

University of Maine System – Board of Trustees Meeting  
**March 22, 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, March 22, 2021**

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

The Board of Trustees will go directly into Executive Session

**Executive Session from 8:30 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, March 19<sup>th</sup>. 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 (15 minutes)**

Tab 1 - Appointment of James H. Page as Chancellor Emeritus (10 minutes)

Tab 2 - Establishment of the Trustee Nominating Committee

**Chancellor's Report (10 minutes)**

- Spring Semester Update

**Vice Chancellor for Finance and Administration & Treasurer's Report (35 minutes)**

Tab 3 - Finance & Administration Update

Tab 4 - Gordian (Sightlines) Annual Report

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

Tab 5 - Academic Affairs Update

**Action Items**

Tab 6 - Diversity, Equity & Inclusion (DEI) Steering Committee Reinvigoration (10 minutes)

Tab 7 – Formal Acceptance and Administration of the Harold Alfond Foundation Grants (20 minutes)

Tab 8 – Proposed Changes to Board of Trustees Policy 803 – *Naming of Physical Facilities* (10 minutes)

Tab 9 – UMS 2021 Tenure Nominations (5 minutes)

Tab 10 - Approval of the 2020 Maine Economic Investment Fund (MEIF) Report (15 minutes)

Tab 11 - Approval of the Board Meeting Calendar for FY2022 & FY2023 (5 minutes)

**Tab 12 - Confirmation of Student Representatives to the Board of Trustees (10 minutes)**

**Consent Agenda (5 minutes)**

**Tab 13 - Acceptance of Minutes**

March 3, 2021 Finance, Facilities & Technology Committee

**Tab 14 - Neville Hall Renovations, UM**

**Tab 15 - Interim Financing Resolution**

**Tab 16 - Financing Project Resolution, UM Ferland Engineering, Education & Design Center (EEDC)**

**Discussion Topics:**

**Tab 17 - Unified Accreditation Update (15 minutes)**

**Date of the Next Meeting:** May 23-24, 2021

**Attachments:**

Managed Investment Pool Flash Report

Pension Fund Flash Report

Operating Fund Flash Report

Names of Candidates for Tenure 2021 (*Confidential*)

Brief Abstracts of Tenure 2021 Candidates (*Confidential*)

Tenure Table 1

Tenure Table 2

Board Policy 310 - Tenure

Tenure Statistics Report

Spring Enrollment Report

Maine Economic Improvement Fund (MEIF) FY2020 Annual Report

Gordian (Sightlines) Report

Proposed Changes to Board of Trustee Policy 803 - *Naming of Physical Facilities*

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

FY2022 & FY2023 Board of Trustees Meeting Calendar

FY2022 & FY2023 Board Committee Meeting Schedule

PFM Financial Advisors January 29, 2021 Memorandum

UM Engineering Education & Design Center (EEDC) Financing and Project Authorization Resolution

Previously Approved Agenda Item Summary Sheet - UM EEDC Update & Naming

**Reports:**

[UMS Interactive Dashboard](#)

Agenda Calendar

Capital & Bond Project Report Executive Summary

Capital Project Status Report

Capital Project Status Report – Bond Report

Annual Report on Student Financial Aid

Management Group Appointments Report

**Presentations:**

Public Health at a Glance, USM

Public Health at USM, Dr. Ziller & Dr. Joly

UMA Prisoner Education Program

MEIF Presentation

**Tabs noted in red text are action items.**

Note: Times are estimated based upon the anticipated length for presentations or discussion of a particular topic. An item may be brought up earlier or the order of items changed for effective deliberation of matters before the Board.

University of Maine System  
Board of Trustees

## AGENDA ITEM SUMMARY

**NAME OF ITEM:** Appointment of James H. Page as Chancellor Emeritus

**INITIATED BY:** James R. Erwin, Chair of the Board

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

**BOARD POLICY:** Board Policy # 406 – Emeritus Status

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Board of Trustees policy provides that the awarding of the title Chancellor Emeritus is reserved to the Board of Trustees. Emeritus status is generally conferred at the time of retirement to faculty, administrators and staff who have completed fifteen or more years of service. However, exceptions may be made for employees with shorter service. Emeritus status is an honor that allows the individual to retain a title following retirement. The individual university may accord privileges such as library use, participation in academic convocations, inclusion on mailing lists and office space, if available, to emeriti.

Dr. James H. Page retired as Chancellor of the University of Maine System on June 30, 2019. Dr. Page served as the 14th Chancellor since March 20, 2012. During his seven years of public higher education leadership and service, he restored the financial stability of the System and achieved a nation-leading commitment to affordability of Maine students and their families. The One University framework developed under his leadership to guide Maine’s public higher education reform has become a national model of engagement and strategic change.

Dr. Page oversaw a six-year tuition freeze, consolidated administrative functions across the campuses, saved more than \$80 million in annual expenses, and made historic investments in student financial aid. The fiscal stability and capacity for statewide partnership and leadership achieved during Chancellor Page’s term positioned Maine’s public universities for a record \$102 million in student and state-focused public investment over the course of the last biennium. The UMS made new investments including \$3 million appropriation that is expanding Early College opportunities to every Maine community, a commitment of \$50 million in debt service from the Legislature to support an increase in STEM and critical engineering education capacity, and a \$49 million voter-supported general obligation bond to invest in the workforce development infrastructure of all seven campuses.

Board Policy # 406, Guidelines for Emeritus Status, Item # 6 states that “*The Board of Trustees may confer by appropriate resolution the honorary office of Chancellor Emeritus on a retiring or former Chancellor with at least 5 years of service.*”

03/11/2021

The Human Resources and Labor Relations Committee approved this recommendation to be forwarded to the March 22, 2021 Board of Trustees meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Human Resources and Labor Relations Committee and awards the title of Chancellor Emeritus of the University of Maine System to Dr. James H. Page in recognition of his service and contributions.

03/11/2021



University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Establishment of the Trustee Nominating Committee

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

Bylaws, Section 3.2

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The Board of Trustees annually in May approves officers to serve one year terms. Per Bylaw Section 3.2, the Board is not required to approve the appointment of members to the Committee for the Nomination of Officers. The Chair of the Board shall appoint three Trustees to the Nominating Committee, one who shall be designated as Chair of that Committee.

The Committee for Nomination of Officers shall nominate, from members of the Board, a Chair and Vice Chair to serve for the next fiscal year.

3/11/2021

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:**

**UNIFIED ACCREDITATION CONNECTION:**

Primary Outcomes:

Enhance fiscal positioning

**BACKGROUND:**

The Vice Chancellor for Finance and Administration and Treasurer Ryan Low will provide two brief updates at the March 22, 2021 Board of Trustees meeting.

1. Financial Update – Vice Chancellor Low will present the UMS Flash Reports and speak briefly about the current Fiscal Year-to-Date Forecast to Budget.
2. Vice Chancellor Low will provide the Board an update on the FY22 Budget Planning process, including an update on the budget approval timeline.

Attachments:

[Managed Investment Pool Flash Reports](#)

[Pension Fund Flash Reports](#)

[Operating Fund Flash Reports](#)

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

4

**NAME OF ITEM:** Gordian (Sightlines) Annual Facilities Report, UMS

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Gordian (Sightlines) will present its annual facilities benchmarking and analysis findings regarding the University of Maine System's facilities and facility management operations.

Gordian (Sightlines) will be available to present and discuss the annual report. While the entire updated report is attached for Trustees' information, in the interest of time, only selected slides will be reviewed during the live presentation.

A key metric formally adopted by Trustees – density, as a measure of the intensity or efficiency of the use of our space saw a slight reduction in FY2020 but has generally flattened vs the longer-term downward trend. This is illustrated on Slide 11 in the slide numbering sequence. The FY2020 reduction is likely tied directly to the slight decrease in enrollment over FY2020. The near-term flattening and slight increase trend indicates the Trustee's commitment to constrain space combined with the stabilizing and slightly strengthening in user population of students, staff and faculty is making a difference. That commitment to space constraint is continuing in the current fiscal year as space reduction projects continue. Combined with a change in Sightlines methodology several years ago which had the effect of lifting UMS's baseline density, UMS has now attained the interim density goal, though UMS remains far less dense than public higher education overall and has a significant way to go to reach the established long term goal.

Beyond density, the Sightlines data continues to reflect a challenging situation in which the condition of the University's facilities as measured by renovation age and net asset value have continued to decline. More than half of all University space this year has reached a renovation age of 50 years old or older, and the University is on pace to see that grow to 60 percent by 2025. This is illustrated on Slide 22 in the slide numbering sequence.

The measures of condition or quality of the University's facilities such as renovation age and net asset value are not expected to measurably improve overall until and unless substantially more financial investment is consistently made in existing facilities each year. For more than a decade, the University generally has invested \$20 million +/- in its existing facilities each year.

The current Sightlines target would have the University investing at least twice that amount annually in existing facilities.

For a visual representation of this challenge, please see slide 61 (using the deck slide numbers) of the Sightlines deck. Corresponding slides showing the campus view of this investment challenge are being included in this year's Fiscal Year 22 budget presentations to illustrate the challenge at each campus.

To help address this, the University has continued its focus on removing space and constraining the growth of space. The current financial crisis potentially provides the framework to make changes that have been evident to this group for some time. Continued work on a space management plan will focus discussions on which assets are not essential to the core mission and strategy of each institution. Divesting facilities will increase density and Net Asset Value.

The University also has been seeking new and novel sources of investment. Revenue bonds, public-private partnerships, potential new state support, energy services company agreements and other revenue sources are all being pursued or are in progress above and beyond more traditional E&G, grant or general obligation bond resources.

Additional slides of potential particular interest may include:

- Slide 7 shows the total gross square feet of space as tracked by Sightlines since FY12.
- Slide 11 shows the stabilizing density, which had met the Trustees interim goal in FY19, but fell slightly in FY20 due to decreases in enrollment and staffing. UMS remains well below the Public Higher Education average for density.
- Slides 17 and 18 show the continued increase in renovation age of the UMS portfolio, another measure of condition and investment. Over half of all UMS facility space now has a renovation age of 50 years old or greater.
- Slides 61 and 62 illustrates the ongoing gap between current investment levels and the levels that would be needed to stabilize and improve the net asset value of existing facilities.
- Slide 68 illustrates the long-term trend of deteriorating facility condition.
- The appendix (starting on Slide 73) contains an annual accounting of key performance indicators previously identified by Trustees in this area.

Attachments:

[Gordian \(Sightlines\) FY2020 Annual Report](#)

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

5

**NAME OF ITEM:** Academic Affairs Update

**INITIATED BY:** Dannel Malloy, Chancellor

**BOARD INFORMATION:** X

**BOARD ACTION:**

**UNIFIED ACCREDITATION CONNECTION:**

**BACKGROUND:**

The Vice Chancellor for Academic Affairs' (VCAA), Dr. Robert Placido will update the Board of Trustees on the following items at the March 22, 2021 Board of Trustees meeting.

1. **Faculty Spotlight:** Dr. Erika Ziller, Assistant Professor of Public Health and Chair of Public Health at the University of Southern Maine and Dr. Brenda Joly, Professor of Public Health at the USM Muskie School of Public Service will present their research on public health at USM.
2. **UMA Prisoner Education Program:** President Wyke will introduce a presentation on UMA's Prisoner Education Program. Panelists include: Randall Liberty, Commissioner of the Maine Department of Corrections; Greg Fahy, Dean of the College of Arts and Sciences; Deborah Meehan, Director of UMA Centers; and Brandon Brown, UMA graduate.
3. **Spring Enrollment Update:** VCAA Placido will provide a brief update on spring enrollment and other key performance indicators.

**Presentations:**

[Public Health at a Glance, USM](#)

[Public Health at USM, Dr. Ziller & Dr. Joly](#)

[UMA Prisoner Education Program](#)

**Reports:**

[Spring Enrollment Report](#)

[Student Financial Aid Report](#)

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Diversity Equity & Inclusion (DEI) Committee Reinvigoration

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The University of Maine System created a Commission on Pluralism to support diversity and a sense of affirmation and appreciation for differences among people. In 1998 UMS announced a renewed commitment to a diverse campus, addressing the need for greater racial and ethnic diversity, and improving the diversity in the curriculum. In 2016, due to leadership departures it was decided that the now known as DEI (Diversity, Equity & Inclusion) Committee be put in abeyance. Director of Learning and Organizational Development Megan Clough and Chief Human Resources Officer Carol Corcoran will provide a brief overview of this initiative and their recommendation to reinstate the existence of the Board of Trustees Diversity, Equity & Inclusion Steering Committee, to further develop best practices, in order to accelerate System-wide DEI progress.

This information was presented at the March 1<sup>st</sup> Human Resources and Labor Relations Committee meeting. The Committee agreed to forward this item to the March 22, 2021 Board of Trustees meeting for approval of the following resolution.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Human Resource and Labor Relations Committee, and approves reinitiating the existence of the Board of Trustees Diversity, Equity & Inclusion Steering Committee.

3/11/2021

University of Maine System Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Formal 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. public institution of 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 over that time.

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

- i. uniting the University of Maine's existing College of Engineering and School of Computing and Information Science with undergraduate engineering programs at the University of Southern Maine 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 inter-curricular connections with graduate engineering in the Portland region and state-wide; and
- iv. enhancing athletic facilities, athletic gender equity, and student, System, and community participation at the University of Maine, home to the state's only Division I athletic program.

3/11/2021

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.

HAF grant co-Principal Investigators Joan Ferrini-Mundy (President of the University of Maine and UMS Vice Chancellor for Research and Innovation) and Jim Thelen (UMS Vice Chancellor for Strategic Initiatives and Chief Legal Officer) will provide an update on progress and management of the funded initiatives.

After hearing the grant projects update, and 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

3/11/2021



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

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

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

**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 *Naming of Physical Facilities* 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.

Proposed revisions to Board Policy 803 were discussed with the Finance, Facilities and Technology Committee at their meeting on January 6, 2021 as well as the Board of Trustees at the January 25, 2021 meeting.

The Finance, Facilities and Technology Committee at its meeting on March 3, 2021 approved the proposed changes to the Board of Trustees Policy 803 – *Naming of Physical Facilities* and agreed to forward this item to the Board of Trustees for approval at the March 22, 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 proposed changes to Board of Trustees Policy 803 *Naming of Physical Facilities*, as presented.

**Attachments:**

[Proposed Changes to Board of Trustee Policy 803 - \*Naming of Physical Facilities\*](#)  
[Current Board of Trustee Policy 803 - \*Naming of Physical Facilities\*](#)

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** UMS 2021 Tenure Nominations

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

**BOARD INFORMATION:**

**BOARD ACTION:**

**X**

**BOARD POLICY:**

Board Policy 310: Tenure

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Candidates recommended for tenure in the University of Maine System are brought forward for approval by the Board of Trustees in March with action to take effect September 1, 2021. The following material and information is relevant to the tenure approval process:

*Items in italics are confidential documents for Trustees only.*

- Board Policy 310 - Tenure
- *Names of candidates for tenure for 2021, listed by institution*
- *Brief abstracts of candidates*
- Table 1: Tabular analysis of 2021 candidates
- Table 2: Summary of campus tenure promotions for 2021 and the previous 5 years
- Report on Tenure Statistics

The Academic and Student Affairs Committee agreed to forward this item for Board of Trustee approval at the March 22, 2021 Board Meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Academic & Student Affairs Committee and approves the recommendations for tenure submitted by the Universities of the University of Maine System. Approvals will take effect September 1, 2021 for faculty with academic year appointments and on July 1, 2021 for faculty with fiscal year appointments.

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of FY2020 Maine Economic Improvement Fund Annual Report

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

**BACKGROUND:**

Maine statute requires the University of Maine System to provide an annual report to the Governor and Legislature each year. In addition to listing the annual financial data, we also include an assessment of the achievement of the annual goals and objectives, and a summary of the research and development projects that have been funded. The annual report is included in the meeting materials for review and approval.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the March 22, 2021 Board of Trustees meeting, for approval of the following resolution:

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities and Technology Committee and approves the 2020 Maine Economic Improvement Fund Annual Report as presented.

Attachments:

[Maine Economic Improvement Fund \(MEIF\) FY2020 Annual Report](#)  
[MEIF Presentation](#)

3/11/2021

University of Maine System  
Board of Trustees

## **AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of the Board of Trustees Meeting Calendar for FY2022 and FY2023

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

In accordance with the University System's Charter and the Board's By-laws, the proposed calendar is submitted for approval. In order to allow as much flexibility as possible in planning schedules, the proposed calendar has been developed on a 2-year cycle based on the fiscal year (July to June).

The Board of Trustees Retreat, BOT/BOV Summits and the Special Board Meeting in October have been added to the Board Meeting Calendar.

**Fiscal Year 2022 (Approved in March 2020) Fiscal Year 2023 (Proposed)**

July 26, 2021 hosted @ TBA

September 26-27, 2021 @ TBA

October 17-18, 2021 – Board Retreat

October 27, 2021 – Special Board Meeting

November 1, 2021 – BOT/BOV Summit

November 14-15, 2021 @ TBA

January 23-24, 2022 @ TBA

March 27-28, 2022 @ TBA

May 22-23, 2022 @ TBA

June 6, 2022 – BOT/BOV Summit

July 11, 2022 @ TBA

September 11-12, 2022 @ TBA

October 2-3, 2022 – Board Retreat

October 26, 2022 – Special Board Meeting

November 7, 2022 – BOT/BOV Summit

November 13-14, 2022 @ TBA

January 29 & 30, 2023 @ TBA

March 26-27, 2023 @ TBA

May 21-22, 2023 @ TBA

June 5, 2023 – BOT/BOV Summit

The Board of Trustees Office in consultation with the Chancellor and the Board Chair can modify the Board meeting calendar as necessary to accommodate the needs of the Board. The Board meeting locations have been noted as “to be announced” (TBA) and will be formulated based on civil guidance due to the pandemic, the need to constrain costs and the desire for campuses to host Board meetings.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the Board of Trustees meeting calendar for FY2022 and FY2023, as presented.

Attachment:

[FY2022 & FY2023 Board of Trustees Meeting Calendar](#)

[FY2022 & FY2023 Board Committee Meeting Schedule](#)

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Confirmation of Student Representatives to the Board of Trustees

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

Policy 205 – Faculty & Student Representatives to the Board of Trustees

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

To create the environment for interaction among and between Faculty and Student Representatives, the Trustees and System administration, the Trustees have provided opportunities for participation in the meetings of the committees of the Board.

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

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

The following nominations are being recommended by the Presidents:

Student Representatives:

Miranda Cole, UMPI – appointed for a one year term – March 2021 to March 2022

David Ballard, UMF – reappointed for a one year term – March 2021 to March 2022

Omar Abduljaleel, USM – appointed for a two year term – March 2021 to March 2023

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the appointments of the Student Representatives to the Board of Trustees as presented.

3/11/2021

University of Maine System  
Board of Trustees

**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 March 22, 2021 Board meeting:

January 6, 2021 – Finance, Facilities and Technology Committee meeting

January 25, 2021 – Board of Trustees meeting

February 24, 2021 – Special Board of Trustees meeting

March 1, 2021 – Human Resources and Labor Relations Committee meeting

March 4, 2021 – Investment Committee meeting

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.

3/11/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Neville Hall Renovations, UM

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 Budgets - Capital & Operating

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The University of Maine System acting through the University of Maine (UM) requests authorization to spend up to \$1,500,000 to renovate classrooms and associated systems in Neville Hall located at the University of Maine. Funding for this project will come from the 2018 State Bond approved by Maine voters.

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 Committee approved and recommended to forward this matter to the Consent Agenda of the Board of Trustees.

Neville Hall presently consists of lecture halls, classrooms and offices with one Active Learning Classroom. The spaces serve the English and Math Departments as well as campus scheduled classes. The building renovations are expected to be done in phases over the next few years.

Phase 1 proposed renovations would change three first floor classrooms into one Active Learning Classroom, making it the second Active Learning Classroom in the building. The renovations will also include multiple classrooms on the upper floors improving the learning environment. Collaborative spaces will also be developed as part of the renovation.

The renovations will also include the addition of a sprinkler system in the building (presently the majority of the building is not sprinkled) and upgrades to the toilet facilities which have not had a major renovation since the building's original construction in 1974. Other activities involved in the renovations include classroom furnishings, HVAC (heating, ventilation, and air conditioning), plumbing, electrical, fire alarm, Audio Visual and IT upgrades.

The design is ongoing with Phase 1 construction anticipated to commence in the Spring of 2021 with anticipated completion by Fall 2021. All renovations are expected to be complete by fall of 2022.

The recorded Sightlines Net Asset Value (NAV) for this building is 50%. No added operational expenses are expected as a result of this renovation.

3/11/2021



The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 22, 2021 Board meeting.

**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 Maine to expend up to \$1,500,000 of State Bond funds on the Neville Hall Renovations.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Interim Financing Resolution

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

**BOARD INFORMATION:**

**BOARD ACTION:**

**X**

**BOARD POLICY:**

712 – Debt Policy

**UNIFIED ACCREDITATION CONNECTION:**

Primary Outcomes:

Enhance fiscal positioning

**BACKGROUND:**

As presented to the FFT Committee at its January 6, 2021 meeting, the University of Maine System (UMS) engaged its financial advisor, Public Financial Management (PFM), to assist with a Request for Proposals (RFP) from qualified financial institutions to provide interim debt financing strategies. Such financing is for the purpose of funding capital needs on a short term basis in anticipation of repayment through revenue bonding or from revenues such as gifts or State capital appropriations.

PFM and System staff evaluated the 7 responses received and agreed that TDBank's solution best met UMS' financing needs providing flexibility at competitive rates. PFM summarized their observations and recommendations in the attached memo. Highlights of the recommendation include:

- Pursue the fixed rate loan alternative in lieu of the line of credit based on the extremely low fixed rates available relative to the economics of the line of credit.
- Consider a taxable financing option for ease of execution, lower tax diligence upfront, and less post issuance compliance risk given the relatively tight spread between the taxable and tax-exempt rate offers.
- Consider a 1-2 year term for the appropriate capital need currently estimated at \$43 million.
- Revisit the analysis in the fall to determine the best strategy for the second wave of financing needs - continue with additional interim financing for capital projects, issue revenue bonds, or a combination of both.
- Continue negotiations with TDBank with the intention of finalizing the agreement this spring.

This Resolution request is pursuant to Board of Trustees Policy 712, which requires that debt and related agreements be approved by the Board.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 22, 2021 Board meeting.

3/11/2021

**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 to finalize negotiations with and to execute a loan agreement with TDBank for short term capital financing needs.

Attachments:

[PFM Financial Advisors January 29, 2021 Memorandum](#)

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Financing and Project Resolution, UM Ferland Engineering, Education and Design Center (EEDC)

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

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

**BOARD POLICY:**  
712 – Debt Policy

**UNIFIED ACCREDITATION CONNECTION:**

**BACKGROUND:**

The University of Maine System (UMS) acting through the University of Maine (UM) requests authorization to finance costs for the new Ferland Engineering Education and Design Center (EEDC) Project on the Orono campus. The Board has approved a total budget for this Project of \$72 million to date. This total is expected to cover facility construction costs with an additional approval anticipated in the future to finalize the expenses related to final fit out such as furniture, equipment and IT fixtures in the building. The total final project budget is currently projected to be approximately \$78-\$80 million.

Building construction began in the Spring of 2020 for this approximate 108,000 gross square foot facility. The building includes: three collaborative classrooms; two seminar rooms; 14 student meeting rooms; Mechanical Engineering and Biomedical Engineering department offices, faculty offices, teaching laboratories and research laboratories; machine tool lab; a Campus welcome and STEM outreach center; a student commons with food service; and a student project design suite.

Project costs will be funded largely by University revenue bonds supported by State debt service funding, privately raised funds and other resources as identified by the University.

Increased enrollment is a goal of the Ferland EEDC. The building will give the university the capacity to add 1,000 undergraduate and graduate engineering students. The capacity provided by the Ferland EEDC is essential to allowing engineering student enrollment to continue to grow. In addition, the Ferland EEDC is essential to providing the workforce that Maine's economy demands, both in terms of skills and numbers. Looking inside the institution, the growth in enrollment will increase revenue from tuition, thus enhancing fiscal positioning, and supporting economic growth in Maine.

A Financing and Project Resolution including Reimbursement of Project Expenditures is enclosed for Board review and approval. This detailed Resolution complies with Treasury Regulations for this intended tax exempt bonding and allows for the use of interim financing prior to issuance of such debt. As stated in the resolution, the revenue bond issuance shall not exceed \$45 million. Such maximum amount allows for any applicable capitalized interest, reserves, costs of issuance, any changes in interest rates or use of taxable bonds.

3/11/2021

This Resolution request is pursuant to Board of Trustees Policy 712, which requires that debt and related agreements be approved by the Board and is also in compliance with U.S. Treasury Regulations regarding tax exempt bonding and reimbursement of costs. The request is to approve and to forward this matter to the Consent Agenda for the March 22, 2021 Board of Trustees meeting.

The UMS legal debt amount currently outstanding is approximately \$120 million as of March 1, 2021 and, with this issuance, will remain below the statutory ceiling for UMS debt of \$350 million.

A prior Trustee Agenda Item Summary about the EEDC is provided as supplemental information in today's materials for reference.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 22, 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 Financing and Project Authorization resolution for the University of Maine Ferland Engineering, Education and Design Center project on the Orono campus with a maximum principal amount of debt of \$45,000,000.

Attachments:

[UM Engineering Education & Design Center \(EEDC\) Financing and Project Authorization Resolution](#)  
[Previously Approved Agenda Item Summary Sheet - UM EEDC Update & Naming](#)

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:**

Associate Vice Chancellor for Accreditation and Strategic Initiatives Jeff St. John will share a brief update on unified accreditation in two areas:

- 1) Ongoing preparations for the May 2021 visit by the two-member, NECHE-appointed review team, including an update on the progress report we will be submitting to NECHE and the team in April; and
- 2) Preliminary work on the unified catalog initiative: discussions with key stakeholder groups, creation of a project management team, and development of a formal charge with a timeline and goals.

## University of Maine System Managed Investment Pool

# TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>MIP Composite</b>	<b>411,127,053</b>	<b>100.0</b>	<b>100.0</b>	<b>-0.6</b>	<b>17.3</b>	<b>12.8</b>	<b>5.8</b>	<b>9.0</b>	<b>6.2</b>	<b>6.4</b>
Allocation Index				-0.3	17.2	13.4	6.5	9.7	6.9	6.8
Policy Index				-0.1	18.0	13.8	6.8	10.2	7.3	7.1
<b>Total Domestic Large Cap</b>	<b>89,029,530</b>	<b>21.7</b>	<b>22.0</b>	<b>-1.0</b>	<b>20.9</b>	<b>17.2</b>	<b>11.6</b>	<b>16.1</b>	<b>13.2</b>	<b>13.2</b>
S&P 500				-1.0	20.9	17.2	11.7	16.2	13.3	13.5
SSgA S&P 500	89,029,530	21.7	22.0	-1.0	20.9	17.2	11.6	16.1	13.2	13.4
S&P 500				-1.0	20.9	17.2	11.7	16.2	13.3	13.5
<b>Total Domestic Small/Mid Cap</b>	<b>25,571,167</b>	<b>6.2</b>	<b>6.0</b>	<b>1.7</b>	<b>37.8</b>	<b>24.4</b>	<b>9.3</b>	<b>16.1</b>	<b>10.4</b>	<b>11.9</b>
Russell 2500				2.5	38.2	25.5	11.1	16.1	10.9	12.1
Westfield Capital	12,190,780	3.0	3.0	-1.3	31.3	30.8	14.9	20.3	12.9	14.0
Russell 2500 Growth				2.8	41.5	44.2	19.1	21.8	14.9	15.2
DFA	13,380,388	3.3	3.0	4.6	44.5	15.7	2.9	10.6	6.7	9.1
Russell 2000 Value				5.3	44.0	16.4	5.1	12.3	7.6	9.2
<b>Global Equity</b>	<b>41,926,041</b>	<b>10.2</b>	<b>10.0</b>	<b>-2.7</b>	<b>20.1</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>
MSCI World				-1.0	21.8	15.5	8.3	13.4	9.6	9.5
Walter Scott Global Equity	41,926,041	10.2	10.0	-2.7	20.1	--	--	--	--	--
MSCI World				-1.0	21.8	15.5	8.3	13.4	9.6	9.5
<b>Total International Equity (including emerging markets)</b>	<b>90,998,820</b>	<b>22.1</b>	<b>21.0</b>	<b>-0.1</b>	<b>25.9</b>	<b>17.3</b>	<b>2.5</b>	<b>8.8</b>	<b>5.1</b>	<b>5.1</b>
MSCI EAFE				-1.1	20.3	8.9	2.2	8.8	4.8	5.2
Morgan Stanley	20,575,694	5.0	5.0	-2.7	15.2	10.6	2.8	7.5	4.7	5.5
JO Hambro	22,893,049	5.6	5.0	0.0	24.1	--	--	--	--	--
MSCI EAFE				-1.1	20.3	8.9	2.2	8.8	4.8	5.2
Kabouter International Opportunities Offshore Fund II	16,578,349	4.0	4.0	-1.6	19.0	11.1	0.1	--	--	--
MSCI EAFE Small Cap				-0.4	28.8	15.3	3.0	11.1	7.4	7.7
<b>Emerging Markets Equity</b>	<b>30,951,728</b>	<b>7.5</b>	<b>7.0</b>	<b>2.5</b>	<b>39.9</b>	<b>30.1</b>	<b>5.6</b>	<b>11.2</b>	<b>6.4</b>	<b>4.5</b>
Emerging Markets Equity Custom Benchmark				1.6	36.0	26.4	3.3	14.3	7.2	3.9
Aberdeen Emerging Mkts	16,010,667	3.9	3.5	3.7	46.1	39.2	8.3	15.6	8.9	6.2
MSCI Emerging Markets				3.1	35.2	27.9	4.4	15.0	7.7	4.2
Mondrian EM Small Cap	14,941,061	3.6	3.5	1.2	33.6	21.0	2.8	6.8	--	--
MSCI Emerging Markets Small Cap				0.1	36.8	24.3	0.8	10.0	5.3	2.6



January 31, 2021

## University of Maine System Managed Investment Pool

# TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Total Fixed Income</b>	<b>104,076,243</b>	<b>25.3</b>	<b>26.5</b>	<b>0.1</b>	<b>5.7</b>	<b>6.1</b>	<b>5.1</b>	<b>5.1</b>	<b>4.0</b>	<b>4.7</b>
BBgBarc US Aggregate TR				-0.7	0.6	4.7	5.5	4.0	3.8	3.8
Commonfund	38,456,235	9.4	9.5	-0.6	3.4	5.1	5.5	4.9	4.2	4.5
BBgBarc US Aggregate TR				-0.7	0.6	4.7	5.5	4.0	3.8	3.8
Vanguard Inflation-Protected Securities	14,274,818	3.5	3.5	0.4	5.2	9.2	6.3	--	--	--
BBgBarc US TIPS TR				0.3	5.0	9.1	6.3	4.8	3.7	3.8
Vanguard Short-Term Inflation-Protected Securities	13,723,825	3.3	3.5	0.6	3.6	5.1	--	--	--	--
BBgBarc US TIPS 1-5 Yr TR				0.6	4.0	5.8	4.0	3.0	2.0	1.9
Blackrock Strategic Income Opportunities	19,997,185	4.9	5.0	0.0	7.0	6.6	--	--	--	--
3-Month Libor Total Return USD				0.2	0.3	0.6	1.8	1.5	1.2	0.9
Bain Capital Senior Loan Fund	17,624,179	4.3	5.0	1.2	10.3	5.6	--	--	--	--
Credit Suisse Leveraged Loans				1.3	9.3	3.5	4.1	5.6	4.0	4.4
<b>Total GAA</b>	<b>28,096,124</b>	<b>6.8</b>	<b>7.5</b>	<b>-1.0</b>	<b>8.3</b>	<b>3.0</b>	<b>1.9</b>	<b>5.4</b>	<b>3.1</b>	<b>3.3</b>
65% MSCI ACWI (Net) / 35% BBgBarc Global Agg				-0.6	16.9	14.0	6.9	10.5	7.3	6.9
Newton Global Real Return	28,096,124	6.8	7.5	-1.0	10.4	7.8	7.3	--	--	--
60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg				-0.6	16.0	13.5	6.7	10.1	6.9	6.6
<b>Total Hedge Funds</b>	<b>25,547,950</b>	<b>6.2</b>	<b>7.0</b>	<b>-2.7</b>	<b>17.6</b>	<b>20.7</b>	<b>8.5</b>	<b>7.9</b>	<b>4.8</b>	<b>3.8</b>
HFRI Fund of Funds Composite Index				-0.9	11.7	9.6	3.8	4.9	3.6	3.2
Lighthouse	25,547,950	6.2	7.0	-2.7	17.6	20.7	9.0	8.2	--	--
Credit Suisse Long Shrt Eqt USD				-2.8	7.5	5.7	2.8	4.8	4.3	4.7
<b>Private Equity</b>	<b>1,954,181</b>	<b>0.5</b>	<b>0.0</b>	<b>0.0</b>	<b>6.6</b>	<b>-10.5</b>	<b>1.5</b>	<b>7.8</b>	<b>--</b>	<b>--</b>
Landmark Equity Partners XV	1,954,181	0.5	0.0	0.0	6.6	-10.5	1.5	7.8	--	--
CJA US All PE (1 Qtr Lag)				0.0	21.5	13.4	13.1	13.0	12.6	13.6
<b>Total Cash</b>	<b>3,926,996</b>	<b>1.0</b>	<b>0.0</b>							
Distribution Account	3,926,996	1.0	0.0	0.0	0.0	0.2	1.2	0.8	0.6	0.5
91 Day T-Bills				0.0	0.1	0.3	1.4	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+

Emerging Markets Equity Custom Benchmark consists of MSCI EM from Inception to 5/31/2019 and 50% MSCI EM / 50% MSCI EM Small Cap from 6/1/2019 to present.

Returns are net of manager fees

Landmark market value is estimated as of 1/31/2021.

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

January 31, 2021



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## University of Maine System Pension Plan

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	2 Yrs (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Pension Composite</b>	<b>25,630,641</b>	<b>100.0</b>	<b>100.0</b>	<b>-1.2</b>	<b>10.1</b>	<b>10.2</b>	<b>10.5</b>	<b>6.3</b>	<b>7.5</b>	<b>5.6</b>	<b>5.8</b>
Allocation Index				-0.6	10.3	9.4	9.7	5.7	7.8	6.2	6.4
Policy Index				-0.6	10.3	9.4	9.9	5.9	8.0	6.3	6.6
<b>Total Global Equity</b>	<b>8,025,361</b>	<b>31.3</b>	<b>30.0</b>	<b>-2.9</b>	<b>19.9</b>	<b>17.9</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>
MSCI World				-1.0	21.8	15.5	16.6	8.3	13.4	9.6	9.5
Walter Scott Global Equity Fund	8,025,361	31.3	30.0	-2.9	19.9	17.9	--	--	--	--	--
MSCI World				-1.0	21.8	15.5	16.6	8.3	13.4	9.6	9.5
<b>Emerging Markets Equity</b>	<b>806,609</b>	<b>3.1</b>	<b>3.0</b>	<b>1.2</b>	<b>33.6</b>	<b>21.0</b>	<b>13.8</b>	<b>2.8</b>	<b>6.8</b>	<b>3.8</b>	<b>--</b>
Emerging Markets Equity Benchmark				0.1	36.8	24.3	11.4	2.1	13.5	6.6	3.5
Mondrian EM Small Cap	806,609	3.1	3.0	1.2	33.6	21.0	13.8	2.8	6.8	--	--
MSCI Emerging Markets Small Cap				0.1	36.8	24.3	12.4	0.8	10.0	5.3	2.6
<b>Total Fixed Income</b>	<b>10,819,011</b>	<b>42.2</b>	<b>43.0</b>	<b>-0.3</b>	<b>3.0</b>	<b>5.5</b>	<b>7.1</b>	<b>5.3</b>	<b>4.4</b>	<b>3.7</b>	<b>4.0</b>
BBGBarc US Aggregate TR				-0.7	0.6	4.7	7.2	5.5	4.0	3.8	3.8
Vanguard Total Bond Market Index	6,478,735	25.3	26.0	-0.8	0.5	4.7	7.3	5.5	4.0	--	--
BBGBarc US Aggregate TR				-0.7	0.6	4.7	7.2	5.5	4.0	3.8	3.8
Vanguard Inflation-Protected Securities	901,053	3.5	3.5	0.4	5.2	9.3	9.1	6.3	--	--	--
BBGBarc US TIPS TR				0.3	5.0	9.1	9.2	6.3	4.8	3.7	3.8
Vanguard Short-Term Inflation-Protected Securities - VTSPX	872,523	3.4	3.5	0.6	3.6	5.1	--	--	--	--	--
BBGBarc US TIPS 1-5 Yr TR				0.6	4.0	5.8	5.3	4.0	3.0	2.0	1.9
BlackRock Strategic Income Opportunities	1,286,769	5.0	5.0	0.0	7.1	6.6	6.9	--	--	--	--
3-Month Libor Total Return USD				0.2	0.3	0.6	1.5	1.8	1.5	1.2	0.9
Bain Capital Senior Loan Fund	1,279,932	5.0	5.0	1.2	10.3	5.6	5.5	--	--	--	--
Credit Suisse Leveraged Loans				1.3	9.3	3.5	4.9	4.1	5.6	4.0	4.4
<b>Total GAA</b>	<b>2,111,801</b>	<b>8.2</b>	<b>8.0</b>	<b>-1.0</b>	<b>10.4</b>	<b>7.8</b>	<b>9.6</b>	<b>5.1</b>	<b>7.1</b>	<b>4.2</b>	<b>3.9</b>
65% MSCI ACWI (Net) / 35% BBGBarc Global Agg				-0.6	16.9	14.0	13.4	6.9	10.5	7.3	6.9
Newton Global Real Return	2,111,801	8.2	8.0	-1.0	10.4	7.8	9.3	7.3	--	--	--
60% MSCI ACWI (Net) / 40% FTSE WGBI				-0.8	15.7	13.6	12.9	6.7	10.0	6.8	6.4
<b>Total Alternative Investments</b>	<b>1,341,874</b>	<b>5.2</b>	<b>5.0</b>	<b>-2.7</b>	<b>17.6</b>	<b>20.7</b>	<b>15.4</b>	<b>8.5</b>	<b>7.8</b>	<b>5.3</b>	<b>4.0</b>
HFRI Fund of Funds Composite Index				-0.9	11.7	9.6	7.8	3.8	4.9	3.6	3.2
Lighthouse	1,341,874	5.2	5.0	-2.7	17.6	20.7	15.4	9.0	8.2	--	--
Credit Suisse Long Shrt Eqt USD				-2.8	7.5	5.7	6.6	2.8	4.8	4.3	4.7



January 31, 2021

## University of Maine System Pension Plan

**TOTAL PLAN PERFORMANCE**

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	2 Yrs (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Total Real Assets</b>	<b>2,044,252</b>	<b>8.0</b>	<b>8.0</b>								
Principal	2,044,252	8.0	8.0	0.4	2.0	0.5	3.2	4.6	6.2	8.1	9.7
NCREIF ODCE				0.0	1.8	1.2	3.2	4.9	6.2	8.3	9.9
<b>Total Cash</b>	<b>481,732</b>	<b>1.9</b>	<b>3.0</b>								
Distribution Account	481,732	1.9	3.0	0.0	0.0	0.2	1.0	1.2	0.8	0.6	0.4
91 Day T-Bills				0.0	0.1	0.3	1.2	1.4	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+

Emerging Markets Equity Benchmark consists of MSCI EM from inception to 5/31/2019 and MSCI EM Small Cap from 6/1/2019 to present.

Returns are net of manager fees



January 31, 2021

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## University of Maine System Operating Fund

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Operating Funds Composite</b>	<b>333,890,631</b>	<b>100.0</b>	<b>100.0</b>	<b>-0.1</b>	<b>5.5</b>	<b>6.4</b>	<b>4.3</b>	<b>4.4</b>	<b>3.1</b>	<b>3.0</b>
<i>Allocation Index</i>				-0.2	4.0	4.7	3.8	4.0	3.1	2.9
<b>Liquidity Pool Composite</b>	<b>137,474,874</b>	<b>41.2</b>	<b>30.0</b>	<b>0.1</b>	<b>0.3</b>	<b>0.8</b>	<b>1.5</b>	<b>1.2</b>	<b>0.9</b>	<b>0.7</b>
State Pool	80,173,324	24.0		0.1	0.5	1.1	1.7	1.3	1.0	0.8
BOA General Fund	19,823,613	5.9		0.0	0.4	0.5	0.7	0.4	0.3	--
Federated Gov't Obligations	10,388,608	3.1		0.0	0.0	0.2	1.4	--	--	--
JP Morgan US Gov't Money Market Fund	27,089,329	8.1		0.0	0.0	0.3	1.4	--	--	--
<i>FTSE T-Bill 3 Months TR</i>				0.0	0.1	0.5	1.5	1.2	0.8	0.6
<b>Income Pool Composite</b>	<b>126,119,806</b>	<b>37.8</b>	<b>47.5</b>	<b>0.0</b>	<b>2.8</b>	<b>4.4</b>	<b>3.9</b>	<b>3.4</b>	<b>2.7</b>	<b>2.7</b>
Income Research + Management	69,345,200	20.8	26.0	0.1	1.3	4.6	3.7	2.5	2.1	--
<i>BBgBarc US Govt/Credit 1-3 Yr. TR</i>				0.0	0.5	2.8	3.1	2.1	1.8	1.6
BlackRock Strategic Income Opportunities	19,112,870	5.7	7.0	0.0	7.1	6.6	4.4	4.7	--	--
<i>3-Month Libor Total Return USD</i>				0.2	0.3	0.6	1.8	1.5	1.2	0.9
Loomis Sayles Bank Loans	18,384,587	5.5	7.0	0.8	6.6	0.7	2.6	3.9	2.9	3.5
<i>Loomis Bank Loans Custom Index</i>				0.7	7.2	2.1	3.4	4.4	3.7	4.1
Vanguard Total Bond Market Instl' Fund	19,277,148	5.8	7.5	-0.8	0.5	4.7	5.5	4.0	3.7	3.7
<i>BBgBarc US Aggregate TR</i>				-0.7	0.6	4.7	5.5	4.0	3.8	3.8
<b>Total Return Pool Composite</b>	<b>70,295,951</b>	<b>21.1</b>	<b>22.5</b>	<b>-0.6</b>	<b>19.2</b>	<b>15.9</b>	<b>7.8</b>	<b>9.8</b>	<b>6.4</b>	<b>6.1</b>
Lighthouse	15,397,943	4.6	5.0	-2.7	17.6	20.7	9.0	8.2	--	--
<i>Credit Suisse Long Shrt Eqt USD</i>				-2.8	7.5	5.7	2.8	4.8	4.3	4.7
Newton Global Real Return	11,041,421	3.3	4.0	-1.0	10.4	7.8	7.3	--	--	--
<i>60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg</i>				-0.6	16.0	13.5	6.7	10.1	6.9	6.6
PIMCO All Asset	12,119,112	3.6	4.0	1.8	17.0	12.0	4.7	9.0	5.1	5.2
<i>Blended Index</i>				-0.4	5.4	7.2	6.2	6.0	4.9	5.0
Vanguard Total World Stock Index	31,737,476	9.5	9.5	-0.4	24.3	18.1	8.1	13.8	9.7	--
<i>FTSE Global All Cap Index</i>				-0.3	24.8	17.9	8.2	13.3	8.6	7.7

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.



January 31, 2021

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**TABLE I**

**Numbers of Exceptions, Numbers of Women Candidates,  
and Total Numbers of Candidates for Tenure, 2021**

<b>Campus</b>	<b>Number</b>	<b>Exception to Board Policy</b>	<b>Women</b>	<b>Percentage of candidates who are women</b>
UM	17	5	9	53%
UMA	3		2	67%
UMF	7	2	4	57%
UMFK	0		0	N/A
UM Law School	0		0	N/A
UMM	0		0	N/A
UMPI	2		2	100%
USM	5		2	40%
<b>Total</b>	<b>34</b>	<b>7</b>	<b>19</b>	<b>56%</b>

**52.5% faculty are men; 47.5% of faculty are women**

**60.2% of the male faculty are tenured; 44.6% of the women faculty are tenured**

Table II. Numbers of Candidates Considered at Campus Level  
and Numbers Forwarded for Board Approval, 2015-2021

	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020	2020/2021	Total
<b>UMaine</b>							
Considered	7	11	13	21	17	17	86
Recommended	7	11	13	21	17	17	86
<b>UM - Augusta</b>							
Considered	4	3	0	2	2	3	14
Recommended	4	3	0	2	2	3	14
<b>UM - Farmington</b>							
Considered	1	3	4	1	5	7	21
Recommended	1	3	4	1	5	7	21
<b>UM - Fort Kent</b>							
Considered	1	1	0	0	1	0	3
Recommended	1	1	0	0	1	0	3
<b>UM - School of Law</b>							
Considered						0	0
Recommended						0	0
<b>UM - Machias</b>							
Considered	1	4	1	0	1	0	7
Recommended	1	4	1	0	1	0	7
<b>UM - Presque Isle</b>							
Considered	1	2	3	1	4	2	13
Recommended	1	2	3	1	4	2	13
<b>USM</b>							
Considered	4	3	2	3	3	5	20
Recommended	4	3	2	3	3	5	20
<b>System Total</b>							
Considered	19	27	23	28	33	34	164
Recommended	19	27	23	28	33	34	164



**UNIVERSITY OF MAINE SYSTEM**  
Policy Manual

**ACADEMIC AFFAIRS**

**Section 310     Tenure**

Effective: 6/7/70

Last Revised: 7/9/90

Responsible Office: Academic Affairs

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**Policy Statement:**

Tenure . . . an arrangement under which faculty appointments are continued until retirement or disability, subject to dismissal for cause, termination due to financial reasons, and/or termination due to change in the University program offerings.

The decision to grant or not to grant tenure rests solely with the Board of Trustees. Nothing in the administrative procedures, or in the criteria developed under those procedures, or in the approval of the criteria, shall limit or restrict that discretionary authority of the Board.

**Related Documents:**

Administrative Procedures for Awarding Tenure

## **Administrative Procedures for Awarding Tenure**

### **Guidelines:**

1. Each new appointee should receive a letter of appointment which includes, as a minimum, such data as:
  - a. academic rank and/or title of position;
  - b. general duties to be performed;
  - c. beginning and ending dates of appointment;
  - d. type of appointment - probationary, temporary;
  - e. indication of amount, if any, of prior service
  - f. to be counted toward probationary period;
  - g. salary.
2. The specific assignment of prior credit will be part of the letter received at the time of initial appointment. The time credited as probationary years with regard to service at other institutions of higher education, whether units of the University of Maine System or not, shall not exceed three years.
3. A probationary appointment shall not exceed six consecutive academic years in a full-time position on a single campus. A leave of absence, sabbatical, or a teacher improvement assignment shall not constitute a break in continuous service, nor shall it be included in the six-year period without prior written agreement between the faculty member and the President at the time of the request.
4. Individuals on probationary appointments shall normally complete the full term, i.e., the sixth year, before the Board awards tenure.
5. At the time of initial appointment, exceptionally qualified individuals may be awarded tenure at the rank of full professor, with the approval of the appointment by the Trustees. In other cases, as the campuses deem appropriate, full professors may receive an initial appointment without tenure but, with Trustee approval at the time of their appointment, may be given the opportunity to apply for tenure during the second year of their appointment.
6. Tenure shall not be awarded ordinarily below the associate professor level or its equivalent.
7. Each campus shall develop its criteria for promotion and tenure, and, once developed, a statement of such criteria shall be forwarded to the Chancellor and the Trustees for review and approval and thereafter be made available by the campus administration to all faculty members in the institution. These criteria shall include reference to teaching, public service, research, and scholarship activities as are appropriate to the University System and campus missions. Criteria may vary among units or departments, but shall be in accord with the over-all campus criteria.
8. Student input is a desirable and meaningful part of faculty evaluation, and the contribution students make to the evaluative process is essential to the improvement of instruction. Student evaluations are to be secured on a regular, systematic, and equitable basis and made part of the official record.

9. Evidence should be obtained from outside the institution and from outside the University of Maine System, as appropriate, regarding the scholarship and research of candidates for tenure.
10. Tenured faculty, as well as nontenured faculty, shall be reviewed on an annual basis. Each campus shall develop its criteria for faculty evaluation, and, once developed, a statement of such criteria shall be forwarded to the Chancellor and the Trustees for review and approval and thereafter be made available by the campus administration to all faculty members in the institution.
11. The tenure guidelines provide the policy framework for the process to be followed on each campus. Where exceptions are sought, it is necessary that the campus present its request in detail, including the rationale for the exception, to the Chancellor and the Board of Trustees.
12. Tenure may be transferable among the institutions of the University of Maine System at the discretion of the Board of Trustees, consistent with the tenure policies of the institution to which transfer is sought.
13. Senior administrators shall not be awarded tenure as part of their administrative contracts. However, the Trustees will consider, on an exceptional basis, a nomination to tenure for an academic dean, when presented under these conditions:
  - a. the nominee will have been accepted by an appropriate academic department and accorded faculty rank, at the time of appointment as academic dean;
  - b. the nomination will have been duly evaluated through the campus's tenure processes.



# Faculty and Tenure Statistics

2020 - 2021

University  
Of  
Maine System  
Office of Human  
Resources

March 2021

## University Of Maine System Faculty and Tenure Statistics

This report provides a statistical summary of the tenure status and demographic characteristics of full-time faculty at the University of Maine System. Current information and trends since 1987 are provided.

The information was extracted from the University's Human Resources Information file in February 2021, reflecting the 2020-2021 academic year. For the purpose of this report, a faculty member is defined as any regular professional employee with a rank of professor, associate professor, assistant professor, instructor, or lecturer. Included are teaching faculty and administrators with rank who may or may not be teaching.

### TABLE OF CONTENTS

<u>SUBJECT</u>	<u>PAGE</u>
I. Tenure Statistics, 2020-2021	2
A. Highlights	2 – 4
B. Data Tables	
- Tenure Status by Rank and University	5 – 9
- Percent of Professors by Gender and University	10
- Tenure Status by Gender and University	11
- Tenure Status by University	11 – 12
- Ethnicity	
By Tenure Status	13
By University	13
- Average Years of Service from Date of Appointment to Tenure	13
- Average Age	
By Gender and University	15 – 16
By Gender and Rank	15 – 16
- Discipline by University	17
- Top Ten Disciplines	18
- Disciplines 2016/17 – 2020/21	18
II. Faculty and Tenure Profile Trends 1990 – 2020	
A. Data Tables	
- Number of Faculty	19
- Percent Tenured by Gender	19
- Gender Composition of Faculty 1987 - 2003 - 2020	18
- Student Head Count and Credit Hours/Number of Faculty	21
- Tenure Status 1990 - 1997 - 2009 - 2020	22
- New Hire Faculty	22
- Years to Tenure by Gender	23
- Minority Faculty	23
- Average Age	23
- Academic Rank	24
- Tenure Track by Year of Expected Tenure	25
B. Number of Current Regular Employees Reaching Normal Retirement Age (65)	26
C. Faculty Sabbaticals	27

## **University Of Maine System Faculty and Tenure Statistics: Highlights**

### Number of Faculty

- 1,212 faculty are included in this report. The number of faculty grew steadily throughout the 1980's; decreased throughout the 1990's, rose from 1997 to 2007, then declined steadily until 2015. There was a steady increase from 2015 to 2019 with the present year showing a decrease. The change in the number of faculty continues to follow enrollment trends
- There are 32 less faculty than last year. Tenured faculty decreased to 640 from 650 last year, and the number of faculty without tenure decreased over last year's number by 22 to reach 572.
- This report includes all regular faculty, both AFUM and Non-Represented. Part-time "adjunct" faculty are not included in this report.
- Faculty participating in the partial retirement program, or with shared appointments, or similar arrangements, are counted as full-time for this report. These faculty are included in the full-time faculty bargaining unit, may be eligible for tenure or be tenured, and receive full-time benefits. 46 faculty members are in the partial retirement program.
- There are 34 faculty members who will be considered for tenure in the coming academic year.

### Tenured and Non-tenured Faculty

- 52.8% (640) of the faculty have tenure. The percentage of tenured faculty varies from a high of 73.1% at UMM due to turnover in non-tenured faculty, to a low of 40.6% at UMFK due to turnover in tenured faculty.
- The percent of tenured faculty at UMS increased this year to 52.8% from last year's 52.3%.
- 47.2% (572) of UMS faculty do not have tenure. Of this number, 51.9% (297) are eligible for tenure, and 48.1% (275) are not eligible for tenure.
- On average, a faculty member serves 5.2 years in the University of Maine System before being awarded tenure. The average years of service from date of appointment to tenure has remained relatively consistent since 2009's value of 5.4 years.
- There are 76 pre-tenured faculty who have 5 or more years of service that are eligible for tenure over the next two academic years.
- There were 73 new faculty hired in 2020, of this number 50 (68.5%) are eligible for tenure and 3 (4.1%) were hired with tenure.

## **University Of Maine System Faculty and Tenure Statistics: Highlights**

### Women and Minority Faculty

- Of the total faculty 47.5% (576) are women and 52.5% (636) are men. The proportion of women faculty ranges from a high of 59.0% at UMF to a low of 40.2% at UM.
- The percentage of faculty who are women has increased from 40.6% in 2009 to 47.5% in 2020. This is the highest percentage of women faculty ever reported at the University of Maine System.
- 60.2% of men faculty have tenure, and 44.6% of women faculty have tenure. At the two graduate centers, the proportion of women with tenure is 43.0% at UM and 38.4% at USM.
- The percentage of women faculty with tenure had grown over the years, from 31.9% in 2003 to 58.2% in 2014/15. However, there has been a decrease over the last few years in the percentage of women faculty with tenure (52.5% in 2015/16; 52.3% in 2016/17; 49.0% in 2017/18; 43.8% in 2018/19; 43.4% in 2019/20). The percentage of women with tenure for the present year is 44.6% and continues to be substantially lower than the percentage of men with tenure (60.2%).
- Women are under-represented at the rank of full professor; 22.9% of women are professors while 37.9% of men are professors. The percentage of women professors has steadily decreased since the peak in 2014/15 at 25.4%. In 2003, 22.5% of women were professors.
- Women faculty have an average of 5.3 years of service in a tenure track appointment when awarded tenure; men faculty serve 5.1 years on average before being awarded tenure.
- Minority faculty members have increased from last year at 132 from 110, or 10.9% of total faculty. This increase is due to hiring and data validation. In 2003, 4.0% of faculty were minority. The current figure should be put in the context of the current demographic profile for the State of Maine, which shows a 5.3% minority population as reported by the U.S. Census Bureau.

## **University Of Maine System Faculty and Tenure Statistics: Highlights**

### Age Distribution

- The average age of all faculty has continued to decrease over the last few years. The average age this year increased slightly from last year at 51.7 up to 51.8.
- Tenured faculty average 57.4 years of age and non-tenured faculty average 45.5 years of age.
- The average age varies from 48.6 years at the Maine School of Law to 55.5 years at UMM.
- The average age of faculty by rank is: professors, 60.5; associate professors, 53.1; assistant professors, 42.8; instructors, 54.7; and lecturers, 47.9.
- 96.3% of tenured faculty are age 40 or older while 60.5% of non-tenured faculty are age 40 or older. The percentage of tenured faculty who are age 40 or older has stayed fairly steady over the last 15 years with a 2004 metric of 95.7%.
- 281 tenured faculty (371 total faculty) are over the age of 60 and 169 tenured faculty (215 total faculty) are over the age of 65.
- Projections based on the current workforce indicate a large number of faculty are reaching normal retirement age. From fiscal year 2021 to fiscal year 2025, 163 faculty members will attain age 65.

### Disciplines

- Education is the discipline area with the largest number of faculty (150), followed by Health Sciences (97), Physical Sciences (95), Biological and Life Sciences (93), and Social Sciences (91). The top 10 disciplines have remained constant for the past five years.

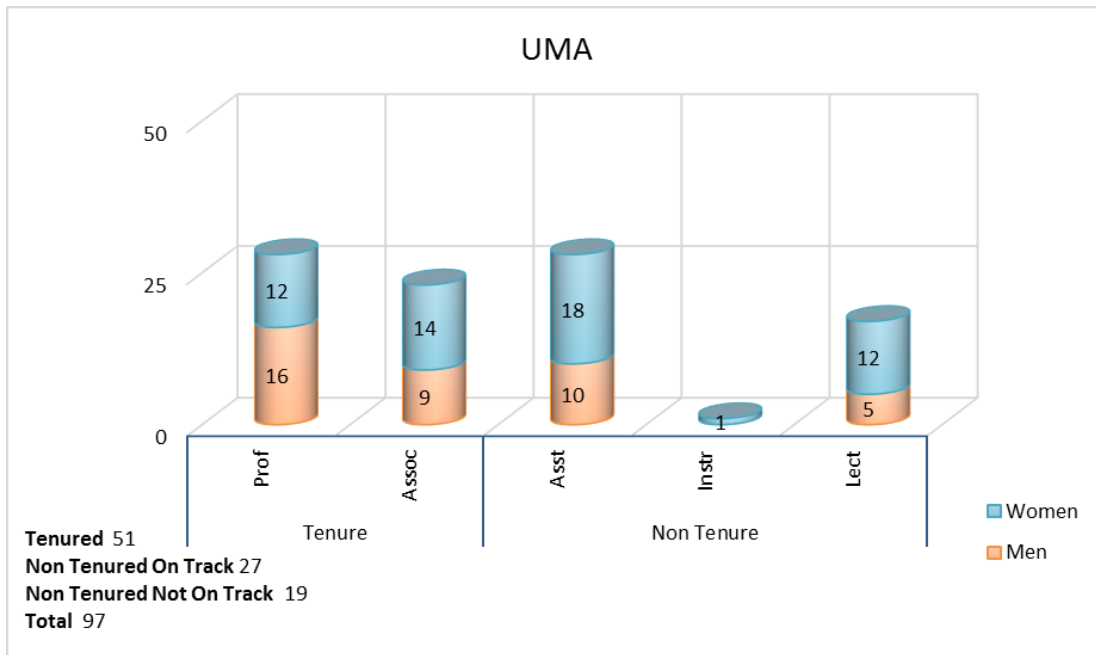
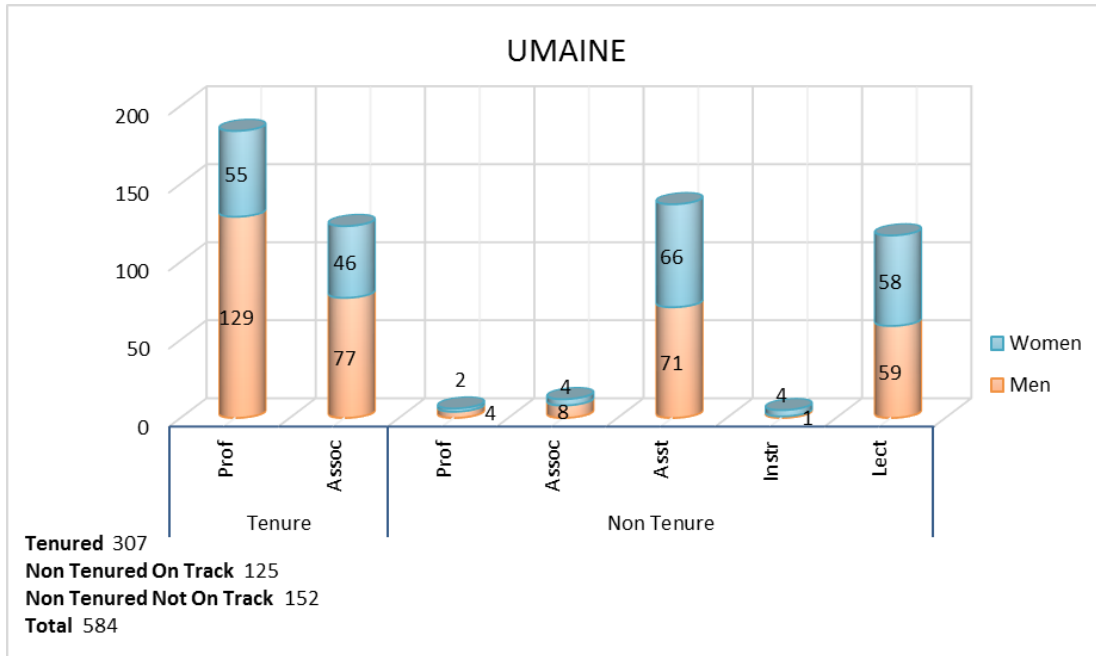
### Sabbaticals

- The AFUM collective bargaining agreement provides 51 sabbaticals per year across all Universities. Additional sabbaticals may be granted at the discretion of the departments if there are no additional costs to the University and the Chief Administrative Officer recommends additional awards.
- The total number of sabbaticals fluctuate over a 3 - 5 year period. There were a higher number of sabbaticals from the academic years 05/06 through 08/09 with a peak in 08/09 at 95. There have been fewer sabbaticals between the academic years 09/10 through 20/21. There were 44 faculty on sabbatical this year, which is down 27 from the prior year.

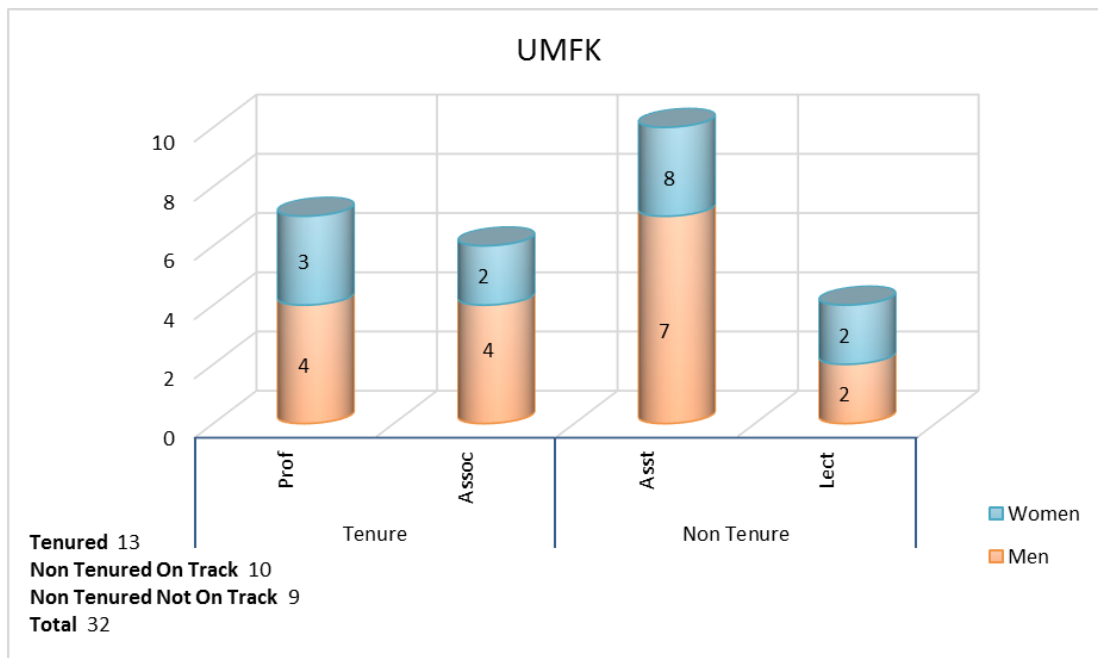
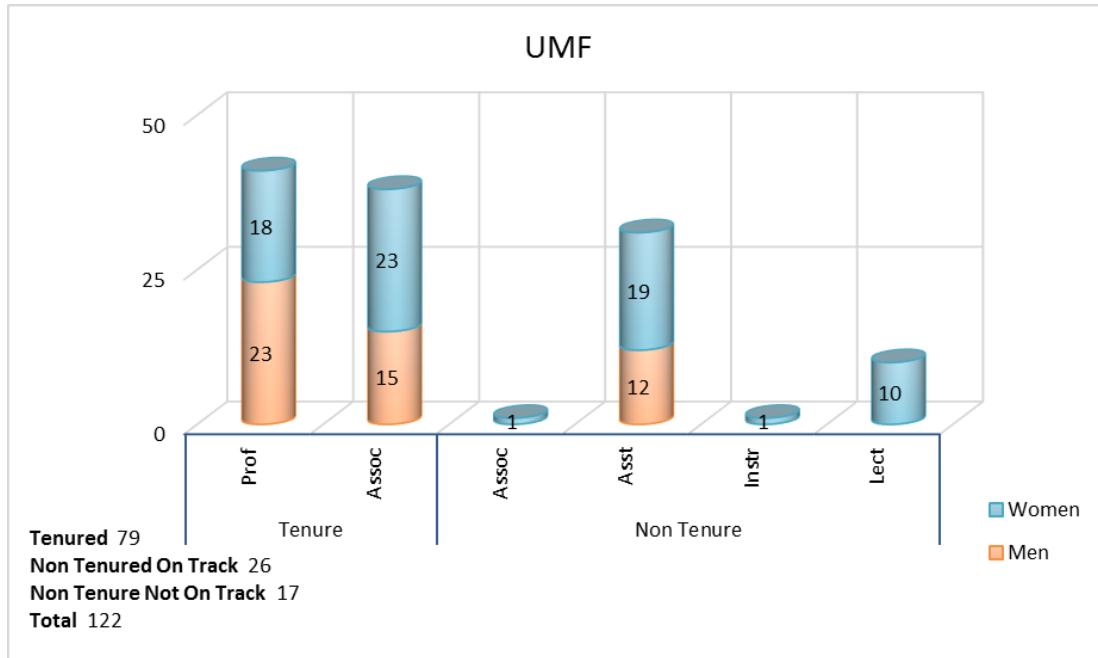
Note: In all Tables a “-“ indicates zero.



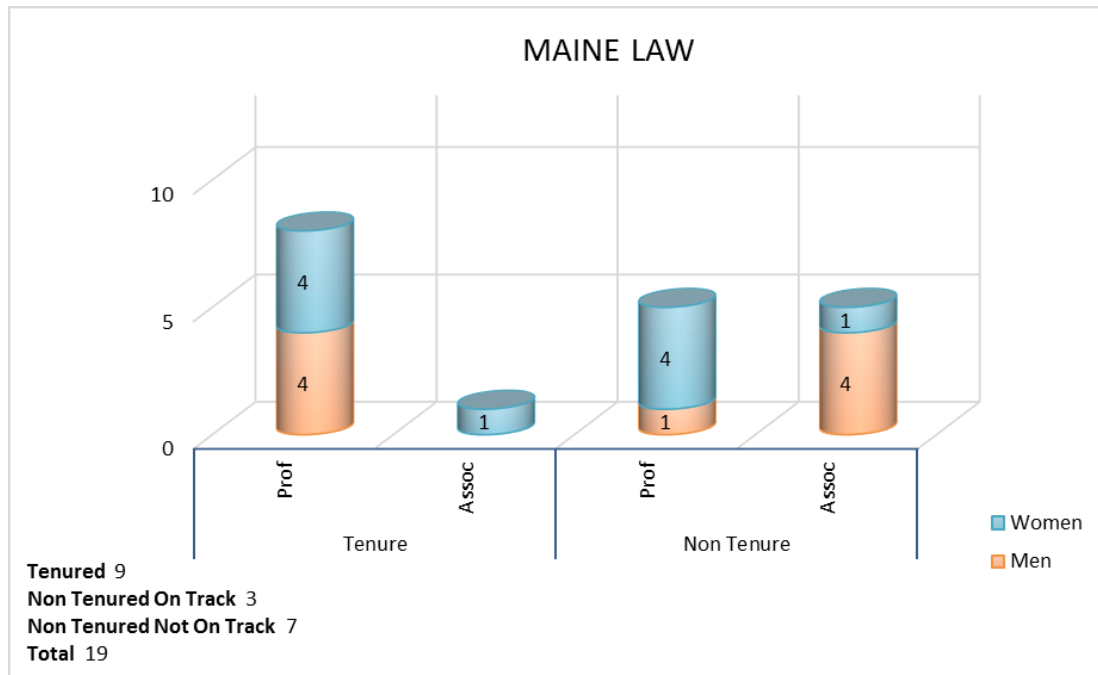
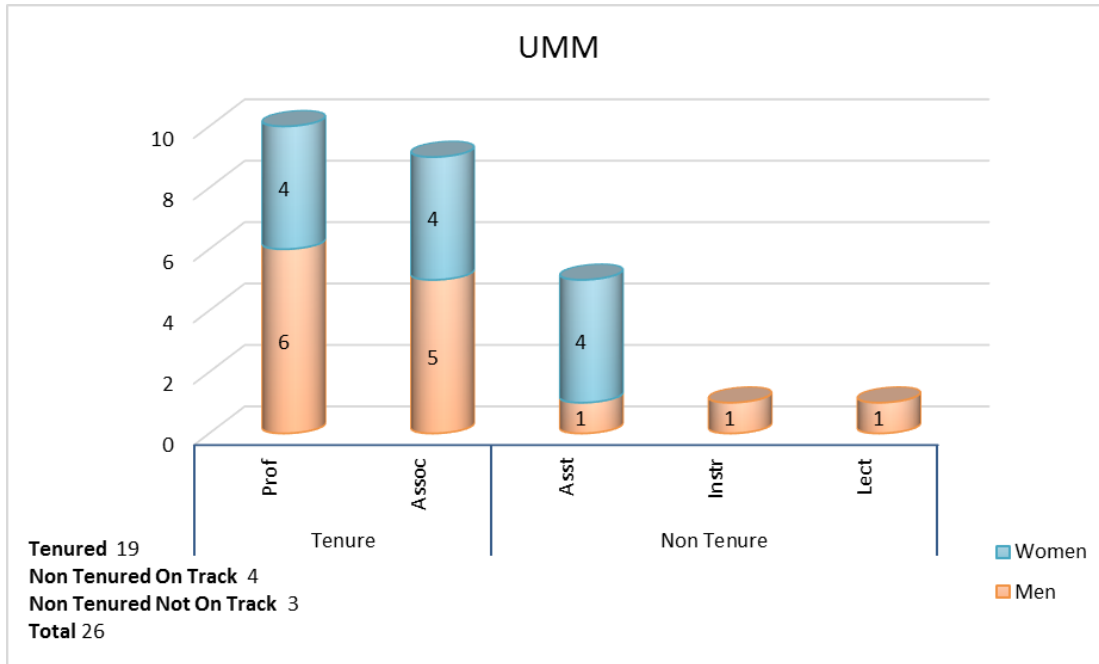
## Tenure Status by Rank and University



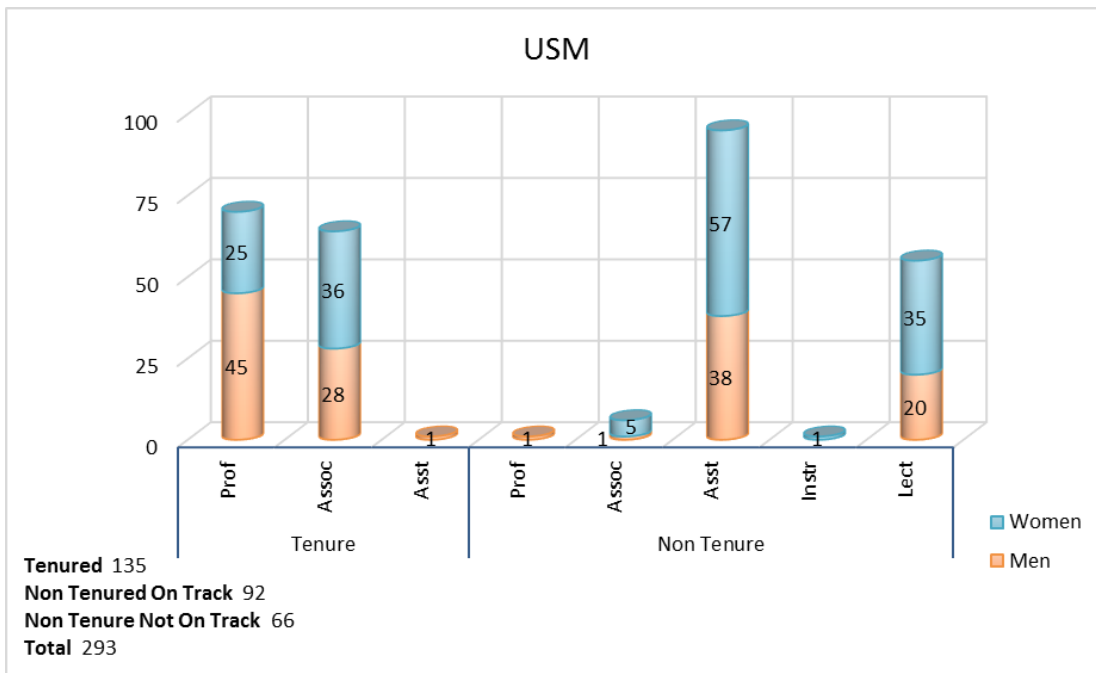
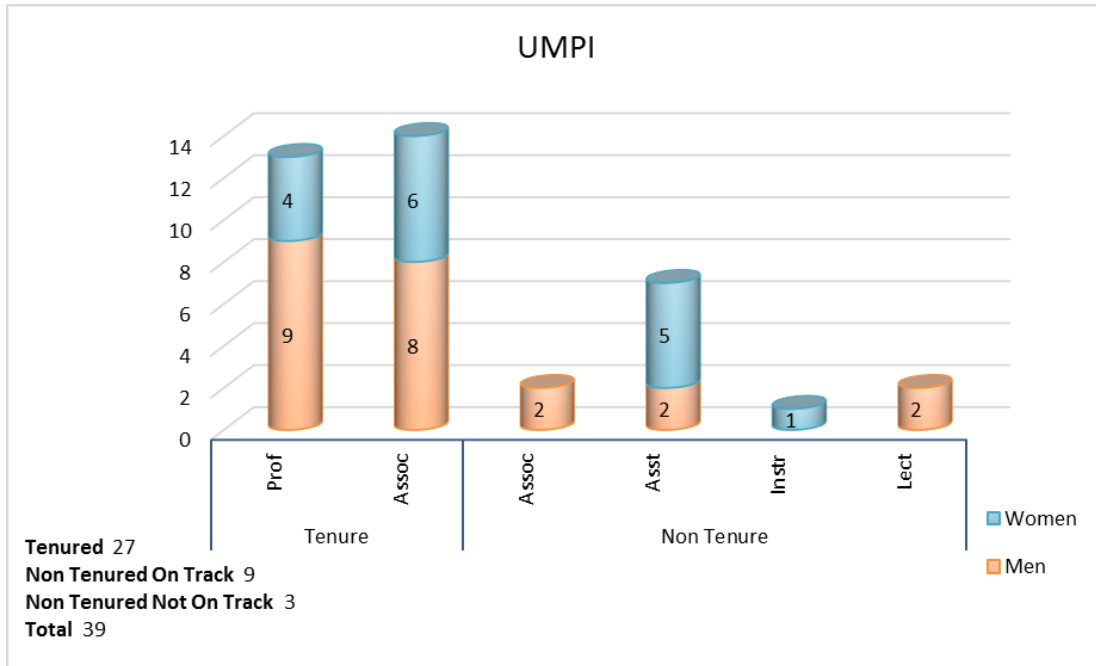
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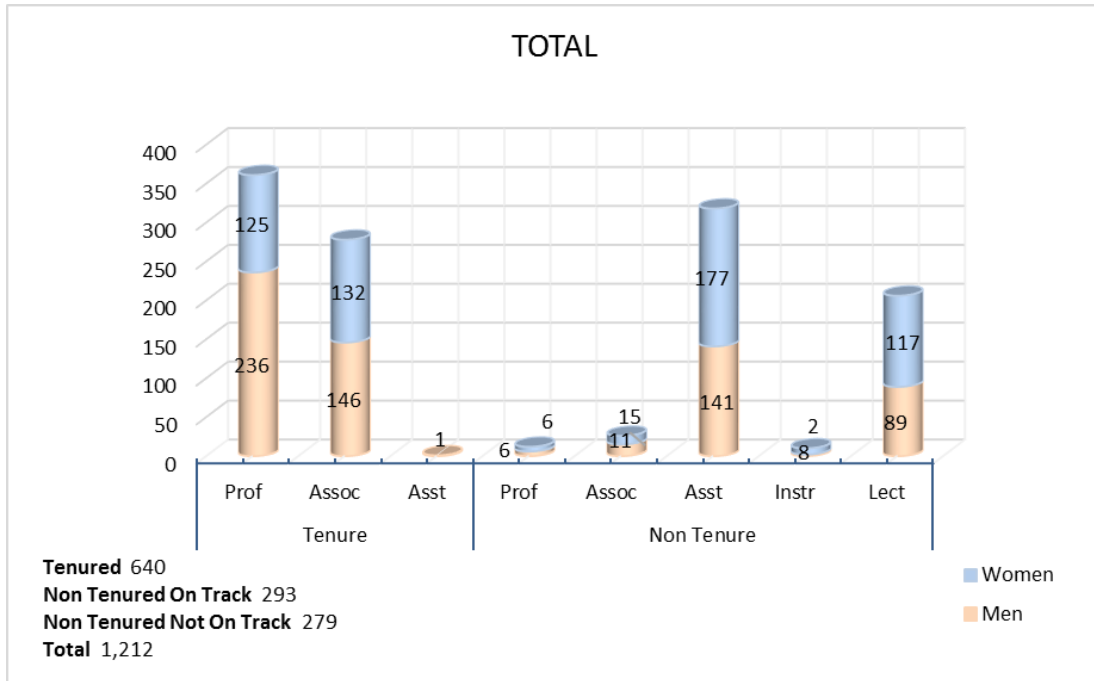
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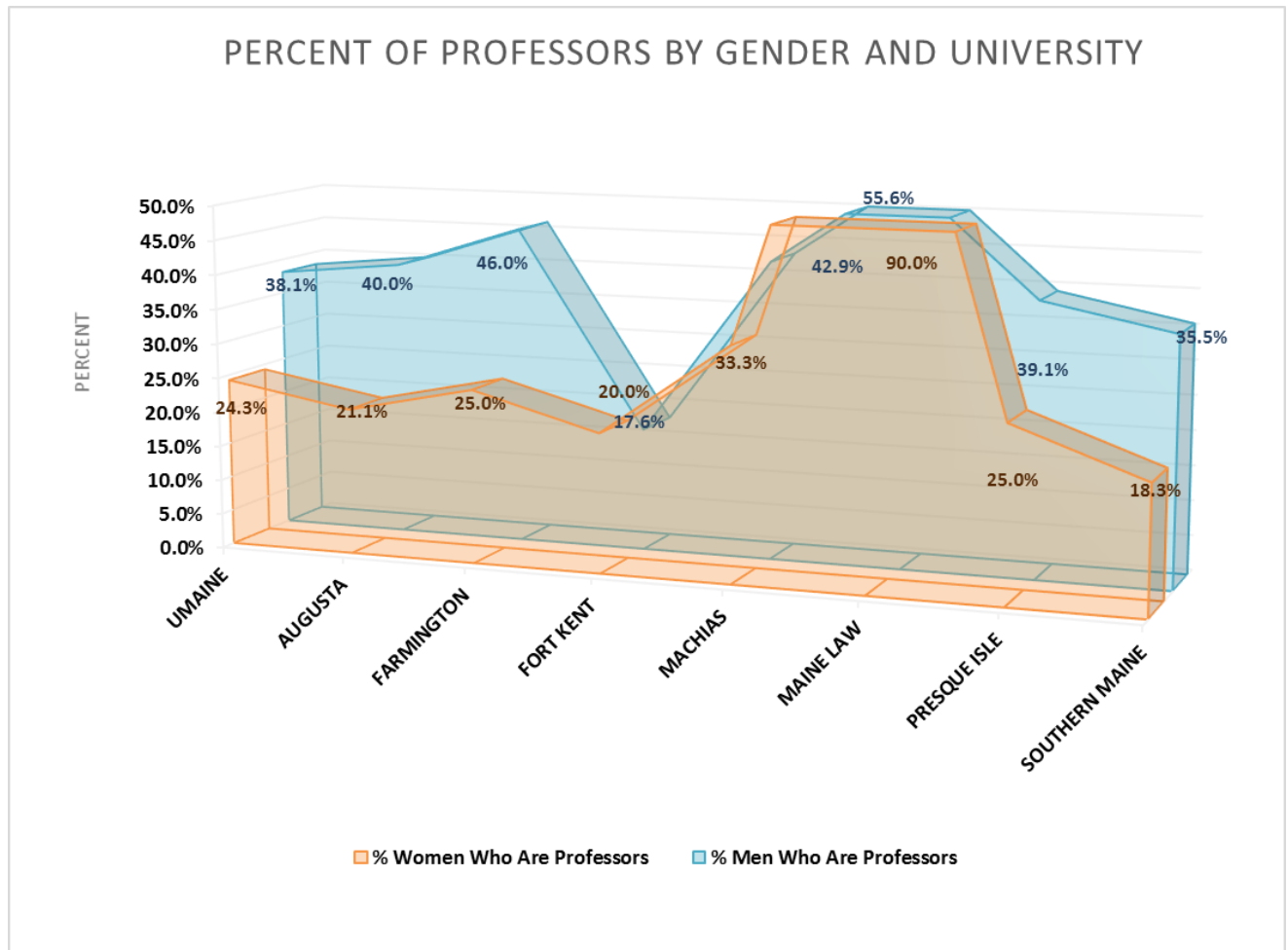
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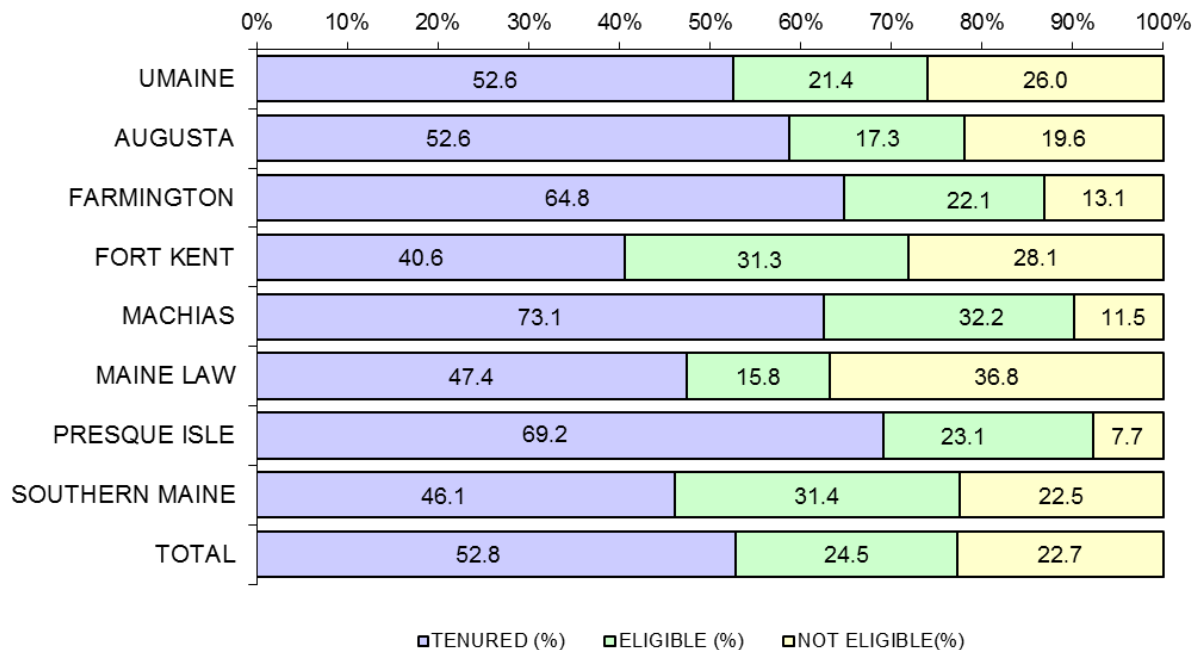
## Percent of Professors by Gender and University



### Tenure Status by Gender and University

UNIVERSITY	TENURED WOMEN			TENURED MEN			TENURED FACULTY	
	NO.	% OF TOTAL WOMEN FACULTY		NO.	% OF TOTAL MEN FACULTY		NO.	% OF TOTAL FACULTY
UMAINE	101	43.0%		206	59.0%		307	50.2%
AUGUSTA	26	45.6%		25	62.5%		51	52.0%
FARMINGTON	41	56.9%		38	76.0%		79	65.3%
FORT KENT	5	33.3%		8	47.1%		13	39.4%
MACHIAS	8	66.7%		11	78.6%		19	67.9%
MAINE LAW	5	50.0%		4	44.4%		9	47.4%
PRESQUE ISLE	10	62.5%		17	73.9%		27	69.2%
SOUTHERN MAINE	61	38.4%		74	55.2%		135	43.1%
<b>TOTAL</b>	<b>257</b>	<b>44.6%</b>		<b>383</b>	<b>60.2%</b>		<b>640</b>	<b>52.8%</b>

### Tenure Status by University



### Tenure Status by University

UNIVERSITY	TOTAL NUMBER OF TENURED FACULTY	ELIGIBLE FOR TENURE	NOT ELIGIBLE FOR TENURE	TOTAL NOT TENURED	TENURED OR ELIGIBLE FOR TENURE	TOTAL FACULTY
UMAINE	307	125	152	277	432	584
AUGUSTA	51	27	19	46	78	97
FARMINGTON	79	26	17	43	105	122
FORT KENT	13	10	9	19	23	32
MACHIAS	19	4	3	7	23	26
MAINE LAW	9	3	7	10	12	19
PRESQUE ISLE	27	9	3	12	36	39
SOUTHERN MAINE	135	89	69	158	224	293
<b>TOTAL</b>	<b>640</b>	<b>290</b>	<b>282</b>	<b>572</b>	<b>930</b>	<b>1,212</b>

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UNIVERSITY	TENURED FACULTY AS % OF FACULTY WHO ARE TENURED OR ARE ELIGIBLE FOR TENURE	% OF TOTAL FACULTY WHO ARE TENURED	% OF TOTAL FACULTY WHO ARE TENURED OR ARE ELIGIBLE FOR TENURE	% OF TOTAL FACULTY WHO ARE NOT ELIGIBLE FOR TENURE	% OF NON- TENURED FACULTY WHO ARE ELIGIBLE FOR TENURE
UMAINE	71.1	52.6	74.0	26.0	45.1
AUGUSTA	65.4	52.6	80.4	19.6	58.7
FARMINGTON	74.5	64.8	86.9	13.1	62.8
FORT KENT	56.5	40.6	71.9	28.1	52.6
MACHIAS	82.6	73.1	88.5	11.5	57.1
MAINE LAW	75.0	47.4	63.2	36.8	30.0
PRESQUE ISLE	75.0	69.2	92.3	7.7	75.0
SOUTHERN MAINE	59.5	46.1	77.5	22.5	58.2
<b>TOTAL</b>	<b>68.3</b>	<b>52.8</b>	<b>77.3</b>	<b>22.7</b>	<b>51.9</b>



### Ethnicity by Tenure Status

ETHNICITY	TENURE		ELIGIBLE FOR TENURE		NOT ELIGIBLE FOR TENURE		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
WHITE	588	91.9%	245	82.5%	247	89.8%	1,080	89.1%
MINORITY	52	8.1%	52	17.5%	28	10.2%	132	10.9%
<b>TOTAL</b>	640	100.0%	297	100.0%	275	100.0%	1,212	100.0%

### Ethnicity by University

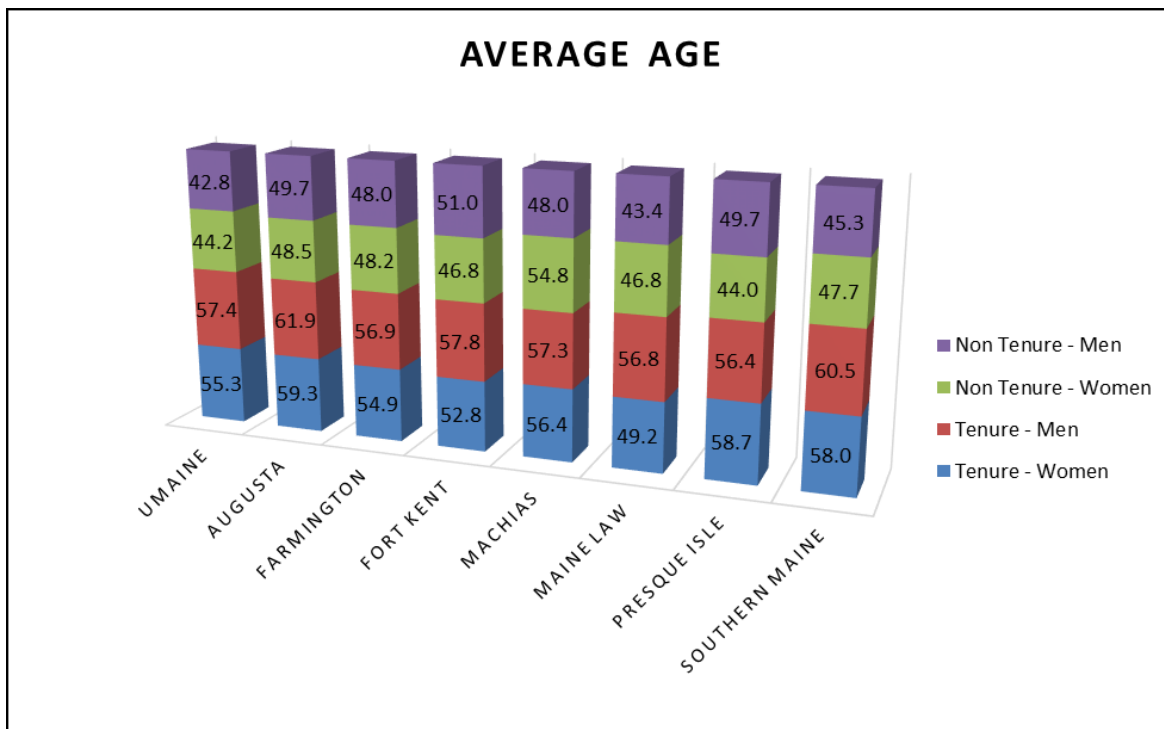
UNIVERSITY	MINORITY NUMBER	MINORITY PERCENT
UMAINE	76	13.0
AUGUSTA	2	2.1
FARMINGTON	5	4.1
FORT KENT	3	9.4
MACHIAS	0	0.0
MAINE LAW	1	5.3
PRESQUE ISLE	4	10.3
SOUTHERN MAINE	41	14.0
<b>TOTAL</b>	<b>132</b>	<b>10.9</b>

### Average Years of Service from Date of Appointment To Date of Tenure

UNIVERSITY	WOMEN	MEN	TOTAL
UMAINE	5.3	5.0	5.1
AUGUSTA	5.6	6.0	5.8
FARMINGTON	4.8	5.1	5.0
FORT KENT	5.2	5.5	5.4
MACHIAS	5.9	5.6	5.7
MAINE LAW	5.5	2.5	4.0
PRESQUE ISLE	5.6	4.7	5.0
SOUTHERN MAINE	5.2	5.5	5.4
<b>TOTAL</b>	<b>5.3</b>	<b>5.2</b>	<b>5.2</b>

