

University of Maine System – Board of Trustees Meeting
May 24, 2021
Zoom Meeting

REVISED
5/21/2021

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/>

Monday, May 24, 2021

Call to Order @ 8:00 am

The Board of Trustees will go directly into Executive Session

Executive Session from 8:05 am to 10:30 am

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 @ 11:00 am

Citizen Comment (5 minutes)

Individuals who wish to speak during Citizen Comment, please contact the Board Office at ums.trustees@maine.edu with your name and topic by 5:00 pm on Friday, May 21. To participate in Citizen Comment during the meeting dial – 1-800-605-5167 code 743544#

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

Chair's Report (10 minutes)

Tab 5 - Election of Board Officers

Chancellor's Report (15 minutes)

Vice Chancellor for Academic Affairs' Report (60 minutes)

Tab 1 - Academic Affairs Update

Vice Chancellor for Research and Innovation Report (15 minutes)

Tab 2 - Vice Chancellor for Research and Innovation Update

Lunch Break (30 minutes) (Timing of the lunch break will be at the discretion of the Chair.)

Vice Chancellor for Finance and Administration & Treasurer's Report (45 minutes)

Tab 3 - Finance & Administration Update

Action Items (2 hours)

Tab 4 - Reappointment of the Chancellor

~~**Tab 6 - FY2022 Proposed Unified Operating Budget and Student Charges - Second Reading - Withdrawn**~~

- Tab 7 - Tenure at Time of Hire, Professor of Electrical and Computer Engineering, UM
- Tab 8 - Wieden Hall Renovation, UMPI
- Tab 9 - Randall Student Center Renovation, UMA
- Tab 10 - Repaving MaineStreet Initiative
- Tab 11 - ASCC Building Addition, UM: Green Engineering & Materials (GEM) “Factory of the Future”
- Tab 12 - Lease Request, UMS for the University of Maine School of Law
- Tab 13 - Building Name Recommendation - Beryl Warner Williams Hall, UM
- Tab 14 - Exception to Board of Trustee Policy 304 *Transfer of Academic Credit*

Consent Agenda (5 minutes)

- Tab 15 - Acceptance of Minutes

May 5, 2021 Finance, Facilities & Technology Committee

- Tab 16 - Steam and Condensate Line Replacement, USM

May 3, 2021 Academic & Student Affairs Committee

- Tab 17 - New Academic Program Proposal: BS in Business Administration in Sport Management, UM
- Tab 18 - New Academic Program Proposal: MS in Data Science, USM
- Tab 19 - UMFK Academic Restructuring
- Tab 20 - UMPI Academic Restructuring

Discussion Topics:

- Tab 21 - UMS Environmental, Social & Governance (ESG) Investment Approach (15 minutes)
- Tab 22 - Unified Accreditation Update (30 minutes)
- Tab 23 - Proposed Changes to Board of Trustee Policy 501 *Student Conduct Code* (20 minutes)

Date of the Next Meeting: July 26, 2021

Attachments:

Managed Investment Pool Flash Report
Pension Fund Flash Report
Operating Fund Flash Report
5-year Capital Plan
FY2021 Budget Forecast
GEM Agenda Item Summary Sheet – FFT Committee January 6, 2021
UM Tenure at Time of Hire Background Information (*Confidential*)
Board Policy 310 - *Tenure*
UM Program Proposal: Bachelor of Science in Business in Sport Management
USM Program Proposal: Masters of Science in Data Science
Board Policy 304 – Transfer of Academic Credit
Proposed Changes to Board Policy 501 – Student Conduct Code (Redlined)
Proposed Changes to Board Policy 501 – Student Conduct Code (Clean)
Current Board Policy 501 – Student Conduct Code
UMFK Restructuring Proposal
UMPI Restructuring Proposal

Reports:

[UMS Interactive Dashboard](#)
Agenda Calendar
Capital & Bond Project Report Executive Summary
Capital Project Status Report
Capital Project Status Report – Bond Report

Workforce Profile
Turnover Report

Presentations:

Faculty Spotlight Presentation: Holocaust Ghettos Project
Programs for Examination: UM
Programs for Examination: UMM
Enhancing Opportunities for Research, Development, and Innovation UMS-wide
UMS Repaving MaineStreet Project Proposal
Building Name Recommendation - Beryl Warner Williams Hall
Green Engineering & Materials (GEM) “Factory of the Future”
Student Conduct Code – May 24, 2021
ESG Investment Approach

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: Academic Affairs Update

INITIATED BY: Dannel Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

UNIFIED ACCREDITATION CONNECTION:
N/A

BACKGROUND:

The Academic Affairs update at the May 2021 Board of Trustees meeting has the following items.

1. **Faculty Spotlight:** Dr. Anne Knowles, an historical geographer and co-founder of the Holocaust Geographies Collaborative at the University of Maine will present her research with an animation demonstration.
2. **PFE:** The iterative PFE process is intended to maintain quality and inspire continuous improvement of the portfolio of UMS academic programs while accurately and fairly identifying programs in need of deeper examination. Toward that end, there will be additional metrics and methods adopted for the PFE to improve its usefulness as a mechanism for analyzing program performance and quality. The University of Maine and the University of Maine at Machias will present their programs.

Attachments:

[Faculty Spotlight Presentation: Holocaust Ghettos Project](#)

[Programs for Examination: UM](#)

[Programs for Examination: UMM](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Vice Chancellor for Research and Innovation Update

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION:

Unified accreditation requires that the University of Maine System demonstrate that it has addressed all of the NECHE standards. One of these, standard 7, describes expectations for teaching, learning and scholarship:

The institution supports teaching and learning through a well-qualified faculty and academic staff, who, in structures and processes appropriate to the institution, collectively ensure the quality of instruction and support for student learning. Scholarship, research, and creative activities receive support appropriate to the institution's mission. The institution's faculty has primary responsibility for advancing the institution's academic purposes through teaching, learning, and scholarship.

System-wide focus on research and innovation can support achievement of this standard.

BACKGROUND:

Joan Ferrini-Mundy, recently appointed as UMS Vice Chancellor for Research and Innovation, will provide updates at the May 24, 2021 Board of Trustees meeting.

1. Establishing the role of VCRI
2. Themes and ideas from listening sessions
3. Coordination of initiatives
4. Expanding access to UMaine research infrastructure

Attachments:

[Enhancing Opportunities for Research, Development, and Innovation UMS-wide](#)
[Link to University of Maine System Research and Development Plan FY20 – FY24](#)

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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:

N/A

BACKGROUND:

The Vice Chancellor for Finance and Administration and Treasurer Ryan Low will provide three updates at the May 24, 2021 Board of Trustees meeting.

1. UMS Investment Update - Flash Reports
2. 5-year Capital Plan
3. FY2021 Budget Forecast

Attachments:

[Managed Investment Pool Flash Reports](#)
[Pension Fund Flash Reports](#)
[Operating Fund Flash Reports](#)
[5-year Capital Plan](#)
[FY2021 Budget Forecast](#)

Revised - 5/21/2021

University of Maine System
Board of Trustees

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AGENDA ITEM SUMMARY

NAME OF ITEM: Reappointment of the Chancellor

INITIATED BY: Trustee James R. Erwin, Chair

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

Section 203.1 Chancellor – Evaluation Process

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

Chancellor Malloy has a current term of appointment that will end June 30, 2022. In accordance with the University's practice of determining reappointment actions one year in advance of the expiration of the term for Chancellor and Presidents, the Board of Trustees will consider the term of reappointment for Chancellor Malloy.

TEXT OF PROPOSED RESOLUTION:

A resolution will be presented at the meeting.

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Election of Board Officers

INITIATED BY: Trustee Lisa Eames, Chair, Trustee Nominating Committee

BOARD INFORMATION: **BOARD ACTION:** X

BOARD POLICY: Bylaws – Article II, Section 2.1

UNIFIED ACCREDITATION CONNECTION:
N/A

BACKGROUND:

The Board Chair appointed the following Trustees to the Trustee Nominating Committee:
Lisa Eames, Chair; David MacMahon, Emily Cain and Mike Michaud.

The Committee will propose a slate of officers at the annual meeting on May 24, 2021.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the Board of Trustees slate of officers for 2021-2022,
as presented.

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: FY2022 Proposed Operating Budget and Student Charges – Second Reading, UMS

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

Policy 701 – Capital Budgets

UNIFIED ACCREDITATION CONNECTION:

BACKGROUND:

Vice Chancellor Low, will present the FY2022 Proposed Operating & Capital Budget and Student Charges for the University of Maine System.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 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 FY2022 Proposed Operating & Capital Budget, Recommended Student Charges, and proposed transfers from Institutional Reserves including Budget Stabilization Funds.

Presentation:

FY2022 Proposed Operating Budget and Student Charges

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Tenure at Time of Hire, Professor of Electrical and Computer Engineering, UM

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

Board Policy 310: Tenure

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

The University of Maine has requested that Dr. Vijay Devabhaktuni be awarded tenure at the rank of full Professor, effective June 7, 2021 in accordance with Board of Trustee Policy 310. This coincides with his appointment as professor of electrical and computer engineering and chair of the Department of Electrical and Computer Engineering. Dr. Devabhaktuni was selected after an extensive international search and rigorous evaluation process. He holds a Ph.D. in electrical engineering from Carleton University, Ottawa, Canada. This recommendation has the full support of the Department of Electrical and Computer Engineering peer committee.

The Academic & Student Affairs Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the May 24, 2021 Board meeting.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Academic & Student Affairs Committee, and approves tenure at the rank of Professor to Dr. Vijay Devabhaktuni to be effective June 7, 2021.

Attachment:

[UM Tenure at Time of Hire Background Information](#) (*Confidential*)

[Board Policy 310 - Tenure](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Wieden Hall Renovation, UMPI

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

Meet the needs of our student athletic program and support and build enrollment in relevant Health-Related academic programs.

BACKGROUND:

The University of Maine System, acting through the University of Maine at Presque Isle (UMPI), requests authorization to expend up to \$3,757,000 for renovations needed to Wieden Hall. This renovation is to be funded by the 2018 Facilities and Infrastructure Improvement Bonds.

This request is pursuant to Board of Trustees Policy 701 which requires projects with a total cost of more than \$500,000 to be considered by the Board of Trustees or its Finance, Facilities and Technology Committee. In this case the committee's recommendation is being forwarded to the full Board for approval at the May 24, 2021 Board meeting.

Dedicated in 1960 as a multipurpose building, Wieden Hall now serves as the home of the Owls' men's and women's basketball teams and women's volleyball. Wieden also houses an indoor batting cage for the baseball team, a state-of-the-art athletic training facility, and classrooms for the athletic training, physical education, and new physical therapy programs. Currently Wieden Hall supports the academic programs of Exercise Science, Physical Education (for those training to work with K-12 students), Physical Therapist Assistant program, Business Administration with a Recreational Concentration and a Bachelor of Science in Health Administration. Wieden Hall is 61 years old with a 2020 net asset value (per Gordian) of 36%. The building requires significant structural, mechanical and electrical upgrades for it to continue as the heart of our athletic programs and in direct support of our relevant academic programs.

The scope of the Wieden Hall renovation project includes an electrical service upgrade and replacement of the exterior pad-mount transformer in phase one. Phase two of the project will include structural upgrades to the gymnasium and installation of a new roof to meet current building code requirements for snow, wind, and seismic loads. Heating and ventilation systems will be upgraded with improved controls along with life safety upgrades and a new gymnasium floor. Items being considered as scope alternates include gymnasium equipment, new bleachers, and air conditioning.

Beyond the scope listed above, additional work is needed to improve the facility. The full renovation costs will exceed the amount available to the University of Maine at Presque Isle

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from the 2018 Facilities and Infrastructure Improvement Bonds. The University of Maine at Presque Isle acknowledges its obligation to solicit the additional funds for completion of this project and additional authorizations will be requested as those funds are identified and as necessary.

The project is expected to improve the building's net asset value and will not change the building square footage. Operating costs for the building are not expected to increase as a result of this project.

The first phase of the work, Electrical Service upgrade, will begin this summer and be complete this fall. Design for phase two will take place during the summer/fall of 2021 with construction starting in the spring of 2022 and completion in early 2023. The building is expected to be at least partially occupied during most of the construction.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 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 authorizes the University of Maine System acting through the University of Maine at Presque Isle to expend up to \$3,757,000 from 2018 bond funds to begin the renovation of Wieden Hall.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Randall Student Center Renovation, UMA

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

Increase enrollment and improve student success and completion.

BACKGROUND:

The University of Maine System acting through the University of Maine at Augusta (UMA) requests authorization to spend up to \$2,150,000 for a renovation of the Richard J. Randall Student Center to create improved spaces to serve University students.

In January 2020, the Board of Trustees approved an addition to and renovation of the Randall Student Center with a budget of \$6,850,000. As the pandemic unfolded, UMA placed the project on hold and worked with the designer, Harriman Associates, to explore a renovation-only approach enabled by moving the bookstore operation online and converting the space to a much needed student lounge. The current proposed project is in lieu of the project proposed in 2020 and will be funded through the 2018 voter approved general obligation bond. Institutional funds will not be required.

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's recommendation is being forwarded to the full board for consideration at the May 24, 2021 Board meeting.

The renovations create a "hub" for student spaces and services, including improved spaces for Admissions, Advising, Registrar and Student Financial Aid. Additionally, these newly renovated spaces are co-located with the Moose Tracks Café and Spirit Store, and newly renovated Student Lounge and offices for Student Life and the Augusta Student Government Association.

Bids will be obtained shortly after Board of Trustees approval, and construction will begin immediately pending a successful bid. The project is anticipated to be complete by December. As necessary, partial occupancy may occur in time for the Fall 2021 semester. Operating costs will not be impacted by the renovation.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 2021 Board of Trustees meeting, for approval of the following resolution:

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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 at Augusta to expend up to \$2,150,000 in funds from the 2018 general obligation bond to renovate the Richard J. Randall Student Center. This project replaces the Randall Student Center Renovation & Addition project authorized in January of 2020.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Repaving MaineStreet Initiative

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY: 701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

Re-engineer and re-implement the UMS MaineStreet ERP platform to expand access to academic programming across the University, improve student self-service options, streamline business processes and improve operational efficiency. This work will also enable UMS to fulfill goals and objectives of the Unified Accreditation initiative.

BACKGROUND:

a. Executive summary of the request:

Approval is sought to initiate the ‘Repaving MaineStreet’ Initiative based on the final ERP assessment report completed during the Spring 2021 term. The ERP assessment report articulates the key opportunities, recommendations, timelines and projected costs for achieving a transformational overhaul of the current UMS Peoplesoft ERP solution (MaineStreet) to achieve significant operational efficiencies, improve business processes, improve self-service options and expand educational opportunities. This work will enable UMS to fulfill the goals and objectives of the Unified Accreditation Initiative. The proposal outlines a 5-year project timeline with a projected cost of up to \$16.8 million. The University of Maine System seeks approval to commit \$7.8 million to fund the first two years of the project with the intent to pursue external funding opportunities to cover the remainder of project costs.

b. Funding Sources:

Budget requirements for the first two years of the 5-year project is estimated at \$7.8 million. Funding to cover this amount is to come from the following sources:

- Temporary Investment Income - \$6.81 million
- Revenue Bond Interest - \$0.54 million
- Capital Project Contingency Fund Balances - \$0.35 million
- FY21 US:IT Attrition and Operational Savings - \$0.1 million

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 expend up to \$7.8 million to support the first two years of the 5-year ‘Repaving MaineStreet’ ERP reimplementation initiative with the remaining funding to be derived from a variety of sources, including external funding agencies.

Presentation:

[UMS Repaving MaineStreet Project Proposal](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: ASCC Building Addition, UM;
Green Engineering and Materials (GEM) “Factory of the Future”

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY: 701 – Budgets-Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

Continued strategic and opportunity-driven growth in research at the University of Maine in the areas of 3-D printing technologies and with integration of AI opens enormous possibilities for educating engineering and computing students across the University of Maine System. Through the partnership that is developing with the University of Maine and the University of Southern Maine engineering and computing faculty as a result of the Harold Alfond Foundation UMS TRANSFORMS initiative, a vision for the Maine College of Engineering, Computing, and Information Science is underway. Educational and research learning opportunities in frontier areas of engineering and computing will be available to students across the System through GEM, thereby using some of the key affordances of unified accreditation to share opportunities across campuses.

BACKGROUND:

a. Executive summary of the request:

The University of Maine System acting through the University of Maine requests authorization to invest up to \$1,500,000 for preliminary design of the Green Engineering and Materials Factory of the Future, a proposed addition to the Advanced Structures and Composites Center at the University of Maine. Funding for the initial \$1.5 million would be by University of Maine reserves or other funding sources identified and approved by the University of Maine System Treasurer and with the goal of reimbursement by future federal funding awards.

This request is pursuant to Board Policy 701 – Budgets, Operating and Capital, 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 is making a recommendation to forward this for full Board consideration.

At the January, 2021 Committee meeting this project was presented by a team, led by Dr. Habib Dagher, as an information item in support of the three step approval process implemented by the Board as of January, 2020. The prior agenda item is attached for convenience and context. On March 22nd, Dr. Habib Dagher of the Advanced Structures and Composites Center provided the full Board with an update on the facility, including a video fly-through focusing on core capabilities and impact to economic development in the State of Maine.

Because even the preliminary expenses of a project of this scope exceed the \$500,000 threshold for Trustee consideration, the matter is now before Trustees for consideration of those preliminary expenses. This current agenda is the first action item in connection with the GEM project and is not a final approval.

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b. Overall requested budget and funding source:

The project is estimated to cost \$71 million based on a year-long preliminary independent architectural/engineering study. General industry standards and the University’s own experience suggest a possible cost of \$50-90 million based on the size and nature of the facility and how much fitting-out of the facility’s technology and occupancy needs is included in the core budget, but a more precise cost cannot be estimated at this time with a high degree certainty. Rather, the present request for approval of preliminary design expenses is in part targeted at providing better such data, design services and cost estimates to inform future decision making.

Notably, the timing of the request also is budget related, as the University has become aware of potential substantial federal funding being available from the U.S. Department of Defense within the next 14-18 months if the University can be prepared to make timely application for it. While that federal funding is unlikely to be sufficient for the entirety of the project, in general the current expectation of project leaders is the federal funding could perhaps be enough to cover half the cost or even more. If the federal funding was insufficient, the University would need to identify further funding sources.

Importantly, this present request is only for the preliminary \$1.5 million in design funding. Further expenditures would require further Trustee consideration and approval before they could proceed. The University and the project leaders are committed to seeking timely such consideration when warranted.

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

Funding Leveraged: The Advanced Structures and Composites Center (ASCC) has seen a 6x growth in funded research in the last 5 years and GEM will enable us to secure and execute on over \$100 million in total R&D contracts and industry funding over the next 5 years. The proposed \$2-trillion American Jobs Plan with an emphasis on those sectors developed in the GEM Facility – including additive manufacturing, artificial intelligence and technologies to address climate change – enable GEM to serve as a key leverage point for federal research and workforce development funding in the coming years.

Metric: *Attract \$35 million in federal funding for the establishment of the GEM facility in the next two years, as well as \$36 million in state/private funding to complete construction. In addition, attract \$100 million in external R&D funding in the next 5 years.*

Education Programs and Student Success: The educational opportunities created by Green Engineering and Materials Lab (GEM) align with the UMS Transforms, particularly the Maine College of Engineering, Computing and Information Science (MCECIS). The GEM Additive Manufacturing work connecting High-Performance Computing (HPC) and AI has already been awarded over \$30 million (with another \$20 million in process) from the US DOE, Oak Ridge National Labs, the US Army Corps of Engineers and industry. GEM includes 12,000 ft² of additional classroom space, including 75 dedicated desks for student researchers. GEM will build a global reputation for UMaine by offering experiences like no other academic institution – serving as the flagship enrollment driver for MCECIS through learning opportunities in additive manufacturing, high-performance computing, artificial intelligence and other future-proof industries.

Metric: *Support and help enable the goal of doubling the number of UMaine Engineering and Computing graduates within the next 10 years*

d. Explanation of the scope and substance of the project:

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The Green Engineering and Materials Laboratory (GEM) is a timely national asset that will house the Factory of the Future to design, manufacture and test new products constructed from wood-derived nanocellulose and other advanced materials, collaborate with industry, and train the next generation manufacturing workforce including undergraduates, graduate students and working professionals.

The Factory of the Future consists of highly instrumented arrays of AI-enabled 3D printers, high-performance computers, continuous fiber deposition heads, and machining systems and will enable research and development of novel bio-based feedstock materials as well as next generation digital manufacturing processes. This facility represents a fulfillment of shared vision for Maine and the University of Maine, as expressed in the UMS Board of Trustees Declaration of Strategic Priorities, Maine's Economic Recovery Committee Recommendations, Maine 10-year Economic Strategy, Harold Alfond UMS Transforms strategy aimed at re-imagining the future of Maine through innovation-led economic development.

The educational and workforce training opportunities created by Green Engineering and Materials Lab (GEM) enables the UMS Transforms, particularly the Maine College of Engineering, Computing and Information Science (MCECIS). GEM provides students across UMS with an opportunity to personalize their education in almost limitless ways. The GEM research experience runs in parallel with the students' academic programs, and leads to specific credentials that they can earn. These credentials include GEM badges earned after completing 100 hours of research work and meeting specific learning objectives, as well as GEM certificates earned once a student successfully accumulates four GEM badges. 100 hours of GEM research work that accomplish specific learning objectives are equivalent to the time a student puts into a typical 3-credit hour course. Students can customize their GEM experience based on their interests.

To put things in perspective, an undergraduate student who averages 20 hours per week of research work over a calendar year during their undergraduate career, has the equivalent of 2 years of full-time experience. GEM allows the student to earn credentials for this experience, and customize it to their needs and interests. For example, the requirements for the GEM-1 Computer Programming Badge includes two introductory courses offered by the School of Computing and Information Science, along with 100-hours of designated GEM lab work. Each lab experience includes a final proficiency test to count towards a practice badge. Each badge will include a combination of course requirements, immersive GEM lab experiences, or both for completion.

e. Changes, if any, in net square footage or ongoing operating costs resulting from the project:

The project, which currently has no identified partial or full off-set of space removal, is expected to increase footprint of the University by approximately 91,000 gross square feet. It is unknown at this time if the budget for the project will include the full life-cycle costs of the facility from construction through active use to removal or restoration. Annual operating cost of the facility (based on standard occupancy) are estimated to be over \$600,000 per year and would be paid for by indirect costs charged to federal awards in the approved Facilities and Administrative rate. As the building design is advanced, additional estimates will be made.

f. Budget for the project, total budgeted contingency and, if needed, further elaboration on funding source and selection:

The University of Maine is requesting to expend approximately \$1,500,000 to conduct the initial phases of design. The initial \$1.5 million would be funded by University of Maine reserves or other funding sources identified and approved by the University of Maine System Treasurer and with the goal of reimbursement by future federal funding awards. Following the completion of the initial design phases, the University will present findings to the Board of Trustees with an initial

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construction cost estimate prior to requesting approval to proceed with and expend resources on preparing additional design documents in preparation for bidding the project.

g. Alternatives that were considered:

The ASCC has exceeded current seating capacity according to a recent space audit. ASCC has been engaged actively with the UM Space Committee on identifying any potential locations for additional staff with very limited options available. Additional office space does not meet the need for the equipment and lab space which is required to execute the \$260 million in R&D projects mentioned above. An additional constraint is the need for controlled project work, as much of the current lab capacity is used in support of Department of Defense-funded projects. Currently the ASCC operates a hybrid model, which requires makeshift visual barriers when certain secure projects are underway. GEM will enable a portion of the ASCC lab space to be dedicated to these sensitive projects while the remaining lab space can be used for fundamental and open research.

h. Timeline for start, occupancy and completion:

The project design will begin upon approval of the initial \$1.5 million in expenditures being requested today. Assuming timely identification of funding sources and associated Trustee approval, it is estimated that design documents would be completed and the project ready to bid in late 2022 or early 2023. Assuming construction begins in the spring of 2023, occupancy would be anticipated in the fall of 2025. The schedule will be refined and confidence will increase as planning proceeds.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 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 authorizes the University of Maine System acting through the University of Maine expend up to \$1.5 million to proceed with design of a Green Engineering and Materials (GEM) “Factory of the Future,” with all final terms and conditions subject to review and approval of the University of Maine System Treasurer and General Counsel.

Attachment:

[GEM Agenda Item Summary Sheet – FFT Committee January 6, 2021](#)

Presentation:

[Green Engineering & Materials \(GEM\) “Factory of the Future”](#)



AGENDA ITEM SUMMARY

NAME OF ITEM: Lease Request, UMS for the University of Maine School of Law

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION:

X

BOARD POLICY:

801 – Acquisition of Real Property – GSF Increase

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

The University of Maine System requests authorization to negotiate and enter into a lease for space in Portland, Maine for use as a temporary home for the University of Maine School of Law. The subject property, at 300 Fore Street in Portland, is currently occupied and owned by CIEE and includes sufficient square footage of facility space for law school operations and some additional UMS staff to be identified yet. The lease would be for a term of up to 5 years with a single 5-year optional renewal and a right of first refusal along with a purchase option.

This request is pursuant to Board Policy 801, the acquisition of real property, and pursuant to the Board's prohibition of increases in space without Trustee approval. Per policy, leases with a value of over \$100,000 or a term greater than five years must be considered by the Board or its Finance Facilities and Technology Committee. In this case, the lease is expected to exceed those values, so the request is to approve and forward this matter to the Board of Trustees subject to review by UMS General Counsel and Treasurer and on the condition that the annual lease cost not exceed \$960,000 for the first five-year lease term.

The age, design, and condition of the current building used and occupied by the University of Maine School of Law (as well as a small number of staff from the University of Southern Maine Foundation, USM, and the University of Maine Graduate and Professional Center and Maine Center Ventures) on the USM campus at 246 Deering Avenue in Portland unreasonably limits the size of Maine Law classes. Its design is functionally obsolete for the educational needs of the 21st century.

The building also is challenged from a core infrastructure perspective. The law building (combined with newer library space appended to it) at 246 Deering Avenue has a Net Asset Value of approximately 40 percent, a stage at which action to address its condition is fully warranted. The law building was constructed nearly 50 years ago and has not been

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meaningfully updated or renovated since construction. The current independently estimated asset reinvestment need approaches \$20 million and that likely is a conservative estimate.

Perhaps less critically, but still noteworthy, the facility also has been named among the 8 ugliest university buildings in the nation. This is obviously a challenge, rather than an advantage, to law student recruitment.

For these reasons, UMS has been exploring alternative sites for the law school to occupy for the next several years (in which case UMS would seek to move all staff and operations and seek subsequent Trustee approval to raze the building). On November 10, 2020, UMS issued RFI # 2021-013 to invite competitive proposals for lease or purchase options for Class A Office/Classroom Space in Portland that would be suitable for the Law School's use (and house additional UMS and supporting staff as space permitted). UMS received two responses, but neither was deemed sufficient for the Law School's needs.

While that process did not directly produce a satisfactory and actionable outcome, UMS continued to consider options and learned through engagement with Portland-area real estate brokers that Malone Commercial Brokers would be marketing potentially suitable space for lease in the units owned and occupied by CIEE, Inc. at 300 Fore Street in Portland. Discussions have since progressed between UMS and CIEE through Malone Commercial Brokers to the point where a non-binding confidential Letter of Intent has been signed between UMS and CIEE, with each agreeing to seek authorization from their respective Boards to negotiate and execute a 5-year lease (with 5-year renewal, right of first refusal, and purchase options). The potential lease, if approved by Trustees, would permit the Maine Law School to begin operating from 300 Fore Street as early as the start of the Fall 2021 semester. The cost of the lease remains at this time subject to the confidentiality terms in the non-binding Letter of Intent with CIEE, though UMS seeks approval to execute the lease at a "not to exceed" annual lease cost of \$960,000 or less.

Leasing space at 300 Fore Street in Portland for this purpose would temporarily increase UMS overall square footage in use, but that temporary increase would be offset and eliminated by the removal-by-demolition of 246 Deering Avenue. With Finance, Facilities and Technology Committee and Board approval, moving the Maine Law School and current University of Maine Graduate and Professional Center staff to leased space at 300 Fore Street is expected to be temporary until a new Maine Center building is constructed at the USM campus, as anticipated in the 2020 Harold Alfond Foundation grants that would direct up to \$40 million in new funds to UMS for that purpose (with at least an additional \$30 million secured in matching capital funds). UMS will report to the Board at that time additional purposes to which the property could be put to advance UMS strategic priorities.

Basic operating costs at 246 Deering Avenue (the current Maine Law School building) are approximately \$550,000 annually, while operating costs at 300 Fore Street are expected to be approximately \$290,000 annually, apart from the basic annual lease costs. Operating costs at 246 Deering Avenue could decrease by approximately \$330,000 annually if the building is vacated. Additional operating costs could be avoided if the building were removed by demolition, which would require further Trustee consideration and which UMS would seek as soon as practical.

UMS expects that it would be responsible for making any necessary improvements at 300 Fore Street to permit use by the Maine Law School. These costs are expected to be less, and likely substantially less, than the investment that would be necessary to renovate 246 Deering Avenue to the same standards.

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While no City of Portland zoning changes are necessary, UMS will seek endorsement for its intended uses from the City of Portland.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 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 authorizes the University of Maine System to negotiate and execute a lease agreement at or below the “not to exceed” cost stated herein as a temporary home for the Law School, contingent on and subject to review and approval of the terms and conditions by the UMS General Counsel and Treasurer and the Finance, Facilities and Technology Committee and Board of Trustees.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Building Name Recommendation – Beryl Warner Williams Hall, UM

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

803 – Naming and Renaming of Physical Facilities

UNIFIED ACCREDITATION CONNECTION:

Non-applicable

BACKGROUND:

The University of Maine System, acting through the University of Maine (UM) requests authorization to rename the building formerly named Clarence C. Little Hall as Beryl Warner Williams Hall.

This request is pursuant to Board Policy 803 *Naming of Physical Facilities*, which requires Board approval for the naming of any physical facility in the University of Maine System, after receiving a proposal from the Chancellor and at the recommendation of the campus President.

At its September 28, 2020 meeting, the University of Maine System Board of Trustees approved the recommendation from the Finance, Facilities and Technology Committee “to authorize the University of Maine System acting through the University of Maine to remove Clarence C. Little’s name from the building on the University of Maine campus which bears his name pending a recommendation for a replacement name.”

To determine the replacement name, President Joan Ferrini-Mundy commissioned a renaming taskforce that submitted its final report on September 28, 2020 with proposed names. After due diligence and careful deliberation and consultation, in accordance with Board Policy Section 803, President Ferrini-Mundy recommended the name of Beryl Warner Williams for the building to Chancellor Malloy on February 25, 2021 and he accepted the recommendation on March 8, 2021.

Beryl Elizabeth Warner Williams is a native of Bangor, Maine. She earned two degrees from the University of Maine (a BS in Mathematics with honors and minor in English in 1935 and a Master’s in Mathematics in 1940) as well as an honorary Doctorate of Pedagogy from UMaine in 1972. A lifelong educator, Beryl Williams made significant contributions to higher education. She was the first woman to be appointed to a deanship at Morgan State University and was recognized as the “Mother of Continuing Education”. Outside of her professional accomplishments, she committed herself through civic engagement in Baltimore and the state of

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Maryland, holding affiliations in organizations such as the NAACP, National Council of Negro Women and the American Red cross just to name a few.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the May 24, 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 authorizes the University of Maine System acting through the University of Maine to rename the former Clarence C. Little Hall as Beryl Warner Williams Hall.

Presentation:

[Building Name Recommendation - Beryl Warner Williams Hall](#)

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Exception to Board of Trustee Policy 304 *Transfer of Academic Credit*

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

304: Transfer of Academic Credit

UNIFIED ACCREDITATION CONNECTION:

In keeping with the spirit of unified accreditation, the campuses of the University of Maine System seek a standard approach to the acceptance of transfer grades.

BACKGROUND:

At the May 6, 2021 meeting of the Chief Academic Officers (CAOs) Council, the Provosts agreed to request an exception to Board of Trustee Policy 304: *Transfer of Academic Credit* for the Spring 2020 semester and the 2020-2021 and 2021-2022 academic years to allow continued adaptation to the impacts of COVID-19. The CAOs request that the exception to the Policy reflect the acceptance of Pass (P) and Low Pass (LP) grades for general education credit. This request comes as part of a continued effort to support students during the transition from remote education as a result of COVID-19 modifications.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the request to accept Pass (P) and Low Pass (LP) transfer grades for general education credit for the Spring 2020 semester and the 2020-2021 and 2021-2022 academic years.

Attachment:

[Board Policy 304 – *Transfer of Academic Credit*](#)

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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 May 24, 2021 Board meeting:

March 1, 2021 – Academic & Student Affairs Committee

March 3, 2021 – Finance, Facilities & Technology Committee

March 22, 2021 – Board of Trustees Meeting

March 26, 2021 – Finance, Facilities & Technology Committee

April 9, 2021 – Finance, Facilities & Technology Committee

April 22, 2021 – Special Board of Trustees Meeting

May 3, 2021 – Academic & Student Affairs Committee

May 3, 2021 – Human Resources & Labor Relations Committee

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

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the minutes as presented.

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Steam and Condensate Line Replacement - USM

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

The University of Maine System acting through the University of Southern Maine requests authorization to expend up to \$600,000 to replace approximately 575 linear feet of the underground steam and condensate lines located between the Central Heat Plant and the Science and Masterton buildings on the Portland campus. This project would be funded with unrestricted university E&G funds.

This request is pursuant to Board Policy 701, which requires projects with a total cost of more than \$500,000 to be considered by the Board of Trustees or its Finance, Facilities and Technology Committee. In this case, the authorization is being forwarded to the Consent Agenda for the May 24, 2021 Board meeting.

The Portland campus of the University of Southern Maine utilizes a Central Heat Plant, which produces steam. This steam is transported to the buildings serviced from the Central Heat Plant through an underground heat distribution system. The Central Heat Plant was replaced in 2016 but the underground heat distribution system was not and is 40-50 years old and in need of replacement.

With construction of the Career and Student Success Center (CSSC) in close proximity to a large section of the underground heat and condensate line it was determined that replacement of this section of line was warranted at this time. Given the age of the system and the proximity to the construction the risk of failure to this system either during construction or soon after completion is increased. This section of the system is directly after the Central Heat Plant and a failure would result in an inability to provide heat to 5 of 6 buildings serviced by the Central Heat Plant.

If authorized, the work would be started after the Portland Central Heat Plant is shut down for the heating season, near the beginning of June of 2021, and the work would be completed before the plant needs to be started back up in the fall. To enable coordination of this project with the CSSC construction project, bids were received, and the work will be performed by the same contractors.

The Finance, Facilities and Technology Committee approved this recommendation to be

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forwarded to the Consent Agenda for Board of Trustees approval at the May 24, 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 Southern Maine to expend up to \$600,000 to replace approximately 575 linear feet of the underground steam and condensate lines located between the Central Heat Plant and the Science and Masterton buildings on the Portland campus.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: New Academic Program Proposal: Bachelor of Science in Business in Sport Management

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

305.1 Program Approval, Review & Elimination Procedures

UNIFIED ACCREDITATION CONNECTION:

In keeping with the Guiding Principles and pursuant to UMS Board Policy 212 and the UMS Statement on Shared Governance, faculty from each of the Universities participated in the review of this proposed program.

BACKGROUND:

The University Maine (UM) is seeking permission to offer a Bachelor of Science in Business in Sport Administration. This is a collaborative degree that addresses important economic and workforce development opportunities locally, and statewide, and beyond. The major allows for collaboration across academic and non-academic units, including stakeholders on and off campus. The proposal outlines the goal to collaborate, not compete with the major at the University of Southern Maine in the spirit of Unified Accreditation.

The proposal was reviewed at all appropriate faculty and administrative levels at USM, UM, and UMA and was reviewed and subsequently recommended by the Chief Academic Officers Council. Dr. Robert Placido, Vice Chancellor of Academic Affairs recommended the program to the Chancellor. Chancellor Malloy signed his approval of the BS in Business in Sport Management on April 5, 2021.

The Academic & Student Affairs Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the May 24, 2021 Board meeting.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee, and approves the creation of a Bachelor of Science in Business in Sport Management for the University Maine.

Attachment:

[UM Program Proposal: Bachelor of Science in Business in Sport Management](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: New Academic Program Proposal: Masters of Science in Data Science, USM

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

305.1 Program Approval, Review & Elimination Procedures

UNIFIED ACCREDITATION CONNECTION:

In keeping with the Guiding Principles and pursuant to UMS Board Policy 212 and the UMS Statement on Shared Governance, faculty from each of the Universities participated in the review of this proposed program.

BACKGROUND:

The University of Southern Maine (USM) is seeking permission to offer a Master of Science in Data Science (MSDS). This is a multidisciplinary, involving existing and proposed courses at USM primarily from Computer Science and Statistics, with additional support from Business and optional concentrations in Business Analytics, Geographic Information Systems, Public Health, in addition to Computer Science and Statistics. Courses will be delivered on campus and in hybrid formats. As described in the included proposal from USM, the MSDS is designed to appeal primarily to undergraduate majors with an interest in computing and data analytics, along with working professionals involved in analytics.

The proposal was reviewed at all appropriate faculty and administrative levels at USM, UM, and UMA and was reviewed and subsequently recommended by the Chief Academic Officers Council. Dr. Robert Placido, Vice Chancellor of Academic Affairs recommended the program to the Chancellor. Chancellor Malloy signed his approval of the MSDS on April 5, 2021.

The Academic & Student Affairs Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the May 24, 2021 Board meeting.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee, and approves the creation of a Masters of Science in Data Science for the University of Southern Maine.

Attachment:

[USM Program Proposal: Masters of Science in Data Science](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: UMFK Academic Restructuring

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION:

In keeping with the Guiding Principles for Unified Accreditation, UMS will seek to provide access to more collaborative (multi-university) academic programs and processes.

BACKGROUND:

President Hedeon of the University of Maine at Fort Kent will provide an overview of the UMFK academic restructuring proposal.

The Academic & Student Affairs Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the May 24, 2021 Board meeting.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves and ratifies the UMFK Academic Restructuring proposal to go into effect July 1, 2021.

Attachment:

[UMFK Restructuring Proposal](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: UMPI Academic Restructuring

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION:

In keeping with the Guiding Principles for Unified Accreditation, UMS will seek to provide access to more collaborative (multi-university) academic programs and processes.

BACKGROUND:

President Rice of the University of Maine at Presque Isle will provide an overview of the UMFK academic restructuring proposal.

The Academic & Student Affairs Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the May 24, 2021 Board meeting.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves and ratifies the UMPI Academic Restructuring proposal to go into effect July 1, 2021.

Attachment:

[UMPI Restructuring Proposal](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: UMS Environmental, Social and Governance (ESG) Investment Approach

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

Section 709 – Investments

UNIFIED ACCREDITATION CONNECTION:

Supports central management and oversight of the University of Maine System's investments.

BACKGROUND:

Kelly Regan and Jay Roney of NEPC will provide an overview of the University of Maine System's Environmental, Social and Governance (ESG) investment approach. NEPC will review the history and decisions of the approach along with portfolio results as relates to fossil fuel exposure. Research shows that ESG investing can reduce portfolio risk and generate competitive investment returns, while aligning with an institution's values.

NEPC will refer to the enclosed report during the May 24, 2021 Board of Trustees meeting.

Attachment:

[ESG Investment Approach](#)

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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Unified Accreditation Update

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION:

Board engagement/transparency

BACKGROUND:

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

- 1) The May 11-12 NECHE evaluation team visit by Dr. Donald Birx (President, Plymouth State University) and Dr. Myk Garn (Assistant Vice Chancellor for New Learning Models, University System of Georgia).
- 2) The completion of drafts by the nine writing teams for the Fall 2022 self study.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Proposed Changes to Board of Trustee Policy 501- *Student Conduct Code*

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

501: Student Conduct Code

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

The UMS Student Conduct Code applies to the entire University of Maine System. As mandated by Board policy, the Code is reviewed and updated every three years, and is ultimately approved by the Board of Trustees. The last regular review occurred during the Spring of 2018; Board approval occurred at the March 19, 2018 Board meeting.

In keeping with the University of Maine System policy approval process, the updates to the Student Conduct Code will complete a first read at the May Board of Trustees Meeting. Rosa Redonnett, Associate Vice Chancellor of Student Success and Credential Attainment at the University of Maine System and representatives from the General Counsel's office will update the Committee on the review process, changes/clarifications to the Code and will be available to answer questions. It is intended that the Board will consider the proposed policy again at its July 2021 Academic Affairs Committee and Board of Trustees meeting.

Attachments:

[Proposed Changes to Board Policy 501 – Student Conduct Code \(Redlined\)](#)

[Proposed Changes to Board Policy 501 – Student Conduct Code \(Clean\)](#)

[Current Board Policy 501 – Student Conduct Code](#)

[Student Conduct Code Presentation – May 24, 2021](#)

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University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	3 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
MIP Composite	423,195,598	100.0	100.0	1.5	2.3	20.8	37.6	8.0	8.7	6.0	6.5
Allocation Index				1.8	3.5	21.6	38.2	9.2	9.6	7.0	7.0
Policy Index				1.6	3.3	22.1	39.4	9.3	9.9	7.3	7.2
Total Domestic Large Cap	95,490,592	22.6	22.0	4.4	6.2	29.7	56.3	16.7	16.2	13.5	13.6
S&P 500				4.4	6.2	29.7	56.4	16.8	16.3	13.6	13.9
SSgA S&P 500	95,490,592	22.6	22.0	4.4	6.2	29.7	56.3	16.7	16.2	13.5	13.8
S&P 500				4.4	6.2	29.7	56.4	16.8	16.3	13.6	13.9
Total Domestic Small/Mid Cap	27,547,422	6.5	6.0	3.7	14.8	55.5	100.8	15.0	16.9	11.3	12.4
Russell 2500				1.6	10.9	49.6	89.4	15.3	15.9	11.5	12.2
Westfield Capital	12,845,867	3.0	3.0	0.2	4.1	38.4	85.2	18.0	19.9	13.0	13.6
Russell 2500 Growth				-3.3	2.5	41.1	87.5	20.0	19.9	14.3	14.2
DFA	14,701,555	3.5	3.0	6.7	25.1	72.8	113.5	10.7	12.5	8.4	10.2
Russell 2000 Value				5.2	21.2	65.7	97.1	11.6	13.6	8.9	10.1
Global Equity	43,353,477	10.2	10.0	2.6	0.6	24.2	--	--	--	--	--
MSCI World				3.3	4.9	29.1	54.0	12.8	13.4	9.7	9.9
Walter Scott Global Equity	43,353,477	10.2	10.0	2.6	0.6	24.2	--	--	--	--	--
MSCI World				3.3	4.9	29.1	54.0	12.8	13.4	9.7	9.9
Total International Equity (including emerging markets)	88,663,792	21.0	21.0	0.6	0.7	26.8	52.3	4.5	7.8	4.3	4.9
MSCI EAFE				2.3	3.5	25.8	44.6	6.0	8.8	4.8	5.5
Morgan Stanley	21,267,204	5.0	5.0	3.0	0.6	19.1	40.9	5.7	7.9	4.3	5.6
JO Hambro	19,993,909	4.7	5.0	0.0	0.5	24.7	--	--	--	--	--
MSCI EAFE				2.3	3.5	25.8	44.6	6.0	8.8	4.8	5.5
Kabouter International Opportunities Offshore Fund II	16,070,316	3.8	4.0	-1.1	-4.6	15.3	39.2	0.6	--	--	--
MSCI EAFE Small Cap				2.2	4.5	35.1	62.0	6.3	10.5	7.4	8.0
Emerging Markets Equity	31,332,362	7.4	7.0	0.3	3.8	41.7	70.6	8.0	9.6	5.2	4.1
Emerging Markets Equity Custom Benchmark				0.0	5.0	40.6	72.4	6.8	12.3	6.7	3.7
Aberdeen Emerging Mkts	15,714,454	3.7	3.5	-1.3	1.8	43.4	76.3	10.2	12.5	7.2	5.5
MSCI Emerging Markets				-1.5	2.3	34.1	58.4	6.5	12.1	6.6	3.7
Mondrian EM Small Cap	15,617,908	3.7	3.5	1.9	5.8	39.7	64.5	5.6	6.6	--	--
MSCI Emerging Markets Small Cap				1.5	7.7	47.2	87.1	5.2	9.6	5.5	3.3



March 31, 2021

University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	3 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Total Fixed Income	105,102,087	24.8	26.5	-0.3	-0.8	4.7	10.9	4.7	4.3	3.6	4.5
BBgBarc US Aggregate TR				-1.2	-3.4	-2.1	0.7	4.7	3.1	3.3	3.4
Commonfund	37,457,965	8.9	9.5	-1.0	-3.2	0.7	6.2	4.7	3.8	3.6	4.1
BBgBarc US Aggregate TR				-1.2	-3.4	-2.1	0.7	4.7	3.1	3.3	3.4
Vanguard Inflation-Protected Securities	13,962,358	3.3	3.5	-0.1	-1.4	3.3	7.5	5.6	3.8	--	--
BBgBarc US TIPS TR				-0.2	-1.5	3.2	7.5	5.7	3.9	3.4	3.4
Vanguard Short-Term Inflation-Protected Securities	13,791,812	3.3	3.5	0.4	1.1	4.1	6.9	--	--	--	--
BBgBarc US TIPS 1-5 Yr TR				0.5	1.2	4.6	7.7	4.1	2.8	2.1	1.8
Blackrock Strategic Income Opportunities	20,038,103	4.7	5.0	-0.3	0.2	7.3	14.2	--	--	--	--
3-Month Libor Total Return USD				0.0	0.0	0.2	0.3	1.6	1.5	1.1	0.9
Bain Capital Senior Loan Fund	19,851,849	4.7	5.0	0.3	2.3	11.6	22.4	--	--	--	--
Credit Suisse Leveraged Loans				0.1	2.0	10.1	20.8	4.1	5.3	4.0	4.4
Total GAA	28,763,044	6.8	7.5	2.2	1.4	10.9	19.9	3.5	4.9	2.9	3.5
65% MSCI ACWI (Net) / 35% BBgBarc Global Agg				1.1	1.4	19.2	35.3	9.1	9.6	7.0	6.9
Newton Global Real Return	28,763,044	6.8	7.5	2.2	1.4	13.0	22.7	8.5	--	--	--
60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg				0.8	0.9	17.8	32.7	8.6	9.1	6.6	6.6
Total Hedge Funds	29,923,664	7.1	7.0	-2.6	-1.2	19.5	27.3	9.6	8.2	4.8	3.9
HFRI Fund of Funds Composite Index				-0.3	1.9	14.8	23.8	5.4	5.6	3.9	3.4
Lighthouse	29,923,664	7.1	7.0	-2.6	-1.2	19.5	27.3	9.8	8.8	--	--
Credit Suisse Long Shrt Eqt USD				0.7	2.4	13.2	24.3	5.4	6.1	4.8	5.0
Private Equity	2,076,977	0.5	0.0	0.0	0.0	18.0	0.1	5.3	9.7	--	--
Landmark Equity Partners XV	2,076,977	0.5	0.0	0.0	0.0	18.0	0.1	5.3	9.7	--	--
CJA US All PE (1 Qtr Lag)				13.2	13.2	36.7	22.9	15.7	15.5	13.4	14.0
Total Cash	2,274,542	0.5	0.0								
Distribution Account	2,274,542	0.5	0.0	0.0	0.0	0.0	0.0	1.1	0.8	0.6	0.5
91 Day T-Bills				0.0	0.0	0.1	0.1	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&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 3/31/2021.

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

March 31, 2021

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University of Maine System Pension Plan

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	3 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Pension Composite	25,218,077	100.0	100.0	0.6	-0.2	11.2	19.9	7.3	7.0	5.2	5.6
Allocation Index				1.1	1.3	12.4	22.7	7.2	7.5	6.0	6.3
Policy Index				1.0	1.3	12.3	22.9	7.4	7.6	6.1	6.5
Total Global Equity	7,776,692	30.8	30.0	2.3	0.5	24.1	44.3	--	--	--	--
MSCI World				3.3	4.9	29.1	54.0	12.8	13.4	9.7	9.9
Walter Scott Global Equity Fund	7,776,692	30.8	30.0	2.3	0.5	24.1	44.3	--	--	--	--
MSCI World				3.3	4.9	29.1	54.0	12.8	13.4	9.7	9.9
Emerging Markets Equity	842,786	3.3	3.0	1.9	5.8	39.7	64.5	5.6	6.6	3.1	--
Emerging Markets Equity Benchmark				1.5	7.7	47.2	87.1	6.9	12.4	6.8	3.8
Mondrian EM Small Cap	842,786	3.3	3.0	1.9	5.8	39.7	64.5	5.6	6.6	--	--
MSCI Emerging Markets Small Cap				1.5	7.7	47.2	87.1	5.2	9.6	5.5	3.3
Total Fixed Income	10,620,630	42.1	43.0	-0.9	-2.0	1.2	5.4	4.7	3.6	3.3	3.8
BBgBarc US Aggregate TR				-1.2	-3.4	-2.1	0.7	4.7	3.1	3.3	3.4
Baird Aggregate Bond Fund	6,300,168	25.0	26.0								
BBgBarc US Aggregate TR				-1.2	-3.4	-2.1	0.7	4.7	3.1	3.3	3.4
Vanguard Inflation-Protected Securities	859,434	3.4	3.5	-0.1	-1.4	3.2	7.5	5.6	--	--	--
BBgBarc US TIPS TR				-0.2	-1.5	3.2	7.5	5.7	3.9	3.4	3.4
Vanguard Short-Term Inflation-Protected Securities - VTSPX	876,846	3.5	3.5	0.4	1.1	4.1	6.9	--	--	--	--
BBgBarc US TIPS 1-5 Yr TR				0.5	1.2	4.6	7.7	4.1	2.8	2.1	1.8
BlackRock Strategic Income Opportunities	1,289,402	5.1	5.0	-0.3	0.2	7.3	14.2	--	--	--	--
3-Month Libor Total Return USD				0.0	0.0	0.2	0.3	1.6	1.5	1.1	0.9
Bain Capital Senior Loan Fund	1,294,781	5.1	5.0	0.3	2.3	11.6	22.4	--	--	--	--
Credit Suisse Leveraged Loans				0.1	2.0	10.1	20.8	4.1	5.3	4.0	4.4
Total GAA	2,161,929	8.6	8.0	2.2	1.4	13.0	22.7	6.7	6.4	4.0	4.0
65% MSCI ACWI (Net) / 35% BBgBarc Global Agg				1.1	1.4	19.2	35.3	9.1	9.6	7.0	6.9
Newton Global Real Return	2,161,929	8.6	8.0	2.2	1.4	13.0	22.7	8.5	--	--	--
60% MSCI ACWI (Net) / 40% FTSE WGBI				0.8	0.4	17.1	31.3	8.4	8.9	6.4	6.3
Total Alternative Investments	1,363,327	5.4	5.0	-2.6	-1.2	19.5	27.3	9.6	8.2	5.3	4.1
HFRI Fund of Funds Composite Index				-0.3	1.9	14.8	23.8	5.4	5.6	3.9	3.4
Lighthouse	1,363,327	5.4	5.0	-2.6	-1.2	19.5	27.3	9.8	8.8	--	--
Credit Suisse Long Shrt Eqt USD				0.7	2.4	13.2	24.3	5.4	6.1	4.8	5.0



March 31, 2021

University of Maine System Pension Plan

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	3 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Total Real Assets	2,085,388	8.3	8.0								
Principal	2,085,388	8.3	8.0	1.5	2.4	4.1	2.5	4.9	6.3	8.2	9.6
NCREIF ODCE				2.1	2.1	3.9	2.3	4.9	6.2	8.2	9.7
Total Cash	367,325	1.5	3.0								
Distribution Account	367,325	1.5	3.0	0.0	0.0	0.0	0.1	1.1	0.8	0.6	0.4
91 Day T-Bills				0.0	0.0	0.1	0.1	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&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



March 31, 2021

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University of Maine System Operating Fund

TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	3 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Operating Funds Composite	307,346,111	100.0	100.0	0.2	0.6	6.2	11.8	4.8	4.3	3.1	3.0
Allocation Index				0.2	0.4	4.6	8.8	4.2	3.9	3.1	2.9
Liquidity Pool Composite	108,691,166	35.4	30.0	0.0	0.1	0.4	0.6	1.5	1.2	0.9	0.7
State Pool	86,711,737	28.2		0.1	0.2	0.6	0.8	1.6	1.3	1.0	0.8
BOA General Fund	500,150	0.2		0.0	0.1	0.5	0.5	0.7	0.4	0.3	--
Federated Gov't Obligations	1,388,719	0.5		0.0	0.0	0.0	0.1	1.3	--	--	--
JP Morgan US Gov't Money Market Fund	20,090,560	6.5		0.0	0.0	0.0	0.1	1.3	--	--	--
FTSE T-Bill 3 Months TR				0.0	0.0	0.1	0.2	1.5	1.2	0.8	0.6
Income Pool Composite	125,561,966	40.9	47.5	-0.3	-0.4	2.3	6.8	3.8	3.1	2.5	2.6
Income Research + Management	69,266,015	22.5	26.0	-0.1	-0.1	1.2	4.8	3.7	2.4	2.0	--
BBgBarc US Govt/Credit 1-3 Yr. TR				0.0	0.0	0.4	1.6	3.0	2.0	1.7	1.6
BlackRock Strategic Income Opportunities	19,151,979	6.2	7.0	-0.3	0.2	7.3	14.2	4.8	4.7	--	--
3-Month Libor Total Return USD				0.0	0.0	0.2	0.3	1.6	1.5	1.1	0.9
Loomis Sayles Bank Loans	18,398,141	6.0	7.0	-0.3	0.8	6.6	14.3	2.5	3.5	2.9	3.4
Loomis Bank Loans Custom Index				-0.3	0.8	6.4	14.0	3.0	3.8	3.5	3.9
Baird Aggregate Bond Fund	18,745,831	6.1	7.5								
BBgBarc US Aggregate TR				-1.2	-3.4	-2.1	0.7	4.7	3.1	3.3	3.4
Total Return Pool Composite	73,092,979	23.8	22.5	1.3	3.3	23.9	40.4	10.1	9.8	6.6	6.4
Lighthouse	15,644,115	5.1	5.0	-2.6	-1.2	19.5	27.3	9.8	8.8	--	--
Credit Suisse Long Shrt Eqt USD				0.7	2.4	13.2	24.3	5.4	6.1	4.8	5.0
Newton Global Real Return	11,304,856	3.7	4.0	2.2	1.4	13.0	22.7	8.5	--	--	--
60% MSCI ACWI (Net)/ 40% BBgBarc Global Agg				0.8	0.9	17.8	32.7	8.6	9.1	6.6	6.6
PIMCO All Asset	12,645,263	4.1	4.0	1.8	6.2	22.1	37.1	7.0	8.5	5.2	5.3
Blended Index				-0.2	-1.4	4.3	10.8	6.2	5.1	4.6	4.8
Vanguard Total World Stock Index	33,498,744	10.9	9.5	2.7	5.1	31.2	57.9	12.2	13.6	9.7	--
FTSE Global All Cap Index				2.7	5.1	31.6	57.7	12.4	13.1	8.7	8.0

Notes:

Returns are net of manager fees.

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

Fiscal YTD begins 7/1

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

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

Composite excludes external loans.

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



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One-Year Capital Plan Overview

Executive Summary

Pursuant to prior adopted directives of Trustees, the Board is to specifically consider the capital investment portion of the annual operating budget. There is a concise presentation of that data in the budget documents that have been provided to Trustees. This briefing document elaborates on that element of the budget and also provides an overview of the capital plan for the same budget year from all funding sources.

FY 2022 Operating Capital Budget

The FY 2022 budget includes \$11,677,289 for capital investments from Operations. Of that amount, \$10,677,289 is slated for facility and infrastructure improvements, not including IT projects.

Approximately 57% (\$6,126,153) of those facility and infrastructure related resources are dedicated for specific projects or spaces as shown on the FY 2022 Operating one-year capital plan. The overall amount reflects a budgeted investment significantly higher than the FY 2021 amount of approximately \$6.6 million and the FY 2020 amount of approximately \$7.6 million.

Of these projects in the one-year plan, broadly speaking, the categories include:

- Approximately \$ 400,000 in Building Envelope projects (roof and façade)
- Approximately \$ 800,000 in Building Systems (MEP – not including IT)
- Approximately \$1,900,000 in Grounds and Underground Utility/infrastructure improvements
- Approximately \$1,800,000 in Space renewal and renovations
- Approximately \$ 200,000 in new Space
- Approximately \$1,000,000 in new Safety and Code upgrades
- Approximately \$4,500,000 set aside as reactive projects.

FY 2022 Capital Budget – All Funds

Beyond the FY 2022 operating budget, a variety of additional resources have been budgeted which substantially increase capital investment in FY 2022. In fact, nearly \$114 million of capital project expenditures/budget were identified in the capital plan. Of those values approximately \$3 million have funding yet to be determined and approximately \$20 million are to be funded through potential P3 financed projects.

The total includes over \$21 million for the UM Ferland EEDC and \$40 million for the USM Portland Commons residence hall and Career and Student Success Center projects.

The budget breaks down in the following broad categories:

- Approximately \$87,500,000 in New Space
- Approximately \$ 2,500,000 in Building Envelope projects (roof and façade)
- Approximately \$ 1,600,000 in Building Systems (MEP)
- Approximately \$ 400,000 in Grounds infrastructure improvements
- Approximately \$ 2,500,000 in Utility infrastructure improvements
- Approximately \$11,900,000 in Space renewal and renovations

- Approximately \$ 1,800,000 for Safety/Code improvements
- Approximately \$ 4,900,000 set aside as reactive or special projects
- Approximately \$ 1,100,000 for space removal/reduction projects

Summary

This investment is markedly increased from past years, even as it remains of the Gordian (Sightlines) annual investment target.

The Gordian investment target in order to “keep up” with building needs in FY 2022 is projected to be over \$43 million. This target is based on existing building need and not on new construction or infrastructure. The amount projected in the FY 2022 capital plan which would be applicable to the Gordian \$40 million target is approximately \$26,500,000.

That being said the new construction projects will still have a positive effect on the campus metrics such as Net Asset Value (NAV) and building age profile. Additionally, of note, the FY 2022 capital plan includes over 20 demolition or building removal projects, mostly funded centrally through the space reduction initiative. While not investment in the traditional sense, the removal of facilities – particularly poorer condition, low net asset value facilities – can have a substantial impact on eliminating deferred maintenance, improving the average condition of the University’s facilities and concentrating scarce resources over the remaining space.

Five-Year Capital Plan Overview

Executive Summary

Pursuant to prior adopted directives of Trustees, a three-tiered planning process for capital projects is in place. The three tiers include the one year capital plan, presented in a separate report, the campus Master Plans as have been presented by many of the campuses in the past, and the five year capital plan. This briefing document elaborates on the latter, mid-level element of planning.

Each year the campuses are asked to provide an update to their capital plan. The process allows for planning of a period of up to ten years. While there is a strong focus on the one-year capital plan and ensuring its alignment with available funding, many projects and initiatives will take place over a longer period of time and many more projects are needed than there is funding available.

FY 2022 Five Year Capital Plan – All Funds

The Five-Year Capital Plan represents well over 300 projects with an identified five year budget of approximately \$990,000,000 across all funding sources. Information technology capital projects are not included and are above and beyond that figure. While the one-year plan reflects only the work a campus actually expects to achieve and has funds to accomplish, the five-year plan is permitted to be more aspirational. As a result of this and the long-term nature of the plan, many of the funds (42%) needed to implement it are not yet identified.

The funding breakdown of the 5-year plan currently includes the following categories:

- \$20 million in general obligation bonds;
- \$65 million in proposed revenue bonds;
- \$175 million from gifts and future fundraising;
- \$51 million from campus AUX and E&G funds (including reserves);
- \$78 million from Grants or proposed grants (including Harold Alfond Foundation);
- \$156 million in P3 initiatives;
- \$6 million in Strategic Initiatives (space reduction);
- \$436 million from sources yet to be determined.

Looking across all funding sources for the five-year period from FY2022 through FY2026, the broad categories of anticipated investment include:

- Approximately \$321,000,000 in Space renewal and renovations
- Approximately \$ 34,700,000 in Building Envelope projects (roof and façade)
- Approximately \$ 34,100,000 in Building Systems (MEP)
- Approximately \$ 33,200,000 in Grounds infrastructure improvements
- Approximately \$118,300,000 in Utility infrastructure improvements
- Approximately \$ 4,300,000 for Safety/Code improvements
- Approximately \$ 17,100,000 for building demolition/removal projects
- Approximately \$ 31,400,000 set aside as reactive projects
- Approximately \$393,900,000 in New Space, not all off-set but space reductions

Summary

The Gordian (Sightlines) investment target in order to “keep up” with building needs is projected to be from \$43 to \$70 million in FY2022 and from \$50 to upwards of \$80 million by FY 2026. The current plan reflects a significant amount of new space coming online which causes the “keep up” need to grow as the space comes on line. This translates to between \$215 million and \$400 million over five years based on the current plan. In order to meet the goal of this target, the University must spend that amount on existing building needs and not on new construction or infrastructure.

With that, the amount projected in the five-year capital plan, which would be applicable to the Gordian target, is approximately \$394,000,000. While this value reflects an adequate amount of planning, over \$270 million of the \$394 million is identified with funding sources such as Grant or Grant match which is still in development, fundraising, bonds, or other sources to be determined. In order to meet the target significant funding mechanisms are still needed.

Finally, it is important to note that the current five year plan reflects a total of 36 space removal projects most of which will be funded in whole or in part through the central space reduction special initiative process. While not currently reflected in the plan it is expected that an additional 25 to 30 buildings will be targeted for removal in the coming years with the assistance of the special initiative funds. The removal of facilities – particularly poorer condition, low net asset value facilities – while not investment in the traditional sense, can have a substantial impact on eliminating deferred maintenance and improving the average condition of the University’s facilities.



