasing scholarship support for the University by June 30, 2021. Use reasonable efforts to raise gifts and commitments for student support, including, but not limited to, scholarships, assistantships, fellowships, awards and prizes, that equal not less than fifteen percent of the total amount of all gifts and commitments raised during the Period.
- 2) Expand comprehensive Grateful Patient program, with an initial focus on Cancer and Cardio programs, supported by direct mail outreach and personalized follow up from staff.
- 3) Raise an additional \$11 million in commitments in the Period in order to complete fundraising required to initiate construction for soccer, softball and baseball projects.
- 4) Maintain an emphasis on endowment fundraising to improve on the current three-year average of \$25.2 million per year.
- 5) Support University, as well as 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. Create a means by which to measure alumni engagement and use the data that is generated to better define and focus outreach efforts.
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 and regional networks, reunion programming and opportunities with new constituencies.
4. Develop an exemplary Alumni organization respected for its energy, expertise, effectiveness, and innovation.

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) Continue to develop fundraising focused material related to strategic priorities of the University.
- 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) Continue implementation of a new fundraising model for the Annual Giving program.
- 2) Strengthen stewardship for donors at various levels, including \$1K or more annual donors, as well as lifetime donors of \$100K or more.
- 3) Increase Regional Development program outreach to strengthen engagement and support from alumni and other constituents nationally.
- 4) Retain staff and increase investment in staff training.

4. Investment Benchmarks

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 Executive Vice President for Administration 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:

- a) The target return on Foundation investments will be 6.25% plus inflation.
- b) The Foundation will limit to 12% the level of volatility on an annualized basis based on the Foundation's Board of Director's policy.
- c) The Foundation's target risk adjusted return measured by Sharpe ratio will be 1.0 or greater measured over rolling periods.

5. Campaign Support

In addition to pursuing fundraising, alumni engagement, and investment goals and benchmarks in accordance with paragraphs 2, 3 and 4 above, and after appropriate analysis and campaign readiness studies, the Foundation and the University have determined that in FY18 the Foundation will take reasonable and appropriate steps to plan and prepare for a significant and concerted fundraising effort for the benefit of the University ("Campaign"). It being understood and agreed by the parties that the amount of funds to be raised, the priorities to be funded, and the timing of such Campaign, is to be mutually agreed upon by the parties.

In FY18 the Foundation's planning and preparation for such Campaign is expected to include, without limitation, the following activities:

- a) Determining a Campaign model (e.g., initiative based campaigns, singular campaign, other).
- b) Creating a Campaign statement and identifying priorities to be funded.
- c) Analyzing constituent data in support of targeting the amount of funds to be raised in the Campaign.
- d) Aligning Foundation staffing and technological resources toward a personalized constituent acquisition and engagement program for the Campaign.
- e) Reviewing and strengthening staffing, operations, technology, and pipeline development in Principal Gifts, Major Gifts, Regional Giving, and Grateful Patient programs to support the Campaign.
- f) Implementing a comprehensive enterprise content management system to support Foundation Campaign operations.

The University agrees a comprehensive fundraising campaign is appropriate and in its best interests. Therefore, in consideration of the foregoing, the University agrees to provide additional consideration to the Foundation upon execution of this SOW to support such Campaign planning and preparation. During the Period, such support will total \$500,000 and will be provided to the Foundation in the first quarterly installment payment. In accordance with the Statement of Work for Fiscal Year 2017, the University will also reimburse the Foundation \$250,000 in the Period for additional costs incurred by the Foundation to support planning and execution of the Campaign during such fiscal year.

6. State Contract Requirements

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

7. 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.

8. 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

Daniel D. Toscano
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

ATTACHMENT 11

June 28, 2017

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Recommendation for Extension of Collective Bargaining Agreement
with AAUP

RECOMMENDATION:

That the Board of Trustees approve the attached Contract Extension Agreement between the University of Connecticut ("UConn" or "University") and the University of Connecticut Chapter of the American Association of University Professors ("AAUP") by adopting the resolution at the end of this Memorandum.

BACKGROUND:

The current collective bargaining agreement between UConn and AAUP as extended at the June 29, 2016 Board of Trustees meeting is scheduled to expire on June 30, 2017 and a successor agreement has not yet been reached. Connecticut General Statutes Section 5-278a authorizes UConn and the UCPEA to negotiate an extension of the expired agreement or any provisions not otherwise extended by law.

The Contract Extension Agreement will continue existing terms of conditions of employment for a period of one year, through and including June 30, 2018, or until a successor agreement has been reached, whichever comes first.

RESOLUTION:

Resolved by the Board of Trustees that the proposed Contract Extension Agreement between the University of Connecticut ("University") and the University of Connecticut Chapter of the American Association of University Professors is hereby approved and that the President of the University is authorized to execute such Contract Extension Agreement on behalf of the University.

CONTRACT EXTENSION AGREEMENT

WHEREAS, the University of Connecticut (“University”) and the University of Connecticut Chapter of the American Association of University Professors (“UConn-AAUP”) are parties to a Collective Bargaining Agreement; and

WHEREAS, the Collective Bargaining Agreement as extended at the June 29, 2016 Board of Trustees meeting is scheduled to expire on June 30, 2017; and

WHEREAS, the parties have engaged in negotiations for a successor agreement; and

WHEREAS, it appears a successor agreement will not be reached prior to expiration of the Collective Bargaining Agreement; and

WHEREAS, Conn. Gen. Stat. § 5-278a authorizes the parties to “negotiate the extension of the expired agreement or any provision thereof not otherwise extended by [operation of law]”; and

WHEREAS, the parties wish to extend their Collective Bargaining Agreement for a period of up to one (1) year to allow for the completion of negotiations; and

NOW, THEREFORE, in accordance with Conn. Gen. Stat. § 5-278a, the parties hereby agree as follows:

1. All provisions of the Collective Bargaining Agreement between the University and UConn-AAUP shall be extended at current levels for a period of one (1) year until June 30, 2018, or until such time as a successor agreement is ratified and approved by the Board of Trustees and Legislature, whichever occurs first.
2. Following expiration of the parties’ Collective Bargaining Agreement, base salaries of bargaining unit members shall remain at current levels, defined to mean the members’ base salaries on the date of expiration.

3. The following funds shall continue to be available to bargaining unit members at current levels, defined to mean the amount available to bargaining unit members in the last year of the expired agreement:

- a. Professional Development Fund (Article 19.IV.F)
- b. Tuition Reimbursement Fund (Article 19.IV.B)
- c. Child Care Reimbursement Fund (Article 19.IV.H)

4. Promotional increases shall remain available to bargaining unit members as provided, and at the levels set forth, in Memorandum of Agreement No. 1.

5. Pursuant Conn. Gen. Stat. § 5-278a, the parties expressly agree that “payroll deduction of employee organization regular dues, fees and assessments” shall continue in accordance with Article 17 of the expired agreement.

UConn-AAUP

_____/_____/_____
Date

University of Connecticut

_____/_____/_____
Date

ATTACHMENT 12

June 28, 2017

TO: Members of the Board of Trustees

FROM: Susan Herbst 

RE: Recommendation for Extension of Collective Bargaining Agreement
with UCPEA

RECOMMENDATION:

That the Board of Trustees approve the attached Contract Extension Agreement between the University of Connecticut ("UConn" or "University") and the University of Connecticut Professional Employees Association Local 3695 AFTCT, AFT, AFL-CIO ("UCPEA" or "Union") by adopting the resolution at the end of this Memorandum.

BACKGROUND:

The current collective bargaining agreement between UConn and UCPEA as extended at the June 29, 2016 Board of Trustees meeting is scheduled to expire on June 30, 2017 and a successor agreement has not yet been reached. Connecticut General Statutes Section 5-278a authorizes UConn and the UCPEA to negotiate an extension of the expired agreement or any provisions not otherwise extended by law.

The Contract Extension Agreement will continue existing terms of conditions of employment for a period of one year, through and including June 30, 2018, or until a successor agreement has been reached, whichever comes first.

RESOLUTION:

Resolved by the Board of Trustees that the proposed Contract Extension Agreement between the University of Connecticut ("University") and the University of Connecticut Professional Employees Association Local 3695 AFTCT, AFT, AFL-CIO is hereby approved and that the President of the University is authorized to execute the Contract Extension Agreement on behalf of the University.

CONTRACT EXTENSION AGREEMENT

WHEREAS, the University of Connecticut (“University”) and the University of Connecticut Professional Employees Association (“UCPEA”) are parties to a Collective Bargaining Agreement; and

WHEREAS, the Collective Bargaining Agreement as extended at the June 29, 2016 Board of Trustees meeting is scheduled to expire on June 30, 2017; and

WHEREAS, the parties have engaged in negotiations for a successor agreement; and

WHEREAS, it appears a successor agreement will not be reached prior to expiration of the Collective Bargaining Agreement; and

WHEREAS, Conn. Gen. Stat. § 5-278a authorizes the parties to “negotiate the extension of the expired agreement or any provision thereof not otherwise extended by [operation of law]”; and

WHEREAS, the parties wish to extend their Collective Bargaining Agreement for a period of up to one (1) year to allow for the completion of negotiations; and

NOW, THEREFORE, in accordance with Conn. Gen. Stat. § 5-278a, the parties hereby agree as follows:

1. All provisions of the Collective Bargaining Agreement between the University and UCPEA shall be extended at current levels for a period of one (1) year until June 30, 2018, or until such time as a successor agreement is ratified and approved by the Board of Trustees and Legislature, whichever occurs first.

2. Following expiration of the parties’ Collective Bargaining Agreement, base salaries of bargaining unit members shall remain at current levels, defined to mean the members’ base salaries on the date of expiration.

3. The following funds shall continue to be available to bargaining unit members at current levels, defined to mean the amount available to bargaining unit members in the last year of the expired agreement:

- a. Professional Development Fund (Article 34.1.b)
- b. Tuition Reimbursement Fund (Article 34.1.a)
- c. Child Care Reimbursement Fund (Article 36)

4. Reclassification increases shall remain available to bargaining unit members as provided, and at the levels set forth, in Article 31.

5. Pursuant Conn. Gen. Stat. § 5-278a, the parties expressly agree that “payroll deduction of employee organization regular dues, fees and assessments” shall continue in accordance with Article 42 of the expired agreement.

Elizabeth Sullivan
UCPEA

06/13/2017
Date

University of Connecticut


/ /
Date

ATTACHMENT 13



Office of the Executive Vice President for
Administration and Chief Financial Officer
Scott A. Jordan
Executive Vice President
for Administration
and Chief Financial Officer

June 28, 2017

TO: Members of the Board of Trustees 

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

RE: Presentations of the **DRAFT** Fiscal Year 2018 Capital and Operating Budgets for
the University of Connecticut, Storrs and Regional Campuses

On Monday, June 12, the Board of Trustees Financial Affairs Committee met to discuss and review the FY18 draft operating and capital budgets for the University of Connecticut, Storrs and Regional Campuses. The presentations from that meeting are attached. The agenda items were recommended to the full Board for approval.

As you know, the State has not adopted a budget for next fiscal year at this time. In part, this is due to the fact that the State is currently in the processes of bargaining with the State Employee Bargaining Agent Coalition (SEBAC) to finalize union contracts, which has a substantial impact on the State budget. The attached presentation provides the assumptions, information and background on UConn's FY18 budget, but there is tremendous uncertainty for some line items until the State budget is negotiated, and adopted. Specifically, the amount of UConn's appropriation is uncertain at this time, the SEBAC impact to the fringe benefit rate. Additionally, on the capital side the bond amount is not set as the bond bill is not yet approved.

At the Financial Affairs Committee meeting, it was decided that the best course of action was to approve the FY18 Operating and Capital budget resolutions by the full Board with the best estimates of anticipated revenue and expenditure based on the information we have at this time. Approving an FY18 budget will allow the University to continue to conduct essential business and move forward into the new fiscal year with a baseline budget. When the State Legislature passes the biennium budget, SEBAC is settled and a fringe rate is set by the State Comptroller, the Administration will return to the Board with an updated final budget that accounts for changes based on the impact of the final numbers.



FY18 DRAFT Budget Overview

June 12, 2017

DRAFT – as of 6/12/17

Agenda

1. FY17 End of Year Projection
2. FY18 UConn Budget: Expenses and Revenue
2. History of State Support
3. Most Challenging Areas
4. Biggest Opportunities
5. Conclusion: SWOT Summary

FY17 Year End Projection

UConn will end FY17 with balanced budget due to highly restrictive hiring, spending reductions, strategic cuts and increased tuition revenue.

Revenues (\$M)		Expenditures (\$M)	
Appropriation	220.8	Personal Services	490.1
Fringe Benefits & Adjustments	154.3	Fringe Benefits	245.6
Total State Support	\$ 375.0	Other Expenses	214.2
Tuition	374.7	Energy	22.1
Fees	132.3	Equipment	14.1
Grants & Contracts	78.3	Student Financial Aid	159.1
Foundation/Endowment	20.2	Debt Service/Projects	78.3
Sales & Services	18.1	Total Operating Fund	\$ 1,223.6
Auxiliary Enterprise Revenue	213.7		
Other Revenue	15.4	Research Fund	106.3
Total Operating Fund	\$ 1,227.8	Total Operating Expenditures	\$ 1,329.8
Research Fund	104.6	Net Gain/Loss	\$ 2.5
Total Current Funds Revenues	\$ 1,332.4		

Note: Use of decimals may result in rounding differences.

UConn Successes

The University has made significant gains and improved academic quality.

UConn successes:

- Top 25 Public National University (20th) in *U.S. News and World Report*
- Opening new Downtown Hartford campus location
- Decreased average time to degree to 4.2 years ranking 3rd among Public Research Peers
- Increased number of class offerings by 33%
- Graduated more students than ever before in our history
- Growth in STEM research and funding
- Increased academic quality of students
- Fall 2016 entering class included 78 valedictorians and 79 salutatorians
- 164 of CT's 169 cities and towns are represented
- Growth in enrollment, with 5,119 Freshmen welcomed in Fall 2016
- Reduced Student-to-Faculty Ratio
- Opening new Stamford campus residence hall

Balancing UConn's FY18 Budget

In order to achieve a balanced budget for FY18, the University has:

- Implemented significant University-wide spending cuts
- Restricted hiring
- Identified new revenue streams (Barnes and Noble, self-supporting programs, etc.)
- Strategic cuts to University departments
- Increased tuition (per four year plan)
- Increased enrollment
- Identified and implemented efficiencies

FY18 University DRAFT Operating Budget

The FY18 budget presented below is a DRAFT, as the State Appropriation, impact of SEBAC agreement and fringe benefit rate are unknown and could have a dramatic impact on overall budget.

Revenues (\$M)		Expenditures (\$M)	
Appropriation	211.2	Personal Services	496.2
Fringe Benefits & Adjustments	146.9	Fringe Benefits	248.3
Total State Support	\$ 358.1	Other Expenses	216.7
Tuition	390.1	Energy	24.9
Fees	134.8	Equipment	17.1
Grants & Contracts	77.5	Student Financial Aid	165.9
Foundation/Endowment	19.5	Debt Service/Projects	62.1
Sales & Services	18.3	Total Operating Fund	\$ 1,231.2
Auxiliary Enterprise Revenue	220.1		
Other Revenue	15.9	Research Fund	108.0
Total Operating Fund	\$ 1,234.3	Total Operating Expenditures	\$ 1,339.2
Research Fund	106.6	Net Gain/Loss	\$ 1.8
Total Current Funds Revenues	\$ 1,341.0		

The DRAFT budget assumptions include:

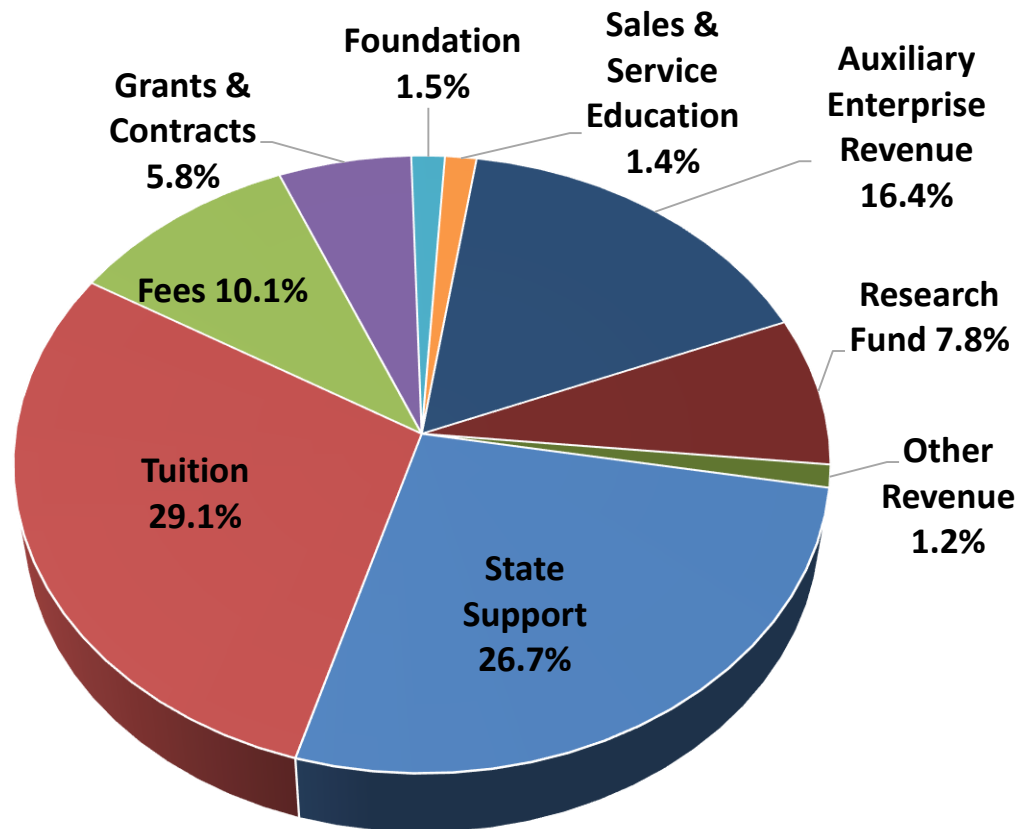
- The Governor's Proposed State Appropriation at \$211.2M.
- Tuition at previously approved rate
- Fringe at FY17 rate, with no increases for FY18.

Note: Use of decimals may result in rounding differences.

FY18 Revenue by Category

State support is an important and significant piece of the budget, however in FY18, tuition will be the largest revenue source, at over 29% of total revenues.

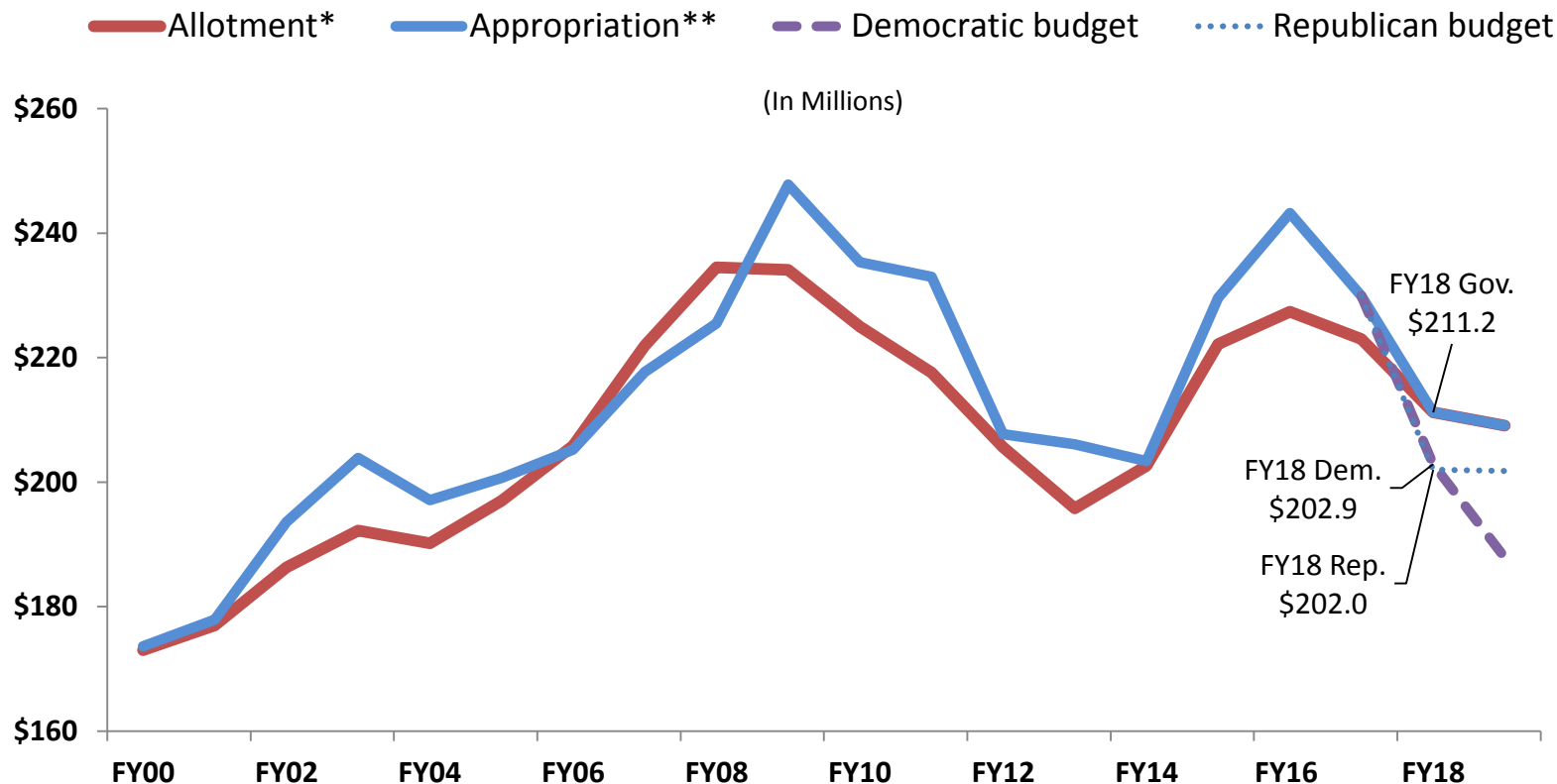
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Total State Support	\$ 358.1
Tuition	390.1
Fees	134.8
Grants & Contracts	77.5
Foundation/Endowment	19.5
Sales & Services	18.3
Auxiliary Enterprise Revenue	220.1
Other Revenue	15.9
Total Operating Fund	\$ 1,234.3
Research Fund	106.6
Total Current Funds Revenues	\$ 1,341.0



Note: Use of decimals may result in rounding differences.

State Appropriation

UConn supports the Governor's proposal, which represents an \$18.7M cut from FY17. Additional cuts would be difficult for UConn to manage.

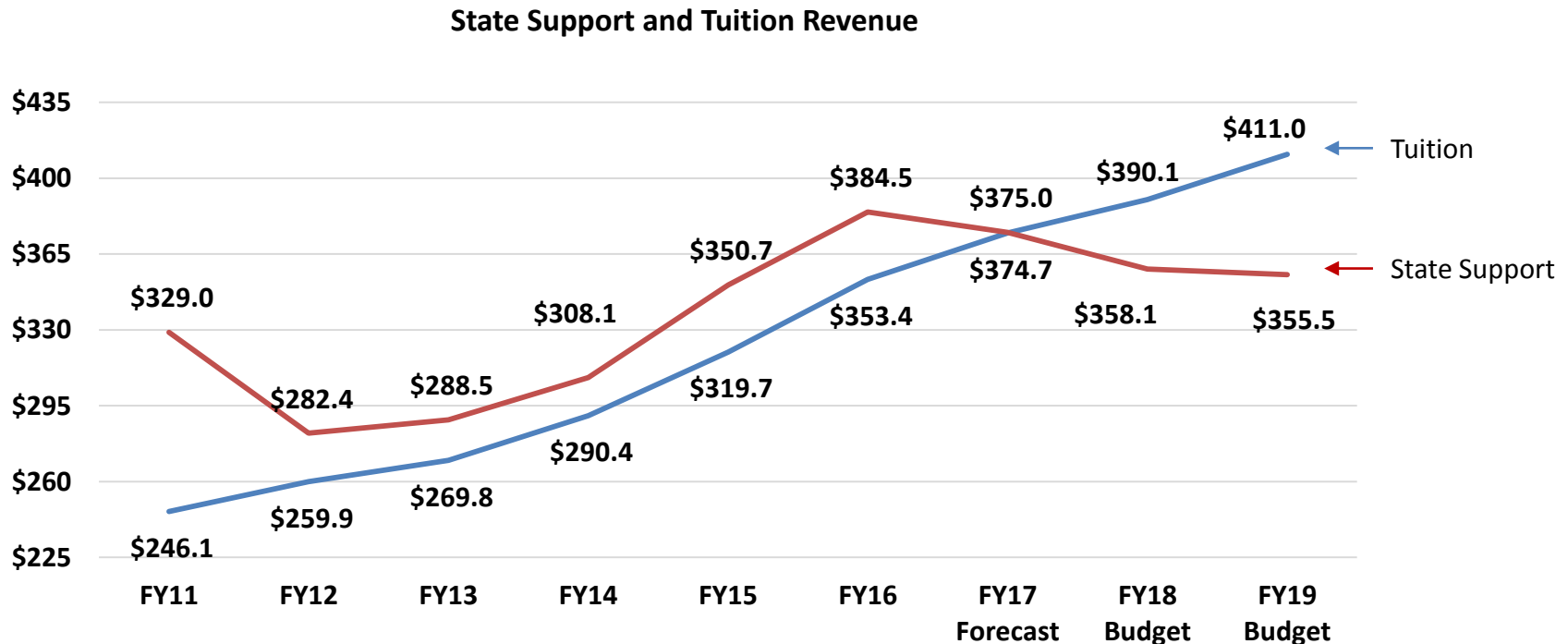


*Allotment includes fund sweep reductions

**Appropriation includes the Governor's proposed budget for FY18 & FY19

Tuition Revenue

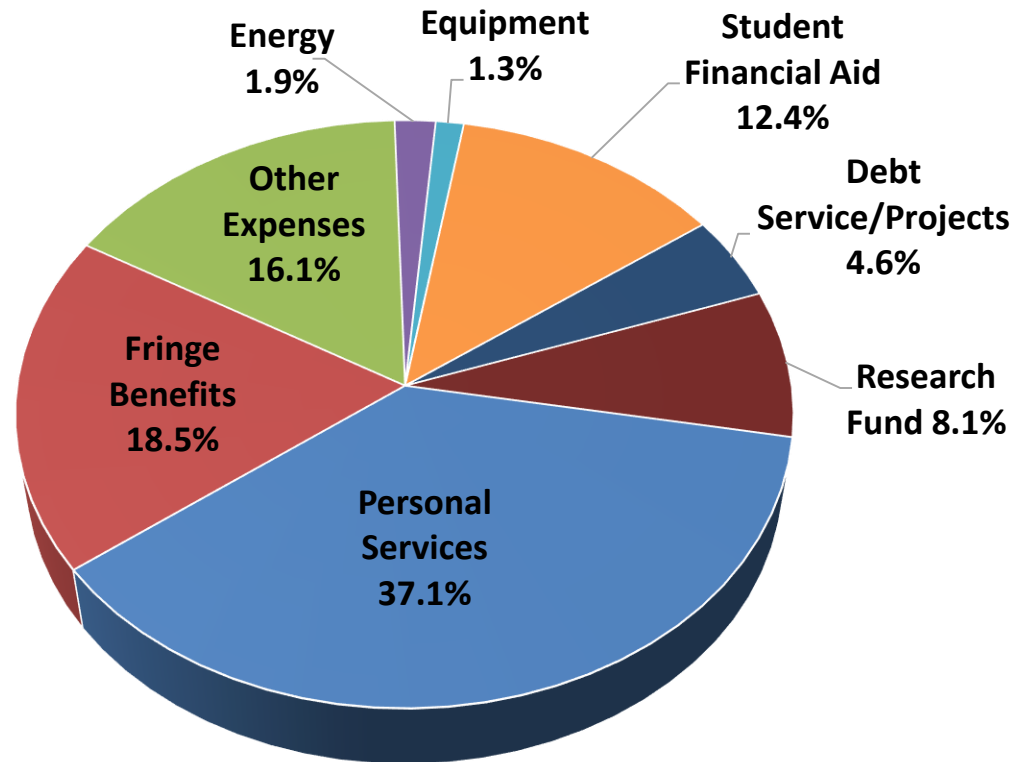
UConn has had enrollment growth and rate increases contributing to overall tuition revenue increases. FY18 is the second year in a four year tuition plan.



FY18 Expense by Category

Salary and Fringe Benefits are the largest expense for the University at 55.6% of the total, with Other Expenses accounting for 16.1% and Financial Aid at 12.4%.

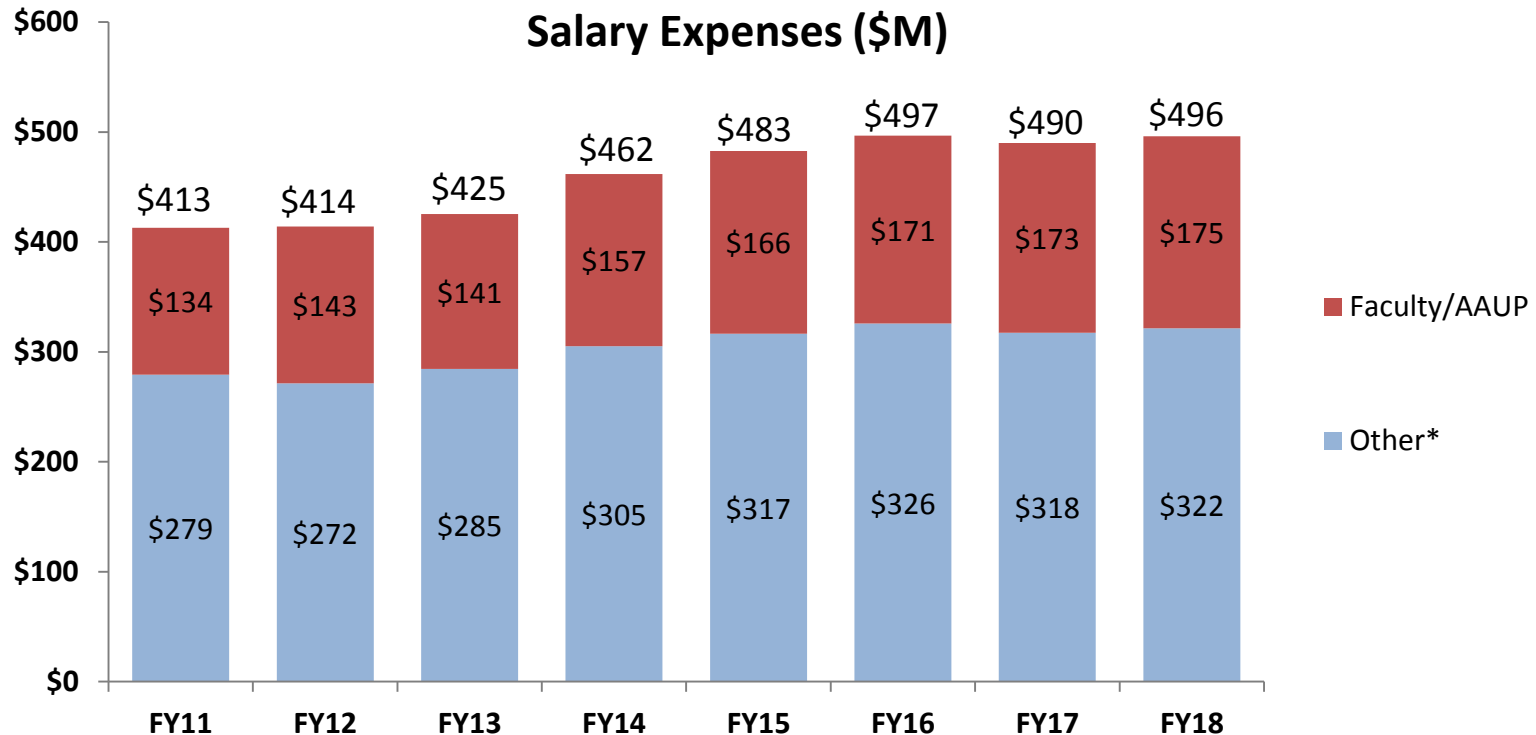
Expenditures (\$M)	
Personal Services	496.2
Fringe Benefits	248.3
Other Expenses	216.7
Energy	24.9
Equipment	17.1
Student Financial Aid	165.9
Debt Service/Projects	62.1
Total Operating Fund	\$ 1,231.2
Research Fund	108.0
Total Operating Expenditures	\$ 1,339.2



Note: Use of decimals may result in rounding differences.

