

Board of Trustees
Academic and Student Affairs Committee
June 22, 2020, at 9:00 am
Zoom Meeting

[BOARD COMMITTEE MEETING LIVE AUDIO STREAM](#)

9:00-9:20am

Tab 1

[New Board Policy Proposal: UMS Academic Integrity Policy](#)

9:20-9:45am

Tab 2

[Enterprise Risk Management Update](#)

9:45-10:00am

Tab 3

[Student Health Insurance](#)

10:00-10:10am

Tab 4

[Proposed Changes to Board Policy 205 - *Faculty & Student Representation to the Board of Trustees*](#)

10:10-10:20am

Tab 5

[Strategic Academic Program Planning](#)

10:20-10:30am

Tab 6

[Unified Accreditation Update](#)

10:30-10:40am

Tab 7

[Faculty Representative Discussion](#)

10:40-10:50am

Tab 8

[Student Representative Discussion](#)



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** New Board of Trustee Policy 314 *UMS Academic Integrity Policy*
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**
New policy proposal 314
UMS Academic Integrity Policy
5. **BACKGROUND:**

The UMS has had a System-wide Student Conduct Code since 1972; however, there has not been a similar approach to academic integrity, the policies for which remain varied and at the campus level. The proposed UMS Academic Integrity Policy is an intended counterpart to the Student Conduct Code, and will provide necessary fairness, transparency, and uniformity for students, faculty, and staff in the context of unified accreditation.

In 2018, the office of the Vice Chancellor for Academic Affairs convened a workgroup made up of representatives from each campus drawn from faculty, student affairs, and other relevant departments, to review existing campus Academic Integrity Policies and craft a new policy and administrative procedures for System-wide implementation. The proposed policy and procedures were shared in draft form multiple times with all campuses, their Chief Academic Officers, and their Presidents. The policy and procedures were accordingly revised based on their collective feedback. It has also been vetted through the UMS General Counsel's Office to address any compliance and due process concerns.

The Office of the Vice Chancellor for Academic Affairs recommends that the Board accept the proposed new policy and procedures on Academic Integrity for September 1, 2020 implementation.

6. **TEXT OF PROPOSED RESOLUTION:**

That the Academic and Student Affairs Committee forwards this item to the July 20, 2020, Board of Trustees meeting for approval of the following resolution:

That the Board of Trustees accepts the recommendation of the Academic & Student Affairs Committee and approves the proposed new Board Policy 314 on UMS Academic Integrity and its corresponding academic procedures as outlined by the Deputy Vice Chancellor for Academic Affairs, to be effective on September 1, 2020.

June 12, 2020

University of Maine System Academic Integrity Policy Effective as of September 1, 2020

Academic integrity violations strike at the heart of the educational mission of the University of Maine System. The academic community of the University of Maine System recognizes that adherence to high principles of academic integrity is vital to the academic function of the University. Academic integrity is based upon honesty. All students of the University are expected to be honest in their academic endeavors. All academic work should be performed in a manner that will provide an honest reflection of the knowledge and abilities of each student. All members of the academic community should regard any breach of academic honesty as a serious offense.

In accordance with the System's mission, campuses within the System have increased cooperative programs with each other to provide better access to courses and programs for students. Students are taking University courses while still in high school, the number of non-traditional students is increasing as is enrollment in on-line and asynchronous courses, and students are increasingly taking courses from multiple campuses during the same semester. All of these factors represent positive change because they represent increased educational opportunity for all students. These factors also require that the University of Maine System adopt this System Academic Integrity Policy to set forth specific and uniform standards of academic integrity that will apply to all courses on all campuses within the System.

Each University campus may adopt procedures for carrying out the provisions of this Policy within the guidelines set forth by this Policy as described below, as long as those campus procedures are consistent with this Policy. Professional schools, such as the School of Law, having a professional code of ethics may adopt additional procedural provisions to be applicable to their own students, as long as they are consistent with this Policy and all procedural requirements of this Policy are met.

Responsibilities:

While the institution offering the course has jurisdiction in matters of academic integrity, the entire academic community shares the responsibility for establishing and maintaining standards of academic integrity. Those in charge of academic tasks have an obligation to make known the standards and expectations of acceptable academic conduct in all academic contexts (e.g. classrooms, online, research, laboratories, clinicals, internships, etc.). Each student has an obligation to know and understand those standards and expectations. While the academic community recognizes that the responsibility for learning and personal conduct is an individual matter, all students, faculty, and staff are expected to help to maintain academic integrity at the University by refusing to participate in, or tolerate, any academic dishonesty.

Violations:

Academic integrity means not lying, cheating, or stealing. To cheat on an examination, to steal words or ideas of another, or to falsify the results of one's research corrupts the essential process by which knowledge is advanced. Cheating, plagiarism, fabrication of data, giving or receiving unauthorized help

on examinations, and other acts of academic dishonesty are contrary to the academic purposes for which the University exists.

Violations of academic integrity include any actions that attempt to promote or enhance the academic standing of any student by dishonest means. Academic integrity means that one's work is the product of one's own effort, and that one neither receives nor gives unauthorized assistance in any assignment. Because advanced academic work depends on the sharing of information and ideas, academic integrity at the college level includes rigorous adherence to the conventions for acknowledging one's use of the words and ideas of other people.

Put plainly: academic honesty is very important. It is dishonest to cheat on exams, to copy term papers or to submit papers written by another person, to fabricate experimental results, or to copy parts of books, articles, or websites into your own papers without putting the copied material in quotation marks and clearly indicating its source.

