

University of Maine System – Board of Trustees Meeting  
**January 25, 2021**  
**Zoom Meeting**

The public is invited to view the meeting on YouTube. The link to the Board of Trustees YouTube page can be found the Board website: <https://www.maine.edu/board-of-trustees/>

**AGENDA**

**Monday, January 25, 2021**

**Call to Order @ 8:30 am**

The Board of Trustees will go directly into Executive Session

**Executive Session from 8:35 am to 12:00 pm**

The Board of Trustees will enter Executive Session under the provisions of: 1 MRSA 405 6A, C, D, & E.

**Lunch Break**

**Call to Order/Reconvene Public Meeting @ 12:30 pm**

**Citizen Comment (5 minutes)**

**Individuals who wish to speak during Citizen Comment, please contact the Board Office at [ums.trustees@maine.edu](mailto:ums.trustees@maine.edu) with your name and topic by 5:00 pm on Friday, January 22nd. To participate in Citizen Comment during the meeting dial – 1-800-605-5167 code 743544#**

*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 (10 minutes)**

**Chancellor's Report (15 minutes)**

**Vice Chancellor for Finance and Administration & Treasurer's Report (40 minutes)**

Tab 1 - [Finance & Administration Update](#)

**Vice Chancellor for Academic Affairs' Report (90 minutes)**

Tab 2 - [Academic Affairs Update](#)

**Action Items**

[Tab 3 - Authorization Portland Commons and Career & Student Success Center, USM \(25 minutes\)](#)

[Tab 4 - Acceptance and Administration of Harold Alfond Foundation Grants \(15 minutes\)](#)

[Tab 5 - Honorary Degree Nominations for 2022 \(5 minutes\)](#)

**Consent Agenda (5 minutes)**

[Tab 6 - Acceptance of Minutes](#)

January 6, 2021 Finance, Facilities & Technology Committee

**Tab 7 – Reimbursement Resolution – University of Maine Energy Center (UMEC) Project**

**Discussion Topics**

Tab 8 - UMS Imperative for Change (30 minutes)

Tab 9 - Unified Accreditation Update (15 minutes)

Tab 10 - Proposed Changes to Board of Trustee Policy 803 *Naming of Physical Facilities* (15 minutes)

Tab 11 - State of IT 2020 Report (15 minutes)

**Date of the Next Meeting:** March 22, 2021 virtually by Zoom

**Attachments:**

Financial Update

Managed Investment Pool

Pension Fund

Operating Fund

Bailsford & Dunlavy Portland Commons Demand Confirmation - USM

Proposed Change to Board of Trustee Policy 803 *Naming of Physical Facilities*

Current Board of Trustee Policy 803 *Naming of Physical Facilities*

UMEC Reimbursement of Project Expenditures Resolution

AIS Energy Project Phase II Approval Request – Approved 3/25/2019

**Reports:**

[UMS Interactive Dashboard](#)

[Agenda Calendar](#)

[Honorary Degree Nominations for 2022 - List \(Confidential\)](#)

[Honorary Degree Nominations for 2022 - Narratives \(Confidential\)](#)

[Capital Project Status Report](#)

[Executive Summary](#)

[Capital Project Status Report](#)

[Capital Project Status Report – Bond Report](#)

[Competitive Procurement & Legislative Report](#)

[Executive Summary](#)

[Cover Letter & Report](#)

[2019-2020 Annual Completions Report](#)

[FY2020 Annual Report of Gifts, Fundraising & Endowments](#)

**Presentations:**

[KPI Core Ratios Presentation](#)

[Maine EDA University Center: Supporting Economic Recovery & Development, Ryan Wallace, PhD](#)

[Economics Research Experiences, Andrew Crawley, PhD](#)

[On Track for College 2021](#)

[Research Affiliated Faculty Program](#)

[Portland Commons and Career & Student Success Center Update](#)

[UMS Imperative for Change](#)

[State of IT 2020 Report](#)

**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.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Finance and Administration Update

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

Section 700 Financial Affairs

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The Vice Chancellor for Finance and Administration and Treasurer Ryan Low will provide two updates:

- 1) A brief financial update
- 2) A brief presentation regarding Core Ratios, 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](#)

Presentation:

[KPI Core Ratios Presentation](#)

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University of Maine System  
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**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Vice Chancellor for Academic Affairs Update

**INITIATED BY:** Dannel Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The Vice Chancellor for Academic Affairs' (VCAA) update at the January 2021 Board of Trustees meeting has the following items.

1. **Faculty Spotlight:** Dr. Ryan Wallace, Director, Maine Center for Business and Economic Research at the Muskie School of Public Service and Dr. Andrew Crawley, Assistant Professor of Economics at the University of Maine will share their presentation: The EDA University Center - Supporting Economic, Workforce, and Community Development in Maine.
2. **Enrollment Update:** VCAA Placido will provide a brief update on enrollment and other key performance indicators. Dan Demeritt, Executive Director of Public Relations, will provide highlights of the promotional outreach directed toward new and existing students.
3. **Research Faculty Affiliates and Exchange:** Jason Charland, Director of Research Development at the University of Maine, will lead a short presentation to update the Board on work to formalize the process to deepen and expand relationships among faculty and graduate students from different universities across the system in teaching and research. Components include publicizing and expanding opportunities for UMS faculty to have formal affiliation with the University of Maine Graduate School, and providing access to established colleagues, research infrastructure and instrumentation, and opportunities to advise/serve on committees for graduate students at UM and USM. A parallel effort would be undertaken in teaching, with the potential to maximize full-time faculty teaching under-load by allowing them to teach courses at another university, and enabling faculty with unique disciplinary expertise to teach in graduate programs at UM and USM.

Presentations:

[Maine EDA University Center: Supporting Economic Recovery & Development, Ryan Wallace, Ph.D.](#)  
[Economics Research Experiences, Andrew Crawley, Ph.D.](#)  
[On Track for College](#)  
[Research Faculty Affiliates and Exchange](#)

Report:

[2019-2020 Annual Completions Report](#)

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Authorization Portland Commons and Career & Student Success Center, USM

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:**

**BOARD ACTION: X**

**BOARD POLICY:**

701 – Budgets-Operating & Capital Changes in Square Footage

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

a. Summary of the request.

The University of Maine System acting through the University of Southern Maine requests authorization to expend up to an additional \$92 million to proceed with construction of the Portland Commons residence hall and the Career and Student Success Center (CSSC) buildings on the Portland campus. With the \$5.7 million previously authorized by the Board in January of 2020 this brings the total authorization to \$97.7 million.

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 would vote 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 some of the new space through the demolition of existing space partially making this a renovation through replacement project.

b. Overall requested budget and funding source.

The funding for these projects has been identified as the following:

CSSC – Budget \$27 million

- \$19 million 2018 Voter approved Bonds;
- \$1 million Gift (currently pledged) Fund raising continues and additional support is anticipated;
- Up to \$7 million University bond issuance as needed.

Portland Commons – Budget \$70.7 million

- \$70.7 million University bond issuance.

c. More detailed explanation of rationale for project and metrics for success of the project (ROI or other).

For over two years the University of Southern Maine has been working toward a plan for a new Student Residence Hall on the Portland campus. Additionally, the 2018 voter approved bonds included funds to support a new Career and Student Success Center on the Portland Campus as

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identified in the Master Plan. In January of 2019 the Board authorized the University to expend up to \$1 million for preliminary planning and design of this facility. As the plans for the residence hall progressed it became clear that these two projects would be on a similar schedule and closely tied to each other, so it was determined that they be developed together. In January of 2020 the board authorized the University to enter into a pre-development agreement to complete the planning stage of these projects and to expend up to \$5.7 million in the execution thereof. In February the Board authorized a bond financing, Internal Loan and Project request which identified the University's intent to self-finance the Residence Hall rather than finance through the third party developer as originally proposed in January. Over the past year, the committee and campus has worked to bring the project design process to completion and receive initial City approval to construct these buildings. Expenses to date for design, permitting and related activities fall within the \$5.7 million previously approved.

As described in January of 2020, the USM campus has seen enrollment growth since 2015 resulting in overoccupancy of its Gorham residence halls. Additionally, graduate and law students struggle to find affordable housing in the greater Portland area. A market analysis was completed in the 2018/19 school year which showed a strong demand for up to 600 beds on the Portland campus without harm to the Gorham campus occupancy. A new analysis was recently completed to study the effects of the pandemic on student's plans for housing and continuing their higher education path. This study clearly showed that while demand has shifted, there is still ample demand across the University to support this new construction (see attached Brailsford & Dunlavy report).

The new Career and Student Success Center has been conceived in order to meet the growing and diverse student body at USM and to expand career services to meet workforce needs in Maine.

Both of these projects were included in USM's Master Plan as presented to the Board in January of 2019.

A key metric of success for these projects will be tied to the student occupancy of the Portland Commons residence hall. The estimated combined project return at 95% occupancy has a net present value of \$52 million. If fundraising successfully covers all remaining budget and debt service is not needed, the NPV \$58.1 million. The CSSC will be supported by revenue from the Portland Commons as needed as well as new dining revenue generated in the building and a student fee that USM will propose. In order to ensure a viable project, the University is using conservative estimates for the demand and occupancy of the residence hall and has ensured project contingencies are in place for the construction phase.

- d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above. Portland Commons will sit on the corner of Durham and Bedford Streets, spanning approximately 218,000 square feet, and adding an aesthetically pleasing cornerstone to the campus gateway.

While meeting leading-edge Passive House sustainability standards, the new Hall will also feature large glass panels in the first floor common areas, illuminating and activating the sidewalk and making our campus a more welcoming and engaging place.

The four wings of the Hall — two reaching five stories in height and two reaching eight stories in height — will form a parallelogram that encloses a half-acre semi-private residential courtyard.

The Hall will be home to:

- USM Undergraduate students in their third or fourth year

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- USM and University of Maine System Graduate students
- Maine Law students
- Residential staff

Residents will be within walking distance to the dining hall of the new Career & Student Success Center, Glickman Library, and their Portland-based classes, as well as a METRO Husky Line stop and Portland's Back Cove.

First-floor features:

- Half-acre semi-private courtyard for studying and group gatherings
- Variety of study and meeting rooms
- Comfortable common gathering space
- Room for indoor bike storage

As the new hub of the University of Southern Maine (USM) Portland campus, the three-story, approximately 42,000 square-foot Career & Student Success Center will offer a space for our students, faculty, and staff as well as alumni, employers, and community members to meet and make connections and advance the future success of USM and UMS students.

The Center's iconic design, standing out in the heart of campus, celebrates the character of the City of Portland's maritime industry as well as the State of Maine's forestry industry. The diagonal mass timber framing of the building's portico, corrugated metal elements of the facade, interior stone fireplace and natural stained wood echo the building materials found throughout the city and the state.

The Center will be built to LEED (Leadership in Energy & Environmental Design) standards, which provides for a sustainably driven construction process as well as energy-efficient day-to-day operations.

Each floor of the Center is filled with areas dedicated to fostering collaboration.

First Floor:

- 300-seat dining hall
- Fireside Student Lounge
- The University Store
- The Husky Brew cafe/pub featuring a daytime coffee & espresso bar and offering a pub-style environment in the evening

Second Floor:

- The new home of the Career & Employment Hub, including an office suite for the University's Career Services advisors
- A 4,500 square foot Multi-Purpose Room to host career fairs, employer presentations, banquets, and other events
- Private rooms for employers and students to meet for both in-person and Zoom interviews
- The Husky Dining Room, which will sit in the second floor's southeast corner with views out over the quad and into the first floor of the Center

Third Floor:

- Diversity & Multicultural Center looking out over the Residential Quad

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- An office for USM's Student Government Association
  - Various student lounge spaces for studying and socializing
- e. Changes, if any, in net square footage or ongoing operating costs resulting from the project. The project will demolish the existing Woodbury Campus Center (28,256 sq. ft.) and the Facility building (9,744 sq. ft.) while adding approximately 42,000 sq. ft. for the CSSC and 218,000 sq. ft. for the residence hall. Much of the space for the CSSC is offset by the demolition of the existing Woodbury Campus Center accounting for a partial renovation through replacement. The total increase in square footage in this building comes to approximately 14,000 sq. ft. This additional space is mainly due to an expanded student career center; providing opportunities for improved student and employer interactions. The building also provides enhanced dining operation and student gathering space to support the new on campus residents and provide better opportunities for commuter and residential students. The residence hall is all new space which will generate cash flow and enrich the student experience for the University of Southern Maine. The project creates affordable student housing on the USM campus and increases the housing portfolio to meet the past, current and projected future need.

The operating costs of the new buildings and added square footage have been accounted for in the financial calculations for the buildings (slide 6) and will be covered through the revenue generated by the Portland Commons.

- f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b) above – See (b) above
- g. Alternatives that were considered to meet the need being addressed by this project. In 2016 the University started exploring the option of leasing existing units in the Portland area. This proved unsuccessful as affordable options which would not negatively affect the student experience were not available.
- h. Timeline for start, occupancy and completion. The existing buildings have been vacated with hazardous material remediation expected to begin immediately. Once that is complete demolition would follow no later than early March. This will allow the contractor 27 months for construction and completion of the facilities with a target occupancy date of June 1, 2023.
- i. Timeline for any further consideration or action anticipated to be needed by the Board or its committees regarding this project if full authority is not being requested from the outset. As part of the city of Portland's permitting process a few items were included in the conditions of approval for the site plan application. One notable item is the mitigation of expected parking needs as a result of this project. The university continues to work with our parking consultant (Desman Design) to finalize selection of a site and design for the proposed additional parking structure. This item is expected to be before the board for additional consideration in the coming meeting cycle.

With this agenda item the University is requesting a special meeting of the Finance, Facilities and Technology Committee at the upcoming January 24-25 Board of Trustees meeting in order to provide up to date, final budget numbers. The contractor is currently working to determine a final Guaranteed Maximum Price and expects to have that ready in time for a final decision by that date.

No further approvals are foreseen at this time.

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- j. Additional information that may be useful to consideration of the item.  
The following attachments are included for supplemental information:
- B&D report and slide deck on 2020 Market Demand study
  - USM slide deck
  - Renderings

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities and Technology Committee, and authorizes the University of Maine System acting through the University of Southern Maine to increase the authorized expenditure for the development of the Portland Commons residence hall and the Career and Student Success Center building by \$92,000,000 for a new total project value of \$97,700,000. Funding for these buildings to come from University financing, University issued bond, Voter approved General Obligation Bonds and private Philanthropy.

Attachment:

[Bailsford & Dunlavey Portland Commons Demand Confirmation - USM](#)

Presentation:

[Portland Commons and Career & Student Success Center Update](#)

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Acceptance and Administration of Harold Alfond Foundation Grants

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:** **BOARD ACTION:** X

**BOARD POLICY:**

*706 - Acceptance of Gifts, Development Activities & Fund Raising Campaigns*

**UNIFIED ACCREDITATION CONNECTION:**

The Harold Alfond Foundation grants are intended, in part, to facilitate greater academic collaboration between UMS universities.

**BACKGROUND:**

On October 6, 2020, the Harold Alfond Foundation announced \$500 million in grant investments to a number of Maine institutions to help grow the state’s workforce and economy and support quality health care. In its announcement, the Harold Alfond Foundation pledged to make these investments in vital, high-performing Maine institutions to help build a bright, prosperous future for the people of Maine.

A day later, the University of Maine System and the Harold Alfond Foundation announced together that \$240 million of these grant investments would be awarded to UMS, constituting the largest gift ever to a public institution of higher education in New England and, at the time, the 8th largest gift ever made to a U.S. institution of public higher education. The University of Maine System is challenged to leverage the Harold Alfond Foundation’s transformative gift to secure an additional \$170 million in matching funds over the next 10 years from private, state and federal sources, resulting in \$410 million total investment in Maine’s public university system.

The Harold Alfond Foundation gift and grant agreements that detail the investments call for transformative change at Maine’s public universities by:

- i. expanding the University of Maine’s existing College of Engineering into a cutting edge, state-wide College of Engineering, Computing, and Information Science;
- ii. supporting student retention and success at all UMS universities;
- iii. further developing the University of Maine Graduate and Professional Center, integrating law, business, and public and health policy, as well as seeking to develop intercurricular connections with graduate engineering in the Portland region and state-wide; and
- iv. enhancing athletic facilities at the University of Maine, home to the state’s only Division I athletic program.

The Harold Alfond Foundation stated that the UMS grant represents, in the Foundation’s view, a strategic, long-term effort to strengthen the capacity of Maine’s public universities to meet the state’s most pressing higher education, workforce and economic needs.

In exercising its fiduciary governance responsibilities for the University of Maine System as the recipient of the Harold Alfond Foundation's gifts and grant investments, the Board of Trustees proposes to adopt the following Resolution.

**TEXT OF PROPOSED RESOLUTION:**

**IT IS RESOLVED:**

1. With deep gratitude on behalf of the State of Maine in its role as fiduciary of the University of Maine System, and pursuant to its Policy 706, the Board of Trustees accepts the Harold Alfond Foundation's \$240 million grants to the University of Maine System on the terms further set forth in this Resolution.
2. System and university leadership will manage the \$240 million grants for student success and retention; Engineering, Computing, and Information Science; the Maine Center; and Division 1 athletics pursuant to the terms of the Harold Alfond Foundation grant agreements and all Board Policies that apply to the acceptance, implementation, administration, and reporting of such grants and the work undertaken to achieve the funded outcomes.
3. The \$150 million in grants for student success and retention; Engineering, Computing, and Information Science; and the Maine Center will be further administered by the principal investigator model established by System and university leadership to manage the grants and track and report work undertaken for them. The Board of Trustees charges the Principal Investigators to execute the work, including through project leads and leadership teams, described in the Harold Alfond Foundation grant agreements according to the terms of this Resolution.
4. UMS will implement the funded initiatives to best serve students, advance the University of Maine System's existing strategic priorities and outcomes, and enhance UMS's role in improving civic and economic life in Maine through its teaching, research, and public service missions.
5. UMS will emphasize and prioritize diversity, equity and inclusion in all aspects of implementing and scaling the funded initiatives.
6. Including through opportunities provided by unified accreditation, System leadership and the Principal Investigators will implement the funded initiatives so as to scale them and provide meaningful participation by all UMS universities and in all regions of the state as soon as practical.
7. In compliance with the University of Maine System's existing capital project planning and approval, financial, and budgetary policies, System and university leaders and the funded initiatives' Principal Investigators and leadership teams will coordinate annual project planning and funding and staffing needs with the Vice Chancellor for Finance and Administration to ensure cash flow, debt service and debt load undertaken in support of the funded initiatives align with existing and future budget procedures and priorities and ensure UMS fiscal stability.
8. System and university leaders will provide appropriate updates to the Board of Trustees at least semi-annually on funded project outcomes, benchmarks, and progress toward match requirements.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Honorary Degree Nominations for 2022

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

213 - Honorary Degrees

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**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.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the 2022 nominations for Honorary Degrees as presented.

Attachment:

[Honorary Degree Nominations for 2022 - List \(Confidential\)](#)

[Honorary Degree Nominations for 2022 - Narratives \(Confidential\)](#)

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University of Maine System  
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**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Acceptance of Minutes

**INITIATED BY:** James R. Erwin, Chair

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The following minutes will be presented to the Board of Trustees for approval at the January 25, 2021 Board meeting:

October 26, 2020 – Academic & Student Affairs Committee  
October 26, 2020 – Human Resources & Labor Relations Committee  
October 28, 2020 – Finance, Facilities, Technology Committee  
October 28, 2020 – Audit Committee Meeting  
October 28, 2020 – Special Board of Trustees Meeting  
November 16, 2020 – Board of Trustees Meeting  
December 1, 2020 – Investment Committee Meeting  
January 4, 2021 – Academic & Student Affairs Committee  
January 4, 2021 – Human Resources & Labor Relations Committee

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

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the minutes as presented.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Reimbursement Resolution – University of Maine Energy Center (UMEC) Project

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

Section 712 Debt Policy

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The University of Maine System (UMS) proposes to issue revenue bonds to finance design services related to Phase II of the University of Maine (UM) Energy Center (the UMEC Project) and Phase III final design and construction. As such, a resolution to provide for reimbursement from bond proceeds of UMEC Project expenditures made prior to bond issuance is enclosed for Board review and approval. The March 24-25, 2019 Board of Trustees meeting Agenda Item Summary titled Energy Project Phase II Approval Request, UM, provides a summary of the UMEC Project and has been included with these materials for reference.

At its March 25, 2019 meeting, the Board of Trustees authorized the UMS acting through the UM to pursue the UMEC Project and to enter into agreements under which as much as \$5.7 million could be expended from University funds identified by the Chief Business Officer, subject to review by the Vice Chancellor for Finance and Administration and Treasurer and University Counsel. The \$5.7 million includes anticipated costs for various experts to support the UM's own diligence and contractual obligations (under Phase II) to its contractor in the UMEC Project (Honeywell) for design services.

The overall UMEC Project as preliminarily conceived offers the promise to provide significant and meaningful collective benefits, including environmental advantages, cost containment, price stability, increased reliability, and a greater focus on local energy and investments. The UMEC Project concept envisions a new energy plant constructed at the University of Maine, which will include combined heat and power. In addition to achieving carbon reductions and fiscal benefits, the UMEC Project would replace critical steam and electrical infrastructure that has reached or exceeded its useful life.

Upon execution of the Project Development Agreement between the parties, Phase II will commence and include the design work needed to refine and confirm the UMEC Project scope and includes financial commitments from the UM to the design-builder, Honeywell International Inc. (Honeywell), of the UMEC Project. The UM anticipates that, at the conclusion of Phase II, it will bring a firm fixed price and agreements to the Board for consideration and approval to commence Phase III of the UMEC Project, which is for final design and construction of the UMEC Project.

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The UM anticipates needing revenue bonding for capital investment costs should the UMEC Project move to Phase III as is currently expected. While the total cost of the UMEC Project will not be known until Phase II is completed, for purposes of the reimbursement resolution before you today, UM expects that the amount of bonds to be issued for the UMEC Project will not exceed \$130 million including capitalized interest, reserves, costs of issuance, any changes in interest rates or use of taxable or tax-exempt bonds, and related construction costs. This \$130 million total includes a maximum amount of \$5 million for funding the Phase II, Schematic Design Phase, inclusive of any related interest, reserves, and costs of issuance.

To date, Honeywell has worked with the UM to develop a comprehensive economic model of the UMEC Project which was reviewed by both CES and the Celtic Energy. This due diligence indicates preliminary estimates for a total capital investment, including Phase II, could approach \$130 million, as noted above. This Phase II will enable Honeywell, working with the UM, to modify the design as appropriate to calculate capital investment costs and resulting returns in order to arrive at the desired outcome most attractive to the UM and to determine the related savings that will be used to support UM's debt service payments.

With the significant number of projects, including the UMEC Project, in process throughout the UMS, management will continue to assess all estimated project cash flows to determine the best funding options including the most efficient number and appropriate timing of revenue bond issuances. At this time, UMS intends to use interim financing and/or internal resources to fund some or all of the various projects in anticipation of refinancing with future revenue bond issuances over several years to avoid unnecessary financing costs. Those other projects have or will come separately to the FFT for financing approval. The UMS is currently working with a consultant on a Request for Proposals related to interim financing opportunities to support these objectives.

At June 30, 2020, UMS had total outstanding long-term debt of \$138 million. Maine Revised Statutes currently limits UMS borrowing authority to \$350 million in principal outstanding, making Phase II of the Project well within its authority.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the January 25, 2021 Board Meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities and Technology Committee, and approves the resolution entitled "Reimbursement of Project Expenditures" with respect to financing the University of Maine Energy Center Project (the UMEC Project).

Attachments:

[UMEC Reimbursement of Project Expenditures Resolution](#)

[AIS Energy Project Phase II Approval Request – Approved 3/25/2019](#)

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** UMS Imperative for Change

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

Creating an environment that actively seeks, welcomes and retains a diverse population of faculty, staff and students is a critical priority for the universities of the UMS. A collaborative and broad reaching approach to this priority supported by the Board, UMS and university leadership must be grounded within unified accreditation; Diversity, Equity and Inclusion (DEI) is also seen as a priority by our accreditor making our work especially timely.

**BACKGROUND:**

Earlier this summer, Chancellor Dannel Malloy issued a challenge to the University of Maine System, “An Imperative for Change.” The Chancellor affirmed the condemnation of racial injustice and violence against Black Americans, as well as a commitment to examining, confronting and ending inequities in our universities and communities wherever and against whomever they exist. He charged the Office of Human Resources, in collaboration with Academic Affairs, to oversee this important priority for the University of Maine System.

Led by Human Resources and Academic Affairs and endorsed by the Vice Chancellors and the Presidents, we are reviewing our history, assessing current plans and practices across the UMS, and recommending future shared direction and initiatives to ensure the UMS is both ending inequities and creating an environment that actively seeks, welcomes and retains a diverse population of faculty, staff and students. Presentations have been made at the Human Resources/Labor Relations Committee and the Academic and Student Affairs Committee to set the stage for this work.

Fundamental and central to this important focus for the UMS are the significant and impactful strategies and initiatives of our universities in addressing systemic racism and building capacity to provide an inclusive culture grounded in equity that is welcoming to faculty, staff and students. The collaboration between our universities and between the universities and the System will be a critical component of the sustainability and progress for this work, all done through the lens of the goals of unified accreditation.

While all universities have active Diversity, Equity and Inclusion (DEI) initiatives underway, select university diversity leaders will be providing insight into their work in this presentation. These leaders in combination with UMS shared service leaders and students will discuss with the Board the necessary next DEI steps needed to further this within our System and appeal to prospective students, families and employees in an increasingly diverse and competitive environment. Our goal is that the Board of Trustees will affirm and support this priority, hold us and themselves accountable for its success and commit to that effort. Megan Clough, UMS Director of Learning and Organization Development, will introduce the presentation.

Presentation:

[UMS Imperative for Change](#)

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Unified Accreditation Update

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

Board engagement/transparency

**BACKGROUND:**

UMS Chief of Staff and General Counsel James Thelen and Vice Chancellor for Academic Affairs Robert Placido will provide a brief update on unified accreditation and process to date. The update will include introducing Jeff St. John, former Senior Associate Provost at the University of Maine, who, effective January 4, 2021, took on System-wide accreditation responsibilities as Associate Vice Chancellor for Accreditation and Strategic Initiatives. In the role, Dr. St. John will manage all day-to-day work associated with the System's unified accreditation and serve as the System's accreditation liaison officer to the New England Commission of Higher Education (NECHE).

Associate Vice Chancellor St. John will summarize the preparations that continue for NECHE's Spring 2021 confirming visit regarding unified accreditation, as well as organizing representatives from all System universities for drafting a Self Study that will be submitted to NECHE in 2022 in advance of NECHE's Fall 2022 Comprehensive Evaluation visit to assess unified accreditation.

1/14/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Proposed Changes to Board of Trustee Policy 803 *Naming of Physical Facilities*

**INITIATED BY:** Dannel P. Malloy, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**  
*803 Naming of Physical Facilities*

**UNIFIED ACCREDITATION CONNECTION:**  
This revised Board policy will provide clarity for naming, renaming and remove of names of physical facilities for consistency among all campuses.

**BACKGROUND:**  
At the September 28, 2020 Board of Trustees meeting, the Board was charged to establish a working group to consider the factors relied upon by the C.C. Little Hall Name Task Force in its June 23, 2020 report and recommendation for this name change and determine whether these factors or others should be expressly incorporated into Board Policy 803 to guide the Board's consideration of future naming recommendations of this nature. Board Policy 803 is currently silent about the removal or renaming of facilities.

Chair Erwin appointed an Ad Hoc Working Group for the Naming of Physical Facilities. Members of the Ad Hoc Group are: Trustee Mark Gardner, as Chair; Trustee Emily Cain; Ainsley Wallace, USM Foundation President & CEO; Liam Riordan, UM Professor; and Ellen Doughty, Clerk of the Board. This group was charged with drafting a change to Board of Trustee Policy 803 or developing a new policy to provide guidance and consistency for new naming opportunities or removal of names.

The Ad Hoc Group met several time to review the current policy, discuss the Little Hall Task Force Report, and examined naming policies from other university systems. The Ad Hoc Group developed a revised draft Policy 803 and distributed it to key stakeholders for feedback, including Presidents, General Counsel's Office, and UM and USM Foundation and Development staff members.

The feedback received has been incorporated into the proposed Policy and was presented as an information item to the Finance, Facilities, and Technology (FFT) Committee at their January 6<sup>th</sup> meeting. The FFT Committee discussed this item and agreed to forward it to be presented to the full Board, as an information item, at the January 25, 2021 meeting. The proposed policy will then be presented as an action item at the March FFT Committee meeting and the March Board of Trustees meeting.

Attachments:  
[Proposed Change to Board of Trustee Policy 803 Naming of Physical Facilities](#)  
[Current Board of Trustee Policy 803 Naming of Physical Facilities](#)

1/14/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** State of IT 2020 Report

**INITIATED BY:** Dannel P. Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Dr. David Demers, Chief Information Officer, will share highlights from the State of IT 2020 Report, including:

- Overview of US:IT response to COVID-19 pandemic
  - Tools and Services to support Spring 2020 Shift to Remote Teaching, Learning and Work
  - Tools and Services to support Fall 2020 Safe Return to Campus
- Project highlights from 2020

Link to Report: [wpsites.maine.edu/stateofitreport/](https://wpsites.maine.edu/stateofitreport/)

Presentation:

[2020 State of IT Report](#)

1/14/2021

## University of Maine System Managed Investment Pool

# TOTAL PLAN PERFORMANCE

|  | Market Value<br>(\$) | % of<br>Portfolio | Policy %     | 1 Mo<br>(%) | Fiscal<br>YTD<br>(%) | YTD<br>(%)  | 1 Yr<br>(%) | 3 Yrs<br>(%) | 5 Yrs<br>(%) | 7 Yrs<br>(%) | 10 Yrs<br>(%) |
|--|----------------------|-------------------|--------------|-------------|----------------------|-------------|-------------|--------------|--------------|--------------|---------------|
| <b>MIP Composite</b>   | <b>395,765,280</b>   | <b>100.0</b>      | <b>100.0</b> | <b>8.0</b>  | <b>13.4</b>          | <b>8.4</b>  | <b>11.3</b> | <b>6.1</b>   | <b>7.2</b>   | <b>5.5</b>   | <b>6.7</b>    |
| Allocation Index   |                      |                   |              | 8.6         | 13.1                 | 8.8         | 11.5        | 6.9          | 8.0          | 6.3          | 7.0           |
| Policy Index   |                      |                   |              | 9.0         | 13.7                 | 9.0         | 11.9        | 7.2          | 8.5          | 6.6          | 7.2           |
| <b>Total Domestic Large Cap</b>                                | <b>70,081,731</b>    | <b>17.7</b>       | <b>17.0</b>  | <b>10.9</b> | <b>17.6</b>          | <b>13.9</b> | <b>17.3</b> | <b>13.1</b>  | <b>13.9</b>  | <b>12.6</b>  | <b>13.9</b>   |
| S&P 500  |                      |                   |              | 10.9        | 17.6                 | 14.0        | 17.5        | 13.2         | 14.0         | 12.7         | 14.2          |
| SSgA S&P 500   | 70,081,731           | 17.7              | 17.0         | 10.9        | 17.6                 | 13.9        | 17.3        | 13.1         | 13.9         | 12.6         | 14.1          |
| S&P 500  |                      |                   |              | 10.9        | 17.6                 | 14.0        | 17.5        | 13.2         | 14.0         | 12.7         | 14.2          |
| <b>Total Domestic Small/Mid Cap</b>                            | <b>30,820,549</b>    | <b>7.8</b>        | <b>7.0</b>   | <b>15.3</b> | <b>25.7</b>          | <b>10.3</b> | <b>13.6</b> | <b>8.1</b>   | <b>10.7</b>  | <b>8.9</b>   | <b>12.0</b>   |
| Russell 2500   |                      |                   |              | 16.3        | 25.4                 | 11.5        | 13.9        | 8.8          | 11.1         | 9.4          | 12.0          |
| Westfield Capital  | 15,691,314           | 4.0               | 3.5          | 12.2        | 23.4                 | 23.3        | 26.1        | 15.8         | 15.1         | 12.2         | 14.5          |
| Russell 2500 Growth  |                      |                   |              | 14.6        | 26.8                 | 29.3        | 30.5        | 16.8         | 15.9         | 13.2         | 14.9          |
| DFA  | 15,129,235           | 3.8               | 3.5          | 18.6        | 28.1                 | -3.7        | -0.1        | -0.3         | 5.2          | 4.5          | 8.8           |
| Russell 2000 Value   |                      |                   |              | 19.3        | 26.7                 | -3.0        | 0.3         | 0.8          | 6.8          | 5.4          | 8.7           |
| <b>Global Equity</b>   | <b>41,017,886</b>    | <b>10.4</b>       | <b>10.0</b>  | <b>12.3</b> | <b>17.5</b>          | <b>--</b>   | <b>--</b>   | <b>--</b>    | <b>--</b>    | <b>--</b>    | <b>--</b>     |
| MSCI World   |                      |                   |              | 12.8        | 18.0                 | 11.2        | 14.5        | 9.5          | 10.9         | 8.9          | 10.2          |
| Walter Scott Global Equity                                     | 41,017,886           | 10.4              | 10.0         | 12.3        | 17.5                 | --          | --          | --           | --           | --           | --            |
| MSCI World   |                      |                   |              | 12.8        | 18.0                 | 11.2        | 14.5        | 9.5          | 10.9         | 8.9          | 10.2          |
| <b>Total International Equity (including emerging markets)</b> | <b>87,225,986</b>    | <b>22.0</b>       | <b>21.0</b>  | <b>11.2</b> | <b>18.7</b>          | <b>8.4</b>  | <b>12.9</b> | <b>2.9</b>   | <b>6.0</b>   | <b>3.6</b>   | <b>5.3</b>    |
| MSCI EAFE  |                      |                   |              | 15.5        | 16.2                 | 3.0         | 6.4         | 3.3          | 6.2          | 3.9          | 5.9           |
| Morgan Stanley   | 19,922,817           | 5.0               | 5.0          | 14.8        | 11.5                 | 5.0         | 8.1         | 3.2          | 5.5          | 3.6          | 6.1           |
| JO Hambro  | 22,106,530           | 5.6               | 5.0          | 12.7        | 19.7                 | --          | --          | --           | --           | --           | --            |
| MSCI EAFE  |                      |                   |              | 15.5        | 16.2                 | 3.0         | 6.4         | 3.3          | 6.2          | 3.9          | 5.9           |
| Kabouter International Opportunities Offshore Fund II          | 15,889,954           | 4.0               | 4.0          | 7.1         | 14.0                 | 5.8         | 9.7         | 0.9          | --           | --           | --            |
| MSCI EAFE Small Cap  |                      |                   |              | 13.7        | 21.0                 | 5.2         | 9.8         | 3.5          | 8.1          | 6.6          | 8.3           |
| <b>Emerging Markets Equity</b>                                 | <b>29,306,685</b>    | <b>7.4</b>        | <b>7.0</b>   | <b>10.1</b> | <b>26.2</b>          | <b>14.5</b> | <b>21.8</b> | <b>5.1</b>   | <b>7.7</b>   | <b>3.3</b>   | <b>3.5</b>    |
| MSCI Emerging Markets  |                      |                   |              | 9.2         | 22.2                 | 10.2        | 18.4        | 4.9          | 10.7         | 4.9          | 3.6           |
| Aberdeen Emerging Mkts   | 15,462,419           | 3.9               | 3.5          | 10.7        | 28.4                 | 16.7        | 25.9        | 7.9          | 11.2         | 5.4          | 4.9           |
| MSCI Emerging Markets  |                      |                   |              | 9.2         | 22.2                 | 10.2        | 18.4        | 4.9          | 10.7         | 4.9          | 3.6           |
| Mondrian EM Small Cap  | 13,844,266           | 3.5               | 3.5          | 9.4         | 23.7                 | 12.1        | 17.5        | 2.2          | 4.1          | --           | --            |
| MSCI Emerging Markets Small Cap                                |                      |                   |              | 14.1        | 26.9                 | 10.7        | 17.5        | 1.4          | 6.6          | 3.7          | 2.1           |



## University of Maine System Managed Investment Pool

# TOTAL PLAN PERFORMANCE

|   | Market Value<br>(\$) | % of<br>Portfolio | Policy %    | 1 Mo<br>(%) | Fiscal<br>YTD<br>(%) | YTD<br>(%)   | 1 Yr<br>(%) | 3 Yrs<br>(%) | 5 Yrs<br>(%) | 7 Yrs<br>(%) | 10 Yrs<br>(%) |
|---|----------------------|-------------------|-------------|-------------|----------------------|--------------|-------------|--------------|--------------|--------------|---------------|
| <b>Total Fixed Income</b>                           | <b>85,804,423</b>    | <b>21.7</b>       | <b>24.0</b> | <b>2.0</b>  | <b>4.4</b>           | <b>6.0</b>   | <b>6.8</b>  | <b>4.8</b>   | <b>4.6</b>   | <b>3.9</b>   | <b>4.6</b>    |
| <i>BBgBarc US Aggregate TR</i>                      |                      |                   |             | 1.0         | 1.2                  | 7.4          | 7.3         | 5.5          | 4.3          | 4.0          | 3.7           |
| Commonfund  | 25,369,442           | 6.4               | 7.0         | 1.8         | 3.1                  | 6.5          | 6.9         | 5.5          | 4.8          | 4.2          | 4.5           |
| <i>BBgBarc US Aggregate TR</i>                      |                      |                   |             | 1.0         | 1.2                  | 7.4          | 7.3         | 5.5          | 4.3          | 4.0          | 3.7           |
| Vanguard Inflation-Protected Securities             | 12,959,318           | 3.3               | 3.5         | 1.1         | 3.5                  | 9.7          | 10.2        | 5.7          | --           | --           | --            |
| <i>BBgBarc US TIPS TR</i>                           |                      |                   |             | 1.1         | 3.5                  | 9.7          | 10.1        | 5.8          | 4.7          | 3.5          | 3.5           |
| Vanguard Short-Term Inflation-Protected Securities  | 12,534,102           | 3.2               | 3.5         | 0.6         | 2.1                  | 4.1          | 4.8         | --           | --           | --           | --            |
| <i>BBgBarc US TIPS 1-5 Yr TR</i>                    |                      |                   |             | 0.7         | 2.3                  | 4.6          | 5.4         | 3.4          | 2.7          | 1.7          | 1.8           |
| Blackrock Strategic Income Opportunities            | 17,758,594           | 4.5               | 5.0         | 2.8         | 5.7                  | 5.9          | 7.1         | --           | --           | --           | --            |
| <i>3-Month Libor Total Return USD</i>               |                      |                   |             | 0.0         | 0.1                  | 0.6          | 0.8         | 1.8          | 1.5          | 1.1          | 0.9           |
| Bain Capital Senior Loan Fund                       | 17,182,967           | 4.3               | 5.0         | 3.0         | 7.5                  | 3.4          | 4.9         | --           | --           | --           | --            |
| <i>Credit Suisse Leveraged Loans</i>                |                      |                   |             | 2.1         | 6.5                  | 1.5          | 3.1         | 3.7          | 4.7          | 3.8          | 4.5           |
| <b>Total GAA</b>                                    | <b>53,334,366</b>    | <b>13.5</b>       | <b>15.0</b> | <b>3.8</b>  | <b>6.6</b>           | <b>0.4</b>   | <b>2.8</b>  | <b>2.3</b>   | <b>4.1</b>   | <b>2.7</b>   | <b>3.6</b>    |
| <i>65% MSCI ACWI (Net) / 35% BBgBarc Global Agg</i> |                      |                   |             | 8.6         | 13.6                 | 10.5         | 13.3        | 7.7          | 8.9          | 6.6          | 7.3           |
| GMO Global Absolute Return                          | 25,846,972           | 6.5               | 7.5         | 3.4         | 5.1                  | -5.5         | -2.5        | -0.1         | 2.7          | 1.7          | 3.8           |
| <i>Blended Index</i>                                |                      |                   |             | 2.5         | 4.5                  | 7.8          | 8.8         | 6.0          | 5.7          | 4.8          | 5.0           |
| Newton Global Real Return                           | 27,487,394           | 6.9               | 7.5         | 4.3         | 8.0                  | 6.5          | 8.2         | 6.4          | --           | --           | --            |
| <i>60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg</i>  |                      |                   |             | 8.1         | 13.0                 | 10.4         | 13.0        | 7.5          | 8.6          | 6.3          | 6.9           |
| <b>Total Hedge Funds</b>                            | <b>24,696,926</b>    | <b>6.2</b>        | <b>6.0</b>  | <b>5.4</b>  | <b>13.7</b>          | <b>17.6</b>  | <b>21.7</b> | <b>8.4</b>   | <b>6.4</b>   | <b>4.5</b>   | <b>3.7</b>    |
| <i>HFRI Fund of Funds Composite Index</i>           |                      |                   |             | 3.7         | 8.5                  | 6.7          | 8.5         | 3.9          | 3.7          | 3.3          | 3.2           |
| Lighthouse  | 24,696,926           | 6.2               | 6.0         | 5.4         | 13.7                 | 17.6         | 21.7        | 9.1          | 7.1          | --           | --            |
| <i>Credit Suisse Long Shrt Eqt USD</i>              |                      |                   |             | 4.0         | 6.2                  | 3.6          | 6.0         | 3.8          | 3.9          | 4.4          | 4.9           |
| <b>Private Equity</b>                               | <b>1,986,124</b>     | <b>0.5</b>        | <b>0.0</b>  | <b>0.0</b>  | <b>6.6</b>           | <b>-10.5</b> | <b>-7.9</b> | <b>5.7</b>   | <b>6.8</b>   | <b>--</b>    | <b>--</b>     |
| Landmark Equity Partners XV                         | 1,986,124            | 0.5               | 0.0         | 0.0         | 6.6                  | -10.5        | -7.9        | 5.7          | 6.8          | --           | --            |
| <i>CJA US All PE (1 Qtr Lag)</i>                    |                      |                   |             | 0.0         | 9.4                  | 2.1          | 3.4         | 10.6         | 10.3         | 11.7         | 12.9          |
| <b>Total Cash</b>                                   | <b>797,290</b>       | <b>0.2</b>        | <b>0.0</b>  |             |                      |              |             |              |              |              |               |
| Distribution Account                                | 797,290              | 0.2               | 0.0         | 0.0         | 0.0                  | 0.2          | 0.2         | 1.2          | 0.8          | 0.6          | 0.5           |
| <i>91 Day T-Bills</i>                               |                      |                   |             | 0.0         | 0.0                  | 0.4          | 0.6         | 1.5          | 1.1          | 0.8          | 0.6           |

## Notes:

Fiscal YTD begins 7/1

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

Returns are net of manager fees

Landmark market value is estimated as of 11/30/2020.

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



November 30, 2020

### **Information Disclaimer**

- Past performance is no guarantee of future results.
- All investments carry some level of risk. Diversification and other asset allocation techniques are not guaranteed to ensure profit or protect against losses.
- NEPC's source for portfolio pricing, calculation of accruals, and transaction information is the plan's custodian bank. Information on market indices and security characteristics is received from other sources external to NEPC. While NEPC has exercised reasonable professional care in preparing this report, we cannot guarantee the accuracy of all source information contained within.
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### **Reporting Methodology**

- The client's custodian bank is NEPC's preferred data source unless otherwise directed. NEPC generally reconciles custodian data to manager data. If the custodian cannot provide accurate data, manager data may be used.
- Trailing time period returns are determined by geometrically linking the holding period returns, from the first full month after inception to the report date. Rates of return are annualized when the time period is longer than a year. Performance is presented gross and/or net of manager fees as indicated on each page.
- For managers funded in the middle of a month, the "since inception" return will start with the first full month, although actual inception dates and cash flows are taken into account in all Composite calculations.
- This report may contain forward-looking statements that are based on NEPC's estimates, opinions and beliefs, but NEPC cannot guarantee that any plan will achieve its targeted return or meet other goals.



## University of Maine System Pension Plan

## TOTAL PLAN PERFORMANCE

|  | Market Value<br>(\$) | % of<br>Portfolio | Policy %     | 1 Mo<br>(%) | Fiscal<br>YTD<br>(%) | YTD<br>(%)  | 1 Yr<br>(%) | 2 Yrs<br>(%) | 3 Yrs<br>(%) | 5 Yrs<br>(%) | 7 Yrs<br>(%) | 10 Yrs<br>(%) |
|--|----------------------|-------------------|--------------|-------------|----------------------|-------------|-------------|--------------|--------------|--------------|--------------|---------------|
| <b>Pension Composite</b>                                   | <b>25,909,660</b>    | <b>100.0</b>      | <b>100.0</b> | <b>5.2</b>  | <b>8.5</b>           | <b>9.1</b>  | <b>10.9</b> | <b>10.5</b>  | <b>6.5</b>   | <b>6.5</b>   | <b>5.2</b>   | <b>6.2</b>    |
| <i>Allocation Index</i>                                    |                      |                   |              | 5.5         | 8.4                  | 7.8         | 9.6         | 9.6          | 6.2          | 6.9          | 5.7          | 6.7           |
| <i>Policy Index</i>  |                      |                   |              | 5.6         | 8.4                  | 7.9         | 9.7         | 10.0         | 6.5          | 7.2          | 6.0          | 7.0           |
| <b>Total Global Equity</b>                                 | <b>8,204,595</b>     | <b>31.7</b>       | <b>30.0</b>  | <b>12.2</b> | <b>17.4</b>          | <b>13.9</b> | <b>17.8</b> | <b>--</b>    | <b>--</b>    | <b>--</b>    | <b>--</b>    | <b>--</b>     |
| <i>MSCI World</i>  |                      |                   |              | 12.8        | 18.0                 | 11.2        | 14.5        | 14.5         | 9.5          | 10.9         | 8.9          | 10.2          |
| Walter Scott Global Equity Fund                            | 8,204,595            | 31.7              | 30.0         | 12.2        | 17.4                 | 13.9        | 17.8        | --           | --           | --           | --           | --            |
| <i>MSCI World</i>  |                      |                   |              | 12.8        | 18.0                 | 11.2        | 14.5        | 14.5         | 9.5          | 10.9         | 8.9          | 10.2          |
| <b>Emerging Markets Equity</b>                             | <b>888,136</b>       | <b>3.4</b>        | <b>3.0</b>   | <b>9.4</b>  | <b>23.7</b>          | <b>12.1</b> | <b>17.5</b> | <b>10.7</b>  | <b>2.3</b>   | <b>4.1</b>   | <b>1.2</b>   | <b>--</b>     |
| <i>MSCI Emerging Markets</i>                               |                      |                   |              | 9.2         | 22.2                 | 10.2        | 18.4        | 12.7         | 4.9          | 10.7         | 4.9          | 3.6           |
| Mondrian EM Small Cap                                      | 888,136              | 3.4               | 3.0          | 9.4         | 23.7                 | 12.1        | 17.5        | 10.7         | 2.3          | 4.1          | --           | --            |
| <i>MSCI Emerging Markets Small Cap</i>                     |                      |                   |              | 14.1        | 26.9                 | 10.7        | 17.5        | 10.2         | 1.4          | 6.6          | 3.7          | 2.1           |
| <b>Total Fixed Income</b>                                  | <b>10,784,404</b>    | <b>41.6</b>       | <b>43.0</b>  | <b>1.5</b>  | <b>2.7</b>           | <b>6.9</b>  | <b>7.2</b>  | <b>8.0</b>   | <b>5.1</b>   | <b>4.4</b>   | <b>3.7</b>   | <b>4.0</b>    |
| <i>BBgBarc US Aggregate TR</i>                             |                      |                   |              | 1.0         | 1.2                  | 7.4         | 7.3         | 9.0          | 5.5          | 4.3          | 4.0          | 3.7           |
| Vanguard Total Bond Market Index                           | 6,519,673            | 25.2              | 26.0         | 1.1         | 1.1                  | 7.6         | 7.4         | 9.1          | 5.5          | 4.4          | --           | --            |
| <i>BBgBarc US Aggregate TR</i>                             |                      |                   |              | 1.0         | 1.2                  | 7.4         | 7.3         | 9.0          | 5.5          | 4.3          | 4.0          | 3.7           |
| Vanguard Inflation-Protected Securities                    | 886,764              | 3.4               | 3.5          | 1.1         | 3.5                  | 9.8         | 10.2        | 9.3          | 5.7          | --           | --           | --            |
| <i>BBgBarc US TIPS TR</i>                                  |                      |                   |              | 1.1         | 3.5                  | 9.7         | 10.1        | 9.4          | 5.8          | 4.7          | 3.5          | 3.5           |
| Vanguard Short-Term Inflation-Protected Securities - VTSPX | 859,776              | 3.3               | 3.5          | 0.6         | 2.1                  | 4.1         | 4.8         | --           | --           | --           | --           | --            |
| <i>BBgBarc US TIPS 1-5 Yr TR</i>                           |                      |                   |              | 0.7         | 2.3                  | 4.6         | 5.4         | 4.9          | 3.4          | 2.7          | 1.7          | 1.8           |
| BlackRock Strategic Income Opportunities                   | 1,270,302            | 4.9               | 5.0          | 2.8         | 5.7                  | 5.9         | 7.2         | 6.9          | --           | --           | --           | --            |
| <i>3-Month Libor Total Return USD</i>                      |                      |                   |              | 0.0         | 0.1                  | 0.6         | 0.8         | 1.6          | 1.8          | 1.5          | 1.1          | 0.9           |
| Bain Capital Senior Loan Fund                              | 1,247,889            | 4.8               | 5.0          | 3.0         | 7.5                  | 3.4         | 4.9         | 4.3          | --           | --           | --           | --            |
| <i>Credit Suisse Leveraged Loans</i>                       |                      |                   |              | 2.1         | 6.5                  | 1.5         | 3.1         | 3.6          | 3.7          | 4.7          | 3.8          | 4.5           |
| <b>Total GAA</b>   | <b>2,066,047</b>     | <b>8.0</b>        | <b>8.0</b>   | <b>4.3</b>  | <b>8.0</b>           | <b>6.5</b>  | <b>8.2</b>  | <b>9.7</b>   | <b>4.8</b>   | <b>5.6</b>   | <b>3.7</b>   | <b>4.1</b>    |
| <i>65% MSCI ACWI (Net) / 35% BBgBarc Global Agg</i>        |                      |                   |              | 8.6         | 13.6                 | 10.5        | 13.3        | 12.7         | 7.7          | 8.9          | 6.6          | 7.3           |
| Newton Global Real Return                                  | 2,066,047            | 8.0               | 8.0          | 4.3         | 8.0                  | 6.5         | 8.2         | 9.4          | 6.4          | --           | --           | --            |
| <i>60% MSCI ACWI (Net) / 40% FTSE WGBI</i>                 |                      |                   |              | 8.0         | 12.8                 | 10.8        | 13.3        | 12.6         | 7.6          | 8.6          | 6.3          | 6.8           |
| <b>Total Alternative Investments</b>                       | <b>1,297,175</b>     | <b>5.0</b>        | <b>5.0</b>   | <b>5.4</b>  | <b>13.7</b>          | <b>17.6</b> | <b>21.7</b> | <b>14.5</b>  | <b>8.4</b>   | <b>6.4</b>   | <b>4.9</b>   | <b>4.0</b>    |
| <i>HFRI Fund of Funds Composite Index</i>                  |                      |                   |              | 3.7         | 8.5                  | 6.7         | 8.5         | 6.7          | 3.9          | 3.7          | 3.3          | 3.2           |
| Lighthouse   | 1,297,175            | 5.0               | 5.0          | 5.4         | 13.7                 | 17.6        | 21.7        | 14.5         | 9.1          | 7.1          | --           | --            |
| <i>Credit Suisse Long Shrt Eqt USD</i>                     |                      |                   |              | 4.0         | 6.2                  | 3.6         | 6.0         | 6.4          | 3.8          | 3.9          | 4.4          | 4.9           |



