



Board of Trustees
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January 17, 2020

TO: Members of the Board of Trustees
Faculty and Student Representatives

FR: Ellen N. Doughty, Clerk of the Board

RE: **January 2020 Board 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

Enclosed are the materials for the **Board of Trustees Meeting on Sunday and Monday, January 26-27, 2020**, hosted by the University of Maine. Directions are included in the Board meeting materials. Parking is available in the Dunn Hall parking lot.

The Board Meeting materials are available on the Diligent portal, for those who have access, and in PDF format on the Board of Trustees website at: www.maine.edu/UMStrusteesmeetings

Live audio streaming will be available for the Board meeting on Sunday and Monday. The links to the live streaming and the captioning are on the Board of Trustees website at: www.maine.edu/board.

All Meeting Times Can Be Found on the Agenda of the Board Meeting Materials

On Sunday, January 26th, the Board meeting will be called to order in the Wells Conference Center - Room 3. The Board will go directly into an Executive Session. Following the Executive Session, the Board meeting will reconvene in the Wells Conference Center – Room 1 for the Public meeting. Following the Public meeting a reception and dinner will be held in Buchanan Alumni.

On Monday, January 27th, the Board meeting begin with an opportunity for continental breakfast and networking, followed directly by the Public meeting. The Board meeting on Monday will be in the Wells Conference Center – Room 1.

Meeting rooms have been reserved for the Faculty & Student Representatives if they would like to meet in their respective groups. The Faculty Representatives can meet in Wells Conference Center – Room 2 and the Student Representatives can meet in Corbett Hall – Room 134.

Overnight accommodations for those that have requested, have been made at the Courtyard Marriott, 236 Sylvan Rd, Bangor, 04401. PH 207-262-0070.

Incoming messages can be left with the UM President's Office at 581-1554 or with Heather Massey at 991-4724 or Ellen Doughty at 949-4905.

In the event of a postponement, cancellation, or changes in the Board of Trustees meeting, a message will be recorded on the Board Office cell phone (991-4724). In addition, every effort will be made to personally contact the Board of Trustees, the Presidents, and the Faculty and Student Representatives.

cc: Chancellor Dannel Malloy
University Presidents
System Staff



Directions to UM Campus – Wells Conference Center

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. Continue on College Ave and enter campus at the Long Road campus entrance on the right.

From the North on I-95: take exit 193 to Stillwater Avenue and turn left. Drive straight for one mile and turn right onto College Avenue. Drive one mile and turn left onto the UMaine campus (Long Road).

The Wells Conference Center and parking locations are noted on the UM campus map.



2015-16 Campus Map

- P** VISITOR permits authorize parking in any black lot or visitor space.
- RED** (Resident Student) permits authorize parking in red lots.
- BLACK** (Commuter Student) permits authorize parking in black lots.
- BLUE** (Faculty/Staff) permits authorize parking in any blue or black lot.
- GREEN** (Carpool) permits authorize use of individually allocated spaces.

Permits MUST be displayed on interior mirror.

Signs governing lots take precedence over all maps and permits

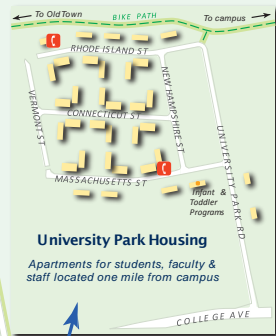
- ?** Information **A** Ambulance
P Public Bus Stop **E** Emergency Phone

Visitor Parking

Visitors need permits. Visitor Permits allow parking in metered spaces, any BLACK lot and they are available free from:

- Visitors Center in Buchanan (F-5)
- MeCard Services in Mem. Union (D-3)
- UMaine Police (E-1)
- Bear Necessities in Alford (A-5)

Parking Office: 207581.4047



Parking will be in the Dunn Lot

Wells Conference Center

Welcome!
 to the University of Maine, Orono

Please respect that UMaine is a walking campus
 Pedestrians have right-of-way at all times

Winter Parking Ban
 Blue & Black lots, as well as visitor spaces, are closed to parking from midnight to 6:00 am from November 1 to May 1.

Overnight Parking Permits
 are available from UMaine Police and the MeCard Services, 130 Memorial Union.

umaine.edu/parking

DISTANCE 1/8 MILE
 Walking time 2-3 minutes

UMaine ©2016
 Cartography by Purple Lizard Maps
 Please suggest edits to mike@purplelizard.com

University of Maine System – Board of Trustees Meeting

January 26 & 27, 2020

at the University of Maine
Wells Conference Center

Revised - 1/21/2020

AGENDA

Meeting Room for Faculty Representatives – Room 2, Wells Conference Center

Meeting Room for Student Representatives – Room 134, Corbett Hall

(These rooms will be available starting at 12:00 pm on 1/26/20)

Sunday, January 26, 2020 – Wells Conference Center

Call to Order @ 1:30 pm – Room 3

The Board of Trustees will go directly into Executive Session

Executive Session from 1:30 pm to 4:15 pm

Call to Order/Reconvene Public Meeting @ 4:30 pm – Room 1

Chair's Remarks (5 minutes)

Presentation from Michael Weber, Dean of the Graduate School of Business (20 minutes)

Tab 1 – [The MaineMBA Update](#)

BOT/BOV Meeting @ 5:00 pm

Tab 2 - [Meeting with BOT and UM BOV](#)

Reception @ 6:00 pm – Buchanan Alumni House (**Cash Bar**)

(By Invitation Only)

Dinner @ 7:00 pm – Buchanan Alumni House

(By Invitation Only)

Monday, January 27, 2020 – Wells Conference Center

Coffee & Networking @ 8:00 am

Call to Order/Reconvene @ 8:30 am

Citizen Comment

The Board of Trustees provides time for citizen comment prior to the business agenda at each meeting. The Chair of the Board will establish time limits (usually three minutes per person) and determine any questions of appropriateness and relevancy. Personnel decisions, collective bargaining issues, grievances, litigation and other areas excludable from public discussion under the Maine Freedom of Access Law shall not constitute appropriate matters for such input. A person who wishes to speak during the citizen comment period should arrive prior to the meeting start time and sign up on a sheet provided, indicating name and topic of remarks.

Chair's Report (15 minutes)

- UMFK Presidential Search Update
- NECHE Conference Update

Chancellor's Report (5 minutes)

Action Item

Tab 3 - Unified Accreditation Authorization (45 minutes)

Vice Chancellor for Finance and Administration & Treasurer's Report (20 minutes)

Tab 4 - Finance and Administration Update

Interim Vice Chancellor for Academic Affairs' Report (60 minutes)

Tab 5 - Academic Affairs Update

Action Items

Tab 6 - Acceptance of Minutes (5 minutes)

Tab 7 - Honorary Degree Nominations for 2021 (5 minutes)

Tab 8 - Confirmation of Student Representatives to the Board of Trustees (5 minutes)

Tab 9 - P3 Residence Hall and SSC Award, USM (45 minutes)

Tab 10 - Wishcamper Center Parking Lot Expansion, USM (15 minutes)

Consent Agenda (5 minutes)

January 6, 2020 – Academic & Student Affairs Committee Meeting

Tab 11 - New Academic Program Proposal: UMF Master of Arts in Counseling Psychology with an Emphasis in Creative Arts

January 8, 2020 – Finance, Facilities & Technology Committee Meeting

Tab 12 - Naming of North Engineering Annex, UM

Tab 13 - Renovation of Brooks Dining Hall Patio, USM

Tab 14 - Construction of the Nursing High Fidelity Simulation Lab, USM

Tab 15 - Randall Student Center Renovation & Addition, UMA

Tab 16 - Real Property Authority Matrix Update, UMS

Tab 17 - Bailey Hall Fire Protection and Electrical Upgrades, USM

Lunch Break (20 minutes) (Timing of the lunch break will be at the discretion of the Chair)

Discussion Items

Tab 18 - State of IT Report (15 minutes)

Tab 19 – Update of Board of Trustees Policy 411 - Health Insurance for Retirees and Former Employees on Long Term Disability (15 minutes)

Research & Academic Initiatives

Tab 20 - Presentation on the Master of Science in Cybersecurity, USM/UMA (15 minutes)

Tab 21 - UMS Research Reinvestment Fund Grand Challenge Pilot Initiative (30 minutes)

Date of the Next Meeting: March 15 & 16, 2020 at the University of Southern Maine

Attachments

UM BOV Membership List (Confidential)

Financial Update – Flash Reports

- Managed Investment Pool

- Pension Fund

- Operating Fund

Unified Accreditation Final Recommendation

Unified Accreditation Reports from September 2019 & November 2019 Board of Trustees Meetings

Letter of Support for Unified Accreditation from the UMPI Student Government
Honorary Degree Nominations for 2021 – List (*Confidential*)
Honorary Degree Nominations for 2021 – Narratives (*Confidential*)
UMF Master of Arts in Counseling with an Emphasis on Creative Arts Program Proposal
Board Policy 411- Health Insurance for Retirees and Former Employees on Long Term Disability
Proposed Administrative Practice Letter (APL) to replace Board Policy 411
Proposed Delegation of Authority Matrix Update
Previous Agenda Item Sheet for Machine Tool Lab Building Replacement – Approved January 2019
Wishcamper Parking Lot Expansion

- Wishcamper Surface Lot Expansion Images
- USM Parking Assessment
- Parking Feasibility Study

P3 Residence Hall and CSSC Award Authorization, USM

- [USM P3 Presentation to the Board of Trustees](#)
- USM P3 Residence Hall Student Center Recommendation
- Capstone Presentation to USM – redacted
- Capstone Proposal – redacted
- Guide to Higher Ed Public-Private Partnerships

Reports

[UMS Interactive Dashboard](#)

Agenda Calendar

2018-2019 Annual Completions Report

Capital Project Status Report

- Executive Summary
- Capital Project Status Report
- Capital Project Status Report – Bond Report

Report to the Task Force to Recommend Sustainable Funding for Maine Public Higher Education Infrastructure

FY19 Annual Report on Gifts, Fundraising, & Endowments

UMS Report on Part-Time Faculty Usage and Compensation

Maine Community College System Report on Compensation Equity

Sole Source Procurement & Contributions Report

Hiring Guide for Maine Employers - Spring 2020

Presentations

The MaineMBA Update Presentation

Development of Super-Resolution Microscopy and its Scientific and Economic Impacts

Net Asset Value Presentation

Vice Chancellor of Academic Affairs KPI Presentation

2019 State of IT Presentation

Tabs noted in red text are action items.

Note: Times are estimated based upon the anticipated length for presentations 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 Board.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** The MaineMBA Update
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOMES:** **BOARD POLICY:**
 Primary Outcomes:
 Increase enrollment
 Improve student success and completion
 Enhance fiscal positioning
 Secondary Outcomes:
 Relevant academic programming
5. **BACKGROUND:**
 The MaineMBA is a globally ranked, 30-36 credit graduate degree program that prepares leaders to move through the volatile and rapidly changing markets with innovation and agility. We educate MBA candidates to be creative and strategic thinkers, to solve complex problems, and to lead, manage, and communicate within the business environment. The MaineMBA is Maine Centric and Globally Relevant.

 UM Dean of the Graduate School of Business, Dr. Michael Weber will present a review and discussion of the MaineMBA initiative that has yielded significant enrollment gains, global rankings, and statewide collaborations.

Presentation:

[The MaineMBA Update Presentation](#)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Meeting with UM Board of Visitors
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
102 Charter, Section 4B.5
5. **BACKGROUND:**

The Board of Trustees (BOT) and the Boards of Visitors (BOV) for the universities are collaborating to increase engagement. The BOT/BOV partnership increases advocacy and adds value for UMS, our students and the State.

One aspect of this engagement is a regularly scheduled meeting of the BOT with the local BOV when the BOT meets on a campus. Members of the UM BOV will meet with the BOT for a discussion of campus BOV strategic goals and concerns.

Attachment:

[UM BOV Membership List for 2019-2020](#) (*Confidential*)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Unified Accreditation Authorization
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:** 308
 Increase Enrollment
 Improve Student Success and Completion
 Relevant Academic Programming
 Enhance Fiscal Positioning
 Support Maine through Research and Economic Development
5. **BACKGROUND:**

At the Board's July 2019 meeting, Chair James Erwin stated that it was the Board's sense that, in order for UMS to move forward with and attain the strategic goals established in the December 2018 Declaration of Strategic Priorities to Address Critical State Needs, UMS needs to be able to deliver significantly more collaborative, market-relevant cross-campus programming. In recent years, however, there have been significant challenges to developing, delivering, and managing such programs at the scope, scale, and pace the Board determines to be necessary to meet Maine's higher education attainment needs, some of which stem from the fact that each UMS university is accredited separately from other universities in the System.

Recognizing these challenges, Chair Erwin asked UMS Chancellor Dannel Malloy to review UMS's accreditation status and provide recommendations for what accreditation structure would be most likely to permit UMS to achieve its strategic goals and best serve the higher education needs of its students and the State of Maine.

In his September 2019 report to the Board, detailing historical consideration of a System-wide accreditation back more than three decades, Chancellor Malloy recommended that UMS universities begin a process to unify their accreditations to a statewide accreditation within the University of Maine System based on a series of Guiding Principles that were developed by the Chancellor, the UMS Presidents, and Senior System Staff and reviewed by staff at UMS's regional accreditor, the New England Commission of Higher Education (NECHE). Accepting that report on September 16, the Board directed the Chancellor to visit UMS campuses to gather input from key academic leaders and staff to determine how to successfully implement unified accreditation, continue discussions with NECHE and the U.S. Department of Education as necessary to ensure UMS planning and actions incorporate relevant input from those entities, and develop, with input from System Presidents and campuses, a process, plan,

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and timeline to seek unified accreditation from NECHE that could successfully transition UMS to a statewide accreditation model, to be presented at the November 17-18, 2019 Board meeting.

UMS and University leaders presented the *UMS Summary of Process Considerations and Framework for Pursuing Unified Accreditation* report and answered questions from the Board at the November 17-18 meeting.

As directed in the November 18, 2019 Resolution following Board acceptance of the report, the Chancellor, Senior System staff, Presidents, and university-based accreditation leaders have been planning how to prepare the necessary substantive change application to NECHE to transition existing university institutional accreditations to a unified accreditation for the University of Maine System, including by engaging University Faculty Senate and Assembly leadership to discuss an appropriate academic governance model and process.

UMS leaders will discuss the Chancellor's *Unified Accreditation Final Recommendation* included with the Board's materials and the Chancellor will ask the Board to adopt the following resolution authorizing UMS to seek unified accreditation from NECHE.

6. RESOLUTION:

That the University of Maine System Board of Trustees directs the Chancellor and UMS University Presidents to prepare and submit an appropriate substantive change application to the New England Commission of Higher Education (NECHE) to transition the current separate UMS university institutional accreditations to a unified institutional accreditation for the University of Maine System, covering all of its universities, in such time as to permit NECHE's initial consideration by June 30, 2020.

Board approval for unified accreditation is subject to the following conditions:

1. Unified accreditation must be planned, applied for, and administered in such ways as will follow the University of Maine System Charter, the Guiding Principles established by the Chancellor in consultation with System University Presidents, the Board's policies on academic freedom and shared governance, and current labor agreements. The unified accreditation model planned and developed by the Chancellor and UMS University Presidents will be structured to achieve the highest quality student experience, academic program quality and relevance, and university financial stability in accord with the System's mission in service to the State of Maine.
2. As the UMS substantive change application to NECHE is developed, the Chancellor and UMS University Presidents will review UMS Board Policies to ensure alignment with the unified accreditation model developed in compliance with NECHE's *Standards for Accreditation*. The Chancellor and UMS University Presidents will report and provide recommendations to the Board no later than the May 2020 meeting of any changes in existing UMS Board policies, or necessary new policies, that should be adopted for alignment.
3. At each Academic and Student Affairs Committee meeting and every other Board meeting through NECHE's comprehensive evaluation of UMS's unified accreditation, there will be a standing agenda item for the Chancellor and Presidents to report to the

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Board on progress, status, and issues. The Chancellor is directed to, as soon as is practical, present to the Board a project timeline and milestones, together with a tracking plan with which to monitor progress both toward achieving unified accreditation and the Board's strategic priorities that it advances.

4. Recognizing that NECHE's *Standards for Accreditation* themselves establish the essential elements of higher education institutional quality, by which UMS universities, acting together in the System in a unified accreditation model, will work together to improve the System's quality, increase its effectiveness, and continually strive for collaborative excellence, the Board expects that the process of developing the unified accreditation substantive change application and comprehensive evaluation report will necessarily identify opportunities to improve System quality on each of the NECHE *Standards'* elements. At the same time, the Board expects to maintain progress and momentum on its Declaration of Strategic Priorities and Key Performance Indicators. Therefore, as part of the report called for in Paragraph 3 above, the Chancellor will include proposals for aligning UMS's Strategic Priorities and KPIs with the outcomes intended to be achieved through unified compliance with NECHE's *Standards* at the System level.
5. It is the Board's expectation that unified accreditation will not require substantial increases to System administration or governance at the expense of university administration and governance or academic program and student support resources. UMS University Presidents and the Chancellor will develop and seek from NECHE a unified accreditation model that coordinates System and university-based resources in System-wide coordinated efforts to achieve compliance with NECHE *Standards* across the System, and sustain those changes to ensure high quality educational experiences in accord with the *Standards*.
6. Appreciating the Chancellor's transparency in the unified accreditation effort to date, the Board directs that all System and university constituencies be updated regularly on the status of UMS's application for unified accreditation, progress toward achieving the same, and the nature and extent of challenges and successes that are encountered throughout the System and at UMS universities in the process.

Attachments:

[Unified Accreditation Final Recommendation](#)

[Unified Accreditation Reports from September 2019 & November 2019 Board of Trustees Meetings](#)

[Letter of Support for Unified Accreditation from the UMPI Student Government](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Finance and Administration Update
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** Enhance fiscal positioning **BOARD POLICY:**
5. **BACKGROUND:**

The Vice Chancellor for Finance and Administration and Treasurer Ryan Low will provide two brief updates at the January 26-27, 2020 Board of Trustees meeting.

1. Financial Update – Vice Chancellor Low will present the UMS Flash Reports.
2. KPI Update – Vice Chancellor Low will update the Board on Net Asset Value (NAV), a key KPI tracked by UMS. This presentation will be part of a series of regular updates to the Board by the Vice Chancellors on the progress in meeting KPIs.

Attachments:

[Managed Investment Pool Flash Reports](#)
[Pension Fund Flash Reports](#)
[Operating Fund Flash Reports](#)
[Net Asset Value Presentation](#)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Vice Chancellor for Academic Affairs' Update
2. **INITIATED BY:** Dannel Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** Relevant Academic Programming Enrollment **BOARD POLICY:**
5. **BACKGROUND:**

The Vice Chancellor for Academic Affairs' (VCAA) update at the January 2020 Board of Trustees meeting has three items.

1. **Faculty Spotlight:** Dr. Samuel Hess, Professor of Physics and Astronomy, will present "The Development of Super-Resolution Microscopy and its Scientific and Economic Impacts." In his presentation, he will give an overview of the science, example applications, and economic impact.
2. **Programs for Examination:** Dr. Robert Placido, Vice Chancellor of Academic Affairs, will provide a brief update on the redesign of the Programs for Examination (PFE). The PFE process began two years ago with the intent to annually review every UMS program and then flag those that warrant further examination. Enrollment and conferrals by program were the first two measures used to flag programs. The CAOs added the number of full-time faculty this year to the criteria. Flagging programs with less than three faculty. The redesigned PFE will combine department programs to more holistically reflect a program's overall impact on the university and include other factors, such as General Education semester credit hour production.
3. **KPI Update:** Dr. Robert Placido will update the Trustees on the status of Fall 2020 applications across the UMS. He will also demonstrate the new Microsoft Business Intelligence (BI) platform for sharing this type of analysis.

Presentations:

[Development of Super-Resolution Microscopy and its Scientific and Economic Impacts](#)

VCAA KPI Update Presentation

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Acceptance of Minutes
2. **INITIATED BY:** James R. Erwin, Chair
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

The following minutes will be presented to the Board of Trustees for approval at the January 26 & 27, 2020 Board meeting:

November 17-18, 2019 – Board of Trustees Meeting
December 2, 2019 – Investment Committee Meeting
December 2, 2019 – Executive Committee Meeting
January 6, 2020 – Academic & Student Affairs Committee Meeting
January 6, 2020 – Human Resources & Labor Relations Committee Meeting
January 8, 2020 – Finance, Facilities, Technology Committee Meeting

The Board of Trustees website link to the minutes is: <http://www.maine.edu/about-the-system/board-of-trustees/meeting-minutes/>

6. **TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the minutes as presented.

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AGENDA ITEM SUMMARY

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1. **NAME OF ITEM:** Honorary Degree Nominations for 2021
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
213 – Honorary Degrees
5. **BACKGROUND:**

Honorary Degree nominations from the University of Maine System campuses are presented annually for approval. In accordance with Board practice, the nominations are presented a year in advance and will be reviewed in Executive Session. Action will be taken in the public meeting without identification of the individual honorees. Publicity is the responsibility of the campus after arrangements for conferral of the degree are complete.

6. **TEXT OF PROPOSED RESOLUTION**

That the Board of Trustees approves the 2021 nominations for Honorary Degrees as presented.

Attachment:

[Honorary Degree Nominations for 2021 - List](#) (*Confidential*)

[Honorary Degree Nominations for 2021 - Narratives](#) (*Confidential*)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Confirmation of Student Representative to the Board of Trustees
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
Policy 205 - Faculty & Student Representatives to the Board of Trustees
5. **BACKGROUND:**
To create the environment for interaction among and between Faculty and Student Representatives, the Trustees and System administration, the Trustees have provided opportunities for participation in the meetings of the committees of the Board.

One faculty member and one undergraduate student from each of the seven universities and one graduate student from the University of Southern Maine and one graduate student from the University of Maine will be appointed by the Board as non-voting representatives to the Board of Trustees and invited to participate as non-voting members on the standing committees.

Normally, the representative is expected to complete a two year term; therefore, it is an expectation that the minimum term of service by Faculty and Student Representatives to the Board be two years. The nominations will be forwarded through the Presidents to the Chancellor for submission to the Board for Trustee approval.

The following nomination is being recommended by the President:

Graduate Student Representative:
Ameya Karapurkar, UM – appointed for a 2 year term – January 2020 to January 2022
6. **TEXT OF PROPOSED RESOLUTION:**
That the Board of Trustees approves the appointment of the Student Representative to the Board of Trustees as presented.

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** P3 Residence Hall and CSSC Award Authorization, USM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
 Increase Enrollment 701 – Budgets-Operating & Capital
 Improve Student Success and Completion
5. **BACKGROUND:**

The University of Maine System acting through the University of Southern Maine (USM) requests authority to enter into an agreement with Capstone Development Partners resulting from a public, competitive process for the preliminary development of a Public Private Partnership (P3) contract to design, construct and operate a new student residence hall and Career and Student Success Center on the Portland campus.

In brief, the requested authorization is part of a several component plan, consistent with USM's master plan accepted by Trustees in January, 2019, to construct two new facilities on the Portland campus for students as well as to construct additional parking capacity to meet current and future demand.

This particular request for authorization would be for a preliminary agreement to allow design and associated services and expenses up to \$5.7 million in connection with the P3 residence hall and Career and Student Success Center. USM would be responsible for these costs should a final contract agreement not be reached to proceed with the construction of the facilities. If the project advances to construction and occupancy, these costs would be incorporated into the long-term P3 agreement for the residence hall and the financing arrangement for the CSSC.

P3 projects also are being explored for other projects across the System as a means to generate investment in the University's infrastructure that would not otherwise be possible, among other benefits. A white paper about P3 projects in higher education is included with the materials for this agenda sheet for general information about P3's.

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 Finance, Facilities and Technology Committee voted to advance the project to the full Board of Trustees for consideration. This request is also pursuant to Trustee policy prohibiting increases in space without Trustee authorization. USM currently plans to off-set much of the new space through the

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demolition of existing space making this potentially a largely renovation through replacement project, but at least temporary increases in total space are possible.

Additional Trustee policies may ultimately also be relevant, such as those governing leases or other types of real estate agreements. This project also is connected with distinct parking proposals that also are subject to Trustee consideration.

The overall current schedule of Trustee consideration of these projects is:

January 2020:

Consideration by the respective committees and the Board of Trustees of approval for a \$1.7 million expansion of surface parking for construction in summer 2020; an information briefing about a subsequently planned \$11.9 million, 425 space structured parking facility; and approval of a preliminary agreement for as much as \$5.7 million to continue design and development of the P3 residence hall and Career and Student Success Center.

February-March 2020:

An informational update regarding the \$1.7 million expansion of surface parking for construction in summer 2020; approval of up to an anticipated \$1.5 million for design and development of 425 space structured parking facility; an informational update for the P3 residence hall and Career and Student Success Center; and a potential request for revenue bonding authority for the residence hall and Career and Student Success Center pursuant to Policy.

April-May:

Informational updates about all projects: surface parking expansion; structured parking; design and development; and, the P3 residence hall and Career and Student Success Center.

June-July-August-September:

Informational update about the surface parking expansion which is planned to enter service at this time; approval of increased project budget to allow for bidding for the construction of a 425 space structured parking facility, currently estimated to have a project cost of \$11.9 million; and, further requests for the additional agreements that will be needed to proceed to P3 residence hall and Career and Student Success Center construction. Those additional details will result from the design, development and discussions between now and then.

September 2020-July 2022:

Construction of and informational updates at each FFT meeting and full Trustee meetings as directed by the FFT or otherwise warranted regarding the parking structure and the P3 residence hall and Career and Student Success Center.

August-September 2022:

Occupancy of the new facilities.

The P3 subject to this agenda item has resulted from two public, competitive processes and has been subject to other Trustee discussion and related actions.

Selected milestones include:

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- June 2017: USM begins its facilities master planning process.
- December 5, 2018: Brailsford and Dunlavey, Inc., is awarded a consulting contract as a result of RFP 2019-021, which was advertised on October 1, 2018, for P3 or Alternative Approach for Constructing Residential Housing.
- Fall 2018: USM completes its facilities master plan.
- November 2018: Voters approve a general obligation bond including funds to support USM student career and success center.
- January, 2019: Trustees accept the USM master facilities plan which among its top recommendations calls for the career and student success center as well as student housing to be created on the Portland campus.
- January, 2019: Trustees approve UMS expending up to \$1 million to begin the Schematic Design of the Career and Student Success Center.
- June, 2019: Brailsford and Dunlavey present the findings of the Market Demand Report which support proceeding with the project and USM provides an update on the Career & Student Center and Residence Hall Project to the FFT Committee.
- August 7, 2019: RFP2020-011 for –Public Private Partnership for Portland Campus Student Housing and Student Center is released and advertised.
- November 19, 2019: Capstone Development Partners is selected as a result of RFP2020-011 for the project, contingent on Trustee approval.
- January 10, Pre-application meeting and discussion with City of Portland.
- January 2020: Trustees are asked to authorize proceeding with an initial agreement with Capstone.

The Project will be funded using both private funds, existing funds from the 2018 Facilities and Infrastructure Improvement Bonds and potentially additional financing mechanisms. USM allocated \$19 million from the 2018 Facilities and Infrastructure Improvement Bonds to build a new Career and Student Success Center on the Portland Campus.

The next step in this P3 transaction is for USM/UMS and the developer to enter a pre-development agreement (PDA) to establish the parameters of the relationship between the parties and their respective obligations. Upon completion of the PDA, USM/UMS would begin working with Capstone Development Partners to complete Preliminary Development Phase Services of the project and would also begin subsequent contract negotiations. It is the authority to proceed with that agreement which is the specific item being requested at this time.

This will be the first residential facility on the Portland campus. The current intended scope of the project includes:

- Residence hall(s) with approximately 577 beds, 550 of them revenue generating,
- Approximately 60,000 square foot Career & Student Success Center
- Green space

6. TEXT OF PROPOSED RESOLUTION:

That the University of Maine System Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of

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Maine System acting through the University of Southern Maine to enter a pre-development agreement and to begin contract negotiations with Capstone Development Partners regarding the Career & Student Success Center and Residence Halls Project; and to expend or obligate the University to expend up to \$5.7 million, pursuant to that initial agreement, with funding to be determined by the campus Chief Business Officer and University Treasurer and the final terms and conditions of the agreement subject to review and approval by University Counsel and the Vice Chancellor for Finance and Administration and Treasurer.

Attachments:

[USM P3 Presentation to the Board of Trustees](#)

[USM P3 Residence Hall Student Center Recommendation](#)

[Capstone Presentation to USM – redacted](#)

[Capstone Proposal – redacted](#)

[Guide to Higher Ed Public-Private Partnerships](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Wishcamper Center Parking Lot Expansion, USM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
 Improve Student Success and Completion 701 – Budgets-Operating & Capital
 Increase Enrollment
5. **BACKGROUND:**

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The University of Maine System acting through the University of Southern Maine (USM) requests authorization to expend up to \$1.71 million to expand the current surface parking area behind the Wishcamper Center on the Portland campus at the University of Southern Maine to compensate for parking being removed from service elsewhere on campus. Funding for this project will come from a combination of Campus E&G funds and University Capital Reserve funds.

This request is pursuant to Board of Trustees 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 Finance, Facilities and Technology Committee voted to advance the project to the full Board of Trustees for consideration.

USM has several transportation projects in progress to address the demand for parking on the Portland campus. USM has engaged with Vanasse Hangen Brustlin, Inc., or VHB, a multidisciplinary American civil engineering consulting and design firm, to assist with this work. A recent assessment by VHB estimates that if USM could gain, after losses and increases, a net of approximately 300 to 400 spaces from current levels to a new total parking availability of approximately 2,000 to 2,100 spaces, that capacity would meet the University's needs for most and possibly all of the coming decade.

USM, in short, intends to offset current anticipated losses of parking and to meet the future demand for parking by expanding the Wishcamper surface lot, building a structured parking facility shortly thereafter and reducing demand via a transportation demand management effort. That VHB assessment is included in the materials for this meeting, and USM's plans are further detailed in this agenda information sheet.

For background, the existing parking capacity at USM of approximately 1,700 spaces is heavily utilized but demand does not exceed capacity. VHB found that parking demand at USM peaks at approximately 93 percent of capacity across the entire campus, meaning more than 100 spaces remain available even at peak times. Certain lots are more popular than others but overall VHB

estimates that capacity exceeds demand. There are rare exceptions when a special event or circumstance has seen demand exceeded capacity, but these instances are anecdotal and unusual.

First, USM is seeking to expand a surface parking area. The request to do so is prompted by a reduction of 26 spaces which will be removed from service at the Brighton Avenue lot, 130 spaces which will be removed from service at the Bedford Street lot and an estimated 29 that will be lost at a facilities building. That is an estimated total of approximately 185 spaces that ultimately, if not simultaneously, will be removed from service. Parking capacity would be sufficiently maintained and these losses sufficiently off-set by expanding the Wishcamper surface lot by a proposed 122 spaces as USM works to approximate the status quo during this interim period of construction.

In detail, the Brighton Avenue lot will go off line when the City of Portland initiates construction on the Brighton Avenue roundabout project. That project was advertised for bids in December 2019 and could begin as soon as March 2020. The spaces in the Bedford Street lot would be lost to a staging area for the construction of the new Residence Hall and Student Success Center. The Bedford Street spaces would ultimately become the new University quad when construction is completed. The facilities building spaces would be displaced by the new construction. The proposed expansion at Wishcamper would bring that area to a new total of 213 spaces.

USM is taking a number of additional steps beyond proposing this expansion of a surface parking area.

For example, as part of a transportation demand management effort, USM has: increased public transportation access to and between its Portland and Gorham campus via the Metro Husky Line and the remainder of the Metro service area; is altering the scheduling of classes beginning in fall 2020 to level out the use of campus parking and academic facilities by distributing courses more evenly across days and hours which will reduce the current peak parking demand levels; is appointing a Transportation Demand Management coordinator and formalizing its transportation demand management plan to pursue numerous additional initiatives, all intended to reduce the need for single occupant vehicle parking spaces on campus.

The Wishcamper expansion and traffic demand management alone will not be enough to meet the parking needs of the campus.

Next, to reach a new total capacity of 2,000 to 2,100 spaces as indicated by the VHB assessment, USM intends to ask to construct an approximately 425-space parking facility. Parking demand estimates and feasibility studies have been done, along with initial conceptual design, for such a structure.

It is currently estimated that such a project would provide USM with a parking capacity on the Portland campus of approximately 2,000 to 2,100 spaces in 2022 depending on exactly how many spaces are lost to construction and whether minor additions are possible as events unfold.

Trustees will be asked at their next meeting to consider action on this structured parking facility portion of the USM plan. That project would be expected to open in the summer of 2022, contemporaneously with the proposed residence hall and student success center at the Portland campus.

Assuming a construction cost of \$20,000 per structured space and a total of 425 spaces, the project would have a total preliminarily estimated budget of \$11.9 million, including not only

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construction, but also design, site work, permitting, contingency, certain and other associated budget items. The \$20,000 construction cost estimate is within but at the low end of the range provided by RS Means' industry estimating benchmarks. Taken together, this results in the total preliminary project budget of \$11.9 million (\$12.7 inclusive of financing), or approximately \$29,000 per space.

Funding is expected to come from a University of Maine System revenue bond. USM would support debt service on that bond through a combination of user fees and university resources.

Two initial locations have been considered for the potential new structure at this time. One location is adjacent to Sullivan Gym and one is adjacent to the existing parking structure, which itself is connected to the Abromson Center. A final location will be determined as design proceeds.

Conceptual drawings are included in the attached Platz feasibility materials for both of the described locations. Platz Associates is a multidiscipline design firm with the experience and expertise to provide design and development services for educational, governmental, commercial, industrial, medical, retail, and residential projects. As design continues, optimizing the proposed investment to expand the surface parking at Wishcamper will be a consideration and it may be a point of consideration which favors locating the new proposed structured parking adjacent to the Sullivan gym. The location determination will be made as design proceeds and any project also will be subject to local public planning and permitting process.

Design and permitting for the Wishcamper surface parking area expansion, which is the matter that is the subject of the resolution today, are currently in progress. If authorized, construction would start following commencement in May. Completion of the project would be anticipated in time for the start of the fall 2020 semester. No additional operational expenses are expected because of this expansion.

6. TEXT OF PROPOSED RESOLUTION:

That the University of Maine System Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of Maine System acting through the University of Southern Maine to expend up to \$1.71 million for the expansion of the Wishcamper Center surface parking lot on the Portland campus with funding from E&G, University Capital Reserve, and Financing with final funding to be determined by campus Chief Business Officer and University Treasurer.

Attachments:

[Wishcamper Surface Lot Expansion Images](#)

[USM Parking Assessment](#)

[Parking Feasibility Study](#)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** New Academic Program Proposal: M.A. in Counseling Psychology with an Emphasis in Creative Arts, UMF
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** Relevant Academic Programing **BOARD POLICY:** 305.1 Program Approval, Review & Elimination Procedures
5. **BACKGROUND:**

The University of Maine of Farmington (UMF) is seeking permission to offer a Master of Arts in Counseling Psychology with an Emphasis in Creative Arts (MCCA). As described in the included proposal, the MCCA will provide a unique option for the field of Counseling which will blend areas of the Creative Arts to meet student demand and increase our competitiveness with external Universities.

The proposal was reviewed by all appropriate faculty and administrative levels at UMF and was reviewed and subsequently recommended by the Chief Academic Officers Council. Dr. Robert Placido, Vice Chancellor of Academic Affairs recommended the program to the Chancellor. Chancellor Malloy signed his approval of the UMF MCCA on December 18, 2019.

The Academic and Student Affairs Committee agreed to forward the following resolution to the Consent Agenda for approval at the Board of Trustees meeting on January 26-27, 2020 Board meeting.

6. **TEXT OF PROPOSED RESOLUTION**
That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and authorizes the creation of the Master of Arts in Counseling Psychology with an Emphasis in Creative Arts at the University of Maine at Farmington.

Attachment:

[UMF Master of Arts in Counseling with an Emphasis on Creative Arts Program Proposal](#)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Naming of North Engineering Annex, UM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** Increase Enrollment **BOARD POLICY:** 803 – Naming of Physical Facilities
5. **BACKGROUND:**

The University of Maine System acting through the University of Maine requests authorization for the naming of a new facility pursuant to Board of Trustee Policy 803. The proposed name of the facility is the North Engineering Annex. Policy 803 reserves to the Board of Trustees the authority for naming physical facilities. The policy states, in part: “Facilities may be named for any individual, living or dead, except for current employees or current members of the Board of Trustees. Other acceptable names include, but are not limited to, geographical designations, functions, or University groups.”

This facility is the temporary home to the Machine Tool laboratory functions which are being relocated from the existing Machine Tool Lab building as part of the Ferland Engineering Education & Design Center (Ferland EEDC) project. The construction of the Engineering Annex was approved in January of 2019. At the time the building was referred to as the Machine Tool Lab Building replacement. The prior agenda sheet is attached for reference.

When the Ferland Engineering Education & Design Center (Ferland EEDC) is completed, the machine tool lab functions are expected to return to that facility. At that time, the North Engineering Annex is planned to become swing space during the renovation of additional engineering facilities. The new facility is expected to open and to be in use during the spring 2020 semester.
6. **TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of Maine System acting through the University of Maine to name a new facility the North Engineering Annex.

Attachment

[Previous Agenda Item Sheet for Machine Tool Lab Building Replacement - Approved Jan 2019](#)

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Renovation of Brooks Dining Hall Patio, USM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
Improve Student Success and Completion 701 – Budgets-Operating & Capital
Increase Enrollment
5. **BACKGROUND:**

The University of Maine System acting through the University of Southern Maine (USM) requests authorization to expend up to \$650,000.00 to renovate and return to operational service the existing upper patio of the Brooks Dining Center on the Gorham campus of the University of Southern Maine. The funds to cover these costs are to be provided by Campus E&G.

This request is pursuant to the Board of Trustees 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 approve and to forward this matter to the Consent Agenda for the January 26-27, 2020 Board of Trustees meeting.

In the summer of 2019 approximately \$2.6 million in renovations were completed to Brooks Dining Hall. This included a complete renovation of the dining hall, new electrical service and generator. In order to obtain occupancy from the town of Gorham for Brooks Dining Hall. USM committed to renovating the patio to address code compliance for egress from the dining hall by the fall of 2020. USM also closed the patio for uses other than emergency egress in the interim.

USM will allocate \$650,000 for renovations and upgrades of the existing upper patio. The plan is to provide structural design, code compliance and architectural upgrades to the existing unused upper patio to allow safe student egress and use.

The Brooks Dining Center is approximately 28,000 square feet. It was built in 1968 and is the only dining facility on the Gorham campus. Each week, Sodexo serves about 10,000 meals from the dining hall. An additional 500-700 transactions are done daily at the snack bar. Numerous student activities also take place on a daily basis in the building.

6. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of Maine System acting through the University of Southern Maine to expend up to \$650,000 to provide structural design, code compliance and architectural upgrades to the existing unused upper patio of Brooks Dining Hall at the University of Southern Maine with funding from Campus E&G, with finding to be determined by the campus Chief Business Officer and University Treasurer.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Construction of the Nursing High Fidelity Simulation Lab, USM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
Accommodate Growth in Enrollment 701 – Budgets-Operating & Capital
Improve Student Success and Completion
5. **BACKGROUND:**

The University of Maine System acting through the University of Southern Maine (USM) requests authorization to expend up to \$1,500,000.00 to design and construct a High Fidelity Nursing Simulation Lab in existing space at the University of Southern Maine to be funded by the 2018 Facilities and Infrastructure Improvement Bonds.

This request is pursuant to Board of Trustees 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 approve and to forward this matter to the Consent Agenda of the Board of Trustees.

USM allocated \$1.5 million from the 2018 Facilities and Infrastructure Improvement Bonds to provide renovations to approximately 2,000 square feet of currently unfinished space in the existing Science Building for the build out of a new High Fidelity Nursing Simulation Lab on the Portland Campus. The Science Building is approximately 140,000 gross square feet and consists of an original building with two additions. The renovation will take place in what is known as the Bio Research C-wing which was built in 2003 and has a Net Asset Value (NAV) of 91%.

USM has seen a growth in enrollment of 135 students, or 38%, in Nursing programs since 2015. The USM nursing program has “bed labs” and a small simulation laboratory, however there is not a simulation laboratory of sufficient size to accommodate the growth in nursing enrollments. Expansion is necessary to create a state-of-the-art Simulation Center that will allow the curriculum to expand the use of clinical simulation in facilitating student learning. This Simulation Center will assist the faculty in accommodating the increasing numbers of nursing applicants and enrolled students, and to

teach in a way that better prepares the nursing workforce. It will also provide the opportunity for offering advanced professional development programs for nurses currently employed.

While the space is currently unfinished, it is heated and cooled with the rest of the building. Any increase in operating costs is expected to be negligible and will be covered by the campus operating budget.

6. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the recommendation of the Finance, Facilities, and Technology Committee to authorize the University of Maine System acting through the University of Southern Maine to expend up to \$1.5 million to design and construct a Nursing High Fidelity Simulation laboratory in the Science Building located on the Portland Campus.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Randall Student Center Renovation & Addition, UMA
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
 Increase Enrollment 701 – Budgets-Operating & Capital
 Improve Student Success GSF Increase
5. **BACKGROUND:**

The University of Maine System acting through the University of Maine at Augusta (UMA) requests to spend up to \$6,850,000 for a renovation and addition to the Randall Student Center to improve space for a variety of services focused on student recruitment and retention, such as Admissions; Enrollment; and Advising, as well as other student services as detailed below.

The Welcome Center project includes an addition to and renovation of the Richard J. Randall Student Center. This is consistent with the UMA master plan accepted by Trustees in May of 2018. The project will be funded through a mix of 2018 voter approved general obligation bond funds and 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. The request is also pursuant to Trustee policy prohibiting net increases in space without Trustee authorization. In this case, the request is to approve and to forward this matter to the Consent Agenda for the January 26-27, 2020 Board of Trustees meeting.

UMA began developing the plans for the Augusta Welcome Center in the spring of 2019. The scope of the project and total budget have increased to accommodate campus needs and the current construction cost environment. The Welcome Center project will include the construction of an 8,400 square foot addition added to the south end of the Randall Student Center. The new space will include a large entrance lobby which will serve as a “hub” for activities in the building. In addition, there will be office spaces for the Enrollment Services and Admissions departments. The new addition will contain a much-needed large gathering space that will be available for campus events and activities.

The Welcome Center project will also involve renovating the first floor of the Randall Center to create improved office space for the Advising Center, Registrar’s Office, Student Financial Services department, Instructional Technology, University Store, and

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two academic spaces, a MAC Lab and the Flight Simulator Lab.

The second floor of the Randall Center will be renovated to create improved space for Student Government, the Student Accounts office, multiple Student Life departments, a staff lounge and additional conference/meeting rooms. The Fireplace Lounge will be converted into a large multipurpose student lounge, giving UMA students a place to relax and socialize before, in between, and after classes.

The result of the construction and renovations will have the Randall Student Center serving as the “campus center” of student government, student services and student life departments, conveniently located in close proximity to the student lounge, campus dining, IT Help Desk and University Store.

UMA plans to obtain bids this winter and begin construction as soon as possible thereafter. Occupancy, pending a successful bid, is anticipated in early 2021.

UMA will utilize \$2,885,000 from the 2018 voter approved bond and will fund the remaining approximately \$4 million project costs from UMA funds.

This request is also pursuant to Trustee policy prohibiting net increases in space without Trustee authorization. In this instance, off-setting space reduction has occurred in the past as described further below, rather than contemporaneously or prospectively. The new 8,400 square foot addition portion of the project is far less than the more than 60,000 gross square feet UMA has removed in the past 10 years. For example, UMA has removed Augusta Hall, Lincoln Hall and Dow Chapel.

Additionally, UMA has the strongest net asset value of any campus, having already achieved the Trustees’ interim goal of attaining net asset value better than 63 percent and UMA is approaching the long-term goal of 70 percent. The existing Randall Student center itself has an NAV of 74 percent. UMA also has the highest density measure of any campus in the System.

The renovations and addition will have a minor, but positive, impact on these metrics. The operating costs of the new square footage are estimated to be approximately \$55,000 per year. UMA will adjust the campus operating budget to factor in these new costs.

6. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee to authorize the University of Maine at Augusta to expend \$2,885,000 in 2018 general obligation bond and up to \$3,965,000 of E&G funds to renovate the Richard J. Randall Student Center and construct an addition to this building to serve as the UMA Welcome Center, with final funding sources to be determined by the UMA Chief Business Officer and University Treasurer.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Real Property Authority Matrix Update, UMS
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
Support Maine through Research
and Economic Development
5. **BACKGROUND:**

The University of Maine System requests authorization to update the delegation of authority matrix for real property matters, which is attached, to permit increases in University owned or occupied research space with the approval of the Chancellor.

The Board of Trustees since March 2015 has reserved to itself the authority for approving all increases in facility space which is to be owned or occupied by the University of Maine System. This directive is administered in parallel with the separate Trustee Policy 701 which requires any capital project of more than \$500,000 to be approved by Trustees.

Today's proposed change would leave intact the requirement that Trustees approve any project with a value greater than \$500,000 and also would leave intact the requirement that Trustees directly approve any increases in space apart from research space. The intention of this change is to ensure Trustees continue to consider for approval all capital projects of notable scale while also signaling some unique flexibility regarding research space.

This special consideration of research space is intended, in part, to be in support of the Trustees Strategic Goals and Actions and the subsequent University of Maine System Research Plan, which was presented to Trustees in May, 2019. The full report is available at: <https://umaine.edu/researchplan/>

Finding 3 of the plan states in part, with *emphasis added*:

“Between 2007 and 2016, Maine’s total R&D expenditure declined nearly 40 percent — the largest decline of any state over that period. The System as a whole is underperforming in higher education R&D expenditures. There are dozens of federal competitive grant programs available across the major science agencies annually in R&D areas of relevance to the state of Maine for which few or, in some cases, no applications are made from System universities. This unacceptable situation results from a combination of lack of faculty with expertise or interest in

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key areas; insufficient administrative capacity to support proposal planning and submission; inadequate faculty time to prepare proposals because of competing teaching and service loads; and lack of graduate students, postdoctoral associates, and technicians. *In addition, there is a critical need for improved facilities; modern and sophisticated instruments and research resources; and procedures for sharing equipment and instruments.* Sometimes, faculty cannot pursue research funding opportunities because the needed equipment, facilities, and capabilities do not exist in the System, or the costs of compliance and purchasing licenses would be too great for faculty to cover from their own research budgets. Universities similar to UMaine have this research infrastructure in place, which puts our faculty at a disadvantage when competing for federal grants. And there are opportunities to engage undergraduate students in research that are not being realized because of the lack of needed equipment and personnel. Improving modernized equipment has the added benefit of enabling the training of our students to prepare for jobs of the future that would use this instrumentation. All campuses report a large need for more administrative support in R&D.

Despite all this, we are confident that System faculty and staff are resourceful and deeply committed to their students, their research, and to Maine, and that we can remedy much of this situation with relatively modest resources, and increased coordination and communication.”

Additionally, the flexibility to expand or build research space/infrastructure will facilitate the nimble creation, launch, and scaling of cross-campus/multi-campus academic programs, including STEM collaborations aligned with state and regional workforce needs.

New or expanded research facilities can further be a significant enrollment driver for UMS in the coming years. All students, and ultimately all campuses, will benefit from the attractions of state-of-the-art research infrastructure.

6. **TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the Chancellor to approve increases in University owned or occupied space when the space is for research purposes with timely appropriate disclosure of such approvals to be given to the Board of Trustees.

Attachment:

[Proposed Real Property Authority Matrix Update](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Bailey Hall Fire Protection and Electrical Upgrades, USM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
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 Southern Maine (USM) requests an increase in the total authorization for the previously-approved Bailey Hall Fire Protection and Electrical Upgrades project of up to \$1,808,000, for a new total maximum authorized expenditure of up to \$4,388,000. The additional funding will be from sources identified by the Chief Business Officer for USM.

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 approve and to forward the recommendation to the Consent Agenda for the January 26-27, 2020 Board of Trustees meeting.

The project is required to achieve compliance with directives of the State Fire Marshal's office. In March of 2015, the State Fire Marshal issued a directive to have an automatic sprinkler system installed in Bailey Hall by March of 2020 to meet current code for the type of building. The campus received an extension on this deadline and is working closely with the state as the project moves forward.

The project consists of upgrades to the building fire protection system, fire panel and alarm system, and building electrical service as well as abatement of related asbestos-containing building materials. Additional work in the library area of the building including ceiling, lighting and heating, ventilation and cooling (HVAC) equipment replacement was determined to be necessary in the midst of the design work during the summer of 2019. The abatement work was completed during the summer of 2019 while the fire protection and electrical design work continued.

Trustees authorized \$2,580,000 for this project in January 2019. The current request for increased authorization is in part due to increases in scope necessitated during the design process and also in part by bids continuing to exceed estimates on this project.

Multiple attempts – including April and September of 2019 – have been made to bid the full project and portions of the work over the last year. Each time bids came in significantly over the pre-bid estimated budget.

Most recently, the project was issued once again for bids in November 2019 with the bid opening in late December 2019. The university received six responsive bids although only one sprinkler sub-contractor bid on the project.

That bid, which followed work by the university with contractors, designers, and building occupants to review the scope, schedule and budget to determine the best path forward, is what has precipitated the current request for increased authorization.

The current requested budget reflects the bid results for the full project with completion of the project over two summers. A full project contingency is included in the proposed new budget, which increases confidence in the ability of the project to be completed within budget.

The Sightlines Net Asset Value (NAV) of Bailey Hall is estimated at 41%.

6. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees authorizes the University of Maine System acting through the University of Southern Maine to expend up to \$4,388,000 for the Bailey Hall Fire Protection Upgrade project. With the additional funding to be determined by the campus Chief Business Officer and University Treasurer.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** State of IT Report 2019
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Dr. David Demers, Chief Information Officer, will share highlights from the State of IT 2019 Report, including progress on major capital investments to improve systems and infrastructure across the University as well as current efforts to support One University and Unified Accreditation efforts. This report is being provided this year in electronic newsletter format to improve usability, readability and accessibility.

Link to Report: wpsites.maine.edu/stateofitreport/

Presentation:
[2019 State of IT Presentation](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Update of Board of Trustees Policy 411 Health Insurance for Retirees and Former Employees on Long Term Disability
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
Policy # 411
5. **BACKGROUND:**

Chris Lindstrom, Interim Chief Human Resources Officer, will provide information for the proposed repeal of the current Board of Trustees Policy 411 Health Insurance for Retirees and Former Employees on Long Term Disability in favor of establishing an Administrative Practice Letter (APL) for the same purpose.

Attachments:

[Board Policy 411 Health Insurance for Retirees and Former Employees on Long Term Disability](#)
[Proposed Administrative Practice Letter \(APL\) to replace Board Policy 411](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Presentation on the Master of Science in Cybersecurity, USM/UMA
2. **INITIATED BY:** Dannel Malloy, Chancellor
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
Increased Enrollment & Student Success
5. **BACKGROUND:**

President Glenn Cummings, USM, and President Rebecca Wyke, UMA, will present their plans for an online Master of Science in Cybersecurity degree to be jointly offered by the University of Maine at Augusta and the University of Southern Maine.

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AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** UMS Research Reinvestment Fund Grand Challenge Pilot Initiative
2. **INITIATED BY:** James R. Erwin, Chair
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

The University of Maine System (UMS) Research & Development Plan (R&D Plan) was adopted by the Board in May 2019 and provides a roadmap for research and development at the state's public universities to promote industry, business, and community growth in Maine. Advancing the goals articulated in the R&D Plan requires enhanced cooperation among System campuses and strong collaborative partnerships with external organizations and stakeholders. Long-term outcomes of the R&D Plan include attracting new people and financial resources to the state of Maine, addressing the current and future workforce needs of Maine, and elevating R&D activities across the System. These outcomes are well aligned with the State of Maine's ten year Strategic Economic Development Plan that was released in December 2019 and focuses on promoting innovation and attracting talent to Maine.

The UMS R&D Plan recommends that the System launch a series of grand challenges over the next decade as a central part of the plan's implementation. Grand challenges are problems of global, national, and regional significance that require interdisciplinary teams to work together to develop and implement innovative solutions. Such initiatives are ambitious in scope, long-term in scale, and convergent in design. Research universities across the country are engaging in grand challenges focusing their research, education, and outreach efforts to promote discovery, develop the workforce, and engage the public in solving intractable societal problems.

With funds available for FY 2020 through the UMS Research Reinvestment Fund (RRF), the System launched a Grand Challenge Pilot Initiative with a central theme of *Rural Health and Wellbeing* to bring together R&D strengths related to this theme that exist across the System. A call for concept papers was announced in November 2019 and an update on the initiative will be provided at the January 26-27, 2020 Board of Trustee meeting.

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University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
MIP Composite	358,814,117	100.0	100.0	1.7	3.0	13.7	9.5	7.3	4.4	6.0	6.4
Allocation Index				1.6	3.8	15.4	10.7	8.5	5.4	6.7	6.7
Policy Index				1.6	3.6	15.3	10.7	8.9	5.8	7.0	7.0
Total Domestic Large Cap	82,529,641	23.0	22.0	3.6	7.7	27.6	16.0	14.8	10.9	14.1	13.4
S&P 500				3.6	7.7	27.6	16.1	14.9	11.0	14.4	13.4
SSgA S&P 500	82,529,641	23.0	22.0	3.6	7.7	27.6	16.0	14.8	10.9	14.3	13.4
S&P 500				3.6	7.7	27.6	16.1	14.9	11.0	14.4	13.4
Total Domestic Small/Mid Cap	28,905,976	8.1	8.0	6.2	6.2	24.2	10.2	10.4	8.1	12.1	12.9
Russell 2500				4.3	4.9	25.1	11.4	10.3	8.8	12.3	13.1
Westfield Capital	15,221,106	4.2	4.0	9.3	8.9	31.5	18.7	16.7	10.1	13.5	14.6
Russell 2500 Growth				6.8	6.1	31.4	17.2	15.2	10.9	14.3	14.8
DFA	13,684,871	3.8	4.0	2.9	3.4	17.0	2.2	3.6	5.5	10.2	--
Russell 2000 Value				2.3	4.2	18.3	4.0	5.0	6.8	10.2	11.0
Total International Equity (including emerging markets)	88,068,227	24.5	25.0	0.7	0.9	12.0	7.4	6.9	2.5	3.9	4.8
MSCI EAFE				1.1	3.6	18.2	12.4	9.6	4.3	6.3	5.3
Morgan Stanley	22,986,369	6.4	6.5	1.3	2.5	16.9	10.7	9.3	3.5	5.3	5.3
Globeflex	22,590,770	6.3	6.5	1.3	0.9	10.8	5.0	6.5	3.4	5.4	5.3
MSCI EAFE				1.1	3.6	18.2	12.4	9.6	4.3	6.3	5.3
Kabouter International Opportunities Offshore Fund II	18,438,751	5.1	5.0	1.5	1.2	13.7	6.1	--	--	--	--
MSCI EAFE Small Cap				2.2	6.4	19.7	12.0	10.4	7.8	9.4	8.4
Emerging Markets Equity	24,052,338	6.7	7.0	-1.0	-1.0	8.0	7.2	4.8	0.1	0.4	--
MSCI Emerging Markets				-0.1	-0.3	10.2	7.3	9.0	3.1	2.9	3.3
Aberdeen Emerging Mkts	12,281,618	3.4	3.5	-1.7	-2.8	11.6	9.9	7.8	2.4	1.9	4.8
MSCI Emerging Markets				-0.1	-0.3	10.2	7.3	9.0	3.1	2.9	3.3
Mondrian EM Small Cap	11,770,720	3.3	3.5	-0.2	1.0	4.4	4.3	1.5	-2.2	--	--
MSCI Emerging Markets Small Cap				-0.6	-1.5	5.1	3.4	4.6	1.2	2.2	3.0
Total Fixed Income	82,074,402	22.9	24.0	0.1	1.5	7.2	7.2	4.1	2.9	3.4	4.7
BBgBarc US Aggregate TR				-0.1	2.5	8.8	10.8	4.1	3.1	2.7	3.6
Commonfund	25,103,854	7.0	7.0	0.0	2.6	9.0	10.1	4.8	3.4	3.4	4.5
BBgBarc US Aggregate TR				-0.1	2.5	8.8	10.8	4.1	3.1	2.7	3.6
Vanguard Inflation-Protected Securities	12,791,054	3.6	3.5	0.2	1.5	7.7	8.3	3.0	--	--	--
BBgBarc US TIPS TR				0.2	1.8	8.0	8.6	3.2	2.3	0.9	3.1



November 30, 2019

University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Vanguard Short-Term Inflation-Protected Securities	12,283,925	3.4	3.5	0.1	0.7	--	--	--	--	--	--
BBgBarc US TIPS 1-5 Yr TR				0.1	0.6	4.3	4.5	1.9	1.4	0.7	1.6
Blackrock Strategic Income Opportunities	16,984,149	4.7	5.0	0.0	1.4	6.6	6.7	--	--	--	--
3-Month Libor Total Return USD				0.2	0.9	2.2	2.4	2.0	1.4	1.1	0.9
Bain Capital Senior Loan Fund	14,911,419	4.2	5.0	0.4	0.5	6.1	3.7	--	--	--	--
Credit Suisse Leveraged Loans				0.6	1.0	6.5	4.0	4.3	4.0	4.3	5.3
Total GAA	53,299,062	14.9	15.0	0.1	0.8	9.6	8.5	5.2	2.5	3.6	4.0
65% MSCI ACWI (Net) / 35% BBgBarc Global Agg				1.3	3.6	16.6	12.1	9.2	5.6	6.7	6.5
GMO Global Absolute Return	26,237,044	7.3	7.5	0.4	0.5	7.3	5.9	4.9	2.3	3.8	4.2
Blended Index				0.4	2.2	10.3	10.2	5.0	3.9	3.7	4.9
Newton Global Real Return	27,062,018	7.5	7.5	-0.1	1.0	10.0	10.6	5.5	--	--	--
60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg				1.2	3.4	15.8	11.9	8.8	5.3	6.3	6.1
Total Hedge Funds	20,289,391	5.7	6.0	2.2	1.9	9.6	7.7	3.3	1.7	2.5	2.3
HFRI Fund of Funds Composite Index				0.5	0.1	6.2	4.5	3.5	2.0	3.3	2.7
Lighthouse	20,289,391	5.7	6.0	2.2	1.9	9.6	7.7	4.4	--	--	--
Credit Suisse Long Shrt Eqt USD				1.3	2.8	9.6	6.9	6.2	3.5	5.9	5.1
Total Real Assets	1,522,388	0.4	0.0	0.0	-0.1	-1.0	-6.1	-3.5	0.3	4.1	--
NCREIF Timberland Index				0.0	0.2	1.3	2.1	3.1	4.4	6.0	4.0
John Hancock Timber Fund	1,522,388	0.4	0.0	0.0	-0.1	-1.0	-6.1	-3.5	0.3	4.1	0.1
NCREIF Timberland Index				0.0	0.2	1.3	2.1	3.1	4.4	6.0	4.0
Private Equity	2,091,166	0.6	0.0	0.0	7.4	11.1	4.0	14.5	9.1	--	--
Landmark Equity Partners XV	2,091,166	0.6	0.0	0.0	7.4	11.1	4.0	14.5	9.1	--	--
Cambridge Associates US All PE (1 Qtr Lag)				0.0	3.4	6.7	10.7	15.2	11.5	13.7	14.5
Total Cash	33,864	0.0	0.0								
Distribution Account	33,864	0.0	0.0	0.1	0.7	1.8	2.0	1.3	0.8	0.6	0.5
91 Day T-Bills				0.1	0.8	1.9	2.1	1.6	1.0	0.7	0.5

Notes:

Fiscal YTD begins 7/1

Blended Index: 40% BC Aggregate, 30% BC U.S. TIPS 1-10YR, 10% S&P 500, 10% BC High Yield, 10% JPM EMBI+

Returns are net of manager fees

John Hancock Timber market value as of 09/30/19

Landmark market value is estimated as of 11/30/2019

Cash account includes \$434 currently being held in the TCW account.



November 30, 2019

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University of Maine System Pension Plan

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	YTD (%)	1 Yr (%)	2 Yrs (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Pension Composite	26,426,962	100.0	100.0	0.9	3.1	11.7	10.1	4.3	6.3	4.1	5.4	6.0
Allocation Index				1.0	3.0	12.1	9.6	4.5	7.2	5.0	6.3	6.5
Policy Index				1.0	3.2	12.9	10.3	4.9	7.4	5.3	6.5	6.9
Total Global Equity	8,090,468	30.6	30.0	2.6	--	--	--	--	--	--	--	--
MSCI World				2.8	6.0	24.0	14.5	7.1	12.4	7.7	10.4	9.3
Walter Scott Global Equity Fund	8,090,468	30.6	30.0	2.6	--	--	--	--	--	--	--	--
MSCI World				2.8	6.0	24.0	14.5	7.1	12.4	7.7	10.4	9.3
Emerging Markets Equity	1,093,024	4.1	3.0	-0.2	1.0	4.4	4.3	-4.6	1.6	-2.2	-1.2	--
MSCI Emerging Markets				-0.1	-0.3	10.2	7.3	-1.2	9.0	3.1	2.9	3.3
Mondrian EM Small Cap	1,093,024	4.1	3.0	-0.2	1.0	4.4	4.3	-4.6	1.6	-2.2	--	--
MSCI Emerging Markets Small Cap				-0.6	-1.5	5.1	3.4	-5.8	4.6	1.2	2.2	3.0
Total Fixed Income	11,536,743	43.7	43.0	0.0	2.0	8.0	8.9	4.1	4.0	3.0	2.8	4.0
BBgBarc US Aggregate TR				-0.1	2.5	8.8	10.8	4.5	4.1	3.1	2.7	3.6
Vanguard Total Bond Market Index	7,159,094	27.1	26.0	-0.1	2.6	8.9	10.8	4.6	4.2	--	--	--
BBgBarc US Aggregate TR				-0.1	2.5	8.8	10.8	4.5	4.1	3.1	2.7	3.6
Vanguard Inflation-Protected Securities	938,438	3.6	3.5	0.2	1.5	7.7	8.3	3.5	--	--	--	--
BBgBarc US TIPS TR				0.2	1.8	8.0	8.6	3.7	3.2	2.3	0.9	3.1
Vanguard Short-Term Inflation-Protected Securities - VTSPX	915,300	3.5	3.5	0.1	0.7	--	--	--	--	--	--	--
BBgBarc US TIPS 1-5 Yr TR				0.1	0.6	4.3	4.5	2.4	1.9	1.4	0.7	1.6
BlackRock Strategic Income Opportunities	1,185,481	4.5	5.0	0.0	1.4	6.6	6.7	--	--	--	--	--
3-Month Libor Total Return USD				0.2	0.9	2.2	2.4	2.4	2.0	1.4	1.1	0.9
Bain Capital Senior Loan Fund	1,338,429	5.1	5.0	0.4	0.5	6.2	3.7	--	--	--	--	--
Credit Suisse Leveraged Loans				0.6	1.0	6.5	4.0	4.0	4.3	4.0	4.3	5.3
Total GAA	1,914,955	7.2	8.0	-0.1	1.0	12.1	11.2	3.2	5.9	2.9	3.6	4.4
65% MSCI ACWI (Net) / 35% BBgBarc Global Agg				1.3	3.6	16.6	12.1	5.1	9.2	5.6	6.7	6.5
Newton Global Real Return	1,914,955	7.2	8.0	-0.1	1.0	10.0	10.6	5.5	5.5	--	--	--
60% MSCI ACWI (Net) / 40% FTSE WGBI				1.0	3.3	15.6	11.8	4.9	8.8	5.3	6.1	5.9
Total Alternative Investments	1,245,344	4.7	5.0	2.2	1.9	9.6	7.7	2.3	3.3	2.0	2.9	2.5
HFRI Fund of Funds Composite Index				0.5	0.1	6.2	4.5	1.4	3.5	2.0	3.3	2.7
Lighthouse	1,245,344	4.7	5.0	2.2	1.9	9.6	7.7	3.3	4.4	--	--	--
Credit Suisse Long Shrt Eqt USD				1.3	2.8	9.6	6.9	2.7	6.2	3.5	5.9	5.1



November 30, 2019

University of Maine System Pension Plan

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	YTD (%)	1 Yr (%)	2 Yrs (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Total Real Assets	2,122,328	8.0	8.0									
Principal	2,122,328	8.0	8.0	0.6	2.6	5.6	6.2	7.0	7.4	9.3	10.1	10.9
NCREIF ODCE				0.0	1.3	3.8	5.6	7.1	7.3	9.3	10.3	10.9
Total Cash	424,100	1.6	3.0									
Distribution Account	424,100	1.6	3.0	0.1	0.8	1.9	2.0	1.8	1.3	0.8	0.6	0.4
91 Day T-Bills				0.1	0.8	1.9	2.1	2.0	1.6	1.0	0.7	0.5

Notes:

Fiscal YTD begins 7/1

Blended Index: 40% BC Aggregate, 30% BC U.S. TIPS 1-10YR, 10% S&P 500, 10% BC High Yield, 10% JPM EMBI+

Returns are net of manager fees



November 30, 2019

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University of Maine System Operating Fund

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Operating Funds Composite	280,277,102	100.0	100.0	0.4	1.6	6.2	5.8	3.7	2.4	2.5	2.7
<i>Allocation Index</i>				0.5	1.8	6.5	5.9	3.9	2.7	2.7	2.7
Liquidity Pool Composite	72,543,857	25.9	30.0	0.2	0.8	2.0	2.2	1.5	1.0	0.8	0.6
State Pool	31,826,485	11.4		0.2	0.9	2.1	2.3	1.6	1.1	0.9	0.7
BOA General Fund	2,985,309	1.1		0.0	0.2	0.8	1.0	0.5	0.3	0.2	--
Federated Gov't Obligations	14,482,171	5.2		0.1	0.9	2.0	2.2	1.5	--	--	--
JP Morgan US Gov't Money Market Fund	23,249,892	8.3		0.1	0.8	2.0	2.2	1.5	--	--	--
<i>FTSE T-Bill 3 Months TR</i>				0.1	0.9	2.1	2.3	1.6	1.0	0.7	0.5
Income Pool Composite	139,370,657	49.7	47.5	0.1	1.4	5.5	5.8	2.9	2.3	2.2	3.0
Income Research + Management	77,155,596	27.5	26.0	0.0	1.2	4.0	4.7	2.1	1.7	1.4	--
<i>BBgBarc US Govt/Credit 1-3 Yr. TR</i>				0.0	1.0	3.8	4.6	2.1	1.6	1.4	1.5
BlackRock Strategic Income Opportunities	20,568,675	7.3	7.0	0.0	1.3	6.6	6.6	3.9	--	--	--
<i>3-Month Libor Total Return USD</i>				0.2	0.9	2.2	2.4	2.0	1.4	1.1	0.9
Loomis Sayles Bank Loans	20,992,511	7.5	7.0	0.4	1.3	6.8	4.4	3.5	3.4	3.4	4.4
<i>Loomis Bank Loans Custom Index</i>				0.5	2.0	8.4	5.6	4.0	4.0	4.2	5.3
Vanguard Total Bond Market Instl' Fund	20,653,875	7.4	7.5	-0.1	2.6	8.9	10.9	4.2	3.1	2.7	3.5
<i>BBgBarc US Aggregate TR</i>				-0.1	2.5	8.8	10.8	4.1	3.1	2.7	3.6
Total Return Pool Composite	68,362,588	24.4	22.5	1.5	2.9	13.3	10.5	7.4	4.5	5.0	5.4
Lighthouse	14,893,883	5.3	5.0	2.2	1.9	9.6	7.7	4.4	--	--	--
<i>Credit Suisse Long Shrt Eqt USD</i>				1.3	2.8	9.6	6.9	6.2	3.5	5.9	5.1
Newton Global Real Return	11,994,438	4.3	4.0	-0.1	1.0	10.1	10.6	5.5	--	--	--
<i>60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg</i>				1.2	3.4	15.8	11.9	8.8	5.3	6.3	6.1
PIMCO All Asset	11,988,502	4.3	4.0	0.1	0.9	9.2	8.0	6.4	3.5	3.4	5.1
<i>Blended Index</i>				0.4	2.2	10.3	10.2	5.0	3.9	3.7	4.9
Vanguard Total World Stock Index	29,485,765	10.5	9.5	2.6	5.3	22.5	13.6	11.9	7.6	--	--
<i>FTSE Global All Cap Index</i>				2.5	5.4	22.4	13.7	11.8	6.5	8.4	7.3

Notes:

Returns are net of manager fees.

The inception date for the allocation index is 07/01/2009

Fiscal YTD begins 7/1

Blended Index: 40% BC Aggregate / 30% BC U.S. TIPS 1-10YR / 10% S&P 500 / 10% BC High Yield / 10% JPM EMBI+

Loomis Bank Loans Custom Index blends performance of "S&P/LSTA Leveraged Loan Index" before 9/1/2014 and "S&P/LSTA Leveraged BB Loan Index" after 9/1/2014.

Composite excludes external loans.

Blackrock SIO changed its share class in May 2018 to BSIKX.



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UNIFIED ACCREDITATION FINAL RECOMMENDATION

TO: University of Maine System Board of Trustees

FROM: Dannel P. Malloy, Chancellor

CC: UMS University Presidents

DATE: January 27, 2020

This statement summarizes my recommendation that the University of Maine System (UMS) Board of Trustees authorize and direct UMS's public universities to seek approval from the New England Commission of Higher Education (NECHE) to transition their existing separate university institutional accreditations to a unified institutional accreditation for UMS. At your direction from your November 18, 2019 meeting, I have brought forward a Resolution calling for this action, along with the governance conditions that I believe will ensure its success.

As you know from [my previous reports](#), in response to concerns earlier in UMS's history that its universities were not meeting the purpose of the System's founding, this Board first authorized the pursuit of unified institutional accreditation for in 1986, calling it an "excellent opportunity to pioneer in the pursuit of excellence."¹ While that authorization was not implemented at the time or since, the more recent reality of constrained resources, declining demographics, evolving student expectations, technological advances, and state workforce needs, along with the Board's own strategic priorities that require increasing collaboration between UMS universities in better service to the State of Maine, all demand, more than ever before, that we finally take this step.

Unified accreditation offers the opportunity for our universities to work together to offer academic programming they cannot stand up on their own and share administrators, faculty, technology, and other resources and best practices to improve the overall quality of the

¹ See *Unified Accreditation Recommendation*, at 3-4.

student experience and the universities themselves. Our work to unify the current separate university accreditations will itself be transformative and culture-changing, allowing the best elements of institutional quality at each of UMS's universities to be shared System-wide without compromising quality anywhere. That, ultimately, is our goal, and the Resolution before you holds us accountable to it.

With NECHE now a ready partner, UMS is poised – in the words of NECHE's own [*Standards for Accreditation*](#) – to take the innovative step of unified accreditation to increase the effectiveness of higher education across the entire University of Maine System.

I now seek the Board's full support for the initiative with its authorization vote to proceed.

* * * * *

The process and work leading to my September and November 2019 reports – the *Unified Accreditation Recommendation* and *A Summary of Process Considerations and Framework for Pursuing Unified Accreditation* reports – are recounted in the Agenda item accompanying the Unified Accreditation Resolution before you (and available through links to our Unified Accreditation webpage in your materials). With these reports, you can refresh your understanding of the System's long, slowly evolving effort to coordinate its academic and limited financial resources to better meet its public teaching, research, and service missions to the State of Maine.

Since the November meeting, and with your authorization then to do so, I have been working on preliminary actions to position UMS to be ready to begin work immediately to seek unified accreditation from NECHE. I have formed two planning committees: an Academics and Student Affairs/Advising Committee, co-chaired by Presidents Joan Ferrini-Mundy (UMaine) and Ray Rice (UMPI); and a Finance, Administration, and Student Support Services Committee, co-chaired by President Becky Wyke (UMA) and UMS Vice Chancellor for Finance and Administration Ryan Low. There are representatives from all seven UMS universities assigned to the committees, which will draw on still others across our System and externally as necessary to outline our substantive change application to NECHE. I will also co-convene a Unified Accreditation Coordinating Council along with Chief of Staff and General Counsel Jim Thelen. This Council, which includes the four co-chairs of the other two committees, along with President Glenn Cummings (USM), UMS Vice Chancellor for Academic Affairs Robert Placido, and other System Staff, will coordinate the work of the two planning committees. Together, the planning committees and Coordinating Council will develop the broader narrative for how the University of Maine System, acting in System-wide coordination through its universities, will comply with NECHE's *Standards for Accreditation*.

Along with Presidents and my Senior Staff, I also convened a meeting of all UMS University Faculty Senate/Assembly leaders to discuss an appropriate System-wide academic/shared governance model that will be necessary in our unified accreditation model. These Faculty

leaders were overwhelmingly supportive of and optimistic about this engagement and opportunity to participate in System-wide academic governance.

As the 1986 Visiting Committee that first proposed unified accreditation presciently observed, having separate university accreditations does not permit consideration of how any one or more of UMS's universities together contribute to the overall quality, purpose, and mission of Maine's statewide public university system.² With unified accreditation for the University of Maine System, for the first time in the nation, all of a state's public universities will be evaluated based on how well they share the state's resources in service to students in the important elements of mission, governance, academic program, student services, institutional resources, teaching, learning, and scholarship, and educational effectiveness – for these are the NECHE standards of quality UMS universities *will meet together* with unified accreditation. And importantly, in the model we will pursue, as we first charted in our *Guiding Principles*, our universities can do so without giving up their local missions or ability to offer high-quality degree-programs on their own.

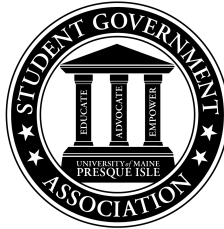
The Board is right to be concerned about measuring success. But it is important to note that the NECHE *Standards for Accreditation* themselves establish the nationally recognized benchmarks for higher education institutional quality. I believe it will be appropriate for the Board to rely initially on NECHE itself as the first arbiter of the quality and success of the unified accreditation model that UMS will propose. Once NECHE confirms unified accreditation, the self-study report UMS will prepare in advance of NECHE's comprehensive evaluation will provide further important opportunities for UMS to reflect and improve on the quality of the student experience and academic program both at individual UMS universities and collectively across the System. And as provided in the Resolution before the Board, over that time we will work to align progress on the Board's *Declaration of Strategic Priorities* and Key Performance Indicators with the opportunities that unified accreditation presents.

I have consciously not repeated here the volume of history, information, and recommendations in my September and November reports, though I hope you will consult both again as you finally weigh action. I close simply by noting that the time for decisive innovation in public higher education is now, and unified accreditation presents us with a *Dirigo* moment.

I urge the Board to give the University of Maine System this charge.

Dannel P. Malloy
Chancellor, University of Maine System

² See *Unified Accreditation Recommendation*, at 3-4 (citing Visiting Committee Report, at 15).



**The University of Maine at Presque Isle
Student Government Association**

Evan Zarkadas
UMPI Student Representative to the Board of Trustees

01/27/2020

Dear University of Maine System Board of Trustees

I write on behalf of the University of Maine at Presque Isle Student Government Association and the students in which it represents in support of the Chancellor's Unified Accreditation Authorization across our University of Maine System campuses. We strongly support this approach and believe that the future of our System is based on collaboration between our campuses in order to deal with the challenges that we all face and will continue to face in the future.

Through this letter and after a discussion where we reached out to our student body we came to the common consensus of supporting what we believe will be a vital and beneficial step for our system's future. We hope that you will also support this resolution today and we look forward to seeing the development that it will bring to our campuses.

Respectfully,

The students of the University of Maine at Presque Isle



**Vice Chancellor for
Academic Affairs**
15 Estabrooke Drive
Orono, ME 04469

Tel: 207-973-3211
Fax: 207-581-9212
www.maine.edu

Date: November 18, 2019

To: Dannel Malloy, Chancellor
University of Maine System (UMS)

From: Dr. Robert Placido, VCAA

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

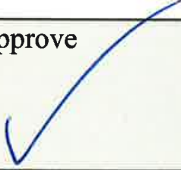
University of Maine
at Presque Isle

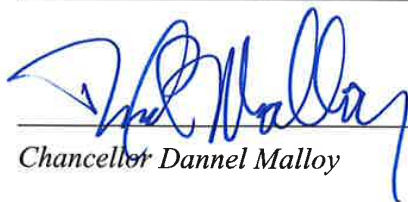
University of
Southern Maine

Regarding: UMF Master of Arts in Counseling Psychology with an Emphasis in Creative Arts

Please find the attached program proposal from the University of Maine at Farmington (UMF) to offer a M.A. in Counseling Psychology with an Emphasis in Creative Arts (MCCA). The attached material includes a recent letter of support from President Edward Serna, Husson Supplement from Provost Eric Brown, as well as the original program proposal. This program will provide a unique option for the field of Counseling which will blend areas of the Creative Arts to meet student demand and increase our competitiveness with external Universities.

The proposed program was reviewed and subsequently recommended by the Chief Academic Officers Council (CAOC) as a program request on October 18, 2018. The CAOC reviewed the proposal again on November 17, 2019. Thus, I am pleased to also recommend this collaborative program for your approval.

I approve 	I do not approve for the reasons listed below	Additional information needed for a decision	Action
			Approval of UMF MCCA


Chancellor Dannel Malloy


Date



Office of the President
Merrill Hall
224 Main Street
Farmington, Maine 04938

November 6, 2019

Robert Placido, Interim Vice Chancellor of Academic Affairs
University of Maine System
15 Estabrooke Drive
Orono, ME 04469

Dear Vice Chancellor Placido:

I am pleased to support enthusiastically the University of Maine at Farmington's program proposal for a Master of Arts in Counseling Psychology with an Emphasis in Creative Arts. The new program aligns well with UMF's mission and strengths in both human health and expressive arts, and addresses increasing statewide demand for highly credentialed mental health counselors. The opportunities to partner with other UMS campuses in support of the curriculum, particularly in the creative arts, also supports the System's goals of increased multi-campus collaboration

The program proposal has passed through all necessary approval steps on our campus, including unanimous endorsement from President's Council earlier this month. I request that it now be moved forward for System approval.

Sincerely,

A handwritten signature in dark ink, appearing to read 'E. Serna', with a long horizontal flourish extending to the right.

Edward Serna
President

Supplement: UMF's *Creative Arts Counseling* Program as an Alternative to Husson's *Clinical Mental Health Counseling* Program

Husson University (in Bangor, Maine) offers a Master of Science in Clinical Mental Health Counseling that prepares students for "careers in mental health agencies, hospital programs, private practices, ministry-related counseling centers, and other public and private facilities." The curriculum includes coursework typical of mental health counseling programs (e.g., *Theories of Counseling*, *Counseling Techniques*, *Crisis Intervention*). Total program enrollment in the 2019-2020 academic year is 48 students, and the program completion rate is reported as "50% full and part time within six years." ¹

The MA Counseling Program at UMF is designed to serve students who similarly hope to pursue careers in mental health counseling. A distinguishing feature of the UMF program is a special focus on the *creative arts*, a field of study that may be especially relevant to professionals working with special populations (e.g., children, the elderly, veterans). In addition to standard theory and practice coursework, our curriculum includes seminars exploring the relevance of the creative arts to the counseling process. Further, we provide multiple opportunities for students to immerse themselves in art, music, and creative writing at the graduate level.

The UMF program adopts a flexible scheduling model, with the substantial majority of courses employing a hybrid or blended delivery format. As such, we anticipate that our program will appeal to active professionals working in the field of human services as well as adult learners interested in a career change.

The MA Counseling program might also be attractive to high school students considering UMF as their first undergraduate home. In Fall 2016, UMF launched an accelerated undergraduate psychology program designed to prepare students for graduate study in counseling and social work. This program integrates the best features of a public liberal arts education (including multiple "special topics" seminars and the opportunity to work closely with faculty) while also streamlining career preparation by compressing the full undergraduate course load of 128 hours into three years (including summers). Time saved at the undergraduate level reduces the overall cost of college (including room and board) and helps students enter their professional field a year early.

Significantly, this accelerated undergraduate experience can also serve as the first phase of an integrated 3+2 program in *Creative Arts Counseling* at UMF. Students enrolled in the program can take a broad range of courses at the undergraduate level, including psychology, art, music, and creative writing. The liberal arts curriculum at UMF serves as an ideal foundation for graduate-level courses in counseling and the creative arts. Moreover, participating students will get a head start on securing practicum and internship sites and obtaining individualized career guidance.

In sum, the proposed UMF Counseling Program enjoys several competitive advantages:

- a) The integration of creative arts into counseling practice is of value to counselors working with a broad range of special populations
- b) flexible delivery formats should appeal to active professionals
- c) an integrated undergraduate-graduate experience (that can be completed in a total of five years) may be attractive to prospective freshmen considering a career in the helping professions.

¹ <https://www.husson.edu/college-of-science-and-humanities/school-of-education/graduate-programs/clinical-mental-health-counseling/student-outcome-data>

University of Maine System Program Proposal

Full program title: Master of Arts in Counseling Psychology with an Emphasis in Creative Arts

Program Objectives:

A. Narrative description of program rationale

UMF's *Master of Arts in Counseling Psychology, with an emphasis in Creative Arts*, will provide students across Maine and beyond with the training and experience necessary to deliver a wide array of counseling services. A special focus on creative arts promotes an approach to counseling responsive to the unique needs of individuals for whom traditional talk therapy is inappropriate, such as those with dementia and autism.

The program will be coordinated by faculty in the Division of Psychology and Human Development at UMF, an academic community with a rich history of delivering innovative psychology curricula rooted in the humanistic tradition. The development of this graduate program is guided by six core principles:

- 1) **The experience of community:** The Division embraces a philosophy of education that recognizes the critical role played by relationships in intellectual and personal growth. As such, the Division strives to offer a *holistic educational experience* involving *sustained relationships with faculty members and other students*.
- 2) **Long-term mentoring relationships:** The UMF Mission Statement recognizes that our university “supports multiple modes of teaching and learning, but prioritizes face-to-face instruction with highly qualified faculty in settings that allow close relationships between students and their instructors to flourish.” Division faculty have a longstanding commitment to building such relationships, both as classroom educators and as mentors.
- 3) **Teaching Excellence:** Division faculty strive to nurture an educational climate that promotes the intellectual development of every member of the academic community. At a public liberal arts college, this climate includes (a) *deep engagement* inside the classroom, (b) *quality experiential learning* outside the classroom, and (c) *substantive guidance and support* for every student.

- 4) **Theoretical eclecticism:** In a 1947 report that inspired the development of the scientist-practitioner model of clinical training, *The Committee on Training in Clinical Psychology of the American Psychological Association* observed that graduate students “should come into contact with a number of instructors representing a variety of points of view and types of experience.” The Division recognizes such eclecticism remains a vital element of any quality psychology program. Students in the MA Counseling program will be exposed to a broad range of theoretical perspectives and must, in the end, develop an approach to counseling that is uniquely their own.
- 5) **Interdisciplinary education:** Division faculty recognize the value of drawing upon the wisdom of multiple disciplines when exploring issues of personal or professional concern. The proposed MA Counseling program encourages students to fully immerse themselves in one of the creative arts as they develop an understanding of counseling theory and practice. As such, the program is conceived as an authentically interdisciplinary experience.
- 6) **Personal Growth:** The UMF Mission Statement highlights the importance of graduating students “who will live purposeful, ethical, and personally rewarding lives.” Many of the courses offered as part of the MA Counseling program are formally designed to foster personal development, and the program also includes numerous experiential learning opportunities (e.g., internships) that are intended to enhance self-awareness and foster civic engagement.

A unique feature of the MA Counseling program at UMF is the opportunity to explore the creative arts at the graduate level while simultaneously completing a program of study in the field of counseling. The creative arts are valued for their own sake, even as they are integrated into the student's understanding of the counseling process. Significantly, our program does not promote a specific vision of creative or expressive art therapy. Rather, we encourage our students to develop their own understanding of how the arts can supplement or enrich the counseling enterprise.

B. General program goals

The MA Counseling program is designed to provide a solid clinical foundation while also fostering a climate that allows for the effective integration of the creative and expressive arts into the practice of counseling and psychotherapy. The program facilitates the development of counseling skills via professional clinical training and immersion in various artistic modalities (e.g., music, painting, creative writing). Graduates of the program are prepared to serve their communities as creative, productive, service-oriented leaders in the counseling profession. With appropriate post-graduate experience, graduates are qualified to sit for the Maine State Licensing Exam to become a Licensed Clinical Professional Counselor (LCPC).

C. Specific student outcomes or behavioral objectives:

1. Students will be prepared for post-graduate entry-level work in the field of counseling.
2. Students will develop diverse ways to conceptualize and utilize the creative arts in clinical practice.
3. Students will be prepared to employ an integrative theoretical counseling approach with a diverse array of populations.

Evidence of Program Need:

According to the US Bureau of Labor Statistics, Occupational Outlook Handbook, significant growth in counseling professions (including mental health, substance abuse, and behavioral disorder specializations) is anticipated over the next 10 years, with estimates at 23% for the US as a whole, and at least 10% for Maine. Occupational analyses utilizing Burning Glass Technology similarly projects 23% growth over the next ten years in the fields of *Mental Health/Behavioral Counseling* and *Family/Behavioral Therapy*.

The Maine Department of Labor, Center for Workforce Research, recently issued the *Maine Workforce Outlook 2014 – 2024*. This document outlines a continued change in the economy from manufacturing/extraction-based to service-based (including the provision of professional services). Growth in health care professions and related fields (including counseling) is expected to be pronounced for the foreseeable future. As noted in the report, “[the] fastest rate of job growth is expected in human capital intensive occupations that typically require a post-secondary award or degree.” The Maine Center for Workforce Research and Information anticipates similar trends between 2016 and 2026. The need for counselors of various types is likely to grow between 7% and 10% over this time.

While access to mental health services in Maine is not as restricted as it is in other states, there are still notable barriers, according to the 2017 State of Mental Health in America (provided by Mental Health America). Of those living with mental illness in Maine, 17.8% reported they were not able to get needed treatment. Barriers to treatment included both lack of treatment providers, and lack of available treatment types. Of youth with major depression, almost 50% received no treatment at all. The Health Resources and Services Administration of the US Department of Health and Human Services identifies Maine as having a “high health professional shortage” in mental health, indicating a great need for counseling professionals. Thus, the proposed counseling program represents an important contribution to the workforce needs of Maine.

In addition to workforce considerations, populations that will benefit from counseling modalities with a creative arts emphasis are growing. The previously-cited *Maine Workforce Outlook 2014 – 2024* highlights the changing demographics of Maine, including a significant rise in the average age of Mainers compared to the US overall.

The Centers for Disease Control (CDC) estimates that those living with Alzheimer's and related dementias will double by 2060, to 417 million. The CDC also noted this year that the prevalence of autism in children has increased by 15% in the last 2 years, and now stands at 1 in 59 children. Compounding effective interventions for autism is that there is no reliable estimate of autism prevalence in adults, even though it is a lifelong condition. At a minimum, 50,000 teens with autism age out of school-based services each year, yet their needs may persist well into adulthood.

Furthermore, the US Veterans Administration notes that counseling utilizing creative arts therapies may be especially beneficial for those who are "resistive to other treatment approaches." This includes veterans with chronic pain, neurocognitive disorders, traumatic brain injury, Post-traumatic Stress Disorder, and Substance Use Disorder.

Given these realities, counselors with creative arts emphases may find employment in an expanding range of settings, including nursing homes, assisted living facilities, home health agencies, community mental health agencies, inpatient and outpatient children's treatment centers, and the full range of facilities providing services to veterans and their families.

Significantly, there appears to be considerable interest in a creative arts counseling program on the part of UMF students and alumni. In Spring 2019, a survey was distributed to 122 undergraduates enrolled in selected psychology courses at UMF, as well as 650 graduates of the UMF psychology program. The survey included a brief description of the proposed graduate program as well as a question assessing whether they would indeed be interested in pursuing a Master of Arts in Counseling Psychology, with an emphasis in Creative Arts. A definitive "yes" response was offered by 50 undergraduates and 15 alumni, with an additional 41 undergraduates and 20 alumni reporting "maybe." Themes highlighted in participants' written comments included a general interest in the creative arts as well as acknowledgement of the value of creative endeavors in a therapeutic context. For example, one undergraduate comments that he is "an avid musician" who has considered "music therapy" as a career path. Another observes that she has "a strong desire to incorporate my creative talents and background in art with psychology in a counseling setting." A third reminds us that "kids, especially elementary age kids, don't always know how to explain what they are feeling." Significantly, one UMF alumnus draws attention to the creative potential implicit in the very structure of our program: "I'm a baker and would love to do the artistic part of that with counseling."

While data on the effectiveness for creative/expressive arts therapies are not as extensive as other treatment modalities, there is promising and compelling evidence of positive outcomes for various populations treated. This is noted by the Veterans Administration, as well as the National Coalition of Creative Arts Therapies Associations, which provides an extensive database of research publications supporting its effectiveness.

The growth potential for master's level counselors with this expertise, however, cannot currently be met with existing programs. The International Expressive Arts Therapy Association identifies only three master's programs in the United States that focus on creative arts, and seven master's programs that focus on expressive arts.

- **Similar programs that are offered within the University System, other higher education institutions or other agencies within the state**
 - The University of Southern Maine, Husson University, and Northern Vermont University offer master's degrees in counseling in the state of Maine. However, these programs do not include a focus on the application of creative arts in a therapeutic context.
- **Enrollment projections for five years.**
 - Based on the high level of interest documented in our survey of UMF undergraduates and alumni (described above), we anticipate an initial cohort of approximately 10 to 15 students in the fall of 2020. We further expect 10 to 15 students to matriculate into the program each subsequent year. Students may enroll in the program full-time or part-time. Total enrollment is likely to be 20 to 40 students at any given time.

Program Overview:

The Master of Arts in Counseling Psychology, with an emphasis in Creative Arts, provides the training and experience necessary to deliver a wide array of counseling services. With appropriate post-graduate experience, students completing the program are eligible in Maine (and some other states) to be a licensed clinical professional counselor (LCPC). In addition, the emphasis on creative arts addresses the unique needs of people for whom traditional talk therapy is insufficient or inappropriate, such as children and persons with dementia.

The program will be designed to meet the standards documented in the Accreditation Manual of the *Master's in Psychology and Counseling Accreditation Council* (MPCAC). As documented in the Accreditation Manual:

- *"The mission of the MPCAC is to accredit academic programs that provide science-based education and training in the practice of counseling and psychological services at the master's level, using both counseling and psychological principles and theories as they apply to specific populations and settings. Although programs may vary in the specific model of training and professional development utilized, commitment to science-based education is emphasized in the interest of providing services that are culturally responsive and that promote the public good."*

A. Outline of required and/or elective courses

A two-year degree plan is provided below. All courses are required to complete the program.

	Course Name	Delivery Format	Credits
<u>Year 1</u>			
Fall			
	Creative Arts in Counseling	Hybrid	3
	Professional Orientation and Ethics in Counseling.	Hybrid	3
	Fundamentals of Counseling Theories and Skills I	In Person	3
	Social and Cultural Foundations	Hybrid	3
	Research Methods	Online	3
Winter			
	Human Growth and Development	Online	3
Spring			
	Fundamentals of Counseling Theories and Skills II	In Person	3
	Special Topics: Creative Arts I*	Hybrid	3
	Diagnosis and Treatment	Hybrid	3
	Group Counseling	In Person	4 (including a 1-credit lab)
	Measurement and Evaluation	Online	3
Summer			
	Practicum	Onsite	3
<u>Year 2</u>			
Fall			
	Crisis Intervention	Hybrid	3
	Addictive Disorders	Hybrid	3
	Special Topics: Creative Arts II*	Hybrid	3
	Internship**	Onsite	4.5
Spring			
	Marriage and Family Counseling	Hybrid	3
	Human Sexuality for Counselors	Hybrid	3
	Advanced/Intermodal Creative Arts Therapies	Hybrid	3
	Internship**	Onsite	4.5

* At the discretion of the Program Director, coursework and practica in relevant disciplines can substitute for *Special Topics: Creative Arts* (I & II).

** Graduates of the program will also need to complete a post-degree clinical internship in order to be eligible for licensure as a Licensed Clinical Professional Counselor in Maine.

B. Development of new courses and/or what they may displace;

- Two psychology courses (*Research Methods* and *Measurement and Evaluation*) and the six-credit Creative Arts sequence might be delivered by faculty at other UMS campuses. The remaining courses will be developed by UMF faculty.

C. *Type of research activity, if any, in program design;*

- A significant research project is not required in this program.

D. *Nature of independent study, clinical experience, and/or field practica employed in curricular design.*

- The two-year Masters of Counseling Psychology integrates a practicum after the first two semesters of instruction, and then an internship in the second year. These experiences are required components of graduate programs to ensure graduates will eventually be eligible to become licensed clinical professional counselors in the state of Maine. Settings will include a broad, diverse array of agencies serving children, families, the elderly, and others living with mental illness and developmental disabilities.

E. *Impact of program on existing programs.*

- The potential impact of the proposed MA program on the resources available to the undergraduate psychology program at UMF is discussed below (under *Personnel: Supporting Faculty*).

F. *A statement on the extent to which the program would be appropriate for online and hybrid delivery*

- As documented in the degree plan above, the majority of courses in this program can utilize a hybrid delivery model, and several will be offered online. For courses that require "in person" meetings, we are considering a model that includes one full day each week and/or "intensive" seminars extending over a week (or weekend).

G. *A consideration of ways the program could lend itself to the delivery of micro-credentials tied to specific skill sets and competencies.*

- Several courses in the program (e.g., *Creative Arts in Counseling*) might be offered to regional counselors as Continuing Education Units (CEUs).

Program Resources:

A. *Personnel*

A possible course cycling plan is provided below. As documented in the second table (Year 2+), the program is sustainable with (a) one program director teaching 12 credits each academic year, (b) one full-time faculty member teaching 24 credits each academic year, and (c) 16 credits covered by part-time faculty or overloads (or by instructors at other UMS institutions).

Staffing Needs

Year 1 (Implementation)*

Fall	Winter	Spring	Summer
Fundamentals of Counseling I (3 credits)	Human Growth and Development (3 credits)	Fundamentals of Counseling II (3 credits)	
Professional Ethics in Counseling (3 credits)		Diagnosis and Treatment (3 credits)	
Creative Arts in Counseling (3 credits)		Group Counseling (4 credits)	
Social and Cultural Foundations (3 credits)		Advanced Intermodal Creative Arts Therapy (3 credits)	
Research Methods (3 credits)**		Measurement and Evaluation (3 credits)**	
		Creative Arts Immersion (3 credits)**	
Coursework: 15 credits	Coursework: 3 credits	Coursework: 19 credits	Practicum: 3 credits

* The Program Director will assume responsibility for practica and twelve credits of coursework each academic year

** Research Methods, Measurement and Evaluation, and Creative Arts Immersion may be delivered by other UMS campuses.

Year 2+ (Sustainable Staffing Model)

Fall	Winter	Spring	Summer
Fundamentals of Counseling I (3 credits)	Human Growth and Development (3 credits)	Fundamentals of Counseling II (3 credits)	
Professional Ethics in Counseling (3 credits)		Diagnosis and Treatment (3 credits)	
Creative Arts in Counseling (3 credits)		Group Counseling (4 credits)	
Social and Cultural Foundations (3 credits)		Advanced Intermodal Creative Arts Therapy (3 credits)	
Crisis Intervention (3 credits)		Marriage and Family Counseling (3 credits)	
Addictive Disorders (3 credits)		Human Sexuality for Counselors (3 credits)	
Research Methods (3 credits)**		Measurement and Evaluation (3 credits)**	
Special Topics: Creative Arts I (3 credits)**		Special Topics: Creative Arts II (3 credits)**	
Coursework: 24 credits Internship: 4.5 credits	Coursework: 3 credits	Coursework: 25 credits Internship: 4.5 credits	Practicum: 3 credits

* The Program Director will assume responsibility for internships, practica and twelve credits of coursework each academic year

** Note: Research Methods, Measurement and Evaluation, and Special Topics: Creative Arts may be delivered by other UMS campuses.

Program Director

The MPCAC Accreditation Manual indicates that *"one faculty member shall be clearly designated as the program director for each program in which accreditation is sought, and is responsible for the coordination of the entire program"*:

- *"The program director shall hold a graduate degree in psychology, counseling or a closely related field, have professional experience in the program area, hold membership(s) in appropriate professional organizations, be employed by the institution and be regularly involved in the instructional activities of the program (e.g., teach courses, supervise students, etc.)"*

In the UMF counseling program, the Program Director will work on a 12-month contract and shall assume the following responsibilities:

- **Recruitment and Admissions**
 - Coordinate and maintain a working relationship with UMF's Graduate Center with regards to student recruitment.
 - Coordinate program recruitment activities (welcome receptions, college and career fairs).
 - Travel as needed for the purposes of recruitment and program implementation (recruitment activities, field site visits, conferences).
 - Maintain correspondence with potential students.
 - Develop an application review process and coordinates a committee to review student applications, including the interviews for admission.
 - Initiate the accreditation process (and maintain accreditation)
- **Program Implementation and Administration**
 - Assist in recruitment of program faculty.
 - Coordinate degree and course planning.
 - Establish and maintain relationships with field internship sites.
 - Conduct visits at student internship sites to ensure that students are receiving a high quality experience, including excellent supervision, in line with the requirements of the Maine licensing board.
 - Establish and maintain a relationship with the State of Maine Office for Licensed Clinical Professional Counselors for the purposes of providing a program that continues to meet state licensing standards.
 - Establish and maintain a membership with MEMHCA (Maine Mental Health Counselors Association).
 - Participate in relevant UMF committees.
 - Procure program assets (white noise machines, recording video and/or audio equipment).
 - Provide oversight of the program budget and expenditures.
- **Teaching and Professional Development**
 - Instruct twelve credits of coursework each academic year (typically, two three-credit classes each semester).
 - Coordinate internships and practica experiences.
 - Advise the incoming cohort of students; assigns students to advisors as the program grows, and ensures that students receive excellent mentorship throughout the program.
 - Meet the requirements to provide clinical supervision per the Maine LCPC regulations.
 - Maintain Maine LCPC licensure

Supporting Faculty

The MPCAC accreditation manual also states that *"the other full-time, adjunct, and/or affiliate program faculty members shall hold graduate degrees in psychology, counseling or closely related fields, hold membership(s) in professional organizations, and have had professional experience in the program area."*

- There are currently two clinical faculty members in the Division of Psychology and Human Development with the expertise necessary to teach the counseling courses in the proposed MA program, and there is a presently a search underway for a third clinical/counseling psychologist (to teach at the undergraduate level). We will need to hire at least one additional faculty member if the Division is to sustain quality programs at the undergraduate and graduate levels.
- Non-clinical faculty (across UMS) may be utilized to teach support courses, such as *Human Growth and Development* and *Research Methods*.

B. *Current library acquisitions available for new programs.*

- UMF's Mantor Library has extensive resources available for this master's degree program due to the university already offering two master's degrees. Mantor Library provides access to more than 350,000 volumes and 75,000 serials in print and digital form, as well as over 140 full-text databases and indexes. Current library resources currently support the two existing master's degree programs on campus (Educational Leadership and Early Childhood Education). Students and faculty have access to numerous databases including those commonly used in the field of psychology such as PsycInfo, Academic Search Complete, ERIC, and JSTOR.

C. *New equipment necessary for new program and plan for its acquisition and implementation*

- For spaces where students will practice counseling skills (see "D" below), there is a need for white noise machines to protect confidentiality. Additionally, technology to allow faculty supervisors to listen into counseling sessions is needed. We anticipate an investment of \$1,000.

D. *Additional space requirements, if any, including renovations*

- No additional space is required for this program. The undergraduate psychology program is housed in the Psychology Building, which includes space that will be utilized for practicing counseling skills. However, there is a need for modest renovations to the space to support their use as spaces for counseling sessions. This may include painting, sound proofing, and renovations to ensure privacy (e.g., window coverings or removing internal windows). \$1,000 is estimated for this investment.

E. *Extent of cooperation with other programs, both on the initiating campus and other campuses*

- Two core courses (*Research Methods* and *Measurement and Evaluation*) might be effectively delivered online, in collaboration with other UMS institutions. In addition, the immersion component of our program (e.g., *Special Topics: Creative Arts*) may involve students working with faculty on other campuses.

Total Financial Consideration

A. Estimate of anticipated cost and anticipated income of the program for five years

Costs are estimated using current fiscal year price of tuition and program costs (e.g., salary, benefits, travel)

Year	Costs	Revenue
1*	\$130,000	\$154,000
2**	\$205,000	\$266,000
3	\$205,000	\$266,000
4	\$205,000	\$266,000
5	\$205,000	\$266,000
Total	\$950,000	\$1,218,000

* Year one costs include (a) start-up costs (\$7,000), (b) the salary and benefits of the program director (\$90,000), and (c) compensation for 22 credits to be taught by adjuncts or as overloads (22 x \$1500 = \$33,000). Year one revenue assumes 10 students paying in-state tuition.

** Costs in years two through five assumes (a) one program director (\$90,000), (b) one full-time faculty member (\$90,000), (c) compensation for 16 credits to be taught by adjuncts or as overloads (16 x \$1500 = \$26,000), and (d) various supervision and program coordination expenses, including travel (\$1000). Revenue in years two through five assumes 20 students paying in-state tuition.

B. Detailed information on first year costs

1. New personnel requirements

- As discussed above, the program will require a **program director** with a background in counseling or clinical psychology:
 - Salary + benefits = \$90,000 (approximate)
- We anticipate that 22 credits will need to be taught by adjuncts or as overloads as overloads (for a total expense of approximately \$33,000).
- Note: An additional full-time faculty member will need to be hired by Year 2 to ensure the long-term sustainability of the program.

2. First year revenue (and identity of source)

- Assuming an enrollment of 10 full-time students paying in-state tuition, revenue would be approximately \$154,000.
 - Utilizing tuition rates for the 2019-2020 academic year, revenue would be \$154,290 with 10 full-time students paying in-state tuition.

3. How operational costs are to be absorbed into current campus operating budget over a 5-year period

- We anticipate that once the program is fully enrolled, the funding for the program will be self-sustaining through tuition dollars.

4. Additional funding required to support the program

- **Materials:** Courses and assignments that require consumable materials (e.g., psychological assessments) will be paid for through any applicable course fees. \$500 per year is anticipated for this expense. Additionally, travel and supervision for students in practica and internships is expected to be approximately \$1,000 per year. This estimate is based on current costs of field supervision in current undergraduate programs. The source for this funding will be from revenue generated through tuition.
- **Course development:** New courses will be developed as part of the process of program implementation. A total cost of \$5000 (during the summer prior to implementation) is budgeted for this activity.
- **Other Start-Up Costs:** Approximately \$2000 is required for equipment and renovations.
- **Program coordination:** As noted above, the MPCAC Accreditation Manual stipulates that *"one faculty member shall be clearly designated as the program director...and is responsible for the coordination of the entire program."* This is a critical position if this program is to ensure effective recruitment, admissions, advising, and oversight of practica and internships. This program director will be employed on a 12-month contract.

Assessment and Evaluation

The MA Counseling will be evaluated in accordance with the standards articulated in the MPCAC Accreditation Manual. The following provisions are worthy of special note:

- "Outcome evaluation shall be conducted in reference to...[the] program's purposes, goals, and objectives."
- "Continuing evaluation of the program and its outcome shall follow a formal procedure that includes regularly scheduled review by program faculty of program emphases, curricular offerings, current professional trends in the program area, and types of students seeking admission into the program. Evaluation shall also include follow-up studies of graduates of the program, employers of program graduates, field placement supervisors, and personnel in cooperating and associated agencies regarding the assessment of their perceptions and evaluations of the major aspects of the program."
- "The results of program evaluations shall be made available on a systematic basis to students currently enrolled in the program, program faculty, institutional administrators and personnel in cooperating and associated agencies."
- "Students will demonstrate competence and professional behavior consistent with each program's mission statement and goals prior to the completion of the program."

Appendix -- Vita of existing faculty who will assume major roles in the program

NATASHA LEKES

Associate Professor of Psychology
 University of Maine at Farmington
 Psychology and Human Development
 234 Main Street, Farmington, ME
 207.778.7287
 natasha.lekes@maine.edu

EDUCATION

- 2012 **Ph.D. in Clinical Psychology**
 McGill University
 Dissertation: Self-growth, close relationships, and community contribution:
 Exploring the development of intrinsic value priorities and their influence on well-being (supervised by Dr. Richard Koestner)
- 2003 **M.Ed. in Human Development and Psychology**
 Harvard Graduate School of Education
 Thesis: Assessing preschoolers' social competence in the classroom (supervised by Dr. Catherine Ayoub)
- 1998 **B.A. in Psychology**
 McGill University
 Awarded with Great Distinction

ACADEMIC APPOINTMENTS

- 2017-present **Associate Professor of Psychology**
 University of Maine at Farmington
- 2013-2017 **Assistant Professor of Psychology**
 University of Maine at Farmington
- 2012-2013 **Postdoctoral Fellow**
 Université de Québec à Montréal

PUBLICATIONS**Peer-Reviewed Journal Articles**

Lekes, N., Houliort, N., Milyavskaya, M., Hope, N., & Koestner, R. (2016). The role of intrinsic values for self-growth and community contribution at different life stages: Differentially predicting the vitality of university students and teachers over one year. *Personality and Individual Differences*, 98, 48-52.

Lekes, N., Guilbault, V., Philippe, F. L., & Houle, I. (2014). Remembering events related to close relationships, self-growth, and helping others: Intrinsic autobiographical memories, need satisfaction, and well-being. *Journal of Research in Personality*, 53, 103-111.

Philippe, F. L., Koestner, R., & **Lekes, N.** (2013). On the directive function of episodic memories in people's lives: A look at romantic relationships. *Journal of Personality and Social Psychology*, 104, 164-179.

Lekes, N., Hope, N. H., Gouveia, L., Koestner, R., & Philippe, F. L. (2012). Influencing value priorities and increasing well-being: The effects of reflecting on intrinsic values. *Journal of Positive Psychology*. 249-261.

Philippe, F. L., Koestner, R., Beaulieu-Pelletier, G., Lecours, S., & **Lekes, N.** (2012). The role of episodic memories in current and future well-being. *Personality and Social Psychology Bulletin*, 38(4), 505-519.

Taylor, G., **Lekes, N.**, Gagnon, H., Kwan, L., & Koestner, R. (2012). Need satisfaction, work-school interference and school dropout: An application of self-determination theory. *British Journal of Educational Psychology*, 82(4) 622-646.

Lekes, N., Joussemet, M., Koestner, R., Taylor, G., & Gingras, I. (2011). Transmitting intrinsic values from mothers to adolescents: The moderating role of a supportive family environment. *Child Development Research*. vol. 2011, 9 pages. doi:10.1155/2011/167146

Philippe, F.L., Laventure, S., Beaulieu-Pelletier, G., & **Lekes, N.** (2011). Ego-resiliency as a mediator between childhood trauma and psychological symptoms, *Journal of Social and Clinical Psychology*, 30(6), 583-598.

Lekes, N., Gingras, I., Philippe, F. L., Koestner, R., & Fang, J. (2010). Parental autonomy-support, intrinsic life goals, and well-being among adolescents in China and North America. *Journal of Youth and Adolescence*, 39(8), 858-869.

Renaud-Dubé, A., Taylor, G., **Lekes, N.**, Koestner, R., & Guay, F. (2010). Adolescents' motivation towards the environment: Age-related trends and correlates. *Canadian Journal of Behavioural Science*, 42(3), 194-199.

Joussemet, M., Koestner, R., **Lekes, N.**, Landry, R. (2005). A longitudinal study of the relationship of maternal autonomy support to children's adjustment and achievement in school. *Journal of Personality*, 73,1215-1236.

Joussemet, M., Koestner, R., **Lekes, N.**, & Houliort, N. (2004). Introducing uninteresting tasks to children: A comparison of the effects of rewards and autonomy support. *Personality and Social Psychology Bulletin*, 72, 139-166.

Villacorta, M., Koestner, R., & **Lekes, N.** (2003). Further validation of the Motivation toward the Environment Scale. *Environment and Behavior*, 35, 486-505.

Houliort, N., Koestner, R., Joussemet, M., Nantel-Vivier, A., & **Lekes, N.** (2003). The impact of performance-contingent rewards on perceived autonomy and competence. *Motivation & Emotion*, 26, 279-295.

Koestner, R., **Lekes, N.**, Powers, T. A., & Chicoine, E. (2002). Attaining personal goals: Self-concordance plus implementation intentions equals success. *Journal of Personality & Social Psychology*, 83, 231-244.

Kasser, T., Koestner, R., & **Lekes, N.** (2002). Early family experiences and adult values: A 26-year, prospective, longitudinal study. *Personality & Social Psychology Bulletin*, 28, 826-835.

Invited Chapters

Lekes, N. (2012). Life goals. In R.J.R. Levesque (Ed.), *Encyclopedia of Adolescence*, DOI 10.1007/978-1-4419-1695-2, Springer Science+Business Media LLC.

Lekes, N. (2007). Montreal youth use their voice to transform their lives and prevent violence in their communities: A discussion of the Leave Out Violence program. *New Directions in Youth Development*, 116, 127-139

U.S. Department of Education Reports

Lekes, N., Bragg, D.D., Loeb, J.W., Oleksiw, C.A., Marszalek, J., Brooks-LaRaviere, M., Zhu, R., Kremidas, C., Akukwe, G., Lee, H., & Hood, L. (2007). *Career and Technical Education Pathway Programs, Academic Performance, and the Transition to College and Career*. St. Paul, MN: National Research Center for Career and Technical Education. Office of Vocational and Adult Education, US Department of Education (<http://www.nccte.org>)

Oleksiw, C.A., Kremidas, C., Johnson-Lewis, M., & **Lekes, N.** (2007). *Community College Non-credit Occupational Programming: A Study of State Policies and Funding*. St. Paul, MN: National Research Center for Career and Technical Education. Office of Vocational and Adult Education, US Department of Education (<http://www.nccte.org>)

SCHOLARSHIPS, FELLOWSHIPS, AND AWARDS

- 2012 Shortlisted for the International Society for Quality-of-Life Studies Best Dissertation Award
- 2012 The International Network of Personal Meaning Conference – Honorable mention in the student competition
- 2012 McGill Graduate Studies Fellowship – \$5,000 awarded
- 2010 McGill Graduate Enhancement and Travel Award – \$1075 awarded
- 2009 Research Fellow, The Mind and Life Summer Research Institute, Garrison, NY
- 2009 McGill Graduate Enhancement and Travel Award – \$500 awarded
- 2008 Social Sciences and Humanities Resource Council of Canada, Joseph-Armand Bombardier CGS Doctoral Scholarship – \$105,000 awarded (May 2008 – April 2011)
- 2008 McGill Graduate Studies Fellowship – \$5,000 awarded

- 2008 McGill Alma Mater Travel Grant – \$750 awarded
- 2006 Sidney Tickton Proposal Development Fellowship, Academy for Educational Development – \$500 awarded
- 2003 Fonds québécois de la recherche sur la nature et les technologies Master's Research Scholarship – \$30,000 awarded (\$10,000 accepted due to one-year master's program), rank = 4

CONFERENCE PRESENTATIONS

Invited Talks

Lekes, N. (July 2008). *Life Goals and Well-Being: The 'American Dream' in Other Cultures*. Participant in a plenary discussion at the 4th European Conference on Positive Psychology, Rijeka, Croatia.

Selman, R., **Lekes, N.**, and others (February 2003). A framework for ethical development: Can we set standards and measure growth...? Panel presentation to the Harvard Graduate School of Education Student Research Conference & International Forum, Cambridge, MA.

Peer-Reviewed Presentations

Lekes, N. & Orcutt, K. (June 2016). Sexting and sexual assertiveness: The roles of relationship status, autonomous self-regulation, gender, and perceptions of consequence. Poster presentation at the 6th International Conference on Self-Determination Theory, Victoria, BC, Canada.

Guilbault, V., **Lekes, N.**, & Philippe, F. (June 2013). The role of need satisfaction in intrinsic and extrinsic episodic memories on well-being Poster presentation at the 5th International Conference on Self-Determination Theory, Rochester, NY.

Hope, N., **Lekes, N.**, Milyavskaya, M., & Lekes, M. (January 2013). Pursuing happiness in all the right places: The differential effects of interpersonal and academic goal progress on well-being. Poster presentation at the 2013 Society for Social and Personality conference, New Orleans, Louisiana.

Hope, N., **Lekes, N.**, Houliort, N., & Koestner, R. (January 2012). Intrinsic aspirations and well-being: The role of personal growth and community contribution aspirations at different life stages. Poster presented at the 2012 Society for Social and Personality conference, San Diego, California.

Lekes, N., Hope, N.H., Gouveia, L., & Koestner, R. (July 2011). Reflecting on intrinsic values: Testing the effect of an intervention on young peoples' well-being and values. Poster presented at the 2nd World Congress on Positive Psychology, Philadelphia, PE.

Lekes, N., Gingras, I., Philippe, F.L., Koestner, R., & Fang, J. (May 2010). From autonomy-supportive parenting to intrinsic life goals to well-being: The experiences of adolescents in

China and North America. Poster presented at the 4th International Self-Determination Theory Conference, Ghent, Belgium.

Lekes, N., Gingras, I., Taylor, G., & Koestner, R. (June 2009). Valuing wealth and fame versus affiliation and community: The life goals, parenting experiences, well-being, and ecologically responsible behaviour of adolescents. Poster presented at The Mind and Life Summer Research Institute, Garrison, NY.

Lekes, N., Gagnon, H., Taylor, G., & Koestner, R. (August 2008). Part-Time Work Experiences and High School Engagement, Poster presented at the American Psychology Association 116th Annual Convention, Boston, MA.

Lekes N., Gingras I., Koestner, R. (July 2008) Adolescent life goals, parenting experiences, and well-being in Canada, China, and the United States. Poster presented at the 4th European Conference on Positive Psychology, Rijeka, Croatia.

Lekes, N., Castellano, M., & Bragg, D. (December 2005). *CTE and High School Transition*. Paper presented at the Association for Career and Technical Education Convention and Career Tech Expo, Kansas, MO.

Bragg, D., Loeb, J., Akukwe, G., Brooks-Laraviere, M., Hood, L., **Lekes, N.,** & Marszalek, J. (April 2005). Effective practices in career and technical education (CTE): Assessment of selected CTE transition programs. Paper presented at the annual meeting of the American Educational Research Association (AERA), Montreal, QC, Canada.

CAMPUS TALKS

2015 *Making a "to-be list": Do your values influence your happiness?* The UMF Public Classroom lecture series, Emery Community Arts Center, September 23.

2014 *A conversation with Dr. Natasha Lekes on her top 7 tips for responding to stress.* Presentation to launch the UMF Health Education Resource Office, November 19.

Wellness and Crisis in the Classroom: How can you appropriately support students who are dealing with mental health challenges? Co-presented with Katie Fournier. Teaching Commons on Mental Health, November 14.

Sexpressto: An open discussion about sexual health with Professor Natasha Lekes while sipping on a hot cup o' joe. Sponsored by the Sexual Wellness club, The Landing, Olsen Student Center, March 26.

Stress: Friend or Foe? The Lunch and Learn series for faculty and staff, part of UMF's 150 Healthy Habits campaign, sponsored by the UMF Wellness Committee, February 24.

2013 *Psychotherapy and the Good Life.* Psychology Forum, part of UMF's 150th Celebration, Thomas Auditorium, December 11.

2012 *What Makes Us Happy? Valuing Self-Growth and Community Versus Wealth and Status.*
Three Minutes to Change the World, McGill University, March 14, featured on McGill's
YouTube channel, <http://bit.ly/ODnlUn>

TEACHING EXPERIENCE

2013-present **University of Maine at Farmington**
Assistant Professor of Psychology

Courses taught:

Abnormal Psychology
Career Counseling
Couples Therapy
Crisis Intervention
Death and Dying
General Psychology
Personal Development and Psychological Well-Being
Sex Therapy

Thesis supervised:

Kate Orcutt, Wilson Scholar (Sexting: A sign of assertiveness or a risky behavior?)

Interdisciplinary instructional collaboration:

Trauma and resilience co-lab: Creating a resilient and trauma informed community

Research group supervised:

End of life care

2013 **Université de Québec à Montréal**
Lecturer

Course taught:

Psychologie de la Motivation et des Emotions

2010-2012 **Université de Montréal**
Guest Lecturer

Positive Psychology (3rd year Ph.D. seminar)

2007-2012 **McGill University**
Teaching Assistant/ Graduate Student

Courses assisted:

Introduction to Psychology
Human Motivation
Introduction to Personality

Guest lecture given:

Social and Personality Psychology (April 10, 2012)

Undergraduate theses supervised:

Nora Hope (Enhancing well-being by reflecting on intrinsic values)

Lucie Gouveia (Enhancing well-being by reflecting on intrinsic life goals)

Cynthia Psaradellis (The impact of teaching religion on religious beliefs and well-being: The mediating role of life goals)

Jennifer Gutberg (Teachers' life goals and well-being: A self-determination theory perspective)

2001-2002 **Yamasato Elementary School and Chizu Junior High School – Japan**
English Language Instructor

Taught and assisted English lessons

2000-2001 **YMCA and Berlitz Language School – Montreal, QC**
English Language Instructor

Taught English classes for young adults and business people

2000 **English Language Summer School at Oxford University – Oxford, UK**
English Language Instructor

Taught English classes to foreign high school students

1999-2000 **Caledonian School – Prague, Czech Republic**
English Language Instructor

Taught English classes to college students and business people

PROFESSIONAL RESEARCH EXPERIENCE

2006-2007 **National Institute for Work and Learning – Washington, DC**
Program Officer, supervised by Dr. Catherine Oleksiw

- Program evaluation for the National Institute of Health
- Facilitator for a national teacher preparation reform initiative involving 11 U.S. universities
- Youth Director at the annual Bridge to Employment conference

2003-2005 **National Institute for Work and Learning – Washington, DC**
Program Associate, supervised by Dr. Keith MacAllum

- Project coordinator for a mixed-method study on high school programs
- Conducted case study visits to high schools and community colleges in two states, including focus groups on postsecondary goals and plans

- 2002-2003 **Harvard Graduate School of Education** – Cambridge, MA
Research Assistant, supervised by Dr. Gil Noam
- Program in Afterschool Education and Research
 - Conducted research on development and psychotherapy
- 1999-2001 **McGill University** – Montreal, QC
Research Coordinator, supervised by Dr. Koestner
- Coordinated a research team; supervised undergraduate thesis students

CLINICAL EXPERIENCE

- 2013 **Private Practice** – Montreal, QC
Clinical Psychologist, Order of Psychologists of Quebec (OPQ)
- Individual and couples therapy
 - Depression, anxiety, relationship difficulties, stress, health problems, recovery from sexual abuse
- 2008-2012 **Sex and Couples Service, Royal Victoria Hospital** – Montreal, QC
- Contract Worker (paid position)**, supervised by Dr. Gerald Wiviott
September 2011 – December 2012
- Individual and couples therapy (relationship difficulties, aggression, premarital counseling, relationship enhancement, low sexual desire, pain during sex, sexual abuse)
 - In-take assessments in English and French
- Intern**, supervised by Dr. Phyllis Amato and Dr. Dennis Kalogeropoulos
September 2010 – August 2011
- Individual and couples therapy
 - Group therapy for women with pain during sex
- Clinical Student**, supervised by Dr. Phyllis Amato
September 2008 – July 2009
- Individual and couples therapy in English and French
- 2008-2009 **Cognitive and Behaviour Therapy Service, Royal Victoria Hospital**
Clinical Student, supervised by Dr. Ian Bradley, Dr. Sylvie Goulet, and Dr. Debbie Sookman
- Individual therapy for OCD, adjusting to bariatric surgery, social anxiety, phobias

- 2007-2008 **Jewish General Hospital** – Montreal, QC
Clinical Practicum Student, supervised by Dr. Elizabeth Foley and Dr. Ruta Westreich
- Conducted personality, intelligence, and clinical assessments
- 2007-2008 **Montreal Children's Hospital** – Montreal, QC
Clinical Practicum Student, supervised by Dr. Judith LeGallais
- Conducted full day assessments of children presenting with cognitive and behavioural problems
- 2002-2003 **Harvard Children's Initiative** – Cambridge, MA
Practicum Intern, supervised by Dr. Robert Selman and Dr. Richard Weissbourd
- Implemented individual and group interventions at the Trotter Elementary School, Boston, MA

PROFESSIONAL AND ADMINISTRATIVE CONTRIBUTIONS

Chair, Faculty Search Committee – Clinical/Counseling Psychology position, 2017

Chair, Faculty Search Committee – Clinical/Counseling Psychology position, 2016

Member, Undergraduate Research Council, 2016 – present

Member, Sabbaticals and Scholarships Committee, 2017 – 2018

Division Representative, Faculty Senate, 2014-2016

Facilitator, Ongoing Learning Evaluation (OLE), in which mid-semester evaluations are conducted at the request of a professor, 2014-present

Member, Counselor Search Committee, UMF Center for Student Development, 2015

Participant, UMS Aging Initiative Workshop at the University of Maine Orono, Bangor, ME, August 25, 2015

Member, Faculty Search Committee – Clinical/Counseling position, 2014

Ad-hoc Reviewer for *Social Development*, September 2014

Facilitator, Workshop on conflict resolution for the Student Leadership Summit organized under the auspices of the Partnership for Civic Advancement, October 18, 2014

Member, Faculty Search Committee – Developmental Psychology position, 2013-2014

Division Representative, Curriculum and Program Development Committee, 2013-2014

Member, Campus Violence Prevention Coalition, 2014-2015

Sponsor of the Psychology Club, 2014-2016 and 2018 – present

Ad-hoc Reviewer for the *Journal of Happiness Studies*, February 2013

Ad-hoc Reviewer for the *Journal of Research on Adolescence*, August 2012

Member, Clinical Committee, contributing one of two student voices aimed at evaluating and improving the Clinical Psychology program at McGill University, 2007-2008

COMMUNITY SERVICE

Member, Western Maine Palliative Care Committee, 2013– present

- Organized two conferences for health professionals and community members:
End of Life Care: Having the conversation, Franklin Health Commons, April 8, 2015
End of Life Care: Continuing the conversation, Franklin Health Commons, April 27, 2016

Participant, Community Town Hall on Child Abuse, Neglect, Teen Suicide, and Poverty, Mount Blue High School, Farmington, ME, September 16, 2015

Facilitator, LGBTQIA Weekly Support Group, sponsored by the Psychology Department, 2013

Facilitator, Parenting skills workshop for parents of elementary students at Enfant Soleil school in Montreal, QC, Spring 2013

Interviewed for a podcast for the National Research Center for Career and Technical Education, <http://www.nrccte.org> *Career and technical education pathway programs, academic performance, and the transition to college and career - A Podcast with Natasha Lekes*, June 2009.

Steven W. Quackenbush, Ph.D.

Division of Psychology and Human Development
University of Maine at Farmington

Farmington, ME 04939
(207) 778-7518

Education

- Ph.D. Kansas State University, 1996 (Psychology)
Dissertation: *Recollection and Evaluation of Critical Experiences in Moral Development: A Cross-Sectional Examination*
- M.S. Kansas State University, 1992 (Psychology)
Thesis: *Correlates of Reminiscence Activity among the Elderly*
- B.A. California State University, Chico, 1989 (Psychology)

Professional Experience

Assistant Professor, Department of Psychology, Wright State University (Fairborn, Ohio), September, 1995 to August, 1997.

Assistant/Associate Professor, Department of Psychology, Central Methodist College (Fayette, Missouri), August, 1997 to May 2003 (tenured and promoted to the rank of Associate Professor of Psychology in September, 2002).

Assistant/Associate/Full Professor, Department of Psychology, University of Maine at Farmington, September 2003 to present (promoted to the rank of Associate Professor in September 2004; tenured September, 2007; promoted the rank of Professor in September, 2013)

Chair, Division of Psychology and Human Development, University of Maine at Farmington, July 2014 to June 2019.

Associate Provost and Dean of Arts and Sciences, University of Maine at Farmington, July 2019 to present.

Publications (refereed)

Quackenbush, S. W., Lockwood, A. K., & Cyr, T. G. (2016). "And yet your duty is to hope": The Positive Psychology of Jean-Paul Sartre. *Theory & Psychology*, 26, 360-376.

Quackenbush, S. W. (2008). Theoretical unification as a practical project: Kant and the Tree of Knowledge System. *Theory & Psychology*, 18, 757-777.

Quackenbush, S. W., & Henriques, G. (2008). Clinical psychology and politics. In M. Hersen & A. Gross (Eds.); *Handbook of Clinical Psychology* (pp. 834-856). Hoboken, NJ: John Wiley & Sons Inc.

- Quackenbush, S. W. (2005). Remythologizing culture: Narrativity, justification, and the politics of personalization. *Journal of Clinical Psychology, 61*, 67-80.
- Quackenbush, S. W. (2001). Trait stability as a noncontingent truth: A pre-empirical critique of McCrae and Costa's stability thesis. *Theory & Psychology, 11*, 821-839.
- Quackenbush, S. W. (2001). Reliability as a value in personality research: A rejoinder to McCrae. *Theory & Psychology, 11*, 849-855.
- Quackenbush, S. W. & Barnett, M. A. (2001). Recollection and evaluation of critical experiences in moral development: A cross-sectional examination. *Basic and Applied Social Psychology, 23*, 55-64.
- Quackenbush, S. W. (1997). [Review of the book *The art and science of reminiscing: Theory research, methods, and applications*]. *Death Studies, 21*, 83-88.
- Barnett, M. A., Quackenbush, S. W., & Pierce, L. K. (1997). Perceptions of and reactions to the homeless: A cross-sectional examination. *Journal of Social Distress and the Homeless, 6*, 283-302.
- Barnett, M. A., Vitaglione, G. D., Harper, K. G., Quackenbush, S. W., Steadman, L. A., Valdez, B. S. (1997). Late adolescents' experiences with and attitudes toward videogames. *Journal of Applied Social Psychology, 27*, 1316-1334.
- Barnett, M. A., Quackenbush, S. W., & Sinisi, C. S. (1996). Factors affecting children's, adolescents', and young adults' perceptions of parental discipline. *Journal of Genetic Psychology, 157*, 411-424.
- Quackenbush, S. W., & Barnett, M. A. (1995). Correlates of reminiscence activity among elderly individuals. *International Journal of Aging and Human Development, 41*, 169-181.
- Barnett, M. A., Quackenbush, S. W., & Sinisi, C. S. (1995). The role of critical experiences in moral development: Implications for justice and care orientations. *Basic and Applied Social Psychology, 17*, 137-152.
- Barnett, M. A., Feierstein, M., Jaet, B. P., Quackenbush, S. W., Saunders, L. C., & Sinisi, C. S. (1992). The effect of knowing a rape victim on reactions to other victims. *Journal of Interpersonal Violence, 7*, 44-56.
- Barnett, M. A., Quackenbush, S. W., Sinisi, C. S., Wegman, C. M., & Otney, K. L. (1992). Factors affecting reactions to a rape victim. *Journal of Psychology: Interdisciplinary and Applied, 126*, 609-620.
- Barnett, M. A., Sinisi, C. S., & Quackenbush, S. (1991). Reactions to a "known" rape victim: Role of subject's gender and personal experience with rape. *Journal of Social Psychology, 131*, 139-141.

Publications (non-refereed)

- Quackenbush, S. W. & Maybury, K. K. (2016). "The God who appears": An inductive-humanistic approach to undergraduate education. *Teaching Matters: Essays by Faculty of the University of Maine at Farmington* (Vol. 2).
- Quackenbush, S. W. (2014). "But you can never leave": Deep engagement in a college classroom. *Teaching Matters: Essays by Faculty of the University of Maine at Farmington*.

Presentations

- Quackenbush, S. W. (2019, April). *Seeds of Generosity: Toward a Holistic Account of Moral Well-Being*. The Theory of Knowledge Society, Harrisonburg, VA.
- Quackenbush, S. W. & Henriques, G. (2018, October). *Truth as Risk: Reconsidering Psychosocial Well-Being in light of Sartre's Account of Knowledge in "Truth and Existence."* North American Sartre Society, Fredericksburg, VA.
- Quackenbush, S. W. (2018, April). *Narrating Psychology from the Top Down*. The Theory of Knowledge Society, Harrisonburg, VA.
- Quackenbush, S. W. (2018, April). *Between Fact and Value: Sartre and the Problem of Ultimate Justifications*, The Theory of Knowledge Society, Harrisonburg, VA.
- Maybury, K., Quackenbush, S., Yellis, M., & McIntosh, S. (January, 2018). *Not your Grandfather's College: The Influence of an Intergenerational Classroom on Undergraduates' Attitudes toward Older Individuals*, National Institute for the Teaching of Psychology, St. Pete Beach, FL.
- Quackenbush, S., Yellis, M., Hammond, A., & Chiappetta, F. (September, 2017). *Wisdom's Soil: Reflections on the Value of Intergenerational Communities*, Senior Resource Fair. Farmington, ME.
- Quackenbush, S. W. (April, 2017). *The Self as Echo Chamber: Social-Personality Psychology under the Diversity Categorical Imperative (DCI)*, Maine Philosophical Institute. Bangor, ME.
- Quackenbush, S., Birch, S., Hammond, A., & Pickering, K. (September, 2016). *Sharing Stories: A Life review*, Senior Resource Fair. Farmington, ME.
- Williams, J, Beard, E., & Quackenbush, S. (May, 2015). *From Stories Lived to Stories Told: The Personal Narrative as a Framework for Understanding Parasocial Relationships (a Pilot*

Study). Mainely Data: A Conference Highlighting Experimental Psychology in Maine, Biddeford, ME.

- Quackenbush, S. W. (March , 2015). *Sartre and the Good Life*. Midwinter Meeting of the Society for Theoretical & Philosophical Society (Division 24 of the American Psychological Association), Salt Lake City, UT.
- Quackenbush, S. W., Lockwood, A. K., & Cyr, T. G. (2012, August). “*And yet your duty is to hope*”: *The Positive Psychology of Jean-Paul Sartre*. American Psychological Association, Orlando, FL.
- Quackenbush, S. W. (2011, April). *Sartre and attachment theory*. North American Sartre Society, Montreal, Canada.
- Quackenbush, S. W. (2007, October). *The gift of character: Narrativity and the problem of self-justification*. Visions of Integration II. James Madison University, Harrisonburg, VA.
- Quackenbush, S. W. (2007, September). *Narrating hope*. Academic Convocation, University of Maine, Farmington, ME.
- Quackenbush, S. W. (2007, March). *Science, humanism, and the quest for integral humanity*. Visions of Integration: Implications for Self and Society. James Madison University, Harrisonburg, VA.
- Newton, S. N., Tucker, S. E., & Quackenbush, S. W. (2006, October). *Factors affecting reactions to an earthquake victim*. New England Psychological Association, Manchester, New Hampshire.
- Quackenbush, S. W. (2005, August). *Theoretical unification as a practical project*. American Psychological Association, Washington D. C.
- Fowlie, R. H., Clark, A. W., & Quackenbush, S. W. (2005, March). *The salience of attachment themes in popular music*. Eastern Psychological Association, Boston, MA.
- Quackenbush, S. W. (2004, June). *Narrating hope: Sartre’s attachment theory and the politics of personalization*. Crossroads in Cultural Studies (Fifth International Conference), Urbana-Champaign, Illinois.
- Quackenbush, S. W., Smith, N. C., and Campbell, H. E., and Clark, A. W. (2004, May), *Generativity as a predictor of attitudes toward the homeless*. American Psychological Society Annual Conference, Chicago, Illinois.
- Quackenbush, S. W., Wren, M. C., Strodtman, C. A., Thrasher, & M. D. (2001, June). *Recollections of personally significant experiences vary as a function of attachment style*. American Psychological Society Annual Conference, Toronto, Canada.
- Quackenbush, S. W., Mills, T., Earnshaw, E., Wren, W., West, J. (2000, March). *Critical*

experiences in moral development: Generativity and religiosity as predictors of lessons learned. Southwestern Society for Research in Human Development, Eureka Springs, Arkansas.

- Quackenbush, S. W., & Barnett, M. A. (1998, March). *Critical experiences in moral development: A cross-sectional examination.* Southwestern Society for Research in Human Development, Galveston, Texas.
- Barnett, M.A., Vitaglione, G. D., Harper, K.G., Quackenbush, S. W., Steadman, L. A., Valdez, B. S. (1996, March). *Late adolescents' experiences with and attitudes toward videogames.* Southwestern Society of Research in Human Development, Park City, Utah.
- Harper, K. G., Vitaglione, G. D., Quackenbush, S. W., Steadman, L. A., Valdez, B. S. (1995, March). *High school and college students' experiences with and attitudes toward videogames.* Great Plains Students' Psychology Convention, Emporia, Kansas.
- Barnett, M. A., & Quackenbush, S. W. (1994, October). *Factors influencing prosocial behavior in young children.* Kansas Association for the Education of Young Children Annual Conference, Manhattan, Kansas.
- Quackenbush, S. W., & Barnett, M. A. (1994, February). *Reminiscence style: A comparison of college students and elderly adults.* Southwestern Society for Research in Human Development, Austin, Texas.
- Barnett, M. A., Quackenbush, S. W., & Pierce, L. K. (1994, February). *Perceptions of and reactions to the homeless: A cross-sectional examination.* Southwestern Society for Research in Human Development, Austin, Texas.
- Barnett, M. A., Quackenbush, S. W., Sinisi, C. S., DeGroff-Rambo, J. D., & Sprague, S. C. (1994, February). *Factors affecting children's, adolescents', and young adults' perceptions of parental discipline.* Southwestern Society for Research in Human Development, Austin, Texas.
- Harper, K. G., Quackenbush, S. W., & Vitaglione, G. D. (1993, March). *Early childcare experiences and attitudes about institutionalization of elderly parents.* Great Plains Students' Psychology Convention, Maryville, Missouri.
- Quackenbush, S. W. (1992, March). *Reminiscence activity among the elderly.* Great Plains Students' Psychology Convention, Kearney, Nebraska.
- Barnett, M. A., Sinisi, C. S., Quackenbush, S. W., Otney, K., & Ayer, R. (1992, March). *Children's perceptions of parental discipline.* Southwestern Society for Research in Human Development, Tempe, Arizona.
- Barnett, M. A., Quackenbush, S. W., & Sinisi, C. S. (1991, April). *The role of single experiences in moral development: Implications for "justice" and "concern" orientations.* Society for Research in Child Development, Seattle, Washington.
- Quackenbush, S. W., Sinisi, C. S., & Barnett, M. A. (1991, March). *Effects of knowing a rape*

victim on reactions to the "known" victim and other victims. Midwest Women's Studies Association Regional Conference, Kearney, Nebraska.

Wegman, C. W., Quackenbush, S. W., Sinisi, C. S., & Otney, K. L. (1991, March). *Reactions to a rape victim: Influence of the type of rape, location, and victim's attribution.* Great Plains Students' Psychology Convention, Lindsborg, Kansas.

Quackenbush, S. W., Feierstein, M. Jaet, B. P., Saunders, L., & Sinisi, C. S. (1990, March). *The effect of knowing a rape victim on reaction to other victims.* Great Plains Students' Psychology Convention, St. Joseph, Missouri.

Sinisi, C. S., Quackenbush, S. W., & Barnett, M. A. (1990, March). *Reactions to a "known" rape victim: Role of subject's gender and personal experience with rape.* Kansas Academy of Science Conference, Manhattan, Kansas.

Teaching Awards

Governor's Award for Excellence in Teaching (Missouri Department of Higher Education, 2001)

Faculty of the Year (University of Maine at Farmington; "Under One Year of Service" Category; 2003-2004).

Faculty of the Year (University of Maine at Farmington; "One to Five Years of Service"; 2006-2007).

Faculty of the Year (University of Maine at Farmington; "Six to Ten Years of Service"; 2009-2010).

Faculty of the Year (University of Maine at Farmington; "Six to Ten Years of Service"; 2010-2011).

Faculty of the Year (University of Maine at Farmington; "Six to Ten Years of Service"; 2011-2012).

Faculty of the Year (University of Maine at Farmington; "Six to Ten Years of Service"; 2013-2014).

Faculty of the Year (University of Maine at Farmington; "Eleven to Twenty Years of Service"; 2014-2015).

Faculty of the Year (University of Maine at Farmington; "Eleven to Twenty Years of Service"; 2016-2017).

Faculty of the Year (University of Maine at Farmington; "Eleven to Twenty Years of Service"; 2018-2019).

Student Projects Supervised as a Faculty Sponsor

Presentations [Faculty Sponsor]

- Marube, M. (April, 2019). *From Chaos to Commitment: Narrative Healing in Marginalized Populations*. Michael D. Wilson Symposium, Farmington, ME.
- Fisher, G. (April, 2019). *Sartre and Artificial Consciousness: Transhumanism as a "Useless Passion"*. Michael D. Wilson Symposium, Farmington, ME.
- Antonioli, K., Blaisdell, O. & Lafrance C. (April, 2018). *Wisdom's Soil: Reflections on the Value of Intergenerational Classrooms*. Michael D. Wilson Symposium, Farmington, ME.
- Chiappetta, F., Dotson, M., Forbes, A., Hall, D., Hartford, A., Phalen, C., Rohman, K., & Stemm, A. (April, 2017). *Aging in America*. Michael D. Wilson Symposium, Farmington, ME.
- Berthiaume, Ryan E. (April, 2016). *"Dumb Jock" or "Successful Student Athlete"? Managing an Athletic Identity at a Small, Liberal Arts College*. Michael D. Wilson Symposium, Farmington, ME.
- Hall, A., Houston, M., Lockwood, A., Lunetta, S., Towle, M. (April, 2012). *Sartre's "Being and Nothingness as a Metaphysical Narrative"*. Michael D. Wilson Symposium, Farmington, ME.
- Lockwood, A. K. (May, 2011). *Technology as a distraction in the classroom*. Mainely Data: A Conference Highlighting Experimental Psychology in Maine, Lewiston, ME.
- Lilley-Karkos, K., & Ramondi, N. (May, 2011). *"This is the worst day ever...": Perceptions of Depressing and Angry Status Updates on Social Networking Websites*. Mainely Data: A Conference Highlighting Experimental Psychology in Maine, Lewiston, ME.
- Lees, J. (April, 2011). *"I Want My Country Back!": College Students' Reactions to the Tea Party Movement*. Michael D. Wilson Symposium, Farmington, ME.
- Roy, W. (2009, April). *What do College Students Really Want? The Happiness-Wisdom Tension in Contemporary Conceptions of the "Good Life"*. Michael D. Wilson Symposium, Farmington, ME.
- Tanguay, J. (2009, April). *The Intellectual Contrast Effect: Do Perceptions of a Male Honors Student Vary as a Function of His Close Associates?* Michael D. Wilson Symposium, Farmington, ME.

- Newton, S. N., & Tucker, S. E. (2007, April). *Patronizing the Elderly: The Effect of Condescending Speech on College Students' Attitudes toward a Nursing Home Patient*. Michael D. Wilson Symposium, Farmington, ME.
- Fowlie, R. H. (2004). *The Salience of attachment themes in popular music*. Maine Psychological Association 25th annual research symposium
- Cheung, K. M., Scott, J. M., Niemczyk, L. A., & Schwendinger, K. M. (March, 2003). *Narrative accounts of animal-related experiences*. Great Plains Students' Psychology Convention, Kearney, NE.
- Niemczyk, L. A., Schwendinger, K. M., Cheung, K. M., & Scott, J. M., (March, 2003). *Narrative accounts of sports-related experiences*. Great Plains Students' Psychology Convention, Kearney, NE.
- Strodtman, C. A., & Hubbard, C. E. (2002, March). *The effects of a politician's "apology" on perceptions of character*. Great Plains Students' Psychology Convention, Emporia, KS.
- Thrasher, M. D., Phillips, L. W. & Friedrich, L. A. (2002, March). *The Big Five as predictors of sports-related attitudes and motives*. Great Plains Students' Psychology Convention, Emporia, KS.
- Strodtman, C. A., Thrasher, M. D., Wren, M. C., Hilkerbaumer, E. M. (2001, March). *Do perceptions of attorneys vary as a function of their publicly-advocated religious beliefs?* Great Plains Students' Psychology Convention, Joplin, MO.
- Wren, M. C., Thrasher, M. D., Strodtman, C. A., Hilkerbaumer, E. M. (2001, March). *Attachment and meaning: The effects of attachment security on the resolution of various existential issues*. Great Plains Students' Psychology Convention, Joplin, MO.
- Earnshaw, E. L. A. (2000, March). *Life purpose, will to meaning, and death acceptance as predictors of religious orientation*. Great Plains Students' Psychology Convention, St. Joseph, Missouri.
- Wren, M., Findley, R., & Heringer, L. (2000, March). *Attachment and narrativity: The effects of attachment anxiety, dependability and closeness on autobiographical reconstructions of personally significant experiences*. Great Plains Students' Psychology Convention, St. Joseph, Missouri.
- Mills, T., Earnshaw, E., Wren, W., West, J. (2000, March). *Critical experiences in moral development: Generativity and religiosity as predictors of lessons learned*. Great Plains Students' Psychology Convention, St. Joseph, Missouri.
- Earnshaw, E. L. A, & Mills, T. L. (1999, March). *College students' attitudes toward and experiences with videogames: A replication and extension*. Great Plains Students' Psychology Convention, Wichita, Kansas.

Heringer, L., Findley, R. Abramovitz, J., & Perkins, A. (1998, March). *Critical experiences and attachment style: A pilot study*. Great Plains Students' Psychology Convention, Lincoln, Nebraska.

Honors Theses [Faculty Advisor]

Berthiaume, Ryan E. (April, 2016). *"Dumb Jock" or "Successful Student Athlete"? Managing an Athletic Identity at a Small, Liberal Arts College*

Morales, J. (2011). *College Students' Perceptions of Religious Converts*.

Lees, J. (2010). *"I Want My Country Back!": College Students' Reactions to the Tea Party Movement*.

Hlaing, E. E. (2008). *Empathy and the Norm of Self-interest: A Physiological and Social Psychological Approach to the Problem of Altruism*. [co-advisor: Mary Schwanke]

Pickering, R. (2008). *Method and Mimesis: Priming Narrative Worlds through Reading Fiction*. [co-advisor: Pat O'Donnell]

Lisa-Ann L. Henry LCPC, LADC, ACS
5 Birch Ridge Ave
Topsham, ME 04086
207-841-5023

EDUCATION

M.A. Counseling Psychology
 Antioch New England Graduate School (May 2003)

M.H.S.A. Human Service Administration
 Antioch New England Graduate School (May 1997)

B.A. Psychology
 University of Maine Orono (May 1990)

**WORK
EXPERIENCE**

LA VITA E BELLA, LLC
Bath, ME

Mar 15 – Present

- *Sole Proprietor
- *Provides Individual, Couples and Family therapy (March 15- August 19)
- *Provides Mental Health and Substance Abuse Consultation Services

UNIVERSITY OF MAINE FARMINGTON
DIVISION OF PSYCHOLOGY AND HUMAN DEVELOPMENT
Farmington, ME

FULL TIME FACULTY (NON-TENURE)

Sept. 19 – Present

- Child and Adolescent Development
- Psychology of Leadership
- Career Counseling
- Child and Family Counseling and Psychopathology
- Abnormal Psychology
- Adulthood and Aging

ADJUNCT INSTRUCTOR

Sept. 18 – May 19

- Child and Family Counseling and Psychopathology
- Career Counseling

CENTRAL MAINE COMMUNITY COLLEGE
SOCIAL SCIENCES DEPARTMENT
Auburn, ME

ADJUNCT INSTRUCTOR

Sept. 14- Present

- Trauma, Abuse and Recovery
- Interviewing and Counseling
- Behavior Modification
- Developmental (Life Span) Psychology
- Death, Dying and Bereavement
- Introduction to Psychology
- Sociology of Aging

Sept. 07 – May 12

**WORK
EXPERIENCE****WISCASSET SCHOOL DEPARTMENT****Wiscasset, ME*****SOCIAL SERVICES PROVIDER K - 12****Oct. 13 – June 16*

- *Provides individual and group therapy
- *Provides substance abuse counseling and assessments
- *Consults regarding student safety and threat assessments
- *Member of the Student Intervention Team WHS
- *Assists in the development of student behavior plans
- *Provides consultation to teachers and administrators

LEWISTON PUBLIC SCHOOLS*Aug. 08 – Oct. 13***Lewiston, ME*****DISTRICT CLINICAL SUPERVISOR***

- *Provided clinical and administrative supervision to six district clinicians
- *Utilized the TEPG tool to evaluate clinicians; co-evaluated Day Treatment teachers
- *Administrative Designee for IEP meetings
- *Gate Keeper for Out of District Placements for Emotionally Disturbed Students K-12
- *Provided direct oversight of the school district's Day Treatment Program K-6
- *Provided oversight to LMS and LHS behavioral self-contained programs
- *Organized and provided oversight for Day Treatment (Sec. 65) Maine Care Billing
- *Provided and developed Memorandum of Understanding with community agencies and the school department
- *Provided individual counseling to 4 high school students
- *Provided CH33 in service trainings, organizes district training and maintains staff rosters
- *Created CH33 compliant paperwork for day treatment restraint and seclusions
- *Restructured the Day Treatment Program, including physical space
- *Participated in course work towards Maine Assistant Principal Certification

CLINICIAN (LEWISTON HIGH SCHOOL & MIDDLE SCHOOL)

- *Provided individual and group therapy
- *Provided clinical oversight and social skills group for LHS and LMS behavioral self-contained programs
- *Provided substance use/abuse counseling and assessments
- *Provided crisis intervention
- *Completed assessments and formulated diagnoses
- *Attended IEP meetings
- *Facilitated school based mental health meetings with school and community providers
- *Provided in service trainings regarding Mental Health in the Classroom, Suicide Prevention, and Therapeutic Crisis Intervention
- *Certified Therapeutic Crisis Intervention Trainer Level 1

WORK**WISCASSET SCHOOL DEPARTMENT**

EXPERIENCE**Wiscasset, ME*****SOCIAL SERVICES PROVIDER K - 8****Oct. 05 – July 08*

- *Provided individual and group therapy
- *Provided substance abuse counseling and assessments
- *Provided student safety and threat assessments
- *Co-coordinator of the WPS Student Assistance Team
- *Coordinator of the WPS Crisis Management Team
- *Assisted in the development of student behavior plans
- *Provided consultation to teachers and administrators

SPURWINK, INC.**PUBLIC SCHOOL COUNSELING PROGRAM*****(At Lewiston High School)*****Portland, ME**

The Spurwink Public School Counseling Program provides on-site therapeutic services in thirty-eight public schools in southern and central Maine.

