



Board of Trustees
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August 20, 2019

TO: Members of the Finance/Facilities/Technology Committee

FR: Ellen N. Doughty, Clerk of the Board

RE: **August 28, 2019 - Finance/Facilities/Technology Committee Meeting**

The University of Maine

University of Maine
at Augusta

University of Maine
at Farmington

University of Maine
at Fort Kent

University of Maine
at Machias

University of Maine
at Presque Isle

University of
Southern Maine

The Finance/Facilities/Technology Committee will meet from **9:00 am to 12:00 pm on August 28, 2019**. The meeting will be located at the University of Maine System Executive Offices, Rudman Conference Room, 253 Estabrooke Hall, 15 Estabrooke Drive in Orono. In addition to the Estabrooke Hall location, the following Polycom locations and a conference call connection will also be available:

UMA – Room 125, Robinson Hall

UMF – Room 103, Merrill Hall

UMFK – Alumni Conference Room, Nadeau Hall

UMPI – Executive Conference Room, Preble Hall

USM – Room 423/424, Glickman Library

Phone: 1-800-605-5167 code 743544#

Refreshments will be provided at the UMS and the USM locations. The meeting materials are posted to the Diligent Board Portal as well as the Board of Trustees website (<http://www.maine.edu/about-the-system/board-of-trustees/meeting-agendas/finance-facilities-committee/>).

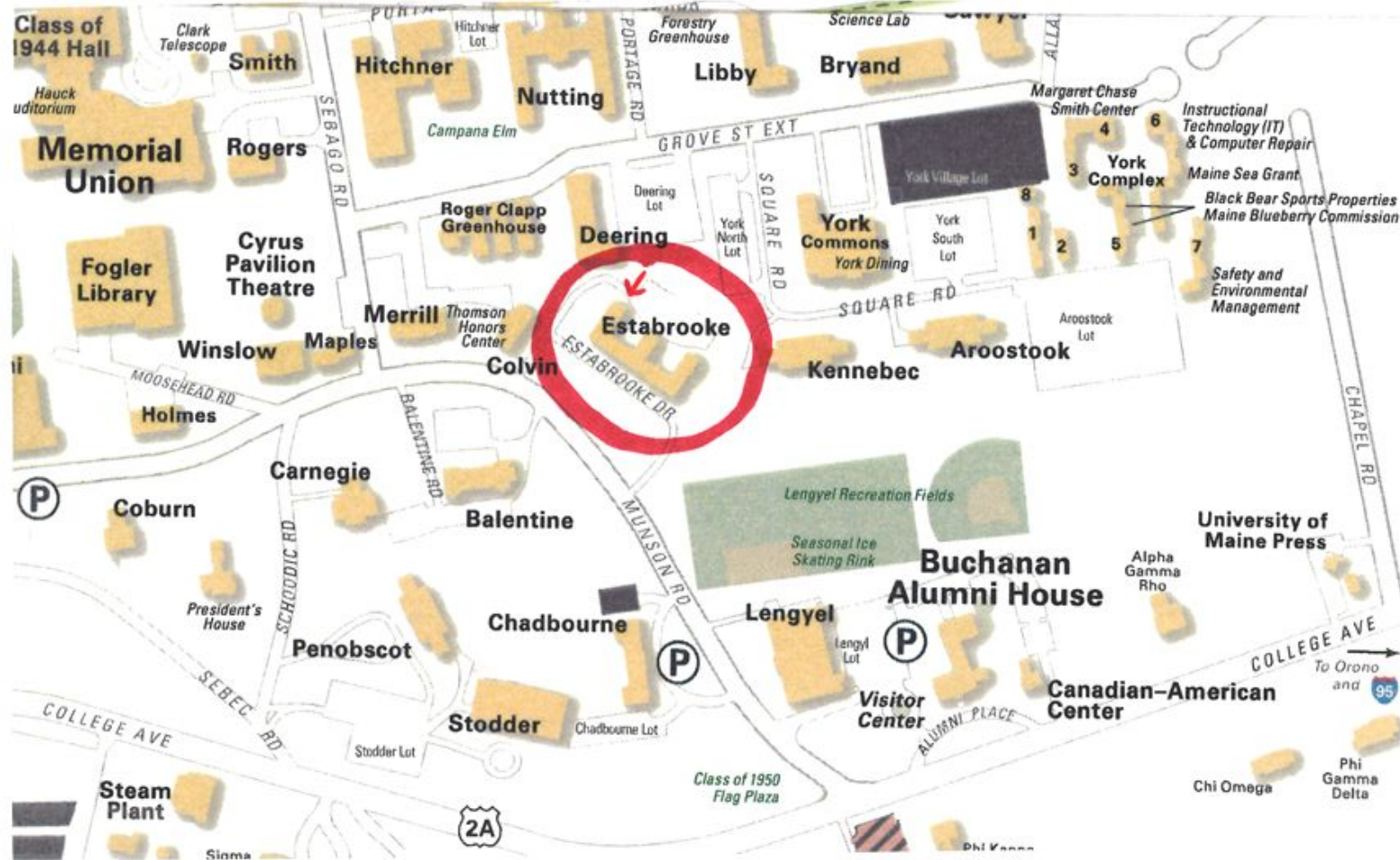
If you have questions about the meeting arrangements or accessing the meeting materials, please call me at 581-5840. If you have any questions or desire additional information about the agenda items, please call Ryan Low at 581-5845.

cc: Dannel Malloy, Chancellor
Trustees who are not members for the FFT Committee
Presidents
Ryan Low
David Demers
Tracy Elliott
Chip Gavin
Miriam White

University of Maine System

15 Estabrooke Drive, Orono

Rudman Conference Room
253 Estabrooke Hall, 2nd Floor
15 Estabrooke Drive, Orono



Directions to the UMS located on the UMaine Campus

From the South on I-95: take exit 191 to Kelly Road and turn right. Continue on Kelly Road for 1 mile until you reach the traffic light, then turn left onto Route 2 and go through downtown Orono. Cross the river. Turn left at the lights onto College Avenue. Buchanan Alumni House will be the first campus-related building on your right. Right after the Buchanan Alumni House, take a right onto Muson Road. Estabrooke Hall is the building on the right after Lengyel.

From the North on I-95: take exit 191 to Kelly Road and turn left. Continue on Kelly Road for 1 mile until you reach the traffic light, then turn left onto Route 2 and go through downtown Orono. Cross the river. Turn left at the lights onto College Avenue. Buchanan Alumni House will be the first campus-related building on your right. Right after the Buchanan Alumni House, take a right onto Muson Road. Estabrooke Hall is the building on the right after Lengyel.

The UMS is located on the 2nd floor of Estabrooke Hall. Enter Estabrooke Hall from the back of the building, the entrance closes to Deering Hall.



Revised – 8/23/19

Board of Trustees

Finance, Facilities & Technology Committee

August 28, 2019 9:00 am to 12:00 pm
Rudman Conference Room, 253 Estabrooke Hall, Orono

AGENDA

9:00 am Technology Items

- Review of Projects with a Value of \$250,000 or Greater..... TAB 1

9:30 am Finance Items

- FY2020 Finance, Facilities & Technology Committee Work Plan..... TAB 2
- FY2020 Proposed Operating Budget Revision..... TAB 3

9:45 am Facilities Items

- Handley Hall HVAC System Upgrade Project, UMA..... TAB 4
- Enterprise Risk Management, UMS..... TAB 5
- Capital Project Status Report and Bond Projects Update, UMS..... TAB 6
- Annual Real Estate & Lease Report, UMS..... TAB 7
- Darling Marine Center Waterfront Infrastructure Improvement, UM..... TAB 8

Action items within the Committee purview are noted in green.

Items for Committee decisions and recommendations are noted in red.

Note: Times are estimated based upon the anticipated length for presentation or discussion of a particular topic.

An item may be brought up earlier or the order of items changed for effective deliberation of matters before the Committee.






AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Review of Projects with a Value of \$250,000 or Greater
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Dr. David Demers, UMS Chief Information Officer, will provide information on the following projects with a value of \$250,000 or greater:

- Classrooms for the Future
- UMS Wireless Infrastructure
- MaineStreet Improvements
- VoIP – UMF
- VoIP – UMPI
- VoIP – USM

Status Update – August 2019**Classrooms for the Future**

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Overview

This project will involve renovations to existing classrooms across the entire University of Maine System. The project team will focus on the data obtained during the earlier classroom assessment phase and resulting classroom ratings in order to prioritize work at each campus. The team will also develop standards for equipment in all classrooms. Vendors will be used for the larger renovations and campus services/classroom technology staff will be used for minor renovations and upgrades. Once the rooms have been updated, they will be re-assessed and scored accordingly.

Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Estimated Budget*	Budget Committed to date	Budget % Committed	Project % Complete	Comments
4/2016	David Demers	12/2019 (updated 11/18)	12/2019	\$4,945,075	\$4,945,075	100%	94%	Total estimated budget reflects additional allocation provided Dec. 2017 as well as contingency funds added December 2018

Status

Equipment installs are underway on several campuses and all equipment orders have been placed. Most work will be completed by the start of fall semester 2019, with remaining work to be completed during winter break. Any training needed on new equipment will take place at the start of the semester and reassessments on summer 2019 upgraded rooms will take place this fall.

As the final phase of this project nears completion, the CFTF project team will prepare final reports for each of the campuses relating to the work that has been accomplished, the updated assessments, maintenance recommendations and suggestions for future classroom upgrades.