### Average Age by Gender and University

University	Tenured			Non Tenured			Grand Total
	Women	Men	Total	Women	Men	Total	
UMAINE	55.3	57.4	56.7	44.2	42.8	43.5	50.4
AUGUSTA	59.3	61.9	60.6	48.5	49.7	48.9	55.0
FARMINGTON	54.9	56.9	55.9	48.2	48.0	48.1	53.1
FORT KENT	52.8	57.8	55.8	46.8	51.0	48.8	51.7
MACHIAS	56.4	57.3	56.9	54.8	48.0	51.9	55.5
MAINE LAW	49.2	56.8	52.6	46.8	43.4	45.1	48.6
PRESQUE ISLE	58.7	56.4	57.3	44.0	49.7	46.8	54.1
SOUTHERN MAINE	58.0	60.5	59.4	47.7	45.3	46.8	52.6
<b>Grand Total</b>	<b>56.3</b>	<b>58.2</b>	<b>57.4</b>	<b>46.3</b>	<b>44.6</b>	<b>45.5</b>	<b>51.8</b>



### Average Age by Gender and Rank

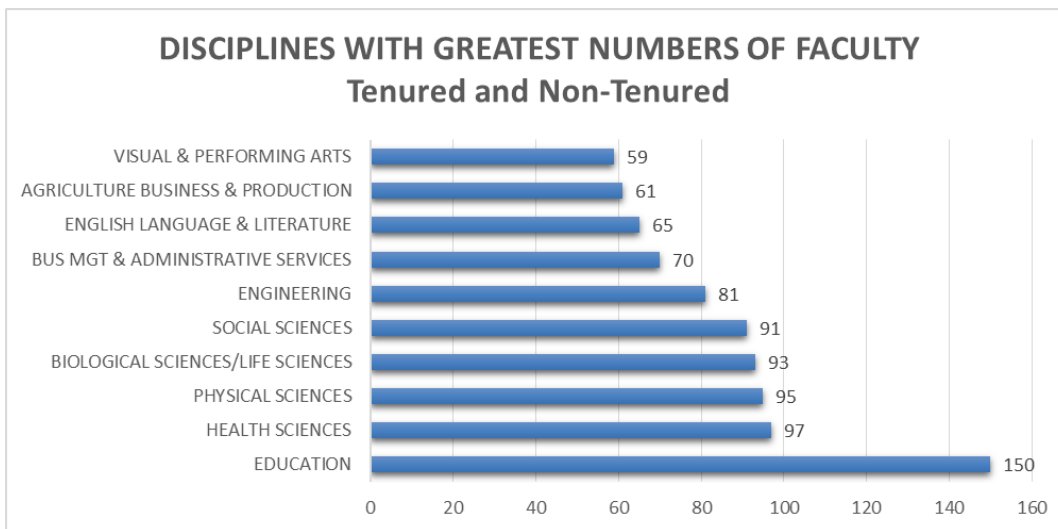
University	Rank	Tenure			Non Tenure			Total
		Women	Men	Total	Women	Men	Total	
<b>UMAINE</b>	Professor	60.3	60.7	60.6	70.0	70.0	70.0	60.9
	Associate Professor	49.4	51.9	51.0	53.0	55.0	54.3	51.3
	Assistant Professor				41.0	38.5	39.7	39.7
	Instructor				53.3	66.0	55.8	55.8
	Lecturer				45.6	44.1	44.9	44.9
<b>UMAINE Total</b>		<b>55.3</b>	<b>57.4</b>	<b>56.7</b>	<b>44.2</b>	<b>42.8</b>	<b>43.5</b>	<b>50.4</b>
<b>AUGUSTA</b>	Professor	64.2	64.6	64.4				64.4
	Associate Professor	55.2	57.2	56.0				56.0
	Assistant Professor				46.2	46.4	46.3	46.3
	Instructor				66.0		66.0	66.0
	Lecturer				50.4	56.4	52.2	52.2
<b>AUGUSTA Total</b>		<b>59.3</b>	<b>61.9</b>	<b>60.6</b>	<b>48.5</b>	<b>49.7</b>	<b>48.9</b>	<b>55.0</b>
<b>FARMINGTON</b>	Professor	57.7	60.1	59.0				59.0
	Associate Professor	52.8	52.0	52.5	41.0		41.0	52.2
	Assistant Professor				43.6	47.1	44.8	44.8
	Instructor				61.0	42.0	51.5	51.5
	Lecturer				56.4	63.0	57.0	57.0
<b>FARMINGTON Total</b>		<b>54.9</b>	<b>56.9</b>	<b>55.9</b>	<b>48.2</b>	<b>48.0</b>	<b>48.1</b>	<b>53.1</b>
<b>FORT KENT</b>	Professor	58.7	55.0	56.8				56.8
	Associate Professor	44.0	59.4	55.0				55.0
	Assistant Professor				43.9	50.3	46.6	46.6
	Lecturer				58.5	52.3	54.8	54.8
<b>FORT KENT Total</b>		<b>52.8</b>	<b>57.8</b>	<b>55.8</b>	<b>46.8</b>	<b>51.0</b>	<b>48.8</b>	<b>51.7</b>
<b>MACHIAS</b>	Professor	63.3	59.8	61.2				61.2
	Associate Professor	49.5	54.2	52.1				52.1
	Assistant Professor				54.8	66.0	57.0	57.0
	Instructor					36.0	36.0	36.0
	Lecturer					42.0	42.0	42.0
<b>MACHIAS Total</b>		<b>56.4</b>	<b>57.3</b>	<b>56.9</b>	<b>54.8</b>	<b>48.0</b>	<b>51.9</b>	<b>55.5</b>
<b>MAINE LAW</b>	Professor	49.2	56.8	52.6	48.3	60.0	50.6	51.9
	Associate Professor				41.0	39.3	39.6	39.6
<b>MAINE LAW Total</b>		<b>49.2</b>	<b>56.8</b>	<b>52.6</b>	<b>46.8</b>	<b>43.4</b>	<b>45.1</b>	<b>48.6</b>
<b>PRESQUE ISLE</b>	Professor	59.0	59.6	59.4				59.4
	Associate Professor	58.5	52.9	55.3		53.5	53.5	55.1
	Assistant Professor				44.2	38.5	42.6	42.6
	Instructor				43.0		43.0	43.0
	Lecturer					57.0	57.0	57.0
<b>PRESQUE ISLE Total</b>		<b>58.7</b>	<b>56.4</b>	<b>57.3</b>	<b>44.0</b>	<b>49.7</b>	<b>46.8</b>	<b>54.1</b>
<b>SOUTHERN MAINE</b>	Professor	57.0	62.6	60.6		56.0	56.0	60.6
	Associate Professor	58.6	56.7	57.8	54.0	44.0	52.3	57.3
	Assistant Professor		72.0	72.0	45.6	41.4	43.9	44.3
	Instructor				62.0		62.0	62.0
	Lecturer				49.6	51.1	50.2	50.2
<b>SOUTHERN MAINE Total</b>		<b>55.4</b>	<b>56.9</b>	<b>59.9</b>	<b>58.5</b>	<b>48.0</b>	<b>45.5</b>	<b>47.1</b>

### Average Age by Gender and Rank System Totals

	Tenure			Non Tenure			
Rank	Women	Men	Total	Women	Men	Total	Total
Professor	59.4	61.1	60.5	55.5	66.0	60.8	60.5
Associate Professor	53.4	53.4	53.4	51.3	49.9	50.5	53.1
Assistant Professor		72.0	72.0	43.7	41.6	42.7	42.8
Instructor				55.6	51.0	54.7	54.7
Lecturer				48.7	46.9	47.9	47.9
<b>Total</b>	<b>56.3</b>	<b>58.2</b>	<b>57.4</b>	<b>46.3</b>	<b>44.6</b>	<b>45.5</b>	<b>51.8</b>

### Faculty by Discipline by University Tenured and Non-Tenured

DISCIPLINE	UM	UMA	UMF	UMFK	UMM	Maine Law	UMPI	USM	Total
Agriculture Business & Production	48	1		5			1	6	61
Architecture & Related Programs	1	4							5
Area Ethnic & Cultural Studies		1	1					2	4
Biological Sciences/Life Sciences	56	7	8		6		4	12	93
Business Management	29	6	4	3	2		2	24	70
Communications	10	1		1				7	19
Computer & Information Sciences	10	6	1	1			1	6	25
Criminal Justice And Corrections		3		1					4
Education	74	1	34		4		5	32	150
Engineering	73							8	81
Engineering Or Related Technologies	19								19
English Language & Literature	20	11	13	2	1		5	13	65
Foreign Languages & Literature	6	1	4	1				6	18
Health Sciences	23	20	2	10			4	38	97
History	13	2	4	1			3	9	32
Home Economics – Family & Consumer Life	8								8
Law And Legal Studies		1				19			20
Liberal Arts & Sciences	2		2					1	5
Library Science		2							2
Mathematics	26	4	10	1	2		2	10	55
Multi/Interdisciplinary Studies	4	2		1					7
Parks, Recreation, Leisure & Fitness Studies	8				1		2	15	26
Philosophy & Religion	7	1	3					5	16
Physical Sciences	66	1	8	1	2		4	13	95
Psychology	16	7	9	1	4		2	10	49
Public Administration & Social Services	10						2	24	36
Social Sciences	33	8	11	2	2		2	33	91
Visual & Performing Arts	22	7	8	1	2			19	59
<b>TOTAL</b>	<b>584</b>	<b>97</b>	<b>122</b>	<b>32</b>	<b>26</b>	<b>19</b>	<b>39</b>	<b>293</b>	<b>1,212</b>



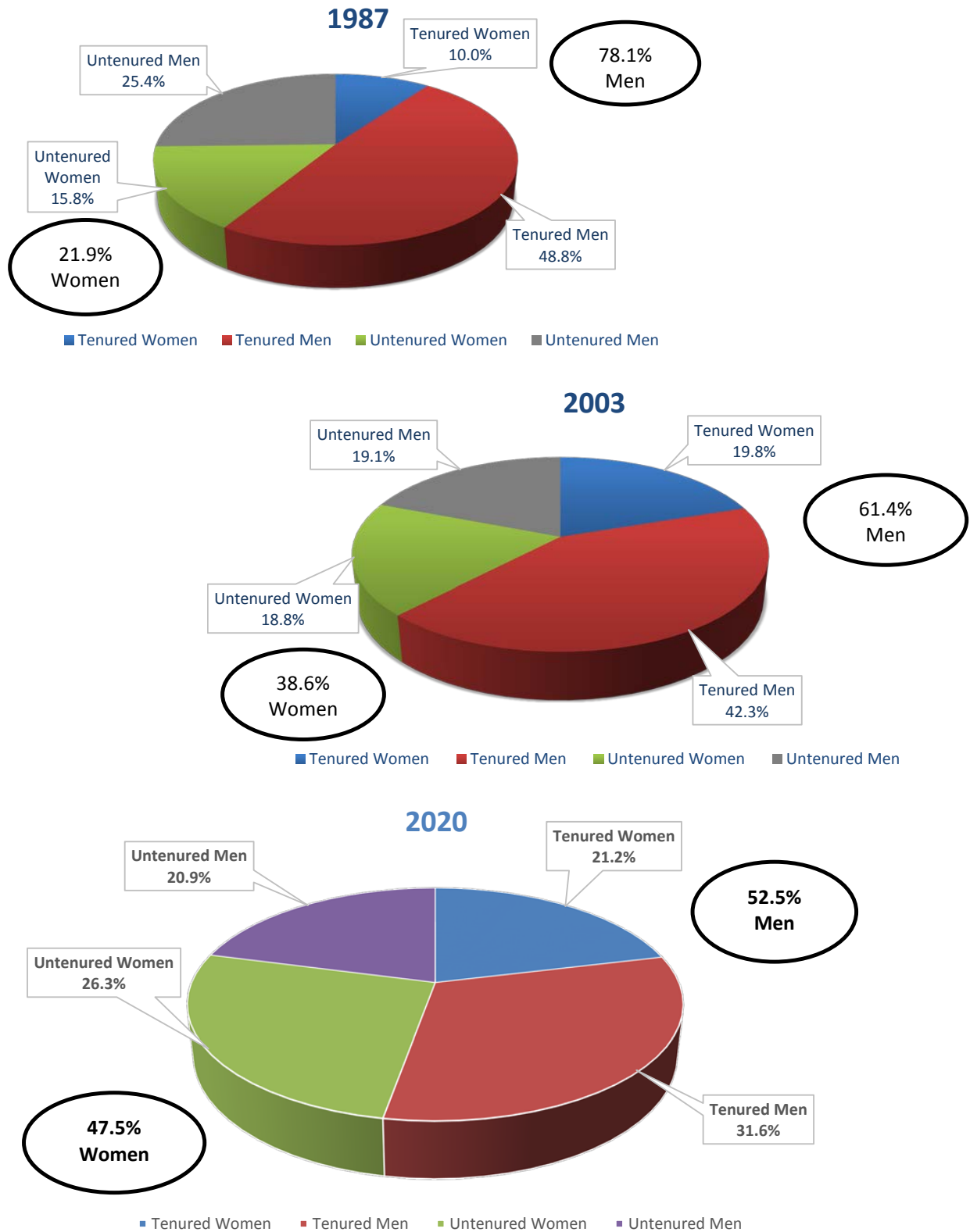
### Top 10 Disciplines 2016/17 – 2020/21



<b>Total Number of All Faculty 1990 - 2020</b>			
<b>YEAR</b>	<b>FACULTY</b>	<b>MEN %</b>	<b>WOMEN %</b>
2020	1,212	52.5	47.5
2019	1,244	52.8	47.2
2018	1,226	53.4	46.6
2017	1,180	54.7	45.3
2016	1,156	53.3	43.7
2014	1,198	57.7	42.3
2011	1,335	57.9	42.1
2008	1,400	59.4	40.6
2005	1,380	60.5	39.5
2002	1,388	61.1	38.9
1999	1,310	64.9	35.1
1996	1,288	68.0	32.0
1993	1,325	69.7	30.3
1990	1,394	72.0	28.0

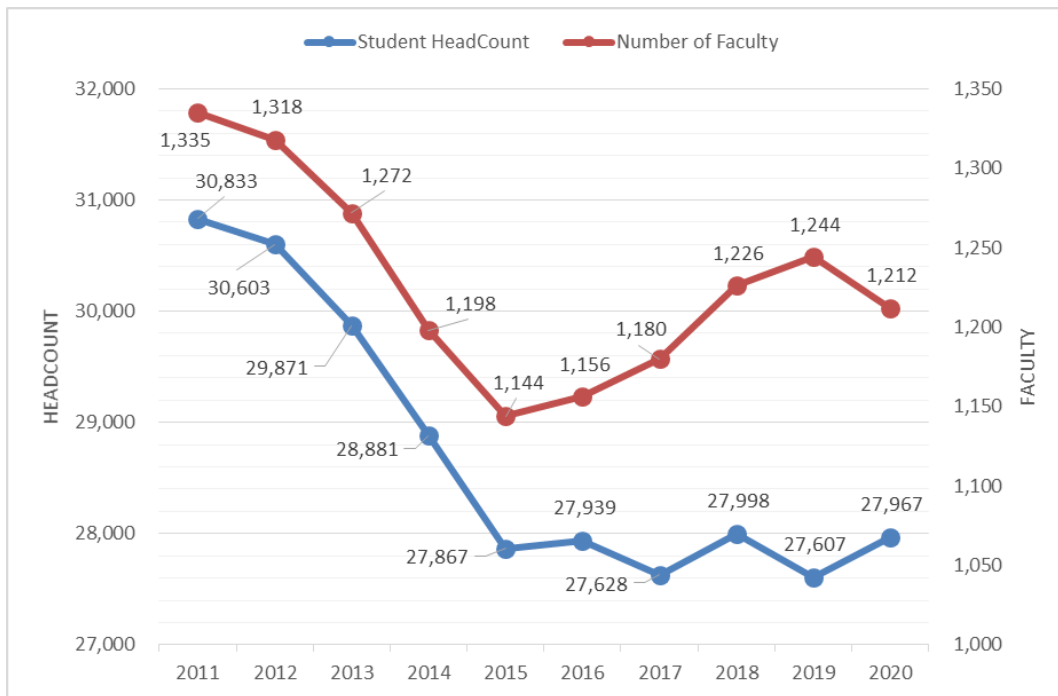
<b>Percent Tenured Faculty by Gender 1990 - 2020</b>				
<b>YEAR</b>	<b>NUMBER</b>	<b>TENURED FACULTY %</b>	<b>MEN %</b>	<b>WOMEN %</b>
2020	640	52.8	60.2	44.6
2019	650	52.3	60.1	43.4
2018	658	52.9	62.2	44.0
2017	669	56.7	63.1	49.0
2016	685	58.1	64.7	52.3
2014	795	66.4	72.4	58.2
2011	876	65.6	71.9	56.9
2008	906	64.7	70.0	57.0
2005	870	63.0	69.0	53.9
2002	848	61.1	69.7	47.6
1999	832	63.5	70.5	50.7
1996	897	69.6	76.7	54.6
1993	907	68.5	75.8	51.6
1990	856	61.4	68.6	42.8

## Gender Composition Faculty 1987 - 2003 - 2019

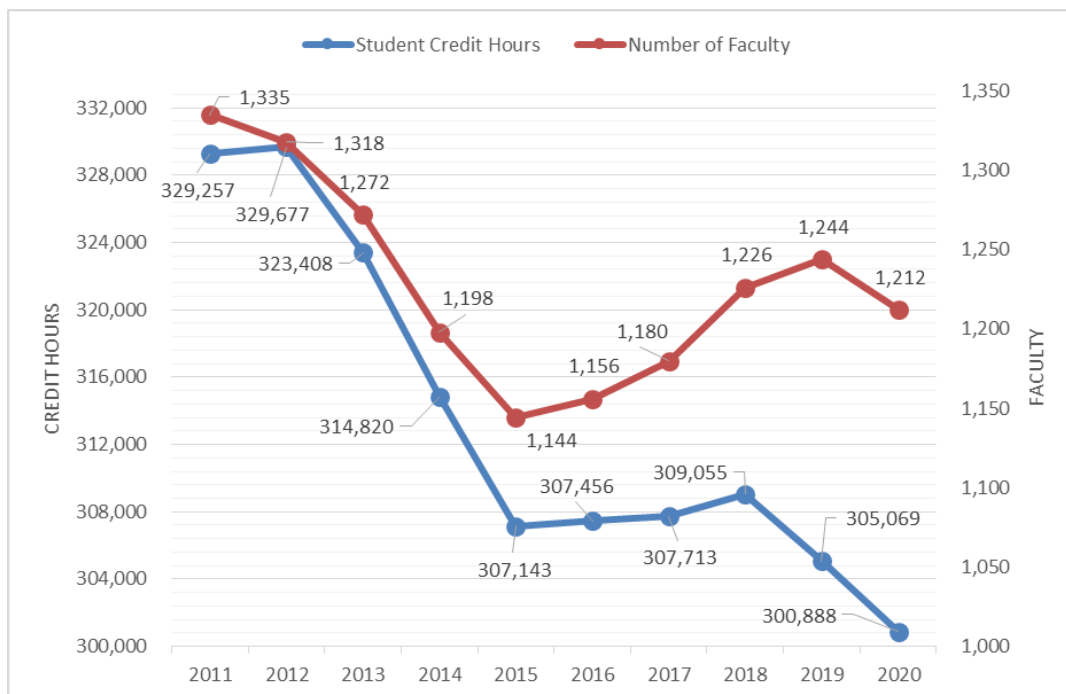




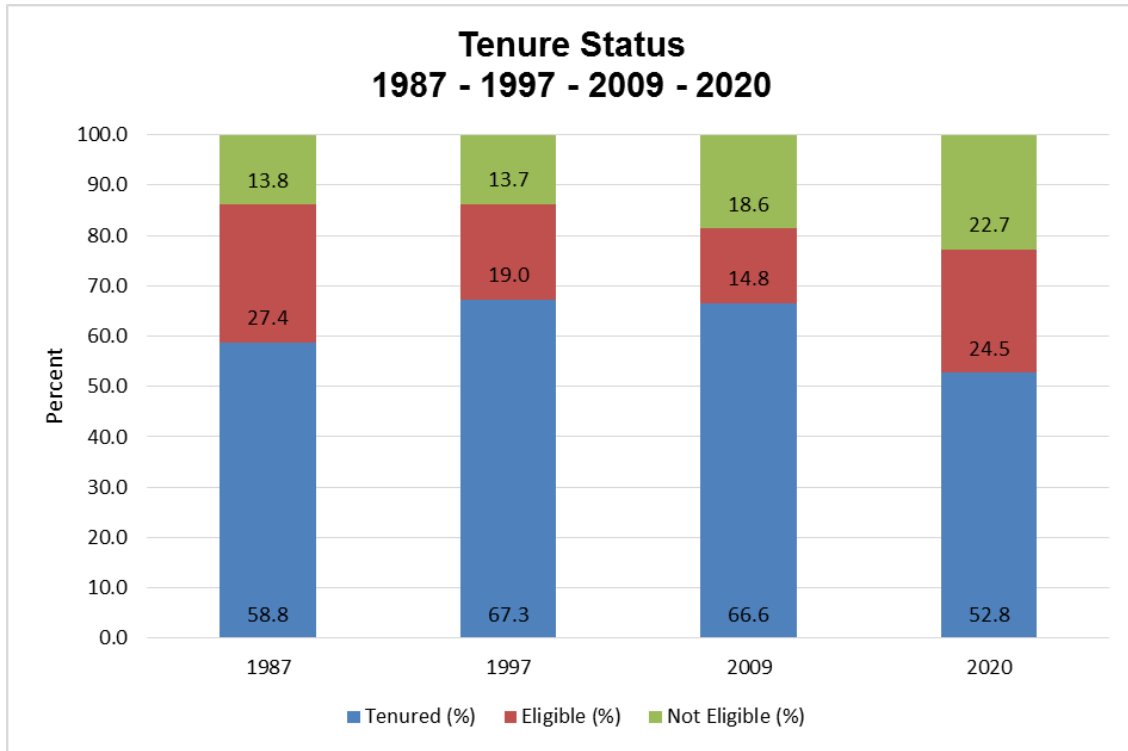
## Student Head Count/Number of Faculty 2011-2020



## Student Credit Hours/Number of Faculty 2011-2020



\*The data for the student head count and credit hours were provided by System IR and includes traditional and Aspirations.



New Hire* Faculty on Tenure Track			
Year	Total Faculty	New Hires	Tenure Track
2020	1,212	73	50
2019	1,244	96	45
2018	1,226	117	52
2017	1,180	85	44
2016	1,156	63	38
2015	1,144	95	40
2014	1,198	59	29
2013	1,272	68	24
2012	1,318	61	27
2008	1,400	62	37

\* New hire as of 11/1/2019

## Faculty and Tenure Profile Trends 1990 - 2020

<b>Years to Tenure by Gender</b>			
<u>YEAR</u>	<u>AVG</u>	<u>MEN</u>	<u>WOMEN</u>
2020	5.2	5.1	5.3
2019*	5.2	5.2	5.3
2018	5.7	5.5	6.1
2017	5.7	5.5	6.1
2014	5.6	5.4	6.1
2011	5.6	5.3	6.0
2008	5.4	5.2	5.8
2005	5.5	5.2	5.9
2002	5.3	5.1	5.8
1999	5.4	5.2	6.1
1996	5.3	5.0	5.9
1993	5.1	4.9	5.8
1990	5.1	5.0	5.9

\*There was a revision to the method for determining Years to Tenure in 2019 that more accurately reflected the purpose of the metric. In prior reports the first day of employment was used as the start date as opposed to the start date of the tenure track.

<b>Minority Faculty</b>		
<u>YEAR</u>	<u>NUMBER</u>	<u>PERCENT</u>
2020	132	10.9
2019	110	8.8
2018	100	8.2
2017	109	9.2
2014	81	6.8
2011	80	6.0
2008	73	5.2
2005	63	4.6
2002	57	4.1
1999	55	4.2
1996	39	3.0
1993	34	2.6
1990	40	2.9

<b>Average Age</b>				
<u>YEAR</u>	<u>AVG AGE</u>	<u>TENURED</u>	<u>NON-TENURED</u>	<u>TENURED OVER 40 %</u>
2020	51.8	57.4	45.5	95.5
2019	51.6	57.4	45.3	96.5
2018	52.0	57.7	45.2	96.7
2017	52.2	57.4	45.4	97.2
2014	53.8	57.4	46.8	96.1
2011*	53.3	56.8	46.8	96.5
2008	53.5	56.9	47.1	97.1
2005	51.5	55.0	45.7	96.0
2002*	49.9	54.0	43.5	95.4
1999	49.7	53.4	43.1	95.8
1996	49.6	52.5	42.9	94.1
1993	48.5	51.2	42.7	89.7
1990	47.5	51.0	41.9	88.7

\*There was a revision to the method for determining age in 2002 that resulted in rounding differences. Average age information has been revised to correct errors in the March 2011 report

### Faculty and Tenure Profile Trends (cont.) 1990 - 2020

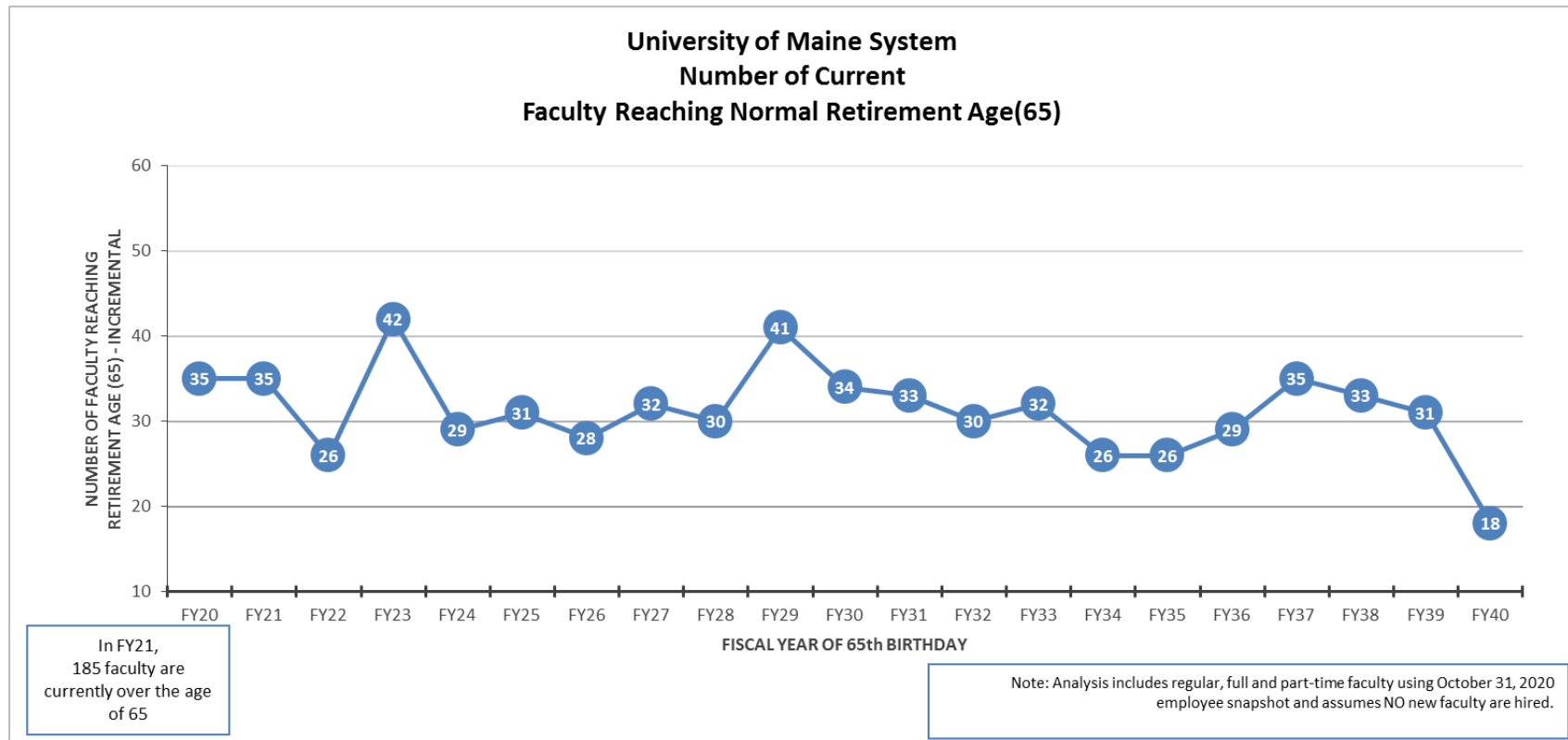
Academic Rank by Percent					
YEAR	PROFESSOR	ASSOC PROF	ASST PROF	INSTRUCTOR	LECTURER
2020	30.8%	25.1%	26.3%	0.8%	17.0%
2019	30.0%	24.9%	25.6%	1.8%	17.8%
2018	30.9%	25.5%	24.3%	2.0%	17.4%
2017	32.1%	26.9%	22.8%	2.1%	16.1%
2014	36.0%	33.2%	15.7%	2.1%	13.0%
2011	34.7%	34.5%	15.8%	2.4%	12.6%
2008	33.6%	34.8%	18.0%	3.6%	9.9%
2005	31.5%	34.5%	22.0%	3.8%	8.4%
2002	31.2%	32.7%	25.2%	3.2%	7.6%
1999	30.8%	35.0%	24.7%	3.0%	6.5%
1996	32.4%	39.8%	19.3%	3.3%	5.2%
1993	31.9%	37.6%	22.1%	4.2%	4.2%
1990	29.3%	33.1%	29.5%	4.0%	4.2%

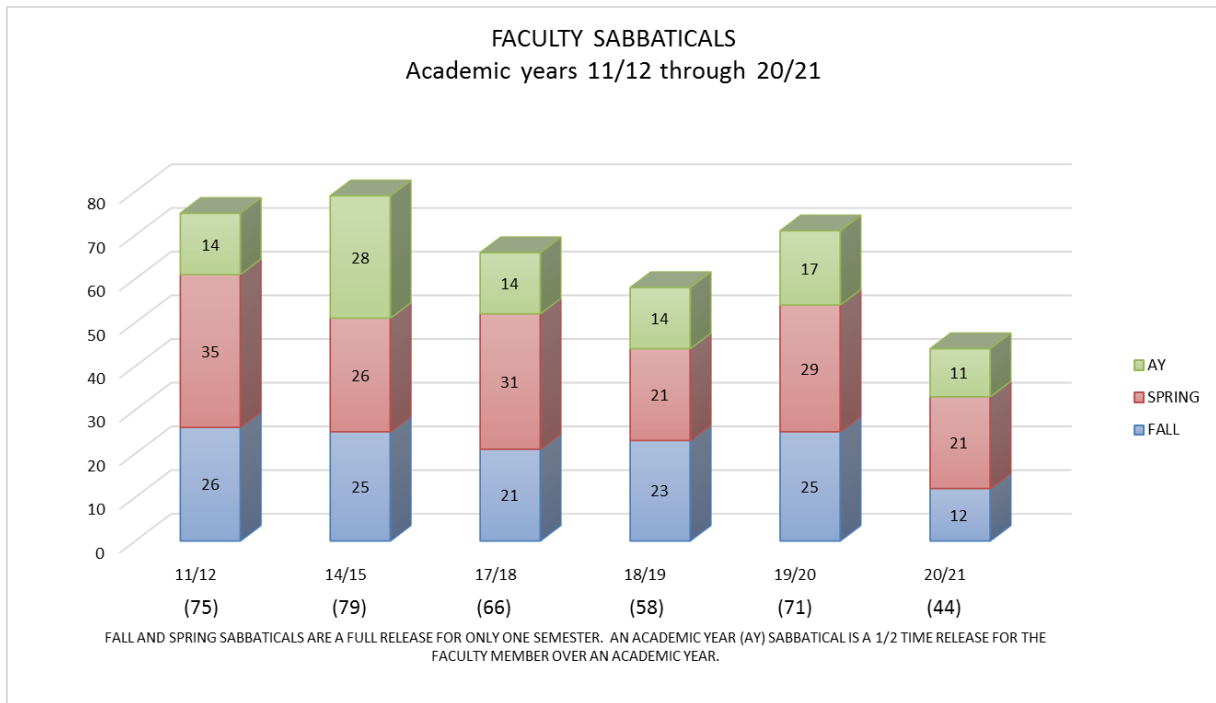
Academic Rank by Headcount					
YEAR	PROFESSOR	ASSOC PROF	ASST PROF	INSTRUCTOR	LECTURER
2020	373	304	319	10	206
2019	373	310	318	22	221
2018	379	313	297	24	213
2017	379	317	269	25	190
2014	431	398	188	25	156
2011	463	461	211	32	168
2008	471	487	252	51	139
2005	435	474	303	52	116
2002	433	454	350	45	106
1999	404	459	323	39	85
1996	417	513	249	42	67
1993	428	505	297	56	59
1990	414	469	417	56	59

## Tenure Track Faculty by Anticipated Year of Tenure

Year of Tenure	Gender	UM	UMA	UMF	UMFK	UMM	MAINE LAW	UMPI	USM	Total
2022	Men	7	2	1		1			2	13
	Women	22		2					5	29
2023	Men	11	2	1	2	1		1	3	21
	Women	8	1	4	1	1		2	12	29
2024	Men	10		1	1				9	21
	Women	11	4	1					14	30
2025	Men	17	4	2			1	2	8	34
	Women	11	9	3	2			1	13	39
2026	Men	8		2	2		2	1	14	29
	Women	8		3	1	1		1	12	26

Year of Tenure	Ethnicity	UM	UMA	UMF	UMFK	UMM	MAINE LAW	UMPI	USM	Total
2022	MINORITY	4		1					1	6
	WHITE	25	2	2		1			6	36
2023	MINORITY	4							2	6
	WHITE	15	3	5	3	2		3	13	44
2024	MINORITY	4							6	10
	WHITE	17	4	2	1				17	41
2025	MINORITY	7							4	11
	WHITE	21	13	5	2		1	3	17	62
2026	MINORITY	4					1		10	15
	WHITE	12		5	3	1	1	2	16	40







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# Spring 2021 Enrollment Report

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Robert Zuercher, UMS Senior Institutional Research & Planning Analyst  
February 15, 2021



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**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**


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**TABLE OF CONTENTS**

Introduction .....	2
Highlights .....	3
Headcount by Campus and Student Level .....	4
FTE by Campus and Student Level .....	5
Credit Hours by Campus and Student Level.....	6
Headcount, FTE, and Credit Hours by Degree Level .....	8
Headcount by Student Level and Tuition Residency .....	10
Credit Hours by Tuition Residency and Level.....	11
Headcount by Tuition Residency and Campus.....	12
Credit Hours by Tuition Residency and Campus.....	15
Headcount by Student Level and Gender .....	18
Headcount by Gender and Campus .....	19
Credit Hours by Gender and Campus .....	20
Headcount by Student Level and Status .....	21
Headcount by Status and Campus .....	22
Credit Hours by Status and Campus .....	23
Entering Degree/Certificate-Seeking Headcount by Admit Type and Campus .....	24
First-Time, Degree/Certificate-Seeking Undergraduate Headcount by Tuition Residency and Status .....	26
First-Time, Degree/Certificate-Seeking Undergraduate Headcount by Tuition Residency and Campus .....	27
Transfer-In, Degree/Certificate-Seeking Undergraduate Headcount by Tuition Residency and Status.....	28
Transfer-in, Degree/Certificate-Seeking Undergraduate Headcount by Tuition Residency and Campus.....	29
Transfer-In, Degree/Certificate-Seeking Undergraduate Headcount by Type of Institution Last Attended and Tuition Residency .....	31
Spring 2021 Transfer-In, Degree/Certificate-Seeking Undergraduate Headcount by Type of Institution Last Attended, Tuition Residency, and Campus .....	32
Readmitted, Degree/Certificate-Seeking Undergraduate Headcount by Tuition Residency and Status .....	33
Entering Graduate, Degree/Certificate-Seeking Headcount by Tuition Residency and Status .....	34
Total Headcount by Race/Ethnicity .....	35
Total Headcount by Age Range.....	36
Total Headcount by Summarized Age Range.....	36
Spring 2021 Total Headcount by Residency (Based on Original Home Address) .....	37
Total Credit Hours by Distance Modality .....	37
Total Credit Hours by Student Level and Modality Type .....	39

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## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

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### INTRODUCTION

The following report provides summary information regarding enrollment at the University of Maine System (UMS) for the Spring 2021 semester. All data reported is as of the spring census date (February 15). Note: UMS early college students are now excluded from this report. Figures specific to UMS early college can be found in a separate Spring Early College Enrollment report.

#### Notes:

1. UMS early college students are now excluded from this report. Figures specific to UMS early college can be found in a separate Spring Early College Enrollment report.
2. Some totals may not appear to sum correctly due to rounding (e.g., credit hours, FTE, and percentages).
3. In the case of inter-institutional cross-listed courses, the Host institution (the UMS institution hosting/teaching the course) receives the credit hours for the course, while the Home institution (the UMS institution where the students' primary enrollment is) keeps the FTE and headcount.
4. The formula for calculating Spring FTE (for all campuses except UMF starting in Fall 2006) is as follows:  

$$\text{Spring Undergraduate Credit Hours}/15 + \text{Spring Professional (Law) Credit Hours}/15 + \text{Spring Graduate Credit Hours}/9 = \text{Spring FTE} + \text{UMF: Spring Undergraduate Credit Hours}/16 + \text{Spring Graduate Credit Hours}/9 = \text{Spring FTE}.$$
5. Students enrolled under the New England Regional Student Program (NEBHE) pay 150% of in-state tuition, which may include out-of-state students and Canadian students.
6. Students enrolled in multiple academic careers are reported under their highest academic career (in descending order: law, graduate, undergraduate).

**Data Source:** PeopleSoft Database; the University of Maine System.

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## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

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### HIGHLIGHTS

- Total headcount was mostly unchanged from Spring 2020 but declined -2.4% from Spring 2017. Total credit hours showed declines in Spring 2021 compared to last year (-2.2%) and five years ago (-2.7%).
- Undergraduate headcount enrollment decreased -3.3% from Spring 2020 and -7.6% from Spring 2017. UM, UMF, and UMPI all showed increases in undergraduate headcounts from last year (0.2%, 3.5%, and 10.1% respectively). The other campuses saw declines in their undergraduate headcounts from last year with decreases ranging from -6.5% at UMA to -14.0% at UMM. Undergraduate credit hours followed showed a -4.0% decrease from Spring 2020 and a -5.3% decrease from Spring 2017.
- Graduate headcount enrollment increased 18.6% from Spring 2020 and 29.3% from Spring 2017. UM, UMF, and USM all saw increases in graduate headcount between 15.0% and 20.1% relative to last year and between 23.5% and 32.6% compared to five years ago. Graduate credit hours also increased by 20.5% from Spring 2020 and 30.4% from Spring 2017. As of Fall 2020, UMA and UMPI now offer graduate programs.
- Credit hours from in-state students continued to decline and showed a drop of -5.1% from Spring 2020 and -11.5% from Spring 2017. This decline is largely driven by decreases in in-state undergraduate headcounts (down -17.1% from Spring 2017). Out-of-state and NEBHE credit hours showed a slight decline from last year (-2.8% and -0.7% respectively) but were up from Spring 2017 (16.2% and 15.7% respectively). Although they accounted for less than 3% of all credit hours in Spring 2021, increased enrollment and growth in online programs is evident based on the sharp increases in both non-resident online and Academic Partnerships credit hours (up 92.0% and 422.6% from Spring 2020).
- The total number of first-time undergraduates increased 11.3% from last year. In-state, first-time undergraduates declined -6.8% from Spring 2020 and -18.8% from Spring 2017. Although in-state and out-of-state/international entering transfer students decreased from last year by -12.8% and -5.5% respectively, gains in transfers across non-resident online (up 36.4% from last spring) and Academic Partnerships (up 111.8% from last year) brought the overall entering transfer student headcount close to last year's total, though still showed decline (-1.5%). The total number of entering graduate students has grown substantially from Spring 2017 (up 88.8%) and showed a sharp increase from last year (up 52.7%).
- Compared to either a year ago or five years ago, there are now more Black/African American, Hispanic/Latino, Asian, and students who identify as belonging to more than one racial category. American Indian/Alaska Native and non-resident alien students declined compared to last year (-10.6% and -6.3% respectively) and Spring 2017 (-18.4% and -6.2% respectively). The total number of white students decreased -0.4% from last year and -4.5% from Spring 2017.
- The delivery of credit hours in Spring 2021 reflects not only the impact of the COVID-19 pandemic as courses shifted modalities to remote/online instruction, but also the implementation of new instruction modalities (e.g., Hyflex, online asynchronous, etc.) at some campuses. Prior to Spring 2021, distance education saw continued growth each year and accounted for between 23.9-28.3% of all credit hours. In Spring 2021, distance education accounted for 82.6% of all credit hours and credit hours delivered through traditional modalities made up the remaining 17.4%.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY CAMPUS AND STUDENT LEVEL

#### Undergraduate Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	8,505	8,548	8,604	8,526	8,547	42.0%	0.2%	0.5%
UMA	3,888	3,567	3,543	3,419	3,198	15.7%	-6.5%	-17.7%
UMF	1,660	1,628	1,553	1,494	1,373	6.7%	-8.1%	-17.3%
UMFK	1,050	1,037	958	835	864	4.2%	3.5%	-17.7%
UMM	636	605	567	536	461	2.3%	-14.0%	-27.5%
UMPI	891	908	877	874	962	4.7%	10.1%	8.0%
USM	5,381	5,326	5,535	5,355	4,940	24.3%	-7.7%	-8.2%
<b>Total</b>	<b>22,011</b>	<b>21,619</b>	<b>21,637</b>	<b>21,039</b>	<b>20,345</b>	<b>100.0%</b>	<b>-3.3%</b>	<b>-7.6%</b>

#### Graduate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	1,851	1,846	2,023	2,100	2,414	53.3%	15.0%	30.4%
UMA	0	0	0	0	40	0.9%	N/A	N/A
UMF	233	327	295	259	309	6.8%	19.3%	32.6%
UMPI	0	0	0	0	12	0.3%	N/A	N/A
USM	1,420	1,457	1,494	1,460	1,754	38.7%	20.1%	23.5%
<b>Total</b>	<b>3,504</b>	<b>3,630</b>	<b>3,812</b>	<b>3,819</b>	<b>4,529</b>	<b>100.0%</b>	<b>18.6%</b>	<b>29.3%</b>

#### Total Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	10,356	10,394	10,627	10,626	10,961	43.6%	3.2%	5.8%
UMA	3,888	3,567	3,543	3,419	3,238	12.9%	-5.3%	-16.7%
UMF	1,893	1,955	1,848	1,753	1,682	6.7%	-4.1%	-11.1%
UMFK	1,050	1,037	958	835	864	3.4%	3.5%	-17.7%
UMM	636	605	567	536	461	1.8%	-14.0%	-27.5%
UMPI	891	908	877	874	974	3.9%	11.4%	9.3%
USM	6,801	6,783	7,029	6,815	6,694	26.6%	-1.8%	-1.6%
LAW	234	244	243	249	245	1.0%	-1.6%	4.7%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>
<b>Unduplicated Total</b>	<b>25,225</b>	<b>25,034</b>	<b>25,208</b>	<b>24,703</b>	<b>24,674</b>	<b>100.0%</b>	<b>-0.1%</b>	<b>-2.2%</b>

#### Total Headcount by Student Level (Excludes Early College)

Student Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Undergraduate	22,011	21,619	21,637	21,039	20,345	81.0%	-3.3%	-7.6%
Graduate	3,504	3,630	3,812	3,819	4,529	18.0%	18.6%	29.3%
Law	234	244	243	249	245	1.0%	-1.6%	4.7%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>
<b>Unduplicated Total</b>	<b>25,225</b>	<b>25,034</b>	<b>25,208</b>	<b>24,703</b>	<b>24,674</b>	<b>100.0%</b>	<b>-0.1%</b>	<b>-2.2%</b>

**Note:** The “Unduplicated Total” is the number of unique students enrolled in the UMS. Students may be enrolled in one or more UMS institutions, but they are only counted once in the “Unduplicated Total.”

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### FTE BY CAMPUS AND STUDENT LEVEL

#### Undergraduate FTE by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	7,974.2	8,076.3	8,028.2	7,967.6	7,876.8	47.6%	-1.1%	-1.2%
UMA	2,129.0	1,995.7	2,010.7	1,975.7	1,913.2	11.6%	-3.2%	-10.1%
UMF	1,521.9	1,499.2	1,435.0	1,378.9	1,249.8	7.6%	-9.4%	-17.9%
UMFK	719.7	703.1	659.2	589.3	582.8	3.5%	-1.1%	-19.0%
UMM	436.3	417.4	388.4	362.2	302.4	1.8%	-16.5%	-30.7%
UMPI	643.7	656.5	646.3	660.1	724.5	4.4%	9.7%	12.5%
USM	4,015.5	4,097.8	4,355.6	4,293.1	3,886.3	23.5%	-9.5%	-3.2%
<b>Total</b>	<b>17,440.3</b>	<b>17,446.0</b>	<b>17,523.4</b>	<b>17,226.9</b>	<b>16,535.8</b>	<b>100.0%</b>	<b>-4.0%</b>	<b>-5.2%</b>

#### Graduate FTE by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	1,007.3	1,018.8	1,096.1	1,141.0	1,382.7	49.9%	21.2%	37.3%
UMA	0.0	0.0	0.0	0.0	23.5	0.8%	N/A	N/A
UMF	88.1	120.7	110.7	97.0	124.0	4.5%	27.8%	40.9%
UMPI	0.0	0.0	0.0	0.0	4.0	0.1%	N/A	N/A
USM	1,033.4	1,095.1	1,088.3	1,064.8	1,238.9	44.7%	16.3%	19.9%
<b>Total</b>	<b>2,128.8</b>	<b>2,234.6</b>	<b>2,295.1</b>	<b>2,302.8</b>	<b>2,773.0</b>	<b>100.0%</b>	<b>20.4%</b>	<b>30.3%</b>

#### Total FTE by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	8,981.5	9,095.2	9,124.4	9,108.6	9,259.5	47.4%	1.7%	3.1%
UMA	2,129.0	1,995.7	2,010.7	1,975.7	1,936.7	9.9%	-2.0%	-9.0%
UMF	1,610.0	1,619.9	1,545.7	1,475.9	1,373.8	7.0%	-6.9%	-14.6%
UMFK	719.7	703.1	659.2	589.3	582.8	3.0%	-1.1%	-19.0%
UMM	436.3	417.4	388.4	362.2	302.4	1.5%	-16.5%	-30.7%
UMPI	643.7	656.5	646.3	660.1	728.5	3.7%	10.4%	13.1%
USM	5,048.9	5,192.9	5,443.9	5,357.9	5,125.2	26.2%	-4.3%	1.5%
LAW	215.1	228.5	234.1	231.9	226.5	1.2%	-2.3%	5.3%
<b>Total</b>	<b>19,784.3</b>	<b>19,909.0</b>	<b>20,052.6</b>	<b>19,761.7</b>	<b>19,535.3</b>	<b>100.0%</b>	<b>-1.1%</b>	<b>-1.3%</b>

#### Total FTE by Student Level (Excludes Early College)

Student Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Undergraduate	17,440.3	17,446.0	17,523.4	17,226.9	16,535.8	84.6%	-4.0%	-5.2%
Graduate	2,128.8	2,234.6	2,295.1	2,302.8	2,773.0	14.2%	20.4%	30.3%
Law	215.1	228.5	234.1	231.9	226.5	1.2%	-2.3%	5.3%
<b>Total</b>	<b>19,784.3</b>	<b>19,909.0</b>	<b>20,052.6</b>	<b>19,761.7</b>	<b>19,535.3</b>	<b>100.0%</b>	<b>-1.1%</b>	<b>-1.3%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### CREDIT HOURS BY CAMPUS AND STUDENT LEVEL

#### Undergraduate Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	119,614	121,145	120,424	119,514	117,889	47.3%	-1.4%	-1.4%
UMA	31,935	29,935	30,129	29,577	28,650	11.5%	-3.1%	-10.3%
UMF	24,351	23,987	22,960	22,063	19,997	8.0%	-9.4%	-17.9%
UMFK	10,795	10,546	9,888	8,839	8,742	3.5%	-1.1%	-19.0%
UMM	6,545	6,261	5,858	5,493	4,848	1.9%	-11.7%	-25.9%
UMPI	9,655	9,848	9,694	9,902	10,867	4.4%	9.7%	12.6%
USM	60,233	61,467	65,334	64,396	58,295	23.4%	-9.5%	-3.2%
<b>Total</b>	<b>263,127</b>	<b>263,189</b>	<b>264,286</b>	<b>259,784</b>	<b>249,287</b>	<b>100.0%</b>	<b>-4.0%</b>	<b>-5.3%</b>

#### Graduate Credit Hours by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	9,066	9,170	9,865	10,269	12,444	49.8%	21.2%	37.3%
UMA	0	0	0	0	198	0.8%	N/A	N/A
UMF	793	1,086	996	873	1,116	4.5%	27.8%	40.7%
UMPI	0	0	0	0	48	0.2%	N/A	N/A
USM	9,301	9,856	9,795	9,584	11,174	44.7%	16.6%	20.1%
<b>Total</b>	<b>19,160</b>	<b>20,111</b>	<b>20,656</b>	<b>20,726</b>	<b>24,980</b>	<b>100.0%</b>	<b>20.5%</b>	<b>30.4%</b>

#### Total Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	128,679	130,315	130,289	129,783	130,333	46.9%	0.4%	1.3%
UMA	31,935	29,935	30,129	29,577	28,848	10.4%	-2.5%	-9.7%
UMF	25,144	25,073	23,956	22,936	21,113	7.6%	-7.9%	-16.0%
UMFK	10,795	10,546	9,888	8,839	8,742	3.1%	-1.1%	-19.0%
UMM	6,545	6,261	5,858	5,493	4,848	1.7%	-11.7%	-25.9%
UMPI	9,655	9,848	9,694	9,902	10,915	3.9%	10.2%	13.1%
USM	69,534	71,323	75,129	73,980	69,469	25.0%	-6.1%	-0.1%
LAW	3,227	3,427	3,512	3,479	3,398	1.2%	-2.3%	5.3%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

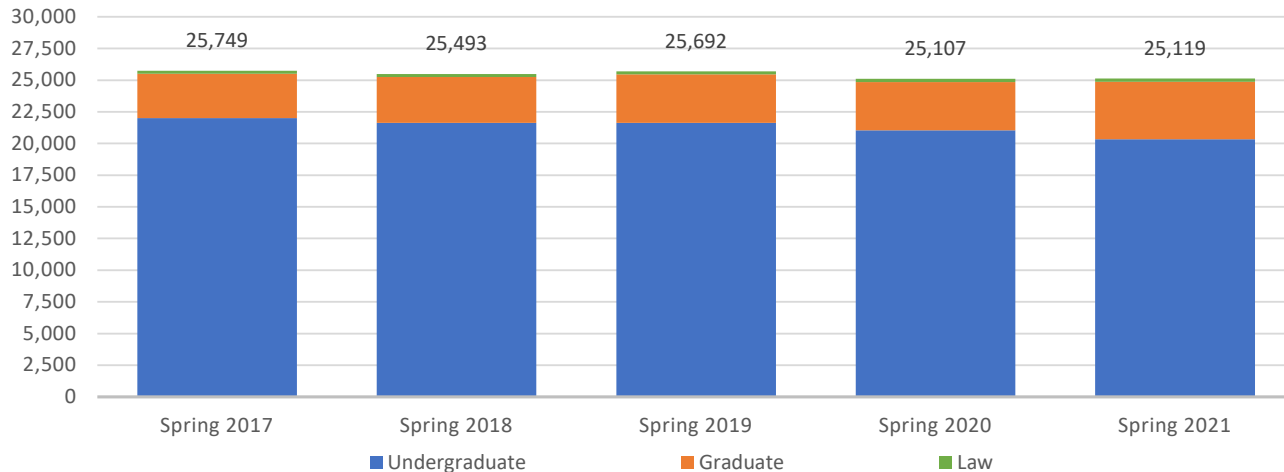
#### Total Credit Hours by Student Level (Excludes Early College)

Student Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Undergraduate	263,127	263,189	264,286	259,784	249,287	89.8%	-4.0%	-5.3%
Graduate	19,160	20,111	20,656	20,726	24,980	9.0%	20.5%	30.4%
Law	3,227	3,427	3,512	3,479	3,398	1.2%	-2.3%	5.3%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

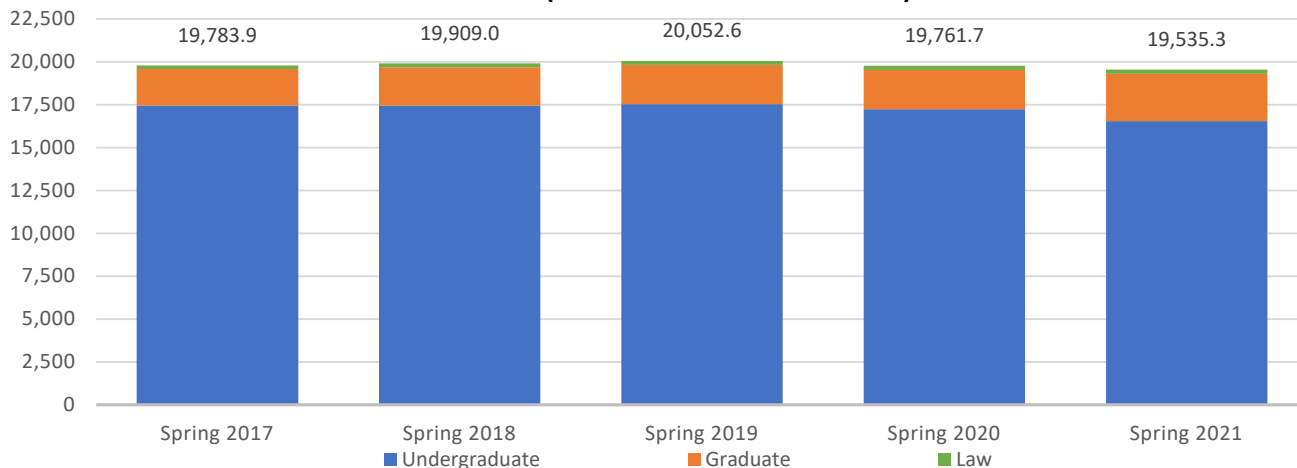
**Note:** In the case of inter-institutional cross-listed courses, the Host institution (the UMS institution hosting/teaching the course) receives the credit hours for the course, while the Home institution (the UMS institution where the students' primary enrollment is) keeps the FTE and headcount.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

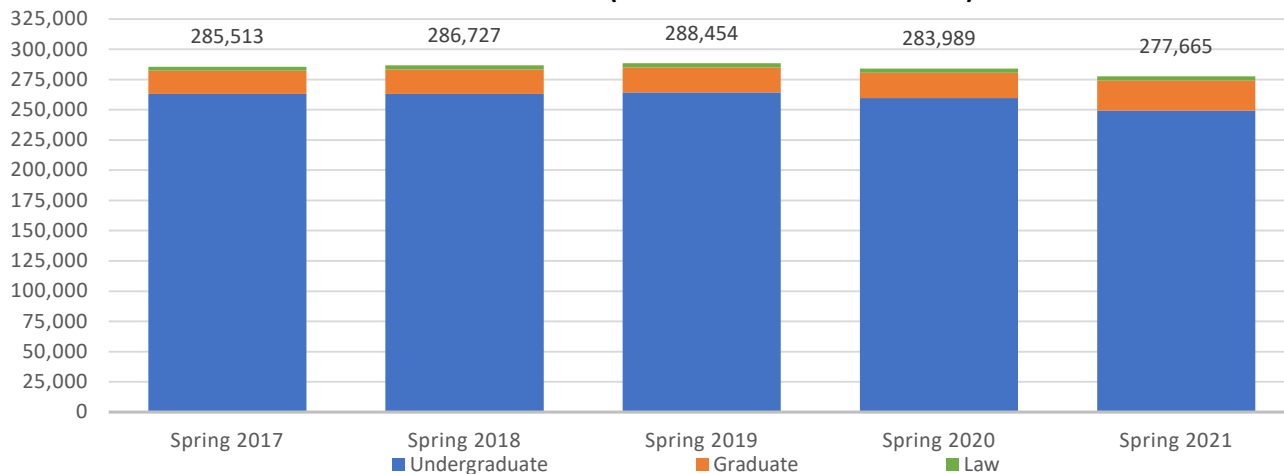
### TOTAL HEADCOUNT (EXCLUDES EARLY COLLEGE)



### TOTAL FTE (EXCLUDES EARLY COLLEGE)



### TOTAL CREDIT HOURS (EXCLUDES EARLY COLLEGE)



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT, FTE, AND CREDIT HOURS BY DEGREE LEVEL

#### Headcount by Degree Level (Excludes Early College)

Degree Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Associate	686	568	576	476	484	1.9%	1.7%	-29.4%
Baccalaureate	19,749	19,595	19,549	19,171	18,552	73.9%	-3.2%	-6.1%
Non-Degree Undergraduate	1,576	1,456	1,512	1,392	1,309	5.2%	-6.0%	-16.9%
Graduate	2,767	2,913	3,034	3,161	3,896	15.5%	23.3%	40.8%
Non-Degree Graduate	737	717	778	658	633	2.5%	-3.8%	-14.1%
Law	231	237	242	245	245	1.0%	0.0%	6.1%
Non-Degree Law	3	7	1	4	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

#### FTE by Degree Level (Excludes Early College)

Degree Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Associate	435.5	358.8	354.9	296.2	298.1	1.5%	0.6%	-31.6%
Baccalaureate	16,542.0	16,643.5	16,741.7	16,514.7	15,859.2	81.2%	-4.0%	-4.1%
Non-Degree Undergraduate	462.9	443.7	426.8	416.0	378.5	1.9%	-9.0%	-18.2%
Graduate	1,867.8	1,978.3	2,027.1	2,066.7	2,527.6	12.9%	22.3%	35.3%
Non-Degree Graduate	261.0	256.3	268.0	236.2	245.4	1.3%	3.9%	-6.0%
Law	214.5	225.3	234.1	230.4	226.5	1.2%	-1.7%	5.6%
Non-Degree Law	0.6	3.2	0.1	1.5	0.0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>19,784.3</b>	<b>19,909.0</b>	<b>20,052.6</b>	<b>19,761.7</b>	<b>19,535.3</b>	<b>100.0%</b>	<b>-1.1%</b>	<b>-1.3%</b>

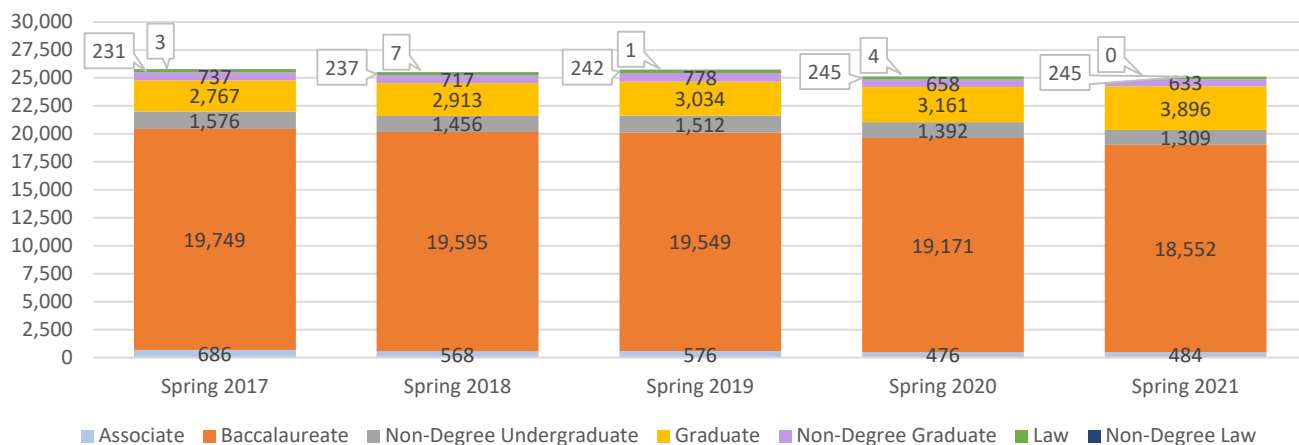
#### Credit Hours by Degree Level (Excludes Early College)

Degree Level	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Associate	6,533	5,382	5,324	4,443	4,471	1.6%	0.6%	-31.6%
Baccalaureate	249,639	251,142	252,550	249,093	239,129	86.1%	-4.0%	-4.2%
Non-Degree Undergraduate	6,956	6,665	6,412	6,248	5,686	2.0%	-9.0%	-18.2%
Graduate	16,811	17,805	18,244	18,600	22,761	8.2%	22.4%	35.4%
Non-Degree Graduate	2,349	2,307	2,412	2,126	2,220	0.8%	4.4%	-5.5%
Law	3,218	3,379	3,511	3,456	3,398	1.2%	-1.7%	5.6%
Non-Degree Law	9	48	1	23	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

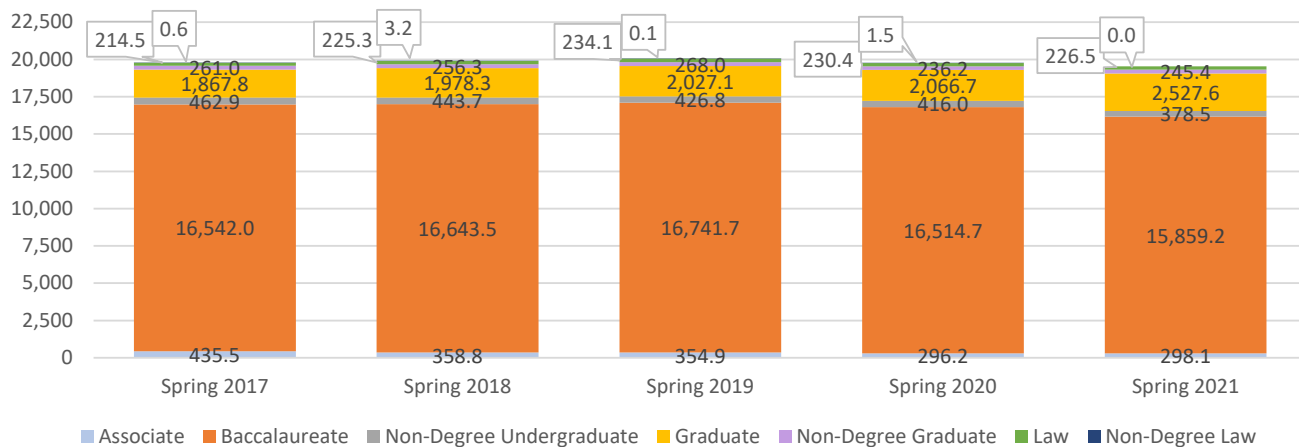


## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

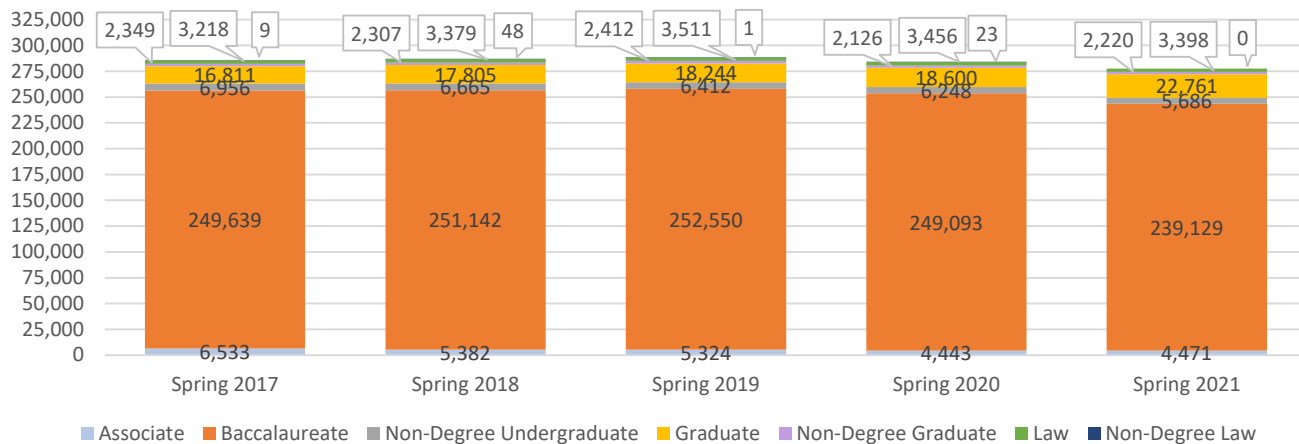
### TOTAL HEADCOUNT BY DEGREE LEVEL (EXCLUDES EARLY COLLEGE)



### TOTAL FTE BY DEGREE LEVEL (EXCLUDES EARLY COLLEGE)



### TOTAL CREDIT HOURS BY DEGREE LEVEL (EXCLUDES EARLY COLLEGE)



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY STUDENT LEVEL AND TUITION RESIDENCY

#### Undergraduate Headcount by Tuition Residency (Excludes Early College)

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	17,961	17,003	16,719	15,969	14,889	73.2%	-6.8%	-17.1%
Out-of-State	3,005	3,538	3,806	3,690	3,652	18.0%	-1.0%	21.5%
International	243	268	273	293	310	1.5%	5.8%	27.6%
NEBHE	682	692	689	773	812	4.0%	5.0%	19.1%
Canadian	115	102	78	87	95	0.5%	9.2%	-17.4%
Non-Resident Online	5	16	72	127	212	1.0%	66.9%	4140.0%
Academic Partnerships	0	0	0	100	375	1.8%	275.0%	N/A
<b>Total</b>	<b>22,011</b>	<b>21,619</b>	<b>21,637</b>	<b>21,039</b>	<b>20,345</b>	<b>100.0%</b>	<b>-3.3%</b>	<b>-7.6%</b>

#### Graduate Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	2,857	2,960	3,095	2,984	3,338	73.7%	11.9%	16.8%
Out-of-State	383	396	420	359	383	8.5%	6.7%	0.0%
International	195	185	180	204	189	4.2%	-7.4%	-3.1%
NEBHE	29	24	25	64	61	1.3%	-4.7%	110.3%
Canadian	14	15	10	11	11	0.2%	0.0%	-21.4%
Non-Resident Online	26	50	82	161	319	7.0%	98.1%	1126.9%
Academic Partnerships	0	0	0	36	228	5.0%	533.3%	N/A
<b>Total</b>	<b>3,504</b>	<b>3,630</b>	<b>3,812</b>	<b>3,819</b>	<b>4,529</b>	<b>100.0%</b>	<b>18.6%</b>	<b>29.3%</b>

#### Law Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	169	178	172	185	187	76.3%	1.1%	10.7%
Out-of-State	60	63	66	58	48	19.6%	-17.2%	-20.0%
International	1	1	0	0	5	2.0%	N/A	400.0%
NEBHE	3	2	4	5	4	1.6%	-20.0%	33.3%
Canadian	1	0	1	1	1	0.4%	0.0%	0.0%
<b>Total</b>	<b>234</b>	<b>244</b>	<b>243</b>	<b>249</b>	<b>245</b>	<b>100.0%</b>	<b>-1.6%</b>	<b>4.7%</b>

#### Total Headcount by Tuition Residency (Excludes Early College)

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	20,987	20,141	19,986	19,138	18,414	73.3%	-3.8%	-12.3%
Out-of-State	3,448	3,997	4,292	4,107	4,083	16.3%	-0.6%	18.4%
International	439	454	453	497	504	2.0%	1.4%	14.8%
NEBHE	714	718	718	842	877	3.5%	4.2%	22.8%
Canadian	130	117	89	99	107	0.4%	8.1%	-17.7%
Non-Resident Online	31	66	154	288	531	2.1%	84.4%	1612.9%
Academic Partnerships	0	0	0	136	603	2.4%	343.4%	N/A
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### CREDIT HOURS BY TUITION RESIDENCY AND LEVEL

#### Undergraduate Credit Hours by Tuition Residency (Excludes Early College)

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	205,833	198,031	195,606	189,981	177,288	71.1%	-6.7%	-13.9%
Out-of-State	42,579	50,339	53,461	51,667	50,251	20.2%	-2.7%	18.0%
International	3,174	3,399	3,655	3,907	4,037	1.6%	3.3%	27.2%
NEBHE	10,029	9,920	10,003	11,444	11,449	4.6%	0.0%	14.2%
Canadian	1,479	1,350	1,085	1,168	1,293	0.5%	10.7%	-12.5%
Non-Resident Online	34	151	477	858	1,495	0.6%	74.3%	4297.1%
Academic Partnerships	0	0	0	762	3,474	1.4%	355.9%	N/A
<b>Total</b>	<b>263,127</b>	<b>263,189</b>	<b>264,286</b>	<b>259,784</b>	<b>249,287</b>	<b>100.0%</b>	<b>-4.0%</b>	<b>-5.3%</b>

#### Graduate Credit Hours by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	14,864	15,686	15,906	15,473	17,574	70.4%	13.6%	18.2%
Out-of-State	2,708	2,899	3,194	2,600	2,669	10.7%	2.7%	-1.4%
International	1,085	980	940	1,047	1,003	4.0%	-4.2%	-7.5%
NEBHE	250	190	164	503	433	1.7%	-13.9%	73.5%
Canadian	152	146	77	115	110	0.4%	-4.3%	-27.6%
Non-Resident Online	102	212	375	796	1,679	6.7%	110.9%	1546.1%
Academic Partnerships	0	0	0	192	1,512	6.1%	687.5%	N/A
<b>Total</b>	<b>19,160</b>	<b>20,111</b>	<b>20,656</b>	<b>20,726</b>	<b>24,980</b>	<b>100.0%</b>	<b>20.5%</b>	<b>30.4%</b>

#### Law Credit Hours by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	2,336	2,521	2,505	2,547	2,598	76.5%	2.0%	11.2%
Out-of-State	824	870	926	843	657	19.3%	-22.1%	-20.3%
International	11	12	0	0	73	2.1%	N/A	595.2%
NEBHE	44	24	65	73	56	1.6%	-23.3%	27.3%
Canadian	12	0	16	16	14	0.4%	-12.5%	16.7%
<b>Total</b>	<b>3,227</b>	<b>3,427</b>	<b>3,512</b>	<b>3,479</b>	<b>3,398</b>	<b>100.0%</b>	<b>-2.3%</b>	<b>5.3%</b>

#### Total Credit Hours by Tuition Residency (Excludes Early College)

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	223,033	216,238	214,017	208,001	197,460	71.1%	-5.1%	-11.5%
Out-of-State	46,111	54,107	57,580	55,109	53,577	19.3%	-2.8%	16.2%
International	4,269	4,391	4,595	4,954	5,113	1.8%	3.2%	19.8%
NEBHE	10,323	10,134	10,232	12,020	11,938	4.3%	-0.7%	15.7%
Canadian	1,643	1,495	1,178	1,299	1,417	0.5%	9.1%	-13.7%
Non-Resident Online	136	363	852	1,654	3,174	1.1%	92.0%	2233.8%
Academic Partnerships	0	0	0	954	4,986	1.8%	422.6%	N/A
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY TUITION RESIDENCY AND CAMPUS

#### In-State Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	7,199	6,814	6,799	6,758	6,824	37.1%	1.0%	-5.2%
UMA	3,741	3,390	3,320	3,130	2,913	15.8%	-6.9%	-22.1%
UMF	1,622	1,681	1,577	1,495	1,447	7.9%	-3.2%	-10.8%
UMFK	884	859	778	616	491	2.7%	-20.3%	-44.5%
UMM	540	528	485	434	361	2.0%	-16.8%	-33.1%
UMPI	769	751	730	689	625	3.4%	-9.3%	-18.7%
USM	6,063	5,940	6,125	5,831	5,566	30.2%	-4.5%	-8.2%
LAW	169	178	172	185	187	1.0%	1.1%	10.7%
<b>Total</b>	<b>20,987</b>	<b>20,141</b>	<b>19,986</b>	<b>19,138</b>	<b>18,414</b>	<b>100.0%</b>	<b>-3.8%</b>	<b>-12.3%</b>

#### Out-Of-State Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	2,192	2,580	2,771	2,665	2,798	68.5%	5.0%	27.6%
UMA	125	142	186	245	270	6.6%	10.2%	116.0%
UMF	165	169	180	148	134	3.3%	-9.5%	-18.8%
UMFK	118	135	134	113	130	3.2%	15.0%	10.2%
UMM	64	54	53	75	44	1.1%	-41.3%	-31.3%
UMPI	72	112	114	97	100	2.4%	3.1%	38.9%
USM	652	742	788	706	559	13.7%	-20.8%	-14.3%
LAW	60	63	66	58	48	1.2%	-17.2%	-20.0%
<b>Total</b>	<b>3,448</b>	<b>3,997</b>	<b>4,292</b>	<b>4,107</b>	<b>4,083</b>	<b>100.0%</b>	<b>-0.6%</b>	<b>18.4%</b>

#### International Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	350	362	357	384	340	67.5%	-11.5%	-2.9%
UMA	11	21	20	16	13	2.6%	-18.8%	18.2%
UMF	10	12	12	8	2	0.4%	-75.0%	-80.0%
UMFK	37	37	45	46	63	12.5%	37.0%	70.3%
UMM	11	2	3	18	24	4.8%	33.3%	118.2%
UMPI	18	18	16	24	16	3.2%	-33.3%	-11.1%
USM	1	1	0	1	41	8.1%	4000.0%	4000.0%
LAW	1	1	0	0	5	1.0%	N/A	400.0%
<b>Total</b>	<b>439</b>	<b>454</b>	<b>453</b>	<b>497</b>	<b>504</b>	<b>100.0%</b>	<b>1.4%</b>	<b>14.8%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### NEBHE Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	521	531	538	573	557	63.5%	-2.8%	6.9%
UMA	10	13	17	24	40	4.6%	66.7%	300.0%
UMF	95	92	76	102	99	11.3%	-2.9%	4.2%
UMM	19	19	25	8	32	3.6%	300.0%	68.4%
USM	66	61	58	130	145	16.5%	11.5%	119.7%
LAW	3	2	4	5	4	0.5%	-20.0%	33.3%
<b>Total</b>	<b>714</b>	<b>718</b>	<b>718</b>	<b>842</b>	<b>877</b>	<b>100.0%</b>	<b>4.2%</b>	<b>22.8%</b>

### Canadian Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	66	59	48	53	65	60.7%	22.6%	-1.5%
UMA	1	1	0	4	2	1.9%	-50.0%	100.0%
UMF	1	1	3	0	0	0.0%	N/A	-100.0%
UMFK	11	6	1	2	1	0.9%	-50.0%	-90.9%
UMM	2	2	1	1	0	0.0%	-100.0%	-100.0%
UMPI	32	27	17	22	25	23.4%	13.6%	-21.9%
USM	16	21	18	16	13	12.1%	-18.8%	-18.8%
LAW	1	0	1	1	1	0.9%	0.0%	0.0%
<b>Total</b>	<b>130</b>	<b>117</b>	<b>89</b>	<b>99</b>	<b>107</b>	<b>100.0%</b>	<b>8.1%</b>	<b>-17.7%</b>

### Non-Resident Online Headcount by Tuition Residency

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	28	48	114	193	377	71.0%	95.3%	1246.4%
USM	3	18	40	95	154	29.0%	62.1%	5033.3%
<b>Total</b>	<b>31</b>	<b>66</b>	<b>154</b>	<b>288</b>	<b>531</b>	<b>100.0%</b>	<b>84.4%</b>	<b>1612.9%</b>

### Academic Partnerships Headcount by Tuition Residency

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UMFK	0	0	0	58	179	29.7%	208.6%	N/A
UMPI	0	0	0	42	208	34.5%	395.2%	N/A
USM	0	0	0	36	216	35.8%	500.0%	N/A
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>136</b>	<b>603</b>	<b>100.0%</b>	<b>343.4%</b>	<b>N/A</b>

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**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**


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**Total Headcount by Tuition Residency (Excludes Early College)**

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	20,987	20,141	19,986	19,138	18,414	73.3%	-3.8%	-12.3%
Out-of-State	3,448	3,997	4,292	4,107	4,083	16.3%	-0.6%	18.4%
International	439	454	453	497	504	2.0%	1.4%	14.8%
NEBHE	714	718	718	842	877	3.5%	4.2%	22.8%
Canadian	130	117	89	99	107	0.4%	8.1%	-17.7%
Non-Resident Online	31	66	154	288	531	2.1%	84.4%	1612.9%
Academic Partnerships	0	0	0	136	603	2.4%	343.4%	N/A
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### CREDIT HOURS BY TUITION RESIDENCY AND CAMPUS

#### In-State Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	87,426	82,845	79,880	79,634	78,632	39.8%	-1.3%	-10.1%
UMA	30,757	28,432	28,176	26,858	25,832	13.1%	-3.8%	-16.0%
UMF	21,000	20,963	19,841	19,037	17,612	8.9%	-7.5%	-16.1%
UMFK	8,391	8,141	7,487	6,374	5,014	2.5%	-21.3%	-40.3%
UMM	5,244	5,354	5,006	4,408	3,749	1.9%	-15.0%	-28.5%
UMPI	8,028	7,786	7,798	7,550	6,848	3.5%	-9.3%	-14.7%
USM	59,851	60,196	63,325	61,594	57,176	29.0%	-7.2%	-4.5%
LAW	2,336	2,521	2,505	2,547	2,598	1.3%	2.0%	11.2%
<b>Total</b>	<b>223,033</b>	<b>216,238</b>	<b>214,017</b>	<b>208,001</b>	<b>197,460</b>	<b>100.0%</b>	<b>-5.1%</b>	<b>-11.5%</b>

#### Out-Of-State Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	29,668	35,664	38,116	36,707	37,879	70.7%	3.2%	27.7%
UMA	994	1,201	1,591	2,278	2,501	4.7%	9.8%	151.6%
UMF	2,566	2,562	2,730	2,252	1,974	3.7%	-12.3%	-23.1%
UMFK	1,679	1,788	1,734	1,455	1,640	3.1%	12.7%	-2.4%
UMM	846	669	612	719	462	0.9%	-35.7%	-45.4%
UMPI	949	1,456	1,430	1,308	1,236	2.3%	-5.5%	30.2%
USM	8,585	9,897	10,442	9,548	7,229	13.5%	-24.3%	-15.8%
LAW	824	870	926	843	657	1.2%	-22.1%	-20.3%
<b>Total</b>	<b>46,111</b>	<b>54,107</b>	<b>57,580</b>	<b>55,109</b>	<b>53,577</b>	<b>100.0%</b>	<b>-2.8%</b>	<b>16.2%</b>

#### International Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	3,001	3,220	3,322	3,519	3,040	59.5%	-13.6%	1.3%
UMA	102	179	216	182	122	2.4%	-33.0%	19.6%
UMF	113	125	142	58	20	0.4%	-65.5%	-82.3%
UMFK	622	564	653	649	820	16.0%	26.3%	31.8%
UMM	162	26	31	229	311	6.1%	35.8%	92.0%
UMPI	252	262	232	311	208	4.1%	-33.1%	-17.5%
USM	6	3	0	6	520	10.2%	8558.3%	8558.3%
LAW	11	12	0	0	73	1.4%	N/A	595.2%
<b>Total</b>	<b>4,269</b>	<b>4,391</b>	<b>4,595</b>	<b>4,954</b>	<b>5,113</b>	<b>100.0%</b>	<b>3.2%</b>	<b>19.8%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### NEBHE Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	7,645	7,568	7,792	8,178	7,746	64.9%	-5.3%	1.3%
UMA	70	117	146	224	366	3.1%	63.4%	422.9%
UMF	1,461	1,407	1,195	1,589	1,507	12.6%	-5.2%	3.1%
UMM	270	185	197	122	326	2.7%	167.2%	20.7%
USM	833	833	837	1,834	1,937	16.2%	5.6%	132.7%
LAW	44	24	65	73	56	0.5%	-23.3%	27.3%
<b>Total</b>	<b>10,323</b>	<b>10,134</b>	<b>10,232</b>	<b>12,020</b>	<b>11,938</b>	<b>100.0%</b>	<b>-0.7%</b>	<b>15.7%</b>

### Canadian Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	834	780	603	673	837	59.1%	24.4%	0.4%
UMA	12	6	0	35	27	1.9%	-22.9%	125.0%
UMF	4	16	48	0	0	0.0%	N/A	-100.0%
UMFK	103	53	15	23	6	0.4%	-73.9%	-94.2%
UMM	23	27	12	15	0	0.0%	-100.0%	-100.0%
UMPI	426	344	234	310	364	25.7%	17.4%	-14.6%
USM	229	269	250	227	169	11.9%	-25.4%	-26.0%
LAW	12	0	16	16	14	1.0%	-12.5%	16.7%
<b>Total</b>	<b>1,643</b>	<b>1,495</b>	<b>1,178</b>	<b>1,299</b>	<b>1,417</b>	<b>100.0%</b>	<b>9.1%</b>	<b>-13.7%</b>

### Non-Resident Online Credit Hours by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	105	238	576	1,073	2,200	69.3%	105.0%	1995.2%
USM	31	125	276	581	974	30.7%	67.8%	3041.9%
<b>Total</b>	<b>136</b>	<b>363</b>	<b>852</b>	<b>1,654</b>	<b>3,174</b>	<b>100.0%</b>	<b>92.0%</b>	<b>2233.8%</b>

### Academic Partnerships Credit Hours by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UMFK	0	0	0	339	1,263	25.3%	272.6%	N/A
UMPI	0	0	0	423	2,259	45.3%	434.0%	N/A
USM	0	0	0	192	1,464	29.4%	662.5%	N/A
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>954</b>	<b>4,986</b>	<b>100.0%</b>	<b>422.6%</b>	<b>N/A</b>



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### Total Credit Hours by Tuition Residency (Excludes Early College)

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	223,033	216,238	214,017	208,001	197,460	71.1%	-5.1%	-11.5%
Out-of-State	46,111	54,107	57,580	55,109	53,577	19.3%	-2.8%	16.2%
International	4,269	4,391	4,595	4,954	5,113	1.8%	3.2%	19.8%
NEBHE	10,323	10,134	10,232	12,020	11,938	4.3%	-0.7%	15.7%
Canadian	1,643	1,495	1,178	1,299	1,417	0.5%	9.1%	-13.7%
Non-Resident Online	136	363	852	1,654	3,174	1.1%	92.0%	2233.8%
Academic Partnerships	0	0	0	954	4,986	1.8%	422.6%	N/A
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY STUDENT LEVEL AND GENDER

#### Undergraduate Headcount by Gender (Excludes Early College)

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	9,298	9,175	9,256	9,009	8,509	41.8%	-5.6%	-8.5%
Women	12,701	12,424	12,352	11,971	11,798	58.0%	-1.4%	-7.1%
Unknown	12	20	29	59	38	0.2%	-35.6%	216.7%
<b>Total</b>	<b>22,011</b>	<b>21,619</b>	<b>21,637</b>	<b>21,039</b>	<b>20,345</b>	<b>100.0%</b>	<b>-3.3%</b>	<b>-7.6%</b>

#### Graduate Headcount by Gender

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	1,073	1,075	1,122	1,106	1,370	30.2%	23.9%	27.7%
Women	2,420	2,535	2,665	2,687	3,101	68.5%	15.4%	28.1%
Unknown	11	20	25	26	58	1.3%	123.1%	427.3%
<b>Total</b>	<b>3,504</b>	<b>3,630</b>	<b>3,812</b>	<b>3,819</b>	<b>4,529</b>	<b>100.0%</b>	<b>18.6%</b>	<b>29.3%</b>

#### Law Headcount by Gender

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	111	117	111	121	122	49.8%	0.8%	9.9%
Women	123	127	132	128	123	50.2%	-3.9%	0.0%
Unknown	0	0	0	0	0	0.0%	N/A	N/A
<b>Total</b>	<b>234</b>	<b>244</b>	<b>243</b>	<b>249</b>	<b>245</b>	<b>100.0%</b>	<b>-1.6%</b>	<b>4.7%</b>

#### Total Headcount by Gender (Excludes Early College)

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	10,482	10,367	10,489	10,236	10,001	39.8%	-2.3%	-4.6%
Women	15,244	15,086	15,149	14,786	15,022	59.8%	1.6%	-1.5%
Unknown	23	40	54	85	96	0.4%	12.9%	317.4%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY GENDER AND CAMPUS

#### Headcount of Men by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	5,200	5,188	5,294	5,285	5,418	54.2%	2.5%	4.2%
UMA	1,093	1,051	1,071	1,019	939	9.4%	-7.9%	-14.1%
UMF	628	602	583	527	472	4.7%	-10.4%	-24.8%
UMFK	297	272	257	216	234	2.3%	8.3%	-21.2%
UMM	187	190	187	169	145	1.4%	-14.2%	-22.5%
UMPI	297	321	303	311	310	3.1%	-0.3%	4.4%
USM	2,669	2,626	2,683	2,588	2,361	23.6%	-8.8%	-11.5%
LAW	111	117	111	121	122	1.2%	0.8%	9.9%
<b>Total</b>	<b>10,482</b>	<b>10,367</b>	<b>10,489</b>	<b>10,236</b>	<b>10,001</b>	<b>100.0%</b>	<b>-2.3%</b>	<b>-4.6%</b>

#### Headcount of Women by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	5,153	5,184	5,306	5,297	5,485	36.5%	3.5%	6.4%
UMA	2,795	2,516	2,471	2,390	2,299	15.3%	-3.8%	-17.7%
UMF	1,264	1,346	1,255	1,216	1,193	7.9%	-1.9%	-5.6%
UMFK	753	763	699	612	623	4.1%	1.8%	-17.3%
UMM	449	415	380	365	315	2.1%	-13.7%	-29.8%
UMPI	593	581	569	556	656	4.4%	18.0%	10.6%
USM	4,114	4,154	4,337	4,222	4,328	28.8%	2.5%	5.2%
LAW	123	127	132	128	123	0.8%	-3.9%	0.0%
<b>Total</b>	<b>15,244</b>	<b>15,086</b>	<b>15,149</b>	<b>14,786</b>	<b>15,022</b>	<b>100.0%</b>	<b>1.6%</b>	<b>-1.5%</b>

#### Headcount of Unknown by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	3	22	27	44	58	60.4%	31.8%	1833.3%
UMA	0	0	1	10	0	0.0%	-100.0%	N/A
UMF	1	7	10	10	17	17.7%	70.0%	1600.0%
UMFK	0	2	2	7	7	7.3%	0.0%	N/A
UMM	0	0	0	2	1	1.0%	-50.0%	N/A
UMPI	1	6	5	7	8	8.3%	14.3%	700.0%
USM	18	3	9	5	5	5.2%	0.0%	-72.2%
<b>Total</b>	<b>23</b>	<b>40</b>	<b>54</b>	<b>85</b>	<b>96</b>	<b>100.0%</b>	<b>12.9%</b>	<b>317.4%</b>

#### Total Headcount by Gender (Excludes Early College)

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	10,482	10,367	10,489	10,236	10,001	39.8%	-2.3%	-4.6%
Women	15,244	15,086	15,149	14,786	15,022	59.8%	1.6%	-1.5%
Unknown	23	40	54	85	96	0.4%	12.9%	317.4%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### CREDIT HOURS BY GENDER AND CAMPUS

#### Credit Hours for Men by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	67,030	67,826	67,484	67,571	66,363	57.2%	-1.8%	-1.0%
UMA	9,143	9,109	9,369	9,138	8,204	7.1%	-10.2%	-10.3%
UMF	8,635	8,121	8,044	7,261	6,233	5.4%	-14.2%	-27.8%
UMFK	3,370	3,152	3,001	2,614	2,719	2.3%	4.0%	-19.3%
UMM	2,029	2,049	1,992	1,799	1,580	1.4%	-12.2%	-22.1%
UMPI	3,478	3,745	3,608	3,786	3,752	3.2%	-0.9%	7.9%
USM	28,207	28,232	29,328	28,750	25,526	22.0%	-11.2%	-9.5%
LAW	1,548	1,652	1,614	1,710	1,684	1.5%	-1.5%	8.8%
<b>Total</b>	<b>123,440</b>	<b>123,886</b>	<b>124,439</b>	<b>122,629</b>	<b>116,061</b>	<b>100.0%</b>	<b>-5.4%</b>	<b>-6.0%</b>

#### Credit Hours for Women by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	61,638	62,412	62,693	62,013	63,648	39.5%	2.6%	3.3%
UMA	22,792	20,826	20,754	20,387	20,644	12.8%	1.3%	-9.4%
UMF	16,506	16,930	15,876	15,634	14,816	9.2%	-5.2%	-10.2%
UMFK	7,425	7,374	6,869	6,170	5,963	3.7%	-3.4%	-19.7%
UMM	4,516	4,212	3,866	3,685	3,264	2.0%	-11.4%	-27.7%
UMPI	6,174	6,075	6,065	6,062	7,086	4.4%	16.9%	14.8%
USM	41,220	43,082	45,741	45,187	43,917	27.3%	-2.8%	6.5%
LAW	1,679	1,775	1,898	1,769	1,714	1.1%	-3.1%	2.1%
<b>Total</b>	<b>161,949</b>	<b>162,685</b>	<b>163,761</b>	<b>160,907</b>	<b>161,052</b>	<b>100.0%</b>	<b>0.1%</b>	<b>-0.6%</b>

#### Credit Hours for Unknown by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	12	77	112	199	321	58.2%	61.3%	2575.0%
UMA	0	0	6	52	0	0.0%	-100.0%	N/A
UMF	3	22	36	41	64	11.6%	56.1%	2033.3%
UMFK	0	20	19	55	60	10.9%	9.1%	N/A
UMM	0	0	0	9	4	0.7%	-55.6%	N/A
UMPI	3	28	21	54	77	13.9%	42.6%	2466.7%
USM	107	9	60	43	26	4.7%	-39.5%	-75.6%
LAW	0	0	0	0	0	0.0%	N/A	N/A
<b>Total</b>	<b>125</b>	<b>156</b>	<b>254</b>	<b>453</b>	<b>552</b>	<b>100.0%</b>	<b>21.9%</b>	<b>343.4%</b>

#### Total Credit Hours by Gender

Gender	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Men	123,440	123,886	124,439	122,629	116,061	41.8%	-5.4%	-6.0%
Women	161,949	162,685	163,761	160,907	161,052	58.0%	0.1%	-0.6%
Unknown	125	156	254	453	552	0.2%	21.9%	343.4%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

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**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**


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**HEADCOUNT BY STUDENT LEVEL AND STATUS****Undergraduate Headcount by Status (Excludes Early College)**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	15,246	15,378	15,340	15,197	14,399	70.8%	-5.3%	-5.6%
Part-Time	6,765	6,241	6,297	5,842	5,946	29.2%	1.8%	-12.1%
<b>Total</b>	<b>22,011</b>	<b>21,619</b>	<b>21,637</b>	<b>21,039</b>	<b>20,345</b>	<b>100.0%</b>	<b>-3.3%</b>	<b>-7.6%</b>

**Graduate Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	1,734	1,861	1,878	1,930	2,515	55.5%	30.3%	45.0%
Part-Time	1,770	1,769	1,934	1,889	2,014	44.5%	6.6%	13.8%
<b>Total</b>	<b>3,504</b>	<b>3,630</b>	<b>3,812</b>	<b>3,819</b>	<b>4,529</b>	<b>100.0%</b>	<b>18.6%</b>	<b>29.3%</b>

**Law Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	209	216	217	223	218	89.0%	-2.2%	4.3%
Part-Time	25	28	26	26	27	11.0%	3.8%	8.0%
<b>Total</b>	<b>234</b>	<b>244</b>	<b>243</b>	<b>249</b>	<b>245</b>	<b>100.0%</b>	<b>-1.6%</b>	<b>4.7%</b>

**Total Headcount by Status (Excludes Early College)**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	17,189	17,455	17,435	17,350	17,132	68.2%	-1.3%	-0.3%
Part-Time	8,560	8,038	8,257	7,757	7,987	31.8%	3.0%	-6.7%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### HEADCOUNT BY STATUS AND CAMPUS