Rising Costs - Salary Expenses

Between FY11 and FY18, mandated salary increases, as a result of union agreements, cost UConn about \$68M or 82% of the total salary expense growth.



*Other: this category includes classified, non-faculty professional (UCPEA), management, confidential, graduate assistant, student, & special payroll

- The growth in FY18 is due to graduate assistant contractual increases (\$1M), additional police (\$1.4M) and faculty and other academic hiring (\$3.7M). Under the tentative SEBAC agreement, FY18 includes no faculty/staff salary increases.

Rising Costs – Fringe Benefits

Fringe Benefits are the fastest growing piece of the expenditure budget with rates increasing by 17.7% for professional staff since FY13.

Fringe rates continue to rise, largely due to the unfunded pension liability.

- The Office of the State Comptroller develops the main rate components. UConn has no control over rates, but must cover the costs.
- The SEBAC agreement should help to address high rates and could potentially decrease the fringe rates.

University Fringe Rate Category	FY13	FY14	FY15	FY16	FY17	FY18	FY13–18 Change
Faculty	36.7%	44.2%	44.2%	47.0%	50.6%	49.0%	12.3%
Professional	47.3%	53.6%	57.2%	59.5%	63.5%	65.0%	17.7%
Classified	79.6%	92.1%	92.1%	92.1%	94.5%	96.2%	16.6%

- The University classified fringe rate will be 96.2% of salary in FY18. This includes staff in the maintenance, clerical, and public safety bargaining units.
- The assumption in the FY18 budget is that overall fringe rate costs will remain flat while some of our individual University rates are going up or down as compared to FY17.

SWOT Analysis

Evaluating UConn's Strengths, Weaknesses, Opportunities and Threats

STRENGTHS (+)	WEAKNESSES (-)
<ul style="list-style-type: none">1) Tuition – UConn's current tuition is affordable and competitive with peers.2) Students – UConn's students are academically strong, and contribute to the CT economy (70% stay in CT after graduation).3) Hiring – UConn is prudent and careful in hiring decisions, with strict review for any new position.4) UConn is a pillar to the State economy and is recognized for academic excellence.	<ul style="list-style-type: none">1) Diversity of Revenues – UConn is heavily reliant on State Appropriations and Tuition.2) Fringe Benefits – UConn rates are high and are dictated by the State Comptroller.3) UConn has significant deferred maintenance and infrastructure needs that far exceed resources.4) UConn has limited ability to enact wide-scale wage/personnel changes.
OPPORTUNITIES (+)	THREATS (-)
<ul style="list-style-type: none">1) Philanthropy – Focusing on scholarship funds can keep more high achieving students from CT at UConn.2) Research Revenues – New research grants can fund invention & innovation and extend our contribution to knowledge across many fields.3) Outsourcing – Opportunities for outsourcing large operational areas may help negate high cost of operations, in part due to high fringe benefit rates.4) SEBAC – Potential reductions in fringe rates.	<ul style="list-style-type: none">1) State Budget – Continued pressure on the State's economy has led to cuts to UConn's operating and capital budgets.2) Bond Rating – The State's bond rating has been downgraded, putting UConn's bond rating at risk and potentially increasing the cost of borrowing.3) State Population Decline – As the State's high school population declines, UConn may be challenged to maintain enrollment, particularly at regional campuses.

Impact of Cuts to UConn

- UConn has carefully and effectively managed itself to balance the budget and maintain academic quality in the face of major reductions in State support and rising costs.
- However, UConn's goals are shifting from expanding academic and research strength, student success and contributing to the State's economy to simply attempting to maintain our current position.
- Forecasted reductions to the appropriation will lead UConn to decline academically, student success will suffer, we will not be able to contribute fully to the State's economy, and the State's investments in UConn will be diminished. This will cause UConn to plummet in the *U.S. News and World Report* rankings.

FY18 DRAFT CAPITAL BUDGET

Agenda

1. Status of Major Capital Projects
2. Critical Projects to be Deferred
3. Other Capital Projects
4. Capital Program Summary

Capital Budget Program

- FY18 is year 4 of the 10 year NextGenCT program and the core science buildings are scheduled for construction in FY18 and FY19.
- \$1.3B of bond funds have yet to be authorized for projects that are already under construction or are in planning/design.
- Funding for FY18 is still uncertain and funding deferrals will slow down the rapid progress underway. The FY18 amount has been reduced by \$29.6M, which delays projects to future years.

Major Capital Projects Nearing Completion

■ Projects to be completed by summer 2017:

- Hartford Campus - \$140M
- Engineering & Science Building - \$95M
- UCH Main Building Phase 2 - \$41M



Hartford Campus

■ Projects to be completed during FY18:

- Innovation Partnership Building (IPB) - \$162.3M
- UCH Academic Building Renovation - \$36.1M
- UCH EMR Implementation - \$98M
- ESCO Phase 1 - \$31.6M
- North Eagleville Road Infrastructure Phase 3 - \$49M



IPB

Major Capital Projects in Construction

- Student Recreation Center & Infrastructure - \$125M
estimated completion - July 2019
- Gant Building Renovations - \$180M
estimated completion - December 2022
- UCH Clinic (C) Building Renovations - \$91M
estimated completion - August 2018
- NW Science Quad Infrastructure Phase 1 - \$20M
(to support STEM Research Science 1)
estimated completion - August 2018

Capital Program State Funding Deferral

The current bond bill proposal will negatively impact the capital program by deferring significant funding to future years.

Fiscal Year	Bond Amount (Statute)	sSB 788 (FRB)	Change from Statute
2018	\$295.5	\$265.9	(\$29.6)
2019	251.0	225.9	(25.1)
2020	269.0	225.7	(43.3)
2021	191.5	160.3	(31.2)
2022	144.0	101.4	(42.6)
2023	112.0	98.0	(14.0)
2024	73.5	85.0	11.5
Subtotal	\$1,336.5	\$1,162.2	(\$174.3)
2025		70.1	70.1
2026		63.6	63.6
2027		40.6	40.6
Total (\$M)	\$1,336.5	\$1,336.5	\$0.0

FY18 bond funding amount is still unknown. A deferral of (\$29.6M) impacts our capital program, and additional cuts would have a significant impact on the core science buildings.

Impact of Capital Program Funding Deferrals

Based upon the current bond bill deferral proposal, UConn has already delayed the following critical projects to future years:

STEM Research Center 2	\$62.6
Housing & Parking	83.5
Research Equipment	21.1
Infrastructure & Deferred Maintenance	132.0
Facility Code Repairs	7.5
Fats, Oil & Grease Compliance	4.4
Heating Plant-Boiler Replacements	15.3
Historic Exterior Repairs	6.7
Public Art	1.0
Total (\$M)	\$334.1

Funding Deferral Assumptions

In developing the list of projects to be delayed, UConn:

- Protected the core priorities of the NextGenCT program;
- Preserved projects currently in construction or scheduled to break ground this summer, including the Hartford Campus construction, Engineering Building and the Gant Science and Technology Building; and
- Protected funding for critical deferred maintenance and infrastructure projects necessary to ensure continued operation and public safety at our campuses.

FY18 Capital Budget

The State has deferred \$29.6M of bond funding to future years, reducing the FY18 amount from \$295.5M to \$265.9M.

UConn - NextGenCT	\$256,485,850	DM & Infrastructure, Equipment, Hartford Campus, Academic & Research Facilities-Gant, Engineering, Fine Arts, STEM 1, Babbidge
UCH - Bioscience CT	9,414,150	DM, Equipment, Medical School Academic Building, Hospital (Clinic Building)
Total State Bond Funds	\$265,900,000	
UConn Funds	57,613,250	Student Recreation Center & Infrastructure, ESCO, Facilities Repairs, Etc.
Total Capital Budget	\$323,513,250	All capital projects costing \$500K or more are submitted for Board action on a project by project basis

Other Capital Projects

- Not all capital projects are funded with State bonds. University funds are utilized for capital & maintenance initiatives that are not part of the bond plan or to bridge cash flow for bond funded projects (i.e. ESCO/energy efficiency project, housing improvements, facilities deferred maintenance).
- UConn is currently utilizing cash balances to temporarily fund high priority projects which will be supported through the issuance of new revenue bonds during FY18:
 - Recreation Center & Infrastructure are under construction: \$125M
 - Athletics District Development (new stadia) is in design: \$46M
- In addition to the critical utility work that is unfunded, funding has not been identified for other capital needs which include housing, athletics and parking improvements.

Next Steps

- This FY18 budget contains our best estimate of anticipated revenue and expenditure activity at this point. There are both areas of risk and potential gains that may impact the overall budget.
- There are still unknowns and uncertainty around both the State Appropriation, tentative SEBAC agreement and fringe rate impact.
- We plan to present the FY18 Operating and Capital budget resolutions to the BOT on June 28, 2017. However we may not have a finalized appropriation at that point and would need to come back at a later point for approval when numbers are final.

APPENDIX

Operating Budget Risks

✓ State Support

- The State can cut or sweep funds mid-year, which makes planning difficult.
- The overall financial outlook for the State of Connecticut is very concerning.

✓ Fringe Benefits

- Fringe benefit rates continue to rise, largely due to the unfunded pension liability. UConn has no control over rates, but must cover the costs.
- UConn has high fringe rates, making us less competitive for research grants. Fringe rates for employees on the State retirement plan are projected to be 96.2% for FY18.
- The Republican budget proposal includes a direct appropriated amount for fringe. This puts all the risk on UConn.

✓ Collective Bargaining Increases

- Under the tentative SEBAC agreement, FY19 includes a one-time salary increase as well as increases up to 3.5% in FY20 and FY21 for some classified bargaining units. Until that contract is ratified, uncertainty exists in the out years.

✓ Lack of Revenue Diversification

- State support, tuition and fees account for two-thirds of UConn's budget. Other fund sources are not growing to help offset the decrease in State support.

FY17 vs FY18 Budget

As compared to FY17, the FY18 budget includes decreases in State Appropriation, increases in tuition/fees and increases in salary and fringe rate expenditures.

	FY17 Forecast (\$M)	FY18 Budget (\$M)	Favorable / (Unfavorable) (\$M)	Notes
Appropriation	220.8	211.2	(9.5)	Governor's revised budget
Fringe Benefits Reimbursements	154.3	146.9	(7.4)	Fringe on Governor's budget at 69% FB rate in FY18
Total State Support	\$ 375.0	\$ 358.1	\$ (16.9)	
Tuition	374.7	390.1	15.4	Approved tuition plan; \$775 IS; \$1,050 OS
Fees	132.3	134.8	2.5	Business growth; Visa, late fee increase
Grants & Contracts	78.3	77.5	(0.8)	Reduction of Willis scholarship and other state financial aid
Foundation/Endowment	20.2	19.5	(0.7)	Decrease in Foundation funds
Sales & Services	18.1	18.3	0.2	No significant change
Auxiliary Enterprise Revenue	213.7	220.1	6.4	Room & Board increase; Barnes & Noble
Other Revenue	15.4	15.9	0.5	Includes energy credits, conference revenue, etc.
Total Operating Fund	\$ 1,227.8	\$ 1,234.3	\$ 6.6	
Research Fund	104.6	106.6	2.0	2% increase
Total Current Funds Revenues	\$ 1,332.4	\$ 1,341.0	\$ 8.6	
Personal Services	490.1	496.2	(6.1)	\$1M GA CBI;\$1.4M police; \$3.7M faculty & other academics
Fringe Benefits	245.6	248.3	(2.7)	No rate increase
Other Expenses/Equipment	228.4	233.8	(5.4)	New buildings & other infrastructure; food cost increase
Energy	22.1	24.9	(2.9)	Unhedged gas and additional usage with new buildings
Student Financial Aid	159.1	165.9	(6.8)	Financial aid increase associated with tuition increase
Debt Service/Projects	78.3	62.1	16.2	Capital projects funded in FY17
Total Operating Fund	\$ 1,223.6	\$ 1,231.2	\$ (7.6)	
Research Fund	106.3	108.0	(1.8)	1.5% increase in salary, fringe and other expenses
Total Current Funds Expenditures	\$ 1,329.8	\$ 1,339.2	\$ (9.4)	
Net Gain/(Loss) Loss	\$ 2.5	\$ 1.8	\$ (0.8)	

Note: Use of decimals may result in rounding differences.

SEBAC Framework Impact

The tentative SEBAC framework includes healthcare and pension changes that are likely to have an impact on fringe costs, but further analysis is needed at the State level to determine the full magnitude for UConn.

	Proposal	FY18 Cost (\$M)	FY19 Cost (\$M)	FY20 Cost (\$M)	FY21 Cost (\$M)	Total Cost (\$M)
Wage Increase	0% hard freeze FY17,FY18,FY19 \$2,000 one time stipend in FY19 3.5% + [step Increase] in FY20, FY21;	\$ -	\$ 11.9	\$ 16.6	\$ 18.7	\$ 47.2
Furlough Days	3 Furlough Days in FY18	(5.4)	-	-	-	(5.4)
Delay Longevity Payment	Delay longevity payment in FY18	(1.3)	1.3	-	-	-
Subtotal Wage Impact (including associated fringe benefits)		\$ (6.7)	\$ 13.2	\$ 16.6	\$ 18.7	\$ 41.8
Health Insurance - Increase in employee share of premium	- Increase 1% each year in FY20,FY21,FY22 for existing employees - New employees at 15% - Mgmt already at 23%	(0.04)	(0.04)	(0.5)	(0.5)	(1.0)
Fringe Rate Impact	All other Pension and Healthcare changes; IMPACT UNKNOWN					
TOTAL COST/(SAVINGS) - UNION EMPLOYEES		\$ (6.8)	\$ 13.2	\$ 16.2	\$ 18.2	\$ 40.8

- FY17 is the first year of the framework agreement but realizes no cost or savings

State Appropriation Proposals

The Governor's proposed budget provides UConn with the best opportunity to balance the budget. The Republican budget proposes the largest cuts to UConn at (\$51.8M) in FY18 and (\$80.2M) in FY19, mainly due to the proposed fringe reductions.

	FY2018				FY2019		
	Appropriation	Governor Proposal	Democrat Proposal	House/Senate Republican Proposal	Governor Proposal	Democrat Proposal	House/Senate Republican Proposal
Appropriation	229,917,913	211,242,025	202,875,781	201,972,581	209,108,269	187,875,781	201,819,381
Fringe Reimbursement	158,643,360	145,756,997	139,984,289	134,800,933	144,284,706	129,634,289	106,567,562
TOTAL STATE SUPPORT	388,561,273	356,999,022	342,860,070	336,773,514	353,392,975	317,510,070	308,386,943
CUT - COMPARED TO APPROPRIATION		(18,675,888)	(27,042,132)	(27,945,332)	(20,809,644)	(42,042,132)	(28,098,532)
Associated fringe cut		(12,886,363)	(18,659,071)	(23,842,427)	(14,358,654)	(29,009,071)	(52,075,798)
TOTAL STATE SUPPORT CUT		(31,562,251)	(45,701,203)	(51,787,759)	(35,168,298)	(71,051,203)	(80,174,330)
% Cut		-8.1%	-11.8%	-13.3%	-9.1%	-18.3%	-20.6%

State Support

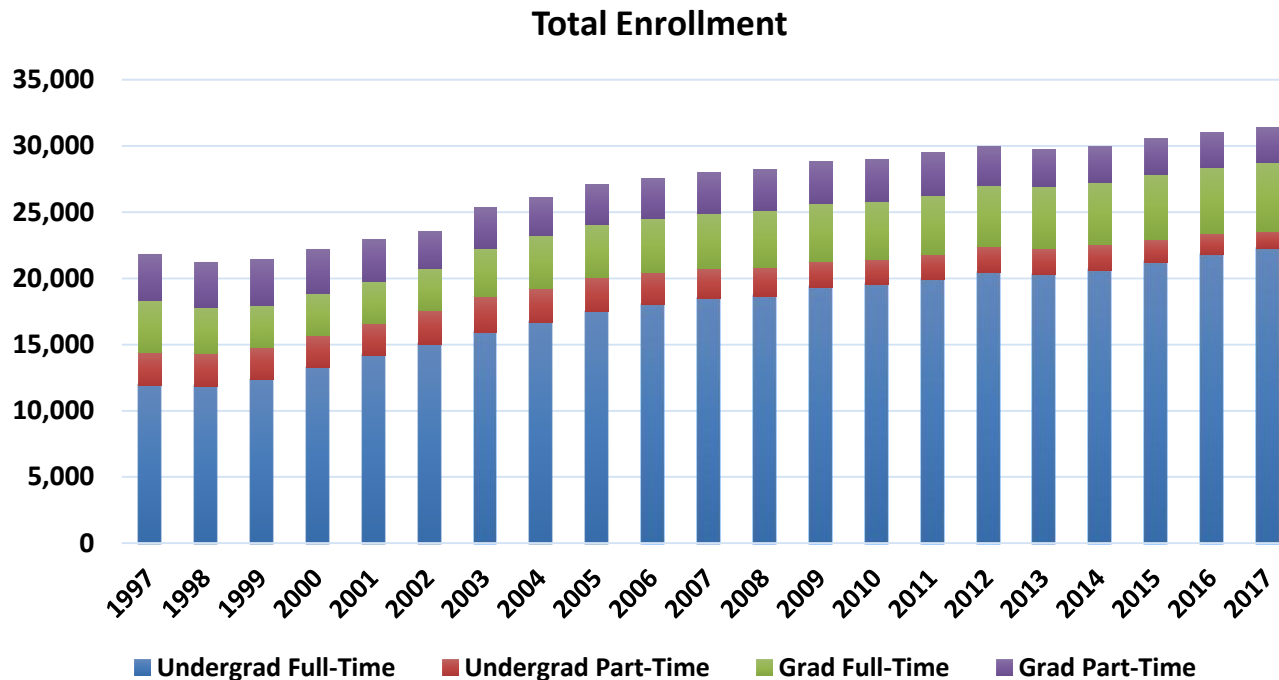
UConn has sustained \$79.5M in State reductions*, lost fringe and fund sweeps since 2011.

State Appropriation - Reductions, Fringe (Lost) and Fund Sweeps (\$M)						
	Appropriation	Reduction	Actual Allotment	Lost Fringe due to Reduction	Fund Sweeps	Total Cut
FY11	233.0	(0.4)	232.6	(0.2)	(15.0)	(15.6)
FY12	207.7	(2.1)	205.6	(1.1)	-	(3.2)
FY13	206.1	(10.3)	195.8	(5.2)	-	(15.5)
FY14	203.4	(0.8)	202.6	(0.4)	-	(1.2)
FY15	229.6	(7.4)	222.2	(3.7)	-	(11.1)
FY16	243.2	(2.6)	240.6	(1.6)	(13.2)	(17.4)
FY17	229.9	(9.2)	220.7	(6.3)	-	(15.5)
TOTAL		\$ (32.8)		\$ (18.5)	\$ (28.2)	\$ (79.5)

*Reductions = lapses, rescissions and deficit mitigation

Enrollment

Over the last 20 years growth in enrollment has been a significant factor in increased tuition revenue.



- UConn has benefited from solid growth in undergraduate enrollment, reflecting both its value and academic excellence.
- Overall, enrollment across all campuses is expected to remain flat in FY18 and FY19.

Fee Revenue

Growth in Self-Supporting fee based programs is expected to drive a \$3.6M increase in fee revenue, as other fee revenues remain relatively flat.

Course Fees \$43.3M

School of Business has seen tremendous growth in the past several years, including popular masters programs in Financial Risk Management, Business Analytics and Accounting.

Other programs including those in Education, Nursing, Law and Engineering

Infrastructure Maintenance Fee (IMF) \$11.4M

The IMF rate has not increased since the 2014-15 academic year.

IMF supports debt service associated with South Campus, as well as campus-wide preventative and deferred maintenance.

Course Fees
33%

General University Fee
30%

IMF
9%

Inter Sessions
19%

Other
10%

General University Fee (GUF) \$39.2M

The GUF rate has not increased since the 2014-15 academic year.

GUF funds activities in Student Health Services, Athletics & Recreational Services, One Card Office, the Jorgensen Center for the Performing Arts, Student Activities, payments to Student Union, and the Off Campus Student Services Office.

Summer/Winter Sessions \$25.3M

Overall Summer/Winter Sessions revenues are steady. UConn continues to explore expanding this as a potential increased revenue source.

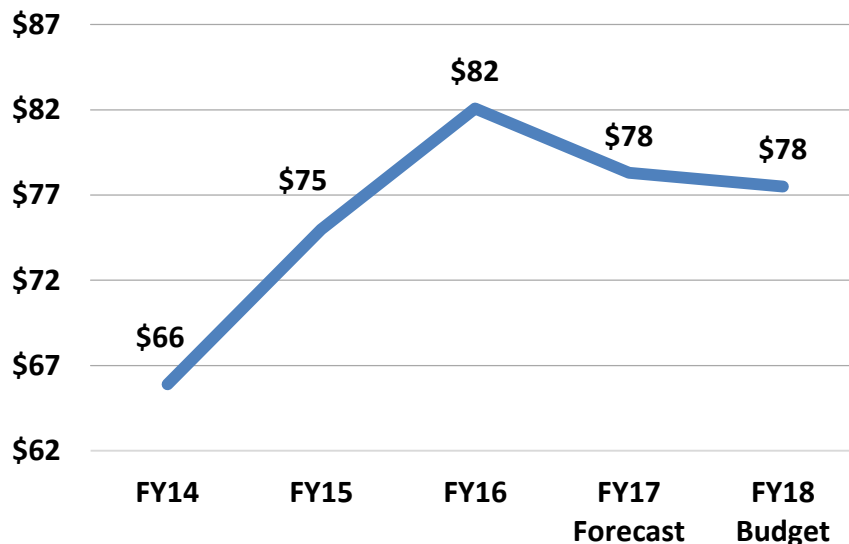
Other \$13.0M

This includes fees such as Application, Technology, Academic Materials and Major Fees.

Grants and Contracts Revenue

After several years of steady increases, Grants and Contracts revenues are expected to decline in both FY17 and FY18.

Grants and Contracts Revenues (\$M)



Key drivers impacting the decline:

- Reduction in the Roberta Willis Scholarship Fund and other State financial aid.
- Flat growth assumptions in other grants and contracts, both public (federal/Pell) and private partnerships.
- Other federal grants are assumed steady due to federal budget pressures.

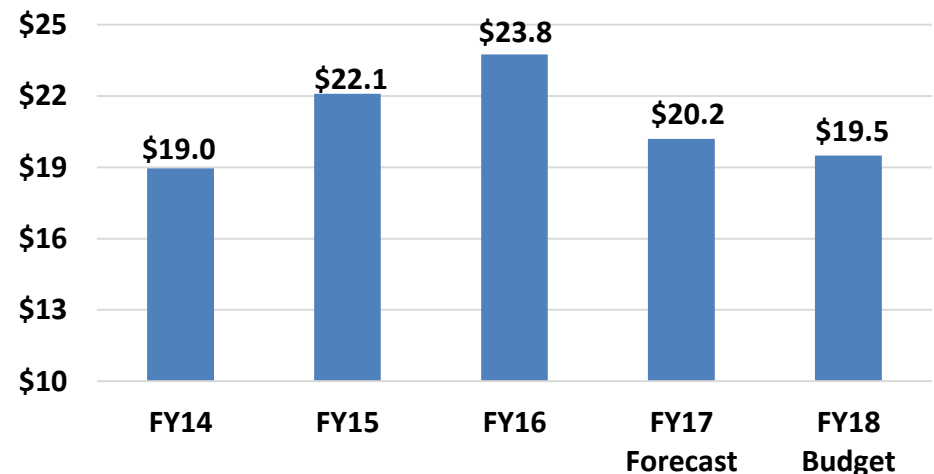
Foundation/Endowment Revenue

Although fundraising has reached record levels in each of the last three years, Foundation and Endowment Revenues are expected to hold steady in FY18 reflecting the timing of commitments versus realized revenues.

Foundation and Endowment \$20M

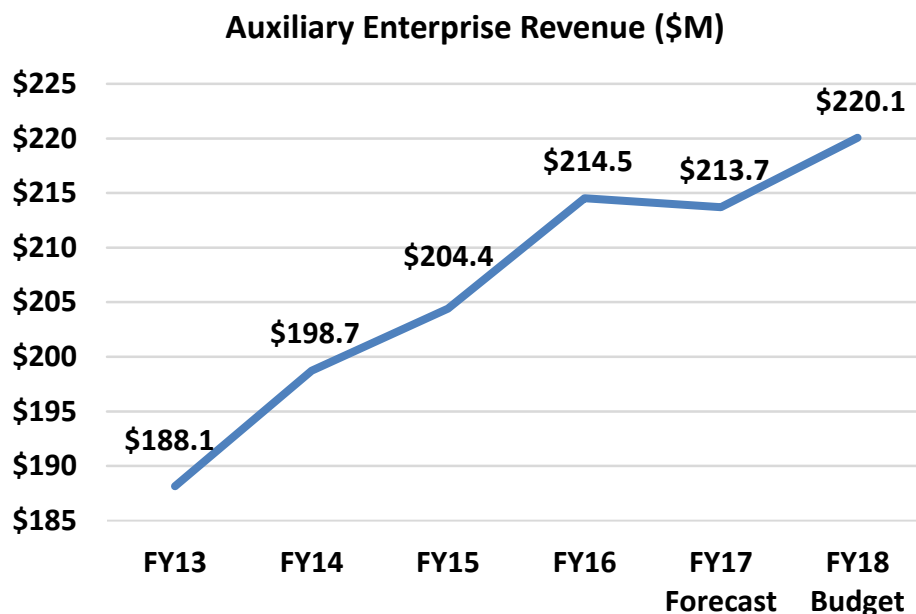
- As the endowment grows, it will play a larger part in the operating budget.
- Fundraising results are often not seen immediately but offer a long term payoff.
- To generate \$1.0M of endowment income to the University, the Foundation would need to generate \$20M in endowed principal.

Foundation/Endowment Revenue (\$M)



Auxiliary Enterprise Revenue

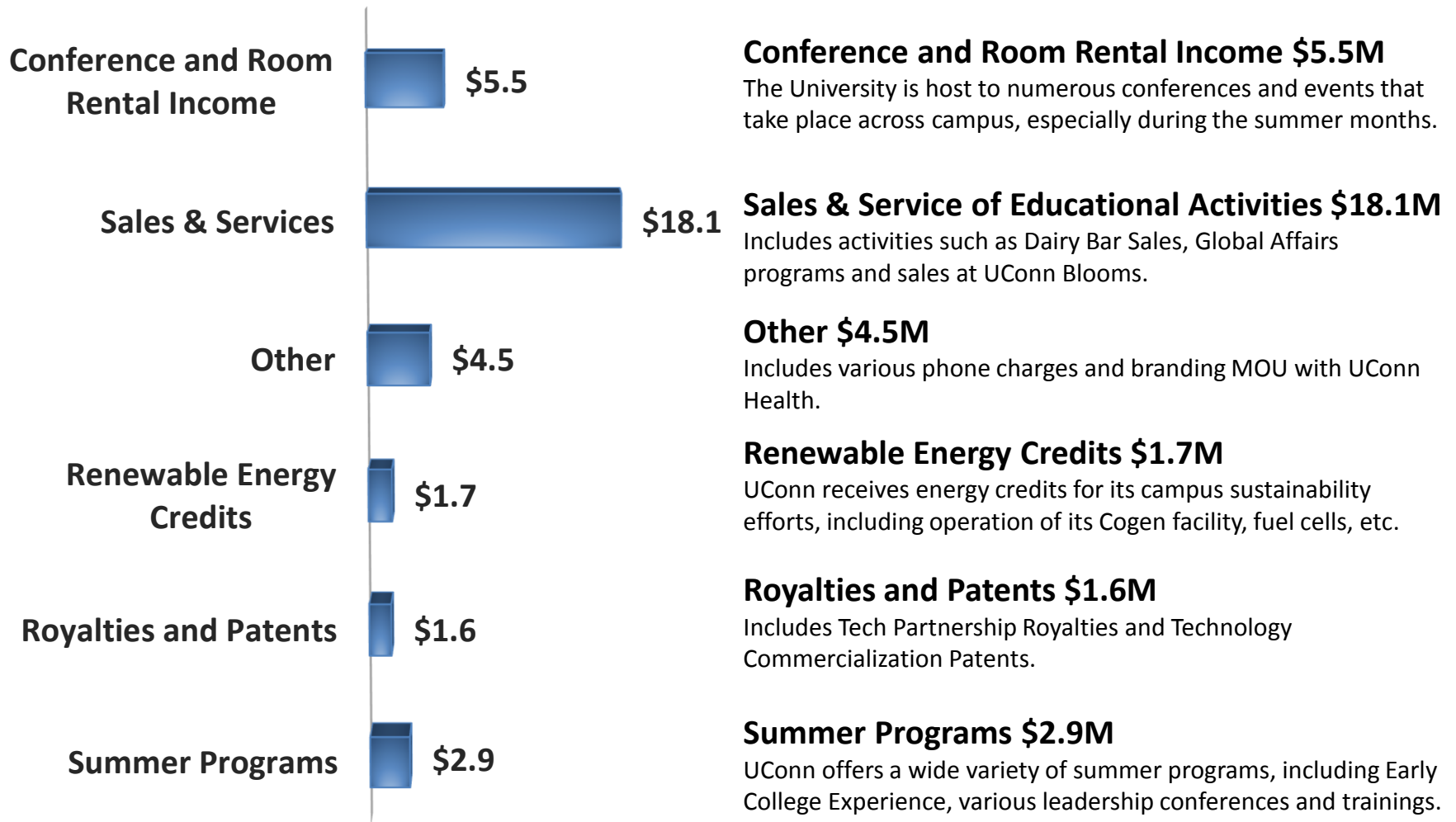
Auxiliary Enterprise Revenues, which include items such as housing, dining, parking and athletics, are holding relatively flat in FY17 with modest growth in FY18.



- Barnes and Noble will generate \$9M in revenue to the University in FY17 and FY18, including signing bonus plus annual commission guarantees.
- Housing and Dining rates represent the first year of the three year rate plan.
- Athletics continues to face revenue challenges, stemming from both attendance and conference revenues.