Active Project Status as of March, 2021

		2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	Estimated Total Project Cost
UMA	Augusta Welcome Center					On Hold													\$6,850,000
	Handley Hall HVAC System Upgrade		Design in Progress																\$575,000
UMF	Dearborn Gym HW Upgrades				Complete														\$850,000
	274 Front St. Renovation				Pre-Design in Progress														\$1,000,000
	Olsen Center Renovation				Pre-Design in Progress														\$1,900,000
	Residence Hall					Pre-Design in Progress													\$27,900,000
UMFK	Enrollment/Advancement Center					Construction in Progress													\$3,249,000
USM	Bailey Hall Fire Protection and Electrical Upgrades				Construction in Progress														\$4,388,000
	Career and Student Success Center and Portland Residence Hall				Bidding in Progress														\$5,700,000
	USM Center for the Arts		Design in Progress																\$1,000,000
	Port Parking Garage Study				Pre-Design in Progress														\$1,200,000
	Wishcamper Parking Lot				On Hold														\$1,710,000
	Fitness Equipment Purchase and Space Renovation					On Hold													\$700,000
	*Professional Graduate Center (Alfond)																		\$105,000,000
UMPI	UMPI Solar Array				Bidding														\$700,000
	Folsom 105 Nursing Renovation				Substantially Complete														\$800,000
	Wieden Renovation Bond				Design in Progress														\$800,000
	Residence Hall					Pre-Design in Progress													\$12,600,000

* Located on USM campus but not 100% USM project



Active Project Status as of March, 2021

	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	Estimated Total Project Cost
UM																		
ASCC Center Expansion		Complete																
ASCC Equip W2-Thermoplastics Lab			Design in Progress															\$10,400,000
ASCC Equip W2 Tow Carriage			Complete															
Darling Marine Center Waterfront Infrastructure			Construction in Progress															\$5,200,000
Ferland Engineering, Education and Design Center			Construction in Progress															\$72,000,000
ASCC Renovation - Mezzanine Office Expansion					Construction in Progress													\$1,400,000
UM Energy Center Phase II					Pre-Design in Progress													\$5,700,000
UM Energy Center Phase III																		\$130,000,000 TBD
Wells Commons Generator			Complete															\$525,000
Neville Hall Renovation					Design in Progress													\$1,500,000
Green Energy and Materials Lab																		\$52,800,000 TBD
College of NSFA 6 yr projects plan																		\$82,500,000
3 Fields, Alford tech upgrades, baseball upgrades (Alford)																		\$15,500,000 TBD
2 Domes, Memorial Gym upgrades (Alford)																		\$15,000,000 TBD
Multipurpose, Football field prep (Alford)																		\$43,000,000 TBD
Alford & Walsh Centers (Alford)																		\$15,500,000 TBD

Board of Trustees Meeting - May 2021 - Attachments

FY22 Capital Plan - All Funds

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated Pr	FY22 Budget
UM	SHED-DEER PEN POWER	SHED-DEER PEN POWER Demolition	Demolition	Planning	2	Strategic Initiative	\$1,000	1,000
UM	DEER PEN GARAGE	DEER PEN GARAGE Demolition	Demolition	Planning	2	Strategic Initiative	\$2,940	2,940
UM	DMC Tractor Barn	DMC Tractor Barn demolition	Demolition	Planning	2	Xfer from E&G	\$4,000	4,000
UM	RF-STORAGE SHED 4	Rogers Farm Storage Shed 4 Demolition	Demolition	Planning	2	Strategic Initiative	\$4,900	4,900
UM	HF-Hen House	HF-Hen House Demolition	Demolition	Planning	2	Strategic Initiative	\$5,000	5,000
UM	DMC Mcguire Hall "Cow Barn"	DMC Mcguire Hall "Cow Barn" demolition	Demolition	Planning	2	Strategic Initiative	\$15,000	15,000
UM	DMC Carpentry Shop	DMC Carpentry Shop demolition	Demolition	Planning	2	Strategic Initiative	\$15,610	15,610
UM	TIRE CHIP FACILITY	TIRE CHIP FACILITY Demolition	Demolition	Planning	2	Strategic Initiative	\$16,170	16,170
UM	HF-Broiler Barn	HF-Broiler Barn Demolition	Demolition	Planning	2	Strategic Initiative	\$25,000	25,000
UM	HF-Brooder House	HF-Brooder House Demolition	Demolition	Planning	2	Strategic Initiative	\$25,000	25,000
UM	Aroostook Farm modernization	Replace 8-9 buildings on the Aroostook Farm campus with one	Space Renewal	Planning	3	Xfer from E&G	\$5,500,000	25,000
UM	POTATO HANDLING STORAGE	POTATO HANDLING STORAGE Demolition	Demolition	Planning	2	Strategic Initiative	\$32,000	32,000
UM	Roger Clapp greenhouse replacement	Replace the Roger Clapp greenhouse on UMaine campus with r	Space Renewal	Planning	3	Xfer from E&G	\$50,000	50,000
UM	UNIVERSITY PARK Various Buildings	UNIVERSITY PARK Various Buildings Demolition (2 buildings)	Demolition	Planning	2	Strategic Initiative	\$51,000	51,000
UM	Rogers Farm Farmhouse	Rogers Farm Farmhouse Demolition	Demolition	Planning	2	Strategic Initiative	\$52,500	52,500
UM	BHF-FARMHOUSE	Blueberry Hill Farm-FARMHOUSE Demolition	Demolition	Planning	2	Strategic Initiative	\$63,000	63,000
UM		Electrical Distribution System Upgrades	Utility Infrastructure	Planning	1	Xfer from E&G	\$170,000	70,000
UM	BARN-PATCH HOUSE	BARN-PATCH HOUSE Demolition	Demolition	Planning	2	Strategic Initiative	\$73,080	73,080
UM	Balantine	Replace the current wooden sash, double-hung, single-pane, w	Building Envelope	In-Progress	2	Xfer From AUX Re	\$202,000	99,593
UM	DMC Tractor Barn	DMC Tractor Barn demolition	Demolition	Planning	2	Strategic Initiative	\$104,000	104,000
UM	Hart hall	Replace corridor flooring	Renovation	Planning	3	Xfer from AUX	\$130,000	130,000
UM	ALFOND ARENA	Annual Alfond	Other	Planning	0	Xfer from E&G	\$485,000	48,500
UM	GENERAL	for painting and general cosmetic upkeep	Space Renewal	Planning	3	Xfer from AUX	\$60,000	60,000
UM	Life Sciences building	Construct new Life Sciences building	New Space	Planning	3	Xfer from E&G	\$250,000	250,000
UM	Green Engineering and Materials building (GEM)	GEM is a world-class research and educational facility that will	New Space	Planning	3	Xfer from E&G	\$250,000	250,000
UM	Pennobscot hall	replace Roof replacement	Building Envelope	Planning	2	Xfer from AUX	\$251,000	251,000
UM	VARIOUS BUILDINGS	Various classroom projects - per campus space committee	Other	Planning	0	Xfer from E&G	\$900,000	100,000
UM		Various classroom projects - per campus space committee	Other	Planning	0	Restricted Gifts	\$1,100,000	100,000
UM	MEMORIAL GYM COMPLEX	Annual Memorial Gym	Other	Planning	0	Xfer from E&G	\$1,400,000	140,000
UM	UMAINE CAMPUS	Annual Paving Maintenance - major projects	Grounds Infrastructure	Planning	3	Xfer from E&G Re	\$1,500,000	150,000
UM	Residence Hall	Renovate UMaine residence hall	Renovation	Planning	3	Xfer from AUX	\$983,564	983,564
UM	special projects	UMaine campus special projects			#N/A	Xfer from E&G	\$2,437,910	25,000
UM	NEVILLE HALL	Renovation of Neville Hall Lecture Halls and multiple classroom	Renovation	Planning	3	GO Bond	\$1,500,000	1,100,000
UM		New Engineering Building	New Space	In-Progress	3	Fundraising	\$22,300,000	7,067,784
UM	HAF-Match Athletics Capital upgrades	UMaine athletics facilities master plan for capital improvement	Space Renewal	In-Progress	3	Fundraising	\$20,000,000	500,000
UM		New Engineering Building	New Space	In-Progress	3	Other	\$43,000,000	14,329,131
UM	VARIOUS PROJECTS	Various Projects - Annual Funded Depreciation	Other	Planning	0	Xfer from E&G	\$26,872,877	3,612,636
UM	HAF Athletics Capital upgrades	UMaine athletics facilities master plan for capital improvement	Space Renewal	In-Progress	3	HAF Grant	\$70,000,000	2,000,000
UM	HAF Maine College of Engineering, Computing, and I	Renovation to UMaine Engineering buildings, Engineering pha	Space Renewal	In-Progress	3	HAF Grant	\$75,000,000	3,900,000
UM	HAF-Match Maine College of Engineering, Computir	Renovation to UMaine Engineering buildings, Engineering pha	Space Renewal	In-Progress	3	Fundraising	\$10,285,000	1,000,000
UM		Improvements to Energy infrastructure	Utility Infrastructure	Planning	1	P3	\$132,000,000	250,000
UMA	HANDLEY HALL-WATER STREET-331	Replace HVACSystem	Utility Infrastructure	In-Progress	1	GO Bond	\$52,866	26,433
UMA	Stoddard House	UMA Stoddard House demolition	Demolition	Planning	2	Strategic Initiative	\$100,000	100,000
UMA	Katz Library	Katz Library HVAC Repairs	Building Systems	In-Progress	1	GO Bond	\$349,709	349,709
UMA	Landscaping	Landscaping	Other	Planning	0	Xfer from E&G	\$50,000	50,000
UMA	Bangor Campus Walkways	Install new and resurface existing walks	Grounds Infrastructure	In-Progress	3	Xfer from E&G	\$800,000	100,000
UMA	HANDLEY HALL-WATER STREET-331	Replace HVACSystem	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$1,078,844	507,320
UMA	Katz Library	Katz Library HVAC Repairs	Building Systems	In-Progress	1	Xfer from E&G	\$1,769,700	250,291
UMF	Scott hall South	Apply epoxy coating to existing showers in Scott South	Space Renewal	Planning	3	GO Bond	\$35,000	35,000
UMF	Scott Hall North	Apply epoxy coating to the existing showers	Space Renewal	Planning	3	GO Bond	\$35,000	35,000
UMF	Preble - thomas	Replace VCT flooring in first floor hallway of Preble and Ricker I	Space Renewal	Planning	3	Xfer from E&G	\$50,000	50,000
UMF	Franklin Hall 252 Main St	Building Envelope	Building Envelope	Planning	2	Xfer from E&G	\$70,000	70,000

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FY22 Capital Plan - All Funds

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated Pr	FY22 Budget
UMF	Purinton hall	Pave the through way and parking areas at Purinton hall	Grounds Infrastructure	Planning	3	Xfer from E&G	\$75,000	75,000
UMF	Lincoln St - 125 Honors ctr	Remove Honors Center building/125 Lincoln St.	Demolition	Planning	2	Strategic Initiative	\$75,000	75,000
UMF	Brinkman Hse, Main St-228	Remove Brinkman House/228 Main st.	Demolition	Planning	2	Strategic Initiative	\$100,000	100,000
UMF	Mantor Library	Renovation of the 2nd floor of the library for new meeting and	Space Renewal	Planning	3	GO Bond	\$150,000	100,000
UMF	Ricker Hall 169 High St	Building Envelope	Building Envelope	Planning	2	Xfer from E&G	\$107,000	107,000
UMF	OLSEN STUDENT CENTER	Extensive renovation of and minor addition as identified with t	Renovation	Planning	3	GO Bond	\$335,000	125,000
UMF	Scot Hall North 245 Main St	Building Envelope	Building Envelope	Planning	2	Xfer from AUX	\$133,650	133,650
UMF	Stone hall	Abatement and new flooring install in all the residential rooms	Space Renewal	Planning	3	GO Bond	\$140,000	140,000
UMF	Roberts Learning Center	Upgrade to some of the building HVAC controls and VAV drives	Building Systems	Planning	1	GO Bond	\$150,000	150,000
UMF	MERRILL HALL-UMF	Install BAS and Heat pumps through out building	Building Systems	Planning	1	GO Bond	\$400,000	270,000
UMF	Scott Hall- West 245 Main St	Window replacement	Building Envelope	Planning	2	GO Bond	\$135,000	135,000
UMF	FRC 152 Quebec street	Replacement of the siding on the FRC that the brick veneer is s	Building Envelope	Planning	2	GO Bond	\$500,000	500,000
UMF	FRC 152 Quebec street	Replacement of the Rubber membrane on the roof of the Fitne	Building Envelope	Planning	2	GO Bond	\$700,000	700,000
UMF	New Residence Hall	P3 Residential UMF	New Space	Planning	3	P3	\$27,900,000	14,000,000
UMFK	St. David House, 35 Pleasant St.	Remove St. David House	Demolition	Planning	2	Strategic Initiative	\$50,000	50,000
UMFK	Cyr House, 37 Pleasant St.	Remove Cyr House	Demolition	Planning	2	Strategic Initiative	\$95,000	95,000
UMFK	SPORTS CENTER	floor, ceiling, bleachers	Renovation	Planning	3	Xfer from E&G	\$337,842	337,842
UMM	SENNETT HALL	EPDM Roof Replacement	Building Envelope	Planning	2	TBD	\$25,000	25,000
UMM		Building Energy Management System	Building Systems	Planning	1	TBD	\$100,000	32,000
UMM	University of Maine at Machias	UMM Campus AUX Various Projects		Planning	#N/A	TBD	\$65,465	15,825
UMM	REYNOLDS HEALTH CENTER	GYM HVAC Engineering to replace AHU's and Design a Sound D Renovation		Planning	3	TBD	\$250,000	250,000
UMM		Rebuild Soccer Field with Crown, Proper drainage, Score Board	Space Renewal	Planning	3	TBD	\$750,000	250,000
UMM	POWERS HALL	Replace/Upgrade Fire Alarm System (Existing system no longer	Safety / Code	Planning	1	TBD	\$270,000	270,000
UMM	REYNOLDS HEALTH CENTER	Replace Gym Floor	Renovation	Planning	3	TBD	\$405,343	405,343
UMM		Campus Wide Security Camera System Installation Grounds anc	Safety / Code	Planning	1	TBD	\$500,000	500,000
UMM	POWERS HALL	Window Upgrade	Renovation	Planning	3	TBD	\$800,000	400,000
UMM		Build New Parking Lot (400 parking spaces)	Other	Planning	0	TBD	\$828,000	828,000
UMPI	Multiple	Campus Access Control	Safety / Code	Planning	1	Xfer from E&G	\$25,000	25,000
UMPI		Access Control	Safety / Code	Planning	1	Xfer from AUX	\$25,520	25,520
UMPI	Mutiple	Building Automation	Building Systems	Planning	1	Xfer from E&G	\$38,272	38,272
UMPI	MERRIMAN HALL	Merriman Kitchen and Lobby Renovation	Renovation	Planning	3	Xfer from AUX	\$40,000	40,000
UMPI		Building Automation-Multiple	Building Systems	Planning	1	Xfer from AUX	\$45,000	45,000
UMPI		Paving improvment to roads and parking lots	Grounds Infrastructure	Planning	3	Xfer from E&G	\$162,758	75,000
UMPI	CAMPUS CENTER-PI	Campus Center Boiler Replacement	Building Systems	Planning	1	Xfer from E&G	\$100,000	100,000
UMPI		Solar array to replace lost wind turbine electricity generation	Utility Infrastructure	In-Progress	1	Xfer from E&G Re	\$700,000	542,118
UMPI	New Residence Hall	P3 Residential UMPI	New Space	Planning	3	P3	\$12,600,000	6,600,000
USM	SCHOOL ST-062	62 School Street Demolition	Demolition	Planning	2	Strategic Initiative	\$30,000	30,000
USM	GLICKMAN FAMILY LIBRARY	Replace boiler in Glickman Library	Building Systems	Planning	1	Xfer from E&G	\$30,000	30,000
USM	SCIENCE BLDG, PTLD	Replace boiler in Science Building	Building Systems	Planning	1	Xfer from E&G	\$30,000	30,000
USM	DEERING AVE-222	Demolition of 222 Deering Ave	Demolition	Planning	2	Strategic Initiative	\$50,000	50,000
USM	COLLEGE AVE-019	19 College Ave Demolition	Demolition	Planning	2	Strategic Initiative	\$75,000	75,000
USM	COLLEGE AVE-007	Demolition of 7 College Ave	Demolition	Planning	2	Strategic Initiative	\$100,000	100,000
USM	Russell Hall	Repairs to Russell Hall Envelope and roof	Building Envelope	Planning	2	Xfer from E&G	\$114,364	114,364
USM		Construction of Grounds Maintenance Garage/Salt Shed	New Space	In-Progress	3	Other	\$485,000	185,000
USM		Construction of Grounds Maintenance Garage/Salt Shed	New Space	In-Progress	3	Xfer from E&G	\$485,000	215,000
USM	ROBIE-ANDREWS HALL	Upgrade to Robie Andrews infrastructure and Fixtures	Building Systems	Planning	1	Xfer from AUX	\$282,330	282,330
USM	STEAM DISTRIBUTION SYSTEM	Repair to underground utility system on the Portland campus	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$575,000	50,000
USM	Russell Hall	Repairs to Russell Hall Envelope and roof	Building Envelope	Planning	2	Other	\$315,636	315,636
USM	HOT WATER DISTRIBUTION SYSTEM, HW SUPPLY/R	Repair to underground utility system on the Gorham campus	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$725,000	50,000
USM	FIBER & COPPER TELEPHONE & TELEVISION LINES, (Replacement of IT infrastructure between Sullivan/CHP and Sci	Utility Infrastructure	Planning	1	Xfer from E&G	\$420,000	420,000
USM	STEAM DISTRIBUTION SYSTEM	Replacement of Steam Line in Portland between CHP and Pays	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$585,000	585,000

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FY22 Capital Plan - All Funds

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated Pr	FY22 Budget
USM	BAILEY HALL	Installation of Fire Alarm and Sprinkler System in Bailey Hall	Safety / Code	In-Progress	1	Xfer from E&G	\$2,478,500	1,000,000
USM	STUDENT SUCCESS AND CAREER DEVELOPMENT CE	New Student Success and Career Services Center on the Portlar	New Space	In-Progress	3	Fundraising	\$7,551,263	3,551,263
USM	STUDENT SUCCESS AND CAREER DEVELOPMENT CE	New Student Success and Career Services Center on the Portlar	New Space	Planning	3	GO Bond	\$19,000,000	14,839,902
USM	CENTER FOR THE ARTS	Construct the Center for the Arts on the Portland Campus	New Space	Planning	3	Fundraising	\$30,000,000	2,200,000
USM	NEW STUDENT DORM-PORTLAND	Construction of new student housing in Portland	New Space	In-Progress	3	Revenue Bond	\$72,000,000	23,000,000
USM	PROFESSIONAL GRADUATE CENTER	Construction of the new Professional Graduate Center in Portla	New Space	Planning	3	Fundraising	\$70,000,000	\$ 970,000
							\$675,954,613	114,210,226

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FY22 Five Year Capital Plan - All Funds UMFK

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UMFK	Blake Library	Renovate bathrooms and common areas.	Renovation	Planning	3	Xfer from E&G	\$ 25,000					\$ 25,000	\$ 25,000
UMFK	CROCKER HALL	Finish replacing all windows and exterior doors	Building Envelope	In-Progress	2	Xfer from E&G	\$ 103,215		\$ 30,000				\$ 30,000
UMFK	Fox	Fox - other renovation/updates	Renovation	Planning	3	Xfer from E&G	\$ 50,000					\$ 50,000	\$ 50,000
UMFK		Central computerized energy management system expansion.	Building Systems	Planning	1	Xfer from E&G	\$ 60,000				\$ 60,000		\$ 60,000
UMFK	OLD MODEL SCHOOL	Upgrade building envelope and systems and improve the learn	Renovation	Planning	3	Xfer from E&G	\$ 60,000		\$ 60,000				\$ 60,000
UMFK	VIOLETTE WILDERNESS CAMP	Level & repair exterior envelope	Building Envelope	Planning	2	Xfer from E&G	\$ 75,000		\$ 75,000				\$ 75,000
UMFK	CYR HALL	Replace windows in Old Cyr, doors, and upgrade HVAC.	Building Envelope	Planning	2	Xfer from E&G	\$ 305,000				\$ 100,000		\$ 100,000
UMFK	SPORTS CENTER	Sports Center Renovation	Renovation	Planning	3	Xfer from E&G	\$ 105,000					\$ 105,000	\$ 105,000
UMFK	CROCKER HALL	Renovation and upgrade of bathroom and common areas.	Space Renewal	Planning	3	Xfer from E&G	\$ 150,000		\$ 51,423	\$ 68,577			\$ 120,000
UMFK	Blake Library	Exterior envelope upgrades	Building Envelope	Planning	2	Xfer from E&G	\$ 125,000					\$ 125,000	\$ 125,000
UMFK	POWELL HALL	Renovation and upgrade of bathrooms, common areas, reside	Space Renewal	Planning	3	Xfer from E&G	\$ 140,000		\$ 100,000	\$ 40,000			\$ 140,000
UMFK	The Lodge	add/alter/repair exterior, improve grounds, update interior	Renovation	Planning	3	Xfer from E&G	\$ 150,000		\$ 100,000	\$ 50,000			\$ 150,000
UMFK	Cyr Hall	Cyr Hall renovations	Renovation	Planning	3	Xfer from E&G	\$ 150,000				\$ 150,000		\$ 150,000
UMFK	NOWLAND HALL	Replace windows, doors, and update HVAC and interior condit	Renovation	Planning	3	Xfer from E&G	\$ 151,597		\$ 30,000	\$ 29,231	\$ 92,366		\$ 151,597
UMFK	CROCKER HALL	repair/replace roofs	Building Envelope	Planning	2	Xfer from E&G	\$ 250,000			\$ 100,000		\$ 125,532	\$ 225,532
UMFK	St. David House, 35 Pleasant St.	Remove St. David House	Demolition	Planning	2	Strategic Initiative	\$ 50,000	\$ 50,000					\$ 50,000
UMFK	Cyr House, 37 Pleasant St.	Remove Cyr House	Demolition	Planning	2	Strategic Initiative	\$ 95,000	\$ 95,000					\$ 95,000
UMFK	SPORTS CENTER	floor, ceiling, bleachers	Renovation	Planning	3	Xfer from E&G	\$ 337,842	\$ 337,842					\$ 337,842
							\$ 2,382,654	\$ 482,842	\$ 356,423	\$ 377,808	\$ 402,366	\$ 430,532	\$ 2,049,971

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FY22 Five Year Capital Plan - All Funds
UMPI

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UMPI		Kiln Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 5,645					\$ 5,645	\$ 5,645
UMPI		Smith House Boiler	Building Systems	Planning	1	Xfer from E&G	\$ 8,000					\$ 8,000	\$ 8,000
UMPI		South Hall Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 20,000			\$ 20,000			\$ 20,000
UMPI		South Hall Fire Alarm Panel	Safety / Code	Planning	1	Xfer from E&G	\$ 21,460			\$ 21,460			\$ 21,460
UMPI		Kelley Commons Boiler II	Building Systems	Planning	1	TBD	\$ 26,405			\$ 26,405			\$ 26,405
UMPI		Smith House Paving	Grounds Infrastructure	Planning	3	TBD	\$ 30,000		\$ 30,000				\$ 30,000
UMPI		Facilities Support Boiler	Building Systems	Planning	1	Xfer from E&G	\$ 30,000			\$ 30,000			\$ 30,000
UMPI		Kelley Commons Boiler	Building Systems	Planning	1	TBD	\$ 33,401		\$ 33,401				\$ 33,401
UMPI		Library Fire Alarm Panel	Safety / Code	Planning	1	Xfer from E&G	\$ 40,000					\$ 40,000	\$ 40,000
UMPI		Facilities Support Building Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 42,000		\$ 42,000				\$ 42,000
UMPI		Folsom Hall Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 45,000		\$ 45,000				\$ 45,000
UMPI		Campus Center Fire Alarm Panel	Safety / Code	Planning	1	Xfer from E&G	\$ 45,000			\$ 45,000			\$ 45,000
UMPI	Coal Storage	Coal Storage building demolition	Demolition	Planning	2	Strategic Initiative	\$ 50,000		\$ 50,000				\$ 50,000
UMPI		Campus Center Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 50,000		\$ 50,000				\$ 50,000
UMPI		CIL Parking Lot Addition	Grounds Infrastructure	Planning	3	TBD	\$ 50,000			\$ 50,000			\$ 50,000
UMPI		South Walkway Paving	Grounds Infrastructure	Planning	3	TBD	\$ 50,000				\$ 50,000		\$ 50,000
UMPI		North Walkway Paving	Grounds Infrastructure	Planning	3	TBD	\$ 50,000			\$ 50,000			\$ 50,000
UMPI		Emerson Hall Fire Alarm Panel	Safety / Code	Planning	1	Xfer from AUX	\$ 56,629				\$ 56,629		\$ 56,629
UMPI		Preble Hall Fire Alarm Panel	Safety / Code	Planning	1	TBD	\$ 60,000					\$ 60,000	\$ 60,000
UMPI		Emerson Hall Boiler	Building Systems	Planning	1	Xfer from AUX	\$ 60,488					\$ 60,488	\$ 60,488
UMPI		Preble Hall Boiler	Building Systems	Planning	1	TBD	\$ 75,000					\$ 75,000	\$ 75,000
UMPI		STR Roof	Building Envelope	Planning	2	Xfer from AUX	\$ 75,000				\$ 75,000		\$ 75,000
UMPI		Emerson Hall Roof	Building Envelope	Planning	2	Xfer from AUX	\$ 80,000					\$ 80,000	\$ 80,000
UMPI	Vehicle Storage Building	Vehicle Storage Building demolition	Demolition	Planning	2	Strategic Initiative	\$ 100,000		\$ 100,000				\$ 100,000
UMPI		STR Oil Tank	Utility Infrastructure	Planning	1	TBD	\$ 100,000		\$ 100,000				\$ 100,000
UMPI		SAD1 Oil Tank	Utility Infrastructure	Planning	1	TBD	\$ 100,000			\$ 100,000			\$ 100,000
UMPI		CIL Lot Paving	Grounds Infrastructure	Planning	3	TBD	\$ 100,000					\$ 100,000	\$ 100,000
UMPI		Emerson Hall Oil Tank	Utility Infrastructure	Planning	1	TBD	\$ 105,000			\$ 105,000			\$ 105,000
UMPI		South Hall Oil Tank	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 110,000					\$ 110,000	\$ 110,000
UMPI		Merriman Hall Oil Tank	Utility Infrastructure	Planning	1	TBD	\$ 110,000					\$ 110,000	\$ 110,000
UMPI		Wieden Hall Boiler	Building Systems	Planning	1	Xfer from E&G	\$ 114,377		\$ 114,377				\$ 114,377
UMPI		Kelley Commons Boiler	Building Systems	Planning	1	Xfer from AUX	\$ 116,599		\$ 116,599				\$ 116,599
UMPI		Kelley Commons Boiler II	Building Systems	Planning	1	Xfer from AUX	\$ 123,595			\$ 123,595			\$ 123,595
UMPI		Library Elevator	Safety / Code	Planning	1	Xfer from E&G	\$ 133,780				\$ 133,780		\$ 133,780
UMPI		South Hall Elevator	Safety / Code	Planning	1	Xfer from E&G	\$ 140,000					\$ 140,000	\$ 140,000
UMPI		Kelley Commons Elevator	Safety / Code	Planning	1	TBD	\$ 150,000		\$ 150,000				\$ 150,000
UMPI		Normal Hall Oil Tank	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 150,000				\$ 150,000		\$ 150,000
UMPI		Wieden Hall Oil Tank	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 150,000			\$ 150,000			\$ 150,000
UMPI		Kelley Commons Oil Tank	Utility Infrastructure	Planning	1	TBD	\$ 150,000				\$ 150,000		\$ 150,000
UMPI		North Lot Paving	Grounds Infrastructure	Planning	3	TBD	\$ 150,000			\$ 150,000			\$ 150,000
UMPI	Merriman Hall	Merriman Hall demolition	Demolition	Planning	2	TBD	\$ 488,300		\$ 488,300				\$ 488,300
UMPI	Multiple	Campus Access Control	Safety / Code	Planning	1	Xfer from E&G	\$ 25,000	\$ 25,000					\$ 25,000
UMPI		Access Control	Safety / Code	Planning	1	Xfer from AUX	\$ 25,520	\$ 25,520					\$ 25,520
UMPI	Multiple	Building Automation	Building Systems	Planning	1	Xfer from E&G	\$ 38,272	\$ 38,272					\$ 38,272
UMPI	MERRIMAN HALL	Merriman Kitchen and Lobby Renovation	Renovation	Planning	3	Xfer from AUX	\$ 40,000	\$ 40,000					\$ 40,000
UMPI	Park Hall	Park Hall demolition	Demolition	Planning	2	TBD	\$ 653,700			\$ 653,700			\$ 653,700
UMPI		Building Automation-Multiple	Building Systems	Planning	1	Xfer from AUX	\$ 45,000	\$ 45,000					\$ 45,000
UMPI		Paving improvement to roads and parking lots	Grounds Infrastructure	Planning	3	Xfer from E&G	\$ 162,758	\$ 75,000					\$ 75,000
UMPI	CAMPUS CENTER-PI	Campus Center Boiler Replacement	Building Systems	Planning	1	Xfer from E&G	\$ 100,000	\$ 100,000					\$ 100,000
UMPI		Solar array to replace lost wind turbine electricity generation	Utility Infrastructure	In-Progress	1	Xfer from E&G Res	\$ 700,000	\$ 542,118					\$ 542,118
UMPI	New Residence Hall	P3 Residential UMPI	New Space	Planning	3	P3	\$ 12,600,000	\$ 6,600,000	\$ 6,000,000				\$ 12,600,000
UMPI	Normal Hall	Normal Hall Demolition	Demolition	Planning	2	Strategic Initiative	\$ 1,500,000				\$ 1,500,000		\$ 1,500,000
							\$ 19,485,929	\$ 7,490,910	\$ 7,319,677	\$ 1,525,160	\$ 2,115,409	\$ 789,133	\$ 19,240,289

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FY22 Five Year Capital Plan - All Funds
UMM

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UMM	SCIENCE BLDG-MACHIAS	Building Control Points	Other	In-Progress	0	TBD	\$ 10,000			\$ 10,000			\$ 10,000
UMM	University of Maine at Machias	UMM Campus Various Projects		Planning	#N/A	Xfer from E&G	\$ 61,407	\$ -	\$ 12,916	\$ 13,756			\$ 26,672
UMM	SCIENCE BLDG-MACHIAS	Install wireless Lock down System in all Classrooms	Safety / Code	Planning	1	TBD	\$ 40,000		\$ 40,000				\$ 40,000
UMM	TORREY HALL-MERRILL LIBRARY	Install wireless Lock down System in all Classrooms	Safety / Code	Planning	1	TBD	\$ 40,000		\$ 40,000				\$ 40,000
UMM	DORWARD HALL	Install Fire Sprinkler System in the Attic of C-Wing	Safety / Code	Planning	1	TBD	\$ 43,000				\$ 43,000		\$ 43,000
UMM	SENNETT HALL	Roof - install new EPDM on B-Wing	Building Envelope	Planning	2	TBD	\$ 100,000			\$ 100,000			\$ 100,000
UMM	DORWARD HALL	Remove existing shingles roof and install new ice and water sh	Building Envelope	Planning	2	TBD	\$ 125,000			\$ 125,000			\$ 125,000
UMM	POWERS HALL	Install Window treatment in Classrooms and Offices	Other	Planning	0	TBD	\$ 141,000			\$ 141,000			\$ 141,000
UMM		Create Trails and Signage to support Classroom Studies and th	Safety / Code	Planning	1	TBD	\$ 300,000					\$ 150,000	\$ 150,000
UMM	SENNETT HALL	Replace Insulated Wall Sections Between Student Rooms	Building Envelope	Planning	2	TBD	\$ 150,000			\$ 150,000			\$ 150,000
UMM		Walkways, Roadways, Parking, Paving	Safety / Code	Planning	1	TBD	\$ 600,000					\$ 180,000	\$ 180,000
UMM	TORREY HALL-MERRILL LIBRARY	Repair masonry and Replace Expansion joints	Building Envelope	Planning	2	TBD	\$ 200,000			\$ 100,000	\$ 100,000		\$ 200,000
UMM		Master Plan	Grounds Infrastructure	3	TBD		\$ 200,000	\$ 200,000					\$ 200,000
UMM	TORREY HALL-MERRILL LIBRARY	Window Replacement	Building Envelope	Planning	2	TBD	\$ 260,000			\$ 260,000			\$ 260,000
UMM	REYNOLDS HEALTH CENTER	Install sprinkler in all locations of the building. (1/8 of the build	Safety / Code	Planning	1	TBD	\$ 267,300					\$ 267,300	\$ 267,300
UMM	SCIENCE BLDG-MACHIAS	Install Fire Sprinkler System in the building. (Has no Fire Sprink	Safety / Code	Planning	1	TBD	\$ 300,000					\$ 300,000	\$ 300,000
UMM	POWERS HALL	Upgrade existing Heating Unit to HVAC Roof Top Unit with Nat	Building Systems	Planning	1	TBD	\$ 300,000				\$ 300,000		\$ 300,000
UMM	SENNETT HALL	EPDM Roof Replacement	Building Envelope	Planning	2	TBD	\$ 25,000	\$ 25,000					\$ 25,000
UMM		Create and Modify existing roadway to create a roadway arou	Safety / Code	Planning	1	TBD	\$ 700,000					\$ 350,000	\$ 350,000
UMM		Building Energy Management System	Building Systems	Planning	1	TBD	\$ 100,000	\$ 32,000					\$ 32,000
UMM	University of Maine at Machias	UMM Campus AUX Various Projects		Planning	#N/A	TBD	\$ 65,465	\$ 15,825	\$ 16,775	\$ 17,865			\$ 50,465
UMM	REYNOLDS HEALTH CENTER	GYM HVAC Engineering to replace AHU's and Design a Sound E	Renovation	Planning	3	TBD	\$ 250,000	\$ 250,000					\$ 250,000
UMM		Rebuild Soccer Field with Crown, Proper drainage, Score Boar	Space Renewal	Planning	3	TBD	\$ 750,000	\$ 250,000					\$ 250,000
UMM	POWERS HALL	Replace/Upgrade Fire Alarm System (Existing system no longer	Safety / Code	Planning	1	TBD	\$ 270,000	\$ 270,000					\$ 270,000
UMM	REYNOLDS HEALTH CENTER	Replace Gym Floor	Renovation	Planning	3	TBD	\$ 405,343	\$ 405,343					\$ 405,343
UMM		Campus Wide Security Camera System Installation Grounds an	Safety / Code	Planning	1	TBD	\$ 500,000	\$ 500,000					\$ 500,000
UMM	POWERS HALL	Window Upgrade	Renovation	Planning	3	TBD	\$ 800,000	\$ 400,000	\$ 400,000				\$ 800,000
UMM		Build New Parking Lot (400 parking spaces)	Other	Planning	0	TBD	\$ 828,000	\$ 828,000					\$ 828,000
UMM	SENNETT HALL	Refurbish Student Areas	Renovation	Planning	3	TBD	\$ 600,000		\$ 600,000				\$ 600,000
UMM		Existing facility renovation and other year 6-10 priorities.	Renovation	Planning	3	TBD	\$ 1,870,000			\$ 200,000	\$ 470,000	\$ 260,000	\$ 930,000
UMM	POWERS HALL	Internal Classrooms and Office Upgrades Plus Basement	Renovation	Planning	3	TBD	\$ 1,000,000		\$ 900,000				\$ 1,000,000
UMM		Existing facility renovation and other year 6-10 priorities.	Renovation	Planning	3	TBD	\$ 2,746,780			\$ 24,999	\$ 400,000	\$ 710,000	\$ 1,134,999
							\$ 14,048,295	\$ 2,976,168	\$ 2,209,691	\$ 992,620	\$ 1,463,000	\$ 2,317,300	\$ 9,958,779

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FY22 Five Year Capital Plan - All Funds
UM

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UM	SHED-DEER PEN POWER	SHED-DEER PEN POWER Demolition	Demolition	Planning	2	Strategic Initiative	\$ 1,000	\$ 1,000					\$ 1,000
UM	DEER PEN GARAGE	DEER PEN GARAGE Demolition	Demolition	Planning	2	Strategic Initiative	\$ 2,940	\$ 2,940					\$ 2,940
UM	DMC Tractor Barn	DMC Tractor Barn demolition	Demolition	Planning	2	Xfer from E&G	\$ 4,000	\$ 4,000					\$ 4,000
UM	RF-STORAGE SHED 4	Rogers Farm Storage Shed 4 Demolition	Demolition	Planning	2	Strategic Initiative	\$ 4,900	\$ 4,900					\$ 4,900
UM	HF-Hen House	HF-Hen House Demolition	Demolition	Planning	2	Strategic Initiative	\$ 5,000	\$ 5,000					\$ 5,000
UM	DMC McGuire Hall "Cow Barn"	DMC McGuire Hall "Cow Barn" demolition	Demolition	Planning	2	Strategic Initiative	\$ 15,000	\$ 15,000					\$ 15,000
UM	DMC Carpentry Shop	DMC Carpentry Shop demolition	Demolition	Planning	2	Strategic Initiative	\$ 15,610	\$ 15,610					\$ 15,610
UM	TIRE CHIP FACILITY	TIRE CHIP FACILITY Demolition	Demolition	Planning	2	Strategic Initiative	\$ 16,170	\$ 16,170					\$ 16,170
UM	HF-Broiler Barn	HF-Broiler Barn Demolition	Demolition	Planning	2	Strategic Initiative	\$ 25,000	\$ 25,000					\$ 25,000
UM	HF-Brooder House	HF-Brooder House Demolition	Demolition	Planning	2	Strategic Initiative	\$ 25,000	\$ 25,000					\$ 25,000
UM	Aroostook Farm modernization	Replace 8-9 buildings on the Aroostook Farm campus with one	Space Renewal	Planning	3	Xfer from E&G	\$ 5,500,000	\$ 25,000					\$ 25,000
UM	POTATO HANDLING STORAGE	POTATO HANDLING STORAGE Demolition	Demolition	Planning	2	Strategic Initiative	\$ 32,000	\$ 32,000					\$ 32,000
UM	Roger Clapp greenhouse replacen	Replace the Roger Clapp greenhouse on UMaine campus with	Space Renewal	Planning	3	Xfer from E&G	\$ 50,000	\$ 50,000					\$ 50,000
UM	UNIVERSITY PARK Various Buildin	UNIVERSITY PARK Various Buildings Demolition (2 buildings)	Demolition	Planning	2	Strategic Initiative	\$ 51,000	\$ 51,000					\$ 51,000
UM	Rogers Farm Farmhouse	Rogers Farm Farmhouse Demolition	Demolition	Planning	2	Strategic Initiative	\$ 52,500	\$ 52,500					\$ 52,500
UM	BHF-FARMHOUSE	Blueberry Hill Farm-FARMHOUSE Demolition	Demolition	Planning	2	Strategic Initiative	\$ 63,000	\$ 63,000					\$ 63,000
UM		Electrical Distribution System Upgrades	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 170,000	\$ 70,000					\$ 70,000
UM	BARN-PATCH HOUSE	BARN-PATCH HOUSE Demolition	Demolition	Planning	2	Strategic Initiative	\$ 73,080	\$ 73,080					\$ 73,080
UM	Balantine	Replace the current wooden sash, double-hung, single-pane, w	Building Envelope	In-Progress	2	Xfer From AUX Re	\$ 202,000	\$ 99,593					\$ 99,593
UM	DMC Tractor Barn	DMC Tractor Barn demolition	Demolition	Planning	2	Strategic Initiative	\$ 104,000	\$ 104,000					\$ 104,000
UM	Hart hall	Replace corridor flooring	Renovation	Planning	3	Xfer from AUX	\$ 130,000	\$ 130,000					\$ 130,000
UM	ALFOND ARENA	Annual Alfond	Other	Planning	0	Xfer from E&G	\$ 485,000	\$ 48,500	\$ 48,500	\$ 48,500	\$ 48,500	\$ 48,500	\$ 242,500
UM	GENERAL	for painting and general cosmetic upkeep	Space Renewal	Planning	3	Xfer from AUX	\$ 60,000	\$ 60,000	\$ 60,000	\$ 60,000	\$ 60,000	\$ 6,000	\$ 246,000
UM	Life Sciences building	Construct new Life Sciences building	New Space	Planning	3	Xfer from E&G	\$ 250,000	\$ 250,000					\$ 250,000
UM	Green Engineering and Materials	GEM is a world-class research and educational facility that will	New Space	Planning	3	Xfer from E&G	\$ 250,000	\$ 250,000					\$ 250,000
UM	Pennobscot hall	replace Roof replacement	Building Envelope	Planning	2	Xfer from AUX	\$ 251,000	\$ 251,000					\$ 251,000
UM	VARIOUS BUILDINGS	Various classroom projects - per campus space committee	Other	Planning	0	Xfer from E&G	\$ 900,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 500,000
UM		Various classroom projects - per campus space committee	Other	Planning	0	Restricted Gifts	\$ 1,100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 500,000
UM	MEMORIAL GYM COMPLEX	Annual Memorial Gym	Other	Planning	0	Xfer from E&G	\$ 1,400,000	\$ 140,000	\$ 140,000	\$ 140,000	\$ 140,000	\$ 140,000	\$ 700,000
UM	STODDER HALL	Stodder Hall Repointing and Waterproofing	Building Envelope	Planning	2	TBD	\$ 50,000				\$ 50,000		\$ 50,000
UM	UMAINE CAMPUS	Annual Paving Maintenance - major projects	Grounds Infrastructure	Planning	3	Xfer from E&G Re	\$ 1,500,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 750,000
UM	Residence Hall	Renovate UMaine residence hall	Renovation	Planning	3	Xfer from AUX	\$ 983,564	\$ 983,564					\$ 983,564
UM	special projects	UMaine campus special projects		#N/A	Xfer from E&G	\$ 2,437,910	\$ 25,000	\$ 487,582	\$ 487,582				\$ 1,000,164
UM	NEVILLE HALL	Renovation of Neville Hall Lecture Halls and multiple classroom	Renovation	Planning	3	GO Bond	\$ 1,500,000	\$ 1,100,000					\$ 1,100,000
UM		New Engineering Building	New Space	In-Progress	3	Fundraising	\$ 22,300,000	\$ 7,067,784					\$ 7,067,784
UM	HAF-Match Athletics Capital upgr	Umaine athletics facilities master plan for capital improvemen	Space Renewal	In-Progress	3	Fundraising	\$ 20,000,000	\$ 500,000	\$ 1,500,000	\$ 1,500,000	\$ 3,333,333	\$ 3,333,333	\$ 10,166,666
UM		New Engineering Building	New Space	In-Progress	3	Other	\$ 43,000,000	\$ 14,329,131					\$ 14,329,131
UM	VARIOUS PROJECTS	Various Projects - Annual Funded Depreciation	Other	Planning	0	Xfer from E&G	\$ 26,872,877	\$ 3,612,636	\$ 3,237,087	\$ 3,453,998	\$ 2,700,000	\$ 2,800,000	\$ 15,803,721
UM	HAF Athletics Capital upgrades	Umaine athletics facilities master plan for capital improvemen	Space Renewal	In-Progress	3	HAF Grant	\$ 70,000,000	\$ 2,000,000	\$ 4,000,000	\$ 6,000,000	\$ 10,000,000	\$ 11,000,000	\$ 33,000,000
UM	HAF Maine College of Engineering	Renovation to UMaine Engineering buildings, Engineering pha	Space Renewal	In-Progress	3	HAF Grant	\$ 75,000,000	\$ 3,900,000	\$ 8,900,000	\$ 10,300,000	\$ 9,500,000	\$ 10,300,000	\$ 42,900,000
UM	HAF-Match Maine College of Engi	Renovation to UMaine Engineering buildings, Engineering pha	Space Renewal	In-Progress	3	Fundraising	\$ 10,285,000	\$ 1,000,000	\$ 11,000,000	\$ 13,500,000	\$ 13,500,000	\$ 11,000,000	\$ 50,000,000
UM		Improvements to Energy infrastructure	Utility Infrastructure	Planning	1	P3	\$ 132,000,000	\$ 250,000	\$ 2,000,000	\$ 18,000,000	\$ 50,000,000	\$ 30,000,000	\$ 100,250,000
UM	OXFORD HALL	Oxford Hall Renovations per AUX plan	Renovation	Planning	3	Xfer From AUX Re	\$ 200,000				\$ 100,000	\$ 100,000	\$ 200,000
UM	Gannet	Replace roof	Building Envelope	Planning	2	Xfer From AUX Re	\$ 350,000	\$ -	\$ 350,000	\$ -	\$ -		\$ 350,000
UM	ROGER CLAPP GREENHOUSE	Greenhouse upgrades per MTI/MTAF grant	Renovation	Planning	3	Grants	\$ 406,500		\$ 406,500				\$ 406,500
UM	OXFORD HALL	Install CAT 6 Ethernet cable in Oxford Hall	Building Systems	Planning	1	Xfer from AUX	\$ 407,000				\$ 200,000	\$ 207,000	\$ 407,000
UM	BALENTINE HALL	Balentine Hall Renovations per AUX plan	Building Systems	Planning	1	TBD	\$ 720,589				\$ 250,000	\$ 200,000	\$ 450,000
UM		Campus steam system study	Soft Costs	Planning	0	TBD	\$ 500,000		\$ 500,000				\$ 500,000
UM	LIBBY HALL	Libby Hall HVAC Re-commissioning	Building Systems	Planning	1	TBD	\$ 500,000			\$ 500,000			\$ 500,000
UM	Dining Commons	renovate dining hall servery	Renovation	Planning	3	Xfer from AUX	\$ 522,000			\$ 522,000			\$ 522,000
UM		Reconstruction of the Memorial Gym Parking Lot	Grounds Infrastructure	Deferred	3	TBD	\$ 1,000,000		\$ 1,000,000				\$ 1,000,000
UM	Residence Halls	Replacement of room locksets in UMaine residence halls	Building Systems	Planning	1	Xfer from AUX	\$ 1,859,130	\$ -	\$ 622,125	\$ 613,576			\$ 1,235,701
UM	BRYAND GLOBAL SCIENCES CENTI	Bryand Global HVAC Re-commissioning	Building Systems	Planning	1	TBD	\$ 1,250,000			\$ 600,000	\$ 650,000		\$ 1,250,000
UM	SAWYER ENV. RESEARCH BLDG	Sawyer Env. Sciences HVAC Re-Commissioning	Building Systems	Planning	1	TBD	\$ 1,250,000			\$ 650,000	\$ 600,000		\$ 1,250,000
UM	PRESIDENTS HSE-ORONO	Renovate President's House per Sightlines needs	Renovation	Deferred	3	TBD	\$ 1,408,040		\$ 1,408,040				\$ 1,408,040
UM	HEATING PLANT	Replace steam plant stack	Building Systems	Planning	1	TBD	\$ 1,500,000		\$ 750,000	\$ 750,000			\$ 1,500,000
UM	Residence Halls	Installation of WIFI in Residence Halls on UMaine Campus	Utility Infrastructure	In-Progress	1	Xfer from AUX	\$ 3,701,951		\$ 773,979	\$ 773,979			\$ 1,547,958

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UM

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UM	HITCHNER HALL	Renovation to multiple classrooms in Hitchner Hall	Renovation	Planning	3	TBD	\$ 2,127,292		\$ 500,000	\$ 500,000	\$ 1,127,292		\$ 2,127,292
UM	ROGER CLAPP GREENHOUSE	Replace/renovate Roger Clapp Greenhouses	Renovation	Planning	3	Grants	\$ 2,150,000			\$ 2,150,000			\$ 2,150,000
UM		Renovate TBD	Renovation	Planning	3	TBD	\$ 2,150,000		\$ 2,150,000				\$ 2,150,000
UM	HART HALL	Renovate Hancock Hall per Sightlines needs	Renovation	Planning	3	TBD	\$ 8,220,510					\$ 2,500,000	\$ 2,500,000
UM	MEMORIAL UNION	Renovate unfinished 4th Floor of Memorial Union	Renovation	Deferred	3	TBD	\$ 2,500,000				\$ 2,500,000		\$ 2,500,000
UM		S. Campus Steam Line Extension	Utility Infrastructure	Planning	1	TBD	\$ 2,500,000				\$ 2,000,000	\$ 500,000	\$ 2,500,000
UM		Steam line replacement in south campus - East and West legs	Utility Infrastructure	Planning	1	TBD	\$ 2,750,000		\$ 1,250,000	\$ 1,500,000			\$ 2,750,000
UM		Improvements to Lengyll Field	Grounds Infrastructure	Deferred	3	TBD	\$ 3,000,000			\$ 3,000,000			\$ 3,000,000
UM	MEMORIAL UNION	Memorial Union Patio Rebuild	Grounds Infrastructure	Planning	3	TBD	\$ 3,000,000		\$ 2,000,000	\$ 1,000,000			\$ 3,000,000
UM	SOMERSET HALL	Renovate Somerset Hall per Sightlines needs	Renovation	Deferred	3	TBD	\$ 6,689,353					\$ 3,344,676	\$ 3,344,676
UM	DEERING HALL	Renovation/improvements to multiple classrooms in Deering Hall	Renovation	Planning	3	TBD	\$ 3,500,000		\$ 500,000	\$ 2,500,000	\$ 500,000		\$ 3,500,000
UM	HEATING PLANT	Demolition of steam plant	Demolition	Planning	2	TBD	\$ 4,000,000				\$ 4,000,000		\$ 4,000,000
UM	BENNETT HALL	Renovate Lecture Hall 137 Bennett Hall	Renovation	Planning	3	TBD	\$ 4,000,000		\$ 500,000	\$ 1,500,000	\$ 2,000,000		\$ 4,000,000
UM		Renovations to various buildings on waterfront and upper campus	Renovation	Planning	3	TBD	\$ 4,000,000				\$ 4,000,000		\$ 4,000,000
UM	DEERING HALL	Complete gut renovation of Deering Hall in coordination with r	Renovation	Planning	3	TBD	\$ 12,000,000					\$ 5,000,000	\$ 5,000,000
UM	JENNESS HALL	Renovation of Jenness Hall	Renovation	Planning	3	TBD	\$ 5,000,000			\$ 1,850,000	\$ 3,150,000		\$ 5,000,000
UM	Aquaculture Research Center replacement	Replace existing Aquaculture Research Center with new facility	Space Renewal	Planning	3	TBD	\$ 5,000,000	\$ -	\$ 1,500,000	\$ 3,000,000	\$ 500,000		\$ 5,000,000
UM	Aroostook Farm modernization	Replace 8-9 buildings on the Aroostook Farm campus with one Space Renewal	Space Renewal	Planning	3	TBD	\$ 5,475,000		\$ 500,000	\$ 3,000,000	\$ 1,975,000		\$ 5,475,000
UM	CROSBY LAB	Renovation of Crosby Lab in coordination with new Engineering	Renovation	Planning	3	TBD	\$ 5,715,000		\$ 3,300,000	\$ 2,415,000			\$ 5,715,000
UM	HANCOCK HALL	Renovate Hancock Hall per Sightlines needs	Renovation	Planning	3	TBD	\$ 6,000,000				\$ 3,000,000	\$ 3,000,000	\$ 6,000,000
UM		Replace two existing sub stations with one new one.	Utility Infrastructure	Planning	1	TBD	\$ 6,500,000			\$ 1,000,000	\$ 3,000,000	\$ 2,500,000	\$ 6,500,000
UM	BARROWS HALL	Renovation of Original Barrows Hall in coordination with new	Renovation	Planning	3	TBD	\$ 15,000,000					\$ 7,500,000	\$ 7,500,000
UM	CUMBERLAND HALL	Renovate Cumberland Hall per Sightlines needs	Renovation	Deferred	3	TBD	\$ 7,887,029		\$ 3,943,514	\$ 3,943,515			\$ 7,887,029
UM	Roger Clapp greenhouse replacement	Replace the Roger Clapp greenhouse on UMaine campus with	Space Renewal	Planning	3	TBD	\$ 7,950,000		\$ 1,000,000	\$ 5,000,000	\$ 1,950,000		\$ 7,950,000
UM	CARNEGIE HALL	Renovate Carnegie Hall - Historic District Building	Renovation	Deferred	3	TBD	\$ 8,000,000		\$ 8,000,000				\$ 8,000,000
UM	COBURN HALL	Renovate Coburn Hall - Historic District Building	Renovation	Planning	3	P3	\$ 8,000,000		\$ 8,000,000				\$ 8,000,000
UM	HOLMES HALL	Renovate Holmes Hall - Historic District Building	Renovation	Planning	3	P3	\$ 8,000,000		\$ 8,000,000				\$ 8,000,000
UM	WINSLOW HALL	Winslow renovation	Renovation	Deferred	3	TBD	\$ 8,000,000		\$ 8,000,000				\$ 8,000,000
UM	LITTLE HALL	Significant renovation or demolition and replacement of Little	Other	Deferred	0	TBD	\$ 11,000,000		\$ 1,000,000	\$ 10,000,000			\$ 11,000,000
UM	YORK HALL	Renovate York Hall per Sightlines Needs	Renovation	Planning	3	TBD	\$ 12,075,763			\$ 5,466,000	\$ 6,609,763		\$ 12,075,763
UM	BOARDMAN HALL	Renovation of Boardman Hall in coordination with New Engine	Renovation	Planning	3	TBD	\$ 14,000,000		\$ 2,000,000	\$ 6,000,000	\$ 6,000,000		\$ 14,000,000
UM		Various Improvements to Roads/Landscape/Sidewalks/Lighting	Grounds Infrastructure	Planning	3	TBD	\$ 41,520,000		\$ 5,190,000	\$ 5,190,000	\$ 5,190,000	\$ 5,190,000	\$ 20,760,000
UM	Life Sciences building	Construct new Life Sciences building	New Space	Planning	3	TBD	\$ 59,750,000		\$ 5,000,000	\$ 20,000,000	\$ 20,000,000	\$ 14,750,000	\$ 59,750,000
UM	Green Engineering and Materials	GEM is a world-class research and educational facility that will	New Space	Planning	3	TBD	\$ 69,750,000		\$ 5,000,000	\$ 20,000,000	\$ 30,000,000	\$ 14,750,000	\$ 69,750,000
							\$ 799,952,708	\$ 36,982,408	\$ 104,867,327	\$ 157,264,150	\$ 188,983,888	\$ 128,519,509	\$ 616,617,282

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UMA

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UMA	FARMHOUSE-UMA	Replace roof on Farmhouse	Building Envelope	Planning	2	Xfer from E&G	\$ 42,482				\$ 42,482		\$ 42,482
UMA	FARMHOUSE-UMA	Replace Boiler in Farmhouse	Building Systems	Planning	1	Xfer from E&G	\$ 50,000				\$ 50,000		\$ 50,000
UMA		NFPA Life Safety	Safety / Code	Planning	1	Xfer from E&G	\$ 75,000		\$ 75,000				\$ 75,000
UMA	Main st 246, Admissions	Install Mechanical ventilation in the building	Building Systems	Planning	1	Xfer from E&G	\$ 80,000			\$ 80,000			\$ 80,000
UMA		Fitness Center HVAC upgrades	Building Systems	Planning	1	Xfer from E&G	\$ 95,590					\$ 95,590	\$ 95,590
UMA	HANDLEY HALL-WATER STREET-3: Replace HVACSystem		Utility Infrastructure	In-Progress	1	GO Bond	\$ 52,866	\$ 26,433					\$ 26,433
UMA	Stoddard House	UMA Stoddard House demolition	Demolition	Planning	2	Strategic Initiative	\$ 100,000	\$ 100,000					\$ 100,000
UMA	Katz Library	Katz Library HVAC Repairs	Building Systems	In-Progress	1	GO Bond	\$ 349,709	\$ 349,709					\$ 349,709
UMA	Landscaping	Landscaping	Other	Planning	0	Xfer from E&G	\$ 50,000	\$ 50,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 450,000
UMA	Bangor Campus Walkways	Install new and resurface existing walks	Grounds Infrastructure	In-Progress	3	Xfer from E&G	\$ 800,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 500,000
UMA		Camden Hall EFIS	Building Envelope	Planning	2	Xfer from E&G	\$ 100,000				\$ 100,000		\$ 100,000
UMA	HANDLEY HALL-WATER STREET-3: Replace HVACSystem		Utility Infrastructure	In-Progress	1	Xfer from E&G	\$ 1,078,844	\$ 507,320	\$ 250,000	\$ 321,524			\$ 1,078,844
UMA	Katz Library	Katz Library HVAC Repairs	Building Systems	In-Progress	1	Xfer from E&G	\$ 1,769,700	\$ 250,291	\$ 169,409	\$ 350,000	\$ 500,000	\$ 500,000	\$ 1,769,700
UMA		Paving and sidewalk repairs	Grounds Infrastructure	Planning	3	Xfer from E&G	\$ 150,000					\$ 150,000	\$ 150,000
UMA		Roof Replacement	Building Envelope	Planning	2	Xfer from E&G	\$ 400,000		\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 400,000
							\$ 5,194,191	\$ 1,383,753	\$ 794,409	\$ 1,051,524	\$ 992,482	\$ 1,045,590	\$ 5,267,758

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UMF

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
UMF	Preble-Thomas hall	Repair concrete steps that are beginning to fail	Building Envelope	Planning	2	Xfer from E&G	\$ 6,000		\$ 6,000				\$ 6,000
UMF	Franklin Hall, Main st 252	Paint exterior of Franklin hall to include trim and any wood sid	Building Envelope	Planning	2	Xfer from E&G	\$ 8,000				\$ 8,000		\$ 8,000
UMF	Mantor Library	Paint the exterior trim and windows at Mantor Library	Building Envelope	Planning	2	Xfer from E&G	\$ 9,000		\$ 9,000				\$ 9,000
UMF	Preble Hall	Building Envelope, roof replacement	Building Envelope	Planning	2	TBD	\$ 105,800			\$ 10,800			\$ 10,800
UMF	FEERO Alumni House, 242 Main S	FEERO Alumni House, 242 Main Street Garage demolition	Demolition	Planning	2	Strategic Initiative	\$ 15,000		\$ 15,000				\$ 15,000
UMF	Dakin Hall	Replace connector roof between Lockwood and Dakin	Building Envelope	Planning	2	TBD	\$ 20,000		\$ 20,000				\$ 20,000
UMF	Mantor Library	Renovation of the Mantor restrooms to include ADA code updi	Space Renewal	Planning	3	Xfer from E&G	\$ 22,000				\$ 22,000		\$ 22,000
UMF	Merrill hall	Repair leaks and cracks in Merrill hall foundation	Building Envelope	Planning	2	Xfer from E&G	\$ 28,000		\$ 28,000				\$ 28,000
UMF	Main st-242, Ferro Alumni HSE	Replace wood framed windows in the Ferro house	Building Envelope	Planning	2	Xfer from E&G	\$ 29,000		\$ 29,000				\$ 29,000
UMF	Main st-238, look house	Replace wooden framed windows in the building	Building Envelope	Planning	2	Xfer from E&G	\$ 30,000		\$ 30,000				\$ 30,000
UMF	Alumni Theater	Replacement of aged wood window in Alumni Theater	Building Envelope	Planning	2	Xfer from E&G	\$ 45,000		\$ 45,000				\$ 45,000
UMF	FRC 152 Quebec St	Space Renewal	Space Renewal	Planning	3	Xfer from E&G	\$ 45,000			\$ 45,000			\$ 45,000
UMF	Scott North	Install fire doors in Scott North residential rooms and also in th	Safety / Code	Planning	1	Xfer from AUX	\$ 52,000		\$ 52,000				\$ 52,000
UMF	Main st-238 Look house	Install mechanical ventilation in the look house office area	Building Systems	Planning	1	Xfer from E&G	\$ 60,000					\$ 60,000	\$ 60,000
UMF	Franklin Hall, Main st-252	Repair foundation that is leaking water in to the basement of t	Building Envelope	Planning	2	Xfer from E&G	\$ 60,000				\$ 60,000		\$ 60,000
UMF	Mallett hall	Install fire doors in Mallett hall residential rooms and also the	Safety / Code	Planning	1	Xfer from AUX	\$ 65,000				\$ 65,000		\$ 65,000
UMF	Scott Hall North	Renovate the restrooms in the lower level of Scott North	Renovation	Planning	3	Xfer from AUX	\$ 65,000				\$ 65,000		\$ 65,000
UMF	Main st-238, Look House	Install mechanical ventilation in office areas	Building Systems	Planning	1	Xfer from E&G	\$ 75,000				\$ 75,000		\$ 75,000
UMF	Purinton Hall	Replace EPDM roofing at Purinton hall	Building Envelope	Planning	2	Xfer from AUX	\$ 80,000		\$ 80,000				\$ 80,000
UMF	Merrill Hall	Upgrade the Merrill hall elevator controls and also replace the	Building Systems	Planning	1	Xfer from E&G	\$ 80,000		\$ 80,000				\$ 80,000
UMF	101 South Street; 042	101 South Street demolition	Demolition	Planning	2	Strategic Initiative	\$ 100,000		\$ 100,000				\$ 100,000
UMF	Central Heat Plant	Maintenance and repairs to the Central Heat plant boiler	Building Systems	Planning	1	TBD	\$ 100,000					\$ 100,000	\$ 100,000
UMF	Scott hall South	Apply epoxy coating to existing showers in Scott South	Space Renewal	Planning	3	GO Bond	\$ 35,000	\$ 35,000					\$ 35,000
UMF	Scott Hall North	Apply epoxy coating to the existing showers	Space Renewal	Planning	3	GO Bond	\$ 35,000	\$ 35,000					\$ 35,000
UMF	Scott Hall South	Replace aging wood framed windows	Building Envelope	Planning	2	Xfer from AUX	\$ 120,000			\$ 120,000			\$ 120,000
UMF	Preble - thomas	Replace VCT flooring in first floor hallway of Preble and Ricker	Space Renewal	Planning	3	Xfer from E&G	\$ 50,000	\$ 50,000					\$ 50,000
UMF	Purinton Hall	Install fire doors in the student rooms and also in the stairwell	Safety / Code	Planning	1	Xfer from AUX	\$ 125,000		\$ 125,000				\$ 125,000
UMF	Scott hall North	Replace all wooden framed windows in the Scott north dorm	Building Envelope	Planning	2	Xfer from AUX	\$ 125,000			\$ 125,000			\$ 125,000
UMF	Franklin Hall 252 Main St	Building Envelope	Building Envelope	Planning	2	Xfer from E&G	\$ 70,000	\$ 70,000					\$ 70,000
UMF	Preble-Thomas Hall	Replace the roof systems on Preble and Thomas hall	Building Envelope	Planning	2	Xfer from E&G	\$ 130,000				\$ 130,000		\$ 130,000
UMF	Franklin Hall	Replace the water main in the building to separate the domest	Building Systems	Planning	1	Xfer from E&G	\$ 130,000		\$ 130,000				\$ 130,000
UMF	Black Hall 126 Lincoln St	Building Envelope	Building Envelope	Planning	2	Xfer from AUX	\$ 131,000					\$ 131,000	\$ 131,000
UMF	Purinton hall	Pave the through way and parking areas at Purinton hall	Grounds Infrastruct	Planning	3	Xfer from E&G	\$ 75,000	\$ 75,000					\$ 75,000
UMF	Lincoln St - 125 Honors ctr	Remove Honors Center building/125 Lincoln St.	Demolition	Planning	2	Strategic Initiative	\$ 75,000	\$ 75,000					\$ 75,000
UMF	Brinkman Hse, Main St-228	Remove Brinkman House/228 Main st.	Demolition	Planning	2	Strategic Initiative	\$ 100,000	\$ 100,000					\$ 100,000
UMF	Mantor Library	Renovation of the 2nd floor of the library for new meeting and	Space Renewal	Planning	3	GO Bond	\$ 150,000	\$ 100,000					\$ 100,000
UMF	Purinton hall	Renovate bathrooms in Purinton hall	Building Systems	Planning	1	Xfer from AUX	\$ 195,000				\$ 195,000		\$ 195,000
UMF		Paving around campus in Parking residential parking lots	Grounds Infrastruct	Planning	3	Xfer from AUX	\$ 200,000		\$ 200,000				\$ 200,000
UMF	Ricker Hall 169 High St	Building Envelope	Building Envelope	Planning	2	Xfer from E&G	\$ 107,000	\$ 107,000					\$ 107,000
UMF	OLSEN STUDENT CENTER	Extensive renovation of and minor addition as identified with t	Renovation	Planning	3	GO Bond	\$ 335,000	\$ 125,000					\$ 125,000
UMF	Scoot Hall North 245 Main St	Building Envelope	Building Envelope	Planning	2	Xfer from AUX	\$ 133,650	\$ 133,650					\$ 133,650
UMF	Stone hall	Abatement and new flooring install in all the residential rooms	Space Renewal	Planning	3	GO Bond	\$ 140,000	\$ 140,000					\$ 140,000
UMF	Roberts Learning Center	Upgrade to some of the building HVAC controls and VAV drive	Building Systems	Planning	1	GO Bond	\$ 150,000	\$ 150,000					\$ 150,000
UMF	MERRILL HALL-UMF	Install BAS and Heat pumps through out building	Building Systems	Planning	1	GO Bond	\$ 400,000	\$ 270,000	\$ 130,000				\$ 400,000
UMF	Scott Hall- West/245 Main St	Window replacement	Building Envelope	Planning	2	GO Bond	\$ 135,000	\$ 135,000		\$ 281,666			\$ 416,666
UMF	FRC 152 Quebec street	Replacement of the siding on the FRC that the brick veneer is s	Building Envelope	Planning	2	GO Bond	\$ 500,000	\$ 500,000					\$ 500,000
UMF	FRC 152 Quebec street	Replacement of the Rubber membrane on the roof of the Fitne	Building Envelope	Planning	2	GO Bond	\$ 700,000	\$ 700,000					\$ 700,000
UMF		Renovate and re-purpose space as identified with the Master F	Grounds Infrastruct	Planning	3	Xfer from E&G	\$ 271,277			\$ 271,277			\$ 271,277
UMF	New Residence Hall	P3 Residential UMF	New Space	Planning	3	P3	\$ 27,900,000	\$ 14,000,000	\$ 13,900,000				\$ 27,900,000
UMF	Preble-Thomas Hall	Replace the fume hoods in the labs in Preble hall and install Mi	Space Renewal	Planning	3	Xfer from E&G	\$ 300,000					\$ 300,000	\$ 300,000
UMF	Roberts Learning Center	Upgrade bathrooms to be ADA compliant and make repairs to	Building Systems	Planning	1	Xfer from E&G	\$ 350,000				\$ 200,000	\$ 150,000	\$ 350,000
UMF	Olsen Student Center	Replace the roof system at the Olsen student Center	Building Envelope	Planning	2	Xfer from AUX	\$ 446,000					\$ 446,000	\$ 446,000
UMF	Olsen Studetn Center 111 South S	Building Envelope	Building Envelope	Planning	2	TBD	\$ 660,000		\$ 660,000				\$ 660,000
UMF	Lockwood Hall' 006	Lockwood Hall demolition	Demolition	Planning	2	TBD	\$ 741,125		\$ 741,125				\$ 741,125
UMF	Dakin Hall; 031	Dakin Hall Demolition	Demolition	Planning	2	TBD	\$ 983,000			\$ 983,000			\$ 983,000
							\$ 37,097,852	\$ 16,800,650	\$ 16,380,125	\$ 1,836,743	\$ 798,000	\$ 1,209,000	\$ 37,024,518

Board of Trustees Meeting - May 2021 - Attachments

FY22 Five Year Capital Plan - All Funds
USM

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
USM	THE FARM HOUSE	Repairs to Admissions bldg exterior	Building Envelope	Planning	2	Xfer from E&G	\$ 150,000			\$ 150,000			\$ 150,000
USM		Repairs to Site Parking Lots	Grounds Infrastructure	Deferred	3	Xfer From AUX Re:	\$ 400,000				\$ 200,000		\$ 200,000
USM	FIELD HOUSE, COSTELLO SPORTS	Replacement of curtains in the Field House	Other	Deferred	0	TBD	\$ 200,000		\$ 200,000				\$ 200,000
USM	LUTHER BONNEY HALL	Upgrade the sprinkler systems in Luther Bonney Hall	Safety / Code	Planning	1	Xfer from E&G	\$ 200,000		\$ 200,000				\$ 200,000
USM	CORTHELL HALL	Upgrades to Corthell Lighting fixtures	Building Systems	Planning	1	TBD	\$ 200,000		\$ 200,000				\$ 200,000
USM	BAILEY HALL	Renovate Bailey C301, C301A, C301B, C301C to create Center f	Space Renewal	Planning	3	GO Bond	\$ 250,000		\$ 125,000	\$ 125,000			\$ 250,000
USM	MCLELLAN HOUSE	Renovation of Mclellan House MEP Systems	Renovation	Deferred	3	Xfer from E&G	\$ 250,000		\$ 250,000				\$ 250,000
USM	CORTHELL HALL	Upgrade the concert hall space in Corthell Hall	Space Renewal	Planning	3	Xfer from E&G	\$ 250,000				\$ 250,000		\$ 250,000
USM	WISHCAMPER CTR	Wishcamper Geothermal system repairs and upgrades to impr	Building Systems	Deferred	1	Xfer from E&G	\$ 250,000		\$ 250,000				\$ 250,000
USM	LEWISTON-AUBURN CENTER	Exterior Upgrades to the old wing of Lewiston Auburn campus	Building Envelope	Planning	2	GO Bond	\$ 300,000		\$ 150,000	\$ 150,000			\$ 300,000
USM	Law Building - Library	Law Building - Library demolition	Demolition	Planning	2	Strategic Initiative	\$ 300,000		\$ 300,000				\$ 300,000
USM		Repairs to Site Roadways	Grounds Infrastructure	Deferred	3	TBD	\$ 300,000			\$ 150,000	\$ 150,000		\$ 300,000
USM	BAILEY HALL	Replace Bailey Library Wing Roof	Building Envelope	Planning	2	Xfer from E&G	\$ 300,000		\$ 300,000				\$ 300,000
USM	LUTHER BONNEY HALL	Replace the roof on Luther Bonney Hall - Tower	Building Envelope	Planning	2	Xfer from E&G	\$ 300,000					\$ 300,000	\$ 300,000
USM		Site Sidewalk repairs	Grounds Infrastructure	Deferred	3	TBD	\$ 300,000			\$ 150,000		\$ 150,000	\$ 300,000
USM	GLICKMAN FAMILY LIBRARY	Upgrades to the Interior Lighting in the Glickman library	Building Systems	Planning	1	Xfer from E&G	\$ 300,000			\$ 300,000			\$ 300,000
USM	PRESIDENTS HSE-USM	Renovation of 37 College Ave interior and exterior	Renovation	Deferred	3	Xfer from E&G	\$ 350,000				\$ 350,000		\$ 350,000
USM	BAILEY HALL	Renovation of Bathrooms on 1st and 2nd Floor of Bailey Hall	Building Systems	Deferred	1	Xfer from E&G	\$ 400,000			\$ 400,000			\$ 400,000
USM	CORTHELL HALL	Renovation of interior space in the Corthell Hall basement	Space Renewal	Planning	3	Xfer from E&G	\$ 400,000				\$ 400,000		\$ 400,000
USM	SCIENCE BLDG, PTLD	Repair and Replacement of Science A/B Bldg envelope and win	Building Envelope	Planning	2	Xfer from E&G	\$ 400,000			\$ 200,000	\$ 200,000		\$ 400,000
USM	PAYSON SMITH HALL	Space renewal of office and classroom spaces in Payson Smith	Space Renewal	Planning	3	Xfer from E&G	\$ 400,000		\$ 400,000				\$ 400,000
USM	MASTERTON HALL	Upgrade Mechanical Systems in Masterton Hall	Building Systems	Planning	1	TBD	\$ 400,000					\$ 400,000	\$ 400,000
USM	ROBIE-ANDREWS HALL	Replace the transformer servicing Robie Andrews	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 438,500		\$ 438,500				\$ 438,500
USM		Classroom and Lab Renovations to support STEM investments	Space Renewal	In-Progress	3	GO Bond	\$ 500,000		\$ 250,000	\$ 250,000			\$ 500,000
USM	USM PARKING GARAGE	Finish Repairs on the Parking Garage	Building Envelope	Planning	2	Xfer From AUX Re:	\$ 800,000			\$ 250,000	\$ 250,000		\$ 500,000
USM		Renovation to Engineering and Computer Science Classrooms	Space Renewal	Planning	3	GO Bond	\$ 500,000		\$ 250,000	\$ 250,000			\$ 500,000
USM	ANDERSON HALL	Upgrade Mechanical Systems in Anderson Hall	Building Systems	Deferred	1	TBD	\$ 500,000		\$ 500,000				\$ 500,000
USM	GLICKMAN FAMILY LIBRARY	Upgrades to the mechanicals systems in the Glickman Library	Building Systems	Planning	1	Xfer from E&G	\$ 500,000		\$ 250,000		\$ 250,000		\$ 500,000
USM	PAYSON SMITH HALL	Replacement of Payson Smith Hall Envelope and doors	Building Envelope	Planning	2	Xfer from E&G	\$ 503,979		\$ 355,014	\$ 148,965			\$ 503,979
USM	LUTHER BONNEY HALL	Upgrade, finish, fixtures, and plumbing in Luther Bonney bath	Building Systems	Planning	1	Xfer from E&G	\$ 600,000				\$ 300,000	\$ 300,000	\$ 600,000
USM	WOODWARD HALL	Repair and Replacement of Woodward Hall Envelope and winc	Building Envelope	Planning	2	TBD	\$ 750,000				\$ 750,000		\$ 750,000
USM	FIELD HOUSE, COSTELLO SPORTS	Upgrades to the Field House MEP systems	Building Systems	Planning	1	Xfer from E&G	\$ 750,000				\$ 350,000	\$ 400,000	\$ 750,000
USM	HILL GYM, COSTELLO SPORTS COI	Upgrades to the Hill Gym MEP Systems	Building Systems	Planning	1	TBD	\$ 750,000					\$ 750,000	\$ 750,000
USM	ROBIE-ANDREWS HALL	Replacement of Robie Andrews Hall envelope and windows	Building Envelope	Planning	2	TBD	\$ 800,000		\$ 400,000	\$ 400,000			\$ 800,000
USM	HANNAFORD FIELD (ATHLETIC FIE	Replacement of the artificial turf at Hannaford Field	Grounds Infrastructure	Deferred	3	TBD	\$ 800,000		\$ 800,000				\$ 800,000
USM	ROBIE-ANDREWS HALL	Replacement of the Robie Andrews Roof	Building Envelope	Planning	2	TBD	\$ 900,000		\$ 450,000	\$ 450,000			\$ 900,000
USM	SCHOOL ST-062	62 School Street Demolition	Demolition	Planning	2	Strategic Initiative	\$ 30,000	\$ 30,000					\$ 30,000
USM		Gorham Elevator Repairs	Building Systems	Planning	1	Xfer from E&G	\$ 2,000,000	\$ -	\$ 250,000	\$ 250,000	\$ 250,000	\$ 250,000	\$ 1,000,000
USM	GLICKMAN FAMILY LIBRARY	Replace boiler in Glickman Library	Building Systems	Planning	1	Xfer from E&G	\$ 30,000	\$ 30,000					\$ 30,000
USM		Portland Elevator Repairs	Building Systems	Deferred	1	Xfer from E&G	\$ 2,000,000	\$ -	\$ 250,000	\$ 250,000	\$ 250,000	\$ 250,000	\$ 1,000,000
USM	SCIENCE BLDG, PTLD	Space renewal and upgrades of lab spaces in the Science Build	Space Renewal	Planning	3	TBD	\$ 1,000,000			\$ 500,000		\$ 500,000	\$ 1,000,000
USM	SULLIVAN REC & FITNESS CTR	Upgrade Mechanical Systems in Sullivan Gym	Building Envelope	Planning	2	TBD	\$ 1,000,000			\$ 1,000,000			\$ 1,000,000
USM	PAYSON SMITH HALL	Upgrade the Payson Smith Mechanical Systems	Building Systems	Planning	1	TBD	\$ 1,000,000		\$ 500,000	\$ 500,000			\$ 1,000,000
USM	HILL GYM, COSTELLO SPORTS COI	Upgrades and repair of the Shell of the Hill Gym	Building Envelope	Planning	2	TBD	\$ 1,000,000		\$ 1,000,000				\$ 1,000,000
USM	CORTHELL HALL	Upgrades to the Corthell Hall Mechanical Systems	Building Systems	Planning	1	TBD	\$ 1,450,000			\$ 1,000,000			\$ 1,000,000
USM	SCIENCE BLDG, PTLD	Replace boiler in Science Building	Building Systems	Planning	1	Xfer from E&G	\$ 30,000	\$ 30,000					\$ 30,000
USM	DEERING AVE-222	Demolition of 222 Deering Ave	Demolition	Planning	2	Strategic Initiative	\$ 50,000	\$ 50,000					\$ 50,000
USM	COLLEGE AVE-019	19 College Ave Demolition	Demolition	Planning	2	Strategic Initiative	\$ 75,000	\$ 75,000					\$ 75,000
USM	BASEBALL FIELD (ATHLETIC FIELD)	Renovation of structures and field associated with the Gorham	Grounds Infrastructure	Planning	3	TBD	\$ 1,200,000		\$ 600,000	\$ 600,000			\$ 1,200,000
USM	MASTERTON HALL	Repair and Replacement of Masterton Hall envelope and wind	Building Envelope	Planning	2	TBD	\$ 1,500,000				\$ 1,500,000		\$ 1,500,000
USM	ICE ARENA, COSTELLO SPORTS CC	Repl Ammonia Sys at Ice Arena	Building Systems	Planning	1	TBD	\$ 1,500,000			\$ 1,500,000			\$ 1,500,000
USM	ICE ARENA, COSTELLO SPORTS CC	Upgrades and repair of the Ice Arena shell	Building Envelope	Planning	2	TBD	\$ 1,500,000					\$ 1,500,000	\$ 1,500,000
USM	BROOKS STUDENT CTR	Upgrades to the Brooks Student Center Mechanical Systems	Building Systems	Deferred	1	TBD	\$ 1,500,000		\$ 1,500,000				\$ 1,500,000
USM	FIELD HOUSE, COSTELLO SPORTS	Upgrades to the Shell of the Field House	Building Envelope	Planning	2	TBD	\$ 1,500,000				\$ 1,500,000		\$ 1,500,000
USM	COLLEGE AVE-007	Demolition of 7 College Ave	Demolition	Planning	2	Strategic Initiative	\$ 100,000	\$ 100,000					\$ 100,000
USM	BAILEY HALL	Renovation of classrooms in Bailey Hall	Space Renewal	Planning	3	TBD	\$ 1,800,000		\$ 500,000	\$ 500,000	\$ 500,000	\$ 300,000	\$ 1,800,000
USM	LUTHER BONNEY HALL	Repair and Replacement of Luther Bonney Hall envelope and v	Building Envelope	Planning	2	TBD	\$ 2,000,000		\$ 1,000,000		\$ 1,000,000		\$ 2,000,000
USM	RUSSELL HALL	Repair and Replacement of Russell Hall envelope and windows	Building Envelope	Planning	2	TBD	\$ 2,000,000				\$ 1,000,000	\$ 1,000,000	\$ 2,000,000

Board of Trustees Meeting - May 2021 - Attachments

FY22 Five Year Capital Plan - All Funds
USM

Campus	Facility Name	Short Description	Project Type	Status	1-2-3	Funding Source	Total Estimated P	FY22 Budget	FY23 Budget	FY24 Budget	FY25 Budget	FY26 Budget	5-Year Capital P
USM	BROOKS STUDENT CTR	Replacement of Brooks Dining Center Curtainwall	Building Envelope	Planning	2	TBD	\$ 2,000,000		\$ 1,000,000		\$ 1,000,000		\$ 2,000,000
USM	RUSSELL HALL	Russell Hall Mechanical System Upgrades	Building Systems	Planning	1	TBD	\$ 2,000,000		\$ 1,000,000	\$ 1,000,000			\$ 2,000,000
USM	LUTHER BONNEY HALL	Upgrade of Mechanical System in Luther Bonney Hall	Building Systems	Planning	1	TBD	\$ 2,000,000		\$ 500,000	\$ 500,000	\$ 500,000	\$ 500,000	\$ 2,000,000
USM	LUTHER BONNEY HALL	Upgrade the interior academic spaces in Luther Bonney Hall	Space Renewal	Planning	3	TBD	\$ 2,000,000		\$ 1,000,000			\$ 1,000,000	\$ 2,000,000
USM	SCIENCE BLDG, PTLD	Upgrades to the mechanical systems in the Science building in	Building Systems	Planning	1	TBD	\$ 2,000,000		\$ 1,000,000	\$ 1,000,000			\$ 2,000,000
USM	ROBIE-ANDREWS HALL	Upgrades to the Robie Andrews Mechanical Systems	Building Systems	Planning	1	TBD	\$ 2,000,000		\$ 1,000,000	\$ 1,000,000			\$ 2,000,000
USM	BAILEY HALL	Upgrade of MEP systems in Bailey Hall	Building Systems	Deferred	1	TBD	\$ 2,500,000		\$ 1,250,000	\$ 1,250,000			\$ 2,500,000
USM	Law Building	Law Building demolition	Demolition	Planning	2	Strategic Initiative	\$ 3,000,000		\$ 3,000,000				\$ 3,000,000
USM	BAILEY HALL	Replacement of Bailey Hall Curtainwall	Building Envelope	Planning	2	TBD	\$ 3,000,000			\$ 1,500,000	\$ 1,500,000		\$ 3,000,000
USM	JOHN MITCHELL CTR	Space renewal and upgrades of lab spaces in the John Mitchell	Space Renewal	Planning	3	TBD	\$ 3,000,000				\$ 1,500,000	\$ 1,500,000	\$ 3,000,000
USM	RUSSELL HALL	Space renewal and upgrades of office, classroom, and theater	Space Renewal	Planning	3	TBD	\$ 3,000,000					\$ 3,000,000	\$ 3,000,000
USM	CORTHELL HALL	Upgrades and Repair of the Cortshell Hall Envelope	Building Envelope	Planning	2	TBD	\$ 3,000,000			\$ 1,500,000	\$ 1,500,000		\$ 3,000,000
USM	DICKEY-WOOD DORMITORY	Dickey-Wood Demolition	Demolition	Planning	2	TBD	\$ 4,000,000		\$ 4,000,000				\$ 4,000,000
USM	ANDERSON HALL	Renewal and upgrade of student spaces in Anderson Hall	Space Renewal	Planning	3	TBD	\$ 4,000,000			\$ 2,000,000	\$ 2,000,000		\$ 4,000,000
USM	UPTON-HASTINGS HALL	Repair and Replacement of the Upton Hastings envelope and v	Building Envelope	Planning	2	TBD	\$ 4,000,000		\$ 2,000,000		\$ 2,000,000		\$ 4,000,000
USM	UPTON-HASTINGS HALL	Space renewal of student spaces in Upton-Hastings Hall	Space Renewal	Planning	3	TBD	\$ 10,000,000					\$ 5,000,000	\$ 5,000,000
USM	Russell Hall	Repairs to Russell Hall Envelope and roof	Building Envelope	Planning	2	Xfer from E&G	\$ 114,364	\$ 114,364					\$ 114,364
USM		Construction of Grounds Maintenance Garage/Salt Shed	New Space	In-Progress	3	Other	\$ 485,000	\$ 185,000	\$ -	\$ -	\$ -	\$ -	\$ 185,000
USM	ROBIE-ANDREWS HALL	Space renewal of student spaces in Robie Andrews	Space Renewal	Planning	3	TBD	\$ 10,000,000			\$ 5,000,000	\$ 5,000,000		\$ 10,000,000
USM		Construction of Grounds Maintenance Garage/Salt Shed	New Space	In-Progress	3	Xfer from E&G	\$ 485,000	\$ 215,000	\$ -	\$ -	\$ -	\$ -	\$ 215,000
USM	ROBIE-ANDREWS HALL	Upgrade to Robie Andrews infrastructure and Fixtures	Building Systems	Planning	1	Xfer from AUX	\$ 282,330	\$ 282,330					\$ 282,330
USM	STEAM DISTRIBUTION SYSTEM	Repair to underground utility system on the Portland campus	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$ 575,000	\$ 50,000	\$ 50,000	\$ 75,000	\$ 50,000	\$ 75,000	\$ 300,000
USM	Russell Hall	Repairs to Russell Hall Envelope and roof	Building Envelope	Planning	2	Other	\$ 315,636	\$ 315,636					\$ 315,636
USM		Construction of new parking garage on the Portland campus	New Space	Planning	3	TBD	\$ 15,000,000				\$ 15,000,000		\$ 15,000,000
USM	HOT WATER DISTRIBUTION SYSTE	Repair to underground utility system on the Gorham campus	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$ 725,000	\$ 50,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 350,000
USM	FIBER & COPPER TELEPHONE & TI	Replacement of IT infrastructure between Sullivan/CHP and Sc	Utility Infrastructure	Planning	1	Xfer from E&G	\$ 420,000	\$ 420,000	\$ -	\$ -	\$ -	\$ -	\$ 420,000
USM	STEAM DISTRIBUTION SYSTEM	Replacement of Steam Line in Portland between CHP and Pays	Utility Infrastructure	In-Progress	1	Xfer from E&G	\$ 585,000	\$ 585,000	\$ -	\$ -	\$ -	\$ -	\$ 585,000
USM	BAILEY HALL	Installation of Fire Alarm and Sprinkler System in Bailey Hall	Safety / Code	In-Progress	1	Xfer from E&G	\$ 2,478,500	\$ 1,000,000					\$ 1,000,000
USM	STUDENT SUCCESS AND CAREER I	New Student Success and Career Services Center on the Portla	New Space	In-Progress	3	Fundraising	\$ 7,551,263	\$ 3,551,263	\$ 4,000,000				\$ 7,551,263
USM	STUDENT SUCCESS AND CAREER I	New Student Success and Career Services Center on the Portla	New Space	Planning	3	GO Bond	\$ 19,000,000	\$ 14,839,902					\$ 14,839,902
USM	CENTER FOR THE ARTS	Construct the Center for the Arts on the Portland Campus	New Space	Planning	3	Fundraising	\$ 30,000,000	\$ 2,200,000	\$ 12,000,000	\$ 15,000,000			\$ 29,200,000
USM	NEW STUDENT DORM-PORTLAND	Construction of new student housing in Portland	New Space	In-Progress	3	Revenue Bond	\$ 72,000,000	\$ 23,000,000	\$ 36,000,000	\$ 6,000,000	\$ -		\$ 65,000,000
USM	PROFESSIONAL GRADUATE CENTI	Construction of the new Professional Graduate Center in Portl	New Space	Planning	3	Fundraising	\$ 70,000,000	\$ 970,000	\$ 7,000,000	\$ 23,000,000	\$ 23,000,000	\$ 16,030,000	\$ 70,000,000
							\$ 321,474,572	\$ 48,093,495	\$ 86,293,514	\$ 68,623,965	\$ 62,575,000	\$ 33,280,000	\$ 298,865,974

UNIVERSITY OF MAINE SYSTEM
FY2021 E&G and AUXILIARY FORECAST as of 4/30/21

Excluding unrestricted investment income, the Universities, Governance, and University Services (including the Employee Benefit Pool) are projecting an operating loss of \$27.8 million (\$9.1 E&G; \$18.7 Auxiliary). To resolve this gap, universities are utilizing a combination of CARES Act funding, university reserves, and budget stabilization funds as indicated below.