BUDGET SUMMARY

Campus	Allocation	% Committed to Date	\$\$ Not Yet Budgeted	% Complete
PROJECT TOTAL	\$4,945,075	100%	-0-	94%
UMM	\$240,900	100%	-0-	91%
UMF	\$415,976	100%	-0-	99%
UMaine	\$1,681,630	100%	-0-	98%
UMPI	\$360,276	100%	-0-	87%
USM	\$1,238,980	100%	-0-	91%
UMFK	\$287,348	100%	-0-	96%
UMA	\$719,965	100%	-0-	93%

Summary by Campus and Classroom Project

Reference: [Campus Room Renovations](#)

Campuses	Rooms By Project Setup	% Complete
UMA	Music Arts 124	100%
	RRSC 248 & 255	100%
	UC Bath/Brunswick 114	100%
	UC Norway SoPar 114 & 206	100%
	UC Saco 111	100%
	UC Ellsworth 2 & 7	100%
	UC Rockland 410 & 413	100%
	Jewett 124, 180, 189, 190 & 291	100%
	RRSC 246	100%
	UC Rockland 403, 410, 412 (Phase 2)	100%
	Fine Arts 122	100%
	Jewett 284, 293, 297	100%
	Katz 5, 15, 51	100%
	Katz 14	90%
	Katz 16	100%
	Katz 53	45%
	Handley Hall	100%
	LAC 162J, 162K, 162L, 216A, 216B, 218, 222C	100%
	Bangor 135, 142	100%
	Camden 101 & 105	62%
	Camden 304	90%
	Randall 250	62%
	Jewett 156	90%
	Jewett 284, 293, 297	100%
UMF	Roberts 205 & 207	100%
	Ricker Addition 202, 205	100%
	Roberts C23 & 131	100%
	Ricker Addition 217	100%
	Preble 117	100%
	Roberts 105, 107, 201, 203	100%
	South 115	100%
	Education Center 6 & 113	100%

	Tech Commons Fusion Center	100%
	Roberts 3, 101, 103	100%
	Education Center 103, 106, 110, 114	90%
UMaine	Shibles 202	100%
	DPC 105	100%
	Neville 101	100%
	Estabrook 130, 152	100%
	Bennett 215	100%
	Dunn 315 & 316	100%
	South Stevens 106D	100%
	DPC 107, 115, 117	100%
	Boardman 116	100%
	Boardman 118	100%
	Shibles 217, 313, 316	100%
	Nutting 100	100%
	Aubert 354	100%
	Hitchner 157	100%
	Jenness 102, 104, 108	100%
	Lengyel 127	100%
	Libby 220	100%
	Little 110, 120, 202, 206, 220	100%
	Lord 200	100%
	Colvin 401	100%
	Memorial Gym Complex 106 & 110 (ROTC Army)	100%
	Merrill 228a	100%
	Murray 102 & 106	100%
	N Stevens 235	100%
	Rogers 206	100%
	ROTC Navy 201 & 203	100%
	Deering 101c	100%
	Barrows 123, 131, 133	100%
	Balentine 129	100%
	Dunn 1, 44, 401	100%
	Barrows 124	100%

	Bryand Global 100	100%
	Deering 17	100%
	North Stevens 235	100%
	South Stevens 232-B	100%
	Neville 116, 118	100%
	Neville 120	100%
	Little 212	100%
	Aubert 165	100%
	Barrows 128	100%
	Class of 44 100	100%
	Colvin 401	100%
	DPC 111	100%
	Little 350	100%
	Center Stevens 155	100%
	Darling Marine Center Brooke Hall	100%
	PAIL Necropsy Lab	100%
	Libby 220	75%
	Nutting 213	90%
	Boardman 210	85%
	Lengyel 125, 127	90%
	Center Stevens 355	90%
	Deering 17, 113	90%
	Little 211, 212, 219	90%
UMM	Torrey Hall 230, 232, 234 - Phase 1	100%
	Torrey Hall 102	53%
	Torrey Hall 106	100%
	Powers 208 & 209	100%
	Science 114	100%
	Science 102 & 120	100%
	Reynolds Center 14	100%
	Torrey 230, 232 & GIS Lab - Phase 2	100%
	Performing Arts Center	95%
	Science 13, 115	62%
UMFK	Powell 123	100%
	Cyr 113	100%

	Old Model School 11	100%
	Cyr 200 & 201	100%
	Cyr 203	100%
	Cyr 200, 201, 204, 209	100%
	Nadeau Telecom Room	100%
	Powell 123 - Phase 2	100%
	Cyr 200, 204, 205-Contingency	62%
UMPI	Folsom 206	100%
	Pullen 113, 212, 216	100%
	Folsom 204 & 205	100%
	Houlton 110	79%
	Folsom 203	100%
	Pullen 212	100%
	Pullen 213	100%
	Pullen 215	79%
	Preble 239	100%
	Gentile Athletic	100%
	Weidan Training	100%
	Houlton 120 & 125	62%
	Houlton 109, 124, 125	62%
	Pullen 111, 113, 210, 213, 214, 215, ART	62%
	Folsom 301, 303, 304	62%
USM	405 Bailey	100%
	John Mitchell 217	100%
	Payson Smith 301A	100%
	LB 103	100%
	Masterson 113	100%
	Bailey 320	100%
	Bailey 10, S113, 201, 202, 204, 205, 206, 207, 208, S213, S215, 218, S312, S313, 315, L319, 320, L321, C402, C403, C, 405,	100%
	Corthell 112, 211, 212	100%
	John Mitchell 151, 164, 181	48%
	John Mitchell 233, 235, 242, 252, 265, 270	77%
	John Mitchell 252	90%

	LAC 287	100%
	LAC 210, 211, 212, 214, 216, 218, 224	100%
	LB 208, 209, 241, 302, 303, 310, 326, 327, 402, 403, 410, 424, 425, 502, 503, 509, 510, 523, 524	100%
	Payson Smith 1, 41, 42, 44, 200, 201, 202, 203, 204, 205, 206, 207, 208, 209, 211, 303, 304, 306	100%
	Wishcamper 103, 113, 417/419, 427	79%
	Science 203, 403	48%
	Law 118	100%
	Payson Smith 42 & 44 - Phase 2	100%
	Payson Smith 201, 206, 304, 306 - Phase 2	79%
	Bailey 218 & 312	100%
	Bailey 313	75%
	Bailey 402	68%
	LAC 104, 106	100%
	Glickman Library 423/424	100%
	Luther Bonney 209	100%
	Science 157	100%
	Science 533	100%
	Russell 1 and Dance Studio	100%
	Masterton G38	100%
	Hill Gym 201	90%
	Ice Arena 154	90%
	LB 410, 524	79%
	Corthell 320	90%
	LAC 105, 108, 110	79%




*Summary Table Note - Phase 1 refers to Summer 2017 projects and Phase 2 refers to Summer 2018 projects.

Risks

- The discovery of asbestos containing materials at USM has led to more thorough testing prior to starting work in a building. The need to complete more testing than anticipated and possibly conduct abatement has delayed the project schedule. An abatement plan has been completed to allow work to continue at USM during Summer 2019.

Status Update – August 2019

UMS Wireless Infrastructure

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	Changed from Green

Overview

This project is a wireless technology connectivity Initiative to upgrade wireless service and associated cabling and equipment at all campuses to bring wireless capacity to gigabit speeds to support learning and living spaces.

Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Estimated Budget	Budget Committed to date	Project % Complete	Comments
4/2016	Jeffrey Letourneau	12/2018	06/2020	\$13,215,000	\$11,154,03	90%	

Status

Schedule status has been changed to yellow. As noted previously as a risk, the asbestos abatement effort at USM is an ongoing, collaborative process that was anticipated to impact the overall project schedule. Where abatement efforts for buildings/rooms at USM have been completed, wireless infrastructure project work has commenced. As we continue to coordinate with USM facilities, we anticipate the need to extend project work through June 2020 to complete all buildings identified. We are working with the cabling contractor and facilities management to outline an updated schedule for the remainder of the project.

At USM, Brooks dining commons is nearly complete except for a few items pending completion of renovation work. Cabling in Bailey Hall is underway with a September estimated completion. Abatement in facilities preparations are nearly done in the Science building. Cabling will begin in the remaining areas of Science in September. HVAC installation continues in several buildings on the Portland campus. Networking for Woodbury Campus Center and Sullivan gymnasium have been deprioritized pending more information on the campus master plan.

At UMF, the new fiber infrastructure has been completed. Only “punchlist” items remain on the UMF campus.

At UMFK, Cyr Hall/Fox Auditorium are 99% complete. Final clean-up will be scheduled for September.

At UMPI, clean up of Wieden and the Library will be scheduled in September once the voice-over-IP conversions are completed in those buildings. A contractor has been identified to install conduit innerduct from Preble to the Library which will allow us to install new fiber between those buildings minimize risk of failure with the old fiber.

At UM, resources from Networkmaine and our cabling contractor are currently focused on work in the residence halls in coordination with auxiliary services and Apogee. Plans are underway for several other buildings for fall.

At UMA, no work is currently underway or being planned.

At UMM, project work is complete on the UMM campus.

BUDGET SUMMARY

Campus	Allocation	% Budgeted to Date	\$\$ Not Yet Budgeted	% Expended & Encumbered to Date	\$\$ Expended & Encumbered	\$\$ Not Yet Expended/Encumbered
PROJECT TOTAL	\$13,215,000	96%	\$527,900	84%	\$11,154,030	\$2,060,970
Equipment in Inventory					\$794,362	
System-wide Services	\$620,000	100%	\$0	100%	\$620,452	-\$452
UM - Machias	\$733,200	100%	\$0	101%	\$743,998	-\$10,798
UM - Farmington	\$1,674,800	100%	\$0	100%	\$1,671,854	\$2,946
UMaine	\$3,294,600	97%	\$108,472	82%	\$2,708,093	\$586,507
UM - Presque Isle	\$700,200	100%	\$0	96%	\$674,230	\$25,970
USM	\$5,017,600	92%	\$406,447	55%	\$2,764,353	\$2,253,247
UM - Fort Kent	\$614,600	100%	\$0	102%	\$629,669	-\$15,069
UM - Augusta	\$560,000	98%	\$12,980	98%	\$547,020	\$12,980

(*) = original \$11.2M allocation plus reallocation of \$980k plus \$620K required from contingency funding for system-wide licensing. 12/2018 - additional \$415,000 from contingency.