PUBLIC SCHOOL COUNSELOR/CLINICIAN*Aug. 03- October 05****PUBLIC SCHOOL COUNSELOR INTERNSHIP****Aug. 02- July 03*

- *Provided individual and group therapy
- *Provided substance use/abuse counseling and assessments
- *Provided crisis intervention
- *Completed assessments and formulated diagnosis'
- *Advised a group of twelve students through the LHS Advisor/Advisee Program
- *Consultant to LHS Student Assistance Team
- *Member of LHS Crisis Response Team
- *Provided classroom presentations

LEWISTON HIGH SCHOOL AND REGIONAL TECHNICAL CENTER**Lewiston, ME*****CLINICAL COUNSELOR INTERNSHIP****Aug. 01- June 02*

- *Provided individual counseling
- *Co-facilitated two Anger Management groups
- *Co-facilitated two Grief/Loss groups
- *Provided Crisis Counseling
- *Maintained documentation
- *Developed individual treatment plans

WORK**NORWICH HOUSE, INC.**

EXPERIENCE**Lewiston, ME**

The Norwich House was a long-term residential program for pregnant and parenting adolescents, and their children. The program had an annual budget of \$300,000.

EXECUTIVE DIRECTOR*Feb. 98 – July 2001*

- *Communicated mission, goals and objectives of the agency
- *Promoted a healthy, efficient and productive work environment
- *Promoted a nurturing environment for residents
- *Managed agency budget
- *Provided supervision to 13 employees
- *Maintained program compliance with all licensing entities
- *Responsible for grant reporting and writing
- *Provided court testimony regarding parental capacity of residents

YWCA, ADOLESCENT INTERVENTION PROGRAM**Lewiston, ME**

The Intervention Program provided outpatient counseling and support services to approximately 800 adolescents per year and had a budget of \$260,000.00.

INTERVENTION DIRECTOR*Feb. 95 – Feb. 98*

- * Supervised six employees
- * Managed department budget
- * Responsible for grant reporting and writing
- * Provided individual counseling and substance abuse evaluations
- * Networked with community professionals

SENIOR COUNSELOR*June 92 - Feb. 95***ADOLESCENT PREGNANCY/PARENTING PROJECT**

- * Provided supportive counseling to pregnant, parenting, and at-risk teens
- * Maintained a caseload of 35 adolescents
- *Coordinated Project services and provided community presentations
- * Provided group counseling services to area schools

WELLSPRING, INC.**Bangor, ME**

Wellspring provided long-term residential treatment services to women, men and adolescents who were chemically dependent.

PRIMARY COUNSELOR*May 91 - June 92*

- * Provided individual substance abuse counseling
- * Provided group counseling
- * Maintained client records

COUNSELOR II*Sept. 90 - May 91***Project Rebound**

- * Overnight supervision of adolescent residents
- * Maintained client records

WORK**COUNSELOR ASSOCIATE***May 90 - Sept. 90*

EXPERIENCE

Project Rebound
 * Supervised clients
 * Maintained client records

SPRUCE RUN ASSOCIATION**Bangor, ME**

Spruce Run provides hot line and shelter services to survivors of domestic violence.

*CRISIS COUNSELOR**Sept. 89 - Mar. 91*

- * Answered hot line calls
- * Maintained client records and agency statistics

CONSULTATION**CENTRAL MAINE COMMUNITY COLLEGE****Auburn, ME***Crisis-Hazard Management Planning**Feb. 08- April 08*

- * Researched college Crisis-Hazard Management Plans
- * Obtained Incident Command System Training ISC100 and ISC200
- * Developing and creating an individualized Crisis-Hazard Plan for CMCC

SEXUAL ASSAULT SUPPORT SERVICES OF MIDCOAST MAINE**Brunswick, ME***CLINICAL CONSULTANT**July 12- Present**GRANT RESEARCHER**August 2003*

- * Provides clinical consultation to agency staff
- * Provides in service trainings to agency staff and volunteers
- * Researched grant databases for potential funding sources
- * Created a portfolio categorizing funding sources as related to the agency mission

**BOARDS,
COMMITTEES
AND ACTIVITIES**

Sexual Assault Support Services of Mid-Coast Maine
 Board of Directors, September 2006 - 2009
 September 1995 – September 1998

Sexual Assault Support Services of Mid-Coast Maine
 Chair, October 2007 - 2008
 Vice Chair, October 2006 - 2007

Sexual Assault Support Services of Mid-Coast Maine
 Personnel Committee October 1998 – Present
 (Co-Chair, September 1996 – September 1998)

Sexual Assault Support Services of Mid-Coast Maine
 Secretary, 1997 -1998

Scholastic Aptitude Test Center at Lewiston High School
 Associate Supervisor, October 2001 – 2005

Lewiston High School
 School Based Health Clinic Advisory Board
 June 1993 – September 2005

Maine Clinical Counselors Association

Membership Chair, July 2004-January 2005

Maine Association of Group Care Providers
Board Member
1998 – 2001

Maine Association of Group Care Providers
Chair, Networking and Advocacy Committee
January 2000 – 2001

Maine Association of Group Care Providers
President
July 1999 – June 2000

Lewiston-Auburn Multi-Disciplinary Team
September 1992 - 1998

Mayor's Task Force for Drug Exposed Infants
June 1992 – 1993

**LICENSES/
CERTIFICATIONS**

Licensed Clinical Professional Counselor
ME License Exp: 07/21

Licensed Alcohol and Drug Counselor
ME License Exp: 11/19

Approved Clinical Supervisor

UNIVERSITY OF MAINE SYSTEM

Policy Manual

HUMAN RESOURCES AND LABOR RELATIONS

Section 411 Health Insurance for Retirees and Former Employees on Long Term

Disability

Effective: 1/26/81

Last Revised: 11/16/98; 1/13/08

Responsible Office: Human Resources

Applies to: All Employees

Policy Statement:

Retirement is separation from University of Maine System service at the normal retirement age of 65 or older, or at age 55 or older with at least ten (10) years of continuous regular, full-time equivalent service or with vesting in the University of Maine System Basic Retirement Plan for Classified Employees. Effective July 1, 2010 a separation from service shall be considered retirement only at age 55 or older with at least ten (10) years of continuous regular, full-time equivalent service or with vesting in the University of Maine System Basic Retirement Plan for Classified Employees.

Employees who retire from University service may retain Group Health Plan coverage. Retirees shall pay the full health plan premium unless they are eligible for the premium contribution described below.

University of Maine System retirees at or above the normal retirement age of 65 who have at least ten years of continuous full-time regular University service after age 45 immediately prior to retirement and who have remained in the System health plan will be provided group health coverage with the following premium contributions. This coverage is also extended to those former employees in the plan receiving benefits under the System's long term disability insurance.

- a. For retirees who retire on or after July 1, 2010, the retiree will pay a share of the premium for personal coverage based on years of completed continuous, full-time equivalent regular service prior to retirement:

10 and less than 20	15% of premium
20 and less than 30	10% of premium
30 or more	7% of premium

- b. The retiree shall pay one-half of the cost for coverage of any eligible dependents.

For retirees at or above the age of 65 who have at least ten years of continuous full-time regular service immediately prior to retirement and who retire before July 1, 2010, the retiree's cost and one-half of the cost for eligible dependents will be paid by the University:-

Surviving spouses of University employees and retirees may continue coverage in the group health plan. Surviving spouses shall pay 50% of the full premium if the employee/retiree had completed ten or more years of service and shall pay 100% of the premium if the employee/retiree completed less than ten years of service.

Eligibility and premium contribution levels shall also apply to eligible part-time employees in "Benefits Regular," "Shared Appointment," or "Partial/ Phased Retirement" status who completed ten or more years of continuous, full-time equivalent, regular service immediately prior to retirement. An employee who has completed ten or more years of full-time service who then reduces to part-time regular status also meets the criteria for retiree medical coverage. Part-time faculty are eligible at age 65 if they completed ten or more years of full-time equivalent service immediately prior to retirement.

Eligibility to continue health insurance and premium contributions shall also apply to retirees who make a one-time election to cease coverage under the UMS Group Health Plan and then later elect to receive coverage again, provided that the election of coverage occurs no later than ninety (90) days after the retiree becomes eligible for Medicare and that the retiree documents continuous coverage for self and dependents during the period for which they were not covered in the UMS Group Health Plan.

University of Maine System

ADMINISTRATIVE PRACTICE LETTER

**SUBJECT: HEALTH INSURANCE FOR RETIREES AND FORMER EMPLOYEES
ON LONG TERM DISABILITY**

Retirement is separation from University of Maine System service at the normal retirement age of 65 or older, or at age 55 or older with at least ten (10) years of continuous regular, full-time equivalent service or with vesting in the University of Maine System Basic Retirement Plan for Classified Employees. Effective July 1, 2010 a separation from service shall be considered retirement only at age 55 or older with at least ten (10) years of continuous regular, full-time equivalent service or with vesting in the University of Maine System Basic Retirement Plan for Classified Employees.

Employees who retire from University service may retain Group Health Plan coverage. **This coverage is also extended to those former employees in the plan receiving benefits under the System's long term disability insurance, in accordance with the applicable collective bargaining agreement at the time of termination.**

Retirees shall pay the full health plan premium unless they are eligible for the premium contribution described below.

University of Maine System retirees at or above the normal retirement age of 65 who have at least ten years of continuous full-time regular University service after age 45 immediately prior to retirement and who have remained in the System health plan will be provided group health coverage with the following premium contributions. This coverage is also extended to those former employees in the plan receiving benefits under the System's long term disability insurance.

- a. **For retirees who retire on or after 1/1/17 (9/1/17 for faculty), Medicare eligible retirees will pay a flat 20% of their individual premium. The individual premium will be based only on the minimum service required to retire – which is at least 10 years of full-time regular equivalent continuous service immediately preceding retirement.**

In addition to the above, LTD recipients with dates of disability on or after 1/1/16 may continue their health coverage for a maximum of 24 months.

For retirees who retire on or after July 1, 2010 **and before January 1, 2017 (or before September 1, 2017 for AFUM members only)**, the retiree will pay a share of the premium for personal coverage based on years of completed continuous, full-time equivalent regular service prior to retirement:

10 and less than 20

15% of premium

20 and less than 30	10% of premium
30 or more	7% of premium

- b. The retiree shall pay one-half of the cost for coverage of any eligible dependents.

For retirees at or above the age of 65 who have at least ten years of continuous full-time regular service immediately prior to retirement and who retire before July 1, 2010, the retiree's cost and one-half of the cost for eligible dependents will be paid by the University. Surviving spouses of University employees and retirees may continue coverage in the group health plan.

Surviving spouses shall pay 50% of the full premium if the employee/retiree had completed ten or more years of service and shall pay 100% of the premium if the employee/retiree completed less than ten years of service.

Eligibility and premium contribution levels shall also apply to eligible part-time employees in "Benefits Regular," "Shared Appointment," or "Partial/Phased Retirement" status who completed ten or more years of continuous, full-time equivalent, regular service immediately prior to retirement. An employee who has completed ten or more years of full-time service who then reduces to part-time regular status also meets the criteria for retiree medical coverage. Part-time faculty are eligible at age 65 if they completed ten or more years of full-time equivalent service immediately prior to retirement.

Eligibility to continue health insurance and premium contributions shall also apply to retirees who make a one-time election to cease coverage under the UMS Group Health Plan and then later elect to receive coverage again, provided that the election of coverage occurs no later than ninety (90) days after the retiree becomes eligible for Medicare and that the retiree documents continuous coverage for self and dependents during the period for which they were not covered in the UMS Group Health Plan.

Delegation of Board of Trustees Authority for real estate transactions and related matters

Activity Description	Management Authority (pursuant to APL or other procedures set forth by the Treasurer)	BOT Authority	Committee Authority
Construction, Renovation & Equipment - Total project cost for construction of a new facility or the capital renewal/ alteration/renovation of an existing facility, or the purchase and installation of equipment.	If less than \$500,000.	If greater than or equal to \$500,000. BOT Policy 701	If greater than or equal to \$500,000 and less than \$1 million.
Acquisition of Real Property - Acquisition of real property through purchase, gift, or bequest requires approval prior to transfer of title.	If less than \$50,000.	If greater than or equal to \$50,000. BOT Policy 801	If greater than or equal to \$50,000 and less than \$200,000.
Property Leased to UMS (UMS is the Lessee) - Initial term of any lease of real property (including renewal options) where UMS is leasing from other entities	If less than \$100,000 and less than 5 years.	If greater than or equal to \$100,000 and/or greater than or equal to 5 years. BOT Policy 801	If the total value of the lease is greater than or equal to \$100,000 and less than \$500,000; and if the term is greater than or equal to 5 years and less than 10 years.
Property Leased from UMS (UMS is the Lessor) - Initial term of any lease of real property (including renewal options) where UMS is leasing to other entities.	If less than \$100,000 and less than 5 years.	If greater than or equal to \$100,000 and/or greater than or equal to 5 years. BOT Policy 802	If the total value of the lease is greater than or equal to \$100,000 and less than \$500,000; and if the term is greater than or equal to 5 years and less than 10 years.
Disposal of real property by demolition	Any demolition unless the project requires Trustee consideration under other real property criteria, such as the project cost exceeding \$500,000.	If any of the criteria in the categories above are present. BOT Policy 802 and associated APLs	If any of the criteria in the categories above are present.
Disposal of real property by sale or other transfer - Disposal of real property through sale, gift, or other transfer requiring transfer of title.	If the value of the property to be transferred is less than \$50,000 and the Governor's approval is not required.	All sales with value greater than or equal to \$50,000. Note: Governor's approval also may be required for certain sales. BOT Policy 102 and 802 and associated APLs	n/a
Increases in owned or occupied facility space through construction, acquisition, lease or other means.	If the space is dedicated to research activities.	All other increases. Pursuant to Trustees action March 2015.	n/a

Approved by the Board March 24, 2014; Updated – June 2019; Update pending January 2020



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Machine Tool Lab Building Replacement, UM
2. **INITIATED BY:** James H. Page, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** **X**
4. **OUTCOME:** **BOARD POLICY:**
 Increase Enrollment
 Improve Student Success and Completion
 Enhance Fiscal Positioning
 Support Maine through Research and Economic Development
 Relevant Academic Programming
 University Workforce Engagement
 Gross Square Foot Increase
5. **BACKGROUND:**

The University of Maine System acting through the University of Maine (UM) requests authorization to build an approximately 5,900 square foot building to house a portion of the functions of the existing Machine Tool Laboratory during the construction of the new Engineering Education and Design Center (EEDC). The request is pursuant to Trustee Policy prohibiting net increases in space without Trustee authorization.

This request then is part of a ballet of three different facilities: 1. the existing tool lab, which is to be demolished to make way for the new EEDC; 2. a new building to house, temporarily, the tool lab and, 3. the new EEDC facility which ultimately will be the new, permanent home of the existing tool lab functions.

The proposed temporary tool lab would include a teaching lab to house machine tools, two offices for faculty who directly support this lab, and a classroom tied to the lab, plus support spaces. This would be the key learning space for the approximately 170 students in UMaine's Mechanical Engineering Technology program. Discussions of how to accommodate the functions that cannot be supported in the temporary space are ongoing. Further temporary capital construction is not expected to be required to support those functions.

The final location for the new EEDC building was determined in April of 2018 to be at the site of the existing Machine Tool Laboratory building. This existing tool lab is approximately 12,800 square feet and was built in 1935. The current Net Asset Value (NAV) of the lab is reported by Sightlines at 2 percent.

The existing tool lab is expected to be removed in the winter of 2019-2020 to make way for the EEDC. At that point, the demolition would at least temporarily offset the increase

1/17/2019

in square footage associated with the new facility, but that decline in space is expected to be overwhelmed ultimately by the construction and increase in space associated with the new EEDC.

While the new EEDC is being constructed, the temporary space is needed. Once the new EEDC is complete and the tool lab relocated there, the current plan is for the temporary tool lab building to be re-used as swing space during future renovations of three existing engineering teaching buildings (Boardman, Barrows, and Jenness Halls).

Design for this building to house the temporary tool lab is underway. The intention is to bid for construction in the spring of 2019 and to occupy the space before January 2020 when the existing Machine Tool Lab is slated for removal.

The cost of the new building is estimated to be approximately \$1.5 million and will be funded through the EEDC project and the budget approved by the Board in May, 2018. This project and the full design work for the EEDC can be completed within the \$9 million approved by Trustees in May 2018. The operating costs of the new structure are not expected to increase beyond those of the existing Machine Tool Lab. The net change in square footage will be tracked in the campus' list of assets.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the January 27-28, 2019 Board meeting.

6. TEXT OF PROPOSED RESOLUTION:

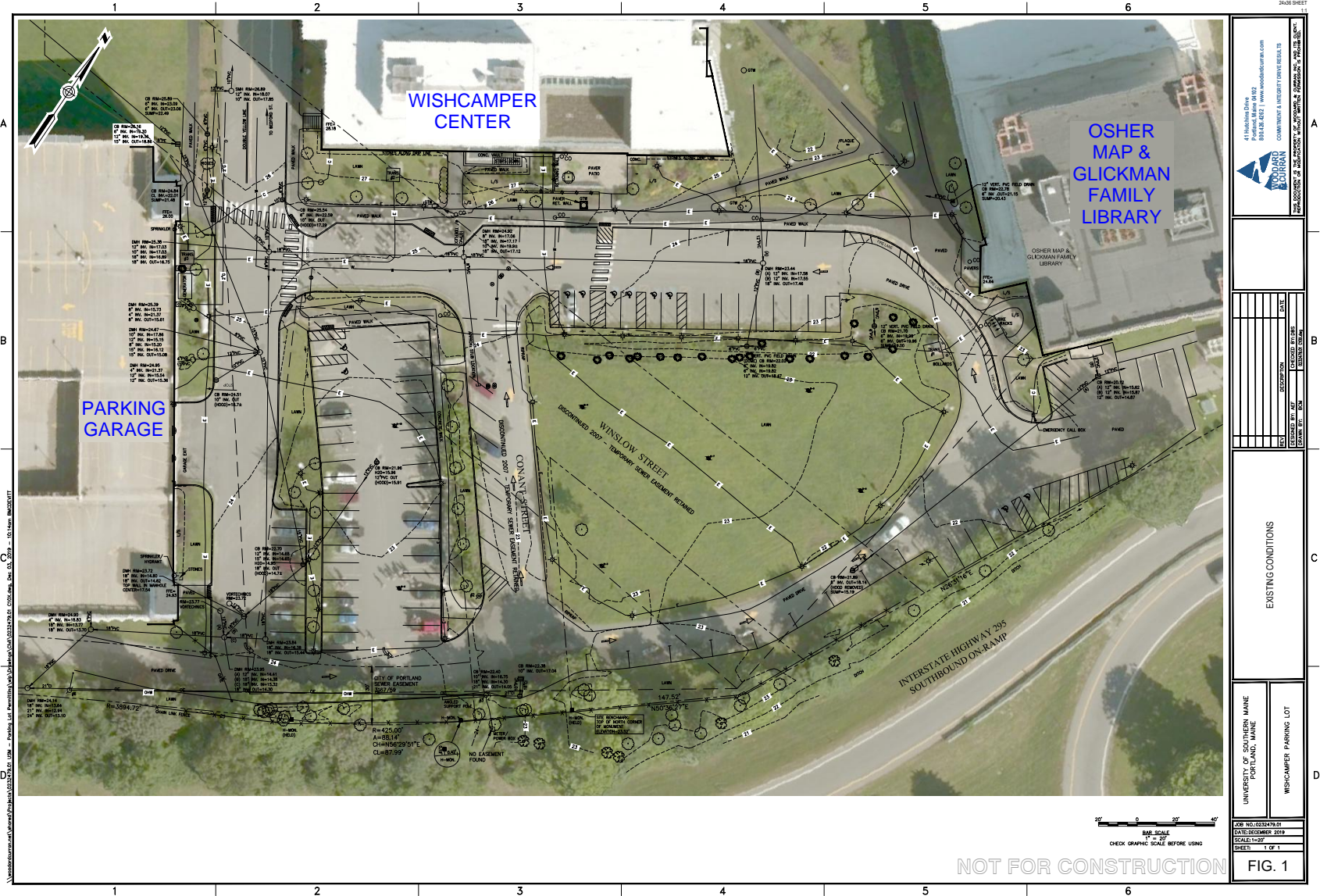
That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee for the University of Maine System acting through the University of Maine to expend up to \$1.5 million from funds to be identified by the University of Maine Chief Business Officer and the University of Maine System Treasurer to construct a new facility of up to 5,900 square feet.

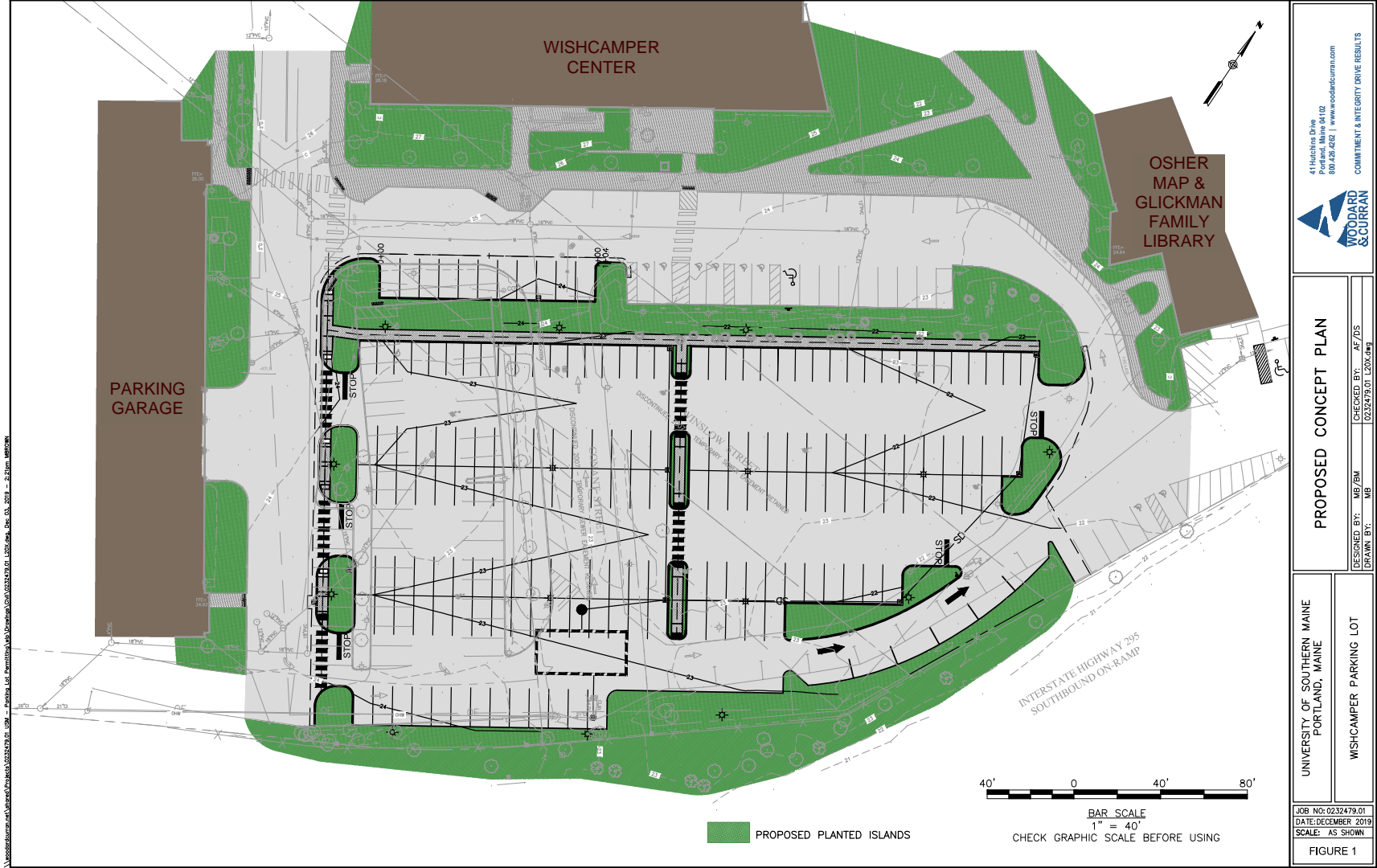
Attachment:

[Full Design, Engineering Education and Design Center, UM \(approved at the 5/20-21/18 Board Meeting](#)



Finance, Facilities, & Technology Committee Meeting - Wishcamper Center Parking Lot Expansion, USM







USM Parking Assessment: Existing and Future Conditions

Presented by

LOURENÇO DANTAS, AICP

FEDERICO TALLIS, AICP

January 17, 2020

Contents

- Study Purpose
- Current Parking Supply
- Future Parking Supply
- Current Parking Demand
- Enrollment and Parking Demand Forecasts
- Future Parking Supply vs. Demand
- Key Takeaways
- Appendix
 - Parking Demand by Lot/Facility
 - Proposed USM TDM Strategies

Study Purpose

To develop a comprehensive profile of current on-campus parking conditions and to estimate future parking demand levels based upon projections of student enrollment, employment growth, and changes to campus activities.

Key milestones include:

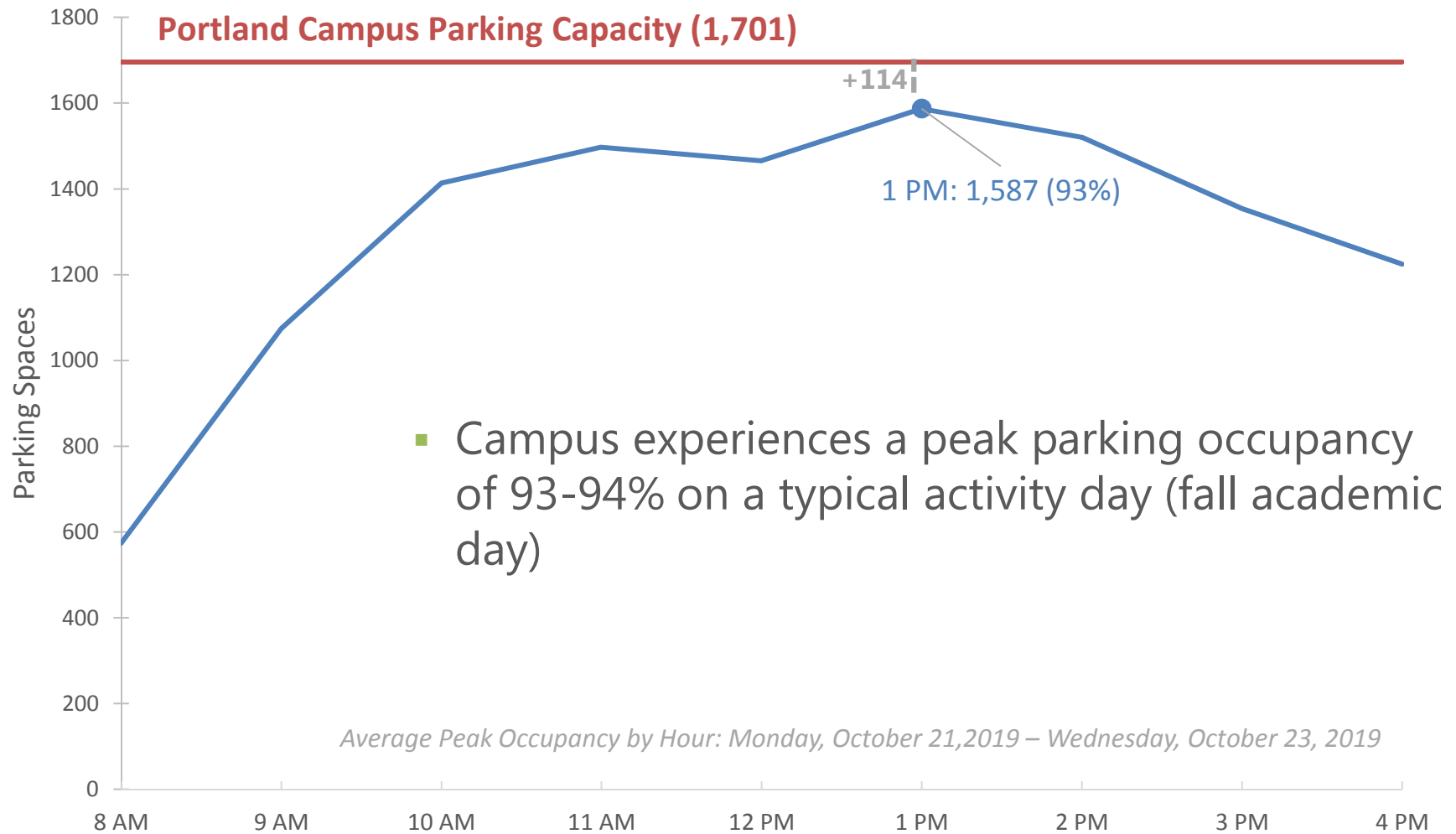
- 2022 – completion of student center & residence hall, including loss of Woodbury parking lot (P2)
- 2025 & 2030

Current Parking Supply

- 10 Surface Lots, 1 Garage
- 1,701 Parking Spaces
- Two key user groups:
 - Commuting Students
 - Staff & Faculty



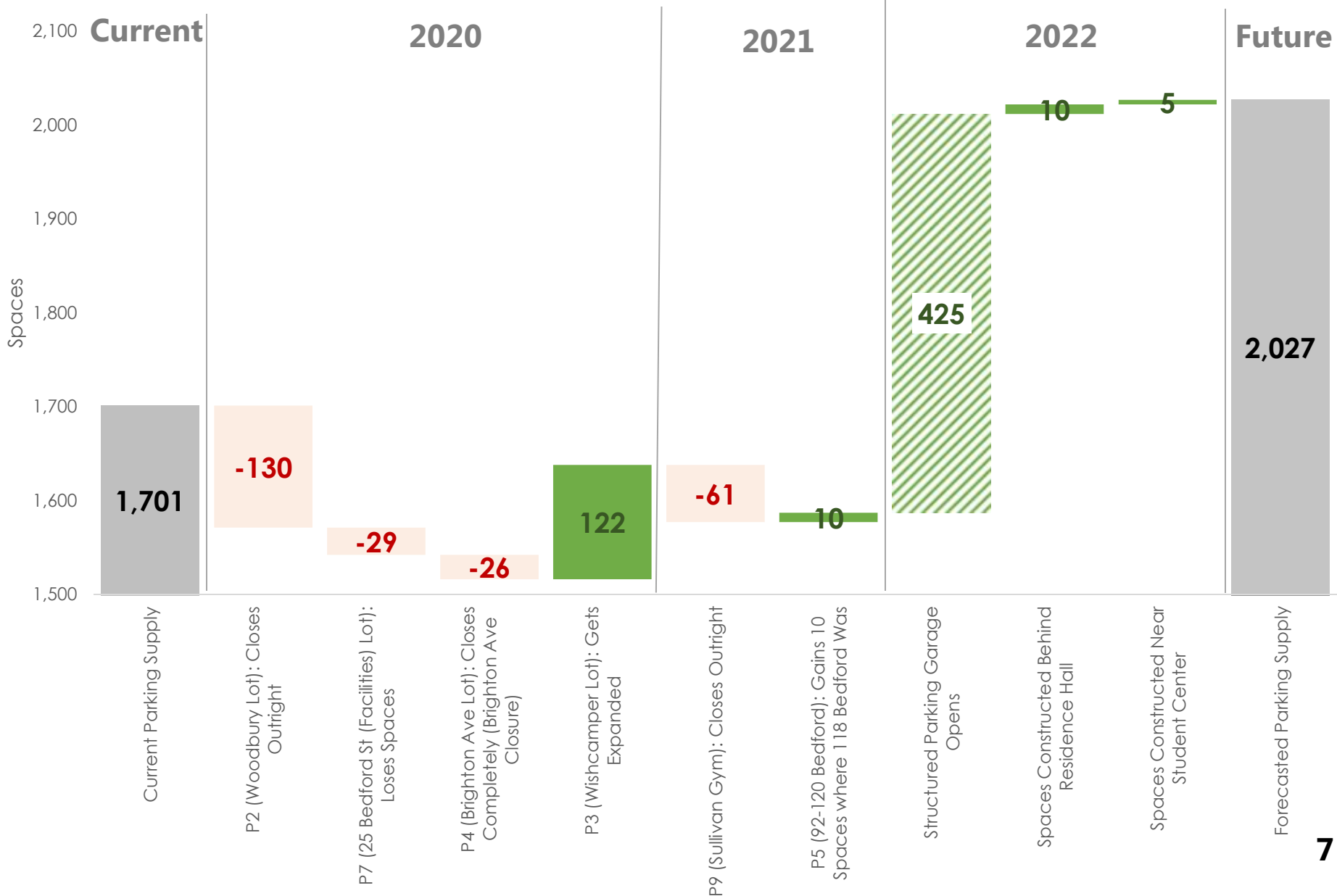
Current Parking Demand



Current Parking Demand

- Current Parking Peak Hour occurs at 1 PM
- Campus is currently at 93% occupancy during peak, typical activity day
- 5 of 11 lots noted occupancy beyond capacity (see details in appendix) including:
 - P2 Campus Center (Woodbury Parking Lot)
 - P3 Wishcamper Center/Library
 - P4 Off Brighton Ave
 - P5 92-120 Bedford
 - P10 Payson Smith

Future Parking Supply



Future Parking Supply

On-Campus	2019	2020	2021	2022	Milestone Notes (from USM)
Parking Garage	1155	1155	1155	1155	
P1 Luther Bonney & Masterton Halls	37	37	37	37	
P2 Campus Center (Woodbury Parking Lot)	130	0	0	0	Lose all of Woodbury parking lot permanently
P3 Wishcamper Center/Library	91	213	213	213	Wishcamper parking lot will be temporarily lost for the summer 2020 Gain 122 spots in new Wishcamper surface lot by September 2020
P4 Off Brighton Ave	26	0	0	0	Lose Brighton Ave extension parking lot by May 2020
P5 92-120 Bedford	6	6	16	16	May gain 10 spots if new Bedford Street lot is built where 118 Bedford was
P6 Law Building	114	114	114	114	
P7 Facilities Building	41	12	12	12	*May lose 29 spots in Facilities parking lot permanently by May, 2020 (subject to change)
P8 Physical Plant	21	21	21	21	
P9 Sullivan Recreation	61	61	0	0	
P10 Payson Smith	19	19	19	19	
Structured parking	0	0	0	425	Parking garage with 425 spaces
Residence Hall	0	0	0	10	Gain 10 spots in the back of the Residence Hall
Student Center	0	0	0	5	Gain 5 spots adjacent to the Student Center
Total	1,701	1,638	1,587	2,027	

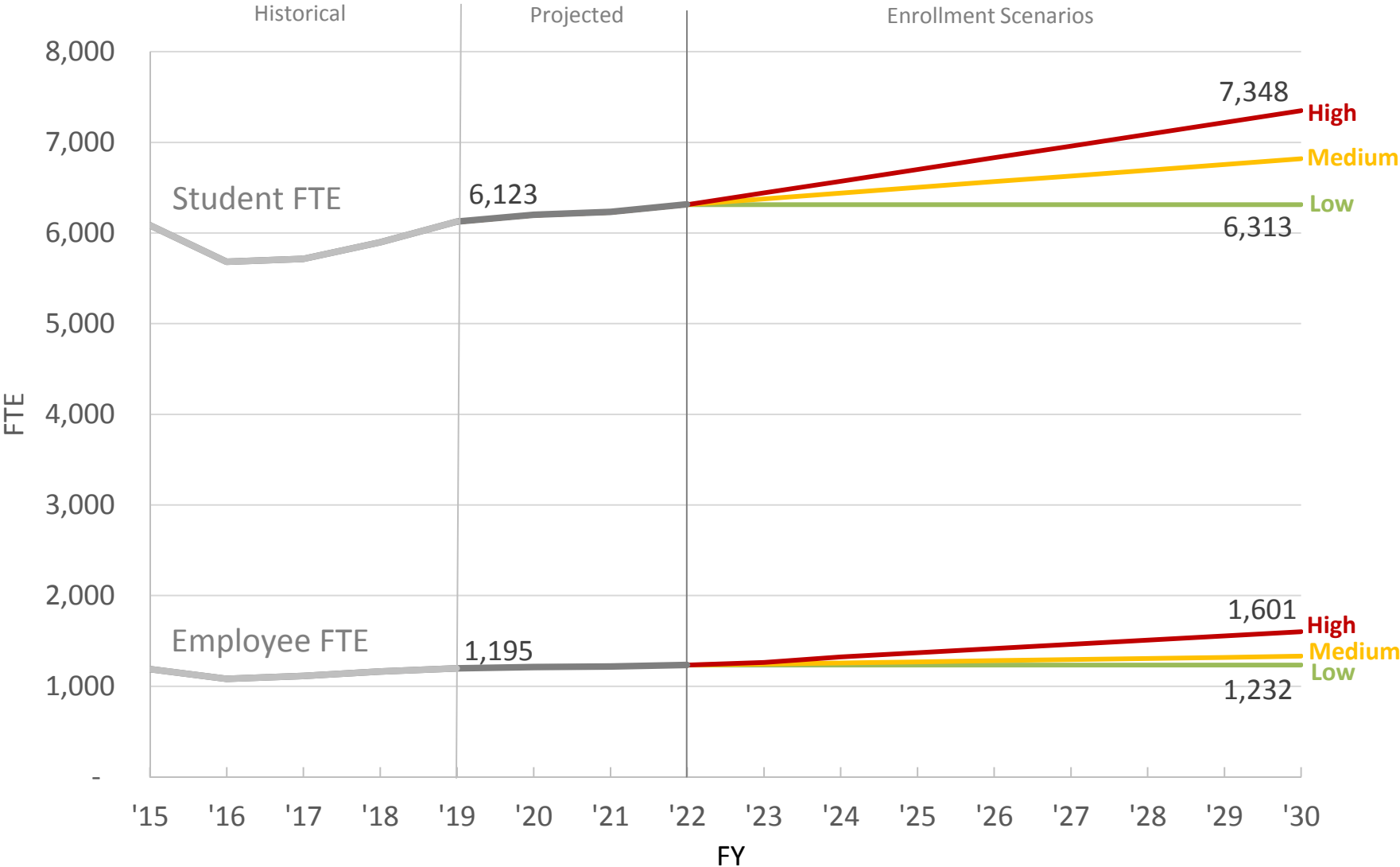
Enrollment Forecast Methodology

- What we know:
 - 2019 Student and Employee FTE
 - Student FTE: 6,123
 - Employee FTE: 1,195
 - Projected Student Growth Through 2022
 - 2020 Student FTE: 6,199
 - 2021 Student FTE: 6,230
 - 2022 Student FTE: 6,313
- What we don't know:
 - 2020 – 2022 Employee FTE
 - Employee FTE was grown proportionally to student enrollment using 2019 ratios for 2020 – 2022; could have a different growth rate
 - How USM will grow beyond 2022

Enrollment Forecast Methodology

- To determine demand beyond 2022 three scenarios were determined:
 - **Low:** Student enrollment and employment remains flat beyond 2022
 - Average Annual Growth Rate: 0%
 - **Mid:** Student enrollment continues to grows steadily based on growth from 2019 to 2022. Employment grows proportionally to student enrollment.
 - Average Annual Growth Rate: 1%
 - **High:** Student enrollment and employment grows back to peak enrollment, 2006 levels.
 - Average Annual Growth Rate: 2%

Student and Employee FTE Projections



Translating Enrollment to Parking Demand

- What we know:
 - Portland Campus Parking Demand
 - Peak hour demand: 1,587 (93%)
 - USM Portland Campus Headcount vs Total USM Enrollment
 - From Master Plan: Portland has 64% of total USM student headcount
 - Employee vs. Student Parking Demand
 - From parking count, 44% of Portland campus permits are from employees whereas 56% are from students
 - Residential Student Parking Permit Demand
 - From Master Plan 1,200 beds in Gorham and 815 registered permits from permit data = 0.68 parking space/bed.
 - Based on demographic of expected student population, a higher 0.75 parking space/bed rate was used.

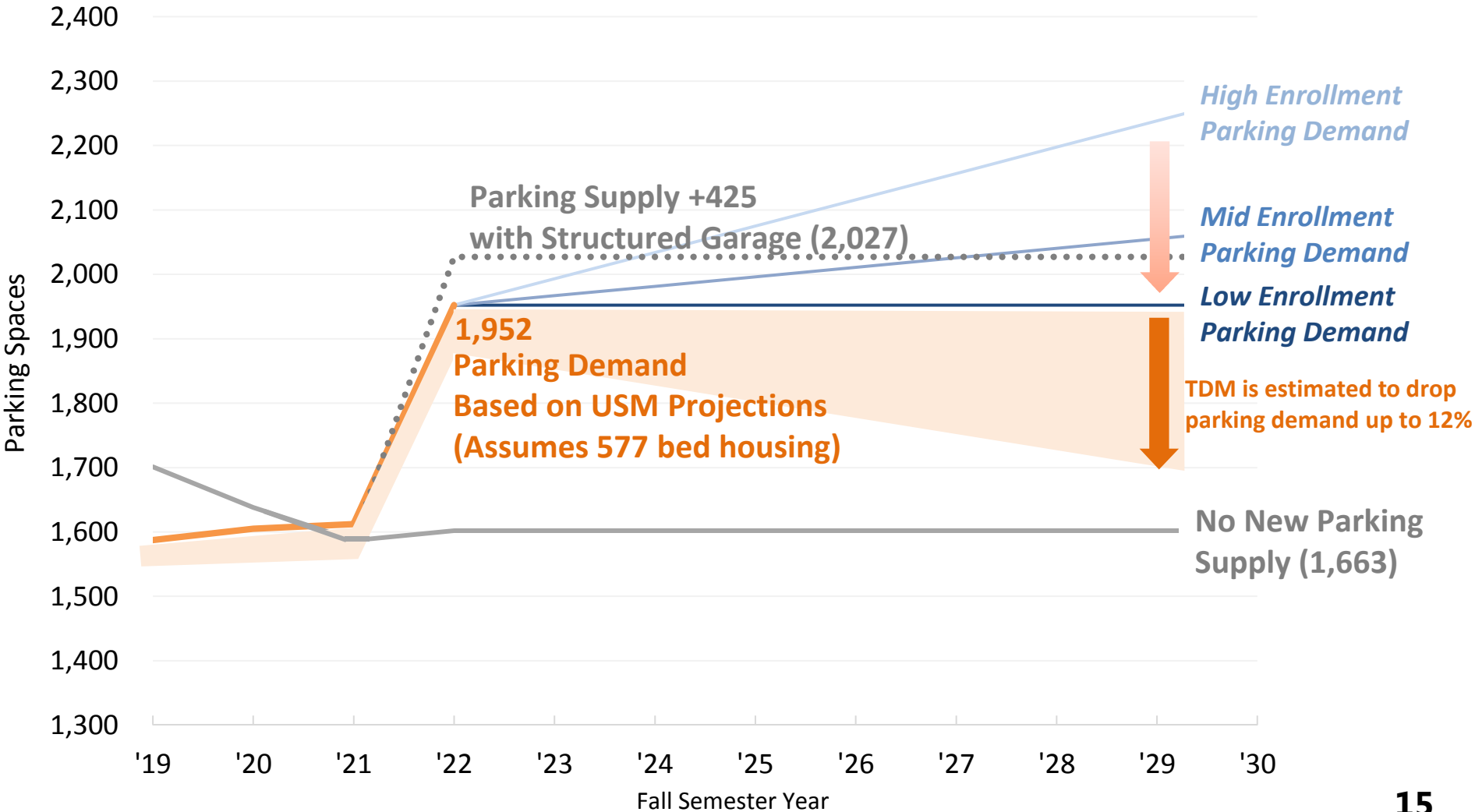
Translating Enrollment to Parking Demand

- To Calculate Parking Demand:
 1. USM Student Enrollment was translated to Portland Campus Student Enrollment
 2. For each forecasted year Portland student enrollment was split into two categories: Commuter student vs Residential student
 - 577 on-residents assumed on-campus from 2022 into the future.
 - Commuter students equal to total Portland headcount minus on-campus students
 3. Commuter student, residential student, employee, OLLI, and conference attendee parking rates were calculated:
 - Commuter student, employee, OLLI, and conference parking rates were calculated using existing permit demand data ratios
 - Residential student rates were calculated based on Gorham bed counts and resident student permits registered
 4. Calculated parking rates were multiplied by expected population for each year to determine final parking demand by group
 5. Final commuter student, residential student, and employee parking demand were summed to determine total parking demand

Calculating TDM Reduction

- To Calculate the impacts of a TDM program on USM:
 1. A laundry list of appropriate TDM strategies were chosen for USM based the peer review and the assessment of existing transportation conditions.
 2. Impact vs. cost of individual strategies were determined based on USM permit data sales and the transportation survey.
 3. USM narrowed laundry list from step 1 based on political and financial feasibility.
 4. VHB took final package of strategies and simulated potential mode split based on USM permit data and transportation survey.
 5. Mode split was translated to parking reduction based on existing mode split vs. parking demand patterns.
- A list of proposed TDM Strategies are contained in the appendix.

Future Parking Supply vs. Demand



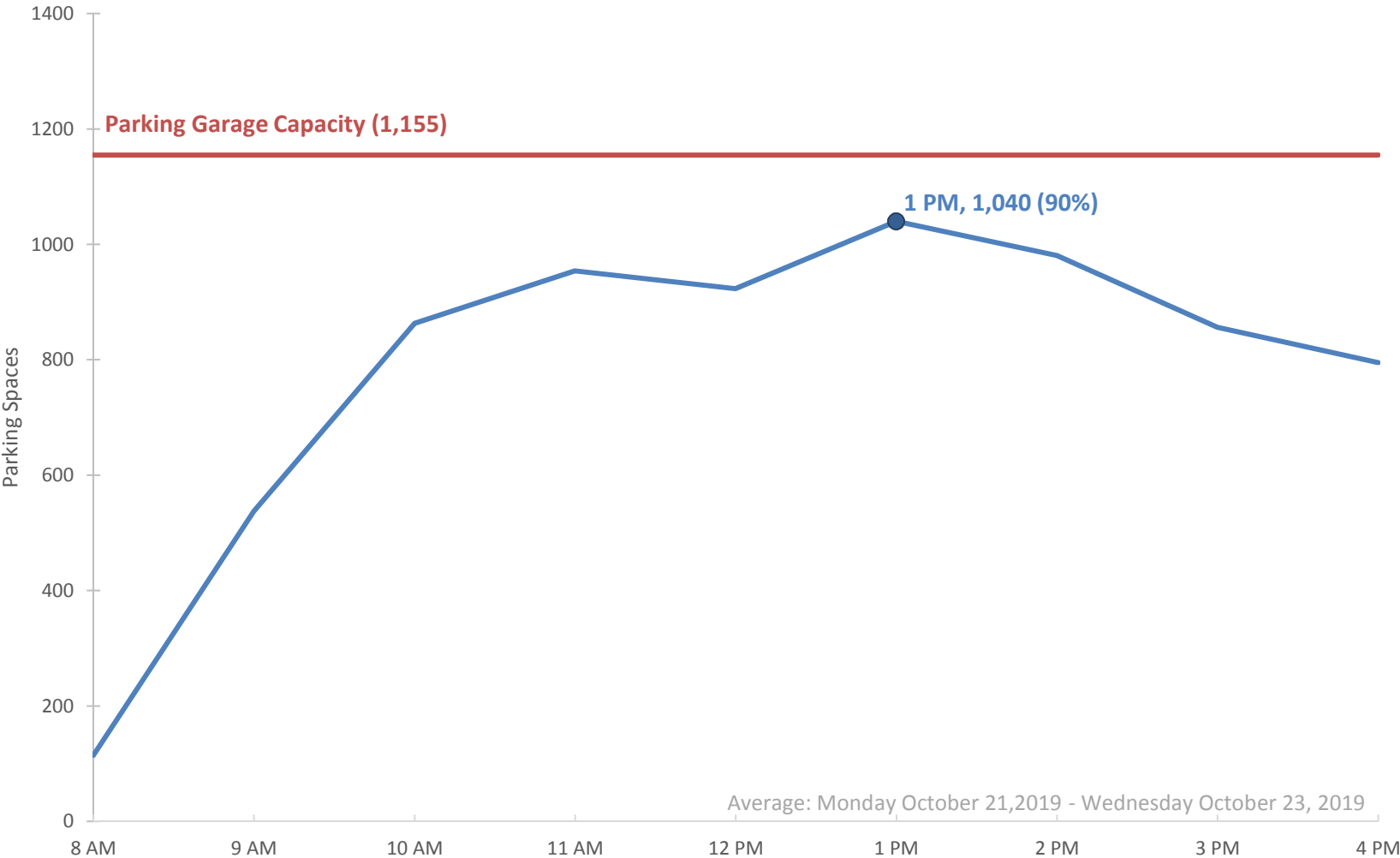
Takeaways

- With construction of a new residence hall and student center, new parking capacity is needed and/or parking demand needs to decrease
 - A moderately aggressive TDM program of strategies, including parking pricing and policy changes, could result in demand reductions of up to about 12 percent for USM
- Depending on enrollment projections, parking supply may not be adequate. USM would have to consider building more parking supply or further reducing parking demand
 - Not anticipated to be an issue until at least 2026 (under a modest 1 percent annual growth in student enrollment and without TDM implementation)
- Enrollment growth may not always directly contribute to growth during the peak demand hour:
 - E.g. Evening classes, distribution of classes among campuses, use of campus for conferences and at-large community events

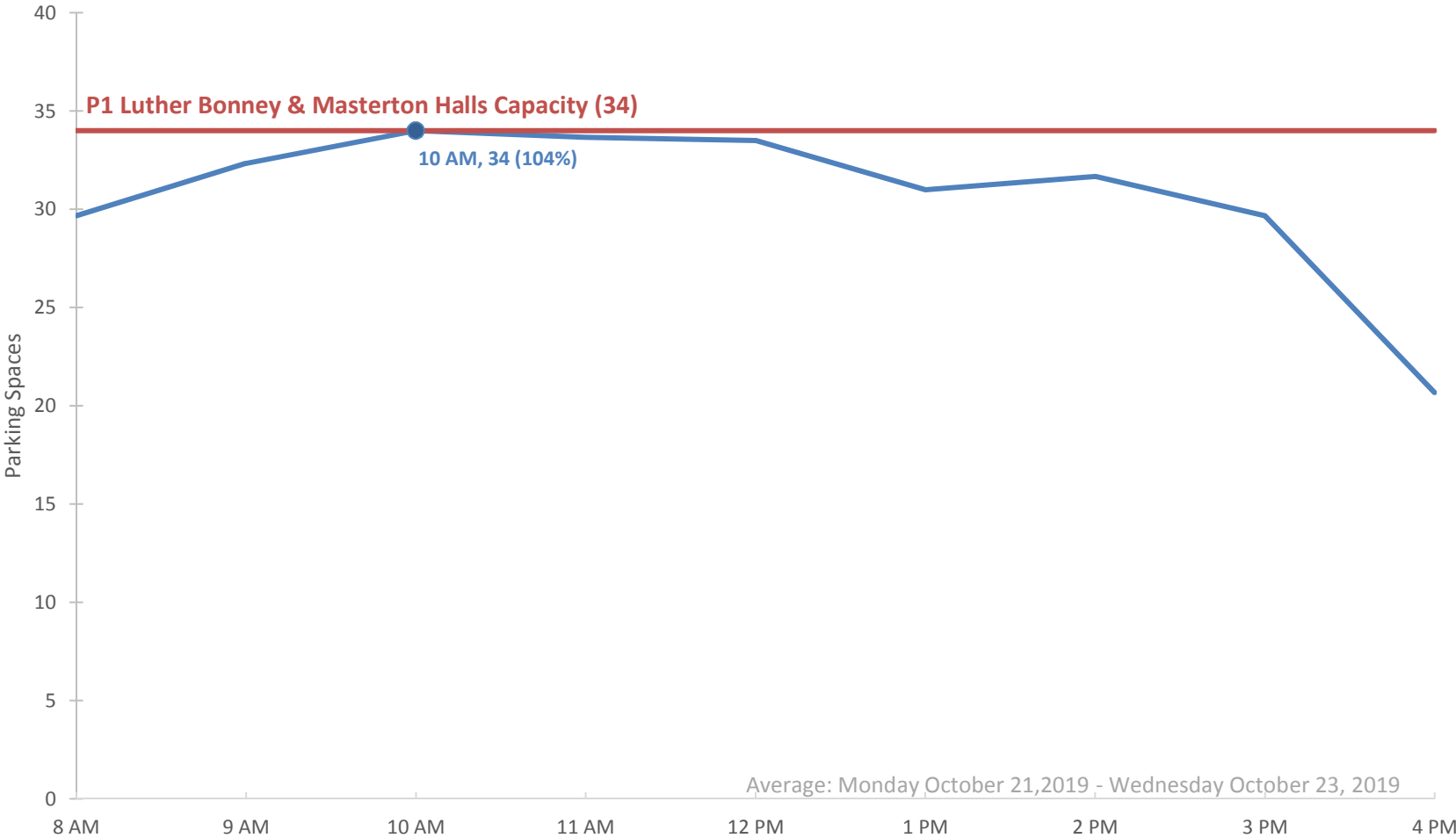
Appendix: Hourly Demand Charts by Parking Facility



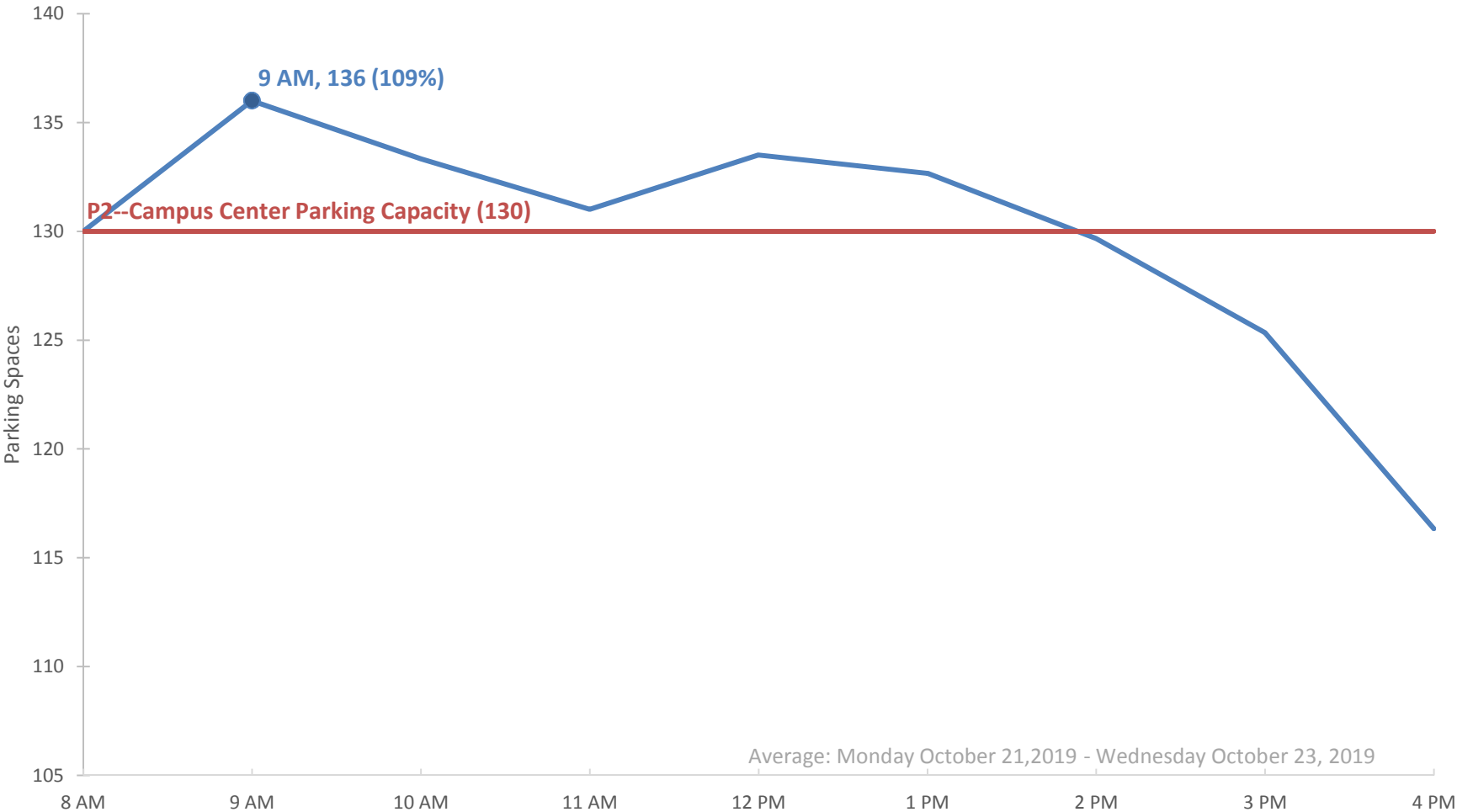
Parking Garage Demand



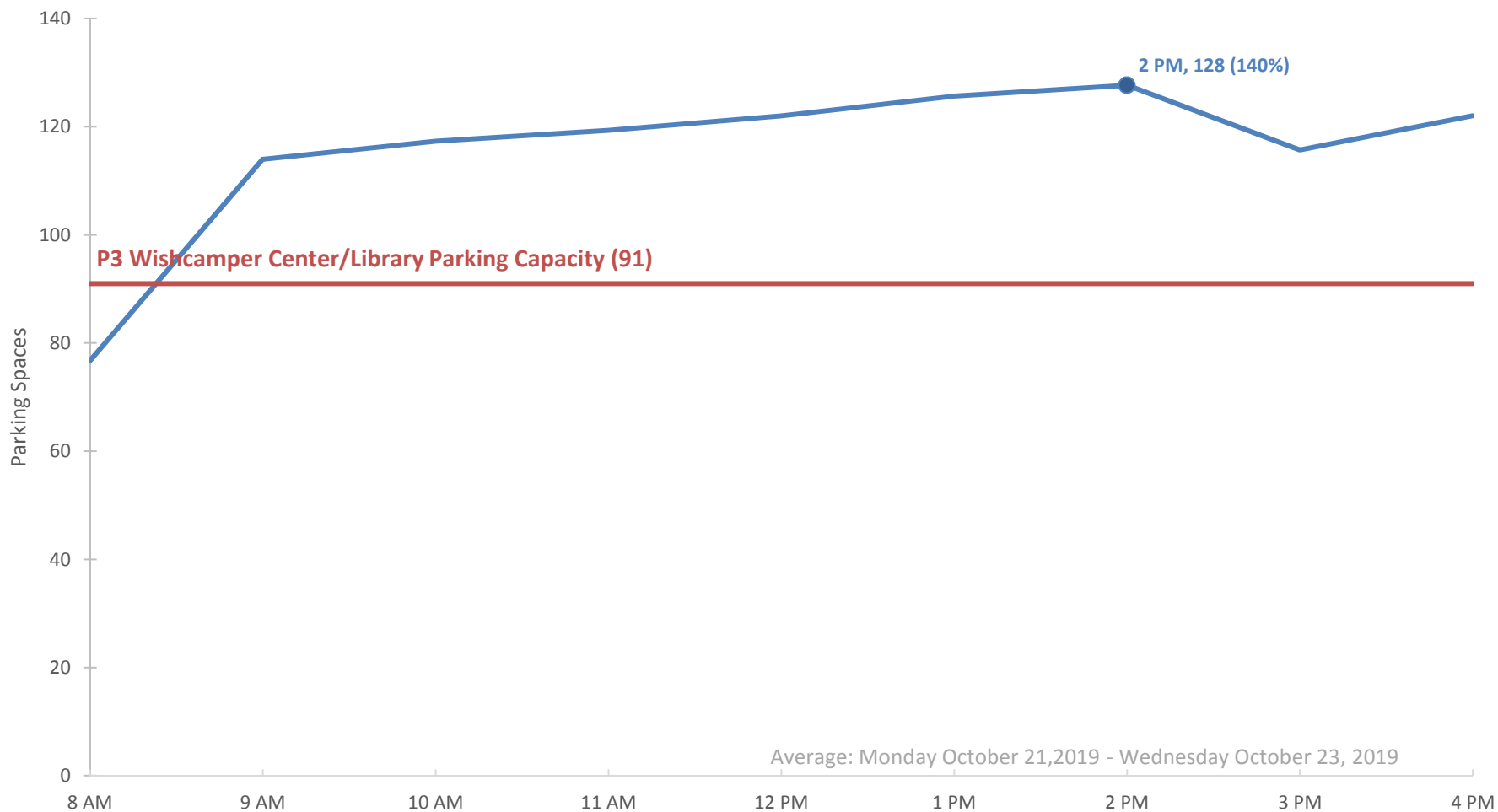
P1 Luther Bonney & Masterton Halls Parking Demand



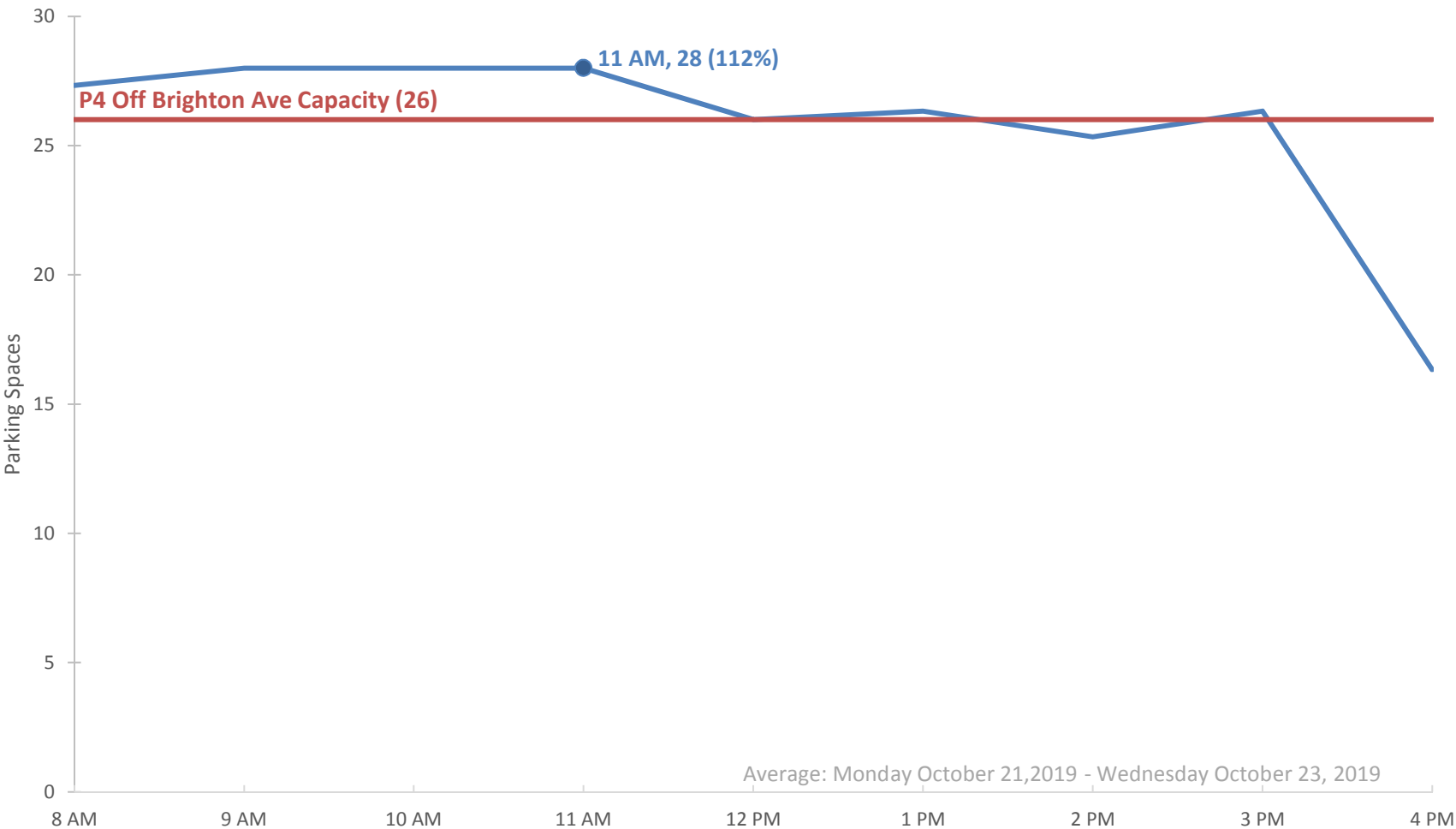
P2 Campus Center (Woodbury Parking Lot)



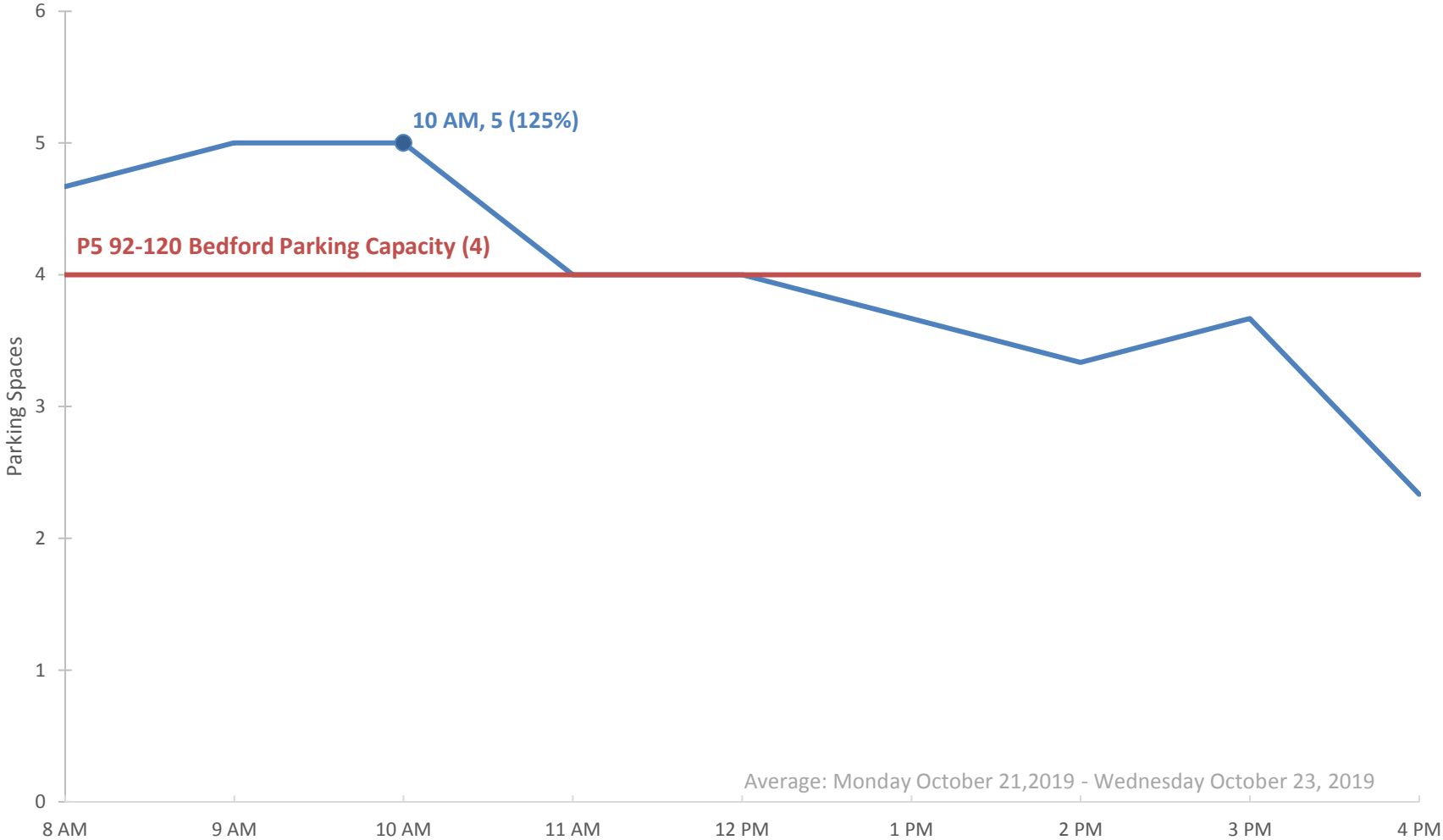
P3 Wishcamper Center/Library Parking Demand



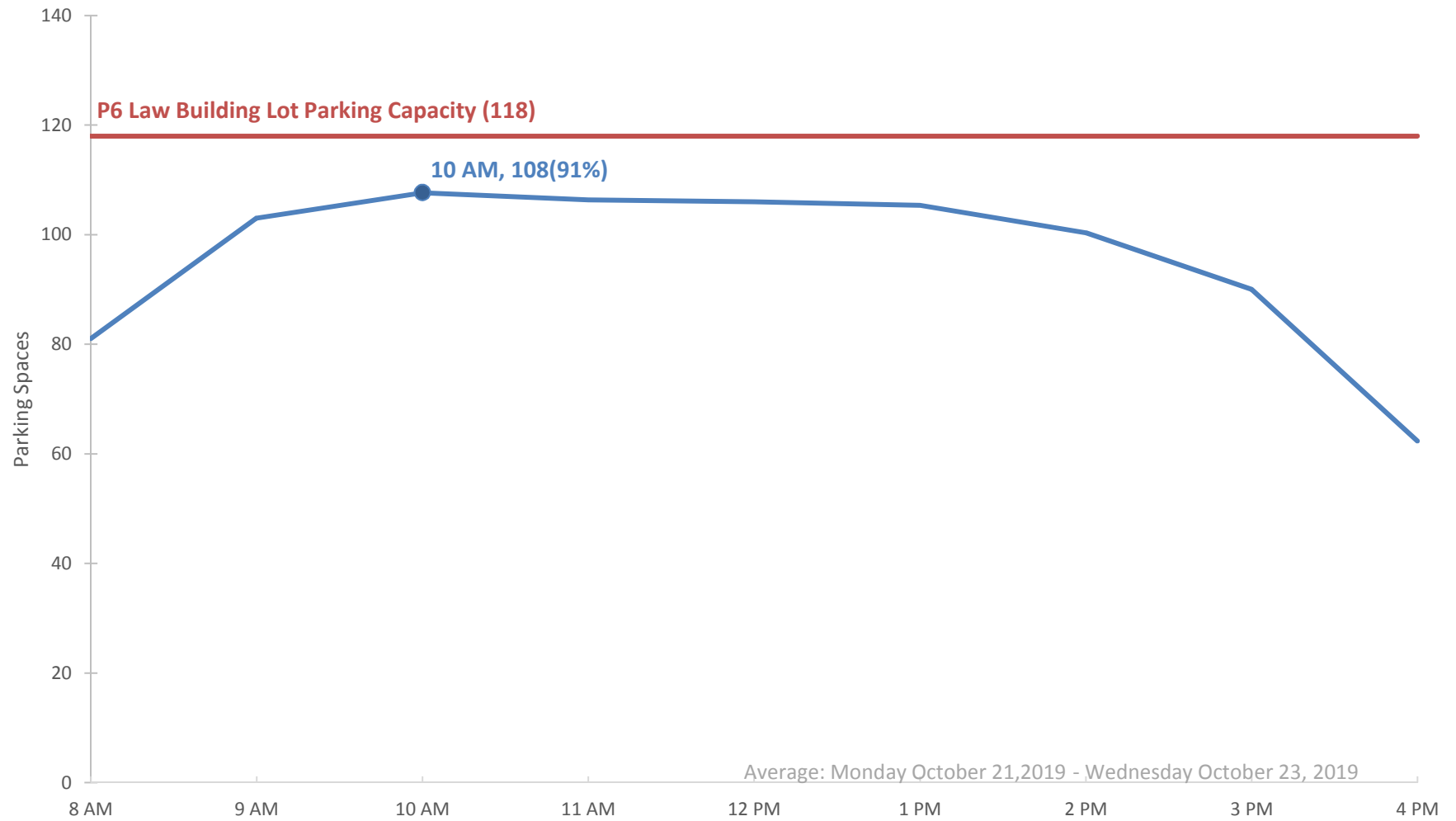
P4 Off Brighton Ave Parking Demand



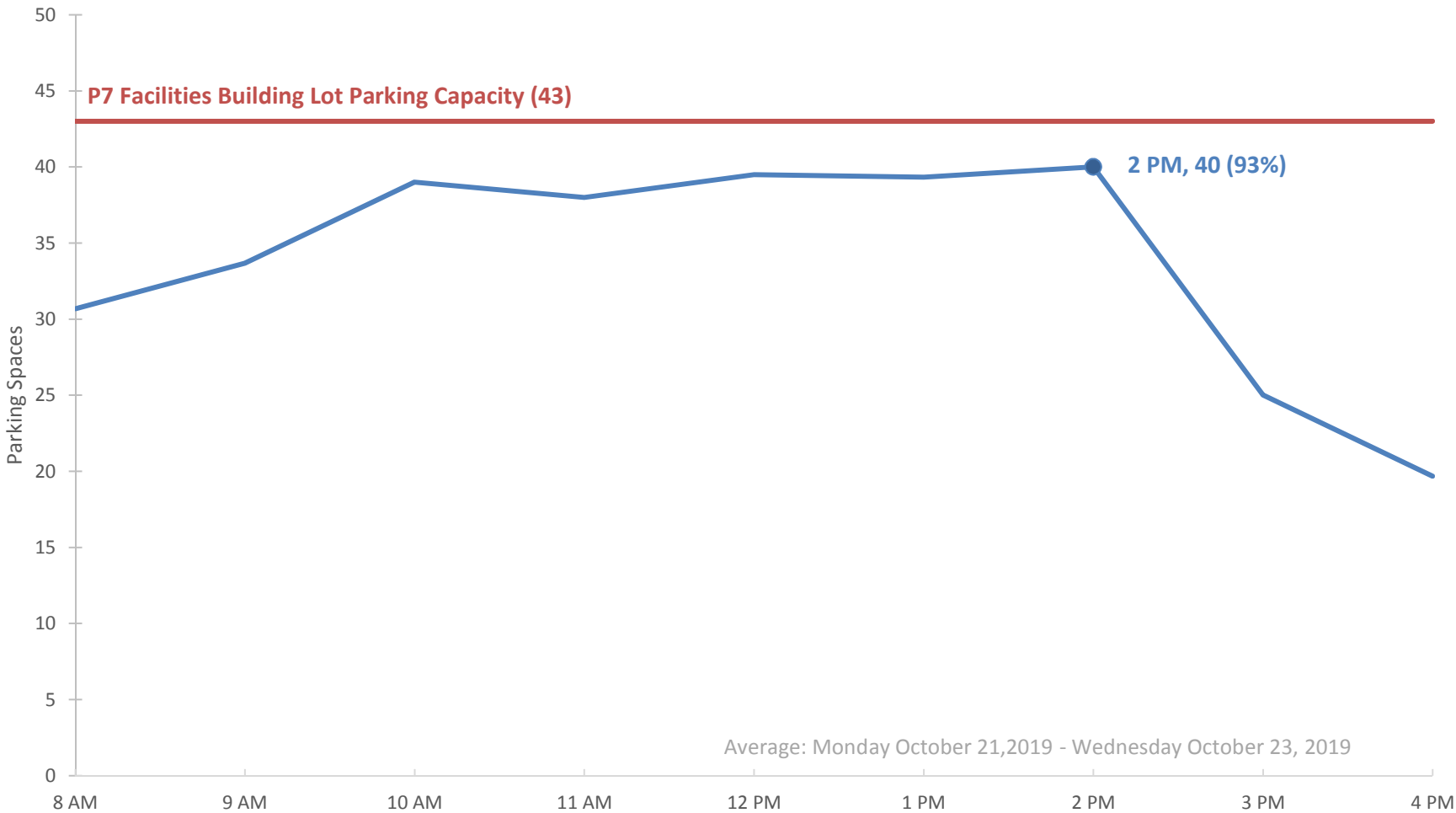
P5 92-120 Bedford Parking Demand



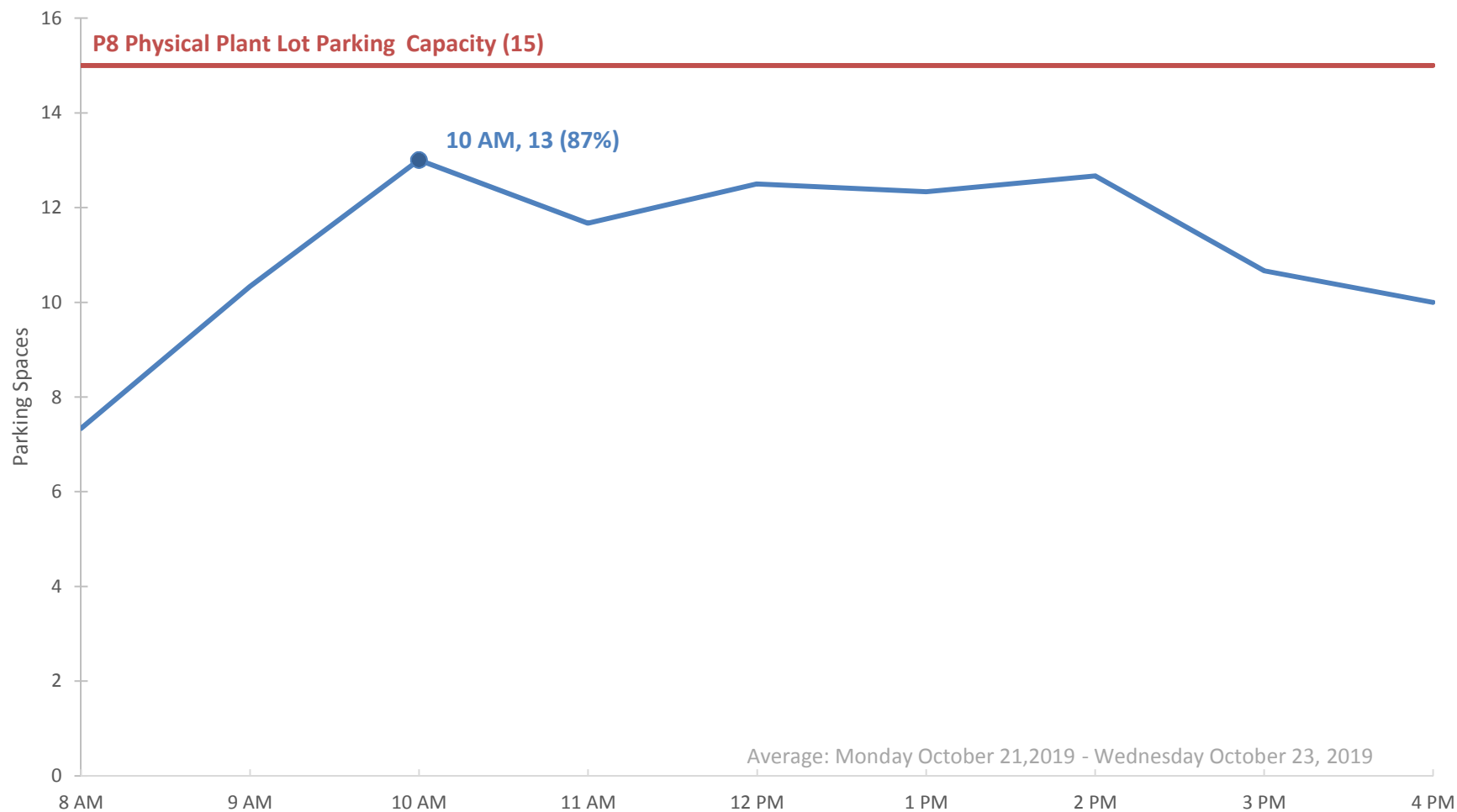
P6 Law Building Lot Parking Demand



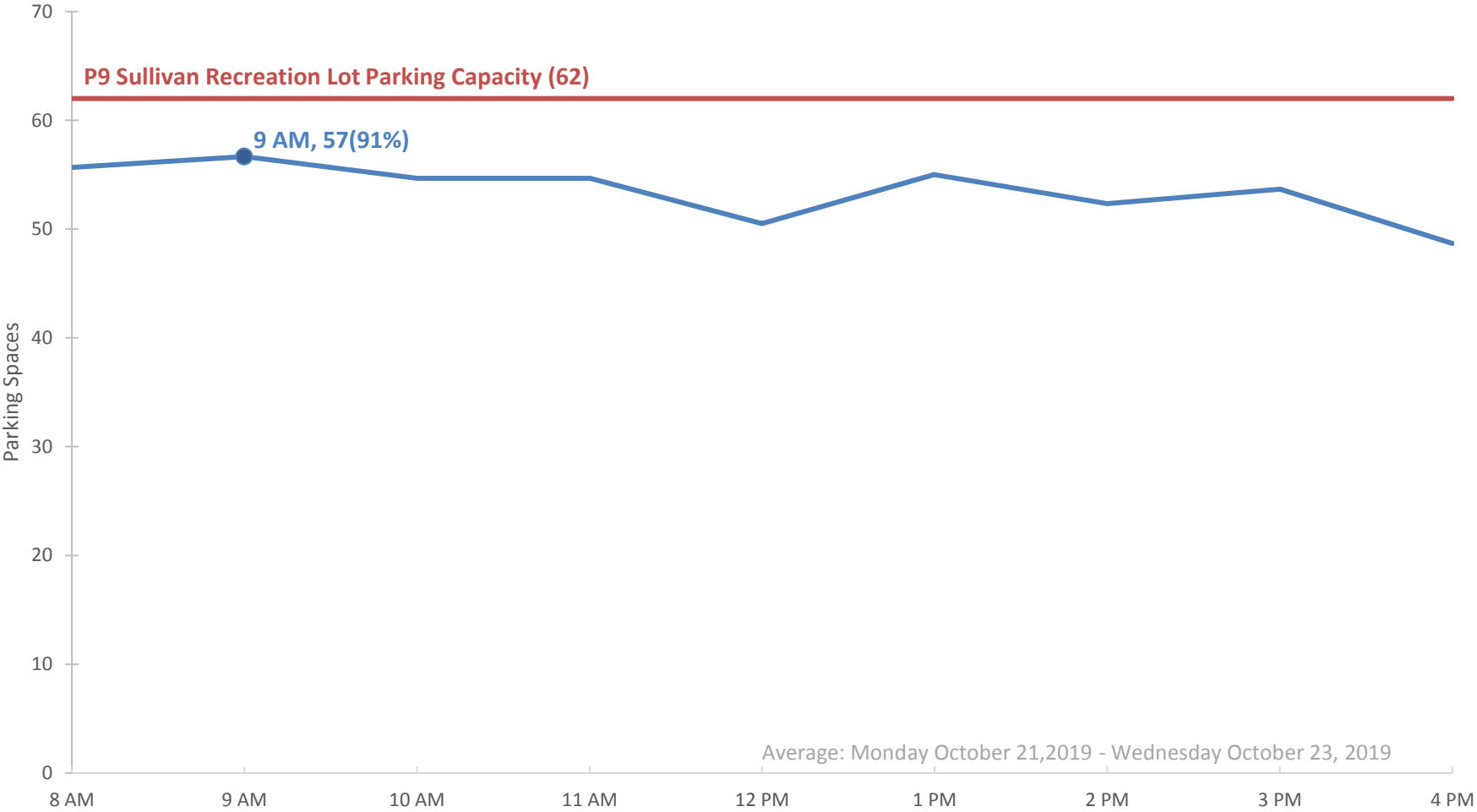
P7 Facilities Building Lot Parking Demand



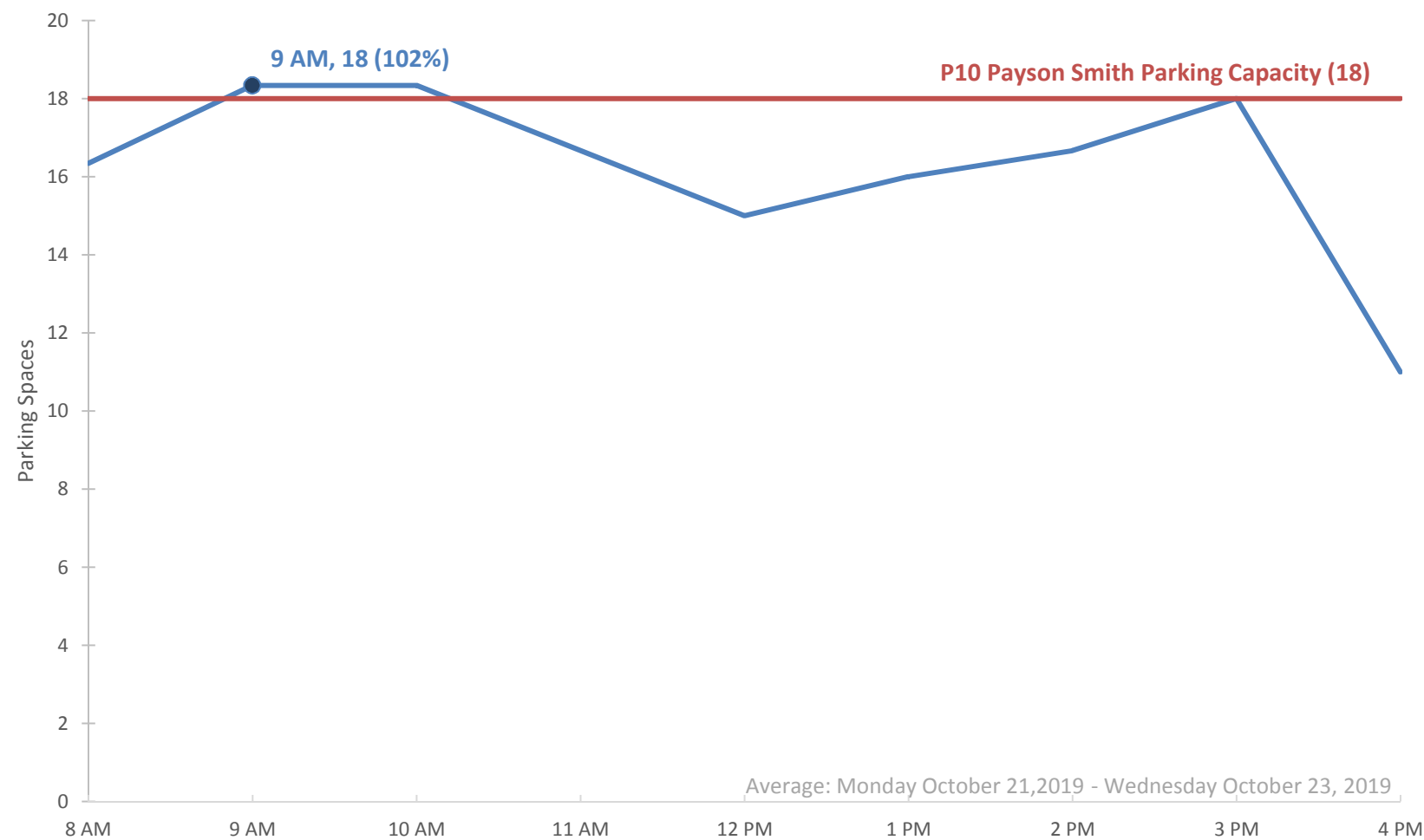
P8 Physical Plant Lot Parking Demand



P9 Sullivan Recreation Lot Parking Demand



P10 Payson Smith Parking Demand



Appendix: USM TDM Strategies



USM TDM Strategy – Walking/Biking

Strategy	Description	Infrastru cture	Incentives	Educati on	Timeline Years	
					Short- Term (0–2 Years)	Long- Term (2–5 Years)
Walk/Bike	City Bikeshare	USM will advocate and encourage the development of a citywide Bikeshare system	X			
	Bicycle Repair Station	USM will install a new bike repair station (or shop) in a central part of their campus	X			
	Promote Local Bicycling Activities	Promote the participation in (and facilitation of) local bike activities such as the Portland Slow Ride, Smart Cycling Traffic Skills 101, and Cycling Savvy Events		X		
	Discounted Bicycle Supplies	Provide discount sales for bike supplies through the Bicycle Coalition of Maine		X		
	Improve Bicycling Infrastructure w/ City of Portland	Collaborate with the City of Portland on identifying improvements to bicycling infrastructure along corridors traveled by USM commuters	X			
					Full Launch	Monitor + Adjust
					Full Launch	Monitor + Adjust
					Full Launch	Monitor + Adjust
					Full Launch	Monitor + Adjust
					Full Launch	Monitor + Adjust

USM TDM Strategy - Transit

Strategy	Description	Infrastructure	Incentives	Education	Timeline Years	
					Short-Term (0–2 Years)	Long-Term (2–5 Years)
Transit	Husky Line Bus Service Improvements	Research the possibility of increasing the frequency of the Husky Line to 15 minutes	X		Planning + Testing	Soft Launch
	Transit Screen Installation	Install real-time transit screens at high profile locations on campus as part of the new campus student center	X		Planning + Testing	Full Launch
	Additional Services: On-Demand Route and/or Increasing METRO Bus Frequencies	Research the possibility of launching a local on-demand bus shuttle connecting downtown Portland to USM and/or increasing service frequency on METRO routes that connect downtown Portland to USM	X		Planning + Testing	Full Launch

USM TDM Strategy - Carpool

Strategy	Description	Infrastructure	Incentives	Education	Timeline Years	
					Short-Term (0–2 Years)	Long-Term (2–5 Years)
Carpool	Vanpool Vehicles	Pilot a program to lease vanpool vehicles and initiate vanpools in high commuter corridors	X		Soft Launch	Monitor + Adjust
	Reserved Carpool/ Vanpool Spaces	Designate reserved parking spaces for carpools and vanpools in prime parking locations	X		Full Launch	Monitor + Adjust
	Develop rideshare matching platform	Develop rideshare matching platform or meet & greet series to pair potential carpool participants			Soft Launch	Full Launch

USM TDM Strategy – Parking Strategies and Time of Day Demand Shifts

	Strategy	Description	Infrastructure	Incentives	Education	Timeline Years	
						Short-Term (0–2 Years)	Long-Term (2–5 Years)
Parking	Parking Buyout Program	Launch a parking buyout program to incentivize employees to forgo the purchase of a parking permit		X		Planning + Testing	Soft Launch
	Student Permit Unbundling	Unbundle parking permit fee from the registration fee and require a separate action for registering for parking permit	X			Full Launch	Monitor + Adjust
	EV Charging Stations	Install additional EV charging stations at select parking locations	X			Planning + Testing	Full Launch
	Parking Pricing Increase	Increase parking pricing for faculty/staff for greater parity (compared to student rates)		X		Soft Launch	Monitor + Adjust
Time of Day Demand	Class Schedule Review	Conduct course catalog review to spread out courses (by time & location)	X			Full Launch	Monitor + Adjust
	Promote Telework and Flexwork	Promote and encourage use of telework & flexwork policies for employees			X	Full Launch	Monitor + Adjust

USM TDM Strategy – Communications and Marketing

Strategy	Description	Infrastru cture	Incentiv es	Educati on	Timeline Years	
					Short- Term (0–2 Years)	Long- Term (2–5 Years)
Communications and Marketing	New Student and New Employee Orientation			X	Full Launch	Monitor + Adjust
	Transportation Website			X	Full Launch	Monitor + Adjust
	Access Guide			X	Full Launch	Monitor + Adjust
	Guaranteed Ride Home			X	Full Launch	Monitor + Adjust

Parking Feasibility Study

University of Southern Maine

68 Falmouth Street & 88 Bedford/Surrenden Streets

Portland, ME



PLATZ ASSOCIATES
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Construction Managers*

Parking Feasibility Study
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68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



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Parking Feasibility Study
University of Southern Maine
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Parking Feasibility Study
University of Southern Maine
68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



Executive Summary

Introduction

Platz Associates was contracted by the University of Southern Maine to conduct a site evaluation and Parking Feasibility Study in support of the growing parking demands at the Portland campus. The scope of this feasibility study is to understand the impact and cost implications for constructing a single or multi-level parking structure with possible vertical and/or lateral expansions at the selected sites located at 68 Falmouth Street and 88 Bedford / Surrenden Streets, Portland, Maine.

The following items are included in the study:

1. Review of the Owner's Development Objectives (communicated via 2019 USM Master Plan).
2. Identify constraints and opportunities for the selected site(s) and adjacent parcels.
3. Site evaluation, including but not limited to: onsite observations, assessing physical characteristics of the site(s), assessing codes, ordinances, and regulations, assessing available utilities, assessing access, circulation, and parking potential.
4. Identify environmental impact requirements/opportunities for site(s).
5. Conceptual Designs for level-deck and ramped multi-deck parking structures, including expansion schemes.
6. Estimate of Project Timeline and Cost of Work for each site.

Background

The site at 68 Falmouth Street is 2 acres +/- and was identified as a future development site per the 2019 USM Facilities Master Plan (see attached Exhibit A). The site at 88 Bedford/ Surrenden Streets is approximately 1.5 acres +/- and was identified as a future parking structure expansion site due to the adjacency to the existing parking garage. Both sites currently function as surface parking lots with fairly level topography across the site(s) and existing stormwater drainage and site lighting utilities. The Facilities Master Plan involves the infill development of surface parking and open spaces, affecting parking by both the displacement of current parking and by creating additional parking demand with new buildings and increased population. The Facilities Master Plan accounts for 1,000 parking spaces, 400 displaced and 600 new spaces. In 2017 the USM Portland campus had a headcount of 5,277 students, most all of whom are commuters.

Development Objectives

The most important considerations of the project are to adhere to the President's Goals and the CMPSC Guiding Principles set forth in the USM Facilities Master Plan and the consideration of the upcoming facilities being considered by the University for the adjacent parcels. While fluid in nature, this forecasting of future construction sequencing could provide for opportunities in efficiency and increase the quality of design while lowering the financial investment or impacts to construction schedules.

Parking Feasibility Study
University of Southern Maine
68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



CMPSC Guiding Principles (via 2019 USM Facilities Master Plan):

- *Student Experience*- improving the student's academic, co-curricular and living experience.
- *Inclusiveness*- fostering the ability for all to feel safe and participating members of the USM community.
- *Net-Zero Building Policy*- prioritizes capital renewal of existing facilities.
- *Public Safety*- provide the safest campus environment.
- *Mobility*- supporting robust pedestrian, bicycle, shuttle bus, ride share and metro regional public transit systems.
- *Sustainability*- supporting sustainability policies of the University.
- *Neighbors*- establish campus community that are positive members of the neighborhood.
- *Aesthetics*- create an environment that meets the visual quality that meets the mission and goals of the University.

The Portland Plan of the 2019 Facilities Master Plan envisions a transformational future for the campus, with a flexible and dynamic framework. A new campus heart lined by buildings and including significant landscape improvements would seek to capitalize on long views and gateway entry locations.

Process Methodology

First, an understanding of the project goals was established with an initial project kick-off meeting that included designated members from USM. With this consideration of the goals and vision for the project, our design team then visited the selected site(s) and performed a thorough existing conditions review of the available historic data maps, City archive information, available surveys, and visual observations.

For this feasibility study, our first task was to provide a preliminary assessment of the Owner's Development Objectives and identify constraints and opportunities for each site that will impact them. Next, we conducted site evaluations for the parcels that included: (1) on-site observations; (2) assessing the physical characteristics of the site; (3) assessing codes, ordinances and regulations that impact the Owner's Development Objectives; (4) assessing utilities available to the site; and (5) assessing the access, circulation, and parking potentials. Task 3 was identifying the environmental requirements that may apply to the Owner's Development Objectives for the site, such as the need for environmental impact statements, assessments, documentation, testing, or monitoring. A site context description provided for each location that identifies the physical characteristics of the areas immediately surrounding the sites, including land use patterns and potential expansion concepts and assess the impact of the Owner's Development Objectives on the surrounding sites and community. Our analysis also includes concept designs for each parking feasibility study drawn to City of Portland Zoning Code requirements, design budgets, and proposed project timelines for the selected concept designs. After preparing a draft report of the initial findings, meetings were conducted with designated members from USM to review the findings and offer insights and feedback for the preparation of this final report.

Parking Feasibility Study
University of Southern Maine
68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



Relevant Design Considerations: Parking Feasibility Study for 68 Falmouth Street

After evaluating the identified site, the following options were developed for consideration by the University. Option 1 includes surface level parking with a level deck above and no circulation between the two levels. Option 2 includes surface level parking, two intermediate level decks, and a top level deck, with circulation between the levels. Option 3 includes surface level parking with a level deck above, and lateral expansion into the community garden site, with circulation. Option 4 includes surface level parking and vertical expansion with multiple level decks above in a design that is convertible into future classroom or flexible assembly-type galleries or lecture halls situated along Falmouth Street.

All of the proposed options provide highly efficient parking layouts at approximately 300 square feet per space, indicating the dimensional parameters of the proposed site strongly support parking structure development. Additionally, all options offer multiple direct vehicular and pedestrian access points from existing curb cuts and sidewalk systems at all corners of the site, and integrate well with the existing topography which will minimize costs and site disruption. None of the layouts would require any special City of Portland Planning Board relief or zoning variances.

Chief considerations in selecting the preferred option, or sequential combination of options, include; number of parking spaces desired by phase(s), impact to future building development, and parking displacement for future expansion(s). After review with University Staff, Option 4 was selected for additional massing development to test the conversion aesthetics from the perspective of both the residential neighborhood and the classroom spaces in the adjacent Science Building.

The design parameters for Option 4 include:

- *Initial 4-Level parking garage consisting of 80-space ground level with entrances to North and South, two mid-levels of 114 spaces, and a top level of 117 spaces for a total of 425 spaces.*
- *Level-bay construction along Falmouth Street for possible conversion of parking decks into Office/Classroom space, softening the aesthetic offered to the residential neighborhood.*
- *38 parking spaces may be converted to 11,000 sf gross (8,350 sf net) Office/Classroom spaces, which is possible on a per-floor basis.*
- *Vehicular and pedestrian connections are possible in all directions, including the existing sidewalk system and driveways/lots at Falmouth, Bedford, and Durham Streets.*

For the development of the massing and façade studies, three levels of parking was converted resulting in 33,000 sf gross (25,050 sf net) office/classroom space and an adjacent 323 space parking field. This design maximizes the grade-level sidewalk connections and biases the façade development to the pedestrian realm, leaving the top deck of parking to reduce the building's massing along Falmouth Street and the impacts to the views from within the Science Building.

Parking Feasibility Study
University of Southern Maine
68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



Relevant Design Considerations: Parking Feasibility Study for 88 Bedford/ Surrenden Streets

After evaluating the identified site, the following options were developed for consideration by the University. Option 1 includes an arcing garage form that responds to the lot line along I-295 with internal circulation ramp connecting all levels of parking and providing site relief and view corridors towards the proposed future graduate center location adjacent to the Library/Osher Map buildings. Option 2 includes a rectangular multi-level garage with internal circulation ramp connecting all levels of parking and skybridge connection to the existing garage at the second level. Option 3 includes a level-deck expansion scenario to the existing garage with independent access to each level and radial internal circulation ramp providing site relief and view corridors towards the proposed future graduate center location adjacent to the Library/Osher Map buildings.

All of the proposed options provide highly efficient parking layouts at approximately 315 square feet per space, indicating the dimensional parameters of the proposed site strongly support parking structure development. Additionally, all options offer multiple direct vehicular and pedestrian access points from existing curb cuts and sidewalk systems at all corners of the site, and integrate well with the existing topography which will minimize costs and site disruption. None of the layouts would require any special City of Portland Planning Board relief or zoning variances.

Chief considerations in selecting the preferred option, or sequential combination of options, include; number of parking spaces desired, site and viewshed impacts to the future graduate center site, and financial impact(s) from modifying the existing garage structure. After review with University Staff, Option 1 was selected for additional massing development to test the conversion aesthetics from the perspective of both the I-295 highway corridor and the access drive adjacent to the Wishcamper Center.

The design parameters for Option 1 include:

- *5-Level parking garage consisting of 110-space ground level with entrances to North and West, three mid-levels of 161 spaces, and a top level of 173 spaces for a total of 766 spaces.*
- *Sculptural arcing form referencing the I-295 corridor and the adjacent cloverleaf highway on/off ramps provides a large marketing opportunity for integration into the façade elements.*
- Relief provided at the future graduate center building site, allowing for exposure and views between the campus and downtown.
- *Vehicular and pedestrian connections are possible in all directions to the existing sidewalk system and Bedford Street.*

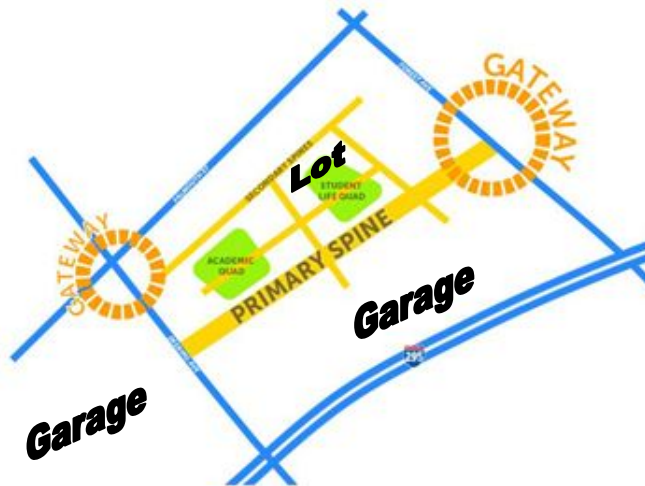
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Part 1 : Parking Feasibility Study of 68 Falmouth Street Lot

Preliminary Assessment of Owner's Development Objectives

The 2019 Facilities Master Plan seeks to establish a new residential quad in place of the existing surface parking lot to connect to and pair with the adjacent academic quad. Liner buildings would reinforce the quad enclosure and the parking structures provided for students, faculty and visitors would be concentrated at the perimeter of the campus.



A concern with this approach is it does not provide a convenient parking adjacency to the buildings being served by the parking fields, the prime factor in the utility of a parking structure. Winter weather and the wide Right-of-way width of the Bedford Street arterial drive serving as the campus gateway combine with a long travel distance as significant barriers to the effective utilization of the existing parking garage.

The Design Team suggests incorporating a flexible, expandable, and interconnected parking armature, located within the campus bounds as defined by the perimeter arterial roadways, establishing a new landscaped residential quad for the campus that preserves open space and long views to Downtown Portland while simultaneously providing a highly effective, safe and available parking solution.

Integration of the parking structures directly with the building(s) they serve could provide opportunities to merge “back-of-house” activities for increased efficiency and utility while preserving development flexibility for the site. The visibility and way-finding provided for the parking structures from the arterial connections should be considered carefully in the campus master planning to ensure the highest levels of convenience and utility.

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Site Evaluation

Utilities

All utilities including but not limited to electric, water, sewer, storm drainage and gas service appear available to the site directly from Falmouth Street, pending confirmation of available capacity by each utility. Of these major utilities serving adjacent buildings/lots, only a storm drainage line and a sewer line appear to cross the site and may need adjustment in coordination with the parking structure development. Additionally, a See Appendix D for additional information.

Topography

The site topography varies throughout the campus, but is generally descending in grade from West to East. The site's existing surface parking lot and related site improvements provide the opportunity to connect at-grade on the East edge and adjacent grades slope up approximately 10 feet to the West edge, an advantage for parking structure development that allows the potential for direct connection to upper levels, reducing the impact of internal and external circulation and "couching" the lower level of parking to reduce visual impact from the campus core. See Appendix E for additional information.

Parking

The site is currently used as a surface parking lot consisting of 62 total parking spaces, 4 of which are dedicated to handicap accessibility. The parking lot is for USM faculty and staff and denoted as Lot P9. The only point of vehicle access is from the North corner of the parking lot from Falmouth Street.

Pedestrian Access

There is a path that borders the South East portion of the parking lot which connects to the Sullivan Recreation and Fitness Complex, the Science Building, and other campus pathways. The pathway is accessible from a set of stairs located in the South corner of the parking lot or the open area located in front of the Sullivan Recreation and Fitness Complex. All parking options provide direct connectivity to the pedestrian circulation system, requiring varied levels of off-site disturbance depending on desired access points. See Appendix B for additional information.

Building Height

The proposed height of the parking structures in all of the options vary, however; each option is below the allowable height of 75' per the zoning ordinance. For the purpose of this feasibility study, the Design Team has developed layouts that are limited in height to 38 feet to correspond with and support the view opportunities from the upper levels of the adjacent Science Building. See Appendix C for additional information.

Building Setbacks

All proposed parking structures are within the setbacks set forth in the zoning ordinance. The only setback that is applicable to this study is the setback along Falmouth Street, which is 20'. See Appendix C for additional information.

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Pedestrian Access

Pedestrian access and connectivity is maintained largely “as-is” in each of the parking options. The nature of efficient parking garage design supports pedestrian circulation nodes at the corners where vehicular parking is unavailable. Each parking option anticipates vertical circulation stair towers at these corners, and aligns these pedestrian elements with the existing sidewalk system and away from vehicular drives to provide a high degree of visibility, comfort, and safety.

Vehicle Access

All parking options would maintain the current access point on Falmouth Street, while some would potentially add access points from the central campus parking lot access drive or from Durham Street through the existing Central Heat Station parking lot. These options may not be favorable for long-term implementation, but may be designed to be convertible into pedestrian-focused elements if alternate vehicular access points are provided in a parking garage expansion.

Delivery/Loading Access

The existing loading dock at the surface lot to the Science Building is to be maintained, and importantly, will be expanded with a dedicated entry to reduce traffic backup conditions and to provide additional capacity for future needs. Additional service vehicle or university maintenance parking could be incorporated within this loading zone.



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Identification of Environmental Requirements

Due to the highly variable disposition of silty and sandy soils across the Back Bay basin generally, and extending specifically to the surrounding sites at the existing parking structure at Surrenden Street, it is recommended that a geotechnical engineer be brought on-board early in the schematic design process to provide soil analysis and identify the soil improvements necessary to support the preliminary foundation design.

Beyond this soils composition assessment, there are no known needs for environmental impact statements, additional environmental assessments, or testing/monitoring with respect to the materials reviewed as part of this parking feasibility investigation.

Generally, the proposed parking options provide close integration with the existing grades and take advantage of adjacent elevations to reduce the impact of sitework and potential exposure to the import/export of soils. Additionally, the lighter weight of a steel garage structure would support the use of either spread footings or geopiers, granting the Design Team flexibility to tailor a structural solution with the lowest level of environmental impact.



Parking Feasibility Study
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Site and Neighborhood Context Description

Campus

The University was founded in 1878 with Corthell Hall being the first university building in Gorham, Maine. The Portland campus is located downtown and bordered by highly trafficked roads including, Interstate Highway 295, Forrest Avenue, Deering Avenue, Falmouth Street, and Bedford Street. The campus buildings are a variety of materials including but not limited to brick, glass curtain wall, panelized systems, and concrete.

Neighborhood

A completely developed urban neighborhood. The adjacent land consists of Interstate Highway 295 on the South, commercial uses on the North and residential uses on the west and south. The largest adjacent land use is the Oakhurst Dairy distribution center between the campus and Forest Ave. The adjacent residential areas provide housing for some of USM's students but are generally a set of very solid and cohesive neighborhoods.

Zoning

The campus is located in Zone R5 in the City of Portland, with an overlay zone type of "USM" for the University of Southern Maine. This zone has a strict set of rules designed to create a quality and cohesive campus environment while integrating with and respecting the residential character of surrounding neighborhoods.

USM Campus Design Principles and Standards (*Adopted May 23, 200*)

STANDARD A-1: Campus Edges Parking lots and structures, blank walls, or backs of buildings shall not be sited in a manner that forms a boundary to neighborhoods and the city.

STANDARD A-5: Views and Landmarks. View corridors and terminations to landmarks such as campus buildings, city buildings, and natural resources, shall be highlighted with design elements such as significant architectural features, quality materials, landscaping, public art or other visual amenities. View corridors and termination points shall include the view up Bedford Street and west across Deering Ave., and other important views as may be identified during campus planning and the City's development review process.

STANDARD B-3: Multi-modality. New development shall relate to a campus circulation system that serves pedestrians/bicyclists, autos, public transportation, service vehicles, and emergency vehicles. New development along transit corridors shall provide convenient and accessible routes from the building to the nearest transit stop.

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STANDARD B-4: Traffic-calming. Circulation improvements internal to the campus shall be designed to create a pedestrian-oriented environment and to discourage speed. Appropriate traffic calming measures may include gateway treatments that signal arrival into the campus environment, corner neck-downs, narrowed travel lanes, roundabouts, speed tables, and other devices. Development along public streets shall be designed with traffic calming measures to the extent allowed by City and State policies and requirements at a minimum.

PRINCIPLE C: Parking, Loading and Service Areas. Parking structures shall be designed and located so as to present an attractive façade to neighboring uses in order to minimize the impact along streets and residential areas. Surface parking lots shall be sited and designed to minimize their visual presence on the campus.

STANDARDS C-1: Structures. Parking structures shall be compatible with adjacent uses and architecture in form, bulk, massing, articulation, and materials. Parking structures shall incorporate architectural design elements in order to achieve visual interest on street frontage facades, and along major pedestrian ways, for the full height of the structure, that serve to enhance the pedestrian experience.

STANDARD C-2: Active Uses: Parking structures shall incorporate liner buildings or enclosed active uses on the first floor along all primary frontages (excluding frontage dedicated to entrances, lobbies, and stair towers). Such space shall be provided with a minimum of 9-foot floor to ceiling clearance height and a 25-foot depth (measured from the exterior building wall). Alternatively, the parking structures may be set back at least 35 feet from the primary street right of way and that space shall not be occupied by surface parking or access lanes and shall be designated for future development. The setback space shall be provided with all stubbed utilities and other provisions needed to accommodate further development.

STANDARD C-3: Decks and Ramps. Parking structures shall have horizontal decks on all levels where the decks are visible from the public rights of way. Ramps and no horizontal parking decks shall be screened from all visible angles and shall not be permitted on facades located along or within 45 feet of a public street (Note: such space would allow for the construction of a liner building and a ten-foot separation).

STANDARD C-4: Surface Lots. Parking lots shall be located behind buildings or to the side of existing or future buildings, but shall not occupy more than 64 feet of public street frontage within 45 feet of the street right of way (to allow for a future building). The areas devoted to surface parking shall be screened from streets, walkways, and significant views through the use of design elements such as plantings, fencing, grade changes, and/or walls.

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Site Implications (from Owner-provided campus utility plans)

Water Items:

- 4" Water pipe adjacent to the Eastern side of the lot – located at the James V. Sullivan Recreation & Fitness Complex
- 6" Water pipe adjacent to the Northern side of the lot – located under Falmouth Street
- Fire Hydrant adjacent to the Northern side of the lot – located on the opposite side of Falmouth Street

Gas Items:

- 2" Gas line adjacent to the Eastern side of the lot – located at the James V. Sullivan Recreation & Fitness Complex
- 6" Gas line adjacent to the Northern side of the site – located under Falmouth Street

Tele/Data Items:

- 2 Conduits located at the Northern part of the lot cross from East to West

Electrical Items:

- Conduit(s) located at the Northern part of the lot cross from East to West

Current Traffic Patterns

Forest Avenue serves as the primary arrival point to the USM Portland campus. The secondary arrival point to the campus is at the intersection of Deering, Brighton, and Falmouth Streets. The third arrival point to the campus is Bedford Street, which bisects the campus providing access to most of the parking supply for the campus.

Future Traffic Pattern Considerations

Closure of the Brighton Avenue Extension and installation of a roundabout at the intersection of Brighton, Deering, and Falmouth streets. After which, the remaining extension of Brighton Avenue will be given to USM by the city of Portland.

Alternate Means of Transportation

As identified in the Facility Master Plan, USM supports robust pedestrian, bicycle, shuttle bus, ride share and metro regional public transit systems that look beyond private vehicular parking to meet the transportation needs of the campus community. This could have a potential impact on the parking requirements for the Portland campus.

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Conceptual Drawings

Design Considerations

The practical parking capacity is an important design consideration due to the fact that no garage can operate at 100% efficiency. The industry accepted efficiency is between 85-95%. This allows for variations in parking activity, loss of parking due to mis-parked vehicles, construction, snow piling, and other unforeseen factors. This efficiency rate also takes into account traffic flow problems related to parkers trying searching for available spaces when the garage is at or near its maximum capacity.

Level of Service

The recommended Level-Of-Service (LOS) for visitor parking is LOS "A" or "B" which provides greater dimensions and ease of use for the parking garage, but for regular monthly parkers an LOS of "C" could be utilized to maximize the number of parking spaces and thereby increasing the efficiency of the design and providing a higher return on investment. LOS "D" is an extremely compact garage design that is mostly reserved for underground parking structures or extremely high-density urban designs.

LOS "B" provides a parking stall that is 8'-9" in width and 17'-9" in length, but this study utilizes a 9'-0" wide and 18'-0" long standard stall, and up to 20% compact spacing per City of Portland Design Standards at 8'-0" wide and 15'-0" long. The drive aisles will be sized at 24' in overall width.

Project Overview

Capacity, expansion, aesthetics and size of the parking structure were taken into consideration for four options developed as part of the programming effort so the design features of each could be evaluated. It is also the understanding that a large structure could have an undesirable impact on the site by restricting view corridors and clashing with the architectural character of the surrounding buildings, with the goal to maintain views from the upper levels of the Science Building towards the city skyline. All of the concept designs therefore top-off at 38'-0" above the existing surface lot to allow for these views from the Science Building.

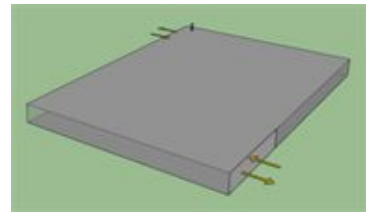
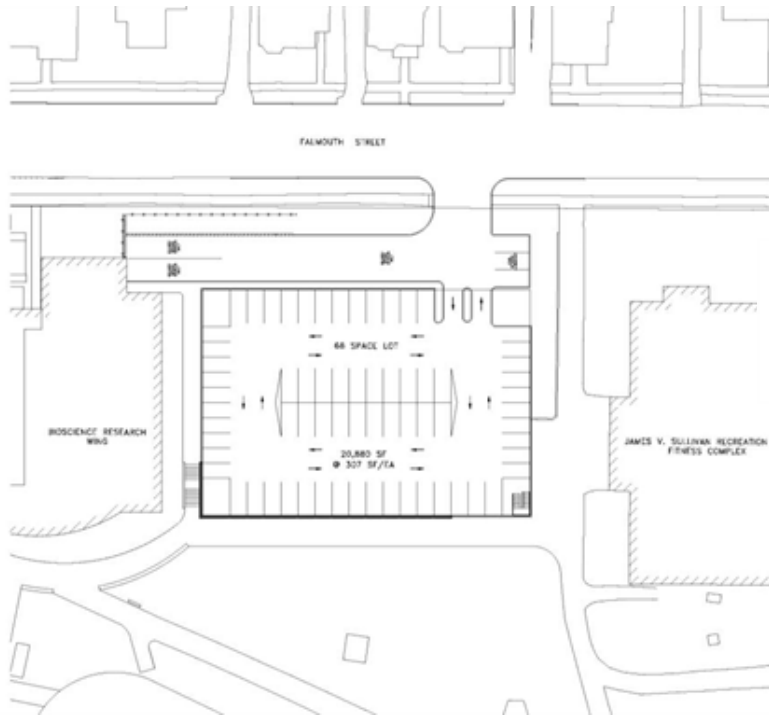
The Parking Options include:

1. Single elevated level-deck parking scenario without internal ramping and providing independent access to two parking levels
2. Ramped multi-level garage with internal circulation ramp connecting all levels of parking.
3. Lateral expansion scenario with independent access to each level (to be combined with Option 2).
4. Level-deck scenario along Falmouth Street convertible to Office/Classroom Space with internal ramped-deck circulation connecting all levels of parking.

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Parking Design Option 1: Single elevated level-deck parking scenario without internal ramping and providing independent access to two parking levels

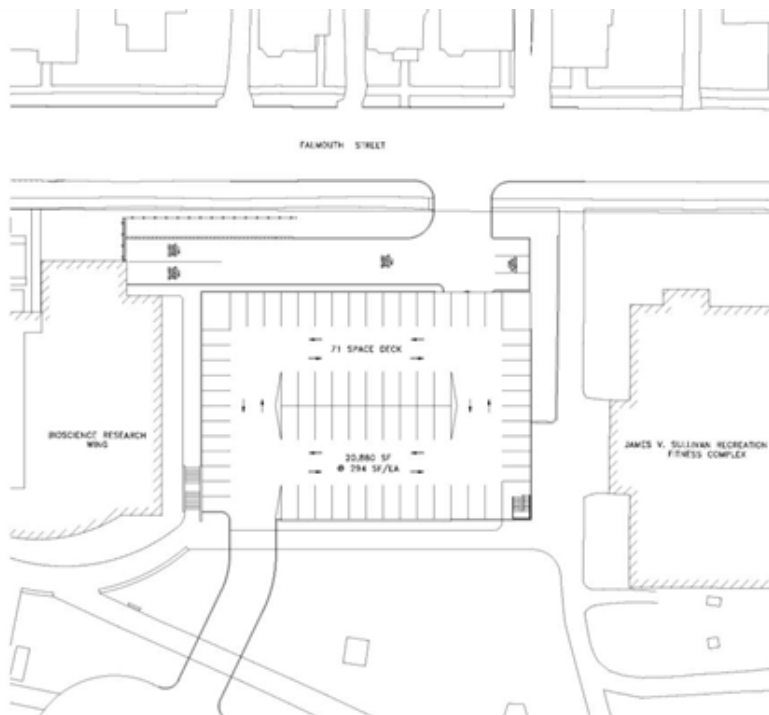


SECOND ~ 20,880 SF @ 294 SF/EA (71 SPACES)

FIRST ~ 20,880 SF @ 307 SF/EA (68 SPACES)

TOTAL ~ 41,760 SF @ 301 SF/EA (139 SPACES)

Level 1

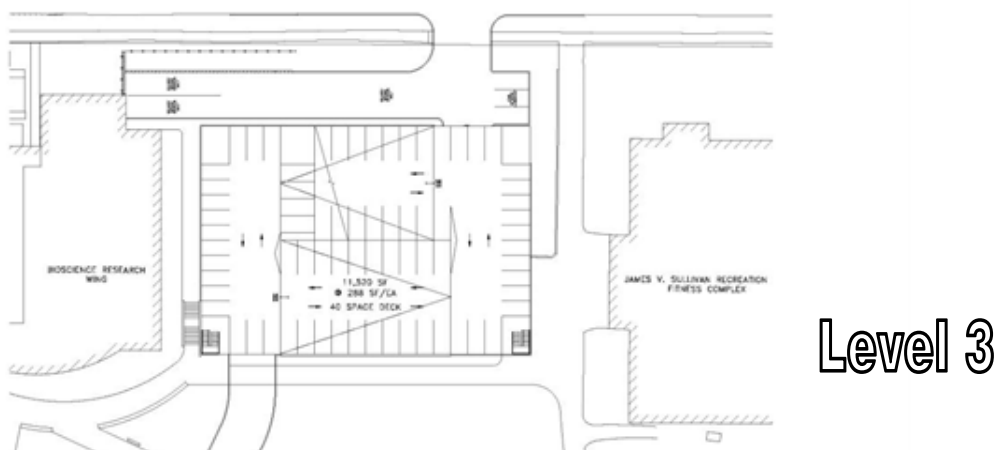
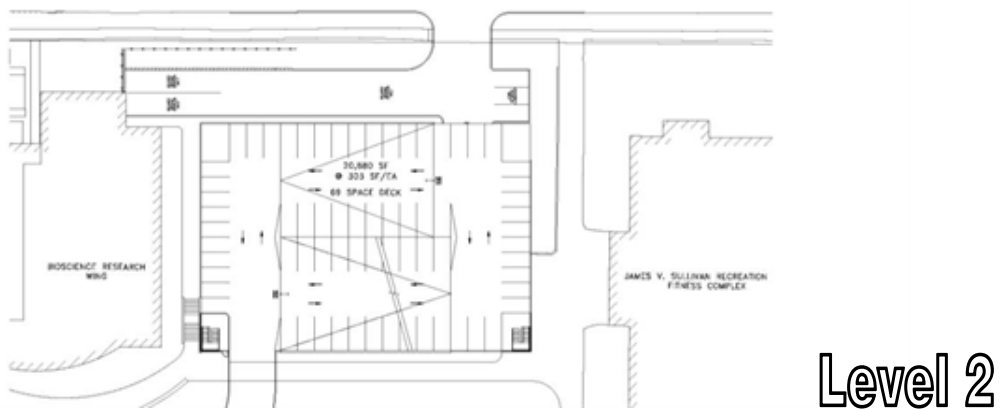
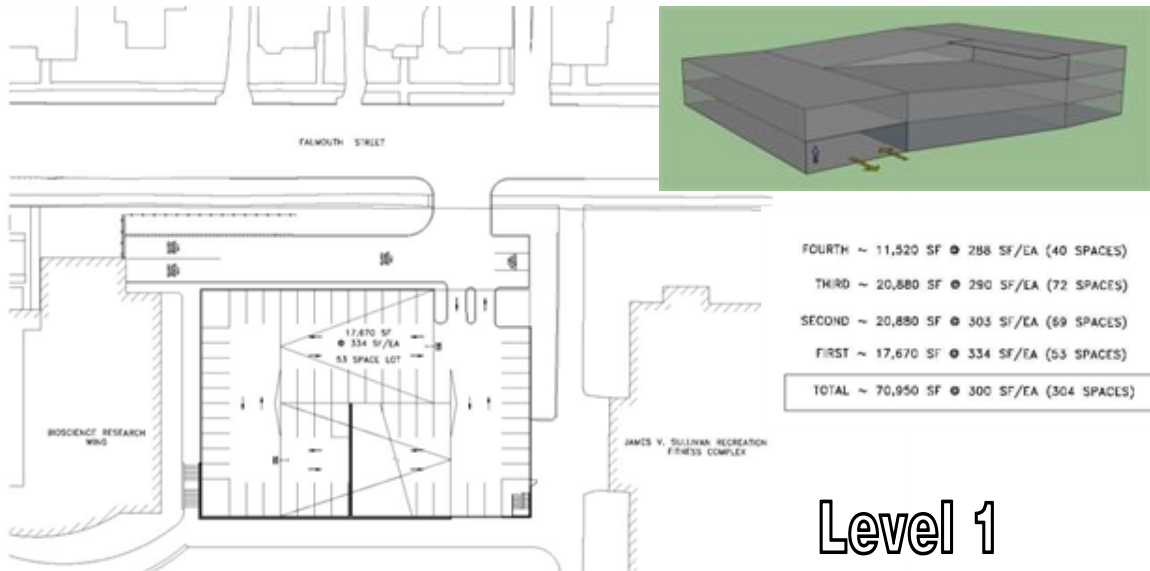


Level 2

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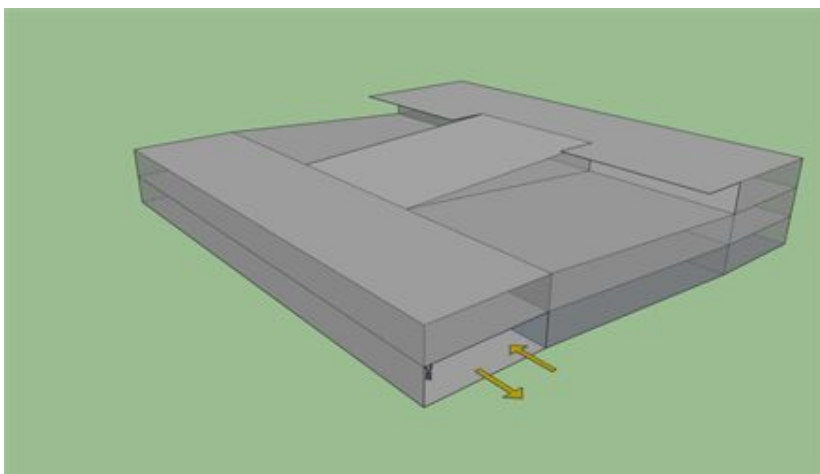
Parking Design Option 2: Ramped multi-level garage with internal circulation ramp connecting all levels of parking



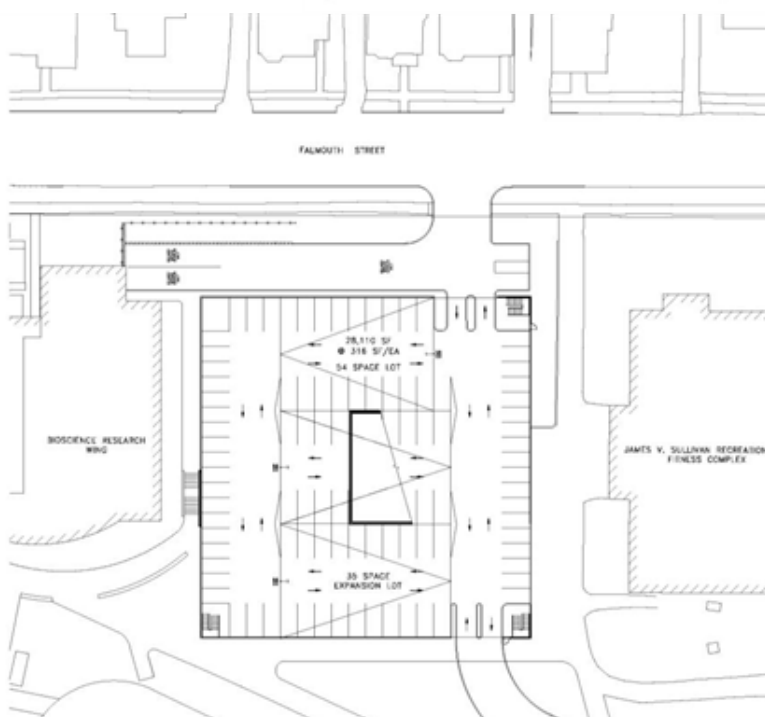
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Parking Design Option 3: Level-deck expansion scenario with independent access to each level (to be combined with Option 2)

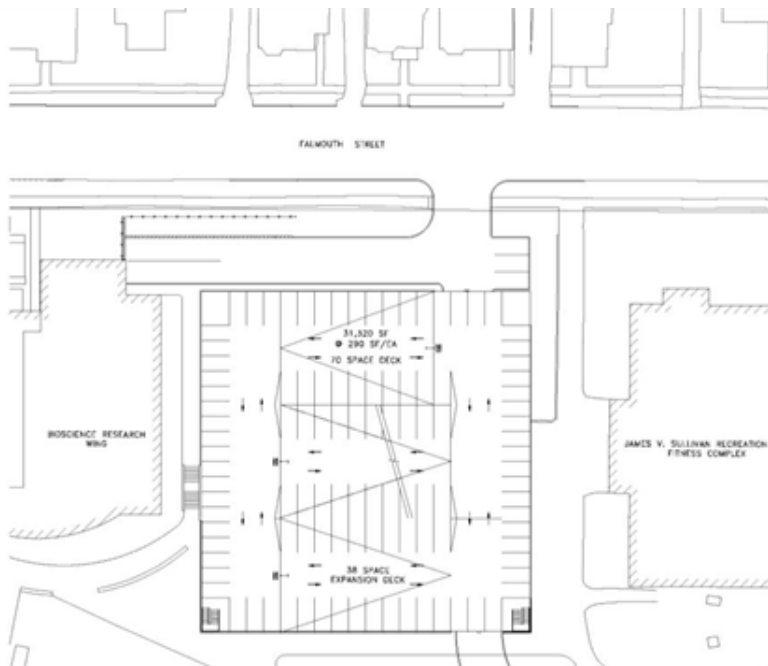


FOURTH ~ 21,960 SF @ 282 SF/EA (78 SPACES)
THIRD ~ 31,320 SF @ 290 SF/EA (108 SPACES)
SECOND ~ 31,320 SF @ 290 SF/EA (108 SPACES)
FIRST ~ 28,110 SF @ 316 SF/EA (89 SPACES)
TOTAL ~ 112,710 SF @ 295 SF/EA (383 SPACES)

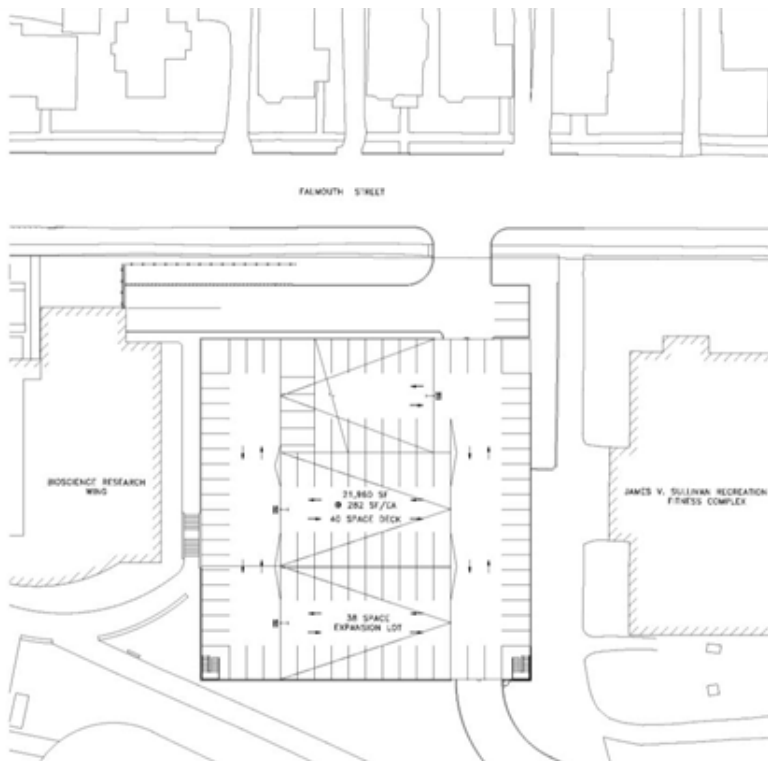


Level 1

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Level 2

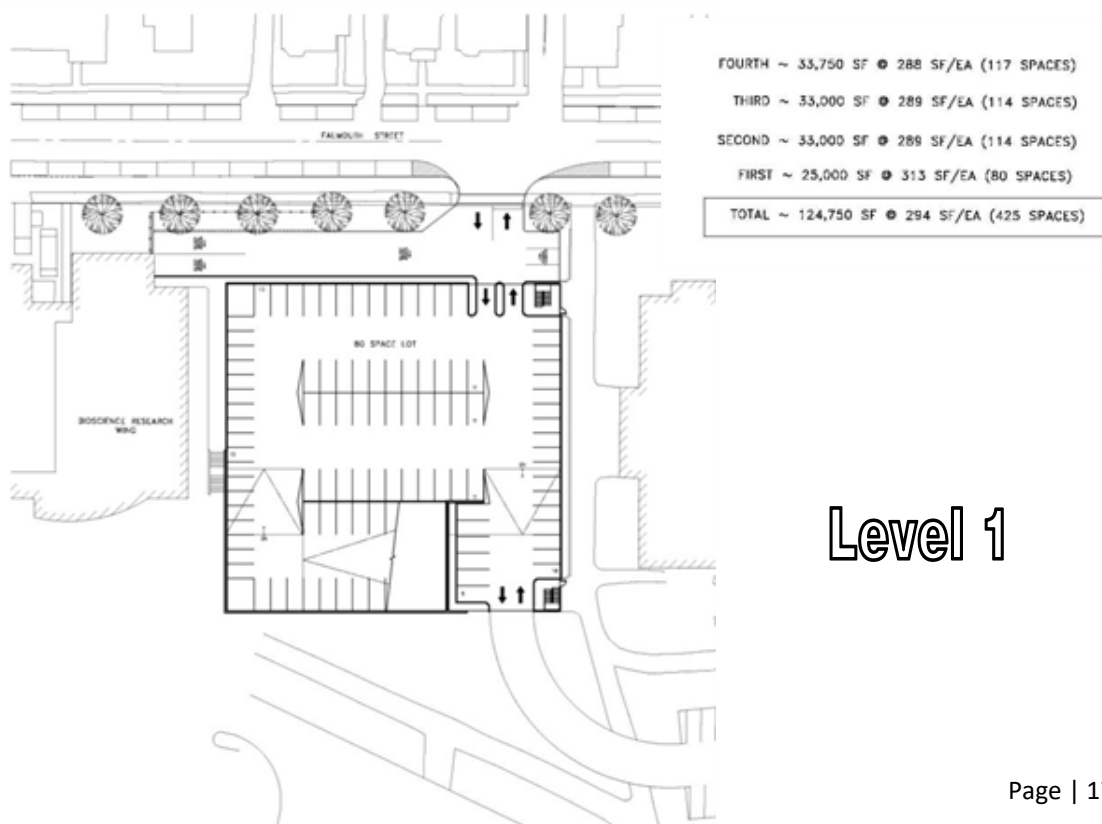


Level 3

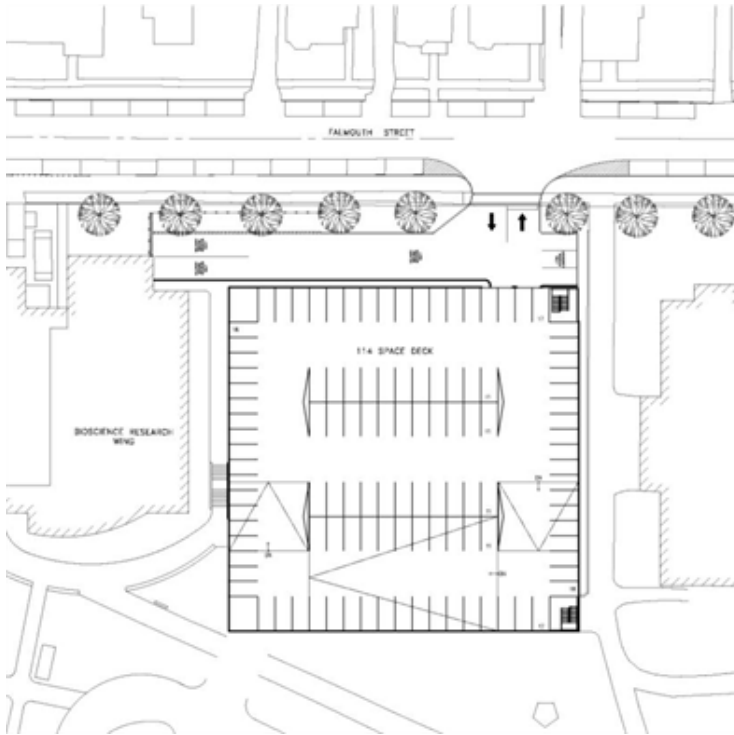
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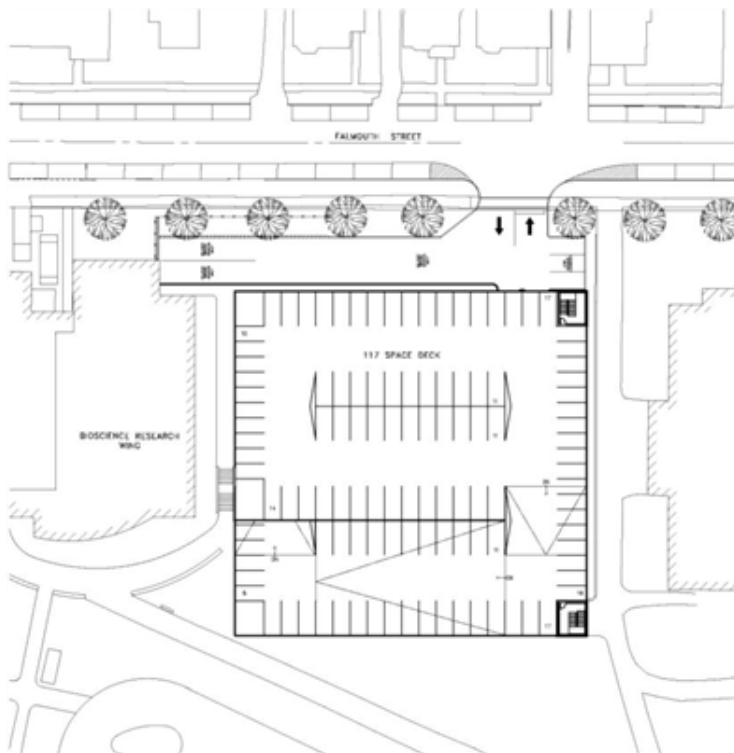
Parking Design Option 4A: Level-deck scenario along Falmouth Street convertible to Office/Classroom Space with internal ramped-deck circulation connecting all levels of parking.



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Level 2 & 3

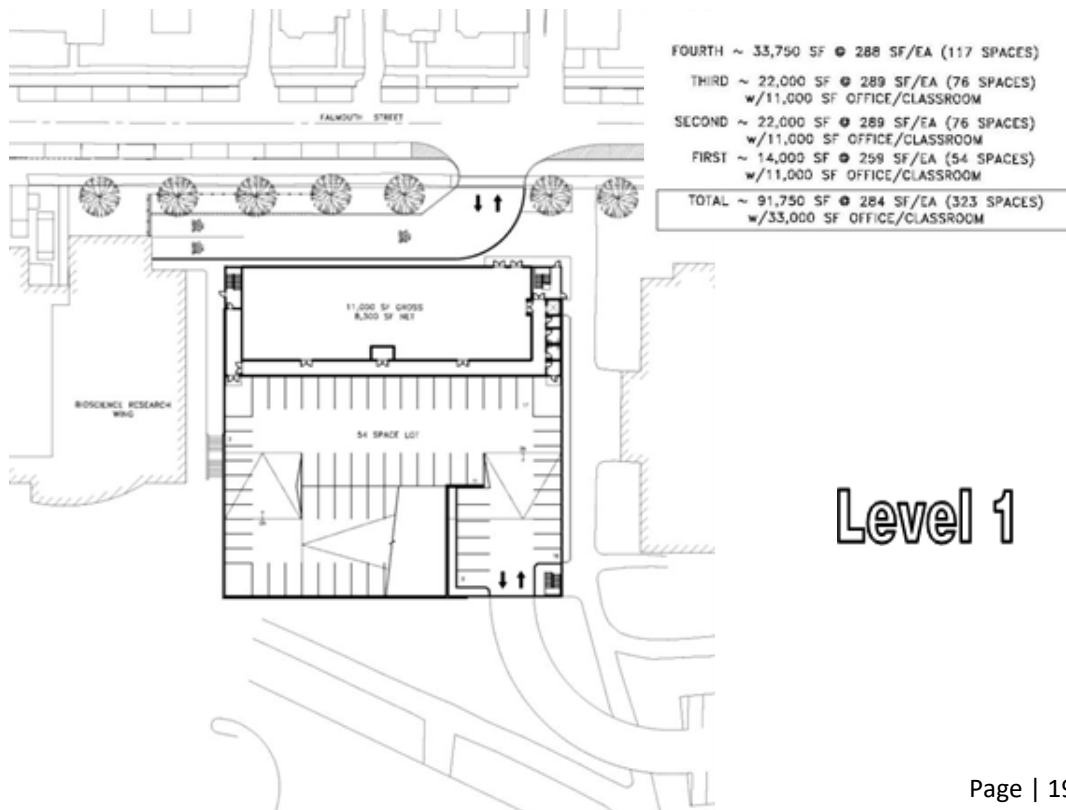


Level 4

Parking Feasibility Study
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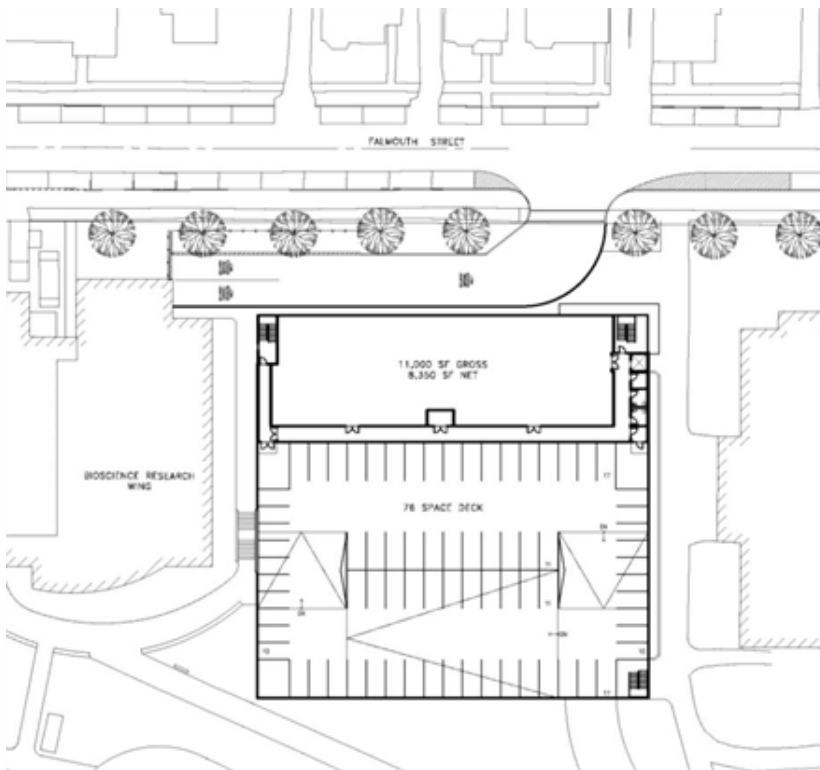


Parking Design Option 4B: Conversion to Office/Classroom Space (33,000 SF gross) with internal ramped-deck circulation connecting all levels of parking behind and above.