E & G and AUXILIARY FY2021									
Institution	Operations					Deficit Resolution			NET
	Budget	Forecast 2/28	Forecast 4/30	Variance - 4/30 Forecast to Budget	Variance-4/30 Forecast to 4/28 Forecast	CARES	Reserve	Stabilization	
UMAINE	\$ (9,438,928)	\$ (18,044,339)	\$ (20,389,913)	\$ (10,950,985)	\$ (2,345,574)	\$ 20,000,000	\$ 389,913	\$ -	\$ -
UMM	(65,331)	228,377	-	65,331	(228,377)	-	-	-	-
UMA	68,457	(227,392)	(109,204)	(177,661)	118,188	198,677	-	-	89,473
UMF ¹	(3,069,661)	(3,713,611)	(4,147,595)	(1,077,934)	(433,984)	4,037,595	110,000	-	-
UMFK	-	26,206	204,266	204,266	178,060	-	-	-	204,266
UMPI	(376,779)	(820,993)	(802,228)	(425,449)	18,765	802,228	-	-	-
USM	(703,000)	(2,994,531)	(3,197,062)	(2,494,062)	(202,531)	2,481,062	716,000	-	-
Law ¹	(2,386,444)	(1,745,431)	(1,843,709)	542,735	(98,278)	3,560	425,000	1,415,149	-
Campus Total	(15,971,686)	(27,291,714)	(30,285,445)	(14,313,759)	(2,993,731)	27,523,122	1,640,913	1,415,149	293,739
Governance	-	-	-	-	-	-	-	-	-
University Services	(359,505)	-	500,000	359,505	500,000	-	-	-	500,000
Employee Benefit Pool	-	2,000,000	2,000,000	2,000,000	-	-	-	-	2,000,000
TOTAL	\$ (16,331,191)	\$ (25,291,714)	\$ (27,785,445)	\$ (11,954,254)	\$ (2,493,731)	\$ 27,523,122	\$ 1,640,913	\$ 1,415,149	\$ 2,793,739

¹ Approved Budget Stabilization Fund transfers at year end up to \$2,959,661 for UMF and \$1,961,444 for the Law School to offset any deficits.

Unrestricted Investment Income	\$ 3,249,979	\$ 16,964,348	\$ 20,094,817	\$ 16,844,838	\$ 3,130,469
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Forecasted investment income equals actuals-to-date and does not include any projection for future gains or losses.

Travel & Memberships/Contributions Reporting

Public Law 2011, Chapter 616 requires periodic reporting of the actual travel & contribution costs to the Board of Trustees. The budget-to-actual comparisons through April 2021 are below.

Travel, Meals & Entertainment				
Funding Source	Budget	Actuals	Unexpended	
E&G/Auxiliary	\$ 4,751,886	\$ 991,219	\$ 3,760,667	79.1%
Restricted/Other	\$ 4,500,000	488,194	4,011,806	89.2%
Total	\$ 9,251,886	\$ 1,479,413	\$ 7,772,473	84.0%

Memberships, Gifts, Donations & Sponsorships				
Funding Source	Budget	Actuals	Unexpended	
E&G/Auxiliary	\$ 1,142,199	\$ 934,926	\$ 207,273	18.1%
Restricted/Other	550,000	149,351	400,649	72.8%
Total	\$ 1,692,199	\$ 1,084,277	\$ 607,922	35.9%

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY
(Information Item Only)

NAME OF ITEM: Green Engineering and Materials (GEM) “Factory of the Future”

INITIATED BY: Mark R. Gardner, Chair

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY: 701 – Budgets-Capital & Operating

UNIFIED ACCREDITATION CONNECTION:

GEM is a world-class research and educational facility that will provide access to academic programs across the UMaine System through immersive research learning experiences and leverage unique regional assets of UMS campuses to enable richer educational programs and workforce training opportunities.

GEM Triggers the Harold Alfond UMS Transforms Strategy, helping to establish UMaine as a National Leader at the Intersection of Engineering and Computing. The ASCC proposes to develop the 90,740 ft² GEM addition that will provide outstanding educational and economic opportunities in Maine by ushering in the next generation of large-scale bio-based additive manufacturing (aka 3D printing). The Green Engineering and Materials Laboratory (GEM) is a timely national asset that will house the *Factory of the Future*, to design, manufacture and test new products constructed from wood-derived nanocellulose and other advanced materials, collaborate with industry, and train the next generation manufacturing workforce including undergraduates, graduate students and working professionals. The *Factory of the Future* consists of highly instrumented arrays of AI-enabled 3D printers, high-performance computers, continuous fiber deposition heads, and machining systems and will enable research and development of novel bio-based feedstock materials as well as next generation digital manufacturing processes. This facility represents a fulfillment of shared vision for Maine and the University of Maine, as expressed in the UMS Board of Trustees Declaration of Strategic Priorities, Maine’s Economic Recovery Committee Recommendations, Maine 10-year Economic Development Strategy, Harold Alfond UMS Transforms strategy aimed at re-imagining the future of Maine through innovation-led economic development. These plans have started to coalesce around bio-based materials and climate-friendly technologies, sectors where Maine has competitive strengths, for the focus of future investment. GEM seizes these opportunities to provide world-class research and educational programs for UMS while serving as a multiplier for regional economic development and business formation.



GEM – Demonstrating National Leadership while Serving Local Needs

BACKGROUND

The Advanced Structures & Composites Center (ASCC) has seen a 6 times growth in funded research (Figure 1) over the last 5 years and is poised to execute on \$260 million in total R&D over the next 5 years. This portfolio offers an unparalleled opportunity to (1) provide world-class educational and workforce training opportunities for the UMS; (2) lead economic recovery efforts through direct hiring and incubating additional business spin-offs and industry partnerships in bio-based materials development and applications; (3) meet critical State needs in housing, energy and transportation through continued product innovation and testing; (4) create an R&D Gateway to UMaine and help establish UMaine as a top research university with Carnegie R1 classification; (5) create a demonstration building for cross laminated timber (CLT), an important step in efforts to attract a manufacturer to Maine to support Maine's forest products industry. The GEM mission represents a convergence of shared interests and priorities for UMaine, UMS, State of Maine and incoming Biden Administration by spurring innovation led economic development, fostering learner success and workforce readiness, and by developing sustainable material technologies. GEM will include four primary areas:

1. The Factory of the Future consists of highly instrumented arrays of HPC and AI-enabled 3D printers, continuous fiber deposition heads, and machining systems and will enable research and development of novel bio-based feedstock materials as well as next generation digital manufacturing processes.
2. A R&D Gateway including a Learning Center highlighting innovative UMaine R&D projects.
3. A 300-person 360 Virtual/Augmented Reality Conference/Learning Center.
4. 12,000 additional ft² of classroom space plus 35 new offices for students, staff, faculty and industry partners. This will increase ASCC office square footage from 7,700 to 24,000, including 75 desks for undergraduate and graduate student researchers.

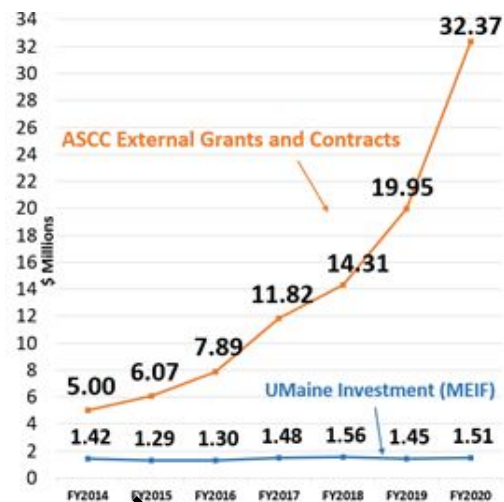


Figure 1 Growth of ASCC Grants and Contracts

The GEM Addition "Factory of the Future" concept is unlike any facility in existence today. The World's Largest Polymer 3D Printer we installed in 2019 has garnered strong international interest, and there is a significant backlog of projects requiring its use. GEM will significantly expand our printing capacity to the length of the facility (250ft), enabling multiple projects to print in parallel. Furthermore, the ASCC has significantly exceeded our personnel capacity. A recent project converting a storage mezzanine to office space for 30 provided short-term relief but is insufficient to support current and future staffing needs. We have asked FM to investigate options for short-term space near the ASCC complex to enable some staff to have dedicated offices/workstations, but none was available. Many of our most acute staffing needs are on projects which require direct lab access, either for equipment usage or to access to our secure enclave due to the controlled nature of Defense projects. Therefore, it is critical that we have space adjacent to our lab facilities and connected to our secure enclave. Our office space deficit is projected to grow to 9,300+ ft² by 2023 based on hiring needs.

A \$100,000 Mass Timber research grant, established with support from Sen. King, was used to complete conceptual architectural drawings, engineering and costing for this project. A separate report details this effort. Facilities Management has been supporting this effort from conception, including site selection, wetland mitigation and costing. Table 1 provides facility and equipment cost estimates and Table 2 provides a list of potential funding sources. The GEM facility has a prime opportunity to build on new funding priorities by the incoming Biden Administration due to the catalytic ability of the facility to meet targets in Biden's \$2T Climate Plan, and we have an opportunity to leverage our existing relationships with federal sponsors to achieve these goals. Furthermore, the value of new federal awards captured in FY21 that link high-performance computing to engineering provide an opportunity to match funds to any Alfond Gift funds allocated to the GEM facility.

Component	Estimate
Facility Construction Estimate (Consigli Construction, Scott Simons Architects, Thornton Tomasetti, Becker Structural Engineers, SmartLam, UMaine Facilities)	\$55,578,660
Equipment Estimates	\$15,490,000
Total	\$71,068,660

Table 2 – Facility & Equipment Cost Estimates

<u>Financing Opportunities</u> <u>Construction & Equipment</u>	<u>Grant Opportunities</u> <u>Equipment</u>
Economic Recovery Committee Recommendation to invest \$100M/yr in research centers, bio-products and offshore wind	Northern Border Regional Commission
Maine Won't Wait: 4 Year Climate Plan Strategy D: Grow Maine's Clean Energy Economy	EDA Public Works and Economic Adjustment Program
Alfond Foundation Investment	National Science Foundation
Finance Authority of Maine	Department of Defense
Maine Technology Institute (MTAF)	Department of Energy

Table 3 - Potential Funding Sources

While we are not seeking BOT spending authorization at this time, the University intends to pursue opportunities from the above-mentioned funding sources immediately. There are near-term deadlines and funding priorities which require actionable progress within the next 30-60 days to ensure we can realize the GEM vision.



GEM



Green Engineering & Materials Laboratory Factory of the Future Industry 4.0

The Advanced Structures and Composites Center proposes to develop a 90,740 ft² facility attached to our current laboratory that will usher in a new era of AI-enabled large-scale bio-based additive manufacturing. The **GEM** Laboratory will house the **Factory of the Future** where AI-enabled arrays of printers and sensors will manufacture and test new products from wood-derived cellulose and other advanced bio-based materials, collaborate with industry, and train the next generation manufacturing workforce, including undergraduates, graduate students and working professionals.



Innovation-Led Economic Recovery

- The *Factory of the Future* will drive new business growth in Maine's affordable housing, clean energy, construction, transportation, boatbuilding, furniture, and more, estimated \$90B+ economic output by 2040
- Enable ASCC to execute on \$260 million in R&D projects secured through federal sources and industry and activate \$90B+ industry sectors by 2040



Transform Education through Immersive Learning

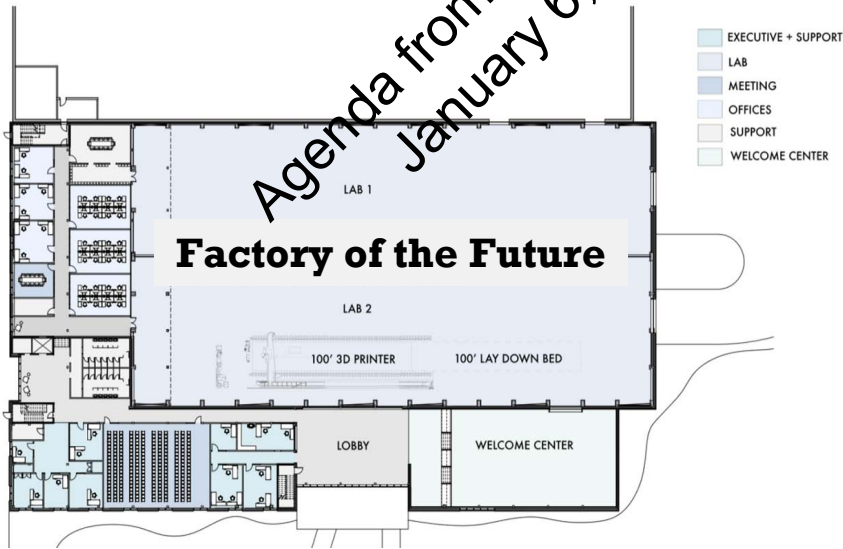
- Integrate research and scholarship into instruction and service, positioning UMaine as the premier destination for high-caliber researchers in key GEM research fields
- R&D Gateway for UMaine
- 300-person R&D Conference Center with 360-degrees floor-to-ceiling projection.



Establish University of Maine as a Top-Tier Institution at the intersection of Computing and Engineering

- Secure Maine's research leadership role in large-scale bio-based additive manufacturing, while addressing critical state needs including housing, energy and transportation
- Help UMaine achieve R1 Research Classification.
- Create an immersive learning environment that houses over 300 research personnel and provides unparalleled educational experiences

GEM
Green Engineering & Materials Lab



GEM R&D Gateway

Catalyzes innovation-led economic development in Maine's fastest-growing industries



Activate new markets for Maine's Forest Products Industry

\$12B/yr by 2025 annual economic impact¹



Modernize Maine's Infrastructure

\$4.5 B by 2021-2030 annual capital investment²

¹Forest Opportunities Roadmap, 2018

²UMass Amherst

³Maine Housing Authority

⁴Wood Mackenzie, 2020

⁵Maine Offshore Wind Report

Agenda from FFT Meeting,
January 6, 2021



GEM R&D Gateway



Immediate local economic impacts

\$88M Economic Output

\$21M Labor Income

424 Jobs

Talent, Training

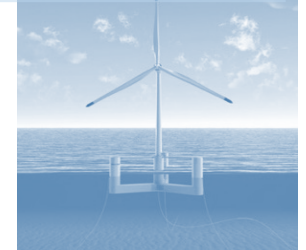


Meet Maine's demand for 20,000 Affordable Housing units

\$3.8B by 2040 total capital investment³

Access clean, local power from floating offshore wind

\$23B by 2035 total capital investment⁴



\$5B/year Mainer's energy bills redirected back to state's economy due to clean, locally-produced power and electrification of heating and transportation⁵

Strategic Plan Alignment

GEM is a convergence of shared interests and priorities for the State of Maine and UMaine

1. Fostering Learner Success^D 2. Discovering and Innovating^D 3. Growing Partnerships^D



The University of Maine

Green Energy and Materials (GEM) Laboratory

Meeting shared goals within each plan:

Innovation-led Economic Development

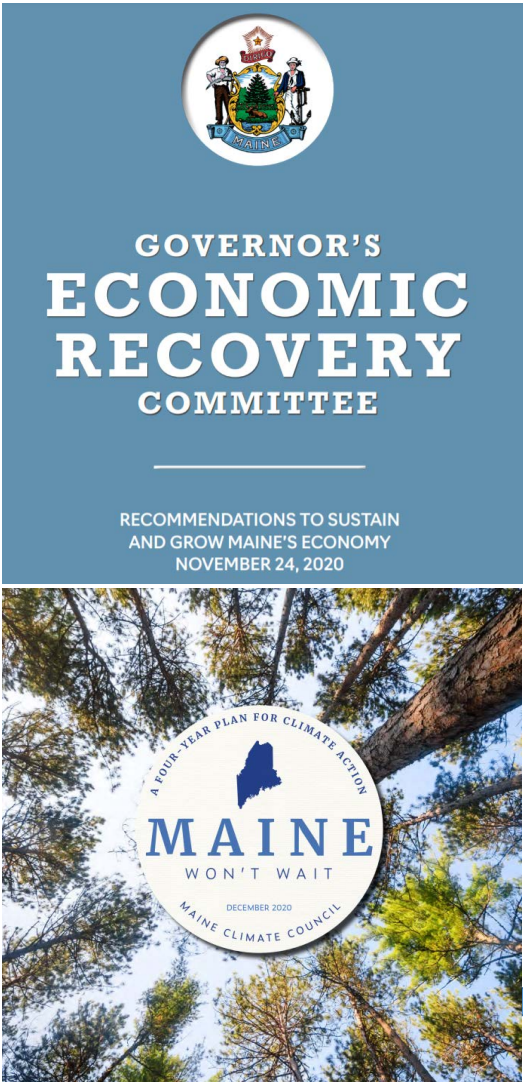
1. Establish an innovation-driven Maine economy for the 21st century ^{A,B,C,D,F}
2. Increase value of what we sell per worker by 10%, increase workforce by 75,000, increase per capita wages by 10%^A
3. Make Maine the best state in the nation in which to live, work, and learn by 2030 ^B

Workforce Readiness & Competitiveness

1. Prepare the knowledge and Innovation Workforce for Maine ^{B,C,D}. Advancing Workforce Readiness and Economic Development ^{B,C,F}
2. Align Academic Programs and Innovation to Drive Student Success and Employer Responsiveness ^{C,D}
3. Maintaining Competitiveness and Sustainability to Meet Critical State Needs ^{A,B,C,D,E,F}

Emphasis on bio-based, renewable, sustainability solutions

1. Enable Governor’s Climate and Clean Energy Goals ^{A,B,E,F}
2. Lead in developing bio-based and recyclable materials ^{A,B,E,F}
3. Lead in developing sustainable, more durable infrastructure ^{B,E}



Invest \$100 million annually in commercially-promising research and development

Sectors ERC highlighted for \$100M annual investment

Bio-based Products



Offshore Wind



Agenda from FFT Meeting, January 6, 2021

"Maine must make robust annual investments in commercially viable research, Maine's research centers, and in programs that create incentives for private sector innovation, targeting Maine's natural resource-based and next-generation technology sectors."

UMaine
Won't Wait

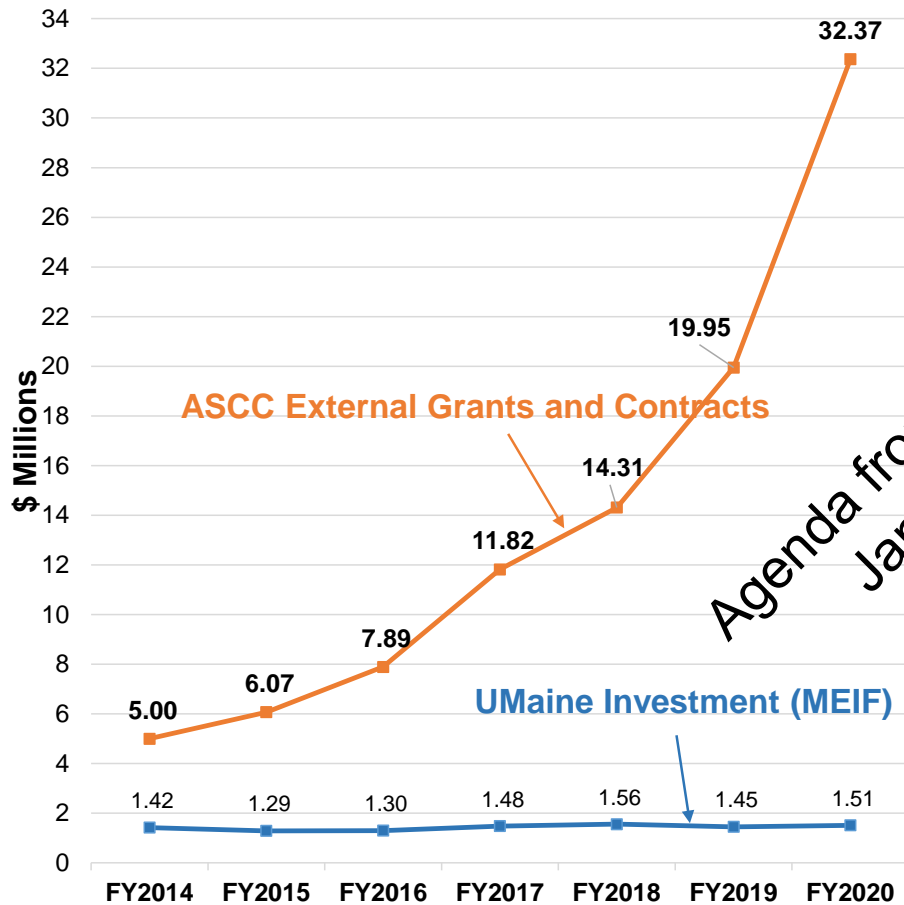
A.

B. Buildings

C, D. Clean
energy

F. Resilient
Communities

Personnel Space Challenges



Personnel Growth Plans						
Number of Personnel	2018	2019	2020	2021	2022	2023
Senior Faculty/Staff	10	12	14	16	17	18
Staff/Faculty/Post-Docs	51	56	63	69	77	84
Total students	137	151	169	188	206	225
% Undergrad students with desks	28%	40%	50%	60%	70%	75%
Total Personnel	198	219	246	273	300	327
Total office space required (ft2)	7,535	9,138	11,510	13,414	15,360	17,020
Space deficit/required office-space (ft2)	163	(1,440)	(3,812)	(5,716)	(7,662)	(9,322)

\$260M research projects, including future options and private

Sponsor	Contract Value	Sponsor	Contract Value
U.S. Department of Energy	\$45,610,167	Advanced Research Projects Agency	\$2,675,417
U.S. Department of Defense	\$40,753,921	Maine Technology Institute	\$1,397,361
Oak Ridge National Laboratory	\$30,000,000	U.S. Department of Agriculture	\$571,661
U.S. Army Corps of Engineers	\$21,368,000	NASA	\$144,369
U.S. Department of Transportation	\$12,929,600	Private	\$104,589,254

Potential Funding Scenario

Federal matching funds available now to match HAF UMS Transforms vision



State Investment

Supports state goals in 10 Year Economic Development Strategy and follows recommendation from Economic Recovery Committee to invest in research centers



Item	Cost
Construction Estimate	\$55,578,000
Equipment	\$15,490,000
Total	\$71,068,660

Construction estimate provided by: Consigli Construction, Scott Simons Architects, Thornton Tomasetti, Becker Structural Engineers, SmartLam, UMaine Facilities

Foundation Funding

Investments focused on linking computing with engineering, transformative educational experiences and workforce development



US Army Corps of Engineers®



\$30M Federal Research Funds Match Alfond

Provides immediate ROI for Alfond investment while offering research, immersive learning and workforce development opportunities

\$15.5M High Feed-Rate Additive Manufacturing with Cellulose – develop innovative, low energy processes to produce nanocellulose reinforced composites by utilizing the second fastest High-Performance Computer (HPC) in the world at ORNL to perform materials simulation and process design.

\$12.5M Accelerating Rapid Prototyping (ARP) – Links High-Performance Computing with 3D printing capabilities for rapid prototyping for defense technologies

\$2.4M 3D Printed USV – develops computational design tools and software to increase trust in printed structures by better understanding ‘as-designed’ versus ‘as-printed’ manufacturing



HPC + AI + AM



“Factory of the Future” positions UMaine to secure significant additional federal funding over the next decade and help it emerge as an R1 University





Why **GEM** Now?

1. **GEM is needed for ASCC to execute on \$260M in R&D Projects** – The ASCC has simply run out of space to support our active research portfolio, with additional offices and lab space required to safely and effectively execute on our current projects and leverage additional federal research funds
1. **GEM provides innovation-led economic recovery at a critical time** - Drive new business for Maine wood products and bio-based advanced materials including 3D printed housing, transportation, boatbuilding, renewable energy, composites, and attract advanced materials companies by providing equipment, facility space and engineering support for technology development and workforce training
1. **GEM will help UMaine to emerge as a Premiere Research Institution** Secure Maine's leadership role in bio-derived, renewable and recyclable materials and applications, offering students and faculty to integrate research and scholarship with instruction and service
1. **GEM converges shared interests and visions between UMaine and State of Maine** – Leadership for UMaine and Maine have agreed that a focus on industries in the future and workforce development within those industries is a strategic goal for Maine.
1. **GEM leverages Alford's generosity to meet the intended goals with real projects** – Research conducted in GEM will enable linkage of advanced computing and information sciences with engineering and manufacturing, a central goal of the Alford investment. As such, existing federal contract funds can be leveraged as matching dollars.

UNIVERSITY OF MAINE SYSTEM
Policy Manual

ACADEMIC AFFAIRS

Section 310 Tenure

Effective: 6/7/70

Last Revised: 7/9/90

Responsible Office: Academic Affairs

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.



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

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

Date: April 5, 2021

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

From: Dr. Robert Placido, VCAA *RAP*

Regarding: UM Academic Program Proposal: B.S. in BA in Sport Management

The University of Maine

University of Maine
at Augusta

University of Maine
at Farmington

University of Maine
at Fort Kent

University of Maine
at Machias

University of Maine
at Presque Isle

University of
Southern Maine

Please find the attached program proposal from the University of Maine (UM) to offer a B.S. in Business Administration in Sport Management (BSSM). The attached material includes letters of support from President Joan Ferrini-Mundy and Executive Vice President for Academic Affairs and Provost (EVPAA), John Volin, as well as the full program proposal. Because USM already has a BSSM program, we asked UM's academic leaders to further examine opportunities for collaboration. EVPAA Volin's response letter is included and I believe the letter satisfies our request because the two programs will serve two distinct student interests and UM will partner with USM on delivering some of the courses of both programs.

The proposed UM BSSM was reviewed and recommended by the Chief Academic Officers Council (CAOC). The CAOC reviewed and recommended the proposal to me on March 4, 2021. I also recommend this program for your approval.

I approve	I do not approve for the reasons listed below	Additional information needed for a decision	Action
✓			Approval of UM BSSM

Dannel Malloy
Chancellor Dannel Malloy

APR 6 2021
Date

Academic Program Request

Pro forma Statement

Executive Summary

Sport Management programs in the USA are not meeting the current need for these professionals. In 2019, Maine institutions conferred 44 degrees in Sport Management this year, while there are 394 current sport-related job postings in Maine. The New England region conferred 773 Sport Management degrees, with 11,939 current sport-related job postings. Also, The University of Maine is home to Maine's only Division 1 collegiate athletics program which recently received a \$90 M gift from the Alfond Foundation to be invested in UMaine athletic facilities and programs. The addition of Sport Management, collaborating with the University of Southern Maine, will offer a world-class experience for student athletes and other interested students to train in core business skills while developing industry-specific knowledge in partnership with UMaine athletics. We anticipate strong student demand for this program and will offer an experiential education in connection with professional opportunities with USM and collegiate athletics operations at UM.

	Academic Year			
	2022	2023	2024	2025
Projected Enrollment	40	80	120	160
Revenue				
Estimated Tuition	\$785,400	\$1,570,800	\$2,346,200	\$3,141,600
Other Revenue (All Fees)	\$74,080	\$148,160	\$222,240	\$296,320
Total Revenue	\$859,480	\$1,718,960	\$2,568,440	\$3,437,920
Expenses				
--New FTE Faculty	1	0	0.5	0
Total New Faculty Salary +Ben	\$184,800	\$0	\$92,400	\$0
Total Supplies (M&O, Cap)	0	0	0	0
Total New Staff + Ben	\$184,800	\$184,800	\$277,200	\$277,200
Net	\$674,680	\$1,534,160	\$2,291,240	\$3,160,720

**Assume tuition is 50% resident, 50% non-resident @ 30 SCHs using 2020-21 tuition/fee revenue figures.*

Office of the Executive Vice President
for Academic Affairs & Provost



5703 Alumni Hall, Suite 201
Orono, Maine 04469-5703
Tel: 207.581.1547
Fax: 207.581.1633
umaine.edu

Date: March 31, 2021

To: Dr. Robert Placido, VCAA
University of Maine System

Dannel Malloy, Chancellor
University of Maine System

From: Dr. John C. Volin, Executive Vice President for Academic Affairs and Provost
University of Maine

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

RE: Response to 3.30.21 memo "Regarding: Program Request – BS in BA Sport Management"

Thank you for the opportunity to address the points raised in your March 30, 2021 memo regarding our program request to initiate a BS in Business Administration in Sport Management.

The University of Maine is committed to adhering to the principles in the letter dated September 29, 2020. These principles take into account the programs already offered, in whole or in part, at other UMS universities and, within unified accreditation, permit universities in the system to propose new academic programs that fit their distinctive missions. Indeed, starting in November 2019 we reached out to our colleagues at USM, which offers a Sport Management degree, to discuss ways to strengthen our collaboration not only to support our unique strengths and foci in sports management, but also to explore synergies that would result in strengthening both programs. To this end, former UMaine Associate Dean Nic Erhardt met with USM Sport Management faculty, Dean Jo Williams, Heidi Parker, and Emily Newell, a number of times in early 2020 to discuss potential areas of collaboration. In particular, these conversations were focused on the distinctive features of the two programs as well as opportunities for collaboration outside of the course offerings in the Maine Business School (MBS).

From these initial meetings it was determined that: 1) USM's program was focused on semi-professional/professional sport, while the MBS program would be oriented around the NCAA Division 1 sport programs; this would leverage UMaine's position as the only D1 program in Maine; 2) USM has a number of course offerings that our UMaine students could choose as potential electives for MBS sport management; and 3) MBS, leveraging our D1 status and the explicit support of the UMaine athletics program, has proposed a practicum for students, giving "boots on the ground" experience working in sport management that we will make available to USM students interested in taking a practicum as an elective for their program. This practicum will be offered both in Orono and at athletic venues in Portland.

Given these distinctive foci, there is a great opportunity for UMaine and USM to market their sport management programs together and to enhance their ability to draw students across Maine as well as from out-of-state. Sport Management is a field that has had strong growth nationwide for a number of years, and all indications are that it will continue to increase and remain in high demand. For instance, last year there were 44 sport management BS degrees awarded in Maine, while there were an estimated 394 available job openings in the region. Since 2017, USM has ranged between 61 to 68 majors in sports management. We believe that, through collaboration and with our specialized areas of strength, we can increase the number of majors at both universities and help meet the demand in this growing field.



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

Tel: 207-581-5842
Fax: 207-581-9212
www.maine.edu

Date: 30 March 2021

To: Dr. John Volin, Executive Vice President for Academic Affairs and Provost
University of Maine

Dr. Joan Ferrini-Mundy, President
University of Maine

From: Dr. Robert Placido, VCAA
University of Maine System

The University of Maine

Dannel Malloy, Chancellor
University of Maine System

University of Maine
at Augusta

Regarding: Program Request – BS in BA Sports Management

University of Maine
at Farmington

Thank you for submitting a request to create a BS in Business Administration with a Major in Sport Management (SM). I have reviewed the request and other historic documentation with the Chancellor. We want to congratulate your faculty on the initiative and commitment they have shown in developing this program.

University of Maine
at Fort Kent

Recall that the Chancellor made a commitment to the Board of Trustees at the September 2020 meeting to only seek approval of new academic programs that are not duplicative or competitive. My September 29, 2020 Memo to Presidents on Unified Accreditation Principles in Academic Program Review and Approval

University of Maine
at Machias

Repeated this commitment. These directives make clear our intention to use unified accreditation as a means to improve program quality and use our public resources more efficiently, and every program proposal should clearly demonstrate how unified accreditation principles were considered in its development.

University of Maine
at Presque Isle

University of
Southern Maine

We have placed this proposal in pending status. I would like to invite you and your team to look one more time for ways to collaborate. For instance, could collaboration eliminate the need for a new faculty? Are there marketing opportunities that could be leveraged with UM and USM? I understand UM's SM program would primarily be for your Division 1 athletes and students who live locally. Since you intend to serve local students, could you conceive of an agreement for USM to have the right of first refusal for non-local students, or perhaps UM could have a cap on non-local students? We are looking for your creativity to strengthen your program, serve our students, use existing resources more efficiently, and do no harm to other UMS Universities.

Given the collaborative spirit shown by the talented faculty you mentioned in your proposal, I have every confidence you can amend the proposal. We look forward to seeing your additional thinking before final submission to the Chancellor.

Office of the Executive Vice President
for Academic Affairs & Provost



5703 Alumni Hall, Suite 201
Orono, Maine 04469-5703
Tel: 207.581.1547
Fax: 207.581.1633
umaine.edu

TO: JOAN FERRINI-MUNDY, PRESIDENT
FROM: JOHN C. VOLIN, EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS AND
PROVOST
SUBJECT: PROPOSAL FOR BACHELOR OF SCIENCE IN BUSINESS ADMINISTRATION WITH A
MAJOR IN SPORT MANAGEMENT
DATE: JANUARY 8, 2021
CC: KIMBERLY WHITEHEAD, VICE PRESIDENT AND CHIEF OF STAFF

The Maine Business School proposes a Bachelor of Science in Business Administration with a major in Sport Management.

Rationale

The BSBA with a major in Sport Management is a collaborative degree that addresses important economic and workforce development opportunities locally and statewide, and beyond. The major allows for collaboration across academic and non-academic units, including stakeholders on and off campus. The proposal outlines the goal to collaborate, not compete, with the major at the University of Southern Maine, “in the spirit of the UM System’s newly launched Unified Accreditation initiative.” Examples include cross-listing of courses, shared opportunities for practical experiences and potential joint sport-related international student trips. The recent Harold Alfond Foundation grant support for Athletics may also provide opportunities for students in this major.

This proposal has the support of the Maine Business School faculty, Executive Dean of the Maine Business School, Undergraduate Program Curriculum Committee, and Program Creation and Reorganization Review Committee of the Faculty Senate. I fully support the creation of the BSBA with a major in Sport Management.

APL X-P.1 “Academic Program Approval”, Section I “Approval of Undergraduate Majors, graduate degree programs, and advanced certificates of study”, Step 3. “University of Maine System (UMS) Evaluation” is the relevant section of the University of Maine System Administrative Practice Letters. An excerpt of the policy indicates “After completion of the campus program evaluation process, University of Maine System evaluation is initiated by submission of the proposal by the university President to the Vice Chancellor for Academic Affairs who will acknowledge receipt of the document and distribute the proposal electronically to members of the Chief Academic Officers Council (CAOC).”

Please let me know if you have any questions or if there is any additional information you require.

With your approval, my office will transmit the proposal to the UMS Office of Academic Affairs.

Maine Business School



5723 Donald P. Corbett Business Building
Orono, Maine 04469-5723
Tel: 207.581.1968
Fax: 207.581.1930
umaine.edu/business

December 1, 2020

To: Provost John Volin

From: Dean Faye Gilbert

Re: Request to offer the BSBA in Sport Management

The purpose of this memo is to support the request of the faculty in the Maine Business School (MBS), as approved by the Faculty Senate, to offer a Bachelor of Science in Business Administration (BSBA) with a major in Sport Management.

The benefits and reasons for providing this degree at the University of Maine at this time include:

1. The BSBA at UMaine with a major in sport management is a collaborative degree with UMaine Athletics personnel intending to teach courses. Further, conversations with faculty from the University of Southern Maine indicated opportunities for collaboration with benefits from sharing practicum experiences with their students at UMaine athletic events and vice versa. It is hoped that once approved, UMaine and the University of Southern Maine could share online courses offered to students in both programs as well.
2. The Alford Foundation just awarded a significant sum to support athletics at UMaine, and this degree will counterbalance that investment.
3. We are a Division 1 Athletics Program, and the BSBA in Sport Management assists top athletes who seek this degree with their athletic experiences here.
4. The BSBA degree prepares students for *any* position in business and then emphasizes sport management in the major courses. As such, career prospects for students include openings in this field and any job that requires a Bachelor of Science in Business Administration.
5. In sport management in Maine, there were 44 degrees awarded last year with 394 job openings. This figure may have changed with the pandemic but should be back on track in 2021.
6. Sport and Outdoor Industry Management are closely related and support efforts in Maine for economic development and workforce development.
7. We anticipate growing this program to 100 undergraduate majors within the next four years. That growth would include net new student-athletes selecting UMaine, transfer students, and current business students choosing this major instead of others. Sport

Submitted By:

<u>Jason Harkins</u> <small>Jason Harkins (Dec 1, 2020 22:21 EST)</small>	Dec 1, 2020
Jason Harkins, Ph.D. Associate Dean; Associate Professor of Management	Date
<u>Susan Myrden</u> <small>Susan Myrden (Dec 2, 2020 12:21 EST)</small>	Dec 2, 2020
Susan Myrden, Ph.D. Associate Professor of Marketing	Date
<u>Muralee Das</u> <small>Muralee Das (Dec 2, 2020 20:50 EST)</small>	Dec 2, 2020
Muralee Das, Ph.D. Assistant Professor of Management	Date

Approved By:

<u>Faye W Gilbert, Ph.d.</u> <small>Faye W Gilbert, Ph.d. (Dec 4, 2020 10:14 EST)</small>	Dec 4, 2020
Faye Gilbert, Ph.D. Dean of the Maine Business School; Professor of Marketing	Date
<u>John Volin</u> <small>John Volin, Ph.D.</small>	1/8/21
John Volin, Ph.D. Executive Vice President for Academic Affairs & Provost	Date
<u>Joan Ferrini-Mundy</u> <small>Joan Ferrini-Mundy, Ph.D.</small>	1/12/21
Joan Ferrini-Mundy, Ph.D. President	Date

The Opportunity

The professional sport industry is worth over \$530 billion and \$1.3 trillion globally (Table 1). This multifaceted industry offers a range of career opportunities. [Learn.org](#), drawing on US Bureau of Labor Statistics, noted in three sport-related career fields (PR Specialists, Postsecondary Education Administrators, and Administrative Services Managers) 2018 median salaries ranged from \$60,000 to \$96,180.

Table 1
Sports & Recreation Industry Statistics and Market Size Overview

	Amount	Units	Year/Season	Source
Estimated Size of the Entire Sports Industry, U.S.	539.7	Bil. US\$	2018	PRE
Estimated Size of the Global Sports Industry	1.3	Tril. US\$	2018	PRE
Annual Company Spending for Sports Advertising, U.S.	38.8	Bil. US\$	2018	PRE

Source: Plunket Research

In 2014, the market was worth about \$60.5 billion, and is expected to increase to \$73.5 billion by 2019 (Forbes). The job growth in North America in Sport Management-related professions for 2016-2026 is estimated at 10 percent. The US Bureau of Labor Statistics reports that coaches and scouts should enjoy employment growth of 13 percent during the decade of 2016-2026. Agent and business manager positions in the sport market are expected to grow 5 to 9 percent. A recent five-year projection study by Price Water House Cooper suggests that the professional sports market in North America will grow at a compound annual rate of 3.5 percent across the four segments analyzed, from \$63.9 billion in 2015 to \$75.7 billion in 2020. The report indicates growth in various areas, including:

- Gate Revenues – estimated \$18.3 billion in 2015 to a projected \$20.8 billion in 2020.
- Media Rights – estimated \$16.3 billion in 2015 to a projected \$21.3 billion in 2020.
- Merchandise – estimated \$13.8 billion in 2015 to a projected \$14.8 billion in 2020.
- Sponsorship – estimated \$15.5 billion in 2015 to a projected \$18.7 billion in 2020.

Burning Glass Analysis. Sport Management programs in the USA is not meeting the current need for these professionals. A Burning Glass tech query by UMaine's Office of Institutional Research and Assessment suggests that Maine institutions conferred 44 degrees in Sport Management this year, while there are 394 current sport-related job postings in Maine. The New England region conferred 773 Sport Management degrees, with 11,939 current sport-related job postings. Nationally, there were 10,217 degrees in Sport Management conferred, with 174,426 sport-related job postings. This analysis demonstrates a clear unmet need for Sports Management graduates in all three geographical areas (see Table 2).

A Sport Management major offered by the University of Maine, housed within the Maine Business School, would create a range of key opportunities for the great state of Maine.

1. **Tradition.** Maine has a long history of sport-related activities in all seasons of the year, from recreational to competitive team sports, and at all levels, from K-12, to collegiate, to professional. Linking a Sport Management major with four seasons of sport and recreation is a natural fit.
2. **Workforce.** Sport Management is a national and global multi-faceted industry. A Sport Management degree can lead to job placements locally, nationally, and internationally. The degree would support job placements by Maine students within the state of Maine that would otherwise be mostly filled by out of state applicants.
3. **Careers.** Careers in Sport Management vary widely, from opportunities in professional sports organizations, private companies and non-profit organizations. They include managing local sport and fitness facilities, community high-school and college athletic programs, sports-related indoor and outdoor recreations and services, careers in sports-related marketing and retail, and sports agencies and franchises. A Sports Management degree can lead to jobs in parks, camps and recreation, and tourism. Many of the jobs in sport-related fields are also highly transferable to non-sport fields. According to Learn.org, examples of career areas pursued by graduates from a Sports Management degree may include:

- Public relations
- Facility management
- Fundraising
- Broadcasting
- Sporting goods sales
- Sporting goods manufacturing
- Sports agency
- Promotion and development administration
- Sports information management
- Professional and amateur sport organizations
- Collegiate athletics
- Sport event management
- Coaching
- Promotion experts
- Sports economists

Sources: [learn.org](https://www.learn.org/sports-management-degrees) and [sports-management degrees](https://www.sports-management-degrees.com)

7. **The Need Locally and Regionally.** Maine has a unique four-season geography and way of life with an associated range of sport and recreation businesses. The ski industry in Maine is an excellent example of the need for Sport Management majors in our state and the surrounding region. According to the National Ski Areas Association, twenty ski areas operated in Maine during the 2018-2019 season (nsaa.org). In 2017, 1.3 million visitors came to Maine to ski with an economic impact of \$300 million (Mainebiz.biz). The Bureau of Labor Statistics shows the ski industry employing several thousand people annually. Maine's Youth Summer Camps also need Sport Management majors. Each summer, thousands of children from all over the US come to Maine for the traditional outdoor wilderness camp experience. The Maine Camp Experience (mainecampexperience.org) represents a community of 36 premier summer camps. Each year more than 20,000 campers experience Maine summer camps through their organization, creating more than two million alumni. Another organization MaineCamps.org represents more than 120-member camps. In a 2012 article, The Portland Press Herald reported that 330 summer camps in Maine generated \$332 million for Maine's economy, which included over 500 full-time positions and over 10,500 seasonal positions. Other local and regional organizations in need of Sport Management majors include:

- Maine Red Claws
- Madison Square Garden
- Boston Celtics
- Octagon, Inc
- US Olympic Committee
- Tri-Maine
- Shamrock Sports Group
- USM Athletics Department
- Portland Pirates
- ESPN
- New England Patriots
- New Balance
- Portland Seadogs
- NCAA
- Aura 360
- International Tennis Hall of Fame
- USA Hockey
- TD Garden
- Oxford Plains Speedway
- Gorham Parks & Recreation Department
- Boston Bruins
- Tri-for a-Cure
- USTA New England

9. **Enrollment Projections.** MBS currently offers a Sport Management course as an elective (BUA490 experimental topic through face-to-face and online modalities). We have offered this course four times over the last five years, with almost 160 students taking the class. The course usually has a waitlist when we offer it. Anecdotally, students attending open houses and accepted students have been asking questions about a major in Sport Management. Moreover, UMaine has over 430 student-athletes, of which roughly 30 percent (129) are Business Majors. UMaine Athletics also employs over 70 fulltime staff members with a high turnover that are seeking degrees. We also anticipate a number of non-business major student athletes to change their major into Sport Management.

In order to calculate projected enrollments for Sport Management, we assume our incoming first-year enrollment will remain stable at 300 students. As a conservative estimate, we anticipate roughly 13 percent of new students, student-athletes, and staff members, or 40 individuals in each cohort, to pursue a major in Sport Management. This estimation seems reasonable and consistent with other institutions suggesting an average size of Sport Management programs of about 150 students. However, we do expect some degree of cannibalization from our other majors (estimated at 5 percent). Yet we anticipate a net gain overall once the major has matured after four years. We hope to grow this major by 40 students each year to reach a total of 160 students by year four (see Table 3 below).

Table 3
Projected Growth in Declared Sport Management Majors Compared to other Majors

	Year	Sport Mgmt	Mgmt*	Marketing*	Finance*	Accounting*	Total Enrollment	Net gain/loss
Fall 2018		-	375	266	240	130	1011	-
Fall 2021	1 st	40	356	253	228	124	1001	-10
Fall 2022	2 nd	80	356	253	228	124	1041	+30
Fall 2023	3 rd	120	356	253	228	124	1081	+70
Fall 2024	4 th	160	356	253	228	124	1121	+110

* Declared Majors and projection - Fall 2018 data from Office of Institutional Research and Assessment

Sport Management Curriculum Working Proposal

A 15-credit Sport Management major would leverage existing and new courses to offer a flexible degree with a core foundation in Sport Management with electives offered in Park Recreation and Tourism, and Kinesiology and Physical Education, and Communication.

Sport Management Major Proposal

Prof. Das		Prof. Myrden		Prof.
Fall	Spring	Fall	Spring	Fall or Spring
MGT490 Sport Mgmt BUA325 BUA325	BUA330 BUA626	BUA 371 (service) BUA 375 (retail)	MKT490 Sport Mkt BUA 371 BUA 371 (online?)	MGT490 Sport Practicum

Sport Management MBS Electives

Prof. Carter		Prof. Lu	Mr. Ralph
Fall	Spring	Fall or Spring	Fall or Spring
BUA382 (CB) BUA382 (CB) BUA 374 (Sales)	BUA382 (CB) BUA 374 (sales)	MGT500 Sport Analytics (online?)	MGT490 Sport Ethics

Prerequisites: Junior Standing. BUA325 for SprtMgt; BUA270 for SprtMKT; BUA325 for SprtOrg.; Sport Analytics – Senior Standing.

 Email viewed by Faye W Gilbert, Ph.d. (faye.gilbert@maine.edu)

2020-12-03 - 1:50:44 AM GMT- IP address: 66.102.8.1

 Document e-signed by Faye W Gilbert, Ph.d. (faye.gilbert@maine.edu)

Signature Date: 2020-12-04 - 3:14:22 PM GMT - Time Source: server- IP address: 66.66.190.104

 Agreement completed.

2020-12-04 - 3:14:22 PM GMT



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

Tel: 207-581-5842
Fax: 207-581-9212
www.maine.edu

Date: 30 March 2021

To: Dr. John Volin, Executive Vice President for Academic Affairs and Provost
University of Maine

Dr. Joan Ferrini-Mundy, President
University of Maine

From: Dr. Robert Placido, VCAA
University of Maine System

The University of Maine

Dannel Malloy, Chancellor
University of Maine System

University of Maine
at Augusta

Regarding: Program Request – BS in BA Sports Management

University of Maine
at Farmington

Thank you for submitting a request to create a BS in Business Administration with a Major in Sport Management (SM). I have reviewed the request and other historic documentation with the Chancellor. We want to congratulate your faculty on the initiative and commitment they have shown in developing this program.

University of Maine
at Fort Kent

University of Maine
at Machias

Recall that the Chancellor made a commitment to the Board of Trustees at the September 2020 meeting to only seek approval of new academic programs that are not duplicative or competitive. My September 29, 2020 Memo to Presidents on Unified Accreditation Principles in Academic Program Review and Approval Repeated this commitment. These directives make clear our intention to use unified accreditation as a means to improve program quality and use our public resources more efficiently, and every program proposal should clearly demonstrate how unified accreditation principles were considered in its development.

University of Maine
at Presque Isle

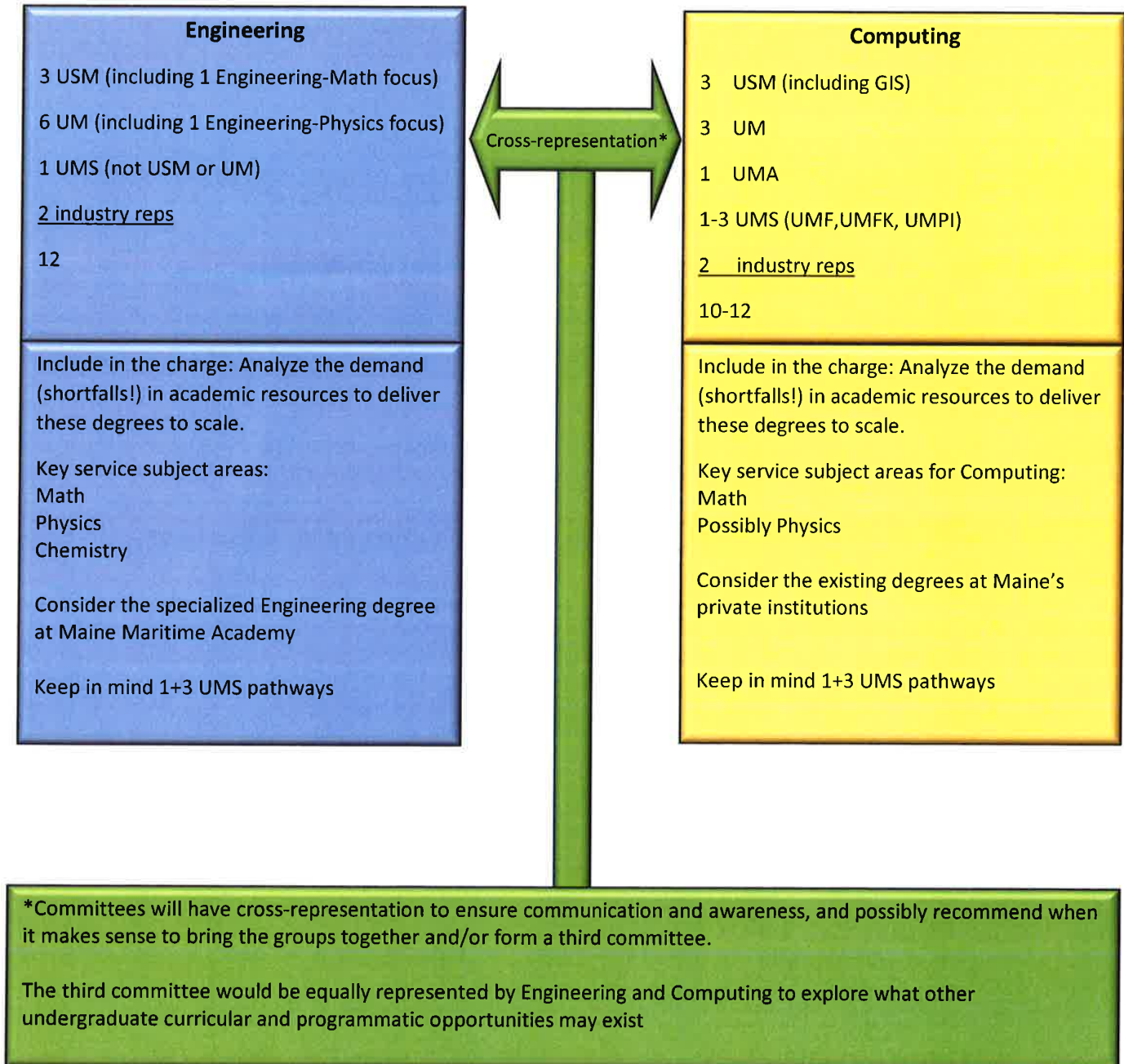
University of
Southern Maine

We have placed this proposal in pending status. I would like to invite you and your team to look one more time for ways to collaborate. For instance, could collaboration eliminate the need for a new faculty? Are there marketing opportunities that could be leveraged with UM and USM? I understand UM's SM program would primarily be for your Division 1 athletes and students who live locally. Since you intend to serve local students, could you conceive of an agreement for USM to have the right of first refusal for non-local students, or perhaps UM could have a cap on non-local students? We are looking for your creativity to strengthen your program, serve our students, use existing resources more efficiently, and do no harm to other UMS Universities.

Given the collaborative spirit shown by the talented faculty you mentioned in your proposal, I have every confidence you can amend the proposal. We look forward to seeing your additional thinking before final submission to the Chancellor.

MCECIS notes • April 5, 2021

Makeup of the Undergraduate Programs Working Committees






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

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

Date: April 5, 2021

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

From: Dr. Robert Placido, VCAA 

Regarding: USM Academic Program Proposal: M.S. in Data Science

The University of Maine

University of Maine
at Augusta

University of Maine
at Farmington

University of Maine
at Fort Kent


University of Maine
at Machias

University of Maine
at Presque Isle

University of
Southern Maine

Please find the attached program proposal from the University of Southern Maine (USM) to offer a M.S. in Data Science (MSDS). The attached material includes letters of support from President Glenn Cummings and Provost and Executive Vice President for Academic and Student Affairs (PEVPAA), Jeannine Uzzi, as well as the full program proposal. Because UM already has a MSDS program, we asked USM's academic leaders to further examine opportunities for collaboration. President Cummings response letter is included and I believe the letter satisfies our request because the two programs will serve two distinct student interests and USM will partner with UM on delivering some of the courses of both programs. The MSDS also has a cross-department interdisciplinary structure, which strengthens the program through internal collaboration.

The proposed USM MSDS was reviewed and recommended by the Chief Academic Officers Council (CAOC). The CAOC reviewed and recommended the proposal to me on February 4, 2021. I also recommend this program for your approval.

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


Chancellor Dannel Malloy


Date

Academic Program Request

Pro forma Statement

Executive Summary The University of Southern Maine proposes a 30-credit hour **M.S. in Data Science** program that is multidisciplinary, involving existing and proposed courses primarily from Computer Science and Statistics, with additional support from the UM MBA and concentrations in Business Analytics, Geographic Information Systems, Public Health, and Cybersecurity, in addition to Computer Science and Statistics. Courses will be delivered on campus and in hybrid formats. The program will appeal primarily to those with undergraduate degrees in computing and data analytics, along with working professionals involved in analytics. Nonetheless, we are interested in recruiting students from a variety of backgrounds. The degree provides a valuable opportunity for face-to-face graduate education serving students in or near southern Maine. USM is embedded in the economic and demographic hub of Maine, with direct daily access to a nearby student population and diverse workforce. Students in this degree will have extensive opportunities for industry collaboration, internships, and work placements.

	Academic Year			
	2021	2022	2023	2024
Projected Enrollment, full time students (part time students)	5 (5)	10 (10)	15 (15)	20 (20)
Revenue				
Estimated Tuition, Full time (Part time student tuition)	\$31,575 (\$15,788)	\$63,150 (\$31,575)	\$94,725 (\$47,363)	\$126,300 (\$78,930)
Other Revenue to University				
Total Revenue	\$31,575 (+\$15,788) = \$47,363	\$63,150 (+\$31,575) = \$94,725	\$94,725 (+\$47,363) = \$142,088	\$126,300 (+\$78,930) = \$205,230
Expenses				
FTE Faculty (Reallocated Line)	1	1	1	1
2 Graduate Assistantships	\$42,630	\$42,630	\$42,630	\$42,630
Supplies (M&O, Cap)	\$70,000 (server, will seek philanthropy to support)	\$5,000 (marketing)	\$5,000 (marketing)	\$5,000 (marketing)
Total Expenses	\$112,630	\$47,630	\$47,630	\$47,630
Net	-\$65,267 (\$4,733 with gift of server)	\$47,095	\$94,458	\$157,600



Office of the Chancellor
15 Estabrooke Drive
Orono, ME 04469

Tel: 207-973-3205
www.maine.edu

Dannel P. Malloy
Chancellor

March 9, 2021

To: Dr. Glenn Cummings, President
University of Southern Maine

Dr. Jeannine Uzzi, Vice President of Academic Affairs/Provost
University of Southern Maine

The University of Maine From: Dannel Malloy, Chancellor, University of Maine System

University of Maine at Augusta Regarding: Program Request – MS Data Science

University of Maine at Farmington Thank you for submitting a request to create a MS in Data Science. I have reviewed the request and other historic documentation with VCAA Placido. I want to congratulate your faculty on the initiative and commitment they have shown in developing this program.

University of Maine at Fort Kent

University of Maine at Machias

University of Maine at Presque Isle

University of Southern Maine

University of Maine School of Law

Recall that I made a commitment to the Board of Trustees at the September 2020 meeting to only seek approval of new academic programs that are not duplicative or competitive. My September 29, 2020 Memo to Presidents on Unified Accreditation Principles in Academic Program Review and Approval repeated this commitment. These directives make clear our intention to use unified accreditation as a means to improve program quality and use our public resources more efficiently.

I understand USM's program was originally developed a number of years ago. Since then, a MSDS was implemented by UM and a BSDS by UMA, with their collaborative components creating a 4+1 pathway. Before resubmitting this proposal, I would like to invite you and your team to re-engage in this process to collaborate with the existing programs. It occurs to me that with a strong UM program and 4+1 with UMA, there may be an opportunity for revision that would strengthen some of the USM proposal elements. For instance, would this collaboration eliminate the need for a new faculty? Are there marketing opportunities that could be leveraged with UM and UMA? Do enrollment estimates change?

Given the collaborative spirit shown by the talented faculty you mentioned in your proposal, I have every confidence you can amend the proposal to embed your interdisciplinary ideas into the already established Data Science collaboration between UMaine and UMA. I look forward to seeing the revised proposal.



Office of the President

April 7, 2021

Dr. Robert Placido
Vice Chancellor for Academic and Student Affairs
University of Maine System
15 Estabrooke Drive
Orono, ME 04469

Dear Vice Chancellor Placido:

The University of Southern Maine (USM) is pleased to submit a new Program Proposal to the University of Maine System.

The Faculty and Staff of the Departments of Computer Science and Mathematics and Statistics at the University of Southern Maine (USM) have developed a program proposal for an M.S. in Data Science. This proposal is a multidisciplinary involving courses from Computer Science and Statistics, Business Analytics, Public Health, and Geographic Information Systems in response to the growing demand for Data science professionals needed both in Maine and nationally.

You will note in our proposal that courses from the Maine MBA (BUA and MBA classes) are already included in the USM MS in Data Science: these are all UM courses. The degree also includes courses in GIS and will take advantage of the developing System partnerships in GIS. USM Professor of Computer Science Bruce MacLeod sits on the UM Data Science Committee. In addition to sharing courses with UM and utilizing GIS partnership, USM will capitalize on its exiting partnership in cybersecurity with UMA to create accelerated pathways from UMA's computer information systems and data science undergraduate programs into USM's existing master's in computer science and proposed master's in data science.

The enclosed Program Proposal has been unanimously recommended by the USM Graduate Council, the USM Faculty Senate, and has the full support of Provost Jeannine Uzzi. Attached you will also find a joint statement of support written by UM and USM which references benefits to both institutions, including providing the most flexibility for students, the unique resources each institution offers, and the opportunity to enhance and support growth in Maine.

The Program Proposal for the Masters of Science in Data Science at USM has my unequivocal support.

I request that the enclosed Program Proposal be moved directly to the Board of Trustees for approval.

Sincerely,

A handwritten signature in black ink, appearing to read "GL A. C.", followed by a horizontal line.

Glenn A. Cummings
President

ENC.

CC: Provost Uzzi
Dean Qualls
File

P.O. Box 9300, Portland, ME 04104-9300
PHONE (207) 780-4480, TTY (207) 780-5646, FAX (207) 780-4561
www.usm.maine.edu

A member of the University of Maine System



April 6, 2021

Dr. Glenn Cummings
President
University of Southern Maine
93 Falmouth Street
Portland, ME 04104

Dear President Cummings:

The University of Southern Maine (USM) is pleased to submit a new program proposal to the University of Maine System.

The Faculty and staff of the Departments of Computer Science and Mathematics and Statistics at the University of Southern Maine (USM) have developed a program proposal for an M.S. in Data Science.

The enclosed Program Proposal has been unanimously recommended by the Graduate Council and the Faculty Senate at USM.

I am pleased to forward this Master of Science in Data Science to you with my full support.

Sincerely,

Dr. Jeannine D. Uzzi
Provost and Vice President for Academic Affairs

ENC.

cc: Jeremy Qualls, Dean, CSTH
File

**Affirmation for Collaboration and Summary of Differences Between USM MS in Data Science Proposal and UM MS in Data Science and Engineering Program
January 2021**

Overview

A rapidly growing regional and national demand for qualified data scientists has spurred the development of two new program proposals for MS degrees. The University of Southern Maine is proposing a master's program in data science, while the University of Maine's MS degree and certificate programs in Data Science and Engineering were recently approved. We believe there is room for both of these programs within Maine's higher education environment. Each program is distinctive in structure and pedagogical approach. There is some necessary cross-over between the two, but this does not create redundancy so long as the USM program remains in-person or hybrid and the UM program adheres to in-person or online instruction. The UM program is available both online and on campus and the USM degree provides a valuable opportunity for face-to-face graduate education serving students in or proximal to southern Maine. It is our contention that the state will be well served if both programs proceed.

Colleagues at the University of Southern Maine and the University of Maine agree with this cooperative approach. The University of Maine MS proposal notes: "The University of Southern Maine (USM) is also developing a Data Science graduate program proposal . . . We believe the two programs can share some course offerings as a way to obtain the most benefit from resources, while providing the most flexibility for students. We expect that two strong programs in Data Science will help in the formation of shared projects, with team members distributed between the two universities" (p. 7). UM's program has already been approved and USM proposed program is being presented to the Board of Trustees.