Types of Academic Integrity Violations

The following is a listing of most, but not necessarily all, actions that are violations of academic integrity:

I. Plagiarism

Plagiarism is the submission of another's work as one's own, without adequate attribution. Plagiarism is academic theft. Examples include, but are not limited to:

- a. Submitting as one's own work an examination, paper, homework assignment, or other project (laboratory report, artistic work, computer program, etc.) that was created entirely or partially by someone else, including works purchased from a vendor.
- b. Failure to use quotation marks to signal that one is using another person's precise words. Even brief phrases must be enclosed in quotation marks.
- c. Creating an academically dishonest paraphrase. When paraphrasing (presenting another person's ideas or information in one's own words), one must find truly one's own way of expressing the original meaning. Simply inserting synonyms into the source's sentence structures is plagiarism.
- d. Failure to identify the source of quotations and paraphrases. Of course one must cite the source of quotations; one must also cite the source of ideas and information that is not common knowledge even when paraphrased (presented in one's own words). Sources include unpublished as well as published items -- for example, books, articles, material on the Internet, television programs, instructors' lectures, and people, including other students, friends, and relatives.

- e. Failure to identify the source of the elements of a nonverbal work (for example, a painting, dance, musical composition, or mathematical proof) that are derived from the work of others.

II. Cheating

Cheating is the act or attempted act of deception by which a student seeks to misrepresent that he/she has mastered information on an academic exercise that he/she has not mastered. Cheating is also the use or attempted use of unauthorized assistance in an examination, paper, homework assignment, or other project. Examples include, but are not limited to:

- a. Copying answers from another student's examination.
- b. Communicating in any way with another student or a third party during an examination without the permission of the instructor.
- c. Using unauthorized materials or devices (including notes, textbooks, calculators, and communication devices) during an examination without the permission of the instructor.
- d. Obtaining and/or reading a copy of an examination before its administration without the permission of the instructor.
- e. Collaborating with other students or third parties on a take-home examination, paper, homework assignment, or other project without the permission of the instructor.
- f. Duplicate work: submitting a paper or other project in more than one course without the permission of the instructors. Students are expected to produce original work for each course. A student should not submit identical or substantially similar papers or projects in two different courses (in the same or different semesters) unless both instructors have given their permission.

III. Fabrication

Fabrication is the use of invented information or the falsification of research or other findings in an academic exercise. Examples include, but are not limited to:

- a. Fabrication of a citation: inventing a citation for a research paper or other project.
- b. Alteration of an assignment: changing a graded examination, paper, homework assignment, or other project and re-submitting it to the instructor to claim an error in grading.
- c. Changing findings, excluding valid data that doesn't support one's thesis, or engaging in other similar activities.

IV. Contributing to academic dishonesty

Contributing to academic dishonesty is assisting another student's academic dishonesty. Examples include, but are not limited to:

- a. Writing a paper or other project for another student.
- b. Allowing another student to copy from one's examination, paper, homework assignment, or other project.
- c. Assisting another student on a take-home examination, paper, homework assignment, or other project if one knows such assistance is not authorized by the instructor.

V. Other forms of dishonest academic conduct

Other forms of dishonest academic conduct include any actions by which one seeks an unfair academic advantage over others. Examples include, but are not limited to:

- a. Destroying or altering the academic work of another student.
- b. Lying about or otherwise misrepresenting the work of another student.
- c. Selling or giving away all or part of an unadministered test including answers to an unadministered test.
- d. Bribing any other person to obtain an unadministered test or any information about the test.
- e. Entering a building or office for the purpose of obtaining an unadministered test.
- f. Continuing to work on an examination or project after the time specified for the student has elapsed.
- g. Entering a building or office for the purpose of changing a grade in a grade book, on a test, or on other work for which a grade is given.
- h. Changing, altering, or being an accessory to the changing and/or altering of a grade in a grade book, on a test, a "change of grade" form, an electronic record, or other official academic record of the University that relates to grades.

Procedures:

Alleged violations of the Academic Integrity Policy are to be administered through the procedures below as soon as they have been detected. These procedures are designed to create a fair and consistent system for dealing with alleged violations. Students are strongly encouraged to respond to violations of academic integrity that they witness by reporting the violation to the instructor of the course in which it occurred.

While their case is pending or after they have been found in violation of the Academic Integrity Policy, students may not withdraw from the course in which the alleged or established violation occurred.

1. If a faculty member (including an instructor or graduate teaching assistant) has information that a violation of academic integrity may have occurred during an academic term, the faculty member will inform the student in private (either in person or in writing) of the information the faculty member has, the specific incident and the aspect of academic integrity that is alleged to have been violated. The student shall be provided with the opportunity to explain the circumstances and the action. The allegation may be dropped by the faculty member if an explanation by the student is accepted as being adequate.
2. If, after hearing the student's explanation, the faculty member chooses to continue the complaint, the faculty member will complete an Academic Integrity Violation Form within ten business days in order to document the violation and any informal resolution or any academic sanction(s) imposed by the instructor. This action includes notifying the Student Conduct Officer and the appropriate academic administrator. The Academic Integrity Violation Form can be found on the University of Maine System website, at the following URL:
3. The faculty member will provide the student with a copy of the completed Academic Integrity Violation Form in person or via email.
4. Upon receipt of the Academic Integrity Violation Form, the student has ten business days to:
 - a. Admit to the violation of the Academic Integrity Policy by signing the appropriate line on the form. If this option is chosen, or if the student does not return the form, the academic sanctions imposed by the instructor automatically apply. The academic administrator will supply a copy of the form to the Student Conduct Officer.
 - b. Contest the faculty member's finding regarding the violation of the Academic Integrity Policy and/or the appropriateness of the imposed sanction(s) by signing the appropriate line on the form and submitting a letter requesting review to the Dean of the College or designated academic administrator. The letter (no more than two pages in length) requesting review shall state the violation(s) and/or sanction(s) to be reviewed and a detailed rationale for the request for review.