## University of Maine System Pension Plan

**TOTAL PLAN PERFORMANCE**

|                          | Market Value<br>(\$) | % of<br>Portfolio | Policy %   | 1 Mo<br>(%) | Fiscal<br>YTD<br>(%) | YTD<br>(%) | 1 Yr<br>(%) | 2 Yrs<br>(%) | 3 Yrs<br>(%) | 5 Yrs<br>(%) | 7 Yrs<br>(%) | 10 Yrs<br>(%) |
|--------------------------|----------------------|-------------------|------------|-------------|----------------------|------------|-------------|--------------|--------------|--------------|--------------|---------------|
| <b>Total Real Assets</b> | <b>2,022,350</b>     | <b>7.8</b>        | <b>8.0</b> |             |                      |            |             |              |              |              |              |               |
| Principal                | 2,022,350            | 7.8               | 8.0        | 0.4         | 0.9                  | -0.3       | -0.1        | 3.0          | 4.6          | 6.3          | 8.2          | 9.9           |
| <i>NCREIF ODCE</i>       |                      |                   |            | 0.0         | 0.5                  | -0.1       | 1.4         | 3.5          | 5.2          | 6.6          | 8.6          | 10.3          |
| <b>Total Cash</b>        | <b>646,953</b>       | <b>2.5</b>        | <b>3.0</b> |             |                      |            |             |              |              |              |              |               |
| Distribution Account     | 646,953              | 2.5               | 3.0        | 0.0         | 0.0                  | 0.2        | 0.2         | 1.1          | 1.2          | 0.8          | 0.6          | 0.4           |
| <i>91 Day T-Bills</i>    |                      |                   |            | 0.0         | 0.0                  | 0.4        | 0.6         | 1.4          | 1.5          | 1.1          | 0.8          | 0.6           |

## Notes:

Fiscal YTD begins 7/1

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

Returns are net of manager fees



November 30, 2020



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- Past performance is no guarantee of future results.
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## University of Maine System Operating Fund

# TOTAL PLAN PERFORMANCE

|  | Market Value<br>(\$) | % of<br>Portfolio | Policy %     | 1 Mo<br>(%) | Fiscal<br>YTD<br>(%) | YTD<br>(%)  | 1 Yr<br>(%) | 3 Yrs<br>(%) | 5 Yrs<br>(%) | 7 Yrs<br>(%) | 10 Yrs<br>(%) |
|--|----------------------|-------------------|--------------|-------------|----------------------|-------------|-------------|--------------|--------------|--------------|---------------|
| <b>Operating Funds Composite</b>                   | <b>296,065,745</b>   | <b>100.0</b>      | <b>100.0</b> | <b>2.2</b>  | <b>4.2</b>           | <b>5.4</b>  | <b>6.4</b>  | <b>4.3</b>   | <b>4.0</b>   | <b>3.0</b>   | <b>3.0</b>    |
| <i>Allocation Index</i>                            |                      |                   |              | 1.8         | 3.2                  | 4.1         | 5.0         | 3.9          | 3.7          | 3.0          | 2.9           |
| <b>Liquidity Pool Composite</b>                    | <b>103,184,699</b>   | <b>34.9</b>       | <b>30.0</b>  | <b>0.0</b>  | <b>0.2</b>           | <b>0.9</b>  | <b>1.0</b>  | <b>1.6</b>   | <b>1.2</b>   | <b>0.9</b>   | <b>0.7</b>    |
| State Pool   | 72,090,374           | 24.3              |              | 0.1         | 0.3                  | 1.2         | 1.3         | 1.7          | 1.3          | 1.0          | 0.8           |
| BOA General Fund                                   | 10,617,307           | 3.6               |              | 0.1         | 0.2                  | 0.4         | 0.4         | 0.7          | 0.4          | 0.3          | --            |
| Federated Gov't Obligations                        | 3,388,521            | 1.1               |              | 0.0         | 0.0                  | 0.4         | 0.5         | 1.4          | --           | --           | --            |
| JP Morgan US Gov't Money Market Fund               | 17,088,497           | 5.8               |              | 0.0         | 0.0                  | 0.4         | 0.5         | 1.4          | --           | --           | --            |
| <i>FTSE T-Bill 3 Months TR</i>                     |                      |                   |              | 0.0         | 0.0                  | 0.6         | 0.7         | 1.6          | 1.2          | 0.8          | 0.6           |
| <b>Income Pool Composite</b>                       | <b>125,426,266</b>   | <b>42.4</b>       | <b>47.5</b>  | <b>0.9</b>  | <b>2.3</b>           | <b>4.6</b>  | <b>5.1</b>  | <b>3.8</b>   | <b>3.3</b>   | <b>2.7</b>   | <b>2.8</b>    |
| Income Research + Management                       | 69,130,708           | 23.3              | 26.0         | 0.2         | 1.1                  | 5.0         | 5.2         | 3.5          | 2.6          | 2.1          | --            |
| <i>BBgBarc US Govt/Credit 1-3 Yr. TR</i>           |                      |                   |              | 0.1         | 0.3                  | 3.2         | 3.5         | 3.0          | 2.2          | 1.7          | 1.6           |
| BlackRock Strategic Income Opportunities           | 18,868,279           | 6.4               | 7.0          | 2.8         | 5.7                  | 5.9         | 7.2         | 4.6          | 4.2          | --           | --            |
| <i>3-Month Libor Total Return USD</i>              |                      |                   |              | 0.0         | 0.1                  | 0.6         | 0.8         | 1.8          | 1.5          | 1.1          | 0.9           |
| Loomis Sayles Bank Loans                           | 18,028,322           | 6.1               | 7.0          | 1.5         | 4.6                  | -0.8        | 0.2         | 2.3          | 3.3          | 2.8          | 3.5           |
| <i>Loomis Bank Loans Custom Index</i>              |                      |                   |              | 1.7         | 5.3                  | 0.6         | 1.4         | 3.2          | 3.9          | 3.6          | 4.2           |
| Vanguard Total Bond Market Instl' Fund             | 19,398,956           | 6.6               | 7.5          | 1.1         | 1.1                  | 7.6         | 7.4         | 5.5          | 4.4          | 4.0          | 3.7           |
| <i>BBgBarc US Aggregate TR</i>                     |                      |                   |              | 1.0         | 1.2                  | 7.4         | 7.3         | 5.5          | 4.3          | 4.0          | 3.7           |
| <b>Total Return Pool Composite</b>                 | <b>67,454,781</b>    | <b>22.8</b>       | <b>22.5</b>  | <b>8.9</b>  | <b>14.4</b>          | <b>10.6</b> | <b>13.9</b> | <b>7.6</b>   | <b>8.1</b>   | <b>5.7</b>   | <b>6.1</b>    |
| Lighthouse   | 14,885,024           | 5.0               | 5.0          | 5.4         | 13.7                 | 17.6        | 21.7        | 9.1          | 7.1          | --           | --            |
| <i>Credit Suisse Long Shrt Eqt USD</i>             |                      |                   |              | 4.0         | 6.2                  | 3.6         | 6.0         | 3.8          | 3.9          | 4.4          | 4.9           |
| Newton Global Real Return                          | 10,802,864           | 3.6               | 4.0          | 4.3         | 8.0                  | 6.4         | 8.2         | 6.4          | --           | --           | --            |
| <i>60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg</i> |                      |                   |              | 8.1         | 13.0                 | 10.4        | 13.0        | 7.5          | 8.6          | 6.3          | 6.9           |
| PIMCO All Asset                                    | 11,431,580           | 3.9               | 4.0          | 9.0         | 10.4                 | 4.1         | 6.9         | 4.1          | 7.1          | 4.0          | 4.8           |
| <i>Blended Index</i>                               |                      |                   |              | 2.5         | 4.5                  | 7.8         | 8.8         | 6.0          | 5.7          | 4.8          | 5.0           |
| Vanguard Total World Stock Index                   | 30,335,313           | 10.2              | 9.5          | 12.5        | 18.9                 | 11.1        | 15.0        | 8.9          | 11.0         | 8.7          | --            |
| <i>FTSE Global All Cap Index</i>                   |                      |                   |              | 12.7        | 19.2                 | 11.3        | 15.2        | 9.1          | 10.4         | 7.6          | 8.1           |

## 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&amp;P 500 / 10% BC High Yield / 10% JPM EMBI+

Loomis Bank Loans Custom Index blends performance of "S&amp;P/LSTA Leveraged Loan Index" before 9/1/2014 and "S&amp;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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## MEMORANDUM

**DATE:** December 11, 2020

**TO:** University of Maine System, Board of Trustees

**FROM:** USM Student Housing Project Team, Brailsford & Dunlavey, Inc.

**RE:** Portland Commons Demand Confirmation

---

### INTRODUCTION

In 2018, the University of Southern Maine (“USM”) and the UMaine System (“UMS”) engaged Brailsford & Dunlavey (“B&D,” the “Project Team”) to provide development advisory services for a potential new housing development on USM’s Portland Campus. B&D conducted a student housing market and demand analysis, which confirmed the feasibility of a new student housing development for upper-division undergraduate students and graduate/law students at Portland. In early 2020, USM selected a development partner and began the design of a 580-bed suite- and apartment-style housing project, Portland Commons. Portland Commons includes 580 beds, including 16 beds for RAs and RDs. Portland Commons is slated to open in spring 2023, concurrent with the opening of an adjacent Career and Student Success Center.

In fall 2020, in light of the impact of the COVID-19 pandemic on higher education, USM re-engaged B&D to confirm demand for on-campus housing at USM and therefore assess occupancy context for Portland Commons upon opening in 2023.

#### *Executive Summary*

The results of the housing market and demand analysis indicated that overall demand for on-campus housing at USM is slightly stronger now than when students were last surveyed in 2018-19. The following key findings supported the outcome of the demand analysis:

- ◆ On-campus housing costs have become even more attractive as compared to the off-campus market as average rental rates both in and outside of Portland continue to increase.
- ◆ USM’s undergraduate student population has decreased 5% since 2018-19 due to the pandemic. Graduate and law enrollment grew 11% and 2%, respectively.
- ◆ The COVID-19 pandemic has not negatively impacted USM students’ desire to live in on campus housing.
- ◆ Variations in demand within class level submarkets impact the ideal occupancy balance between Portland and Gorham. Therefore, the Project Team recommends that USM consider an adjustment to the class level guidelines from 2018-19 to balance demand and minimize occupancy risk for housing between Portland Commons and the Gorham campus.
- ◆ To best position Portland Commons for success, USM must continue to deliver the strongest possible freshman residential experience on the Gorham campus.

## HOUSING MARKET ANALYSIS

### *Project Approach*

To project demand for on-campus housing as accurately as possible, B&D conducted a series of analyses to identify fluctuations in key factors in demand for on-campus student housing and determine how the pandemic may have influenced students' housing perspectives. The analyses included the following:

- ◆ **Demographic Analysis** to define and size the primary target market for student housing at both campuses. The Project Team examined long- and short-term enrollment fluctuations at the sub-demographic group level to determine their possible impact on demand.
- ◆ **Off-Campus Housing Market Analysis** to identify rental rate and vacancy dynamics within the Southern Maine multi-family housing market that directly impact the competitiveness of on-campus housing with rental properties both inside and outside the City of Portland boundaries.

**Student Survey & Housing Demand Analysis** to assess students' housing preferences and their demand for on-campus housing at Portland and Gorham. In total, data was collected from more than 1,351 respondents, about 17% of the USM student population. The response rate also represented a 6% increase from the 2018-19 survey, which received responses from 11% of the student population at that time. To achieve a statistically representative sample in 2020-21, the survey needed to receive a minimum of 942 responses. With 1,351 responses, the survey results achieved a 2.7% margin of error and 95% confidence interval. The statistical strength of the survey allowed for an in-depth analysis of housing preferences by demographic subpopulation.

B&D projected demand for on-campus housing at both campuses using statistically significant survey responses and 2020-21 enrollment figures. The survey asked students to select their preferred housing choice from unit types and room rates offered at Portland Commons as well as on the Gorham campus. Students were also allowed to indicate that they would prefer to live off campus. B&D then applied a series of filters to student demand for on-campus housing based on demographic risk and likelihood to live on campus.

### *Off-Campus Market*

The local housing market in Southern Maine is very competitive and has experienced continued rental rate growth and vacancy decline in recent years. These trends are expected to continue in the near-term, though the recent passage of a rent control referendum in Portland seeks to limit rent increases to inflation. As of fall 2020, no immediate delivery new multi-family housing developments were identified in the pipeline in Portland or Gorham.

In the survey, USM target market students living off campus reported paying 23-24% more in rent and utilities than 2018-19. A greater percentage of students are also entering into 12+ month leases, as opposed to more student-friendly semester or academic year leases, than in 2018-19. These dynamics are seen both for students renting in the City of Portland and outside of it.



Figure 1: USM Sub-Demographic Groups, Rental Rate Comparison.

In addition, USM target market students have not significantly changed their unit type or roommate preferences since 2018-19, which indicates they are not willing to sacrifice these factors when making housing choices.

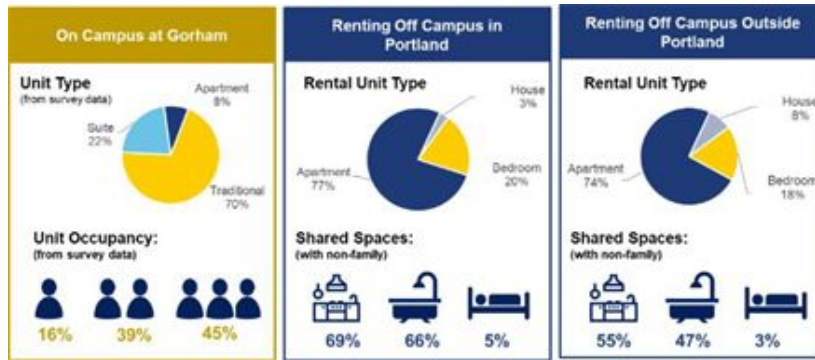


Figure 2: USM Sub-Demographic Groups, Unit Type & Shared Space Comparison.

In a competitive housing market, it is expected that students will prioritize affordability in their housing search. Students also indicated that their preferred unit type configuration (e.g., private bedrooms, private bathrooms) and proximity to campus and on-campus resources are highly important.

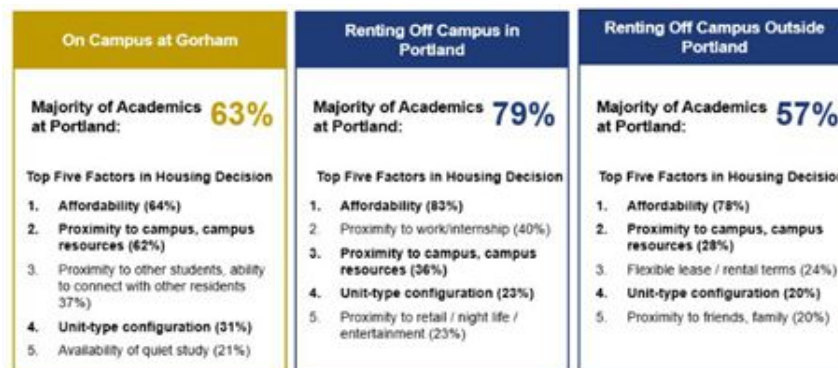


Figure 3: USM Sub-Demographic Groups, Top Five Housing Decision Factors Comparison.

Portland Commons offers students a variety of suite- and apartment-style unit types with monthly rental rates ranging from \$792 to \$1,240 per month in 2019\$. Therefore, the rent increases seen in the off-campus market and reported by USM students indicate the offerings at Portland Commons and on the Gorham campus continue to become even more attractive when compared to the off-campus market.

**COVID-19 Impact**

The COVID-19 pandemic has impacted the campus experience at USM; since the spring 2020 semester, the University has limited in-person instruction at its campuses, and residence halls on the Gorham campus are at reduced capacity. Across the nation, almost all institutions of higher education have adjusted their residential policies to limit the spread of COVID-19 on campus. B&D has continued to conduct student housing market and demand analyses during this time, focusing on the impact of the pandemic on students' future housing preferences. Across the nation, student housing demand among enrolled students has generally remained steady. In some cases, demand for on-campus housing has increased as students have realized the importance of campus life in their student experience.

To accurately assess student demand in a post-pandemic environment at USM, students were asked to respond to the survey with their housing preferences upon a full return to in-person instruction and normalized residential experience. The survey also asked students to reflect upon the direct impact the pandemic has had on their perspective of living on campus. Undergraduate students (18%) who previously preferred living off campus indicated a strong desire to live on campus once USM returns to full in-person instruction. Only 6% of undergraduates who previously preferred living on campus would change their behavior and choose to live off campus / at home because of the pandemic. Seven percent (7%) of graduate students who previously preferred living off campus would move on campus, while 3% living on campus would move off. Though the long-term effects of the pandemic are unknown, results indicate both undergraduate and graduate USM students continue to value a residential experience.

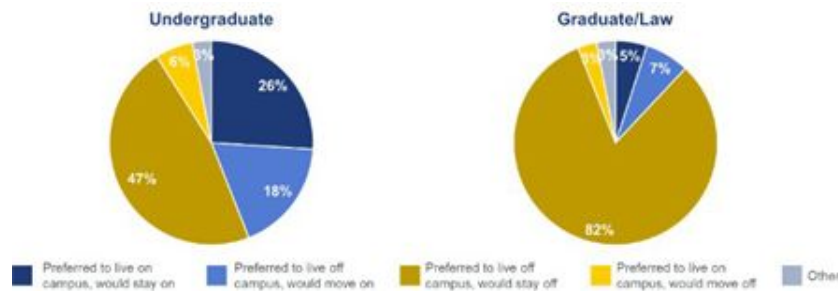


Figure 4: USM Undergraduate and Grad/Law, COVID-19 Impact on Housing Decision. Note: percentages reflect the housing perspectives of the full student population, not just the target market for on-campus housing

**Enrollment Trends**

In 2018 and 2019, overall enrollment at USM began to rebound after experiencing several years of decline. To compare demand results from the previous housing market analysis, it is important to evaluate how enrollment has shifted from 2018-19 to 2020-21. Due to the pandemic, undergraduate enrollment declined 5% since 2018-19, however graduate and law enrollment have grown 11% and 2%, respectively.

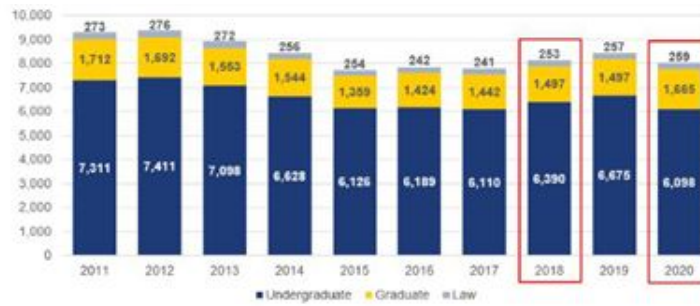


Figure 5: USM Historical Enrollment, fall 2011 to fall 2020.

## DEMAND OUTCOME

### Approach

B&D utilized its propriety demand-based programming model, which projects student survey data onto current enrollment figures to quantify market demand for on-campus student housing. Student respondents were presented with unit types and price points available at Portland Commons or at improved housing on the Gorham campus. Students were then asked to identify their preferred housing option, including the option of living off campus, assuming a return to in-person instruction once the pandemic subsides.

### Target Market & OCRs

The Project Team developed a target market of respondents likely to live in on-campus housing to project quantification of demand. B&D utilized the same target market criteria from the 2019 student housing market analysis to directly compare the data to the 2019 findings. The target market criteria included only the following students:

- ◆ Students of full- and part-time degree-seeking status;
- ◆ Currently living on the Gorham campus OR;
- ◆ Contributing \$500+/month to rent off campus and not living with family members or dependents.

All students who did not meet the aforementioned criteria were excluded from the demand analysis. Consistent with the previous demand assessment and mitigate risk to the University, B&D applied an occupancy coverage ratio (OCR) discount to demand numbers based upon classification level.

### Demand Findings & Policy Overlays

Since 2018-19, overall demand for on-campus housing at USM has increased by 142 beds. Without any adjustment for classification level, the demand for beds at the Gorham campus is at 99% of the existing bed capacity. Demand for beds at Portland Commons is at 138% of bed capacity.



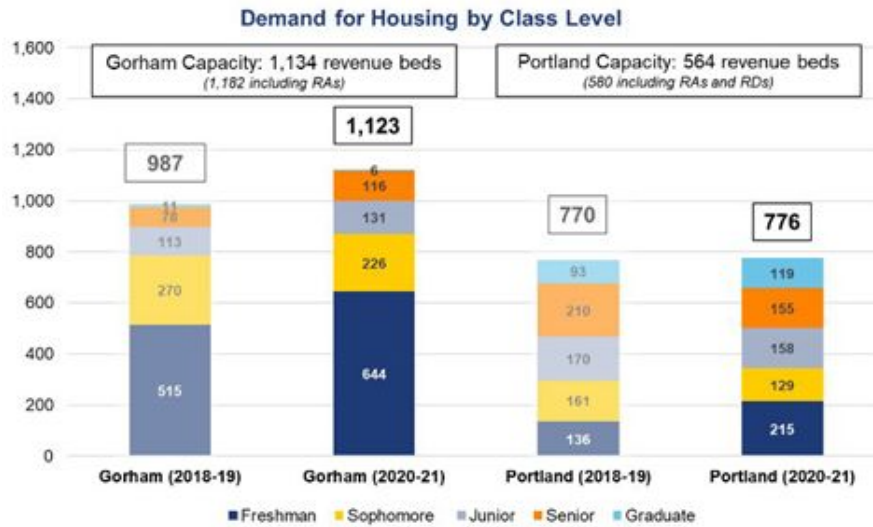


Figure 6: Student Demand for Housing by Classification Level (Gorham and Portland).

In 2019, the University identified a guideline to mitigate potential occupancy risk at the Gorham campus when Portland Commons opens. The guideline was to meet junior, senior, and graduate/ law demand at Portland Commons, with the exception of student athletes. Freshman and sophomore demand, as well as junior and senior student athlete demand, would be accommodated at the Gorham campus. Utilizing this same approach, Gorham demand (1,334 beds) exceeds existing capacity (1,134 revenue generating beds) and Portland demand (565 beds) meets the existing program for Portland Commons (564 revenue generating beds).

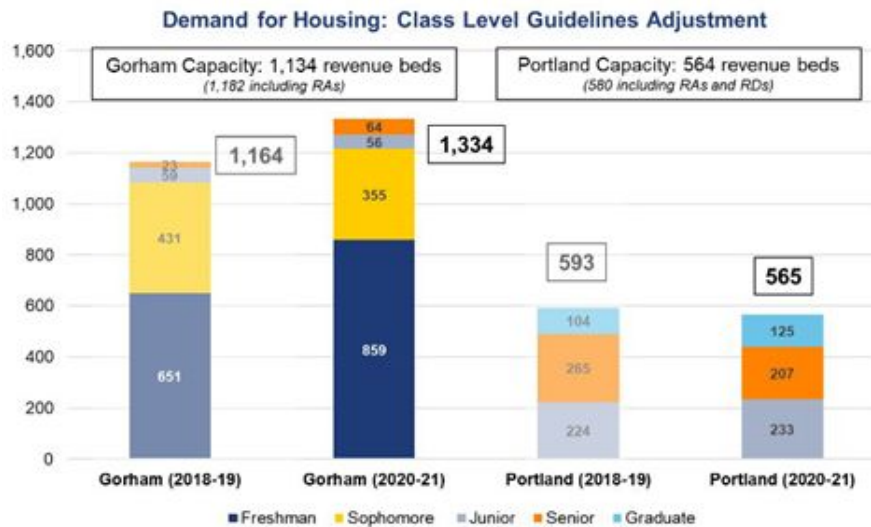


Figure 7: Student Demand for Housing: Class Level Guidelines Adjustment (Gorham and Portland).

To balance the housing system and reduce risk for Portland Commons, the Project Team recommends revising the previous approach to allow sophomores whose first choice was Portland to live at Portland

Commons. With the revised guideline, Portland demand (694 beds) exceeds the existing program and relieves pressure from the Gorham campus with demand for 1,205 beds.

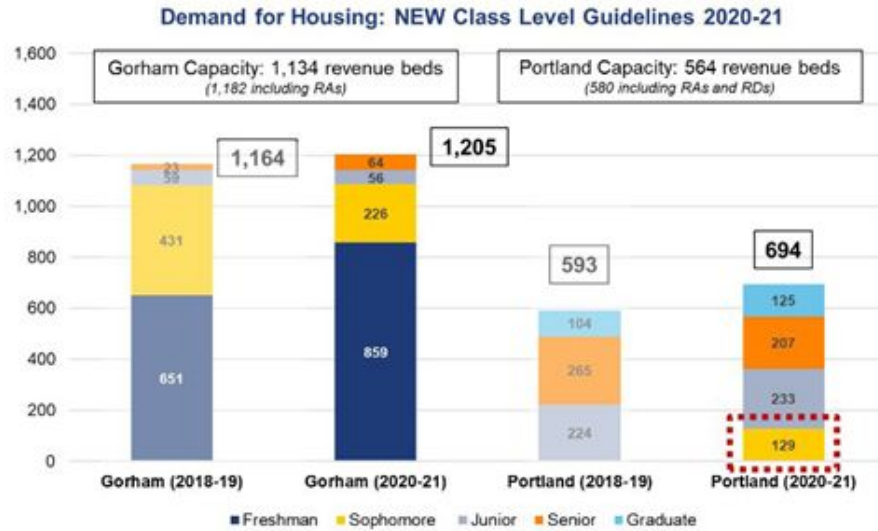


Figure 8: Student Demand for Housing: NEW Class Level Guidelines (Gorham and Portland).

## CONCLUSION & RECOMMENDATIONS

The results of the 2020 housing market and demand analysis demonstrate that the COVID-19 pandemic has not negatively impacted demand for on-campus housing at USM. The Project Team recommends that USM consider an adjustment to the class level guidelines from 2018-19 to balance demand and minimize occupancy risk for housing on each campus. In addition, in light of increased demand from freshman students in particular, it will be important for USM to deliver the best possible residential experience at Gorham in the immediate-term to retain those students in on-campus housing as they matriculate and eventually consider living at Portland Commons as junior and senior students.

**UNIVERSITY OF MAINE SYSTEM**  
Policy Manual

**DRAFT REVISED POLICY**

**FACILITIES**

**Section 803 Naming and Renaming of Physical Facilities**

Effective: 04/10/70

Last Revised: 03/18/02; 05/17/99; this draft 12/7/20

Responsible Office: Facilities

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**Policy Statement:**

1. **Definition.** The term “physical facility” is defined as a building or assembly of buildings enclosing or defining an occupiable space or activity area. For the purposes of this Policy, this definition includes major additions and renovated structures, but does not include interior spaces within buildings, such as lobbies, auditoria, dining and function rooms, classrooms, and offices, exterior campus spaces such as fields, terraces, greens, courtyards, gardens, or athletic fields, or physical objects such as fixtures and equipment. Naming opportunities may include new facilities that are to be constructed or acquired, existing facilities that are undergoing major or minor renovations, or existing facilities that are not undergoing renovations.
2. **Authority.** The authority for naming any physical facility in the University of Maine System shall be reserved to the Board of Trustees, acting after receiving the proposal from the Chancellor at the recommendation of a University President or Dean of the Law School. Donors, honorees, or benefactors should be informed through any naming discussions that final naming approval for all University facilities rests with the Board of Trustees. Naming of any other campus area or object rests with the President of that University.
3. **Commemorative Naming Criteria.** A building name is a symbolic and public statement, reflecting the highest values and ideals of the University and its community. Generally, facilities are named for distinguished individuals who have made extraordinary contributions of a scholarly, professional, or public service nature related to the university’s mission. In some cases, buildings may be named for benefactors or donors who advance the university’s mission through significant philanthropy. While facilities may be informally assigned a working or administrative name at the campus level, the Board of Trustees shall formally assign commemorative names, which fall into two categories: honorific or memorial naming and benefactor naming.
  - a. Honorific or memorial naming: Facilities may be named to honor someone, living or dead, who embodies the university's ideals and reputation through distinguished accomplishments that advance the university and/or the public good. Serving Trustees, current elected officials, and current UMS employees are not eligible for a naming opportunity except in extraordinary circumstances.

- b. **Benefactor naming:** A donor may be recognized when a person, organization or corporation has provided substantial funding for a facility or other entity as defined below. Each University may offer such opportunities to acknowledge donors' roles in advancing its mission and so that as an institution the university can express its deep appreciation in a concrete manner. Naming opportunities are not transactional in nature; they are not offered "for sale." The university president will advise what is considered "substantial funding" based on the project and the naming opportunities. Consideration shall be given to the visibility and use of the space, current market, donor interest, and campus and peer institution comparables. Criteria shall include:
  - i. **New Construction** (which may include maintenance endowments): Gift amounts shall provide a substantial portion of the project's total cost.
  - ii. **Existing Facilities:** The gift(s) shall provide a substantial amount of funding for maintenance, repairs, and/or enhancement or renovation of a facility or space.
  
4. **Morals Clause.** The University of Maine System depends on public goodwill to accomplish its educational mission and to attract governmental and philanthropic support. As naming a facility is a public honor that implicitly associates the values, character and reputation of the honoree with the University of Maine System, it must be undertaken with well-considered judgment. Therefore, all gift agreements for naming physical facilities shall, without exception, include a morals clause. Should the UMS Board of Trustees find that a designed name brings discredit upon the university (as explained in items 7 and 8 below), the moral clause should state that the unusual circumstances leading to renaming shall not impose financial responsibilities on the UMS or the individual campus.
  
5. **Naming Process.** Recommendations to the Trustees for names of physical facilities shall be made by the Chancellor, after receiving a recommendation from the President of a University or Dean of the Law School, after consultation with such campus committees as may be established for this purpose. Before forwarding a name to the Board for consideration, the university shall undertake a thorough degree of due diligence to avoid potential areas of concern or conflicts of interest.

A commitment to name a facility associated with a gift shall not be executed – e.g., building signage not installed – until and unless the University has received an executed gift agreement and 50% of pledge payments towards the total gift commitment have been received.

The Chancellor may recommend exceptions to any of these guidelines under unusual circumstances for authorization by the Board of Trustees.

6. **Duration of Naming.** Naming for an honoree or a donor is generally granted for the useful life of the entity. The University may deem the naming period concluded in certain circumstances, including but not limited to:
  - a. If the purpose for which the named entity is or needs to be significantly altered, is no longer needed/ceases to exist.
  - b. If a physical entity is replaced, significantly renovated or no longer habitable.
  - c. The period of time of the naming specified in the gift agreement has expired.

The appropriate University representative will make all reasonable efforts to inform in advance the original donors or honorees when the naming period is deemed concluded. The University may provide alternate recognition as may be appropriate in honor of the original gift.

7. **Removal of Naming.** The Board of Trustees reserves the right to remove a name from a facility under extraordinary circumstances when the continued use of the honoree's name would compromise the public trust and reflect adversely upon the university and/or University of Maine System and its reputation.

Additionally, in the case of a naming associated with a gift, the Board of Trustees reserves the right to remove a name from a facility if the donor fails to fulfill the terms of the gift that is recognized by a naming. The appropriate University representative will make all reasonable efforts to inform in advance the original donors or honorees when the naming period is deemed concluded. The University may provide alternate recognition as appropriate in honor of the original gift.

8. **Name Removal Process.** The removal of a name from a facility must not be undertaken lightly, and it must be approached with respect for the considered judgments of the past, especially when exercised by the contemporaries of an honoree, and with an awareness of the fallibility of our own judgments. Consideration of renaming must include, at a minimum, the following:
  - a. Proposals for removal of names from physical facilities shall be brought to the Board of Trustees by the Chancellor at the discretion of a campus President or Law School Dean after a campus-level review process, including soliciting perspectives from diverse stakeholders and public comment, has completed and identified the grounds for removal. The review team or task force shall present their findings and recommendation in a formal, written report to the respective President or Law School Dean.
  - b. Before the Board of Trustees considers the issue, the name change or removal of the name shall be reviewed by the Chancellor and President's Council. After review by the Chancellor and President's Council, the Chancellor may forward the request to the appropriate Board Committee.
  - c. If approved by the Board Committee, the recommendation will be presented to the full Board of Trustees for consideration.
  - d. Upon the removal of a name, the name of the facility may revert to the name immediately previous. If there is no previous permanent name, an administrative name shall be adopted. The process for an initial naming shall be utilized if the facility is subsequently renamed.

## **UNIVERSITY OF MAINE SYSTEM**

### Policy Manual

#### **FACILITIES**

##### **Section 803 Naming of Physical Facilities**

Effective: 04/10/70

Last Revised: 03/18/02; 05/17/99

Responsible Office: Facilities

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#### **Policy Statement:**

1. A physical facility is a structure or assembly of structures enclosing or defining an occupiable space or activity area. For the purposes of this Policy, this definition includes major additions and renovated structures, but does not include individual rooms within buildings, outside areas such as gardens or athletic fields, or physical objects such as fixtures and equipment.
2. The naming of any physical facility in the University of Maine System is reserved to the Board of Trustees. Naming of any other campus area or object is reserved to the President of that University.
3. 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.
4. Facilities may be named for, or on the recommendation of, a major contributor to the cost of the facility. A contribution equivalent to at least 25% of the project cost is suggested for a naming gift for a physical facility.
5. Naming gifts may also be made when a donor establishes an endowment whose income is adequate to provide at least 75% of expected annual operating costs (utilities, custodial and maintenance).
6. Recommendations to the Chancellor and Trustees for names of physical facilities shall be made by the President of a University after consultation with such committees as may be established for this purpose. The Chancellor may recommend exceptions to any of these guidelines under unusual circumstances.

RESOLUTION OF THE TRUSTEES OF THE UNIVERSITY OF MAINE SYSTEM

**REIMBURSEMENT OF PROJECT EXPENDITURES**

Be it resolved that, for purposes of U.S. Treasury Regulation §1.150-2, the University of Maine System reasonably expects (1) to incur debt to reimburse expenditures (including expenditures made within the last 60 days), such expenditures to be made to pay the cost, or a portion of the cost, of planning, design, acquisition, construction, reconstruction, improvement, renovation, rehabilitation and equipping of the project described below (the “Project”) and (2) that the maximum principal amount of debt to be issued by the University of Maine System for the Project including for reimbursement purposes is One Hundred Thirty Million Dollars (\$130,000,000).

***PROJECT***

**University of Maine:**

The University of Maine Energy Center Project (the “Project”) is currently expected to consist of a new energy plant constructed at the University of Maine, which will include combined heat and power. In addition to achieving carbon reductions and fiscal benefits, the Project would replace critical steam and electrical infrastructure that has reached or exceeded its useful life.

Upon execution of relevant agreements, Phase II of the Project will commence and include the design work needed to refine and confirm the Project scope and will include financial commitments from the University to the design-builder of the Project. The conclusion of Phase II of the Project will result in a firm fixed price and agreements to be brought to the Board for consideration and approval to commence Phase III of the Project, which is for final design and construction of the Project.

This Resolution shall take effect immediately.

ADOPTED: January 25, 2021



**AGENDA ITEM SUMMARY**

- 1. **NAME OF ITEM:** Energy Project Phase II Approval Request, UM
- 2. **INITIATED BY:** James H. Page, Chancellor
- 3. **BOARD INFORMATION:** **BOARD ACTION:** X
- 4. **OUTCOME:** **BOARD POLICY:**  
 Improve Student Success and Completion 701 – Budgets-Operating & Capital  
 Enhance Fiscal Positioning

5. **BACKGROUND:**  
 This is an update regarding the proposed energy center project at the University of Maine and request by the University of Maine System acting through the University of Maine to proceed to the next phase of the project in which the University will have financial risk for the first time.

In order to continue the project, UM is requesting to expend as much as \$5.7 million in connection with the costs of its own experts and diligence as well as the cost of the contractual obligations to the private partner in the project. Of that total, \$4.2 million could be due to Honeywell for design services and the remaining \$1.5 million is the anticipated cost for various experts to support the University’s own diligence.

The project concept as currently envisioned ultimately would see a new energy plant constructed at UM including a 6 megawatt combined heat and power plant fueled by sustainably harvested wood energy and a 6 megawatt direct current solar photovoltaic system to provide, distribute, and manage steam and electricity. For context, the Calpine power station in Westbrook is 552 megawatts and a publicly claimed capacity to power 500,000 homes. In addition to achieving carbon reductions and fiscal benefits, the project would replace critical steam and electrical infrastructure that has reached or exceeded its useful life.

Honeywell asserts that its proposal will provide the University with approximately \$111 million of cumulative savings (in excess of \$50 million of savings on a relative net present value basis) over a thirty-year analysis period compared to a Base Case.

This request to continue with project diligence and planning is pursuant to prior commitments made to Trustees when the initiative was first presented in January 2016 as well as pursuant to Board of Trustee Policy 701. Typically, the University determines and designs the best solution for a given situation and then seeks construction bids. However, this project was pursued initially as a power purchase agreement in which the University defined the thermal and electrical energy challenge and then opened the doors through a public, competitive process to the private sector to propose solutions. As stated in 2016: “In this case, the solution or solutions will emerge from the competitive process rather than be determined by the University ahead of time...to ensure transparency and notice, the University is alerting Trustees now of this plan and approach.”



The University subsequently published a solicitation in February 2016. An initially selected partner withdrew from the project in February 2018 and the University then awarded the right to negotiate to the ultimately selected and current partner: Honeywell International Inc.

The information provided to Trustees in 2016 further stated: “Should this initiative result in capital improvements, leases or other matters requiring Trustee consideration – under Polices 701, 801 or 802, for example – those matters would return to the Trustees in the future and prior to the execution of any binding agreements.”

That point has now arrived. Honeywell has proposed a major project with an estimated capital investment cost of \$123 million +/- 30%. The project as preliminarily conceived involves replacement of core infrastructure at or beyond its anticipated lifecycle, new biomass and solar energy production facilities, environmental advantages, cost containment, price stability, increased reliability, and a greater focus on local energy and investments.

All preliminary design and project development discussions indicate the project would be advantageous to the University. As summarized by Competitive Energy Services, a 3<sup>rd</sup> party energy firm advising the University on the project:

*“CES reviewed Phase 1 materials for Honeywell’s proposed UMaine Energy Center (UMEC). CES finds that the UMEC would reduce overall energy efficiency compared to current conditions. The efficiency reduction is offset by: (1) lower fuel costs (2) reduced greenhouse gas emissions and (3) infrastructure upgrades. Subject to issues detailed in our memo dated 11/13/2018, and to the understanding that Phase 2 will refine the project design, CES believes it reasonable to proceed to Phase 2. It is not possible to quantify fiscal savings in Phase 1; CES expects that information required to estimate savings will be developed in Phase 2.”*

In general, the now-concluded Phase I of this project has involved the negotiations between the parties to preliminarily define the project and estimate its benefits. Honeywell, which has been working on the project for more than a year, has borne the risk of Phase I. Phase II, the currently proposed phase, is the design work needed to firm up the project scope and financials. The conclusion of Phase II will result in a firm fixed price and agreements to be brought to the Board for consideration and approval to commence Phase III of the project, which is the final design, construction and start of service.

The Finance, Facilities and Technology Committee approved this item at its March 6, 2019 Finance, Facilities and Technology Committee Meeting. The item, pursuant to Trustee policy, requires the approval of the full Board of Trustees and has been placed on the Consent Agenda for Board of Trustee approval at the March 24-25, 2019 Board meeting in compliance with Trustee policy.

**6. TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees, following the vote of approval for this item by the Finance, Facilities and Technology Committee, authorizes the University of Maine System acting through the University of Maine to pursue the University of Maine Energy Center project and to enter agreements under which as much \$5.7 million could be expended from University funds identified by the Chief Business Officer and Treasurer, subject to review by the Vice Chancellor for Finance and Administration and Treasurer and University Counsel.

**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
- OCTOBER:**     Fiscal Matters  
                    Review of Annual Financial Report
- NOVEMBER:** Academic Affairs  
                    Awarding of Academic Degrees  
                    Academic Year Calendar
- Student Affairs  
                    Official Fall Enrollment Update

## **Capital Project Status and Bond Project Status Report**

### **Executive Summary**

#### Overview:

Attached is the Capital Project Status Report for the January 6, 2021 meeting of the Finance, Facilities and Technology Committee. The report reflects a total of 21 projects; no new projects have been added or removed since the last report.

#### COVID-19 Impact on Capital Construction:

While most projects continue to move forward at this time under the various provisions of state and federal pandemic guidance, some impacts continue.

- Three of four projects previously placed on hold remain so. The viability of and alternative options for these projects will continue to be reviewed for potential future resumption. More information provided below.
- Previously reported impacts continue to be relevant.

#### Bond Project Status Report:

The special portion of this report calling out only bond projects continues to reflect thirty four (34) projects. One project was removed from the list as the funding sources changed and no longer included bond funds. The projects are currently estimated to account for more than \$39 million of the \$49 million in voter approved general obligation bond funding. About \$10.5 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 \$52.4 million, including the bond funding and other project resources. The University continues to invest in additional projects as well.

- Twelve of the bond projects are complete and another one is substantially complete.
- Eleven (11) 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.
- The remaining bond funded 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. As projects are completed, they 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 on projects placed on hold due to Pandemic:

Initially as the Universities were bracing for potential financial impact due to the pandemic four projects were placed on hold; two projects at UMA (1100077 and 1200029) and two at USM (6100330 and Fitness Equipment/space).

In recent months the Handley Hall project for UMA (1200029) has re-started in the design/scoping phase. The campus with assistance from CPPM is reviewing the scope of this project and working to provide a scope that will meet the minimum needs while limiting the costs. The other UMA project, the Augusta Welcome Center was out for bid as the pandemic took hold with bids received on April 16<sup>th</sup>, 2020. Of the \$6,850,000 approved for the project, \$4M were expected to come from UMA campus funds. Given the expected financial impacts of the pandemic it was decided to reject the bids received and re-assess the situation. UMA worked over the summer months to determine smaller directed improvements that could be made to Randall Hall to address some of the related bigger picture scope and is currently working with CPPM to address these items. Costs for this related work is expected to be less than \$500,000. With this, the UMA Welcome Center Project will be flagged for removal and removed from this list in the coming cycle. The other projects will show up on the bond report as they are created.

USM is still assessing the two projects put on hold and will be bringing forward additional information in the coming months. At this point, the Fitness Equipment/space renovation project is expected to move forward in Spring of 2022.

#### Harold Alfond Foundation (HAF) Grant funded projects

Earlier this year the University was announced as a recipient of HAF grant funds to be disbursed over the coming ten years and to assist in completing various construction or renovation projects. There is also a significant match requirement for these funds. The System has set up a core team consisting of Financial and Capital Planning personnel to manage the roll out of these funds and related projects. These projects will be included in updates to the regular capital planning process including the one year and long-term capital plans. More information is expected to be presented in the coming months.

#### UM Historic Building P3 initiative update

The University of Maine continues to pursue a Public Private Partnership opportunity for reuse of the historic Coburn and Holmes Halls. A Request for Qualifications was issued in early October 2020. As a result of that process four firms were deemed qualified and moved to the proposal phase of the process. The Request for proposal was issued December 15 with responses due January 25<sup>th</sup>, 2021. The University will evaluate the proposals and as a finalist is selected will prepare board authorization documentation as needed.

#### UMaine Energy Center project update

The pre-design and negotiation phase of the UMaine Energy Center project is wrapping up and the team expects to have a signed Phase II agreement, as previously approved by the board in March of 2019, complete and ready to report at an upcoming meeting.

#### Research Projects being considered

This serves as an informational notice that there are some projects that are research related and include additional space components which are being considered at the campus level. These projects are or will be reflected in the campuses' three-tiered capital planning processes. A reminder that the three-tiered plan process consists of a one-year capital plan, a long-term (5 to 10 year) capital plan and a campus facilities master plan. All campuses endeavored to have a master plan in place by 2023. UM and UMM are currently exploring options for updates to their current status.

1/14/2021

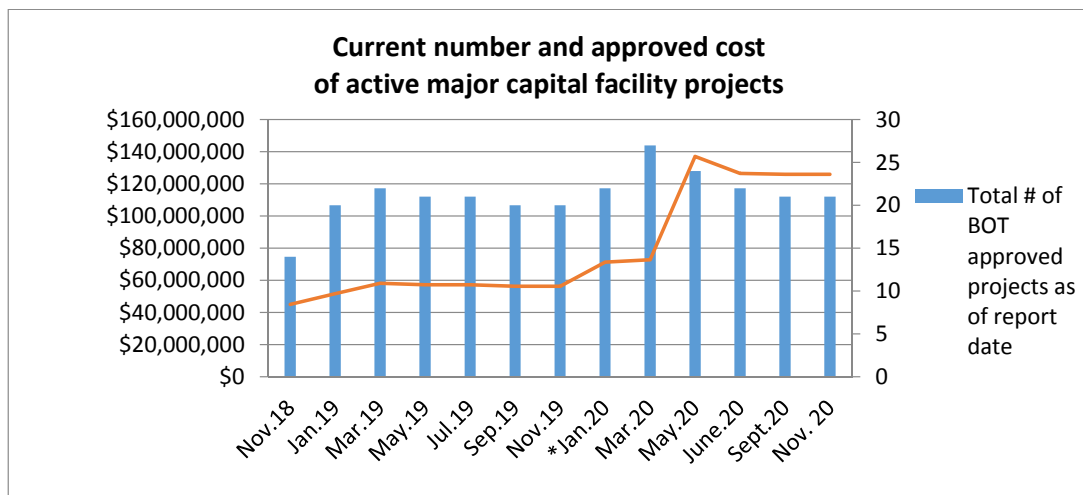
As the plans for these research related projects with added space are developed initial approval through the chancellor for the added space will be sought to allow the initial studies and exploration of grant and other funding opportunities. Following a determination of the feasibility, scope, cost and schedule items which need board authorization will be brought forward.

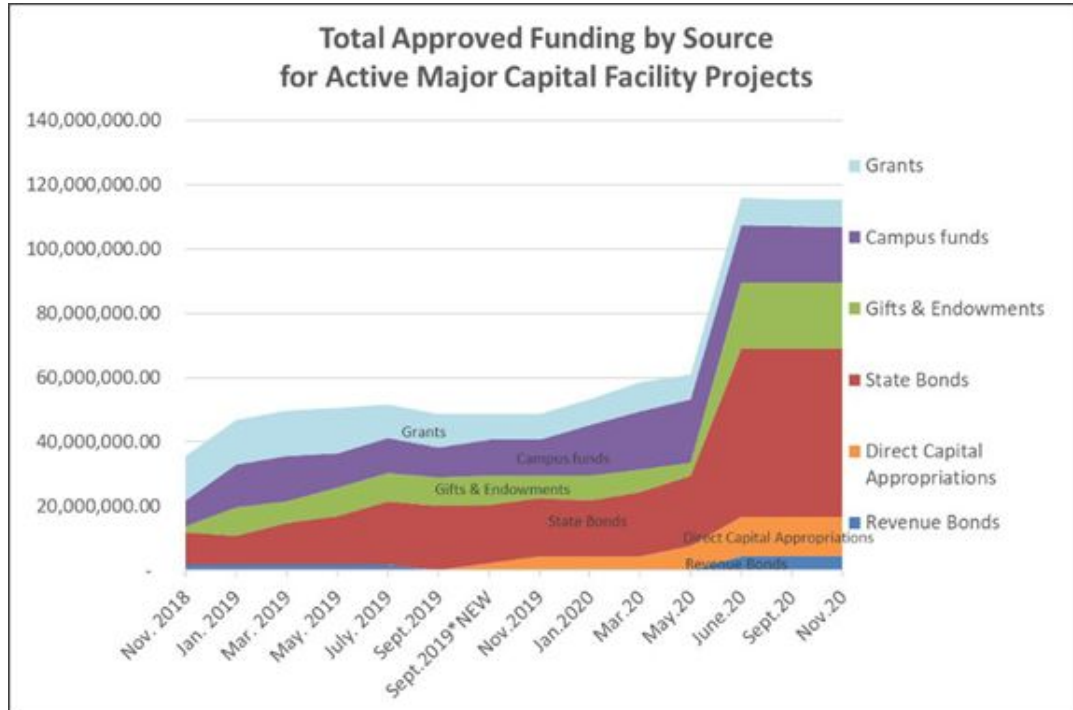
Capital Budget Advisory Committee Update:

The Capital Budget Advisory Committee FY2021 meetings are underway. The committee is undertaking normal business items such as shepherding the capital budget and planning cycle, and the space reduction initiative. The committee has also agreed to take on a review of pandemic related space planning and design impacts.

Update to UM Ferland Engineering Education & Design Center Project:

Construction Continues; Foundation installation for the building is nearing completion with backfill of the foundations following closely behind. The first floor suspended concrete slab above the basement is in place. The installation of the structural steel has started. The sequence of the steel erection is from the south end of the building toward the north. The site steam installation is nearing completion with new lines installed to Little Hall, the Llewellyn Wing of Boardman Hall and the new lines to the EEDC. Consigli Construction Company will continue with the steel erection and metal deck installation through the winter months. Foundation installation and earthwork for the plaza area on the south side of the building will be installed after the New Year.





\*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.

