

December 22, 2016

TO: Jeff Seemann, Vice President for Research
FR: Susan Herbst, President
CC: Richard Orr, Vice President and General Counsel
RE: **Delegation of Authority for Technology Incubation Program (TIP) Leases to the Vice President for Research**

The University of Connecticut Board of Trustees' Technology Incubation Program Operation Policy adopted December 7, 2016 ("TIP Policy") grants the President the authority to approve TIP leases which meet the TIP Policy's established criteria. It further authorizes the President to delegate the authority to sign TIP leases to a Vice President.

In accordance with the Policy I delegate to the Vice President for Research the authority set forth below. This Delegation is in addition to any other authority delegated to the Vice President for Research.

Scope of Delegation

The Vice President for Research is responsible for the University's Technology Incubation Program and related activities. Accordingly, the Vice President for Research is hereby authorized to sign, on behalf of the University, all TIP leases that meet the criteria set forth in the TIP Policy. A copy of the TIP Policy is attached.

Limitations

This delegation is conditioned on the fulfillment of the following requirements:

- a. The authority delegated in this document may not be sub-delegated.
- b. Any authority not conferred in the above scope of delegation remains with the President.
- c. To the extent that the scope of any subsequent delegation conflicts with this delegation, the subsequent delegation shall control.

Delegation Terms

- a. The authority provided by this delegation is made to the position with the current title of "Vice President for Research."
- b. Only the employee serving in this position may exercise the authority provided by this delegation. In the event the position is vacant, the employee serving as the interim Vice President for Research may exercise the authority provided by this delegation.
- c. From time to time a position's title may change but the function remains the same. A change in title does not change this delegation. The authority delegated to the position named in this delegation shall remain in effect for the position's successors in function.
- d. The authority provided to you by this delegation shall automatically be rescinded upon your separation from the University or on the date you cease to serve in the position described in this delegation.
- e. The authority provided by this delegation is effective immediately.

Attachment: Technology Incubation Program Operation Policy (December 7,2016)

UConn

Title	Technology Incubation Program Operation Policy
Policy Owner	Office of the Vice President for Research
Applies to	Faculty, Staff and Students
Campus Applicability	All campuses including UConn Health
Effective Date	December 7, 2016
For More Information Contact	Rita Zangari Director, Innovation Programs
Contact Information	Phone: (860) 486-3010
Official Website	http://research.uconn.edu/technology-commercialization/resources-for-business/incubator-services/

Technology Incubation Program Operation Policy

REASON FOR POLICY

The University's Technology Incubation Program (TIP) is designed to facilitate the commercialization of technology and promote new economic development opportunities in Connecticut by supporting technology transfer, collaboration and providing students and faculty with a supportive entrepreneurial environment. The purpose of this policy is to establish a framework for the operation of TIP.

APPLIES TO

University's Technology Incubation Program at all campuses including UConn Health.

POLICY REQUIREMENTS

Standards and Procedures

The Office of the Vice President for Research (OVPR) is responsible for managing TIP. OVPR will develop standards and procedures for the program and be responsible for coordinating, administrating and monitoring TIP in order to promote the effective implementation of this policy. OVPR's standards and procedures must be consistent with University policies and include the following:

1. A requirement that companies interested in participating in TIP must apply for admittance.
2. An application process that includes a review of information provided by the company that is sufficient to determine (1) that a relationship with the company is beneficial to the goals of the University and (2) that the company has a plan in place for the company's operation at the University with milestones to assure the accomplishment of mutually beneficial goals.
3. A requirement that a written assessment supporting a company's admission be completed and maintained by OVPR. Each written assessment should include a copy of the company's application and any other relevant materials provided by the company during the application process.

4. A requirement that admitted companies must maintain a physical presence on a University campus and enter into a written agreement to use University space. Written agreements may be in the form of a lease or license.
5. Establishment of standard rates for the leasing and licensing of TIP space. Premium rates may be charged to selected companies with the capacity to pay market rents. Discounted rates may be charged to UConn student run companies.
6. Provisions requiring each admitted company to comply with all University, State and Federal rules and regulations including those for Environmental Health and Safety (EHS) and, where appropriate, rules related to animal care, use of human subjects, embryonic stem cells, other biomaterials, etc.
7. Documentation of insurance and other appropriate terms to assure that the University and the State are adequately protected from possible liability.
8. A restriction limiting a company's participation in TIP to no more than five years unless scientific and commercial progress is demonstrated by a company along with a need to continue participating in TIP due to special circumstances.
9. Regular updates on each company's progress and annual reviews against its milestones.

TIP Services

OVPR will offer admitted companies access to wet and dry laboratory and office space. OVPR may also offer the following support services:

1. Business counseling;
2. Marketing support;
3. Access to mentors and advisors;
4. Access to the University IT system, select library and electronic collections;
5. Participation in events of interest to early stage firms;
6. Environmental Health and Safety training;
7. Access to specialized facilities, equipment and instrumentation by special arrangement;
8. Parking privileges on the same terms as University employees.

TIP Space

Only areas designated as TIP space by the University may be utilized for TIP purposes.

TIP space is currently made available at the Farmington, Storrs and Avery Point campuses.

Tenants will be responsible for space renovation costs and must receive appropriate University approvals prior to any work commencing.

TIP Leasing Process

Companies that want to occupy University space must execute a lease or a license agreement. TIP leases require Board of Trustees approval except as specified below.

A TIP lease can be approved without Board of Trustee approval if it meets the following criteria:

1. The space being leased has been designated for TIP use;
2. The rent per square foot and the other financial terms of the lease are consistent with the standard terms for TIP as approved by the Vice President for Research;
3. The lease is for a term (initial term plus all extensions provide for in the lease that may be exercised by either party) that does not exceed five years;
4. The lease is terminable at the option of the University and the required termination notice period is sixty (60) days or less;
5. The lease has been reviewed by University counsel and approved by the Office of the Attorney General and State Treasurer.

Leases meeting the above criteria may be approved and signed by the President without coming to the Board. The President may re-delegate this authority to a Vice President.

ENFORCEMENT

Violations of this policy may result in appropriate disciplinary measures in accordance with University By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, and the University of Connecticut Student Code.

POLICY HISTORY

Policy created: March 13, 2008*

*Policy Revised: December 7, 2016**

** Approved by the Board of Trustees.*

Supersedes:

Board of Trustee's Policy on Incubation Company Leasing (January 22, 2008).

Board of Trustee's June 28, 2012 Resolution titled: *Delegation of Authority to Approve Leases for the Technology Incubation Program (TIP) in Specified Circumstance.*