BUILDING SUMMARY

Complete¹		Installation & Deployment Scheduled / In Progress²		Planning - Not yet Budgeted
University of Maine at Augusta				
Lewiston Katz Jewett Randall	Eastport Camden Belfast Civic Center College Center			
University of Maine at Farmington				
Mantor Library Dakin Black Mallett Lockwood Purington	Stone Scott North Scott West Scott South Campus Fiber			Roberts Learning Center³
University of Maine at Fort Kent				
Powell The Lodge Crocker	Blake Library Cyr Hall			Old Model Sch³
University of Maine at Machias				
Torrey Hall / Merrill Library Reynolds Powers	Science Kilburn Dorward Sennett			

University of Maine at Presque Isle				
Park Emerson Merriman	Folsom- Pullen Wieden Library	Campus Fiber		
University of Maine				
Fogler Library Shibles Bennett Rogers Jenness Lord Bryand Global Science Boardman Murray Hall ⁴	Little Aubert Class of 1944 Lengyel Estabrook Core Hitchner Hart Core Donald P Corbett	<u>In Progress</u> <u>Begin 0-3 months</u> Nutting (85%) Barrows (50%) Fernald (60%) Deering Center Stevens	<u>Begin 3-6 months</u> Neville (90%) <u>Begin 6-9 months</u> Winslow(85%)	Colvin Hall Sculpture Building Dunn
University of Southern Maine				
Drawing Studio Print Studio Academy Building <u>Wireless Only</u> Wishcamper John Mitchell Cen Law Building	Abromson Masterton Hall Glickman Library Luther- Bonney Payson-Smith	<u>In Progress</u> Brooks Dining (95%) Bailey (90%) <u>Begin 0-3 months</u> Science (60%) Wishcamper (wired) JMC (wired)	<u>Begin 3-6 months</u> Corthell Costell Complex <u>Begin 6-9 months</u> Lewiston-Auburn <u>Deprioritized</u> Woodbury Sullivan Complex	

¹ Networks are online and functioning; some testing and close-out paperwork may remain to be done

² Dates are estimated start dates for cable installation & deployment – subject to change

³ Insufficient funding to upgrade entire building; minimal upgrades to support Classrooms for the Future or future upgrades

⁴ Partial upgrade due to building limitations

Risks

- Identification of asbestos containing materials (ACBM) at USM in an area that was not anticipated has led to a higher awareness of and need to test for ACBM. Both the need for increased testing and the probability of higher than anticipated abatement needs will impact both project schedule and cost. The degree of impact will not be known until test results are completed.
- The project team is working closely with the Classrooms for the Future project team to coordinate efforts. Campus decisions to prioritize upgrades in residence halls over classroom buildings may negatively impact the Classrooms for the Future project.
- Many of the buildings require modifications by Facilities Management prior to network installation. The project team is working with each campus to plan this work. Resource availability and scheduling for this work may cause project delays.
- A risk to perceived success is unreasonable stakeholder expectations. Although a ubiquitous system-wide upgrade is needed, this project will only partially meet that need given the constraints of limited resources (schedule, budget, staffing, construction limitations, and coordination with other campus resources).
- Many buildings have network infrastructure that will need to be upgraded before new wireless networks can be installed. In some cases, this may include new fiber installation and/or the need for facility renovations.

- The phased funding approach will necessitate maintaining two separate WiFi networks on most if not all campuses driving up the ongoing operational costs and efforts for US:IT while creating inconsistent wireless service levels building to building on the campuses.
- There are a large number of factors and variables that will affect this project's timeline. There are other sizeable projects taking place at the same time. Another factor affecting the timeline will be the coordination among involved entities in setting priorities and timing.

Status Update – August 2019

MaineStreet Improvements

Overview

This initiative is comprised of two projects; a technical upgrade of the PeopleSoft (MaineStreet) Campus Solutions student information system from version 9.0 to 9.2 and a project to enhance the PeopleSoft user experience (UX Enhancements).




- **Campus Solutions 9.2 Upgrade:** This project will upgrade the UMS MaineStreet Campus Solutions system from version 9.0 to version 9.2 and the CS PeopleTools (the underlying PeopleTools architecture) from version 8.55 to version 8.56. The upgrade will maintain Oracle compliance and continued support of the system. Wherever possible, the project will make improvements in business practice that will not significantly or materially change the timeline or the scope of the upgrade project.

In addition to the CS application and PeopleTools upgrades, the scope includes transitioning the CS PeopleSoft environments from the legacy Solaris architecture to Linux architecture.

- **PeopleSoft User Interface Platform:** This project will acquire and deploy a 3rd party PeopleSoft User-Interface Platform to streamline and improve usability, navigability, and utility of the MaineStreet environment for students and faculty alike. Additionally, enhanced Single Sign-On capabilities would be deployed to support a secure, fully integrated user environment.

Project	Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Initial Budget	Current Budget Balance	Project % Complete	Comments
CS Upgrade	October 2018	David Demers	June 2019	June 2019	\$1,349,263	\$490,961	100%	
UX Enhancements	September 2018		January 2019	June 2020	\$1,148,237	\$1,035,916	12%	




Campus Solutions Upgrade Status

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Summary Status

All components of the Campus Solutions 9.2 Upgrade project were successfully completed on Monday, June 10, and the upgraded environment was opened on schedule to faculty, staff, and students on Tuesday, June 11. It is anticipated that the project will be fully closed by the end of August after remaining invoices from ERP Analysts have been processed and the project budget is closed.

PeopleSoft User Interface Platform

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Summary Status

The initial installation of HighPoint modules occurred in the test environment. The project team is assessing and applying the required configurations and customizations to the delivered product. Stakeholder feedback from the Campus Solutions 9.2 Upgrade is being used to inform prioritization of features within the modules. A targeted user roll-out is scheduled for the Fall 2019 term. Given competing, high priority initiatives requiring the attention of the same group of stakeholders, in particular the LMS implementation, careful planning will be required to mitigate potential risks to the project's timeline.

Recently Completed

- Installation of Campus Experience and Schedule Builder applications in test environment
- Preliminary communications planning
- HighPoint/ UMS project planning, July/ August 2019

In Progress




- Initial installation after-patch
- Development of key stakeholder user group
- Consultations with other institutions regarding functional stakeholder engagement strategies
- Refinement of project plan

Risks & Mitigation Strategies

Risk	Risk Management Plan
Deploying a new solution immediately after summer break, when many faculty and students are not engaged, can result in training and support challenges at the start of the fall term.	<ul style="list-style-type: none"> • Engaging with stakeholders at an early stage will help inform decisions regarding functional deployment.
The Campus Solutions Upgrade and the 3rd party PeopleSoft User-Interface Platform projects will impact many of the same stakeholders and will be deployed within relatively close range of each other.	<ul style="list-style-type: none"> • Clear, proactive communication with stakeholders about the impact of each deployment will help manage expectations and minimize user confusion.

Status Update – August 2019

VoIP – UMF

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Overview

This project will upgrade the UMF telecom system to utilize voice-over-IP (VoIP) and mitigate risk associated with the aging Avaya phone system.

Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Estimated Budget	Budget Committed to date	Project % Complete	Comments
4/2019	Jeffrey Letourneau	9/2021	9/2021	\$499,000	\$69,778.60	15%	

Status




The project team has been working on deployment of Voice-over-IP phones in buildings with adequate infrastructure. To date, 123 phones have been deployed. In parallel, the team has been moving current analog phones to the VoIP voice gateway (removing them from the legacy Avaya system) and converting fax lines to Fax-over-IP. An additional, 146 lines have been removed from the Avaya in this way.

There are several buildings on campus that will need infrastructure upgrades to be able to support VoIP phones. The team is in the process of estimating the cost of this work and prioritizing based on available funding and functional use of the buildings.

Risks

- The legacy Avaya phone system has showed signs of failing. There is a risk that we will not be able to migrate all services from this system before failure occurs. This risk is being mitigated by temporarily moving line to analog voice gateways.
- Due to the mitigation plan noted above, many users will be required to transition multiple times. This poses a risk of customer dissatisfaction and will necessitate a more comprehensive communication strategy.
- The network infrastructure in many buildings on the UMF campus is not adequate for deploying VoIP phones. This poses a risk to both project schedule and budget.
- Availability of human resources is a risk to this project. Resources needed for this project will also be working on telecommunications upgrades at UMPI and USM as well as providing operational support for all campuses.

Status Update – August 2019**VoIP – UMPI**

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Overview

This project will upgrade the UMF telecom system to utilize voice-over-IP (VoIP) and mitigate risk associated with the aging Avaya phone system.

Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Estimated Budget	Budget Committed to date	Project % Complete	Comments
6/2019	Jeffrey Letourneau	9/2021	9/2021	\$291,000	\$22,736.90	5%	




Status

The project team has been working on deployment of Voice-over-IP phones in buildings with adequate infrastructure. (Wieden, Library (CIL), and Folsom-Pullen). The team has also begun planning for other buildings where some cabling may be needed (ie, Preble, Normal, South).

Risks

- There is a risk that we will not be able to migrate all services from this system before failure of the legacy system occurs.
- The network infrastructure in some buildings on the UMPI campus is not adequate for deploying VoIP phones. This poses a risk to both project schedule and budget.
- Availability of human resources is a risk to this project. Resources needed for this project will also be working on telecommunications upgrades at UMF and USM as well as providing operational support for all campuses.

Status Update – August 2019**VoIP – USM**

Overall status:		Change from previous report:	None
Budget status:		Change from previous report:	None
Schedule status:		Change from previous report:	None

Overview

This project will upgrade the UMF telecom system to utilize voice-over-IP (VoIP) and mitigate risk associated with the aging Avaya phone system.