#### Full-Time Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	8,379	8,485	8,400	8,363	8,422	49.2%	0.7%	0.5%
UMA	1,278	1,245	1,286	1,284	1,341	7.8%	4.4%	4.9%
UMF	1,564	1,555	1,502	1,426	1,289	7.5%	-9.6%	-17.6%
UMFK	523	524	485	464	454	2.7%	-2.2%	-13.2%
UMM	360	345	319	297	229	1.3%	-22.9%	-36.4%
UMPI	583	601	570	585	620	3.6%	6.0%	6.3%
USM	4,293	4,484	4,656	4,708	4,559	26.6%	-3.2%	6.2%
LAW	209	216	217	223	218	1.3%	-2.2%	4.3%
<b>Total</b>	<b>17,189</b>	<b>17,455</b>	<b>17,435</b>	<b>17,350</b>	<b>17,132</b>	<b>100.0%</b>	<b>-1.3%</b>	<b>-0.3%</b>

#### Part-Time Headcount by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	1,977	1,909	2,227	2,263	2,539	31.8%	12.2%	28.4%
UMA	2,610	2,322	2,257	2,135	1,897	23.8%	-11.1%	-27.3%
UMF	329	400	346	327	393	4.9%	20.2%	19.5%
UMFK	527	513	473	371	410	5.1%	10.5%	-22.2%
UMM	276	260	248	239	232	2.9%	-2.9%	-15.9%
UMPI	308	307	307	289	354	4.4%	22.5%	14.9%
USM	2,508	2,299	2,373	2,107	2,135	26.7%	1.3%	-14.9%
LAW	25	28	26	26	27	0.3%	3.8%	8.0%
<b>Total</b>	<b>8,560</b>	<b>8,038</b>	<b>8,257</b>	<b>7,757</b>	<b>7,987</b>	<b>100.0%</b>	<b>3.0%</b>	<b>-6.7%</b>

#### Total Headcount by Status (Excludes Early College)

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	17,189	17,455	17,435	17,350	17,132	68.2%	-1.3%	-0.3%
Part-Time	8,560	8,038	8,257	7,757	7,987	31.8%	3.0%	-6.7%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### CREDIT HOURS BY STATUS AND CAMPUS

#### Full-Time Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	119,622	121,324	120,018	119,432	118,089	50.1%	-1.1%	-1.3%
UMA	16,297	16,044	16,775	16,838	17,557	7.5%	4.3%	7.7%
UMF	23,801	23,526	22,639	21,664	19,486	8.3%	-10.1%	-18.1%
UMFK	7,779	7,508	6,923	6,569	6,300	2.7%	-4.1%	-19.0%
UMM	5,064	4,867	4,533	4,170	3,540	1.5%	-15.1%	-30.1%
UMPI	8,158	8,298	7,941	8,284	8,853	3.8%	6.9%	8.5%
USM	55,639	58,762	62,655	62,921	58,484	24.8%	-7.1%	5.1%
LAW	3,022	3,194	3,280	3,280	3,166	1.3%	-3.5%	4.8%
<b>Total</b>	<b>239,382</b>	<b>243,523</b>	<b>244,763</b>	<b>243,157</b>	<b>235,474</b>	<b>100.0%</b>	<b>-3.2%</b>	<b>-1.6%</b>

#### Part-Time Credit Hours by Campus (Excludes Early College)

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	9,057	8,991	10,271	10,351	12,244	29.0%	18.3%	35.2%
UMA	15,638	13,891	13,354	12,739	11,291	26.8%	-11.4%	-27.8%
UMF	1,343	1,547	1,317	1,272	1,627	3.9%	27.9%	21.1%
UMFK	3,016	3,038	2,966	2,271	2,442	5.8%	7.6%	-19.0%
UMM	1,481	1,395	1,325	1,323	1,308	3.1%	-1.1%	-11.7%
UMPI	1,497	1,550	1,753	1,618	2,062	4.9%	27.4%	37.7%
USM	13,895	12,561	12,474	11,059	10,985	26.0%	-0.7%	-20.9%
LAW	205	233	232	199	232	0.5%	16.6%	13.4%
<b>Total</b>	<b>46,132</b>	<b>43,205</b>	<b>43,691</b>	<b>40,832</b>	<b>42,191</b>	<b>100.0%</b>	<b>3.3%</b>	<b>-8.5%</b>

#### Total Credit Hours by Status (Excludes Early College)

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-Time	239,382	243,523	244,763	243,157	235,474	84.8%	-3.2%	-1.6%
Part-Time	46,132	43,205	43,691	40,832	42,191	15.2%	3.3%	-8.5%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### ENTERING DEGREE/CERTIFICATE-SEEKING HEADCOUNT BY ADMIT TYPE AND CAMPUS

#### First-Time Undergraduate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	29	39	66	43	55	23.3%	27.9%	89.7%
UMA	119	102	114	97	98	41.5%	1.0%	-17.6%
UMF	13	6	13	11	6	2.5%	-45.5%	-53.8%
UMFK	7	6	8	5	9	3.8%	80.0%	28.6%
UMM	7	3	9	11	15	6.4%	36.4%	114.3%
UMPI	8	19	8	12	16	6.8%	33.3%	100.0%
USM	49	32	45	33	37	15.7%	12.1%	-24.5%
<b>Total</b>	<b>232</b>	<b>207</b>	<b>263</b>	<b>212</b>	<b>236</b>	<b>100.0%</b>	<b>11.3%</b>	<b>1.7%</b>

#### Transfer-In Undergraduate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	167	156	187	216	240	29.6%	11.1%	43.7%
UMA	208	212	211	218	170	21.0%	-22.0%	-18.3%
UMF	37	39	41	39	34	4.2%	-12.8%	-8.1%
UMFK	43	58	53	58	79	9.7%	36.2%	83.7%
UMM	17	18	19	14	14	1.7%	0.0%	-17.6%
UMPI	29	54	60	47	86	10.6%	83.0%	196.6%
USM	301	269	278	231	188	23.2%	-18.6%	-37.5%
<b>Total</b>	<b>802</b>	<b>806</b>	<b>849</b>	<b>823</b>	<b>811</b>	<b>100.0%</b>	<b>-1.5%</b>	<b>1.1%</b>

#### Readmitted Undergraduate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	124	90	129	119	83	40.7%	-30.3%	-33.1%
UMA	90	82	90	65	67	32.8%	3.1%	-25.6%
UMF	4	4	6	5	6	2.9%	20.0%	50.0%
UMFK	6	8	3	1	1	0.5%	0.0%	-83.3%
UMM	9	15	21	9	3	1.5%	-66.7%	-66.7%
UMPI	4	12	16	9	15	7.4%	66.7%	275.0%
USM	32	34	24	27	29	14.2%	7.4%	-9.4%
<b>Total</b>	<b>269</b>	<b>245</b>	<b>289</b>	<b>235</b>	<b>204</b>	<b>100.0%</b>	<b>-13.2%</b>	<b>-24.2%</b>

#### Entering Post-Baccalaureate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UMFK	0	2	3	0	0	0.0%	N/A	N/A
UMM	5	7	0	5	1	100.0%	-80.0%	-80.0%
<b>Total</b>	<b>5</b>	<b>9</b>	<b>3</b>	<b>5</b>	<b>1</b>	<b>100.0%</b>	<b>-80.0%</b>	<b>-80.0%</b>



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### Entering Graduate Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	100	117	120	142	216	51.1%	52.1%	116.0%
UMA	0	0	0	0	2	0.5%	N/A	N/A
UMF	11	9	5	13	23	5.4%	76.9%	109.1%
UMPI	0	0	0	0	4	0.9%	N/A	N/A
USM	113	118	101	122	178	42.1%	45.9%	57.5%
<b>Total</b>	<b>224</b>	<b>244</b>	<b>226</b>	<b>277</b>	<b>423</b>	<b>100.0%</b>	<b>52.7%</b>	<b>88.8%</b>

### Total Entering Degree/Certificate-Seeking Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	420	402	502	520	594	35.5%	14.2%	41.4%
UMA	417	396	415	380	337	20.2%	-11.3%	-19.2%
UMF	65	58	65	68	69	4.1%	1.5%	6.2%
UMFK	56	74	67	64	89	5.3%	39.1%	58.9%
UMM	38	43	49	39	33	2.0%	-15.4%	-13.2%
UMPI	41	85	84	68	121	7.2%	77.9%	195.1%
USM	495	453	448	413	432	25.9%	4.6%	-12.7%
LAW	1	5	3	1	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>1,533</b>	<b>1,516</b>	<b>1,633</b>	<b>1,553</b>	<b>1,675</b>	<b>100.0%</b>	<b>7.9%</b>	<b>9.3%</b>

### Total Entering Degree/Certificate-Seeking Headcount by Admit Type

Admit Type	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
First-Time	232	207	263	212	236	14.1%	11.3%	1.7%
Transfer	802	806	849	823	811	48.5%	-1.5%	1.1%
Readmit	269	245	289	235	204	12.2%	-13.2%	-24.2%
Post-Baccalaureate	5	9	3	5	1	0.1%	-80.0%	-80.0%
Graduate	224	244	226	277	423	25.3%	52.7%	88.8%
Law	1	5	3	1	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>1,533</b>	<b>1,516</b>	<b>1,633</b>	<b>1,553</b>	<b>1,675</b>	<b>100.2%</b>	<b>7.9%</b>	<b>9.3%</b>

**Notes:** First-time is comprised of first-time students in their first-year and students who earned college credit before graduating high school. Graduate includes readmitted graduate students.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### FIRST-TIME, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TUITION RESIDENCY AND STATUS

**In-State Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	105	99	152	111	102	62.2%	-8.1%	-2.9%
Part-time	97	75	65	65	62	37.8%	-4.6%	-36.1%
<b>Total</b>	<b>202</b>	<b>174</b>	<b>217</b>	<b>176</b>	<b>164</b>	<b>100.0%</b>	<b>-6.8%</b>	<b>-18.8%</b>

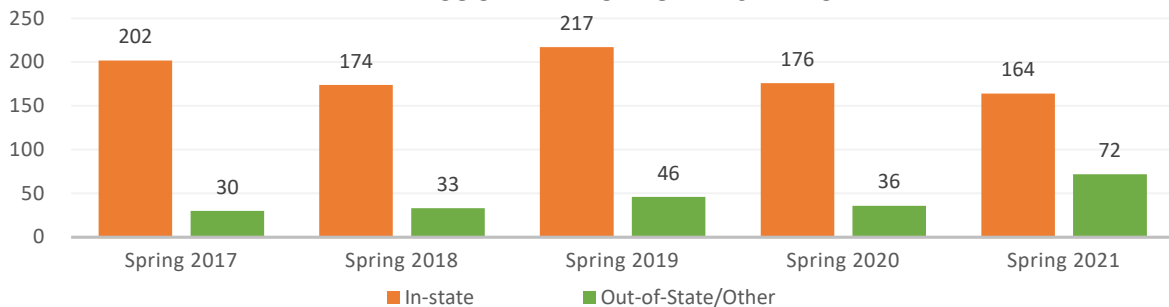
**Out-Of-State/Other Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	27	28	40	29	56	77.8%	93.1%	107.4%
Part-time	3	5	6	7	16	22.2%	128.6%	433.3%
<b>Total</b>	<b>30</b>	<b>33</b>	<b>46</b>	<b>36</b>	<b>72</b>	<b>100.0%</b>	<b>100.0%</b>	<b>140.0%</b>

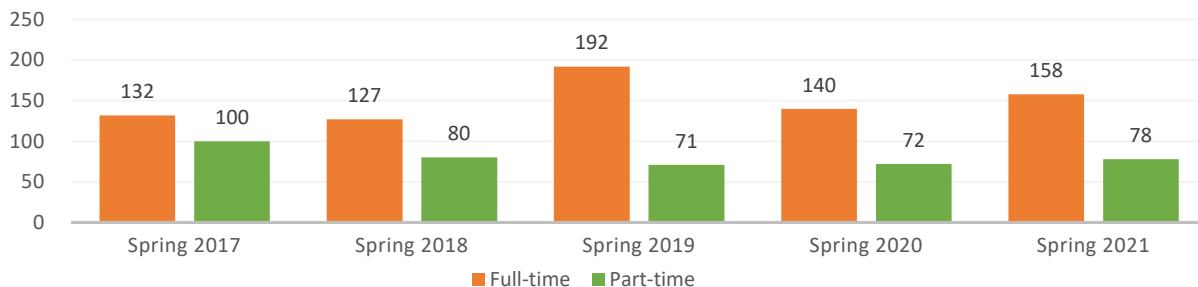
**Total Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	132	127	192	140	158	66.9%	12.9%	19.7%
Part-time	100	80	71	72	78	33.1%	8.3%	-22.0%
<b>Total</b>	<b>232</b>	<b>207</b>	<b>263</b>	<b>212</b>	<b>236</b>	<b>100.0%</b>	<b>11.3%</b>	<b>1.7%</b>

**FIRST-TIME, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE  
HEADCOUNT BY TUITION RESIDENCY**



**FIRST-TIME, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE  
HEADCOUNT BY STATUS**



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**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**


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**FIRST-TIME, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT  
BY TUITION RESIDENCY AND CAMPUS**
**In-State Headcount by Campus**

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	21	25	41	31	24	14.6%	-22.6%	14.3%
UMA	115	97	106	93	89	54.3%	-4.3%	-22.6%
UMF	12	6	13	10	4	2.4%	-60.0%	-66.7%
UMFK	5	3	5	4	5	3.0%	25.0%	0.0%
UMM	7	3	7	7	8	4.9%	14.3%	14.3%
UMPI	5	13	7	4	4	2.4%	0.0%	-20.0%
USM	37	27	38	27	30	18.3%	11.1%	-18.9%
<b>Total</b>	<b>202</b>	<b>174</b>	<b>217</b>	<b>176</b>	<b>164</b>	<b>100.0%</b>	<b>-6.8%</b>	<b>-18.8%</b>

**Out-Of-State/Other Headcount by Campus**

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	5	11	23	12	31	43.1%	158.3%	287.5%
UMA	4	5	8	4	9	12.5%	125.0%	125.0%
UMF	1	0	0	1	2	2.8%	100.0%	100.0%
UMFK	2	3	3	1	4	5.6%	300.0%	100.0%
UMM	0	0	2	4	7	9.7%	75.0%	N/A
UMPI	3	6	1	8	12	16.7%	50.0%	300.0%
USM	12	4	6	6	7	9.7%	16.7%	-41.7%
<b>Total</b>	<b>27</b>	<b>29</b>	<b>43</b>	<b>36</b>	<b>72</b>	<b>100.0%</b>	<b>100.0%</b>	<b>140.0%</b>

**Total Headcount by Tuition Residency**

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	202	174	217	176	164	69.5%	-6.8%	-18.8%
Out-of-State/Other	30	33	46	36	72	30.5%	100.0%	140.0%
<b>Total</b>	<b>232</b>	<b>207</b>	<b>263</b>	<b>212</b>	<b>236</b>	<b>100.0%</b>	<b>11.3%</b>	<b>1.7%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TUITION RESIDENCY AND STATUS

**In-State Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	460	457	444	380	368	70.2%	-3.2%	-20.0%
Part-time	258	241	254	221	156	29.8%	-29.4%	-39.5%
<b>Total</b>	<b>718</b>	<b>698</b>	<b>698</b>	<b>601</b>	<b>524</b>	<b>100.0%</b>	<b>-12.8%</b>	<b>-27.0%</b>

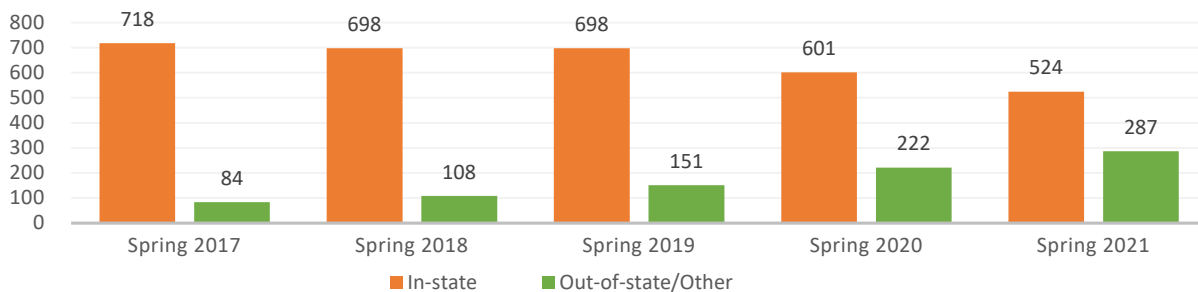
**Out-Of-State/Other Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	70	88	101	121	148	51.6%	22.3%	111.4%
Part-time	14	20	50	101	139	48.4%	37.6%	892.9%
<b>Total</b>	<b>84</b>	<b>108</b>	<b>151</b>	<b>222</b>	<b>287</b>	<b>100.0%</b>	<b>29.3%</b>	<b>241.7%</b>

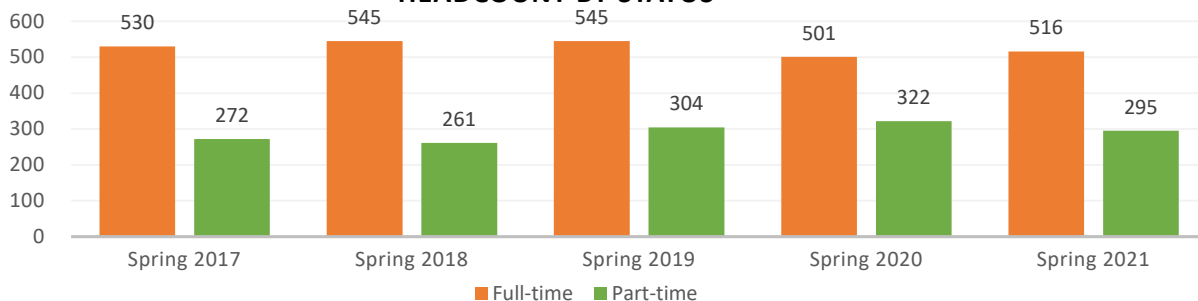
**Total Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	530	545	545	501	516	63.6%	3.0%	-2.6%
Part-time	272	261	304	322	295	36.4%	-8.4%	8.5%
<b>Total</b>	<b>802</b>	<b>806</b>	<b>849</b>	<b>823</b>	<b>811</b>	<b>100.0%</b>	<b>-1.5%</b>	<b>1.1%</b>

**TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE  
HEADCOUNT BY TUITION RESIDENCY**



**TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE  
HEADCOUNT BY STATUS**



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**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**


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**TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT  
BY TUITION RESIDENCY AND CAMPUS**
**In-State Headcount by Campus**

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	132	117	122	136	139	26.5%	2.2%	5.3%
UMA	198	184	178	173	142	27.1%	-17.9%	-28.3%
UMF	33	35	37	35	33	6.3%	-5.7%	0.0%
UMFK	37	50	40	12	12	2.3%	0.0%	-67.6%
UMM	16	14	17	10	12	2.3%	20.0%	-25.0%
UMPI	25	47	49	28	20	3.8%	-28.6%	-20.0%
USM	277	251	255	207	166	31.7%	-19.8%	-40.1%
<b>Total</b>	<b>718</b>	<b>698</b>	<b>698</b>	<b>601</b>	<b>524</b>	<b>100.0%</b>	<b>-12.8%</b>	<b>-27.0%</b>

**Out-Of-State/International Headcount by Campus**

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	29	29	34	43	50	41.3%	16.3%	72.4%
UMA	8	27	31	43	27	22.3%	-37.2%	237.5%
UMF	3	2	3	4	1	0.8%	-75.0%	-66.7%
UMFK	6	8	13	11	17	14.0%	54.5%	183.3%
UMM	1	4	2	4	2	1.7%	-50.0%	100.0%
UMPI	3	7	8	2	4	3.3%	100.0%	33.3%
USM	23	16	21	21	20	16.5%	-4.8%	-13.0%
<b>Total</b>	<b>73</b>	<b>93</b>	<b>112</b>	<b>128</b>	<b>121</b>	<b>100.0%</b>	<b>-5.5%</b>	<b>65.8%</b>

**Canadian/NEBHE Headcount by Campus**

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	6	10	6	6	7	53.8%	16.7%	16.7%
UMA	2	1	2	2	1	7.7%	-50.0%	-50.0%
UMF	1	2	1	0	0	0.0%	N/A	-100.0%
UMFK	0	0	0	0	0	0.0%	N/A	N/A
UMM	0	0	0	0	0	0.0%	N/A	N/A
UMPI	1	0	3	1	4	30.8%	300.0%	300.0%
USM	0	2	1	1	1	7.7%	0.0%	N/A
<b>Total</b>	<b>10</b>	<b>15</b>	<b>13</b>	<b>10</b>	<b>13</b>	<b>100.0%</b>	<b>30.0%</b>	<b>30.0%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### Non-Resident Online Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UM	0	0	25	31	44	97.8%	41.9%	N/A
USM	1	0	1	2	1	2.2%	-50.0%	0.0%
<b>Total</b>	<b>1</b>	<b>0</b>	<b>26</b>	<b>33</b>	<b>45</b>	<b>100.0%</b>	<b>36.4%</b>	<b>4400.0%</b>

### Academic Partnerships Headcount by Campus

Campus	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
UMFK	0	0	0	35	50	46.3%	42.9%	N/A
UMPI	0	0	0	16	58	53.7%	262.5%	N/A
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>51</b>	<b>108</b>	<b>100.0%</b>	<b>111.8%</b>	<b>N/A</b>

### Total Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	718	698	698	601	524	64.6%	-12.8%	-27.0%
Out-of-State/International	73	93	112	128	121	14.9%	-5.5%	65.8%
Canadian/NEBHE	10	15	13	10	13	1.6%	30.0%	30.0%
Non-Resident Online	1	0	26	33	45	5.5%	36.4%	4400.0%
Academic Partnerships	0	0	0	51	108	13.3%	111.8%	N/A
<b>Total</b>	<b>802</b>	<b>806</b>	<b>849</b>	<b>823</b>	<b>811</b>	<b>100.0%</b>	<b>-1.5%</b>	<b>1.1%</b>

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TYPE OF INSTITUTION LAST ATTENDED AND TUITION RESIDENCY

#### Internal (UMS) Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	153	134	138	145	115	85.8%	-20.7%	-24.8%
Out-of-State/Other	6	7	5	13	19	14.2%	46.2%	216.7%
<b>Total</b>	<b>159</b>	<b>141</b>	<b>143</b>	<b>158</b>	<b>134</b>	<b>100.0%</b>	<b>-15.2%</b>	<b>-15.7%</b>

#### Maine Community College System (MCCS) Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	260	239	261	210	179	81.4%	-14.8%	-31.2%
Out-of-State/Other	5	2	5	39	41	18.6%	5.1%	720.0%
<b>Total</b>	<b>265</b>	<b>241</b>	<b>266</b>	<b>249</b>	<b>220</b>	<b>100.0%</b>	<b>-11.6%</b>	<b>-17.0%</b>

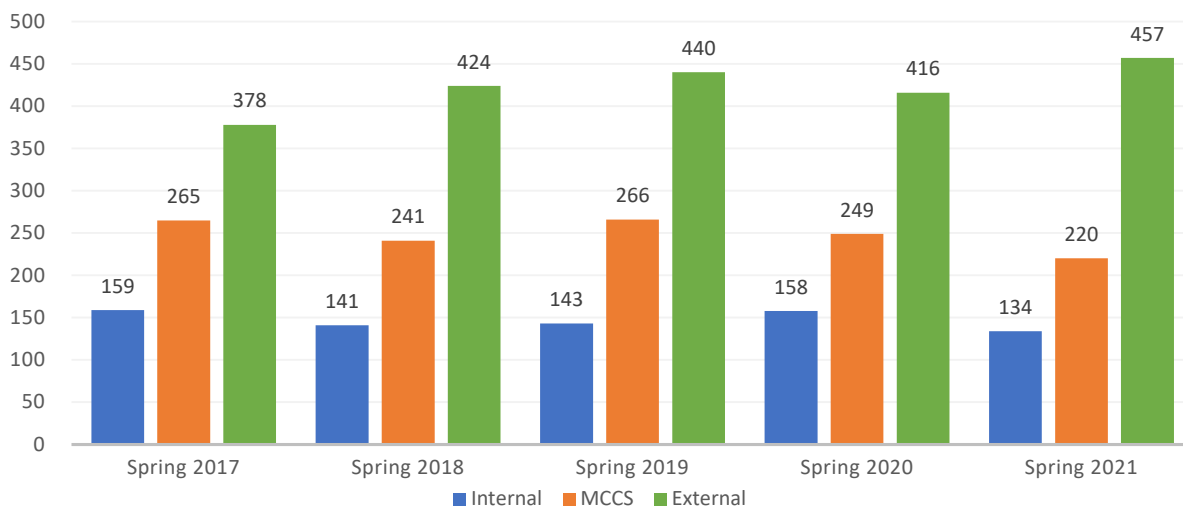
#### External (Excludes MCCS) Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	305	325	299	246	230	50.3%	-6.5%	-24.6%
Out-of-State/Other	73	99	141	170	227	49.7%	33.5%	211.0%
<b>Total</b>	<b>378</b>	<b>424</b>	<b>440</b>	<b>416</b>	<b>457</b>	<b>100.0%</b>	<b>9.9%</b>	<b>20.9%</b>

#### Total Headcount by Tuition Residency

Tuition Residency	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
In-State	718	698	698	601	524	64.6%	-12.8%	-27.0%
Out-of-State/Other	84	108	151	222	287	35.4%	29.3%	241.7%
<b>Total</b>	<b>802</b>	<b>806</b>	<b>849</b>	<b>823</b>	<b>811</b>	<b>100.0%</b>	<b>-1.5%</b>	<b>1.1%</b>

### TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TYPE OF INSTITUTION LAST ATTENDED



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### SPRING 2021 TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TYPE OF INSTITUTION LAST ATTENDED, TUITION RESIDENCY, AND CAMPUS

#### Internal (UMS) Headcount by Tuition Residency and Campus

Tuition Residency	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
In-State	31	32	4	1	4	9	34	115
Out-of-State/Other	2	2	0	3	0	10	2	19
<b>Total</b>	<b>33</b>	<b>34</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>19</b>	<b>36</b>	<b>134</b>

#### Maine Community College System (MCCS) Headcount by Tuition Residency and Campus

Tuition Residency	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
In-State	22	56	11	3	5	6	76	179
Out-of-State/Other	1	1	0	27	0	10	2	41
<b>Total</b>	<b>23</b>	<b>57</b>	<b>11</b>	<b>30</b>	<b>5</b>	<b>16</b>	<b>78</b>	<b>220</b>

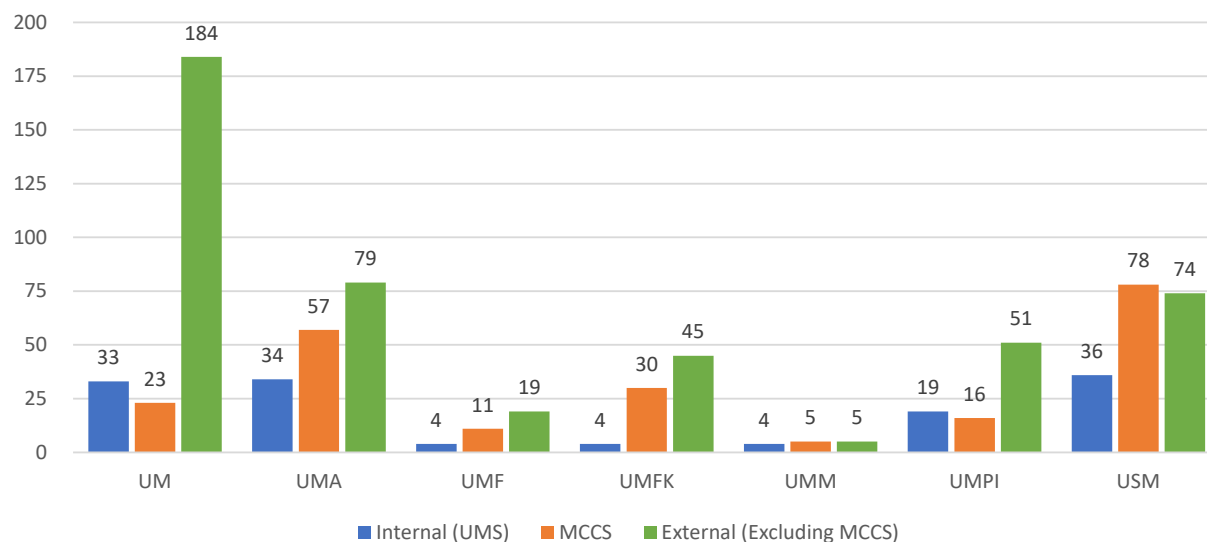
#### External (Excludes MCCS) Headcount by Tuition Residency and Campus

Tuition Residency	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
In-State	86	54	18	8	3	5	56	230
Out-of-State/Other	98	25	1	37	2	46	18	227
<b>Total</b>	<b>184</b>	<b>79</b>	<b>19</b>	<b>45</b>	<b>5</b>	<b>51</b>	<b>74</b>	<b>457</b>

#### Total by Tuition Residency and Campus

Tuition Residency	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
In-State	139	142	33	12	12	20	166	524
Out-of-State/Other	101	28	1	67	2	66	22	287
<b>Total</b>	<b>240</b>	<b>170</b>	<b>34</b>	<b>79</b>	<b>14</b>	<b>86</b>	<b>188</b>	<b>811</b>

#### SPRING 2021 TRANSFER-IN, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT BY TYPE OF INSTITUTION LAST ATTENDED AND CAMPUS





**UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT**  
**READMITTED, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE HEADCOUNT**  
**BY TUITION RESIDENCY AND STATUS**

**In-State Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	95	71	83	85	49	30.1%	-42.4%	-48.4%
Part-time	150	138	169	110	114	69.9%	3.6%	-24.0%
<b>Total</b>	<b>245</b>	<b>209</b>	<b>252</b>	<b>195</b>	<b>163</b>	<b>100.0%</b>	<b>-16.4%</b>	<b>-33.5%</b>

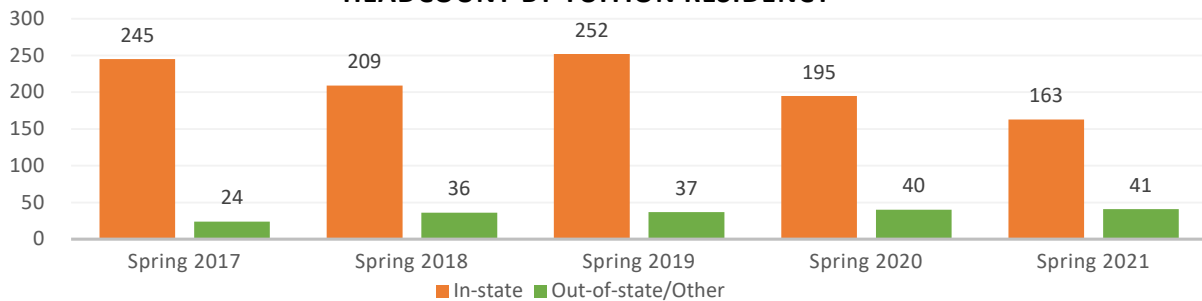
**Out-Of-State/Other Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	15	25	13	17	10	24.4%	-41.2%	-33.3%
Part-time	9	11	24	23	31	75.6%	34.8%	244.4%
<b>Total</b>	<b>24</b>	<b>36</b>	<b>37</b>	<b>40</b>	<b>41</b>	<b>100.0%</b>	<b>2.5%</b>	<b>70.8%</b>

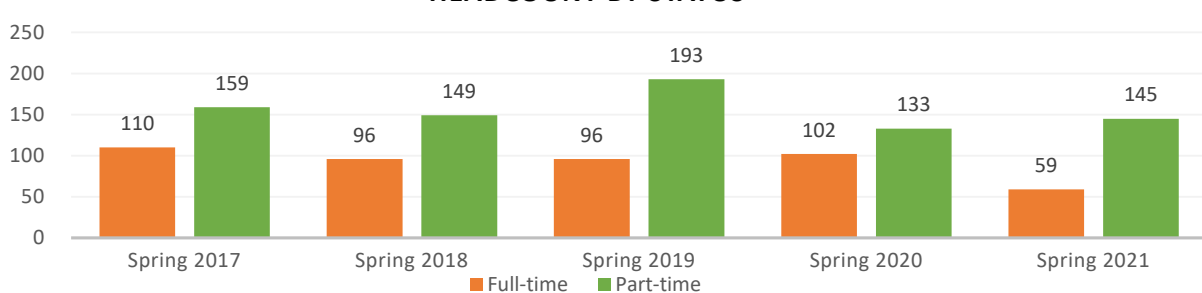
**Total Headcount by Status**

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	110	96	96	102	59	28.9%	-42.2%	-46.4%
Part-time	159	149	193	133	145	71.1%	9.0%	-8.8%
<b>Total</b>	<b>269</b>	<b>245</b>	<b>289</b>	<b>235</b>	<b>204</b>	<b>100.0%</b>	<b>-13.2%</b>	<b>-24.2%</b>

**READMITTED, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE**  
**HEADCOUNT BY TUITION RESIDENCY**



**READMITTED, DEGREE/CERTIFICATE-SEEKING UNDERGRADUATE**  
**HEADCOUNT BY STATUS**



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### ENTERING GRADUATE, DEGREE/CERTIFICATE-SEEKING HEADCOUNT BY TUITION RESIDENCY AND STATUS

#### In-State Headcount by Status

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	86	98	89	85	160	57.6%	88.2%	86.0%
Part-time	95	99	81	98	118	42.4%	20.4%	24.2%
<b>Total</b>	<b>181</b>	<b>197</b>	<b>170</b>	<b>183</b>	<b>278</b>	<b>100.0%</b>	<b>51.9%</b>	<b>53.6%</b>

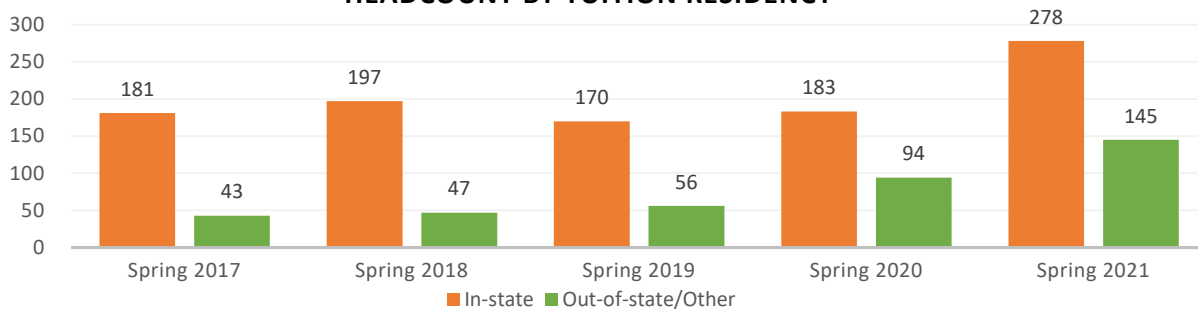
#### Out-Of-State/Other Headcount by Status

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	39	40	49	82	110	75.9%	34.1%	182.1%
Part-time	4	7	7	12	35	24.1%	191.7%	775.0%
<b>Total</b>	<b>43</b>	<b>47</b>	<b>56</b>	<b>94</b>	<b>145</b>	<b>100.0%</b>	<b>54.3%</b>	<b>237.2%</b>

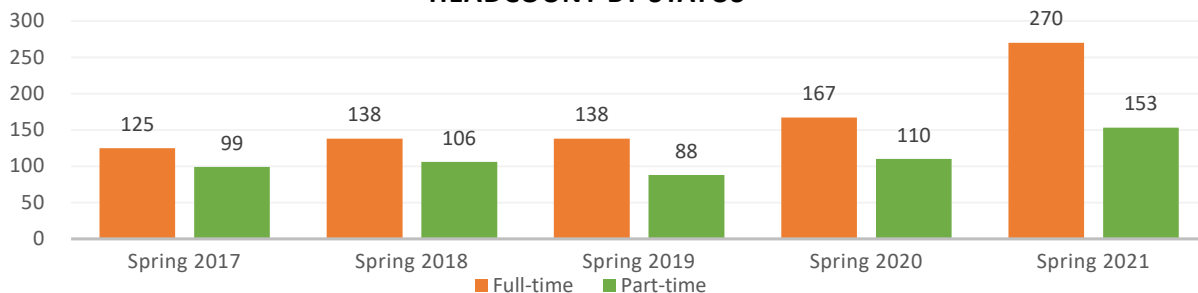
#### Total Headcount by Status

Status	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Full-time	125	138	138	167	270	63.8%	61.7%	116.0%
Part-time	99	106	88	110	153	36.2%	39.1%	54.5%
<b>Total</b>	<b>224</b>	<b>244</b>	<b>226</b>	<b>277</b>	<b>423</b>	<b>100.0%</b>	<b>52.7%</b>	<b>88.8%</b>

#### ENTERING GRADUATE, DEGREE/CERTIFICATE-SEEKING HEADCOUNT BY TUITION RESIDENCY



#### ENTERING GRADUATE, DEGREE/CERTIFICATE-SEEKING HEADCOUNT BY STATUS



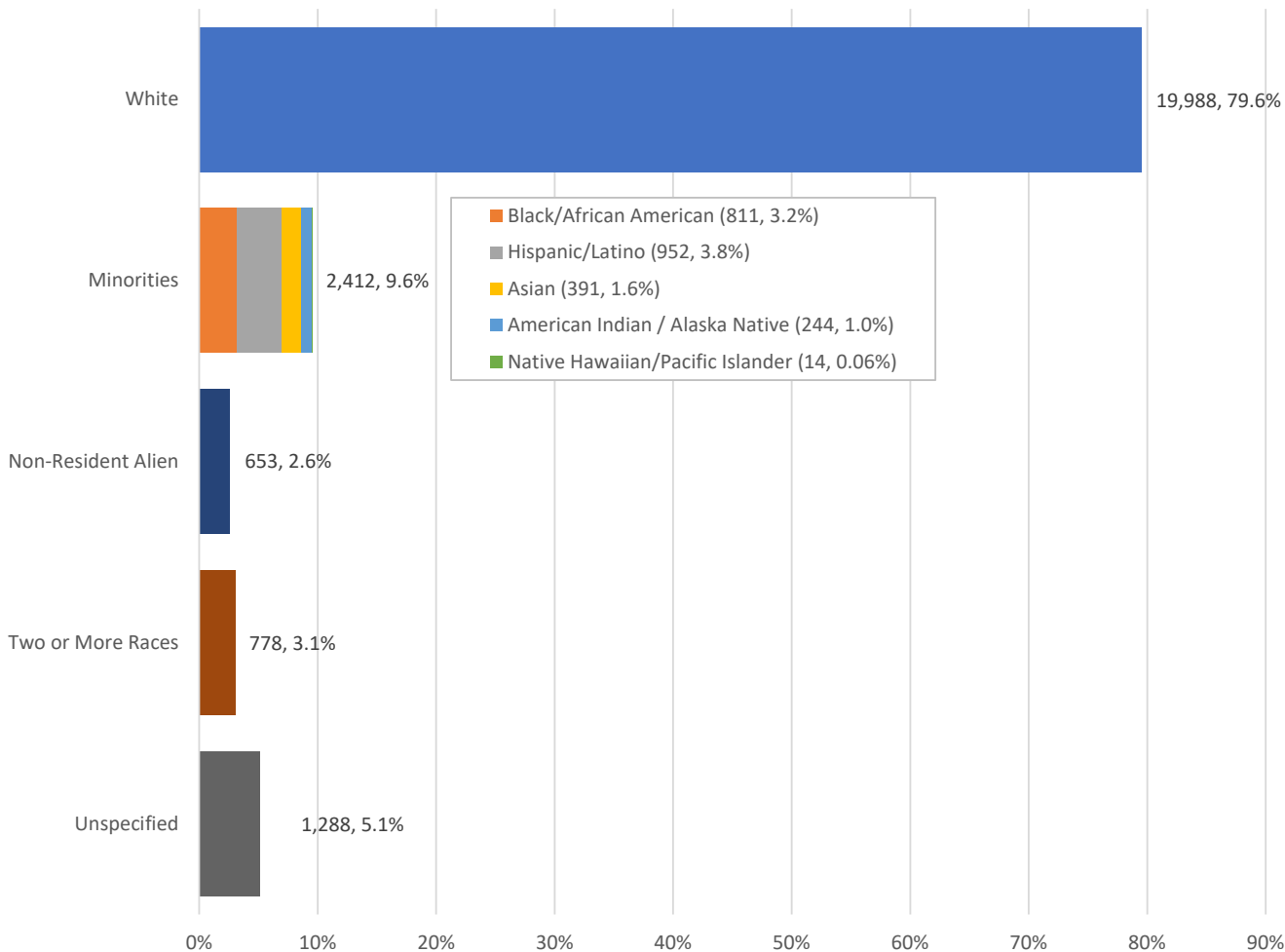
**Note:** Graduate includes readmitted graduate students.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TOTAL HEADCOUNT BY RACE/ETHNICITY

Race/Ethnicity	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
White	20,925	20,622	20,701	20,078	19,988	79.6%	-0.4%	-4.5%
Black/African American	598	675	741	799	811	3.2%	1.5%	35.6%
Hispanic/Latino	620	726	787	818	952	3.8%	16.4%	53.5%
Asian	364	370	381	373	391	1.6%	4.8%	7.4%
American Indian/Alaska Native	299	293	268	273	244	1.0%	-10.6%	-18.4%
Native Hawaiian/Pacific Islander	11	8	13	17	14	0.1%	-17.6%	27.3%
Non-Resident Alien	697	690	638	697	653	2.6%	-6.3%	-6.3%
Two or More Races	642	711	755	777	778	3.1%	0.1%	21.2%
Unspecified	1,593	1,398	1,408	1,275	1,288	5.1%	1.0%	-19.1%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100.0%</b>	<b>0.0%</b>	<b>-2.4%</b>

### SPRING 2021 TOTAL HEADCOUNT BY RACE/ETHNICITY



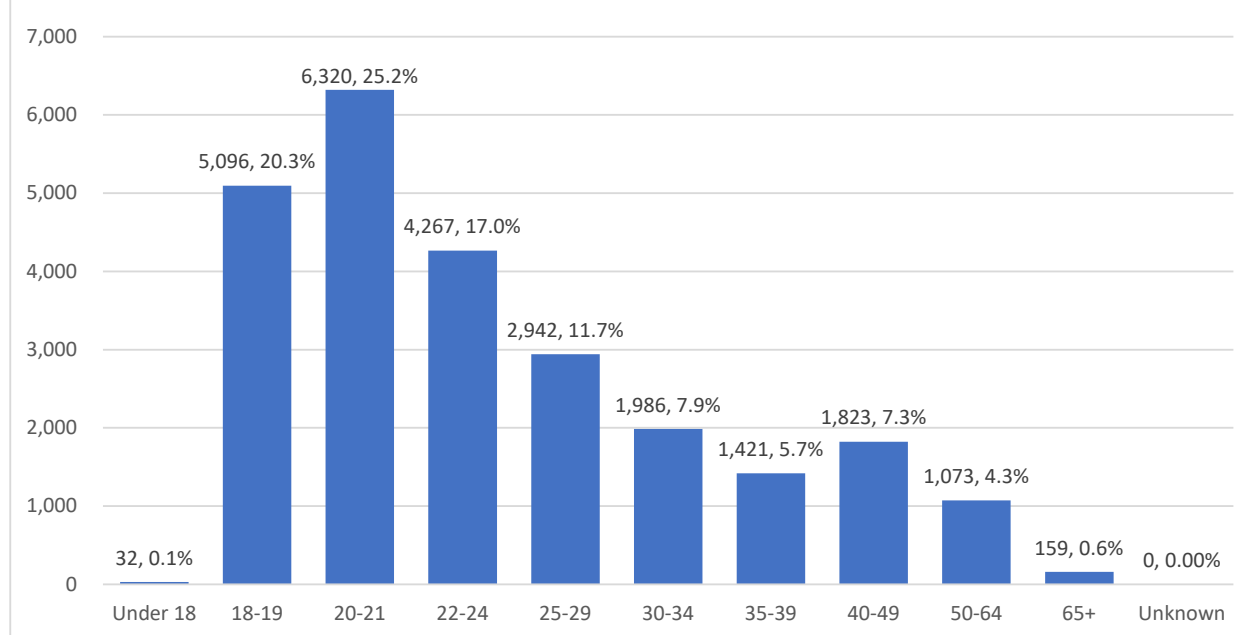
**Note:** Excludes early college.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TOTAL HEADCOUNT BY AGE RANGE

Age Range	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Under 18	28	44	32	42	32	0.1%	-23.8%	14.3%
18-19	5,393	5,696	5,735	5,451	5,096	20.3%	-6.5%	-5.5%
20-21	6,261	6,258	6,382	6,478	6,320	25.2%	-2.4%	0.9%
22-24	4,460	4,221	4,260	4,193	4,267	17.0%	1.8%	-4.3%
25-29	3,290	3,090	3,072	2,930	2,942	11.7%	0.4%	-10.6%
30-34	1,927	1,856	1,894	1,905	1,986	7.9%	4.3%	3.1%
35-39	1,344	1,323	1,277	1,203	1,421	5.7%	18.1%	5.7%
40-49	1,786	1,767	1,776	1,687	1,823	7.3%	8.1%	2.1%
50-64	1,129	1,090	1,081	1,045	1,073	4.3%	2.7%	-5.0%
65+	128	148	182	171	159	0.6%	-7.0%	24.2%
Unknown	3	0	1	2	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100%</b>	<b>0.0%</b>	<b>-2.4%</b>

### SPRING 2021 TOTAL HEADCOUNT BY AGE RANGE



### TOTAL HEADCOUNT BY SUMMARIZED AGE RANGE

Age Range	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Under 18	28	44	32	42	32	0.1%	-23.8%	14.3%
18-24	16,114	16,175	16,377	16,122	15,683	62.4%	-2.7%	-2.7%
25-39	6,561	6,269	6,243	6,038	6,349	25.3%	5.2%	-3.2%
40-64	2,915	2,857	2,857	2,732	2,896	11.5%	6.0%	-0.7%
65+	128	148	182	171	159	0.6%	-7.0%	24.2%
Unknown	3	0	1	2	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>25,749</b>	<b>25,493</b>	<b>25,692</b>	<b>25,107</b>	<b>25,119</b>	<b>100%</b>	<b>0.0%</b>	<b>-2.4%</b>

**Note:** Excludes early college.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### SPRING 2021 TOTAL HEADCOUNT BY RESIDENCY (BASED ON ORIGINAL HOME ADDRESS)

#### In-State Headcount by County

County	Headcount	% of Total
Cumberland	4,260	23.5%
Penobscot	2,482	13.7%
York	2,217	12.2%
Kennebec	1,810	10.0%
Aroostook	1,256	6.9%
Androscoggin	1,181	6.5%
Hancock	667	3.7%
Oxford	658	3.6%
Knox	630	3.5%
Somerset	568	3.1%
Washington	535	2.9%
Waldo	453	2.5%
Sagadahoc	434	2.4%
Lincoln	398	2.2%
Franklin	385	2.1%
Piscataquis	192	1.1%
Unknown	23	0.1%
<b>Total</b>	<b>18,149</b>	<b>100.0%</b>

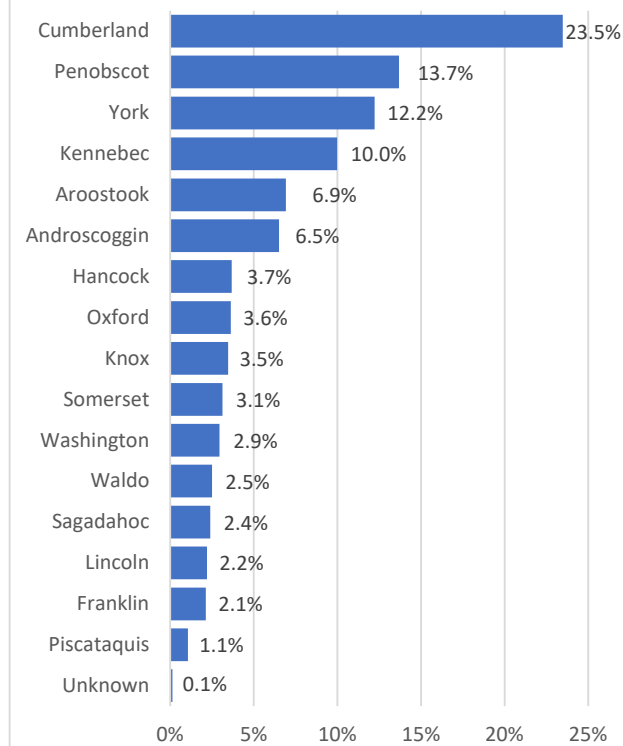
#### Out-Of-State Headcount by State

State	Headcount	% of Total
Massachusetts	1,990	31.2%
Connecticut	728	11.4%
New Hampshire	611	9.6%
New Jersey	386	6.0%
New York	307	4.8%
Vermont	247	3.9%
California	211	3.3%
Pennsylvania	209	3.3%
Rhode Island	178	2.8%
Florida	169	2.6%
Other States	1,346	21.1%
<b>Total</b>	<b>6,382</b>	<b>100.0%</b>

#### International Headcount by Country

Country	Headcount	% of Total
Canada	120	20.4%
China	47	8.0%
Nepal	33	5.6%
Jamaica	29	4.9%
Bangladesh	21	3.6%
India	19	3.2%
Iran	18	3.1%
South Africa	15	2.6%
Ghana	15	2.6%
Sweden	14	2.4%
Other Countries	256	43.6%
<b>Total</b>	<b>587</b>	<b>100.0%</b>

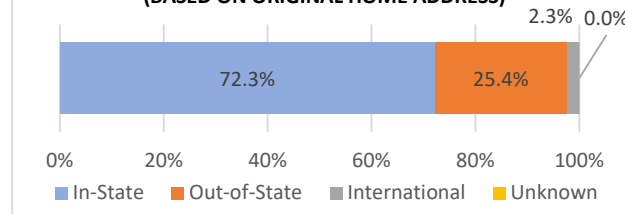
#### PERCENTAGE OF IN-STATE STUDENTS BY COUNTY



#### Total Headcount by Residency

Residency	Headcount	% of Total
In-State	18,149	72.3%
Out-of-State	6,382	25.4%
International	587	2.3%
Unknown	1	0.0%
<b>Total</b>	<b>25,119</b>	<b>100.0%</b>

#### SPRING 2021 TOTAL HEADCOUNT BY RESIDENCY (BASED ON ORIGINAL HOME ADDRESS)



**Note:** Original home address is the first address on file for the student and can differ from tuition residency. Excludes early college.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TOTAL CREDIT HOURS BY DISTANCE MODALITY

#### Spring 2021 Total Credit Hours by Distance Modality and Campus (#) (Excludes Early College)

Distance Modality	UM	UMA	UMF	UMFK	UMM	UMPI	USM	LAW	Total
Blended	761	428	3,263	280	446	372	6,317	495	<b>12,362</b>
Distance ITV	0	1,152	0	0	0	0	0	0	<b>1,152</b>
Distance Online	28,990	20,684	8,774	9	3,023	108	30,628	0	<b>92,216</b>
Distance Onsite	38	275	0	0	0	123	0	0	<b>436</b>
Distance Video Conference	0	321	0	0	0	157	0	0	<b>478</b>
Hyflex	0	0	0	371	0	552	0	0	<b>923</b>
Online Asynchronous	0	0	0	5,097	0	6,596	0	0	<b>11,693</b>
Online/Web Synchronous	62,343	4,313	0	472	928	776	27,281	2,903	<b>99,016</b>
Remote Synchronous	9,826	0	0	0	0	0	0	0	<b>9,826</b>
Remote Asynchronous	1,254	0	0	0	0	0	0	0	<b>1,254</b>
<b>Total Distance</b>	<b>103,212</b>	<b>27,173</b>	<b>12,037</b>	<b>6,229</b>	<b>4,397</b>	<b>8,684</b>	<b>64,225</b>	<b>3,398</b>	<b>229,355</b>
Traditional Modalities	27,121	1,675	9,076	2,513	451	2,231	5,244	0	<b>48,310</b>
<b>Total</b>	<b>130,333</b>	<b>28,848</b>	<b>21,113</b>	<b>8,742</b>	<b>4,848</b>	<b>10,915</b>	<b>69,469</b>	<b>3,398</b>	<b>277,665</b>

#### Spring 2021 Total Credit Hours by Distance Modality and Campus (%) (Excludes Early College)

Distance Modality	UM	UMA	UMF	UMFK	UMM	UMPI	USM	LAW	Total
Blended	0.6%	1.5%	15.5%	3.2%	9.2%	3.4%	9.1%	14.6%	4.5%
Distance ITV	0.0%	4.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.4%
Distance Online	22.2%	71.7%	41.6%	0.1%	62.4%	1.0%	44.1%	0.0%	33.2%
Distance Onsite	0.0%	1.0%	0.0%	0.0%	0.0%	1.1%	0.0%	0.0%	0.2%
Distance Video Conference	0.0%	1.1%	0.0%	0.0%	0.0%	1.4%	0.0%	0.0%	0.2%
Hyflex	0.0%	0.0%	0.0%	4.2%	0.0%	5.1%	0.0%	0.0%	0.3%
Online Asynchronous	0.0%	0.0%	0.0%	58.3%	0.0%	60.4%	0.0%	0.0%	4.2%
Online/Web Synchronous	47.8%	15.0%	0.0%	5.4%	19.1%	7.1%	39.3%	85.4%	35.7%
Remote Synchronous	7.5%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	3.5%
Remote Asynchronous	1.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.5%
<b>Total Distance</b>	<b>79.2%</b>	<b>94.2%</b>	<b>57.0%</b>	<b>71.3%</b>	<b>90.7%</b>	<b>79.6%</b>	<b>92.5%</b>	<b>100.0%</b>	<b>82.6%</b>
Traditional Modalities	20.8%	5.8%	43.0%	28.7%	9.3%	20.4%	7.5%	0.0%	17.4%
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

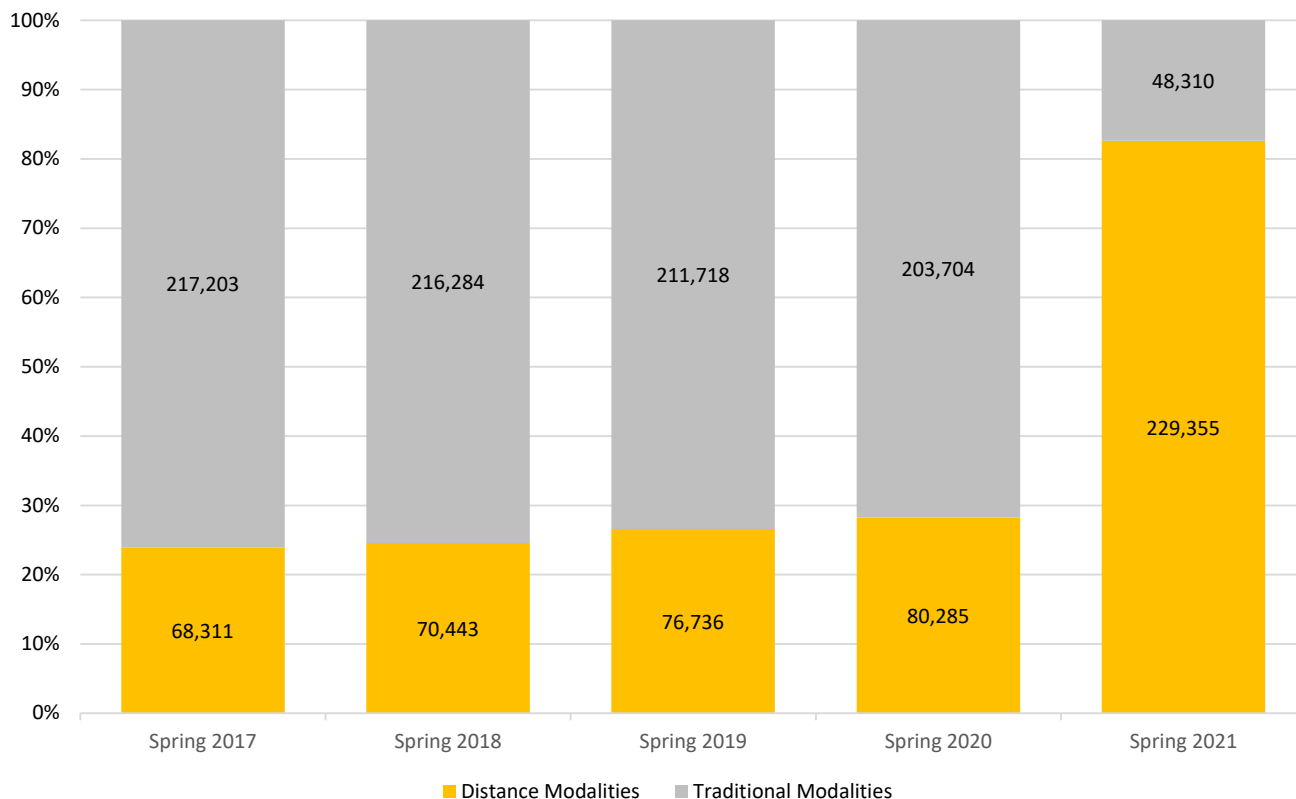
Notes: Hyflex, Online Asynchronous, Online Low Residency, and Online Synchronous are instruction modality codes implemented at UMFK and UMPI starting in Summer 2020. Remote Synchronous and Remote Asynchronous are distance modalities implemented at UM starting in Summer 2020. Remote courses are identified based on the course having a facility code of "REMOTE" or "REMOTEA SYN." UM courses with only "REMOTEA SYN" meetings are reported as Remote Asynchronous. UM courses with at least one meeting coded as "REMOTE" are reported under "Remote Synchronous." Online Synchronous and Web Synchronous are reported together as one category.

## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### Total Credit Hours by Distance Modality (Excludes Early College)

Distance Modality	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Blended	4,302	3,248	3,498	4,001	12,362	4.5%	209.0%	187.4%
Distance ITV	2,901	1,837	2,047	1,511	1,152	0.4%	-23.8%	-60.3%
Distance Online	56,873	61,005	67,284	70,365	92,216	33.2%	31.1%	62.1%
Distance Onsite	2,229	2,445	2,040	2,010	436	0.2%	-78.3%	-80.4%
Distance Video Conference	1,388	1,270	1,034	988	478	0.2%	-51.6%	-65.6%
Hybrid	150	0	0	0	0	0.0%	N/A	-100.0%
Hyflex	--	--	--	--	923	0.3%	N/A	N/A
Online Asynchronous	--	--	--	--	11,693	4.2%	N/A	N/A
Online/Web Synchronous	468	638	833	1,410	99,016	35.7%	6922.4%	21057.2%
Remote Synchronous	--	--	--	--	9,826	3.5%	N/A	N/A
Remote Asynchronous	--	--	--	--	1,254	0.5%	N/A	N/A
<b>Total Distance</b>	<b>68,311</b>	<b>70,443</b>	<b>76,736</b>	<b>80,285</b>	<b>229,355</b>	<b>82.6%</b>	<b>185.7%</b>	<b>235.8%</b>
Traditional Modalities	217,203	216,284	211,718	203,704	48,310	17.4%	-76.3%	-77.8%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>

### TOTAL CREDIT HOURS FOR DISTANCE AND TRADITIONAL MODALITIES



## UNIVERSITY OF MAINE SYSTEM – SPRING 2021 ENROLLMENT REPORT

### TOTAL CREDIT HOURS BY STUDENT LEVEL AND MODALITY TYPE

#### Undergraduate Credit Hours by Modality Type (Excludes Early College)

Modality Type	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Distance Modalities	62,765	63,847	69,555	71,600	207,035	83.1%	189.2%	229.9%
Traditional Modalities	200,363	199,343	194,731	188,185	42,252	16.9%	-77.5%	-78.9%
<b>Total</b>	<b>263,127</b>	<b>263,189</b>	<b>264,286</b>	<b>259,784</b>	<b>249,287</b>	<b>100.0%</b>	<b>-4.0%</b>	<b>-5.3%</b>

#### Graduate Credit Hours by Modality Type

Modality Type	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Distance Modalities	5,546	6,594	7,175	8,682	18,922	75.7%	117.9%	241.2%
Traditional Modalities	13,614	13,518	13,481	12,044	6,058	24.3%	-49.7%	-55.5%
<b>Total</b>	<b>19,160</b>	<b>20,111</b>	<b>20,656</b>	<b>20,726</b>	<b>24,980</b>	<b>100.0%</b>	<b>20.5%</b>	<b>30.4%</b>

#### Law Credit Hours by Modality Type

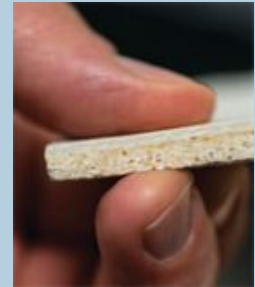
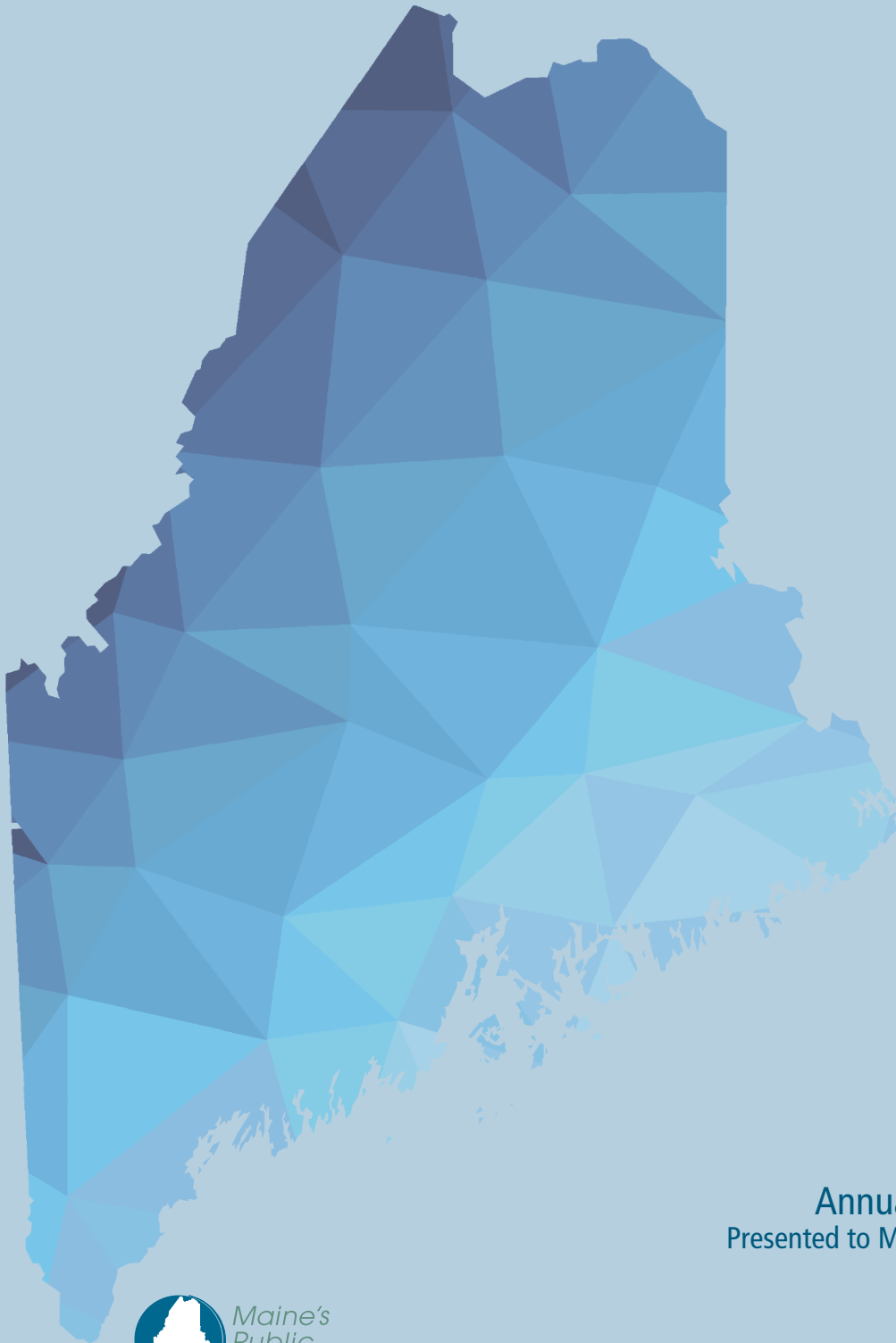
Modality Type	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Distance Modalities	0	3	6	3	3,398	100.0%	113166.7%	N/A
Traditional Modalities	3,227	3,424	3,506	3,476	0	0.0%	-100.0%	-100.0%
<b>Total</b>	<b>3,227</b>	<b>3,427</b>	<b>3,512</b>	<b>3,479</b>	<b>3,398</b>	<b>100.0%</b>	<b>-2.3%</b>	<b>5.3%</b>

#### Total Credit Hours by Modality Type (Excludes Early College)

Modality Type	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021	% of Total	1-year Change	5-year Change
Distance Modalities	68,311	70,443	76,736	80,285	229,355	82.6%	185.7%	235.8%
Traditional Modalities	217,203	216,284	211,718	203,704	48,310	17.4%	-76.3%	-77.8%
<b>Total</b>	<b>285,513</b>	<b>286,727</b>	<b>288,454</b>	<b>283,989</b>	<b>277,665</b>	<b>100.0%</b>	<b>-2.2%</b>	<b>-2.7%</b>



# MAINE ECONOMIC IMPROVEMENT FUND



**Annual Report FY2020**  
Presented to Maine State Legislature



A successful partnership among Maine's government, private sector and public universities to build Maine's economy and future workforce through research and development.



## TABLE OF CONTENTS

<b>Memo from the University of Maine System Chancellor</b>	<b>1</b>
<b>Background of the Maine Economic Improvement Fund (MEIF)</b>	<b>2</b>
<b>Role of MEIF</b>	<b>2</b>
<b>Progress in FY2020 Strategic Outcomes, Goals and Metrics</b>	<b>3</b>
MEIF Target 1	3
MEIF Target 2	5
MEIF Target 3	5
MEIF Target 4	7
<b>MEIF Success Stories</b>	<b>8</b>
<b>Appendix 1 — UMS Intellectual Property</b>	<b>22</b>
Table A1-1 University of Maine System New Patent Applications Filed FY2020	22
Table A1-2 University of Maine System — Patents Issued FY2020	23
<b>Appendix 2 — MEIF Financial History and Tables</b>	<b>24</b>
Table A2-1 History of Legislative Actions Appropriating State Research Funds	24
Table A2-2 Legislative History of MEIF New Appropriations	25
Table A2-3 Utilization of FY2020 Research Appropriation by Targeted Sector	27
Table A2-4 Utilization of FY2020 Research Appropriation by Campus	28

## MAINE ECONOMIC IMPROVEMENT FUND 2020 ANNUAL REPORT

## Memo from the Chancellor

The State of Maine's investment in the Maine Economic Improvement Fund (MEIF) is a vital and ongoing commitment to advancing the research mission of Maine's public universities.

With the flagship University of Maine leading the way, the University of Maine System multiplies the impact of MEIF funding several times over by advancing knowledge and research that leads to job creation and economic growth for the benefit of all Maine people.

The importance of the UMS research mission has never been more clear than through the ongoing pandemic and public health emergency. COVID-19 has changed the world, and public research universities across the globe stepped up to rapidly respond in myriad ways unique to their research missions. In Maine, the research capacity of our public university system, bolstered by decades of MEIF and other investments, has been an important foundation for our ability to help lead Maine's fight against this global pandemic. Even as our universities successfully transitioned to remote teaching and learning, talented faculty and researchers, staff and students stepped up to serve our state, with university laboratories, centers and facilities pressed into service in new ways to protect public health and solve the problems that Maine's communities and companies faced in the pandemic.

As 2021 begins, the availability of effective COVID-19 vaccines developed with previously unheard of speed and coordination between government, private enterprise, and the academy is a powerful reminder of the importance of sustained investment in science and research capacity. But even with vaccines rolling out, the pandemic's financial toll continues to reverberate through our economy. Here in Maine, our public universities will play a central role in accelerating economic recovery and long-term resiliency by expanding the human capital and innovation that will catalyze recovery, growth, and greater prosperity for the people of this state.

Increasing investment in research through public sources like MEIF and federal grants and contracts also creates opportunity to leverage up to \$150 million in private grants awarded to the University of Maine System in October 2020 by the Harold Alfond Foundation. Unlocking these additional transformational investments will be critical to realizing our full potential for Maine, including the incredible impact of our research enterprise.

This MEIF report, which details the results of the System's research efforts over the last fiscal year, demonstrates what advancements are possible from sustained research investment. A few highlights include:

- In FY2020, the state's \$17.35 million MEIF investment was leveraged at a rate of 5.3:1 by our UMS campuses for an additional \$92.4 million in federal and private-sector grants and contracts in the seven statutory sectors.
- MEIF funds, and the external grants and contracts they leverage, supported the work of 575 researchers and technicians and 1,221 graduate and undergraduate students.
- These grants and contracts provide funds to purchase major equipment to upgrade and outfit university laboratories.
- Maine's public universities secured 11 new U.S. patents and 65 associated foreign patents, worked on development projects with large and small businesses and start-ups, and provided R&D support to 324 companies and individuals.

As required in the statute that created MEIF, included with this FY2020 MEIF report are financial reports and informational details.

I am available at your convenience to discuss how we use MEIF funding to expand knowledge, research, and economic opportunity in Maine. I would welcome the chance to do so.



Dannel Malloy  
Chancellor

The Maine Economic Improvement Fund Fiscal Year 2020

## MEIF Background

The Maine Economic Improvement Fund (MEIF) represents the ongoing commitment between the state, the private sector and our public universities, working together to advance research and economic development for the benefit of all Maine people.

Since the Maine Legislature established MEIF in 1997, MEIF has positioned the University of Maine System (UMS) at the center of statewide efforts to leverage economic development through targeted investment in university-based R&D. MEIF continues to be funded through an annual state appropriation to UMS.

These funds provided through state appropriation to the University of Maine System are dollars specifically directed to support university-based research, development and commercialization in the state's legislatively designated seven strategic technology areas:

- Advanced Technologies for Forestry and Agriculture
- Aquaculture and Marine Sciences
- Biotechnology
- Composites and Advanced Materials Technologies
- Environmental Technologies
- Information Technologies
- Precision Manufacturing

The University of Maine and the University of Southern Maine have well-established research, development and commercialization activities accounting for 97 percent of the MEIF activity. In 2009, the University of Maine System established the Small Campus Initiative Fund to promote seven-sector research and development activity at the other five UMS campuses and, as of 2013, Maine Maritime Academy (MMA).

## Role of MEIF

The role of MEIF is to support the solution of fundamental problems and discover new solutions, and to provide researchers at Maine's public universities with the investment necessary to:

- attain external grants and contracts to support R&D activities in Maine's seven sectors
- attract and retain world-class researchers
- provide support for modern laboratories and state-of-the-art equipment
- create new products, patents, technologies, companies and exciting job opportunities in Maine
- create and sustain economic development and innovation

MEIF funds often provide the required match to acquire federal or private sector grants, and this investment in Maine's public university R&D helps faculty, staff and students successfully leverage tens of millions of dollars in grants and contracts annually.

MEIF directly supports faculty, grad students and staff who are working to make the universities more competitive for federal grants, expanding opportunities to support Maine companies and involve students in research learning and real applications of their education.

MEIF increasingly fosters university partnerships with business and industry through economic development collaborations, entrepreneur training programs, business incubators, technology accelerators, business research and other programs. These efforts lead to new Maine-based products, technologies, patents and spin-off businesses.

The University of Maine and the University of Southern Maine are the two universities with established research and graduate programs in the seven targeted research sectors and have received MEIF funds, with 76.6 percent to the University of Maine and 19 percent to the University of Southern Maine. In addition 1.4 percent of MEIF funds are awarded to the University of Maine Machias and 3 percent to the other campuses and Maine Maritime Academy.

### Indicators of success show that Maine's MEIF investment is paying dividends by:

- Creating businesses and jobs, including the jobs of 575 faculty and staff, and 1,221 students working on MEIF-funded projects
- Boosting Maine's economy by leveraging MEIF funds to bring federal and private-sector grants and contracts to Maine.
- Building capacity and expertise to help Maine companies solve problems and commercialize innovation.
- Generating new intellectual property and working to commercialize patents and innovations.
- Capitalizing on natural resources and core strengths by focusing R&D efforts on economic sectors where Maine can make real gains. University research personnel use MEIF resources to support the staff, equipment and facilities they need to successfully pursue and develop research projects.

## Progress in FY2020: Strategic Outcomes, Goals and Metrics

In December 2018, the University of Maine System Board of Trustees issued a Declaration of Strategic Priorities, the first of which is Advancing Workforce Readiness and Economic Development, with a priority action item: Strengthen research and economic development efforts to support Maine industries, and to foster business formation and expansion. The five-year University of Maine System Research and Development Plan was approved in the Spring of 2019 with three specific goals that drive the UMS research activities including the Maine Economic Improvement Funds.

**Goal One** - Make Maine the best state in the nation in which to live, work, and learn by 2030

**Goal Two** - Establish an innovation-driven Maine economy for the 21st century

**Goal Three** - Prepare the knowledge-and-innovation workforce for Maine

The following metrics help measure the progress against these goals and recognize that MEIF activity is restricted to Maine's legislatively selected seven R&D sectors.

**UMS MEIF Metric 1** - Increase Research Capacity and Activity

**UMS MEIF Metric 2** - Support New Technologies, Licensing, and Commercialization

**UMS MEIF Metric 3** - Increase Economic Development Partnerships

**UMS Metric 4** - Support R&D Workforce Development

This report addresses these goals. In addition, the University of Maine System reports R&D outcomes annually through the statutorily required survey of Maine R&D activity administered by the Maine Department of Economic and Community Development Office of Innovation (5 MSRA 13107).

The R&D Strategic Outcomes and related MEIF goals are:

### MEIF Target 1

UMS maintains a sponsored programs grant and contracts effort growing greater than 3 percent annually on a three-year rolling average from a 2013 baseline of \$45 million and NSF-defined total research expenditures of \$45 million in the MEIF sectors. Activity from the seven MEIF sectors will account for 50 percent of the total R&D grants and contracts, with a 3 percent annual growth on a three-year rolling average. The utilization of MEIF funds will leverage other resources including grants and contracts from the federal government and the private sector increasing the impact of the State's investment.

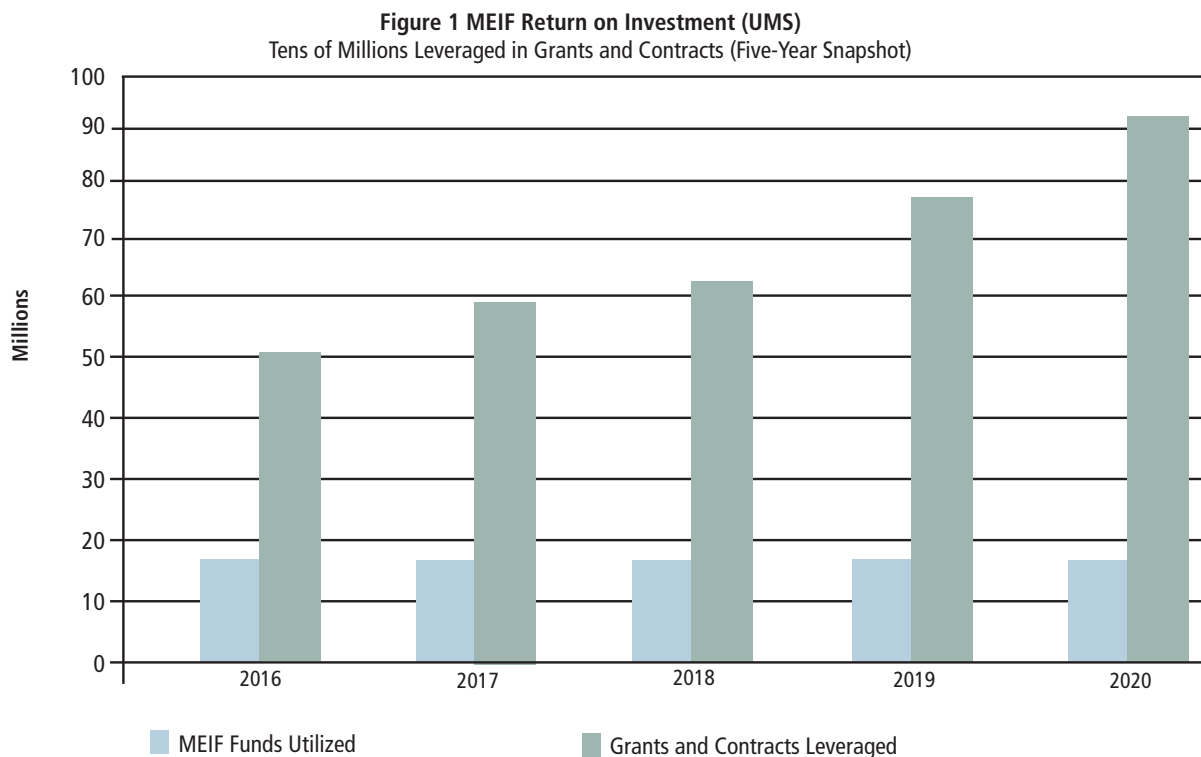
Table 1

	Number of proposals	Total Value	Number of proposals	Total value	number of proposals	total value
<b>FY2020 Total Grants and Contracts (ALL Activity Inclusive)</b>	<b>UM/UMM</b>	<b>UM/UMM</b>	<b>USM</b>	<b>USM</b>	<b>ALL</b>	<b>ALL</b>
Total Proposals Submitted	852	\$202,300,441	203	\$40,000,000	744	\$239,956,026
Total Proposals Awarded	666	\$107,552,997	150	\$34,000,000	497	\$138,194,536

#### Grants and Contracts

Awarded in MEIF Sectors ONLY	FY2016 Awards	FY2017 Awards	FY2018 Awards	FY2019 Awards	MEIF Awards		
					FY2020 UM/UMM	FY2020 USM	FY2020 Total
Aquaculture and Marine	12,631,690	21,229,069	16,032,068	8,084,961	8,566,617	132,144	8,698,761
Biotechnology	2,399,487	3,821,390	6,552,964	16,035,473	14,412,593	199,313	14,611,906
Composites	6,974,264	13,504,642	9,952,947	11,478,611	31,070,913	22,738	31,093,652
Cross Sector	507,842	4,274,394	3,034,812	21,301,337	2,040,950	742,480	2,783,430
Environmental Technologies	5,045,536	5,543,121	7,407,213	7,250,820	6,918,715	548,272	7,466,987
Forestry and Agriculture	10,317,799	4,660,014	10,685,631	9,598,475	17,528,845	95,721	17,624,566
Information Tech	11,497,199	5,292,726	5,582,266	951,594	5,842,585	1,226,528	7,069,113
Precision Manufacturing	1,009,921	1,602,646	3,099,123	1,870,527	3,077,779	0	3,077,779
Total	\$50,383,738	\$59,334,874	\$62,347,023	\$76,571,798	\$89,458,997	\$2,967,197	\$92,426,194
					FY2019–FY2020 Increase 21%		

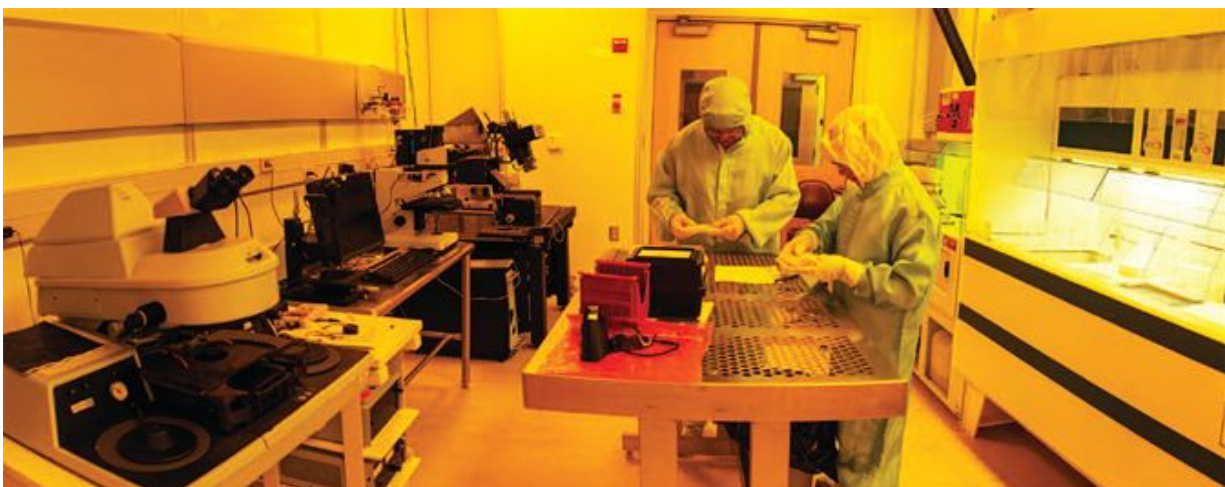
## Strategic Outcomes, Goals and Metrics



In summary, the MEIF Target 1 for increasing external grants and contracts leveraged through MEIF investments saw an increase of 21 percent over the previous fiscal year exceeding the goal of 3 percent per year. This favorable trend continues in a positive direction after decreases over the last five years. Continued growth can be attributed to the efforts of UMS researchers and energized by the turnover in faculty researchers resulting in over 150 new faculty in the last few years. New faculty researchers typically need several years of

start-up activity to become competitive proposal writers, and their success is starting to show. Another key contributor to this growth is larger multi-principle investigator proposals at well-established centers.

Recognizing the lead time for proposal preparation, sponsor review and selection, and contract activity to begin, there can be a one- to two-year lag in output. Proposal preparation and submissions remain steady. For the purpose of this report, a private-sector contract is counted as a single proposal submission.



## MEIF Target 2

UMS annual revenue from commercialization including intellectual property licensing from the MEIF sectors increases at least 10 percent annually on a three-year rolling average.

Table 2

MEIF Target 2 — Commercialization Activity	FY2016	FY2017	FY2018	FY2019	FY2020
Revenue from Commercialization	\$204,709	\$329,840	\$914,120	\$289,088	\$519,019
Rolling three-year average	\$276,063	\$298,091	\$482,890	\$511,016	\$574,076
Number of Patents Filed (US/PCT)	19	18	20	17	16
Number of Patents Issued (US)	5	8	6	6	12
Number of License Agreements and License Options	8	7	9	11	8

FY2019–FY2020 Change in Three-Year Average Revenue 11%

In summary, three-year rolling average revenue from commercialization has shown an overall increase over the last decade. Commercialization relies on private companies utilizing UMS intellectual property to secure private investment to advance technology, products and services into markets. Maine continues to rank very low in comparison to other states for its industry R&D and innovation. This has been recognized by the state economic development agencies and is addressed in the 2020 Maine Economic Development Strategy.

The timeline for commercialization of newly invented technology is hard to predict, but it is lengthy. U.S. patent

applications take four to five years from initial application to issuance. Newly issued UMS patents reported above and detailed in Appendix 1 were filed four to five years ago. In addition, UMS technologies generally fall into categories, such as transportation infrastructure, pulp and paper and sensors and biotechnology.

These sectors have longer timelines from lab to market at five to 10 years. UMS is focusing additional effort to accelerate commercialization with private-sector partners and other investment programs, such as the Maine Technology Institute and Maine Venture Fund.

## MEIF Target 3

The UMS annual revenue from activities with business and industrial partners in the MEIF sectors continues to increase. Revenue reached \$10,876,661 million in FY2020, bolstered by a few large projects started before the pandemic while a number of business and industry contracts in the MEIF sectors dropped off primarily in the last quarter of FY2020, due to the pandemic.

Table 3

MEIF TARGET 3 — Business and Industry Contracts	FY2016	FY2017	FY2018	FY2019	FY20
Revenue from Business and Industrial Contracts	\$4,836,138	\$5,035,394	\$6,339,260	\$7,211,422	\$10,876,661
Number of Business and Industrial Contracts	519	565	528	530	327

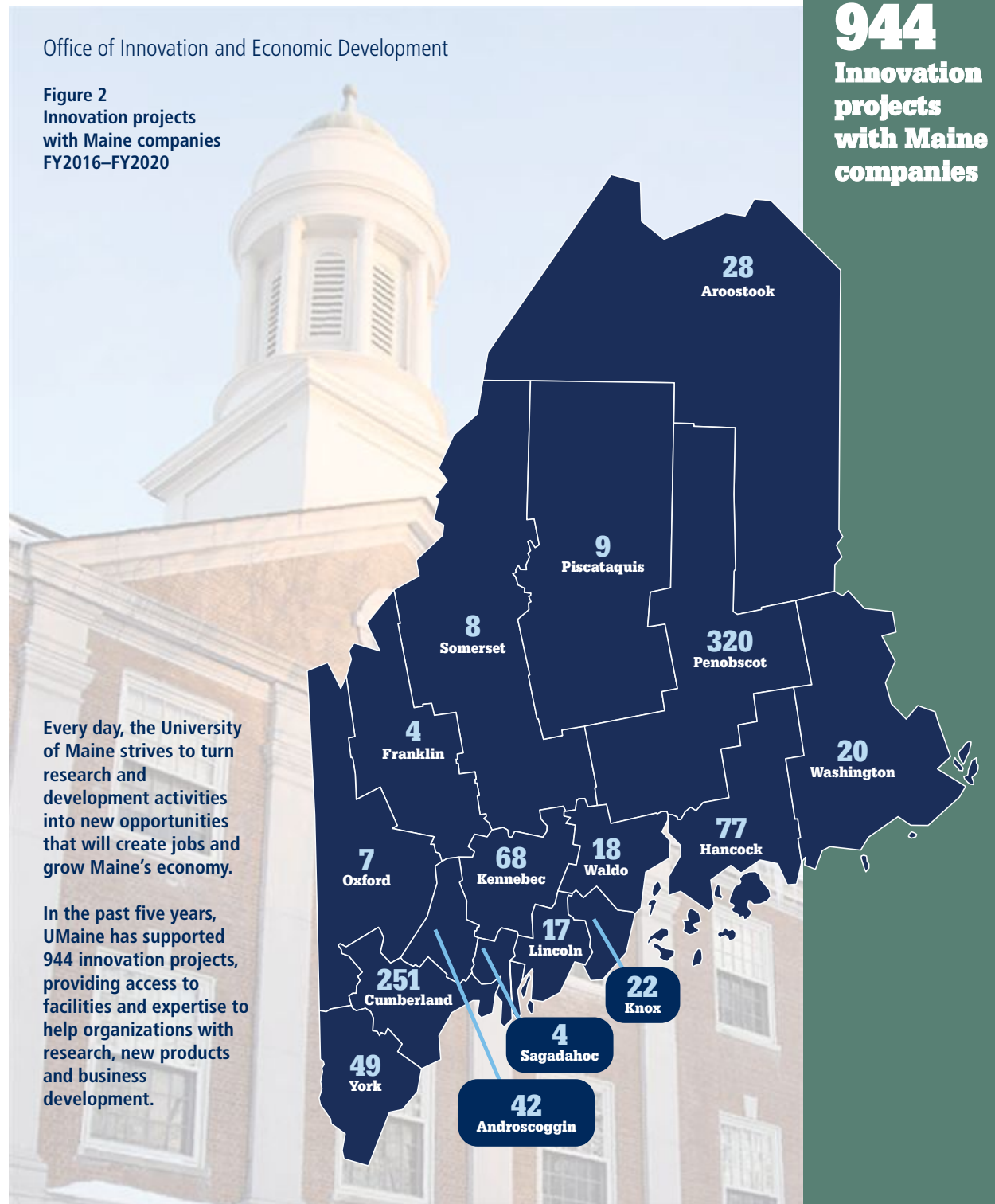
FY2019–FY2020 Change in Revenue 50.83%

In summary, many MEIF investments not only leverage external grants and contracts, but through a combination of MEIF funds, and grant and contract funds, help UMS campuses build capacity to work directly with industry partners. Figure 2 illustrates the breadth of contract work with companies throughout the state. Some industry partners are companies licensing and commercializing UMS intellectual property, while many companies are working with UMS campuses to get

assistance with problem solving or product development. UMS projects with business and industry are steady and activity is meeting the goals and metrics of this Target. Figure 2 demonstrates the statewide nature of these partnerships for those contracts that are currently tracked. Many additional companies, inventors, and entrepreneurs receive advice and guidance that does not result in formal contracts.



## Strategic Outcomes, Goals and Metrics





## MEIF Target 4

### *Support R&D Workforce Development*

UMS shall maintain a concerted effort to involve faculty, staff and students participating in research, development and commercialization, and shall report annually the number of employees directly supported by MEIF funds and by grants and contracts in the MEIF sectors. As external funding is hard to predict, there is no specific numerical goal for employee count, but UMS shall report the annual number of faculty, staff and students to indicate trends and identify opportunities for growth.

In summary, state economic analysis predicts economic growth in Maine based on an available trained and educated workforce. Growth in the seven MEIF sectors is especially dependent on the available workforce. MEIF seven-sector projects at UMS rely on regular faculty and staff, as well as many "soft money" employees — those hired to work on specific grants and contracts, and paid by those grant and contract funds. UMS employees and students gain valuable on-the-job training and experience, and may then contribute to the employment base within these sectors after completion of the grants or graduation. Grant and contract revenue is a strong contribution to this workforce development. UMS counts employees involved in this activity, and will continue to pursue the growth in employment numbers related to growth in grant and contract activity. Non-student employees are tracked as full-time equivalents (FTEs) based on a 40-hour/52-week work year. Student employees, tracked by head count, generally work fewer than 20 hours per week during the academic year.

Grant and contract revenue also is an important source of funding for students' salary, tuition and other types of support, allowing many research-active students to offset their cost of education while getting valuable skills and on-the-job experience,

positioning them well to be leading contributors to Maine's key growth sectors.

### **Success and Strategic Impact**

By investing MEIF funds in researchers, facilities and matching for grants, UMS has attracted more than \$340 million over the last five years in federal and private-sector grants and contracts related to the seven strategic research areas. This funding directly results in Maine products and technologies, such as biofuels, pulp and paper products, biomaterials and bridges, new potato varieties, aquaculture technologies, offshore wind hulls and software, which lead to improvements in Maine's industries.

### **Return on Investment**

Each year, the power of the state's MEIF appropriation is expanded by tens of millions of dollars in federal and private funds for important research, development and commercialization. The University of Maine as the state's land grant, sea grant and space grant institution utilizes its long-established research capacity and infrastructure to attract the majority of these external funds.

Other UMS schools continue to build and partner within federal and private-sector grants and contracts.

### **Developing Workforce and Creating Jobs**

Five hundred plus full-time equivalent jobs are funded in Maine through the grants and contracts leveraged and expended related to MEIF. These positions include faculty, technicians and research staff. Currently 1,221 graduate and undergraduate students are funded for their involvement in research, development and commercialization. This student involvement in research, development and commercialization projects is comparable to an internship and gives students great real-world experience as well as life-long networks and connections.