**Capital Project Status Report**  
**Board Approved Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| Campus, Project Name<br>(Project ID) | Funding Source(s) &<br>each source's share<br>of expenditures to<br>date | Status | Original<br>Estimated<br>Completion | Current Est.<br>Completion | Original Approved<br>Estimate | Current<br>Approved<br>Estimate | Total<br>Expense to<br>Date | %<br>Expended<br>of Current<br>Approved<br>Estimate | Prior Actions, Information & Notes |
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|

**UMA**

|   |                           |                       |      |      |             |             |           |    |   |
|---|---------------------------|-----------------------|------|------|-------------|-------------|-----------|----|---|
| Augusta Welcome Center<br>(1100077)           | 2018 State Bond<br>(100%) | Hold                  | 2021 | 2021 | \$6,850,000 | \$6,850,000 | \$350,388 | 5% | Board approved \$6.85M in January 2020.   |
| Handley Hall HVAC System<br>Upgrade (1200029) | 2018 State Bond<br>(100%) | Design in<br>Progress | 2020 | 2021 | \$575,000   | \$575,000   | \$26,433  | 5% | Board approved \$575K in September, 2019. |

**UM**

|   |   |  |      |      |             |              |              |     |  |
|---|---|--|------|------|-------------|--------------|--------------|-----|--|
| Advanced Structures and<br>Composites Center<br>Expansion/ASCC Equip W2-<br>Thermoplastics Lab/ASCC Equip<br>W2 Tow Carriage (5100316,<br>5100414, 5100432) | 2010 State Bond (49%),<br>Grants (44%), Gifts<br>(6%), Campus E&G<br>Funds (1%)           | Project 5100316<br>is Complete,<br>Project 5100414<br>Design in<br>Progress,<br>Project 5100432<br>is Complete | 2014 | 2021 | \$6,400,000 | \$10,400,000 | \$9,517,988  | 92% | Board approved \$6.4M in November, 2012.<br>Board approved \$1.6M in March 2014. Board<br>approved increase of \$871,000 in March 2015.<br>BOT approved additional \$1.5M in May 2016<br>for equipment project.              |
| Darling Marine Center Waterfront<br>Infrastructure (5100459, 5100460,<br>5100461)   | Grants (68%), Campus<br>E&G Funds (32%)   | Construction in<br>Progress  | 2017 | 2021 | \$3,000,000 | \$5,200,000  | \$3,165,576  | 61% | Board approved \$3M in July, 2017. Board<br>approved increase of \$2.2M in September,<br>2019.   |
| UM Ferland Engineering,<br>Education and Design Center<br>(5100458, 5100493, 5100546,<br>5200604)   | Gifts (10%), Campus<br>Funds (5%), Campus<br>Reserves (7%), State<br>Appropriations (78%) | Construction in<br>Progress  | 2024 | 2024 | \$1,000,000 | \$72,000,000 | \$10,402,509 | 14% | Board approved \$1M in September, 2017.<br>Board approved additional \$8M in May, 2018.<br>Additional \$63M BOT approved March, 2020<br>Initial occupancy of this facility is expected in<br>2022; final completion in 2024. |
| ***Hilltop Commons Servery<br>Updates (5100489)   | Campus Auxiliary<br>Operating (35%)<br>Campus Auxiliary<br>Reserves (65%)                 | Complete   | 2019 | 2020 | \$925,000   | \$925,000    | \$708,357    | 77% | Board approved \$925,000 January, 2019.  |
| ASCC Renovation - Mezzanine<br>Office Expansion (5100525)   | Campus E&G Funds<br>(52%) Grants (48%)  | Construction in<br>Progress  | 2020 | 2021 | \$450,000   | \$1,400,000  | \$212,829    | 15% | Board approved \$1,400,000 March, 2020   |
| **UM Energy Center Phase II<br>(5100516, 5100517)   | Campus Operating<br>(96%) / Campus<br>Reserves 4%   | Pre-Design in<br>Progress  | 2023 | 2022 | \$5,700,000 | \$5,700,000  | \$302,567    | 5%  | Board approved \$5.7M March, 2019.   |
| Wells Commons Generator<br>(5100433)  | Campus Auxiliary<br>Operating (64%)<br>Campus Auxiliary<br>Reserves (36%)                 | Substantially<br>Complete  | 2019 | 2020 | \$525,000   | \$525,000    | \$322,244    | 61% | Board approved \$525,000 January, 2018.  |

**Capital Project Status Report**  
**Board Approved Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| Campus, Project Name<br>(Project ID) | Funding Source(s) &<br>each source's share<br>of expenditures to<br>date | Status | Original<br>Estimated<br>Completion | Current Est.<br>Completion | Original Approved<br>Estimate | Current<br>Approved<br>Estimate | Total<br>Expense to<br>Date | %<br>Expended<br>of Current<br>Approved<br>Estimate | Prior Actions, Information & Notes |
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|

**UMF**

|                                       |                           |          |      |      |           |           |           |     |  |
|---------------------------------------|---------------------------|----------|------|------|-----------|-----------|-----------|-----|--|
| Dearborn Gym HW Upgrades<br>(2100087) | 2018 State Bond<br>(100%) | Complete | 2019 | 2020 | \$600,000 | \$850,000 | \$801,603 | 94% | Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019. |
|---------------------------------------|---------------------------|----------|------|------|-----------|-----------|-----------|-----|--|

**UMFK**

|   |                   |                             |      |      |             |             |           |    |   |
|---|-------------------|-----------------------------|------|------|-------------|-------------|-----------|----|---|
| UMFK Enrollment/Advancement<br>Center (3100042) | State Bond (100%) | Construction in<br>Progress | 2022 | 2021 | \$3,249,000 | \$3,249,000 | \$204,962 | 6% | Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000. |
|---|-------------------|-----------------------------|------|------|-------------|-------------|-----------|----|---|

**USM**

|  |  |  |      |      |             |             |             |     |  |
|--|--|--|------|------|-------------|-------------|-------------|-----|--|
| Bailey Hall Fire Protection and<br>Electrical Upgrades (6100316,<br>6100323)           | 2018 State Bond (48%),<br>Campus E&G (52%) | Project 6100316<br>is Construction in<br>progress, Project<br>6100323 is<br>Complete | 2019 | 2021 | \$2,580,000 | \$4,388,000 | \$3,046,555 | 69% | Board approved \$2.58M in January, 2019.   |
| ***Brooks Patio Renovations<br>(6200255)   | Campus E&G Funds<br>(100%)                 | Complete   | 2020 | 2020 | \$650,000   | \$650,000   | \$491,362   | 76% | Board approved \$650,000 in January 2020.  |
| Career and Student Success Center<br>and Portland Residence Hall<br>(6100325, 6100338) | 2018 State Bond (42%),<br>Campus E&G (58%) | Design in<br>Progress  | 2020 | 2023 | \$1,000,000 | \$5,700,000 | \$3,236,569 | 57% | Board approved \$1M in January, 2019. Board approved predevelopment expenditures of up to \$5.7M combined for the two projects in January 2020. The total project cost remains under development and subject to change.                                      |
| USM Center for the Arts (6100300)  | Gifts (100%)                               | Pre-Design in<br>Progress  | 2022 | 2023 | \$1,000,000 | \$1,000,000 | \$265,707   | 27% | Board approved \$1M in January, 2018.  |
| ***USM Nursing Simulation Lab<br>(6100327)   | 2018 State Bond<br>(100%)                  | Complete   | 2021 | 2021 | \$1,500,000 | \$1,500,000 | \$1,139,473 | 76% | Board approved \$1.5M in January 2020.   |
| Port Parking Garage Study<br>(6100331)   | Campus E&G Funds<br>(100%)                 | Pre-Design in<br>Progress  | 2022 | 2022 | \$1,200,000 | \$1,200,000 | \$35,424    |     | Board approved in March 2020. Initial spending limit \$400,000 with addtl \$800,000 to be authorized by the Chancellor and Vice Chancellor for Finance and Administration and Treasurer and contingent upon site location approval from the City of Portland |



**Capital Project Status Report**  
**Board Approved Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| Campus, Project Name<br>(Project ID) | Funding Source(s) &<br>each source's share<br>of expenditures to<br>date | Status | Original<br>Estimated<br>Completion | Current Est.<br>Completion | Original Approved<br>Estimate | Current<br>Approved<br>Estimate | Total<br>Expense to<br>Date | %<br>Expended<br>of Current<br>Approved<br>Estimate | Prior Actions, Information & Notes |
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|
|--------------------------------------|--|--------|-------------------------------------|----------------------------|-------------------------------|---------------------------------|-----------------------------|---|------------------------------------|

**USM**

|  |  |      |      |      |             |             |           |     |   |
|--|--|------|------|------|-------------|-------------|-----------|-----|---|
| Wishcamper Parking Lot (6100330)                             | Campus E&G Funds<br>(100%),<br>Capital Reserves (0%) | Hold | 2020 | 2021 | \$1,710,000 | \$1,710,000 | \$268,069 | 16% | Board approved \$1.71M in January, 2020.                  |
| Fitness Equipment Purchase and<br>Space Renovation (0000000) |  | Hold | 2020 | 2021 | \$700,000   | \$700,000   | \$0       | 0%  | Board Approved March, 2020. No expenditures<br>as of yet. |

**UMPI**

|  |                            |                           |      |      |           |           |           |     |                                    |
|--|----------------------------|---------------------------|------|------|-----------|-----------|-----------|-----|------------------------------------|
| UMPI Solar Array (7100023)                   | Campus E&G Funds<br>(100%) | Bidding                   | 2020 | 2021 | \$700,000 | \$700,000 | \$110,417 | 16% | Board approved \$700K June, 2020.  |
| **Folsom 105 Nursing Renovation<br>(7100026) | Bond (100%)                | Substantially<br>Complete | 2020 | 2021 | \$800,000 | \$800,000 | \$644,670 | 81% | Board approved \$800K March, 2020. |

|   |   |  |  |  |  |  |  |  |   |
|---|---|--|--|--|--|--|--|--|---|
| Explanatory Notes:<br>* Project is new as of this report.<br>** Details of this project include<br>updates since the last report.<br>*** This project has been<br>completed since the last report and<br>is not expected to appear on the<br>next report. | Funding source(s)<br>reflects primary<br>source(s) for project. |  | Calendar Year unless<br>otherwise noted. |  |  |  |  |  | Percentage expended reflects total expended as<br>of November 30, 2020 as a percentage of the<br>current approved project estimate. |
|---|---|--|--|--|--|--|--|--|---|

**Bond Project Status Report**  
**Active Bond Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| <b>Campus, Project Name (Project ID),<br/>Project Manager</b> | <b>Status</b>            | <b>Original<br/>Estimated<br/>Completion</b> | <b>Current Est.<br/>Completion</b> | <b>Funding Source(s) &amp; each<br/>source's share of expenditures<br/>to date</b> | <b>Estimated<br/>Bond<br/>Funding for<br/>Project</b> | <b>Bond<br/>Funding<br/>Expended</b> | <b>Total<br/>Estimated<br/>Project<br/>Cost</b> | <b>Prior Actions, Information &amp; Notes</b>  |
|---|--------------------------|--|------------------------------------|--|---|--------------------------------------|---|--|
| <b>UMA</b>  |                          |  |                                    |  |   |                                      |   |  |
| Augusta Campus Welcome Center (1100077)                       | Hold                     | 2021   | 2021                               | Bond (100%)  | \$2,885,000   | \$350,388                            | \$6,850,000                                     | Board approved \$6.85M in January 2020.  |
| Handley Hall A/C Replacement (1200029)                        | Design in Progress       | 2020   | 2021                               | Bond (100%)  | \$450,000   | \$26,433                             | \$575,000                                       | Board approved budget of \$575,000 in September, 2019                                |
| Bangor Welcome Ctr Planning (1100534)                         | Design in Progress       | 2021   | 2021                               | Campus E&G (100%)  | \$500,000   | \$11,009                             | \$500,000                                       | Currently \$300k as it remains in design phase                                       |
| Jewett Hall Boiler Design Work (1200062)                      | Construction in Progress | 2021   | 2021                               | Campus E&G (100%)  | \$305,000   | \$230,747                            | \$305,000                                       |  |
| <b>Total Bond for Campus</b>                                  |                          |  |                                    |  | <b>\$4,140,000</b>                                    | <b>\$618,577</b>                     | <b>\$8,230,000</b>                              |  |
| <b>UMF</b>  |                          |  |                                    |  |   |                                      |   |  |
| Dearborn Gym Hot Water Upgrades (2100087)                     | Complete                 | 2019   | 2020                               | Bond (100%)  | \$850,000   | \$801,603                            | \$850,000                                       | Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019. |
| 274 Front St Acquisition (2100089)                            | Complete                 | 2019   | 2019                               | Bond (100%)  | \$855,000   | \$850,820                            | \$855,000                                       | Board approved \$855K in January, 2019.  |
| Scott Hall Renovations (2100092)                              | Construction in Progress | 2019   | 2021                               | Bond (100%)  | \$200,000   | \$178,690                            | \$200,000                                       |  |
| Dakin Hall Shower Renovations (2100093)                       | Construction in Progress | 2019   | 2021                               | Bond (100%)  | \$200,000   | \$88,332                             | \$200,000                                       |  |
| Lockwood Hall Shower Renovations (2100094)                    | Construction in Progress | 2019   | 2021                               | Bond (100%)  | \$200,000   | \$84,199                             | \$200,000                                       |  |
| Stone Hall Shower Renovations (2100095)                       | Construction in Progress | 2019   | 2021                               | Bond (100%)  | \$200,000   | \$29,074                             | \$200,000                                       |  |
| UMF Campus Paving (2100097)                                   | Complete                 | 2019   | 2019                               | Bond (100%)  | \$97,338  | \$97,338                             | \$97,338  |  |
| 274 Front St Renovation (2100096)                             | Pre-Design in Progress   | 2020   | 2022                               | Bond (64%) (Campus E&G Funds (36%))  | \$450,000   | \$18,744                             | \$1,000,000                                     | Approved budget of \$450,000, as it remains in study/design phase.                   |
| FRC Floor Renovation (2100098)                                | Complete                 | 2019   | 2019                               | Bond (100%)  | \$200,729   | \$209,503                            | \$200,729                                       |  |
| Exterior Painting Merrill Hall (2200096)                      | Pre-Design in Progress   | 2020   | 2021                               | Bond (0%)  | \$40,000  | \$764                                | \$40,000  |  |
| Olsen Center Renovations (2100102)                            | Pre-Design in Progress   | 2023   | 2023                               | Bond (100%)  | \$1,900,000   | \$8,630                              | \$1,900,000                                     | Approved budget of \$300,000, as it remains in study/design phase.                   |
| Mantor Library Renovations (2100103)                          | Construction in Progress | 2021   | 2021                               | Bond (100%)  | \$300,000   | \$189,903                            | \$300,000                                       |  |
| Campus ADA Ramps (2100104)                                    | Construction in Progress | 2021   | 2021                               | Bond (100%)  | \$100,000   | \$10,194                             | \$100,000                                       |  |

**Bond Project Status Report**  
**Active Bond Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| Campus, Project Name (Project ID),<br>Project Manager | Status                   | Original<br>Estimated<br>Completion | Current Est.<br>Completion | Funding Source(s) & each<br>source's share of expenditures<br>to date | Estimated<br>Bond<br>Funding for<br>Project | Bond<br>Funding<br>Expended | Total<br>Estimated<br>Project<br>Cost | Prior Actions, Information & Notes  |
|---|--------------------------|-------------------------------------|----------------------------|---|---|-----------------------------|---------------------------------------|---|
| <b>UMF</b>  |                          |                                     |                            |   |   |                             |                                       |   |
| Dakin Flooring, Ceiling, Light (2100105)              | Construction in Progress | 2021                                | 2021                       | Bond (100%)   | \$250,000                                   | \$206,187                   | \$250,000                             |   |
| UMF Campus Alterations (2200101)                      | Design in Progress       | 2021                                | 2021                       | Campus E&G (100%)   | \$150,000                                   | \$26,724                    | \$150,000                             |   |
| <b>Total Bond for Campus</b>                          |                          |                                     |                            |   | <b>\$5,993,067</b>                          | <b>\$2,800,705</b>          | <b>\$6,543,067</b>                    |   |
| <b>UM</b>   |                          |                                     |                            |   |   |                             |                                       |   |
| Neville Hall Renovation (5100534)                     | Design in Progress       | 2021                                | 2022                       | Bond (100%), Campus E&G (0%)  | \$300,000                                   | \$53,204                    | \$1,500,000                           | Approved budget of \$300,000 as it remains in study/design phase.                             |
| <b>Total Bond for Campus</b>                          |                          |                                     |                            |   | <b>\$300,000</b>                            | <b>\$53,204</b>             | <b>\$1,500,000</b>                    |   |
| <b>UMFK</b>   |                          |                                     |                            |   |   |                             |                                       |   |
| UMFK Enrollment/Advancement Center (3100042)          | Construction in Progress | 2022                                | 2021                       | Bond (100%)   | \$3,249,000                                 | \$150,000                   | \$3,249,000                           | Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000. |
| <b>Total Bond for Campus</b>                          |                          |                                     |                            |   | <b>\$3,249,000</b>                          | <b>\$150,000</b>            | <b>\$3,249,000</b>                    |   |
| <b>UMM</b>  |                          |                                     |                            |   |   |                             |                                       |   |
| UMM Science Building Roof Replacement (4100042)       | Complete                 | 2020                                | 2020                       | Bond (100%)   | \$325,000                                   | \$280,487                   | \$325,000                             |   |
| UMM Dorward Hall Roof Replacement (4100043)           | Complete                 | 2020                                | 2020                       | Bond (100%)   | \$300,000                                   | \$296,092                   | \$300,000                             |   |
| UMM Sennett Roof Replacement (4100044)                | Complete                 | 2020                                | 2020                       | Bond (100%)   | \$150,000                                   | \$150,000                   | \$150,000                             |   |
| UMM Reynolds Center Roof Repair (4200044)             | Complete                 | 2020                                | 2020                       | Bond (100%)   | \$164,000                                   | \$154,226                   | \$164,000                             |   |
| UMM Site Work (4200045)                               | Complete                 | 2020                                | 2020                       | Bond (100%)   | \$60,000                                    | \$57,365                    | \$60,000                              |   |
| <b>Total Bond for Campus</b>                          |                          |                                     |                            |   | <b>\$999,000</b>                            | <b>\$938,170</b>            | <b>\$999,000</b>                      |   |
| <b>USM</b>  |                          |                                     |                            |   |   |                             |                                       |   |
| Woodward Hall Renovations (6100301)                   | Complete                 | 2019                                | 2019                       | Bond (86%), Campus E&G Funds (14%)                                    | \$1,500,000                                 | \$1,172,840                 | \$1,172,840                           | Board approved \$1.8M in January, 2019. Remaining Bond Funding to be moved to a new project.  |
| Ricci Lecture Hall Renovations (6100308)              | Complete                 | 2019                                | 2020                       | Bond (31%), Gifts (43%), Campus E&G Funds (26%)                       | \$150,000                                   | \$172,010                   | \$564,197                             | Board approved \$500,000 in January, 2019. Board approved additional \$180K in May, 2019.     |
|   |                          |                                     |                            |   |   |                             |                                       |   |

**Bond Project Status Report**  
**Active Bond Projects**  
**January 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

| Campus, Project Name (Project ID),<br>Project Manager   | Status  | Original<br>Estimated<br>Completion   | Current Est.<br>Completion | Funding Source(s) & each<br>source's share of expenditures<br>to date | Estimated<br>Bond<br>Funding for<br>Project | Bond<br>Funding<br>Expended | Total<br>Estimated<br>Project<br>Cost | Prior Actions, Information & Notes   |
|---|---|---------------------------------------|----------------------------|---|---|-----------------------------|---------------------------------------|--|
| <b>USM</b>  |   |                                       |                            |   |   |                             |                                       |  |
| Career and Student Success Center (6100325)   | Design in Progress  | 2021                                  | 2023                       | Bond (100%)   | \$19,000,000                                | \$1,360,636                 | \$19,000,000                          | Board approved \$1M in January, 2019. Board approved predevelopment expenditures of up to \$5.7M combined with the residence hall project in January 2020. The total project cost remains under development and subject to change. |
| Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323)  | Project 6100316 Construction in Progress, Project 6100323 is Complete | 2019                                  | 2021                       | Bond (48%), Campus E&G Funds (52%)                                    | \$1,460,000                                 | \$1,456,999                 | \$4,388,000                           | Board approved \$2.58M in January, 2019. Board approved additional \$1.808M in January, 2020.  |
| Nursing Simulation Lab Science (6100327)  | Complete  | 2021                                  | 2021                       | Bond (100%)   | \$1,500,000                                 | \$1,139,473                 | \$1,500,000                           | Board approved \$1.5M in January, 2020.  |
| **Robie Andrews Renovation (6100339)  | Design in Progress  | 2021                                  | 2021                       | Bond (0%)   | \$491,605                                   | \$0                         | \$491,605                             |  |
| <b>Total Bond for Campus</b>  |   |                                       |                            |   | <b>\$24,101,605</b>                         | <b>\$5,301,959</b>          | <b>\$27,116,642</b>                   |  |
| <b>UMPI</b>   |   |                                       |                            |   |   |                             |                                       |  |
| Wieden Renovation Bond (7100025)  | Design in Progress  | 2020                                  | 2021                       | Bond (100%)   | \$125,000                                   | \$65,717                    | \$4,000,000                           | Approved budget of \$125,000, as it remains in study/design phase.   |
| **Folsom 105 Nursing Renovation (7100026)   | Substantially Complete  | 2020                                  | 2021                       | Bond (100%)   | \$800,000                                   | \$644,670                   | \$800,000                             | Board approved \$800K March, 2020.   |
| <b>Total Bond for Campus</b>  |   |                                       |                            |   | <b>\$925,000</b>                            | <b>\$710,387</b>            | <b>\$4,800,000</b>                    |  |
| <b>Totals:</b>  |   |                                       |                            |   | <b>\$39,707,672</b>                         | <b>\$10,573,001</b>         | <b>\$52,437,709</b>                   |  |
| Explanatory Notes:<br>* Project is new as of this report.<br>** Details of this project include updates since the last report.<br>Completed projects will remain on this report unless otherwise specified. | Funding source(s) reflects primary source(s) for project.             | Calendar Year unless otherwise noted. |                            |   |   |                             |                                       | Bond Funding expended reflects total expended as of November 30, 2020.   |

## University of Maine System

### **Waived Competitive Procurement and Contributions Legislative Report**

#### Executive Summary

While competitive procurement is the University of Maine System's standard, there are legitimate and well-defined reasons allowed by State law and corresponding Board of Trustee policy for which the purchases listed in this report were waived from this process. For example, given its research and economic development activities that are of vital importance to the state, the University of Maine has unique procurement needs, including for specialized equipment or services that may only be available from one vendor.

Pursuant to 5 M.R.S.A., Section 12023, UMS and other quasi-independent State entities must report annually to the Maine Legislature all procurements in the previous fiscal year that exceeded \$10,000 for which the competitive process was waived and all contributions greater than \$1,000.

In total, the total value of UMS procurements in FY20 for which the competitive process was waived was \$29.8 million, less than one-fifth of the System's total spending on goods and services. More than \$14 million of this is because specific vendors and/or partners (often other educational entities including Maine public PK-12 school districts) were named in a grant award, typically from the federal government.

FY20 was the first year since FY17 when the total value of UMS reported procurements increased from the prior reporting period. This is largely attributable to an increase in grant-funded activity and emergency waivers necessitated by a major flood at the University of Southern Maine and a fire at UMaine. Additionally, as UMS universities rapidly responded to campus, community and state needs that emerged during the COVID-19 pandemic, Strategic Procurement made some purchases for which the competitive bid process was simply not practicable during the state of emergency, like ethanol from Maine brewers and distillers used in UMaine's production of thousands of gallons of hand sanitizer for health care organizations.

Despite these public health and disaster emergencies, less than one-third (\$8.2 million) of the total FY20 waiver value reflects true sole source purchases. Many of those purchases were funded by outside grants and not State appropriation.

As part of a continued commitment to public accountability, in 2019, UMS updated the process by which it compiles this required report to include a brief description of sole source, emergency and named-in-grant procurements as well as all contributions above \$1,000. The internal process additionally now includes a review of this report by UMS Trustees – via the Finance, Facilities and Technology Committee that received the report with its January meeting materials – before submission to the Legislature by the Feb. 1 annual deadline.



Office of the Chancellor  
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Orono, ME 04469

January 27, 2021

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www.maine.edu

Dannel P. Malloy  
Chancellor

Honorable Troy D. Jackson  
President of the Senate  
3 State House Station  
Augusta, Maine 04333

Honorable Ryan Fecteau  
Speaker of the House  
2 State House Station  
Augusta, Maine 04333

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

University of Maine  
School of Law

Dear President Jackson and Speaker Fecteau:

Pursuant to 5 M.R.S.A., Section 12023, please consider this the letter of transmittal for the required report due by Feb. 1, 2021 from the University of Maine System documenting our qualifying FY20 sole-source procurements and contributions.

As it conducts business, Maine's public universities are 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 – many of which are Maine-based. While competitive procurement is our standard, there are legitimate and well-defined reasons allowed by State law and corresponding UMS policy for which the purchases listed in this report were waived from this process.

For example, given its research and economic development activities that are of vital importance to the state, the University of Maine has unique procurement needs, including for specialized equipment or services that may only be available from one vendor and we have noted that in the description of each relevant procurement listed in this report. Additionally, our flagship and other universities regularly receive federal grants that name specific vendors and/or partners, including other educational institutions.

Finally, the leadership of UMS in addressing local and state needs that emerged during the COVID-19 pandemic is hopefully well-known to the Legislature. As our universities rapidly responded including to produce thousands of gallons of hand sanitizer for health care organizations and chemical solutions used by the Maine National Guard to fit-test the N95 masks of frontline workers across the state, we were forced to make some purchases for which the competitive bid process was simply not practicable during the state of emergency, like ethanol from Maine brewers and distillers.

As you review this report, please contact my office if you need additional information. Thank you.

Sincerely,



Dannel P. Malloy, Chancellor  
University of Maine System



# **SOLE SOURCE PROCUREMENT & CONTRIBUTIONS REPORT**

**FEBRUARY 1, 2021**

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*\*This report is submitted pursuant to 5 M.R.S.A., Section 12023 and reflects the period July 1, 2019 to June 30, 2020 (FY20). 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](mailto:samantha.warren@maine.edu).*



## UMS STRATEGIC PROCUREMENT

The University of Maine System (UMS) has an estimated \$1.5 billion annual total statewide economic impact, a \$7.50 return for every dollar it receives in State appropriation. Beyond supporting nearly 20,000 campus and community jobs and our students and visitors spending at least an estimated \$144 million locally, UMS contributes to the Maine economy by directly purchasing tens of millions of dollars in goods and services each year from businesses based in Maine or that employ Mainers.

As it conducts business, 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 UMS 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 a System policy adopted by the Board of Trustees in 2012.

FY20 was the first year since FY17 when the total value of UMS procurements exceeding \$10,000 for which the competitive process was waived increased from the reporting period prior. This is largely attributable to an increase in grant-funded activity and emergency waivers necessitated by a major flood at the University of Southern Maine and a fire at the University of Maine. In both cases, purchases listed in this report that are associated with these events were reimbursed by insurance. Finally, the leadership of UMS in addressing campus, community and state needs that emerged due to the COVID-19 pandemic is well-known. As our universities responded rapidly including to produce needed hand sanitizer for health care organizations and chemicals so that the Maine National Guard could fit-test the N95 masks being worn by frontline workers, we were forced to make some purchases for which the competitive bid process was simply not practicable during the state of emergency, like for ethanol from Maine brewers and distillers (see page 33).

In total, the total value of UMS procurements in FY20 for which the competitive process was waived was \$29.8 million, less than one-fifth of the System's total spending on goods and services. More than \$14 million of this is connected to a vendor being specifically named in a grant award, typically from the federal government. In these cases, the System or one of its universities essentially acts as a pass-through. For example, the Readfield-based Syntiro received more than \$2 million (see page 28) as it, along with several K-12 public school districts also listed in this report, were specifically identified as sub-recipients in a U.S. 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 postsecondary education.

Despite the aforementioned public health and disaster emergencies, less than one-third (\$8.2 million) of the total FY20 waiver value reflects true sole source purchases and it is important to note that 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 rather than independently handled by each university, UMS has saved tuition and taxpayers millions of dollars, increased the collective impact of our in-state spending, and strengthened transparency. As part of a continued commitment to public accountability, in 2019, 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 UMS Trustees before submission to the Legislature.

The FY20 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

Additionally, as required by 5 M.R.S.A., Section 12023, this report includes a list of all FY20 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.

## FY20 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   |
|---------------|-------------|--------|---|
| EAB           | \$2,438,829 | UMS    | Annual membership, paid over five years covering all UMS universities, in the Student Success Collaborative to the Education 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. |

| Supplier Name                      | Amount    | Campus | Summary Notes   |
|------------------------------------|-----------|--------|---|
| EAB                                | \$452,009 | UM     | Purchase of additional enrollment/recruitment resources as part of the Student Success Collaborative for UM. The Collaborative provides student success software tools and comparative peer benchmarking data that is proprietary to the members of the Collaborative - this is an extension of that service targeted directly at recruitment. Ultimate goal is increased student success, retention and degree completion. |
| TRANE                              | \$310,745 | UMF    | Trane is the platform utilized at UMF's Central Heating Plant. Trane equipment is being replaced with like and kind Trane equipment.  |
| HONEYWELL INTRNTL INC              | \$261,575 | UM     | Grant-funded upgrade of proprietary Process Control System for UM biomass pilot plant. The research supported by the pilot plant is focused on creating fossil fuel alternatives with wood biomass.   |
| SKY SKAN INC                       | \$218,824 | UM     | Upgrade of proprietary integrated digital planetarium projection platform. This purchase allows for upgrades of internal digital systems including additional technical capabilities and content to expand the programs delivered by the Planetarium at UM.   |
| PATTERSON DENTAL SUPPLY INC        | \$178,357 | UMA    | Dental clinic equipment for UMA's new Lewiston location to be consistent with equipment and software at the dental program's main campus in Bangor, which was competitively bid.  |
| INSTRON A DIV OF IL TOOL WORKS INC | \$165,570 | UM     | Grant-funded controller upgrade of custom designed proprietary Tension Torsion Frame device utilized as part of several projects and initiatives at the Advanced Structures and Composites Center at UM. Upgraded controller will allow for better data connectivity to computing devices and allow the center to support revenue-generating ASTM testing.  |

| Supplier Name | Amount    | Campus | Summary Notes  |
|---------------|-----------|--------|--|
| ANATOMAGE INC | \$156,500 | UMPI   | Partially grant-funded purchase of virtual anatomy tables for the nursing programs and general sciences at UMPI and UMFK. Tables provide technologically advanced virtual cadavers as a teaching and learning tool. Of the only two available suppliers of this emerging technology, this supplier's product is specifically designed and focused on academic environments, the other being focused on practicing surgeons. Investing in this technology provides an enhanced experience for Maine nursing students, giving them experiences not available in many other programs. |
| CYBERBIT INC  | \$420,000 | UMA    | 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.   |
| ILLUMINA INC  | \$114,600 | UM     | Grant-funded purchase of DNA sequencing system. This platform specifically identified and approved by the National Science Foundation and will ensure delivery of comparable data standards already being employed. Attempts to find equivalent platforms were unsuccessful. Supplier is the manufacturer and does not sell through dealer networks  |
| CIMETRICS INC | \$107,920 | UM     | Contract for energy efficiency monitoring and reporting services for building management systems at UM. Cimetrics designed the data analysis platform based on the Analytika data visualization system. A competitive market analysis was completed at the end of the prior contract period and the only other companies who could provide Analytika services are not be able to provide needed on-site services economically.   |

| Supplier Name                       | Amount   | Campus | Summary Notes   |
|-------------------------------------|----------|--------|---|
| 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.   |
| JOHNSON CONTROLS INC                | \$93,000 | UM     | Maintenance services for existing Johnson building control systems - proprietary system for which only manufacturer can perform maintenance.  |
| BUCHI CORP                          | \$89,970 | UM     | Grant-funded nano-cellular lab spray dryer system for which supplier is the only manufacturer that produces a sprayer/dryer that can handle nano materials. Purchase is for the Advanced Composites Lab at UM and supports ongoing research into utilization of wood fibers in large scale 3D printing technologies.  |
| COACH COMM LLC                      | \$77,526 | UM     | Upgrade of sideline headset system for the UM Division I Football program. Utilizing existing supplier (in use since 2007) allows the University to maintain some existing equipment and ensures compatibility with current inventory while utilizing the de-facto standard for Division I programs. Upgrade provides critical RF shielding to reduce crosstalk and interference that has been increasingly problematic across collegiate and professional sports stadiums. |
| STRATEGIC MARKETING INNOVATIONS INC | \$77,000 | UM     | Continuation of existing education outreach to federal executive branch agencies in support of UM's research programs.  |
| MICROWAVE TELEMETRY INC             | \$76,000 | UM     | Grant-funded purchase of pop-up satellite telemetry tags for tagging yellowfin tuna as part of ongoing fisheries research. Of four possible suppliers, this supplier is the only one with tags that will last a full year (length needed for research parameters) and does not create drag (artificial drag negatively affects data efficacy)   |

| Supplier Name            | Amount   | Campus | Summary Notes  |
|--------------------------|----------|--------|--|
| CARVER INC               | \$65,605 | UM     | Grant-funded specialized platen press for testing and development of structural thermoplastic composite materials. Identified two possible manufacturers capable of customizing their equipment to perform to our requirements; only one was able to do that. Other supplier not able to provide high temperature platen material for rapid high temperature heating and rapid cooling.                                    |
| COLLEGE BOARD            | \$64,474 | UM     | Purchase of student names for recruiting purposes. Supplier is a not-for profit membership organization and sole owner of multiple exams, publication, and software related to "Official College Board Offerings", which include things such as SAT Online Course/Tests, Advanced Placement Program, Accuplacer, etc.  |
| SEA BIRD ELECTRONICS INC | \$56,186 | UM     | Grant-funded purchase of sensors to measure water temperature salinity, and pressure properties at discrete depths. Investment made in these instruments over 20 years ago and continuity critical to achieve scientifically defensible measurements. Unique technology and only available from this supplier.   |
| US CHEMICAL STORAGE LLC  | \$56,140 | UM     | Grant-funded purchase for a highly specialized four-hour fire rated containment module with sump capacity as part of ongoing research at UM into the manufacture of jet fuel (and other fossil fuel replacements) from wood fiber. Although multiple suppliers were assessed, only one had the full list of required specifications required for the project.  |
| EUREKA RANCH INTRNTL     | \$54,516 | UM     | UM and Eureka Ranch co-developed and jointly own intellectual property in an innovation engineering course. In this very unique situation, UM and Eureka are offering this course to National Football League (NFL) players. UM enrolls the NFL players, collects tuition, and grants credit hours. Eureka provides course content and instruction. UM nets revenue in the process after passing through tuition payments. |

| Supplier Name                        | Amount   | Campus | Summary Notes  |
|--------------------------------------|----------|--------|--|
| HONEYWELL INTRNTL INC                | \$52,600 | UMF    | Upgrade of building control and heating management systems at UMF. Existing software no longer supported based on technical and hardware requirements. Upgrading to newest software version for existing building management system.   |
| ADVANCED EDUCL TECHNOLOGIES LLC      | \$52,150 | UM     | Continuity with existing equipment from same manufacturer. Per the manufacturer dealer protected territory.  |
| ADVANCED INFRASTRUCTURE TECHNOLOGIES | \$51,100 | UM     | Department (ASCC) owns copyright to reinforced composite beam design. Supplier holds the exclusive license to manufacture items using this technology. ASCC project to provide beams to MDOT and needs to purchase two beams in order to complete the required stress tests.   |
| MELINK CORP                          | \$50,049 | UM     | Installation of exhaust hood system at Hilltop Commons at UM with proprietary management system that integrates with existing equipment deployed elsewhere on campus. The hoods are all centrally monitored and managed through this integrated control system.  |
| 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.  |
| CAEL                                 | \$49,000 | UMS    | Purchase and implementation for all seven campuses of online survey tool for use by adult learners and adult degree completion programs as part of the University's strategic objective of supporting adult degree completion. Supplier is sole supplier of this survey as well as the provider for the last major survey conducted in 2014. |

| Supplier Name                      | Amount   | Campus | Summary Notes   |
|------------------------------------|----------|--------|---|
| FARO TECHNOLOGIES INC              | \$47,400 | UM     | Replacement and upgrade of a 3D Laser scanner that was originally purchased under a grant. Scanner is being replaced and utilizing existing articulating arm system from original purchase. Device used in the Advanced Manufacturing Center at UM and is made available to Maine industry as an essential resource not available anywhere else in Maine.   |
| UPCEA                              | \$43,500 | USM    | Consulting services in the form of online program environmental scans, feasibility studies, and market studies performed by the consulting division of the University Professional and Continuing Education Association (UPCEA) of which the University is a member. This particular portfolio of services is only provided by UPCEA to its members and represents specific services that cannot otherwise be obtained. The services will support efforts to improve and grow USM's portfolio of online programs. |
| INSTRON A DIV OF IL TOOL WORKS INC | \$42,091 | UM     | Grant-funded calibration and maintenance of existing proprietary scientific test equipment. Equipment is utilized in support of the university's research in the use and production of composite-based materials.   |
| PROCESS & AUTOMATION CONTROLS      | \$40,250 | UM     | Purchase of specialized pump house control system as part of sea water tank system for marine life maintained as part of ongoing research at the UM Darling Marine Center in Walpole. The corrosive nature of seawater in concert with the need for 24/7/365 operation requires a customer designed solution. This component is only available directly from the manufacturer and is a unique component in the overall system design. Research supports multiple marine-based industries.                         |



| Supplier Name                | Amount   | Campus | Summary Notes  |
|------------------------------|----------|--------|--|
| TA INSTRUMENTS<br>WATERS LLC | \$39,500 | UM     | Grant-funded purchase of Thermo Mechanical Analyzer to analyze experimental polymers for UM research in emerging thermoplastic composites for large scale 3D printing for which this analyzer has unique and specific capabilities not otherwise available in the market. Research supports multiple potential Maine industries.   |
| AXON ENTERPRISE<br>INC       | \$38,700 | UM     | Purchase of integrated fleet camera management system for the UM Police Department. Integrates into and proprietary to the existing body camera and fleet communication system. Utilizing this management system allows for reduced risk of liability by recording and maintaining video of officer interactions.  |
| IBCONTROLS INC               | \$37,507 | USM    | Upgrade to existing proprietary building environmental control system. Alternative would entail cost prohibitive replacement of entire control system.   |
| INFORMATICA LLC              | \$36,750 | UMS    | Purchase of two-year contract for cloud-based integration software system which provides critical link between the university's Student Information System and its Customer Relationship Management (CRM) system, which is currently transitioning from one platform to another more robust platform which will ultimately allow the University to more effectively and efficiently recruit and retain students. This integration toolset is licensed in the soon to be legacy CRM and retaining the integration platform reduces overall costs and risks during the transition. |
| HORIZON SOLUTIONS<br>LLC     | \$36,439 | UM     | Grant-funded addition to existing specialty safety fencing originally purchased in 2017 via a competitive process. Supplier consistently low bidder for safety fencing for this specific type and preference is to maintain continuity.  |

| Supplier Name              | Amount   | Campus | Summary Notes   |
|----------------------------|----------|--------|---|
| HORIZON SOLUTIONS LLC      | \$35,870 | UM     | Grant-funded control system for hydraulic cylinder. Compatibility with existing system and needed to complete requirements under federal contract. This equipment previously tested (rented) in past and confirmed it is capable of handling required load & travel capacities and loading rates.   |
| 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.   |
| TELEDYNE INSTRUMENTS INC   | \$35,000 | UM     | Grant-funded proprietary battery upgrades for existing underwater gliders used in ocean acidification research at UM as part of broader climate change and ocean research.  |
| BROADBAND LEGAL STRATEGIES | \$34,000 | UMS    | Consulting services related to recovery of revenue related to the Federal E-Rate program for which the provider is the foremost authority based on her experience as a former administrator at the FCC and her oversight role in the program and has been repeatedly successful recovering denied funding requests.   |
| A-VIBE                     | \$32,000 | UM     | Grant-funded contract for continued maintenance of the Inter-Chem-Net website that allows collaboration between university and K-12 chemistry students as well as collaborative sharing of lab diagnostic equipment across the Inter-Chem-Net user population.  |
| TECHMER PM LLC             | \$32,000 | UM     | Grant-funded purchase of wood fiber-based substrate material for use in the Advanced Structures and Composites Center at UM for research that supports several Maine industries including boat building and transportation infrastructure. Substrate material must match materials previously used in small-scale 3D printing tests in order to ensure research data integrity. |

| Supplier Name             | Amount   | Campus | Summary Notes  |
|---------------------------|----------|--------|--|
| COLLEGE BOARD             | \$31,023 | UMF    | Purchase of student names for recruiting purposes. Supplier is a not-for profit membership organization and sole owner of multiple exams, publication, and software related to "Official College Board Offerings," which include things such as SAT Online Course/Tests, Advanced Placement Program, Accuplacer, etc.                                |
| CENGAGE LEARNING          | \$30,000 | UMA    | Online non-degree career training service for which pass-through charges to students result in net revenue to the university.  |
| FREIGHTLINER OF MAINE INC | \$30,000 | UM     | Service contract for proprietary Freightliner industrial-grade rubbish packer system for which general and emergency repairs and maintenance are provided directly by the manufacturer.  |
| 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.  |
| BANGOR TRUCK EQUIP        | \$30,000 | UM     | Contract for repair services for ancillary equipment for snow plowing and other operations, including emergency repairs from only supplier in close proximity to the UM campus with the ability to respond during snow emergency events.   |
| WORDLAB                   | \$30,000 | USM    | Apprenticeship program for recent college graduates and mid-career professionals for development of special skills in strategic communication and relations focused on providing for the needs of Maine businesses in the State's targeted technology sectors. This provider is the only Maine-based provider able to effectively address this need. |

| Supplier Name            | Amount   | Campus | Summary Notes   |
|--------------------------|----------|--------|---|
| CAPE ELEUTHERA INST      | \$29,640 | UM     | Purchase of turnkey study abroad services at the Cape Eleuthera Institute in The Bahamas as part of field-based delivery of BIO 309 class on Sustainability and Conservation. Eleuthera provides a unique experience that directly matches the objective of the class.  |
| IWORX SYSTS INC          | \$29,250 | UMPI   | Like-for-like replacement of exercise and physiology training equipment and teaching resources upon which a human kinesiology class is based.   |
| ELEMENTAL SCIENTIFIC INC | \$28,026 | UM     | Repair of equipment by original manufacturer. No other authorized repair centers.   |
| OHANA TOUR SVC           | \$27,872 | UM     | Grant-funded services for travel and logistics planning for study tour to China as part of Marine Fisheries Partnership project which seeks to enhance fisheries management best practices, research and education between China and other countries. Provider has unique experiences and relationships working with the Chinese delegation to the project. |
| HU FRIEDY MFG CO LLC     | \$27,647 | 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.   |
| OHANA TOUR SVC           | \$27,462 | UM     | Grant-funded services for travel and logistics planning for study tour to China as part of Marine Fisheries Partnership project which seeks to enhance fisheries management best practices, research and education between China and other countries. Provider has unique experiences and relationships working with the Chinese delegation to the project. |

| Supplier Name                            | Amount   | Campus | Summary Notes   |
|--|----------|--------|---|
| LAB AIDS INC                             | \$26,341 | UM     | Restocking of consumable materials in laboratory kits used by students - department reuses kits and restocks rather than buying whole new kits each semester as a means to control costs. Materials are part of a specific curriculum program designed to focus on STEM education in Maine.   |
| GUINNESS WORLD RECORDS NORTH AMERICA INC | \$26,000 | UM     | Guinness is the global authority on record-breaking and their name recognition will draw significant media attention, exposing UM as one of the top research institutions in large-scale additive manufacturing and may lead to significant investments by funding agencies to pursue future research opportunities.  |
| NOLDUS INFORMATION TECHNOLOGY INC        | \$25,818 | UM     | Grant-funded purchase of integrated infrared camera and data analysis system for the study of muscle formation in Zebrafish, the study of which has applications in developing therapies for human muscular disorders like Muscular Dystrophy among other applications. The equipment is of unique and specialized design.  |
| UNIV OF OXFORD                           | \$25,278 | UM     | Grant-funded travel and vessel services for an extended research cruise in the Southern Ocean and Antarctica as part of ongoing climate change research at UM. University of Oxford is coordinating services and financial transactions for the four research teams involved. Research is investigating global climate change and its impacts worldwide as well as in Maine and steps that can be employed to mitigate. |
| BIGELOW LAB FOR OCEAN SCIENCE            | \$25,031 | USM    | Grant-funded testing and analysis services in support of a recycling program whereby discarded shellfish shells will be reused to help reduce ocean acidification. Research specifically targets the Maine-based oyster aquaculture industry. Supplier has unique capabilities and is being used to ensure data integrity with other companion research projects.   |

| Supplier Name               | Amount   | Campus | Summary Notes   |
|-----------------------------|----------|--------|---|
| SARGENT CORP                | \$25,000 | UM     | Contract for fabrication and repair services for snowplow blades, including emergency repairs from only supplier in close proximity to the UM campus with the ability to respond during snow emergency events.  |
| CURTIS AIR                  | \$25,000 | UM     | Service, maintenance and repair of Cessna T172SP airplane. Two known FFA registered providers in the area; Curtis Air focuses on private aircraft so able to prioritize services when needed. Other providers focus is commercial and with only two in the area we are not able to get priority turn-around.  |
| SPECTRUM REACH              | \$24,500 | UMA    | Targeted television and online media ads seeking students from specific geographical areas.   |
| COMBINED FLUID PRODUCTS CO  | \$24,121 | UM     | Purchase of specialized pump house components as part of sea water tank system for marine life maintained as part of ongoing research at the UM Darling Marine Center in Walpole. The corrosive nature of seawater in concert with the need for 24/7/365 operation requires a customer designed solution. This component is only available directly from the manufacturer and is a unique component in the overall system design. Research supports multiple marine based industries. |
| SEA BIRD ELECTRONICS INC    | \$24,013 | UM     | Grant-funded purchase of pH sensors to be added to underwater glider as part of ocean acidification research conducted at UM. Sensor is the first of its kind and was developed specifically to meet the requirements of this collaborative research project as set forth by the lead researcher at Rutgers University.   |
| GLOBAL SVC PARTNERSHIPS LLC | \$24,000 | USM    | Travel services for study abroad course in Belize for which the supplier offers a unique and comprehensive variety of services and on-site capabilities, including the ability to create experiences with sufficient rigor to qualify for course credits.   |

| Supplier Name               | Amount   | Campus | Summary Notes  |
|-----------------------------|----------|--------|--|
| LAB AIDS INC                | \$23,925 | UM     | Grant-funded restocking of textbooks used by students K-12 teachers as part of the Maine STEM Partnership's efforts to promote inquiry-based science education in Maine. Textbooks were determined by the Maine Center for Research in STEM Education at UM to be the best overall middle school science curriculum. |
| KAMCO SUPPLY CORP OF BOSTON | \$23,750 | UMF    | Bathroom partitions standardized throughout campus are same manufacturer, Kamco. Kamco is sold only direct through Kamco Co. No other suppliers can provide this product.  |
| CLEAN AIR DESIGNS INC       | \$23,694 | UM     | Rooftop Air Handler equipment failure - repair materials from original manufacturer for compatibility. Existing equipment's remaining lifespan is approx. 15 years.  |
| IBCONTROLS INC              | \$23,632 | USM    | Upgrade to existing proprietary building environmental control system. Alternative would entail cost prohibitive replacement of entire control system.   |
| PENGUIN RANDOM HOUSE LLC    | \$23,500 | USM    | Keynote speaker for USM Graduation ceremony. The supplier (Random House) is the exclusive agent for this speaker.  |
| MUTSU KADEN TOKKI LTD       | \$22,969 | UM     | Purchase of specialized drill and line washer to support the emerging scallop aquaculture industry in Maine. This device, in concert with another of the same design purchased by another entity, will allow research to continue in cultivation of scallops (commercial farming).                                   |
| BIOMONTR EQUIP SVCS         | \$22,575 | UM     | Turnkey real-time DNA sequencer for which this equipment is the sole provider of digital PCR detection capability that is an essential requirement for the research this equipment will support. The research seeks to improve overall animal health in agriculture in Maine.  |

| Supplier Name                     | Amount   | Campus | Summary Notes  |
|-----------------------------------|----------|--------|--|
| ADMITHUB INC                      | \$22,500 | USM    | Purchase of artificial intelligence-based messaging system designed to provide help and assistance to students, especially first year students. System is designed specifically for higher education and targets students at risk of continued enrollment past their first year, increase overall enrollment yield, and increase FAFSA completion rate (federal financial aid enrollment form). As an emerging technology, no other providers with specific higher education focus have been identified. |
| DURA TECH INDUSTRIAL & MARINE LTD | \$22,250 | UM     | Purchase of specialized seawater intakes as part of seawater tank system for marine life maintained as part of ongoing research at the UM Darling Marine Center in Walpole. The corrosive nature of seawater in concert with the need for 24/7/365 operation requires a customer designed solution. This component is only available directly from the manufacturer and is a unique component in the overall system design. Research supports multiple marine based industries.                          |
| LAB AIDS INC                      | \$21,615 | UM     | Purchase of newly released version of comprehensive middle school earth sciences curriculum that meets Maine learning standards and has been previously adopted by the Maine Center for Research in STEM Education at UM which seeks to promote the development of teaching professionals and resources focused on sciences-based education at K-12 schools in Maine.  |
| CAMPBELL SCIENTIFIC INC           | \$21,295 | 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.  |



| Supplier Name               | Amount   | Campus | Summary Notes   |
|-----------------------------|----------|--------|---|
| GF URECON LTD               | \$20,993 | UM     | Unique products and could locate only two suppliers for quotes. Selecting lowest bidder and one that could provide quicker lead-time. Work must be complete in order to provide heat to buildings so time is of the essence.  |
| LAB AIDS INC                | \$20,645 | UM     | Grant-funded restocking of consumable materials in laboratory kits used by students - department reuses kits and restocks rather than buying whole new kits each semester as a means to control costs. This order upgrades existing stock to newest text edition for the resource.  |
| 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.   |
| A L TIER II LLC             | \$20,000 | UM     | Partnership agreement for marketing UM Athletic Events, including in person (radio, TV, online broadcasts). This will benefit enrollment efforts for various Division of Lifelong learning programs and provides income for UM Athletics, which receives a portion of the funds raised. Supplier (through Blackbear Sports) has exclusive rights to market at UM Athletic Events since 2015 via competitively bid contract. This services falls outside of the scope of that agreement.     |
| A L TIER II LLC             | \$20,000 | UM     | Partnership agreement for marketing UM Athletic Events, including in person (radio, TV, online broadcasts). This will benefit enrollment efforts for various Division of Lifelong learning programs and provides income for UMaine Athletics, which receives a portion of the funds raised. Supplier (through Blackbear Sports) has exclusive rights to market at UM Athletic Events since 2015 via competitively bid contract. This services falls outside of the scope of that agreement. |

| Supplier Name             | Amount   | Campus | Summary Notes   |
|---------------------------|----------|--------|---|
| COMPOUNDING SOLUTIONS LLC | \$19,775 | UM     | MTI grant-funded purchase of pre-mix materials and testing for use in the large-scale 3D printing at the Advanced Structures and Composites Center at UM. Supplier is considered a cluster partner in the MTI-backed proposal to establish a Maine-based supply chain for bio-filled materials for use in the 3D printer. Overall research supports several Maine industries including boat building and transportation infrastructure.   |
| ACCUSPEC INC              | \$18,981 | UM     | Like-for-like replacement of exhaust hood system components utilized in research labs on campus (there are 51 hoods of this type and manufacturer across the UM campus).  |
| BAUER HOCKEY INC          | \$18,750 | 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. Multiple suppliers utilized for this purpose.  |
| HORIZON SOLUTIONS LLC     | \$18,015 | UM     | Grant-funded purchase of hydraulic cylinder actuator as part of an existing system designed to test structural integrity of large components, in this case a large composite beam for the Advanced Structures and Composites Center at UM. Actuator specifically matches and integrates into existing thus ensuring operational and research test data integrity. Overall test rig used for multiple scenarios including offshore wind blades and structural composite beams, among other uses. |
| CATHERINE BOHLS           | \$17,000 | USM    | Grant-funded contract with training facilitator for an Early Child Care Education for which maintaining continuity of facilitation is essential across multiple years of the grant. Note that training takes place at multiple sites across Maine.  |

| Supplier Name                            | Amount   | Campus | Summary Notes   |
|--|----------|--------|---|
| SOCIETY FOR HUMAN RESOURCE MGMT          | \$16,800 | USM    | Purchase of certification test preparation books for students attending professional development classes at USM in HR Management. The materials are proprietary to the SHRM-CP and SHRM-SCP professional certifications, obtaining which is the primary objective of the classes. Costs pass through to students. |
| CONSOLIDATED ELECTRICAL DISTRIBUTORS INC | \$16,633 | UMF    | Purchase and installation of energy efficient LED lights utilizing a supplier who previously installed similar lights at UMF. Under an Efficiency Maine initiative, the final net expenditure for this PO is approximately \$5,000 – a substantial savings.   |
| CAPPEX COM                               | \$16,500 | USM    | Re-order of targeted mailing list for potential students for which the supplier has proprietary content.  |
| A L TIER II LLC                          | \$16,500 | USM    | Purchase and installation of an athletic content management system for the USM Athletics Department for which all members of the Little East Athletic Conference have standardized to facilitate sharing of athletic data and game film across the conference.  |
| ANASAZI INSTRUMENTS                      | \$16,450 | USM    | Upgrade and service for NMR Spectroscopic equipment in the USM Chemistry lab. Equipment has been in service for more than 20 years and service and upgrade must be performed by original equipment manufacturer.  |
| OPTIMATION TECHNOLOGY INC                | \$16,435 | UM     | Grant-funded maintenance services for automated control and data acquisition system for the pilot plant creating cellulose-based fuels. Service provider designed and installed the control system including proprietary data capture interfaces.   |
| ALLEN INSURANCE & FINANCIAL              | \$16,160 | UMS    | Marine Insurance covering students or third parties that may be injured in diving accidents. Broker is the only one in Maine that can place this excess surplus lines insurance   |