Initiation Date	Sponsor	Original Estimated Completion Date	Current Estimated Completion Date	Estimated Budget	Budget Committed to date	Project % Complete	Comments
6/2019	Jeffrey Letourneau	9/2022	9/2022	\$809,000	\$0	0%	

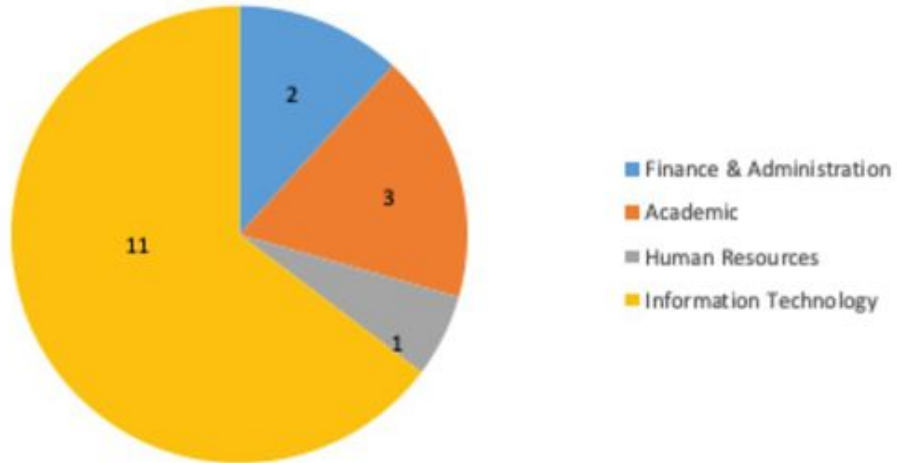
Status

The accounting codes for this project have been established, but no work has been done yet. This project is in planning stages.

Risks

- There is a risk that we will not be able to migrate all services from this system before failure of the legacy system occurs.
- The network infrastructure in some buildings on the USM campus is not adequate for deploying VoIP phones. This poses a risk to both project schedule and budget.
- Availability of human resources is a risk to this project. Resources needed for this project will also be working on telecommunications upgrades at UMF and UMPI as well as providing operational support for all campuses.

US:IT ACTIVE PROJECTS



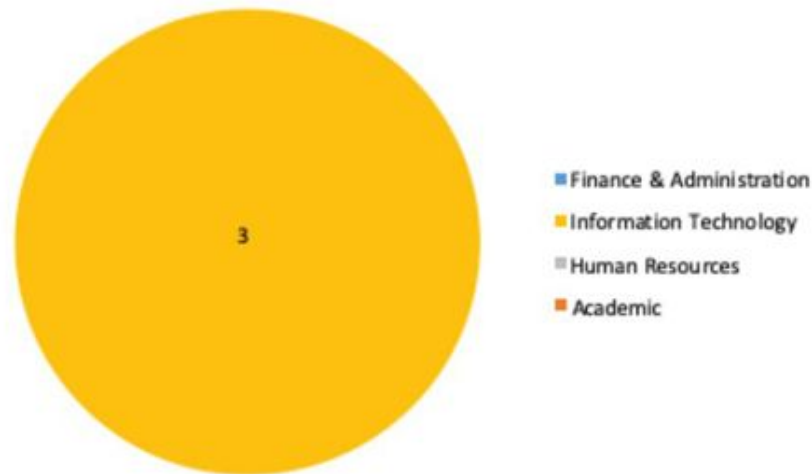
Finance & Administration Projects Total Budget = \$71,000

Academic Projects Total Budget = \$50,000

Human Resources Projects Total Budget = \$0

Information Technology Projects Total Budget = \$17,869,225

US:IT PROPOSED PROJECTS





AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** FY2020 Finance, Facilities & Technology Committee Work Plan
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Annually, a work plan for the Finance, Facilities & Technology Committee is formulated. The work plan is intended to cover both action items required for governance of the University of Maine System and those topics of importance and interest to the Board. Trustee Collins and Vice Chancellor Ryan Low will review the draft plan with the Committee in preparation for inclusion in the September Board of Trustee meeting materials.

University of Maine System
Board of Trustees

**Finance, Facilities & Technology Committee - Draft
Work Plan FY2020**

Standing Agenda

1. Finance, Facilities or Technology items requiring Committee and/or Board approval
2. Updates from staff on finance, facilities and technology informational items
3. Capital Projects Status Report for all projects requiring Committee and/or Board approval
4. Major Technology Projects Status Report for all projects requiring Committee and/or Board approval
5. Review KPI's starting with August committee meeting. Once all numbers are flowing {(by Dec.) start tune of reporting based on BOT feedback

Ad Hoc Agenda

- Request for Appropriation (Sept. meeting)
- **Joint Meeting of the Audit Committee and the Finance/Facilities/Technology Committee** (late October/early November meeting)
 - External Auditor Report including Required Communications Letter and Summary of Audit Results
 - Presentation of the Annual Financial Report (Audited Financial Statements)
 - Update on Internal Audit
- Annual State of IT Report (February meeting)
- Sightlines Annual Report on the status of the facilities portfolio (February meeting)
- First reading of the Annual Operating, Capital Budget and Tuition Charges (March meeting)
- Approval of Annual Operating Budget, Capital Budget and Tuition Charges (May meeting)
- Multi-Year Financial & Structural Gap Analysis (May meeting)
- Review of 5-year Capital Plan (May meeting)

Informational Reports to the Board

Every Board Meeting

Financial Update and KPI update

September Meeting

Annual Report on Acquisition & Disposition of Real Property

November meeting

Annual Report on Gifts, Fund Raising and Endowments
Current Fiscal YTD Forecast to Budget

January Meeting

Maine Economic Improvement Fund Report
Student Financial Aid Report
State of IT Report
Sightlines Report

March Meeting

Student Charges Report
Current Fiscal YTD Forecast to Budget

May Meeting

Multi-Year Financial Analysis
5-year Capital Plan
Current Fiscal YTD Forecast to Budget

Committee Meeting Schedule

The Committee meets six times during the year in advance of the Board of Trustees meetings.

In March, the Committee schedules a full day meeting to review, in depth, the Annual Operating Budget and Tuition Charges for the upcoming fiscal year.

Additional meetings may be scheduled as required.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** FY2020 Proposed Operating Budget Revision
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** **BOARD ACTION: X**
4. **OUTCOME:** **BOARD POLICY:**
Enhance fiscal positioning
5. **BACKGROUND:**

Based on current enrollment projections, each university was given the opportunity to review their FY2020 budget (approved by the Board of Trustees in May 2019) and submit a revised budget for approval, if warranted.

The University of Maine is requesting that their FY2020 budget be amended as follows:

A reduction of 6,523 budgeted credit hours. (90% out-of-state; 10% in-state). This change equates to 0.1% growth over FY2019 actual credit hours and basically flat when compared to FY2019 budgeted credit hours. This reduction in UMaine's budgeted credit hours will change the budgeted UMS Enrollment increase from 1.7% to 0.7% when compared to the FY2019 budget and from 3.6% to 2.6% when compared to FY2019 actual enrollments.

	Credit Hours	Increase Compared to FY19 Budget	Actuals
UMAINE			
Original	290,377	2.3%	2.4%
Revised	283,854	-----%	0.1%
SYSTEM			
Original	687,204	1.7%	3.6%
Revised	680,681	0.7%	2.6%

As a result of reduced credit hours, UMaine is reducing their E&G revenue budget by \$4.2 million and their Auxiliary revenue budget by \$0.8 million for a total of \$5 million. Reductions in expense budgets such as compensation and supplies will offset the projected reduction in budgeted revenue. UMaine will continue to have a balanced

budget.

6. TEXT OF PROPOSED RESOLUTION:

That the Finance, Facilities, and Technology Committee forwards this item to the September 15-16, 2019 Board of Trustees meeting for approval of the following resolution:

That the Board of Trustees accepts the recommendations of the Finance, Facilities and Technology Committee and approves the revised FY2020 Operating Budget for UMaine and the System.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Handley Hall HVAC System Upgrade Project, UMA
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
Improve Student Success and Completion 701 – Budgets-Operating & Capital
5. **BACKGROUND:**

The University of Maine System acting through the University of Maine at Augusta (UMA) requests authorization to spend up to \$575,000 for upgrades to the heating, ventilation and air conditioning (HVAC) system for Handley Hall located in downtown Augusta. This project will be funded with voter-approved 2018 bond funds as well as campus funds.

This request is pursuant to Board Policy 701, which requires projects with a total cost of more than \$500,000 to be considered by the Board of Trustees or its Finance, Facilities and Technology Committee. In this case, the request is within the purview of the Finance Facilities and Technology Committee.

Handley Hall is a five-story brick building located in downtown Augusta that was constructed in the late 1880's. UMA uses Handley Hall to house an art gallery, classrooms and teaching spaces for UMA's baccalaureate in Architecture and baccalaureate in Art programs currently serving more than 140 students, 11 full time and numerous part-time staff. Additionally the building serves as the headquarters for the statewide New Ventures Maine Program staff where trainings are held throughout the year in the 15 to 20 person conference room on the fifth floor. The facility has an estimated net asset value of 81 percent and is approximately 31,000 gross square feet.

The existing HVAC system includes minimal cooling and that part of the system is failing and needs to be replaced. The new system will provide cooling to the five occupied floors of the building and will consist of energy efficient ductless mini-split heat pumps which will provide efficient cooling and redundant heating throughout the building. The fifth floor will utilize heat recovery technology that will provide the ability to transfer heat to other floors of the building while cooling the fifth floor.

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The design for this project is nearly complete and ready for bid. The project is expected to go to bid in the Fall of 2019 calendar year with construction to be completed during winter break. The proposed budget has been adjusted to account for the current bidding climate that exists in the mechanical trades and an updated estimate for construction. As ever, actual costs will not be known until the University receives bids for this project.

6. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees, acting through the Finance, Facilities and Technology Committee, authorizes the University of Maine at Augusta to expend up to \$575,000 from 2018 State Bond and Campus funds for the Handley Hall HVAC System upgrade project.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Enterprise Risk Management, UMS
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Gretchen Catlin, System Risk Manager, will present an update to the Finance, Facilities, and Technology Committee (FFT Committee) regarding the implementation of Enterprise Risk Management (ERM). Enterprise Risk Management involves identifying, monitoring and mitigating significant fundamental threats to the University's ability to carry out its mission, extending for example to financial and strategic risks in addition to hazards which would be considered more traditionally operational or insurable.

Previous guidance from the Trustees has been reflected in the development and implementation of the ERM program. Trustees suggested that the ERM program should:

- Identify a specific Trustee committee for oversight of each identified risk;
- Rate each risk based on materiality and scope;
- Be manageable within existing resources; and
- Be actionable.