Both USM and UM will benefit from resident data science expertise. The presence of a community of dedicated data science faculty and graduate students on campuses will provide a resource for other students and researchers to grow ideas and projects in this emergent field. Each campus brings unique opportunities and resources to the table. USM is embedded in the economic and demographic hub of Maine, and as such has direct daily access to a nearby student population. Further, there are extensive opportunities for industry collaboration, internships, and work placements. The University of Maine, as the system's flagship campus, houses a larger and more diverse academic research community, numerous doctoral programs, and more funding. Collaboration and cooperation between programs at these two uniquely positioned institutions will leverage resources and opportunities for both. If well-planned collaborations are extended into other University System campuses, there is significant potential for future service to other resource-challenged regions of the state. We suggest that the program we propose, in collaboration with colleagues elsewhere in the system, will provide opportunities, support, and an educated workforce to enhance and support growth in Maine.

	MAT 210 – Business Statistics MAT 220 – Statistics for Biological Sciences MAT 282 – Statistical Inference MAT 380 – Probability and Statistics <i>Computer Science</i> COS 160 – Structured Problem Solving: Java COS 184 – Python Programming	prerequisites will be required to take <u>foundation courses</u> that will count toward the degree. All students must have at least a college level statistics course as a prerequisite to taking the foundations course in statistics.
Entry Requirements	Transcripts CV Personal statement GPA of 3.0 + Three recommendations Applicants whose first language is not English are required to submit TOEFL or IELTS scores.	Transcripts Resume Essay Contact information for three recommenders GPA of 3.0 + <u>TOEFL</u> or <u>IELTS</u> scores (TOEFL minimum of 80 or IELTS 6.5.) – Waived for native English speakers and students graduating from an English-speaking or <u>ESL</u> programs.
Primary Recruitment	Greater Portland Area: many of these students want F2F classes and are looking for collaboration with USM faculty	Greater Orono area and online
Program Content	15 credits of required courses with a focus on the statistical, mathematical, and software aspects of Data Science. 9 credits in domain of interest and then thesis/capstone option	Different degree options are available, but in general terms: 12 credits of required Foundation and Practicum courses, 12 credits from at least four of five Theme Areas, and an optional thesis or capstone project. Remaining credits from foundation courses, theme areas, or domain specializations to reach 30 credits.
Projected Enrollments	2020-2021 – 2021-2022 – 5 2022-2023 – 10 2023 -2024 – 15 2024-2025 –	2020-2021 – 10 2021-2022 – 17 2022-2023 – 25 2023 -2024 – 30 2024-2025 – 30

1/27/2021

Master of Science in Data Science
University of Maine System Program Proposal
University of Southern Maine
2020

Information Systems, Public Health, in addition to Computer Science and Statistics. Courses will be delivered in several modalities, including online and on campus.

The M.S. in Data Science should appeal primarily to undergraduate majors with an interest in computing and data analytics, along with working professionals involved in analytics. Nonetheless, we are interested in recruiting students from a variety of backgrounds. For example, USM offers a B.S.B.A. degree in Business Analytics. Although many of those students may choose an M.B.A. program if they wish to pursue graduate school, some of them may seek an M.S. program. Similarly, USM offers a minor in game design studies, and some students in that program may be interested in graduate school in data science. Accelerated pathways are planned for students who do not have the prerequisite background in Mathematics or Computer Science. Furthermore, the University of Maine at Augusta recently launched a B.S. in data science, which should increase interest in graduate analytics programs and further develop a community of practice.

B. General Program Goals

1. To provide high quality opportunities for postbaccalaureate education in data science, particularly to residents of Maine
2. To strengthen ties within the USM community and with local businesses, state and federal government agencies, nongovernmental organizations, and the education community
3. To build a stronger intellectual climate within USM and the Greater Portland area
4. To enhance knowledge, technical skills, and tools that can be applied immediately in the workforce
5. To fill demand for data science professionals in all sectors and industries

C. Specific Student Outcomes

Upon successful completion of the program, students will be able to:

1. collect, prepare, visualize, and analyze data,
2. interpret results in an interdisciplinary context,
3. use critical thinking skills and apply knowledge and methods when analyzing real world problems and developing state-of-the-art solutions,
4. communicate findings effectively to key stakeholders,
5. formulate and lead teams that can integrate the essential body of knowledge to produce solutions to real world problems,
6. understand and take into account ethical concerns associated with data collection, and
7. develop a strong sense of community identity, gaining perspectives by belonging and actively contributing to the scientific community.

are offered online or on campus. UM offers a M.S. in Information Systems (online or campus), in Spatial Informatics (online), and in Spatial Information Science and Engineering (campus).

The new M.B.A. program also includes a concentration in Business Analytics, which is 33 credits. Students take 8 core M.B.A. courses, with 3 electives in Business Analytics. Furthermore, students applying to the M.B.A. are required to have taken coursework in accounting, economics, finance, marketing, and management. Thus, it is likely to target a different audience than the M.S. in Data Science. Nonetheless, there is opportunity for students enrolled in the M.B.A. and the M.S. to take courses offered in the other program, providing greater flexibility.

USM and UMA recently launched a joint M.S. in Cybersecurity. That program is more focused on protection of computer networks and defense against cyberattacks. Nonetheless, opportunities may exist for collaboration in coursework as both programs develop.

USM currently offers a graduate certificate in data science and a data science track within the M.S. Statistics program. The 15-credit certificate targets nonmatriculated students who wish to learn more about the methodologies of data science. Although similar to the proposed degree, the track within the statistics program focuses more on the prescriptive and predictive aspects of analytics. This new program offers more options to students because it draws courses from a range of disciplines.

Similar programs within Maine

The University of New England offers a M.S. in Health Informatics (36 cr, \$730 per cr hr), a more focused offering that aligns with their expertise in the health professions.

Online programs exist as well (Table 1). Tuition costs range from \$22,572 to \$44,400.

Table 1. Sample of online M.S. programs in New England that offer degrees in data science or related fields.

Institution	MS program	Number of required credits	Tuition (per credit)	Total (not counting fees)
Southern New Hampshire University	Data Analytics	36	\$627	\$22,572
Bay Path University (MA)	Applied Data Science	36	\$880	\$31,680
Boston University	Applied Business Analytics	48	\$925	\$44,400
Boston University	Computer Information Systems – Data Analytics concentration	40	\$925	\$37,000
Merrimack College	Data Science	32	\$915	\$29,280

The most recent development in graduate programs in data sciences and related fields is the Roux Institute, which is affiliated with Northeastern University. They intend to launch their programs in Fall 2020. However, little information about their graduate degrees is available

We propose two sample itineraries for completing the prerequisite courses in one calendar year.

	<u>Itinerary One</u>	<u>Itinerary Two</u>
Fall Semester	MAT 152 Calculus A	COS 184 Python Programming
Spring Semester	COS 160 Structured Problem Solving: Java	MAT 220 Statistics for Biological Sciences
Summer Term	MAT 210 Business Statistics	MAT 152 Calculus A

Some qualifying prerequisite courses for the M.S. in Data Science program are not prerequisites among themselves and may, therefore, be taken simultaneously thereby reducing the duration of this prerequisite period in an applicant's timeline. Many of the above courses are offered online, asynchronous, which provides more flexibility for incoming students from other disciplines.

Conditional admission status may be granted to students who do not fully meet these requirements but who have a good working knowledge of statistical methods. Upon successful completion of preparatory coursework, the student will be granted regular admission status.

Students who are currently enrolled at USM may apply for admission any time after attaining junior standing by applying directly to the Office of Graduate Admissions. Additional requirements include copies of all transcripts, current vitae, a personal statement, a GPA of 2.75 or better, and two letters of recommendation.

Applicants not currently enrolled at USM may apply directly to the Office of Graduate Admissions. Additional requirements include copies of all transcripts, current vitae, a personal statement, a GPA of 3.0 or better, and three letters of recommendation. Submission of GRE scores is optional. Applicants whose first language is not English are required to submit TOEFL or IELTS scores.

Application Deadlines

The program has a rolling admission policy. However, deadlines for candidates seeking financial support are March 15 for fall semester and October 15 for spring semester. Students applying to the graduate program by January 15 are eligible to apply for a tuition waiver for the next academic year.

General plan of study

Students will take 5 required courses (15 credits), and then they may choose from one of six tracks or concentrations: Business Analytics, Computation, Geographic Information Systems (GIS), Public Health, Prescriptive Analytics, and Predictive Analytics. Students complete 3 courses (9 credits) in each track. Finally, students complete a capstone project that involves a practicum (3 credits) or a thesis (6 credits).

A. Courses

Course descriptions are provided in Appendix A.

COS 571	Advanced Database Systems	campus
COS 572	Artificial Intelligence and Data Mining	campus
COS 582	Design and Analysis of Computing Algorithms	campus

Geographic Information Systems Track (choose 3)

Number	Title	Modality
GEO 540	Digital Mapping	campus
GEO 605	Remote Sensing	online
GEO 608	GIS Applications I	campus
GEO 618	GIS Applications II	online

Public Health Track (choose 3)

Number	Title	Modality
MPH 535	Introduction to Epidemiologic Research	campus
MPH 545	Applied Biostatistical Analysis	campus
MPH 650	Public Health Research and Evaluation	campus
MPH 677	Regression Models in Health Sciences	campus
STA 501	Ethical Issues in Biostatistics	online
STA 580	Applied Statistical/Biostatistical Methods	campus

Prescriptive Analytics Track (choose 3)

Number	Title	Modality
STA 561	Deterministic Models in Operations Research	campus
STA 562	Stochastic Models in Operations Research	campus
STA 563	System Modeling and Simulation	campus
STA 564	Queuing Networks	campus

Predictive Analytics Track (choose 3)

Number	Title	Modality
STA 581	Statistical Quality Control	campus
STA 582	Introduction to Longitudinal Data Analysis	campus
STA 583	Sample Survey Design and Analysis	campus
STA 584	Advanced Design and Analysis of Experiments	campus
STA 585	Linear Models and Forecasting	campus
STA 586	Predicting Modeling with Big Data	campus
STA 588	Introduction to Statistical Data Mining	campus
STA 589	Survival Analysis	campus

strengthening graduate education in general at USM. Furthermore, undergraduates in STEM fields and business would have another option for pursuing graduate education in the region.

V. Program Resources

A. Personnel

Faculty involved in the M.S. Data Science program are listed below.

Matthew Bampton, Ph.D.
Professor of Geography

Muhammad El-Taha, Ph.D.
Professor of Operations Research

Bruce MacLeod, Ph.D.
Associate Professor of Computer Science

James Suleiman, Ph.D.
Associate Professor of Management Information Systems

Ahmad Tafti, Ph.D.
Assistant Professor of Computer Science

Vinton Valentine, Ph.D.
Director of USM GIS

Weston Viles, Ph.D.
Assistant Professor of Mathematics and Statistics

Erika Ziller, Ph.D.
Assistant Professor of Public Health

1. Vita of faculty

Curriculum vitae for these faculty are included in Appendix B.

2. Specific effect on existing programs of faculty assignments in new program

Many courses that will be included in the M.S. Data Science program currently exist and are taught regularly. Thus, faculty assignments already include those courses. New courses will be covered by existing faculty. One faculty member will coordinate the graduate program, and such work will be counted as part of their service commitment to the university.

B. Current Library Acquisitions Available for New Program

A search of journal holdings at USM indicated access to 668 journals in computer science or in data science specifically (computer science journals and specific data science journals). In addition to journals, USM students have access to Interlibrary Loan services on

VI. Total Financial Consideration**A. Estimate of Anticipated Cost and Anticipated Income of the Program for Five Years****1. Revenue**

	2021-2022	2022-2023	2023-2024	2024-2025	2025-2026
Number of full time students	5	7	8	9	10
Number of part time students	5	10	15	20	25
Total number of students	10	17	23	29	35
Total credit hours for full time students (15 cr/year)	75	105	120	135	150
Total credit hours for part time students (7.5 cr/year)	37.5	75	112.5	150	187.5
Tuition revenue (\$421/cr in state rate)	\$47,362	\$75,780	\$97,882	\$119,985	\$142,087

2. Expenses

	2021-2022	2022-2023	2023-2024	2024-2025	2025-2026
New tenure track faculty (\$90,000 salary + \$47,880 benefits teaching 50% in graduate program)	\$68,940	\$68,940	\$68,940	\$68,940	\$68,940
Graduate assistantships (2 @ \$15,000 stipend + \$6315 tuition waiver)	\$42,630	\$42,630	\$42,630	\$42,630	\$42,630
Initial costs to launch program	\$5,000				
Hardware for virtualization	\$70,000				
New course development	\$25,000				
Total expenses	\$211,570	\$111,570	\$111,570	\$111,570	\$111,570

3. Net revenue

	2021-2022	2022-2023	2023-2024	2024-2025	2025-2026
Net revenue	-\$164,208	-\$35,790	-\$13,688	\$8,415	\$30,517

B. Detailed Information on First-Year Costs, Including:**1. New Personnel requirements (including employee benefits)**

The university has hired one new tenure track faculty member in Computer Science. To run a competitive search, we offered \$90,000 in salary, with \$47,880 in benefits. The budget includes 50% of this cost because the faculty member would teach approximately 50% in the graduate program in Data Science. The remainder of the workload would include undergraduate courses, so the graduate program will not bear the full cost of the hire. The program plans to seek to hire an additional faculty member in the future.

Appendix A. Course Descriptions

Required Courses

Mathematics for Data Science

In this course, we explore the mathematical concepts that support the discipline of data science: from the first principles of method development through the implementation and model assessment process. Particular domains include linear algebra, graphs/networks, optimization and numerical analysis, and probability. As a result of this course, students will have gained the foundational skills to develop a conceptual framework for approaching data analysis problems and for identifying feasible methods to solve them. That is, to use mathematics as a guide for understanding and devising data science methodology.

Machine Learning

The basic theory, algorithms, and applications of Machine Learning are covered in this course. Students will develop an understanding of learning theory, supervised and unsupervised learning algorithms, and reinforcement learning techniques. The course will also explore recent practical applications of machine learning.

Computing for Data Science

This course focuses on a practical introduction to the algorithms and problem solving techniques needed for managing data using the python programming language. Students will learn how to use software tools for analyzing, visualizing and managing data including panda, numpy, matplotlib, and git. The examples used in the course are from actual problems in the field. A final project, based on a student's own work or research, will be a key part of this course.

Statistical Learning

Bridging the gap between statistics and machine learning, the methods of statistical learning provide a structured approach to solving classification and prediction problems. This course focuses on the concepts, principles, and methods of statistical learning that are fundamental to unsupervised and supervised learning in modern data analysis problems. Topics include advanced regression, kernel smoothing and regularization, support vector machines, model assessment and validation, principal components analysis and K-means, and graphical models in high-dimensional contexts.

Introduction to Data Science

This is an introductory course in data science. It will cover a full technical pipeline from database management to data analytics and the final data product. Topics include data manipulation at scale, machine learning and data mining algorithms, statistical modeling, information visualization, and special topics chosen from text mining and social network analysis. After completing this course, students will be able to work with large datasets and perform predictive analytics using a range of tools. Course projects will include cleaning, processing, and analyzing data at scale, along with formal technical writing with appropriate data visualizations.

Electives

Business Analytics Track

BUA 601 Data Analysis for Business

This course familiarizes students with how to utilize data to inform organizational decision making. In doing so students will learn to identify business problems, then learn how to differentiate types of big data, then propose a research question, think critically about which statistical processes and applications will yield insights from the data, such that students are able to inform organizational

the project life cycle, including developing the charter, plans, and justification; outsourcing and other procurement decisions; management of scope, time, cost, quality, personnel, and risk; and the critical role of communications inside and outside the project. Experts from industry will present case studies of success and failure. Prerequisite: previous bachelor's degree and COS 420 or COS 430. Cr 3.

COS 558 Database Systems

Study of the methods and principles of database management systems (DBMS). Topics addressed include DBMS objectives and architecture, data models, data definition and manipulation languages (in particular, SQL) and providing internet access to databases. The entity-relationship and relational models are emphasized and their use required in a design project. Prerequisite: graduate standing. Cr 3.

COS 571 Advanced Database Systems

This course covers advanced, post-relational database systems such as object-oriented databases, XML database technologies, integration of different technologies such as LINQ, object oriented interfaces to XML and integration with the object-oriented technology. Object-oriented topics include developments from industrial standards such as ODMG and Java Data Objects, query languages such as OQL, Java database technology, object-relational systems and language integrated queries such as LINQ. Object-oriented interfaces to XML include DOM, LINQ to XML, LINQ to XSD, as well as other industrial developments. The course includes hands-on experience with advanced database management systems such as db4 and Objectivity, LINQ, and object-oriented interfaces to XML. The requirements include object-oriented software and database development projects, and a term paper. Normally offered once every two years. Prerequisite: Permission of the instructor. Cr 3.

COS 572 Artificial Intelligence and Data Mining

An introduction to the underlying concepts and applications of intelligent systems. Topics include heuristic search techniques, pattern matching, rule-based systems, computer representations of knowledge, and machine learning and data mining techniques. Course work includes regular labs and larger projects. Students will learn to conduct research in artificial intelligence and will complete a modest research project. Typically offered once every two years. Prerequisite: COS 350 or permission of instructor. Cr 3.

COS 582 Design and Analysis of Algorithms

Techniques for designing algorithms, such as divide-and-conquer, greedy method, dynamic programming, and backtracking are emphasized and illustrated. Many problems of practical importance are covered, including minimum spanning tree, single source shortest path, traveling salesperson, and graph search. The concepts of NP-completeness are also considered. Prerequisite: graduate standing. Cr 3.

Geographic Information Systems Track

GEO 540 Digital Mapping

Students are exposed to the latest digital survey gear and integrated techniques with applications in geoscience, geography, and environmental science. Instrumentation includes both static and real-time kinematic GPS (global positioning system) and autolock servo-driven electronic total station. Detailed precision survey data are combined with geo-referenced maps and imagery in GIS software. Prerequisites: introductory course in GEY, GEO, or ESP, and additional 200-level course in any of the above areas. Cr 4.

GEO 605 Remote Sensing

Theory and techniques of image processing and analysis for remotely sensed digital data acquired from airplane and satellite platforms. Topics include image enhancement and classifications, spectral

STA 501 Ethical Issues in Biostatistics

This course examines a variety of ethical controversies in biotechnology, medicine, and the environment. It also examines the major ethical principles in conducting biomedical research including ethical aspects related to the production and use of biomedical statistical analyses. Cr 2.

STA 580 Applied Statistical/Biostatistical Methods

Basics in distribution theory (focus on CLT and sampling distributions); standard one-, two-sample problems (both parametric and nonparametric); one-, two-way ANOVA; estimation and testing theory (focus on normal theory and the principles of likelihood), various chi-square tests (Wald, Likelihood ratio, and Score tests); and analysis of contingency tables. Prerequisites: MAT 153 and MAT 282. Cr 3.

Prescriptive Analytics Track**STA 561 Deterministic Models in Operations Research**

Formulation and analysis of deterministic models in operations research, linear programming, integer programming, project management, network flows, dynamic programming, non-linear programming, game theory, and group projects on practical problems from business and industry. Prerequisite: MAT 152 or MAT 295 or permission of instructor. Cr 3.

STA 562 Stochastic Modeling in Operations Research

Formulation and analysis of stochastic models in operations research, Markov chains, birth-death models, Markov decision models, reliability models, inventory models, applications to real world problems, and group projects on practical problems from business and industry. Prerequisite: MAT 281 or MAT 380 or permission of instructor. Cr 3.

STA 563 System Modeling and Simulation

Basic simulation methodology, general principles of model building, model validation and verification, random number generation, input and output analysis, simulation languages, applications to computer and communication networks, manufacturing, business, and engineering will be considered, and group projects on practical problems from business and industry. Prerequisite: MAT 281 or MAT 380 or permission of instructor. Cr 3.

STA 564 Queuing Networks

Queuing and stochastic service systems, birth-death processes, Markovian queues, open and closed Jackson networks, priority queues, imbedded Markov chain models, optimal control and design, stochastic scheduling, applications to computer and communication networks, manufacturing, business, and engineering will be considered, and projects on practical problems from business and industry. Prerequisite: MAT 281 or MAT 380 or permission of instructor. Cr 3.

Predictive Analytics Track**STA 581 Statistical Quality Control**

Methods and philosophy of statistical process control, control charts for variables, control charts for attributes, CUSUM and EWMA control charts, some other statistical process control techniques, process capability analysis, and certain process design and improvements with experimental design. Prerequisite: MAT 282. Cr 3.

STA 582 Introduction to Longitudinal Data Analysis

This is an introductory course on how to use statistical techniques to analyze longitudinal (repeated

Appendix B. Curriculum Vitae of Faculty

- Bampton, M., Kelley J. Kelley, A. Jones, M & Bigelow, G. 2017. Little Ice Age Catastrophic Storms and the Destruction of a Shetland Island Community. *Journal of Archaeological Science*. 87:17-29
- Harris, D. E., Aboueissa, A., Walter, K., & Bampton, M. 2014. Predictors of Food Insecurity in Lewiston, Maine: A Community-Level Analysis. *Journal of Hunger & Environmental Nutrition*. 9:1:96-112
- Harris, D. E., Bampton, M. B., & Aboueissa, A. M. 2013. Two methods that define the scale of obesogenic environments: A case study of Lewiston-Auburn, Maine. *Journal of Hunger & Environmental Nutrition*, 8:1:11-21
- Bampton, M. 2012. Addressing misconceptions, troublesome knowledge and threshold concepts in GIScience education. In Unwin, D., Tate, N. J., Foote, K. E., & DiBiase, D. *Teaching Geographic Information Science and Technology in Higher Education*. Wiley, NJ.
- Harris, D. E., Whatley Blum, J., Bampton, M. O'Brian, L. 2011. Location of Food Stores Near Schools Does Not Predict the Weight Status of Maine High School Students. *Journal of Nutrition Education and Behavior* 43: 4: 274-278.
- Swanson, M. & Bampton, M. 2009. Integrated Digital Mapping In Geologic Field Research: An Adventure-Based Approach To Teaching New Geospatial Technologies In An REU-Site Program. In Whitmeyer, S. J., Mogk, D. W., and Pyle, E. J. *Field Geology Education: Historical Perspectives and Modern Approaches*. Geological Society of America Special Paper 461: 117 - 133.
- Harris, D. Bampton, M., Mosher, R., Gupta, S., & McAnneny, C. 2006. GIS-based Analysis of Harp and Hooded Seal Sighting Locations on shore in the Southern Gulf of Maine. *Journal of Interdisciplinary Mathematics*.
- Steinberg, M., Height, C., Mosher, R., and Bampton, M. 2006. Mapping massacres: GIS and state terror in Guatemala. *Geoforum*, 37: 1: 62-68
- Bampton, M. 2002. Deforestation and Siltation: A Historical and Ecological Look. *Cross-Grained and Wiley Waters: A Guide to the Piscataqua Maritime Region*. Randall, Portsmouth, NH.
- Bampton, M. 2002. Linking Location and Space to Process using Precision Mapping. *Archeologia e Calcolatori* 13: 171-178
- Bampton, M. & Mosher, R. 2000. A GIS Driven Regional Database of Archaeological Resources for Research and CRM in Casco Bay, Maine. In *Computing Archaeology for Understanding the Past: Computer Applications and Quantitative Methods in Archaeology. Proceedings of the 28th CAA Conference, Lubljana April 2000*. 139-142.
- Bampton, M. 1999. From Social Conflict to Environmental Change: Colonial Forestry's Impact on New England's Piscataqua Drainage Basin. *Historical Geography*. 27:193-211.
- Bampton, M. & Flyg, P. 1999. Field mapping the Ahu Ra'ai, La Pérouse Area, Rapa Nui (Easter Island). In *New Techniques for Old Times: Computer Applications and Quantitative Methods in Archaeology. Proceedings of the 26th CAA Conference, Barcelona, March 1998*. 146-152.
- Bampton, M. 1998. Anthropogenic transformations; Biography of Sir Arthur George Tansley; Dams and Reservoirs; Urban Geology; Arroyos and Wadis; Alluvium. In

- A New Collaborative Model for Geospatial Technology Education and Workforce Studies in a Rural Region. NSF ATE 0802417 \$450,000. (Johnson, Bampton, & Szakas)
- Digital Mapping, Geographic Information System (GIS) Database Construction and Geospatial Analysis of Regional Strike-slip Shear Zone Deformation. NSF REU Program 0647779. \$459,397. (Swanson & Bampton)
- Digital Mapping and Strain Analysis of Deformed Veins and Intrusions: A Detailed Structural Analysis of Strike-slip Shearing Deformation Combining Traditional Field Methods, Global Positioning Systems, Total Stations, and Geographic Information Systems. NSF REU 0647779. \$250,000 (Swanson & Bampton).
- A GIS Curriculum for Five University of Maine System Campuses. NSF CCILI 0126639. \$360,000 (Bampton, McAnney, Hobbins, Weigel, & Szakas)
- Digital Mapping and Strain Analysis of Deformed Veins and Intrusions. NSF REU 0353601. \$200,000 (Swanson & Bampton).
- Mapping a Pennsylvania Archaeological Site. The Pennsylvania State University. \$2,000. (Bampton).
- Combining GIS, GPS, and Electronic Total Stations in the Field and Environmental Sciences for the Undergraduate Science Curriculum. NSF DUE 9950822. \$99,985 (Bampton & Swanson).
- A Laboratory for Undergraduate GIS Education. NSF DUE 9750859. \$41,625 (Bampton, Kartez & Swanson).

ONLINE RESOURCES

- Mapping Food Insecurity in Cumberland County, Maine. 2011. Wallace, D., Gray, C., Lapping, M., Bampton, M., Small, R., Wolff, E., Burk, A., Weber, T., & White, B.
<http://muskie.usm.maine.edu/mappingfood/>
- Digital Atlas of Maine. In collaboration with Cadwallader, M., Desmond, J., Neely, s., Tranes, M., Youngs, T., Gammon, M., Heath, J., Lessard, J., & Valentine, V. Updated annually since 2002. <https://usm.maine.edu/gis/digital-atlas>

PROFESSIONAL PRESENTATIONS (* denotes student collaborators)

Conference Papers

- Bampton, M., & *Farrell, D. 2019. Linking Multi-Decadal Climate Trends, Natural Disasters, and Human Resilience in the North Atlantic during the Little Ice Age. AAG Meeting, Washington, DC.
- Bampton, M., Kelley, J. & Kelley, A. 2018. A case study of hyperlocal variation in Shetland Island storm survivability during the LIA. AAG Meeting, New Orleans, LA.
- Bampton, M., Kelley, J. Kelley, A. Jones, M & Bigelow, G. 2017. Little Ice Age Catastrophic Storms and the Destruction of a Shetland Island Community. AAG Meeting, Boston, MA.
- Bampton, M. Szakas, J., & Dearden, B. 2010. A preliminary concept map of GIS misconceptions. AAG Meeting, Washington DC.
- Johnson, T., Bampton, M. Markow, D., Colgan, C., Gregory, C., & Hood, S., Education for a Rural Geospatial Workforce: The Maine Experience. Teaching with GIS in Higher Education. 2010 ESRI Education User Conference. San Diego.

- Bampton, M., & Hamilton, N. 1994. Changing Environments of the Casco Bay During the Holocene. Meeting Maine Geological Society.
- Bampton, M., & Harrington, F. 1994. The Environmental Impacts of Mercantilism in the Piscataqua Basin. Meeting Eastern Historical Geographers Association, Halifax, NS.
- Bampton, M., & Harrington, F. 1994. Changing Places: Social and Ecological Transformations in 17th Century New England. Conference on New England Archaeology, Sturbridge, ME.
- Bampton, M., & Harrington, F. 1994. Environmental Consequences of New England's Earliest Entrepôts. Meeting of the Society of Historical Archaeologists, Vancouver, BC.
- Bampton, M., & Hamilton, N. 1994. A Method of Data Retrieval for the Impecunious Environmental Scientist. 1994 AAG Annual Meeting, San Francisco, CA. With N. Hamilton.
- Bampton, M., & Hamilton, N. 1993. Coastal Management Planning: Geoarchaeology in the Service of Society. 1993 AAG Annual Meeting, Atlanta, GA.

Posters & Published Abstracts

- Bampton, M. 2013. Creating and Implementing a Concept Inventory-Based Diagnostic Tool to Improve Undergraduate GIS Education Part II. Transforming Undergraduate Education in STEM: Building a Community to Transform Undergraduate STEM Education. AAAS/NSF, Washington, DC.
- Bampton, M., Szakas, J. Johnson, T. McAnney, C. McCourt, M., Dearden, B., Wang, C., & Hobbins, D. 2011. Creating and Implementing a Concept Inventory-Based Diagnostic Tool to Improve Undergraduate GIS Education Part I. Transforming Undergraduate Education in Science, Technology, Engineering, and Mathematics. AAAS/NSF, Washington, DC
- *Agopian, S., *Bedoian, L., Swanson, M. T., and Bampton, M. 2010. Precision Digital Mapping To Illustrate Geologic Events On Richmond Island, Casco Bay, Maine. NEGSA Meeting, Baltimore, MY.
- *Babcock, L. N., *Lipiec, E., Bampton, M., & Swanson, M. T. 2010. Kriging As A Tool For Interpreting Structural Data: Exploring Spatial Analysis Of Complex Folding On Seguin Island, Maine. NEGSA Meeting, Baltimore, MY.
- *Collins, M. D., *Lee, A., Swanson, M. T., & Bampton, M., 2010. Left-Lateral Mega Kink Band Structures Of Casco Bay, Maine. NEGSA Meeting, Baltimore, MY.
- *Braudy, N., *Kay, S., Swanson, M. T., & Bampton, M. 2010. High-Resolution Techniques For Extracting Structural Detail In Fault Zone Exposures At Richmond Island, Cape Elizabeth, Maine. NEGSA Meeting, Baltimore, MY.
- *Laskowski, A., *Hashimoto, K., Swanson, M. T., Bampton, M., 2010. Precision Digital Mapping Of Granitic Dikes With Implications For Intrusive Processes In Transpressional Shear Zones: An Example From Ragged Island, Casco Bay, Maine. NEGSA Meeting, Baltimore, MY.
- *Kohli, A., Bampton, M. & Swanson, M. 2009. Spatial Analysis of Modified F2 Fold Structures on Seguin Island, Maine. NEGSA Meeting Portland, ME.

- *Bates, A. K., Byars, H. E., Mccurdy, K., Swanson, M. T., & Bampton, M, 2006. Digital Mapping of Pseudotachylyte in the Harbor Island Fault Zone, East Muscongus Bay, Midcoast Maine. NEGSA Meeting, Camp Hill, PA.
- *Betka, P., Swanson, M. T., & Bampton, M., 2006. Digital Mapping Techniques Used to Correlate Left Lateral Shear with the Emplacement of the Waldoboro Pluton, Muscongus Bay, Maine. NEGSA Meeting, Camp Hill, PA.
- *Spaulding, A., Ofsevit, A., Byars, H. E., Bampton, M., Mosher, R., & Swanson, M. T, 2006. Geodatabase: the next Step in Data Management? NEGSA Meeting, Camp Hill, PA.
- *Duwe, J., Rich, J., Robinson, T., Bampton, M., Swanson, M T., 2006. 3d Virtual Outcrop: Conception, Construction and Application. NEGSA Meeting, Camp Hill, PA.
- *Wanless, S. & Bampton, M. 2005. Integrated Precision Digital Mapping of the Harbor Island Fault, Muscongus Bay, Maine. AAG Meeting, Denver.
- Bampton, M. Hobbins, D. McAnneny, C. Szakas, J. & Wiegel, B. 2004. Building a GIScience Curriculum Integrating Five Disciplines Across Five Campuses in Maine. Invention and Impact: Building Excellence in Undergraduate Science, Technology, Engineering and Mathematics. AAAS/NSF, Washington DC.
- *Castle, N., *Heffron, E.,* McCoog, M., Swanson, M. & Bampton, M., 2004. Strain Analysis of Syntectonic Granite Intrusions East of the Norumbega Fault Zone at Pemaquid Point, Mid-coast Maine. Geol. Soc. Amer. Abstracts w/ Programs
- *Doyle, J., *Kiser, B., *Newton, M., Swanson, M., & Bampton, M. 2004. Syntectonic Granites and Transpressional Deformation at Pemaquid Point, Mid-coast Maine. Geol. Soc. Amer. Abstracts w/Programs
- *Land, A., Swanson, M., Bampton, M., & Davis, S., 2004. Alternate Z-value Surface Analysis of Fabric Orientation in Regional Transpression Related to Dextral Norumbega Shearing, Mid-coast Maine. Geol. Soc. Amer. Abstracts w/Programs
- *McBride, M. *Witcoski, J, Swanson, M. & Bampton, M. Integrated Precision Digital Mapping and Spatial Analysis of Colonial Pemaquid State Historic Site. AAG Meeting, Philadelphia, PA.
- *McBride, M., *Taylor, C., *Witcoski, J., Bampton, M., and Swanson, M. 2004. New Techniques for Digital Mapping of Outcrop Structures at Pemaquid Point, Maine. Geol. Soc. Amer. Abstracts w/Programs.
- Swanson, M. & Bampton, M. 2004. Precision Digital Techniques for Mapping Multi-scale Outcrop Structure: an Integrated GIS-based Approach. Geol. Soc. Amer. Abstracts w/ Programs,
- *Berry, L., *Cooper, J., *Weiss, H., Bampton, M. & Swanson, M., 2003, Integrated precision digital mapping techniques for structural geology in Casco Bay, Maine, Geol. Soc. Amer. Abstracts w/Programs,
- *Jansyn, S., *Szafranski, J., *Stone, S., Swanson, M. & Bampton, 2003, Syntectonic granite intrusions and the Norumbega fault system, Casco Bay, Maine, Geol. Soc. Amer. Abstracts w/ Programs.
- *O’Kane, A., *Melendez, C., *Beal, H., Swanson, M. & Bampton, M., 2003, Strain analysis of syntectonic granite intrusions deformed by Norumbega shearing, Casco Bay, Maine, Geol. Soc. Amer. Abstracts w/ Programs,
- *Swanson, M., *Francis, B., *Cooper, J. & Bampton, M., 2002, All-digital outcrop mapping at Hiram Falls, Saco River, Maine, Geol. Soc. Amer. Abstracts w/ Programs.

Urban and Economic. NESTVAL Meeting 1993, Keene, NH.
Discovery and Encounter: The Columbian Experience NESTVAL Meeting 1992, Portland, ME.

FIELD TRIPS

'The Way Life Should Be': Reality, Myths and the Landscapes of Maine. AAG Annual Meeting 1998, Boston, MA.
Geoarcheology Course. Earth Systems Science Program, Phippsburg, ME, October, 1993. With Nathan Hamilton.
Collecting Paleoenvironmental and Archeological Data for the GIS Mapping of Casco Bay. Maine Audobon Society, Crescent Beach, ME, July, 1993. With Nathan Hamilton

WORKSHOPS

Metadata in the Morning Maine GIS User Group Meeting, June 2009, Castine, Maine. With Gretchen Heldmann.
Repositioning MEGUG: An Open Discussion. Maine GIS User's Group Meeting, Fort Kent. September 2006.
Managing and Supporting GIS: A GIS Workshop for Instructional Technologists, Librarians and GIS Specialists. Co-Hosted By NITLE and Trinity University, San Antonio Texas. March 2006.
The Gulf of Maine: Some New Maps. USCG State Boating Law Administrators' Workshop. Wakefield, MA. April 2006.
Maine Geographic Alliance Summer Institute 2000, Orono, Maine. Sustainability Issues Along the Sandy River & Monhegan Island. Maine Geographic Alliance, Advanced Summer Institute. University of Maine, Farmington. (July - August, 1998)
Maine Geographic Alliance Summer Workshop 1995, Wolfe's Neck, ME (August 1994).
Kayaks, Science and the Environment of Casco Bay. Maine Environmental Education Association Annual Meeting. With Jeff McEvoy and Mark Swanson. (April 1995).
Maine Geographic Alliance Summer Workshop 1994, Bar Harbor, ME (June-July 1994).
Earth Systems Science Teachers Laboratory Workshop, Gorham ME (October 1993).
Maine Geographic Alliance Summer Workshop 1993, Bar Harbor, ME (June-July 1993).

PROPOSALS EVALUATED

NSF Panel GSS December 2019, Washington DC.
Panelist NSF CCILI Program, July 2005, Washington DC.
Panelist NSF CCILI Program, April 2001, Washington DC.
17/11/00 NSF Division of Undergraduate Education.
4/1/94 NSF Proposal Cultural Anthropology Program.

EDITORIAL WORK

Editorial Board *The Northeastern Geographer*. 2008
Editorial Board *The Professional Geographer* 2006 - 2008
Editorial Board *Environmental Management* 1997-2002
Manuscript Reviewer *Geographic Information Systems: Concepts and Practice* Kang-tsung Chang, McGraw Hill.
Manuscript Reviewer *Antipode*

Bampton CV 2020

Maine GIS User Group 2004 – 2007
Maine GIS Executive Council Training Sub-Committee (chair) 2006 – 2008
Maine GIS User Group Education Coordinator 2006 – 2007
Maine Marine GIS Specialty Group 2007 - 2008

TEACHING

Classes Taught

Maps and Math
Introductory Physical Geography
Introductory Geology
Geography of Maine
Social and Ecological Constructions of Place
Regional North America
Regional Western Europe
Environmental Issues and Choices
GIS Applications I
GIS Applications II
Research Applications in GIS
Social Transformation of Nature/Holocene Environments
Remote Sensing
Modeling Human/Environment Interaction
Physical Geography of the Urban Environment
History and Philosophy of Geographic Thought

Field schools taught

2020 GIS & Exploration in Greenland
2011 Field Mapping and GIS in Shetland
1998 - 2009 Field Mapping and GIS in Casco Bay (with Mark Swanson)
1994 - 1996 Field Mapping and GIS in Casco Bay (with Mark Swanson)
1993 Geoarcheology of Casco Bay (with Nathan Hamilton)

2001-03	University of Southern Maine	and Statistics Director, Graduate Program in Statistics
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Non-Academic

2006-Present	Provided statistical consulting to several companies on health related issues and products. Also provided consulting on call center management to a health care company.	
2000-01	Provided unpaid consulting for Portland citizens to asses the risk to surroundings from blasting at Dragon Concrete Plant.	
1980-82	Statistical Analyst with Arabia Insurance Co.	
1992	Consulting with National Semiconductor on Wafer output rates	
1994	Consulting with National Semiconductor on improving manufacturing processes	
1997/1998	Consulting with Fairchild Semiconductor on inventory control problems	
1987-98	Consulting: several business and industry projects including US Department of Labor	

Educational Background

Years	Institutions	Degrees Awarded
1987	North Carolina State University, (Operation Research)	Ph.D.
1980	American University of Beirut (Statistics)	M.S.
1978	Haigazian College, Beirut (Mathematics)	B.S.

Sample Consulting Projects

- Socioeconomic Status as a Determinant of Anti-Tumor Necrosis Factor Therapy in Patients with Rheumatoid Arthritis (RA) in the Consortium of Rheumatology Researchers of North America (CORRONA) Database
- Switching and Drug Survival Analysis of Infiximab and Other Biologics among RA patients
- Analysis of NARCOTIC among Crohns patients based on TREAT (Therapy, Resource, Evaluation, and Assessment Tool) Registry Database.
- Statistical Analysis on Use of Any-TNFs Based on RA Patient Record Database

- El-Taha M, "Invariance of Workload in Queueing Systems" *Queueing Systems: Theory and Applications*, 83, pp. 181-192, (2016).
- B. Maddah, and El-Taha M, "Selective Trunk with Multi-Server Reservation" *Advances in Operations Research*, (2016)
- Clark M, and El-Taha M, "Some Useful Properties of Log-Logistic Random Variables for Health Care Simulations", *International Journal of Statistics in Medical Research*, 4, pp.79-86(2015).
- El-Taha M, "Sample-Path Analysis of Queues with Batch Arrivals" *Computers and Industrial Engineering*, 70, pp.98-106 (2014).
- El-Taha M, "Theory of Probability, Basics and Fundamentals", *Encyclopedia of Social Network Analysis and Mining*, Editors: Reda Alhajj, Jon Rokne, Invited Submission. (2014).
- Fisher M, Hochberg M, El-Taha M, Kremer J, Peng C, , Greenberg J "Smoking, Smoking Cessation, and Disease Activity in a Large Cohort of Patients with Rheumatoid Arthritis" *The Journal of Rheumatology*, 39, pp.904-909(2012)
- M. El-Taha, "Sample-Path Analysis of Single-Server Queues with Multiple Vacations", *ISRN Applied Mathematics*. Published online, (2011).
- Anandarajah AP, El-Taha M, Peng C, Reed G, Greenberg J and Ritchlin CT "The Association between Focal Erosions and Generalized Bone Loss in Psoriatic Arthritis" *Annals of the Rheumatic Diseases*, 70, pp.1345-1347(2011)
- B. Maddah, L. Moussawi, M. El-Taha, and H. Rida "Dynamic Cruise Ship Revenue Management" *European Journal of Operations research (EJOR)*, 207, pp.445-455, (2010)
- B. Maddah, M. El-Taha and R. Abou Tayeh "Optimal allocation of Servers and Processing Time in a Load Balancing System" *Computers and Operations Research*, 37, pp.2173-2181(2010)
- M. El-Taha, "PASTA and Related Results", *Wiley Encyclopedia of Operations Research and Management Science*. Invited, published online, (2010).
- M. El-Taha "Departure Process in a Mixed Fork-Join Synchronization Network" *Computers and Mathematics with Applications*, 57 pp. 1272-1279 (2009)

- F. Mrad, E. Khayat, M. El-Taha, and K. Kelly, "PC-Based Instrumentation: Statistical System Error Calculator" IQM2001 Symposium: Intelligent Quality Management and Metrology, pp.940-948 (2001)
- M. El-Taha, and J. Heath, "Traffic Overflow In Loss Systems with Selective Trunk Reservation", *Performance Evaluation*, 41, 4, pp 295-306 (2000)
- M. El-Taha, "Parameter Estimation in a Right-Truncated Gamma Distribution", *American Statistical Association, 1998 Proceedings of the Statistical Computing Section*, pp 183-188, (1999)
- D. Clark, and M. El-Taha, "Generation of Correlated Logistic-Normal Random Variates for Medical Decision Trees", *Methods of Information in Medicine*, 37, pp 235-238, (1998)
- M. El-Taha, Stidham Jr., and R. Anand, "Sample-Path Insensitivity of Symmetric Queues in Discrete-Time" *Nonlinear Analysis, Theory, Methods and Applications* (Proceedings of the Second World Congress of Nonlinear Analysts, Athens,) 30:1099-1110, (1997)
- M. El-Taha, and J. Heath, "Overflow Traffic in Closed Queueing Models", *Stochastic Models*, 12, pp 493-506 (1996)
- M. El-Taha, "Pathwise Rate-Stability for Input-Output Processes", *Queueing Systems*, 22, pp 47-63 (1996)
- M. El-Taha, and S. Stidham Jr., "Sample-Path Stability Conditions for Multiserver Input-Output Processes", *Journal of Applied Mathematics and Stochastic Analysis*, 7, pp 437-456 (1994)
- S. Stidham Jr., and M. El-Taha, "Sample-Path Techniques in Queueing Theory", *Advances in Queueing*, pp 119-166 (1994), editor: Dshalalow
- M. El-Taha, and S. Stidham Jr., "Sample-Path Analysis of Stochastic Discrete-Event Dynamic Systems", *Discrete Event Dynamic Systems*, 3, pp 325-246 (1993)
- M. El-Taha, "MVU Estimation in a Shifted Gamma Distribution with Shape Parameter a Known Integer", *Communication in Statistics: Simulation and Computation*, 22, pp 831-843 (1993)
- S. Stidham Jr., and M. El-Taha, "A Note on Sample-Path Stability Conditions for Input-Output Processes", *Operations Research Letters* 14, pp 1-7 (1993)

- Anandarajah AP, Greenberg J, **El-Taha M**, Reed G, Peng C, Ritchlin CT. The relationship between erosions and osteoporosis in patients with psoriatic arthritis. *Arthritis and Rheumatism* 2008;58(9):S366-S367.
- Dabbous O, Kremer J, Rambharose J, **El-Taha M**, Reed G, Tang B, et al. Influximab, etanercept, and adalimumab switchin in patients with rheumatoid arthritis in the consortium of rheumatology researchers of North America (Corrona) database. *Annals of the Rheumatic Diseases* 2007;66:167-167.
- Dabbous O, Kremer J, **El-Taha M**, Reed G, Tang B, Thompson H, et al. Socioeconomic status as a determinant of Anti-TNF alpha therapy for rheumatoid arthritis patients: CORRONA database. *Arthritis and Rheumatism* 2006;54(9):S61-S62.
- Dabbous O, Kremer J, **El-Taha M**, Reed G, Tang B, Arjunji R, et al. Influximab, etanercept and adalimumab switching in patients with rheumatoid arthritis in the consortium of rheumatology researchers of North America (CORRONA) database. *Arthritis and Rheumatism* 2006;54(9):S705-S705.
- Dabbous O, Kremer J, **El-Taha M**, Reed G, Tang B, Thompson H, et al. Socioeconomic status as a determinant of Anti-TNF alpha therapy for rheumatoid arthritis patients: CORRONA database. *Arthritis and Rheumatism* 2006;54(9):S61-S62.

Technical Reports on Research/Consulting Projects.

- Socioeconomic status as a determinant of anti-tumor necrosis factor therapy in patients with rheumatoid arthritis (RA) in the Consortium of Rheumatology Researchers of North America (CORRONA) Database. (with Cheng Peng), 2006.
- Analysis on use of NARCOTIC among Crohn's patients based on TREAT (Therapy, Resource, Evaluation, and Assessment Tool). (with Cheng Peng) 2006
- Switching and drug survival analysis of use Influximab and other biologics among RA patients. (with Cheng Peng) 2006.
- Statistical Analysis on use of any TNF inhibitors based on RA Patient Record Database. (with Cheng Peng) 2006
- Disease activity among RA patients who have received TNF inhibitors and discontinued therapy. (with Cheng Peng) 2007.
- Statistical Analysis of the switchers problem Remicade Switchers Analysis for ACR07 (with Cheng Peng) 2007.

- A review of “A Batch Arrival Queue with Second Optional Service and Reneging During Vacation Periods” by YMonita Baruah, Kailash C Madan, and Tillal Eldabi. (2014).
- A review of “Queue Size Distribution and Capacity Optimum Design for N-policy $\text{Geo}^{\lambda_1, \lambda_2, \lambda_3}/G/1$ with Setup Times and Variable Input Rate” by Yingyuan Wei, Miaomiao Yu, Yinghui Tang, and Jianxiong Gu. (2014).
- A review of “Reflecting Brownian Motion in Two Dimensions: Exact Asymptotics For the Stationary Distribution” by J.G. Dai and Masakiyo Miyazawa. (2013)
- A review of “The single server vacation queueing model with geometric abandonment” by Spiros Dimou, Antonis Economou, Demetrios Fakinos (2012)
- A review of “Continuity of the $M/G/c$ queue” by Lothar Breuer (2009)
- A review of “A fluid model with upward jumps at the boundary” by Vidyadhar Kulkarni and Keqi Yan (2008)
- A review of “ Structural interpretation and derivation of necessary and sufficient conditions for delay moments in FIFO multiserver queues” by Alan Scheller-Wolf and Rein Vesilo (2007)
- A review of “Asymptotic Analysis of Complex, Markov-Modulated Computer and Communication Systems” by J. Sztrik, Mathematical Reviews (2004)
- A review of “Analysis and Computation of the Joint Queue Length Distribution in a *FIFO* Single-Server Queue with Multiple Batch Markovian Arrival Streams”, by H. Masuyama and T. Takine, Mathematical Reviews (2004)
- A review of “Sojourn times in a processor sharing queue with service interruptions, by R. Nunez-Queija” Mathematical Reviews (2001)
- A review of “Tail probabilities of low-priority waiting times and queue lengths in *MAP/GI/1* queues, by Vijay Subramanian and R. Srikant” Mathematical Reviews (2001)
- A review of “On the number of refusals in a busy period, by Perkoz, Erol A. ” Mathematical Reviews (1999)
- A review of “The superposition of alternating on-off flows and a fluid model, by Palmowski, Zbigniew and Rolski, Tomasz” Mathematical Reviews (1998)

- Traffic Overflow In Loss Systems with Selective Trunk Reservation, *Department of Mathematics and Statistics, University of Maine at Orono* (1997)
- Fluid Versions of Little's Formula and Extensions, *Department of Mathematics and Statistics and Department of Electrical Engineering, University of Massachusetts at Amherst* (1996)
- Sample-Path Stability Conditions for Multiserver Input-Output Processes, *Department of Operations Research, University of North Carolina, Chapel Hill* (1994)
- Sample-Path Analysis of Queues, (Five lectures seminar,) *Department of Operations Research, University of North Carolina, Chapel Hill* (1994)
- Sample-Path Analysis of Stochastic Discrete-Event Dynamic Systems, *Systems Research Center, University of Maryland*, (1991)
- On Sample-Path Analysis of Queues, *Department of Mathematics, AT&T Bell Labs*, (1989)
- Performance Analysis of Multichannel Local Area Networks, *Department of Performance Analysis, AT&T Bell Labs*, (1989)

Selected Conference Presentations

- A General Workload Conservation Law with Applications to Queueing Systems. *The Institute of Operations Research and Management Science (INFORMS) Meeting*, November 13-16, 2016, Nashville, TN.
- Invariance of Workload in Multi-Server Systems *The Institute of Operations Research and Management Science (INFORMS) Meeting*, October 6-9, 2013, Minneapolis.
- Sample-Path Analysis of Queues with Batch Arrivals. *The Institute of Operations Research and Management Science (INFORMS) Meeting*, November 13-16, 2011, Charlotte.
- Served as Session Chair in the above conference
- Attended a day long workshop on the MINDSET Project, Charlotte NC, November 2011.
- Organizing committee of a day long summer immersion workshop for MTC. (The committee organized and led the presentations during the day)

- A New Concept of Pathwise Stability Conditions for Multiserver Input-Output Processes, *INFORMS National Conference*, Los Angeles, (1995)
- Overflow Traffic in Closed Queueing Models, Fourth International Conference on Advances in *Communications and Control: Telecommunications/ Signal Processing*, Greece, (1993)
- Sample-Path Analysis of Two Symmetric Queues, *Second ORSA Telecommunications Conference*, Florida, (1992)
- Approximate Analysis of Multiserver Queueing Models with Ranked Servers, *The 22nd Annual Pittsburgh Conference on Modeling and Simulation* (1991)
- Minimum Variance Unbiased Estimation in the Truncated Gamma Distribution *ORSA/ TIMS National Conference* , Philadelphia, (1990)
- A Queueing Model for Multichannel Communications Networks, *ORSA/TIMSNational Conference*, Las Vegas, (1990)
- Time Averages and Asymptotic Distributions, *ORSA/TIMS National Conference*, St. Louis, (1987)

Abstracts Presented (and Published) at EULAR or ACR Conferences

-EULAR is The European League Against Rheumatism

-ACR is American College of Rheumatology

- *The Relationship between Erosions and Osteoporosis in Patients with Psoriatic Arthritis.* by Allen Anandarajah, **Muhammad El-Taha**, Cheng Peng, George Reed, Jeffrey Greenberg and Christopher Ritchlin , 2008, Eular.
- Socioeconomic Status as a Determinant of Anti-Tumor Necrosis Factor α Therapy in Patients with Rheumatoid Arthritis in the Consortium of Rheumatology Researchers of North America (CORRONA) Database Omar Dabbous, MD, MPH; Joel Kremer, MD; **Muhammad El-Taha**, PhD; George Reed, PhD; Boxiong Tang, MD, PhD; Heidi Thompson, MS, MBA; Ramesh Arjunji, PhD; Mirza Rahman, MD, MPH (2006)
- Infliximab and Etanercept Switching in Patients With Psoriatic Arthritis: Findings from the Consortium of Rheumatology Researchers of North America (CORRONA) Database. Mirza Rahman, MD, MPH; Joel Kremer, MD; **Muhammad El-Taha**, PhD; George Reed, PhD; Ramesh Arjunji, PhD; Boxiong Tang, MD, PhD; Heidi Thompson, MS, MBA; Omar Dabbous, MD, MPH (2006)

- Optimal Allocation of Servers in Multichannel queueing Systems with Heterogeneous Servers, (1991)
- Sample-Path Insensitivity of Some Symmetric Queues and Related Results, (1990)
- Queueing Models for the Performance Analysis of Multichannel Local Area Networks with Ranked Servers, (1990)

Professional Service

- External reviewer and evaluator of a candidate for promotion to Associate professor at the American University of Beirut (AUB) Lebanon, 20015.
- On the editorial board of *Queueing Models and Service Management (QMSM)*
- On the editorial board of *The Open Operational Research Journal (TOORJ)*
- On the editorial board of *Open Statistics and Probability Journal (TOSPJ)*
- On the editorial board of *American Journal of Operations Research*
- On the editorial board of *Industrial Engineering and Management*
- On the editorial board of *International Journal of Business Analytics (IJBAN)*.
- External reviewer of a PhD thesis on “Performance Analysis of a Probabilistic Re-Entrant in an Environmental Stress Testing Operation” Multimedia University, (2006)
- External examiner of Masters thesis: *Optimal Control of Queues-Case Illustrated-State of the Art*, Cairo University (2005)
- External reviewer and evaluator of a candidate for promotion to full professor at King Saud University, Saudi Arabia, 2004.
- Member, Global organizing committee of International Federation of Nonlinear Analysts for WCNA-96 conference
- Contributed to a proposal by EPSCOR on acquiring an OC-3 link
- Referee for *Production and Operations Management*
- Referee for *European Journal of Operational Research*

Community Service

- Founding member of the Middle Teachers Circle (*MTC*) in Southern Maine. The goals of *MTC* are to engage middle school math teachers in mathematical problem solving and involve them in an ongoing dialogue about math with students, colleagues, and professional mathematicians; to provide guidance and materials to middle school math teachers that will enable them to promote open-ended problem solving as a way of learning, thinking about, and practicing math in their classrooms; and to provide a forum to empower middle school math teachers to implement the mathematical practices in the Common Core State Standards for Mathematics.

Special Recognition Awards

- Faculty Senate Award for Excellence in Scholarship (2017), University of Southern Maine.
- Received *CAS* outstanding Teacher Scholar Award, 2005.
- Awarded (with S. Stidham) the “1999 Best Publication Award” by the Applied Probability section of *INFORMS* (the Institute of Operations Research and Management Science). The award recognizes the most outstanding contribution to the field of Applied Probability.
- Faculty Senate Award for Excellence in Scholarship (1999), University of Southern Maine.
- Faculty Senate Research Grant, University of Southern Maine, 1992
- Matching Fund Grant for Computer Equipment, *Bath Iron Works*, (1991)
- Summer Research Fellowship, University of Southern Maine, 1988
- Outstanding Teaching Assistant Award, North Carolina State University, 1986
- Omega Rho, the International Operations Research Society
- Phi Kappa Phi, honor society

Membership in Professional Societies

- Institute for Operations Research and the Management Sciences (*INFORMS*)
- Applied Probability Group

- Provided several services in my capacity as Department chair and graduate Program Director.
- Member, Graduate Committee, 9/1/1988-2000
- Chair, Equipment Committee, 9/1/1994-1999
- Coordinator, Mathematics Department Colloquium 9/1/1996-1999
- Member, Equipment Committee, 9/1/1993-5/31/1994
- Member, Faculty Senate, 1997/1998, 2013/2014 and 2014/2015
- Representative, CAS Committee on Tenure and Promotion 9/1/1993-5/31/96
- Member, Graduate Program in Statistics Evaluation Committee, 9/1/1990 - 5/31/1992
- Member, Graduate Program in Statistics Restructuring Committee, Spring 94
- Member, Search Committee, 9/1/1988 - 5/31/1989, 9/1/1995 - 5/31/1996
- Chair, Textbook Review Committees for several multi section courses including MAT 211, MAT 212, and MAT 120
- Member, Faculty focus group on the three semester calendar, Summer 1989
- Member, Several Masters Theses Committees

9/1992-5/2000	Associate Professor, Department of Computer Science, University of Southern Maine, Portland
9/1986-9/1992	Assistant Professor, Department of Computer Science, University of Southern Maine, Portland
6/1981-6/1982	Senior Operations Analyst, Chase Manhattan Bank, Internal Consulting Group, New York, NY

Grants and Research Projects:

Fall 2008-Spring 2016 (PI) MoTECH : (Mobile Technology for Community Health) is a collaborative project with Ghana Health Service, Columbia University and Grameen foundation that uses text messages and voice to notify pregnant women about good health practices and appointments. In addition, this project developed an information system designed to improve the timeliness, accuracy, and utility of information required by district managers, supervisors, and frontline health workers. MoTeCH has been in operation in the northeast region of Ghana since Summer 2010. Recent work on MoTeCH involves software development to support larger scale applications and different health domains.

Fall 2014-Spring 2016 (PI) CIMS: (Mobile Technology for Community Health) The CIMS is an MCDI funded research project that provides operational support for elimination campaigns that reduce and eliminate Malaria from Bioko Island in Equatorial Guinea.

Fall 2014-Spring 2016 (Co-PI) Health Data Research Cluster, USM An MEIF funded project involving USM's Computer Science Department and the Muskie School of Public Health to enhance USM's capabilities to tackle big data problems in health care delivery, financing, and population health. Our work focuses on efficiently processing large quantities of using new technologies for distributed data representation and analysis, algorithms for heterogeneous data linkages, systems integration with real-time data sources, and data interpretation based on machine learning algorithms.

Fall 2009-December 2012 (PI) CRHDS for NEHSI: is an IDRC funded project for the design and development of a health and demographic application that supports research on the Nigerian National Health Information System. The project, based in Cross River Nigeria, is done in collaboration with faculty at the University of Calabar, Nigeria.

2008-December 2011 OMEVAC : Research and software development to replace paper based data collection instruments for clinical trials in low-resource countries with mobile applications software. The goal is to have researchers and field workers use handheld devices to directly enter clinical trial information. Ultimately, this would reduce the logistical challenges related to paper handling and digitalization.

2006-2009 Research Computing Group, University of Southern Maine: Responsible for identifying strategic directions for computing research at USM. Lead member of an interdisciplinary team of Marine research scientists and computer scientists who are developing data models and mapping software to characterize the biodiversity of the Gulf of Maine ecosystem.

2004-2008 Makerere University, Kampala Uganda: Development of data entry systems using handhelds. Co-Principal investigator in a software project that involved developers from Norway, Uganda, and the United States.

- MacLeod, Bruce, James Phillips, Allison Stone, Aliya Walji, John Koku Awoonor-Williams
2012 "The Architecture of a Software System for Supporting Community-based Primary Health Care with Mobile Technology" *Online Journal of Public Health Informatics*, Vol 4 No 1 (2012)
- Hartsock, Brian, MacLeod, Bruce, Roberge, David and Asangansi, Ime 2011 "Software Extensibility Strategies for Health and Demographic Systems in Low-Income Countries" Proceedings of IEEE Global Humanitarian Technology Conference, Seattle WA.
- Bawah, Ayaga A., James F. Phillips, Martin Adjui, Maya N. Vaughan-Smith, Bruce B. MacLeod, and Fred N. Binka. 2009. "Immunizations, poverty and child survival in Kassena-Nankana District of northern Ghana." *Scandinavian Journal of Public Health* February 2010 vol. 38 no. 1 95-103.
- Klungsoyr, Jorn, Thorkild Tylleskar, Bruce MacLeod, Paul Bagyenda, Weiqin Chen, Peter Wakholi. 2008. "OMEVAC - Open Mobile Electronic Vaccine Trials, an interdisciplinary project to improve quality of vaccine trials in low-resource settings.", Proceedings of 1st International Conference on M4D Mobile Communication Technology for Development, Karlstad University. Sweden.
- Klungsoyr, Jorn, Peter Wakholi, Bruce MacLeod, Alberto Escudero-Pascual, Neal Lesh. 2008. "OpenROSA, JavaROSA, GloballyMobile - Collaborations around Open Standards for Mobile Applications.", Proceedings of 1st International Conference on M4D Mobile Communication Technology for Development. Karlstad University. Sweden.
- Binka, Fred N., Ayaga A. Bawah, James F. Phillips, Abraham Hodgson, Martin Adjui, Bruce MacLeod. 2007. "Rapid achievement of the child survival Millennium Development Goal: Evidence from the Navrongo Experiment in northern Ghana." *Tropical Disease and International Health* Volume 12, Issue 5 Page 578-593, May 2007.
- MacLeod, Bruce and James Phillips, 2001 "Next generation Data Systems for Longitudinal Health and Demographic Studies" paper presented at the National Academy of Sciences workshop on "Leveraging Longitudinal Data", Washington DC, July, 2001.
- Ngom, Pierre, Fred N Binka, James F Phillips, Brian Pence, and Bruce MacLeod 2001 "Demographic surveillance and health equity in sub-Saharan Africa" *Health Policy and Planning* 16: 337-344.
- MacLeod, Bruce. 2001. Results of collaboration fostered by a network technical working group, 1st INDEPTH conference in Tanzania, 2000 and at the second INDEPTH conference in South Africa, 2001
- Phillips, James F, MacLeod, Bruce B., Pence, B. 2000 "The Household Registration System: Computer Software for the Rapid Dissemination of Demographic Surveillance Systems", *Demographic Research* [online] 2, : <http://www.demographicresearch.org/Volumes/Vol2/6>
- Binka, Fred N., Ngom, Pierre, James F. Phillips, Kubaje Adazu, and Bruce B. MacLeod. 1999. "Assessing population dynamics in a rural African society: The Navrongo Demographic Surveillance System," *Journal of Biosocial Science*, Vol 31, Issue 3.
- MacLeod Bruce, James F. Phillips., and Fred Binka. 1996 "Sustainable Software Technology Transfer : The Household Registration System" in *Encyclopedia of Microcomputers*, Vol 17, Editors Allen Kent and James Williams, Marcel Dekker, Inc, New York.

- MacLeod, Bruce, June 2010, Guest Lecturer for the Electronic Mobile Data in Health Research Ph.D course at the Bergen Summer Research School on Global Development Challenges, Bergen Norway.
- MacLeod, Bruce, December 2009 "Mobile Technology for Community Health (MoTECH) A Technical Perspective" Presentation at the Bill and Melinda Gates Foundation, Seattle WA.
- MacLeod, Bruce, Jorn Klungsoyr, 2008. "EpiHandy, JavaRosa and Mobile Computing for Public Health", 2nd International Conference for Application of Mobile Computing Devices in Global Health. Center for Disease Control, Atlanta, Georgia
- Franks, Richard, Bruce MacLeod, David Briggs, Lewis Incze, Nicholas Wolff, Dynamic Approach to Integrating Oceanographic and Biogeographical Data in the Gulf of Maine'. Ocean Biodiversity Informatics Conference, Dartmouth, Nova Scotia, October 2007.
- MacLeod, Bruce, 2006, "Technical Innovations and Reducing DSS Cost", 6th Annual General Meeting of the INDEPTH network, Ouagadougou, Burkina Faso
- MacLeod, Bruce, 2005, "Improving Data Quality at DSS Sites", 5th Annual General Meeting of the INDEPTH network, Durban, South Africa
- MacLeod, Bruce, James Phillips, 2002 "Appropriate Software Technology for Longitudinal Health Studies" paper presented at a workshop on Software Generation at the International Conference on Software Reuse. Austin, Texas, April, 2002.
- Phillips, James F. and Bruce B. MacLeod. 1998. "The Household Registration System: Computer software for the rapid dissemination of demographic surveillance systems," paper prepared for the Team Residency on Longitudinal Community-Based Health Research (LCHR), Bellagio, Italy February 2-8, 1998.
- Phillips, James F., Fred Binka, Pierre Ngom, and Bruce MacLeod. 1997. "The Navrongo Demographic Surveillance System in northern Ghana: A resource for experimental studies in health and family planning," paper presented at the IUSSP Seminar on Methods for the Evaluation of Family Planning Programme Impact, Jaco, Costa Rica (May 14-16).
- Binka, Fred N., Pierre Ngom, James F. Phillips, Kubaje Adazu, and Bruce B. MacLeod. 1997. "Assessing population dynamics in a rural African society: The Navrongo Demographic Surveillance System," paper presented at the IUSSP General Population Conference, Beijing, China (October 11-17).
- MacLeod, Bruce. Results of collaboration established by an INDEPTH technical working group at the "Strengthening Ties: The Agincourt field site in its African Context" conference, April 1997, London School of Tropical Medicine, London England.

2001 – 2002	Cap Gemini Ernst & Young Global Operate Americas <i>Consultant – Division of Telecommunications, Media & Networking</i> Development , implementation and management of middleware and datawarehousing solutions for Sprint Corporation in Overland Park, Kansas.
1998 – 2001	University of Colorado – Colorado Springs <i>Assistant Professor, MIS</i> Taught several MIS courses and administered and managed the Oracle Academic Initiative for the School. Obtained hardware donations from Oracle corporation.
1996 – 1998	Saint Louis University <i>Assistant Professor, MIS</i>
1992 – 1996	University of Georgia <i>Research/Teaching Assistant</i>
1989 – 1992	International Business Machines <i>Operation Systems Specialist</i>

Research and Teaching Experience

Works in progress	Suleiman, J, (2018) “Business school mission analysis using latent Dirichlet allocation,” data collected, targeting Academy of Management Learning & Education – July 2019 Suleiman, J, (2018) “The impact of resources and institutional brand on MBA enrollments,” data collected, analysis in progress, targeting Journal of Business Education – Aug 2019
Grants	Co-Applicant (2019) Credentialing Maine Adults for Transition into Careers in Information Systems and Computing – UMS Collaborative Program Support Fund (Principal – Harlan Onsrud, UMaine) (\$66,280 – under review). Co-Applicant (2018) UMS Initiative Grant – Undergraduate Data Science, UMA (Principal – Joseph Szakas, UMA) (\$155,000) Principal Investigator (2017-2018) UMS Initiative Grant – Masters in Data Science (\$40,000).

Watson, H. J. Aronson, J., Hamilton, R.H., Iyer, L., Nagasundaram, M., Nemati, H., Suleiman, J. (1996) "Assessing EIS benefits: A survey of current practices," Journal of Information Technology Management Vol. 7, Issue 2 (refereed).

Suleiman, J. (1995) Instructor's manual to accompany the object-oriented approach: Concepts, modeling, and system development, Boyd & Fraser Publishing Company (not refereed).

Watson, R., Suleiman J. (1994) "Groupware: A gateway to organizational memory," Groupware Report, Vol. 3, Issue 1 (not refereed).

Proceedings

Chinn, S., Heiser, R., Suleiman, J. (2008), "Emotional responses to computer-based training materials in education," America's Conference on IS (AMCIS) – August 14-17, 2008

Suleiman, J., Voyer, J. (2005) "When the project champion exits: The Maine Learning Technology Initiative," Proceedings of the 2005 Eastern Academy of Management Conference, May 11-14, Springfield, Massachusetts. (refereed)

Suleiman, J., Evaristo, R., Kelly, G., (1999) "Coordinating and facilitating distributed JAD," BIS'99 Proceedings of the 3rd International Conference on Business Information Systems, Springer Verlag, London

Presentations (no proceedings)

Suleiman, J., Voyer, J. (2004) "When the project champion exits: The Maine Learning Technology Initiative," The LL. Bean/Lee Surace Colloquium, University of Southern Maine, October 20, 2004.

EIS and strategy: Match or mismatch with Singh, S.J., Hamilton, R.H., Rupp, W. R., presented at Georgia Conference on Strategy 1993.

Teaching Experience

Teaching Awards

USM School of Business Outstanding Teacher, 2009, 2015
USM Faculty Senate Award for Excellence in Teaching, 2004

Member: Search Committee – Director For institutional Research (Fall 2009 – Fall 2010)
Member: School of Business General Education Task Force (Spring 2008).
Associate Editor, Global Information Systems: International Conference on Information Systems (ICIS) 2007, 2010.
Chair: NEASC Accreditation Standard 4.1 (Spring 2009-Fall 2009) Undergraduate Majors and Minors.
Implementation Manager: Digital Measures Software (Spring 2007).
Member: Leadership Committee Subgroup #2 – Accreditation and Standards Team (Spring 2007).
Senior Research Associate: Maine Center for Business and Economic Research (Summer 2003 – present). Projects include:

- Lead Researcher: Analysis of Long Term Disability Quoting Activity at Unum Provident
- Consultant: Maine Labor Force Analysis Database
- Participant: Proposal to Maine PBC for assessing the efficacy of their Entrepreneurship television series.

Chair: Quantitative Curriculum Task Force (Spring 2006).
Member: School of Business Core Curriculum Task Force (Spring 2006 – Fall 2007).
Member: School of Business Dean's Search Committee [Spring 2005 – Spring 2006 (two searches)].
Member: USM Classroom Improvement Committee (Spring 2006 – Fall 2006).
Member: USM Core Curriculum Committee (Spring 2005).
Participant: School of Business Strategic Vision Dialog (Spring 2005).
Guest Editor, International Journal of Information Security and Privacy – special call for cases (2007-2008).
Reviewer(text): Huber, et. al., Business Information Systems (1st ed.) 2004.
Reviewer(text): Horstman and Girard, Unnamed Java Textbook (1st ed.) 2004.
Reviewer(text): Watson, Database Management, Wiley (4th ed.) 2003.
Reviewer(text): Barua and Kanona, Strategic Perspectives on Information Technology, Prentice Hall (1st ed.), 2002.

Ad Hoc Reviewer

Sample Journals

Journal of Global Information Technology
Management
MIS Quarterly
International Journal of Information Security and
Privacy
Information Systems Research

Conferences

Americas Conference on IS (AMCIS)
Eastern Academy of Management (EAoM)
Hawaii International Conference on Systems
Science (HICSS)
International Conference on IS (ICIS)
North American Case Research Association
(NACRA)

Additional Education & Certificates

2016	Practical Machine Learning, Johns Hopkins University, Certificate (Coursera)
2016	Visiting Student, Center for Computational Visualization, University of Texas Austin, USA
2012	Summer School on Image Processing, Technical University of Vienna, Austria
2001	Enterprise Oracle DBA Part 1A: Architecture and Administration, Oracle Education Center, Malaysia
2001	Enterprise Oracle DBA Part 1B: Backup and Recovery, Oracle Education Center, Malaysia
2001	Enterprise Oracle DBA Part 2: Performance Tuning, Oracle Education Center, Malaysia

Honors and Awards

2017	NVIDIA GPU Grant, NVIDIA.
2016	Best Reviewer Award, The Society of Digital Information and Wireless Communications (SDIWC). URL: https://sdiwc.net/best-reviewer-award.php
2016	3rd Place (with Dr. A. Baghaie), Larry Hause Student Poster Competition, IEEE.
2015	GE Healthcare Honorable Mention Award, UWM Student Poster Competition.
2015	Travel Award, 11th International Symposium on Visual Computing (ISVC).
2014	Travel Award, 10th International Symposium on Visual Computing (ISVC).