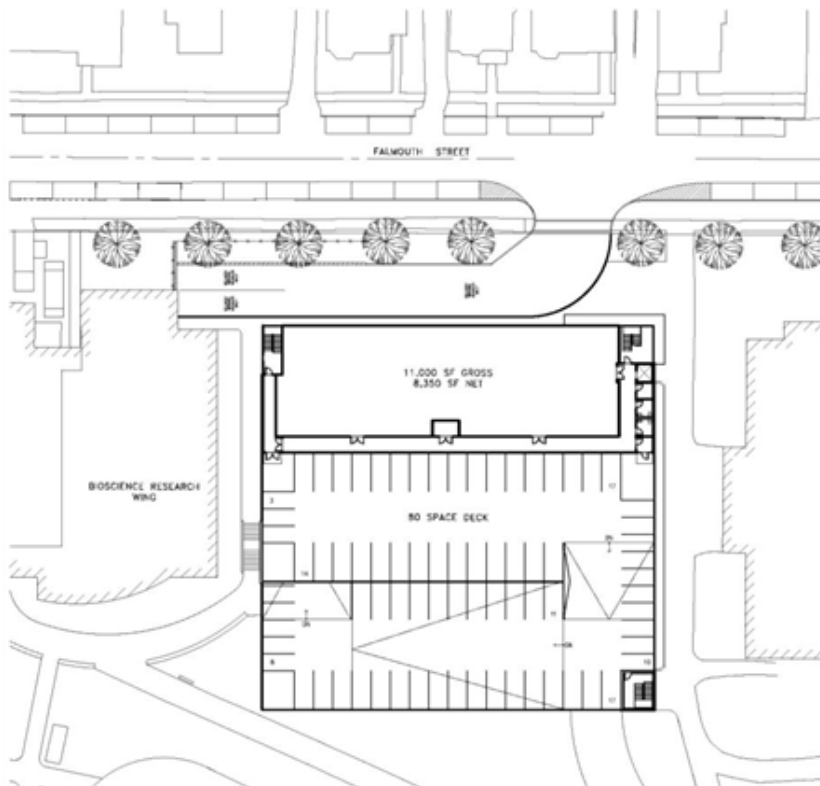


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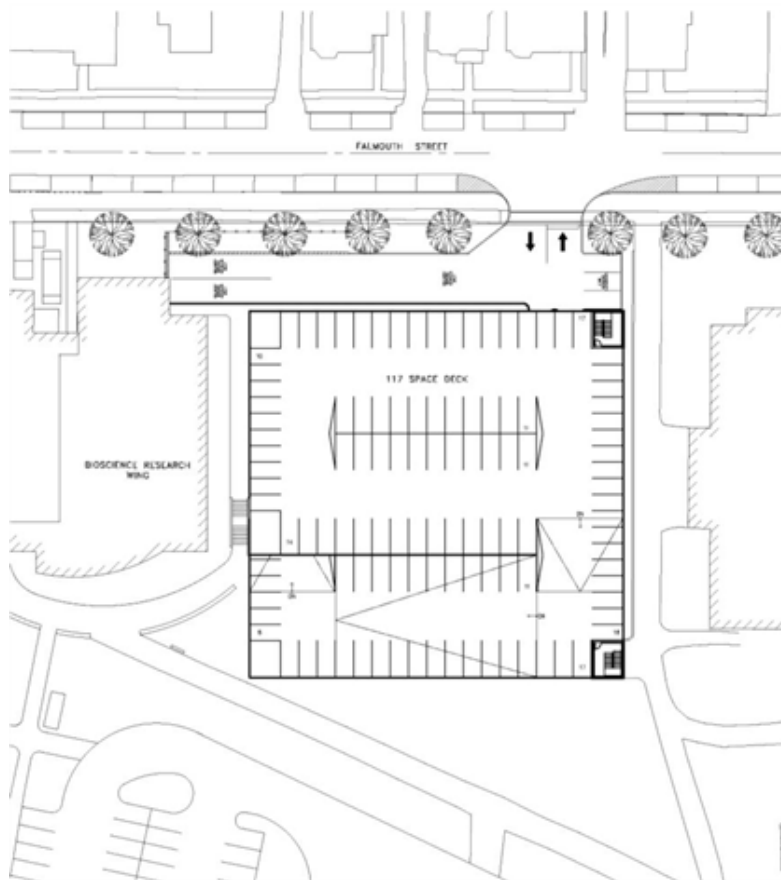
Level 2



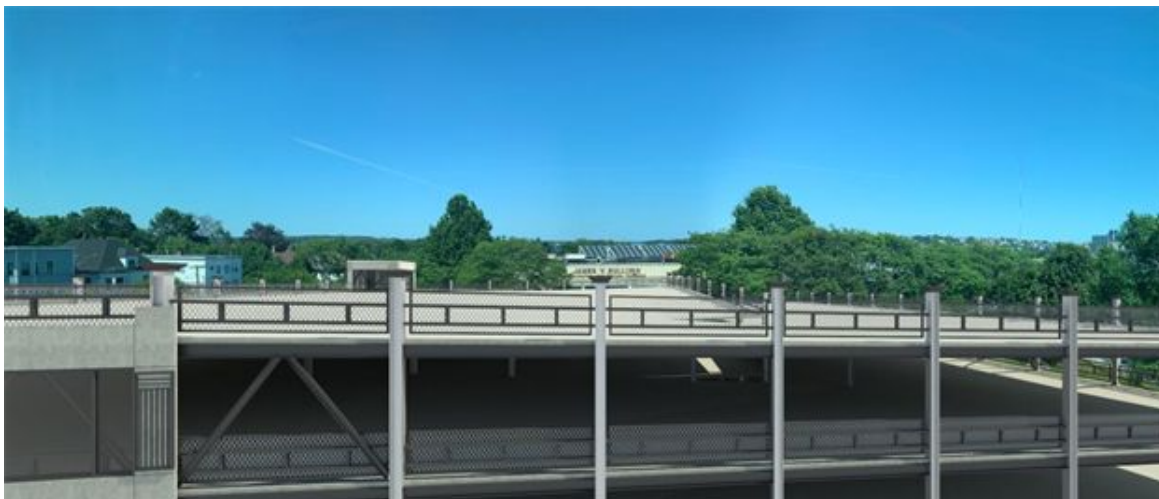
Level 3

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Level 4



Proposed view from Science Building

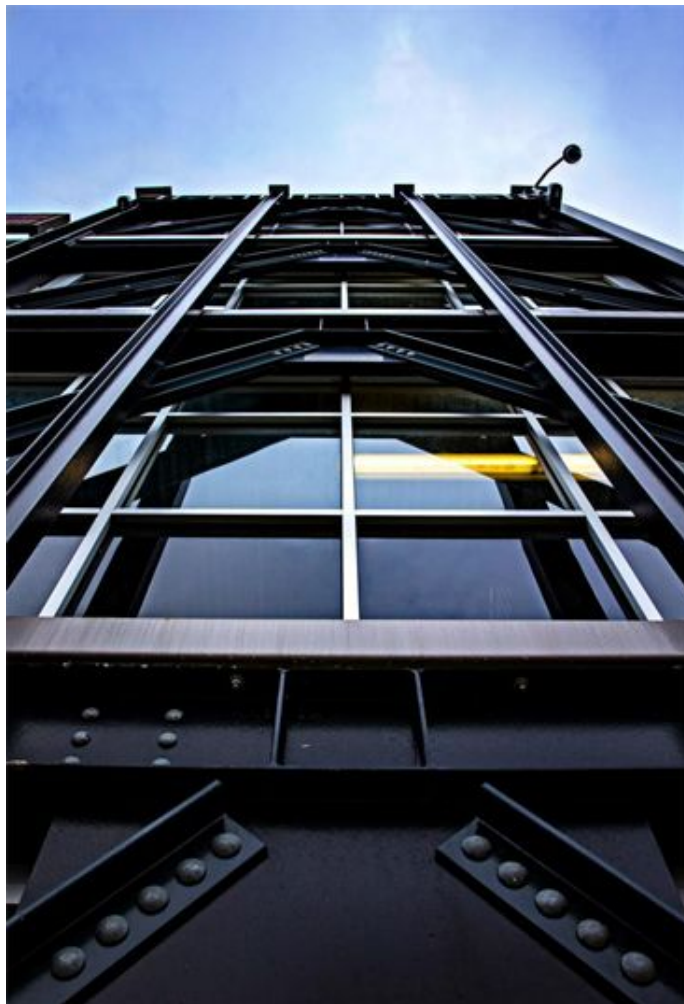
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Structural System

The study assumes that a steel structure is used due to cost and the accelerated construction time versus cast in place concrete or pre-cast concrete structures. A footing design of spread footings or rammed aggregate piers is assumed, with cast-in-place composite decks protected with a vehicular traffic coating.

Perhaps most important to the long-term success of the garage design is the patron's feelings of comfort, safety and security while using the facility. Structural steel offers a much thinner structural profile, with small columns, long spans and braced frames rather than massive shear walls, giving the interior of the garage a bright openness with few obstructions for a sense of safety and visual security. Steel framed parking structures can also accommodate any type of façade system, and the building's aesthetics are custom designed to meet the specific requirements of the site or the character of the district surroundings, versus selecting a design from a concrete manufacturer's limited catalogue of standard finishes.



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Design Budget and Proposed Project Timelines

Costs of Steel Structural System

Based on our experience in parking garage design for a number of clients in Maine, we feel that a steel parking structure offers many advantages over a concrete structure and will be a better long-term investment from not only the initial cost and long term maintenance operations perspectives, but also providing more design flexibility and a much more aesthetically-pleasing contributor to the district's architectural fabric.

Initial investment costs are lower for steel-framed parking garages than concrete framing systems, typically quoted 10-15% less, which is partially due to the lighter structural weight and reduced site impacts. Also, the local labor force is far more comfortable with installing a more traditional steel-framed structure versus a concrete structure. The contractors here in Maine will provide a more competitive bid for a steel frame over a concrete system that may force sourcing qualified labor from out-of-state at a higher rate.

The complaint about steel garages in the past is that they have been more expensive to maintain, but we have not found this to be true. Quoted as up to 30% less to maintain than comparative concrete structures by structural engineer examinations, with regular maintenance of the high-performance paint system and elastomeric deck topping, we have found that maintenance costs are very manageable and typically only require spot-patching and paint touch-up, versus the much more extensive deck joint replacements required at regular periodic intervals with precast garages.

Additionally, with the pressures that maintenance budgets endure over the lifespan of a building, the exposed nature of steel-framed design allows for direct visual examination and inspection to assist developing deferred-action maintenance programs to head-off serious issues even during lean times. When concrete structural systems begin to show failure, it is often well past the point of patch and repair, instead requiring the complete and immediate replacement of the overall system which will require a large maintenance capital reserve carried for the life of the garage

Steel frame structures can be easily customized to conform to the particulars of irregular sites, an important consideration in tight urban contexts looking to capitalize on every inch, and may also be expanded in any direction, often planned ahead with the bolt holes pre-drilled. The ease of construction of both the building and the foundation systems capitalize on the efficiencies of shop fabrication, shortening erection schedules and allowing for winter construction. Steel-framed garages typically weigh 20% less than a corresponding concrete structure, which reduces foundation costs and permits a wider range of soil conditions to simplify design.

For all of these reasons, it has been our experience that a steel parking structure would be the most appealing, economical, and flexible garage, offering a maximum return on investment for the University of Southern Maine.

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Design Budget

With the Design-Bid-Build project delivery method, the actual costs of the project are not known with certainty until the bid opening, and are also affected by seasonal availability, the state of the current bid environment, and the complexity of the design as it relates to the available pool of responding contractors. That being said, there are a number of factors that can be used to gauge the pricing performance of the garage design relative to the resultant parking efficiency and the number of special features required for the project.

The current 2019 Means Construction Data pricing guide identifies the average cost of a surface parking space is in the \$2,500-\$3,000 range, structured parking with elevated decks and an open design in the \$18,000-\$22,000 range, structured parking with elevated decks in a closed design in the \$20,000-\$24,000 range, and underground parking with a closed design in the \$30,000-\$35,000 range. The range of these baseline costs should be considered primarily against the backdrop of the resultant parking efficiency on a square-foot basis, but also the specific project program requirements, such as; vehicular entry, ramping, enclosure, ventilation, and pedestrian access. Due to the highly-efficient nature of the options developed in this parking feasibility study, at approximately 300 sf per space, the average square foot cost of around \$45 per square foot for a typical steel-framed parking structure would result in a per-space cost of \$13,500.

Proposed Project Timeline

Due to the highly variable impact of the City of Portland design review process, in addition to the review and approval procedure timeline for the University's Capital Improvements process, just to name a couple of possible schedule impacts, the exact project timeline is difficult to determine and some degree of flexibility should be considered when forecasting the project approvals timeline. Also figuring into the early project timeline is the project budget pricing requirements, and the design development gaps afforded to these pricing efforts during design. To accelerate the construction schedule, fast-track techniques, performing parts of the construction effort under winter conditions, and possibly selecting a deck system that does not require a traffic topping may be considered.

The schedule requirements for the major design segments and project approvals would be as follows:

- Preliminary Garage Design and Civil Design Document Preparation..... 2 month duration
- City of Portland Planning Board Approval Process..... 3 month duration
- Design Development and Construction Document Preparation..... 3 month duration
- Project Bid and Contractor Award..... 1.5 month duration
- State Fire Marshal and Local Permit Approvals 2 month duration
- Site and Building Construction 8-10 month duration

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A general timeline for a steel-framed parking garage design and construction that would take best advantage of the traditional construction season with a Spring ground-breaking would be as follows:

- Preliminary Garage Design and Civil Design Document Preparation..... Nov-Dec 2019
- City of Portland Planning Board Approval Process..... Nov 2019-Jan 2020
- Design Development and Construction Document Preparation..... Dec 2019-Feb 2020
- Project Bid and Contractor Award..... Feb 2020-March 2020
- State Fire Marshal and Local Permit Approvals March 2020-April 2020
- Structural Steel Shop Drawing Prep and Fabrication..... March 2020-June 2020
- Site and Building Construction April 2020- Dec 2020



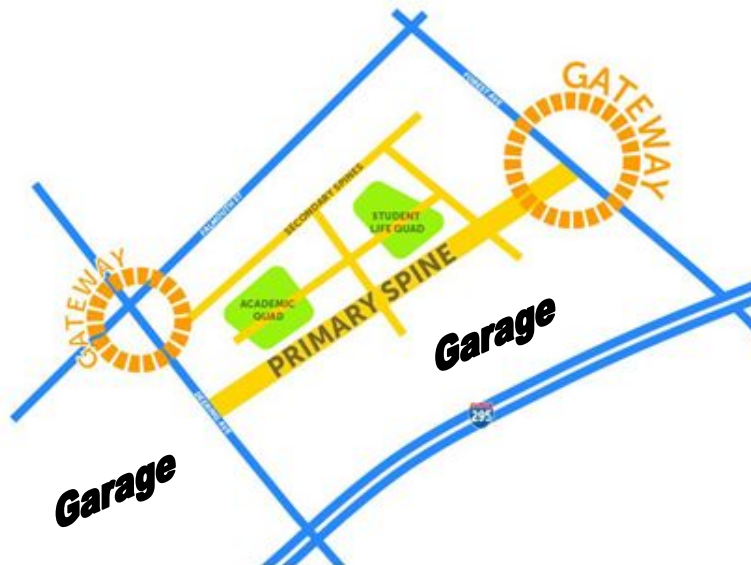
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68 Falmouth St & 88 Bedford/Surrenden St, Portland, ME



Part 2 : Parking Study of 88 Bedford/Surrenden Street Lot

Preliminary Assessment of Owner's Development Objectives

The 2019 Facilities Master Plan proposes a parking garage expansion in place of the existing surface parking lot to service the adjacent proposed graduate center and existing liner buildings along Bedford Street. The parking structure, provided for students, faculty and visitors, would then be concentrated at the perimeter of the campus with multiple direct connections to several high-population campus buildings.



With the parking structure located behind liner buildings along the arterial drive, the visibility of way-finding signage is critically important to ensure utilization and convenience. Concentrating the parking field adjacent to existing buildings and proposed future developments provides opportunities for either direct connections through pedestrian skybridges or short outdoor transitions through foul weather.

The site has been prepared for a parking structure expansion in this location, with water, sprinkler, and storm drainage lines stubbed to the site at the Northern access drive. Access has also been prepared for both vehicles and pedestrians, with little adjustment required to these site improvements to make way for construction of the new garage building.

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Site Evaluation

Utilities

All utilities including but not limited to electric, water, sewer, storm drainage and gas service appear available either directly to the site or from the local arterial connection to Bedford Street, pending confirmation of available capacity by each utility. Of these major utilities, stubs to the site for future buildings include water for domestic and sprinkler service and storm drainage. They appear to cross the site at a convenient point, but may need adjustment in coordination with the parking structure development. Additionally, a See Appendix D for additional information.

Topography

The site's existing surface parking lot and related site improvements provide the opportunity to connect at-grade on all sides of the proposed parking structure, limited only by the potential internal ramp locations within the garage itself. See Appendix E for additional information.

Parking

The site is currently used as a surface parking lot consisting of 40 total parking spaces, 8 of which are dedicated to handicap accessibility. The parking lot is for USM faculty and staff with some accessible parking serving the adjacent Wishcamper Center, and denoted on the campus map as Lot P3. The only point of vehicle access is from a collector drive at the Northwest corner of the parking lot from Bedford Street.

Pedestrian Access

The Bedford Street arterial drive has a wide pedestrian esplanade that provides opportunities to access the site from the Northwest and Northeast corners. All parking options provide direct connectivity to the pedestrian circulation system, possibly including pedestrian skybridge connections to the adjacent existing parking garage and Wishcamper Center, along possibly with the future graduate center proposed between the Wishcamper and Library/Osher Map Buildings. See Appendix B for additional information.

Building Height

The proposed height of the parking structure in all of the options is 55 feet, however; each option is below the allowable height of 85 feet per the zoning ordinance. For the purpose of this feasibility study, the Design Team has developed layouts that are limited in height to five levels of parking to correspond with the adjacent parking garage and Wishcamper Center building heights. See Appendix C for additional information.

Building Setbacks

All proposed parking structures are within the setbacks set forth in the zoning ordinance. The only setback that is applicable to this study is the setback along the I-295 highway corridor, which is 10'. See Appendix C for additional information.

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Pedestrian Access

Pedestrian access and connectivity is maintained largely “as-is” in each of the parking options. The nature of efficient parking garage design supports pedestrian circulation nodes at the corners where vehicular parking is unavailable. Each parking option anticipates vertical circulation stair towers at these corners, and aligns these pedestrian elements with the existing sidewalk system and away from vehicular drives to provide a high degree of visibility, comfort, and safety.

Vehicle Access

All parking options would maintain the current access point on Bedford Street, aligning the main entrance with the existing adjacent garage for ideal integration with existing parking patterns and equipment. A access drive would be maintained all-around the proposed structure to allow for maintenance and security, loading or staging areas, and/or snow removal.

Delivery/Loading Access

The two existing single-bay loading zones along the perimeter drive around the site are maintained in all options, with the possibility of incorporating additional service vehicle or university maintenance parking within this loading zone.



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Identification of Environmental Requirements

Due to the highly variable disposition of silty and sandy soils across the Back Bay basin generally, and extending specifically to the surrounding sites at the existing parking structure at Surrenden Street, it is recommended that a geotechnical engineer be brought on-board early in the schematic design process to provide soil analysis and identify the soil improvements necessary to support the preliminary foundation design. Generally, the use of a steel-framed structure for the proposed parking garage would reduce the structural pier requirements from those provided for the adjacent precast garage of the same height, providing some assurance that the soils will support the proposed building scenarios.

Beyond this soils composition assessment, there are no known needs for environmental impact statements, additional environmental assessments, or testing/monitoring with respect to the materials reviewed as part of this parking feasibility investigation.

Generally, the proposed parking options provide close integration with the existing level site grades and take advantage of stubbed utilities to reduce the impact of sitework and potential exposure to the import/export of soils. Additionally, the lighter weight of a steel garage structure would support the use of geopiers, granting the Design Team flexibility to tailor a structural solution with the lowest level of environmental and financial impact.



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Site and Neighborhood Context Description

Campus

The University was founded in 1878 with Corthell Hall being the first university building in Gorham, Maine. The Portland campus is located downtown and bordered by highly trafficked roads including, Interstate Highway 295, Forrest Avenue, Deering Avenue, Falmouth Street, and Bedford Street. The campus buildings are a variety of materials including but not limited to brick, glass curtain wall, panelized systems, and concrete.

Neighborhood

A completely developed urban neighborhood, the adjacent land consists of Interstate Highway 295 on the South, University buildings to the North and East, and the existing parking garage to the West. The largest adjacent land use is the parking garage, which is accessed from Surrenden Street. The adjacent university structures are generally a set of very solid and consistent building blocks, within which the proposed garage options would cohesively connect, with circulation view corridors that offer relief to the massing.

Zoning

The campus is located in Zone R5 in the City of Portland, with an overlay zone type of "USM" for the University of Southern Maine. This zone has a strict set of rules designed to create a quality and cohesive campus environment while integrating with and respecting the residential character of surrounding neighborhoods.

Site Implications (from Owner-provided campus utility plans)

Water Items:

- 6" Water pipe stubbed to the North side of the lot – located at Conant Street
- 8" Water pipe for a possible sprinkler system stubbed to the North side of the lot – located at Conant Street
- Fire Hydrant at the Northwest corner of the lot – located on the site side of the access drive

Gas Items:

- 8" Gas line to the North of the site is available for connection down the access drive – located under Bedford Street

Tele/Data Items:

- Two 4" conduits are located at the Northern part of the site cross from the existing parking garage to the Wishcamper Center.

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Electrical Items:

- Conduits are located at all sides of the site, with some lines that might serve a future building needing verification.

Current Traffic Patterns

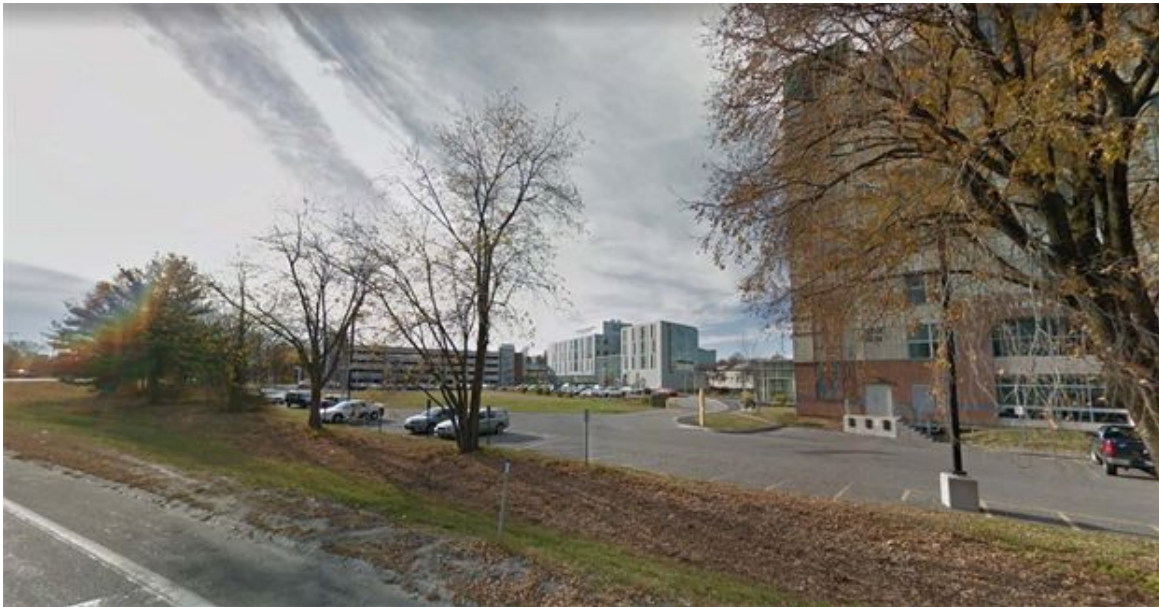
Forest Avenue serves as the primary arrival point to the USM Portland campus. The secondary arrival point to the campus is at the intersection of Deering, Brighton, and Falmouth Streets. The third arrival point to the campus is Bedford Street, which bisects the campus providing access to most of the parking supply for the campus.

Future Traffic Pattern Considerations

Closure of the Brighton Avenue Extension and installation of a roundabout at the intersection of Brighton, Deering, and Falmouth streets. After which, the remaining extension of Brighton Avenue will be given to USM by the city of Portland. The proposed parking garage would connect to the Bedford Street arterial drive, adjacent to the existing garage exit, which the Design Team suggests could be adjusted to allow incoming traffic in addition to the exit pattern.

Alternate Means of Transportation

As identified in the Facility Master Plan, USM supports robust pedestrian, bicycle, shuttle bus, ride share and metro regional public transit systems that look beyond private vehicular parking to meet the transportation needs of the campus community. This could have a potential impact on the parking requirements for the Portland campus. Areas within and around the proposed parking garage may be outfitted with ride share signage or bicycle racks to encourage and support alternate transportation modes.



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Conceptual Drawings

Design Considerations

The practical parking capacity is an important design consideration due to the fact that no garage can operate at 100% efficiency. The industry accepted efficiency is between 85-95%. This allows for variations in parking activity, loss of parking due to mis-parked vehicles, construction, snow piling, and other unforeseen factors. This efficiency rate also takes into account traffic flow problems related to parkers trying searching for available spaces when the garage is at or near its maximum capacity.

Level of Service

The recommended Level-Of-Service (LOS) for visitor parking is LOS "A" or "B" which provides greater dimensions and ease of use for the parking garage, but for regular monthly parkers an LOS of "C" could be utilized to maximize the number of parking spaces and thereby increasing the efficiency of the design and providing a higher return on investment. LOS "D" is an extremely compact garage design that is mostly reserved for underground parking structures or extremely high-density urban designs.

LOS "B" provides a parking stall that is 8'-9" in width and 17'-9" in length, but this study utilizes a 9'-0" wide and 18'-0" long standard stall, and up to 20% compact spacing per City of Portland Design Standards at 8'-0" wide and 15'-0" long. The drive aisles will be sized at 24' in overall width.

Project Overview

Capacity, expansion, aesthetics and size of the parking structure were taken into consideration for three options developed as part of the programming effort so the design features of each could be evaluated. It is also the understanding that a larger structure could have an undesirable impact on the site by restricting view corridors and clashing with the scale and architectural character of the surrounding buildings. All of the concept designs therefore top-off at 55'-0" above the existing surface lot to match with the scale and massing of the adjacent buildings.

The Parking Options include:

1. Arcing garage form that responds to the lot line along I-295 with internal circulation ramp connecting all levels of parking and providing site relief and view corridors towards the proposed future graduate center location adjacent to the Library/Osher Map buildings.
2. Rectangular multi-level garage with internal circulation ramp connecting all levels of parking and skybridge connection to the existing garage at the second level.
3. Level-deck expansion scenario to the existing garage with independent access to each level and radial internal circulation ramp providing site relief and view corridors towards the proposed future graduate center location adjacent to the Library/Osher Map buildings.

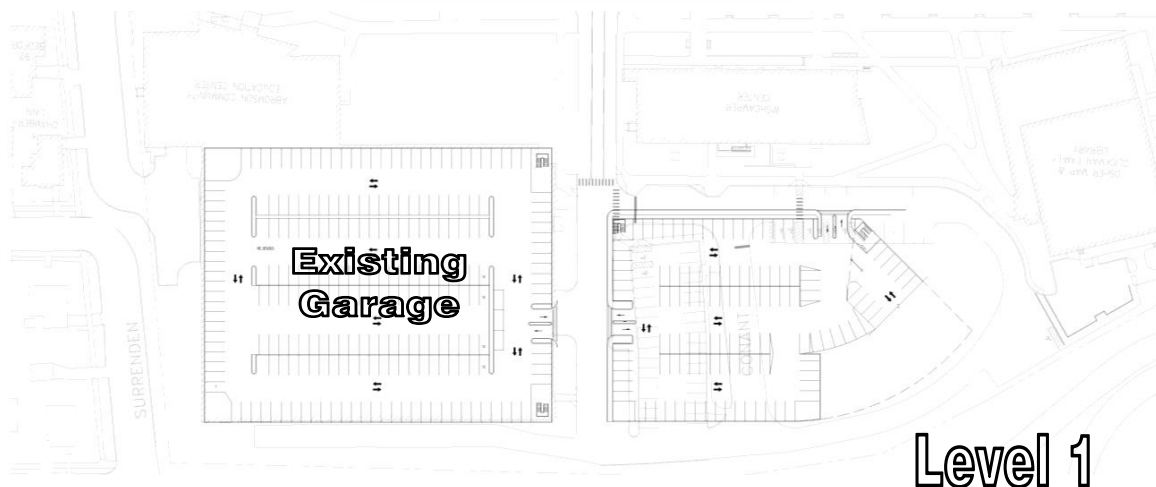
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Parking Design Option 1: Arcing garage form that responds to the lot line along I-295 with internal circulation ramp connecting all levels of parking

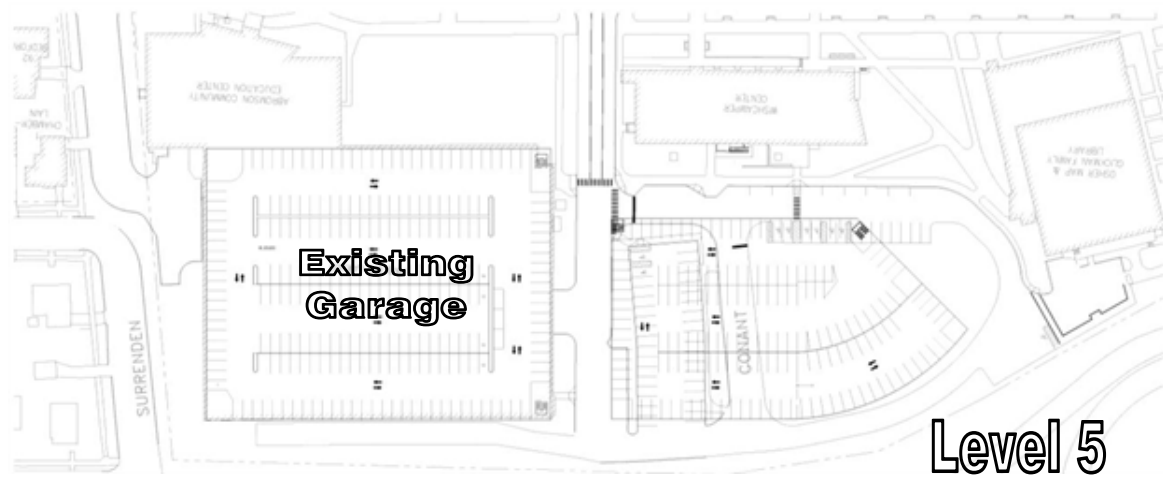
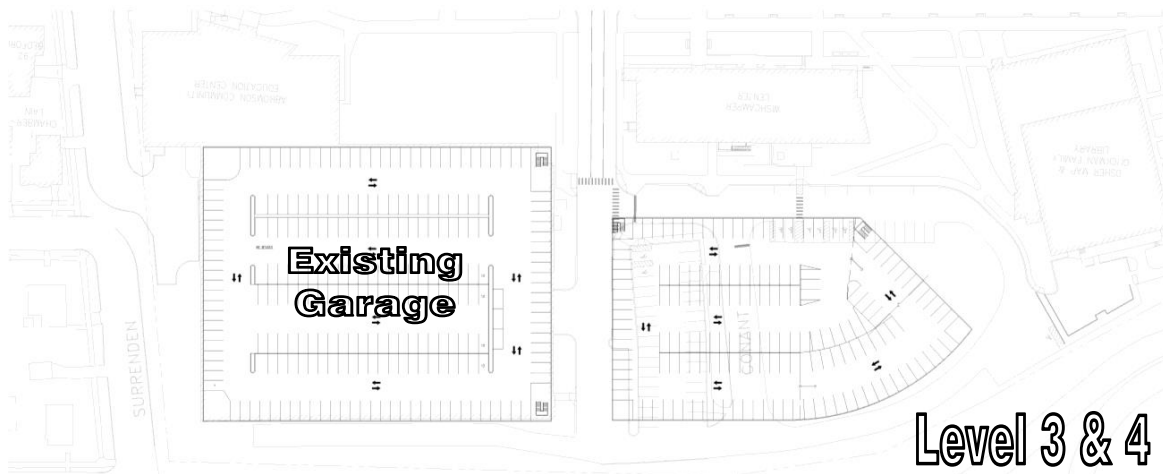
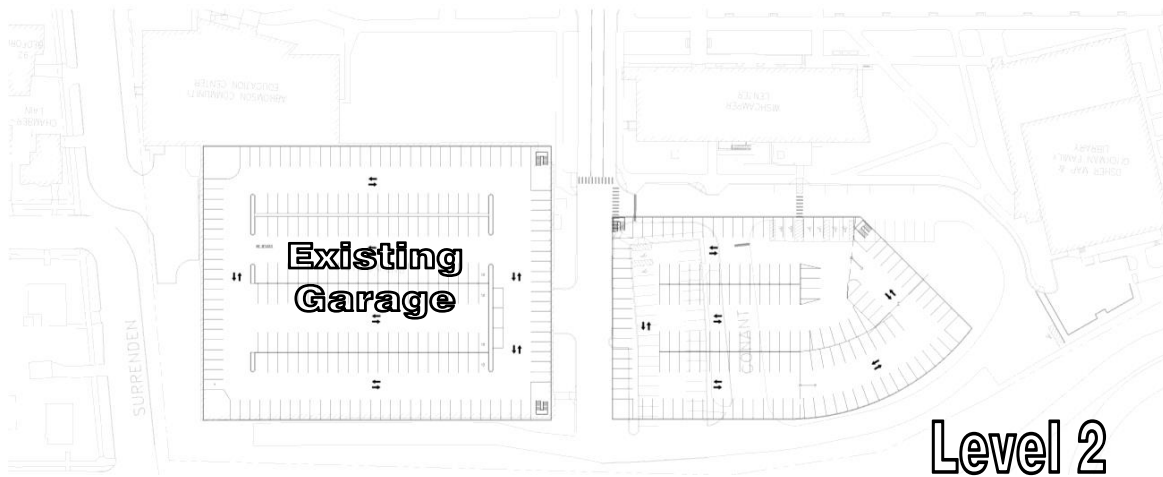


FIFTH ~ 55,315 SF @ 308 SF/EA (173 SPACES)
FOURTH ~ 49,715 SF @ 309 SF/EA (161 SPACES)
THIRD ~ 49,715 SF @ 309 SF/EA (161 SPACES)
SECOND ~ 49,715 SF @ 309 SF/EA (161 SPACES)
FIRST ~ 37,560 SF @ 341 SF/EA (110 SPACES)
TOTAL ~ 240,020 SF @ 313 SF/EA (766 SPACES)



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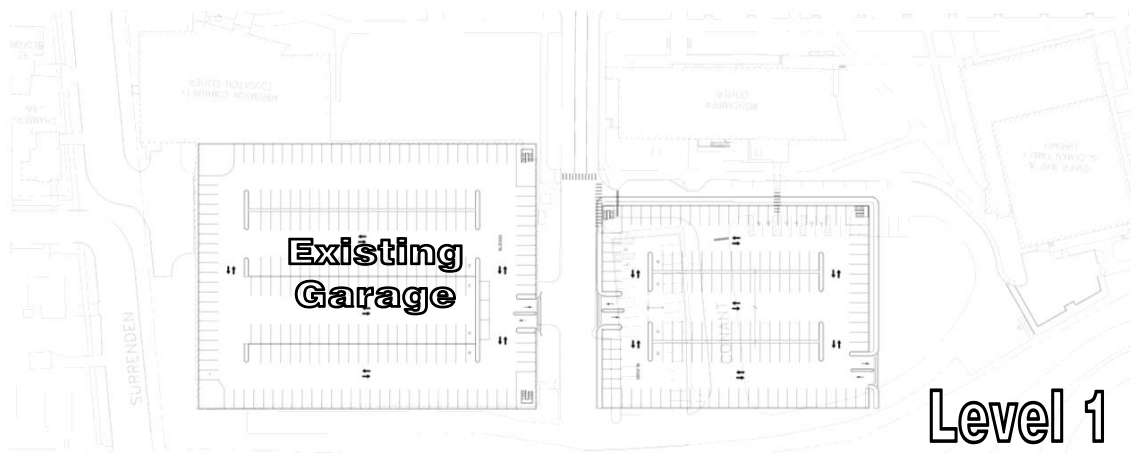
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Parking Design Option 2: Rectangular multi-level garage with internal circulation ramp connecting all levels of parking and skybridge connection to the existing garage at the second level.

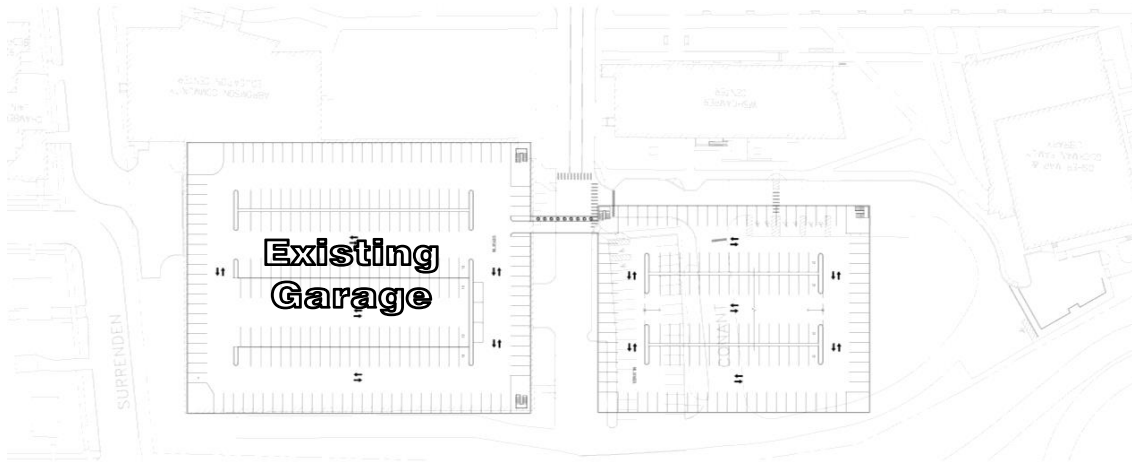


FIFTH ~ 47,575 SF @ 311 SF/EA (153 SPACES)
FOURTH ~ 46,475 SF @ 318 SF/EA (146 SPACES)
THIRD ~ 46,475 SF @ 318 SF/EA (146 SPACES)
SECOND ~ 46,475 SF @ 318 SF/EA (146 SPACES)
FIRST ~ 46,475 SF @ 334 SF/EA (139 SPACES)
TOTAL ~ 233,475 SF @ 320 SF/EA (730 SPACES)

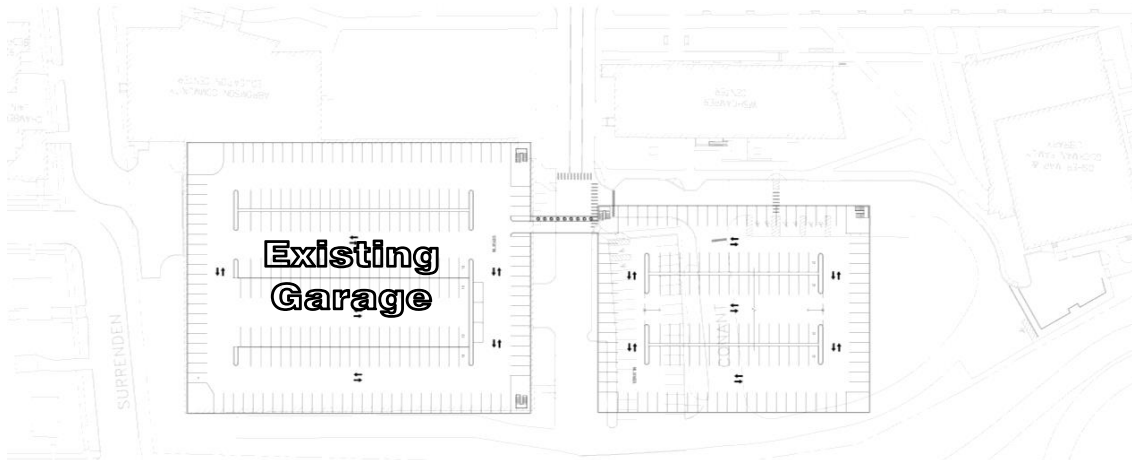


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Level 2 - 4



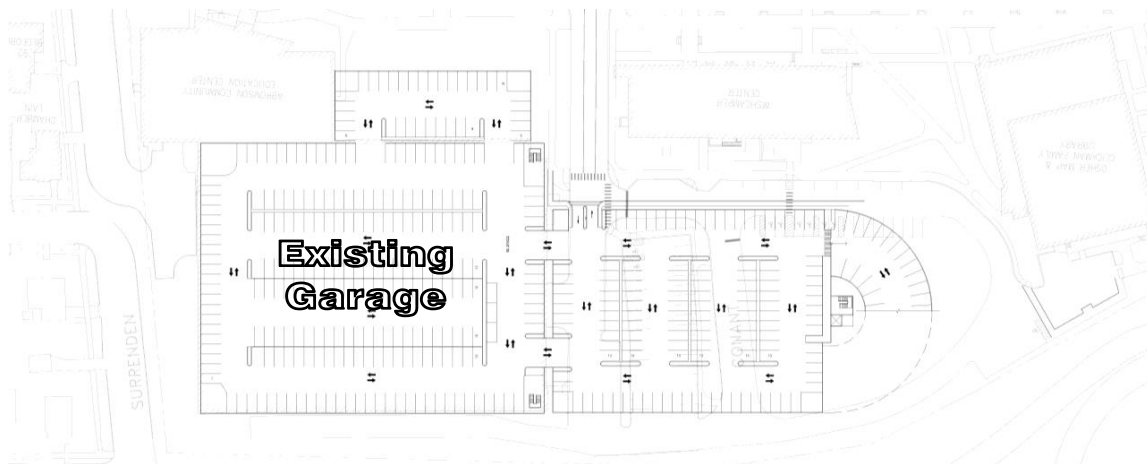
Level 5

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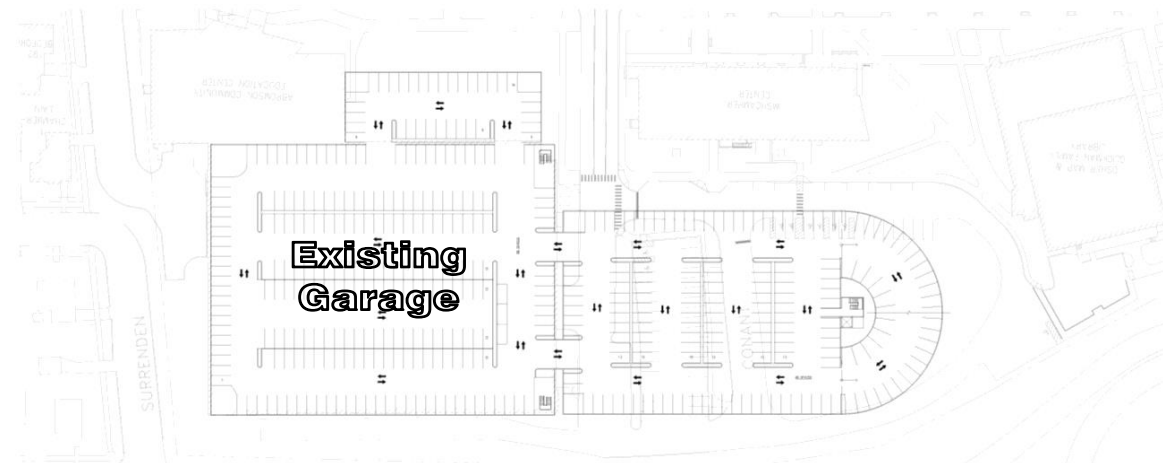


Parking Design Option 3: Level-deck expansion scenario to the existing garage with independent access to each level and radial internal circulation ramp

FIFTH ~ 53,315 SF @ 308 SF/EA (173 SPACES)
FOURTH ~ 49,715 SF @ 309 SF/EA (161 SPACES)
THIRD ~ 49,715 SF @ 309 SF/EA (161 SPACES)
SECOND ~ 49,715 SF @ 309 SF/EA (161 SPACES)
FIRST ~ 37,560 SF @ 341 SF/EA (110 SPACES)
TOTAL ~ 240,020 SF @ 313 SF/EA (766 SPACES)



Level 1



Level 3-5

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Design Budget and Proposed Project Timelines

Costs of Modifying Precast Structural System

Parking Design Option 3 investigates the modification of the existing precast parking structure to expand the parking field with level parking decks and two drive aisles. While a steel-framed parking garage is easily modified post-construction, that is not the case with precast structures. Every element of a precast garage is performing a structural task that would need to be replaced in some form, and due to the heavy loads that precast garages produce, this task is potentially expensive. Cutting into shear walls or even spandrel façade elements might require moment frames and/or removal of the precast tees for a lighter steel-framed system in the area(s) affected. Additionally, the structural piers have been designed for a certain loading, so additional loads would likely need to be carried by separate adjacent footings/piers.

Design Budget

With the Design-Bid-Build project delivery method, the actual costs of the project are not known with certainty until the bid opening, and are also affected by seasonal availability, the state of the current bid environment, and the complexity of the design as it relates to the available pool of responding contractors. That being said, there are a number of factors that can be used to gauge the pricing performance of the garage design relative to the resultant parking efficiency and the number of special features required for the project.

The current 2019 Means Construction Data pricing guide identifies the average cost of a surface parking space is in the \$2,500-\$3,000 range, structured parking with elevated decks and an open design in the \$18,000-\$22,000 range, structured parking with elevated decks in a closed design in the \$20,000-\$24,000 range, and underground parking with a closed design in the \$30,000-\$35,000 range. The range of these baseline costs should be considered primarily against the backdrop of the resultant parking efficiency on a square-foot basis, but also the specific project program requirements, such as; vehicular entry, ramping, enclosure, ventilation, and pedestrian access. Due to the highly-efficient nature of the options developed in this parking feasibility study, at approximately 315 sf per space, the average square foot cost of around \$45 per square foot for a typical steel-framed parking structure would result in a per-space cost of \$14,200.

Proposed Project Timeline

Due to the highly variable impact of the City of Portland design review process, in addition to the review and approval procedure timeline for the University's Capital Improvements process, just to name a couple of possible schedule impacts, the exact project timeline is difficult to determine and some degree of flexibility should be considered when forecasting the project approvals timeline. Also figuring into the early project timeline is the project budget pricing requirements, and the design development gaps afforded to these pricing efforts during design. To accelerate the construction schedule, fast-track techniques, performing parts of the construction effort under winter conditions, and possibly selecting a deck system that does not require a traffic topping may be considered.

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The schedule requirements for the major design segments and project approvals would be as follows:

- Preliminary Garage Design and Civil Design Document Preparation..... 2 month duration
- City of Portland Planning Board Approval Process..... 3 month duration
- Design Development and Construction Document Preparation..... 3 month duration
- Project Bid and Contractor Award..... 1.5 month duration
- State Fire Marshal and Local Permit Approvals 2 month duration
- Site and Building Construction 8-10 month duration

A general timeline for a steel-framed parking garage design and construction that would take best advantage of the traditional construction season with a Spring ground-breaking would be as follows:

- Preliminary Garage Design and Civil Design Document Preparation..... Aug-Sept 2019
- City of Portland Planning Board Approval Process..... Aug-Oct 2019
- Design Development and Construction Document Preparation..... Sept 2019-Nov 2019
- Project Bid and Contractor Award..... Dec 2019-Jan 2020
- State Fire Marshal and Local Permit Approvals Dec 2019-Jan 2020
- Structural Steel Shop Drawing Prep and Fabrication..... Feb 2020-May 2020
- Site and Building Construction March 2020- Nov 2020

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Exhibit A. 2019 University Of Southern Maine Facilities Master Plan

UNIVERSITY OF SOUTHERN MAINE FACILITIES MASTER PLAN



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Exhibit B. 2018 University Of Southern Maine Aerial Photo



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Exhibit C. University Of Southern Maine Zoning Overlay Plan

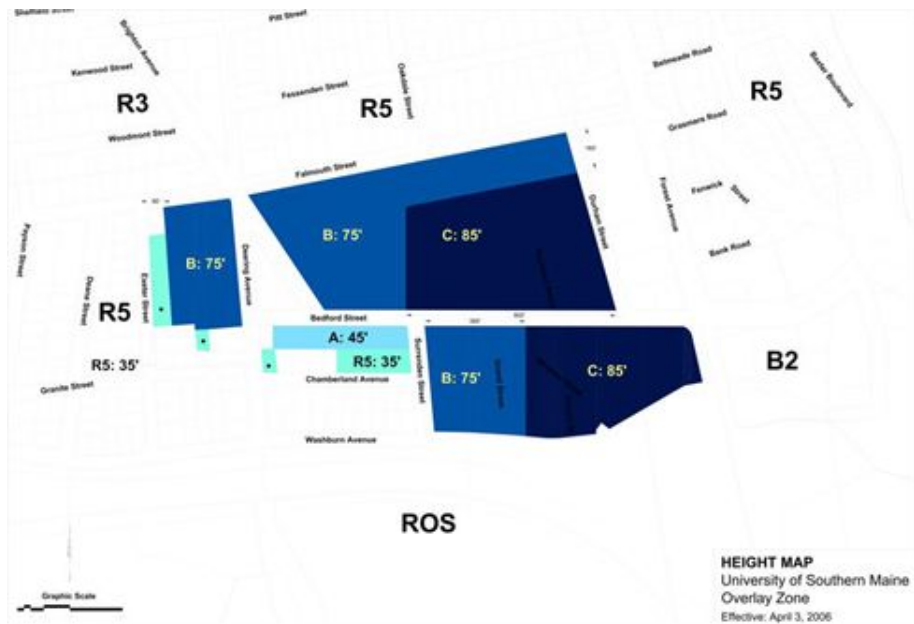
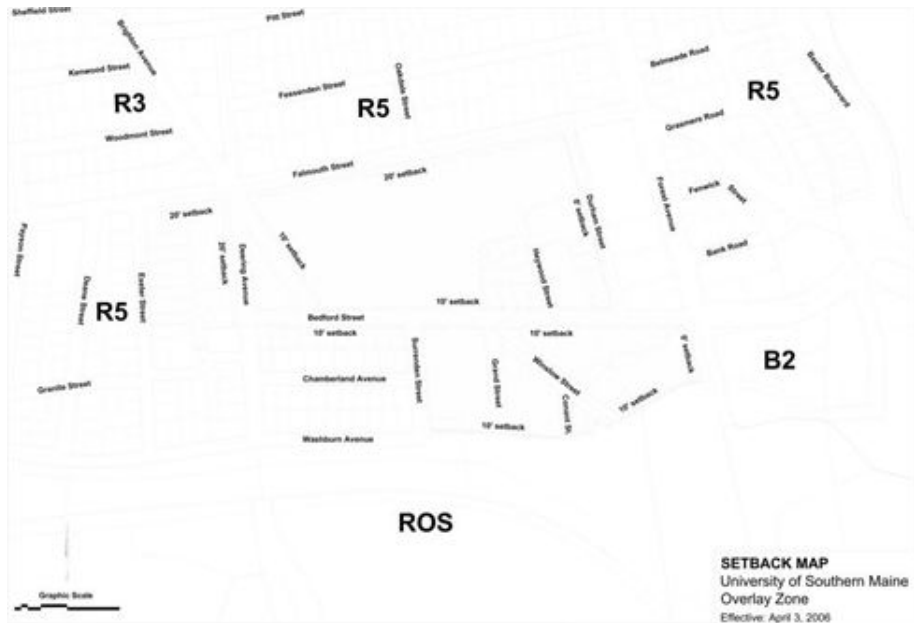
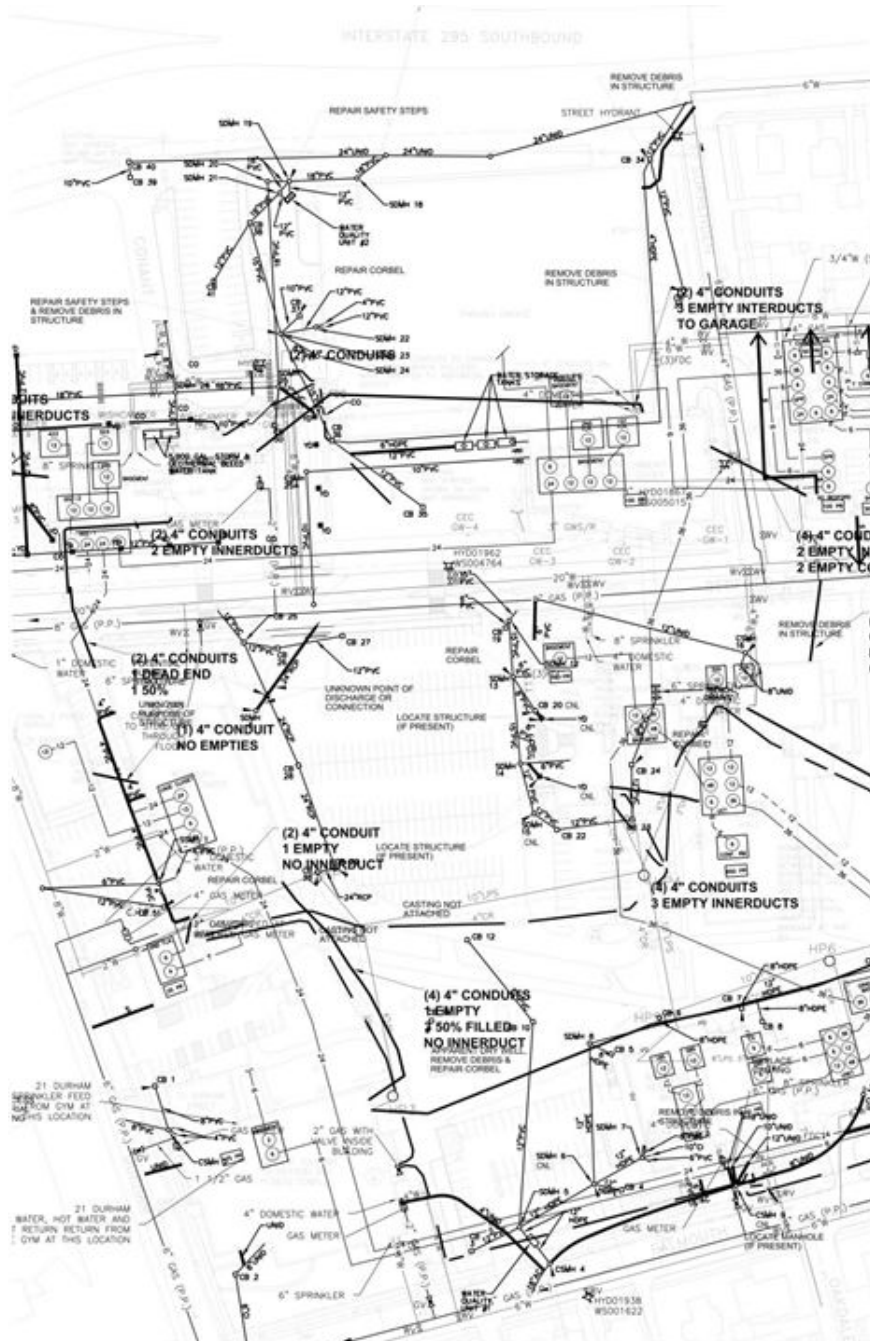


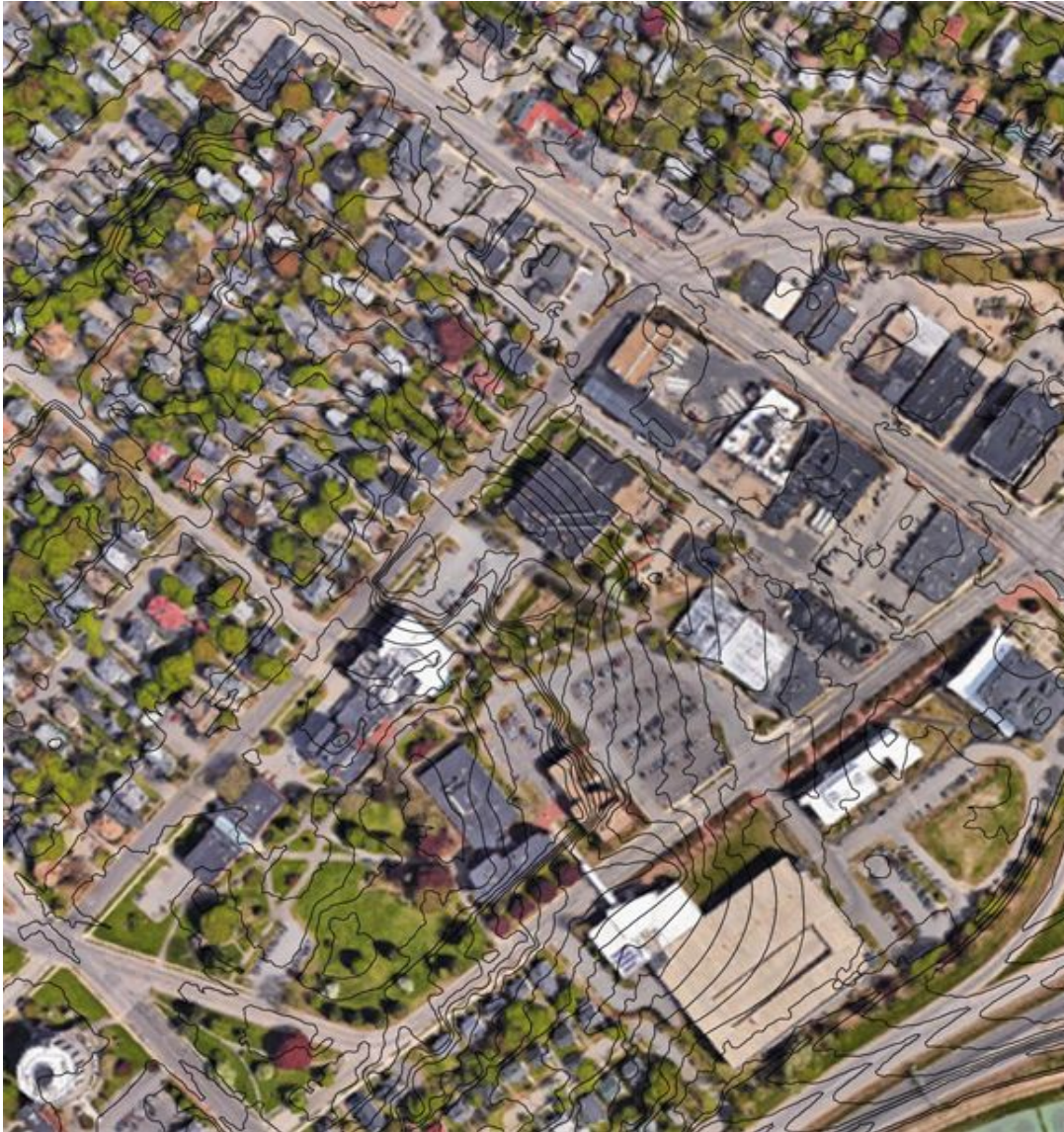
Exhibit D. University Of Southern Maine Utilities Overlay Plan



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Exhibit E. University Of Southern Maine Topography Overlay Plan



Career/Student Success Center & Housing Project

UMS Board of Trustees, January 27, 2020



Presentation

1. Project Overview
2. Project Development & Work to Date
3. Project Concept
4. Related Project/Agreements – TDM, Traffic Flow Study, Expansion of Wishcamper Parking Lot, Platz Parking Feasibility Study and Future Parking Needs/Requests
5. Financial Overview/Options
6. Request to enter into a Pre-Development Agreement with Capstone Development Partners

Project Background

- USM has grown student enrollment 7.3 % since 2015. This enrollment growth has lead to 4 years of over occupancy in the residence halls on the Gorham campus. As of January 6th USM was up 28% in admitted first-time fulltime out-of-state students (students who will require on-campus housing).
- Graduate and Law School students struggle to find affordable housing in the Greater Portland area. The former Dean of the Law School reported the Law School lost student enrollment due to a lack of affordable housing options.
- A Market Analysis was conducted in spring 2018 by Brailsford and Dunlavey, Inc., and the results were that USM could support adding 550 to 600 beds on the Portland campus – without harm to occupancy on the Gorham campus.

Project Background

- To meet a growing and diverse student body and to expand career services to meet workforce needs in Maine, a new Career & Student Success Center is needed in Portland.
- In January of 2019 the Trustees approved the USM Master Plan. A new Career and Student Success Center and Residence Halls for the Portland campus were identified for development as part of the Master Plan.
- During the fall of 2019 the Woodbury Student Center had a fire main break and the building was flooded with water and silt. New investment and a return to full service in this damaged building is not anticipated. If the project moves forward then Woodbury Student Center (which has a current NAV of under 50%) will be removed and replaced.

Project Building Committee & Project Subject Matter Experts

Name	Campus/Dept.	Title
Evaluation Team		
Nancy Griffin	USM: Operations	USM Chief Operations Officer: Initiative Sponsor
Tracy Elliott	UMS: Finance	Vice President of Finance and Controller
Carolyn McDonough	UMS: Capital Projects	Director of Capital Planning and Project Management
Jeanne Paquette	USM: Aux Services	USM Vice President, Corporate Engagement & Auxiliary Services
Alexander Porteous	USM: Finance	USM Chief Business Officer
David Roussel	USM: Student Affairs	USM Interim Vice President for Student Affairs
John Souther	USM: Facilities	USM Executive Director of Facilities
Aaron Witham	USM: Operations	USM Assistant Director for Sustainable Programs
Subject Matter Experts (non-voting)		
Gretchen Catlin	UMS: Risk	Director of Risk Management and Insurance
Rudy Gabrielson	UMS: General Services	Chief Procurement Officer
Joseph Gallant	UMS: Capital Projects	Capital Planning and Project Management: USM
Paul A Kuplinski	USM: Finance	Director of Finance and Administration: USM
Ryan Low	UMS: Finance	Vice Chancellor for Finance and Administration and Treasurer
Sara Mlynarchek	UMS: General Counsel	Assistant University Counsel
Ann Vashon	UMS: Capital Projects	Capital Planning and Project Management: USM
P3 Development Advisor (non-voting)		
Brad Noyse	Brailsford & Dunlavey	Executive Vice President
Meg Green	Brailsford & Dunlavey	Associate

Project Development Work to Date

- **June 2018**, USM President's P3 Committee (UMS and USM committee members)
- **October 2018**, RFP for Consulting for P3 or Alternative Approach for Constructing Student Housing. Hired Brailsford & Dunlavey (B & D) from Boston, MA, through a competitive bid process
- **November 2018**, Voters approved general obligation bonds, \$19 million of which is intended for a new Career and Student Success Center at USM.
- **January 2019**, UMS Trustees approved the USM Master Plan. A new Career and Student Success Center and Residence Halls for the Portland campus were identified for development as part of the Master Plan.

Project Development Work to Date

- **January 2019**, Planning and Building Committee meetings began (USM and UMS members), Ongoing meetings with Brailsford & Dunlavey
- **May 2019**, Briefing of Career and Student Success Center and Residence Hall Project to the FFT Committee of the BOT
- **Spring 2019**, Brailsford & Dunlavey conducted Market Demand Analysis for student housing in Portland
- **June 2019**, Brailsford & Dunlavey shared Market Demand report to FFT Committee of the BOT

Project Development Work to Date

- **June 2019**, RFQ for Portland Campus Student Housing and Student Center Project (6 proposals with 5 moved forward to RFP)
- **August 2019**, RFP for Portland Campus Student Housing and Student Center Project (4 proposals received and evaluated)
- **November 2019**, Capstone Development Partners awarded the project through competitive procurement process

Project Development Work to Date

- **January 2020**, Presentation to FFT Committee and full UMS Board of Trustees
- **January 2020**, Successful Pre-Pre Application Meeting with Portland City Planning Director
- **GOAL – Completion of Project in August 2022**

Project Development

Coming months

January 2020:

- Consideration of approval for a \$1.7 million expansion of surface parking for construction in summer 2020;
- Informational briefing about a subsequently planned \$11.9 million, 425 space structured parking facility;
- Request for approval for as much as \$5.7 million to proceed with design and development of the P3 residence hall and Career and Student Success Center.

February-March 2020:

- Request for approval of up to an anticipated \$1.5 million for design and development of 425 space structured parking facility;
- Informational update for the P3 residence hall and Career and Student Success Center;
- Potential request for revenue bonding authority for the residence hall and Career and Student Success Center pursuant to Policy.
- Informational update regarding the \$1.7 million expansion of surface parking for construction in summer 2020;

Project Development Coming months

April-May:

- Informational updates about all projects:

June-July-August-September:

- Request for full approval of increased project budget to allow bidding for the structured parking facility.
- Requests for the additional agreements and budget authority that needed to proceed to P3 residence hall and Career and Student Success Center construction.
- Informational update about the surface parking expansion which is planned to enter service at this time;

September 2020-July 2022:

- Construction of and informational updates at each FFT meeting and Trustee meeting.

August-September 2022:

- Occupancy of the new facilities.

Key Findings from Market Demand Analysis

Brailsford & Dunlavey

1. Housing at the Portland campus is a mission-driven initiative to develop a robust collegiate environment within the larger Portland community
2. Housing at Portland will provide an affordable residential option to upper-division and graduate students (and alleviate over-occupancy on Gorham campus)
3. Sufficient demand and economics exist to support a new housing development on the Portland campus

Summary & Recommendations

Brailsford & Dunlavey

**Estimated 550 revenue
generating beds and 27 non-
revenue beds such as 13 beds
for Resident Assistants
Total of 577 Bed Capacity**

Unit Types:

- Single Bed with En- Suite Bath
- Apartments housing 4 students with single beds rooms or 2 students to a bedroom

Room Rates:

(dependent upon unit type)

**\$800 - \$1,200
monthly**

**\$9,600 - \$14,400
annually**

Lease Length: 12 months*

*Law school and many graduate academic programs run fall, spring and summer sessions

Project Concept Career & Student Success Center

Approx. 60,000 square feet
LEED Silver or Gold
Certification
Cross Laminated Timber

- Career Services/Career Hub
- Dining Services
- Student Organizations
- Open Spaces for Students
- Diversity Center(s)
- Multi-purpose rooms
- University Store
- SGA
- Student Affairs
- WMPG
- Veteran Services



Career & Student Success Center Residence Hall Green Space/Quad



Project Concept Student Housing

Housing Options:

- Single Bed with En-Suite Bath
- Studio Apartment
- Apartments housing 4 students with single beds rooms or 2 students to a bedroom

Priorities for USM:

- Affordable price point for Students (upperclassmen, graduate and law students)
- Student input
- Passive House – meeting sustainability goals

Residence Hall, 577 Beds Upperclassmen, Graduate and Law Students 3 Different Housing Options



Related Project Reports

Parking Assessment / TDM Plan

Parking Feasibility Study

Traffic Flow Study

- **Transportation Demand Management (TDM) Plan:** During Summer 2019, USM contracted with VHB to provide an Transportation Demand Management (TDM) Plan.
 - The parking assessment report indicates that USM will need ~300 additional parking spaces to meet new demand upon completion of the Student Success Center and Residence Hall.
 - The TDM Plan provides myriad strategies to reduce traffic and mitigate congestion on the USM Portland campus.
- **Parking Feasibility Study:** During Summer 2019, USM contracted with Platz Associates to provide options for additional structured parking.
 - Platz reviewed two potential building sites—the existing Sullivan Gym surface lot and the Wishcamper area to expand or augment the Abromson Center garage.
- **Traffic Flow Study:** As part of the City of Portland permitting process, USM has contracted with VHB to conduct a traffic flow study for the Portland campus.

Related Project

Wishcamper Parking Lot Project

- **Project:** USM has proposed revising the Wishcamper Parking Lot to add 122 spaces.
 - Upon completion, the new lot would contain a total of 213 spaces by more efficiently utilizing the surface area behind the Wishcamper Center that currently has 91 spaces.
 - With construction of the proposed Student Success Center and Residence Hall and initiation of the Roundabout project, USM's Portland campus will lose 185 spaces → adding 122 behind the Wishcamper Center will limit the net loss to 63, more closely approximating existing capacity.
- **Cost / Funding:** Woodard & Curran has estimated project cost at \$1.71 million, including ~\$300,000 in project contingencies.
 - USM would fund the project with a combination of Capital Reserves (\$1m) and E&G resources.
- **Timeline:** USM would seek to break ground following Commencement with a project completion date of August.
 - August completion would mean that USM would have sufficient parking capacity on its Portland campus when students return for fall semester classes.

Financial Overview/Options

Executive Committee for Finance:

1. Alec Porteous, Chair, USM
2. Tracy Elliott, UMS
3. Glenn Cummings, USM
4. Ryan Low, UMS
5. Justin Swift, USM
6. Ainsley Wallace, USM Foundation

Consultants:

Brad Noyes, B & D
Meg Green, B & D

Financial Models Under Consideration for Full Project:

Career/Student Center

\$19M Bond Funding
\$1M Philanthropy
\$10M Naming Opportunity or possible financing

Residence Hall(s)

Direct Debt
501c3
Equity

USM Request

- Seeking BOT approval to enter into a predevelopment agreement (PDA) to establish the basic parameters of the relationship between the parties and their respective obligations.
- Upon completion of the PDA, USM/UMS would work with Capstone Development Partners and begin formal contract negotiations.
- Capstone will fund the Housing PDA costs (less deferred expenses).
- USM will pay for the Career/Student Center PDA costs from the Bond Funding.
- Total costs for PDA could be up to \$5.7M, which USM would be responsible to cover should a final contract agreement not be reached

Text of Proposed Resolution

The Board of Trustees authorize the University of Maine System acting through the University of Southern Maine to enter into a predevelopment agreement and to begin contract negotiations with Capstone Development Partners regarding the Career & Student Success Center and Residence Hall Project; and to expend or obligate the University to expend up to \$5.7 million, pursuant to the initial agreement with funding to be determined by the campus Chief Business Officer and University Treasurer and the final terms and conditions of the agreement subject to review and approval by University Counsel and the Vice Chancellor for Finance and Administration and Treasurer.



University Services:
Strategic Procurement

STRATEGIC SOURCING INITIATIVE :
*USM PUBLIC-PRIVATE PARTNERSHIP (P3) FOR
PORTLAND CAMPUS STUDENT HOUSING
& STUDENT CENTER*

***REQUEST FOR PROPOSAL
RFP #2020-011***

AWARD RECOMMENDATION
November 19, 2019

University of Maine System
ThinkMissionExcellence.maine.edu

AGENDA

1. Initiative Overview: Current State
2. Initiative Overview: Purpose
3. Initiative Overview: Requirements
4. Evaluation Team
5. Consensus Scoring
6. Recommendation
7. Next Steps
8. Appendices
 - A. Formula for calculating score for Value to University

INITIATIVE OVERVIEW

CURRENT STATE:

The University of Southern Maine (USM) is experiencing significant growth in enrollment. In fall 2018, USM enrolled 8,140 students across its three campuses. The growing student body is the most diverse in the state of Maine and one of the most diverse in New England. USM's student enrollment has grown since 2015, and USM aims to grow to a total of 10,000 students in the near future.

USM's 10 residence halls on its Gorham campus primarily accommodate undergraduate students. Currently there is no USM residence housing available in Portland. In fall 2018, 21% of USM's undergraduate students resided in residence halls on the Gorham campus. Almost all graduate and law students are accommodated in the off-campus market, with many living in the Portland area.

The design capacity of the Gorham campus housing portfolio is 1,180 beds as of fall 2018. The housing portfolio is typically occupied beyond its design capacity, with fall 2018 occupancy at 112% of capacity.

INITIATIVE OVERVIEW

PURPOSE:

USM would like to increase its capacity to house students and provide a residential experience for multiple class years. USM currently does not offer student housing on its Portland campus. There are limited student-friendly off-campus housing options in close proximity to the campus. The multi-family housing market is primarily focused on accommodating the residential needs of the general (non-student) population. In addition, Portland's housing market has grown and continues to grow, as evidenced by the number of units currently under construction and rising rental rates. Without appropriate and affordable housing for upper-division undergraduate and graduate students on or near the Portland campus, many USM students live within or in proximity to the greater Portland area. USM views the provision of dedicated housing on campus as an important mission-driven goal.

USM also intends to develop a new student center on its Portland campus to support USM's goals and objectives with respect to advancing student development, providing needed space for student activities, and strengthening of the USM community of residential and commuter students.

Executive Sponsor: Dr. Jeannine Uzzi: USM Provost and VP for Academic Affairs

INITIATIVE OVERVIEW

SOLUTION REQUIREMENTS:

USM is moving forward with a Public-Private Partnership (P3) model for the construction of a Portland based residence hall and student center. P3 activities include financing, design, construction and operations for:

▪ **Residence Hall**

Based on market research and student surveys conducted with P3 development advisor Brailsford & Dunlavey, the residence hall will include approximately 550 beds with a unit type distribution and target rental rates of:

- 40% Single bedrooms with en suite bathrooms: \$800 per month per occupant (Fall 2018 Dollars)
- 60% Apartment-style single and double-occupancy bedrooms (4-bed, 2-bed, studio): \$900 - \$1,200 per month per occupant (Fall 2018 Dollars)

▪ **Student Center**

To support USM's objectives for advancing student development and strengthening community for both residential and commuter students, the new student center on the Portland campus will comprise approximately 55,000 to 60,000 gross square feet and include dining, a bookstore/school store, career services, student affairs offices, and a radio station.

EVALUATION TEAM

Name	Campus/Dept.	Title
Evaluation Team		
Nancy Griffin	USM: Operations	USM Chief Operations Officer: Initiative Sponsor
Tracy Elliott	UMS: Finance	Vice President of Finance and Controller
Carolyn McDonough	UMS: Capital Projects	Director of Capital Planning and Project Management
Jeanne Paquette	USM: Aux Services	USM Vice President, Corporate Engagement & Auxiliary Services
Alexander Porteous	USM: Finance	USM Chief Business Officer
David Roussel	USM: Student Affairs	USM Interim Vice President for Student Affairs
John Souther	USM: Facilities	USM Executive Director of Facilities
Aaron Witham	USM: Operations	USM Assistant Director for Sustainable Programs
Subject Matter Experts (non-voting)		
Gretchen Catlin	UMS: Risk	Director of Risk Management and Insurance
Rudy Gabrielson	UMS: General Services	Chief Procurement Officer
Joseph Gallant	UMS: Capital Projects	Capital Planning and Project Management: USM
Paul A Kuplinski	USM: Facilities	Facilities Finance Manager: USM
Ryan Low	UMS: Finance	Vice Chancellor for Finance and Administration and Treasurer
Sara Mlynarchek	UMS: General Counsel	Assistant General Counsel
Ann Vashon	UMS: Capital Projects	Capital Planning and Project Management: USM
P3 Development Advisor (non-voting)		
Brad Noyse	Brailsford & Dunlavy	Executive Vice President
Meg Green	Brailsford & Dunlavy	Associate

Sourcing Process

- Selected P3 Advisor
 - Public Competitive Bid Process: RFP 2019-021
 - Award to *Brailsford & Dunlavey*: December 2018
- Selected Participants for Request for Proposal Process
 - Public Competitive Qualification Process: RFQ 2019-075
 - Five firms selected and invited to participate in RFP process: July 2019:
 - American Campus Communities
 - Capstone Development Partners
 - Gilbane Development Company
 - Radnor Property Group
 - RISE Real Estate
- Request for Proposal for P3 Portland Campus Student Housing & Student Center
 - RFP 2020-011 Released
 - Pre-Qualified participants notified via eMail on August 7, 2019
 - Posted on UMS public website August 7, 2019
 - Advertised in the Portland Press Herald: August 9, 2019
 - 4 Proposals received for evaluation: September 20, 2019
 - American Campus Communities did not submit
 - Reference calls completed: October 31, 2019
 - Participant on-site presentations completed: November 4, 2019

CONSENSUS SCORING

Consensus Scoring Summary Table

Criteria Category	Category Elements	Scoring (Total Possible Points)	RISE Development	Radnor Property Group	Capstone Development Partners	Gilbane Development Company
Satisfaction of the Project's programmatic goals and design requirements and USM's master planning goals as stated in the RFP	Consistency with design and programmatic goals of the Project as described in the RFP	40	28	32	37	24
	Consistency with USM's Facilities Master Plan					
	Achievement of USM's sustainability goals and requirements					
	Achievement of RFP requirements and USM goals related to the Project schedule					
	Overall proposal quality					
Viability of the proposed financial structures	Clarity and strength of the deal structures including their related impacts and opportunities as well as reversion terms	20	14	17	19	8
	Financial strength of the Developer team					
Value to USM*	Value demonstrated by room rates and revenue to the University related to the Student Housing	20	17.32	19.07	19.15	17.01
	Value demonstrated by construction costs, soft costs, and Developer's fee related to the Student Center					
Demonstration of comparable experience and qualifications in delivering the proposed Project	Experience and qualifications of the Developer team specifically relevant to proposed Project	20	14	19	18	15
	Experience in developing a comprehensive operation and maintenance plan					
	Proper licensure of the entire Developer team					
	Totals	100	73.32	87.07	93.15	64.01

* Value to the University calculated based on formula (appendix A)

RECOMMENDATION

Based on the highest consensus score and best value to the University, the Evaluation Team recommends an award to **Capstone Development Partners**.

Capstones Team includes:

- **SMRT**: Portland, ME-based firm providing Civil, Structural and MEP Engineering Services
- **Elkus Manfredi**: Boston-based firm for Design
- **PC Construction**: Portland office of Vermont-based design-builder
- **Capstone Management Partners**: Operations/Maintenance and asset management
- **Citigroup**: Tax-exempt financing bond underwriter

NEXT STEPS

- Obtain selection approval from Executive Sponsor: Completed November 15, 2019
- Post award and notify participating firms
- Begin discussion with selected firm regarding project details including:
 - Building Design
 - Sustainability Goals
 - Construction Schedule
 - Financing Structure
 - Operations
- Execute contracts for project components

APPENDICES

APPENDIX A

Formula used for calculating the score for “Value to the University”

Value to the University: Student Housing

Room Rates (7.5 points awarded to the Developer with the lowest room rates, other Developers awarded points on a prorated basis)

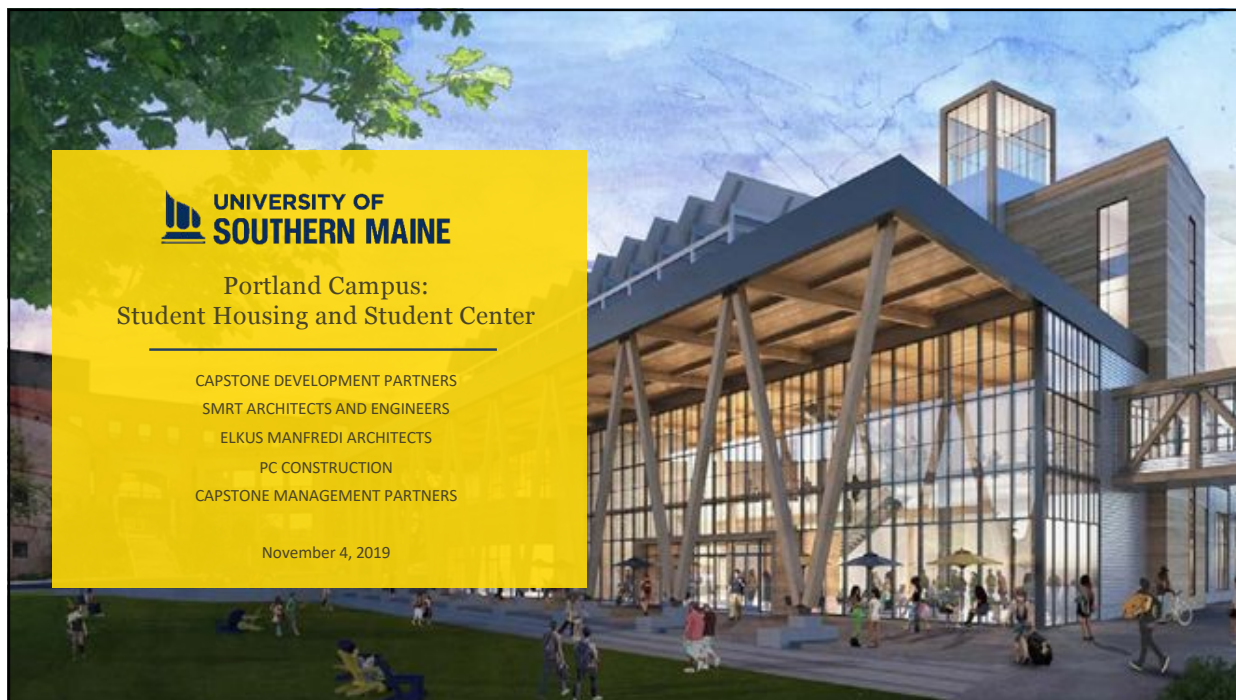
Revenue to University (2.5 points awarded to the Developer with the highest Revenue to the University, other Developers awarded points on a prorated basis)

Value to the University: Student Center

Project Cost (10 points awarded to the Developer with the lowest combined construction costs, soft costs, and Developer fees; other Developers awarded points on a prorated basis)

	Possible Points	Weighting	Total Points
Lowest Average Room Rate	5	1.5	7.5
Highest Revenue to University	5	0.5	2.5
Lowest Project Cost	5	2	10
			20

Calculation above shows highest possible score of 20 points.



THE PORTLAND PLAN

To build a sustainable, iconic academic campus in the heart of Portland enhancing the commuter experience while creating a welcoming residential community.

- USM Facilities Master Plan

Agenda – Discussion Topics

1. Introductions

- Overview of our Team and Approach
- What is Important to UMS in its P3 Partners

2. Requested Clarifications / Proposal

3. Overall Concept and Financial Presentation

- Approach to Development - Challenges and Opportunities
- Proposed Design Concepts and Construction Approach
- Operations and Maintenance / Asset Management
- Ownership and Financing Options

4. USM Questions / Summary / Next Steps

Introduction and Overview

- Pleased and excited to be shortlisted
- Understand the importance of quality and affordable undergrad and grad student housing on the Portland campus
- Strong affinity for Maine, UMS and USM
- **Our focus today: What is most important to USM in selecting a P3 partner**

What is USM looking for in a P3 Development Partner?

- Technical skills and expertise in key disciplines
- Broad, deep experience in successful P3s
- Commitment to collaboration and partnership
- Willingness to accept transfer of responsibility and risks
- An understanding and embracing of USM goals for:
 - Quality Design, Construction, Sustainability and Affordability
 - Flexible approach to financing and operations

Capstone's Highly-Qualified National, Regional and Local Team

- Capstone Development Partners - Developer
- SMRT Architects and Engineers / Elkus Manfredi Architects
- Steven Winter Assoc. - Sustainability / Passive House Consultant
- PC Construction - Design-Builder
- Capstone Management Partners - Facility & Asset Management
- Citigroup - Bond Underwriter
- Harrison Street Capital - Institutional Equity Partner
- Provident Resources, CHF, NCCD, Others - 501c3 organizations

Capstone Development Partners

One of the most experienced and capable P3 developers active in the student housing market

- Capstone Companies started 1990
- Industry leader in custom-tailored P3 housing for each institutional partner
- **Private, principal-led company** allows us to be **flexible and nimble**
- CDP Principals have over **50 years** of student housing experience
- **130+ student communities**
- **\$3.5 B** in total development cost
- **Over 44,000 campus beds** delivered
- P3's with **nearly 70 universities**



SMRT Architects and Engineers

- Multi-disciplinary industry leader with offices across the Northeast
- Focus on large complex projects with unique project delivery/design challenges
- More than 130 employees in 4 offices
- Student Life segment is led by Nick Vaughn – over 15 years of experience providing programming and design services to higher education clients
- Extensive experience for the University of Maine System
- Education portfolio includes: Sustainable design, net zero buildings and design excellence on projects ranging from residence halls to academic halls



Unity College

Elkus Manfredi Architects

- Full-service design firm located in Boston
- A firm that has been at the forefront of the planning of university-sponsored college towns
- Experience includes campus master plans, academic buildings and mixed-use student housing design
- Partnership with Capstone include new residence hall at UMass Boston and the Woodlawn Residence and Dining Hall at University of Chicago
- Member of the USGBC; Over 1/3 of EMA's technical staff are LEED professionals
- Signatory to the AIA 2030 Commitment and is working toward the goal of carbon-neutral buildings by the year 2030
- Designed 8 LEED Certified residence halls for clients like Harvard, UMass Boston and Rutgers University
- Have Passive House Certified Consultants on-staff and will be working closely with us on the USM Project



University of Massachusetts Boston

Steven Winter Associates

Passive House Experience:

- Cornell Tech – The World's Tallest Passive House Project
Roosevelt Island, NY
- 511 E 86th Street Residential Building
New York, NY
- 425 Grand Concourse Residential Building
Bronx, NY
- Sendero Verde
Harlem, NY
- Winthrop Square
Boston, MA



Lois Arena, PE
*Director of Passive
House Services*



PC Construction

- Founded in 1958 and has since grown to become a local leader in New England's construction industry
- One of the nation's largest 100% employee-owned contractors with HQ in Vermont and offices in Maine and other states and projects panning the east coast.
- Enjoys a long and productive partnership with the University of Maine System having worked on campuses in Fort Kent, Farmington, Machias, Portland and Presque Ilse
- Recent relevant student housing experience in Maine includes the Southern Maine Community College Residence Hall and the Central Maine CC Residence Hall.



Central Maine Community College

Capstone Management Partners

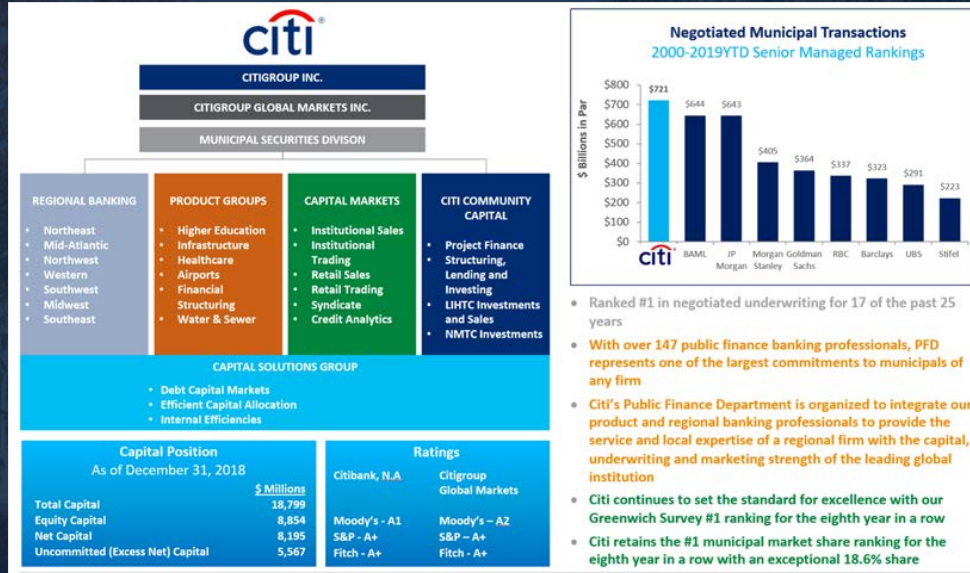
- **Capstone Development Partners' Management Entity**
- Based in Denver, CO
- Operations and maintenance management services include:
 - **Asset management**
 - **Maintenance and custodial services**
 - **Preventative maintenance programs**
 - **Capital renewal planning**
- **Led by Higher Ed Industry Veterans:**
 - **Dr. Matthew Brown** –Higher ed housing career included roles at Kansas State University, Northern Kentucky University, Oklahoma State University and Arizona State University.
 - **Jana Faro** – Previously Director of Operations, Facilities and Technology at Arizona State University overseeing facility maintenance for 14,000 beds across 5 campuses.



M@College at San Diego State University

Citigroup Overview

The Municipal Securities Division consists of four departments: Public Finance, Capital Markets (sales, trading and syndicate), Citi Community Capital, and the Capital Solutions Group



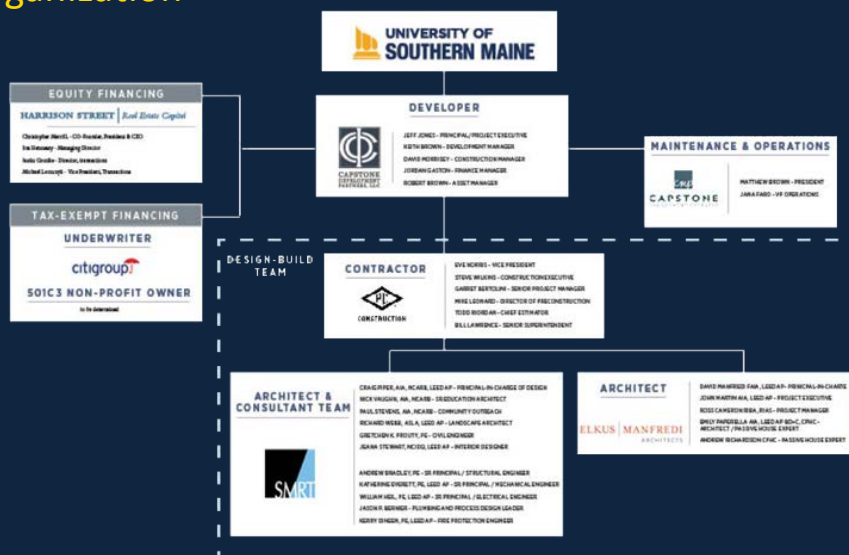
Translating these Attributes into a Successful P3 Project for USM

- Work effectively with UM System and USM Teams
- **Draw on our experience with fast track schedules**
- Secure approvals and permits expeditiously
- Operational experience to make undergrad / grad community work
- **Utilize Developer-led Design-Build for cost and schedule efficiency**
- Help vet and select the most advantageous transaction structure

Skills / Experience / Understanding to Effectively Partner with USM

- 67 Capstone / 141 Team successful university housing partnerships
- 6 Student Housing Project of the Year Awards
- 15 Capstone / 156 Team LEED Certified or Designed Projects
 - Capstone: 8 LEED Gold; 6 LEED Silver; 1 Triple Net Zero*
 - Team: 5 LEED Platinum
- UMass Boston - First Housing on Campus; First P3 for UM System
 - SHB Best P3 Partnership; Project of the Year
 - Bond-financed Housing; University-funded Dining

Project Organization



Our Team Representatives to Lead USM Project Initiative



Capstone Development Partners

Jeff Jones
Principal/ Project Executive



Keith Brown
VP/ Development Manager



Jordan Gaston
Director of Finance



CMP

Jana Faro
VP Operations



Citigroup

Archie Chandrasekhar
Director, Higher Education



PC Construction

Joseph Picoraro
Director



Mike Steding
Chief Estimator



SMRT Architects and Engineers

Craig Piper
Principal In Charge of Design



Nick Vaughn
Principal / Senior Architect

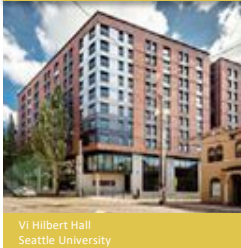


Elkus Manfredi

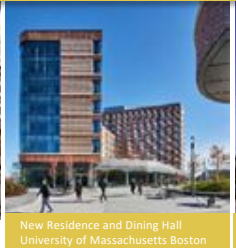
John Martin
Project Executive

An Experienced Student Housing Team

Capstone Development Partners



Vi Hilbert Hall
Seattle University



New Residence and Dining Hall
University of Massachusetts Boston



Cornish Commons
Cornish College of Arts

Capstone Management Partners



M @ College
San Diego State University



Blattner Hall
California College of Arts

PC Construction



New Residence Hall
Central Maine Community College



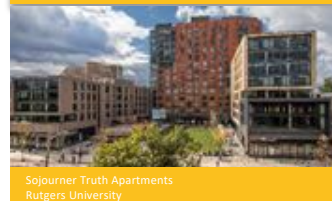
New Residence Hall
Southern Maine Community College

SMRT Architects & Engineers



Residence and Dining Halls
Unity College

Elkus Manfredi Architects

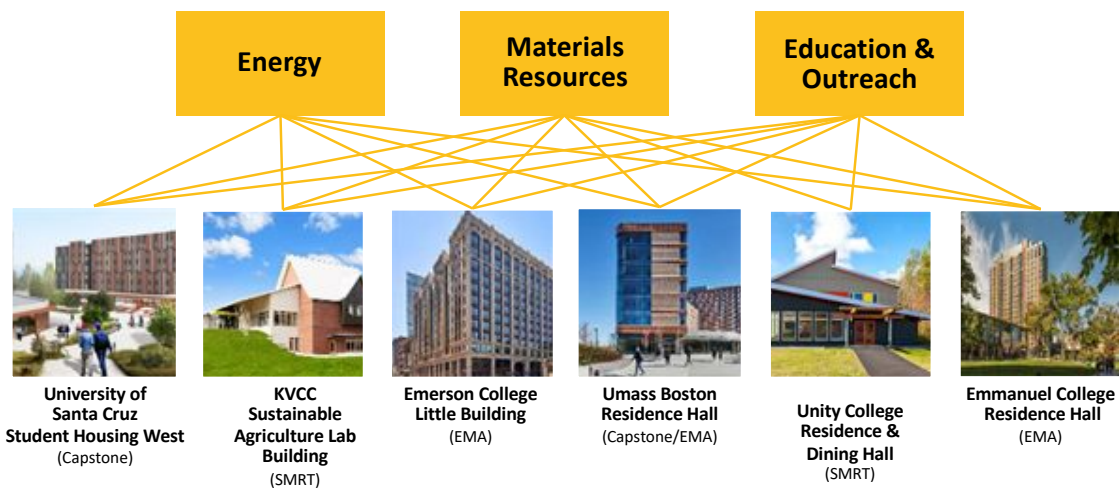


Sojourner Truth Apartments
Rutgers University

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Alignment with USM's Goals



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Sustainability

AIA 2030 Challenge

Both SMRT and Elkus Manfredi have committed to the AIA 2030 Challenge which works towards the goal of carbon neutral buildings by the year 2030.

- integrating energy analysis and metrics into your practice
- developing new sustainability approaches and creating a firm culture that exemplifies sustainable design
- benchmark energy metrics, set targets, track progress, and validate your design approach for energy savings
- combat climate change through education, energy modeling and advocacy
- be able to track your data and see your firm's impact compared to firms in your region



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Selection of Design Team's Sustainability Experience

Elkus Manfredi



New Julie Residence Hall – LEED GOLD
Emmanuel College



New Residence and Dining Hall – LEED GOLD
University of Massachusetts Boston



Sojourner Truth Apartments – LEED SILVER
Rutgers University



Continuum – LEED GOLD
Harvard University

SMRT



Sustainable Agriculture Lab Bldg NET ZERO
Kennebec Valley Community College



Fort Buchanan Directorate of Public Works
– NET ZERO



Unity College Res Halls – ZERO fossil
fuels Unity College



MaineGeneral ACH – LEED GOLD

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Unity College – America’s Environmental College

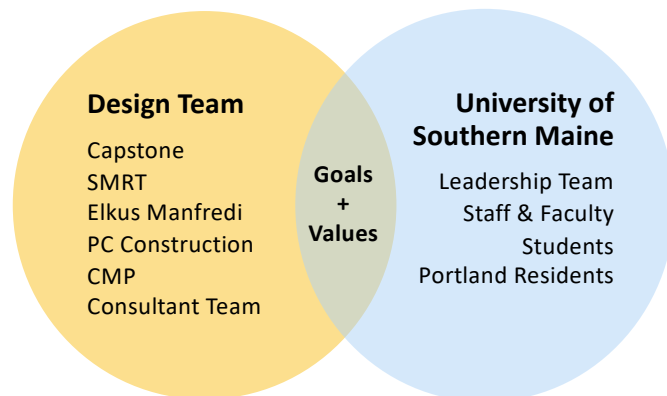


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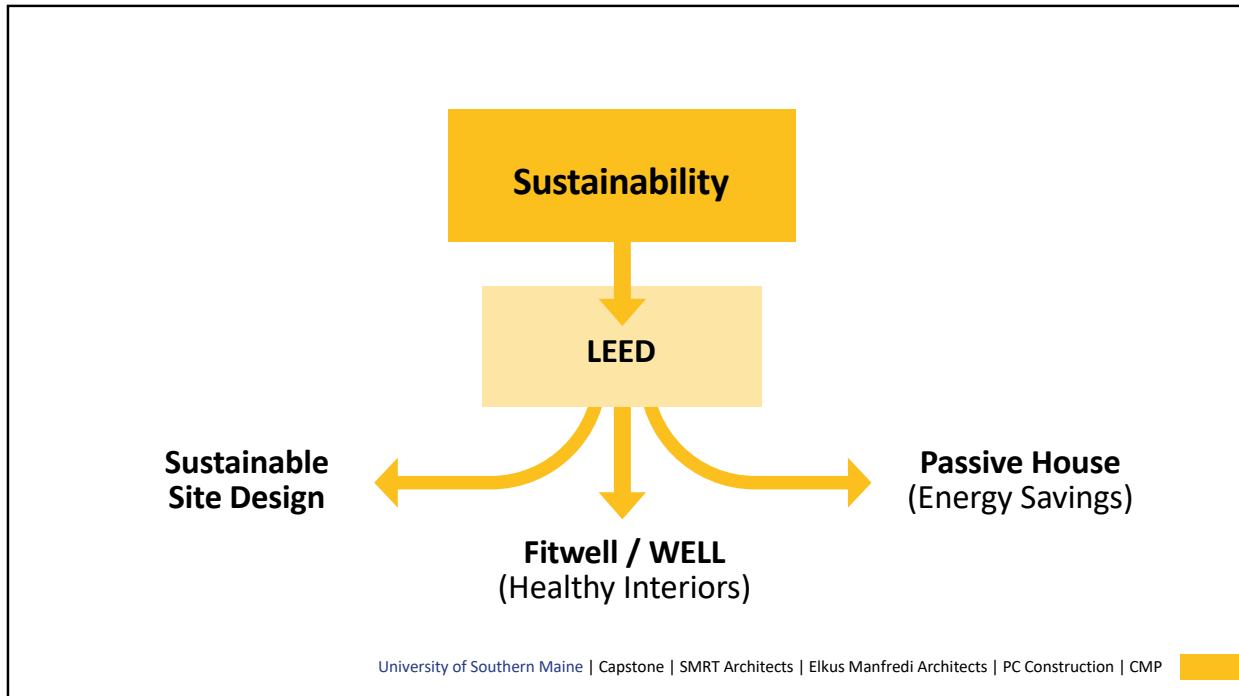
Shared Sustainability Goals

“We believe the practice of excellent design incorporates environmentally responsible design values.”

- Sustainability is not the exclusive responsibility of any one team member or consultant
- Key to success is an integrative, iterative, multi-disciplinary approach



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Passive House Principles

- Continuous insulation throughout entire envelope (no thermal bridging)
- Airtight envelope prevents infiltration of outside air and loss of conditioned air
- High-performance windows and doors
- Manage solar gains through shading
- Balanced heat- and moisture-recovery ventilation
- Minimal space conditioning system



Passive House Benefits

- Higher quality construction
- Increased resilience
- Reduced operational costs
- Reduced maintenance footprint
- Increased occupant comfort



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Student Success Center – Solar Panels

- Solar Panels are included in the development budget for the Student Success Center



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Design and Construction

Guiding Principles – Campus Master Plan



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Circulation Plan

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Site Plan

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Aerial view

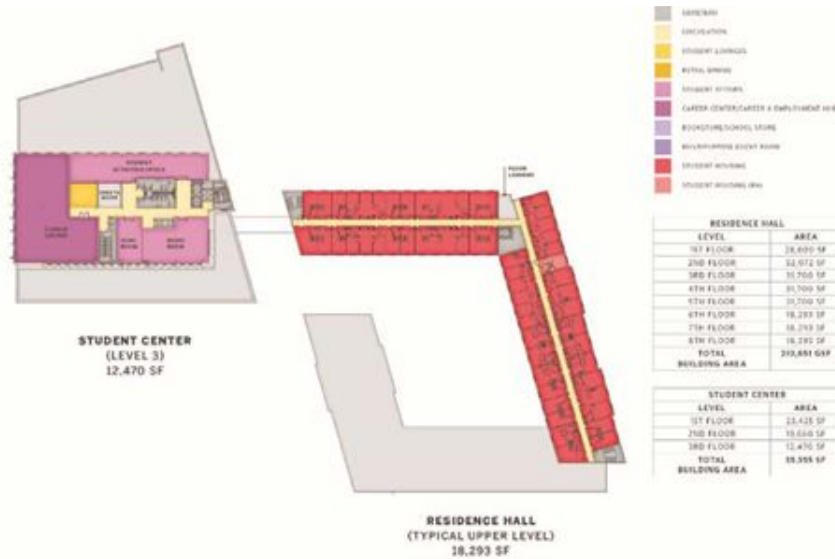
University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Floor Plan: Residential Ground Level



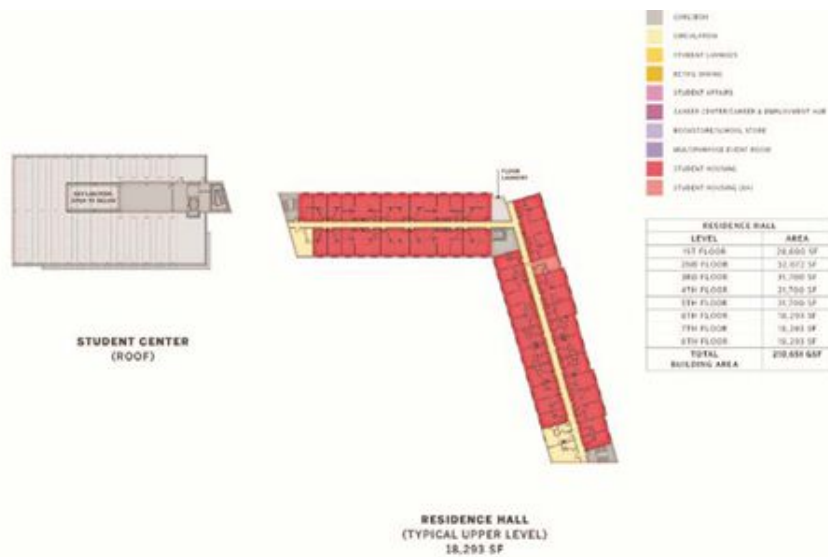
University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Floor Plan: Student Center Level 3 + Residential Level 6



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Floor Plan: Student Center Level 4 + Residential Level 7



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Unit Types



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Unit Types



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

North – South Site Section



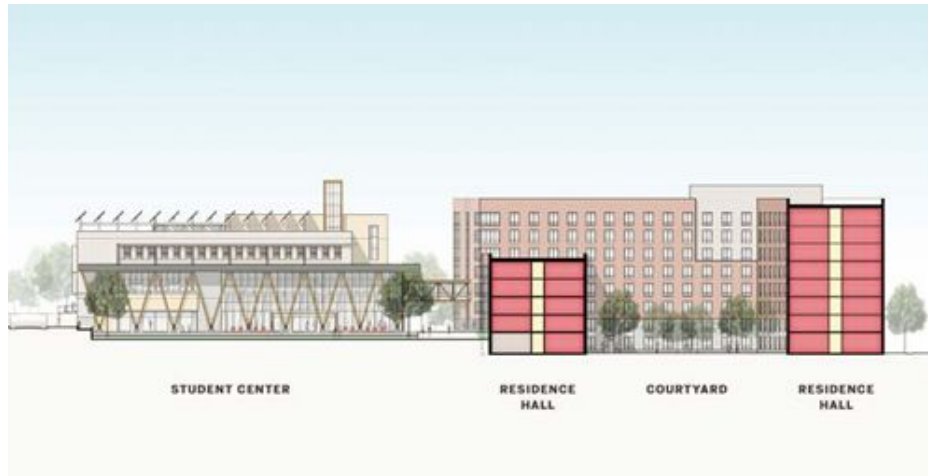
University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Student Success Center
Main Lobby

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

East – West Site Section



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



View from Bedford Street

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



View from Quad

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



View of Residence Hall from Bedford Street

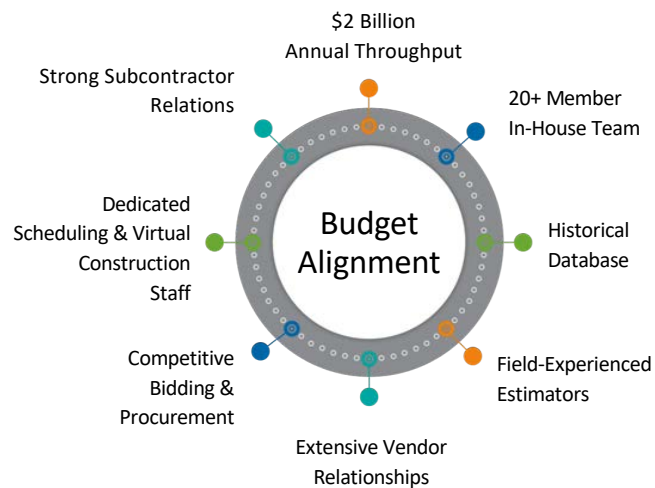
University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

The Design-Build Process



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

The Design-Build Process



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Construction Process

- Active and Vibrant Campus Setting
- Phasing and Site Logistics
- Procurement and Subcontractor Management
- Budget Management and Project Administration
- Schedule and Lean Integration



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Construction Process

- Safety, Communication and Coordination
- Quality Assurance and Quality Control (QA/QC)
- Inspections and Coordination with Local Official
- Building, Mechanical and Electrical Systems Commissioning
- Closeout and Occupancy Support



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Maintenance & Operations

Approach to Management

- Leadership
- Ensures Continuity of Service

"We are committed to helping you provide a seamless student experience and maintaining a best-in-class facility for years to come."



Management and Operations Strategy

- Collaborative Partnership
- Integrated Management Model
- Customized Approach
- Annual Budgeting Process
- Capital Renewal Planning

“CMP is focused on providing customized management services specifically for university partners who prefer to maintain control over residential life services.”



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Management and Operations Service

- **Property Management**
 - Preventative Maintenance Program
 - Service Contract Management
 - Operating Budget Facilitation
 - Facility Inspections and Coordination
 - Critical Incident Response
 - Marketing and Leasing
- **Asset Management**
 - Capital Planning and Budgeting
 - Facility Renewal Activities
 - Annual Financial Reporting



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Establishing Operations

- Start-up budget
- Transition strategy and timeline
- Staff recruitment
- Marketing and leasing plan
- Communication and collaboration
- Seamless transition for students

“CMP brings to the equation a focus on student satisfaction, customer service and an appreciation for university procedures and expectations.”



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Sustainable Operations

- APPA Level 2 and Green Cleaning
- Photo Voltaic
- Solar
- Energy Efficiencies
- Usage Meters
- Staff engagement and resident education

“CMP brings community-level engagement towards increasing literacy and participation towards the ownership of sustainable initiatives.”



University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP



Closing

Why Select the Capstone Team?

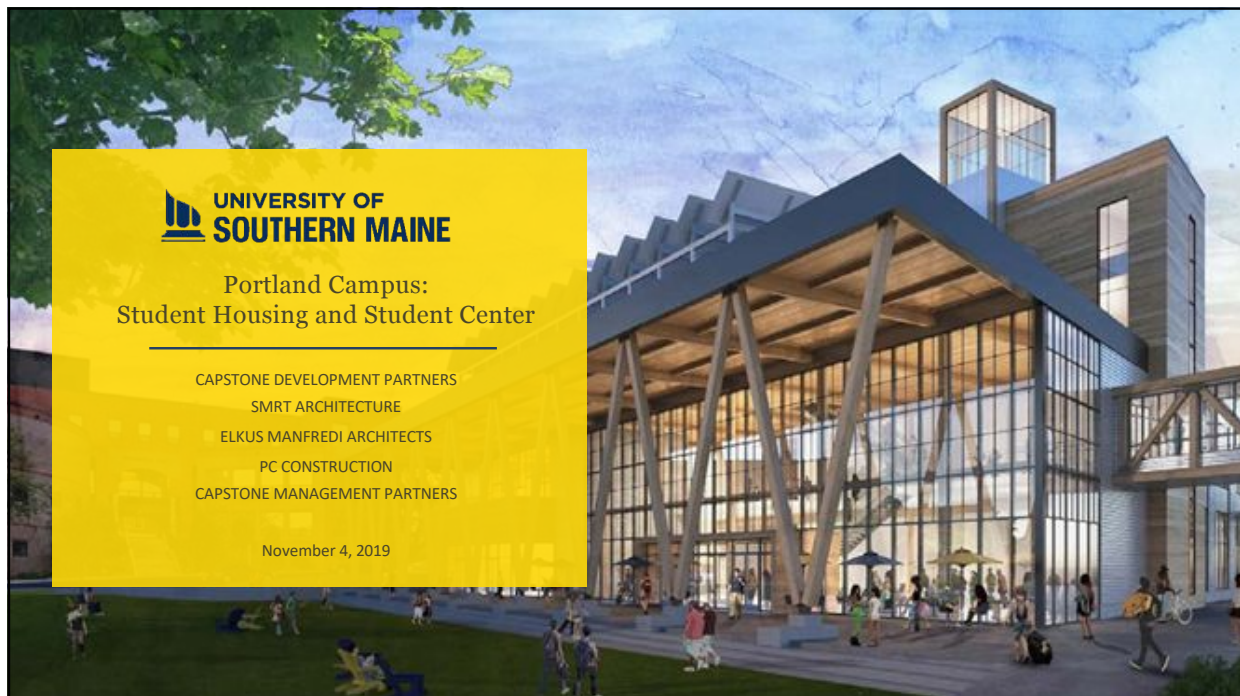
- **Our 'best-in-class' team brings a valuable combination of national, regional and local experience...**
 - The breadth and depth of a national perspective
 - The business acumen and political savvy of a regional perspective
 - The understanding of key nuances and culture of a local perspective
 - We know how to design a building in this region/climate
 - We delivered a more difficult project on a more difficult site at UMass Boston
- **We will fight tenaciously to maximize design and construction quality, sustainability and value**

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP

Why Select the Capstone Team?

- We will help USM **craft a marketable, functional, and yet affordable community** for undergrad, grad and law students, helping **balance ‘competing’ objectives**
- **Our Team has and will continue to tailor the Project to:**
 - Address/conform to USM Portland Master Plan and Program Goals
 - Meet USM’s sustainability, quality and schedule goals
 - Provide thoughtful, flexible and advantageous transaction/financing options
 - Bring our development experience and financing resources to the Project
 - Optimize development and operating efficiencies to allow **the most affordable rental rates**
 - Provide flexible and collaborative maintenance, operational and asset management options

University of Southern Maine | Capstone | SMRT Architects | Elkus Manfredi Architects | PC Construction | CMP





Proposal for a Public-Private Partnership for the Portland Campus
Student Housing and Student Center
RFP #2020-011

9/20/19





THE PORTLAND PLAN

To build a sustainable, iconic academic campus in the heart of Portland enhancing the commuter experience while creating a welcoming residential community.

- USM Facilities Master Plan

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Appendix A – University of Maine System Response Cover Page

RFP # 2020-011: USM P3 Residence Housing and Student Center

Organization Name:	Capstone Development Partners
Chief Executive – Name/Title:	Jeff Jones and Bruce McKee/ Principal Owners
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Telephone:	205-949-5060
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Email:	jjones@capstonemail.com
Street Address:	402 Office Park Drive, Suite 199
City/State/Zip:	Birmingham, AL 35223

1. This pricing structure contained herein will remain firm for a period of 90 days from the date and time of the quote deadline date.
2. No personnel currently employed by the University or any other University agency participated, either directly or indirectly, in any activities relating to the preparation of the Developer's response.
3. No attempt has been made or will be made by the Developer to induce any other person or firm to submit or not to submit a response.
4. The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.
5. By submitting a response to a Request for Proposal, bid or other offer to do business with the University your entity understands and agrees that:
 - a. The terms of this RFP document will not be modified and are thereby incorporated into any agreement entered into between University and your entity; that such terms and conditions shall control in the event of any conflict with such agreement; and that your entity will not propose or demand any contrary terms;
 - b. The RFP document will govern the interpretation of such agreement notwithstanding the expression of any other term and/or condition to the contrary;
 - c. Your entity agrees that the resulting Agreement will be the entire agreement between the University (including University's employees and other End Users) and Developer and in the event that the Developer requires terms of use agreements or other agreements, policies or understanding, whether on an order form, invoice, website, electronic, click-through, verbal or in writing, with University's employees or other End Users, such agreements shall be null, void and without effect, and the terms of the Agreement shall apply.
 - d. Your entity will identify at the time of submission which, if any, portion or your submitted materials are entitled to "trade secret" exemption from disclosure under Maine's Freedom of Access Act; that failure to so identify will authorize UMS to conclude that no portions are so exempt; and that your entity will defend, indemnify and hold harmless UMS in any and all legal actions that seek to compel UMS to disclose under Maine's Freedom of Access Act some or all of your submitted materials and/or contract, if any, executed between UMS and your entity.

To the best of my knowledge all information provided in the enclosed response, both programmatic and financial, is complete and accurate at the time of submission.

Date: 9/20/19

Jeff Jones, Principal

Name and Title (Printed)

Authorized Signature

Executive Summary

Capstone Development Partners is pleased to present this Executive Summary of our response to the RFP for student housing and a student success center on the Portland campus of University of Southern Maine ("USM" or "University"). Capstone and our team acknowledge and appreciate the unique and special attributes, location, programs and culture of USM and its growing Portland campus. We know that USM's undergraduate, graduate and professional schools attract well-qualified students from the state of Maine, New England, and from across the U.S. and the world, who come to USM to learn, grow academically and socially, and to chart the course of their adult lives and professional careers.

Capstone understands the importance – to USM and the UM -- of growing its Portland Campus to include the addition of *quality, affordable and sustainable* housing and student support facilities that will enhance the University's ability to successfully recruit, retain and develop undergraduate, graduate and professional school students. We further acknowledge the importance of Portland to the state of Maine, as arguably its most dynamic city, attracting young people and companies which are producing jobs and leading an economic and cultural renaissance in the state -- with USM among the city's most valued and valuable institutional resources.

Alignment of Public and Private Sector Goals

Our team is pleased to have been shortlisted and we very much want to be selected as USM's P3 partner. *Capstone and our team have visited the campus and walked the site together multiple times to evaluate and understand its' potential.* We have studied the RFP and have endeavored to present a thoughtful proposal for the successful delivery of the Project. We understand and have been driven in the formulation of our RFP response by a commitment to align our interests, goals and objectives with those USM has clearly articulated for this initiative, including:

- Efficient delivery of quality design and construction, ***at the most affordable rental rates possible,***
- Minimal impact on the USM's balance sheet or credit capacity from the housing component,
- Consistency with the Portland Campus Master Plan; conformity with local zoning regulations,
- Seamless integration with existing academic and institutional services and infrastructure,
- Commitment to energy efficiency and environmental sustainability, and
- Creation of a long-term, productive P3 partnership with revenue stream for the University.

While some of these goals are arguably 'competing,' we believe with the right development team working in a strong collaboration with key University stakeholders, these goals are achievable. Capstone and our team members -- several of which have worked extensively with the University and the UM System on other capital projects -- would be thrilled to partner with USM. *We are confident we can and will help USM meet its goals for the Project, which we share!* We are committed to building a mutually-beneficial, sustainable and collaborative partnership with USM, aligned around a cost-efficient, on-time, within-budget delivery and operation of the student success center and the student residential community. With respect to the student center, we pledge to be a conscientious steward of state and System resources. With the housing, our goal will be the *most affordable rental rates possible.*

A Qualified and Motivated Developer-led Design-Build-Finance and Operational Team

It will take a strong team to meet USM's objectives and expectations, and Capstone has assembled an exceptional *design-build* team, with experienced finance and operational specialists. As developer and leader of our proposed design-build, finance, and operational support team, Capstone brings to this initiative nearly thirty (30) years of experience in developing and operating student housing and related facilities, including partnerships with nearly seventy (70) private and public universities across the U.S. In helping institutions address their housing, dining, recreational, academic, and student life needs, Capstone has earned a reputation for our development and financing flexibility and creativity on multi-use projects, for our collaborative approach with our collegiate partners, and for assembling development teams well-suited for each institution and project. We are also known for delivering the highest level of design and construction quality, *balanced with key sustainability and affordability goals.*

SMRT Architects (SMRT[®]), is a respected, well-established, Portland-based firm offering the full range of architectural and engineering services, with an impressive track record of designing institutional and developer-led projects throughout New England. Boston-based **Elkus Manfredi Architects** ("EMA") is one of the premier architectural firms in the U.S., with a specialization in university work, including student housing and student life facilities. EMA adds extensive depth and expertise to our design team. Importantly, Capstone has enjoyed several successful P3 collaborations with EMA, including two large, high-profile P3 student residential and dining communities -- for UMass Boston (the first housing and first P3 on that campus), and the University of Chicago (the first housing P3 on that campus). The two firms have worked seamlessly together on the design solutions featured in our RFP response, and bring both local and national perspectives that we believe adds tremendous value for USM.

Our team's contractor, the Portland office of Vermont-based **PC Construction** ("PCC"), has a similarly extensive track record of constructing private and institutional housing and related facilities throughout New England, including

design-build collaborations with SMRT and EMA, and multiple projects for UM System institutions. PCC brings excellent local and regional subcontractor relationships, experience with community engagement and outreach, and expertise in sustainable design and construction.

Another critical member of our team is **Capstone Management Partners** ("CMP"), Capstone's well-qualified management subsidiary, led by former university student affairs and housing professionals with experience on multiple state university campuses. CMP specializes in the operation, facility maintenance and asset management of on-campus P3 housing and university-affiliated communities.

Understanding the Opportunities and Challenges Inherent in this Initiative

Our team will bring enthusiasm and tenacity to assure a timely, efficient delivery of this Project, which we know holds great promise for USM and its students. We will balance our enthusiasm, however with an awareness of the challenges inherent in developing *affordable* new housing in the 'hot' Portland market. These challenges include (1) relatively constrained site conditions and existing, nearby facilities that must remain operational through construction; (2) significant impact fees, property taxes, demolition and relocation costs which make delivering affordable rental rates more difficult, and (3) high construction costs, driven in part by a very busy regional construction market, a 'stretched' base of qualified local subcontractors and tradespeople for a project of this size, and tariff-induced cost volatility.

An important additional challenge unique to the student housing component is the need to deliver a higher number of single-occupancy apartments and/or bedrooms for the upper-division undergraduate and graduate population this community will serve. Upper-division undergraduates typically prefer single occupancy bedrooms, while graduate and professional students favor 1 BR or Studio Apartments. This number of single-occupancy *units* -- many of which have a kitchen, living area and thus require more square footage for each resident -- is harder to deliver at affordable rental rates (compared with lower-division undergrad housing serving students more willing to share a unit with roommates).

To overcome these challenges and achieve its goals for a sustainable yet affordable project, USM would be well-served to select a development partner and design-build-operational team with deep experience, resourcefulness, skill and savvy. Ideally, the selected partner and team would have strong local knowledge and relationships to facilitate the establishment of a highly-collaborative partnership with USM, and offer a qualified, creative and motivated team of architects, engineers and subcontractors *committed to bringing quality and efficiency to every aspect of this project.*

Unique Capabilities and Attributes of the Capstone Team

The Capstone Team is well-prepared, by background and expertise, to meet the challenges associated with this initiative, and to apply our local, regional and national experience and lessons-learned to add quality and value to the Project, driven by development, construction and operational efficiency. Our team's goal is the same as USM's: ***The highest quality housing (and student success center) possible, at the most affordable cost and rental rates, achieved through development and operational efficiency, energy efficiency, and sustainability.***

Transforming the Portland Campus with a Smart Approach to Design and Student Living

Capstone proposes to plan, entitle, finance, design, construct, develop, and collaboratively operate a roughly 577 bed housing community with 379 residential units, custom-designed for USM's upper-division undergraduate, graduate and professional school students. For resident convenience, value and affordability, *all residential units will be fully-furnished, with rental rates inclusive of all utilities, including high-speed internet service.*

For land use efficiency and cost-effective construction, our Proposal contemplates a three-story student success center that is functionally and visually connected to the five-to-eight story residential community. These new facilities will be located on, adjacent to and/or fronting on Bedford and Durham Streets, and the new core campus quadrangle. The new residential community will feature attractive and transparent ground floor common areas along the more public frontages, and upper floors offering impressive views of the Portland campus, the City and Casco Bay. The ground level program will feature community commons with resident amenities, resident life and management offices; and in the 'back of house' locations, building service and delivery areas. Additional attributes include:

- Each of these new facilities will feature architecturally contextual and attractive exterior and interior design, timeless and contextually appropriate materials, and buildings systems designed for energy efficiency, sustainability and life-cycle cost efficiency. The buildings will each include prominent and usable green courtyards, with appropriate furnishings, accessible pedestrian walks, bike racks and attractive landscaping. Pick up and drop off zones for residents and guests will be provided, as well as a bus stop to facilitate convenient mass transit service.
- We recognize the importance of designing and delivering these two new projects with an integrated look and feel, to create an impressive, iconic gateway to the increasingly dynamic USM Portland campus.
- Building off of statewide initiatives to benefit from Maine's wood products industry, our team is planning to use laminated timber in key public areas, supporting the goals of USM, the UM System and the state of Maine, which our team shares, to use local materials.

Unit Plan and Unit Mix: Balancing Undergraduate and Grad Student Needs and Preferences

Developing a successful residential community that integrates undergraduate and graduate and professional school students will require careful and thoughtful planning and programming, to create enough separation for the communities to have their own sense of space and identity. Subject to the opportunity for further dialogue with USM's housing and academic teams, we anticipate a development and leasing/assignment program which features the following.

Graduate Students Residential Units

Residential units designed for mature graduate students (many of whom favor single-occupancy units), in designated wings or floors that optimizes their independence from their undergraduate neighbors (*respecting the different ages, levels of maturity and lifestyles of these two groups which are traditionally not mixed in a single residential community*). Our initial thought is to dedicate the upper floors of the taller Durham Street Building for the graduate and professional school students, providing them greater independence, premier views, and ideally, distinct elevator access and community amenities.

Upper-Division Undergraduates Units

The corollary residential units for the upper-division undergraduate students will be in other designated wings or floors, primarily in the Bedford Street Building and, depending on the ratio of graduate to undergraduate residents, on the lower floors or in a distinct wing of the Durham Street Building. Again, to the extent possible, access and common area amenities will be distinctly provided to this undergraduate residential cohort. Our team's proposed unit mix includes the following unit types:

- **Single Suites** - A single-occupancy private room with en-suite bathroom.
- **Studio Apartments.** Designed for student-residents who prefer and can afford the maximum privacy of a single-occupancy apartment.
- **2 BR / 2 BA Apartments.** Single-occupancy Bedrooms, for two (2) students who prefer or don't mind a roommate to reduce their rental rate, who do not mind multiple roommates to enhance affordability, (or who prefer more social living arrangements).
- **Efficiency Co-Living Apartments.** These units are not currently included in our proposal as they were not requested in the RFP, but this is a unit type we are willing to explore with USM which may be well-suited for single, price-sensitive students who prefer not to forego their privacy for traditional apartment living with roommates. These co-living units 'live' practically like four individual Efficiency Apartments or 'Micro Units,' each with a private bathroom, sitting area and small refrigerator, yet with access for each resident to a shared kitchen/dining/living room and in-unit washer/dryer. This co-living concept is increasingly popular across the U.S., especially with older undergrad and grad students seeking affordability and privacy.

Strong Value Proposition / Attractive Unit Offerings and Price Points

Capstone and CMP believe this unit mix offers a strong value proposition to upper-division undergrad and grad students, as it results in:

- Mostly single occupancy units or bedrooms, with en-suite private or semi-private bathrooms,
- Furniture furnished in all units; kitchen appliances with W/D furnished in each apartment,
- An inclusive rental rate for all units, with utilities, internet and TV streaming included,
- Common areas/student support facilities and academic, social and recreational amenities programmed for (and by) residents and staff,
- Daily maintenance and custodial service by CMP's professional, on-site management staff,
- Academic, student development and social programming, if and as appropriate, by USM,
- An attractive and functional community quadrangle and residential courtyard, featuring grills, lawn games, and other community-building recreational and social amenities
- Sustainable design elements, including or incorporating:
 - A highly-efficient building envelope, airtight and well-insulated, with the goal of meeting Passive House design standards to the extent consistent with rental rate affordability,
 - Significantly reduced energy usage resulting from the incorporation of Passive House and LEED design principles,
 - Potentially, if economically and practically feasible, solar PV arrays on the roofs of the residential and student center buildings to achieve significant energy efficiency goals, and minimize use of fossil fuel-based energy,
 - On-site bicycle parking, and potentially bicycle, scooter and car rental stations.
- A strong physical and visual connection and adjacency between the new residential community and the iconic, dynamic student success center, each with green spaces for gathering, socializing and the establishment of a strong sense of place in the heart of this urban campus,
- Amenities designed to foster and create community among groups of student residents with similar interests and/or at similar stages in life.

Our team looks forward to USM's feedback and input to our proposed units, unit mix, and conceptual Site development plans, which we offer as a point of beginning for discussion, dialogue and collaborative refinement. With these proposed units and unit mix we have tried to strike the appropriate balance between the competing

goals of *resident independence, privacy, and affordability*. We also look forward to discussing, when and as appropriate, our proposal and plans with officials from the city of Portland, and engaging with community and neighborhood stakeholders as we listen to and endeavor to refine the Project to thoughtfully address community perspectives. Our team brings credible, respectful relationships with local Authorities with Jurisdiction, which will help streamline the approval process.

Commitments to Sustainability, Energy Efficiency

The entire Capstone Team, with dozens of LEED certified projects in our combined portfolios, is committed to the goals and principles of sustainable design and stewardship of resources, both to minimize the carbon footprint of the Project and to maximize its long-term operational efficiency (in support of our shared affordability goal, and because it is the right thing to do). We are actively evaluating the incorporation of Passive House design principles and solar/PV collection systems to improve the efficiency of mechanical and electrical systems and develop a highly-insulated building envelope. We are also striving to minimize reliance on fossil fuel-based heating sources, by utilizing electric-based systems we believe are feasible and consistent with our building design and sustainability goals. We know from decades of development and operational experience that operating cost savings, such as those realized from reduced energy consumption, have a much more positive impact on affordability than 'capitalized' or 'first cost' savings.

Disciplined Adherence to Schedule and Budget Commitments

In formulating our preliminary development and construction budgets and operating pro forma models (included herein with additional details available upon request, for further transparency, our team has grown confident that we can deliver the Project at a level of quality and cost efficiency that others will likely be unable to realistically or reliably achieve. We also believe that with thoughtful planning and design, following LEED and Passive House design principles, we can operate and maintain the new community *in a way that supports lower, more affordable rental rates -- benefiting all parties*.

If selected as USM's development partner, we will immediately begin collaborative discussions with University officials to refine our proposed plans, schedules and budgets for each component of the Project, and openly share and report our progress in adhering to those throughout the design and construction phases. We will utilize our proven, disciplined '*developer-led design-build*' and 'development management' processes and contractual format to assure an on-time and within-budget delivery, at the levels of quality and sustainability we jointly establish with USM.

¹² Capstone Development Partners

Opportunities to Improve Rental Rate Affordability

It is unfortunate that constructing, developing and operating new, well-designed and sustainable student housing of the quality institutions like USM want is so expensive in today's market. In order to achieve financeable, economically viable projects, rental rates, regrettably, get pushed higher and higher each year. To fight these trends, Capstone and our teams place great emphasis on achieving efficiency, near term and over the life-cycle of each project. We also seek with each of our university partners unique ways to improve affordability.

It will be challenging to accomplish all of the features required by the RFP and offered in this RFP response and proposal, while also making fixed, 'above-the-line' ground rent payments to USM and covering extraordinary expenses like the funding of \$2 million for the relocation of existing facilities on the Site. We will continually strive to do both, and will be forthright and 'open book' with USM in terms of the impact of each expense on rental rate affordability, economic viability and debt coverage/ROI thresholds. But we will not stop there. We also suggest collaborative explorations with USM of additional ways to improve the affordability of the student housing, particularly for the most price sensitive students. Among the many ideas we hope to explore: (1) property tax savings, through either an exemption or a negotiated payment-in-lieu-of taxes ("PILOT"), (2) the use of surplus operating proceeds to fund housing scholarships, and (3) alternative energy systems to produce energy savings.

Offering Multiple Financing Options for the Student Housing

Capstone has a track record of crafting and successfully utilizing the full range of proven and innovative financing structures and transaction options on each of our P3 projects. We evaluate and vet with our collegiate partners all viable options and nuances before customizing the transaction structure and fully engaging our finance team to execute the solution that meets all or most of the institution's goals. The options we propose in Tab 8, range from: Private, taxable equity-based funding with reasonable options for debt leverage, to tax-exempt bond financing. The debt in each case would be non-recourse to USM and secured only by the rental income generated from the housing operations. We will also look at other creative options and gradations along the 'project finance' spectrum, focusing on those that (a) require no guaranty by the University, and (b) have the least impact on USM's credit capacity/rating, and balance sheet.

Looking Ahead

The Capstone Team is pleased and honored to be considered for selection as USM's partner for this important housing and student success center initiative. *We want to be USM's partner for this Project.* If selected,, we pledge to bring to this undertaking our full resources, experience, creativity and collaborative approach to achieve the goals we share with USM, to (1) balance and optimize quality, sustainability, and affordability in the design and construction of this new community, and (2) build a successful long-term partnership of which all involved can be proud!



Project Team Background and Information



New Residence and Dining Hall at the University of Massachusetts Boston - A Capstone \ Elkus Manfredi Project

Capstone offers the University of Southern Maine ("USM") a development team with industry-leading experience, talent and creativity in all aspects of P3 student housing development, design, finance, construction and operations. Several members of this team have worked together (some extensively), on similar P3 projects, which will allow us to 'hit the ground running,' with little or no learning curve, to accomplish the goals we share with USM for the new student housing and student center on the USM Portland campus. Importantly, our team brings a valuable and deep level of local knowledge and experience, as well as a national track record to development, financing and design of signature student housing community, often combined with student life components as contemplated at USM.

As previously submitted in our Statement of Qualifications, Capstone's team includes the local/national team of Portland-based **SMRT**, in which its role will be Architect of Record and the firm will also provide civil, structural and MEP engineering services for the Project. **Elkus Manfredi**, a Boston-based architecture firm, will serve as Design Architect and Student Center specialist. Both of these firms offer talented, experienced specialists in student housing and student life master planning and design, and boast a record of successful collaborations with both developers and universities. The Portland office of Vermont-based **PC Construction** will be our design-builder, and **Capstone Management Partners** will be our team's operations/maintenance and asset management services partner.

Capstone will serve as the developer and leader of our developer-led design-build team, and as USM's point-of-contact. If equity-based financing emerges as the preferred transaction structure, we envision working with industry leader **Harrison Street**, the principal institutional equity investor with which we have worked. If tax-exempt financing is preferred, we propose **Citigroup** as the bond underwriter and either **Provident Resources Group** or **Collegiate Housing Foundation** as the 501c(3) non-profit owner.

Citi Group

Citigroup Inc. is a leading financial services company with a 200+ year history of providing a broad range of financial products and services to consumers, corporations, governments and institutions. Citigroup Global Markets Inc. ("Citi" or "Citigroup") is an indirect, wholly owned subsidiary of Citigroup Inc. Working through its Municipal Securities Division, Citi provides financing and financial support to governments so they can build sustainable infrastructure, such as housing, transportation, schools, and other vital public works.

Public-Private Partnership (P3) Experience

In addition to our work on traditional municipal bond underwritings, Citi has been integrally involved with U.S. state and local governments as well as governmental entities in financing and advising on P3 transactions for the past 30 years. Our experience exceeds 100 transactions in the U.S., running the gamut of asset classes, including student housing, transportation, conventional and renewable energy, solid waste disposal, water and wastewater collection and treatment, hotels, real estate, and air and sea ports. Citi presents considerable experience structuring P3s around unique federal, state and local tax and other requirements. This uniquely relevant P3 experience positions Citi well to act as underwriter. As a leader in P3s, Citi has considerable recent expertise in all aspects of the P3 space, including working for both public sector sponsors and private sector developers, and serving in both sell-side and buy-side capacities.

Municipal Securities Division

Citi's Municipal Securities Division ("MSD") represents one of the largest commitments to municipal securities of any firm with \$50 billion of allocated capital and 467 professionals dedicated to serving the municipal securities market. Citi's MSD platform is comprised of the following subdivisions: Public Finance Department (investment banking), Municipal Syndicate (underwriting), Capital Markets (sales and trading), Capital Solutions Group (financial products and lending), Debt Capital Markets (investor marketing), and Citi Community Capital (lending and affordable housing).

Underwriting Ranking

#1 ranked underwriter of negotiated municipal issuance in 17 of the last 25 years

Distribution Capabilities

#1 ranked municipal capital markets platform by Greenwich Associates for the past 8 years

Capital Commitment

Capacity to underwrite a single transaction of up to \$1 billion without internal approvals

Market Maker

20%-25% of the BBB+ and lower rated volume traded in the tax exempt market

Citi's rankings and success in municipal finance are a function of our comprehensive approach. MSD delivers the top ranked banking organization through the Public Finance Department, complemented by the top ranked Municipal Capital Markets platform. This approach provides our municipal clients with access to world-class products and financing solutions. We address client needs in all major sectors and geographies. The breadth and depth of our resources allow us to consistently provide superior market insight and execution and to develop innovative solutions with our municipal clients.

Public Finance Department ("PFD").

Citi's Public Finance Department has been the leading underwriter for over two decades, as the #1 underwriter of negotiated municipal bonds in 17 of the past 25 years. The unprecedented leadership is a result of Citi's ability to provide best-in-class coverage to our municipal clients. Our matrix organizational structure integrates industry and specialty groups with our regional banking offices. Issuers benefit from a group of 161 public finance and capital solutions group bankers who specialize in a variety of disciplines. We currently maintain 16 public finance offices nationwide. This approach allows Citi to provide service and local expertise with the capital, underwriting and marketing strength, and market intelligence of one of Wall Street's largest firms.

Provident Resources Group

Provident Resources Group Inc. (Provident), based in Baton Rouge, LA, was founded in 1996 and is an established national 501(c)(3) organization committed to the development, ownership and operation of state-of-the-art facilities across the country that serve to advance education, lessen the burdens of government, promote healthcare, meet the needs of the elderly and relieve the poor through the provision of safe, decent and affordable housing.

Over the past decade, Provident has served its missions in over 17 states. In serving its multiple missions, Provident has accessed approximately \$3 Billion in capital from the private and public markets and assembled an asset base of approximately \$1.35 billion. Provident is led by a talented senior management team of professionals that includes experienced lawyers and CPAs seasoned in the area of tax-exempt financing for public institutions and nonprofit organizations who are focused on serving the missions of Provident in communities across the United States through socially responsible community development. Furthermore, Provident is guided by a diversified national board of directors experienced in higher education, finance, investment banking, venture capital funding, law and government administration.

Within its Education Resources Division, Provident has collaborated with a number of colleges and universities across the country to address a variety of infrastructure and program needs, including housing, dining halls, recreation and wellness centers, office and retail space and parking. Through such efforts, Provident has participated in the development, financing and operation of over 10,000 beds of student housing. *Provident is the 501(c)3 non-profit owner of 5 of Capstone's on-campus student housing developments. Most recent of which is the new 1,077-bed residence and dining hall at the University of Massachusetts Boston, completed in 2018.*

Key Personnel

Steve E. Hicks, President and Chief Executive Officer - Steve Hicks is the Founder of Provident. Mr. Hicks practiced law for over 25 years prior to founding Provident, specializing in the area of public finance with additional concentration in the area of legislative law. Mr. Hicks participated in many public finance issues over the past 25 years in a variety of roles including bond counsel, underwriter's counsel, and counsel to the bond issuer.

Debra W. Lockwood, Executive Vice President, Chief Financial Officer - In addition to Ms. Lockwood's EVP and CFO role, she also serves as President of Provident Senior Living Resources LLC. Since 2002, Ms. Lockwood has been a member of the Provident senior management team, responsible for financial oversight and the development and implementation of strategic and operational initiatives.

Collegiate Housing Foundation

Collegiate Housing Foundation is a non-profit 501(c)(3) tax exempt organization established in 1996 for the sole purpose of assisting colleges and universities in acquiring or developing student housing facilities. Founded in and still based in Fairhope, Alabama, the Foundation pioneered the financing of student housing facilities by a third party non-profit thereby giving it extensive experience and a national profile in the student housing space. To date, it has undertaken to own, finance, construct and operate 60 student housing facilities of almost 40,000 beds in 24 different states for 46 different schools for total project costs exceeding \$3.1 billion. While its primary focus is and has always been student housing, its mission has expanded to include owning and financing other kinds of campus facilities and to incorporate limited retail space into those facilities.

Collegiate Housing Foundation is the 501(c)3 non-profit owner of 12 of Capstone's on-campus student housing developments.

Key Personnel and Executive Staff

William B. Givhan - President and Chief Executive Officer

Brian Blakeney - Chief Financial Officer

Janet Brown - Vice President for Administration

Bradley Arant

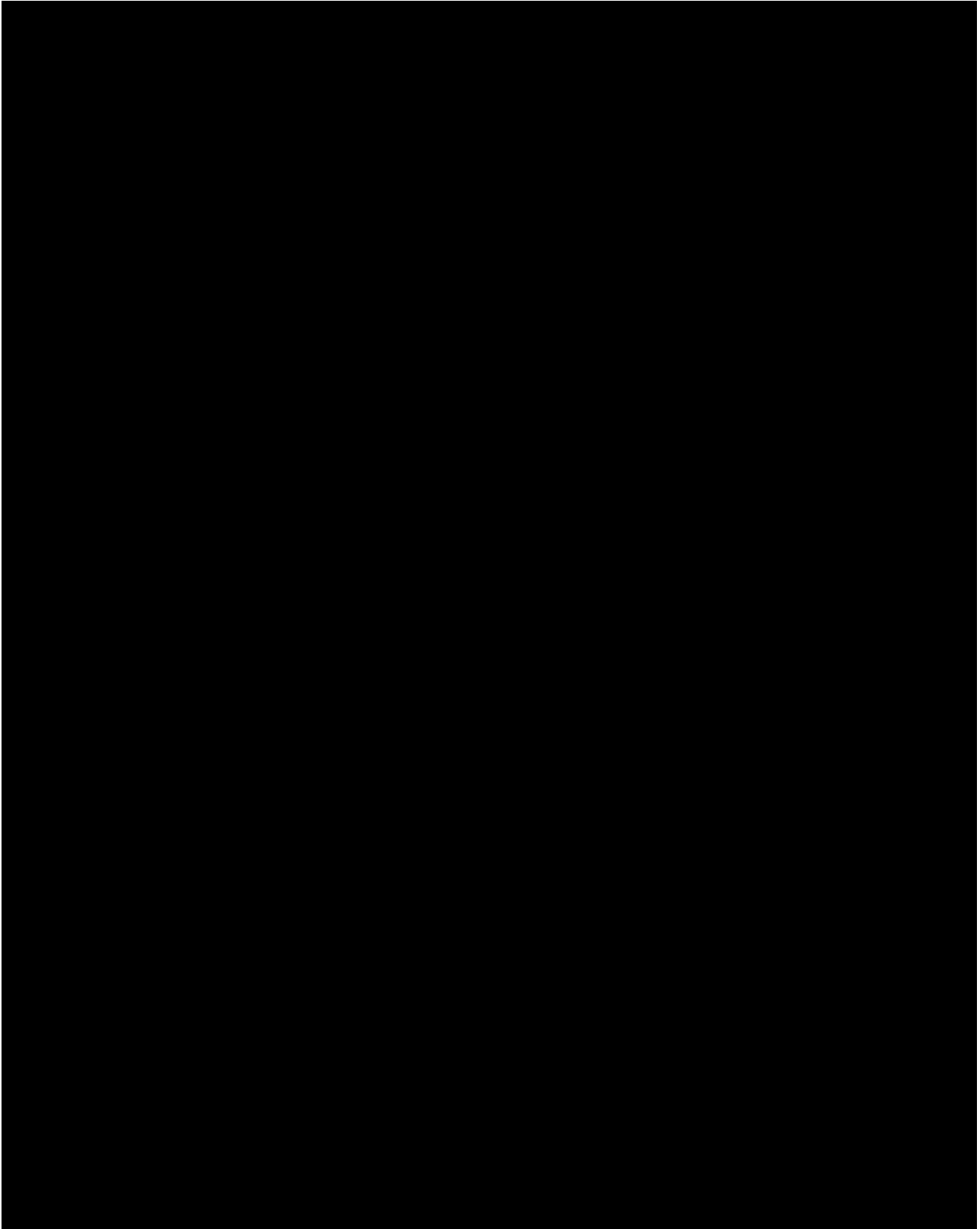
Capstone would likely engage Bradley Arant for our legal team. Founded in 1870 in Elyton, AL, Bradley is a national law firm with a reputation for skilled legal work, exceptional client service, and impeccable integrity. The firm's 10 offices are located in Alabama, Florida, Mississippi, North Carolina, Tennessee, Texas, and the District of Columbia, giving them an extensive geographic base to represent clients on a regional, national, and international basis.

Key personnel at this firm are Dawn Sharff and James Webb.



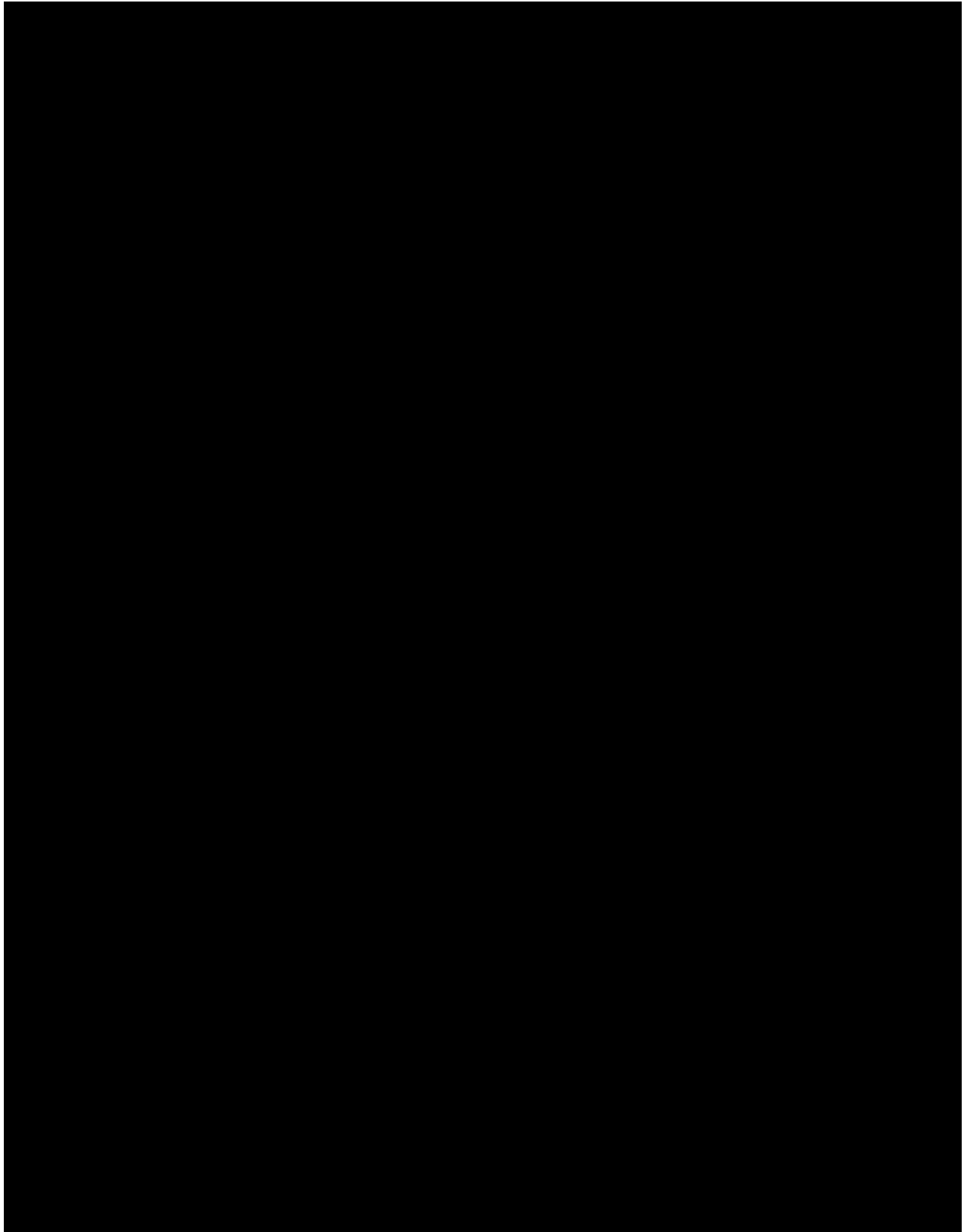
CONFIDENTIAL

University of Southern Maine
Appendix D-3 - Student Housing Project Assumptions Matrix



CONFIDENTIAL

University of Southern Maine
Appendix D-3 - Student Housing Project Assumptions Matrix

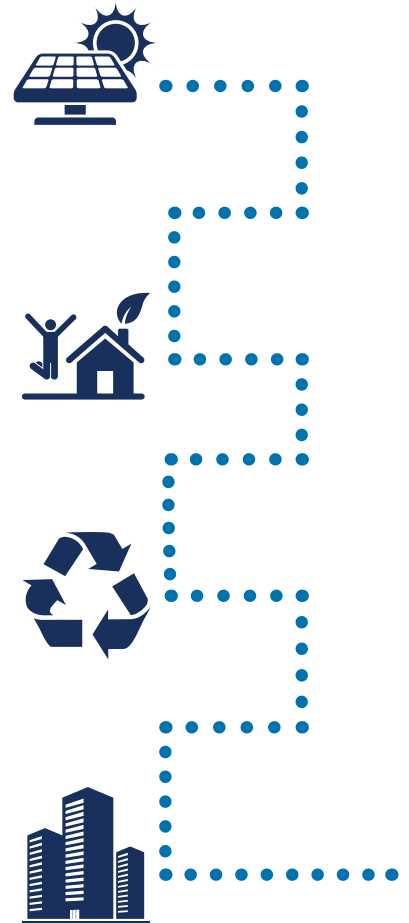




Sustainability

The planning and design work of the Capstone team is founded on the conviction that the quality of our environment regularly and significantly impacts the quality of our lives, as well as the activities that comprise our daily routines. Sustainable design addresses all of the components that come together to make up any type of building or campus — the ecology of the buildings, the character of spaces formed, the materials used, the activities housed, and the resources used. We believe the practice of excellent design incorporates environmentally responsible design values. We propose that the USM Student Success Center and Residential Community projects should seek to achieve goals in which the following values are embedded:

1. **The buildings will be resource-efficient.** Buildings generate nearly 40% of annual global Greenhouse Gas emissions (*Source: Global Alliance for Buildings and Construction 2018 Global Status Report*). These emissions are not only from operational energy use, but also include embodied carbon in construction materials. The two buildings will be designed with the priority of creating an energy efficient envelope combined with systems that minimize operational energy needs. A sustainable product lifecycle will be key for systems design and materials selection, with consideration given to embodied carbon when selecting materials and minimizing waste -- a key goal during construction.
2. **The buildings will actively support health and wellness for students, faculty, employees, guests, visitors, and neighbors.** Because we spend 90% of our time indoors, toxic materials, poor air and lighting quality in buildings can have a significant adverse impact on our health and well-being. The USM project design will incorporate healthy materials and design features that foster the overall health and wellness of the occupants.
3. **The buildings must be flexible and adaptable.** Significant carbon emissions are wasted when buildings are torn down. Usually this is not because they are worn out, but rather because they have become obsolete. Designing versatile buildings that can be reinvented in ways unimagined by the original designers and developers will contribute to a resilient campus.
4. **The buildings must be durable and maintainable.** In order to achieve the long lifespan desired, the building structure must be robust. Different building components have different life spans, with structures that might last 100 years or more, mechanical systems that can last 20-30 years, and yet IT systems or components could be obsolete in as little as 5-7 years. We recognize these timetables and will design the buildings to ensure that systems can be replaced as needs warrant. We also emphasize that all systems will be maintained and operated as required to achieve top performance and energy efficiency, with meticulous planning by Capstone's asset management division to ensure reserve funding is sufficient to carry out the long-term capital repair and replacement plans.



Our team understands that ***sustainability is not the exclusive responsibility of any one team member or consultant.*** As a collaborative team, we define sustainability as a core value shared by all, and this inspires work across all disciplines. ***The key to success is an integrative, iterative, multi-disciplinary approach.*** Adopting a socially responsible, highly collaborative, integrative design and construction approach – including the public and private partners in this P3 -- will enable this project to achieve high levels of sustainable, energy-efficient design.

Our team is well versed in multiple sustainability rating systems, and will implement them to the benefit of USM. We acknowledge and understand that rental rate affordability is a key USM and Capstone team goal for this project, and accordingly we have established our minimum sustainability certification target for the project to be LEED Silver. To the extent economically feasible in balancing the affordability and sustainability goals we share, we will incorporate principles from PassivHaus, WELL, and LEED in a good faith effort to achieve a project that uses 70% less energy when compared to the national average for similar buildings. In fact, Capstone and our team has already identified two options for add-alternate upgrades to windows to enhance our envelope, and we are cautiously optimistic that we will be able to incorporate upgraded windows into the base project once we can complete an energy model during the design phase and confirm off-setting utility expense savings in our Operating Budget.