Based these suggestions, Risk Management is preliminarily tracking 15 University risks. Four of those risks have been assigned to the FFT Committee for oversight. Each risk is also assigned a leader who is responsible for implementing mitigation and control strategies. This update will include a brief overview of the University's ERM program and address current efforts to control and mitigate risks identified for oversight through the FFT Committee.



Enterprise Risk Management

Finance, Facilities, & Technology Board Committee Meeting

Gretchen Catlin, BS, CHC
System Risk Manager

Executive Summary

- On May 29, 2019, Gretchen Catlin and Chip Gavin provided an Enterprise Risk Management (ERM) update to the Audit Committee. This included a review of the risk assessment tracking tool and ERM implementation schedule.
- Trustees approved the implementation approach which consists of having each enterprise risk assigned to a Board Committee for oversight.
- The University of Maine System is preliminarily monitoring 15 total risks and each has a designated Trustee committee of oversight, as suggested by Trustees.
- 4 of these risks have been designated to the Finance, Facilities, & Technology (FFT) Committee.



Measuring Risks

Risks are measured by calculating:

1. Materiality – financial impact should the risk occur

- Extreme = >\$20 million
- High = \$5 - \$19 million
- Medium = \$1 - \$4.99 million
- Low = \$400 thousand - \$999 thousand

2. Scope – likelihood that the risk will happen

- Likely = 50% - 90%
- Possible = 25% - 49%
- Unlikely = 10% - 24%
- Remote = 1% - 9%

Materiality X Scope = Risk Score



Risks Assigned to FFT

Risk ID	Description	Materiality	Type	Mitigation Description	Management Locus of Control	Scope	Risk Score
2	Infrastructure loss or failure threatening to continuity of operations	5 (Extreme) > \$20M	Insurable	Preventative Maintenance Sufficient funding for stewardship of infrastructure	Chip Gavin, <i>Chief Facilities Management & General Services Officer</i> Facilities Management	3 (Possible 25% - 49%)	15
4	Data breach or cyber incident	5 (Extreme) > \$20M	Insurable	Preventative Maintenance & Internal Auditing	Dr. David Demers, <i>Chief Information Officer</i> ITS	3 (Possible 25% - 49%)	15
10	Natural disaster threatening to life or property	4 (High) \$5 - \$19 million	Insurable	Business continuity planning	Gretchen Catlin, <i>Risk Manager</i> Risk Management	3 (Possible 25% - 49%)	12
11	Credit rating downgrade resulting in increased cost of capital	3 (Medium) \$1M - \$5M	Operational	Preventative Maintenance & Internal Auditing	Tracy Elliott, <i>Vice President Finance & Controller</i>	2 (Unlikely 10% - 25%)	6



Risk Control Strategies

Risk ID	Description	Control Strategies	Management Locus of Control
2	Infrastructure loss threatening to continuity of operations	<ul style="list-style-type: none"> • Disclosure of risks to Trustees • Capital planning focused on infrastructure improvements • Data from facility audits are used to help prioritize infrastructure loss prevention • Business Interruption Insurance – included in property and cyber insurance coverage 	Chip Gavin, <i>Chief Facilities Management & General Services Officer</i> Facilities Management
4	Data breach or cyber incident	<ul style="list-style-type: none"> • Compliance training • Implemented sign-off process for wire transfers • Information Security Policy • Internal audit using NIST 800.171 standards • Cyber Insurance coverage 	Dr. David Demers, <i>Chief Information Officer</i> ITS
10	Natural disaster threatening to life or property	<ul style="list-style-type: none"> • Safety & Environmental Management – crisis response and planning strategies • Facility audits conducted by property insurer to assess risks and develop plans by campus for risk mitigation • New construction will follow FM Global building guidelines • FEMA grant awarded for pre-disaster mitigation for natural disasters • Liability insurance coverage • Property insurance coverage 	Gretchen Catlin, <i>Risk Manager</i> Risk Management
11	Credit rating downgrade resulting in increased cost of capital	<ul style="list-style-type: none"> • Continuous focus on maintaining fiscal soundness • Monitoring financial ratios • Maintaining rigorous budget process • Prudent spending 	Tracy Elliott, <i>Vice President Finance & Controller</i>



Next Steps

Committee meeting implementation schedule:

Committee	Date
Academic & Student Affairs	August 26, 2019
Finance, Facilities & Technology	August 28, 2019
Audit	October 30, 2019 – Report status
Investment	December 2, 2019
Human Resources & Labor Relations	January 6, 2020

The Audit committee status report will include an update on control strategies discussed at each board committee.



Questions?





AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Capital Project Status Report and Bond Projects Update, UMS
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Executive Summary

Overview:

Attached is the Capital Project Status Report for the August 28, 2019 meeting of the Finance, Facilities and Technology Committee. The report reflects a total of 21 projects; no projects have been removed or added since the previous report.

Two projects will be removed from the following report due to completion. They are the University of Maine's Barrows Hall ESRB Lab Renovations project (5100424) and the University of Maine at Machias' project Compressed Natural Gas Heating Conversion (4100028).

Bond Project Status Report:

The special portion of this report calling out only bond projects now reflects twenty-three (23) projects in progress. These projects are currently estimated to account for almost \$30 million of the \$49 million in voter approved general obligation bond funding and approximately \$2 million of that has been expended. Supplemental funding is being leveraged for some of these projects and the total estimated project value across all funds currently stands at more than \$33 million, including the bond funding.

Sixteen (16) of these bond projects do not have budgets that meet the threshold for Board of Trustees consideration, and are therefore not present on the Capital Projects Status Report. Two of the projects, UMA's Augusta Welcome Center (1100077) and USM's Nursing Simulation Lab (6100327) currently have approved budgets below the Board of Trustees threshold, as noted, but, as planning progresses, those full budgets will exceed to Trustee threshold and they will be brought forward for timely Trustee consideration. These projects are not currently on the Capital Projects Status Report as both projects are currently in Design and Pre-Design phases and are set up with limited budgets to cover this phase of the work.

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Future reports will be updated to reflect additional active Bond projects as the information becomes available.

Engineering Education & Design Center update to Project Milestones

In the March 5, 2018 special meeting of the Board of Trustees to approve the naming of the Engineering Education and Design Center (EEDC) facility, a project milestone document was provided. An update to that document is attached to this report (Tab 6.3).

The March 2018 document reflected an aggressive approval schedule with an anticipated full project budget approval being sought in the summer of 2019 before construction bidding was expected to take place. It has since been determined a best approach to await the pricing effort and Guaranteed Maximum Price (GMP) of the CM@ Risk contractor as well as to allow additional time for fund raising prior to this request for authorization for the total project budget.

Similarly, the anticipated timeline for request of the anticipated revenue bond financing resolution has shifted. The timing of the request for this and other projects will be reviewed in the fall of 2019 to determine the most advantageous timing and sequencing of this request.

The anticipated total project budget remains as previously identified up to \$80 million. Additional milestone details have been added.

The project, interim milestone updates notwithstanding, remains on track for completion in the summer of 2022. This is unchanged.

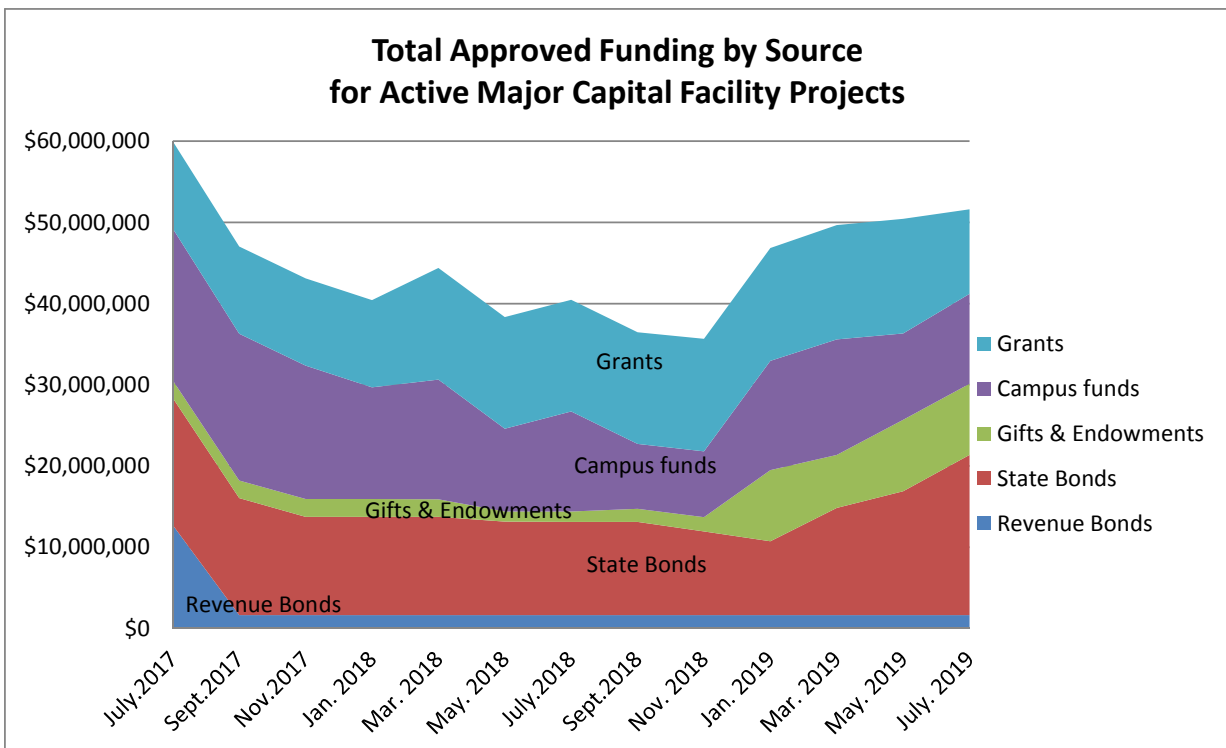
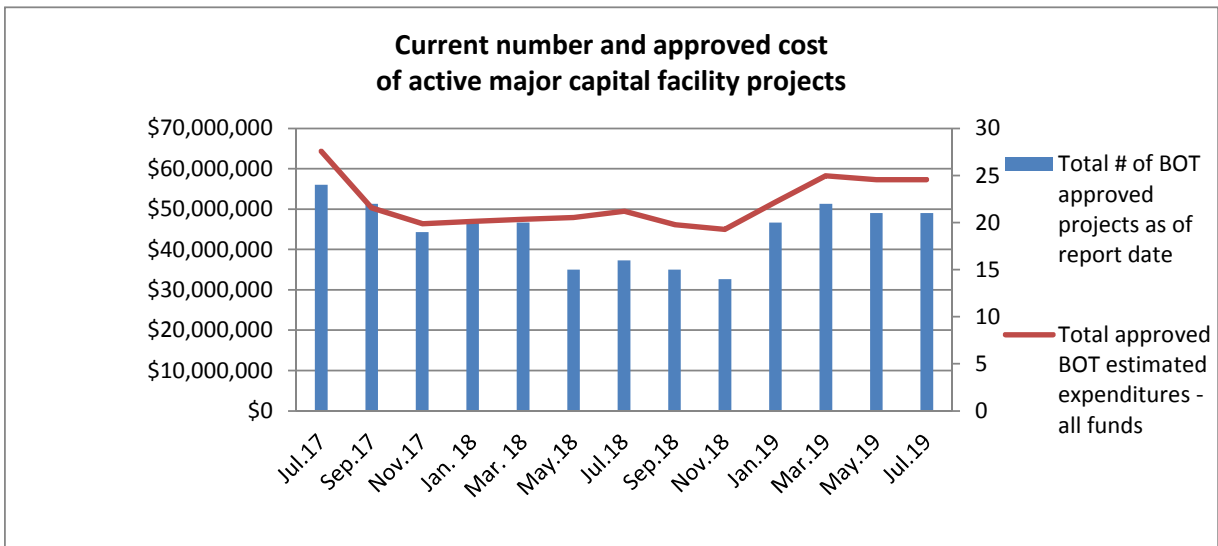
USM Portland Housing Update