| Supplier Name              | Amount   | Campus | Summary Notes   |
|----------------------------|----------|--------|---|
| TRILIONQUALITY SYSTS LLC   | \$16,000 | UM     | This is an update to existing license and supplier is only authorized dealer in US.   |
| LONGEVITY LINK CORP        | \$15,200 | UM     | Non-invasive portable optical scanner to scan human skin to measure fruit and vegetable consumption as part of larger initiatives to reduce certain health risk factors, including cardiovascular diseases, obesity, cancers and age-related degenerative eye diseases. Device is unique in its ability to measure fruit and vegetable consumption with a simple external skin scan.  |
| JBELLAVANCE CONSULTING INC | \$15,000 | UMF    | Comprehensive student search evaluation services aimed at better aligning UMF's market approach to its search process for identifying students who meet the University's student search profile. Provider has unique capabilities having worked for the leading supplier of student names along with experience outside of that supplier, thus providing comprehensive insights into the student search marketplace that would otherwise need to be gathered and synthesized from multiple sources. |
| SIMON & SCHUSTER INC       | \$15,000 | UM     | Grant-funded speaker services for an event hosted by the Stephen E King Chair Fund for which the speaker has been identified as the best option given the subject matter.   |
| JBELLAVANCE CONSULTING INC | \$15,000 | USM    | Comprehensive student search evaluation services aimed at better aligning USM's market approach to its search process for identifying students who meet the University's student search profile. Provider has unique capabilities having worked for the leading supplier of student names along with experience outside of that supplier, thus providing comprehensive insights into the student search marketplace that would otherwise need to be gathered and synthesized from multiple sources. |

| Supplier Name                       | Amount   | Campus | Summary Notes   |
|-------------------------------------|----------|--------|---|
| ASSOCIATION OF CLIMATE CHANGE OFCRS | \$15,000 | USM    | Grant-funded contract for services for the Muskie School at USM to conduct a Leadership Exchange program for elected officials in the Narragansett Bay watershed, which will educate these officials on climate-change related decision making, as well as link these officials to other leaders in coastal locales. The service provider is currently the only entity qualified to address the climate change related needs of policy makers in state and local governments. |
| PINE TREE FOOD EQUIP INC            | \$15,000 | UMF    | Repair and maintenance of kitchen equipment. In the past UMF has attempted to locate other restaurant equip repairs suppliers but has been unable to get any to respond to our request for a proposal. These requests to obtain a proposal were done via phone calls so no documentation is available.  |
| FULL MOON COMM INC                  | \$14,950 | USM    | Copywriting services for USM Office of Marketing and Brand Management for which continuity of service is essential in order to maximize quality and value for these services while maintaining the developed style and voice needed to extend the University's brand message.   |
| 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.  |
| SHELLFISH EQUIP                     | \$14,800 | UM     | Specialized equipment not available from other aquaculture equipment manufacturers. Custom designed to work with existing water pump and generator to be portable. Other aquaculture equipment manufacturers make washer/tumblers but not washers designed to work in the same manner as this. This supports research in development of scallop industry aimed at diversifying Maine's working waterfront and broadening products and markets.                                |

| Supplier Name                      | Amount   | Campus | Summary Notes   |
|------------------------------------|----------|--------|---|
| WRIGHTS MEDIA LLC                  | \$14,500 | UMA    | Purchase of rights to use online badge for "US News Best Online Programs 2020" for marketing purposes - supplier has exclusive right to sell the online badge rights.   |
| NATIONAL EVENT PUBLICATIONS        | \$14,500 | UMPI   | Targeted marketing for the UMPI for publication in Boston Red Sox yearbook with sole publisher of MLB team yearbooks.   |
| 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.  |
| INSTRON A DIV OF IL TOOL WORKS INC | \$14,398 | UM     | High capacity testing frames required for high load testing. Supplier is manufacturer of existing equipment. This purchase includes repairs to existing equipment, calibration, and purchase/installation of new equipment. Continuity/compatibility is essential.  |
| SEA BIRD ELECTRONICS INC           | \$14,000 | UM     | Grant-funded service, calibration and maintenance by original equipment manufacturer of underwater sensors that provide hourly weather, current, and water-property data to several federal agencies (e.g., NOAA, USCG) that in turn provide critical data to support commercial and recreational marine activities in the Gulf of Maine. |
| CITY OF AUGUSTA                    | \$14,000 | USM    | Rental of the Augusta Civic Center for the PBIS Conference, which provides professional development for K-12 special needs teachers - only location in the Augusta area that could accommodate the event.   |
| COLLEGE BOARD                      | \$14,000 | USM    | Purchase of student names for recruiting purposes. Supplier is a not-for profit membership organization and sole owner of multiple exams, publication, and software related to "Official College Board Offerings", which include things such as SAT Online Course/Tests, Advanced Placement Program, Accuplacer, etc.                     |

| Supplier Name         | Amount   | Campus | Summary Notes   |
|-----------------------|----------|--------|---|
| LINKEDIN CORP         | \$13,775 | USM    | Licensing and services agreement with social-media-based employee recruitment services for USM that blends the most ubiquitous employment-related social media platform with active recruitment support, focused on two key areas; 1) supporting the university's affirmative action plan and building workforce diversity, and 2) actively recruiting pool of potential job candidates who have earned a Doctorate and are seeking employment in academia. |
| ROGUE DETECTION TEAMS | \$13,719 | UM     | Grant-funded trained dog scent detection services to search for bats roosting in talus slopes (heavy rocks and boulders) as part of UM Wildlife Ecology research. Special training in traversing and searching talus slopes as well as in searching for bats across multiple scent vectors is a unique and required capability that no other providers possess. This supplier has successfully supported very similar research in Alaska.                   |
| IRIS NETWORK          | \$13,500 | UM     | UM Seed Grant-funded project meant to improve independence by blind and visually impaired Mainers. Supplier is the only non-profit organization in Maine supporting vocational, mobility and skill training for this group of people. UMS develops the app; supplier provides expertise and input, testing and evaluation of the app within their curriculum.   |
| TURNER DESIGNS INC    | \$13,389 | UM     | Purchase of multi-wavelength chlorophyll and blue algae pigment 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, and is compatible with currently utilized equipment. Equipment specifically measures presence of blue green algae in toxic algae blooms.  |

| Supplier Name                   | Amount   | Campus | Summary Notes  |
|---------------------------------|----------|--------|--|
| 3DPRINTCLEAN                    | \$13,268 | UM     | Grant-funded purchase of fire suppression and air filtering enclosure for a small-scale 3D printer for the Advanced Composites Center at UM for which the design and components are proprietary to the original printer manufacturer. Part of ongoing research into the use of wood fiber derived substrates for use in 3D printing technologies.                        |
| WET LABS INC                    | \$13,190 | UM     | Grant-funded service, calibration, and maintenance provided by original equipment manufacturer for several underwater instruments for monitoring of marine water quality utilized by and for various research projects within the School of Marine Sciences at UM.   |
| SUGARLOAF MTN CORP              | \$13,107 | UMF    | Continued use of event facility for cultivation and development of alumni to drive enrollment and giving at UMF. Facility has been used for several years previous and is the most central to UMF, thus reducing overall costs for all participants and for the university.  |
| CHARLES RIVER LABS MONTREAL ULC | \$12,700 | UM     | Tissue analysis and mapping for the UM School of Food and Agriculture for which continued use of same supplier as previous project analysis is essential in order to maintain research data integrity. The underlying research supports efforts to identify methods to reduce the incidence of post-surgical infection in humans.  |
| MODERNTHINK                     | \$12,670 | UMS    | Proprietary provider of database software program that supports the university's participation in the Great Colleges to Work For program.  |
| GEOCEANTECH CO LTD              | \$11,880 | UM     | Grant-funded purchase of a Temperature Gradient Incubator for growth of phytoplankton as part of ongoing ocean acidification research at UM. Research is focused on the impacts and possible remediation of acidification of the Gulf of Maine and its impact on aquaculture. Incubator has unique characteristics needed for this research and not available elsewhere. |



| Supplier Name                       | Amount   | Campus | Summary Notes  |
|-------------------------------------|----------|--------|--|
| INSTRON A DIV OF IL TOOL WORKS INC  | \$11,323 | UM     | Calibration and maintenance of existing proprietary scientific test equipment. Equipment is utilized in support of the University's research in the use and production of composite-based materials.   |
| BAUER HOCKEY INC                    | \$11,070 | UM     | Hockey 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. Multiple suppliers utilized for this purpose.   |
| SEILER INSTRUMENT & MFG CO          | \$11,059 | USM    | Proprietary motor replacement and routine maintenance for Star Projector at USM planetarium.   |
| MACRAE SPEAKERS & ENTERTAINMENT LLC | \$11,000 | UM     | Guest speaker services for Dr. Jackson Katz, co-founder of the Mentors in Violence Prevention (MVP) program who will offer two presentations at UM to athletes, and to the campus community at large. Supplier is the exclusive agent for the speaker who is considered a preeminent authority on sexual and gender violence prevention and gender equality. |
| POLYSTRAND POLYONE CORP             | \$10,949 | UM     | Grant-funded specialized thermoplastic composites with dimensions up to and including 101" x 172". Through literary review and contacts of at least 2 possible providers, unable to locate companies able to meet the required sizes.  |
| AXON ENTERPRISE INC                 | \$10,784 | UM     | Purchase of tasers for the UM police force that match existing deployed units and are part of a proprietary platform that includes integrated tasers and body worn cameras.  |
| GPS WEB SHOP INC                    | \$10,688 | UM     | GPS Tracking Collars for livestock being used for research. Specific unit is the only one on the market with the specifications required to accurately determine grazing behavior characteristics, other potential suppliers were reviewed. This supplier only viable option to provide the volume of collars needed for this research project.              |

| Supplier Name                     | Amount   | Campus | Summary Notes  |
|-----------------------------------|----------|--------|--|
| AV TECHNIK LLC                    | \$10,615 | UMA    | Continued use of AV service provider for UMA commencement for which providing continuity of service has been essential.  |
| ROBATEL INC                       | \$10,500 | UM     | Grant-funded equipment supports testing an extraction process for removing acids from woody biomass. Ultimately, the project will for manufacture of gasoline and jet fuel from woody biomass (trees) harvested in Maine. Able to identify only two suppliers with this type of equipment. Renting units from both suppliers before deciding which, if either, will ultimately be purchased. |
| SCHOODIC INST AT ACADIA NATL PARK | \$10,328 | UM     | UM School of Biology and Ecology hosts a freshman orientation event at the Schoodic Education and Research Center - the Center provides content and resources that support the academic program. Rather than house students elsewhere and incur costs and lose time to transport them, students are housed and fed at the Center as well.  |
| SEASPACE CORP                     | \$10,125 | UM     | Grant-funded upgrade of proprietary satellite data analysis software used in various research projects at the School of Marine Sciences at UM. Upgrade of system that has been in use since 1996 and for which continued utilization ensures overall and ongoing data integrity.   |

#### 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                               | \$2,037,857 | UMF    |
| UNIV OF VERMONT & STATE AGRIC COLLEGE | \$991,659   | UM     |
| UNIV SYST OF NEW HAMPSHIRE            | \$971,406   | UM     |
| BIGELOW LAB FOR OCEAN SCIENCE         | \$681,750   | UM     |

| Supplier Name                            | Amount    | Campus |
|--|-----------|--------|
| TREASURER STATE OF MAINE                 | \$500,000 | UMA    |
| COASTAL ENTERPRISES INC                  | \$415,000 | USM    |
| MOTE MARINE LAB INC                      | \$399,961 | UM     |
| NOVA SOUTHEASTERN UNIV INC               | \$399,373 | UM     |
| AUBURN UNIV                              | \$356,000 | UM     |
| DOWNEAST INSTITUTE                       | \$250,000 | UM     |
| JUSTICE RESEARCH AND STATISTICS ASSN     | \$239,622 | USM    |
| DOWNEAST INSTITUTE                       | \$236,625 | UM     |
| GOOD SHEPHERD FOODBANK                   | \$225,000 | UMF    |
| UNIV SYST OF NEW HAMPSHIRE               | \$218,400 | USM    |
| BIGELOW LAB FOR OCEAN SCIENCE            | \$203,412 | UM     |
| SAVE THE BAY                             | \$190,262 | USM    |
| LISA M LETOURNEAU MD LLC                 | \$173,654 | UMF    |
| PUBLIC CATALYST GRP CORP                 | \$158,350 | USM    |
| THROWE ENVIRONMENTAL                     | \$150,000 | USM    |
| AVCOG                                    | \$143,000 | USM    |
| ATLANTIC CORP                            | \$141,044 | USM    |
| BIO RAD LAB INC                          | \$140,745 | UM     |
| UNIV OF MASSACHUSETTS DARTMOUTH FNDTN I  | \$139,812 | UM     |
| MT BLUE REGIONAL SCHOOL DISTRICT         | \$128,409 | UMF    |
| TRICIA MOSHER CONSULTING                 | \$124,140 | USM    |
| SOCIEDAD DE HISTORIA NATURAL NIPARAJA AC | \$120,000 | UM     |
| CORNELL UNIV                             | \$114,855 | UM     |
| KANSAS STATE UNIV                        | \$107,500 | UM     |
| WOODS HOLE OCEANOGRAPHIC INSTITUTION     | \$104,677 | UM     |
| FAMILY & CMNTY MEDIATION                 | \$88,760  | UM     |
| NORTH CAROLINA STATE UNIV                | \$88,469  | UM     |
| WET LABS INC                             | \$85,408  | UM     |
| GULF OF MAINE RESEARCH INST              | \$82,159  | UM     |
| IOWA STATE UNIV                          | \$80,029  | UM     |
| VALMET INC                               | \$78,372  | UM     |
| UNIV OF MIAMI                            | \$77,727  | UM     |

| Supplier Name                          | Amount   | Campus |
|--|----------|--------|
| AAAS                                   | \$75,605 | UM     |
| UNIV OF IDAHO                          | \$75,265 | UM     |
| UNIV OF KENTUCKY RESEARCH FNDTN        | \$75,000 | UM     |
| WASHINGTON STATE UNIV                  | \$74,733 | UM     |
| VIRGINIA POLYTECHNIC INST & STATE UNIV | \$73,940 | UM     |
| COMPOSTING SME LLC                     | \$72,408 | UM     |
| UNIV OF NEW ENGLAND                    | \$71,808 | UM     |
| DECISION RESEARCH                      | \$68,597 | UM     |
| NORTHERN MAINE DEVELOPMENT COMMISSION  | \$67,000 | USM    |
| AUDUBON SCTY OF RHODE ISLAND           | \$65,091 | USM    |
| MSAD 44                                | \$65,000 | UMF    |
| RSU 74                                 | \$65,000 | UMF    |
| MSAD 58                                | \$65,000 | UMF    |
| SEQUOIA SCIENTIFIC INC                 | \$64,032 | UM     |
| QUIXOTE EXPEDITIONS LLC                | \$60,000 | UM     |
| COASTAL ENTERPRISES INC                | \$59,594 | UM     |
| MANOMET CTR FOR CONSERVATION SCIENCES  | \$58,672 | UM     |
| RSU 39                                 | \$55,790 | UMF    |
| GULF OF MAINE RESEARCH INST            | \$53,500 | UM     |
| AOS 96 MACHIAS SCHOOL DEPT             | \$52,500 | UMF    |
| HEALTH ECONOMY LLC                     | \$49,900 | UMF    |
| MAINE AQUACULTURE ASSN                 | \$47,300 | UM     |
| NERACOOS                               | \$45,857 | USM    |
| SOUTHWEST RESEARCH INST                | \$45,759 | UM     |
| UNIV OF MONTANA                        | \$45,000 | UM     |
| PENNSYLVANIA STATE UNIV                | \$42,470 | UM     |
| GULF OF MAINE RESEARCH INST            | \$42,409 | UM     |
| ADVANCED COMPOSTING TECHNOLOGIES LLC   | \$42,000 | UM     |
| MT BLUE REGIONAL SCHOOL DISTRICT       | \$41,800 | UMF    |
| NATURE CONSERVANCY                     | \$40,008 | USM    |
| BARBARA KATES                          | \$40,000 | USM    |
| UNIV OF RHODE ISLAND                   | \$40,000 | USM    |

| Supplier Name                       | Amount   | Campus |
|-------------------------------------|----------|--------|
| HORIZON RESEARCH INC                | \$40,000 | UM     |
| MSAD 37                             | \$40,000 | UMF    |
| MASS AUDUBON                        | \$39,000 | USM    |
| INTEGRATED LEARNING INNOVATIONS INC | \$37,500 | UM     |
| PREUSSER RESEARCH GRP INC           | \$35,700 | USM    |
| MT DESERT ISLAND BIOLOGICAL LAB     | \$35,009 | UM     |
| MSAD 27                             | \$35,000 | UMF    |
| MSAD 70                             | \$35,000 | UMF    |
| RSU 4                               | \$34,735 | UMF    |
| MAINE AQUACULTURE INNOVATION CTR    | \$34,400 | UM     |
| INDICES CONSULTING LLC              | \$34,000 | USM    |
| MSAD 59                             | \$32,217 | UMF    |
| KIMBERLY GROFF                      | \$31,500 | USM    |
| BROWN UNIV                          | \$30,333 | USM    |
| CAPE COD COMMISSION                 | \$30,000 | USM    |
| SYRACUSE UNIV                       | \$30,000 | USM    |
| NAVAL ENERGIES                      | \$30,000 | UM     |
| MARINE BIOLOGICAL LAB               | \$29,817 | UM     |
| BIGELOW LAB FOR OCEAN SCIENCE       | \$29,671 | UM     |
| NEW ENGLAND AQUARIUM                | \$29,166 | UM     |
| MSAD 44                             | \$28,647 | UMF    |
| RSU 10                              | \$28,616 | UMF    |
| JUDITH F LOREN                      | \$28,500 | USM    |
| SYNDAVER LABS INC                   | \$27,750 | UMA    |
| BIGELOW LAB FOR OCEAN SCIENCE       | \$27,000 | UM     |
| GALLUP INC                          | \$26,498 | USM    |
| BATES COLLEGE                       | \$26,402 | UM     |
| RSU 73                              | \$25,626 | UMF    |
| COLBY COLLEGE                       | \$25,448 | UM     |
| RSU 56                              | \$25,264 | UMF    |
| MSAD 20                             | \$25,200 | UMF    |
| RSU 74                              | \$25,150 | UMF    |

| Supplier Name                            | Amount   | Campus |
|--|----------|--------|
| TOWN OF BAILEYVILLE SCHOOL DEPT          | \$25,000 | UMF    |
| MAINE ACADEMY OF NATURAL SCIENCES        | \$25,000 | UMF    |
| CORNVILLE REGIONAL CHARTER SCHOOL        | \$25,000 | UMF    |
| SUSAN PATE                               | \$24,990 | USM    |
| FRIENDS OF CASCO BAY                     | \$24,626 | USM    |
| MSAD 33                                  | \$24,000 | UMF    |
| CORNELL UNIV                             | \$23,317 | UM     |
| UNIV OF FLORIDA                          | \$23,250 | UM     |
| MSAD 14                                  | \$23,104 | UMF    |
| WINDOWDRESSERS INC                       | \$22,800 | USM    |
| MSAD 3                                   | \$22,323 | UMF    |
| GULF OF MAINE RESEARCH INST              | \$22,124 | UM     |
| CHRISTINE B FEURT                        | \$21,196 | UM     |
| WILLIAM SEEKINS                          | \$20,400 | UM     |
| OPPORTUNITY ALLIANCE                     | \$20,000 | USM    |
| CENTRO DE CIÊNCIAS DO MAR DO ALGARVE     | \$20,000 | UM     |
| UNIV OF NEW ENGLAND                      | \$20,000 | UM     |
| MAINE AQUACULTURE INNOVATION CTR         | \$20,000 | UM     |
| MAINE AQUACULTURE INNOVATION CTR         | \$19,960 | UM     |
| SOUTHERN MAINE CMNTY COLLEGE             | \$19,843 | UM     |
| JACKSON LAB                              | \$18,765 | UM     |
| LIMESTONE SCHOOL DEPT                    | \$16,300 | UMF    |
| HAWTHORNE VALLEY ASSN INC                | \$15,894 | UM     |
| GARY FLORY                               | \$15,300 | UM     |
| VIRGINIA POLYTECHNIC INST & STATE UNIV   | \$15,191 | UM     |
| CHANGE HEALTHCARE PHARMACY SOLUTIONS INC | \$15,000 | USM    |
| COASTAL ENTERPRISES INC                  | \$15,000 | UM     |
| CARLANN M WELCH PSYD LLC                 | \$14,940 | USM    |
| MAINE INDIAN EDUC                        | \$14,600 | UMF    |
| KAREN L GROAT                            | \$14,340 | UM     |
| RSU 78                                   | \$13,950 | UMF    |
| OHIO STATE UNIV                          | \$13,374 | UM     |

| Supplier Name                      | Amount   | Campus |
|------------------------------------|----------|--------|
| MSAD 13                            | \$13,158 | UMF    |
| MSAD 58                            | \$13,000 | UMF    |
| PRESUMPCOT REGIONAL LAND TRUST INC | \$12,900 | USM    |
| BIGELOW LAB FOR OCEAN SCIENCE      | \$12,500 | UM     |
| RSU 38                             | \$11,900 | UMF    |
| MSAD 37                            | \$11,696 | UMF    |
| MARINE BIOLOGICAL LAB              | \$11,640 | UM     |
| CANDACE A KANES                    | \$11,500 | UMA    |
| TYLER TECHNOLOGIES INC             | \$11,200 | USM    |
| MT DESERT ISLAND BIOLOGICAL LAB    | \$10,900 | UMPI   |
| DYNATA LLC                         | \$10,899 | UM     |
| SAN JOSE STATE UNIV RESEARCH FNDTN | \$10,636 | UM     |
| COLLEGE AVENUE STUDENT LOANS LLC   | \$10,253 | UMF    |
| COASTAL ENTERPRISES INC            | \$10,225 | USM    |

## 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. In FY20, a number of these purchases are connected to the global COVID-19 pandemic and activities to serve local and state needs including hand sanitizer production for health care providers, as well as purchase of personal protective equipment (PPE) like face coverings to protect UMS employees consistent with public health guidelines.

| Supplier Name                          | Amount    | Campus | Summary Notes   |
|--|-----------|--------|---|
| FACTORY MUTUAL INSURANCE CO            | \$965,000 | UMS    | University-wide property insurance coverage for FY20. Previously the university purchased this insurance through a public purchasing consortium. However, when made aware that the cost of the insurance would increase by \$150,000 or 17 percent, options were explored to contain the cost. By executing a new policy directly with carrier, Risk Management has been able to reduce the increase to 9 percent. A formal solicitation process will be conducted over the next year to secure a longer-term solution. |
| TA INSTRUMENTS WATERS LLC              | \$493,535 | UMS    | Replacement due to an equipment fire; equipment replacement. Direct replacement of equipment purchased in 2011 and will be reimbursed by insurance.   |
| SERVPRO OF PORTLAND & S PORTLAND       | \$292,469 | UMS    | Water Mitigation at USM Woodbury Campus Center. Significant water damage to building due to fire main break. Removal of water, mud, and damaged surfaces required immediate attention to prevent mold, repair to fire suppression system, and remove obstacles dangerous to workers. Supplier is preferred provider with UMS insurance provider, FM Global and honored FM Global pricing and additionally has provided satisfactory services to USM.  |
| PENOBSCOT CLEANING SVCS INC            | \$190,078 | UM     | Risk Management request in response to flood at Advance Structures. Only supplier that responded quickly and could be on-site same day.   |
| RAMONA MUNSELL & ASSOC CONSULTING INC  | \$170,984 | UMPI   | Consulting services for Title III Grant, required UMPI to act quickly due to amount of work required prior to US Department of Education releasing grant application period. Agreement signed Nov 2016 with application period expected 1st quarter of 2017. Agreement included a four-year cycle renewal until successful award. Supplier selected based on prior working relationships at previous universities and high rate of success securing Title III Grants.   |
| ENVIRONMENTAL SAFETY PROFESSIONALS INC | \$150,000 | UM     | Extension of existing competitively bid contact for asbestos air monitoring services for which a new RFP could not be completed due to resource constraints caused by the pandemic.   |



| Supplier Name                    | Amount    | Campus | Summary Notes  |
|----------------------------------|-----------|--------|--|
| LABSTER INC                      | \$140,000 | UMS    | Software required for rapid transition to online learning due to pandemic  |
| SPLIT ROCK DISTILLING            | \$118,851 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic.   |
| EASTMAN MACHINE CO               | \$95,490  | UM     | Grant-funded purchase of computer controlled cutting machine for the Advanced Composites lab at UM. Extensive evaluation of potential equipment meeting grantor specifications narrowed the device to one manufacturer. Although that manufacturer sells directly and via resellers, time constraints associated with project deadlines did not allow time to conduct a competitive bidding event, and was ordered direct from the manufacturer.   |
| PRESIDIO NETWORKED SOLUTIONS LLC | \$94,645  | UMS    | IT support service required to achieve & maintain performance, reliability, and security of critical on-campus enterprise wide system network environments throughout the institution, which reside within this virtual server environment. State of Maine contract utilized in the past but UMS renewal period does not coincide and we are currently in the "grace period", thus not allowing time for procurement process. This renewal provides coverage through October 2022.                             |
| ENVISTA FORENSICS LLC            | \$88,644  | UMS    | Restoration of equipment damaged in fire. Supplier is vendor of choice with our property insurance carrier, FM Global. Delay would cause additional damage to equipment due to mold, mildew, etc.  |
| NRCCUA                           | \$83,100  | USM    | Purchase of data analysis toolset provided by supplier who currently provides proprietary potential student data used for targeted marketing at USM. Toolset allows USM to combine its own prospective student data with the supplier's data to even more precisely target its marketing efforts, thus increasing yield efficiency. Due to enrollment cycle timing, time does not exist to fully evaluate market alternatives. A competitive process will be initiated if determined to be of long-term value. |

| Supplier Name                | Amount   | Campus | Summary Notes  |
|------------------------------|----------|--------|--|
| ASCEND LEARNING HOLDINGS LLC | \$71,500 | UMFK   | Technology based assessment, testing, and certification solutions for nursing program. Attempts to roll these products under existing 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 allow. Products needed for continuity until an alternative product and bidding event can take place. It was expected for that to happen in FY20 for use in FY21 but due to COVID-19 Sourcing resources had to be redirected to pandemic response.  |
| ASCEND LEARNING HOLDINGS LLC | \$68,553 | 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.   |
| VHB                          | \$65,360 | USM    | Engineering Services to develop Transportation Demand Management Plan/Parking & Traffic Study. Time sensitive to ensure construction is not delayed in building new Residence Hall and Student and Career Center, which would have adverse effect on enrollment. Target completion date for these buildings is Fall 2022 based on university leadership expectations. Data generated as a result of these engineering services requires City of Portland site review before a building permit can be approved. An RFQ process typically takes two-three months; given the aggressive timeframe for completion of the new construction a waiver from the normal RFQ process for design services at this level was provided. |
| TURNITIN LLC                 | \$62,919 | UMS    | Software required for rapid transition to online learning due to pandemic  |
| INTERFACE INC                | \$60,498 | UM     | Grant-funded purchase of a load cell instrument required for ongoing research for the US Army at the Advanced Structures and Composites Center at UM. Time was not available between when the need was identified and the actual use required to maintain the grant-specified timeline to conduct a formal bidding process. Multiple suppliers were contact and quotes obtained - the lowest cost responsive and responsible bidder was selected.  |

| Supplier Name                      | Amount   | Campus | Summary Notes   |
|------------------------------------|----------|--------|---|
| AMERICAN ROOTS WEAR INC            | \$59,400 | UMS    | Purchase of cloth face coverings for all University employees due to pandemic. Purchased from same supplier the State used in its first round of purchases  |
| EXPERIAN                           | \$55,620 | UMS    | FY21 renewal of QAS address validation software critical to enrollment, retention, billing, and other critical revenue streams to UMS. Contract term required any renewals be committed to by May 31. UMS intended to rebid contract but was delayed due to COVID-19 sourcing resources being redirected to pandemic response.  |
| FASTCO CORP                        | \$53,553 | UM     | Emergency repair services for a major malfunction in Boiler 7 at the UM Steam Plant for which immediate repairs were needed in order to preclude a more major system shutdown which would have resulted in loss of heat over a significant portion of the campus.   |
| WELLSPRING WORLDWIDE INC           | \$49,226 | UM     | Purchase and implementation of database solution to manage all commercialization activities for UM. It replaces antiquated in-house Access database designed in 1995. Unforeseen, increased throughput as directed by BOT, Chancellor, and President on commercialization activities has strained the old system. Conducted abbreviated search/review process of five potential solutions (including Wellspring) and determined Wellspring presented the most complete solution at a reasonable cost. Implementation of 5-6 months with transition at new Fiscal Year, thus not allowing time for formal competitive process to take place. |
| DMC PAINTING REMODELING & FLOORING | \$44,981 | UM     | Unanticipated HVAC system failure at the UM Tidewater Learning Center for which the contracted building management company affected emergency repairs.  |
| COMPOSITE DESIGN & DEVELOPMENT LLC | \$40,000 | UM     | Contract with US Army; Advanced materials components for Ground Vehicle Systems Commend. Deliverable deadline are six months. Supplier has unique qualifications and is a known specialist in the area of advanced materials. This supplier will allow us to move forward in the least time with most efficiency.   |
| MOSSY LEDGE SPIRITS LLC            | \$36,580 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |
| MOSSY LEDGE SPIRITS LLC            | \$36,580 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |

| Supplier Name                 | Amount   | Campus | Summary Notes  |
|-------------------------------|----------|--------|--|
| ASCEND LEARNING HOLDINGS LLC  | \$36,000 | USM    | Licensing of online software system that supports field work of nursing students. RFP for this system is in the works, but has not been completed. It was expected for that to happen in FY20 for use in FY21 but due to COVID-19 sourcing resources had to be redirected to pandemic response.  |
| DIRIGO ARCHITECT ENGINEER LLC | \$34,850 | UMS    | Architectural Engineering topographical survey for USM P3 Dorm/Student Center project. Services were not requested from developer as part of original RFI proposal submission. When known it would be required, inquiries with other limited survey suppliers in area resulted in determining this supplier could provide the services with finished materials in time to not cause a delay in the project. Materials resulting from this purchase will also be used for decommissioning/ demolition activities for this development project.  |
| MARRIOTT BOSTON NEWTON        | \$33,881 | UM     | Catering meeting space for accepted student reception for Boston-area students accepted for admittance to UM. Although a favorable suburban location was chosen (easy access, free parking for participants), a full competitive process was not conducted and will be going forward for similar events.   |
| ACCENTURE LLP                 | \$32,400 | UMS    | Extension of marketing software implementation consulting and training contract in support of Admissions CRM and onboarding graduate admissions. Contract extension to allow no disruption in services until Sourcing resources can be redirected from COVID-19 response.  |
| SPLIT ROCK DISTILLING         | \$29,713 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic  |
| SPLIT ROCK DISTILLING         | \$29,713 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic  |
| TALEND INC                    | \$27,360 | UMS    | The UMS amasses vast quantities of data, both operational and research based. Through an competitively bid contract, UMS has been creating a framework and building expertise in managing data in a data warehouse-type environment allowing for more data-driven decision making and operational improvements. Part of this process requires data extraction and transformation toolsets. To date UMS has utilized a free and open platform, but has now progressed to needing an enterprise-level toolset. Eventually after the critical level of expertise has been developed, an RFP process will be conducted for UMS-wide toolset infrastructure. This purchase is intended to bridge the gap. |

| Supplier Name                  | Amount   | Campus | Summary Notes   |
|--------------------------------|----------|--------|---|
| CBORD GROUP INC                | \$26,010 | UMS    | Existing competitively bid contract was extended to allow time for transition to System wide unified one-card e-commerce solution. Transition will happen during middle of contract extension period in an effort to reduce the impact on students.   |
| NORTHEAST RESTAURANT EQUIP INC | \$25,000 | UM     | Dept. uses two suppliers for repair of equipment. Annual spend unknown up-front. Given fact past two fiscal years have exceeded \$10K department will work with Sourcing to secure long-term contract for FY21.   |
| ATLASSIAN PTY LTD              | \$23,250 | 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.   |
| XWAVE AV LLC                   | \$23,040 | UMS    | Purchase of audio/visual equipment as part of classroom technology upgrade project. University employee misunderstood/misinterpreted University policy and ordered equipment without bidding. Since this was discovered after the equipment had been installed, options for bidding were not available. Department followed up with training and did establish that the prices charged for the equipment were reasonable and consistent with market prices. |
| JSI STORE FIXTURES INC         | \$21,600 | UM     | Purchase of portable hygiene barriers as part of the university's efforts to provide a safe on-campus environment due to the pandemic   |
| HARDSHORE DISTILLING CO        | \$21,216 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |
| WATERMARK INSIGHTS LLC         | \$20,711 | 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         | \$20,400 | 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.  |
| LINE X OF BANGOR               | \$20,000 | UM     | Protective automotive bedliners. Past two fiscal years spend was low at \$550 so FY20 was not anticipated to be large. An unexpected number of vehicles acquired in FY20 needing the liners. Supplier is primary Line-X dealer for industrial/commercial applications. Other dealers cannot offer broad range of applications needed.   |

| Supplier Name                         | Amount   | Campus | Summary Notes   |
|---------------------------------------|----------|--------|---|
| VERITIV OPERATING CO                  | \$19,782 | UM     | Purchase of hand sanitizer as part of the university's efforts to provide a safe on-campus environment due to the pandemic  |
| TRANE                                 | \$19,133 | UM     | Emergency replacement of air conditioner coils to a unit serving several research labs for which the need to get the unit back in service did not allow time to bid. Original equipment manufacturer was selected to replace the coil.  |
| GREENPAGES TECHNOLOGY SOLUTIONS       | \$19,000 | USM    | Database upgrade services to provide for data integration with the University's ERP system for which the cost and complexity was higher than anticipated.   |
| KEVIN F DONOGHUE INSUR ADVISORS INC   | \$19,000 | UMS    | COVID19 response. UMS RM staff concentration on Covid19 response activities, leaving gap in staff to handle the property insurance renewal. Supplier already under contract for same services but shorter term so contract extension needed to ensure this work would continue to be managed effectively.   |
| PINE TREE FOOD EQUIP INC              | \$18,500 | UM     | Services contract for maintenance and repair of Rational brand ovens in the food services function at UM. Anticipated need was exceeded. Will be competitively bid for future needs.  |
| NATIONAL ELEVATOR INSPECTION SVCS INC | \$17,603 | UM     | Work originally scheduled for July, FY21 but were done early to allow extra time to complete repairs and thus manage risk and avoid daily fines of \$50/day/elevator. This contract is moving to competitively bid NCPA contract going forward; department is coordinating with Sourcing to complete that process.  |
| VERITIV OPERATING CO                  | \$17,378 | UM     | Purchase of hand sanitizer as part of the university's efforts to provide a safe on-campus environment due to the pandemic  |
| REDHEAD MEDIA INC                     | \$17,000 | UMA    | Extension to previous services with same supplier to continue digital marketing campaign necessitated by cessation of ground-based recruitment activity due to Covid-19. Were it not for the pandemic crisis we would not invest in this effort at this time of year. Supplier is already running ads under what was intended to be only a 6-week long campaign (PO 1100546381), which we need to extend. |
| HARDSHORE DISTILLING CO               | \$16,800 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |
| DOCUSIGN INC                          | \$15,800 | UMS    | Purchase of electronic signature service to support continuity of business operations when most staff were forced into remote work due to the pandemic  |

| Supplier Name                 | Amount   | Campus | Summary Notes  |
|-------------------------------|----------|--------|--|
| UNIV OF ILLINOIS              | \$15,580 | UM     | Grant-funded proteomics services (large-scale study of proteins). When researchers identified the need, the samples (mice) were of the age that they needed to act swiftly. Contacted other vendors but not able to find one with specialized type of proteomics available from University of Illinois and no time to do more extensive search. Services moved forward prior to completion of approved waiver and we need to process payment for services to date and ongoing.             |
| AROOSTOOK FOAM INSULATION LLC | \$15,000 | UMF    | Multiple leaks have opened in the roof of the UMF Recreation Center, requiring immediate remediation. Roof will need full replacement, however cannot be replaced until next year due to contractor availability and timing with the seasons. Contractor can perform spray silicone sealing work that will stabilize the roof until full replacement can happen.   |
| GLUU INC                      | \$14,999 | UMS    | Extension of licensing of identity management software system utilized to support single sign on of multiple UMS information systems. Extended one year due to sourcing resources being redirected to COVID-19 response.   |
| SCOTT SELL                    | \$14,618 | UM     | Original contract scope was to produce a film about sustainable forest management in collaboration with MS student; film to be owned by UMS and value of contract under threshold for competitive process. Contract amended based on request and funding from USDA to produce an additional film entitled "Penobscot Experimental Forest Video" using many of the same materials for first film and to be owned by USDA. Additional cost resulted in contract exceeding bidding threshold. |
| WISSEN LLC                    | \$13,750 | UMF    | Consulting services for grant writing opportunities. A number of opportunities arose quickly with deadlines for submission and private donations specifically earmarked needed to be used. A previous year's RFP went un-awarded and the need to onboard these services quickly arose.   |
| JOHNSTONE SUPPLY              | \$13,457 | UM     | Replacement of failing refrigeration unit that is a critical component in aquaculture research related to salmon and lobster fisheries. This replacement chiller will match a companion chiller that was replaced by way of a competitive procurement from this same supplier. Because of imminent failure, adequate time to conduct another bidding process is not practical.   |
| PELTON LABS                   | \$13,369 | USM    | Grant-funded consulting services for which staff shortages resulted in unanticipated additional costs that exceeded the bidding threshold and were required in order to complete the community development project.  |

| Supplier Name                | Amount   | Campus | Summary Notes   |
|------------------------------|----------|--------|---|
| SHAW BROS CONSTRUCTION INC   | \$13,188 | USM    | Emergency repair to water main break at USM Woodbury Campus Center.   |
| HARDSHORE DISTILLING CO      | \$12,870 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |
| JANE ANN NISBET              | \$12,500 | UM     | Contracted services for a three-day engagement to assist the University of Maine in preparing for and helping to achieve the strategic goal of UM becoming a Carnegie Class R1 Research Institution. This designation would help to position UM and UMS in a stronger position for faculty recruitment, grant funding, research initiatives and opportunities for students. Provider has successfully transitioned a peer R2 (UM's current designation) institution to an R1. Time is of the essence to move this initiative forward. |
| HAMMOND LUMBER CO            | \$12,444 | UMF    | ADA ramp to public safety building failed and required immediate repair. Local supplier had all materials needed and delivered same day.  |
| MERCIER LANDSCAPING LLC      | \$11,725 | USM    | Dismantle and rebuild 35 feet of existing stonewall. Work originally contracted for under \$10K but unknown structural damage was discovered once work was being done which resulted in final cost exceeding original estimate.   |
| WESTIN GOVERNOR MORRIS       | \$11,620 | UM     | NJ accepted student event held in Morristown NJ. Venue selected based on location and size. Cost expected to be under competitive threshold. Number of attendees increased at last minute resulting in final cost being slightly over the bidding threshold.  |
| SHERATON SABLE OAKS          | \$10,931 | USM    | Original venue (Elks Club) selected via competitive process. Then number of attendees grew to size not able to be accommodated at the Elks Club. Sheraton selected based on size, availability, and willingness to match Elks Club price. Event was to celebrate student athlete academic success.  |
| JSI STORE FIXTURES INC       | \$10,800 | USM    | Purchase of portable hygiene barriers as part of the university's efforts to provide a safe on-campus environment due to the pandemic   |
| STANLEY ELEVATOR CO INC      | \$10,206 | UMA    | Emergency services to repair damaged and frayed elevator cables found during routine inspection.  |
| NORTHERN MAINE DISTILLING CO | \$10,120 | UM     | Purchase of ethanol as part of UM manufacturing of hand sanitizer for the State of Maine's emergency response to the pandemic   |



## 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                        | \$2,221,565 | UM     |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$85,418    | UM     |
| SPRINGER CUSTOMER SVC CTR LLC       | \$74,612    | UM     |
| OCLC INC                            | \$65,000    | USM    |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$59,979    | UM     |
| ELSEVIER INC                        | \$44,703    | UM     |
| AMAZON COM LLC                      | \$32,000    | UM     |
| AMAZON COM LLC                      | \$31,462    | UM     |
| JSTOR                               | \$29,042    | USM    |
| ELSEVIER INC                        | \$25,876    | USM    |
| ELSEVIER INC                        | \$25,369    | USM    |
| OCLC INC                            | \$25,361    | UM     |
| ELSEVIER INC                        | \$22,724    | USM    |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$20,527    | UMM    |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$20,429    | UMFK   |
| TREASURER STATE OF MAINE            | \$20,000    | UM     |
| ELSEVIER INC                        | \$19,343    | UMF    |
| WALDO                               | \$19,017    | UM     |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$17,428    | UM     |
| EBSCO INFO SVCS EBSCO SUBSCRIP SVCS | \$15,330    | UM     |
| JSTOR                               | \$15,318    | UM     |
| OVID TECHNOLOGIES INC               | \$14,683    | UMA    |
| OCLC INC                            | \$14,455    | UM     |
| IBISWORLD INC                       | \$12,319    | USM    |
| CENTER FOR RESEARCH LIBRARIES       | \$11,070    | UM     |

## FY20 CONTRIBUTIONS GREATER THAN \$1,000

| Payee                                 | Amount   | Description  |
|---------------------------------------|----------|--|
| HOCKEY EAST                           | \$93,413 | Annual membership in the Hockey East Athletic Conference for UM  |
| NEW ENGLAND COMMISSION OF HIGHER EDUC | \$88,881 | Annual membership dues for the New England Commission of Higher Education for all seven UMS campuses - Higher Education Accreditation Organization   |
| AMERICA EAST CONFERENCE               | \$75,000 | Annual membership in the America East Athletic Conference for UM; Annual Membership in the America East Academic Consortium  |
| NEW ENGLAND OCEAN CLUSTER             | \$68,500 | 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. |
| EDUCATE MAINE                         | \$56,000 | Sponsorship of Educate Maine's Project Login (\$50,000) and sponsorship of Maine Teacher of the Year Gala and other events (\$6,000)   |
| NEREN INC                             | \$48,326 | 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   |
| NORTH ATLANTIC CONFERENCE             | \$36,000 | Annual membership dues for the North Atlantic (athletic) Conference for UMF and UMPI   |
| CAMPUS COMPACT FOR NH                 | \$35,496 | Grant-funded AmeriCorp VISTA Program cost share contribution   |
| INTERNET2                             | \$34,792 | 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)  |
| COLONIAL ATHLETIC ASSN FOOTBALL       | \$33,750 | Annual membership dues for the Colonial Athletic Association for the UM Football program   |
| ASSN OF PUBLIC & LAND GRANT UNIVS     | \$32,247 | Annual membership dues for the Association of Public & Land Grant Universities for UM  |

| Payee                                   | Amount   | Description   |
|---|----------|---|
| LITTLE EAST CONFERENCE                  | \$26,000 | Annual athletic conference dues for the Little East Conference for USM Athletics  |
| UNIV OF RHODE ISLAND                    | \$25,661 | Grant-funded annual membership dues for the Northeastern Regional Association of State Agricultural Experiment Station Directors operated by University of Rhode Island                 |
| UNIV OF MAINE SCHOOL OF LAW FNDRY       | \$25,000 | Sponsorship of scholarships and fellowships   |
| EDUCAUSE INC                            | \$23,754 | Annual membership dues in EDUCAUSE professional association for IT for all UMS campuses   |
| MAINE & CO                              | \$22,500 | Grant-funded corporate level sponsorship of Maine & Company for UMS and UM  |
| MAINE DEVELOPMENT FNDRY                 | \$22,350 | Annual membership dues for Maine Development Foundation for UMA, UMF, USM and UM;<br>Sponsorship of Leadership Maine  |
| COUNCIL ON SOCIAL WORK EDUC             | \$21,055 | Annual membership dues for the Council on Social Work Education for UM, UMPI and USM.   |
| NC SARA                                 | \$20,000 | Annual membership for the National Council for State Authorization Reciprocity Agreements for all UMS campuses  |
| COUNCIL FOR OPPORTUNITY IN EDU          | \$18,650 | Grant-funded annual membership dues for the Council for Opportunity in Education for UMF, UMFK, UMPI and USM.   |
| QUILT INC                               | \$18,500 | 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 |
| UNITED STATES COLLEGIATE ATHLETIC ASSN  | \$18,000 | Annual membership dues for the United States Collegiate Athletic Association for UMFK, UMM, and UMPI Athletics  |
| ASSN OF AMERICAN LAW SCHOOLS            | \$17,373 | Annual membership in the Association of American Law Schools  |
| AMERICAN ASSN OF STATE COLLEGES & UNIVS | \$15,761 | Annual membership dues for the American Association of State Colleges; Annual Membership in Grants Resource Center  |
| MAINE DISCOVERY MUSEUM                  | \$15,000 | Sponsorship of the 2020 Maine Science Festival for UM and UMS   |
| AAC & U                                 | \$14,225 | Annual membership in the Association of American Colleges and Universities  |

| Payee                                    | Amount   | Description  |
|--|----------|--|
| AMER ASSN OF COLLEGES OF NURSING         | \$13,855 | Annual membership in the American Association of Colleges of Nursing for UMFK and USM  |
| NACUBO                                   | \$12,048 | Annual membership dues for the National Association of College and University Business Officers  |
| SHEEO                                    | \$11,987 | Annual membership in the State Higher Education Executive Officers association   |
| AMERICAN ASSN COLLEGES FOR TEACHER EDUC  | \$11,660 | Annual membership to the American Association of Colleges for Teacher Education for UM and UMF   |
| COUNCIL FOR ADVANCE & SUPPORT OF EDUC    | \$11,235 | Membership dues for the Council for Advancement and Support of Education   |
| MOOK SEA FARMS INC                       | \$10,000 | Grant-funded sponsorship of program development for "Identifying the Cause of 2020 Hatchery Season Larval Production Problems"                 |
| COUNCIL OF PUBLIC LIBERAL ARTS COLLEGES  | \$9,500  | Annual membership dues for the Council of Public Liberal Arts Colleges for UMF   |
| ASSN OF COLLEGIATE SCHOOLS OF ARCHITECT  | \$8,520  | Annual membership in the Association of Collegiate Schools of Architecture   |
| COUNCIL OF GRADUATE SCHOOLS              | \$8,455  | Annual membership dues for the Council of Graduate Schools for UM and USM  |
| NCAA                                     | \$7,800  | Annual membership dues for the National Collegiate Athletic Association for UMF, UM, UMPI and USM.   |
| WICHE                                    | \$7,650  | Annual membership dues for the Western Interstate Commission for Higher Education for their State Authorization Reciprocity Agreement programs |
| CAMPUS COMPACT                           | \$7,550  | Grant-funded National Campus Compact membership dues   |
| SECOND NATURE INC                        | \$7,200  | Annual membership dues for the Presidents' Climate Leadership Commitment through Second Nature for UMA, UMF, UMFK, UM and UMPI.                |
| ASSOCIATION OF UNIV CTRS ON DISABILITIES | \$7,072  | Annual membership for the Association of University Centers on Disabilities  |
| ASSOCIATION OF ASSISTIVE TECH ACT PRGRMS | \$6,694  | Grant-funded annual membership dues for the Association of Assistive Technology Act Programs for UMA   |

| Payee                                    | Amount  | Description   |
|--|---------|---|
| AMERICAN COUNCIL ON EDUCATION            | \$6,030 | Annual membership dues for the American Council on Education for USM  |
| NIWR                                     | \$6,000 | Grant-funded annual membership dues for the National Institutes for Water Resources for UM  |
| SPARTAN SEA FARMS                        | \$6,000 | Grant-funded sponsorship for program development of "Boat modifications and healable longlines to improve efficiency and safety in seaweed harvest"   |
| YANKEE SMALL COLLEGE CONFERENCE          | \$6,000 | Annual membership dues for the Yankee Small College (athletic) Conference for UMA and UMM Athletics   |
| APPA                                     | \$5,819 | Annual membership dues for the APPA: Leadership in Educational Facilities professional association  |
| COMMON APPLICATION INC                   | \$5,775 | Annual membership dues for the Common Application (allows prospective students to use a common application supported by over 750 institutions)  |
| CHINESE & AMERICAN FRIENDSHIP ASSN OF ME | \$5,739 | Grant-funded sponsorship of Chinese New Year and Moon Festival events for USM   |
| CITI PROGRAM A DIVISION OF BRANY         | \$5,650 | Annual subscription for the CITI Program for research ethics and compliance training  |
| 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. |
| SEA GRANT ASSN                           | \$5,500 | Grant-funded membership for the Sea Grant Association   |
| NATIONAL ASSN STUDENT FINANC AID ADMINS  | \$5,475 | Annual membership dues for the National Association of Student Financial Aid Administrators   |
| 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  |
| ASSOCIATION OF GOV BOARDS OF UNIV & COLL | \$5,395 | Annual membership dues for the Association of Governing Boards of Universities and Colleges   |

| Payee                                 | Amount  | Description   |
|---------------------------------------|---------|---|
| AMERICAN SCTY FOR ENGINEERING         | \$5,372 | Annual membership dues for the American Society for Engineering Education   |
| COUNCIL FOR HIGHER EDUC ACCREDITATION | \$5,270 | Annual membership for the Council for Higher Education Accreditation  |
| MASSACHUSETTS HISTORICAL SOCIETY      | \$5,000 | Grant-funded sponsorship of Regional Fellowship Consortium for the Osher Map Library at USM   |
| INDIANA UNIV                          | \$4,900 | Membership for the Research and Education Networking Information Sharing and Analysis Center for UMS  |
| PINE TREE ADMISSION CONSORTIUM        | \$4,800 | Annual membership dues for the Pine Tree Admission Consortium for UMF and UM  |
| ASSOCIATION OF NATL ESTUARY PROGRAMS  | \$4,500 | Grant-funded annual membership dues in the Association of National Estuary Programs   |
| NEW ENGLAND HOCKEY CONFERENCE         | \$4,500 | Annual membership for the New England Hockey Conference (League) for USM  |
| BANGOR REGION CHAMBER OF COMMERCE     | \$4,463 | Annual membership dues and sponsorship for the Bangor Region Chamber of Commerce  |
| COUNCIL ON UNDERGRADUATE RESEARCH     | \$4,410 | Annual membership for the Council on Undergraduate Research   |
| AACRAO                                | \$4,370 | Annual membership dues to the American Association of Collegiate Registrars and Admissions Officers   |
| AAC AND U                             | \$4,220 | Annual membership in the Association of American Colleges and Universities  |
| BOWDOIN COLLEGE                       | \$4,000 | Sponsorship of program development award for "Linking ecological and social resilience in coastal communities"                              |
| DOWNEAST INSTITUTE                    | \$4,000 | Sponsorship of soft shell clam research project   |
| HURRICANE ISLAND FNDTN                | \$4,000 | Grant-funded program development sponsorship for "A tagging study to understand sea scallop growth and movement in the lower Penobscot Bay" |
| MAINE ENGINEERING PROMOTIONAL CNCL    | \$4,000 | Sponsorship of Engineering Week   |
| MAINE STATE CHAMBER OF COMMERCE       | \$3,975 | Annual membership dues for Maine State Chamber of Commerce and sponsorship of Annual Meeting  |
| UNIV OF LAPLAND                       | \$3,905 | Annual membership for University of the Arctic for which the University of Lapland is fiscal agent  |

| Payee                                    | Amount  | Description   |
|--|---------|---|
| CACREP                                   | \$3,875 | Annual membership for the Council for Accreditation of Counseling and Related Educational Programs  |
| UNIQUE VENUES                            | \$3,775 | Annual membership for Unique Venues service for UM Conferences and Institutes department  |
| NATIONAL ASSN OF UNIV FOREST RSRCS PROGS | \$3,721 | Annual membership dues for the National Association of Forest Resources Programs  |
| IACBE                                    | \$3,400 | Annual membership dues for the International Accreditation Council for Business Education for UMFK  |
| UNIV PROFESSIONAL & CONTINUING EDUC ASSN | \$3,400 | Grant-funded annual membership dues for the Northeastern Regional Association of State Agricultural Experiment Station Directors operated by University of Rhode Island                       |
| NATIONAL ASSN OF COLLEGE & UNIV ATTRNYS  | \$3,350 | Annual membership dues for the National Association of College and University Attorneys for UMS   |
| ACADEMYHEALTH                            | \$3,275 | Annual membership dues to AcademyHealth. AcademyHealth is a nonpartisan, nonprofit professional organization dedicated to advancing the fields of health services research and health policy. |
| COMPANSOL                                | \$3,180 | Grant-funded annual membership fees for databases in support of the Upward Bound and TRiO programs  |
| VISIT PORTLAND                           | \$3,168 | Annual membership for Visit Portland for USM  |
| 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                                 |
| AMERICAN BAR ASSN                        | \$3,080 | Annual membership in the American Bar Association   |
| NACDA                                    | \$3,025 | Annual membership dues for the National Association of Collegiate Directors of Athletics for UM and UMF Athletics   |
| NATL NETWORK OF PUBLIC HEALTH INSTS INC  | \$3,000 | Membership in the National Network of Public Health Institutes  |
| NEW ENGLAND COUNCIL INC                  | \$3,000 | Annual membership for the New England Council   |
| NATIONAL LEAGUE FOR NURSING              | \$2,966 | Annual membership dues for the National League for Nursing for UMA and USM  |