Table 4-A FY2020

MEIF Target 4 — Workforce Development	Wages Paid from MEIF	Wages Paid from External Grants/Contracts	Totals
Number of Faculty and Staff Supported (FTE = Full-Time Equivalent)	156	418.95	574.95
Number of Graduate Students Supported (Headcount)	17	445	462
Number of Undergraduate Students Supported (Headcount)	91	668	759

Table 4-B

### **Graduate and Undergraduate Student Costs Paid from Grants and Contracts**

	FY2016	FY2017	FY2018	FY2019	FY2020
Student Salaries and Wages from Grants and Contracts	\$5,255,861	\$4,957,536	\$4,853,956	\$6,361,381	\$6,869,073
Student Tuition Paid by Grants and Contracts	956,963	870,787	795,339	916,618	\$1,384,425
Student Fellowships Paid by Grants and Contracts	197,744	233,111	373,118	457,884	\$422,111
Student Health Insurance Paid by Grants and Contracts	247,960	203,406	214,000	298,386	296,807
<b>Total Soft Money Student Support</b>	<b>\$6,658,528</b>	<b>\$6,264,840</b>	<b>\$6,236,413</b>	<b>\$8,034,269</b>	<b>\$8,792,417</b>

FY2019–FY2020 Change 12%

2020 Annual Report 7

## MEIF Success Stories

### MEIF in FY2020: Responsiveness and Resilience

The Maine Economic Improvement Fund has been a critical driver of R&D at Maine's public universities for the last 23 years, helping to establish and sustain infrastructure and expertise to support and grow Maine's seven sectors.

FY2020, defined largely by the COVID-19 pandemic, did not represent a typical year for the State of Maine or the University of Maine System.

The story of FY2020, for both our state and our university system, is one of responsiveness and resilience. Thanks to ongoing investment in our facilities and programs, including MEIF, Maine's public universities have been able to mount a robust response to many challenges the public health crisis has brought to our state. Our commitment to advance research and economic development for the benefit of all Maine people will bolster Maine's resilience in responding to the myriad effects of the pandemic, across sectors, in the coming months and years.

Events of the past year have highlighted the important role Maine's public universities play in supporting the state's major economic sectors at all times, with this crisis serving to reinforce the universities' existing bonds with our communities, and forge new ones.

As significant as the pandemic's impact has been, it did not define 2020. Campus research activities persisted, enjoying significant growth at UMaine and showing the resilience of the university's research enterprise in the face of an unprecedented challenge. As with our ability to respond to needs related to the pandemic, our ability to sustain our research commitment is thanks to years of investment coupled with strategic emphasis on the growth and development of the research enterprise and its resulting impact on Maine and beyond.

Following are stories that bear out these themes, some focused on COVID-19 response efforts, others sharing progress in key research areas focused on Maine.

#### ■ Covid-19 Response

While COVID-19 interrupted the 2020 spring semester, forcing us to empty campuses and pivot swiftly to a remote learning model, the ongoing pandemic has offered unique opportunities for collaboration with the State of Maine and within our campus communities.



University of Maine System COVID response efforts are governed by an umbrella agreement between the University of Maine System and the Maine Emergency Management Agency (MEMA) that allows the system to provide goods and services to Maine health care facilities and agencies as coordinated by MEMA.

These systemwide efforts have taken many forms since the start of the

pandemic, many advanced by a UMaine-led rapid-response innovation team that brought together university researchers and staff, representatives from health care and government and community partners. All have relied on the expertise and infrastructure available at Maine's public universities.

### ■ Hand sanitizer a signature effort

In the early days of the public health crisis, UMaine's pilot-scale pulp and paper research facility was at the center of efforts to manufacture hospital-grade hand sanitizer and produce large batches of fit-test chemicals. The Process Development Center (PDC), part of UMaine's department of Chemical and Biomedical Engineering, helped health care centers avert a supply crisis by making and delivering locally made hospital-grade hand sanitizer in the face of global shortages.

With its existing capacity for commercial-scale products and chemical engineering processes, the facility was able to pivot swiftly to scale up production of hand sanitizer to meet urgent early needs. From there, the center partnered with Maine's craft distillers and brewers to obtain a steady supply of ethanol, and then helped distillers ramp up their own production to form an in-state supply chain. Maine-made sanitizer was able to meet health care needs and beyond, buoying Maine's brewing and craft distilling industries at a time of great uncertainty. More than 3,000 gallons of sanitizer was produced on the UMaine campus alone and distributed to more than 100 health care facilities.

The PDC's capacity and expertise also proved useful in response to an urgent request from the Maine Center for Disease Control and Prevention. The agency needed chemical solutions used to fit medical workers with N95 masks, a key piece of personal protective equipment (PPE), and was facing a national shortage of fit-testing kits and test solutions.

Chemical solutions with a distinctive taste or odor are used in the N95 fitting process to ensure that the mask forms a tight seal with the wearer's face and keeps contaminated air out. In May and June, UMaine delivered more than 4,200 bottles of fit-testing solutions for Maine CDC to distribute to the Maine National Guard and partner agencies that conduct the tests.





## MEIF Success Stories



### ■ Aiding manufacturers

The Advanced Manufacturing Center (AMC) — UMaine’s manufacturing business and engineering support and service center — has also been busy in response to COVID-19. The center is dedicated to promoting economic and workforce development and was established to provide a high-level technical resource that would be readily accessible to businesses, entrepreneurs, students and researchers throughout Maine.

In the COVID-19 era, this mission has taken on new meaning as AMC has served Maine manufacturers and other sectors in unexpected ways.

Since the pandemic started, AMC has provided design, prototyping and materials testing services for a variety of companies looking to respond to shortages and emerging needs.

The center has helped a number of Maine companies, including L.L.Bean and Strainrite, gauge the particle filtration properties of different types of material they intended to use to make face coverings. As part of this effort, the center tested in excess of 100 different types of material, everything from basic cotton t-shirts to technical fabrics.

In some cases, this work has expanded beyond initial testing. AMC has worked closely with Hermon-based Ntension as the company leveraged existing fabric manufacturing capacity to develop a general use mask that could be used in certain health care settings. Ntension, which supplies masks to Northern Light Health, is exploring creation of an automated medical product line, and has continued to work with the AMC on product development and process improvements as they begin to build capacity and pursue FDA approval for their masks.

In a similar vein, the AMC has also tested N95 masks before and after different sterilization treatments to ensure the filtering performance has not been degraded, part of an effort to support hospitals exploring the limited reuse of PPE.

AMC also assisted Maine plastics manufacturers with new products, including evaluating prototype designs for clear plastic face shields that were eventually produced by the hundreds of thousands in Maine.



A request from MaineHealth led to AMC prototyping two designs for “aerosol boxes” that can be used to protect medical workers during transportation and intubation procedures in patients suspected to have COVID-19. AMC’s designs, developed in coordination with UMaine biomedical engineering researchers and with help from the Maine Manufacturing Extension Partnership, were tested in area hospitals and refined based on feedback from the front lines. Both variations of the boxes were manufactured in Maine for Maine hospitals.

Since late summer, the AMC has been a key partner in a sweeping project aimed at helping Maine’s manufacturing sector weather the ongoing economic effects of the pandemic.

The COVID Countermeasures Project is a collaborative effort that marries the AMC’s product and process development and research expertise with services provided by the Maine Manufacturing Extension Partnership (MMEP) and the Manufacturers Association of Maine (MAME), two regional trade organizations. Supported by \$286,000 in CARES Act funding and a \$100,000 grant from the Maine Technology Institute, they have surveyed more than 250 companies about impacts related to the pandemic and are conducting 50 in-depth assessments for companies that requested additional support. From these assessments, the group is developing a series of customized remediation projects to solve individual challenges.

It’s a big lift for a critical sector that accounts for more than 54,000 Maine jobs and a \$5.9 billion share of the state’s GDP. Projects run the gamut from marketing assistance to engineering work and draw on the expertise of a statewide network of consultants, including AMC.

Through it all, AMC’s regular support services to Maine manufacturers have continued, sometimes taking on new urgency as the center helps companies respond to pandemic-related needs.

For example, when Enercon Technologies in Gray, a precision contract manufacturer specializing in medical, life sciences, military and industrial devices, was asked by a national client to swiftly ramp their production to support the COVID-19 testing effort, they turned to AMC for solutions. The center designed and built an automated, robotic system that allows around-the-clock production with minimal operator intervention so the company could generate what was previously a year’s worth of production on a monthly basis.

### ■ Research expertise key

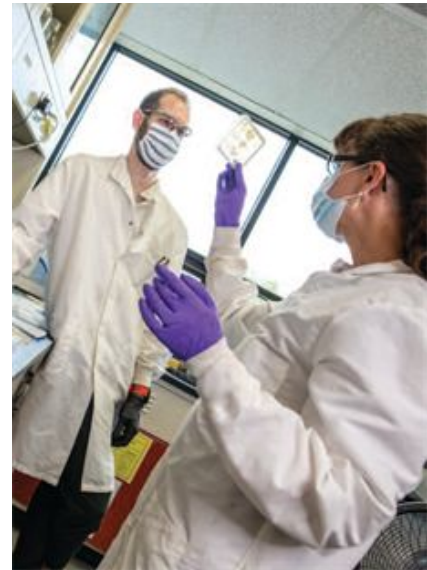
From providing expert counsel to Maine's health care community on decontamination and sterilization of PPE to supplying public health briefing documents to Bangor Public Health that help the municipality and its partners navigate the epidemic, university researchers and their students have provided essential community support.

As part of its mission to stay fully abreast of fast-breaking scientific developments in areas relevant for universities and the pandemic, including testing, contact tracing and vaccine development, the UMS COVID-19 Science Advisory Board is another valuable resource that supports not only the university community, but also shares knowledge with benefit for Maine at large.

Established by Chancellor Dannel Malloy and chaired by University of Maine President Joan Ferrini-Mundy, the council comprises faculty members from UMaine and USM and draws support from other UMS researchers involved in task groups and subcommittees. The team provides evidence-based guidance to inform UMS planning efforts and also has presented to the Maine Legislature and other groups.

In addition to public health support, UMaine has also worked with government partners in an effort to mitigate the economic impact of prolonged shutdowns related to the pandemic.

Andrew Crawley, an assistant professor of regional economic development with the UMaine School of Economics, and six graduate students are collaborating with the State Economist's Office to develop forecasts for how much COVID-19 will affect Maine's economy. They are building models to evaluate the possible loss in tourism spending, travel-related spending, cruise ship spending, state revenues and overall sectoral output changes. The forecasts will also include prospects for recovery.



### ■ Extending a hand to growers and producers

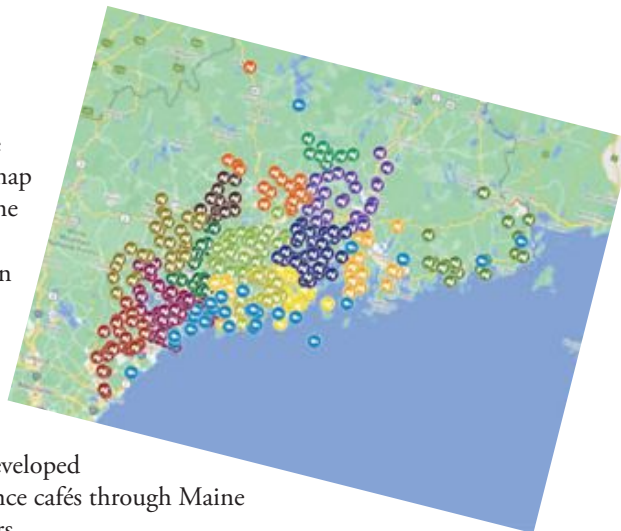
The University of Maine Cooperative Extension's mission to put university research to work in homes, businesses, farms, and communities in every corner of Maine has been especially critical in the face of uncertainty created by the pandemic.

An early and visible Extension response effort was the development of a database that connects producers with retail customers looking to purchase local food. Allison Lakin, owner of East Forty Farm and Dairy, and Lakin's Gorges Cheese in Waldoboro, first conceived the idea when business from restaurant clients declined as the pandemic forced eateries to close. Lakin developed an initial spreadsheet and worked with the Extension team to expand the list of producers offering alternative pickup options for Maine meat, seafood, produce and other items.

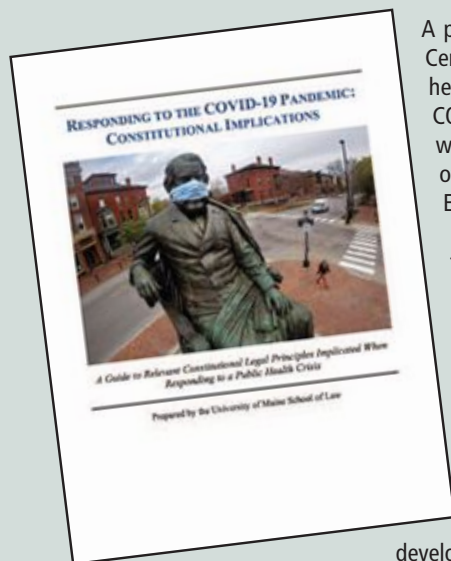
Launched in late March 2020, the database is hosted on the University of Maine Extension website as both an interactive map and a searchable spreadsheet and contains more than 400 Maine producers.

UMaine Extension has also worked closely with producers in other ways, developing fact sheets, FAQ documents and other information for Maine's agricultural community, surveying producers to gauge their needs and concerns, and hosting weekly online meetings for farmers to connect and share information.

To support the wider community, UMaine extension has developed educational materials for distance learning, offered virtual science cafés through Maine 4-H, and provided new resources for home cooks and gardeners.



### ■ Maine Law interns assisting economic recovery efforts



A partnership among Maine Law, the Maine Regulatory Training and Ethics Center (MeRTEC), and the Maine Small Business Development Center (SBDC) is helping Maine's small business community navigate the complex world of COVID-19 regulations and guidance. The work is built upon a USM collaboration with the Greater Portland Chamber of Commerce, the Greater Portland Council of Governments, the Maine Small Business Development Centers, the Maine Economic Improvement Fund, and the University of Maine School of Law.

Under the supervision of Professors Andrew Kaufman and Ross Hickey, two recent Maine Law graduates prepared weekly newsletters on a variety of business and regulatory topics in multiple sectors, including restaurants, food service, tourism and hospitality, and retail. These newsletters were distributed to the SBDC's broad network of small business advisors around the state, as well as to the Volunteer Lawyers' Project recently launched Small Business Clinic. The partnership continued through the fall with the help of current law students, who also assisted in responding to questions raised by business owners.

Beginning in June 2020, four MEIF-supported interns also assisted the Governor's Economic Recovery Committee (ERC) that is charged with developing specific policy recommendations to stabilize the state's economy and

build a bridge to future prosperity in the wake of the COVID-19 pandemic. The quartet of law school interns assisted in managing all affairs of the subcommittees and supported subcommittee chairs and lead staff to meet goals and deliverables. They also played active roles in supporting the ERC in drafting the Committee Report on Economic Support and Stabilization Recommendations shared with Governor Mills on July 15, 2020.

In addition, two law students under the supervision of Professors Dmitry Bam and Jeff Thaler researched and drafted "Responding to the COVID-19 Pandemic: Constitutional Implications: A Guide to Constitutional Legal Principles Implicated When Responding To A Public Health Crisis." The guide explores how restrictions implemented to "flatten the curve" of the COVID-19 pandemic relate to constitutional issues, procedural and substantive due process issues, and infringements on rights related to restrictions on business operations and gathering sizes. The analysis in this guide is intended for legislators, governors and their staffs, as well as lawyers and non-lawyers.

Funding for all these initiatives and internships has been provided by the Maine Economic Improvement Fund (MEIF).



**MEIF supports the research that matters to Maine. In the pages that follow, learn more about some notable ongoing initiatives by sector that support R&D and economic development for state benefit.**

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### ■ Advanced Technology for Forestry and Agriculture

UMaine research supports innovation and resilience in Maine's heritage industries. Work related to agriculture and forestry serves growers, landowners and businesses across the state in myriad ways, helping them solve operational problems and introduce new technologies to drive efficiency.

Many Maine communities have felt the effects of declining paper industries. In order to revitalize the economies of these towns across the state, it is crucial to find alternative and innovative uses for the mills and resources that are currently underutilized.

The University of Maine's Forest Bioproducts Research Institute is leading work that addresses this issue and breaking new ground in the development of a variety of bioproducts made from woody biomass from Maine forests.

UMaine is nationally recognized for research into nanocellulose and biofuels, and recent federal funding will allow FBRI to complete significant upgrades to its Technology Research Center (TRC) in Old Town, Maine, and Process Development Center (PDC) on campus to bolster ongoing efforts to create new bioproducts, increase production and find uses for woody biomass materials typically considered waste. Investment in FBRI's pilot-scale infrastructure will help institute researchers simulate the commercial-scale production of a variety of biobased goods, particularly biomass-derived jet fuel and diesel, and expand nanocellulose production.

FBRI is actively engaged with Maine's forest industry stakeholders and is a key collaborator in Forest Opportunity Roadmap / Maine (FOR/Maine), a coalition focused on identifying new markets for Maine wood products and advancing technology innovations to commercialize new uses of wood.





Turning to agriculture, ongoing UMaine wild blueberry research is helping to address pests, improve fruit quality and yield, and explore the impact of climate warming on one of Maine's major agricultural industries. Researchers have uncovered promising foliar fertilizer products and are testing mulching and biochar as drought, warming, and pest management tools. The UMaine Cooperative Extension wild blueberry team — a group of extension specialists and researchers who do field and lab work directly with growers, graduate students, other researchers in the U.S. and Canada, and the Wild Blueberry Commission of Maine — dispenses research-based knowledge directly to farmers.



Integrated pest management research is also key to sustaining Maine's \$500 million potato industry, providing support to growers through field monitoring, disease forecasting, and distribution of educational materials that can offer specific and timely strategies in order to minimize pesticide applications and maximize potato yield. UMaine's leading potato-breeding program continues efforts to develop attractive, highly productive disease- and insect resistant potato varieties that can be employed by small and large producers to enhance marketing opportunities, farm sustainability and profits. It takes 12 to 14 years to develop a new potato variety, and in recent years UMaine's breeding program has released several varieties, including the Caribou Russet, which has white flesh and lightly russeted skin, and the Pinto Gold, a yellow-flesh gourmet potato.

## ■ Aquaculture and Marine Sciences

As with agriculture and forestry, research supporting Maine's diversifying marine economy is a major area of focus. Anchored by lobstering, this sector also includes fishing, rapidly expanding aquaculture, life sciences, and value-added processing. UMaine is a key collaborator in statewide efforts to develop an industry-led roadmap and action plan for economic growth and greater resiliency, a three-year project that will provide strategies to match Maine's marine-related products with global markets and develop strategies to attract investment in new markets; identify new opportunities and barriers to value-added production; seek ways to maximize efficiencies and returns across the seafood value-chain; and address current and future workforce challenges in Maine's marine resource economy.

Over the past decade, Maine has seen 2.2% annual growth in aquaculture, which has had an overall economic impact of \$140 million annually.

Aquaculture research at UMaine is helping to pave the way for the growth of sustainable aquaculture in the state, addressing challenges and providing support for innovation. Researchers are collaborating with aquaculture industry and community partners in several areas, including new aquaculture opportunities, accelerating the development of collaborative networks to support aquaculture growth, and exploring gaps in social, behavioral and economic knowledge relating to aquaculture and communities it impacts and serves. A Maine Aquaculture Hub, coordinated by Maine Sea Grant, is working to build capacity for industry-driven innovation, diversification and workforce development. The hub will help the aquaculture industry overcome barriers associated with commerce, permitting and policies, new species, production systems, and seafood safety and quality. A new sustainable aquaculture certificate program aims to prepare students to become competent in a wide range of aquaculture fields, such as husbandry, recirculating and hatchery systems, and aquatic animal health. Through this program's experiential





curriculum and industry internship, students develop the technical skills to work in diverse professional environments. The internship provides 12 weeks of experience at a range of industry sites throughout the state and significantly expands career opportunities. Open to all applicants with at least a high school degree, this low-cost program was designed to address aquaculture industry workforce and extension needs in Maine by facilitating alternative career opportunities.

Adding to these efforts, an Aquaculture Experiment Station has been established by the University of Maine Aquaculture Research Institute (ARI), in partnership with the U.S. Department of Agriculture Agricultural Research Service (ARS) and Auburn University. This cooperative agreement is a commitment to an ongoing conversation between researchers and the aquaculture industry to increase sustainable production and industry stability.

Business incubation facilities at UMaine's Center for Cooperative Aquaculture Research in Franklin and the Darling Marine Center in Walpole support the growth of aquaculture businesses in Maine by offering pilot-scale, land-based research and culture facilities, office space, and direct access to university experts. Not only can entrepreneurs take advantage of research expertise, but also business counseling and support services and access to talent, including interns.

UMaine researchers are project leaders in the \$2 million Sea Grant American Lobster Initiative to understand physical and chemical changes affecting American lobster in the Gulf of Maine. The initiative addresses critical gaps in knowledge about American lobster responses to environmental change and how to provide opportunities to increase economic resilience and adaptation in the lobster fishery. Researchers are working to facilitate partnerships, communication and collaboration among the lobster industry, management agencies and lobster scientists throughout the region and help to ensure that coastal communities benefit from the funded research. "The Sea Grant American Lobster Initiative will target critically important areas of concern for our most valuable fishery," said Carl Wilson, director of the Maine Department of Marine Resources Science Bureau. "It will also reinforce and amplify efforts in Maine, and regionally, to ensure the resilience of the resource, and the ability of managers to adapt to changes in the dynamic marine environment."



Ongoing research at the University of Maine Machias funded through the MEIF Small Campus Initiative on has examined the effects of ocean acidification on commercially important, calcified marine organisms, such as lobsters, crabs, clams, mussels and scallops — a global problem that has implications for healthy, sustainable wild and cultured fisheries in Maine. Recently published results from three years of field experiments led by researchers at UMM and the Downeast Institute (UMM's marine science field station in Beals, Maine) showed that spreading clam and oyster shells on the mudflats in an effort to counteract the effects of coastal acidification does not increase numbers of juvenile clams and quahogs, but found that efforts to exclude predators (such as invasive green crabs) led to improved density of both bivalve species. The findings have practical application for fisheries managers in Maine who can focus attention on mitigating effects of predators in order to enhance clam populations.

At USM, MEIF is supporting feasibility research to understand the specific needs of the fishing industry/economy in Maine, and how the university could support those needs.

Eighty-three stakeholders representing commercial fishing, tourism and sport fishing, aquaculture, marine biology, processing, and other groups were interviewed about their biggest challenges, their workforce needs, and what they think impedes expansion of the fishing industry/economy in Maine.

Participants reported that the biggest challenges facing the industry are climate change, regulations, lack of government support, and lack of skilled workforce. They also cited the need for better coordination among business, government, and education/research.

Recommendations for USM include developing more USM faculty expertise in fishing industry, offering more incubator/accelerator business development spaces, developing a relationship with Gulf of Maine Research Institute to offer programs, designing a cross-disciplinary minor in fisheries and aquaculture business, developing fishing industry business counseling expertise at Maine SBDC, and establishing a business support unit staffed by USM business practicum students at the New England Ocean Cluster in Portland. MEIF will work with faculty to explore how to integrate these findings into initiatives and programs at USM.

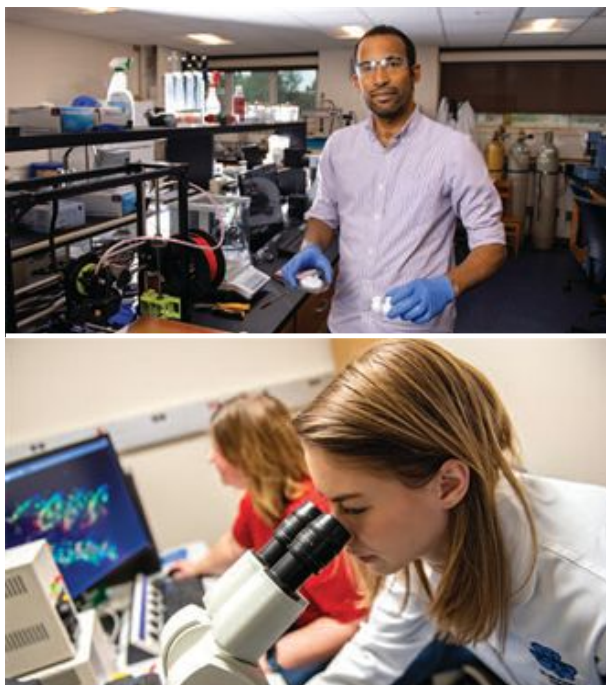
## ■ Biotechnology

Life sciences are a rapidly expanding industry in Maine, with life science job growth of 14 percent for the five years ending in 2019 according to the Bioscience Association of Maine. UMaine is among the state's largest life science employers, and research from the university further helps to drive industry growth.

The University of Maine's MIRTH accelerator program, designed to help advance research from the lab to the marketplace, has recently supported two promising made-in-Maine biomedical innovations.

One, a nanocellulose composite material for use in orthopedics, promotes the growth of strong natural bone while safely dissolving over time, eliminating the need for metal devices that can be expensive, dense, stiff, prone to infection, and often require costly follow-up surgeries for removal. The nanocellulose composite developed at UMaine, by contrast, is a cost-effective, customizable, resorbable, porous platform biomaterial with the potential to help optimize the healing process for patients. It could be used as a synthetic bone, surgical bone scaffold, or bone grafting implement, designed for dissolution and gradual replacement with native bone cells.

A second product draws on the wound-healing properties of bioactive compounds found in Maine wild blueberries. Two classes of compounds extracted from wild blueberries — anthocyanins and phenolic acids — that have documented benefits in the treatment of chronic diseases and UMaine researchers are developing a biomedical product prototype with embedded bioactive compounds for the commercial marketplace.



## ■ Composites and Advanced Materials Technologies

Maine's reputation as a hub for the development of composites and advanced materials only grew in FY2020 with the debut of the world's largest 3D printer at the UMaine Advanced Structures and Composites Center (ASCC). The center now claims three Guinness World Records for the world's largest prototype polymer 3D printer, largest solid 3D-printed object, and largest 3D-printed boat.

Beyond the record books, ASCC research is helping to advance composite manufacturing and use in Maine and support markets for products from other Maine economic sectors.

The UMaine ASCC and the Department of Energy's Oak Ridge National Laboratory (ORNL) in Tennessee are advancing efforts to 3D print with wood products, creating a new market for Maine's forest products industry.

The \$20 million project supports fundamental research in key technical areas in large-scale, biobased additive manufacturing, as well as efforts to produce new biobased materials conducive to 3D printing of large, structurally demanding systems. The research is focused



on cellulose nanofiber (CNF) production, drying, functionalization and compounding with thermoplastics, building on UMaine's leadership in CNF technology and extrusion research. By placing CNF from wood into thermoplastics, bioderived recyclable material systems can be developed with properties that may rival traditional materials, possibly even metals. CNF's incorporation into plastics shows great promise for a renewable feedstock suitable for additive manufacturing.

The collaboration provides students, faculty and companies associated with UMaine's Advanced

Structures and Composites Center access to ORNL's assets and expertise in advanced manufacturing. ORNL researchers, in turn, gain access to UMaine's facilities and expertise in CNF and composites. A key goal of the partnership is to strengthen regional manufacturing by connecting university-industry clusters with DOE's Manufacturing Demonstration Facility at ORNL.

## ■ Environmental Technologies

The release of Maine's Climate Action Plan in late 2020 lays out concrete action steps for Maine's goals to decrease greenhouse gas emissions by 45% by 2030 and 80% by 2050 and achieve carbon neutrality by 2045. More than 20 UMS researchers and staff are members of the Maine Climate Council subcommittees and working groups that developed Maine's plan, and UMS research and support will be essential to its successful implementation.

Clean energy innovation is central to the plan, and technology created at UMaine's Advanced Structures and Composites Center is driving the growth of offshore wind in Maine and beyond. The university's patented VoltturnUS floating hull technology will be deployed in a demonstration project off Monhegan Island and is slated to be used in a small-scale research array part of the ongoing Maine Offshore Wind Initiative announced by Gov. Mills in 2019.





The University of Maine will collaborate with New England Aqua Ventus, LLC (NEAV), a joint venture between Diamond Offshore Wind, a subsidiary of the Mitsubishi Corporation, and RWE Renewables, the second-largest company in offshore wind globally, to develop the Monhegan demonstration project. This project will deploy a single 9.5-10 MW turbine on VoltturnUS, the floating concrete semi-submersible hull designed by UMaine.

NEAV has pledged to involve Maine companies in permitting, construction and assembly, deployment, and ongoing operations and maintenance of the project. In addition, NEAV has committed to working with the University of Maine on research, development and design to take the technology elsewhere in the U.S. and the world. The concrete hulls are designed to be built in communities adjacent to potential projects, generating local construction jobs and other benefits during the building and assembly phase.

The demonstration project is projected to produce more than \$150 million in total economic output and create hundreds of Maine-based jobs during the construction period.

Expanding the use of green building products is another key focus area in Maine's Climate Action Plan. UMaine research into mass timber products, including cross-laminated timber (CLT), contributes to efforts to revitalize and diversify Maine's forest-based economy by bringing innovative mass timber manufacturing to the state of Maine. Construction materials incorporating nanocellulose also show great promise, and this is another area of ongoing research.

## Information Technologies

Information technologies are revolutionizing the way we interpret and solve a range of real-world problems and graduates with related skills will help build Maine's innovation economy. The recently announced University of Maine Artificial Intelligence Initiative aims to transform the state into a world-class hub for artificial intelligence research and education and develop AI-based solutions that enhance social and economic wellbeing in Maine and beyond.

Related research shows great promise for Maine's heritage industries, including forestry. UMaine researchers are leading a multidisciplinary regional project to compile data to better assess, understand and forecast complex forest landscape changes. An economically important and ecologically critical component of New England's working landscape, forests support biodiversity, conservation, recreation and a forest-based workforce. However, current and quality data on forest



health or tree species composition remains highly varied, inconsistently available, and relatively coarse in resolution. UMaine researchers, working with teams from the University of New Hampshire and the University of Vermont, are building a digital framework that integrates, analyzes and visualizes complex data streams across the region's vast forest. The project integrates emerging computational, monitoring, remote sensing and visualization technologies that will provide comprehensive spatial and temporal measurements of the forest that can be readily accessed by scientists, land managers and policymakers.

At USM, the Community Research Assistantships program conducted by the Data Innovation Project matches graduate students to community-based organizations interested in improving their use of data, evaluation, and monitoring to achieve their organizations' missions.

In recent assistantships, USM students from the policy, planning, and management and public health programs were matched with five site organizations. Students were able to apply their skills in program evaluation/monitoring, logic models, performance measurement, public presentations, qualitative research methods, data visualization, and data dashboards in the real world. Community partners were left with an increased capacity to use data and a clear implementation path for using data in their work and strategic planning.

Notable successes include overhauling data dashboards, developing an evaluation plan, and facilitating a performance indicator workshop for MaineHealth's Access to Care program; and developing a new logic model, performance measurement framework, and data dashboard for Operation HOPE, a police-assisted addiction and recovery program at the Scarborough Police Department. One student was invited to continue as a consultant to help a community organization with ongoing data technology needs.



## ■ Precision Manufacturing

Modern, computer-controlled production and facilities are the future of manufacturing in Maine. The growth of this sector will rely on skilled workers trained on state-of-the-art systems and equipment and support for businesses integrating new systems and technologies.

UMaine's Advanced Manufacturing Center (AMC) is central to those efforts, helping businesses with custom, innovative solutions and training the workforce they need.

A key area of focus is making 3D metal printing accessible to Maine businesses at the Center for Additive Manufacturing of Metals (CAMM), based at the AMC. It is the only Maine facility currently offering these services, which focus on the process of fusing small metal particles together through 3D printing to form solid metal objects. The technology is ideal for creating small parts used in tooling or fixturing, and with CAMM's support Maine companies can experience the benefits of the emerging technology without risk, paving the way for their own adoption.

"Additive metal manufacturing represents an epochal shift in manufacturing technology on par with the advent of multi-axis machining in the 1980s," according to Larry Robinson, president of the Maine Manufacturing Extension Partnership. "In order for the technology to become widely adopted, there has to be a nascent infrastructure to scale from." CAMM's goal is to help companies develop that infrastructure, offering services that employ the latest advanced metal manufacturing technology and offer access to the AMC's full suite of machining and post-processing facilities, including CNC machining, turning, and surface finishing machines.

CAMM's funding comes from a nearly \$500,000 Maine Technology Institute (MTI) cluster initiative program grant, with matching funds from the university and 35 Maine companies, bringing the total to \$1 million. The funds also will be used as a partial match for a \$750,000 U.S. Economic Development Administration grant AMC received in FY2020 for equipment upgrades including a Desktop Metal FDM additive metal machine with testing equipment, 5-axis machining center, hybrid metal additive cell, wire EDM (electrical discharge machining), and 4-axis lathe with live tooling.

During the COVID-19 pandemic, CAMM has been a critical resource for Hermon-based manufacturer Ntension, developing a 3D-printed metal mold to make filter pods for half-face respirator masks that the company is developing.



## Appendix 1 — University of Maine System Intellectual Property

Table A1-1

### University of Maine System — Patents Applications FY2020

Title	Application Type	Filing Date	Inventor	Campus
DOPPLER RADAR BASED BEE HIVE ACTIVITY MONITORING SYSTEM	PCT	7/5/19	HERBERT AUMANN NURI EMANETOGLU	ORONO
NON-ORTHOGONAL ADDITIVE MANUFACTURING AND THE TREATMENT OF PARTS MANUFACTURED THEREOF	PCT	8/6/19	MATTHEW IRELAND JAMES ANDERSON *	ORONO
IMPROVED METHODS OF CANCER DETECTION	US - DIVISIONAL	9/20/19	ANDRE KHALIL * KENDRA BATCHELDER	ORONO
LIGNOCELLULOSIC FOAM COMPOSITIONS AND METHODS OF MAKING THEREOF	US - PROVISIONAL	10/29/19	ISLAM HAFEZ SEYED ALI HAJI MIRZA TAYEB AILEEN CO MICHAEL MASON * MEHDI TAJVIDI	ORONO
TUNED MASS DAMPER FOR FLOATING STRUCTURES	PCT	11/4/19	ANDREW GOUPEE HABIB DAGHER * ANTHONY VISELLI CHRISTOPHER ALLEN	ORONO
PARASITE TREATMENT COMPOUND	US (PCT)	3/11/20	DEBORAH BOUCHARD * IAN BRICKNELL	ORONO
METHOD TO PRODUCE MARKET PULP AND PAPER WITH ENHANCED PROPERTIES	(PCT) US	4/8/20	MICHAEL BILODEAU * MARK PARADIS	ORONO
PARASITE TREATMENT COMPOUND	EP	4/9/20	DEBORAH BOUCHARD * IAN BRICKNELL	ORONO
MULTI-BODY FLOATING OFFSHORE WIND TURBINE FOUNDATION WITH HANGING STABILIZING MASS AND METHOD OF INSTALLATION	PCT	4/16/20	ANDREW GOUPEE HABIB DAGHER ANTHONY VISELLI * JACOB WARD CHRISTOPHER ALLEN	ORONO
PHENOLIC AND ANTHROCYANIN FRACTIONS FROM WILD BLUEBERRIES (VACCINIUM ANGUSTIFOLIUM) DIFFERENTIALLY MODULATE ENDOTHELIAL CELL MIGRATION	US (PCT)	4/28/20	PANAGIOTIS TSAKIROGLOU DOROTHY KLIMIS *	ORONO
IMPROVED FILAMENTS FOR 3D PRINTING	US	5/6/20	DOUGLAS GARDNER * JORDAN SANDERS LU WANG	ORONO
METHODS AND DEVICES FOR TREATMENT OF NEUROPATHY	US - PROVISIONAL	5/8/20	ROSEMARY SMITH KRISTY TOWNSEND *	ORONO
IMPROVED FILAMENTS FOR 3D PRINTING	EP	5/16/20	DOUGLAS GARDNER * JORDAN SANDERS LU WANG	ORONO
PATHOGEN COLLECTION AND HANDLING SYSTEM	US-PROVISIONAL	6/30/20	CAITLIN HOWELL * DANIEL REGAN	ORONO
Total 14				



Table A1-2

### University of Maine System — Patents Issued FY2020

Title	Patent Number	Country	Issue Date
ATTACHMENT OF A DEVICE TO A SUBSTRATE FOR OPERATION IN UNDER VARIABLE CONDITIONS	2545754	Germany, France, United Kingdom, European Patent	1/15/20
LIQUID MODULATED ANTENNA	9046405	United States	1/24/20
PROCESSING PHOTOREACTIVE MATERIALS WITH OPEN OPTICAL WAVEGUIDES	7050690	United States	1/24/20
NANOFIBRIL-POLYMER COMPOSITES	3022255	European Patent	2/12/20
ENERGY EFFICIENT PROCESS FOR PREPARING NANOCELLULOSE FIBERS	10563352	United States	2/18/20
METHODS OF CONTROLLING THE HYDROPHILICITY OF CELLULOSE	10,570,563	United States	2/25/20
METHODS OF CONSTRUCTION, ASSEMBLY, AND LAUNCH OF A FLOATING WIND TURBINE	ZL 2016800076915	China	3/10/20
HYBRID COMPOSITE MATERIAL SYSTEMS FOR OFFSHORE FLOATING PLATFORMS	10598155	United States	3/24/20
PROCESS FOR IMPROVING THE ENERGY DENSITY OF FEEDSTOCKS USING FORMATE SALTS	2670819	European Patent	4/29/20
STYLIZED ADAPTIVE MOBILITY DEVICE	10667979	United States	6/2/20
EXPLOITING PCM ASYMMETRIES TO ACCELERATE WRITE	10-2127616	Korea, Republic of	6/23/20
BUOY WITH INTEGRATED MOTION COMPENSATION	3180238	European Patent	6/24/20
COMPOSITE BUILDING PRODUCTS BOUND WITH CELLULOSE NANOFIBERS	10695947	United States	6/30/20
<b>Total</b>			<b>76</b>
United States			11
Non-U.S.			65
University of Southern Maine			3
University of Maine			73

## Appendix 2 — Maine Economic Improvement Fund Financial History and Tables

Table A2-1

### A History of Legislative Actions on Appropriating State Research Funds

The following is a summary of the actions of the 118th–129th (first regular session) Maine Legislature with regard to appropriating research and development funds to the University of Maine System.

#### 118th LEGISLATURE

**March 26, 1997:** Governor signed into law the Economic Improvement Strategy (Chapter 24) that appropriated \$500,000 to UMS for research.

**April 1, 1998:** Governor signed into law the Economic Improvement Strategy (Chapter 643, Part LL, Sec. S-3) that appropriated \$4 million to UMS for research. These funds were allocated from the FY1998 year-end state surplus for use in FY1999.

#### 119th LEGISLATURE

**March 15, 1999:** Governor signed into law the Part I Current Services budget (Chapter 16) that appropriated \$4 million in 1999–2000 and 2000–01 to UMS on a “base budget” basis for research. This extends the one-time FY1999 \$4 million research appropriation that was funded from the FY1998 year-end state surplus.

**June 4, 1999:** Governor signed into law the Part II Supplemental Appropriation budget (Chapter 401) that appropriated an additional \$5.55 million in 1999–2000 and an additional \$50,000 in 2000–01 to UMS on a “base budget” basis for research.

**April 25, 2000:** Governor signed into law the Part II Supplemental Appropriation budget (Chapter 731) that appropriated \$300,000 in 2000–01 to UMS on a “base budget” basis for the Maine Patent Program.

#### 120th LEGISLATURE

**June 21, 2001:** Governor signed into law the Part II Supplemental Appropriation budget (Chapter 439) that appropriated an additional \$2 million in 2002–03 to UMS on a “base budget” basis for research.

**March 25, 2002:** Governor signed into law a deappropriation (Chapter 559) that reduced the FY2003 \$2 million Supplemental Appropriation by \$1 million.

**July 1, 2002:** Governor signed a Financial Order that curtailed the FY2003 \$2 million Supplemental Appropriation by an additional \$1 million. This eliminated the FY2003 increase of \$2 million for research, bringing the FY2003 research and development appropriation back to the FY2002 level of \$10.1 million.

**November 18, 2002:** Governor signed into law a Supplemental Appropriation budget (Chapter 714) that deappropriated the \$1 million curtailment that was signed July 1, 2002.

#### 121st LEGISLATURE

**March 27, 2003:** Governor signed into law the Part I Current Services budget (Chapter 20, Part RR) that appropriated \$100,000 in 2003–04 and 2004–05 on a “base budget” basis for research.

**January 30, 2004:** Governor signed into law a Supplemental Appropriation budget (Chapter 513, Part P, Sec. P-2) that includes a provision to transfer to MEIF up to \$2 million of any unbudgeted State revenue remaining at the close of FY2004. The full amount was subsequently transferred to UMS. This same Chapter 513, Part P, Sec. P-3 made the \$2 million part of the MEIF FY2005 base appropriation.

#### 122nd LEGISLATURE

**March 29, 2006:** Governor signed into law a Supplemental Appropriations budget (Chapter 519, Part A, Sec. A-1) that includes providing one-time funding of \$600,000 in FY2007 for the commercialization of research and development activity, and for the Gulf of Maine Ocean Observing System.

#### 123rd LEGISLATURE

**June 7, 2007:** Governor signed into law a budget (Chapter 240, Part A, Sec. A-68) that provides an increase of \$1.5 million in FY2008 and an additional \$1 million in FY2009 on a “base budget” basis for research.

#### 124th LEGISLATURE

**May 28, 2009:** Governor signed into law a budget (Chapter 213, Part A, Sec. A-67) that maintains the annual funding at the FY2009 level of \$14.7 million.

#### 125th LEGISLATURE

**June 15, 2011:** Governor signed into law a budget (Chapter 380) that maintains the annual funding at \$14.7 million. May 29, 2012: PUBLIC Law (Chapter 698) creates the formula funding for the Small Campus Initiative, reserving a percentage of MEIF exclusively for the five smaller campuses of the University of Maine System.

#### 126th LEGISLATURE

**June 10, 2013:** Governor signed into law (Chapter 225) an amendment to the MEIF statute to include Maine Maritime Academy as a MEIF-eligible small campus.

**June 26, 2013:** Legislature approved into law a budget (Chapter 368) that maintains the annual funding at \$14.7 million.

#### 127th LEGISLATURE

**June 30, 2015:** Legislature approved into law a budget (Chapter 267) that increases the annual funding by \$2.65 million in each year of the biennium.

#### 128th LEGISLATURE

**July 4, 2017:** Governor signs into law the state budget that maintains the annual funding at \$17.35 million (FY2017/FY2018).

#### 129th LEGISLATURE

**June 17, 2019:** Governor signs into law the state budget that maintains the annual funding at \$17.35 million (FY2018/FY2019)

Table A2-2

**Legislative History of MEIF New Appropriations****118th LEGISLATURE**

	<u>FY1998</u>	<u>FY1999</u>	<u>Total 2-Year</u>
UMaine	\$400,000	\$3,200,000	\$3,600,000
USM	100,000	800,000	900,000
Total	\$500,000	\$4,000,000	\$4,500,000

**119th LEGISLATURE**

	<u>FY2000</u>	<u>FY2001</u>	<u>Total 2-Year</u>
UMaine	\$4,440,000	\$40,000	\$4,480,000
USM	1,110,000	10,000	1,120,000
Total	\$5,550,000	\$50,000	\$5,600,000

**120th LEGISLATURE**

	<u>FY2002</u>	<u>FY2003</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
Total	\$0	\$0	\$0

**121st LEGISLATURE**

	<u>FY2004</u>	<u>FY2005</u>	<u>Total 2-Year</u>
UMaine	\$80,000	\$1,600,000	\$1,680,000
USM	20,000	400,000	420,000
Total	\$100,000	\$2,000,000	\$2,100,000

**122nd LEGISLATURE**

	<u>FY2006</u>	<u>FY2007</u>	<u>Total 2-Year</u>
UMaine	\$0	\$540,000	\$540,000
USM	0	60,000	60,000
Total	\$0	\$600,000	\$600,000

**123rd LEGISLATURE**

	<u>FY2008</u>	<u>FY2009</u>	<u>Total 2-Year</u>
UMaine	\$1,200,000	\$720,000	\$1,920,000
USM	300,000	180,000	480,000
S.C. Initiatives	0	100,000	100,000
Total	\$1,500,000	\$1,000,000	\$2,500,000

**124th LEGISLATURE20**

	<u>FY2010</u>	<u>FY2011</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
S.C. Initiatives	0	0	0
Total	\$0	\$0	\$0

**125th LEGISLATURE**

	<u>FY2012</u>	<u>FY2013</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
S.C. Initiatives	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**126th LEGISLATURE**

	<u>FY2014</u>	<u>FY2015</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
S.C. Initiatives	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**127th LEGISLATURE**

	<u>FY2016</u>	<u>FY2017</u>	<u>Total 2-Year</u>
UMaine	\$2,056,400	\$0	\$2,056,400
USM	514,100	0	514,100
S.C. Initiatives	79,500	0	79,500
<b>Total</b>	<b>\$2,650,000</b>	<b>\$0</b>	<b>\$2,650,000</b>

**128th LEGISLATURE**

	<u>FY2018</u>	<u>FY2019</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
S.C. Initiatives	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**129th LEGISLATURE**

	<u>FY2020</u>	<u>FY2021</u>	<u>Total 2-Year</u>
UMaine	\$0	\$0	\$0
USM	0	0	0
S.C. Initiatives	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Total Yearly Research Appropriations for FY2020****FY2019 Appropriation**

UMaine	\$13,289,194	76.6%
USM	3,290,306	19.0%
UMM	250,000	1.4%
UMFK	0	0.0
UMPI	0	0.0
UMA	0	0.0
UMF	0	0.0
UMS S.C. Init.	520,500	3.0
MMA	0	0.0
<b>Total</b>	<b>\$17,350,000</b>	<b>100.0%</b>

S.C. Initiatives ..... Small Campus Initiatives

University of Maine at Augusta ..... UMA

University of Maine at Farmington ..... UMF

University of Maine at Fort Kent ..... UMFK

University of Maine at Machias ..... UMM

University of Maine at Presque Isle ..... UMPI

Maine Maritime Academy ..... MMA

Table A2-3 Maine Economic Improvement Fund

## Utilization of FY2020 Research Appropriation by Targeted Sector

UMAINE	Source of R&D Funds					Utilization of R&D Funds					Balance
	Unused FY2020 R&D Initial	Unused R&D Funds from Prior Years As Reported	Adjustment To Prior Years Unused R&D Funds	Adjusted Unused R&D Funds From Prior Years	FY2020 R&D Funding Transfers	FY2020 Total R&D Funds Available	Transferred FY2020 R&D Actual Expenditures	Transferred To Match Grants & Contracts	Total Between R&D Accounts	Funds R&D Funds Utilized	Carried Forward To FY2021 <sup>1</sup>
Targeted Research Area											
Base Budget	\$1,990,830	\$(1,401,378)	\$-	\$(1,401,378)	\$-	\$589,452	\$2,535,879	\$280,706	\$(1,333,392)	\$1,483,193	\$(893,741)
Adv. Technology forestry & Agriculture	2,389,659	(2,516,483)	-	(2,516,483)	-	(126,824)	2,920,686	376,987	(2,352,268)	945,405	(1,072,229)
Aquaculture & Marine Science	1,142,687	(1,315,211)	-	(1,315,211)	-	(172,524)	1,894,423	201,906	(1,207,331)	888,998	(1,061,522)
Biotechnology	1,673,678	2,286,477	-	2,286,477	-	3,960,155	1,997,328	343,778	1,474,442	3,815,548	144,607
Composites	1,544,326	(646,096)	-	(646,096)	-	898,230	1,990,036	248,472	(956,602)	1,281,906	(383,676)
Environmental	1,893,809	(999,936)	-	(999,936)	-	893,873	2,999,032	63,242	(1,448,489)	1,613,785	(719,912)
Information Technology	1,475,256	327,580	-	327,580	-	1,802,836	2,099,336	33,609	(539,181)	1,593,764	209,072
Precision Manufacturing	1,178,949	(531,625)	-	(531,625)	-	647,324	1,167,715	153,700	(428,791)	892,624	(245,300)
Cross Sector	\$13,289,194	\$(4,796,672)	\$-	\$(4,796,672)	\$-	\$8,492,522	\$17,604,435	\$1,702,400	\$(6,791,612)	\$12,515,223	\$(4,022,701)
Total State Funding											
UM Cost Sharing Funding 2	6,791,612	-	-	-	-	6,791,612	-	-	6,791,612	6,791,612	-
Total Funding	\$20,080,806	\$(4,796,672)	\$-	\$(4,796,672)	\$-	\$15,284,134	\$17,604,435	\$1,702,400	\$-	\$19,306,835	\$(4,022,701)
<sup>1</sup> Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).											
<sup>2</sup> Salary and benefits from University.											
USM	Source of R&D Funds					Utilization of R&D Funds					Balance
	Unused FY2020 R&D Initial	Unused R&D Funds from Prior Years	Adjustment To Prior Years Unused R&D Funds	Adjusted Unused R&D Funds From Prior Years	FY2019 R&D Funding	FY2019 Total R&D Funds	Transferred FY2019 R&D Actual Expenditures	Transferred To Match Grants & Contracts	Total Between R&D	Funds R&D Funds Utilized	Carried Forward To FY2021 <sup>1</sup>
Forestry & Agriculture	\$-	\$187,070	\$-	\$187,070	\$802,718	\$989,788	\$746,926	\$90,319	\$-	\$837,245	\$152,543
Aquaculture & Marine	-	177,737	-	177,737	650,587	828,324	451,369	-	-	451,369	376,955
Biotechnology	-	17,547	-	17,547	273,670	291,217	246,806	-	-	246,806	44,411
Composites	-	890	-	890	(890)	-	-	-	-	-	-
Environmental	-	3,462	-	3,462	19,696	23,158	17,187	-	-	17,187	5,971
Information Technology	-	247,147	-	247,147	686,536	933,683	637,658	78,827	-	716,485	217,198
Precision Manufacturing	-	3,971	-	3,971	36,978	40,949	37,403	-	-	37,403	3,546
Cross Sector	-	258,225	-	258,225	961,429	1,219,654	1,013,050	-	-	1,013,050	206,604
Unassigned	3,290,306	478,282	-	478,282	(3,430,724)	337,864	-	-	-	-	337,864
Total State Funding	\$3,290,306	\$1,374,331	\$-	\$1,374,331	\$-	\$4,664,637	\$3,150,399	\$169,146	\$-	\$3,319,545	\$1,345,092

<sup>1</sup> Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).<sup>2</sup> At USM, projects are funded on a year to year basis with renewals contingent on performance. A majority of the unused funds carried forward into FY21 are committed to multi year projects.<sup>3</sup> Transfers for current year funding of USM R&D programs and awards from Unassigned. UM base budgets the MEIF appropriation by sector and thus does not use funding transfers.

Table A2-4 Maine Economic Improvement Fund

**FY2020 Summary Utilization of Operating Research Appropriation by University**

	Source of R&D Funds					Utilization of R&D Funds					Balance	
	FY2020 R&D Initial Base Budget	Unused R&D Funds from Prior Years As Reported	Adjustment to Prior Years Unused R&D Funds	Adjusted Unused R&D Funds from Prior Years	FY2020 R&D Funding Transfers <sup>3</sup>	FY2020 Total R&D Funds Available	FY2020 R&D Actual Expenditures	Transferred To Match Grants & Contracts	Transferred Between R&D Accounts <sup>2</sup>	Total R&D Funds Utilized	Unused Funds Carried Forward To FY2021 <sup>1</sup>	
UMAINE	\$13,289,194	\$(4,796,672)	\$-	\$(4,796,672)	\$-	\$8,492,522	\$17,604,435	\$1,702,400	\$(6,791,612)	\$12,515,223	\$(4,022,701)	
USM	3,290,306	1,374,331	-	1,374,331	-	4,664,637	3,150,399	169,146	-	3,319,545	1,345,092	
UMM	250,000	335,521	-	335,521	-	585,521	486,625	-	-	486,625	98,896	
UMFK	-	61,357	-	61,357	130,000	191,357	23,944	-	-	23,944	167,413	
UMPI	-	65,621	-	65,621	-	65,621	65,612	-	-	65,612	9	
UMA	-	85,130	-	85,130	(320)	84,810	84,809	-	-	84,809	1	
UMF	-	9,980	-	9,980	300,000	309,980	1,794	-	-	1,794	308,186	
UMS	520,500	49,451	-	49,451	(559,680)	10,271	17,999	-	-	17,999	(7,728)	
MMA	-	102,726	-	102,726	130,000	232,726	15,933	-	-	15,933	216,793	
Total State Funding	\$17,350,000	\$(2,712,555)	\$-	\$(2,712,555)	\$-	\$14,637,445	\$21,451,550	\$1,871,546	\$(6,791,612)	\$16,531,484	\$(0,894,039)	

<sup>1</sup> Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).<sup>2</sup> UM Cost Sharing.<sup>3</sup> Inter-unit R&D funding transfers related to FY2020 MMA and Small Campus Initiative (SCI) awards.





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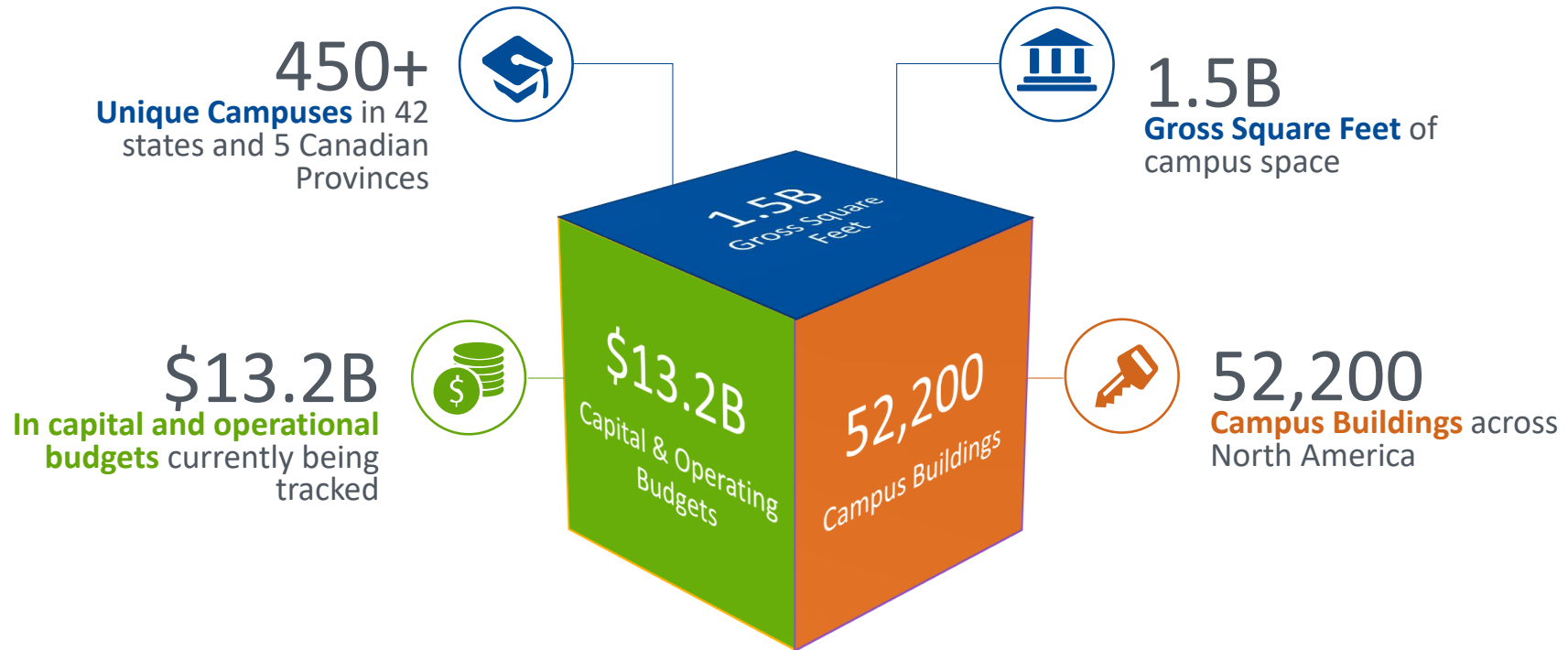
# The University of Maine System FY20 Return on Physical Assets Final Presentation

March 22, 2021

University of the Sciences in Philadelphia  
University of Toledo  
University of Vermont  
University of Washington  
University of West Florida  
University of Wisconsin - Madison  
Vanderbilt University  
Virginia Commonwealth University  
Wake Forest University  
Washburn University  
Washington State University  
Washington State University - Tri-Cities Campus  
Washington State University - Vancouver  
Washington University in St. Louis  
Wayne State University  
Wellesley College  
Wesleyan University  
West Chester University  
West Virginia Health Science Center  
West Virginia University  
Western Oregon University  
Westfield State University  
Widener University  
Williams College  
Worcester Polytechnic Institute

## Gordian and Sightlines

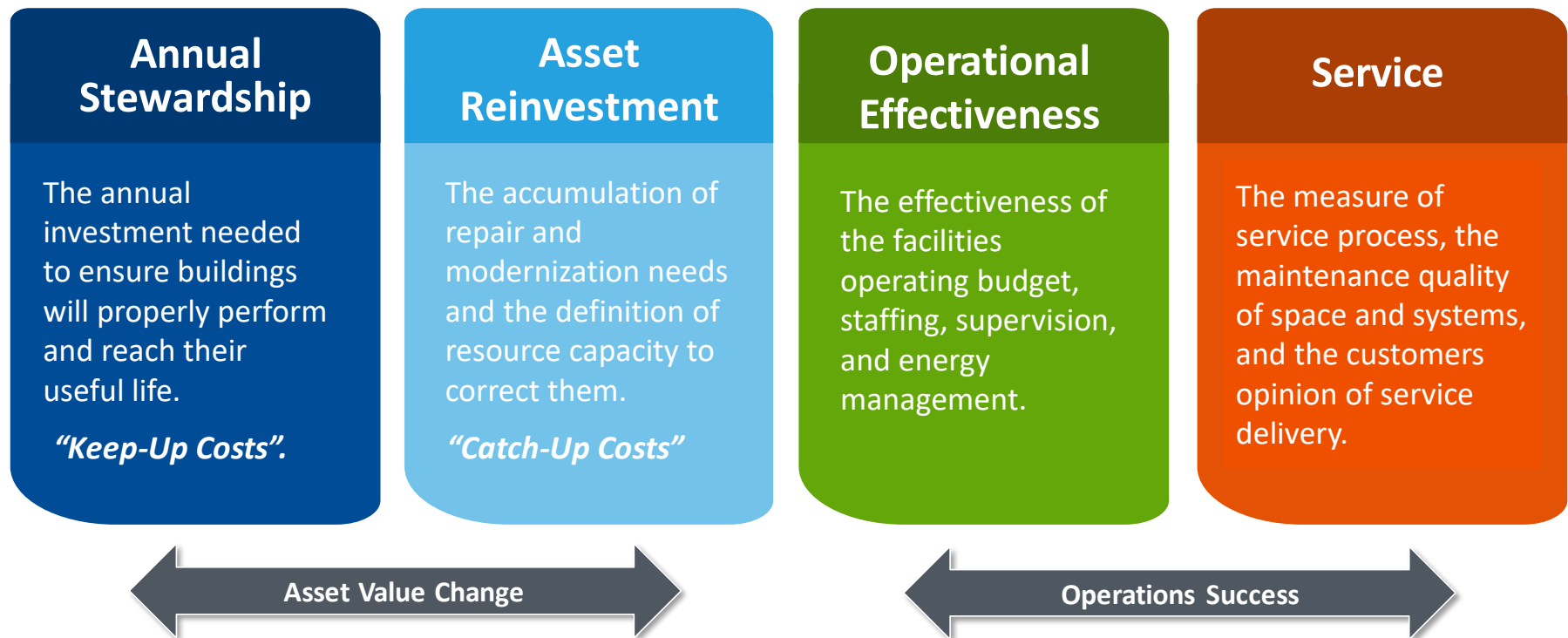
Owners of the largest verified facilities database in higher education



Sightlines members serve **over 20%** of US College Enrollment

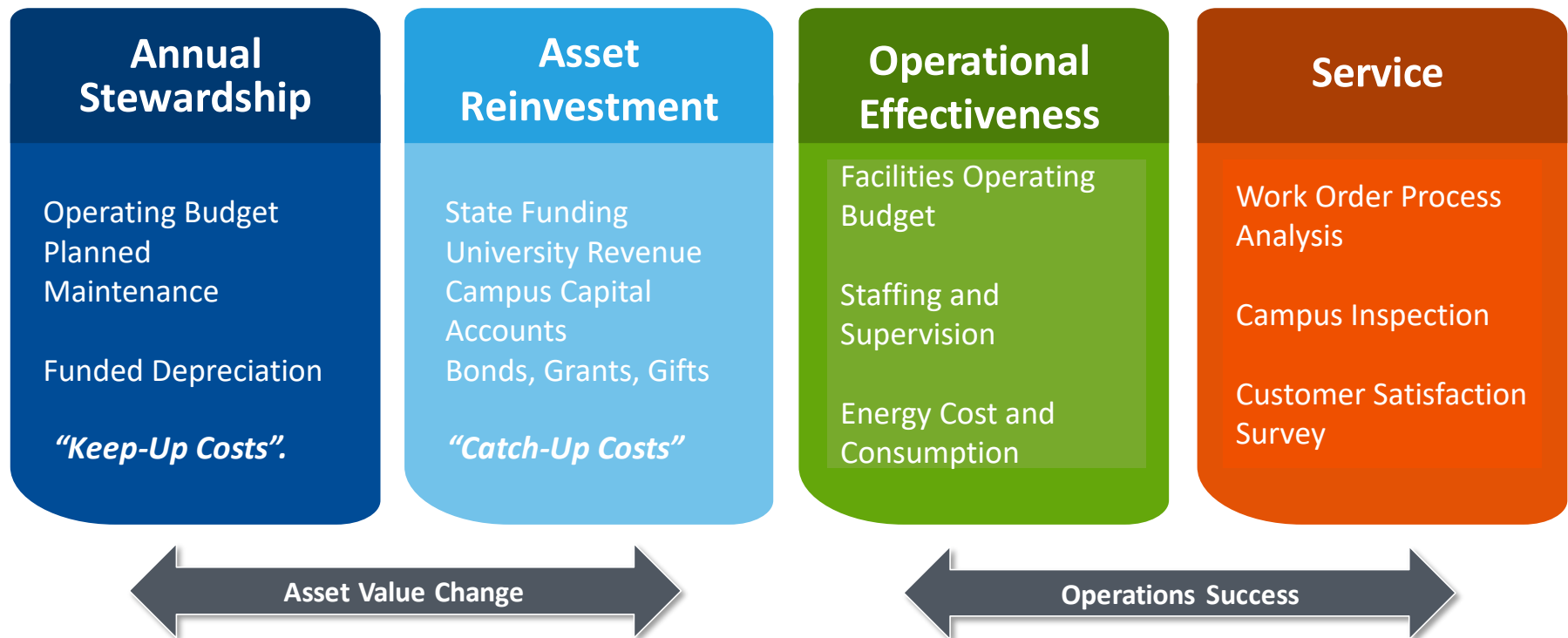
## Vocabulary for Return on Physical Assets (ROPA)

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## Vocabulary for Return on Physical Assets (ROPA)

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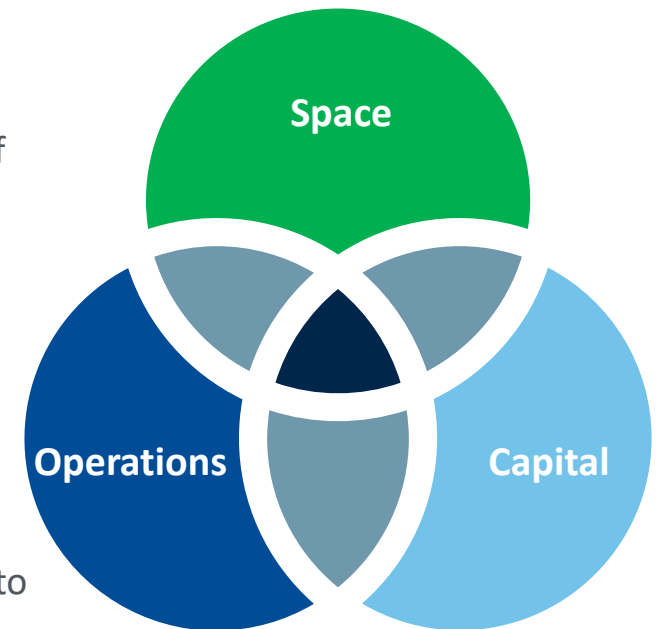


# Integrated Campus Stewardship

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- FY2020 GSF and density are commensurate with FY2019 data.
- Space continues to age. Over the next 10 years the UMS will face dual waves of life cycles coming due.
- Capital investment into existing space to keep up with these lifecycles, despite increasing in FY20 is not able to slow the aging process of System assets.
- Energy consumption decreased across the UMS as campuses shuttered due to COVID-19.
- Service process improves with AIM. Opportunities to increase communication to customers and campus use of reporting exists.



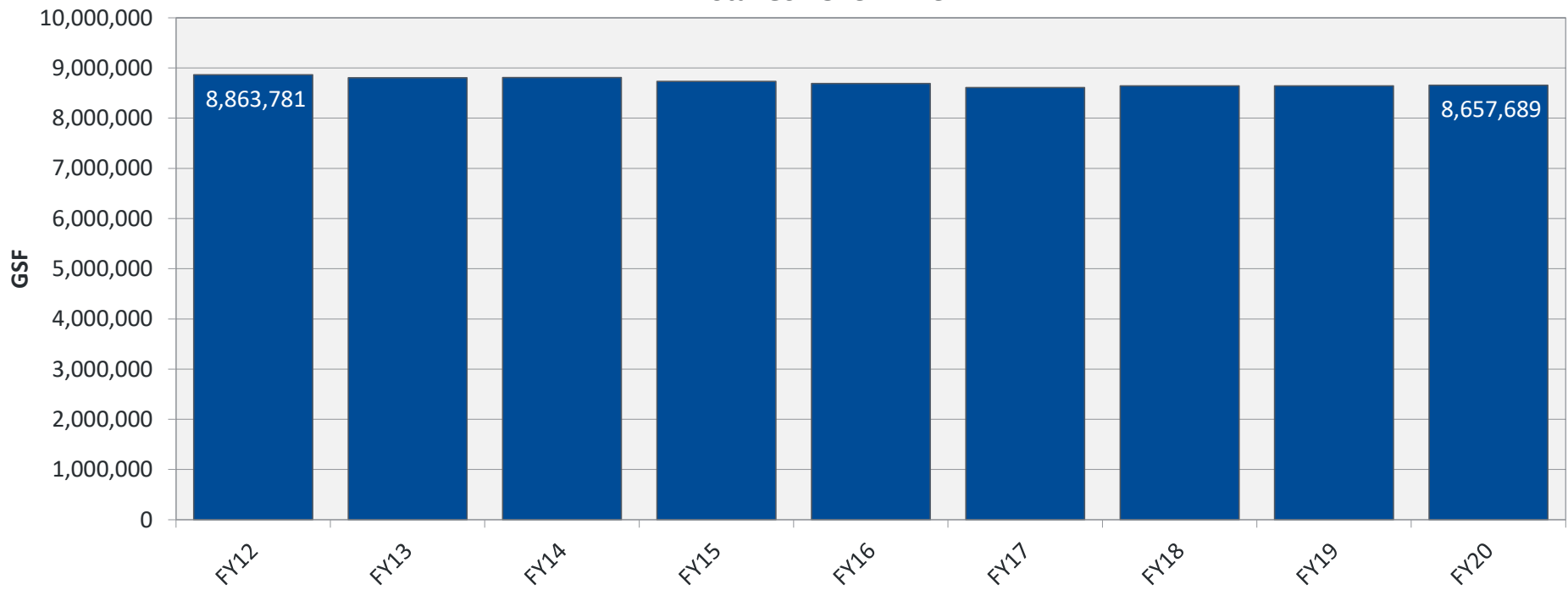
*Throughout the presentation UMS will be compared to the Gordian Public Higher Ed. Database Average for FY20. This subset of the database includes institutions like the University of Massachusetts, University of New Hampshire, University of Iowa, University of New Mexico and University of Washington.*

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# Space Profile

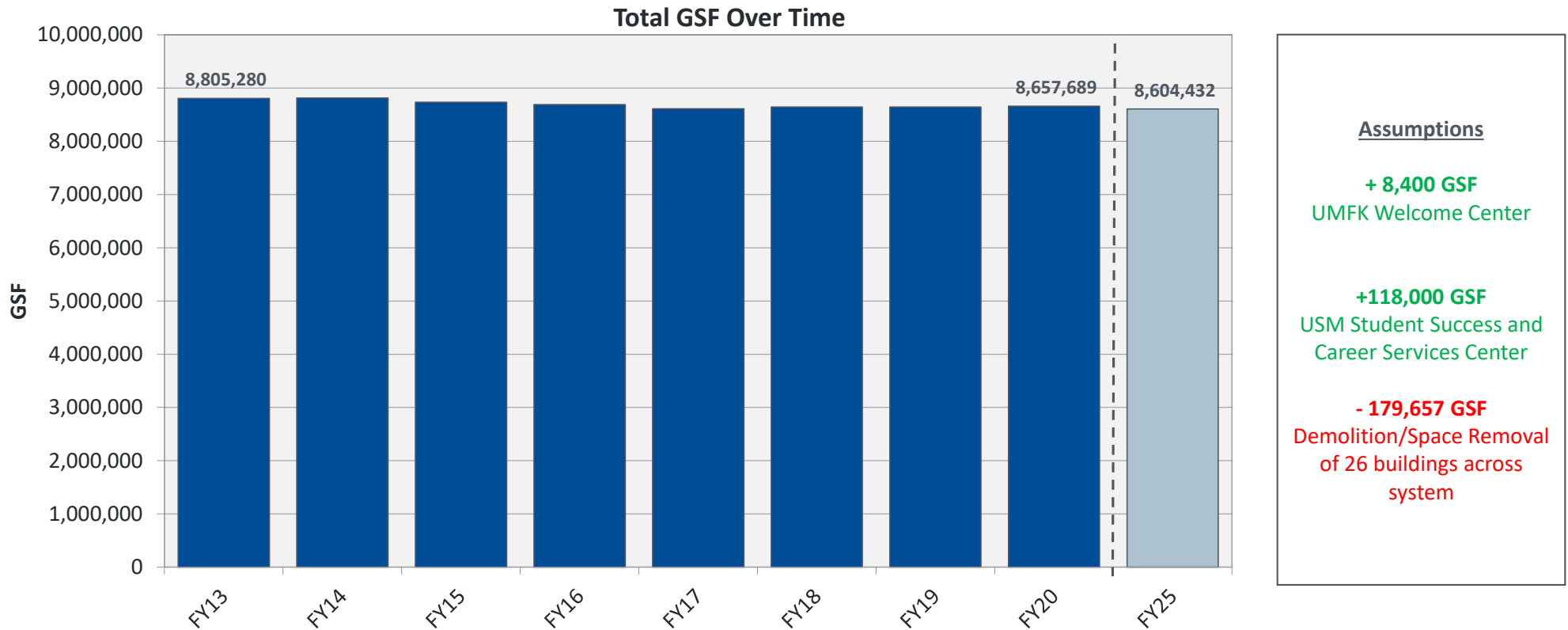
## UMS GSF Holds Steady in FY2020

Total GSF Over Time



## GSF Projection With Bond Plan Funding

Net GSF would decrease by approximately 53K with current bond plan



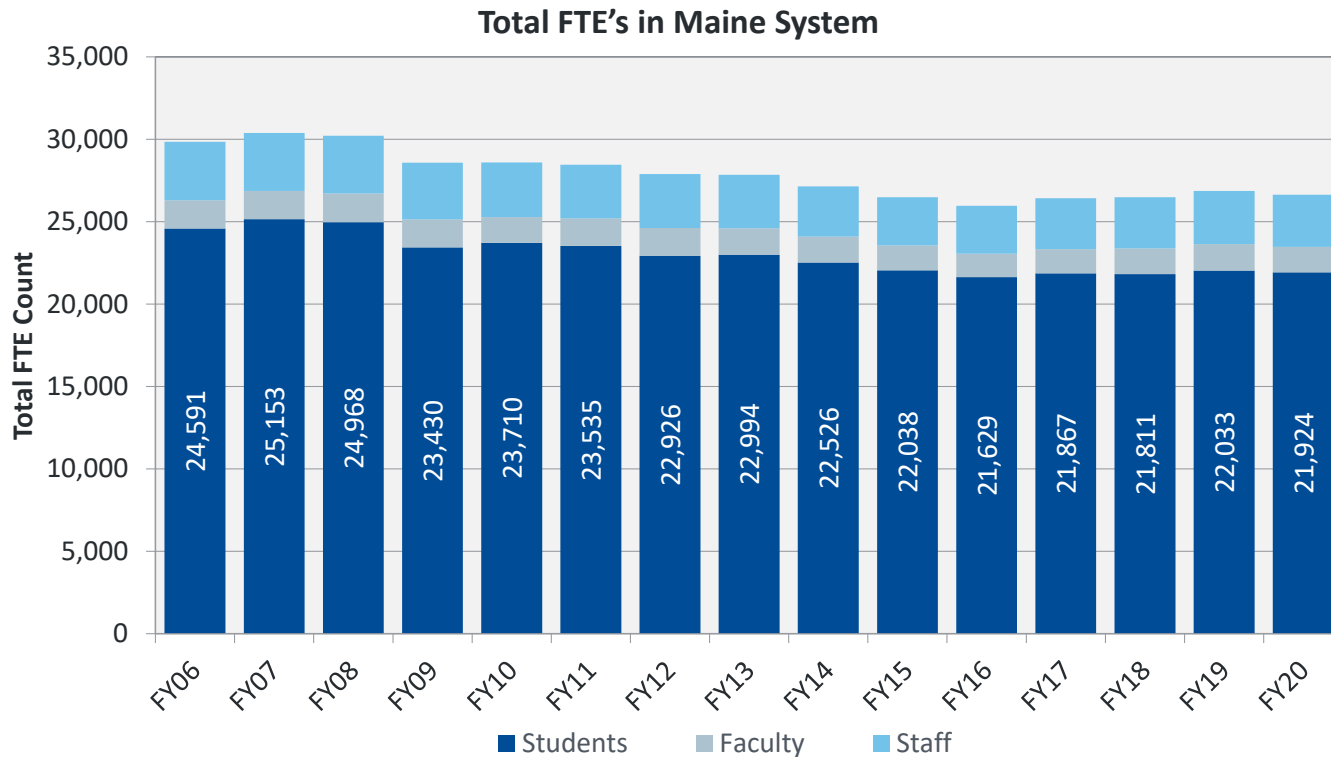


## UMS Buildings to Demolish

Building name	Project title	Sum of Building Gross SF
UMF-FARMINGTON-BRINKMAN HSE, MAIN ST-228	(blank)	4,602
UMF-FARMINGTON-LINCOLN ST-125_HONORS CTR	(blank)	4,033
UMF-FARMINGTON-MAGUIRE ST-112, DAYCARE	(blank)	8,372
UMF-FARMINGTON-MAIN ST-242, FERRO ALUMNI GARAGE	(blank)	500
UMF-FARMINGTON-SOUTH ST-101	(blank)	4,022
UMF-FARMINGTON-SOUTH ST-115, CREATIVE WRITING HSE	(blank)	4,241
UMFK-FORT KENT-GUY HOUSE, 64 PLEASANT ST (request replace Cyr House project with this in round 1)	Renovation through Replacement - Advancement & Enrollment Center	1,597
UMFK-FORT KENT-HAENSSLER HONORS CTR-GARAGE	Renovation through Replacement - Advancement & Enrollment Center	440
UMFK-FORT KENT-KELLY HOUSE, 70 PLEASANT ST	Kelly lot	2,200
UMFK-FORT KENT-KELLY HOUSE, 70 PLEASANT ST	(blank)	
UMFK-FORT KENT-MADAWASKA HSE, 30 PLEASANT ST	Renovation through Replacement - Advancement & Enrollment Center	4,457
UMFK-FORT KENT-MADAWASKA HSE-GARAGE	Renovation through Replacement - Advancement & Enrollment Center	288
UMFK-FORT KENT-ST DAVID HOUSE, 35 PLEASANT ST	Renovation through Replacement - Advancement & Enrollment Center	3,160
UM-ORONO-CHILD STUDY CENTER	Child Study Center Demolition	2,508
UM-ORONO-ISOLATION BLDG 5	Poultry Isolation Building Demolition	1,152
UM-ORONO-POTATO HANDLING RESEARCH	Potato Research Building Demolition	1,600
UM-ORONO-SOUTH ANNEX A	South Annex A Demolition	2,289
UMPI-PRESQUE ISLE-COAL STORAGE	Coal Storage Removal -Preble Hall	350
UMPI-PRESQUE ISLE-VEHICLE STORAGE BUILDING	Vehicle Storage building demo	1,854
USM-GORHAM-COLLEGE AVE-007	College 7	7,063
USM-GORHAM-COLLEGE AVE-019	College 19	4,109
USM-GORHAM-DICKEY-WOOD DORMITORY	Dickey Wood	98,279
USM-GORHAM-DICKEY-WOOD DORMITORY	(blank)	
USM-GORHAM-SCHOOL ST-062	School 62	3,336
USM-GORHAM-SCHOOL ST-128	School 128	9,005
USM-PORTLAND-BEDFORD ST-118	Bedford 118	4,385
USM-PORTLAND-BEDFORD ST-118	(blank)	
USM-PORTLAND-BRIGHTON AVE-23 (ALUMNI HOUSE)	Brighton 23	3,023
USM-PORTLAND-DEERING AVE-222	Deering 222	2,792
<b>Grand Total</b>		<b>179,657</b>

# FY20 Student Enrollment Similar to FY19

Student enrollment has decreased 11% since FY06



**Density Affects:**



## Staffing Levels

More space will require more staff to clean/maintain space to meet facility standards.



## Material and Supplies

Material and supply demand influenced by how often the space is used.



## Wear and Tear of Facilities

High traffic and space usage result in earlier lifecycle replacement.

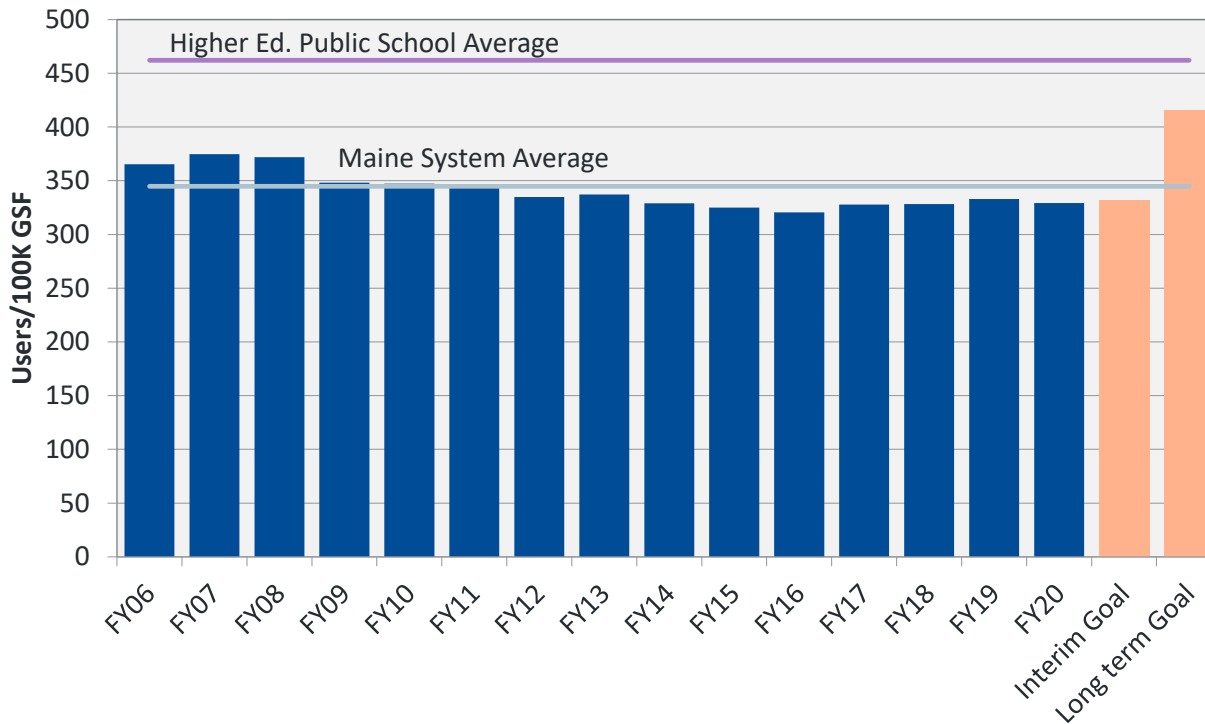
**Density: Measures number of users per 100,000 GSF**  
 Users include all student, faculty and staff FTEs  
 Measures campus building usage on a daily basis

# Density Across the Maine System Decreases



Density has decreased to 329 users/100K GSF in FY20

Density at Maine System Level



## Density Affects:



### Staffing Levels

More space will require more staff to clean/maintain space to meet facility standards.



### Material and Supplies

Material and supply demand influenced by how often the space is used.



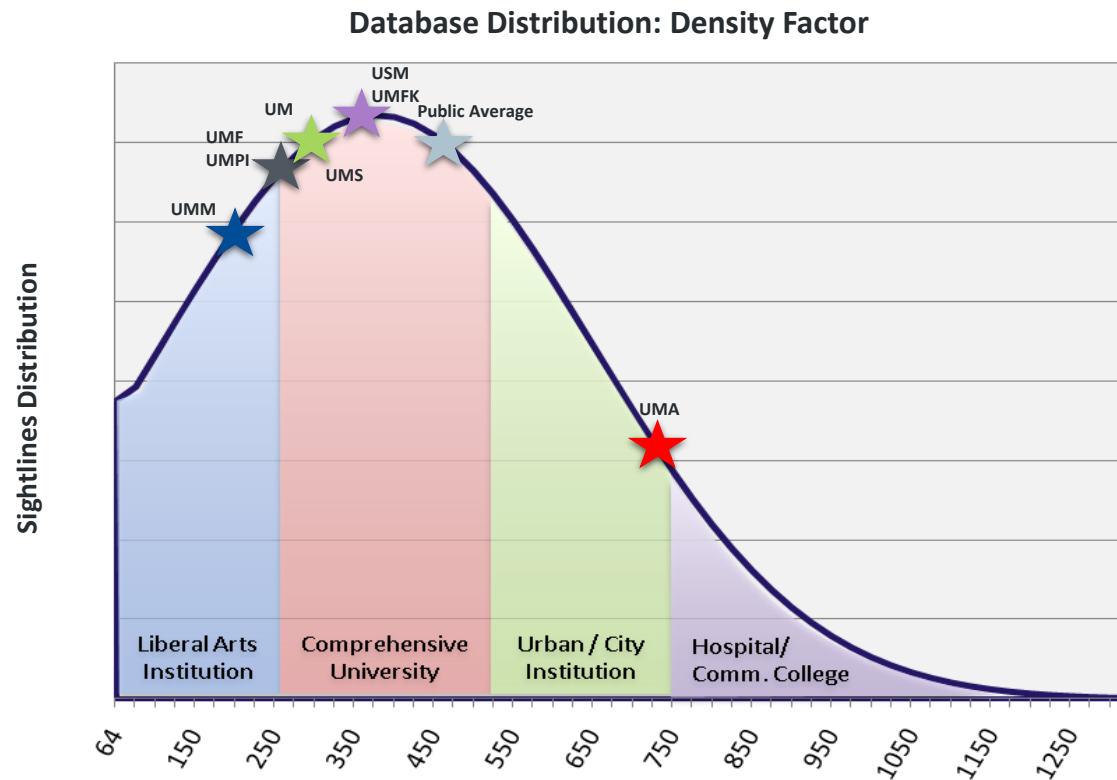
### Wear and Tear of Facilities

High traffic and space usage result in earlier lifecycle replacement.

**Density: Measures number of users per 100,000 GSF**  
 Users include all student, faculty and staff FTEs  
 Measures campus building usage on a daily basis

## Density Across the System is Variable

## UMA is only institution above Sightlines' public-school average



### Density Affects:



## Staffing Levels

More space will require more staff to clean/maintain space to meet facility standards.



## Material and Supplies

Material and supply demand influenced by how often the space is used.



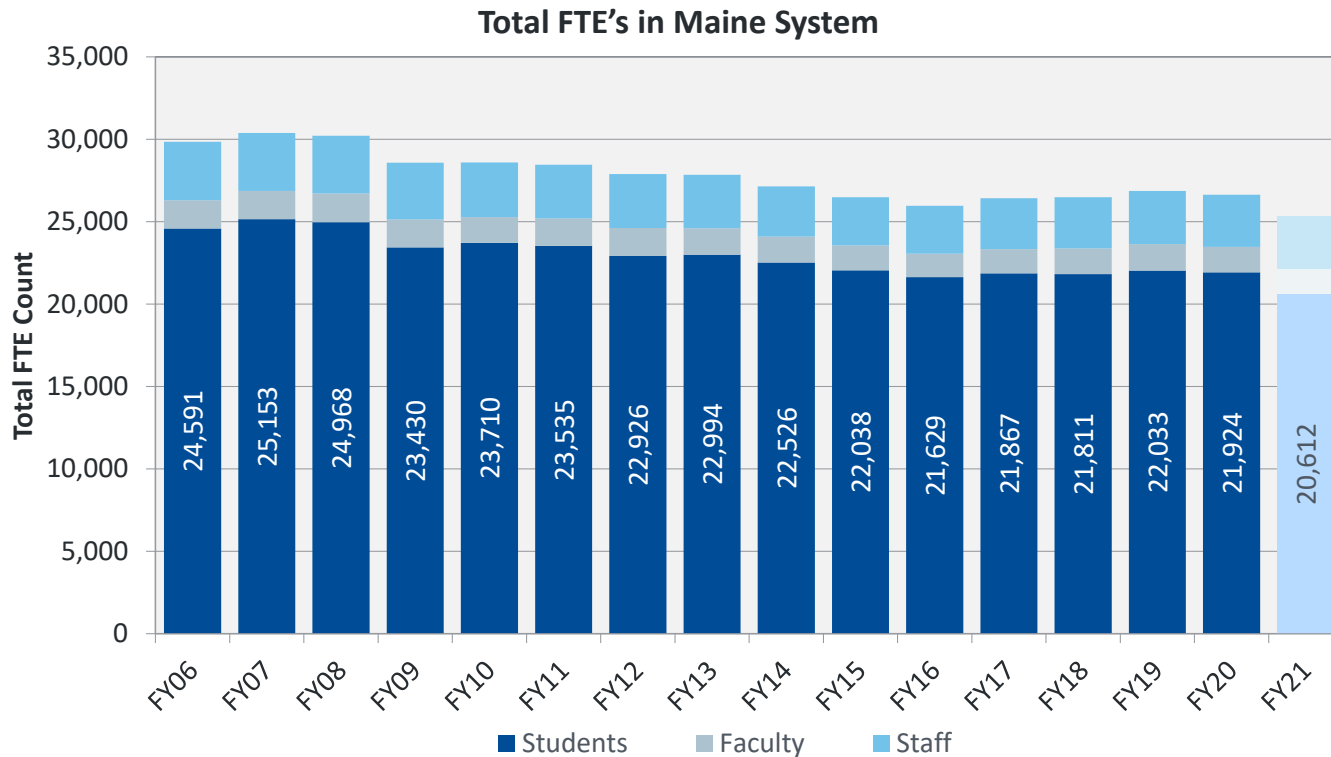
## Wear and Tear of Facilities

High traffic and space usage result in sooner lifecycle replacement.

**Density:** Measures number of users per 100,000 GSF  
Users include all student, faculty and staff FTEs  
Measures campus building usage on a daily basis

# FY20 Student Enrollment Decreases in FY20

Student enrollment has decreased 11% since FY06



**Density Affects:**



## Staffing Levels

More space will require more staff to clean/maintain space to meet facility standards.



## Material and Supplies

Material and supply demand influenced by how often the space is used.



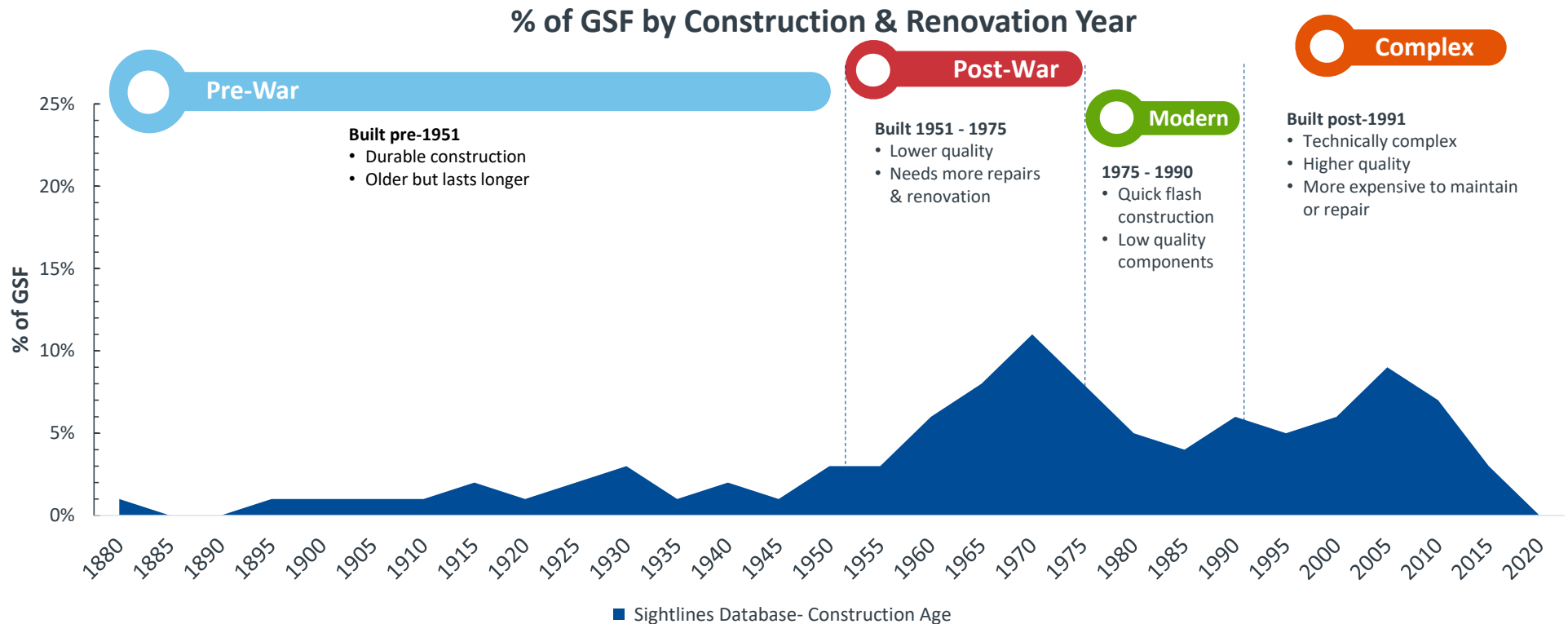
## Wear and Tear of Facilities

High traffic and space usage result in sooner lifecycle replacement.