Sustainable Design Experience

In total, the members of the Capstone team have completed 90 LEED certified projects, and are well-versed in LEED requirements. Furthermore, each member of this team brings targeted sustainability credentials to the USM project.

- ***Capstone Development Partners*** holds a corporate commitment to develop each of its projects to LEED Silver standards, even if the project does not go through an official LEED certification process. In fact, Capstone has made it a consistent goal to exceed the sustainability target established by our university partners.
- ***SMRT*** is committed to optimizing building performance and sustainability by applying building science knowledge to inform design decisions impacting environment, resource uses, building materials and enclosure. In-house LEED APs and Certified Energy Managers embrace LEED standards and the WELL Building Standard, emphasizing the belief that healthier buildings translate to healthier people.
- Finally, ***nearly half of Elkus Manfredi's technical staff are accredited LEED professionals, including 85 LEED APs, 4 WELL APs, 6 Fitwell Ambassadors, and 2 Certified PassiveHaus Consultants (CPHCs).*** The firm is at the forefront of sustainable design, with ***8 of its 60 LEED projects at the Platinum-certified level.*** Elkus Manfredi has also signed on to the AIA's 2030 Commitment and has a rigorous process of early performance modeling to optimize design.

Specific highly sustainable buildings that the team has recently completed are provided on the following pages.

Residence and Dining Hall at UMass Boston | LEED Gold

The Capstone team, including Elkus Manfredi, developed a new 1,077-bed residence and dining hall on the University of Massachusetts Boston campus, completed in August 2018. The team targeted a LEED Silver certification for the new Dining and Residence Hall project, however through hard work and dedication of all involved in the project, the team was able to exceed the initial target while staying on schedule and on budget, achieving **LEED Gold** certification from the U.S. Green Building Council (USGBC) in early 2019.

By implementing practical and measurable strategies and solutions, the UMass Boston Residence and Dining Hall achieved high performance in sustainable site development, water savings, energy efficiency, materials selection and indoor environmental quality. Some of the sustainable strategies and project attributes that helped the project achieve this level of certification include:

- Site location is on land that is considered a brownfield redevelopment.
- A water savings of 34%, achieved by using low-flow showers, faucets, etc.
- An energy cost savings of 26.8%, achieved through the implementation of a high-performance building envelope, energy recovery units, hot water efficiency, and 100% LED lighting.
- Cool roofing and hardscape materials used to reduce the heat island effect.
- 82.43% of construction waste was diverted from landfills.
- CO2 sensors in high occupancy spaces
- Use of low or No VOC paints, coatings, adhesives and sealants.
- All flooring systems meet low emitting standards like Green Label Plus
- Wood products do not contain added urea-formaldehyde.

Development site features:

- Location in an area of high density and connectivity to the community.
- Access to public transportation and hybrid vehicle sharing program.
- 56% of open space on the site is vegetated.
- Native and drought-resistant plants used for landscaping, thus eliminating the need for irrigation.

Materials and Resources:

- 30.6% of construction materials contained recycled content.
- 29.6% of construction materials were manufactured regionally.
- 72% of wood products were sustainably harvested and FSC certified.

Indoor Environmental Quality

- Spaces have individual control for lighting and heating and cooling.



Through hard work and dedication of all involved in the UMass Boston project, the team was able to exceed the initial LEED Silver target while staying on schedule and on budget, achieving LEED Gold certification.

Emmanuel College New Julie Residence Hall | LEED Gold

Elkus Manfredi designed a new 688-bed residence for Emmanuel College located in the heart of the Fenway in Boston. Also completed in August 2018, the design team initially targeted a LEED Silver certification for the project. Through early involvement of the entire design team and strategizing with Emmanuel College on efficiency and sustainability goals, the project quickly shifted toward higher LEED targets while staying on schedule and on budget, ultimately achieving LEED Gold certification from the U.S. Green Building Council (USGBC) in 2019.

Some of the sustainable strategies and project attributes that helped the project achieve this level of certification include:

- A water savings of 46.29% which is achieved by using low-flow showers, kitchen and lavatory faucets, toilets, and urinals.
- An energy cost savings of 32.7%, achieved through the implementation of a high-performance building envelope, high efficiency condensing units and chillers, DOAS systems with energy recovery, demand control ventilation and LED lighting as well as other efficient equipment specifications.
- 93.7% of construction waste was diverted from the landfill
- Low VOC paints, coatings, and flooring.



Kennebec Valley Community College Sustainable Agriculture Lab Building | Net-Zero Energy

The first new building on KVCC's Harold Alfond campus, designed by SMRT, the Sustainable Agriculture Building integrates experiential learning, sustainability, the farm-to-table movement, and philanthropy as a part of its mission. A model for future campus development, the building includes food processing and testing labs, general classrooms, and a lecture hall. Adhering to a precise construction budget, the design team achieved near **net-zero performance** by designing a tight building envelope, using energy modeling, and coupling a 10,000-square-foot photovoltaic array to a ground-coupled geothermal system.



Ft. Buchanan Directorate of Public Works | Net-Zero Energy

Working with limited bridging documents and a constrained timeframe, the SMRT team designed and engineered three major buildings at this replacement DPW complex. The design-build project included an administration building, shops and warehouse facility, and an entomology building – all of which are Department of Defense Anti-Terrorism Force Protection (ATFP) compliant. Multiple sustainability initiatives inform the design: a tight building envelope, high-efficiency interior and exterior LED lighting, a 250 kw photovoltaic array to harvest abundant sunlight, and underground rainwater storage for non-potable usage. The project received LEED Gold certification and reached **net-zero energy performance**.



Unity College Residence and Dining Halls | Zero Fossil Fuels

Through its ongoing engagement with Unity College, SMRT has shaped a contemporary-built campus environment that reflects the sustainability ethic of “America’s Environmental College” and supports its growing enrollment. The design team helped Unity step away from fossil fuels by incorporating photovoltaic arrays, a wood pellet boiler, and air-to-air heat exchangers. Sourcing materials with low-embodied energy added another level of sustainability to the project. Dining Hall artwork and interior finishes celebrate Unity’s farm-to-table approach.



Rutgers University – Academic Building, Honors College, and Sojourner Truth Apartments | LEED Silver

Elkus Manfredi provided planning and design services for three new projects significantly expanding Rutgers’ 250-year-old campus. The projects are the result of a public-private partnership between the University and a not-for-profit development corporation with the goal of designing a boundless living/learning environment for students within the context of the surrounding campus. The Academic Building is constructed of recycled materials and using low-emitting VOC materials, the building is incredibly energy and water efficient. Due to elevated usage of the building, particularly the high-density classroom spaces, the sustainability engineers installed specialized mechanical systems to properly vent the building, ensuring that the classroom spaces were not over-ventilated when not in use or under-ventilated when high occupancy classes were in session. The residential buildings were designed with floor-to-ceiling windows for maximum exposure to natural light, and within the units, operable windows provide natural ventilation and reduce the need for artificial heating and cooling. Lighting utilizes LED and compact florescent fixtures and water use is reduced due to highly efficient shower heads, toilets, and sensed faucets.



Harvard University – Continuum | LEED Gold

Composed of two residential buildings on a retail podium with one level of below-grade parking, the off-campus housing at Continuum contributes to the public realm with three new public open spaces. Connecting the residential buildings is a 20,000-square-foot green roof with extensive planting beds for resident gardens. The project designed by Elkus Manfredi includes a high-performance building envelope with high energy savings created by reduced glazing to façade area, natural ventilation in all units, energy recovery in common areas, and optimized lighting controls. During construction the project saw a 95% diversion rate of materials.



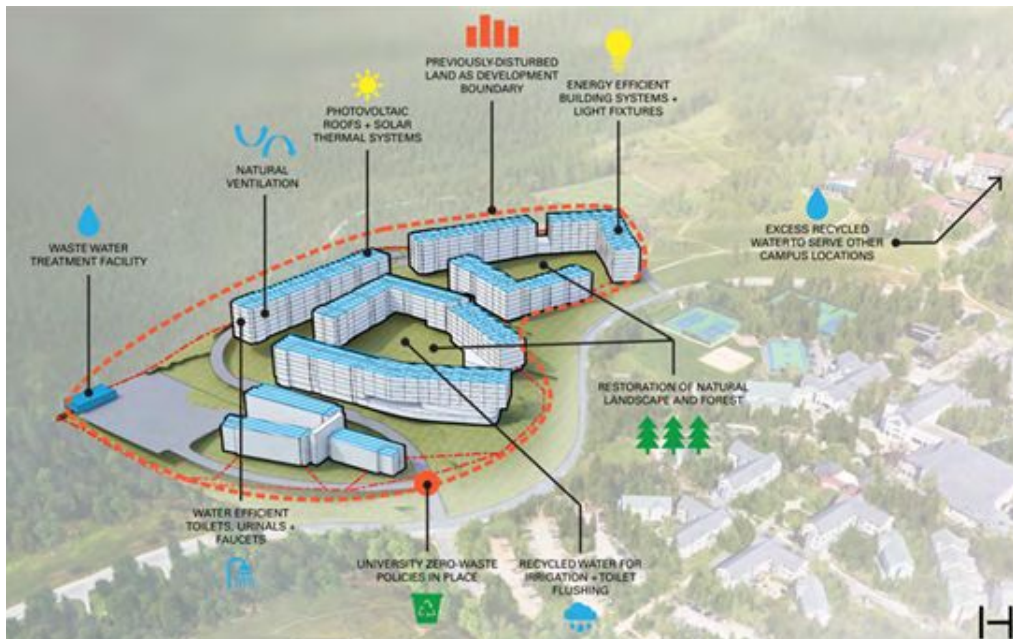
University of California, Santa Cruz – Student Housing West | Triple Net Zero Strategy

In 2017, Capstone was selected to develop a multi-phase student housing project in a public private partnership with the University of California Santa Cruz. The project, named Student Housing West (“SHW”) is one integrated project serving three unique communities and located on two sites, the 17-acre Hagar Site and the 13-acre Heller Site. Upon its completion over the course of the next 2-4 years, SHW will consist of 3,072 beds of housing for upper division undergraduates, graduates and students with families.

Sustainable Goals and Features – Using Nature as the Guide

The Student Housing West project represents a new chapter in the development of the UC Santa Cruz Campus. The Capstone team sees the sustainability aspirations of the project as the single most-compelling and unifying principle in creating this sense of identity and community. How sustainability is translated into planning and design, construction and operations follows what the land suggests and provides for - and like the campus' first visionaries, the Capstone team looks to the land for inspiration and guidance.

The project will meet the minimum requirements of LEED Silver and aspire to go beyond. With the project currently in design and pre-development, accomplishments of the project to date include validation through the LEED v4 Multifamily Mid-Rise rating system, using a campus/group approach to certification. Based on the project's use of biomimicry as a guiding principle in the site design, anticipated triple net-zero performance and healthy interior environmental strategies, the project achieves a high rating within Gold certification. Additional credits have been identified for further consideration and development with the University team, *with an end goal of Platinum certification.*



Sustainability Diagram
for Student Housing West

A Pathway to Triple-Net-Zero – Efficiency, Infrastructure and People

Owing to the imperative of sustainability in defining both the identity and affordability of the project, Capstone set the bar high. Our proposal is founded upon the goal of achieving a Triple-Net-Zero level of performance across the development (Zero-Net-Carbon, Zero-Net non-potable water and Zero-Net-Waste).

Achieving net-zero energy, water and waste follows a simple formula: efficient buildings and site, innovative infrastructure and demand management. The Capstone team approached this formula with the understanding that efficiency is always the place to begin. Use less first. Use less energy, use less water and consume less materials. Modern green building design and construction techniques have made tremendous strides toward using less, however achieving net-zero requires more. Innovative infrastructure, like renewable energy, solar heat recovery and non-potable water recycling allow developments to push beyond the level of performance achievable through efficiency alone. Demand management systems, including smart metering, catalytic communication technology (dashboards, website, social media) further help inform and influence tenant choices and behavior, further reducing resource consumption to achieve the UC system's metric of Zero-Net Waste.

Our architectural design and planning process accommodates pre-sorting of materials through multiple vertical chutes through buildings and provides an on-site composting area. Throughout design and construction, the development team will collaborate with the UC Santa Cruz Student Environmental Center to promote the educational aspects required to achieve Zero Waste. In partnering with Campus Resource management and CHES, the Operations team will ensure continued practice and engagement of residents.

Given the Capstone team's experience grappling with and achieving net-zero project goals, this formula of building and site efficiency, innovative infrastructure and demand management has proven the right framework to achieve triple net-zero goals for energy, water and materials management, on this project.



Student Housing West at
UC Santa Cruz

Achieving Reduced Energy Loads

The Capstone team has extensive experience working with our University partners during the project delivery process to look beyond the initial project costs and examine the long-term ownership costs associated with new building projects. We will assist USM in examining and appropriately balancing first-costs (design and construction expenses), with improved long-term building performance (utilities, operations, and maintenance). During the design process, we work with our team and campus partners to review mechanical systems and building envelope and finish materials to identify performance standards and life cycle expectations. We are committed to making informed decisions at the project level that ensure the highest possible value is delivered in balance with efficient operating costs and appropriate capital renewal expectations over the life of the project.

Through a life cycle cost analysis, we will evaluate the economic performance of our new P3 facilities over their planned useful life. This strategy balances initial monetary investment with the long-term expenses associated with owning and operating the facility. This approach assumes there are that multiple building design options that can successfully achieve the programmatic needs and performance expectations for the project. Among these options, there are differing initial, operating, and maintenance costs as well as varying life cycles for core building systems. For example, as we work with USM to assess the different mechanical system options, we will provide estimates for the total cost of each option, including initial construction, annual operation and maintenance, and replacement costs. By comparing the life cycle costs of various design configurations, we can thoroughly explore the potential trade-offs, identify the most cost-effective options, and determine the “pay back” of incremental increases in initial cost.

Maximum Impact – Minimum Resources

Throughout the course of the project, the design team will routinely evaluate building system options for optimal performance, including steam-to-hot water conversions and system and equipment comparisons based on first costs and life cycle costs to guide USM in making informed decisions. The team utilizes Trane Trace and Sefaira software to model, design, and predict building energy use and overall performance.

Systems will focus on maximizing energy performance while maintaining robust, time tested equipment. To the extent feasible given corollary affordability considerations and goals, we will consider options that go beyond fossil fuels, having designed biomass fuel systems utilizing pellets and bole wood chips, solar PV, solar thermal, geothermal, combined heat and power, and other innovative technologies.

Representative examples of reducing energy loads are provided on the following page.

University of Maine Energy Infrastructure

At UMaine's Orono campus, SMRT conducted an energy feasibility analysis and the subsequent design for the connection of a new 600 kW back pressure turbine system to the campus electrical grid. The turbine harvests available steam energy and stores it for use as demand fluctuates from summer lows to heating season highs. This specialized configuration resulted in a payback of installation cost in less than four years.

Union College - Science and Engineering Laboratories

To maximize energy savings potential, two energy recovery heat exchangers were incorporated into the renovation of the mechanical room that houses all air-moving equipment for the college's engineering labs.

Marine Research and Education Center, Gulf of Maine Research Institute

This new 44,000-square-foot research lab incorporates significant energy reduction measures. A laboratory heat recovery system recycles approximately 80% of the energy associated with laboratory exhaust/fume hood systems. Water is heated using a low-temperature differential system that is approximately 97% efficient.

Androscoggin Valley Hospital Biomass Plant

Faced with rising fuel oil costs, AVH looked to hardwood chips as an economical energy source that would boost the local economy. SMRT evaluated the existing heating and cooling plants, conducting an energy balance to determine the appropriate biomass boiler plant size and related energy components that are cost viable. AVH's goal is to completely offset their fuel oil consumption with the new plant.

Experience with University of Maine System General Building Standards

As lead designer, SMRT enjoys an excellent, on-going relationship with the University of Maine System. Having worked with the University of Maine System for nearly **3 decades on more than 100 projects**, SMRT is experienced in delivering the general building standards outlined by UMS. Recent experience with UMS includes, but is not limited to:

University of Southern Maine

- Costello Fieldhouse
- Master Hall Nursing Center
- Maine Brooks Student Center
- Russell Hall Exterior Improvements
- Science Building Renovation
- Robie-Andrews Hall Water Infiltration Mitigation
- Baseball Stadium Upgrades

University of Maine

- Memorial Gym and Field House
- Alford Wind & Wave Ocean Engineering Laboratory
- Forest Bioproducts Research Institute
- Energy Study and Backpressure Study

University of Maine Augusta

- Jewett Auditorium Reno

University of Southern Maine Lewiston-Auburn

- Campus Reno

Tab 5: Graphic Documents & Renderings



Graphic Documents and Rendering

Student Success Center and Residence Hall

Siting of the Student Success Center and Residence Hall generally follows concepts established in the USM facilities master plan. The new Residence Hall anchors the project at the corner of Durham and Bedford streets. The Student Success Center is set back from Bedford Street at the top of the site incline and works in concert with Masterton Hall to the west and the new Residence Hall to the east to establish the edges of a new campus Quad. The Residence Hall massing is comprised of two interlocking buildings that create an interior courtyard for the semi-private use of the residents. The taller eight story portion of the Residence Hall is held back from Bedford Street with the smaller five story portion lining Durham and Bedford Streets. The height and scale of the Residence Hall on Bedford Street is in keeping with the Wishcamper Center on the opposite side of the road, framing this important street and creating a gateway arrival from the east.

Student Success Center

The Student Success Center faces the new quad with a formal covered portico that runs the entire length of the building, facing south. The portico stitches together pre-established campus circulation patterns from the west through Masterton Hall and terminates in the courtyard of the new Residence Hall to the east. Additional circulation patterns at the east and west edges of the new residential quad will provide an appealing approach to the Student Success Center. In addition to providing protection from the weather the portico shields the large glass wall of the southern façade from solar heat gain. Framed with a mass timber and cross laminated timber structural system, the portico and large interior spaces are visually warm and inviting. Driven by ambitious sustainability goals, the aesthetic of the building - board formed concrete, large steel-framed walls of glass, corrugated metal and hewn wood siding - is rooted in the nature of Maine and the maritime history of Portland. **High-efficiency mechanical systems, coupled with a super-insulated building skin and potentially a solar energy harvesting roof, will drastically lower fossil fuel consumption and carbon footprint to make a didactic statement about the University's commitment to sustainability, enhanced student experience, reduced utility costs/operating expenses in support of rental rate affordability, and embodiment of the CMPSC guiding principles.**

Residence Hall

The Residence Hall is shaped to define important spaces for the overall campus. The wings of the building that line Durham and Bedford Streets for appropriately scaled street walls, establishing a firm edge of the campus as it meets the existing street grid of Portland. The interior wing, parallel to Durham Street, forms an important eastern edge of the central Quad allowing

the grade to climb gently up the hill, easing the corner from Bedford for pedestrian circulation and exaggerating the perspective up the hill to make the quad seem bigger than it actually is. The opposing parallel wings of the Residence Hall form an intimate courtyard, dedicated primarily for resident use. The Bedford Street façade gathers the public spaces of the Residence Hall to create a highly transparent base of the building, illuminating the street and displaying the energy and activity of the student meeting spaces within. The front door anchors the important corner at Bedford Street and the new Quad, directly connecting to an existing crosswalk from the Wishcamper Center.

Like the Student Success Center, the Residence Hall utilizes highly efficient MEP systems, a highly-insulated building skin (derived from PassivHaus principles balanced with affordability goals), local and regional materials and other sustainable design strategies to lower resource consumption and provide a long life cycle for the building.

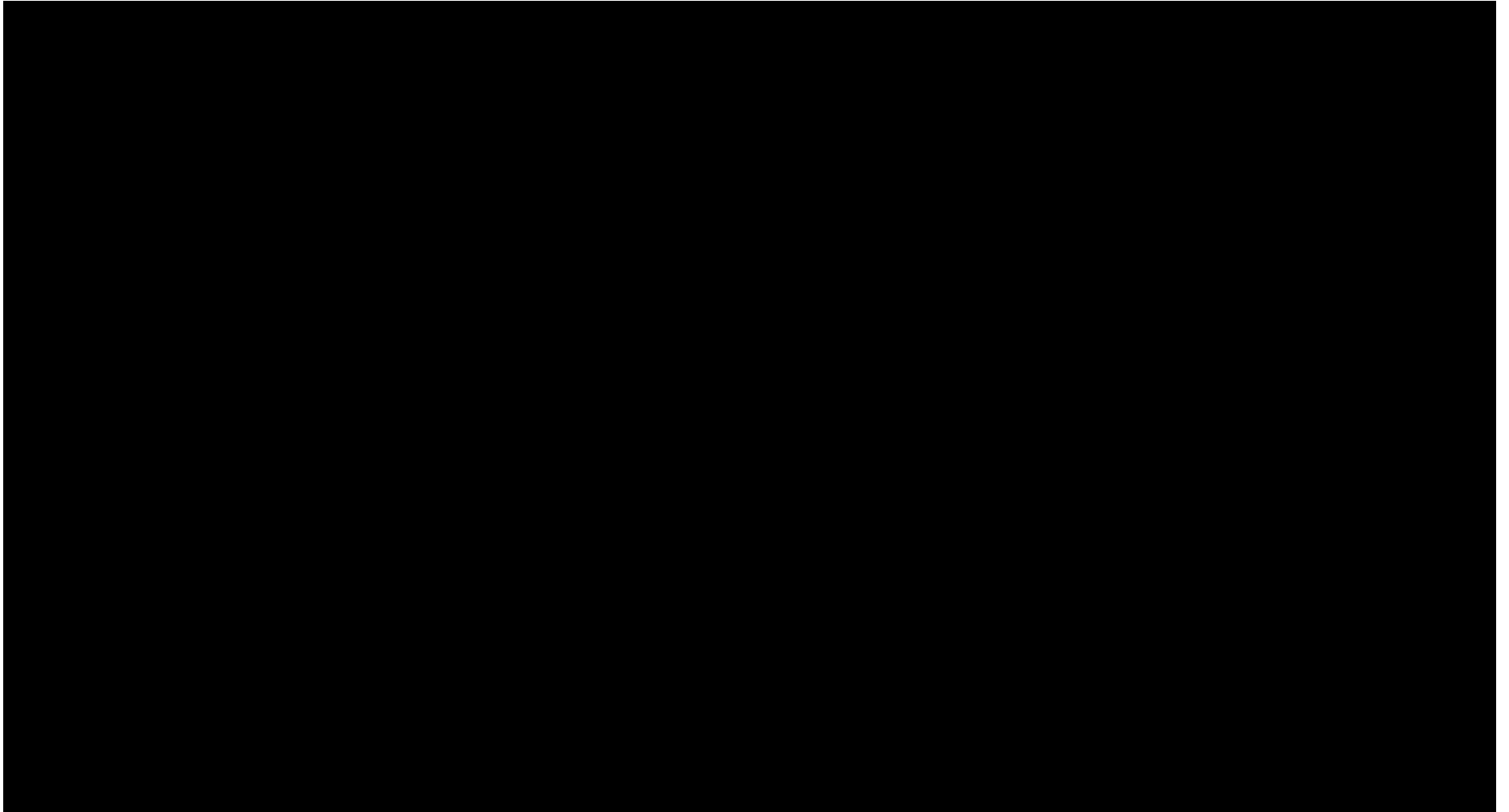


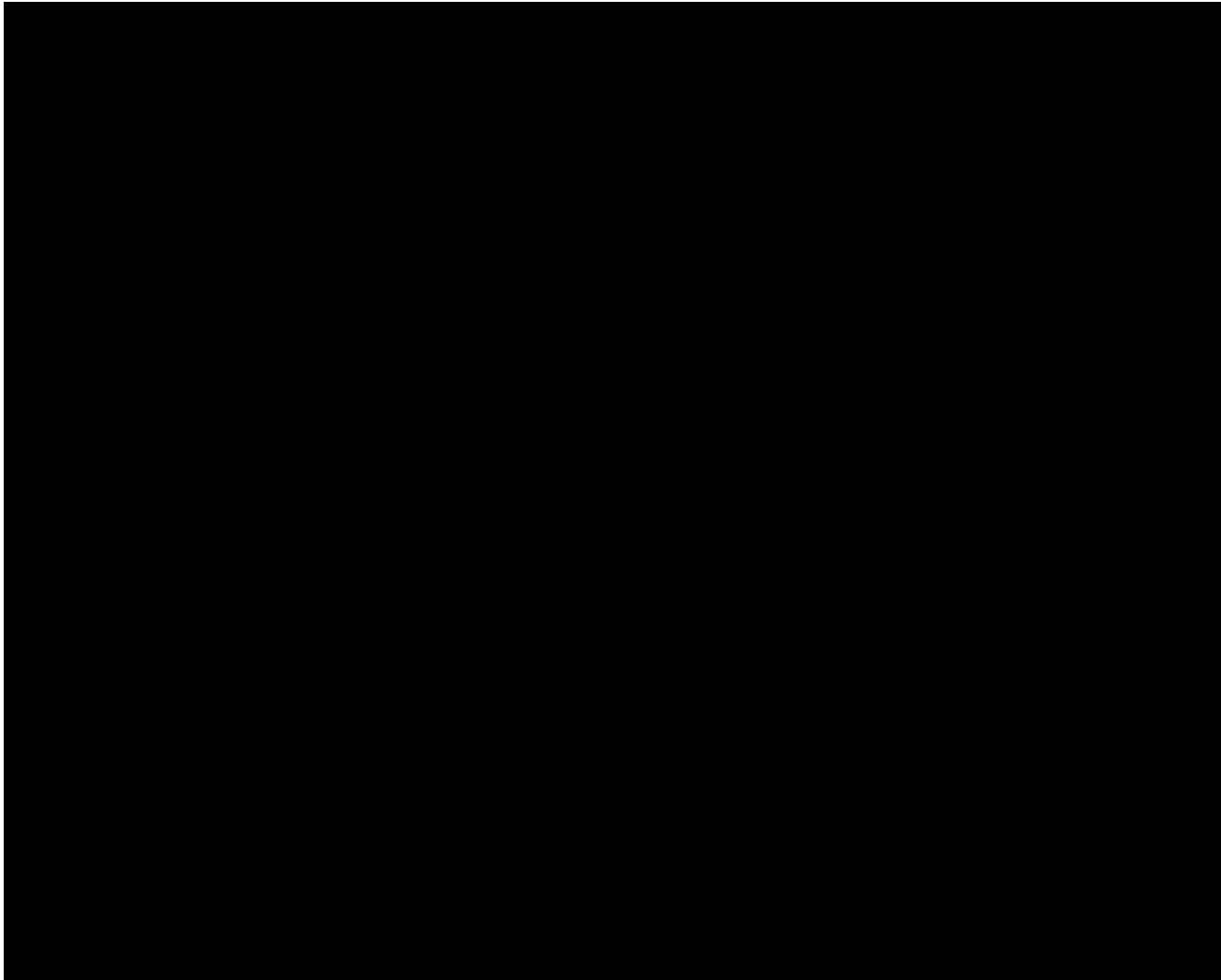
Aerial view of the proposed student success center and residence hall.

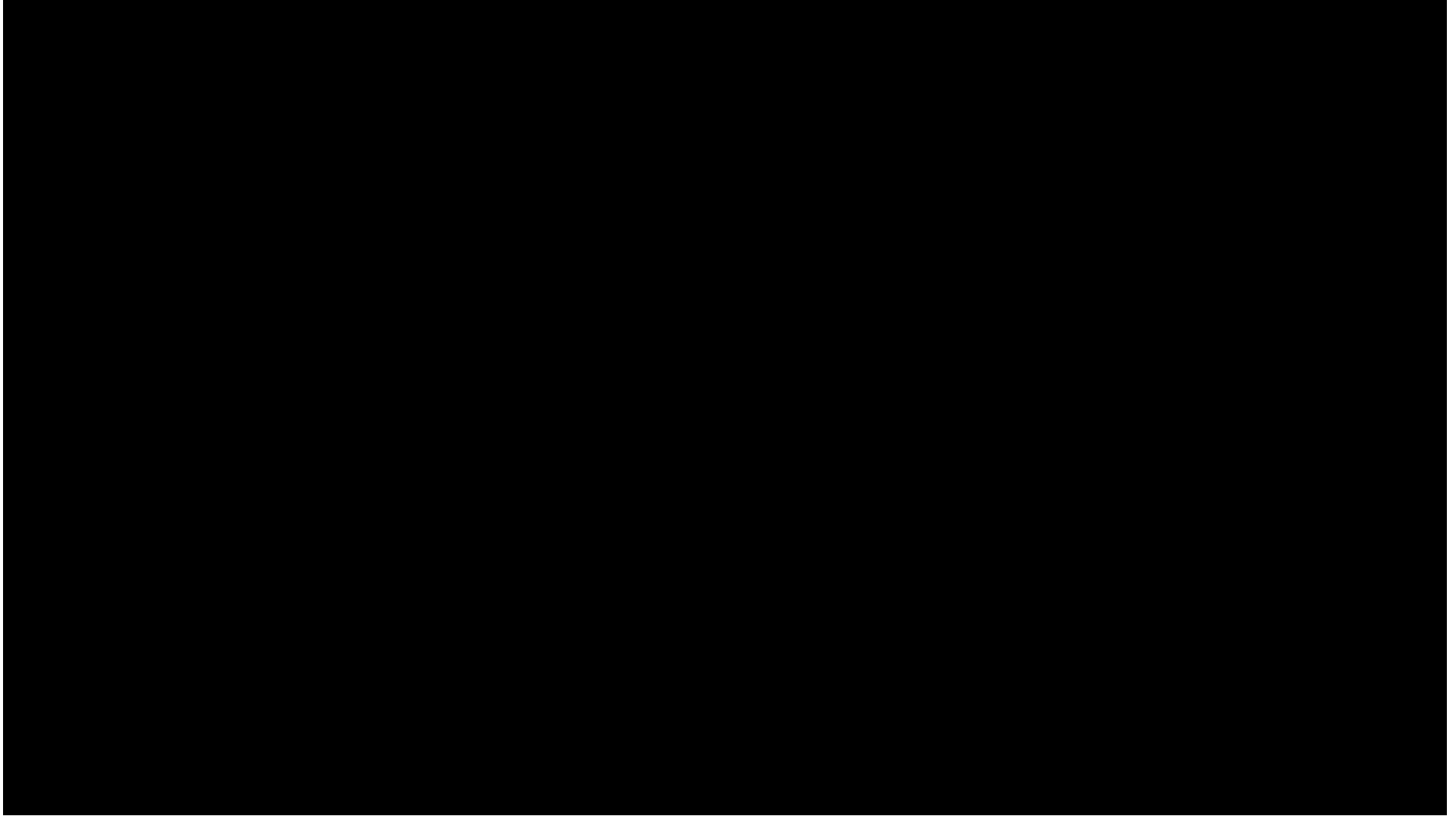
Connectivity: Student Center & Student Housing Components

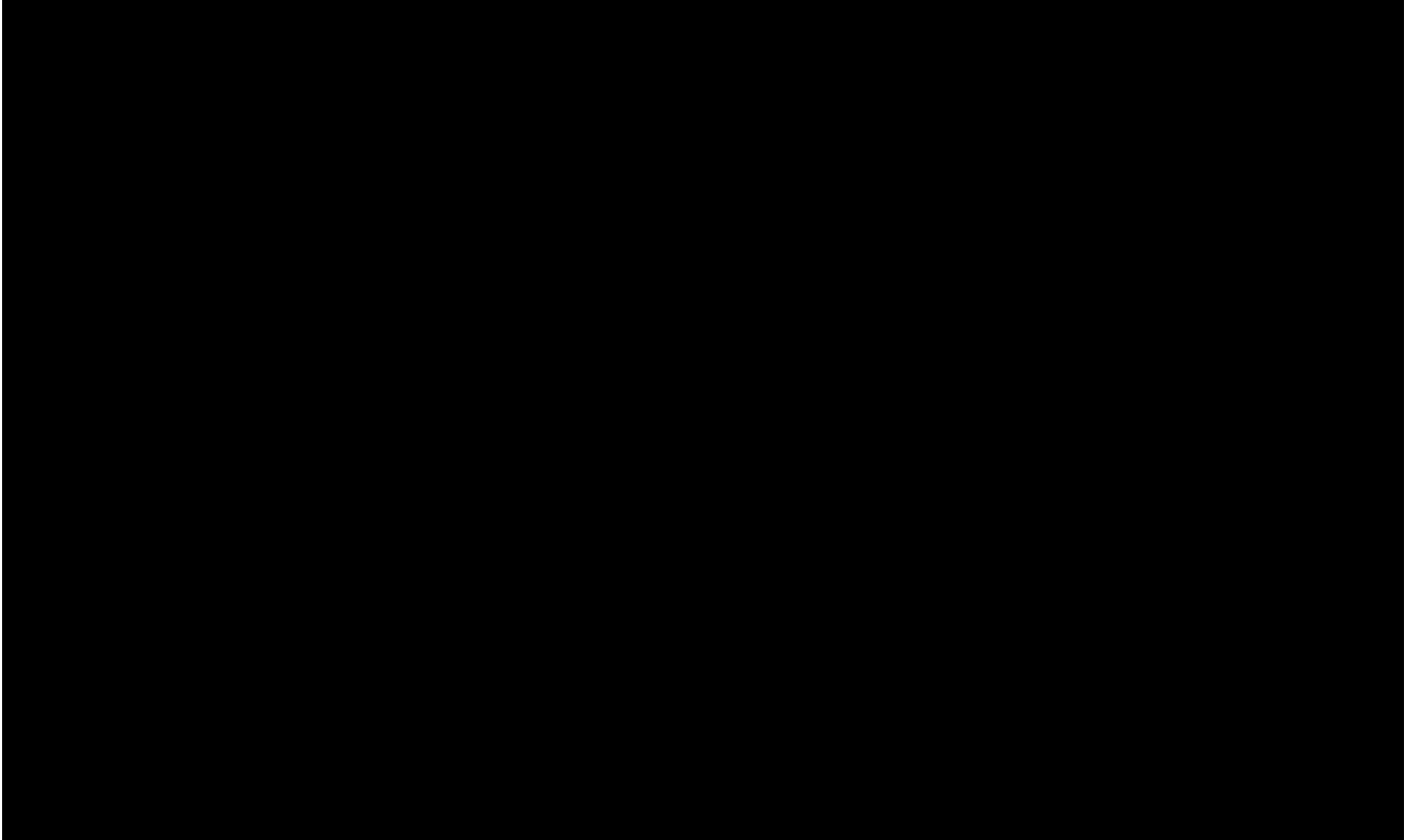
The Student Success Center and Residence Hall components are linked by an enclosed pedestrian bridge, which provides a weather protected connection from the second level of the Student Success Center to the fourth level of the Residence Hall. A communicating stair in the northwest corner of the Residence Hall adjacent to the bridge provides for convenient yet secure vertical access to all levels of the Residence Hall and encourages students to take the stair to get to their room or suite. Arriving across the bridge in level two of the Student Success Center places residents at a key location in the building overlooking the level one café and entry lounge while providing enhanced access for students moving through the building to the north entrance. From there, campus pathways conveniently link students to the Sullivan recreation and fitness complex along with buildings to the west of campus. As a cautionary note for further consideration, despite the convenience of this connectivity, it does create security/access control challenges in keeping non-residents from entering the Residence Hall from the Student Success Center. This pedestrian bridge is also quite expensive, and should be evaluated further after selection in conjunction with USM's goal of affordability.

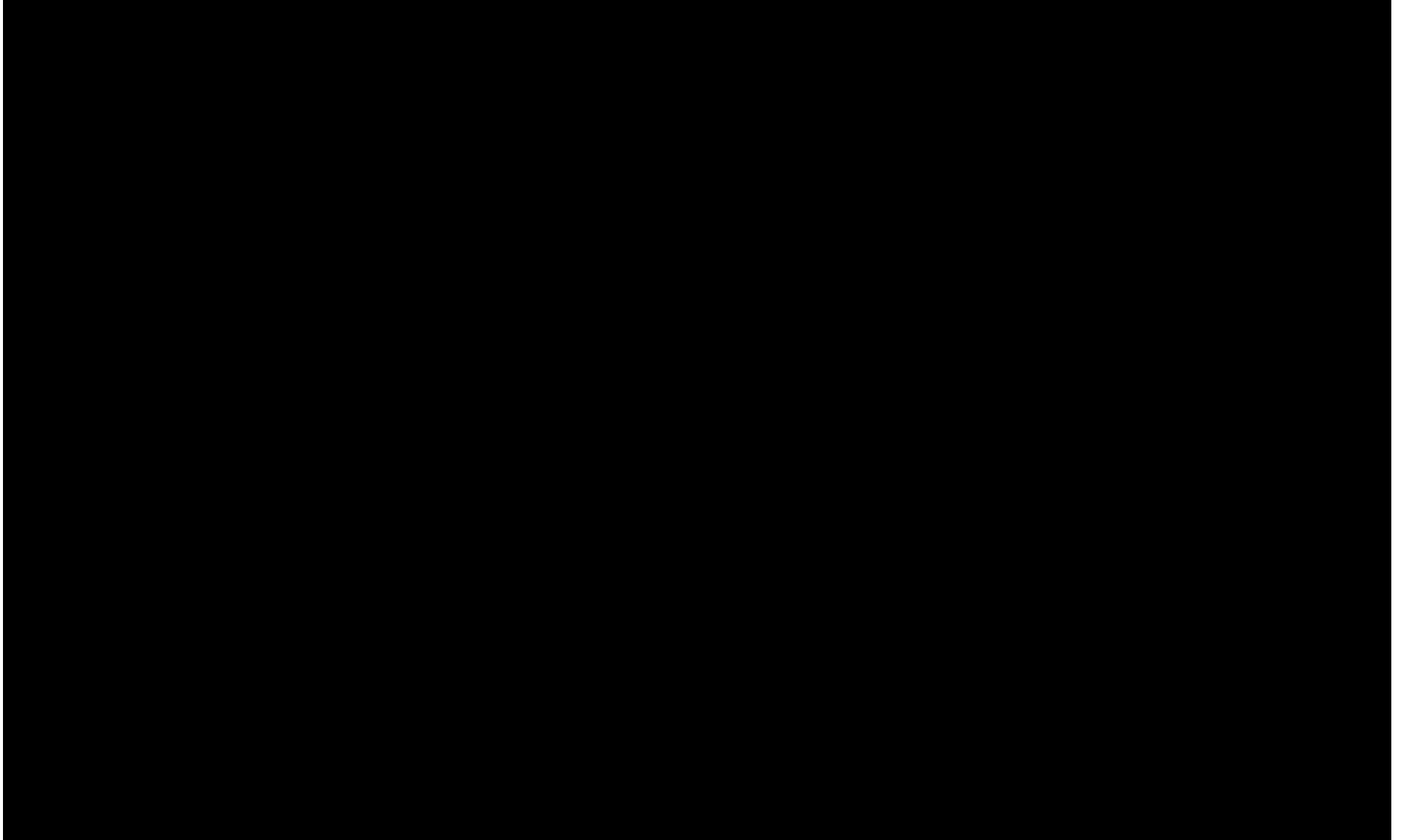
Structural Methodology

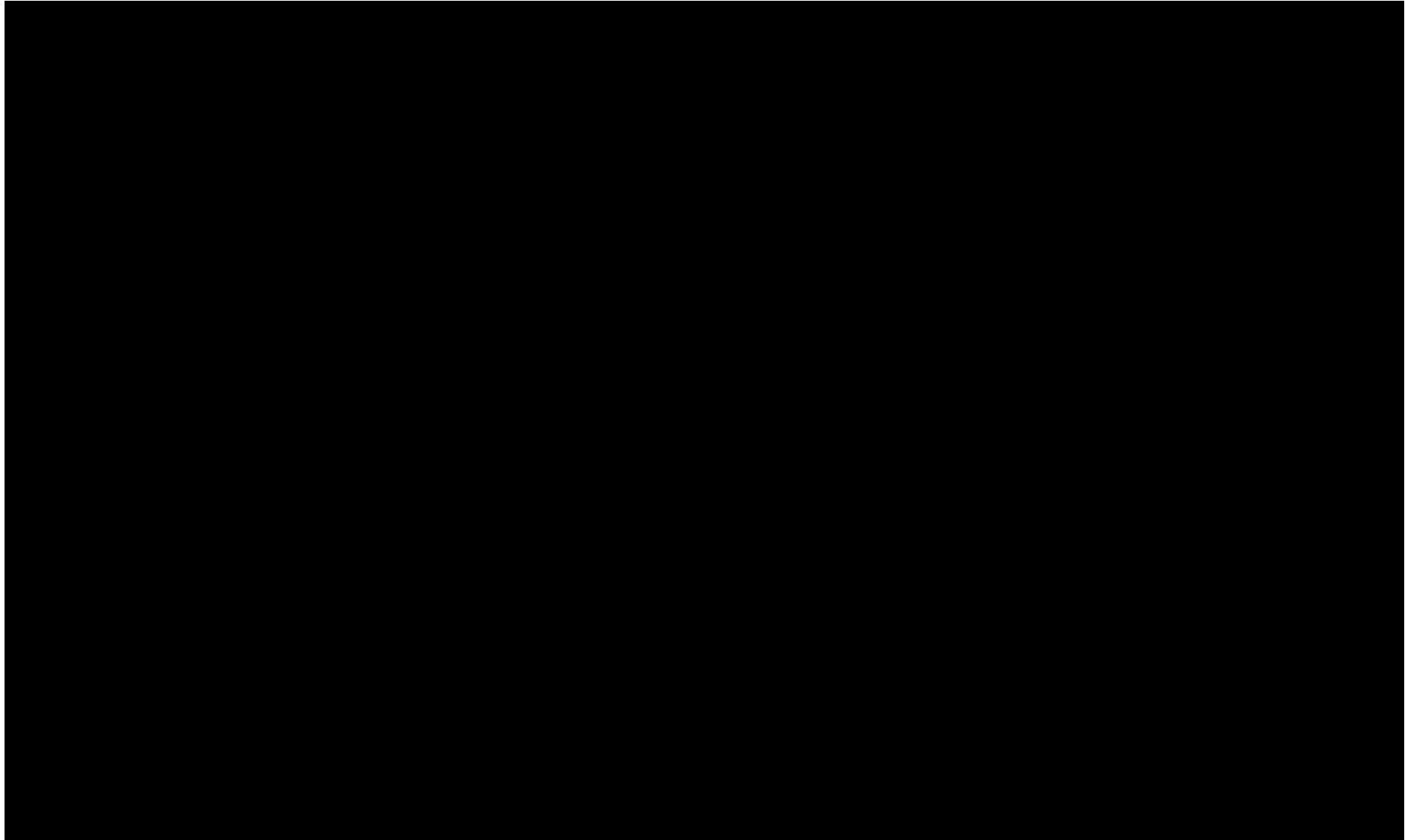












Emergency Power

A new level 1, type 1, class 60 emergency power supply system (EPSS) will be provided as required per the NFPA, for the Residence Hall. The system will be designed to provide emergency power to egress lighting and the following equipment as required by code: fire alarm, electric fire pumps, jockey pumps, emergency command center equipment, a minimum of one elevator, code required mechanical equipment for smoke removal, stairway video monitoring and other code required loads not listed above. The EPSS will also serve select mechanical, telecommunication and security equipment in each building as required to maintain building temperature, occupant comfort and security.

A new level 1, type 10 class 48 (minimum) EPSS will be provided for the Student Center. The system will be designed to provide emergency power to egress lighting and fire alarm. The EPSS will also serve select mechanical, telecommunication and security equipment in each building as required to maintain building temperature, occupant comfort and security.

Feeders serving the emergency systems will be 2 hour rated, either by construction of the feeder or by installation within a 2 hour rated enclosure.

The size and location (shared between the two buildings) of the generator(s) shall be determined as the design progresses.

Lighting

Lighting levels will be designed in accordance with Illuminating Engineering Society (IES) standards. Lighting will be high efficiency recessed LED fixtures. Lighting in resident rooms, corridors, restrooms, laundry and common areas will be recessed lensed troffers. Lighting in public lounges and main lobby will be direct/indirect recessed fixtures. Lighting in all utility rooms will be LED strips with wire guards. Lighting in stairways to be wall mounted fixtures with both uplight and downlight components. Stairwell lights shall remain on 24 hours a day and will have dual illumination levels for occupied vs unoccupied conditions.

Occupancy sensors will be utilized in corridors, common spaces, public toilets and utility rooms where appropriate. All switching within spaces shall be local toggle switches.

Emergency lighting shall be provided via the on-site generator as required by applicable codes. Standby lighting will be provided as directed by the owner to maintain occupant comfort during periods where the normal distribution is disrupted.

Exterior lighting shall consist of building mounted LED light fixtures. All exterior lighting shall be full cut-off to reduce light pollution. Exterior lighting shall be controlled by photocells integral with the fixtures and shall remain on from dusk to dawn. Some existing light poles on Loop Road and in the Student Activities Building parking lot will be removed and replaced with new LED fixtures.

Telephone & Data

Telecommunications wiring for the Residence Hall and Student Center will be compliant with USM telecommunications standards. The new buildings will each have a 12 strand single mode or multimode (to be determined by the IT Director) fiber service connected to the two nearest building that have spare fiber capacity, as determined by the IT director. Copper connection to the new buildings for analog phone lines will consist of a 50 pair UTP trunk ed from the nearest building with spare copper capacity, as determined by the IT director. Building fiber service will terminate with ST connectors in a wall-mounted box located in the first floor data closet and the copper service will terminate on wall-mounted, lightning protected 110 blocks mounted in the same room as the fiber. Data closets will all be provided with a 4' x 8' plywood backboard and a ground bar mounted on telephone backboard connected to the building grounding system.

For each resident there will be one category 6 outlet located at each of the proposed desk locations. In addition to the hardwired data outlets in each room there will be a wireless access point in each room and six wireless network connections in the corridor ceiling on each floor. For each Resident Assistant room, Resident Director room, and public lounges a data outlet and an analog phone line will be provided. An analog phone line will also be provided for the emergency call box at the front entrance and for the elevator. All voice and data wiring shall be category 6 and shall terminate on category 6 patch panels mounted in a 19" rack in the data closets on each floor that meet or exceed EIA/TIA 586-B specifications. All jacks shall be white colored, keystone type with thermoplastic face plates. Acceptable manufacturer's voice/data jacks, category 6 cabling and patch panels are Hubbell, Leviton or other manufacturer if approved by the IT director.

The emergency call box shall be installed at the main entrance and shall have a blue indicating light above it. New emergency call box to be similar to those currently utilized on the campus.

Cable TV

A cable TV outlet will be provided in each classroom, resident rooms, Resident Director suite, Resident Assistant room and public lounges. For each cable TV outlet an RG-6 coaxial cables will be run to and terminate

in the first floor data closet. Cable TV service will be provided from the nearest building that has cable TV service. All work associated with cable TV installation shall be coordinated with the USM's cable service provider and the Residence Life office.

Card Access

The card access system will consist of card readers at each building entrance, at data closets, at each entrance to resident suites, and the entrance to Resident Assistant and Director rooms. The card access system shall utilize current student identification cards to open doors authorized for student access. The system shall be programmable to allow limits of accessibility to be set on a student-by-student basis. Head-end equipment for the card access system will be located in the second floor data closet. This head-end equipment shall have the capability to be connected to a future campus-wide card access network.

Fire Alarm System

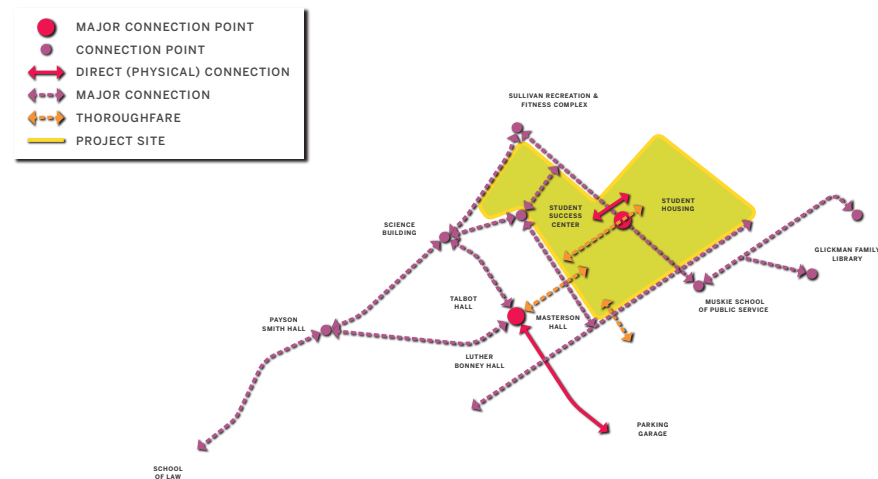
A complete stand-alone, analog, addressable, voice evacuation fire alarm system will be designed for the new Residence Hall and Student Success Center. A master fire alarm control panel will be located in the main entry to both buildings. Fire alarm initiation and notification devices will be located throughout the building per current NFPA and ADA requirements. In each sleeping room and just outside of each sleeping room an addressable smoke detector shall be installed and tied into the building fire alarm system. Multiple carbon monoxide (CO) detectors will be provided on each floor. Within the resident suites, Resident Director and Resident Assistant rooms audible/visual notification devices will be provided in each sleeping room and lounge, with a visual only notification device provided in each toilet and shower room. Integration with the sprinkler system will be coordinated through the Fire Alarm control panel. Single station smoke alarm devices will be provided where required by code in occupant sleeping rooms and suites. Special requirements for fire alarm system will be coordinated with the Portland Fire Department and the Authority Having Jurisdiction (AHJ), including the fire alarm radio communicator. Preference will be given to systems that are already utilized on campus. Testing for a bi-directional amplifier system shall be included with an alternate price to add a bi-directional amplifier system if needed.

A two-way communication system will be installed in all areas of refuge. The two-way communication system will report back to a central monitoring location.

Approach to Campus Connectivity in Alignment with USM Facilities Master Plan

Our design proposal closely adheres to the University's recent Master Plan, with the Residence Hall holding the Durham and Bedford corner, a new Quad to replace the existing parking lot, and the Student Success Center acting as the crown of the gentle incline and an important hinge between Bedford Street and eventual construction along Falmouth Street.

Existing pedestrian, vehicular and mass transit patterns indicated in the master plan inform the placement of building entries and boundaries to frame new campus vistas and exterior rooms. The alignment of the Student Success Center and the Residence Hall creates intuitive circulation paths for the new residents of the Portland campus while facilitating legible wayfinding throughout the precinct for commuting students and visitors. The proposed plan takes a comfortable and logical approach to the new campus circulation patterns while ensuring that all slopes provide accessible routes throughout



Applicable Building Codes

- 2015 International Building Code (IBC)
- 2009 International Energy Conservation Code (IECC)
- 2014 The National Electric Code (2014) ("NEC")

The American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) Standards:

- 62.1 - 2013 (Ventilation for Acceptable Indoor Air Quality)
- 62.2 - 2013 (Ventilation and Acceptable Indoor Air Quality in Low-Rise Residential Buildings)
- E-1465-2008, Standard Practice for Radon Control Options for the Design and Construction of New Low-Rise Residential Buildings.

Maine has adopted these national model codes and standards with amendments. **The amendments are listed in Rule Chapters 1-6 below.**

- Chapter 1 Administration
- Chapter 2 Third Party Inspectors
- Chapter 3 IBC International Building Code
- Chapter 6 IECC International Energy Conservation Code

Maine Adopted NFPA Standards

- NFPA 1: Fire Prevention Code, **2006** Edition
- NFPA 10: Standard for Portable Fire Extinguishers, **2007** Edition
- NFPA 13: Standard for the Installation of Sprinkler Systems, **2016** Edition
- NFPA 14: Standard for the Installation of Standpipe, Private Hydrants and Hose Systems, **2013** Edition
- NFPA 17: Standard for Dry Chemical Extinguishing Systems, **2009** Edition
- NFPA 17A: Standard for Wet Chemical Extinguishing Systems, **2009** Edition
- NFPA 20: Standard for the Installation of Stationary Fire Pumps for Fire Protection, **2013** Edition
- NFPA 25: Standards for the Inspection, Testing and Maintenance of Water-Based Fire Protection Systems, **2014** Edition
- NFPA 30: Standards for Flammable and Combustible Liquids, **2008** Edition
- NFPA 59: Utility LP-Gas Plant Code, **2008** Edition
- NFPA 72: National Fire Alarm Code, **2007** Edition
- NFPA 80: Standard for Fire Doors and Other Opening Protectives, **2010** Edition

- NFPA 96: Standard for the Ventilation Control and Fire Protection of Commercial Cooking Operations, **2008** Edition
- NFPA 101: Life Safety Code, **2009** Edition
- NFPA 110: Standard for Emergency and Standby Power Systems, **2005** Edition
- NFPA 211: Standard for Chimneys, Fireplaces, Vents, and Solid Fuel-Burning Appliances, **2006** Edition
- NFPA 214: Standard on Water Cooling Towers, **2011** Edition
- NFPA 220: Standard on Types of Building Construction, **2006** Edition
- NFPA 720: Standard for the Installation of Carbon Monoxide (CO) Detection and Warning Equipment (portions of), **2009** Edition
- NFPA 2001: Standard on Clean Agent Fire Extinguishing Systems, **2008** Edition

Accessibility Code

- **2010** ADA Standards for Accessible Design

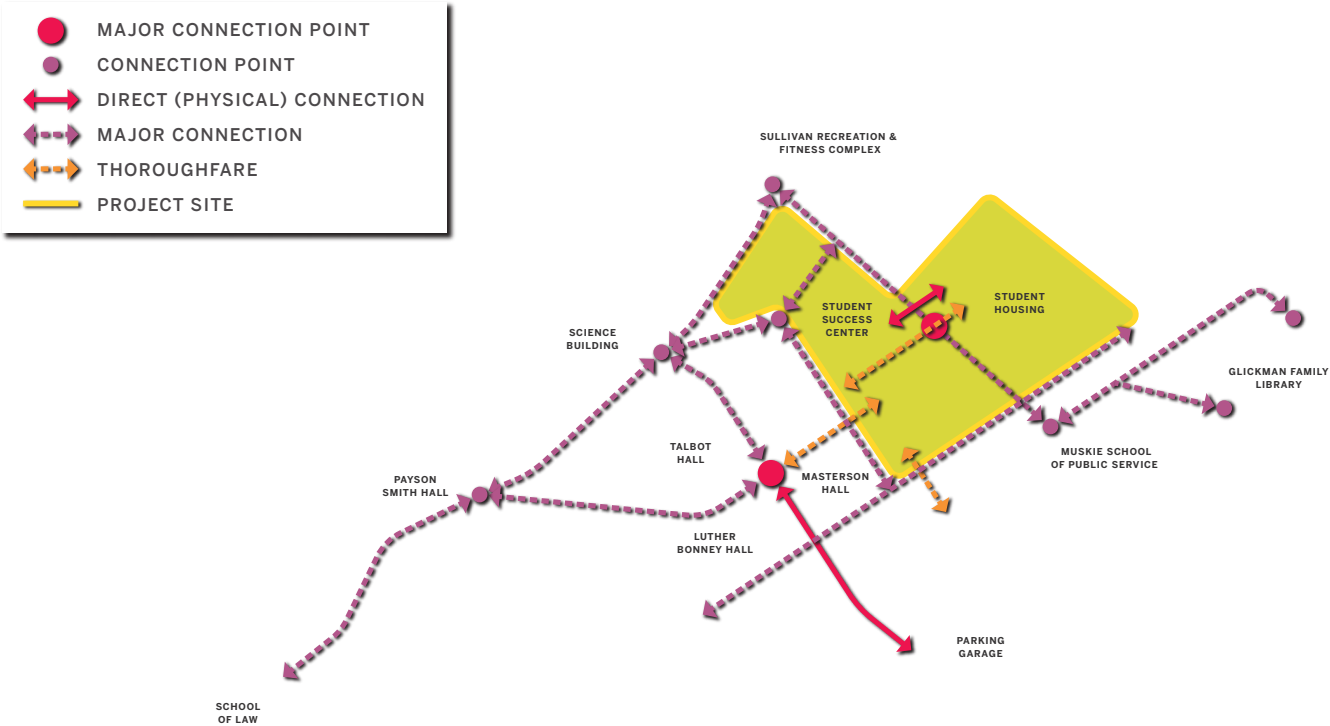
PLANS



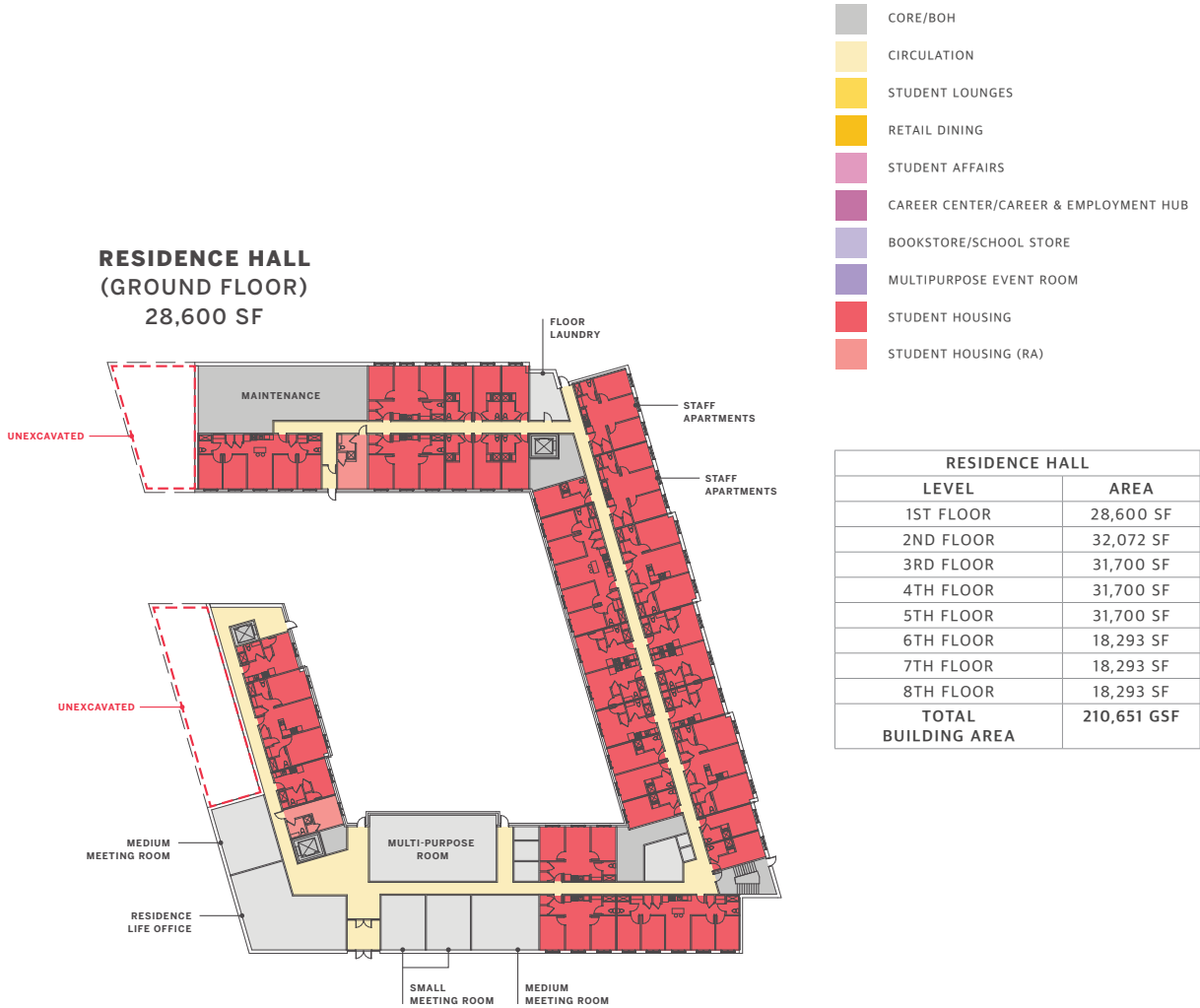
Site Plan



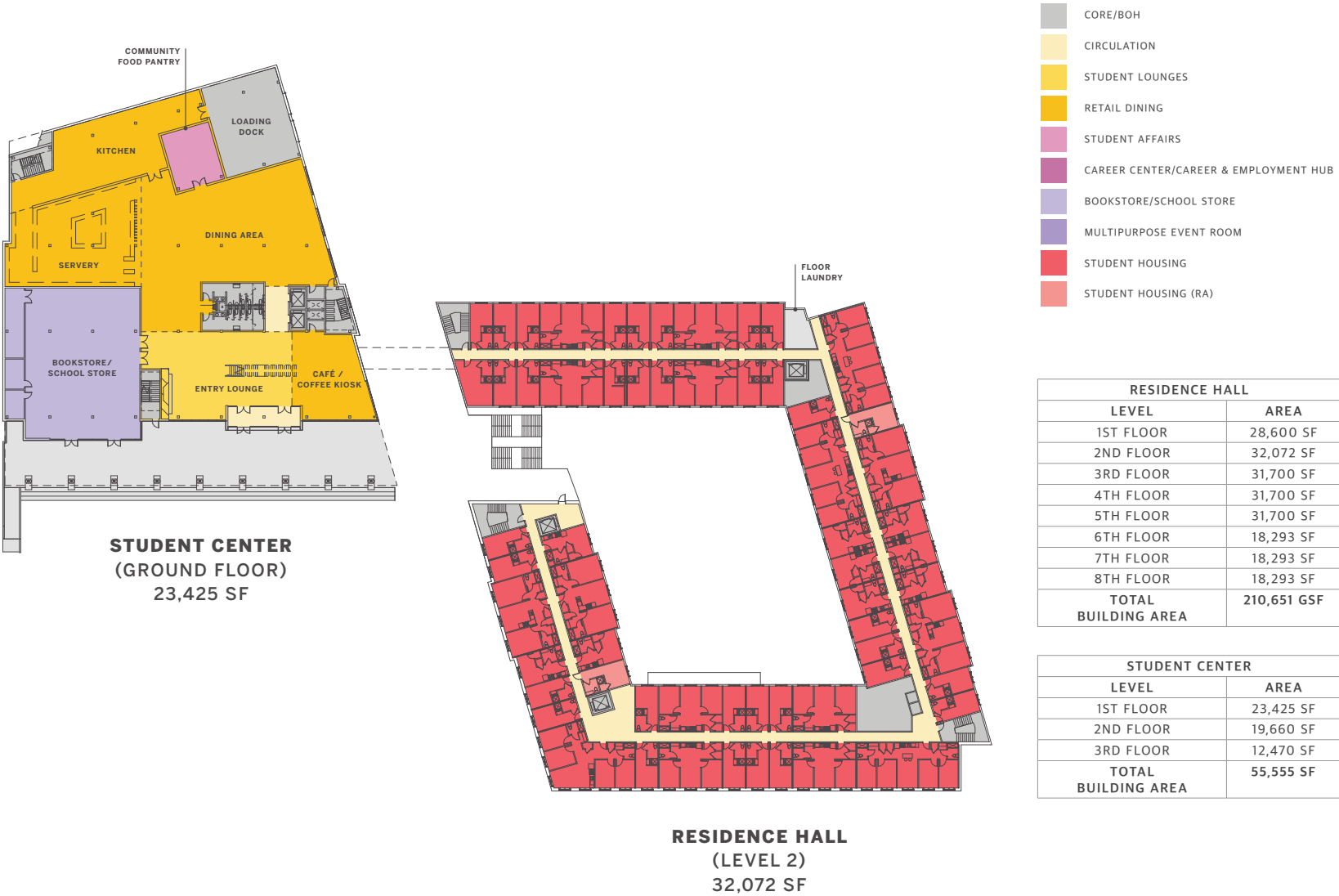
Circulation Diagram



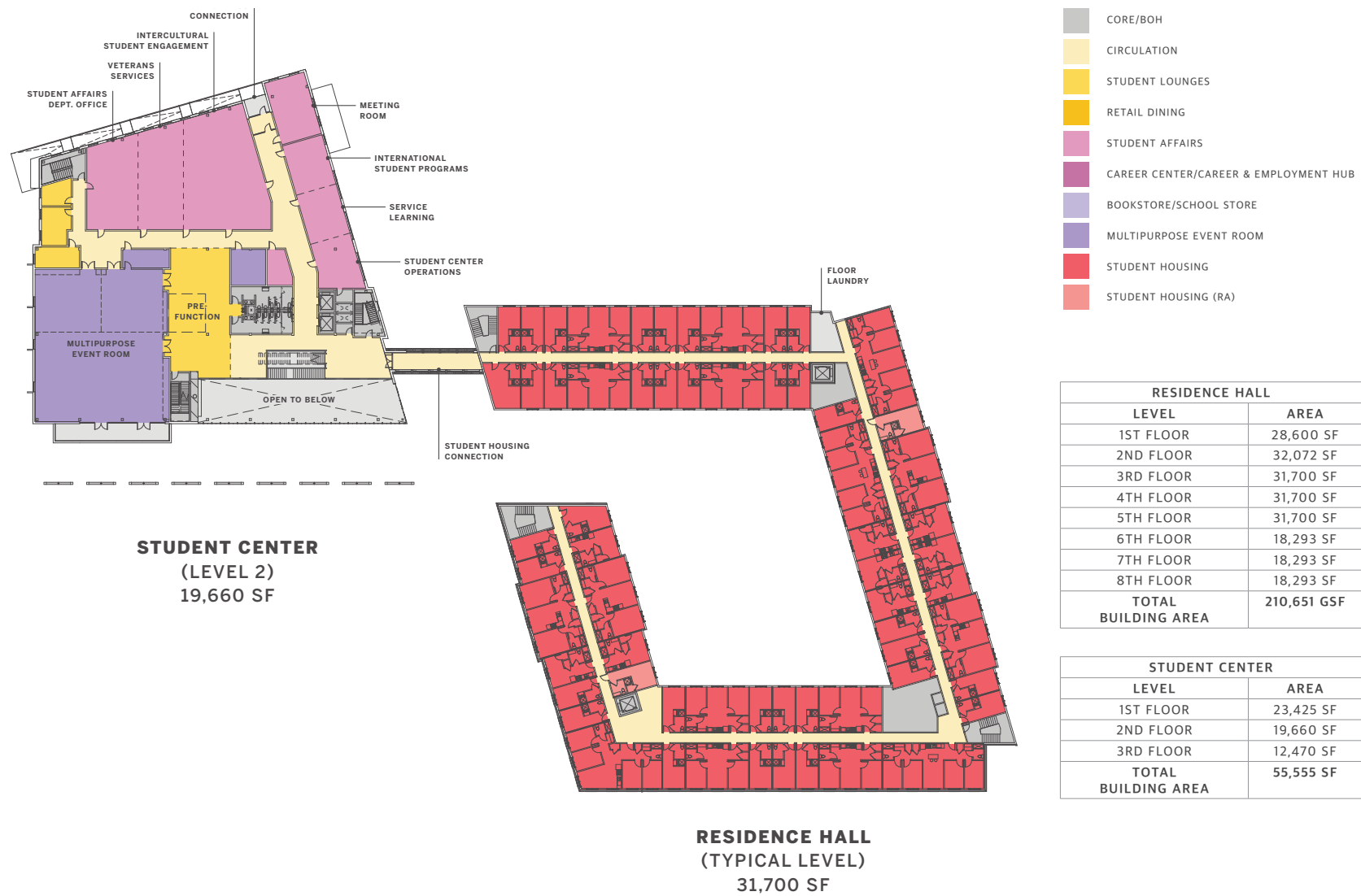
Floor Plans (Elevation 25'-8")



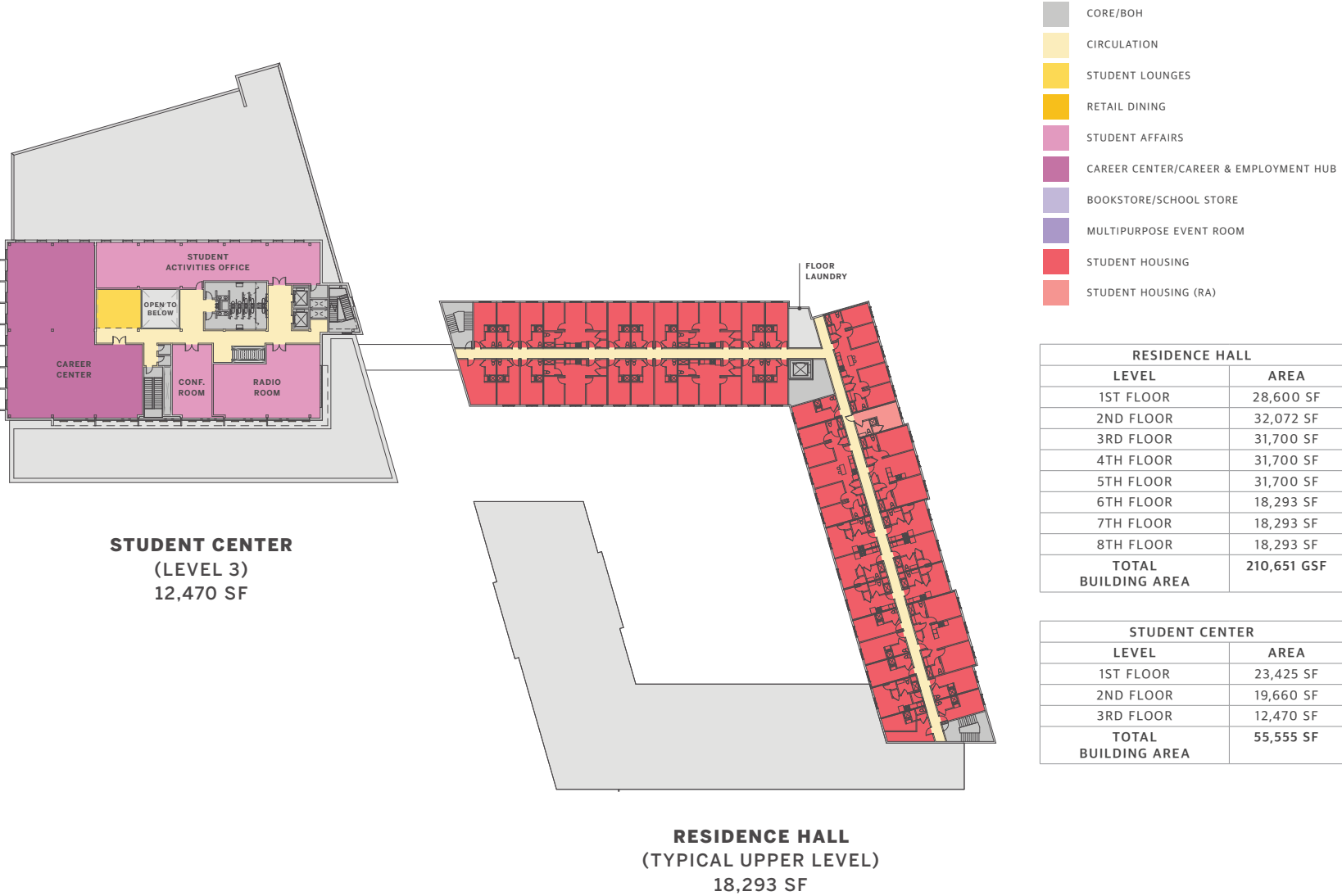
Floor Plans (Elevation 37'-0")



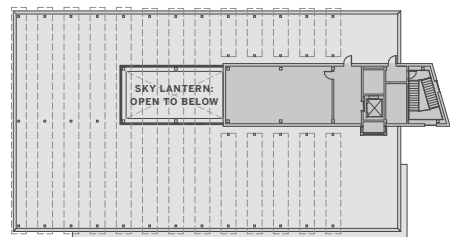
Floor Plans (Elevation 55'-0")



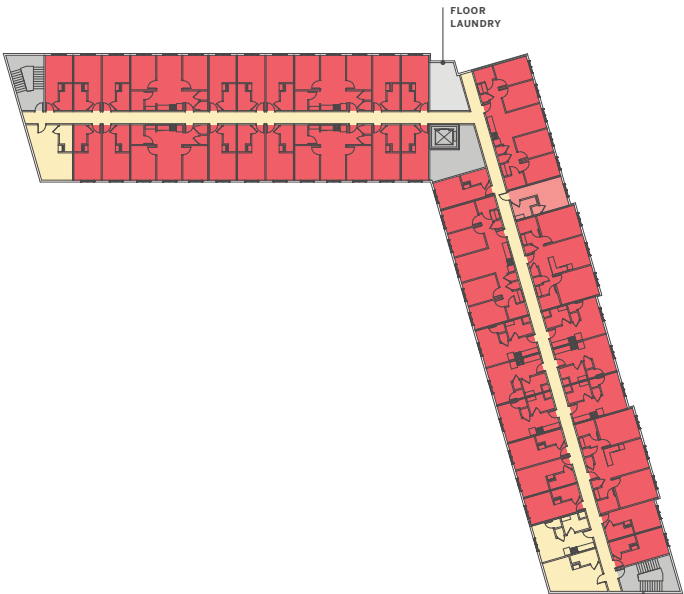
Floor Plans (Elevation 73'-0")



Floor Plans (Elevation 87'-0")



STUDENT CENTER
(ROOF)

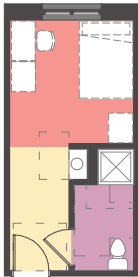


RESIDENCE HALL
(TYPICAL UPPER LEVEL)
18,293 SF

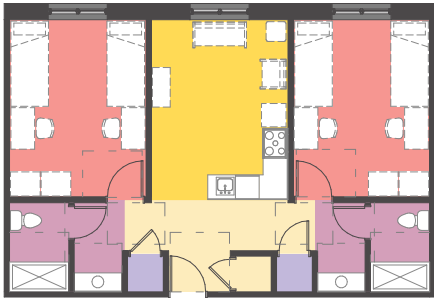
- CORE/BOH
- CIRCULATION
- STUDENT LOUNGES
- RETAIL DINING
- STUDENT AFFAIRS
- CAREER CENTER/CAREER & EMPLOYMENT HUB
- BOOKSTORE/SCHOOL STORE
- MULTIPURPOSE EVENT ROOM
- STUDENT HOUSING
- STUDENT HOUSING (RA)

RESIDENCE HALL	
LEVEL	AREA
1ST FLOOR	28,600 SF
2ND FLOOR	32,072 SF
3RD FLOOR	31,700 SF
4TH FLOOR	31,700 SF
5TH FLOOR	31,700 SF
6TH FLOOR	18,293 SF
7TH FLOOR	18,293 SF
8TH FLOOR	18,293 SF
TOTAL BUILDING AREA	210,651 GSF

Unit Types



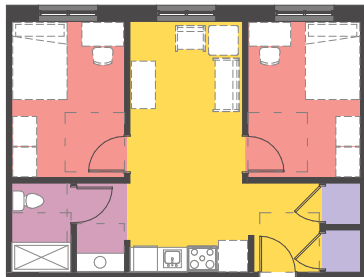
UNIT TYPE A
1 BED / 212 NSF



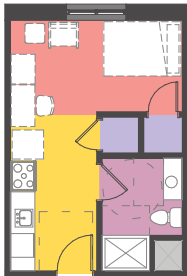
UNIT TYPE B
4 BEDS / 690 NSF



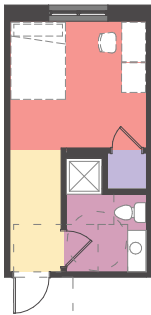
UNIT TYPE C
4 BEDS / 948 NSF



UNIT TYPE D
2 BEDS / 593 NSF



UNIT TYPE E
1 BED / 284 NSF

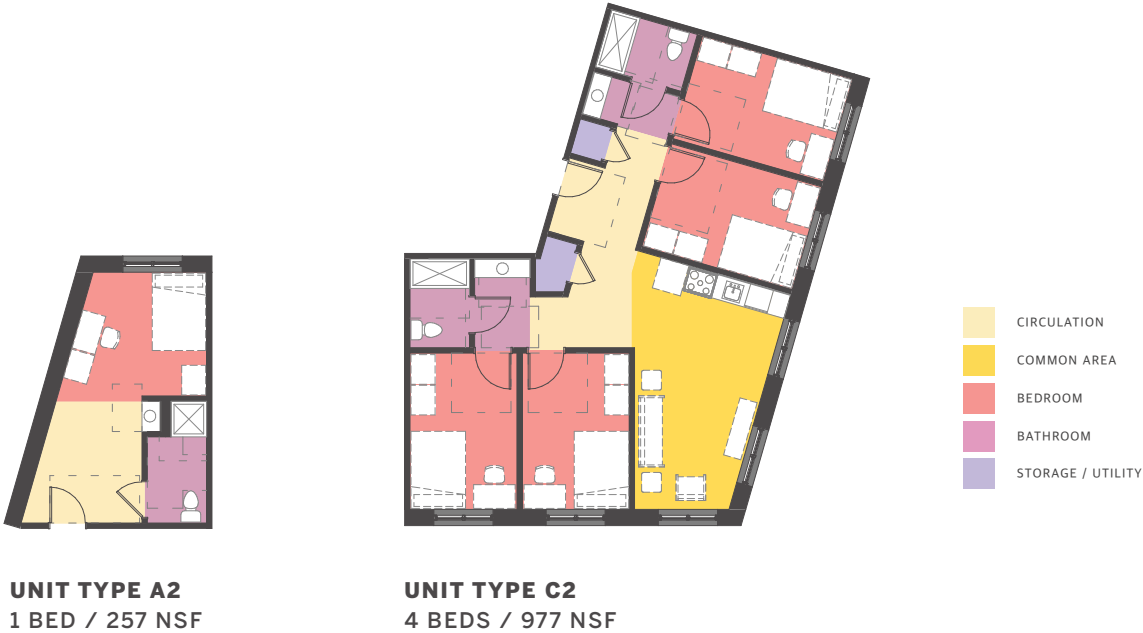


UNIT TYPE RA
1 BED / 223 NSF

- CIRCULATION
- COMMON AREA
- BEDROOM
- BATHROOM
- STORAGE / UTILITY

UNIT TYPE	BEDS/UNIT	TOTAL BEDS	TOTAL UNITS
TYPE A	1	206	206
TYPE B	4	72	25
TYPE C	4	100	25
TYPE D	2	96	48
TYPE E	1	62	62
RA	1	14	13
TOTAL	--	577	379

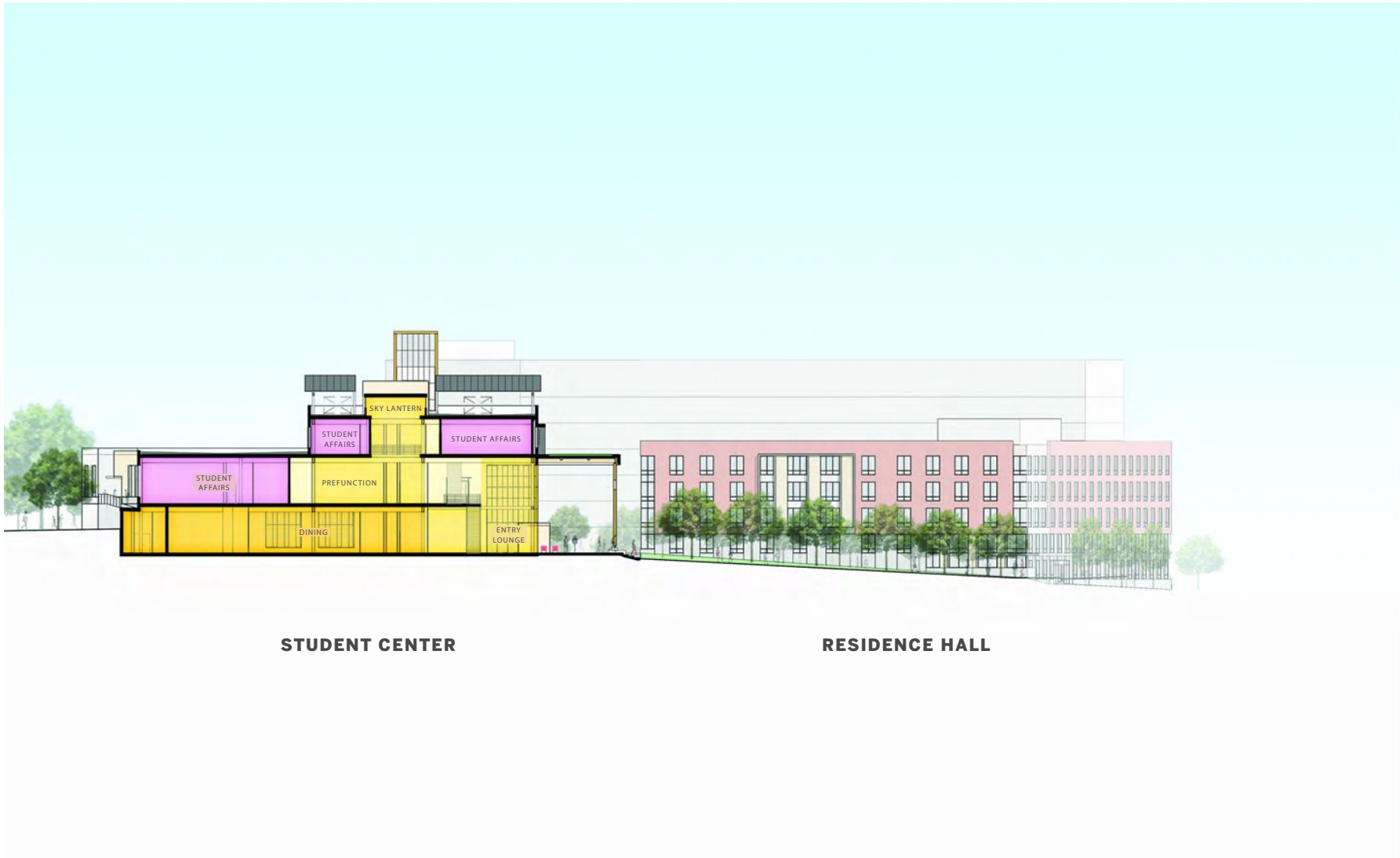
Unit Types (Specialty)



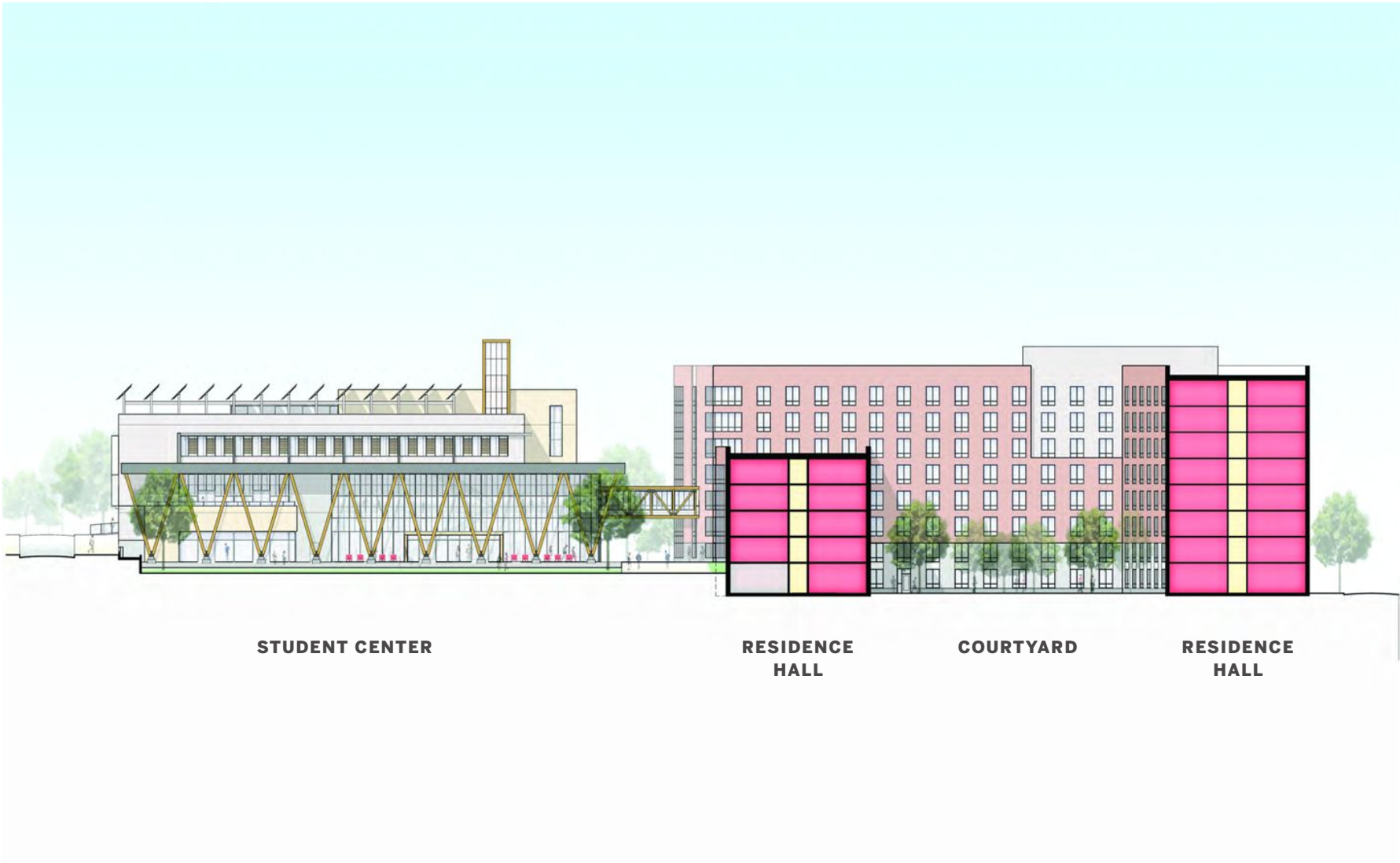
ELEVATIONS



North-South Site Section



East-West Site Section



RENDERED VIEWS



Aerial View



View from Bedford Street



View from Quad

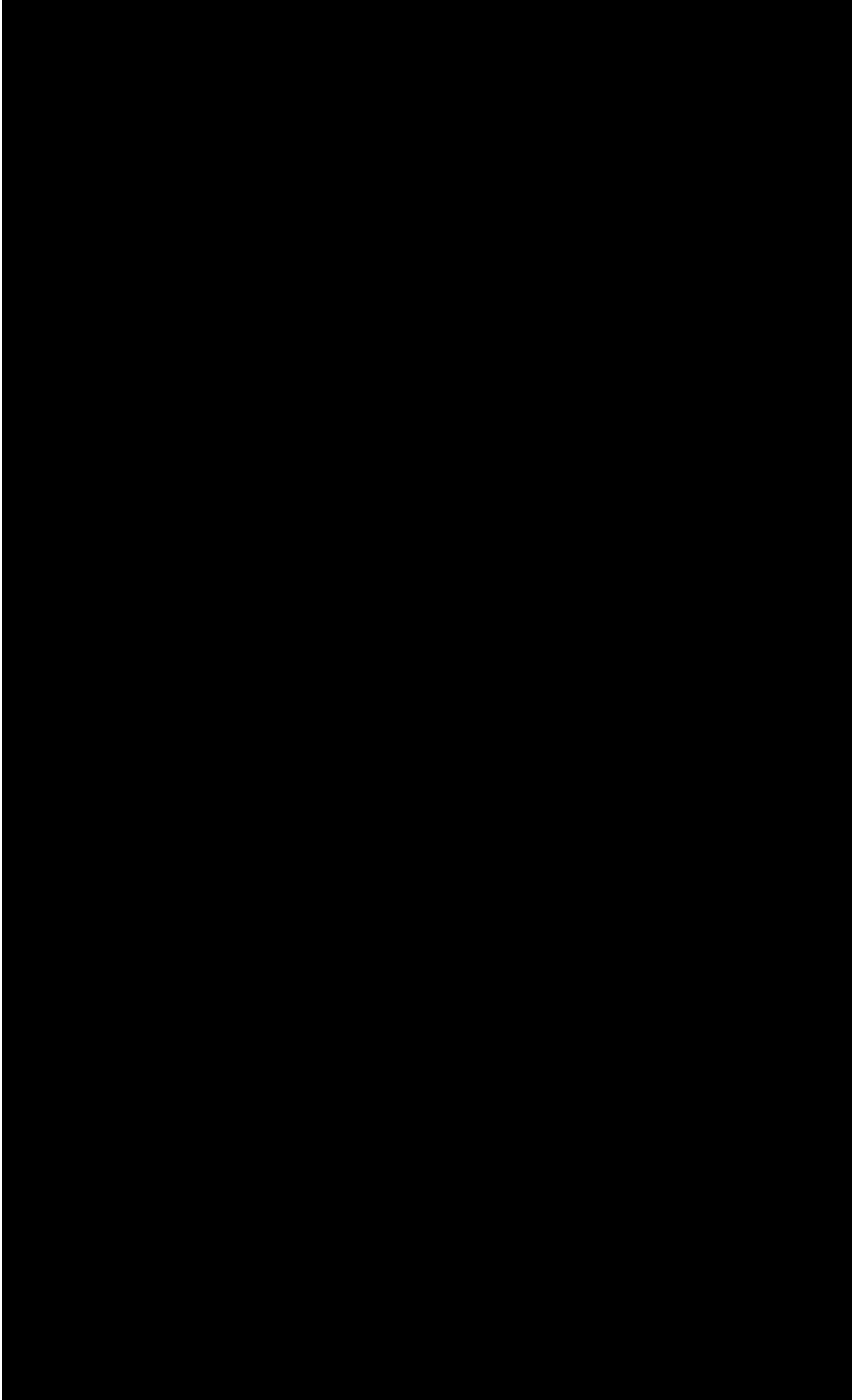


Residence Hall from Bedford Street

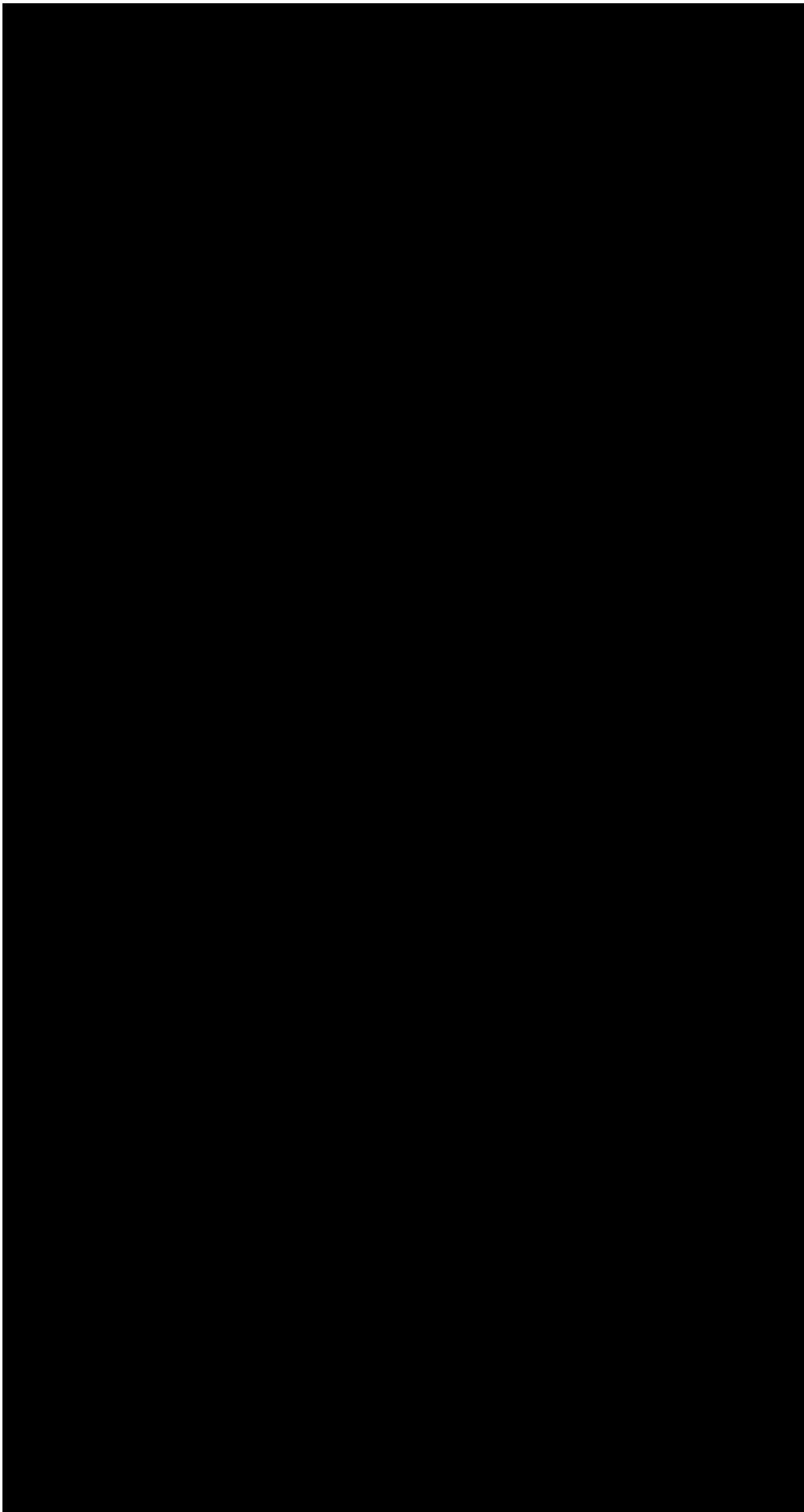




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Implementation Schedule

Capstone has spent two decades refining and perfecting our **highly-collaborative**, iterative development management process for on-campus housing delivered using the public-private partnership ('P3') model. This process is a key to Capstone's ability to keep the planning design and construction phases of each P3 project on schedule, and allows us to monitor, with real-time pricing updates from our contractor, how we are tracking against our development and construction budgets. It also provides an effective forum for collaborative review, input and vetting of plans and options by the university and development teams.

If we are fortunate to be selected as USM's development partner, Capstone will solicit the participation of University stakeholders in a synergistic process of programming, designing and pre-construction planning. We will present and discuss our conceptual plans, developed in response to the RFP, with all members of the university and development teams present for comments and constructive critique. Capstone will lead and coordinate the planning and design phase, which will involve regularly scheduled meetings between our development team and the University project team, from developer selection through project completion. During each of these comprehensive **University-Development Team, or "UDT" Meetings**, which are typically scheduled every two weeks through the design and construction phases, we will cover a detailed agenda of priority topics, tasks and decisions which need to be made – with University input -- to keep the design and construction progress on schedule. Agendas for these meetings are circulated in advance for review, input and preparation, and are used to produce meeting minutes and action and decision lists, which are promptly circulated to all participants.

These UDT meetings often include **Focus Sessions on Key Topics**, designed to allow USM and development team experts to drill down on key design or construction topics and issues. We will focus on not just the exciting and glamorous issues, but also basic elements of the project, which are key to the successful operation of the residential community and its seamless integration into the campus housing program. Session topics will range from building access and security components (access control and cameras), to IT (video and data) systems and connectivity, flooring materials, HVAC system options, sustainability goals and options, and common area programming and furnishings.

On the afternoon before each UDT Meeting we typically convene a **"DAC" Meeting** that includes only the Developer, Architect and Contractor/Design-BUILDER (with specialty consultants). These meetings allow our team to discuss and vet issues on the UDT Meeting Agenda, assuring that we are prepared for the UDT Meeting and ready to efficiently present information, updates, address key issues and challenges, and request input and direction from the University's project team. Wanting to be very sensitive to the University's time commitments, we have found it to be productive to conduct DAC meetings in advance of the UDT

meetings to ensure our team has thoughtfully considered and reached consensus on the materials and issues to be discussed with the University. This allows us to make a well-prepared, unified, and efficient presentation to the University project team and key stakeholders.

Capstone has used and refined this approach and project management process for nearly 25 years in our P3 work with nearly 70 universities, and we maintain an open and transparent environment that invites our university partners to be as involved in each step of the design and construction process as they desire. And, unlike some of our competitors, who shield their design-build teams from the University project team, ***we bring each key member of the design and construction team to the table for direct interaction with university specialists and stakeholders, fostering collaboration and a true team approach in an effort to 'get decisions right'.*** This typically results in consensus on key issues and satisfaction by all in a job well done, with credit generously shared all around.

Schedule Milestones

Developer Selection	Fall 2019
Execution of Preliminary Development Agreement	Fall 2019
Planning/Programming/Design Meetings with USM	Fall 2019
Entitlement/Permitting Process	Fall 2019 – Spring 2020
Governing Agreements Negotiation	Winter 2019/Spring 2020
Conceptual Design / Program Plan Review and Completion	Winter 2019
Schematic Design Documents Review and Completion	Winter 2019 / Spring 2020
Design Development Documents Review and Completion	Winter 2019 / Spring 2020
50% Construction Documents Review and Completion	Spring 2020
Finalize and Execute Governing Agreements	NLT Spring / Summer 2020
95% CD “Permit Set” Review and Completion	Summer 2020
Building Permit and other Critical Path Entitlements Issued	Summer 2020
Close financing and start Construction	Summer 2020
Site Work, Utilities & Foundation Construction	Summer/Fall 2020
Project Substantial Completion	July 1 2022
Resident Occupancy of Student Housing	2 weeks prior to Fall classes 2022

Anticipated Risks

Capstone and its team take very seriously the responsibility to deliver this student housing and student success center project. On-time (and on-budget) delivery is of paramount importance in our business. The risks for meeting the project delivery schedule include design and pre-construction efficiency, timely approvals of plans through University and City stakeholders, as applicable, coordinated financial closing to initiate construction, and effective construction management through substantial completion. Capstone's proven development and construction

management process has been honed over our 25 years in the P3 housing and related facility development business, and we are confident that if our University partner will work diligently and collaboratively with us, that we will be able to deliver the project on schedule, subject only to extraordinary circumstances outside of our control (*such as Force Majeure addressed in a section below*).

We have provided a detailed construction schedule with this submittal that anticipates 24 months of construction duration from the inception of demolition to project completion. This schedule has been established with the help of our contractor, PC Construction ("PCC"), and local subcontractors, and responds to the very busy Portland and surrounding region construction market that is experiencing a 'stretched' base of qualified local subcontractors and tradespeople for a project of this size. If we are fortunate to be selected as USM's partner for this development, as we move through the design and development process, our team will work toward a shorter, more efficient schedule, through greater input from sub-contractors. We will not, however, shorten the schedule without careful evaluation and due diligence that gives us the confidence that we can deliver the project on time for a successful move-in for USM students, and a smooth and seamless transition into operations.

Construction Logistics Strategy

Once the preconstruction process is complete, PCC will mobilize into the construction phase. A field office complex will be set up to accommodate the full team; we feel strongly that projects need to be managed from the field – not from the office. Our logistics plan will be developed or refined with input from USM and will include fencing requirements; laydown and parking areas and offsite parking as needed. We also will develop and implement comprehensive safety and security plans and protocols. All workers entering

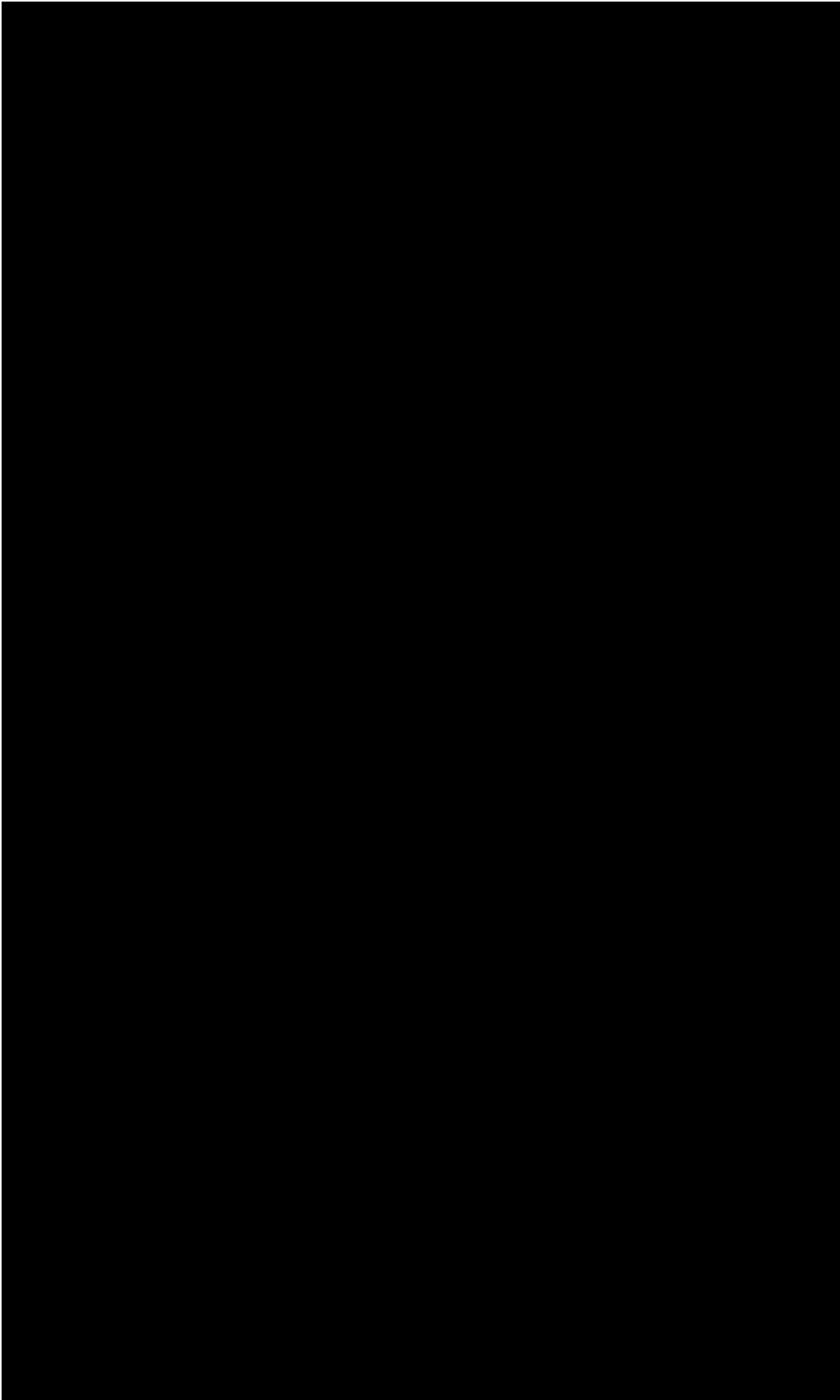


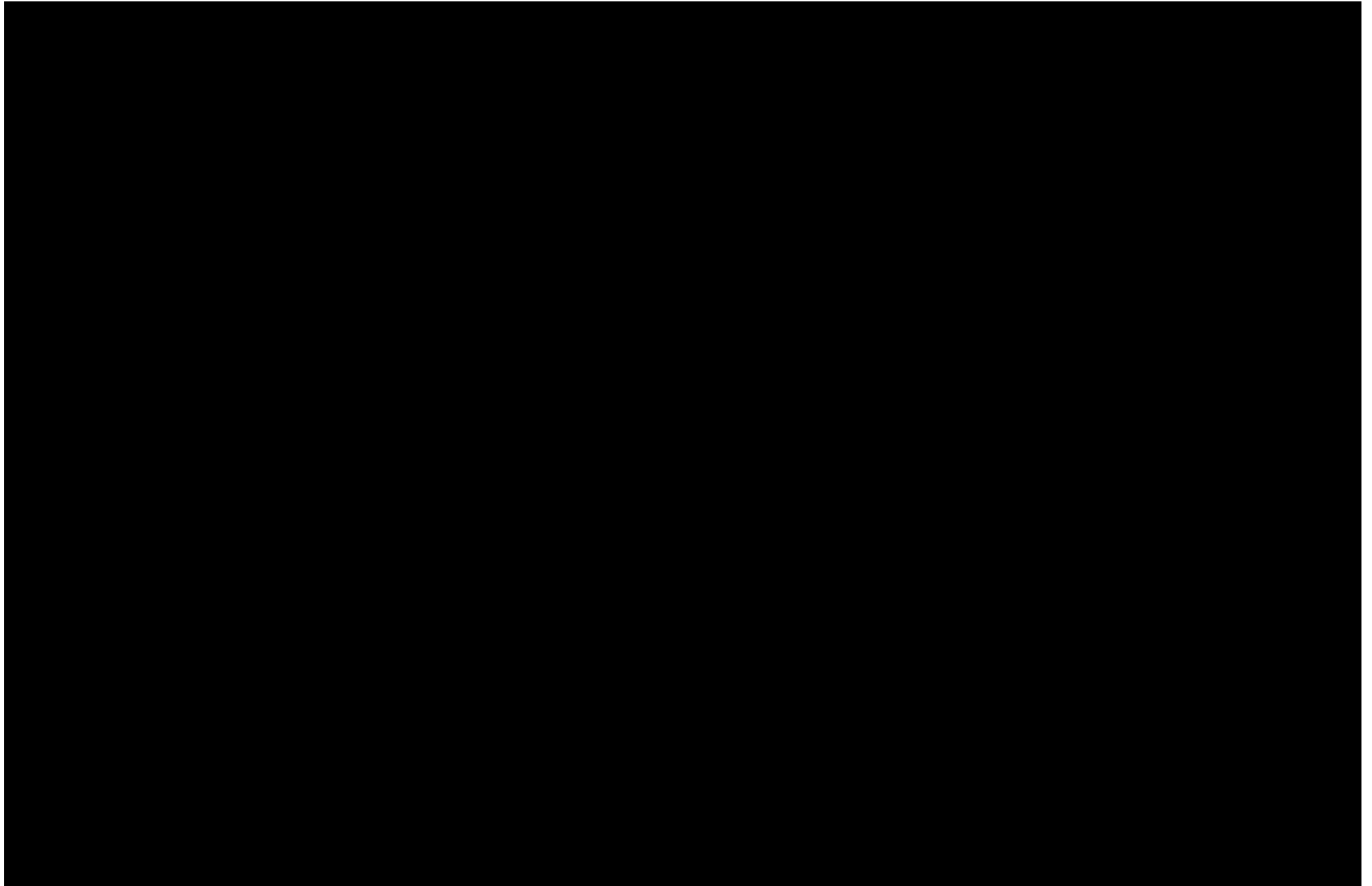
the site will go through a safety and protocols orientation process, so they fully understand the expectations and rules of working on campus. PCC will coordinate material deliveries to minimize impacts of truck traffic to student traffic.

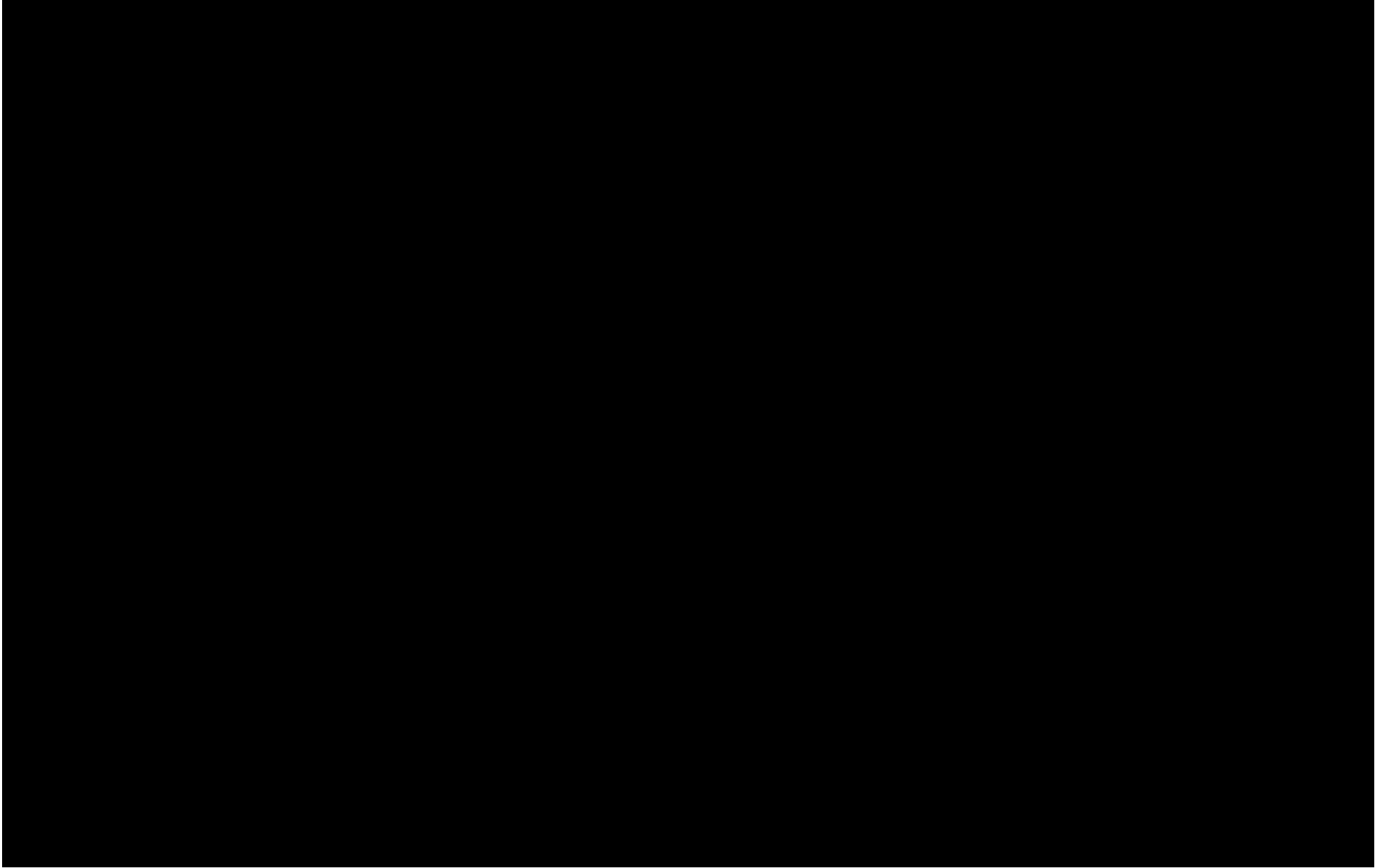
PCC will effectively integrate its construction team into the project working collaboratively to establish clear project goals, priorities and responsibilities, supported by a foundation of open communication. We also will develop and manage a construction phase plan coordinated with USM and the Capstone team (including the design and engineering teams), to optimize the efficiency of construction – including the schedule, documentation submittal process and communication protocols – to maximize organization and efficiency, and minimize the impact to ongoing, adjacent operations. Once under construction, Capstone and PCC will manage the work and the processes using the following tools.

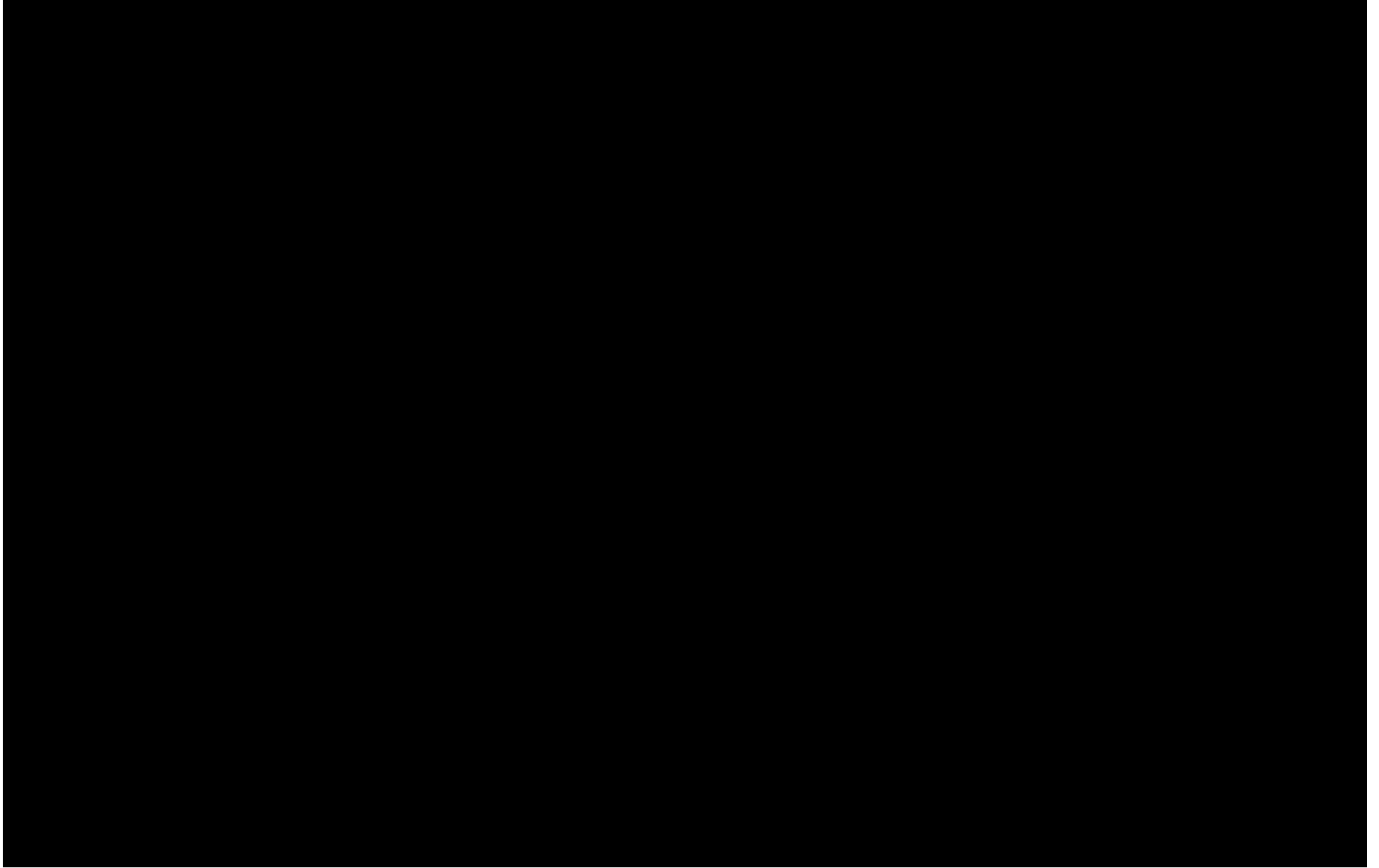
Summary of Construction Phase Services:

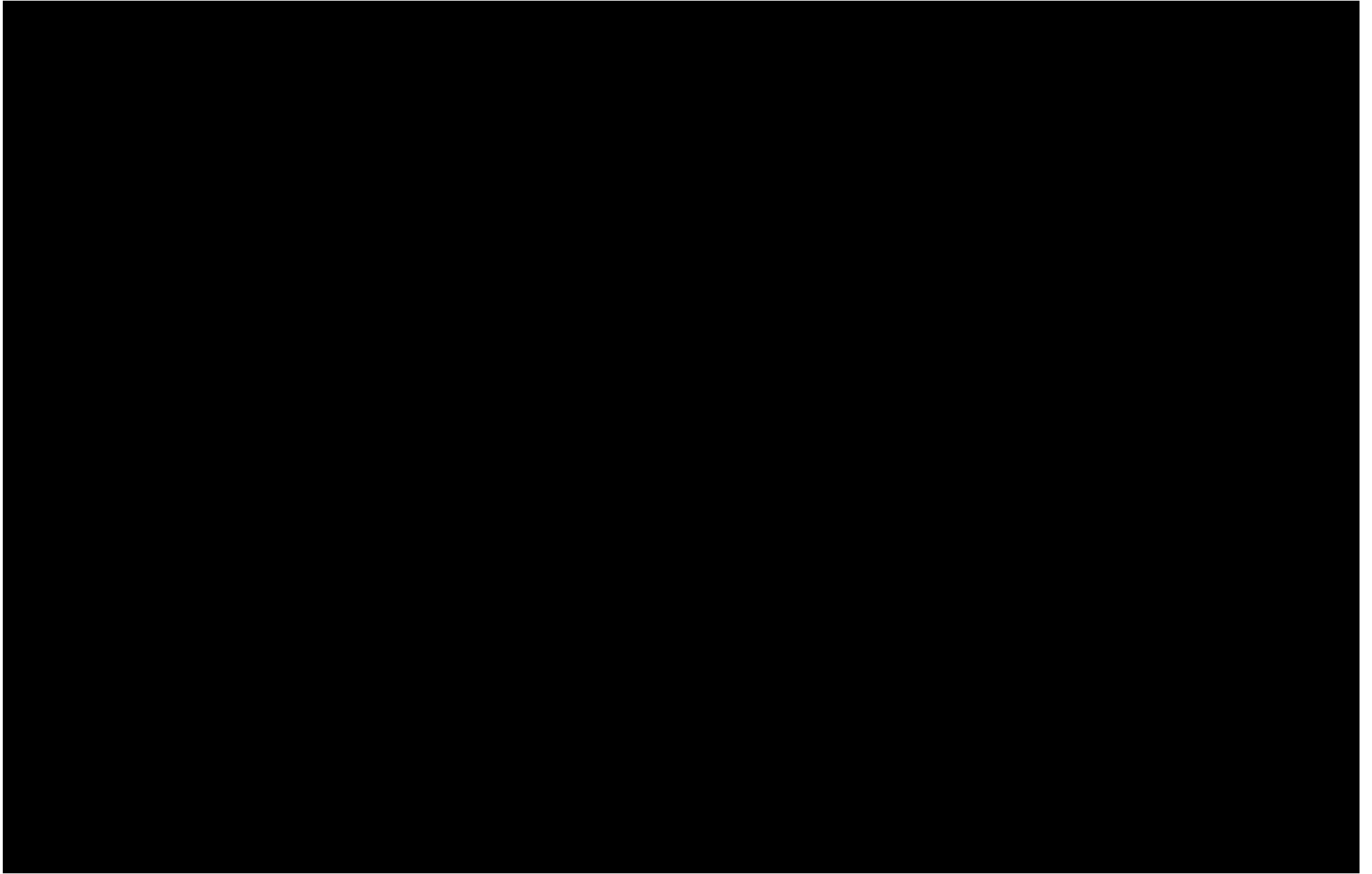
- Foster a collaborative, inclusive and open-book team atmosphere between USM, Capstone and the PCC design-build team.
- Provide construction supervision and oversight to ensure project progresses in accordance with the established budget and schedule
- Implement a comprehensive, project-specific safety program that incorporates USM's required safety protocols
- Manage subcontractor bidding and procurement
- Manage and update detailed construction sequencing and phasing plan
- Manage procurement and delivery of materials
- Manage the schedule to meet critical milestones
- Administer and manage the BIM process and model
- Coordinate construction activities to minimize impacts on neighboring campus activities
- Monitor quality assurance and quality control programs
- Provide cost control management
- In concert with Capstone and USM, review and recommend approval or disapproval of any proposed changes to the original scope of work
- Review and approve subcontractor payment applications
- Manage job-related communications, documentation and meetings
- Coordinate all required inspections from authorities having jurisdiction (AHJs).
- Deliver operations and maintenance manuals and as-built drawings

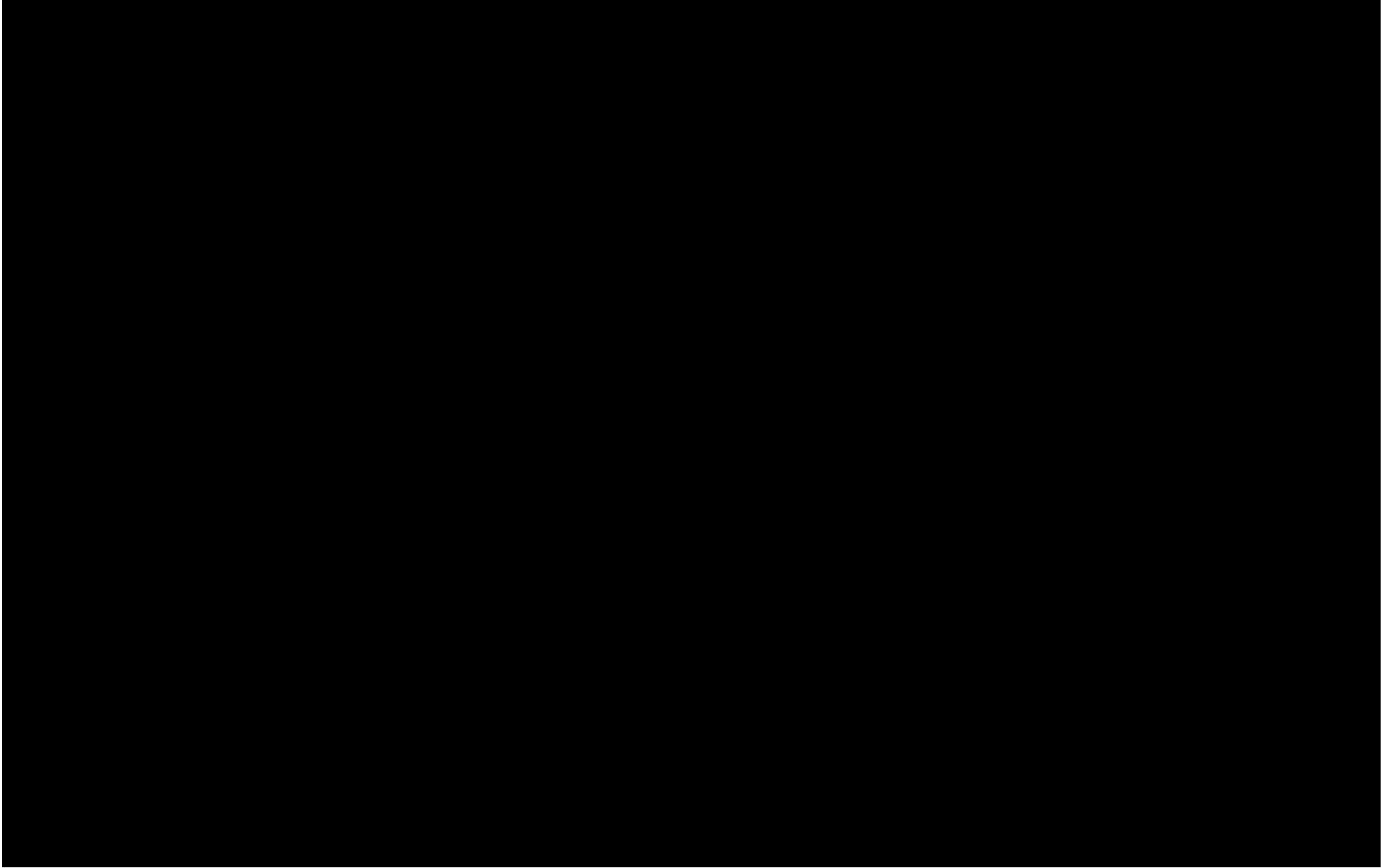


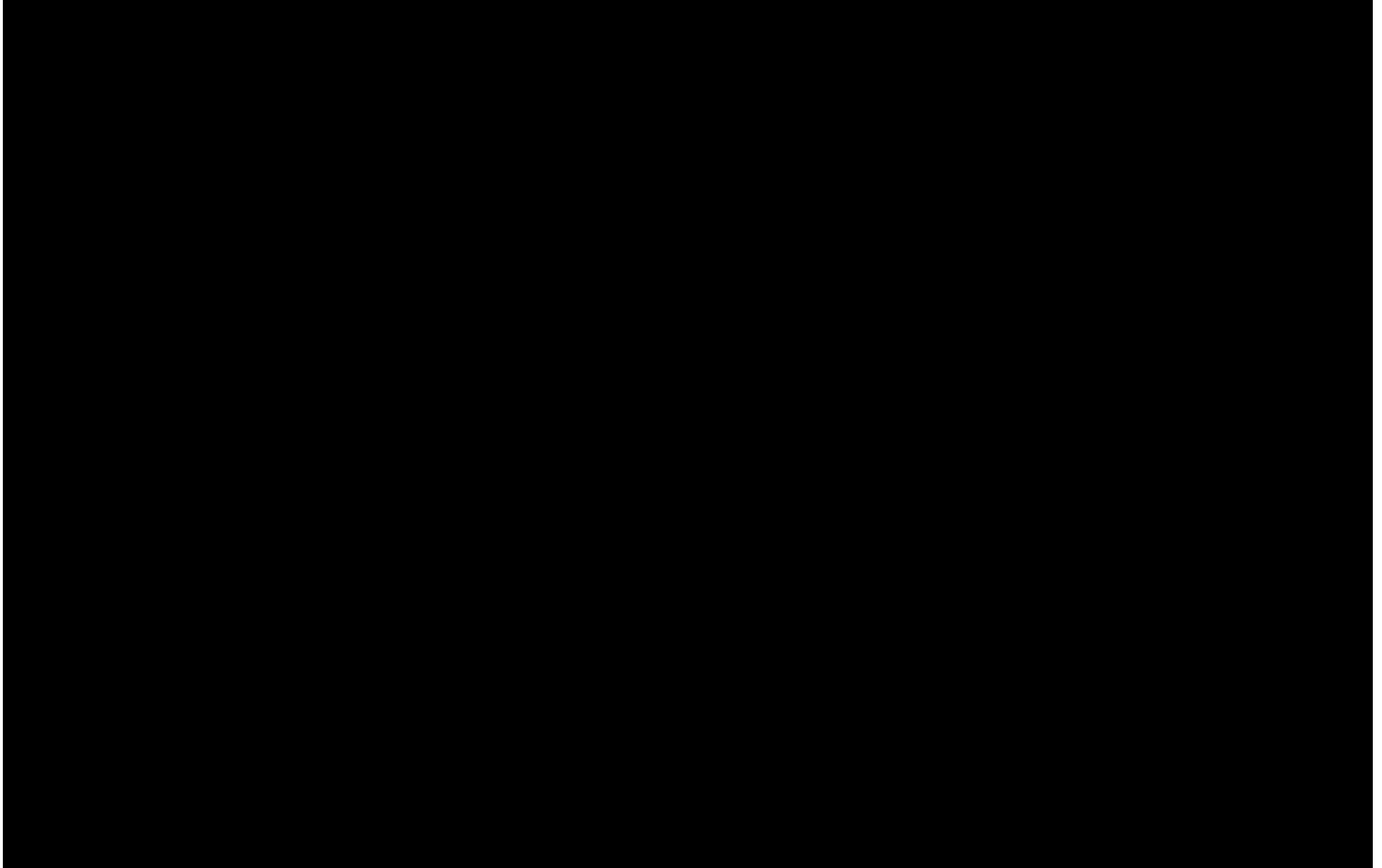




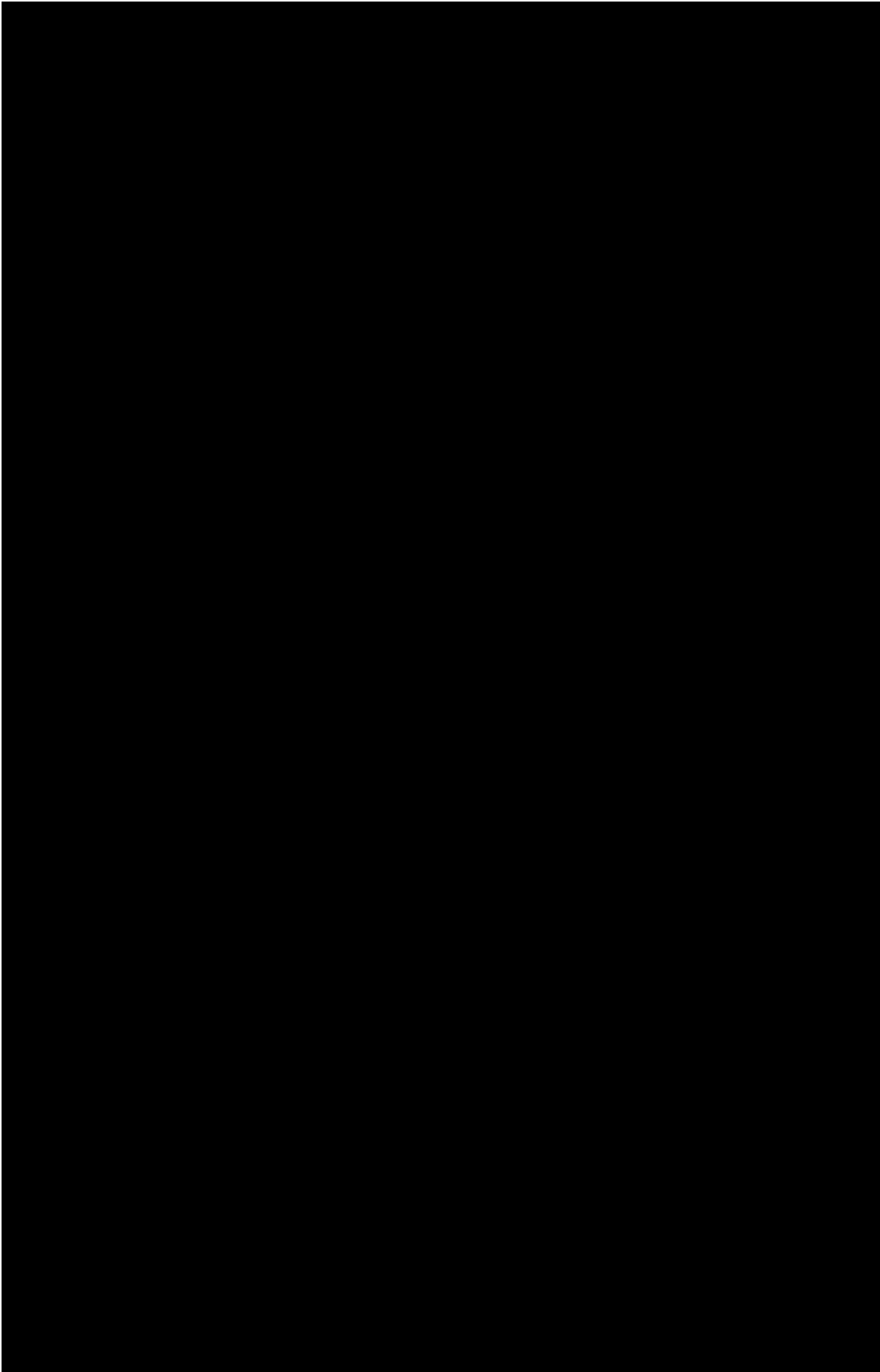


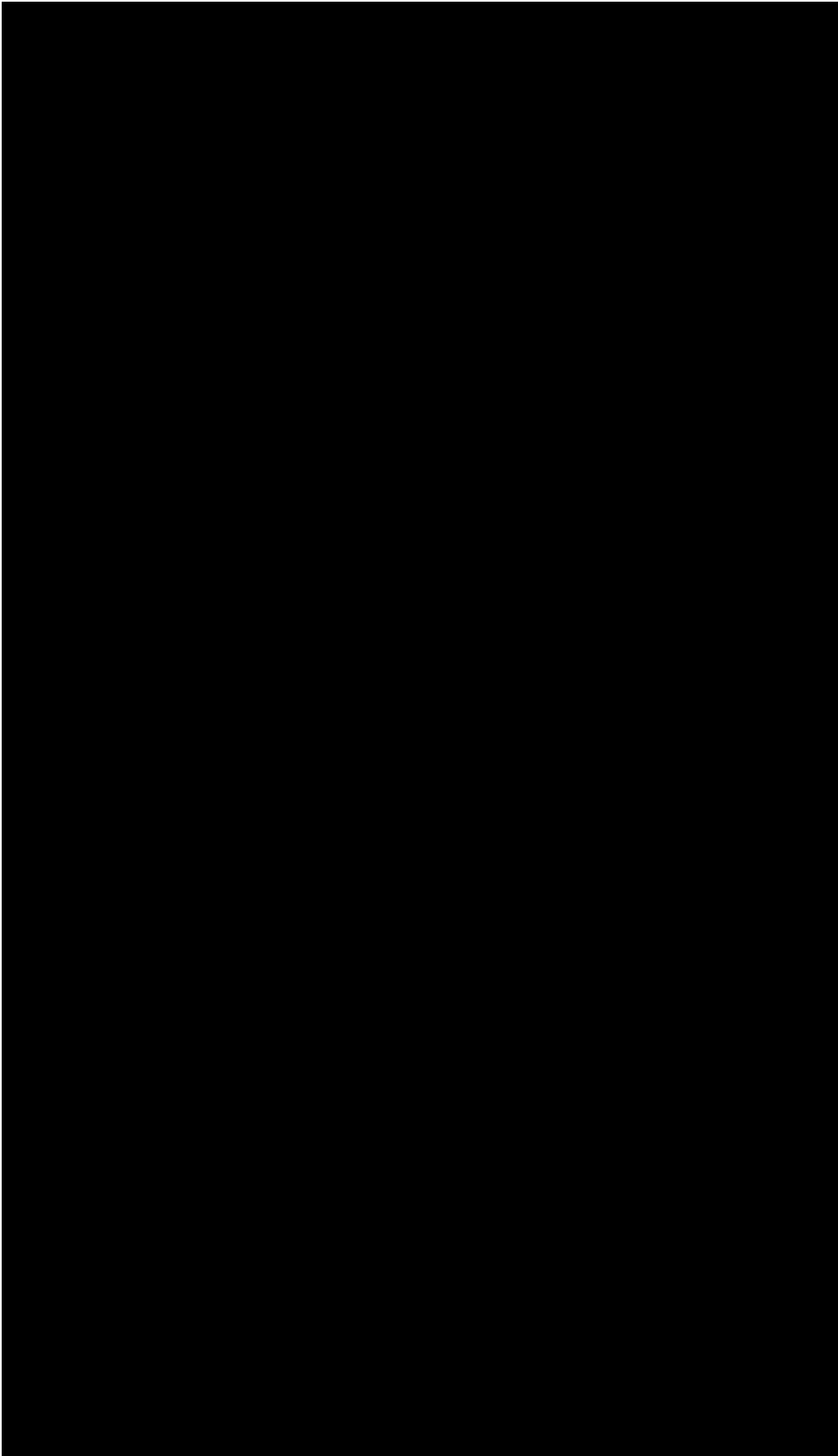




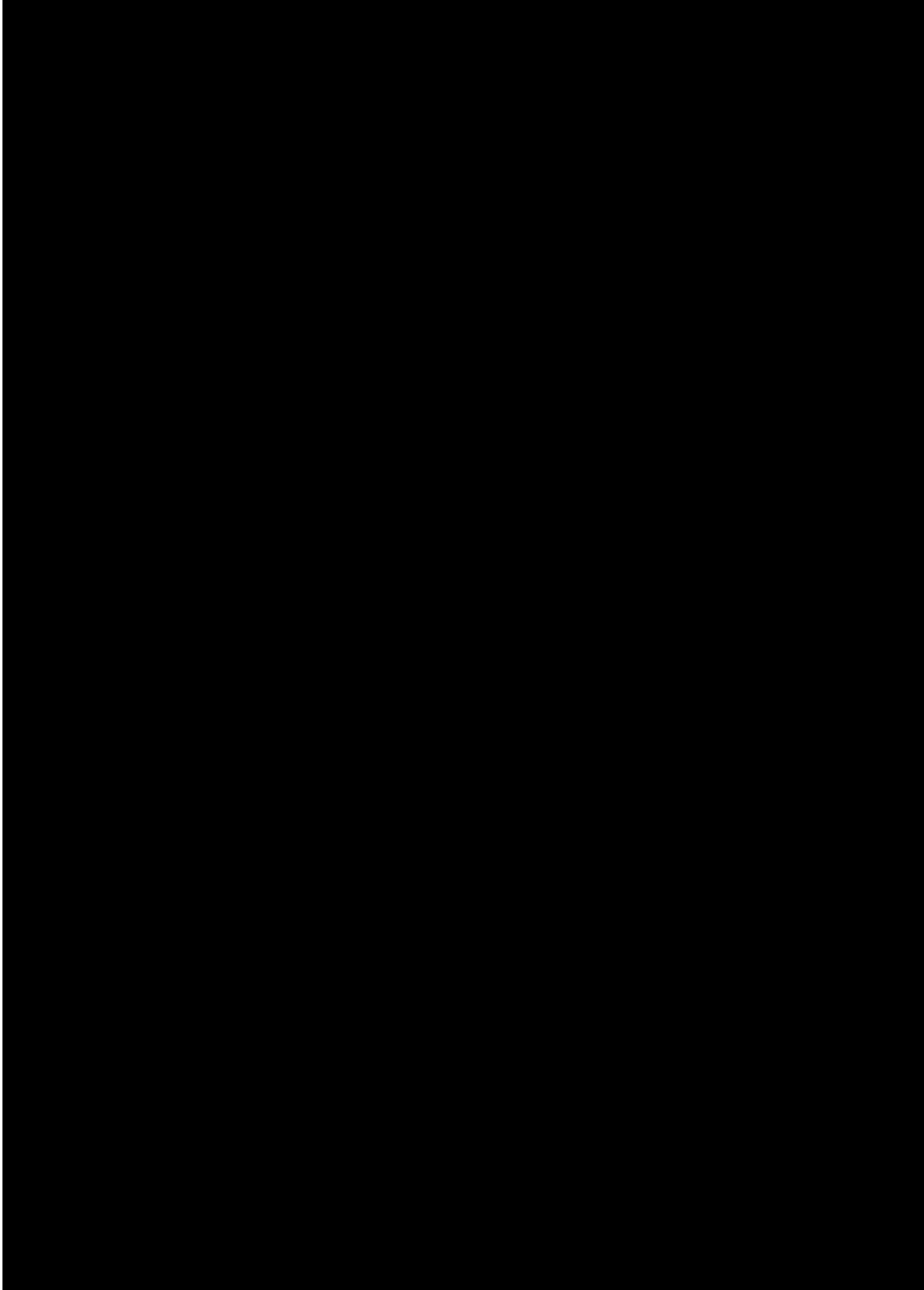




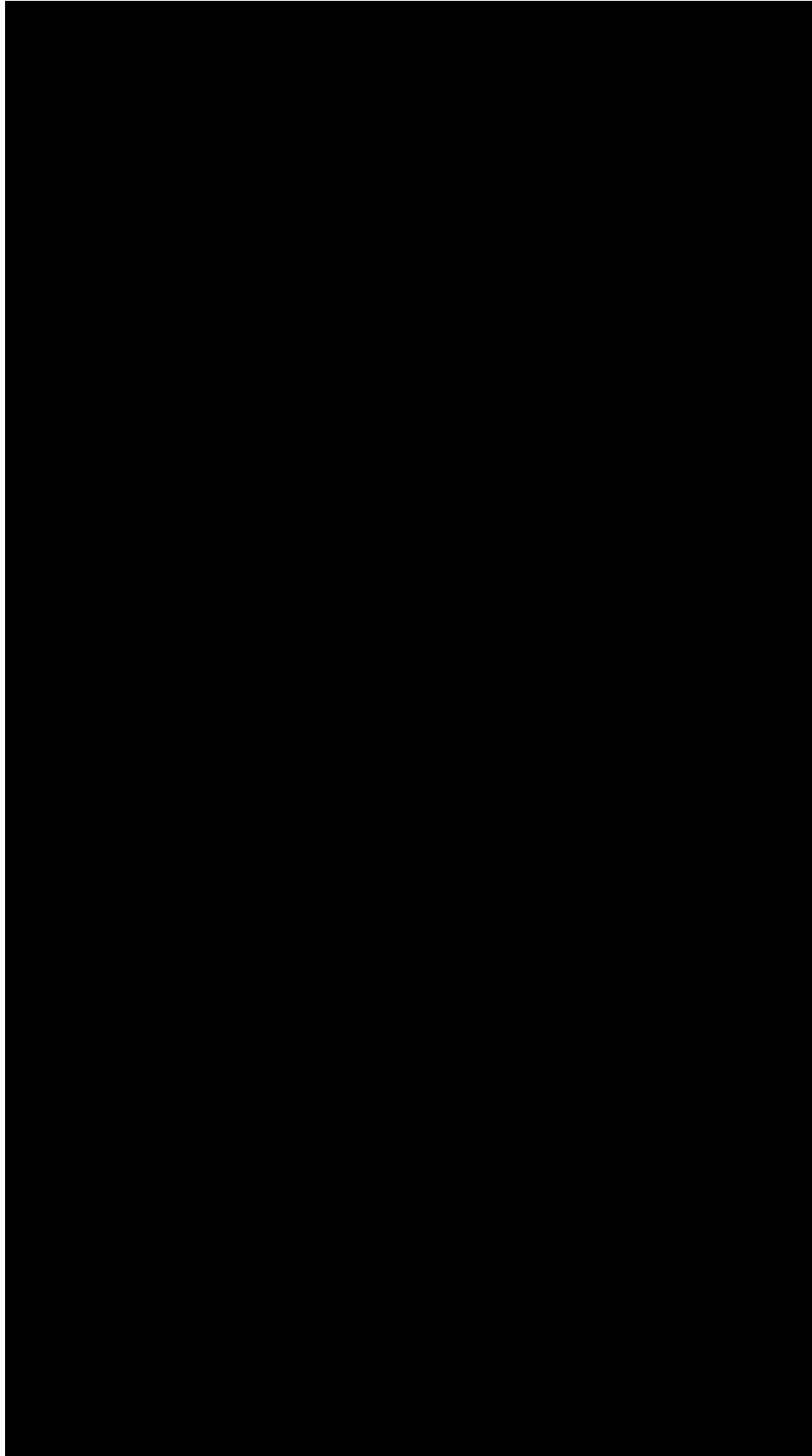




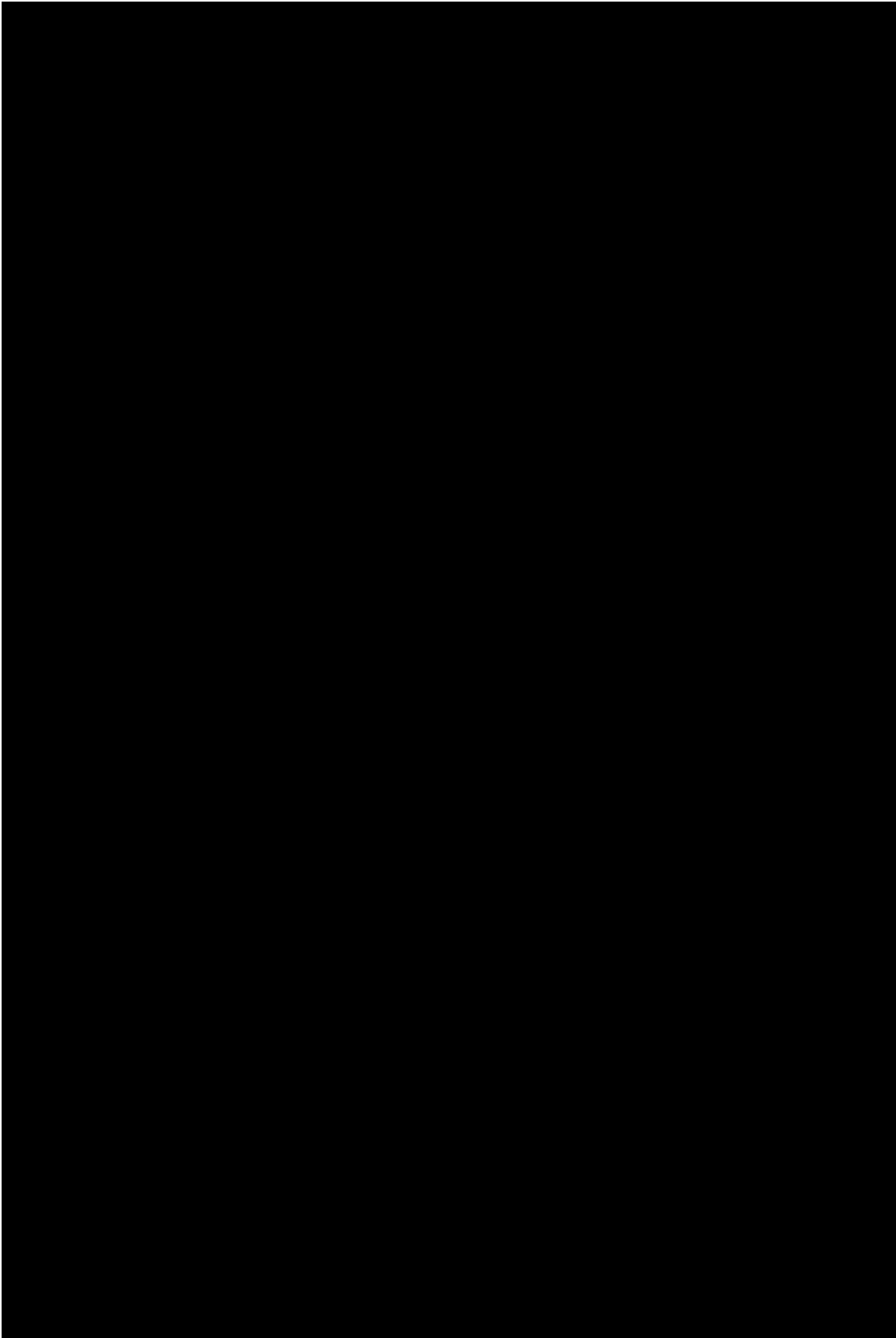
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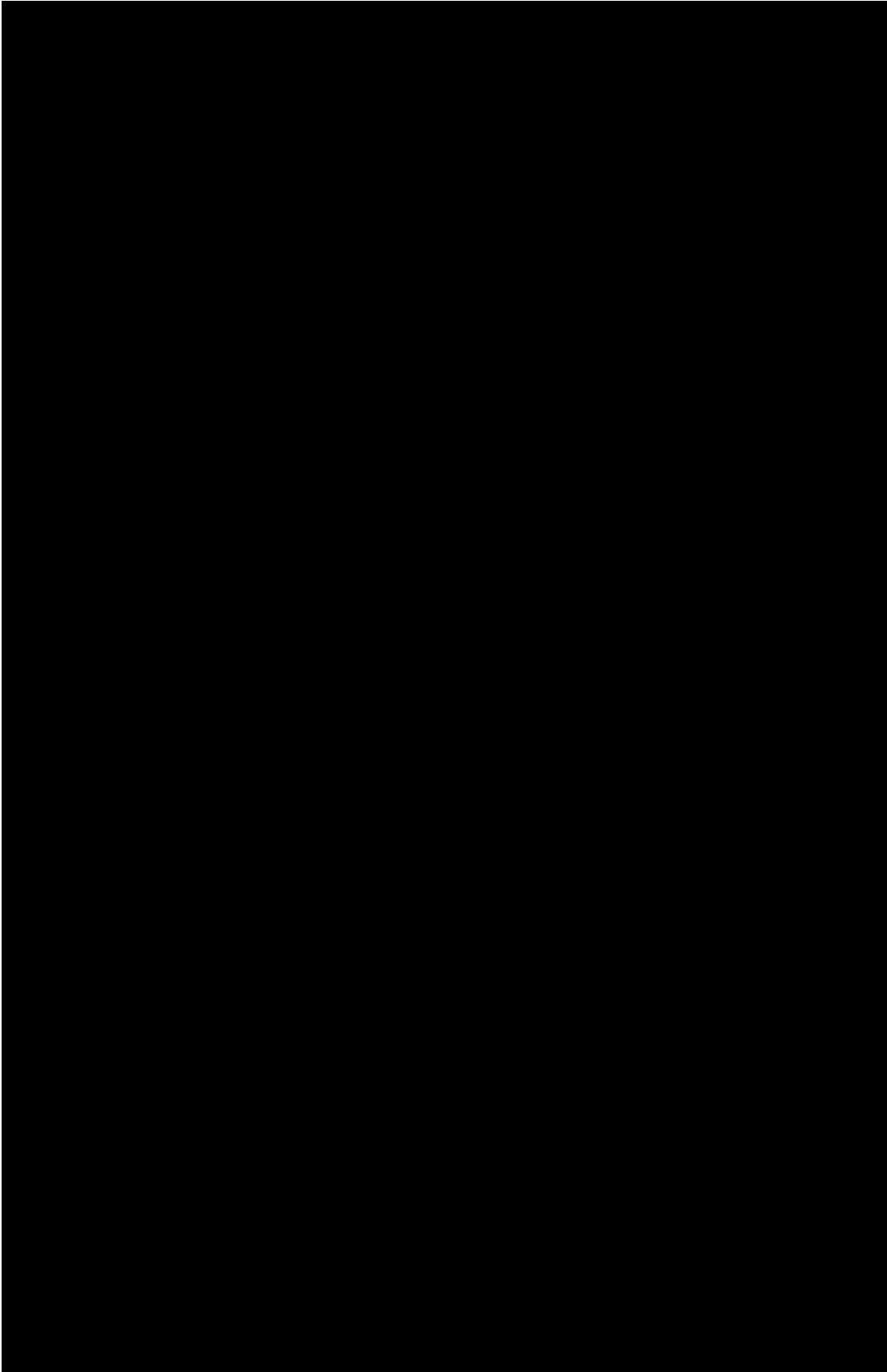
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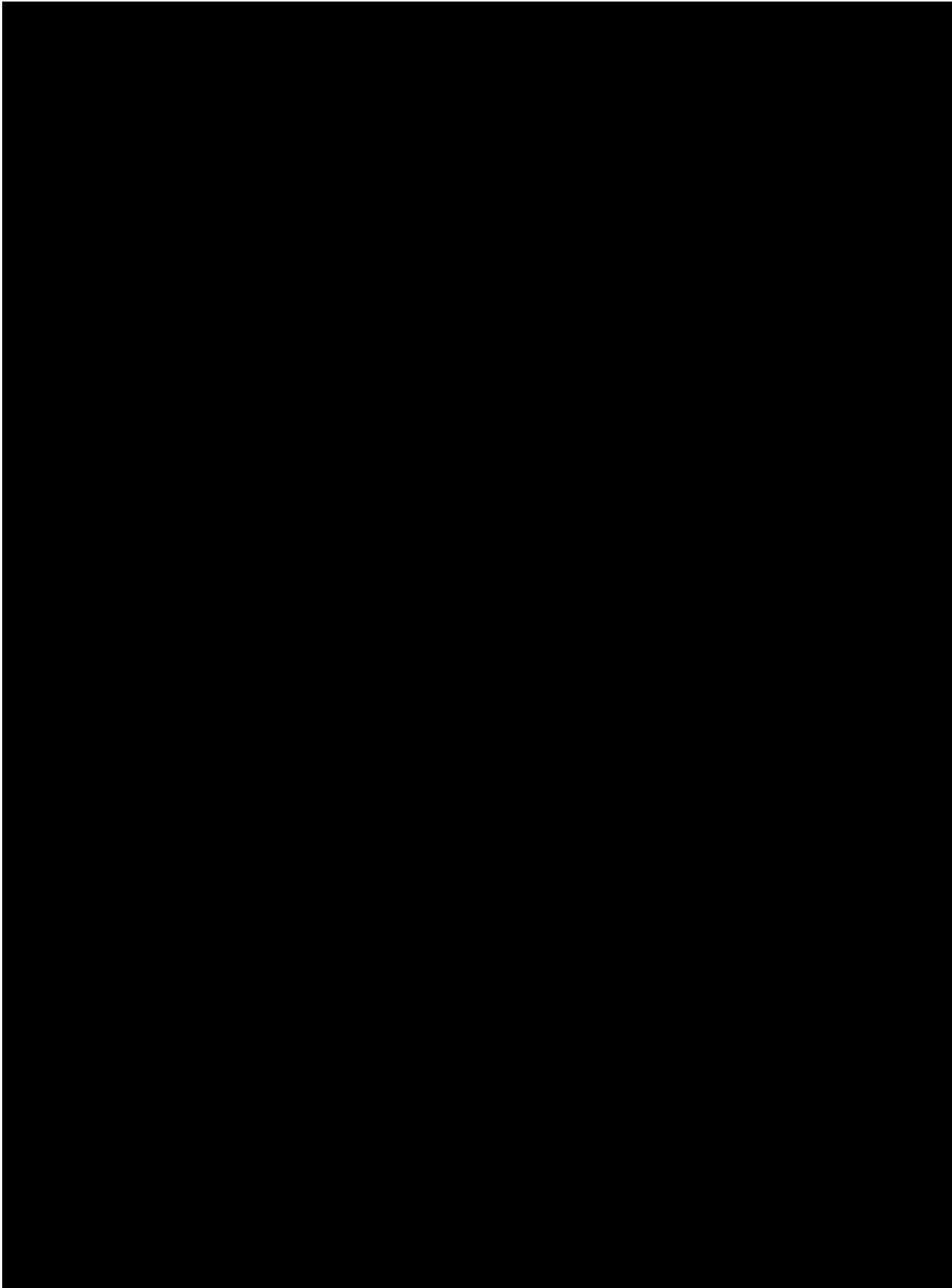
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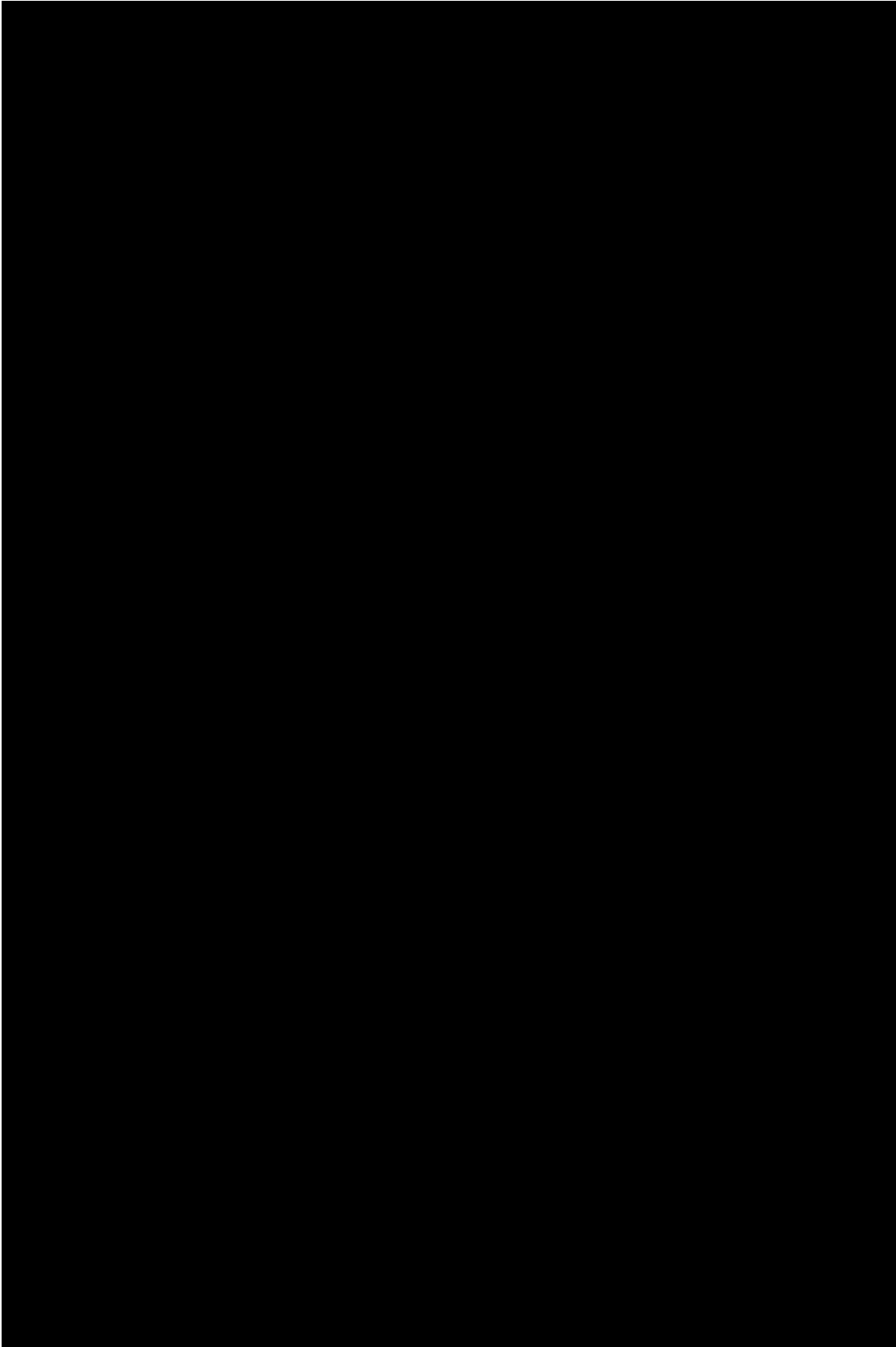
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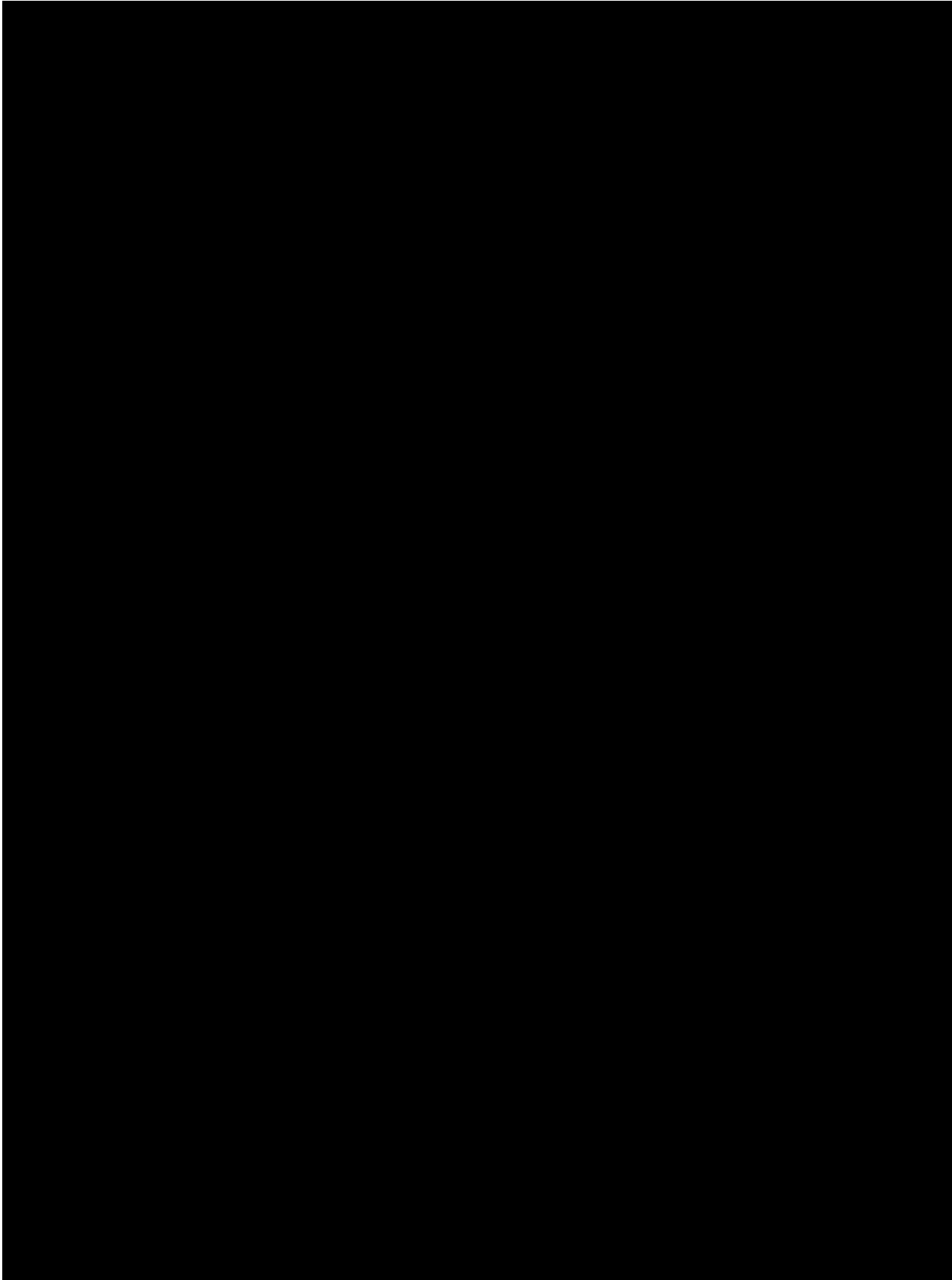
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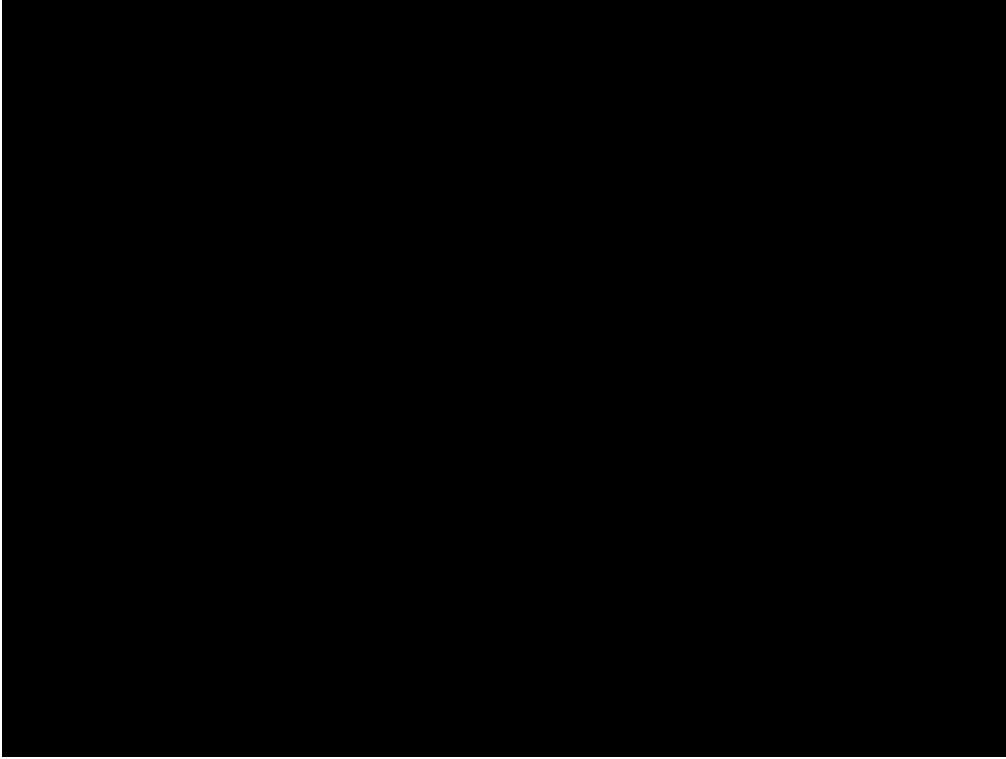


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Capstone Development Partners

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Operations and Maintenance Approach

Capstone anticipates managing all leasing, marketing, maintenance, custodial and asset management responsibilities for the student housing community at University of Southern Maine (USM). In addition, Capstone is prepared to provide maintenance and custodial services for the new student center and believe there is efficiency to be gained by consolidating facility management services for these two facilities; *these potential efficiencies are discussed in more detail, along with operating budget assumptions for each facility, within Tab 10 of this proposal.* These services will be delivered through our management group, Capstone Management Partners (“Capstone Management” or “CMP”), which is owned by Capstone Development Partners.