As a result of the a public request for qualifications process earlier this year five firms were deemed most qualified to deliver the proposed USM Portland campus housing project and were shortlisted to advance in the solicitation process . A request for proposals was issued to the shortlisted group of firms in early August. The proposals are due in September and will be followed by an in depth review, interviews and negotiations. Board of Trustee approval will be sought prior to commitments and agreements being executed any final selected firm(s).

USM Portland Parking

As USM continues to pursue various projects on its Portland campus, it will soon be before the City of Portland regulatory bodies in connection with proposals to replace parking that will be disrupted during anticipated construction of a new residential facility in Portland. The Board should be aware of these public proceedings and potential public discussion. The University will follow the usual Board protocol in obtaining approval from Trustees for this project and its budget before advertising it for bids. The University has engaged Woodard & Curran to design the expanded parking lot, determine the estimated project cost, and assist in obtaining necessary City, State and environmental permits, but it is premature to request that approval of Trustee's at this time. Although this is not a comprehensive solution to the parking challenges that have been discussed with Trustees, and which USM is working to address, it is an important step forward in that process.

08/20/2019



Capital Project Status Report
Board Approved Projects
August 2019 - Finance, Facilities, and Technology Committee
With Grand Totals and % of Current Approved Estimates

Campus, Project Name (Project ID)	Funding Source(s) & each source's share of expenditures to date	Status	Original Estimated Completion	Current Est. Completion	Original Approved Estimate	Current Approved Estimate	% Expended of Current Approved Estimate	Prior Actions, Information & Notes
UM								
Advanced Structures and Composites Center Expansion/ASCC Equip W2-Thermoplastics Lab/ASCC Equip W2 Tow Carriage (5100316, 5100414, 5100432)	2010 State Bond (49%), Grants (45%), Gifts (6%), Campus E&G Funds (0%)	Project 5100316 is Complete, Project 5100414 Design in Progress, Project 5100432 is Construction in Progress	2014	2019	\$6,400,000	\$10,400,000	91%	Board Approved \$6.4M in November, 2012. Board approved \$1.6M in March 2014. Board approved increase of \$871,000 in March 2015. BOT approved additional \$1.5M in May 2016 for equipment project.
Cooperative Extension Diagnostic & Research Lab (5100387)	2014 State Bond (84%), Campus E&G Funds (11%), Grants (5%)	Substantially Complete	2016	2019	\$9,000,000	\$9,600,000	99%	BOT approved \$9M in July, 2015. Board approved increase of \$400,000 in July 2017. Chancellor approved additional increase of \$200,000 in February, 2019.
Aquatic Animal Health Facility (5100440)	Grants (81%), Campus E&G Funds (19%)	Substantially Complete	2017	2019	\$2,300,000	\$2,870,000	99%	Board approved \$2.3M in January, 2017. Board approved increase of \$500,000 in November, 2017. Chancellor approved additional increase of \$70,000 in February 2019.
*** Barrows Hall ESRB Lab Renovations (5100424)	Campus E&G Funds (100%)	Complete	2017	2018	\$1,900,000	\$1,900,000	86%	Board approved \$1.9M in March, 2017
Darling Marine Center Waterfront Infrastructure (5100459, 5100460, 5100461)	Grants (100%)	Design in Progress	2017	2021	\$3,000,000	\$3,000,000	12%	Board approved \$3M in July, 2017.
Engineering Education and Design Center (5100458, 5100493)	Gifts (26%), Campus E&G Funds (74%)	Design in Progress	2024	2024	\$1,000,000	\$9,000,000	39%	Board approved \$1M in September, 2017. Board approved additional \$8M in May, 2018. Initial occupancy of this facility is expected in 2022; final completion in 2024.
Wells Commons Generator (5100433)	Campus Auxiliary Funds (100%)	Substantially Complete	2019	2019	\$525,000	\$525,000	61%	Board approved \$525,000 January, 2018.
CCAR EDA Hatchery Building Roof Replacement (5100456)	Campus E&G Funds (100%)	Construction in Progress	2019	2019	\$562,000	\$562,000	4%	Board approved \$562,000 in June, 2018.
Hilltop Commons Servery Updates (5100489)	Campus Auxiliary Funds (100%)	Construction in Progress	2019	2019	\$925,000	\$925,000	11%	Board approved \$925,000 January, 2019.
York Hall Kitchen Hood Replacement (5100490)	Campus Auxiliary Funds (100%)	Construction in Progress	2019	2019	\$550,000	\$950,000	8%	Board approved \$550,000 January, 2019. Board approved additional \$400K in May, 2019.
UM Energy Solutions (5200466)	Campus E&G Funds (100%)	Pre-Design in Progress	2023	2023	\$5,700,000	\$5,700,000	10%	Board approved \$5.7M March, 2019.
UMF								
Dearborn Gym HW Upgrades (2100087)	2018 State Bond (100%)	Construction in Progress	2019	2019	\$600,000	\$850,000	28%	Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019.
UMM								
*** Compressed Natural Gas Heating Conversion (4100028)	Revenue Bonds (100%)	Complete	2014	2019	\$1,800,000	\$1,800,000	84%	Board approved \$1.8M in July 2014.

Capital Project Status Report
Board Approved Projects
August 2019 - Finance, Facilities, and Technology Committee
With Grand Totals and % of Current Approved Estimates

Campus, Project Name (Project ID)	Funding Source(s) & each source's share of expenditures to date	Status	Original Estimated Completion	Current Est. Completion	Original Approved Estimate	Current Approved Estimate	% Expended of Current Approved Estimate	Prior Actions, Information & Notes
USM								
USM Center for the Arts (6100300)	Gifts (100%)	Pre-Design in Progress	2022	2022	\$1,000,000	\$1,000,000	0%	Board approved \$1M in January, 2018.
Corthell Hall HVAC Upgrades (6100295)	Campus E&G Funds (100%)	Substantially Complete	2018	2019	\$550,000	\$550,000	94%	Board approved \$550,000 in May, 2018.
Woodward Hall Renovation (6100301)	2018 State Bond (68%), Campus E&G Funds (32%)	Construction in Progress	2019	2019	\$1,800,000	\$1,800,000	27%	Board approved \$1.8M in January, 2019.
Ricci Lecture Hall Renovation (6100308)	2018 State Bond (39%), Gifts (39), Campus E&G Funds (22%)	Construction in Progress	2019	2019	\$500,000	\$680,000	28%	Board approved \$500,000 in January, 2019. Board approved additional \$180K in May, 2019.
Brooks Student Center Generator & Switchgear Installation (6100315)	Campus E&G Funds (100%)	Construction in Progress	2019	2019	\$675,000	\$675,000	21%	Board approved \$675,000 in January, 2019.
Schematic Design of the Career and Student Success Center (6100325)	2018 State Bond (0%)	Pre-Design in Progress	2020	2020	\$1,000,000	\$1,000,000	0%	Board approved \$1M in January, 2019.
Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323)	2018 State Bond (0%), Campus E&G Funds (100%)	Project 6100316 is Design in Progress, Project 6100323 is Construction in Progress	2019	2020	\$2,580,000	\$2,580,000	13%	Board approved \$2.58M in January, 2019.
UMPI								
UMPI Greenhouse (7100010)	Bond (9%), MEIF (69%), Gifts (22%)	Construction in Progress	2018	2019	\$850,000	\$935,000	41%	Board approved \$850K in September, 2018. Board approved additional \$85,000 in January, 2019.
Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report. *** This project has been completed since the last report and is not expected to appear on the next report.	Funding source(s) reflects primary source(s) for project.	Calendar Year unless otherwise noted.					Percentage expended reflects total expended as of July 31, 2019 as a percentage of the current approved project estimate.	