Educational Interests and Accomplishments

Teaching Assistant

CS 595	Capstone Project	University of Wisconsin-Milwaukee
CS 557	Introduction to Database Systems	University of Wisconsin-Milwaukee
CS 361	Introduction to Software Engineering	University of Wisconsin-Milwaukee
CS 250	Introductory Computer Programming	University of Wisconsin-Milwaukee
CS 240	Introduction to Engineering Programming	University of Wisconsin-Milwaukee

Publications

Google Scholar profile: <https://scholar.google.com/citations?user=NxeXUqwAAAAJ&hl=en>

Selected Peer-Reviewed Journal and Conference Papers

- [1] **Tafti AP**, Soundararajan K, Yan S, Sohn S, Liu H, Kremers WK, Lewallen D, Taunton M, Maradit Kremers H. Deep learning computational vision to autonomous localization of knee joint space in plain radiographs. AMIA 2020 Informatics Summit.
- [2] Yan S, **Tafti AP**, Sagheb E, Fu S, Sohn S, Ngufor C, Chaudhary V, Liu H, Kremers WK, Lewallen D, Taunton M, Maradit Kremers H. With or without knee total knee arthroplasty? Deep learning-powered strategy to detect TKA in plain radiographs. 2020 9th Annual International Congress of Arthroplasty Registries.
- [3] Yan S, Sagheb E, Fu S, Sohn S, Kremers WK, Chaudhary V, Liu H, Lewallen D, Taunton M, Maradit Kremers H, **Tafti AP**. Give me a knee radiograph, I will tell you where the knee joint area is: a deep convolutional neural network adventure. 2020 Clinical Orthopaedics and Related Research Journal (Under Review)
- [4] Yan S, Sagheb E, Fu S, Sohn S, Kremers WK, Chaudhary V, Liu H, Lewallen D, Taunton M, Maradit Kremers H, **Tafti AP**. DeepTKAClassifier: Brand Classification of Total Knee Arthroplasty Implants using Deep Convolutional Neural Networks. ISVC 2020 (Under Review)
- [5] Wang Y, Zhao Y, Therneau TM, Atkinson EJ, **Tafti AP**, Zhang N, Amin S, Limper AH, Khosla S, Liu H. Unsupervised machine learning for the discovery of latent disease clusters and patient subgroups using electronic health records. Journal of Biomedical Informatics. 2020 Feb 1;102:103364.
- [6] **Tafti AP**, Fu S, Khurana A, Mastorakos GM, Poole KG, Traub SJ, Yiannias JA, Liu H. Artificial intelligence to organize patient portal messages: a journey from an ensemble deep learning text classification to rule-based named entity recognition. In 2019 IEEE International Conference on Bioinformatics and Biomedicine (BIBM) 2019 Nov 18 (pp. 1380-1387). IEEE.
- [7] **Tafti AP**, Crowson C, O'Neill K, Myasoedova E, Liu H, Sinicrope P, Davis J. Deep Learning Social Media Analysis Demonstrated Gender-Specific Disparity in Side Effects from Rheumatoid Medications. In Arthritis Rheumatology 2019 Oct 1 (Vol. 71). 111 RIVER ST, HOBOKEN 07030-5774, NJ USA: WILEY.
- [8] Sinicrope P, Symons D, **Tafti AP**, Patten C, Bock M, Tilburt J, Crowson C, Myasoedova E, Davis J, O'Neill K. "It Felt Like I Was Walking on Rocks" Patients Share First Symptoms of RA. Arthritis Rheumatology 2019 Oct 1 (Vol. 71). 111 RIVER ST, HOBOKEN 07030-5774, NJ USA: WILEY.
- [9] **Tafti AP**, Wang Y, Shen F, Sagheb E, Kingsbury P, Liu H. Integrating word embedding neural networks with PubMed abstracts to extract keyword proximity of chronic diseases. IEEE BHI 2019, 2019.
- [10] **Tafti AP**, McCoy R, Zhang N, Chen D, Camp JJ, Bartholmai B, Yu Z, Holmes D, Liu H, Limper A, Ngufor C. Anomaly Detection in Noisy Chest X-rays Using an Ensemble Deep Convolutional Neural Network. C-MIMI 2019.

- [26] **Tafti AP**, Kirkpatrick AB, Holz JD, Owen HA, Yu Z. 3DSEM: A 3D microscopy dataset. *Data in Brief*. 2016 Mar 1;6:112-6.
- [27] Zhao M, Luo H, **Tafti AP**, Lin Y, He G. A Hybrid Real-Time Visual Tracking Using Compressive RGB-D Features. In *International Symposium on Visual Computing 2015 Dec 14* (pp. 561-573). Springer, Cham.
- [28] **Tafti AP**, Hassannia H, Piziak D, Yu Z. Selibcv: a service library for computer vision researchers. In *International Symposium on Visual Computing 2015 Dec 14* (pp. 542-553). Springer, Cham.
- [29] **Tafti AP**, Kirkpatrick AB, Alavi Z, Owen HA, Yu Z. Recent advances in 3D SEM surface reconstruction. *Micron*. 2015 Nov 1;78:54-66.
- [30] **Tafti AP**, Hassannia H, Borji A, Yu Z. Computer Vision as a Service: Towards an Easy-To-Use Platform for Computer Vision Researchers. *CVPR Workshop*. 2015.
- [31] **Tafti AP**, Hassannia H, Yu Z. siftservice. com-Turning a Computer Vision algorithm into a World Wide Web Service. *arXiv preprint arXiv:1504.02840*. 2015 Apr 11.
- [32] Bardosi Z, Granata D, Lugos G, **Tafti AP**, Saxena S. Metacarpal Bones Localization in X-ray Imagery Using Particle Filter Segmentation. *arXiv preprint arXiv:1412.8197*. 2014 Dec 28.
- [33] **Tafti AP**, Kirkpatrick AB, Owen HA, Yu Z. 3D microscopy vision using multiple view geometry and differential evolutionary approaches. In *International Symposium on Visual Computing 2014 Dec 8* (pp. 141-152). Springer, Cham.
- [34] **Tafti AP**, Maarefdoust R. Digital Images Encryption in Spatial Domain Based on Singular Value Decomposition and Cellular Automata. *International Journal of Computer Science and Information Security*. 2013 Apr 1;11(4):121.
- [35] Malakooti MV, **Tafti AP**, Naji HR. An efficient algorithm for human cell detection in electron microscope images based on cluster analysis and vector quantization techniques. In *Digital Information and Communication Technology and its Applications (DICTAP), 2012 Second International Conference on 2012 May 16* (pp. 125-129). IEEE.
- [36] **Tafti AP**, Janosepah S. Digital images encryption in frequency domain based on DCT and one dimensional cellular automata. In *International Conference on Informatics Engineering and Information Science 2011 Nov 14* (pp. 421-427). Springer, Berlin, Heidelberg.
- [37] **Tafti AP**, Malakooti MV, Ashourian M, Janosepah S. Digital image forgery detection through data embedding in spatial domain and cellular automata. In *Digital Content, Multimedia Technology and its Applications (IDCTA), 2011 7th International Conference on 2011 Aug 16* (pp. 11-15). IEEE.

Book Chapter

- [1] **Tafti AP**, Hassannia H. Active Image Forgery Detection Using Cellular Automata. In *Cellular Automata in Image Processing and Geometry 2014* (pp. 127-145). Springer, Cham.

- IEEE International Conference on Health Informatics (ICHI 2019).

URL: http://www.ieee-ichi.org/2019/systems_pc.html

Role: Program Committee

- KDD Big data-as-a-Service: Algorithms, Architecture, and Applications in Healthcare Informatics. KDD 2017.

URL: <https://www.kdd.org/kdd2017/workshops>

Role: Organizer

- Computer Vision-as-a-Service Special Track. ISVC 2016.

URL: http://www.isvc.net/wp-content/uploads/2018/04/16_ST4.pdf

Role: Organizer

Selected GitHub Contributions

- **bigNN**: an open-source big data toolkit focused on biomedical sentence classification.
URL: <https://github.com/bircatmcri/bigNN>
- **MCIndoor20000**: a fully-labeled image dataset to advance indoor objects detection.
URL: <https://github.com/bircatmcri/MCIndoor20000>

Selected Software-as-a-Service (SaaS) Implementation

- **SeLibCV**: an easy-to-use and high available service library for computer vision researchers.
URL: <http://selibcv.net>

Selected Scientific Talks Available on YouTube

- “3D Surface Modeling of Microscopic Objects”. Marshfield Clinic. Marshfield, USA. 2017.
URL: <https://www.youtube.com/watch?v=rCCVJ0slY8o>
- “Data Mining Biomedical Literature in the Cloud”. Marshfield Clinic. Marshfield, USA. 2015.
URL: <https://www.youtube.com/watch?v=p1HTnhZfOM8&t=9s>

Grant Reviewer

- UW Institute for Clinical and Translational Research.
URL : <https://ictr.wisc.edu>
- Catalyst Grant Program at UWM Research Foundation.
URL : <https://uwmrf.org>

Professional Memberships and Societies

American Medical Informatics Association (AMIA) Member	2019 - Present
Society for Imaging Informatics in Medicine (SIIM) Member	2019 - Present
Association for Computer Linguistics (ACL) Member	2019 - Present
Institute of Electrical and Electronics Engineering (IEEE) Member	2016 - Present

Research Interests and Accomplishments

I am an Assistant Professor of Biomedical informatics and Associate Consultant I (AC I), working in the Division of Digital Health Sciences and Kern Center for the Science of Health Care Delivery at Mayo Clinic, with deep passion for improving health informatics with better patient diagnosis, prognosis, and treatment using artificial intelligence (AI) and machine learning (ML) algorithms combined with multiple clinical data (e.g., medical images, clinical notes, radiology reports, and EHRs). My research interests broadly lie in AI, Data Science, and Deep Learning Computational Vision and their application in Health Informatics. I earned my BSc, MSc, and PhD all in Computer Science, and since then, I have been on a quest to explore and solve problems that are “worth it” and have the most positive impact on people’s lives. I have solid background in computer science, with an extensive research experience in AI-powered descriptive and predictive modeling, image and text analytics, and big data processing to find solutions to a diverse set of problems in healthcare, ranging from 3D-2D medical image analysis to autonomous object localization, segmentation, and clinical prediction, as it has been already illustrated by my publication records. I have been actively collaborating with multidisciplinary team of investigators to build AI-enabled models in different clinical settings, such as Orthopedics, Gastrointestinal diseases, Chronic pain treatment and management, and Cardiovascular diseases.

***Note:** I am an US Permanent Resident, I mean a Green Card holder, and I am ready to relocate.

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Pavri, F., A. Dailey, and V. Valentine. 2011. Integrating multispectral ASTER and LiDAR data to characterize coastal wetland landscapes in the northeastern United States. *Geocarto International* 26(8):647-661.

Millette, T.L., Argow, B.A., Marciano, E., Hayward, C., Hopkinson, C.S., and V. Valentine. 2010. Salt Marsh Geomorphological Analyses via Integration of Multitemporal Multispectral Remote Sensing with LIDAR and GIS. *Journal of Coastal Research* 26(5):809-816.

Pavri, F. and V. Valentine. 2008. *Image Processing and Analysis for Salt Marsh Plant Community and Habitat Mapping: Plum Island Estuary, MA*. Final Report for Massachusetts Office of Coastal Zone Management, 65 pp.

Pavri, F. and V. Valentine. 2008. *IDRISI Image Processing Software Modules*. Prepared for Massachusetts Office of Coastal Zone Management, 32 pp.

Valentine, V.J. 2004. Geomorphometric Indicators of Tidal Marsh Condition. Abstract in *Proceedings of U.S. EPA Environmental Monitoring and Assessment Program (EMAP) Symposium 2004*, Newport, RI, 3-7 May 2004.

Cavatorta, J. R., M.E. Johnson, C.S. Hopkinson, and V. Valentine. 2003. Patterns of sedimentation in a salt marsh-dominated estuary. *Biological Bulletin* 205:239-241.

Johnson, M.E., J. R. Cavatorta, C.S. Hopkinson, and V. Valentine. 2003. Importance of metabolism in the development of salt marsh ponds. *Biological Bulletin* 205:248-249.

Valentine, V. 2002. *Scrub-Shrub/Emergent Wetland Ecotone Migration along Delaware Tidal Rivers in Response to Relative Sea-Level Change, Natural Impacts, and Human Modifications*. Ph.D. Dissertation. Newark, DE: Graduate College of Marine Studies, University of Delaware.

Valentine, V., R. Knecht, and A. Miller. 1998. *Geographically-based Technologies: The Application of GIS and Remote Sensing to Coastal Issues*. Proceedings of Sea Grant Workshop, Newark, DE, 11-12 May 1998. Newark, DE: University of Delaware.

Valentine, V. 1994. *The Arctic Environmental Protection Strategy: A Comparison with the Approach of the UNEP Regional Seas Programme*. M.M.A. Major Paper. Kingston, RI: University of Rhode Island.

PUBLIC PRESENTATIONS

ORAL PRESENTATIONS

Argow, B.A., T.L. Millette, E. Marciano, C. Hayward, C.S. Hopkinson, and V. Valentine. 2009. "Quantitative Distribution of Geomorphic Features across the Great Marsh, MA, via Integration of Multi-Temporal Multispectral Remote Sensing with Lidar and GIS." Geological Society of America Annual Meeting, Portland, OR, 20 October 2009.

Pavri, F. and V. Valentine. 2008. "Salt Marsh Plant Community and Habitat Mapping in coastal Massachusetts." Association of American Geographers Annual Meeting, Boston, MA, 18 April 2008.

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Pavri, F., V. Valentine, A. Dailey, and G. Mueller. 2009. "Characterizing Maine's coastal wetlands using linked hyper and multi-spectral satellite data." Association of American Geographers Annual Meeting, Las Vegas, NV, 26 March 2009.

Hopkinson, C., V. Valentine, J. Morris, and R. Torres. 2004. "Geomorphometric Patterns of Tidal Marsh Development and Degradation." Fourth Annual All-Estuarine and Great Lakes Environmental Research Centers (EaGLes) Meeting, Duluth, MN, 30 September 2004.

Valentine, V., C. Hopkinson, R. Torres, and J. Morris. 2003. "Geomorphometric Indicators of Tidal Marsh Condition." Third Annual All-Estuarine and Great Lakes Environmental Research Centers (EaGLes) Meeting, Bodega Bay, CA, 4 December 2003.

Valentine, V. and V. Klemas. 1997. "Water Quality Monitoring at the Delaware National Estuarine Research Reserve (NERR)." Third Coordinating Conference for Delaware Estuary Program, Newark, DE, 29 October 1997.

GRANTS AND AWARDS

Team Member, Health Informatics Research Cluster, USM Maine Economic Improvement Fund (MEIF), 2016-17

Member, Observational Health Data Sciences and Informatics (OHDSI) GIS Working Group, 2016-17

Project Director, "Arctic Conference and Maritime Boundaries," USM Center for Collaboration and Development, 2016-17

Team Member, "The State of Rural Health in Maine," Maine Health Access Foundation, 2015-16

Team Member, MMCRI CORE TREMR, Maine Cancer Foundation, 2015-16

GIS Lead, "Baseline Assessment for Northeast Regional Ocean Planning," Woods Hole Oceanographic Institution, 2014-16

GIS Lead, "Economic Impact Assessment for Pittsboro, NC Conservation Ordinance Project," North Carolina Forest Service, 2014-15

Co-Principal Investigator, "GeoTechnology Learning Collaboratory (GLC): Disseminating NASA's imaging technology and knowhow to middle and high school STEM and social studies teachers," NASA Maine Space Grant Consortium Higher Education Innovation in STEM Education Cooperative Agreement, 2014-15.

Co-Investigator, "Center for Sustainable Solutions: Linking Research to Action to Shape Maine's Changing Landscape," University of Maine subcontract with NSF Funding, 2009-14.

Co-Principal Investigator, "Developing Distance Courses in Remote Sensing to enhance Maine's capacity in NASA's space-based imaging technologies," NASA Maine Space Grant Consortium Education and Seed Research Program Grant, 2009-10.

VINTON J. VALENTINE

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Workshop on Regional Monitoring Protocol for Tidal Wetland Restoration in the Gulf of Maine,
Participant, 2004

Falmouth Coastal Resources Working Group, Unofficial Observer, 2004-2005

Wetlands Journal, Reviewer, 2004

American Geophysical Union (AGU) Book Series, Reviewer, 2003

Biological Bulletin, Reviewer, 2003

Regional Forum on Monitoring and Assessment of Tidal Wetlands, Participant, 2003

National Sea Grant Workshop on Geographically-based Technologies: The Application of GIS
and Remote Sensing to Coastal Issues, Rapporteur, 1998

National Committee on Digital Cartographic Data Standards, Observer, 1985-1987

PUBLICATIONS

In Review or Revision:

Weston D. Viles, Juliette C. Madan, Hongzhe Li, Jason H. Moore, Margaret R. Karagas, and Anne G. Hoen. "Information content of high-order associations of the human gut microbiota network" In Review

Louis-Emmanuel Martinet, Mark A. Kramer, **Weston D. Viles**, Nathan Perkins, Elizabeth Spencer, Catherine J. Chu, Sydney S. Cash, and Eric D. Kolaczyk. "Robust dynamic community tracking with applications to human brain functional networks" Resubmitted

Jie Zhou, **Weston D. Viles**, Boran Lu, Zhigang Li, Juliette C. Madan, Margaret R. Karagas, Jiang Gui, and Anne G. Hoen. "Estimating Microbial Interaction Network: Zero-inflated Latent Ising Model Based Approach" In Review

Jie Zhou, Anne G. Hoen, Susan Sumner, Susan McRitchie, Wimal Pathmasiri, Juliette C. Madan, **Weston D. Viles**, Margaret R. Karagas, and Jiang Gui. "Model selection for Gaussian graphical model" In Review

In Print:

Prakash Balachandran, Eric D. Kolaczyk, and **Weston D. Viles** (2017) "On the propagation of low-rate measurement error to subgraph counts in large, sparse networks" *Journal of Machine Learning Research* 18(61): 1-33

Weston D. Viles and A. James O'Malley (2016) "External information in community detection" *Joint Statistical Meetings Proceedings*, Chicago: American Statistical Association

Weston D. Viles, Cedric Ginestet, Ariana Tang, Mark A. Kramer, and Eric D. Kolaczyk (2016) "Percolation under noise: detecting explosive percolation using the second largest component" *Physical Review E (PRE)* 93: 052301

Peter C. Horak, Stephen Meisenhelter, Yinchun Song, Markus E. Testorf, Michael J. Kahana, **Weston D. Viles**, Krzysztof A. Bujarski, Andrew C. Connolly, Ashlee A. Robbins, Michael R. Sperling, Ashwini D. Sharan, Gregory A. Worrell, Laura R. Miller, Robert E. Gross, Kathryn A. Davis, David W. Roberts, Bradley Lega, Sameer A. Sheth, Kareem A. Zaghloul, Joel M. Stein, Sandhitsu R. Das, Daniel S. Rizzuto, Barbara C. Jobst (2017) "Interictal epileptiform discharges impair word recall in multiple brain areas" *Epilepsia* 58(3): 373-380

Devin M. Parker, Laura Schang, Jared R. Wasserman, **Weston D. Viles**, Gwyn G. Bevan, and David C. Goodman (2016) "Variation in utilization and need for Tympanostomy tubes across England and New England" *Journal of Pediatrics* 179: 178-184

Ramesh C. Gupta and **Weston D. Viles** (2012) "Statistical inference for the extended generalized inverse Gaussian distribution" *Journal of Statistical Computation and Simulation* 82(12): 1955-1972

Ramesh C. Gupta and **Weston D. Viles** (2011) "Roller-coaster failure rates and mean residual life functions with application to the extended generalized inverse Gaussian model" *Probability in the Engineering and Informational Sciences* 25(1): 103-118

In Preparation:

Weston D. Viles, Anne G. Hoen, Juliette C. Madan, and Margaret R. Karagas. "Multimodal information percolation for immune-related disease prediction"

Jie Zhou, Anne G. Hoen, **Weston D. Viles**, Juliette C. Madan, Margaret R. Karagas, and Jiang Gui. "Model identification for high-dimensional latent Ising model with applications to microbiome data"

Weston D. Viles and A. James O'Malley. "Constrained community detection in social networks"

Prakash Balachandran, **Weston D. Viles**, and Eric D. Kolaczyk. "Exponential-type inequalities involving ratios of the modified Bessel function of the first kind and their applications"

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EDUCATION

- 2012 **PhD, Public Policy**
Muskie School of Public Service, University of Southern Maine, Portland, ME
Dissertation: *Health Insurance Stability among Rural Children Following Public Coverage Expansions*
- 1998 **MS, Health Policy & Management: Health Policy Concentration**
Muskie School of Public Service, University of Southern Maine, Portland, ME
Capstone: *The Experience of Children in State-Sponsored Health Insurance Programs*,
presented at 1999 American Public Health Association annual meeting
- 1994 **BA, Social Work *summa cum laude***
University of Southern Maine, Portland, ME

POSITIONS

- 2018 – **Chair & Assistant Professor, Public Health**
Director, Maine Rural Health Research Center
Muskie School of Public Service
University of Southern Maine, Portland, ME
- 2013 – 2018 **Practice Faculty, Public Health**
Muskie School of Public Service
University of Southern Maine, Portland, ME
- 1997 – 2018 **Senior Research Associate (2010-2018)**
Deputy Director, Maine Rural Health Research Center
Muskie School of Public Service
University of Southern Maine, Portland, ME
Research Associate (1/01 – 8/10)
Research Analyst (3/98 – 12/00)

Mar 2018	Scientific Reviewer, Pilot Projects, Northern New England Clinical and Translational Research Network
Aug 2018	Nominating Committee, Editorial Board, <i>Journal of Rural Health</i>
May 2018	Scientific Reviewer, Pilot Projects, Northern New England Clinical and Translational Research Network
2013 – 2018	Editorial Board Member, <i>Journal of Rural Health</i> (Secretary 2015 - 2018)
2016 – 2018	Stakeholder Engagement and Education Core Co-Lead, Maine Lung Cancer Coalition
Dec 2017	Scientific Reviewer, Pilot Projects, Northern New England Clinical and Translational Research Network
Jul 2017	Grant Reviewer, State Health Access Reform Evaluation (SHARE) program, Robert Wood Johnson Foundation
2015 – 2016	Conference Planning Committee, 2016 National Association of Rural Mental Health Conference, Portland, ME
2013 – 2014	Conferencing Planning Committee, SQL Saturday, Portland, ME
2013	Subject Matter Expert, <i>The Feasibility of Using Electronic Health Data for Research on Small Populations</i> , report prepared by the Urban Institute for the Assistant Secretary for Planning and Evaluation (ASPE)
2004 – Current	Reviewer: <i>Health Affairs</i> , <i>Health Services Research</i> , <i>Journal of Rural Health</i> , <i>Journal of Healthcare for the Poor & Underserved</i> , <i>Inquiry</i> , <i>Medical Care</i> & <i>Journal of Rural Mental Health</i>

Department and University Service

2018 – 2019	Search Committee Chair, Assistant Professor in Public Health
2018 – Current	Faculty Advisor, Maine Policy Scholars Program
2018 – Current	MPH Admissions Committee, Chair
2018 – Current	Public Health Representative, USM Graduate Council
2018 – Current	CMHS Leadership Team
2018 – 2019	CMHS Title III Planning Committee
2018 – 2019	Search Committee Chair, Assistant Professor in Public Health
2018 – 2019	Search Committee Member, Research Analyst, Cutler Institute
2017 – 2018	MPH Academic Affairs & Admissions Committee
2014 – Current	Institutional Review Board Member
2018	CMHS Research Committee
2018	Doctorate in Nursing Practice Program Revision Planning Workgroup
2018	Search Committee Member, CMHS Internship Coordinator
2017 – 2018	Co-Lead, Bachelor of Science in Public Health (BSPH) program development
Mar 2017	Selection Committee, Maine Policy Scholars

- 2017-2019 **Co-Lead, Tracking and Evaluation Core: *Northern New England Clinical and Translational Research Network***
Funding: *Maine Medical Center (via National Institutes of Health)*
A five-year, \$20 million NIH Clinical and Translational Research (CTR) Network grant to fund a joint program between Maine Medical Center Research Institute, the University of Vermont, and the University of Southern Maine to develop and sustain a clinical and translational research infrastructure improving rural and community health for residents of Vermont, New Hampshire and Maine.
Budget: \$1,500,000 (total project budget \$20,000,000)
- 2018 – 2019 **Principal Investigator, *Tracking Health Care Access in Maine***
Funding: *Maine Health Access Foundation*
This study uses survey data to monitor health care access among Maine adults.
Budget: \$18,711
- 2017 – 2018 **Principal Investigator, *Advancing Health Equity in Maine***
Funding: *Maine Health Access Foundation*
This study used secondary data and prior research to document health disparities among vulnerable Maine residents, including racial/ethnic minorities, LGBTQ+ individuals, veterans, persons with disabilities and tribal populations.
Budget: \$50,000
- 2016 – 2019 **Principal Investigator, *The Health Care Cost of Elder Abuse***
Funding: *U.S. Department of Justice*
This project linked elder abuse administrative data with Medicare and Medicaid claims to study the patterns of health care use among adults receiving protective services.
Budget: \$329,000
- 2015 – 2018 **Principal Investigator, *Assessing the Affordable Care Act (ACA) in Maine***
Funding: *Maine Health Access Foundation*
This study used survey data to understand changes in health care access and insurance since the Affordable Care Act (ACA).
Budget: \$42,500
- 2016 – 2018 **Principal Investigator, *Maine Lung Health Study***
Funding: *Maine Medical Center via Maine Cancer Foundation (with cost-sharing from USM's Maine Economic Improvement Fund)*
A qualitative study with 50 rural Maine residents at risk of lung cancer to explore their perspectives on lung cancer risk, screening, and health care provider relationships.
Budget: \$135,000

- 2009 – 2011 **Principal Investigator, State Health Access Program (SHAP) Evaluation**
Funding: *Maine Governor's Office of Health Policy and Finance*
Evaluation of the State Health Access Program (SHAP) grant awarded to the State of Maine by the Health Resources and Services Administration to expand health insurance coverage to Maine residents.
Budget: \$120,120
- 2007 – 2008 **Co-Principal Investigator, Expanding Rural Health Insurance Coverage: How Do Reforms Stack Up?**
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This study used the Medical Expenditure Panel Survey to update estimates of rural insurance coverage and how reform strategies may differentially affect rural residents.
Budget: \$165,000
- 2006 – 2007 **Co-Principal Investigator, Employment Transitions & Insurance Coverage of Rural Residents**
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This project used the Medical Expenditure Panel Survey to determine the relationship between employment changes and health insurance status among rural residents.
Budget: \$165,000
- 2006 – 2007 **Co-Principal Investigator, Rural-Urban Differences in Access to Children's Mental Health Services**
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This study used data from the Urban Institute's National Survey of America's Families to compare the use of mental health services by rural and urban children, age 6 to 17, relative to their need for mental health care, family income, and insurance status.
Budget: \$150,000
- 2005 – 2006 **Co-Principal Investigator, Financial Impact of Mental Health Services on Rural Residents**
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This project used the Medical Expenditure Panel Survey to compare rural-urban financial burden for mental health service use.
Budget: \$150,000
- 2004 – 2005 **Co-Principal Investigator, Uninsured Rural Families**
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This project used the Medical Expenditure Panel Survey, to compare the family-level health insurance coverage status of rural and urban households.
Budget: \$150,000

- 1999 – 2000 **Project Director, *Prescription Drug Use and Expenditures by the Rural Elderly***
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This project used the 1996 Medical Expenditure Panel Survey to study rural-urban differences in medication use and out-of-pocket spending for Medicare recipients.
- 2000 – 2004 **Principal Investigator, *MaineCare Child Surveys***
Funding: *Maine Department of Human Services*
This project surveyed the families of CHIP and Medicaid enrollees and disenrollees to identify beneficiary needs, satisfaction, and reasons for participation.
- 2000 **Project Director, *MaineHealth Access Project: Consumer Focus Groups***
This study included focus groups with low-income uninsured adults in Maine to understand their health care needs and preferences for new program design.
- 1998 – 2000 **Project Director, *Patterns of Health Coverage for Rural and Urban Children***
Funding: *Office of Rural Health Policy, HRSA, U.S. DHHS*
This project used the Census Bureau's 1993 Survey of Income and Program Participation (SIPP) to study uninsured spells among rural and urban children.

PEER-REVIEWED PUBLICATIONS

(Underlined names indicate student co-authors)

BOOK CHAPTERS

Submitted

Ziller E, Jonk Y. (in press). Paying for health care: Health Insurance Coverage and Affordability Challenges among Rural Elders. *Handbook on Rural Aging*. Lenard Kaye, ed.

Published

Ziller E. Access to Medical Care in Rural America. In: Warren JC, Smiley KB, eds. *Rural Public Health: Best Practices and Preventive Models*. New York: Springer Publishing Company; 2014:11-28.

Kilbreth E, Ziller E. Children's Health Policy: Promising Starts, Disappointing Outcomes. In: Morone JA, Ehlike D, eds. *Health Politics and Policy*. 5th ed. Independence, KY: Cengage Learning; 2014.

- Talbot JA, **Ziller E**, Szlosek D. (2017). Mental Health First Aid in rural communities: Appropriateness and outcomes. *Journal of Rural Health*, 33(1):82-91.
- Talbot JA, Coburn A, Croll Z, **Ziller E**. (2013). Rural considerations in establishing network adequacy standards for qualified health plans in state health insurance exchanges. *Journal of Rural Health*, 29(3):327-35.
- Ziller E**, Lenardson J, Coburn A. (2012) Health care access and use among the rural uninsured. *Journal of Health Care for the Poor and Underserved*, 23(3):1327-1345.
- Thomas J, **Ziller E**, Thayer D. (2010). The cost of defensive medicine in the United States. *Health Affairs*, 29(9), 1578-1584
- Ziller E**, Anderson N, Coburn A. (2010). Access to rural mental health services: Service use and out-of-pocket costs. *Journal of Rural Health*, 26(3), 214-224.
- Yousefian A, **Ziller E**, Swartz J, Hartley D. (2009). Active living for rural youth: Addressing physical inactivity in rural communities. *Journal of Public Health Management and Practice: Special Issue on Rural Public Health*, 15(3), 223-231.
- Ziller E**, Coburn A, Anderson N, Loux S. (2008). Uninsured rural families. *The Journal of Rural Health*, 24(1), 1-11.
- Hartley D, **Ziller E**, Loux S, Gale J, Lambert D, Yousefian A. (2007). Mental health encounters in Critical Access Hospital emergency rooms. *Journal of Rural Health*, 23(2): 108-115.
- Ziller E**, Coburn A, Yousefian A. (2006, Nov/Dec.). Out-of-pocket health spending and the rural underinsured. *Health Affairs*, 25(6), 1688-1699.
- Ziller E**, Coburn A, McBride T, Andrews C. (2004). Patterns of individual health insurance coverage, 1996-2000. *Health Affairs*, 23(6): 210-221.
- Coburn A, McBride T, **Ziller E**. (2002). Patterns of health insurance coverage among rural and urban children. *Medical Care Research and Review*, 59, (3): 272-292.

COMMENTARY

- Ziller E**, Coburn A. (2018). Health equity challenges in rural America. *Human Rights*, 43(3), 10-12.

REPORTS AND BRIEFS (SELECTED)

(Underlined names indicate student co-authors)

- Ziller E**, Burgess A, Thayer D. (2020). *Health Care Use and Access among Rural and Urban Nonelderly*

Ziller E, Leonard B. *Access to Health Care Services for Adults in Maine*. Augusta, ME: Maine Health Access Foundation and University of Southern Maine, Muskie School; October 2016.

Ziller E, Croll Z, Coburn A. *Health Insurance CO-OPs: Product Availability and Premiums in Rural Counties*. Portland, ME: University of Southern Maine, Maine Rural Health Research Center; October 2016.

Coburn A, Griffin E, Thayer D, Croll Z, **Ziller E**. *Are Rural Older Adults Benefiting from Increased State Spending on Medicaid Home and Community-Based Services?* Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; June 2016.

Lenardson J, Gale J, **Ziller E**. *Rural Opioid Abuse: Prevalence and User Characteristics*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; May 2016.

Talbot J, Szlosek D, **Ziller E**. *Adverse Childhood Experiences in Rural and Urban Contexts*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; April 2016.

Talbot JA, Szlosek D, & **Ziller E**. *Implications of Rural Residence and Single Mother Status for Maternal Smoking Behaviors*. Portland, ME: University of Southern Maine, Muskie School, Maine Rural Health Research Center; October 2015.

Ziller E, Lenardson J, Coburn A. *Rural Implications of Medicaid Expansion under the Affordable Care Act*. Minneapolis, MN: State Health Access Reform Evaluation; February, 2015.

Talbot JA, **Ziller E**, Lambert D, Szlosek D. *Mental Health First Aid in Rural Communities: Goodness of Fit, Implementation and Outcomes*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; February 2015.

Lenardson J, Griffin E, Croll Z, **Ziller E**, Coburn A. *Profile of Rural Residential Care Facilities: A Chartbook*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; May 2014.

Talbot J, **Ziller E**, Lenardson J, Hartley D. *Implications of Rurality and Psychiatric Status for Diabetic Care Use among Adults with Diabetes*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; May 2014.

Lenardson J, **Ziller E**, Coburn A. *Rural Residents More Likely to Be Enrolled in High Deductible Health Plans*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; May 2014.

Ziller E. *Health Insurance Coverage of Low-Income Rural Children Increases and Is More Continuous*

ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; June 2009.
<http://muskie.usm.maine.edu/Publications/rural/pb/Rural-Urban-Health-Care-Access.pdf>

Lenardson J, **Ziller E**, Coburn A, & Anderson N. *Profile of Rural Health Insurance Coverage: A Chartbook*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; June 2009.
<http://muskie.usm.maine.edu/Publications/rural/Rural-Health-Insurance-Chartbook-2009.pdf>

Ziller E, Coburn A. *Private Health Insurance in Rural Areas: Challenges and Reform Options*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; April 2009.
<http://muskie.usm.maine.edu/Publications/rural/pb/Rural-Private-Health-Insurance.pdf>

Ziller E, Coburn A. *Rural Coverage Gaps Decline Following Public Health Insurance Expansion*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; February 2009.
<http://muskie.usm.maine.edu/Publications/rural/pb/Rural-Public-Health-Insurance.pdf>

Lambert D, **Ziller E**, Lenardson J. *Rural Children Don't Receive the Mental Health Care They Need*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; January 2009.

Ziller E, Anderson N, Coburn A. *Rural Adults Face "Parity" Problems and Other Barriers to Appropriate Medical Care*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; November 2008.

Lambert D, **Ziller E**, Lenardson J. *Use of Mental Health Services by Rural Children*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; July 2008.
<http://muskie.usm.maine.edu/Publications/rural/WP39/Rural-Children-Mental-Health-Services.pdf>

Morris L, Loux S, **Ziller E**, Hartley D. *Rural-Urban Differences in Work Patterns among Adults with Depressive Symptoms*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; March 2008.
<http://muskie.usm.maine.edu/Publications/rural/wp38Depression-Employment.pdf>

Yousefian A, **Ziller E**, Swartz J, Hartley D. *Active Living for Rural Youth*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Maine Rural Health Research Center; February 2008.
<http://muskie.usm.maine.edu/Publications/rural/pb37/ActiveLiving.pdf>

Ziller E, Coburn A, Anderson N, Loux S. *Rural Families More Likely to be Uninsured and Have Different Sources of Coverage*. Portland, ME: University of Southern Maine, Muskie School of Public

Ormond C, **Ziller E**, Richards M. *Living in the Community: Voices of Maine Consumers*. to the Plan Development Work Group for Community-Based Living with funding from the Center for Health Care Strategies. Portland, ME: University of Southern Maine, Muskie School of Public Service, Institute for Health Policy. July 2001.

Kilbreth E, **Ziller E**. *Report by the Maine Department of Human Services to the 119th Maine Legislature Related to Methods to Increase Access to Health Care for Low-income Maine People*. Portland, ME: University of Southern Maine, Muskie School of Public Service, Institute for Health Policy; May 2001.

Ziller E. *An Evaluation of Maine PrimeCare Member Services by Medical Office Staff*. Report prepared under contract with Bureau of Medical Services, Maine Department of Human Services; 2000.

Ziller E. *Consumer Satisfaction with the Maine PrimeCare Program: A Survey of Four Counties*. Report prepared under contract with Bureau of Medical Services, Maine Department of Human Services; 2000.

Ziller E. *Primary Care Providers' Assessment of the Maine PrimeCare Program*. Report prepared under contract with Bureau of Medical Services, Maine Department of Human Services; 2000.

Coburn A, **Ziller E**. *Designing a Prescription Drug Benefit for Rural Medicare Beneficiaries: Principles, Criteria and Assessment*. Columbia, MO: Rural Policy Research Institute, P2000-14, University of Missouri; October 2000.

Ziller E, Leighton A. *Rural Hospital Transitions: Appalachia County, Kentucky*. Case report prepared for the U.S. Department of Agriculture; October 2000.

Ziller E. *Access to Community Health: Results of Consumer Focus Groups*. Report to MaineHealth, Inc. Portland, ME: University of Southern Maine, Edmund S. Muskie School of Public Service, Institute for Health Policy; May 2000.

PRESENTATIONS (SELECTED)

(Underlined names indicate student co-authors; *Indicates presenting author in co-authored presentations)

INVITED PRESENTATIONS

Ziller E. *MaineCare: Medicaid in Maine*. Presentation at the 2019 Legislative Policy Forum on Health Care sponsored by the Maine Development Foundation and the Maine Healthcare Access Foundation. Augusta, ME. February 6, 2019.

PEER-REVIEWED RESEARCH PRESENTATIONS

Ziller E.* Rural-Urban Differences in Youth Smoking Reductions. Lightning Talk: USM Research & Scholarship Symposium, Portland, ME. March 29, 2019.

Ziller E.* *What is Rural, Anyway?* Panel presentation with Bennett K,* Borders T,* Holmes M,* Kozhimannil K* at the National Rural Health Association Annual Meeting, Atlanta, GA. May 9, 2019.

Ziller E,* Waterston L,* Elbaum Williamson M.* *Smoking Stigma as a Barrier to Lung Health: Lessons and Responses from the Maine Lung Cancer Coalition*. Oral presentation at the Maine Public Health Association Annual Conference. Augusta, ME. October 16, 2018.

Ziller E,* Talbot JA, Thayer D, Burgess A. *Opioid-Related Visits to Rural Emergency Departments*. Oral presentation at the National Rural Health Association Annual Meeting, New Orleans, LA. May 10, 2018.

Ziller E,* Talbot JA, Elbaum Williamson M, Hansen A, Croll Z, Byrne B. *Maine Lung Health Study: Rural Mainers at Risk*. Oral presentation at the National Rural Health Association Annual Meeting, New Orleans, LA. May 10, 2018.

Fairfield K, Black A, Lucas F, Murray K, **Ziller E,*** Korsen N, Waterston L, & Han P. *Regional Lung Cancer Incidence, Stage, Mortality, Smoking and Rurality*. Oral presentation at the National Rural Health Association Annual Meeting, New Orleans, LA. May 10, 2018.

Talbot J,* Elbaum Williamson M,* **Ziller E.*** *Smoking, Lung Cancer, and the Health Care System: Views from Rural Mainers at Risk*. Oral presentation at the Maine Public Health Association annual conference. October 17, 2017.

Ziller E,* Lenardson J, Burgess A. *Health Care Access among Publicly Insured Rural Children*. Oral presentation at the National Rural Health Association Annual Meeting. Minneapolis, MN. May 12, 2016.

Ziller E,* Lenardson D, Coburn A. *Delay, Forego, Strategize: Affordability of Medical Care among Rural Adults*. Oral presentation at the National Rural Health Association Annual Meeting, Philadelphia, PA. April 14, 2015.

Talbot JA, **Ziller E,*** Lambert D, Szlosek D. *Mental Health First Aid in Rural Communities*. Oral presentation at the National Rural Health Association Annual Meeting, Philadelphia, PA. April 14, 2015.

Ziller E,* Lenardson, J, Coburn A. *Rural Implementation and Impact of Medicaid Expansions*. Oral presentation at the National Rural Health Association Annual Meeting, Louisville, KY. May 9, 2013.

Ziller E, Talbot J, Lenardson J, Paluso N, Daley A. Rural-Urban Differences in the Decline of Adolescent Cigarette Use. Poster presented at the National Rural Health Association Annual Meeting, New Orleans, LA. May 9, 2018.

Miller, R, Williams, A, MacLeod, B, Valentine, V, **Ziller, E**. "OHDSI GIS." Poster presented at Gaia Observational Health Data Sciences and Informatics (OHDSI) Symposium. Washington, DC. September 23, 2016.

Ziller E, Lenardson J, Burgess, A. *Health Care Access & Affordability among Rural Children with Public versus Private Health Insurance*. Poster presentation at the AcademyHealth Annual Research Meeting, Boston, MA. June 27, 2016.

Ziller E, Lenardson J, Coburn A. *Chronic Conditions, Access to Care, and the Rural Uninsured*. Poster presented at AcademyHealth Annual Research Meeting, Boston, MA. June 27, 2010

Ziller E, Lenardson J, Anderson N, Coburn A. *Changes in Rural Health Insurance Coverage, 1997-2005*. Poster presented at the AcademyHealth Annual Research Meeting, Chicago, IL. June 29, 2009.

Ziller E, Anderson N, Coburn A. *A Rural-Urban Comparison of Mental Health Service Use and Expenditures*. Poster presented at the AcademyHealth Annual Research Meeting, Orlando, FL. June 2007.

Ziller E, Coburn A, Anderson N, Loux S. *Uninsured Rural Families*. Poster presented at AcademyHealth Annual Research Meeting, Seattle, WA. June 2006.

WEBINARS and PODCASTS

Ziller E, Jonk Y. Rural Health in Maine & America vs. the World. [Podcast]. 2019, September 24. Retrieved from <https://umainecenter.org/podcasts/rural-health-in-maine-america-005/>

Ziller E, Jonk Y. Growing up Rural. [Podcast]. 2019, September 17. Retrieved from <https://umainecenter.org/podcasts/growing-up-rural-004/>

Ziller E, Jonk Y. How Did We Get Here? Rural Health Challenges in America. [Podcast]. 2019, September 10. Retrieved from <https://umainecenter.org/podcasts/how-did-we-get-here-rural-health-003/>

Ziller E. *Rural-Urban Differences in Youth Smoking Reductions*. Technical assistance webinar for the federal Center for Disease Control and Prevention (CDC), Office on Smoking and Health (OSH) National Tobacco Control Program (NTCP). June 13, 2019.

Brown P, **Ziller E**. "Two Seats in a Pod: Medicaid Expansion in Maine" Retrieved from <https://soundcloud.com/wmpg-podcasts/paul-brown?in=wmpg-podcasts/sets/two-seats-in-a-pod>

- Wilkerson, R. "Good Neighbors Address Rural Health Disparities," *Healthy Places by Design Blog*, June 14, 2017.
- Lawlor, J. "Sen. Collins' firm 'no' vote likely kills Republican health care bill," *Portland Press Herald*, September 25, 2017.
- Shepherd, M. "LePage's confusing exchange on Medicaid expansion," *Bangor Daily News: State and Capitol*, May 24, 2016.
- Billings, R. "Portland's plan to shut India Street health clinic alarms patients, advocates," *Portland Press Herald*, April 14, 2016
- Leonard B. "Maine Voices: Wishing you an unhealthy new year? Helping more people to get health insurance coverage can benefit all of us in Maine." *Portland Press Herald*. January 1, 2016.
<https://www.pressherald.com/2016/01/01/maine-voices-wishing-you-an-unhealthy-new-year/>
- Lawlor, J. "Maine gets a clean bill of health in annual nationwide ranking," *Portland Press Herald*, March 25, 2015
- Russell, E. "Maine sets a record for drug needle exchanges," *Portland Press Herald*, April 13, 2015
- Ziller, E. Panelist, "Healthcare in Our Rural Communities," *Connections: Healthy Friday*, WXXI Public Radio, Rochester, New York, August 15, 2014
- Schroeder, K. "Director of Wilton community groups aims to fight poverty at roots," *Kennebec Journal*, October 25, 2014.
- Ziller, E. Panelist, "Recruiting and Retaining Physicians in Maine," *Maine Calling*, Maine Public Radio Network, June 17, 2014
- Shepherd, M. "Republican candidates in 2nd District face health care conundrum," *Kennebec Journal*, June 2, 2014.
- Lawlor, J. "In rural Maine, dearth of doctors is a growing crisis," *Portland Press Herald*, May 31, 2014
- Lawlor, J. "LePage: Study backs no broader Medicaid. However, two health care experts say the same study makes the case for expanding the program," *Portland Press Herald*, September 16, 2013
- Ziller, E. (2009). Remote possibilities: The struggle for small, rural business owners to provide coverage for their employees is daunting. *MaineBiz*, 32.
<http://www.mainebiz.biz/news45188.html>

UNIVERSITY OF MAINE SYSTEM

Policy Manual

ACADEMIC AFFAIRS

Section 304 Transfer of Academic Credit

Effective: 5/18/81

Last Revised: 11/17/03

Responsible Office: Academic Affairs

Policy Statement:

Trustee policy is to provide the maximum opportunity for transfer within the University of Maine System. When a student is accepted for transfer, all undergraduate degree credits successfully completed with a grade of C- or better at any unit of the University System will be transferable to any other unit of the University System, but will not be automatically applied to the specific academic degree program to which the student has transferred. Each student will be expected to meet the established requirements of the academic program into which transfer is effected, and appropriate application of transfer credit is to be the responsibility of the particular academic unit.

Related Documents:

Administrative Procedures for Transfer of Academic Credit

UNIVERSITY OF MAINE SYSTEM STUDENT CONDUCT CODE

Effective Date: ~~1 July 2018~~ 26, 2021

Revised by the Student Conduct Code ~~Review Board~~ Committee
and

~~Accepted~~ Approved by the Board of Trustees, ~~19 March 2018~~ Date, 2021

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UNIVERSITY OF MAINE SYSTEM STUDENT CONDUCT CODE

POLICY STATEMENT

The purpose of ~~the~~this University of Maine System Student Conduct Code (~~the~~this "Code") is to promote the pursuit of activities that contribute to the intellectual, ethical, and physical development of the individuals under the auspices of the University of Maine System (~~the~~"University") and the individual university campuses. ~~The and the University of Maine School of Law. This~~ Code seeks to ~~ensure~~promote the safety of persons engaging in those pursuits; ~~to protect,~~ the free and peaceful expression of ideas; ~~and to assure~~ the integrity of ~~various~~ academic processes.

Students are expected to conduct ~~their affairs themselves~~ with proper regard for their rights and responsibilities, and the rights and responsibilities of others ~~and of including~~ the University. All members of the University community share a responsibility for maintaining an environment where actions are guided by mutual respect, integrity, and reason.

All members of the University are governed by University policies, local ordinances, and state and federal laws. For specific governing documents, students and ~~for~~ campus organizations may refer to: University Policies and Procedures; campus student handbooks; campus residence hall agreements and manuals; and ~~related other~~ official University notices and publications. Individuals in violation of state and federal law are subject to prosecution by appropriate state and federal authorities regardless of whether the activity occurs on or off University Property. In addition, students may be subject to disciplinary action by the University pursuant to ~~the Code. The severity of the imposed sanctions will be appropriate to the violation and circumstances of the situation. this Code or other applicable University policies, handbooks, catalogs, or standards.~~

In ~~seeking~~addition to encourage responsible attitudes the procedures described in this Code, using fair, objective decision-making processes, the University ~~places much reliance upon personal example, counseling may implement administrative de-escalation and admonition. In certain circumstances where these preferred means fail, alternative resolution measures to resolve issues that arise within the University community.~~

What constitutes an offense and what sanctions may be imposed will ~~rely upon the rules and procedures described in~~ be decided using the Student Conduct Code.

The Officer may make minor modifications ~~to procedure that do not materially jeopardize the fairness owed to any party, such as to accommodate summer schedules, etc.~~

Policy in effect at the time of the offense ~~will apply even if the policy is changed subsequently but prior to resolution. Procedures. With regard to the procedures applicable to the resolution of any alleged offense, the Code procedures~~ in effect at the time of the resolution report will apply to resolution of incidents, regardless of whether the incidents occurred on or off campus, and regardless of when the incident occurred.

If ~~government regulations change applicable law or regulation changes~~ in a way that impacts this ~~document~~Code, this ~~document~~Code will be construed to comply with government regulations applicable law and regulation in ~~their~~its most recent form.

IN THE ENFORCEMENT OF THE CODE, THE UNIVERSITY FUNCTIONS IN AN ADMINISTRATIVE MANNER. THE UNIVERSITY'S ADMINISTRATIVE PROCESS AFFORDS FUNDAMENTAL FAIRNESS, BUT DOES NOT FOLLOW THE TRADITIONAL COMMON LAW ADVERSARIAL METHOD OF A COURT OF LAW.

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In the implementation of this Code, the University seeks to function in an administrative manner grounded in our educational mission with an emphasis on fundamental fairness, due process, personal responsibilities, and community relationships.

In complying with the letter and spirit of applicable laws and in pursuing its own goals of diversity, the University of Maine System does not discriminate on the grounds of race, color, religion, sex, sexual orientation, ~~transgender status~~ gender identity, gender expression, national origin, citizenship status, age, disability, genetic information or veterans status in employment, education, and all other programs and activities. The University provides reasonable accommodations to qualified individuals with disabilities upon request.

The following person has been designated to handle inquiries regarding non-discrimination policies: Director of Equal Opportunity, North Stevens Hall, Orono, ME -04469; voice: (207) 581-1226; TTY 711 (Maine Relay System) email: equal.opportunity@maine.edu.

A qualified student with a disability is entitled to reasonable accommodations to participate in this administrative process. Accommodations may include, but are not limited to, sign language interpretation or information in alternative formats. Students wishing to request reasonable accommodations should make those requests directly to the Conduct Officer. The Conduct Officer will consult with the appropriate campus office for students with disabilities to assist with the determination of reasonable accommodations. Students may be required to provide documentation in order for the Conduct Officer to make a determination.

Student rights and responsibilities are outlined throughout this Code. If students have questions or concerns about this Code or the way this Code is being applied, they are welcome to contact a Conduct Officer at the university; this may be either the Conduct Officer handling a particular matter or another Student Conduct Officer. If questions or concerns about the Code or the way this Code is being applied remain unresolved following this, the student may contact the Conduct Officer's supervisor or the Director of Student Success Initiatives and UMS Coordinator of Student Conduct. If questions or concerns remain unresolved following this, students may contact the Vice Chancellor for Academic Affairs.

Various timeframes, including for response and submission of information and documents, are outlined throughout this Code. If, at any time, a student would like to request an update or additional information about a particular matter under review, the student may contact the Campus Authority handling the matter.

1. JURISDICTION

~~A. The Code will apply to the following:~~

~~A. This Code applies when the University has jurisdiction over the Responding Party and the alleged conduct. The University has jurisdiction when the Responding Party is any of the following:~~

~~1.i. Any person(s) accepted, registered, or enrolled in any course or program offered by the University, including distance courses and who have not been absent from the University greater than one (1) calendar year; or~~

~~2.ii. Any person accepted to student currently on probation or currently suspended from the University; or~~

~~3. Any University recognized student organization; or~~

~~4.iii. Any group of students, any student organization not currently recognized, but currently under University probation or suspension, by the University.~~

~~B. Persons are deemed A student is considered to be enrolled at the University until such time as the student has:~~

~~1.i. Officially graduated from the University; or~~

~~2.ii. Been officially dismissed from the University; or~~

~~Not~~

~~0. (NB: Students who have not graduated nor been enrolled in any course or program within the University for one calendar year.~~

~~Persons are also deemed to be enrolled at the University if the student:~~

~~1. Has dismissed, but who have been officially suspended absent from the University (persons are~~

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deemed to be enrolled during the period of their suspension), or
 d. Is taking distance courses provided greater than one (1) calendar year, are not covered by or presented at
 a University campus, this Code as noted in Section 1(A)(i).)

C. This Code may be applied in cases of conduct when the alleged incident occurs;

1-i. Occurs on any campus of the University, or involving any other University Property; or

2-ii. At Activities Pursued Under an activity pursued under the Auspices of the University; or

iii. In which a context where the University can demonstrate a substantial interest as an academic institution regardless of where the location of the conduct occurs, including online or off-campus, and in which where the conduct seriously threatens: (a) any

a. Any educational process; (b) legitimate or

b. Legitimate function of the University; or (c) the

3-c. The health or safety of any individual.

D. It is at the University's discretion to determine whether Jurisdiction applies. In general, Jurisdiction is determined on the date of the alleged incident or date of the relevant nexus of events.

II.2. DEFINITIONS

A. **Activities Pursued Under the Auspices of the University:** Any activities specifically sponsored or participated in by the campus or by any campus organization. Such activities do not include informal off-campus gatherings of students. However, this definition will not be construed so as to limit the University's jurisdiction.

C. **Administrative Hearing Before the Officer:** A hearing before the Officer to determine if a Responding Party has violated any section(s) of the Code.

E.A. **Advisor:** A person who is available to advise or support any party involved in a Code violation investigation and resolution process. Someone acting in the capacity of an any matter governed by this Code. An advisor may not beserve as a witness, or a participant in the hearing. Examples of advisors may include, but are not limited to, family members, friends, University Employees, and attorneys.

B. **Appeal Panel:** A panel that hears appeals from the Conduct Officer Hearing or the Hearing Board hearing, described in Section 8.

C. **Campus Authorities:** Includes, but is not limited to, any Campus Police campus police or Security Staff, the security staff, investigator, Conduct Officer, Hearing Board, Appeal Panel, or Presidential Appeal Panel members.

C. **Conduct Officer, the Committee, and the Review Panel.**

D. **Conduct Officer (the "Officer"):** Person(s) or designee(s) responsible for resolving: Individual appointed by the University to address alleged violations of the Code.

F.E. **Conduct Officer Hearing:** A hearing before the Conduct Officer to determine if a Responding Party has violated any section(s) of this Code.

H.F. **Consent:** An individual's voluntary agreement to engage in specific sexual activity, acts with another person.

1-i. Consent must be:

a. Informed, freely, and actively given, and consist of a mutually agreeable and understandable exchange of words or actions.

b. Clear, knowing and voluntary.

c. Active, not passive.

2-ii. Consent may be withdrawn at any time, and when outwardly communicated that consent is withdrawn sexual activity must cease.

3-iii. Silence, passivity, or absence of resistance, in and of itself, cannot be interpreted as consent.

4-iv. Consent can be given by words or actions, as long as those words or actions create mutually understandable clear permission regarding willingness to engage in (and conditions of) sexual activity.

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5-v. Past consent does not imply future consent. Even in the context of an ongoing relationship, consent must be sought and freely given for each sexual act.

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6-vi. Consent to engage in one form of sexual activity does not imply consent to engage in any other sexual activity.

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7-vii. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with any other person.

8-viii. There is no consent when the exchange involves unwanted physical force, coercion, intimidation and/or threats.

9-ix. If an individual is mentally or physically incapacitated or impaired such that one cannot understand the fact, nature, or extent of the sexual situation, and the Incapacitation or impairment is known or should be known to the Reasonable Person, there is no consent. This includes conditions resulting from voluntary alcohol or drug consumption, or being asleep, or unconscious when the Responding Party takes advantage of the other party's incapacitation. The assessment is based on objectively and reasonably apparent indications of incapacitation when viewed from the perspective of a sober, reasonable person.

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10-x. Consent is not valid if the person is too young to consent to sexual activity under Maine applicable law, even if the minor wanted to engage in the activity.

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D- **Formal Investigation:** A fair, thorough, and impartial process used to determine, to the fullest extent possible, if a there has been a violation of the Code. Investigations include, but are not limited to, interviews with relevant parties and evidence collection.

D- **Gender Expression:** An individual's external expression of their gender identity, through such means as clothing, hair styling, jewelry, voice, and behavior.

D- **Gender Identity:** An individual's sincerely held core belief regarding their gender whether that individual identifies as male, female, a blend of both, neither, or in some other way (such as, for example, an individual who identifies as "queer", "genderqueer", "bi-gender", "intersex", or "gender fluid").

D- **Hostile Environment:** Is created when harassment is:

9- Severe, Persistent, or Pervasive; and

10- Objectively Offensive, such that it denies or limits a person's ability to participate in or benefit from the University's programs, services, opportunities, or activities; or unreasonably interferes with an individual's academic or work performance.

A hostile environment can be created by anyone involved in a University program or activity, such as an administrator, faculty or staff member, student, or campus guest. Offensiveness alone is not enough to create a hostile environment. Although repeated incidents increase the likelihood that a hostile environment has been created, a single serious incident, such as a Sexual Assault, can be sufficient.

Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a Reasonable Person in a similar situation would have perceived the conduct as objectively offensive.

The following factors will also be considered:

i- The degree to which the conduct affected one or more students' education or individual's employment;

ii- The nature, scope, frequency, duration, and location of the incident(s);

iii- The identity, number, and relationships of persons involved; and

iv- The nature of higher education.

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D- **Incapacitation:** An individual is mentally or physically incapacitated such that:

23- The individual cannot understand the fact, nature, or extent of the situation (e.g. to understand the "who, what, when, where, why or how" of the situation); and

24. ~~The incapacitation is known or should be known to the Responding Party (as evaluative from the perspective of a Reasonable Person).~~

~~This includes conditions resulting from alcohol or drug consumption, being asleep, or unconscious.~~

~~A policy violation is not excused by the fact that the Responding Party was intoxicated and, due to that intoxication, did not realize the incapacity of the other person.~~

~~D. **Interim Measures or Actions:** Taken to promote the safety and well-being of the Parties, including, but not limited to, moving either Party to a new living, dining or working situation; issuing a no contact order; changing class or work schedules; changing transportation; financial aid accommodations; immigration assistance; and other academic and/or employment accommodations and support.~~

~~xi. **Notification Standards:** Official notice from the University may be. In evaluating whether consent was given, consideration will be given to the totality of the facts and circumstances, including but not limited to the extent to which a Reporting Party affirmatively uses words or actions indicating a willingness to engage in sexual contact, free from intimidation, fear, or coercion; whether a reasonable person in the Responding Party's position would have understood such person's words and acts as an expression of consent; and whether there are any circumstances, known or reasonably apparent to the Responding Party, demonstrating incapacitation or lack of consent.~~

~~G. **Formal Investigation:** The process described in Section 5(J).~~

~~H. **Incapacitation:** An individual who is incapacitated lacks the ability to make informed judgments and cannot consent to sexual contact. Incapacitation is the inability, temporarily or permanently, to give consent because an individual is mentally and/or physically helpless, asleep, unconscious, or unaware that sexual activity is occurring. Mentally helpless means a person is rendered temporarily incapable of appraising or controlling one's own conduct. Physically helpless means a person is physically unable to verbally or otherwise communicate consent or unwillingness to an act. Where alcohol or other drugs are involved, incapacitation is a state beyond impairment or intoxication. Where alcohol or other drugs are involved, evaluating incapacitation requires an assessment of how the consumption of alcohol and/or drugs affects a person's decision-making ability; awareness of consequences; ability to make informed, rational judgments; capacity to appreciate the nature and quality of the act; or level of consciousness.~~

~~I. **Interim Measures or Actions:** The process described in Section 5(G).~~

~~J. **Notice:** Notice is considered effective if hand delivered, mailed to a student's with signature confirmation of delivery at the person's or entity's last known address, or delivered through the use of the current student's or University Employee email account, with confirmation of receipt, or at the University's discretion, another method requested by a Party. Students are expected to regularly monitor their official University email account.~~

~~K. **Party(ies):** The May refer to the Reporting Party(ies) and), Responding Party(ies), or both Parties collectively.~~

~~F. **Preliminary Inquiry:** Typically one to three (1-3) days in length, this inquiry precedes a formal investigation, to determine if there is reasonable cause to believe that there has been a violation of the Code.~~

~~L. **Preliminary Inquiry:** The process described in Section 5(C).~~

~~M. **Preponderance of the Evidence:** TheA standard of evidence used to determine whether the Student Conduct Code has been violated. Under this standard, a violation will be determined that requires a fact or event to have occurred if, based upon the evidence presented, the Officer, the Committee, or the Review Panel conclude that it is more likely than not that the violation was committed to have occurred, e.g., a greater than fifty percent (50%) chance.~~

~~N. **Presidential Appeal Panel:** A panel that hears appeals from the Appeal Panel as described in Section 9.~~

~~M.O. **Reasonable Person:** A representative individual under similar circumstances and with similar identities to the standard that reflects what a reasonable sober person in question, who exercises care, skill, and judgment the same or similar circumstance would do.~~

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~~Q.P. Reporting Party:~~ A person who alleges harm ~~and/or~~ a policy violation ~~under this Code~~ by a ~~person, a student, or~~ student ~~or campus organization. Where the Reporting Party does not want to participate, the University may move forward with the case, as defined in Section 1(A)(i).~~ In cases of Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, ~~or Stalking, however for Discrimination, or Harassment,~~ the words "Reporting Party" shall refer only to the person who has been ~~allegedly~~ harmed by the alleged misconduct. ~~If a Reporting Party declines to participate, at the University's discretion, the University may move forward with the process under this Code.~~

~~Q. Responding Party:~~ A ~~person, a student, or~~ student organization ~~as defined in Section 1(A)(i).~~ that has been alleged to have violated ~~the~~ this Code, is under Formal Investigation, or has been charged with a violation of ~~the~~ this Code.

~~S. Review Panel:~~ A one (1) or three (3) member panel ~~Hearing Board: A Board~~ that hears ~~reviews from the Committee, described in Section VII.~~

~~U. Sexual Orientation:~~ A person's actual or perceived sexuality or sexual identity.

~~W.R. Student Conduct Committee (the "Committee"):~~ A committee composed ~~cases~~ of representatives from ~~campuses alleged violations~~ of the University responsible for hearing conduct cases on review after the Administrative Hearing, ~~this Code as~~ described in Section ~~V47.~~

~~Y.S. University Employee:~~ Employees, including faculty, staff, students, Board of Trustees, volunteers, and agents of the University.

~~AA. University of Maine System Student Conduct Code (the "Code"):~~ This entire document.

~~CC.T. University of Maine System (the "University"):~~ Means either collectively or singularly, any of the of following campuses: University of Maine at Augusta; University of Maine at Farmington; University of Maine at Fort Kent; University of Maine at Machias; University of Maine ~~(Orono)~~; University of Maine at Presque Isle; University of Southern Maine; University ~~Colleges of~~ Maine School of Law and all University Property.

~~EE.U. University Property:~~ Includes, but is not limited to, any Real or Personal Property owned, held, rented, licensed, chartered, or ~~at the University's discretion, Real or Personal Property~~ otherwise engaged by the University in any manner or by University Employees ~~and/or~~ campus organizations as a direct result of and in connection with their service to the University.

~~1.i. Real Property:~~ Land, buildings, fixtures, improvements, and any interests therein.

~~2.ii. Personal Property:~~ All property, other than real property, and any interests therein. ~~The University's computer network and all its component parts, which are not real property. Any document or record issued or purporting to be issued by the University.~~

~~J. Violent Crime:~~ Arson, assault offenses, intimidation, burglary, manslaughter, murder, destruction/damage/vandalism of property, kidnapping/abduction, and/or robbery.

~~V. Violent Crime:~~ As described in Family Educational Rights and Privacy Act (FERPA).

3. VIOLATIONS

~~III. Violations~~

~~Violations are activities conduct which contravenes this Code and~~ directly and significantly interfere with the University's (1) primary educational responsibility of ensuring the opportunity of all members of the community to attain their educational objectives, or (2) subsidiary or other responsibilities of protecting the health and safety of persons in the campus community, maintaining and protecting property, keeping records, providing living accommodations and other services, and sponsoring non-classroom activities such as lectures, concerts, athletic events, and social functions to the University community.

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Disciplinary action taken under this Code is independent of the awarding of grades (an academic matter), and provisions of this Code cannot be used for changing awarded grades. The violations listed below are considered in the context of the student's responsibility as a member of the academic community; other actions which may be considered as violations may be defined by other documents, such as, for example, residence hall contracts. Disciplinary action taken under the Code is independent, student handbooks, or codes of the awarding conduct specific to certain courses of grades (an academic matter), and provisions of the Code cannot be used for changing awarded grades study or majors.

The residence hall contract between the student and the University may specify certain other conditions which impose additional responsibilities and obligations on the residence hall student. The following violations indicate categories of conduct or activity which violate the Code.

Reporting Violations

All reports are acted upon promptly while every effort is made by the University to preserve the privacy of such reports. Such reports may also be anonymous. Anonymous reports will be investigated to determine if remedies can be provided. Reports of alleged violations of the Code should be reported to Campus Authorities such as the University's Residence Hall staff, Dean of Students, or Officer. Reports of Gender Discrimination (including sexual harassment, dating violence, domestic violence, sexual assault or stalking) may be reported directly to the University's Title IX Coordinator/Deputy Coordinator.

The following violations are provided in order to give persons, students reasonable warning, and student organizations notice that such conduct or attempted conduct is prohibited.

A. Academic Misconduct

1. Plagiarism: The submission of another's work as one's own, without adequate attribution. Plagiarism is academic theft.

2. Cheating: The act or attempted act of deception by which a person, student, or student organization seeks to misrepresent that he/she has they have mastered information on an academic exercise that he/she has they have not mastered. Cheating is also the use or attempted use of unauthorized assistance in an examination, paper, homework assignment, or other project.

3. Fabrication: The use of invented information or the falsification of research or other findings in an academic exercise.

4. Plagiarism: The submission of another's work as one's own, without adequate attribution.

5. Facilitating Academic Misconduct/Contributing to academic dishonesty: Assisting in another person's, student's, or student organization's academic misconduct/dishonesty.

6. Other forms of dishonest academic conduct: Any actions by which one seeks an unfair academic advantage over others.

7. Violation of UMS Academic Integrity Policy

B. Disruption of University Operations

1. Causing a Disturbance: Disturbance resulting in substantial disruption of authorized University activities.

2. Failure to Comply with Sanction: Failure to comply with or attempts to circumvent a sanction(s) imposed by the Officer, Committee, or Review Panel under this Code.

3. Failure to Identify: Failing to properly/accurately identify oneself to a University Employee acting in pursuit of performing their official duties.

4. Interference with Code Enforcement: Interference with a Reporting Party, Responding Party, witness, investigation or the carrying out of procedures defined in the this Code.

5. Interference with or Failure to Comply with a University Employee: Direct interference with or failure to comply with a University Employee in the performance of his/her/their official duties.

6. Supplying False Information: Knowingly supplying false information to University Employees in pursuit of their official duties or to a Committee or Review Panel/Hearing Board, Appeal Panel, or Presidential

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Appeal Panel, in the course of a disciplinary proceeding, or knowingly causing false information to be thus supplied.

~~7-vii. Unauthorized Representation:~~ Unauthorized representation of the University or University Employee(s).

~~2. Violation of Residence Hall Policies:~~ Violation of residence hall contracts, except when the residence hall contract specifically provides for an alternate procedure or remedy for the violation concerned.

viii. Violation of Residence Hall Contract

~~8-ix. Violation of Student Activity Regulations:~~ Violation of a ~~campus specific or system-wide~~ University regulation, policy, standard of conduct, or code of ethics applicable to the activity in which the student is engaged, and which has been adopted, published or otherwise made known to students participating in such activity.

D.C. Health & Safety Violations

~~1-i. Creating a Dangerous Condition:~~ Creation of a fire hazard or other dangerous condition.

~~2. Endangering Health or Safety:~~ Conduct which threatens or endangers the health or safety of any individual.

~~3-ii. False Reporting of Dangerous Conditions:~~ Giving or causing to be given false reports of fire or other dangerous conditions.

iii. Endangering Health or Safety

iv. Violation of Health or Safety Policies

~~4-v. Illegal Possession, Use, or Sale of Drugs:~~ Illegal possession, use, or sale of drugs or drug paraphernalia. The misuse of legal prescription drugs.

~~5-vi. Interference with Safety Equipment or Alarms:~~ Tampering with, disabling, or causing malfunction of fire and safety equipment or alarm systems.

~~6. Possession or Misuse of Weapons:~~ Violation of regulations concerning possession or misuse of firearms or other dangerous weapons, as defined by policies established for each campus.

~~7-vii. Restricting Traffic Flow:~~ Restriction of normal traffic flow into or out of University Property.

~~8-viii. Unauthorized Use or Possession of Chemicals or Explosives:~~ Unauthorized use or possession of explosive components, chemicals, etc., such as fireworks, explosives, gas or compressed air.

~~9-ix. Violation of UMS or Campus Alcohol, Drug, or Tobacco and Smoke Free Policies:~~ Violations of University or State of Maine alcoholic beverage regulations or laws.

~~10-x. Violation of Health UMS or Safety Campus Weapons Policies:~~ Violation of University health or safety regulations.

F.D. Offenses Involving Other People

i. Assault: Intentionally, knowingly, or recklessly causing bodily injury or offensive physical contact to another person.

~~1-ii. Causing Fear of Physical Harm:~~ Intentionally or ~~recklessly placing a~~ knowingly places another person or persons in ~~reasonable~~ fear of imminent ~~physical harm~~ bodily injury.

~~2-iii. Dating Violence:~~ Violence committed against a person by an individual who is or has been in a social relationship of a romantic or intimate nature with that person. Whether a dating relationship exists is determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence. All forms of dating violence prohibited by ~~Maine~~ applicable law are also included. ~~(for example,~~ Assault).

iv. Discrimination: Discrimination based on actual or perceived race, color, religion, sex, sexual orientation, transgender status, gender expression, national origin, citizenship status, age, disability, genetic information, or veterans status.