Capstone Management Partners

CMP provides marketing, leasing, maintenance and operations exclusively for on-campus and university-affiliated student facilities across the nation. CMP-managed properties deliver management services with unmatched excellence in customer service and attention to delivering value. Capstone Management is the natural evolution of Capstone Development Partners (“CDP”) and its need for a reliable and cost-effective management company dedicated to collaborating with CDP to build and support strong, sustainable partnerships with universities. CMP is operated through a strategic partnership with Cardinal Group Management, an innovative and nationally recognized firm that provides accounting resources, training and operational support to Capstone. ***Through this partnership and the hiring of veteran university and student housing professionals to lead this company, Capstone Management is one of the most dynamic and well-qualified on-campus management companies in the country.***



Century Hall
ASU Polytechnic | 320 Beds



M @ College
San Diego State University | 327 Beds



Warmington (3 Assets)
San Diego State University | 260 Beds



75 Arkansas Street
California College of the Arts | 200 Beds

The CMP Team

The combined leadership experience of the management team expected to lead the operational planning, start-up and long-term operations of these facilities is substantial. *This team will be led by Dr. Matthew Brown who serves as President of CMP.* He will be directly engaged in the operational planning during the preconstruction, construction and start-up phases of the proposed project ("Project"). Additionally, *CMP's Vice President of Operations, Jana Faro, leads the development of the marketing and leasing plan, operating budgets and execution of start-up activities for the Project.* Robert Brown, *Capstone's Vice President of Asset Management will also be involved in the establishment of a capital renewal plan for the facilities.* **Early engagement by our senior leadership allows CDP and Capstone Management to be more effective and efficient in planning for the opening and operation of USM's new housing facility.**

The on-site management team will be directly supported by a **Portfolio Manager** and a dedicated portfolio team. CMP's portfolio team for USM will include a *Portfolio Operations Manager, Assistant Portfolio Manager and Property Accountant.* By segmenting the roles and responsibilities typically borne by a single Regional Manager, CMP is able to provide additional resources and capacity to all of our campus partners and residents. ***This approach ensures greater continuity of service, professional oversight in all areas of focus, and project knowledge redundancy that provides substantially more resources and expertise*** than the traditional Regional Manager model utilized by CMP's competitors.

Integrated Management Model

CMP will work closely with USM and CDP to identify the most efficient and mutually beneficial approach to the operation, leasing and maintenance of the proposed new facilities. CMP will deliver competitive and detailed operating budgets that support the overall needs of the project and institution. *CMP's goals are to enhance USM's housing and campus life programs, support the success of your students and maintain affordable housing rates.* CMP is well-qualified to work closely with USM in the planning, programming and management of the proposed housing and student center through a collaborative and assessment-focused approach to leasing, facility maintenance and operations.

Based on the experience of the Capstone Companies with approximately 70 university partners, a successful campus life and operations plan is generally best served via an **Integrated Management (IM)** model that combines the strength of the university's student support programming with the efficiency and focus of the private sector providing leasing, financial reporting and facility maintenance in an integrated operating structure. While CMP anticipates providing specific services for this Project, we will meet with the university stakeholders to review and ensure all operational responsibilities and procedures for the new facilities are addressed and that appropriate services and support from the university are integrated into the Project. CMP utilizes a custom **Performance and Accountability Chart (PAC)** to identify each critical component of the operation. This approach explores in great detail what services will be provided, what coordination will be necessary with the University and how performance is to be measured.



Dr. Matthew Brown | President

- 25+ years of on-campus student housing and facility management experience
- Previously senior housing officer at Oklahoma State Univ. and AVP for Facilities & Contract Services at Arizona State Univ.



Jana Faro | VP Operations

- 15+ years of on-campus experience
- Previously the Assoc. Director of Housing Operations at Portland State and Director of Housing Facilities & Technology at Arizona State Univ.



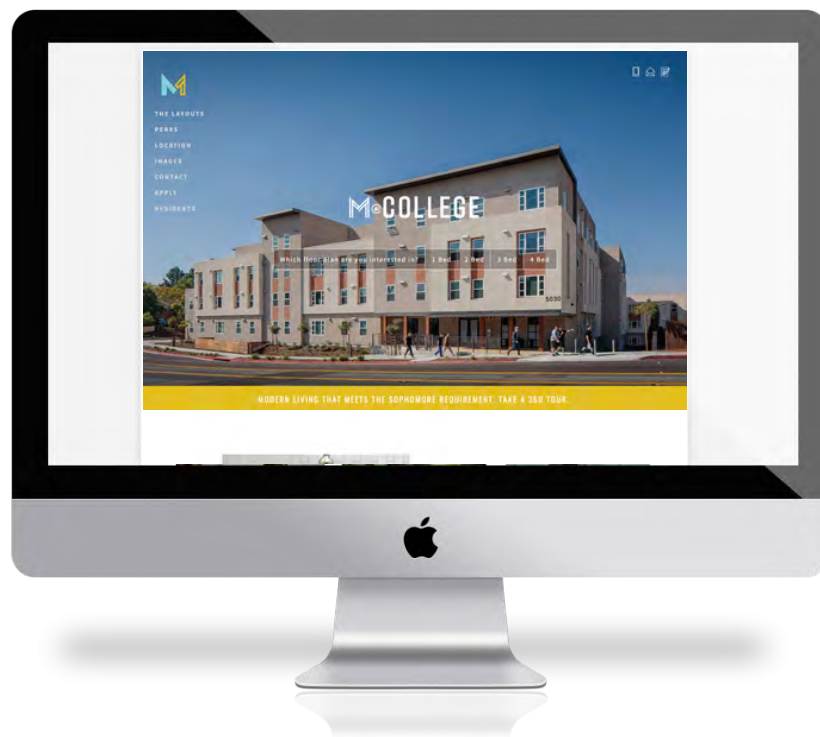
Robert Brown | VP Asset Mgmt.

- 15+ years of both private and public sector experience having managed the planning, development and operational oversight of multiple P3 student housing projects.

Marketing and Leasing

CMP has extensive experience with the development and execution of effective marketing and branding campaigns for student housing. We are proud to partner with *Agency Fifty3*, a nationally recognized student housing marketing firm, whose services support our efforts in branding and marketing new student housing communities. Through this partnership, CMP delivers cutting-edge digital and print marketing materials that are cost-effective and dynamic. We utilize contemporary technologies to deliver project websites, social media campaigns, digital advertising and for-print collateral materials. CMP has significant experience developing and executing successful leasing plans that maximize leasing velocity and resident retention. We bring substantial corporate resources, training and strategies that ensure we develop and implement a highly efficient and effective leasing process. Through market segmentation, social media and dynamic communications, we identify a branding and outreach strategy that targets graduate students who are most likely to consider living at the community.

Agency Fifty3 designed the branding and marketing collateral for Capstone's property at San Diego State, M@College. The sleek and user-friendly design of the project and leasing website gives prospective residents the ability to scroll through the website and view unit layouts, photo galleries and request more information.



Facilities Maintenance

CMP will develop a preventative maintenance plan detailing how all routine and preventative maintenance work will be completed for both facilities. Additionally, our standard operating procedures will provide the on-site team the tools to properly assess and plan for routine/preventative maintenance as well as capital repair and replacement needs. CMP will annually update the preventative maintenance plan while maintaining thorough records of service plans, schedules, permits, licensing and certifications, as well as replacement schedules for building systems and associated equipment. In addition, CMP will develop a customized scope and frequency document, as well as maintenance manuals, that further detail and document how routine maintenance and custodial activities will be conducted.

These documents will be grounded in the experience and expertise of Capstone. CMP's standard is to provide maintenance and custodial services that are consistent with APPA Standard Level 2. These standards are accomplished through properly trained staff, tracking systems and checklists for each facility to ensure university and industry standards are consistently met or exceeded. CMP performs regular inspections, cross-trains employees where appropriate, and outsources special services as needed.

CMP utilizes Standard Operating Procedures that ensure quality control for maintenance and custodial services. We will develop and deliver customized written policies and procedures that focus on the following core areas for the new community.

Facilities Maintenance

The facilities will be maintained at APPA Level II – Comprehensive Stewardship. These standards will be accomplished through tracking systems and checklists for each building to ensure university and industry standards are consistently met or exceeded. CMP will perform regular inspections, cross-train employees where appropriate and outsource special services as needed. The Maintenance Team Lead and/or Maintenance Technicians will be on-call 24/7 for all emergency issues.

Preventative Maintenance (“PM”)

Emphasis will be placed upon developing an effective asset inventory and PM program that includes a system of logs and automated reports to help maintain warranties and guarantee equipment remains in the best condition possible, meets or exceeds life cycle expectations and prevents deferred maintenance.

Custodial

CMP understands that each residential community is unique, so the custodial plan will be tailored by our site staff and adjusted as needed. **The cleaning standard will be APPA Level II – Ordinary Tidiness**, and a custodian will be on-call 24/7 for emergency incidents. *Our written custodial standards will meet or exceed the USM Custodial Procedures provided in Appendix G of the RFP.*

Reporting

CMP will produce a number of reports for the University and Ownership that ensure everyone is well informed on the status and performance of the Project. Our standard reporting package includes the following (as applicable):

Weekly Leasing Reporting

The weekly leasing report is a tool we use to provide our clients with a summary of occupancy and leasing activities. This report will typically include:

- Current and projected future occupancy for the community
- Preleasing activity including pending and executed license agreements
- Marketing events and resident activities including the number of leads for new leases
- Competitor review: data on competing properties in the market

Monthly Manager Report

The monthly report focuses both on building and financial performance, summarizing operating activities and expenses and highlighting any variance between performance goals and expectations. It also provides a comparison of current to prior year actuals, and a forecast of operations through year-end. CMP provides a detailed explanation for any variances outside of the agreed upon tolerances. This reporting tool is critical to making informed financial decisions. This report includes a full financial report package for the prior month containing the balance sheet, income statement, trial balance, bank reconciliation report, trust account reconciliation (if applicable), payables, receivables and other supporting information, as desired by the University.

CMP's Annual Budget Process

Each year, CMP will present a proposed annual budget to Ownership for approval with input provided by the University. This budget will be developed by the General Manager in partnership with the Portfolio Team and Vice President of Operations. CMP views budgeting as a collaborative process and welcomes University input to ensure accuracy. This process serves as an additional quality control measure and ensures the final budget document is thoroughly vetted and accurately represents the expectations for the next year's operations.

CMP's Annual Report

This report provides a summary of all activities from the previous year, including:

- Executive summary
- Summary of the previous year's financial performance
- Status of the physical condition of the facilities
- Capital projects planned and completed
- Marketing efforts and occupancy data
- Staff summary, including changes and training completed
- Analysis of local housing market and rate change recommendations

Capital Renewal

The Capstone team understands the importance of implementing a long-term capital renewal plan for the benefit of the new USM facilities, and we look forward to working as a team with you to implement and report on the execution of the capital renewal plan to ensure the long-term operational success of the new project. *Effective capital renewal planning assures long-term quality facilities and preserves the marketability of the buildings.* CDP and CMP have both the experience and capabilities to effectively maintain the new facilities over the term of the ground lease.

CDP utilizes a robust planning software model that encompasses all major building systems and virtually all system components in the community to be managed. During predevelopment we assemble a line-item breakdown of system components (site, building envelope, roofing, hardware and equipment, interior surfaces, mechanical systems, plumbing and electrical) based upon a review of the construction plans, specifications and associated budgets.

To schedule major capital repairs and replacements “Renewal Work,” we utilize industry-accepted component lifecycle data from resources such as BOMA, ANSI, ASHRAE, ASTM, etc. in addition to considering project specific attributes such as location, type, use, and size to develop a detailed schedule for planned renewal work based on a lifecycle cost analysis of all potential renewal liabilities.

To ensure sufficient funding is available to support Renewal Work during operations, a share of operating revenues will be escrowed annually and booked and utilized in accordance with the requirements provided in the governing documents. These reserve funds are in addition to Capstone's annual operating expense budget for general repairs and maintenance.

As a part of our annual budget development and review, CMP will assess the condition of each of the items scheduled for repair/replacement and prepare and present to the Advisory Committee its recommendations for Renewal Work during the following year. The Advisory Committee will include a combination of representatives from USM and the Capstone team. Any approved funds that are not expended in the applicable budget year will remain in the reserve account to be available for future Renewal Work.

While the initial capital renewal plan serves as the roadmap for scheduling and completing Renewal Work during the ground lease term, this plan will be carefully reviewed and updated annually to reflect evolving renewal needs. Renewal needs are identified through regular building inspections and our completion of proactive preventative maintenance tasks. Overall, we feel that this comprehensive capital renewal planning process offers differentiated value to our university partners, and provides both USM and the Capstone team confidence that the residential assets we design and deliver will be maintained to a high standard of quality, supporting the ongoing goals of marketability and student occupancy, as well as maximizing the useful life of the community.



Carbon Reporting

CMP is committed to a collaborative partnership with USM that includes fulfilling our mutual obligation to build a more sustainable world. CMP works with the staff and students in our communities to support local action through sustainable move outs, recycling programs and resource conservation initiatives. We are dedicated to utilizing green cleaning methods and products that support a healthy and safe living environment for students. We will provide a sustainable approach to the management and operations of projects that meets or exceeds your expectations. We believe that comprehensive preventative maintenance planning not only reduces down time and replacement expenses for equipment, it also reduces energy consumption utility costs over the life of the facility. For these reasons, CMP is committed to properly maintaining equipment to reduce waste and minimize potential environmental impact.

With this in mind, CMP will also provide detailed monthly reporting on energy and water consumption as well as refuse and recycling hauling. Our monthly utility report for electric, gas and water/sewer will include the following details:

- meter location;
- the utility it services, account number;
- meter reading;
- units consumed;
- and total cost for the utility billing period.

This report will be distributed to the University on a monthly basis and will include a cumulative total for the fiscal year as well as year over year comparisons of both usage and costs beginning in year two of operations. CMP will also provide details on waste hauling including actual or estimated pounds of recycled materials diverted from the landfill. Understanding the actual performance of the buildings in relation to the energy modeling and recycling will allow CMP and the University to better forecast ongoing costs and potential opportunities to improve building efficiency and waste diversion.

Tab 10: Project Pro Forma

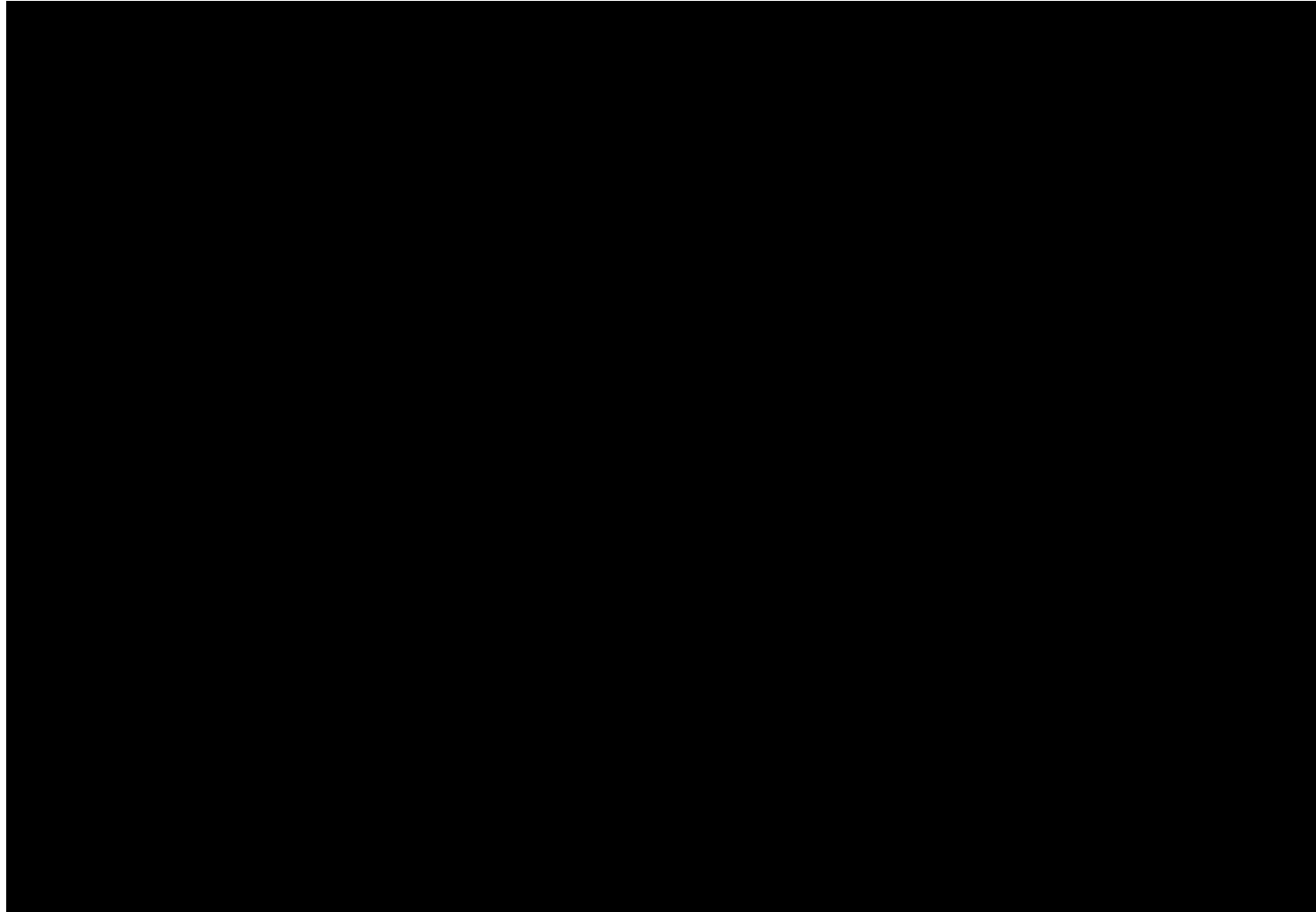


Tax-Exempt Model

CONFIDENTIAL



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CONFIDENTIAL



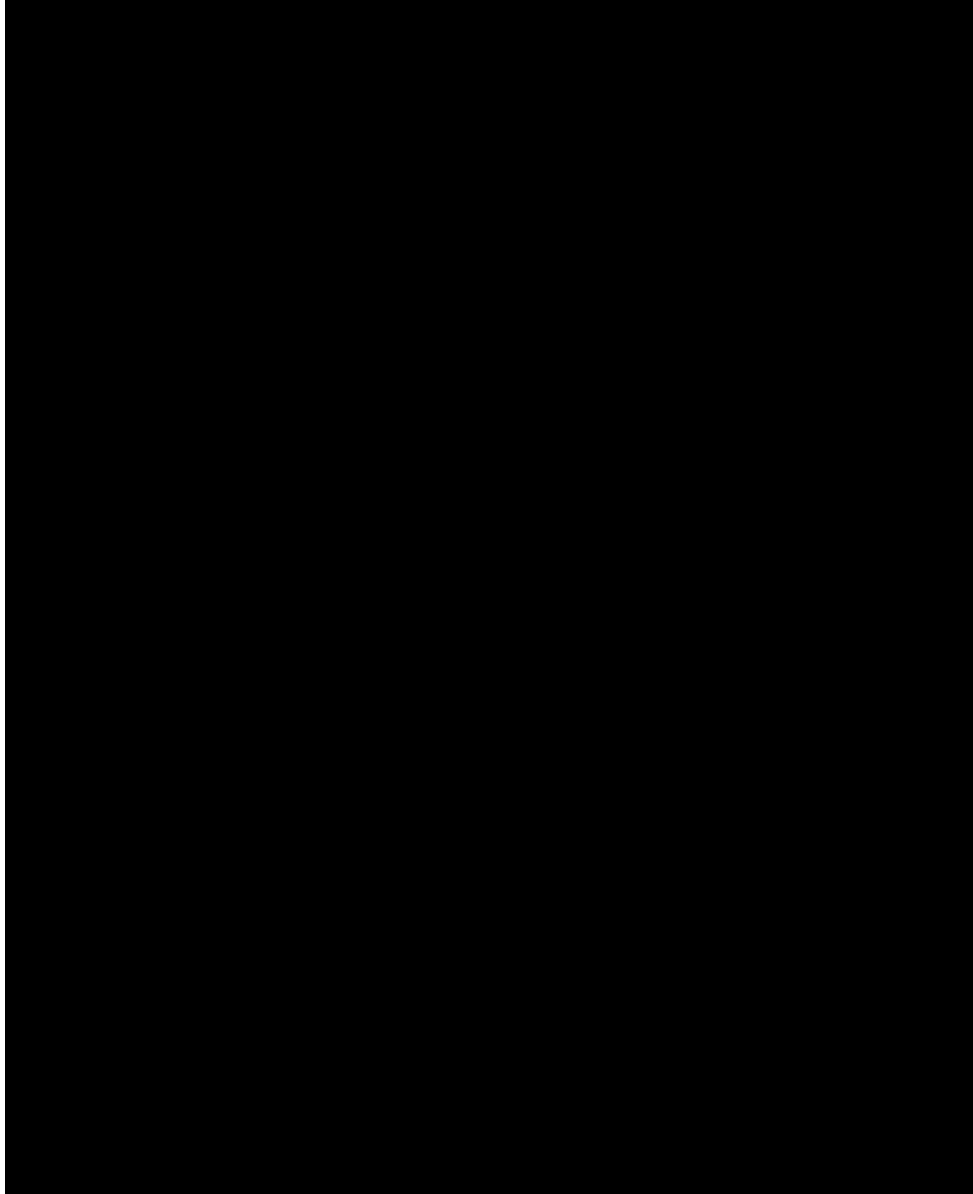
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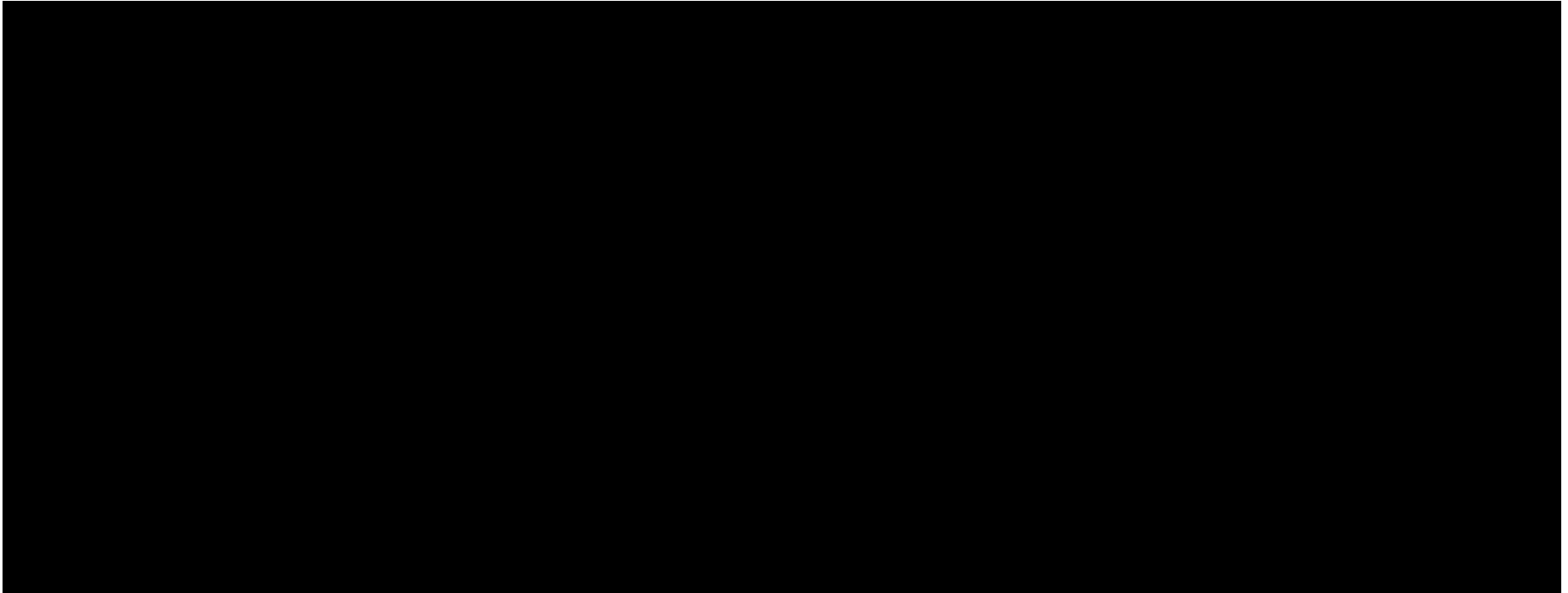


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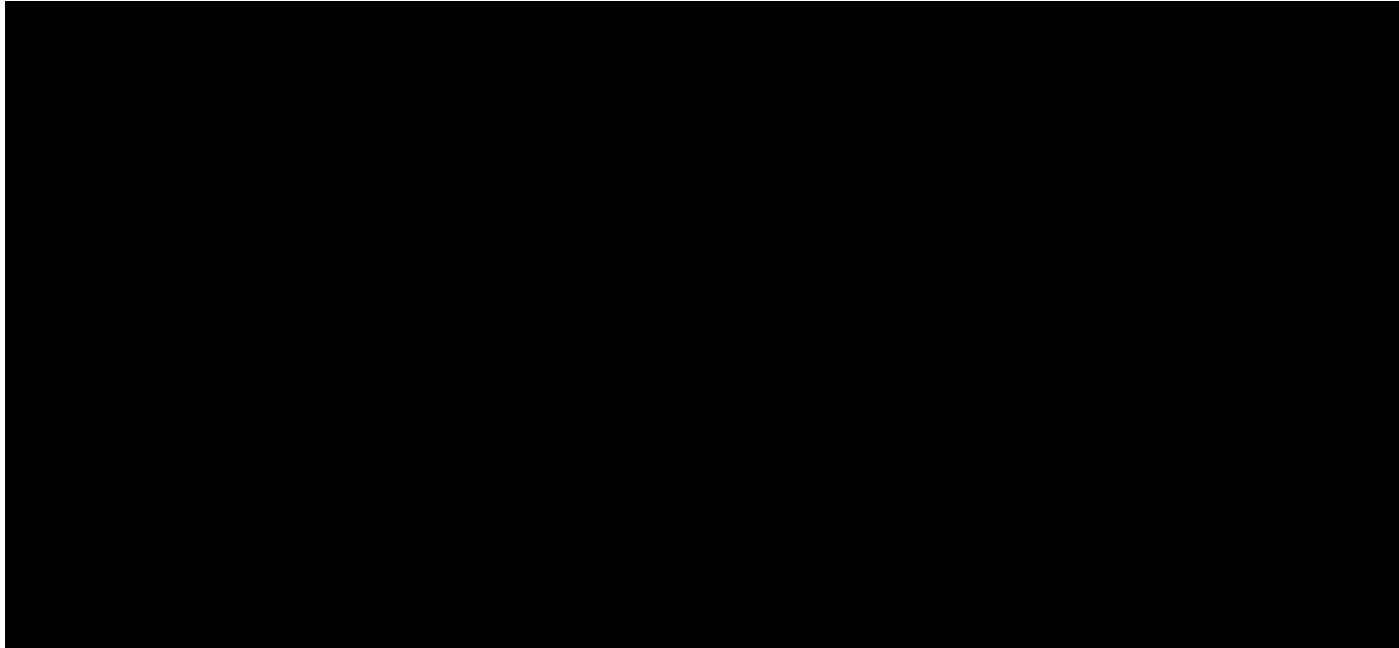
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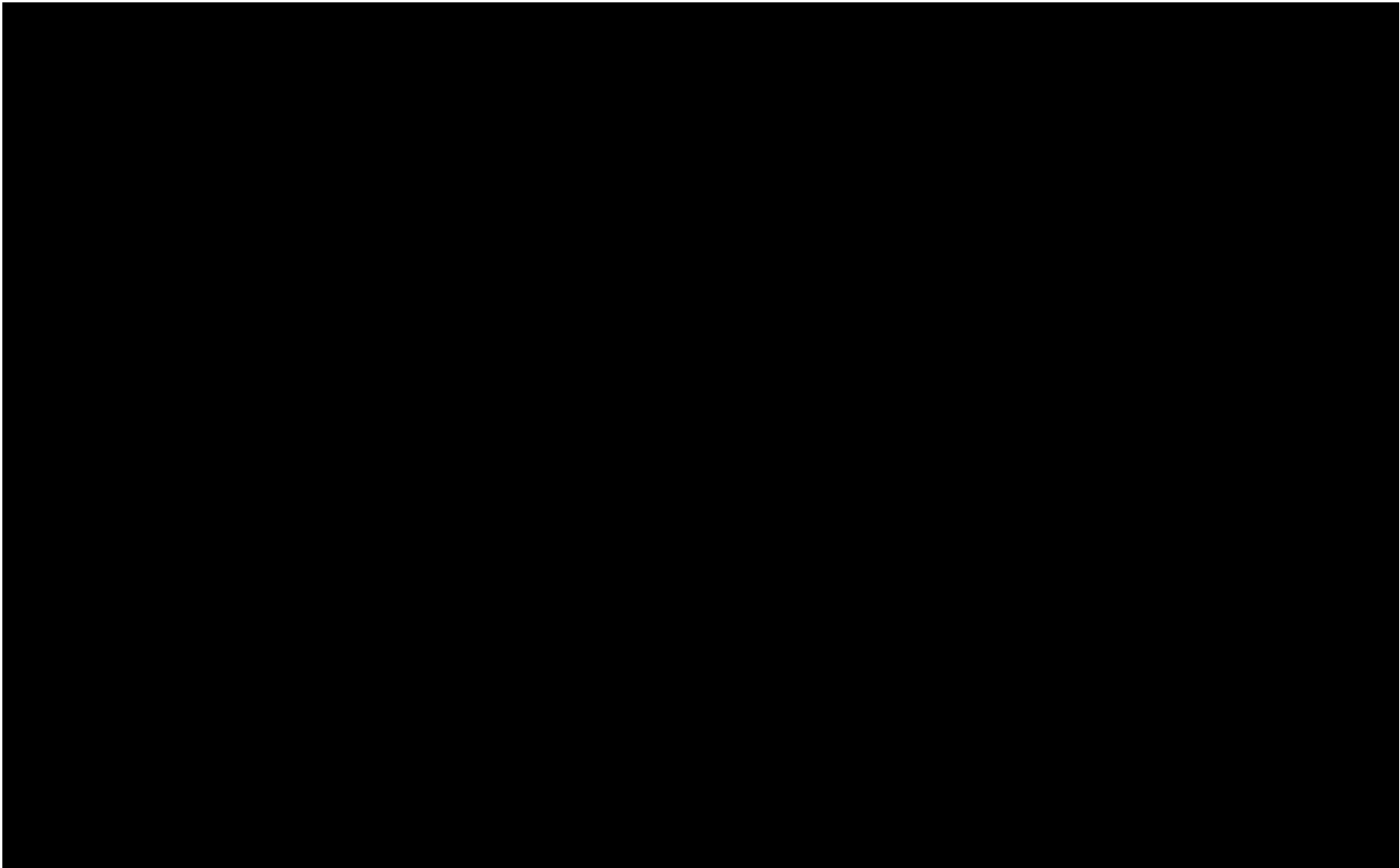
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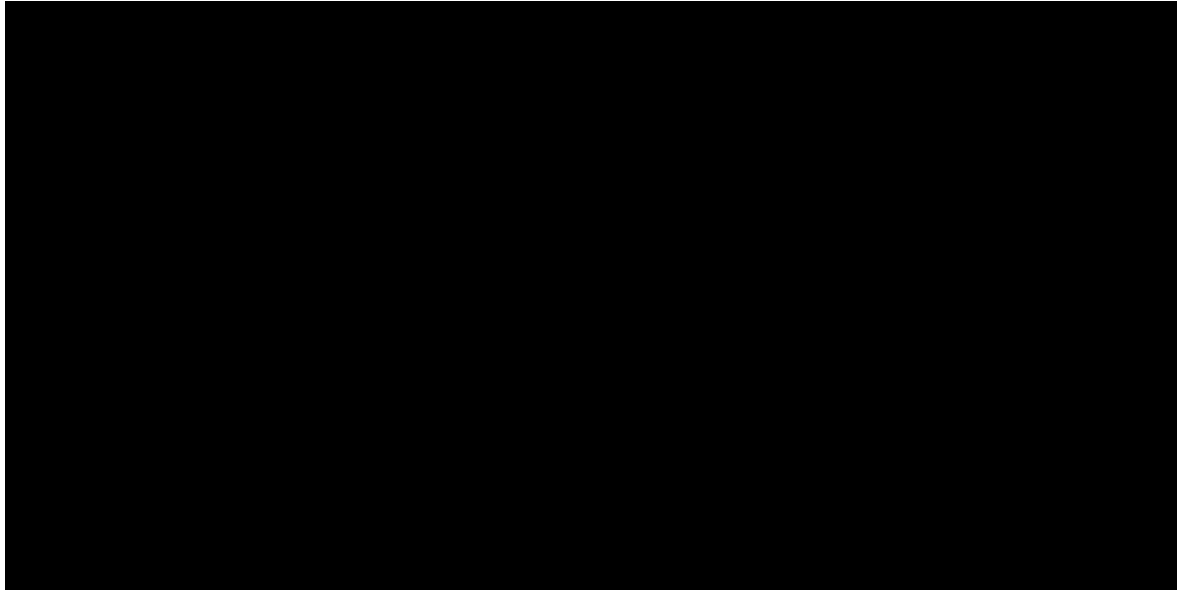
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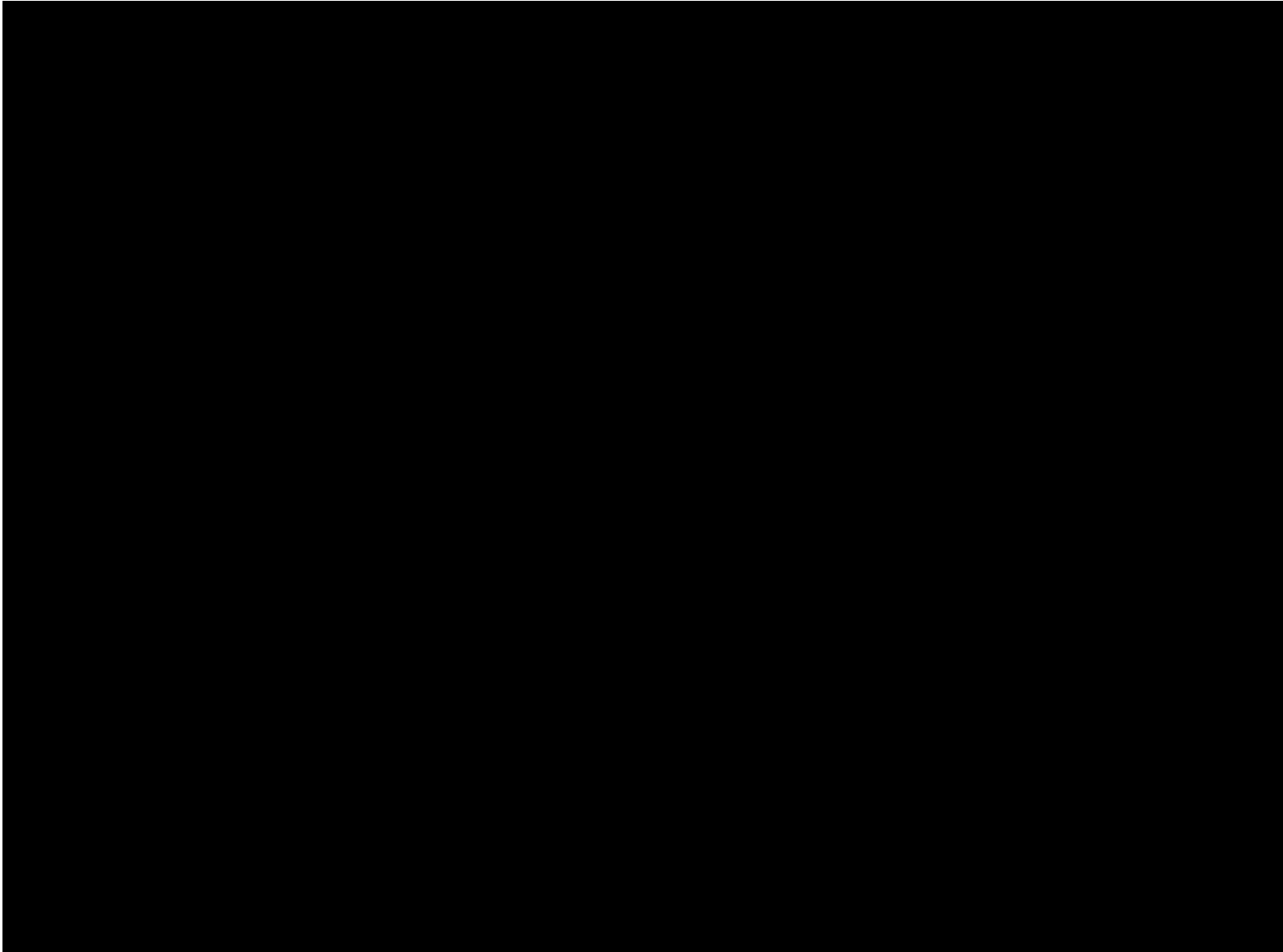


CONFIDENTIAL



Private Equity Model

CONFIDENTIAL



CONFIDENTIAL

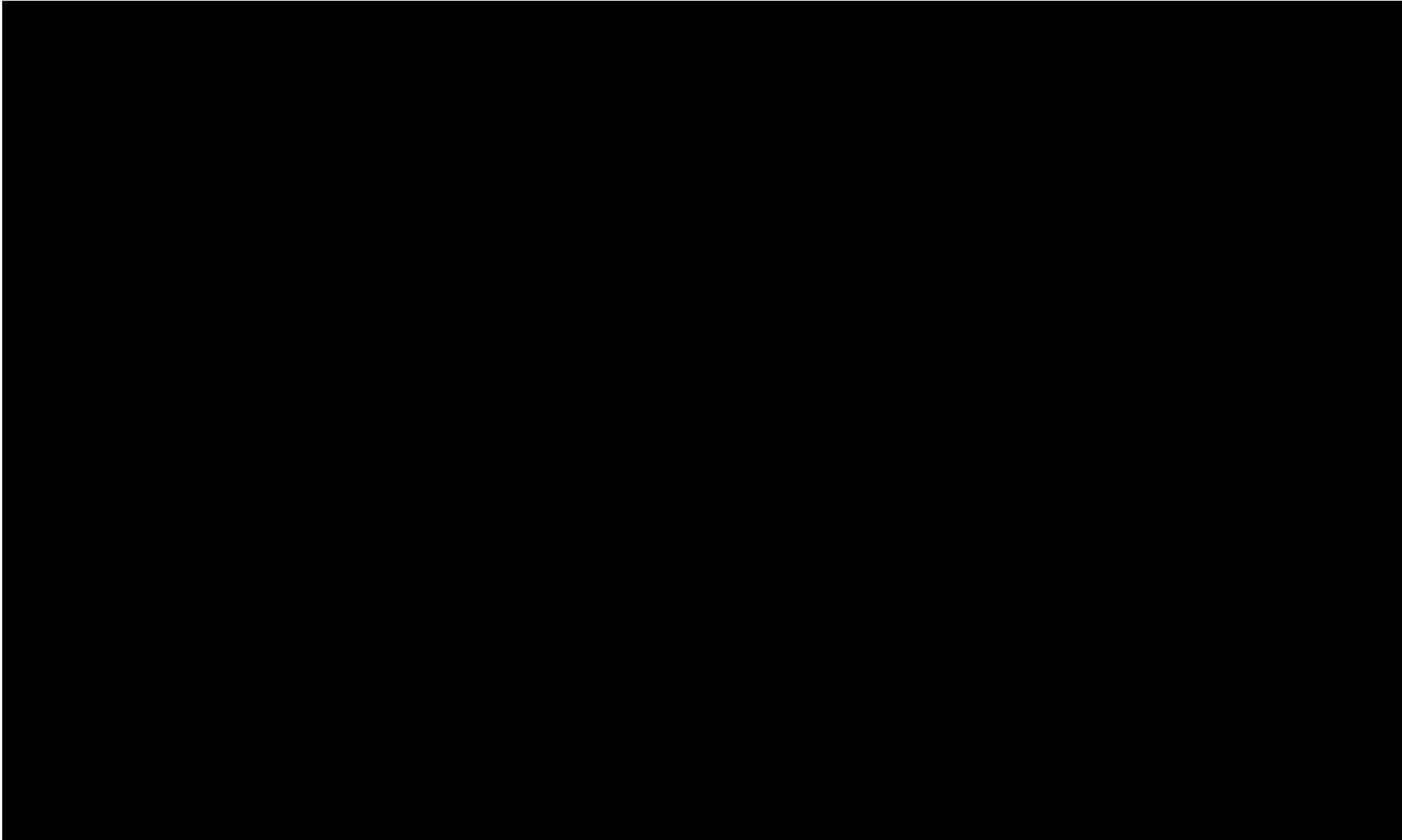


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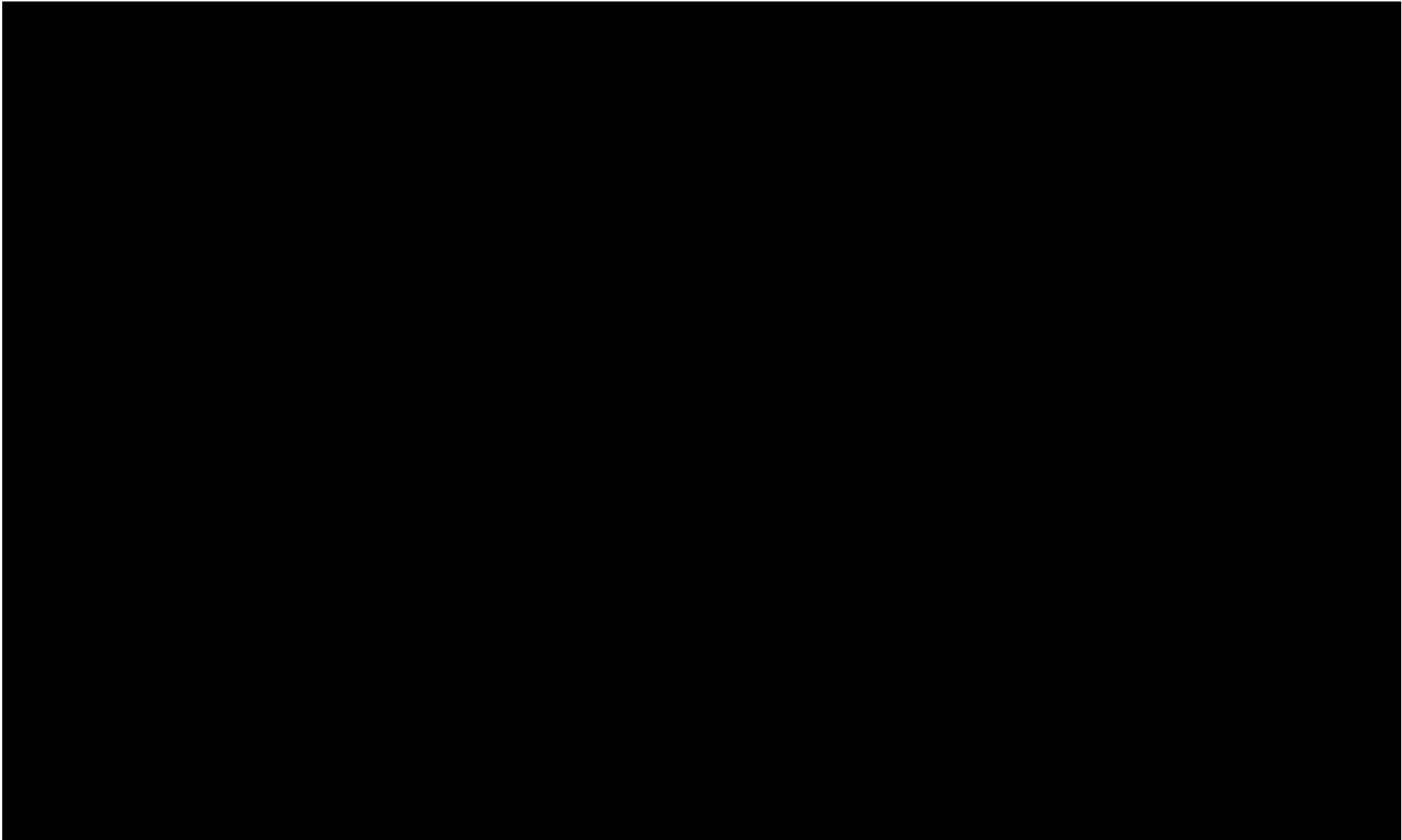
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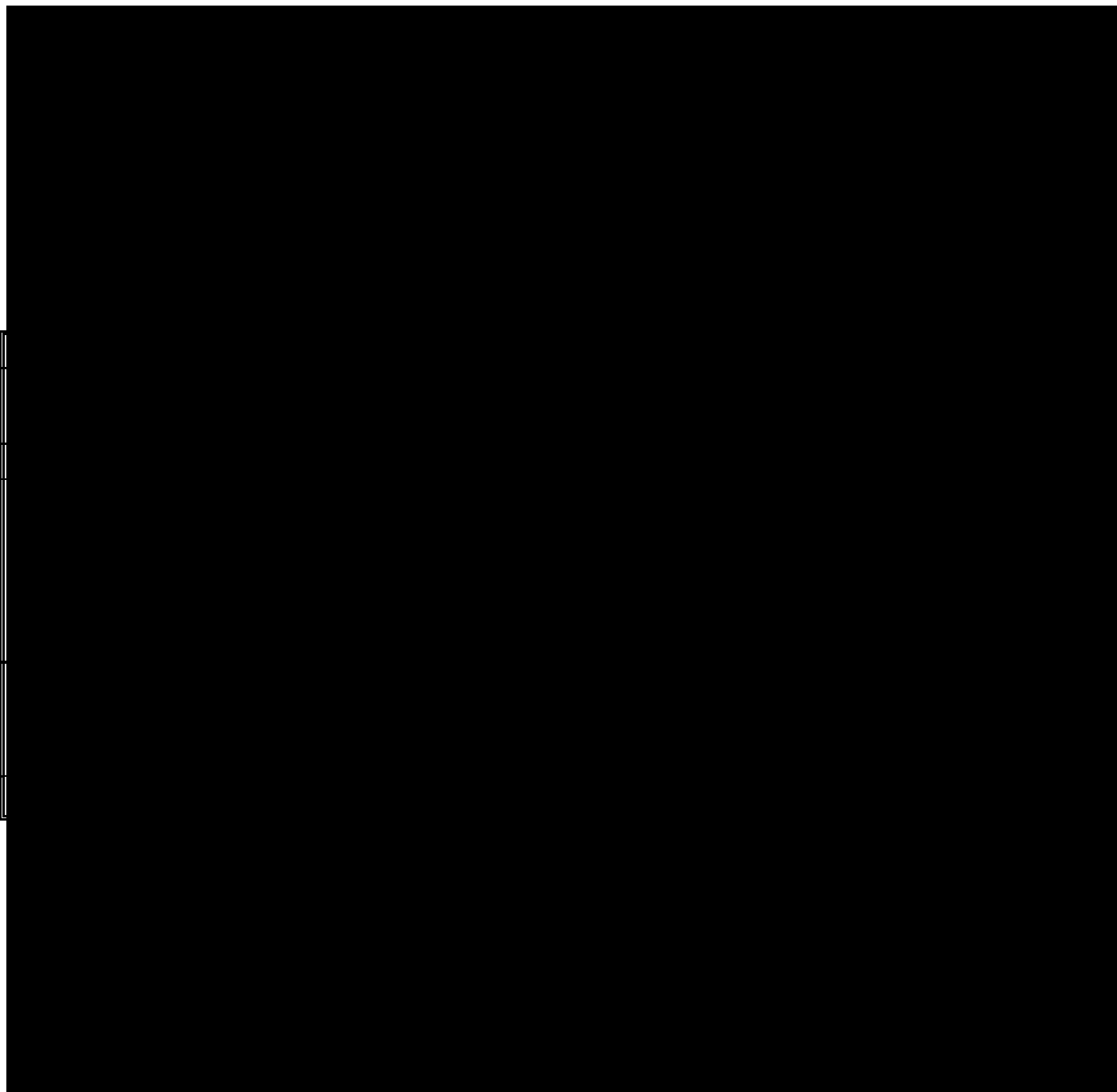


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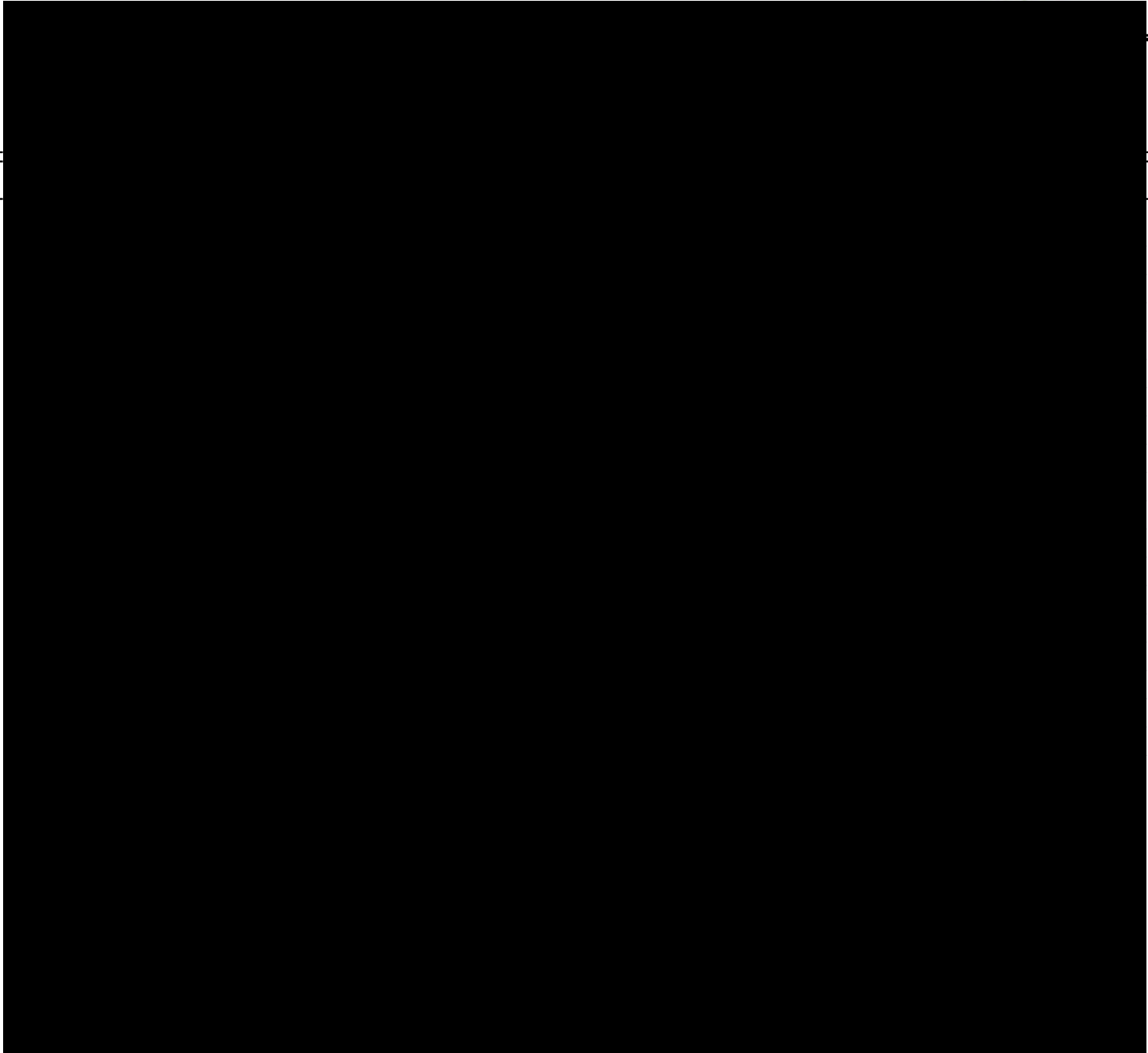
USM Student Center
DRAFT Budget Estimate

CONFIDENTIAL



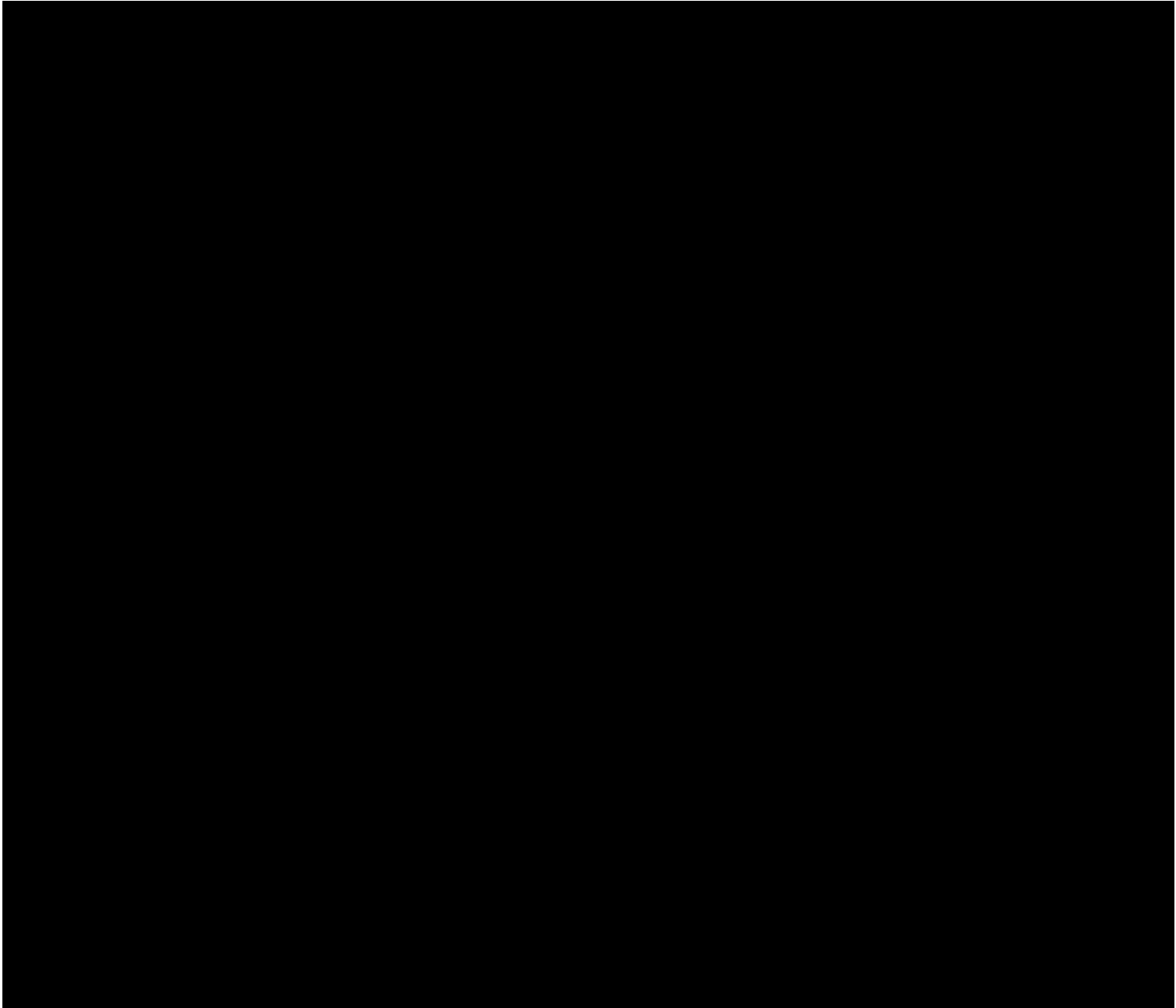
USM Student Center

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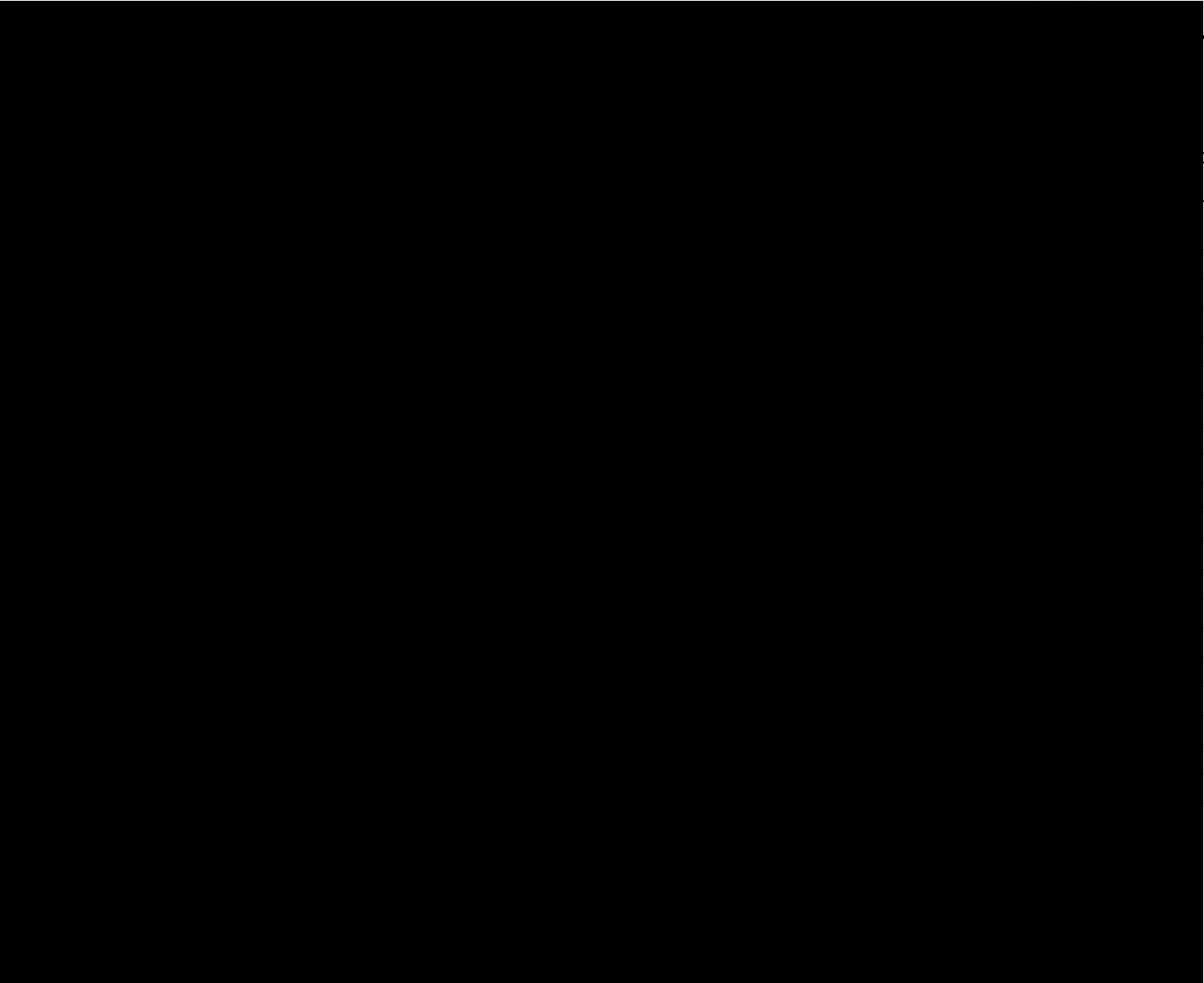
**USM Student Housing
DRAFT Budget Estimate**

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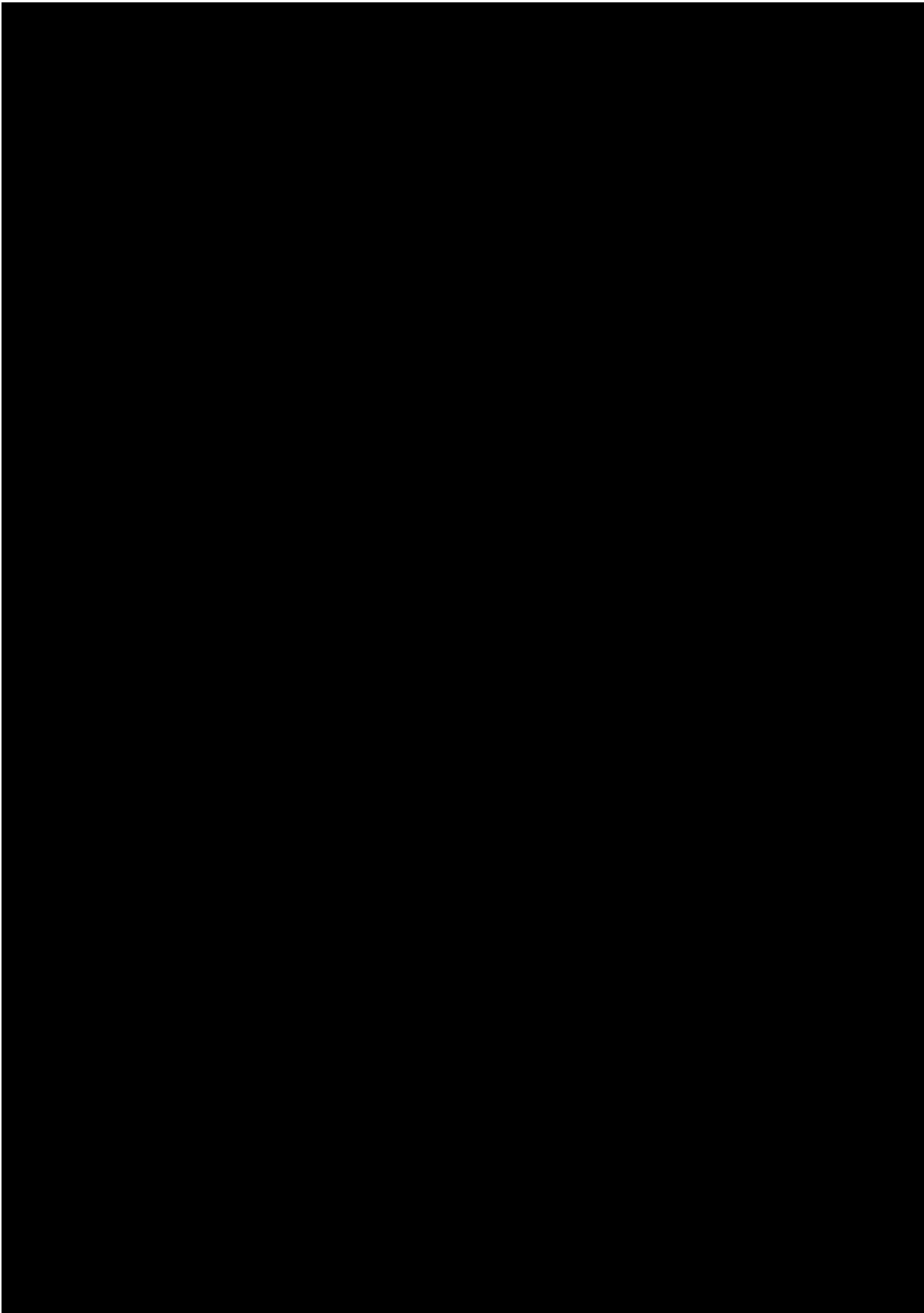


USM Student Housing

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124Capstone Development Partners

most accurately reflect anticipated utility consumption of residents.

- **Tax Return/Audit:** Expenses attributable to the anticipated transaction structure.
- **Capital Expenditures (R&R Reserves and IT Reserves):** Annual expenses earmarked for transfer into a separate capital reserve account to address long term repair/replacement of building systems and technology.

Student Center

- **General and Administration:** Similar to the residence hall budget, this category includes general administrative operating expenses. This includes office supplies, software licenses, computer hardware, phones, furnishings, and other equipment.
- **Payroll Expenses:** This staffing model is based on similar-sized student centers and includes payroll for a first and second shift maintenance and custodial staff. Also included is an office manager to manage room reservations and event planning in addition to student staff to operate a reception desk and manage event set-up.
- **Maintenance Expenses:** This section includes all anticipated maintenance and housekeeping materials and supplies necessary to provide general maintenance and housekeeping/custodial services for the facilities as well as costs to maintain hoods, duct work and kitchen exhaust fans.
- **Contract Services:** Contract services include estimated costs for service such as elevator maintenance, life safety, door access, security cameras and pest management. We exclude landscape/grounds services per the RFP.
- **AV Maintenance:** A separate line item for Audio Visual repair and maintenance needs has been identified. The annual costs associated with maintaining this equipment for meeting rooms can be significant and warrants specifically identifying these potential costs within the budget.
- **Management Fees –** Represents CMP's fee for delivery of maintenance, custodial, operational and asset management services. This expense is based on the same per square foot charge applicable to the residential hall.
- **Utilities:** CMP's high-level utility budget includes electricity, natural gas, water/sewer, internet/TV services and refuse hauling. This category will be affected based on the ultimate scope and scale of building components such as dining. Throughout the design process, CMP will refine the energy model and utility budget to most accurately reflect design decisions
- **Tax Return/Audit:** Expenses attributable to the anticipated transaction structure. At this time, we are assuming a tax return will not be required, but an audit is recommended.

- **Capital Expenditures (R&R Reserves and IT Reserves):** Annual expenses earmarked for transfer into a separate capital reserve account to address long term repair/replacement of building systems and technology.

Residence Hall and Student Center Combined Operational Efficiencies

CMP believes there are opportunities to improve operating efficiency and reduce overall costs if the residence hall and student center are operated by the same manager. In our experience, as the square footage under management increases, the operating cost per square foot typically decreases. The geographic proximity of the two facilities presents several budget categories where costs could be shared. While it is still too early to quantify all of the potential reductions in great detail, we have assumed some payroll efficiency with one General Manager overseeing operations for both projects. Some of the other potential areas where we would expect economies of scale to produce savings for both facilities include:

Payroll

CMP would operate both facilities with one General Manager who would manage both buildings. We would still anticipate having a Building Manager in the Student Center for evenings and weekends. The burden for General Manager salary and Maintenance Team Lead could be shared on a pro-rata basis between the two operating budgets with an equitable cost split between the projects.

R&M Supplies

CMP will be able to negotiate better pricing on cleaning supplies, light bulbs, air filters, and other recurring material needs resulting from an increased volume in basic maintenance and cleaning materials procured between both buildings. There will also be opportunities for CMP to purchase required power tools and equipment such as floor buffers and technical equipment that could be shared between the communities.

Service Contracts

Pricing on service contracts for elevator maintenance, fire alarm monitoring, pest management and other services could be improved with combined contracts for both facilities.

Administrative

Both facility budgets will benefit from reduced administrative costs for office equipment which can be spread over more square footage under management.



Current / Future Project Disclosure

Capstone Development Partners does not currently have any development projects, neither underway nor in pursuit, in the Portland, ME area. Furthermore, no member of the Capstone Team, including: PC Construction; SMRT Architects; Elkus Manfredi Architects; Capstone Management Partners; Harrison Street Capital, have any potential conflict of interest due to involvement in either an existing or future property in the Portland market.



Appendix B: Signature Form: Debarment, Performance and Non-Collusion Certification

**University of Maine System
DEBARMENT, PERFORMANCE and NON-COLLUSION
CERTIFICATION**

RFP # 2020-011

University of Southern Maine (USM)

Public-Private Partnership for Portland Campus Student Housing and Student Center

By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.
- b. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:
 - i. Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.
 - ii. Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
 - iv. Have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.
- c. The above mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.

Failure to provide this certification may result in the disqualification of the Respondent's proposal, at the University's discretion.

Date: 9/20/19

Jeff Jones, Principal
Name and Title (Printed)


Authorized Signature





REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM)
Public-Private Partnership for Portland Campus Student Housing and Student Center**

ADDENDUM #01

DATE: August 9, 2019

Appendix L: Geo-Tech Report

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

A handwritten signature in blue ink, appearing to read "Jeff Jones", followed by a long horizontal line.

Page 1 of 10

REQUEST FOR PROPOSAL #2020-011

University of Southern Maine (USM)
Public-Private Partnership for Portland Campus Student Housing and Student Center

ADDENDUM #02

DATE: August 21, 2019

Appendix K: Market Analysis

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

A handwritten signature in blue ink, appearing to read 'Jeff Jones', with a long horizontal line extending to the right.

Page 1 of 74

REQUEST FOR PROPOSAL #2020-011

University of Southern Maine (USM)
Public-Private Partnership for Portland Campus Student Housing and Student Center

ADDENDUM #03

DATE: August 21, 2019

Appendix M: UMS IT Standards

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

A handwritten signature in blue ink, appearing to read 'Jeff Jones', with a long horizontal flourish extending to the right.



REQUEST FOR PROPOSAL #2020-011

University of Southern Maine (USM) Public-Private Partnership for Portland Campus Student Housing and Student Center

RESPONSE ADDENDUM #04

DATE: August 21, 2019

NOTIFICATION

Question and Answer Period extended:

- Due Date for Questions from Developers:
August 23, 2019 by 11:59pm EST
- Responses to Questions Published:
August 28, 2019

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

A handwritten signature in blue ink, appearing to read "Jeff Jones", with a long horizontal line extending to the right.



Date: 9/20/19
Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

REQUEST FOR PROPOSAL #2020-011

University of Southern Maine (USM) Public-Private Partnership for Portland Campus Student Housing & Student Center

RESPONSE ADDENDUM #05

DATE: August 30, 2019

QUESTIONS

Please see below for responses to questions submitted as a part of the Portland Campus Student Housing & Student Center RFP process:

1. In the appendix, when you click on the Site Topography link you get an RFP. Could you please correct and resend this file? A Topo map would be helpful.
RESPONSE: The Appendix I file has been updated and you should now be able to access the site topography map via the following link: <http://www.maine.edu/strategic-procurement/wp-content/uploads/sites/2/2019/08/Appendix-I-Site-Topography-Map.pdf>
2. Are you able to email me the GC bidders or plan holders list for this project, or direct me on where to get it? Thanks in advance.
RESPONSE: The firms selected to participate in the RFP are posted on the Strategic Procurement website via the following link:
<http://www.maine.edu/strategic-procurement/wp-content/uploads/sites/2/2019/08/RFP-2019-075-Selection-List.pdf>
3. Since the RFP is being issued to a select group of developers, may we have the list of firms that got the RFP so we can approach them about joining their team?
RESPONSE: Please see the response for question #2.
4. Is the University System contemplating procuring owner's representation services to assist the System in managing P3 projects? The University of Massachusetts Building Authority recently prequalified several firms to be the owner's representative on the Authority's P3 projects, and we are one of those prequalified firms.
RESPONSE: At this time, the University of Maine System is not soliciting for an owner's representative for P3 projects.
5. The campus master plan shows the new student center connecting to Sullivan. Is this also the intent for the purposes of the RFP?
RESPONSE: For the purposes of this proposal, do not include the connection to Sullivan.



REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #06

DATE: August 30, 2019

CLARIFICATIONS

Additions to the Overview of the RFP Process Section 9.1, is as follows:

1. Contract Approval

As required pursuant to the University of Maine System Board Of Trustees Policy 801, execution of an agreement for this project is contingent upon the Board of Trustees approval.

In addition, any contract or agreement for services that will, or may, result in the expenditure by the University of \$50,000 or more must be approved in writing by the Chief Procurement Officer and it is not approved, valid or effective until such written approval is granted.

2. Maine Freedom of Access Act (FOAA)

The University must adhere to the provisions of the Maine Freedom of Access Act (FOAA), 1 M.R.S.A. §401 et seq. As a condition of accepting a contract under this section, a contractor must accept that, to the extent required by the Maine FOAA, responses to this solicitation, and any ensuing contractual documents, are considered public records and therefore are subject to freedom of access requests.

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:



Date: 9/20/19
Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

A handwritten signature in blue ink, appearing to read "Jeff Jones", is written over the "Authorized Signature:" label.

REQUEST FOR PROPOSAL #2020-011

University of Southern Maine (USM) Public-Private Partnership for Portland Campus Student Housing & Student Center

RESPONSE ADDENDUM #07

DATE: August 30, 2019

CLARIFICATIONS

Revision to the Site Conditions: Project Location Section 5.1, is as follows:

Project Location

The Project site (as seen in the aerial photo below) for the Student Center and Phase 1 of Student Housing as described in this RFP is bounded by Bedford Street to the south and Durham Street to the east. The Project site does not include the existing location of the Facilities Management Building (25 Bedford Street).

The existing location of the Facilities Management Building is anticipated to be the site of a potential future Phase 2 of Student Housing, not included in this Project or RFP.

The full site is owned by USM.





REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #08

DATE: August 30, 2019

CLARIFICATIONS

A revised Appendix E – Construction Logistics Map has been posted (see Appendix E2).

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:



Page **1** of **1**



REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #09

DATE: August 30, 2019

RFP Proposal Extension

The response Deadline Date/Time for RFP proposals originally set for September 13, 2019 by 1159PM EST has been extended to:

➤ **September 20, 2019 by 1159PM EST**

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:



Page **1** of **1**



REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #10

DATE: September 04, 2019

CLARIFICATION

Clarification to Response Addendum #07, is as follows:

Project Location

- In your submission, please base your design on the entire Project Site as originally specified (including the Student Center and Phase 1 and 2 of Student Housing).
- Please also include the cost of demolishing and relocating the Facilities Management building at 25 Bedford Street in your conceptual budget.
- As you review Addendum #07, please consider in your submission the potential cost impact, either negative or positive, to phasing the project by preserving the Facilities Management building for a future phase of Student Housing, thereby not requiring the upfront cost to the Student Center and Phase 1 of Student Housing Project.

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:



REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #11

DATE: September 04, 2019

Floor plans for Current Buildings identified for demolition:

- Woodbury Campus Center
- 25 Bedford Facilities Building

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:





REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #12

DATE: September 05, 2019

Opportunity for Questions

The University will consider questions relative to Addenda #10 and #11 **only**.
Questions should be submitted to UMSResponses@Maine.edu. To be considered,
questions must be received by:

- Thursday September 5th by 11:59pm EST

Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:





Date: 9/20/19

Name and Title (Printed): Jeff Jones / Principal

Authorized Signature:

REQUEST FOR PROPOSAL #2020-011

**University of Southern Maine (USM) Public-Private Partnership
for Portland Campus Student Housing & Student Center**

RESPONSE ADDENDUM #13

DATE: September 9, 2019

CLARIFICATION

QUESTIONS

1. In Addendum #07 the site limits for the student housing were made which makes the site smaller. Since our proposal in part is judged and scored by compliance with the campus plan, we assume the academic quadrangle space must be respected. The impact is that in order to achieve the bed count of 550 beds the residence increases in the number of stories, which likely increases the construction cost due to high-rise code impacts. Please advise if this is the intended impact of avoiding the facilities building site.

RESPONSE: Regarding the site limits, please refer to Response Addendum #10 for further clarification on Response Addendum #07. Yes, the academic quadrangle space must be respected. Possible avoidance of the Facilities building site is not based on increasing the number of stories and associated impacts.

2. Regarding the residential phasing possibilities, we interpreted the original RFP to be asking for a proposal to include 550 beds, as is described in Appendix C-1. With the recent language regarding phasing in Addendum 7, to confirm, is the University requesting proposals for 550 beds across the entire project site, including the Facilities Management building portion of the site? If this is the case, would the University be looking for less than 550 on the non-Facilities Management portion of the site (a potential phase 1), with the balance of this 550 total coming in a second phase on this portion? Or, is the University looking for 550 beds in a phase 1 on the portion of the site without the Facilities Management building, and then even more beds than 550 for phase 2?

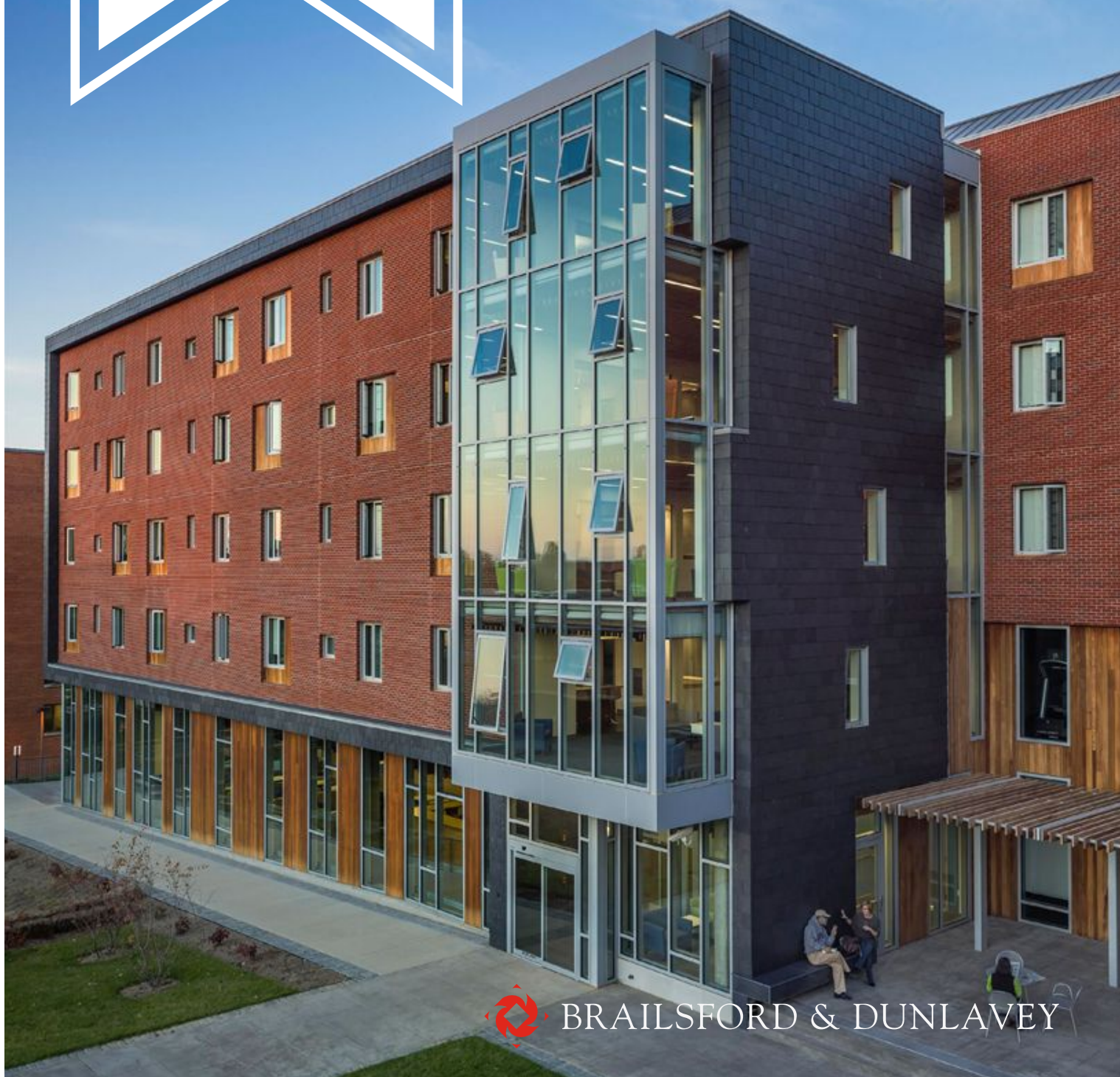
RESPONSE: Yes, please submit a proposal for 550 beds across the entire Project site (the entire site as shown in the original RFP). Please also discuss the impact to the Project should the Project site for the 550 beds be reduced to the site provided in Addendum #07 (the non-Facilities Management portion of the site). Any potential future phases would involve beds in addition to the 550 included in this Project.

3. Regarding the relocation of the Facilities Management building, we'd like clarification. In the RFP section 5.2, USM states it is handling the relocation of existing occupants of demolished buildings in the project site. What cost regarding FM relocation is USM asking us to include? For example, moving the interior contents to another building on campus?

RESPONSE: In your development budget, please include a project cost of \$2.0 Million for the full



**A GUIDE TO
HIGHER ED
PUBLIC-PRIVATE
PARTNERSHIPS**



BRAILSFORD & DUNLAVEY



WHAT IS THE HIGHER ED P3 GUIDE?

Brailsford & Dunlavey presents a seven-part series on public-private partnerships ("P3s") in the higher education space, intended to educate readers on this dynamic market—its history, opportunities, misconceptions, and more. It should be noted that every P3 deal is unique and this document is only an introductory overview.

Part 1: Introduction	1
Part 2: A Brief History	4
Part 3: Pros and Cons	6
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Part 6: Common Misconceptions	18
Part 7: The Value of an Advisor	22

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Part 1

INTRODUCTION

Colleges and universities are facing limited resources—a reality we all are aware of. In response, schools are looking at all of their services and evaluating what is critical and core to their academic mission. With priorities in mind, they're then looking for creative ways to make needed projects happen. As a result, every year many schools partner with private sector parties (e.g., developers) under the notion that the whole is greater than the sum of its parts—that, together, these partners can do more, and do it efficiently and effectively. And when it comes to repairing or improving the country's aging campuses and their facilities, there are a lot of opportunities for partnership—including facilities' design, construction, financing, and long-term operation and maintenance.



What is a P3 and what does one look like?

That's a surprisingly tricky question. At the moment, there is **no common definition** of a P3, there is no centralized governing body overseeing P3s, and there is a limited breadth of experience in the higher education sector in the US. So in the simplest terms, a higher education P3 is a development/deal structure in which a public or private college or university takes on a private sector partner (or partners) to share in the resources, risks, and incentives that come with the development and operation/maintenance of campus facilities. The National Council of Public-Private Partnerships identifies **18 different legal and financial P3 structures**, and each P3 agreement is unique to the partnership, or deal.

P3s are not a silver bullet. They are not short-term engagements, nor are they without their challenges; indeed many in the P3 world think of them as marriages. They are simply **one type of alternative delivery method for schools to finance projects** that might otherwise go unfunded, to leverage assets like land, to transfer risk, and to ensure operational success for years to come.

Colleges and universities look to P3s for many reasons, but most often because **funding is a challenge**. With aging campuses, and given the idea that new facilities can be important differentiators, schools are looking for **creative ways to continue improving the student experience**—even in the face of debt financing/capacity limitations. Beyond offering a vehicle for financing, P3s can also allow for development and operational risk transfer. Specifically, P3s can be structured to leverage expertise, avoid potential institutional procurement challenges, improve operational efficiencies, and more. In short, if a university is at Point A and wants to get to Point B, P3s are one way to bridge the distance.

Despite the term "*public-private partnerships*," higher ed P3s can happen at private institutions. While current research shows that the most common institutional profile for a P3 project in higher ed is a large public university, private institutions have begun utilizing partnerships more frequently. Likewise while P3s in higher education initially were sought after only for housing projects, now the engagements apply to a range of campus assets, including mixed-use featuring retail, student unions, campus recreation, hotel and conference centers, campus edge, health & wellness centers, office buildings, research parks, dining facilities, hospitals, and workforce/faculty/staff housing, among others.

As deal structures, **P3s are incredibly complex**. Each one is different, and each is almost unwieldy due to its many moving parts and parties. The stakes are also high because P3s are true partnerships—as a university, you're not picking a one-time collaborator for a quick job, you're picking **a partner who you'll work with for potentially the next several decades**... who your successors will need to successfully work with, and who will work hard to improve your students' experience for years and years to come.

P3s get a lot of press these days, with some people praising them and others demonizing them. Indeed, each claim can feel justified depending on how you look at P3s as a concept and which case studies you consider. But **P3s are not black and white**. They are potentially a world of opportunity, resources, creativity, and collaboration... and at the same time, potentially a world of misrepresentation, control issues, and difficult relationships. So here's the interesting part: Which world you end up in is up to you and your specific project. This is not about chance or luck, because P3s absolutely can be designed to ensure success. It just takes a whole lot of education, thoughtful planning, and vision. And, as needed, the wisdom to walk away.



Part 2

A BRIEF HISTORY

The P3 development model first emerged as a formal business relationship between a college or university and private developer/operator in the U.S. in the 1960s. Early on, the institution typically provided the land and the developer/operator designed, constructed, financed, owned, and/or managed the asset. Schools were at a big disadvantage here—due to lack of sophistication (or industry understanding)—and those without an advisor or way to educate themselves were typically negotiating with developers with a lot more experience.

The model evolved in the 1990s.

This is when tax-exempt financing became an obtainable funding source for development firms. Schools saw an opportunity to leverage their limited resources and carry out capital projects without tapping into their debt capacities. They also began learning how to navigate the world of P3s.

As recently as the late 1990s, P3s in higher education existed in only seven states. **Between 1997 and 2015, the number of transactions exploded**, and by the end of that period, transactions had been completed in over 35 states with approximately \$13 billion worth of bond issuances for P3s. Over the last few years, P3s in higher ed have started to include more mixed-use components.

At the same time, **additional large players have entered the development space**, driving down capitalization rates as student housing and mixed-use projects have become a desirable asset class. Some of the most notable mixed-use P3 projects include developments at Drexel University, The University of South Florida, The Ohio State University, University of Kentucky, Texas A&M University, Houston Baptist University, Louisiana State University, Rowan University, and Seattle University, just to name a few.

When a developer equity model emerged with student housing developers obtaining access to equity capital, **some developers shifted from a fee approach to an ownership model**. Limited comprehensive data is currently available for equity-based transactions but large equity-based development deals have been realized at Arizona State University, Rochester Institute of Technology, Trinity College, and Syracuse University, to name a few. Two large student housing Real Estate Investment Trusts (REITs) became publicly listed in 2004 and 2005, and their success has led to legitimizing an industry.¹ It has also marked an arrival of local and regional players in many states that have evolved their off-campus student housing business into more sophisticated partnership projects with surrounding colleges and universities.

Meanwhile capitalization rates have narrowed between student housing and multifamily housing within the last three to four years. Student housing has become a desirable asset class compared to multifamily housing given the stability of the student housing sub-market and the addition of new REIT capital players.

¹As of June 2018, one of these REITs is under agreement to be purchased.



Part 3

PROS AND CONS

There is no one easy, simple Pro/Con list for P3s. Why? Each university has its own perspective, and some perspectives differ slightly while others differ greatly. Consider that for one school, having control over the operation of a new facility is ideal, while for another school ideal might be turning over operation to a private partner. That means "lack of control over operation" is not necessarily a pro or a con.

Of course, we've seen that there are general trends.

As you look over the lists below, consider that they're not hard and fast rules, but generalities.

Reasons to do a P3

- › Developer takes risk of upfront costs, budget, operations, and schedule
- › Streamlined procurement
- › Commercial construction standards lower development costs
- › Leverages developer's experience as expert in construction
- › Sometimes can preserve the debt capacity of institutions with limited borrowing ability
- › Guaranteed financial returns to university through ground lease payments or as excess cash flow beyond the required debt coverage ratio
- › The private sector partner will be contractually obligated to meet certain performance metrics throughout the agreement
- › Could be credit positive
- › Can usually accelerate the schedule

Reasons not to do a P3

- › University may lose out on important revenue stream
- › University may be required to provide guarantee to developer
- › University may already have in-house development and/or management expertise
- › University can obtain lower cost to capital than a foundation tax-exempt bond financed or private equity financed model
- › Additional costs such as legal, development, and financing fees
- › Possible negative impact to university's balance sheet and debt profile
- › May increase cost to students
- › University might not have procurement concerns

For universities that have decided against a P3, ultimately the "reasons not to do" list spoke louder—or there were deal-breakers that could not be resolved. For universities that have decided to embark on a P3, the "reasons to do" list won out. Which is to say, P3s aren't all good and they aren't all bad—they just *are*. They have benefits and they have drawbacks, just like any other delivery structure.



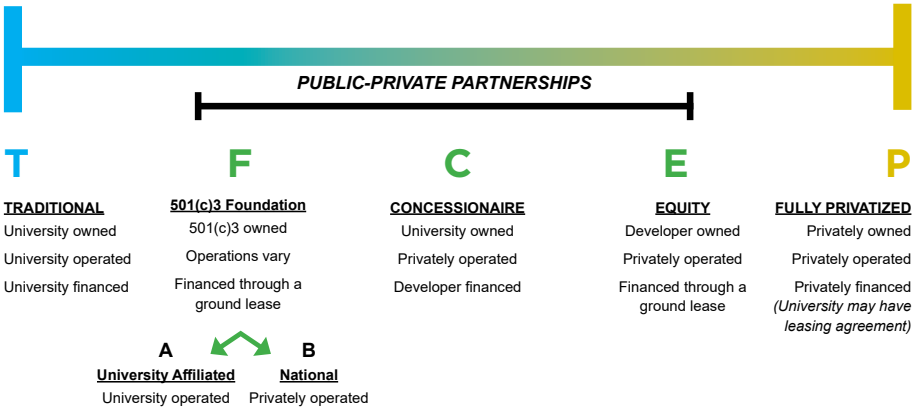
Part 4

DEVELOPMENT
STRUCTURES

P3 deals are not solely building and construction deals, but financial and operational risk transfer agreements. How much risk is transferred, and how much control a university retains, varies greatly depending on the type of development structure.

This series gives a sense of what can be expected from each structure type.

Note that there's a big asterisk here, since the structures covered are not exhaustive, and since each P3 deal is different and can be customized to what the involved parties want. As a window into the big picture, let's look at risk transfer. As you move from blue to yellow along the below spectrum, risk is transferred away from the university and to the private sector partner. Notice that who owns, operates, and finances the project changes as you move from a traditional structure (non-P3) to a fully privatized structure.



Traditionally, financing is through the institution and the school has the option to implement various delivery methods such as design-bid-build, construction manager at risk, design-build, etc. This is the way most schools have traditionally delivered their capital projects.

On the following pages, the various P3 development structures are explained in more detail.

University or Unaffiliated Foundation

The school ground leases land (typically for 30 to 40 years) to an affiliated or non-affiliated 501(c)3 non-profit foundation that issues the debt to build a project it owns. The foundation then engages a fee developer to design and build the project. Upon completion, the facility is managed by the college or university, a private entity, or some type of shared governance model that has become increasingly common. Ownership of the improvements typically revert back to the university after the retirement of the debt service and expiration of the ground lease.

Generally, the school has the option to terminate the agreement early by purchasing the improvements simply by paying off the debt. In addition, depending on the deal structure, various agreements may be needed to finalize the financing, including potentially a master lease, first fill agreement, university marketing assistance, and/or a non-compete condition—all as applicable to the asset class. Any surplus revenue can be retained by the school for any lawful use. In this type of deal structure, the debt can impact both the school's balance sheet and credit.

Equity

A developer purchases or ground leases land (typically 40–80 years) from the institution and privately finances the project. The private partner designs, builds, owns, and usually but not always asset manages the project with varying levels of university involvement depending on the deal. The project reverts to college or university ownership at the end of the ground lease. In addition, depending on the deal structure, various agreements may be needed to finalize the financing including a master lease, any fill agreements, marketing assistance from the school, or a non-compete condition. Ground rent and revenues are negotiable. Depending on various factors, any project-related debt can be treated off the school's balance sheet and have a low impact to credit, thereby reserving debt capacity for other campus projects.

Pros

- › School has no financial commitment (reserved debt capacity)
- › Some cash flow goes to school (waterfall)
- › Ground rent

Pros

- › Typically tax-exempt debt
- › Typically no real estate taxes
- › University has no financial commitment
- › Cost of capital is low-to-moderate
- › Some of cash flow goes to the school (waterfall)
- › Ground rent
- › Could be credit positive for the institution

Cons

- › Debt can impact the school's balance sheet
- › Debt can negatively impact university's credit
- › Additional costs associated with this type of transaction (e.g., capitalized interest, debt service reserve fund, annual fees)

Spotlight: Louisiana State University

By choosing a P3 with a 501(c)3 development structure, LSU accelerated the replacement and renovation of its housing by 5+ years, preserved its debt capacity, retained housing and res life programming authority, and received ground lease payments and surplus cash flow—est. at \$218M over the 40-year ground lease.

Cons

- › School has little control of improvements
- › Cost of capital is moderate-to-high
- › Real estate taxes
- › Debt is not tax-exempt

Spotlight: University of South Florida

By choosing a P3 with an equity development structure, USF maximized its financial return while concurrently deferring project delivery, operating, and budget risk to its private partners. The \$133M USF Village is opening in two phases (fall of 2017 and fall of 2018) and will feature 2,150 beds, campus recreation facilities, dining facilities, and retail space including the first Publix grocery store on a college campus.

Concessionaire

Let's look at this through the lens of student housing. A concessionaire and school enter into a master concession agreement ("MCA") in which the school contributes all or most of its existing housing portfolio. Housing system revenues are pledged to a third-party lockbox. The concessionaire utilizes its administrative rights to the revenues in the lockbox to raise outside capital for investment in the housing portfolio. The capital raised is first used to defease any outstanding debt on existing facilities, with the remainder then allocated to enhance existing projects and implement new projects, and to establish a reserve fund. The MCA is typically a 50+ year agreement that outlines how the assets will be maintained and operated.

In coordination with the college or university, the concessionaire:

- › designs and constructs new housing
- › renovates/repairs existing facilities
- › manages, operates, and maintains the facilities over the life of the concession

The school:

- › collects housing fees (which allows for students' use of financial aid for housing)
- › is responsible for marketing the assets and room assignments
- › manages the student life aspects of the housing program, as well as security

Future revenues cover operating expenses, repair & replacement, operations & maintenance, and capital reserves. The net operating income ("NOI") of the system pays the debt service on the capital raised, and concessionaire fees. After debt service and fees, remaining revenues flow into a facility reinvestment fund,

with the remaining portion being contributed back to the institution. As the concessionaire (i.e., not the college or university) holds the note, the agreement is usually treated as balance sheet and credit neutral, though this is not always the case.

Pros

- › School has high control of improvements
- › School has no financial commitment
- › No ground lease (flexibility)
- › Cost of capital is low
- › Most of cash flow goes to the college or university (waterfall)
- › Accelerated delivery schedule due to alternative financing & concessionaire incentive for payment
- › Concessionaire is incentivized to optimize lifecycle costs (energy efficiency, etc.) that might have gone unconsidered

Cons

- › May incur real estate taxes
- › Debt is not tax-exempt
- › Large amount of fees
- › Would likely include the majority of the school's housing stock

Spotlight: Wayne State University

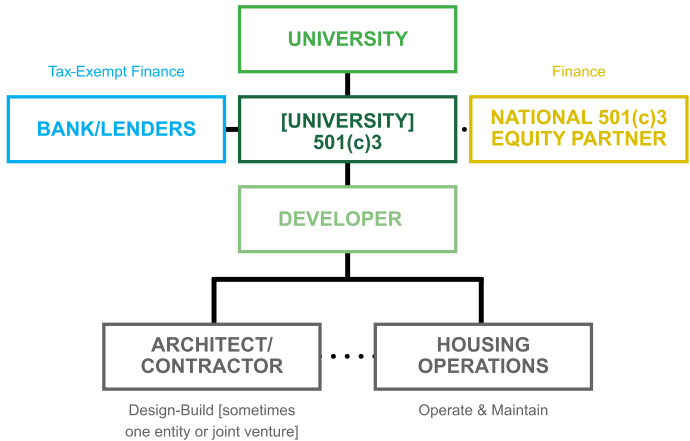
By choosing a P3 with a concessionaire development structure, Wayne State was able to accommodate its students' residential needs without impacting the university's credit. The effort will renew the university's housing program through a combination of new construction, demolition, and strategic renovation of existing facilities.

While the variety of impacts and risks associated with each of the P3 structures may be confusing at first, ultimately it's beneficial to all parties involved that so much variety exists. What works for one college or university does not work for another, and what works for one private partner does not work for another. Being able to choose among the existing structures (including not choosing a P3 at all)—or to blend them—allows each development to best serve the parties involved.

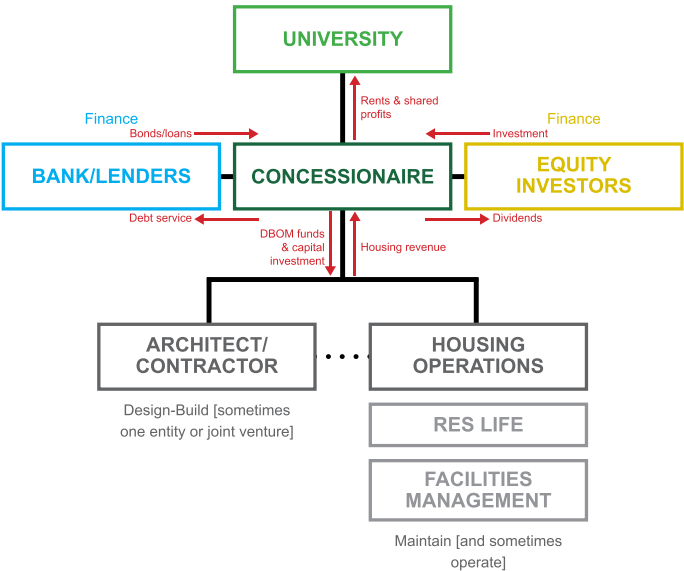
If after reading this guide you believe a P3 is your best option for developing a new asset, rest assured that it is all navigable and that many schools have gone through this process before you.

Here's a look at the University or Unaffiliated Foundation, Equity, and Concessionaire models as organizational charts

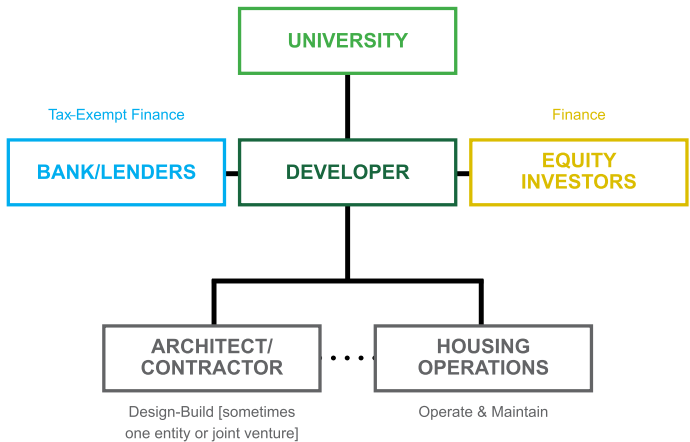
University or Unaffiliated Foundation



Concessionaire



Equity





The following attributes make a successful relationship much more likely. _____

1.

Clear definition of expected outcomes

While this is seemingly obvious, we have seen that it is nonetheless common for there to be some disconnect about what the parties expect to achieve through the P3. Ensuring that parties on both sides are on the same page is crucial.

2.

Sufficient development time

P3s are complicated transactions so institutions must allow sufficient time for negotiating the structure and required legal agreements of the project.

3.

A true partnership, not a master/servant relationship

P3s work well when both parties have mutual respect and consideration for each other, and are invested in each other's success.

Part 5

9 ATTRIBUTES OF A GOOD ENGAGEMENT

Although all P3s present higher education institutions with an alternative delivery method, not all P3s are created equal.



4.

Honesty

Nothing implodes a P3 faster than a lack of trust among the parties.

5.

A fair and equitable contract/management agreement

Related to the first point, it is crucial that expectations are clearly spelled out in an operating agreement that allows both parties to know exactly what is expected and how success will be measured.

6.

A close working relationship with the institution

For the relationship to work, the private contractor must have support from and access to campus leaders.

7.

Consistency among all properties, whether privatized or university managed

Given that students flow freely back and forth among properties, it is imperative that the facilities be managed and maintained equitably. For schools, that means embracing a *pari passu* mentality—ultimately considering and treating private properties as equals.

8.

Intentional design and construction

The privatized property must be of a quality defined by the institution.

9.

Flexibility

The private contractor should have latitude to shop for the most cost-effective solutions available.



Part 6

COMMON MISCONCEPTIONS

Whether you've heard good or bad things about P3s, chances are you've heard something incorrect.

Here are some misconceptions we come across frequently—and the real story.

1.

Soon every project will be a P3

P3s are the right answers for some projects, but in other cases they're best avoided. While we've seen more and more universities express interest in P3s over the years, P3s will never fully replace traditional models, nor should they. P3s are not always more cost-effective, not always faster, and not always better. They are simply one of many ways to bring a project to fruition, and the more options a university has, the better. We work with a lot of universities—hundreds of them. Some express an interest in P3s, and we go on to recommend a P3 development structure. Others express an interest and we steer—and strongly steer—them away from a P3. P3s are not a silver bullet.

2.

P3s are privatization—or are equivalent to privatization

If a university wants to fully privatize its assets, it can do that. It can fully relinquish ownership over an asset, and the private sector entity can fully own and operate the asset. But that's not a P3. During the period of a P3 (generally 30–80 years depending on the deal structure), the private sector partner has leasing rights to the asset, and can manage it as laid out in the agreement. That's not full ownership, and as a result the private sector partner does not have typical ownership rights like selling or mortgaging the asset.

3.

P3s in higher education can only be used for student housing

While P3s in higher education mostly originated in student housing, the model has successfully been applied to a variety of assets. For example, we've worked on and seen P3 projects for the following asset types: mixed-use featuring retail, campus recreation, hotel and conference centers, campus edge projects, student unions, hospitals, health & wellness facilities, and workforce/faculty/staff housing, among others.



4.

P3s are only for new construction

While much of the P3 work we've seen results in new development, there is a fair amount of modernization and maintenance work that takes place through P3s.

5.

If our university does a P3, we'll have no control over the project

A university can retain as much or as little control as it wants over the development of the asset, depending on the type of P3 development structure selected. Once the asset is built and in operation, the university can retain control either by remaining the operator or, if the private sector partner is the operator, tracking the asset's performance against metrics worked into the P3 agreement. If the private sector partner cannot meet the agreed-upon performance metrics, the university can react.

6.

In a P3, the private sector partner funds the project

The private sector doesn't fund the project, but finances it—a minor difference in language, but a huge difference in reality. The private sector partner can source funds from a variety of areas, including but not limited to traditional debt financing, private equity, and economic development incentives.

7.

The only reason universities pursue P3s is the financing help

Private financing can be a huge draw—that is a definite. Beyond private financing, though, there are many reasons universities look to P3s. They include: risk transfer, faster project delivery, minimization of costs throughout the asset's lifecycle, etc.

Remember that a P3 is so much more than just building or renovating an asset; usually it's a multi-decade relationship.

8.

If my university does a P3, my job will be cut

Nothing is a guarantee, of course, but our experience has not shown this to be the case. Often a P3 is even a means for empowerment and professional advancement, as the university will need educated employees to oversee the developer's design, construction, financing, operation, and/or maintenance of the facility.



Part 7

THE VALUE OF AN ADVISOR

In addition to all the usual reasons a university might turn to an advisor—including the inspiration and empowerment necessary to advance university communities—advisors are especially helpful when evaluating and embarking on a P3.

Here are some things you can expect of most any advisor.

They will:

- › Help the college or university navigate the various P3 deal structures
- › Drive the process of the transaction (through ribbon cutting, if wanted!). Even though each P3 is different, an advisor knows what comes next in the process—what to look for, what to do, and what to avoid
- › Serve as the “team captain” or “orchestra conductor,” ensuring everyone shows up at the right place at the right time, and works together
- › Work alongside the school as it receives legal advice
- › Oversee the program, budget, and timeline to ensure a project is delivered on time

Additionally, some advisors offer a higher level of service and all-important impartiality. These advisors can:

- › Help define the project and ensure market viability in a way that is consistent with the school's mission
- › Act 100% in the school's best interest; these advisors are agnostic as to whether the building gets built or how it's funded
- › Ensure an honest and fair RFP/RFQ process (e.g., selection of private sector partner) due to impartiality
- › Have relationships with professionals in every aspect of the deal—architects, developers, contractors, etc.—that can be leveraged as best serves the university
- › Specialize in higher education, giving them the expertise to enrich the project and fully integrate themselves within the context

ABOUT B&D

Founded in 1993, Brailsford & Dunlavey is a program management and development advisory firm with comprehensive in-house planning capabilities, dedicated to serving educational institutions, public agencies, and non-profit clients. Acting as advisors, we shepherd an idea, make it a viable project, and oversee it through ribbon cutting and into operation. We are nationally recognized as a leader in the higher ed P3 market and were nominated for P3 Bulletin's 2017 Technical Advisor of the Year award.

If you would like more information, please contact Doug Kotlove at dkotlove@programmanagers.com.



In 2017, B&D launched the **Higher Ed P3 Resource Center** (www.p3resourcecenter.com) as an educational space for the sector—college and university leaders, developers, and other stakeholders. Serving as a central, go-to place for answers—or even the right questions to ask—the resource center offers articles from industry experts, infographics, presentations, and more.

The Higher Ed P3 Resource Center serves as a library, housing information from throughout the industry. It also includes B&D's annual State of the Industry Report, which gives a detailed account of the year's average project costs, deal structures, ground lease terms, real estate asset class mixes, and other factors.







BRAILSFORD & DUNLAVEY

UNIVERSITY OF MAINE SYSTEM
Board of Trustees
AGENDA CALENDAR

A working calendar for developing agendas and submitting various reports to the Board has been designed in order to allow maximum planning in organizing presentations and reference materials. The calendar identifies the timetable for submission of items and reports which recur every six to 24 months as well as special reports with specific time lines. It does not include general items which are ordinarily on each Board meeting agenda; e.g., reports and consent agenda. The following agenda is subject to change consistent with scheduling, reporting, and other factors that the Chancellor deems necessary to consider such matters.

The Calendar will be updated and included in the Board Meeting materials on a regular basis.

- JANUARY:** Academic Affairs
 Honorary Degree Nominations
 Fiscal Matters
 State Research Report
- MARCH:** Academic Affairs
 Tenure Nominations
 Tenure Report
 Governance/Administration
 Board Calendar
 Establishment of Nominating Committee
 Student Affairs
 Spring Enrollment Update
 Fiscal Matters
 Multi-Year Financial Analysis
- MAY:** Fiscal Matters
 Budgets and Student Charges
 Governance/Administration
 Election of Board Officers
 Confirmation of Board of Visitors
- JULY:** Governance/Administration
 Appointment of Standing Committees
 Human Resources
 Annual Report on Named Chairs and Professorships
- SEPTEMBER:** Fiscal Matters
 Appropriation Request
 Multi-Year Financial Analysis
- NOVEMBER:** Academic Affairs
 Awarding of Academic Degrees
 Academic Year Calendar
 Fiscal Matters
 Review of Annual Financial Report
 Student Affairs
 Official Fall Enrollment Update



2018-19

Completions Report

Robert Zuercher, UMS Senior Institutional Research & Planning Analyst
January 14, 2019

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

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UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

INTRODUCTION

The following report provides summary information on degrees and certificates completed at the University of Maine System for the 2018-19 academic year. The notes below apply to all the tables and charts contained within this report, unless otherwise noted:

1. Data for past years may differ from previous reports due to changes in the segregation of data by award level and discipline. The current report follows the classification standards outlined by the National Center for Education Statistics (IPEDS).
2. The 2018-19 reporting period is between July 1, 2018 and June 30, 2019.
3. Multiple credentials awarded to a single individual within the academic year are counted separately. Multiple credentials are based on independent courses of study (e.g., one in Business and Management and one in Foreign Languages), not multiple majors within the same degree.
4. The figures in this report include only first majors.
5. Percentages may not add to 100% due to rounding.
6. Certificates include certificates awarded below and above the baccalaureate level.
7. Law includes degrees conferred in the Master of Laws (LL.M.) in addition to the Juris Doctorate (J.D.). Totals for each university appear at the top of each data set.

Data Source: National Center for Education Statistics (IPEDS) (<https://nces.ed.gov/ipeds/datacenter/>)
Retrieved November 20, 2019

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

HIGHLIGHTS

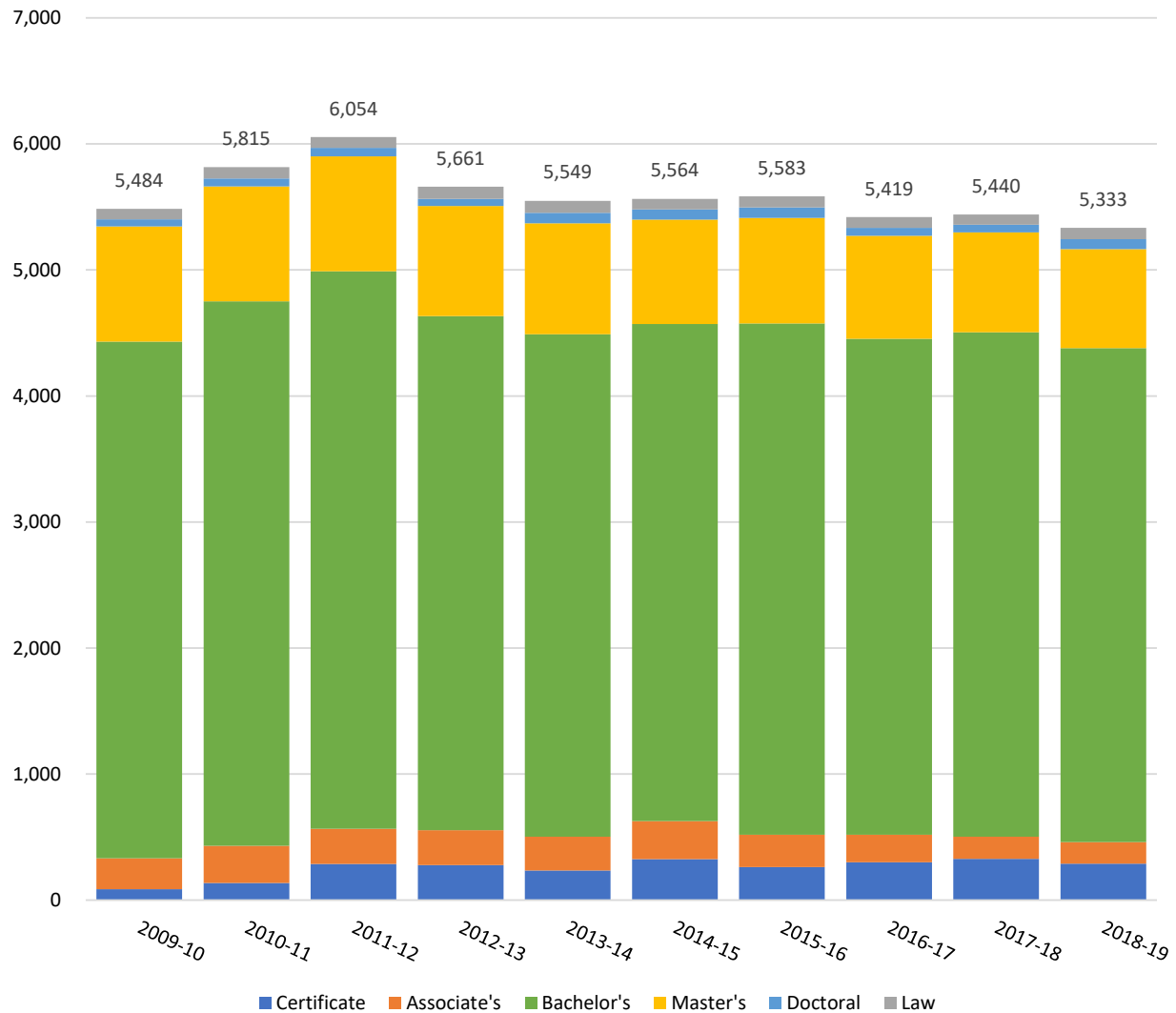
- The University of Maine System (UMS) conferred 5,333 degrees and certificates in 2018-19. In the last decade, the UMS conferred 55,902 degrees and certificates.
- UM conferred 2,098 degrees and certificates in 2018-19, or 39.3% of all academic awards. USM conferred 1,687 degrees and certificates, or 31.6% of all degrees and certificates awarded. UMA awarded 582 degrees and certificates (10.9% of all awards). UMF awarded 422 degrees and certificates (7.9% of all awards), while UMFK (257 awards, 4.8% of all awards), UMPI (178 awards, 3.3% of all awards), and UMM (109 awards, 2.0% of all awards) made up the remainder of degrees and certificates awarded.
- UMFK saw an increase of 18.4% in the number of academic awards conferred relative to last year and an increase of 35.3% compared to 2014-15. UMM also saw a substantial increase of awards compared to last year (19.8%) and had a slight increase (1.9%) relative to five years ago. UMPI had an increase of 18.7% over last year but showed no change from their conferrals in 2014-15. UMF saw a slight increase of 1.4% in total completions compared to last year and an increase of 3.7% compared to five years ago. USM saw a slight increase (0.1%) in awards from 2017-18 and a more substantial decrease (by 12.2%) from five years ago. UM saw a decline by 8.0% in the number of academic awards conferred relative to last year, though their completions have increased by 3.8% relative to 2014-15. UMA had a 3.0% drop in awards from a year ago and are down 21.2% compared to 2014-15.
- The UMS conferred 3,920 degrees at the baccalaureate level in 2018-19, or 73.5% of all academic awards in 2018-19, followed by 785 degrees conferred at the Master's level, or 14.7% of all degrees and certificates awarded. The 290 Certificates awarded comprised 5.4% of all academic awards. Associate's degrees (170, 3.2%), Law degrees (89, 1.7%), and Doctoral degrees (79, 1.5%) made up the remainder of degrees and certificates awarded.
- Certificates decreased 11.3% from 327 in 2017-18 to 290 in 2018-19. Over the past five years, certificates decreased by 11.0%. Associate's degrees conferred dropped slightly to 170 from 177 between 2017-18 and 2018-19 – a decrease of 4.0%. Since 2014-15, Associate's degrees have dropped by 43.3%. Bachelor's degrees conferred decreased slightly by 2.0% from 4,001 in 2017-18 to 3,920 in 2018-19. Relative to 2014-15, bachelor's degrees awarded in 2018-19 showed a slight decline of 0.6%. Master's degrees conferred fell 1.1% from 794 in the previous academic year to 785. Over the last five years, Master's degrees have declined by 5.3%. Doctoral degrees conferred saw an increase from 60 to 79 – a 31.7% increase over last year. Compared to 2014-15, Doctoral degrees saw a decline of 2.5%. Law degrees went from 81 degrees conferred last year to 89 – an increase of 9.9%. Since 2014-15, Law degrees have increased by 7.2%.
- Women earned 62.2% of all degrees and certificates conferred in 2018-19. Across all academic award levels (certificates, Associate's degrees, Bachelor's degrees, Master's degrees, Doctoral degrees, and Law degrees) and all UMS campuses, more women earned awards than men.
- In 2018-19, 82.7% (4,408) of degrees and certificates were awarded to white students. Ten percent of awards were conferred to racial/ethnic minorities and 2.8% of awarded were conferred to non-resident aliens. Lastly, 4.5% of awards were granted to students with unknown race/ethnicity.
- The highest number of degrees and certificates conferred by discipline in 2018-19 was within Health Professions, with 887 awards conferred, or 16.6% of all academic awards, followed by Business (721 awards or 13.5% of all academic awards) and Education (691 awards or 13.0% of all awards) disciplines.