Sanctions:

A student who admits to being responsible or who is found to be responsible for a violation of academic integrity will be subject to appropriate academic sanctions. Academic sanctions will be determined in accordance with the procedures outlined below. The exact academic sanction will depend on the particular circumstances of each individual case. **Academic sanctions imposed under this policy are completely separate and independent from any disciplinary action, which may be taken against the student under the University of Maine System Student Conduct Code.** A student may receive both an academic sanction and a disciplinary sanction for the same act of academic dishonesty. A disciplinary

sanction may only be imposed upon the student in accordance with the University of Maine System Student Conduct Code.

Repeated violations or those deemed sufficiently serious may be referred directly to the Student Conduct Officer for appropriate action under the Student Conduct Code. Whether an allegation of academic misconduct is “sufficiently serious” will be determined by the College Dean or designated academic administrator in consultation with the Chief Student Affairs Officer.

The following is a list of possible academic sanctions that may be imposed upon students for violations of academic integrity. This list shall not be taken to be exhaustive and may be modified or enlarged to meet particular circumstances in any given situation. A combination of two or more of these academic sanctions may be imposed when justified by the type of violation.

1. The faculty member can impose appropriate grade penalties up to and including F or zero grades on an assignment, exam or paper, and/or in one or more courses. Faculty members may be permitted to exercise discretion in prescribing lesser penalties or additional academic tasks appropriate to allow the student to complete a course and thereby receive a grade representing demonstrated knowledge of the course.
2. The faculty member, the Dean, or other appropriate academic administrator may impose other academic actions as may be appropriate (e.g. referral to the academic program for consideration of continuance in that program).

Further Procedures:

1. If a student contests the faculty member’s finding, a hearing will be scheduled before the Dean of the College or, in the absence of a Dean of the College, another academic administrator designated by the Chief Academic Officer or their designee.
 - a. Within seven business days of receipt of the letter requesting review, the Dean of the College or designated academic administrator will notify the student and faculty member of the date, place, and time of the hearing.
 - b. Prior to the hearing, the Dean of the College or designated academic administrator will review the Academic Integrity Violation Form, information provided by the faculty member, and written and verbal statements provided by the student, the faculty member, and any witnesses. At the hearing, the student may ask questions of the faculty member or other witnesses through the dean or designated academic administrator.
 - c. The reporting faculty member will attend the hearing, and can ask questions of the student or other witnesses through the dean or designated academic administrator.
 - d. Students may bring a support person with them to the hearing, but the support person shall not be permitted to speak during the hearing except quietly to the student.

e. The Dean of the College or designated academic administrator will make a determination regarding the request for review within two weeks of the hearing. The outcome of the review may result in a higher sanction, lower sanction, the same sanction, or no sanction at all being imposed. The Dean or designated academic administrator will notify the student and faculty member in writing of their final decision and provide a copy to the Student Conduct Officer.

2. The student or faculty member may each request a review of the Dean's or designated academic administrator's decision by submitting a letter (no more than two pages) requesting review of their decision to the Dean or designated academic administrator no later than two weeks after receipt of the Dean's or designated academic administrator's decision. The letter shall state the violation(s) and/or sanction(s) to be reviewed and a detailed rationale for the request for review. If either party requests a review, the other party shall be provided with a copy of the request for review letter. The review of the Dean's or designated academic administrator's decision shall be a paper review and shall be conducted by an Academic Appeals Committee or the Chief Academic Officer (CAO). If a Committee is appointed, it must have an odd number of members and include at least one student and two faculty members. The Committee or CAO will consider all written information provided by the faculty member, all written information provided by the student and any witnesses and the Dean's or designated academic administrator's written decision. The Committee (by a simple majority) or CAO will then make a determination regarding the request for review within two weeks of receiving the request. The outcome of the review may result in a higher sanction, lower sanction, the same sanction, or no sanction at all being imposed. The decision of the Committee or CAO will be the final decision, and is not subject to review. The Committee or CAO will notify the student, the faculty member and the Dean or designated academic administrator in writing of their final decision and provide a copy to the Student Conduct Officer.

3. Minor Violations: Faculty members may feel that certain violations, based either upon the nature of the violation or its circumstance, warrant an informal warning rather than formal action. As with formal violations, the instructor must discuss the alleged violation with the student either in person or in writing. If the instructor finds there was a minor violation, the instructor may give the student an informal warning or require the student to redo the assignment. A Violations Form should still be completed by the instructor with the infraction and sanction documented. The instructor will provide the student and the Student Conduct Officer with a copy of the form.

After two minor violation reports from any institution in the UMS, the Student Conduct Officer(s) will consult with Academic Deans or other relevant academic administrators and reporting faculty members to determine if a more serious academic sanction should be imposed under this policy and whether a formal student conduct charge under the Student Conduct Code should be filed against the student.

4. Repeated academic violations or those deemed to be of sufficient severity by the faculty member or Dean of the College (or other appropriate academic administrator) may be considered disciplinary in nature and may be referred directly to the Student Conduct Officer for formal action under the Student Conduct Code. The faculty member may proceed with the academic integrity process under this policy at the same time as an action under the Conduct Code is proceeding. Sanctions under the Conduct Code may include, but are not limited to, ineligibility for all future academic honors and awards, departmental

and university awards, and graduation honors in addition to the appropriate academic sanctions. Sanctions for violation of the Student Conduct Code may be found in section IV. of the Student Conduct Code which may be found at the following URL:

<http://staticweb.maine.edu/wp-content/uploads/2019/01/Student-Conduct-Code-2018-Complete-accessible.pdf-correctedByPAVE.pdf?0fa197>

The maximum sanction imposed under the Conduct Code will be dismissal from the university and, for students whose violation is determined after graduation, revocation of the degree. Disciplinary action taken under the Student Conduct Code is independent of and may be taken in addition to an academic sanction imposed under this Policy.