| Payee                                    | Amount  | Description  |
|--|---------|--|
| COMMONWEALTH OF MASSACHUSETTS            | \$2,945 | Annual access to the Massachusetts Centralized Clinical Placement System for the UMFK Nursing program                                      |
| NIRSA                                    | \$2,935 | Annual membership dues for the NIRSA: Leaders in Collegiate Recreation (National Intramural-Recreational Sports Association) for UMF, UM   |
| COALITION OF URBAN & METROPOLITAN UNIVS  | \$2,900 | Annual membership in the Coalition of Urban & Metropolitan Universities for USM  |
| NATIONAL ASSN COLLEGE ADMISSION COUNSEL  | \$2,870 | Annual membership dues for the National Association of Admissions Counselors for UMF, UMM, UM, UMPI  |
| COMPUTING RESEARCH ASSN                  | \$2,860 | Annual membership in the Computing Research Association for UM   |
| NAFSA WEB                                | \$2,815 | Annual membership for NAFSA: Association of International Educators  |
| MAINE PUBLIC HEALTH ASSN                 | \$2,780 | Annual membership Dues for the Maine Public Health Association   |
| EASTERN COLLEGE ATHLETIC CONF INC        | \$2,600 | Annual membership dues for the Eastern College Athletic Association for UM Athletics   |
| WATERVILLE COUNTRY CLUB INC              | \$2,540 | Annual membership dues for home course for UMF Golf Team   |
| ASSOCIATION OF SMALL BUSINESS DEV CTR    | \$2,500 | Grant-funded annual membership dues for the Association of Small Business Development Centers for USM                                      |
| BIDDEFORD SACO CHAMBER OF COMMERCE & IND | \$2,500 | Annual membership for the Biddeford Saco Chamber of Commerce and Industry  |
| CREATIVE PORTLAND                        | \$2,500 | Sponsorship of the 2020 Hear Here Concert for USM  |
| MAINE OUTDOOR BRANDS                     | \$2,500 | Grant-funded sponsorship of Maine Outdoor Brands Summit  |
| NATIONAL HISTORY DAY INC                 | \$2,500 | Annual State Fee for the National History Day organization for the Margaret Chase Smith Library UM   |
| OHIO STATE UNIV                          | \$2,500 | Annual membership for the Higher Education Center for Alcohol and Drug Misuse Prevention and Recovery for which Ohio State is fiscal agent |
| ADHA                                     | \$2,405 | Annual membership in the American Dental Hygienists' Association   |



| Payee                                    | Amount  | Description   |
|--|---------|---|
| PORTLAND REGIONAL CHAMBER                | \$2,404 | Annual membership dues for the Portland Regional Chamber for USM  |
| COLLEGE BOARD                            | \$2,400 | Annual memberships for the College Board  |
| NEW ENGLAND DIV III XC TRACK & FIELD ASN | \$2,400 | Annual membership for the New England Division III Cross Country Track and Field Association (League) for UMF, USM and UMPI |
| NASM                                     | \$2,272 | Annual membership in the National Association of Schools of Music for UM and USM  |
| COWORKHERS LLC                           | \$2,250 | Annual membership in co-working space for the USM International Programs  |
| SUGARLOAF MTN CORP                       | \$2,250 | Grant-funded sponsorship of Sugarloaf Charity Summit  |
| 4 DISTINCTIONS LLC                       | \$2,160 | Annual membership in the Colleges of Distinction program for UMPI   |
| MUSKIE FUND FOR LEGAL SVCS               | \$2,100 | Sponsorship of Access to Justice Award  |
| MAINE YOUTH CAMPING FNDDTN               | \$2,054 | Membership dues for the Maine Youth Camping Foundation for UM for the Bryant Pond and Tanglewood 4H Camps                   |
| US TRACK & FIELD CRS CNTRY COACHES ASSN  | \$2,025 | Annual membership dues for the U.S. Track & Field and Cross Country Coaches Association for UM and USM                      |
| ACCED I                                  | \$2,000 | Annual membership in the Association of Collegiate Conference and Events Directors - International                          |
| EQUAL JUSTICE WORKS                      | \$2,000 | Annual membership for the Equal Justice Works for the Maine Law School  |
| GULF OF MAINE RESEARCH INST              | \$2,000 | Sponsorship of the Gulf of Maine 2050 International Symposium   |
| LITERACY VOLUNTEERS OF BANGOR            | \$2,000 | Grant-funded annual sponsorship of the Literacy Tea hosted by the Literacy Volunteers of Bangor for UM                      |
| NE INTERCOLLEGIATE AMATEUR ATHLETIC ASSN | \$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                            |
| AMERICAN ASSN OF LAW LIBRARIES           | \$1,963 | Annual membership dues for the American Association of Law Libraries  |

| Payee                                   | Amount  | Description  |
|---|---------|--|
| NATA                                    | \$1,916 | Annual membership dues for the Network for the Advancement of Patient Blood Management, Hemostasis and Thrombosis for UMF, UMFK, UM, USM |
| HIGHER EDUC USER GROUP INC              | \$1,900 | Annual membership dues for the Higher Education Users Group - a professional association for users of Oracle-based information systems   |
| NATIONAL ASSN OF MARINE LABORATORIES    | \$1,900 | Annual membership for the National Association of Marine Laboratories  |
| COLLEGE OF THE ATLANTIC                 | \$1,890 | Grant-funded program development sponsorship for the "Lobster Gangs of Maine in a Changing Fishery" project                              |
| NASAD                                   | \$1,771 | Annual membership in the National Association of Schools of Art & Design for UM and USM  |
| AMERICAN FOLK FESTIVAL                  | \$1,750 | Celebrate Maine 2019 Sponsorship with the American Folk Festival   |
| ONLINE LEARNING CONSORTIUM INC          | \$1,700 | Membership for the Online Learning Consortium  |
| MITCHELL INST                           | \$1,666 | Shared table sponsorship for Mitchell Institute 2019 Fall Gala for UM and USM  |
| INTERNATIONAL SCTY FOR TECH IN EDUC     | \$1,600 | Annual membership for the International Society for Technology in Education  |
| NATIONAL ORG OF NURSE PRACTITIONER FACS | \$1,595 | Annual membership in the National Organization of Nurse Practitioner Faculties for UM and USM  |
| NACAS                                   | \$1,560 | Annual membership for National Association of College Auxiliary Services   |
| COLBY COLLEGE                           | \$1,550 | Annual membership in the Maine Concussion Management Initiative for UM and UMFK  |
| ASSN OF CHIEF ACADEMIC OFCRS            | \$1,500 | Annual membership in the Association of Chief Academic Officers  |
| AWP                                     | \$1,500 | Annual membership for the Association of Writers & Writing Programs  |
| CBENETWORK                              | \$1,500 | Annual membership for the Competency-Based Education Network   |
| NACDEP                                  | \$1,500 | Annual membership for the National Association of Community Development Extension Professionals  |

| Payee                                 | Amount  | Description   |
|---------------------------------------|---------|---|
| TRUSTEES OF PHILLIPS ACADEMY          | \$1,500 | Membership for the Institute for Recruitment of Teachers for which Phillips is fiscal agent                               |
| KENNEBEC VALLEY CHAMBER               | \$1,444 | Annual membership dues for the Kennebec Valley Chamber of Commerce for UMA  |
| AVIATION ACCREDITATION BOARD INTRNTL  | \$1,420 | Annual membership dues for the Aviation Accreditation Board International for UMA   |
| NATIONAL COLLEGE ACCESS NETWORK       | \$1,410 | Annual membership for National College Access Network   |
| MAINE SUMMER CAMPS                    | \$1,405 | Annual membership in Maine Summer Camps   |
| HIGHER EDUC CONSORTIUM FOR SPE        | \$1,400 | Annual membership for the Higher Education Consortium for Special Education   |
| AMERICAN MATHEMATICAL SCTY            | \$1,356 | Annual membership dues for the American Mathematical Society  |
| CENTRAL LINCOLN COUNTY YMCA           | \$1,352 | Annual membership dues for YMCA memberships for students at the UM Darling Marine Center in Walpole                       |
| MAINE EDUCL OPPORTUNITY ASSN          | \$1,350 | Annual membership dues for the Maine Educational Opportunity Association; Sponsorship of the association's annual meeting |
| NATIONAL STUDENT EXCHANGE INC         | \$1,350 | Annual membership for National Student Exchange   |
| AM SOC BREWING CHEM                   | \$1,319 | Annual membership in the American Society of Brewing Chemists   |
| AASHE                                 | \$1,280 | Annual membership dues to the Association for the Advancement of Sustainability in Higher Education                       |
| NATL ASSOC OF EDUCATIONAL PROCUREMENT | \$1,275 | Membership in the National Association of Educational Procurement   |
| NASH                                  | \$1,261 | Annual membership for National Association of System Heads  |
| CCAS                                  | \$1,260 | Annual membership for the Council of Colleges of Arts and Sciences  |
| AHEAD                                 | \$1,255 | Annual membership in the Association on Higher Education and Disability   |
| UNIV OF NEW ENGLAND                   | \$1,225 | Sponsorship for the Maine Geriatrics Conference   |
| EDWARD T GIGNOUX INN OF COURT         | \$1,200 | Annual membership in the Edward T Gignoux Inn of Court for the Maine Law School   |

| Payee                                    | Amount  | Description  |
|--|---------|--|
| KENNEBEC VALLEY CMNTY ACTION PRGRM       | \$1,200 | Grant-funded sponsorship of mini-grant for Preschool Curriculum Development                                |
| NATL ASSN OF DEANS & DIRECS SCHLS SCL WK | \$1,200 | Annual membership for the National Association of Deans & Directors of Schools of Social Work              |
| NALP                                     | \$1,165 | Annual membership dues for the National Association for Law Placement for the Maine Law School             |
| INTRNATIONAL DISTRICT ENERGY A           | \$1,125 | Annual membership dues for the International District Energy Association for UM                            |
| NASPA STUDENT AFFAIRS ADMINS IN HIGH EDU | \$1,101 | Annual membership dues for NASPA - Student Affairs Administrators in Higher Education for UMA, UM and USM. |
| NATIONAL ASSN OF COLLEGES & EMPLOYERS    | \$1,100 | Annual membership dues for the National Association of Colleges and Employers                              |
| IUFRO                                    | \$1,078 | Annual membership for the International Union of Forest Research Organizations                             |
| MACHIAS BAY AREA CHAMBER OF COMMERCE     | \$1,075 | Annual membership dues for the Machias Bay Area Chamber of Commerce for UMM                                |
| NATIONAL RURAL HEALTH                    | \$1,060 | Grant-funded annual membership for National Rural Health Association                                       |
| NATIONAL ATHLETIC TRAINERS ASSN          | \$1,016 | Annual membership in the National Athletic Trainers Association  |
| NACA                                     | \$1,010 | Annual membership dues for the National Association of Campus Activities for UMM, UM and USM.              |



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# 2019-20

# Completions Report

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Robert Zuercher, UMS Senior Institutional Research & Planning Analyst  
December 17, 2019

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

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## UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT

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### INTRODUCTION

The following report provides summary information on degrees and certificates completed at the University of Maine System for the 2019-20 academic year. The notes below apply to all the tables and charts contained within this report, unless otherwise noted:

1. The current report follows the classification standards outlined by the National Center for Education Statistics (IPEDS).
2. The 2019-20 reporting period includes degrees and certificates completed between July 1, 2019 and June 30, 2020.
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.).

**Data Source:** National Center for Education Statistics (IPEDS) (<https://nces.ed.gov/ipeds/datacenter/>)  
Retrieved December 3, 2020

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**


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**HIGHLIGHTS**

- The University of Maine System (UMS) conferred 5,564 degrees and certificates in 2019-20. In the last decade, the UMS conferred a total of 55,982 degrees and certificates.
- UM conferred 2,335 degrees and certificates in 2019-20, or 42.0% of all academic awards. USM conferred 1,709 degrees and certificates, or 30.7% of all degrees and certificates awarded. UMA awarded 587 degrees and certificates (10.5% of all awards). UMF awarded 376 degrees and certificates (6.8% of all awards), while UMFK (246 awards, 4.4% of all awards), UMPI (208 awards, 3.7% of all awards), and UMM (103 awards, 1.9% of all awards) made up the remainder of degrees and certificates awarded.
- UMPI saw an increase of 16.9% in the number of academic awards conferred compared to last year and an increase of 16.2% from 2015-16. UM also saw a substantial increase of awards from last year (11.3%) and from five years ago (9.1%). Both UMA and USM saw slight increases in awards conferred from last year (0.9% and 1.3% respectively) but were substantially down from conferrals in 2015-16 (-16.1% and -9.2% respectively). UMM and UMFK saw declines in conferrals from last year (-5.5% and -4.3% respectively), but both showed increases from 2015-16 (9.6% and 24.9% respectively). Lastly, UMF saw declines in conferrals from last year (-10.9%) and from five years ago (-3.8%). Collectively, the UMS conferred 4.3% more awards compared to last year and was only slightly down (-0.3%) from five years ago.
- The UMS conferred 4,002 degrees at the baccalaureate level (71.9% of all academic awards conferred) in 2019-20, followed by 883 degrees conferred at the Master's level (15.9% of all degrees and certificates). The 343 Certificates awarded comprised 6.2% of all academic awards. Associate's degrees (181, 3.3%), Law degrees (80, 1.4%), and Doctoral degrees (75, 1.3%) made up the remainder of degrees and certificates awarded.
- Certificates increased 18.3% from 290 in 2018-19 to 343 in 2019-20. Compared to five years ago, certificates increased by 30.9%. Associate's degrees conferred increased slightly to 181 from 170 between 2018-19 and 2019-20 – an increase of 6.5%. Relative to 2015-16, Associate's degrees have dropped by 29.3%. Bachelor's degrees conferred increased slightly by 2.1% from 3,920 in 2018-19 to 4,002 in 2019-20. Compared to 2015-16, bachelor's degrees awarded this year showed a slight decline of -1.4%. Master's degrees conferred increased 12.5% from 785 in the previous academic year to 883 in 2019-20. From 2015-16, Master's degrees increased by 5.4%. Doctoral degrees conferred saw a decrease from 79 to 75 – a 5.1% decrease over last year. Compared to 2015-16, Doctoral degrees saw a decline of -9.6%. Law degrees went from 89 degrees conferred last year to 80 – a decrease of -10.1%. From 2015-16, Law degrees decreased by -7.0%.
- Women earned 61.8% of all degrees and certificates conferred in 2019-20. 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 2019-20, 83.3% (4,635) of degrees and certificates were awarded to white students. Additionally, 10.2% (570) of all awards were conferred to racial/ethnic minorities and 2.2% of awards (120) were conferred to non-resident aliens. Lastly, 4.3% of awards (239) were granted to students with unknown race/ethnicity.
- The highest number of degrees and certificates conferred by discipline in 2019-20 was within Health Professions, with 889 awards conferred (16.0% of all academic awards), followed by Business (808 awards conferred or 14.5% of all academic awards) and Education (764 awards or 13.7% of all awards) disciplines.

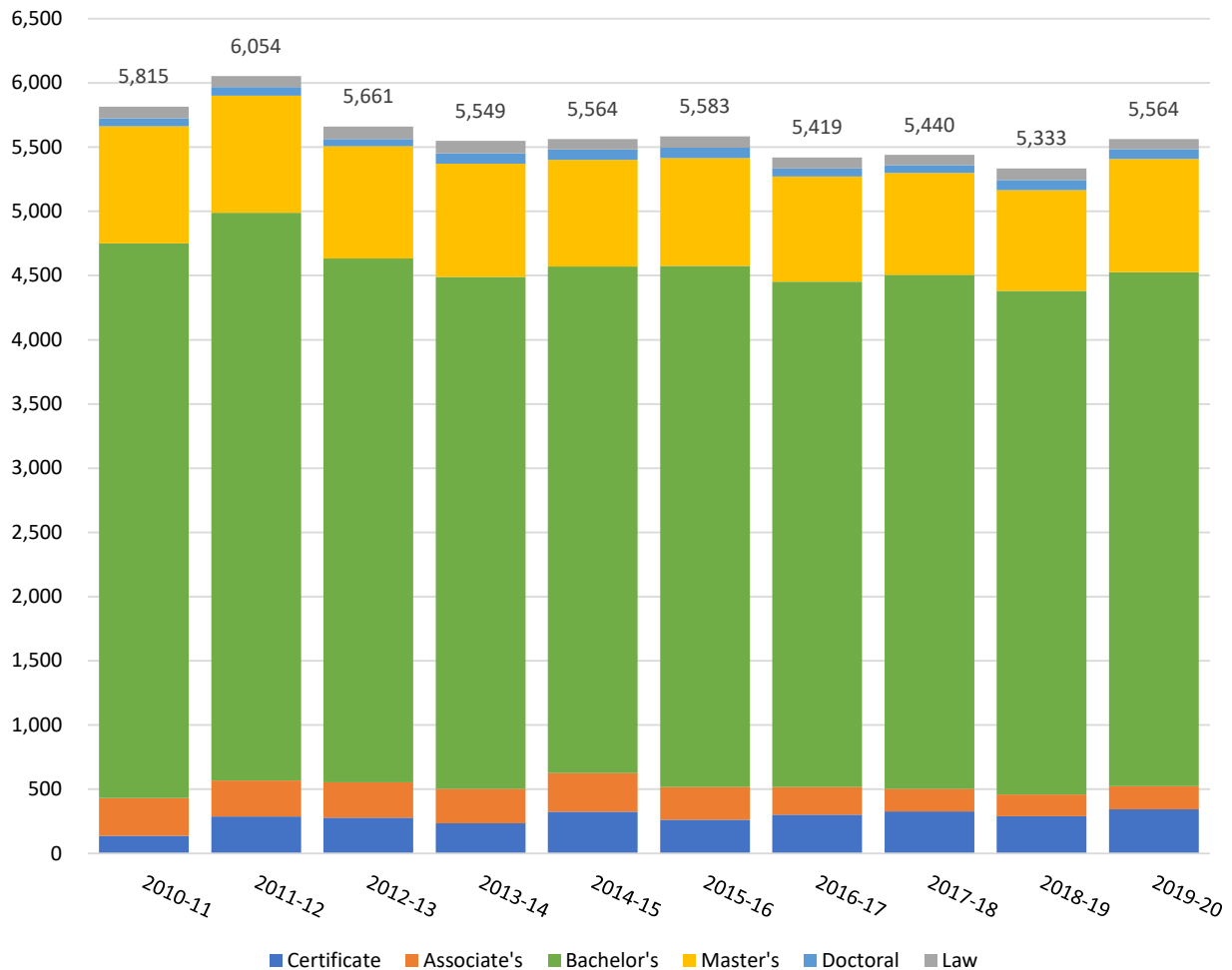


**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

**TOTAL COMPLETIONS BY AWARD LEVEL**

| Year    | Certificate | Associate's | Bachelor's | Master's | Doctoral | Law | Total |
|---------|-------------|-------------|------------|----------|----------|-----|-------|
| 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 |
| 2019-20 | 343         | 181         | 4,002      | 883      | 75       | 80  | 5,564 |

**TOTAL COMPLETIONS BY AWARD LEVEL**

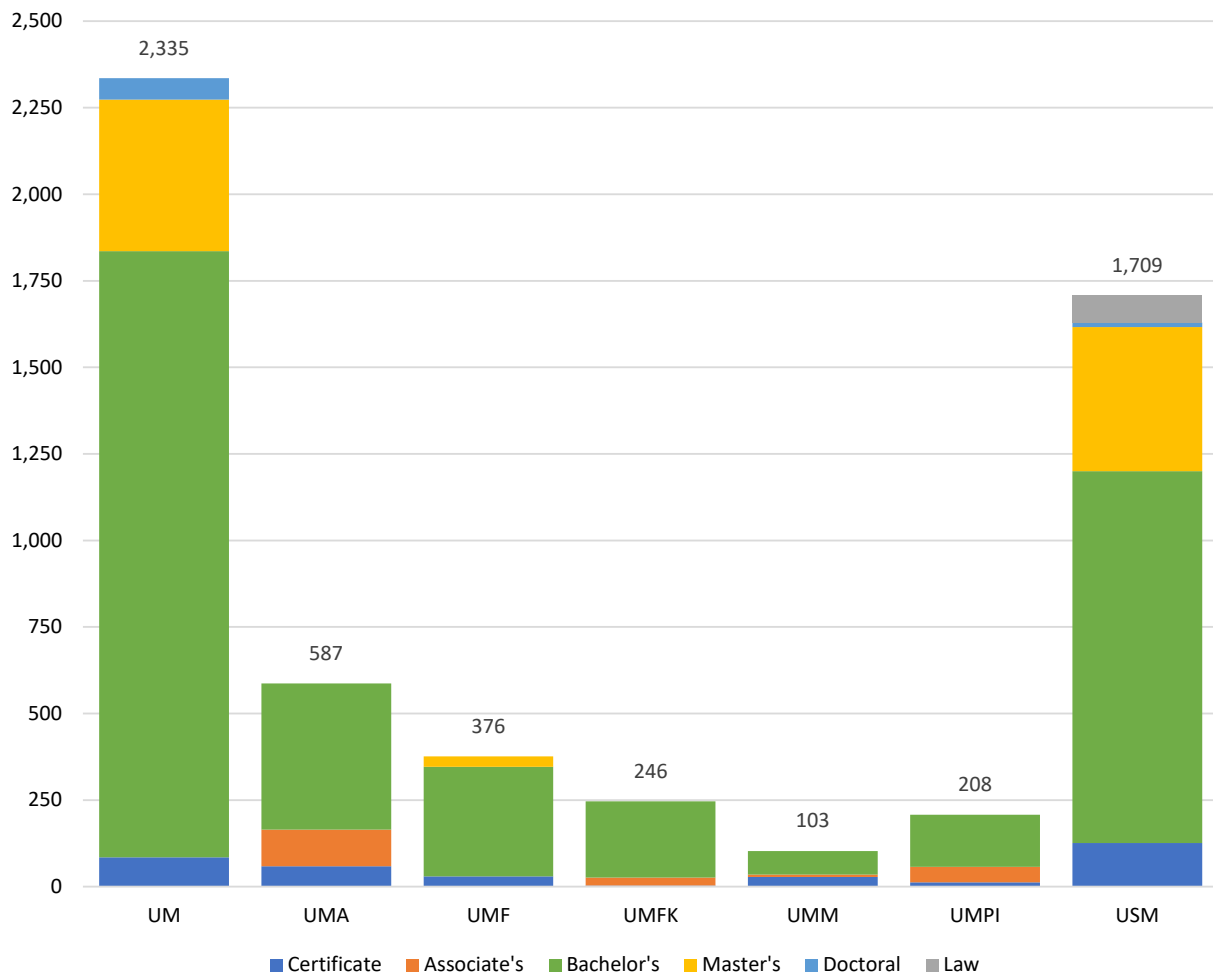


**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

**2019-20 TOTAL COMPLETIONS BY CAMPUS AND AWARD LEVEL**

| Campus       | Certificate | Associate's | Bachelor's   | Master's   | Doctoral  | Law       | Total        |
|--------------|-------------|-------------|--------------|------------|-----------|-----------|--------------|
| <b>UM</b>    | 85          | --          | 1,751        | 437        | 62        | --        | <b>2,335</b> |
| <b>UMA</b>   | 59          | 106         | 422          | --         | --        | --        | <b>587</b>   |
| <b>UMF</b>   | 30          | --          | 316          | 30         | --        | --        | <b>376</b>   |
| <b>UMFK</b>  | 3           | 23          | 220          | --         | --        | --        | <b>246</b>   |
| <b>UMM</b>   | 28          | 7           | 68           | --         | --        | --        | <b>103</b>   |
| <b>UMPI</b>  | 12          | 45          | 151          | --         | --        | --        | <b>208</b>   |
| <b>USM</b>   | 126         | --          | 1,074        | 416        | 13        | 80        | <b>1,709</b> |
| <b>Total</b> | <b>343</b>  | <b>181</b>  | <b>4,002</b> | <b>883</b> | <b>75</b> | <b>80</b> | <b>5,564</b> |

**2019-20 TOTAL COMPLETIONS BY CAMPUS AND AWARD LEVEL**



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**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**


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**CERTIFICATES COMPLETED BY CAMPUS**

| Campus       | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|--------------|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| UM           | 59         | 81         | 90         | 62         | 85         | 24.8%         | 37.1%         | 44.1%         |
| UMA          | 76         | 59         | 63         | 54         | 59         | 17.2%         | 9.3%          | -22.4%        |
| UMF          | 30         | 38         | 27         | 44         | 30         | 8.7%          | -31.8%        | 0.0%          |
| UMFK         | 0          | 0          | 0          | 0          | 3          | 0.9%          | --            | --            |
| UMM          | 7          | 8          | 12         | 23         | 28         | 8.2%          | 21.7%         | 300.0%        |
| UMPI         | 1          | 1          | 1          | 3          | 12         | 3.5%          | 300.0%        | 1100.0%       |
| USM          | 89         | 114        | 134        | 104        | 126        | 36.7%         | 21.2%         | 41.6%         |
| <b>Total</b> | <b>262</b> | <b>301</b> | <b>327</b> | <b>290</b> | <b>343</b> | <b>100.0%</b> | <b>18.3%</b>  | <b>30.9%</b>  |

**ASSOCIATE'S DEGREES COMPLETED BY CAMPUS**

| Campus       | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|--------------|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| UMA          | 193        | 154        | 121        | 114        | 106        | 58.6%         | -7.0%         | -45.1%        |
| UMFK         | 29         | 29         | 24         | 16         | 23         | 12.7%         | 43.8%         | -20.7%        |
| UMM          | 9          | 9          | 7          | 12         | 7          | 3.9%          | -41.7%        | -22.2%        |
| UMPI         | 24         | 24         | 25         | 28         | 45         | 24.9%         | 60.7%         | 87.5%         |
| USM          | 1          | 1          | 0          | 0          | 0          | 0.0%          | --            | -100.0%       |
| <b>Total</b> | <b>256</b> | <b>217</b> | <b>177</b> | <b>170</b> | <b>181</b> | <b>100.0%</b> | <b>6.5%</b>   | <b>-29.3%</b> |

**BACHELOR'S DEGREES COMPLETED BY CAMPUS**

| Campus       | 2015-16      | 2016-17      | 2017-18      | 2018-19      | 2019-20      | % of Total    | 1-year Change | 5-year Change |
|--------------|--------------|--------------|--------------|--------------|--------------|---------------|---------------|---------------|
| UM           | 1,660        | 1,681        | 1,760        | 1,614        | 1,751        | 43.8%         | 8.5%          | 5.5%          |
| UMA          | 431          | 419          | 416          | 414          | 422          | 10.5%         | 1.9%          | -2.1%         |
| UMF          | 349          | 338          | 357          | 355          | 316          | 7.9%          | -11.0%        | -9.5%         |
| UMFK         | 168          | 210          | 193          | 241          | 220          | 5.5%          | -8.7%         | 31.0%         |
| UMM          | 78           | 76           | 72           | 74           | 68           | 1.7%          | -8.1%         | -12.8%        |
| UMPI         | 154          | 125          | 124          | 147          | 151          | 3.8%          | 2.7%          | -1.9%         |
| USM          | 1,218        | 1,086        | 1,079        | 1,075        | 1,074        | 26.8%         | -0.1%         | -11.8%        |
| <b>Total</b> | <b>4,058</b> | <b>3,935</b> | <b>4,001</b> | <b>3,920</b> | <b>4,002</b> | <b>100.0%</b> | <b>2.1%</b>   | <b>-1.4%</b>  |

**MASTER'S DEGREES COMPLETED BY CAMPUS**

| Campus       | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|--------------|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| UM           | 361        | 371        | 375        | 353        | 437        | 49.5%         | 23.8%         | 21.1%         |
| UMF          | 12         | 26         | 32         | 23         | 30         | 3.4%          | 30.4%         | 150.0%        |
| USM          | 465        | 421        | 387        | 409        | 416        | 47.1%         | 1.7%          | -10.5%        |
| <b>Total</b> | <b>838</b> | <b>818</b> | <b>794</b> | <b>785</b> | <b>883</b> | <b>100.0%</b> | <b>12.5%</b>  | <b>5.4%</b>   |

**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

**DOCOTRAL DEGREES COMPLETED BY CAMPUS**

| Campus       | 2015-16   | 2016-17   | 2017-18   | 2018-19   | 2019-20   | % of Total    | 1-year Change | 5-year Change |
|--------------|-----------|-----------|-----------|-----------|-----------|---------------|---------------|---------------|
| <b>UM</b>    | 60        | 58        | 55        | 69        | 62        | 82.7%         | -10.1%        | 3.3%          |
| <b>USM</b>   | 23        | 5         | 5         | 10        | 13        | 17.3%         | 30.0%         | -43.5%        |
| <b>Total</b> | <b>83</b> | <b>63</b> | <b>60</b> | <b>79</b> | <b>75</b> | <b>100.0%</b> | <b>-5.1%</b>  | <b>-9.6%</b>  |

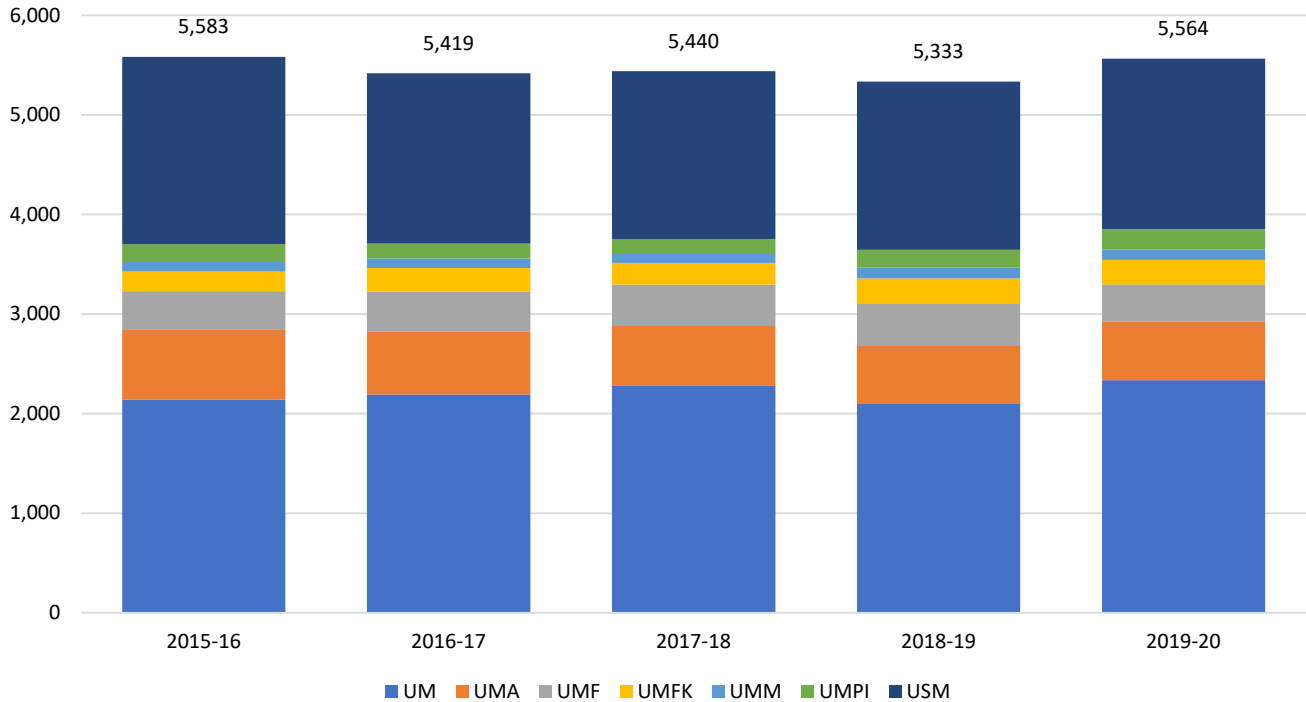
**LAW DEGREES COMPLETED BY CAMPUS**

| Campus     | 2015-16   | 2016-17   | 2017-18   | 2018-19   | 2019-20   | % of Total    | 1-year Change | 5-year Change |
|------------|-----------|-----------|-----------|-----------|-----------|---------------|---------------|---------------|
| <b>USM</b> | <b>86</b> | <b>85</b> | <b>81</b> | <b>89</b> | <b>80</b> | <b>100.0%</b> | <b>-10.1%</b> | <b>-7.0%</b>  |

**TOTAL COMPLETIONS BY CAMPUS**

| Campus       | 2015-16      | 2016-17      | 2017-18      | 2018-19      | 2019-20      | % of Total    | 1-year Change | 5-year Change |
|--------------|--------------|--------------|--------------|--------------|--------------|---------------|---------------|---------------|
| <b>UM</b>    | 2,140        | 2,191        | 2,280        | 2,098        | 2,335        | 42.0%         | 11.3%         | 9.1%          |
| <b>UMA</b>   | 700          | 632          | 600          | 582          | 587          | 10.5%         | 0.9%          | -16.1%        |
| <b>UMF</b>   | 391          | 402          | 416          | 422          | 376          | 6.8%          | -10.9%        | -3.8%         |
| <b>UMFK</b>  | 197          | 239          | 217          | 257          | 246          | 4.4%          | -4.3%         | 24.9%         |
| <b>UMM</b>   | 94           | 93           | 91           | 109          | 103          | 1.9%          | -5.5%         | 9.6%          |
| <b>UMPI</b>  | 179          | 150          | 150          | 178          | 208          | 3.7%          | 16.9%         | 16.2%         |
| <b>USM</b>   | 1,882        | 1,712        | 1,686        | 1,687        | 1,709        | 30.7%         | 1.3%          | -9.2%         |
| <b>Total</b> | <b>5,583</b> | <b>5,419</b> | <b>5,440</b> | <b>5,333</b> | <b>5,564</b> | <b>100.0%</b> | <b>4.3%</b>   | <b>-0.3%</b>  |

**TOTAL COMPLETIONS BY CAMPUS**

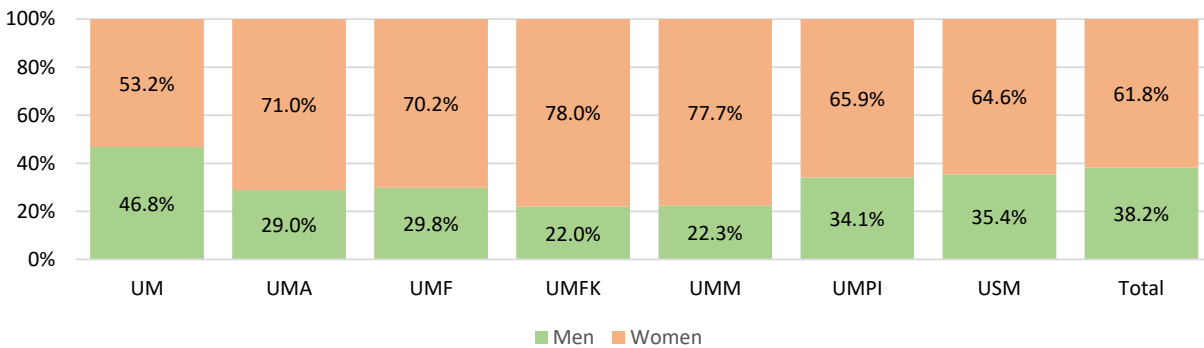


**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

**2019-20 TOTAL COMPLETIONS BY CAMPUS AND GENDER**

| Campus       | Men          | Women        | Total        | Campus       | Men          | Women        | Total         |
|--------------|--------------|--------------|--------------|--------------|--------------|--------------|---------------|
| UM           | 1,092        | 1,243        | <b>2,335</b> | UM           | 46.8%        | 53.2%        | <b>100.0%</b> |
| UMA          | 170          | 417          | <b>587</b>   | UMA          | 29.0%        | 71.0%        | <b>100.0%</b> |
| UMF          | 112          | 264          | <b>376</b>   | UMF          | 29.8%        | 70.2%        | <b>100.0%</b> |
| UMFK         | 54           | 192          | <b>246</b>   | UMFK         | 22.0%        | 78.0%        | <b>100.0%</b> |
| UMM          | 23           | 80           | <b>103</b>   | UMM          | 22.3%        | 77.7%        | <b>100.0%</b> |
| UMPI         | 71           | 137          | <b>208</b>   | UMPI         | 34.1%        | 65.9%        | <b>100.0%</b> |
| USM          | 605          | 1,104        | <b>1,709</b> | USM          | 35.4%        | 64.6%        | <b>100.0%</b> |
| <b>Total</b> | <b>2,127</b> | <b>3,437</b> | <b>5,564</b> | <b>Total</b> | <b>38.2%</b> | <b>61.8%</b> | <b>100.0%</b> |

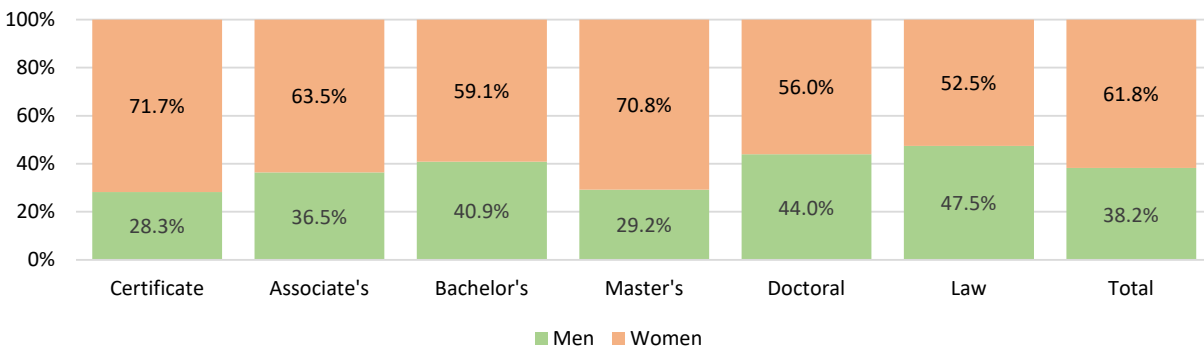
**2019-20 TOTAL COMPLETIONS BY CAMPUS AND GENDER**



**2019-20 TOTAL COMPLETIONS BY AWARD LEVEL AND GENDER**

| Award Level  | Men          | Women        | Total        | Award Level  | Men          | Women        | Total         |
|--------------|--------------|--------------|--------------|--------------|--------------|--------------|---------------|
| Certificate  | 97           | 246          | <b>343</b>   | Certificate  | 28.3%        | 71.7%        | <b>100.0%</b> |
| Associate's  | 66           | 115          | <b>181</b>   | Associate's  | 36.5%        | 63.5%        | <b>100.0%</b> |
| Bachelor's   | 1,635        | 2,367        | <b>4,002</b> | Bachelor's   | 40.9%        | 59.1%        | <b>100.0%</b> |
| Master's     | 258          | 625          | <b>883</b>   | Master's     | 29.2%        | 70.8%        | <b>100.0%</b> |
| Doctoral     | 33           | 42           | <b>75</b>    | Doctoral     | 44.0%        | 56.0%        | <b>100.0%</b> |
| Law          | 38           | 42           | <b>80</b>    | Law          | 47.5%        | 52.5%        | <b>100.0%</b> |
| <b>Total</b> | <b>2,127</b> | <b>3,437</b> | <b>5,564</b> | <b>Total</b> | <b>38.2%</b> | <b>61.8%</b> | <b>100.0%</b> |

**2019-20 TOTAL COMPLETIONS BY AWARD LEVEL AND GENDER**



**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**
**2019-20 TOTAL 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        |
|--------------|----------------------------------|-----------|---------------------------|--------------------|---|--------------|-------------------|-------------------|------------|--------------|
| <b>UM</b>    | 31                               | 37        | 27                        | 60                 | 0   | 1,935        | 59                | 78                | 108        | <b>2,335</b> |
| <b>UMA</b>   | 10                               | 4         | 10                        | 11                 | 1   | 497          | 22                | 0                 | 32         | <b>587</b>   |
| <b>UMF</b>   | 3                                | 4         | 10                        | 6                  | 1   | 337          | 0                 | 0                 | 15         | <b>376</b>   |
| <b>UMFK</b>  | 1                                | 2         | 9                         | 5                  | 0   | 205          | 9                 | 9                 | 6          | <b>246</b>   |
| <b>UMM</b>   | 3                                | 2         | 1                         | 6                  | 0   | 86           | 2                 | 1                 | 2          | <b>103</b>   |
| <b>UMPI</b>  | 6                                | 1         | 7                         | 2                  | 0   | 172          | 2                 | 12                | 6          | <b>208</b>   |
| <b>USM</b>   | 14                               | 34        | 77                        | 39                 | 3   | 1,403        | 49                | 20                | 70         | <b>1,709</b> |
| <b>Total</b> | <b>68</b>                        | <b>84</b> | <b>141</b>                | <b>129</b>         | <b>5</b>                                  | <b>4,635</b> | <b>143</b>        | <b>120</b>        | <b>239</b> | <b>5,564</b> |

**2019-20 TOTAL 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         |
|--------------|----------------------------------|-------------|---------------------------|--------------------|---|--------------|-------------------|-------------------|-------------|---------------|
| <b>UM</b>    | 1.3%                             | 1.6%        | 1.2%                      | 2.6%               | 0.0%                                      | 82.9%        | 2.5%              | 3.3%              | 4.6%        | <b>100.0%</b> |
| <b>UMA</b>   | 1.7%                             | 0.7%        | 1.7%                      | 1.9%               | 0.2%                                      | 84.7%        | 3.7%              | 0.0%              | 5.5%        | <b>100.0%</b> |
| <b>UMF</b>   | 0.8%                             | 1.1%        | 2.7%                      | 1.6%               | 0.3%                                      | 89.6%        | 0.0%              | 0.0%              | 4.0%        | <b>100.0%</b> |
| <b>UMFK</b>  | 0.4%                             | 0.8%        | 3.7%                      | 2.0%               | 0.0%                                      | 83.3%        | 3.7%              | 3.7%              | 2.4%        | <b>100.0%</b> |
| <b>UMM</b>   | 2.9%                             | 1.9%        | 1.0%                      | 5.8%               | 0.0%                                      | 83.5%        | 1.9%              | 1.0%              | 1.9%        | <b>100.0%</b> |
| <b>UMPI</b>  | 2.9%                             | 0.5%        | 3.4%                      | 1.0%               | 0.0%                                      | 82.7%        | 1.0%              | 5.8%              | 2.9%        | <b>100.0%</b> |
| <b>USM</b>   | 0.8%                             | 2.0%        | 4.5%                      | 2.3%               | 0.2%                                      | 82.1%        | 2.9%              | 1.2%              | 4.1%        | <b>100.0%</b> |
| <b>Total</b> | <b>1.2%</b>                      | <b>1.5%</b> | <b>2.5%</b>               | <b>2.3%</b>        | <b>0.1%</b>                               | <b>83.3%</b> | <b>2.6%</b>       | <b>2.2%</b>       | <b>4.3%</b> | <b>100.0%</b> |

**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**
**2019-20 TOTAL COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY (#)**

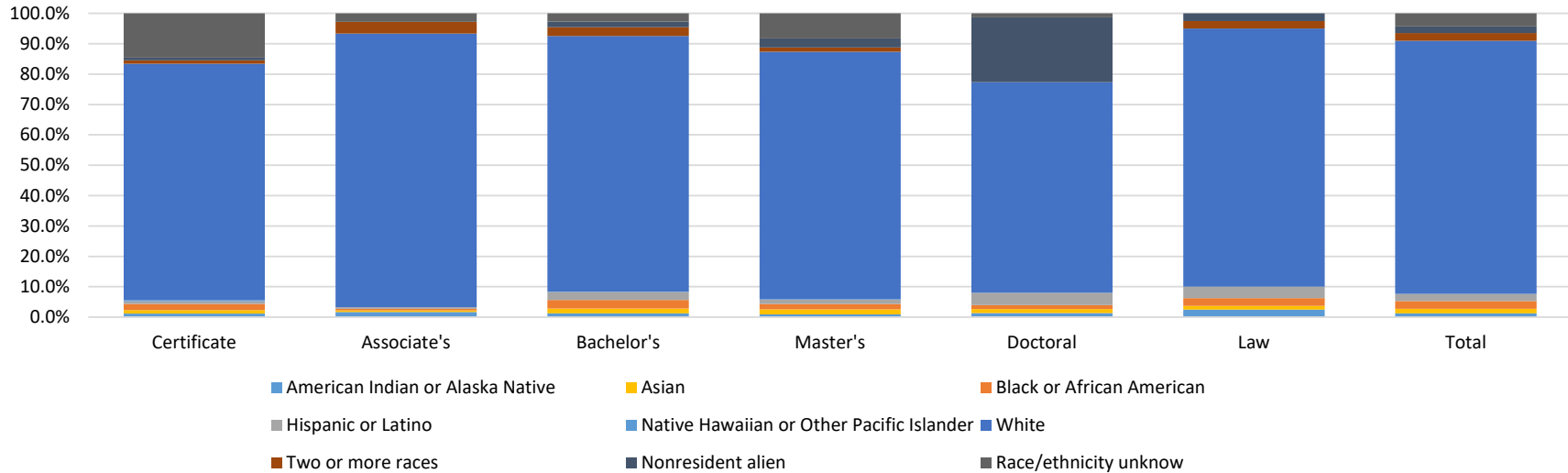
| Award Level        | American Indian or Alaska Native | Asian     | Black or African American | Hispanic or Latino | Native Hawaiian or Other Pacific Islander | White        | Two or More Races | Nonresident Alien | Unknown    | Total        |
|--------------------|----------------------------------|-----------|---------------------------|--------------------|---|--------------|-------------------|-------------------|------------|--------------|
| <b>Certificate</b> | 4                                | 4         | 7                         | 3                  | 1   | 267          | 4                 | 3                 | 50         | <b>343</b>   |
| <b>Associate's</b> | 3                                | 1         | 1                         | 1                  | 0   | 163          | 7                 | 0                 | 5          | <b>181</b>   |
| <b>Bachelor's</b>  | 50                               | 62        | 115                       | 106                | 3   | 3,366        | 117               | 73                | 110        | <b>4,002</b> |
| <b>Master's</b>    | 8                                | 15        | 15                        | 13                 | 1   | 719          | 13                | 26                | 73         | <b>883</b>   |
| <b>Doctoral</b>    | 1                                | 1         | 1                         | 3                  | 0   | 52           | 0                 | 16                | 1          | <b>75</b>    |
| <b>Law</b>         | 2                                | 1         | 2                         | 3                  | 0   | 68           | 2                 | 2                 | 0          | <b>80</b>    |
| <b>Total</b>       | <b>68</b>                        | <b>84</b> | <b>141</b>                | <b>129</b>         | <b>5</b>                                  | <b>4,635</b> | <b>143</b>        | <b>120</b>        | <b>239</b> | <b>5,564</b> |

**2019-20 TOTAL COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY (%)**

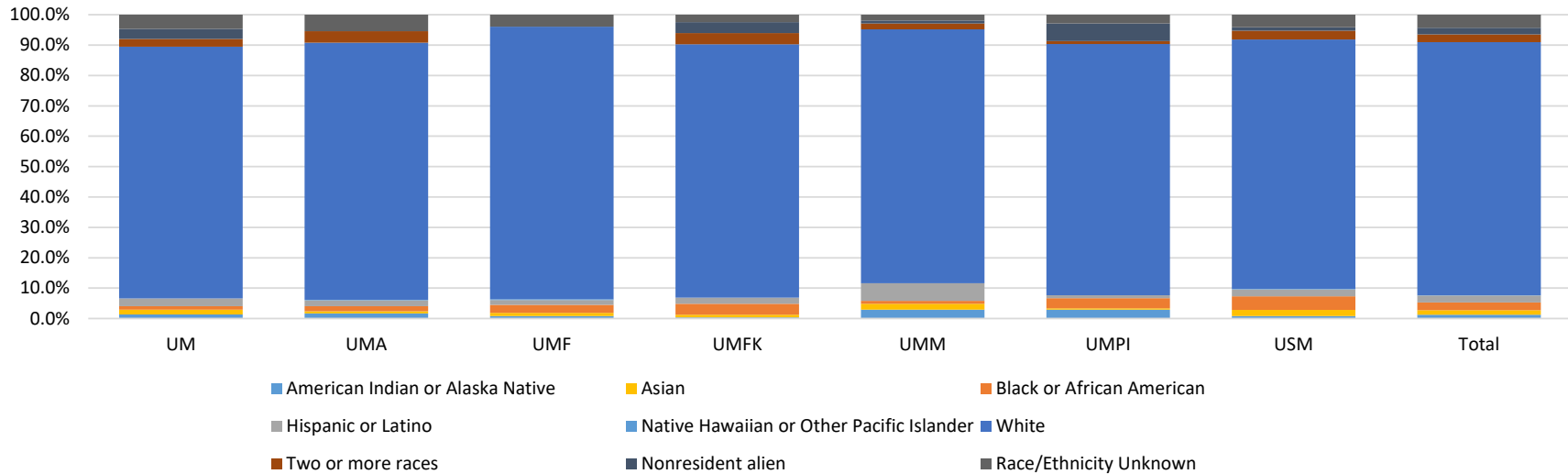
| Award Level        | American Indian or Alaska Native | Asian       | Black or African American | Hispanic or Latino | Native Hawaiian or Other Pacific Islander | White        | Two or More Races | Nonresident Alien | Unknown     | Total         |
|--------------------|----------------------------------|-------------|---------------------------|--------------------|---|--------------|-------------------|-------------------|-------------|---------------|
| <b>Certificate</b> | 1.2%                             | 1.2%        | 2.0%                      | 0.9%               | 0.3%                                      | 77.8%        | 1.2%              | 0.9%              | 14.6%       | <b>100.0%</b> |
| <b>Associate's</b> | 1.7%                             | 0.6%        | 0.6%                      | 0.6%               | 0.0%                                      | 90.1%        | 3.9%              | 0.0%              | 2.8%        | <b>100.0%</b> |
| <b>Bachelor's</b>  | 1.2%                             | 1.5%        | 2.9%                      | 2.6%               | 0.1%                                      | 84.1%        | 2.9%              | 1.8%              | 2.7%        | <b>100.0%</b> |
| <b>Master's</b>    | 0.9%                             | 1.7%        | 1.7%                      | 1.5%               | 0.1%                                      | 81.4%        | 1.5%              | 2.9%              | 8.3%        | <b>100.0%</b> |
| <b>Doctoral</b>    | 1.3%                             | 1.3%        | 1.3%                      | 4.0%               | 0.0%                                      | 69.3%        | 0.0%              | 21.3%             | 1.3%        | <b>100.0%</b> |
| <b>Law</b>         | 2.5%                             | 1.3%        | 2.5%                      | 3.8%               | 0.0%                                      | 85.0%        | 2.5%              | 2.5%              | 0.0%        | <b>100.0%</b> |
| <b>Total</b>       | <b>1.2%</b>                      | <b>1.5%</b> | <b>2.5%</b>               | <b>2.3%</b>        | <b>0.1%</b>                               | <b>83.3%</b> | <b>2.6%</b>       | <b>2.2%</b>       | <b>4.3%</b> | <b>100.0%</b> |