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

COMPLETIONS BY AWARD LEVEL

Year	Certificate	Associate's	Bachelor's	Master's	Doctoral	Law	Total
2009-10	86	246	4,099	914	56	83	5,484
2010-11	137	295	4,318	912	63	90	5,815
2011-12	288	279	4,423	911	67	86	6,054
2012-13	279	276	4,078	874	56	98	5,661
2013-14	235	268	3,987	880	83	96	5,549
2014-15	326	300	3,945	829	81	83	5,564
2015-16	262	256	4,058	838	83	86	5,583
2016-17	301	217	3,935	818	63	85	5,419
2017-18	327	177	4,001	794	60	81	5,440
2018-19	290	170	3,920	785	79	89	5,333

COMPLETIONS BY AWARD LEVEL

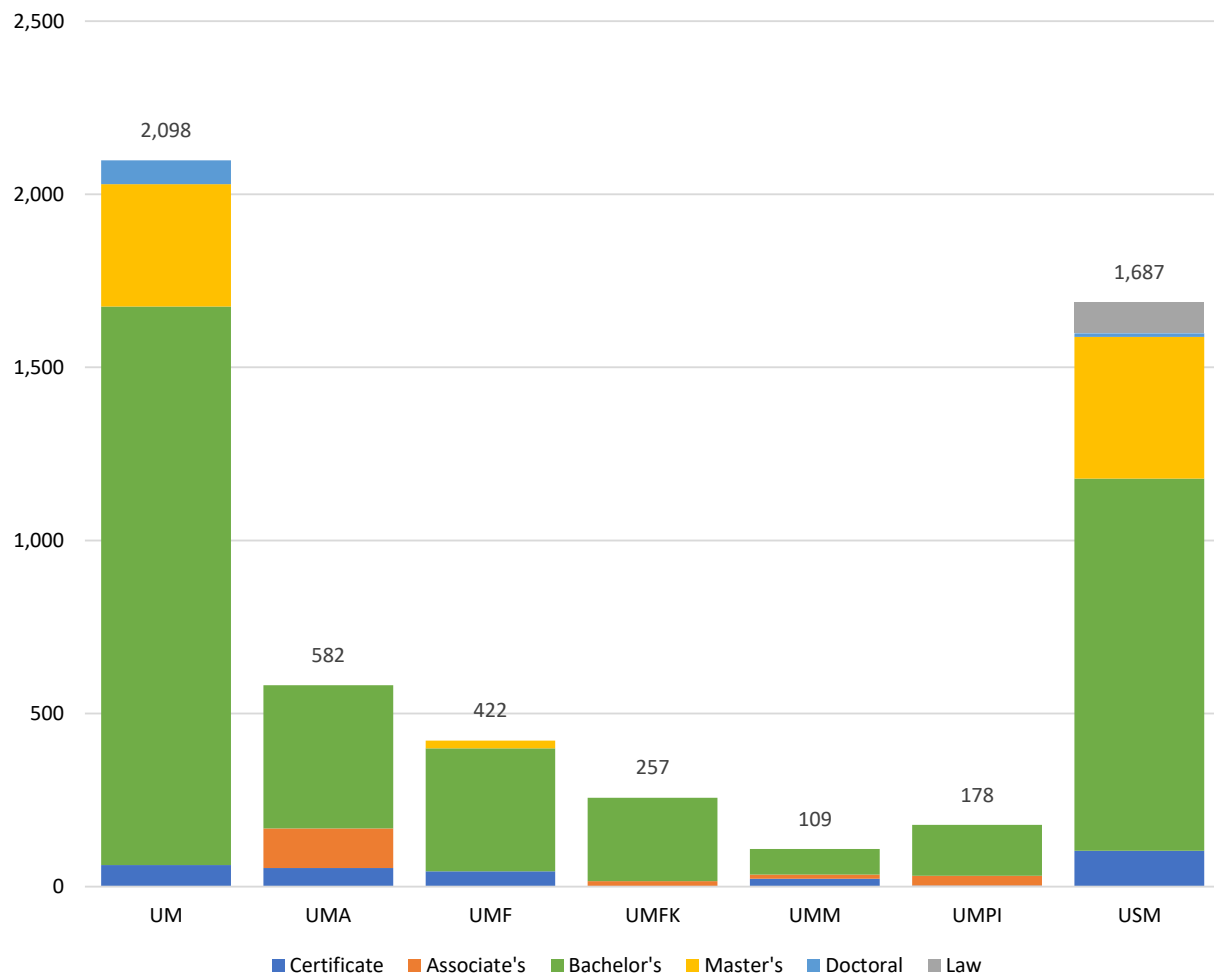


UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

2018-19 COMPLETIONS BY CAMPUS AND AWARD LEVEL

Campus	Certificate	Associate's	Bachelor's	Master's	Doctoral	Law	Total
UM	62	--	1,614	353	69	--	2,098
UMA	54	114	414	--	--	--	582
UMF	44	--	355	23	--	--	422
UMFK	0	16	241	--	--	--	257
UMM	23	12	74	--	--	--	109
UMPI	3	28	147	--	--	--	178
USM	104	--	1,075	409	10	89	1,687
Total	290	170	3,920	785	79	89	5,333

2018-19 COMPLETIONS BY CAMPUS AND AWARD LEVEL



UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

CERTIFICATES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UM	73	59	81	90	62	21.4%	-31.1%	-15.1%
UMA	74	76	59	63	54	18.6%	-14.3%	-27.0%
UMF	39	30	38	27	44	15.2%	63.0%	12.8%
UMM	12	7	8	12	23	7.9%	91.7%	91.7%
UMPI	0	1	1	1	3	1.0%	200.0%	--
USM	128	89	114	134	104	35.9%	-22.4%	-18.8%
Total	326	262	301	327	290	100.0%	-11.3%	-11.0%

ASSOCIATE'S DEGREES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UMA	221	193	154	121	114	67.1%	-5.8%	-48.4%
UMFK	38	29	29	24	16	9.4%	-33.3%	-57.9%
UMM	9	9	9	7	12	7.1%	71.4%	33.3%
UMPI	31	24	24	25	28	16.5%	12.0%	-9.7%
USM	1	1	1	0	0	0.0%	--	-100.0%
Total	300	256	217	177	170	100.0%	-4.0%	-43.3%

BACHELOR'S DEGREES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UM	1,554	1,660	1,681	1,760	1,614	41.2%	-8.3%	3.9%
UMA	444	431	419	416	414	10.6%	-0.5%	-6.8%
UMF	348	349	338	357	355	9.1%	-0.6%	2.0%
UMFK	152	168	210	193	241	6.1%	24.9%	58.6%
UMM	86	78	76	72	74	1.9%	2.8%	-14.0%
UMPI	147	154	125	124	147	3.8%	18.5%	0.0%
USM	1,214	1,218	1,086	1,079	1,075	27.4%	-0.4%	-11.4%
Total	3,945	4,058	3,935	4,001	3,920	100.0%	-2.0%	-0.6%

MASTER'S DEGREES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UM	326	361	371	375	353	45.0%	-5.9%	8.3%
UMF	20	12	26	32	23	2.9%	-28.1%	15.0%
USM	483	465	421	387	409	52.1%	5.7%	-15.3%
Total	829	838	818	794	785	100.0%	-1.1%	-5.3%

DOCOTRAL DEGREES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UM	69	60	58	55	69	87.3%	25.5%	0.0%
USM	12	23	5	5	10	12.7%	100.0%	-16.7%
Total	81	83	63	60	79	100.0%	31.7%	-2.5%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

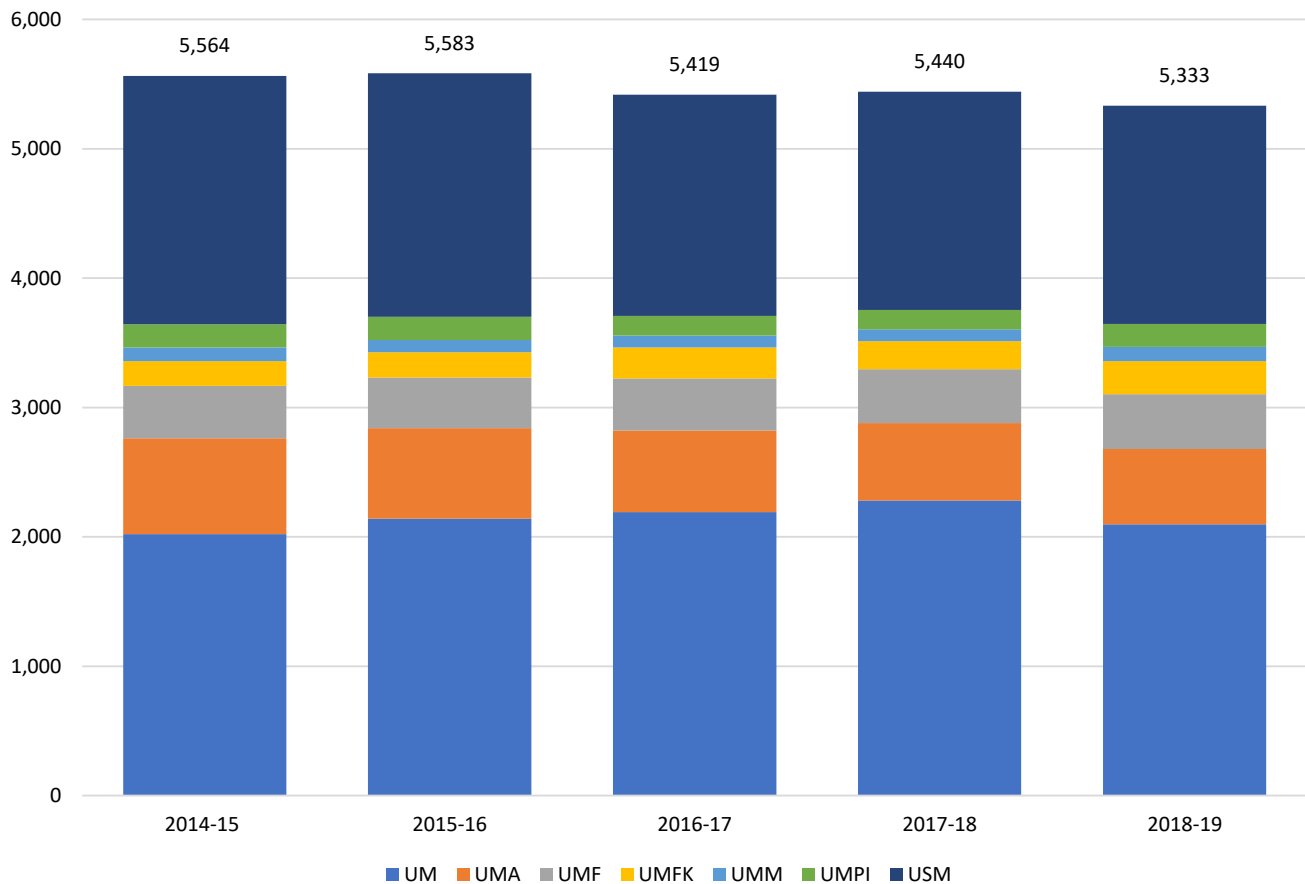
LAW DEGREES COMPLETED BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
USM	83	86	85	81	89	100.0%	9.9%	7.2%

TOTAL COMPLETIONS BY CAMPUS

Campus	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
UM	2,022	2,140	2,191	2,280	2,098	39.3%	-8.0%	3.8%
UMA	739	700	632	600	582	10.9%	-3.0%	-21.2%
UMF	407	391	402	416	422	7.9%	1.4%	3.7%
UMFK	190	197	239	217	257	4.8%	18.4%	35.3%
UMM	107	94	93	91	109	2.0%	19.8%	1.9%
UMPI	178	179	150	150	178	3.3%	18.7%	0.0%
USM	1,921	1,882	1,712	1,686	1,687	31.6%	0.1%	-12.2%
Total	5,564	5,583	5,419	5,440	5,333	100.0%	-2.0%	-4.2%

TOTAL COMPLETIONS BY CAMPUS

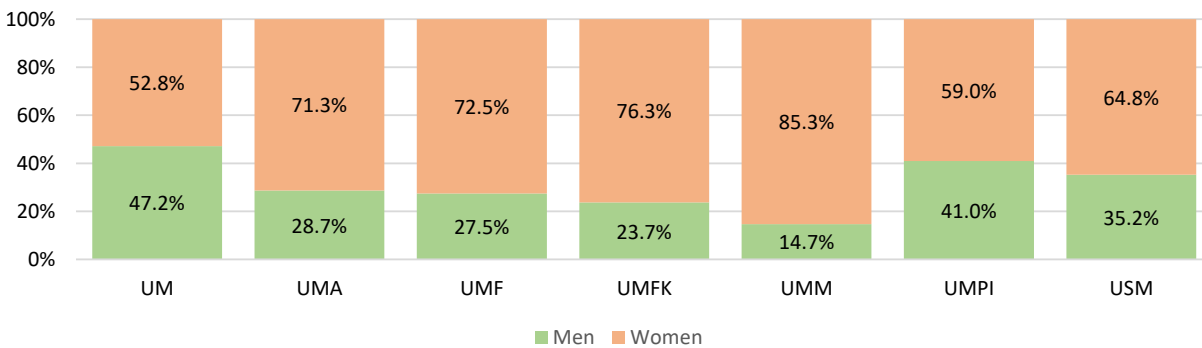


UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

2018-19 COMPLETIONS BY CAMPUS AND GENDER

Campus	Men	Women	Total	Campus	Men	Women	Total
UM	990	1,108	2,098	UM	47.2%	52.8%	100.0%
UMA	167	415	582	UMA	28.7%	71.3%	100.0%
UMF	116	306	422	UMF	27.5%	72.5%	100.0%
UMFK	61	196	257	UMFK	23.7%	76.3%	100.0%
UMM	16	93	109	UMM	14.7%	85.3%	100.0%
UMPI	73	105	178	UMPI	41.0%	59.0%	100.0%
USM	594	1,093	1,687	USM	35.2%	64.8%	100.0%
Total	2,017	3,316	5,333	Total	37.8%	62.2%	100.0%

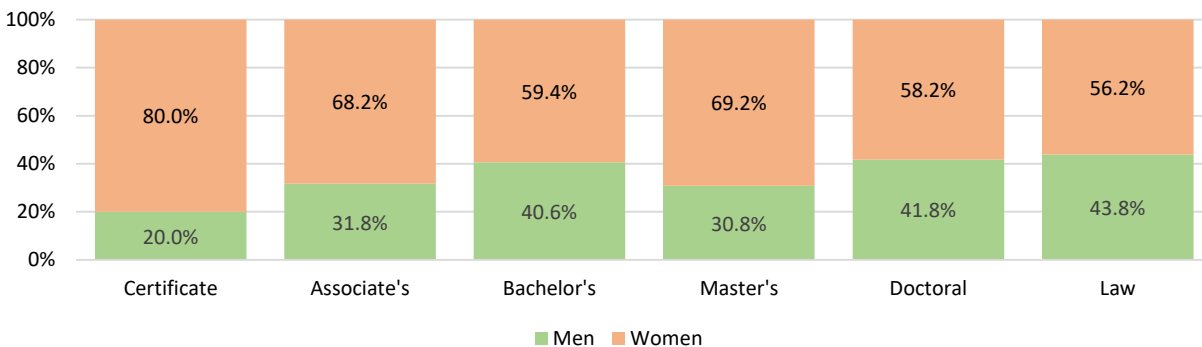
2018-19 COMPLETIONS BY CAMPUS AND GENDER



2018-19 COMPLETIONS BY AWARD LEVEL AND GENDER

Award Level	Men	Women	Total	Award Level	Men	Women	Total
Certificate	58	232	290	Certificate	20.0%	80.0%	100.0%
Associate's	54	116	170	Associate's	31.8%	68.2%	100.0%
Bachelor's	1,591	2,329	3,920	Bachelor's	40.6%	59.4%	100.0%
Master's	242	543	785	Master's	30.8%	69.2%	100.0%
Doctoral	33	46	79	Doctoral	41.8%	58.2%	100.0%
Law	39	50	89	Law	43.8%	56.2%	100.0%
Total	2,017	3,316	5,333	Total	37.8%	62.2%	100.0%

2018-19 COMPLETIONS BY AWARD LEVEL AND GENDER



UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

2018-19 COMPLETIONS BY CAMPUS AND RACE/ETHNICITY (#)

Campus	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	White	Two or more races	Nonresident Alien	Unknown	Total
UM	14	40	40	54	0	1,713	46	93	98	2,098
UMA	9	10	12	14	0	508	11	0	18	582
UMF	0	2	9	5	1	374	6	0	25	422
UMFK	4	3	12	8	1	196	3	21	9	257
UMM	0	0	1	3	1	98	3	1	2	109
UMPI	1	3	7	4	0	147	3	12	1	178
USM	17	34	59	48	1	1,372	45	24	87	1,687
Total	45	92	140	136	4	4,408	117	151	240	5,333

2018-19 COMPLETIONS BY CAMPUS AND RACE/ETHNICITY (%)

Campus	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	White	Two or more races	Nonresident Alien	Unknown	Total
UM	0.7%	1.9%	1.9%	2.6%	0.0%	81.6%	2.2%	4.4%	4.7%	100.0%
UMA	1.5%	1.7%	2.1%	2.4%	0.0%	87.3%	1.9%	0.0%	3.1%	100.0%
UMF	0.0%	0.5%	2.1%	1.2%	0.2%	88.6%	1.4%	0.0%	5.9%	100.0%
UMFK	1.6%	1.2%	4.7%	3.1%	0.4%	76.3%	1.2%	8.2%	3.5%	100.0%
UMM	0.0%	0.0%	0.9%	2.8%	0.9%	89.9%	2.8%	0.9%	1.8%	100.0%
UMPI	0.6%	1.7%	3.9%	2.2%	0.0%	82.6%	1.7%	6.7%	0.6%	100.0%
USM	1.0%	2.0%	3.5%	2.8%	0.1%	81.3%	2.7%	1.4%	5.2%	100.0%
Total	0.8%	1.7%	2.6%	2.6%	0.1%	82.7%	2.2%	2.8%	4.5%	100.0%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT
2018-19 COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY (#)

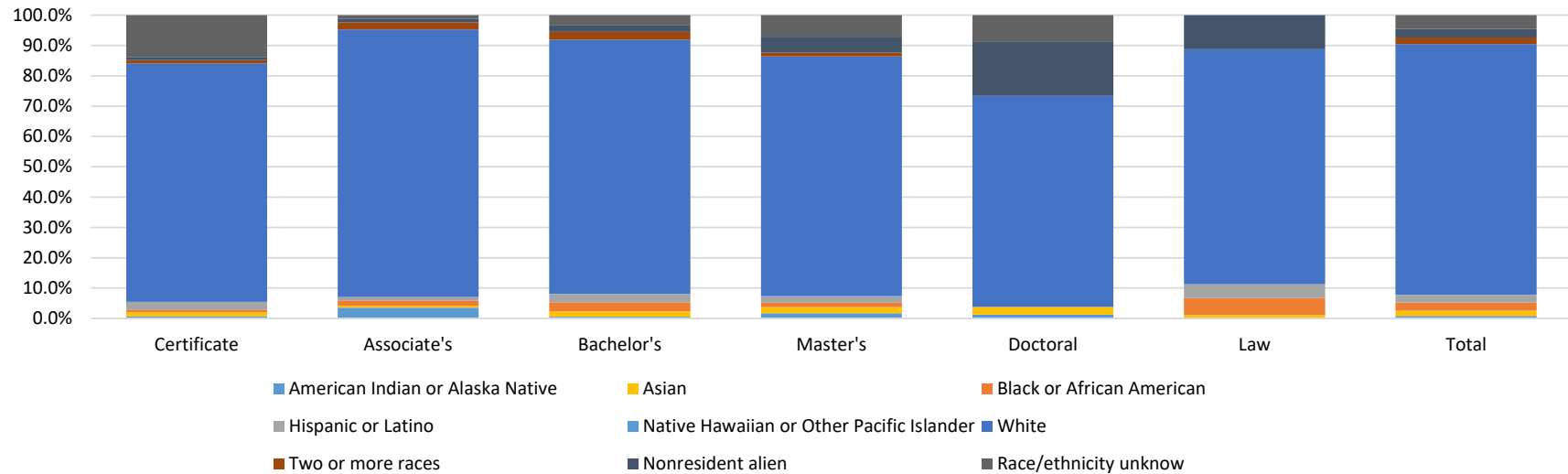
Award Level	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	White	Two or More Races	Nonresident Alien	Unknown	Total
Certificate	2	4	2	8	0	228	3	3	40	290
Associate's	6	1	3	2	0	150	4	2	2	170
Bachelor's	23	68	118	106	3	3,286	100	81	135	3,920
Master's	13	16	12	16	1	620	10	41	56	785
Doctoral	1	2	0	0	0	55	0	14	7	79
Law	0	1	5	4	0	69	0	10	0	89
Total	45	92	140	136	4	4,408	117	151	240	5,333

2018-19 COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY (%)

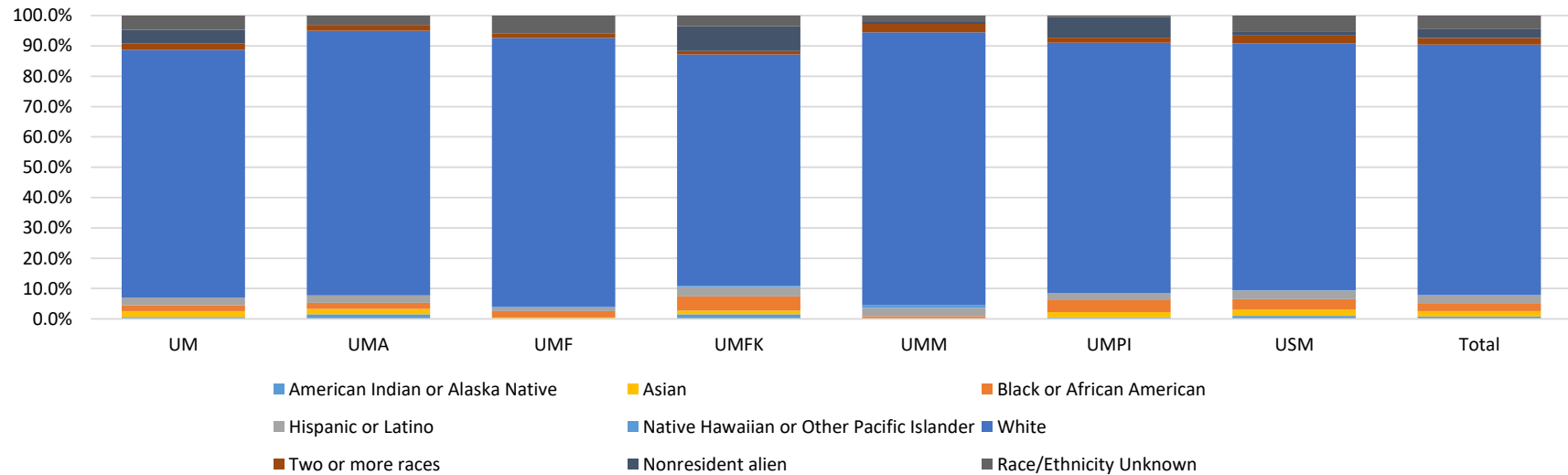
Award Level	American Indian or Alaska Native	Asian	Black or African American	Hispanic or Latino	Native Hawaiian or Other Pacific Islander	White	Two or More Races	Nonresident Alien	Unknown	Total
Certificate	0.7%	1.4%	0.7%	2.8%	0.0%	78.6%	1.0%	1.0%	13.8%	100.0%
Associate's	3.5%	0.6%	1.8%	1.2%	0.0%	88.2%	2.4%	1.2%	1.2%	100.0%
Bachelor's	0.6%	1.7%	3.0%	2.7%	0.1%	83.8%	2.6%	2.1%	3.4%	100.0%
Master's	1.7%	2.0%	1.5%	2.0%	0.1%	79.0%	1.3%	5.2%	7.1%	100.0%
Doctoral	1.3%	2.5%	0.0%	0.0%	0.0%	69.6%	0.0%	17.7%	8.9%	100.0%
Law	0.0%	1.1%	5.6%	4.5%	0.0%	77.5%	0.0%	11.2%	0.0%	100.0%
Total	0.8%	1.7%	2.6%	2.6%	0.1%	82.7%	2.2%	2.8%	4.5%	100.0%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

2018-19 COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY



2018-19 COMPLETIONS BY CAMPUS AND RACE/ETHNICITY



UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

CERTIFICATES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Agriculture, Agriculture Operations and Related Sciences	3	2	0	0	0	0.0%	--	-100.0%
Architecture and Related Services	4	1	1	0	0	0.0%	--	-100.0%
Area, Ethnic, Cultural, Gender, and Group Studies	1	0	1	7	5	1.7%	-28.6%	400.0%
Biological and Biomedical Sciences	0	0	1	0	0	0.0%	--	--
Business, Management, Marketing, and Related Support Services	35	21	30	32	25	8.6%	-21.9%	-28.6%
Communication, Journalism, and Related Programs	2	6	5	2	4	1.4%	100.0%	100.0%
Computer and Information Sciences and Support Services	1	3	3	4	1	0.3%	-75.0%	0.0%
Education	143	94	132	147	124	42.8%	-15.6%	-13.3%
Engineering	1	4	7	3	5	1.7%	66.7%	400.0%
Engineering Technologies and Engineering-Related Fields	1	1	0	1	0	0.0%	-100.0%	-100.0%
English Language and Literature/Letters	0	0	1	1	2	0.7%	100.0%	--
Family and Consumer Sciences/Human Sciences	3	3	4	6	5	1.7%	-16.7%	66.7%
Health Professions and Related Programs	78	84	79	80	65	22.4%	-18.8%	-16.7%
Homeland Security, Law Enforcement, Firefighting, & Related Protective Services	0	0	0	1	0	0.0%	-100.0%	--
Legal Professions and Studies	0	0	4	4	4	1.4%	0.0%	--
Liberal Arts and Sciences, General Studies and Humanities	0	0	0	0	3	1.0%	--	--
Mathematics and Statistics	3	0	0	1	1	0.3%	0.0%	-66.7%
Multi/Interdisciplinary Studies	9	12	9	12	14	4.8%	16.7%	55.6%
Natural Resources and Conservation	6	3	4	2	2	0.7%	0.0%	-66.7%
Physical Sciences	0	0	0	3	0	0.0%	-100.0%	--
Psychology	1	7	7	10	14	4.8%	40.0%	1300.0%
Public Administration and Social Service Professions	18	7	1	4	3	1.0%	-25.0%	-83.3%
Social Sciences	17	14	11	7	13	4.5%	85.7%	-23.5%
Visual and Performing Arts	0	0	1	0	0	0.0%	--	--
Total	326	262	301	327	290	100.0%	-11.3%	-11.0%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

ASSOCIATE'S DEGREES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Business, Management, Marketing, and Related Support Services	33	30	26	22	21	12.4%	-4.5%	-36.4%
Communication, Journalism, and Related Programs	1	0	0	0	0	0.0%	--	-100.0%
Computer and Information Sciences and Support Services	12	10	9	3	4	2.4%	33.3%	-66.7%
Health Professions and Related Programs	141	122	85	75	41	24.1%	-45.3%	-70.9%
Homeland Security, Law Enforcement, Firefighting, & Related Protective Services	45	27	33	24	21	12.4%	-12.5%	-53.3%
Liberal Arts and Sciences, General Studies and Humanities	53	45	49	41	72	42.4%	75.6%	35.8%
Library Science	4	6	4	5	1	0.6%	-80.0%	-75.0%
Multi/Interdisciplinary Studies	0	1	1	0	0	0.0%	--	--
Natural Resources and Conservation	8	13	8	4	5	2.9%	25.0%	-37.5%
Public Administration and Social Service Professions	1	0	1	2	3	1.8%	50.0%	200.0%
Social Sciences	0	0	1	0	1	0.6%	--	--
Visual and Performing Arts	2	2	0	1	1	0.6%	0.0%	-50.0%
Total	300	256	217	177	170	100.0%	-4.0%	-43.3%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

BACHELOR'S DEGREES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Agriculture, Agriculture Operations, and Related Sciences	77	98	87	67	66	1.7%	-1.5%	-14.3%
Architecture and Related Services	3	5	6	5	2	0.1%	-60.0%	-33.3%
Area, Ethnic, Cultural, Gender, and Group Studies	10	6	3	9	12	0.3%	33.3%	20.0%
Biological and Biomedical Sciences	209	204	198	215	202	5.2%	-6.0%	-3.3%
Business, Management, Marketing, and Related Support Services	535	604	607	620	610	15.6%	-1.6%	14.0%
Communication, Journalism, and Related Programs	156	143	130	132	144	3.7%	9.1%	-7.7%
Computer and Information Sciences and Support Services	57	66	70	90	92	2.3%	2.2%	61.4%
Education	344	309	349	331	289	7.4%	-12.7%	-16.0%
Engineering	230	308	298	265	277	7.1%	4.5%	20.4%
Engineering Technologies and Engineering-Related Fields	135	154	118	145	110	2.8%	-24.1%	-18.5%
English Language and Literature/Letters	110	119	103	121	98	2.5%	-19.0%	-10.9%
Family and Consumer Sciences/Human Sciences	36	45	47	53	49	1.3%	-7.5%	36.1%
Foreign Languages, Literatures, and Linguistics	14	22	16	20	19	0.5%	-5.0%	35.7%
Health Professions and Related Programs	636	628	629	662	671	17.1%	1.4%	5.5%
History	77	53	55	44	55	1.4%	25.0%	-28.6%
Homeland Security, Law Enforcement, Firefighting, & Related Protective Services	51	38	36	29	37	0.9%	27.6%	-27.5%
Liberal Arts and Sciences, General Studies and Humanities	216	239	215	223	228	5.8%	2.2%	5.6%
Library Science	25	22	20	21	19	0.5%	-9.5%	-24.0%
Mathematics and Statistics	28	28	31	20	23	0.6%	15.0%	-17.9%
Multi/Interdisciplinary Studies	62	58	51	59	54	1.4%	-8.5%	-12.9%
Natural Resources and Conservation	73	101	105	116	136	3.5%	17.2%	86.3%
Parks, Recreation, Leisure, and Fitness Studies	48	31	48	38	37	0.9%	-2.6%	-22.9%
Philosophy and Religious Studies	12	12	16	21	12	0.3%	-42.9%	0.0%
Physical Sciences	47	50	42	45	29	0.7%	-35.6%	-38.3%
Psychology	227	224	217	197	189	4.8%	-4.1%	-16.7%
Public Administration and Social Service Professions	97	89	102	101	109	2.8%	7.9%	12.4%
Social Sciences	311	293	242	267	262	6.7%	-1.9%	-15.8%
Transportation and Materials Moving	0	0	4	1	2	0.1%	100.0%	--
Visual and Performing Arts	119	109	90	84	87	2.2%	3.6%	-26.9%
Total	3,945	4,058	3,935	4,001	3,920	100.0%	-2.0%	-0.6%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

MASTER'S DEGREES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Agriculture, Agriculture Operations, and Related Sciences	20	14	19	13	23	2.9%	76.9%	15.0%
Architecture and Related Services	10	3	1	1	2	0.3%	100.0%	-80.0%
Area, Ethnic, Cultural, Gender, and Group Studies	15	7	5	2	0	0.0%	-100.0%	-100.0%
Biological and Biomedical Sciences	18	19	13	8	9	1.1%	12.5%	-50.0%
Business, Management, Marketing, and Related Support Services	49	56	51	67	65	8.3%	-3.0%	32.7%
Communication, Journalism, and Related Programs	4	7	8	1	6	0.8%	500.0%	50.0%
Computer and Information Sciences and Support Services	11	9	16	6	3	0.4%	-50.0%	-72.7%
Education	296	299	324	281	273	34.8%	-2.8%	-7.8%
Engineering	21	37	25	49	30	3.8%	-38.8%	42.9%
English Language and Literature/Letters	49	63	50	51	49	6.2%	-3.9%	0.0%
Family and Consumer Sciences/Human Sciences	6	4	6	4	6	0.8%	50.0%	0.0%
Foreign Languages, Literatures, and Linguistics	3	0	2	1	2	0.3%	100.0%	-33.3%
Health Professions and Related Programs	103	98	112	117	110	14.0%	-6.0%	6.8%
History	4	2	1	3	5	0.6%	66.7%	25.0%
Mathematics and Statistics	16	10	9	9	9	1.1%	0.0%	-43.8%
Multi/Interdisciplinary Studies	24	21	24	29	15	1.9%	-48.3%	-37.5%
Natural Resources and Conservation	17	21	22	15	21	2.7%	40.0%	23.5%
Physical Sciences	13	12	10	12	13	1.7%	8.3%	0.0%
Psychology	4	23	20	9	13	1.7%	44.4%	225.0%
Public Administration and Social Service Professions	126	108	81	91	105	13.4%	15.4%	-16.7%
Social Sciences	5	9	10	14	15	1.9%	7.1%	200.0%
Visual and Performing Arts	15	16	9	11	11	1.4%	0.0%	-26.7%
Total	829	838	818	794	785	100.0%	-1.1%	-5.3%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

DOCTORAL DEGREES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Agriculture, Agriculture Operations, and Related Sciences	3	2	0	2	3	3.8%	50.0%	0.0%
Biological and Biomedical Sciences	7	10	6	8	10	12.7%	25.0%	42.9%
Communication, Journalism, and Related Programs	0	1	1	1	0	0.0%	-100.0%	--
Education	4	5	7	6	5	6.3%	-16.7%	25.0%
Engineering	13	12	11	10	8	10.1%	-20.0%	-38.5%
Health Professions and Related Programs	0	3	0	2	0	0.0%	-100.0%	--
History	2	4	3	1	2	2.5%	100.0%	0.0%
Multi/Interdisciplinary Studies	13	5	6	9	6	7.6%	-33.3%	-53.8%
Natural Resources and Conservation	12	9	11	10	15	19.0%	50.0%	25.0%
Physical Sciences	12	5	7	5	15	19.0%	200.0%	25.0%
Psychology	9	10	10	6	7	8.9%	16.7%	-22.2%
Public Administration and Social Service Professions	6	16	1	0	7	8.9%	--	16.7%
Social Sciences	0	1	0	0	1	1.3%	--	--
Total	81	83	63	60	79	100.0%	31.7%	-2.5%

LAW DEGREES COMPLETED BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Legal Professions and Studies (L.L.M.)	5	0	5	1	12	13.5%	1100.0%	140.0%
Legal Professions and Studies (J.D.)	78	86	80	80	77	86.5%	-3.8%	-1.3%
Total	83	86	85	81	89	100.0%	9.9%	7.2%

UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

TOTAL COMPLETIONS BY DISCIPLINE

Discipline	2014-15	2015-16	2016-17	2017-18	2018-19	% of Total	1-year Change	5-year Change
Agriculture, Agriculture Operations, and Related Sciences	103	116	106	82	92	1.7%	12.2%	-10.7%
Architecture and Related Services	17	9	8	6	4	0.1%	-33.3%	-76.5%
Area, Ethnic, Cultural, Gender, and Group Studies	26	13	9	18	17	0.3%	-5.6%	-34.6%
Biological and Biomedical Sciences	234	233	218	231	221	4.1%	-4.3%	-5.6%
Business, Management, Marketing, and Related Support Services	652	711	714	741	721	13.5%	-2.7%	10.6%
Communication, Journalism, and Related Programs	163	157	144	136	154	2.9%	13.2%	-5.5%
Computer and Information Sciences and Support Services	81	88	98	103	100	1.9%	-2.9%	23.5%
Education	787	707	812	765	691	13.0%	-9.7%	-12.2%
Engineering	265	361	341	327	320	6.0%	-2.1%	20.8%
Engineering Technologies and Engineering-Related Fields	136	155	118	146	110	2.1%	-24.7%	-19.1%
English Language and Literature/Letters	159	182	154	173	149	2.8%	-13.9%	-6.3%
Family and Consumer Sciences/Human Sciences	45	52	57	63	60	1.1%	-4.8%	33.3%
Foreign Languages, Literatures, and Linguistics	17	22	18	21	21	0.4%	0.0%	23.5%
Health Professions and Related Programs	958	935	905	936	887	16.6%	-5.2%	-7.4%
History	83	59	59	48	62	1.2%	29.2%	-25.3%
Homeland Security, Law Enforcement, Firefighting, & Related Protective Services	96	65	69	54	58	1.1%	7.4%	-39.6%
Legal Professions and Studies	83	86	89	85	93	1.7%	9.4%	12.0%
Liberal Arts and Sciences, General Studies and Humanities	269	284	264	264	303	5.7%	14.8%	12.6%
Library Science	29	28	24	26	20	0.4%	-23.1%	-31.0%
Mathematics and Statistics	47	38	40	30	33	0.6%	10.0%	-29.8%
Multi/Interdisciplinary Studies	108	97	91	109	89	1.7%	-18.3%	-17.6%
Natural Resources and Conservation	116	147	150	147	179	3.4%	21.8%	54.3%
Parks, Recreation, Leisure, and Fitness Studies	48	31	48	38	37	0.7%	-2.6%	-22.9%
Philosophy and Religious Studies	12	12	16	21	12	0.2%	-42.9%	0.0%
Physical Sciences	72	67	59	65	57	1.1%	-12.3%	-20.8%
Psychology	241	264	254	222	223	4.2%	0.5%	-7.5%
Public Administration and Social Service Professions	248	220	186	198	227	4.3%	14.6%	-8.5%
Social Sciences	333	317	264	288	292	5.5%	1.4%	-12.3%
Transportation and Materials Moving	0	0	4	1	2	0.0%	100.0%	--
Visual and Performing Arts	136	127	100	96	99	1.9%	3.1%	-27.2%
Total	5,564	5,583	5,419	5,440	5,333	100.0%	-2.0%	-4.2%

Capital Project Status Report

Executive Summary

Overview:

Attached is the Capital Project Status Report for the January 26-27, 2020 meeting of the Board of Trustees. The report reflects a total of 20 projects; no projects have been added or removed since the last report. Two projects are completed and will be removed from the following report. They are USM's Corthell Hall HVAC Upgrades (6100295) and Woodward Hall Renovation (6100301) projects.

Bond Project Status Report:

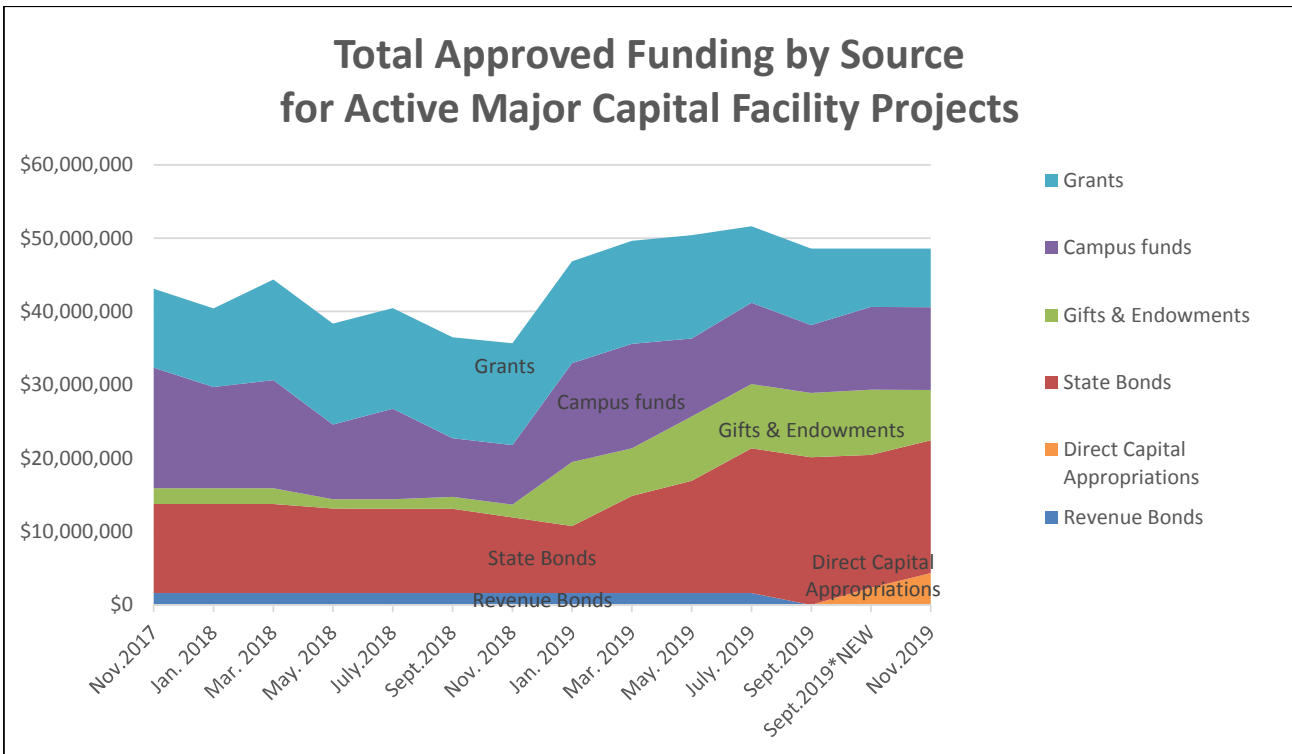
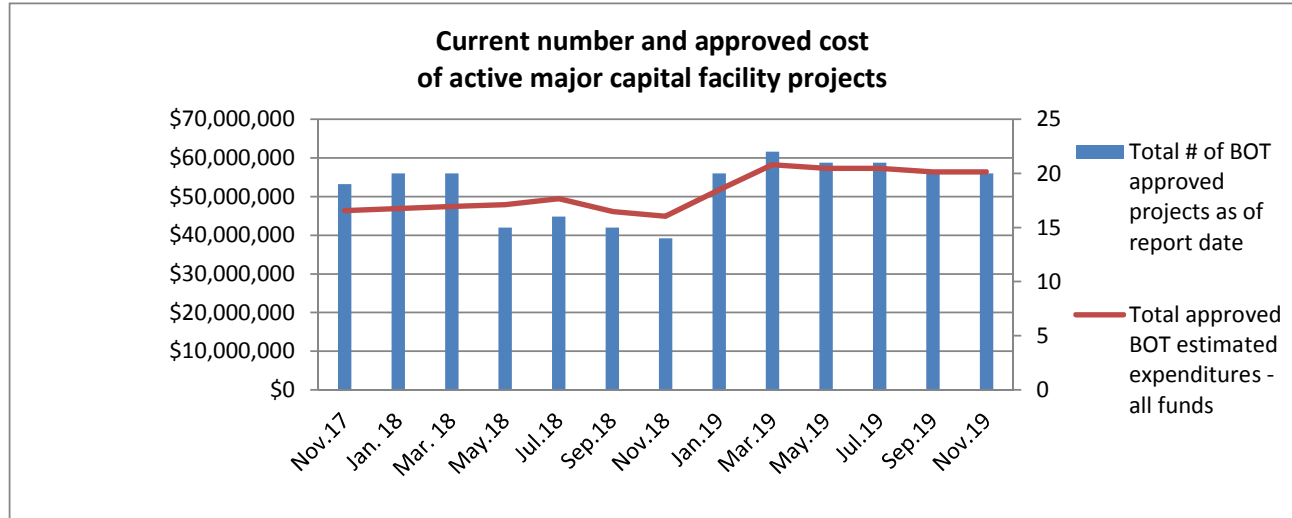
The special portion of this report calling out only bond projects now reflects twenty-nine (29) projects in progress. These projects are currently estimated to account for over \$31 million of the \$49 million in voter approved general obligation bond funding and just over \$4 million of that has been expended. Supplemental funding is being leveraged for some of these projects and the total estimated project value across all funds currently stands at approximately \$42.8 million, including the bond funding and other project resources.

Seven (7) of these bond projects also appear on the Capital Project Status Report with approved budgets above board threshold. Five (5) projects are expected to be brought to the board for additional authorization as design progresses, but are currently in design and pre-design phases with budgets below the board approval threshold. Two such projects are part of today's agenda: UMA's Augusta Welcome Center (1100077) and USM's Nursing Simulation Lab (6100327). The remaining seventeen (17) 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. One project is complete, however will remain on this report for documenting purposes until all Bond Projects are completed.

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

Update to UM Ferland Engineering Education & Design Center Project:

The project is currently in the final stage of design (Construction documents). The team recently issued a set of 80% complete documents for a pricing exercise. The estimates from this are expected to be finalized in January. With these results the team expects to be ready to request board approval for the construction portion of the project as soon as the upcoming February/March meetings.



*Direct Capital Appropriations funds consist of capital appropriations in anticipation of revenue bonding, as well as MEIF funds.

**Please note that the graph reflecting Total Approved Funding by Source for Active Major Capital Facility Projects, two sets of data for the month of September are captured to reflect a change in methodology. The new methodology does not reflect any change in resources but does reflect a refinement in how those resources are categorized. Following months will return to a single set of data for each month.

1/20/2020

Capital Project Status Report
Board Approved Projects
January 2020 - 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
UMA								
Handley Hall HVAC System Upgrade (1200029)	2018 State Bond (77%), Campus E&G Funds (23%)	Design in Progress	2020	2020	\$575,000	\$575,000	4%	Board approved \$575K in September, 2019.
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 (44%), Gifts (6%), Campus E&G Funds (<1%)	Project 5100316 is Complete, Project 5100414 Design in Progress, Project 5100432 is Substantially Complete	2014	2020	\$6,400,000	\$10,400,000	92%	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%), Grants (5%), Campus E&G Funds (11%)	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 (41%), Campus E&G Funds (59%)	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.
Darling Marine Center Waterfront Infrastructure (5100459, 5100460, 5100461)	Grants (69%), Campus E&G Funds (31%)	Design in Progress	2017	2021	\$3,000,000	\$5,200,000	7%	Board approved \$3M in July, 2017. Board approved increase of \$2.2M in September, 2019.
Engineering Education and Design Center (5100458, 5100493, 5200604)	Gifts (33%), Campus Funds (10%), Campus Operating Reserves (13%), Direct Capital Appropriations (44%)	Design in Progress	2024	2024	\$1,000,000	\$9,000,000	60%	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 Operating (64%) Campus Auxiliary Reserves (36%)	Substantially Complete	2019	2020	\$525,000	\$525,000	61%	Board approved \$525,000 January, 2018.
CCAR EDA Hatchery Building Roof Replacement (5100456)	Campus E&G Funds (100%)	Substantially Complete	2019	2020	\$562,000	\$562,000	12%	Board approved \$562,000 in June, 2018.
Hilltop Commons Servery Updates (5100489)	Campus Auxiliary Operating (40%) Campus Auxiliary Reserves (60%)	Substantially Complete	2019	2020	\$925,000	\$925,000	68%	Board approved \$925,000 January, 2019.
York Hall Kitchen Hood Replacement (5100490)	Campus Auxiliary Operating (22%) Campus Auxiliary Reserves (78%)	Substantially Complete	2019	2020	\$550,000	\$950,000	73%	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%)	Substantially Complete	2019	2020	\$600,000	\$850,000	76%	Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019.

Capital Project Status Report
Board Approved Projects
January 2020 - 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	2023	\$1,000,000	\$1,000,000	12%	Board approved \$1M in January, 2018.
***Corthell Hall HVAC Upgrades (6100295)	Campus E&G Funds (100%)	Complete	2018	2019	\$550,000	\$550,000	94%	Board approved \$550,000 in May, 2018.
***Woodward Hall Renovation (6100301)	2018 State Bond (86%), Campus E&G Funds (14%)	Complete	2019	2019	\$1,800,000	\$1,800,000	63%	Board approved \$1.8M in January, 2019.
Ricci Lecture Hall Renovation (6100308)	2018 State Bond (29%), Gifts (43%), Campus E&G Funds (28%)	Substantially Complete	2019	2020	\$500,000	\$680,000	75%	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%)	Complete	2019	2019	\$675,000	\$675,000	92%	Board approved \$675,000 in January, 2019.
Schematic Design of the Career and Student Success Center (6100325)	2018 State Bond (100%)	Pre-Design in Progress	2020	2022	\$1,000,000	\$1,000,000	1%	Board approved \$1M in January, 2019.
Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323)	2018 State Bond (8%), Campus E&G Funds (92%)	Project 6100316 is Out to Bid, Project 6100323 is Complete	2019	2021	\$2,580,000	\$2,580,000	20%	Board approved \$2.58M in January, 2019.
UMPI								
UMPI Greenhouse (7100010)	Bond (11%), Direct Capital Appropriations (46%), Gifts (43%)	Substantially Complete	2018	2019	\$850,000	\$935,000	77%	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 November 30, 2019 as a percentage of the current approved project estimate.	

Bond Project Status Report
Active Bond Projects
January 2020 - 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 (100%), Campus E&G Funds (0%)	\$1,155,000	\$42,423	\$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	\$46,510	\$400,000	
Bangor Campus Fire Alarms (1100540) Project Manager: Sheri Stevens/Walter Shannon	Design in Progress	2020	2020	Bond (100%)	\$330,000	\$38,053	\$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%)	\$530,000	\$18,215	\$575,000	Board approved budget of \$575,000 in September, 2019
Bangor Welcome Center Planning (1100534) Project Manager: Sheri Stevens/Walter Shannon	Design in Progress	2021	2021	Bond (100%)	\$300,000	\$3,309	\$300,000	
Total Bond for Campus					\$2,715,000	\$148,510	\$4,605,000	
UMF								
Dearborn Gym Hot Water Upgrades (2100087) Project Manager: Keenan Farwell	Substantially Complete	2019	2020	Bond (100%)	\$850,000	\$645,939	\$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	2020	Bond (100%)	\$200,000	\$171,155	\$200,000	
Dakin Hall Shower Renovations (2100093) Project Manager: Keenan Farwell	Construction in Progress	2019	2020	Bond (100%)	\$200,000	\$40,987	\$200,000	
Lockwood Hall Shower Renovations (2100094) Project Manager: Keenan Farwell	Construction in Progress	2019	2020	Bond (100%)	\$200,000	\$73,965	\$200,000	
Stone Hall Shower Renovations (2100095) Project Manager: Keenan Farwell	Construction in Progress	2019	2020	Bond (100%)	\$200,000	\$19,514	\$200,000	
UMF Campus Paving (2100097) Project Manager: Keenan Farwell	Complete	2019	2019	Bond (100%)	\$200,000	\$96,916	\$200,000	
274 Front St Renovation (2100096) Project Manager: Keenan Farwell	Pre-Design in Progress	2020	2020	Bond (100%)	\$450,000	\$4,244	\$1,000,000	Approved budget of \$450,000, as it remains in study/design phase.
**FRC Floor Renovation (2100098) Project Manager: Keenan Farwell	Complete	2019	2019	Bond (100%)	\$200,000	\$187,807	\$200,000	
Exterior Painting Merrill Hall (2200096) Project Manager: Keenan Farwell	Pre-Design in Progress	2020	2020	Bond (0%)	\$40,000	\$0	\$40,000	
*Olsen Center Walk-In Replacement (2100090) Project Manager: Keenan Farwell	Construction in Progress	2020	2020	Bond (0%)	\$100,453	\$0	\$291,453	
Total Bond for Campus					\$3,495,453	\$2,091,346	\$4,236,453	

Bond Project Status Report
Active Bond Projects
January 2020 - 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
UMFK								
UMFK Enrollment/Advancement Center (3100042) Project Manager: Jacob Olsen	Design in Progress	2022	2022	Campus E&G (100%)	\$300,000	\$0	\$2,900,000	Approved budget of \$320,000 as it remains in study/design phase.
Total Bond for Campus					\$300,000	\$0	\$2,900,000	
UMM								
UMM Science Building Roof Replacement (4100042) Project Manager: Art Bottie	Substantially Complete	2020	2020	Bond (100%)	\$325,000	\$223,600	\$325,000	
UMM Dorward Hall Roof Replacement (4100043) Project Manager: Art Bottie	Substantially Complete	2020	2019	Bond (100%)	\$300,000	\$251,758	\$300,000	
UMM Sennett Roof Replacement (4100044) Project Manager: Art Bottie	Design in Progress	2020	2020	Bond (100%)	\$150,000	\$9,783	\$150,000	
**UMM Reynolds Center Roof Repair (4200044) Project Manager: Art Bottie	Substantially Complete	2020	2020	Bond (100%)	\$164,000	\$145,465	\$164,000	
*UMM Site Work (4200045) Project Manager: Joshua Burke	Construction in Progress	2020	2020	Bond (100%)	\$60,000	\$1,990	\$60,000	
Total Bond for Campus					\$999,000	\$632,596	\$999,000	
USM								
**Woodward Hall Renovations (6100301) Project Manager: Carol Potter	Complete	2019	2019	Bond (86%), Campus E&G Funds (14%)	\$1,500,000	\$975,440	\$1,800,000	Board approved \$1.8M in January, 2019.
Ricci Lecture Hall Renovations (6100308) Project Manager: Carol Potter	Substantially Complete	2019	2020	Bond (29%), Gifts (43%), Campus E&G Funds (28%)	\$150,000	\$150,000	\$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: Joe Gallant	Pre-Design in Progress	2020	2022	Bond (100%)	\$19,000,000	\$9,800	\$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 Out to Bid, Project 6100323 is Complete	2019	2021	Bond (8%), Campus E&G Funds (92%)	\$1,460,000	\$40,622	\$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	\$79,943	\$1,500,000	Approved budget of \$450,000 as it remains in study/design phase.
Total Bond for Campus					\$23,610,000	\$1,255,805	\$25,560,000	

Bond Project Status Report
Active Bond Projects
January 2020 - 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
UMPI								
Wieden Renovation Bond (7100025) Project Manager: Joseph Moir	Design in Progress	2020	2020	Bond (0%)	\$125,000	\$32,184	\$4,000,000	Approved budget of \$125,000, as it remains in study/design phase.
Folsom Renovation Bond (7100026) Project Manager: Joseph Moir	Design in Progress	2020	2020	Bond (100%)	\$100,000	\$1,283	\$478,000	
Total Bond for Campus					\$225,000	\$33,466	\$4,478,000	
Totals:					\$31,344,453	\$4,161,724	\$42,778,453	
Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report.	Funding source(s) reflects primary source(s) for project.	Calendar Year unless otherwise noted.						Percentage expended reflects total expended as of November 30, 2019 as a percentage of the current approved project estimate.



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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

January 2, 2020

The Hon. Sen. Rebecca Millett and the Hon. Rep. Tori Kornfield
Chairs of the Joint Standing Committee on Education & Cultural Affairs
100 State House Station
Augusta, ME 04333

The Hon. Sen. Cathy Breen and the Hon. Rep. Drew Gattine
Chairs of the Joint Standing Committee on Appropriations & Financial Affairs
5 State House Station
Augusta, ME 04333

Dear Chairs Millett, Breen, Kornfield and Gattine:

The University of Maine System, Maine Community College System and Maine Maritime Academy are among Maine's most critical public assets and so too is their infrastructure. Just like roads and bridges, these higher education institutions are essential to the economic prosperity of our state and the upward mobility of all Maine citizens and communities.

Yet despite the vital importance of these institutions to developing the state's workforce, accelerating innovation and investment, and attracting and retaining tens of thousands of talented people to study, live and work in Maine, their facilities are failing. The average effective age of buildings at Maine's public universities is 50, at its public community colleges is 36, and at its maritime academy is 40. Not only are many of the classrooms, labs, and student and community spaces woefully outdated to meet the needs and uses of 21st century learners, in a concerning number of cases they also fail to meet minimum federal accessibility requirements and basic health and life safety standards.

These conditions are not the result of negligence. Instead, decades of underfunding of the state's public postsecondary systems combined with their respective commitments to minimizing tuition costs to ensure access and affordability for Maine families have burdened our institutions with more than \$1 billion in deferred maintenance and imminent need.

Were the UMS, MCCC and MMA to have to fund capital maintenance at recommended levels without additive State appropriation, it would result in significant decreases in programs and positions and increases in tuition and fees that would make public higher education and the opportunities it creates inaccessible for the people of Maine.

Our students deserve better and with talent development and innovation at the center of Maine's new 10-year economic strategic plan, our state's future demands it.

Over the last six months, Presidents David Daigler (MCCS) and William Brennan (MMA) have joined me along with representatives of the Maine Department of Education, the Maine Department of Administrative and Financial Services, the Finance Authority of Maine and the Associated General Contractors of Maine to explore strategic and sustainable approaches to addressing this public higher education and workforce training infrastructure crisis. The *Task Force To Recommend a Sustainable Funding Model for Maintaining Maine's Public Higher Education Infrastructure*, which I chaired, was guided by our shared belief that this burden should not be borne directly by Maine students and their families.

The attached report details the Task Force's findings as well as our recommendations, which can be summarized as follows:

- The three public systems should implement a common data-driven capital asset assessment and investment prioritization process.
- The State should appropriate \$10 million annually in new debt service to be allocated across the three public systems via an objective need-based formula specifically to target deferred maintenance.
- UMS, MCCS and MMA should continue seeking regular general obligation bonds for projects with statewide benefit but do so with greater coordination.
- The three public systems should not levy student fees or raise tuition specifically to fund deferred maintenance unless absolutely necessary due to inadequate State support.

We believe that these recommendations are reasonable and rightly put the responsibility for stewarding these public assets both on our campuses and in the Capitol. We look forward to working together with you to advance them for the benefit of our students and our state. To this end, the Task Force would welcome the opportunity to meet jointly with your Committees. UMS Director of Government & Community Relations Samantha Warren (samantha.warren@maine.edu) will contact your Committee analysts to schedule this briefing.

I want to thank you for being incredible champions of Maine's public postsecondary institutions and especially for your steadfast support of the \$65 million in general obligation bonds for our campuses ultimately passed by Maine voters in 2018. This funding was significant and is already making a difference in our ability to attract and retain students and provide them a high-quality, affordable education. Action on the attached recommendations is the next step we can take together to truly transform public higher education in Maine.

Sincerely,



Dannel P. Malloy, Chancellor
University of Maine System

Report of the Task Force To Recommend a Sustainable Funding Model for Maintaining Maine's Public Higher Education Infrastructure

SUBMITTED JANUARY 2, 2020

The Hon. Dannel Malloy, Chancellor of the University of Maine System (Chair) • David Daigler, President of the Maine Community College System • William Brennan, President of Maine Maritime Academy • Elaine Clark, Director of the State of Maine Bureau of General Services • Scott Brown, Director of the Maine Department of Education Division of School Facilities • Matt Marks, CEO of the Associated General Contractors of Maine • Carlos R. Mello, Chief Risk Officer at the Finance Authority of Maine

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INTRODUCTION

With at least 158,000 more Mainers requiring a postsecondary degree or credential by 2025 and acute workforce shortages in essential occupations like nursing, engineering and teaching that require a two-year, four-year or advanced degree, the state's public postsecondary institutions are more important now than ever before.

The University of Maine System, Maine Community College System and Maine Maritime Academy are among Maine's most critical public assets and so too is their infrastructure. **Just like roads and bridges, these higher education institutions are essential to the economic prosperity of our state and the upward mobility of all Maine citizens and communities.**

"In the 21st century, economic development is about investing in people and their communities. Talent is the new currency. Maine is in competition with other states and the world to build and retain a creative and productive workforce, to attract knowledge industries, and to have a well-educated public that can make wise civic and policy decisions."
 –State Economic Development Plan

Together, the three public systems have 715 buildings totaling 11.82 million square feet that directly support the education and workforce training of nearly 50,000 enrolled students each year. This includes the more than 6,000 students the University of Maine System now annually draws to the state – especially important given the dramatic decline in Maine's K-12 enrollment which is projected to further decrease by 12 percent between 2014 and 2026.

Yet despite the vital importance of these institutions to developing the state's current and future workforce, accelerating innovation and investment in both iconic and emerging industries, and attracting and retaining tens of thousands of talented people to study, live and work in Maine, their facilities are failing. **The average effective age of buildings at Maine's public universities is nearing 50, at its public community colleges is 36, and at its maritime academy is 40. Not only are many of the classrooms, labs and student and community spaces woefully outdated to meet the needs and uses of 21st century learners, in a concerning number of cases they also fail to meet minimum federal accessibility requirements and basic health and life safety standards.**

It is important to acknowledge that these conditions are not the result of negligence by the stewards of these facilities. **Rather it is the result of decades of underfunding of Maine's public postsecondary schools during which time maintenance has been deferred because of the competing needs for increasingly limited resources.**

Whereas the State's contribution to the respective operating budgets of these institutions was as much as two-thirds of the total just three decades ago, today that appropriation accounts for about a third of UMS and MCCC revenues and less than one-quarter of MMA's. Alternative public funding sources specifically for infrastructure investment including general obligation bonding have been insufficient and highly unpredictable due to intense competition for limited funds, political infighting and voter sentiment. At one time during the last 30 years, both the UMS and MMA went 11 years without receiving general obligation bond monies. On two occasions in the last 15 years, bond initiatives that would have greatly benefitted the UMS and MCCC have been rejected by voters.

These revenue realities coupled with a nation-leading commitment to minimizing tuition costs to ensure public postsecondary education is affordable and accessible to Maine families has burdened these institutions with more than \$1 billion in deferred maintenance and imminent need.

Our students deserve better and with talent development and innovation at the center of Maine's new 10-year economic strategic plan, our state's future demands it.

ESTABLISHMENT OF SUSTAINABLE FUNDING TASK FORCE

In 2018, the 128th Maine Legislature and then Maine voters approved historic and long-overdue investment in the infrastructure of the University of Maine System (\$49 million bond), the Maine Community College System (\$15 million bond) and Maine Maritime Academy (\$1 million bond).

The 128th Legislature also authorized \$50 million in the form of a decade of targeted debt service to support the construction of a new Engineering Education & Design Center that will allow the University of Maine to increase its engineering enrollment by 50 percent to directly address a serious statewide shortage in that field.

"My hope is that what comes out of this Task Force is an acknowledgement of responsibility by the State for their public institutions and a commitment to deal with us better as part of their regular budget process. If I am faced with this level of challenge as my small campus, I cannot imagine what it looks like magnified throughout your systems."

—Maine Maritime Academy
President William Brennan

While this amount of investment was incredibly significant in the near-term, it fell far short of a long-term solution. Furthermore, though the general obligation bond monies were the first the public institutions had received since 2013, because they had been rightly prioritized above more than \$1 billion in other requests to the Legislature, it seemed politically unlikely that infrastructure investment for UMS,

MCCS or MMA would rise again to the top of the Legislature's bonding priorities in the immediate future.

As a result, the University of Maine System initiated LD 1283, *Resolve To Advance College Affordability by Convening a Task Force To Recommend a Sustainable Funding Model for Maintaining Maine's Public Higher Education Infrastructure*. Rep. Erik Jorgensen, who had sponsored the LD that had led to the 2018 public higher education bonds, sponsored the resolve. It received unanimous support in the Legislature's Joint Standing Committee on Education & Cultural Affairs before being passed by the House and Senate on the consent calendar.

The charge of the Task Force was to study and report and make recommendations as to how to provide adequate supplemental funding to sustain the Maine's public higher education infrastructure without burdening in-state students with unreasonable tuition and fee increases. Pursuant to the enabling resolve, the Joint Standing Committee on Appropriations and Financial Affairs and the Joint Standing Committee on Education and Cultural Affairs may submit legislation to the Second Regular Session of the 129th Legislature related to the subject matter of the Task Force's report.

The Task Force was chaired by the Hon. Dannel Malloy, the new Chancellor of the University of Maine System, with UMS Vice Chancellor for Finance and Administration Ryan Low serving as his designee. Members included:

- David Daigler, President of the Maine Community College System
- William Brennan, President of Maine Maritime Academy
- Elaine Clark, Director of the State of Maine Bureau of General Services
- Scott Brown, Director of the Maine Department of Education Division of School Facilities
- Matt Marks, CEO of the Associated General Contractors of Maine
- Carlos R. Mello, Chief Risk Officer at the Finance Authority of Maine

UMS Director of Government and Community Relations Samantha Warren staffed the Task Force and UMS Chief Facilities and Management and General Services Officer Chip Gavin and MCCS Chief Financial Officer Pam Remieres-Morin participated in all meetings and provided invaluable technical support.

FINDINGS: CURRENT INFRASTRUCTURE CONDITION

Public Postsecondary Institution	Total Buildings	Gross Square Footage	Effective Age*
University of Maine System	550	9 million sf	50 years
Maine Community College System	139	2.2 million sf	36 years
Maine Maritime Academy	24	620,000 sf	40 years
Total	715	11.82 million sf	

**Effective age reflects the time that has passed since a building was last meaningfully renovated, as opposed to when it was originally constructed.*

The University of Maine System has 550 buildings that sustain statewide access to public higher education, nearly half of which have not been meaningfully renovated in at least 50 years. As these buildings age, the life cycles of their major components are past due and failure is increasingly likely, making the space more costly to maintain and renovate and presenting safety and accessibility concerns. To put that in perspective, across the country around 27 percent of higher education facilities have gone that long without modernization. The University of Maine, the University of Maine at Farmington and the University of Maine at Machias are at greatest risk, given the effective age of their facilities.

As measured on a net asset value (NAV) scale between 0 (ready for demolition) and 100 (brand new), the condition of the facilities at Maine's public universities has fallen to a NAV of 57 percent, well below the 70 percent average of the System's peer institutions across the nation and the target for UMS established by its Board of Trustees. **The size and age of the System's infrastructure put Maine's public universities at a disadvantage in terms of campus functionality, operating and repair costs and campus curb appeal.**

In an effort to better steward its public resources and ensure its facilities are appropriate to meet the current and future needs of its students and the state, in 2015 the UMS undertook an unprecedented data-driven assessment of its infrastructure, using an independent and leading provider of facilities data and analysis in higher education. According to the data and benchmarking, which is updated annually and reported to the System's Trustees, the UMS currently has more than \$556 million of deferred maintenance – mostly for envelope and mechanical needs including HVAC, building exteriors, electrical and plumbing – and imminent need. To simply maintain existing facilities to prevent further

deterioration, the System would need to invest \$60 million annually, far short of the \$22 million on average that is able to be invested each year within existing resources. Another \$593.3 million would be needed over the next 10 years for modernization for a total need of \$1.15 billion specifically for infrastructure over the next decade.

The result of such inadequate funding for capital improvement is that the University has been forced to be reactive rather than proactive in prioritizing projects. An example of this was the sudden 2016 evacuation of students and faculty from Kimball Hall, a century-old cornerstone of the University of Maine at Machias, after it was determined to be failing structurally. The building later had to be demolished at a cost that was not budgeted for of nearly \$1 million.

The UMS has used the benchmarking and analysis reports to create an actionable data-driven capital plan. Each campus now has a one-year work plan, five-year capital plan and a master plan and the Board of Trustees has established 13 benchmarks with net asset value and density most driving investment decisions. As part of a commitment to right-sizing and stretching limited capital dollars furthest, the UMS is increasing its investment on existing space. From FY05-FY11, the System spent 49 percent of its capital monies on new space. In FY18, just 14 percent of capital monies were spent on new space while 64 percent was invested in renovations and repairs to existing facilities.

According to the most recent third-party report, while the \$49 million bond approved by voters in 2018 is already providing critical to improving net asset value and lowering the renovation age of older spaces, “The measures of condition or quality of the University’s facilities simply are unlikely to improve overall until and unless substantially more investment is made in existing facilities each year.”

The Board of Trustees has also set a policy that the System may not increase its square footage without their explicit consideration and approval. In recent years, the UMS overall footprint has decreased by 253,000 gross square feet, with another 300,000 gross square feet of vacant, underutilized or poorer condition space planned for demolition/removal when funding becomes available. The System estimates it realizes approximately \$7 per square foot in on-going operational savings for every foot of underutilized and unneeded space taken off-line.

The Maine Community College System comprises seven colleges at nine locations with a total of 139 buildings and an average renovation age of 36. A third of the MCCS square footage is at Southern Maine Community College in South Portland, a decommissioned military fort where the oldest building is 118-years-old and the

estimated average among all facilities is 57. By comparison, York County Community College is the System's smallest with just three buildings, the oldest of which was built 1997 and the newest of which was completed in 2017.

Capital spending at MCCS is highly volatile as it is largely driven by general obligation bonds and philanthropy. In the last decade, annual spending has fluctuated from a high of \$23 million in FY15 – nearly two-thirds of which came from State bond monies and philanthropy – to a low of just above \$10 million in FY18 – funded mostly by internal resources.

Internal funds are typically focused on necessary improvements that would be unlikely to generate excitement from outside donors, like upgrades to roofs and parking lots. State bond monies are also used for these basic repairs as well as energy efficiencies, information technology upgrades, and projects that directly improve workforce development capacity, like a nursing simulator expansion or additive manufacturing lab build-out.

Finally, given their unique technical training and career education mission, MCCS has been highly successful in securing industry partnerships which support relevant facilities improvements or equipment purchases/upgrades. Some recent examples include Pratt & Whitney supporting the development of a specialized training site in Sanford and HAAS machinery providing Central Maine Community College equipment and \$1 million for facilities renovation and CMCC becoming their training partner on that equipment in return.

The backlog of deferred maintenance at MCCS is estimated at \$99.6 million and like UMS and MMA, includes a number of health and life safety upgrades including backup generation, new security and fire alarm systems, improvements to internal air quality and replacement of septic systems and/or related filters.

Maine Maritime Academy has a 40-acre campus in historic Castine that is home to just under 1,000 students and comprises 24 buildings as well as a pier and several vessels that serve as floating classrooms and laboratories. The Academy maintains a detailed planned maintenance list that, while orders of magnitude less than the university and community college systems, is nevertheless a significant financial burden for a public institution of its size. The annual cost of facilities maintenance is estimated at \$2 million, however MMA is only able to budget at most \$800,000 each year to address the most critical health and safety needs as well as energy improvements. The Academy incurs an additional \$100,000 or more in emergency or unexpected repair expenses each year, a result of inadequate resources to allow for proactive capital planning and investment.

Following successful statewide voter passage of a \$4.5 million bond in 2013 and nearly \$10 million in private fundraising from graduates and the companies that employ them, in 2015 MMA opened the first new classroom building constructed on its campus in more than three decades.

One of only six public maritime academies and allowing students to earn what has been deemed one of the most valuable degrees in the nation, MMA has struggled to secure State funding, including for capital needs. Since 1990, MMA has been the beneficiary of six state general obligation bonds, totaling just \$13 million. Requests for appropriation to support structural repairs to roof columns and pier decking as well as upgrades to a steam line, new dormitory windows and improvements to a classroom building have been repeatedly rejected in recent rounds of State budgeting.

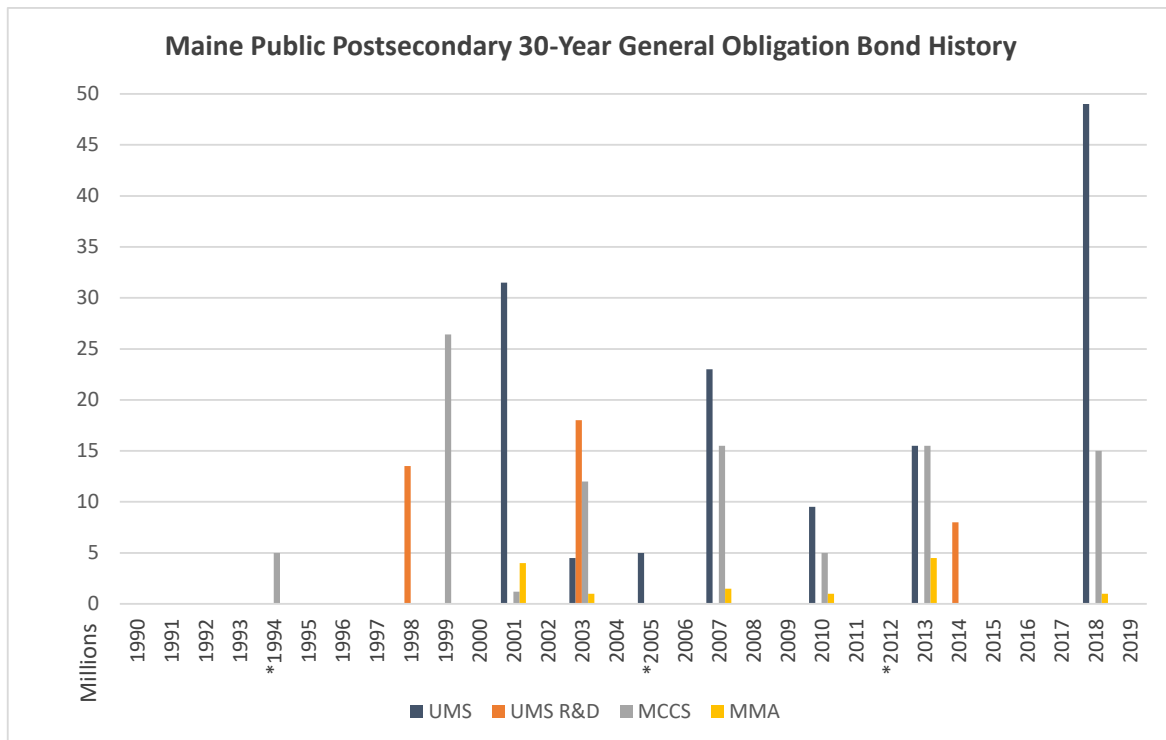
FINDINGS: CURRENT FUNDING MECHANISMS

Because of the extent of their needs, Maine's public postsecondary institutions currently must cobble together a creative mix of funding sources to support the basic operations and maintenance of their existing capital portfolio as well as new construction. Several of these are highly unpredictable or unnecessarily costly, limiting strategic capital planning for the institutions and creating uncertainty for the building and trades community. All are grossly inadequate to meet the serious needs that exist at these vital public institutions.

As part of their annual budgets, all three systems direct revenue from either **State appropriation or tuition and auxiliary generated monies** toward capital. Unlike in some states, Maine does not have a separate capital budgeting process for its postsecondary institutions. Amounts vary and were generally outlined in the previous section of this report. The institutions also benefit from **philanthropic gifts**, though those generally support new construction, equipment or programming rather than deferred maintenance.

State general obligation (GO) bonds require the support first of two-thirds of the members of the Maine Legislature and then a majority of Maine voters. To date, general obligation bonding levels have been unpredictable due to the current short-term and often highly politicized process that determines bonding levels and priorities.

The following chart (a larger version is provided as Appendix 1) shows the 30-year history of GO bonding for the state's public postsecondary institutions. In many cases bond monies are for new or targeted University of Maine System research and development initiatives (indicated separately below), as opposed to updating existing facilities or providing general infrastructure investment. This chart does not include bond proposals that were not advanced to voters by the Legislature or bonds that may have been authorized by voters but for which the proceeds were only available in a competitive process for which the public higher education institutions may have been eligible to apply but not uniquely so.



**In 1994, a bond for the UMS was overwhelmingly rejected by voters and bond questions to jointly benefit the UMS, MCCS and MMA were narrowly defeated at the ballot box in 2005 and 2012.*

Historically, investments for the UMS, MCCS and in some cases MMA were often combined in one ballot question, ensuring the institutions were not competing for funds. Following narrow voter rejection of a UMS/MCCS bond for \$9 million in 2005 and for UMS/MCCS/MMA for \$11.3 million in 2012, the institutions successfully pursued separate ballot initiatives in 2013 and 2018, running separate campaigns funded by separate Political Action Committees.

On its own in the case of the UMS or through the Maine Health & Higher Educational Facilities Authority (MHHEFA) in the case of MCCS and MMA, **the three public**

systems also do their own borrowing.

Because of its size and a recent ratings upgrade (S&P: AA- with stable outlook), the University of Maine System is uniquely able to borrow money at highly competitive rates. The System sells low-interest revenue bonds, uses that money for renovations or new construction, and then generates revenue to pay back its investors. In some cases that revenue is raised from tuition, room and board. It may also come from the State through a special debt service appropriation unique to the System that is currently budgeted at \$8.27 million annually. Unlike GO bonds, this debt is not backed by the full faith and credit of the State of Maine.

The System's debt limit is set in State statute and currently requires legislative approval to adjust. While current outstanding debt is around \$150 million, to allow for several significant projects in the pipeline at the University of Maine and the University of Southern Maine, the UMS successfully sought a raising of its debt ceiling to \$350 million during the first session of the 129th Legislature (2019). However, even that larger cap still challenges the System's ability to address its considerable infrastructure investment needs. As the debt of the UMS is overseen by the Trustees and ultimately limited by the security of its revenue streams and the confidence of the bond market, in the future the Legislature may want to further raise or remove the somewhat arbitrary cap. Failure to do so will likely result in some mission-critical projects not moving forward on schedule or budget, limit large philanthropic matching, and/or require the UMS to pursue costlier alternative financing methods.

Meanwhile, MCCS and MMA occasionally finance projects through MHHEFA, which provides eligible non-profit colleges, universities and licensed healthcare facilities access to capital markets by issuing low cost, tax-exempt bonds and lending the proceeds to finance or refinance the acquisition, construction and renovation of facilities. Tax-exempt bonds issued through MHHEFA result in interest rates that are much lower than conventional bank financing, though the UMS is able to get comparable or lower rates on its own given its size and standing. In 2006 MCCS borrowed \$22.6 million through MHHEFA and in 2016, refinanced \$17.5 million. The overall borrowing capacity of the MCCS is limited by State statute to \$35 million. In 1993, MMA borrowed \$3.4 million through MHHEFA and in 2004, \$2.7 million – all of which has since been paid off. By comparison, in the last decade alone, the University of New England has borrowed nearly \$100 million through MHHEFA.

Increasingly, the UMS, MCCS and MMA are relying on **public-private partnerships** (P3s) where a private partner makes the up-front investment that the public institution

could otherwise not afford for a renovation or new construction project that is expected to generate revenue in exchange for a long-term portion of those proceeds.

An example of this is a recently completed \$2 million renovation of the Brooks Dining Hall at the University of Southern's Maine's Gorham campus, in which Sodexo, the food service provider for the campus, invested in the improvements which have resulted in usage of the cafeteria almost doubling at some mealtimes. Sodexo funded a similar P3 for \$2.6 million at MMA. Meanwhile, after hearing increasingly from students about the needs for safe, affordable housing at the non-residential University of Maine at Augusta, the campus entered into a public-private partnership in which it leases residential units in Hallowell from Mastway Development. While this foray into student housing is a modest one, it is one UMA would not have been able to pursue on its own. Finally, as the UMS works to achieve carbon neutrality by 2024, this year it also entered into its first energy savings performance contract (ESCO) in which a private company will provide the up-front capital to replace existing energy fuel sources in some USM facilities with renewable energy sources. In exchange, the company receives the revenue saved by the lower utility costs when the project is implemented.

While P3s can be successful, they do cede important public revenue streams to private parties and may not always be appropriate for the institution or attractive to investors, especially at smaller campuses. According to the UMS, while the System used to be risk averse to doing these types of complex projects, in the recent cases where P3s were pursued, the risk was deemed to be greater in not moving forward on making badly needed facility upgrades.

RECOMMENDATIONS

Recommendation One: Implement common data-driven capital asset assessment and investment prioritization process for use by all three public systems.

From its first meeting, the Task Force was in agreement about the importance of data to drive capital planning. There was also an understanding that having objective, consistent criteria for evaluating the condition of facilities across the three systems would be most valuable to informing how the State allocated funding.

MCCS and MMA were impressed with the facilities benchmarking and analysis the company Sightlines produced for the University of Maine System, at a cost of \$150,000 annually. The UMS explained that beyond data discovery and benchmarking, capital renewal projections and performance measurement, the

benefits of this third-party analysis has included access to national data to compare to peers, historical trends to show improvements that have resulted from integration of capital planning and investment, and energy usage evaluation to track reduction in harmful emissions. While its facilities have different functions, the Maine Department of Finance and Administrative Services (DAFS), which manages State buildings, also found tremendous value in the Sightlines process and presentation of information.

As a result, on Dec. 31, 2019 the State's Bureau of General Services released a competitive request for proposals to provide Capital Asset Assessment and Investment Strategy Services for Maine DAFS, the University of Maine System, the Maine Community College System and Maine Maritime Academy. While each of the four participating organizations will negotiate separate contracts with the winning bidder because they are separate legal entities, the expectation is that making a single award will reduce costs and ensure the data and analysis generated is consistent and therefore of greatest value to the respective institutions and to policymakers.

Deliverables resulting from these services are as follows and expected to be provided in graphic form and in each category benchmark capital investment amounts to comparable states or institutions:

A. Evaluate Condition of Buildings and Infrastructure

1. Buildings' square footage, age, and condition, taking modernization/renewal investments into account.
2. Risk of major failure or obsolescence due to age.
3. Types of building occupancies and densities by building.
4. Buildings by intensity of use (highest to lowest) cross-tabulated with condition (good to poor).
5. Square footage that could be demolished.

B. Assess Investment Needs to repair/renovate/restore facilities to proper performance levels and to keep facilities in serviceable condition, ensuring usefulness for expected lifespan.

1. Capital investment in existing and new space in the past 10 years.
2. Capital investment shown by building envelope, systems, space renewal, life-safety/code, infrastructure.
3. Assess return on investment for investments.
4. Recommend annual repair and maintenance budgets.
5. Illustrate impact of deferral on net asset value.

6. Recommend major capital investment levels to correct deferred maintenance, including specific breakout as to mechanical and building envelope issues.

C. Analyze Energy Consumption and Greenhouse Gas Emissions

1. Energy consumption (electric, oil, natural gas) in state-owned space and in space leased for state employees throughout the state.
2. Analysis of the carbon emissions from fuel.
3. Measure of gross emissions over time.

D. Operations

1. Expenditures per gross square foot for daily service, planned maintenance and utilities.
2. Square footage covered by employees for maintenance.
3. Coverage (by gross square foot) per custodian and per custodian supervisor.
4. Coverage (by acre) per grounds staff employee and per grounds supervisor.
5. Customer satisfaction, including as to scheduling and feedback about status of the job.

E. Optional Consolidated Report for all Higher Education Institutions

The University of Maine System, the Community Colleges, and Maine Maritime Academy shall have the option to elect for a single, consolidated public higher education report.

The intent is to make an award by March 1, 2020 so that the initial common benchmarking and analysis of the three public postsecondary systems would be completed by late 2020. This would inform understanding of needs and allocation requests for the FY22-23 biennial budget that will be taken up by the 130th Legislature in the winter of 2021.

When implemented, this would allow for a truly objective prioritization process similar to what currently exists for Maine's PK-12 school facilities, whereas the Maine Department of Education regularly puts forth an objective ranking of proposed projects across the state based on a rating of the overall needs of evaluated school facilities as defined in State Board of Education *Chapter 61, Rules for Majority Capital School Construction Projects*. State subsidy for capital construction is then distributed based on these rankings, funding availability and a school administrative unit's readiness to proceed.

As part of the Task Force's considerations, there was a conversation that PK-12 schools would benefit from also utilizing the same third-party analysis and benchmarking service. Given the complexity presented by local ownership of those facilities across more than 200 School Administrative Units, the Maine DOE and Maine DAFS agreed to explore this idea further outside of this Task Force.

Recommendation Two: The State should appropriate \$10 million in new debt service to be allocated across the three public systems via a need-based formula.

To simply meet their basic operations and maintenance needs, the State would need to increase appropriations for its public postsecondary education institutions by an estimated \$42.5 million per year (\$35 million more for the UMS, \$6.3 million for MCCS and \$1.2 million for MMA). Several members of the Task Force felt that with low interest rates, positive State revenue projections and an educated workforce central to the success of a new 10-year state economic plan, the UMS, MCCS and MMA should request the full amount they need now to modernize their campuses and each year hence forth from the Legislature. While this would be money well spent, ultimately the Task Force was in agreement that it was unlikely a request for this level of funding would be successful.

Instead the Task Force is recommending a new revolving renovation debt service line for Maine's public higher education institutions be established by the Legislature and funded by the State at \$10 million annually starting in FY22 with \$5 million increases to that base appropriation every five years. A break-down of the recommended appropriation and its cyclical purchasing power is as follows:

	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29	FY30	FY31	FY32
New Debt Service Appropriation	\$10M					\$5M					\$5M
Recurring Debt Service Appropriation		\$10M	\$10M	\$10M	\$10M	\$10M	\$15M	\$15M	\$15M	\$15M	\$15M
New Revenue Bonding Capacity	\$100M					\$50M					\$150M*

**Reflects \$50M in revenue bonds supported by newly appropriated debt service, plus \$100M additional revenue bonding capacity created by retirement of financing (10-year note) entered into in FY22.*

This State-supported debt service would be used to pay down 10-year low-interest revenue bonds, issued by an independent authority on the collective behalf of the three institutions, which would greatly benefit from the scale of the issuance of a single large revenue bond that they would not be able to realize on their own. This would create a funding mechanism similar to what exists for public higher institutions in some other states and for some types of public facilities here in Maine. Unlike financing currently done through MHHEFA in which the borrowing institution pays down the debt, in this case the State would be the creditor.

The Task Force proposes that 10 percent of the revenue generated through this new funding mechanism be automatically allocated to MMA, 15 percent to MCCS and 20 percent to UMS. The remaining 55 percent would be allocated using an objective, data-driven formula and with final approval by consensus of the leaders of the three organizations.

While ultimately the respective institutions would select the capital projects supported by their allocation, the intent would be for this funding source to support deferred maintenance that would:

- Extend the useful life of current capital assets.
- Enhance campus public and life safety and accessibility.
- Generate operational cost savings.

If the Legislature advances this recommendation, the three systems are prepared to work together to develop the allocation criteria and draft any necessary legislative language to establish the finance administrative authority. Representatives of the Task Force held several meetings with staff and counsel for the Maine Health and Higher Educational Facilities Authority and its related authorities to discuss this proposal. While none of their existing programs are a perfect match for what the Task Force is proposing, there was general agreement that they would be the most appropriate partner and were willing to work with UMS, MCCS, MMA and the Legislature to advance this mechanism.

Having a predictable stream of revenue to address deferred maintenance would create certainty for the three public higher education systems, as well as the contracting community. Over the next five years, this debt service alone would support \$150 million¹ in backlogged improvements to Maine's public universities,

¹ After issuance and interest costs, it is estimated that the total amount of renovations and repairs supported by \$150 million in debt service would likely be around \$130 million. Given the proposed allocation model, the smallest organization (MMA) would receive no less than \$13 million during the five-year period.

community colleges and maritime academy that would otherwise go unfunded, but would be transformational.

Recommendation Three: UMS, MCCS and MMA should continue seeking regular general obligation bonds for projects with statewide benefit but do so with greater coordination.

While the intense competition for general obligation bonds makes this a highly unpredictable funding source that challenges strategic capital planning, ultimately the Task Force was in agreement that given the extent of need, GO bonds must be utilized to support infrastructure projects at Maine's public postsecondary institutions.

Because these bonds need the support of two-thirds of the Maine Legislature, the Governor and a majority of statewide voters, the Task Force agreed that this funding source would be most appropriate for large projects that directly addressed a widely understood statewide need and had tangible statewide benefits, instead of deferred maintenance. An example of this was the 2014 ballot measure that authorized an \$8 million bond issue to support Maine agriculture, facilitate economic growth in natural resources-based industries and monitor human health threats related to ticks, mosquitoes and bedbugs through the creation of an animal and plant disease and insect control laboratory administered by the University of Maine Cooperative Extension. That bond passed with more than 60 percent of the vote during a gubernatorial election in which Maine led the nation with 58.5 percent of voter turnout.

It was also agreed that to the extent practicable, the UMS, MCCS and MMA should coordinate their bond requests.

Finally, the Task Force was optimistic that a sustainable funding solution for the state's transportation system would be advanced through the work of the *Blue Ribbon Commission To Study and Recommend Funding Solutions for the State's Transportation System* that is currently meeting. This would make available considerable GO bonding capacity for other critical State priorities including education and innovation.

Recommendation Four: Do not levy student fees or raise tuition specifically to fund deferred maintenance unless absolutely necessary due to inadequate State support.

The Task Force spent significant time discussing student fees as a means of generating needed revenue to support capital projects. Each system has

contemplated levying student fees in the past but all separately determined that it was contrary to their public missions and commitment to affordability and access for Maine families to do so. While students have occasionally voted as a body to support additional fees for specific projects at their campus, like a new state-of-the-art recreation center, they would be unlikely to want to pay for deferred maintenance, even though it would most improve their overall student experience. Campus-specific fees could challenge the MCCS commitment to having consistent tuition prices across its seven campuses and a tiered tuition within the UMS. Furthermore, the fees would have to be significant to generate a meaningful amount of revenue. For example, to raise \$10 million, a \$15.81 per credit hour fee would need to be charged at the UMS, costing a full-time student (30 credits per year) an additional \$474 annually.

The Task Force agreed that initiating student fees should only be used as a last resort if State funding for facilities does not improve.

CONCLUSIONS

Maine's economic success is built upon a strong public education system from PreK through postsecondary degree/credential. The state's people and prosperity depend upon a skilled workforce – produced by Maine's public universities, community colleges and maritime academy.

Campus appearance and quality impact perception of value and relevance and are key factors in choosing a college and staying through degree completion. **Adequate, sustainable and predictable funding for public higher education facilities in Maine has been seriously deficient and limits the competitiveness and success of these institutions, their students and the state's economy.** Most notably, it challenges recruitment and retention of students, faculty/staff, and industry partners who are drawn to the hubs of talent and innovation created by the presence of postsecondary institutions – especially those with a research focus like the University of Maine.

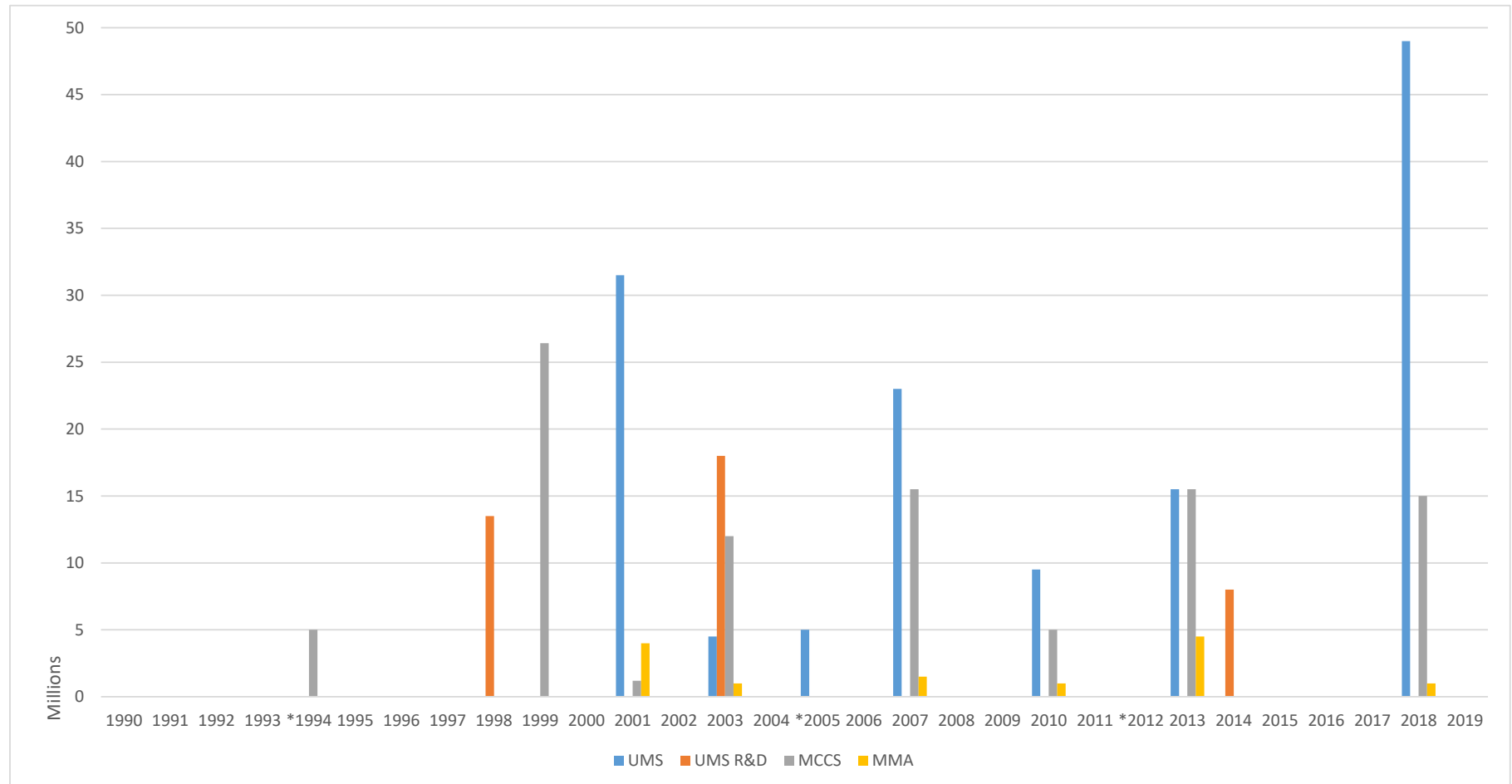
Were the UMS, MCCS and MMA to have to fund capital maintenance at recommended levels without new State appropriation, it would result in a serious decrease in programs and positions and significant increase in tuition and fee costs that would make higher education and the opportunities it creates inaccessible for the people of Maine. **Maine must address its public higher education and workforce training infrastructure crisis in a strategic and sustainable way, and one that does not place the burden directly on its students and their families.** Through recent capital planning, prioritization and efficiency initiatives, Maine's public

postsecondary systems have proven their commitment to using funding efficiently and effectively and can be trusted to do so if additional funding is made available.

The Task Force offers that the recommendations outlined here are reasonable and reflective of the fiscal and political practicalities. They rightly put the responsibility for stewarding these State assets both on our campuses and in the Capitol. We believe failure to invest now will cost Maine far more later, which our state can ill afford.

If we are to keep our young people here in Maine, if we are to provide them with the training and skills they need to be competitive, and if we are to attract more people from out-of-state to come here to study and – we hope – stay to build their careers and lives, their postsecondary education must be affordable and delivered in safe and modern classrooms and laboratories.

Maine Public Postsecondary 30-Year General Obligation Bond History



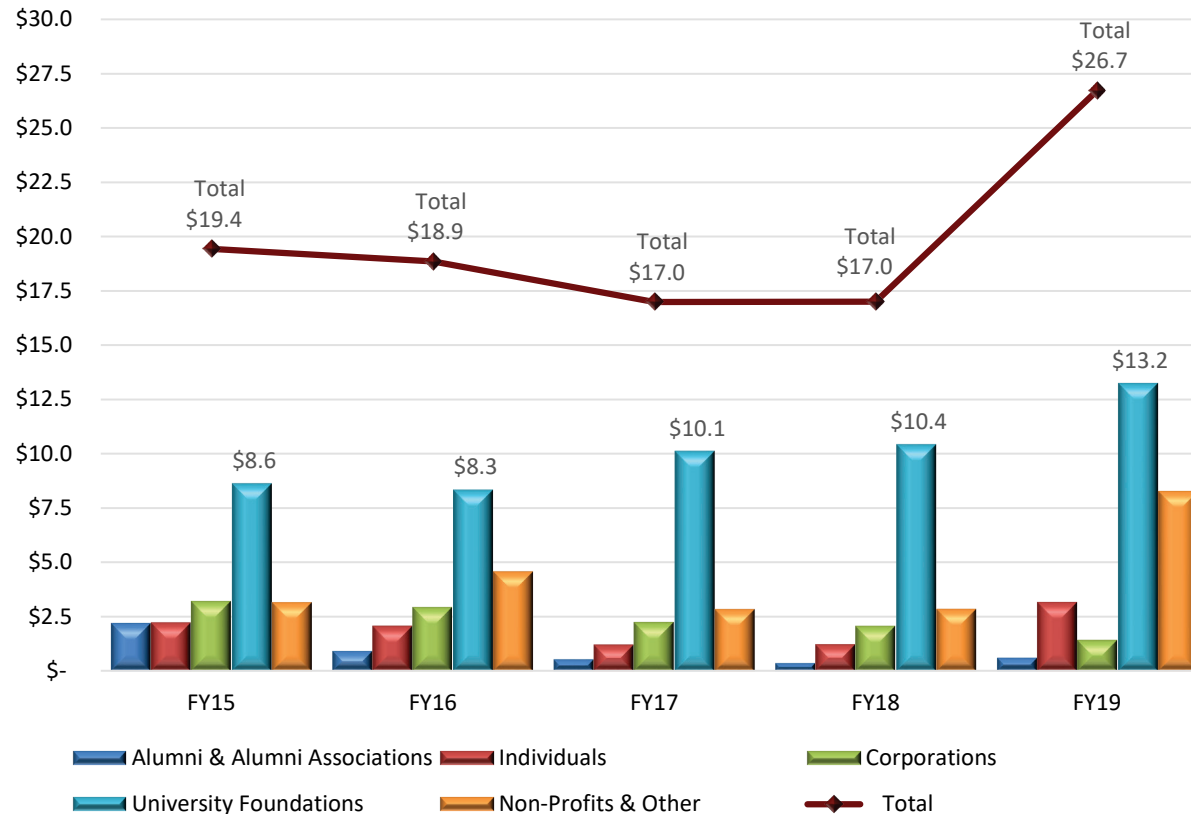
**In 1994, a bond for the UMS was overwhelmingly rejected by voters and bond questions to jointly benefit the UMS, MCCS and MMA were narrowly defeated at the ballot box in 2005 and 2012.*



Annual Report on Gifts, Fundraising and Endowments

Year Ended June 30, 2019

UMS Gifts Received* by Donor Type (\$ in millions)



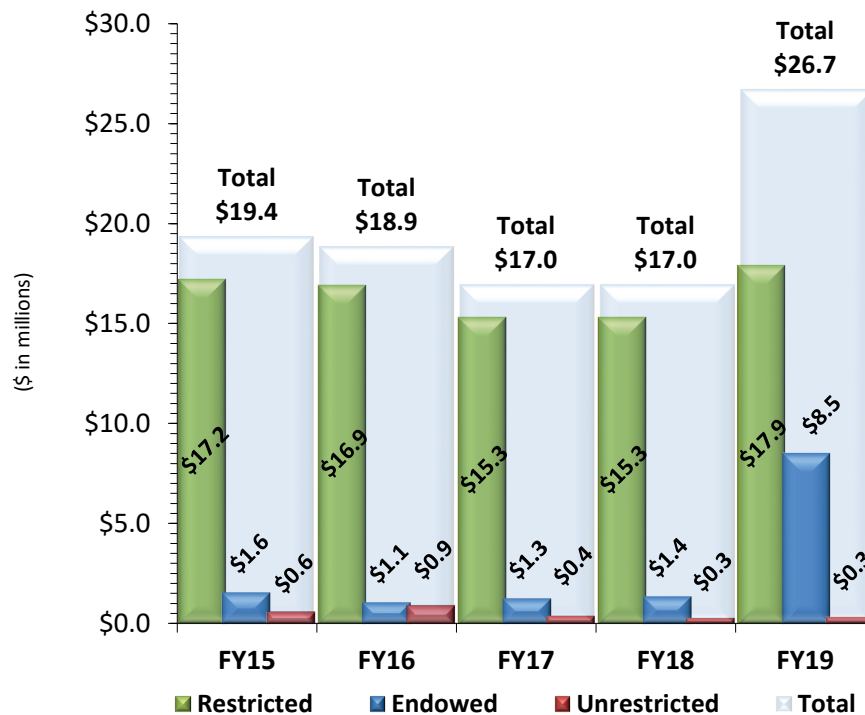
The UMS receives gifts through two methods:

1. Direct donations from alumni, individuals, corporations, and non-profits
2. Endowment distributions and non-endowed gifts from its affiliated fund raising organizations, the largest of which are the university foundations (see page 9 for FY18 and FY19 gifts that the affiliates received)

*UMS gifts reported herein include cash, checks and negotiable securities, and pledge payments. Gifts-in-kind and pledges receivable are not included in these totals.

UMS Gifts Received by Restriction Type

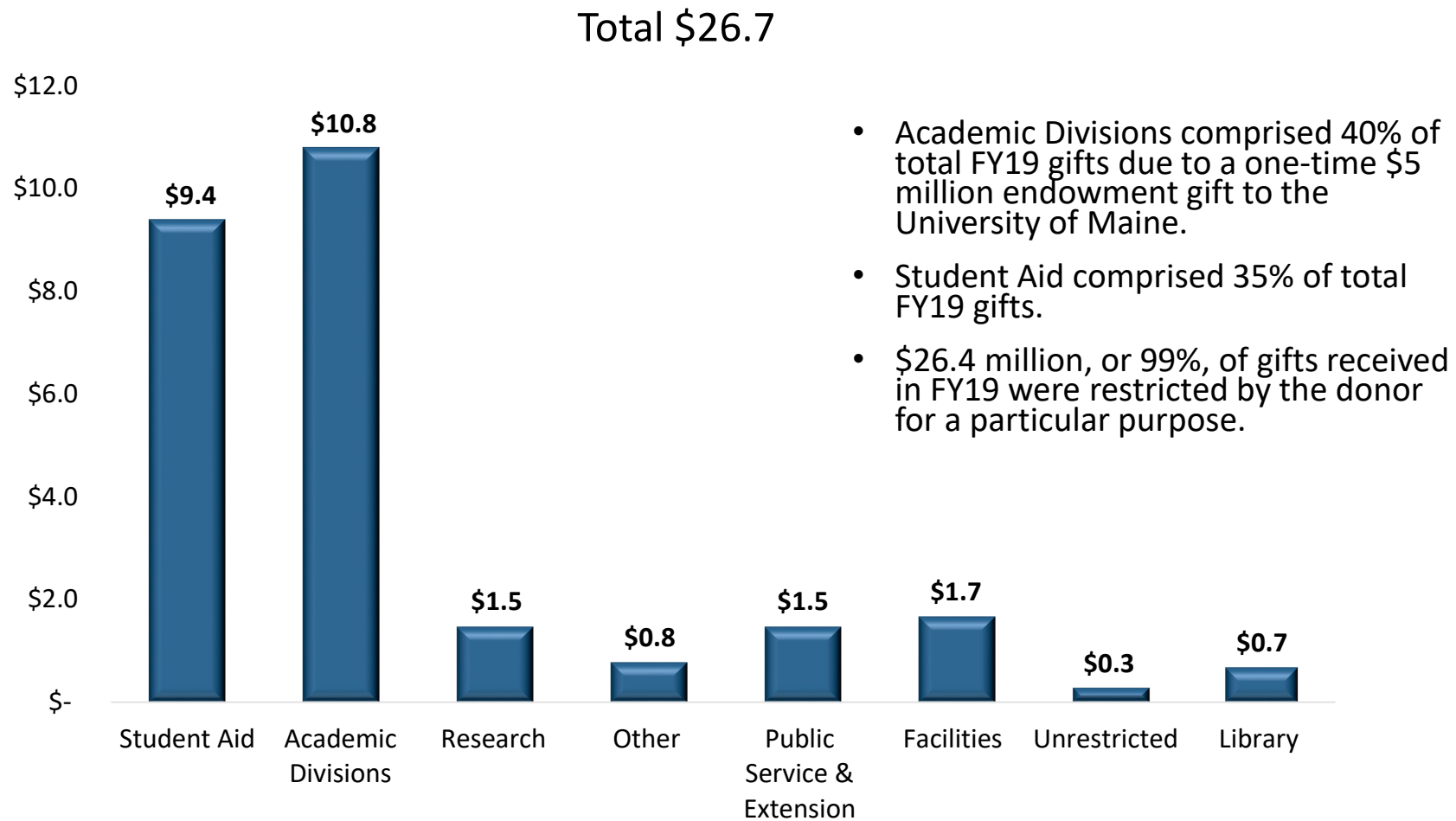
(\$ in millions)



Endowed gifts increased from FY18 to FY19 primarily due to a one-time \$5 million gift to the University of Maine.

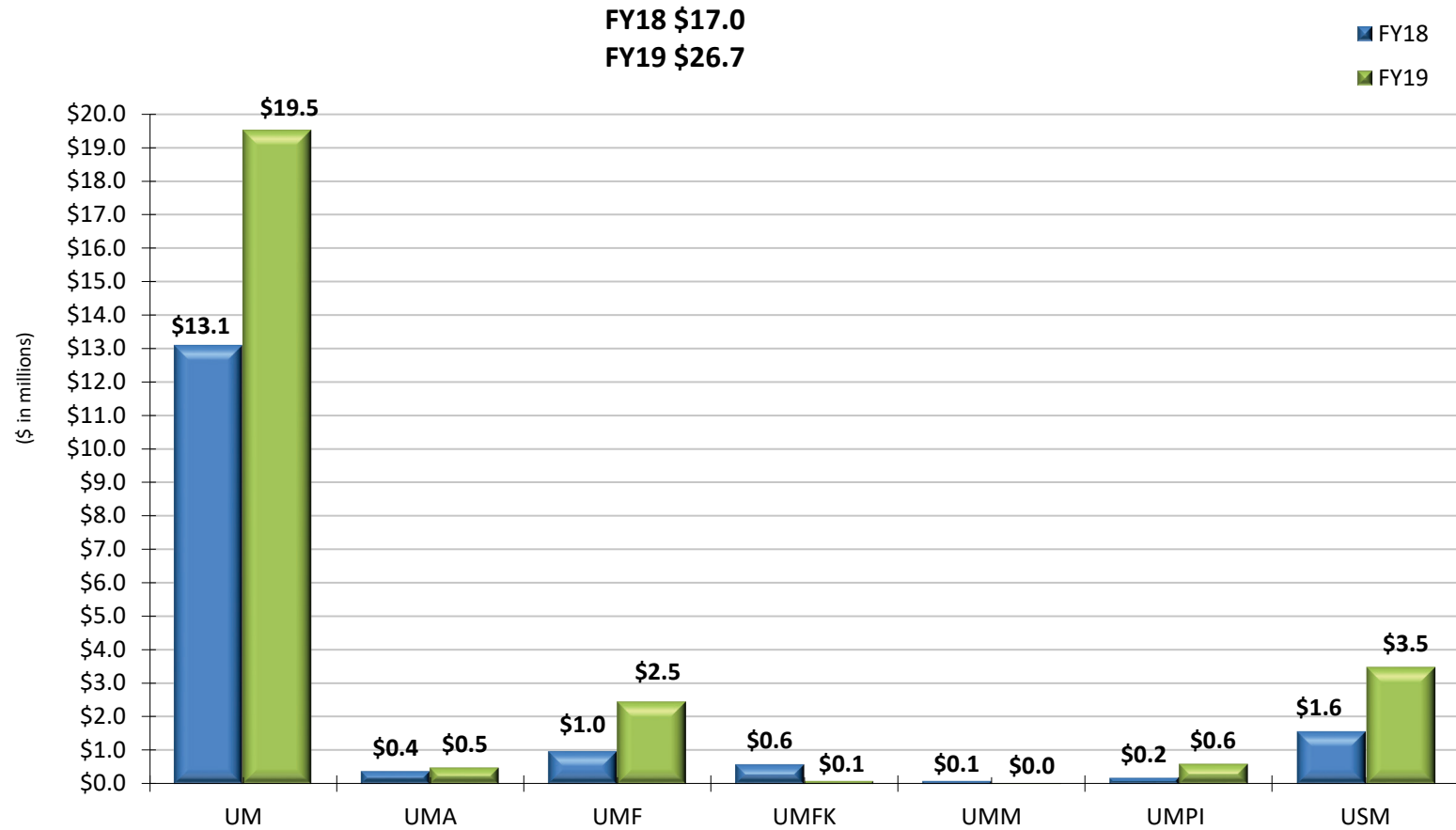
UMS FY19 Gifts Received by Purpose

(\$ in millions)



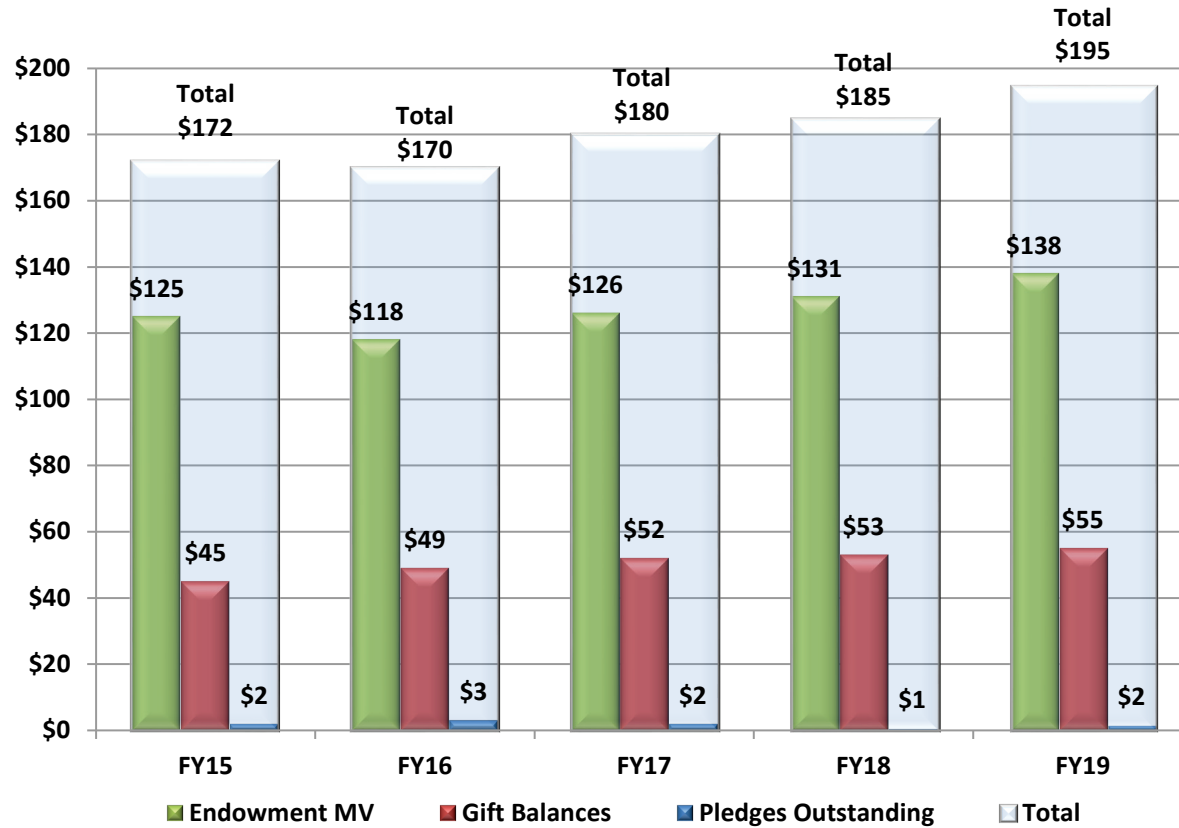
UMS Gifts Received by Campus

(\$ in millions)



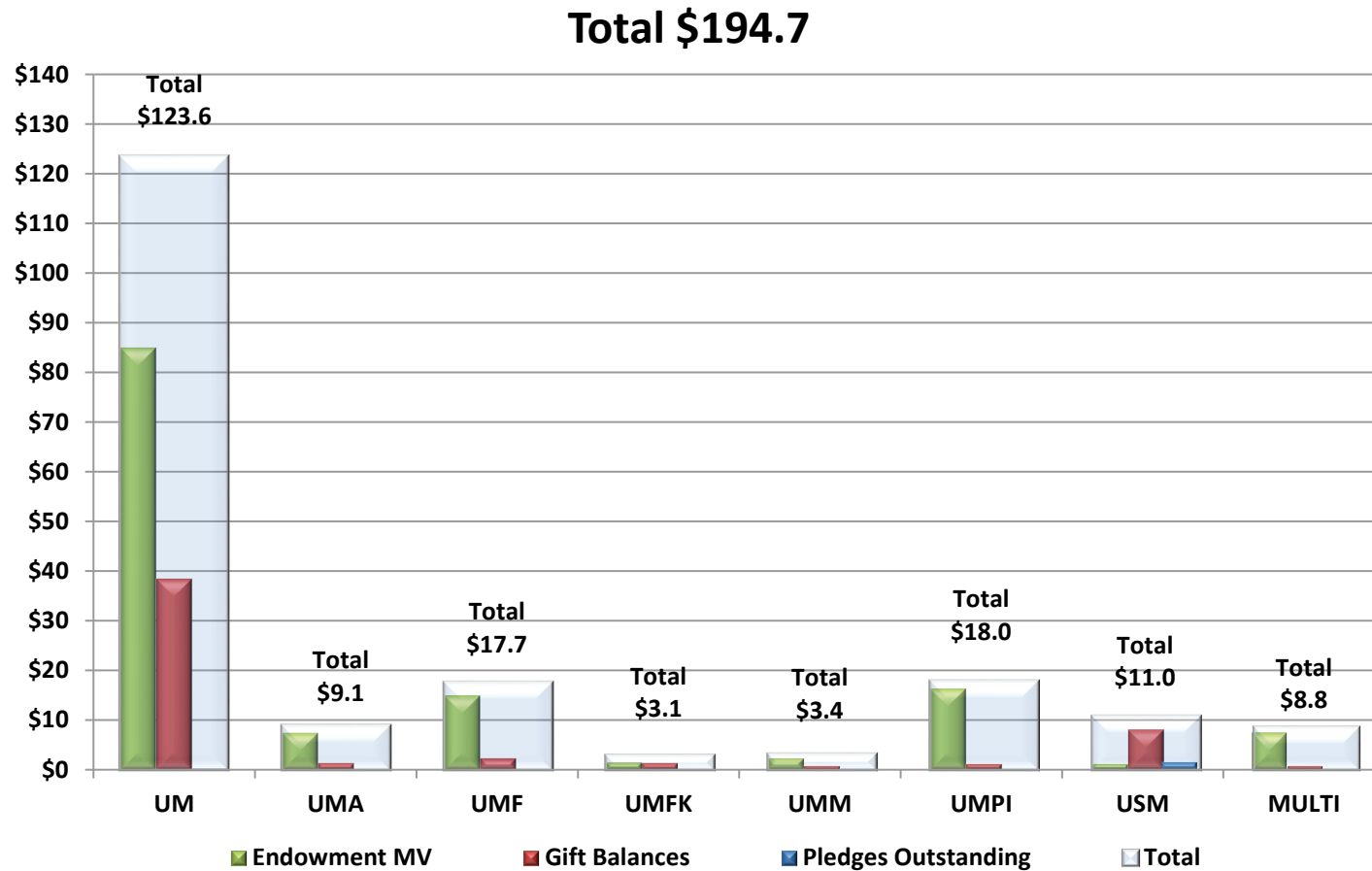
UMS Gift Balances as of June 30th

(\$ in millions)



UMS Gift Balances by Campus as of June 30, 2019

(\$ in millions)



UMS Affiliated Fund Raising Organizations

Gifts Received by UMS Affiliated Organizations

(\$ in thousands)

	FY18	FY19	
UM Affiliates			
UM Alumni Association	\$ 209	\$ 207	
UM Foundation	12,878	13,051	60% of FY18 gifts and 48% of FY19 gifts were from Alumni
UM Pulp & Paper Foundation	419	736	
4-H Camps at Tanglewood & Blueberry Cove	19	47	
Maine 4-H Foundation	571	1,172	
UMFK Affiliates			
UMFK Alumni Association	3	-	
UMFK Foundation	165	147	
John L. Martin Scholarship Fund	-	-	
UMM Alumni Association	-	-	
Foundation of the University at Presque Isle	1,143	204	
USM Affiliates			
USM Foundation	2,982	4,344	29% of FY18 gifts and 16% of FY19 gifts were from Alumni
UM Law School Foundation	782	1,098	
Associates of the Osher Map Library	-	45	
Total Gifts Received by Affiliated Organizations	\$ 19,171	\$ 21,051	

Endowment Market Values for UMS Affiliated Organizations

(\$ in millions)

	FY18	FY19
<i>UM Affiliates</i>		
UM Foundation ^a	\$ 221.0	\$ 227.1
UM Pulp & Paper Foundation	18.5	17.5
4-H Camps at Tanglewood & Blueberry Cove	0.3	0.3
Maine 4-H Foundation	3.6	3.5
<i>UMFK Affiliates</i>		
UMFK Foundation ^b *	2.3	2.5
John L. Martin Scholarship Fund [*]	0.1	0.1
<i>Foundation of the University at Presque Isle</i>	6.1	6.2
<i>USM Affiliates</i>		
USM Foundation [*]	20.3	21.9
UM Law School Foundation [*]	4.6	4.5
Associates of the Osher Map Library	-	2.7
Total Endowment Market Value for Affiliated Organizations	\$276.8	\$ 286.3

^a UM Foundation totals include UM Alumni Association endowments.

^b UMFK Foundation totals include UMFK Alumni Association endowments.

^{*} Endowment included in the UMS Managed Investment Pool.

Status of Capital Campaigns as of June 30, 2019

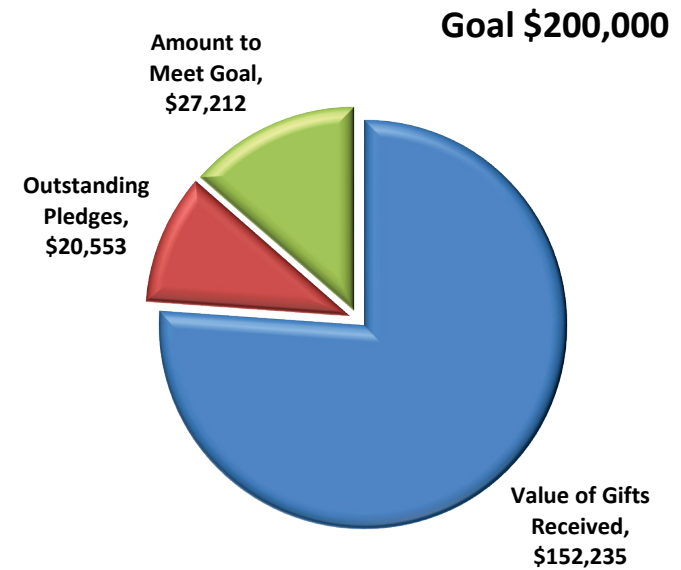
(\$ in millions)

Vision for Tomorrow Comprehensive Campaign (UM)

Includes gifts received by the University of Maine and its affiliated organizations, with the University of Maine Foundation leading the fundraising effort. The UMS Board of Trustees approved the campaign in May 2017 with public announcement by the campus in October 2017. Four priorities guide this campaign with students being at the heart of each — Fostering Student Success, Ensuring Access for All of Maine, Catalyzing Maine's Economy, and Accelerating Discovery to Impact. These priorities overlap so that a gift in support of one positively impacts the others and advances the mission of the University of Maine — teaching, research, and public service.

Start 7/1/11

End 6/30/20



Status of Capital Campaigns as of June 30, 2019 - continued

Next Generation Comprehensive Campaign (USM)

In May 2017, the UMS Board of Trustees approved the campaign, "USM: The Next Generation" to raise an anticipated \$80 million.

Since that time the landscape has changed in numerous ways, including:

- Successful passage of the statewide bond initiative
- An imminent name change
- Leadership changes at the USM Foundation and on the USM President's Cabinet

The USM Foundation has engaged fundraising counsel to lead a campaign design exercise, which will culminate in January 2020. The updated campaign plan will go before the USM Foundation Board and USM President's Cabinet for ratification.

Below is an update for the four fundraising priorities presented to the UMS Board of Trustees in May 2017:

1. The Center for the Arts, previously known as the Performing Arts Center, has been tabled pending the campaign design exercise.
2. Promise Scholars Program has a significantly reduced fundraising target based on data from the first two cohorts of scholarship recipients and is continuing to raise funds towards its modified goal of \$5.8 million in endowed scholarships and \$750,000 in spendable scholarships. Just over \$1.6 million was raised in FY19 for a total raised of \$4.78 million.
3. The Risk Management & Insurance Program chair campaign raised an additional \$150,000 in FY19 for a total raised of \$1.8 million. The goal remains \$3 million.
4. The athletics fundraising component is not active at this time.



REPORT ON PART-TIME FACULTY USAGE & COMPENSATION

SUBMITTED JANUARY 2, 2020

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INTRODUCTION

The University of Maine System values our faculty and staff who are the central catalyst for advancing our important statewide mission of education, research and economic development, and public service. We attract and retain well-qualified, productive full-time and part-time employees across the state through a total compensation philosophy that strives to be internally equitable and competitive with comparable positions in local labor markets.

As is true for the Maine Community College System, it is the responsibility of the UMS Board of Trustees in collaboration with our authorized bargaining units to negotiate wages, benefits and other matters. This ensures the final authority on the expenses that comprise 70 percent of the System's operating budget remains with the body authorized by the Legislature to oversee the organization and raise its revenues that are funded almost entirely by students and State appropriation.

In 2019, the Maine Legislature directed the University of Maine System and the Maine Community College System via the Public Higher Education Systems Coordinating Committee (HECC) to study their respective usage and compensation of adjunct professors and report back to the Joint Standing Committee on Education and Cultural Affairs by January 2, 2020. Ultimately, because of the vast differences in the part-time faculty workforce at the UMS and MCCC and how they are managed from both a contractual and data reporting perspective, the two systems developed separate reports under the direction of their respective leaders, which for the UMS is the Chancellor. The HECC will meet to review these reports in January.

In conducting this study, the System's data collection and analysis was challenged because of the complexities in how part-time faculty are paid and because of the vast differences across higher educational institutions nationally in how faculty are classified – especially those who are part-time.

For the purposes of collective bargaining within the UMS, full-time faculty (both tenure and non-tenure track) are represented by the Associated Faculties of the University of Maine System (AFUM) which is affiliated with the Maine Education Association and the National Education Association, and part-time faculty are represented by the Maine Part-Time Faculty Association (PATFA) which is affiliated with the American Federation of Teachers, AFL-CIO.¹

¹ Other recognized bargaining units within the University of Maine System include the Universities of Maine Professional Staff Association (UMPSA), the Associated Clerical, Office, Laboratory and Technical Unit Staff of the Universities of Maine (COLT), the Service & Maintenance Teamsters Union Local #340, and the Police Fraternal Order of Police Lodge #100.

Part-time faculty represented by PAFTA are those non-tenure track faculty who have taught credit-bearing courses during at least two of the four immediately preceding semesters (fall/spring) but who do not teach a full-time load which is typically defined as 12 or more credit hours (typically four courses a semester).²

The University does not formally utilize the term “adjunct” including in its collective bargaining or data systems and so for the purposes of this report, we have focused on part-time faculty who are represented by PAFTA, including those who do not pay dues and are thus not voting members of the Association. It should be noted that some PAFTA members may be former full-time faculty who retired and chose to come back into the System to teach part-time, which may account for some of the demographic information detailed later in this report.

Work as a part-time faculty member at Maine’s public universities is not intended to require a full-time commitment nor provide full-time compensation.

Part-time faculty are limited by contract in the number of courses they can teach, and unlike full-time faculty, they are typically not expected to advise students, participate in curricular development and committee work, produce scholarship/research and creative work, and provide additional services to their university, the University of Maine System, and the broader region and state. While part-time faculty pay – and in some cases benefits – are also different from that earned by their full-time colleagues, so too are the expectations around academic credentialing and experience. Full-time faculty are typically recruited to their universities via a competitive national search whereas part-time faculty are hired from the local market.

In studying this part-time workforce, the UMS had the following key findings:

- **The majority of UMS part-time faculty are women and when compared to the full-time faculty workforce, are more likely to be under the age of 35 or over the age of 65.**
- **The highest level of educational attainment reported for most UMS part-time faculty is a master’s or four-year degree, whereas the overwhelming majority of full-time faculty have doctorate degrees.**
- **The System’s utilization of part-time faculty has been relatively consistent over the last decade, with PAFTA members delivering around**

² Courses at the University of Maine at Farmington are currently four credit hours each, so a full-time teaching load at that institution is typically three courses. It is not uncommon for full-time faculty to have lower teaching loads to allow for scholarship and service, or to be granted course releases to perform other responsibilities.

one-quarter of all student credit hours during the fall/spring semesters, though some campuses do rely more heavily on part-time faculty.

- **Most part-time faculty are teaching one or two courses at a time and many have taught less than six semesters within the UMS, though one-quarter of the active part-time faculty workforce has taught here for 20 or more semesters.**
- **Over the last decade, the System's actual compensation for its part-time faculty members has been significantly higher than the negotiated base rate of pay.**
- **The System's part-time faculty compensation seems to be comparable with peers nationally, and in many cases the UMS provides better benefits and limits overuse of this contingent workforce.**
- **Flat or modest State appropriations challenge the UMS to maintain fair employee compensation without burdening tuition-payers.**
- **Providing straightforward characterization of the System's pay is challenged by the complexity in which part-time faculty compensation is calculated, taking into account rank and number of semesters previously taught within the UMS (service credits). That said, when taking into account both instructional and preparation time, the lowest ranked and least experienced part-time faculty member would earn at least \$20.82 an hour under the current contract.**

It is also important to note that there is also a group of non-represented UMS faculty that includes some full-time regular and part-time regular faculty members who are excluded from the faculty and part-time faculty bargaining units.

A position may be in the non-represented faculty category for five different reasons:

- An administrative position with faculty rank and ongoing faculty work;
- Faculty in Maine Law, including both full- and part-time;
- Head and assistant coaches with academic rank who are excluded from the full-time faculty bargaining unit;
- Part-time faculty who are not included in the part-time faculty unit;
- and full-time faculty appointed for a single semester.

This non-represented faculty group includes some part-time faculty, like part-time faculty at Maine Law, who meet the layman definition of “adjunct” but because the data pertaining to these individuals cannot be disaggregated, they have not been included in this analysis unless specifically noted.

PART-TIME FACULTY DEMOGRAPHICS

Like the System’s overall workforce profile, the part-time faculty workforce represented by PAFTA is diverse in terms of age, education and experience. Nearly two-thirds (64.2 percent) identify as female, which is a much greater percentage of women than is seen among full-time faculty (47 percent), management (49.3 percent) or hourly employees (54.7 percent). The ages of part-time faculty are widely distributed with the greatest percentage being between the ages of 45-49 and 65-69. Nearly one-quarter of part-time faculty are under the age of 40, and one-fifth are 65 or older. On average, part-time faculty tend to be both younger and older than full-time time faculty.

Figure 1: Percentage Breakdown of Part-Time Faculty By Age Group

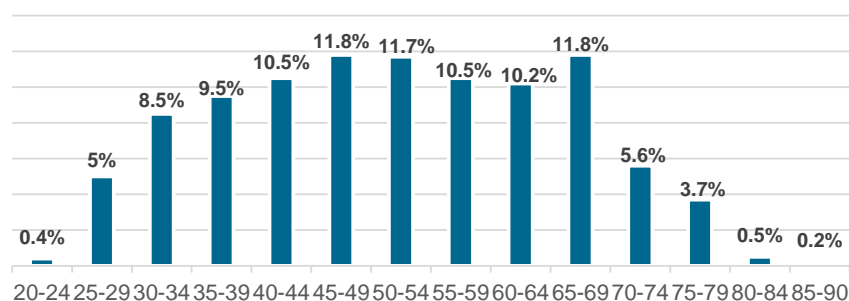
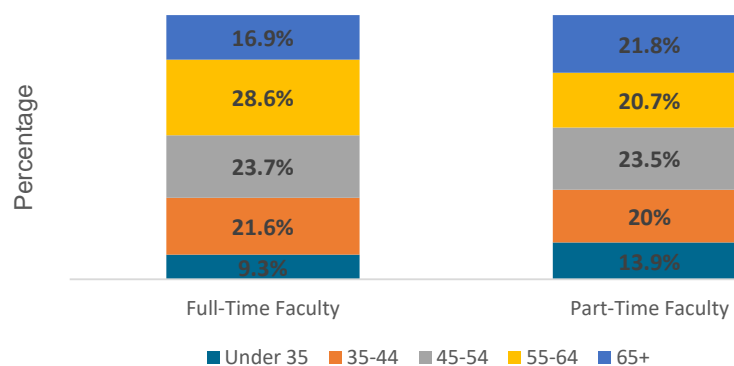


Figure 2: Percentage of Full-Time vs. Part-Time Faculty By Age



While most full-time tenure track faculty (75.1 percent) have earned a doctoral degree, the highest level of educational attainment of a majority of the System's part-time faculty is a master's degree.

One limitation in the data is that while part-time faculty typically provide their academic credentials and additional demographic details as part of their application to a department for a position, that information is not always captured in the electronic data systems maintained by the UMS Office of Human Resources as it is for full-time employees. This is an opportunity for process improvement so the UMS and policymakers can better understand this professional part-time workforce.

About one-quarter of part-time faculty for whom the UMS has recorded the highest level of educational attainment have only a four-year degree.

Figure 3: Percentage of Part-Time Faculty By Highest Known Level of Educational Attainment

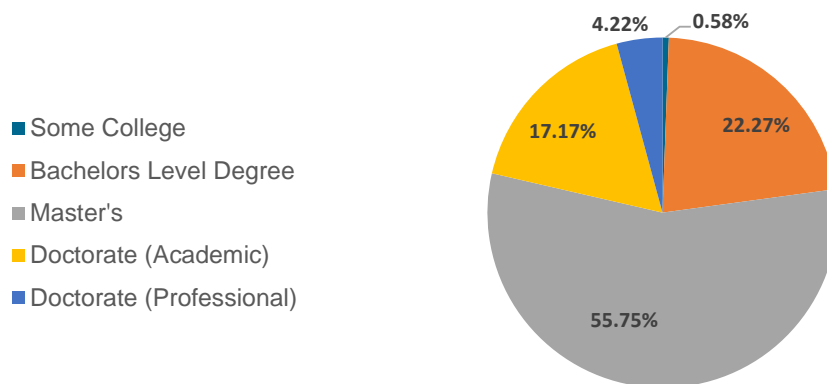
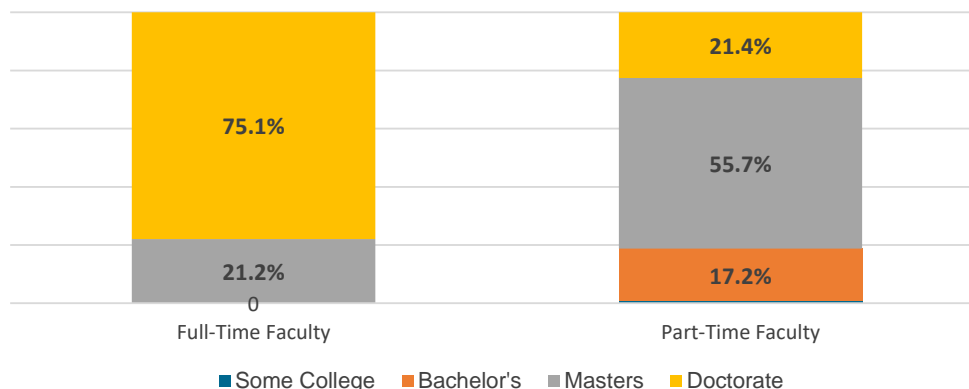
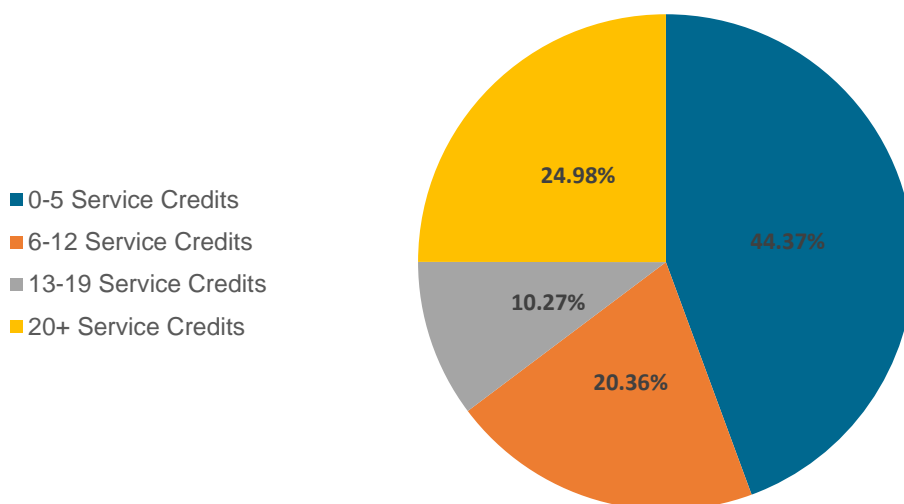


Figure 4: Full-Time vs. Part-Time Faculty Highest Known Level of Educational Attainment



Part-time faculty compensation is connected to the number of service credits an individual has attained. Each service credit reflects one traditional academic year semester (fall or spring) taught by that individual within the UMS, regardless of their actual part-time teaching load during that semester. For example, if a part-time faculty member taught two courses at the University of Maine in the Fall of 2018 and then one course at the University of Maine at Augusta in the Fall of 2019, they would have two service credits. **Nearly half (44.37 percent) of all current active part-time faculty have five or fewer service credits while one-quarter have accrued 20 or more service credits.**

Figure 5: Percentage of Part-Time Faculty By Number of Semesters Taught Within UMS (Service Credits)*



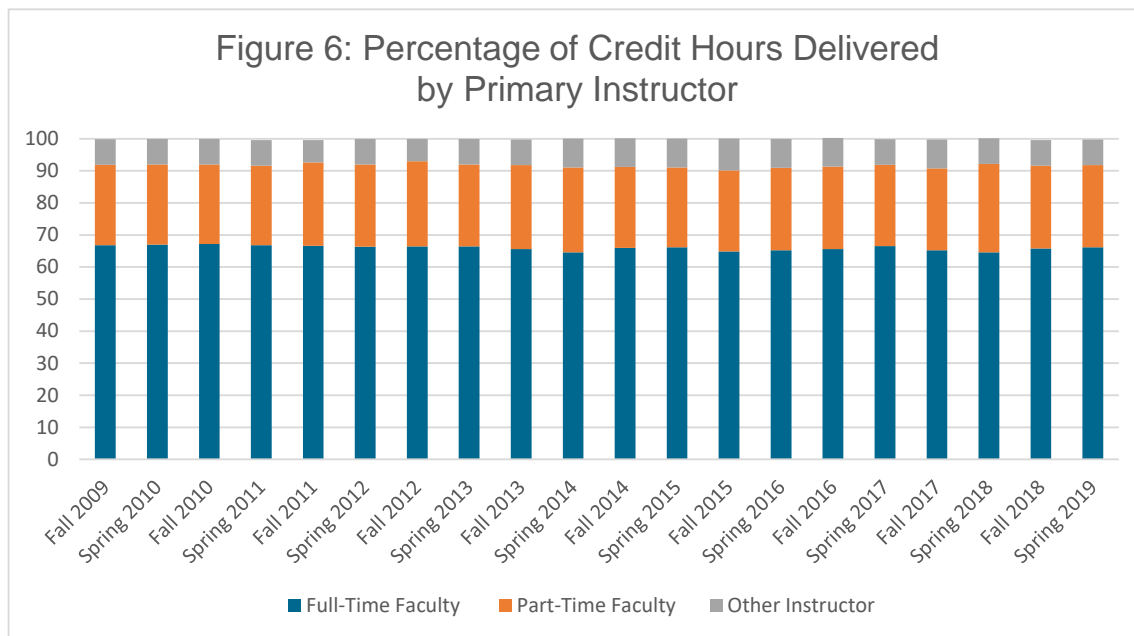
* Based on aggregate Spring 2019 and Fall 2019 data of part-time faculty who were actively teaching during one or both of these semesters.

PART-TIME FACULTY USAGE

There is a national narrative in higher education that in response to increasingly inadequate appropriation from states especially after the 2008 recession, institutions are relying more and more on contingent faculty to deliver instruction instead of costlier tenured faculty. The data does not prove this to be true within the UMS.

Instead, **usage of part-time faculty by Maine's public universities has been relatively consistent over the last decade.** Even as the number of total credit hours delivered within the System has declined by nearly 8 percent over the last decade as enrollment has fallen, **part-time faculty have consistently delivered about one-quarter of total credit hours during the fall and spring semesters.**

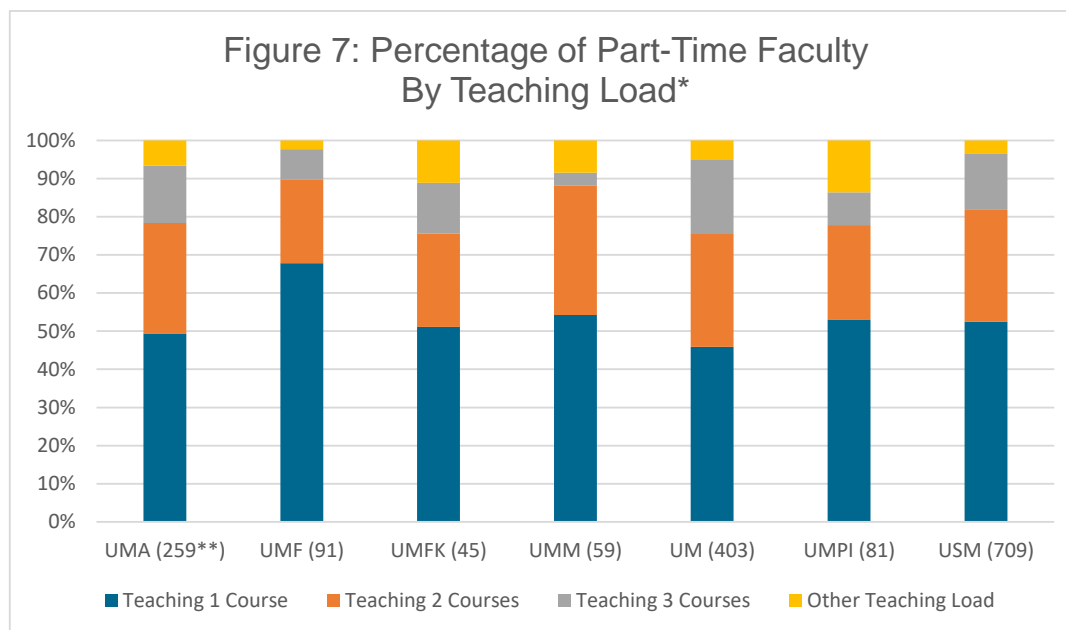
In the Fall of 2009, part-time faculty delivered 25.1 percent of total credit hours across the System (86,165 student credit hours) and one decade later in the Fall of 2018, delivered 25.8 percent of total UMS credit hours (81,940 student credit hours) with fluctuations by semester in the years between. In the Spring of 2018, part-time faculty delivered 27.6 percent of total UMS credit hours, the highest percentage for a fall or spring semester in the decade analyzed.



The greatest reliance on part-time faculty over the 10-year period studied is at the University of Maine at Augusta though the total credit hours delivered by PAFTA members there has never exceeded the 40.9 percent. This is likely because UMA, which serves a non-traditional student population statewide, delivers the bulk of its credit hours online or at eight regional centers where it may be hard to recruit and retain full-time faculty. Courses at UMA are also often offered at night or on the weekends to accommodate the schedules of working adults, which may be unattractive to traditional tenured faculty. The lowest usage is at the University of Maine at Farmington, a traditional, four-year residential liberal arts college where less than 10 percent of credit hours are typically delivered by PAFTA members. A complete breakdown since 2008 by campus and semester is provided in Appendix A.

It should be noted that part-time faculty deliver slightly more of the overall credit hours in the summer when many full-time faculty on 9-month appointments are not teaching. However, even that amount has not exceeded a maximum 29.8 percent of credit hours delivered by part-time faculty (Summer of 2018).

As the UMS is increasingly engaging practicing professionals to deliver current, real-world education and workforce training to its students, the overwhelming majority of its part-time faculty are teaching just one or two courses. For many of these part-time faculty, teaching within the System may not be their primary job or source of income. For example, many nursing courses are delivered by part-time faculty who practice full-time as clinical nurses.



**Based on aggregate Spring 2019 and Fall 2019 data of part-time faculty who were actively teaching during one or both of these semesters.*

***Number in parenthesis indicates aggregate number of part-time faculty who taught at that campus during either or both of these semesters.*

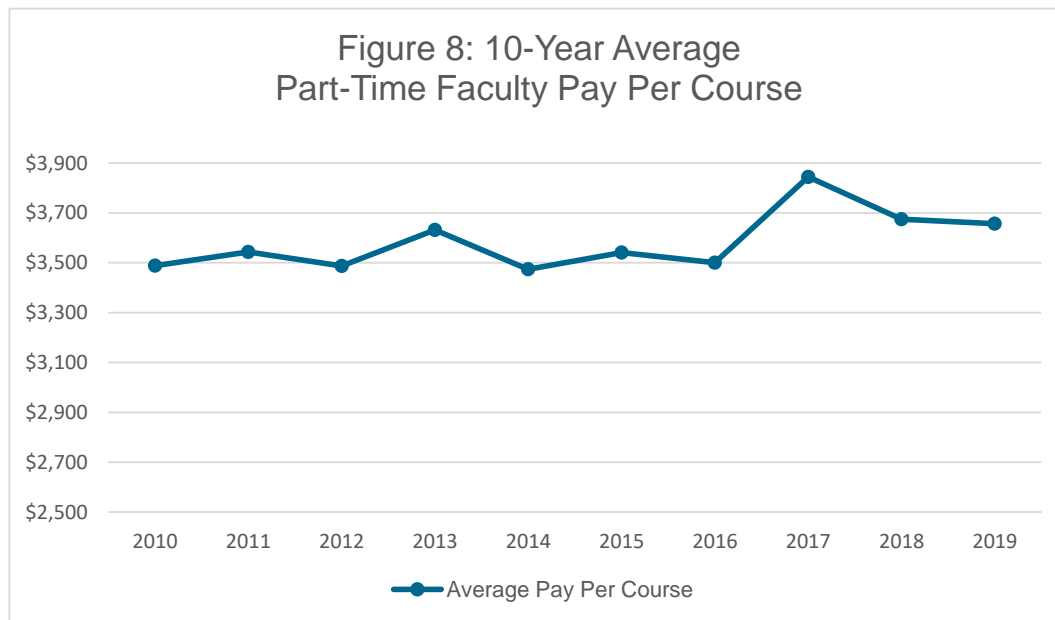
The PAFTA contract has historically limited part-time faculty to teaching no more than three courses. Specifically the 2017-2019 contract read, “Without specific written authorization from the administrators of the employing units, no unit member shall accept the assignment of more than three (3) courses in a semester irrespective of the number of campuses or departments or divisions offering assignments. Violation of this provision may result in termination and removal from the service list.” While this language has been updated in the most recent agreement (see page 15), the understanding that part-time faculty are not a one-to-one replacement of full-time faculty remains clear. Furthermore, PAFTA members are also not required to accept the assignment of more than one course in a semester and their refusal to do so has no impact on their service status.

Over the last decade, part-time faculty with the most experience (20 or more semesters) have on average carried the largest teaching load – 6.18 credit hours a

semester on average which is approximately two courses – while part-time faculty who are relatively new to the System teach on average 3.85 credit hours a semester (see Figure 9).

HISTORICAL PART-TIME COMPENSATION

In FY2019, the UMS paid its part-time faculty a combined \$10.95 million over the course of the fall and spring semesters to deliver 2,993 courses, which averages out to \$3,657 per course. This is 4.8 percent higher than the average per course a decade ago, but that does not take into account rank or service credits. In that time period, there have been consistent increases in negotiated base pay for part-time faculty, with the greatest increase being a 2.5 percent annual increase in 2012 for those with 10 or more years of service. Only one year (2015) saw no increase.



Because part-time faculty are paid by credit hour, it is difficult to determine their hourly pay as the Legislature has requested. A basic calculation that takes into account a 15-week semester with three hours each week of instructional time and 6.75 hours of preparation (based on IRS guidance that says part-time instructors should be credited 2.25 hours for every hour in the classroom) suggests that a part-time faculty member who earned the overall median course compensation in FY19 would have earned the equivalent of a nearly \$25 hourly wage for the work time associated with that course.

However, while this average may be the most straightforward snapshot of pay over

time, it does not reflect the complexity of how part-time faculty are compensated under the PAFTA contract. While some higher education institutions offer part-time faculty fixed pay for a course tied to a single factor like academic credential or number of credits previously taught at the institution (see Page 13), multiple factors are taken into account when setting base pay for part-time faculty within the UMS including rank and service credits.

Determining rank (Lecturer I, II or III, Instructor, Assistant Professor, Associate Professor or Professor) is a complex process detailed in the collective bargaining agreement that takes into account qualifications, college teaching or equivalent experience as well as department/division standards. There is a formal process by which to request a change in rank and also a formal process by which to appeal that ranking. As previously explained, determining service credits is simpler, as this reflects the number of academic year semesters (fall or spring) an individual has previously taught at any institution(s) with the System.

When taking into account the number of service credits a part-time faculty member has accrued, the average pay per three credit court over the last decade has been \$3,727 for those newest in the UMS (0-5 service credits) with variations below or in excess of that amount based on rank. On average, actual earnings for those part-time faculty were 21 percent higher (\$649 more per three credit course) than the average base pay set within the PAFTA collective bargaining agreement during that same time period. Meanwhile those with most experience teaching within the UMS (20 or more service credits) earned on average \$4,352 per three credit course, which is 19 percent higher than the average base pay set (or \$695 more per course).

Over the past decade the UMS consistently paid its part-time faculty well over the base amount they could have earned pursuant to the PAFTA agreement.

Figure 9: 10-Year Average UMS Part-Time Faculty Semester Pay and Course Load

Service Credits (Academic Year Semesters Taught)	Average Credit Hours Taught	Average Earnings	Average Negotiated Base Pay	Average Pay Variance Between Base and Actual
0-5	3.85	\$4,783	\$3,950	\$833
6-12	4.70	\$6,095	\$5,000	\$1,095
13-19	5.44	\$7,354	\$6,074	\$1,279
20+	6.18	\$8,966	\$7,535	\$1,431

NATIONAL BENCHMARKING

According to a 2018-2019 survey of 952 U.S. institutions by the American Association of University Professors, the average course pay rate for part-time faculty is \$3,984. However, this includes two- and four-year public and private colleges and universities from rural community colleges to Ivy League institutions in major cities.

As previously noted, it is difficult to make accurate and fair national comparisons given the inconsistencies in how “adjunct faculty” are defined across higher education and that compensation is structured so differently at each institution and may or may not include benefits, as the UMS provides (see Page 14). At numerous institutions, including the University of Massachusetts – Lowell, there are no minimum or maximum course loads for part-time faculty. In many cases across the country, part-time faculty do not work under a contract.

For this analysis, the UMS looked at pay and practices at institutions, which based on their similar characteristics to the University of Maine, our largest campus, are commonly used as a peer for benchmarking purposes.

As determined by published pay rates, the UMS part-time faculty pay scale seems to be comparable with UMaine’s peers. The minimum median per-course pay rate for part-time faculty at the flagship (and all other UMS campuses) was determined to be \$3,951 whereas the average base rate among our peers, for which pay scales are published, is \$3,488.

Even among peers though, there is wide variability. At the University of Arkansas (approximately 27,500 students), adjunct faculty are unpaid positions where individuals with unique expertise and experience are appointed to a department or program on a temporary basis (up to three years) and do not receive any compensation for their services, including classroom instruction. Meanwhile, the University of Central Oklahoma (approximately 16,000 students) pays as little as \$2,100 a course whereas the University of Massachusetts – Lowell (approximately 18,200 students) has a base pay of \$5,090 as of September 2019, though there are some situations where that amount is adjusted downward. It should be noted that these are published pay scales, and not actual pay.

Peer institutions use a variety of pay models which can be best described as follows:

- **Fixed rate** in which there is a set pay rate by credit hour or course. Often this is tied to a single factor. At the University of Central Oklahoma, part-time faculty with a master’s degree earn \$700 per credit hour and those with a doctorate earn \$915 per credit hour.

- **Ranked pay**, which sets a pay scale based on academic rank, time spent at the institution or both. The UMS generally uses this model, taking into account service credits and rank (see page 11).
- **Minimum pay** in which a base per-credit or per-course is established and may be adjusted upward based on a number factors. The University of Massachusetts – Lowell takes into account six different factors, including student enrollment in the course. **It should be noted that during the academic year, the UMS does not adjust compensation based on the number of students who are participating in the class**, with the exception of no compensation being provided if a course is canceled due to insufficient enrollment beyond a minimal cancellation fee provided to the faculty member.

PART-TIME COMPENSATION: NEW AGREEMENT

Following productive negotiations, in the fall of 2019 the UMS and PAFTA settled a new two-year contract governing the period between July 2019 and June 2021. **The contract, which is still being finalized but has gone into effect, includes pay increases of 3 percent effective Sept. 1, 2019 and an additional 3 percent as of Sept. 1, 2020.**³ The pay scale that sets the minimum pay in the ratified contract is as follows and assuming a three credit course, means the minimum a part-time, first-time lecturer could make per course this year is \$3,045.

Figure 10: Newly Negotiated UMS Part-Time Faculty Pay For 2019-2021

AY 2019-2020	Service Credits			
Rank	0-5	6-12	13-19	20+
Lecturer I *	1015	1032	1048	1075
Lecturer II *	1210	1227	1245	1274
Lecturer III *	1323	1341	1359	1387
Instructor	1015	1032	1048	1075
Assistant Professor	1223	1240	1257	1285
Associate Professor	1422	1438	1458	1486
Professor	1630	1648	1670	1698

³ It should be noted that like PAFTA, other bargaining units within the UMS are also contracted to receive similar year-over-year pay increases during this time period, reflecting an expected increase to the System in overall personnel costs of an additional \$13.9 million in FY20 and an additional \$11.5 million in FY21. Yet the System's State appropriation for FY21 is flat, creating tremendous budget pressures that if not addressed by the Legislature, could lead the UMS to consider larger than expected tuition increases and/or budget reductions, especially at the small campuses.

AY 2020-2021	Service Credits			
Rank	0-5	6-12	13-19	20+
Lecturer I *	1045	1063	1079	1107
Lecturer II *	1246	1264	1282	1312
Lecturer III *	1363	1381	1400	1429
Instructor	1045	1063	1079	1107
Assistant Professor	1260	1277	1295	1324
Associate Professor	1465	1481	1502	1531
Professor	1679	1697	1720	1749

Of course pay is just one component of the System's total compensation philosophy.

Part-time faculty who teach two or more courses in a semester and have six service credits are eligible for an individual or family policy offered through the System's group health and dental insurance coverage. The UMS generally contributes 60 percent of the premium cost though may pay a greater percentage for some part-time faculty who meet certain parameters.

The USM also helps some part-time faculty save for retirement. Those who qualify based on service history may voluntarily contribute 4 percent of their pay which is matched by a System contribution of 10 percent of pay for any Fall or Spring semester in which they are employed.

Finally, so as to support the professional development and enrichment of its part-time faculty, the UMS provides a tuition waiver for a course of up to four credits for every fall and/or spring semester of employment. Additionally, the spouse or dependent children of a part-time faculty member are eligible for a 50 percent tuition waiver under the new contract, up from the 25 percent provided per the previous contract, if they attend any of Maine's public universities full-time while their spouse/parent is teaching.

The new contract also provides greater supports for part-time faculty and opportunity for advancement by strengthening and improving the fairness of the evaluation process. While evaluations are still expected to be conducted very fourth semester, the UMS will now notify the part-time faculty member about evaluation criteria and procedures at the time they are notified of their initial appointment as well as at the beginning of the semester in which the evaluation will occur. Academic departments and divisions shall also post criteria and procedures on existing academic unit webpages. Proposed teaching assignments will also be

provided at least 60 days prior to the start of the semester whenever possible and part-time faculty members' names will be listed in connection with assigned course sections during registration, whenever possible.

While the previous contract imposed a three course teaching load limit per academic year semester, this language was amended in the current contract to state that unit members will not accept assignment of courses that would be considered a full-time load. This reflects that some part-time faculty may wish to teach a combination of lower credit-bearing lab courses or supervise independent studies, which are now compensated at 5 percent of credit hour rate per student.

CONCLUSIONS

The University of Maine System believes that the data provided in this report will greatly inform the Legislature's and the public's understanding of this essential part-time workforce. At the same time, there are many questions we cannot answer, including what part-time faculty have for outside income and benefits, if any, and what their aspirations for greater opportunities and compensation at our institutions may be. To assess this would likely require surveying the part-time faculty workforce.

While there is always opportunity for an organization to better demonstrate to its employees they are valued and have defined paths for professional and financial advancement, the System's compensation and usage of part-time faculty must be considered within the context of our revenue realities as a public institution dependent almost entirely on student tuition, the cost of which has declined over the past five years (FY15-19) when adjusted for inflation, and State aid, which has increased on average just 1.4 percent during that same time.

Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

SEMESTER	INSTITUTION	Full-Time Faculty		Part-Time Faculty		Other Instructor		Credit HR Semester Total
		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2008	University of Maine	92,237	67.4%	27,950	20.4%	16,710	12%	136,897
	University of Maine at Augusta	23,406	59.1%	13,350	33.7%	2,826	7%	39,582
	University of Maine at Farmington	27,148	86.7%	3,287	10.5%	886	3%	31,321
	University of Maine at Fort Kent	9,088	80.5%	1,773	15.7%	432	4%	11,293
	University of Maine at Machias	5,243	60.8%	2,865	33.2%	515	6%	8,623
	University of Maine at Presque Isle	10,298	61.5%	4,057	24.2%	2,381	14%	16,736
	University of Southern Maine	61,772	62.8%	28,004	28.5%	8,614	9%	98,390
	University of Maine System	229,192	66.9%	81,286	23.7%	32,363	9%	342,840
Spring 2009	University of Maine	84,836	65.5%	28,995	22.4%	15,741	12%	129,572
	University of Maine at Augusta	23,910	63.4%	11,544	30.6%	2,247	6%	37,701
	University of Maine at Farmington	25,549	87.2%	2,683	9.2%	1,055	4%	29,287
	University of Maine at Fort Kent	7,637	75.9%	1,998	19.9%	430	4%	10,065
	University of Maine at Machias	5,127	59.4%	2,897	33.6%	610	7%	8,633
	University of Maine at Presque Isle	10,255	71.2%	3,208	22.3%	946	7%	14,409
	University of Southern Maine	58,014	63.8%	26,617	29.3%	6,367	7%	90,997
	University of Maine System	215,327	67.2%	77,942	24.3%	27,395	9%	320,664
Summer 2009	University of Maine	10,803	64.5%	3,312	19.8%	2,621	16%	16,736
	University of Maine at Augusta	5,955	63.1%	2,570	27.2%	910	10%	9,435
	University of Maine at Farmington	2,795	85.5%	305	9.3%	169	5%	3,269
	University of Maine at Fort Kent	2,643	69.1%	1,098	28.7%	86	2%	3,827
	University of Maine at Machias	470	26.5%	869	49.1%	432	24%	1,771
	University of Maine at Presque Isle	871	58.5%	597	40.1%	21	1%	1,489
	University of Southern Maine	13,244	60.8%	6,584	30.2%	1,959	9%	21,786
	University of Maine System	36,781	63.1%	15,335	26.3%	6,198	11%	58,313

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

SEMESTER	INSTITUTION	Full-Time Faculty		Part-Time Faculty		Other Instructor		Credit HR Semester Total
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Fall 2009	University of Maine	92,038	67.2%	30,494	22.3%	14,331	10%	136,862
	University of Maine at Augusta	23,857	57.3%	15,223	36.6%	2,566	6%	41,646
	University of Maine at Farmington	26,619	85.5%	3,400	10.9%	1,114	4%	31,133
	University of Maine at Fort Kent	8,647	77.2%	1,793	16.0%	762	7%	11,202
	University of Maine at Machias	4,912	58.3%	2,916	34.6%	591	7%	8,419
	University of Maine at Presque Isle	10,058	63.1%	4,025	25.3%	1,849	12%	15,932
	University of Southern Maine	62,748	64.2%	28,305	29.0%	6,625	7%	97,678
	University of Maine System	228,878	66.8%	86,156	25.1%	27,837	8%	342,871
Spring 2010	University of Maine	85,201	66.9%	26,870	21.1%	15,226	12%	127,298
	University of Maine at Augusta	23,385	57.8%	14,560	36.0%	2,530	6%	40,475
	University of Maine at Farmington	25,794	87.3%	2,726	9.2%	1,029	3%	29,549
	University of Maine at Fort Kent	7,079	68.0%	2,991	28.7%	343	3%	10,413
	University of Maine at Machias	5,210	59.6%	2,983	34.1%	548	6%	8,741
	University of Maine at Presque Isle	9,505	67.4%	3,768	26.7%	837	6%	14,110
	University of Southern Maine	59,960	65.2%	26,888	29.2%	5,080	6%	91,928
	University of Maine System	216,134	67.0%	80,786	25.0%	25,593	8%	322,513
Summer 2010	University of Maine	10,764	66.4%	2,941	18.1%	2,509	15%	16,213
	University of Maine at Augusta	6,709	62.8%	3,247	30.4%	721	7%	10,677
	University of Maine at Farmington	2,940	85.9%	395	11.5%	86	3%	3,421
	University of Maine at Fort Kent	2,320	67.1%	1,118	32.3%	18	1%	3,456
	University of Maine at Machias	667	46.0%	530	36.6%	252	17%	1,449
	University of Maine at Presque Isle	1,768	67.2%	834	31.7%	30	1%	2,632
	University of Southern Maine	13,924	61.6%	6,531	28.9%	2,144	9%	22,598
	University of Maine System	39,091	64.7%	15,596	25.8%	5,760	10%	60,446

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

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		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2010	University of Maine	89,656	67.8%	27,871	21.1%	14,655	11%	132,181
	University of Maine at Augusta	23,490	55.8%	15,349	36.5%	3,231	8%	42,070
	University of Maine at Farmington	26,884	84.3%	3,928	12.3%	1,083	3%	31,895
	University of Maine at Fort Kent	7,306	69.1%	2,788	26.4%	483	5%	10,577
	University of Maine at Machias	5,127	60.1%	2,739	32.1%	671	8%	8,537
	University of Maine at Presque Isle	9,876	63.1%	4,470	28.5%	1,316	8%	15,662
	University of Southern Maine	65,475	66.8%	26,803	27.3%	5,766	6%	98,044
	University of Maine System	227,813	67.2%	83,948	24.8%	27,203	8%	338,964
Spring 2011	University of Maine	82,831	67.3%	25,726	20.9%	14,532	12%	123,089
	University of Maine at Augusta	23,132	56.1%	15,057	36.5%	3,051	7%	41,240
	University of Maine at Farmington	24,963	84.8%	3,324	11.3%	1,162	4%	29,449
	University of Maine at Fort Kent	6,931	67.2%	2,784	27.0%	593	6%	10,308
	University of Maine at Machias	4,523	58.0%	2,726	34.9%	555	7%	7,804
	University of Maine at Presque Isle	9,328	64.3%	4,302	29.7%	879	6%	14,509
	University of Southern Maine	60,867	66.4%	24,931	27.2%	5,885	6%	91,683
	University of Maine System	212,575	66.8%	78,850	24.8%	26,657	8%	318,081
Summer 2011	University of Maine	10,028	62.8%	4,034	25.3%	1,909	12%	15,970
	University of Maine at Augusta	6,236	55.0%	3,839	33.9%	1,258	11%	11,333
	University of Maine at Farmington	2,573	80.0%	504	15.7%	139	4%	3,216
	University of Maine at Fort Kent	2,083	63.7%	1,115	34.1%	72	2%	3,270
	University of Maine at Machias	786	44.2%	672	37.8%	319	18%	1,777
	University of Maine at Presque Isle	1,795	63.0%	933	32.8%	120	4%	2,848
	University of Southern Maine	14,454	64.5%	6,045	27.0%	1,907	9%	22,405
	University of Maine System	37,954	62.4%	17,142	28.2%	5,723	9%	60,818

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

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		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2011	University of Maine	85,631	66.4%	29,922	23.2%	13,496	10%	129,049
	University of Maine at Augusta	23,068	54.5%	16,339	38.6%	2,945	7%	42,352
	University of Maine at Farmington	25,899	82.6%	4,474	14.3%	980	3%	31,353
	University of Maine at Fort Kent	7,227	68.6%	2,805	26.6%	504	5%	10,536
	University of Maine at Machias	5,358	66.6%	2,436	30.3%	254	3%	8,048
	University of Maine at Presque Isle	9,167	61.3%	4,780	32.0%	1,007	7%	14,954
	University of Southern Maine	63,763	67.7%	25,033	26.6%	5,344	6%	94,139
	University of Maine System	220,112	66.6%	85,788	26.0%	24,530	7%	330,430
Spring 2012	University of Maine	79,014	66.3%	26,682	22.4%	13,462	11%	119,158
	University of Maine at Augusta	24,804	58.6%	14,600	34.5%	2,953	7%	42,357
	University of Maine at Farmington	23,778	81.4%	4,688	16.1%	735	3%	29,201
	University of Maine at Fort Kent	7,341	71.5%	2,404	23.4%	527	5%	10,272
	University of Maine at Machias	5,312	64.7%	2,556	31.1%	345	4%	8,213
	University of Maine at Presque Isle	8,206	58.5%	5,084	36.2%	743	5%	14,033
	University of Southern Maine	58,281	65.8%	24,070	27.2%	6,288	7%	88,639
	University of Maine System	206,735	66.3%	80,084	25.7%	25,053	8%	311,872
Summer 2012	University of Maine	8,542	60.2%	3,668	25.9%	1,973	14%	14,183
	University of Maine at Augusta	6,780	58.2%	3,742	32.1%	1,121	10%	11,643
	University of Maine at Farmington	2,140	75.3%	601	21.2%	101	4%	2,842
	University of Maine at Fort Kent	1,849	63.7%	859	29.6%	195	7%	2,903
	University of Maine at Machias	1,046	65.0%	504	31.3%	60	4%	1,610
	University of Maine at Presque Isle	1,764	67.2%	769	29.3%	93	4%	2,626
	University of Southern Maine	13,600	64.3%	6,298	29.8%	1,243	6%	21,140
	University of Maine System	35,721	62.7%	16,441	28.9%	4,785	8%	56,946

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

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Fall 2012	University of Maine	84,577	66.0%	30,508.0	0.2	13,107	10%	128,192
	University of Maine at Augusta	24,614	57.3%	15,679.0	0.4	2,644	6%	42,937
	University of Maine at Farmington	25,444	85.1%	3,424.0	0.1	1,030	3%	29,898
	University of Maine at Fort Kent	7,477	64.0%	2,815.0	0.2	1,396	12%	11,688
	University of Maine at Machias	5,496	64.1%	2,984.0	0.3	90	1%	8,570
	University of Maine at Presque Isle	9,614	65.8%	4,231.0	0.3	758	5%	14,603
	University of Southern Maine	63,071	65.9%	27,453.0	0.3	5,127	5%	95,650
	University of Maine System	220,292	66.4%	87,094.0	0.3	24,151	7%	331,537
Spring 2013	University of Maine	78,813	66.1%	25,721.0	0.2	14,781	12%	119,315
	University of Maine at Augusta	23,840	57.4%	15,207.0	0.4	2,497	6%	41,544
	University of Maine at Farmington	24,334	87.1%	2,888.0	0.1	731	3%	27,953
	University of Maine at Fort Kent	7,247	69.4%	2,302.0	0.2	898	9%	10,447
	University of Maine at Machias	5,184	63.0%	2,738.0	0.3	301	4%	8,223
	University of Maine at Presque Isle	9,176	68.6%	3,576.0	0.3	627	5%	13,379
	University of Southern Maine	55,565	64.0%	25,909.5	0.3	5,284	6%	86,758
	University of Maine System	204,158	66.4%	78,341.5	0.3	25,118	8%	307,618
Summer 2013	University of Maine	9,068	63.3%	3,258.0	0.2	1,998	14%	14,324
	University of Maine at Augusta	6,447	54.2%	4,280.0	0.4	1,172	10%	11,899
	University of Maine at Farmington	2,044	79.1%	457.0	0.2	84	3%	2,585
	University of Maine at Fort Kent	1,752	60.3%	914.0	0.3	239	8%	2,905
	University of Maine at Machias	658	57.1%	411.0	0.4	84	7%	1,153
	University of Maine at Presque Isle	1,582	65.8%	763.0	0.3	60	2%	2,405
	University of Southern Maine	13,519	65.0%	5,819.5	0.3	1,451	7%	20,789
	University of Maine System	35,069	62.6%	15,902.5	0.3	5,088	9%	56,059

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

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		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2013	University of Maine	84,987	63.8%	31,406	23.6%	16,917	13%	133,310
	University of Maine at Augusta	23,834	58.6%	14,430	35.5%	2,426	6%	40,690
	University of Maine at Farmington	22,886	80.3%	4,441	15.6%	1,156	4%	28,483
	University of Maine at Fort Kent	7,202	59.6%	3,342	27.7%	1,537	13%	12,081
	University of Maine at Machias	5,299	65.2%	2,564	31.5%	268	3%	8,131
	University of Maine at Presque Isle	8,156	64.5%	4,020	31.8%	462	4%	12,638
	University of Southern Maine	61,066	67.7%	25,053	27.8%	4,045	4%	90,164
	University of Maine System	213,429	65.6%	85,256	26.2%	26,811	8%	325,496
Spring 2014	University of Maine	77,914	63.7%	27,076	22.1%	17,387	14%	122,377
	University of Maine at Augusta	22,178	57.0%	14,145	36.4%	2,554	7%	38,877
	University of Maine at Farmington	21,833	81.6%	3,839	14.4%	1,080	4%	26,752
	University of Maine at Fort Kent	7,337	69.4%	2,290	21.6%	951	9%	10,578
	University of Maine at Machias	5,143	66.8%	2,102	27.3%	451	6%	7,696
	University of Maine at Presque Isle	7,340	61.1%	4,019	33.5%	651	5%	12,010
	University of Southern Maine	52,277	63.8%	26,077	31.8%	3,613	4%	81,966
	University of Maine System	194,021	64.6%	79,547	26.5%	26,687	9%	300,255
Summer 2014	University of Maine	8,078	61.7%	2,962	22.6%	2,052	16%	13,091
	University of Maine at Augusta	6,377	54.4%	4,424	37.7%	931	8%	11,732
	University of Maine at Farmington	1,852	68.9%	626	23.3%	209	8%	2,687
	University of Maine at Fort Kent	1,661	64.0%	754	29.1%	180	7%	2,595
	University of Maine at Machias	649	69.0%	222	23.6%	70	7%	941
	University of Maine at Presque Isle	1,240	69.4%	486	27.2%	60	3%	1,786
	University of Southern Maine	13,337	65.6%	5,615	27.6%	1,372	7%	20,323
	University of Maine System	33,194	62.4%	15,089	28.4%	4,873	9%	53,155

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Fall 2014	University of Maine	90,821	66.8%	28,071	20.6%	17,073	13%	135,965
	University of Maine at Augusta	22,578	57.6%	13,540	34.5%	3,101	8%	39,219
	University of Maine at Farmington	21,364	80.2%	4,432	16.6%	828	3%	26,624
	University of Maine at Fort Kent	7,835	62.4%	3,159	25.1%	1,571	13%	12,565
	University of Maine at Machias	5,097	65.9%	2,354	30.4%	286	4%	7,736
	University of Maine at Presque Isle	7,635	65.3%	3,728	31.9%	322	3%	11,685
	University of Southern Maine	54,698	64.7%	24,784	29.3%	5,012	6%	84,493
	University of Maine System	210,028	66.0%	80,068	25.2%	28,192	9%	318,287
Spring 2015	University of Maine	84,559	67.9%	23,491	18.9%	16,461	13%	124,511
	University of Maine at Augusta	21,593	58.0%	12,904	34.7%	2,714	7%	37,211
	University of Maine at Farmington	20,168	80.0%	4,276	17.0%	774	3%	25,218
	University of Maine at Fort Kent	7,765	69.2%	2,728	24.3%	728	6%	11,221
	University of Maine at Machias	5,201	69.8%	1,935	26.0%	312	4%	7,448
	University of Maine at Presque Isle	6,420	59.7%	3,661	34.0%	680	6%	10,761
	University of Southern Maine	48,725	63.1%	24,162	31.3%	4,320	6%	77,207
	University of Maine System	194,431	66.2%	73,157	24.9%	25,989	9%	293,577
Summer 2015	University of Maine	8,890	64.4%	2,767	20.0%	2,148	16%	13,805
	University of Maine at Augusta	4,696	43.7%	5,018	46.7%	1,029	10%	10,743
	University of Maine at Farmington	2,251	73.6%	521	17.0%	288	9%	3,060
	University of Maine at Fort Kent	2,089	65.5%	885	27.8%	213	7%	3,187
	University of Maine at Machias	435	58.9%	192	26.0%	112	15%	739
	University of Maine at Presque Isle	1,097	63.0%	564	32.4%	79	5%	1,740
	University of Southern Maine	12,640	65.5%	5,335	27.6%	1,330	7%	19,305
	University of Maine System	32,098	61.0%	15,282	29.1%	5,199	10%	52,578

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Fall 2015	University of Maine	93,822	69.7%	24,336	18.1%	16,451	12%	134,609
	University of Maine at Augusta	21,366	54.2%	14,206	36.1%	3,818	10%	39,390
	University of Maine at Farmington	21,914	81.1%	3,816	14.1%	1,304	5%	27,034
	University of Maine at Fort Kent	8,206	60.1%	2,998	22.0%	2,454	18%	13,658
	University of Maine at Machias	5,299	71.7%	2,040	27.6%	56	1%	7,394
	University of Maine at Presque Isle	6,759	54.7%	4,230	34.2%	1,362	11%	12,351
	University of Southern Maine	45,949	58.2%	27,203	34.4%	5,818	7%	78,970
	University of Maine System	203,314	64.9%	78,829	25.2%	31,262	10%	313,405
Spring 2016	University of Maine	85,919	68.0%	23,338	18.5%	17,117	14%	126,374
	University of Maine at Augusta	22,989	62.2%	12,461	33.7%	1,490	4%	36,940
	University of Maine at Farmington	20,075	79.9%	3,847	15.3%	1,217	5%	25,139
	University of Maine at Fort Kent	7,866	64.1%	2,624	21.4%	1,776	14%	12,266
	University of Maine at Machias	4,828	68.4%	2,091	29.6%	140	2%	7,059
	University of Maine at Presque Isle	5,727	53.8%	3,991	37.5%	923	9%	10,641
	University of Southern Maine	42,368	58.5%	26,725	36.9%	3,373	5%	72,465
	University of Maine System	189,772	65.2%	75,076	25.8%	26,036	9%	290,884
Summer 2016	University of Maine	9,327	69.4%	2,372	17.6%	1,743	13%	13,442
	University of Maine at Augusta	5,250	53.6%	4,220	43.1%	319	3%	9,789
	University of Maine at Farmington	1,910	72.9%	546	20.8%	165	6%	2,621
	University of Maine at Fort Kent	1,921	54.3%	1,162	32.9%	453	13%	3,536
	University of Maine at Machias	570	63.6%	162	18.1%	164	18%	896
	University of Maine at Presque Isle	1,169	67.0%	558	32.0%	18	1%	1,745
	University of Southern Maine	11,761	62.2%	5,874	31.0%	1,285	7%	18,920
	University of Maine System	31,908	62.6%	14,894	29.2%	4,147	8%	50,948

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

SEMESTER	INSTITUTION	Full-Time Faculty		Part-Time Faculty		Other Instructor		Credit HR Semester Total
		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2016	University of Maine	97,396	70.8%	26,474	19.3%	13,634	10%	137,504
	University of Maine at Augusta	19,575	53.9%	13,422	36.9%	3,335	9%	36,332
	University of Maine at Farmington	22,364	83.6%	3,393	12.7%	998	4%	26,755
	University of Maine at Fort Kent	9,322	59.1%	3,353	21.2%	3,105	20%	15,780
	University of Maine at Machias	5,133	69.5%	2,193	29.7%	58	1%	7,384
	University of Maine at Presque Isle	6,039	45.5%	4,090	30.8%	3,146	24%	13,275
	University of Southern Maine	47,623	60.0%	28,494	35.9%	3,318	4%	79,435
	University of Maine System	207,452	65.6%	81,419	25.7%	27,594	9%	316,465
Spring 2017	University of Maine	89,752	69.5%	23,555	18.2%	15,768	12%	129,075
	University of Maine at Augusta	19,601	60.3%	11,721	36.1%	1,182	4%	32,504
	University of Maine at Farmington	20,493	81.5%	3,662	14.6%	997	4%	25,152
	University of Maine at Fort Kent	8,921	71.7%	2,371	19.0%	1,158	9%	12,450
	University of Maine at Machias	4,263	62.3%	2,425	35.4%	156	2%	6,843
	University of Maine at Presque Isle	6,070	56.1%	3,066	28.3%	1,690	16%	10,826
	University of Southern Maine	44,091	60.0%	27,007	36.8%	2,360	3%	73,458
	University of Maine System	193,191	66.5%	73,807	25.4%	23,311	8%	290,308
Summer 2017	University of Maine	9,467	72.4%	1,733	13.3%	1,869	14%	13,069
	University of Maine at Augusta	4,645	53.4%	3,852	44.3%	201	2%	8,698
	University of Maine at Farmington	2,134	68.3%	747	23.9%	242	8%	3,123
	University of Maine at Fort Kent	2,441	80.9%	474	15.7%	103	3%	3,018
	University of Maine at Machias	441	56.5%	249	31.9%	91	12%	781
	University of Maine at Presque Isle	1,104	74.6%	299	20.2%	76	5%	1,479
	University of Southern Maine	12,271	65.5%	5,093	27.2%	1,370	7%	18,733
	University of Maine System	32,502	66.5%	12,447	25.5%	3,952	8%	48,901

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

SEMESTER	INSTITUTION	Full-Time Faculty		Part-Time Faculty		Other Instructor		Credit HR Semester Total
		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2017	University of Maine	98,994	71.1%	26,592	19.1%	13,702	10%	139,287
	University of Maine at Augusta	17,999	55.3%	11,832	36.4%	2,700	8%	32,531
	University of Maine at Farmington	21,457	79.8%	4,001	14.9%	1,446	5%	26,904
	University of Maine at Fort Kent	9,554	67.0%	2,237	15.7%	2,465	17%	14,256
	University of Maine at Machias	4,607	67.9%	2,088	30.8%	90	1%	6,785
	University of Maine at Presque Isle	5,540	40.9%	3,660	27.0%	4,343	32%	13,543
	University of Southern Maine	47,449	57.9%	30,353	37.1%	4,097	5%	81,899
	University of Maine System	205,600	65.2%	80,763	25.6%	28,842	9%	315,204
Spring 2018	University of Maine	92,450	70.7%	26,447	20.2%	11,957	9%	130,854
	University of Maine at Augusta	16,828	54.5%	12,626	40.9%	1,434	5%	30,888
	University of Maine at Farmington	19,523	77.7%	4,113	16.4%	1,481	6%	25,117
	University of Maine at Fort Kent	8,774	71.3%	2,398	19.5%	1,126	9%	12,298
	University of Maine at Machias	4,418	68.0%	2,034	31.3%	50	1%	6,501
	University of Maine at Presque Isle	5,526	46.2%	2,979	24.9%	3,452	29%	11,957
	University of Southern Maine	42,136	55.6%	30,324	40.0%	3,312	4%	75,771
	University of Maine System	189,655	64.6%	80,921	27.6%	22,811	8%	293,386
Summer 2018	University of Maine	8,591	66.4%	2,429	18.8%	1,922	15%	12,941
	University of Maine at Augusta	4,747	52.1%	4,068	44.6%	304	3%	9,119
	University of Maine at Farmington	1,827	61.0%	964	32.2%	206	7%	2,997
	University of Maine at Fort Kent	2,638	90.6%	195	6.7%	80	3%	2,913
	University of Maine at Machias	508	53.0%	354	37.0%	96	10%	958
	University of Maine at Presque Isle	870	51.2%	453	26.7%	375	22%	1,698
	University of Southern Maine	11,421	60.1%	6,311	33.2%	1,259	7%	18,991
	University of Maine System	30,602	61.7%	14,774	29.8%	4,242	9%	49,617

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Student Credit Hours by Primary Instructor
Fall 2008 to Summer 2019

SEMESTER	INSTITUTION	Full-Time Faculty		Part-Time Faculty		Other Instructor		Credit HR Semester Total
		Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	Credit HR Total	Credit HR %	
Fall 2018	University of Maine	100,692	72.2%	25,954	18.6%	12,807	9%	139,453
	University of Maine at Augusta	18,201	54.0%	12,599	37.4%	2,912	9%	33,712
	University of Maine at Farmington	20,729	81.4%	3,569	14.0%	1,168	5%	25,466
	University of Maine at Fort Kent	9,182	64.1%	2,748	19.2%	2,386	17%	14,316
	University of Maine at Machias	4,534	71.2%	1,838	28.8%		0%	6,372
	University of Maine at Presque Isle	6,306	45.1%	3,960	28.3%	3,727	27%	13,993
	University of Southern Maine	49,641	58.7%	31,272	37.0%	3,689	4%	84,602
	University of Maine System	209,284	65.8%	81,940	25.8%	26,689	8%	317,913
Spring 2019	University of Maine	92,254	70.3%	24,203	18.5%	14,722	11%	131,179
	University of Maine at Augusta	17,555	56.3%	12,120	38.9%	1,521	5%	31,196
	University of Maine at Farmington	19,264	80.1%	3,421	14.2%	1,375	6%	24,060
	University of Maine at Fort Kent	8,458	73.3%	1,955	17.0%	1,119	10%	11,532
	University of Maine at Machias	4,531	73.4%	1,628	26.4%	13	0%	6,172
	University of Maine at Presque Isle	5,647	48.1%	3,751	32.0%	2,341	20%	11,739
	University of Southern Maine	48,055	60.2%	28,552	35.8%	3,177	4%	79,784
	University of Maine System	195,764	66.2%	75,630	25.6%	24,267	8%	295,661
Summer 2019	University of Maine	9,736	68.8%	2,434	17.2%	1,984	14%	14,154
	University of Maine at Augusta	5,111	53.5%	4,095	42.9%	345	4%	9,551
	University of Maine at Farmington	1,856	60.7%	834	27.3%	367	12%	3,057
	University of Maine at Fort Kent	2,426	84.4%	362	12.6%	87	3%	2,875
	University of Maine at Machias	525	63.3%	190	22.9%	115	14%	830
	University of Maine at Presque Isle	1,255	59.6%	633	30.0%	219	10%	2,107
	University of Southern Maine	11,622	61.6%	6,416	34.0%	818	4%	18,856
	University of Maine System	32,531	63.3%	14,964	29.1%	3,935	8%	51,430

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OFFICE OF THE PRESIDENT
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(207) 629-4000 | Fax (207) 629-4048 | mccs.me.edu

January 2, 2020

Joint Standing Committee on Education and Cultural Affairs
c/o Hillary Risler, Esq.
Office of Policy and Legal Analysis
13 State House Station
Augusta, Maine 04333

Dear Members of the Joint Standing Committee on Education and Cultural Affairs:

The Maine Community College System is providing this report in accordance with the requirements of Resolve, Ch. 52ⁱ.

The Higher Education Coordinating Committee will be reviewing the information contained in this report, as well as the University of Maine System's report, at their January meeting.

We hope this analysis is as helpful to you as it was to us, and we are more than willing to present our research to the committee during the upcoming session.

Thank you,

Becky Smith
Director of Government and Community Relations
Maine Community College System

Resolve, Directing the Public Higher Education Systems Coordinating Committee To Study Compensation Equity among Public Higher Education Institutions

The 129th Legislature enacted, and Governor Janet Mills signed, LD 1538 resulting in Resolve, Chapter 52.

Committee To Study Compensation Equity among Public Higher Education Institutions

Sec. 1. Public Higher Education Systems Coordinating Committee to study compensation equity. Resolved: That the Public Higher Education Systems Coordinating Committee established in the Maine Revised Statutes, Title 20-A, section 9 shall study the use of adjunct professors across the State and examine the equity of pay rates and pay scales across the University of Maine System, the Maine Community College System and each campus of these systems. The study must include an examination of market forces on pay rates and pay scales, how each system's pay rates and pay scales compare nationally and what changes would be necessary to implement a so-called living wage. The Public Higher Education Systems Coordinating Committee shall report to the Joint Standing Committee on Education and Cultural Affairs, no later than January 2, 2020, on the results of the study, including, but not limited to, the issues raised, best practices for compensation equity, recommendations and any suggested legislation. The Joint Standing Committee on Education and Cultural Affairs may submit a bill to the Second Regular Session of the 129th Legislature related to the report.

<http://www.mainelegislature.org/legis/bills/getPDF.asp?paper=HP1121&item=3&snum=129>

This Resolve tasks the Public Higher Education System's Coordinating Committee (HECC) to present a report on "the use of adjunct professors across the State and examine the equity of pay rates and pay scales across the University of Maine System, the Maine Community College System, and each campus of these systems" to the Education and Cultural Affairs Committee of the 129th Legislature by January 2, 2020. Because the manner in which adjunct faculty are compensated and utilized differs across Maine's public college and university systems, each system has submitted a separate report. The HECC will review these reports at its January meeting.

Maine Community College System

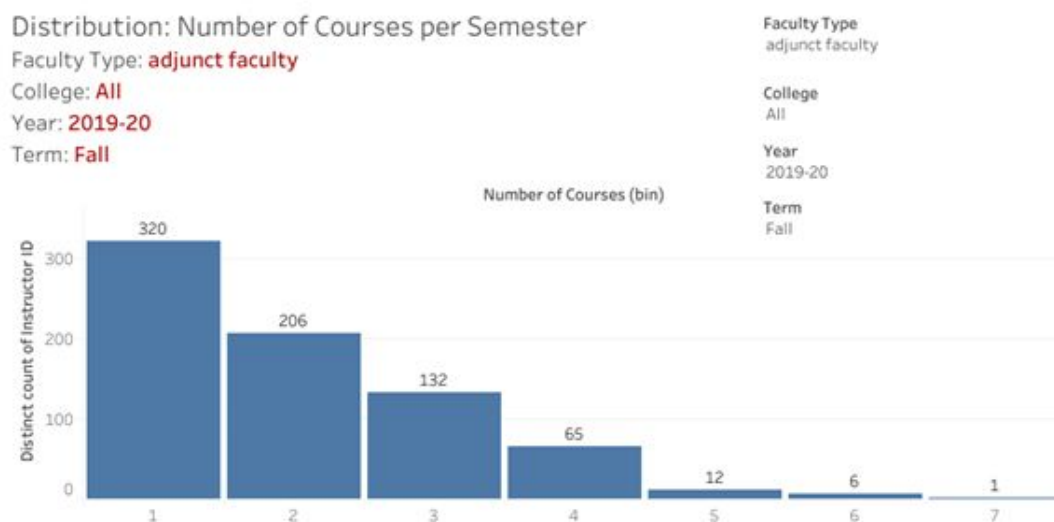
The Maine Community College System has a fall 2019 enrollment of 17,327 across our seven colleges. Tuition and fees average \$3,700 a year for a two-year associate degree. It is our goal that every one of our students be taught by qualified and engaged faculty and receive the highest quality education in preparation for participation in the Maine workforce or continued higher education. We expect that all of our faculty, whether full-time or adjunct, meet the high standards required to maintain our accreditation and provide students with a learning environment that delivers the education and skills they need to achieve their career and personal goals.

As is typical of community colleges throughout the country, the MCCS has employed adjunct faculty as a supplemental workforce to address changing course and scheduling needs, enrollment fluctuations, and specialized teaching requirements. The System customarily employs adjunct faculty to a lesser degree than may be typical at other community colleges. According to one study, community colleges regularly employ adjunct faculty to teach 58% of courses.¹ The percentage of courses and credits taught by adjunct faculty within MCCS is less than this percentage and has been decreasing. In 2012-13 adjunct faculty taught 54% of credits offered in the System. By 2019-20, this percentage had decreased to 49%.

Our colleges employed a total of 742 individual adjunct faculty for the fall 2019 semester. Over the past 10 years, the number of adjunct faculty has varied, although the trajectory over the past five years has been a downward one, with a high of 949 in 2012/13 and a low of 742 this current semester. In comparison, the number of full-time faculty has remained fairly flat with a low of 305 in 2009/10, a high in 2013/14 of 338, and a current level of 309. It is important to note that systemwide enrollment was at an all-time high in 2010-2013, necessitating additional faculty.

¹ Center for Community College Student Engagement, 2014.
https://cccse.org/sites/default/files/PTF_Special_Report.pdf

Adjunct faculty teach a variety of courses across all disciplines and campuses. The vast majority of adjunct faculty, approximately 90%, are teaching between one and three courses a semester, what one would consider typical for a part-time position. However, 11% of adjuncts (a total of 84) are teaching four or more courses, and 12 of these individuals teach at more than one campus. For reference, the course load for a full-time faculty member is five courses/15 instructional hours per semester along with additional professional responsibilities.



It is important to note that not all courses deliver the same number of credit hours or require the same number of instructional hours. An adjunct faculty member may, for instance, teach a 3-credit course or may teach three, one-credit sections of a course or lab. For this reason, when examining adjunct work load it is important to review the number of credit hours taught as well as the number of courses taught. A review of the number of credit hours taught by adjunct faculty (as detailed in the chart below) may provide a more complete picture of how MCCS engages its part-time faculty.

Distribution: Number of Credits per Semester

Faculty Type: adjunct faculty

College: All

Year: 2019-20

Term: Fall



As this chart indicates, approximately 90% of MCCS adjunct faculty teach 11 or fewer credit hours per semester.

It should also be noted that due to the nature of community colleges (open enrollment, rolling admissions, etc.), we often do not know how many sections of a course will be needed until the semester has started, or even if a particular course will be offered at all. This necessitates flexibility and last-minute schedule adjustments and differs significantly from the practices at most four-year colleges and universities.

Regional and National Pay Scales

Comparisons of adjunct pay scales at the nation's community colleges are difficult to find or build, due to the complexity and variance in how adjunct faculty are compensated. Our research found that reimbursements range from as little as \$325 per credit hour to as much as \$10,000 based on market forces within the college's geographical location and the field within which adjunct faculty teach. In June of 2018, the Houston Chronicle reported that the: "Average adjunct faculty instructor pay varies by community college but is significantly lower than the salaries of tenured professors. In some cases, adjunct faculty are paid as little as \$1,000 per course. A few schools pay as much as \$5,000, with the median salary paid to adjunct professors being \$2,700 per three-credit course."²

² <https://work.chron.com/average-adjunct-pay-community-colleges-18310.html>

MCCS AY18 Adjunct Instructor Rates Per Credit Hour

CMCC	\$754.50
EMCC	\$645.00
KVCC	\$736.33
NMCC	\$512.55
SMCC	See pay scale below
WCCC	See pay scale below
YCCC	\$806.00

Southern Maine Community College and Washington County Community College have both established pay scales that take into account a number of factors.

SMCC AY18 Adjunct Instructor Rates Per Credit Hour

Adjunct Instructor Highest Completed Degree	New AY18 Rate
GED; High School Diploma; Associate's; Bachelor's (starting)	\$736
Master's (starting)	\$791
Doctorate (starting)	\$841
Step One	\$893
Step Two	\$942
Step Three	\$994

Washington County Community College Adjunct Faculty Pay Scale

Step 1. Instructor with less than 24 credit hours of teaching experience with MCCS	
Associate Degree*	\$526.56 per credit
Bachelor's Degree	\$587.20 per credit
Master's Degree	\$648.16 per credit
Doctoral Degree	\$688.48 per credit
Step 2. Instructor with 24 credit hours or greater of teaching experience with MCCS	
Associate Degree*	\$537.20 per credit
Bachelor's Degree	\$628.00 per credit
Master's Degree	\$708.80 per credit
Doctoral Degree	\$749.28 per credit

* Associate degree, relevant required credential or experience

MCCS and New England Adjunct Pay Rates

Similar variations in pay exist at community colleges across New England. Our analysis, based on a review of labor contracts, puts us on par with New Hampshire, but below the other New England states. We point out, however, that per credit hour tuition rates at these other New England colleges are far higher.

	Number of Community Colleges	2018 Adjunct Pay Scale Per Credit Hour	2019/2020 In-State Tuition Per Credit Hour
CT	12	\$1,546-\$1,663	\$166
MA	15	\$1,088-\$1,314	\$220*
ME	7	\$512-\$994	\$96
NH	7	\$679-\$836	\$215
RI	1	\$1,148	\$195
VT	1	\$1,359	\$271

- Connecticut's 2019 contract paid \$1,546-\$1,663 per credit hour for a general part-time lecturer with higher rates for those supervising clinicals.³
- Massachusetts' fall 2018 credit hour rates are \$1,088-\$1,314 depending on experience of the adjunct.⁴ The cost of a credit hour at a Massachusetts community college is about \$220, a combination of tuition and a mandatory college fee.
- New Hampshire's fall 2018 credit hour rates are \$679-\$836 depending on the experience of the adjunct.⁵
- Rhode Island is currently operating without a contract. However, their most recent posted tentative contract indicates that the rate for January 2019 was \$82 per contact hour or likely \$1,148 per credit hour.⁶
- Vermont pays \$4,077 per 3 credit course (\$1,359 a credit hour).⁷

³ <http://www.ct.edu/files/pdfs/AFT%20Local%201942%20CBA%202016-2021.pdf>

⁴ <https://mccc-union.org/wp-content/uploads/sites/69/2019/03/2018-2020-DCE-CBA-w-201.pdf>

⁵ https://www.ccsnh.edu/sites/default/files/2017-2018_AdjunctFaculty_BargainingAgreement.pdf

⁶ https://www.ccri.edu/hr/contracts/Adjunct_TA_2018-21.pdf

⁷ <https://ccv.interviewexchange.com/static/clients/503CCM1/index.jsp;jsessionid=AFE90CABF499B61A8296545D6A4CA8D3?catid=1324>

While the Maine Community College System pays its adjuncts typically more than adjuncts at New Hampshire community colleges and commensurate with adjunct pay rates at many community colleges throughout the country, MCCC maintains the lowest tuition of all community colleges in New England. In an ongoing effort to keep tuition affordable for all Maine residents, the MCCC Board of Trustees has sought to employ its limited resources efficiently to meet both the educational and financial needs of its students.

It should be noted that in an adjoining educational market, New Hampshire pays its adjuncts a rate as low as \$679 per credit hour while Southern Maine Community College, which employs one-third of MCCC adjuncts, pays a median adjunct rate of \$791 per credit hour with many adjuncts at SMCC (and all adjuncts at YCCC) earning more than that amount. While paying its adjuncts less, New Hampshire charges a tuition rate that is over double what MCCC charges.

As a public institution, MCCC is heavily reliant on state appropriations. From 2002, when MCCC transitioned from technical to community colleges, to 2011, enrollment increased by 77%. That dramatic growth was not supported by a corresponding growth in appropriations and compelled MCCC to use a greater mix of adjunct and regular faculty. In the first half of the past decade (2011-2015) appropriation increased less than 3% or an average of .7% a year. Over that same time period, personnel and other costs increased. This confluence of events did not allow for salary growth and led to maintaining austerity measures across the System. Unfortunately, these budget constraints have had a lasting impact on pay for adjunct faculty and all staff at our colleges.

More recently, both MCCC and the University of Maine System received a 3.35% increase over baseline for FY20 and were flat funded for FY21. The Maine Community College System used this increase to give a 3% pay raise in FY20 to all employees who are part of the four bargaining units that have finalized negotiations, including full-time faculty. Despite the flat funding in FY21, MCCC offered at the bargaining table and agreed with the bargaining agents to another 3% pay raise in FY21 for those employees in bargaining units where we have completed contract negotiations. Negotiations with the adjunct unit are currently underway.

Market Forces on Pay Rates

The pay rates for adjunct faculty at each of the seven community colleges are collectively bargained with the Maine State Employees Association. The collective bargaining agreement is

a single contract with MCCA, approved by MSEA membership and the MCCA Board of Trustees. As noted above, MCCA and the MSEA adjunct unit are currently in contract negotiations.

Historically, adjunct pay rates within the System have differed by college with market forces applying greater pressure on wages in southern and central Maine than in northern Maine. Accordingly, colleges in central and northern Maine pay adjunct faculty less than the colleges in southern Maine. As mentioned in the MCCA testimony on LD 1538, “These differing wage pressures are not unique of course to the community college system. According to the Bureau of Labor Statistics, the average weekly wage for education and health services in Cumberland County in 2018 was \$1,026; for Aroostook County, \$793; and for Washington County, \$757.”⁸

Through the collective bargaining process both the MSEA and the MCCA Board of Trustees have sought to rectify the issue of pay disparity among adjunct faculty while simultaneously allowing faculty across all seven campuses to receive wage increases and enabling MCCA to stay within its budget. As the System and the union agreed during negotiations in 2017, for the 2017-2019 contract, higher paid adjuncts received smaller percentage increases (2.5%) in order to allow for larger increases at Washington County Community College and Northern Maine Community College (5%) where the pay scale is lower.

At the time of this report, contract negotiations with the adjunct unit for a new contract are on-going, and the System believes that negotiations to this point have proceeded productively and cooperatively. In its proposals presented during the current negotiations, the System has in an effort to respond to adjunct faculty concerns regarding pay offered a compensation proposal that would, over the course of three years, achieve pay parity among adjunct faculty across the System. In addition to addressing the issue of pay parity, the System’s proposal provides for a wage increase for adjuncts at each college including an increase of as much as 75% over the course of the contract at the colleges that historically have had lower wages.⁹ We are hopeful this proposal is a demonstration of the good faith efforts the System is making to address faculty wage concerns and will be accepted by the union bargaining team. As mentioned above, the System believes that negotiations to date with the adjunct unit have been productive and amicable, and we hope to maintain this spirit of cooperation and good faith well after the current contract is settled.

⁸ U.S. Bureau of Labor Statistics, Quarterly Census of Employment and Wages, All Industries, Third Quarter (2018).

⁹ For example, under the proposal the per credit hour wage for adjunct faculty at NMCC in Presque Isle would increase from the current rate of \$512 per credit hour to \$900 per credit hour over the course of the contract.

In conclusion, the primary concern of the System is the success of our students. The adjunct workforce is a vital component of the System's efforts to prepare our students for Maine's ever-changing workforce. The adjunct faculty provides invaluable assistance to the System in addressing specialized instruction and scheduling and enrollment needs. In an effort to recognize these contributions the System in contract negotiations has made an effort to increase adjunct pay across the System while achieving pay parity at all colleges over a three-year period. We hope to continue to work cooperatively with the Legislature and the adjunct union to address the salary concerns of the adjunct faculty as well as all of System employees.

ⁱ <http://www.mainelegislature.org/legis/bills/getPDF.asp?paper=HP1121&item=3&snum=129>



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February 1, 2020

Honorable Troy Jackson
President of the Senate
3 State House Station
Augusta, ME 04333

The University of Maine

Honorable Sara Gideon
Speaker of the House
2 State House Station
Augusta, ME 04333

University of Maine
at Augusta

University of Maine
at Farmington

Dear Senate President Jackson and Speaker Gideon:

University of Maine
at Fort Kent

Pursuant to 5 M.R.S.A., Section 12023, please consider this the letter of transmittal for the required Quasi-Independent State Entity Review Report from the University of Maine System due by February 1, 2020.

University of Maine
at Machias

The UMS has an estimated \$1.5 billion annual total statewide economic impact and increasingly is investing in Maine's economy, with \$54.7 million in goods and services purchased from businesses that are based in Maine or that employ Mainers in FY19.

University of Maine
at Presque Isle

University of
Southern Maine

While competitive procurement is the UMS standard, as provided in State law and corresponding System policy, there are legitimate reasons for waiving competitive procurement in some circumstances. For example, a majority of the expenses for which waivers from our competitive procurement process were granted in FY19 involved the purchase of goods and services that were specifically named in a federal research grant and that were not funded with State dollars. Overall, the value of UMS procurements for which waivers from the competitive process were granted was down 3.75 percent in FY19 from the fiscal year prior.

In an effort to increase transparency and public accountability, the UMS sole source report now includes a description of each relevant transaction and our Board of Trustees reviews this report prior to its submission to the Legislature.

Sincerely,

Dannel P. Malloy, Chancellor
University of Maine System



SOLE SOURCE PROCUREMENT & CONTRIBUTIONS REPORT

FEBRUARY 1, 2020

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**This report is submitted pursuant to 5 M.R.S.A., Section 12023 and reflects the period July 1, 2018 to June 30, 2019 (FY19). Please direct questions including requests for additional information to Samantha Warren, University of Maine System Director of Government and Community Relations, at samantha.warren@maine.edu.*

UMS STRATEGIC PROCUREMENT

The University of Maine System (UMS or University) has an estimated \$1.5 billion annual total statewide economic impact, a \$7.50 return for every dollar of State appropriation. Beyond supporting nearly 20,000 campus and community jobs and our students and visitors spending an estimated \$144 million locally, the UMS positively impacts the Maine economy by purchasing goods and services from businesses based in Maine or that employ Mainers. In FY19, the System invested \$54.7 million directly in the Maine economy through the local purchasing of goods and services.

As it conducts business, the UMS is committed to a competitive procurement process to ensure the greatest value for tuition and taxpayers as well as transparency and fairness for providers of goods and services. While competitive procurement is the standard, there are legitimate reasons allowed by State law and corresponding System policy for waiving this competitive process in unique, well-defined and documented circumstances. A waiver from the competitive bid process can never be justified based on price, preference or urgency created by inadequate planning on the part of the requestor, per UMS policy adopted by the Board of Trustees in 2012.

In FY19, the total value of System procurements exceeding \$10,000 for which the competitive process was waived was \$20,949,852, a 3.75 percent decrease from the \$21,734,742 in procurements waived the previous year. More than one-half (\$11.26 million) was a result of the vendor being named specifically in a grant award, typically from the federal government. For example, Syntiro along with several K-12 public school districts are specifically identified as sub-recipients in a federal Department of Education GEAR-UP grant for which the University of Maine at Farmington is the fiscal agent. Funding serves more than 60 Maine middle and high schools and supports thousands of low-income students prepare for and be successful in their postsecondary education.

Less than one-third (\$5.66 million) of the total waiver value in FY19 reflects true sole source purchases and many of those purchases were funded by outside grants, as opposed to State appropriation. As a world-class research institution, the University of Maine in particular has unique procurement needs, including for specialized equipment or services that may only be available from one vendor. For example, UMaine researchers need to regularly replace fish monitoring tags and only one vendor can provide new tags and data receivers that are compatible with the existing units.

Since procurement has become a consolidated function housed within the System office rather than independent at each campus, the UMS has saved tuition and taxpayers millions of dollars while considerably reducing its use of sole source waivers. The total value of true sole source procurements has decreased by 28 percent over the six years since this State reporting requirement was enacted, from \$7.96 million in FY14 to \$5.66 million for the current reporting period (FY19).

The FY19 procurements exceeding \$10,000 for which the competitive process was waived are listed in this report in the following categories below.

- Sole Source Purchases
- Goods and/or Services Specifically Named In Grant Awards
- Emergency Purchases
- Library Books or Periodicals
- Purchases for Resale

Additionally, as required by 5 M.R.S.A., Section 12023, this report includes a list of all FY19 contributions greater than \$1,000 made by the System or its seven universities. In most cases, the contributions were membership dues for accreditation or affiliate associations like the New England Association of Schools & Colleges, civic organizations and athletic conferences.

As part of a commitment to public accountability and transparency, in 2019 the UMS updated the process by which it compiles this report to include a brief description of sole source, emergency and named-in-grant procurements as well as all contributions above \$1,000. Our internal process additionally now includes a review of this report by the Board of Trustees before submission to the Legislature.

FY19 WAIVERED PROCUREMENTS OVER \$10,000

SOLE SOURCE PURCHASES

Sole source purchases are made when goods or services, because of unique characteristics or other reasons, are available from only one source. In cases where an alternate supplier for a similar product or service cannot be identified, the requestor must document that a good faith effort has been made in seeking other sources. A listing of the unique technical specifications required of the product and the companies that were contacted in the search for alternate sources is necessary. Sole source justification cannot be based on quality, price, mere preference or urgency created by inadequate planning or untimely action by the requestor, such as the imminent expiration of a contract that could have been foreseen.

Supplier Name	Amount	Campus	Summary Notes
KOMLINE SANDERSON ENGINEERING CORP	\$375,000	UM	Grant-funded purchase of a Paddle Dryer Loop System that is part of a larger system designed to convert wood fibers into refined fuels that could replace fossil fuels for which this supplier was the only viable alternative based on research requirements.
UNIV OF CONNECTICUT	\$300,000	UM	Grant-funded charter of R/V Connecticut, the only heavy lift research vessel available in the northeast with the capability to service the NERACOOS buoy network. These buoys support research for multiple industries in Maine including tourism, shipping, aquaculture and fisheries.

Supplier Name	Amount	Campus	Summary Notes
CYBERBIT INC	\$295,000	UMA	First year of three-year subscription/licensing agreement for a cybersecurity simulation and training environment for which this supplier is the only option with a full range of capabilities and tools that support and provide for the needs of an academic-focused cybersecurity program. This supports a strategic focus area for student recruitment at UMA and provides a platform upon which services and real-world experience can be extended to Maine businesses.
SIERRA CEDAR INC	\$277,500	UMS	Consulting services and delivery of proprietary code to deliver configurable, native event management capabilities within the current, shared Customer Relationship Management platform (Salesforce.com) supporting UMFK and UMPI recruitment and admissions activities. Access to this code base will support other campuses at no additional cost and will serve to enhance overall efficiency and enrollment growth.
EAB	\$150,633	UM	Annual membership in the Student Success Collaborative to the Advisory Board which provides student success software tools and comparative peer benchmarking data that is proprietary to the members of the Collaborative. Ultimate goal is increased student success, retention and degree completion.
TECNIPLAST USA INC	\$114,460	UM	Purchase of Individual Ventilated Cage containment system for the Small Animal Research Facility at UM for which this supplier could exclusively meet physical constraints and provide a required closed environmental testing capability. Additionally, the system is compatible and complementary to those used by other research collaborators in Maine. Research supports the UMaine Medicine Initiative which seeks to enhance the health and well-being of Maine citizens.

Supplier Name	Amount	Campus	Summary Notes
VEMCO	\$102,000	UM	Grant-funded purchase of specialized acoustic tags for fish tracking to match existing telemetry receiver equipment. Other vendors were considered but new/old receivers and fish tags would not be compatible.
MODULIM	\$101,400	UM	Purchase of diagnostic human tissue scanner used to analyze circulatory structure, blood chemistry, and metabolism as an indicator of patient health obtained in a non-invasive manner for which the technology is still emerging and therefore unique with no current market competition. Research will support ways to better address many common health issues including obesity, cancer, and recovery from skin-related injuries (e.g., burns, frostbite).
ALICE JAMES BOOKS	\$98,281	UMF	This is a grant provided by UMF to Alice James Books (AJB). AJB operates a non-profit press on campus (Poetry press) and provides 14 student internships/apprenticeships, especially for Creative Writing majors.
JORDAN EQUIP CO	\$85,186	USM	Purchase of like-for-like replacement utility tractors for which the university already owns a significant inventory of attachments and accessories. Direct replacement eliminates the need to purchase new attachments and accessories.
ERECTORBOT INC	\$81,005	UM	Grant-funded purchase of large scale 3D printer with the unique ability to handle both flexible and rigid materials to support the research conducted at the composites center. Research directly supports Maine-based forest product and boat building industries.
STRATEGIC MARKETING INNOVATIONS INC	\$77,000	UM	Continuation of existing education and outreach to federal executive branch agencies in support of UM's research programs.

Supplier Name	Amount	Campus	Summary Notes
VITALSMARTS LC	\$67,470	UMS	HR-related employee training resources for which the UMS has certified trainers that can only be obtained from one source. Training has been identified through employee surveys and the Great College to Work For program as key needs to improve employee productivity, efficiency and management effectiveness as a critical need.
WATERMARK INSIGHTS LLC	\$65,000	UM	Grant-funded program assessment system that allows the university to track accreditation data for Masters of Science programs at several UMS campuses and meets the requirements set forth by the Association of American Colleges and Universities which grants accreditation.
CLEAR CHANNEL AIRPORTS	\$62,892	UM	Advertising located at the Portland Jetport (PWM) as part of UM's broader marketing strategy. Since Clear Channel Airports has an exclusive contract with PWM, the university has no other options for contracting for this targeted advertising and location.
CENGAGE LEARNING	\$60,000	UMA	Online non-degree career training service for which pass-through charges to students result in net revenue to the university.
JOHNSON CONTROLS INC	\$58,000	UM	Maintenance services for existing Johnson building control systems - proprietary system for which only manufacturer can perform maintenance.
TECHNIDYNE CORP	\$55,460	UM	Grant-funded like-for-like replacement of compact fiber analyzer for which direct replacement is required to ensure continuity of research data.

Supplier Name	Amount	Campus	Summary Notes
TASERMIUT S GREENLAND EXPEDITIONS APS	\$52,970	UM	Grant-funded comprehensive travel and logistics services in Greenland for the Arctic Futures Institute's (AFI) 2019 Greenland Summer Workshop for which the supplier the sole option for providing workshop planning and execution including local travel among four diverse geographic sites in Greenland. AFI seeks to connect northern latitude countries/regions in pursuit of research and commerce supporting long-term preservation of the Arctic.
NOLDUS INFORMATION TECHNOLOGY INC	\$52,558	UM	Purchase of facial recognition equipment for logging and measuring facial expressions as part of ongoing psychological research at UM for which supplier is only source. Research supports efforts to improve doctor-patient communication and reduce health disparities among certain populations.
JAMES LYONS	\$50,000	UM	Specialized services related to boilers at the university's steam plant for which the supplier has unique knowledge and capabilities.
AUTOMATIC SYNC TECHNOLOGIES LLC	\$49,800	UMA	Captioning services for disability accommodations for UMA distance education courses delivered via the Panopto platform. This supplier has exclusive contract with Panopto to caption content on that platform.
GARDNER CONSTRUCTION ENTERPRISES LLC	\$49,190	UM	Contractor provided overlay paving services for Rangeley Road on UM campus. This contractor was awarded competitive bid by the Maine DOT to pave final layer of new roundabout at the Park Street entrance to the campus and UM took advantage of the opportunity to have Rangeley Road paved at the same time by the same contractor, thus saving money, minimizing disruption for drivers and providing a more seamless transition between the DOT-maintained road to the campus roadway.

Supplier Name	Amount	Campus	Summary Notes
HACH CO	\$48,646	UM	Grant-funded like-for-like replacement of seawater nutrient analyzer utilized by the SEANET initiative for which identical replacement of existing equipment is required to maintain research and data integrity.
THIS DOT INC	\$48,500	UM	Software engineering consulting services for essential upgrade of BioMedia Lab learning management system that serves several biology-related courses and program across the UMS. Provider possesses the mix of technical abilities along with needed availability and timing needs that could not be obtained elsewhere.
MAINE MEDICAL PARTNERS	\$48,000	USM	Team physician services for USM athletic program. USM has a long standing educational relationship with Maine Health to provide field experience for their Sports Medicine Fellows. This contract expands that relationship to include oversight of the USM athletic trainer staff and allows the USM athletic trainers to bill for services, thus increasing revenue for the university.
EAB	\$44,370	UM	Second installment payment for annual membership in the Student Success Collaborative to the Advisory Board which provides student success software tools and comparative peer benchmarking data that is proprietary to the members of the Collaborative. Ultimate goal is increased student success, retention and degree completion.
BOSTON HARBOR CRUISES	\$43,500	UM	Grant-funded ship time for retrieval of a research buoy that has slipped its moorings. Regular contracted vessel is out for repairs and this was the only vessel available with the capabilities and when needed.

Supplier Name	Amount	Campus	Summary Notes
YSI INC	\$42,479	UM	Grant-funded instrumentation for measuring water current, speed, direction and temperature. These instruments will be placed on existing on ocean current monitoring buoys and underwater probes/vehicles. No other supplier interfaces with existing equipment and consistency needed to ensure research data integrity in support of growing sustainable ecological aquaculture in Maine and beyond.
YSI INC	\$42,479	UM	Grant-funded additional order of instrumentation for measuring water current, speed, direction, and temperature. These instruments will be placed on existing on ocean current monitoring buoys and underwater probes/vehicles. No other supplier interfaces with existing equipment and consistency needed to ensure research data integrity in support of growing sustainable ecological aquaculture in Maine and beyond.
COMPOSITE ALLIANCE CORP	\$41,200	UM	Grant-funded modification of existing proprietary structural thermoplastic molding system to provide increased cooling capacity at the UM Advanced Structures and Composites Center.
GOODWILL INDUSTRIES OF NNE	\$39,378	USM	Program delivery and payroll administration services for USM students participating in the Gateway to Opportunity program - continuation of a program initiated by the Gorman Foundation which provides work-based learning for Portland area low income youth.
WENGER CORP	\$38,452	UM	Purchase of highly specialized orchestra pit filler platform system for the Hauck Auditorium at UM. Platform system is unique in that it allows the pit to be filled (thus extending the stage) while still allowing an orchestra to occupy the pit. All other available options do not allow an orchestra to occupy the filled pit - the configuration and small size of the Hauck stage dictates this solution.

Supplier Name	Amount	Campus	Summary Notes
HARVARD SPORTS MGMT GRP INC	\$38,221	USM	Travel services for the USM Field Hockey team using funds raised by the team over the past four years. The provider has exclusive rights to the fields needed within the time frame required for the trip for the planned destination.
BURNING GLASS TECHNOLOGIES	\$38,000	UMS	Licensing of system to provide view of labor markets that the UMS can use to make data-driven decisions on how to better match academic programs and investments into the areas for which students will graduate into job markets with demand, providing a high level analysis and reporting that is not replicated among other sources. The ultimate objective is to align UMS programs with the academic and business needs in Maine thus providing for the most compelling needs in the Maine job market.
DIGITAL TRANSITIONS INC	\$37,229	USM	Like-for-like replacement purchase of digital imaging equipment for digitization of Osher Map holdings for which integration into existing infrastructure is necessary. Equipment being replaced is over a decade old and no longer supported for repair and maintenance by the manufacturer.
IBCONTROLS INC	\$36,365	USM	Upgrade to existing proprietary building environmental control system. Alternative would entail cost prohibitive replacement of entire control system.
YSI INC	\$36,161	UM	Grant-funded instrumentation for measuring water quality in the Gulf of Maine, deployed on ocean buoys. Research supports the Maine aquaculture industry and is funded through MEIF funds. In order to maintain long term data integrity, sensors need to match existing sensors in use over the last four years.
BANGOR TRUCK EQUIP	\$35,000	UM	Contract for repair services for snow plowing equipment, including emergency repairs from only supplier in close proximity to the UM campus with the ability to respond during snow emergency events.

Supplier Name	Amount	Campus	Summary Notes
NETZSCH INSTRUMENTS NORTH AMERICA LLC	\$34,983	UM	Grant-funded like-for-like replacement of existing test equipment to measure thermal performance of wood-based materials as part of the university's ongoing forest products research. Direct replacement of 19-year-old equipment ensures logistic compatibility as well as research data integrity. Price includes an adjustment for the residual value of current failed equipment.
COBSCOOK CMNTY LEARNING CENTER	\$34,969	UM	Lodging and food for students and faculty for a two week field-based course in Wildlife Ecology – most proximate (least driving time possible) to Moosehorn National Wildlife Refuge where course takes place.
WOLFRAM RESEARCH INC	\$32,987	UMS	Purchase of three-year site license for math software required as an essential element of several Engineering, Mathematics and Physics courses at UM, USM and UMPI. The software includes unique computational and visualization tools required by these academic programs. Software supports key STEM-related programs at these campuses.
A-VIBE	\$32,000	UM	Grant-funded contract for continued maintenance of the Inter-Chem-Net website which allows collaboration between university and K12 chemistry students as well as collaborative sharing of lab diagnostic equipment across the Inter-Chem-Net user population.
HOBSONS INC	\$31,968	UMF	Enrollment and maintenance of UMF's web presence on the primary platform that high school guidance offices within the primary recruitment area utilize. Service includes providing an enhanced presence in this platform, thus helping to increase recruitment yield among the targeted demographic.
ELSEVIER INC	\$31,960	UM	Publishing supplement in Journal of Nutrition Education and Behavior for which this is the sole publisher.

Supplier Name	Amount	Campus	Summary Notes
INTERNATIONAL SERVICE LEARNING	\$31,200	UM	Turnkey study abroad services for nursing class trip to Costa Rica for which supplier is the only source that can provide the full package of grounds transport, lodging, food and educational content. Note that funds expended are pass through of fees collected from trip participants.
COLLEGE OF THE ATLANTIC	\$30,935	UM	Provision of conference facilities (rooming, food, meeting facilities) by the UM Conferences and Institutes (C&I) department for the Frontiers in Physics Education Research conference for which the event host has specifically selected the venue. Registration fees are passed through C&I and fully covered by the host entity.
TOWNSQUARE MEDIA PORTLAND LLC	\$30,900	UMF	Purchase of air time in the Portland, Augusta and Bangor radio markets for targeted marketing efforts for UMF through radio group that best matches the target audience demographics, thus maximizing potential marketing yield.
UNIV OF SOUTHERN MAINE FNDTN	\$30,631	UMS	Externally funded contract to provide Interim CEO and administrative services for Maine Center Ventures, a UMS non-profit entity supporting the University of Maine Graduate & Professional Center while a search was conducted for a permanent CEO.
SABIC INNOVATIVE PLASTICS US LLC	\$30,540	UM	Grant-funded purchase of proprietary composite extrusion materials for very large format 3D printer project in collaboration with the Oak Ridge National Laboratory for which ongoing research will investigate ways to use wood fiber-based materials in large format 3D printing in support of multiple industries including boat building and transportation infrastructure.
MAINE COMRCL TIRE INC	\$30,000	UM	Truck and heavy equipment tire services for which this is the only supplier proximate to UM that can provide both 24x7 services and can match the specific tire characteristics required for specialized equipment.

Supplier Name	Amount	Campus	Summary Notes
PINE TREE FOOD EQUIP INC	\$30,000	UM	Warranty and out of warranty repair and maintenance of Rational and Caddy branded food service equipment deployed in dining halls, 4H camps, and other university locations - both have protected territories for their dealers and this is the only local dealer.
KARL A PEPIN	\$30,000	UM	Grant-funded continuation of process engineering of electro-mechanical systems for the Advanced Composites Center. In addition, provider has specialized knowledge of specific equipment donated by the US Army in order to assist the university in the construction of new equipment. No other provider exists with this unique blend of experience and expertise.
INTERNATIONAL STUDY TOURS LLC	\$29,550	UMF	Turnkey travel services and on-site facilitation of a study group to Reggio Emilia, Italy to visit and study at the Municipal Infant Toddler Centers and Preschools of Reggio Emilia as part of an existing course at UMF, for which the service provider has exclusive rights. Cost offset by revenue from trip participants.
ATA TRANSIT ADVERTISING	\$29,400	USM	USM contracts with Greater Portland Transit District (METRO) (Contract# 2017-098). METRO contracts with ATA Transit Advertising for all bus advertising. In order for USM to create/install signage and wrap on METRO buses they need to work with ATA Transit.
KATAHDIN AREA COUNCIL BSA	\$29,280	UM	Contracted use of Camp Roosevelt for two required Forestry Field courses as part of the university's Forest Management program, training future professional foresters. The facility is the only one of its kind within a reasonable commute of the Orono campus that has forest holdings of sufficient size to allow safe separation of chain saws and large forestry equipment from other users of the facility as well as abutting land owners.

Supplier Name	Amount	Campus	Summary Notes
HU FRIEDY MFG CO LLC	\$29,206	UMA	Instrument kits for dental hygiene students with technical specifications required by the dental hygiene academic program. Reviewed product from two other suppliers and found they did not have required features needed for students.
EOM OFFSHORE LLC	\$28,690	UM	Purchase of stretch tether hoses which secure moored buoys in the Gulf of Maine as well as provide two-way communication (a unique capability specific to this supplier) with the buoys. Research is grant-funded and supports the Maine fishery industry.
AGILYSYS NV LLC	\$28,647	UM	Upgrades to proprietary dining services management system provided by the manufacturer of the management system.
HARTLAND MACHINE LTD	\$28,176	UM	Grant-funded purchase of micro-plot potato harvester for potato-related research in Northern Maine for which this is only supplier of sufficiently scaled-down equipment to harvest from the test beds while ensuring data integrity of the research (full-scale equipment is too large). Equipment matches that in use with research collaborators in Canada.
GEOCAMP ICELAND	\$26,945	USM	Comprehensive study abroad services for academic trip to Iceland. Insufficient time existed to conduct competitive bidding and meet timeline committed to students. Students pay for the trip and costs pass through.
AGILYSYS NV LLC	\$26,880	UM	Upgrades to proprietary dining services management system provided by the manufacturer of the management system.
OHIO STATE UNIV	\$26,830	UMPI	Purchase of lab equipment from Ohio State University as part of contractual obligation for a new faculty hire at UMPI.

Supplier Name	Amount	Campus	Summary Notes
AALEN UNIV OF APPLIED SCIENCES	\$26,586	UM	Turnkey study abroad program including lectures and company visits as part of for-credit travel course encompassing business and engineering. Note that UM has an academic relationship with Aalen and that fees paid to Aalen are pass-through from fees collected from the students.
MODERNTHINK	\$26,462	UMS	Proprietary provider of database software program that supports the university's participation in the Great Colleges to Work For program.
DMT USA INC	\$25,955	UM	Grant-funded purchase of specialized bio-medical laboratory system for which all research partners are employing the same equipment to ensure research data integrity. The research is exploring cardio-metabolic health of Maine and New England populations to seek interventions to the health effects of obesity and diabetes.
FREIGHTLINER OF MAINE INC	\$25,922	UM	Service and maintenance contract for a 2015 rubbish packer/hauler truck for which this supplier as the manufacturer is the single source for authorized in and out of warranty repairs.
POINT LOOKOUT	\$25,437	UM	Use of conference facilities for which a central geographic location was needed and for which there are no other viable options in the summer.
BIO RAD LAB INC	\$25,080	UM	Grant-funded purchase of thermocycler for conducting bio-science research for the UM Bio-Sciences Labs, supporting research into the impacts of nervous system-driven energy balance on obesity, aging and neuro-degenerative diseases - specific equipment must match existing equipment used in ongoing research.

Supplier Name	Amount	Campus	Summary Notes
EXACTITUDE INC	\$25,000	UM	UMaine has installed electronic handicap door actuators across campus. The manufacturer's regional distributor handles all installation and repair either directly or through their subcontractors. Continuing purchase, installation and repair through the manufacturer's distribution chain ensures product consistency and streamlined repair and installation.
BANGOR TRUCK EQUIP	\$25,000	UM	Contract for repair services for snow plowing equipment, including emergency repairs from only supplier in close proximity to the UM campus with the ability to respond during snow emergency events.
TELEDYNE INSTRUMENTS INC	\$25,000	UM	Grant-funded purchase of proprietary rechargeable battery upgrade for existing autonomous underwater gliders used in support of ongoing marine research. Upgrade will dramatically increase efficiency and reduce overall operating costs.
SUSAN B INCHES	\$25,000	USM	Consulting services for development of strategic planning for the North Atlantic Initiative which seeks to increase opportunities for international trade with North Atlantic economies.
NEW ENGLAND OCEAN CLUSTER	\$25,000	USM	Consulting and facilitation services in support of economic development in Maine centered on the North Atlantic trade market area, for which the provider has unique abilities and market connections. The work will leverage the global Ocean Cluster collaborative network to help grow the ocean economy in Maine and beyond.
CAPE ELEUTHERA INST	\$24,960	UM	Purchase of turnkey study abroad services at the Cape Eleuthera Institute in the Bahamas as part of field-based delivery of BIO 387 class on the effects of Climate Change. Eleuthera provides a unique experience that directly matches the objective of the class.

Supplier Name	Amount	Campus	Summary Notes
QUALISYS NORTH AMERICA INC	\$24,700	UM	Grant-funded purchase of underwater cameras / components to be integrated into the current system to expand capabilities for tracking in the wave tank supporting offshore wind power research.
SCIENTIFIC INSTRUMENTATION SVCS INC	\$24,200	UM	Service contract for a 29-year-old Electron Microscope. Given the age of the equipment, there is only one service provider remaining who can service the equipment and maintains parts inventories. This microscope supports multiple faculty research projects and is used with students in class settings.
ECSION INC	\$24,000	UM	Grant-funded purchase of software system to support the RFP process of the Sea Grant program at UM. This system is utilized by 16 other Sea Grant programs, using the same system ensures consistency among the Sea Grant programs.
LAB FURNITURE INSTALLATIONS & SALES INC	\$23,349	UMPI	Like-for-like replacement and new additions of lab furniture for sciences and nursing labs at UMPI
SPORTS IMPORTS INC	\$23,060	USM	Like-for-like replacement of carbon-based volleyball net system for USM for which this supplier is the sole seller.
CROSS INSURANCE ARENA	\$22,600	USM	Rental fees for use of the Cross Arena in Portland for the May 2019 USM Commencement ceremony. The Cross Arena is the only enclosed venue proximate to USM that can accommodate the entire USM graduating class, guests, faculty and staff (approx. 7,000 participants).
HARVEY RVS	\$22,384	UM	Sole source purchase for restoration services for a vintage 1970 travel trailer being restored as a podcast studio and work space for the Maine Folklife Center. Initial contract was well below bidding threshold, however once repairs began and concealed damage found, the cost escalated. Funding provided by private donors and federal grants.

Supplier Name	Amount	Campus	Summary Notes
PINE TREE WASTE INC	\$22,263	UM	Purchase of self-contained compactors from the university's contracted single stream refuse disposal services provider.
WATERMARK INSIGHTS LLC	\$22,178	USM	Data tracking system used to compile faculty activities data required for accreditation of the business school for which maintenance of continuity of data is essential
SARGENT CORP	\$22,000	UM	Service provider to provide on call and emergency fabrication and repair for UM snow removal equipment. Requires the capacity to mold and bend steel to necessary specifications and size. In order to provide services during snow events, a local provider is essential and this supplier is the only Bangor-area supplier who can meet specs.
DOUBLE D'S FISHING	\$21,600	UM	Grant-funded sea vessel services for deployment and monitoring of Autonomous Underwater Vehicles for which continuity of service is essential to provide data integrity with previous two-year data acquisition. Research supports efforts to understand impacts of climate change and environmental impacts on sustainable sea-based industries.
CORWIN PRESS INC	\$21,200	USM	Externally funded keynote and education session presenter for the annual conference for the Southern Maine Partnership for educational leadership development for Pre-K-12-Higher Education professionals. Speaker was selected by the conference planning committee and conference registration revenue will pass through the university and cover the costs of the speaker.
SULLIVAN ASSOC	\$20,309	UM	Grant-funded like-for-like replacement of inline components of an existing system supporting forest products research. Direct replacement required to ensure data integrity.

Supplier Name	Amount	Campus	Summary Notes
CLN WORLDWIDE	\$20,056	UM	Shipping services for ice core samples from the only international shipping company operating out of Peru (closest port to drill site) with the freezer capabilities to maintain the frozen ice core samples for their entire trip back to UM.
UNIV OF ARIZONA	\$20,000	UM	Grant-funded stable isotope analysis of fish tissue samples in support of UM aquaculture and fishery research for which maintaining research data integrity is essential.
BZDELL SPORT PSYCHOLOGY LLC	\$20,000	UM	Sport psychology services for the UM Men's Ice Hockey program. The only provider with a practice that specializes on the specific unique needs of collegiate ice hockey programs.
ALTERISTIC INC	\$20,000	USM	Grant-funded training program to reduce violence against women for the USM campus. The university evaluated multiple research-based bystander intervention models and programs and determined that the Green Dot Program was the best overall. Supplier is the exclusive provider of this program. In addition, several partner schools in the grant (UNE, Bates) have also selected Green Dot/Alteristic.
INST OF CONTINUOUS IMPROVEMENT	\$20,000	USM	Lean-based training development and delivery to support community-based mentorship and organizational change program for LA Metro Chamber members for which the provider has a specific focus. Other potential providers assessed, none of which had the non-manufacturing-based focus and expertise needed to ensure success for the demographics of the target audiences.
CONVERGEONE INC	\$19,990	UMA	Licensing and maintenance of a virtual lab training environment as part of the UMA Cybersecurity program. Supplier is the sole provider of this proprietary platform.

Supplier Name	Amount	Campus	Summary Notes
CITY OF AUGUSTA	\$19,759	UM	Rental of the Augusta Civic Center (ACC) for the 2019 Maine Sustainability & Water Conference which draws 400 attendees from across Maine. This facility is the only location that can accommodate the event and is most centrally located.
YSI INC	\$19,691	UM	Grant-funded instrumentation for measuring water quality in the Gulf of Maine, deployed on ocean buoys. Research supports the Maine aquaculture industry and is funded through MEIF. In order to maintain long term data integrity, sensors need to match existing sensors in use over the last several years.
ONSET COMPUTER CORP	\$19,235	UM	Grant-funded purchase of submersible stream sensors and data loggers with specific technical capabilities needed for field research for the Cooperative Forestry Research Unit at UM in support of sustainable forest management practices and policies in Maine.
IDATA INC	\$19,000	UMS	Implementation and licensing of proprietary Data Cookbook platform which facilitates advanced data analysis essential to the System's Data Governance initiatives.
EXXENTRIC N AMERICA INC	\$18,645	UM	Purchase of weight training equipment that provides an eccentrically loaded muscular contraction automatically without needing manual intervention from trainers. This particular device is the only on the market that provides this self-contained capability at present.
ANDOVER COUNTRY CLUB INC	\$18,540	UM	Rental of meeting facilities and catering to host a reception for approx. 350 Massachusetts accepted students and their guests in Andover, MA in conjunction with a UM hockey game versus Merrimack College. Only available venue of acceptable size in this area proximate to Merrimack College.

Supplier Name	Amount	Campus	Summary Notes
BAUER HOCKEY INC	\$18,360	UM	Hockey goalie sticks for UM Men's Ice Hockey team - sticks are specified by athletes and coaching staff and are custom made to match specific requirements of each athlete.
CONVIRON	\$18,270	UM	MEIF grant-funded purchase of controlled environmental chamber with specific requirements needed to maintain research data integrity. Research supports agriculture in Maine including the potato industry.
KARL A PEPIN	\$18,010	UM	Consulting and engineering assistance provided to the Advanced Composites Center for a joint project with MIT using a proprietary textile bend radius tester developed by this supplier.
OCKENFELS SYNTECH GMBH	\$17,860	USM	Grant-funded purchase of sensor package for an existing gas chromatograph system to measure insect response to targeted volatile chemicals. Research is in support of control of insects responsible for vector borne diseases (e.g., Lyme, Anaplasmosis).
WINDY KNOLL FARM	\$17,000	UM	Grant-funded corn silage (feed for dairy cows) for Witter Farm at UM - only farm within area with the capacity to produce the quantity of silage needed by Witter.
EXILE SPORT FISHING INC	\$16,800	UM	Grant-funded vessel charter services for tropical tuna tagging activities related to ongoing federally funded research to support the economic benefits of improved global tuna fisheries. Tagging activities are limited to a small tropical locality (Grenada) for which other potential charters were unsuitable given the technical and logistical requirements.
SMITHSONIAN INST	\$16,637	UMF	Travel-related services and scientific immersion curriculum to the Smithsonian Tropical Research Station in Panama upon which the travel course is designed and no other facility in this region can provide. Funding is pass-through fees paid by students.

Supplier Name	Amount	Campus	Summary Notes
ALLSTATES TEXTILE MACHINERY INC.	\$16,500	UM	Grant-funded purchase of used fiber draw system for deployment in the composites lab at UM to support research to expand Maine's composites manufacturing industry. Proprietary equipment integrates with other extrusion systems in the lab.
GENEWIZ INC	\$16,500	UMPI	Grant-funded DNA Sequencing services for which data integrity and continuity is essential for research related to shifts in bird habitat and diet and its relation to climate-based effects on forest ecosystems. This particular research also includes the work of a collaboration of Maine high school students along with the university.
CAPPEX COM	\$16,500	UMS	Reorder of targeted mailing list for potential students for which the supplier has proprietary content.
MIKES & SONS	\$15,679	UMFK	Purchase of tractor for use in wooded areas as part of forestry research projects. This tractor has a much higher level of safety protection for the cab occupants as standard equipment. Other brands were considered, however bringing the cabs up to the same level of safety protection would have required aftermarket parts and would void those tractor warranties.
LM AIR TECHNOLOGY INC	\$15,644	UM	Purchase of specialized fume hood and related equipment for the Climate Change Institute lab. Nature of research precludes use of metal equipment, reducing the options to this one supplier.
YSI INC	\$15,527	UM	Grant-funded like-for-like replacement instrumentation for measuring water current, speed, direction, and temperature. These instruments will be placed on existing on ocean current monitoring buoys. No other supplier interfaces with existing buoys.

Supplier Name	Amount	Campus	Summary Notes
ZEPHYRUS SIMULATION LLC	\$15,500	UM	Purchase of medical teaching tool simulator vests which produce abnormal heart and lung sounds through a magnetic-based actuation process required by the research team. Although other suppliers provide simulation vests, none utilize the required actuation processes. Research aims to improve rural healthcare by creating more cost effective simulation-based medical training.
PORTLAND SEA DOGS	\$15,000	UMF	Rental of outfield billboard at Hadlock Field in Portland as part of UMF's targeted marketing efforts.
PINE TREE FOOD EQUIP INC	\$15,000	UM	Warranty and out of warranty repair and maintenance of Rational and Caddy branded food service equipment deployed in dining halls, 4H camps, and other university locations - both have protected territories for their dealers and this is the only local dealer.
SMARTLITE	\$14,940	UM	Advertising located at the Maine Mall as part of UM's broader marketing strategy. Since Smartlite has an exclusive contract with the Maine Mall, the university has no other options for contracting for this targeted advertising and location.
NORTHEAST LAB SVCS INC	\$14,500	UM	Continued contract for sampling and testing services for a monitored well in a legacy hazardous waste facility for which continuity is essential.
BAUER HOCKEY INC	\$14,500	UM	Hockey skates for UM Men's Ice Hockey team - skates are specified by athletes and coaching staff and are custom made to match specific requirements of each athlete.
PLEASANT RIVER LUMBER CO	\$14,477	UM	Grant-funded purchase of green wood sawdust and kiln dried wood shavings for the Witter Farm from only supplier within economically feasible distance that can provide the volume of product needed.

Supplier Name	Amount	Campus	Summary Notes
CAMPBELL SCIENTIFIC INC	\$14,371	UM	Grant-funded purchase of proprietary replacement satellite transmitters for existing sea-based weather instruments that transmit weather data to NOAA GOES system weather satellites.
MESTEX INC	\$14,329	UM	Like for like replacement of custom designed furnace and heat exchanger for the Mahaney Dome at UM.
HACH CO	\$14,277	UM	Grant-funded purchase of sample digester for aquatics-related research for the SEANET program for which the ability to integrate both technically and physically with related nutrient analysis equipment is essential to support research efficiency and integrity.
CAMP CEDAR INC	\$14,150	USM	Lodging and food for students and faculty for a field-based course in tourism. This is an expansion of a course previously offered for which coursework has been designed around the unique characteristics of the facility.
YSI INC	\$14,088	UM	Grant-funded instrumentation for measuring water quality in the Gulf of Maine, deployed on ocean buoys. Research supports the Maine aquaculture industry and is funded through MEIF funds. In order to maintain long term data integrity, sensors need to match existing sensors in use over the last three years.
WRIGHTS MEDIA LLC	\$13,800	UMA	Purchase of rights to use online badge for "US News Best Online Programs 2019" for marketing purposes - supplier has exclusive right to sell the online badge rights.
INN ON BOLTWOOD	\$13,489	UM	Rental of hotel meeting facilities to host a reception for approx. 250 Massachusetts accepted students and their guests in Amherst, MA in conjunction with a UM hockey game versus UMass. Only other venue of acceptable size in this area is the UMass conference facility which would be an inappropriate space to host students accepted to UMaine.

Supplier Name	Amount	Campus	Summary Notes
TRANE	\$13,284	USM	Like for like replacement of proprietary compressor in cooling system for Masterton Hall at USM.
SWANK MOTION PICTURES INC	\$13,000	UMA	Purchase of licensing rights for projection of movies on campus for student entertainment. Studios have granted exclusive license distribution to this supplier.
NORTHERN FOREST CONSERVATION SVCS LLC	\$13,000	UM	Grant-funded consulting services for community outreach efforts statewide in support of ongoing education efforts on state and municipal regulations established to protect vernal pools across Maine. Supplier developed initial work over six years as a student at UM, this engagement continues the work.
CITY OF AUGUSTA	\$13,000	USM	Rental of the Augusta Civic Center for the Positive Behavioral Interventions and Supports (PBIS) Conference which provides professional development for K12 special needs teachers - only location centrally located that could accommodate the event.
JJD LOBSTER INC	\$12,840	UM	Grant-funded vessel services for which the supplier is a research collaborator on the lobster fishery research funded under the grant, thus ensuring data continuity and research efficacy
WOODS HOLE OCEANOGRAPHIC INSTITUTION	\$12,553	UM	Grant-funded purchase of mooring wire/data cables used to secure ocean buoys in the Gulf of Maine essential to the university's ocean observation system for the National Weather Service. Wires from the only other available supplier were inadequate and breakage resulted in the loss of valuable equipment.
SWANK MOTION PICTURES INC	\$12,500	UM	Purchase of licensing rights for projection of movies on campus for student entertainment. Studios have granted exclusive license distribution to this supplier.

Supplier Name	Amount	Campus	Summary Notes
ACADIA HARVEST INC	\$12,500	UM	Grant-funded purchase of Yellow Tail Amberjack fish brood stock for the Cooperative Center for Aquaculture Research needed to continue current research into new Maine-based aquaculture programs and markets.
TURNER DESIGNS INC	\$12,464	UM	Purchase of multi-wavelength chlorophyll sensor used in studying lake sediment algae content for climate change research for which the alternative of single wavelength sensors would increase cost and decrease efficiency.
SEA BIRD ELECTRONICS INC	\$12,367	UM	Grant-funded maintenance and upgrade of buoys and related equipment from the original manufacturer.
TOBII DYNAVOX	\$12,344	UM	Purchase of adaptive and augmentative communications hardware and software including text to speech capabilities in support of research and clinical settings for persons with communications disorders for which the selected equipment is required to ensure research efficacy.
BRIGGS EQUIP SALES INC	\$12,022	USM	Like-for-like replacement of proprietary cooling coil in the cooling system for the Wishcamper Center at USM.
LUCILLE JONES	\$12,000	UMPI	Grant-funded compliance review services for three pre-college enrollment and retention programs under federal grants for which consistency is maintained by utilizing the same service provider used for these programs at UM.
BIOPAC SYSTEMS INC	\$11,990	UM	Like-for-like replacement of failed existing bio-medical equipment needed to maintain research data integrity.
FONDRIEST ENVIRONMENTAL INC	\$11,720	UM	Grant-funded purchase of underwater test equipment deployment system to support UM Climate Change studies into the effect of climate change on Maine aquaculture and fisheries.

Supplier Name	Amount	Campus	Summary Notes
QIAGEN INC	\$11,543	UM	Grant-funded purchase of tissue analyzer to match existing deployed equipment thus maintaining research data integrity and results.
KOVACS ICE DRILLING EQUIP	\$11,533	UM	Grant-funded purchase of ice drilling equipment to support the university's climate change research. Drilling equipment selected to match existing equipment in use (2 other sets) which is essential to ensure consistency and integrity of research data gleaned from the ice cores drilled.
SUGARLOAF MTN CORP	\$11,086	UMF	Continued use of event facility for cultivation and development of alumni and school guidance counselors to drive enrollment at UMF. Facility has been used for several years previous and is the most central to UMF, thus reducing overall costs for all participants.
ECHOVIEW	\$11,000	UM	Grant-funded upgrade to proprietary data processing software system utilized in research that supports Maine and New England fisheries industries.
CURTIS JASON BROWN JR	\$11,000	UM	Grant-funded vessel services for which the supplier is a research collaborator on the research funded under the grant, thus ensuring data continuity and research efficacy.
DERAY MCKESSON	\$11,000	USM	External gift-funded contract for several speaking events related to the USM Convocation series.
ADVANCE SECURITY PRODUCTS	\$10,946	UMFK	Purchase of remote camera equipment with specific thermal and motion sensing characteristics capable of tracking and recording movement of wood turtles as part of ongoing research into the effect of environmental and climate changes on forest-based vertebrates. No other manufacturer could be found with equipment sufficiently sensitive to detect wood turtles.

Supplier Name	Amount	Campus	Summary Notes
MICASENSE INC	\$10,549	UMPI	Grant-funded sensor package for unmanned aerial vehicle for which this supplier solely matches physical and technical requirements of the research in support of improvement in forestry and agriculture
LOTEK WIRELESS	\$10,500	UM	Grant-funded equipment for fish research. Radio telemetry tags and receivers for fish tagging. Tags, transmitters and receivers are designed to work together. This purchase is compatible with previously purchased equipment and tag inventory.
CURTIS JASON BROWN JR	\$10,440	UM	Grant-funded vessel services for which the supplier is a research collaborator on the research funded under the grant, thus ensuring data continuity and research efficacy.
AV TECHNIK LLC	\$10,300	UMA	Continued use of AV service provider for UMA commencement for which providing continuity of service has been essential.
BRITISH ANTARCTIC SURVEY	\$10,080	UM	Grant-funded purchase of radar system for measuring glacial changes as part of broader climate change research at UM for which selection of this supplier is essential to align with and provide data integrity with systems used by research partners.
NORTEK USA LLC	\$10,070	UM	Grant-funded purchase of acoustic velocimeter for which other options do not provide sufficient sampling resolution for the research - ocean-based research supporting multiple ocean-based industries.
BRIGGS EQUIP SALES INC	\$10,069	USM	Like for like replacement of proprietary cooling coil in the cooling system for the Wishcamper Center at USM.

NAMED IN GRANT PURCHASES

Goods and/or services specifically named in grant awards. When these goods and/or services are available from multiple sources the competitive procurement standard applies unless the grant

requires, was contingent upon, or was otherwise awarded with the explicit expectation that a specific good or service would be procured to carry out the award.

Supplier Name	Amount	Campus
SYNTIRO	\$1,870,841	UMF
MICHIGAN STATE UNIV	\$694,492	UM
UNIV OF ILLINOIS	\$495,140	UM
COASTAL ENTERPRISES INC	\$421,250	USM
UNIV OF MASSACHUSETTS	\$411,870	USM
UNIV OF VERMONT & STATE AGRIC COLLEGE	\$323,122	UM
UNIV OF MASSACHUSETTS	\$295,817	UM
UNIV OF RHODE ISLAND	\$252,545	UM
DOWNEAST INSTITUTE	\$250,000	UMM
UNIV OF CONNECTICUT	\$250,000	UM
WET LABS INC	\$222,833	UM
ADVANCED EDUCL TECHNOLOGIES LLC	\$207,000	UM
DOWNEAST INSTITUTE	\$190,144	UMM
CJP HEALTH PA	\$187,500	UMF
PUBLIC CATALYST GRP CORP	\$152,000	USM
AVCOG	\$143,000	USM
GULF OF MAINE RESEARCH INST	\$138,943	UM
BOWDOIN COLLEGE	\$136,173	UM
MT BLUE REGIONAL SCHOOL DISTRICT	\$128,409	UMF
PARR INSTRUMENT CO	\$117,255	UM
GULF OF MAINE RESEARCH INST	\$112,711	UM
WESTERN NEW ENGLAND UNIV	\$105,000	UM
UNIV OF UTAH	\$98,045	UM
CORNELL UNIV	\$97,137	UM
DOWNEAST INSTITUTE	\$95,141	UMM
GULF OF MAINE RESEARCH INST	\$82,159	UM
STATE UNIV OF NEW YORK	\$77,400	UM
CORNELL UNIV	\$76,609	UM
MAINE AQUACULTURE INNOVATION CTR	\$76,000	UM
FREEPORT METRICS INC	\$75,000	UM

Supplier Name	Amount	Campus
UNIV SYST OF NEW HAMPSHIRE	\$74,383	UM
JILL WARD	\$72,000	USM
MOCON INC	\$69,260	UM
NORTHERN MAINE DEVELOPMENT COMMISSION	\$67,000	USM
MSAD 44	\$65,000	UMF
MSAD 58	\$65,000	UMF
RSU 74	\$65,000	UMF
GENERATION US	\$62,500	USM
NEW POWER VENTURES LLC	\$57,780	UM
RSU 10	\$55,500	UMF
JILL WARD	\$55,000	USM
FAMILY & CMNTY MEDIATION	\$54,500	UM
BOWDOIN COLLEGE	\$54,441	UM
AOS 96 MACHIAS SCHOOL DEPT	\$52,500	UMF
MSAD 3	\$52,500	UMF
MT BLUE REGIONAL SCHOOL DISTRICT	\$52,500	UMF
RSU 39	\$52,500	UMF
RSU 4	\$52,500	UMF
RSU 73	\$52,500	UMF
NORTHEAST ENERGY EFFICIENCY SOLUTIONS	\$51,436	UM
ENVIRONMENTAL DEFENSE FUND	\$50,000	UM
NATL CONSORTIUM FOR JUSTICE INFO & STATS	\$50,000	USM
GARY F WOLCOTT	\$49,980	UMF
HEALTH ECONOMY LLC	\$49,000	UMF
PREUSSER RESEARCH GRP INC	\$45,250	USM
GOODWILL INDUSTRIES OF NNE	\$42,750	USM
GULF OF MAINE RESEARCH INST	\$41,366	UM
MSAD 37	\$40,000	UMF
ERIC W WELCH	\$40,000	UM
JULIA MELKERS	\$40,000	UM
NEW MEXICO STATE UNIV	\$40,000	UM
TA INSTRUMENTS WATERS LLC	\$35,500	UM

Supplier Name	Amount	Campus
MAINE INDIAN EDUC	\$35,000	UMF
MSAD 20	\$35,000	UMF
MSAD 27	\$35,000	UMF
MSAD 37	\$35,000	UMF
MSAD 44	\$35,000	UMF
MSAD 58	\$35,000	UMF
MSAD 59	\$35,000	UMF
MSAD 70	\$35,000	UMF
RSU 38	\$35,000	UMF
RSU 56	\$35,000	UMF
RSU 74	\$35,000	UMF
ALPHA ONE	\$35,000	UM
ALPHA ONE	\$35,000	UM
WATSON STRATEGY GRP	\$34,000	UM
UNIV OF WASHINGTON	\$33,523	UM
MAINE MARITIME ACADEMY	\$33,363	UMS
MT DESERT ISLAND BIOLOGICAL LAB	\$32,021	UM
PREUSSER RESEARCH GRP INC	\$31,700	USM
THE WASHINGTON UNIV IN ST LOUIS	\$31,453	UM
BERGERABAM INC	\$31,329	UM
MICHIGAN STATE UNIV	\$31,156	UM
FRIENDS OF CASCO BAY	\$30,667	USM
NEW ENGLAND AQUARIUM	\$29,453	UM
KA HAVELAAR & ZN BV	\$27,500	UM
UNIV SYST OF NEW HAMPSHIRE	\$27,500	USM
DUKE UNIV	\$27,065	UM
UNIV OF CALIFORNIA SAN DIEGO	\$26,364	UM
MARKET DECISIONS LLC	\$25,676	UM
PENQUIS CAP INC	\$25,000	UMA
CORNVILLE REGIONAL CHARTER SCHOOL	\$25,000	UMF
MAINE ACADEMY OF NATURAL SCIENCES	\$25,000	UMF
MSAD 13	\$25,000	UMF

Supplier Name	Amount	Campus
MSAD 14	\$25,000	UMF
MSAD 33	\$25,000	UMF
RSU 78	\$25,000	UMF
TOWN OF BAILEYVILLE SCHOOL DEPT	\$25,000	UMF
TRICIA MOSHER CONSULTING	\$25,000	USM
NATIONAL RENEWABLE ENERGY LAB	\$24,924	UM
SCANTEK INC	\$24,341	UM
FARO TECHNOLOGIES INC	\$23,600	UM
MANOMET CTR FOR CONSERVATION SCIENCES	\$23,400	USM
KAREN L GROAT	\$23,200	UM
POULOS ENVIRONMENTAL CONSULTING	\$20,260	UM
CHEMINSTRUMENTS INC	\$20,045	UM
GALLUP INC	\$20,004	USM
CHALLENGER LEARNING CTR OF MAINE	\$20,000	UM
HURRICANE ISLAND FNDTN	\$20,000	UM
MCGREGOR PROPERTIES	\$20,000	UM
ELLEN S GIBSON	\$20,000	UM
THERMAL PRODUCT SOLUTIONS	\$19,571	UM
MAINE MARITIME ACADEMY	\$19,263	UMS
WINDOWDRESSERS INC	\$18,960	USM
COMMUNITY CARE	\$18,750	USM
NATURAL RESOURCES DEFENSE CNCL INC	\$17,500	UM
KENNETH J VOSS	\$17,000	UM
CAMPUS COMPACT	\$16,918	USM
COLLIN ROESLER CULBERTSON	\$15,131	UM
KULT KRESS LLC	\$15,046	UM
ADAPT ABLE LIVING LLC	\$15,000	UM
KELLEY SMITH	\$15,000	UM
MICHIGAN STATE UNIV	\$14,289	UM
GREAT SCHOOLS PARTNERSHIP	\$14,000	UMPI
REGENT INSTRUMENTS INC	\$13,138	UM
KA HAVELAAR & ZN BV	\$13,000	UM

Supplier Name	Amount	Campus
PRESUMPCOT REGIONAL LAND TRUST INC	\$12,100	USM
MAINE SHELLFISH R & D	\$12,000	UM
JFF	\$11,563	USM
MARINE BIOLOGICAL LAB	\$11,545	UM
FIBRE GEN LTD	\$11,400	UM
TYLER TECHNOLOGIES INC	\$11,200	USM
US DEPT OF AGRICULTURE	\$11,172	UM
CAMP CAPELLA INC	\$11,000	UM
CAMP CAPELLA INC	\$11,000	UM
WOODS HOLE OCEANOGRAPHIC INSTITUTION	\$10,800	UM
CARLANN M WELCH PSYD LLC	\$10,724	USM
MAINE AQUACULTURE INNOVATION CTR	\$10,344	UM

EMERGENCY PURCHASES

These may be made only to meet true emergencies arising from unforeseeable causes. Emergency purchases should be made on the basis of competitive procurement and approved in advance whenever practicable.

Supplier Name	Amount	Campus	Summary Notes
ASCEND LEARNING HOLDINGS LLC	\$223,814	UMFK	Technology-based assessment, testing, and certification solution for the nursing program. Attempts to roll these products under existing single contract failed due to supplier change in structure. ATI, a division of Ascend Learning, does not enter into contracts; only online click-through agreements, which UMS does not support necessitating further investigation and negotiation with this supplier. Products needed for continuity for nursing students and their academic experience. A long-term plan for these services will be investigated and determined in the coming year and will be based primarily on program/student needs.
JO D SAFFEIR	\$67,600	USM	Program Director services for the USM Food Studies Program following unsuccessful national search. This contract ensures continuity of services as the program determines if adequate funding can be found to continue the program (if so a new search will be conducted).

Supplier Name	Amount	Campus	Summary Notes
IRON BRIDGE RESOURCES	\$54,830	UMA	Temporary services to fill gap created by the unanticipated medical leave for a key student financial aid administrator at UMA. Providing continuity of service and leadership for that position is critical to ensuring a seamless experience for students and avoiding any negative impact on enrollment during the critical summer/early fall time frame.
ON CALL INTRNTL LLC	\$51,717	UMS	International travel insurance policy to cover employees and students traveling internationally. A risk management audit revealed that there was a risk of separation of university employees from students in the event of the need to evacuate travelers. As such, this policy unifies all international travelers under one umbrella, thus removing the risk of separation. Because of the urgency to cover then upcoming travelers, no time was available to bid. A formal RFP will be conducted.
CREATIVE PRINT SVCS	\$43,901	UM	Printing of posters to mail to prospective students as part of intensive marketing efforts for which a previously competitively bid contract was not extended. Timing for the campaign was critical and insufficient time for bidding remained.
SHAW BROS CONSTRUCTION INC	\$27,199	USM	Underground conduit services for IT at USM under Bedford St. City of Portland contracted with Show Bros to handle storm water separation on Bedford St, after which there would be a five-year moratorium on any new disturbance of the pavement. UMS contracted with Shaw to handle the conduit work concurrent with the separation project to take advantage of timing and economies of scale.
PATTERSON DENTAL SUPPLY INC	\$26,720	UMA	Like-for-like replacement needed when equipment failed. Needs to integrate with existing equipment and loss of use of the equipment negatively impacts the program, thus immediate replacement needed.
CAPP INC	\$25,890	UM	Replacement of failed air conditioning compressor at UM by the only supplier who could handle the task immediately.
HCDT INSURANCE AGENCY	\$25,750	UMS	Trustee-initiated risk assessment revealed unacceptable risk existed in the event of a mass casualty event. Coverage to mitigate that risk was obtained and could not wait for our competitively-contracted broker to become appointed to buy this particular coverage (a regulatory process). Subsequent years will be procured by the UMS contracted broker.
COURTYARD OGDEN	\$25,605	UM	Hotel rooms for UM Football team for FCS playoff game for which the university had no control nor choice of hotel selection - per NCAA procedures, the host team selects the hotel for visiting teams for playoff games.

Supplier Name	Amount	Campus	Summary Notes
MONSIDO INC	\$25,000	UMS	Web accessibility compliance system needed to meet regulatory requirements and avoid federal fines. RFP process was held but ended in no award. One year contract while a new RFP is conducted.
ATLASSIAN PTY LTD	\$22,094	UMS	License renewal for Information Technologies help desk tracking software which although originally operated at a small scale has since grown to exceed the bidding limit. An RFP team is currently preparing a more comprehensive solicitation so that subsequent licensing will be via a competitive process.
BARBRI INC	\$21,500	USM	Purchase of online Uniform Bar Exam preparation course service for Maine Law to help students prepare for the exam. Efforts are ongoing to secure funding for an instructor to teach this class, however in the meantime, the school needs to support current students preparing for the exam.
ON CALL INTRNTL LLC	\$19,365	UMS	International travel insurance policy to cover employees and students traveling internationally. A risk management audit revealed that there was a risk of separation of university employees from students in the event of the need to evacuate travelers. As such, this policy unifies all international travelers under one umbrella, thus removing the risk of separation. Because of the urgency to cover then upcoming travelers, no time was available to bid. A formal RFP will be conducted.
NOR LAKE SCIENTIFIC	\$18,597	UM	Emergency purchase to replace controller system for specialized cooling/freezer system that stores ice cores that include samples dating back over 10,000 years. Since the failure of this system would result in irreplaceable cores melting, an emergency waiver was granted.
BIGELOW LAB FOR OCEAN SCIENCE	\$17,588	UM	Grant-funded lab analysis services for which demand has far exceeded anticipated need. Lab services include analysis of sea scallops as part of ongoing efforts to increase and improve the Maine sea scallop industry.
QUALTRICS	\$16,800	UM	Research tool used by faculty, staff and students and essential to support these areas. Users are trained on using the tools so for continuity purposes will continue until bidding process can be held.
WATERMARK INSIGHTS LLC	\$16,800	UMF	Several providers of student assessment and performance tracking technologies have merged into a new company. Overlapping contract end dates have been extended so all Contracts now co-terminate in 2022 and will be rebid.

Supplier Name	Amount	Campus	Summary Notes
ON CALL INTRNTL LLC	\$16,602	UMS	International travel insurance policy to cover employees and students traveling internationally. A risk management audit revealed that there was a risk of separation of university employees from students in the event of the need to evacuate travelers. As such, this policy unifies all international travelers under one umbrella, thus removing the risk of separation. Because of the urgency to cover then upcoming travelers, no time was available to bid. A formal RFP will be conducted.
ALLEN INSURANCE & FINANCIAL	\$15,950	UMS	Purchase of general and professional liability insurance to cover third party and student participants in diving activity. Need was not anticipated, but required for work related to a research grant. Subsequent years will be sourced via a competitive process.
OPTIMATION TECHNOLOGY INC	\$15,196	UM	Grant-funded process control system installation services for which the actual cost exceeded the bidding limit and for which the project would have incurred delays and additional costs if installation was delayed.
NORTHEAST RESTAURANT EQUIP INC	\$15,000	UM	UM Dining Services utilizes several service providers to perform routine maintenance on equipment and actual demand has exceeded expected needs for this one provider.
MULTIVIEW INC	\$15,000	UM	Enrollment marketing services for UM for which the specific need was unanticipated, but for which significant recruitment yield would be possible. Given timing of active recruitment, bidding would have meant missing the recruitment window.
BARBRI INC	\$15,000	USM	Purchase of online Uniform Bar Exam preparation course service for Maine Law to help students prepare for the exam. Efforts are ongoing to secure funding for an instructor to teach this class, however in the meantime, the school needs to support current students preparing for the exam.
FULL MOON COMM INC	\$14,950	USM	Copywriting services for USM enrollment marketing - significant increase in activity related to targeted marketing exceeded the need that could be met with current service providers, so additional resources were needed immediately.
BRODERICK CONSTRUCTION	\$13,452	UMF	Building renovations underway revealed unanticipated need to remediate structural deficiencies to ensure the project remained on track and to ensure safety of building occupants and visitors. Although multiple contractors were contacted, only this one was available to perform the work within the timeline required.

Supplier Name	Amount	Campus	Summary Notes
WATERMARK INSIGHTS LLC	\$13,199	UM	Several providers of student assessment and performance tracking technologies have merged into a new company. Overlapping contract end dates have been extended so all Contracts now co-terminate in 2022 and will be rebid.
WATERMARK INSIGHTS LLC	\$13,199	UM	Several providers of student assessment and performance tracking technologies have merged into a new company. Overlapping contract end dates have been extended so all Contracts now co-terminate in 2022 and will be rebid.
GENERAL FITNESS SVCS INC	\$12,700	USM	Contract for routine service and maintenance of fitness center exercise equipment for which costs in excess of the bidding threshold were not anticipated and continued maintenance essential to ensure user safety and machine availability.
BELL THE CAT INC	\$12,500	UM	Catering services for the UM Hutchinson Center in Belfast. The center has several small contracts for catering services, however an unanticipated increase in meetings bookings necessitated increasing the current contract. Most costs pass through to internal and external parties using the center for meetings.
MASSACHUSETTS INSTITUTE OF TECHNOLOGY	\$12,500	USM	Grant-funded fees for development of new Game Design curriculum for USM. Although not specifically named in the grant, MIT is a collaborator and was able to provide access to its already deployed curriculum thus reducing time and costs needed to deploy this new curriculum.
WHITED TRUCK CTR	\$12,384	UMPI	Unanticipated costs associated with damage to an athletics utility bus for UMPI for which the extent of damage was not apparent, but for which the university was contractually obligated to repair per lease agreement.
GEOCAMP ICELAND	\$12,282	USM	Comprehensive study abroad services for academic trip to Iceland. Insufficient time existed to conduct competitive bidding and meet timeline committed to students. Students pay for the trip and costs pass through.
BANGOR AIR INC	\$12,228	UM	Emergency repairs to air conditioning test chambers for the Advanced Composites Center at UM for which any delay in securing repairs would have impacted revenue from external parties who use the chambers for research.
KEVIN BOUCHER PAINTING	\$12,085	UMA	Painting services that were expanded to take advantage of contractor being on site during student break, thus minimizing negative impact on students.

Supplier Name	Amount	Campus	Summary Notes
DR STRUCK LANDSCAPE NURSERY	\$12,000	UMA	Graduation activities and a major meeting on campus combined with bad weather in early May required quick deployment of landscaping services to augment campus grounds staff to ensure the campus was prepared for these events.
ADMIRAL FIRE & SAFETY	\$12,000	USM	Expansion of existing purchase order for police uniforms. Unanticipated additional staff hires has created higher than usual demand for uniform purchases.
ASCEND LEARNING HOLDINGS LLC	\$12,000	USM	Technology-based assessment, testing and certification solution for the nursing program. Attempts to roll these products under existing single contract failed due to supplier change in structure. ATI, a division of Ascend Learning, does not enter into contracts, only online click-through agreements which UMS does not support necessitating further investigation and negotiation with this supplier. Products needed for continuity for nursing students and their academic experience. A long-term plan for these services will be investigated and determined in the coming year and will be based primarily on program/student needs.
MB MECHANICAL CONTRACTORS INC	\$11,990	USM	Unanticipated additional repairs to boiler in central heating plant at USM caused the contract to exceed the bidding threshold and since work was being performed during the heating season, time was of the essence.
MODERN PEST SVCS INC	\$11,178	UMA	Extermination services for the UMA campus for which a significant increase in the rodent population in campus buildings could not be anticipated, but for which action needed to be taken immediately for safety and health of the building occupants.
MARINE ENTERPRISES INTRNTL INC	\$10,738	UM	Grant-funded purchase of sea salt for aquaculture research installation housing fish. Volume of work from the local sea products industry has exceeded anticipate need and the price of salt has risen such that the volume of salt needed to maintain current projects necessitated an immediate bulk purchase.
BERNATCHE AUTO BODY INC	\$10,623	UMS	Auto body services to repair vehicle involved in accident. Emergency waiver used since total repairs exceeding \$10,000 were unknown and vehicle had to be towed to a shop before the estimate could be made. Vehicle was towed to a shop previously used with success.
JARR MGMT INC	\$10,600	UMA	Emergency replacement of 2nd story egress stairs at UMA identified by city code enforcement for which replacement was needed to ensure safety should the stairs be needed in a building evacuation.

Supplier Name	Amount	Campus	Summary Notes
MAINE OXY	\$10,473	USM	Unanticipated cost increases in the worldwide price of liquid nitrogen needed for research facilities at USM.
COLLINS SPORTS MEDICINE	\$10,011	UM	Routine orders of athletic medical supplies for which the need exceeded the original expected amount which was below the bidding threshold and the additional need unanticipated.

LIBRARY COLLECTIONS

Purchase of materials for addition to a library collection including costs of books, catalogs, periodicals, audiovisual and electronic media, and other publications. For instance, the first transaction listed with Elsevier is for an extensive collection of online academic journals, books, and other content made available across the UMS.

Supplier Name	Amount	Campus
ELSEVIER INC	\$2,127,641	UM
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$150,632	UM
OCLC ONLINE COMPUTER LIBRARY CTR INC	\$73,800	UM
SPRINGER CUSTOMER SVC CTR LLC	\$71,536	UM
OCLC ONLINE COMPUTER LIBRARY CTR INC	\$67,184	UM
OCLC ONLINE COMPUTER LIBRARY CTR INC	\$65,000	USM
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$61,069	UM
ELSEVIER INC	\$43,827	UM
AMAZON COM LLC	\$32,000	UM
MARTAYAN LAN & AUGUSTYN INC	\$29,038	USM
JSTOR	\$28,014	USM
OCLC ONLINE COMPUTER LIBRARY CTR INC	\$25,361	UM
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$22,600	UMFK
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$21,766	UMM
WALDO	\$19,017	UM
ELSEVIER INC	\$18,599	UMFK
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$17,766	UM
JSTOR	\$15,318	UM
OVID TECHNOLOGIES INC	\$14,255	UMA
EBSCO INFO SVCS EBSCO SUBSCRIP SVCS	\$12,500	UM

Supplier Name	Amount	Campus
IBISWORLD INC	\$11,902	USM
CENTER FOR RESEARCH LIBRARIES	\$10,805	UM

PURCHASES FOR RESALE

Purchase of textbooks, course related materials, food, beverages and other items purchased for resale.

Supplier Name	Amount	Campus
REGENT PUBLISHING SVCS LTD	\$13,440	UM

FY19 CONTRIBUTIONS GREATER THAN \$1,000

Payee	Amount	Description
UNIV OF SOUTHERN MAINE FNDTN	\$385,000	Donor-directed transfers to the Promise Scholarship Endowed Fund (\$285,000) and the Timothy B. Hussey Leadership Institute Endowed Fund (\$100,000)
EAB GLOBAL INC	\$177,500	Annual membership in the Academic Affairs, Student Affairs, Continuing Education & Business Affairs Forum to the Advisory Board; Annual membership in the Academic Performance Solutions/Academic Resource Benchmarking Forum.
NEW ENGLAND COMMISSION OF HIGH	\$123,550	Annual membership dues for the New England Commission of Higher Education, the accreditation organization for all seven UMS campuses.
AMERICA EAST CONFERENCE	\$75,000	Annual membership in the America East Athletic Conference for UM; Annual Membership in the America East Academic Consortium
ASSN OF PUBLIC & LAND GRANT UN	\$64,977	Annual membership dues for the Association of Public & Land Grant Universities for UM
HOCKEY EAST ASSN	\$60,000	Annual Membership in the Hockey East Athletic Conference for UM

Payee	Amount	Description
NEW ENGLAND OCEAN CLUSTER	\$60,000	Grant-funded sponsorship of the New England Ocean Cluster for education opportunities and program development to foster collaborative relationships among marine-focused businesses and entrepreneurs with the aim of generating environmentally and economically sustainable ideas.
MAINE ECONOMIC GROWTH COALITION	\$54,500	Contribution for UMS, UMA and UMF for campaign in support of bond funding
EDUCATE MAINE	\$51,750	Sponsorship of Educate Maine's Project Login (\$50,000); Sponsorship of Maine Teacher of the Year Gala (\$1,750)
COUNCIL ON ACCRED FOR CHILD &	\$41,950	Annual membership in the Council on Social Work Education for UM and UMPI
NORTH ATLANTIC CONFERENCE	\$35,700	Annual membership dues for the North Atlantic (athletic) Conference for UMF and UMPI
WOMENS HOCKEY EAST ASSN	\$34,735	Annual membership dues for the Women's Hockey East Association for UM
Maine Campus Compact	\$30,550	Grant-funded Maine Campus Compact membership dues
COLONIAL ATHLETIC ASSN FOOTBALL	\$30,000	Annual membership dues for the Colonial Athletic Association for the UM Football program
UNIV OF RHODE ISLAND	\$25,341	Grant-funded Annual Membership dues for the Northeastern Regional Association of State Agricultural Experiment Station Directors operated by University of Rhode Island
EDUCAUSE INC	\$23,016	Annual Membership dues in EDUCAUSE professional association for IT for all UMS campuses
LITTLE EAST CONFERENCE	\$23,000	Annual athletic conference dues for the Little East Conference for USM Athletics
NEREN INC	\$22,642	Annual Membership dues for the North East Research and Education Network; Fees for Internet network services for Internet2 provided by NEREN for NetworkMaine at UMS
COUNCIL FOR OPPORTUNITY IN EDU	\$20,150	Grant-funded annual membership dues for the Council for Opportunity in Education for UMF, UMFk, UMPI, USM

Payee	Amount	Description
NC SARA	\$20,000	Annual membership for the National Council for State Authorization Reciprocity Agreements for all UMS campuses
INTERNET2	\$19,470	Annual membership fees for the Internet2 (an association of over 500 higher education and research institutes who share a coast to coast high speed dedicated research information network)
QUILT INC	\$17,500	Annual membership dues for Quilt, a national coalition of non-profit U.S. regional research and education networks representing 40 networks across the country, for NetworkMaine at UMS
MAINE DISCOVERY MUSEUM	\$15,000	Sponsorship of the 2019 Maine Science Festival for UM and UMS
UNITED STATES COLLEGIATE ATHLETIC ASSN	\$15,000	Annual membership dues for the United States Collegiate Athletic Association for UMFK, UMM, and UMPI Athletics
AMERICAN ASSN OF STATE COLLEGE	\$14,493	Annual membership dues for the American Association of State Colleges; Annual Membership in Grants Resource Center
AMER ASSN OF COLLEGES OF NURSI	\$13,489	Annual membership in the American Association of Colleges of Nursing for UMFK and USM
ASSOCIATION OF TITLE IX ADMINISTRATORS	\$12,499	Annual membership in the Association of Title IX Administrators
NORTHEAST EXTENSION DIRECTORS	\$12,138	Membership and cost share for the operation of the Northeast Extension Directors Association
STATE HIGHER EDUC EXECUTIVE OFFICERS	\$11,987	Annual membership in the State Higher Education Executive Officers association
CAMPUS COMPACT FOR NH	\$11,832	Grant-funded AmeriCorps VISTA Program cost share contribution
AMERICAN ASSN COLLEGES FOR TEA	\$11,425	Annual membership to the American Association of Colleges for Teacher Education for UM and UMF
NATIONAL ASSN STUDENT FINANC A	\$11,385	Annual membership dues for the National Association of Student Financial Aid Administrators for UMF, UMFK, UMPI, UM
ASSOC OF AMERICAN COLLEGES & UNIV	\$11,265	Annual membership dues to the Association of American Colleges and Universities

Payee	Amount	Description
EXTENSION FNDTN	\$10,885	Annual membership at All Access level for the Extension Foundation for UM Cooperative Extension
COUNCIL OF GRADUATE SCHOOLS	\$10,846	Annual membership dues for the Council of Graduate Schools for UM and USM
COMMON APPLICATION INC	\$10,044	Annual membership dues for the Common Application (allows perspective students to use a common application supported by over 750 institutions)
COUNCIL OF PUBLIC LIBERAL ARTS	\$9,500	Annual membership dues for the Council of Public Liberal Arts Colleges for UMF
COUNCIL ON SOCIAL WORK EDUC	\$9,181	Annual membership dues for the Council on Social Work Education for UM, UMPI, USM
NACUBO	\$9,098	Annual membership dues for the National Association of College and University Business Officers
MAINE STATE CHAMBER OF COMMERC	\$8,625	Annual membership dues for Maine State Chamber of Commerce for UMS and USM; Sponsorship of student table and corporate sponsorship at Maine State Chamber Annual meeting for UM; sponsorship of legislative Strictly Social event
UNIV PROFESSIONAL & CONTINUING EDUC ASSN	\$8,500	Membership for the University Professional and Continuing Education Association
ASSN OF COLLEGIATE SCHOOLS OF	\$8,353	Annual membership dues to the Association to Advance Collegiate Schools of Business
NAIA	\$8,100	Annual membership dues for the National Association of Intercollegiate Athletics for UMFK Athletics
BATES COLLEGE	\$8,050	Grant-funded Maine Campus Compact Annual Membership dues; AmeriCorps VISTA Program cost share contribution
NATL COLLEGIATE ATHLETIC ASSN	\$7,800	Annual membership dues for the National Collegiate Athletic Association for UMF, UM, UMPI, USM
CAMPUS COMPACT	\$7,712	Grant-funded National Campus Compact membership dues

Payee	Amount	Description
WICHE	\$7,650	Annual membership dues for the Western Interstate Commission for Higher Education for their State Authorization Reciprocity Agreement programs
MAINE & CO	\$7,500	Grant-funded Corporate level sponsorship of Maine & Company for UMS and UM
ASSOCIATION OF UNIV CTRS ON DI	\$6,765	Annual membership dues for the Association of University Centers on Disabilities
RSU 12	\$6,430	Annual membership in the Maine Cohort for Customized Learning coalition (RSU 12 acts as fiscal agent) on behalf of the Northern Maine Education Collaborative (UMPI acts as fiscal agent)
ASSOCIATION OF ASSISTIVE TECH	\$6,001	Grant-funded annual membership dues for the Association of Assistive Technology Act Programs for UMA
PORTLAND REGIONAL CHAMBER	\$5,955	Annual membership dues for the Portland Regional Chamber for USM
AMERICAN COUNCIL ON EDUCATION	\$5,912	Annual membership dues for the American Council on Education for USM
MANOMET CTR FOR CONSERVATION S	\$5,857	Sponsorship of Exploring Community-based Collaborations research project
MAINE DEVELOPMENT FNDTN	\$5,750	Annual membership dues for Maine Development Foundation for UMA, UMF, USM and UM; Sponsorship of Leadership Maine
BANGOR AREA STORM WATER GRP	\$5,600	Annual membership in the Bangor Area Storm Water Group for UM and UMA. The group's mission is to use public education and sound science to improve regional water quality through collaborative storm water management in the Greater Bangor Urbanized Areas.
AMERICAN SCTY FOR ENGINEERING	\$5,550	Annual membership dues for the American Society for Engineering Education
BANGOR PUBLISHING CO	\$5,520	Digital Leader level sponsorship and Business Gold level sponsorship with association digital display ads in the Fiddlehead Focus online media outlet in Fort Kent for UMFK
SEA GRANT ASSN	\$5,500	Grant-funded membership for the Sea Grant Association

Payee	Amount	Description
GIRAFFE EVENTS LLC	\$5,450	Grant-funded sponsorship of the 2019 New England Made Giftware & Specialty Food Show by the Maine Small Business Development Center at USM
BANGOR REGION CHAMBER OF COMME	\$5,213	Annual membership dues for the Bangor Region Chamber of Commerce; Sponsorship of the Catherine Lebowitz Award
AACRAO	\$5,035	Annual membership dues to the American Association of Collegiate Registrars and Admissions Officers
ALLIANCE SPORT MARKETING LLC	\$5,000	Sponsorship for the Maine Principal's Association Spring 2019 conference for UM
BIGELOW LAB FOR OCEAN SCIENCE	\$5,000	Grant-funded sponsorship of program development funding for the "Growth and Physiology of Early Stage Crustaceans" research initiative from Sea Grant program grant funds
CITI PROGRAM A DIVISION OF BRA	\$5,000	Annual subscription for the CITI Program for research ethics and compliance training
MAINE MILITARY & CMNTY NETWORK	\$5,000	Sponsorship of the Maine Military & Community Network annual statewide conference in July 2018
SAINT JOSEPHS COLLEGE	\$5,000	Sponsorship of the Alternative Lobster Bait Attractant Testing research project
DOWNEAST INSTITUTE	\$4,998	Sponsorship of soft shell clam research project
UNIV OF MAINE ALUMNI ASSN	\$4,950	Donor-directed transfers for various sponsorships including the Distinguished Maine Professor award
PINE TREE ADMISSION CONSORTIUM	\$4,800	Annual membership dues for the Pine Tree Admission Consortium for UMF and UM
BETA GAMMA SIGMA INC	\$4,755	Annual membership dues for the Beta Gamma Sigma Business Honor Society for UM and USM
ASSOCIATION OF GOV BOARDS OF U	\$4,500	Annual membership dues for the Association of Governing Boards of Universities and Colleges
ASSOCIATION OF NATL ESTUARY PROGRAMS	\$4,500	Grant-funded annual membership dues in the Association of National Estuary Programs
NATL ASSN OF SCHOOLS OF MUSIC	\$4,466	Annual membership in the National Association of Schools of Music for UM and USM

Payee	Amount	Description
SECOND NATURE INC	\$4,425	Annual membership dues for the Presidents' Climate Leadership Commitment through Second Nature for UMA, UMF, UMFK, UM, UMPI
NAFSA ASSN OF INTRNTL EDUCATOR	\$4,282	Annual membership for NAFSA: Association of International Educators
ASSN OF AMERICAN LAW SCHOOLS	\$4,218	Annual membership dues to the Association of Collegiate Conference and Events Directors-International
VERMONT STATE COLLEGES	\$4,000	Annual membership dues for the New England Hockey Conference which operates out of Castleton University in Vermont - for USM Athletics
APPA	\$3,853	Annual membership dues for the APPA: Leadership in Educational Facilities professional association
AMERICAN PSYCHOLOGICAL ASSN	\$3,795	Annual membership in American Psychological Association
COLLEGE ENTRANCE EXAM BOARD	\$3,525	College Board membership fees
TSNE MISSIONWORKS	\$3,500	Grant-funded sponsorship of the Maine Agricultural Development Survey project
NATL ASSN OF SCHOOLS OF ART & DESIGN	\$3,482	Annual membership in the National Association of Schools of Art & Design for UM and USM
HARVARD UNIV	\$3,474	Annual membership in the New England Higher Education Recruitment Consortium for which Harvard is fiscal agent
NATIONAL ASSN OF UNIV FOREST R	\$3,470	Annual membership dues for the National Association of System Heads for UMS
NATIONAL ASSN OF COLLEGE & UNI	\$3,255	Annual membership dues for the National Association of College and University Attorneys for UMS
NATL ASSN ST FINANCE	\$3,220	Annual membership in the National Association of Student Financial Aid Administrators
COMPANSOL	\$3,180	Grant-funded annual membership fees for databases in support of the Upward Bound and TRiO programs
COUNCIL FOR ADVANCE & SUPPORT	\$3,180	Membership dues for the Council for Advancement and Support of Education for USM

Payee	Amount	Description
NATIONAL ASSN COLLEGE ADMISSIONS	\$3,110	Annual membership dues for the National Association of Admissions Counselors for UMF, UMM, UM, UMPI
NERCOMP INC	\$3,096	Annual membership dues for the Northeast Regional Computing Program, the regional affiliate of EDUCAUSE and an association of IT professionals in New England
IACBE	\$3,050	Annual membership dues for the International Accreditation Council for Business Education for UMF
NATL INSTITUTES FOR WATER RESOURCES	\$3,000	Grant-funded annual membership dues for the National Institutes for Water Resources for UM
NATL NETWORK OF PUBLIC HEALTH	\$3,000	Membership in the National Network of Public Health Institutes
NE REGNL ASSN OF COASTAL OCEAN OBS SYSTS	\$3,000	Grant-funded annual membership dues for the Northeastern Regional Association of Coastal Ocean Observing Systems for UM
NATIONAL LEAGUE FOR NURSING	\$2,936	Annual membership dues for the National League for Nursing for UMA, USM
MAINE YOUTH CAMPING FNDTN	\$2,833	Membership dues for the Maine Youth Camping Foundation for UM for the Bryant Pond and Tanglewood 4H Camps
NATL ASSN OF COLLEGIATE DIR OF ATHLETICS	\$2,800	Annual membership in the National Association of Collegiate Directors of Athletics for UM and UMF
COMPUTING RESEARCH ASSN	\$2,777	Annual membership in the Computing Research Association for UM
COWORKHERS LLC	\$2,750	Annual membership in co-working space for the USM International Programs
WINTERGREEN ARTS CTR	\$2,736	Grant-funded sponsorship of the Color PI Run to celebrate National Pi Day for UMPI
EASTERN COLLEGE ATHLETIC CONF	\$2,650	Annual membership dues for the Eastern College Athletic Association for UM Athletics
MAINE PUBLIC HEALTH ASSN	\$2,595	Annual membership dues for the Maine Public Health Association
NACADA	\$2,575	Annual membership dues for the National Association of Collegiate Directors of Athletics for UM and UMF Athletics

Payee	Amount	Description
MAINE COAST FISHERMENS ASSN	\$2,500	Grant-funded sponsorship in support of development of the "Discovering how the Midcoast Hunger Prevention Program can access fish from the Portland Fish Exchange" research project for the Maine Sea Grant program at UM
MAINE CTR FOR COASTAL FISHERIE	\$2,500	Sponsorship for the 2019 Eastern Maine Coastal Current Collaborative Conference
NAACP PORTLAND BRANCH	\$2,500	Sponsorship of Martin Luther King Day 2019 Observance event
NATIONAL HISTORY DAY INC	\$2,500	Annual State Fee for the National History Day organization for the Margaret Chase Smith Library UM
YANKEE SMALL COLLEGE CONFERENC	\$2,500	Annual membership dues for the Yankee Small College (athletic) Conference for UMA and UMM Athletics
CONVENTION VISITORS BUREAU GTR PORTLAND	\$2,478	Annual membership dues for the Convention & Visitors Bureau of Greater Portland for USM
WATERVILLE COUNTRY CLUB INC	\$2,420	Annual membership dues for home course for UMF Golf Team
INDEPENDENT COLLEGE BOOKSTORE	\$2,400	Annual membership for the Independent College Bookstore Association for UM
ASSOCIATION OF SMALL BUSINESS	\$2,332	Grant-funded annual membership dues for the Association of Small Business Development Centers for USM
RSU 22	\$2,280	Annual membership in the Penobscot Region Education Partnership organization for the UM College of Education
NATL INTRAMURAL REC SPORTSASSN	\$2,253	Annual membership dues for the NIRSA: Leaders in Collegiate Recreation (National Intramural-Recreational Sports Association) for UMF, UM
INDIANA UNIV	\$2,250	Membership for the Research and Education Networking Information Sharing and Analysis Center for UMS
MITCHELL INST	\$2,250	Shared Table Sponsorship for Mitchell Institute 2017 Fall Gala for UM and UMS
ACADEMYHEALTH	\$2,200	Annual membership dues to AcademyHealth. AcademyHealth is a nonpartisan, nonprofit professional organization dedicated to advancing the fields of health services research and health policy.

Payee	Amount	Description
NATA ONLINE	\$2,173	Annual membership dues for the Network for the Advancement of Patient Blood Management, Hemostasis and Thrombosis for UMF, UMFK, UM, USM
NATL ASSOC FOR CA	\$2,150	Annual membership dues for the National Association of Admissions Counselors for UMF, UMM, UM, UMPI
ADHA	\$2,145	Annual membership in the American Dental Hygienists' Association
MAINE MARITIME MUSEUM	\$2,100	Grant-funded Sponsorship for the "Lobstering and the Maine Coast" exhibit
COMMONWEALTH OF MASSACHUSETTS	\$2,080	Annual access to the Massachusetts Centralized Clinical Placement System for the UMFK Nursing program
EQUAL JUSTICE WORKS	\$2,000	Annual membership for the Equal Justice Works for the Maine Law School
FULBRIGHT ASSN INC	\$2,000	Membership in the Fulbright Association for UM and USM
LITERACY VOLUNTEERS OF BANGOR	\$2,000	Grant-funded annual sponsorship of the Literacy Tea hosted by the Literacy Volunteers of Bangor for UM
MAINE AQUACULTURE INNOVATION C	\$2,000	Sponsorship for the Northeast Aquaculture Conference and Exposition
NE INTERCOLLEGIATE AMATEUR ATH	\$2,000	Annual membership dues for the Northeast Intercollegiate Amateur Athletic Association
UCGIS	\$2,000	Grant-funded annual membership dues for University Consortium for Geographic Information Science
UNIV OF NEW ENGLAND	\$2,000	Sponsorship for the Maine Geriatrics Conference
NALP	\$1,995	Annual membership dues for the National Association for Law Placement for the Maine Law School
ASSN COL CONFERENCE & EVENTS DIRS INTL	\$1,900	Annual membership dues to the Association of Collegiate Conference and Events Directors-International
HIGHER EDUC USER GROUP ING	\$1,900	Annual membership dues for the Higher Education Users Group - a professional association for users of Oracle-based information systems

Payee	Amount	Description
EASTERN INTERCOLLEGIATE SKI AS	\$1,850	Annual membership in the Eastern Intercollegiate Ski Association for UMPI
TAPPI	\$1,842	Sponsorship of Annual Meeting activities for the Technical Association of the Pulp and Paper Industry
MAINE STATE BAR ASSN	\$1,798	Annual membership dues for Maine State Bar Association for Maine Law School
QUALITY MATTERS	\$1,750	Annual membership in the Quality Matters consortium
ACS MEMBERSHIP	\$1,716	Annual membership in the American Chemical Society
ONLINE LEARNING CONSORTIUM INC	\$1,700	Membership for the Online Learning Consortium
NACA	\$1,598	Annual membership dues for the National Association of Campus Activities for UMM, UM, USM
NATIONAL ORG OF NURSE PRACTITI	\$1,555	Annual membership in the National Organization of Nurse Practitioner Faculties for UM and USM
ASSN OF WRITERS & WRITING PGRMS	\$1,550	Annual membership dues for the Association of Writers and Writing Programs
COLBY COLLEGE	\$1,550	Annual membership in the Maine Concussion Management Initiative for UM and UMFK
MACHIAS BAY AREA CHAMBER OF CO	\$1,550	Annual membership dues for the Machias Bay Area Chamber of Commerce for UMM
AMERICAN LIBRARY ASSN	\$1,540	Annual membership dues for the American Library Association
NATIONAL ASSN OF COLLEGES & EM	\$1,530	Annual membership dues for the National Association of Colleges and Employers
ARAGOSTA MAMA	\$1,500	Grant-funded program development award for of the Pesce Challenge promoting Maine-based fisheries
ASSN OF CHIEF ACADEMIC OFCRS	\$1,500	Annual membership in the Association of Chief Academic Officers
CONSORTIUM FOR OCEAN LEADERSHI	\$1,500	Grant-funded two-year membership in the Consortium for Ocean Leadership for the School of Marine Sciences at UM
COUNCIL FOR PROFESSIONAL RECOG	\$1,500	Annual membership in the Council for Professional Recognition for USM

Payee	Amount	Description
MAINE AQUACULTURE ASSN	\$1,500	Grant-funded annual membership in the Maine Agriculture Association for UM
MAINE EDUCL OPPORTUNITY ASSN	\$1,500	Annual membership dues for the Maine Educational Opportunity Association and sponsorship of the association's annual meeting
NETWORK FOR CHANGE AND CONTINUOUS INNOVA	\$1,500	Annual membership in the Network for Change and Continuous Innovation
NEW ENGLAND ALLIANCE OF CONCUR	\$1,500	Sponsorship of the New England Alliance for Concurrent Enrollment Partnerships conference
TRUSTEES OF PHILLIPS ACADEMY	\$1,500	Membership for the Institute for Recruitment of Teachers for which Phillips is fiscal agent
US TRACK & FIELD CRS CNTRY COA	\$1,500	Annual membership dues for the U.S. Track & Field and Cross Country Coaches Association for UM and USM
KENNEBEC VLY CHAMBER OF COMMER	\$1,494	Annual membership dues for the Kennebec Valley Chamber of Commerce for UMA
NEW ENG ASSN OF COLLEGIATE REGISTRARS	\$1,485	Annual membership dues for the New England Association of Collegiate Registrars and Admissions Officers for all UMS campuses
NASPA STUDENT AFFAIRS ADMINS I	\$1,470	Annual membership dues for NASPA - Student Affairs Administrators in Higher Education for UMA, UM, USM
AMERICAN MATHEMATICAL SCTY	\$1,441	Annual membership dues for the American Mathematical Society
AMERICAN SCTY OF CIVIL ENGINEE	\$1,385	Annual membership in the American Society of Civil Engineering
NCURA	\$1,330	Membership for the National Council of University Research Administrators
AVIATION ACCREDITATION BOARD I	\$1,320	Annual membership dues for the Aviation Accreditation Board International for UMA
NATL ASSOC OF EDUCATIONAL PROC	\$1,310	Membership in the National Association of Educational Procurement
SOIL SCIENCE SCTY OF AMERICA I	\$1,305	Annual membership in the Soil Science Society of America
ASSN ON HIGHER EDUC & DISAB	\$1,255	Annual membership dues to the Association on Higher Education and Disability
NATIONAL ASSN OF SYSTEM HEADS	\$1,236	Annual membership dues for the National Association of System Heads for UMS

Payee	Amount	Description
NATIONAL SKI PATROL ONLIN	\$1,227	Annual membership in the National Ski Patrol for UMF
AASHE	\$1,220	Annual membership dues to the Association for the Advancement of Sustainability in Higher Education
EDWARD T GIGNOUX INN OF COURT	\$1,200	Annual membership in the Edward T Gignoux Inn of Court for the Maine Law School
NATL COLLEGIATE HONORS CNCL	\$1,200	Annual membership in the National Collegiate Honors Council for UM and UMA
WOMEN IN ENGINEERING PROACTIVE NETWORKS	\$1,200	Annual membership in the Women in Engineering Proactive Network for UM
APPIC	\$1,180	Annual membership dues for the Association of Psychology Postdoctoral and Internship Centers
CENTRAL LINCOLN COUNTY YMCA	\$1,114	Annual membership dues for YMCA memberships for 11 students at the UM Darling Marine Center in Walpole
IN *INTERNATIONAL DISTRIC	\$1,100	Annual membership dues for the International District Energy Association for UM
LEWISTON AUBURN MET CHAMBER OF	\$1,096	Annual membership in Lewiston Auburn Metro Chamber programs for USM
PHI ALPHA THETA HISTORY	\$1,092	Annual membership in the Phi Alpha Theta History Honor Society
NATIONAL ATHLETIC TRAINERS ASS	\$1,016	Annual membership in the National Athletic Trainers Association

Hiring Guide for Maine Employers

Partnering with Maine Employers to increase the size and skills of the Maine Workforce



Spring 2020



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Maine Employers:

The University of Maine System is Maine's largest and most important developer of human capital. Many of the 32,000 students we serve annually are career-focused learners looking for immediate opportunities to join the workforce or build upon their academic experience with internships and service or research-based learning projects.

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

We publish the Maine Employer Hiring Guide every semester as part of our goal of keeping as many of our students as possible on a path to Maine workforce and community leadership opportunities. We hope you will use it and the services offered by our campus career service professionals to help us build a stronger connection between your workplace and our institutions.

The more ways we can demonstrate the clear and valuable partnerships among employers and educators the more effective we will be at inspiring students and supporting them into successful, Maine-based careers.

Included in this guide you will find a schedule of career fairs and networking opportunities across our campuses where employers can connect with our professionally prepared, job-seeking students. Updates and additional events will be included in the update we publish at the start of the spring semester.

The Hiring Guide for Maine Employers also provides links for posting available positions online and contact information for career service offices at each of the campuses. Our career service professionals would be eager to provide support whether you have a job vacancy, an internship to offer, or just want to learn more about how Maine's public universities help our students pursue their career goals and connect with employers.

Thank you and we hope to hear from you if we can help meet the workforce needs of your organization.

Sincerely,

Dannel P. Malloy
Chancellor

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University of Maine at Presque Isle.....	8
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University of Maine School of Law.....	10



Contact: UM Career Center
207-581-1359



To schedule recruiting and information sessions on campus and/or virtual visit:
CareerLink: <https://umaine.edu/career/employers/>

Career Fair

Wednesday, February 5
10 a.m. – 3 p.m.

New Balance Recreation Center. Over 150 employers are expected to participate in this event, recruiting students from all majors.

Internship Month

February

The month of February will feature tips and advice about internships from leading Maine employers. Social media spotlights will be featured throughout the month.

Jumpstart Your Internship

March TBA

This interactive event provides an opportunity for students to gain important skills to assist them with having a successful internship experience.

Etiquette Dinner

February/March TBA

In partnership with the University of Maine chapter of the American Marketing Association, students will learn meal and business etiquette while participating in a formal dinner. This is a ticketed event.

Careers in Outdoor Recreation and Tourism

February 25

This program is geared towards a variety of majors and students interested in employment in outdoor recreation related companies and organizations. This event consists of informational tabling by employers as well as a keynote speaker and panel discussion.

Careers in Law and Justice

March 31

Students will have the chance to meet with leading professionals in law and justice careers to ask questions, network and explore the wide variety of options available within the field.

Life After College: Guide to Adulting

April 1, 8, 15 and 22

This four-week series highlights skills that are helpful upon and after graduation. These lunch and learn style workshops will focus on job search strategies, negotiating job offers/weighing benefit options, financial literacy and a panel of recent grads sharing helpful information.

We offer the opportunity for employers to do on-campus recruiting and on-campus or virtual information sessions. Information sessions are also available for graduate and professional schools. Employers can access these opportunities through CareerLink:
<https://umaine.edu/career/employers/>

Web: umaine.edu/career | Email: umainecareercenter@umaine.edu
Facebook: <https://www.facebook.com/UMaineCareerCenter/> | Twitter: @UMaineCareerCtr

*Dates and venues subject to change.
Please contact Career Service office to confirm.*

2

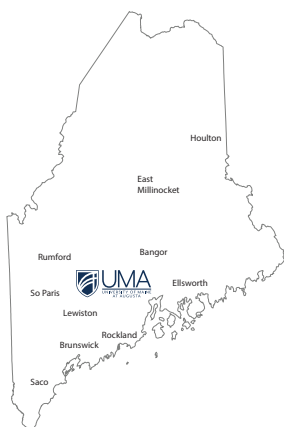


Contact: UMA Career Connections
207-621-3149



UMA Locations

UMA provides services to students through a statewide network of local centers. Employers looking to connect with students and/or graduates in a specific region, may contact a UMA Center at www.uma.edu/locations



New Ventures Maine

New Ventures Maine offers tuition-free workshops and individual coaching to help students complete their education, learn about growing career fields, connect with local employers, and find good jobs. <https://www.uma.edu/academics/advising/career-connections/career-workshops/>

UMA CareerLink

Post job and internship listings with us at <https://uma-csm.symplicity.com/employers>
To schedule on-campus or virtual recruiting and information sessions, please contact us at umacareer@maine.edu

Career Planning Workshops (via Zoom)

January–April 2020

A variety of workshops spanning all aspects of career planning (resume/cover letter writing, interviewing, internships, applying to graduate school, LinkedIn, etc.) will be offered at a distance using the Zoom platform. The sessions are free and open to the general public, unless otherwise noted. For more information or to register: <https://www.uma.edu/academics/advising/careerconnections/career-workshops/>

Moose Crossings: UMA Alumni Panel

Wednesday, February 20

UMA alums from a variety of fields will come back to campus to share their tips and tricks on surviving college, what they wish they had done retroactively, and advice for life after graduation.

Moose Mingle (via Zoom)

March

Each Monday during the lunchtime hour (12 noon-1 pm), we will have an employer representative available via Zoom to share information about their companies/organizations, as well as an opportunity to network.

5th Annual Career Summit

Friday, April 10

UMA alumni, area employers, and hiring managers come together on this day-long event to discuss key components of professionalism. The format consists of plenary presentations, small workshops, panel discussions on topics that get UMA graduates into the workforce.

UMA Houlton Center Career Readiness Day

April 22

Offered as a collaboration between the University of Maine and Presque Isle Career Readiness Office and the University of Maine at Augusta Career Connections Office, students at the Houlton Center will have the opportunity to have professional photos taken, cover letter/resume reviewed, and participate in mock interviews. Items from the Campus to Career Clothing Closet will be available. Employers are invited to offer career advice, network, review resumes/cover letters, and provide short mock interviews to graduating students. Employers wanting to participate should contact Nicole Fournier, UMPI Director of Career Readiness, at nicole.l.fournier@maine.edu or 207-768-9589.

www.uma.edu/academics/advising/career-connections

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Cynthia McShane
(207) 778-7035



The University of Maine at Farmington hosts multiple opportunities throughout the academic year for students to connect with employers for undergraduate employment, internships and post graduate career employment. In addition to career fairs and panel discussions, the UMF Office of Career Services is available to work individually with students or directly with employers to assist in their recruiting efforts.

Maine Summer Camp Fair

Monday, February 3
(snow date February 10)

In coordination with the Maine Summer Camps Organization, UMF will showcase 30 of Maine's best summer camps to present employment opportunities to students and meet a critical need in today's workforce.

UMaine Career Fair

Wednesday, February 5

UMF Career Services invites students to join them on a trip to UMaine's Career Fair, weather permitting.

UMF Career Fair

Monday, March 2
(snow date March 4)

UMF Career Services welcomes employers to campus to meet with students who are looking for their first post-college career or summer employment.

UMF Education Career Fair

Monday, March 9

UMF Career Services welcomes school districts and educational organizations to campus to meet with our senior Student Teachers as they search for teaching positions.

UMF College to Career Symposium

Thursday, April 9

At this panel and networking event, UMF Career Services invites alumni and employers from myriad industries for a panel in which they discuss the transition from undergraduate to employment. The panelists answer questions, offer insight, and share tips with students. The panel is followed by an informal networking mixer between professional and student.

In addition to these events, UMF Career Services has drop in hours and specialized workshops throughout the semester. These opportunities are designed to support our students as they prepare for meaningful work. If you want a list, I can provide that for you.

Also, we offer employers and graduate schools individual opportunities to schedule a visit to campus anytime they are interested in recruiting students. To schedule a time and place, they should contact me in the UMF Career Services office.

If any of these employers want to participate in UMF events or campus visits, then they should email me directly at cynthia.mcshane@maine.edu or at (207) 778-7035.

Important Links

Website: careers.umf.maine.edu

Post to UMF's Job Board: <http://www2.umf.maine.edu/careers/register-to-recruit-at-umf/umf-job-board/>

Career Services Events: <http://www2.umf.maine.edu/careers/job-fairs-and-career-events/>

Facebook: <https://www.facebook.com/umfcareers/>

Twitter: <https://twitter.com/UMFCareers>

email: cynthia.mcshane@maine.edu

careers.umf.maine.edu

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Tammy Delisle
207-834-8647



Linked-In group is designed and being utilized to reach alumni and current students.
Check out our UMFK Linked In page for career services updates and job postings.

<https://www.linkedin.com/school/university-of-maine-at-fort-kent/?viewAsMember=true>

University of Maine Career Fair

Wednesday, February 5

Career Services will coordinate transportation for students interested in attending the UMaine Career Fair. Career services will be available to students to review resumes and give tips on how to be successful at the Job Fair.

Women in Leadership a panel of local women

Tuesday, February 25

A panel of local women in leadership will assemble at UMFK to speak to students about their challenges and successes. This event hopes to form connections between UMFK students and area professional women, have student gain valuable advice and give local professionals a better relationship with UMFK students.

UMFK Career Week

March 2-6

Resume Writing contest - Local HR directors volunteer their time to review and judge student resumes.

Mock Interview contest – Local Professionals will sit in on mock interviews with student and provide feedback for student to improve their interviewing skills.

Making Connections – UMFK Student Senate, Alumni Office and Career Services host a networking event to bring student and area employers together and build relationships. Student get to practice their networking skills.

During the week students will have the opportunity to have professional headshot photos taken, attend workshops on Linked In, Resume Writing, and other various career related topics.

Professional Development Series

Spring Semester

Professional development presentations will be held throughout the spring semester.

Professional development topics cover: How to Dress Professional, Guest speaker, Nadia Nadeau; Certified Coach, Speaker, and Training, Linked In workshop, and Civic Engagement and Volunteerism.

If interested in presenting in the Professional Development Series please contact the Career Office at 207-834-8647 or tammy.delisle@maine.edu.

UMFK Career Services is available to coordinate campus recruitment visits, tables, and interview space for any employer or graduate school interested in meeting with UMFK students. If any employers want to participate in UMFK Career Office events they should email Tammy Delisle at tammy.delisle@maine.edu or call 207-834-8647.

career.umfk.edu

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Jo Ellen Scribner
207-255-1228



Career Link

Employers can access recruiting opportunities by joining the CareerLink program at <https://machias.edu/career-services/career-center/> or contact ummcareer@maine.edu • Check us out on Facebook: facebook.com/UMMachiasCareerServices

Career Café

January–April

A chance for students to develop and build professional skills as they prepare for the job opportunities in the Maine workforce. One-half hour career sessions on Wednesdays from 12-12:30 p.m. available on Zoom and live from campus. Topics include: 2/12 Salary Issues Negotiations; 2/16 Juggling Family; and Career; 3/11 Ready, set, go – you've got this; 3/25 Blah to Brilliant Resumes; 4/1 Actions to Finding the Right Career; 4/15 How to research to find the perfect job. For the zoom links contact ummcareer@maine.edu.

Engaged Clipper Chatroom Radio Show

Thursdays at 4 p.m.

A radio talk show that provides listeners with the opportunity to learn about alumni career successes and network with employers throughout the state and country. UMS students and alumni can live-stream the program at: <http://wumm.machias.edu:8000/wumm>. Employers who would like to be featured can contact the UMM Career Center at ummcareer@maine.edu.

Senior Boot Camp

4 – 5 p.m.

Six Weeks of career sessions to prepare graduating seniors with a toolbox of professional skills as they begin their careers. Open to graduating seniors. Dates include: February 3, 10, 24, March 2, 23 and 30. Available on campus in Kilburn Commons or participate by zoom link. Contact the UMM Career Center at ummcareer@maine.edu.

Graduate School UMaine/ UMM Visit

Tuesday, March 9

Graduate school admissions visits UMM to share program opportunities that include support for the application process and a head start on program deadlines.

UMM Career Fair

Thursday, March 12 (storm date, March 26) 10 a.m. – 1 p.m.

The UMM Career Fair and Festival will feature various employers throughout Washington County and the northern/eastern Maine areas of the state. Other employers from around the state will be featured during the Career Fair through the Engaged Clipper Chatroom Radio Show.

Business Etiquette Dress Show

Thursday, April 7, 11 a.m.

Working in partnership with Machias Savings Bank, the program provides interview preparation advice on the proper attire for workplace and job interview success.

Greek Alumni Social and Networking Event

April 24 and 25

Meet and greet opportunity for undergraduate students to network with alumni visiting campus on Greek weekend. Undergraduate students will learn about career successes and the potential for internship, job shadowing, and job opportunities.

ummcareer@maine.edu

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Nicole Fournier
207-768-9589



Employers, to post positions, visit:

<https://www.umpi.edu/offices/career-readiness/for-employers/>

<https://www.umpi.edu/offices/career-readiness/>

The Office of Career Readiness can set up a time for employers to do recruiting at any time on campus. We have a variety of locations for employers to use.

UMaine Career Fair

Wednesday, February 5

The Office of Career Readiness and the Student Activities Office are collaborating to offer rides for UMPI students who would like to participate in the UMaine Career Fair (weather permitting).

Virtual Career Readiness Office Visit

Tuesday, February 11, 3 p.m.

Employers will have the opportunity to "visit" the Career Readiness Office to ask questions, learn how we can collaborate, hear more about the services we offer, and see how easy it is to post a job or internship opportunities with us. Email Nicole Fournier, Director of Career Readiness, at nicole.l.fournier@maine.edu to sign up. A zoom link will be provided with your confirmation.

Campus to Career Distinguished Graduate Mock Interview Panels

March 16- April 24

Panels are scheduled according to student and employer availability. Exact times and locations are provided to the panel members. Employers are invited to participate on panels to assess student career readiness skills as these students prepare for graduation and the workforce. Employers wanting to participate should contact Nicole Fournier, Director of Career Readiness, at nicole.l.fournier@maine.edu or 768-9589.

Houlton Center Career Readiness Day

Wednesday, April 22
11 a.m. – 2 p.m.

Offered as a collaboration between the University of Maine and Presque Isle Career Readiness Office and the University of Maine at Augusta Career Connection Office, students at the Houlton Center will have the opportunity to get professional photos taken, cover letter/resume reviewed, and participate in mock interviews. Items from the Campus to Career Clothing Closet will be available. Employers are invited to offer career advice, network, review resumes/cover letters, and provide short mock interviews to graduating students. Employers wanting to participate should contact Nicole Fournier, Director of Career Readiness, at nicole.l.fournier@maine.edu or 768-9589.

Graduate School Fair

Tuesday, April 28
11 a.m.-1 p.m.
Campus Center Owl's Nest

UMPI's Office of Career Readiness will again hold its Graduate School Fair, providing students with resources and information about going to grad school once they finish their bachelor's degree. Employers and community members wanting information about graduate school programs, including completely online options, are invited to attend.

Career Readiness Day

Friday, May 8

Students will have the opportunity to get professional photos taken, cover letter/resume reviewed, and participate in mock interviews prior to graduation practice. Employers are invited to offer career advice, network, review resumes/cover letters, and provide short mock interviews to graduating students. Employers wanting to participate should contact Nicole Fournier, Director of Career Readiness, at nicole.l.fournier@maine.edu or 768-9589.

Ongoing

The Office of Career Readiness can set up a time for employers to do recruiting at any time on campus. We have a variety of locations for employers to use. To post positions, visit: <https://www.umpi.edu/offices/career-readiness/for-employers/>.

www.umpi.edu/offices/career-readiness

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Andy Osheroff
207-780-4695



To post a job or internship: usm.maine.edu/career-and-employment-hub/usm-career-connections-business-community-partners

To see events and register: usm.maine.edu/career-and-employment-hub/events-0

To get more involved in the USM community, join our Corporate Partners program.
More information about the benefits are available here: usm.maine.edu/corporatepartners

Career Takeoff Series: Resume Building and Interviewing

Thursday, January 30

In this interactive workshop, students will learn from Career & Employment Hub Staff about best practices for presenting oneself through a resume and the interview process. Students will have a chance to work collaboratively with our business and community partners to fine-tune their skills during the workshop.

Spring Job and Internship Fair

Thursday, March 5

Over 100 employers will gather on the USM Portland campus to recruit for full-time, part-time, volunteer, internship and work study positions. Not only is this a fantastic opportunity for USM students and alumni, but this event is also open to the public. Each semester nearly 1000 job seekers attend! Free professional headshots are offered to all participants.

Professional Networking Dinner (in partnership with our Student Chapter of American Marketing Association)

Thursday, March 26

This exciting event creates a space for nearly 100 students and professionals to network and practice professional meal etiquette. Students and alumni have the opportunity to make connections to employers while strengthening their professional skills. Last year, this event won the USM Event of the Year Award at the Student Leadership Awards Gala!

Graduate Student Speed Networking Event

April/May, exact date TBD

This event shakes up the format of traditional networking events by allowing each graduate student 3-5 minutes to chat one-on-one with each employer. A great way to practice an effective and concise elevator speech, this setting allows students to interact with a variety of employers across industries.

Career Takeoff Series: Internship Readiness

Friday, April 10

The Career & Employment Hub, along with business and community partners, will present to students on how to brand themselves online and through their LinkedIn accounts. Attendees will have the chance to network with local professionals while learning to create a stellar online presence for employers to view.

usm.maine.edu/careerhub

Dates and venues subject to change. Please contact Career Service office to confirm.



Contact: Maine Law Career Services Office
207-780-4796



Maine Law students offer exceptional value to employers in Maine and beyond.

- Maine Law students are eager to gain real life experience through summer and academic year internships, not just in law firms, but with other employers in fields such as information privacy, compliance, real estate and human resources.
- Many Maine Law students have significant pre-law school employment experience and can easily adapt to your workplace.
- Some Maine Law graduates are interested in pursuing J.D. Preferred or J.D. Advantage positions that provide opportunities to use their legal skills to grow and advance in business settings.

Seeking to fill a permanent position, a summer or academic year internship, or simply looking for assistance with a one-time project? Below are just a few ways we can help you meet your hiring needs.

On Campus Interviewing

The Maine Law Career Services Office hosts on-campus recruiting sessions during both the fall and spring semesters for employers seeking candidates for summer, academic year, or permanent positions. We will publicize open positions, collect application materials, and schedule interviews, either at the Law School or at the employer's office.

Free Advertising of Internship and Employment Opportunities

The Maine Law Career Services Office will post your full-time, part-time, permanent, or temporary openings on our online student and alumni job boards and in our monthly alumni jobs bulletin at no cost to you.

Opportunities to market your organization

Contact us about opportunities to participate in our panel presentations, career-related workshops, and other events to raise your profile within the Maine Law community and get to know our students

<https://mainelaw.maine.edu/career-services>



Office of the Chancellor • 15 Estabrook Drive • Orono, ME 04469 • maine.edu

The University of Maine System is an EEO/AA employer, and does not discriminate on the grounds of race, color, religion, sex, sexual orientation, transgender status, gender expression, national origin, citizenship status, age, disability, genetic information or veteran's status in employment, education, and all other programs and activities. The following person has been designated to handle inquiries regarding nondiscrimination policies: Director of Equal Opportunity, 101 North Stevens Hall, University of Maine, Orono, ME 04469-5754, 207.581.1226, TTY 711 (Maine Relay System).



The MaineMBA Update: Investment, Innovation, and Impact.

System initiatives that have yielded **statewide collaborations**, **global rankings**, and significant **enrollment gains**.

J. Michael Weber, Dean

Investment



People

- **Leadership:** Dean, Graduate School of Business
- **Professional Staff:** Director, Marketing Manager
- **Faculty:** Two HAF Graduate Faculty in Accounting and Analytics

Technology

- **Smart Classrooms:** Two HAF classrooms (Orono and Portland) to connect with campuses throughout the system.
- **Faculty Training:** Training and incentives for faculty to implement newest teaching technologies

Investment



Awareness

- New Website & Branding
- Digital & Social Advertising
- Outdoor Advertising
- Sponsorships
- Undergraduate & Workplace Outreach
- Earned Media Coverage

Student Experiences

- Orientation Exercises
- Networking Events
- Day-long Team Building Experiences
- Improved Student Technology Interfaces

Innovation



Collaboration

Faculty from UMaine, USM, UMF, UMPI all working together to design innovative academic programs and accelerated graduate pathways.