Resources and Related Policies and Forms:

Academic Integrity Violation Form

University of Maine System Student Conduct Code

Date Issued: September 1, 2020



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Enterprise Risk Management Update
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

Gretchen Catlin, Risk Manager, will present an update to the Academic & Student Affairs committee meeting regarding Enterprise Risk Management (ERM).

The University is currently monitoring 20 enterprise level risks; four of those risks are assigned to this committee for oversight. Gretchen Catlin will provide a high-level overview of the ERM tracking tool and control strategies related to risks assigned to this committee.

Risk Management previously presented an update to this committee in August 2019.

June 12, 2020



Enterprise Risk Management

Academic & Student Affairs Committee Meeting –
June 2020

Gretchen Catlin, BS, CHC
System Risk Manager

Executive Summary

- In May 2020, Gretchen Catlin provided an Enterprise Risk Management (ERM) update to the Audit Committee. This included a review of the risk assessment tracking tool and ERM review schedule.
- The University of Maine System is monitoring 20 enterprise level risks. Four of those risks have been assigned to the Academic & Student Affairs Committee for oversight.
- Gretchen Catlin will provide an update on risks assigned to this committee and next steps for enterprise risk management.



Measuring Risks

			Scope (likelihood risk will occur)			
			Remote 0-10%	Unlikely 11-25%	Possible 26-65%	Likely >65%
			1	2	3	4
Materiality (financial impact of risk)	Negligible <\$400K	1	1	2	3	4
	Low \$400K - \$1M	2	2	4	6	8
	Medium \$1.1M - \$10M	3	3	6	9	12
	High >\$10M	4	4	8	12	16

Risks are scored and prioritized based on materiality and scope.