Bond Project Status Report
Active Bond Projects
August 2019 - Finance, Facilities and Technology Committee
With Grand Totals and % of Current Approved Estimates

Campus, Project Name (Project ID), Project Manager	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
UMA								
Augusta Campus Welcome Center (1100077) Project Manager: Sheri Stevens/Walter Shannon	Design in Progress	2021	2021	Bond (0%), Campus E&G Funds (0%)	\$1,155,000	\$0	\$3,000,000	Approved budget of \$400,000 as it remains in study/design phase.
Augusta Campus Fire Alarms (1100078) Project Manager: Sheri Stevens/Walter Shannon	Design in Progress	2020	2020	Bond (100%)	\$400,000	\$14,300	\$400,000	
Bangor Campus Fire Alarms (1100540) Project Manager: Sheri Stevens/Walter Shannon	Design in Progress	2020	2020	Bond (100%)	\$330,000	\$11,700	\$330,000	
Handley Hall A/C Replacement (1200029) Project Manager: Sheri Stevens/Keenan Farwell	Design in Progress	2020	2020	Bond (77%), Campus E&G Funds (23%)	\$450,000	\$18,215	\$450,000	
Total Bond for Campus					\$2,335,000	\$44,215	\$4,180,000	
UMF								
Dearborn Gym Hot Water Upgrades (2100087) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$850,000	\$239,995	\$850,000	Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019.
274 Front St Acquisition (2100089) Project Manager: Keenan Farwell	Complete	2019	2019	Bond (100%)	\$855,000	\$850,820	\$855,000	Board approved \$855K in January, 2019.
Scott Hall Renovations (2100092) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$200,000	\$166,874	\$200,000	
Dakin Hall Shower Renovations (2100093) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$200,000	\$40,987	\$200,000	
Lockwood Hall Shower Renovations (2100094) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$200,000	\$7,625	\$200,000	
Stone Hall Shower Renovations (2100095) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$200,000	\$18,424	\$200,000	
UMF Campus Paving (2100097) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (100%)	\$200,000	\$1,266	\$200,000	
* 274 Front St Renovation (2100096) Project Manager: Keenan Farwell	Pre-Design in Progress	2020	2020	Bond (100%)	\$450,000	\$4,176	\$450,000	
* FRC Floor Renovation (2100098) Project Manager: Keenan Farwell	Construction in Progress	2019	2019	Bond (0%)	\$125,000	\$0	\$125,000	
* Exterior Painting Merrill Hall (2200096) Project Manager: Keenan Farwell	Pre-Design in Progress	2020	2020	Bond (0%)	\$40,000	\$0	\$40,000	
Total Bond for Campus					\$3,320,000	\$1,330,167	\$3,320,000	

Bond Project Status Report
Active Bond Projects
August 2019 - Finance, Facilities and Technology Committee
With Grand Totals and % of Current Approved Estimates

Campus, Project Name (Project ID), Project Manager	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
UMM								
** UMM Science Building Roof Replacement (4100042) Project Manager: Art Bottie	Construction in Progress	2020	2019	Bond (100%)	\$375,000	\$14,268	\$375,000	
UMM Dorward Hall Roof Replacement (4100043) Project Manager: Art Bottie	Bidding	2020	2020	Bond (100%)	\$250,000	\$33	\$250,000	
UMM Sennett Roof Replacement (4100044) Project Manager: Art Bottie	Design in Progress	2020	2020	Bond (0%)	\$150,000	\$0	\$150,000	
UMM Reynolds Center Roof Repair (4200044) Project Manager: Art Bottie	Bidding	2020	2020	Bond (0%)	\$65,000	\$0	\$65,000	
Total Bond for Campus					\$840,000	\$14,301	\$840,000	
USM								
Woodward Hall Renovations (6100301) Project Manager: Dave Carney	Construction in Progress	2019	2019	Bond (68%), Campus E&G Funds (32%)	\$1,500,000	\$330,065	\$1,800,000	Board approved \$1.8M in January, 2019.
Ricci Lecture Hall Renovations (6100308) Project Manager: Carol Potter	Construction in Progress	2019	2019	Bond (39%), Gifts (39%), Campus E&G Funds (22%)	\$150,000	\$74,567	\$680,000	Board approved \$500,000 in January, 2019. Board approved additional \$180K in May, 2019.
Schematic Design of the Career and Student Success Center (6100325) Project Manager: Dave Carney	Pre-Design in Progress	2020	2020	Bond (0%)	\$19,000,000	\$0	\$19,000,000	Board approved \$1M in January, 2019. The total project cost remains under development and subject to change.
Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323) Project Manager: Carol Potter	Project 6100316 is Design in Progress, Project 3100323 is Construction in Progress	2019	2020	Bond (0.36%), Campus E&G Funds (99.64%)	\$1,460,000	\$1,233	\$2,580,000	Board approved \$2.58M in January, 2019.
USM Nursing Simulation Lab Science (6100327) Project Manager: Joe Gallant	Design in Progress	2021	2020	Bond (100%)	\$1,500,000	\$12,459	\$1,500,000	Approved budget of \$450,000 as it remains in study/design phase.
Total Bond for Campus					\$23,610,000	\$418,324	\$25,560,000	
Totals:					\$30,105,000	\$1,807,007	\$33,900,000	
Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report. *** This project has been completed since the last report and is not expected to appear on the next report.	Funding source(s) reflects primary source(s) for project.	Calendar Year unless otherwise noted.						Percentage expended reflects total expended as of July 31, 2019 as a percentage of the current approved project estimate.

FACILITIES MANAGEMENT & GENERAL SERVICES:
CAPITAL PLANNING & PROJECT MANAGEMENT



Engineering Education & Design Center Project Milestones

6.3

Major selected milestones of past 24 months:

- **July 2017**
Preliminary study indicates a projected cost of \$80M
State of Maine debt service approved by legislature and signed into law by Governor
- **October 2017**
Design solicitation advertised
- **September 2017**
BOT approves preliminary \$1 million in expenditures focused on initial design
Design contract awarded
- **January 2018**
Formal building committee approved and established by President Hunter and Chancellor Page
- **February 2018**
Visioning and programming sessions with campus and stakeholder communities
- **April 2018**
Final site selection of EEDC determined
- **May 2018**
BOT approves additional \$8 million in expenditures for full design, initial relocation and related costs of the project
- **August through October 2018**
Schematic design completed
Construction cost estimate and estimate reconciliation completed
- **November 2018**
Schematic Design approved
Design Development phase commenced
- **January 2019**
BOT approves new building for temporary relocation of Machine Tool Lab
- **March through May 2019**
Design development completed
Construction cost estimate and estimate reconciliation completed
Design Development approved
Construction Documents commenced
Construction of new Machine Tool Lab building commenced

FACILITIES MANAGEMENT & GENERAL SERVICES:
CAPITAL PLANNING & PROJECT MANAGEMENT



Upcoming selected major milestones:

- **Fall 2019**
System wide review of cash flow for multiple projects to determine timing of bond resolution and issuance
- **December 2019**
Anticipated completion of New Machine Tool Lab building
- **January 2020**
Anticipated completion of Construction Documents design phase
- **February through March 2020**
Construction bidding
Decommissioning and demolition of Machine Tool Lab
- **April/May 2020**
Anticipated request for Trustee consideration of full project budget Authorization
Anticipated approval of GMP (Guaranteed Maximum Price)
Anticipated construction start
- **Summer 2022**
Anticipated construction completion date

6.3



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Annual Real Estate & Lease Report, UMS
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Executive Summary

Board Policies 801 and 802 require an annual report on acquisitions and dispositions of real property to be prepared for the Board of Trustees. This summary and attachment comprise the report for FY2019.

Real Estate Transactions:

Dispositions:

In summary, two dispositions by transfer of land previously approved by Board action occurred within the fiscal year and one disposition occurred which did not require Board consideration. These three transfers resulted in a disposition of a combined 1.66 acres of land and 8,542 gross square feet of facility space from the University of Maine at Presque Isle (UMPI), the University of Southern Maine (USM) and the University of Maine at Fort Kent (UMFK) campuses.

UMPI was approved to dispose of the property consisting of approximately 1 acre of land and three duplex housing units located at 17, 19, 21, 23, 25, and 27 Northern Road in Presque Isle by friendly abrogation of an agreement with the federal government and transfer of the property to the Aroostook Band of Micmacs. This disposition is a part of the University's Space Reduction Initiative.

The University of Southern Maine (USM) disposed of two small parcels as authorized by Trustees in connection with the pending construction of a traffic roundabout and roadway reconfiguration being undertaken by city and state transportation officials. During this reporting period, USM disposed of 0.13 acres by transfer to the City of Portland as an initial step in the project. The land involved no facilities.

08/20/2019

UMFK disposed of 44 North Perley Brook Road in Fort Kent by public sale to a private party. Because of the value of the sale, the transaction was within management's authority pursuant to Board policy and did not require Trustee consideration. This disposition is a part of the University's Space Reduction Initiative.

Acquisitions:

The University of Maine at Farmington (UMF) and the University of Maine acquired real property in FY2019. UMF acquired through purchase a 10,384-square-foot building and 3.18 acres at 274 Front Street in Farmington to replace the Sweatt-Winter Childcare Center on campus. As part of the authorization by Trustees to purchase this property, UMF is disposing of facilities at 110/112 Maguire Street and 228 Main Street by demolition.

As approved by the Board previously, the University of Maine acquired through gift a 750 gross square foot camp building from Baxter State Park's Scientific Forest Management Area. This building was gifted, and relocated to land nearby the park under an existing lease with Katahdin Forest Management.

Lease transactions:

In summary, the cost and revenue associated with real property leases across the University of Maine System both increased during the period, with revenue increases outpacing cost increases.

As a lessee, the University is engaged in agreements for uses such as office space, forestland, academic and research locations, University College centers, recreational fields, parking facilities, and utility purposes. Changes in leasing activity and continually improved tracking of activity produced an increase in reported annual costs for base rent of approximately \$39,500 or approximately 3 percent to an estimated cost of approximately \$1.2 million in FY2019.

As a lessor, the University is engaged in agreements covering uses such as research, early education and childcare centers, banking and financial services, office spaces, and cell tower locations. Compared with the prior year, the University's total revenue increased by 17 percent or approximately \$109,800 to a total of approximately \$742,300 in FY2019.