**Density: Measures number of users per 100,000 GSF**  
Users include all student, faculty and staff FTEs  
Measures campus building usage on a daily basis

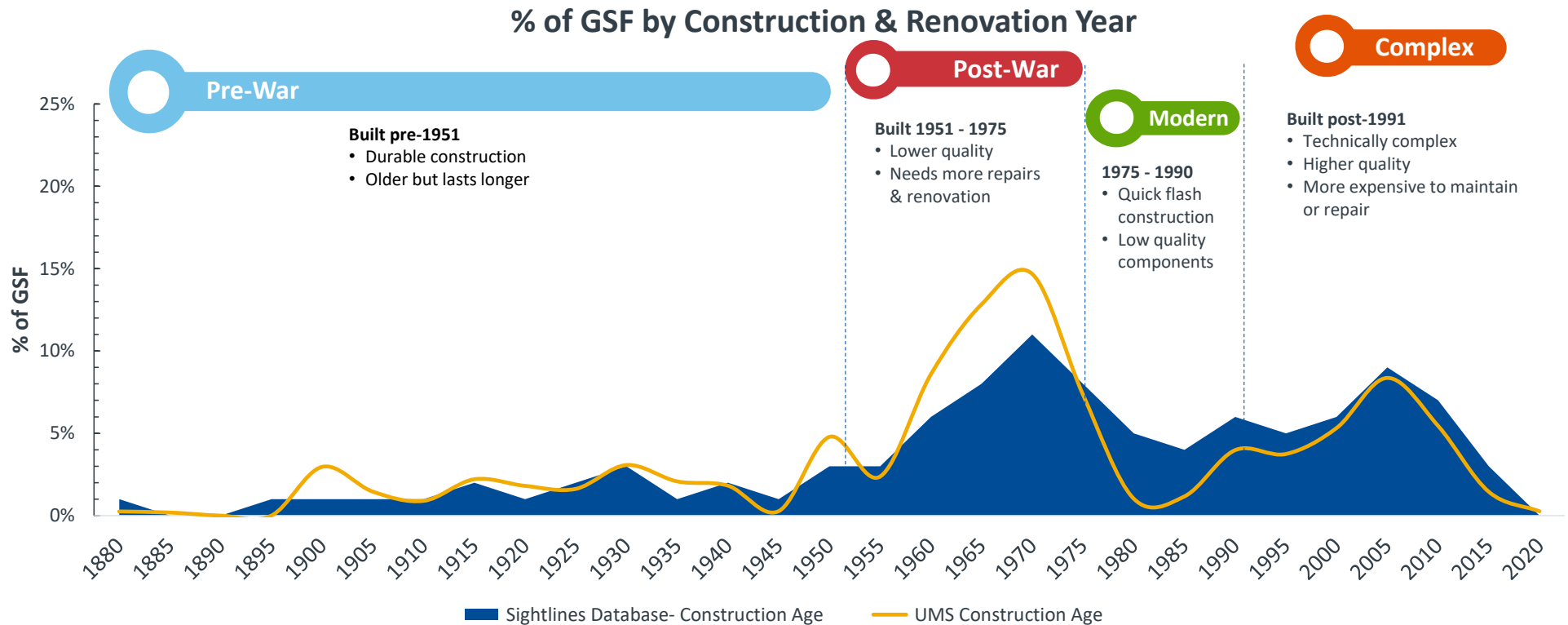
# National Construction Trending in Higher Education

Funding sources should be allocated based on age and condition of the buildings

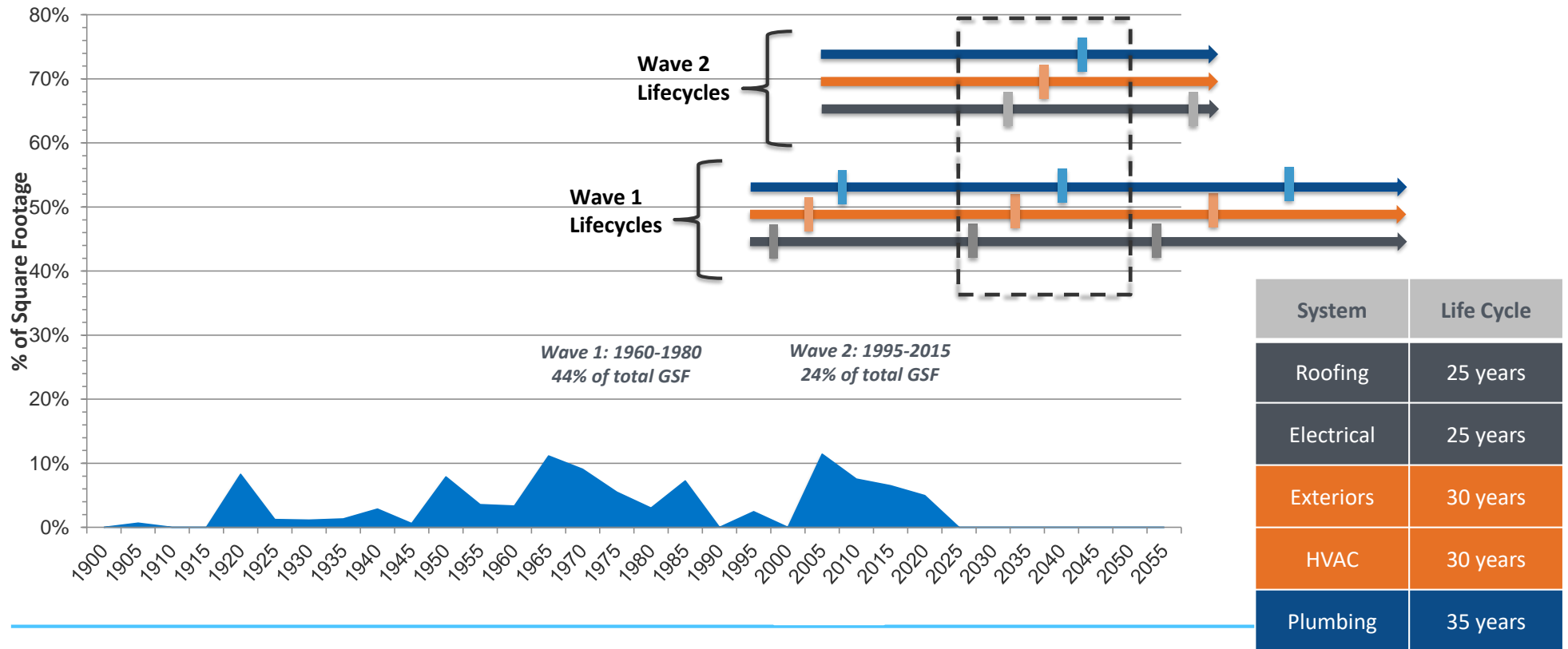


## 52% of Space Built in Post-War and Modern Eras

Funding sources should be allocated based on age and condition of the buildings



# Future Forecast Determined by Life Cycle Models

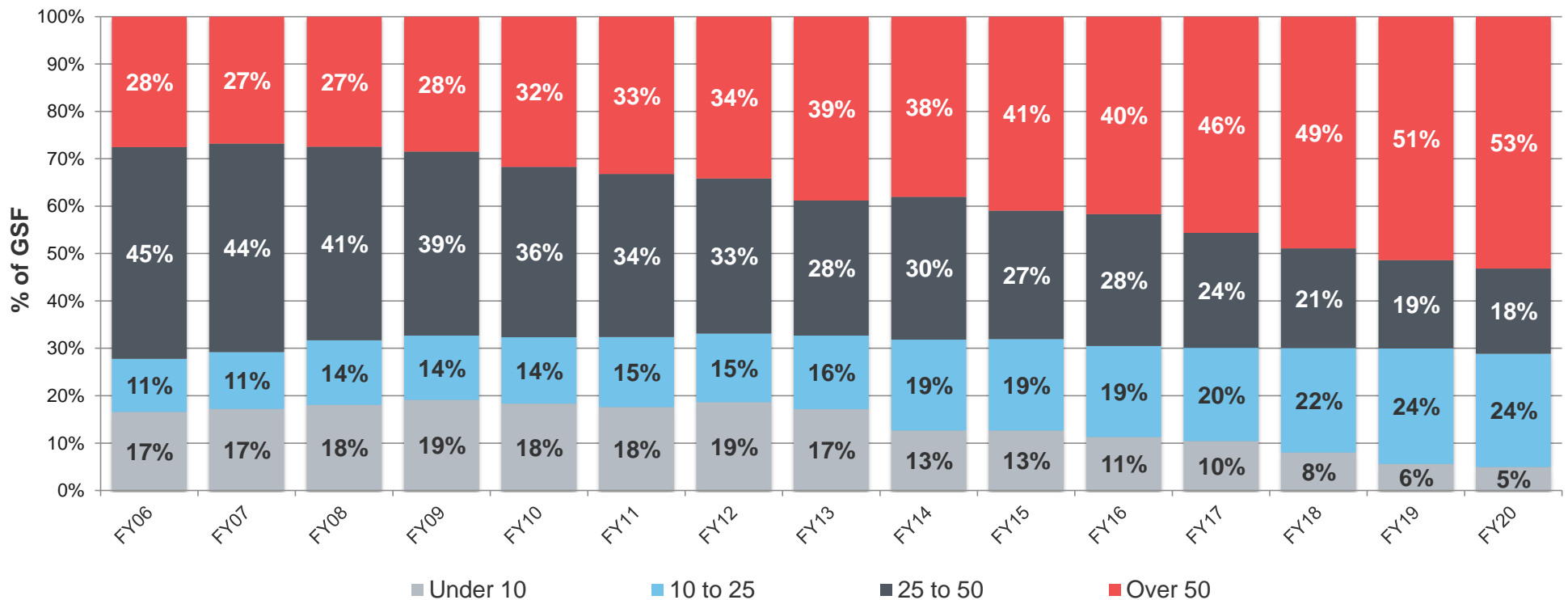




## Maine System Continues to Age Over Time

Percent of GSF Over 50 Increases to 53% in FY20

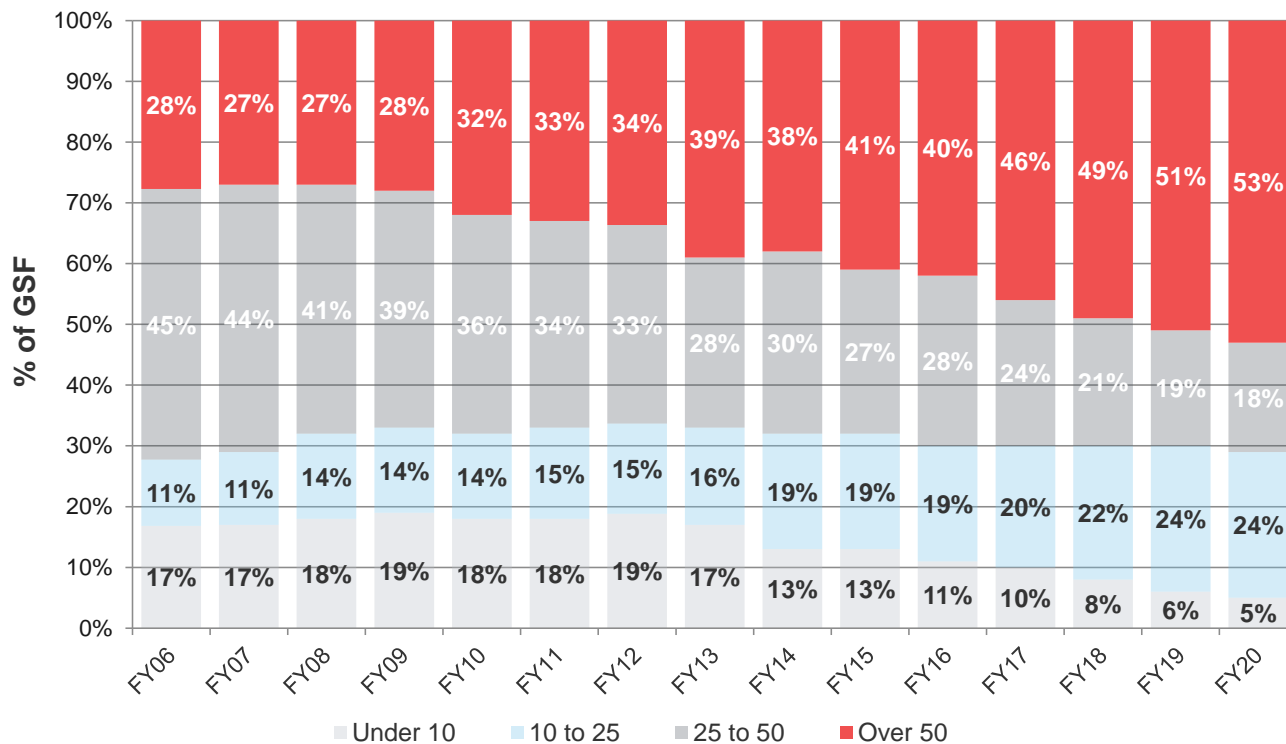
Campus Renovation Age Distribution Over Time



## Space Over 50 is Growing

Space Over 50 Years Old has grown 25% since FY06

Campus Renovation Age Distribution Over Time



### Buildings Over 50

Life cycles of major building components are past due. Failures are possible. Core modernization cycles are missed.

Highest risk

### Buildings 25 to 50

Major envelope and mechanical life cycles come due. Functional obsolescence prevalent.

Higher Risk

### Buildings 10 to 25

Short life-cycle needs; primarily space renewal.

Medium Risk

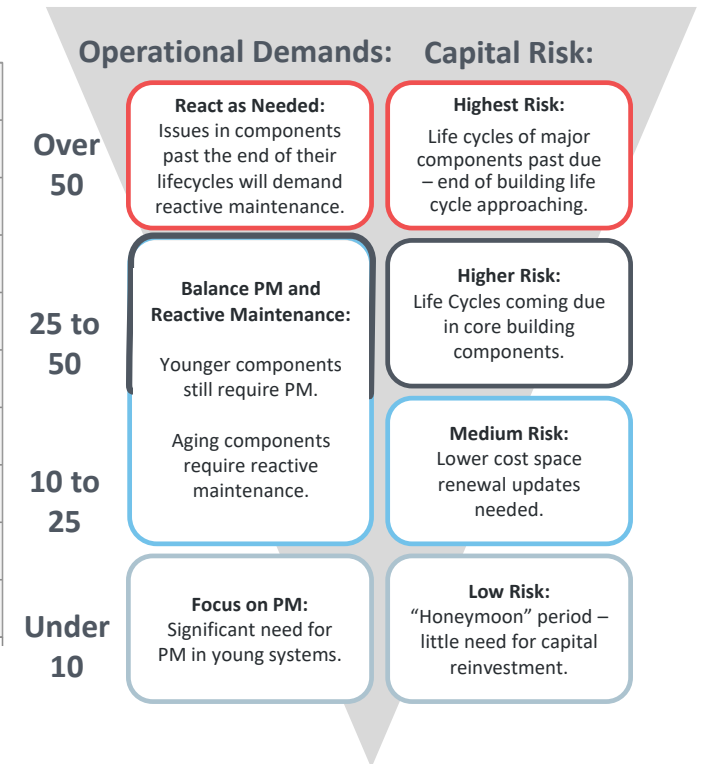
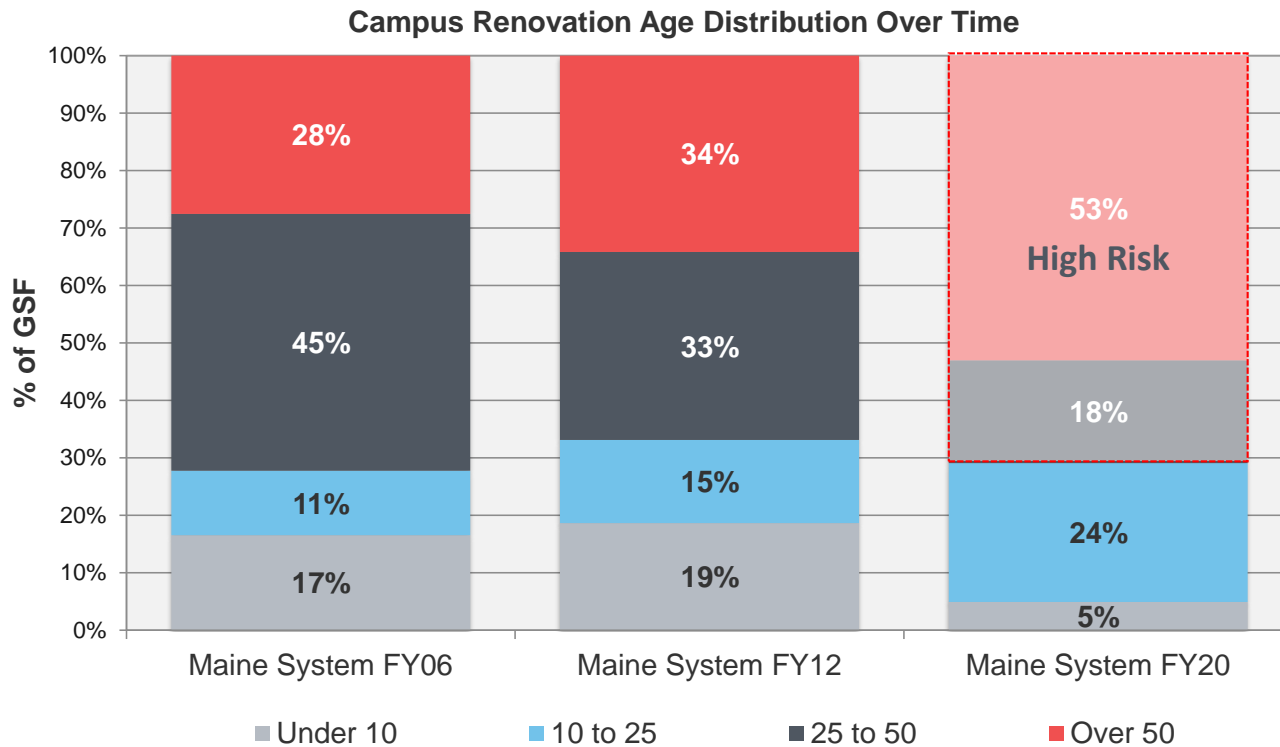
### Buildings Under 10

Little work. "Honeymoon" period.

Low Risk

## 70% of Space Drives Investment Needs at UMS

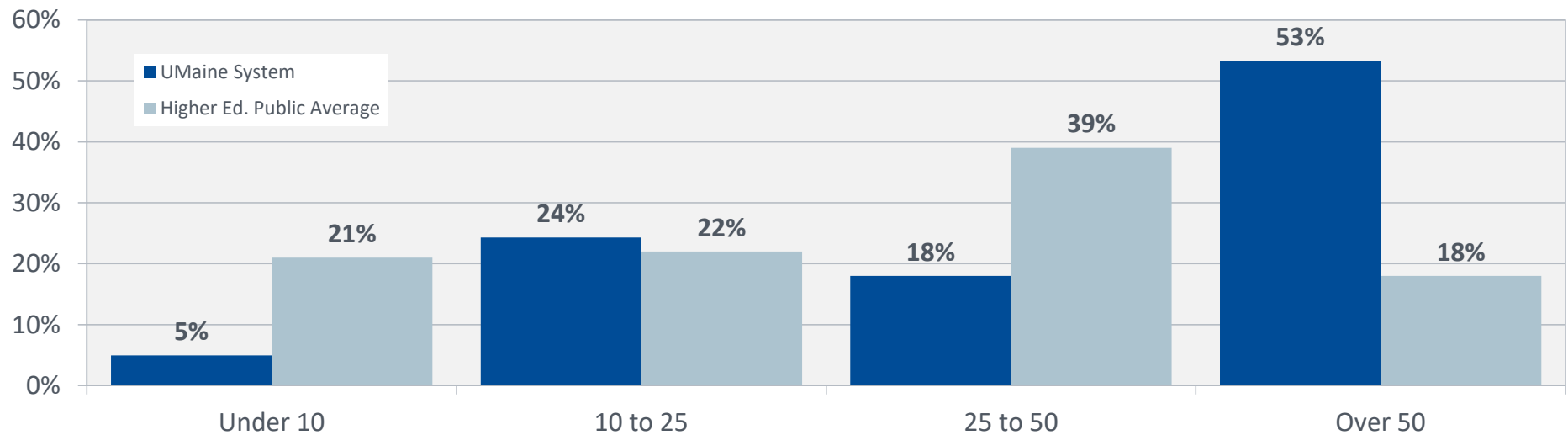
Buildings over 25 years old require increased capital and operational demands



## UMS' Age Profile is Older Than Public Institutions



Campus Renovation Age by Category



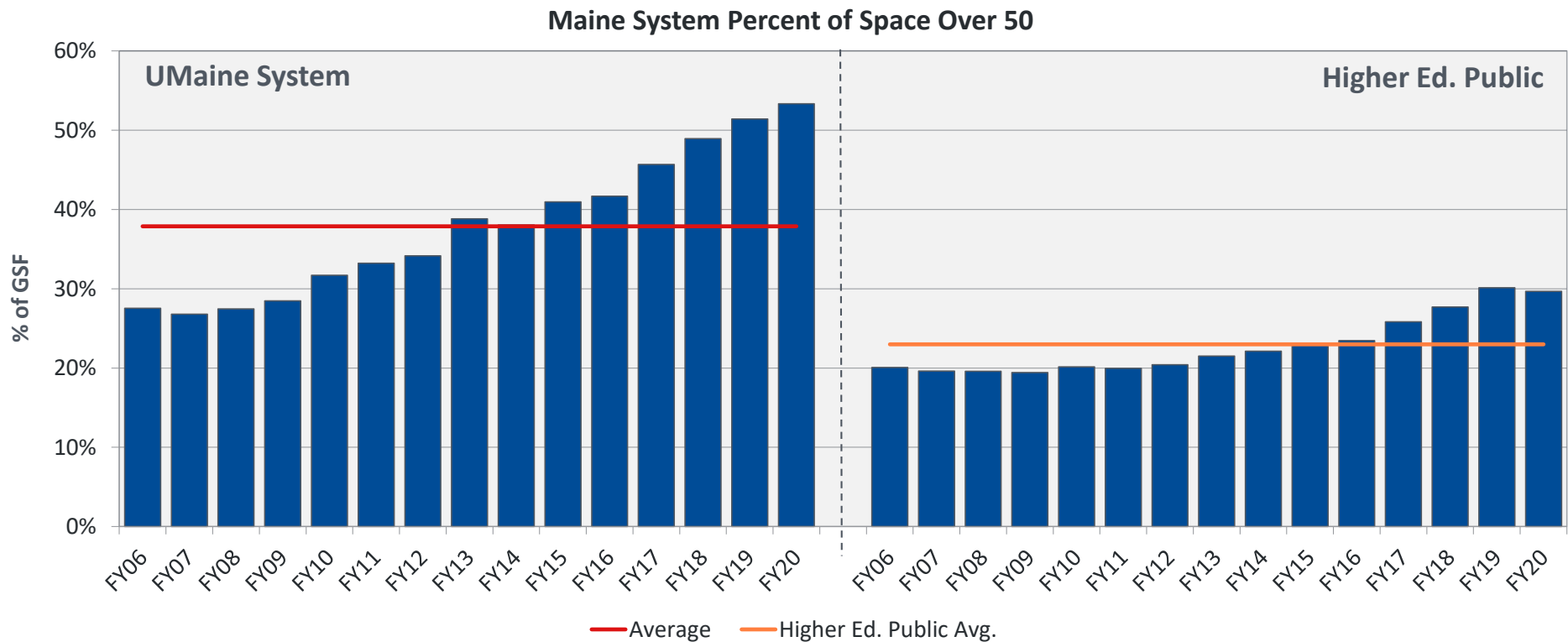
Capital Needs

Preventive Maintenance

Reactive Maintenance

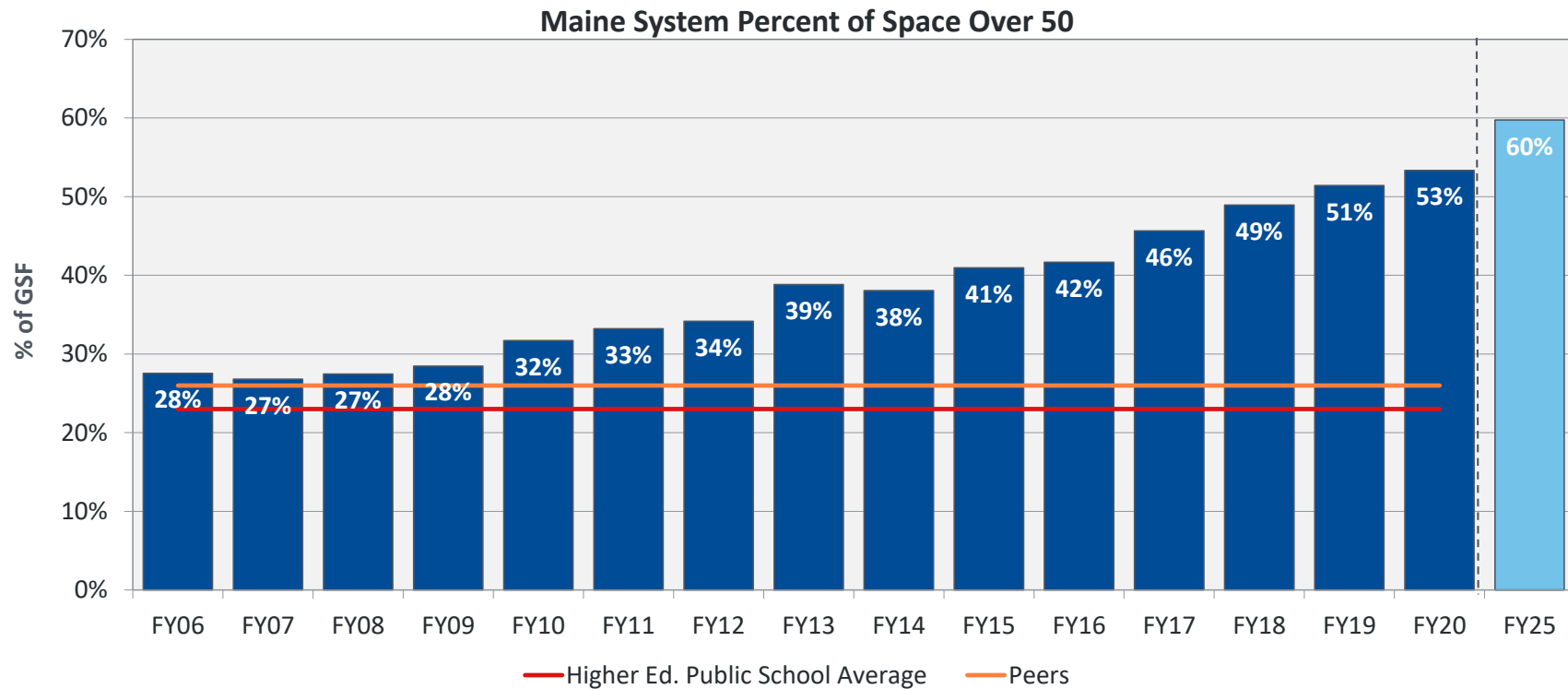
# Public Institutions Operate With 23% Less High-Risk Space

UMS increases High Risk space YOY as Higher Ed Public decreases from FY19 to FY20

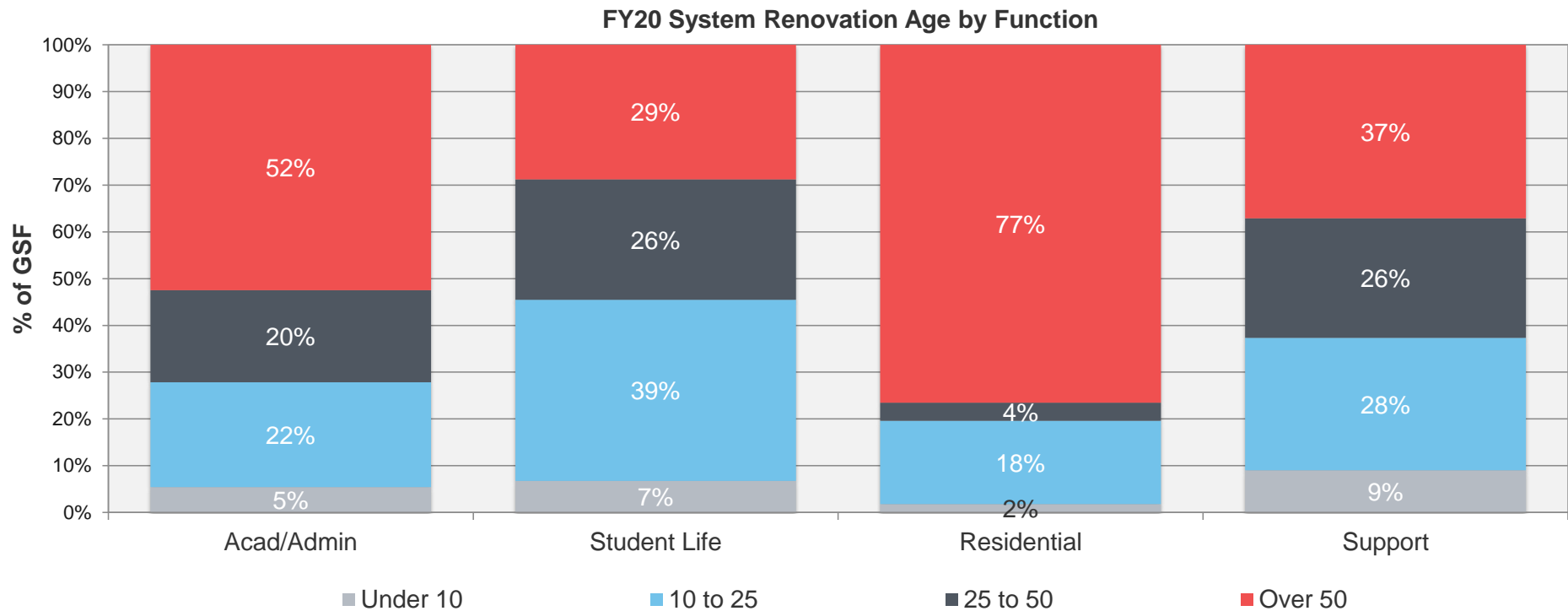


## 60% of Space Will be Over 50 Years Old by FY25

Plan now for major life cycle replacements in these buildings

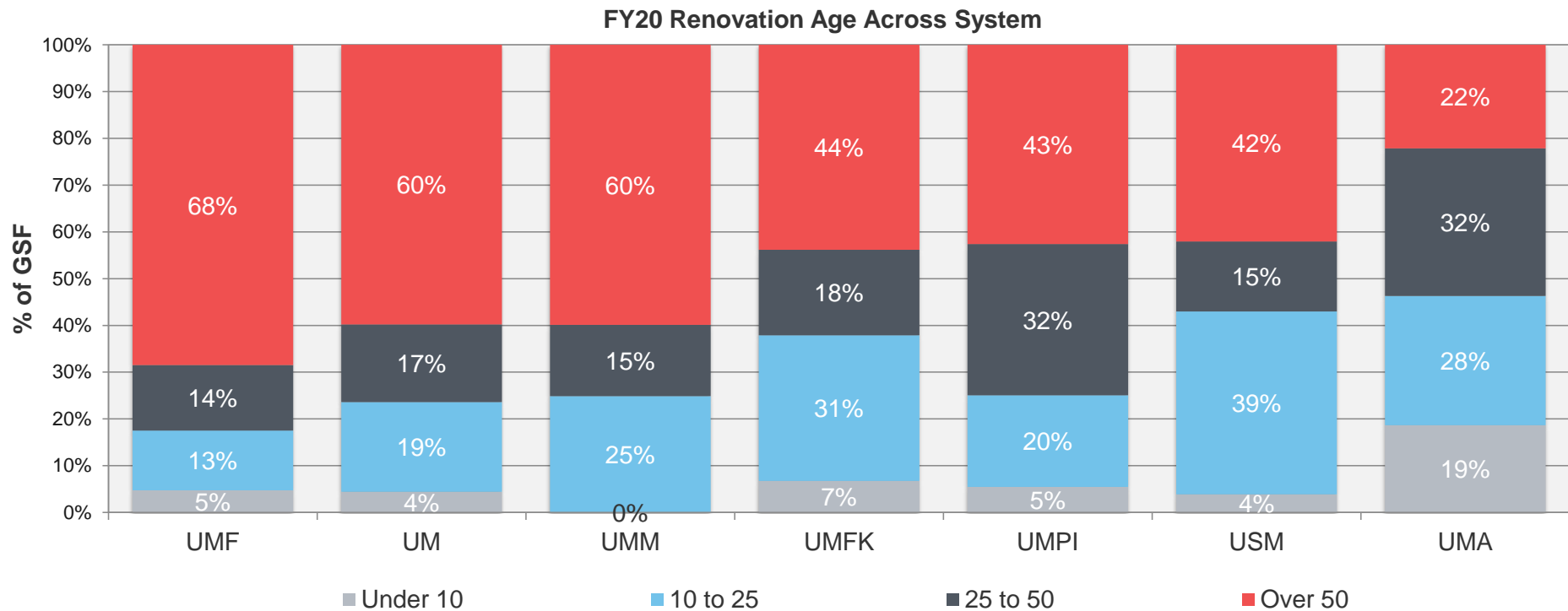


## Residential Space Has Largest Amount of Space Over 50



## High Risk Profile Above 50% At All Campuses

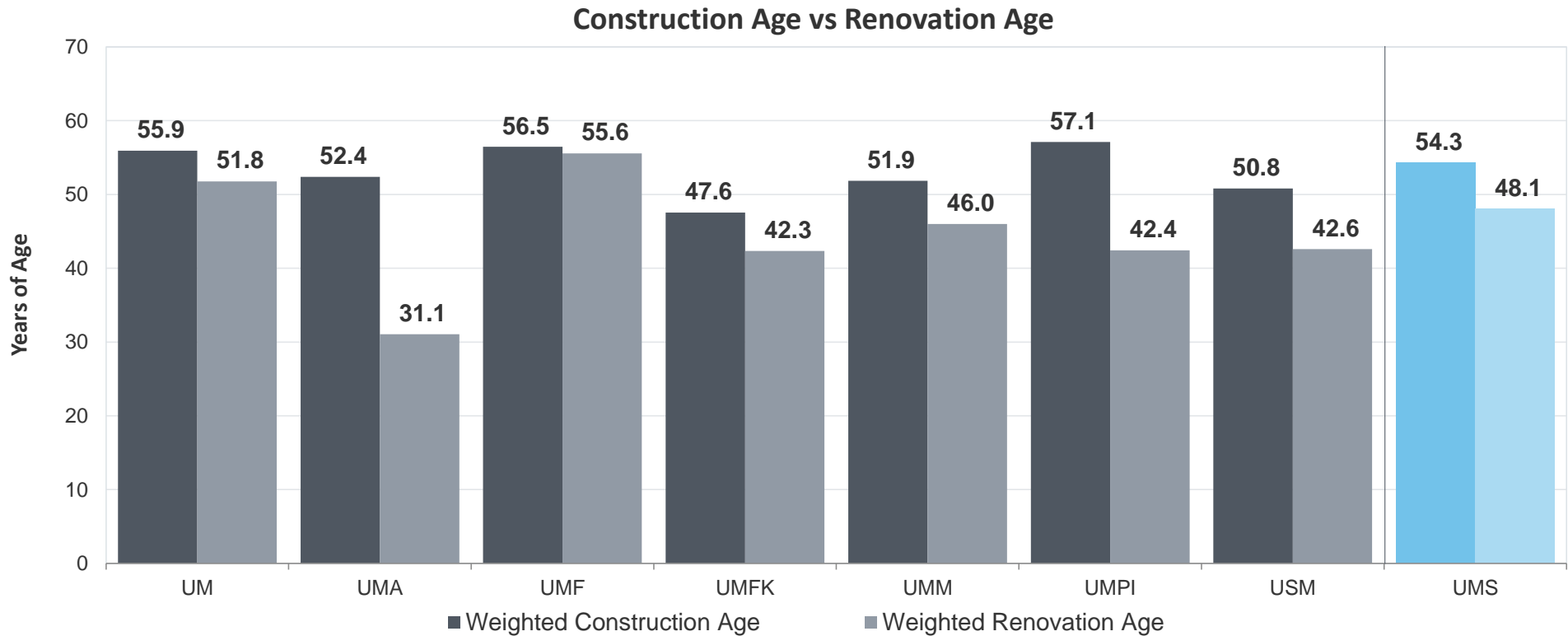
UMPI, UM, UMM, and UMF have the highest risk based on age profile over 25 years old





## Construction Age vs. Renovation Age by Campus

UMA has offset its age the most through renovations: 21 Years



# Strategies to Reduce % of Space Over 45

Renovations and Removal of Buildings from the Inventory

# Over 45 Template Distributed to Every Institution

Sample taken from UMS

Institution Name	Building Name	Campus	GSF	NAV	Replacement Value	Program Use
University of Maine at Augusta	Acadia Hall	Bangor	3,000	32%	\$ 766,779	Storage/Support
University of Maine at Fort Kent	Acadia House	Fort Kent	4,848	9%	\$ 949,872	Residence House
University of Maine at Augusta	Alumni Center-Augusta-East Wing	Augusta	5,600	80%	\$ 539,497	Administrative
The University of Maine	ALUMNI HALL	E&G	32,367	13%	\$ 10,008,686	Administrative
University of Maine at Farmington	Alumni Theater	Farmington	13,166	12%	\$ 3,621,975	Academic
University of Southern Maine	Anderson Hall	Gorham	29,291	30%	\$ 8,430,644	Student Life
The University of Maine	ANDROSCOGGIN HALL	AUX	59,373	52%	\$ 19,483,675	Residence Hall
The University of Maine	AQUACULTURE RESEARCH CTR	E&G	13,440	55%	\$ 3,223,008	Research
The University of Maine	AROOSTOOK HALL	AUX	49,699	43%	\$ 16,309,082	Residence Hall
The University of Maine	AUBERT HALL	E&G	100,562	41%	\$ 40,615,556	Science Building
University of Southern Maine	Bailey Hall	Gorham	143,645	38%	\$ 51,144,921	Acad/Admin
The University of Maine	BALENTINE HALL	AUX	34,568	35%	\$ 11,343,736	Residence Hall
University of Maine at Augusta	Bangor Hall	Bangor	10,984	67%	\$ 1,346,134	Acad/Admin
The University of Maine	BARN-CALF	E&G	720	57%	\$ 109,049	Support
The University of Maine	BARN-HORSE, WF	E&G	14,428	53%	\$ 2,185,224	

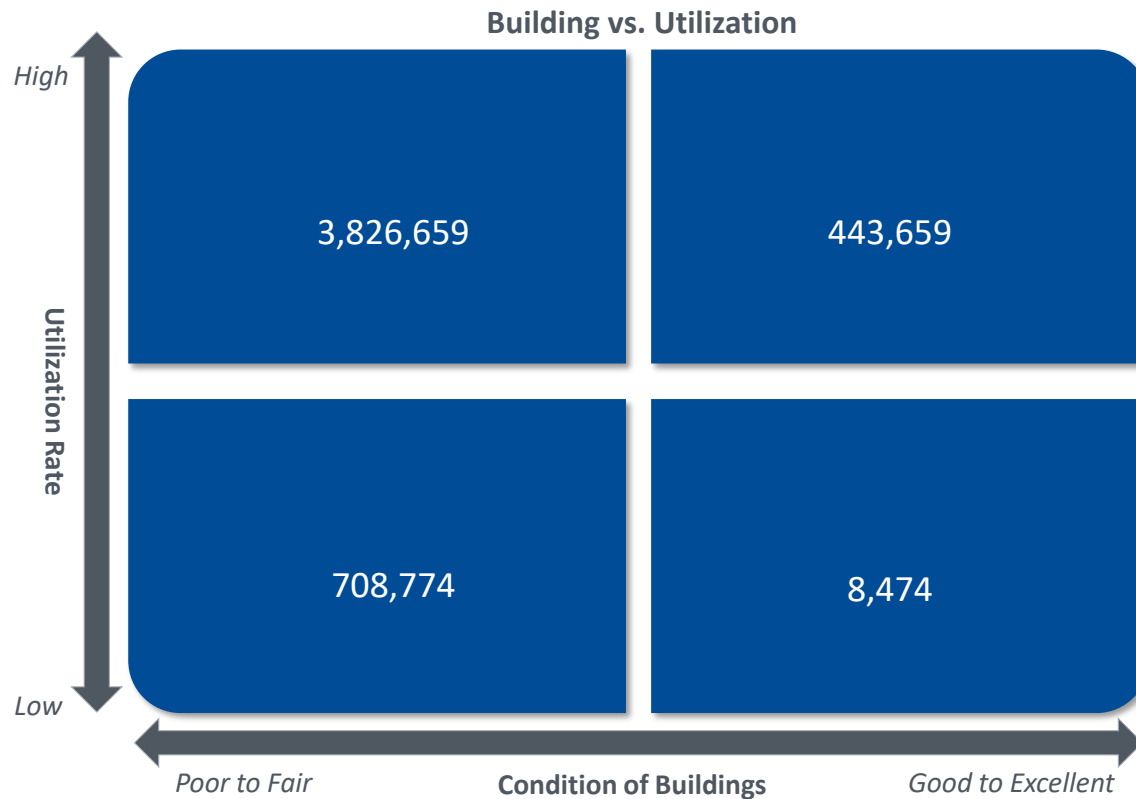
Assessment of Space for all buildings over 45 years old in Renovation Age

- What is the utilization of the space?
- What is the condition?

Determine if the building is a candidate for major renovation or removal from inventory.

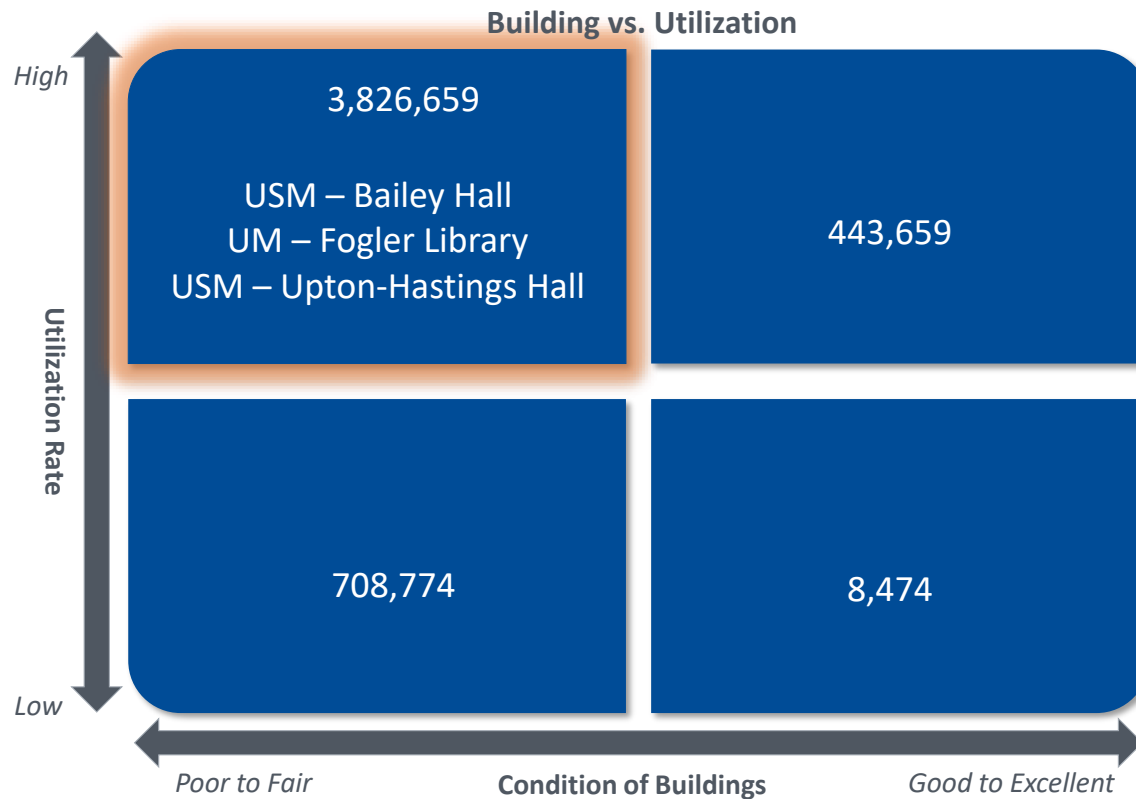
## Total Maine System Findings

Comparing condition with utilization across the system



# Candidates for Potential Renovation

Comparing condition with utilization across the system



The University of Maine	2,067,763.00
University of Maine at Augusta	41,378.00
University of Maine at Farmington	455,282.00
University of Maine at Fort Kent	103,492.00
University of Maine at Machias	170,445.00
University of Maine at Presque Isle	147,465.00
University of Southern Maine	840,834.00
<b>Grand Total</b>	<b>3,826,659.00</b>

# Candidates for Potential Renovation

All buildings broken out by campus (High Utilization, Poor & Fair Condition)

**UM (2,067,763 GSF)**

ALUMNI HALL	32,367.00
ANDROSCOGGIN HALL	59,373.00
AROOSTOOK HALL	49,699.00
BALENTINE HALL	34,568.00
BARROWS HALL-ORIG	52,979.00
BENNETT HALL	52,979.00
BOARDMAN HALL-ORIG	48,906.00
CHADBOURNE HALL	41,926.00
CHILD STUDY CENTER-ORIG	3,931.00
CHILDRENS CENTER, COLLEGE AVE-113	4,527.00
CORBETT HALL	49,433.00
CROSBY LAB	19,673.00
CUMBERLAND HALL	59,373.00
DAYCARE FACILITY	2,198.00
DEERING HALL	50,001.00
DUNN HALL	49,447.00
EAST ANNEX	20,780.00
FOGLER LIBRARY-AD1	57,531.00
FOGLER LIBRARY-ORIG	116,896.00
GANNETT HALL	59,373.00
HANCOCK HALL	68,610.00
HART HALL	60,410.00
HAUCK AUDITORIUM	46,735.00
HITCHNER HALL, ANIMAL SCIENCE WING-AD1	25,844.00
HITCHNER HALL-ORIG	9,366.00
KENNEBEC HALL	49,009.00
KNOX HALL	76,468.00
LENGYEL HALL	37,079.00
LIBBY HALL	24,208.00
LITTLE HALL	50,808.00

MACHINE TOOL LAB	12,816.00
MAINE BOUND ADVENTURE CTR	6,840.00
MAPLES, THE	8,313.00
MERRILL HALL-ORONO	26,729.00
MURRAY HALL	47,953.00
NEVILLE HALL-GSF CORRECTION	24,085.00
NEVILLE HALL-ORIG	48,660.00
OXFORD HALL	76,468.00
PENOBSCOT HALL	49,481.00
PICS BLDG-KEYO	24,300.00
SERVICE BLDG B	25,770.00
SHIBLES HALL	41,296.00
SOMERSET HALL	76,468.00
STEVENS HALL CENTER	32,596.00
STEVENS HALL NORTH	23,670.00
STEVENS HALL SOUTH	24,598.00
UNIV PK BLDG 12	2,198.00
UNIV PK BLDG 13	2,198.00
UNIV PK BLDG 14	5,062.00
UNIV PK BLDG 15	2,198.00
UNIV PK BLDG 16	5,062.00
UNIV PK BLDG 17	2,198.00
UNIV PK BLDG 18	5,062.00
UNIV PK BLDG 20	2,198.00
UNIV PK BLDG 23	5,062.00
UNIV PK BLDG 24	5,062.00
UNIV PK BLDG 25	5,062.00
UNIV PK BLDG 26	5,062.00
UNIV PK BLDG 27	5,062.00
UNIV PK BLDG 28	5,062.00

UNIV PK BLDG 32	2,198.00
UNIV PK BLDG 33	5,062.00
UNIV PK BLDG 34	2,198.00
UNIV PK BLDG 35	5,062.00
UNIV PK BLDG 36	2,198.00
UNIV PK BLDG 37	5,062.00
UNIV PK BLDG 38	2,198.00
WINGATE HALL	14,580.00
WINSLOW HALL	25,292.00
YORK HALL	82,825.00

# Candidates for Potential Renovation

All buildings broken out by campus (High Utilization, Poor & Fair Condition)

## UMA (41,378 GSF)

Acadia Hall	3,000.00
Bangor Hall	10,984.00
BD KATZ LIBRARY	21,632.00
Farmhouse-Uma - West Wing	4,082.00
Maintenance Garage, Ucb	1,680.00

## UMF (455,282 GSF)

Dakin Hall	39,320.00
Dearborn Gym	29,890.00
Facilities Mgmt Bldg	12,425.00
Franklin Hall, Main St-252	14,815.00
Lockwood Hall	29,645.00
Mallett Hall	35,584.00
Merrill Hall	16,144.00
Olsen Student Center	39,004.00
Olsen Student Center Complex -	15,378.00
Preble-Thomas Hall	22,582.00
Purinton Hall	36,344.00
Ricker Hall	19,932.00
Roberts Learning Ctr	42,507.00
Scott Hall-North	33,820.00
Scott Hall-South	38,779.00
Stone Hall	29,113.00

## UMFK (103,492 GSF)

Blake Library	10,388.00
Crocker Hall	17,965.00
Cyr Hall	19,533.00
Fox Auditorium	20,937.00
Nowland Hall	8,680.00
Old Model School	7,986.00
Old Powell Hall	12,298.00
Physical Plant	2,545.00
St. David House	3,160.00

## UMM (170,445 GSF)

Dorward Hall-North Wing-B	22,129.00
Dorward Hall-West Wing-A	21,139.00
Powers Hall	33,525.00
Reynolds Health Center-Gym	33,741.00
SCIENCE BLDG-MACHIAS	24,183.00
Sennett Hall- South Wing C	12,612.00
Sennett Hall-Center Wing-B	10,558.00
Sennett Hall-North Wing-A	12,558.00

## UMPI (147,465 GSF)

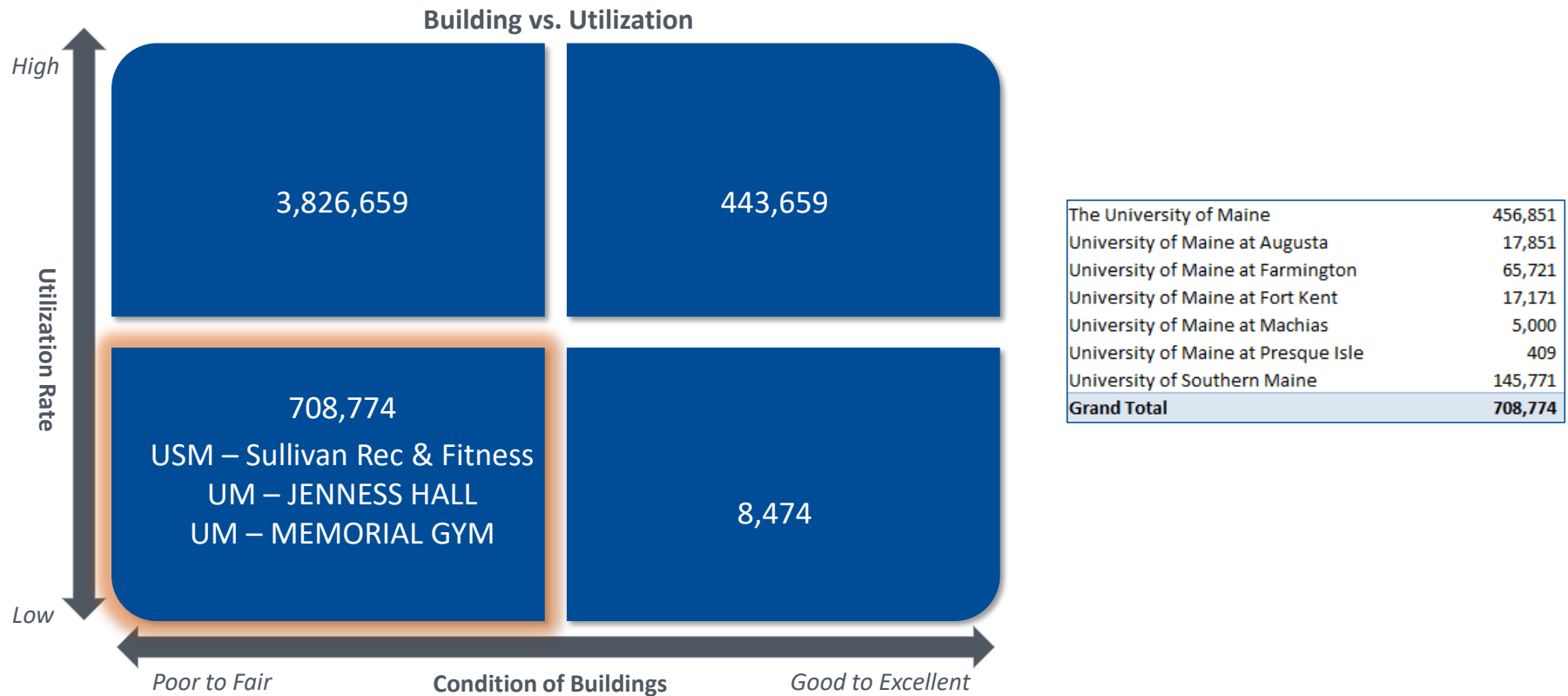
EMERSON HALL	43,440.00
KELLEY COMMONS	18,683.00
MERRIMAN HALL	19,532.00
PARK HALL	26,148.00
VEHICLE STORAGE BUILDING	1,854.00
Wieden Hall Total GSF	37,808.00

## USM (840,834 GSF)

Anderson Hall	29,291.00
Bailey Hall	143,645.00
Brooks Student Ctr	45,645.00
Corthell Hall	47,970.00
Costello Sports Complex, Hill Gy	43,478.00
Law Bldg- Original	85,475.00
Luther Bonney Hall	77,040.00
Payson Smith Hall	52,517.00
Robie-Andrews Hall	78,122.00
Russell Hall	29,480.00
SCIENCE BLDG-A WING, Tower/P	84,947.00
Upton-Hastings Hall	102,656.00
Woodward Hall	20,568.00

## Potential Candidates for Removal

Comparing condition with utilization across the system: (Low/Moderate Utilization & Poor/ Fair Condition)





## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

The University of Maine	456,851
University of Maine at Augusta	17,851
University of Maine at Farmington	65,721
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	145,771
<b>Grand Total</b>	<b>708,774</b>

Less  
Historic  
Buildings



The University of Maine	277,390
University of Maine at Augusta	17,851
University of Maine at Farmington	65,721
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	135,237
<b>Grand Total</b>	<b>518,779</b>

## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

The University of Maine	277,390
University of Maine at Augusta	17,851
University of Maine at Farmington	65,721
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	135,237
<b>Grand Total</b>	<b>518,779</b>

Less  
Storage

The University of Maine	259,280
University of Maine at Augusta	15,576
University of Maine at Farmington	65,221
University of Maine at Fort Kent	12,251
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	135,237
<b>Grand Total</b>	<b>492,974</b>

## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

**UM (259,280 GSF)**

AQUACULTURE RESEARCH CTR	13,440
BARN-CALF	720
BARN-LIVESTOCK	8,557
BARN-SHEEP	1,700
COLLEGE AVE-109, FAC MGMT GREENHOUSE	3,995
COLLEGE AVE-154, CANADA HSE	5,000
COLLEGE AVE-378, NAVY ROTC	2,400
COLLEGE AVE-495	2,300
CUTLER HEALTH CENTER, AMBULANCE BAY	588
CUTLER HEALTH CENTER-ORIG	29,954
DEPOT-FIRE STATION	6,653
ENTOMOLOGY BLDG	1,539
ENTOMOLOGY GREENHOUSE	2,304
ENVIRONMENTAL SCIENCES LAB	7,175
FARM HOUSE	2,256
FARM SHOP-WF	4,273
FARM STORE	1,486
FORAGE RESEARCH LAB	900
GARAGE-COLLEGE AVE-378, NROTC	783

GARAGE-CWRU	1,200
GARAGE-TRACTOR 2	2,680
ISOLATION BLDG 5	1,200
JENNESS HALL-ORIG	33,368
MACHINE SHOP	4,000
MEMORIAL GYM COMPLEX, WALLACE POOL-AD2	33,086
PARK ST-204, RESIDENCE	1,320
PERKINS HALL-AG LAB	7,781
POTATO HANDLING RESEARCH	1,600
ROGER CLAPP GREENHOUSE-GSF CORRECTION	981
SERVICE BLDG A-AD1	22,795
SERVICE BLDG A-ORIG	30,627
SHEEP HOUSE	2,000
SIGMA CHI HERITAGE HOUSE	12,370
SMALL ANIMAL FACILITY	4,280
STEAMFITTERS SHOP	2,086
STORAGE-DEERING	68
STORAGE-GAS, RF	60
STORAGE-SHED	156
STORAGE-STEWART	372
UNIVERSITY PARK	27
UTILITY BLDG-DF	1,200

## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

### UMA (15,576 GSF)

Fitness Center	11,416
Mod I	960
Mod II	960
Mod III, Maine Cite	640
Pottery Shop	1,600

### UMF (65,221 GSF)

Alumni Theater	13,166
Brinkman Hse, Main St-228	4,602
Lincoln St-125, Honors Center	4,034
Maguire St-112, Daycare	10,766
Main St-234, Psychology	9,759
Main St-242, Ferro Alumni Hse	7,899
Mainely Outdoors Building	4,149
Quebec St-149	2,586
South St-101	4,019
South St-115, Creative Writing Hse	4,241

### UMFK (12,251 GSF)

Acadia House	4,848
Cyr House	2,514
Gagne Residence	1,597
Haenssler Honors Center	3,292

### UMM (5,000 GSF)

O'Brien House	5,000
---------------	-------

### UMPI (409 GSF)

KILN	409
------	-----

### USM (135,237 GSF)

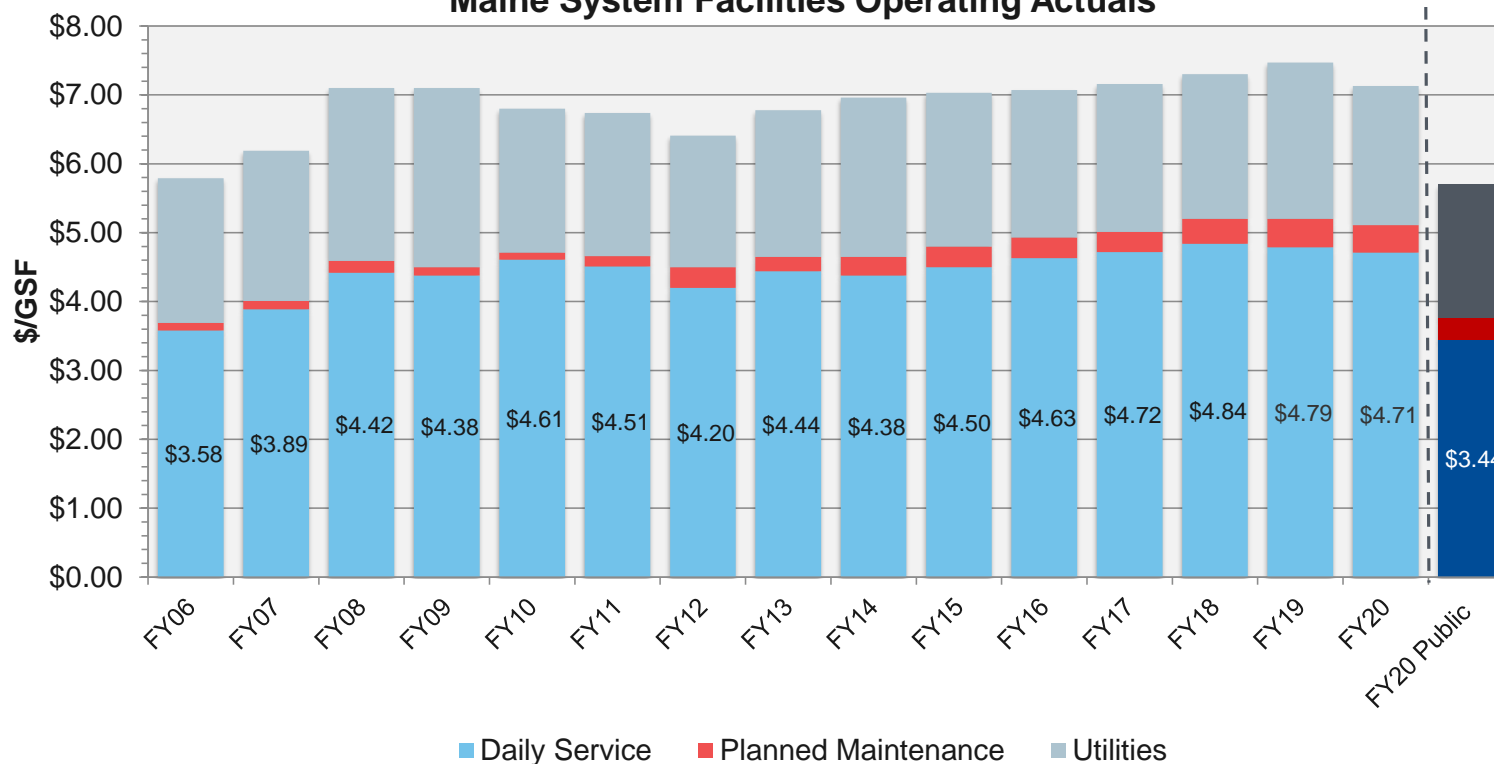
Bedford St-092	5,975
Bedford St-094	2,859
Bedford St-098	3,020
Bedford St-102	3,682
Bedford St-106	3,837
Bedford St-118	4,355
Bedford St-126	5,371
College Ave-019	4,109
Deering Ave-222	2,792
Deering Ave-228	3,842
Exeter St-047	3,732
Exeter St-059-061	6,610
McLellan House	6,718
Print Making Studio	1,555
School St-062	3,313
School St-128	8,668
Sullivan Rec & Fitness Center-Orig	54,452
The Farm House	10,347

# Operations Success

# FY2020 Decrease in Operating Expenditures

Utilities decrease \$.25/GSF from FY19 to FY20

## Maine System Facilities Operating Actuals



### National Impacts of COVID-19 on facilities budget:

#### Daily Service

- Vacant positions not being filled
- Incentivized early retirement
- Increased cleaning & maintenance standards/frequency
- Reduced operational strain with buildings being vacant/complying with social distancing

#### Planned Maintenance

- Potential for increased PM with reduced frequency of reactive work orders
- Potential for decreased PM if budget is cut to mitigate revenue losses

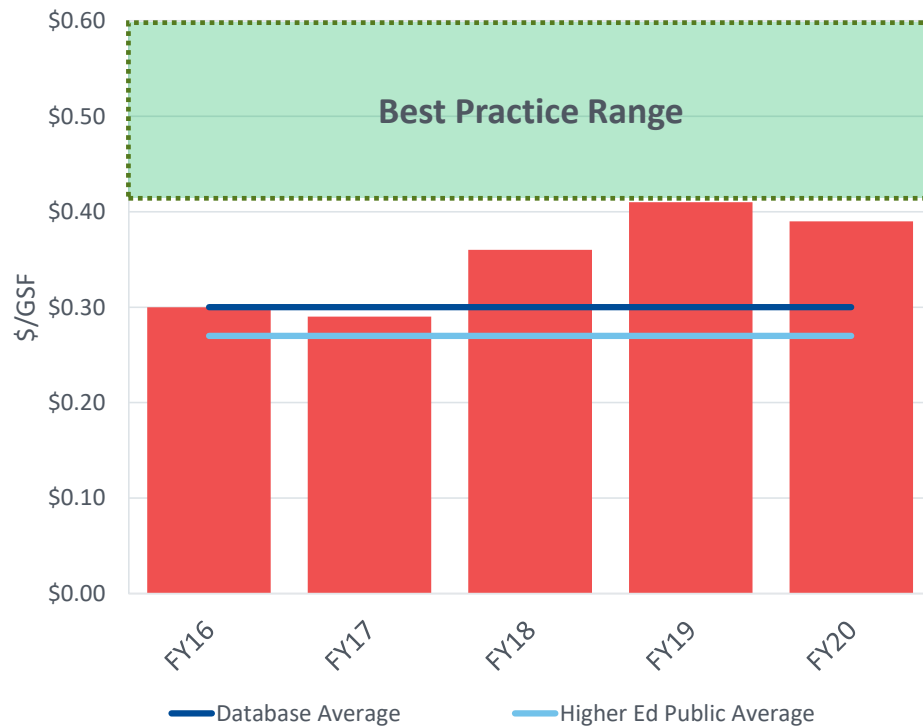
#### Utilities

Reduced energy consumption/cost with buildings being vacant or complying with social distancing

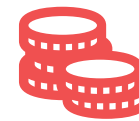
FY20 Public: Gordian Public Higher Ed. Database Average for FY20

# Planned Maintenance Strategic Opportunities

UMS Planned Maintenance Spending:



## THEORY



**\$1.00 invested in PM now**



**SAVES \$2.78 in reactive maintenance later**

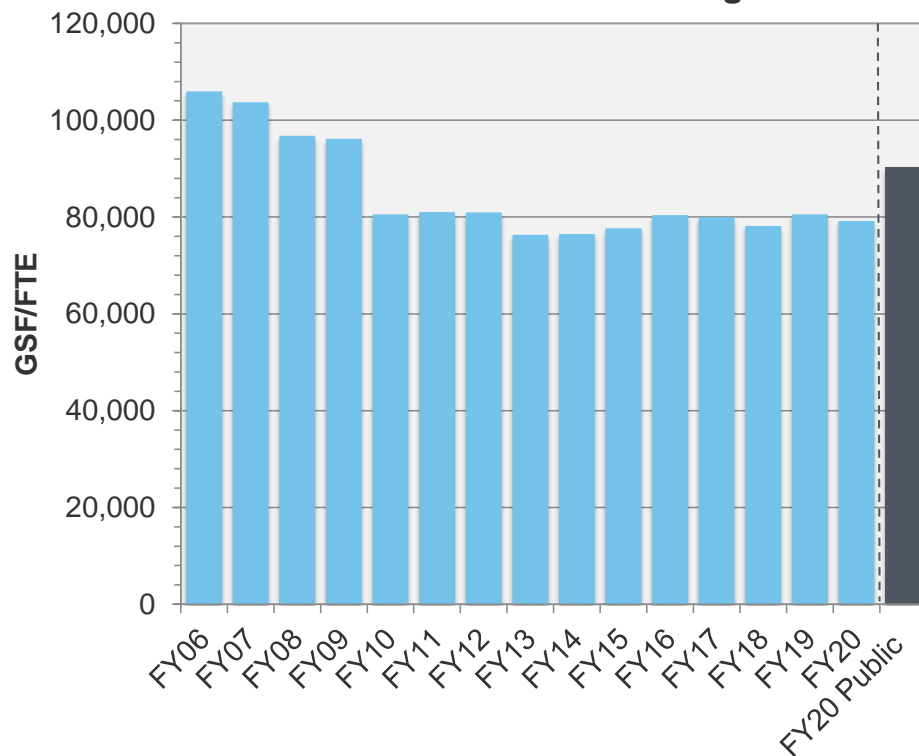
### Strategic Deferral of PM

- Usually in buildings/systems over 50 years old targeted for renovation or replacement
- Reallocates resources from the older buildings/systems to younger buildings and systems.
- Use Assessment in coordination with work order reporting to start identifying these opportunities.

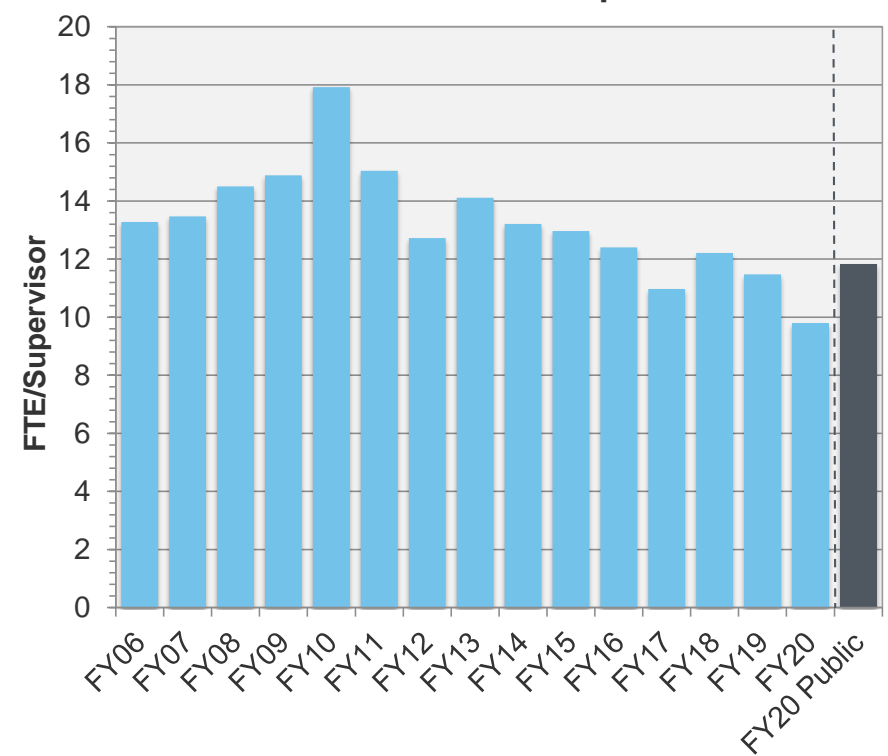
# Maintenance Operations

Staff covered less GSF/FTE, has more supervision to Public Higher Ed. in FY20

**Maintenance Staffing**



**Maintenance Supervision**

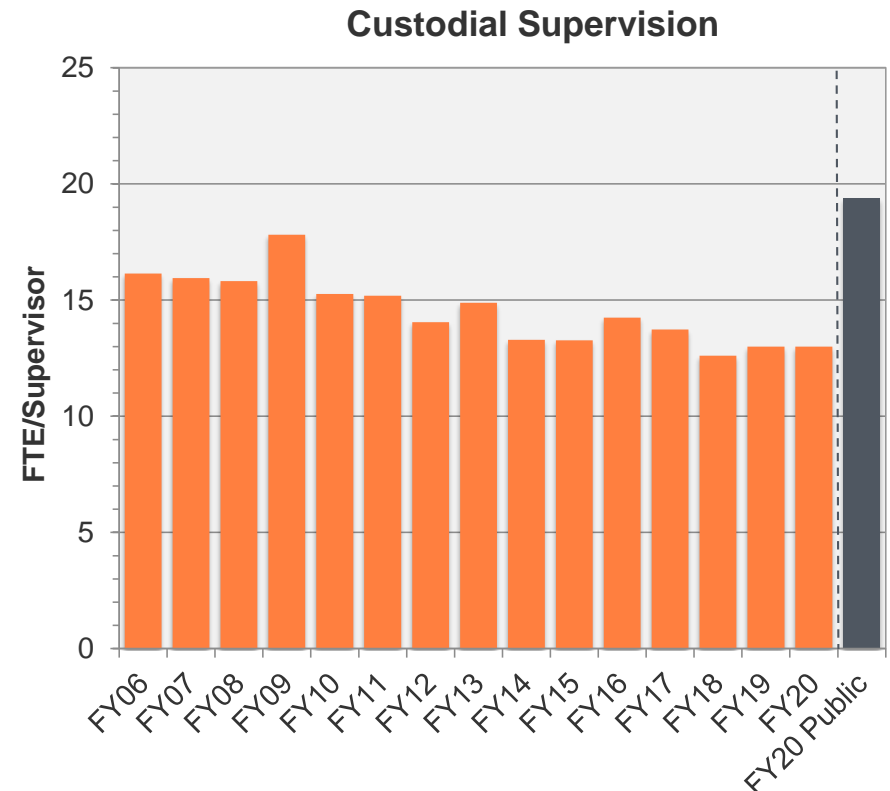
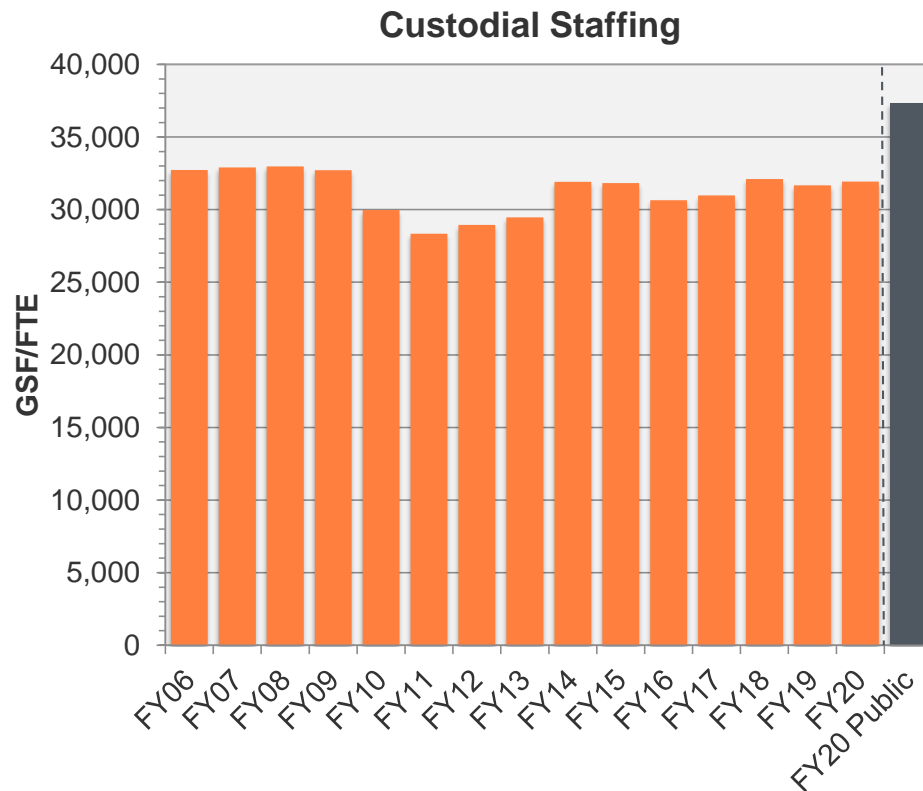


FY20 Public: Gordian Public Higher Ed. Database Average for FY20



## Custodial Operations

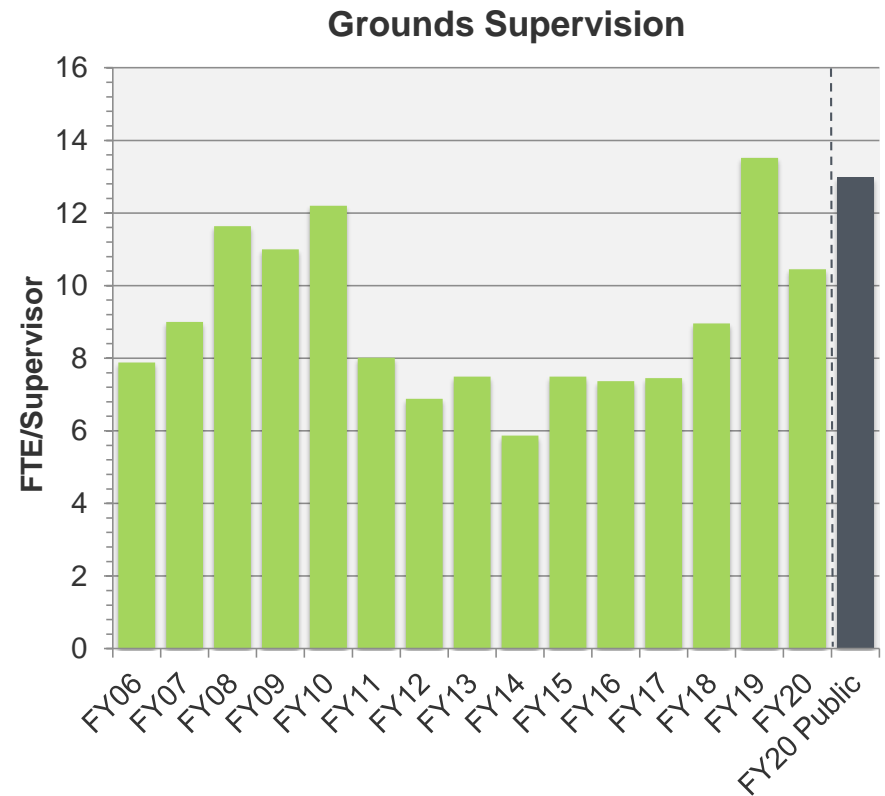
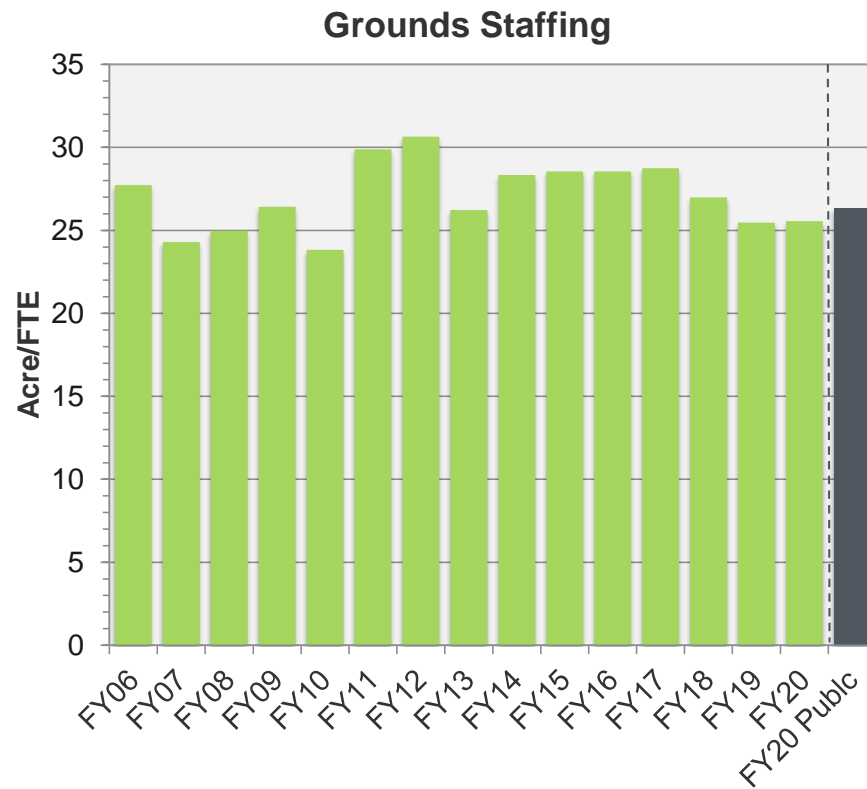
UMS has more custodial staff with closer supervision than public school average



FY20 Public: Gordian Public Higher Ed. Database Average for FY20

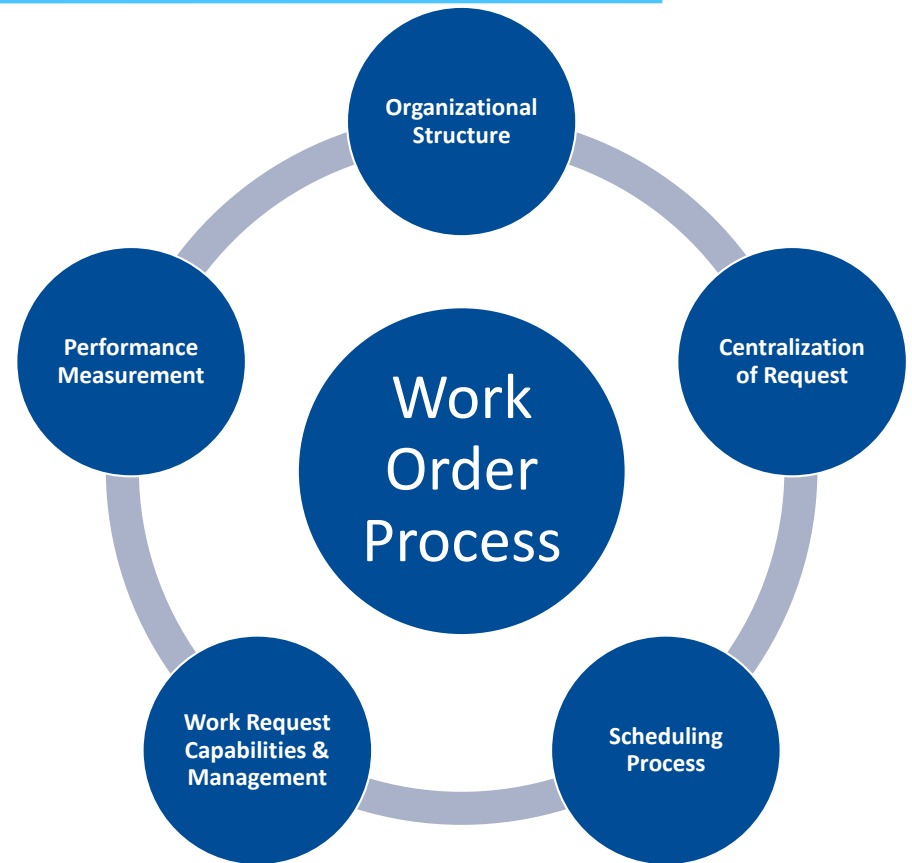
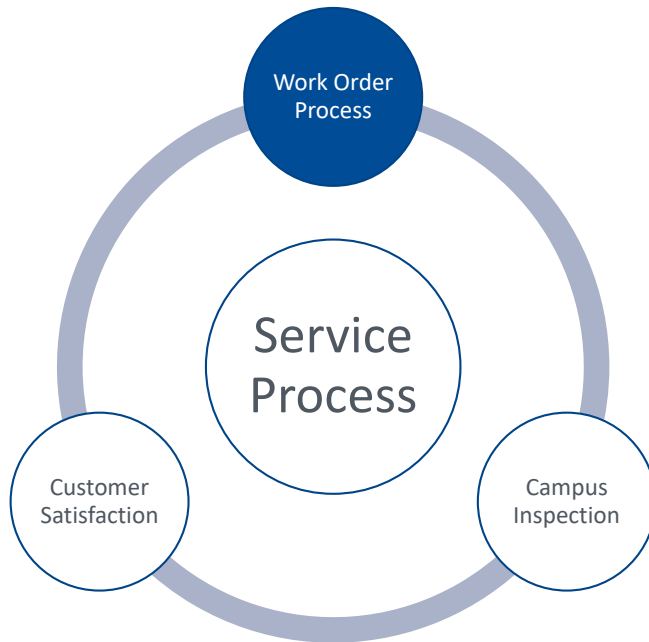
## Grounds Operations

Grounds staff responsible for similar acres as peers while being more closely supervised

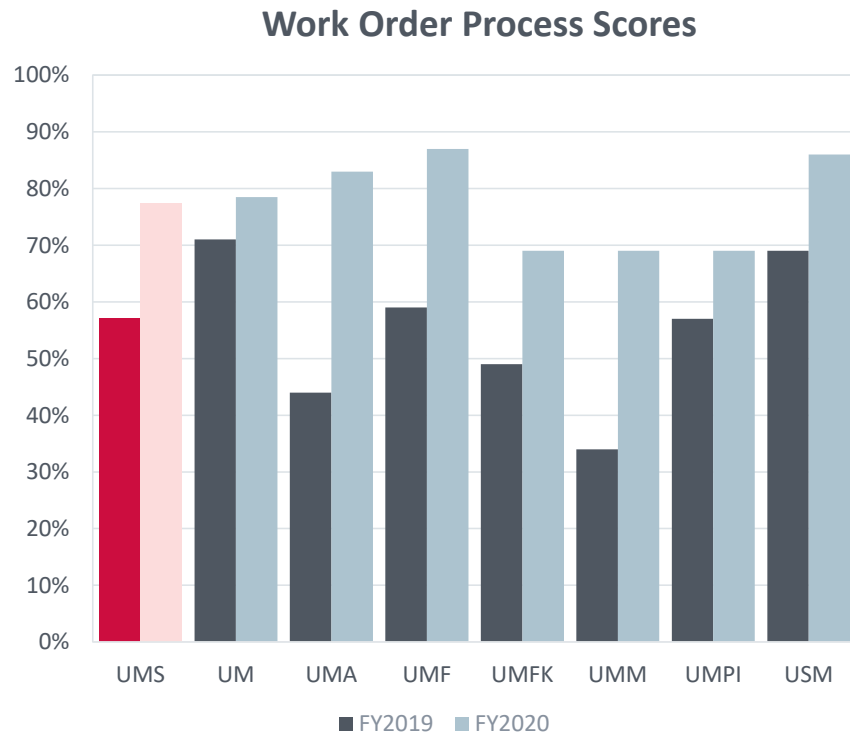


FY20 Public: Gordian Public Higher Ed. Database Average for FY20

## AIM Boost Service Process Abilities Across the System



# AIM Boost Service Process Abilities Across the System



# Improving Scheduling and Services Levels

## Scheduling Process

Service desk assigns priority	Yes
Service desk assigns schedule	Yes
Shop supervisor assigns personnel	Yes
Schedules are communicated to the customer	No
Changes in the schedule are communicated to the customer	No
Customers can access the current status of work requests through a web-based system	No
Changes to work request status are communicated to customer	Yes
Customer satisfaction is surveyed after work request is completed	No



We'll be there  
Thursday between  
8am-12pm



On Vehicle for Delivery Today

Scheduled Delivery Updated To:  
Tuesday, 06/07/2011

Change Delivery »

Last Location:  
Horsham, PA, United States, Tuesday, 06/07/2011

Add Notification »

Additional Information

Product:

Shipped/Billed On:

Type:

Weight:

WORLD EASE

06/02/2011

Package

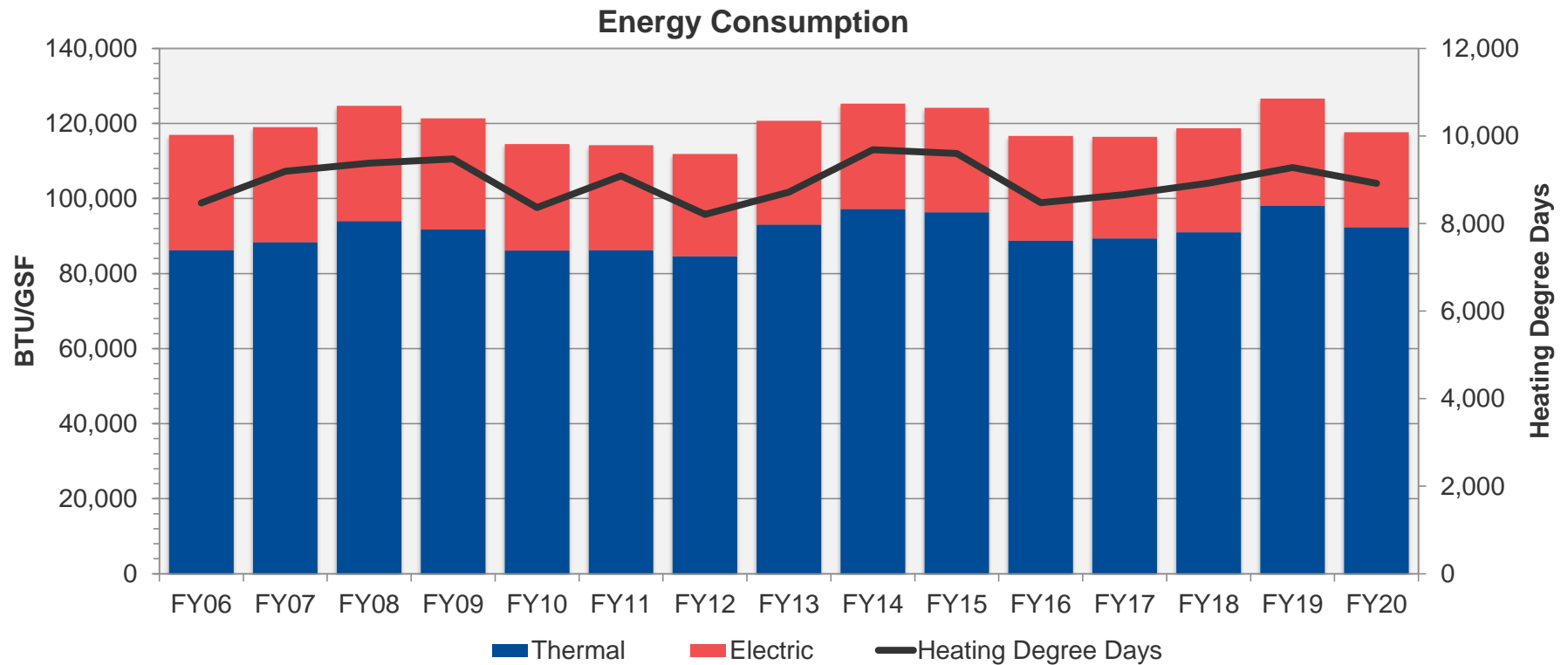
1.30 kgs

Shipment Progress

Location	Date	Local Time	Activity	What's This?
Horsham, PA, United States	06/07/2011	9:12 A.M.	Out For Delivery	
	06/07/2011	9:05 A.M.	Arrival Scan	
Philadelphia, PA, United States	06/07/2011	7:51 A.M.	Departure Scan	
	06/07/2011	7:30 A.M.	Adverse weather conditions.	
	06/07/2011	7:11 A.M.	Arrival Scan	
Louisville, KY, United States	06/07/2011	4:56 A.M.	Departure Scan	
	06/07/2011	1:22 A.M.	Arrival Scan	
Anchorage, AK, United States	06/06/2011	3:22 P.M.	Departure Scan	
	06/06/2011	12:58 P.M.	Arrival Scan	
Incheon, Korea, Republic of	06/06/2011	11:50 P.M.	Departure Scan	
Chek Lap Kok, Hong Kong	06/06/2011	4:17 P.M.	Departure Scan	
Chengdu, China	06/05/2011	2:30 A.M.	Departure Scan	
EPZ, China	06/02/2011	9:05 P.M.	Departure Scan	
	06/02/2011	1:50 P.M.	Origin Scan	
China	06/02/2011	7:17 A.M.	Order Processed: Ready for UPS	

## Energy Consumption Decreased for First Time Since FY17

Consumption Decreases as Heating Degree Days Decrease in FY20



\*Degree days noted are based on the Orono, Maine location

\*\*Thermal contain all heating fuel sources, including alternative fuel sources (ie biomass, wood chips, etc.)