Materiality X Scope = Risk Score

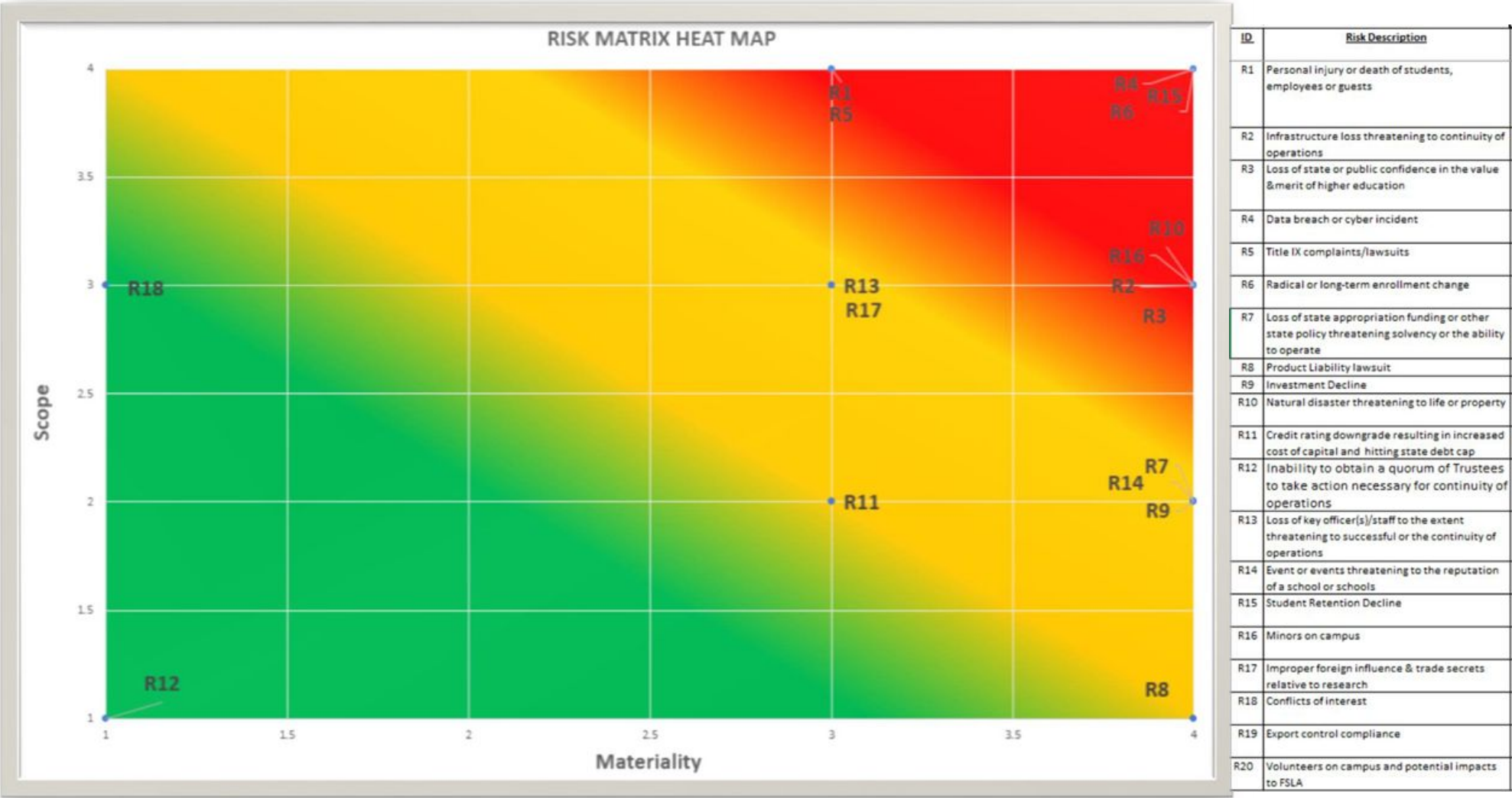


Enterprise Risk Matrix

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control
		Materiality	Frequency (Scope)	Measure				
R1	Personal injury or death of students, employees or guests	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Safety Program	HR and Labor Relations	Chief Facilities Management & General Services Officer
R2	Infrastructure loss threatening to continuity of operations	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Preventative Maintenance	FFT	Chief Facilities Management & General Services Officer
R3	Loss of state or public confidence in the value & merit of higher education	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Strategic	Focus on Strategic Planning Effective communications Public and Gov't Relations	Executive	Director of Community & Government Relations
R4	Data breach or cyber incident	4 (High) \$>\$10M	4 (Likely >65%)	16	Insurable	Limitation of PHI on computers, training, risk matrix	FFT	Chief Information Officer
R5	Title IX complaints/lawsuits	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Training & Communication	HR and Labor Relations	Chief Human Resources Officer
R6	Radical or long-term enrollment change	4 (High) \$>\$10M	4 (Likely >65%)	16	Strategic	Strategic Actions and Tracking Enrollment (Facilitation)	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R7	Loss of state appropriation funding or other state policy threatening solvency or the ability to operate	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Financial	Continued Lobbying effort with State	Executive	Director of Community & Government Relations
R8	Product Liability lawsuit	4 (High) \$>\$10M	1 (Remote 0-10%)	4	Insurable	Monitoring of Patent and Licensing with Counsel	Executive	General Counsel & Chief of Staff
R9	Investment Decline	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Financial	Diversification	Investment	Vice President Finance & Controller
R10	Natural disaster threatening to life or property	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Business Continuity Planning	FFT	Chief Facilities Management & General Services Officer
R11	Credit rating downgrade resulting in increased cost of capital and hitting state debt cap	3 (Medium) \$1.1M- \$ 10M	2 (Unlikely 11-25%)	6	Operational	Routine Auditing	Audit	Vice President Finance & Controller
R12	Inability to obtain a quorum of Trustees to take action necessary for continuity of operations	1 (Negligible) <\$400K	1 (Remote 0-10%)	1	Strategic	Pending	Executive	General Counsel & Chief of Staff

Enterprise Risk Matrix

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control
		Materiality	Frequency (Scope)	Measure				
R13	Loss of key officer(s)/staff to the extent threatening to successful or the continuity of operations	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Human Capital	Cross-Training, leadership training	HR and Labor Relations	Chief Human Resources Officer
R14	Event or events threatening to the reputation of a school or schools	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Insurable	Effective Public Communications, engagment with all campuses, crisis communication experience	Executive	Executive Director of Public Affairs
R15	Student Retention Decline	4 (High) \$>\$10M	4 (Likely >65%)	16	Strategic	Strategic Actions & Planning	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R16	Minors on campus	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Screening & training	HR and Labor Relations	Chief Human Resources Officer
R17	Improper foreign influence & trade secrets relative to research	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Strategic	Pending	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R18	Conflicts of interest	1 (Negligible) <\$400K	3 (Possible 26-65%)	3	Human Capital	Policy, annual training, GC reviews questions - people need to identify and disclose. Self Identify,	HR and Labor Relations	General Counsel & Chief of Staff
R19	Export control compliance			Pending	Operational	Pending	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R20	Volunteers on campus and potential impacts to FSLA					Pending	HR and Labor Relations	Chief Human Resources Officer



Summary of Control Strategies

The following slide provide a summary of control strategies implemented for each identified risk.

The enterprise risk matrix is actively worked. Therefore, control strategies are in various stages of implementation. The color coded chart below explains what phase of implementation the control strategies are currently in.

Control Strategy Status Matrix	
	Control strategies are fully implemented
	Strategies are pending
	Strategies are in-progress, not yet fully implemented

Academic & Student Affairs Committee

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control	Summary of Control Strategies
		Materiality	Frequency (Scope)	Measure					
R6	Radical or long-term enrollment change	4 (High) \$>\$10M	4 (Likely >65%)	16	Strategic	Strategic Actions and Tracking Enrollment (Facilitation)	Academic & Student Affairs	Vice-Chancellor for Academic Affairs	Support & inform unified accreditation strategic objective. Looking for multi-University programming opportunities. Employ data analytics to identify trends & next steps
R15	Student Retention Decline	4 (High) \$>\$10M	4 (Likely >65%)	16	Strategic	Strategic Actions & Planning	Academic & Student Affairs	Vice-Chancellor for Academic Affairs	Employing data analytics to track student retention factors Improving administrative practices & procedures that impact retention. Example: Chancellors initiative to offer a free course if a student fails. Formed a student success system-wide committee which includes implementing best practices
R17	Improper foreign influence & trade secrets relative to research	3 (Medium) \$1.1M- \$10M	3 (Possible 26-65%)	9	Strategic	Pending	Academic & Student Affairs	Vice-Chancellor for Academic Affairs	Researching possible solutions
R19	Export Control Compliance			Pending	Operational	Pending	Academic & Student Affairs	Vice-Chancellor for Academic Affairs	Pending - meeting planned for July 8, 2020

Control Strategy Status Matrix

	Control strategies are fully implemented
	Strategies are pending
	Strategies are in-progress, not yet fully implemented

Next Steps

Risk Management is committed to providing regular updates to each Board Committee.

Board Committee	Date
Finance, Facilities & Technology	September 2, 2020
Human Resources & Labor Relations	TBD
Investment	TBD
Audit	Prior to May, 2021

Questions?





AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Student Health Insurance
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**
 Gretchen Catlin, Risk Manager, will present an update to the Academic & Student Affairs committee meeting regarding Student Health Insurance.