**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**

**2019-20 TOTAL COMPLETIONS BY AWARD LEVEL AND RACE/ETHNICITY**



**2019-20 TOTAL COMPLETIONS BY CAMPUS AND RACE/ETHNICITY**





## UNIVERSITY OF MAINE SYSTEM – 2018-19 COMPLETIONS REPORT

### CERTIFICATES COMPLETED BY DISCIPLINE

| Discipline  | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|---|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields                   | 2          | 0          | 0          | 0          | 1          | 0.3%          | --            | -50.0%        |
| Architecture and Related Services   | 1          | 1          | 0          | 0          | 0          | 0.0%          | --            | -100.0%       |
| Area, Ethnic, Cultural, Gender, and Group Studies                                 | 0          | 1          | 7          | 5          | 0          | 0.0%          | -100.0%       | --            |
| Biological and Biomedical Sciences  | 0          | 1          | 0          | 0          | 0          | 0.0%          | --            | --            |
| Business, Management, Marketing, and Related Support Services                     | 21         | 30         | 32         | 25         | 60         | 17.5%         | 140.0%        | 185.7%        |
| Communication, Journalism, and Related Programs                                   | 6          | 5          | 2          | 4          | 0          | 0.0%          | -100.0%       | -100.0%       |
| Computer and Information Sciences and Support Services                            | 3          | 3          | 4          | 1          | 19         | 5.5%          | 1800.0%       | 533.3%        |
| Education   | 94         | 132        | 147        | 124        | 129        | 37.6%         | 4.0%          | 37.2%         |
| Engineering   | 4          | 7          | 3          | 5          | 7          | 2.0%          | 40.0%         | 75.0%         |
| Engineering Technologies and Engineering-Related Fields                           | 1          | 0          | 1          | 0          | 0          | 0.0%          | --            | -100.0%       |
| English Language and Literature/Letters   | 0          | 1          | 1          | 2          | 0          | 0.0%          | -100.0%       | --            |
| Family and Consumer Sciences/Human Sciences                                       | 3          | 4          | 6          | 5          | 0          | 0.0%          | -100.0%       | -100.0%       |
| Health Professions and Related Programs   | 84         | 79         | 80         | 65         | 39         | 11.4%         | -40.0%        | -53.6%        |
| Homeland Security, Law Enforcement, Firefighting, and Related Protective Services | 0          | 0          | 1          | 0          | 4          | 1.2%          | --            | --            |
| Legal Professions and Studies   | 0          | 4          | 4          | 4          | 15         | 4.4%          | 275.0%        | --            |
| Liberal Arts and Sciences, General Studies and Humanities                         | 0          | 0          | 0          | 3          | 4          | 1.2%          | 33.3%         | --            |
| Library Science   | 0          | 0          | 0          | 0          | 6          | 1.7%          | --            | --            |
| Mathematics and Statistics  | 0          | 0          | 1          | 1          | 0          | 0.0%          | -100.0%       | --            |
| Multi/Interdisciplinary Studies   | 12         | 9          | 12         | 14         | 7          | 2.0%          | -50.0%        | -41.7%        |
| Natural Resources and Conservation  | 3          | 4          | 2          | 2          | 10         | 2.9%          | 400.0%        | 233.3%        |
| Physical Sciences   | 0          | 0          | 3          | 0          | 4          | 1.2%          | --            | --            |
| Psychology  | 7          | 7          | 10         | 14         | 19         | 5.5%          | 35.7%         | 171.4%        |
| Public Administration and Social Service Professions                              | 7          | 1          | 4          | 3          | 3          | 0.9%          | 0.0%          | -57.1%        |
| Science Technologies/Technicians  | 0          | 0          | 0          | 0          | 1          | 0.3%          | --            | --            |
| Social Sciences   | 14         | 11         | 7          | 13         | 14         | 4.1%          | 7.7%          | 0.0%          |
| Visual and Performing Arts  | 0          | 1          | 0          | 0          | 1          | 0.3%          | --            | --            |
| <b>Total</b>  | <b>262</b> | <b>301</b> | <b>327</b> | <b>290</b> | <b>343</b> | <b>100.0%</b> | <b>18.3%</b>  | <b>30.9%</b>  |

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT**


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**ASSOCIATE'S DEGREES COMPLETED BY DISCIPLINE**

| Discipline  | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|---|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields                   | 0          | 0          | 0          | 0          | 2          | 1.1%          | --            | --            |
| Business, Management, Marketing, and Related Support Services                     | 30         | 26         | 22         | 21         | 24         | 13.3%         | 14.3%         | -20.0%        |
| Computer and Information Sciences and Support Services                            | 10         | 9          | 3          | 4          | 6          | 3.3%          | 50.0%         | -40.0%        |
| Health Professions and Related Programs   | 122        | 85         | 75         | 41         | 69         | 38.1%         | 68.3%         | -43.4%        |
| Homeland Security, Law Enforcement, Firefighting, and Related Protective Services | 27         | 33         | 24         | 21         | 30         | 16.6%         | 42.9%         | 11.1%         |
| Liberal Arts and Sciences, General Studies and Humanities                         | 45         | 49         | 41         | 72         | 41         | 22.7%         | -43.1%        | -8.9%         |
| Library Science   | 6          | 4          | 5          | 1          | 1          | 0.6%          | 0.0%          | -83.3%        |
| Multi/Interdisciplinary Studies   | 1          | 1          | 0          | 0          | 0          | 0.0%          | --            | -100.0%       |
| Natural Resources and Conservation  | 13         | 8          | 4          | 5          | 5          | 2.8%          | 0.0%          | -61.5%        |
| Public Administration and Social Service Professions                              | 0          | 1          | 2          | 3          | 2          | 1.1%          | -33.3%        | --            |
| Social Sciences   | 0          | 1          | 0          | 1          | 0          | 0.0%          | -100.0%       | --            |
| Visual and Performing Arts  | 2          | 0          | 1          | 1          | 1          | 0.6%          | 0.0%          | -50.0%        |
| <b>Total</b>  | <b>256</b> | <b>217</b> | <b>177</b> | <b>170</b> | <b>181</b> | <b>100.0%</b> | <b>6.5%</b>   | <b>-29.3%</b> |

## UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT

### BACHELOR'S DEGREES COMPLETED BY DISCIPLINE

| Discipline  | 2015-16      | 2016-17      | 2017-18      | 2018-19      | 2019-20      | % of Total    | 1-year Change | 5-year Change |
|---|--------------|--------------|--------------|--------------|--------------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields                         | 98           | 87           | 67           | 66           | 57           | 1.4%          | -13.6%        | -41.8%        |
| Architecture and Related Services   | 5            | 6            | 5            | 2            | 8            | 0.2%          | 300.0%        | 60.0%         |
| Area, Ethnic, Cultural, Gender, and Group Studies                                       | 6            | 3            | 9            | 12           | 8            | 0.2%          | -33.3%        | 33.3%         |
| Biological and Biomedical Sciences  | 204          | 198          | 215          | 202          | 185          | 4.6%          | -8.4%         | -9.3%         |
| Business, Management, Marketing, and Related Support Services                           | 604          | 607          | 620          | 610          | 646          | 16.1%         | 5.9%          | 7.0%          |
| Communication, Journalism, and Related Programs   | 143          | 130          | 132          | 144          | 139          | 3.5%          | -3.5%         | -2.8%         |
| Computer and Information Sciences and Support Services                                  | 66           | 70           | 90           | 92           | 96           | 2.4%          | 4.3%          | 45.5%         |
| Education   | 309          | 349          | 331          | 289          | 300          | 7.5%          | 3.8%          | -2.9%         |
| Engineering   | 308          | 298          | 265          | 277          | 270          | 6.7%          | -2.5%         | -12.3%        |
| Engineering/Engineering-related Technologies/Technicians                                | 154          | 118          | 145          | 110          | 100          | 2.5%          | -9.1%         | -35.1%        |
| English Language and Literature/Letters   | 119          | 103          | 121          | 98           | 89           | 2.2%          | -9.2%         | -25.2%        |
| Family and Consumer Sciences/Human Sciences   | 45           | 47           | 53           | 49           | 67           | 1.7%          | 36.7%         | 48.9%         |
| Foreign Languages, Literatures, and Linguistics   | 22           | 16           | 20           | 19           | 28           | 0.7%          | 47.4%         | 27.3%         |
| Health Professions and Related Programs   | 628          | 629          | 662          | 671          | 667          | 16.7%         | -0.6%         | 6.2%          |
| History   | 53           | 55           | 44           | 55           | 53           | 1.3%          | -3.6%         | 0.0%          |
| Homeland Security, Law Enforcement, Firefighting, and Related Protective Services       | 38           | 36           | 29           | 37           | 29           | 0.7%          | -21.6%        | -23.7%        |
| Liberal Arts and Sciences, General Studies and Humanities                               | 239          | 215          | 223          | 228          | 219          | 5.5%          | -3.9%         | -8.4%         |
| Library Science   | 22           | 20           | 21           | 19           | 18           | 0.4%          | -5.3%         | -18.2%        |
| Mathematics and Statistics  | 28           | 31           | 20           | 23           | 33           | 0.8%          | 43.5%         | 17.9%         |
| Multi/Interdisciplinary Studies   | 58           | 51           | 59           | 54           | 107          | 2.7%          | 98.1%         | 84.5%         |
| Natural Resources and Conservation Parks, Recreation, Leisure, Fitness, and Kinesiology | 101          | 105          | 116          | 136          | 145          | 3.6%          | 6.6%          | 43.6%         |
|   | 31           | 48           | 38           | 37           | 40           | 1.0%          | 8.1%          | 29.0%         |
| Philosophy and Religious Studies  | 12           | 16           | 21           | 12           | 12           | 0.3%          | 0.0%          | 0.0%          |
| Physical Sciences   | 50           | 42           | 45           | 29           | 43           | 1.1%          | 48.3%         | -14.0%        |
| Psychology  | 224          | 217          | 197          | 189          | 200          | 5.0%          | 5.8%          | -10.7%        |
| Public Administration and Social Service Professions                                    | 89           | 102          | 101          | 109          | 92           | 2.3%          | -15.6%        | 3.4%          |
| Social Sciences   | 293          | 242          | 267          | 262          | 277          | 6.9%          | 5.7%          | -5.5%         |
| Transportation and Materials Moving   | 0            | 4            | 1            | 2            | 1            | 0.0%          | -50.0%        | --            |
| Visual and Performing Arts  | 109          | 90           | 84           | 87           | 73           | 1.8%          | -16.1%        | -33.0%        |
| <b>Total</b>  | <b>4,058</b> | <b>3,935</b> | <b>4,001</b> | <b>3,920</b> | <b>4,002</b> | <b>100.0%</b> | <b>2.1%</b>   | <b>-1.4%</b>  |

## UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT

### MASTER'S DEGREES COMPLETED BY DISCIPLINE

| Discipline  | 2015-16    | 2016-17    | 2017-18    | 2018-19    | 2019-20    | % of Total    | 1-year Change | 5-year Change |
|---|------------|------------|------------|------------|------------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields | 14         | 19         | 13         | 23         | 17         | 1.9%          | -26.1%        | 21.4%         |
| Architecture and Related Services                               | 3          | 1          | 1          | 2          | 7          | 0.8%          | 250.0%        | 133.3%        |
| Area, Ethnic, Cultural, Gender, and Group Studies               | 7          | 5          | 2          | 0          | 1          | 0.1%          | --            | -85.7%        |
| Biological and Biomedical Sciences                              | 19         | 13         | 8          | 9          | 17         | 1.9%          | 88.9%         | -10.5%        |
| Business, Management, Marketing, and Related Support Services   | 56         | 51         | 67         | 65         | 78         | 8.8%          | 20.0%         | 39.3%         |
| Communication, Journalism, and Related Programs                 | 7          | 8          | 1          | 6          | 4          | 0.5%          | -33.3%        | -42.9%        |
| Computer and Information Sciences and Support Services          | 9          | 16         | 6          | 3          | 2          | 0.2%          | -33.3%        | -77.8%        |
| Education   | 299        | 324        | 281        | 273        | 330        | 37.4%         | 20.9%         | 10.4%         |
| Engineering   | 37         | 25         | 49         | 30         | 38         | 4.3%          | 26.7%         | 2.7%          |
| English Language and Literature/Letters                         | 63         | 50         | 51         | 49         | 48         | 5.4%          | -2.0%         | -23.8%        |
| Family and Consumer Sciences/Human Sciences                     | 4          | 6          | 4          | 6          | 4          | 0.5%          | -33.3%        | 0.0%          |
| Foreign Languages, Literatures, and Linguistics                 | 0          | 2          | 1          | 2          | 0          | 0.0%          | -100.0%       | --            |
| Health Professions and Related Programs                         | 98         | 112        | 117        | 110        | 113        | 12.8%         | 2.7%          | 15.3%         |
| History   | 2          | 1          | 3          | 5          | 3          | 0.3%          | -40.0%        | 50.0%         |
| Mathematics and Statistics                                      | 10         | 9          | 9          | 9          | 12         | 1.4%          | 33.3%         | 20.0%         |
| Multi/Interdisciplinary Studies                                 | 21         | 24         | 29         | 15         | 24         | 2.7%          | 60.0%         | 14.3%         |
| Natural Resources and Conservation                              | 21         | 22         | 15         | 21         | 21         | 2.4%          | 0.0%          | 0.0%          |
| Physical Sciences   | 12         | 10         | 12         | 13         | 12         | 1.4%          | -7.7%         | 0.0%          |
| Psychology  | 23         | 20         | 9          | 13         | 25         | 2.8%          | 92.3%         | 8.7%          |
| Public Administration and Social Service Professions            | 108        | 81         | 91         | 105        | 111        | 12.6%         | 5.7%          | 2.8%          |
| Social Sciences   | 9          | 10         | 14         | 15         | 8          | 0.9%          | -46.7%        | -11.1%        |
| Visual and Performing Arts                                      | 16         | 9          | 11         | 11         | 8          | 0.9%          | -27.3%        | -50.0%        |
| <b>Total</b>  | <b>838</b> | <b>818</b> | <b>794</b> | <b>785</b> | <b>883</b> | <b>100.0%</b> | <b>12.5%</b>  | <b>5.4%</b>   |

## UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT

### DOCTORAL DEGREES COMPLETED BY DISCIPLINE

| Discipline  | 2015-16   | 2016-17   | 2017-18   | 2018-19   | 2019-20   | % of Total    | 1-year Change | 5-year Change |
|---|-----------|-----------|-----------|-----------|-----------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields | 2         | 0         | 2         | 3         | 3         | 4.0%          | 0.0%          | 50.0%         |
| Biological and Biomedical Sciences                              | 10        | 6         | 8         | 10        | 9         | 12.0%         | -10.0%        | -10.0%        |
| Communication, Journalism, and Related Programs                 | 1         | 1         | 1         | 0         | 3         | 4.0%          | --            | 200.0%        |
| Computer and Information Sciences and Support Services          | 0         | 0         | 0         | 0         | 2         | 2.7%          | --            | --            |
| Education   | 5         | 7         | 6         | 5         | 5         | 6.7%          | 0.0%          | 0.0%          |
| Engineering   | 12        | 11        | 10        | 8         | 7         | 9.3%          | -12.5%        | -41.7%        |
| Health Professions and Related Programs                         | 3         | 0         | 2         | 0         | 1         | 1.3%          | --            | -66.7%        |
| History   | 4         | 3         | 1         | 2         | 5         | 6.7%          | 150.0%        | 25.0%         |
| Multi/Interdisciplinary Studies                                 | 5         | 6         | 9         | 6         | 3         | 4.0%          | -50.0%        | -40.0%        |
| Natural Resources and Conservation                              | 9         | 11        | 10        | 15        | 15        | 20.0%         | 0.0%          | 66.7%         |
| Physical Sciences   | 5         | 7         | 5         | 15        | 7         | 9.3%          | -53.3%        | 40.0%         |
| Psychology  | 10        | 10        | 6         | 7         | 2         | 2.7%          | -71.4%        | -80.0%        |
| Public Administration and Social Service Professions            | 16        | 1         | 0         | 7         | 11        | 14.7%         | 57.1%         | -31.3%        |
| Social Sciences   | 1         | 0         | 0         | 1         | 1         | 1.3%          | 0.0%          | 0.0%          |
| Visual and Performing Arts                                      | 0         | 0         | 0         | 0         | 1         | 1.3%          | --            | --            |
| <b>Total</b>  | <b>83</b> | <b>63</b> | <b>60</b> | <b>79</b> | <b>75</b> | <b>100.0%</b> | <b>-5.1%</b>  | <b>-9.6%</b>  |

### LAW DEGREES COMPLETED BY DISCIPLINE

| Discipline                             | 2015-16   | 2016-17   | 2017-18   | 2018-19   | 2019-20   | % of Total    | 1-year Change | 5-year Change |
|--|-----------|-----------|-----------|-----------|-----------|---------------|---------------|---------------|
| Legal Professions and Studies (L.L.M.) | 0         | 5         | 1         | 12        | 3         | 3.8%          | -75.0%        | --            |
| Legal Professions and Studies (J.D.)   | 86        | 80        | 80        | 77        | 77        | 96.3%         | 0.0%          | -10.5%        |
| <b>Total</b>                           | <b>86</b> | <b>85</b> | <b>81</b> | <b>89</b> | <b>80</b> | <b>100.0%</b> | <b>-10.1%</b> | <b>-7.0%</b>  |

## UNIVERSITY OF MAINE SYSTEM – 2019-20 COMPLETIONS REPORT

### TOTAL COMPLETIONS BY DISCIPLINE

| Discipline  | 2015-16      | 2016-17      | 2017-18      | 2018-19      | 2019-20      | % of Total    | 1-year Change | 5-year Change |
|---|--------------|--------------|--------------|--------------|--------------|---------------|---------------|---------------|
| Agricultural/Animal/Plant/Veterinary Science and Related Fields                         | 116          | 106          | 82           | 92           | 80           | 1.4%          | -13.0%        | -31.0%        |
| Architecture and Related Services   | 9            | 8            | 6            | 4            | 15           | 0.3%          | 275.0%        | 66.7%         |
| Area, Ethnic, Cultural, Gender, and Group Studies                                       | 13           | 9            | 18           | 17           | 9            | 0.2%          | -47.1%        | -30.8%        |
| Biological and Biomedical Sciences  | 233          | 218          | 231          | 221          | 211          | 3.8%          | -4.5%         | -9.4%         |
| Business, Management, Marketing, and Related Support Services                           | 711          | 714          | 741          | 721          | 808          | 14.5%         | 12.1%         | 13.6%         |
| Communication, Journalism, and Related Programs   | 157          | 144          | 136          | 154          | 146          | 2.6%          | -5.2%         | -7.0%         |
| Computer and Information Sciences and Support Services                                  | 88           | 98           | 103          | 100          | 125          | 2.2%          | 25.0%         | 42.0%         |
| Education   | 707          | 812          | 765          | 691          | 764          | 13.7%         | 10.6%         | 8.1%          |
| Engineering   | 361          | 341          | 327          | 320          | 322          | 5.8%          | 0.6%          | -10.8%        |
| Engineering/Engineering-related Technologies/Technicians                                | 155          | 118          | 146          | 110          | 100          | 1.8%          | -9.1%         | -35.5%        |
| English Language and Literature/Letters   | 182          | 154          | 173          | 149          | 137          | 2.5%          | -8.1%         | -24.7%        |
| Family and Consumer Sciences/Human Sciences   | 52           | 57           | 63           | 60           | 71           | 1.3%          | 18.3%         | 36.5%         |
| Foreign Languages, Literatures, and Linguistics   | 22           | 18           | 21           | 21           | 28           | 0.5%          | 33.3%         | 27.3%         |
| Health Professions and Related Programs   | 935          | 905          | 936          | 887          | 889          | 16.0%         | 0.2%          | -4.9%         |
| History   | 59           | 59           | 48           | 62           | 61           | 1.1%          | -1.6%         | 3.4%          |
| Homeland Security, Law Enforcement, Firefighting, and Related Protective Services       | 65           | 69           | 54           | 58           | 63           | 1.1%          | 8.6%          | -3.1%         |
| Legal Professions and Studies   | 86           | 89           | 85           | 93           | 95           | 1.7%          | 2.2%          | 10.5%         |
| Liberal Arts and Sciences, General Studies and Humanities                               | 284          | 264          | 264          | 303          | 264          | 4.7%          | -12.9%        | -7.0%         |
| Library Science   | 28           | 24           | 26           | 20           | 25           | 0.4%          | 25.0%         | -10.7%        |
| Mathematics and Statistics  | 38           | 40           | 30           | 33           | 45           | 0.8%          | 36.4%         | 18.4%         |
| Multi/Interdisciplinary Studies   | 97           | 91           | 109          | 89           | 141          | 2.5%          | 58.4%         | 45.4%         |
| Natural Resources and Conservation Parks, Recreation, Leisure, Fitness, and Kinesiology | 147          | 150          | 147          | 179          | 196          | 3.5%          | 9.5%          | 33.3%         |
| Philosophy and Religious Studies  | 31           | 48           | 38           | 37           | 40           | 0.7%          | 8.1%          | 29.0%         |
| Physical Sciences   | 12           | 16           | 21           | 12           | 12           | 0.2%          | 0.0%          | 0.0%          |
| Psychology  | 67           | 59           | 65           | 57           | 66           | 1.2%          | 15.8%         | -1.5%         |
| Public Administration and Social Service Professions                                    | 264          | 254          | 222          | 223          | 246          | 4.4%          | 10.3%         | -6.8%         |
| Science Technologies/Technicians  | 220          | 186          | 198          | 227          | 219          | 3.9%          | -3.5%         | -0.5%         |
| Social Sciences   | 0            | 0            | 0            | 0            | 1            | 0.0%          | --            | --            |
| Social Sciences   | 317          | 264          | 288          | 292          | 300          | 5.4%          | 2.7%          | -5.4%         |
| Transportation and Materials Moving   | 0            | 4            | 1            | 2            | 2            | 0.0%          | 0.0%          | --            |
| Visual and Performing Arts  | 127          | 100          | 96           | 99           | 83           | 1.5%          | -16.2%        | -34.6%        |
| <b>Total</b>  | <b>5,583</b> | <b>5,419</b> | <b>5,440</b> | <b>5,333</b> | <b>5,564</b> | <b>100.0%</b> | <b>4.3%</b>   | <b>-0.3%</b>  |



# Annual Report on Gifts, Fundraising and Endowments

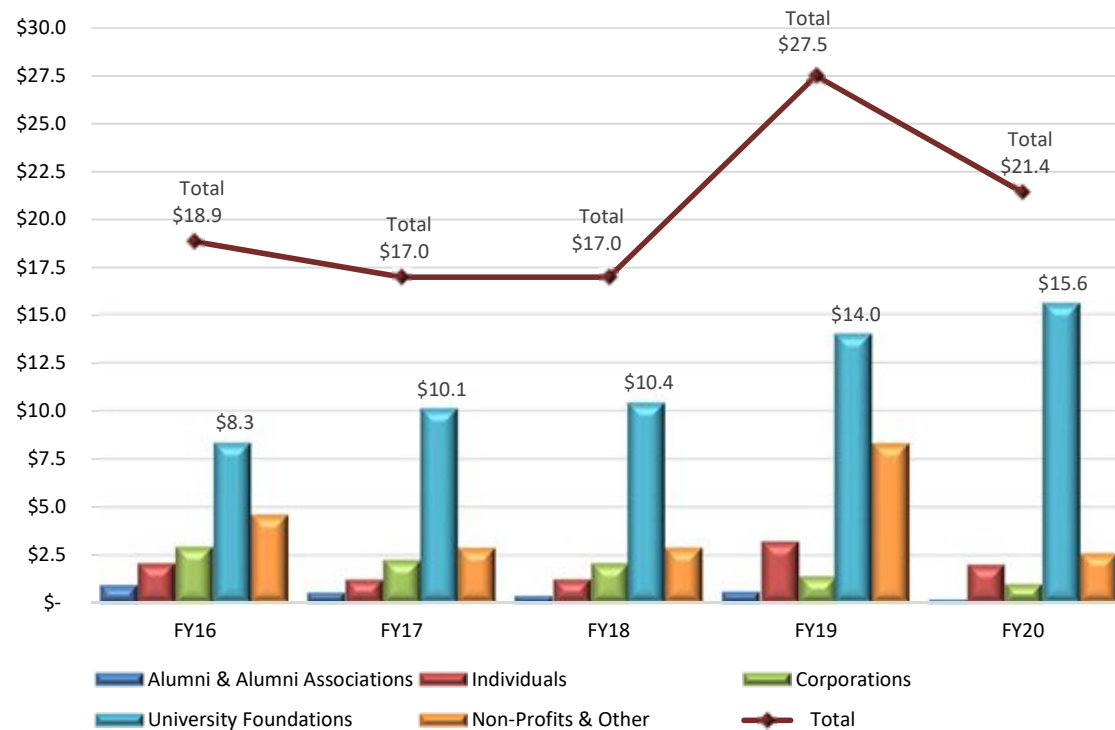
Year Ended June 30, 2020

# Part I: University of Maine System

(Excludes Fund Raising Organizations)



## UMS Gifts Received\* by Donor Type (\$ in millions)

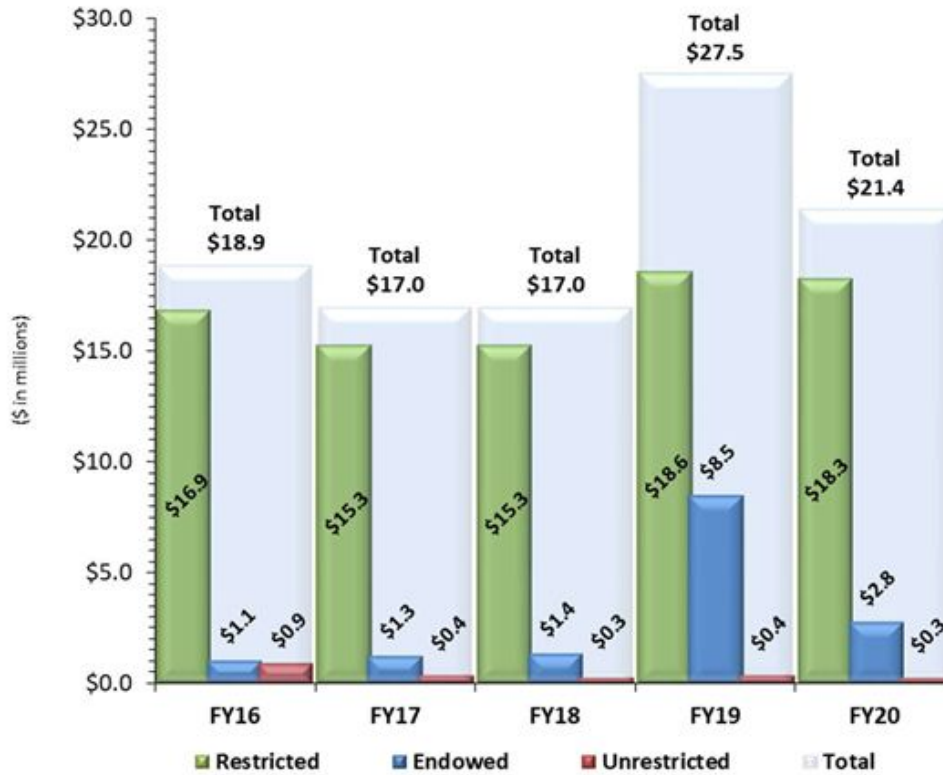


The UMS receives gifts through two methods:

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 10 for FY19 and FY20 gifts that the affiliates received)

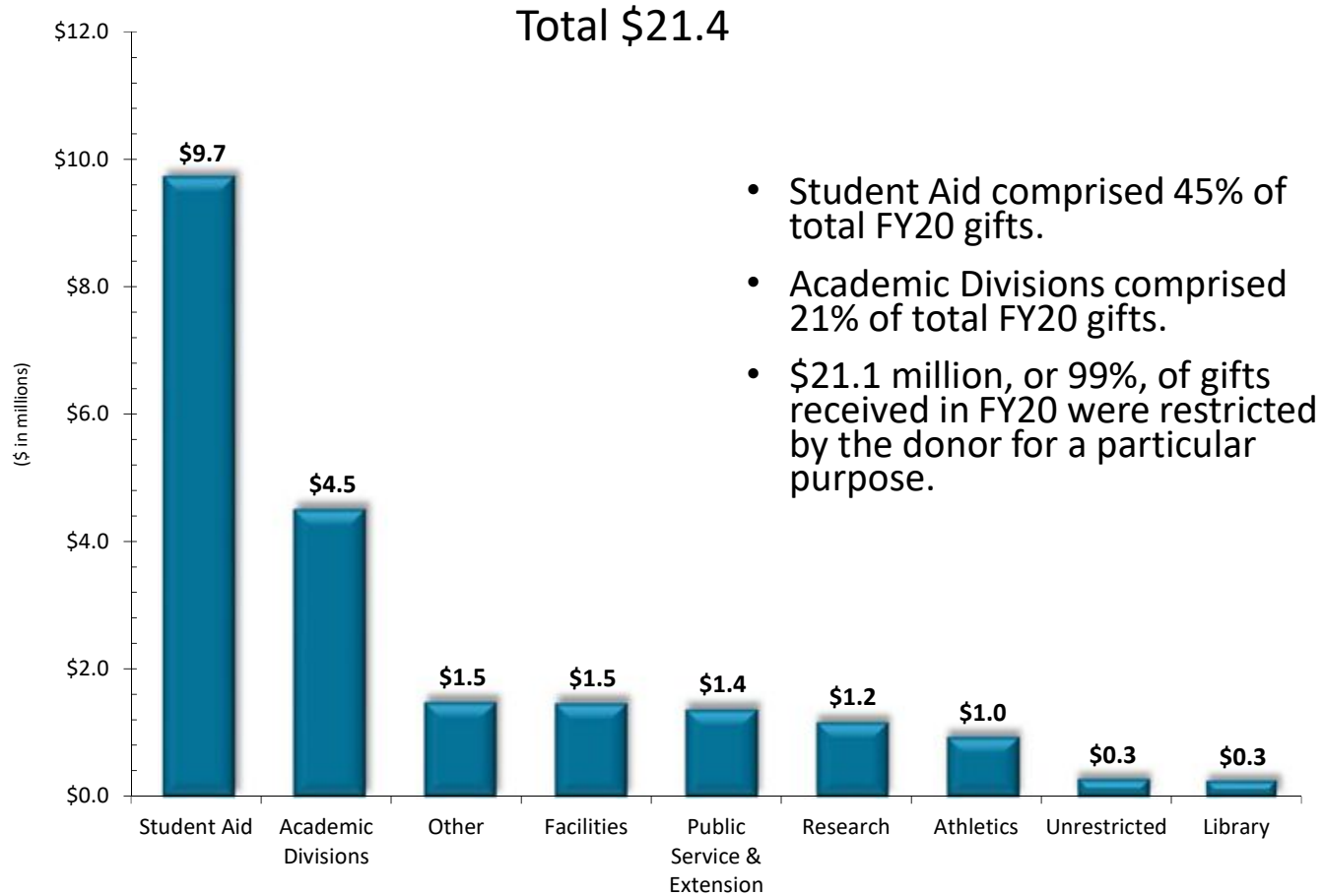
\*UMS gifts reported herein include cash, checks and negotiable securities, and pledge payments. Gifts-in-kind and pledges receivable are not included in these totals.

## UMS Gifts Received by Restriction Type (\$ in millions)

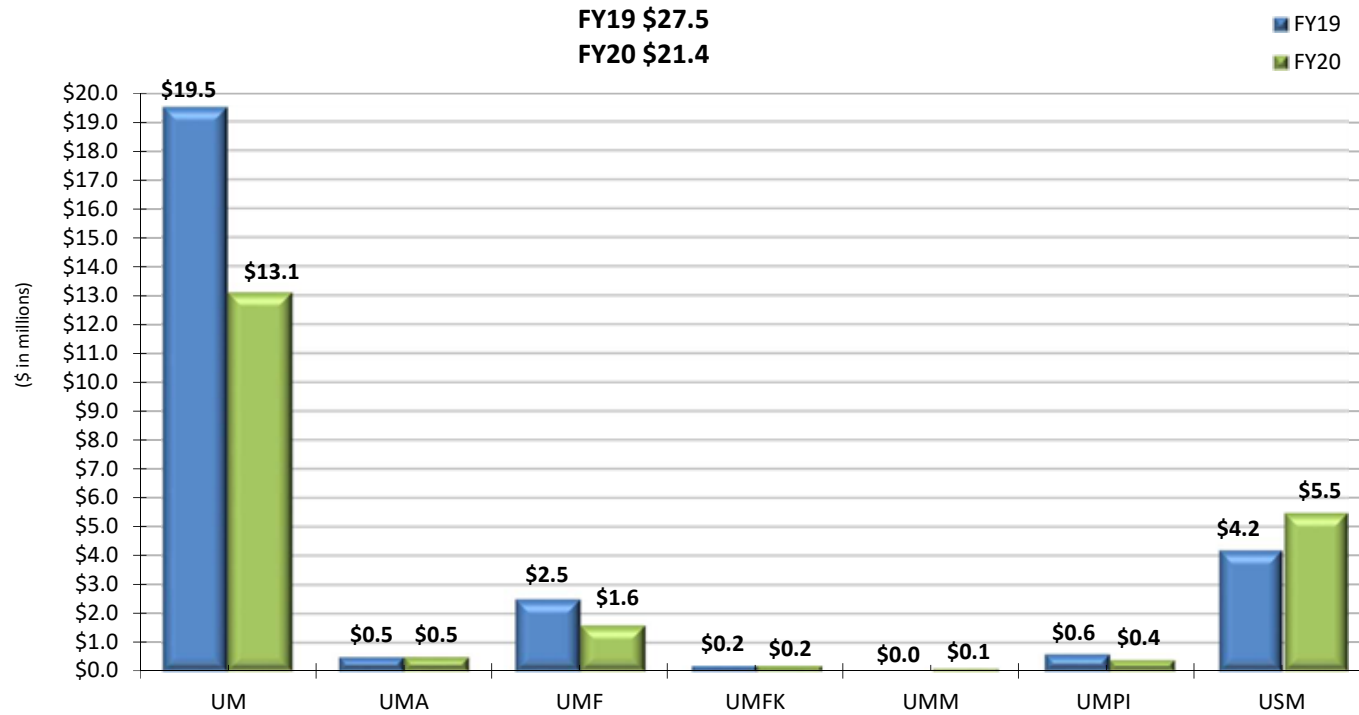


Endowed gifts decreased from FY19 to FY20 primarily due to a one-time \$5 million gift to the University of Maine in FY19.

## UMS FY20 Gifts Received by Purpose (\$ in millions)

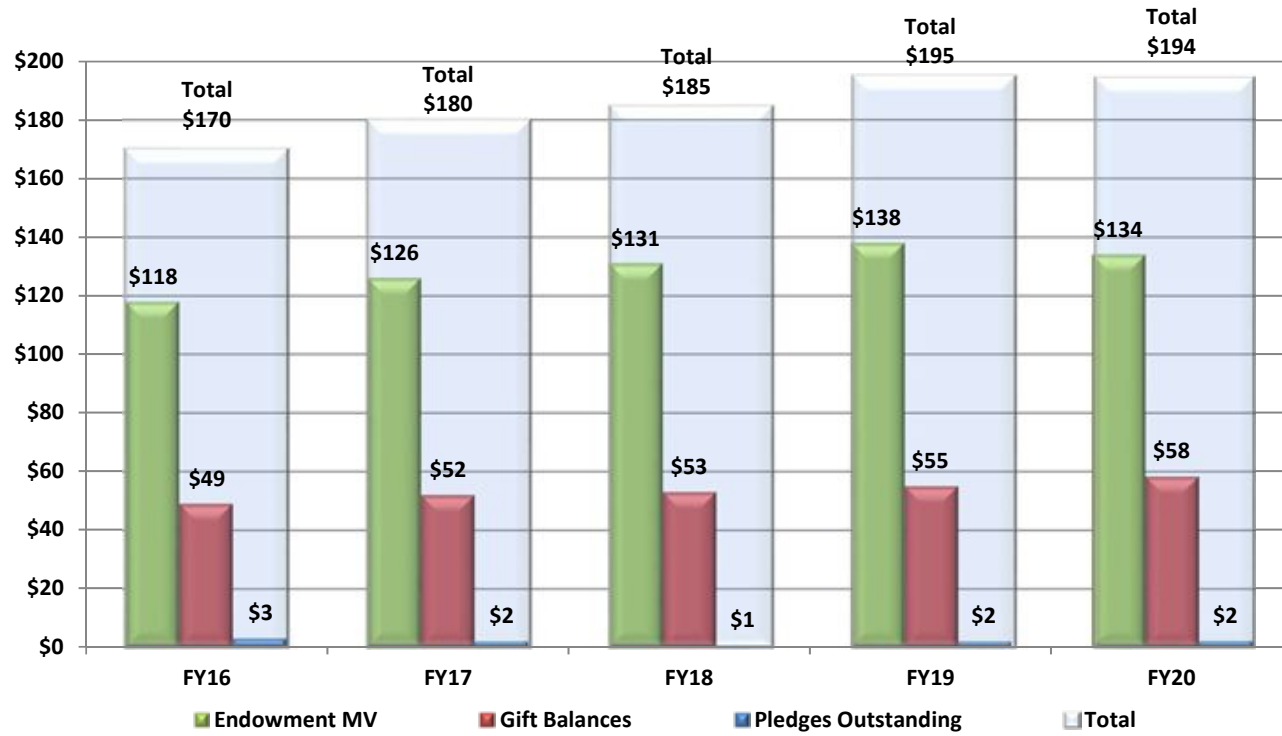


## UMS Gifts Received by Campus (\$ in millions)



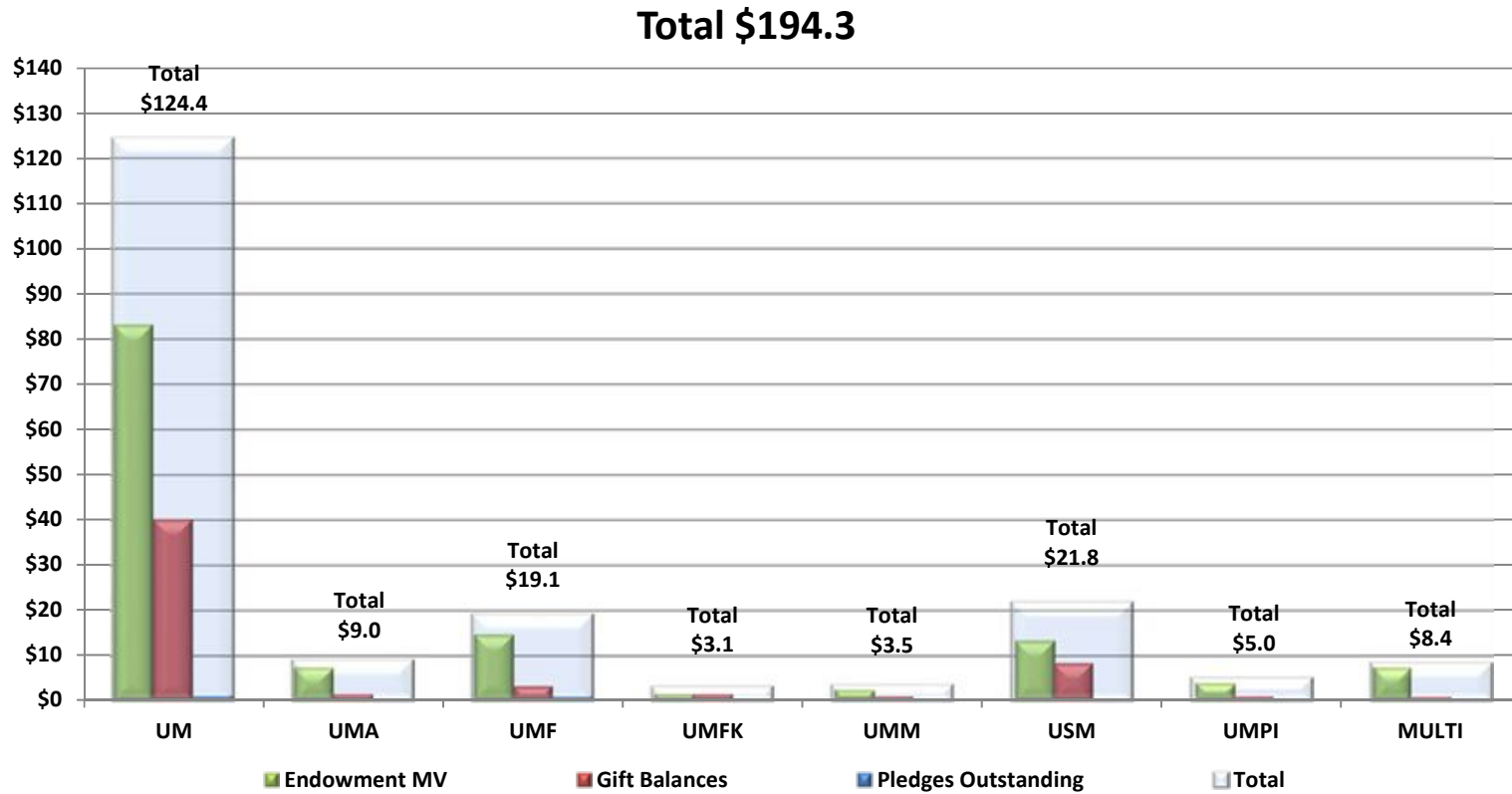
## UMS Gift Balances as of June 30th

(\$ in millions)



# UMS Gift Balances by Campus as of June 30, 2020

(\$ in millions)



# Part II: UMS Affiliated Fund Raising Organizations

## Gifts Received by UMS Affiliated Organizations (\$ in thousands)

|   | FY19            | FY20            |  |
|---|-----------------|-----------------|--|
| <b>UM Affiliates</b>                                    |                 |                 |  |
| UM Alumni Association                                   | \$ 207          | \$ 165          |  |
| UM Foundation   | 13,051          | 20,610          |  |
| UM Pulp & Paper Foundation                              | 736             | 1,881           |  |
| 4-H Camps at Tanglewood & Blueberry Cove                | 47              | 61              |  |
| Maine 4-H Foundation                                    | 1,172           | 383             |  |
| <b>UMFK Affiliates</b>                                  |                 |                 |  |
| UMFK Alumni Association                                 | -               | -               |  |
| UMFK Foundation   | 147             | 141             |  |
| John L. Martin Scholarship Fund                         | -               | -               |  |
| <b>UMM Alumni Association</b>                           |                 |                 |  |
|   | -               | -               |  |
| <b>Foundation of the University at Presque Isle</b>     |                 |                 |  |
|   | 204             | 118             |  |
| <b>USM Affiliates</b>                                   |                 |                 |  |
| USM Foundation  | 4,344           | 5,014           |  |
| UM Law School Foundation                                | 1,098           | 1,167           |  |
| Associates of the Osher Map Library (FY19 restated)     | 80              | 140             |  |
| <b>UMS Affiliates</b>                                   |                 |                 |  |
| Maine Center Ventures                                   | -               | 297             |  |
| <b>Total Gifts Received by Affiliated Organizations</b> | <b>\$21,086</b> | <b>\$29,977</b> |  |

48% of FY19 gifts and 29% of FY20 gifts were from Alumni

16% of FY19 gifts and 4% of FY20 gifts were from Alumni



## Endowment Market Values for UMS Affiliated Organizations

(\$ in millions)

|  | <u>FY19</u>     | <u>FY20</u>     |
|--|-----------------|-----------------|
| <b><i>UM Affiliates</i></b>                                      |                 |                 |
| UM Foundation <sup>a</sup>                                       | \$ 227.1        | \$ 228.1        |
| UM Pulp & Paper Foundation                                       | 17.5            | \$ 21.7         |
| 4-H Camps at Tanglewood & Blueberry Cove                         | 0.3             | \$ 0.4          |
| Maine 4-H Foundation   | 3.5             | \$ 3.9          |
| <b><i>UMFK Affiliates</i></b>                                    |                 |                 |
| UMFK Foundation <sup>b*</sup>                                    | 2.5             | \$ 2.6          |
| John L. Martin Scholarship Fund <sup>*</sup>                     | 0.1             | \$ 0.1          |
| <b><i>Foundation of the University at Presque Isle</i></b>       | 6.2             | \$ 6.2          |
| <b><i>USM Affiliates</i></b>                                     |                 |                 |
| USM Foundation <sup>*</sup>                                      | 21.9            | \$ 23.2         |
| UM Law School Foundation <sup>*</sup>                            | 4.5             | \$ 4.4          |
| Associates of the Osher Map Library                              | 2.7             | \$ 2.8          |
| <b>Total Endowment Market Value for Affiliated Organizations</b> | <b>\$ 286.3</b> | <b>\$ 293.4</b> |

# Part III: Capital Campaigns

## Status of Capital Campaigns as of June 30, 2020 (\$ in millions)

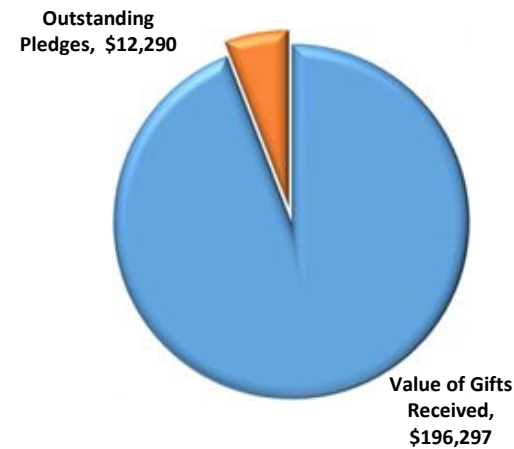
### Vision for Tomorrow Comprehensive Campaign (UM)

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

**Goal \$200,000**  
**Amount Raised \$208,587**



## Status of Capital Campaigns as of June 30, 2020 - continued

### **Great University Campaign (formerly the 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, a variety of factors that could not have been anticipated have reshaped USM's fundraising priorities, and hence the direction of capital campaign fundraising.

The USM Foundation (the Foundation) engaged fundraising counsel to lead a campaign design exercise, which culminated in January 2020. In March 2020, the Foundation's Board approved moving forward with the following redesigned campaign:

1. 5-year working goal of \$46 million to raise the following funds:
  - \$15 million for scholarships
  - \$15 million towards a Center for the Arts
  - \$5 million to complete USM's Career and Student Success Center
  - \$11 million for other programs and annual funds
2. Campaign working titled changed to the "Great University" campaign
3. Launch date of 7/1/2020.

Below is an update for the four fundraising priorities presented to the UMS Board of Trustees in May 2017 as part of the original Next Generation Comprehensive Campaign:

1. During FY20 no additional funds were raised for the Center for the Arts, previously known as the Performing Arts Center; however, the initiative is included in the redesigned Great University campaign mentioned above.
2. An additional \$38,474 was raised for the Promise Scholars Program, for a total raised to date of \$3,821,682 (not including \$1.1M in bequest intentions). After reviewing what it takes to fully support the Promise Scholars program, the original \$15M goal was modified to a goal of \$5.8M in endowed scholarships, and \$750,000 in spendable scholarships.
3. The Risk Management & Insurance Program chair campaign did not raise any additional funding in FY20 for a total raised of \$1.8 million. The goal remains \$3 million.
4. Athletics remains a key university priority, but particularly in light of Covid-19, no significant gains were made in FY20.