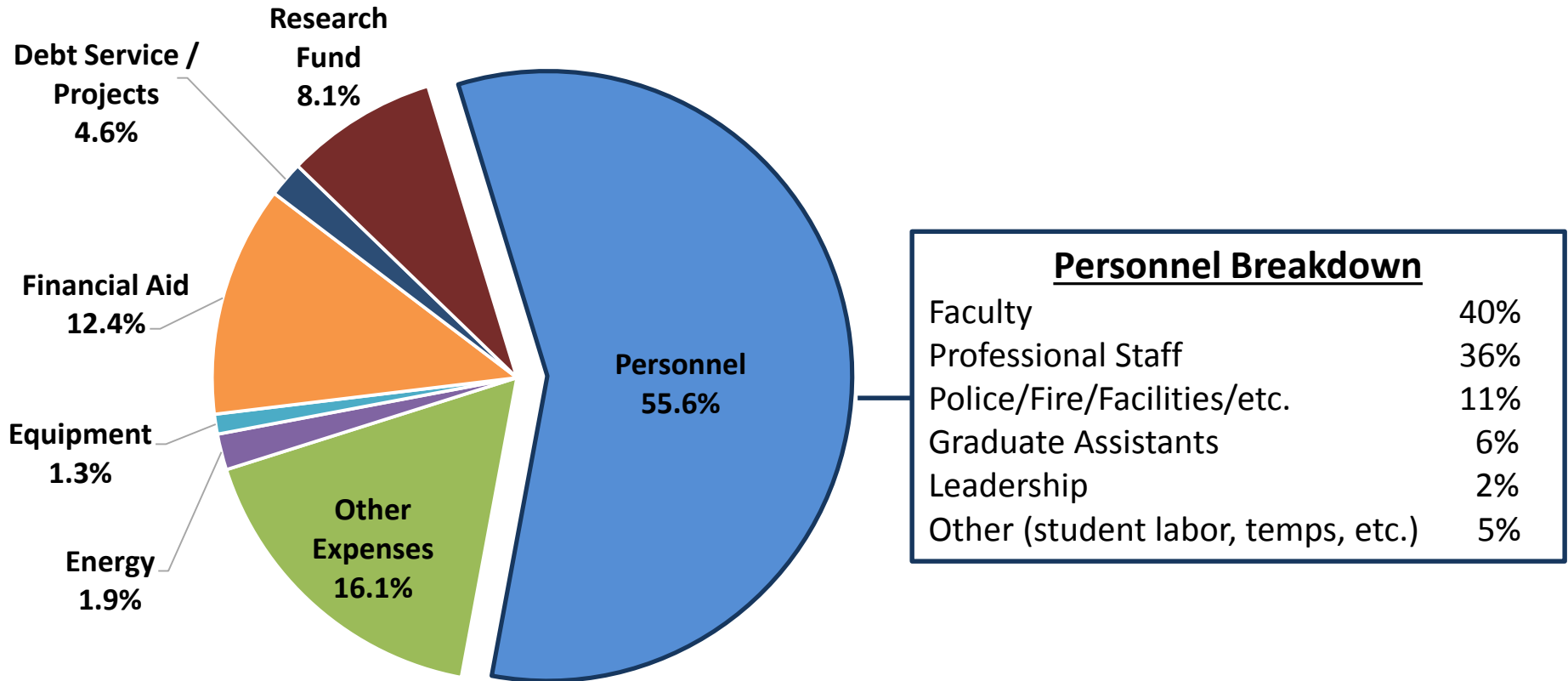
Sales/Services and Other Revenues

These revenues consist of a wide variety of sources and are budgeted at \$34.3M.



Personal Services & Fringe Benefits

Personnel costs, including salaries and fringe benefits, account for 55.6% of UConn's total operating budget.

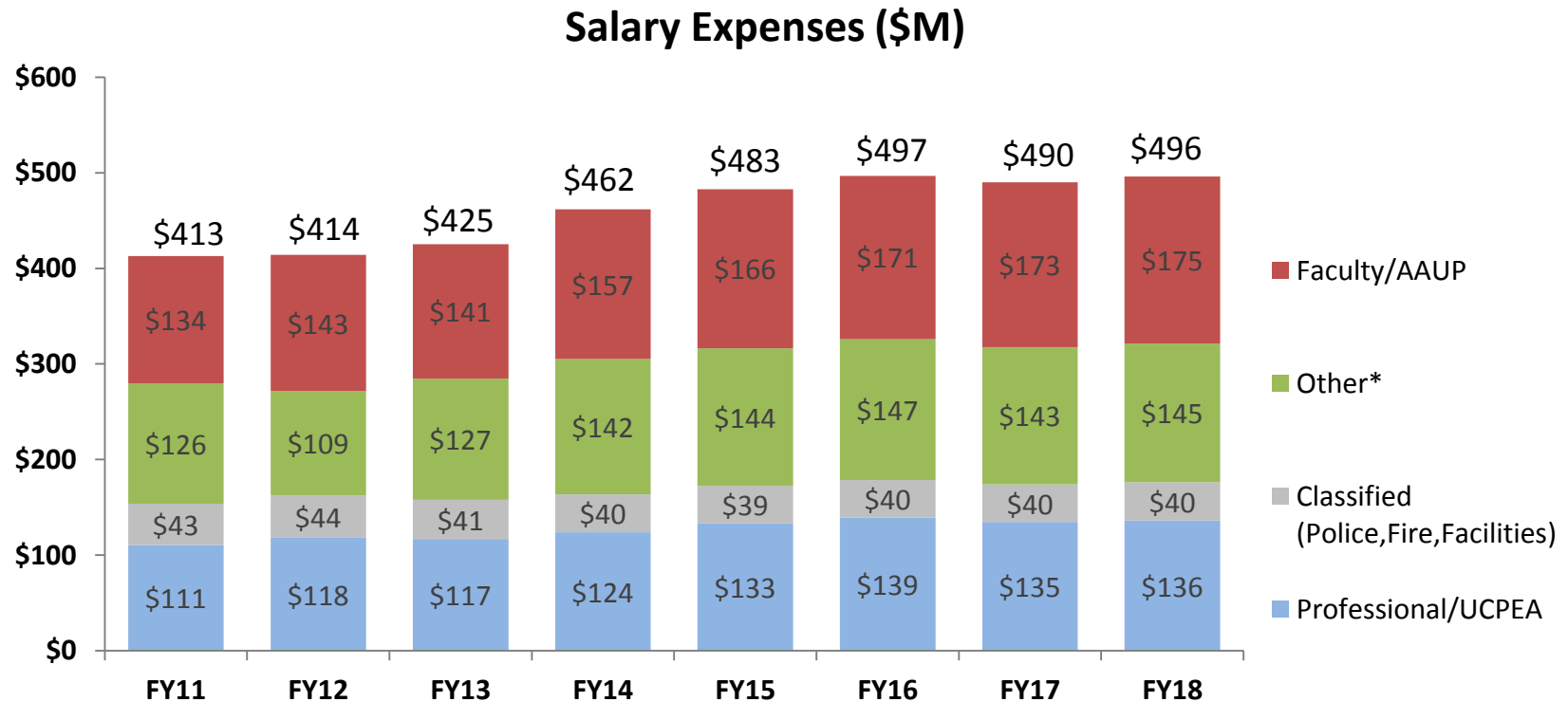


The State Appropriation covers about 52% of permanent employees

Note: Use of decimals may result in rounding differences.

Salary Expenses

Between FY11 and FY18, salary increases as a result of collective bargaining agreements cost UConn about \$68M or 82% of the total salary expense growth.

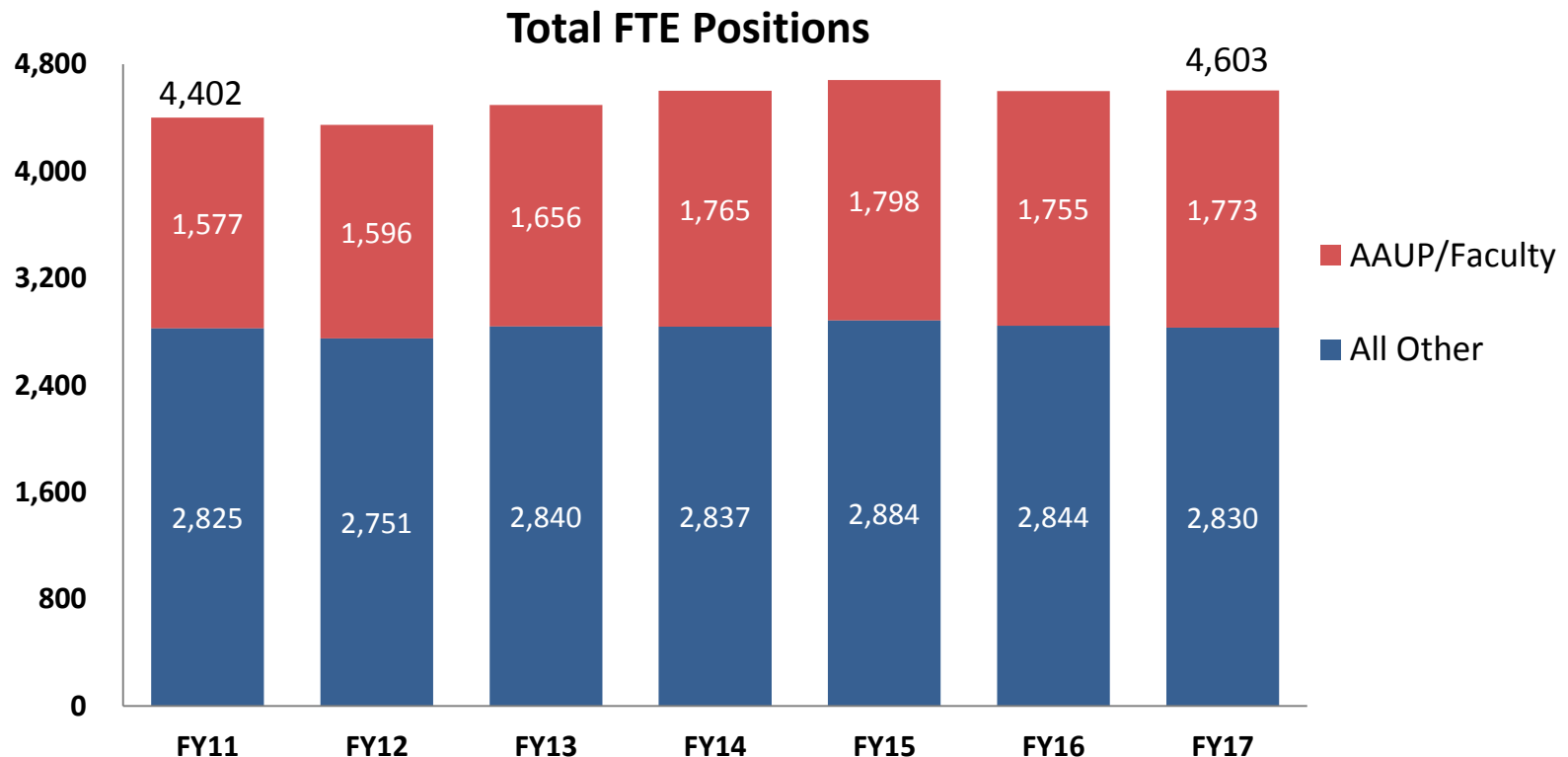


*Other: this category includes non-union and temporary payrolls such as Management, Confidential, Graduate Assistants, Students, & Special Payroll

- For FY18, a 1% salary/fringe increase equates to ~\$6.1 million

UConn Position Count

Since FY11, total enrollment has increased by 1,936 while total employees have only increased by 201, of which 196 were faculty positions.



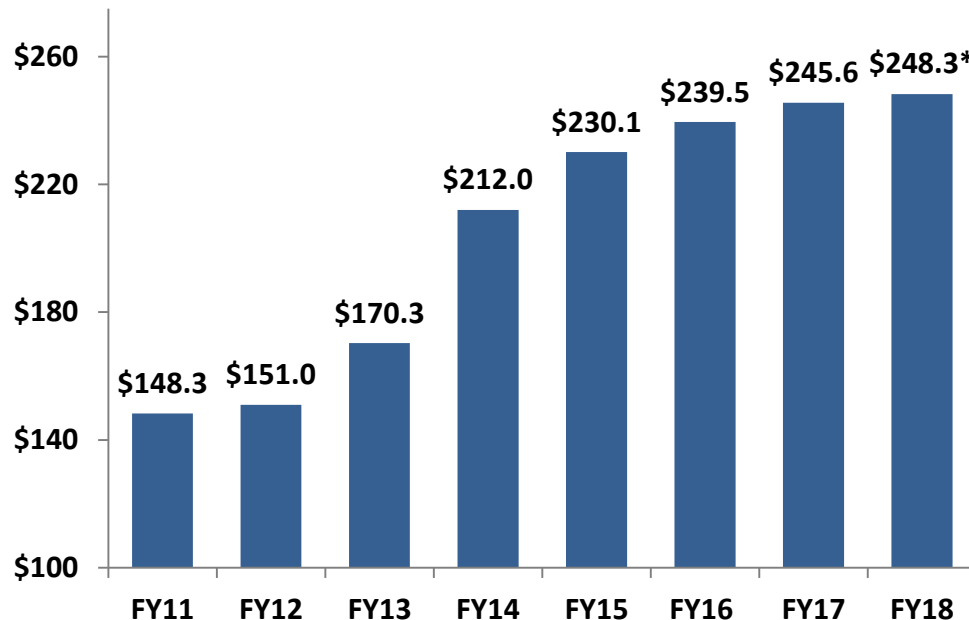
All Other includes Classified, UCPEA, Management, Confidential and Post Doc employees.

- The number of faculty has increased by 196 which is 98% of the total growth.

Fringe Benefit Expenses

Fringe benefit costs have increased by \$100M since FY11. The FY18 fringe benefit budget could be significantly impacted by the SEBAC framework pension and healthcare changes. We are awaiting further analysis from the State on the impact to UConn.

Total Operating Fringe Benefit Expenses (\$M)

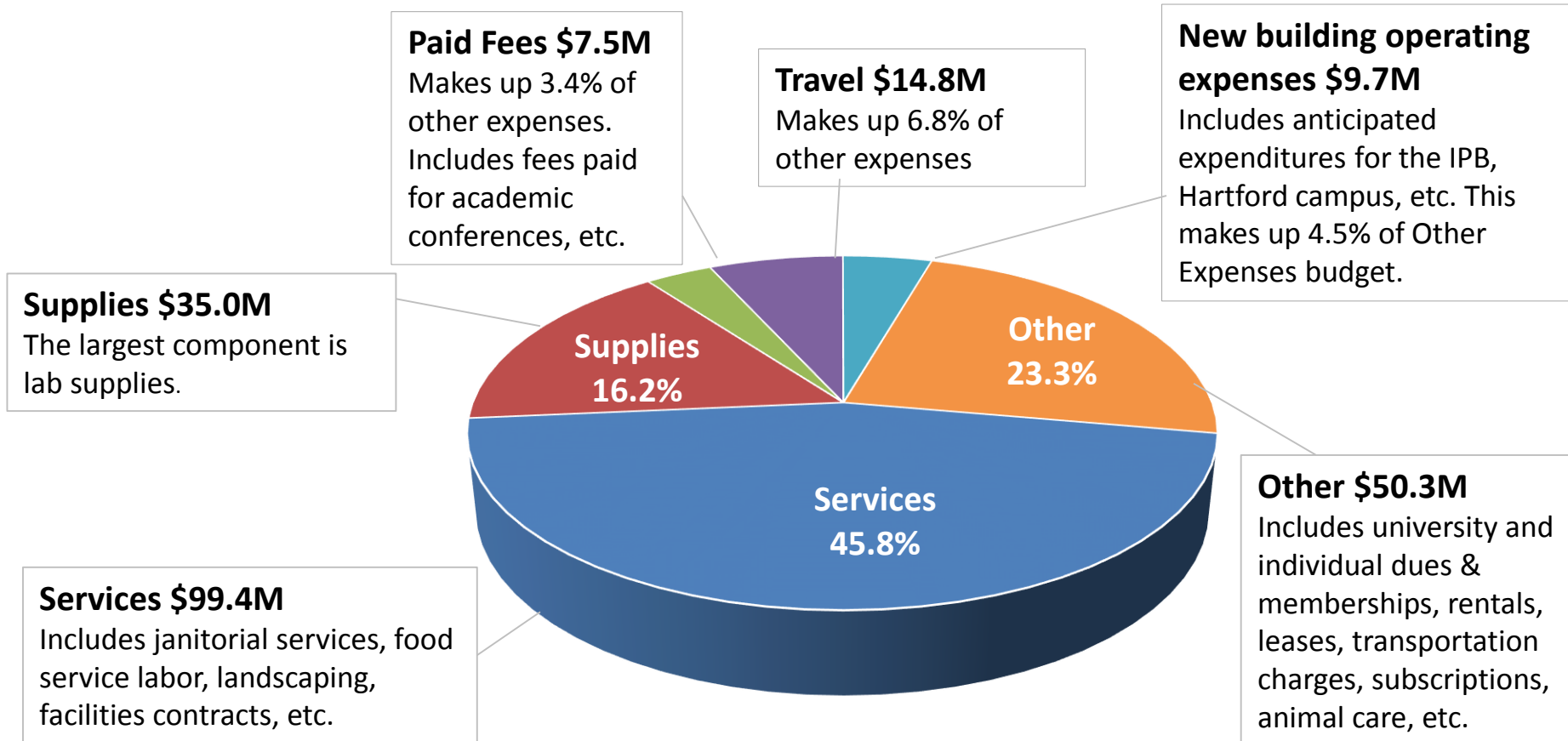


The unfunded pension liability is a significant cost of the retirement rate. In FY16, it accounted for \$56M or 23% of the \$239.5M total fringe cost

*Estimated amount prior to potential impact of SEBAC

Other Expenses

Includes all lab supplies, cost of food for dining services, parts for maintenance, office supplies, etc. In FY18, the total spend is expected to be \$216.7M.



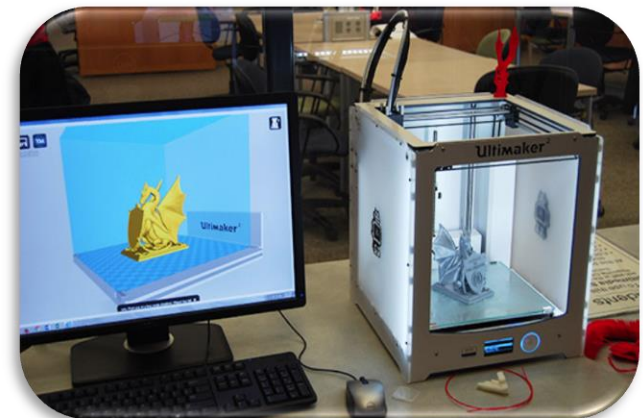
Equipment Expenses

Equipment is defined as tangible, non-expendable, personal property having an anticipated life of one year or more.

Total Equipment Budget = \$17.1M

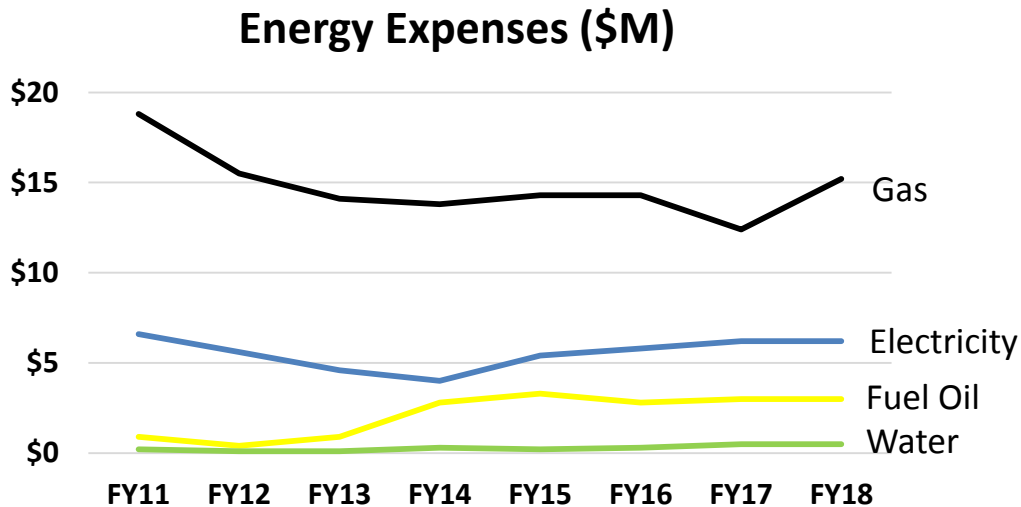
Includes:

- IT Hardware
- Lab Equipment
- Athletic Equipment
- Motor Vehicles
- Office Equipment (printers, computers)



Energy Expenses

Since 2011, overall energy expenses have decreased due to careful management of campus use, retro-commissioning of buildings, and engaging in Energy Savings Performance Contracts (ESCO).



Financial Aid Expense

UConn remains committed to supporting students and is providing an additional \$10.7M in financial aid for FY18.

- The percentage of need-based financial aid to tuition is growing to 18.5% which is greater than last year and over the State's requirement of 15%.
- Need-based financial aid is \$69.3M out of the \$122.4M University supported total.

Financial Aid (\$M)	FY15	FY16	FY17 Forecast	FY18 Budget	FY17-FY18 Change
University Supported	\$93.9	\$97.7	\$111.7	\$122.4	\$10.7
State	11.2	14.0	9.0	7.1	(1.9)
Federal (Pell/SEOG)	25.6	26.0	27.0	27.1	0.1
Other *	11.9	13.3	11.4	9.3	(2.1)
Total Aid in Budget	\$142.6	\$151.0	\$159.1	\$165.9	\$6.8

*Other funding comes from private sources such as Foundation and Endowments.

Financial Aid Recipients

UConn provides financial aid to almost half (48%) of our overall undergrad student population.

Undergraduate Students	FY15	FY16	FY17
# of Recipients	10,391	11,174	11,321
Average Gift Aid	\$6,962	\$6,915	\$7,653
# Need-Based Recipients	8,681	9,237	9,193

Merit-only recipients have also increased due to the STEM initiative.



Solving for Additional Reductions

For perspective, solving for an additional \$20M reduction in State appropriations would be equivalent to:

- **Tuition Increases** - 15% increase, or an additional \$1,600 per in-state student.
- **Faculty and Staff Reductions** – 160 FTE, which would adversely affect students and faculty, and would be difficult within the current SEBAC framework.
- **Increased enrollment** - 1,600 students without increasing faculty or facility space, which would jeopardizing rankings and academic excellence.
- **Capital Program** – Reductions in capital expenditures including inability to complete the core of the NextGen science buildings including Gant and STEM 1. Further deferred maintenance and unmet infrastructure needs.
- **Financial Aid** - Reduce \$20.0M need-based financial aid, resulting in a tuition to aid ratio of 13.3%, down from the current 18.5%. This is equal to the full tuition of 1,667 in-state undergraduates.

CAPITAL PROGRAM DETAIL

UConn Capital Plan Status

- NextGenCT initiative included \$1.5 billion of additional bond funds over 10 years to modernize, rehabilitate and expand the physical plant of the University.
- Since FY15, \$705M of bond funds were received which funded projects such as the NextGen Residence Hall, Engineering & Science Building, the new Hartford campus, Monteith Renovation, and Putnam Renovation.
- The first 3 years of the initiative included planning & design for the Gant Science Building improvements and the new STEM Research 1 Building which begin construction in FY18.
- Completion of these science buildings over the next few pivotal years is critical for the success of the NextGenCT initiative.

Engineering and Science - Summer 2017

Engineering & Science Building: \$95M

115,000 square feet, 5 floors + penthouse



- New building will provide space for some of UConn's fastest growing research fields – systems genomics, biomedical sciences, robotics, cyber-physical systems & virtual reality technology.
- First structure on Storrs campus to utilize “open lab” concept for research which will make it easier for scientists from different disciplines to collaborate by sharing knowledge and equipment which will foster innovation.
- Facility will offer students pursuing advanced degrees, especially in Engineering where enrollment has doubled over the past decade, many opportunities to conduct research.

UConn Hartford Campus - Summer 2017

UConn Hartford Campus: \$140M

Hartford Times Building: 164,000 square feet, 5 floors

38 Prospect Street Building: 38,870 square feet, 4 floors + penthouse

Hartford Public Library: 12,000 square feet

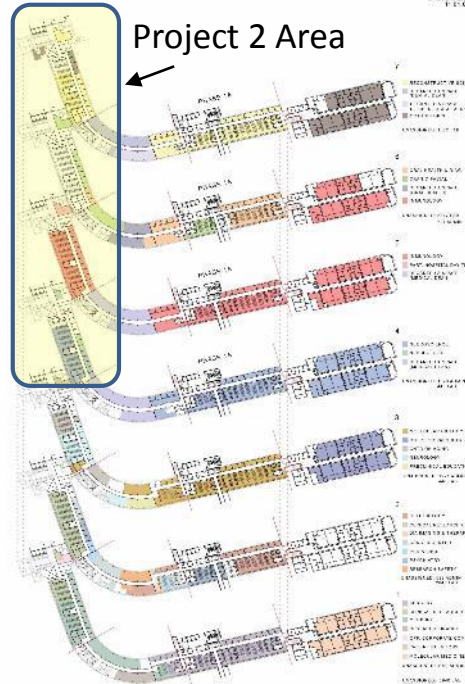


- UConn is excited to move to its dynamic new campus where it will interweave top-tier academic programs with the vitality and unique educational & service opportunities offered by the city.
- The School of Social Work has already moved in to their new location at 38 Prospect Street.
- Construction on a new Barnes & Noble bookstore next to the Times Building is underway.
- This new neighborhood campus will be supporting over 1,250 undergraduate students this fall.

UCH Main Building Renovation - Summer 2017

UCH Main Building Renovation P2: \$41M

~100,000 square feet, Floors 4-7



- Renovations will create flexible research laboratory space in addition to replacing mechanical, electrical and plumbing infrastructure with new energy efficient systems.
- Laboratory improvements are expected to lead to an increase in research awards and the development of new innovations in technology transfer and commercialization.

Major Building Openings during FY18



Innovation Partnership Building: \$162.3M

- 114,000 square-feet
- Construction began in June 2015, with completion of tenant fit-out targeted for March 2018

UCH Academic Building Renovation: \$36.1M

- 17,600 square-feet addition & renovation
- Construction began in November 2014 and completion expected in September 2017



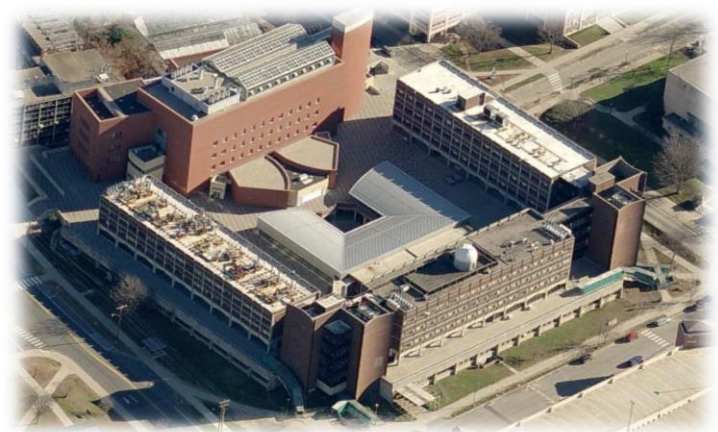
UConn Projects under Construction

Major Projects in Construction (\$M)	FY18 Funds	Total Budget	Estimated Completion
Engineering & Science Building	\$8.0	\$95.0	Aug 2017
Hartford Acquisition & Renovation	18.3	140.0	Aug 2017
ESCO – Steam Lines (UConn funds)	9.1	31.6	Dec 2017
North Eagleville Road Infrastructure Repair-PIII	23.0	49.0	Feb 2018
Northwest Science Quad Infrastructure-PI	14.0	20.0	March 2018
EMR System Implementation	35.0	98.0	April 2018
Recreation Center & Infrastructure (UConn funds)	34.0	125.0	July 2019
Fine Arts Renovations & Improvements	16.1	23.5	Aug 2019
Gant Building STEM Renovations	43.5	180.0	Dec 2022
Total: \$157.9M Bond Fund + \$43.1M UConn Funds = \$201M			

Fine Arts Addition



Gant Building Renovations



UConn Projects in Planning & Design

Major Projects in Planning/Design (\$M)	FY18 Funds	Notes
Infrastructure & DM (incl UConn Funds)	57.6	Multiple projects
Equipment	19.0	Scientific, Security, Metering, Space Mgmt Software
STEM Research Science 1	9.6	Estimated completion 2021
WPCF Processing Plant	9.5	Estimated completion 2019
Stamford Garage Demo & Replacement Lot	8.9	Estimated demo completion winter 2017
Programmatic & Renovations (incl UConn Funds)	8.5	Multiple projects
Total: \$98.5M Bond Funds + \$14.6M UConn Funds = \$113.1M		

- Planning & design is underway for multiple infrastructure repair and improvement projects which are required to support the needs of the current campus as well as the new buildings included in the capital plan.
- While funding for many infrastructure projects is included in the bond funded capital plan, there is approximately \$275 million of unfunded utility work that is critically needed.

UConn Health Major Projects

- Since 2005, UConn Health has planned, designed and constructed numerous projects with the \$768.5M of bond funds received to date.
- FY18 UCH bond authorization of \$9.4M will fully fund the last few Bioscience CT projects.

Major Projects (\$M)	FY18 Funds	Total Budget	Estimated Completion
Academic Building Addition & Renovation	0.8	36.8	Sept 2017
Clinic Building “C” Renovation	6.5	91.3	Sept 2018
DM/Equipment	2.1		Varies
Subtotal	\$9.4		
NextGenCT funding for EMR	35.0	98.0	April 2018
Total UCH Bond Funds	\$44.4		



Electronic Medical Record: Project Status

- With the evolution of healthcare reform, the movement to more fully integrated healthcare systems has become crucial.
- Implementation of an integrated Electronic Medical Record system (HealthONE) was approved by the Board of Trustees in December 2015.
- \$98M budget approved through collaboration between:
 - State of Connecticut \$41M (approved by Bond Commission); UConn \$48M (bond funds in FY18 & FY19); and UConn Health \$9M.
 - \$33.6M expended through May 2017.
- Timeline – currently the project is in the adoption and build phase; project is on-time and on-budget with completion expected in April 2018.



Other Capital Program Changes

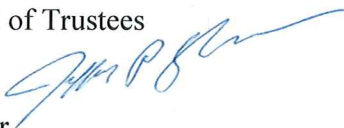
Other statutory changes included in the bond bill, which will allow program management flexibility, include:

- Revision of current named line to Deferred Maintenance / Code Compliance / ADA Compliance / Infrastructure Improvements & Renovation Lump Sum and Utility, Administrative and Support Facilities.
- Added new definition:
 - "Utility, infrastructure, administrative and support facilities" includes any project as defined in subdivision (16) of this section for such facilities at Storrs or the regional campuses or at the health center including any building or structure essential, necessary or useful for such facilities and includes, without limitation, new construction, expansion, extension, addition, renovation, restoration, replacement, repair and deferred maintenance of such facilities, and all appurtenances and facilities either on, above or under the ground that are used or usable in connection with any of such facilities and all other aspects of a project related to or in support of such facilities.

ATTACHMENT 14

UConn HEALTH

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, 
Chief Financial Officer

RE: Presentations of the DRAFT Fiscal Year 2018 Operating Budgets for the University of Connecticut Health Center

On Monday, June 19, the Board of Directors of the University of Connecticut Health Center (UConn Health) met to discuss and review the FY18 draft operating budgets for UConn Health. The presentations from that meeting are attached. UConn Health's Board of Directors recommended adoption of the Budget as presented. The agenda items were moved to the full Board of Trustees.

As you know, the State has not adopted a budget for next fiscal year at this time. In part, this is due to the fact that the State is currently in the processes of bargaining with the State Employee Bargaining Agent Coalition (SEBAC) to finalize union contracts, which has a substantial impact on the State budget. The attached presentation provides the assumptions, information and background on UConn Health's FY18 budget, but there is tremendous uncertainty for some line items until the State budget is negotiated, and adopted. Specifically, the amount of UConn Health's appropriation is uncertain at this time, the SEBAC impact to the fringe benefit rate.