 Risk Management, through support of Procurement Services, recently placed brokerage services for student health insurance for public bid. Gretchen Catlin will provide a high-level update on the procurement process, coverage updates, and value added benefits resulting from the new broker arrangement.

June 12, 2020



Student Health Insurance Coverage

Academic & Student Affairs Committee Meeting

Gretchen Catlin, BS, CHC
System Risk Manager

Executive Summary

- Brokerage services for Student Health Insurance are now brokered through A.J. Gallagher, a firm based in Boston who specialize in providing student health, athletic, and travel coverage to Universities.
- Services were previously brokered by Cross Insurance.
- A competitive bid process was followed, with support from Procurement Services.
- Risk Management will provide a high-level overview of the student health insurance and benefits achieved by following the competitive bid process.



Competitive Bid Timeline

- February 21, 2020 – broker services were placed for public bid.
- February 25, 2020 – Ad was placed in Bangor Daily News
- March 6, 2020 – Responses were due. 4 companies responded to the public bid.
- April 3, 2020 – Top two respondents provided presentations to the Core Team.
- April 13, 2020 – Reference calls were made during this week for the top candidate.
- April 15, 2020 – Award made to A.J. Gallagher



Evaluation Team Membership

Name	Campus / Dept	Title
Gretchen Catlin	UMS	Risk Manager
Marlene Brackett	UMS	Administrative Specialist CL2
Richard Young	UM	Associate Executive Director of Auxiliary Operations
Robert Placido	UMS	Interim Vice Chancellor for Academic Affairs
Rosa Redonnett	UMS	Associate Vice Chancellor for Student Success and Credential Attainment
Ryan Taylor	UM	Head Athletic Trainer
Scott Delcourt	UM	Associate Vice President for Graduate Studies and Senior Associate Dean
Ben Shaw	UMFK	Chief Business Officer
Lisa Belanger	USM	Director of Health Services
Rachel Piper*	UMS	Director of Strategic Sourcing

Coverage Comparison

Undergraduate/Graduate Domestic	2019	2020
Anthem coverage \$400 deductible	\$2157	\$2224
Anthem coverage with \$250 deductible	N/A	\$2248 (difference of \$24 for \$150 deductible savings)
Graduate Assistants/Internationals	2019	2020
Existing United Plan	\$2556	\$2845
Anthem Plan using United plan structure	N/A	\$2331 (savings of \$514 while increasing benefits such as zero dollar cap on athletic injuries)



2019-2020 “Big Ten” Conference Sponsored Student Health Insurance Plan Benchmarking Summary

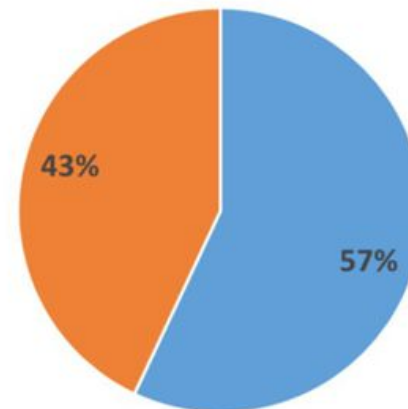


Gallagher Student Health has prepared the following Benchmarking Summary and detailed benefit spreadsheet, to illustrate a comparison of the Big Ten Conference Sponsored Student Health Insurance Plan offerings within the Big Ten Conference institutions. Data on the Plans is based on information that is publicly available on the Universities' websites, plan documents and Insurance Company confirmation. The following graphs present a high-level overview of the key plan design and enrollment provisions for all plans offered by:

**BIG TEN
CONFERENCE**

- Indiana University
- Michigan State University
- Northwestern University
- Pennsylvania State University - State College/ System
- Purdue University
- Rutgers University
- The Ohio State University
- University of Illinois at Urbana-Champaign
- University of Iowa
- University of Maryland - College Park
- University of Michigan - Ann Arbor
- University of Minnesota - Minneapolis
- University of Nebraska - Lincoln/ System
- University of Wisconsin - Madison

Individual Deductible Comparison



■ Individual Deductible \$250 or Less ■ Individual Deductible \$251 or more

2019-2020 "Big Ten" Conference Sponsored Student Health Insurance Plan Benchmarking Summary

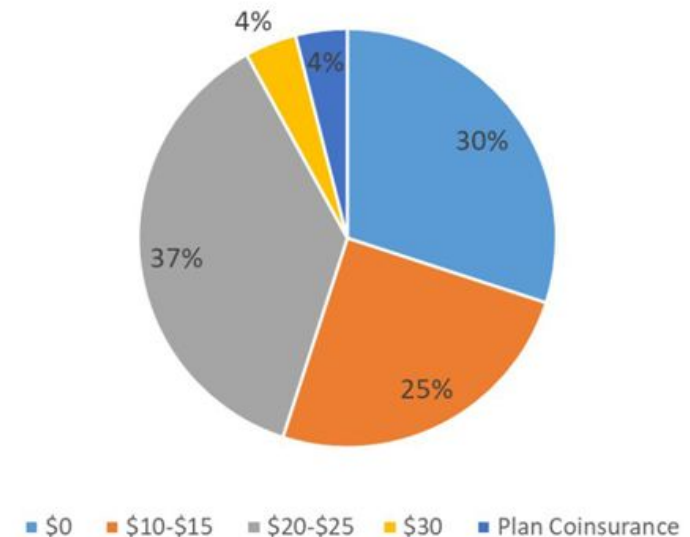


Gallagher Student Health has prepared the following Benchmarking Summary and detailed benefit spreadsheet, to illustrate a comparison of the Big Ten Conference Sponsored Student Health Insurance Plan offerings within the Big Ten Conference institutions. Data on the Plans is based on information that is publicly available on the Universities' websites, plan documents and Insurance Company confirmation. The following graphs present a high-level overview of the key plan design and enrollment provisions for all plans offered by:

BIG TEN CONFERENCE

- Indiana University
- Michigan State University
- Northwestern University
- Pennsylvania State University - State College/ System
- Purdue University
- Rutgers University
- The Ohio State University
- University of Illinois at Urbana-Champaign
- University of Iowa
- University of Maryland - College Park
- University of Michigan - Ann Arbor
- University of Minnesota - Minneapolis
- University of Nebraska - Lincoln/ System
- University of Wisconsin - Madison

Office Visit Copayments



Other Value-Add Benefits & Services

- Anthem is providing a contingent premium arrangement where up to 3% of the premium will be refunded to the University, if the claims experience is positive.
- Anthem covers athletic accidents without a cap in coverage, which is an added benefit for the graduate assistants/international students.
- AJ Gallagher provides:
 - Dedicated customer service related to student questions, program enrollment, etc.
 - Waiver exception processing
 - Insurance verification
 - Single-sign on
- Economies of scale = Financial Savings!



Questions?





AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Proposed Change to Board of Trustees Policy 205 *Faculty & Student Representation to the Board of Trustees*
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**
It is proposed that Board of Trustee Policy 205 – *Faculty and Student Representation to the Board of Trustees* be amended to reflect the addition of a faculty and student representative from the University of Maine School of Law.

This proposed change will be discussed at the June 22, 2020 Academic and Student Affairs Committee. If the Committee agrees to proceed with the proposed policy change, the agenda item will be included as an information item for the July Board meeting. The proposed change would then proceed as an action item for the next Academic and Student Affairs Committee meeting and the September 2020 Board meeting.

6/12/2020

UNIVERSITY OF MAINE SYSTEM

Policy Manual

4.1

GOVERNANCE AND LEGAL AFFAIRS

Section 205 Faculty and Student Representation to Board of Trustees

Effective: 11/18/71

Last Revised: 07/10/06; 1/11/10; 7/15/13; 9/28/20

Responsible Office: Clerk of the Board

Policy Statement:

The Trustees endorse the concept of faculty and student access to the University System decision-making process to provide advice and opinions on matters of common interest, and to enhance communication and sense of community within the University of Maine System.

To create the environment for interaction among and between faculty and student representatives, the Trustees and System administration, the Trustees will provide opportunities for participation in the meetings of the committees of the Board.

One faculty member, one undergraduate student from each of the seven universities and the Law School, 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 Academic & Student Affairs Committee and the Finance/Facilities & Technology Committee.

The faculty and student governing bodies at each university are charged to develop procedures through the institution's formal committee selection processes for the election of one member each as representatives to the Board of Trustees. Normally, the representative is expected to complete a two year term; therefore, it is an expectation that the minimum term of service by both 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.

Related Documents:

Administrative Guidelines for Faculty and Student Representatives

Shared Governance Statement

Duties of the UMS Student Representatives to the Board of Trustees

UNIVERSITY OF MAINE SYSTEM
Board of Trustees

**ADMINISTRATIVE GUIDELINES
FOR FACULTY AND STUDENT REPRESENTATIVES**

4.1

1. Appointment to Committees

Faculty and student representatives are responsible for submitting nominations to the Clerk of the Board for appointment to standing committees by August 15 of each academic year.

Faculty and student representatives will be appointed, as appropriate, by the Chair of the Board to Trustee ad hoc Committees.

2. Attendance at Committee Meetings

Faculty and student representatives are encouraged to attend all meetings of their committees and will be notified of the time and place of the meetings by the Clerk of the Board. Committee meetings, except for discussion of issues which are covered by law, are open to the public.

Faculty and student representatives will be provided an opportunity to meet in their groups in conjunction with the regularly scheduled Board meetings.

3. Attendance at Board of Trustees Meetings

Faculty and student representatives are encouraged to attend all public meetings of the Board of Trustees. Participation in Board meetings is limited to Board members and the Chancellor. Other persons, including faculty and student representatives, are occasionally invited by the Trustees or the Chancellor to make comments pertinent to the subject under discussion. Faculty and student representatives are urged to make their input within the committees to the end that committee recommendations are properly reflective of their viewpoints.

Executive sessions of the Board of Trustees and its Committees are not open to faculty and student representatives.

4. Reimbursement for Travel Expenses

Faculty and student representatives are entitled to reimbursement for in-state travel expenses incurred in fulfilling their obligations as a representative. If a representative needs to travel from out-of-state, he/she must confer with the Board Office prior to the travel date to see if the travel is reimbursed. Attendance by technology is encouraged as an alternative to out of state travel. Travel vouchers and information on travel arrangements and policies may be obtained from the Board Office. All travel vouchers are to be submitted to the Board Office.

5. Procedures for Access to the Board Agenda

In order to provide increased opportunities for more effective linkages between student and faculty thinking and Board action, the Chancellor will schedule periodic meetings with the representatives for discussion of mutual issues and concerns.

All formal recommendations regarding campus-level affairs made to the Board of Trustees must be through the campus President to the Chancellor, and through the Chancellor to the Board of Trustees. Recommendations either system-wide in nature or affecting more than one campus must be made through the Chancellor for Board consideration.

July 2014

University of Maine System

Board of Trustees

4.1

Statement on Shared Governance

The University of Maine System is a public body created by charter and state statutes to carry out responsibilities on behalf of the citizens of Maine. Authority to carry out these responsibilities is vested in the Board of Trustees, appointed by the Governor and confirmed by the Legislature. The following statement on Shared Governance expresses the System's commitment to fostering an atmosphere of trust, communication, and participation. The statement, however, is in no way intended to jeopardize, modify or minimize the authority of the Board of Trustees assigned by the State of Maine.