# University of Maine System



## Core Financial Ratios

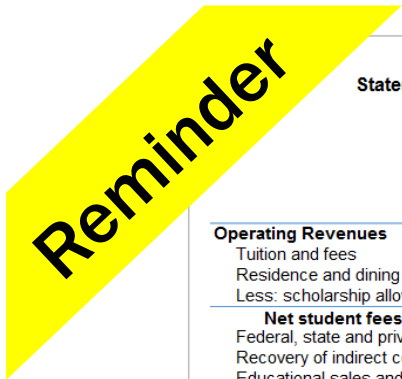
Ryan Low  
Vice Chancellor for Finance  
and Administration



**Reminder**

## Accounting Standard in Review

- GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions* (GASB 75)
- Affects how the UMS measures, reports, and discloses information about its other postemployment benefits (OPEB) other than pensions
- Applies to UMS' retiree health plan
- Required adoption for UMS in FY18
- Due to use of comparative financial statements, UMS adopted the standard effective 7/1/16 and restated FY17 financial results

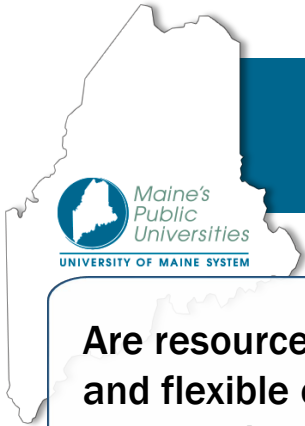


**UNIVERSITY OF MAINE SYSTEM**  
**Statement of Revenues, Expenses and Changes in Net Position**  
**Year Ended June 30, 2017**  
**(\$ in thousands)**

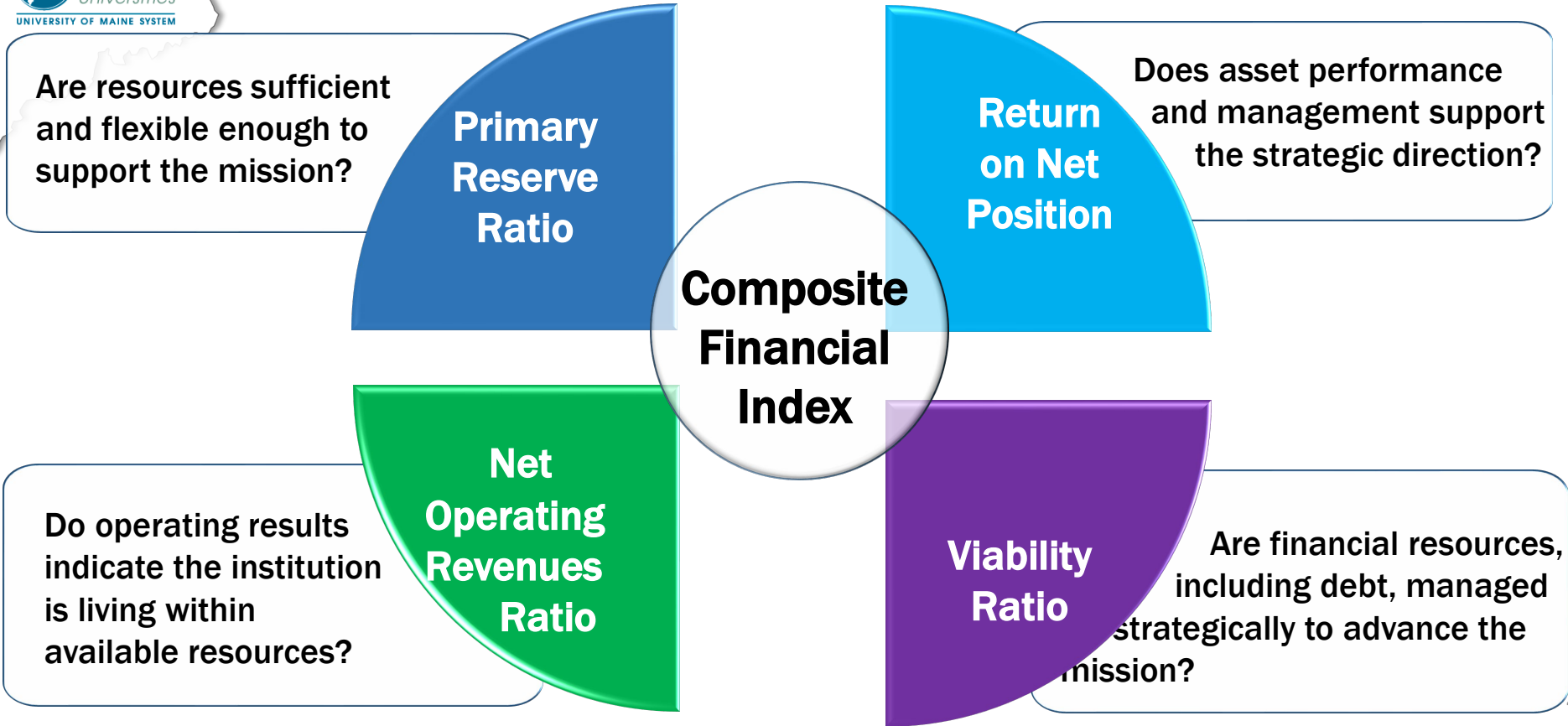
|  | 2017<br>Original | 2017<br>Restated | Change      |
|--|------------------|------------------|-------------|
| <b>Operating Revenues</b>                                  |                  |                  |             |
| Tuition and fees   | \$ 280,611       | \$ 280,611       |             |
| Residence and dining fees                                  | 62,222           | 62,222           |             |
| Less: scholarship allowances                               | (97,344)         | (97,344)         |             |
| <b>Net student fees</b>                                    | 245,489          | 245,489          |             |
| Federal, state and private grants and contracts            | 137,529          | 137,529          |             |
| Recovery of indirect costs                                 | 12,333           | 12,333           |             |
| Educational sales and services and other revenues          | 34,345           | 34,345           |             |
| Other auxiliary enterprises                                | 18,476           | 18,476           |             |
| <b>Total Operating Revenues</b>                            | 448,172          | 448,172          |             |
| <b>Operating Expenses</b>                                  |                  |                  |             |
| Instruction  | 170,901          | 170,901          |             |
| Research   | 73,176           | 73,176           |             |
| Public Service   | 59,950           | 59,950           |             |
| Academic Support   | 71,100           | 71,100           |             |
| Student Services   | 53,983           | 53,983           |             |
| Institutional Support                                      | 67,173           | 55,121           | \$ (12,052) |
| Operation and maintenance of plant                         | 50,638           | 50,638           |             |
| Depreciation and amortization (Note 6)                     |                  |                  |             |
| Student Aid  |                  |                  |             |
| Auxiliary enterprises                                      |                  |                  |             |
| <b>Total Operating Expenses</b>                            |                  |                  |             |
| <b>Operating Loss</b>                                      |                  |                  |             |
| <b>Nonoperating Revenues (Expenses)</b>                    |                  |                  |             |
| Noncapital State of Maine appropriations                   |                  |                  |             |
| Gifts currently expendable                                 |                  |                  |             |
| Endowment return used for operations (Note 3)              |                  |                  |             |
| Investment income (Note 3)                                 |                  |                  |             |
| Interest expense, net (Note 7)                             |                  |                  |             |
| <b>Net Nonoperating Revenues</b>                           |                  |                  |             |
| <b>Income (Loss) Before Other Changes in Net Position</b>  |                  |                  |             |
| <b>Other Changes in Net Position</b>                       |                  |                  |             |
| State of Maine capital appropriations                      |                  |                  |             |
| Capital grants and gifts                                   |                  |                  |             |
| Endowment return (loss), net of amount used for operations |                  |                  |             |
| True and quasi endowment gifts                             |                  |                  |             |
| Gain (Loss) on disposal of capital assets                  |                  |                  |             |
| <b>Total Other Changes in Net Position</b>                 |                  |                  |             |
| <b>Change in Net Position</b>                              |                  |                  |             |
| <b>Net Position - Beginning of the Year</b>                |                  |                  |             |
| <b>Net Position - End of Year</b>                          |                  |                  |             |

- FY17 beginning of year Net Position was reduced by nearly \$102 million
- With FY17 OPEB expense reduced by \$12 million (going from \$15 million to \$3 million)
- Net impact on previously stated FY17 end of year Net Position was a reduction of nearly \$90 million

|  | 2017<br>Original | 2017<br>Restated | Change       |
|--|------------------|------------------|--------------|
| <b>Income (Loss) Before Other Changes in Net Position</b>  | 3,645            | 15,697           | \$ 12,052    |
| <b>Other Changes in Net Position</b>                       |                  |                  |              |
| State of Maine capital appropriations                      | 5,148            | 5,148            |              |
| Capital grants and gifts                                   | 3,276            | 3,276            |              |
| Endowment return (loss), net of amount used for operations | 7,358            | 7,358            |              |
| True and quasi endowment gifts                             | 1,313            | 1,313            |              |
| Gain (Loss) on disposal of capital assets                  | 1                | 1                |              |
| <b>Total Other Changes in Net Position</b>                 | 17,096           | 17,096           |              |
| <b>Change in Net Position</b>                              | 20,741           | 32,793           | \$ 12,052    |
| <b>Net Position - Beginning of the Year</b>                | 866,705          | 765,046          | \$ (101,659) |
| <b>Net Position - End of Year</b>                          | \$ 887,446       | \$ 797,839       | \$ (89,607)  |



# Core Financial Ratios and Composite Financial Index







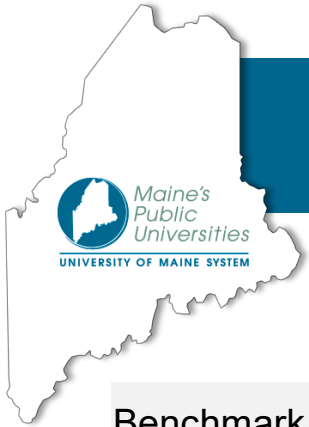
## Primary Reserve Ratio

# Primary Reserve Ratio

The **Primary Reserve Ratio** provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable net position (both unrestricted and restricted, excluding net position restricted for capital investments) without relying on additional net position generated by operations. This ratio is calculated as follows:

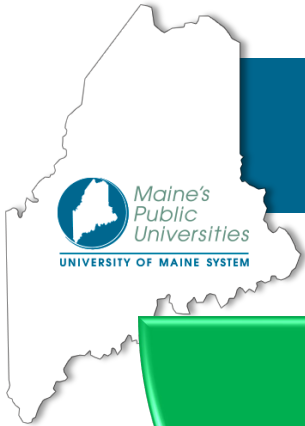
$$\frac{\text{Expendable Net Position}^*}{\text{Total Expenses}}$$

*\*excluding net positions restricted for capital investments*



# Primary Reserve Ratio - All Campuses

|           | <u>FY11</u> | <u>FY12</u> | <u>FY13</u> | <u>FY14</u> | <u>FY15</u> | <u>FY16</u> | <u>FY17 - Restated</u> | <u>FY18</u> | <u>FY19</u> | <u>FY20</u> |
|-----------|-------------|-------------|-------------|-------------|-------------|-------------|------------------------|-------------|-------------|-------------|
| Benchmark | 0.40        | 0.40        | 0.40        | 0.40        | 0.40        | 0.40        | 0.40                   | 0.40        | 0.40        | 0.40        |
| UM        | 0.41        | 0.43        | 0.43        | 0.42        | 0.40        | 0.40        | 0.30                   | 0.31        | 0.30        | 0.30        |
| UMA       | 0.25        | 0.26        | 0.32        | 0.35        | 0.39        | 0.38        | 0.25                   | 0.24        | 0.23        | 0.22        |
| UMF       | 0.34        | 0.36        | 0.40        | 0.37        | 0.30        | 0.22        | 0.04                   | 0.03        | -0.01       | -0.02       |
| UMFK      | 0.02        | 0.01        | 0.01        | 0.03        | 0.02        | 0.06        | -0.07                  | 0.00        | 0.01        | 0.10        |
| UMM       | 0.00        | 0.00        | 0.01        | 0.06        | 0.06        | 0.16        | 0.13                   | 0.09        | 0.09        | 0.08        |
| UMPI      | 0.31        | 0.32        | 0.32        | 0.26        | 0.13        | 0.15        | 0.01                   | 0.02        | 0.05        | 0.04        |
| USM       | 0.17        | 0.18        | 0.19        | 0.19        | 0.21        | 0.25        | 0.12                   | 0.10        | 0.07        | 0.07        |
| UMSGUS-Op | 0.73        | 0.59        | 0.54        | 0.61        | 0.87        | 1.19        | 1.50                   | 1.21        | 1.84        | 1.76        |
| UMSGUS    | 2.15        | 1.38        | 1.80        | 2.60        | 1.43        | 1.78        | 4.13                   | 2.92        | 2.30        | 3.23        |
| UMS       | 0.37        | 0.38        | 0.40        | 0.41        | 0.39        | 0.39        | 0.29                   | 0.29        | 0.28        | 0.30        |

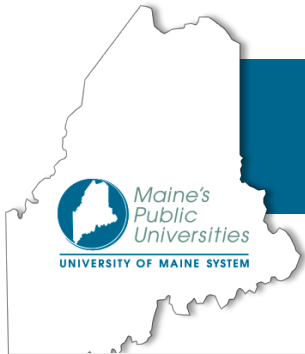


# Net Operating Revenues Ratio

## Net Operating Revenues Ratio

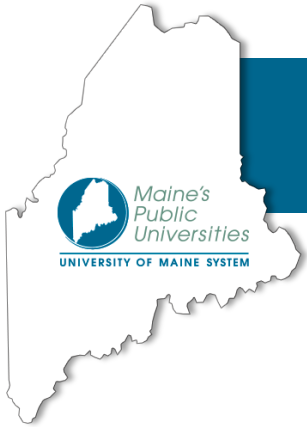
The **Net Operating Revenues Ratio** is a measure of operating results and answers the question, “Do operating results indicate that the University is living within available resources?” Operating results either increase or decrease net position and, thereby, impact the other three core ratios: Primary Reserve, Return on Net Position, and Viability. This ratio is calculated as follows:

$$\frac{\text{Operating Income (Loss) plus Net Non-Operating Revenues (Expenses)}}{\text{Operating Revenues plus Non-Operating Revenues}}$$



## Net Operating Revenues Ratio – All Campuses

|                | <u>FY11</u> | <u>FY12</u> | <u>FY13</u> | <u>FY14</u> | <u>FY15</u> | <u>FY16</u> | <u>FY17 -<br/>Restated</u> | <u>FY18</u> | <u>FY19</u> | <u>FY20</u> |
|----------------|-------------|-------------|-------------|-------------|-------------|-------------|----------------------------|-------------|-------------|-------------|
| Low Benchmark  | 2.00%       | 2.00%       | 2.00%       | 2.00%       | 2.00%       | 2.00%       | 2.00%                      | 2.00%       | 2.00%       | 2.00%       |
| High Benchmark | 4.00%       | 4.00%       | 4.00%       | 4.00%       | 4.00%       | 4.00%       | 4.00%                      | 4.00%       | 4.00%       | 4.00%       |
| UM             | 4.06%       | 2.53%       | -1.19%      | -2.20%      | -1.98%      | -0.65%      | -1.01%                     | -0.35%      | -1.70%      | -1.23%      |
| UMA            | 5.52%       | 3.48%       | 4.07%       | 0.57%       | 2.73%       | 1.12%       | -0.78%                     | -4.06%      | -2.49%      | -0.99%      |
| UMF            | 2.41%       | 3.93%       | 0.03%       | -4.54%      | -5.44%      | -4.47%      | -5.53%                     | -5.91%      | -5.62%      | -1.56%      |
| UMFK           | -4.05%      | -3.44%      | -3.91%      | -0.93%      | -2.71%      | 2.69%       | 0.50%                      | 4.93%       | 0.55%       | 6.75%       |
| UMM            | -3.34%      | -2.40%      | -3.26%      | -7.19%      | -0.20%      | -1.19%      | 1.16%                      | -0.53%      | -4.32%      | -4.11%      |
| UMPI           | 2.54%       | -0.17%      | -3.13%      | -13.00%     | -17.95%     | -2.73%      | -4.64%                     | -3.21%      | -5.39%      | -3.91%      |
| USM            | 4.69%       | 2.04%       | 0.63%       | -0.37%      | 0.67%       | 2.19%       | 0.28%                      | -1.51%      | -1.46%      | -1.17%      |
| UMSGUS-Op      | 6.09%       | 7.49%       | -7.70%      | 17.66%      | 9.84%       | 12.25%      | 56.13%                     | 1.99%       | 21.42%      | 6.47%       |
| UMSGUS         | 30.62%      | 1.62%       | 16.67%      | 46.73%      | -35.91%     | -3.37%      | 65.02%                     | 28.42%      | 7.48%       | 25.61%      |
| UMS            | 5.16%       | 2.24%       | 0.55%       | 0.94%       | -3.00%      | -0.20%      | 2.28%                      | -0.08%      | -1.66%      | 0.01%       |

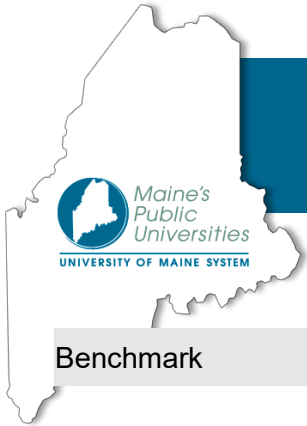


## Return on Net Position

The **Return on Net Position Ratio** measures asset performance and management. It determines whether an institution is financially better off than in the previous year by measuring total economic return. It is based on the level and change in total net position. An improving trend in this ratio indicates that the institution is increasing its net position and is likely to be able to set aside financial resources to strengthen its future financial flexibility. This ratio is calculated as follows:

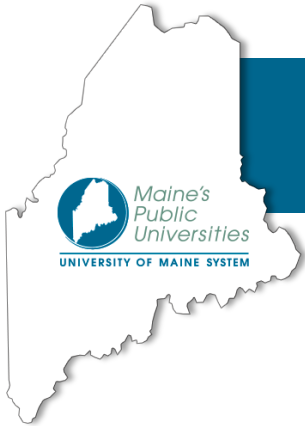
$$\frac{\text{Change in Net Position}}{\text{Total Beginning of the Year Net Position}}$$

**Return  
on Net  
Position**



## UMS Return on Net Position – All Campuses

|                     | <u>FY11</u> | <u>FY12</u> | <u>FY13</u> | <u>FY14</u> | <u>FY15</u> | <u>FY16</u> | <u>FY17 -<br/>Restated</u> | <u>FY18</u> | <u>FY19</u> | <u>FY20</u> |
|---------------------|-------------|-------------|-------------|-------------|-------------|-------------|----------------------------|-------------|-------------|-------------|
| Benchmark           | 6.00%       | 6.00%       | 6.00%       | 6.00%       | 6.00%       | 6.00%       | 6.00%                      | 6.00%       | 6.00%       | 6.00%       |
| UM Real Rate        | 10.35%      | 4.25%       | 2.10%       | -1.22%      | -1.68%      | -0.57%      | -1.63%                     | -0.58%      | -1.60%      | -1.91%      |
| UMA Real Rate       | 10.14%      | 4.23%       | 4.29%       | -0.62%      | 0.92%       | -0.01%      | -0.36%                     | -5.47%      | -4.29%      | -2.79%      |
| UMF Real Rate       | 4.07%       | 3.62%       | 0.19%       | -3.46%      | -6.35%      | -4.19%      | -6.75%                     | -5.79%      | -2.23%      | -1.89%      |
| UMFK Real Rate      | -1.68%      | 2.75%       | -2.97%      | 21.08%      | -1.49%      | 4.30%       | -1.80%                     | 4.47%       | -1.44%      | 9.46%       |
| UMM Real Rate       | -2.04%      | -0.49%      | -2.28%      | 1.76%       | 11.99%      | 6.45%       | 5.33%                      | -3.26%      | -5.75%      | 1.03%       |
| UMPI Real Rate      | 5.51%       | 1.78%       | -3.61%      | -9.81%      | -12.54%     | -1.80%      | -7.36%                     | -4.53%      | -5.81%      | -4.15%      |
| USM Real Rate       | 6.37%       | 2.82%       | 0.12%       | -2.25%      | -1.14%      | 1.58%       | -0.98%                     | -4.21%      | -3.47%      | -0.38%      |
| UMSGUS-Op Real Rate | 5.22%       | 1.28%       | -5.58%      | 8.59%       | 3.32%       | 1.12%       | 58.69%                     | 2.31%       | 9.58%       | 1.91%       |
| UMSGUS Real Rate    | 15.59%      | -2.09%      | 6.25%       | 22.79%      | -12.55%     | -5.62%      | 33.84%                     | 9.77%       | 1.68%       | 7.59%       |
| UMS Real Rate       | 9.04%       | 3.12%       | 1.78%       | 0.63%       | -3.04%      | -0.69%      | 0.89%                      | -0.92%      | -1.94%      | -0.40%      |



## Viability Ratio

The **Viability Ratio** measures expendable resources that are available to cover debt obligations (e.g., capital leases, notes payable, and bonds payable) and generally is regarded as governing an institution's ability to assume new debt. This ratio is calculated as follows:



$$\frac{\text{Expendable Net Position}^*}{\text{Long-Term Debt}}$$

*\*excluding net positions restricted for capital investments*

## Viability Ratio – All Campuses



|           | <u>FY11</u> | <u>FY12</u> | <u>FY13</u> | <u>FY14</u> | <u>FY15</u> | <u>FY16</u> | <u>FY17 - Restated</u> | <u>FY18</u> | <u>FY19</u> | <u>FY20</u> |
|-----------|-------------|-------------|-------------|-------------|-------------|-------------|------------------------|-------------|-------------|-------------|
| Benchmark | 1.25        | 1.25        | 1.25        | 1.25        | 1.25        | 1.25        | 1.25                   | 1.25        | 1.25        | 1.25        |
| UM        | 1.44        | 1.47        | 1.60        | 1.74        | 1.77        | 1.91        | 1.53                   | 1.75        | 1.90        | 2.09        |
| UMA       | 3.93        | 4.33        | 5.82        | 7.04        | 8.31        | 9.98        | 5.45                   | 7.37        | 9.42        | 11.15       |
| UMF       | 1.60        | 1.75        | 1.96        | 1.89        | 0.67        | 0.57        | 0.12                   | 0.08        | -0.02       | -0.07       |
| UMFK      | 0.05        | 0.03        | 0.02        | 0.07        | 0.04        | 0.12        | -0.14                  | -0.01       | 0.02        | 0.28        |
| UMM       | 0.01        | 0.01        | 0.03        | 0.16        | 0.12        | 0.39        | 0.29                   | 0.22        | 0.23        | 0.22        |
| UMPI      | 3.45        | 3.71        | 3.87        | 3.15        | 1.58        | 1.86        | 0.07                   | 0.26        | 0.59        | 0.53        |
| USM       | 0.49        | 0.52        | 0.57        | 0.58        | 0.62        | 0.71        | 0.36                   | 0.34        | 0.30        | 0.30        |
| UMSGUS-Op | 1.34        | 1.34        | 1.86        | 2.25        | 3.64        | 4.73        | 1.43                   | 1.47        | 2.45        | 3.08        |
| UMSGUS    | 3.69        | 3.82        | 6.42        | 7.78        | 8.06        | 9.20        | 2.76                   | 3.32        | 4.24        | 5.64        |
| UMS       | 1.28        | 1.33        | 1.51        | 1.69        | 1.52        | 1.62        | 1.12                   | 1.27        | 1.41        | 1.62        |





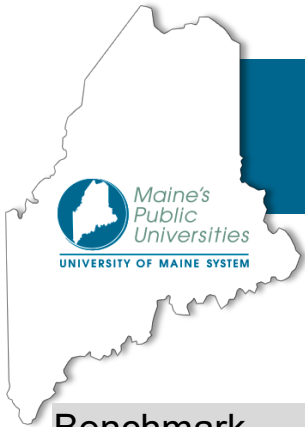
## Composite Financial Index

### Composite Financial Index

The **Composite Financial Index (CFI)** creates one overall financial measurement of the institution's health based on the four core ratios: primary reserve ratio, net operating revenues ratio, return on net position ratio, and viability ratio. By blending these four key measures of financial health into a single number, a more balanced view of the state of the institution's finances is possible because a weakness in one measure may be offset by the strength of another measure.

The CFI is calculated by completing the following steps:

1. Compute the values of the four core ratios;
2. Convert the ratio values to strength factors along a common scale;
3. Multiply the strength factors by specific weighting factors; and
4. Total the resulting four numbers (ratio scores) to reach the single CFI score.



## Composite Financial Index

|           | <u>FY11</u> | <u>FY12</u> | <u>FY13</u> | <u>FY14</u> | <u>FY15</u> | <u>FY16</u> | <u>FY17 -<br/>Restated</u> | <u>FY18</u> | <u>FY19</u> | <u>FY20</u> |
|-----------|-------------|-------------|-------------|-------------|-------------|-------------|----------------------------|-------------|-------------|-------------|
| Benchmark | 3.0         | 3.0         | 3.0         | 3.0         | 3.0         | 3.0         | 3.0                        | 3.0         | 3.0         | 3.0         |
| UM        | 4.1         | 3.3         | 2.7         | 2.4         | 2.3         | 2.6         | 2.1                        | 2.5         | 2.2         | 2.4         |
| UMA       | 6.0         | 5.3         | 5.5         | 4.7         | 5.2         | 4.8         | 4.4                        | 3.5         | 3.6         | 3.9         |
| UMF       | 3.2         | 3.5         | 2.9         | 2.1         | 0.5         | 0.4         | -0.5                       | -0.5        | -0.4        | -0.3        |
| UMFK      | -0.3        | 0.1         | -0.5        | 2.0         | -0.3        | 1.2         | -0.1                       | 1.4         | 0.2         | 2.6         |
| UMM       | -0.4        | -0.2        | -0.4        | 0.4         | 1.6         | 1.4         | 1.6                        | 0.3         | -0.3        | 0.3         |
| UMPI      | 4.9         | 4.3         | 3.5         | 2.2         | 0.5         | 1.5         | -0.7                       | -0.3        | -0.1        | -0.1        |
| USM       | 2.4         | 1.7         | 1.2         | 1.0         | 1.3         | 1.9         | 0.9                        | 0.2         | 0.1         | 0.4         |
| UMSGUS-Op | 4.7         | 4.0         | 2.2         | 5.7         | 6.9         | 7.9         | 7.7                        | 5.2         | 7.8         | 7.4         |
| UMSGUS    | 9.4         | 6.9         | 8.8         | 10.0        | 5.8         | 6.2         | 8.8                        | 8.6         | 8.4         | 9.0         |
| UMS       | 3.9         | 2.9         | 2.7         | 3.0         | 1.8         | 2.4         | 2.5                        | 2.0         | 1.7         | 2.3         |



# Maine University Center: Supporting Economic Recovery and Development

Ryan Wallace, PhD  
Center for Business and Economic Research  
EDA University Center  
Muskie School of Public Service

January 25, 2021





MAINE CENTER FOR BUSINESS  
AND ECONOMIC RESEARCH

University of Southern Maine



**Mission: To provide public and private sector stakeholders with independent university-based analytical expertise and technical assistance that supports economic, community, and workforce development for all Mainers.**

Designated by the US Economic Development Administration (EDA) as a University Center for the state of Maine.

Current programs:

- + Supporting innovation and diversification in Maine's forest resource economies and communities,
- + Supporting efforts that build Maine's knowledge workforce, and
- + Response and recovery efforts to the COVID-19 pandemic.

USM

# Examples of Clients & Community Partners





Home COVID-19 Resources Blog Contact

### COVID-19 Resources

With funding from the [US Economic Development Administration](#) through the US CARES Act of 2020, CBER is providing a pool of resources, analysis, and technical assistance to Maine's businesses, communities, and policymakers supporting the response and recovery to the coronavirus pandemic (COVID-19). Please find an evolving collection of resources below. These resources are intended to compliment and not replace other economic and labor market data and analysis provided by state agencies and other outlets in Maine. If you have questions, ideas, or would like to be connected with one of our experts, please contact us at [usmcbcr@maine.edu](mailto:usmcbcr@maine.edu). Thank you for visiting.

### Critical Insights

CBER's network of Maine-based experts provide critical insights and share relevant research and information related to the impacts and implications of COVID-19 to Maine's economies, communities, and workforce. To access research papers and commentary click on [Critical Insights](#).

### Regional Economic Forecasts and Analysis

In partnership with the 7 economic development districts (EDDs) in the state, CBER conducts semi-annual and other period updates to regional economic forecasts of the state and EDD regions. The Center also conducts region specific analysis and prepares updated regional economic, demographic, and labor market profiles. Access them by clicking on [Regional Economic Forecasts and Analysis](#).

### Remote Work & Regional Development

COVID-19 has disrupted economic and social life across the state and nation and has had significant implications for how work and commerce is conducted and how communities function. Abruptly, roughly half of the US workforce shifted to working remotely while nonessential businesses and were forced to innovate business

## Responding to COVID-19



[www.maineceber.com/covid-19](http://www.maineceber.com/covid-19)

## Critical Insights

Providing critical insights on economic and labor market conditions during response and recovery to COVID-19

Critical Insights provide regular analyses tracking recent labor market and economic trends in Maine and northern New England. The report template will be revised periodically as stakeholder needs shift and significant trends emerge. Through this research, the UC also expects to shed light on the role of remote technologies and changes in skill and workforce requirements that assist in realigning the state's economic development strategy and workforce plans.

### September 2020 Insights

[Maine Employment Change during the Early Months of the COVID-19 Pandemic: A Shift-Share Analysis](#)

#### Abstract:

The Maine economy experienced an 11-percent reduction in employment from February to July of 2020, with job losses of 18 percent from February to April and a 10-percent increase from April to July. Of the employment decline of 57,100 jobs from February to July, about 85 percent of the loss is related to the performance of the U.S. economy, and 16 percent is associated with factors that are unique to Maine.

Over the period of extreme job loss from February to April and the employment gains that happened between April and July, there's wide heterogeneity in the performance of industry sectors in Maine. For example, the sectors of Health Care and Social Assistance, and Accommodation and Food Services performed worse than expected (based on employment change nationally and Maine's industry mix) from February to April, followed by a period of better than expected performance in Maine from April to July. The Retail Trade sector is one of several industries in Maine that outperformed the sector nationally between February and April, and from April to July of 2020.

Click on the link above to download.

## Responding to COVID-19: Critical Insights



[www.maineber.com/covid-19](http://www.maineber.com/covid-19)



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## Regional Economic Forecasts & Analysis

Regional forecasts provide state and local leaders and businesses with short-term expectations of the trajectory of recovery. Forecasts incorporate national economic outlooks prepared by the University of Michigan's Research Seminary in Quantitative Economics (RSQE), the US Congressional Budget Office (CBO) Outlooks, and from other vendors such as Moody's Analytics. State level outlooks draw from the Maine Consensus Economic Forecast Committees (CEFC), state specific research and data, and other assumptions. Regional forecasts are prepared using a seven region 80 sector economic model developed by Regional Economic Modeling Inc. (REMI) and are provided for the state and regions that closely coincide with the economic development districts (EDDs). These include [Northern Maine \(Aroostook-Washington\)](#), [Eastern Maine](#), [Kennebec Valley](#), [Midcoast](#), [Androscoggin Valley](#), [Greater Portland](#), and [Southern Maine](#).

The most current preliminary employment forecasts can be accessed in the presentation slide decks below.

### [Maine Regional Economic Forecasts - December 2020](#)

Economic forecasts for the state and 7 economic development districts provide estimated recovery outlooks across several economic and industry metrics. Data files in Microsoft Excel for each region can be accessed and downloaded below.

[Androscoggin Valley EDD \(AVEDD\) - forecast data download](#)

[Aroostook-Washington EDD \(AWEDD\) - forecast data download](#)

[Eastern Maine EDD \(EMEDD\) - forecast data download](#)

[Greater Portland EDD \(GPEDD\) - forecast data download](#)

[Kennebec Valley EDD \(KVEDD\) - forecast data download](#)

[Mid-Coast EDD \(MCEDD\) - forecast data download](#)

## Responding to COVID-19: Regional Forecasting



[www.maineber.com/covid-19](http://www.maineber.com/covid-19)





Main Dashboard | COVID-19 Economic Recovery I... | Economic Vulnerability - Industr... | Regional Profiles | Compare Regional Trends | Reference Documents

## COVID-19 Economic Recovery Dashboard

Last updated on 12/22/2020

MAINE CENTER FOR BUSINESS AND ECONOMIC RESEARCH  
UNIVERSITY OF SOUTHERN MAINE

**SELECTION MENU**

- COVID-19 Economic Recovery Indicators
- Compare Regional Trends
- Regional Profile
- Economic Vulnerability - Industry Employment

Select Month: November

**Selection Overview**

**The COVID-19 Economic Recovery Index (ERI)** – shown below on the Main dashboard - combines the Economic Recovery Indicators into a single summary score. The ERI tracks economic recovery on a monthly basis relative to a pre-crisis/COVID-19 baseline of January 2020. Calculated by the Maine Center of Business & Economic Research (MCBER), this measure will be updated monthly. Data are available for Maine counties.

**COVID-19 Economic Recovery Indicators** – Track economic recovery on a monthly basis relative to a pre-crisis/COVID-19 baseline of January 2020. This interactive tool measures cumulative change in a way that allows for a direct comparison across selected regions. Data are available at county and state levels.

**Compare Regional Trends and Regional Economic Recovery Profile** – Track economic recovery indicators across multiple locations (bar chart) or view recovery indicator trends for a single region (table view). Data can be viewed in three ways: 1) impact from pre-crisis/COVID-19 baseline, 2) monthly levels, and 3) change relative to same month last year. Data are available by county or state, nationwide.

**Economic Vulnerability** – Map of employment specialization by zip-code. Provides an indication as to which communities may be more vulnerable to economic disruption based on a region's mix of jobs in some of the hardest-hit industry groups (i.e., leisure & hospitality industries, including food services and hotels, and retail). County-level data available in table.

**COVID-19 Economic Recovery Index (ERI)**  
Change relative to pre-crisis/pre-COVID-19 baseline of Jan. 2020

Select County: (Multiple values)

| Month    | Waldo | York | Cumberland |
|----------|-------|------|------------|
| Jan 2020 | 0.0   | 0.0  | 0.0        |
| Feb 2020 | 1.2   | -0.5 | -0.8       |
| Mar 2020 | 1.5   | -1.0 | -1.2       |
| Apr 2020 | 0.5   | -0.5 | -0.8       |
| May 2020 | 0.8   | -0.8 | -1.0       |
| Jun 2020 | 1.0   | -0.8 | -1.0       |
| Jul 2020 | 0.8   | -0.8 | -1.0       |
| Aug 2020 | 1.0   | -0.8 | -1.0       |
| Sep 2020 | 1.2   | -0.8 | -1.0       |
| Oct 2020 | 1.4   | -0.8 | -1.0       |
| Nov 2020 | 1.6   | -0.8 | -1.0       |

Responding to COVID-19: Data Dashboard



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## Remote Work and Economic Development

Although remote work has been a growing phenomenon since before COVID-19, the pandemic has accelerated this changes exponentially pushing half of the US workforce to work remotely overnight. CBER is examining these trends the potential implications for economic, community, and workforce development in Maine. As this work builds, work products will be provided below.

### Maine Consensus Economic Forecasting Commission Presentation October 16, 2020

CBER's director presented trends in remote work pre- and post- COVID-19 to the state Consensus Economic Forecasting Commission November 2020 update data gathering meeting. [Download the presentation.](#)

### Projects in development:

- + Remote Worker Migrant Profiles and Attraction Strategy
- + The Economic Implications of Broadband for Maine
- + Various Technical Assistance Projects

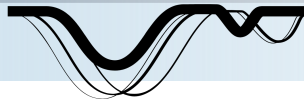
## Responding to COVID-19: Leveraging Opportunities



[www.maineceber.com/covid-19](http://www.maineceber.com/covid-19)



Maine Regional Economic Modeling Lab



Faculty Spotlight Presentation  
UMS Board of Trustees  
January, 2021

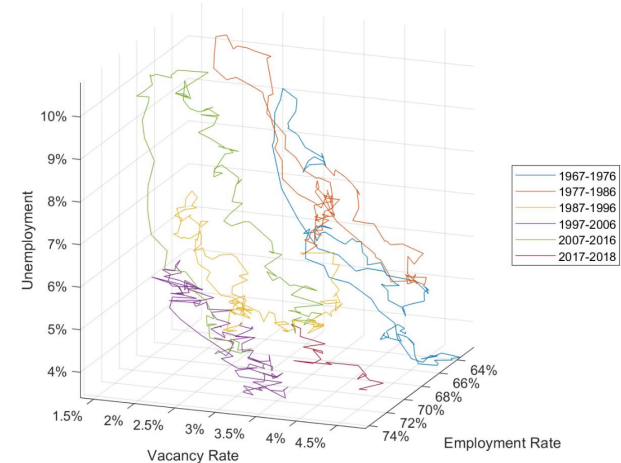
## Andrew Crawley

Assistant Professor, School of Economics  
and Lab Director, Maine Regional  
Economic Modeling Lab, Umaine

**5th year Assistant  
Professor of Economics**

**Research Interests in  
economic modeling, applied dynamic  
forecasting, and regional labor market**

**Email: [andrew.crawley@maine.edu](mailto:andrew.crawley@maine.edu)**





## Agencies and Collaborations

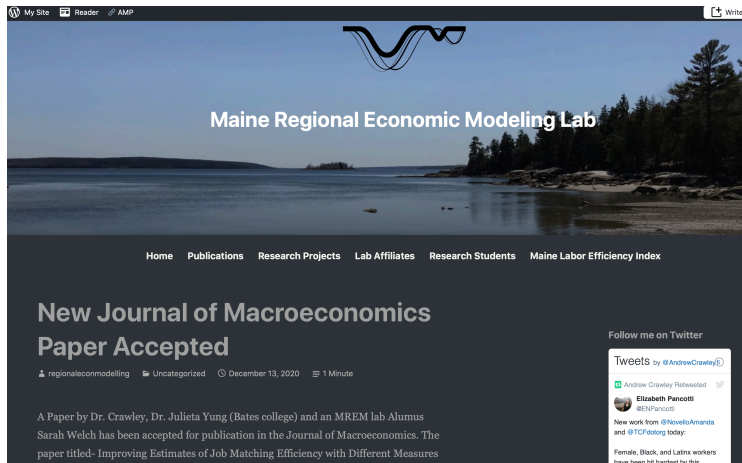
Service to the State of Maine

Demonstrated success obtaining external funding for my research (Over \$700,000 dollars since arrival at UMaine)





## Founded and Direct The Maine Regional Economic Lab



**Use-inspired Research:** Publish cutting-edge research that tackles real world economic problems in top tier academic journals

**Land-grant Mission:** Integrate service, teaching and research activities

- Economic Contribution and Impact Analysis
- Forecasting and Modeling
- Custom Econometric Modeling
- Simulation Analysis
- Labor Market Modeling
- Student Support and Training

Visit <https://regionaleconmodelling.home.blog/>



## Mentor students by providing research and service learning experiences



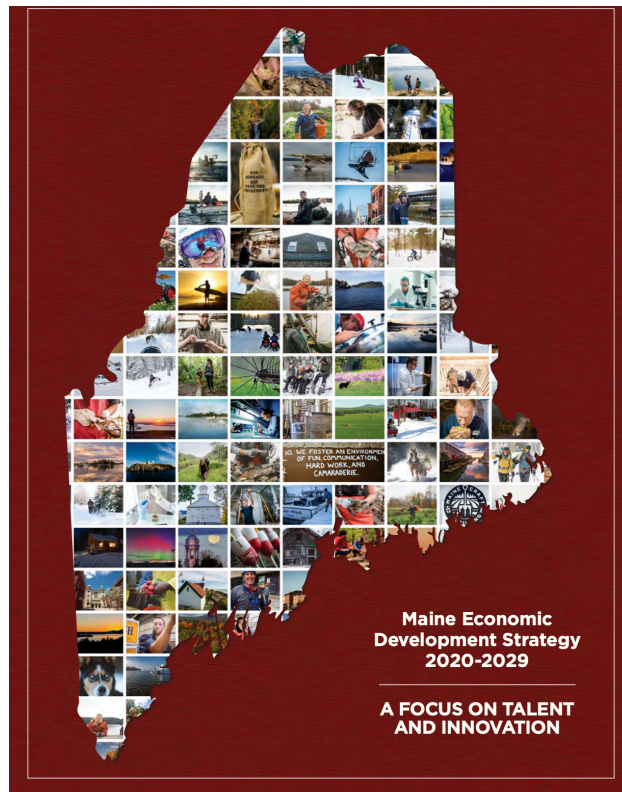
**Angela Hallowell** from Presque Isle received her M.S. in Economics in 2019. She now works in the State Economist's office and has been a key partner on multiple COVID-19 projects.



**Sarah Welch** from Lovell received her M.S. in Economics in 2020. She developed the modeling behind the tax revenue implications of COVID-19. Sarah now works at Milliman as an actuarial analyst in Portland.



## Advanced Thematic Approach to Regional Economic Development



  
Munich Personal RePEc Archive

**A thematic approach to regional economic development: Technical report for the state of Maine development strategy 2020-2029**

Crawley, Andrew and Hallowell, Angela  
University of Maine, State of Maine

20 August 2020

Online at <https://mpr.ub.uni-muenchen.de/102540/>  
MPRA Paper No. 102540, posted 21 Aug 2020 11:05 UTC

- Integrated theoretical and applied economic insights
- Informed the Maine Economic Development Strategy
- Linked to approach used in other States in the US, the UK and Australia
- Provided first-rate student research experiences



# Conducting COVID-19 Economic Assessments

## Initial Rapid Analysis of 5 Core Areas

Tourism spending, travel-related spending, cruise ship spending, state revenues and overall sectoral output changes

## Maine Dynamic Labor Index

## Gender Disparities Following the Pandemic Recession

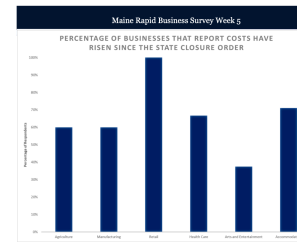
## Maine RAPID Business Survey



UMaine researcher, students help state officials forecast economic fallout in Maine from COVID-19

May 18, 2020

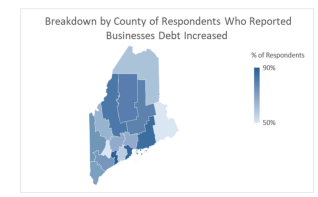
A University of Maine researcher and six graduate students are helping Maine state officials estimate the economic fallout from the coronavirus pandemic.



This week we explored whether businesses had experienced higher costs as a result of the pandemic. Across most sectors businesses reported increased costs; the highest being retail with every single respondent noting an increase in costs. 70% of respondents from accommodation and food also reported increased costs. The sector that had the fewest businesses reporting increased costs was the arts and entertainment (below 40%). The survey further questioned the reasons for the increase in costs, with materials being overall the most significant area of increased costs for all sectors. Although, some notable exceptions were found in Agriculture and the Arts and Entertainment sectors, who reported the highest increase in labor costs, 50% and 67% respectively.

| Business Sector           | Accommodation and Food | Retail Trade | Arts and Entertainment | Health Care | Manufacturing |
|---------------------------|------------------------|--------------|------------------------|-------------|---------------|
| Percentage of Respondents | 70%                    | 70%          | 40%                    | 60%         | 60%           |

**Debt**  
With increased costs, the survey also focused on whether businesses had found increasing debts. Overall most respondents across all sectors reported increasing debts. These debts were coming in the form of loans from banks as well as credit cards and bank overdrafts. Response by county show the variation that exists across the state, where 90% of businesses in Sagadahoc county reported an increase in debt. In comparison, only 40% of businesses in Androscoggin county reported increased debts. A more in-depth analysis of this will be published next week.



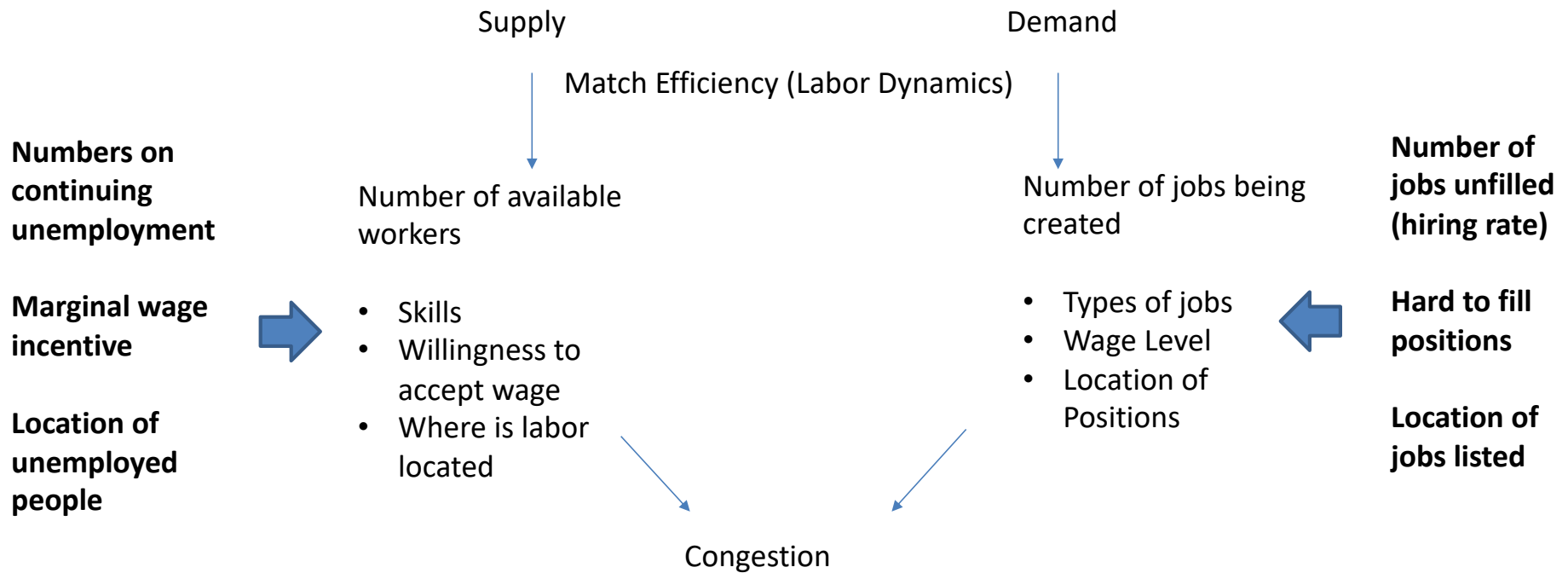
**Thank you to those who are completing the survey!**  
Thank you for being part of the Maine Rapid Business Survey panel being run by the School of Economics at the University of Maine. Your responses over the final week 6 will help us gain a critical understanding of the present economic conditions that businesses are experiencing in Maine.

This Analysis has been conducted by the Maine Regional Economic Modeling Lab for University contact: Lab Director: Dr. Andrew Conway (andrew.conway@umaine.edu)



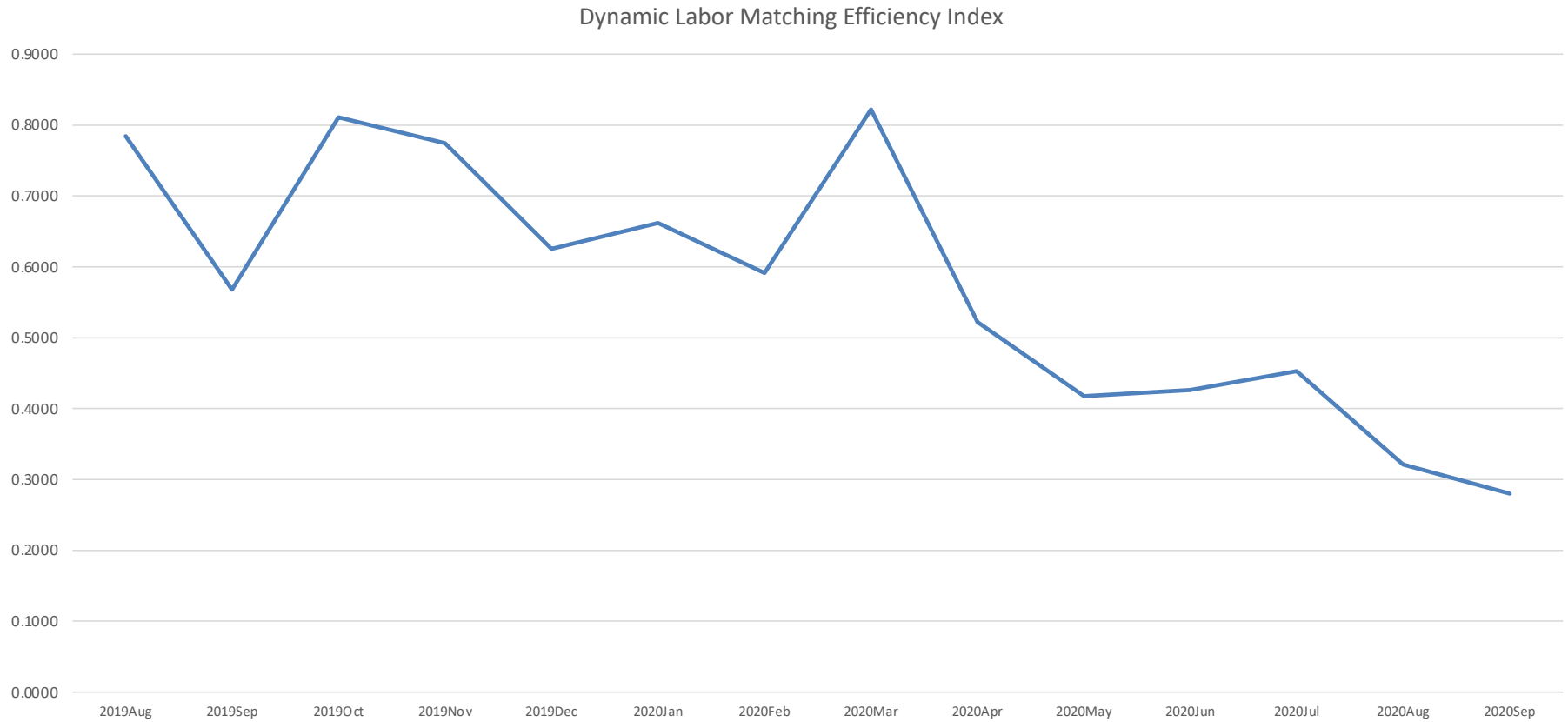


# Developed Maine Dynamic Labor Index to better understand changing labor market conditions





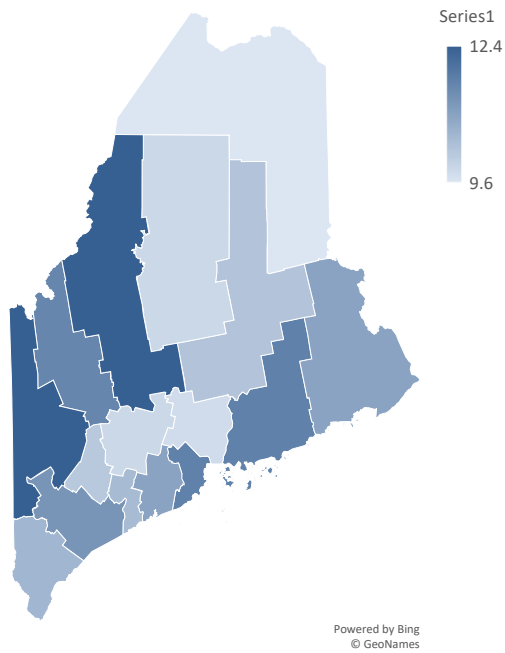
# Maine Dynamic Labor Index Captures Impact of Pandemic



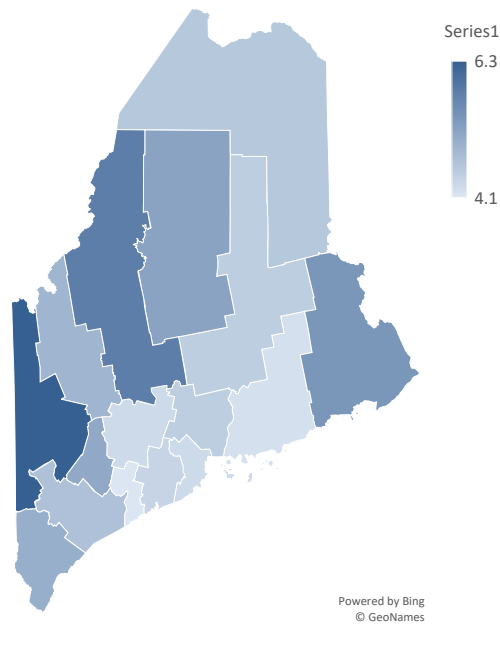


# Labor market challenges differ across counties

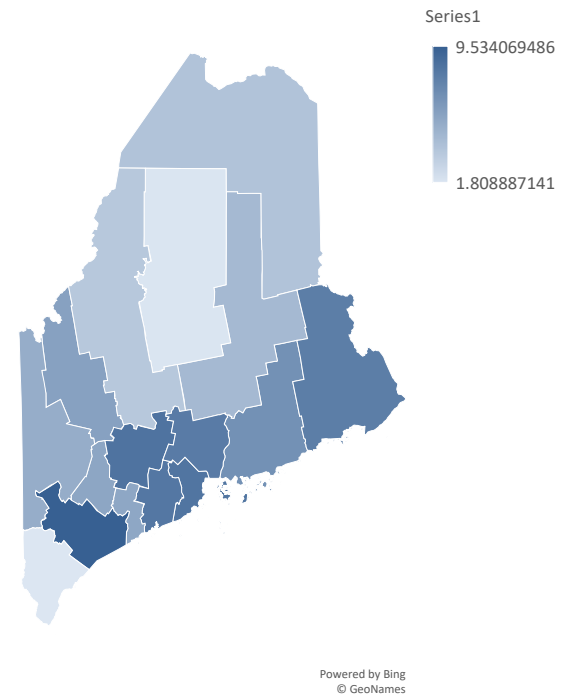
April 2020 Unemployment Rate by County



October 2020 Unemployment Rate by County



Hard to Fill Jobs Ratio Maine





## **Key UMaine Faculty Supporting Economic Research During COVID**

**Professor Todd Gabe -School of Economics, University of Maine**  
Hospitality Industry & EDA Research (With USM)

**Professor Phillip Trostel- The Margaret Chase Smith Policy Center**  
Workforce & EDA Research (With USM)

**Megan Bailey The Margaret Chase Smith Policy Center**  
Education & EDA Research (With USM)

**Dr. Jonathan Malacarne School of Economics, University of Maine**  
Grain Growers & The Maine Food System

**Professor Jonathan Rubin, The Margaret Chase Smith Policy Center**  
Maine Department of Transport

**Kathryn Ballingall, The Margaret Chase Smith Policy Center**  
Maine Department of Transport

A grayscale photograph of a student sitting at a desk, writing with a pencil. A laptop and a tablet are also visible on the desk. The image is semi-transparent, serving as a background for the text.

# University of Maine System

ON TRACK FOR COLLEGE 2021



# Overview

## Pandemic Upends College Search

- College Fairs, high school visits, campus tours, and engagement with local counselors
- FAFSA applications are down 14%
- 13% decline in first-year, in-state applications



# Engagement

## Pandemic Pathway to Postsecondary Education

Engaged with Admission Offices / Enrollment Managers / FAME

Chancellor's Working Group on Expediting Financial Aid

- UMS -- March and April Offers
- Peers and Privates -- Nov, Dec, and Jan
- FAME issued earlier ME State Grant Guidance
- New Start Date -- Dec 1, 2020
- Financial Aid Offers Out the Door
  - 3,000 by UMaine by end of year
- 80% year-over-year increase first-year, in-state matriculations
  - 271 vs 150

UMS Hosts Statewide Discussion With Admissions Leaders and School Counselors



# On Track for College 2021

## Instant, Individualized and All-Inclusive Virtual Events

- All UMS Admission Offices / FAME
- Expedited -- experts and decision makers
- Family Members

Featuring Student Ambassadors: College in Real Life

## On Track for College Examples

### Promoted Regionally with Micro Campaigns

- Feb 3rd On Track for College: Aroostook
- Weekly Through April Vacation
- Paid promotion -- digital channels students use
- On Track for College Engagement Events
- Coordinate with Local Educators
  - invitations, transcripts, follow-up





# Think Ahead

Now is the time to prepare yourself for your future college career.  
Think ahead. Take the first step to success.

## **Messaging:**

Take that first step. Keep things moving.  
Stay on track. Push yourself. Think ahead.

Are you on track for college deadlines. Think Ahead.

Meet one-on-one with an admissions  
counselor to learn more about the college process. #ThinkAhead  
#GetOnTrack

Have real discussions about financial aid and paying for college.  
Think Ahead.

Uncover your questions and answers. Discover what you want to  
know about college. Think Ahead.