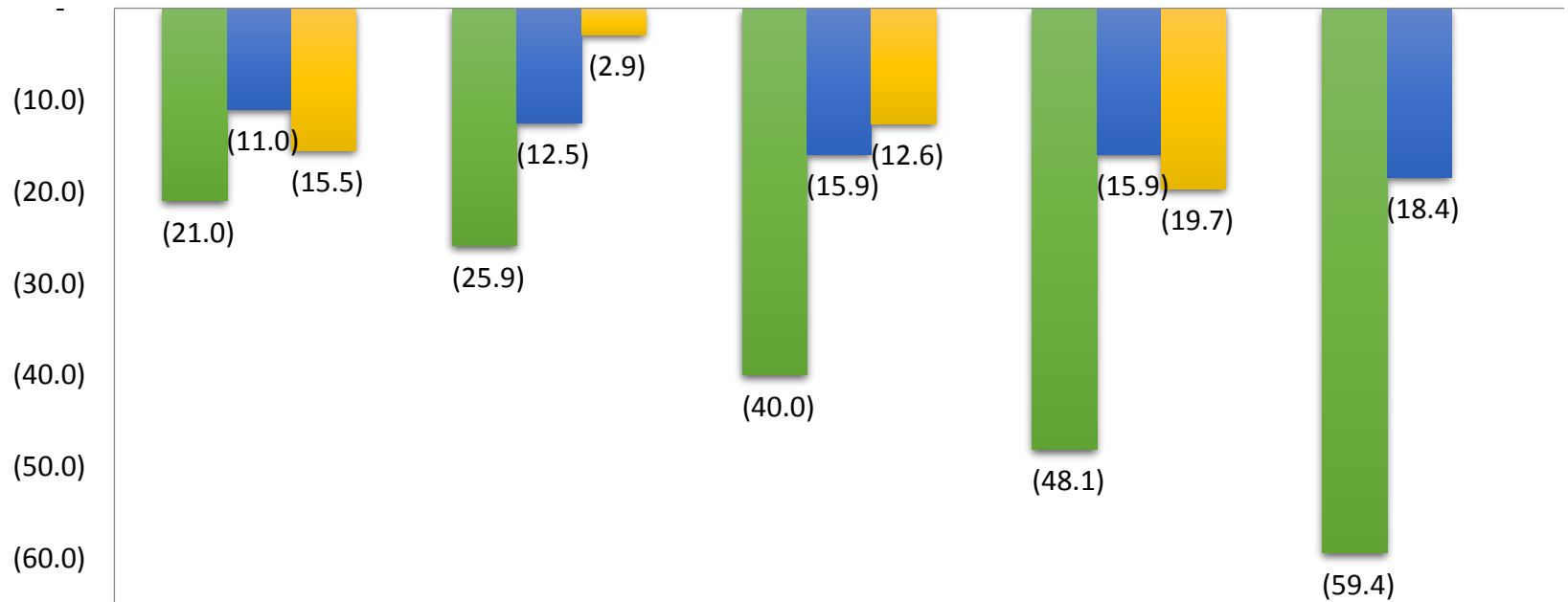
At the Financial Affairs Committee meeting, it was decided that the best course of action was to approve the FY18 Operating budget resolutions by the full Board with the best estimates of anticipated revenue and expenditure based on the information we have at this time. Approving an FY18 budget will allow UConn Health to continue to conduct essential business and move forward into the new fiscal year with a baseline budget. When the State Legislature passes the biennium budget, SEBAC is settled and a fringe rate is set by the State Comptroller, the Administration will return to the Board with an updated final budget that accounts for changes based on the impact of the final numbers.

FY17 Financial Overview and FY18 Proposed Budget

Board of Directors
June 19, 2017

Financial Overview

UConn Health Net Losses – FY14 – FY18



	FY14	FY15	FY16	FY17	FY18
Orig Projection	(21.0)	(25.9)	(40.0)	(48.1)	(59.4)
Final Budget	(11.0)	(12.5)	(15.9)	(15.9)	(18.4)
Actuals/Forecast	(15.5)	(2.9)	(12.6)	(19.7)	

FY17 Year End Projection

UConn Health FY17 forecasted loss is \$19.7 million
versus a budgeted loss of \$15.9 million

FY17 Profit and Loss Statement (unaudited)

Revenues (\$M)			Expenditures (\$M)	
Appropriation	\$ 121.8		Personal services	\$ 384.3
Fringe benefits & adjustments	100.7		Fringe benefits	204.6
Total state support	\$ 222.5		Correctional Managed Health Care	83.5
Tuition and fees	23.3		Drugs/medical supplies	82.3
Grants and contracts	86.4		Other expenses	215.2
Interns/residents	63.0		Depreciation	37.9
Net patient revenue	457.7		Total operating expenses	\$ 1,007.8
Correctional Managed Health Care	83.5			
Other revenue	51.7		Net gain/(loss)	\$ (19.7)
Total operating revenues	\$ 988.1			

FY17 Year End Projection

FY17 Spending Plan (Cash Sources and Uses)

Revenues (\$M)			Expenditures (\$M)	
Appropriation	\$ 121.8		Personal services	\$ 384.3
Fringe benefits & adjustments	100.7		Fringe benefits	204.6
Total state support	\$ 222.5		Correctional Managed Health Care	83.5
Tuition and fees	23.3		Drugs/medical supplies	82.3
Grants and contracts	86.4		Other expenses	215.2
Interns/residents	63.0		Debt/service projects	16.9
Net patient revenue	457.7		Total operating fund	\$ 986.8
Correctional Managed Health Care	83.5			
Other revenue	51.7		Research & restricted expenditures	29.4
Total operating fund	\$ 988.1		Total operating expenditures	\$ 1,016.2
Research & restricted funds	29.4			
Total current funds revenues	\$ 1,017.5		Net gain/(loss)	\$ 1.3

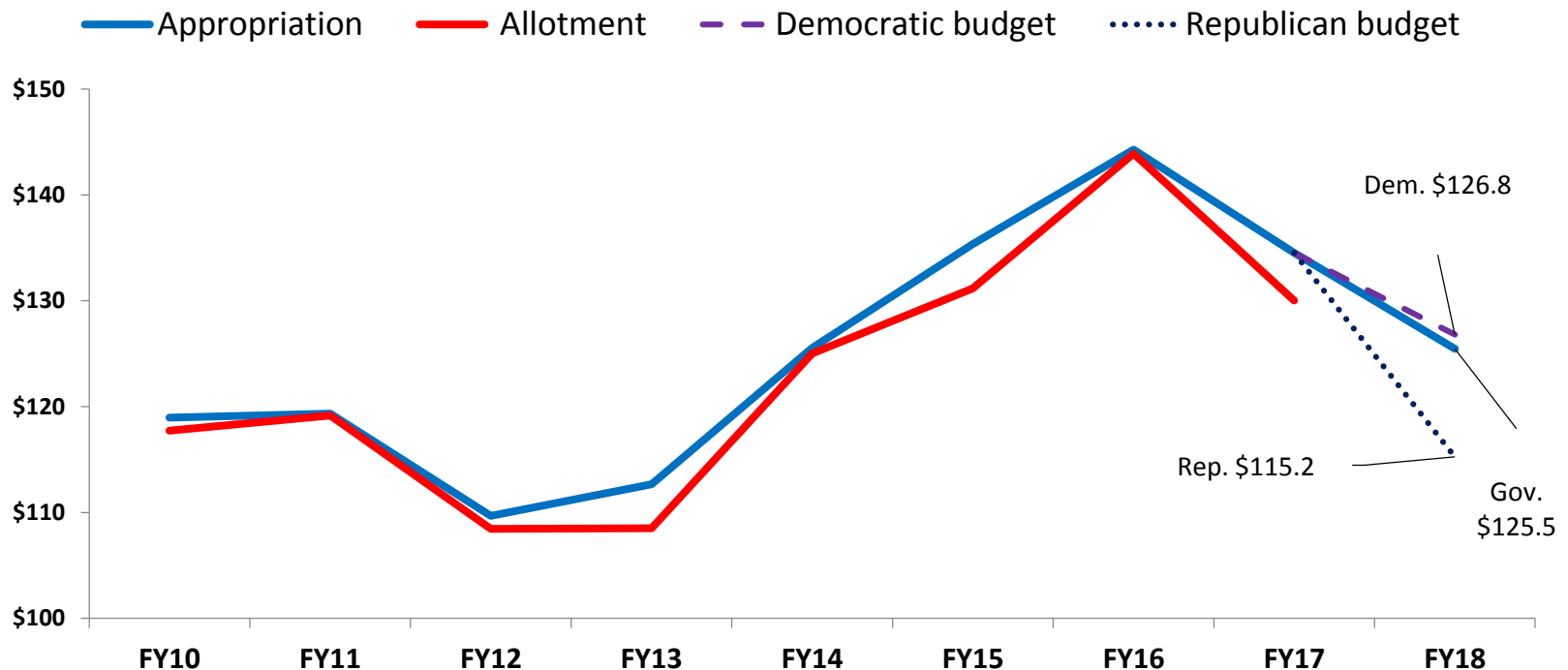
FY18 budget assumptions

The following presentation assumes:

- **Tuition and fees** - overall 4.5% rate increase
- **Research revenue** - slight increase offset by additional expenses
- **Salaries** - no increase related to bargaining units due to no settled contracts as of budget preparation
- **Fringes** - State Comptroller's estimated state retirement rates used and Health/Dental insurance based on Comptroller's May 8, 2017 rates
- **Appropriation** - Governor's Recommended Revised budget as of May 15, 2017

State appropriation

UConn Health's projections are based on the Governor's revised proposal, which will be a negative financial impact of \$15.6M for FY18. Additional cuts would be difficult for UConn Health to manage.



- Allotment includes fund sweep reductions
- Appropriation includes the Governor's proposed revised budget for FY18 (Block Grant, Bioscience CT and Workers' Compensation)
- Bioscience CT funding began in FY13 and workers compensation was included in the appropriation in FY16

UConn Health

DRAFT

FY18 Proposed Budget Profit and Loss Statement

Revenues (\$M)			Expenditures (\$M)	
Appropriation	\$ 117.8		Personal services	\$ 389.6
Fringe benefits & adjustments	100.6		Fringe benefits	221.1
Total state support	\$ 218.4		Correctional Managed Health Care	80.4
Tuition and fees	24.4		Drugs/medical supplies	84.7
Grants and contracts	87.2		Other expenses	216.6
Interns/residents	66.7		Depreciation	35.8
Net patient revenue	475.1			
Correctional Managed Health Care	80.4		Total operating expenses	\$ 1,028.2
Other revenue	57.6			
Total operating revenues	\$ 1,009.8		Net gain/(loss)	\$ (18.4)

Balancing UConn Health's FY18 budget

	Bottom Line
FY18 bottom line – original projection	\$ (59.4)
Other revenue	3.2
Institutional workforce	11.0
Purchased services	.5
Other expenses	.4
Net patient revenue	9.9
Clinical workforce planning	4.7
Clinical non-labor	.1
Clinical revenue cycle	.9
State support (Governor's revised budget)	(2.4)
SEBAC (estimated savings)	12.7
FY18 bottom line target	\$ (18.4)

JDH Cost Savings and Revenue Highlights FY18

\$ 16.4 Million Positive Impact

BUDGET REDUCTIONS	SAVINGS (in millions)	REVENUE AREAS	GROWTH (in millions)
WORKFORCE PLANNING		340 B and updates to Gross Charges	
FY 17/18 Leadership Reductions (9 FTEs)	\$1.4	New contracts with: Walgreens Hemophilia Clinic	\$ 3.7 \$ 0.7
NON LABOR		Interns and Residents - overhead	\$ 0.4
Eliminate contract for Medical Risk Management Legal Fees	\$0.04 \$0.3	CCMC CONTRACT	
PATIENT FLOW		Updated with new fb rate- additional revenue	\$1.3
Length of Stay Testing Utilization	\$0.5 \$0.3	VOLUME GROWTH	
REVENUE CYCLE		Endoscopy, Cath Lab, Surgery	\$ 7.6
ED Critical Care	\$0.2		
GRAND TOTAL	\$2.7	GRAND TOTAL	\$ 13.7

UMG Cost and Revenue Highlights FY18

\$ 4.9 Million Positive Impact

BUDGET REDUCTIONS	SAVINGS (in millions)	REVENUE AREAS	GROWTH (in millions)
WORKFORCE PLANNING		REVENUE ENHANCEMENT	
Workforce Reductions (7 FTEs)	\$0.7	Provider schedules – Adding two patients per week/provider (0.5 FTE or greater)	\$2.6
NON LABOR		Move new providers from 50% to 60% wRVU target (15 new providers)	\$0.4
Consolidate/eliminate contracts (i.e. Putnam lease)	\$0.2	PAY FOR PERFORMANCE	\$0.08
LEGAL FEES		Expand pay for performance incentives with one payor	
Savings on legal fees	\$0.1	MEDICAID MEANINGFUL USE	\$0.1
EXPENSE REDUCTION		Capture Medicaid Meaningful Use dollars (\$12,000/qualifying provider)	
5% Operating Expense Reduction UMG Clinics	\$0.7	GRAND TOTAL	\$3.2
GRAND TOTAL	\$1.7		

Growth

Statewide UConn inpatient market share grew from 2.1% to 2.3% FY 2013 to FY 2017

Inpatient Service Lines	FY 13 Statewide Market Share	FY 17 Statewide Market Share
Adult Medicine	2.2%	2.3%
Adult Surgery	2.3%	2.4%
Cardiology & Vascular Surgery (CVS)	2.0%	2.5%
Gynecology	2.0%	4.7%
Neurosciences	2.7%	3.3%
Newborn	1.2%	1.5%
Obstetrics	1.9%	2.0%
Oncology	2.0%	3.4%
Orthopedics	2.6%	2.8%
Pediatrics	0.1%	0.1%
Psychiatric Services	2.7%	2.8%
Grand Total	2.1%	2.3%

Growth

Farmington Valley – Six towns

Inpatient market share comparison – Five area hospitals

John Dempsey Hospital's, Farmington Valley Inpatient Market Share grew by 3.0% from FY 2012 – FY 2016
The other 4 area hospitals all had slight Market Share declines in the Farmington Valley

		FY2012	FY2013	FY2014	FY2015	FY2016		Variance FY12 – FY16
UConn John Dempsey Hospital		22.7%	23.1%	24.7%	24.8%	25.7%		3.0%
Hartford Hospital		32.8%	32.8%	32.8%	32.3%	32.0%		-0.8%
Saint Francis Hospital		28.4%	28.2%	28.1%	27.7%	27.7%		-0.7%
Hospital of Central Connecticut		5.2%	4.6%	4.6%	4.6%	4.2%		-1.0%
Bristol Hospital		3.3%	3.3%	2.8%	3.1%	2.8%		-0.5%
Total market share – 5 hospitals		92.4%	92.0%	93.0%	92.5%	92.4%		0.0%

Growth

Eight Connecticut hospitals remain independent
19.5% market share

Statewide Market Share			Statewide Market Share	
Yale New Haven Health	33.1%		Western Connecticut Health Network	8.4%
Yale New Haven Hospital			Danbury Hospital	
Bridgeport Hospital			Norwalk Hospital	
Greenwich Hospital			New Milford Hospital	
L+M Hospital			Prospect Medical Holdings, LLC	5.8%
Day Kimball Hospital			Waterbury Hospital	
			Manchester (ECHN) Hospital	
Hartford HealthCare	21.1%		Rockville (ECHN) Hospital	
Hartford Hospital				
Hospital of Central CT			Independent Hospitals	19.5%
Backus Hospital			UConn John Dempsey Hospital	2.3%
Midstate Hospital			Middlesex Hospital	3.4%
Windham Hospital			Bristol Hospital	1.7%
Charlotte Hungerford Hospital			Milford Hospital	0.7%
			Griffin Hospital	1.9%
Trinity Health New England	12.1%		Stamford Hospital	3.7%
St. Francis Hospital			St. Vincent's Hospital	4.2%
St. Mary's Hospital			Connecticut Children's Hospital	1.6%
Johnson Memorial Hospital				

UConn Health

DRAFT

FY18 Proposed Budget Spending Plan (Cash Sources and Uses)

Revenues (\$M)			Expenditures (\$M)	
Appropriation	\$ 117.8		Personal services	\$ 389.6
Fringe benefits & adjustments	100.6		Fringe benefits	221.1
Total state support	\$ 218.4		Correctional Managed Health Care	80.4
Tuition and fees	24.4		Drugs/medical supplies	84.7
Grants and contracts	87.2		Other expenses	216.6
Interns/residents	66.7		Debt/service projects	17.4
Net patient revenue	475.1		Total operating fund	\$ 1,009.8
Correctional Managed Health Care	80.4			
Other revenue	57.6		Research & restricted expenditures	68.4
Total operating fund	\$ 1,009.8		Total operating expenditures	\$ 1,078.2
Research & restricted funds	68.4			
Total current funds revenues	\$ 1,078.2		Net gain/(loss)	-

FY18 Operating Budget Risks

✓ **State Support**

- State budget not finalized
- The State can cut or sweep funds mid-year, which makes planning difficult.
- The overall financial outlook for the State of Connecticut is very concerning.

✓ **Fringe Benefits**

- Fringe benefit rates continue to rise, largely due to the unfunded pension liability. UConn Health has no control over rates, but must cover the costs.
- The Republican budget proposal includes a direct appropriated amount for fringe. This puts all the risk on UConn Health.

✓ **Collective Bargaining Increases**

- Final SEBAC agreement
- Under the tentative SEBAC agreement, FY19 includes a one-time salary increase as well as increases of 3.5% with a step increase in FY20 and FY21 for bargaining units. Until that contract is ratified, uncertainty exists in the out years.

✓ **Patient Revenue**

- Continued consolidation of other systems reducing outside referrals
- Payor mix and volume
- Provider based reimbursement
- Medicaid Reimbursement

ATTACHMENT 15



Board of Trustees

FISCAL YEAR 2018 CAPITAL BUDGET
***(INCLUDED IN ATTACHMENT 13 - AS PART OF
THE SPENDING PLAN FOR THE STORRS AND
REGIONAL CAMPUSES)***


Wednesday, June 28, 2017


ATTACHMENT 16



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Eighteenth 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 Eighteenth Supplemental Indenture, as follows:

- Decrease Bishop Renovation by \$69,859.17 for a total fiscal year 2012-2013 bond authorization for such project of \$255,140.83; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$69,859.17 for a total fiscal year 2012-2013 bond authorization for such project of \$9,388,709.69.

BACKGROUND:

The Board of Trustees approved the Eighteenth Supplemental Indenture on June 28, 2012 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Eighteenth Supplemental Indenture on July 28, 2012. The Board of Trustees amended Appendix A to the Eighteenth Supplemental Indenture on September 27, 2012, December 12, 2012, February 27, 2013, April 24, 2013, and September 25, 2013.

The projects authorized under the Eighteenth Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2013 and 2014.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2012-2013, 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.

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

**RESOLUTION AMENDING THE EIGHTEENTH SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2012-2013
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 28, 2012, the University of Connecticut (the “University”), by vote of its Board of Trustees approved the Eighteenth Supplemental Indenture (the “Eighteenth 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, the University, in conjunction with the Treasurer of the State of Connecticut issued the University’s General Obligation Bonds in 2013 and 2014 to finance the Fiscal Year 2012-2013 bond authorizations; and

WHEREAS, on September 27, 2012, December 12, 2012, February 27, 2013, April 24, 2013, and September 25, 2013 the University amended the Eighteenth Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2012-2013 as set forth in Appendix A; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Eighteenth Supplemental Indenture should be revised to reflect the final amounts spent on certain of the projects; and

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

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

That Appendix A to the Eighteenth Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2012-2013 bond authorization amongst projects as follows: (a) decrease Bishop Renovation by \$69,859.17 for a total fiscal year 2012-2013 bond authorization for such project of \$255,140.83; and (b) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$69,859.17 for a total fiscal year 2012-2013 bond authorization for such project of \$9,388,709.69 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

EIGHTEENTH SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2012-2013
UCONN 2000 BOND AUTHORIZATIONS
_____ SERIES ____ BOND PROJECTS

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2012-2013 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)	\$128,518,947.28	\$11,500,000.00	\$96,047,356.93
Avery Point Campus Undergraduate and Library Building	10,461,245.77	1,132,719.48	8,947,813.00
Avery Point Renovation	8,429,576.54	372,000.00	644,469.54
Bishop Renovation	2,480,140.83	255,140.83	2,225,000.00
⁽³⁾ Deferred Maintenance/Code/ADA Renovation Lump Sum	850,132,090.66	9,388,709.69	162,665,516.60
Equipment, Library Collections & Telecommunications	285,602,308.00	1,500,000.00	66,638,813.59
Fine Arts Phase II	27,256,798.00	50,000.00	4,525,000.00
Gant Building Renovations	13,184,018.00	2,000,000.00	9,250,000.00
Heating Plant Upgrade	32,283,897.00	628,000.00	1,190,000.00
North Hillside Road Completion	8,200,000.00	2,500,000.00	1,500,000.00
Psychology Building Renovation/Addition	24,337,399.00	15,850,000.00	5,650,000.00
Young Building Renovation/Addition	23,790,884.00	9,723,430.00	9,500,000.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$54,900,000.00</u>	
--<u>Health Center</u>			
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	\$48,623,523.12	\$3,000,000.00	\$32,980,125.03
Equipment, Library Collections & Telecommunications — Health Center	68,429,390.00	1,600,000.00	52,539,265.00
Main Building Renovation	118,905,675.00	23,203,000.00	25,385,000.00
Medical School Academic Building Renovation	39,792,488.00	5,000,000.00	3,700,000.00
Research Tower	68,098,997.00	10,906,000.00	49,565,000.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	44,391,000.00	54,700,000.00
<u>Subtotal – Health Center</u>		<u>\$88,100,000.00</u>	
Total Fiscal Year 2012-2013 Bond Authorization		<u>\$143,000,000.00</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 Eighteenth Supplemental Indenture on June 28, 2012 and amended it on September 27, 2012, December 12, 2012, February 27, 2013, April 24, 2013, September 25, 2013 and June 28, 2017.

⁽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.


⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 17



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

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 Research Tower by \$482,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$7,627,997.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$482,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$5,434,003.00.

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.

The projects authorized under the Nineteenth Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2013, 2014, 2015, 2016 and 2017.

The Board of Trustees amended the Nineteenth Supplemental Indenture on September 25, 2013, February 26, 2014, June 24, 2015, March 30, 2016, and June 29, 2016 to make certain reallocations of bond authorizations among capital projects.

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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, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2013, 2014, 2015, 2016 and 2017 to finance the Fiscal Year 2013-2014 bond authorizations; and

WHEREAS, on September 25, 2013, February 26, 2014, June 24, 2015, March 30, 2016, and June 29, 2016 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 Research Tower by \$482,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$7,627,997.00; and (b) increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$482,000.00 for a total fiscal year 2013-2014 bond authorization for such project of \$5,434,003.00; 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	\$587,495,298.00	\$4,093,982.00	\$ -
Avery Point Campus Undergraduate and Library Building	10,461,245.77	380,713.29	10,080,532.48
⁽³⁾ Deferred Maintenance/Code/ADA Renovation Lump Sum	850,132,090.66	15,657,885.59	172,054,226.29
Engineering Building (with Environmental Research Institute)	94,412,822.00	1,500,000.00	5,500,000.00
Equipment, Library Collections & Telecommunications	285,602,308.00	11,002,682.41	68,138,813.59
Farm Buildings Repairs/Replacement	6,408,304.09	1,308,055.00	3,728,342.09
Gant Building Renovations	13,184,018.00	906,018.00	11,250,000.00
Hartford Relocation Acquisition/Renovation	140,000,000.14	3,125,317.59	-
Heating Plant Upgrade	32,283,897.00	1,057,000.00	1,818,000.00
North Hillside Road Completion	8,200,000.00	2,700,000.00	4,000,000.00
Psychology Building Renovation/Addition	24337399	2,787,399.00	21,500,000.00
Residential Life Facilities	158,772,476.01	8,000,000.00	10,117,722.01
Stamford Campus Improvements/Housing	1,533,703.00	607,426.00	500,000.00
Storrs Hall Addition	14,664,091.44	223,521.12	14,440,570.32
Waterbury Downtown Campus	1,858,022.00	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	\$15,901,465.91	\$9,710,000.00	\$1,315,000.00
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	48,623,523.12	5,434,003.00	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	118,905,675.00	28,009,500.00	48,588,000.00
Medical School Academic Building Renovation	39,742,488.00	25,747,500.00	8,700,000.00
Research Tower	68,098,997.00	7,627,997.00	60,471,000.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	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, June 24, 2015, March 30, 2016, June 29, 2016 and June 28, 2017.

⁽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.


⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 18



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

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 Beach Hall Renovations by \$78,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$408,277.00; and
- Decrease Bishop Renovation by \$180,141.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0.00; and
- Decrease CLAC Renovation Biosafety Level 3 Lab by \$933,534.09 for a total fiscal year 2014-2015 bond authorization for such project of \$4,876,465.91; and
- Decrease Gant Building Renovations by \$47,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$1,028,000.00; and
- Decrease Parking Garage #3 by \$484.73 for a total fiscal year 2014-2015 bond authorization for such project of \$75,214.27; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$305,625.73 for a total fiscal year 2014-2015 bond authorization for such project of \$44,440,487.61; and
- Increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$933,534.09 for a total fiscal year 2014-2015 bond authorization for such project of \$1,674,928.09.

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PHONE 860.486.3455
FAX 860.486.1070

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.

The projects authorized under the Twentieth Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2015, 2016 and 2017.

The Board of Trustees amended the Twentieth Supplemental Indenture on June 24, 2015, March 30, 2016, and October 26, 2016 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 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, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2015, 2016 and 2017 to finance the Fiscal Year 2014-2015 bond authorizations; and

WHEREAS, on June 24, 2015, March 30, 2016 and October 26, 2016 the University amended the Twentieth Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2014-2015 as set forth in Appendix A; 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 final amounts spent 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 Beach Hall Renovations by \$78,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$408,277.00; and (b) decrease Bishop Renovation by \$180,141.00 for a total fiscal year 2014-2015 bond authorization for such project of \$0.00; and (c) decrease CLAC Renovation Biosafety Level 3 Lab by \$933,534.09 for a total fiscal year 2014-2015 bond authorization for such project of \$4,876,465.91; and (d) decrease Gant Building Renovations by \$47,000.00 for a total fiscal year 2014-2015 bond authorization for such project of \$1,028,000.00; and (e) decrease Parking Garage #3 by \$484.73 for a total fiscal year 2014-2015 bond authorization for such project of \$75,214.27; and (f) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$305,625.73 for a total fiscal year 2014-2015 bond authorization for such project of \$44,440,487.61; and (g) increase Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$933,534.09 for a total fiscal year 2014-2015 bond authorization for such project of \$1,674,928.09 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.

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

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2014-2015 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Academic and Research Facilities	\$587,495,298.00	\$9,024,327.00	\$4,093,982.00
Arjona and Monteith (new classroom buildings)	128,518,947.28	12,023,606.07	107,547,356.93
Avery Point Renovation	8,429,576.54	7,302,782.00	1,016,469.54
Beach Hall Renovations	5,150,972.33	408,277.00	4,742,695.33
Biobehavioral Complex Replacement	3,589,141.00	551,166.00	2,787,975.00
⁽³⁾ Deferred Maintenance/Code/ADA Renovation Lump Sum	691,947,734.29	44,440,487.61	187,712,111.88
Engineering Building (with Environmental Research Institute)	94,412,822.00	20,970,913.00	7,000,000.00
Equipment, Library Collections & Telecommunications	285,602,308.00	34,500,000.00	79,141,496.00
Fine Arts Phase II	27,256,798.00	26,509.00	4,575,000.00
Gant Building Renovations	13,184,018.00	1,028,000.00	12,156,018.00
Hartford Relocation Acquisition/Renovation	140,000,000.14	13,299,682.00	3,125,317.59
Heating Plant Upgrade	32,283,897.00	9,828,824.00	2,875,000.00
Jorgensen Renovation	3,934,474.58	150,000.00	2,084,474.58
Koons Hall Renovation/Addition	1,530,057.00	35,000.00	1,080,057.00
North Hillside Road Completion	8,200,000.00	1,500,000.00	6,700,000.00
Parking Garage #3	75,214.27	75,214.27	-
Residential Life Facilities	158,772,476.01	43,991,717.00	18,117,722.01
Support Facility (Architectural and Engineering Services)	16,583.05	16,583.05	-
Torrey Renovation Completion and Biology Expansion	1,530,373.00	30,373.00	1,500,000.00
Waterbury Downtown Campus	1,858,022.00	1,379,085.00	478,937.00
Young Building Renovation/Addition	23,790,884.00	4,417,454.00	19,223,430.00
<u>Subtotal – Storrs and Regional Campuses</u>		<u>\$205,000,000.00</u>	
--<u>Health Center</u>			
CLAC Renovation Biosafety Level 3 Lab	\$15,901,465.91	\$4,876,465.91	\$11,025,000.00
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	48,623,523.12	1,674,928.09	41,414,128.03
Equipment, Library Collections & Telecommunications — Health Center	68,429,390.00	4,125,000.00	56,429,265.00
Main Building Renovation	118,905,675.00	11,679,000.00	76,597,500.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	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, March 30, 2016, October 26, 2016 and June 28, 2017.

⁽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.


⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 19



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Twenty-First 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 Twenty-First Supplemental Indenture, as follows:

- Decrease Avery Point Renovation by \$265,650.00 for a total fiscal year 2015-2016 bond authorization for such project of \$110,325.00; and
- Decrease Law School Renovations/Improvement by \$75,000.00 for a total fiscal year 2015-2016 bond authorization for such project of \$905,718.00; and
- Decrease Young Building Renovation/Addition by \$350,000.00 for a total fiscal year 2015-2016 bond authorization for such project of \$150,000.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$690,650.00 for a total fiscal year 2015-2016 bond authorization for such project of \$31,276,199.17.

BACKGROUND:

The Board of Trustees approved the Twenty-First Supplemental Indenture on June 24, 2015 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twenty-First Supplemental Indenture on July 10, 2015.

The projects authorized under the Twenty-First Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2016 and 2017.

Appendix A, attached hereto, lists the projects and the amount of bond proceeds authorized for each project for Fiscal Year 2015-2016, 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 TWENTY-FIRST SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2015-2016
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 24, 2015, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Twenty-First Supplemental Indenture (the “Twenty-First 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, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2016 and 2017 to finance the Fiscal Year 2015-2016 bond authorizations; and

WHEREAS, on March 30, 2016 and June 29, 2016 the University reallocated certain of the fiscal year 2015-2016 bond authorizations by amending the Twenty-First Supplemental Indenture; and

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

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

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

That Appendix A to the Twenty-First Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2015-2016 bond authorization amongst projects as follows: (a) decrease Avery Point Renovation by \$265,650.00 for a total fiscal year 2015-2016 bond authorization for such project of \$110,325.00; and (b) decrease Law School Renovations/Improvement by \$75,000.00 for a total fiscal year 2015-2016 bond authorization for such project of \$905,718.00; and (c) decrease Young Building Renovation/Addition by \$350,000.00 for a total fiscal year 2015-2016 bond authorization for such project of \$150,000.00; and (d) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$690,650.00 for a total fiscal year 2015-2016 bond authorization for such project of \$31,276,199.17; 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

**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>			
Academic and Research Facilities	\$587,495,298.00	\$2,909,222.00	\$13,118,309.00
Arjona and Monteith (new classroom buildings)	128,518,947.28	8,516,930.28	119,570,963.00
Avery Point Renovation	8,429,576.54	110,325.00	8,319,251.54
Biobehavioral Complex Replacement	3,589,141.00	250,000.00	3,339,141.00
⁽³⁾ Deferred Maintenance/Code/ADA Renovation Lump Sum	850,132,090.66	31,276,199.17	232,152,599.49
Engineering Building (with Environmental Research Institute)	94,412,822.00	39,097,924.00	27,970,913.00
Equipment, Library Collections & Telecommunications	285,602,308.00	11,175,000.00	113,641,496.00
Fine Arts Phase II	27,256,798.00	1,981,917.00	4,601,509.00
Hartford Relocation Acquisition/Renovation	140,000,000.14	36,860,681.55	16,424,999.59
Heating Plant Upgrade	32,283,897.00	773,176.00	12,703,824.00
Jorgensen Renovation	3,934,474.58	1,500,000.00	2,234,474.58
Koons Hall Renovation/Addition	1,530,057.00	415,000.00	1,115,057.00
Law School Renovations/Improvements	16,691,342.94	905,718.00	15,785,624.94
Mansfield Training School Improvements	6,216,038.00	14,780.00	3,000,000.00
Psychology Building Renovation/Addition	24,337,399.00	50,000.00	24,287,399.00
Residential Life Facilities	158,772,476.01	68,413,127.00	62,109,439.01
Young Building Renovation/Addition	23,790,884.00	150,000.00	23,640,884.00
Subtotal – Storrs and Regional Campuses		<u>\$204,400,000.00</u>	
--<u>Health Center</u>			
Deferred Maintenance/Code/ADA Renovation Sum - Health Center	\$48,623,523.12	\$3,219,345.00	\$43,089,056.12
Equipment, Library Collections and Telecommunications - Health Center	68,429,390.00	4,150,125.00	60,554,265.00
Main Building Renovation	118,905,675.00	9,149,518.00	88,276,500.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	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 and amended it on March 30, 2016, June 29, 2016 and June 28, 2017.