~~3-v. Domestic Violence:~~ A felony or misdemeanor crime of violence committed by:
a. A current or former spouse or intimate partner of the victim; or

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- b. A person with whom the victim shares a child in common; or
- c. A person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner; or
- d. A person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; or
- e. By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

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All forms of domestic violence prohibited by Maine law are also included; applicable law are also included (for example, Domestic Violence Assault, Domestic Violence Criminal Threatening, Domestic Violence Terrorizing, Domestic Violence Stalking, and Domestic Violence Reckless Conduct).

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4-vi. Gender Discrimination: Discriminating against an individual on the basis of that individual's gender, including, but not limited to, Dating Violence, Domestic Violence, Sexual Assault, Sexual Harassment, or Stalking gender identity, or gender expression.

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5-vii. Harassment: Repeated and/or Severe or severe acts of pervasive unwelcome behavior that creates a hostile working, educational, conduct, including but not limited to: comments; jokes; acts; other verbal or living environment that unreasonably interferes with an individual's academic/physical conduct or job performance and opportunities. bullying, that may be based on race, color, religion, sex (including pregnancy), sexual orientation, gender identity, gender expression, national origin, citizenship status, age, disability, genetic information, or veterans status.

6-viii. Hazing: Any action taken or situation created by a person or an organization, or with the knowledge or Consent of an organization, which, including harassing behavior, that recklessly or intentionally endangers the mental or physical health of any University Employee or a person, student, or student organization or any activity expected of a person, student, or student organization as a condition of joining or maintaining membership in a group that humiliates, degrades, abuses or endangers the student, regardless of the student's willingness to participate in the activity.

7-ix. Interference with Residential Life: Significant interference with the normal residential life of others.

8-x. Intimidation: Implied intentionally or actual threats or acts that cause a reasonable knowing places another person in fear of harm in another, and may be inferred from conduct, words, or circumstances reasonably calculated to cause fear imminent bodily injury.

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9-xi. Invasion of Privacy: The violation of another individual's reasonable expectation of privacy where the circumstances justify that expectation, including, but not limited to, physically trespassing in a private area with the intent of observing or eavesdropping; using an electronic device to intercept, record, amplify or broadcast a private conversation or private events; or engaging in surveillance, photographing, broadcasting, image capturing or recording of private conversations or private events.

The fact that the Responding Party was a party to the conversation or event is not determinative of another individual's reasonable expectation of privacy.

12-xii. Lewd or Indecent Behavior/Conduct: Exhibition, including by electronic means, of the genitals, anus, or pubic area of a person other than for legitimate academic purposes. Simulation of a sexual act, sex act in public with or without private parts showing, or public masturbation are also included.

13-i. Physical Assault: Intentionally, knowingly, or recklessly causing bodily injury or offensive physical contact to another person.

14-xiii. Retaliation: Action taken by the University or any individual(s) or group or organization against any person or group for opposing any practices prohibited by the any action taken in furtherance of this Code or for including but not limited to: filing a complaint, testifying, assisting, or participating in an investigation or proceeding under the this Code.

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This includes action taken against a bystander who intervened to stop or attempt to stop a violation of the Code. Retaliation includes intimidating, threatening, coercing, or in any way discriminating against an individual because of the individual's complaint or participation.

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Action is generally deemed retaliatory if it would deter a Reasonable Person in the same circumstances from opposing practices prohibited by the Code or from participating in the resolution of a complaint.

19-xiv. **Sexual Assault:** An offense that meets the definition of rape, fondling, incest, or statutory rape, as follows:

- a. **Rape** is the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the Consent of the victim.
- b. **Fondling** is the touching of the private body parts of another person for the purpose of sexual gratification, without the Consent of the victim, including instances where the victim is incapable of giving Consent because of his/her/their age or because of his/her/their temporary or permanent mental incapacity.
- c. **Incest** is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d. **Statutory rape** is sexual intercourse with a person who is under the statutory age of Consent under applicable law.

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All forms of sexual assault and sexual contact prohibited by Maine applicable law are also included. (For example, gross sexual assault, unlawful sexual contact, incest, sexual abuse of minors)

20-xv. **Sexual Harassment:** Includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, including sexual assault and sexual violence, and any sexual act prohibited by applicable law. Sexual harassment, including Sexual Assault, can involve persons of the same or opposite sex.

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Consistent with the law, this policy prohibits two types of sexual harassment:

a. **Tangible Employment or Educational Action (quid pro quo):** This type of sexual harassment occurs when the terms or conditions of employment, educational benefits, academic grades or opportunities, living environment or participation in a University activity are made an explicit or implicit condition of submission to or rejection of unwelcome sexual advances or requests for sexual favors, or such submission or rejection is a factor in decisions affecting an individual's employment, education, living environment, or participation in a University program or activity. Generally, a person who engages in this type of sexual harassment is an agent or employee with some authority conferred by the University.

b. **Hostile Environment:** Sexual harassment that creates a hostile environment is based on sex and exists when the harassment:

- i. Is severe, pervasive, or persistent, subjectively and objectively offensive such that it denies or limits, and
- ii. Is so severe or pervasive as to alter the conditions of a person's ability to participate in employment, education or living situation that it creates an abusive working, educational or benefit from the University's programs, services, opportunities, or activities, or living environment.
- iii. Unreasonably interferes with an individual's academic or work performance.

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A hostile environment can be created by anyone involved in a University program or activity, such as an administrator, faculty or staff member, student, or campus guest. Offensiveness alone is not enough to create a hostile environment. Although repeated incidents increase the likelihood that a hostile environment has been created, a single serious incident, such as a Sexual Assault, can be sufficient.

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Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a Reasonable Person in a similar situation would have perceived the conduct as objectively offensive.

The following factors will also be considered:

- i. The degree to which the conduct affected one or more students' education or individual's employment; and
- ~~ii. The nature, scope, frequency, duration, and location of the incident(s);~~
- ~~iii. The identity, number, and relationships of persons involved; and~~
- ~~iii. The identity, number, and relationships of persons involved; and~~
- iv. The nature of higher education; and
- v. Whether the conduct arose in the context of other discriminatory conduct; and
- vi. Whether the conduct altered the conditions of the Complainant's educational or work performance and/or UMS programs or activities; and
- vii. Whether the conduct implicates academic freedom or protected speech; and
- viii. Other relevant factors that may arise from consideration of the reported facts and circumstances.

~~21-xvi. Sexual Misconduct:~~ Includes, but is not limited to, prostituting another person, ~~nonconsensual image capturing of watching or taking pictures, videos, or audio recordings of another person in a state of undress without their consent or of another person engaging in a sexual activity, presentation or unauthorized viewing of a non-consensual videotaping of act without the consent of all parties, disseminating, streaming, or posting images, pictures or video of another in a state of undress or of a sexual activity, nature without the person's consent;~~ letting others watch you have sex without the knowledge and Consent of your sexual partner, possession of child pornography, ~~peeping tommyvoyeurism,~~ and ~~or~~ knowingly transmitting an STD or HIV to another person; and any sexual act prohibited by applicable law. Sexual misconduct may constitute sexual harassment.

Sexual misconduct may also constitute sexual harassment.

All forms of sexual misconduct prohibited by ~~Maine~~ applicable law are also included. (For example, Violation of Privacy, Possession of Sexually Explicit Material, Revenge Porn and Sex Trafficking).

~~22-xvii. Stalking:~~ Engaging in a course of conduct directed at a specific person that would cause a Reasonable Person to:

- a. Fear for the person's safety or the safety of others; or
- b. Suffer substantial emotional distress.

For the purposes of this definition:

- a. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.
- c. Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

All forms of stalking prohibited by ~~Maine~~ applicable law are also included.

- 3. Discriminatory Harassment: Harassment based on actual or perceived race, color, religion, sex, Sexual Orientation, Gender Identity, Gender Expression, national origin or citizenship status, age, disability, genetic information or veteran status.
- 4. Unauthorized Recording of a Conversation: Intercepting, recording or image capturing a University

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Employee in a classroom, office or over the telephone without that University Employee's Consent unless it is part of an approved reasonable accommodation.

xviii. **Unauthorized Recording:** In general, the unauthorized recording of overall course content, classroom sessions, meetings held under this Code, and confidential university meetings is prohibited and considered a violation of this Code. However, exceptions will be considered on a case-by-case basis where a recording is made for the purpose of documenting inappropriate behavior.

G.E. Offenses Involving Property

- 1-i. **Defacement, Destruction, or Misuse of Property:** ~~Intentional and~~ intentionally, knowingly or reckless misuse, destruction, recklessly misuses, tampers with, damages, destroys, or defacement of defaces University Property or of the property of ~~other people~~ others without appropriate authorization.
- 2-ii. **Misuse of University Computer Network or Computers:** Misuse of the University computer network or computers including, but not limited to, theft of computer files or data, e-mail, or other electronically stored information, ~~probing or hacking into other computers or computer systems~~ hacking or unauthorized probing, sharing of personal sign on information, spamming, sending out computer viruses, or uploading or downloading copyrighted material for personal use or distribution without authorization appropriate authorization, uses prohibited by state or federal law, including but not limited to possession or distribution of child pornography.
3. **Motor Vehicle Violation:** Violation of motor vehicle policies established for each campus.
- 4-iii. **Tampering, Destruction, or Falsification of Official Records:** ~~Tampering with, destroying, or falsifying official records.~~
- 5-iv. **Theft or Unauthorized Use:** Theft, attempted theft, or unauthorized acquisition, removal, distribution, or use of University Property or the property of another.
- 6-v. **Trespassing:** Trespassing or unauthorized presence on any University Property, ~~including residence halls or the property of another.~~
- vi. **Violation of Campus Motor Vehicle Policies or Parking Regulations**

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H.F. General Infractions

- 1-i. **Aiding Infraction:** Knowingly assisting in ~~the~~ this Code violation of any of the provisions of the Code.
- 2-ii. **Continued Infraction:** Continued infractions of ~~the~~ this Code.
- 3-iii. **Conviction of a Crime:** Conviction of any crime that threatens: (a) any educational process or legitimate function of the University, or (b) the health or safety of any individual.
- iv. **Interference with or Failure to Comply with Public Safety Personnel:** Direct interference with or failure to comply with any public safety personnel in the performance of their official duties.
- 4-v. **Other Illegal Activity:** Violating any applicable law (e.g., local, state, or federal laws otherwise not covered under the Code.).

IV.4. SANCTIONS

If a Responding Party admits to a violation of ~~the~~ this Code to the ~~Officer~~, Investigator, ~~Committee~~ Conduct Officer, Hearing Board, Appeal Panel, or Review Presidential Appeal Panel; or upon determination by the ~~Conduct Officer, Committee~~ Hearing Board, Appeal Panel, or Review Presidential Appeal Panel that a Responding Party has been found in violation of ~~the~~ this Code, one or more of the following sanctions may be imposed found in accordance with the provisions Board of the Code (see Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy in Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy include:

- A. **Assigned Educational Projects/Project(s):** This may include educational programming, research projects, reflective essays, ~~counseling assessments, sanction seminars~~ presentations, or other related assignments intended to promote learning.

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~~G.B. Community Service: The type of service may be related to the nature of the violation.~~

~~E. Deferred Sanction: A specific period of time during which a sanction has been imposed but is stayed. Any further violation of the Code during that time may, at minimum, result in the imposition of the deferred sanction, and any new or additional sanctions deemed necessary.~~

~~G.C. Disciplinary Dismissal: Permanent separation (subject to the right of review after five years) from the University.~~

~~i. Responding Parties who are dismissed will not be permitted to attend any of the University campuses or attend any University functions. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee to be readmitted/considered for readmission to attend one any of the University campuses. ~~For~~The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee will convene a Responding Party preparing to transfer to a non-committee. This committee may draw on the membership of existing committees (such as the Justice Education Development Implementation team); this committee should include representation from any involved university campuses. Reviews of such requests should take into account that for external applicants, the University institution no longer reviews criminal or judicial history.~~

~~ii. Responding Parties who have been dismissed found responsible for a Violent Crime or Sexual Assault, and who request an official transcript for the University, will have a letter will be attached to the student's official transcript explaining describing the dismissal. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to have the letter attached for transfer applications to non-University institutions removed from their transcript the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee to have the letter attached to their official transcript be removed. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee will convene a committee. This committee may draw on the membership of existing committees (such as the Justice Education Development Implementation team); this committee should include representation from any involved university campuses. Reviews of such requests should take into account that for external applicants, the University no longer reviews criminal or judicial history.~~

~~iii. Requests for readmission or removal of the letter attached for transfer applications will be submitted to the Officer of the campus from which the Responding Party was dismissed. The Officer will convene the campus committee designated by the President to review such requests pursuant to the campus written procedures.~~

~~G.D. Disciplinary Probation: A specified period of time when any further violation may result in additional sanctions, up to and including dismissal from the University.~~

~~G.E. Disciplinary Suspension: Separation from the University for a specific period of time and/or until a stated condition(s) is met.~~

~~i. Responding Parties who are suspended will not be permitted to attend any of the University campuses during the sanction period or attend any University functions. After the sanction period has been completed and until all requirements/conditions of the suspension have been met, the Responding Party is eligible for readmission to any University campus. For a Responding Party preparing to transfer to a non-University institution who has been suspended are met and the suspension period has ended.~~

~~ii. Responding Parties who have been found responsible for a Violent Crime or Sexual Assault, a letter will be and who request an official transcript for the University, will have a letter attached to his/her/their official transcript explaining that he/she has been suspended. If describing the Responding Party is transferring to a non-University institution after suspension. After all conditions of the sanction has been completed suspension are met and the suspension period has ended the letter describing the suspension will no longer be attached to the official transcript.~~

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N. ~~Fine: Payment of money. Responding Parties who are unable to pay may discuss alternate payment arrangements.~~

P-F. ~~Loss of Contact with a Specific Person(s): With this sanction, the person~~ Responding Parties may not initiate direct or indirect contact with a specified person(s).

R. ~~Loss of Visitation Privileges: This loss of visitation may be to any designated area(s) of any University Property.~~

T-G. ~~Official Warning: Official~~ Formal acknowledgment of a violation and the expectation that it will not be repeated.

H. Mandatory Counseling

U-I. ~~Reassignment, Suspension, or Removal from University Housing: Removal from a particular hall or all housing.~~

W-J. ~~Restitution: Restitution, Reimbursement to the owner of~~ up to the replacement value of the ~~items~~ property damaged, stolen, removed, or used without authority ~~and damages incurred.~~

K. ~~Such other~~ Other action(s) as the ~~Committee, Conduct Officer, Appeal Panel or Review~~ Presidential Appeal Panel may reasonably deem appropriate ~~(e.g., suspension, examples include but are not limited to:~~

i. ~~Suspension~~ of an organization's official campus recognition, ~~suspension.~~

ii. ~~Suspension~~ of a student from ~~an~~ extracurricular activity, ~~termination~~ (ies).

iii. ~~Suspension of guest privileges.~~

iv. ~~Termination~~ from student employment, ~~and/or academic.~~

X-v. ~~Academic degree revocation).~~

vi. ~~Loss of visitation privileges to designated area(s) of any University Property.~~

vii. ~~Monetary fine for recognized student organizations.~~

NOTE: The University may choose to defer sanctions on a case by case basis as circumstances warrant.

The University may impose a more severe sanction on a Responding Party when the ~~Conduct~~ Officer, Committee, or Review Panel determines that a Responding Party intentionally selected the person or organization against whom the violation was committed, or selected the property damaged or stolen, because of the race, ~~color~~, religion, ~~color~~, sex, ~~Sexual Orientation, Gender Identity, Gender Expression~~ sexual orientation, ~~gender identity, gender expression~~, national origin ~~or~~, citizenship status, age, disability, genetic information, or ~~veteran~~ status of that person, or the persons in the organization or the owner of the property.

V-5. PROCEDURES

An enrolled student may not graduate if they have a pending conduct case. If a student officially withdraws from the University or does not participate in the disciplinary process, the process will continue and the student may not, at the discretion of the University, be permitted to return to the University or graduate until the student is found not responsible for a violation of this Code or until any imposed sanctions have been satisfied.

As applicable and appropriate, prior to any interim measures or actions, sanctions, or as appropriate other action being taken under this Code, an individualized risk and safety assessment should be conducted to determine whether there is a reasonably foreseeable significant risk to others, or significant risk of self-harm. As applicable and appropriate, the Student Risk Assessment and Safety Intervention Policy should be utilized.

Reporting. Each University campus may adopt procedures for carrying out the provisions of the Code within the

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guidelines set forth by the Code as described below and consistent with the Code. University campuses having a professional code of ethics may adopt additional procedural provisions to be applicable to their own students.

ADMINISTRATION AND INTERPRETATION OF THE CODE WILL BE SOLELY WITHIN THE JURISDICTION OF THE OFFICER, THE COMMITTEE OR THE REVIEW PANEL, SUCH INTERPRETATION BEING PURSUANT TO THE PROCEDURES OF THE CODE.

R. PRELIMINARY INQUIRY

A. Violations

- i. ~~Alleged violations of the this Code may be~~ brought to the attention of the University by University Employees, students, or members of the general public ~~and~~ will result in the initiation of a Preliminary Inquiry.
- ii. ~~Reports may be made anonymously however anonymous reporting may limit the ability to investigate and respond.~~
- iii. ~~Reports of Gender Discrimination (including Sexual Harassment, Dating Violence, Domestic Violence, Sexual Assault, or Stalking; Gender Discrimination may also include certain types of Discrimination and Harassment) are required to be reported directly to the University's Title IX Coordinator or Deputy Coordinator as described in Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy.~~

B. Notice to Reporting Party: The Reporting Party will be notified that their report has been received and follow up will occur consistent with UMS policies and procedures.

C. PRELIMINARY INQUIRY

- i. ~~Reports of alleged violations of this Code will result in the initiation of a Preliminary Inquiry. A Preliminary Inquiry will determine if whether there is sufficient information to warrant a Formal Investigation or informal resolution proceed under this Code. Before interviewing or questioning of the Parties, notification occurs, Notice must be provided under as stated in Section V.C., 5(I), Notice of Formal Investigation, unless doing so would be likely to jeopardize health or safety, or the integrity of the investigation, or lead to the destruction of evidence.~~
 1. ~~Informal resolution may be used to resolve cases where:~~
 - a. ~~There is sufficient information to support the allegations;~~
 - a. ~~All parties have mutually consented to the process; and~~
 - a. ~~The process is acceptable to the Officer.~~

~~The Parties have the right to end the informal process at any time and begin the formal complaint process. Mediation may not be used in cases of allegations of Sexual Assault.~~

ii. Notice Following Preliminary Inquiry

- a. ~~Upon the conclusion of the Preliminary Inquiry, in accordance with Notification Standards, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties the Responding Party, will be simultaneously notified provided Notice of whether no charges:~~
 - (1) ~~Any charge(s) will be filed, and if so, what charge(s) will be filed.~~
 - (2) ~~A Formal Investigation will commence, or Informal.~~
 - 2-(3) ~~An Alternative Resolution will be pursued. In all other cases, only the Responding Party will be notified whether or not charges will be filed, or if a Formal Investigation will commence is an option.~~
1. ~~If, during the Preliminary Inquiry or at any point during the Formal Investigation, the Officer determines that there is no reasonable cause to conclude that the Code has been violated, the disciplinary process will end and the Responding Party will be notified. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties will receive simultaneous notification of the Officer's decision end the disciplinary process and both the Parties will be notified of the right of review.~~
 - (4) ~~An Administrative Resolution is an option.~~
 - (5) ~~Any Interim Measure(s) or Action(s) will be implemented.~~

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~~3-b.~~ If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, ~~once the need for a Formal Investigation has been determined, the Discrimination, or Harassment all Parties will be provided written notification of the Formal Investigation at the appropriate time during the Formal Investigation Notice simultaneously.~~

4.D. ~~Each~~ **Conflicts of Interest:** Each Conduct Officer, Committee member, and Review Panelist is expected to conduct due diligence to determine if there is a potential conflict of interest. If there is a conflict of interest for the Conduct Officer, the Conduct Officer will refer the matter to another Conduct Officer. If any member of the Committee or Review panel ~~is conflicted~~ **has a conflict of interest**, an alternate will be appointed. ~~The parties have~~ Any individual, including a Party, ~~has~~ the right to raise any potential conflict of interest ~~concerns~~ with the Conduct Officer or ~~any member of the Committee~~ Director of Student Success Initiatives and UMS Coordinator of Student Conduct or ~~Review Panel~~ the Designee of Director of Student Success Initiatives and UMS Coordinator of Student Conduct.

E. ~~The University aims~~ Alternative Resolution

~~Alternative resolution processes such as conflict coaching, mediation, facilitated dialogue, and restorative justice allow individuals involved in a conflict to complete have significant influence over the investigation resolution process and any outcome.~~

~~If (1) all persons personally and directly affected by the conduct matter under this Code agree to attempt resolution through one of these processes; and (2) the Conduct Officer believes that the process is an appropriate form of resolution, then the Conduct Officer will make arrangements for the chosen alternative resolution pathway. The nature of some conduct matters, for instance those involving violence, are not suitable for alternative resolution.~~

~~Participation in an alternative resolution process is voluntary and may or may not result in an agreement or resolution. When a mutually satisfactory resolution is reached by the Parties, the case is resolved and Parties are encouraged to use the Conduct Officer as a resource for future questions. Resolutions reached through alternative resolution are not permitted to be appealed.~~

~~If resolution is not achieved through an attempt at alternative resolution, including the Preliminary Inquiry and if resolution is not sustained following an alternative resolution agreement, the Parties retain their right to pursue formal resolution through processes outlined elsewhere in this Code.~~

F. ADMINISTRATIVE RESOLUTION

- i. ~~At the Conduct Officer's sole discretion and consistent with other requirements of this Code, a conduct matter may be resolved through Administrative Resolution.~~
- ii. ~~An Administrative Resolution may only be used when the conduct matter involves the following: facts are not in dispute; a University Employee directly observed the conduct violation; and the violation is a minor conduct violation (for example, noise, minor alcohol infractions).~~
- iii. ~~If a student objects to use of an Administrative Resolution, the student may request a formal review and the University will proceed with a Formal Investigation, if any, under this Code.~~
- iv. ~~All Administrative Resolutions must be resolved within a sixty (60) business day 30 days. This timeframe does not include the time period from the date of initial notice to completion of the Formal Investigation, if required for any, which time period may be extended as necessary for appropriate cause, resultant sanctions to be completed.~~

G. INTERIM MEASURES OR ACTIONS

7. ~~If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the University may provide Interim Measures or Actions intended to address the short-term effects of the alleged Harassment, discrimination, and/or Retaliation, to the Parties and the community, and to prevent further violations of the Code.~~

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- ~~Interim Measures or Actions taken will be kept as private as reasonably practicable.~~
- i. ~~A Responding Party may have privileges suspended or may be suspended from the University or have privileges revoked pending the outcome of a disciplinary proceeding process if, in the judgment of the Conduct Officer, the Responding Party's continued presence or use of privileges at the University pending the outcome of the proceeding is likely to pose a:~~
- ~~a. A substantial threat to the Reporting Party or to other people and/or is likely to cause significant, or~~
 - ~~b. Significant risk of property damage and/or~~
 - ~~c. Significant risk of disruption of or interference with the normal operations of the University.~~
- ~~The Officer may converse with the Parties when such Interim Measures and Actions are considered.~~
2. ~~Responding Parties who have been issued an Interim Measures or Actions or an interim suspension may seek review of that decision by requesting the Campus President or designee to review the decision. The Campus President or designee will review the request within five (5) business days of receipt.~~
3. ~~In accordance with Notification Standards, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking the Officer may inform the Parties of any Interim Measures or Actions.~~
4. ~~ii. Interim Measures or Actions, Interim Measure(s) or Action(s), including but not limited to: interim suspensions; no contact orders; University Property usage restrictions; University account holds; and academic degree holds, will be implemented to ensure as minimal with the goal of mitigating negative impact on the Parties while maintaining the safety of the University community and integrity of the investigation.~~
8. ~~An enrolled student may not graduate if that student has a pending conduct case. If a student officially withdraws from the University or does not participate in the disciplinary process, the process will continue and the student may not be permitted to return to the University or graduate until the student is found not responsible for a violation of the Code or any imposed sanctions have been satisfied.~~
- iii. ~~Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, a Responding Party who has been issued an Interim Measure(s) or Action(s) will receive notice of the basis for the Interim Measure(s) or Action(s) and may seek a review hearing of that decision prior to the Interim Measure(s) or Action(s) being imposed. The review hearing will be conducted by a University Employee appointed by the university President or the Dean of the University of Maine School of Law. This review hearing will entail questioning of the Parties, and reviewing information that may be relevant to the determination of whether Interim Measure(s) or Action(s) would be appropriate under the circumstances. If a review hearing is requested, the University Employee appointed by the university President the Dean of the University of Maine School of Law will conduct the review and issue a decision within five (5) business days. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within five (5) business days, an update will be provided indicating the estimated timeframe for the hearing.~~
- iv. ~~If there is substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Interim Measure(s) or Action(s) may be imposed immediately. In such cases, the Responding Party will be provided notice of the basis for the Interim Measure(s) or Action(s) and notice of the date of the review hearing, which will occur within three (3) business days of the decision. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within three (3) business days, an update will be provided indicating the estimated timeframe for the hearing.~~
- H. Notice of Interim Measures or Actions
- i. The Responding Party will be provided Notice of:
- a. Any Interim Measure(s) or Action(s) that will be implemented.
 - b. Their right of review as described in Section 5(G)(iii-iv).

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- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment, all Parties will be provided Notice simultaneously.

D-I. NOTICE OF FORMAL INVESTIGATION

- i. Prior to commencement of a Formal Investigation, the Conduct Officer will ~~not~~ provide written Notice to the Responding Party.
- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment all Parties will be provided Notice simultaneously.
- iii. Notice will include the following:
- Alleged Code violation(s) and ~~the~~ a description of the alleged conduct constituting each alleged violation:
 - Reporting Party; and
 - Location(s) of alleged conduct; and
 - Date(s) of alleged conduct; and
 - Right to have an Advisor present; and
 - The name of the investigator; and
 - The procedures that will be used to address the alleged Code violation(s); and
 - Maximum possible sanction(s) which may be imposed; and
 - Any right of appeal for any Responding Party; and
 - Any right of appeal for any Responding Party and any Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, ~~or Stalking~~ in writing per the Notification Standards of the following: Stalking, Discrimination, or Harassment.

Alleged Code violation(s);

- ~~Reporting Party(ies);~~
- Date(s) of alleged occurrence(s);
- Maximum possible sanctions which may be imposed;
- The procedures that will be used to resolve the complaint; and
- Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) right of review.

I. FORMAL INVESTIGATION

- i. Upon the Conduct Officer's decision to commence a Formal Investigation, the Conduct Officer will initiate the investigation or assign it to a trained investigator, who may be internal or external, as soon as reasonably practicable, ~~but at least within three (3) business days~~.
- ii. The University may ~~undertake a short, where appropriate, temporarily~~ delay in its investigation when criminal charges on the basis of the same ~~behaviors that invoked this process~~ conduct are being investigated. ~~The University will promptly resume its investigation~~
- iii. Investigations should follow applicable standards, including with regard to objectivity, reliability, thoroughness, impartiality, timeliness, and resolution processes once notified by law enforcement that the initial evidence collection is complete ~~fairness~~.
- iv. ~~All~~ In general, investigations ~~will be thorough, reliable, impartial, prompt and fair. Investigations should~~ entail interviews with all relevant parties and witnesses, obtaining and reviewing available evidence, and identifying sources of expert information, as necessary ~~applicable~~.
4. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, both the Parties will be given access to the relevant evidence to be used in rendering a determination and each party will be provided a full and fair opportunity to address that evidence prior to a finding being rendered.
5. The Conduct Officer ~~and/or~~ investigator will provide regular updates to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination,

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Sexual Assault, Sexual Harassment, ~~or Stalking, Discrimination, or Harassment~~) throughout the investigation, as appropriate. Such regular updates should occur at least every 30 calendar days.
~~10. During the investigation the Parties may be accompanied by an Advisor.~~

- vi. While investigation times may vary, in general, formal investigations should be completed within 90 calendar days. If a Formal investigation is going to take longer than 90 calendar days, an update will be provided indicating the estimated timeframe for completion of the investigation. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, Discrimination, or Harassment).

K. Determination of Hearing Format

- i. There are two (2) hearing formats under this Code.
 a. Conduct Officer Hearing
 b. Hearing Board Hearing
- ii. The hearing format should be chosen based on the complexity of the matter, the impact to the Parties and the community, the severity of likely sanctions, and other relevant circumstances.
- iii. In general, Conduct Officer Hearing should be considered when:
 a. Facts are less complex.
 b. Alleged violation(s) are anticipated to have lower impact to the Parties and the community.
- iv. In general, Hearing Board Hearing should be considered when:
 a. Facts are more complex.
 b. A diversity of opinions is important to a fair outcome.
 c. Alleged violation(s) are anticipated to have higher impact to the Parties and the community. For example cases which could reasonably result in suspension, dismissal, or removal from housing.
- v. A Hearing Board Hearing is required for Code violations involving:
 a. Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment.
 b. Serious physical, emotional, or psychological harm or the threat thereof.

L. Notice Following Formal Investigation

- i. Upon the conclusion of the Formal Investigation, the Responding Party, will be provided Notice of whether:
 a. Any charge(s) will be filed and if so, what charge(s) will be filed.
 b. A hearing before a Conduct Officer will occur.
 c. A hearing before a Hearing Board will occur.
 d. An Informal Resolution may be pursued.
- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment all Parties will be provided Notice.
- ~~6.iii. If no charges are being brought at the conclusion of the Formal Investigation, the Conduct Officer will provide such notification to the Responding Party. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, Discrimination, or Harassment, the Parties will receive simultaneous notification of the Conduct Officer's decision not to bring charges and both the Parties will be notified of the right of review to either a committee chair or alternative hearing officer to appeal to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.~~

NOTICE OF ADMINISTRATIVE HEARING BEFORE THE HEARINGS

M-6. CONDUCT OFFICER HEARING

A. Notice of Conduct Officer Hearing

- i. If ~~charges~~any Code violation(s) are being filed, the Conduct Officer will ~~not~~provide written Notice within ten (10) business days from the conclusion of the Formal Investigation to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender

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Discrimination, Sexual Assault, Sexual Harassment, ~~or Stalking~~ in writing per the Notification Standards of, Discrimination, or Harassment).

4-ii. Notice will include the following:

- a. ~~Charge(s);~~
- a. Code violation(s) and a description of the alleged conduct constituting each violation; and
- a-b. Reporting Party(ies); and
- b-c. Date(s) of alleged occurrence(s); conduct; and
- d. Right to have an Advisor of their choice present; and
- e. Right to review the information that will be used by the Conduct Officer during the Conduct Officer Hearing; and
- f. Date and time of the Conduct Officer Hearing; and
- g. Name of the Conduct Officer; and
- h. Names of witnesses request to appear by the Hearing Board; and
- i. The procedures that will be used; and
- e-j. Maximum possible sanction(s) which may be imposed;
- a. ~~The procedures that will be used to resolve the complaint; and~~
- a. ~~Date and time of the Administrative Hearing.~~

V. ~~ADMINISTRATIVE HEARING BEFORE THE OFFICER~~

~~An Administrative Hearing Before the Officer will be held for cases that have not been disposed of informally where there is sufficient evidence to charge a Code violation.~~

- B. TIMEFRAME OF HEARING: The Conduct Officer hearing is required to be held not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Conduct Officer Hearing. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing.
- C. If a Party is unable to attend the Conduct Officer Hearing related to the constraints of a legal process (for example, a protective order or a no contact order) or is unable to attend related to concerns about trauma or future violence then the Party will be provided alternative means of participation consistent with applicable law.
- D. If any Party is not present at the time appointed for the hearing, the Officer will first attempt to determine of the Conduct Officer Hearing, the Conduct Officer may, taking into account, concerns with health and safety, timeliness of the process, and the reason for that person's a Party's absence. The Officer may then proceed, and taking into account the totality of the circumstances:
 - i. Proceed in a normal manner without a Party's attendance, may hear, or
 - 2-ii. Hear only a portion of the testimony and adjourn to a later date, or may continue the entire hearing to a later date; or
 - iii. Postpone the entire hearing to a later date.

The Conduct Officer may not ~~consider~~ rely solely on the absence of any Party in determining the outcome of the matter.

- E. The Responding Party may be accompanied by an Advisor of their choice and a support person of their choice. Advisors and support people will not be permitted to speak at the hearing, except to speak with their advisee, unless permission has otherwise been granted by the Conduct Officer.
 - i. The Conduct Officer should hear and consider as evidence relevant to whether the Responding Party committed the alleged information.
 - ii. The Conduct Officer should not consider information obtained directly or indirectly through a search of a Party's or witnesses' effects or room if a court of law has determined the search was illegal.
 - * ~~If the Conduct Officer is aware that a criminal prosecution relating to the same violation of the Code.~~
 - iii. During the hearing(s) is being conducted, or such action appears likely, then independent of the hearing, the Conduct Officer will notify the Responding Party and the Reporting Party, if the alleged

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~~violation~~ in advance of the Responding Party's right to remain silent. The Conduct Officer will draw no negative inference from the Responding Party's silence including the refusal to give information or consent to a search.

- iv. The Conduct Officer will make arrangements for recording the hearing. No recording in any form, other than the one made by the University, is permitted. Conduct Officer hearing proceedings are considered confidential unless otherwise indicated by law.
- v. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of the Conduct Officer by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled hearing. Removal of Conduct Officer for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- vi. The names of Parties' witnesses, written statements, or other information should be submitted to the Conduct Officer at least two (2) business days prior to the hearing for inclusion in the materials presented to the Conduct Officer. The Parties may submit additional names of witnesses; written statements; or other information at the time of the hearing.

F. Conduct Officer Hearing Procedures

- i. Responsibility for recognizing and permitting persons to speak is the exclusive purview of the Conduct Officer.
- ii. Persons disruptive at any stage of the hearing may be asked to leave at the discretion of the Conduct Officer.
- iii. The Parties will each have the opportunity to make an opening statement.
- iv. The Investigator will present the results of the investigation.
- v. The Conduct Officer may ask questions of any witnesses and the Parties.
- vi. The Parties may pose questions to each other and to any witnesses through the Conduct Officer. The Conduct Officer will ask the witness or other Party the question posed if the Conduct Officer determines the question is relevant and appropriate.
- vii. Questioning by any Advisor or support person is not permitted.
- viii. The Parties will each have the opportunity to make a closing statement, which may include recommendations regarding appropriate sanctions.
- ix. Using the Preponderance of the Evidence standard, the Conduct Officer will determine if the Responding Party has violated this Code or has not violated this Code.
- x. If the Responding Party has not violated this Code, the case will be dismissed.
- xi. If the Responding Party has violated this Code, the Conduct Officer will impose appropriate sanction(s).

G. NOTICE OF CONDUCT OFFICER HEARING OUTCOME

- i. The Conduct Officer will provide written Notice to the Responding Party.
- ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and
 - b. Any right of appeal.

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- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

7. HEARING BOARD

A. NOTICE OF HEARING BEFORE THE HEARING BOARD

- i. If any Code violation(s) are being filed, the Hearing Board Chair will provide written Notice within ten (10) business days from the conclusion of the Formal Investigation to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- ii. Notice will include the following:
 - a. Code violation(s) and a description of the alleged conduct constituting each violation.
 - b. Reporting Party(ies).
 - c. Date(s) of alleged conduct.
 - d. Right to have an Advisor of their choice present.
 - e. Right to review the information that will be used by the Hearing Board during the Hearing Board.
 - f. Date and time of the Hearing Board.
 - g. Names of the Hearing Board members.
 - h. Names of witnesses request to appear by the Hearing Board.
 - i. The procedures that will be used.
 - j. Maximum possible sanction(s) which may be imposed.

B. HEARING BOARD COMPOSITION

- i. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee is responsible for appointing the Hearing Board.
- ii. The Hearing Board is comprised of at least three (3), five (5), or seven (7) members consisting of:
 - a. A chair who is either a faculty or staff member; and
 - b. At least one (1) enrolled student; and
 - c. At least one (1) additional faculty or staff member.
- iii. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Hearing Board member who has a potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Hearing Board.
- iv. The composition of the Hearing Board will represent the diversity of the University community whenever reasonably practicable.
- v. Hearing Board alternate members will be appointed as applicable and appropriate.

C. TIMEFRAME OF HEARING: The Hearing Board hearing is required be held not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Hearing Board Hearing. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).

- D. If a Party is unable to attend the Conduct Officer Hearing related to the constraints of a legal process (for example, a protective order or a no contact order) or is unable to attend related to concerns about trauma or future violence then the Party will be provided alternative means of participation consistent with applicable law.

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E. If any Party is not present at the time of the Hearing, the Hearing Board Chair may, taking into account, concerns with health and safety, timeliness of the process, and the reason for a Party's absence, and taking into account the totality of the circumstances:

- i. Proceed in a normal manner without a Party's attendance; or
- ii. Hear only a portion of the testimony and adjourn to a later date; or
- iii. Postpone the entire hearing to a later date.

The Hearing Board may not rely solely on the absence of any Party in determining the outcome of the matter.

F. The Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment), may be accompanied by an Advisor of their choice and a support person of their choice. Advisors and support people will not be permitted to speak at the hearing, except to speak with their advisee, unless permission has otherwise been granted by the Officer/Hearing Board Chair.

G. During the hearing, the Officer may/The Hearing Board should hear and consider as evidence any relevant information.

The Officer may/Hearing Board should not consider:

H. Information obtained directly or indirectly through a search of a Party's or witnesses' effects or room if a court of law has determined the search was illegal.

I. If the Officer/Hearing Board is aware that a criminal prosecution relating to the same violation(s) is being conducted, or such action appears likely to be made, then independent of the hearing, the Officer/Hearing Board Chair will notify the Responding Party in advance of the Responding Party's right to remain silent, and the Officer/The Hearing Board will draw no negative inference from the Responding Party's silence including the refusal to give information or consent to a search, except that the Responding Party had no answer or evidence to give.

1. The Officer will then:

J. Make a determination that the Responding Party is in violation of the Code if a Preponderance of the Evidence demonstrates that The Hearing Board Chair will make arrangements for recording the hearing. No recording in any form, other than the one made by the University, is permitted. Hearing Board proceedings are considered confidential unless otherwise indicated by law.

K. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Hearing Board member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled hearing. Removal of Hearing Board members for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.

L. The names of Parties' witnesses, written statements, or other information should be submitted to the Hearing Board Chair at least two (2) business days prior to the hearing for inclusion in the materials presented to the Hearing Board. The Parties may submit additional: names of witnesses; written statements; or other information at the time of the hearing.

M. Hearing Board Hearing Procedures

- i. Responsibility for recognizing and permitting persons to speak is the exclusive purview of the Hearing Board Chair.
- ii. Persons disruptive at any stage of the hearing may be asked to leave at the discretion of the Hearing Board Chair.
- iii. The Parties will each have the opportunity to make an opening statement.
- iv. The Investigator will present the results of the investigation.
- v. The Hearing Board may ask questions of any witnesses and the Parties.
- vi. The Parties may pose questions to each other and to any witnesses through the Hearing Board Chair. The Hearing Board Chair will ask the witness or other Party the question posed if the Hearing Board Chair determines the question is relevant and appropriate.

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- vii. Questioning by any Advisor or support person is not permitted.
- viii. The Parties will each have the opportunity to make a closing statement, which may include recommendations regarding appropriate sanctions.
- ix. After the closing statements, the Hearing Board will go into a closed session to determine whether the Responding Party has violated the code, or dismiss the case this Code. The closed session is not recorded.
- x. Using the Preponderance of the Evidence standard, the Hearing Board will determine, by majority vote, if the Officer determines the Responding Party has violated this Code or has not violated this Code. If there is a tie vote, the Responding Party is will be found to have not in violation of the violated this Code. The Officer will inform
- xi. If the Responding Party, in writing, of the has been found to have not violated this Code, the case will be dismissed. Such dismissal will not affect any appeal rights any Party may have.
- xii. If the Responding Party has been found to have violated this Code, the Hearing Board will impose appropriate sanction(s).

N. NOTICE OF HEARING BOARD OUTCOME

- i. The Hearing Board Chair will provide written Notice to the Responding Party.
- ii. Notice will include:
 - e.a. The outcome, including any sanctions imposed and any right of review; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. an Appeal Panel).
- f.iii. If the alleged violation conduct is a Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written notification of the outcome, including any sanctions and the rationale for the result and any sanctions, and of the Parties' right of review. Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. an Appeal Panel).
- iv. If the alleged violation is Gender Discrimination or Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous notification written Notice of the:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and
 - b. Any right of appeal (e.g. an Appeal Panel).
- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

APPEALS

8. APPEAL PANEL

- A. In the event the Conduct Officer or the Hearing Board imposes a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party has a right to appeal any finding(s) or sanction(s) to an Appeal Panel. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment, both Parties have the right to appeal any finding(s) or sanction(s) to an Appeal Panel.

B. APPEAL PANEL COMPOSITION

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- i. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee is responsible for appointing the Appeal Panel.
- ii. The Appeal Panel is comprised of three (3) people consisting of:
 - a. A Appeal Panel chair who is either a faculty or staff member; and
 - b. One (1) enrolled student; and
 - c. One (1) Hearing Board member.
- iii. All Appeal Panel members are required to have not had previous involvement with the current matter. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Appeal Panel member who has a potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Appeal Panel.
- iv. The composition of the Appeal Panel will represent the diversity of the University community whenever reasonably practicable.
- v. Appeal Panel alternate members will be appointed as applicable and appropriate.
- C. In cases of a review to an Appeal Panel, the Responding Party charged with the violation and authorized Campus Authorities may have access to the record for purposes of review relating to a request for appeal. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- D. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination, Sexual Harassment, Discrimination, or Harassment the Reporting Party may have access to the portions of the recording pertaining to the Reporting Party. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- E. Appeals must be:
 - i. In writing; and
 - ii. State the issue(s) to be reviewed based on at least one of the grounds for appeal listed below in Section 8(G); and
 - iii. Submitted to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee within five (5) business days after the appealing Party has received written notice of the Conduct Officer or Hearing Board finding(s); and
 - iv. Not longer than ten (10) pages in length plus attachments.
- F. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment the appeal request will be shared with the other Party(ies). Such other Parties may file a response with the Appeal Panel within five (5) business days; this response will be shared with all Parties. Nothing in this Section precludes any Party from filing an appeal as detailed in Sections 8(A-E).
- G. Grounds for Appeal: The Appeal Panel is not intended to be a full rehearing (de novo) of the allegation(s). The appeal will be limited to the following grounds:
 - i. A substantive error, including a procedural error or omission, that substantially impacted the investigation or the outcome of the Conduct Officer or Hearing Board Hearing (for example, bias or failure to follow applicable procedures).
 - ii. To consider new evidence, not reasonably available during the investigation or Conduct Officer or Hearing Board hearing, that could impact the Conduct Officer or Hearing Board finding(s) or sanction(s). A summary of this new evidence and its potential impact must be included in the request for appeal.
 - iii. The sanction imposed is disproportionate to the severity of the violation, considering the totality of circumstances.
- H. Absent extenuating circumstances, the Conduct Officer or Hearing Board finding(s) and sanction(s) will stand if the request for appeal is not timely or is not based on the grounds listed above in Section 8(G). Extenuating circumstances are at the discretion of the University and will be determined by the Appeal Panel Chair in conjunction with the Office of General Counsel.
- I. **NOTICE OF APPEAL BEFORE THE APPEAL PANEL**

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- i. If an appeal is submitted consistent with parameters identified in Sections 8(A-E), the Appeal Panel Chair will provide written Notice within fifteen (15) business days from the finalized request for appeal; such Notice required to be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- ii. Notice will include the following:
 - a. The issue(s) to be reviewed and the ground(s) for appeal.
 - b. Right to review the information that will be used by the Appeal Panel.
 - c. Date and time of the initial Appeal Panel meeting.
 - d. Names of the Appeal Panel members.
 - e. The procedures that will be used.
 - f. Maximum possible sanction(s) which may be imposed.
- J. **TIMEFRAME OF APPEAL:** The Appeal Panel is required have an initial meeting not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Appeal. If extenuating circumstances exist that preclude the initial Appeal Panel meeting from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination or Harassment). Any Party may contact the Appeal Panel Chair for general updates on the process.
- K. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Appeal Panel member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled initial meeting. Removal of Appeal Panel members for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- L. Functions of Appeal Panel:
 - i. Review the conduct matter file including but not limited to: the investigative report; Conduct Officer or Hearing Board files and recordings; and
 - ii. Review any new information provided; and
 - iii. Ask clarifying questions as applicable, including but not limited to, as appropriate, asking questions of: the Investigator; Conduct Officer; Hearing Board member; individuals who presented information to the Conduct Officer or Hearing Board, and other individuals who have information relevant to the process; and
 - iv. Make a determination based on the information reviewed. Determinations are based on majority vote.
- M. The Appeal Panel may make the following determinations:
 - i. Uphold or change the findings of the Conduct Officer or Hearing Board; or
 - ii. Uphold or change the sanctions of the Conduct Officer or Hearing Board; or
 - iii. Remand for a new or additional investigation with a new or same investigator; or
 - iv. Remand to the same Conduct Officer or Hearing Board for a new hearing; or
 - v. Remand to a different Conduct Officer or Hearing Board for a new hearing.
- N. A remand to the same or a different Conduct Officer or Hearing Board is final and not subject to appeal.
- O. The Appeal Panel will provide Notice to the Parties of any determination(s).
- P. **NOTICE OF APPEAL PANEL OUTCOME**
 - i. The Appeal Panel Chair will provide written Notice to the Responding Party.
 - ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. a Presidential Appeal Panel).
 - iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:

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- a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. a Presidential Appeal Panel).
- iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
- ~~a. The outcome and~~ any sanctions that directly relate to the Reporting Party, ~~and of the Reporting Party's right of review.~~
 - b. Any right of appeal (e.g. a Presidential Appeal Panel).
- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

9. PRESIDENTIAL APPEAL PANEL

- A. In the event the Appeal Panel imposes a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party has a right to appeal any finding(s) or sanction(s) to a Presidential Appeal Panel. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment both Parties have the right to appeal any finding(s) or sanction(s) to a Presidential Panel.
- B. **PRESIDENTIAL APPEAL PANEL COMPOSITION**
- i. Each university President or the Dean of the University of Maine School of Law is responsible for appointing the Presidential Appeal Panel.
 - ii. The Presidential Appeal Panel is comprised of three (3) people consisting of:
 - a. Presidential Appeal Panel Chair who is either a faculty or staff member; and
 - b. One (1) enrolled student; and
 - c. One (1) UMS System Office Employee.
 - iii. All Presidential Appeal Panel members are required to have not had previous involvement with the current matter. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Presidential Appeal Panel member who has a potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Presidential Appeal Panel.
 - iv. The composition of the Presidential Appeal Panel will represent the diversity of the University community whenever reasonably practicable.
 - v. Presidential Appeal Panel alternate members will be appointed as applicable and appropriate.
- C. In cases of a review to a Presidential Appeal Panel, the Responding Party charged with the violation and authorized Campus Authorities may have access to the record for purposes of review relating to a request for appeal. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- D. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination, Sexual Harassment, Discrimination or Harassment the Reporting Party may have access to the portions of the recording pertaining to the Reporting Party. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- E. Presidential Appeals must be:
- i. In writing; and
 - ii. State the issue(s) to be reviewed based on at least one of the grounds for appeal listed below in Section 9(G), and

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- iii. Submitted to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee within five (5) business days after the appealing Party has received written notice of the Appeal Panel finding(s) and
- iv. Not longer than ten (10) pages in length plus attachments.
- F. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment the appeal request will be shared with the other Party(ies). Such other Parties may file a response with the Appeal Panel within five (5) business days; this response will be shared with all Parties. Nothing in this Section precludes any Party from filing an appeal as detailed in Sections 9(A-E).
- G. **Grounds for Appeal:** The Presidential Appeal Panel is not intended to be a full rehearing (de novo) of the allegation(s). The appeal will be limited to the following grounds:
 - i. A substantive error, including a procedural error or omission, that substantially impacted the investigation or the outcome of the Conduct Officer or Hearing Board Hearing (for example, bias or failure to follow applicable procedures).
 - ii. To consider new evidence, not reasonably available during the investigation or Conduct Officer or Hearing Board hearing, that could impact the Conduct Officer or Hearing Board finding(s) or sanction(s). A summary of this new evidence and its potential impact must be included in the request for appeal.
 - iii. The sanction imposed is disproportionate to the severity of the violation, considering the totality of circumstances.
- H. Absent extenuating circumstances, the Conduct Officer, Hearing Board, or Appeal Panel finding(s) and sanction(s) will stand if the request for appeal is not timely or is not based on the grounds listed above in Section 9(G). Extenuating circumstances are at the discretion of the University and will be determined by the Presidential Appeal Panel Chair in conjunction with the Office of General Counsel.
- I. **NOTICE OF APPEAL BEFORE THE PRESIDENTIAL APPEAL PANEL**
 - i. If an appeal is submitted consistent with parameters identified in Sections 9(A-E), the Presidential Appeal Panel Chair will provide written Notice within fifteen (15) business days from the finalized request for appeal; such Notice required to be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
 - ii. Notice will include the following:
 - a. The issue(s) to be reviewed and the ground(s) for appeal.
 - b. Right to review the information that will be used by the Presidential Appeal Panel.
 - c. Date and time of the initial Presidential Appeal Panel meeting.
 - d. Names of the Presidential Appeal Panel members.
 - e. The procedures that will be used.
 - f. Maximum possible sanction(s) which may be imposed.
- J. **TIMEFRAME OF APPEAL:** The Presidential Appeal Panel is required have an initial meeting not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Presidential Appeal. If extenuating circumstances exist that preclude the initial Presidential Appeal Panel meeting from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- K. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Presidential Appeal Panel member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled initial meeting. Removal of Presidential Appeal Panel members for cause will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- L. **Functions of Presidential Appeal Panel:**
 - i. Review the conduct matter file including but not limited to: the investigative report; Conduct Officer or Hearing Board files and recordings; and

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- ii. Review any new information provided; and
- iii. Ask clarifying questions as applicable, including but not limited to, as appropriate, asking questions of the Investigator; Conduct Officer; Hearing Board member; Appeal Panel member, individuals who presented information to the Conduct Officer, Hearing Board, or Appeal Panel, and other individuals who have information relevant to the process; and
- iv. Make a determination based on the information reviewed. Determinations are based on majority vote.
- M. The Presidential Appeal Panel may make the following determinations:
 - i. Uphold or change the findings of the Conduct Officer or Hearing Board; or
 - ii. Uphold or change the sanctions of the Conduct Officer or Hearing Board; or
 - iii. Remand for a new or additional investigation with a new or same investigator; or
 - iv. Remand to the same Conduct Officer or Hearing Board for a new hearing; or
 - v. Remand to a different Conduct Officer or Hearing Board for a new hearing.
- N. All decisions of the Presidential Appeal Panel are final.
- O. The President Appeal Panel will provide notice of any determinations to the applicable university President. The university President may accept the determination of the Presidential Appeal Panel or request further review.
- P. After the university President accepts the determination of the Presidential Appeal Panel, the Presidential Appeal Panel Chair will provide Notice to the Parties of any determination(s).
- Q. NOTICE OF PRESIDENTIAL APPEAL PANEL OUTCOME
 - i. The President Appeal Panel Chair will provide written Notice to the Responding Party.
 - ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
 - iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
 - iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and
 - b. Any right of appeal.
 - ~~h-v.~~ In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.
- 2. ~~TRAINING~~ If the Officer determines the Responding Party is responsible for a violation of the Code, the Officer will impose appropriate sanctions. Sanctions will become operative immediately once notice has been given to the Responding Party.
- 3. ~~Sanctions imposed as the result of the Administrative Hearing are implemented immediately unless the Officer stays their implementation in extraordinary circumstances, pending the outcome of a review hearing. Graduation, study abroad, internships/externships, etc. do NOT in and of themselves constitute extraordinary circumstances, and students may not be able to participate in those activities during the review period.~~
- RIGHT OF REVIEW BEYOND ADMINISTRATIVE HEARING BEFORE THE OFFICER
- 6. In the event the Officer issues a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party may request a review of the finding and/or sanction. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or

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- Stalking, the Parties have the right to a review of any finding(s) or sanction(s).
7. Requests for review will be in writing, state the issue(s) to be reviewed, and provide a detailed rationale for the request. The written request for a review will be submitted to the Officer within seven (7) calendar days after the Party(ies) has received notice of the Administrative Hearing finding(s) and shall not exceed five (5) pages in length.
 8. The request for review to the Committee will be limited to the following grounds:
 - A procedural error or omission occurred that significantly impacted the outcome of the hearing (e.g. substantiated bias, material deviation from established procedures, etc.).
 - To consider new evidence, unknown or unavailable during the original hearing or investigation, that could substantially impact the original finding or sanction. A summary of this new evidence and its potential impact will be included in the written request for review.
 - The sanction imposed is significantly disproportionate to the severity of the violation and/or the cumulative record of the Responding Party.
 - Reconsideration of existing information and whether it supports the Administrative Hearing before the Officer finding.
 13. The Committee will review request(s) for review. The original finding(s) and sanction(s) will stand if the request for review is not timely or is not based on the grounds listed above in Section V.G(3), and such a decision is final.
 14. The Committee review may result in: (a) a change to the finding(s); (b) a change in sanction(s), such as a higher sanction, a lower sanction, the same sanction, or no sanction at all being imposed; or (c) remand to Administrative Hearing Before the Officer.

RESPONSIBILITIES OF THE COMMITTEE

17. As soon as practicable upon receipt of the request for review, the following steps will be taken:
 - The Committee chair will notify, in writing, the Officer and the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) of a date, place, and time for the Committee hearing. Committee hearings are normally held not earlier than five (5) calendar days and not later than fourteen (14) calendar days after issuance of the notification of hearing.
 - List in the notice to the Parties the names of the Committee member(s) conducting the review and witnesses being invited by the Committee.
 - Make arrangements for the keeping of a recorded record of the Committee hearing. In cases of a review to the Review Panel, the Responding Party charged with the violation, his/her Advisor, and authorized Campus Authorities may have access to the record for purpose of review relating to a request for review. No copies will be made except by the University. The record will be kept by the University campus for at least three (3) years after all review rights have been exhausted at which time the record may be destroyed. Records of hearings are deemed to be Student Education Records under the Family Educational Rights and Privacy Act of 1974 (FERPA) and may not be disclosed publicly except as provided in FERPA. No recording in any form, other than the one made by the Committee, is permitted at the Committee hearing. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party and his/her Advisor may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination or Sexual Harassment, the Reporting Party and his/her Advisor may have access to the portions of the recording pertaining to the Reporting Party.
21. Composition of the Committee
 - The Committee will be composed as described in Section VI.
 - The Parties or the Officer will have the right to challenge, for cause, any Committee member by submitting to the Committee Chair written notice stating the grounds for the challenge at least two (2) business days prior to the scheduled hearing. Removal of members for cause will be within the authority and at the discretion of the Committee Chair or another member of the Committee if the Chair is unable to exercise that function or is challenged for cause.

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24. Hearing Preliminaries

- At any proceeding before the Committee, the Parties and witnesses may have the assistance of an Advisor.
- The hearing will be closed to the public. The Committee Chair may permit, in addition to the Party's Advisor, one support person for each Party to observe the proceedings. At the discretion of the Committee Chair, the Committee Chair reserves the right to close the hearing.
- If any Party or witness is not present at the time appointed for the hearing, the Committee will attempt to determine the reason for that party's absence. The Committee may proceed: (1) in a normal manner without their attendance; (2) hear only a portion of the testimony and adjourn to a later date; or (3) continue the entire hearing to a later date. The Committee may not consider the absence of a party as relevant to whether the Responding Party committed the alleged violation of the Code.

28. Hearing Procedures

- Responsibility for recognizing and permitting persons to speak lies exclusively with the Committee Chair.
- Persons disruptive at any stage of the hearing may be evicted at the reasonable discretion of the Committee Chair.
- The names of witnesses and/or copies of written statements will be submitted to the Officer at least two (2) business days prior to the hearing for inclusion in the materials presented to the Committee. At the discretion of the Committee Chair, the Parties may submit written documents, oral testimony of witnesses, and all relevant documents, records, and exhibits at the time of the hearing.
- The Officer will first present the results of the Preliminary Investigation, Formal Investigation, and Administrative Hearing.
- The Reporting Party may present oral testimony and/or written statements from any person(s) including the Responding Party, and all relevant documents, records and exhibits.
- The Responding Party may then present oral testimony and/or written documentation themselves and/or from other witnesses, and all relevant documents, records and exhibits.
- At any time during the proceedings, members of the Committee may question witnesses or parties to the proceeding; witnesses or parties may only ask questions of each other at the discretion of and through the Committee Chair. Questioning by any Advisor is not permitted. Advisors and support people may not speak at the hearing, except to their advisee.
- After the presentation of all the information to the Committee, the Officer and the Responding Party (and the Reporting Party if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) may present summaries of their arguments to the Committee.
- During the hearing, the Committee may consider any relevant information to the grounds for appeal, will not be bound by the strict rules of legal evidence, and may take into account any information which is of value in determining the issues involved. Efforts will be made to obtain the most reliable information available.
- After all parties have presented their respective information, the Committee will go into closed session to determine whether the Responding Party is in violation of the Code. Deliberations are not recorded. A Committee member should vote that the Responding Party is in violation of the Code only if a Preponderance of the Evidence demonstrates behavior that is in violation.
- A simple majority vote of responsible or not responsible for a violation of the Code by the Committee members present will prevail. If the majority of the Committee votes for not responsible or there is a tie, the Responding Party will be found not responsible.
- If a Responding Party is found to be responsible for the violation of Code, the Officer and the Responding Party (and the Reporting Party if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) may make recommendations to the Committee as to the appropriate sanctions. The Committee will go back into closed session and deliberate on sanctions. Deliberations are not

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recorded. A majority vote of the Committee members is needed for an imposition of a sanction(s):

41. After Committee deliberations are concluded, the Committee Chair will:

- Inform the Responding Party of the finding of the Committee, per the Notification Standards including:
 - The section(s) of the Code found to have been violated;
 - The sanction imposed; and
 - The rationale for both the finding(s) and the sanction(s).
- If the alleged violation is a Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Committee will inform the Parties, per the Notification Standards, simultaneously of the outcome of the proceeding, the rationale for the result, any sanctions, when a decision is considered final, any changes that occur prior to finalization, and any rights of review.
- If the alleged violation is Gender Discrimination or Sexual Harassment, in addition to informing the Complainant of the outcome of the proceedings the Committee shall inform the Complainant of any sanctions imposed upon the Respondent that directly relate to the Complainant.
- In a case of a Violent Crime, the University may disclose the final results of the Committee Hearing to the victim, regardless of whether the University concluded there was a violation of the Code.

49. Sanctions imposed as the result of the Committee hearing are implemented immediately unless the Chair of the Committee stays their implementation in extraordinary circumstances, pending the outcome of a review hearing. Graduation, study abroad, internships/externships, etc. do NOT in and of themselves constitute extraordinary circumstances, and students may not be able to participate in those activities during the review period.

— **RIGHT OF REVIEW BEYOND COMMITTEE**

- 52. In the event the Committee approves a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party may request a review of the finding or sanction. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, all Parties have the right to a review of any finding(s) or sanction(s).
- 53. Requests for review will be in writing, state the issue(s) to be reviewed, and provide a detailed rationale for the request. The written request for a review will be submitted to the Officer within seven (7) calendar days after the Party(ies) has received notice of the Committee finding(s) and shall not exceed five (5) pages in length.
- 54. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the review request will be shared with the other Party(ies), who may file a response within five (5) calendar days and/or bring their own review on separate grounds within the original timeframe. If new grounds are raised, the party requesting the review will be permitted to submit a written response to these new grounds within five (5) calendar days. This response will be shared with all Parties.
- 55. Campus president or designee will appoint a Review Panel as described in Section VII below.
- 56. The request for review to the Review Panel will be limited to the following grounds:
 - A procedural error or omission occurred that significantly impacted the outcome of the process (e.g. substantiated bias, material deviation from established procedures, etc.);
 - To consider new evidence, unknown or unavailable during the original hearing or investigation, that could substantially impact the original finding or sanction. A summary of this new evidence and its potential impact will be included.
 - The sanction imposed is significantly disproportionate to the severity of the violation and the cumulative record of the Responding Party.
- 60. The Review Panel will review request(s) for review. The original finding(s) and sanction(s) will stand if the request for review is not timely or is not based on the grounds listed above in Section V.H(5); and such a decision is final.

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61. If the Review Panel finds that at least one of the review grounds is met by at least one party, additional principles governing the hearing of review will include the following:
- The Review Panel may make changes to the finding only where there is clear error and to the sanction(s) only if there is a compelling justification to do so.
 - A review hearing is not intended to be a full re-hearing (de novo) of the allegation(s). A review to the Review Panel is limited to a review of the written documentation and recorded record of the Committee hearing regarding the grounds for review, and any new information provided by Parties. A review is not an opportunity for the Review Panel to substitute their judgment for that of the Committee merely because it disagrees with the Committee finding(s) and/or sanction(s). Reviews may be remanded to the original Committee or Officer at the discretion of the Review Panel. A remand to the original Committee or Officer cannot be reviewed.
 - In accordance with the Notification Standards, the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) will be informed of whether the grounds for a review are accepted and of the results of the review decision or remand.
 - A majority vote of the Review Panel will prevail.
 - Once the Review Panel has made a decision, the outcome is final. Further reviews are not permitted, even if a decision or sanction is changed on remand, except in the case of a new hearing before a new Committee or Officer, if ordered by the Review Panel.
 - In accordance with the Notification Standards, the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) will be informed in writing of the outcome of the Review Panel.
 - In a case of a Violent Crime the University may disclose the final results of the Review Panel to the victim, regardless of whether the University concluded a violation was committed.
69. In rare cases where a procedural (or substantive) error cannot be cured by the Review Panel (as in cases of bias), the Review Panel may recommend a new hearing with a new Committee. The results of the new Committee hearing may be reviewed, once, on any of the three (3) applicable grounds for review stated in Section V.H(5) above.
70. In cases where the review results in reinstatement to the University or resumption of privileges, all reasonable attempts will be made to restore the Responding Party to his/her/their/its prior status.

LXXII. STUDENT CONDUCT COMMITTEE COMPOSITION

- Committee members will be identified by campus presidents or their designee(s).
- Each University campus will identify from their respective campus, at least three (3) people, who can serve as trained Committee members, each in the following categories:

10.

- A. Each university President and the Dean of University of Maine School of Law in conjunction with the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct will identify at least three (3) people in each of the following categories to receive annual training to enable them to serve as trained Hearing Board, Appeal Panel or Presidential Appeal Panel members:

3-i. Enrolled students; and

4-ii. Faculty members; and

Q. Staff members.

Q-iii. Each hearing Committee will have at least three (3); and no more than seven (7) members consisting of:

iv. Committee Chair System level employees.

Q. Only individuals who is either a faculty or staff member;

Q. At least one (1) enrolled student; and

Q. At least one (1) faculty or staff member.

S. All members of a hearing Committee will avoid both the appearance and reality of any conflict of interest. Any Committee member who has a potential conflict of interest or feels that s/he is unable have received annual training are permitted to render an unbiased decision in the case will

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decline assignment to that Committee.

T. The composition of the Committee will have equitable gender representation whenever practicable.

V. REVIEW PANEL COMPOSITION

W. At the discretion of each campus president or designee, the Review Panel shall consist of either:

0. One (1) person who is a faculty or staff member, as identified by the campus president or designee; or

0. Three (3) members which shall include:

z. One (1) faculty or staff member identified by the campus president;

aa. ~~One (1) enrolled student; and~~

bb. One (1) Committee member.

CC-B. All Reviewserve as Hearing Board, Appeal Panel or Presidential Appeal Panel members may not have previous involvement with the current matter. All members of a Review Panel will avoid both the appearance and reality of any conflict of interest. Any Review Panel member who has a potential conflict of interest or feels that s/he is unable to render an unbiased decision in the case will decline assignment to that Review Panel.

V. TRAINING

FF.C. The following individuals will have annual training on issues related to: Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, ~~or Stalking and Discrimination, or Harassment~~; how to conduct an investigation; and hearing process that protects the safety of individuals involved and promotes accountability;

1. Campus presidents' designee(s);

2. Officers;

i. University Presidents and the Dean of University of Maine School of Law; and

4-ii. Individuals responsible for conducting Preliminary ~~Inquiry~~Inquiries or Formal Investigations; and

iii. ~~Committee~~Conduct Officers; and

2-iv. Hearing Board, Appeal Panel or Presidential Appeal Panel members; and

0. Review Panel members.

V. SPECIFIC PROCEDURES WITH RESPECT TO DATING VIOLENCE, DOMESTIC VIOLENCE, SEXUAL ASSAULT, OR STALKING

The University prohibits Dating Violence, Domestic Violence, Sexual Assault, or Stalking. In such cases, the University will provide a prompt, fair, and impartial investigation and resolution. This process will be conducted by University Employees who receive annual training on these issues, and on how to conduct an investigation and hearing process that protects the safety of Any other individuals involved university Presidents and promotes accountability.

kk. Reporting a Violation

5. ~~Individuals~~ may elect to report an incident to Campus Authorities, local law enforcement, both, or neither.

5. Should a Reporting Party elect to report an incident to local law enforcement, Campus Authorities are available to assist with this process at the Reporting Party's request.

5. Reporting Parties should, if possible, attempt to preserve any evidence. This evidence could prove crucial should the Reporting Party choose to report a violation Dean of University of the Code, report a criminal act to local law enforcement, or seek an order Maine School of protection from abuse Law or harassment from the courts.

5. As with other violations Director of the Code, and in accordance with federal law, the Preponderance of the Evidence standard will be used to determine whether a violation of the Code has occurred.

PP. Sanctions and Protective Measures

5. Separate from the sanctions outlined in Section IV, it is within the University's power to impose remedial measures for the Parties.

5. Even if a Reporting Party chooses not to pursue disciplinary proceedings under the Code or report

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the incident to law enforcement, the Reporting Party should consider talking to Title IX Student Success Initiatives and UMS Coordinator or the Deputy Coordinator about the possibility of remedial measures, as many measures (such as counseling or changing classes) may be possible regardless of whether an investigation is initiated.

5. Examples of possible remedial measures include:

- 0. Changes in housing, classes, or transportation in order to avoid contact between the Parties;
- 0. No contact directives; and
- 0. Helping connect the Parties to access services on campus and in the community, including counseling.

- 5. Additional information on resources, including details about free on-campus counseling services and other resources on campus and in the community, may be found in the University's policy pamphlet on sexual assault, domestic violence, dating violence, and stalking.

XX. Confidentiality

- 5. Under federal law, the University is required to report statistics regarding the occurrence of certain crimes in the University community. When reporting these statistics the University withholds the names of Parties as confidential and, to the extent permissible by law, withholds any other information that may serve to identify the Parties.
- 5. If a Reporting Party requests that their name or other identifiable information not be disclosed to the Responding Party, the University's ability to respond to the incident and pursue disciplinary action may be limited. Reporting Parties should note that, under Title IX of the Education Amendments of 1972, retaliation against a Party is prohibited. University Employees will take steps to prevent retaliation and will take responsive action if retaliation is found to have occurred.

V. STUDENT CONDUCT CODE REVIEW BOARD

CCC. The Student Conduct Code Review Board will be responsible for:

- 5. Considering all proposed amendments to the Code and acting as an advisor to the Board of Trustees in matters pertaining to the Code; and
- 5. Sending recommendations on proposed amendments of the Code to the President's Council and Chancellor for transmission to the Board of Trustees.

FFF. The of Student Conduct Code Review Board will be composed of the Designee of the following:

5. From each campus Director of the University:

- hhh. One (1) Officer;
- iii. One (1) Committee chair, Student Success Initiatives and
- jjj. One (1) enrolled student appointed by the President or his/her designee after seeking nominations from student representatives.
- 5. One (1) enrolled student who is in a distance education program. This enrolled student will be appointed by the Vice Chancellor for Academic Affairs or his/her designee.
- 5. One (1) representative from the Board UMS Coordinator of Trustees.
- 5. One (1) representative appointed by Chancellor.

NNN. y. The Chancellor's representative will be responsible for calling the Student Conduct Code Review Board into session and designates to be included in training.

Individuals should receive training commensurate with their role in the process.

11. STUDENT CONDUCT CODE COMMITTEE

A. The Student Conduct Code Review Board will meet Committee is responsible for:

000. i. Reviewing this Code for potential revision at least once every three (3) years, but may meet more often when requested by the following or at any time at the request of:

- 1-a. Conduct Officers representing at least two (2) campuses of the University; or
- 2-b. Student government officers representing at least two (2) campuses of the University; or
- c. Student government officers representing at least one (1) campus of the University and the University of Maine School of Law; or
- 3-d. The Chancellor.

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ii. Accepting and responding to feedback that various members of the UMS community may have regarding this Code.

iii. Proposing revisions to this Code to the Board of Trustees.

B. The Student Conduct Code Committee will be composed of the following:

i. A Committee Chair appointed by the Chancellor.

ii. Up to five (5) faculty, staff, or enrolled students, appointed by the Committee Chair.

iii. One (1) Board Trustee appointed by the UMS Board of Trustees Chair.

iv. One (1) enrolled distance education program student appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.

v. Three (3) graduate students appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct. Graduate students from any campus may serve in this role.

vi. Seven (7) Conduct Officers, one (1) from each campus, appointed by each university President.

vii. One (1) Law School staff member, appointed by the Dean of University of Maine School of Law.

viii. Seven (7) Hearing Board Chairs, one (1) from each campus, appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct.

ix. Eight (8) enrolled students, one (1) from each campus and the University of Maine School of Law.

a. Each applicable student government body will nominate a slate of at least three (3) enrolled students.

b. Each university President and the Dean of University of Maine School of Law will choose from their respective slate of nominees one (1) enrolled student representative.