Shared governance relates to collaboration in specific areas where the mission of a University is strengthened by the joint participation of administrators and faculty members. Shared governance does not mean everything has to be done by joint efforts or by delegating decision making to faculty members; rather, it is an approach whereby the talents and collective intelligence of the university community are used to make effective and efficient decisions in specific areas.

The Board of Trustees affirms its support of governance systems and processes that are characterized by collaboration between the Board, the administration, faculty, students and staff in communication and decision making. Collaboration benefits the quality of education by:

Creating an atmosphere that fosters trust: Effective decision-making depends on accountability and the development of trust among the parties. This trust then provides the foundation for effective activities and efficient use of participants' time and reflects the collective knowledge of both faculty members and administrators.

Enhancing communication and participation: Effective communication is essential for successful shared governance. With respect to major decisions that could affect the educational process, such as budgeting, communication and program changes, input from all involved groups should be sought early in the process and final decisions should be communicated to all parties. Channels for communication should be widely known and participation encouraged.

Encouraging participation and efficiency: Those involved in shared governance need to be sufficiently informed to participate effectively. Efficiency in implementing decisions is the result of clearly defined roles and willing participation or understanding among those affected. Suitable resources and support must be made available for effective and efficient implementation of collaborative decisions.

Through governance bodies established at the university level, and through the roles of faculty and student representatives to the Board of Trustees, the University of Maine System Board of Trustees strives to strengthen communication and participation of faculty, students and staff.

At the university level, there are three major areas in which shared governance plays a role, as described below:

1. Academic policies.
2. Peer Review and Academic Administrative Selection processes
3. Budget and Strategic Planning

Faculty have a critical role in fundamental areas such as curriculum, instruction, research and student life. Faculty engagement in these areas is important to assure the competence and quality of university graduates.

Faculty participate in the selection and review of their peers, including recommendations for appointment, reappointment, promotion and tenure, in accordance with the boundaries of the collective bargaining agreement. Faculty also participate in the selection process for academic administrators.

In major decisions regarding the direction of the university, such as mission, strategic plans and budgets, it is desirable that input be sought from all involved groups early in the process and that final decisions be communicated to all parties. Channels for communication, consultation and information dissemination should be widely known and documented. Faculty participation in discussion of these topics should be encouraged.

Policy

Each university is expected to have in place a policy that clearly outlines how collaborative discussion of critical academic issues occurs at the university. This policy will be consistent with the guidelines in this document and in most cases will be embodied in the by-laws of the faculty governance body.

Approved by the UMS Board of Trustees on March 23, 2007.



Duties of UMS Student Representative to the Board of Trustees

Goals of defining duties:

- a) Improve efficacy of Student Representatives in conjunction with the Board Policy Manual (Governance and Legal Affairs, Section 205, Faculty and Student Representation to Board)
- b) To ensure Student Representatives are meeting Board expectations

Outline of Duties

It shall be the responsibility of the Student Representative to:

- Attend bimonthly UMS Board of Trustees meetings
- Be familiar with the nature, needs, and concerns of their student body
- Be familiar with the nature and process of decision making within the System
- Act as a liaison between the Board and their respective Student Government
- Advocate in the best interest of the students who are enrolled at their respective campus
- Provide reports of Board meetings to their respective student government
- Serve as a non-voting member of the committee to which they have been appointed
- Take notes during respective committee meetings and forwarding to appropriate contacts
- Communicate between Board meetings with other student representatives
- Serve as an advocate for the University of Maine System
- Serve as a meeting facilitator on a rotating basis with other student representatives
- Meet any additional expectations of their respective student government



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Strategic Academic Program Planning
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**

5. **BACKGROUND:**

Academic Affairs at the University of Maine System has been developing an overarching approach to academic program planning and communications strategies for the past few years. The Programs for Examination process and the revised Board policy 305.1 on program approvals are examples of this effort.

The Vice Chancellor for Academic Affairs (VCAA) proposes a new tactic in this broad initiative that will address seemingly similar academic programs across the System in the context of serving State need and thereby demonstrate System responsiveness. Toward that end, the VCAA office will create and maintain Statewide strategic academic plans for sets of similar academic programs that will:

1. Act as a strategic mechanism for academic planning that will allow the UMS to survey the academic landscape, conduct a gap analysis of UMS offerings, and seek new program opportunities; and
2. Serve as a communications plan to inform and engage the Board of Trustees and other stakeholders in the academic planning arena.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Unified Accreditation Update
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
All primary and secondary outcomes
5. **BACKGROUND:**
During the September 15-16, 2019 Board of Trustee meeting, Chancellor Dannel Malloy recommended that UMS universities begin a process to unify their accreditations. The Board concurred and the New England Commission on Higher Education has been kept apprised throughout each subsequent step, including a March status report. James Thelen, General Counsel and Chief of Staff, and Dr. Robert Placido, Vice Chancellor for Academic Affairs will give a brief update on the unified accreditation project and process to date.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Faculty Representatives: Discussion
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**
The Faculty Representatives to the Board of Trustees would like to discuss the importance of timely and meaningful opportunities for input regarding key UMS decisions. The Faculty Representatives attending the meeting will have a brief discussion.



AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Student Representatives Discussion
2. **INITIATED BY:** Lisa Marchese Eames, Chair
3. **BOARD INFORMATION:** X **BOARD ACTION:**
4. **OUTCOME:** **BOARD POLICY:**
5. **BACKGROUND:**

The Student Representatives to the Board of Trustees will have the opportunity to discuss the importance of timely and meaningful opportunities for input regarding key UMS decisions. The Student Representatives in attendance at the meeting will have a brief discussion.