⁽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.


⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 20



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Revised Allocation of Bond Authorizations as set forth in the Twenty-Second 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 Twenty-Second Supplemental Indenture, as follows:

- Decrease Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$345,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$1,665,972.00; and
- Decrease Main Building Renovation by \$1,200,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$21,479,657.00; and
- Decrease Parking Garage #3 by \$250,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$0.00; and
- Decrease Residential Life Facilities by \$4,057,400.00 for a total fiscal year 2016-2017 bond authorization for such project of \$7,249,910.00; and
- Increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$4,307,400.00 for a total fiscal year 2016-2017 bond authorization for such project of \$61,384,975.00; and
- Increase The University of Connecticut Health Center New Construction and Renovation by \$1,545,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$31,114,383.00.

BACKGROUND:

The Board of Trustees approved the Twenty-Second Supplemental Indenture on June 29, 2016 supplementing the Master Indenture of Trust dated November 1, 1995. The Governor signed the Twenty-Second Supplemental Indenture on July 5, 2016.

The projects authorized under the Twenty-Second Supplemental Indenture have been financed with the proceeds of the University's debt service commitment bonds issued in 2017.

The Board of Trustees amended the Twenty-Second Supplemental Indenture on October 26, 2016, 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 2016-2017, 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 TWENTY-SECOND SUPPLEMENTAL INDENTURE
TO REALLOCATE FISCAL YEAR 2016-2017
GENERAL OBLIGATION BOND AUTHORIZATIONS**

WHEREAS, on June 29, 2016, the University of Connecticut (the “University”), by vote of its Board of Trustees, approved the Twenty-Second Supplemental Indenture (the “Twenty-Second 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, the University, in conjunction with the Treasurer of the State of Connecticut (the “State Treasurer”), issued the University’s General Obligation Bonds in 2017 to finance the Fiscal Year 2016-2017 bond authorizations; and

WHEREAS, on October 26, 2016 the University amended the Twenty-Second Supplemental Indenture to make certain reallocations of bond authorizations for Fiscal Year 2016-2017 as set forth in Appendix A; and

WHEREAS, it has been determined that the allocations for the proceeds of the bonds authorized by the Twenty-Second Supplemental Indenture should be revised to reflect the amounts to be spent on certain of the projects; and

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

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

That Appendix A to the Twenty-Second Supplemental Indenture hereby is amended to reallocate the Fiscal Year 2016-2017 bond authorization amongst projects as follows: (a) decrease Deferred Maintenance/Code/ADA Renovation Sum — Health Center by \$345,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$1,665,972.00; and (b) decrease Main Building Renovation by \$1,200,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$21,479,657.00; and (c) decrease Parking Garage #3 by \$250,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$0.00; and (d) decrease Residential Life Facilities by \$4,057,400.00 for a total fiscal year 2016-2017 bond authorization for such project of \$7,249,910.00; and (e) increase Deferred Maintenance/Code/ADA Renovation Lump Sum by \$4,307,400.00 for a total fiscal year 2016-2017 bond authorization for such project of \$61,384,975.00; and (f) increase The University of Connecticut Health Center New Construction and Renovation by \$1,545,000.00 for a total fiscal year 2016-2017 bond authorization for such project of \$31,114,383.00; 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

**TWENTY-SECOND SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2016-2017
UCONN 2000 BOND AUTHORIZATIONS
____SERIES ____ BOND PROJECTS**

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2016-2017 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Academic and Research Facilities	\$587,495,298.00	\$6,476,861.00	\$16,027,531.00
Arjona and Monteith (new classroom buildings)	128,518,947.28	431,054.00	128,087,893.28
⁽³⁾ Deferred Maintenance/Code/ADA Renovation Lump Sum	850,132,090.66	61,384,975.00	263,428,798.66
Engineering Building (with Environmental Research Institute)	94,412,822.00	19,344,710.00	67,068,837.00
Equipment, Library Collections & Telecommunications	285,602,308.00	9,000,000.00	124,816,496.00
Fine Arts Phase II	27,256,798.00	4,544,998.00	6,583,426.00
Hartford Relocation Acquisition/Renovation	140,000,000.14	68,424,318.00	53,285,681.14
Heating Plant Upgrade	32,283,897.00	1,806,897.00	13,477,000.00
Jorgensen Renovation	3,934,474.58	200,000.00	3,734,474.58
Residential Life Facilities	158,772,476.01	7,249,910.00	130,522,566.01
Stamford Campus Improvements/Housing	1,533,703.00	426,277.00	1,107,426.00
Subtotal – Storrs and Regional Campuses		<u>\$179,290,000.00</u>	
--<u>Health Center</u>			
Deferred Maintenance/Code/ADA Renovation Sum - Health Center	\$48,623,523.12	\$1,665,972.00	\$46,308,401.12
Equipment, Library Collections and Telecommunications - Health Center	68,429,390.00	2,250,000.00	64,704,390.00
Main Building Renovation	118,905,675.00	21,479,657.00	97,426,018.00
Medical School Academic Building Renovation	39,792,488.00	4,599,988.00	34,447,500.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	31,114,383.00	350,597,618.00
Subtotal – Health Center		<u>\$61,110,000.00</u>	
Total Fiscal Year 2016-2017 Bond Authorization		<u>\$240,400,000.00</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-second Supplemental Indenture on June 29, 2016 and amended it on October 26, 2016 and June 28, 2017.

⁽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.

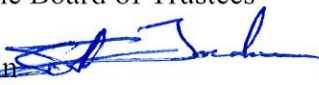
⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 21



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

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

RECOMMENDATION:

That the Board of Trustees approves the Twenty-Third 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 \$295,500,000 plus costs of issuance, plus amounts carried forward from the Twenty-second 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-third Supplemental Indenture authorizes the appropriations for and issuance of bonds in the maximum amount of \$295,500,000 plus costs of issuance to finance fiscal year 2018 Phase III projects, plus amounts carried forward from the Twenty-second Supplemental Indenture. Phase III includes projects at Storrs, the regional campuses and the UConn Health Center.

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 Twenty-third 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-third Supplemental Indenture lists the UCONN 2000 projects that may be financed by the bonds (excluding the projects financed by the carry forward amounts).

This Supplemental Indenture also amends the Master Indenture, which is now twenty-two years old, for certain updates and clarifications consistent with current market practice and regulations. The changes include deleting certain limitations previously placed on lease-financing any land or building outside the Storrs campus; updating the continuing disclosure process consistent with regulatory and market changes; modifying the notice of defeasance provisions to allow electronic notices to suffice and eliminating the necessity to publish in a newspaper; and making certain delegations concerning disclosure to the Executive Vice President for Administration and Chief Financial Officer; and provides that the renewal and replacement fund created under the Master Indenture is held by the trustee bank and spent at the direction of the University.

This recommendation, if approved, will serve as the Board of Trustees' resolution for approval of the Twenty-third 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-THIRD SUPPLEMENTAL INDENTURE

AUTHORIZING

THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION BONDS

(Secured by the State Debt Service Commitment)

and

AMENDING THE GENERAL OBLIGATION MASTER INDENTURE OF TRUST

DATED AS OF NOVEMBER 1, 1995

Dated as of _____

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

AND

AMENDING THE MASTER INDENTURE

ARTICLE I

Definitions and Statutory Authority

101. **Twenty-third Supplemental Indenture.** This Twenty-third 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 “Master 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-third Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-third 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-third 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-second Supplemental Indenture” means the Twenty-second Supplemental Indenture, dated January 1, 2017 supplementing the Master Indenture.

“Twenty-third Supplemental Indenture” means this Twenty-third 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-third Supplemental Indenture.** This Twenty-third 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 2017-2018 Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds for Fiscal Year ending June 30, 2018 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 \$295,500,000 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 Twenty-second Supplemental Indenture approved by Governor Malloy on July 5, 2016, as amended and as set forth in the Certificate of Determination executed in connection with the bonds issued pursuant to the Twenty-second Supplemental Indenture is carried forward to Fiscal Year 2017-2018 in accordance with the Act.

The exact amount of the Bonds to be issued under this Twenty-third 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 \$295,500,000 (plus Costs of Issuance and any carry forward amounts). The amount of the balance of Bonds herein authorized for Fiscal Year ending 2018 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-third 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 and for any bonds issued under the Master Indenture after the date hereof, Section 1402, of the Master Indenture at the end of the second sentence, item (c) 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.

210. **UConn Infrastructure Improvement Program.** Pursuant to Sections 1001(1)(b) and 1001(6) of the Master Indenture, for purposes of the Bonds and any bonds issued under the Master Indenture after the date hereof, Section 909(C) is deleted in its entirety.

211. **Continuing Disclosure Undertaking.** Pursuant to Sections 1001 (1) and 1512 of the Master Indenture, for purposes of the Bonds and for any bonds issued under the Master Indenture after the date hereof, Article XV is hereby deleted in its entirety.

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-third 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-third 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 or the Executive Vice President for Administration and Chief Financial Officer.

(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-third Supplemental Indenture, the Authorized Officer for Sale Purposes is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-third Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-third

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-third 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 \$295,500,000. This declaration of official intent is a declaration of official intent made pursuant to Section 1.150-2 of the Regulations.

ARTICLE VI

Amendments to the Master Indenture

601. **Definitions.** Pursuant to Section 1001(7) of the Master Indenture, the following definition contained in Section 101 of the Master Indenture is hereby amended in its entirety as follows:

"Authorized Officer" means, in the case of the University, the Chairman or Vice-Chairman of the Board of Trustees, the finance committee of the Board of Trustees (acting by resolution and constituting the finance committee of the Board of Trustees within the meaning of the Act), the President, the Provost and Executive Vice President for Academic Affairs, the Executive Vice-President For Administration and Chief Financial Officer, or the Manager of Treasury Services (for the purpose of making disbursements and investments only), the Controller (for the purpose of making disbursements only), or any other person duly authorized by the bylaws or resolution of the University to perform the act or sign the document in question.

602. **Establishment of Funds and Accounts Therein.** Pursuant to Section 1001(9) of the Master Indenture, Section 602 of the Master Indenture is hereby amended in its entirety as follows:

The University hereby establishes and creates the following funds and accounts to be held by the Treasurer or the Trustee:

- (1) Bond Proceeds Fund
 - (a) Construction Account - Trustee
 - (b) Costs of Issuance Accounts - Treasurer

- (2) Debt Service Fund - Trustee
 - (a) Interest Account
 - (b) Principal Installment Account
- (3) Renewal and Replacement Fund - Trustee
- (4) Redemption Fund - Trustee

The University reserves the right and power, subject to this Indenture, to establish additional funds, accounts and sub-accounts hereunder. All funds, accounts and sub-accounts created under this Indenture, in addition to other funds, accounts or sub-accounts from time to time established hereunder, shall be held and maintained by the Treasurer, the Trustee or the University in accordance with the terms of this Indenture.

603. Renewal and Replacement Fund. Pursuant to Section 1001(9) of the Master Indenture, Section 606(C) of the Master Indenture is hereby amended in its entirety as follows:

C. The University is further authorized and directed to order each disbursement from the Renewal and Replacement Fund upon a certification filed with the Trustee, signed by an Authorized Officer of the University. Such certification shall (i) state the requisition number, (ii) specify the project or other facilities financed with such disbursement and the nature of each item or category of cost and certify the same to be correct and proper under this Section and that such item or category of cost has been properly paid or incurred as a cost of the project or other facilities, (iii) if the money in the Renewal and Replacement Fund is proceeds of a tax exempt obligation, then, pursuant to Section 912 hereof, such disbursement is consistent with the covenant of the University respecting tax exempt obligations and any Tax Regulatory Agreement with respect thereto, (iv) certify that none of the items or categories for which the certification is made has formed the basis for any disbursement theretofore made from the Bond Proceeds Fund (v) certify that the payee and amount stated with respect to each item in the certification are correct and that such item is due and owing, and (vi) specify the name and address of the person to whom payment is due or has been made.

IN WITNESS WHEREOF, the University of Connecticut has caused this Twenty-third 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-third 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-THIRD SUPPLEMENTAL INDENTURE
UCONN 2000 INFRASTRUCTURE IMPROVEMENT PROGRAM
FISCAL YEAR 2017-2018
UCONN 2000 BOND AUTHORIZATIONS
____SERIES ____ BOND PROJECTS**

[TO BE REVISED]

UCONN 2000 Projects*	UCONN 2000 Phase III Total (\$) Needed -D.S.C. Bonds**	Fiscal Year 2017-2018 Bond Authorization ⁽²⁾	UCONN 2000 Phase III Prior D.S.C. Bond Authorization ***
--<u>Storrs and Regional Campuses</u>			
Academic and Research Facilities	\$587,495,298.00	\$61,553,037.00	\$22,504,392.00
⁽³⁾ Deferred Maintenance/Code/ADA Infrastructure Improvements Renovation Lump Sum	850,132,090.66	125,743,256.00	324,813,773.66
Engineering Building (with Environmental Research Institute)	94,412,822.00	7,999,275.00	86,413,547.00
Equipment, Library Collections & Telecommunications	285,602,308.00	54,000,000.00	133,816,496.00
Farm Buildings Repairs/Replacement	6,408,304.09	1,371,907.00	5,036,397.09
Fine Arts Phase II	27,256,798.00	16,128,374.00	11,128,424.00
Hartford Relocation Acquisition/Renovation	140,000,000.14	18,290,001.00	121,709,999.14
Heating Plant Upgrade	32,283,897.00	1,000,000.00	15,283,897.00
Subtotal – Storrs and Regional Campuses		<u>\$286,085,850.00</u>	
--<u>Health Center</u>			
Deferred Maintenance/Code/ADA Infrastructure Improvements Renovation Sum - Health Center	\$48,623,523.12	\$649,150.00	\$47,974,373.12
Equipment, Library Collections and Telecommunications - Health Center	68,429,390.00	1,475,000.00	66,954,390.00
Medical School Academic Building Renovation	39,792,488.00	745,000.00	39,047,488.00
The University of Connecticut Health Center New Construction and Renovation	388,257,001.00	6,545,000.00	381,712,001.00
Subtotal – Health Center		<u>\$9,414,150.00</u>	
Total Fiscal Year 2017-2018 Bond Authorization		<u>\$295,500,000.00</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-third Supplemental Indenture on June 28, 2017.

⁽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.


⁽³⁾ Public Act 16-4 effective July 1, 2016 changed the name of UCONN 2000 named project formally known as “Deferred Maintenance/Code/ADA Renovation Lump Sum” to “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”. Since this project was authorized in this supplemental indenture prior to the legislative name change effective date, the original project name is referred to herein. However, pursuant to Public Act 16-4 future financings will use “Deferred Maintenance/Code Compliance/ADA Compliance/Infrastructure Improvements & Renovation Lump Sum”.


ATTACHMENT 22



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Twenty-Fourth Supplemental Indenture Authorizing University of Connecticut
General Obligation Bonds for Refunding Purposes

RECOMMENDATION:

That the Board of Trustees approves the Twenty-Fourth Supplemental Indenture, substantially in the form attached hereto, authorizing University of Connecticut General Obligation Refunding Bonds secured by the State of Connecticut Debt Service Commitment from time to time at such expected debt service savings and terms as future market conditions may warrant at the time of sale.

BACKGROUND:

The Twenty-fourth Supplemental Indenture authorizes the issuance of refunding bonds and also amends the Master Indenture to make certain updates consistent with certain regulatory and market practices for refunding bonds issued after the date hereof. The University of Connecticut's (the "University") General Obligation Refunding 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 refunding issue of bonds be issued pursuant to a refunding supplemental indenture.

This Supplemental Indenture provides that the exact amount of the refunding bonds be determined at the time of issuance by the State Treasurer in conjunction with the University depending on the debt service savings, market conditions and other factors. This Supplemental Indenture replaces the Eighth Supplemental Indenture, which had authorized refunding bonds and is now thirteen years old, and also amends the Master Indenture for refunding bonds issued after the date hereof, for certain updates and clarifications consistent with current market practice and regulations. The changes include deleting certain limitations previously placed on lease-financing any land or building outside the Storrs campus; updating the continuing disclosure process consistent with

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Administration and Chief Financial Officer
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GULLEY HALL
STORRS, CT 06269-1122
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regulatory and market changes; modifying the notice of defeasance provisions to allow electronic notices to suffice and eliminating the necessity to publish in a newspaper and making certain delegations concerning disclosure to the Executive Vice President for Administration and Chief Financial Officer.

This recommendation, if approved, will serve as the Board of Trustees' resolution for approval of the Twenty-fourth Supplemental Indenture and for refunding 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.

as Issuer

and

U.S. BANK NATIONAL ASSOCIATION

as Trustee

TWENTY-FOURTH SUPPLEMENTAL INDENTURE

AUTHORIZING

THE UNIVERSITY OF CONNECTICUT
GENERAL OBLIGATION REFUNDING BONDS

(Secured by the State Debt Service Commitment)

Dated as of _____

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

ARTICLE I

Definitions and Statutory Authority

101. **Twenty-fourth Supplemental Indenture.** This Twenty-fourth Supplemental Indenture authorizing General Obligation Refunding Bonds (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 form of which was approved by the State Bond Commission as required by Section 10a-109g of the General Statutes of Connecticut as amended and supplemented to the date hereof (the “Master Indenture”).

102. **Definitions.** All terms defined, and the rules of construction set forth, in Article I of the Master Indenture shall have the same meanings in this Twenty-fourth Supplemental Indenture as such terms are given in such Article I except that, as used in this Twenty-fourth 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 Master 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-fourth Supplemental Indenture.

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

“**Escrow Agent**” means for purposes of the Master Indenture and this Twenty-fourth Supplemental Indenture, the bank or trust company named as the Escrow Agent for a particular series of Bonds pursuant to the applicable Certificate of Determination.

“Escrow Deposit Agreement” means an escrow deposit agreement relating to a series of the Bonds entered into by the University and the Escrow Agent.

“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 applicable series of Bonds.

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

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

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

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

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

ARTICLE II

Authorization, Terms and Issuance of Bonds

201. **Authorization of Bonds, Maximum Amount, Delegation, Designation and Pledge.** Bonds entitled to the benefit, protection and security of the Act and the Master Indenture, and constituting Bonds to be secured by the State Debt Service Commitment are hereby authorized to be issued in one or more series from time to time under the Master Indenture and pursuant to the Act in the aggregate principal amounts not to exceed the aggregate of the principal, redemption premium, if any, of and interest on the then Outstanding Bonds plus the amount of the Costs of Issuance to be funded from the proceeds of such series of Bonds.

The exact amount of the series of Bonds to be issued under this Twenty-fourth Supplemental Indenture is hereby delegated to and is to be determined by a certificate of, the Authorized Officer for Sale Purposes and the Treasurer of the State, such certificates to provide that the issuance of a series of the Bonds is reasonably expected to achieve, as a result of the sale of such series of Bonds and the investment and application of the proceeds thereof, net debt service savings.

The Bonds shall be designated as and shall be distinguished from other Bonds by the additional title “20__ Refunding Series A” or such other designation or designations of “Refunding 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 Master Indenture, this Twenty-fourth 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 funds and accounts (i) the applicable Series Account of the Redemption Fund which shall be held and maintained by the Trustee, for the payment of the Redemption Price of the bonds being refunded, or if such bonds are not then subject to redemption, for transfer to an escrow account pursuant to an Escrow Deposit Agreement and (ii) the Cost of Issuance Account of the Bond Proceeds Fund, which, pursuant to Section 602 of the Master Indenture unless otherwise provided by a Supplemental Resolution, shall be held and maintained by the Treasurer, to pay or provide for the costs of issuance of a series of the Bonds. The Treasurer and University shall cause the proceeds from the sale of each series of the Bonds to be so deposited in the Redemption Fund and the Bond Proceeds Fund.

203. **Interest Payments.** Each series of 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 applicable 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.** Each series of 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. Each series of Bonds shall be in denominations to be determined by the Treasurer in the Certificate of Determination. Each series of 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. Each series of Bonds shall be numbered consecutively from one upward in order of issuance.

205. **Places of Payment and Paying Agent.** So long as all of a series 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 such series of the Bonds shall be payable from the Trustee to DTC or its successor as securities depository for such series the Bonds, as determined by the Treasurer in the applicable 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 such Bonds shall be payable by check mailed to the registered owners of such Bonds, and Principal, Sinking Fund Installments, if any, or Redemption Price of such Bonds shall be payable at the principal corporate trust office of the Paying Agent for such 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 a series 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 Master Indenture.

208. **Delivery and Application of Bond Proceeds.** After their execution as provided herein and in the Master Indenture, the Bonds shall be delivered to the Trustee for authentication as provided in the Master Indenture and shall thereupon be delivered to the applicable 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 Master Indenture. The proceeds of each series of the Bonds shall be deposited in the applicable Series Account of the Redemption Fund and the 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 each series of the Bonds and any bonds issued under the Master Indenture after the date hereof, Section 1402 of the Master Indenture at the end of the second sentence, item (c) 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.

210. **UConn Infrastructure Improvement Program.** Pursuant to Sections 1001(1)(b) and 1001(6) of the Master Indenture, for purposes of each series of the Bonds and any bonds issued under the Master Indenture after the date hereof, Section 909(C) is deleted in its entirety.

211. **Continuing Disclosure Undertaking.** Pursuant to Sections 1001 (1) and 1512 of the Master Indenture, for purposes of the Bonds and for any bonds issued under the Master Indenture after the date hereof, Article XV is hereby deleted in its entirety.

ARTICLE III

Form of the Bonds

301. **Form of the Bonds.** The Bonds shall be substantially in the form set forth in the Master Indenture with such additions or deletions anticipated by this Twenty-fourth 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 any of 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-fourth 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 any series of 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 any series of 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 any series 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 or the Executive Vice President for Administration and Chief Financial Officer.**

(A) The Treasurer is delegated, pursuant to the Act on behalf of the University and subject in all respects to the Master Indenture, the authority to determine with respect to each series of Bonds the date or dates and maturities (provided, however, that such Bonds shall mature not later than the bonds being refunded); 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 each series of the Bonds setting forth the details and particulars of such series of 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 such Bonds.

(B) The Treasurer is also delegated pursuant to this Twenty-fourth Supplemental Indenture, the authority to consolidate any issue of Bonds authorized hereunder with any issue of bonds authorized and issued pursuant to a Supplemental Indenture approved by the Board of Trustees. The Treasurer shall set forth the particulars of such consolidation in the applicable Certificate of Determination.

(C) 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 each series of the Bonds, including financial advisory agreements, bond purchase agreements, tax regulatory agreements, and agreements with respect to security for each series of Bonds.

(D) 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 a series 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 each such 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 any Official Statement or any Preliminary Official Statement that may, in the Treasurer's judgment, be necessary or appropriate on or before the date of delivery of a series of the Bonds.

(E) Subsequent to adoption of the resolution of the Board of Trustees authorizing the Twenty-fourth Supplemental Indenture, the Authorized Officer for Sale Purposes

is hereby authorized to make such changes, insertions, deletions or provisions to the Twenty-fourth Supplemental Indenture, not materially inconsistent with the intent of the provisions of the Twenty-fourth Supplemental Indenture as so adopted as may be necessary or appropriate to respond to the requirements of the Governor, the Treasurer, the Underwriters of a series of Bonds, the Bond Insurer, if any, or the rating agencies with respect to the Twenty-fourth 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.

IN WITNESS WHEREOF, the University of Connecticut has caused this Twenty-fourth 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-fourth 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:


ATTACHMENT 23



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for 28 Professional Park Renovation (Final: \$675,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$675,000 for 28 Professional Park Renovation project for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the Final Budget of \$675,000 in University Funds for the 28 Professional Park Renovations Project. 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.”

BACKGROUND:

The intent of this project is to relocate the Office of Audit Compliance and Ethics and the Office of Emergency Management to an off campus location at 28 Professional Park in Mansfield. The funding of this project includes architectural drawings and specifications, furniture, a back-up generator, security systems, AV equipment and IT infrastructure. The bulk of the construction costs are included in the lease agreement between the University and the property owner, which was approved by the Board in April 2017. At the time of the lease approval, the Board was notified that the anticipated University capital expenses were estimated at approximately \$600,000.

The Final Budget is based on the estimates provided by various vendors.

The Final Budget is attached for information.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: 28 PROFESSIONAL PARK RENOVATION

	APPROVED PLANNING 11/16/2016	APPROVED DESIGN 2/27/2017	APPROVED REVISED DESIGN 5/15/2017	PROPOSED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>	PRC	PRC	PRC	
CONSTRUCTION	\$ -	\$ -	\$ -	\$ -
DESIGN SERVICES	50,000	90,000	134,000	137,000
TELECOMMUNICATIONS	-	40,000	100,000	122,000
FURNITURE, FIXTURES AND EQUIPMENT	-	12,500	35,500	330,000
CONSTRUCTION ADMINISTRATION	-	7,000	10,000	17,000
OTHER AE SERVICES (including Project Management)	3,000	5,500	10,000	22,000
ART	-	-	-	-
RELOCATION	8,000	8,000	10,000	15,000
ENVIRONMENTAL	-	-	-	-
INSURANCE AND LEGAL	-	-	-	-
MISCELLANEOUS	-	-	-	-
OTHER SOFT COSTS	-	-	-	-
SUBTOTAL	\$ 61,000	\$ 163,000	\$ 299,500	\$ 643,000
PROJECT CONTINGENCY	7,000	15,000	25,000	32,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 68,000</u>	<u>\$ 178,000</u>	<u>\$ 324,500</u>	<u>\$ 675,000</u>
<u>SOURCE(S) OF FUNDING</u>				
UNIVERSITY FUNDS	\$ 68,000	\$ 178,000	\$ 324,500	\$ 675,000
TOTAL BUDGETED FUNDING	<u>\$ 68,000</u>	<u>\$ 178,000</u>	<u>\$ 324,500</u>	<u>\$ 675,000</u>

BOT 6.28.17

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28 PROFESSIONAL PARK RENOVATION

Project Budget (FINAL)

June 28, 2017



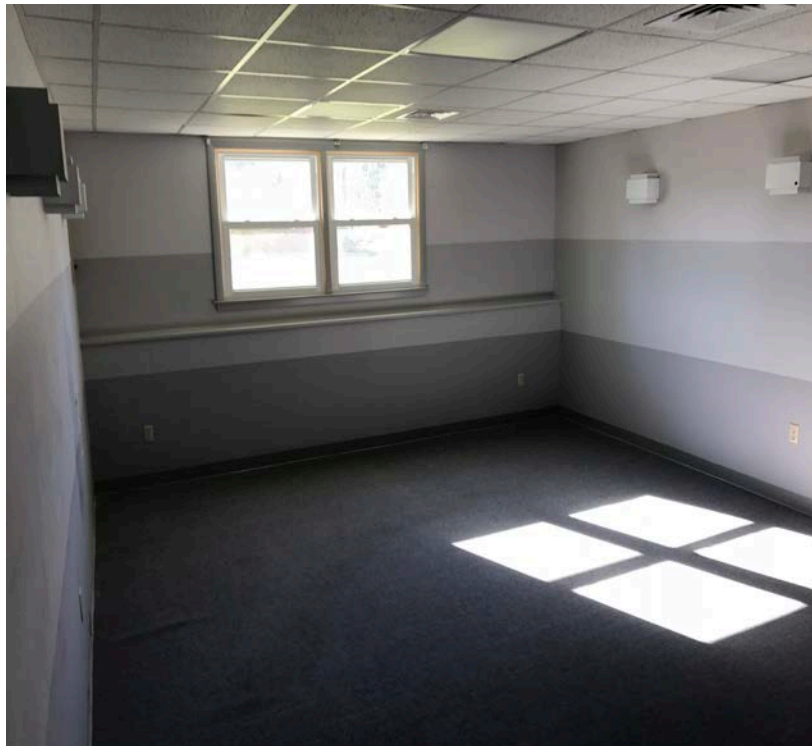
28 Professional Park - Front Entrance



28 Professional Park – Rear Entrance



28 Professional Park – Interior Space



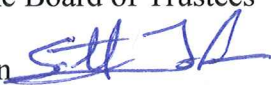
28 Professional Park – Interior Space

ATTACHMENT 24



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for UCONN 2000 Code Remediation: Towers Dormitories
(Revised Final: \$800,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget of \$800,000 for the UCONN 2000 Code Remediation: Towers Dormitories for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$732,000 in University Funds and \$68,000 in UCONN 2000 Bond Funds for UCONN 2000 Code Remediation: Towers Dormitories.”

BACKGROUND:

The University Office of Fire Marshal and Building Inspector cited code discrepancies after completing a required plan review and field inspection of UCONN 2000 Towers Residence Halls Renovations Project.

Two separate original UCONN 2000 projects related to the Towers Dormitories Complex were reviewed by the code officials. The projects were designed by two separate architectural firms and the work was completed by one general contractor. Corrective work resulting from errors attributable to the original contractor was completed by the original contractor at the contractor's expense. The balance of the work required is to correct code discrepancies resulting from errors and/or omissions in the original design. The original project architect provided remediation designs, for the correction of the remaining discrepancies at their expense. Seventy-nine of the eighty discrepancies have been corrected to date. The remaining open discrepancy is related to

an accessible apartment created under the original construction project. Correction of these discrepancies were placed on hold at the request of the Department of Residential Life who were exploring options to relocate this accessible unit to an alternate location within the Towers Residence Hall Complex. The University has now determined that the necessary corrections will be made. Upon completion of construction, all cited code discrepancies under the UCONN 2000 Code Remediation Program for the Towers Dormitories will be remediated. This cost increase is based on estimates from the project architect and a professional estimating consultant.

The Revised Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: UCONN 2000 CODE REMEDIATION: TOWERS DORMITORIES

<u>BUDGETED EXPENDITURES</u>	APPROVED FINAL 4/20/2010	APPROVED REVISED FINAL 4/24/2013	PROPOSED REVISED FINAL 6/28/2017
CONSTRUCTION	\$ 431,000	\$ 477,400	\$ 532,400
DESIGN SERVICES	-	10,800	10,800
TELECOMMUNICATIONS	188	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	60,000	125,000	120,000
OTHER AE SERVICES (including Project Management)	10,000	15,000	30,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	7,000	17,000	17,000
INSURANCE AND LEGAL	30,000	30,000	30,000
MISCELLANEOUS	11,812	6,800	6,800
OTHER SOFT COSTS	-	-	-
SUBTOTAL	\$ 550,000	\$ 682,000	\$ 747,000
PROJECT CONTINGENCY	70,000	50,000	53,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 620,000</u>	<u>\$ 732,000</u>	<u>\$ 800,000</u>
<u>SOURCE(S) OF FUNDING</u>			
UNIVERSITY FUNDS	\$ 620,000	\$ 732,000	\$ 732,000
UCONN 2000 BOND FUNDS	-	-	68,000
TOTAL BUDGETED FUNDING	<u>\$ 620,000</u>	<u>\$ 732,000</u>	<u>\$ 800,000</u>

BOT 6.28.17


201472


ATTACHMENT 25



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Residential Life Facilities - Alumni Quad Shower Renovations
(Revised Final: \$1,156,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$1,156,000 for Alumni Shower Renovation project for Construction. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of \$1,087,000 in UCONN 2000 General Obligation (GO) bonds and \$69,000 in University Funds for the Residential Life Facilities-Alumni Quad Shower Renovations project."

BACKGROUND:

Alumni Quad consists of four, six-story buildings, each with two bathrooms per floor except for the first floor which has one. Two of the building's shower areas, Brock and Eddy, have been repaired over the years but continue to leak into the corridors and rooms below.