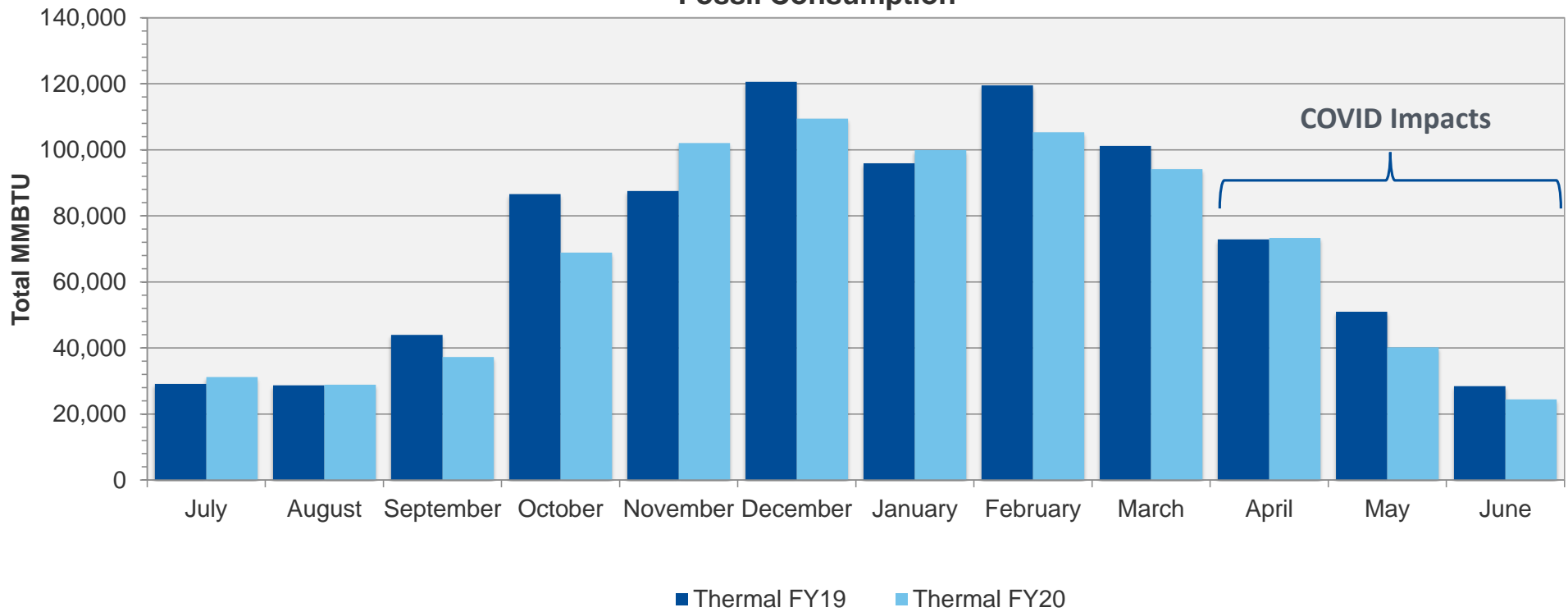
46

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## Total Thermal Consumption by Month

Decreased Thermal Consumption across FY20 when compared to FY19

### Fossil Consumption

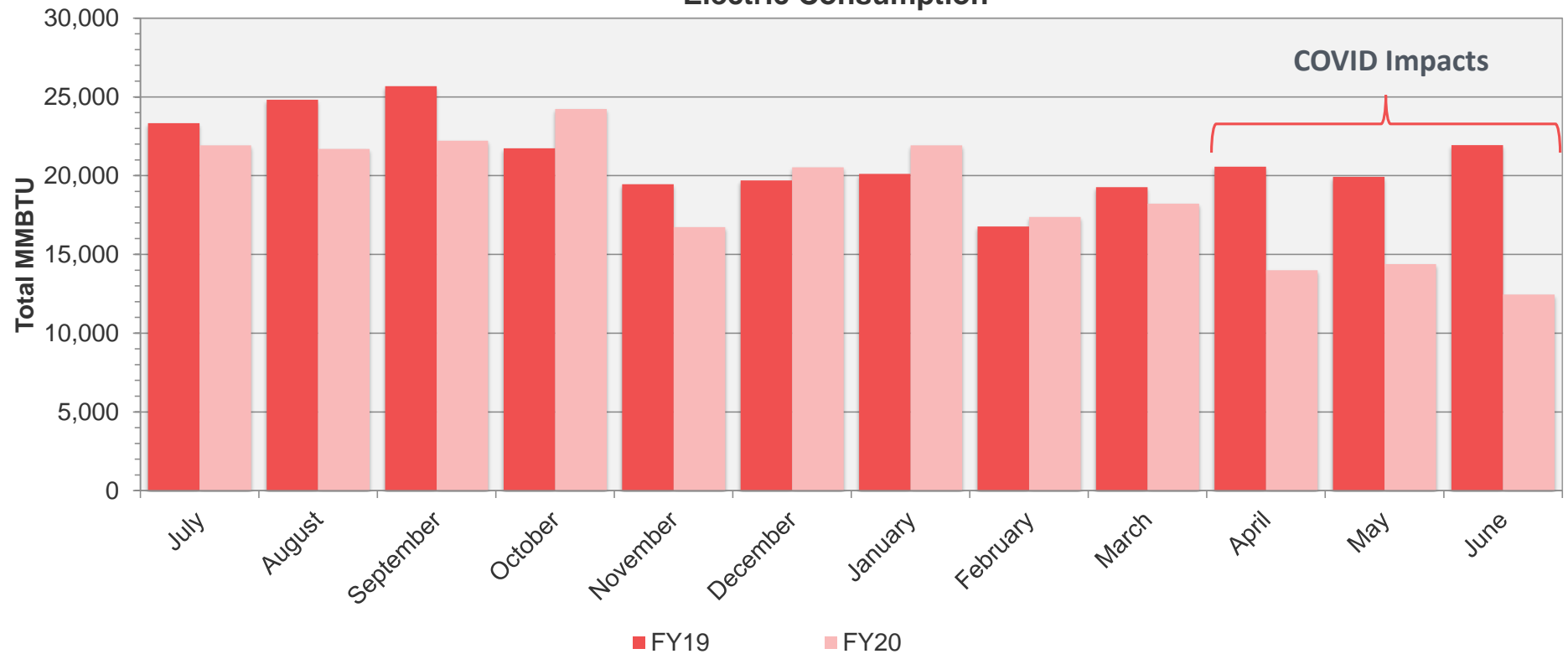


*\*\*Thermal contain all heating fuel sources, including alternative fuel sources (ie biomass, wood chips, etc.)*

## Total Electric Consumption by Month

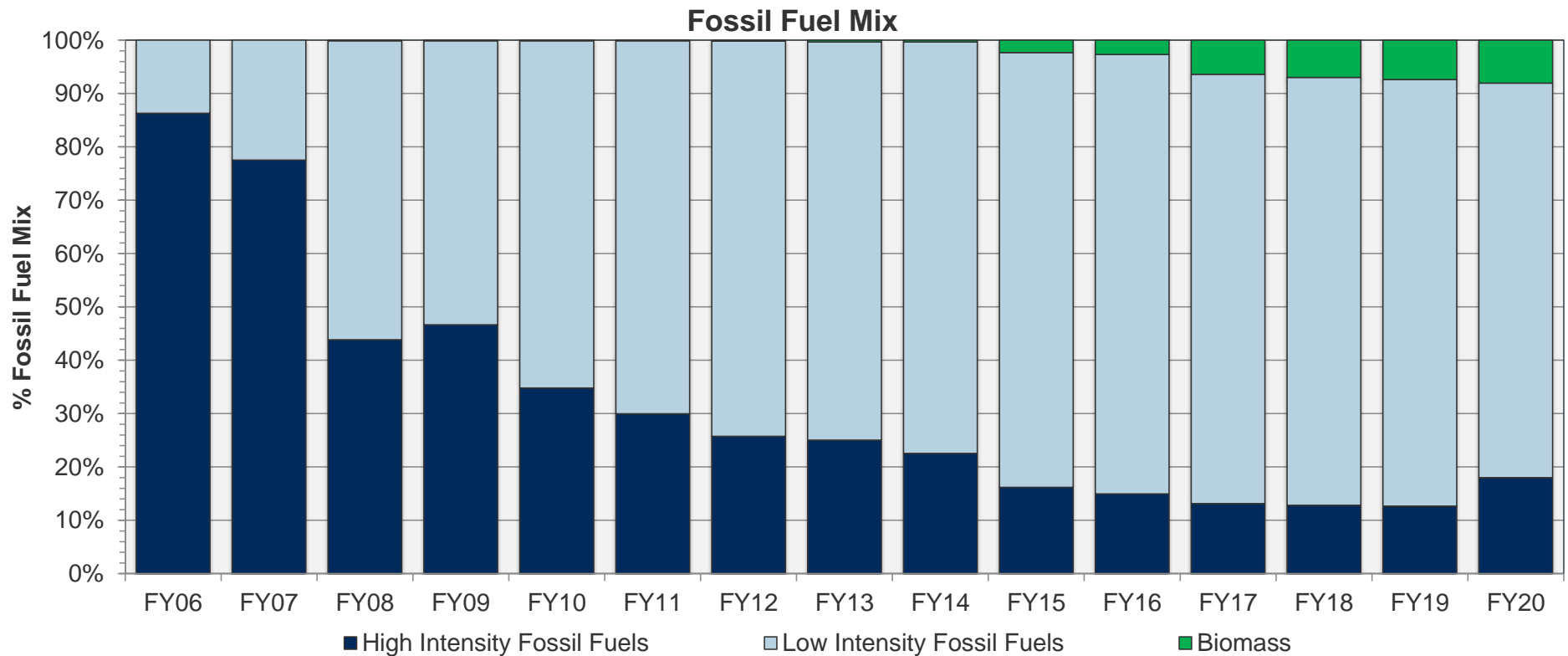
COVID Decreases Electric Consumption Heavily from April-June

Electric Consumption





## High Intensity Fossil Increases as Low Intensity Decreases

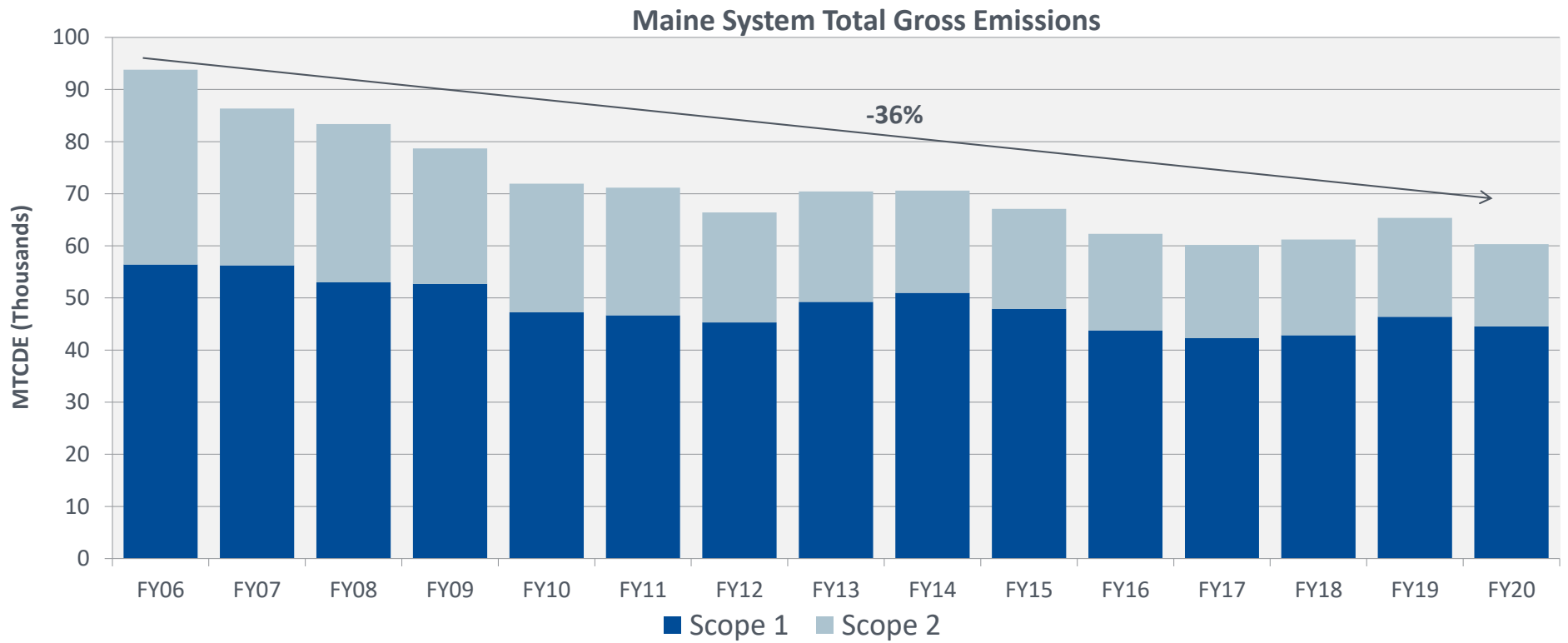


*\*High intensity fuels include oil #2 and oil #6*

*\*\*Low intensity fuels include natural gas and propane*

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## Fuel Mix and Consumption Drive Emission Rates



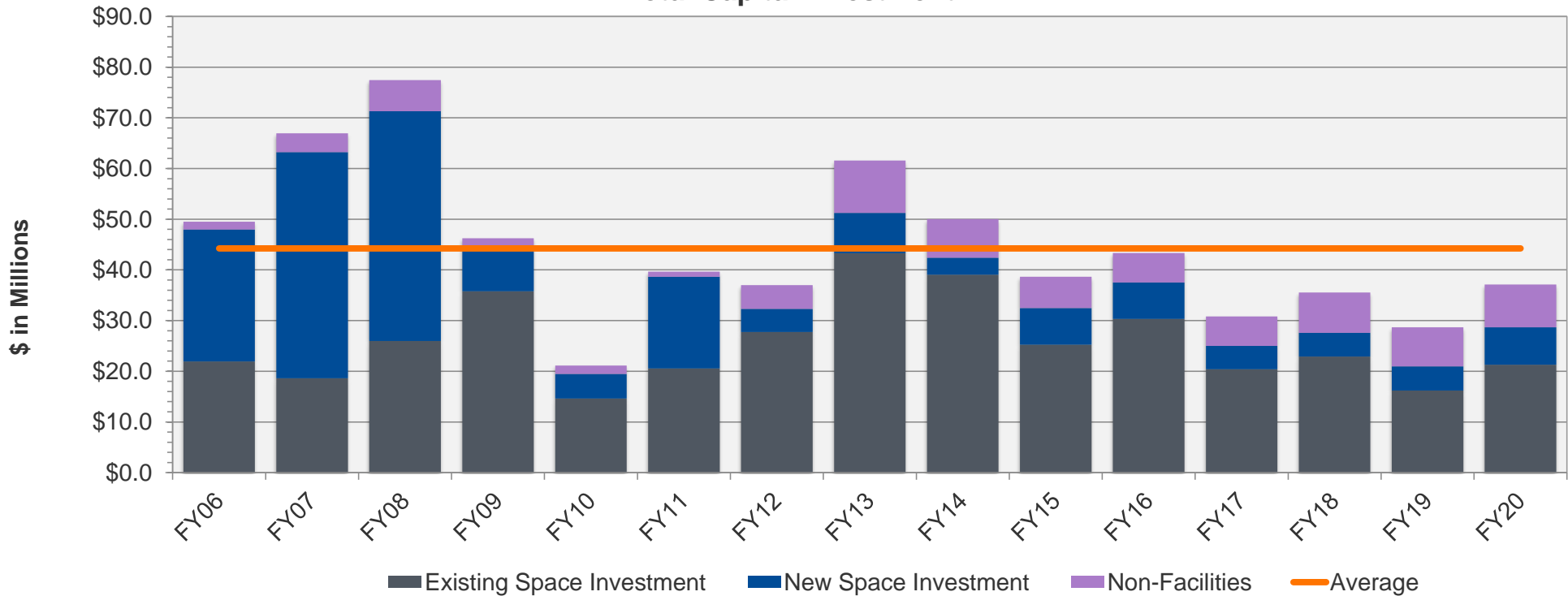
MTCDE = Metric Tons of Carbon Dioxide Equivalent

# Asset Value Change

## Total Capital Investment Increases \$8.4M in FY20

Total Capital Investment at Highest Level Since FY16

Total Capital Investment

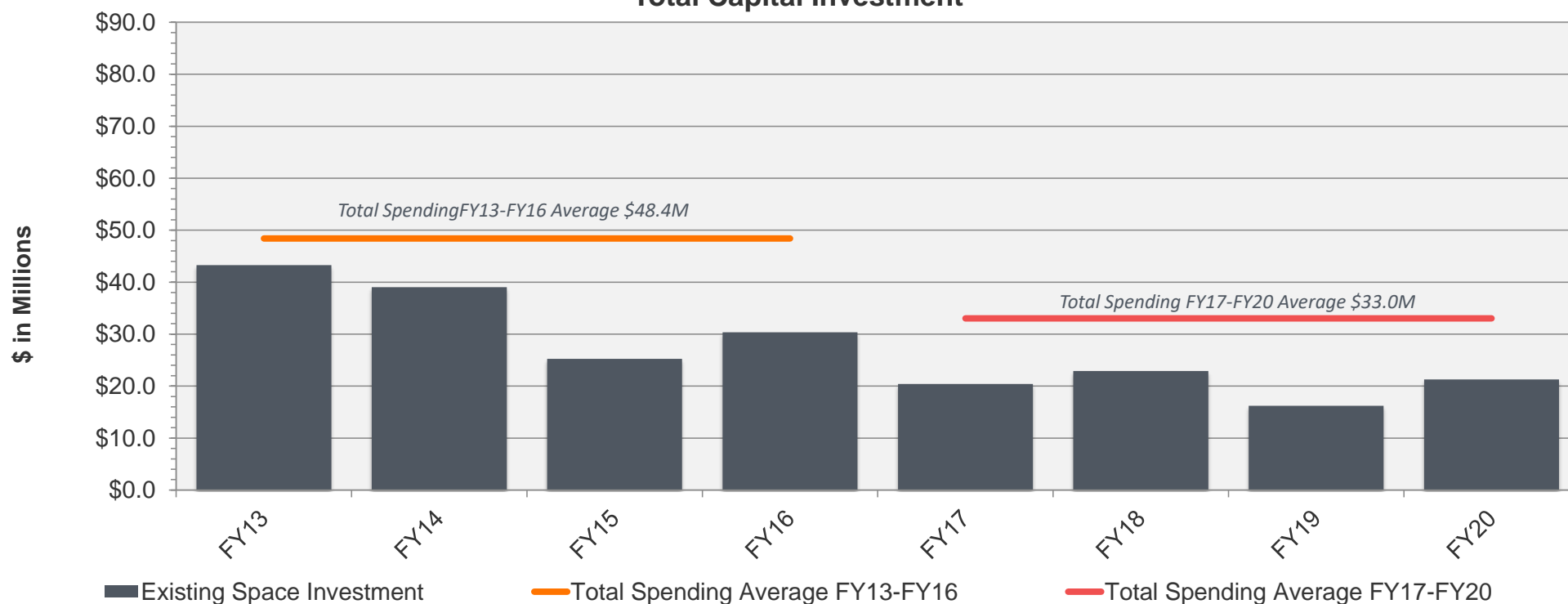


Examples of Non-Facilities work include: Study/Design fees, IT work, and demolition costs. These are necessary capital costs for Facilities Operations but do not add value/enhance existing buildings.

## Capital Investment Profile Decreases Over Time

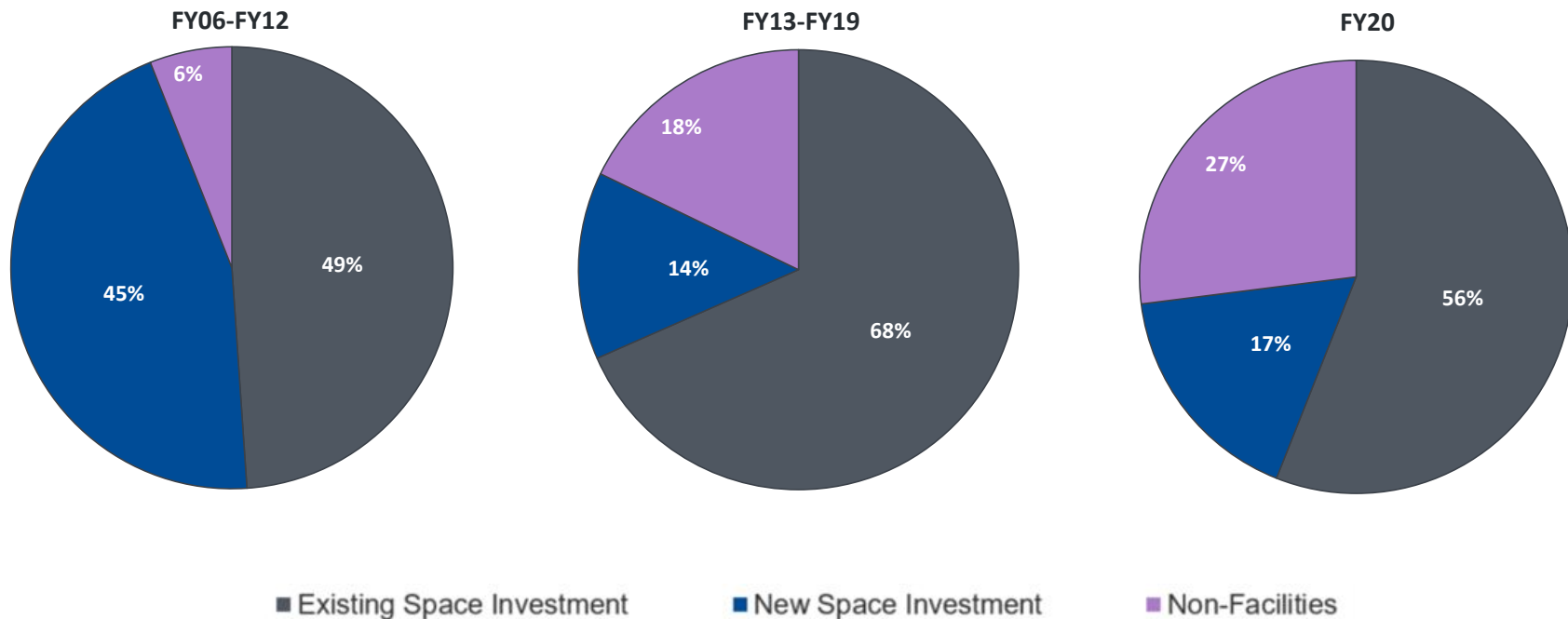
FY17-FY20 Capital Investment Decreases 31% from FY13-FY16 Average

**Total Capital Investment**



## Investments Focus on Existing Space in FY20

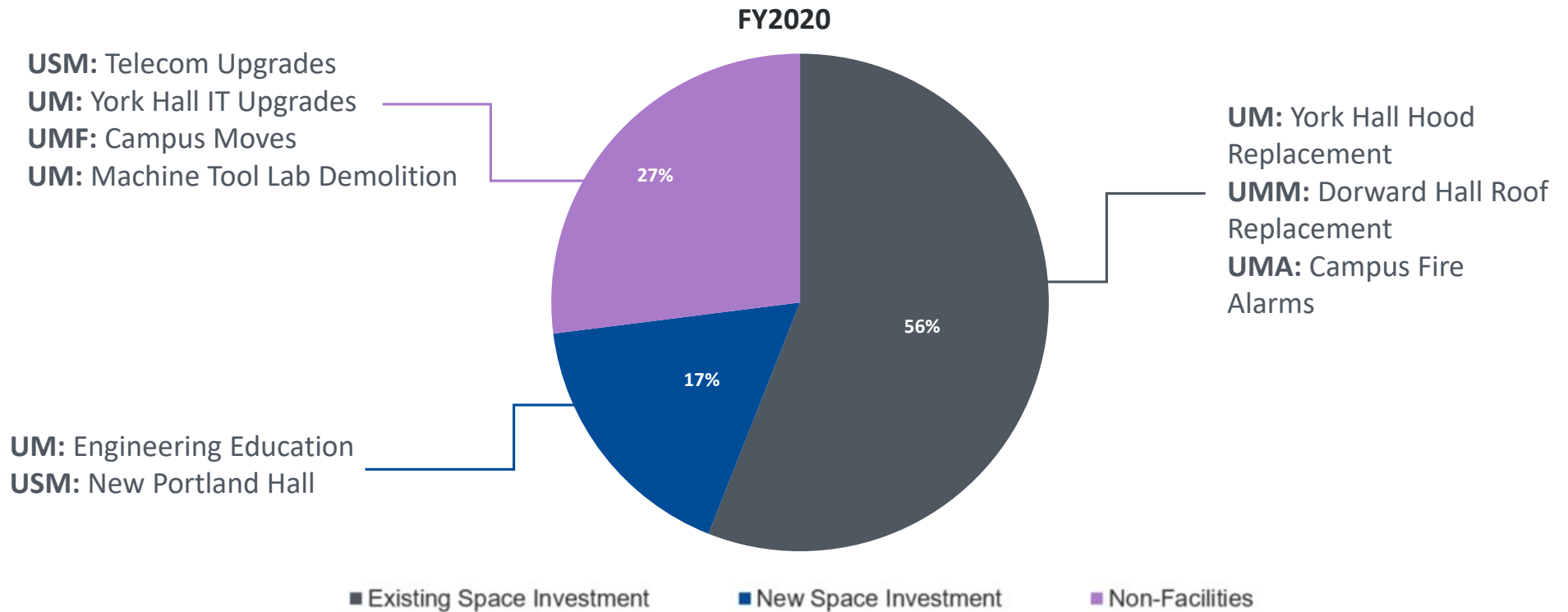
Existing space investments help to slow backlog growth



Examples of Non-Facilities work include: Study/Design fees, IT work, and demolition costs. These are necessary capital costs for Facilities Operations but do not add value/enhance existing buildings.

## Investments Focus on Existing Space in FY20

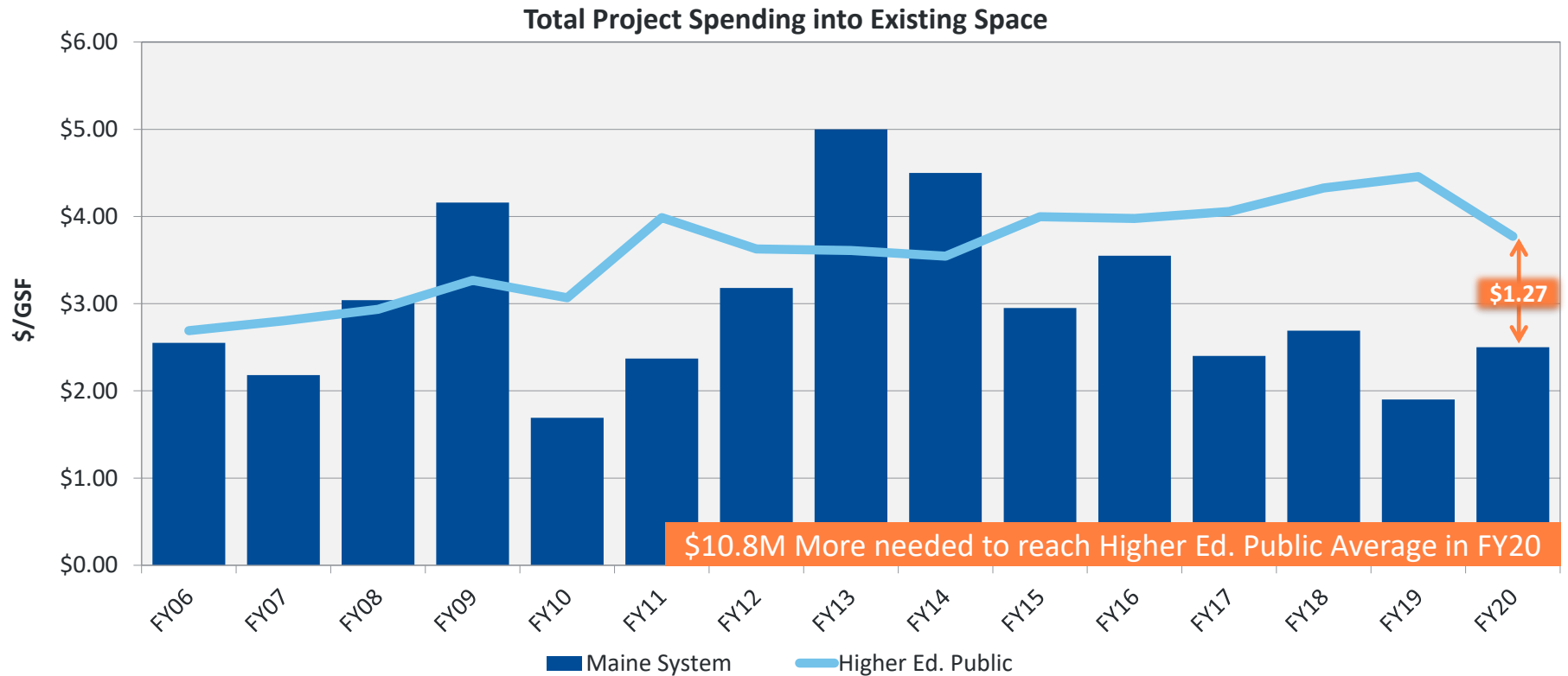
Existing space investments help to slow backlog growth



*Examples of Non-Facilities work include: Study/Design fees, IT work, and demolition costs. These are necessary capital costs for Facilities Operations but do not add value/enhance existing buildings.*

# Gap In Investment Against Peer Systems Decreases in FY20

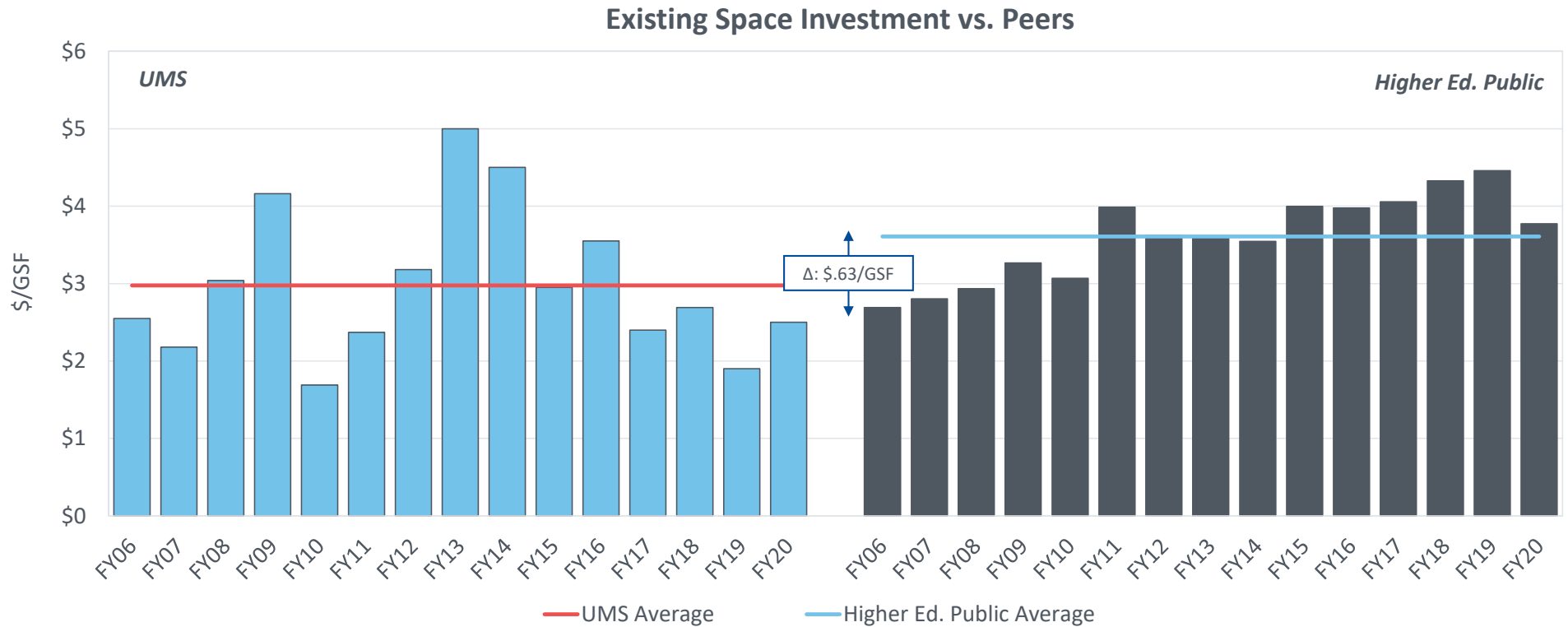
UMaine System closes gap to Public Institutions to \$1.27/GSF in FY20





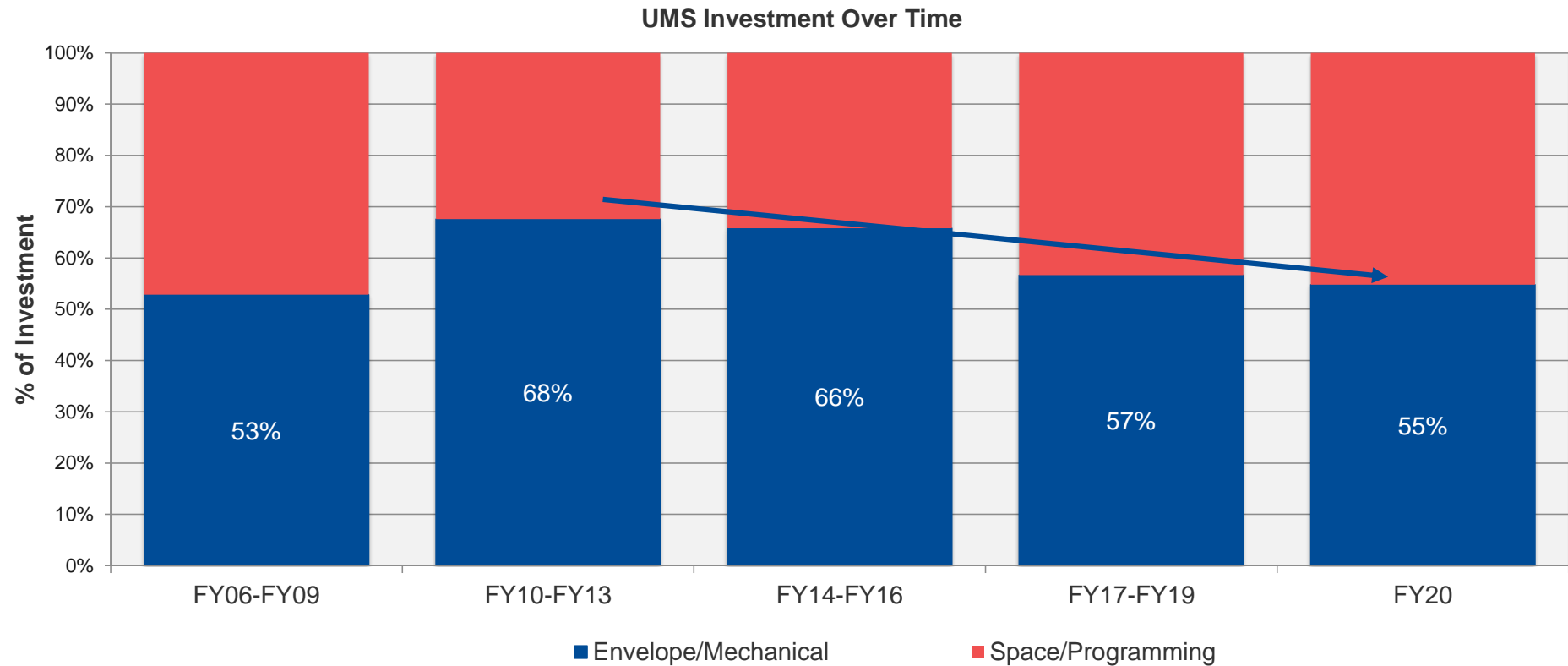
## Existing Space Investment vs. Public Institutions

Peers invest an average of \$.63/GSF more than UMS from FY06-FY20



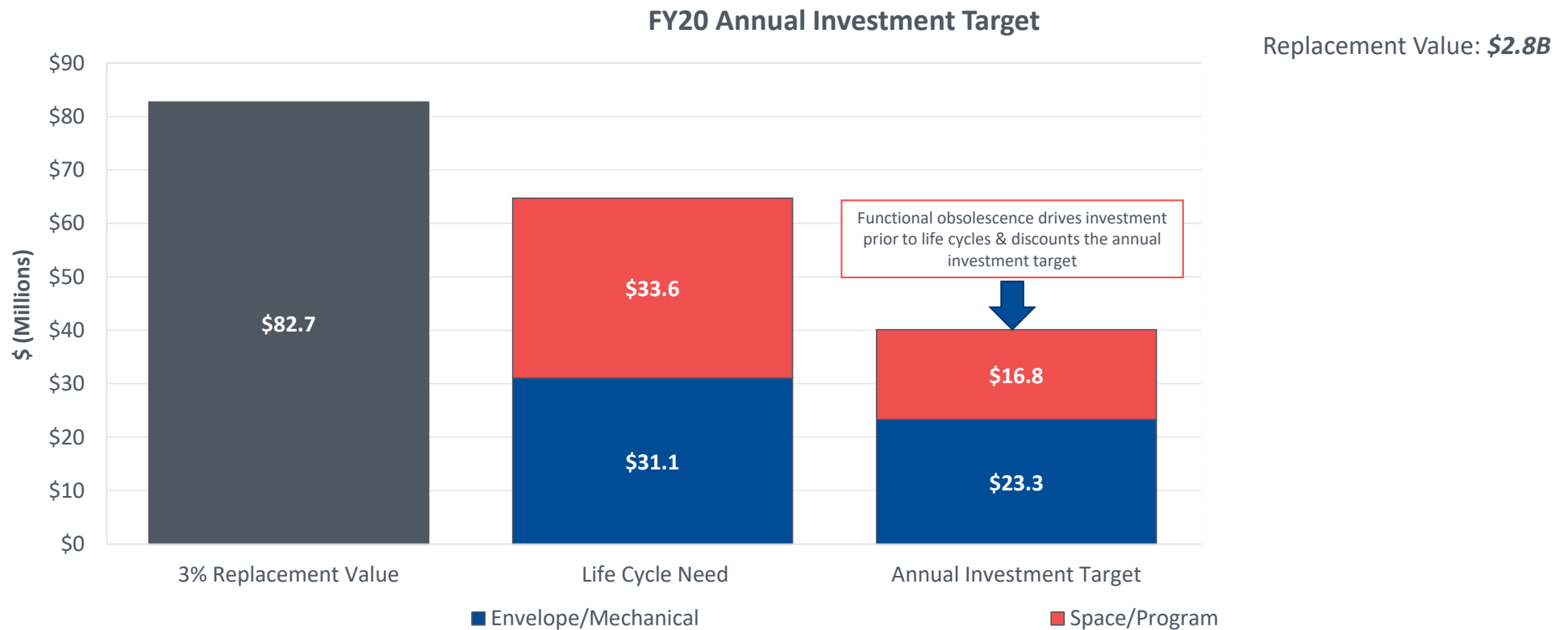
## Investment Focus Shifts Towards Space/Program

ROI is higher in envelope/mechanical investments than space/program

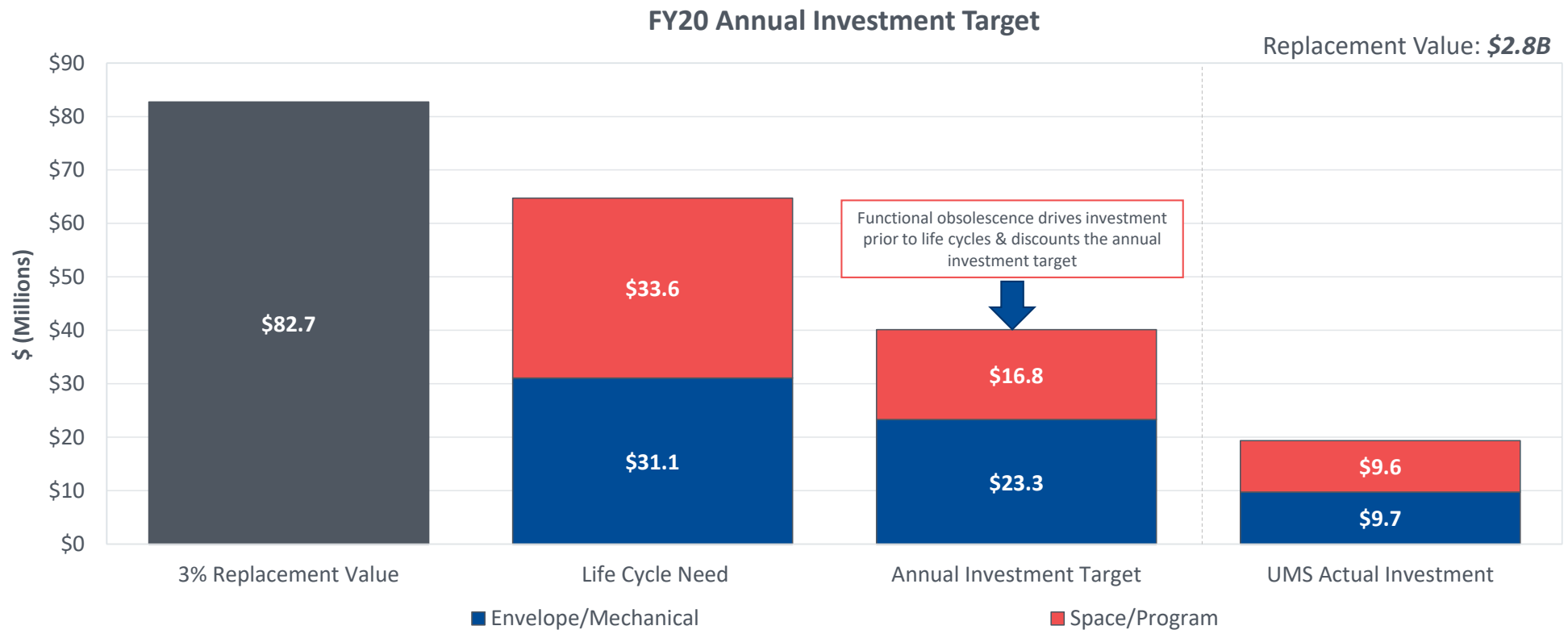


*Does not include infrastructure investments.*

## UMS FY20 Annual Investment Target: \$40.1M



# UMS FY20 Annual Investment Target: \$40.1M

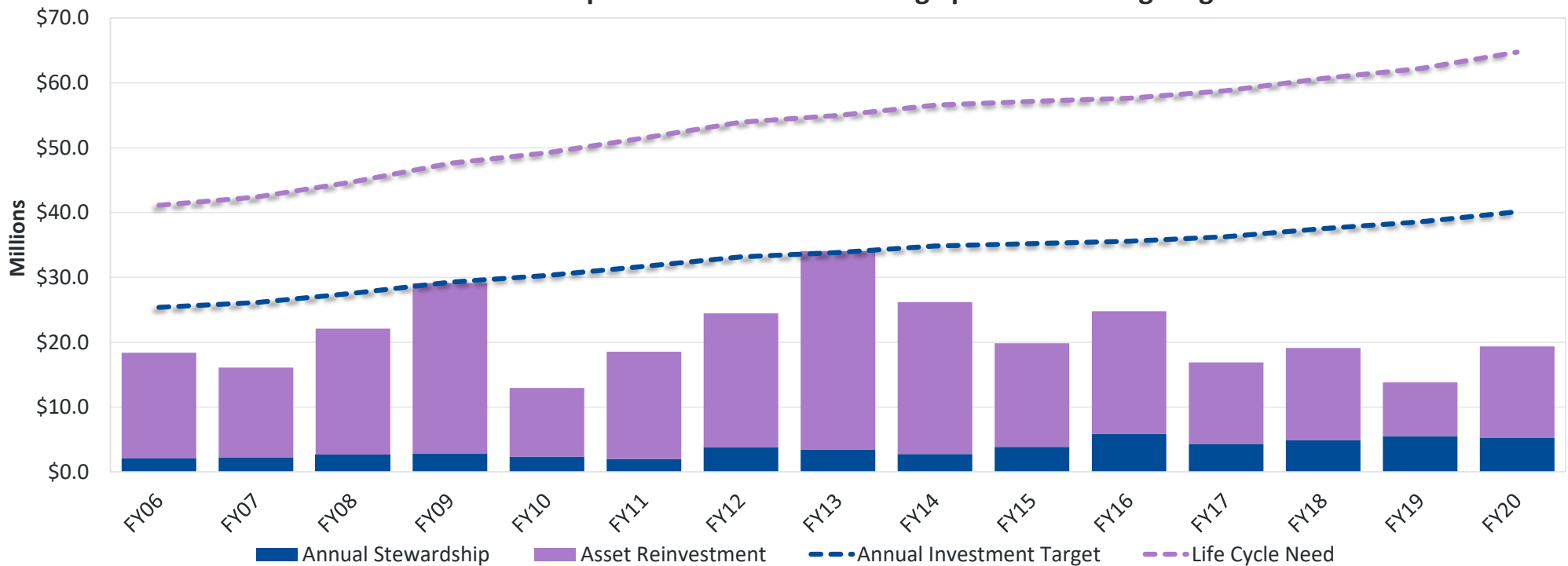


# UMS Falls \$20.8M Short of Annual Investment Target in FY20



Deferral to Backlog of Need Continues in FY20

Historical Capital Investment in Existing Space vs Funding Target



Does not include infrastructure, new space or non-facilities spending

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## Sightlines' Targets Continue to Increase Over Time

Approximately \$50-\$60M needed each year to keep System assets at steady NAV

Capital Investment in Existing Space vs Funding Target Over Time



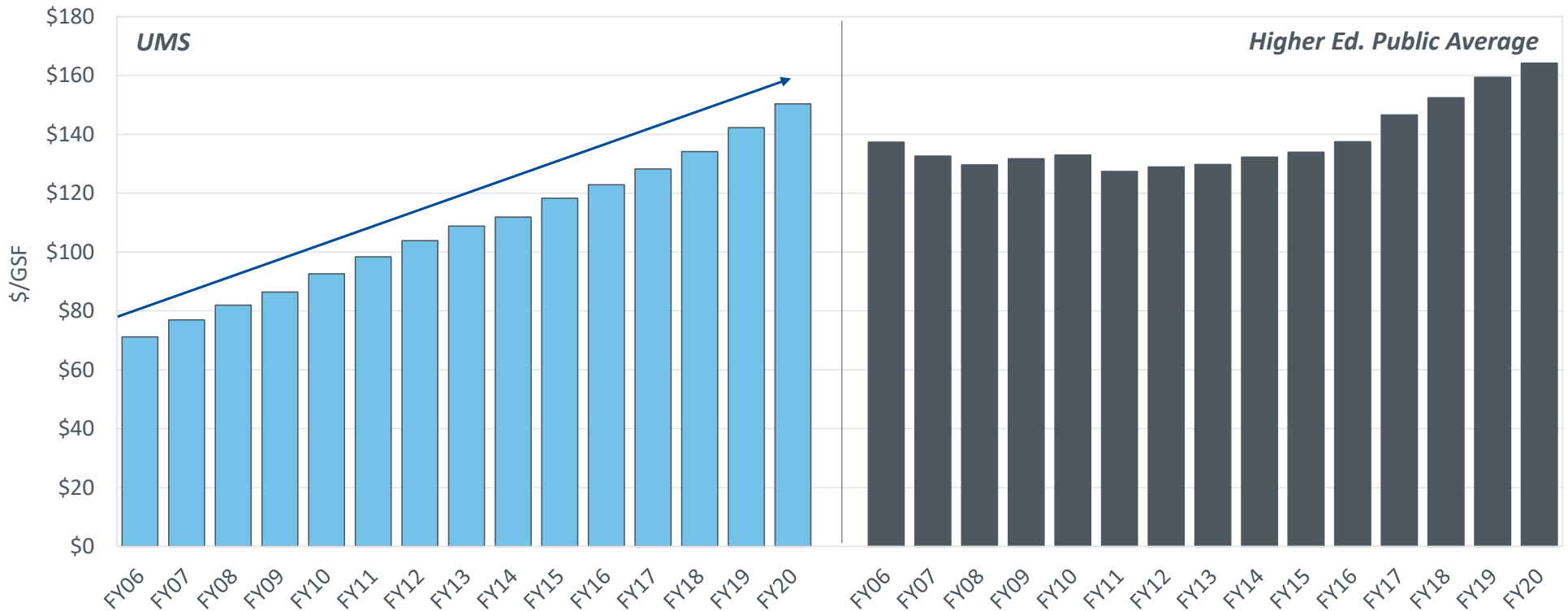
*Does not include infrastructure, new space or non-facilities spending*

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# Asset Reinvestment Need Growth Similar to Higher Ed. Public

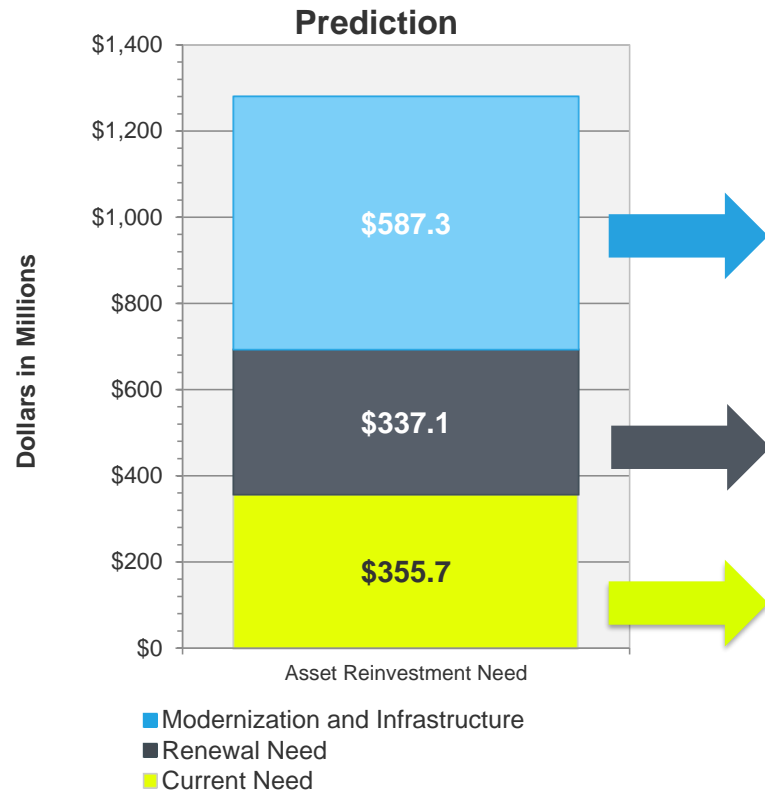


Asset Reinvestment Need vs. Peers



# \$1.28B of Need at UMS Over the Next 10 Years

Current Need or Deferred Maintenance accounts for 28% of total need, \$355.7M



- ✓ Modernization and Infrastructure Needs
- ✓ Estimated using a combination of the Sightlines' database and BPS analyses.

## ✓ Combination of Funds

- ✓ Life Cycle Needs coming due between FY21 – FY30

## ✓ “Keep-Up” Funds

- ✓ Deferred Maintenance
- ✓ The subsystem has already failed
- ✓ The subsystem is functioning with substantial degradation of efficiency or performing at increased cost

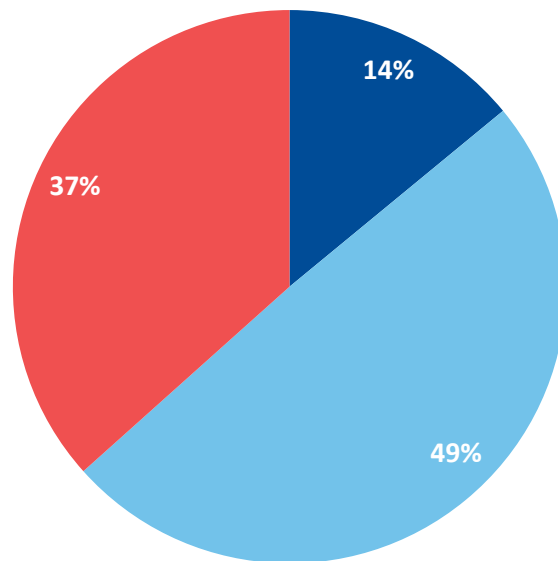
## ✓ “Catch-Up” Funds



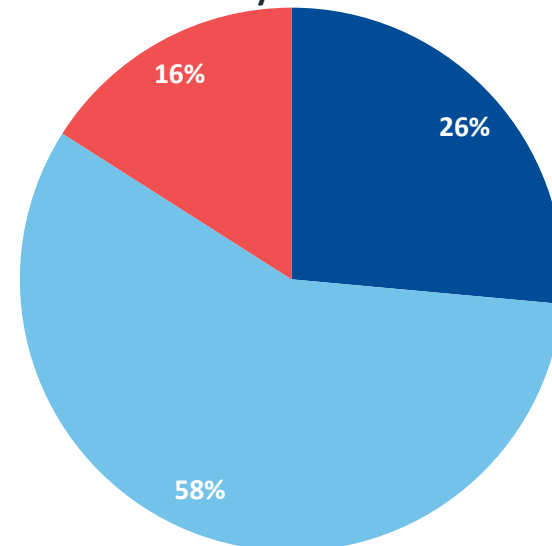
## UMS Aligns Spending With Highest Need: Mechanical

Continued investment in mechanical and envelope work needed in future years

FY06-FY20 Historical Project Investment



Distribution of Maine System Need\* by System



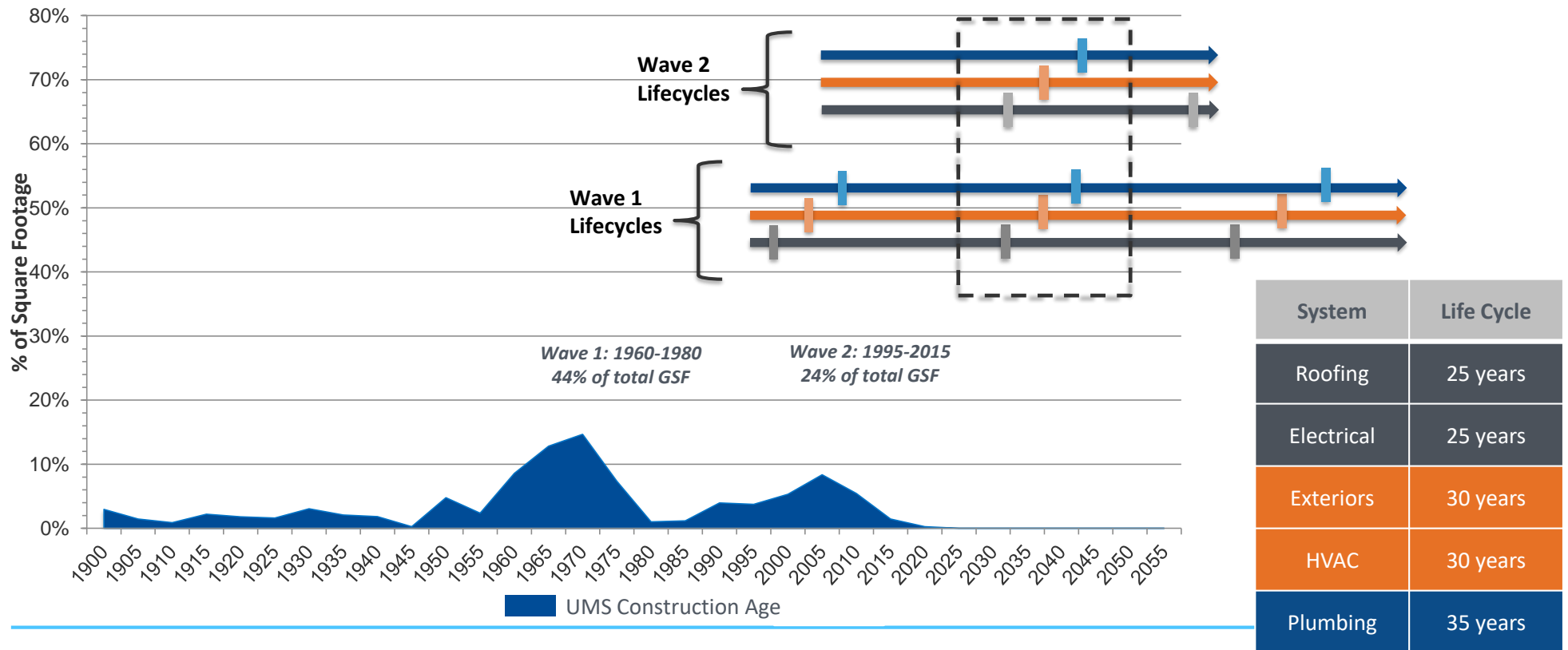
■ Envelope ■ Mechanical ■ Interiors

\$296M Invested

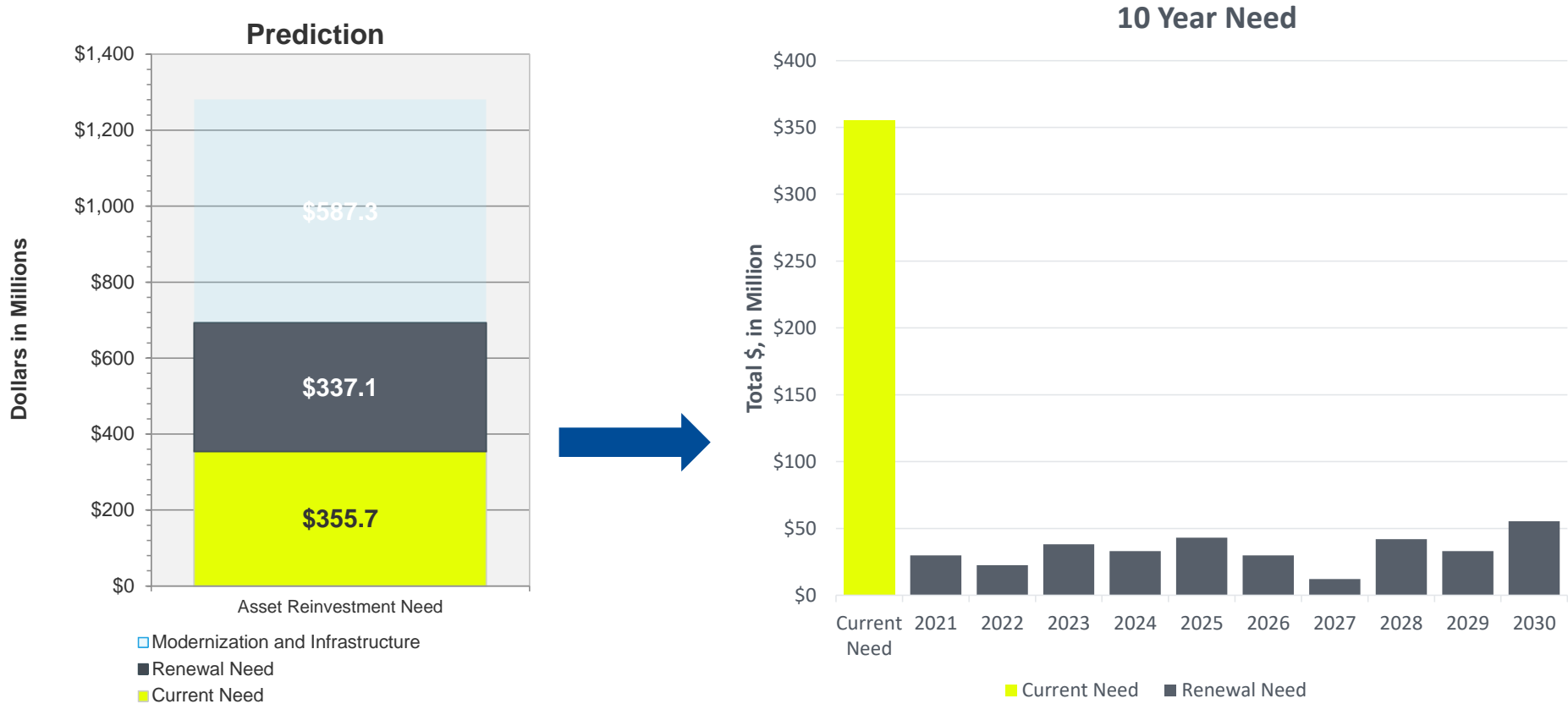
\$554M of Need

*\*Need includes backlog and renewal projects, not modernization or infrastructure work*

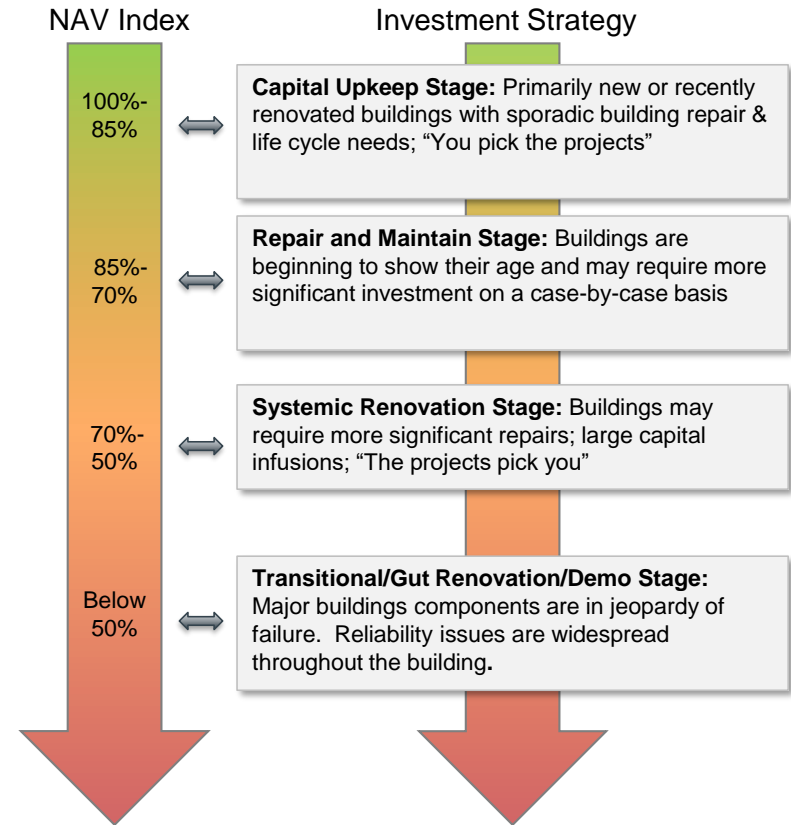
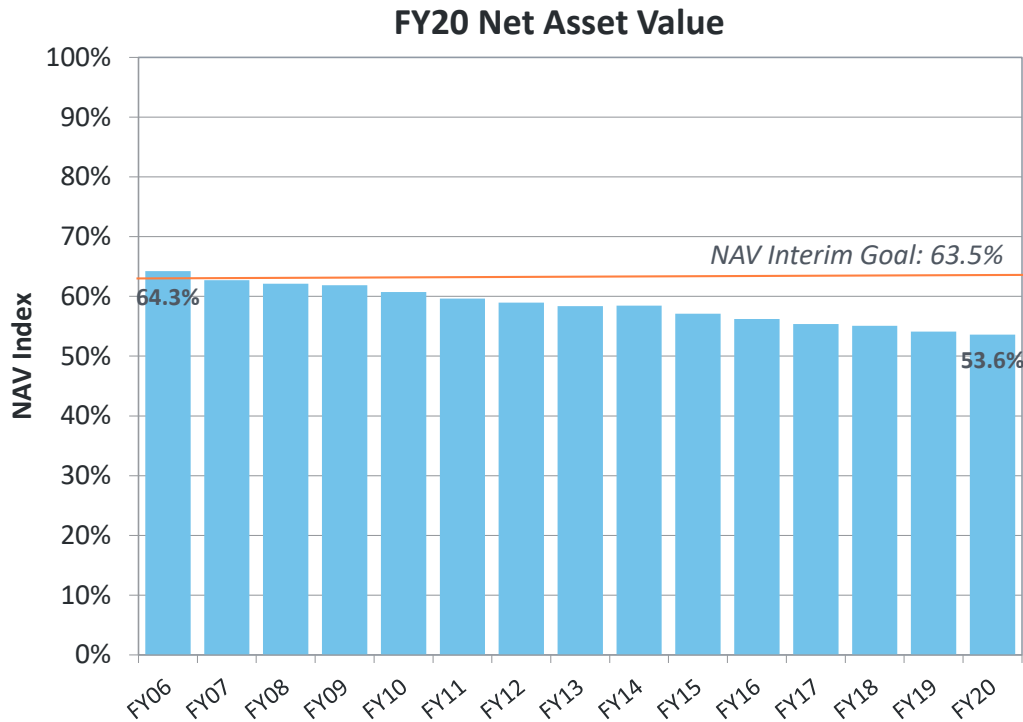
## Future Forecast Determined by Life Cycle Models



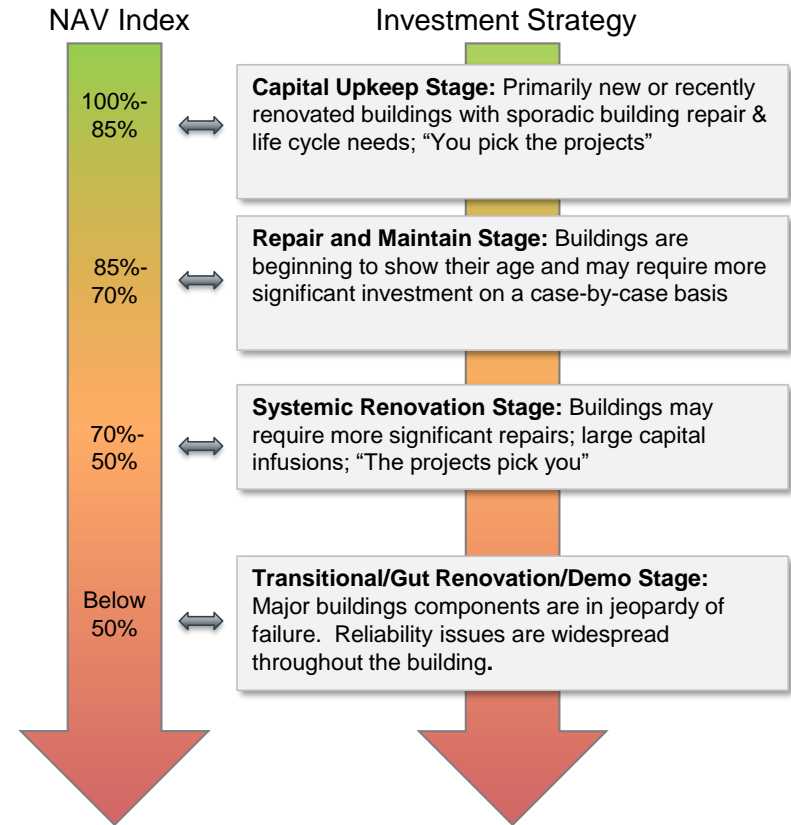
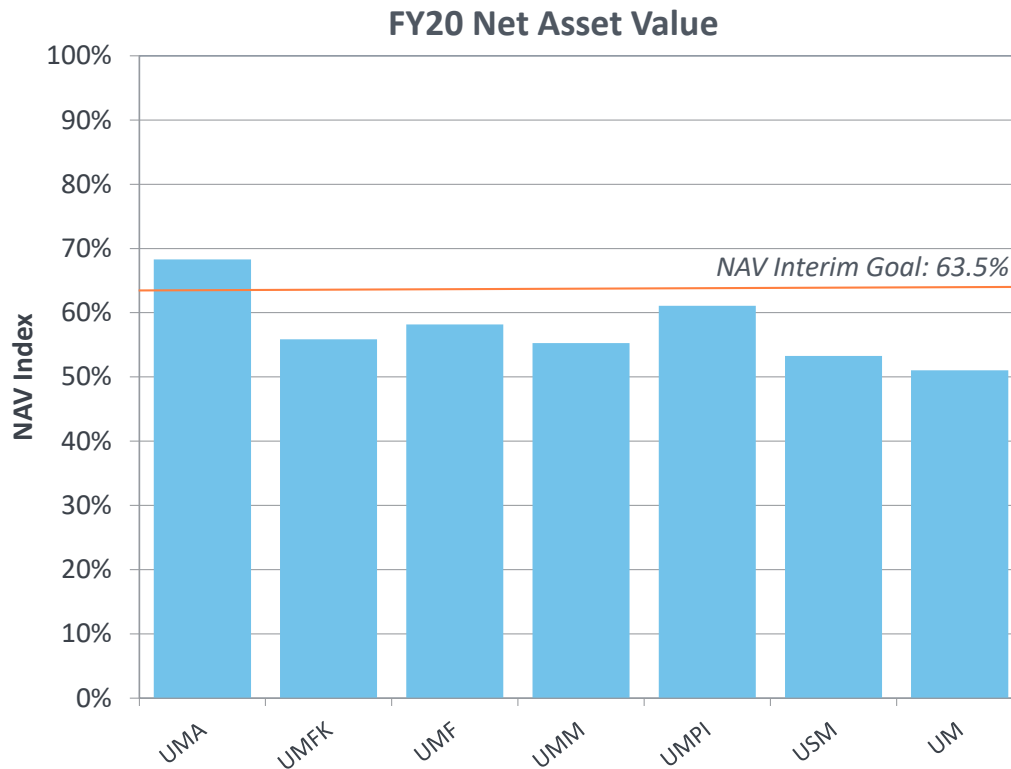
## Planning Investments Over the Next Ten Years



# Rate of Deferral Slows But NAV Continues to Decrease



## FY20 Net Asset Value By Campus



# Concluding Comments

## Key Takeaways

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- **Campus is aging and will face a series of life cycles coming due. These life cycles will require investments for replacement/updates in the next 10 years and will be competing for the same resources.**
  - UMS will need \$50-\$60M each year to slow the aging process and mitigate deferred maintenance.
- **UMS has an opportunity to improve customer satisfaction and reporting consistency through the work order process. Campuses facilities should work to understand what data helps tie capital needs to operational costs in a manner that is easily communicated to those outside of facilities.**
  - How can data be used to target limited resources to the highest needs?
- **How will campus shift in the post pandemic era regarding space management? Will similar space be needed if employees and students operate in a more remote fashion?**
  - Which assets are not long term assets?
  - Which assets are core to the mission/strategy of the institution?

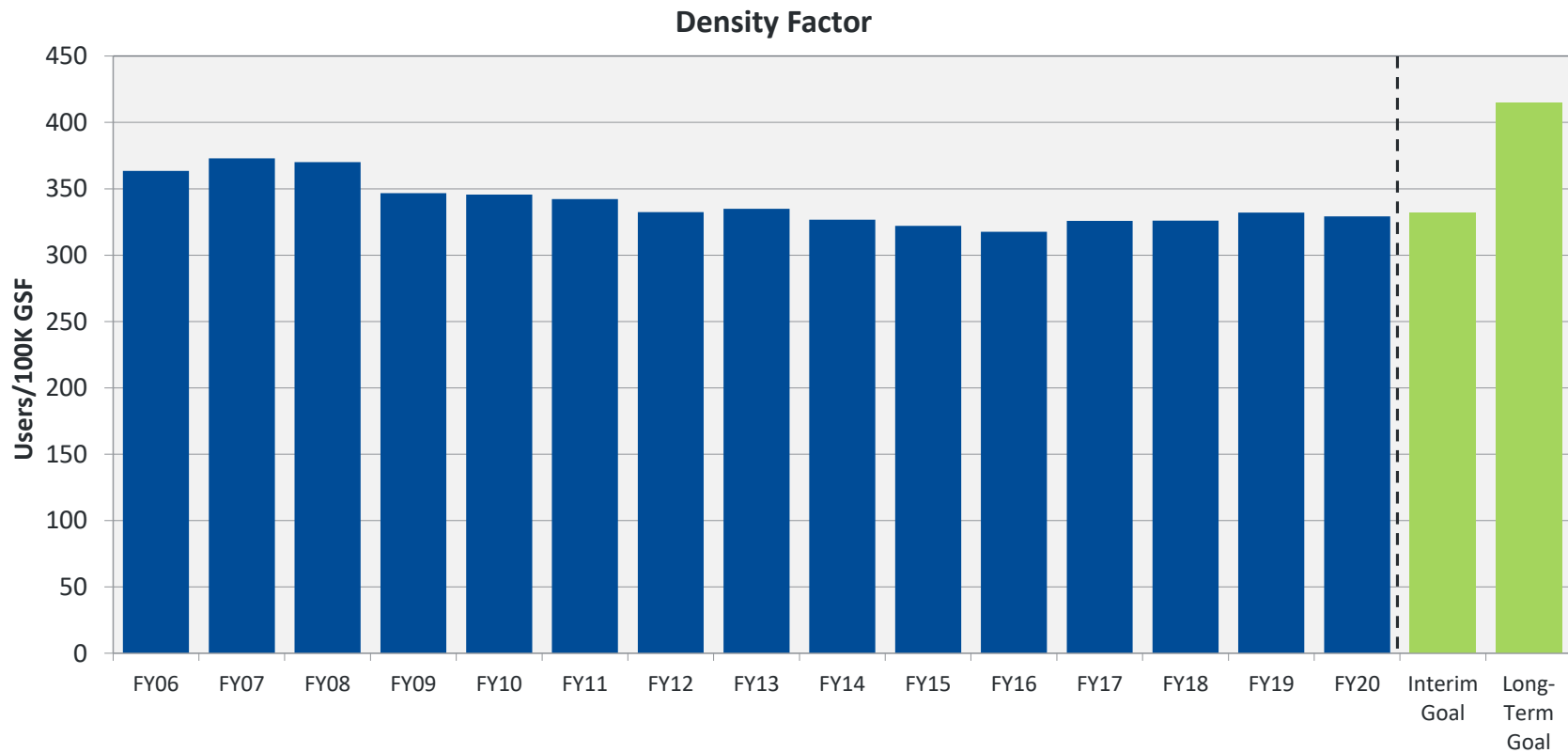
# Questions and Comments



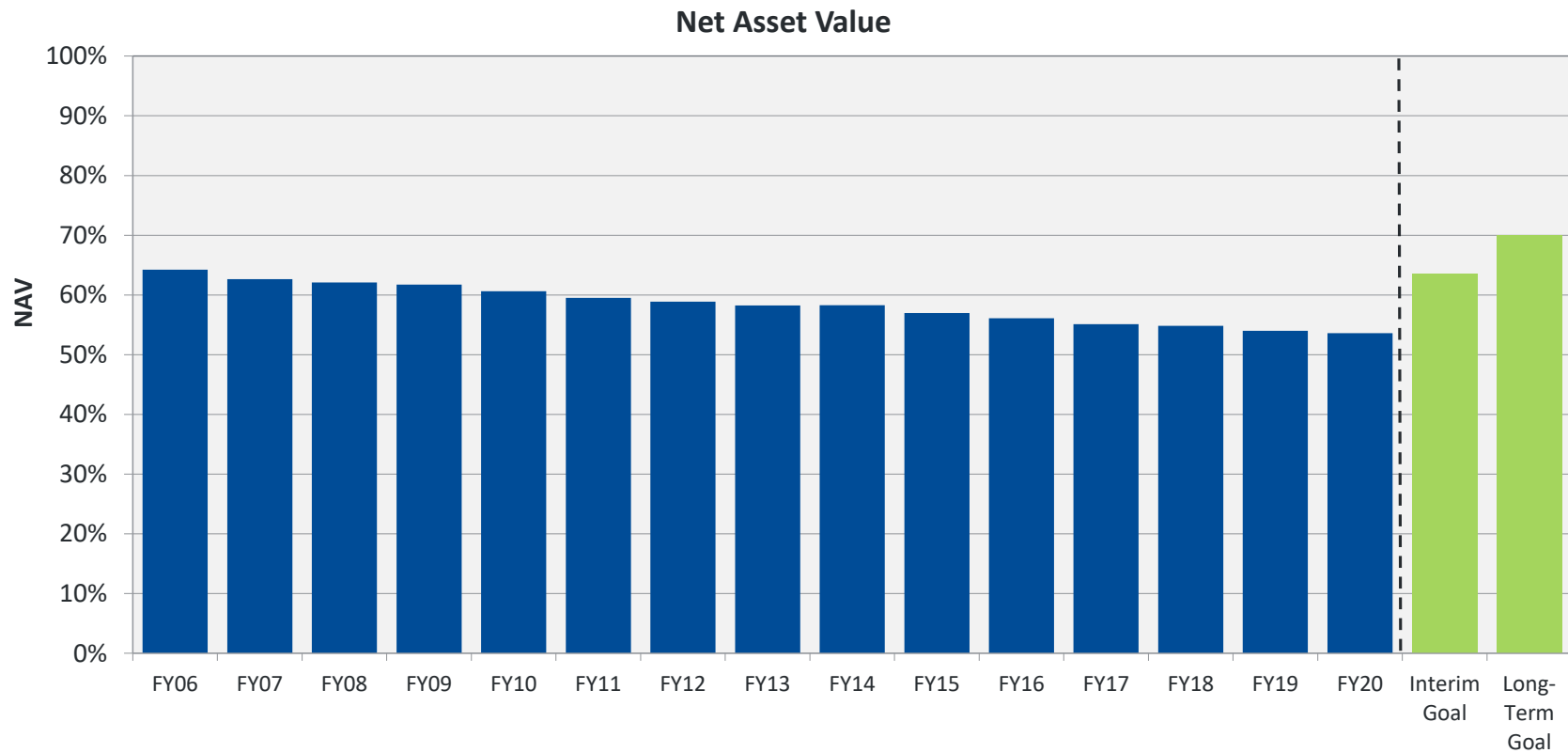
# Appendix: UMS Key Performance Indicators

## Density Factor

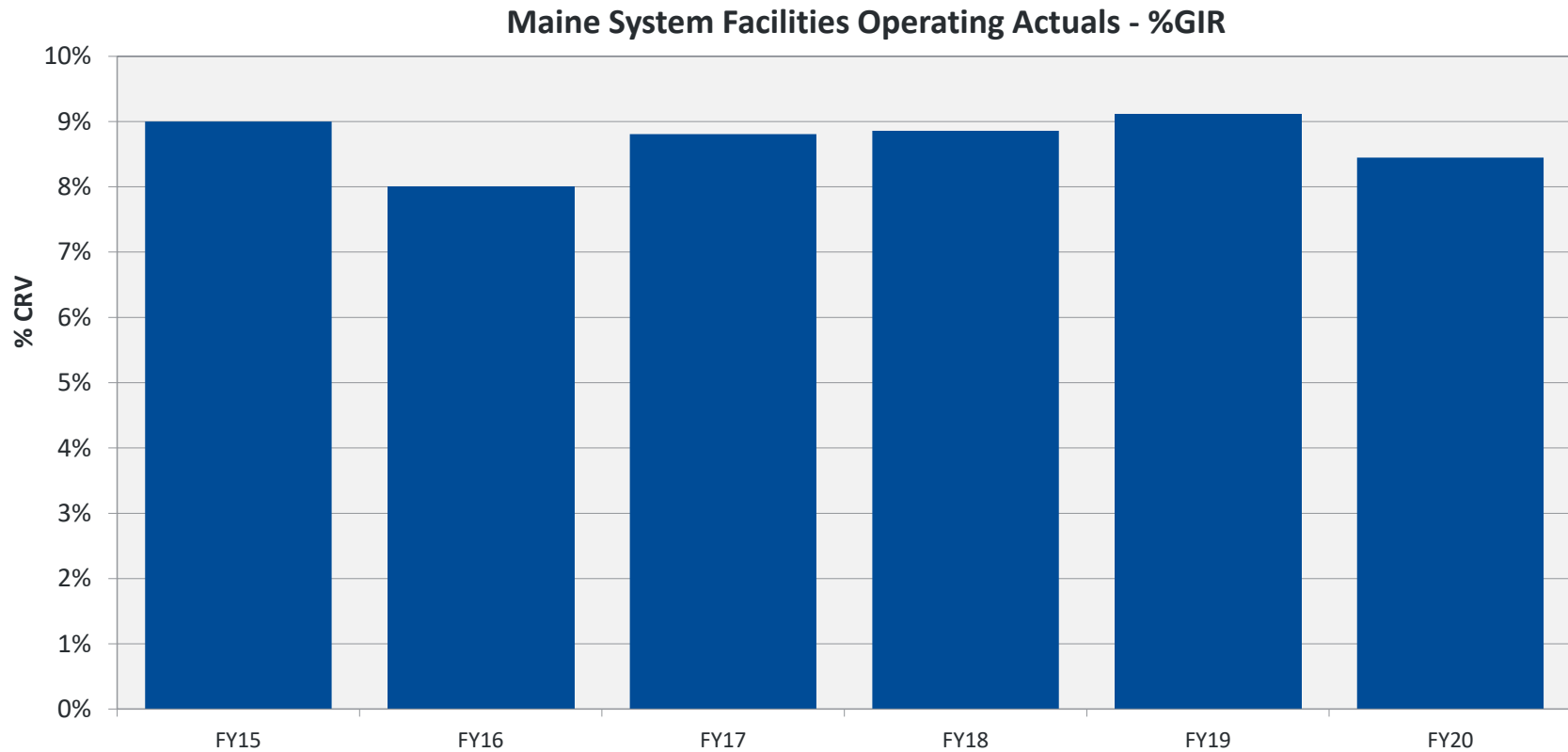
Density: Measures number of users per 100,000 GSF



## Net Asset Value

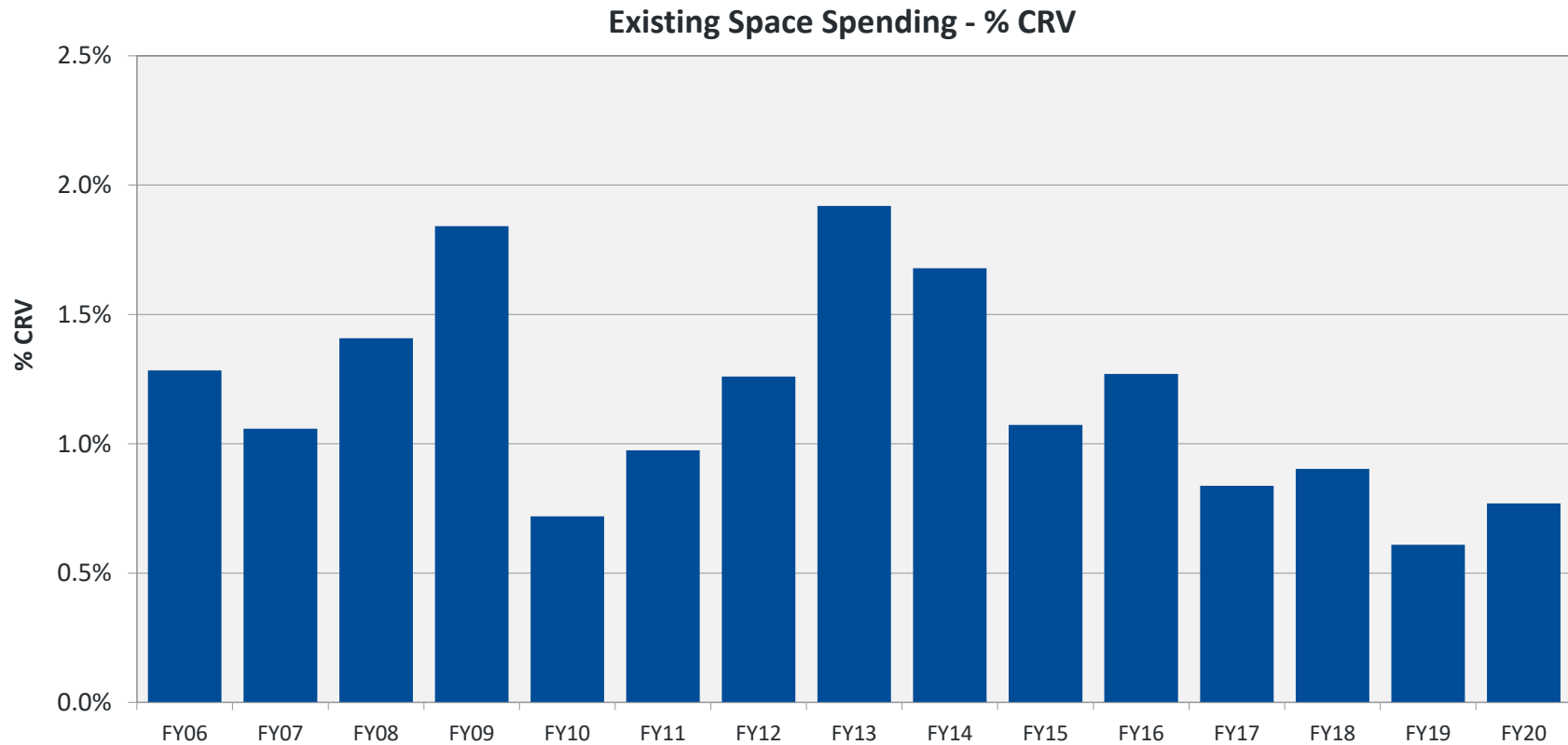


## Facilities Operating Actuals as % of GIR

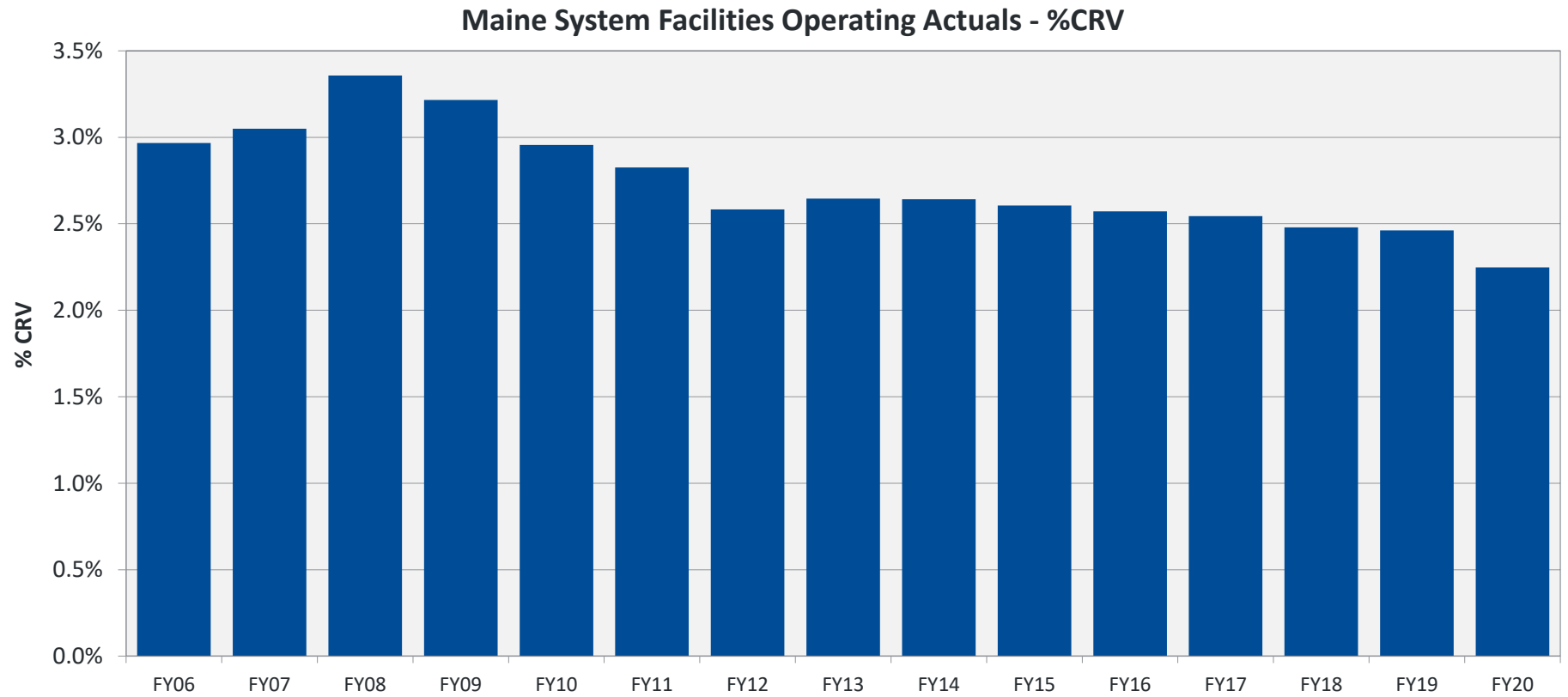


## Capital Spending - % CRV

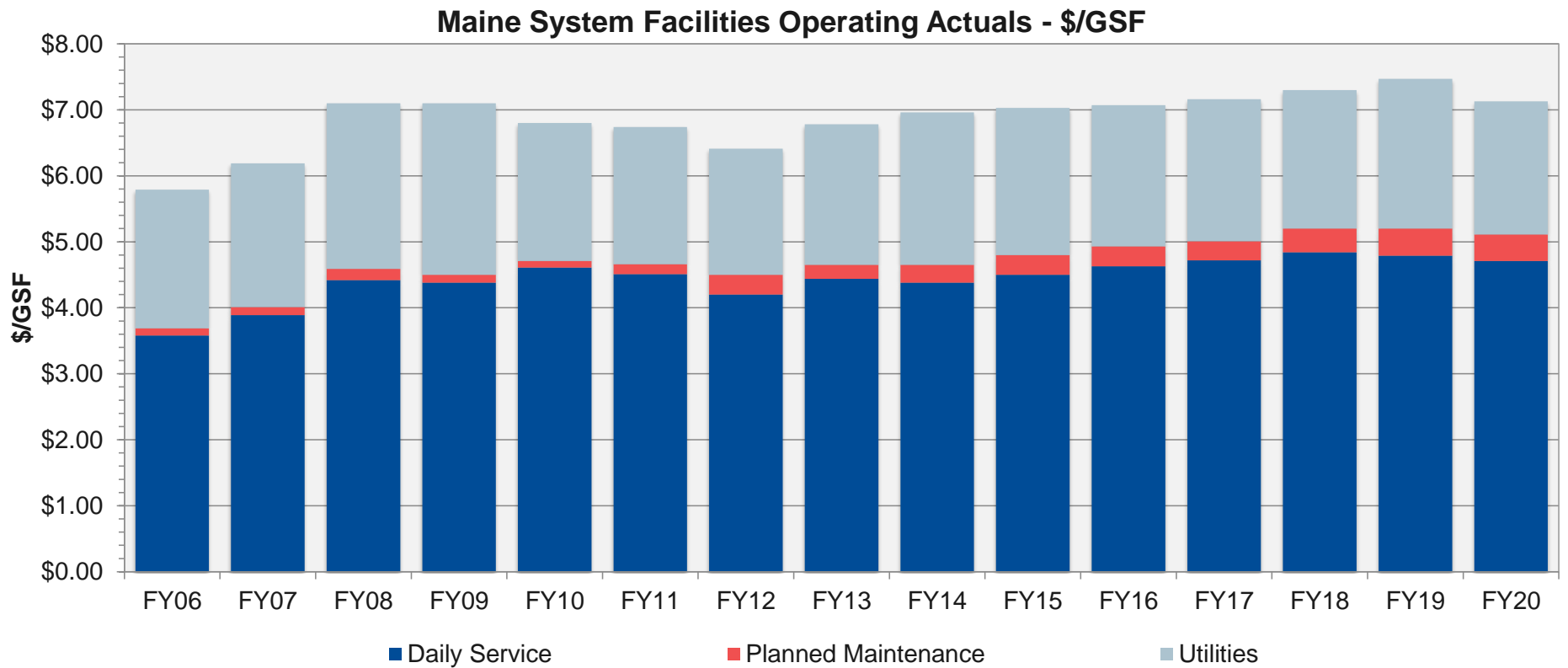
Existing space investment only



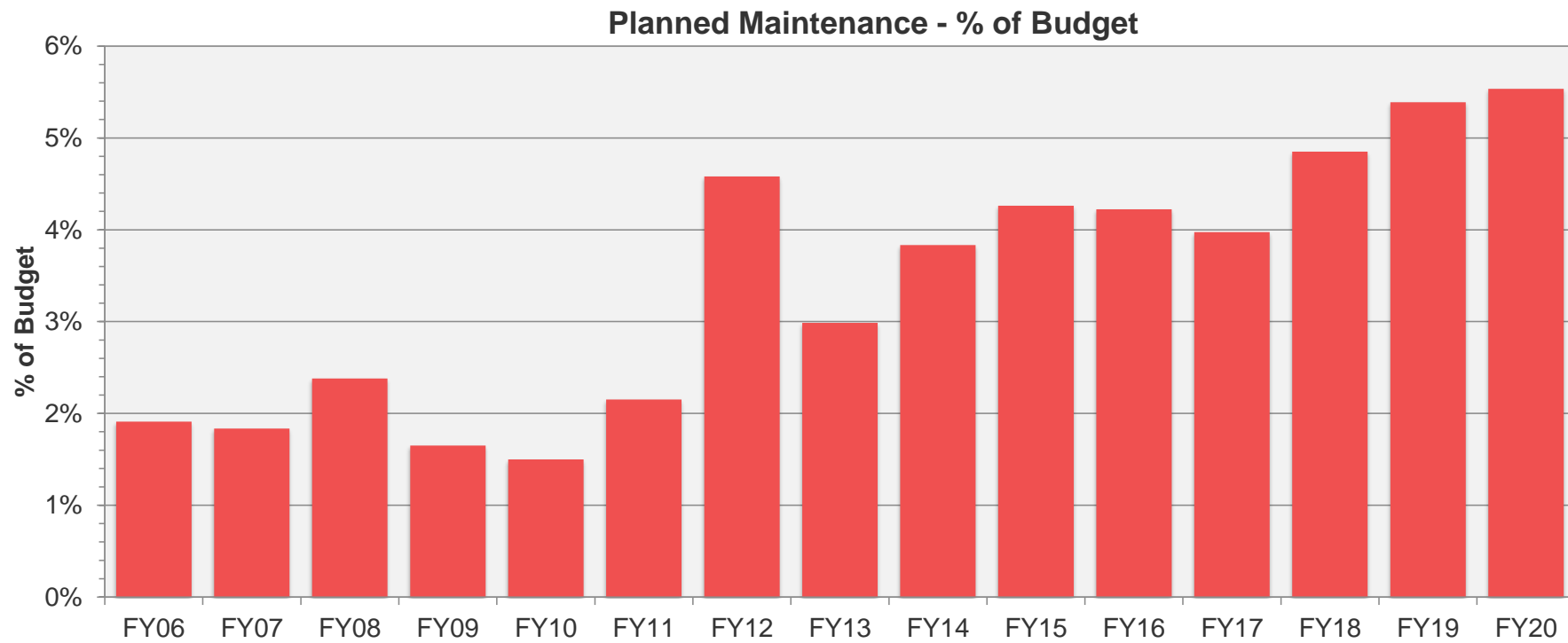
## Facilities Operating Actuals as % of CRV