This report does not reflect Board actions not yet implemented, and does not contain work in process.

Overall, the University of Maine System continues to look for ways to decrease its footprint while increasing its use of space efficiency, as well as exploring opportunities for revenue through leases to third parties for under-utilized spaces at market rates.

EXECUTIVE SUMMARY

REAL ESTATE AND LEASE ACTIVITY REPORT

REAL ESTATE ACQUIRED FROM JULY 1, 2018 TO JUNE 30, 2019

	Acquired	Acreage	Sq. Ft	Value
UMF	1	3.18	10,384	\$849,000
UM	1	0	750	<\$4,000
TOTALS	2	3.18	11,134	\$853,000.00

REAL ESTATE DISPOSITION FROM JULY 1, 2018 TO JUNE 30, 2019

	Disposition	Acreage	Sq. Ft	Value
UMPI	1	1.0	6,712	\$240,000
UMFK	1	0.34	1,830	\$33,700
USM	1	0.13	0	\$39,284
TOTALS	3	1.47	8,542	\$312,984.00

Leased from Others (UMS is Lessee)

	Leases		Acreage		Square Feet		Annual Cost	
	Previous	Current	Previous	Current	Previous	Current	Previous	Current
UMA	9	10	0	0	52,107	67,637	\$553,477.00	\$543,502.76
UMF	2	2	0.46	0.46	0	0	\$1.00	\$1.00
UMFK	1	1	2.3	2.3	0	0	-	-
UMaine	22	26	2688	2788.84	105,042	169,045	\$443,152.00	\$515,805.00
UMM	0	0	0	0	0	0	-	-
UMPI	0	0	0	0	0	0	-	-
USM	5	5	0	0	18,577	18,577	\$170,223.00	\$147,010.12
UMS	1	1	0	0	657	657	\$10,800.00	\$10,800.00
Totals	40	45	2,690.76	2791.6	176,383	255,916	\$1,177,653.00	\$1,217,118.88

Leased to Others (UMS is Lessor)

	Leases		Acreage		Square Feet		Annual Cost	
	Previous	Current	Previous	Current	Previous	Current	Previous	Current
UMA	3	3	0	0	6,544	7,027	\$17,325.00	\$17,394.30
UMF	2	3	0.1	0.1	6,009	7,836	\$19,800.00	\$26,200.00
UMFK	1	0	0	0	794	0	\$12,544.00	-
UMaine	32	35	31.38	27.50	21,355	33,193	\$182,263.00	\$393,062.36
UMM	2	3	0	0	2,610	2,735	\$28,301.00	\$26,041.00
UMPI	5	5	84.43	84.53	3,380	1,847	\$29,199.00	\$21,999.00
USM	19	22	1.91	0.74	29,481	27,315	\$343,011.00	\$301,159.18
UMS	0	0	0	0	0	0	-	-
Totals	64	71	117.82	112.87	70,173	79,953	\$632,443.00	\$742,261.54



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Darling Marine Center Waterfront Infrastructure Improvement, UM
2. **INITIATED BY:** Samuel W. Collins, Chair Pro Tem

3. **BOARD INFORMATION:** **BOARD ACTION:** X

4. **OUTCOME:** **BOARD POLICY:**
 Improve Student Success and Completion 701 – Budgets-Operating & Capital
 Enhance Fiscal Positioning
 Support Maine through Research and Economic Development

5. **BACKGROUND:**

The University of Maine System acting through the University of Maine (UM) requests to increase the total authorization for the previously-approved Darling Marine Center Waterfront Infrastructure Improvement project by up to \$2,200,000, for a new total of up to \$5,200,000. The additional funding comes from potential new funds from the Economic Development Association (EDA) and various matching fund sources already identified by the campus. The requested increased authorization is contingent on and will be exercised only if the EDA funds become available. This request follows the receipt of bids earlier this year which greatly exceeded pre-bid estimates and the prior budget authorization such that no contract was awarded at that time. The project has been reconsidered and further funding sought since that time.

This current request is pursuant to Board Policy 701, which requires projects with a total cost of more than \$500,000 to be considered by the Board of Trustees or its Finance, Facilities and Technology Committee. In this case, the request is to forward the recommendation to the Consent Agenda of the full Board for approval.

The request is being made on a contingent basis because the timing of the University bid for this project could be critical in securing the most advantageous pricing and is believed to be at least part of the reason for the previously high bids. The preferred timing will require moving forward after the EDA determination is communicated to the University, hopefully in October, 2019, and before Trustees meet again, which is scheduled for late November.

The work of the project involves replacement of the existing pier, which is closed for most uses due to its deterioration, and renovations to the flowing seawater laboratory on site at the Darling Marine Center on the Damariscotta River in Walpole, Maine. The scope of the project remains as originally described in the July 2017 request (attached for reference) with the adjustment to the schedule for completion by the end of calendar year 2020.

08/23/2019

The need for the project continues and is heightened by the recently approved \$20 million grant from the National Science Foundations' Established Program to Stimulate Competitive Research (EPSCoR). The flowing seawater facility, research vessels and shoreside support provided by the pier are critical assets for this work.

The intent, should the additional EDA funding become available, is to bid the project immediately following confirmation of funding availability and to have contracts in place by calendar year end. The expectation is that this schedule would find more contractors available to bid on the projects and would allow them ample time to order materials and plan for the work come spring. The early bid timing will also allow a longer construction period – not compressing the time available to complete the necessary work.

As reported in June 2019, these projects were put out to bid this past spring but came in significantly over the pre-bid estimated budget. The campus has worked with the designers, end users and department to review the scope schedule and budget and to determine the best path forward, which is the reason the request is before Trustees at this time. The University has requested an increase of \$1,100,000 in funding from the EDA for the project and is awaiting a response which is expected in early October, 2019. The campus has also identified means for providing a match to the EDA funding should that become available.

6. TEXT OF PROPOSED RESOLUTION:

That the Finance, Facilities and Technology Committee forwards this item to the Consent Agenda at the September 15-16, 2019 Board of Trustees meeting for the following resolution:

That the Board of Trustees authorizes the University of Maine System acting through the University of Maine to expend up to \$5,200,000 for the Darling Marine Center Waterfront Infrastructure Improvement project pending authorization from the EDA of additional grant funding and the University's match.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Darling Marine Center Waterfront Infrastructure Improvement, UM
2. **INITIATED BY:** James H. Page, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **BACKGROUND:**

The University of Maine System acting through the University of Maine requests authorization to expend up to \$3 million for the Darling Marine Center (DMC) Waterfront Infrastructure Improvement project. Resources for this project include funding from a State of Maine Marine Bond, Campus Reserves and a pending and matching federal Economic Development Agency grant.

This request is pursuant to Board policy 701 which requires Trustee approval for projects with a total budget of over \$500,000. In this case, the request is to approve and to forward this matter to the Consent Agenda of the Board of Trustees.

This waterfront infrastructure project represents a revitalization of existing facilities. The Darling Marine Center is a University of Maine marine research and education facility located in Walpole, Maine, on the eastern side of the Damariscotta River. The infrastructure supports coastal and offshore marine research and education; buoy and ocean sensor operations critical for ecosystem monitoring and Maine's marine economy; applied research and development in collaboration with the marine aquaculture and fisheries industries, and citizen science.

This project has been identified by the DMC Strategic Plan and the Phase I DMC Master Plan by Harriman as essential to continuing the DMC's and University of Maine's mission. The proposed project will also have a statewide impact as the DMC's applied research on commercially valuable marine species and its partnerships with marine businesses and management agencies, support local economies throughout the state.

The overall project is intended to improve shoreline infrastructure by revitalizing existing structures, utilities and features that support marine research activities as follows:

A. Pier Replacement: \$1.7 million

The purpose of the pier replacement is to replace the existing pier, originally constructed in the 1960s, to restore full service in support of the Center. The replacement pier will be a concrete structure, approximately 94 feet by 19 feet. It will replace the existing and currently closed pier. The existing abutment and caissons will be rehabilitated and re-

used, such that the new pier will be located in the same location and avoid new or adverse impacts to submerged areas. The preliminary design includes a jib crane, pedestrian gangway(s), and multiple concrete floats to optimize available dock area and water access. The existing pier is a concrete and steel structure with a gangway and floats that provides vehicle and pedestrian access to the water for vessel loading and research activities. The existing pier has reached the end of its lifespan and its replacement is essential to maintaining marine research through support of vessel operations, diving, and other water-dependent activities. This work accounts for an estimated \$1.7 million of the total project.

B. Flowing Seawater Laboratory Renovation: \$1.05 million

This portion of the project will partially renovate the flowing seawater laboratory to improve its use and efficiency. This lab allows for marine research using actual seawater pumped from the estuary. This is unique among land grant universities and provides critical research opportunities for Maine researchers, students and industry partners. The new layout will more effectively distribute seawater throughout the facility and allow for multiple trials critical to the health of economically important fished and farmed seafood species to be performed simultaneously through the use of various-sized tanks. The flowing seawater lab was most recently renovated more than 25 years ago and the original building is more than 40 years old. This work is estimated at \$1.05 million.

C. Upgrades to Flowing Seawater Infrastructure: \$250,000

These upgrades will consist of upgrading the pump system that provides flowing seawater to the laboratory building to a more efficient and modern pump station. This work is budgeted to cost approximately \$250,000.

No new square footage is involved in this project. The facilities at the Center have not been tracked by Sightlines so current estimated net asset value is unavailable. The maintenance, utility and operation costs once these improvements are completed are not expected to change materially and will continue to be covered through the DMC's budget. Pending award of the Federal grant, design is expected to begin immediately following award with construction beginning as early as August 2017 and completion of all phases by the end of calendar year 2018.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the July 17, 2017 Board meeting.

5. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the University of Maine to expend up to \$3,000,000 including \$650,000 in Marine Bond, \$850,000 in Campus reserves, and \$1,500,000 in Federal grant funding for the Darling Marine Center Waterfront Infrastructure Improvement project, dependent upon final approval of the pending federal grant application.

7/6/2017