# Media Mix

## Rationale

### ○ PAID SEARCH

Capture users who are actively researching topics that could indicate if they are questioning going to college or considering it not being a viable option. Low cost-per-click buying model will allow UMS to capture clickers at cost-efficient budget levels.

### ○ YOUTUBE

Utilize YouTube to drive a high volume of awareness at a low cost per view. Deliver phased messaging across all screen types target audience is watching content on including mobile, desktop and TV.

### ○ FACEBOOK & INSTAGRAM

Build awareness of UMS and drive interest in applying among users including students and influencers like parents and teachers. Do this through sequential messaging to students, family and teachers, taking them through event signup, financial messaging and application completion. Utilize multiple ad units like event signup, video ads, Instagram and Facebook story ads and link ads.

### ○ TIKTOK

TikTok is a video based social media platform with over 1.5 billion downloads and has over 500 million active users worldwide. The platform has become incredibly popular with teens and millennials, with 41% of users being between the ages of 16-24. Users spend time creating and watching videos, responding to challenges and engaging with content. We can utilize TikTok to reach young adults who have been increasingly more difficult to reach via traditional social media platforms.

### ○ PROGRAMMATIC DISPLAY

Cost efficiently reach prospects wherever they are online – across devices and websites. Utilize sequential marketing approach to build awareness, generate event registrations, apply for financial aid and drive enrollment.



# Media Mix

## Rationale

### LINKEDIN

Utilize the professional social media network to reach influencers like teachers, coaches and guidance counselors to drive event awareness and application reminders.

### GMAIL

The true power of Gmail comes from the ability to expand email marketing reach without acquiring new database information, with an efficient cost per click model. Propose using Gmail to reach parents and student influencers to deliver UMS messaging directly to their inbox.

### BANGOR DAILY NEWS

Utilize Maine's largest online news source to reach parents, influencers and young adults through a video and mobile-focused campaign to build awareness and admissions event participation.

### LOCAL DISPLAY –

Pressherald.com & CentralMaine.com

Reach parents, build awareness and drive event enrollment via a high frequency display campaign on 2 of Maine's most highly trafficked local media news sites.

### SPECTRUM CONNECTED TV (OTT)

Leverage consumer behavior shifts around the increased adoption of OTT as viewers continue to cut the cord on traditional cable services and are spending more time at home since the pandemic. Drive awareness of UMS universities and admissions events using high-impact OTT video creative in a non-skippable, highly viewable environment.





*Maine's  
Public  
Universities*

**UNIVERSITY OF MAINE SYSTEM**

# **Research Faculty Affiliates and Exchange**

Joan Ferrini-Mundy, President University of  
Maine and University of Maine at Machias

Rebecca Wyke, President University of Maine at  
Augusta

Jason Charland, Senior Advisor to the President  
and Director of Research Development,  
University of Maine

**UMS BOT Meeting – January 25, 2021**



## Key Elements

1. Advance *Unified Accreditation* via a faculty registry of teaching and research expertise
2. Formal affiliation with the UMaine Graduate School
3. Access to established colleagues, research infrastructure, and graduate students to increase UMS research competitiveness and intercampus collaboration
4. Pilot - sabbaticals to UMaine coupled with trained graduate students providing teaching replacement at sending campuses



# Intercampus Planning Committee

- Joe Szakas, Vice President of Academic Affairs / Provost and Professor of Computer Information Systems, UMA
- Jason Johnston, Dean, College of Arts & Science; Associate Professor of Wildlife Ecology, UMPI
- Jason Charland, Senior Advisor to the President and Director of Research Development, UMaine



## **Establishment of a UMS Faculty Registry**

- Highlight teaching and research expertise of UMS faculty
- Credential faculty in their respective disciplines across UMS
- Provide opportunities to teach at the graduate-level and to serve on dissertation and thesis committees
- Utilize as a way to share and highlight UMS expertise with external audiences (state government, external research collaborators, internship and commercialization partners, student recruitment/enrollment management, etc.)



**GOAL:** Extend an invitation to any interested UMS faculty to apply for a formal research faculty affiliation with the University of Maine. This would allow UMaine research faculty affiliates to access all of the UMaine services and supports for research, to partner with successful research faculty here, to work with graduate students based in UMaine programs, to teach graduate courses, and to pursue new projects and ideas with UMaine faculty, centers and institutes.

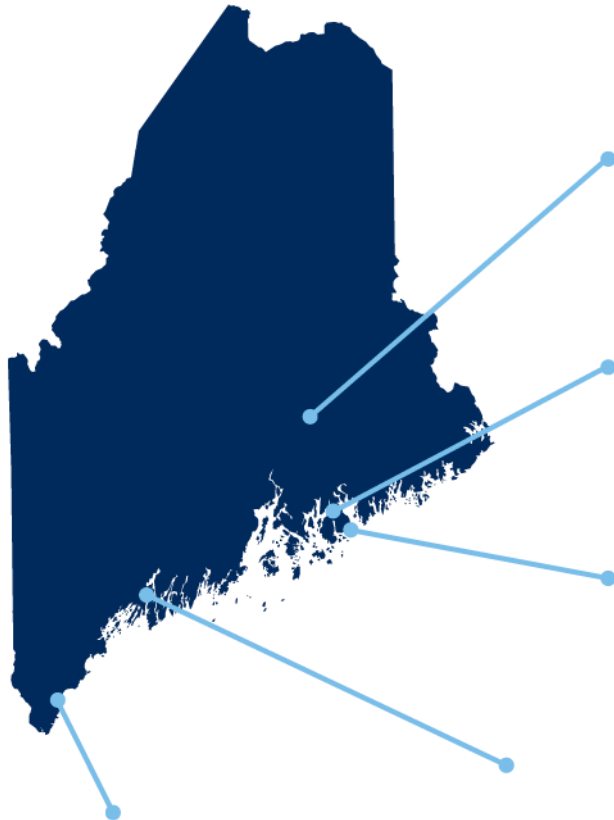
## Connecting Points

1. UMS Research Initiatives
  - UMS Research Reinvestment Fund Rural Health and Wellbeing Grand Challenge; MEIF Small Campus Initiative; UMS Grants Academy Participants
2. Harold Alfond Foundation UMS TRANSFORMS
  - Student Success; Maine College of Engineering, Computing and Information Science; Maine Graduate and Professional Center
3. Established UMS Graduate Programs
  - UMA; UMaine; UMF; UMaine Law; UMPI; and USM





## Example of established graduate faculty affiliation



*Leading the search  
for tomorrow's cures*



Maine Medical Center  
Research Institute

A MaineHealth Member



| Locations       | Students  | Faculty    |
|-----------------|-----------|------------|
| UMaine          | 26        | 66         |
| JAX             | 6         | 39         |
| MMCRI           | 10        | 23         |
| UNE             | 6         | 23         |
| MDIBL           | 3         | 14         |
| OTHER           | 3         | 30         |
| PSM<br>(Online) | 21        | -          |
| <b>Total</b>    | <b>75</b> | <b>195</b> |



Some UMS faculty are already affiliated with GSBSE and others are already affiliated with the UMaine Graduate School.

**GSBSE:**

UMA: Kate Darling, Matthew Dube, and Con Sullivan

**Graduate School:**

UMA Peter Milligan, Robert Bernheim, Richard Nelson

UMF Christopher Bennett, Brian Cavanaugh, Donna Karno, Elyse Pratt-Ronco, Meredith Swallow, Rachel Hovel

UMFK Neil Thompson

UMM Lois-Ann Kuntz, Brian Beal, Stuart Swain, Tora Johnson

UMPI Alana Margeson, Larry Feinstein, Chunzeng Wang, Wendi Malenfant

USM Richard Bilodeau, Bert Smoluk, James Suleiman, Cynthia Tollerson, Firooza Pavri, Alexander Lapidus, Emily Newell, John Muthyala, Andrea Stairs-Davenport, Elizabeth Bischof, Walter Kimball, Ashley Towle



## Graduate Student Teaching Exchange

- UMaine's Center for Innovation in Teaching and Learning (CITL) provides professional development in undergraduate teaching for graduate students
- Graduate Teaching Academy (GTA)
  - Learning goals
    - Writing a teaching philosophy
    - Inclusive teaching strategies
    - Principles of classroom design
    - Active learning strategies
- GTA graduates could be identified to provide teaching relief for sabbaticals/course buyouts for a pilot cohort of UMaine Research Affiliates
  - Provides protected time to research active faculty
  - Opportunity to expand HAF research learning programs to other campuses via the connections UMaine research affiliates make
  - Enhanced graduate student experience (e.g. instructor of record on CV)
  - Innovative workforce development pathway within the UMS

**UNIVERSITY OF SOUTHERN MAINE**  
**Career & Student Success Center / Portland Commons**  
*Update for Board of Trustees*  
*January 25, 2021*

# PROJECT BACKGROUND / CONSIDERATIONS

# Project Impetus

- USM began experiencing student housing shortage in AY 2017-2018. Prior to the pandemic housing capacity rates were 110% - 115%.
- USM Portland campus has never had a residential option, even though campus hosts numerous USM classes, and strong demand exists among USM students to live and study in Portland.
  - Brailsford & Dunlavey market demand surveys conducted in spring 2019 and November 2020 both showed robust housing demand among students—sufficient enough to add Portland beds without cannibalizing Gorham demand
  - USM Enrollment Management leadership believes project plans are already driving an increase in out-of-state demand
- Portland lacks adequate affordable housing—the market has tightened considerably in recent years, and demand appears to have accelerated since the onset of pandemic.
  - Portland Mayor, City Council, and area Legislators have identified increasing affordable housing stock in the City as a top priority
- Prior to pandemic, USM was experiencing greater demand for housing from out-of-state applicants than it could fulfill.

# Project Opportunity / Considerations

- Development of Portland Campus takes advantage of a leading, highly diversified UMS asset.
  - Portland residential location stands to attract / fulfill greater out-of-state demand + in-state demand among Greater Portland high school graduates
  - Unites with concept of Graduate Center, allowing Maine Law students and graduate students first-ever opportunity for residential living at below-market prices
  - Urban living experience does not exist in UMS operational portfolio → students seeking urban experience look elsewhere
- Execution of Career & Student Success Center, Portland Commons and Green Quad project fulfills significant component of USM Portland Campus Master Plan.
  - Approved by UMS BOT in January 2019
- In early 2020, after consultation with UMS and USM finance team, UMS BOT selected internal financing from three project funding models (UMS Revenue Bond / 501 c3 / P3 Equity)
  - Financing model's projected returns remain profitable
  - Since January, pandemic has occurred. November B&D survey demonstrates continued robust demand, but post-pandemic conditions remain unknown

# PROJECT STATUS / FINANCES



# Project Status

- **January 2020:** UMS BOT authorizes USM to expend up to \$5.7m in pre-development work on CSSC & Portland Commons residence hall project.
  - USM/UMS executes \$5.7m pre-development agreement with CDP in May
- **November 2020:** City of Portland Planning Board unanimously approves project site plan with sufficient parking as condition of approval.
- **June 2020 – January 2021:** USM/UMS negotiates Development Agreement with Capstone Development Partners.
  - Estimated project costs of \$70.7m for Portland Commons Residence Hall and \$27m for the CSSC
  - Estimates based on 60% construction documents; will be updated January 21 with final guaranteed maximum price (GMP)
- **January 2021:** USM/UMS seeking to execute construction phase of the project.
- **Winter / Spring 2021:** Demolition of Woodbury Student Center and 25 Bedford Street; begin construction of CSSC and Portland Commons project with a **completion date of June 2023** → project timeline is on track.

# Project Finances

- **February 2020:** BOT authorized UMS to issue \$95m in revenue bonds to support USM's proposed Career & Student Success Center, Portland Commons, and associated parking needs.
- **Portland Commons:** Estimated project cost is \$70.7m. Projected cost falls within range of \$65m - \$74m presented to BOT but is greater than \$65m - \$68m range in PDA.
  - Increased projection due to Passive House costs exceeding estimates, Building Committee's decision to upgrade exterior cladding (+\$1m), Planning Board condition of pedestrian improvements (\$130k), and current construction market conditions (+\$2m)
  - Energy & maintenance savings are expected from Passive House and exterior upgrade, respectively; value engineering to save \$1m
  - Financing strategy of utilizing bank loan until post-project completion revenue bond issuance expected to save \$2.9m in financing costs

## Project Finances (cont'd)

- **Career & Student Success Center:** Estimated project cost is \$27m. USM will fund with \$19 million in voter-approved bond funding, philanthropy, and debt
  - Project costs > \$25m estimate due to current construction market conditions + project scope
  - USM/UMS reduced the budget from \$31m following pandemic outbreak

### Combined Project (PC / CSSC) Estimated Return @ 95% occupancy

- **50-year NPV = \$52.0m**
  - *Conservative modeling accounts for R&R transfers, combined operations coverage, and full funding of debt service for CSSC (i.e., with no additional philanthropy). Absent debt service, NPV = \$58.1m*
  - P3 Equity Model NPV = \$4.3m (60-year ground lease)
- **Combined PC / CSSC Cash Flow: Year 3\* = \$526k; Year 10 = \$1.36m**
  - *Absent CSSC debt service, cash flow Yr 3\* = \$885k; Yr 10 = \$1.72m*
- Execution risk: continued strong projections do not eliminate risk inherent in University-owned project with associated debt service payments

\* Year 3 represents weakest projected cash flow annual period due to onset of principal payments.

# MARKET DEMAND SURVEY RESULTS

# Student Housing Survey

- **Following USM's presentation to the FFT Committee on September 2, the University engaged Brailsford & Dunlavy (B&D) to conduct an updated survey** of USM undergraduate, graduate, and Maine Law students to assess demand for housing on USM's Portland campus.
- This survey followed the B&D survey from 2019 and was conducted during November 2020.
  - Online survey targeted at all USM students directly informed B&D's demand model
- Response rate was greater in 2020 than original 2019 survey.
  - Responses received from 1,351 USM students
  - 17% of student population responded to survey in 2020 compared to 11% in 2019
- Survey results reflect overall demand for on-campus housing at USM is stronger now than in 2018-2019.
  - Increased demand for housing on the Gorham and Portland campuses → 1,899 in November vs 1,757 in spring 2019 (+8%)
  - Housing guideline shift adding Sophomore eligibility for Portland Commons would ensure more robust demand based on submarket variation from prior survey

# Student Housing Survey (cont'd)

## Key Survey Findings

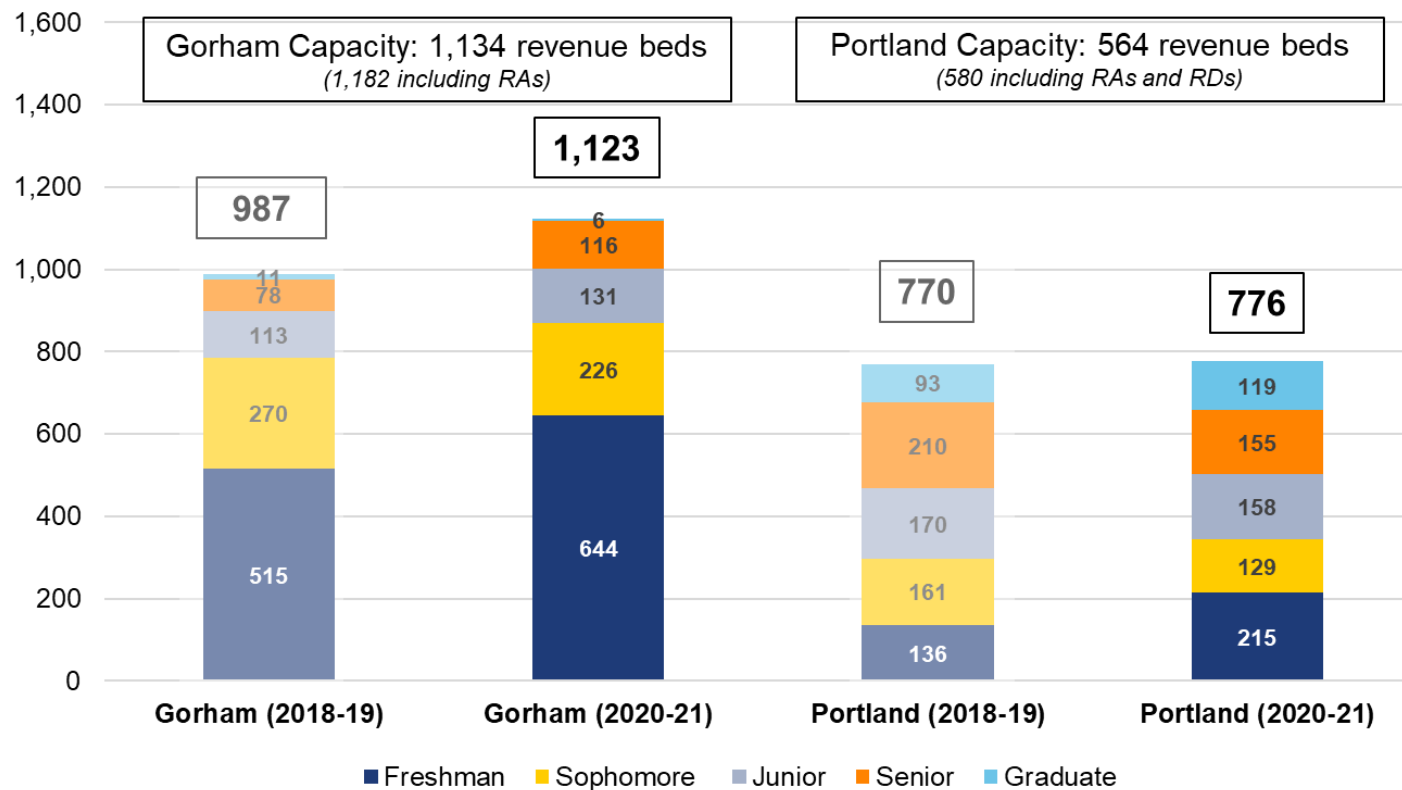
- On-campus housing costs have become even more attractive as compared to the off-campus market as average rental rates both in and outside of Portland continue to increase
- 2020 survey shows students renting off campus paid 23-24% more in average rent and utilities than in the 2018-19 academic year
- Students renting off campus generally chose not to sacrifice their unit type preferences (private bedroom / bathroom, etc.) to save on rent
- While student renters highly prioritize affordability, proximity to campus and unit type are also important housing decision factors
- The COVID-19 pandemic has not negatively impacted USM students' desire to live in on-campus housing

# Student Housing Survey (cont'd)

## Key Survey Findings – Raw Demand

- Overall demand for on-campus housing increased 142 beds (+8%).
- Without adjustment for class level guidelines, Gorham demand = 99% of capacity and Portland demand = 138% of capacity.

**Demand for Housing by Class Level**

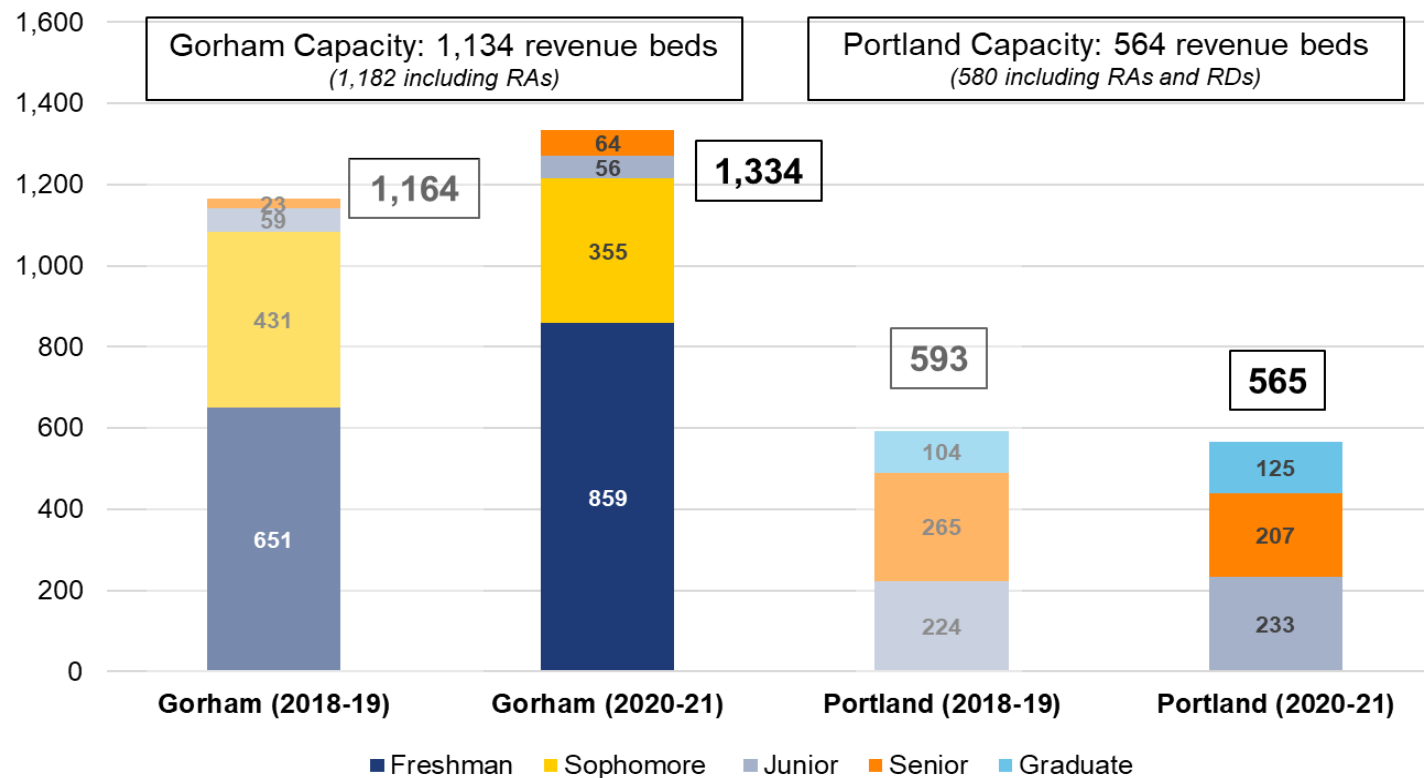


# Student Housing Survey (cont'd)

## Key Survey Findings – 2018 Guidelines

- Portland Commons to house only juniors, seniors, grad / law.
- ***With the applied guideline, demand for Portland Commons meets existing program; demand for Gorham exceeds capacity.***

### Demand for Housing: Class Level Guidelines Adjustment



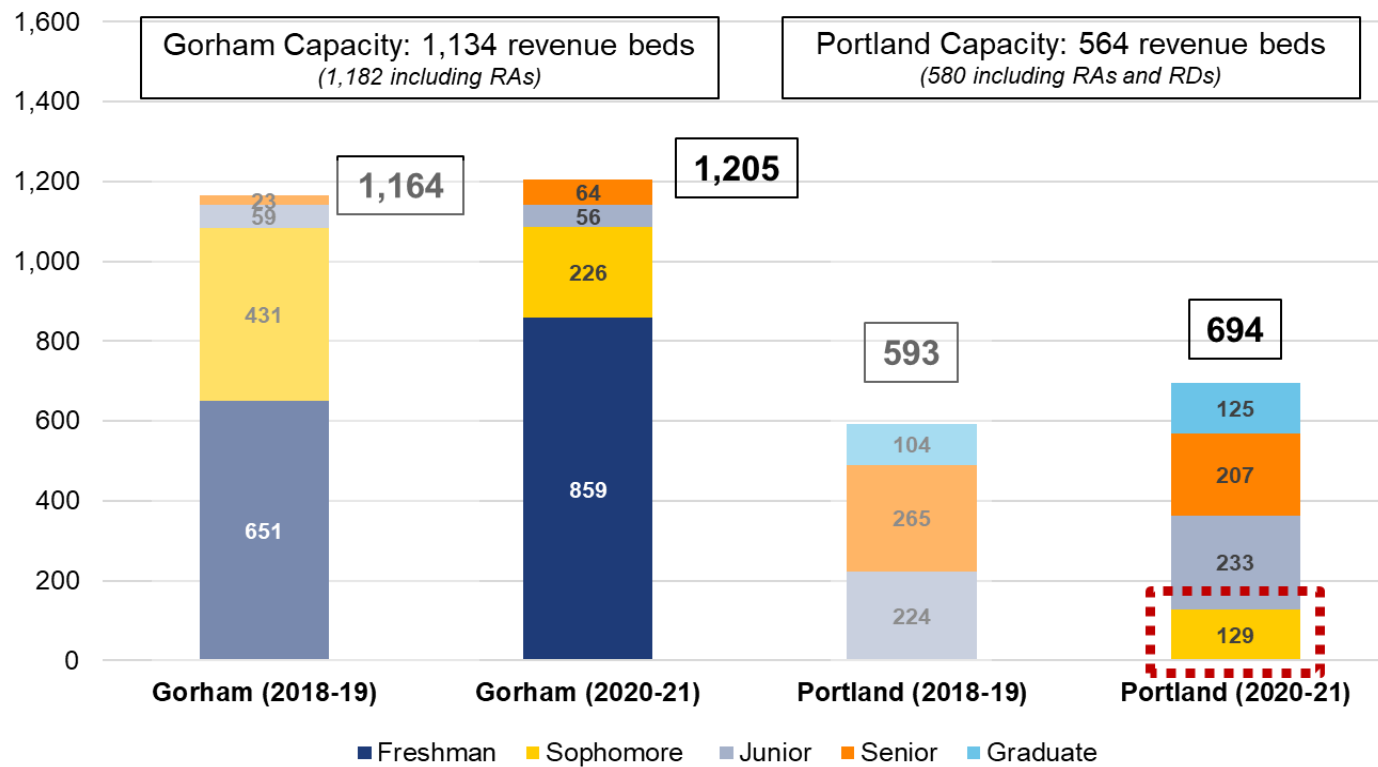


# Student Housing Survey (cont'd)

## Key Survey Findings – Updated Guidelines

- Portland Commons to house sophomores, juniors, seniors, grad / law.
- ***With the applied guideline, demand for Portland Commons well exceeds capacity; demand for Gorham exceeds capacity.***

Demand for Housing: NEW Class Level Guidelines 2020-21



# Related Parking Project

- **New Structured Parking on USM Portland Campus:** In July, USM/UMS selected Desman Design Management to design garage
  - USM/UMS held project kickoff meeting with Desman on August 10
  - Desman first conducted a site plan review, analyzing four sites on USM's Portland campus. Based on Desman's review and recommendation, the Structured Parking Building Committee (SPBC) will select a site for the new garage
- **Schematic Design is scheduled to begin this month**
  - BOT approval for parking garage expenditures included up to \$1.2 million for initial design, with Chancellor sign-off required for expenditures in excess of \$400,000
- **Project will have a separate City Planning Board process**
  - SPBC to submit for Planning Board approval during spring 2021
  - Construction to be completed by the spring of 2023

# Career & Student Success Center Residence Hall View of Quad



# Career & Student Success Center Residence Hall Bedford Street View in Spring



# Career & Student Success Center Residence Hall Bedford Street View in Winter



# Career & Student Success Center Residence Hall Bedford Street Façade and Residence Hall Entry



# Career & Student Success Center Residence Hall Crossing Bedford Street from Wishcamper



# Career & Student Success Center Residence Hall Lobby of CSSC





# Career & Student Success Center Residence Hall South Façade of CSSC



# Conclusion

- The Career & Student Success Center, Portland Commons Residence Hall, and the Green Quad will **fulfill a significant portion of USM's Portland Campus Master Plan.**
- **The project will transform USM's Portland campus**, adding affordable on-campus housing, which has been prioritized by City leaders, and creating a state-of-the-art Career & Student Success Center.
  - Students will be able to congregate, dine, study and pursue career-related activities
  - Project will frame a campus green that will become USM's Portland entryway
- **Achieves key University objectives:**
  - *Transform surface parking lot into Residential Quad*
  - *Add affordable student housing on USM Portland campus*
  - *Balance design and construction quality with impactful commitment to sustainability*

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# UMS Imperative for Change

Board of Trustees Meeting: January 25, 2021

**June 2020:** *“The actions our universities have undertaken to address systemic racism are laudable... We can do more, and we can be better. And we simply must.”*

June 5, 2020. Chancellor Dannel Malloy

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# National Geographic depiction of what Americans will look like in 2050



| Year when whites become minority (by Age Group) |            |
|---|------------|
| Total Population                                | 2043       |
| Under 18  | 2018       |
| Age 18 – 29                                     | 2027       |
| Age 30 – 64                                     | 2035       |
| Age 65+   | After 2060 |

Source William H. Frey, Brookings Institution analysis of US Census Bureau population projections released December 12, 2012.

**A Caucasian under the age of 18 became a demographic minority in 2018. That's 42 years earlier than someone currently over age of 65.**



## Can we compete?... As a University? As a State?

- UMS employs ~6,000 people in regular/temp. positions; Just 6.5% from under-represented groups (race/ethnicity)
- The gap compared to our 12.4% student diversity: 5.9%; to New England demographics: 10.1%

Headcount Report Oct. 2018

**We know our commitment needs to be maximizing our students' education and meeting our State's needs.**



**Three out of the eight NACE Career-Ready skills desired by Employers denote specific DEI knowledge, skills and abilities:**

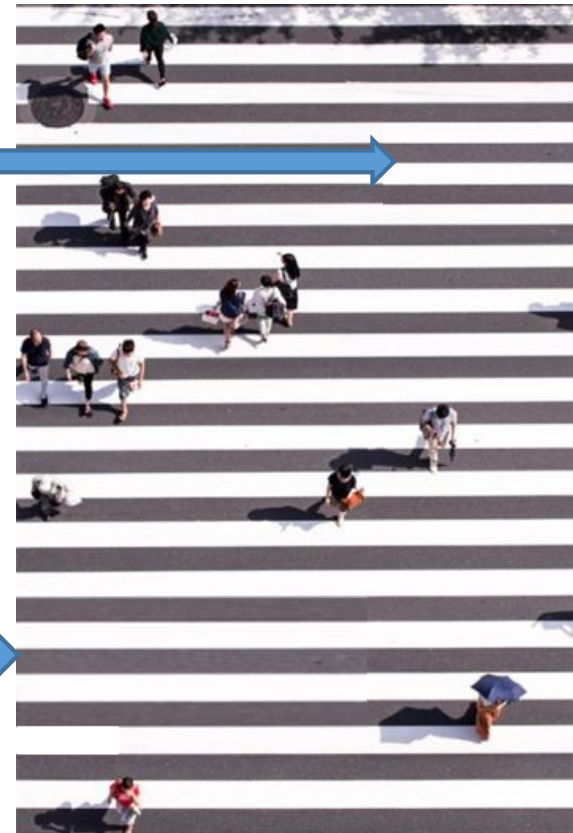
- (1) Teamwork/ Collaboration
- (2) Leadership
- (3) Global/Intercultural Fluency

# Are We Welcoming?

- Personality
- Age
- Race
- Gender Identity
- Ethnicity
- National Origin
- Ability/Disability
- Sexual Orientation
- Religion
- Work Experience
- Educational Background
- Recreational Habits
- Personal Habits
- Income
- Geographic Location
- Marital Status
- Parental Status
- Appearance
- and more...



We feel welcomed,  
valued and can  
contribute and learn in  
ways that benefit  
everyone at UMS.

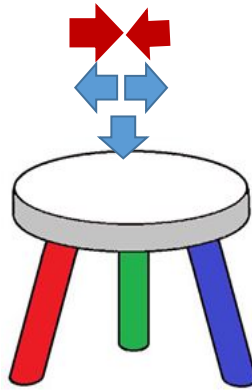


UMS: race, color, religion, sex, sexual orientation, transgender status, gender expression, national origin, citizenship status, age, disability, genetic information or veteran's



## The Unified Accreditation / Board Governance Imperative

- University Diversity Councils**
- Objectives & Key Results (OKRs)
  - Sets directional clarity and priority
  - Identifies and addresses the unique needs of the individual universities
  - Some local resources



- UMS Diversity, Equity & Inclusion Steering Committee**
- Objectives & Key Results (OKRs)
  - Role Governance
  - Supports the formation of a DEI Community of Practice
  - Some central resources

Stewardship & Sustainability

### A Proven DEI Advancement Framework

**Human Capital**  
(Faculty, Staff, Student Employees)

1. Talent Acquisition
2. Care & Support
3. Advancement
4. Diversity Contributions

**Education, Research & Service**

1. Enrollment
2. Care & Support
3. Academic Relevance
4. Faculty & Student Affairs

**Inclusive Culture**

1. Awareness & Interactions
2. Prioritization
3. Environment Integration

Data, Measures and Recognition

## The Role of the Board in Accreditation



### Standards for Accreditation

*Revised Standards effective January 1, 2021 are  
now available.*

[Learn More](#)

### Standard 3: NECHE Governing Board

The board systematically develops, ensures, and enhances its own effectiveness through orientation, professional development, effective self-assessment, and regular evaluation including an external perspective. The board addresses its goals for diversity within its membership. Its role and functions are effectively carried out through appropriate committees and meetings.



# Priorities Recommended by Campus and UMS DEI Leaders

## Inclusive Culture

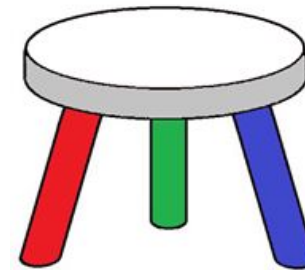
- **Prioritization**
- **Equity Education**

## Education, Research & Service

- **Academic Relevance**
- **Enrollment**
- **Care and Support**

## Human Capital (Faculty, Staff, Student Employees)

- **Talent Acquisition**
- **Care and Support**



Data, Measures and Recognition

The following pages provide examples of work occurring and then list imperatives for being able to do this work at a more meaningful level. The examples shown are just a sample; there is more work occurring, just as there is more that UMS needs to do to make more strides in creating an Inclusive University.


# Inclusive Culture: Prioritization

## Samples of Current Work


### Changes in 2020-21

- New Associate VP for Equity, Inclusion, and Community Impact - *Dr. Idella Glenn*
- IDEC (previously IDAC)
  - An inclusive forum to discuss inequity and problem solve
  - Changes to Structure
  - IDEC Fellows

<https://um.maine.edu/president/usms-idec-student-fellows>

- DEI Council
- Strategic Plan 2025: OKRs and intentional, sustainable planning toward a culture of belonging




### MAINE DEI LAW Progress

UNIVERSITY OF MAINE SCHOOL OF LAW

#### Creation of the DEI Task Force

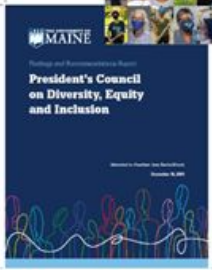
- Four dedicated Working Groups: (1) Curricular Initiatives, (2) Programming, (3) Student/Faculty Recruitment and Retention, and (4) Diversity Plan.
- Comprised of 26 faculty, staff, students, and alumni
- Listening, assessing, and recommending actions by Maine Law and the Maine Bar that will improve inclusion, equity, and justice.



The council helped **develop a statement** about the high value that UMA places on pedagogy, engagement, and scholarship related to diversity, equity, and inclusion. We want that to be widely publicized to support students, faculty, and staff who are doing this important work.

### Structural Impediments

- Retaining Great Talent: Creating a welcoming environment from orientation
- Supporting DEI Professional Development: Building awareness and skills
- Search and Enrollment: Faculty, staff and students
- Culture Integration: Curricular, visual representation, cultural norms/lore
- DEI Governance: Guiding documents, roles, aligned/supported by UMS




### Diversity, Equity & Inclusion Council

### UMF is aggressively strengthening its inclusive culture and the institutional structures that support DEI on campus and in our community

DIAT Priorities Include:

- Implementation of UMF Strategic Plan Objectives and Goals related to DEI
- Support the development of the Bias Incident Response Protocol
- Hire a staff member responsible for DEI training and programming
- Implementation of recommendations for sustained work toward anti-racism






## Inclusive Culture: Prioritization

### Recommendations

#### UMS Diversity, Equity & Inclusion Steering Committee

Objectives & Key Results (OKRs)  
Role Governance  
Some central resources

Suspended since 2016;  
Objective to reinitiate 2021.



*I am also acutely aware that there are currently no Black, Wabanaki, or other racial or ethnic minority Trustees on the UMS Board, and there is little racial diversity among System and university leadership.*

UMS Chancellor Dannel P. Malloy  
June 5, 2020 *Imperative for Change* message



Commitment of UMS  
demonstrated in our ongoing  
Accreditation work.

# Inclusive Culture: Equity Education

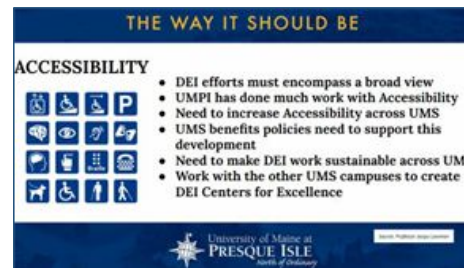
## Samples of Current Work and Recommendation



**UNIVERSITY OF SOUTHERN MAINE**  
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**Common Read:**  
*How to be an AntiRacist*  
Dr. Ibram X. Kendi

- Making USM an Anti Racist Institution- having crucial conversations with others about Race and Equity



**THE WAY IT SHOULD BE**

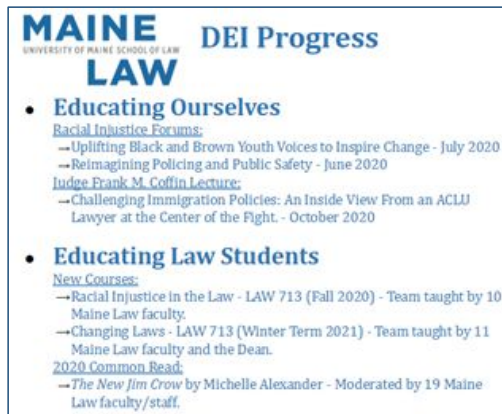
**ACCESSIBILITY**

- DEI efforts must encompass a broad view
- UMPI has done much work with Accessibility
- Need to increase Accessibility across UMS
- UMS benefits policies need to support this development
- Need to make DEI work sustainable across UMS
- Work with the other UMS campuses to create DEI Centers for Excellence

University of Maine at PRESQUE ISLE  
School of Management

## Recommendation

Resource the UMS Academy Platform to support well-coordinated, robust DEI Education that is implemented, evaluated and sustained. The design, based on a CUPA-Award winning model, is already prepared. Support and incent contributions from internal talent across all of our universities and external resources.



**MAINE SCHOOL OF LAW** DEI Progress **LAW**

- **Educating Ourselves**  
Racial Injustice Forums:  
→ Uplifting Black and Brown Youth Voices to Inspire Change - July 2020  
→ Reimagining Policing and Public Safety - June 2020  
Judge Frank M. Coffin Lecture:  
→ Challenging Immigration Policies: An Inside View From an ACLU Lawyer at the Center of the Fight - October 2020
- **Educating Law Students**  
New Courses:  
→ Racial Injustice in the Law - LAW 713 (Fall 2020) - Team taught by 10 Maine Law faculty.  
→ Changing Laws - LAW 713 (Winter Term 2021) - Team taught by 11 Maine Law faculty and the Dean.  
2020 Common Read:  
→ *The New Jim Crow* by Michelle Alexander - Moderated by 19 Maine Law faculty/staff.



1865 THE UNIVERSITY OF MAINE UMM

Partnering with Maine Wabanaki Tribal Leaders to develop an educational series about Wabanaki history and culture in ME.

# Education, Research & Service: Academic Relevance

## Samples of Current Work and Recommendations

**UNIVERSITY OF SOUTHERN MAINE**  
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### Academic Relevance

- **Issue Identified:** Curriculum & pedagogy not inclusive or culturally aware
- **Solution Identified:** Audit each program with a common framework tailored to each department.
  - ◆ Social Work, Public Health, Women in Gender Studies, Honors, Education and School of Nursing are engaged in this work already
- **Recommendations:** Scale existing model to cohort of 10 Departments

Associate VP Equity, Inclusion and Community Impact

Deans & Provost

Department Chairs

Graduate Assistants

**THE UNIVERSITY OF MAINE**

Findings and Recommendations Report

### President's Council on Diversity, Equity and Inclusion

Submitted to President José Perillo-Morisy  
December 16, 2020

## Recommendations

### Expand the scope and scale of this work:

- Curricular Review
- DEI Research Capacity
- Partnerships and Service for local and statewide Improvement

**Margo Lukens**  
Margo Lukens is a professor in the UMaine Department of English. She teaches colonial to 19th-century Anglo- and Native-American literatures and has specialty experience in DEI curricular review.

**THE UNIVERSITY OF MAINE**

We are putting out a call for **DEI related Mini-Grants** for those of you who have ideas about how to bring DEI work to UMA. This is an opportunity for students, faculty, and staff to take on leadership roles in developing DEI related workshops, events, and activities at UMA. Please consider applying—the deadline is **January 29**.

# Education, Research & Service: Enrollment, Care and Support

## Samples of Current Work and Recommendations



We are recommending **Equity and Inclusion Scholarships** be awarded to deserving students who will be able to apply starting next fall. While details are yet to be worked out, students who contribute to diversity, equity, and inclusion work at UMA will be eligible to apply.

UMS Admissions decisions implemented 2020

1. Removal of questions related to criminal and discipline history that acted as a barrier to justice involved students
2. Decision to be test optional for undergraduate admissions

## Recommendations

**Continue the Admissions Audit and Improvements initiated by the CAOCs.**

**Support Structure**

UNIVERSITY OF SOUTHERN MAINE  
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Hired Will Johnson, Director of Intercultural Student Engagement

- ◆ A Resource to the Multicultural Student Body and Organizations
- ◆ Supports The Student Body- Retention!

→ Admissions Recruiting more students from diverse backgrounds in the last five years. Steady increase over the last 5 years 12.23%-14.85%

→ The Admissions Department has become more Diverse and has a Director who also identifies as a minority




### UMF addresses Diversity, Equity and Inclusion through **education and advocacy**

**Advocacy**

- Student organizations
- Rainbow Coalition
  - Multicultural Club
  - Advocates for Disability Awareness



**Coalitions**

- Diversity and Inclusion Action Team (see next slide)
- Student Advocacy Team (gender-based violence)
- Bystander intervention
- Center for Assistive Technology (Maine's only lending library of assistive technology for students and community members)

"Whole student" Admissions review and support/advocacy

Diversity scholarships

First Generation Day; Celebration of Intersectionality

Gender inclusive room assignments in the residence halls; gender inclusive bathrooms on campus



### Diversity Recruitment Action Plan 2020-2025



# Human Capital: Talent Acquisition, Care and Support

(Faculty, Staff, Student Employees)

## Recommendations




**Hiring and Retention**

→ Over the last 5 years, we have steadily increased the diversity of New Tenure Track Faculty Cohorts - from 15% minority in 2015 to 41.6% in 2020

→ We have a urgent need to focus similarly on our staff, only 7% of USM staff overall identify as racial minorities

→ There needs to be additional support for Talent Acquisition

*The Faculty and Staff of Color Association is working on a Mentor-Mentee program to increase the retention of Faculty and Staff.*

*The IDEC Hiring & Retention Committee is working on multiple proposals to support these initiatives.*

*USM requires all members of search committees to engage in a Strategizing the Search & Safeguarding Against Bias Workshop with Human Resources.*

## Recommendations

Relative to HR's proposal: ***Building University of Maine System's Talent & Inclusion Competitive Advantage***

- Engage the Campus Diversity Councils in reviewing it
- Review it in conjunction with the ME's Economic Recovery Committee's DEI recommendations
- Consider recent adjustments in the HR Talent Acquisition roles/structure

**Submit final recommendations as part of a DEI Action Plan. Expand support for Talent Acquisition by the end of the fiscal year.**

# Data, Measures & Recognition

**THE UNIVERSITY OF MAINE** Involvement of Students in Diversity, Equity, and Inclusion

Inclusive Excellence

- Specific proposals from participants in President Ferrini-Mundy's Students Roundtable on Race
- Involvement of students in research and coursework related to DEI
- Five student members of the President's Council on Diversity, Equity, and Inclusion
- Graduate student intern to assist leadership of the President's Council on Diversity, Equity, and Inclusion
- Student organizations across the universities are engaging in DEI initiatives
- Focus on DEI in recruiting and retention

**THE UNIVERSITY OF MAINE** Data and Measurement

*Partnership between the President's Council on DEI and the Office of Institutional Research and Assessment*

Data Collection

Analysis

Discussion and Dissemination

Evidence-Guided Improvement

- Are existing programs and initiatives meeting their goals? What barriers and challenges do they face?
- How can we do a better job measuring the effectiveness of our programs, policies, and practices that support diversity, equity, and inclusion and ensuring that effective ones are sustained?
- Where are the gaps in programs, policies and practices, to build diversity, equity, and inclusion at the University of Maine and the University of Maine at Machias?
- What are opportunities to improve academic, extracurricular and work experiences, for all students, staff, and faculty in our campus communities? => **Upcoming Campus Climate Survey.**

**Diversity, Inclusion & Belonging**

29. In my department, we welcome diversity in all of its forms.

38. This institution has clear and effective procedures for dealing with discrimination.

40. At this institution, diversity in all of its forms is valued.

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**GREAT COLLEGES TO WORK FOR 2021**  
ModernThink Higher Education Insight Survey®  
Full Survey by Theme – **New Items**

46. We are making good progress towards becoming a more diverse and inclusive institution.

48. I feel a sense of belonging at this institution.

50. This institution places sufficient emphasis on having diverse faculty, administrators and staff.

**Faculty & Staff Well-being**

15. My supervisor/department chair shows genuine interest in my well-being.

33. This institution's policies and practices give me the flexibility to manage my work and personal life.

39. This institution takes appropriate steps to protect the health and safety of faculty, staff and students.

44. At work, I know where to go for help with my mental or emotional well-being.

47. My supervisor/department chair supports my efforts to balance my work and personal life.

**UMF has received recognition and support for its DEI initiatives**

In 2020 alone, UMF received the following recognitions:

- National Science Foundation grant to make STEM education more accessible to rural students with disabilities
- U.S. Office on Violence Against Women grant to Reduce Domestic Violence, Sexual Assault and Stalking at UMF
- U.S. Department of Education grant to develop Virtual Global Experiences and Global/Intercultural Competency
- U.S. Department of Education grant to support low-income and first generation students through the Johnson Scholars Program (TRIO).
- Campus Pride named UMF Best of the Best LGBTQ-friendly colleges & universities for 2020-21
- U.S. News recognized UMF as No. 2 for Best College for Veterans based on providing veterans and active duty service members with a more affordable college education
- U.S. News recognized UMF as No. 6 as a Top Performer in Social Mobility based on enrollment of graduate students from lower income households

**Use of an Objectives & Key Results (OKR) Goal Management Framework**

| Focus  | Objectives <small>(Key Result Measures are outlined in the full proposal)</small>  |
|--|--|
| Active recruitment for diverse candidates  | 1. UMS will devise and utilize enhanced proactive diversity sourcing strategies  |
| Search Training  | 2. UMS will develop and coordinate a robust diversity/inclusion toolkit of resources including a sustainable pool of diversity/inclusion facilitators<br>3. UMS will integrate robust diversity, inclusion and safeguarding against implicit bias trainings/processes into all University Searches |
| Commitment to ensuring a Welcoming, Inclusive and Equitable University Environment | 4. UMS will demonstrate a commitment to inclusion; to make it a core and central priority  |

\*Full set of goals in the attached report



# Next Steps Together

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- Make tangible progress
- Become partners in learning as we do this work together
- Leverage expertise and partner to make statewide impact
- Affirm and support this priority, engage yourself and hold us/yourselves accountable
- Support allocation (financial/other) of sustained resources
- Prioritize DEI as an integral, lasting part of UMS

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# UMS Imperative for Change


Board of Trustees Meeting: January 25, 2021

## Questions?

*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 non-discrimination policies: Director of Equal Opportunity, 101 North Stevens Hall, University of Maine, Orono, ME 04469-5754, 207.581.1226, TTY 711 (Maine Relay System).*



# Appendix: Student Success data demonstrates that...





**Teamwork/Collaboration**

Builds collaborative relationships with colleagues and customers representing diverse cultures, races, ages, genders, religions, lifestyles, and viewpoints. Able to work within a team structure, and can negotiate and manage conflict.

**Global/Intercultural Fluency**

Values, respects, and learns from diverse cultures, races, ages, genders, sexual orientations, and religions. Demonstrates openness, inclusiveness, sensitivity, and the ability to interact respectfully with all people and understand individuals' differences.


**Leadership**

Leverages the strengths of others to achieve common goals, and uses interpersonal skills to coach and develop others. Able to assess and manage his/her emotions and those of others; uses empathetic skills to guide and motivate; and organizes, prioritizes, and delegates work.

**Three out of the Eight NACE Career-Ready skills desired by Employers denote specific DEI knowledge, skills and abilities.**

**DEI is the only element that is relevant to and overlaps into three NACE skills.**

Source: Job Outlook 2019, National Association of Colleges and Employers.




# UMS State of IT Report 2020

**Board of Trustees  
January 25, 2021**




**University Services  
Information Technology**

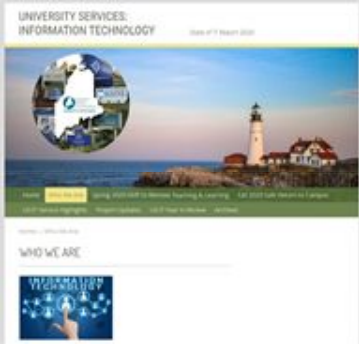
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# State of IT Report 2020









- **Electronic Format**
  - To improve usability, readability and accessibility
    - [wpsites.maine.edu/stateofitreport](https://wpsites.maine.edu/stateofitreport)
- **Report Focus/Theme**
  - UMS IT's response to support the University's Pandemic Response
    - Spring 2020 Shift to Remote Teaching and Learning
    - Fall 2020 Safe Return to Campus




[wpsites.maine.edu/stateofitreport](https://wpsites.maine.edu/stateofitreport)

2









## State of IT Report 2020









UNIVERSITY OF MAINE SYSTEM


- **Spring 2020 Shift to Remote Teaching and Learning**
  - **New services and tools rapidly launched to support remote teaching, learning**
    - Remote Computer Lab Service
    - Virtual Laboratory Simulation Catalog (Labster)
    - Online Examination Proctoring (Respondus)
  - **Leverage existing platforms to facilitate remote student-instructor interactions**
    - Learning Management System (Blackboard Learn)
    - Zoom Web Conferencing
    - Kaltura Video Recording



3









## State of IT Report 2020










UNIVERSITY OF MAINE SYSTEM


- **Spring 2020 Shift to Remote Work**
  - **New services and tools rapidly launched to support remote work**
    - Remote Access Virtual Private Network
    - Remote Desktop Access
  - **Enhancing Communication and Transparency**
    - **Web Technologies team assisted in establishing:**
      - UMS Health Advisory website
      - Together for Maine
      - [servingu.maine.edu](http://servingu.maine.edu)



4











## State of IT Report 2020



UNIVERSITY OF MAINE SYSTEM

- **Fall 2020 Safe Return to Campus**
  - **Critical infrastructure investments and new services deployed to support flexible teaching and learning options**
    - \$2.56M Web-Conferencing Classroom Upgrades
    - Brightspace LMS Implementation
    - COVID-19 Reporting Datamart and Asymptomatic Testing Support
  - UMS OneCard Online Photo Submission












*"I was able to feel safe in the comfort of my home while watching my fellow classmates in class and still be able to have small group discussions."*

*"Everything so far has worked smoothly. The setup is intuitive and easy to use."*


*"This has provided a good way to have students be able to attend class even when they were not able to come in person."*

*"I like how it gives people an option to be virtual if that's what they need to do."*

5











## State of IT Report 2020



UNIVERSITY OF MAINE SYSTEM

- **Non-COVID Projects**
  - Cloud Storage Migration
  - EAB Navigate
  - MyCampus Portal Upgrade
  - ERP Assessment
    - "Repaving MaineStreet"
    - Initial assessment of challenges & opportunities to reconfigure ERP to support Unified Accreditation
    - Expect final report with roadmap recommendations, budget estimates this Spring





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