The Alumni Quad Shower Renovations project consists of demolishing all of the shower areas in Brock and Eddy and rebuilding with new ceramic tile showers; including new valves, fixtures and accessories. Each bathroom floor will have an epoxy coating applied to improve the aesthetics of the bathroom.

On May 24, 2017, the project budget was increased by \$51,000 (5% of the approved Final Budget) from \$1,030,000 to \$1,081,000 on the authority of the Executive Vice President for Administration and Chief Financial Officer (EVPACFO), with the caveat that additional funds may be requested in June 2017. Board of Trustees' policy permits the EVPACFO to approve

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www.evpacfo.uconn.edu

changes up to 5% of the budget, providing that funding is available and that the Board of Trustees is notified subsequently through a revised project budget, noted in this resolution. Additional unforeseen conditions including several code violations have been encountered and this resolution requests an increase of \$75,000 for a total revised project budget amount of \$1,156,000.

The Revised Final Budget is attached for information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **REVISED FINAL**

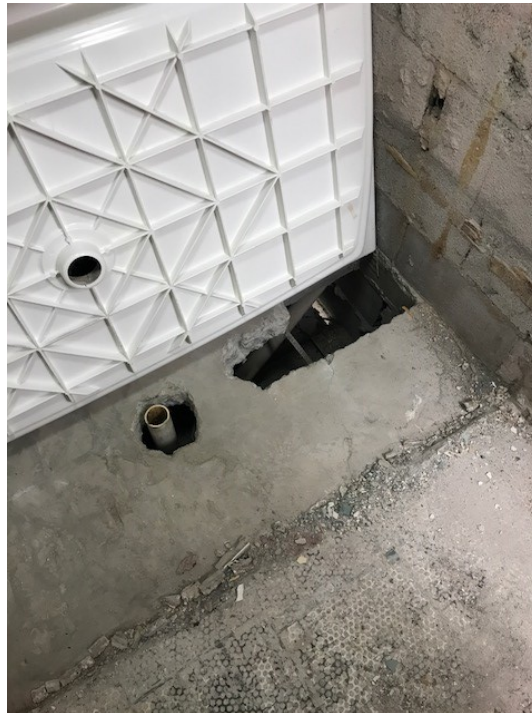
PROJECT NAME: **RESIDENTIAL LIFE FACILITIES - ALUMNI QUAD SHOWER RENOVATIONS**

	APPROVED DESIGN 11/16/2016	APPROVED FINAL 3/29/2017	APPROVED REVISED FINAL 4/26/2017	APPROVED REVISED FINAL 5/24/2017	PROPOSED REVISED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>					
	PRC			EVPACFO	
CONSTRUCTION	\$ -	\$ 532,000	\$ 817,000	\$ 868,000	\$ 974,000
DESIGN SERVICES	52,000	61,651	62,000	62,000	62,000
TELECOMMUNICATIONS	-	-	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-	-	-
OTHER AE SERVICES (including Project Management)	2,500	21,383	35,000	35,000	35,000
ART	-	-	-	-	-
RELOCATION	-	-	-	-	-
ENVIRONMENTAL	8,000	5,000	5,000	5,000	5,000
INSURANCE AND LEGAL	-	-	-	-	-
MISCELLANEOUS	1,000	1,000	1,000	1,000	1,000
OTHER SOFT COSTS	-	-	-	-	-
SUBTOTAL	\$ 63,500	\$ 621,034	\$ 920,000	\$ 971,000	\$ 1,077,000
PROJECT CONTINGENCY	5,500	78,966	110,000	110,000	79,000
TOTAL BUDGETED EXPENDITURES	\$ 69,000	\$ 700,000	\$ 1,030,000	\$ 1,081,000	\$ 1,156,000
<u>SOURCE(S) OF FUNDING</u>					
UNIVERSITY FUNDS	\$ 69,000	\$ 69,000	\$ 69,000	\$ 69,000	\$ 69,000
UCONN 2000 BOND FUNDS	-	631,000	961,000	1,012,000	1,087,000
TOTAL BUDGETED FUNDING	\$ 69,000	\$ 700,000	\$ 1,030,000	\$ 1,081,000	\$ 1,156,000

RESIDENTIAL LIFE FACILITIES - ALUMNI QUAD
SHOWER RENOVATIONS
Project Budget REVISED FINAL
JUNE 28, 2017



Code Discrepancy – Shower Valve within 2 hour rated chase



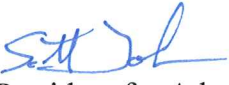
Code Discrepancy in Rated Floor


ATTACHMENT 26



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Main Campus Parking Replacements
(Planning: \$500,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget of \$500,000 for Main Campus Parking Replacements for Planning and Design. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$500,000 in University Funds for Main Campus Parking Replacements.”

BACKGROUND:

The planned development on the University's main campus under the *Next Generation Connecticut* program is anticipated to result in the loss of approximately 1,000 parking spaces through 2021. The *Transportation Circulation & Parking Appendix* of the *Campus Master Plan 2015-2035* recommended the replacement of these losses with little to no increase in the overall effective parking capacity.

The *Near-Term Capital Improvement Plan for Parking and Transportation* (April 2017), managed by Logistics Administration, supports that strategy and identifies various locations for the replacement of the lost parking inventory.

The scope of this project is to assess the identified locations for feasibility of creating new and/or renovated parking facilities, then proceed with design-build of new elevated decks over existing surface parking lots, and/or the design-bid-build of new or renovated surface parking lots. Phased construction is anticipated to begin in Summer 2018.

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The Planning Phase Budget is based upon information provided by the consultant who prepared *the Near-Term Capital Improvement Plan for Parking and Transportation*.

The anticipated total project budget will be in the range of \$20,000,000 to \$30,000,000 and is dependent on the locations and type (surface vs. structured lots) of the final replacement inventory.

The Final Budget is attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: PLANNING

PROJECT NAME: MAIN CAMPUS PARKING REPLACEMENTS

<u>BUDGETED EXPENDITURES</u>	<u>PROPOSED PLANNING 6/28/2017</u>
CONSTRUCTION	\$ -
DESIGN SERVICES	350,000
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	25,000
ART	-
RELOCATION	-
ENVIRONMENTAL	15,000
INSURANCE AND LEGAL	5,000
MISCELLANEOUS	5,000
OTHER SOFT COSTS	-
SUBTOTAL	\$ 400,000
PROJECT CONTINGENCY	100,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 500,000</u>
<u>SOURCE(S) OF FUNDING</u>	
UNIVERSITY FUNDS	<u>\$ 500,000</u>
TOTAL BUDGETED FUNDING	<u>\$ 500,000</u>

BOT 6.28.17

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ATTACHMENT 27



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for Decentralized Heat at Central Warehouse and Facilities
Operations & Building Services Buildings (Final: \$ 700,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$700,000 for the Decentralized Heat project at the Central Warehouse and Facilities Operations & Building Services Buildings. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$700,000 in University Funds for Decentralized Heat at Central Warehouse and Facilities Operations & Building Services Buildings.”

BACKGROUND:

The central steam connection serving both the Central Warehouse and the Facilities Operations Buildings failed in January 2017. A temporary, oil-fired, rental steam boiler was installed and has been on-line since then. The cost for the rental boiler is about \$8,000 per month, and the fuel expenditures to date have been \$30,000.

Repairing the central utility steam connection would require replacing approximately 1,000 feet of 8” underground steam piping and 1,000 feet of 4” underground condensate piping as well as the replacement of at least two underground utility vaults.

In-lieu of an expensive steam line replacement, this project will install two new permanent steam boilers in the Central Warehouse.

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The Final Budget is based on previous bids received.

The anticipated total project budget will be \$700,000.

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 information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

**PROJECT NAME: DECENTRALIZED HEAT AT WAREHOUSE AND FACILITIES
OPERATIONS BUILDINGS**

<u>BUDGETED EXPENDITURES</u>	PROPOSED FINAL 6/28/2017
CONSTRUCTION	\$ 600,000
DESIGN SERVICES	-
TELECOMMUNICATIONS	-
FURNITURE, FIXTURES AND EQUIPMENT	-
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	-
ART	-
RELOCATION	-
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	-
OTHER SOFT COSTS	-
SUBTOTAL	\$ 600,000
PROJECT CONTINGENCY	100,000
TOTAL BUDGETED EXPENDITURES	\$ 700,000
<u>SOURCE(S) OF FUNDING</u>	
UNIVERSITY FUNDS	\$ 700,000
TOTAL BUDGETED FUNDING	\$ 700,000


Note: Expenditures for non-construction services will be performed by University staff.


ATTACHMENT 28



June 28, 2017

TO: Members of the Board of Trustees

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

Jeremy Teitelbaum 
Interim Provost and Executive Vice President for Academic Affairs

RE: Project Budget for the Steam Line Lateral at the John J. Budds Building
(Final: \$ 800,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of \$800,000 for the Steam Line Lateral at the John J. Budds Building. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$800,000 in University Funds for the Steam Line Lateral at the John J. Budds Building.”

BACKGROUND:

The steam line lateral feeding the John J. Budds Building has failed and needs to be replaced. The replacement pipe has been ordered since there is a long lead time on the pipe. The removal and abatement of the existing line and installation of the new pipe will be completed utilizing existing contracts. Construction has started and will be completed by the first week of September.

The estimated Final Budget is based on previous bids received.

The anticipated total project budget will be \$800,000.

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 information.

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: REPAIR OF STEAM LINE LATERAL AT THE JOHN J. BUDDS BUILDING

		PROPOSED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>		
CONSTRUCTION	\$	700,000
DESIGN SERVICES		-
TELECOMMUNICATIONS		-
FURNITURE, FIXTURES AND EQUIPMENT		-
CONSTRUCTION ADMINISTRATION		-
OTHER AE SERVICES (including Project Management)		-
ART		-
RELOCATION		-
ENVIRONMENTAL		-
INSURANCE AND LEGAL		-
MISCELLANEOUS		-
OTHER SOFT COSTS		-
SUBTOTAL	\$	700,000
PROJECT CONTINGENCY		100,000
TOTAL BUDGETED EXPENDITURES	\$	<u>800,000</u>
<u>SOURCE(S) OF FUNDING</u>		
UNIVERSITY FUNDS	\$	800,000
TOTAL BUDGETED FUNDING	\$	<u>800,000</u>


Note: Expenditures for non-construction services will be performed by University staff.


ATTACHMENT 29

UConn HEALTH

June 28, 2017

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Executive Vice President for Health Affairs

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

RE: Project Budget for the UConn Health Elevator 24 & 25 Modernization and Sill Repairs (Final: \$1,100,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$1,100,000 for the UConn Health (UCH) Elevator 24 & 25 Modernization and Sill Repairs.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$1,100,000 of UConn Health funds for the UConn Health Elevator 24 & 25 Modernization and Sill Repairs.”

BACKGROUND:

Elevators 24 and 25 are the service elevators for the Connecticut Tower area of the Main Building. An initial assessment determined the existing sills have started to fail structurally and need to be replaced. Subsequent evaluation of the elevator operating components and controls determined that a modernization of the units is also needed. Modernization includes replacing the hoist-way and cab components and motor controls and makes the elevators safer, more efficient.

Design work is complete, the project will be bid in June and work is anticipated to begin in September. The construction duration is 6 months.

The Final Budget is attached for your consideration and approval. This Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 19, 2017.

Attachment

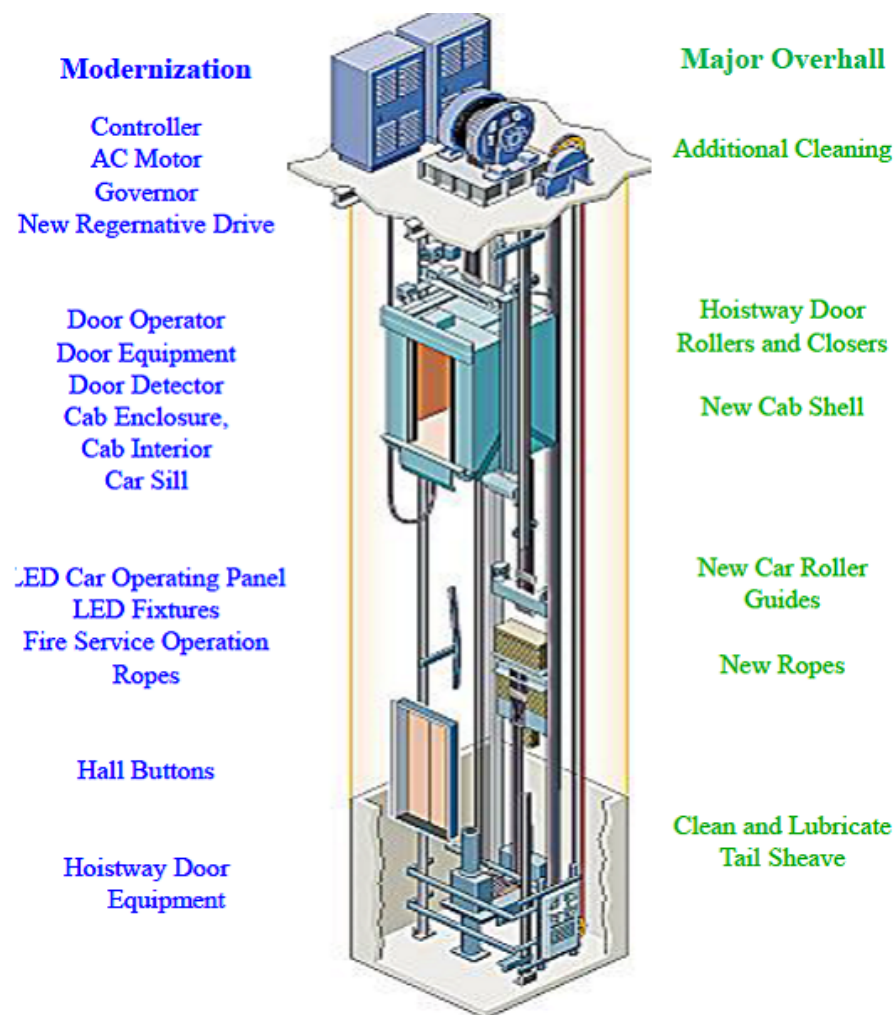
CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCONN HEALTH - ELEVATOR 24 & 25 MODERNIZATION AND SILL REPAIRS

	APPROVED PLANNING 3/30/2016	APPROVED DESIGN 3/29/2017	PROPOSED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>			
CONSTRUCTION	\$ 489,000	\$ 870,000	\$ 870,000
DESIGN SERVICES	35,000	108,000	108,000
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	13,000	13,000	13,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	5,000	5,000	5,000
MISCELLANEOUS	3,000	4,000	4,000
SUBTOTAL	\$ 545,000	\$ 1,000,000	\$ 1,000,000
PROJECT CONTINGENCY	55,000	100,000	100,000
TOTAL BUDGETED EXPENDITURES	\$ 600,000	\$ 1,100,000	\$ 1,100,000
<u>SOURCE(S) OF FUNDING</u>			
UCONN 2000 FUNDS	\$ 600,000	\$ 1,100,000	\$ 1,100,000
TOTAL BUDGETED FUNDING	\$ 600,000	\$ 1,100,000	\$ 1,100,000

UCONN HEALTH/IMPROVEMENTS
UCONN HEALTH ELEVATOR 24 & 25 MODERNIZATION
AND SILL REPAIRS
Project Budget (Final)
June 28, 2017



Modernization Diagram

ATTACHMENT 30

UConn HEALTH

June 28, 2017

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Executive Vice President for Health Affairs

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

RE: Project Budget for the UConn Health Main Accumulation Building
(Final: \$4,400,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget in the amount of \$4,400,000 for the UConn Health (UCH) Main Accumulation Building.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$4,400,000 of UConn Health funds for the UConn Health (UCH) Main Accumulation Building.”

BACKGROUND:

UConn Health's building for the collection, consolidation, and shipping of hazardous waste materials from research and clinical activities was demolished in late 2012 as part of the site preparation for the Jackson Laboratory for Genomic Medicine. Since that time the waste materials have been handled in temporary areas in the Main Building lab area. The temporary area is undersized and does not provide sufficient storage areas, resulting in less than optimal operating conditions including more frequent shipping and thus increased operating expenses. This project will construct a new building sized at approximately 4,000 gross square feet to establish a new permanent location for the waste handling and shipping activities.

The architect has completed the design and prepared the estimate for the project. The project will be sent out for bids in June and we anticipate starting construction in September and completing the project in 2018. The proposed budget reflects the design estimate for the work and may change based upon the actual bids.

The Final Budget is attached for your consideration and approval. This Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 19, 2017.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCONN HEALTH - MAIN ACCUMULATION BUILDING

	APPROVED PLANNING 12/7/2016	APPROVED DESIGN 3/29/2017	PROPOSED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>			
CONSTRUCTION	\$ 2,080,000	\$ 3,600,000	\$ 3,600,000
DESIGN SERVICES	305,000	305,000	305,000
TELECOMMUNICATIONS	25,000	25,000	25,000
FURNITURE, FIXTURES AND EQUIPMENT	35,000	35,000	35,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	45,000	45,000	45,000
ART	-	-	-
RELOCATION	5,000	5,000	5,000
ENVIRONMENTAL	10,000	10,000	10,000
INSURANCE AND LEGAL	10,000	10,000	10,000
MISCELLANEOUS	10,000	10,000	10,000
SUBTOTAL	\$ 2,525,000	\$ 4,045,000	\$ 4,045,000
PROJECT CONTINGENCY	255,000	355,000	355,000
TOTAL BUDGETED EXPENDITURES	<u>\$ 2,780,000</u>	<u>\$ 4,400,000</u>	<u>\$ 4,400,000</u>
<u>SOURCE(S) OF FUNDING</u>			
UCONN HEALTH FUNDS	<u>\$ 2,780,000</u>	<u>\$ 4,400,000</u>	<u>\$ 4,400,000</u>
TOTAL BUDGETED FUNDING	<u>\$ 2,780,000</u>	<u>\$ 4,400,000</u>	<u>\$ 4,400,000</u>

UCONN HEALTH/IMPROVEMENTS

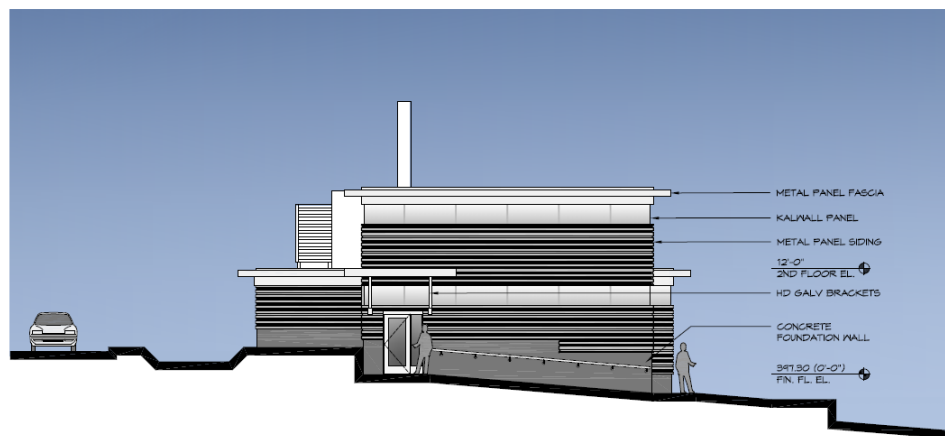
UConn Health Main Accumulation Building

Project Budget (Final)

June 28, 2017



Main Accumulation Building: Site Plan





ATTACHMENT 31

UConn HEALTH

June 28, 2017

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Executive Vice President for Health Affairs

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: \$36,795,000)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$36,795,000 for the Medical School Academic Building Addition and Renovation.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$36,095,000 of UConn 2000 bond funds and \$700,000 of UConn Health or other funds for the UConn Health – Medical School Academic Building Renovations.”

BACKGROUND:

The Board approved a Revised Final Budget in June 2015 in the amount of \$36,050,000 for the addition and renovations to the Medical and Dental Academic Building. An increase to the project budget in the amount of \$745,000 is being requested to cover costs associated with a number of unforeseen field conditions, including the removal of duct work with asbestos mastic and correcting code issues in existing duct shafts. The funds are available from other bond funded projects that were completed under budget.

The construction work began in March 2015 and is complete with the exception of the final phase of work, renovations for the new Wellness Center. The Academic Addition is in use and provides approximately 17,650 sf of new space including the Academic Rotunda, a 216 seat flat floor learning studio and eight new classrooms. The renovation completed to date includes two new Dental School lecture halls, eight new classrooms of varied size, modifications to the Human Anatomy Labs, and newly renovated Medical School administration space.

All work is expected to be complete by October, 2017.

The Revised Final Budget is attached for your consideration and approval. This Revised Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 19, 2017.

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	APPROVED REVISED FINAL 6/24/2015	PROPOSED REVISED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>					
CONSTRUCTION	\$ 20,125,000	\$ 23,900,000	\$ 25,490,000	\$ 25,490,000	\$ 28,490,000
DESIGN SERVICES	2,585,000	3,150,000	3,137,000	3,137,000	3,413,000
TELECOMMUNICATIONS	1,550,000	1,365,000	1,148,000	1,148,000	560,000
FURNITURE, FIXTURES AND EQUIPMENT	1,800,000	2,105,000	1,784,000	1,784,000	1,215,000
CONSTRUCTION ADMINISTRATION	300,000	200,000	200,000	200,000	200,000
OTHER AE SERVICES (including Project Management)	1,400,000	1,145,000	1,125,000	1,125,000	1,463,000
ART	-	-	-	-	-
RELOCATION	45,000	145,000	145,000	145,000	50,000
ENVIRONMENTAL	25,000	150,000	150,000	150,000	100,000
INSURANCE AND LEGAL	25,000	350,000	344,000	844,000	830,000
MISCELLANEOUS	30,000	30,000	90,000	90,000	161,500
OTHER SOFT COSTS	-	-	-	-	-
SUBTOTAL	\$ 27,885,000	\$ 32,540,000	\$ 33,613,000	\$ 34,113,000	\$ 36,482,500
PROJECT CONTINGENCY	2,865,000	3,210,000	1,937,000	1,937,000	312,500
TOTAL BUDGETED EXPENDITURES	<u>\$ 30,750,000</u>	<u>\$ 35,750,000</u>	<u>\$ 35,550,000</u>	<u>\$ 36,050,000</u>	<u>\$ 36,795,000</u>
<u>SOURCE(S) OF FUNDING</u>					
UCONN 2000 FUNDS	\$ 30,750,000	\$ 35,750,000	\$ 35,550,000	\$ 35,350,000	\$ 36,095,000
UCONN HEALTH/OTHER FUNDS	-	-	-	700,000	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>	<u>\$ 36,795,000</u>

UCONN HEALTH/IMPROVEMENTS
UConn Health – Medical School Academic Building
Addition and Renovations
Project Budget (Revised Final)
June 28, 2017



Academic Building Addition




Dental Lecture Halls


ATTACHMENT 32

UConn HEALTH

June 28, 2017

TO: Members of the Board of Trustees

FROM: Andrew Agwunobi, MD, MBA 
Executive Vice President for Health Affairs

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 Final: \$92,514,604)

RECOMMENDATION:

That the Board of Trustees approve the Revised Final Budget in the amount of \$92,514,604 for the UConn Health New Construction and Renovations - Clinic (C) Building Renovations.

RESOLUTION:

“Be it resolved that the Board of Trustees approve the use of \$87,844,604 of UConn 2000 bond funds and \$4,670,000 of UConn Health or other funds for the UConn Health New Construction and Renovations - Clinic (C) Building Renovations.”

BACKGROUND:

As part of the Bioscience Connecticut initiative UConn Health is renovating portions of the Clinic (C) area of the Main Building. The C area, comprised of 345,000 gross square feet over 4 floors, is also the primary entrance to the Main Building and houses the outpatient services that are on the upper campus. The renovations under this project are focused on the Dental Teaching Clinics, the Pat and Jim Calhoun Cardiology Center, Clinical Research, and clinical space for a multi-specialty practice. The work includes various mechanical, electrical and plumbing infrastructure systems that will be replaced as part of the renovations.

The project is approaching 40% complete and work will continue in phases through the end of 2018. The current estimated cost to complete the project exceeds the current budget, therefore we are requesting an increase of \$200,000 to the budget. The funds are available from other bond funded projects that were completed under budget.

The projected overage is attributed to costs to address various unknown existing conditions such as correcting code deficiencies in existing shafts and walls, and abatement hazardous materials. In addition, costs to renovate areas of the clinical pharmacy were expended to enable the operation to remain in place rather than moving it to a new location, an overall saving to the Bioscience Connecticut construction cost, but an added expense to this project.

The Revised Final Budget is attached for your consideration and approval. The Revised Final Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on June 19, 2017.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: UCH NEW CONSTRUCTION AND RENOVATION: CLINIC BUILDING ("C") RENOVATIONS

	APPROVED PLANNING 6/28/2012	APPROVED DESIGN 9/24/2014	APPROVED REVISED DESIGN 6/24/2015	APPROVED FINAL 9/30/2015	APPROVED REVISED FINAL 3/30/2016	PROPOSED REVISED FINAL 6/28/2017
<u>BUDGETED EXPENDITURES</u>						
CONSTRUCTION	\$ 60,100,000	\$ 70,721,000	\$ 63,800,000	\$ 64,800,000	\$ 68,654,604	\$70,145,000
DESIGN SERVICES	6,853,000	6,444,000	7,050,000	7,050,000	7,296,000	7,360,000
TELECOMMUNICATIONS	3,720,000	990,000	990,000	990,000	990,000	975,000
FURNITURE, FIXTURES AND EQUIPMENT	4,082,000	3,462,000	5,298,604	5,298,604	5,288,000	5,245,000
CONSTRUCTION ADMINISTRATION	420,000	420,000	420,000	420,000	420,000	250,000
OTHER AE SERVICES (including Project Management)	2,122,000	2,970,000	3,190,000	3,190,000	3,115,000	3,597,000
ART	-	-	-	-	-	-
RELOCATION	372,000	176,000	176,000	176,000	306,000	345,000
ENVIRONMENTAL	930,000	1,418,000	1,418,000	1,418,000	120,000	250,000
INSURANCE AND LEGAL	75,000	945,000	1,695,000	1,695,000	1,705,000	1,705,000
MISCELLANEOUS	158,000	22,000	22,000	22,000	36,000	55,000
SUBTOTAL	\$ 78,832,000	\$ 87,568,000	\$ 84,059,604	\$ 85,059,604	\$ 87,930,604	\$89,927,000
PROJECT CONTINGENCY	7,883,000	8,758,000	7,255,000	6,255,000	4,384,000	2,587,604
TOTAL BUDGETED EXPENDITURES	<u>\$ 86,715,000</u>	<u>\$ 96,326,000</u>	<u>\$ 91,314,604</u>	<u>\$ 91,314,604</u>	<u>\$ 92,314,604</u>	<u>\$92,514,604</u>
<u>SOURCE(S) OF FUNDING</u>						
UConn 2000 FUNDS	\$ 42,716,000	\$ 72,326,000	\$ 86,644,604	\$ 86,644,604	\$ 87,644,604	\$87,844,604
UConn HEALTH/OTHER FUNDS	43,999,000	24,000,000	4,670,000	4,670,000	4,670,000	4,670,000
TOTAL BUDGETED FUNDING	<u>\$ 86,715,000</u>	<u>\$ 96,326,000</u>	<u>\$ 91,314,604</u>	<u>\$ 91,314,604</u>	<u>\$ 92,314,604</u>	<u>\$92,514,604</u>

UCONN HEALTH/IMPROVEMENTS
UCONN HEALTH NEW CONSTRUCTION AND RENOVATION
– CLINIC (C) BUILDING RENOVATIONS
Project Budget (Revised Final)
June 28, 2017



Dental School Teaching Clinics



Renovations to the Main Building Lobby

ATTACHMENT 33



TO: Members of the Board of Trustees

FROM: Joshua R. Newton, President & CEO, UConn Foundation

DATE: June 28, 2017

RE: UConn Foundation FY 17 update and progress report as of April 30th

The Foundation's fundraising total for this fiscal year, through April 30th, is approximately \$43.5 million. At the end of April, we were also approaching 20,000 total donors for the fiscal year, an important threshold to maintain as we transition away from the traditional – and increasingly antiquated – donor acquisition methods of the past to highly customized digital strategies.

There is positive news to share regarding our Principal Gift pipeline – gifts of \$500,000+. We are currently tracking more than 14 Principal Gift opportunities, and of those, we are confident that the Foundation will secure at least \$12M in commitments by fiscal year end. Furthermore, the pipeline for next fiscal year is robust. As of this report, there are 47 expected and planned solicitations for FY '18 totaling more than \$131 million, including two gift proposals exceeding \$20 million.

In the meantime, the Foundation and the University continue to assess how to improve efficiency and effectiveness with regards to institutional advancement. To that end, we're gratified that the effort to transition the UConn Law School Foundation's operations to the UConn Foundation is progressing. In March our Board of Director's approved the measure. Now the University administration is recommending that the Board of Trustees authorize the University to collaborate with the UConn Law School Foundation and the UConn Foundation in coordinating the orderly transition of the Law School Foundation's operations to the UConn Foundation. The transition is expected to create operational efficiencies that will result in enhanced fundraising and deeper engagement among alumni of the Law School and the University in the years to come.

The transition is expected to result in, among other things, the Law School Foundation transferring its endowment and related assets to the UConn Foundation, and the UConn Foundation maintaining and administering such funds and assets in support of the Law School pursuant to any donor imposed use restrictions and the requirements of the University's Master Agreement with the UConn Foundation.

We continue to examine if the Foundation and its donors are ready for a major campaign initiative. The firm Alexander Haas is nearly done compiling its Campaign Readiness Assessment and I look forward to sharing the results with you upon completion. I should note that the University is reimbursing the Foundation for costs incurred in connection with the feasibility study and its initial recommendations.

Finally, Spring for the UConn Alumni Relations team continued to be a very busy time. In April, we successfully launched UConn Cares - a month of community service, for our alumni networks across the country. This year we had 22 events nationally with 348 participants that yielded 720 volunteer hours which directly impacted more than 5,000 people. We're planning for this to become an annual event that engages more of UConn Nation every year.

Alumni Relations also elevated the UConn Legacy program, offering a pinning ceremony to new legacies in the fall, and presenting legacy medals to 150 graduates and their families during Commencement Weekend. Another highlight was the re-envisioned White Coat Gala in April, raising \$400k for the Center on Aging and UConn Health.

As is evidenced by the activity reported above, it is a busy time for the entire Foundation. I remain grateful for the University's partnership as we work to strengthen UConn one relationship at a time.