# Facilities Operating Budget Actuals

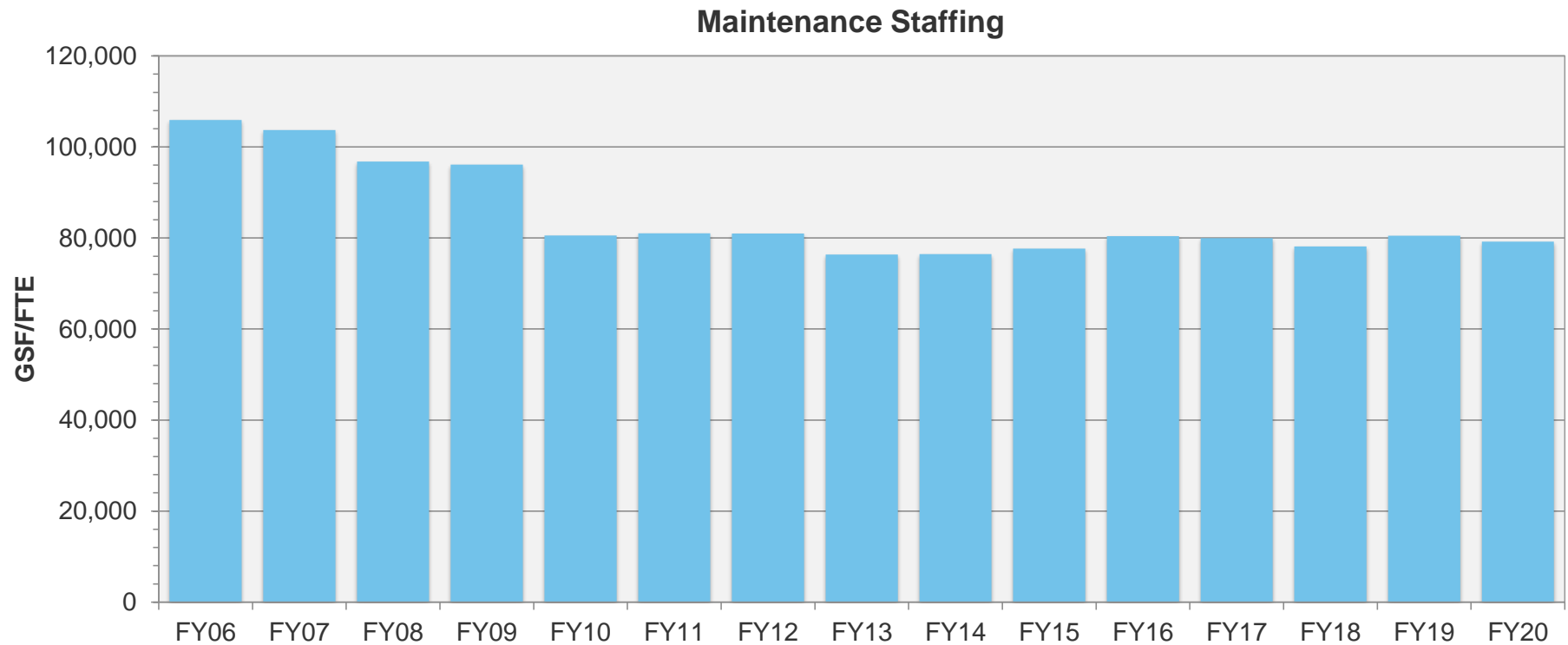


## Planned Maintenance

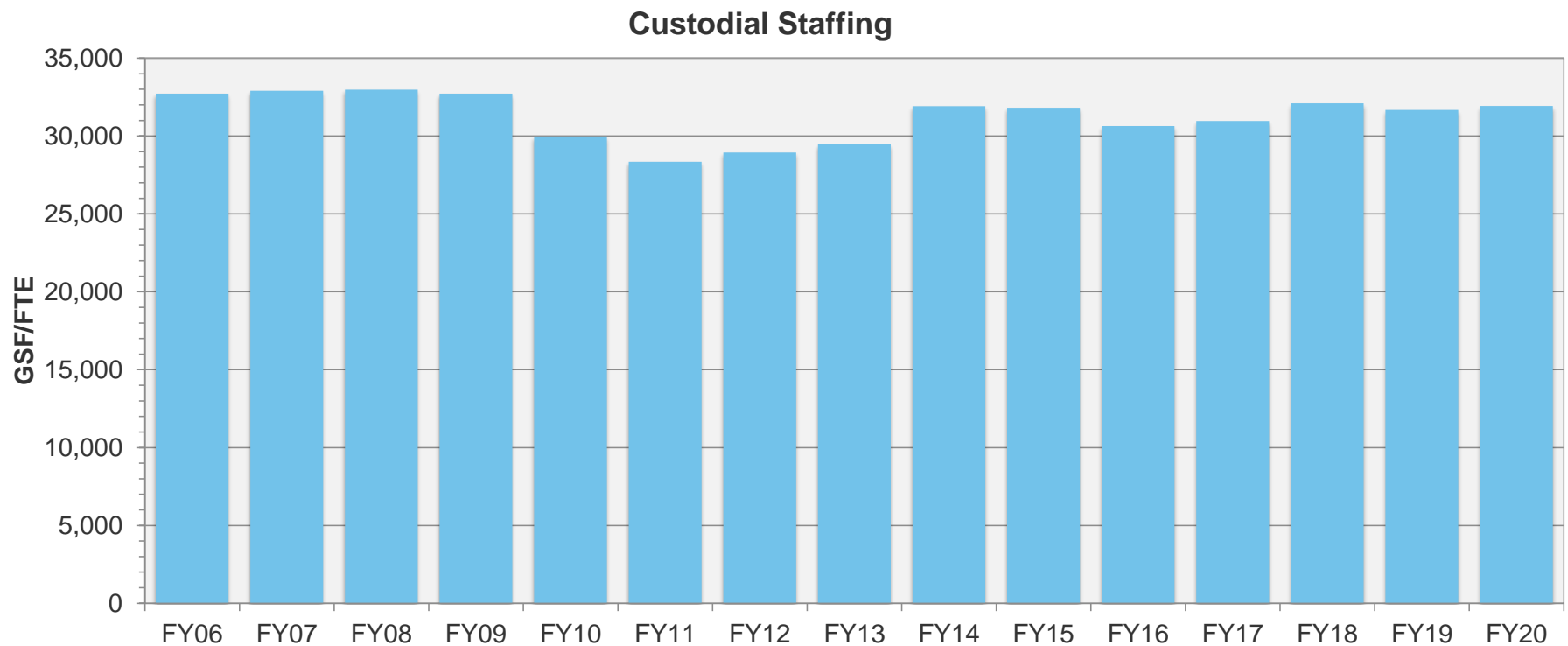




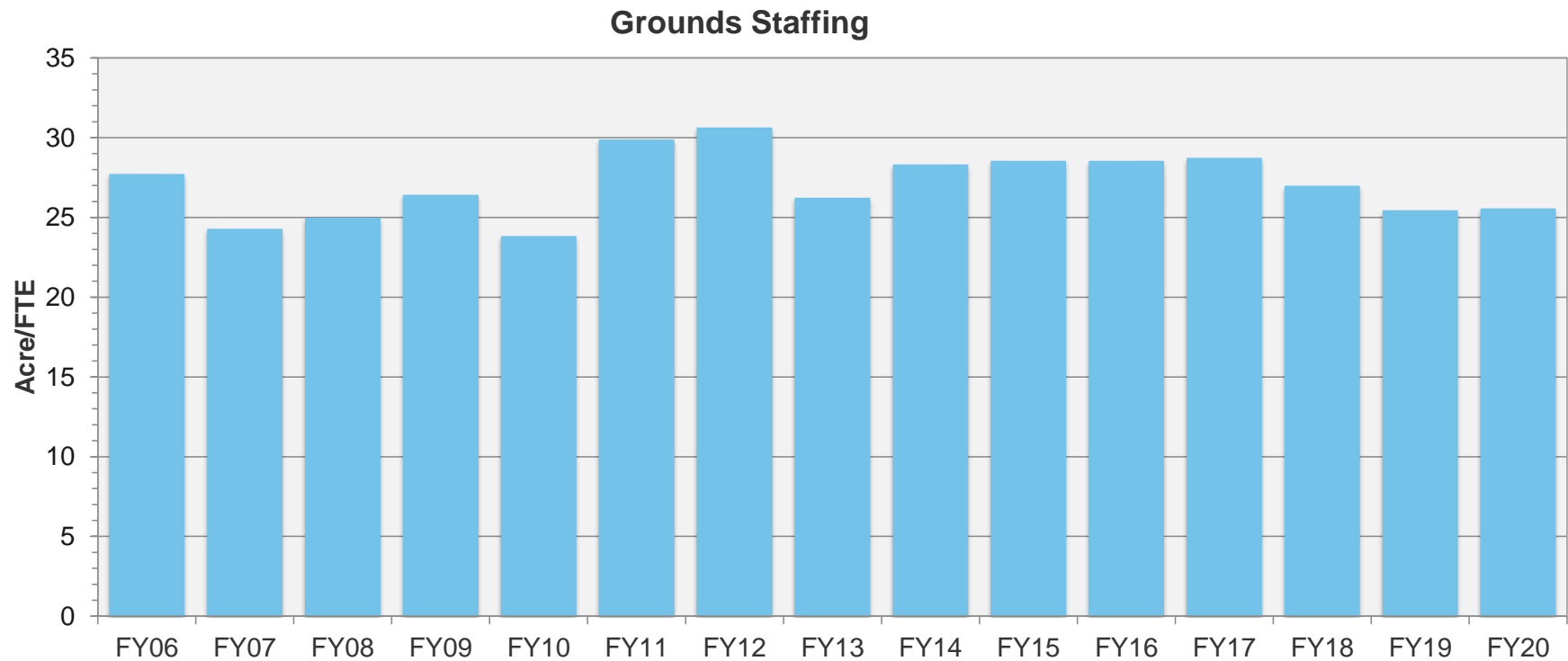
## Maintenance Staffing



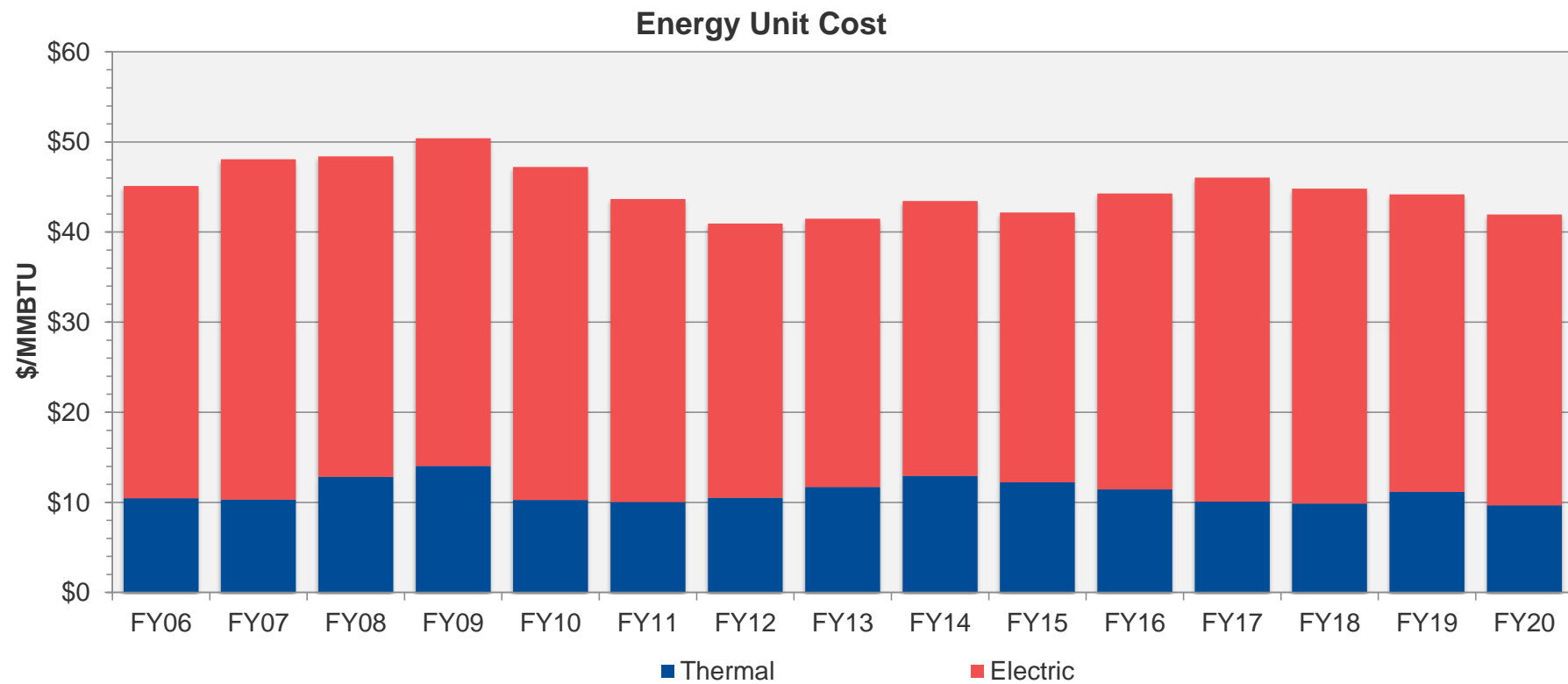
## Custodial Staffing



## Grounds Staffing

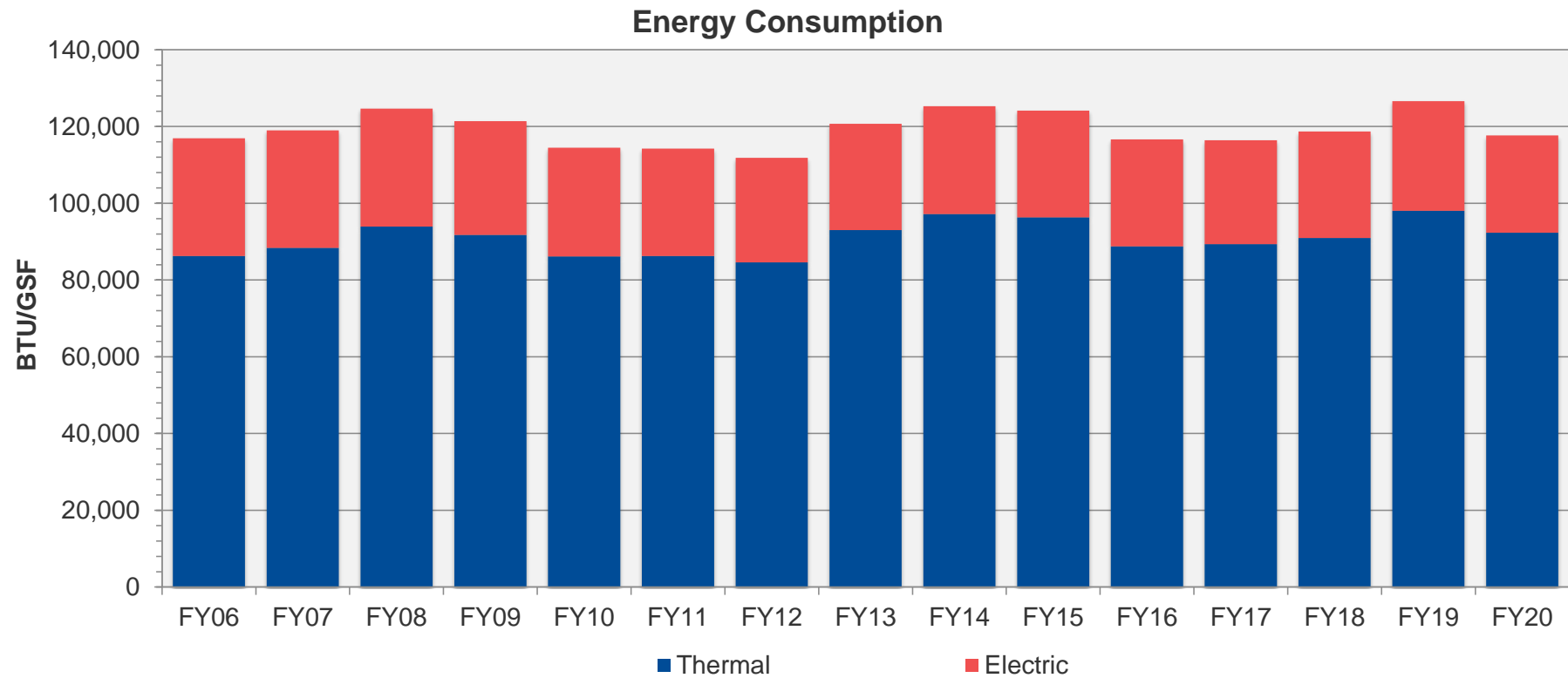


## Energy Costs



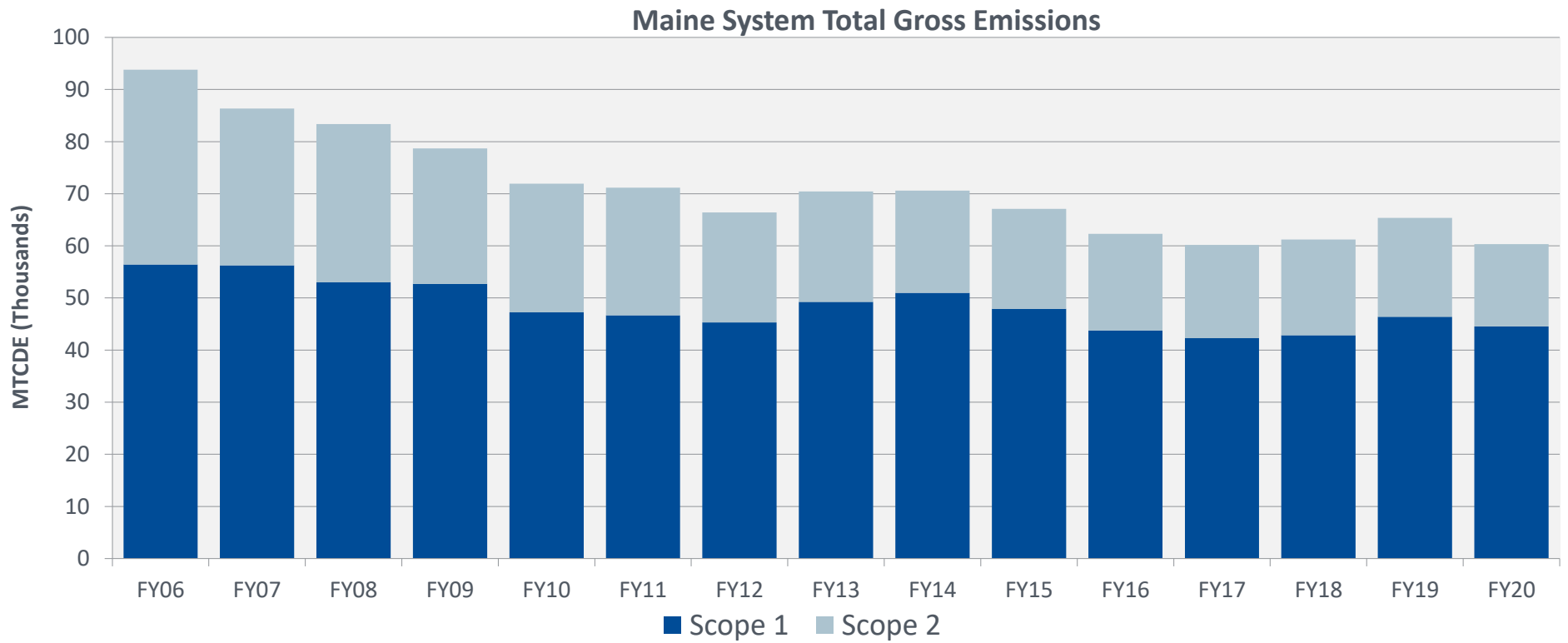
*\*\*Thermal contain all heating fuel sources, including alternative fuel sources (ie biomass, wood chips, etc.)*

## Energy Consumption



*\*\*Thermal contain all heating fuel sources, including alternative fuel sources (ie biomass, wood chips, etc.)*

## Emission Rates



MTCDE = Metric Tons of Carbon Dioxide Equivalent

**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:
- If the purpose for which the named entity is or needs to be significantly altered, is no longer needed/ceases to exist.
  - If a physical entity is replaced, significantly renovated or no longer habitable.
  - 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.

UNIVERSITY OF MAINE SYSTEM  
**Board of Trustees Meeting Calendar**

**Fiscal Year 2022**

**July 26, 2021** – Board of Trustees Meeting **hosted by UMS @ UM**  
**September 26 & 27, 2021** – Board of Trustees Meeting @ **TBA**  
**October 17 & 18, 2021** – BOT Retreat @ **TBA**  
**October 27, 2021** – Special Board Meeting @ **TBA**  
**November 1, 2021**- BOT/BOV Summit @ **TBA**  
**November 14 & 15, 2021** – Board of Trustee Meeting @ **TBA**  
**January 23 & 24, 2022** – Board of Trustees Meeting @ **UMA**  
**March 27 & 28, 2022** – Board of Trustees Meeting @ **UM**  
**May 22 & 23, 2022**– Board of Trustees Meeting **hosted by UMS @ UM**  
**June 6, 2022** – BOT/BOV Summit @ **TBA**

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**Fiscal Year 2023 (proposed)**

**July 11, 2022** – Board of Trustees Meeting **hosted by UMS @ UM**  
**September 11 & 12, 2022** – Board of Trustees Meeting @ **TBA**  
**October 2 & 3, 2022** – BOT Retreat @ **TBA**  
**October 26, 2022** – Special Board Meeting @ **TBA**  
**November 7, 2022**- BOT/BOV Summit @ **TBA**  
**November 13 & 14, 2022** – Board of Trustee Meeting @ **TBA**  
**January 29 & 30, 2023** – Board of Trustees Meeting @ **TBA**  
**March 26 & 27, 2023** – Board of Trustees Meeting @ **TBA**  
**May 21 & 22, 2023**– Board of Trustees Meeting @ **TBA**  
**June 5, 2023** – BOT/BOV Summit @ **TBA**

*The Board of Trustees Office in consultation with the Chancellor and the Board Chair can modify the Board calendar as necessary to accommodate the needs of the Board.*

## **FY2022 & FY2023**

### **Board of Trustee Board & Committee Schedule**

- All Committee meetings are planned to be administered virtually via Zoom
- No campus locations will be reserved for Committee meetings
- Please update your calendars to match the highlighted changes made to the FY2022 schedule.
- Please note that material submission deadlines and book release dates are listed in red.

**UMS BOARD OF TRUSTEES COMMITTEE MEETING SCHEDULE - FY 2022**

<b>July 26, 2021 - BOT MTG MD: 7/9/2021 BR: 7/16/2021</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	July 12, 2021	9 am - 12 pm	7/1/2021	7/2/2021
HR	Monday	July 12, 2021	1 pm - 3 pm	7/1/2021	7/2/2021
FFT	Thursday	July 15, 2021	9 am - 12 pm	7/2/2021	7/5/2021

<b>Sept. 26-27, 2021 - BOT MTG MD: 9/9/2021 BR: 9/16/2021</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	September 13, 2021	9 am - 12 pm	9/1/2021	9/2/2021
HR	Monday	September 13, 2021	1 pm - 3 pm	9/1/2021	9/2/2021
FFT	Wednesday	September 15, 2021	9 am - 12 pm	9/2/2021	9/3/2021
Investment	Thursday	September 16, 2021	9 am - 12 pm	9/3/2021	9/7/2021

<b>Nov. 14-15, 2021 - BOT MTG MD: 10/28/2021 BR: 11/4/2021</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	October 25, 2021	9 am - 12 pm	10/13/2021	10/14/2021
HR	Monday	October 25, 2021	1 pm - 3 pm	10/13/2021	10/14/2021
FFT	Wednesday	October 27, 2021	9 am - 11:30 am	10/14/2021	10/15/2021
Audit & FFT	Wednesday	October 27, 2021	12 pm - 2:45 pm	10/14/2021	10/15/2021
Special BOT	Wednesday	October 27, 2021	3 pm - 4 pm	10/14/2021	10/15/2021
Investment	Thursday	November 9, 2021	9 am - 12 pm	10/28/2021	10/29/2021

<b>Jan. 23-24, 2022 - BOT MTG MD: 1/6/2022 BR: 1/13/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	January 3, 2022	9 am - 12 pm	12/20/2021	12/21/2021
HR	Monday	January 3, 2022	1 pm - 3 pm	12/20/2021	12/21/2021
FFT	Wednesday	January 5, 2022	9 am - 12 pm	12/21/2021	12/22/2021
Investment	Thursday	February 3, 2022	9 am - 12 pm	1/20/2022	1/21/2022

<b>Mar. 27-28, 2022 - BOT MTG MD: 3/10/2022 BR: 3/17/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA & HR	Monday	March 7, 2022	9 am - 11:30 am	2/24/2022	2/25/2022
ASA	Monday	March 7, 2022	12 pm - 1:45 pm	2/24/2022	2/25/2022
HR	Monday	March 7, 2022	2 pm - 4 pm	2/24/2022	2/25/2022
FFT	Thursday	March 10, 2022	9 am - 12 pm	2/25/2022	2/28/2022
FFT (Budgets)	Wednesday	March 23, 2022	9am - 5pm	3/10/2022	3/11/2022

<b>May 22-23, 2022 - BOT MTG MD: 5/5/2022 BR: 5/12/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	May 2, 2022	9 am - 12 pm	4/20/2022	4/21/2022
HR	Monday	May 2, 2022	1 pm - 3 pm	4/20/2022	4/21/2022
FFT	Wednesday	May 4, 2022	9 am - 12 pm	4/21/2022	4/22/2022
Investment	Thursday	May 5, 2022	9 am - 12 pm	4/25/2022	4/26/2022
Audit	Thursday	May 5, 2022	12:30 pm - 3:30 pm	4/25/2022	4/26/2022

Board Retreat : October 17-18, 2021

BOT/BOV Summits: November 1, 2021 and June 6, 2022

**UMS BOARD OF TRUSTEES COMMITTEE MEETING SCHEDULE - FY 2023**

<b>July 11, 2022 - BOT MTG MD: 6/24/2022 BR: 7/1/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	June 20, 2022	9 am - 12 pm	6/8/2022	6/9/2022
HR	Monday	June 20, 2022	1 pm - 3 pm	6/8/2022	6/9/2022
FFT	Thursday	June 22, 2022	9 am - 12 pm	6/9/2022	6/10/2022

<b>Sept. 11-12, 2022 - BOT MTG MD: 8/25/2022 BR: 9/1/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	August 22, 2022	9 am - 12 pm	8/10/2022	8/11/2022
HR	Monday	August 22, 2022	1 pm - 3 pm	8/10/2022	8/11/2022
FFT	Wednesday	August 24, 2022	9 am - 12 pm	8/11/2022	8/12/2022
Investment	Thursday	August 25, 2022	9 am - 12 pm	8/12/2022	8/15/2022

<b>Nov. 13-14, 2022 - BOT MTG MD: 10/27/2022 BR: 11/3/2022</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	October 24, 2022	9 am - 12 pm	10/12/2022	10/13/2022
HR	Monday	October 24, 2022	1 pm - 3 pm	10/12/2022	10/13/2022
FFT	Wednesday	October 26, 2022	9 am - 11:30 am	10/13/2022	10/14/2022
Audit & FFT	Wednesday	October 26, 2022	12 pm - 2:45 pm	10/13/2022	10/14/2022
Special BOT	Wednesday	October 26, 2022	3 pm - 4 pm	10/13/2022	10/14/2022
Investment	Thursday	December 1, 2022	9 am - 12 pm	11/21/2022	11/22/2022

<b>Jan. 29-30, 2023 - BOT MTG MD: 1/12/2023 BR: 1/19/2023</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	January 9, 2023	9 am - 12 pm	12/21/2022	12/22/2022
HR	Monday	January 9, 2023	1 pm - 3 pm	12/21/2022	12/22/2022
FFT	Thursday	January 12, 2023	9 am - 12 pm	1/3/2023	1/4/2023
Investment	Thursday	February 2, 2023	9 am - 12 pm	1/20/2023	1/23/2023

<b>Mar. 26-27, 2023 - BOT MTG MD: 3/9/2023 BR: 3/16/2023</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA & HR	Monday	February 27, 2023	9 am - 11:30 am	2/15/2023	2/16/2023
ASA/HR	Monday	February 27, 2023	12 pm - 1:45 pm	2/15/2023	2/16/2023
HR	Monday	February 27, 2023	2 pm - 4 pm	2/15/2023	2/16/2023
FFT	Wednesday	March 1, 2023	9 am - 12 pm	2/16/2023	2/17/2023
FFT (Budgets)	Wednesday	March 22, 2023	9am - 5pm	3/10/2023	3/13/2023

<b>May 21-22, 2023 - BOT MTG MD: 5/5/2023 BR: 5/12/2023</b>					
Committee	Day	Date	Time	<u>Materials Due</u>	<u>Book Release</u>
ASA	Monday	April 24, 2023	9 am - 12 pm	4/12/2023	4/13/2023
HR	Monday	April 24, 2023	1 pm - 3 pm	4/12/2023	4/13/2023
FFT	Wednesday	April 24, 2023	9 am - 12 pm	4/13/2023	4/14/2023
Investment	Thursday	May 11, 2023	9 am - 12 pm	4/28/2023	5/1/2023
Audit	Thursday	May 11, 2023	12:30 pm - 3:30 pm	4/28/2023	5/1/2023

BOT Retreat: October 2-3, 2022

BOT/BOV Summits: November 7, 2022 and June 5, 2023



January 29, 2021

## Memorandum

**To:** Tracy Elliott, University of Maine System  
**From:** PFM Financial Advisors LLC  
**Re:** Interim Financing Strategy/Results of RFP for Financing

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PFM Financial Advisors LLC (“PFM”) conducted an RFP on behalf of the University of Maine System (“UMS” or the “System”) for interim financing to commercial banks on December 10, 2020 with responses due back on January 6, 2021. In the financing RFP PFM requested the banks to propose two financing alternatives – (1) short-term fixed rate loan(s) and (2) a line of credit – with the expectation that the outstanding balance would be repaid with proceeds of a future long-term debt issuance. Both financing vehicles are designed to satisfy the same need but structured differently. In the case of the loan the funds are disbursed at the closing of the loan where interest begins to accrue immediately and the maturity of the loan coincides with the expected repayment of the loan with long-term debt. In the case of the line of credit, it is put in place and funds are drawn as needed. Similar to the loan, the line of credit is meant to be repaid with a bond issuance. The line of credit typically has an ongoing fee for the facility expressed in basis points, interest accrues at a variable rate, and the line may be repaid at any time on or before the term of the line. The benefit of the loan is securing funds at closing and eliminating interest rate risk. The benefit of the line of credit approach is the ability to only draw down monies as needed to avoid interest carry. The results of the RFP would help inform the best strategy based on the terms and options received.

As described in the RFP, the proceeds of the interim financing are expected to provide funds for a portion of upcoming capital projects. The expectation is to draw down approximately \$43 mm during calendar year 2021 and repay it with proceeds from a long-term bond deal in early calendar year 2022. UMS anticipates having a future need to spend \$22 mm during calendar year 2022 and pursuing interim financing from this RFP may make sense for that need as well.

Any financing arrangement put in place may be considered as a model for future capital needs beyond that considered for this RFP.

Seven firms responded to the RFP - Bank of America, Century Bank, JP Morgan, PNC Bank, TD Bank, US Bank, and Wells Fargo. All seven firms responded to the request for a direct loan and 5 of the firms provided an option for a line of credit (TD Bank and Wells Fargo did not propose for the line of credit option however offered alternative arrangements as will be discussed later). PFM was very pleased with the number, quality, and competitiveness of the responses. Given how low short-term fixed rates currently are, one thing that immediately stood out is that the better financing solution for the immediate needs is the funded loan rather than the line of credit.



Also of note is the relatively tight spread between taxable and tax-exempt rates for the offers. With such a small differential it may make sense to consider a taxable financing option for ease of execution, lower tax diligence upfront, and less post issuance compliance risk.

### **PFM Recommendation**

PFM recommends the pursuit of the fixed rate loan alternative in lieu of the line of credit based on the extremely low fixed rates available relative to the economics of the line of credit. Furthermore, based on the economics and overall strength of the proposal PFM recommends the TD Bank offer and suggests that the System consider a term of 1-2 years for the \$43 mm of immediate needs.

With respect to the additional \$22 mm of financing needs, PFM recommends continuing to analyze the alternatives but to consider not proceeding with any interim financing for that portion at this time. Instead, we suggest that UMS plan on potentially financing those needs in the bond deal anticipated for early calendar year 2022. Alternatively, PFM and UMS could revisit the analysis this coming Fall considering updated anticipated future cash flow, the interest rate environment, and TD Bank's rate offering. Then, the most advantageous approach could be selected – either continue with additional interim financing for capital project construction needs, issue revenue bonds, or a combination of both.

PFM recommends that the System consider future loans with TD Bank or whichever bank it selects through this process with the loan documentation that gets negotiated. This would be dependent on the bank providing interest rates that the System and PFM feel are competitive relative to market conditions at the time.

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Resolution

**FINANCING AND PROJECT AUTHORIZATION**

WHEREAS, the Board of Trustees (the “Board”) of the University of Maine System (the “System”) desires to authorize the System to finance all or a portion of the costs of, and to undertake, the project which is more particularly described in the Addendum attached hereto and incorporated herein by reference and any other capital improvement for the benefit of the System which has been or is hereafter approved by the Board and each of which is hereby or will be determined by the Board to be a “project” within the meaning of 20-A MRSA §10951(6) (the “Project”); and

WHEREAS, the Board desires to authorize the issuance of University of Maine System Revenue Bonds (the “Bonds”) and the sale of the Bonds for the purposes of financing all or a portion of the costs of the Project and providing for any necessary capitalized interest, reserves and costs of issuance; and

WHEREAS, the Board desires to authorize the issuance and sale of University of Maine System Notes or other evidences of indebtedness in anticipation of Bonds (the “Notes”; together with the Bonds, the “Securities”); and

WHEREAS, the Board may also authorize the payment of certain costs of the Project from certain System funds which will not be reimbursed with proceeds of the Bonds (the “Equity Contribution”), and the System desires to treat the Equity Contribution as “qualified equity” (within the meaning of the United States Treasury Regulations §1.141-6(b)); and

WHEREAS, the System is authorized to issue the Bonds pursuant to the provisions of 20-A MRSA §§10952, 10953 and 10959 and other provisions of the Maine Revised Statutes Annotated, Chapters 411 and 412, as amended (the “Act”); and

WHEREAS, the Board finds that the financing of all or a portion of the costs of the Project constitutes “assured revenue financing transactions” pursuant to the provisions of 20-A MRSA §10953, as amended; and

WHEREAS, pursuant to 20-A MRSA §10952(8), as amended, the System, as authorized by the Board, is authorized to make, enter into, execute, deliver and amend any and all contracts, agreements, leases, instruments and documents and perform all acts and do all things necessary or convenient to acquire, construct, reconstruct, improve, equip, finance, maintain and operate projects and to carry out the powers granted pursuant to the Act, or reasonably implied from those powers;

NOW, THEREFORE, be it hereby voted and resolved by the Board as follows:

RESOLVED, That pursuant to the provisions of 20-A MRSA §§10952, 10953, 10955 and 10959, as amended, and all other authority thereto enabling, and to provide funds for (a) the planning, design, acquisition, construction, reconstruction, improvement, renovation, rehabilitation and equipping of the Project, (b) paying and discharging any Notes, or Notes in renewal thereof, issued for authorized purposes, up to an aggregate amount not to exceed \$45,000,000, (c) any capitalized interest on, reserves for and costs of issuance of the Bonds and (d) any other purpose authorized by law, the Treasurer of the System (the "Treasurer") is hereby authorized and empowered from time to time and in the name and on behalf of the System to borrow an aggregate amount not to exceed \$45,000,000 and the Treasurer be and is hereby authorized and empowered, in the name of and on behalf of the System, to execute and deliver such loan agreements, indentures, pledge agreements, bond purchase contracts, preliminary official statements, official statements, continuing disclosure agreements, remarketing agreements, reimbursement agreements, investment agreements, financial advisory agreements, investment advisory agreements, auction agency agreements, market agent agreements, dealer agreements, standby bond purchase or other liquidity facility agreements, agreements with one or more underwriters, agreements with bond counsel and other agreements, documents and instruments as the Treasurer may deem necessary or convenient or desirable with respect to such borrowing. Such agreements, documents and instruments may (a) contain such terms and provisions, not contrary to the general tenor hereof, as the Treasurer may approve, his approval to be conclusively evidenced by his execution thereof, (b) be delivered under the seal of the System and (c) be attested by the System's Clerk or General Counsel; and further

RESOLVED, That pursuant to the provisions of 20-A MRSA §10955(3), as amended, and all other authority thereto enabling, and to provide funds for the purposes approved above, the Board hereby approves and authorizes, as evidence of the borrowing approved above, the issuance, sale and delivery of the Bonds in the aggregate principal amount not to exceed \$45,000,000, in one or more series as the Treasurer shall determine, the Bonds to mature and be payable at such times and in such amounts, to bear interest at such rates, and to contain such other terms and provisions, not inconsistent herewith, as may be approved by the Treasurer, provided that none of the Bonds shall (i) bear interest at a rate in excess of 6% per annum or (ii) mature after December 31, 2056; the Bonds to be denominated by such denomination of an issue as may be selected by the Treasurer; to be manually signed by the Treasurer, sealed with the seal of the System and attested by its Clerk or General Counsel; and to be in such form and contain such other terms and provisions as the Treasurer may approve, his approval to be conclusively evidenced by his execution thereof; and further

RESOLVED, That the Treasurer is authorized on behalf of the System, from time to time, to acquire, purchase, sell, redeem, liquidate, terminate or transfer securities or other instruments constituting investments of the proceeds of the Bonds and to negotiate, enter into, execute in the name of the System and deliver on behalf of the System all investment, banking, brokerage, financial advisory, investment advisory and other agreements and instruments as are necessary or convenient to

investment and financial management of the proceeds of the Securities, all on such terms and conditions as the Treasurer determines are necessary or convenient for financing of the Project, such determination to be conclusively evidenced by execution or acquisition of such agreements and instruments by the Treasurer; and further

RESOLVED, That the Chancellor of the System, the Treasurer, and, with the express written approval of the Treasurer, the Clerk, the Controller, the General Counsel, or any one of them, be and hereby are, authorized and empowered in its name and on its behalf, to do or cause to be done any act or thing, and to negotiate, enter into, execute in the name of the System, deliver on behalf of the System, assign, transfer, modify or terminate any agreement or instrument, which any such officer may determine to be necessary or convenient or desirable with respect to the Bonds, the planning, design, acquisition, construction, reconstruction, improvement, renovation, rehabilitation and equipping of the Project and the expenditure, investment and management of the proceeds of the Bonds and that all acts and things done by the Treasurer in furtherance of the purposes of this Resolution prior to the date hereof are hereby ratified and confirmed; and further

RESOLVED, That the carrying out of the Project is hereby approved; and further

RESOLVED, The System covenants that it will, so long as any Securities are outstanding, establish, impose and collect tuition, fees and charges for its educational services, its auxiliary enterprises, including dormitory housing, food service and sale of textbooks, for use of its plant and for all other services and goods provided by the System, which tuition, fees and charges, together with other available moneys, in each fiscal year of the System, will be sufficient to permit the performance of all the covenants in, and requirements of the System under, the Securities, including the prompt payment of principal of and interest on the Securities as and when due, the prompt payment of principal of and interest on all outstanding System bonds as and when due and the prompt payment and performance of all other obligations as and when due.

RESOLVED, That the Securities shall be secured by such assignments, pledges or commitments of funds or revenues, other than appropriations from the State of Maine, as may be approved by the Treasurer; and further

RESOLVED, That the Treasurer be and is hereby authorized to covenant on behalf of the System and for the benefit of the holders of the Bonds that, except as hereafter authorized in this Resolution and in accordance with 20-A MRSA §10952(10), the System will take whatever steps, and refrain from taking any action, that may be necessary or appropriate to assure that the interest on the Bonds will remain exempt from federal and applicable state income taxes; and further

RESOLVED, That the Treasurer be and is hereby authorized in accordance with 20-A MRSA §10952(10) to agree and consent to the inclusion of interest on any of the Securities, under the United States Internal Revenue Code of 1986 or any subsequent corresponding internal revenue law of the United States, in the gross

income of the holders of any such Securities to the same extent and in the same manner that the interest on bills, bonds, notes or other obligations of the United States is includable in the gross income of the holders of such bills, bonds, notes or other obligations under the United States Internal Revenue Code or any such subsequent law (the “Taxable Bonds”); and further

RESOLVED, That the System covenants and certifies that, except with respect to any of the Taxable Bonds, no part of the proceeds of the issuance and sale of the Securities shall be used, directly or indirectly, to acquire any securities or obligations, the acquisition of which will cause the Bonds to be arbitrage bonds within the meaning of Section 148 of the Internal Revenue Code of 1986, as amended; and further

RESOLVED, That the Resolution of the Trustees of the University of Maine System entitled Reimbursement of Project Expenditures attached hereto as an Addendum is hereby approved and adopted; and further

RESOLVED, That the Securities shall provide that, in accordance with 20-A MRSA §10964, no trustee of the System, while acting within the scope of the authority of the Maine Revised Statutes Annotated, Chapter 412, as amended, may be subject to any personal liability resulting from the exercise or carrying out of any of the System’s purposes or powers.

This Resolution shall take effect immediately.

ADOPTED: March 22, 2021

**ADDENDUM****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) (A) temporarily advanced from University resources or through interim financing or (B) made by another person pursuant to an agreement between the System and such person, with such expenditures to be made to pay the cost, or a portion of the cost, of planning and design, acquisition, construction reconstruction, improvement, renovation, rehabilitation and equipping of the Project described below and (2) that the maximum principal amount of debt to be issued by the System, including for reimbursement purposes, for the Project is Forty-Five million dollars (\$45,000,000).

***PROJECT*****University of Maine:**

The new Ferland Engineering Education and Design Center is an anticipated 105,000 square foot building which includes collaborative classrooms; seminar rooms; student meeting rooms; engineering department offices, faculty offices, teaching laboratories; research laboratories; machine tool lab; a Campus welcome and STEM outreach center; a student commons with food service; and a student project design suite.

This Resolution shall take effect immediately.

ADOPTED: March 22, 2021



## AGENDA ITEM SUMMARY

1. **NAME OF ITEM:** Engineering Education & Design Center Update and Naming, UM
2. **INITIATED BY:** Dannel P. Malloy, Chancellor
3. **BOARD INFORMATION:** **BOARD ACTION:** X
4. **OUTCOME:** **BOARD POLICY:**  
 Increase Enrollment 701 – Budgets-Operating & Capital  
 Enhance Fiscal Positioning 803 – Naming of Physical Facilities  
 GSF Increase
5. **BACKGROUND:**

The University of Maine System acting through the University of Maine (UM) requests authorization to expend up to an additional \$63 million to proceed with construction of the Ferland Engineering Education and Design Center (EEDC), bringing the total authorization to \$72 million. Additionally, this agenda serves as a request for final approval of the naming for the building as originally brought forth and approved in March of 2018.

Funding will be provided through University revenue bonds supported with State debt service funding approved by the Legislature in late 2017, privately raised funds and other resources as identified by the University of Maine Chief Business Officer and University System Treasurer.

This request is pursuant to Board of Trustees Policy 701, which requires projects with a total cost of more than \$500,000 to be considered by the Board of Trustees or its Finance, Facilities and Technology Committee. Additionally Policy 803 reserves to Trustees the authority to name physical facilities. Finally, the request is also pursuant to Trustee policy prohibiting net increases in space without Trustee authorization. For all three items, the request is to approve and to forward this matter to the Consent Agenda for the March 15-16, 2020 Board of Trustees meeting.

With regard to the naming, in March, 2018 the naming of the facility was brought to the Board for consideration based on the receipt of a \$10 million gift. At the time, the donor wished to remain anonymous until a later date. As such, the Board approved the naming pursuant to Policy 803 with final approval of the exact name to be submitted at a later date when timely and in collaboration with the donor.

3/5/2020

In September of 2019, the donors Eileen and James Ferland were publicly recognized by the University as the generous donors and naming beneficiaries for the facility. The proposed name of the new facility is: "E. James and Eileen K. Ferland Engineering Education and Design Center", with common reference as "Ferland Engineering Education and Design Center". This request seeks to finalize that naming.

With regard to portion of the current request related to construction, an initial request of \$1 million was approved for early design services of the building in September of 2017. In May of 2018 an additional \$8 million (for a total of \$9 million) was authorized to complete building design and preliminary relocation and related work tied to the new building and its site. From this funding the North Engineering Annex was designed, built, and occupied in time for the spring 2020 semester and as a first step toward demolition of the existing Machine Tool Lab at the site of the new building.

Design for the building has progressed and bidding for construction is scheduled to begin in the Spring of 2020. In preparation for this, the university is requesting to increase the spending authority of the project to a total of \$72 million. This is expected to cover costs of construction of the facility with an additional approval anticipated in approximately one year to finalize the expenses related to final fit out such as furniture, equipment and IT fixtures in the building. The total final project budget is currently projected to be approximately \$78-\$80 million.

The project has now reached the final design stage and the building is approximately 108,000 gross square feet. The building includes: three collaborative classrooms; two seminar rooms; 14 student meeting rooms; Mechanical Engineering and Biomedical Engineering department offices, faculty offices, teaching laboratories and research laboratories; machine tool lab; a Campus welcome and STEM outreach center; a student commons with food service; and the best student project design suite in the Northeast!

The project cost will be funded largely by University revenue bonds supported with State debt service funding, as well as by privately raised funds and other resources as identified by the University. Through fundraising, more than \$19 million - more than has ever been privately raised for a capital project in the history of the University of Maine System, has been raised and efforts continue in earnest. This current request is for approval to expend the amount necessary to enter into a construction contract for the construction of the facility and related site work.

The net increase in square footage resulting from this project is approximately 101,000 gross square feet (gsf) including the offset of space for demolition of the Machine Tool Lab (12,800gsf) and the added square footage for the North Engineering Annex (5,900gsf). While not necessarily in direct connection with this project, the need for which was based on increased enrollment and Maine's need for more engineers as is further described below, the campus is actively planning for additional square footage reductions.

Increased enrollment is a goal of the Ferland EECDC. The building will give the university the capacity to add 1,000 undergraduate and graduate engineering students. As of January 24, 2020, the number of students accepted into the College of Engineering was up 16 percent over the same date in 2019. The capacity provided by the Ferland EECDC is essential to allowing engineering student enrollment to continue to grow.

3/5/2020

Moreover, the demand for UMaine engineering graduates is at record levels. According to Burning Glass Technologies, there were more than 1,500 job postings for engineers in Maine in 2019. As a result of this demand, there were a record 170 companies at the October 2019 Engineering Job Fair and the most recent placement rate for UMaine engineering graduates was 99.9 percent.

The Ferland EEDC is essential to providing the workforce that Maine's economy demands, both in terms of skills and numbers. Looking inside the institution, the growth in enrollment will increase revenue from tuition, thus enhancing fiscal positioning, and supporting economic growth in Maine. Biomedical engineering research labs comprise roughly half of the third floor. Biomedical engineering is a growing sector of Maine's economy that must be supported by robust research and economic development. This will be directly supported by the Ferland EEDC.

The added annual costs for operation of this building are estimated to be approximately \$750,000 and will be borne by campus E&G beginning in FY 2023.

Additional supplemental information and prior Trustee agenda information sheets about the EEDC are included in today's materials for reference.

The Finance, Facilities and Technology Committee approved this recommendation to be forwarded to the Board of Trustees for approval at the March 15-16, 2020 Board meeting. Following discussion at the meeting, the Committee in keeping with updated pending practices for larger projects, voted unanimously to send the matter to the Board meeting for discussion and action, rather than the Consent Agenda.

#### **6. TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of Maine System acting through the University of Maine: a. to increase the project authorization of the Engineering Education and Design Center by \$63 million, bringing the total authorization to expend up to \$72 million, funding for which will come from a combination of State debt service, University Revenue bonds and private giving; b. to increase square footage by approximately 101,000 gross square feet; c. to finalize the name of the facility as the "E. James and Eileen K. Ferland Engineering Education and Design Center" with common reference as "Ferland Engineering Education and Design Center."

Attachments:

Prior Board Approvals for the UM Engineering Education & Design Center

UM Engineering Education & Design Center Presentation

3/5/2020



**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.

<b>JANUARY:</b>	<u>Academic Affairs</u> Honorary Degree Nominations <u>Fiscal Matters</u> State Research Report
<b>MARCH:</b>	<u>Academic Affairs</u> Tenure Nominations Tenure Report <u>Governance/Administration</u> Board Calendar Establishment of Nominating Committee <u>Student Affairs</u> Spring Enrollment Update <u>Fiscal Matters</u> Multi-Year Financial Analysis
<b>MAY:</b>	<u>Fiscal Matters</u> Budgets and Student Charges <u>Governance/Administration</u> Election of Board Officers Confirmation of Board of Visitors
<b>JULY:</b>	<u>Governance/Administration</u> Appointment of Standing Committees <u>Human Resources</u> Annual Report on Named Chairs and Professorships
<b>SEPTEMBER:</b>	<u>Fiscal Matters</u> Appropriation Request Multi-Year Financial Analysis
<b>OCTOBER:</b>	<u>Fiscal Matters</u> Review of Annual Financial Report
<b>NOVEMBER:</b>	<u>Academic Affairs</u> Awarding of Academic Degrees Academic Year Calendar  <u>Student Affairs</u> Official Fall Enrollment Update

## Capital Project Status and Bond Project Status Report, UMS

### Executive Summary

#### Overview:

Attached is the Capital Project Status Report for the March 21-22, 2021 meeting of the Board of Trustees. The report reflects a total of 18 projects; three projects have been removed and no new projects have been added 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.
- 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-five (35) projects. One project was removed from the list as the funding sources changed and no longer included bond funds; and two new projects were added. The projects are currently estimated to account for more than \$39 million of the \$49 million in voter approved general obligation bond funding. About \$12 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 \$60 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.

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

Earlier this year it was announced that UMS was awarded \$240M of HAF grant funds to be disbursed over the next twelve years. Within the overall grant are funds intended to pay or secure bonded debt for various construction or renovation projects as well as align and improve specific academic areas and functions. There is also a significant match

requirement for these funds. The System has set up a core team including 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 to the Board 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. An update regarding this will be presented as part of the UM Rolling Master plan informational agenda item.

#### USM Structured Parking update

The University of Southern Maine and CPPM continue to work with the selected design team on the final location and form of a structured parking facility for the Portland campus to align with the requirements of the new residential facility. A thorough review of possible sites for the structure was completed over the winter months. The design team will begin the permitting process and continue the design over the next few months with the intent to bring forward an updated agenda item at the next Board meeting in May. The project remains on schedule to be completed prior to the residence hall completion in 2023.

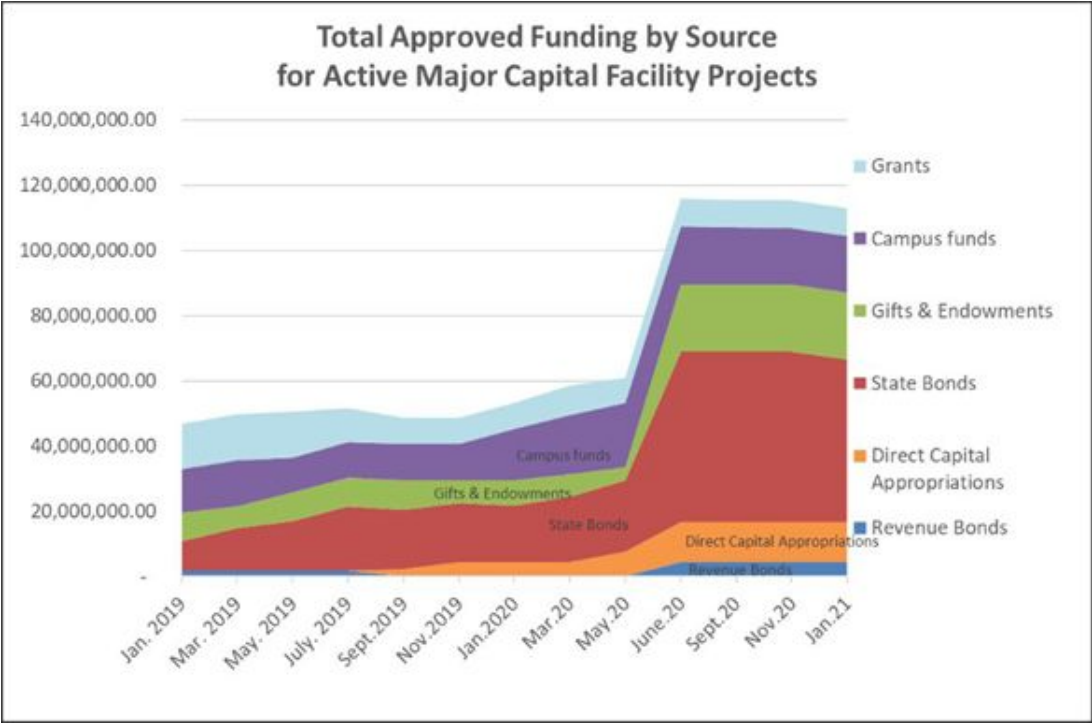
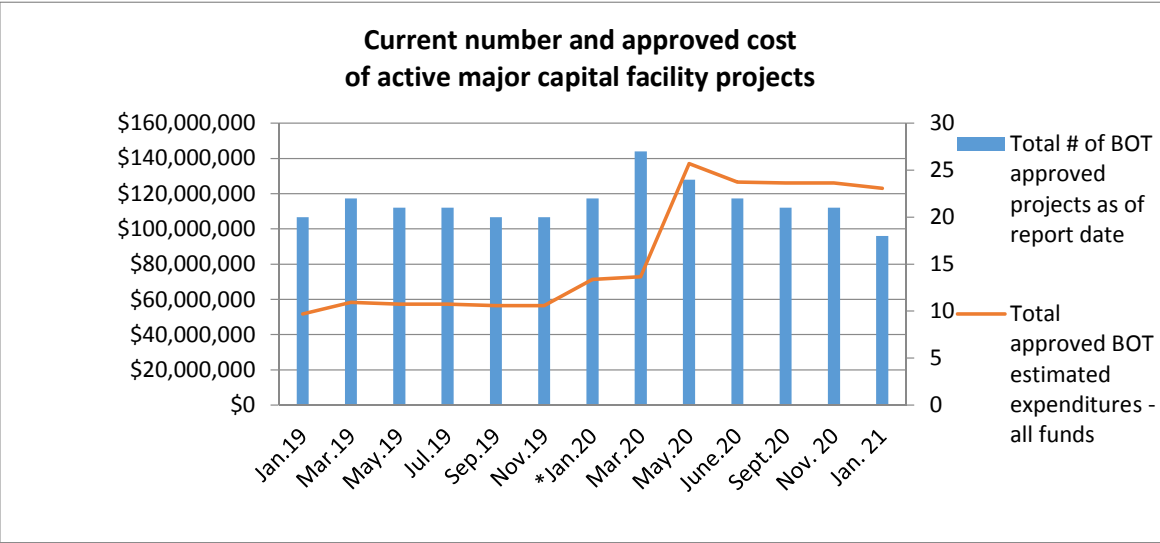
#### Update to UM Ferland Engineering Education & Design Center Project:

Construction is ongoing. The final structural beam was placed along with a beam topping ceremony on Friday 2/12. Metal deck installation will continue through February, and as temperatures rise exterior framing and interior concrete and rough in work will begin.

#### Research space approvals

In addition, this report also provides timely and appropriate disclosure of Chancellor-approved increases in University owned or occupied space when the space is for research purposes, as approved by the Board of Trustees and outlined in Page 4 of the attached January 2020 Board Meeting Notification Letter:

- Advanced Structures and Composites Center - University is Lessee.
  - o Upstart Center location in Orono
    - Annual Cost: \$39,000 - Term: 3/1/21 – 3/1/22
  - o 167 Fore St. location in Portland
    - Annual Cost: \$26,998 - Term: 3/1/21 – 8/1/21



\*Direct Capital Appropriations funds consist of capital appropriations in anticipation of revenue bonding, as well as MEIF funds.

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

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

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

**UM**

Advanced Structures and Composites Center Expansion/ASCC Equip W2- Thermoplastics Lab/ASCC Equip W2 Tow Carriage (5100316, 5100414, 5100432)	2010 State Bond (49%), Grants (44%), Gifts (6%), Campus E&G Funds (1%)	Project 5100316 is Complete, Project 5100414 Design in Progress, Project 5100432 is Complete	2014	2021	\$6,400,000	\$10,400,000	\$9,517,995	92%	Board approved \$6.4M in November, 2012. Board approved \$1.6M in March 2014. Board approved increase of \$871,000 in March 2015. BOT approved additional \$1.5M in May 2016 for equipment project.
Darling Marine Center Waterfront Infrastructure (5100459, 5100460, 5100461)	Grants (64%), Campus E&G Funds (36%)	Construction in Progress	2017	2021	\$3,000,000	\$5,200,000	\$4,135,153	80%	Board approved \$3M in July, 2017. Board approved increase of \$2.2M in September, 2019.
UM Ferland Engineering, Education and Design Center (5100458, 5100493, 5100546, 5200604)	Gifts (7%), Campus Funds (4%), Campus Reserves (6%), State Appropriations (83%)	Construction in Progress	2024	2024	\$1,000,000	\$72,000,000	\$13,570,252	19%	Board approved \$1M in September, 2017. Board approved additional \$8M in May, 2018. Additional \$63M BOT approved March, 2020 Initial occupancy of this facility is expected in 2022; final completion in 2024.
ASCC Renovation - Mezzanine Office Expansion (5100525)	Campus E&G Funds (31%) Grants (69%)	Construction in Progress	2020	2021	\$450,000	\$1,400,000	\$452,077	32%	Board approved \$1,400,000 March, 2020
UM Energy Center Phase II (5100516, 5100517)	Campus (91%) / Grants 9%	Pre-Design in Progress	2023	2022	\$5,700,000	\$5,700,000	\$335,599	6%	Board approved \$5.7M March, 2019.
***Wells Commons Generator (5100433)	Campus Auxiliary Operating (62%) Campus Auxiliary Reserves (38%)	Complete	2019	2020	\$525,000	\$525,000	\$332,094	63%	Board approved \$525,000 January, 2018.

**UMF**

**Dearborn Gym HW Upgrades (2100087)	2018 State Bond (100%)	Complete	2019	2021	\$600,000	\$850,000	\$803,228	94%	Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019.
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**Capital Project Status Report**  
**Board Approved Projects**  
**March 2021 - Finance, Facilities and Technology Committee**  
**With Grand Totals and % of Current Approved Estimates**

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

UMFK Enrollment/Advancement Center (3100042)	State Bond (100%)	Construction in Progress	2022	2021	\$3,249,000	\$3,249,000	\$1,013,995	31%	Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000.
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**USM**

Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323)	2018 State Bond (44%), Campus E&G (56%)	Project 6100316 is Construction in progress, Project 6100323 is Complete	2019	2021	\$2,580,000	\$4,388,000	\$3,339,406	76%	Board approved \$2.58M in January, 2019.
**Career and Student Success Center and Portland Residence Hall (6100325, 6100338)	2018 State Bond (42%), Campus E&G (58%)	Bidding in Progress	2020	2023	\$1,000,000	\$5,700,000	\$4,766,637	84%	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%)	Design in Progress	2022	2023	\$1,000,000	\$1,000,000	\$367,045	37%	Board approved \$1M in January, 2018.
Port Parking Garage Study (6100331)	Campus E&G Funds (100%)	Pre-Design in Progress	2022	2022	\$1,200,000	\$1,200,000	\$135,737	11%	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
Wishcamper Parking Lot (6100330)	Campus E&G Funds (100%), Capital Reserves (0%)	Hold	2020	2021	\$1,710,000	\$1,710,000	\$269,036	16%	Board approved \$1.71M in January, 2020.
Fitness Equipment Purchase and Space Renovation (0000000)		Hold	2020	2021	\$700,000	\$700,000	\$0	0%	Board Approved March, 2020. No expenditures as of yet.

**UMPI**

UMPI Solar Array (7100023)	Campus E&G Funds (100%)	Bidding	2020	2021	\$700,000	\$700,000	\$129,347	18%	Board approved \$700K June, 2020.
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**Capital Project Status Report**  
**Board Approved Projects**  
**March 2021 - Finance, Facilities and Technology Committee**  
**With Grand Totals and % of Current Approved Estimates**

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

Folsom 105 Nursing Renovation (7100026)	Bond (100%)	Substantially Complete	2020	2021	\$800,000	\$800,000	\$707,776	88%	Board approved \$800K March, 2020.
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Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report. *** This project has been completed since the last report and is not expected to appear on the next report.	Funding source(s) reflects primary source(s) for project.		Calendar Year unless otherwise noted.						Percentage expended reflects total expended as of January 31, 2021 as a percentage of the current approved project estimate.
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**Bond Project Status Report**  
**Active Bond Projects**  
**March 2021 - Board of Trustees**  
**With Grand Totals and % of Current Approved Estimates**

Campus, Project Name (Project ID), Project Manager	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
<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%)	\$26,433	\$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%)	\$475,000	\$0	\$475,000	
Jewett Hall Boiler Design Work (1200062)	Construction in Progress	2021	2021	Bond (100%)	\$305,000	\$251,212	\$305,000	
<b>Total Bond for Campus</b>					<b>\$3,691,433</b>	<b>\$628,033</b>	<b>\$8,205,000</b>	
<b>UMF</b>								
**Dearborn Gym Hot Water Upgrades (2100087)	Complete	2019	2021	Bond (100%)	\$850,000	\$803,228	\$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	2022	Bond (100%)	\$200,000	\$178,690	\$200,000	
**Dakin Hall Shower Renovations (2100093)	On Hold	2019	2021	Bond (100%)	\$200,000	\$88,332	\$200,000	
**Lockwood Hall Shower Renovations (2100094)	On Hold	2019	2021	Bond (100%)	\$200,000	\$84,199	\$200,000	
**Stone Hall Shower Renovations (2100095)	Construction in Progress	2019	2022	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 (100%)	\$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 (100%)	\$40,000	\$764	\$40,000	
Olsen Center Renovations (2100102)	Pre-Design in Progress	2023	2023	Bond (100%)	\$1,900,000	\$21,074	\$1,900,000	Approved budget of \$300,000, as it remains in study/design phase.
**Mantor Library Renovations (2100103)	Construction in Progress	2021	2022	Bond (100%)	\$300,000	\$218,866	\$300,000	
**Campus ADA Ramps (2100104)	Construction in Progress	2021	2021	Bond (100%)	\$115,000	\$10,194	\$100,000	



**Bond Project Status Report**  
**Active Bond Projects**  
**March 2021 - Finance, Facilities, and Technology Committee**  
**With Grand Totals and % of Current Approved Estimates**

Campus, Project Name (Project ID), Project Manager	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
<b>UMF</b>								
Dakin Flooring, Ceiling, Light (2100105)	Construction in Progress	2021	2021	Bond (100%)	\$250,000	\$206,187	\$250,000	
*Roberts HVAC Upgrade (2100106)	Design in Progress	2021	2021	Bond (100%)	\$150,000	\$6,893	\$150,000	
*Merrill Hall HVAC Upgrade (2100107)	Design in Progress	2021	2021	Bond (100%)	\$400,000	\$0	\$400,000	
<b>Total Bond for Campus</b>					<b>\$6,408,067</b>	<b>\$2,823,907</b>	<b>\$6,393,067</b>	
<b>UM</b>								
Neville Hall Renovation (5100534)	Design in Progress	2021	2022	Bond (100%), Campus E&G (0%)	\$300,000	\$53,738	\$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>\$53,738</b>	<b>\$1,500,000</b>	
<b>UMFK</b>								
UMFK Enrollment/Advancement Center (3100042)	Construction in Progress	2022	2021	Bond (100%)	\$3,249,000	\$1,013,995	\$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>\$1,013,995</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%)	\$152,000	\$152,000	\$152,000	
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>\$1,001,000</b>	<b>\$940,170</b>	<b>\$1,001,000</b>	
<b>USM</b>								
**Woodward Hall Renovations (6100301)	Complete	2019	2019	Bond (86%), Campus E&G Funds (14%)	\$1,008,395	\$1,008,395	\$1,172,840	
Ricci Lecture Hall Renovations (6100308)	Complete	2019	2020	Bond (31%), Gifts (43%), Campus E&G Funds (26%)	\$150,000	\$150,000	\$564,197	

**Bond Project Status Report**  
**Active Bond Projects**  
**March 2021 - Finance, Facilities, and Technology Committee**  
**With Grand Totals and % of Current Approved Estimates**

Campus, Project Name (Project ID), Project Manager	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
<b>USM</b>								
**Career and Student Success Center (6100325)	Bidding in Progress	2021	2023	Bond (100%)	\$19,000,000	\$1,966,477	\$26,551,000	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	\$1,150,486	\$1,500,000	Board approved \$1.5M in January, 2020.
Robie Andrews Renovation (6100339)	Design in Progress	2021	2021	Bond (100%)	\$491,605	\$19,553	\$491,605	
<b>Total Bond for Campus</b>					<b>\$23,610,000</b>	<b>\$5,751,911</b>	<b>\$34,667,642</b>	
<b>UMPI</b>								
Wieden Renovation Bond (7100025)	Design in Progress	2020	2021	Bond (100%)	\$125,000	\$66,359	\$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	\$707,776	\$800,000	Board approved \$800K March, 2020.
<b>Total Bond for Campus</b>					<b>\$925,000</b>	<b>\$774,135</b>	<b>\$4,800,000</b>	
<b>Totals:</b>					<b>\$39,184,501</b>	<b>\$11,985,888</b>	<b>\$59,815,709</b>	
Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report. 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 January 31, 2021.



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# 2019-20

# Financial Aid Report

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Robert Zuercher, UMS Senior Institutional Research & Planning Analyst  
January 14, 2021

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT**


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**TABLE OF CONTENTS**

Introduction.....	2
Highlights.....	3
Total Financial Aid by Campus .....	4
Total Headcount of Financial Aid Recipients .....	4
Average Financial Aid Award Package per Student by Campus.....	4
Summary of Financial Aid by Source and Type.....	6
2019-20 Financial Aid by Source, Type, and Campus .....	8
Federal Financial Aid by Type and Program .....	10
2019-20 Federal Financial Aid by Type, Program, and Campus.....	11
State Financial Aid by Type and Program .....	12
2019-20 State Financial Aid by Type, Program, and Campus.....	13
Institutional Financial Aid by Type and Program .....	14
2019-20 Institutional Financial Aid by Type, Program, and Campus.....	15
Loans by Program .....	16
Scholarships, Grants, & Waivers by Program .....	17
Work Study by Program .....	18
Glossary of Student Aid Programs.....	19

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## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

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### INTRODUCTION

The following financial aid report provides an overview of financial aid types and funding sources within the University of Maine System (UMS).

**Notes:**

1. As of 2013-14, all data is based on aid year for loans, scholarships, and grants and is based on fiscal year for tuition waivers and work study. Prior to 2013-14, all data was reconciled to the fiscal year. The UMS fiscal year runs from July 1 to June 30.
2. All figures exclude private loans.
3. Some totals may not appear to sum correctly due to rounding.

**Data Source:** PeopleSoft Database; the University of Maine System; 1/14/2021.

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT**


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**HIGHLIGHTS**
**Overview**

- Total financial aid in the University of Maine System (UMS) was \$209.5 million in 2019-20. Financial aid decreased by -\$1.7 million (or -0.6%) compared to last year. The total number of students receiving aid increased by 636 students (or 2.6%) from last year to 25,253 students. The average award package was \$11,502, a -3.1% decrease from the prior year.
- Federal aid comprised 55.1% of total aid awarded in 2019-20, while institutional aid accounted for 37.1%, and private aid (scholarships) and state aid accounted for 4.2% and 3.5% respectively.
- From 2015-16, institutional aid grew by \$30.4 million (or 39.2%) and private aid (scholarships) grew by \$1.3 million (or 11.2%). Federal and state aid declined by -\$25.4 million (or -13.7%) and -\$1.2 million (or -10.5%) respectively.
- Scholarships, grants, and waivers accounted for 59.2% of the total aid awarded in 2019-20. Loans made up 39.1% and work study made up the remaining 1.7% of all aid awarded.

**Loans**

- In 2019-20, loans totaled \$113.5 million, which is a decrease of -\$6.0 million (or -5.0%) relative to last year and a decrease of -\$21.3 million (or -15.8%) from five years ago.
- A total of 13,844 students participated in at least one loan program. Of those who received loans, the average loan package was \$8,196.
- The average institutional loan increased 27.7% from \$2,673 in 2015-16 to \$3,413 in 2019-20 and the average PLUS loan increased 20.7% from \$10,075 in 2015-16 to \$12,160 in 2019-20.

**Scholarships, Grants, and Waivers**

- Scholarships, grants, and waivers totaled \$172.0 million in 2019-20, an increase of \$4.7 million (or 2.8%) compared to the previous year and an increase of \$27.3 million (or 18.9%) from 2015-16.
- Institutional scholarships, grants, and waivers increased from \$75.9 million in 2015-16 to \$106.7 million in 2019-20 (an increase of 40.5%). Private scholarships grew 11.2% from five years ago, increasing from \$11.0 to \$12.3 million. Federal scholarships, grants, and waivers dropped from \$46.4 million in 2015-16 to \$43.0 million in 2019-20 (a decrease of -7.3%) and scholarships and grants from the state decreased from \$11.3 million to \$10.0 million (a decrease of -11.4%) in the same time period.
- The average scholarship, grant, and waiver package increased 6.6% from five years ago, going from \$7,035 in 2015-16 to \$7,498 in 2019-20.

**Work Study**

- In 2019-20, students received a total of \$5.0 million under the Federal Work Study program, \$3.9 million of which originated from the Federal Government and \$1.0 million in matching funds from UMS institutions.
- Although the number of participants in the Federal Work Study program declined -19.2% from 3,262 in 2015-16 to 2,637 in 2019-20, the average work study package increased 2.6% from \$1,842 to \$1,889 in the same time period.

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### TOTAL FINANCIAL AID BY CAMPUS

Campus	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
UM	\$131,002,292	\$133,246,405	\$142,244,035	\$144,102,987	\$146,093,645	1.4%	11.5%
UMA	\$36,351,535	\$31,352,994	\$28,229,362	\$27,551,605	\$26,252,878	-4.7%	-27.8%
UMF	\$22,266,358	\$22,387,384	\$22,582,445	\$22,124,728	\$21,098,444	-4.6%	-5.2%
UMFK	\$8,033,922	\$8,149,119	\$8,183,557	\$8,177,508	\$7,272,073	-11.1%	-9.5%
UMM	\$6,258,423	\$6,430,933	\$5,946,326	\$5,411,254	\$5,170,644	-4.4%	-17.4%
UMPI	\$8,280,394	\$7,761,213	\$7,701,738	\$7,968,967	\$7,994,110	0.3%	-3.5%
USM	\$73,282,907	\$74,103,851	\$74,877,691	\$76,777,669	\$76,569,011	-0.3%	4.5%
<b>Total</b>	<b>\$285,475,831</b>	<b>\$283,431,899</b>	<b>\$289,765,154</b>	<b>\$292,114,719</b>	<b>\$290,450,804</b>	<b>-0.6%</b>	<b>1.7%</b>

### TOTAL HEADCOUNT OF FINANCIAL AID RECIPIENTS

Campus	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
UM	9,425	9,673	10,063	10,349	10,868	5.0%	15.3%
UMA	4,219	3,875	3,694	3,780	4,040	6.9%	-4.2%
UMF	1,827	1,806	1,823	1,847	1,787	-3.2%	-2.2%
UMFK	908	916	884	868	769	-11.4%	-15.3%
UMM	703	701	682	729	732	0.4%	4.1%
UMPI	1,164	849	812	803	818	1.9%	-29.7%
USM	5,862	6,026	5,990	6,241	6,239	0.0%	6.4%
<b>Total</b>	<b>24,108</b>	<b>23,846</b>	<b>23,948</b>	<b>24,617</b>	<b>25,253</b>	<b>2.6%</b>	<b>4.7%</b>

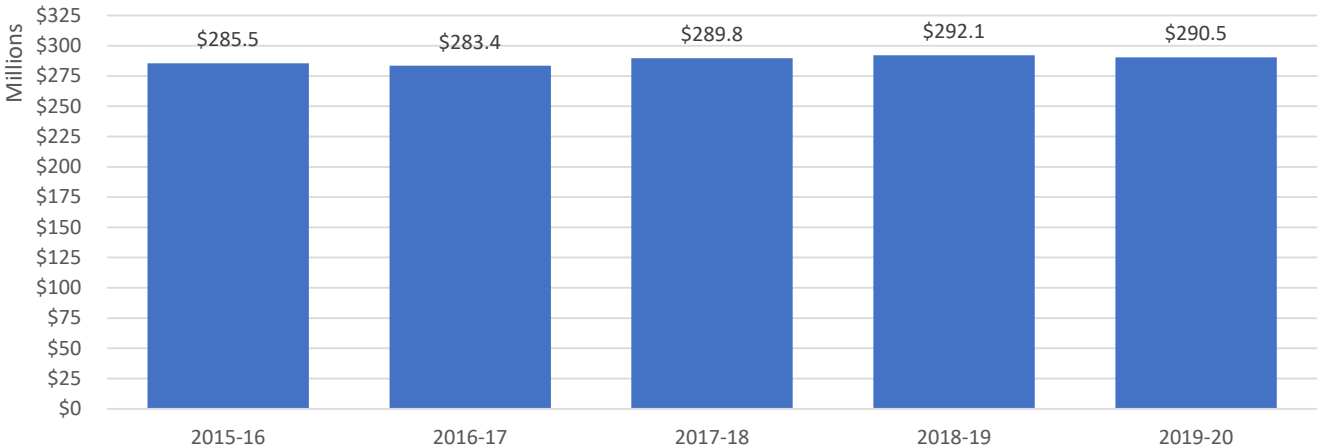
### AVERAGE FINANCIAL AID AWARD PACKAGE PER STUDENT BY CAMPUS

Campus	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
UM	\$13,899	\$13,775	\$14,135	\$13,924	\$13,443	-3.5%	-3.3%
UMA	\$8,616	\$8,091	\$7,642	\$7,289	\$6,498	-10.8%	-24.6%
UMF	\$12,187	\$12,396	\$12,388	\$11,979	\$11,807	-1.4%	-3.1%
UMFK	\$8,848	\$8,896	\$9,257	\$9,421	\$9,457	0.4%	6.9%
UMM	\$8,902	\$9,174	\$8,719	\$7,423	\$7,064	-4.8%	-20.7%
UMPI	\$7,114	\$9,142	\$9,485	\$9,924	\$9,773	-1.5%	37.4%
USM	\$12,501	\$12,297	\$12,500	\$12,302	\$12,273	-0.2%	-1.8%
<b>Total*</b>	<b>\$11,842</b>	<b>\$11,886</b>	<b>\$12,100</b>	<b>\$11,866</b>	<b>\$11,502</b>	<b>-3.1%</b>	<b>-2.9%</b>

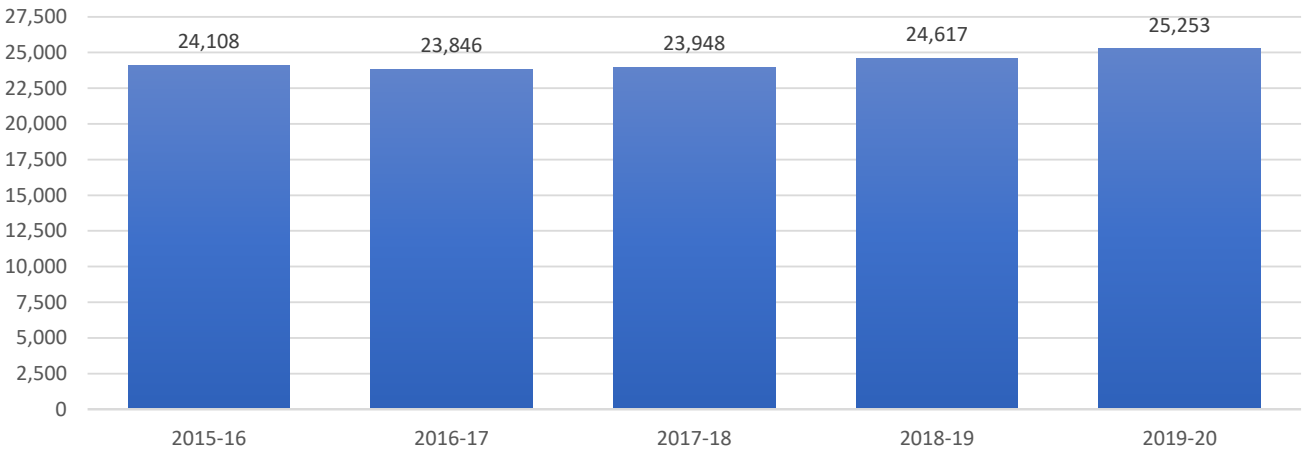
\* Weighted average.

UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

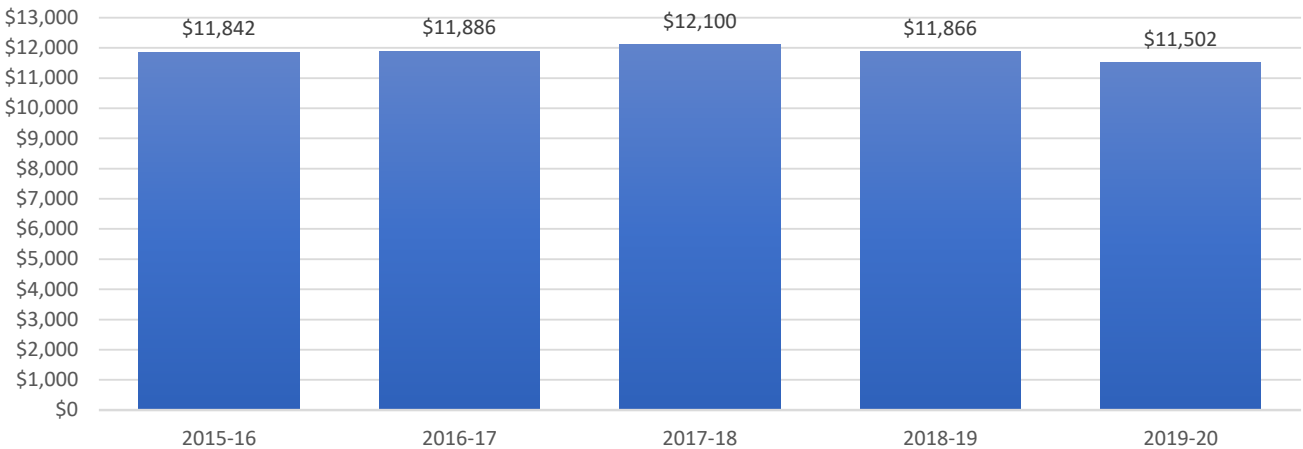
TOTAL FINANCIAL AID



TOTAL HEADCOUNT OF FINANCIAL AID RECIPIENTS



AVERAGE FINANCIAL AID AWARD PACKAGE PER STUDENT





## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### SUMMARY OF FINANCIAL AID BY SOURCE AND TYPE

#### Federal Financial Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$134.5	\$131.4	\$125.7	\$119.2	\$113.1	70.7%	-5.1%	-15.9%
Scholarships, Grants, & Waivers	\$46.4	\$43.1	\$45.6	\$45.2	\$43.0	26.9%	-4.8%	-7.3%
Work Study	\$4.6	\$4.4	\$4.5	\$4.2	\$3.9	2.5%	-5.2%	-15.2%
<b>Total</b>	<b>\$185.5</b>	<b>\$178.9</b>	<b>\$175.7</b>	<b>\$168.6</b>	<b>\$160.1</b>	<b>100.0%</b>	<b>-5.0%</b>	<b>-13.7%</b>

#### State Financial Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$0.1	\$0.1	\$0.2	\$0.2	\$0.2	2.1%	9.0%	63.9%
Scholarships, Grants, & Waivers	\$11.3	\$11.4	\$9.8	\$10.2	\$10.0	97.9%	-1.4%	-11.4%
<b>Total</b>	<b>\$11.5</b>	<b>\$11.5</b>	<b>\$9.9</b>	<b>\$10.4</b>	<b>\$10.3</b>	<b>100.0%</b>	<b>-1.2%</b>	<b>-10.5%</b>

#### Institutional Financial Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$0.2	\$0.2	\$0.1	\$0.1	\$0.1	0.1%	12.3%	-36.1%
Scholarships, Grants, & Waivers	\$75.9	\$79.4	\$91.7	\$99.9	\$106.7	98.9%	6.8%	40.5%
Work Study (Matching)	\$1.4	\$1.3	\$1.2	\$1.1	\$1.0	1.0%	-8.4%	-23.5%
<b>Total</b>	<b>\$77.5</b>	<b>\$80.9</b>	<b>\$93.1</b>	<b>\$101.2</b>	<b>\$107.8</b>	<b>100.0%</b>	<b>6.6%</b>	<b>39.2%</b>

#### Private Financial Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Scholarships, Grants, & Waivers	\$11.0	\$12.1	\$11.1	\$12.0	\$12.3	100.0%	1.9%	11.2%

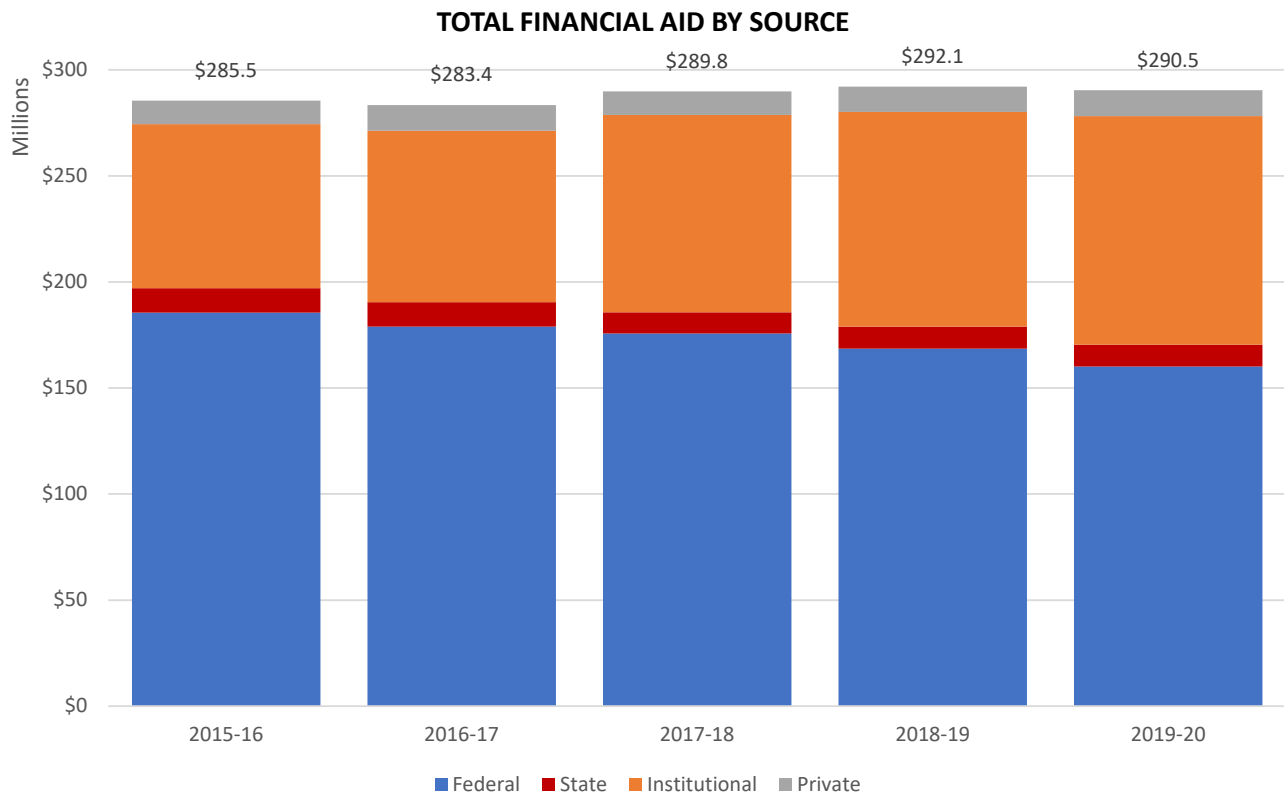
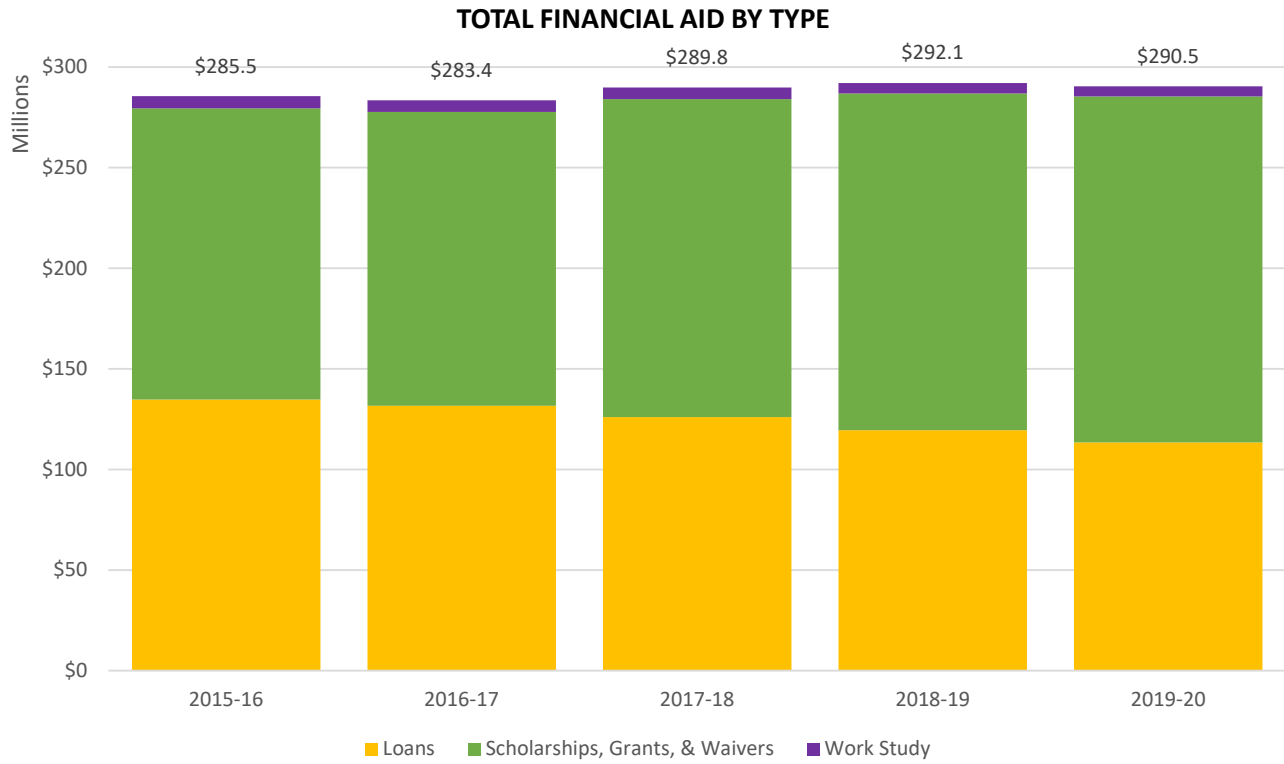
#### Total Financial Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$134.8	\$131.7	\$126.0	\$119.5	\$113.5	39.1%	-5.0%	-15.8%
Scholarships, Grants, & Waivers	\$144.7	\$146.1	\$158.1	\$167.3	\$172.0	59.2%	2.8%	18.9%
Work Study	\$6.0	\$5.7	\$5.7	\$5.3	\$5.0	1.7%	-5.9%	-17.1%
<b>Total</b>	<b>\$285.5</b>	<b>\$283.4</b>	<b>\$289.8</b>	<b>\$292.1</b>	<b>\$290.5</b>	<b>100.0%</b>	<b>-0.6%</b>	<b>1.7%</b>

#### Total Financial Aid by Source (in Millions)

Source	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Federal	\$185.5	\$178.9	\$175.7	\$168.6	\$160.1	55.1%	-5.0%	-13.7%
State	\$11.5	\$11.5	\$9.9	\$10.4	\$10.3	3.5%	-1.2%	-10.5%
Institutional	\$77.5	\$80.9	\$93.1	\$101.2	\$107.8	37.1%	6.6%	39.2%
Private	\$11.0	\$12.1	\$11.1	\$12.0	\$12.3	4.2%	1.9%	11.2%
<b>Total</b>	<b>\$285.5</b>	<b>\$283.4</b>	<b>\$289.8</b>	<b>\$292.1</b>	<b>\$290.5</b>	<b>100.0%</b>	<b>-0.6%</b>	<b>1.7%</b>

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT



## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### 2019-20 FINANCIAL AID BY SOURCE, TYPE, AND CAMPUS

#### Federal Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$49,914,688	\$12,359,068	\$8,185,587	\$3,368,110	\$1,284,489	\$2,934,176	\$35,093,721	<b>\$113,139,839</b>
Scholarships, Grants, & Waivers	\$13,631,701	\$7,989,135	\$3,977,737	\$1,670,669	\$1,484,061	\$2,542,134	\$11,738,133	<b>\$43,033,569</b>
Work Study	\$1,584,188	\$248,261	\$378,278	\$126,599	\$128,438	\$374,884	\$1,100,003	<b>\$3,940,651</b>
<b>Total</b>	<b>\$65,130,577</b>	<b>\$20,596,463</b>	<b>\$12,541,602</b>	<b>\$5,165,378</b>	<b>\$2,896,988</b>	<b>\$5,851,194</b>	<b>\$47,931,856</b>	<b>\$160,114,059</b>

#### State Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$54,500	\$0	\$135,000	\$0	\$4,500	\$6,000	\$18,000	<b>\$218,000</b>
Scholarships, Grants, & Waivers	\$2,867,977	\$1,567,886	\$1,180,570	\$461,598	\$509,288	\$520,640	\$2,934,749	<b>\$10,042,708</b>
<b>Total</b>	<b>\$2,922,477</b>	<b>\$1,567,886</b>	<b>\$1,315,570</b>	<b>\$461,598</b>	<b>\$513,788</b>	<b>\$526,640</b>	<b>\$2,952,749</b>	<b>\$10,260,708</b>

#### Institutional Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$102,404	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$102,404</b>
Scholarships, Grants, & Waivers	\$71,932,880	\$3,245,292	\$6,057,784	\$1,303,697	\$1,477,047	\$1,164,146	\$21,498,925	<b>\$106,679,771</b>
Work Study	\$541,355	\$3,792	\$123,496	\$0	\$804	\$3,052	\$369,187	<b>\$1,041,685</b>
<b>Total</b>	<b>\$72,576,639</b>	<b>\$3,249,084</b>	<b>\$6,181,280</b>	<b>\$1,303,697</b>	<b>\$1,477,851</b>	<b>\$1,167,198</b>	<b>\$21,868,112</b>	<b>\$107,823,860</b>

#### Private Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Scholarships, Grants, & Waivers	\$5,463,952	\$839,445	\$1,059,992	\$341,400	\$282,017	\$449,078	\$3,816,293	<b>\$12,252,177</b>

#### Total Financial Aid by Type and Campus

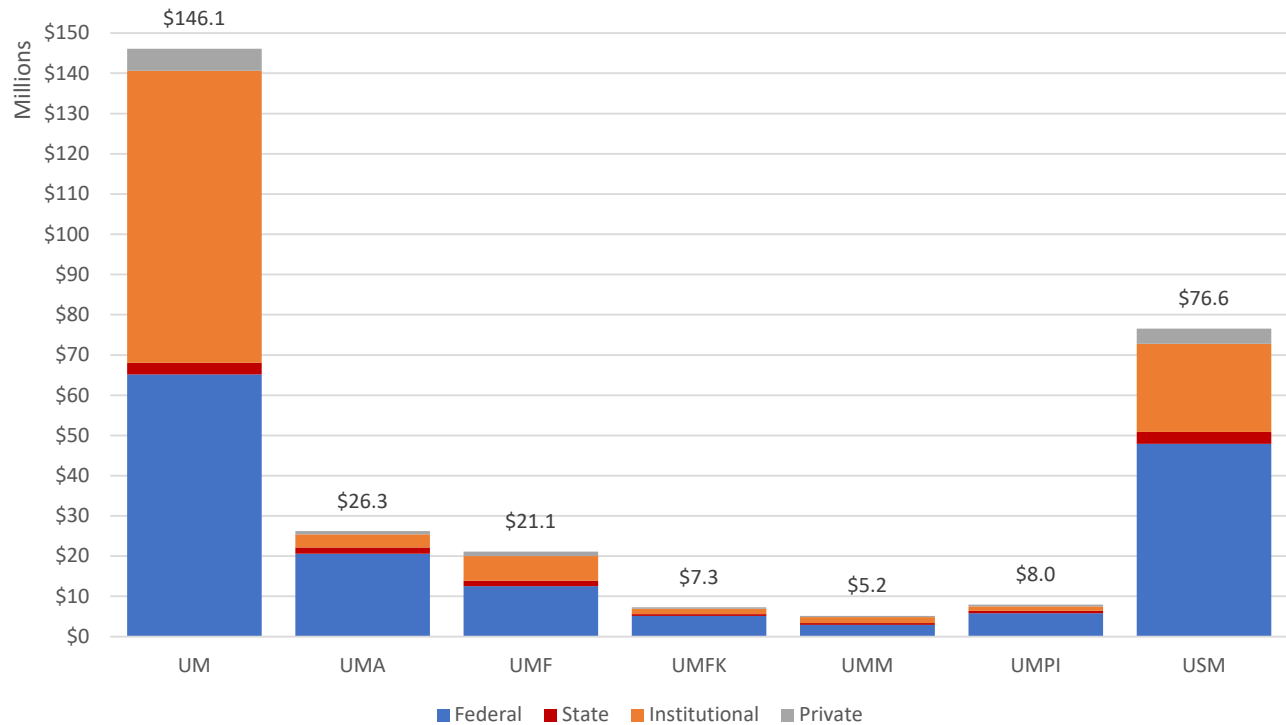
Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$50,071,592	\$12,359,068	\$8,320,587	\$3,368,110	\$1,288,989	\$2,940,176	\$35,111,721	<b>\$113,460,243</b>
Scholarships, Grants, & Waivers	\$93,896,511	\$13,641,757	\$12,276,083	\$3,777,364	\$3,752,412	\$4,675,998	\$39,988,100	<b>\$172,008,225</b>
Work Study	\$2,125,543	\$252,053	\$501,774	\$126,599	\$129,242	\$377,936	\$1,469,190	<b>\$4,982,336</b>
<b>Total</b>	<b>\$146,093,645</b>	<b>\$26,252,878</b>	<b>\$21,098,444</b>	<b>\$7,272,073</b>	<b>\$5,170,644</b>	<b>\$7,994,110</b>	<b>\$76,569,011</b>	<b>\$290,450,804</b>

#### Total Financial Aid by Source and Campus

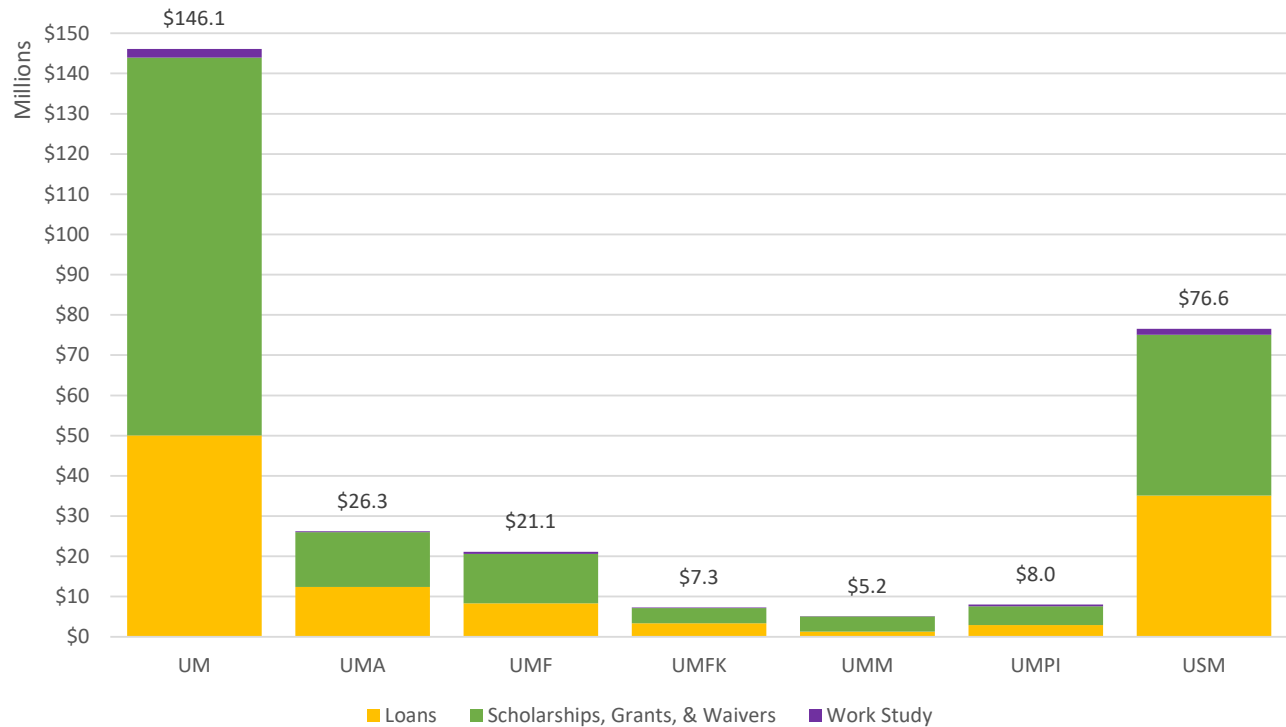
Source	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Federal	\$65,130,577	\$20,596,463	\$12,541,602	\$5,165,378	\$2,896,988	\$5,851,194	\$47,931,856	<b>\$160,114,059</b>
State	\$2,922,477	\$1,567,886	\$1,315,570	\$461,598	\$513,788	\$526,640	\$2,952,749	<b>\$10,260,708</b>
Institutional	\$72,576,639	\$3,249,084	\$6,181,280	\$1,303,697	\$1,477,851	\$1,167,198	\$21,868,112	<b>\$107,823,860</b>
Private	\$5,463,952	\$839,445	\$1,059,992	\$341,400	\$282,017	\$449,078	\$3,816,293	<b>\$12,252,177</b>
<b>Total</b>	<b>\$146,093,645</b>	<b>\$26,252,878</b>	<b>\$21,098,444</b>	<b>\$7,272,073</b>	<b>\$5,170,644</b>	<b>\$7,994,110</b>	<b>\$76,569,011</b>	<b>\$290,450,804</b>

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### 2019-20 TOTAL FINANCIAL AID BY SOURCE AND CAMPUS



### 2019-20 TOTAL FINANCIAL AID BY TYPE AND CAMPUS



## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### FEDERAL FINANCIAL AID BY TYPE AND PROGRAM

#### Federal Loans by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Nursing	\$0.4	\$0.4	\$0.7	\$0.4	\$0.4	0.3%	-7.4%	-16.9%
Perkins	\$4.4	\$4.8	\$2.9	--	--	--	--	--
PLUS	\$15.9	\$18.4	\$18.9	\$19.0	\$17.3	15.3%	-8.9%	9.1%
Subsidized	\$47.2	\$44.4	\$42.6	\$40.6	\$37.0	32.7%	-8.9%	-21.7%
Unsubsidized	\$66.5	\$63.4	\$60.5	\$59.2	\$58.5	51.7%	-1.2%	-12.1%
<b>Total</b>	<b>\$134.5</b>	<b>\$131.4</b>	<b>\$125.7</b>	<b>\$119.2</b>	<b>\$113.1</b>	<b>15.6%</b>	<b>-5.1%</b>	<b>-15.9%</b>

#### Federal Scholarships, Grants, and Waivers by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Pell	\$41.5	\$38.2	\$40.2	\$40.1	\$37.9	88.1%	-5.3%	-8.7%
SEOG	\$4.2	\$4.2	\$4.7	\$4.4	\$4.5	10.5%	1.4%	7.2%
Other	\$0.7	\$0.7	\$0.6	\$0.7	\$0.6	1.4%	-13.5%	-9.5%
<b>Total</b>	<b>\$46.4</b>	<b>\$43.1</b>	<b>\$45.6</b>	<b>\$45.2</b>	<b>\$43.0</b>	<b>100.0%</b>	<b>-4.8%</b>	<b>-7.3%</b>

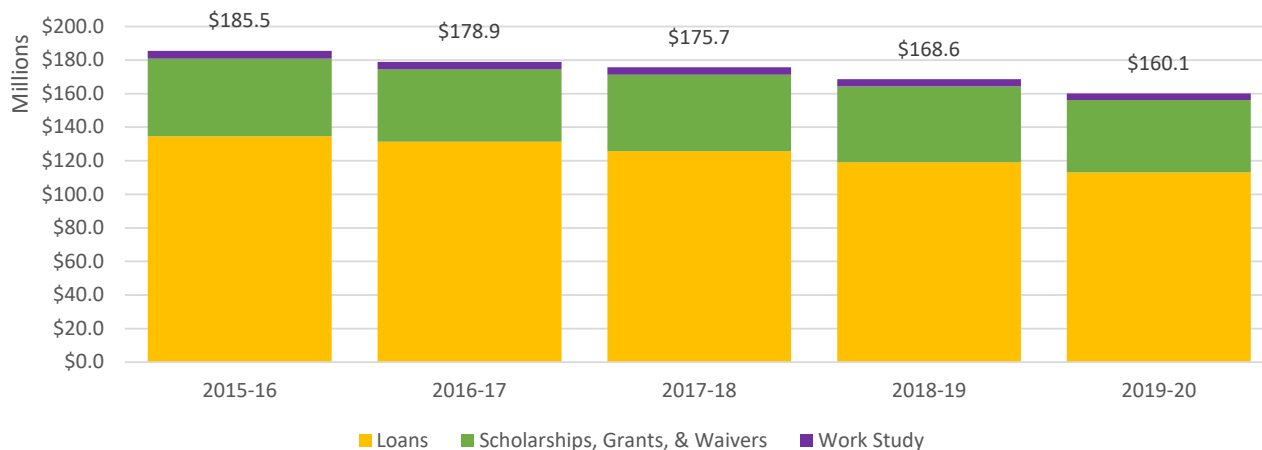
#### Federal Work Study (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Work Study	\$4.6	\$4.4	\$4.5	\$4.2	\$3.9	2.5%	-5.2%	-15.2%

#### Total Federal Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$134.5	\$131.4	\$125.7	\$119.2	\$113.1	70.7%	-5.1%	-15.9%
Scholarships, Grants, & Waivers	\$46.4	\$43.1	\$45.6	\$45.2	\$43.0	26.9%	-4.8%	-7.3%
Work Study	\$4.6	\$4.4	\$4.5	\$4.2	\$3.9	2.5%	-5.2%	-15.2%
<b>Total</b>	<b>\$185.5</b>	<b>\$178.9</b>	<b>\$175.7</b>	<b>\$168.6</b>	<b>\$160.1</b>	<b>100.0%</b>	<b>-5.0%</b>	<b>-13.7%</b>

#### TOTAL FEDERAL AID BY TYPE



## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### 2019-20 FEDERAL FINANCIAL AID BY TYPE, PROGRAM, AND CAMPUS

#### Federal Loans by Program and Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Nursing	\$0	\$0	\$0	\$0	\$0	\$0	\$351,740	<b>\$351,740</b>
PLUS	\$11,132,757	\$202,233	\$951,119	\$121,786	\$138,354	\$121,565	\$4,647,719	<b>\$17,315,533</b>
Subsidized	\$15,904,519	\$5,209,782	\$3,859,796	\$1,443,312	\$619,032	\$1,351,092	\$8,616,462	<b>\$37,003,995</b>
Unsubsidized	\$22,877,412	\$6,947,053	\$3,374,672	\$1,803,012	\$527,103	\$1,461,519	\$21,477,800	<b>\$58,468,571</b>
<b>Total</b>	<b>\$49,914,688</b>	<b>\$12,359,068</b>	<b>\$8,185,587</b>	<b>\$3,368,110</b>	<b>\$1,284,489</b>	<b>\$2,934,176</b>	<b>\$35,093,721</b>	<b>\$113,139,839</b>

#### Federal Scholarships, Grants, and Waivers by Program and Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Pell	\$11,497,050	\$7,742,891	\$3,720,345	\$1,528,530	\$1,275,584	\$2,053,941	\$10,098,182	<b>\$37,916,523</b>
SEOG	\$1,661,693	\$181,727	\$221,484	\$125,339	\$208,477	\$463,010	\$1,639,951	<b>\$4,501,680</b>
Other	\$472,959	\$64,517	\$35,908	\$16,800	\$0	\$25,183	\$0	<b>\$615,367</b>
<b>Total</b>	<b>\$13,631,701</b>	<b>\$7,989,135</b>	<b>\$3,977,737</b>	<b>\$1,670,669</b>	<b>\$1,484,061</b>	<b>\$2,542,134</b>	<b>\$11,738,133</b>	<b>\$43,033,569</b>

#### Federal Work Study by Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Work Study	\$1,584,188	\$248,261	\$378,278	\$126,599	\$128,438	\$374,884	\$1,100,003	<b>\$3,940,651</b>

#### Total Federal Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$49,914,688	\$12,359,068	\$8,185,587	\$3,368,110	\$1,284,489	\$2,934,176	\$35,093,721	<b>\$113,139,839</b>
Scholarships, Grants, & Waivers	\$13,631,701	\$7,989,135	\$3,977,737	\$1,670,669	\$1,484,061	\$2,542,134	\$11,738,133	<b>\$43,033,569</b>
Work Study	\$1,584,188	\$248,261	\$378,278	\$126,599	\$128,438	\$374,884	\$1,100,003	<b>\$3,940,651</b>
<b>Total</b>	<b>\$65,130,577</b>	<b>\$20,596,463</b>	<b>\$12,541,602</b>	<b>\$5,165,378</b>	<b>\$2,896,988</b>	<b>\$5,851,194</b>	<b>\$47,931,856</b>	<b>\$160,114,059</b>

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### STATE FINANCIAL AID BY TYPE AND PROGRAM

#### State Loans by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Educators for Maine	\$0.1	\$0.1	\$0.2	\$0.2	\$0.2	100.0%	9.0%	63.9%

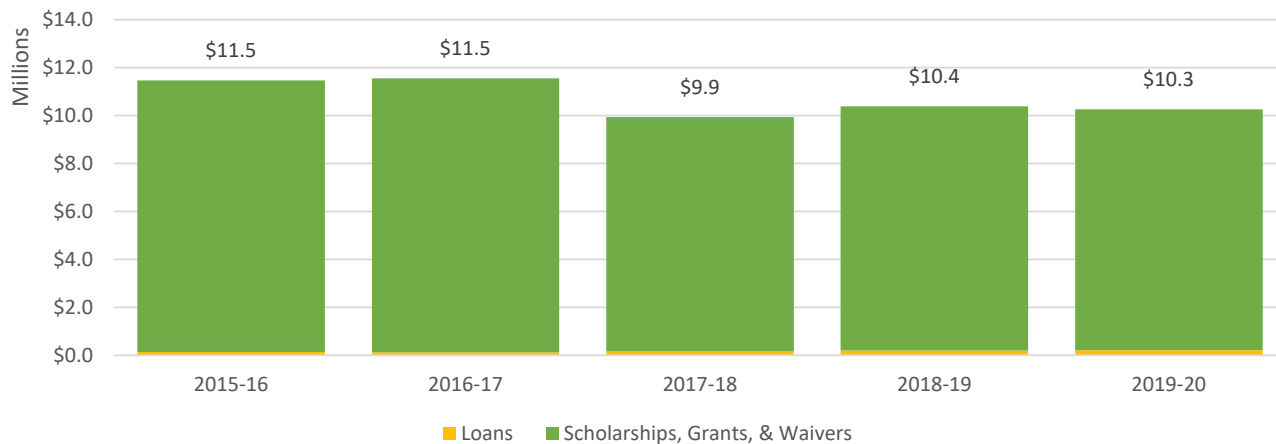
#### State Scholarships, Grants, and Waivers by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Racino	\$1.3	\$1.2	\$1.6	\$1.7	\$1.8	17.6%	3.7%	35.6%
State of Maine Grant	\$9.4	\$9.6	\$7.5	\$7.8	\$7.1	70.9%	-8.4%	-24.3%
UMS License Plate	\$0.05	\$0.05	\$0.05	\$0.04	\$0.06	0.6%	69.6%	17.2%
Other	\$0.6	\$0.6	\$0.6	\$0.7	\$1.1	10.9%	63.3%	92.5%
<b>Total</b>	<b>\$11.3</b>	<b>\$11.4</b>	<b>\$9.8</b>	<b>\$10.2</b>	<b>\$10.0</b>	<b>100.0%</b>	<b>-1.4%</b>	<b>-11.4%</b>

#### Total State Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$0.1	\$0.1	\$0.2	\$0.2	\$0.2	2.1%	9.0%	63.9%
Scholarships, Grants, & Waivers	\$11.3	\$11.4	\$9.8	\$10.2	\$10.0	97.9%	-1.4%	-11.4%
<b>Total</b>	<b>\$11.5</b>	<b>\$11.5</b>	<b>\$9.9</b>	<b>\$10.4</b>	<b>\$10.3</b>	<b>100.0%</b>	<b>-1.2%</b>	<b>-10.5%</b>

#### TOTAL STATE AID BY TYPE



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**UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT**


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**2019-20 STATE FINANCIAL AID BY TYPE, PROGRAM, AND CAMPUS**
**State Loans by Program and Campus**

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Educators for Maine	\$54,500	\$0	\$135,000	\$0	\$4,500	\$6,000	\$18,000	<b>\$218,000</b>

**State Scholarships, Grants, and Waivers by Program and Campus**

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Racino	\$0	\$466,896	\$269,199	\$48,628	\$255,378	\$85,322	\$641,886	<b>\$1,767,309</b>
State of Maine Grant	\$2,377,400	\$797,914	\$883,510	\$268,225	\$244,910	\$368,602	\$2,178,514	<b>\$7,119,075</b>
UMS License Plate	\$0	\$30,000	\$7,236	\$0	\$0	\$2,875	\$21,351	<b>\$61,462</b>
Other	\$490,577	\$273,076	\$20,625	\$144,745	\$9,000	\$63,841	\$92,998	<b>\$1,094,862</b>
<b>Total</b>	<b>\$2,867,977</b>	<b>\$1,567,886</b>	<b>\$1,180,570</b>	<b>\$461,598</b>	<b>\$509,288</b>	<b>\$520,640</b>	<b>\$2,934,749</b>	<b>\$10,042,708</b>

**Total State Financial Aid by Type and Campus**

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$54,500	\$0	\$135,000	\$0	\$4,500	\$6,000	\$18,000	<b>\$218,000</b>
Scholarships, Grants, & Waivers	\$2,867,977	\$1,567,886	\$1,180,570	\$461,598	\$509,288	\$520,640	\$2,934,749	<b>\$10,042,708</b>
<b>Total</b>	<b>\$2,922,477</b>	<b>\$1,567,886</b>	<b>\$1,315,570</b>	<b>\$461,598</b>	<b>\$513,788</b>	<b>\$526,640</b>	<b>\$2,952,749</b>	<b>\$10,260,708</b>



## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### INSTITUTIONAL FINANCIAL AID BY TYPE AND PROGRAM

#### Institutional Loans by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Institutional Loans	\$0.2	\$0.2	\$0.1	\$0.1	\$0.1	100.0%	12.3%	-36.1%

#### Institutional Scholarships, Grants, and Waivers by Program (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Black Bear License Plate	\$0.1	\$0.1	\$0.1	\$0.1	\$0.1	0.11%	11.9%	22.6%
Fire Fighter/Law Enforcement Waiver	\$0.02	\$0.02	\$0.01	\$0.01	\$0.01	0.01%	12.6%	-37.4%
Foster Care Waiver	\$0.4	\$0.4	\$0.4	\$0.4	\$0.4	0.4%	-5.5%	11.0%
High School Waiver	\$0.8	\$0.6	\$0.8	\$1.2	\$1.9	1.8%	57.4%	140.6%
Inst. Scholarships (Restricted)	\$8.9	\$7.4	\$7.5	\$8.8	\$9.5	8.9%	7.4%	6.5%
Inst. Scholarships (Unrestricted)	\$58.5	\$64.0	\$75.4	\$81.6	\$86.6	81.1%	6.0%	48.1%
Native American R&B Scholarship	\$0.3	\$0.3	\$0.3	\$0.3	\$0.2	0.2%	-21.1%	-33.7%
Native American Waiver	\$3.2	\$3.0	\$3.2	\$3.0	\$3.2	3.0%	7.4%	0.0%
Racino Scholarship	\$0.8	\$0.6	\$0.6	\$0.7	\$0.8	0.8%	22.5%	5.2%
Senior Citizens Waiver	\$0.4	\$0.4	\$0.4	\$0.5	\$0.5	0.5%	-0.7%	44.9%
SEOG Institutional Matching	\$1.2	\$1.2	\$1.3	\$1.2	\$1.2	1.1%	0.1%	5.7%
Veteran's Dependent Waiver	\$1.5	\$1.5	\$1.8	\$2.0	\$2.2	2.1%	9.0%	50.1%
Total	<b>\$75.9</b>	<b>\$79.4</b>	<b>\$91.7</b>	<b>\$99.9</b>	<b>\$106.7</b>	<b>100.0%</b>	<b>6.8%</b>	<b>40.5%</b>

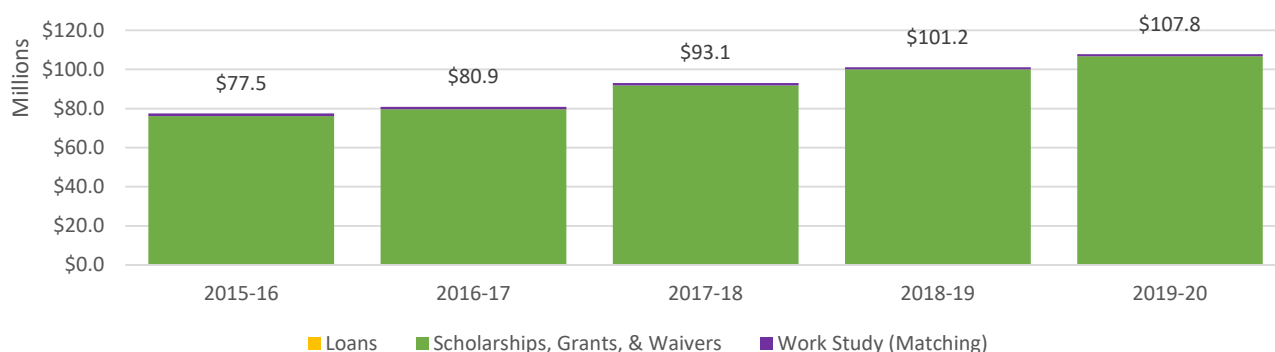
#### Institutional Work Study (Matching) (in Millions)

Program	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Work Study (Matching)	\$1.4	\$1.3	\$1.2	\$1.1	\$1.0	100.0%	-8.4%	-23.5%

#### Total Institutional Aid by Type (in Millions)

Type	2015-16	2016-17	2017-18	2018-19	2019-20	% of Total	1-year Change	5-year Change
Loans	\$0.2	\$0.2	\$0.1	\$0.1	\$0.1	0.1%	12.3%	-36.1%
Scholarships, Grants, & Waivers	\$75.9	\$79.4	\$91.7	\$99.9	\$106.7	98.9%	6.8%	40.5%
Work Study (Matching)	\$1.4	\$1.3	\$1.2	\$1.1	\$1.0	1.0%	-8.4%	-23.5%
<b>Total</b>	<b>\$77.5</b>	<b>\$80.9</b>	<b>\$93.1</b>	<b>\$101.2</b>	<b>\$107.8</b>	<b>100.0%</b>	<b>6.6%</b>	<b>39.2%</b>

#### TOTAL INSTITUTIONAL AID BY TYPE



## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### 2019-20 INSTITUTIONAL FINANCIAL AID BY TYPE, PROGRAM, AND CAMPUS

#### Institutional Loans by Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$102,404	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$102,404</b>

#### Institutional Scholarships, Grants, and Waivers by Program and Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Black Bear License Plate	\$117,486	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$117,486</b>
Fire Fighter/Law Enforcement Waiver	\$9,900	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$9,900</b>
Foster Care Waiver	\$129,510	\$10,038	\$84,300	\$26,171	\$6,214	\$17,208	\$121,111	<b>\$394,552</b>
High School Waiver	\$763,867	\$649,033	\$146,965	\$0	\$118,196	\$0	\$227,757	<b>\$1,905,818</b>
Inst. Scholarships (Restricted)	\$6,754,584	\$28,725	\$659,417	\$118,510	\$98,055	\$137,085	\$1,654,642	<b>\$9,451,018</b>
Inst. Scholarships (Unrestricted)	\$60,125,830	\$1,671,716	\$4,764,263	\$984,129	\$949,747	\$791,267	\$17,276,739	<b>\$86,563,689</b>
Native American R&B Scholarship	\$108,599	\$0	\$8,778	\$1,166	\$14,622	\$0	\$78,202	<b>\$211,367</b>
Native American Waiver	\$1,609,848	\$412,445	\$137,463	\$58,628	\$148,637	\$113,649	\$755,905	<b>\$3,236,574</b>
Racino Scholarship	\$809,214	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$809,214</b>
Senior Citizens Waiver	\$180,500	\$121,489	\$20,895	\$5,068	\$16,808	\$14,641	\$175,968	<b>\$535,368</b>
SEOG Institutional Matching	\$525,361	\$0	\$73,828	\$0	\$69,492	\$0	\$546,650	<b>\$1,215,331</b>
Veteran's Dependent Waiver	\$798,182	\$351,846	\$161,876	\$110,026	\$55,275	\$90,297	\$661,953	<b>\$2,229,453</b>
<b>Total</b>	<b>\$71,932,880</b>	<b>\$3,245,292</b>	<b>\$6,057,784</b>	<b>\$1,303,697</b>	<b>\$1,477,047</b>	<b>\$1,164,146</b>	<b>\$21,498,925</b>	<b>\$106,679,771</b>

#### Institutional Work-Study (Matching) by Campus

Program	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Work Study (Matching)	\$541,355	\$3,792	\$123,496	\$0	\$804	\$3,052	\$369,187	<b>\$1,041,685</b>

#### Total Institutional Financial Aid by Type and Campus

Type	UM	UMA	UMF	UMFK	UMM	UMPI	USM	Total
Loans	\$102,404	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$102,404</b>
Scholarships, Grants, & Waivers	\$71,932,880	\$3,245,292	\$6,057,784	\$1,303,697	\$1,477,047	\$1,164,146	\$21,498,925	<b>\$106,679,771</b>
Work Study (Matching)	\$541,355	\$3,792	\$123,496	\$0	\$804	\$3,052	\$369,187	<b>\$1,041,685</b>
<b>Total</b>	<b>\$72,576,639</b>	<b>\$3,249,084</b>	<b>\$6,181,280</b>	<b>\$1,303,697</b>	<b>\$1,477,851</b>	<b>\$1,167,198</b>	<b>\$21,868,112</b>	<b>\$107,823,860</b>

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### LOANS BY PROGRAM

#### Average Loan Amount by Program

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
Educators for Maine	\$2,891	\$2,864	\$2,831	\$2,857	\$2,795	-2.2%	-3.3%
Institutional Loans	\$2,673	\$3,141	\$2,774	\$2,681	\$3,413	27.3%	27.7%
Nursing	\$2,712	\$2,962	\$3,520	\$2,857	\$2,814	-1.5%	3.8%
Perkins	\$1,696	\$1,710	\$1,576	--	--	--	--
PLUS	\$10,075	\$11,195	\$11,654	\$12,140	\$12,160	0.2%	20.7%
Subsidized	\$3,790	\$3,796	\$3,826	\$3,852	\$3,837	-0.4%	1.2%
Unsubsidized	\$4,787	\$4,766	\$4,751	\$4,832	\$4,973	2.9%	3.9%
<b>Average Loan Package</b>	<b>\$8,134</b>	<b>\$8,299</b>	<b>\$8,310</b>	<b>\$8,230</b>	<b>\$8,196</b>	<b>-0.4%</b>	<b>0.8%</b>

#### Number of Loan Recipients by Program

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
Educators for Maine	46	44	59	70	78	11.4%	69.6%
Institutional Loans	60	48	50	34	30	-11.8%	-50.0%
Nursing	156	123	200	133	125	-6.0%	-19.9%
Perkins	2,595	2,780	1,844	--	--	--	--
PLUS	1,576	1,648	1,625	1,565	1,424	-9.0%	-9.6%
Subsidized	12,465	11,701	11,139	10,543	9,645	-8.5%	-22.6%
Unsubsidized	13,897	13,308	12,732	12,250	11,757	-4.0%	-15.4%
<b>Unduplicated Total</b>	<b>16,568</b>	<b>15,868</b>	<b>15,159</b>	<b>14,517</b>	<b>13,844</b>	<b>-4.6%</b>	<b>-16.4%</b>

## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

### SCHOLARSHIPS, GRANTS, & WAIVERS BY PROGRAM

#### Average Scholarship, Grant, & Waiver Amount by Program

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
Black Bear License Plate	\$2,818	\$3,122	\$713	\$1,207	\$1,163	-3.6%	-58.7%
Fire Fighter/Law Enforcement Waiver	\$5,270	\$7,533	\$6,435	\$8,790	\$9,900	12.6%	87.9%
Foster Care Waiver	\$6,129	\$6,350	\$6,293	\$7,202	\$7,046	-2.2%	15.0%
High School Waiver	\$725	\$583	\$672	\$695	\$745	7.2%	2.8%
Institutional Scholarships (Restricted)	\$2,155	\$1,937	\$1,970	\$2,083	\$1,911	-8.3%	-11.3%
Institutional Scholarships (Unrestricted)	\$4,709	\$4,788	\$5,258	\$5,308	\$5,747	8.3%	22.0%
Native American R&B Scholarship	\$1,219	\$1,388	\$1,216	\$1,233	\$1,158	-6.1%	-5.0%
Native American Waiver	\$3,840	\$4,086	\$3,888	\$4,057	\$3,155	-22.2%	-17.8%
Other Federal Grants	\$6,335	\$6,218	\$6,691	\$6,609	\$6,960	5.3%	9.9%
Other State Grants	\$2,074	\$2,382	\$2,142	\$2,230	\$1,645	-26.2%	-20.7%
Pell	\$2,487	\$2,601	\$2,681	\$2,579	\$1,995	-22.7%	-19.8%
Private Scholarships	\$3,854	\$3,845	\$4,067	\$4,196	\$4,250	1.3%	10.3%
Racino	\$2,742	\$2,851	\$2,811	\$3,045	\$3,096	1.7%	12.9%
Senior Citizen Waiver	\$703	\$858	\$824	\$823	\$670	-18.6%	-4.8%
SEOG	\$1,572	\$1,623	\$1,713	\$1,706	\$1,878	10.1%	19.5%
Maine State Grant	\$816	\$1,003	\$1,045	\$1,114	\$1,110	-0.4%	35.9%
UMS License Plate	\$990	\$857	\$1,074	\$1,450	\$866	-40.3%	-12.5%
Veteran's Dependent Waiver	\$6,939	\$6,873	\$7,779	\$7,930	\$7,906	-0.3%	13.9%
<b>Average Scholarship, Grant, &amp; Waiver Package</b>	<b>\$7,035</b>	<b>\$7,074</b>	<b>\$7,465</b>	<b>\$7,551</b>	<b>\$7,498</b>	<b>-0.7%</b>	<b>6.6%</b>

#### Number of Scholarship, Grant, & Waiver Recipients by Program

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
Black Bear License Plate	34	37	150	87	101	16.1%	197.1%
Fire Fighter/Law Enforcement Waiver	3	2	2	1	1	0.0%	-66.7%
Foster Care Waiver	58	56	57	58	56	-3.4%	-3.4%
High School Waiver	1,093	981	1,159	1,743	2,559	46.8%	134.1%
Institutional Scholarships (Restricted)	4,119	3,814	3,791	4,222	4,945	17.1%	20.1%
Institutional Scholarships (Unrestricted)	12,416	13,362	14,330	15,381	15,057	-2.1%	21.3%
Native American R&B Scholarship	7,717	6,896	6,174	6,304	6,148	-2.5%	-20.3%
Native American Waiver	83	80	71	66	67	1.5%	-19.3%
Other Federal Grants	511	484	475	456	465	2.0%	-9.0%
Other State Grants	328	293	287	319	374	17.2%	14.0%
Pell	242	227	228	260	586	125.4%	142.1%
Private Scholarships	10,779	9,934	9,887	9,546	8,921	-6.5%	-17.2%
Racino	4,017	4,246	3,942	3,950	3,958	0.2%	-1.5%
Senior Citizen Waiver	2,900	2,162	2,717	2,874	3,738	30.1%	28.9%
SEOG	235	226	247	316	285	-9.8%	21.3%
State of Maine Grant	6,553	5,354	5,790	5,081	5,178	1.9%	-21.0%
UMS License Plate	53	56	46	25	71	184.0%	34.0%
Veteran's Dependent Waiver	214	218	230	258	282	9.3%	31.8%
<b>Unduplicated Total</b>	<b>20,570</b>	<b>20,646</b>	<b>21,179</b>	<b>22,163</b>	<b>22,941</b>	<b>3.5%</b>	<b>11.5%</b>

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT**


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**WORK STUDY BY PROGRAM****Average Work Study Amount by Program**

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
<b>Federal Work Study</b>	\$1,452	\$1,464	\$1,518	\$1,536	\$1,506	-1.9%	3.7%
<b>Institutional Work Study (Matching)</b>	\$498	\$549	\$516	\$526	\$492	-6.4%	-1.2%
<b><i>Average Work Study Package</i></b>	<b><i>\$1,842</i></b>	<b><i>\$1,858</i></b>	<b><i>\$1,882</i></b>	<b><i>\$1,917</i></b>	<b><i>\$1,889</i></b>	<b><i>-1.5%</i></b>	<b><i>2.6%</i></b>

**Number of Work Study Recipients by Program**

Program	2015-16	2016-17	2017-18	2018-19	2019-20	1-year Change	5-year Change
<b>Federal Work Study</b>	3,199	2,991	2,948	2,707	2,616	-3.4%	-18.2%
<b>Institutional Work Study (Matching)</b>	2,735	2,394	2,365	2,162	2,117	-2.1%	-22.6%
<b><i>Unduplicated Total</i></b>	<b><i>3,262</i></b>	<b><i>3,065</i></b>	<b><i>3,026</i></b>	<b><i>2,761</i></b>	<b><i>2,637</i></b>	<b><i>-4.5%</i></b>	<b><i>-19.2%</i></b>

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**UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT**


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**GLOSSARY OF STUDENT AID PROGRAMS**
**Federal**

**Direct Student Loan** - The U.S. Department of Education's federal student loan program is the William D. Ford Federal Direct Loan (Direct Loan) Program. Under this program, the U.S. Department of Education is your lender. There are four types of Direct Loans available:

1. *Direct Subsidized Loans* - loans made to eligible undergraduate students who demonstrate financial need to help cover the costs of higher education at a college or career school.
2. *Direct Unsubsidized Loans* - loans made to eligible undergraduate, graduate, and professional students, but eligibility is not based on financial need.
3. *Direct PLUS Loans* - loans made to graduate or professional students and parents of dependent undergraduate students to help pay for education expenses not covered by other financial aid. Eligibility is not based on financial need, but a credit check is required.
4. *Direct Consolidation Loans* - allow students to combine all their eligible federal student loans into a single loan with a single loan servicer.

**Nursing Student Loan** - The Nursing Student Loan Program is like the Perkins Loan Program except that only nursing students are eligible borrowers. The institution administers the program.

**Perkins Loan** - The Perkins Loan Program was a low-interest federal loan program for undergraduate or graduate students with exceptional financial need. Both interest and principal repayments are deferred during time of attendance (assuming at least half-time status while enrolled). Repayment begins nine months after graduation or last attendance. The institution administers the program. Note: the authority for schools to make new Perkins Loans ended September 30, 2017. Final disbursements were permitted through June 30, 2018. Students can no longer receive Perkins Loans.

**Pell Grant** - The Pell Grant is the basic program of federal grant assistance to undergraduate students of exceptional financial need. The Federal government administers the program. Grant amounts vary according to institutional costs, number of credits taken, and individual eligibility determinations. The maximum Pell Grant award was \$6,195 for 2019-20.

**Supplemental Educational Opportunity Grants (SEOG)** - SEOG is a program of grant assistance for undergraduate students of exceptional financial need. The institution administers the program. Federal funding is dependent upon an institutional application to the Department of Education. The current institutional match is 25%.

**Federal Work Study (FWS)** - FWS is a program to provide part-time employment to full-time and part-time undergraduate, graduate, and professional students with financial need. Jobs may be on-campus or with off-campus public or private not-for-profit agencies. This program promotes community service work and employment related to the student's field of study. The institution administers the program. Federal funding is dependent upon an institutional application to the Department of Education.

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## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

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### State

**Educators for Maine Program** - The Educators for Maine Program is designed to provide low interest loans to Maine students who intend to teach in Maine. These loans may be forgiven by teaching in a Maine public elementary or secondary school upon graduation. If the loan recipient does not meet the service requirements, however, the loan must be repaid with interest. The program is administered by the Education Division of the Finance Authority of Maine (FAME). More information is available here:

[https://www.famemaine.com/maine\\_grants\\_loans/educators-for-maine-program-2/](https://www.famemaine.com/maine_grants_loans/educators-for-maine-program-2/)

**State of Maine Grant** - The State of Maine Grant Programs are designed to promote an educational opportunity for Maine students attending postsecondary institutions. The program is administered by the Maine Education Assistance Division under the Finance Authority of Maine (FAME). Determination of awards to students is based on rules and regulations established by the State that have been adapted to include applicable Federal guidelines. For the 2019-20 academic year, the maximum grant award amount is \$1,500. More information is available here: [https://www.famemaine.com/maine\\_grants\\_loans/state-of-maine-grant-program/](https://www.famemaine.com/maine_grants_loans/state-of-maine-grant-program/)

**Racino Scholarship** - Two to four percent of the net slot machine income will be credited to the UMS scholarship fund which will be used for Maine residents who demonstrate financial need.

**UMS License Plate** - UMS license plates provide a way for vehicle owners to show support for the UMS Scholarship fund. The UMS Scholarship fund receives \$14 from each UMS plate purchased (purchase price: \$20). More information is available here: <https://www.maine.gov/sos/bmv/registration/umplate.html>

### Institutional

**Institutional Loans** - The University maintains several loan programs which include funds established by individual contributors. Loans are made to students based on the restrictions established by the source of capital for the program. The loan programs are a continuing source of aid to students based on a revolving fund basis (e.g., as funds are repaid by students, new loans are made).

**Black Bear License Plate** - Black Bear specialty vehicle plates help support UMaine students with financial need. The Maine Black Bear Scholarship Fund receives \$10 for each registration purchased or renewed. More information is available here: <https://umainefoundation.org/voucher/>

**Fire Fighter/Law Enforcement Waiver** – Tuition waiver for children of firefighters and law enforcement officers killed in the line of duty. Per Maine law, tuition will be waived for eligible students but will be limited to undergraduate degree programs and shall be limited to the earlier of not more than five years of full-time enrollment or its equivalent, or receipt of a Baccalaureate Degree. A person desiring a tuition waiver should apply to the Department of Education for determination of eligibility. More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

**Foster Care Waiver** - Tuition Waiver for Persons in Foster Care, subsidized adoptive care, or minor wards of a subsidized permanency guardian upon graduating from high school or successfully completing a GED examination. Tuition will be waived for eligible Maine students who have applied for federal student financial aid. These students must be enrolled in an undergraduate or certificate program of at least one year and not been enrolled full-time for more than five years or the equivalent. A person desiring a tuition waiver should apply to the Finance Authority of Maine for determination of eligibility. More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

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## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

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**High School Waiver** - In situations where State funding is not sufficient to cover one-half the tuition for all eligible students as outlined in the High School Aspirations Incentive Program, the University of Maine System will still waive one-half the tuition for the first three (3) credit hours taken each semester (fall and spring only). More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

**Institutional Scholarships (Restricted)** - These scholarships are restricted by the donor and can be need-based or non-need-based. They are funded from income earned by the University endowment fund or other restricted sources and do not represent an expense to the E & G budget.

**Institutional Scholarships (Unrestricted)** - All scholarships funded from unrestricted revenues (excluding Native American Scholarships) are used to provide aid to students in need of financial assistance or in recognition of talent and/or academic excellence.

**Native American Room and Board (R&B) Scholarship** - This need-based grant is for qualified Native American students living in a residence hall of the campus where they are matriculating. Students must meet the requirements for the Native American Waiver and Educational Program, as well as other requirements outlined here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

**Native American Waiver** - The purpose of this programs is to encourage Native American students to participate in public higher education in Maine. The goal is to provide sustained support for all UMS Native American students who wish to pursue post-secondary study and, in particular, those who wish to obtain a certificate and/or an associate, baccalaureate, or graduate degree or some other appropriate credential that will serve them personally and professionally as they plan for the future. This program covers tuition and mandatory fees. Tuition and mandatory fees will be waived for qualified students, both matriculated and non-matriculated, who are enrolled in academic, credit-bearing courses at the undergraduate, graduate, or continuing education level at the campuses of the University of Maine System. More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

**Senior Citizens Waiver** - For the purpose of administering this waiver, “senior citizens” are defined as Maine residents who are, or will become, 65 years of age during the semester for which they are requesting the waiver. The Board of Trustees authorizes the waiver of tuition and Board-approved mandatory fees for senior citizens who register for undergraduate courses on a credit or audit basis at any university of the University of Maine System. Enrollment will be subject to space availability. More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>

**Veteran’s Dependent Waiver** - Per Maine law, tuition and mandatory fees and lab fees will be waived for eligible orphans, widows & widowers of veterans as well as spouses and children of veterans who are disabled, missing in action, etc. Initial eligibility is determined by the Veterans Affairs Office of the State of Maine. Students must be enrolled in an associate’s, bachelor’s or master’s degree program. More information is available here: <https://www.maine.edu/apls/wp-content/uploads/sites/42/2019/11/IX-G-Tuition-Waivers.pdf>



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## UNIVERSITY OF MAINE SYSTEM – 2019-20 FINANCIAL AID REPORT

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**NOTE:** The following are considered as part of an employee’s “benefit” package and, therefore, are not included in this financial aid report but it should be noted that tuition is waived for employees and their dependents as follows:

**Employee Tuition Benefit** - The University of Maine System encourages the full participation of all of its members in its educational mission by offering tuition waivers for eligible employees and their dependents. Employees should consult the appropriate collective bargaining agreement or the employee handbook (non-represented employees) for more information on tuition waiver benefits. Visit the IRS website for information on how waivers may be taxed. Generally, eligible full-time employees are allowed a maximum of two tuition-free courses per semester or summer session, not to exceed a total of eight credit hours. Eligible part-time employees are allowed a maximum of one tuition-free course per semester or summer session, not to exceed a total of four credit hours.

**Dependent Tuition Benefit** - The spouse, domestic partner, or dependent children of eligible full-time employees are eligible for a 50% tuition waiver provided the spouse, domestic partner, or dependent children are attending the University of Maine System as a full-time or part-time matriculated student. The spouse, domestic partner, or dependent children of eligible part-time employees are eligible for a 25% tuition waiver provided the spouse, domestic partner, or dependent children are attending the University of Maine System as a full-time or part-time matriculated student.



**University of Maine System  
Management Group Appointments/Changes  
Board of Trustees Meeting March 2021**

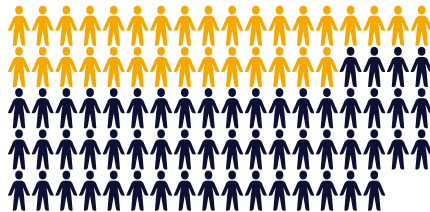
Campus	Name	Position Title	Effective Date	Prior Salary	New Salary	Previous Position Title	Notes
SWS	Jeffrey St. John	Associate Vice Chancellor for Accreditation and Strategic Initiatives	1/4/2021	\$174,662	\$184,900	Senior Associate Provost for Academic Affairs (UM)	New Appointment
USM	Jeanne Paquette	Vice President for Corporate Engagement and Auxiliary Services	1/1/2021	\$120,710	\$148,500	Vice President for Corporate Engagement and Auxiliary Services	Additional Duties

# Public Health at a Glance

## March 2021



### 88 Current Students

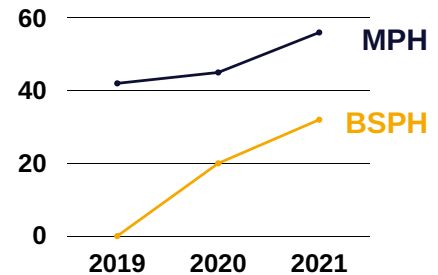


32 BSPH

56 MPH

24% INCREASE IN  
MPH ENROLLMENT  
SINCE LAST YEAR

### Enrollment by Academic Year



### MPH GRADUATE EMPLOYMENT

- Health Insurance Specialist, Centers for Medicare & Medicaid Services
- Senior Biostatistician, IDEXX
- Tobacco Prevention Coordinator, MaineHealth
- Maternal Opioid Program Manager, ME DHHS
- Emerging Infections Epidemiologist, Maine CDC
- Program Manager, Maine Shared Community Health Needs Assessment
- SNAP Ed Obesity Prevention Coordinator, UNE
- Program Manager, Consumers for Affordable Health Care
- QI Supervisor, Maine Medical Partners
- Vice President, Clinic Network at UW Medicine
- Director, Center for Excellence in Digital Health
- Director of Clinical Informatics, Northern Light
- Director of Performance Improvement, MaineHealth Accountable Care Organization
- Director of Clinical Operations, Hospice of So ME

### EXAMPLE FIELD EXPERIENCE SITES

- Center for Outcomes Research and Evaluation, Maine Medical Center Research Institute
- Maine Center for Disease Control and Prevention
- Maine Mobile Health
- Planned Parenthood of Northern New England
- Full Plates, Full Potential
- Consumers for Affordable Health Care
- Maine Equal Justice
- Martin's Point Health Care
- Maine Medical Center
- Portland Health Department
- Greater Portland Council of Governments
- MCD Public Health

ENGAGED 25+  
COMMUNITY  
PARTNERS IN  
CLASSROOM &  
SERVICE LEARNING  
PROJECTS



# FACULTY RESEARCH

## CURRENT & RECENT FUNDERS INCLUDE:

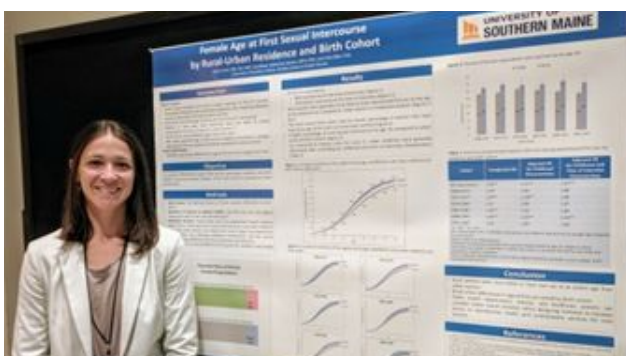
- National Institutes of Health
- Federal Office of Rural Health Policy
- National Institute of Justice
- Maine Centers for Disease Control & Prevention
- Office of MaineCare Services
- Maine Health Access Foundation
- Resources Legacy Fund
- Canadian Institutes of Health Research
- Robert Wood Johnson Foundation

**\$15 million**

*total grants since 2018*

**\$8 million**

*current active grants*



## STUDENT CONFERENCE PRESENTATIONS

- American Public Health Association
- National Rural Health Association
- Society for Epidemiologic Research
- Northeast Epidemiology Conference
- Maine Public Health Association
- Maine Annual Infectious Disease
- Maine Opioid Response Summit

## SELECT STUDENT-FACULTY PUBLICATIONS 2019-2021

- Bauer EC, Carwile JL, Ahrens KA. Trends in diagnoses of neonatal abstinence syndrome at newborn hospitalization in Maine 2009-2018, *Journal of the Maine Medical Center*: Vol. 3: Iss. 1.
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# Public Health at USM

## University of Maine Board of Trustees

Erika Ziller, PhD

Brenda Joly, PhD

March 22, 2021



# Public Health Degree Programs

- Master of Public Health (2013)
- Bachelor of Science in Public Health (2019)
- Graduate Certificates
  - Health Care Quality & Patient Safety
  - Public Health
- Dual MPH/JD
- MBA concentration in Healthcare Systems



# Public Health Faculty



- 3 tenure-track faculty
  - Joly, Greenfield & Ziller
- 5 research faculty (soft money)
  - Maine CDC: Huston, Lichter & Paulu
  - Health Services Research: Ahrens & Jonk
- Practice faculty (Tupper) & part-time faculty

# Experiential Learning

- Field Experience: 120 hour externship
- Course-based projects
- Research assistantships
- Capstone project
  - Policy analysis
  - Program evaluation
  - Strategic plan
  - Training plan
  - Training modules



- Quality improvement project
- Program guide/toolkit
- Research project



# Course: Health Policy

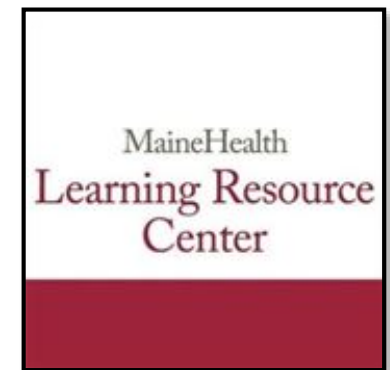


Students participate in mock legislative hearing and deliver testimony to Maine lawmakers



# Course: Applied Research & Evaluation

Students work in teams to develop plans, strategies and tools for non-profit partners to evaluate their programs



# Faculty & Student Research



**\$8.2 million**

Active **Externally Funded Projects**



## Research-Funded Graduate Assistants: 2018-20



**33 Students  
Funded**



**\$212,000  
Stipends**



**\$58,000  
Tuition**



**12+ Student  
Articles**

# Northern New England Clinical & Translational Research Network

- \$20 million - National Institutes of Health
- Partners
  - Maine Medical Center
  - University of Vermont Medical School
  - University of Southern Maine
- Purpose



# Northern New England Clinical & Translational Research Network

## USM Leads Tracking and Evaluation Core



Brenda Joly, PhD, MPH  
(USM)



Carolyn Gray, MPH  
(USM)



Rachel Gallo, MPH  
(USM)



Kim Fox, MPA  
(USM)



Fleur Hopper, MSW, MPH  
(USM)



Lindsey Smith, PhD, MSW  
(USM)



Karen Pearson, MLIS, MA  
(USM)



Valerie Harder, PhD, MHS  
(UVM)



Susan Richardson, PhD  
(UVM)



Ethan Rogers  
(UVM)



Erin Fritz, MPH  
(UVM)



Lane Simsarian  
(USM Grad. Student)



Kat Knight  
(USM Grad. Student)



Mariah Pfeiffer  
(USM Grad. Student)

# Northern New England Clinical & Translational Research Network

- Efforts include:
  - Profiles
  - Evaluation Briefs
  - Success Stories
  - Data visualizations
    - Online chartbooks
    - Dashboards
    - Infographics





# Maine Rural Health Research Center



***\$3 million core  
funding (2020-24)***

**Funder: Federal Office of  
Rural Health Policy**



*Director: Erika Ziller, PhD*



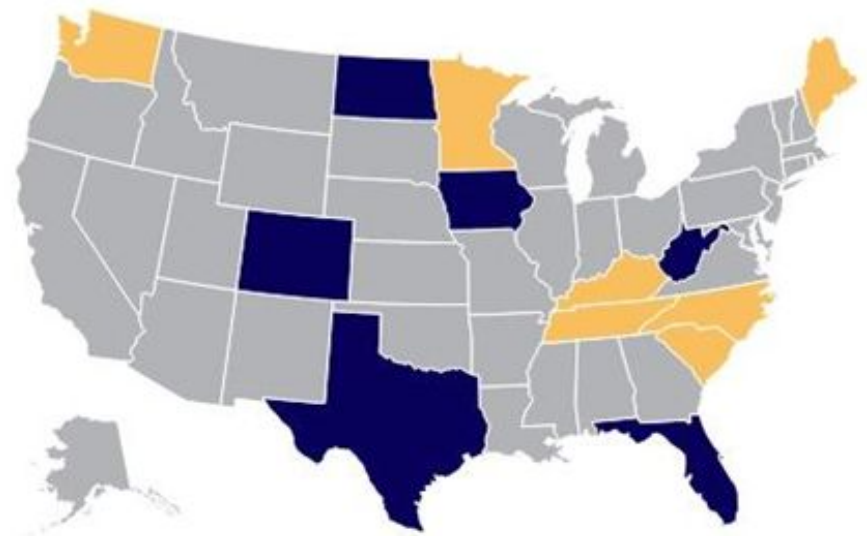
*Deputy Dir: Yvonne Jonk, PhD*

**MISSION:** To inform health care policy making & rural health services delivery through applied research, policy analysis, and technical assistance on rural health issues of regional and national significance.

# Federal RHRC Program

- Congressionally established in 1987 to sponsor rural health policy studies
- Seven core RHRCs competitively funded each 4-year cycle

## FORHP-Funded Centers



- Current Federal RHRCs
- Former Federal RHRCs



# MRHRC Research Focus & Impact

- Focus on *Health Care Access*:
  - Health insurance coverage & uninsured
  - Behavioral health and substance use
  - Aging services and supports
  - Rural health systems, especially hospitals and clinics
- Products include articles, policy briefs, commentaries, media, and webinars
  - Cited in federal/state reports, legislation, testimony



[mrhrc.org](http://mrhrc.org)

# Research & Education Partners

MaineHealth



CUTLER  
INSTITUTE  
MUSKIE SCHOOL OF PUBLIC SERVICE



MeHAF  
MAINE HEALTH ACCESS FOUNDATION



MaineGeneral Health



The University of Vermont

Northern Light  
Health



UNIVERSITY OF MINNESOTA

UNIVERSITY OF  
SOUTHERN MAINE

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UNIVERSITY OF SOUTHERN MAINE  
Muskie School of Public Service



**UMS Board of Trustees Presentation  
March 22, 2021**

*Gregory Fahy, Dean of Arts and Sciences*

*Deborah Meehan, Executive Director of UMA Centers*

*Randall Liberty, Commissioner of Maine Department of Corrections*

*Brandon Brown, UMA alum and current PhD student*

## WHY offer college in prison?

- Transformation:** Participants in college programs describe their experiences as transformational
- Equity:** College is a primary avenue toward upward mobility – 2/3's of those incarcerated in the US are people of color
- Employment:** Participants in education programs are more likely to be employed after their release. Most jobs now require a postsecondary credential
- Freedom:** Participants in college programs are 48% less likely to recidivate than those who do not enroll in prison

# UMA Programming Since 2006

## 140 Graduates

## Recidivism rate 5%



Second Chance Pell experimental site since 2016

**UMA** now in ALL MDOC adult facilities.

So. ME Women's ReEntry Center

Bolduc Correctional Facility

Maine Correctional Center

Mountain View Correctional Facility

Maine State Prison

Spring 2021 enrollment = 100

female and male students



## **2 Year Grant of \$950,000 awarded to UMA in December 2020**

- Creates 1 FTE Director of Prison Education
- Technology for MDOC students - *laptops and web conferencing*
- Development of new Humanities curriculum on issues of race and systemic inequalities, (DEI work in action)
- Strengthens the community of faculty who work with this population
- Creates justice involved student mentor/scholar positions

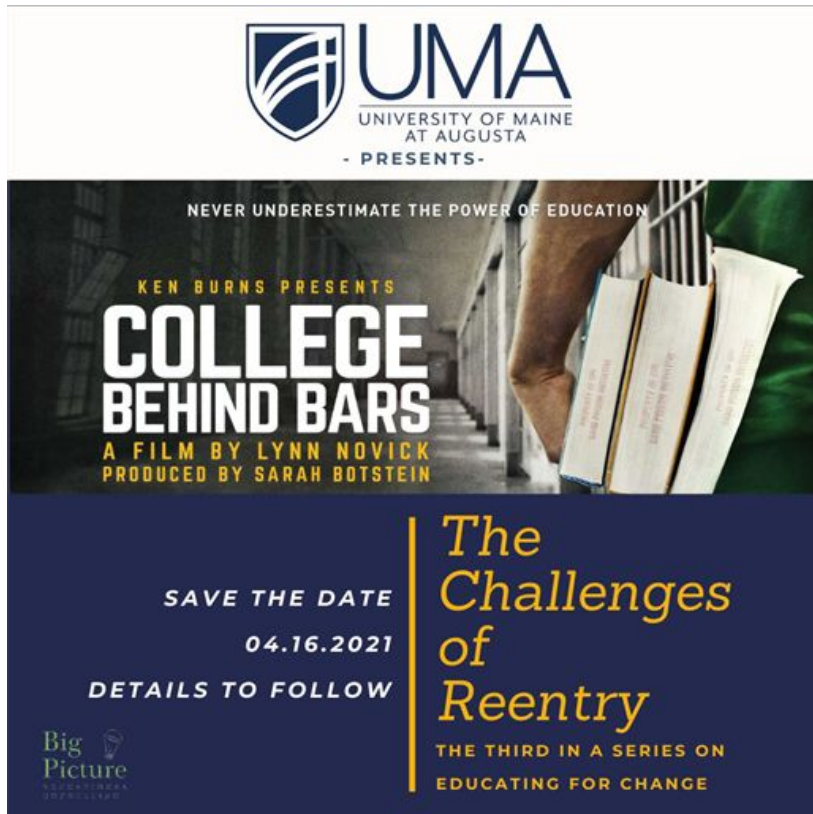


2019 - Sunshine Lady Foundation Grants  
**\$500,000**  
to UMA to create  
**The Doris Buffett Higher Education  
Center**  
at the Maine State Prison

**Ribbon cutting** was held March 12th, 2021.



## UMA's College Behind Bars



Coordinating w/ Ken Burns  
documentary film team

120 + participants at each session

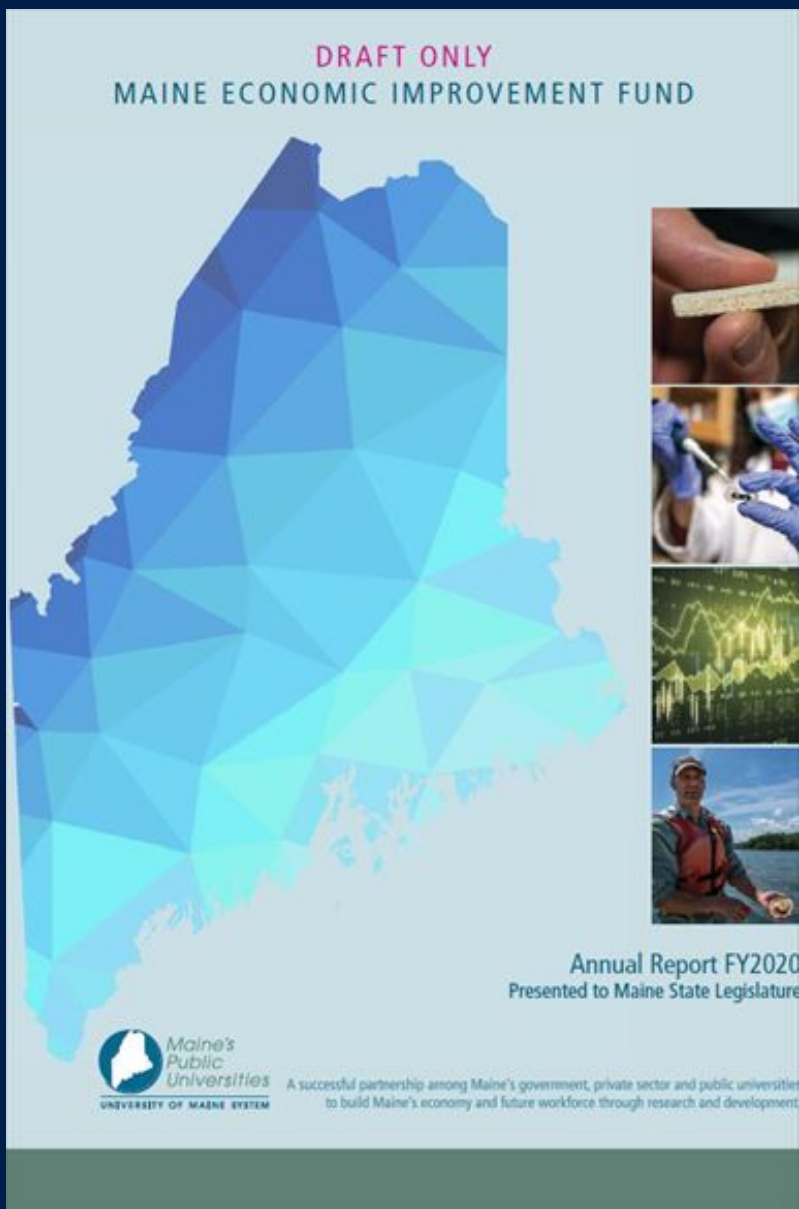
Featuring UMA faculty, + MDOC students

**One more to come! April 16**  
***"The Challenges of Reentry"***

***Today's Special Guests:***

Randall Liberty, Commissioner  
Maine Department of Corrections

Brandon Brown, UMA BA '2018  
PhD Student, Bolduc Correctional Facility



# Maine Economic Improvement Fund

FY 2020 Annual Report

March 3, 2021

President Joan Ferrini-Mundy

VP Jake Ward



The role of MEIF is to solve fundamental problems and discover new solutions and to provide researchers at Maine's public universities with the investment necessary to:

- Attain external grants and contracts to support R&D activity in Maine's seven sectors
- Attract and retain world-class researchers
- Provide support for modern laboratories and state-of-the-art equipment
- Create new products, patents, technologies, companies and exciting job opportunities in Maine
- Create and sustain economic development and innovation



# MEIF History

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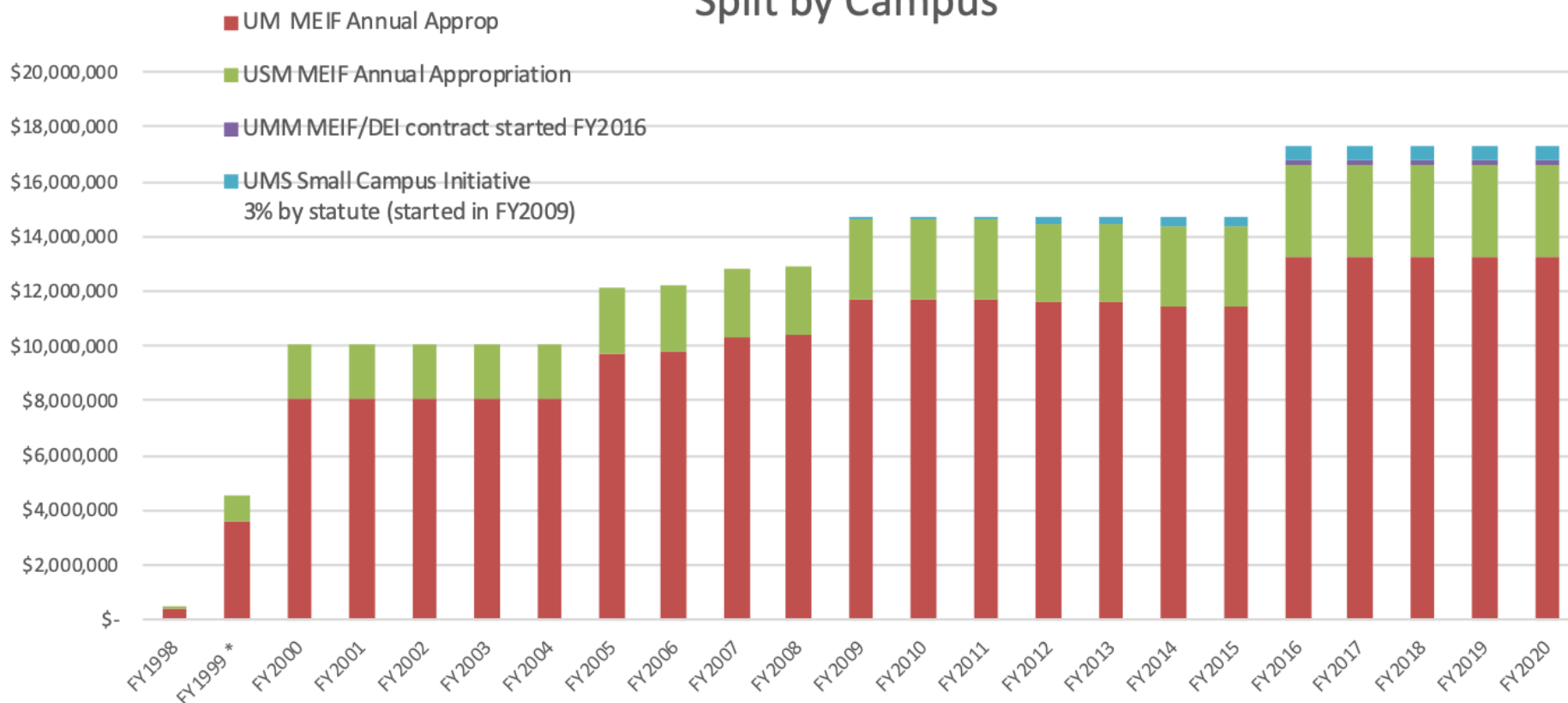
Established by the Maine Legislature in 1997, MEIF represents the ongoing commitment between the state, the private sector and our public universities, working together to advance research and economic development for the benefit of all Maine people.

Through MEIF, the University of Maine System (UMS) is at the center of statewide efforts to leverage economic development through targeted investment in university-based R&D. MEIF continues to be funded through an annual state appropriation to UMS.

By statute, MEIF dollars are directed to support university-based research, development and commercialization in the state's legislatively designated seven strategic technology areas.



## MEIF Annual Appropriation to UMS Split by Campus



Present appropriation to UMS is \$17.35M/year

- \$13,289,194 to UMaine
- \$3,290,306 to USM
- \$250,000 to UMM/DEI
- \$520,500 to Small Campus Initiative (UMA, UMF, UMM, UMFK, UMPI, plus Maine Maritime Academy)



## MEIF Seven Sectors – Broad and Inclusive

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1. Advanced Technologies for Forestry and Agriculture
2. Aquaculture and Marine Sciences
3. Biotechnology
4. Composites and Advanced Materials Technologies
5. Environmental Technologies
6. Information Technologies
7. Precision Manufacturing



## FY2020 MEIF Small Campus Initiative

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In 2009, the University of Maine System created the **Small Campus Initiative (SCI)** to provide Maine Economic Improvement Funds to the five smaller campuses of the University of Maine System and to Maine Maritime Academy.

By Statute, 3% of total MEIF Appropriation in each FY, \$520,500 in FY20, is allocated to support the Small Campus Initiative.

- UMS Annual SCI RFP – 5 UMS Campuses and Maine Maritime Academy
- UMaine's Office of Research Development (ORD –Jason Charland) assists the UMS Vice Chancellor of Finance and Administration with managing the SCI application and merit review process.
- UM's ORD provides direct assistance to grantees in their pursuit of follow-on funding from extramural sponsors.





# FY2020 MEIF Small Campus Initiative

In FY 2020, the following MEIF SCI projects were funded:

1. Jessica Muhlin, Associate Professor of Marine Biology, Chair Ocean Studies "Development of Unmanned Aerial System Survey Methods", \$130,000 MEIF SCI
2. Gina Oswald, Associate Professor of Rehabilitation Services, "ME-Made: Maine Makerspaces for Abilities Driving Entrepreneurship" \$300,000 MEIF SCI
3. Kennedy "Ned" F. Rubert-Nason, Assistant Professor of Chemistry, "Using Remotely-Sensed Hyperspectral Data to Predict Visible, Physiological and Phytochemical indicators of Forest Health" \$130,000 MEIF SCI





## University of Maine System Board of Trustees

# 2018 Declaration of Strategic Priorities

### Advancing Workforce Readiness and Economic Development

*Priority action item: Strengthen research and economic development efforts to support Maine industries, and to foster business formation and expansion.*

#### UMS Research and Development Plan FY20-FY24

Goal One - Make Maine the best state in the nation in which to live, work, and learn by 2030

Goal Two - Establish an innovation-driven Maine economy for the 21st century

Goal Three - Prepare the knowledge-and-innovation workforce for Maine





# How do we measure success?

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UMS MEIF Metric 1 – Grow Research Capacity and Activity

UMS MEIF Metric 2 – Support New Technologies, Licensing, and Commercialization

UMS MEIF Metric 3 – Grow Economic Development Partnerships

UMS MEIF Metric 4 – Support R&D Workforce Development



## FY2020 MEIF Highlights

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In FY2019, the state's **\$17.35 million** MEIF investment was leveraged at a rate of **5.3:1** by our UMS campuses for an additional **\$92+ million** in federal and private-sector grants and contracts in the seven sectors.

MEIF funds and leveraged external grants and contracts funded the work of **587 researchers** and technicians, and **1,221 graduate and undergraduate students**.

These grants and contracts provided millions of dollars to purchase major equipment to upgrade and outfit university laboratories.

Maine's public universities secured new patents, worked on development projects with large and small businesses and start-ups, and provided R&D support to **327\* companies and individuals**.

\*A decrease from FY19 reflecting 3.5 months of pandemic impact.



## MEIF Metric 1: Grow Grants and Contracts

UMS maintains a external/sponsored programs grant and contract effort growing greater than 3 percent annually. FY2013 baseline of \$45 million and FY2013 NSF-defined total research expenditures of \$45 million in the MEIF sectors.

- FY2019 MEIF results = \$ 76,571,798
- FY2020 MEIF results = \$ 92,426,194

***FY2020 annual growth in MEIF Leveraged Awards = 21%***

Goal: Activity from the seven MEIF sectors will account for 50% of the total R&D grants and contracts.

- FY2020 total new awards ALL sources/sectors = \$138,194,536
- **FY2020 Actual awards in MEIF sectors = \$ 92,426,194**

**67% if new FY2020 awards are in the MEIF Sectors**



# MEIF Metric 1: Seven Sector Grants and Contracts

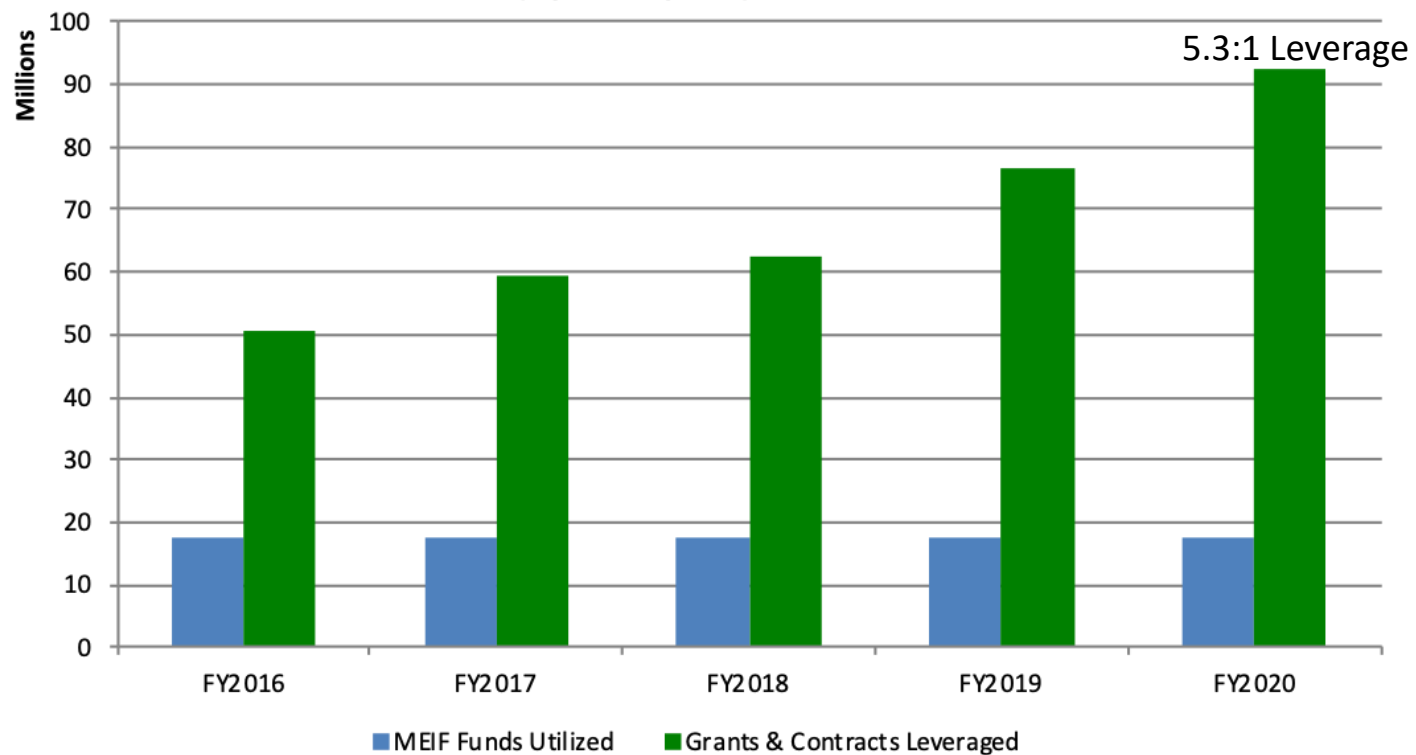
Grants and Contracts Awarded in MEIF Sectors ONLY	FY2016 MEIF Awards	FY2017 MEIF Awards	FY2018 MEIF Awards	FY2019 MEIF Awards
Aquaculture and Marine	12,631,690	21,229,069	16,032,068	8,084,961
Biotechnology	2,399,487	3,821,390	6,552,964	16,035,473
Composites	6,974,264	13,504,642	9,952,947	11,478,611
Cross Sector	507,842	4,274,394	3,034,812	21,301,337
Environmental Technologies	5,045,536	5,543,121	7,407,213	7,250,820
Forestry and Agriculture	10,317,799	4,660,014	10,685,631	9,598,475
Information Tech	11,497,199	5,292,726	5,582,266	951,594
Precision Manufacturing	1,009,921	1,602,646	3,099,123	1,870,527
	<b>\$50,383,738</b>	<b>\$59,334,874</b>	<b>\$62,347,023</b>	<b>\$76,571,798</b>

FY2020 Detail		
UM/UMM MEIF Awards	USM MEIF Awards	Total UMS MEIF Awards
8,566,617	132,144	8,698,761
14,412,593	199,313	14,611,906
31,070,913	22,738	31,093,652
2,040,950	742,480	2,783,430
6,918,715	548,272	7,466,987
17,528,845	95,721	17,624,566
5,842,585	1,226,528	7,069,113
3,077,779	0	3,077,779
<b>\$89,458,997</b>	<b>\$2,967,197</b>	<b>\$92,426,194</b>
<b>FY2019-FY2020 Increase</b>		<b>21%</b>



# MEIF Metric 1 - Leverage

**FY2016 -FY2020 MEIF Leverage(UMS)**  
Tens of Millions Leveraged in Grants & Contracts  
(5 year snapshot)





## MEIF Metric 2: Commercialization Activity

Goal: UMS annual revenue from commercialization including intellectual property licensing increases at least 20 percent annually on a three-year rolling average.

Table 2					
<b>MEIF Target 2 - Commercialization Activity</b>	<b>FY2016</b>	<b>FY2017</b>	<b>FY2018</b>	<b>FY2019</b>	<b>FY2020</b>
<b>Revenue from Commercialization</b>	\$204,709	\$329,840	\$914,120	\$289,088	\$519,019
<b>Rolling three year average</b>	\$276,063	\$298,091	\$482,890	\$511,016	\$574,076
<b>Number of Patents Filed (US/PCT)</b>	19	18	20	17	16
<b>Number of Patents Issued (US)</b>	5	8	6	6	11
<b>Number of License Agreements and License Options</b>	8	7	9	11	8
<b>FY2019-FY2020 change in 3 year average revenue</b>					<b>11%</b>





## Selected Patents Issued in FY2020



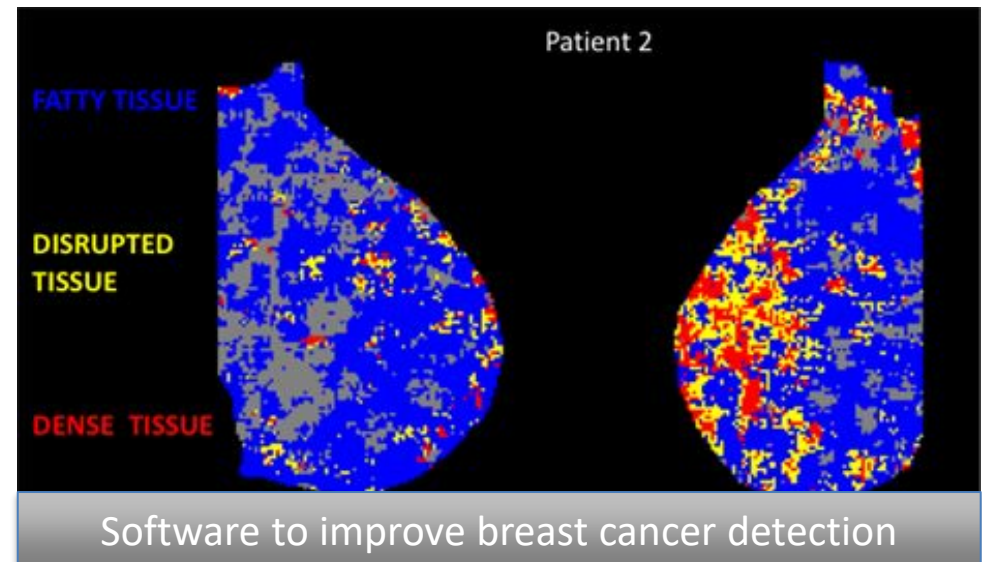
Offshore Wind - 25 related patents in FY2020



Construction products bound with cellulose nanofibrils



Afari adaptive mobility device



Software to improve breast cancer detection



## Update – Commercialization of Offshore Wind

### New England Aqua Ventus, LLC – Developer Partner

- Announced Aug 2020 - Joint Venture between Diamond Offshore Wind & RWE Renewables
- NEAV, LLC will invest \$100 million into the single turbine demonstration project at Monhegan
- 2023 target for operations – still pending permitting
- Royalty free license for 1 turbine – proof of technology viability

### Future Projects

- NEAV, LLC royalty generating exclusive license in the Gulf of Maine
  - 2020 Governor announced research array, with NEAV, LLC and UMaine VoltturnUs Technology
  - 10-12 turbines – planning just started – could be 2025-2027
- NEAV, LLC royalty generating – non-exclusive license world wide
  - Floating Offshore Wind is focus of many emerging projects West coast/California and world wide
  - RWE is evaluating floating technologies for world-wide projects
  - Goal is to market UMAINE technology to other developers
- Monhegan project is a proof of concept and a critical step to show full-scale techno-economic feasibility



## MEIF Metric 3: Business & Industry Contracts

The UMS annual revenue from activities with business and industrial partners in the MEIF sectors increased from an FY19 \$7.2 million to \$10.8 million by FY20, - the increase was largely due to several large projects from defense contractors earlier in the fiscal year.

The number of business and industry contracts in the MEIF sectors decreased from 530 in FY19 to 327 in FY20. This decrease can be attributed to the pandemic and Ums labs and private business closures from March through June 2020.

Table 3

### MEIF TARGET 3 —

#### Business and Industry Contracts

	FY2016	FY2017	FY2018	FY2019	FY2020
Revenue from Business and Industrial Contracts	\$4,836,138	\$5,035,394	\$6,339,260	\$7,211,422	\$10,876,661
Number of Business and Industrial Contracts	519	565	528	530	327

FY2019–FY2020 Change in Revenue 50.83%



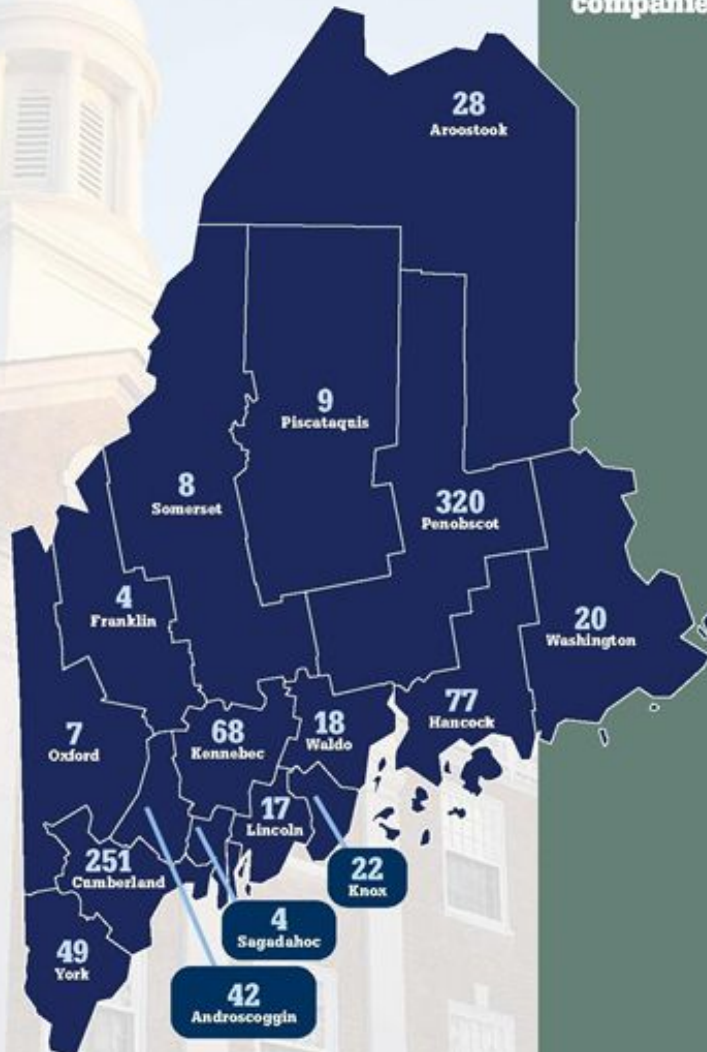
Office of Innovation and Economic Development

Figure 2  
Innovation projects  
with Maine companies  
FY2016–FY2020

Every day, the University of Maine strives to turn research and development activities into new opportunities that will create jobs and grow Maine's economy.

In the past five years, UMaine has supported 944 innovation projects, providing access to facilities and expertise to help organizations with research, new products and business development.

**944**  
**Innovation**  
**projects**  
**with Maine**  
**companies**





## MEIF Metric 4: R&D Workforce Development

UMS shall maintain a concerted effort to involve faculty, staff and students participating in research, development and commercialization, and shall report annually the number of employees directly supported by MEIF funds and by grants and contracts in the MEIF sectors.

As external funding is hard to predict, there is no specific numerical goal for employee count, but UMS shall report the annual number of faculty, staff and students to indicate trends and identify opportunities for growth

Grant and contract revenue is also an important source of funding for students' salary, tuition and other types of support, allowing many research-active students to offset their cost of education while getting valuable skills and on-the-job experience, positioning them well to be leading contributors to Maine's key growth sectors.



# MEIF Metric 4: R&D Workforce Development

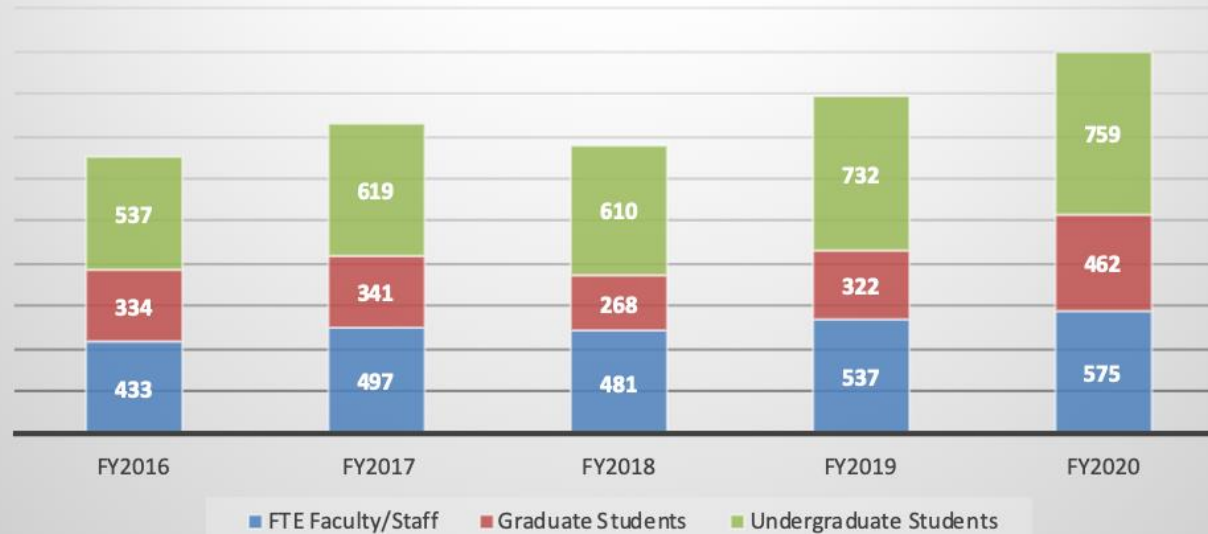
Table 4- A FY2020			
MEIF Target 4 – Workforce Development	Wages paid from MEIF	Wages paid from Grant/Contract	Totals
Number of faculty staff supported (FTE = Full Time Equivalent)	<b>156.00</b>	<b>418.95</b>	<b>574.95</b>
Number of Graduate students supported (headcount)	<b>17.00</b>	<b>445.00</b>	<b>462.00</b>
Number of Undergraduate students supported (headcount)	<b>91.00</b>	<b>668.00</b>	<b>759.00</b>

Table 4-B					
	<b>FY2016</b>	<b>FY2017</b>	<b>FY2018</b>	<b>FY2019</b>	<b>FY2020</b>
Student costs from grants and contracts					
Student salaries and wages from grants and contracts	<b>\$5,255,861</b>	<b>\$4,957,536</b>	<b>\$4,853,956</b>	<b>\$6,361,381</b>	<b>\$6,869,073</b>
Student tuition paid by grants and contracts	<b>956,963</b>	<b>870,787</b>	<b>795,339</b>	<b>916,618</b>	<b>\$1,384,425</b>
Student fellowships paid by grants and contracts	<b>197,744</b>	<b>233,111</b>	<b>373,118</b>	<b>457,884</b>	<b>\$422,111</b>
Student health insurance paid by grants and contracts	<b>247,960</b>	<b>203,406</b>	<b>214,000</b>	<b>298,386</b>	<b>\$296,807</b>
Total soft money student support	<b>\$6,658,528</b>	<b>\$6,264,840</b>	<b>\$6,236,413</b>	<b>\$8,034,269</b>	<b>\$8,972,417</b>
		<b>FY2019 - FY2020 Change</b>			<b>12%</b>





### MEIF Sector Workforce Funded by MEIF and Revenue



	FY2016	FY2017	FY2018	FY2019	FY2020
FTE Faculty/Staff	433	497	481	537	575
Graduate Students	334	341	268	322	462
Undergraduate Students	537	619	610	732	759



# MEIF Moving Forward

Refining and Aligning the Goals for MEIF with both near term and long term objectives.

**MEIF builds UMS's talent, innovation and infrastructure giving UMS the capacity to serve Maine's companies, communities, and students.**

**MEIF multiplies resources through external funding.**

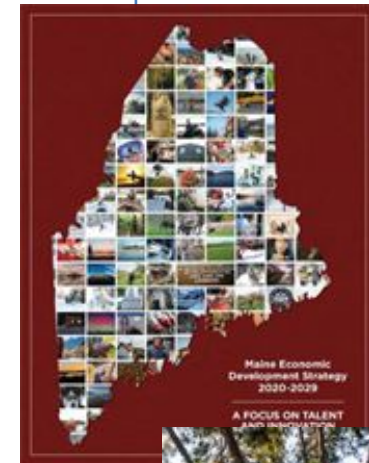
## **MEIF FY2021 Objectives**

- **Objective 1: Attract top talent and new financial resources to the state of Maine to increase the state's R&D capacity**
- **Objective 2: Address the current and future workforce needs of the state to benefit the people and businesses of Maine**
- **Objective 3: Elevate R&D activities within the UMS to benefit Maine's economy.**





UNIVERSITY OF MAINE SYSTEM  
**TRANSFORMS**  
*Maine's Public Universities*





## MEIF Moving Forward

MEIF supports research that matters to Maine.

- Increasing focus on rapid response to solve Maine challenges and drive immediate opportunities as part of pandemic recovery
- Using UMaine's talent, innovation and infrastructure assets as the springboard for recovery and growth
- Fostering innovation in Maine's heritage industries and developing new markets and new products for key Maine economic sectors
- Building strategic partnerships with business, industry and government to support State economic priorities