Program Development

Spring 2020:

- Accounting
- Analytics
- Finance

In The Works:

- Sustainability (Muskie)
- Healthcare Management (Muskie)
- International Affairs (UMaine – SPIA)
- Engineering Management (UMaine Engineering)
- Outdoor Industry Management (UMF)
- Hospitality Management (USM)
- M.S. in Business Analytics
- M.S. in Accounting

Innovation



Enrollment Initiatives

- **Workforce and Chamber Partners** created competitive tuition rates and admissions pathways to develop Maine's workforce
- **Reduced Non-resident Tuition Rate** encourage out of state enrollment
- **Accelerated Graduate Pathways** (i.e. 4+1) with UMPI and USM. Working on agreements with UMF, Bates, Bowdoin, Colby

Impact



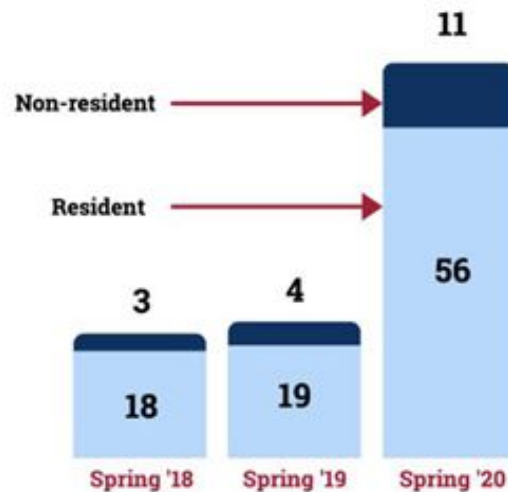
Global Rankings and Accreditation



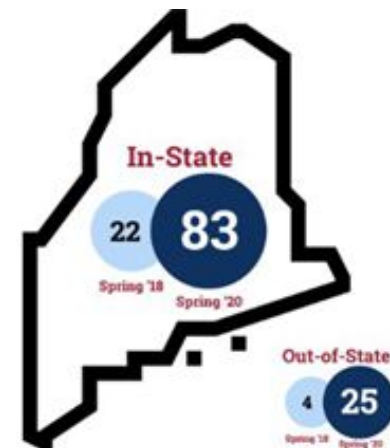
Impact



New Student Headcount



Applications



Spring '20 Enrollment = 180

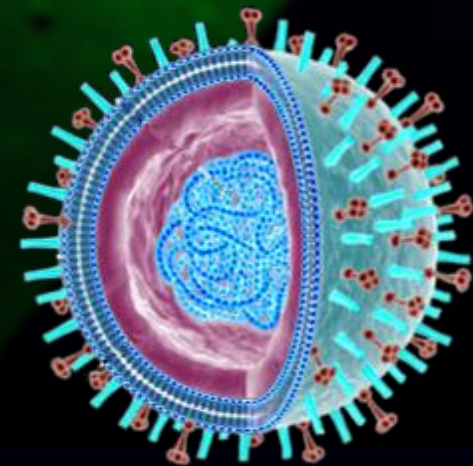
The Development of Super-Resolution Microscopy and its Scientific and Economic Impacts

Samuel T. Hess, Ph.D.
Department of Physics and Astronomy
120 Bennett Hall
Orono, ME

January 27, 2020

Outline

1. Concept of FPALM and its Capabilities
2. Overall Goals
3. Biological Applications
4. Intellectual Property
5. Commercialization
6. Collaboration and Training
7. Economic Impact
8. Future Directions



Fluorescence: A Dominant Method in Biomedical Research

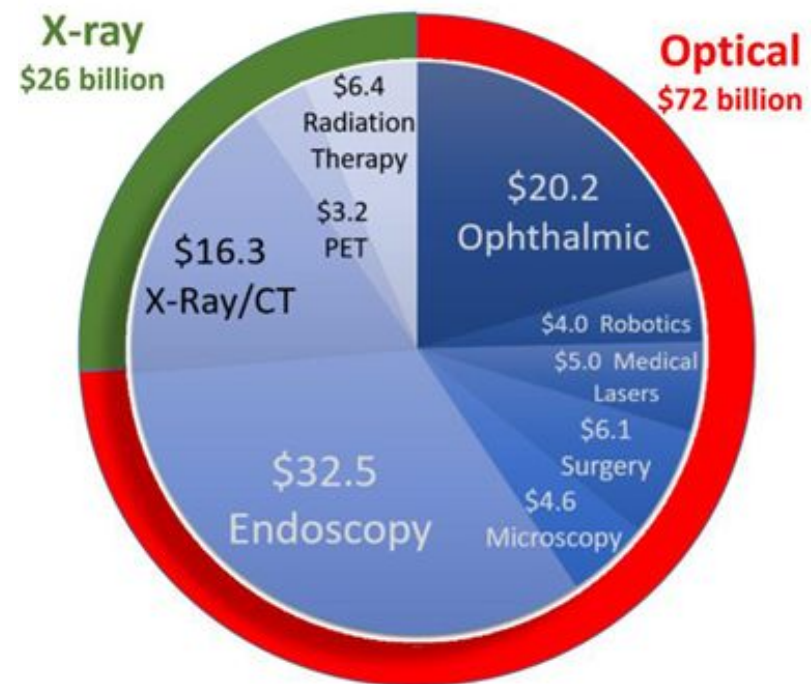
Advantages

Sensitive, Specific
 Wide Variety of Labels and Targets:
 Lipids, Ions, Voltage, **Proteins**
 Multiple Labels
 Access to Many Timescales
 Can be Noninvasive
 “Instant Data”
 Combine with Other Methods

Disadvantages

Limited Resolution
 Labels can Induce Changes in Sample

Optical Methods now Dominate Biomedical Market

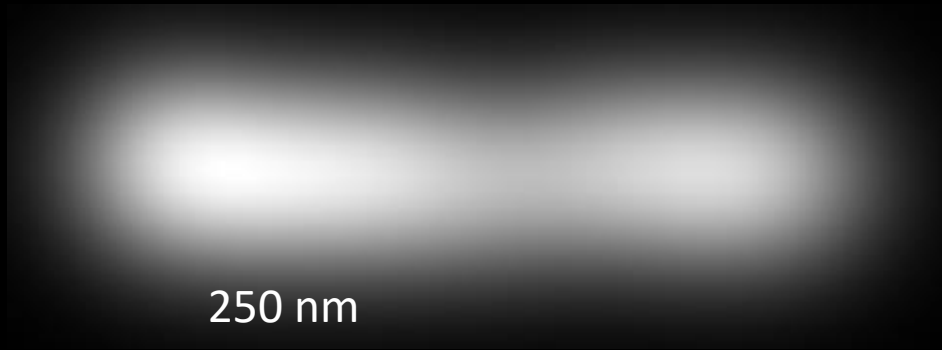


Pogue and Wilson, *J. Biomed. Opt.* 2018

Mouse Hippocampus “Brainbow” (T. Weissman, J. Lichtman, Harvard University)

See also J. Livet, J. Lichtman et al. *Nature* 450: 7166, 2007

Effect of Resolution on Image Quality



Resolution $r_0 \sim 240$ nm



Resolution $r_0 \sim 120$ nm



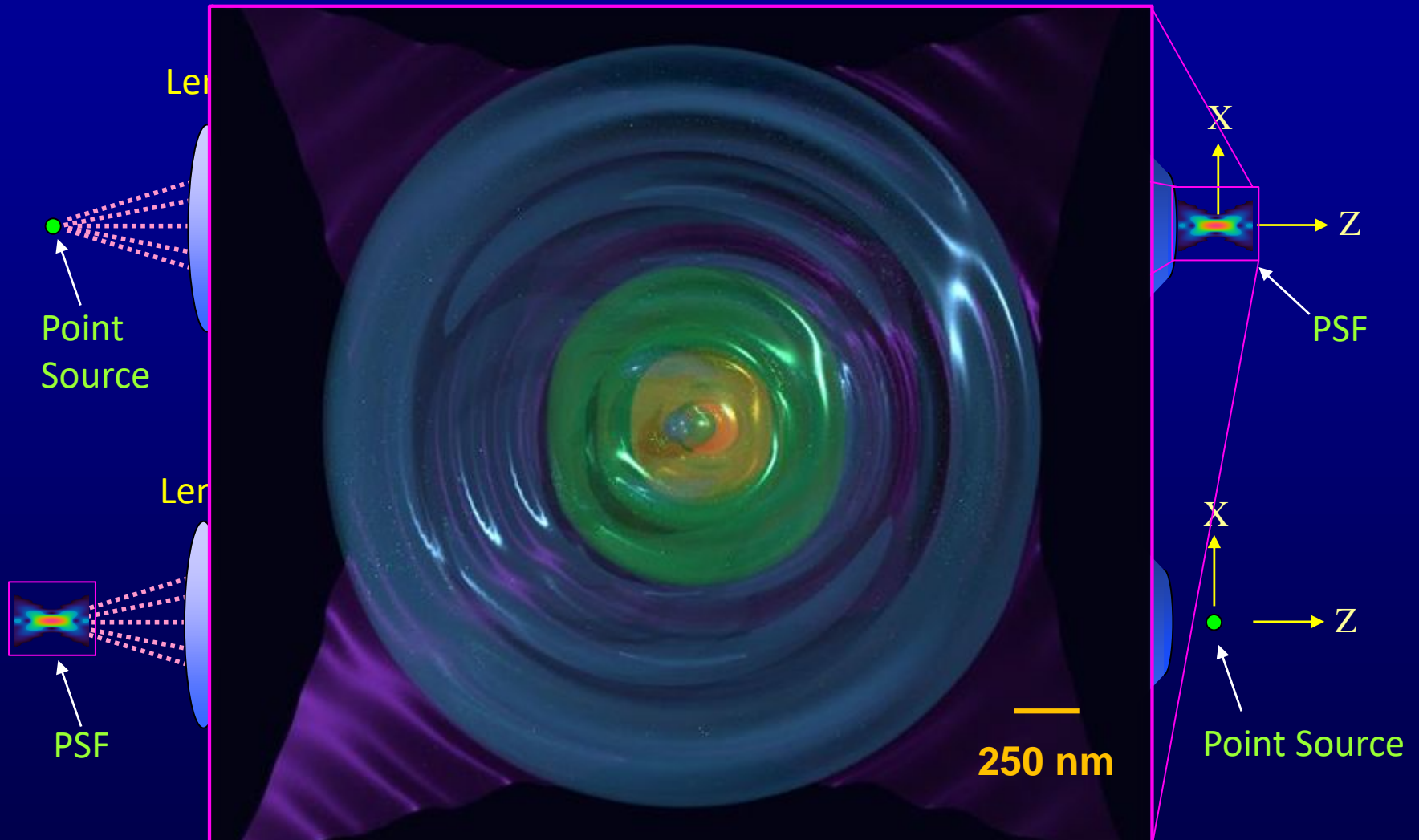
Resolution $r_0 \sim 60$ nm



Resolution $r_0 \sim 30$ nm

Lenses Focus Light into a Wavelike Pattern Called the PSF

Even the Best Objective Lens Produces a Spot of Significant Size



PSF = Point Spread Function

Conventional Microscope vs. Single Molecule

WAVE PATTERN OF LIGHT
FOCUSED BY MICROSCOPE

WIDTH OF PATTERN
DETERMINES
RESOLUTION

250 nm

Single
Protein
Molecule
(5 nm)

**1. The Resolution
is the Smallest Object
The Microscope can See**

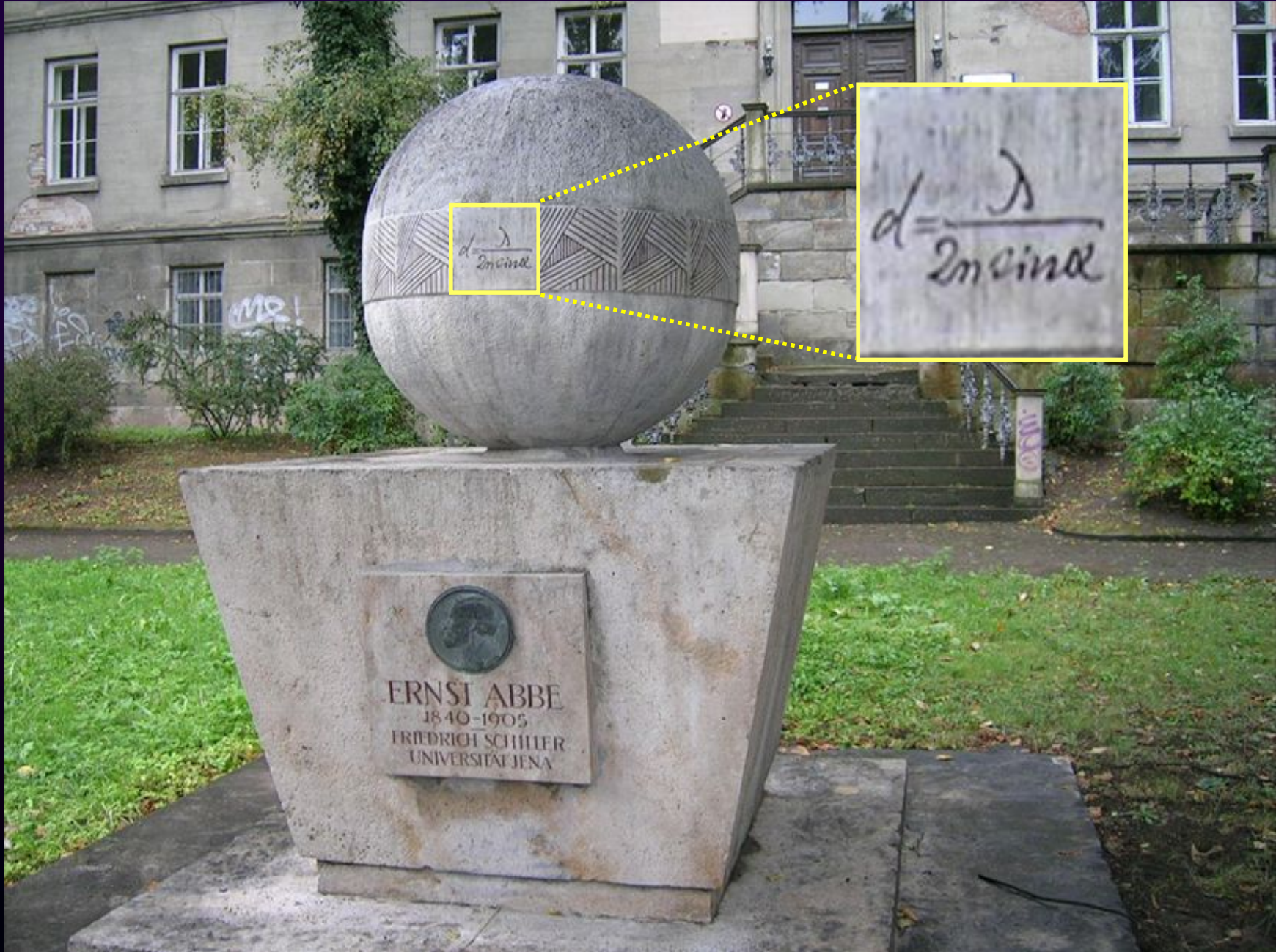
**2. The value 250 nm is
MUCH LARGER
than a single molecule**

**3. Conventional
Light Microscopes
Cannot See Details
at the Molecular Scale
(10-20 nm)**

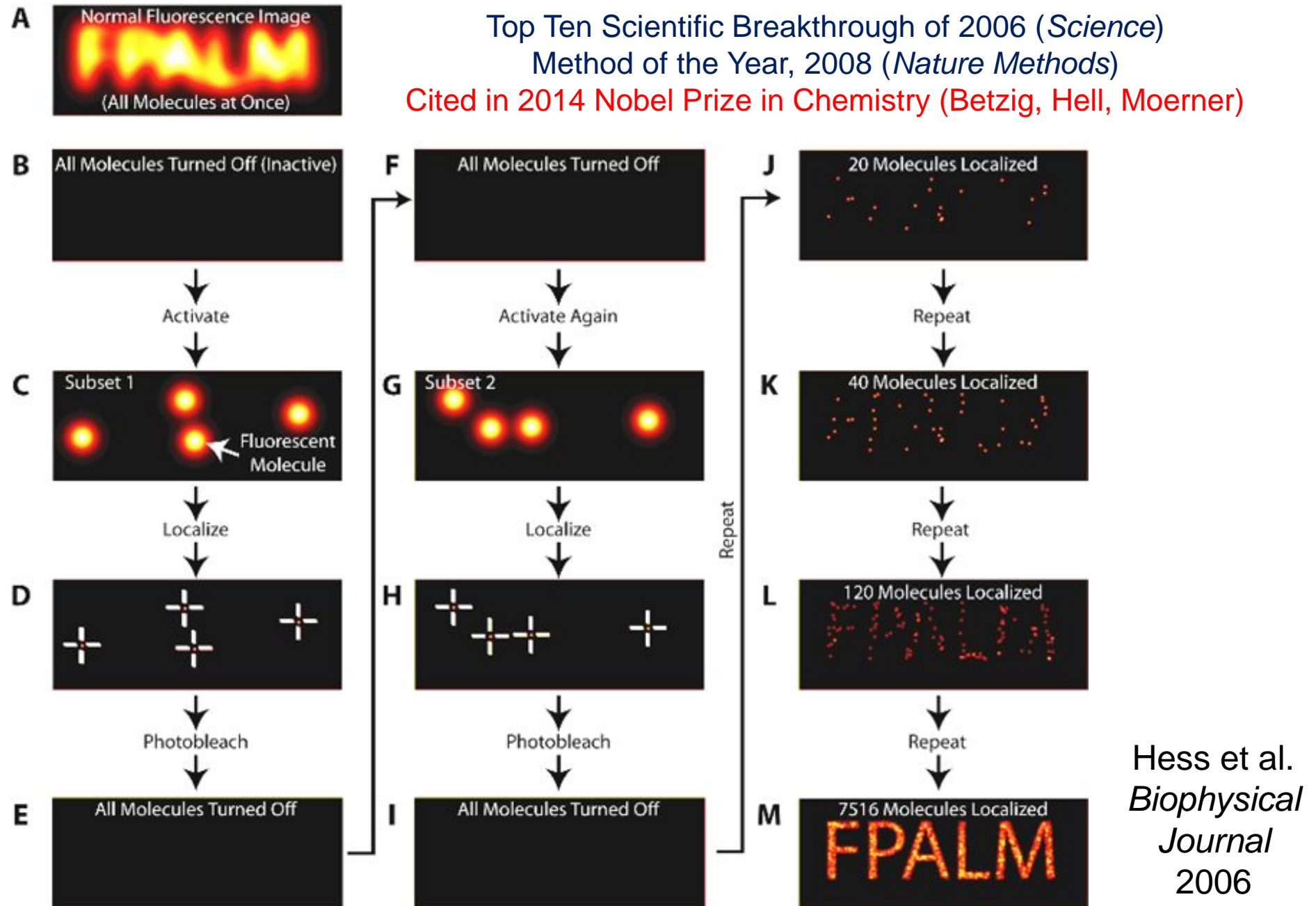
**4. But Much of Biology
Depends Crucially
on Interactions
at the Nanoscale**

**5. Therefore, there is a
Compelling Need
for Imaging Technology
with Nanoscale Resolution**

Diffraction Fundamentally Limits Resolution

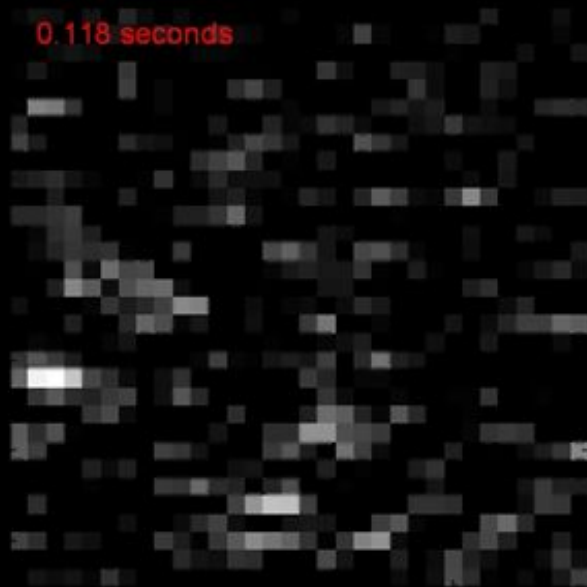


FPALM Breaks the Diffraction Limit



Buildup of FPALM Image from Single Molecule Localizations

Raw Images
(~211 frames/s)



FPALM Image
(~ 20 nm resolution)

1 μm

A single FPALM image showing single molecule localizations. The image is dark with several bright, localized spots. A scale bar labeled "1 μm " is visible in the top left corner.

Conventional Image



**FPALM Achieves Resolution 10-20x Better
than Conventional Light Microscopy**

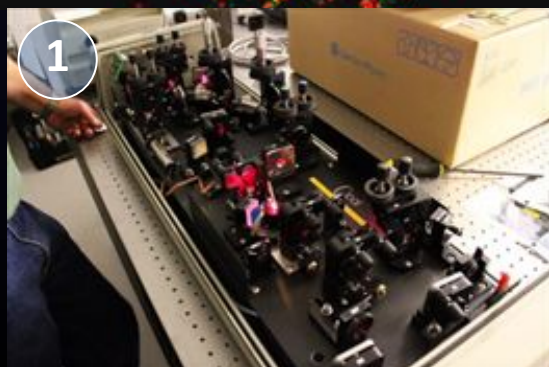
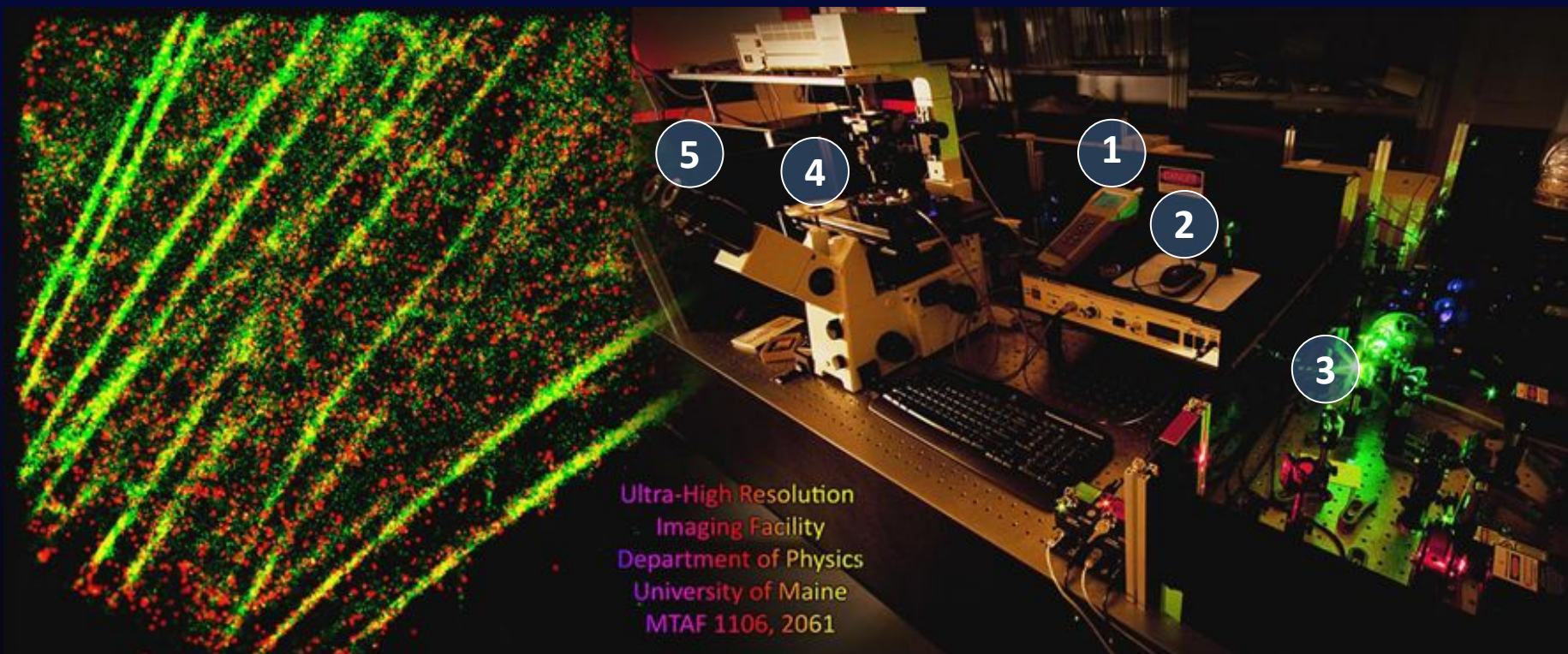
see also F. Pennacchietti and S.T. Hess, *Biophysical Journal*, 2018

T.J. Gould

Super-Resolution Imaging Facility

Super-Resolution Image of Cell
and Influenza Viral Proteins
(Dahan Kim, Hess Lab)

Hess Laboratory, 15/16 Bennett Hall
Department of Physics
University of Maine



1. Tunable Femtosecond Laser System
2. Fast AOTF Shutter
3. Flexible Diode, Gas, and Tunable Laser Excitation Path
4. XYZ Stage for 3D Specimens, Autofocus
5. Additional High-Speed Cameras, Modular Detection Path
6. Computer Cluster for Real-Time Analysis

Image Processing Laboratory

Super-Resolution Image Analysis

Fiber Optic Connection to Lab

Cluster of 18 PCs
Parallel Data Processing

GPUs (Graphical Processing Unit)
Highly Parallel Computing
for Significant Acceleration

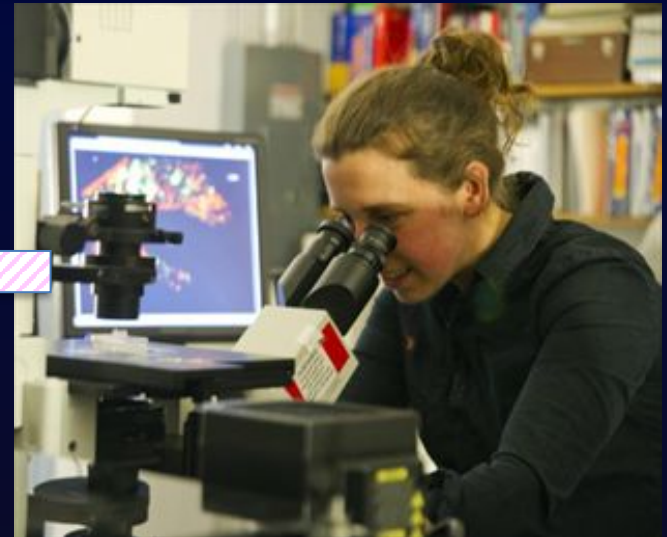
Data Analysis
Instrumentation Development
Membrane Cell Biology
Biophysics, Virology
Astrophysics

Development of Algorithms

Lab Meetings, Discussions with Visitors

**Funded by MTAF Grants 1106, 2061
(Administered by Maine Technology Institute)**

IMAGE
DATA



Research and Development Goals

FPALM Advantages: Nanoscale Resolution, Live Cell Compatible, Multicolor, Three-Dimensional, Molecular Orientations, *in vivo*, Single Molecule Information

A. Generate Discoveries, New Scientific Capabilities

Research on Influenza, Toxicology, Neuroscience, Muscular Dystrophy

B. Generate New Intellectual Property

Multiple U.S. Patents Awarded; New Modalities in Development

C. Further Commercialization

Bruker Nano / Vutara has Licensed FPALM Patents

Further Cooperation to Enhance Capabilities of Commercial Instrument

D. New Collaboration and Grant Funding

Scientists within the University of Maine System

Maine Institutions and Industries: Jackson Laboratory, MMCRI

Build Partnerships with IDEXX, MDIBL, others

National and International Collaborations

Increase Large NIH Grant Competitiveness

E. Economic Impact

Access to World-Class Microscopy for Maine Institutions

New Grant Funding

New Jobs

Trained Workforce

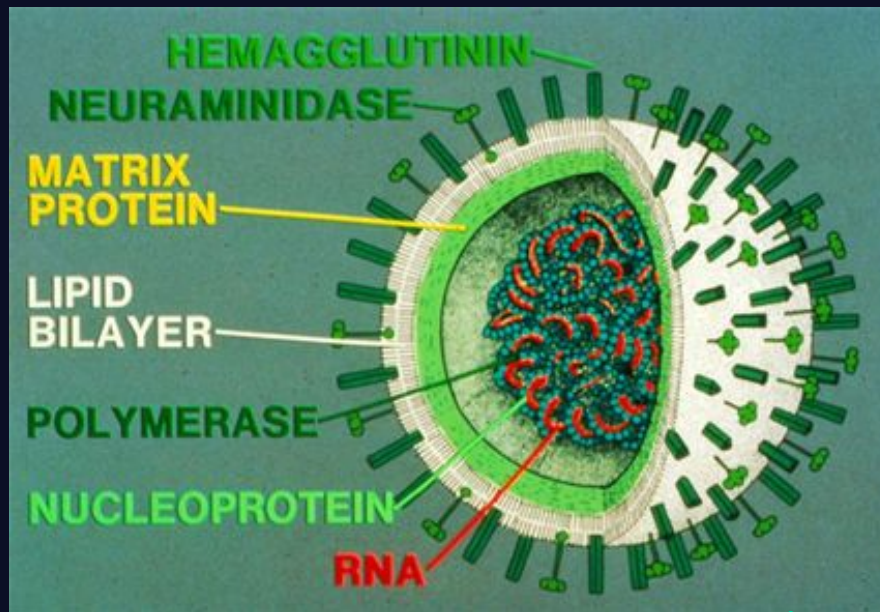
A. Influenza Virus Infection

Influenza causes significant illness worldwide
Vaccines help but must be adapted to seasonal mutations
Many strains are resistant to one or more available drugs

Viruses must enter host cell to infect
Entry depends on *Membrane Fusion*
Membrane fusion depends on *HA Clustering*
Mechanism of HA Clustering is UNKNOWN

****Understanding the mechanism of
HA cluster formation is important***

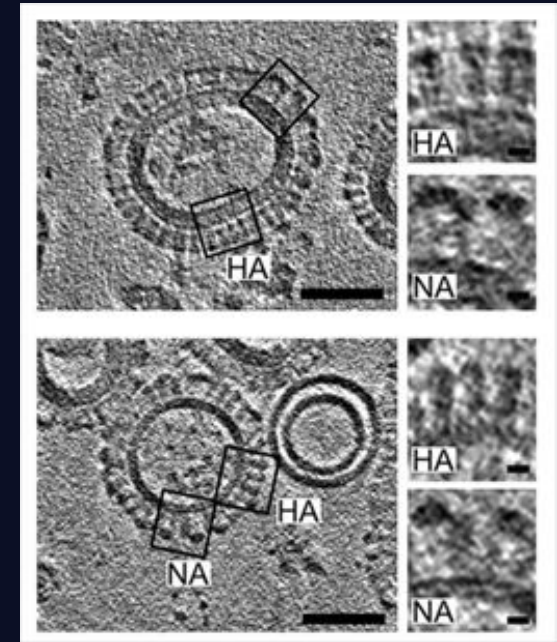
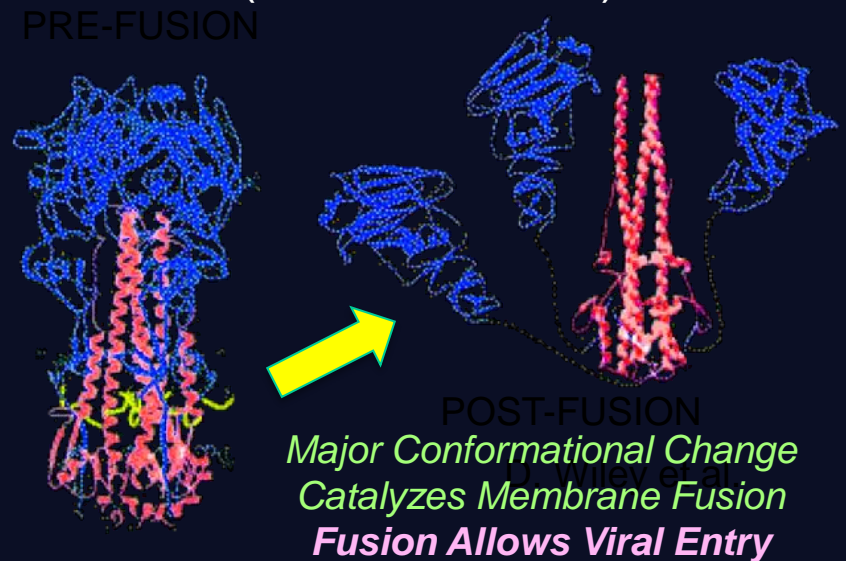
The Influenza Virus



Courtesy of Fred Cohen

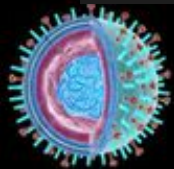
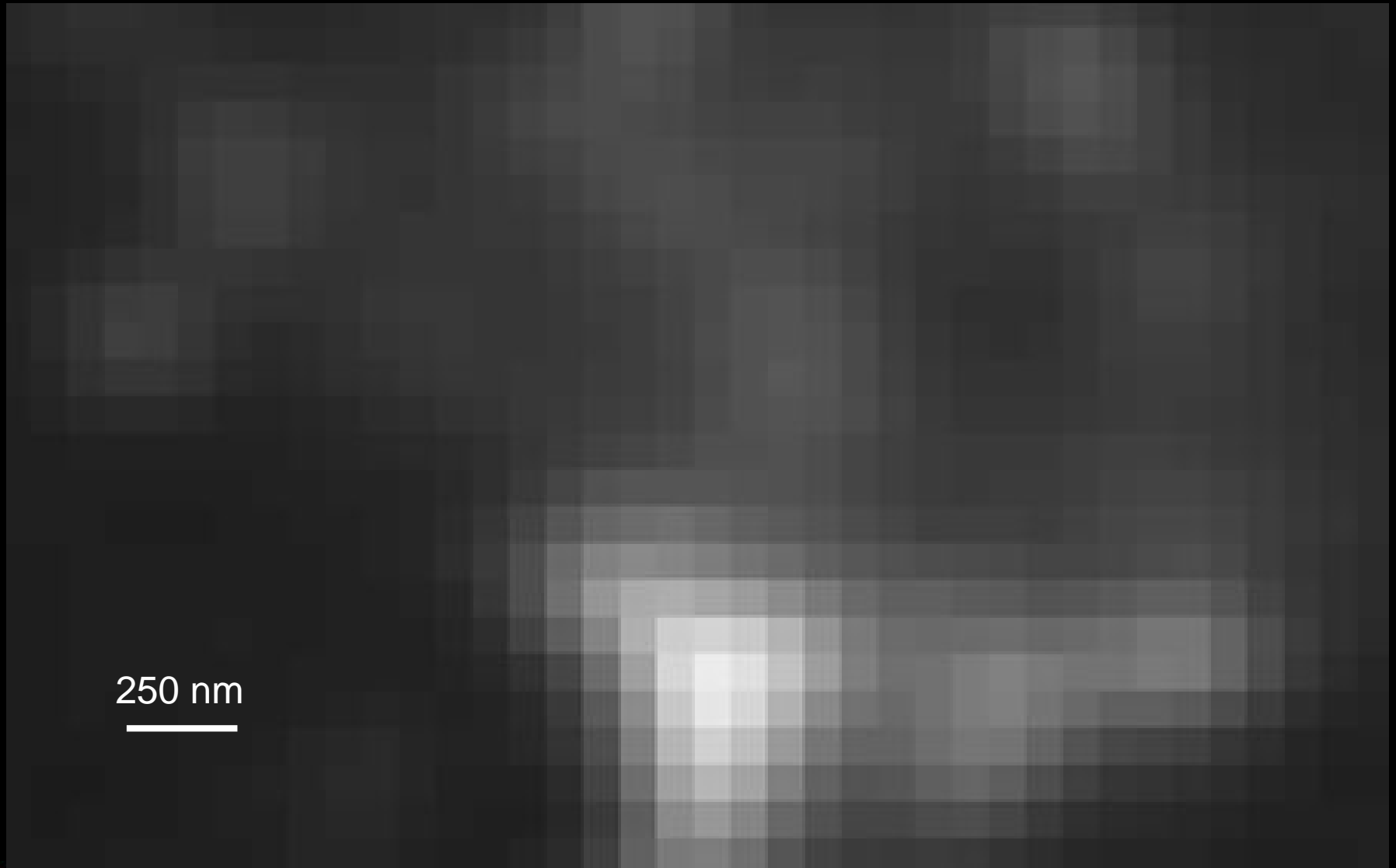
100 nm

Influenza Hemagglutinin (HA) ("the H in H1N1")



P. Chlanda et al. 2017

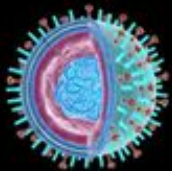
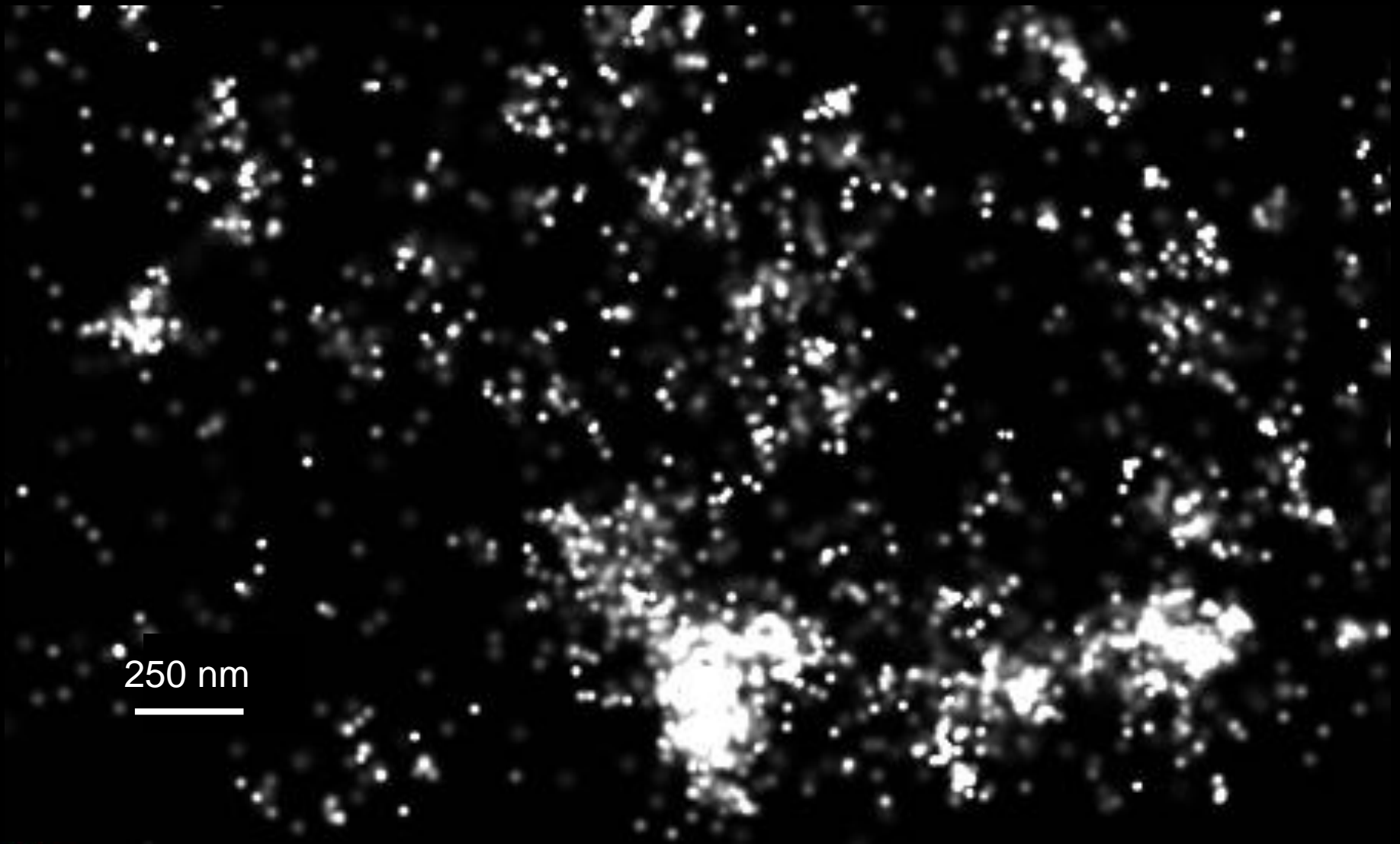
Conventional Image of a Fibroblast Cell Expressing Hemagglutinin



Hemagglutinin (HA), the Fusion Protein from Influenza Virus

M.V. Gudheti et al., *Biophysical Journal*, 2013

FPALM Image of a Fibroblast Cell Expressing Hemagglutinin

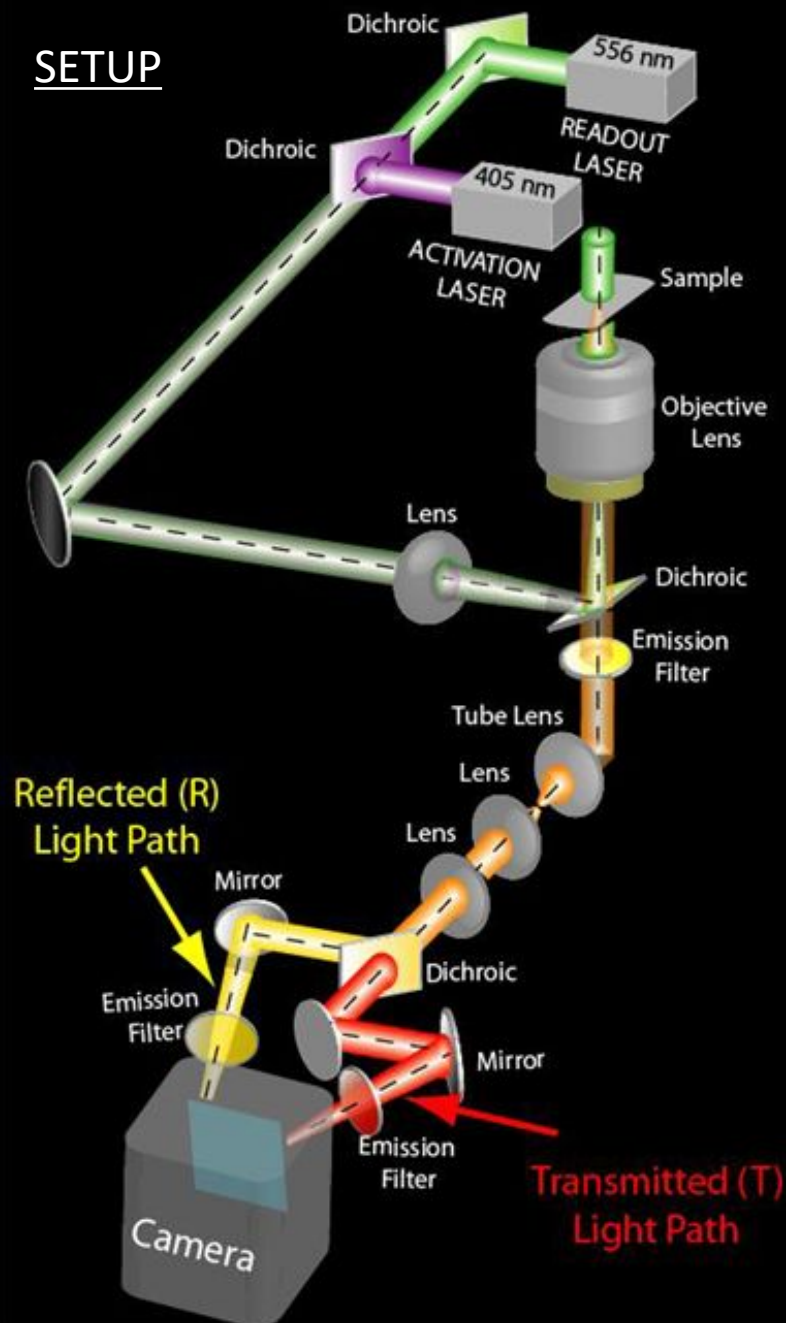


Hemagglutinin (HA), the Fusion Protein from Influenza Virus

M.V. Gudheti et al., *Biophysical Journal*, 2013

Biological Questions Motivate Technological Advances: Multi-Color FPALM

SETUP

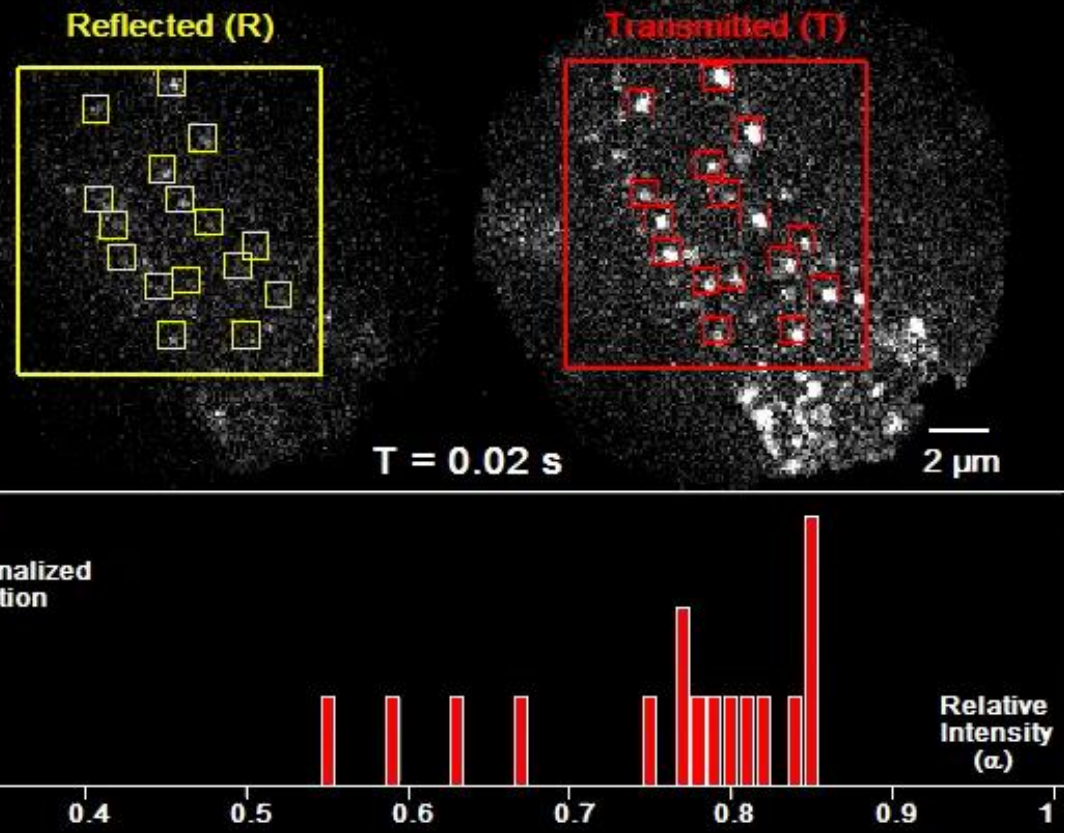


Gunewardene, Hess, et al., *Biophysical Journal*, 2011

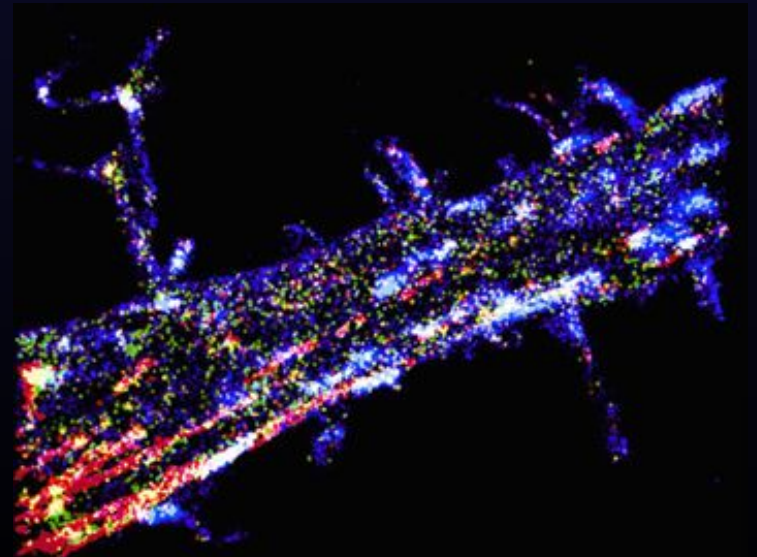
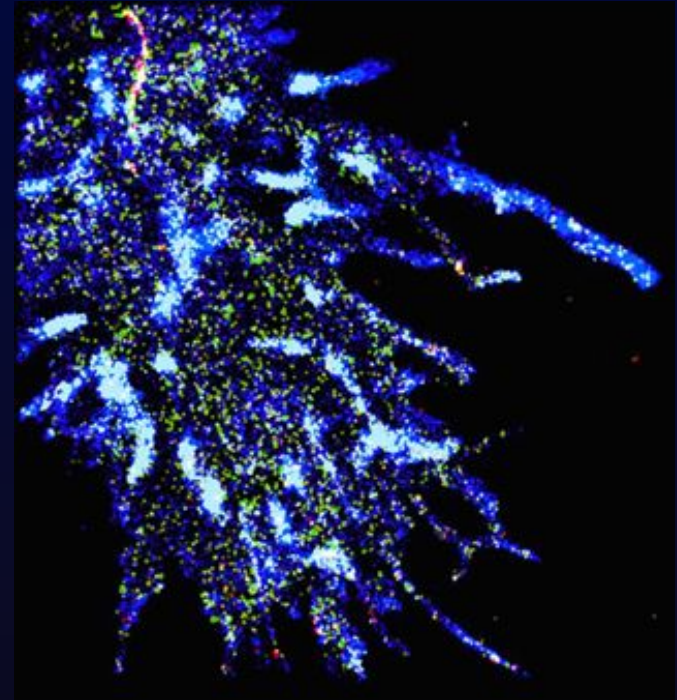
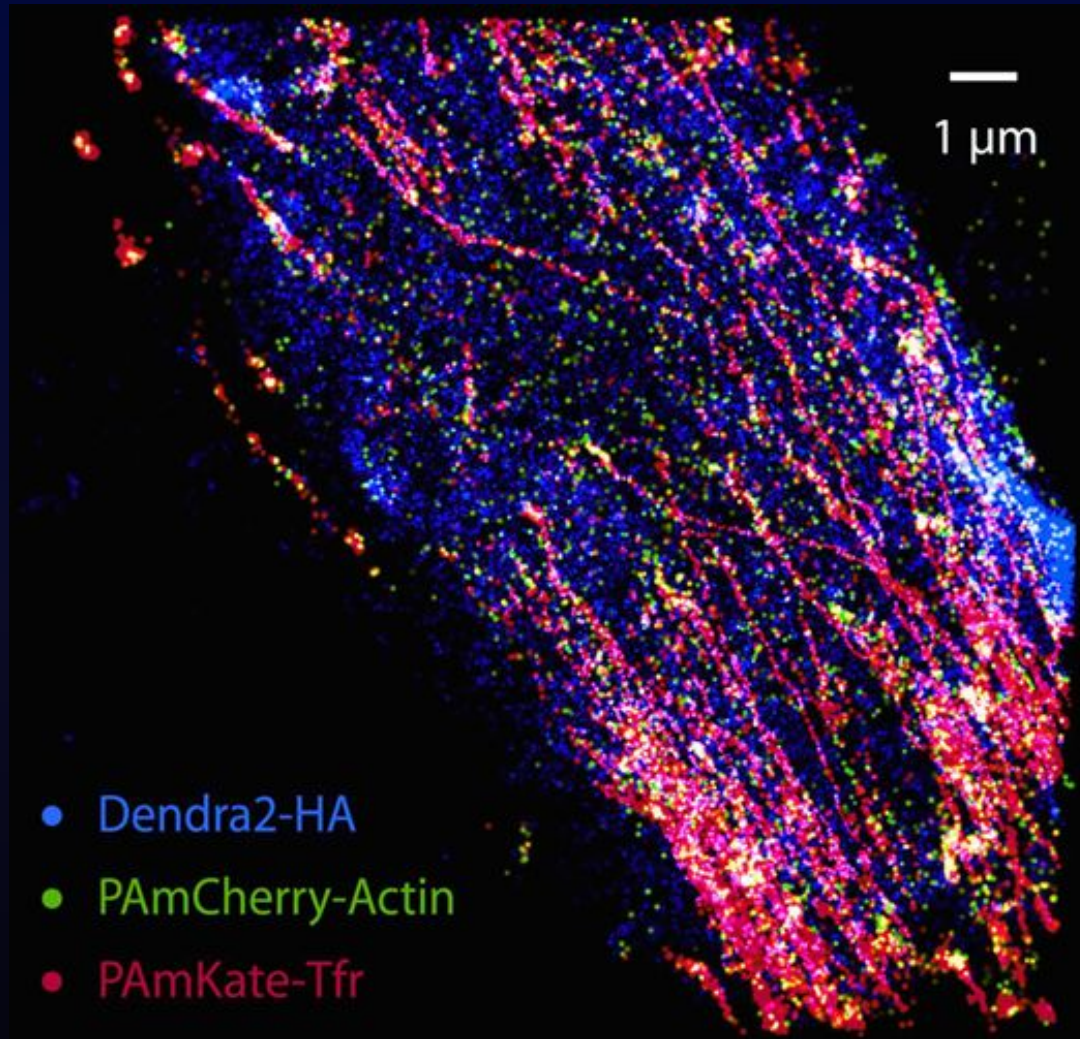
Here: live fibroblasts expressing Dendra2-hemagglutinin, PAmKate-transferrin receptor

For each molecule localized an alpha value is measured.

$$\text{Relative Intensity} \propto \frac{I_T}{I_T + I_R}$$



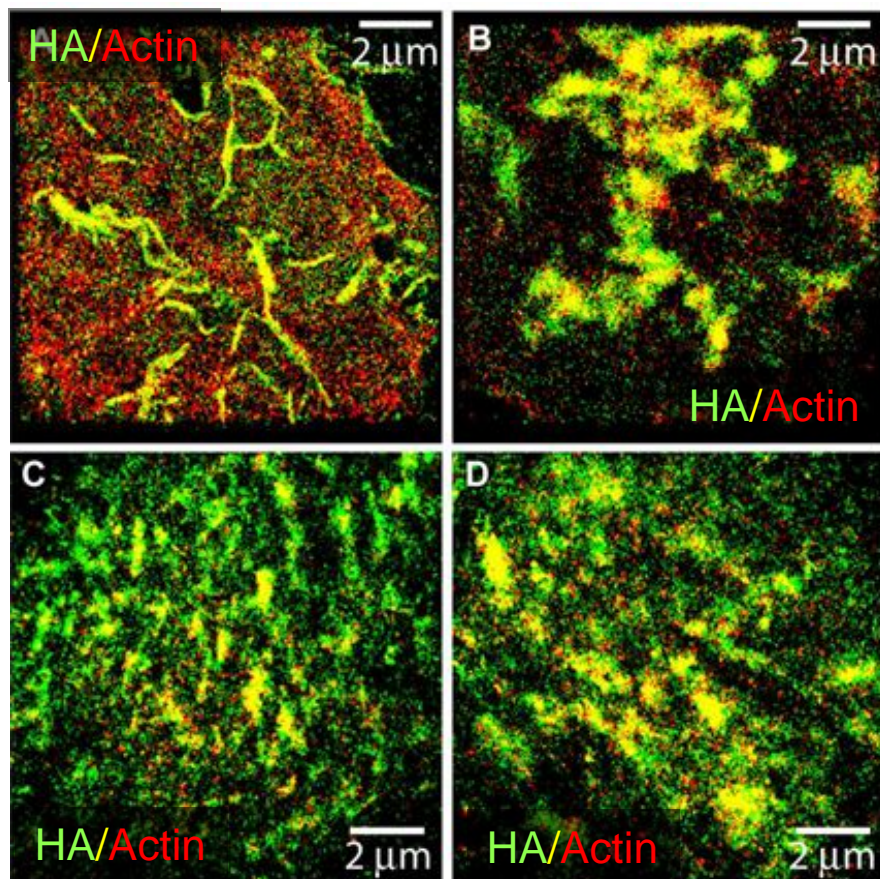
Multi-Color FPALM Images of Viral and Cellular Proteins in Live Cells



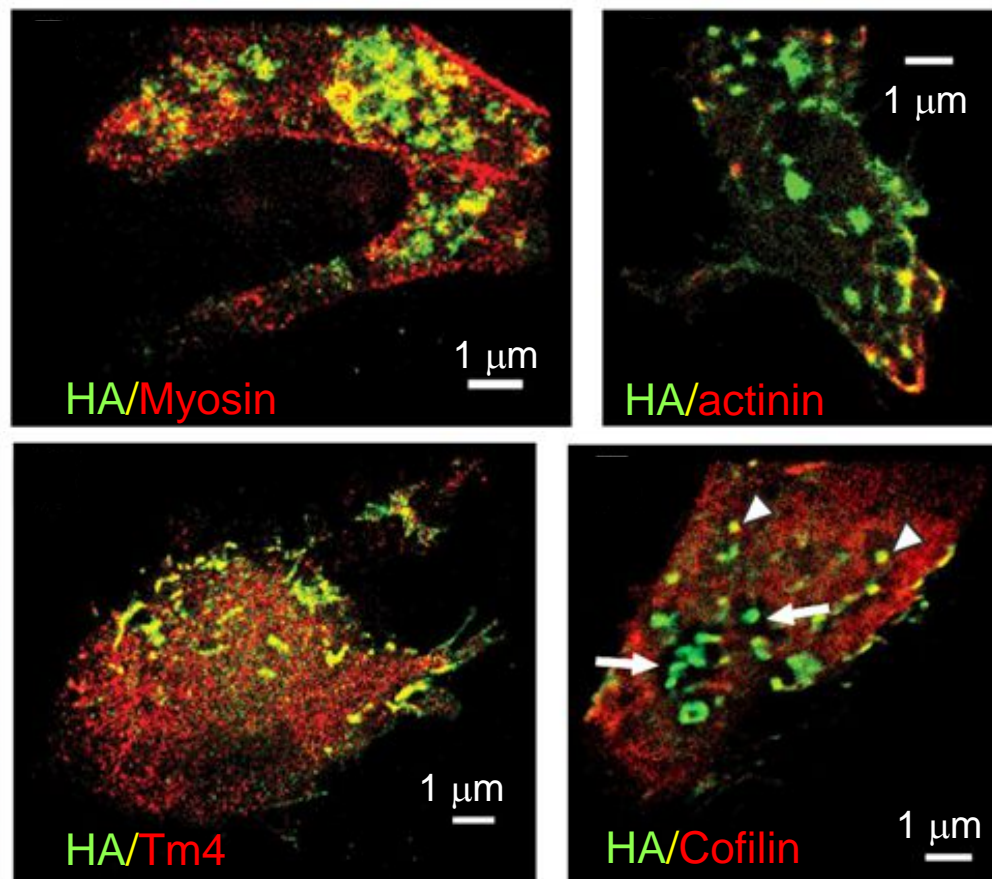
M.S. Gunewardene, *Biophysical Journal* (2011)
Image featured in *Nature*

Discovery: HA is Found Together with Actin and Actin Binding Proteins

HAb2 Cells



NIH3T3 Cells



MDCK Cells

M.V. Gudheti et al., *Biophys. J.* 2013.

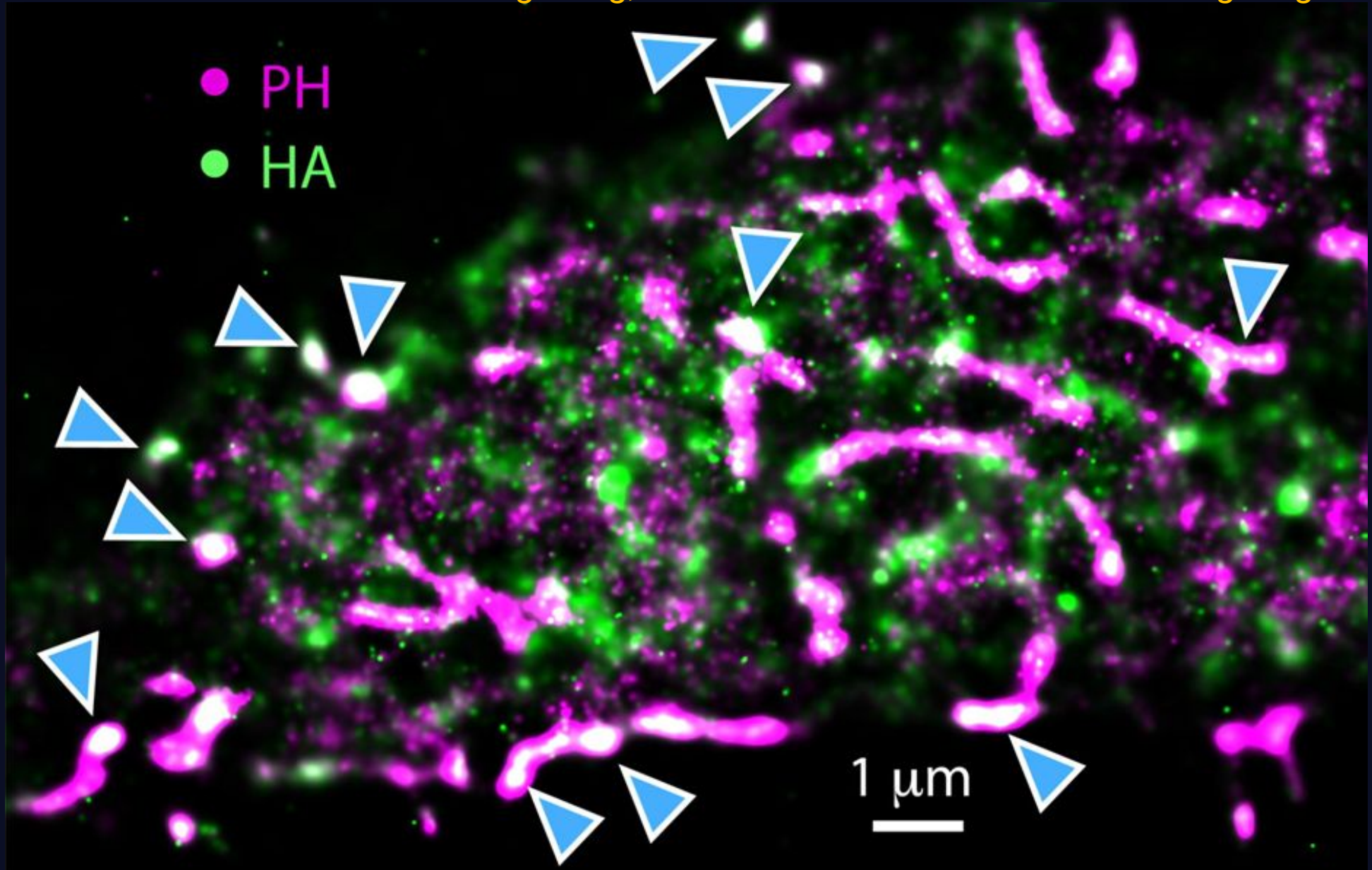
N. Curthoys, M. Valles, M. Parent (in preparation)

These same ABPs are found in purified influenza virus (Shaw et al. 2008)

Influenza Virus May Hijack ABPs for Infection

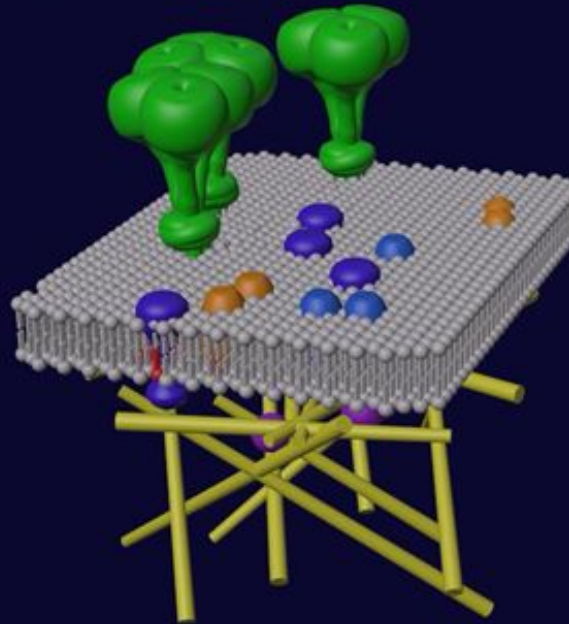
Discovery: The Lipid PIP2 Interacts with Influenza HA

PIP2 Controls Actin and Cell Signaling; Interaction could be an Anti-Viral Drug Target



Curthoys et al. *Biophysical Journal*, 2019

Model of HA, PIP2, Actin Interactions



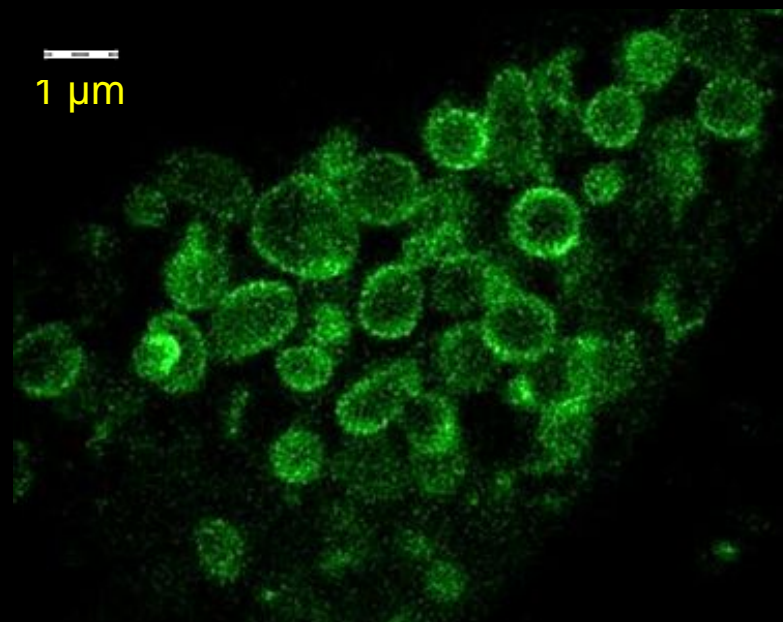
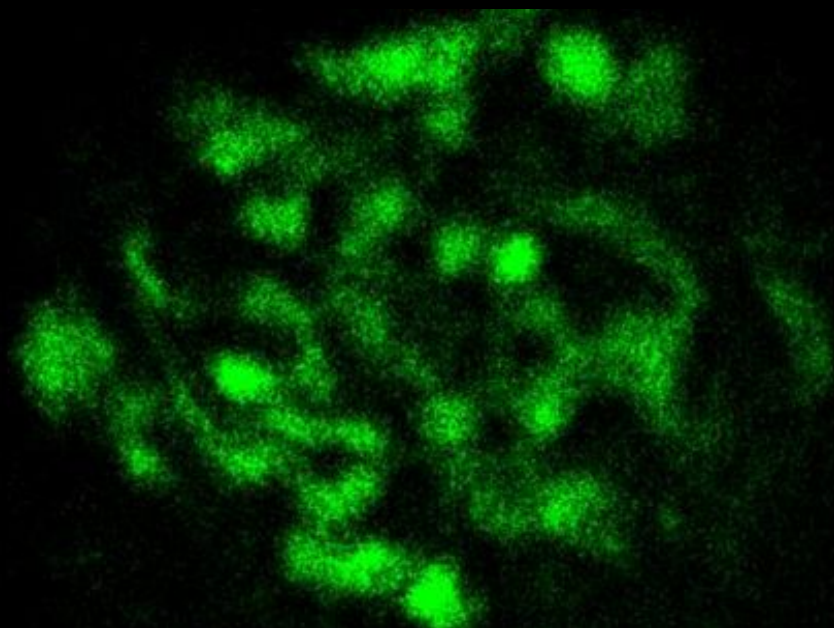
In Collaboration with Dr. Partha Mondal (IIS Bangalore, India), work is being extended to Dengue Virus

A. ii. Triclosan Alters Mitochondrial Morphology in Many Cell Types

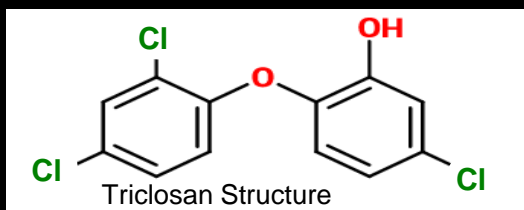
Changes are only visible using Super-Resolution Microscopy (first use in toxicology)

Control

10 μ M Triclosan



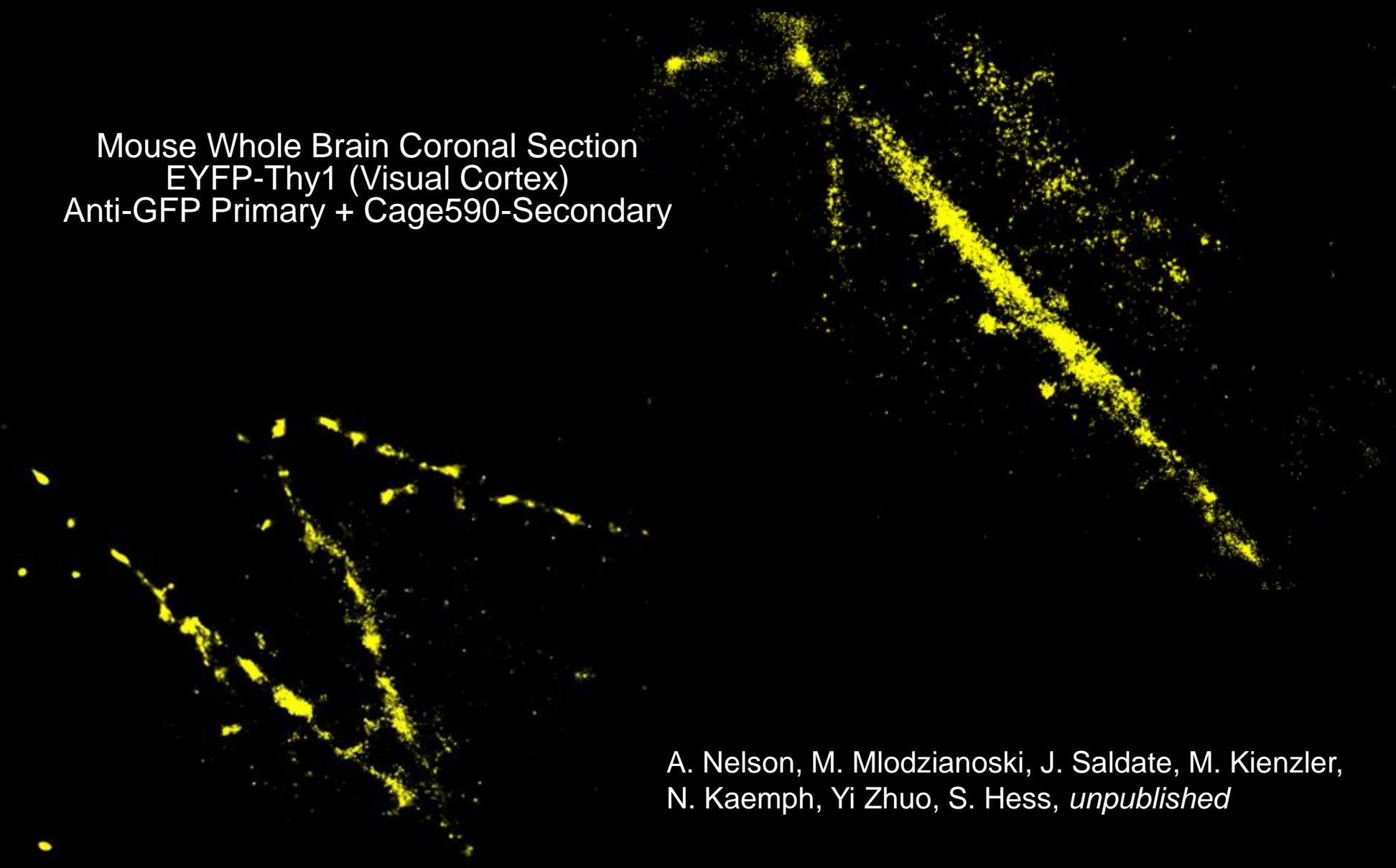
Mitochondria Labeled in NIH-3T3 cells using Dendra2-TOM20



L. Weatherly, A. Nelson, S. Hess, J. Gosse et al., *Toxicology and Applied Pharmacology* 2018

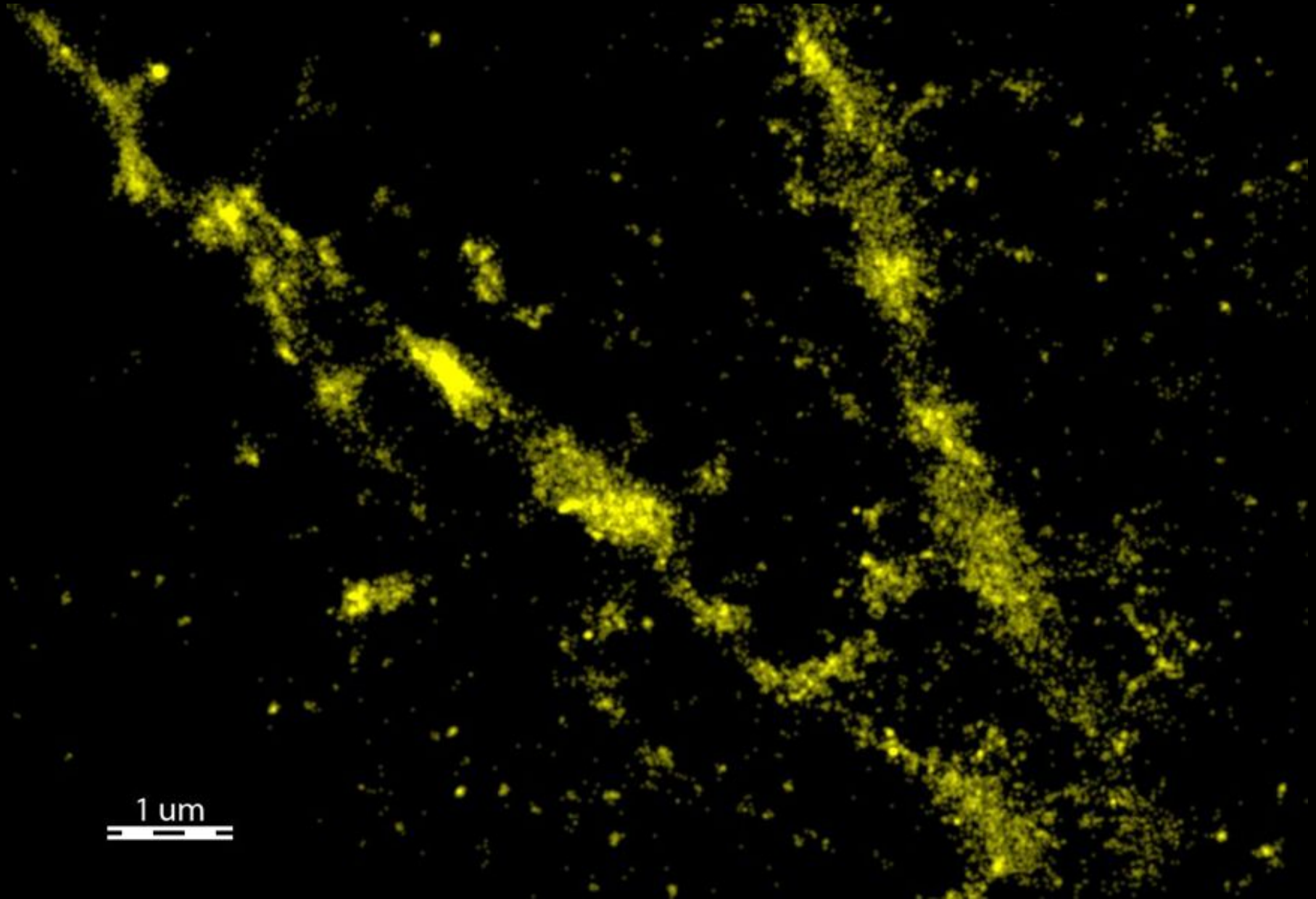
A. iii. Super Resolution Imaging of Dendritic Spines in Brain

Mouse Whole Brain Coronal Section
EYFP-Thy1 (Visual Cortex)
Anti-GFP Primary + Cage590-Secondary



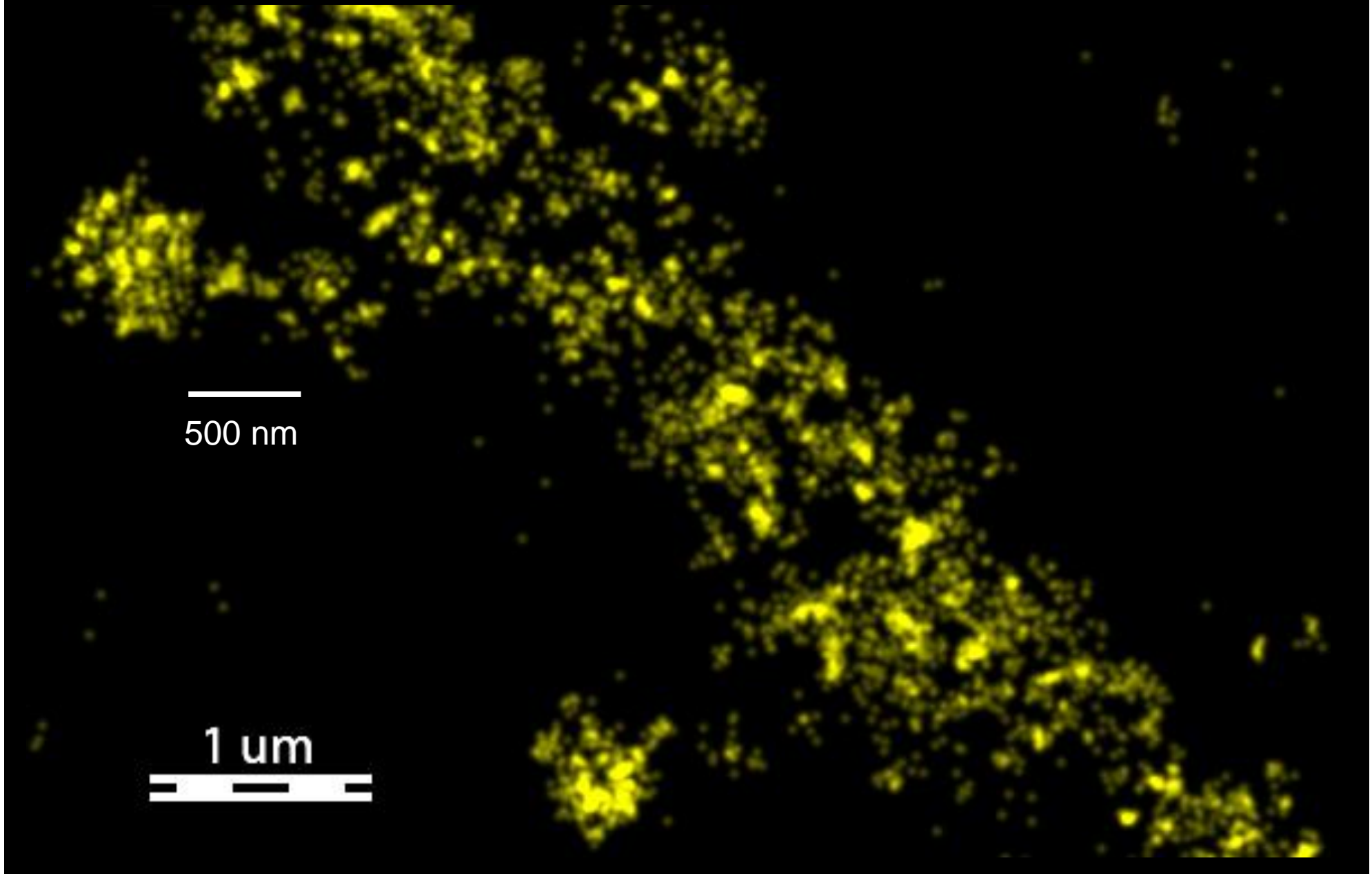
A. Nelson, M. Mlodzianoski, J. Saldate, M. Kienzler,
N. Kaemph, Yi Zhuo, S. Hess, *unpublished*

Super Resolution Imaging of Dendritic Spines in Brain

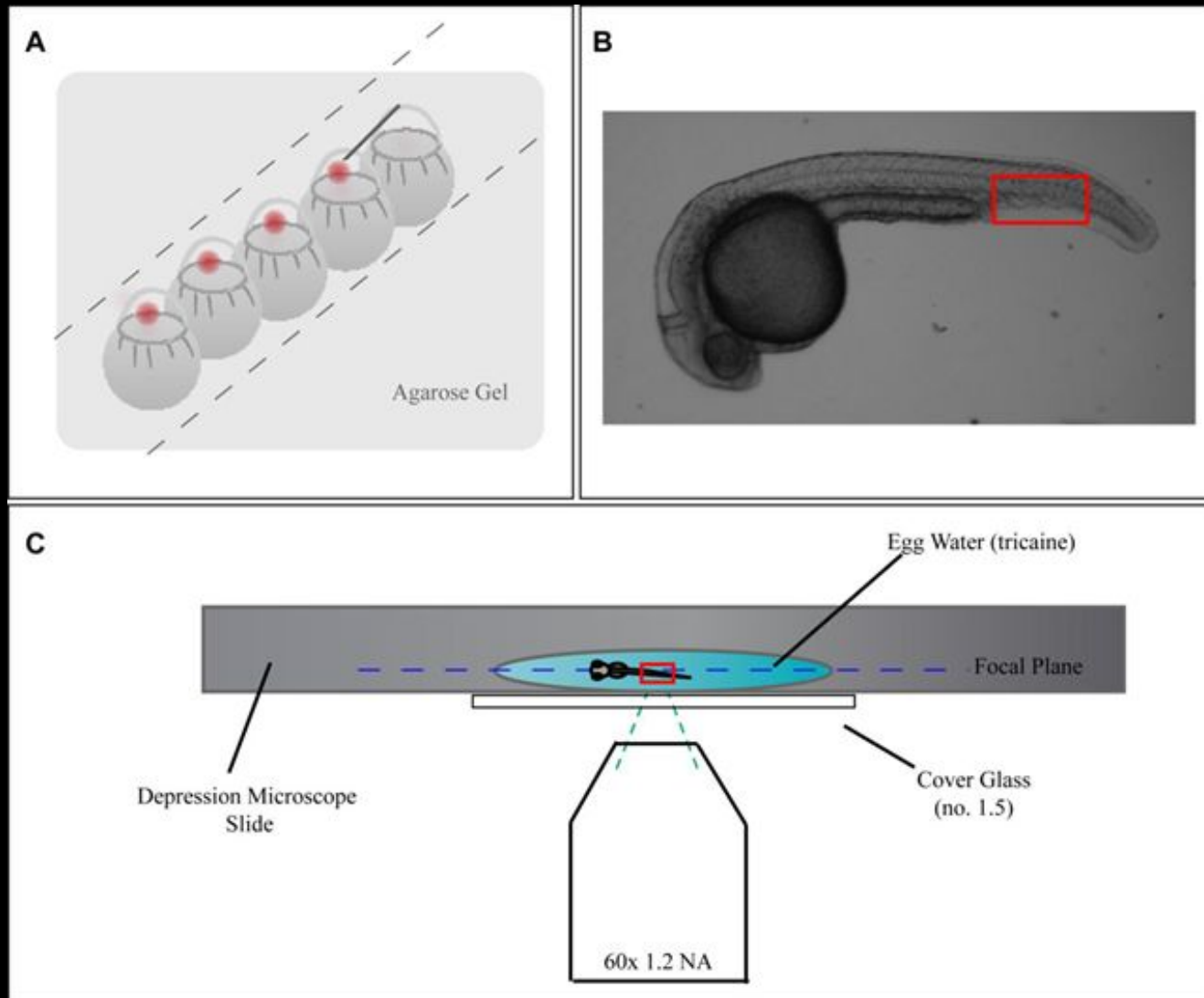


A. Nelson, M. Mlodzianoski, J. Saldate, M. Kienzler, N. Kaemph, Yi Zhuo, S. Hess, *unpublished*

Super Resolution Imaging of Dendritic Spines in Brain

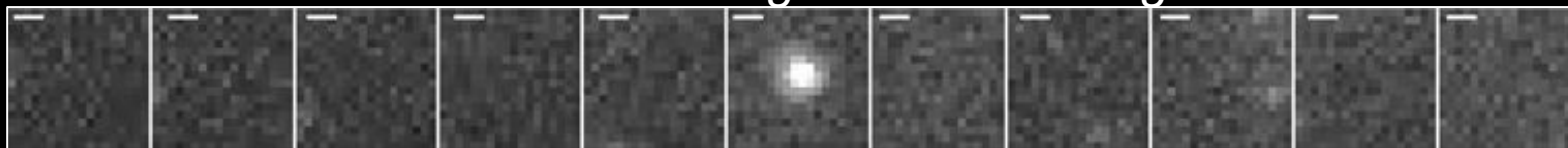


A. iv. First *In vivo* Localization Microscopy: Zebrafish



In Collaboration with Prof. Clarissa Henry, FPALM is being used in zebrafish to study Muscular Dystrophy (5 Year NIH Award for \$1.8 M)

In vivo Single Molecule Images



Bar=500 nm

K. Gabor, S. Hess, et al., PLoS One, 2015

B. Intellectual Property

U.S. Patents 7,772,569 and 7,880,149: “3D Biplane Microscopy,” Joerg Bewersdorf, Manuel Juette, Travis Gould, and Samuel T. Hess. **Licensed to Bruker Nano, Inc.**

U.S. Patents 8,217,992 and 8,994,807: “A Microscopy System and Method for Creating Three Dimensional Images Using Probe Molecules,” Brian Bennett, Joerg Bewersdorf, Travis Gould, Samuel Hess, Mudalige Gunewardene, and Erik Jorgensen. **Licensed to Bruker Nano, Inc.**

PCT Application: “Microscopic Imaging Techniques,” Joerg Bewersdorf, Michael D. Mason, and Samuel T. Hess, U.S. Patent Application Serial # 12/008,661. **Licensed to Bruker Nano, Inc.**

PCT Application (converted from provisional patent): “Nanoscale Imaging of Molecular Positions and Anisotropies” Samuel T. Hess, Travis J. Gould, and Mudalige S. Gunewardene. **Discussing licensing.**

Provisional Patent Application: “DETECTION AND ANALYSIS OF UNCHARGED PARTICLES UTILIZING CONSUMER-GRADE CCDS,” J. Cummings, J. Deaton, C.T. Hess, and S.T. Hess (submitted to USPTO; confirmation # E20198JN27103541)

Copyrighted Software

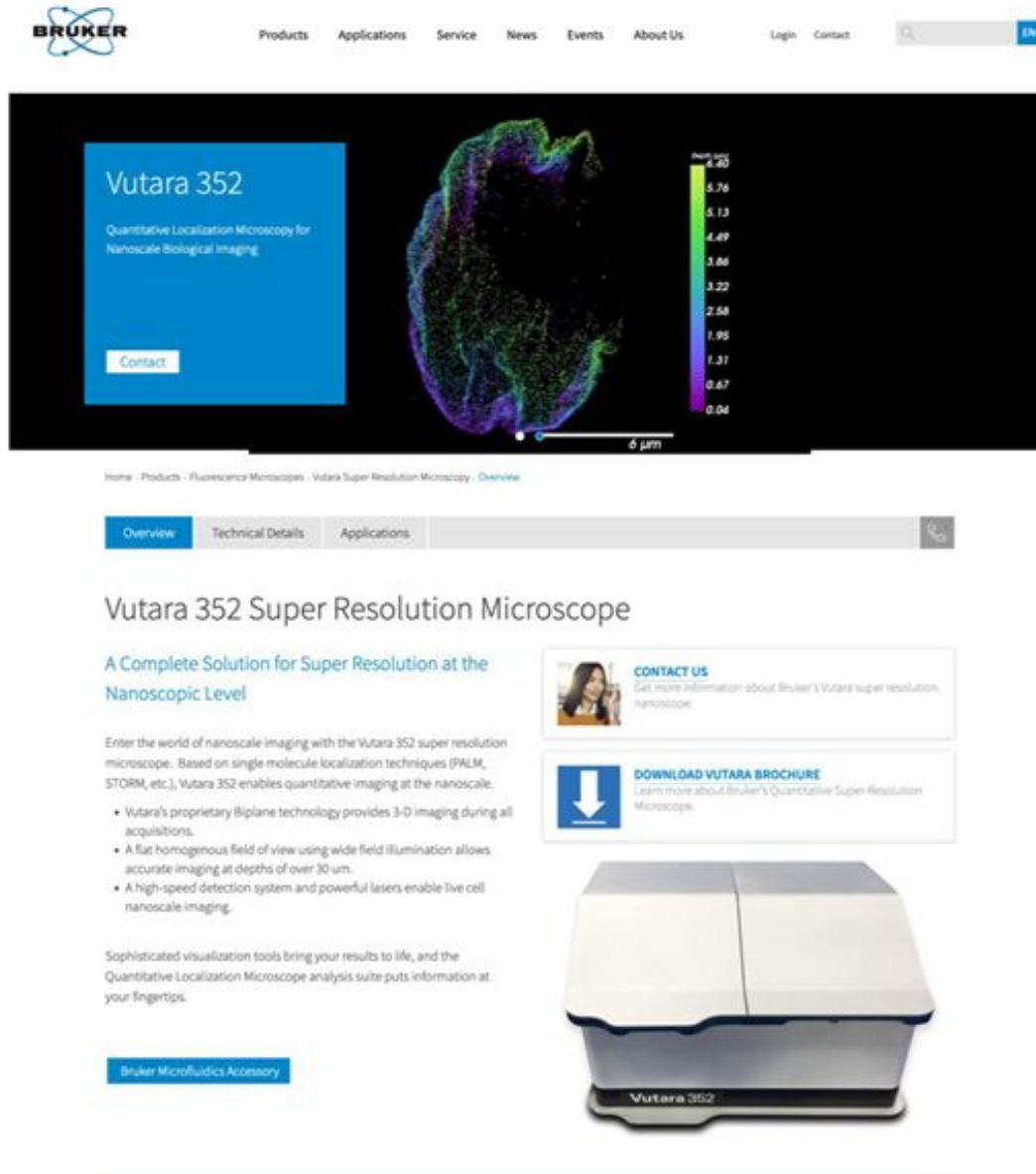
FPALM Graphical User Interface

FPALM Multi-color Analysis

FPALM High-Speed Parallel Analysis

Biplane (3D) FPALM Analysis Software (Sold with Bruker/Vutara Microscope)

C. Commercialization of FPALM: Vutara by Bruker Nano



BRUKER

Products Applications Service News Events About Us Login Contact

Vutara 352
Quantitative Localization Microscopy for
Nanoscale Biological Imaging

Contact

Home - Products - Fluorescence Microscopes - Vutara Super Resolution Microscopy - Overview

Overview Technical Details Applications

Vutara 352 Super Resolution Microscope

A Complete Solution for Super Resolution at the Nanoscopic Level

Enter the world of nanoscale imaging with the Vutara 352 super resolution microscope. Based on single molecule localization techniques (PALM, STORM, etc.), Vutara 352 enables quantitative imaging at the nanoscale.

- Vutara's proprietary Biplane technology provides 3-D imaging during all acquisitions.
- A flat homogenous field of view using wide field illumination allows accurate imaging at depths of over 30 µm.
- A high-speed detection system and powerful lasers enable live cell nanoscale imaging.

Sophisticated visualization tools bring your results to life, and the Quantitative Localization Microscope analysis suite puts information at your fingertips.

Download Vutara Brochure

Learn more about Bruker's Quantitative Super Resolution Microscope.

CONTACT US
Get more information about Bruker's Vutara super resolution microscope.

BRUKER MICROFLUIDICS ACCESSORY

Vutara 352

Producing and Selling
FPALM Microscopes

Hiring
Hess Lab Graduates

Sponsored Content by Bruker Nano Surfaces

Sep 27 2016

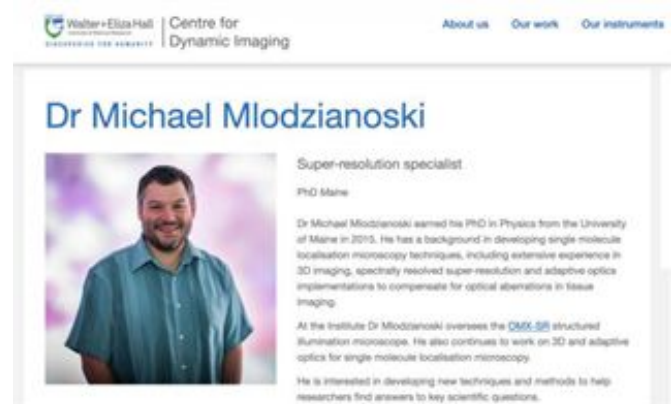


insights from industry

Dr. Manasa Gudheti
Applications Scientist

In this interview, News Medical speaks to Dr. Manasa Gudheti of Bruker Nano Surfaces about biological specimens and how to acquire super-resolution images of them.

Former Hess lab postdoc M.V. Gudheti, Bruker Nano



Walter+Eliza Hall
INNOVATION FOR A BETTER WORLD

Centre for
Dynamic Imaging

About us Our work Our instruments

Dr Michael Mlodzianoski

Super-resolution specialist
PhD Maine

Dr Michael Mlodzianoski earned his PhD in Physics from the University of Maine in 2010. He has a background in developing single molecule localization microscopy techniques, including extensive experience in 3D imaging, spectrally resolved super-resolution and adaptive optics implementations to compensate for optical aberrations in tissue imaging.

At the Institute Dr Mlodzianoski oversees the OM5.5B structured illumination microscope. He also continues to work on 3D and adaptive optics for single molecule localization microscopy.

He is interested in developing new techniques and methods to help researchers find answers to key scientific questions.

Bruker Nano, Inc. has licensed a number of patents held by S. Hess, U. Maine, and the Jackson Lab

B.S. Physics, UMaine '04
Ph.D. Physics, UMaine '16

D. Training, Collaboration, and Outreach

Graduates are Highly Skilled in
Advanced Optical Microscopy

Estimated Number Trained:

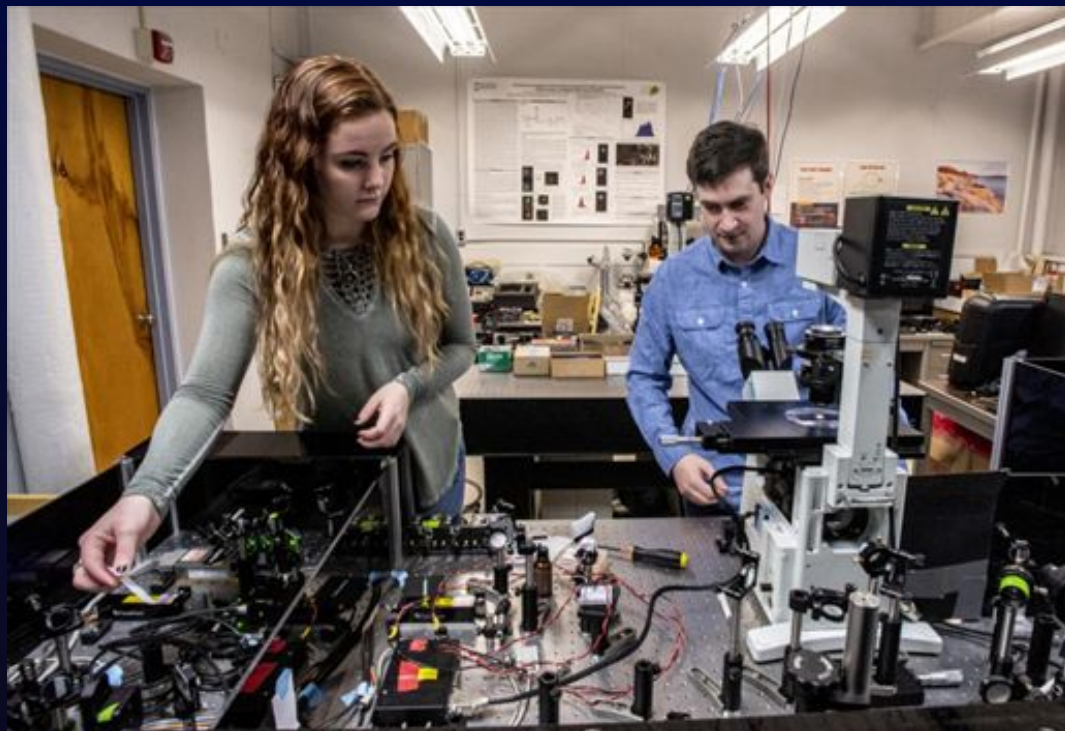
23 PhD-Level Scientists

36 Graduate Students

23 Undergraduates

Jobs: Cornell Med., Yale Med.,
Jackson Lab, IDEXX, Draper
Labs, Hannaford, U.S. Navy,
NIH, Bates College, U. Colombo,
Karolinska Institute Sweden,
NCRS Grenoble France,
IIT Genova Italy

Grad School: Cornell, MIT,
Brown, Vanderbilt, Brandeis, U.
Washington, URI, U. New Mexico
Wash. U. St. Louis, MMA, BU



Tours for:

Dr. Roderick MacKinnon, Nobel Laureate

Dr. Susan Hunter, President, University of Maine

Chuck Peddle, Inventor

Pete and Ada Correll, UMS Benefactors

Members of the Maine State Senate

Scientists from: Italy, Australia, Germany, Canada,
India, France, Saudi Arabia

Prospective Students, numerous others

D. Training, Collaboration, and Outreach

Past Collaborations:

Dr. Greg Cox; Dr. Roger Sher; Dr. Joerg Bewersdorf, The Jackson Laboratory
Dr. Igor Prudovsky, Maine Medical Center Research Institute
Dr. Janet Hock, Maine Institute for Human Genetics and Health
Prof. Carol Kim; Prof. David Neivandt, University of Maine
Prof. Dominique Bourgeois, Ph.D., CNRS Grenoble, France
Prof. Alberto Diaspro, University of Genova, Italy
Dr. David Santucci; Prof. John Lisman, Brandeis University
Dr. Vladislav Verkhusha, Albert Einstein College of Medicine
Prof. Peter Gunning, University of New South Wales, Australia

Ongoing Collaborations:

Bruker Nano / Vutara Inc., Salt Lake City, UT	FPALM Commercialization
Prof. Robert Meulenberg, University of Maine	Probe Development
Prof. Michael Mason, University of Maine	Artificial Bone
Prof. Clarissa Henry, University of Maine	Muscular Dystrophy
Prof. Julie Gosse, University of Maine	Toxicology and Allergy
Prof. Melissa Maginnis, University of Maine	JC Polyoma Virus
Prof. Partha Mondal, IIT Bangalore, India	Technology Development
Dr. Joshua Zimmerberg, National Institutes of Health	Influenza Virology
Dr. Steven Vogel, National Institutes of Health	Technology Development

E. Overall Impact

1. Science

Advances in Influenza, Muscular Dystrophy, Neuroscience, Toxicology

2. Commercialization

New Company and Products, Collaboration with UMaine & Jackson Lab
Opportunities to License New and Existing IP
New Jobs for Hess Lab Graduates

3. New Grant Funding: New Jobs, Technology, and Collaborations

3x NIH R15s: Hired 11 new graduate students and two postdocs

2x NIH R01s: Hired multiple graduate students and staff

NSF MRI: New collaboration in optical probe development

NSF PSP: hired three new faculty at UMaine, 10-12 staff

NASA: New collaboration in drones/imaging, hired multiple new students

Total New Grant Funding and Revenue: \$28.5 Million

4. Training

Graduates are Highly Skilled in Advanced Optical Microscopy

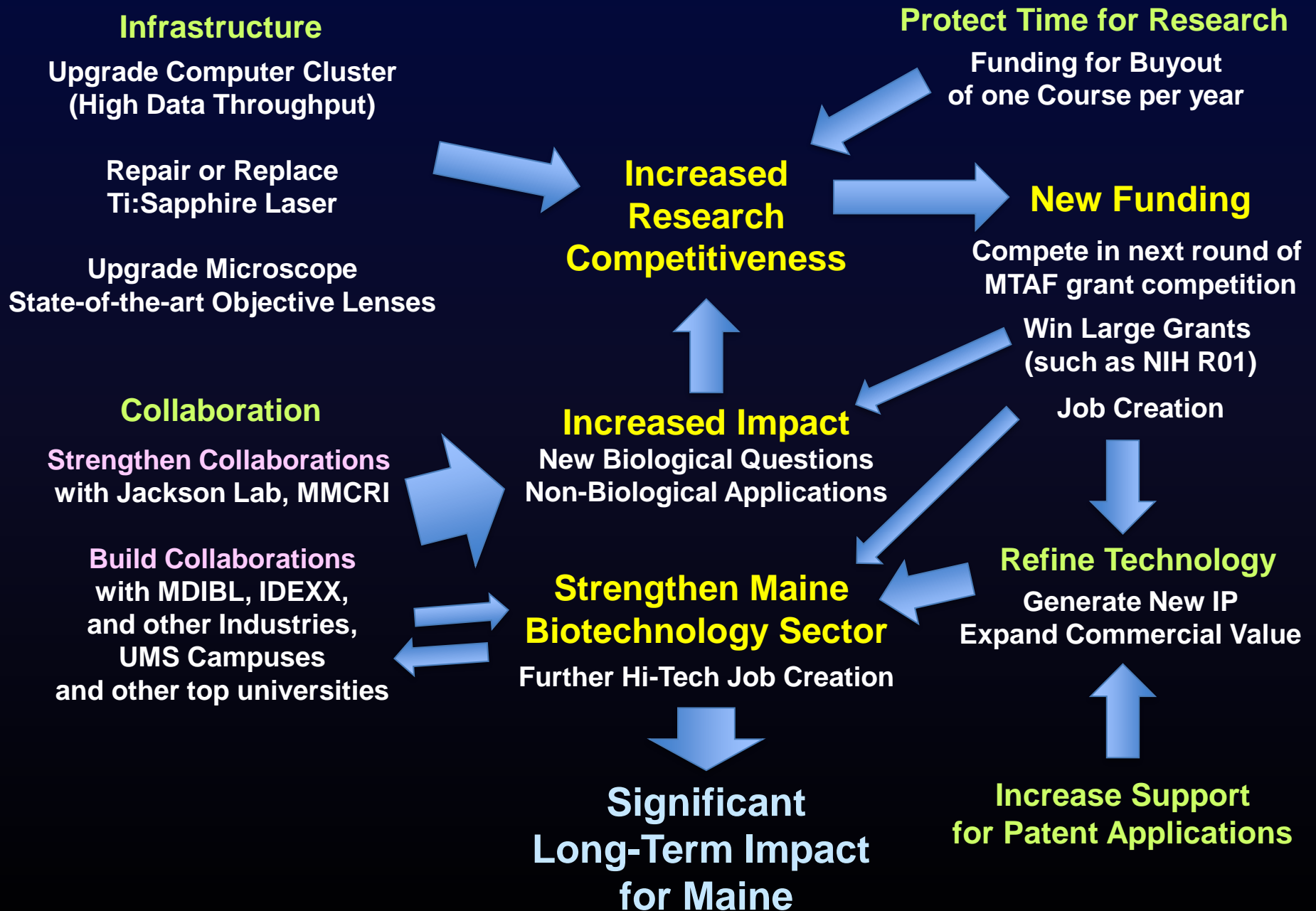
Estimated Number Trained in FPALM/Microscopy:

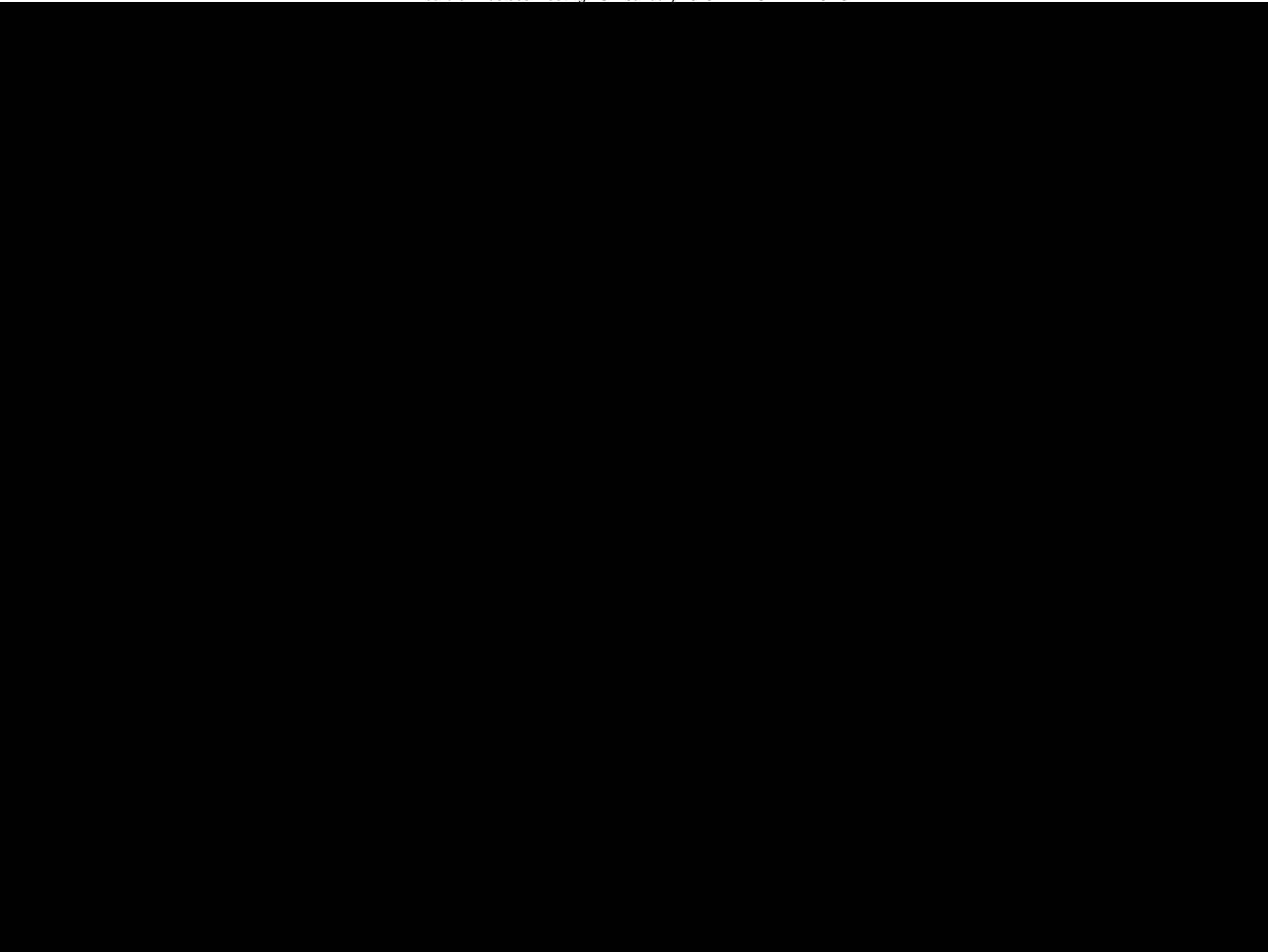
23 Scientists, 36 Graduate Students, 23 Undergraduates

5. User Facility Revenue

Total New Revenue of \$34.3 k, not including \$1.07M equipment donation and recently loaned Zeiss 510 laser scanning microscope (>\$1M value new)

F. Future Goals and Approach







UMS Board of Trustees Meeting
January 27, 2020

Ryan Low

Vice Chancellor for Finance and Administration

Net Asset Value





Net Asset Value

Net Asset Value Index

The NAV Index is an annual statistic that represents the overarching impression of campus condition and is calculated by subtracting the backlog from the current replacement value of the campus and then dividing by the replacement value

$$\text{NAV Index} = \frac{(\text{Current Replacement Value} - \text{Asset Reinvestment Backlog})}{\text{Current Replacement Value}}$$

This slide deck was prepared in partnership with Sightlines, the 3rd party assessment firm with which UMS partners for this data.



Net Asset Value

As described by 3rd party partner:

85% NAV or better
Capital Upkeep Stage



Primarily new or recently renovated buildings with sporadic building repair & life cycle needs; “You pick the projects”

70-85% NAV
Repair and Maintain Stage



Buildings are beginning to show their age and may require more significant investment on a case-by-case basis



Net Asset Value

As described by 3rd party partner:

50-70% NAV
**Systemic Renovation
Stage**



Buildings may require more significant repairs; large capital infusions; “The projects pick you”

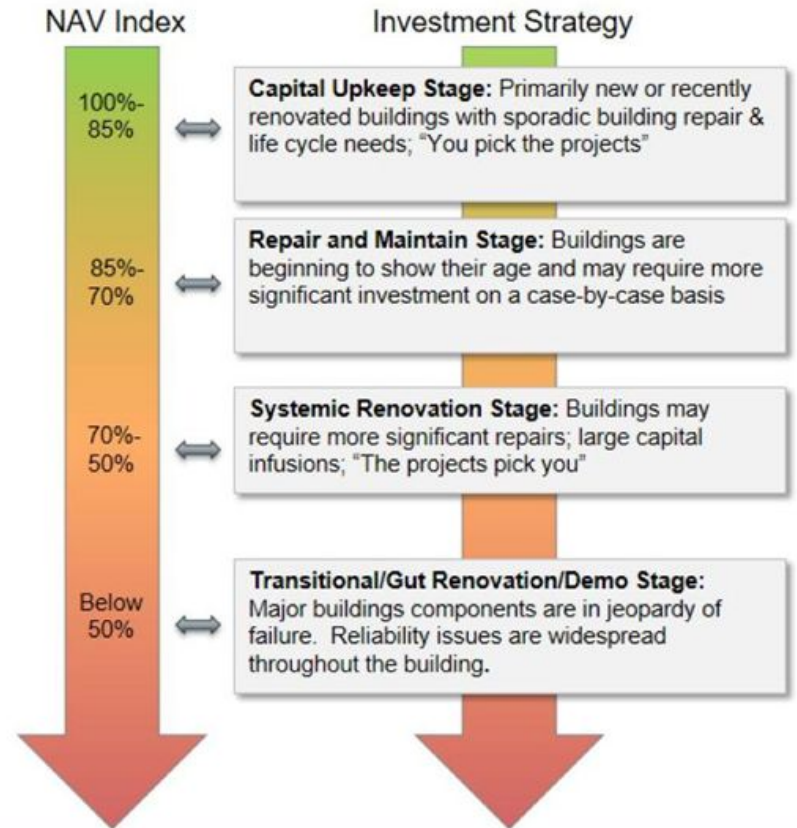
<50 NAV
**Transition/Gut
Renovation/Demo
Stage**



Major buildings components are in jeopardy of failure. Reliability issues are widespread throughout the building.

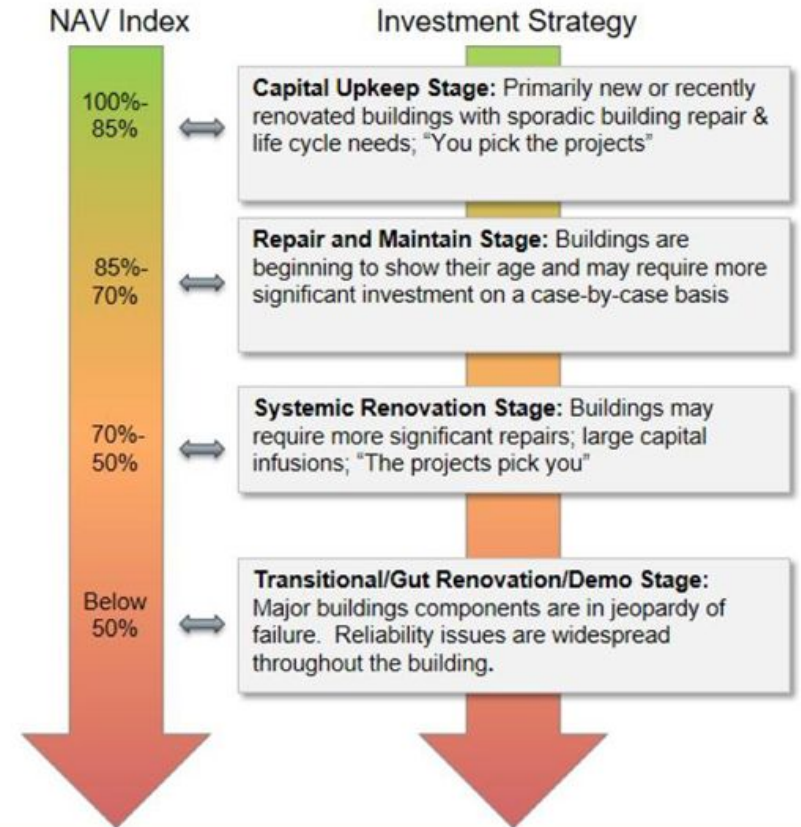


Rate of Deferral Slows but NAV Continues to Decrease





FY18 Net Asset Value by Campus





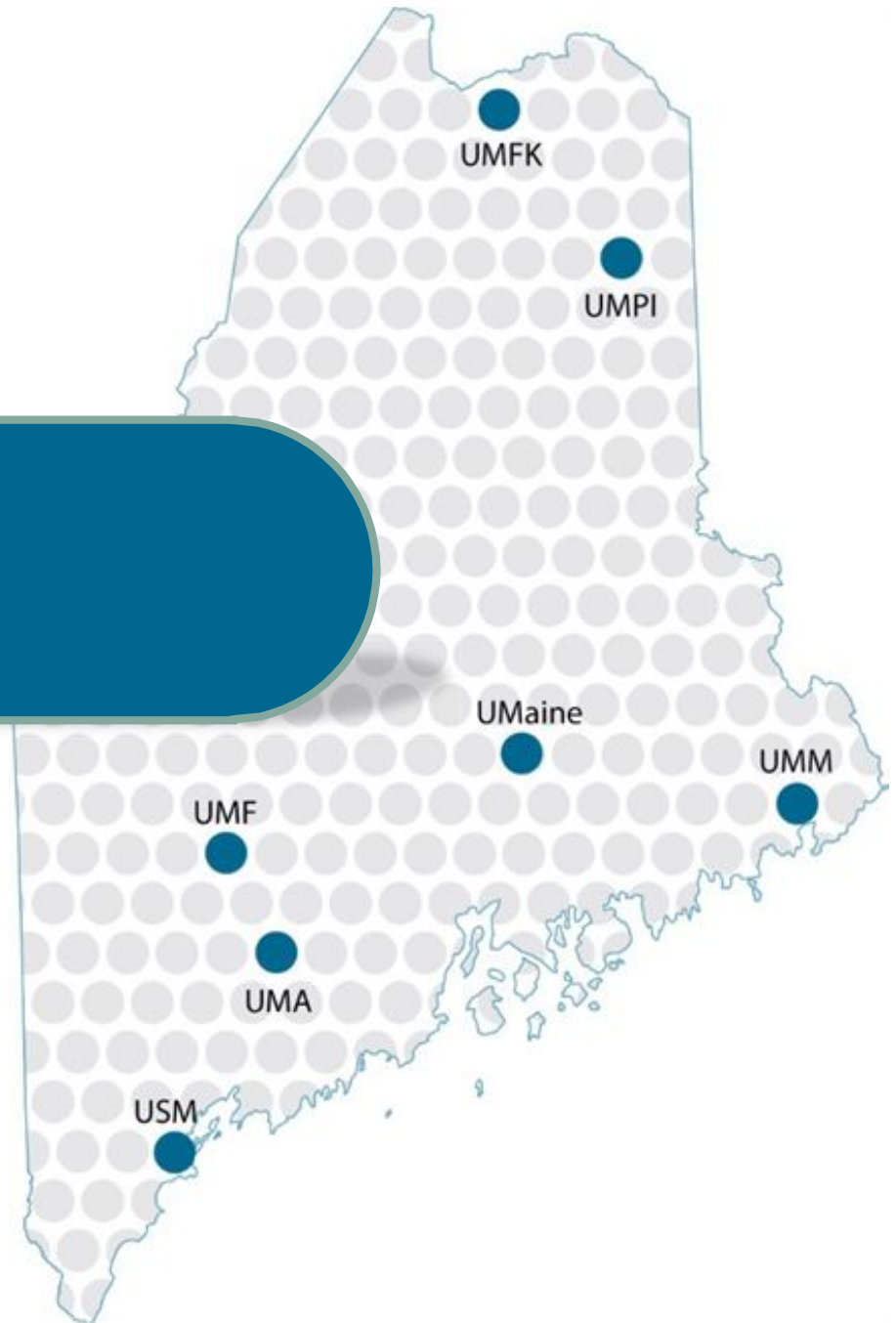
Questions?





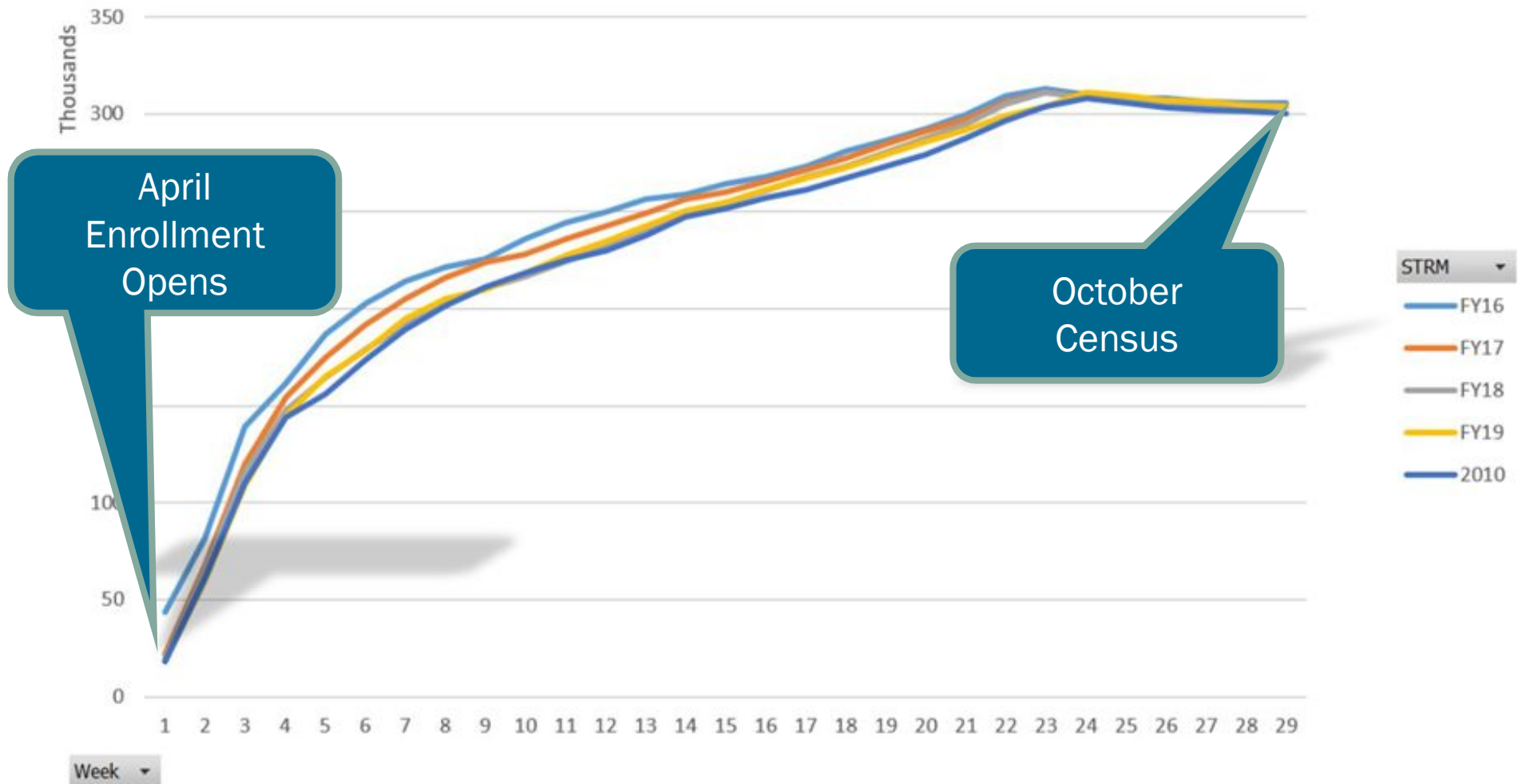
UMS KPIs

Applications



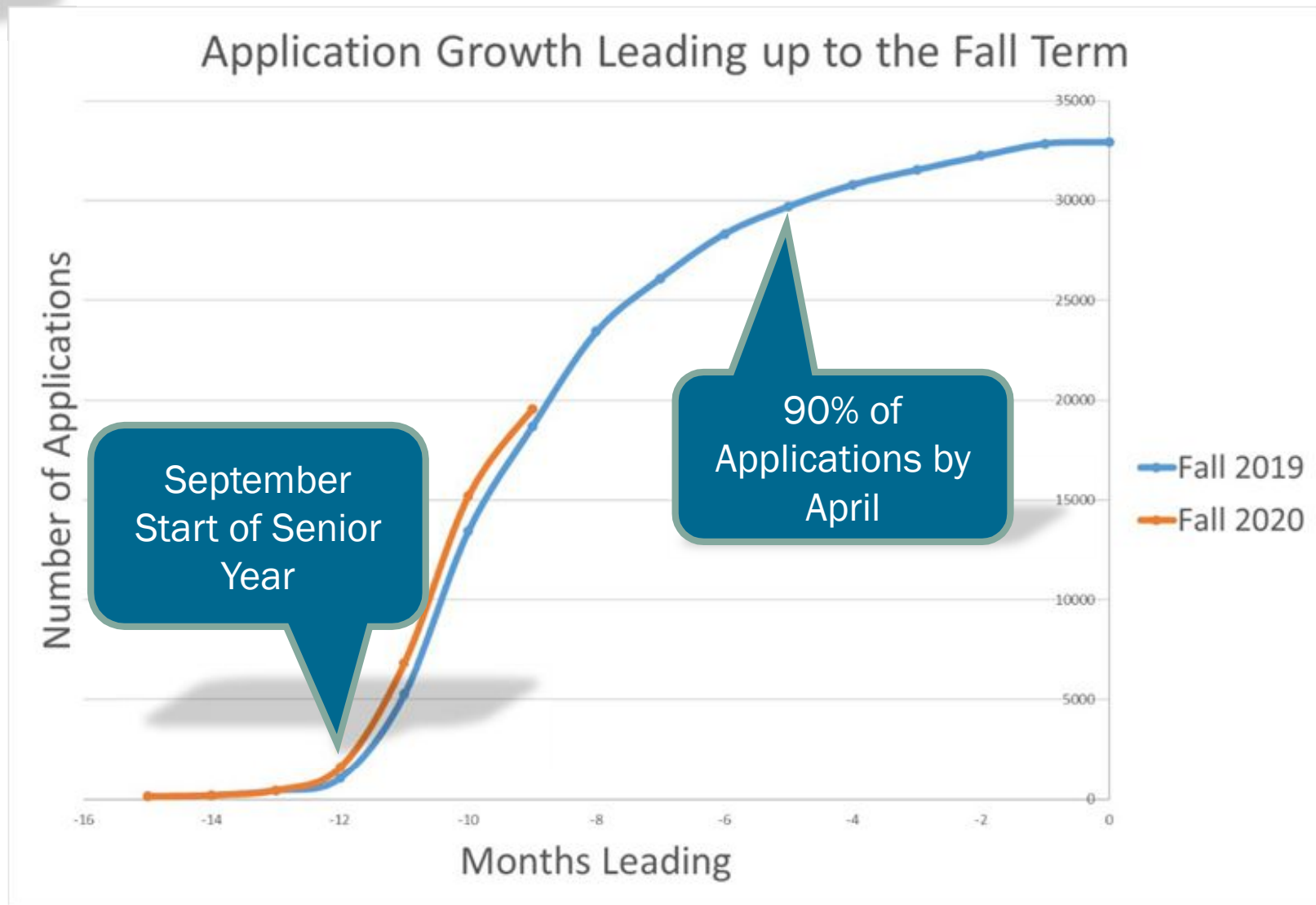


Enrollment Build



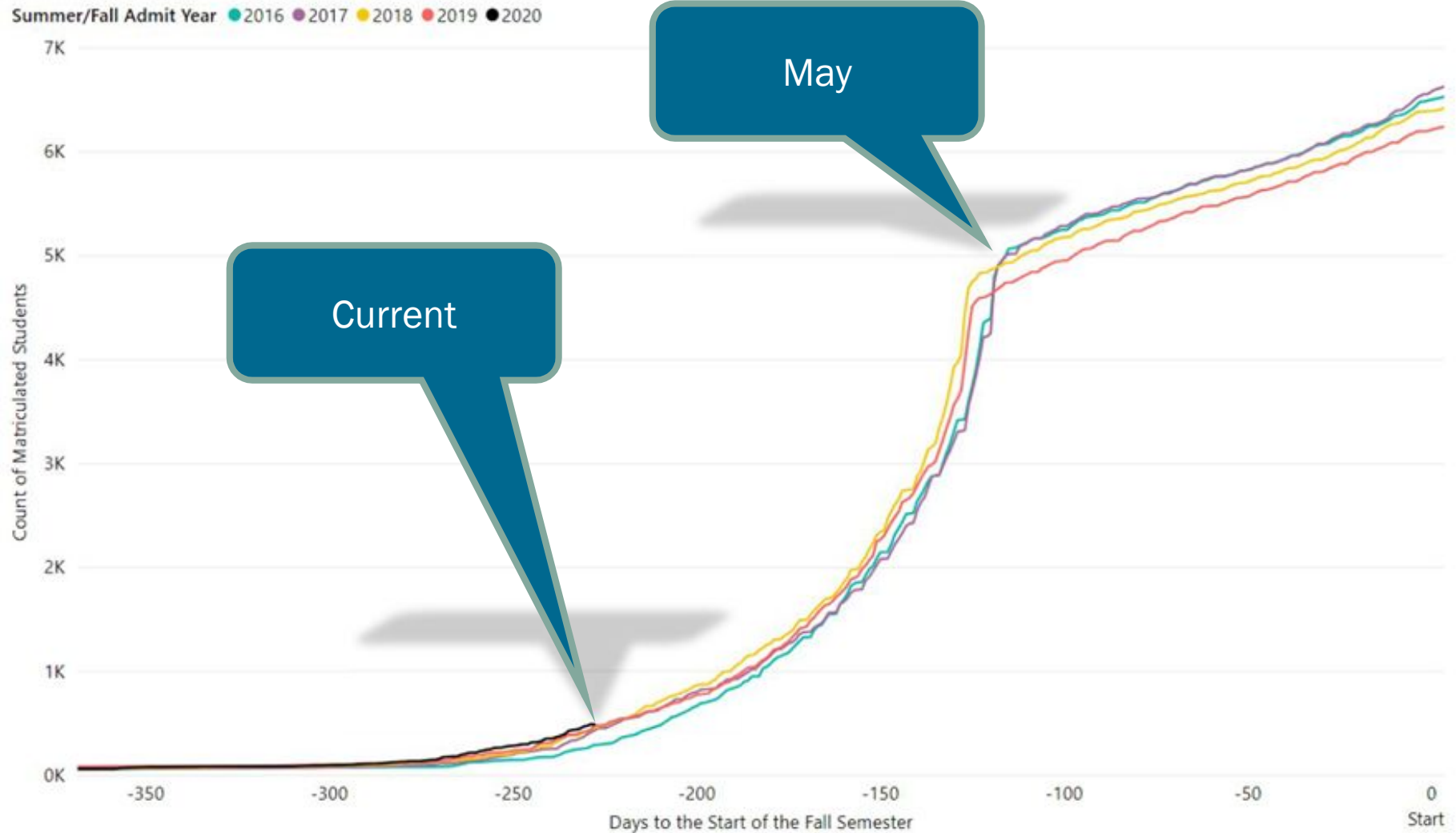


Application Build





Matriculation Build



Maine's Public Universities
UNIVERSITY OF MAINE SYSTEM



Application Aging

Filters

Residency

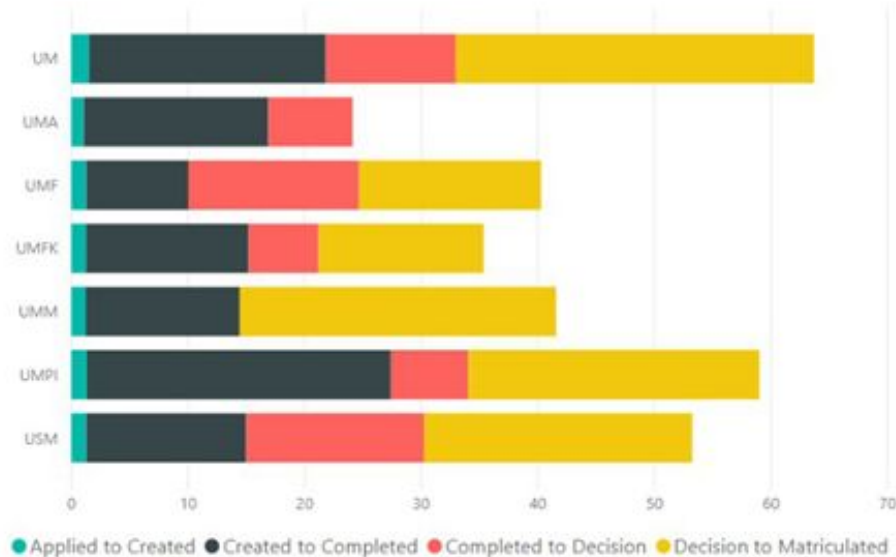
- ☒ Select all
- ☒ In-State
- ☒ Out-of-State

Student Type

- ☒ Select all
- ☒ First-Year
- ☒ Transfer

2020 Summer and Fall Applications

Institution	Total Applications	Incomplete Applications	Completed Applications	No Decision	Denied	Admitted	Matriculated
UM	12834	3134	9700	1374	304	8027	169
UMA	1216	550	666	169	0	498	
UMF	1406	246	1160	153	6	1001	66
UMFK	705	215	490	23	0	468	60
UMM	358	101	257	2	3	252	8
UMPI	593	169	424	27	2	395	22
USM	3819	779	3040	199	64	2778	115
Total	20931	5194	15737	1947	379	13419	440



Average Days between Admissions Processes

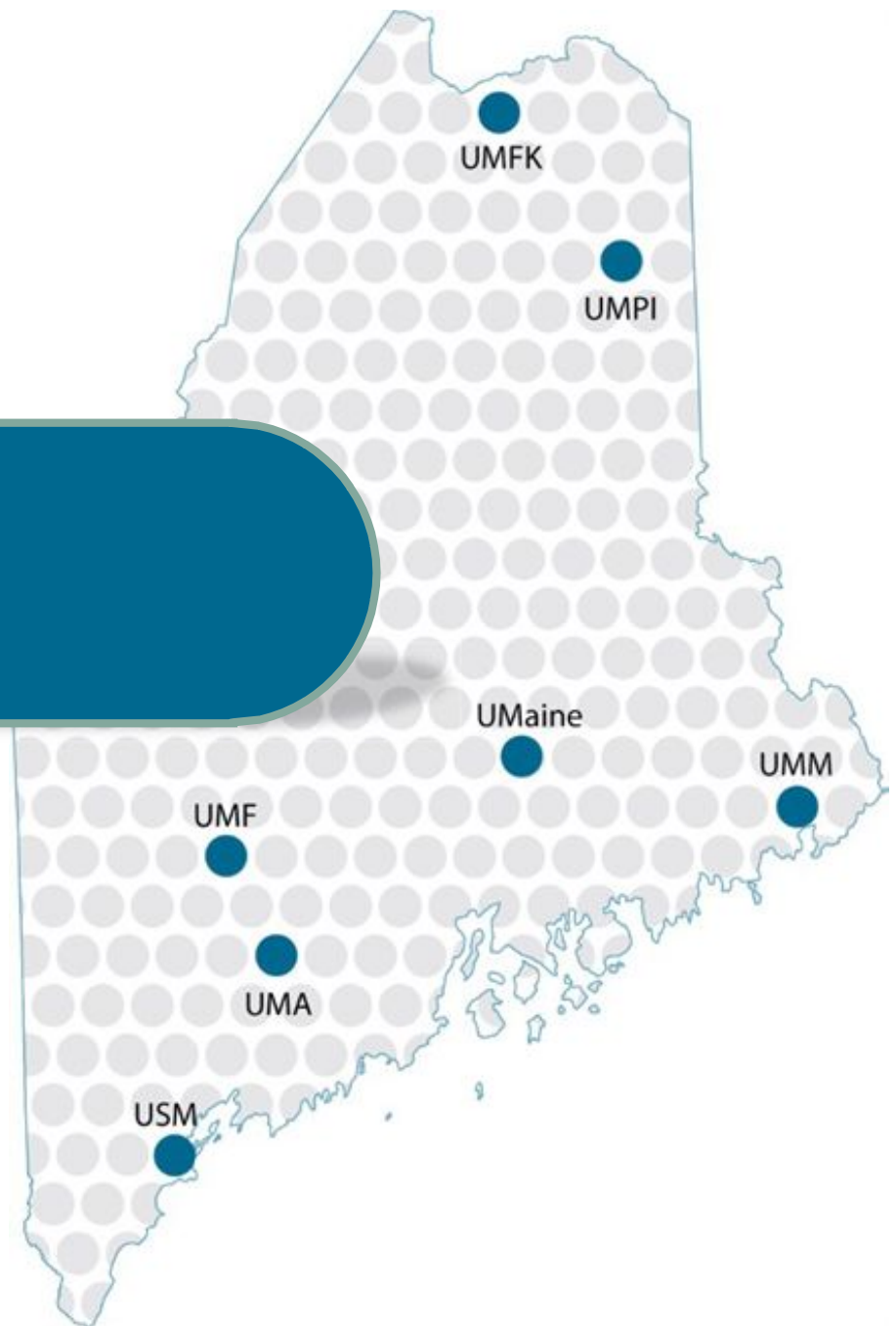
Institution	Applied to Created	Created to Completed	Completed to Decision	Decision to Matriculated
UM	1.54	20.29	11.14	30.72
UMA	1.07	15.81	7.23	
UMF	1.28	8.75	14.64	15.61
UMFK	1.26	13.94	6.00	14.15
UMM	1.24	13.19	0.00	27.14
UMPI	1.34	26.06	6.65	24.95
USM	1.28	13.71	15.28	22.98
Total	1.43	17.82	11.60	23.43

Notes: "Average days" figures exclude outliers (see Glossary). UMA does not require a deposit and matriculates students on the same date they make an admission decision. UMM marks applications as complete on the same date they make an admission decision. Definitions are available on the "Glossary" tab of this report.



UMS PFE

Programs For Examination





Current Version

University of Maine at Farmington Example

Program	College (Division/Program for Faculty Count)	Field/Discipline	Enrolled	Conferred	Faculty
Psychology	Arts & Sciences (Psychology)	Social & Behavioral	185.3	3.7	9.0
Secondary Ed Earth & Space Sci	CEHR (Secondary/Middle Education)	Education	1.0	0.3	5.3
Secondary Ed Life Sciences	CEHR (Secondary/Middle Education)	Education	5.7	5.7	5.3
Secondary Ed Mathematics	CEHR (Secondary/Middle Education)	Education	38.3	0.7	5.3
Secondary Ed Physical Sciences	CEHR (Secondary/Middle Education)	Education	4.0	9.0	5.3
Secondary Ed Social Studies	CEHR (Secondary/Middle Education)	Education	70.3	10.0	5.3
Secondary Education Chemistry	CEHR (Secondary/Middle Education)	Education	2.3	12.0	5.3
Secondary Education English	CEHR (Secondary/Middle Education)	Education	58.0	7.0	5.3
Secondary Education Science	CEHR (Secondary/Middle Education)	Education	15.7	26.3	5.3
Special Education	CEHR (Secondary/Special Education)	Education	48.0	4.7	4.3

Academic APL Section 305.7 Programs for Examination



Draft Concept

University of Maine at Farmington

Institution	PFE Division	Programs	Program Level	Course Subjects
UMF	<i>Education</i>	All Programs	All Program Levels	ECH, ECS, EDU, SED
UMF	<i>Community Health, Recreation, & Rehabilitation</i>	All Programs Addiction Rehabilitation Certificate Child & Adolescent Health Education Minor Coaching Minor Community Health	All Program Levels Bachelor Master Certificate (Undergraduate) Certificate (Graduate)	HEA, REC, REH, SHE, PEC, PHE




Thank you




State of IT Annual Report

Board of Trustees
January 27, 2020




UNIVERSITY OF MAINE SYSTEM

**University Services
Information Technology**



2019 State of IT Annual Report




UNIVERSITY OF MAINE SYSTEM

- New Digital Format
- Service Highlights & KPIs
- FY20 and FY21 Budgets
- Key Project Updates
- On The Horizon

UNIVERSITY SERVICES:
INFORMATION TECHNOLOGY

State of IT Report 2019




Home | [About the site](#) | [IT Service Highlights](#) | [UMIT Strategic Plan](#) | [UMIT FY21 Budget](#) | [Project Updates](#)

UMIT Year in Review | [UMIT the vision](#)

Home > [About the site](#)








WHO WE ARE




The University Services Information Technology (UMIT) Group is a centralized support organization for the University of Maine System. We are a dedicated team of professionals responsible for strategic planning, budgeting, selection and operation of IT infrastructure, hardware and support services. We are proud to deliver online learning support and services to each of the University of Maine System campuses, centers and operations across the State.

Supporting each campus, the Campus Information Technology Officer (CITTO) works closely with the dedicated IT Operations Manager to provide strategic and operational alignment of local IT resources.

Campus	CITTO	IT Operations Manager
UMIT Portland	Brian McPherson	Jeffrey Richardson
UMIT Bangor	Brian McPherson	Harold Macdonald
UMIT Calais	Brian McPherson	Thomas Davis

















2019 State of IT Annual Report




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- **Available in Electronic Format to Improve:**
 - Usability
 - Readability
 - Accessibility



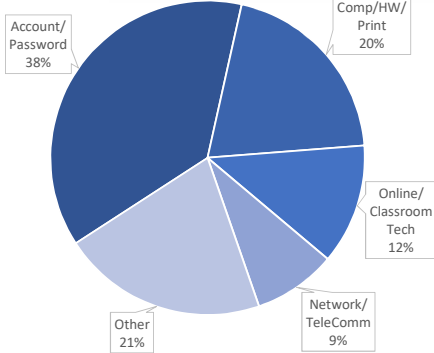
2019 State of IT Annual Report










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- **Service Highlights/KPIs**
 - **Measure impact of services provided and supported by the IT team**
 - **Unified Incident Management Platform**
 - **JIRA Service Desk** - Central management of all tickets and service requests
 - Enables tracking and analysis to guide and inform resource allocation
 - **47,362** Incidents and Service Requests logged in 2019
 - **38%** of all Tickets: Account/Password reset requests
 - Introduced improved account self-service options and Single-Sign-On capabilities


Tickets



Ticket Category	Percentage
Account/Password	38%
Comp/HW/Print	20%
Other	21%
Online/Classroom Tech	12%
Network/TeleComm	9%

2019 State of IT Annual Report



**Maine's
Public
Universities**
UNIVERSITY OF MAINE SYSTEM

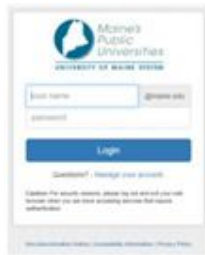
• Service Highlights








- **UMS Single Sign On**
 - Recent upgrades and improvements have resulted in enhanced capacity and service access

125 Services


48,000+ UMS Accounts Served

2.2M+ Authentication Requests Monthly



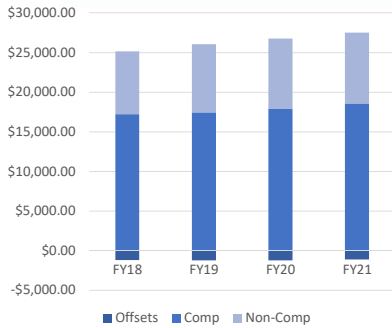
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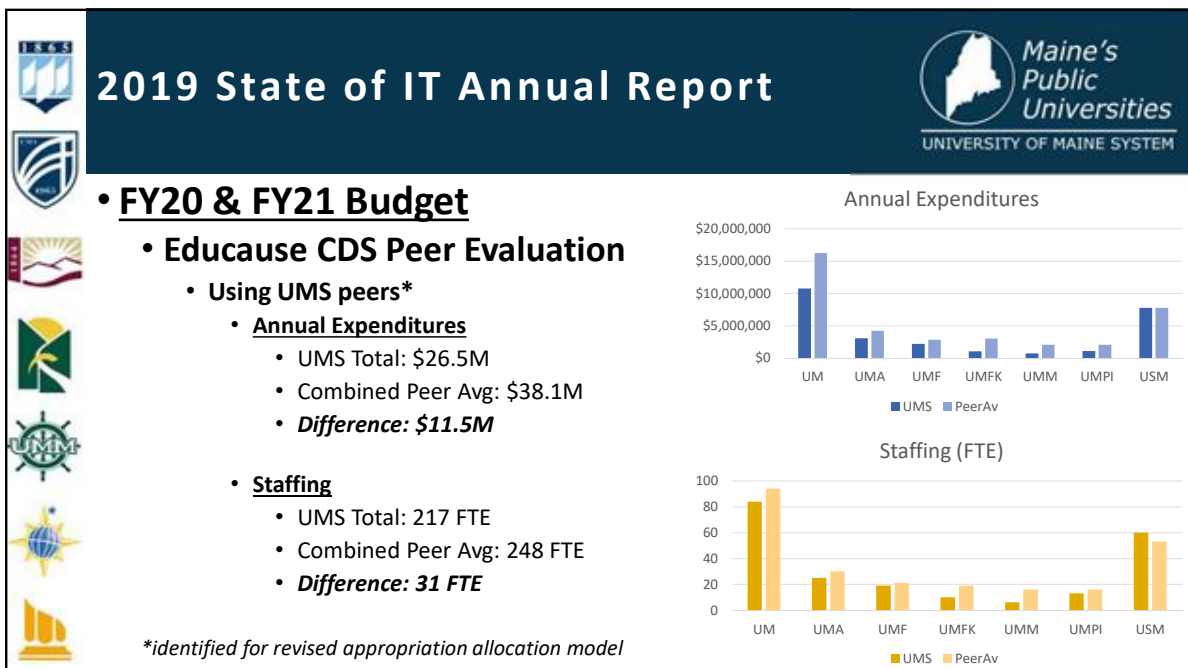
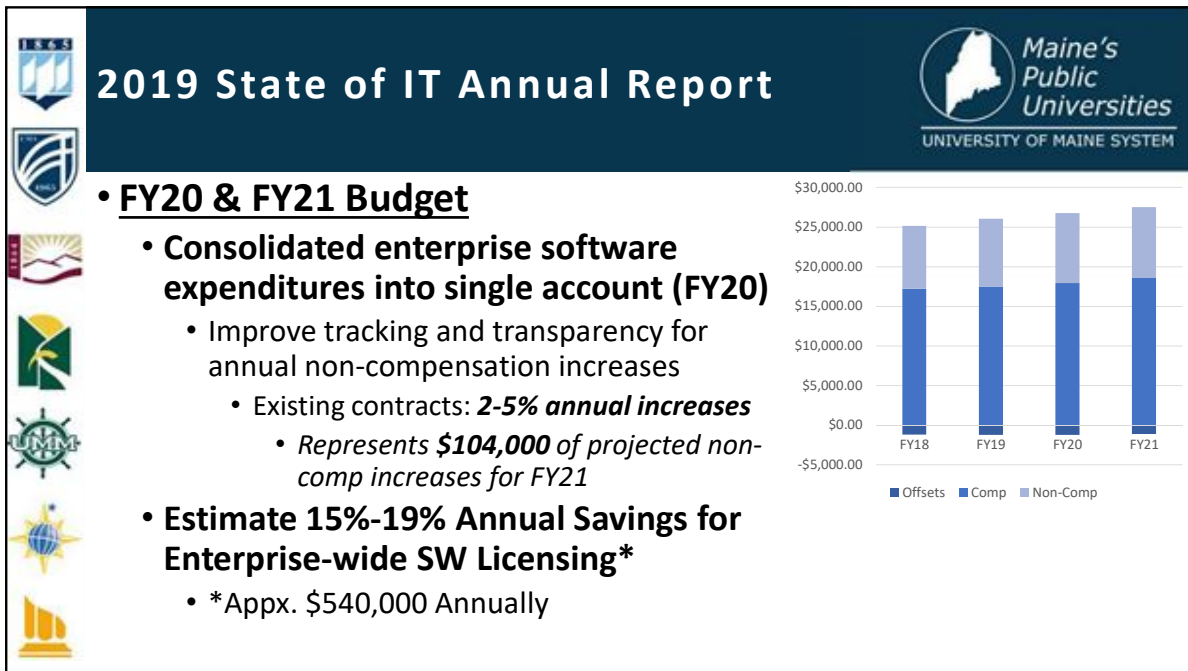
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• FY20 & FY21 Budget

- **Ongoing effort to contain costs while maintaining level of service**
- **Project 3.3% Increase in Expenses for FY21**
 - Includes UMS negotiated 3% ATB salary increase for staff
- **Cost Containment Strategies:**
 - Leverage enterprise-wide purchasing/licensing
 - Service Delivery Efficiency




Fiscal Year	Offsets	Comp	Non-Comp	Total
FY18	\$0.00	\$17,000.00	\$8,000.00	\$25,000.00
FY19	\$0.00	\$17,500.00	\$8,500.00	\$26,000.00
FY20	\$0.00	\$18,000.00	\$9,000.00	\$27,000.00
FY21	\$0.00	\$18,500.00	\$9,500.00	\$28,000.00





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• Key Project Updates

- **Classrooms for the Future**
 - **\$4.95M** investment to upgrade classroom technology systems across UMS
 - **246** classrooms (44%)
- **Wireless Infrastructure**
 - **\$13.2M** investment to upgrade wireless internet infrastructure across UMS
 - **73** Academic Buildings; **17** Residence Halls
 - Serving high-speed wifi access to >20K devices daily











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• Key Project Updates

- **MaineStreet Improvements**
 - Completed Campus Solutions 9.2 Upgrade
 - Enhanced system performance and stability
 - Currently working to deploy UI Enhancements
 - Improve usability, navigability and mobile-access


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• On The Horizon

- **Brightspace (Learning Management System) Implementation**
 - Recently completed RFP to replace Blackboard Learn with new cloud-based platform: Brightspace by Desire2Learn
 - Modern, mobile-friendly interface
 - Scalable, SaaS environment
 - Opportunity to provide greater integration with MaineStreet SIS
 - Opportunity to provide more consistent learning experience for students taking courses at multiple campuses
 - Pilot Courses Running Spring 2020
 - Full Go-Live Target: Fall 2020




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• On The Horizon

- **University OneCard Initiative**
 - Enable students, faculty and staff to utilize ID cards on **ANY** UMS campus for:
 - Dining purchases/Meal Plans
 - Library Services
 - Electronic Door Access
 - Pay-for-Print
 - Vending*
 - Additional Enhancements:
 - eAccount Access via UMS Portal
 - Account Management via Mobile App





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• **On The Horizon**

- **MaineStreet Improvement – Phase III**
 - 4-Phase Plan to address shortcomings within MaineStreet ERP Environment:
 - **Phase I (Completed):** Facilitate systematic course cross-listing across UMS campuses through a pilot program
 - **Phase II (Completed/In-Progress):** Implement Campus Solutions (Student Information System) Enhancements
 - Campus Solutions 9.2 Upgrade (Complete)
 - User Interface Enhancements (In-Progress)
 - **Phase III (RFP In Process):** Conduct a full ERP Functional Assessment
 - **Phase IV (FY21):** Pursue future-state ERP environment

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Questions or Comments to
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