INFORMATIONAL ITEMS

University of Connecticut Department of Human Resources
New Hires Processed from April 3, 2017 to June 8, 2017
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
Andrada, Kiyomi K	UCP 05-Admin Coordinator	Financial Aid	5/12/2017
Arrington, Bridget A	UCP 08-Comp Prog/Analyst 2	IT Enterprise Admin Systems	4/14/2017
Ball-Jones, Alexi A	UCP 05-EH&S Specialist 1	Environmental Hlth and Safety	4/3/2017
Burney, Shaheer	U Post Doc Fel 1	Agricultural and Resource Econ	5/1/2017
Chillious, Raphael	Specialist IIA	Athletics MI Basketball	3/27/2017
Daniel, Carlos E	Specialist IA	Athletics Strength Center	4/11/2017
Dong, Lulu	UCP 07-International Advisor	Intl Student and Scholar Svcs	5/26/2017
Durelli, Jennifer E	UCP 07-Budget Analyst 2	Budget and Planning	5/26/2017
Egan, Alexis	UCP 03-Program Asst I	Orientation Services	5/12/2017
Erlandsen, Heidi	Academic Asst 3	Ctr Open Research Resrcs/Equip	4/17/2017
Eskin, Jodi M	UCP 05-Program Coordinator	Enrichment Programs	4/28/2017
Farney, Della L	UCP 08-Comp Prog/Analyst 2	University Libraries	5/12/2017
Fernandez, Chester E	UCP 06-Career Consultant	Law	4/28/2017
Gangi, Michael J	Research Asst 3	Civil and Environ Engineering	5/26/2017
Gorman, Lisa A	UCP 05-Financial Asst 2	Graduate Education	4/14/2017
Gu, Dan	U Post Doc Fel 1	Pathobiology	3/1/2017
Hauver, Scott	UCP 08-Asst Dir Dining Svcs	Dining Services	5/26/2017
Hawkins, Virginia E	U Post Doc Fel 1	Physiology and Neurobiology	5/1/2017
Hurley, Nicholas J	UCP 05-U Library Asst 2	University Libraries	5/26/2017
Jaiswal, Devina	U Post Doc Fel 1	Biomedical Engineering	5/26/2017
Jana, Asis K	U Post Doc Fel 1	Molecular and Cell Biology	5/11/2017
Klaben, James T	UCP 08-Info Systems Analyst 3	Finance Systems	5/26/2017
Landolina, Susan H	UCP 06-Program Administrator	Business	4/28/2017
Maiello, Christopher J	Specialist IIA	Athletics MI Swimming	5/2/2017
March, Michelle J	UCP 09-Sr Comp Prog/Analyst	IT Enterprise Admin Systems	5/26/2017
Markow, Irene	Research Asst 3	Electrical and Computer Engr	5/19/2017
McCauley, Molly E	UCP 04-Technical Asst 1	Pathobiology	5/5/2017
McNeal, Jennifer S	UCP 07-Grants & Contr Spec 2	Sponsored Programs	5/12/2017
Mulvey, Emma J	UCP 04-Admin Serv Specialist 2	Sponsored Programs	5/12/2017

University of Connecticut Department of Human Resources
New Hires Processed from April 3, 2017 to June 8, 2017
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATE
Nolta, Nicholas	U Post Doc Fel 1	Biomedical Engineering	4/12/2017
Ramirez Medina, Elizabeth	Research Asst 1	Pathobiology	4/10/2017
Rogers, Elliot	Research Asst 1	Social Work Instruct and Rsrch	5/26/2017
Sawstrom van Schalkwyk, Birgit E	UCP 04-Admin Services Asst 3	Biomedical Engineering	5/26/2017
Shkempi, Bruno	Research Asst 1	InCHIP	4/28/2017
Soltys, Christie E	UCP 04-Program Asst 2	Enrichment Programs	5/22/2017
Stankiewicz, Alexander	U Post Doc Fel 1	Physics	5/26/2017
Syme, Kimberly M	UCP 05-Animal Care Specialist	Animal Science	5/24/2017
Tyczkowski, John C	UCP 04-Publicity/Mktg Coord	Nursing	4/14/2017
Wen, Liaoyong	U Post Doc Fel 1	Materials Science Institute	5/15/2017
White, Christopher M	Specialist IA	Athletics MI Football	3/20/2017
Wilde, Amanda	UCP 05-Admin Coordinator	ISS 1st Yr Prog and Learn Cmty	5/26/2017
Wu, Xiulan	Research Asst 2	Social Work Instruct and Rsrch	4/12/2017
Xia, Dengning	U Post Doc Fel 1	Pharmaceutical Science	3/13/2017
Ziegegeist, Carrie	UCP 05-Dining Serv Ar Asst Mgr	Dining Services	5/26/2017
Zuppani, Catherine	UCP 07-Business Manager 2	Athletics Facilities Ops	5/12/2017

University of Connecticut Department of Human Resources
Separations Processed from April 3, 2017 to June 8, 2017
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Ahimsa, Michael N	UCP 07-Program Assoc	Resigned In Good Standing	Students with Disabilities Ctr	4/4/2017
Asselin, Rae A	UCP 05-Admin Coordinator	Resigned In Good Standing	CT Entrepreneurship Innov Ctr	5/20/2017
Babb, Ivar G	Research Assoc 1	Voluntary Retirement	NURTEC	5/1/2017
Boyd, Jennifer J	Research Asst 3	Non-perm Appt Ended	InCHIP	4/1/2017
Calande III, John J	UCP 08-Comp Prog/Analyst 2	Non-perm Appt Ended	IT Enterprise Admin Systems	3/14/2017
Carrafiello, Vincent A	Professor	Voluntary Retirement	Marketing	4/1/2017
Chen, Shutang	U Post Doc Fel 1	Resigned In Good Standing	Chemistry	4/1/2017
Chiriboga, Christian A	Visiting Asst Ext Educator	Resigned In Good Standing	Plant Sci and Landscape Arch	4/18/2017
Crutchfield, Nathaniel	UCP 05-Ticket Manager	Resigned In Good Standing	Athletics Tickets	4/29/2017
Desmarais, Matthew	UCP 08-Comp Prog/Analyst 2	Resigned In Good Standing	Computer Sci and Engineering	4/14/2017
Dixit, Chandra K	U Post Doc Fel 1	Resigned In Good Standing	Chemistry	5/1/2017
Gallup, Sandra L	UCP 09-University Librarian 3	Voluntary Retirement	University Libraries	5/1/2017
Gleason, Shannon C	U Post Doc Fel 1	Non-perm Appt Ended	Africana Studies Institute	5/23/2017
Goldberg, Robert L	Head Coach (Specialist IIIA)	Voluntary Retirement	Athletics MI Swimming	5/1/2017
Hast, Dorothea	UCP 07-Program Specialist 2	Voluntary Retirement	Education Abroad	5/1/2017
Herindeen, Debra A	UCP 07-SHS Clinical Lab Sup	Voluntary Retirement	Student Health Services	4/1/2017
Howe, John E	UCP 07-Program Manager	Resigned In Good Standing	UTC Inst Advanced Systems Engr	4/15/2017
Irmscher, Denise M	UCP 07-Business Manager 2	Voluntary Retirement	Information Services Admin	4/1/2017
Jessen, Paula	UCP 06-SHS Nurse	Voluntary Retirement	Student Health Services	4/1/2017
Jiang, Kewa	Research Asst 1	Non-perm Appt Ended	Physiology and Neurobiology	5/7/2017
Ke, Kai	U Post Doc Fel 1	Resigned In Good Standing	Mechanical Engineering	4/2/2017
Kessler, Priscilla C	UCP 07-Fiscal Manager	Voluntary Retirement	Student Health Services	4/1/2017
Khanday, Mudasir A	U Post Doc Fel 1	Resigned In Good Standing	Physiology and Neurobiology	5/30/2017
Koenig, Rita G	UCP 08-Program Director	Voluntary Retirement	Stamford Campus	4/1/2017
Kort, Maximilian H	UCP 05-Admin Services Spec 3	Resigned In Good Standing	Intl Student and Scholar Svcs	4/28/2017
Krishnan, Sridevi	U Post Doc Fel 1	Resigned In Good Standing	Materials Science Institute	5/2/2017
Leviton, Blaize	UCP 06-Program Specialist 1	Resigned In Good Standing	Emergency Management	5/6/2017
Ludiker, Keara R	UCP 04-Program Asst 2	Resigned In Good Standing	Aerospace Studies	5/26/2017
MacDonald, Neil R	UCP 09-Network Technician 3	Voluntary Retirement	IT Network Engr and Design	4/1/2017

University of Connecticut Department of Human Resources
Separations Processed from April 3, 2017 to June 8, 2017
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	SEPARATION REASON	DEPARTMENT	DATE
Mathieu, Karen	UCP 07-Program Manager	Resigned In Good Standing	Full-Time MBA Program	3/17/2017
Misipeka, Lisa V	Asst Coach (Specialist IA)	Resigned In Good Standing	Athletics WI Track/Cross Ctry	4/5/2017
Myles, Timothy D	U Post Doc Fel 1	Resigned In Good Standing	Clean Energy Engineering Ctr	4/1/2017
Niejako, Joyce	UCP 07-Grants & Contr Spec 2	Voluntary Retirement	Sponsored Programs	5/1/2017
Nixon, Scott	U Technician 2	Resigned In Good Standing	Human Resources	4/7/2017
Noh, Yeonsik	U Post Doc Fel 1	Non-perm Appt Ended	Biomedical Engineering	5/23/2017
Obeysekara, Piyumi T	U Post Doc Fel 1	Non-perm Appt Ended	Plant Sci and Landscape Arch	3/18/2017
Phillips, John	Assoc Professor	Voluntary Retirement	Accounting	4/1/2017
Pisarz, Christopher P	UCP 07-Business Consultant	Resigned In Good Standing	CT Small Bus Development Ctr	4/15/2017
Questel, Jennifer M	U Post Doc Fel 1	Non Renewal Of Contract	Marine Sciences	5/25/2017
Rawlinson, Dawn A	UCP 03-Program Asst I	Voluntary Retirement	Physics	5/1/2017
Rezuke, Jeanne L	UCP 06-SHS Nurse	Voluntary Retirement	Student Health Services	5/1/2017
Ross, Jenna E	Specialist IA	Resigned In Good Standing	Athletics Women Intercollegiat	5/19/2017
Smith-Michnowicz, Tracy M	UCP 05-Master Teacher CDL	Resigned In Good Standing	Human Development Child Labs	5/1/2017
Thibeault, Jeanne M	U Post Doc Fel 1	Non Renewal Of Contract	Geography	4/11/2017
Tietjen, Christopher T	UCP 09-Facilities Prof 3	Resigned In Good Standing	Utility Plant Operations	3/31/2017
Tikoo, Minakshi	Research Professor	Resigned In Good Standing	Nursing Instruct and Research	4/7/2017
Van Patten, Margaret A	UCP 09-Publicity/Mrkg Director	Voluntary Retirement	Sea Grant College Program	4/1/2017
Vorotyntseva, Natalia	U Post Doc Fel 1	Resigned In Good Standing	Geography	5/24/2017
Walsh, Cynthia	UCP 10-SHS APRN	Voluntary Retirement	Student Health Services	5/1/2017
Warren, Constance H	UCP 04-Admin Serv Specialist 2	Voluntary Retirement	IT User Services	5/1/2017
Wright, Alexander T	UCP 03-Program Asst I	Resigned In Good Standing	Liberal Arts and Sciences	4/7/2017
Zhang, Li	U Post Doc Fel 1	Resigned In Good Standing	Physiology and Neurobiology	6/7/2017

Leaves of Absence Processed through 06/08/2017
Presented to the Board of Trustees for Information on Professional Employees

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Armington,Shoshana Faith	UCP 05-Academic Advisor 1	Engineering Undergrad Prog	4/10/2017	4/13/2017	Maternity Leave	Paid
Armington,Shoshana Faith	UCP 05-Academic Advisor 1	Engineering Undergrad Prog	4/17/2017	4/24/2017	Maternity Leave	Paid
Bailey,John E	UCP 06-Graphic Designer/III 3	University Comm	4/17/2017	4/17/2017	Medical Leave	Paid
Bailey,John E	UCP 06-Graphic Designer/III 3	University Comm	5/5/2017	5/5/2017	Medical Leave	Paid
Bailey,John E	UCP 06-Graphic Designer/III 3	University Comm	5/17/2017	5/17/2017	Medical Leave	Paid
Bailey,John E	UCP 06-Graphic Designer/III 3	University Comm	5/26/2017	5/31/2017	Medical Leave	Paid
Bajger,Marie L	UCP 03-Program Asst I	Admissions	6/8/2017	6/8/2017	Medical Leave	Paid
Barnes-Farrell, Janet	Professor	Psychology	1/20/2017	2/28/2017	Medical Leave	Paid
Bartlett,Kelly L	UCP 07-Academic Couns/Coord	Waterbury Campus	4/18/2017	4/18/2017	Medical Leave	Paid
Bartlett,Kelly L	UCP 07-Academic Couns/Coord	Waterbury Campus	5/15/2017	5/15/2017	Medical Leave	Paid
Battle-Lawson,Dominique A	UCP 05-Academic Advisor 1	Education	4/10/2017	4/13/2017	Maternity Leave	Paid
Battle-Lawson,Dominique A	UCP 05-Academic Advisor 1	Education	4/17/2017	4/26/2017	Maternity Leave	Paid
Beckwith,Shayna C	UCP 07-University Accountant 2	Accounting Office	4/13/2017	4/13/2017	Medical Leave	Paid
Bedard,Melissa R	UCP 03-Financial Aid Analyst	Financial Aid	5/17/2017	5/17/2017	Medical Leave	Paid
Bellizzi, Keith	Associate Professor	Human Dev and Fam Studies	8/23/2016	8/22/2017	Other - National Cancer Inst.	Paid
Bennett,Michael	UCP 09-University Librarian 3	University Libraries	4/20/2017	4/20/2017	Medical Leave	Paid
Bergman, David	Assistant Professor	School of Business	8/23/2016	7/28/2017	Personal Leave	Unpaid
Bernobich,Helen E	UCP 09-Sr Computer Prog/Anal	Liberal Arts and Sciences	5/22/2017	5/24/2017	Medical Leave	Paid
Bernstein, Mary	Professor	Sociology	8/23/2016	9/25/2016	Medical Leave	Paid
Bey,Mary	UCP 06-SHS Nurse	Student Health Svcs	4/18/2017	4/24/2017	Medical Leave	Paid
Bey,Mary	UCP 06-SHS Nurse	Student Health Svcs	5/10/2017	5/10/2017	Medical Leave	Paid
Bhattacharjee, Sudip	Professor	School of Business	8/23/2016	5/22/2018	Other - Intergovernmental Personnel Act assignment	Paid
Biron,Alexa B	UCP 08-Writer/Editor 4	University Comm	4/13/2017	4/13/2017	Medical Leave	Paid
Bobaljik, Jonathan	Professor	Linguistics	1/16/2018	5/22/2018	Research Leave - Guggenheim Fellowship	Partial Pay - 51%
Boggis,Renee	U Staff Professional 4	Human Resources	4/18/2017	4/27/2017	Medical Leave	Paid
Boggis,Renee	U Staff Professional 4	Human Resources	5/2/2017	5/8/2017	Medical Leave	Paid
Boggis,Renee	U Staff Professional 4	Human Resources	5/15/2017	5/25/2017	Medical Leave	Paid
Bone,Donna	UCP 07-Business Manager 2	Ed Curriculum and Instr	4/20/2017	4/26/2017	Medical Leave	Paid
Bone,Donna	UCP 07-Business Manager 2	Ed Curriculum and Instruction	6/7/2017	6/7/2017	Medical Leave	Paid
Cai, Meina	Assistant Professor	Political Science	10/4/2016	11/14/2016	Maternity Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Carrafiello, Vincent	Professor	Marketing	9/15/2016	3/1/2017	Medical Leave	Paid
Cavanna, Jillian	Post Doc	NEAG, Curriculum and Instruction	1/23/2017	3/19/2017	Maternity Leave	Paid
Cavanna, Jillian	Post Doc	NEAG, Curriculum and Instruction	3/20/2017	4/23/2017	Parental Leave	Unpaid
Ceccarelli,Gail A	UCP 10-Comp Tech Supp Cons 4	IT Enterprise Admin Systems	5/19/2017	5/24/2017	Medical Leave	Paid
Celli, Andrea	Assistant Professor	Literature, Cultures and Languages	8/23/2016	9/25/2016	Parental Leave	Unpaid
Chartier,Carolyn	UCP 04-Admin Serv Specialist 2	Information Services Admin	4/13/2017	4/13/2017	Medical Leave	Paid
Chartier,Carolyn	UCP 04-Admin Serv Specialist 2	Information Services Admin	4/17/2017	4/27/2017	Medical Leave	Paid
Chartier,Carolyn	UCP 04-Admin Serv Specialist 2	Information Services Admin	4/28/2017	4/28/2017	Medical Leave	Paid
Chartier,Carolyn	UCP 04-Admin Serv Specialist 2	Information Services Admin	5/31/2017	6/6/2017	Medical Leave	Paid
Chen,Jia Jia	UCP 05-Admin Services Spec 3	Business	4/10/2017	4/10/2017	Maternity Leave	Paid
Cobb, William	Associate Professor	History	8/23/2016	8/22/2017	Personal Leave	Unpaid
Cole,Nikki	UCP 08-Executive Asst 1	Veteran Military Prog and Svcs	4/17/2017	4/19/2017	Medical Leave	Paid
Collins,Jeffrey	UCP 07-Dining Svcs Area Mgr	Dining Services	4/21/2017	4/25/2017	Medical Leave	Paid
Cote,Leslie H	UCP 09-PROCURE SVCS SR SPEC	Procurement Svcs	4/24/2017	4/24/2017	Medical Leave	Paid
Cote,Leslie H	UCP 09-PROCURE SVCS SR SPEC	Procurement Svcs	5/4/2017	5/11/2017	Medical Leave	Paid
Crouch,Nancy B	UCP 08-Program Director	Business PhD Program	5/22/2017	5/22/2017	Medical Leave	Paid
Cuevas, Kimberly	Assistant Professor	Psychological Sciences	3/23/2017	5/3/2017	Maternity Leave	Paid
Darius,Jennifer D	UCP 05-Ticket Manager	Jorgensen Performing Arts Ctr	4/17/2017	4/26/2017	Medical Leave	Paid
Darius,Jennifer D	UCP 05-Ticket Manager	Jorgensen Performing Arts Ctr	5/5/2017	5/10/2017	Medical Leave	Paid
Darius,Jennifer D	UCP 05-Ticket Manager	Jorgensen Performing Arts Ctr	6/6/2017	6/6/2017	Medical Leave	Paid
Decandia,Julie L	UCP 08-Systems Administrator 2	Admissions	5/24/2017	5/24/2017	Medical Leave	Paid
Delage,Danielle T	UCP 06-Program Specialist 1	Environmental Hlth and Safety	6/7/2017	6/8/2017	Maternity Leave	Paid
Desjardin,Shelly	UCP 03-Program Asst I	CT Transportation Institute	5/8/2017	5/8/2017	Medical Leave	Paid
Desjardin,Shelly	UCP 03-Program Asst I	CT Transportation Institute	5/16/2017	5/16/2017	Medical Leave	Paid
Desjardin,Shelly	UCP 03-Program Asst I	CT Transportation Institute	5/26/2017	5/26/2017	Medical Leave	Paid
DeVeaux,Shanelle M	UCP 05-EH&S Specialist 1	Environmental Hlth and Safety	5/22/2017	5/25/2017	Maternity Leave	Paid
DeVeaux,Shanelle M	UCP 05-EH&S Specialist 1	Environmental Hlth and Safety	5/22/2017	5/25/2017	Medical Leave	Paid
DeVeaux,Shanelle M	UCP 05-EH&S Specialist 1	Environmental Hlth and Safety	5/26/2017	6/1/2017	Maternity Leave	Paid
Diaz,Doraly	UCP 04-Admin Serv Specialist 2	Payroll	5/15/2017	5/24/2017	Medical Leave	Paid
Disharoon,Cheryl L	UCP 09-OSD Consl & Project Mgr	Social Work	4/21/2017	4/21/2017	Medical Leave	Paid
Disharoon,Cheryl L	UCP 09-OSD Consl & Project Mgr	Social Work	5/2/2017	5/11/2017	Medical Leave	Paid
Disharoon,Cheryl L	UCP 09-OSD Consl & Project Mgr	Social Work	5/24/2017	5/24/2017	Medical Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Disharoon, Cheryl L	UCP 09-OSD Consl & Project Mgr	Social Work	5/26/2017	5/26/2017	Medical Leave	Paid
Dobbins, Penny L	UCP 06-Laboratory Supervisor	Physiology and Neurobiology	5/18/2017	5/25/2017	Medical Leave	Paid
Dobbins, Penny L	UCP 06-Laboratory Supervisor	Physiology and Neurobiology	5/26/2017	6/8/2017	Medical Leave	Paid
Dowden, Joseph C	UCP 09-Oper Sys Prog/Anal 3	Liberal Arts and Sciences	5/9/2017	5/9/2017	Medical Leave	Paid
Dowden, Joseph C	UCP 09-Oper Sys Prog/Anal 3	Liberal Arts and Sciences	5/18/2017	5/18/2017	Medical Leave	Paid
Earp, Rebecca Lynn	Assistant Professor in Residence	Kinesiology	3/5/2017	4/15/2017	Maternity Leave	Paid
Ephraim, Lisa Beth	UCP 05-Academic Advisor 1	Engineering Undergrad Prog	5/2/2017	5/5/2017	Medical Leave	Paid
Ephraim, Lisa Beth	UCP 05-Academic Advisor 1	Engineering Undergrad Prog	5/16/2017	5/25/2017	Medical Leave	Paid
Ephraim, Lisa Beth	UCP 05-Academic Advisor 1	Engineering Undergrad Prog	5/31/2017	6/8/2017	Medical Leave	Paid
Fletcher, Lois P	UCP 08-Univ Library Asst 4	University Libraries	5/19/2017	5/25/2017	Medical Leave	Paid
Franklin Jr, Michael	UCP 08-Purchasing Agent 2	Procurement Svcs	4/17/2017	4/17/2017	Medical Leave	Paid
Franklin Jr, Michael	UCP 08-Purchasing Agent 2	Procurement Svcs	5/4/2017	5/4/2017	Medical Leave	Paid
Franklin Jr, Michael	UCP 08-Purchasing Agent 2	Procurement Svcs	6/5/2017	6/6/2017	Medical Leave	Paid
Garran, Ann Marie	Associate Professor	Social Work	8/23/2016	10/11/2016	Medical Leave	Paid
Garran, Ann Marie	Associate Professor	Social Work	10/12/2016	1/10/2017	Reduced Schedule Medical Leave	Paid
Giroto, Jennifer	Associate Clinical Professor	Pharmacy	8/8/2016	9/20/2016	Maternity Leave	Paid
Gleason, Roger A	UCP 07-Facilities Prof 2	Planning, Design and Construct	5/31/2017	6/2/2017	Medical Leave	Paid
Griffin, Nancy J	U Ed Asst 2	Instit Rsrch and Effectiveness	4/21/2017	4/21/2017	Medical Leave	Paid
Griffin, Nancy J	U Ed Asst 2	Instit Rsrch and Effectiveness	5/12/2017	5/19/2017	Medical Leave	Paid
Guarino, Catherine Farrell	UCP 06-Academic Advisor 2	Htfd Student and Bus Svcs	5/18/2017	5/25/2017	Maternity Leave	Paid
Guarino, Catherine Farrell	UCP 06-Academic Advisor 2	Htfd Student and Bus Svcs	5/26/2017	6/8/2017	Maternity Leave	Paid
Hastillo, Abigail W	UCP 07-Program Specialist 2	Education Abroad	6/8/2017	6/8/2017	Medical Leave	Paid
Heller, Nina R	Dean	Social Work	6/7/2017	6/8/2017	Medical Leave	Paid
Hessing, Bruce	UCP 05-Dining Serv Ar Asst Mgr	Dining Services	4/13/2017	4/13/2017	Medical Leave	Paid
Hessing, Bruce	UCP 05-Dining Serv Ar Asst Mgr	Dining Services	4/17/2017	4/19/2017	Medical Leave	Paid
Hollyway, Halina K	UCP 08-Program Director	Stamford Campus	4/21/2017	4/21/2017	Medical Leave	Paid
Hollyway, Halina K	UCP 08-Program Director	Stamford Campus	4/28/2017	5/5/2017	Medical Leave	Paid
Houseman Jr, David	UCP 09-Bldg Inspec & Comp Off	Fire Marshal and Bldg Inspect	4/24/2017	4/24/2017	Medical Leave	Paid
Howlett, Barbara L	UCP 04-Technical Asst 1	Pathobiology	4/12/2017	4/12/2017	Medical Leave	Paid
Howlett, Barbara L	UCP 04-Technical Asst 1	Pathobiology	4/19/2017	4/19/2017	Medical Leave	Paid
Howlett, Barbara L	UCP 04-Technical Asst 1	Pathobiology	5/24/2017	5/24/2017	Medical Leave	Paid
Howlett, Kimberly R	UCP 05-Dining Serv Ar Asst Mgr	Dining Services	6/5/2017	6/5/2017	Medical Leave	Paid
Huedo-Madina, Tania	Assistant Professor	Allied Health	3/10/2017	5/21/2017	Medical Leave	Paid
Jackson, Kathleen V	UCP 06-SHS Nurse	Student Health Svcs	4/10/2017	4/13/2017	Medical Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Jackson,Kathleen V	UCP 06-SHS Nurse	Student Health Svcs	4/17/2017	4/27/2017	Medical Leave	Paid
Jackson,Kathleen V	UCP 06-SHS Nurse	Student Health Svcs	4/28/2017	5/11/2017	Medical Leave	Paid
Jackson,Kathleen V	UCP 06-SHS Nurse	Student Health Svcs	5/12/2017	5/25/2017	Medical Leave	Paid
Jackson,Kathleen V	UCP 06-SHS Nurse	Student Health Svcs	5/26/2017	6/8/2017	Medical Leave	Paid
Jordan,Ann R	UCP 08-Asst Finance Dir 1	Procurement Svcs	5/3/2017	5/9/2017	Medical Leave	Paid
Jordan,Ann R	UCP 08-Asst Finance Dir 1	Procurement Svcs	5/15/2017	5/15/2017	Medical Leave	Paid
Kaeb, Caroline	Assistant Professor	Marketing	2/10/2017	4/16/2017	Medical Leave	Paid
Kelly,Andrea S	UCP 05-Admin Coordinator	Sea Grant College Program	5/1/2017	5/10/2017	Medical Leave	Paid
Kelly,Andrea S	UCP 05-Admin Coordinator	Sea Grant College Program	5/22/2017	5/23/2017	Medical Leave	Paid
Kelly,Andrea S	UCP 05-Admin Coordinator	Sea Grant College Program	5/30/2017	6/6/2017	Medical Leave	Paid
Kemp,Dawn M	UCP 06-Business Manager 1	Environmental Hlth and Safety	4/10/2017	4/13/2017	Medical Leave	Paid
Kemp,Dawn M	UCP 06-Business Manager 1	Environmental Hlth and Safety	4/17/2017	4/27/2017	Medical Leave	Paid
Kemp,Dawn M	UCP 06-Business Manager 1	Environmental Hlth and Safety	5/9/2017	5/10/2017	Medical Leave	Paid
Kornegay,Shawn	UCP 06-Publicity/Mktg Admin	Education	4/26/2017	4/26/2017	Medical Leave	Paid
Krieger,Kimberly	UCP 07-Univ Relations Assoc	University Comm	5/15/2017	5/16/2017	Medical Leave	Paid
Kvale, Helene	Assistant Professor in Residence	Dramatic Arts	8/23/2017	8/22/2018	Personal Leave	Unpaid
Ladani, Leila	Associate Professor	Mechanical Engineering	8/23/2016	8/22/2017	Personal Leave	Unpaid
Lee,Marsha M	UCP 07-University Librarian 2	Library Access Svcs	4/10/2017	4/13/2017	Medical Leave	Paid
Lee,Marsha M	UCP 07-University Librarian 2	Library Access Svcs	4/17/2017	4/27/2017	Medical Leave	Paid
Lee,Marsha M	UCP 07-University Librarian 2	Library Access Svcs	4/28/2017	5/11/2017	Medical Leave	Paid
Lee,Marsha M	UCP 07-University Librarian 2	Library Access Svcs	5/12/2017	5/12/2017	Medical Leave	Paid
Lewis,Kyle R	UCP 03-Technical Records Coord	Liberal Arts and Sciences	5/4/2017	5/11/2017	Medical Leave	Paid
Lewis,Kyle R	UCP 03-Technical Records Coord	Liberal Arts and Sciences	5/18/2017	5/25/2017	Medical Leave	Paid
Lewis,Kyle R	UCP 03-Technical Records Coord	Liberal Arts and Sciences	6/1/2017	6/8/2017	Medical Leave	Paid
Li, Na	Post Doc	School of Engineering	5/16/2016	6/21/2016	Medical Leave	Unpaid
Lillo-Martin, Diane	Professor	Linguistics	2/3/2017	3/19/2017	Medical Leave	Paid
Long,James M	UCP 05-SA Coordinator RC	Waterbury Campus	5/8/2017	5/8/2017	Medical Leave	Paid
Long,James M	UCP 05-SA Coordinator RC	Waterbury Campus	5/16/2017	5/16/2017	Medical Leave	Paid
Long,Michelle L	UCP 07-Fiscal Manager	University Comm	5/5/2017	5/11/2017	Medical Leave	Paid
Long,Michelle L	UCP 07-Fiscal Manager	University Comm	5/12/2017	5/12/2017	Medical Leave	Paid
Lowe,Cheryl A	UCP 03-Program Asst I	Educational Psychology	4/12/2017	4/12/2017	Medical Leave	Paid
Lowe,Cheryl A	UCP 03-Program Asst I	Educational Psychology	4/20/2017	4/27/2017	Medical Leave	Paid
Lowe,Cheryl A	UCP 03-Program Asst I	Educational Psychology	5/1/2017	5/11/2017	Medical Leave	Paid
Lowe,Cheryl A	UCP 03-Program Asst I	Educational Psychology	5/12/2017	5/25/2017	Medical Leave	Paid
Maliga,Jacqueline Marie	UCP 05-Financial Asst 2	Pharmacy	6/12/2017	6/22/2017	Maternity Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Maliga,Jacqueline Marie	UCP 05-Financial Asst 2	Pharmacy	6/23/2017	7/6/2017	Maternity Leave	Paid
Manton,Mary A	UCP 12-SHS Physician 2	Student Health Svcs	5/2/2017	5/2/2017	Medical Leave	Paid
Manton,Mary A	UCP 12-SHS Physician 2	Student Health Svcs	5/12/2017	5/23/2017	Medical Leave	Paid
Marquis,Joan E	UCP 09-Data Base Admin 2	IT Enterprise Admin Systems	5/2/2017	5/11/2017	Medical Leave	Paid
Marquis,Joan E	UCP 09-Data Base Admin 2	IT Enterprise Admin Systems	5/12/2017	5/12/2017	Medical Leave	Paid
Matson,Kirk J	UCP 05-Theater Production Mgr	Music	4/11/2017	4/13/2017	Medical Leave	Paid
Matson,Kirk J	UCP 05-Theater Production Mgr	Music	4/26/2017	4/26/2017	Medical Leave	Paid
McBrearty, Sally	Professor	Anthropology	9/12/2015	2/26/2016	Medical Leave	Paid
McClane, Jeremy	Associate Professor	Law	8/28/2017	12/21/2017	Other Leave - Visiting University of Illinois	Paid
McGinnis,Holly	UCP 04-Technical Asst 1	Pathobiology	4/10/2017	4/10/2017	Medical Leave	Paid
McGinnis,Holly	UCP 04-Technical Asst 1	Pathobiology	4/19/2017	4/24/2017	Medical Leave	Paid
McGinnis,Holly	UCP 04-Technical Asst 1	Pathobiology	5/8/2017	5/8/2017	Medical Leave	Paid
McGinnis,Holly	UCP 04-Technical Asst 1	Pathobiology	5/15/2017	5/15/2017	Medical Leave	Paid
McNeil,Erika H	UCP 09-University Librarian 3	University Libraries	4/20/2017	4/20/2017	Medical Leave	Paid
McNeil,Erika H	UCP 09-University Librarian 3	University Libraries	5/24/2017	5/24/2017	Medical Leave	Paid
McNerney, Megan	Research Assistant III	Psychological Sciences	4/20/2017	5/31/2017	Maternity Leave	Unpaid
McSweeney,Joyce	U Ed Asst 2	Nursing	6/6/2017	6/8/2017	Medical Leave	Paid
Mejias,Maria I	UCP 04-Admin Serv Specialist 2	Materials Science Inst	4/10/2017	4/10/2017	Medical Leave	Paid
Mejias,Maria I	UCP 04-Admin Serv Specialist 2	Materials Science Inst	4/19/2017	4/19/2017	Medical Leave	Paid
Mejias,Maria I	UCP 04-Admin Serv Specialist 2	Materials Science Inst	5/4/2017	5/4/2017	Medical Leave	Paid
Mills,Carolyn V	UCP 10-Univ Librarian 4	University Libraries	5/12/2017	5/12/2017	Medical Leave	Paid
Misset,Kathleen M	UCP 09-OSD Consl & Project Mgr	Social Work Instr and Rsrch	4/27/2017	4/27/2017	Medical Leave	Paid
Misset,Kathleen M	UCP 09-OSD Consl & Project Mgr	Social Work Instr and Rsrch	5/1/2017	5/11/2017	Medical Leave	Paid
Misset,Kathleen M	UCP 09-OSD Consl & Project Mgr	Social Work Instr and Rsrch	5/17/2017	5/22/2017	Medical Leave	Paid
Mobley, Amy	Assistant Professor	Nutritional Science	4/7/2017	4/30/2017	Medical Leave	Paid
Mulat, Worku	Assistant Research Professor	Civil and Environ Engineering	5/5/2017	5/22/2017	Medical Leave	Paid
Naples, Nancy	Distinguished Professor	Sociology	2/23/2017	5/22/2017	Medical Leave	Paid
Nelson,Jean C	UCP 08-Writer/Editor 4	University Libraries	5/15/2017	5/19/2017	Medical Leave	Paid
Nelson,Jean C	UCP 08-Writer/Editor 4	University Libraries	6/5/2017	6/5/2017	Medical Leave	Paid
Newlin-Lew, Kelley	Assistant Professor	School of Nursing	1/9/2017	3/19/2017	Medical Leave	Paid
Noren,Pattie D	UCP 05-Admin Services Spec 3	Dining Services	5/5/2017	5/8/2017	Medical Leave	Paid
Orcutt,Ashley	UCP 04-Program Asst 2	Chemistry	5/3/2017	5/11/2017	Medical Leave	Paid
Ortiz,Maribel	UCP 04-Admin Serv Specialist 2	Payroll	4/24/2017	4/24/2017	Medical Leave	Paid
Ortiz,Maribel	UCP 04-Admin Serv Specialist 2	Payroll	5/9/2017	5/10/2017	Medical Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Parker,Jennifer A.	UCP 08-Instructional Dev 2	UConn eCampus	5/11/2017	5/11/2017	Medical Leave	Paid
Parker,Jennifer A.	UCP 08-Instructional Dev 2	UConn eCampus	5/18/2017	5/18/2017	Medical Leave	Paid
Patel,Bhupen N	U Staff Professional 4	Construction Assurance	4/10/2017	4/13/2017	Medical Leave	Paid
Patel,Bhupen N	U Staff Professional 4	Construction Assurance	4/17/2017	4/27/2017	Medical Leave	Paid
Patel,Bhupen N	U Staff Professional 4	Construction Assurance	4/28/2017	5/11/2017	Medical Leave	Paid
Patel,Bhupen N	U Staff Professional 4	Construction Assurance	5/12/2017	5/19/2017	Medical Leave	Paid
Patel,Bhupen N	U Staff Professional 4	Construction Assurance	5/26/2017	5/26/2017	Medical Leave	Paid
Peracchio, Heather	Visiting Assistant Ext Educator	Department of Ext	1/11/2017	2/22/2017	Maternity Leave	Paid
Peracchio, Heather	Visiting Assistant Ext Educator	Department of Ext	2/23/2017	4/23/2017	Parental Leave	Unpaid
Petrofsky,Linda	UCP 04-Admin Serv Specialist 2	MS Accounting	5/8/2017	5/11/2017	Medical Leave	Paid
Petrofsky,Linda	UCP 04-Admin Serv Specialist 2	MS Accounting	5/12/2017	5/12/2017	Medical Leave	Paid
Petsa,Megan S	UCP 04-Program Asst 2	Statistics	5/31/2017	6/8/2017	Maternity Leave	Paid
Posa,Julia A	UCP 06-Administrative Mgr 1	Registrar	5/12/2017	5/12/2017	Medical Leave	Paid
Post,Kimberly J	UCP 06-Admin Services Asst 4	Materials Science Inst	4/24/2017	4/24/2017	Medical Leave	Paid
Post,Kimberly J	UCP 06-Admin Services Asst 4	Materials Science Inst	5/4/2017	5/11/2017	Medical Leave	Paid
Post,Kimberly J	UCP 06-Admin Services Asst 4	Materials Science Inst	5/12/2017	5/25/2017	Medical Leave	Paid
Post,Kimberly J	UCP 06-Admin Services Asst 4	Materials Science Inst	5/26/2017	5/30/2017	Medical Leave	Paid
Powell, Sherry	Lecturer	Linguistics	11/3/2016	1/22/2017	Medical Leave	Paid
Ritter, Patricia	Assistant Professor	Economics	2/18/2017	3/31/2017	Maternity Leave	Paid
Rizzo, Jon	Assistant Professor in Residence	Kinesiology	3/29/2017	4/9/2017	Medical Leave	Paid
Roberts,Jessica Lynn	UCP 06-Grants & Contr Spec 1	Sponsored Programs	4/12/2017	4/12/2017	Medical Leave	Paid
Roberts,Jessica Lynn	UCP 06-Grants & Contr Spec 1	Sponsored Programs	4/26/2017	4/26/2017	Medical Leave	Paid
Roberts,Jessica Lynn	UCP 06-Grants & Contr Spec 1	Sponsored Programs	5/1/2017	5/11/2017	Medical Leave	Paid
Roberts,Jessica Lynn	UCP 06-Grants & Contr Spec 1	Sponsored Programs	5/23/2017	5/23/2017	Medical Leave	Paid
Robinson, JoAnn	Professor	Human Dev and Fam Studies	8/23/2016	8/22/2017	Other - Pre-Retirement Agreement - Reduced Teaching 50%	Partial Pay - 60%
Rogoz,Suzanne M.	U Staff Professional 1	Human Resources	4/24/2017	4/24/2017	Medical Leave	Paid
Rogoz,Suzanne M.	U Staff Professional 1	Human Resources	5/2/2017	5/2/2017	Medical Leave	Paid
Rogoz,Suzanne M.	U Staff Professional 1	Human Resources	5/16/2017	5/23/2017	Medical Leave	Paid
Rojas, Eliana	Assistant Professor in Residence	NEAG, Curriculum and Instr	11/2/2016	12/31/2016	Medical Leave	Paid
Rojas, Eliana	Assistant Professor in Residence	NEAG, Curriculum and Instr	1/1/2017	1/29/2017	Medical Leave - Reduced Schedule	Paid
Rosenberg, Barry	Director & Associate Professor	Art & Art History	11/29/2016	5/28/2017	Medical Leave	Paid
Scapetis, Jennifer	Assistant Professor in Residence	Dramatic Arts	8/23/2016	9/15/2016	Maternity Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Scapetis, Jennifer	Assistant Professor in Residence	Dramatic Arts	9/16/2016	9/30/2016	Parental Leave	Unpaid
Schifano, Elizabeth	Assistant Professor	Statistics	3/8/2017	4/18/2017	Maternity Leave	Paid
Schlagenhauf,Tara C	UCP 04-Admin Serv Specialist 2	Student Health Svcs	5/15/2017	5/15/2017	Medical Leave	Paid
Schneider, Susan	Associate Professor	Philosophy	8/30/2016	12/1/2016	Reduced Schedule Family Medical Leave	Partial Pay - 87.5%
Schneider, Susan	Associate Professor	Philosophy	1/17/2017	5/22/2017	Medical Leave	Paid
Schroeter, Florence	Research Assistant	Social Work	5/20/2016	6/20/2016	Medical Leave	Unpaid
Schroeter, Florence	Research Assistant	Social Work	6/21/2016	12/5/2016	Medical Leave	Unpaid
Shipton,Kathleen T	UCP 08-Asst Registrar	Registrar	4/12/2017	4/13/2017	Medical Leave	Paid
Shipton,Kathleen T	UCP 08-Asst Registrar	Registrar	4/17/2017	4/27/2017	Medical Leave	Paid
Shipton,Kathleen T	UCP 08-Asst Registrar	Registrar	4/28/2017	5/11/2017	Medical Leave	Paid
Shipton,Kathleen T	UCP 08-Asst Registrar	Registrar	5/12/2017	5/25/2017	Medical Leave	Paid
Skudlarek,Karen P	UCP 07-Comp Tech Sup Cons 2	Educational Technology	4/28/2017	5/11/2017	Medical Leave	Paid
Skudlarek,Karen P	UCP 07-Comp Tech Sup Cons 2	Educational Technology	5/12/2017	5/25/2017	Medical Leave	Paid
Smith,Tresca M	UCP 05-Admin Services Spec 3	Student Health Svcs	4/25/2017	4/25/2017	Medical Leave	Paid
Smith,Tresca M	UCP 05-Admin Services Spec 3	Student Health Svcs	5/11/2017	5/11/2017	Medical Leave	Paid
Smith,Tresca M	UCP 05-Admin Services Spec 3	Student Health Svcs	5/18/2017	5/18/2017	Medical Leave	Paid
Smith,Tresca M	UCP 05-Admin Services Spec 3	Student Health Svcs	6/7/2017	6/7/2017	Medical Leave	Paid
Soder,Lisa R	UCP 05-Admin Services Spec 3	Nursing	6/21/2017	6/22/2017	Medical Leave	Paid
Soroka,Jacqueline M	UCP 09-Executive Asst 2	Psychological Sciences	5/1/2017	5/11/2017	Medical Leave	Paid
Soroka,Jacqueline M	UCP 09-Executive Asst 2	Psychological Sciences	5/12/2017	5/25/2017	Medical Leave	Paid
Soroka,Jacqueline M	UCP 09-Executive Asst 2	Psychological Sciences	5/26/2017	5/26/2017	Medical Leave	Paid
Stachowiak,Aaron J	UCP 05-Technical Asst 2	Pathobiology	6/2/2017	6/2/2017	Medical Leave	Paid
Sternberg-Ennis,Martha S	UCP 12-SHS Physician 2	Student Health Services	4/18/2017	4/18/2017	Medical Leave	Paid
Stewart,Terry E	U Staff Professional 2	Human Resources	5/18/2017	5/25/2017	Medical Leave	Paid
Stewart,Terry E	U Staff Professional 2	Human Resources	5/26/2017	6/2/2017	Medical Leave	Paid
Sullivan,Danielle Lynn	UCP 07-University Accountant 2	Accounting Office	4/10/2017	4/11/2017	Medical Leave	Paid
Sullivan,Mary Kate	UCP 09-PROCURE SVCS SR SPEC	Procurement Svcs	4/12/2017	4/12/2017	Medical Leave	Paid
Sullivan,Mary Kate	UCP 09-PROCURE SVCS SR SPEC	Procurement Svcs	5/5/2017	5/11/2017	Medical Leave	Paid
Sullivan,Mary Kate	UCP 09-PROCURE SVCS SR SPEC	Procurement Svcs	5/17/2017	5/25/2017	Medical Leave	Paid
Tash,Susan G	UCP 04-Admin Serv Specialist 2	Procurement Svcs	4/10/2017	4/10/2017	Medical Leave	Paid
Tash,Susan G	UCP 04-Admin Serv Specialist 2	Procurement Svcs	4/18/2017	4/27/2017	Medical Leave	Paid
Tash,Susan G	UCP 04-Admin Serv Specialist 2	Procurement Svcs	5/2/2017	5/8/2017	Medical Leave	Paid
Thibault,Donna M	UCP 06-Admin Services Asst 4	Engineering	5/4/2017	5/4/2017	Medical Leave	Paid
Tilton, Robert	Professor	English	10/4/2016	1/31/2017	Medical Leave	Paid