12. AMENDING THE STUDENT CONDUCT CODE

The Board of Trustees will act upon proposed ~~amendments~~ revisions to ~~the~~ this Code after receiving recommendations ~~offrom~~ the Student Conduct Code ~~Review Board, the President's Council of the University System, and the Chancellor Committee.~~ As provisions of ~~the~~ this Code are subject to periodic review and change, the most recent and current copy of ~~the~~ this Code may be obtained through the University of Maine System ~~Chief Student website, the University of Maine System Vice Chancellor for Academic Affairs Office, or the Student Affairs Office~~ student affairs office on each campus.

Anyone who wishes to request assistance in accessing the information in this Code, may contact the ADA Coordinator at 207-581-1227, adacoordinator@maine.edu, or TTY 711(Maine Relay System).

Revised by the Student Conduct Code Review Board and accepted by the Board of Trustees, ~~19 March 2018~~ Date, 2021

Effective Date: July ~~4, 2018~~ 26, 2021

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UNIVERSITY OF MAINE SYSTEM STUDENT CONDUCT CODE

Effective Date: July 26, 2021

**Revised by the Student Conduct Code Committee
and
Approved by the Board of Trustees, X Date, 2021**

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UNIVERSITY OF MAINE SYSTEM STUDENT CONDUCT CODE

POLICY STATEMENT

The purpose of this University of Maine System Student Conduct Code (this "Code") is to promote the pursuit of activities that contribute to the intellectual, ethical, and physical development of the individuals under the auspices of the University of Maine System and the individual university campuses and the University of Maine School of Law. This Code seeks to promote the safety of persons engaging in those pursuits, the free and peaceful expression of ideas, and the integrity of academic processes.

Students are expected to conduct themselves with proper regard for their rights and responsibilities, and the rights and responsibilities of others including the University. All members of the University community share a responsibility for maintaining an environment where actions are guided by mutual respect, integrity, and reason.

All members of the University are governed by University policies, local ordinances, and state and federal laws. For specific governing documents, students and campus organizations may refer to: University Policies and Procedures; campus student handbooks; campus residence hall agreements and manuals; and other official University notices and publications. Individuals in violation of state and federal law are subject to prosecution by appropriate state and federal authorities regardless of whether the activity occurs on or off University Property. In addition, students may be subject to disciplinary action by the University pursuant to this Code or other applicable University policies, handbooks, catalogs, or standards.

In addition to the procedures described in this Code, using fair, objective decision-making processes, the University may implement administrative de-escalation and alternative resolution measures to resolve issues that arise within the University community.

What constitutes an offense and what sanctions may be imposed will be decided using the Student Conduct Code in effect at the time of the offense. With regard to the procedures applicable to the resolution of any alleged offense, the Code procedures in effect at the time of the report will apply to resolution of incidents, regardless of whether the incidents occurred on or off campus, and regardless of when the incident occurred.

If applicable law or regulation changes in a way that impacts this Code, this Code will be construed to comply with applicable law and regulation in its most recent form.

In the implementation of this Code, the University seeks to function in an administrative manner grounded in our educational mission with an emphasis on fundamental fairness, due process, personal responsibilities, and community relationships.

In complying with the letter and spirit of applicable laws and in pursuing its own goals of diversity, the University of Maine System does not discriminate on the grounds of race, color, religion, sex, sexual orientation, gender identity, gender expression, national origin, citizenship status, age, disability, genetic information or veterans status in employment, education, and all other programs and activities. The University provides reasonable accommodations to qualified individuals with disabilities upon request.

The following person has been designated to handle inquiries regarding non-discrimination policies: Director of Equal Opportunity, North Stevens Hall, Orono, ME 04469; voice: (207) 581-1226; TTY 711 (Maine Relay System) email: equal.opportunity@maine.edu.

A qualified student with a disability is entitled to reasonable accommodations to participate in this administrative process. Accommodations may include, but are not limited to, sign language interpretation or information in alternative formats. Students wishing to request reasonable accommodations should make those requests directly to the Conduct Officer. The Conduct Officer will consult with the appropriate campus office for students with disabilities to assist with the determination of reasonable accommodations. Students may be required to provide documentation in order for the Conduct Officer to make a determination.

Student rights and responsibilities are outlined throughout this Code. If students have questions or concerns about this Code or the way this Code is being applied, they are welcome to contact a Conduct Officer at the university; this may be either the Conduct Officer handling a particular matter or another Student Conduct Officer. If questions or concerns about the Code or the way this Code is being applied remain unresolved following this, the student may contact the Conduct Officer's supervisor or the Director of Student Success Initiatives and UMS Coordinator of Student Conduct. If questions or concerns remain unresolved following this, students may contact the Vice Chancellor for Academic Affairs.

Various timeframes, including for response and submission of information and documents, are outlined throughout this Code. If, at any time, a student would like to request an update or additional information about a particular matter under review, the student may contact the Campus Authority handling the matter.

1. JURISDICTION

A. This Code applies when the University has jurisdiction over the Responding Party and the alleged conduct.

The University has jurisdiction when the Responding Party is any of the following:

- i. Any person accepted, registered, or enrolled in any course or program offered by the University, including distance courses and who have not been absent from the University greater than one (1) calendar year; or
- ii. Any student currently on probation or currently suspended from the University; or
- iii. Any University recognized student organization, or any student organization not currently recognized, but currently under University probation or suspension.

B. A student is considered to be enrolled at the University until such time as the student has:

- i. Officially graduated from the University; or
- ii. Been officially dismissed from the University.

(NB: Students who have not graduated nor been dismissed, but who have been absent from the University greater than one (1) calendar year, are not covered by this Code as noted in Section 1(A)(i).)

C. This Code may be applied in cases of conduct when the alleged incident occurs:

- i. On any campus of the University, or involves University Property; or
- ii. At an activity pursued under the auspices of the University; or
- iii. In a context where the University can demonstrate a substantial interest regardless of the location of the conduct, including online or off-campus, and where the conduct threatens:
 - a. Any educational process; or
 - b. Legitimate function of the University; or
 - c. The health or safety of any individual.

D. It is at the University's discretion to determine whether Jurisdiction applies. In general, Jurisdiction is determined on the date of the alleged incident or date of the relevant nexus of events.

2. DEFINITIONS

- A. **Advisor:** A person who is available to advise or support any party involved in any matter governed by this Code. An advisor may not serve as a witness or a participant in the hearing. Examples of advisors include, but are not limited to, family members, friends, University Employees, and attorneys.
- B. **Appeal Panel:** A panel that hears appeals from the Conduct Officer Hearing or the Hearing Board hearing, described in Section 8.
- C. **Campus Authorities:** Includes, but is not limited to, any campus police or security staff, investigator, Conduct Officer, Hearing Board, Appeal Panel, or Presidential Appeal Panel members.
- D. **Conduct Officer:** Individual appointed by the University to address alleged violations of this Code.
- E. **Conduct Officer Hearing:** A hearing before the Conduct Officer to determine if a Responding Party has violated any section(s) of this Code.
- F. **Consent:** An individual's voluntary agreement to engage in specific sexual acts with another person.
 - i. Consent must be:
 - a. Informed, freely, and actively given, and consist of a mutually agreeable and understandable exchange of words or actions.
 - b. Clear, knowing and voluntary.
 - c. Active, not passive.
 - ii. Consent may be withdrawn at any time and when outwardly communicated that consent is withdrawn sexual activity must cease.
 - iii. Silence, passivity, or absence of resistance, in and of itself, cannot be interpreted as consent.
 - iv. Consent can be given by words or actions, as long as those words or actions create mutually understandable clear permission regarding willingness to engage in (and conditions of) sexual activity.
 - v. Past consent does not imply future consent. Even in the context of an ongoing relationship, consent must be sought and freely given for each sexual act.
 - vi. Consent to engage in one form of sexual activity does not imply consent to engage in any other sexual activity.
 - vii. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with any other person.
 - viii. There is no consent when the exchange involves unwanted physical force, coercion, intimidation and/or threats.
 - ix. If an individual is mentally or physically incapacitated or impaired such that one cannot understand the fact, nature, or extent of the sexual situation, and the Incapacitation or impairment is known or should be known to the Reasonable Person, there is no consent. This includes conditions resulting from voluntary alcohol or drug consumption, being asleep, or unconscious when the Responding Party takes advantage of the other party's incapacitation. The assessment is based on objectively and reasonably apparent indications of incapacitation when viewed from the perspective of a sober, reasonable person.
 - x. Consent is not valid if the person is too young to consent to sexual activity under applicable law, even if the minor wanted to engage in the activity.
 - xi. In evaluating whether consent was given, consideration will be given to the totality of the facts and circumstances, including but not limited to the extent to which a Reporting Party affirmatively uses words or actions indicating a willingness to engage in sexual contact, free from intimidation, fear, or coercion; whether a reasonable person in the Responding Party's position would have understood such person's words and acts as an expression of consent; and whether there are any circumstances, known or reasonably apparent to the Responding Party, demonstrating incapacitation or lack of consent.
- G. **Formal Investigation:** The process described in Section 5(J).
- H. **Incapacitation:** An individual who is incapacitated lacks the ability to make informed judgments and cannot consent to sexual contact. Incapacitation is the inability, temporarily or permanently, to give consent because an individual is mentally and/or physically helpless, asleep, unconscious, or unaware that sexual activity is occurring. Mentally helpless means a person is rendered temporarily incapable of appraising or controlling one's own conduct. Physically helpless means a person is physically unable to verbally or otherwise communicate consent or unwillingness to an act. Where alcohol or other drugs are involved, incapacitation is

a state beyond impairment or intoxication. Where alcohol or other drugs are involved, evaluating incapacitation requires an assessment of how the consumption of alcohol and/or drugs affects a person's decision-making ability; awareness of consequences; ability to make informed, rational judgments; capacity to appreciate the nature and quality of the act; or level of consciousness.

- I. **Interim Measures or Actions:** The process described in Section 5(G).
- J. **Notice:** Notice is considered effective if hand delivered, mailed with signature confirmation of delivery at the person's or entity's last known address, delivered through the use of the current student's or University Employee email account with confirmation of receipt, or at the University's discretion, another method requested by a Party. Students are expected to regularly monitor their official University email account.
- K. **Party(ies):** May refer to the Reporting Party(ies), Responding Party(ies), or both Parties collectively.
- L. **Preliminary Inquiry:** The process described in Section 5(C).
- M. **Preponderance of the Evidence:** A standard that requires a fact or event to have more likely than not to have occurred, e.g., a greater than fifty percent (50%) chance.
- N. **Presidential Appeal Panel:** A panel that hears appeals from the Appeal Panel as described in Section 9.
- O. **Reasonable Person:** A standard that reflects what a reasonable sober person in the same or similar circumstance would do.
- P. **Reporting Party:** A person who alleges harm or a policy violation under this Code by a person, a student, or student organization as defined in Section 1(A)(i). In cases of Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, or Discrimination, or Harassment, the words "Reporting Party" shall refer only to the person who has been allegedly harmed by the alleged misconduct. If a Reporting Party declines to participate, at the University's discretion, the University may move forward with the process under this Code.
- Q. **Responding Party:** A person, a student, or student organization as defined in Section 1(A)(i), that has been alleged to have violated this Code, is under Formal Investigation, or has been charged with a violation of this Code.
- R. **Hearing Board:** A Board that hears cases of alleged violations of this Code as described in Section 7.
- S. **University Employee:** Employees, including faculty, staff, students, Board of Trustees, volunteers, and agents of the University.
- T. **University of Maine System (the "University"):** Means either collectively or singularly, any of the of following campuses: University of Maine at Augusta; University of Maine at Farmington; University of Maine at Fort Kent; University of Maine at Machias; University of Maine; University of Maine at Presque Isle; University of Southern Maine; University of Maine School of Law and all University Property.
- U. **University Property:** Includes, but is not limited to, any Real or Personal Property owned, held, rented, licensed, chartered, or at the University's discretion, Real or Personal Property otherwise engaged by the University in any manner or by University Employees or campus organizations as a direct result of and in connection with their service to the University.
 - i. Real Property: Land, buildings, fixtures, improvements, and any interests therein.
 - ii. Personal Property: All property, other than real property, and any interests therein.
- V. **Violent Crime:** As described in Family Educational Rights and Privacy Act (FERPA).

3. VIOLATIONS

Violations are conduct which contravenes this Code and directly and significantly interfere with the University's primary educational responsibility or other responsibilities to the University community.

Disciplinary action taken under this Code is independent of the awarding of grades (an academic matter), and provisions of this Code cannot be used for changing awarded grades. The violations listed below are considered in the context of the student's responsibility as a member of the academic community; other actions which may be considered violations may be defined by other documents, for example, residence hall contracts, student handbooks, or codes of conduct specific to certain courses of study or majors.

The following violations are provided to give persons, students, and student organizations notice that such conduct or attempted conduct is prohibited.

A. Academic Misconduct

- i. **Plagiarism:** The submission of another's work as one's own, without adequate attribution. Plagiarism is academic theft.
- ii. **Cheating:** The act or attempted act of deception by which a person, student, or student organization seeks to misrepresent that they have mastered information on an academic exercise that they have not mastered. Cheating is also the use or attempted use of unauthorized assistance in an examination, paper, homework assignment, or other project.
- iii. **Fabrication:** The use of invented information or the falsification of research or other findings in an academic exercise.
- iv. **Contributing to academic dishonesty:** Assisting another person's, student's, or student organization's academic dishonesty.
- v. **Other forms of dishonest academic conduct:** Any actions by which one seeks an unfair academic advantage over others.
- vi. **Violation of UMS Academic Integrity Policy**

B. Disruption of University Operations

- i. **Causing a Disturbance:** Disturbance resulting in substantial disruption of University activities.
- ii. **Failure to Comply with Sanction:** Failure to comply with a sanction imposed under this Code.
- iii. **Failure to Identify:** Failing to accurately identify oneself to a University Employee performing their official duties.
- iv. **Interference with Code Enforcement:** Interference with a Reporting Party, Responding Party, witness, investigation or the carrying out of procedures defined in this Code.
- v. **Interference with or Failure to Comply with a University Employee:** Direct interference with or failure to comply with a University Employee in the performance of their official duties.
- vi. **Supplying False Information:** Knowingly supplying false information to University Employees in pursuit of their official duties or to a Hearing Board, Appeal Panel, or Presidential Appeal Panel, in the course of a disciplinary proceeding, or knowingly causing false information to be thus supplied.
- vii. **Unauthorized Representation:** Unauthorized representation of the University or University Employee(s).
- viii. **Violation of Residence Hall Contract**
- ix. **Violation of Student Activity Regulations:** Violation of a University regulation, policy, standard of conduct, or code of ethics.

C. Health & Safety Violations

- i. **Creating a Dangerous Condition**
- ii. **False Reporting of Dangerous Conditions**
- iii. **Endangering Health or Safety**
- iv. **Violation of Health or Safety Policies**
- v. **Illegal Possession, Use, or Sale of Drugs**
- vi. **Interference with Safety Equipment or Alarms**
- vii. **Restricting Traffic Flow**
- viii. **Unauthorized Use or Possession of Chemicals or Explosives:** Unauthorized use or possession of explosive components, chemicals, etc., such as fireworks, explosives, gas or compressed air.
- ix. **Violation of UMS or Campus Alcohol, Drug, or Tobacco and Smoke Free Policies**
- x. **Violation of UMS or Campus Weapons Policies**

D. Offenses Involving Other People

- i. **Assault:** Intentionally, knowingly, or recklessly causing bodily injury or offensive physical contact to another person.
- ii. **Causing Fear of Physical Harm:** Intentionally or knowingly places another person in fear of imminent bodily injury.
- iii. **Dating Violence:** Violence committed against a person by an individual who is or has been in a social relationship of a romantic or intimate nature with that person. Whether a dating relationship exists is determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in

the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence. All forms of dating violence prohibited by applicable law are also included (for example, Assault).

- iv. **Discrimination:** Discrimination based on actual or perceived race, color, religion, sex, sexual orientation, transgender status, gender expression, national origin, citizenship status, age, disability, genetic information, or veterans status.
- v. **Domestic Violence:** A felony or misdemeanor crime of violence committed by:
 - a. A current or former spouse or intimate partner of the victim; or
 - b. A person with whom the victim shares a child in common; or
 - c. A person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner; or
 - d. A person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; or
 - e. By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

All forms of domestic violence prohibited by applicable law are also included (for example, Domestic Violence Assault, Domestic Violence Criminal Threatening, Domestic Violence Terrorizing, Domestic Violence Stalking, and Domestic Violence Reckless Conduct)

- vi. **Gender Discrimination:** Discriminating against an individual on the basis of that individual's gender, gender identity, or gender expression.
- vii. **Harassment:** Severe or pervasive unwelcome conduct, including but not limited to: comments; jokes; acts; other verbal or physical conduct or bullying, that may be based on race, color, religion, sex (including pregnancy), sexual orientation, gender identity, gender expression, national origin, citizenship status, age, disability, genetic information, or veterans status.
- viii. **Hazing:** Any action or situation, including harassing behavior, that recklessly or intentionally endangers the mental or physical health of any University Employee or a person, student, or student organization or any activity expected of a person, student, or student organization as a condition of joining or maintaining membership in a group that humiliates, degrades, abuses or endangers the student, regardless of the student's willingness to participate in the activity.
- ix. **Interference with Residential Life:** Significant interference with the normal residential life of others.
- x. **Intimidation:** Intentionally or knowingly places another person in fear of imminent bodily injury.
- xi. **Invasion of Privacy:** The violation of another individual's reasonable expectation of privacy where the circumstances justify that expectation.
- xii. **Indecent Conduct:** Exhibition, including by electronic means, of the genitals, anus, or pubic area of a person other than for legitimate academic purposes. Simulation of a sexual act, sex act in public with or without private parts showing, or public masturbation are also included.
- xiii. **Retaliation:** Action taken by an individual(s) or group or organization against any person or group for any action taken in furtherance of this Code including but not limited to: filing a complaint, testifying, assisting, or participating in an investigation or proceeding under this Code.
- xiv. **Sexual Assault:** An offense that meets the definition of rape, fondling, incest, or statutory rape, as follows:
 - a. Rape is the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the Consent of the victim.
 - b. Fondling is the touching of the private body parts of another person for the purpose of sexual gratification, without the Consent of the victim, including instances where the victim is incapable of giving Consent because of their age or because of their temporary or permanent mental incapacity.
 - c. Incest is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
 - d. Statutory rape is sexual intercourse with a person who is under the statutory age of Consent under applicable law.

All forms of sexual assault and sexual contact prohibited by applicable law are also included. (For example, gross sexual assault, unlawful sexual contact, incest, sexual abuse of minors)

- xv. **Sexual Harassment:** Includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, including sexual assault, sexual violence, and any sexual act prohibited by applicable law. Sexual harassment, including Sexual Assault, can involve persons of the same or opposite sex.

Consistent with the law, this policy prohibits two types of sexual harassment:

- a. **Tangible Employment or Educational Action (quid pro quo):** This type of sexual harassment occurs when the terms or conditions of employment, educational benefits, academic grades or opportunities, living environment or participation in a University activity are made an explicit or implicit condition of submission to or rejection of unwelcome sexual advances or requests for sexual favors, or such submission or rejection is a factor in decisions affecting an individual's employment, education, living environment, or participation in a University program or activity. Generally, a person who engages in this type of sexual harassment is an agent or employee with some authority conferred by the University.
- b. **Hostile Environment:** Sexual harassment that creates a hostile environment is based on sex and exists when the harassment:
- Is subjectively and objectively offensive; and
 - Is so severe or pervasive as to alter the conditions of a person's employment, education or living situation that it creates an abusive working, educational or living environment.

A hostile environment can be created by anyone involved in a University program or activity, such as an administrator, faculty or staff member, student, or campus guest. Offensiveness alone is not enough to create a hostile environment. Although repeated incidents increase the likelihood that a hostile environment has been created, a single serious incident, such as a Sexual Assault, can be sufficient.

Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a Reasonable Person in a similar situation would have perceived the conduct as objectively offensive.

The following factors will also be considered:

- The degree to which the conduct affected one or more students' education or individual's employment; and
 - The nature, scope, frequency, duration, and location of the incident(s); and
 - The identity, number, and relationships of persons involved; and
 - The nature of higher education; and
 - Whether the conduct arose in the context of other discriminatory conduct; and
 - Whether the conduct altered the conditions of the Complainant's educational or work performance and/or UMS programs or activities; and
 - Whether the conduct implicates academic freedom or protected speech; and
 - Other relevant factors that may arise from consideration of the reported facts and circumstances.
- xvi. **Sexual Misconduct:** Includes, but is not limited to, prostituting another person, watching or taking pictures, videos, or audio recordings of another person in a state of undress without their consent or of another person engaging in a sexual act without the consent of all parties, disseminating, streaming, or posting images, pictures or video of another in a state of undress or of a sexual nature without the person's consent; letting others watch you have sex without the knowledge and Consent of your sexual

partner, possession of child pornography, voyeurism, and knowingly transmitting an STD or HIV to another person; and any sexual act prohibited by applicable law. Sexual misconduct may constitute sexual harassment.

All forms of sexual misconduct prohibited by applicable law are also included. (For example, Violation of Privacy, Possession of Sexually Explicit Material, Revenge Porn and Sex Trafficking).

xvii. **Stalking:** Engaging in a course of conduct directed at a specific person that would cause a Reasonable Person to:

- a. Fear for the person's safety or the safety of others; or
- b. Suffer substantial emotional distress.

For the purposes of this definition:

- a. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.
- c. Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

All forms of stalking prohibited by applicable law are also included.

xviii. **Unauthorized Recording:** In general, the unauthorized recording of overall course content, classroom sessions, meetings held under this Code, and confidential university meetings is prohibited and considered a violation of this Code. However, exceptions will be considered on a case-by-case basis where a recording is made for the purpose of documenting inappropriate behavior.

E. Offenses Involving Property

- i. **Defacement, Destruction, or Misuse of Property:** Intentionally, knowingly or recklessly misuses, tampers with, damages, destroys, or defaces University Property or the property of others without appropriate authorization.
- ii. **Misuse of University Computer Network or Computers:** Misuse of the University computer network or computers including, but not limited to, theft of computer files or data, e-mail, or other electronically stored information, hacking or unauthorized probing, sharing of personal sign on information, spamming, sending out computer viruses, or uploading or downloading copyrighted material for personal use or distribution without appropriate authorization, uses prohibited by state or federal law, including but not limited to possession or distribution of child pornography.
- iii. **Tampering, Destruction, or Falsification of Official Records**
- iv. **Theft or Unauthorized Use:** Theft, attempted theft, or unauthorized acquisition, removal, distribution, or use of University Property or the property of another.
- v. **Trespassing:** Trespassing or unauthorized presence on University Property or the property of another.
- vi. **Violation of Campus Motor Vehicle Policies or Parking Regulations**

F. General Infractions

- i. **Aiding Infraction:** Knowingly assisting in a Code violation.
- ii. **Continued Infraction:** Continued infractions of this Code.
- iii. **Conviction of a Crime:** Conviction of any crime that threatens: (a) any educational process or legitimate function of the University, or (b) the health or safety of any individual.
- iv. **Interference with or Failure to Comply with Public Safety Personnel:** Direct interference with or failure to comply with any public safety personnel in the performance of their official duties.
- v. **Other Illegal Activity:** Violating any applicable law (e.g., local, state, or federal).

4. SANCTIONS

If a Responding Party admits to a violation of this Code to the Investigator, Conduct Officer, Hearing Board, Appeal Panel, or Presidential Appeal Panel; or upon determination by the Conduct Officer, Hearing Board, Appeal Panel, or Presidential Appeal Panel that a Responding Party has been found in violation of this Code, one or more of the sanctions found in Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy in Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy include:

- A. **Assigned Educational Project(s):** This may include educational programming, research projects, reflective essays, presentations, or other related assignments intended to promote learning.
- B. **Community Service**
- C. **Disciplinary Dismissal:** Permanent separation (subject to a right of review after five years) from the University.
 - i. Responding Parties who are dismissed will not be permitted to attend any of the University campuses or attend any University functions. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee to be considered for readmission to attend any of the University campuses. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee will convene a committee. This committee may draw on the membership of existing committees (such as the Justice Education Development Implementation team); this committee should include representation from any involved university campuses. Reviews of such requests should take into account that for external applicants, the University no longer reviews criminal or judicial history.
 - ii. Responding Parties who have been found responsible for a Violent Crime or Sexual Assault and who request an official transcript for the University, will have a letter attached to their official transcript describing the dismissal. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee to have the letter attached to their official transcript be removed. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee will convene a committee. This committee may draw on the membership of existing committees (such as the Justice Education Development Implementation team); this committee should include representation from any involved university campuses. Reviews of such requests should take into account that for external applicants, the University no longer reviews criminal or judicial history.
- D. **Disciplinary Probation:** A specified period of time when any further violation may result in additional sanctions, up to and including dismissal from the University.
- E. **Disciplinary Suspension:** Separation from the University for a specific period of time or until a stated condition(s) is met.
 - i. Responding Parties who are suspended will not be permitted to attend any of the University campuses or attend any University functions until all conditions of the suspension are met and the suspension period has ended.
 - ii. Responding Parties who have been found responsible for a Violent Crime or Sexual Assault and who request an official transcript for the University, will have a letter attached to their official transcript describing the suspension. After all conditions of the suspension are met and the suspension period has ended the letter describing the suspension will no longer be attached to the official transcript.
- F. **Loss of Contact with a Specific Person(s):** Responding Parties may not initiate direct or indirect contact with a specified person(s).
- G. **Official Warning:** Formal acknowledgment of a violation and the expectation that it will not be repeated.
- H. **Mandatory Counseling**
- I. **Reassignment, Suspension, or Removal from University Housing**
- J. **Restitution:** Reimbursement to the owner of up to the replacement value of the property damaged, stolen, removed, or used without authority.

K. Other action(s) as the Conduct Officer, Appeal Panel or Presidential Appeal Panel may reasonably deem appropriate, examples include but are not limited to:

- i. Suspension of an organization's official campus recognition.
- ii. Suspension of a student from extracurricular activity(ies).
- iii. Suspension of guest privileges.
- iv. Termination from student employment.
- v. Academic degree revocation.
- vi. Loss of visitation privileges to designated area(s) of any University Property.
- vii. Monetary fine for recognized student organizations.

NOTE: The University may choose to defer sanctions on a case by case basis as circumstances warrant.

The University may impose a more severe sanction on a Responding Party when the Conduct Officer, Committee, or Review Panel determines that a Responding Party intentionally selected the person or organization against whom the violation was committed, or selected the property damaged or stolen, because of the race, color, religion, sex, sexual orientation, gender identity, gender expression, national origin, citizenship status, age, disability, genetic information, or veterans status of that person, or the persons in the organization or the owner of the property.

5. PROCEDURES

NOTE WELL: For any alleged violation that involves matters covered by Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy, the procedures provided in Board of Trustees Section 402 are required to be followed.

An enrolled student may not graduate if they have a pending conduct case. If a student officially withdraws from the University or does not participate in the disciplinary process, the process will continue and the student may not, at the discretion of the University, be permitted to return to the University or graduate until the student is found not responsible for a violation of this Code or until any imposed sanctions have been satisfied.

As applicable and appropriate, prior to any interim measures or actions, sanctions, or as appropriate other action being taken under this Code, an individualized risk and safety assessment should be conducted to determine whether there is a reasonably foreseeable significant risk to others, or significant risk of self-harm. As applicable and appropriate, the Student Risk Assessment and Safety Intervention Policy should be utilized.

A. Reporting Violations

- i. Alleged violations of this Code may be brought to the attention of the University by University Employees, students, or members of the general public and will result in the initiation of a Preliminary Inquiry.
- ii. Reports may be made anonymously however anonymous reporting may limit the ability to investigate and respond.
- iii. Reports of Gender Discrimination (including Sexual Harassment, Dating Violence, Domestic Violence, Sexual Assault, or Stalking; Gender Discrimination may also include certain types of Discrimination and Harassment) are required to be reported directly to the University's Title IX Coordinator or Deputy Coordinator as described in Board of Trustees Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment Policy.

B. Notice to Reporting Party: The Reporting Party will be notified that their report has been received and follow up will occur consistent with UMS policies and procedures.

C. PRELIMINARY INQUIRY

- i. Reports of alleged violations of this Code will result in the initiation of a Preliminary Inquiry. A Preliminary Inquiry will determine whether there is sufficient information to proceed under this Code. **Before interviewing or questioning of the Parties occurs, Notice must be provided as stated in Section 5(I), Notice of Formal Investigation, unless doing so would be likely to jeopardize health or safety, or the integrity of the investigation, or lead to the destruction of evidence.**
 - ii. Notice Following Preliminary Inquiry
 - a. Upon the conclusion of the Preliminary Inquiry, the Responding Party, will be provided Notice of whether:
 - (1) Any charge(s) will be filed and if so, what charge(s) will be filed.
 - (2) A Formal Investigation will commence.
 - (3) An Alternative Resolution is an option.
 - (4) An Administrative Resolution is an option.
 - (5) Any Interim Measure(s) or Action(s) will be implemented.
 - b. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment all Parties will be provided Notice simultaneously.
- D. **Conflicts of Interest:** Each Conduct Officer, Committee member, and Review Panelist is expected to conduct due diligence to determine if there is a potential conflict of interest. If there is a conflict of interest for the Conduct Officer, the Conduct Officer will refer the matter to another Conduct Officer. If any member of the Committee or Review panel has a conflict of interest, an alternate will be appointed. Any individual, including a Party, has the right to raise any potential conflict of interest concerns with the Conduct Officer or the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of Director of Student Success Initiatives and UMS Coordinator of Student Conduct.
- E. **Alternative Resolution**
Alternative resolution processes such as conflict coaching, mediation, facilitated dialogue, and restorative justice allow individuals involved in a conflict to have significant influence over the resolution process and any outcome.
- If (1) all persons personally and directly affected by the conduct matter under this Code agree to attempt resolution through one of these processes; and (2) the Conduct Officer believes that the process is an appropriate form of resolution, then the Conduct Officer will make arrangements for the chosen alternative resolution pathway. The nature of some conduct matters, for instance those involving violence, are not suitable for alternative resolution.
- Participation in an alternative resolution process is voluntary and may or may not result in an agreement or resolution. When a mutually satisfactory resolution is reached by the Parties, the case is resolved and Parties are encouraged to use the Conduct Officer as a resource for future questions. Resolutions reached through alternative resolution are not permitted to be appealed.
- If resolution is not achieved through an attempt at alternative resolution, including if resolution is not sustained following an alternative resolution agreement, the Parties retain their right to pursue formal resolution through processes outlined elsewhere in this Code.
- F. **ADMINISTRATIVE RESOLUTION**
- i. At the Conduct Officer's sole discretion and consistent with other requirements of this Code, a conduct matter may be resolved through Administrative Resolution.
 - ii. An Administrative Resolution may only be used when the conduct matter involves the following: facts are not in dispute; a University Employee directly observed the conduct violation; and the violation is a minor conduct violation (for example, noise, minor alcohol infractions).
 - iii. If a student objects to use of an Administrative Resolution, the student may request a formal review and the University will proceed with a Formal Investigation under this Code.

- iv. All Administrative Resolutions must be resolved within 30 days. This timeframe does not include the time required for any resultant sanctions to be completed.

G. INTERIM MEASURES OR ACTIONS

- i. A Responding Party may have privileges suspended or may be suspended from the University pending the outcome of a disciplinary process if, in the judgment of the Conduct Officer, the Responding Party's continued presence or use of privileges at the University is likely to pose:
 - a. A substantial threat to the Reporting Party or to other people, or
 - b. Significant risk of property damage, or
 - c. Significant risk of disruption to or interference with the normal operations of the University.
- ii. Interim Measure(s) or Action(s), including but not limited to: interim suspensions; University Property usage restrictions; University account holds; and academic degree holds, will be implemented with the goal of mitigating negative impact on the Parties while maintaining the safety of the University community and integrity of the investigation.
- iii. Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, a Responding Party who has been issued an Interim Measure(s) or Action(s) will receive notice of the basis for the Interim Measure(s) or Action(s) and may seek a review hearing of that decision prior to the Interim Measure(s) or Action(s) being imposed. The review hearing will be conducted by a University Employee appointed by the university President or the Dean of the University of Maine School of Law. This review hearing will entail questioning of the Parties, and reviewing information that may be relevant to the determination of whether Interim Measure(s) or Action(s) would be appropriate under the circumstances. If a review hearing is requested, the University Employee appointed by the university President the Dean of the University of Maine School of Law will conduct the review and issue a decision within five (5) business days. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within five (5) business days, an update will be provided indicating the estimated timeframe for the hearing.
- iv. If there is substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Interim Measure(s) or Action(s) may be imposed immediately. In such cases, the Responding Party will be provided notice of the basis for the Interim Measure(s) or Action(s) and notice of the date of the review hearing, which will occur within three (3) business days of the decision. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within three (3) business days, an update will be provided indicating the estimated timeframe for the hearing.

H. Notice of Interim Measures or Actions

- i. The Responding Party will be provided Notice of:
 - a. Any Interim Measure(s) or Action(s) that will be implemented.
 - b. Their right of review as described in Section 5(G)(iii-iv).
- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment, all Parties will be provided Notice simultaneously.

I. NOTICE OF FORMAL INVESTIGATION

- i. Prior to commencement of a Formal Investigation, the Conduct Officer will provide written Notice to the Responding Party.
- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment all Parties will be provided Notice simultaneously.
- iii. Notice will include the following:
 - a. Alleged Code violation(s) and a description of the alleged conduct constituting each alleged violation:
 - (1) Reporting Party; and
 - (2) Location(s) of alleged conduct; and
 - (3) Date(s) of alleged conduct; and
 - (4) Right to have an Advisor present; and
 - (5) The name of the investigator; and
 - (6) The procedures that will be used to address the alleged Code violation(s); and

- (7) Maximum possible sanction(s) which may be imposed; and
- b. Any right of appeal for any Responding Party; and
- c. Any right of appeal for any Responding Party and any Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment.

J. FORMAL INVESTIGATION

- i. Upon the Conduct Officer's decision to commence a Formal Investigation, the Conduct Officer will initiate the investigation or assign it to a trained investigator, who may be internal or external, as soon as reasonably practicable but at least within three (3) business days.
- ii. The University may, where appropriate, temporarily delay its investigation when criminal charges on the basis of the same conduct are being investigated.
- iii. Investigations should follow applicable standards, including with regard to objectivity, reliability, thoroughness, impartiality, timeliness, and fairness.
- iv. In general, investigations should entail interviews with relevant parties and witnesses, obtaining and reviewing available evidence, and identifying sources of expert information, as applicable.
- v. The Conduct Officer or investigator will provide regular updates to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment) throughout the investigation, as appropriate. Such regular updates should occur at least every 30 calendar days.
- vi. While investigation times may vary, in general, formal investigations should be completed within 90 calendar days. If a Formal investigation is going to take longer than 90 calendar days, an update will be provided indicating the estimated timeframe for completion of the investigation. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, Discrimination, or Harassment).

K. Determination of Hearing Format

- i. There are two (2) hearing formats under this Code.
 - a. Conduct Officer Hearing
 - b. Hearing Board Hearing
- ii. The hearing format should be chosen based on the complexity of the matter, the impact to the Parties and the community, the severity of likely sanctions, and other relevant circumstances.
- iii. In general, Conduct Officer Hearing should be considered when:
 - a. Facts are less complex.
 - b. Alleged violation(s) are anticipated to have lower impact to the Parties and the community.
- iv. In general, Hearing Board Hearing should be considered when:
 - a. Facts are more complex.
 - b. A diversity of opinions is important to a fair outcome.
 - c. Alleged violation(s) are anticipated to have higher impact to the Parties and the community. For example cases which could reasonably result in suspension, dismissal, or removal from housing.
- v. A Hearing Board Hearing is required for Code violations involving:
 - a. Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment.
 - b. Serious physical, emotional, or psychological harm or the threat thereof.

L. Notice Following Formal Investigation

- i. Upon the conclusion of the Formal Investigation, the Responding Party, will be provided Notice of whether:
 - a. Any charge(s) will be filed and if so, what charge(s) will be filed.
 - b. A hearing before a Conduct Officer will occur.
 - c. A hearing before a Hearing Board will occur.
 - d. An Informal Resolution may be pursued.
- ii. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment all Parties will be provided Notice.

- iii. If no charges are being brought at the conclusion of the Formal Investigation, the Conduct Officer will provide such notification to the Responding Party. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment, the Parties will receive simultaneous notification of the Conduct Officer's decision not to bring charges and both the Parties will be notified of the right to appeal to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.

HEARINGS

6. CONDUCT OFFICER HEARING

A. Notice of Conduct Officer Hearing

- i. If any Code violation(s) are being filed, the Conduct Officer will provide written Notice within ten (10) business days from the conclusion of the Formal Investigation to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- ii. Notice will include the following:
 - a. Code violation(s) and a description of the alleged conduct constituting each violation; and
 - b. Reporting Party(ies); and
 - c. Date(s) of alleged conduct; and
 - d. Right to have an Advisor of their choice present; and
 - e. Right to review the information that will be used by the Conduct Officer during the Conduct Officer Hearing; and
 - f. Date and time of the Conduct Officer Hearing; and
 - g. Name of the Conduct Officer; and
 - h. Names of witnesses request to appear by the Hearing Board; and
 - i. The procedures that will be used; and
 - j. Maximum possible sanction(s) which may be imposed.

- B. **TIMEFRAME OF HEARING:** The Conduct Officer hearing is required to be held not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Conduct Officer Hearing. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing.
- C. If a Party is unable to attend the Conduct Officer Hearing related to the constraints of a legal process (for example, a protective order or a no contact order) or is unable to attend related to concerns about trauma or future violence then the Party will be provided alternative means of participation consistent with applicable law.
- D. If any Party is not present at the time of the Conduct Officer Hearing, the Conduct Officer may, taking into account, concerns with health and safety, timeliness of the process, and the reason for a Party's absence, and taking into account the totality of the circumstances:
 - i. Proceed in a normal manner without a Party's attendance; or
 - ii. Hear only a portion of the testimony and adjourn to a later date; or
 - iii. Postpone the entire hearing to a later date.

The Conduct Officer may not rely solely on the absence of any Party in determining the outcome of the matter.

- E. The Responding Party may be accompanied by an Advisor of their choice and a support person of their choice. Advisors and support people will not be permitted to speak at the hearing, except to speak with their advisee, unless permission has otherwise been granted by the Conduct Officer.
 - i. The Conduct Officer should hear and consider as evidence relevant information.
 - ii. The Conduct Officer should not consider information obtained directly or indirectly through a search of a Party's or witnesses' effects or room if a court of law has determined the search was illegal.

- iii. If the Conduct Officer is aware that a criminal prosecution relating to the same violation(s) is being conducted, or such action appears likely, then independent of the hearing, the Conduct Officer will notify the Responding Party in advance of the Responding Party's right to remain silent. The Conduct Officer will draw no negative inference from the Responding Party's silence including the refusal to give information or consent to a search.
- iv. The Conduct Officer will make arrangements for recording the hearing. No recording in any form, other than the one made by the University, is permitted. Conduct Officer hearing proceedings are considered confidential unless otherwise indicated by law.
- v. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of the Conduct Officer by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled hearing. Removal of Conduct Officer for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- vi. The names of Parties' witnesses, written statements, or other information should be submitted to the Conduct Officer at least two (2) business days prior to the hearing for inclusion in the materials presented to the Conduct Officer. The Parties may submit additional: names of witnesses; written statements; or other information at the time of the hearing.

F. Conduct Officer Hearing Procedures

- i. Responsibility for recognizing and permitting persons to speak is the exclusive purview of the Conduct Officer.
- ii. Persons disruptive at any stage of the hearing may be asked to leave at the discretion of the Conduct Officer.
- iii. The Parties will each have the opportunity to make an opening statement.
- iv. The Investigator will present the results of the investigation.
- v. The Conduct Officer may ask questions of any witnesses and the Parties.
- vi. The Parties may pose questions to each other and to any witnesses through the Conduct Officer. The Conduct Officer will ask the witness or other Party the question posed if the Conduct Officer determines the question is relevant and appropriate.
- vii. Questioning by any Advisor or support person is not permitted.
- viii. The Parties will each have the opportunity to make a closing statement, which may include recommendations regarding appropriate sanctions.
- ix. Using the Preponderance of the Evidence standard, the Conduct Officer will determine if the Responding Party has violated this Code or has not violated this Code.
- x. If the Responding Party has not violated this Code, the case will be dismissed.
- xi. If the Responding Party has violated this Code, the Conduct Officer will impose appropriate sanction(s).

G. NOTICE OF CONDUCT OFFICER HEARING OUTCOME

- i. The Conduct Officer will provide written Notice to the Responding Party.
- ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and

- b. Any right of appeal.
- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

7. HEARING BOARD

A. NOTICE OF HEARING BEFORE THE HEARING BOARD

- i. If any Code violation(s) are being filed, the Hearing Board Chair will provide written Notice within ten (10) business days from the conclusion of the Formal Investigation to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- ii. Notice will include the following:
 - a. Code violation(s) and a description of the alleged conduct constituting each violation.
 - b. Reporting Party(ies).
 - c. Date(s) of alleged conduct.
 - d. Right to have an Advisor of their choice present.
 - e. Right to review the information that will be used by the Hearing Board during the Hearing Board.
 - f. Date and time of the Hearing Board.
 - g. Names of the Hearing Board members.
 - h. Names of witnesses request to appear by the Hearing Board.
 - i. The procedures that will be used.
 - j. Maximum possible sanction(s) which may be imposed.

B. HEARING BOARD COMPOSITION

- i. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee is responsible for appointing the Hearing Board.
- ii. The Hearing Board is comprised of at least three (3), five (5), or seven (7) members consisting of:
 - a. A chair who is either a faculty or staff member; and
 - b. At least one (1) enrolled student; and
 - c. At least one (1) additional faculty or staff member.
- iii. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Hearing Board member who has a potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Hearing Board.
- iv. The composition of the Hearing Board will represent the diversity of the University community whenever reasonably practicable.
- v. Hearing Board alternate members will be appointed as applicable and appropriate.
- C. **TIMEFRAME OF HEARING:** The Hearing Board hearing is required be held not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Hearing Board Hearing. If extenuating circumstances exist that preclude the Conduct Officer Hearing from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- D. If a Party is unable to attend the Conduct Officer Hearing related to the constraints of a legal process (for example, a protective order or a no contact order) or is unable to attend related to concerns about trauma or future violence then the Party will be provided alternative means of participation consistent with applicable law.

- E. If any Party is not present at the time of the Hearing, the Hearing Board Chair may, taking into account, concerns with health and safety, timeliness of the process, and the reason for a Party's absence, and taking into account the totality of the circumstances:
- i. Proceed in a normal manner without a Party's attendance; or
 - ii. Hear only a portion of the testimony and adjourn to a later date; or
 - iii. Postpone the entire hearing to a later date.

The Hearing Board may not rely solely on the absence of any Party in determining the outcome of the matter.

- F. The Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment), may be accompanied by an Advisor of their choice and a support person of their choice. Advisors and support people will not be permitted to speak at the hearing, except to speak with their advisee, unless permission has otherwise been granted by the Hearing Board Chair.
- G. The Hearing Board should hear and consider as evidence relevant information.
- H. The Hearing Board should not consider information obtained directly or indirectly through a search of a Party's or witnesses' effects or room if a court of law has determined the search was illegal.
- I. If the Hearing Board is aware that a criminal prosecution relating to the same violation(s) is being conducted, or such action appears likely, then independent of the hearing, the Hearing Board Chair will notify the Responding Party in advance of the Responding Party's right to remain silent. The Hearing Board will draw no negative inference from the Responding Party's silence including the refusal to give information or consent to a search.
- J. The Hearing Board Chair will make arrangements for recording the hearing. No recording in any form, other than the one made by the University, is permitted. Hearing Board proceedings are considered confidential unless otherwise indicated by law.
- K. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Hearing Board member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled hearing. Removal of Hearing Board members for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- L. The names of Parties' witnesses, written statements, or other information should be submitted to the Hearing Board Chair at least two (2) business days prior to the hearing for inclusion in the materials presented to the Hearing Board. The Parties may submit additional: names of witnesses; written statements; or other information at the time of the hearing.
- M. Hearing Board Hearing Procedures**
- i. Responsibility for recognizing and permitting persons to speak is the exclusive purview of the Hearing Board Chair.
 - ii. Persons disruptive at any stage of the hearing may be asked to leave at the discretion of the Hearing Board Chair.
 - iii. The Parties will each have the opportunity to make an opening statement.
 - iv. The Investigator will present the results of the investigation.
 - v. The Hearing Board may ask questions of any witnesses and the Parties.
 - vi. The Parties may pose questions to each other and to any witnesses through the Hearing Board Chair. The Hearing Board Chair will ask the witness or other Party the question posed if the Hearing Board Chair determines the question is relevant and appropriate.
 - vii. Questioning by any Advisor or support person is not permitted.
 - viii. The Parties will each have the opportunity to make a closing statement, which may include recommendations regarding appropriate sanctions.
 - ix. After the closing statements, the Hearing Board will go into a closed session to determine whether the Responding Party has violated this Code. The closed session is not recorded.

- x. Using the Preponderance of the Evidence standard, the Hearing Board will determine, by majority vote, if the Responding Party has violated this Code or has not violated this Code. If there is a tie vote, the Responding Party will be found to have not violated this Code.
- xi. If the Responding Party has been found to have not violated this Code, the case will be dismissed. Such dismissal will not affect any appeal rights any Party may have.
- xii. If the Responding Party has been found to have violated this Code, the Hearing Board will impose appropriate sanction(s).

N. NOTICE OF HEARING BOARD OUTCOME

- i. The Hearing Board Chair will provide written Notice to the Responding Party.
- ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. an Appeal Panel).
- iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. an Appeal Panel).
- iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and
 - b. Any right of appeal (e.g. an Appeal Panel).
- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

APPEALS

8. APPEAL PANEL

- A. In the event the Conduct Officer or the Hearing Board imposes a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party has a right to appeal any finding(s) or sanction(s) to an Appeal Panel. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment, both Parties have the right to appeal any finding(s) or sanction(s) to an Appeal Panel.
- B. **APPEAL PANEL COMPOSITION**
 - i. The Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee is responsible for appointing the Appeal Panel.
 - ii. The Appeal Panel is comprised of three (3) people consisting of:
 - a. A Appeal Panel chair who is either a faculty or staff member; and
 - b. One (1) enrolled student; and
 - c. One (1) Hearing Board member.
 - iii. All Appeal Panel members are required to have not had previous involvement with the current matter. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Appeal Panel member who has a

- potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Appeal Panel.
- iv. The composition of the Appeal Panel will represent the diversity of the University community whenever reasonably practicable.
 - v. Appeal Panel alternate members will be appointed as applicable and appropriate.
- C. In cases of a review to an Appeal Panel, the Responding Party charged with the violation and authorized Campus Authorities may have access to the record for purposes of review relating to a request for appeal. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- D. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination, Sexual Harassment, Discrimination, or Harassment the Reporting Party may have access to the portions of the recording pertaining to the Reporting Party. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- E. Appeals must be:
- i. In writing; and
 - ii. State the issue(s) to be reviewed based on at least one of the grounds for appeal listed below in Section 8(G); and
 - iii. Submitted to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee within five (5) business days after the appealing Party has received written notice of the Conduct Officer or Hearing Board finding(s); and
 - iv. Not longer than ten (10) pages in length plus attachments.
- F. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment the appeal request will be shared with the other Party(ies). Such other Parties may file a response with the Appeal Panel within five (5) business days; this response will be shared with all Parties. Nothing in this Section precludes any Party from filing an appeal as detailed in Sections 8(A-E).
- G. **Grounds for Appeal:** The Appeal Panel is not intended to be a full rehearing (de novo) of the allegation(s). The appeal will be limited to the following grounds:
- i. A substantive error, including a procedural error or omission, that substantially impacted the investigation or the outcome of the Conduct Officer or Hearing Board Hearing (for example, bias or failure to follow applicable procedures).
 - ii. To consider new evidence, not reasonably available during the investigation or Conduct Officer or Hearing Board hearing, that could impact the Conduct Officer or Hearing Board finding(s) or sanction(s). A summary of this new evidence and its potential impact must be included in the request for appeal.
 - iii. The sanction imposed is disproportionate to the severity of the violation, considering the totality of circumstances.
- H. Absent extenuating circumstances, the Conduct Officer or Hearing Board finding(s) and sanction(s) will stand if the request for appeal is not timely or is not based on the grounds listed above in Section 8(G). Extenuating circumstances are at the discretion of the University and will be determined by the Appeal Panel Chair in conjunction with the Office of General Counsel.
- I. **NOTICE OF APPEAL BEFORE THE APPEAL PANEL**
- i. If an appeal is submitted consistent with parameters identified in Sections 8(A-E), the Appeal Panel Chair will provide written Notice within fifteen (15) business days from the finalized request for appeal; such Notice required to be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
 - ii. Notice will include the following:
 - a. The issue(s) to be reviewed and the ground(s) for appeal.
 - b. Right to review the information that will be used by the Appeal Panel.
 - c. Date and time of the initial Appeal Panel meeting.
 - d. Names of the Appeal Panel members.

- e. The procedures that will be used.
 - f. Maximum possible sanction(s) which may be imposed.
- J. **TIMEFRAME OF APPEAL:** The Appeal Panel is required have an initial meeting not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Appeal. If extenuating circumstances exist that preclude the initial Appeal Panel meeting from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination or Harassment). Any Party may contact the Appeal Panel Chair for general updates on the process.
- K. Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Appeal Panel member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled initial meeting. Removal of Appeal Panel members for demonstrated bias or conflict of interest will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- L. Functions of Appeal Panel:
- i. Review the conduct matter file including but not limited to: the investigative report; Conduct Officer or Hearing Board files and recordings; and
 - ii. Review any new information provided; and
 - iii. Ask clarifying questions as applicable, including but not limited to, as appropriate, asking questions of: the Investigator; Conduct Officer; Hearing Board member; individuals who presented information to the Conduct Officer or Hearing Board, and other individuals who have information relevant to the process; and
 - iv. Make a determination based on the information reviewed. Determinations are based on majority vote.
- M. The Appeal Panel may make the following determinations:
- i. Uphold or change the findings of the Conduct Officer or Hearing Board; or
 - ii. Uphold or change the sanctions of the Conduct Officer or Hearing Board; or
 - iii. Remand for a new or additional investigation with a new or same investigator; or
 - iv. Remand to the same Conduct Officer or Hearing Board for a new hearing; or
 - v. Remand to a different Conduct Officer or Hearing Board for a new hearing.
- N. A remand to the same or a different Conduct Officer or Hearing Board is final and not subject to appeal.
- O. The Appeal Panel will provide Notice to the Parties of any determination(s).
- P. **NOTICE OF APPEAL PANEL OUTCOME**
- i. The Appeal Panel Chair will provide written Notice to the Responding Party.
 - ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. a Presidential Appeal Panel).
 - iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal (e.g. a Presidential Appeal Panel).
 - iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party, and
 - b. Any right of appeal (e.g. a Presidential Appeal Panel).

- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

Absent a substantial threat to health, safety, or well-being of the campus, individuals on campus, or the campus community, Sanctions will take effect only after all University appeals are final or all University appeal periods have ended. Applicable threat assessment procedures should be utilized as appropriate. Interim Measures or Actions are to remain in place until all University appeals are final or all University appeal periods have ended unless indicated otherwise in writing by the Conduct Officer.

9. PRESIDENTIAL APPEAL PANEL

- A. In the event the Appeal Panel imposes a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party has a right to appeal any finding(s) or sanction(s) to a Presidential Appeal Panel. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment both Parties have the right to appeal any finding(s) or sanction(s) to a Presidential Panel.
- B. **PRESIDENTIAL APPEAL PANEL COMPOSITION**
 - i. Each university President or the Dean of the University of Maine School of Law is responsible for appointing the Presidential Appeal Panel.
 - ii. The Presidential Appeal Panel is comprised of three (3) people consisting of:
 - a. Presidential Appeal Panel Chair who is either a faculty or staff member; and
 - b. One (1) enrolled student; and
 - c. One (1) UMS System Office Employee.
 - iii. All Presidential Appeal Panel members are required to have not had previous involvement with the current matter. All members will be required to sign a conflict of interest form for each hearing. All members are required to avoid both apparent and real conflicts of interest. Any Presidential Appeal Panel member who has a potential conflict of interest or feels that they are unable to render an unbiased decision is required to decline assignment to the Presidential Appeal Panel.
 - iv. The composition of the Presidential Appeal Panel will represent the diversity of the University community whenever reasonably practicable.
 - v. Presidential Appeal Panel alternate members will be appointed as applicable and appropriate.
- C. In cases of a review to a Presidential Appeal Panel, the Responding Party charged with the violation and authorized Campus Authorities may have access to the record for purposes of review relating to a request for appeal. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- D. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination, Sexual Harassment, Discrimination or Harassment the Reporting Party may have access to the portions of the recording pertaining to the Reporting Party. The Advisor may have access to the same information as the Party they are advising, provided the Party has given appropriate authorization.
- E. Presidential Appeals must be:
 - i. In writing; and
 - ii. State the issue(s) to be reviewed based on at least one of the grounds for appeal listed below in Section 9(G), and
 - iii. Submitted to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee within five (5) business days after the appealing Party has received written notice of the Appeal Panel finding(s) and
 - iv. Not longer than ten (10) pages in length plus attachments.
- F. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment the appeal request will be shared with the other Party(ies). Such other Parties may file a response with the Appeal Panel within five (5) business days; this response will be shared with all Parties. Nothing in this Section precludes any Party from filing an appeal as detailed in Sections 9(A-E).

- G. Grounds for Appeal:** The Presidential Appeal Panel is not intended to be a full rehearing (de novo) of the allegation(s). The appeal will be limited to the following grounds:
- i. A substantive error, including a procedural error or omission, that substantially impacted the investigation or the outcome of the Conduct Officer or Hearing Board Hearing (for example, bias or failure to follow applicable procedures).
 - ii. To consider new evidence, not reasonably available during the investigation or Conduct Officer or Hearing Board hearing, that could impact the Conduct Officer or Hearing Board finding(s) or sanction(s). A summary of this new evidence and its potential impact must be included in the request for appeal.
 - iii. The sanction imposed is disproportionate to the severity of the violation, considering the totality of circumstances.
- H.** Absent extenuating circumstances, the Conduct Officer, Hearing Board, or Appeal Panel finding(s) and sanction(s) will stand if the request for appeal is not timely or is not based on the grounds listed above in Section 9(G). Extenuating circumstances are at the discretion of the University and will be determined by the Presidential Appeal Panel Chair in conjunction with the Office of General Counsel.
- I. NOTICE OF APPEAL BEFORE THE PRESIDENTIAL APPEAL PANEL**
- i. If an appeal is submitted consistent with parameters identified in Sections 9(A-E), the Presidential Appeal Panel Chair will provide written Notice within fifteen (15) business days from the finalized request for appeal; such Notice required to be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
 - ii. Notice will include the following:
 - a. The issue(s) to be reviewed and the ground(s) for appeal.
 - b. Right to review the information that will be used by the Presidential Appeal Panel.
 - c. Date and time of the initial Presidential Appeal Panel meeting.
 - d. Names of the Presidential Appeal Panel members.
 - e. The procedures that will be used.
 - f. Maximum possible sanction(s) which may be imposed.
- J. TIMEFRAME OF APPEAL:** The Presidential Appeal Panel is required have an initial meeting not earlier than seven (7) business days and not later than fourteen (14) business days after issuance of the Notice of Presidential Appeal. If extenuating circumstances exist that preclude the initial Presidential Appeal Panel meeting from occurring within fourteen (14) business days, an update will be provided indicating the estimated timeframe for the hearing. Such updates will be provided to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment).
- K.** Any Party has the right to, for demonstrated bias or conflict of interest, petition for the removal of any Presidential Appeal Panel member by submitting written notice to the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee stating the grounds for the removal at least five (5) business days prior to the scheduled initial meeting. Removal of Presidential Appeal Panel members for cause will be within the authority and at the discretion of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
- L. Functions of Presidential Appeal Panel:**
- i. Review the conduct matter file including but not limited to: the investigative report; Conduct Officer or Hearing Board files and recordings; and
 - ii. Review any new information provided; and
 - iii. Ask clarifying questions as applicable, including but not limited to, as appropriate, asking questions of: the Investigator; Conduct Officer; Hearing Board member; Appeal Panel member, individuals who presented information to the Conduct Officer, Hearing Board, or Appeal Panel, and other individuals who have information relevant to the process; and
 - iv. Make a determination based on the information reviewed. Determinations are based on majority vote.
- M.** The Presidential Appeal Panel may make the following determinations:
- i. Uphold or change the findings of the Conduct Officer or Hearing Board; or
 - ii. Uphold or change the sanctions of the Conduct Officer or Hearing Board; or

- iii. Remand for a new or additional investigation with a new or same investigator; or
- iv. Remand to the same Conduct Officer or Hearing Board for a new hearing; or
- v. Remand to a different Conduct Officer or Hearing Board for a new hearing.

N. All decisions of the Presidential Appeal Panel are final.

O. The President Appeal Panel will provide notice of any determinations to the applicable university President. The university President may accept the determination of the Presidential Appeal Panel or request further review.

P. After the university President accepts the determination of the Presidential Appeal Panel, the Presidential Appeal Panel Chair will provide Notice to the Parties of any determination(s).

Q. NOTICE OF PRESIDENTIAL APPEAL PANEL OUTCOME

- i. The President Appeal Panel Chair will provide written Notice to the Responding Party.
- ii. Notice will include:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iii. If the alleged conduct is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written Notice of:
 - a. The outcome; and
 - b. The reasoning and facts that support the outcome; and
 - c. Any sanction(s) imposed; and
 - d. Any right of appeal.
- iv. If the alleged violation Gender Discrimination, Sexual Harassment, Discrimination or Harassment, the Reporting Party shall receive simultaneous written Notice of:
 - a. The outcome and any sanctions that directly relate to the Reporting Party; and
 - b. Any right of appeal.
- v. In a case of a Violent Crime other than those listed above, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.

10. TRAINING

- A. Each university President and the Dean of University of Maine School of Law in conjunction with the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct will identify at least three (3) people in each of the following categories to receive annual training to enable them to serve as trained Hearing Board, Appeal Panel or Presidential Appeal Panel members:
 - i. Enrolled students; and
 - ii. Faculty members; and
 - iii. Staff members; and
 - iv. System level employees.
- B. Only individuals who have received annual training are permitted to serve as Hearing Board, Appeal Panel or Presidential Appeal Panel members.
- C. The following individuals will have annual training on issues related to: Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, Stalking, Discrimination, or Harassment; how to conduct an investigation; and hearing process that protects the safety of individuals involved and promotes accountability:
 - i. University Presidents and the Dean of University of Maine School of Law; and
 - ii. Individuals responsible for conducting Preliminary Inquiries or Formal Investigations; and
 - iii. Conduct Officers; and
 - iv. Hearing Board, Appeal Panel or Presidential Appeal Panel members; and
 - v. Any other individuals university Presidents and the Dean of University of Maine School of Law or the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the

Director of Student Success Initiatives and UMS Coordinator of Student Conduct designates to be included in training.

Individuals should receive training commensurate with their role in the process.

11. STUDENT CONDUCT CODE COMMITTEE

- A. The Student Conduct Code Committee is responsible for:
 - i. Reviewing this Code for potential revision at least once every three (3) years or at any time at the request of:
 - a. Conduct Officers representing at least two (2) campuses of the University; or
 - b. Student government officers representing at least two (2) campuses of the University; or
 - c. Student government officers representing at least one (1) campus of the University and the University of Maine School of Law; or
 - d. The Chancellor.
 - ii. Accepting and responding to feedback that various members of the UMS community may have regarding this Code.
 - iii. Proposing revisions to this Code to the Board of Trustees.
- B. The Student Conduct Code Committee will be composed of the following:
 - i. A Committee Chair appointed by the Chancellor.
 - ii. Up to five (5) faculty, staff, or enrolled students, appointed by the Committee Chair.
 - iii. One (1) Board Trustee appointed by the UMS Board of Trustees Chair.
 - iv. One (1) enrolled distance education program student appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or their designee.
 - v. Three (3) graduate students appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct. Graduate students from any campus may serve in this role.
 - vi. Seven (7) Conduct Officers, one (1) from each campus, appointed by each university President.
 - vii. One (1) Law School staff member, appointed by the Dean of University of Maine School of Law.
 - viii. Seven (7) Hearing Board Chairs, one (1) from each campus, appointed by the Director of Student Success Initiatives and UMS Coordinator of Student Conduct or the Designee of the Director of Student Success Initiatives and UMS Coordinator of Student Conduct.
 - ix. Eight (8) enrolled students, one (1) from each campus and the University of Maine School of Law.
 - a. Each applicable student government body will nominate a slate of at least three (3) enrolled students.
 - b. Each university President and the Dean of University of Maine School of Law will choose from their respective slate of nominees one (1) enrolled student representative.

12. AMENDING THE STUDENT CONDUCT CODE

The Board of Trustees will act upon proposed revisions to this Code after receiving recommendations from the Student Conduct Code Committee. As provisions of this Code are subject to periodic review and change, the most recent and current copy of this Code may be obtained through the University of Maine System website, the University of Maine System Vice Chancellor for Academic Affairs Office, or the student affairs office on each campus.

Anyone who wishes to request assistance in accessing the information in this Code, may contact the ADA Coordinator at 207-581-1227, adacoordinator@maine.edu, or TTY 711(Maine Relay System).

**Revised by the Student Conduct Code Review Board and accepted by the Board of Trustees, X Date, 2021
Effective Date: July 26, 2021**

**UNIVERSITY OF MAINE SYSTEM
STUDENT CONDUCT CODE**

Effective Date: 1 July 2018

**Revised by the Conduct Code Review Board
and**

Accepted by the Board of Trustees, 19 March 2018

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UNIVERSITY OF MAINE SYSTEM STUDENT CONDUCT CODE

POLICY STATEMENT

The purpose of the University of Maine System Student Conduct Code (the "Code") is to promote the pursuit of activities that contribute to the intellectual, ethical, and physical development of the individuals under the auspices of the University of Maine System (the "University") and the individual campuses. The Code seeks to ensure the safety of persons engaging in those pursuits; to protect the free and peaceful expression of ideas; and to assure the integrity of various academic processes.

Students are expected to conduct their affairs with proper regard for the rights of others and of the University. All members of the University community share a responsibility for maintaining an environment where actions are guided by mutual respect, integrity, and reason.

All members of the University are governed by University policies, local ordinances, and state and federal laws. For specific governing documents, students and/or campus organizations may refer to University Policies and Procedures; campus student handbooks; campus residence hall agreements and manuals; and related notices and publications. Individuals in violation of state and federal law are subject to prosecution by appropriate state and federal authorities regardless of whether the activity occurs on or off University Property. In addition, students may be subject to disciplinary action by the University pursuant to the Code. The severity of the imposed sanctions will be appropriate to the violation and circumstances of the situation.

In seeking to encourage responsible attitudes, the University places much reliance upon personal example, counseling, and admonition. In certain circumstances where these preferred means fail, the University will rely upon the rules and procedures described in the Code.

The Officer may make minor modifications to procedure that do not materially jeopardize the fairness owed to any party, such as to accommodate summer schedules, etc.

Policy in effect at the time of the offense will apply even if the policy is changed subsequently but prior to resolution. Procedures in effect at the time of the resolution will apply to resolution of incidents, regardless of when the incident occurred.

If government regulations change in a way that impacts this document, this document will be construed to comply with government regulations in their most recent form.

IN THE ENFORCEMENT OF THE CODE, THE UNIVERSITY FUNCTIONS IN AN ADMINISTRATIVE MANNER. THE UNIVERSITY'S ADMINISTRATIVE PROCESS AFFORDS FUNDAMENTAL FAIRNESS, BUT DOES NOT FOLLOW THE TRADITIONAL COMMON LAW ADVERSARIAL METHOD OF A COURT OF LAW.

In complying with the letter and spirit of applicable laws and in pursuing its own goals of diversity, the University of Maine System does not discriminate on the grounds of race, color, religion, sex, sexual orientation, transgender status, gender expression, national origin, citizenship status, age, disability, genetic information or veterans status in employment, education, and all other programs and activities. The University provides reasonable accommodations to qualified individuals with disabilities upon request.

The following person has been designated to handle inquiries regarding non-discrimination policies: Director of Equal Opportunity, North Stevens Hall, Orono, ME 04469; voice: (207)581-1226; TTY 711 (Maine Relay System) email: equal.opportunity@maine.edu.

A qualified student with a disability is entitled to reasonable accommodations to participate in this administrative process. Accommodations may include, but are not limited to, sign language interpretation or information in alternative formats. Students wishing to request reasonable accommodations should make those requests directly to the Officer. The Officer will consult with the appropriate campus office for students with disabilities to assist with the determination of reasonable accommodations. Students may be required to provide documentation in order for the Officer to make a determination.

I. JURISDICTION

- A. The Code will apply to the following:
 - 1. Any person(s) registered or enrolled in any course or program offered by the University;
 - 2. Any person accepted to the University;
 - 3. Any recognized student organization; or
 - 4. Any group of students not currently recognized, but under probation or suspension, by the University.
- B. Persons are deemed to be enrolled at the University until such time as the student has:
 - 1. Officially graduated from the University;
 - 2. Been officially dismissed from the University; or
 - 3. Not been enrolled in any course or program within the University for one calendar year.
- C. Persons are also deemed to be enrolled at the University if the student:
 - a. Has been officially suspended from the University (persons are deemed to be enrolled during the period of their suspension), or
 - b. Is taking distance courses provided by or presented at a University campus.
- D. The Code may be applied in cases of conduct when the alleged incident:
 - 1. Occurs on any campus of the University, or involving any other University Property;
 - 2. At Activities Pursued Under the Auspices of the University; or
 - 3. In which the University can demonstrate a substantial interest as an academic institution regardless of where the conduct occurs, including online or off-campus, and in which the conduct seriously threatens: (a) any educational process; (b) legitimate function of the University; or (c) the health or safety of any individual.
- E. Jurisdiction is determined on the date of the alleged incident.

II. DEFINITIONS

- A. **Activities Pursued Under the Auspices of the University:** Any activities specifically sponsored or participated in by the campus or by any campus organization. Such activities do not include informal off-campus gatherings of students. However, this definition will not be construed so as to limit the University's jurisdiction.
- B. **Administrative Hearing Before the Officer:** A hearing before the Officer to determine if a Responding Party has violated any section(s) of the Code.
- C. **Advisor:** A person who is available to advise or support any party involved in a Code violation investigation and resolution process. Someone acting in the capacity of an advisor may not be a witness. Examples of advisors may include, but are not limited to, family members, friends, University Employees, and attorneys.
- D. **Campus Authorities:** Includes, but is not limited to, any Campus Police or Security Staff, the Officer, the Committee, and the Review Panel.
- E. **Conduct Officer (the "Officer"):** Person(s) or designee(s) responsible for resolving alleged violations of the Code.
- F. **Consent:** An individual's agreement to engage in sexual activity.
 - 1. Consent must be:
 - a. Informed, freely, and actively given, and consist of a mutually agreeable and understandable exchange of words or actions.
 - b. Clear, knowing and voluntary.
 - c. Active, not passive.
 - 2. Consent may be withdrawn at any time.
 - 3. Silence, in and of itself, cannot be interpreted as consent.
 - 4. Consent can be given by words or actions, as long as those words or actions create mutually understandable clear permission regarding willingness to engage in (and conditions of) sexual activity.
 - 5. Past consent does not imply future consent.
 - 6. Consent to engage in one form of sexual activity does not imply consent to engage in any other sexual activity.
 - 7. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with any other person.
 - 8. There is no consent when the exchange involves unwanted physical force, coercion, intimidation and/or threats.
 - 9. If an individual is mentally or physically incapacitated or impaired such that one cannot understand the fact, nature, or extent of the sexual situation, and the Incapacitation or impairment is known or should be known to a Reasonable Person, there is no consent. This includes conditions resulting from alcohol or drug consumption, or being asleep, or unconscious.

10. Consent is not valid if the person is too young to consent to sexual activity under Maine law, even if the minor wanted to engage in the activity.

- G. **Formal Investigation:** A fair, thorough, and impartial process used to determine, to the fullest extent possible, if a there has been a violation of the Code. Investigations include, but are not limited to, interviews with relevant parties and evidence collection.
- H. **Gender Expression:** An individual's external expression of their gender identity, through such means as clothing, hair styling, jewelry, voice, and behavior.
- I. **Gender Identity:** An individual's sincerely held core belief regarding their gender whether that individual identifies as male, female, a blend of both, neither, or in some other way (such as, for example, an individual who identifies as "queer", "genderqueer", "bi-gender", "intersex", or "gender fluid").
- J. **Hostile Environment:** Is created when harassment is:
1. Severe, Persistent, or Pervasive; and
 2. Objectively Offensive, such that it denies or limits a person's ability to participate in or benefit from the University's programs, services, opportunities, or activities; or unreasonably interferes with an individual's academic or work performance.

A hostile environment can be created by anyone involved in a University program or activity, such as an administrator, faculty or staff member, student, or campus guest. Offensiveness alone is not enough to create a hostile environment. Although repeated incidents increase the likelihood that a hostile environment has been created, a single serious incident, such as a Sexual Assault, can be sufficient.

Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a Reasonable Person in a similar situation would have perceived the conduct as objectively offensive.

The following factors will also be considered:

- i. The degree to which the conduct affected one or more students' education or individual's employment;
- ii. The nature, scope, frequency, duration, and location of the incident(s);
- iii. The identity, number, and relationships of persons involved; and
- iv. The nature of higher education.

- K. **Incapacitation:** An individual is mentally or physically incapacitated such that:
1. The individual cannot understand the fact, nature, or extent of the situation (e.g. to understand the "who, what, when, where, why or how" of the situation); and
 2. The incapacitation is known or should be known to the Responding Party (as evaluative from the perspective of a Reasonable Person).

This includes conditions resulting from alcohol or drug consumption, being asleep, or unconscious.

A policy violation is not excused by the fact that the Responding Party was intoxicated and, due to that intoxication, did not realize the incapacity of the other person.