NAME	TITLE	DEPARTMENT	DATES		REASON FOR LEAVE	PAY STATUS
			START	END		
Urcinas,Nancy	UCP 04-Admin Serv Specialist 2	Social Work Instruct and Rsrch	4/21/2017	4/21/2017	Medical Leave	Paid
Wang, Li	Associate Professor	Physiology and Neurobiology	8/23/2016	8/22/2017	Educational Leave	Partial Pay - 53%
Wang, Xiaojing	Assistant Professor	Statistics	4/14/2017	5/22/2017	Maternity Leave	Paid
Webber,Donna C	UCP 10-SHS APRN	Student Health Svcs	4/10/2017	4/10/2017	Medical Leave	Paid
Webber,Donna C	UCP 10-SHS APRN	Student Health Svcs	4/18/2017	4/26/2017	Medical Leave	Paid
Webber,Donna C	UCP 10-SHS APRN	Student Health Svcs	5/4/2017	5/4/2017	Medical Leave	Paid
Webber,Donna C	UCP 10-SHS APRN	Student Health Svcs	5/16/2017	5/17/2017	Medical Leave	Paid
Webber,Donna C	UCP 10-SHS APRN	Student Health Svcs	5/30/2017	6/6/2017	Medical Leave	Paid
Weiner Jr,Robert M	UCP 10-Comp Tech Supp Cons 4	Engineering Technical Svcs	5/26/2017	6/8/2017	Medical Leave	Paid
West,Gary R	UCP 06-Business Manager 1	Education	5/9/2017	5/9/2017	Medical Leave	Paid
West,Gary R	UCP 06-Business Manager 1	Education	5/15/2017	5/15/2017	Medical Leave	Paid
Wine,Dana L	UCP 04-Admin Serv Specialist 2	Research	6/2/2017	6/8/2017	Medical Leave	Paid

COMMITTEE AGENDAS

University of Connecticut Board of Trustees

AGENDA

Special Meeting of the **ACADEMIC AFFAIRS COMMITTEE**

Wednesday, May 24, 2017
Thomas J. Meskill Law Library, Room 316
39 Elizabeth Street, Hartford, Connecticut
12:00 – 2:00 p.m.

- 1) Minutes of the Academic Affairs Committee Meeting
of April 26, 2017, as circulated

ACTION ITEMS:

- 2) Sabbatical Leave Recommendations
- 3) Appointment of Professor Sulin Ba to the Treibeck Family Chair in the Connecticut Information Technology Institute in the School of Business
- 4) Appointment of Professor Suresh Nair to the Robert Cizik Chair in Manufacturing and Technology in the School of Business

DISCUSSION ITEMS:

- 5) Micki McElya, Associate Professor, History
- 6) Leslie Shor, Associate Professor, Chemical and Biomolecular Engineering
- 7) Overview of the Promotion and Tenure Process

EXECUTIVE SESSION *(As Needed)*

AGENDA

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

June 14, 2017, 10:30 a.m.

University of Connecticut

Lewis B. Rome Commons Ballroom

626 Gilbert Road Ext. – Storrs, Connecticut

ACTION ITEMS:

TAB

- | | |
|--|---|
| 1) Approval of the Minutes of the Buildings, Grounds and Environment Committee Meetings of April 13, 2017, as circulated | 1 |
| 2) CMOC Task Force Improvement Final Report and Assignment Close-Out | 2 |
| ➤ Presenter: Robert Corbett, Director of Regional Projects and Development | |

PRESENTATION/DISCUSSION ITEMS:

- | | |
|---|-----------------------------|
| 3) Hockey Update | |
| ➤ Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction | |
| 4) Hotel Update | |
| ➤ Presenter: Scott Jordan, Executive Vice President for Administration & Chief Financial Officer | |
| 5) Landscape Barn Fire Update | 3 |
| ➤ Presenter: Michael Jednak, Associate Vice President for Facilities Operations and Building Services | |
| 6) Draft Capital Budget Update | (To Be Distributed) |
| ➤ Presenter: Scott Jordan, Executive Vice President for Administration & Chief Financial Officer | |
| 7) Quarterly Report on Construction Performance | (Postponed to Next Meeting) |
| ➤ Presenter: Bhupen Patel, Construction Assurance Officer | |
| 8) Updates on Operational and Organizational Activities, and Improvements Capital Project and Contract Administration (CPCA) | 4 |
| ➤ Presenter: Matthew Larson, Director of Procurement Services | |
| 9) Status of Code Correction Projects | |
| ▪ Construction Management Oversight Committee Quarterly Code Correction Status Report – Code Exception Report | 5 |
| ▪ Quarterly Construction Status Report, Period Ending March 31, 2017 | |
| http://media.paes.uconn.edu/UCONN_Quarterly_Construction_Status_Report_03312017.pdf | |
| ➤ Presenter: Brian Gore, Director of Project and Program Management | |

The next meeting of the BGE Committee is September 13, 2017

10) Project Updates

UConn Health

- BioScience and UCH Capital Projects Update 6
- BioScience Connecticut Monthly Capital Projects Report 7
 - Presenter: Thomas Trutter, Associate Vice President for Campus Planning, Design and Construction (UConn Health)

Storrs Based Programs

- Project Updates and Updates on Operational and Organizational Activities, and Improvements 8
- Summary of Individual Change Orders Greater Than 3% of Project Cost 9
 - Presenter: Laura Cruickshank, Associate Vice President for University Planning, Design and Construction

EXECUTIVE SESSION (*As Needed*)

AGENDA

Special Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 12, 2017, 9:00 a.m.
University of Connecticut
Lewis B. Rome Commons Ballroom
626 Gilbert Road Ext.
Storrs, Connecticut

PRESENTATION ITEMS:

- 1) FY18 Draft Budget Presentation for the University of Connecticut, Storrs and Regional Campuses
- 2) FY18 Draft Budget Presentation for UConn Health

EXECUTIVE SESSION (*As Needed*)

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

University of Connecticut
Lakeside Building, Conference Room 101
34 North Eagleville Road, Storrs, Connecticut

Tuesday, June 13, 2017
1:30 p.m.

1. Acceptance of the Minutes from March 20, 2017.....Ms. Gándara
Attachment 1
2. Proposed Statement of Work for the UConn Foundation FY18 and
Operational changes at the UConn Law School Foundation..... Mr. Nevins
Attachment 2
3. UConn Foundation FY17 update and progress report as of April 30, 2017..... Mr. Newton
Attachment 3
4. Naming Recommendations Mr. Newton
Attachment 4

UConn Storrs

- Kyle Milliken Memorial Lounge
- Named Gift Opportunities for the Rizza Family Soccer Complex
- Named Gift Opportunities for the Husky Athletic Village and Performance Complex
- Named Gift Opportunities for the Baseball Stadium
- Named Gift Opportunities for the Softball Stadium

UConn Hartford

- The William and Alice Mortensen Courtyard
- Zachs Atrium

UConn School of Law

- The Joseph Brown Family Campus Center

5. University Communications ReportMr. Kendig
6. Legislative UpdateMs. Lombardo

Executive Session as needed

University of Connecticut & UConn Health Joint Audit & Compliance Committee Meeting

May 16, 2017

10:00 am – 10:45 am - Executive Session

10:45 am – 12:00 pm - Public Session

University of Connecticut, Lewis B. Rome Commons Ballroom, Storrs, CT

Topic	Proposed Action	Tab
Executive Session to discuss: <ul style="list-style-type: none"> C.G.S. 1-200(6)[E] – Preliminary drafts or notes that the public agency has determined that the public's interest in withholding such documents clearly outweighs the public interest in disclosure. [1-210(b)(1)] C.G.S. 1-200(6)[E] – Records or the information contained therein pertaining to strategy and negotiations with respect to pending claims regarding Recovery Audit Contractor (RAC) Audits [1-210(b)(4)] C.G.S. 1-200(6)(E) – Records, reports and statements privileged by the attorney-client relationship. [1-210(b)(10)] C.G.S. 1-200(6)[C] – Records of standards, procedures, processes, software and codes not otherwise available to the public, the disclosure of which would compromise the security and integrity of an information technology system. [1-210(b)(20)] 	Review	None
Opportunity for Public Comments		None
Minutes of the February 16, 2017 JACC Meeting	Approval	1
Storrs & UConn Health Significant Compliance Activities <ul style="list-style-type: none"> Storrs Compliance Monitoring Efforts Athletics Update HealthONE Update 	Update Presentation	2
Storrs & UConn Health Significant Audit Activities <ul style="list-style-type: none"> Status of Audit Assignments Audit Follow-up Activity 	Update	3
Auditors of Public Accounts <ul style="list-style-type: none"> State of Connecticut Single Audit Report for the Fiscal Year Ended June 30, 2016 https://www.cga.ct.gov/apa/reports/statewide/STATEWIDE_20170331_FY2016.pdf (page 254-257, 260-284) 	Presentation	4
External Engagements <ul style="list-style-type: none"> Status of External Engagements CohnReznick – Audit of Substantially Complete UConn 2000 Construction Projects and Agreed Upon Procedures on UConn 2000 Expenditures for Fiscal Year 2016 	Update Presentation	5
Informational/Educational Items <ul style="list-style-type: none"> Article – Defining the Meaning of 'Auditing' and 'Monitoring' and Clarifying the Appropriate Use of the Terms Compliance Newsletters – UConn & UConn Health 	Information Only	6
Conclusion of Full Meeting		
Information Session with OACE and External Auditors		

The next meeting of the JACC will be held on Thursday, September 14, 2017 at 10:00 am
University of Connecticut, Lewis B. Rome Commons Ballroom, Storrs, CT

Financial Affairs

AGENDA
Meeting of the
FINANCIAL AFFAIRS COMMITTEE
June 28, 2017 at 9:00 a.m.
University of Connecticut
NextGen Residence Hall, Room 112
2378 Alumni Drive
Storrs, Connecticut

PRESENTATION ITEM:

ATTACHMENT

- 1) Budget Presentation

ACTION ITEMS:

- | | |
|---|----|
| 2) Approval of the Minutes of the Financial Affairs Committee Meeting of April 26, 2017, as circulated | A |
| 3) Contracts and Agreements for Approval | 1 |
| 4) Proposed Statement of Work for the UConn Foundation for Fiscal Year 2018 and Operational Changes at the UConn Law School Foundation | 10 |
| 5) Recommendation for Extension of Collective Bargaining Agreement with the University of Connecticut Chapter of the American Association of University Professors (AAUP) | 11 |
| 6) Recommendation for Extension of Collective Bargaining Agreement with the University of Connecticut Professional Employees Union (UCPEA) | 12 |
| 7) Spending Plan for Fiscal Year 2018 for the University of Connecticut, Storrs & Regional Campuses | 13 |
| 8) Spending Plan for Fiscal Year 2018 for UConn Health | 14 |
| 9) Fiscal Year 2018 Capital Budget | 15 |
| 10) Revised Allocation of Bond Authorizations as set forth in the Eighteenth Supplemental Indenture (University of Connecticut General Obligation Bonds) | 16 |
| 11) Revised Allocation of Bond Authorizations as set forth in the Nineteenth Supplemental Indenture (University of Connecticut General Obligation Bonds) | 17 |
| 12) Revised Allocation of Bond Authorizations as set forth in the Twentieth Supplemental Indenture (University of Connecticut General Obligation Bonds) | 18 |

ATTACHMENT

13) Revised Allocation of Bond Authorizations as set forth in the Twenty-First Supplemental Indenture (University of Connecticut General Obligation Bonds)	19
14) Revised Allocation of Bond Authorizations as set forth in the Twenty-Second Supplemental Indenture (University of Connecticut General Obligation Bonds)	20
15) Twenty-Third Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds	21
16) Twenty-Fourth Supplemental Indenture Authorizing University of Connecticut General Obligation Bonds for Refunding Purposes	22

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) 28 Professional Park Renovation	Final	\$675,000	23
18) UCONN 2000 Code Remediation: Towers Dormitories	Revised Final	\$800,000	24
19) Residential Life Facilities – Alumni Quad Shower Renovations	Revised Final	\$1,156,000	25
20) Main Campus Parking Replacements	Planning	\$500,000	26
21) Decentralized Heat at Central Warehouse and Facilities Operations & Building Services Buildings	Final	\$700,000	27
22) Steam Line Lateral at the John J. Budds Building	Final	\$800,000	28
<i>UCONN HEALTH</i>			
23) UCH Elevator 24 & 25 Modernization and Sill Repair	Final	\$1,100,000	29
24) UCH Main Accumulation Building	Final	\$4,400,000	30
25) UCH Medical School Academic Building Addition and Renovation	Revised Final	\$36,795,000	31
26) UCH New Construction and Renovation – Clinic (C) Building Renovations	Revised Final	\$92,514,604	32

INFORMATION ITEM:

27) Project Budget Map	B
28) Construction Project Status Report	(Under Separate Cover)

EXECUTIVE SESSION *(As Needed)*

ATTACHMENT A

MINUTES
MEETING OF THE FINANCIAL AFFAIRS COMMITTEE

NextGen Residence Hall, Room 112

Storrs, Connecticut

April 26, 2017

TRUSTEES PRESENT: Andy Bessette, Kevin Braghirol, Chuck Bunnell (*via telephone*), Shari Cantor, Richard Carbray, Thomas Kruger, Adam Kuegler, Andrea Dennis-LaVigne, Rebecca Lobo, Larry McHugh, Denis Nayden (*via telephone*), and Thomas Ritter

STAFF PRESENT: Michael Gilbert, Susan Herbst, Scott Jordan, Tysen Kendig, Michael Kirk, Matt Larson, Joelle Murchison, Rich Orr, Rachel Rubin, Jeremy Teitelbaum and Dan Weiner

UNIVERSITY SENATE MEMBERS PRESENT:
Eleni Coundouriotis, Elizabeth Jockusch (*via telephone*), Debra Kendall and Angela Rola

Committee Chairman Thomas Kruger convened the meeting of the Financial Affairs Committee at 9:19 a.m. in Room 112 of NextGen Residence Hall on the University of Connecticut campus in Storrs, Connecticut.

On a motion by Trustee Bessette and seconded by Trustee Cantor the committee voted to accept a revised agenda to add an agreement with New England Sports Enterprises to the Contracts and Agreements document allowing for a UConn football game to be played at Fenway Park and to add a resolution for the *Sale of the West Hartford Campus*.

Due to the importance of the item, the *Sale of West Hartford Campus* was deferred to the full Board for discussion and approval on a motion by Trustee Bessette and seconded by Trustee Carbray.

The minutes of the meeting of March 29, 2017 were approved as circulated, on a motion by Trustee Carbray and seconded by Trustee Cantor.

Scott Jordan, Executive Vice President for Administration and Chief Financial Officer, presented highlights of agenda *Item #2, Contracts and Agreements for Approval – Revised*. On a motion by Trustee Bessette and seconded by Trustee Cantor the item was recommended to the full Board for approval.

On a motion by Trustee Cantor and seconded by Trustee Bessette, agenda *Item #3, SciQuest, Inc. (d/b/a Jaggaer) eProcurement System – E2E Model Purchase and Implementation* was recommended to the full Board for approval.

Mr. Jordan detailed the project budgets for approval: agenda *Item #’s 5-16, UConn Bookstore in Downtown Hartford (Final: \$1,531,000); Babbidge Library Electrical Distribution System Upgrade (Final: \$4,000,000); Academic & Research Facilities – Homer Babbidge Library Level 1 Renovations (Final: \$3,920,000); Academic & Research Facilities – Homer Babbidge Library Level 4 Renovations, Heritage Floor (Final: \$1,150,000); Norwest Science Quad Infrastructure Phase I (Final: \$20,000,000); Hartford Business School Renovation (Final: \$4,500,000); Law School Façade Restoration Phase II – Hosmer Hall (Final: \$1,200,000); Residential Life Facilities – Alumni Quad Shower Renovations (Revised Final: \$1,030,000); Residential Life Facilities – Northwest Shower Renovations (Revised Final: \$1,020,000); Student Recreation Center (formerly named Intramural, Recreational and Intercollegiate Facilities – Recreation Center) (Final: \$100,000,000); Tech Park Parking Lot – Parcel J (Final: \$1,450,000); and Waterbury Downtown Campus – Rectory Renovations (Final: \$2,550,000).* President Herbst informed the committee that JCJ, the architect on the Student Recreation Center, planned to place a model of what the facility will look like in the Student Union. She has asked that this be completed by summer 2017. On a motion by Trustee Bessette and seconded by Trustee Cantor the project budgets were recommended to the full Board for approval.

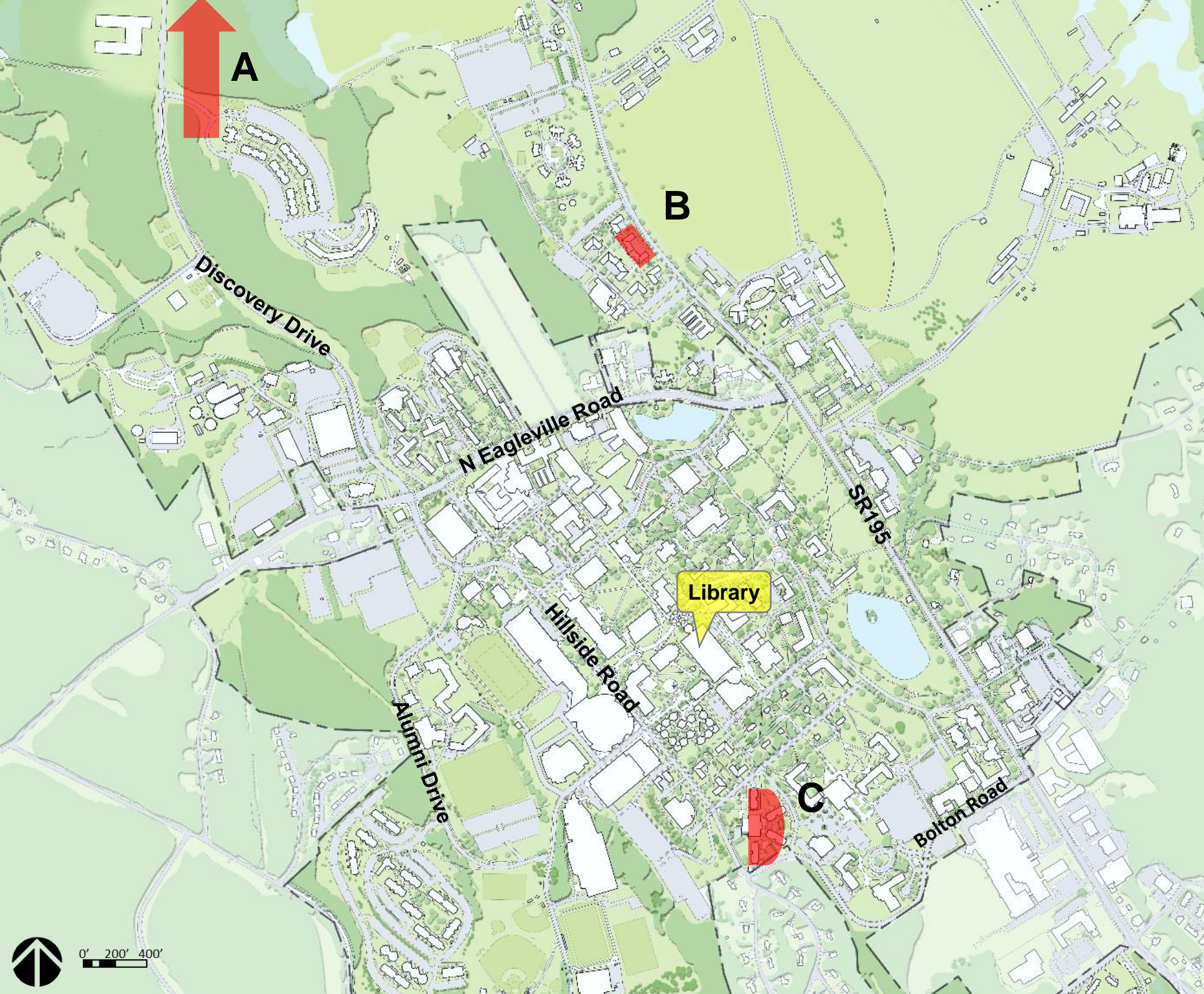
Trustee Kruger directed the committee to the information items for their review. There being no additional agenda items the meeting was adjourned at 9:43 a.m. on a motion by Trustee Bessette and seconded by Trustee Cantor.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone,
Secretary to the Committee

ATTACHMENT B



KEY TO PROJECTS

Final / Revised Final

- A 28 Professional Park
- B UConn 2000 Code – Tower Dormitories
- C Residential Life Facilities – Alumni Quad Shower Renovations

Design / Revised Design

None

Planning / Revised Planning

Main Campus Parking Replacements**

**** Note:** *Campus-Wide or Regional Campus project. Location not shown on map.*