- L. **Interim Measures or Actions:** Taken to promote the safety and well-being of the Parties, including, but not limited to, moving either Party to a new living, dining or working situation; issuing a no contact order; changing class or work schedules; changing transportation; financial aid accommodations; immigration assistance; and other academic and/or employment accommodations and support.
- M. **Notification Standards:** Official notice from the University may be hand delivered, mailed to a student's last known address, or delivered through the use of the student's University email account.
- N. **Party(ies):** The Reporting Party(ies) and Responding Party(ies), collectively.
- O. **Preliminary Inquiry:** Typically one to three (1-3) days in length, this inquiry precedes a formal investigation, to determine if there is reasonable cause to believe that there has been a violation of the Code.
- P. **Preponderance of the Evidence:** The standard of evidence used to determine whether the Student Conduct Code has

been violated. Under this standard, a violation will be determined to have occurred if, based upon the evidence presented, the Officer, the Committee, or the Review Panel conclude that it is more likely than not that the violation was committed.

- Q. **Reasonable Person:** A representative individual under similar circumstances and with similar identities to the person in question, who exercises care, skill, and judgment.
- R. **Reporting Party:** A person who alleges harm and/or a policy violation by a student or campus organization. Where the Reporting Party does not want to participate, the University may move forward with the case. In cases of Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, however, the words "Reporting Party" shall refer only to the person who has been harmed by the alleged misconduct.
- S. **Responding Party:** A student or organization that has been alleged to have violated the Code, is under Formal Investigation, or has been charged with a violation of the Code.
- T. **Review Panel:** A one (1) or three (3) member panel that hears reviews from the Committee, described in Section VII.
- U. **Sexual Orientation:** A person's actual or perceived sexuality or sexual identity.
- V. **Student Conduct Committee (the "Committee"):** A committee composed of representatives from campuses of the University responsible for hearing conduct cases on review after the Administrative Hearing, described in Section VI.
- W. **University Employee:** Employees, including faculty, staff, students, Board of Trustees, volunteers, and agents of the University.
- X. **University of Maine System Student Conduct Code (the "Code"):** This entire document.
- Y. **University of Maine System (the "University"):** Means either collectively or singularly, any of the of following campuses: University of Maine at Augusta; University of Maine at Farmington; University of Maine at Fort Kent; University of Maine at Machias; University of Maine (Orono); University of Maine at Presque Isle; University of Southern Maine; University Colleges; and all University Property.
- Z. **University Property:** Includes, but is not limited to, any Real or Personal Property owned, held, rented, licensed, chartered, or otherwise engaged by the University in any manner or by University Employees and/or campus organizations as a direct result of and in connection with their service to the University.
 - 1. Real Property: Land, buildings, fixtures, improvements, and any interests therein.
 - 2. Personal Property: All property, other than real property, and any interests therein. The University's computer network and all its component parts, which are not real property. Any document or record issued or purporting to be issued by the University.
- AA. **Violent Crime:** Arson, assault offenses, intimidation, burglary, manslaughter, murder, destruction/damage/vandalism of property, kidnapping/abduction, and/or robbery.

III. Violations

Violations are activities which directly and significantly interfere with the University's (1) primary educational responsibility of ensuring the opportunity of all members of the community to attain their educational objectives, or (2) subsidiary responsibilities of protecting the health and safety of persons in the campus community, maintaining and protecting property, keeping records, providing living accommodations and other services, and sponsoring non-classroom activities such as lectures, concerts, athletic events, and social functions.

The violations listed below are considered in the context of the student's responsibility as a member of the academic community; other actions which may be considered as violations may be defined by other documents, such as, for example, residence hall contracts. Disciplinary action taken under the Code is independent of the awarding of grades (an academic matter), and provisions of the Code cannot be used for changing awarded grades.

The residence hall contract between the student and the University may specify certain other conditions which impose additional responsibilities and obligations on the residence hall student. The following violations indicate categories of conduct or activity which violate the Code.

Reporting Violations

All reports are acted upon promptly while every effort is made by the University to preserve the privacy of such reports. Such reports may also be anonymous. Anonymous reports will be investigated to determine if remedies can be provided. Reports of alleged violations of the Code should be reported to Campus Authorities such as the University's Residence Hall staff, Dean of Students, or Officer. Reports of Gender Discrimination (including sexual harassment, dating violence, domestic violence, sexual assault or stalking) may be reported directly to the University's Title IX Coordinator/Deputy Coordinator.

The following violations are provided in order to give students reasonable warning that such conduct or attempted conduct is prohibited.

A. Academic Misconduct

1. **Cheating:** The act or attempted act of deception by which a student seeks to misrepresent that he/she has mastered information on an academic exercise that he/she has not mastered.
2. **Fabrication:** The use of invented information or the falsification of research or other findings in an academic exercise.
3. **Plagiarism:** The submission of another's work as one's own, without adequate attribution.
4. **Facilitating Academic Misconduct:** Assisting in another person's academic misconduct.

B. Disruption of University Operations

1. **Causing a Disturbance:** Disturbance resulting in substantial disruption of authorized activities.
2. **Failure to Comply with Sanction:** Failure to comply with or attempts to circumvent a sanction(s) imposed by the Officer, Committee, or Review Panel.
3. **Failure to Identify:** Failing to properly identify oneself to a University Employee acting in pursuit of official duties.
4. **Interference with Code Enforcement:** Interference with a Reporting Party, Responding Party, witness, investigation or the carrying out of procedures defined in the Code.
5. **Interference with or Failure to Comply with a University Employee:** Direct interference with or failure to comply with a University Employee in the performance of his/her official duties.
6. **Supplying False Information:** Knowingly supplying false information to University Employees in pursuit of their official duties or to a Committee or Review Panel in the course of a disciplinary proceeding, or knowingly causing false information to be thus supplied.
7. **Unauthorized Representation:** Unauthorized representation of the University or University Employee(s).
8. **Violation of Residence Hall Policies:** Violation of residence hall contracts, except when the residence hall contract specifically provides for an alternate procedure or remedy for the violation concerned.
9. **Violation of Student Activity Regulations:** Violation of a campus-specific or system-wide regulation, policy, standard of conduct, or code of ethics applicable to the activity in which the student is engaged, and which has been adopted, published or otherwise made known to students participating in such activity.

C. Health & Safety Violations

1. **Creating a Dangerous Condition:** Creation of a fire hazard or other dangerous condition.
2. **Endangering Health or Safety:** Conduct which threatens or endangers the health or safety of any individual.
3. **False Reporting of Dangerous Conditions:** Giving or causing to be given false reports of fire or other dangerous conditions.
4. **Illegal Possession, Use, or Sale of Drugs:** Illegal possession, use, or sale of drugs or drug paraphernalia. The misuse of legal prescription drugs.
5. **Interference with Safety Equipment or Alarms:** Tampering with, disabling, or causing malfunction of fire and safety equipment or alarm systems.
6. **Possession or Misuse of Weapons:** Violation of regulations concerning possession or misuse of firearms or other dangerous weapons, as defined by policies established for each campus.
7. **Restricting Traffic Flow:** Restriction of normal traffic flow into or out of University Property.
8. **Use or Possession of Chemicals or Explosives:** Unauthorized use or possession of explosive components, chemicals, etc., such as fireworks, explosives, gas or compressed air.
9. **Violation of Alcohol Policies:** Violations of University or State of Maine alcoholic beverage regulations or laws.
10. **Violation of Health or Safety Policies:** Violation of University health or safety regulations.

D. Offenses Involving Other People

1. **Causing Fear of Physical Harm:** Intentionally or recklessly placing a person or persons in reasonable fear of imminent physical harm.
2. **Dating Violence:** Violence committed against a person by an individual who is or has been in a social relationship of a romantic or intimate nature with that person. Whether a dating relationship exists is determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence. All forms of dating violence prohibited by Maine law are also included.
3. **Domestic Violence:** A felony or misdemeanor crime of violence committed by:
 - a. A current or former spouse or intimate partner of the victim;
 - b. A person with whom the victim shares a child in common;
 - c. A person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner;
 - d. A person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; or
 - e. By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

All forms of domestic violence prohibited by Maine law are also included.

4. **Gender Discrimination:** Discriminating against an individual on the basis of that individual's gender, including, but not limited to, Dating Violence, Domestic Violence, Sexual Assault, Sexual Harassment, or Stalking.
5. **Harassment:** Repeated and/or severe acts of unwelcome behavior that creates a hostile working, educational, or living environment that unreasonably interferes with an individual's academic or job performance and opportunities.
6. **Hazing:** Any action taken or situation created by a person or an organization, or with the knowledge or Consent of an organization, which recklessly or intentionally endangers the mental or physical health of a student.
7. **Interference with Residential Life:** Significant interference with the normal residential life of others.
8. **Intimidation:** Implied or actual threats or acts that cause a reasonable fear of harm in another, and may be inferred from conduct, words, or circumstances reasonably calculated to cause fear.
9. **Invasion of Privacy:** The violation of another individual's reasonable expectation of privacy where the circumstances justify that expectation, including, but not limited to, physically trespassing in a private area with the intent of observing or eavesdropping; using an electronic device to intercept, record, amplify or broadcast a private conversation or private events; or engaging in surveillance, photographing, broadcasting, image-capturing or recording of private conversations or private events.

The fact that the Responding Party was a party to the conversation or event is not determinative of another individual's reasonable expectation of privacy.

10. **Lewd or Indecent Behavior:** Exhibition of the genitals, anus, or pubic area of a person other than for legitimate academic purposes.
11. **Physical Assault:** Intentionally, knowingly, or recklessly causing bodily injury or offensive physical contact to another person.
12. **Retaliation:** Action taken by the University or any individual or group against any person for opposing any practices prohibited by the Code or for filing a complaint, testifying, assisting, or participating in an investigation or proceeding under the Code.

This includes action taken against a bystander who intervened to stop or attempt to stop a violation of the Code. Retaliation includes intimidating, threatening, coercing, or in any way discriminating against an individual because of the individual's complaint or participation.

Action is generally deemed retaliatory if it would deter a Reasonable Person in the same circumstances from opposing practices prohibited by the Code or from participating in the resolution of a complaint.

13. **Sexual Assault:** An offense that meets the definition of rape, fondling, incest, or statutory rape, as follows:
 - a. Rape is the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the Consent of the victim.

- b. Fondling is the touching of the private body parts of another person for the purpose of sexual gratification, without the Consent of the victim, including instances where the victim is incapable of giving Consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c. Incest is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d. Statutory rape is sexual intercourse with a person who is under the statutory age of Consent under applicable law.

All forms of sexual assault and sexual contact prohibited by Maine law are also included.

14. **Sexual Harassment:** Includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, including sexual assault and sexual violence. Sexual harassment, including Sexual Assault, can involve persons of the same or opposite sex.

Consistent with the law, this policy prohibits two types of sexual harassment:

- a. Tangible Employment or Educational Action (quid pro quo): This type of sexual harassment occurs when the terms or conditions of employment, educational benefits, academic grades or opportunities, living environment or participation in a University activity are made an explicit or implicit condition of submission to or rejection of unwelcome sexual advances or requests for sexual favors, or such submission or rejection is a factor in decisions affecting an individual's employment, education, living environment, or participation in a University program or activity. Generally, a person who engages in this type of sexual harassment is an agent or employee with some authority conferred by the University.
- b. Hostile Environment: Sexual harassment that creates a hostile environment is based on sex and exists when the harassment:
 - i. Is severe, pervasive, or persistent, and objectively offensive such that it denies or limits a person's ability to participate in or benefit from the University's programs, services, opportunities, or activities; or
 - ii. Unreasonably interferes with an individual's academic or work performance.

A hostile environment can be created by anyone involved in a University program or activity, such as an administrator, faculty or staff member, student, or campus guest. Offensiveness alone is not enough to create a hostile environment. Although repeated incidents increase the likelihood that a hostile environment has been created, a single serious incident, such as a Sexual Assault, can be sufficient.

Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a Reasonable Person in a similar situation would have perceived the conduct as objectively offensive.

The following factors will also be considered:

- i. The degree to which the conduct affected one or more students' education or individual's employment;
 - ii. The nature, scope, frequency, duration, and location of the incident(s);
 - iii. The identity, number, and relationships of persons involved; and
 - iv. The nature of higher education.
15. **Sexual Misconduct:** Includes, but is not limited to, prostituting another person, nonconsensual image capturing of sexual activity, presentation or unauthorized viewing of a non-consensual videotaping of sexual activity, letting others watch you have sex without the knowledge and Consent of your sexual partner, possession of child pornography, peeping tommery, and/or knowingly transmitting an STD or HIV to another person.

Sexual misconduct may also constitute sexual harassment.

All forms of sexual misconduct prohibited by Maine law are also included.

16. **Stalking:** Engaging in a course of conduct directed at a specific person that would cause a Reasonable Person to:
- a. Fear for the person's safety or the safety of others; or
 - b. Suffer substantial emotional distress.

For the purposes of this definition:

- a. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.
- c. Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

All forms of stalking prohibited by Maine law are also included.

17. **Discriminatory Harassment:** Harassment based on actual or perceived race, color, religion, sex, Sexual Orientation, Gender Identity, Gender Expression, national origin or citizenship status, age, disability, genetic information or veteran status.
18. **Unauthorized Recording of a Conversation:** Intercepting, recording or image-capturing a University Employee in a classroom, office or over the telephone without that University Employee's Consent unless it is part of an approved reasonable accommodation.

E. Offenses Involving Property

1. **Defacement, Destruction, or Misuse of Property:** Intentional and/or reckless misuse, destruction, or defacement of University Property or of the property of other people without authorization.
2. **Misuse of University Computers:** Misuse of the University computer network or computers including, but not limited to, theft of computer files or data, e-mail, or other electronically stored information, probing or hacking into other computers or computer systems, spamming, sending out computer viruses, or uploading or downloading copyrighted material for personal use or distribution without authorization.
3. **Motor Vehicle Violation:** Violation of motor vehicle policies established for each campus.
4. **Tampering, Destruction, or Falsification of Records:** Tampering with, destroying, or falsifying official records.
5. **Theft or Unauthorized Use:** Theft, attempted theft, or unauthorized acquisition, removal, or use of the property of another.
6. **Trespassing:** Trespassing or unauthorized presence on any University Property, including residence halls.

F. General Infractions

1. **Aiding Infraction:** Knowingly assisting in the violation of any of the provisions of the Code.
2. **Continued Infraction:** Continued infractions of the Code.
3. **Conviction of a Crime:** Conviction of any crime that threatens: (a) any educational process or legitimate function of the University, or (b) the health or safety of any individual.
4. **Other Illegal Activity:** Violating local, state, or federal laws otherwise not covered under the Code.

IV. SANCTIONS

If a Responding Party admits to a violation of the Code to the Officer, Investigator, Committee or Review Panel; or upon determination by the Officer, Committee or Review Panel that a Responding Party has been found in violation of the Code, one or more of the following sanctions may be imposed in accordance with the provisions of the Code (see Section V):

- A. **Assigned Educational Projects:** This may include research projects, reflective essays, counseling assessments, sanction seminars or other related assignments intended to promote learning.
- B. **Community Service:** The type of service may be related to the nature of the violation.
- C. **Deferred Sanction:** A specific period of time during which a sanction has been imposed but is stayed. Any further violation of the Code during that time may, at minimum, result in the imposition of the deferred sanction, and any new or additional sanctions deemed necessary.
- D. **Disciplinary Dismissal:** Permanent separation (subject to the right of review after five years) from the University.
 1. Responding Parties who are dismissed will not be permitted to attend any of the University campuses or attend any University functions. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to be readmitted to attend one of the University campuses. For a Responding Party preparing to transfer to a non-University institution who has been dismissed for a Violent Crime or Sexual

Assault, a letter will be attached to the student's transcript explaining the dismissal. After five (5) years from the date of the dismissal, the Responding Party may submit a written request to have the letter attached for transfer applications to non-University institutions removed from their transcript.

2. Requests for readmission or removal of the letter attached for transfer applications will be submitted to the Officer of the campus from which the Responding Party was dismissed. The Officer will convene the campus committee designated by the President to review such requests pursuant to the campus written procedures.

- E. **Disciplinary Probation:** A specified period of time when any further violation may result in additional sanctions, up to and including dismissal from the University.
- F. **Disciplinary Suspension:** Separation from the University for a specific period of time and/or until a stated condition(s) is met.

Responding Parties who are suspended will not be permitted to attend any of the University campuses during the sanction period or attend any University functions. After the sanction period has been completed and all requirements of the suspension have been met, the Responding Party is eligible for readmission to any University campus. For a Responding Party preparing to transfer to a non-University institution who has been suspended for a Violent Crime or Sexual Assault, a letter will be attached to his/her transcript explaining that he/she has been suspended. If the Responding Party is transferring to a non-University institution after the sanction has been completed the letter will not be attached to the transcript.

- G. **Fine:** Payment of money. Responding Parties who are unable to pay may discuss alternate payment arrangements.
- H. **Loss of Contact with a Specific Person(s):** With this sanction, the person may not initiate direct or indirect contact with a specified person(s).
- I. **Loss of Visitation Privileges:** This loss of visitation may be to any designated area(s) of any University Property.
- J. **Official Warning:** Official acknowledgment of a violation and the expectation that it will not be repeated.
- K. **Removal from University Housing:** Removal from a particular hall or all housing.
- L. **Restitution:** Restitution, up to the replacement value of the items damaged, stolen, removed, or used without authority and damages incurred.
- M. **Such other action(s) as the Committee, Officer or Review Panel may reasonably deem appropriate (e.g., suspension of an organization's official campus recognition, suspension of a student from an extracurricular activity, termination from student employment, and/or academic degree revocation).**

The University may impose a more severe sanction on a Responding Party when the Officer, Committee, or Review Panel determines that a Responding Party intentionally selected the person or organization against whom the violation was committed, or selected the property damaged or stolen, because of the race, religion, color, sex, Sexual Orientation, Gender Identity, Gender Expression, national origin or citizenship status, age, disability, genetic information or veteran status of that person, or the persons in the organization or the owner of the property.

V. PROCEDURES

Each University campus may adopt procedures for carrying out the provisions of the Code within the guidelines set forth by the Code as described below and consistent with the Code. University campuses having a professional code of ethics may adopt additional procedural provisions to be applicable to their own students.

ADMINISTRATION AND INTERPRETATION OF THE CODE WILL BE SOLELY WITHIN THE JURISDICTION OF THE OFFICER, THE COMMITTEE OR THE REVIEW PANEL, SUCH INTERPRETATION BEING PURSUANT TO THE PROCEDURES OF THE CODE.

A. PRELIMINARY INQUIRY

1. Alleged violations of the Code brought to the attention of the University by University Employees, students, or members of the general public will result in the initiation of a Preliminary Inquiry. A Preliminary Inquiry will determine if there is sufficient information to warrant a Formal Investigation or informal resolution. **Before**

interviewing or questioning of the Parties, notification must be provided under Section V.C., Notice of Formal Investigation, unless doing so would be likely to jeopardize health or safety, or the integrity of the investigation, or lead to the destruction of evidence.

2. Informal resolution may be used to resolve cases where:
 - a. There is sufficient information to support the allegations;
 - b. All parties have mutually consented to the process; and
 - c. The process is acceptable to the Officer.

The Parties have the right to end the informal process at any time and begin the formal complaint process. Mediation may not be used in cases of allegations of Sexual Assault.

3. Upon the conclusion of the Preliminary Inquiry, in accordance with Notification Standards, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties will be simultaneously notified whether no charges will be filed, a Formal Investigation will commence, or Informal Resolution will be pursued. In all other cases, only the Responding Party will be notified whether or not charges will be filed, or if a Formal Investigation will commence.
4. If, during the Preliminary Inquiry or at any point during the Formal Investigation, the Officer determines that there is no reasonable cause to conclude that the Code has been violated, the disciplinary process will end and the Responding Party will be notified. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties will receive simultaneous notification of the Officer's decision end the disciplinary process and both the Parties will be notified of the right of review.
5. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, once the need for a Formal Investigation has been determined, the Parties will be provided written notification of the Formal Investigation at the appropriate time during the Formal Investigation.
6. Each Officer, Committee member, and Review Panelist is expected to conduct due diligence to determine if there is a potential conflict of interest. If there is a conflict of interest for the Officer, the Officer will refer the matter to another Officer. If any member of the Committee or Review panel is conflicted, an alternate will be appointed. The parties have the right to raise any potential conflict of interest with the Officer or any member of the Committee or Review Panel.

The University aims to complete the investigation, including the Preliminary Inquiry and Formal Investigation, if any, within a sixty (60) business day time period from the date of initial notice to completion of the Formal Investigation, if any, which time period may be extended as necessary for appropriate cause.

B. INTERIM MEASURES OR ACTIONS

1. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the University may provide Interim Measures or Actions intended to address the short-term effects of the alleged Harassment, discrimination, and/or Retaliation, to the Parties and the community, and to prevent further violations of the Code. Interim Measures or Actions taken will be kept as private as reasonably practicable.
2. A Responding Party may be suspended from the University or have privileges revoked pending the outcome of a disciplinary proceeding if, in the judgment of the Officer, the Responding Party's continued presence or use of privileges at the University pending the outcome of the proceeding is likely to pose a substantial threat to the Reporting Party or to other people and/or is likely to cause significant property damage and/or disruption of or interference with the normal operations of the University. The Officer may converse with the Parties when such Interim Measures and Actions are considered.
3. Responding Parties who have been issued an Interim Measures or Actions or an interim suspension may seek review of that decision by requesting the Campus President or designee to review the decision. The Campus President or designee will review the request within five (5) business days of receipt.
4. In accordance with Notification Standards, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking the Officer may inform the Parties of any Interim Measures or Actions.
5. Interim Measures or Actions, including but not limited to: interim suspensions; no-contact orders; University Property usage restrictions; University account holds; and academic degree holds, will be implemented to ensure as minimal negative impact on the Parties while maintaining the safety of the University community

and integrity of the investigation.

6. An enrolled student may not graduate if that student has a pending conduct case. If a student officially withdraws from the University or does not participate in the disciplinary process, the process will continue and the student may not be permitted to return to the University or graduate until the student is found not responsible for a violation of the Code or any imposed sanctions have been satisfied.

C. NOTICE OF FORMAL INVESTIGATION

1. Prior to commencement of a Formal Investigation, the Officer will notify the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) in writing per the Notification Standards of the following:
 - a. Alleged Code violation(s);
 - b. Reporting Party(ies);
 - c. Date(s) of alleged occurrence(s);
 - d. Maximum possible sanctions which may be imposed;
 - e. The procedures that will be used to resolve the complaint; and
 - f. Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) right of review.

D. FORMAL INVESTIGATION

1. Upon the Officer's decision to commence a Formal Investigation, the Officer will initiate the investigation or assign it to a trained investigator, as soon as practicable.
2. The University may undertake a short delay in its investigation when criminal charges on the basis of the same behaviors that invoked this process are being investigated. The University will promptly resume its investigation and resolution processes once notified by law enforcement that the initial evidence collection is complete.
3. All investigations will be thorough, reliable, impartial, prompt and fair. Investigations entail interviews with all relevant parties and witnesses, obtaining available evidence, and identifying sources of expert information, as necessary.
4. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, both the Parties will be given access to the relevant evidence to be used in rendering a determination and each party will be provided a full and fair opportunity to address that evidence prior to a finding being rendered.
5. The Officer and/or investigator will provide regular updates to the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) throughout the investigation, as appropriate.
6. During the Investigation the Parties may be accompanied by an Advisor.
7. If no charges are being brought at the conclusion of the Formal Investigation, the Officer will provide such notification to the Responding Party. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties will receive simultaneous notification of the Officer's decision not to bring charges and both the Parties will be notified of the right of review to either a committee chair or alternative hearing officer.

E. NOTICE OF ADMINISTRATIVE HEARING BEFORE THE OFFICER

1. If charges are being filed, the Officer will notify the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) in writing per the Notification Standards of the following:
 - a. Charge(s);
 - b. Reporting Party(ies);
 - c. Date(s) of alleged occurrence(s);
 - d. Maximum possible sanction which may be imposed;
 - e. The procedures that will be used to resolve the complaint; and
 - f. Date and time of the Administrative Hearing.

F. ADMINISTRATIVE HEARING BEFORE THE OFFICER

An Administrative Hearing Before the Officer will be held for cases that have not been disposed of informally where there is sufficient evidence to charge a Code violation.

1. If any Party is not present at the time appointed for the hearing, the Officer will first attempt to determine the reason for that person's absence. The Officer may then proceed in a normal manner without a Party's attendance, may hear only a portion of the testimony and adjourn to a later date, or may continue the entire hearing to a later date.
 - a. The Officer may not consider the absence of any Party as relevant to whether the Responding Party committed the alleged violation of the Code.
2. During the hearing the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking), may be accompanied by an Advisor and a support person of their choice. Advisors and support people will not be permitted to speak at the hearing, except to speak with their advisee, unless permission has otherwise been granted by the Officer.
3. During the hearing, the Officer may hear and consider as evidence any relevant information.

The Officer may not consider:

- a. Information obtained directly or indirectly through a search of a Party's or witnesses' effects or room if a court of law has determined the search was illegal.
 - b. If the Officer is aware that a criminal prosecution relating to the same violation(s) is being conducted, or such action appears likely to be made, independent of the hearing, the Officer will notify the Responding Party in advance of the right to remain silent, and the Officer will draw no negative inference from the Responding Party's refusal to give information or consent to a search, except that the Responding Party had no answer or evidence to give.
4. The Officer will then:
 - a. Make a determination that the Responding Party is in violation of the Code if a Preponderance of the Evidence demonstrates that the Responding Party has violated the code, or dismiss the case if the Officer determines the Responding Party is not in violation of the Code. The Officer will inform the Responding Party, in writing, of the outcome, including any sanctions imposed and any right of review.
 - b. If the alleged violation is a Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Parties will receive simultaneous written notification of the outcome, including any sanctions and the rationale for the result and any sanctions, and of the Parties' right of review.
 - c. If the alleged violation is Gender Discrimination or Sexual Harassment, the Reporting Party shall receive simultaneous notification of the outcome and of any sanctions that directly relate to the Reporting Party, and of the Reporting Party's right of review.
 - d. In a case of a Violent Crime, the University may disclose the final results of the disciplinary proceeding to the victim(s), regardless of whether the University concluded a violation was committed.
 5. If the Officer determines the Responding Party is responsible for a violation of the Code, the Officer will impose appropriate sanctions. Sanctions will become operative immediately once notice has been given to the Responding Party.
 6. **Sanctions imposed as the result of the Administrative Hearing are implemented immediately unless the Officer stays their implementation in extraordinary circumstances, pending the outcome of a review hearing.** Graduation, study abroad, internships/externships, etc. do NOT in and of themselves constitute extraordinary circumstances, and students may not be able to participate in those activities during the review period.

G. RIGHT OF REVIEW BEYOND ADMINISTRATIVE HEARING BEFORE THE OFFICER

1. In the event the Officer issues a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party may request a review of the finding and/or sanction. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the Parties have the right to a review of any finding(s) or sanction(s).
2. Requests for review will be in writing, state the issue(s) to be reviewed, and provide a detailed rationale for the request. The written request for a review will be submitted to the Officer within seven (7) calendar days after the Party(ies) has received notice of the Administrative Hearing finding(s) and shall not exceed five (5) pages in length.
3. The request for review to the Committee will be limited to the following grounds:
 - a. A procedural error or omission occurred that significantly impacted the outcome of the hearing (e.g.

- substantiated bias, material deviation from established procedures, etc.).
- b. To consider new evidence, unknown or unavailable during the original hearing or investigation, that could substantially impact the original finding or sanction. A summary of this new evidence and its potential impact will be included in the written request for review.
- c. The sanction imposed is significantly disproportionate to the severity of the violation and/or the cumulative record of the Responding Party.
- d. Reconsideration of existing information and whether it supports the Administrative Hearing before the Officer finding.
- 4. The Committee will review request(s) for review. The original finding(s) and sanction(s) will stand if the request for review is not timely or is not based on the grounds listed above in Section V.G(3), and such a decision is final.
- 5. The Committee review may result in: (a) a change to the finding(s); (b) a change in sanction(s), such as a higher sanction, a lower sanction, the same sanction, or no sanction at all being imposed; or (c) remand to Administrative Hearing Before the Officer.

H. RESPONSIBILITIES OF THE COMMITTEE

1. As soon as practicable upon receipt of the request for review, the following steps will be taken:
 - a. The Committee chair will notify, in writing, the Officer and the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) of a date, place, and time for the Committee hearing. Committee hearings are normally held not earlier than five (5) calendar days and not later than fourteen (14) calendar days after issuance of the notification of hearing.
 - b. List in the notice to the Parties the names of the Committee member(s) conducting the review and witnesses being invited by the Committee.
 - c. Make arrangements for the keeping of a recorded record of the Committee hearing. In cases of a review to the Review Panel, the Responding Party charged with the violation, his/her Advisor, and authorized Campus Authorities may have access to the record for purpose of review relating to a request for review. No copies will be made except by the University. The record will be kept by the University campus for at least three (3) years after all review rights have been exhausted at which time the record may be destroyed. Records of hearings are deemed to be Student Education Records under the Family Educational Rights and Privacy Act of 1974 (FERPA) and may not be disclosed publicly except as provided in FERPA. No recording in any form, other than the one made by the Committee, is permitted at the Committee hearing. If the alleged violation is Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Reporting Party and his/her Advisor may have the same access to the recording as the Respondent. If the alleged violation is Gender Discrimination or Sexual Harassment, the Reporting Party and his/her Advisor may have access to the portions of the recording pertaining to the Reporting Party.
2. Composition of the Committee
 - a. The Committee will be composed as described in Section VI.
 - b. The Parties or the Officer will have the right to challenge, for cause, any Committee member by submitting to the Committee Chair written notice stating the grounds for the challenge at least two (2) business days prior to the scheduled hearing. Removal of members for cause will be within the authority and at the discretion of the Committee Chair or another member of the Committee if the Chair is unable to exercise that function or is challenged for cause.
3. Hearing Preliminaries
 - a. At any proceeding before the Committee, the Parties and witnesses may have the assistance of an Advisor.
 - b. The hearing will be closed to the public. The Committee Chair may permit, in addition to the Party's Advisor, one support person for each Party to observe the proceedings. At the discretion of the Committee Chair, the Committee Chair reserves the right to close the hearing.
 - c. If any Party or witness is not present at the time appointed for the hearing, the Committee will attempt to determine the reason for that party's absence. The Committee may proceed: (1) in a normal manner without their attendance; (2) hear only a portion of the testimony and adjourn to a later date; or (3) continue the entire hearing to a later date. The Committee may not consider the absence of a party as relevant to whether the Responding Party committed the alleged violation of the Code.
4. Hearing Procedures
 - a. Responsibility for recognizing and permitting persons to speak lies exclusively with the Committee Chair.

- b. Persons disruptive at any stage of the hearing may be evicted at the reasonable discretion of the Committee Chair.
 - c. The names of witnesses and/or copies of written statements will be submitted to the Officer at least two (2) business days prior to the hearing for inclusion in the materials presented to the Committee. At the discretion of the Committee Chair, the Parties may submit written documents, oral testimony of witnesses, and all relevant documents, records, and exhibits at the time of the hearing.
 - d. The Officer will first present the results of the Preliminary Investigation, Formal Investigation, and Administrative Hearing.
 - e. The Reporting Party may present oral testimony and/or written statements from any person(s) including the Responding Party, and all relevant documents, records and exhibits.
 - f. The Responding Party may then present oral testimony and/or written documentation themselves and/or from other witnesses, and all relevant documents, records and exhibits.
 - g. At any time during the proceedings, members of the Committee may question witnesses or parties to the proceeding; witnesses or parties may only ask questions of each other at the discretion of and through the Committee Chair. **Questioning by any Advisor is not permitted.** Advisors and support people may not speak at the hearing, except to their advisee.
 - h. After the presentation of all the information to the Committee, the Officer and the Responding Party (and the Reporting Party if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) may present summaries of their arguments to the Committee.
 - i. During the hearing, the Committee may consider any relevant information to the grounds for appeal, will not be bound by the strict rules of legal evidence, and may take into account any information which is of value in determining the issues involved. Efforts will be made to obtain the most reliable information available.
 - j. After all parties have presented their respective information, the Committee will go into closed session to determine whether the Responding Party is in violation of the Code. Deliberations are not recorded. A Committee member should vote that the Responding Party is in violation of the Code only if a Preponderance of the Evidence demonstrates behavior that is in violation.
 - k. A simple majority vote of responsible or not responsible for a violation of the Code by the Committee members present will prevail. If the majority of the Committee votes for not responsible or there is a tie, the Responding Party will be found not responsible.
 - l. If a Responding Party is found to be responsible for the violation of Code, the Officer and the Responding Party (and the Reporting Party if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) may make recommendations to the Committee as to the appropriate sanctions. The Committee will go back into closed session and deliberate on sanctions. Deliberations are not recorded. A majority vote of the Committee members is needed for an imposition of a sanction(s).
5. After Committee deliberations are concluded, the Committee Chair will:
 - a. Inform the Responding Party of the finding of the Committee, per the Notification Standards including:
 - i. The section(s) of the Code found to have been violated;
 - ii. The sanction imposed; and
 - iii. The rationale for both the finding(s) and the sanction(s).
 - b. If the alleged violation is a Dating Violence, Domestic Violence, Sexual Assault, or Stalking, the Committee will inform the Parties, per the Notification Standards, simultaneously of the outcome of the proceeding, the rationale for the result, any sanctions, when a decision is considered final, any changes that occur prior to finalization, and any rights of review.
 - c. If the alleged violation is Gender Discrimination or Sexual Harassment, in addition to informing the Complainant of the outcome of the proceedings the Committee shall inform the Complainant of any sanctions imposed upon the Respondent that directly relate to the Complainant.
 - d. In a case of a Violent Crime, the University may disclose the final results of the Committee Hearing to the victim, regardless of whether the University concluded there was a violation of the Code.
 6. **Sanctions imposed as the result of the Committee hearing are implemented immediately unless the Chair of the Committee stays their implementation in extraordinary circumstances, pending the outcome of a review hearing.** Graduation, study abroad, internships/externships, etc. do NOT in and of themselves constitute extraordinary circumstances, and students may not be able to participate in those activities during the review period.

I. RIGHT OF REVIEW BEYOND COMMITTEE

1. In the event the Committee approves a sanction of suspension, dismissal, removal from University Housing, academic degree revocation, or loss of recognition of campus organizations, the Responding Party may request a review of the finding or sanction. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, all Parties have the right to a review of any finding(s) or sanction(s).
2. Requests for review will be in writing, state the issue(s) to be reviewed, and provide a detailed rationale for the request. The written request for a review will be submitted to the Officer within seven (7) calendar days after the Party(ies) has received notice of the Committee finding(s) and shall not exceed five (5) pages in length.
3. If the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking, the review request will be shared with the other Party(ies), who may file a response within five (5) calendar days and/or bring their own review on separate grounds within the original timeframe. If new grounds are raised, the party requesting the review will be permitted to submit a written response to these new grounds within five (5) calendar days. This response will be shared with all Parties.
4. Campus president or designee will appoint a Review Panel as described in Section VII below.
5. The request for review to the Review Panel will be limited to the following grounds:
 - a. A procedural error or omission occurred that significantly impacted the outcome of the process (e.g. substantiated bias, material deviation from established procedures, etc.).
 - b. To consider new evidence, unknown or unavailable during the original hearing or investigation, that could substantially impact the original finding or sanction. A summary of this new evidence and its potential impact will be included.
 - c. The sanction imposed is significantly disproportionate to the severity of the violation and the cumulative record of the Responding Party.
6. The Review Panel will review request(s) for review. The original finding(s) and sanction(s) will stand if the request for review is not timely or is not based on the grounds listed above in Section V.H(5), and such a decision is final.
7. If the Review Panel finds that at least one of the review grounds is met by at least one party, additional principles governing the hearing of review will include the following:
 - a. The Review Panel may make changes to the finding only where there is clear error and to the sanction(s) only if there is a compelling justification to do so.
 - b. A review hearing is not intended to be a full re-hearing (de novo) of the allegation(s). A review to the Review Panel is limited to a review of the written documentation and recorded record of the Committee hearing regarding the grounds for review, and any new information provided by Parties. A review is not an opportunity for the Review Panel to substitute their judgment for that of the Committee merely because it disagrees with the Committee finding(s) and/or sanction(s). Reviews may be remanded to the original Committee or Officer at the discretion of the Review Panel. A remand to the original Committee or Officer cannot be reviewed.
 - c. In accordance with the Notification Standards, the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) will be informed of whether the grounds for a review are accepted and of the results of the review decision or remand.
 - d. A majority vote of the Review Panel will prevail.
 - e. Once the Review Panel has made a decision, the outcome is final. Further reviews are not permitted, even if a decision or sanction is changed on remand, except in the case of a new hearing before a new Committee or Officer, if ordered by the Review Panel.
 - f. In accordance with the Notification Standards, the Responding Party (and the Reporting Party, if the alleged violation is Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking) will be informed in writing of the outcome of the Review Panel.
 - g. In a case of a Violent Crime the University may disclose the final results of the Review Panel to the victim, regardless of whether the University concluded a violation was committed.
8. In rare cases where a procedural (or substantive) error cannot be cured by the Review Panel (as in cases of bias), the Review Panel may recommend a new hearing with a new Committee. The results of the new Committee hearing may be reviewed, once, on any of the three (3) applicable grounds for review stated in Section V.H(5) above.
9. In cases where the review results in reinstatement to the University or resumption of privileges, all reasonable attempts will be made to restore the Responding Party to his/her/their/its prior status.

VI. STUDENT CONDUCT COMMITTEE COMPOSITION

- A. Committee members will be identified by campus presidents or their designee(s).
- B. Each University campus will identify from their respective campus, at least three (3) people, who can serve as trained Committee members, each in the following categories:
 - 1. Enrolled students;
 - 2. Faculty members; and
 - 3. Staff members.
- C. Each hearing Committee will have at least three (3) and no more than seven (7) members consisting of:
 - 1. Committee Chair who is either a faculty or staff member;
 - 2. At least one (1) enrolled student; and
 - 3. At least one (1) faculty or staff member.
- D. All members of a hearing Committee will avoid both the appearance and reality of any conflict of interest. Any Committee member who has a potential conflict of interest or feels that s/he is unable to render an unbiased decision in the case will decline assignment to that Committee.
- E. The composition of the Committee will have equitable gender representation whenever practicable.

VII. REVIEW PANEL COMPOSITION

- A. At the discretion of each campus president or designee, the Review Panel shall consist of either:
 - 1. One (1) person who is a faculty or staff member, as identified by the campus president or designee; or
 - 2. Three (3) members which shall include:
 - a. One (1) faculty or staff member identified by the campus president;
 - b. One (1) enrolled student; and
 - c. One (1) Committee member.
- B. All Review Panel members may not have previous involvement with the current matter. All members of a Review Panel will avoid both the appearance and reality of any conflict of interest. Any Review Panel member who has a potential conflict of interest or feels that s/he is unable to render an unbiased decision in the case will decline assignment to that Review Panel.

VIII. TRAINING

- A. The following individuals will have annual training on issues related to Dating Violence, Domestic Violence, Gender Discrimination, Sexual Assault, Sexual Harassment, or Stalking and how to conduct an investigation and hearing process that protects the safety of individuals involved and promotes accountability:
 - 1. Campus presidents' designee(s);
 - 2. Officers;
 - 3. Individuals responsible for conducting Preliminary Inquiry or Formal Investigations;
 - 4. Committee members; and
 - 5. Review Panel members.

IX. SPECIFIC PROCEDURES WITH RESPECT TO DATING VIOLENCE, DOMESTIC VIOLENCE, SEXUAL ASSAULT, OR STALKING

The University prohibits Dating Violence, Domestic Violence, Sexual Assault, or Stalking. In such cases, the University will provide a prompt, fair, and impartial investigation and resolution. This process will be conducted by University Employees who receive annual training on these issues, and on how to conduct an investigation and hearing process that protects the safety of individuals involved and promotes accountability.

- A. Reporting a Violation
 - 1. Individuals may elect to report an incident to Campus Authorities, local law enforcement, both, or neither.
 - 2. Should a Reporting Party elect to report an incident to local law enforcement, Campus Authorities are available to assist with this process at the Reporting Party's request.
 - 3. Reporting Parties should, if possible, attempt to preserve any evidence. This evidence could prove crucial should the Reporting Party choose to report a violation of the Code, report a criminal act to local law enforcement, or seek an order of protection from abuse or harassment from the courts.
 - 4. As with other violations of the Code, and in accordance with federal law, the Preponderance of the Evidence standard will be used to determine whether a violation of the Code has occurred.
- B. Sanctions and Protective Measures
 - 1. Separate from the sanctions outlined in Section IV, it is within the University's power to impose remedial measures for the Parties.
 - 2. Even if a Reporting Party chooses not to pursue disciplinary proceedings under the Code or report the incident

to law enforcement, the Reporting Party should consider talking to Title IX Coordinator or the Deputy Coordinator about the possibility of remedial measures, as many measures (such as counseling or changing classes) may be possible regardless of whether an investigation is initiated.

3. Examples of possible remedial measures include:
 1. Changes in housing, classes, or transportation in order to avoid contact between the Parties;
 2. No-contact directives; and
 3. Helping connect the Parties to access services on campus and in the community, including counseling.
 4. Additional information on resources, including details about free on-campus counseling services and other resources on campus and in the community, may be found in the University's policy pamphlet on sexual assault, domestic violence, dating violence, and stalking.
- C. Confidentiality
1. Under federal law, the University is required to report statistics regarding the occurrence of certain crimes in the University community. When reporting these statistics the University withholds the names of Parties as confidential and, to the extent permissible by law, withholds any other information that may serve to identify the Parties.
 2. If a Reporting Party requests that their name or other identifiable information not be disclosed to the Responding Party, the University's ability to respond to the incident and pursue disciplinary action may be limited. Reporting Parties should note that, under Title IX of the Education Amendments of 1972, retaliation against a Party is prohibited. University Employees will take steps to prevent retaliation and will take responsive action if retaliation is found to have occurred.

X. STUDENT CONDUCT CODE REVIEW BOARD

- A. The Student Conduct Code Review Board will be responsible for:
 1. Considering all proposed amendments to the Code and acting as an advisor to the Board of Trustees in matters pertaining to the Code; and
 2. Sending recommendations on proposed amendments of the Code to the President's Council and Chancellor for transmission to the Board of Trustees.
- B. The Student Conduct Code Review Board will be composed of the following:
 1. From each campus of the University:
 - a. One (1) Officer;
 - b. One (1) Committee chair; and
 - c. One (1) enrolled student appointed by the President or his/her designee after seeking nominations from student representatives.
 2. One (1) enrolled student who is in a distance education program. This enrolled student will be appointed by the Vice Chancellor for Academic Affairs or his/her designee.
 3. One (1) representative from the Board of Trustees.
 4. One (1) representative appointed by Chancellor.
- C. The Chancellor's representative will be responsible for calling the Student Conduct Code Review Board into session.
- D. The Student Conduct Code Review Board will meet at least once every three (3) years, but may meet more often when requested by the following:
 1. Officers representing at least two (2) campuses of the University;
 2. Student government officers representing at least two (2) campuses of the University; or
 3. The Chancellor.

XI. AMENDING THE STUDENT CONDUCT CODE

The Board of Trustees will act upon proposed amendments to the Code after receiving recommendations of the Student Conduct Code Review Board, the President's Council of the University System, and the Chancellor. As provisions of the Code are subject to periodic review and change, the most recent and current copy of the Code may be obtained through the University of Maine System Chief Student Affairs Office or the Student Affairs Office on each campus.

Revised by the Student Conduct Code Review Board and accepted by the Board of Trustees, **19 March 2018**

Effective Date: July 1, 2018



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Fort Kent, ME 04743-1292

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April 15, 2021

To: Robert Placido, Vice Chancellor of Academic Affairs

From: Deb Hedeon, UMFk President and Provost

RE: UMFk Academic Structure Effective 2021-2022

The University of Maine at Fort Kent is requesting approval of an academic structure that aligns with the administrative changes of combining the President and Provost as one position in 2019-2020.

Two Dean positions. It is important to have two Dean positions (not AFUM members) that have administrative authority of faculty performance, evaluations, and decision-making responsibilities. The combination of the President and Provost position has created a flat administrative structure with limited due process for faculty. The Dean positions provide faculty with another level of faculty performance and evaluation feedback.

Division Dean salaries have been part of the budget since 2019-2020.

Four Unit Chair positions. Behavioral Science, Natural Sciences, Humanities and Professional Studies Unit Chairs are AFUM members. Nursing, Dean serves as Unit Chair required for CCNE accreditation.

Proposed Academic Structure Effective 2021-2022. Approved by Faculty Assembly 1-20-2021.
President and Provost

Two Divisions

Dean, Nursing, Behavioral Science & Allied Health Division

Nursing Unit Chair – Dean serves as Unit Chair, Accreditation Requirement

Behavioral Science Unit Chair

Dean, Arts & Sciences and Professional Studies Division

Natural Sciences Unit Chair

Programs Leads – Biology, Environmental Studies, Forestry,
Conservation Law Enforcement

Humanities and Professional Studies Unit Chair

Programs Leads – Rural Public Safety, Business,
Computer Applications/Cybersecurity, English, French, BAS



2020-2021 Revised Pilot Academic Structure

President and Provost

Two Divisions

Dean, Nursing, Behavioral Science & Allied Health Division

Nursing Unit Chair

Behavioral Science Unit Chair

Interim Dean, Arts & Sciences and Professional Studies Division

Natural Sciences Unit Chair

Programs Leads – Biology, Environmental Studies, Forestry,
Conservation Law Enforcement

Professional Studies Unit Chair

Programs Leads – Rural Public Safety, Business,
Computer Applications/Cybersecurity

Arts & Humanities Unit Chair

Program Leads – English, French, BAS

2019-2020 Pilot Academic Structure

Interim President and Provost

Two Divisions

Dean, Nursing, Behavioral Science & Allied Health Division

Program Coordinators – Nursing and Behavioral Science

Interim Dean, Arts & Sciences and Professional Studies Division

Natural Sciences Unit Chair

Program Coordinators – Biology, Environmental Studies, Forestry,
Conservation Law Enforcement

Professional Studies Unit Chair

Program Coordinators – Rural Public Safety, Business,
Computer Applications/Cybersecurity

Arts & Humanities Unit Chair

Program Coordinators – English, French, BAS

2018-2019 Academic Structure

President

Vice President for Academic Affairs

Four Divisions

Chair of Arts & Humanities Division

Program Coordinators – English, French, BAS

Chair of Natural & Behavioral Sciences Division

Program Coordinators – Behavioral Science/Social Science, Biology, Forestry

Director of Nursing Division

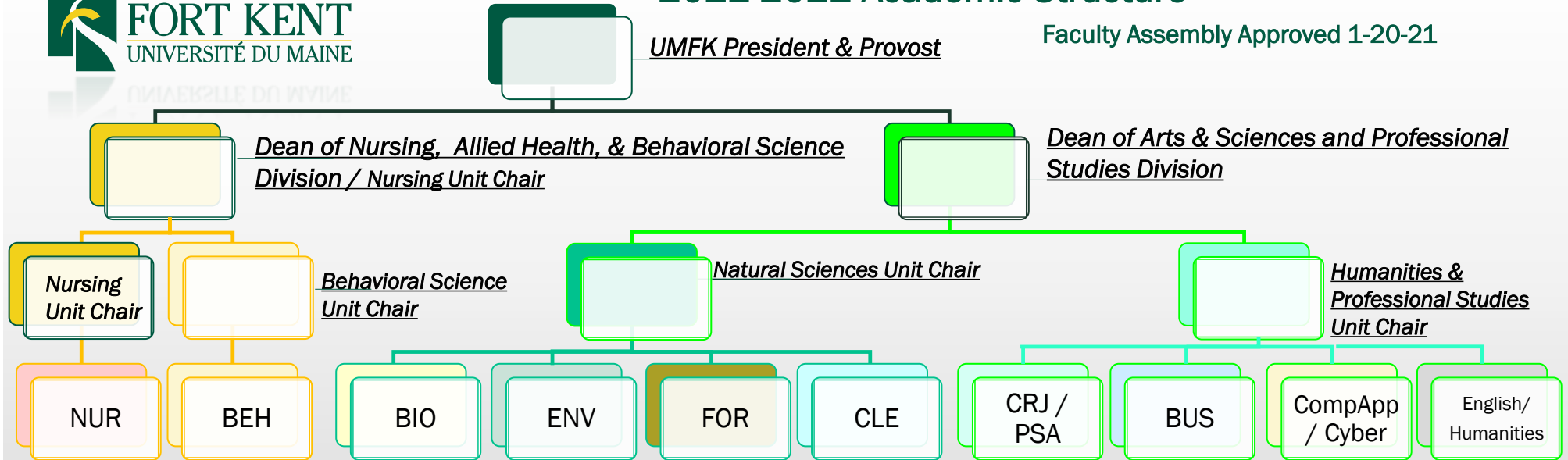
Chair of Professional Studies Division

Program Coordinators – Business, Rural Public Safety, Conservation Law Enforcement,
Computer Applications/Cybersecurity

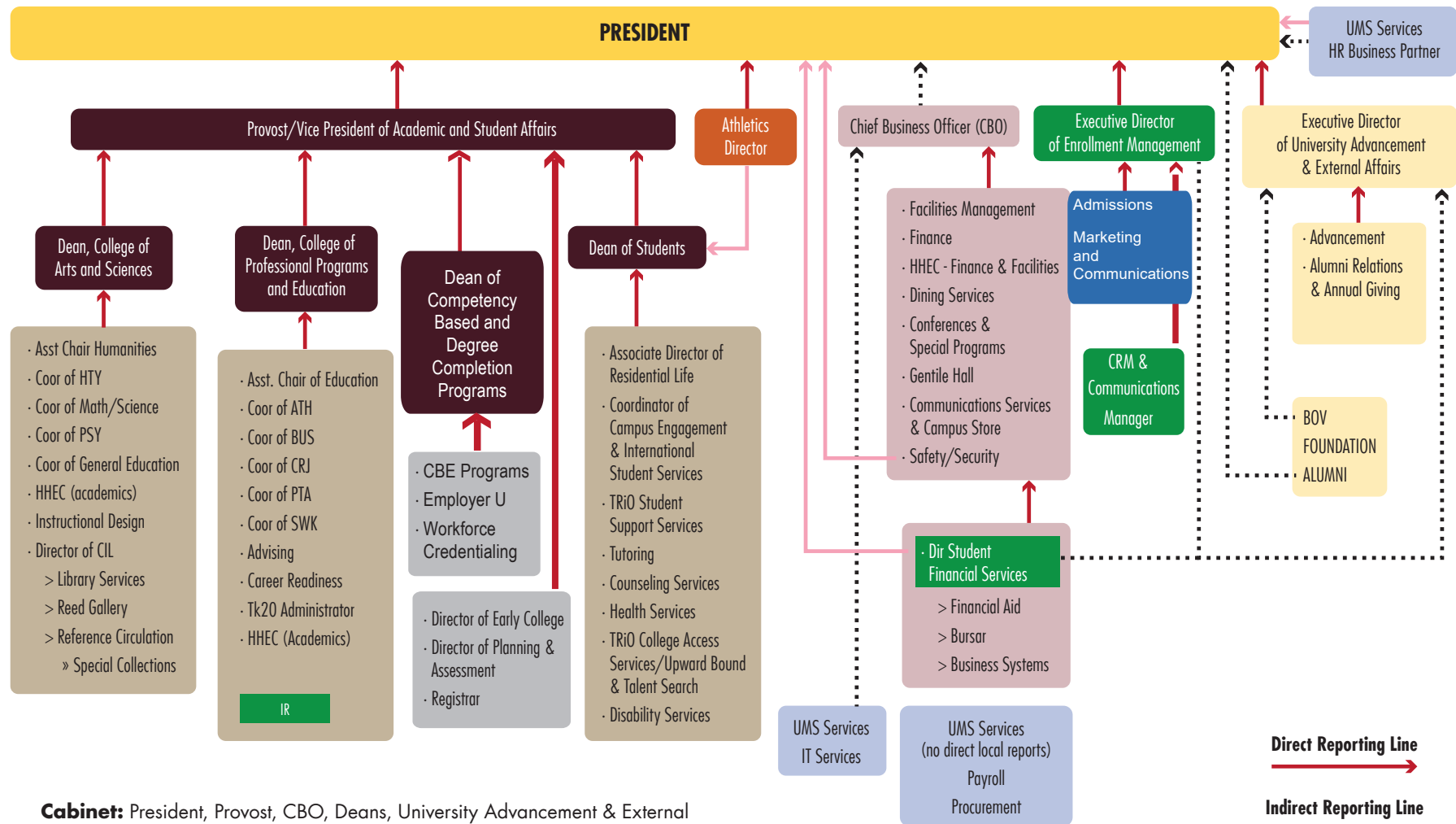


2021-2022 Academic Structure

Faculty Assembly Approved 1-20-21



University of Maine at Presque Isle Organizational Chart



Cabinet: President, Provost, CBO, Deans, University Advancement & External Affairs, Enrollment Management, Student Financial Services, HR Business Partner

Provost Council: Deans, Registrar, Planning & Assessment, Student Support Services, Advising, CIL, HHEC, General Education, Early College, Instructional Design, Career Readiness, CBE



To: Chancellor Dannell Malloy

From: President Raymond Rice, University of Maine at Presque Isle

Topic: Proposal to Establish a new academic unit: "College of Degree Completion and Credentialing"

Date: January 26, 2021/ April 13, 2021 (revised)

Overview

This is a request to establish a new unit, the "College of Degree Completion and Credentialing" (CDCC) at the University of Maine at Presque Isle. The College will be led by a concurrently established new administrator, the "Dean of Competency-Based and Degree Completion Programs" (see attached document for further details). This position will hold a dual reporting line, both to the President of UMPI and to the Vice Chancellor of Academic Affairs (or appropriate designee), and will be responsible for the development, oversight, and delivery of CBE undergraduate and graduate level programming as well as credentialing programming utilizing a competency-based platform. The individual will oversee current CBE programming established by UMPI as well as develop majors and other credentials from other UMS institutions for nationwide delivery through UMPI's YourPace platform. The individual will be responsible for recommending processes and procedures for revenue sharing and curricular oversight among all partnering institutions. Approximately 1/3 of the individual's workload will be assigned to UMS administration, which will include reporting to the Vice Chancellor in regards to competency based education initiatives and developments at a national as well as regional level; serving on the Micro-credential Committee of the Associate Vice Chancellor and facilitating in the development of initiatives both within a CBE modality and in other modalities; working with appropriate academic administrators to develop CBE programming across the UMS; and assist in providing appropriate competency-based accreditation documentation to the UMS. The individual will also serve as a University and UMS liaison to Academic Partnerships and its marketing of CBE programming. This individual will also represent both UMPI and the UMS to the Competency Based Education Network (C-BEN), a national network of over 100 institutions, employers, and experts committed to developing the potential of competency-based learning to ensure that education and training is more flexible, responsible, and valuable. C-BEN is a recognized national leader in providing curriculum quality framework, programmatic design, and assessment within the competency learning environment; UMPI has been a member of the organization since 2015 as part of a national cohort of institutions made possible through a Lumina Foundation grant. UMPI's president currently serves as a member of C-BEN's Executive Board. See <https://www.cbenetwork.org/> for further information.

UMPI will provide the organizational structure, staffing, and instructional design support for the development and delivery of CBE programming for the UMS. The staffing of this unit will be supported solely by revenue generated by CBE programs both at UMPI and across the UMS.

UMPI began work in the CBE modality four years ago with a single program (Business Administration). Since the initial semester offerings, enrollment has grown from under 2,000 credit hours per annum to over 7,000 projected (FY22), the biggest growth achieved by the institution either through modality or program during that time period. As detailed below, the YourPace programming now includes 6 undergraduate majors (with 3 more planned to be available within the next 18 months) and 1 graduate

program. UMPI is reaching capacity both in terms of campus human resources and available academic programming. More importantly, given the experience, and, just as importantly, the accreditation approval within a unified environment, that UMPI now maintains provides for the opportunity to expand this modality to additional UMS campuses within academic programs specific to those institutions. This would be a critical component toward reaching UMS goals of providing degrees and certificates to individuals with some college but no degrees within the State of Maine but also within a national context, as the CBE modality is recognized, first and foremost, as a degree-completion, workforce-oriented platform.

Competency-Based Education: As defined by C-BEN, competency-based education CBE is a flexible way for students to get credit for what they know, build on their knowledge and skills by learning more at their own pace, and earn high-quality degrees, certificates, and other credentials that help them in their lives and careers. CBE focuses on what students must know and be able to do to earn degrees and other credentials. Progress is measured by students demonstrating through valid, reliably assessed learning objectives that they have acquired knowledge and skills required to earn degrees or other credentials in a particular academic discipline or field of study, regardless of the amount of time spent. In such a model, learning often occurs within a fully (totally) asynchronous environment within programmatic modules that address specific learning objectives. Modules are often “bundled” together into what appear on transcripts as traditional course “credits.” Students can move at their own pace within each module and often pay flat subscription rates rather than credit-based tuition and fees. UMPI YourPace students, for instance, pay a flat fee per subscription period (7 week periods that start 6 times per year, thus broken out—roughly—into a fall/spring/summer pattern). Each module contains multiple benchmark activities leading up to a summative authentic learning experience activity (in which students are often asked to employ experiences from their working environment) that is measured by a multi-part rubric, assessing the overall learning outcome for the module and specific sub-divisions of that outcome. Students may continue work in such modules until they achieve (as per NECHE guidelines) “excellence or near-excellence” in assessment. Generally, CBE programs “disaggregate” the traditional faculty roles into three separate ones: curriculum specialists, assessment specialists, and course/content experts. UMPI pays its faculty for these separate roles, although many faculty serve, at various times, in each of the three capacities.

Specialized Regional Accreditation: UMPI received specific accreditation from NECHE to provide competency-based education. As agreed upon by the seven regional accreditors, CBE programming was required to meet an even higher level of standards in regards to evidence and support both to receive accreditation and to maintain that accreditation. That additional regulation can be found here: https://www.insidehighered.com/sites/default/server_files/files/C-RAC%20CBE%20Statement%20Press%20Release%206%202.pdf. In summary, it demands that all curricular and assessment material be provided at the outset of any accreditation process and that any institution utilizing such programming demonstrate that students must demonstrate excellence in mastery of all learning outcomes to receive academic credit within the modality. This is clearly a much higher bar for student success—and required support for that success—than “traditional” educational modalities in which faculty can provide final assessments running the full spectrum of the letter grade system (including a D-). Virtually only “A” work is acceptable in this modality. As the only institution in the UMS approved to deliver and support such programming—and still the only public institution in New England to be approved to do so—UMPI has developed faculty, staff, and administration (as detailed below) that

are trained not only in developing and delivering such material but also in ensuring that such programming provides the support necessary to empower students to achieve “excellence” in each and every program learning outcome. In a unified environment, the UMS is now positioned to take full advantage of this institutionalized specialization and scale out the programmatic options available to learners seeking out CBE. UMPI can thus provide that environment for students, from marketing to admissions to daily engagement and support for CBE students, while allowing fellow institutions to expand their existing programming into the CBE environment

Current Resources

The current staff associated with the CBE offerings at UMPI serve as a distinct unit reporting to the Dean of the College of Professional Programs (CBE first started with Business Administration programming at UMPI). This unit would thus migrate to the new College under its inaugural Dean. The unit provides all student services (i.e., advising, coaching, admissions counseling) and instructional design/development for CBE modalities of existing UMPI programs. The unit does not include any faculty (full or part-time), who are contracted separately per an AFUM agreement to instruct CBE modules. This ensures that the approved/accredited curriculum for all programming resides under the appropriate academic colleges. This model would be continued under the new College (and thus apply to all agreements with other UMS institutions).

The current positions and costs are as follows (excluding the cost of the Dean of the College of Professional Programs who currently oversees operations):

Title	FY22 Base	FY22 Fringe	Total
YourPace Curriculum Coordinator	32,583	17,595	50,178
YourPace Admissions Coordinator	38,957	21,037	59,994
CBE Academic Success Coach	40,170	21,692	61,862
YourPace Professional Advisor/interimDirector of Operations	<u>50,393</u>	<u>27,212</u>	<u>77,605</u>
Total	<u>162,103</u>	<u>87,536</u>	<u>249,639</u>

These individuals represent the support generally provided in CBE programming: (1) curriculum/ instructional design; (2) high touch admissions; (3) success coaching for each student; (4) CBE-specific advising for each student. Thus, each CBE student is assigned both a coach and a professional advisor. Faculty work with the curriculum coordinator (and an additional instructional designer at the UMPI campus) to design their modules within the platform. The admissions coordinator works with the campus Admissions staff to ensure that the specific inquiries for CBE students are tracked and attended to (including extensive transfer/prior credit assessment) and students are provided information within 48 hours of their application into admittance within the program. Please note that, currently, the Professional Advisor serves as Director of Operations, overseeing daily functionality within the unit and providing general coordination among the services. In the absence of an Executive Director or Dean, this individual thus picked up these essential duties in order to best manage the staff and monitor

customer experience. The Dean would make final recommendations if and when this position should be revised and potentially separate those functions.

System Wide Scaling of Degree Completion Programming

The success of UMPI's CBE (YourPace™) programming is a clear indication of both marketplace viability for curriculum provided in a modality designed explicitly for adult learners in (primarily) degree-completion situations as well as the ability of the University of Maine System to continue to expand its programming to greater numbers of learners, both in Maine and beyond. YourPace enrollments in primarily three programs have grown from 2,000 annual credit hours to over 7,000 in just four years. With four additional programs starting this fall, those numbers should easily expand to over 10,000 credit hours for the 2023 projections.

The new Dean would ensure that multiple undergraduate and graduate programming, currently provided at UMS institutions, would systematically be incorporated within the YourPace framework. The Dean will work directly with Provosts and academic Deans to ascertain the most appropriate programs to develop within a CBE modality and set up a multi-year calendar for programmatic planning and roll-outs. Additionally, the Dean will work with appropriate officials (i.e., CBOs) to ensure equitable fiscal planning as well as staffing within the programs. Each UMS institution will retain complete curricular autonomy of any programming including within the YourPace network and be responsible for providing faculty appropriate for the delivery of the programming. The Dean will be responsible for the coordination of all processes—including any coordination with Academic Partnership—to ensure the marketing, admitting, and delivery of the programming. The Dean will also provide annual reports to the Academic Affairs office in regards to such work, including detailed enrollment and fiscal reports.

The new Dean will assist in the process of investigating majors and programs that would be appropriate for CBE delivery, including meeting with faculty and administrators in regards to how such programming would be delivered and the services provided to students through the YourPace (UMPI) staffing.

All YourPace staff positions will be maintained solely through the revenue generated through the CBE programming; this same model will apply when a separate unit is created. In order to support the additional staffing that would be required as additional programs associated with other UMS campuses are added, a per capita fee will be charged as part of the delivery model to those campuses. However, all tuition revenue (minus the percentage allocated to AP) would be maintained exclusively by the campuses providing the CBE content (within individual CBE units or modules which are aggregated into conventional 3 and 4 credit "classes") in any given program.

The addition of staff members as capacity is exceeded will be critical for our ability to maintain the "high touch" approach used by CBE programming in terms of coaching and advising. For instance, CBE program national standards generally suggests that coaches and advisors should service no more than 150-200 students (although different institutions vary in their specific numbers) in any given subscription period. UMPI is already at or near the limit in both the coaching and advising positions (and will likely need to add a position in each category if enrollment projections are correct by the end of the next fiscal year). Similarly, UMPI will be responsible for the successful development of CBE modules prior to the start date of any new program; partnering institutions will be charged to ensure that UMPI has the capacity to provide training and/or utilize content expert faculty to develop the CBE

modules (under the aegis of the curriculum experts at the partnering institutions). See below for information on proposed fees.

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In addition, the Dean shall be responsible for encouraging and developing cooperating programs between interested campuses for CBE modality delivery in support of system-wide degree completion initiatives.

Fees:

We propose the following fees for UMS partners to support the delivery of student services and growth of necessary positions as outlined above:

\$250/student per subscription period in which the student is enrolled in a supported undergraduate program

\$340/student per subscription period in which the student is enrolled in a supported graduate program

(Please note that the Dean, through consultation with appropriate campus and System leadership, will finalize the appropriate fee structure.)

This fee structure will allow UMPI to provide for all necessary staffing of the YourPace programming, and thus maintain responsibility (as accredited by NECHE) for the delivery of CBE content. At the same time, this structure ensures that each individual UMS institution maintains its curricular control over each program involved in the YourPace network and is responsible for the assignment of all faculty roles. Each UMS institution participating in this modality would thus retain all of the tuition income through each assigned competency unit minus the proposed fees.

Presuming a 150 student threshold for both the Success Coach and Professional Advisor positions and a greater threshold (approximately 300) for both curriculum coordination and additional admissions/enrollment support staff, these fees will allow UMPI to provide additional coaches and advisors for every 150 additional matriculated students; additional admissions and instructional designers will be provided at the 300 new matriculate threshold. These fees will also allow, below these thresholds, for UMPI to backfill part-time and reassignment of other current professionals on the

campus if necessary. This calculation presumes an average YourPace student will enroll in 4 out of 6 subscription periods (equivalent to a “traditional” academic year).

UMPI will be responsible for the development all new competency modules (under the direction of the curricular experts of each specific program) for new programs/majors. Individual campuses shall be wholly responsible for the curricular approval for engaging in the CBE modality and delivery. This cost for each module shall be \$1926, reflecting the AFUM agreement with UMPI of compensation for faculty at the “appropriate overload rate” of 1.5 credit hours. The \$1926 reflects the current equivalent of 1.5 credit hours of an assistant professor rank overload; an adjunct assistant professor rate at 1.5 credit hours is slightly below this amount (\$1834). This amount allows UMPI to assign the development of such modules to qualified adjuncts and full-time faculty, using the assistant professor rate as a median, thus accounting for variability in faculty ranks and compensation. The total cost for a program, presuming an average of 14 courses, would thus be \$26,964.

The Dean would be responsible for working with individual campuses to determine if their programming should be provided through partnering groups (i.e., Academic Partnerships) or be marketed separately. The Dean will also be responsible for providing a timeline of migrating the CBE content from its current LMS platform (Strut) to Brightspace (which will save additional cost).

Dean of Competency-Based and Degree Completion Programs

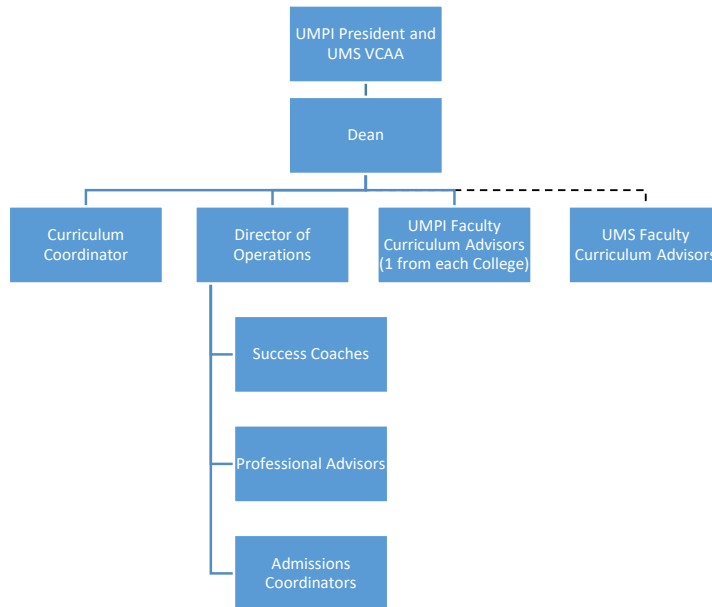
The Dean of Competency-Based and Degree Completion Programs (CBDCP) will be responsible for leading the university’s academic unit dedicated to educating adult learners in market-responsive undergraduate, graduate, and continuing education programs that are both credit and non-credit bearing. The Dean will maintain dual solid reporting lines to both the UMPI president and the VCAA and function as a key thought leader in developing a UMS YourPace competency-based program portfolio, workforce-oriented credentialing programming, and incorporating UMPI’s Employer U offerings within both degree and non-degree initiatives. The Dean will provide strategic leadership in developing affordable programs that meet student, workforce, and societal needs, as well as deliver academic programs and certificates with alternative access points, including those that address the lifelong learning needs of students and alumni. The Dean will be responsible for expanding UMS’ commitment to the “adult market,” or nontraditional learners in Maine and beyond, who seek to pursue undergraduate and graduate degrees and non-degree (but potentially stackable) credentials in service of dynamic career demands. The Dean will work closely with UMPI academic Deans, UMS leadership, and other campus academic leaders to chart UMS’ approach to CBE programming specifically and to assist in UMS’ overall approach to continuing studies.

The CBDCP is responsible for maintaining all program agreements with UMS institutions for which CBE programming is provided. The Dean will also be responsible for preparing and disseminating regular reports on student success (i.e., retention and completion rates) for all CBE programming to the UMS and individual institutional partners. The CBDCP also serves as the primary point of contact with Academic Partnerships and all agreements and services provided to CBE programming.

The CBDCP is expected to start from 70-85k (based upon prior experience), for a total of 120-140k in costs. UMPI is requesting seed funds equivalent to at least 30% from UMS to fund Year 1 and Year 2 of this position, with the potential of the UMS to continue such funding on a permanent basis, if both parties agree to the success and continued potential for the collaborative, UMS-wide nature of the

position. The ideal outcome for this position is thus one with a permanent dual reporting (and budget) line, reflecting its inherent dual service at an institutional and system level.

Proposed Organizational chart



The CBDCP Dean will hold dual solid matrix reporting lines, one to the UMPI President (more specifically, to the Provost functionality of UMPI's President/Provost), the second to the UMS VCAA. In addition, the Dean will hold a dotted line reporting relationship to the Associate Vice Chancellor for Academic Affairs to help ensure coordination of credentialing development in CBE modalities across the UMS with YourPace programming. The Dean's direct reporting line to the UMPI President/Provost will be incongruence with the direct reporting lines of the Academic and Student Affairs deans of that campus. The CBDCP Dean will oversee three direct reports: (1) Director of Operations, (2) Curriculum Coordinator(s), (3) UMPI Faculty Curriculum Advisors. In addition, the Dean will hold dotted line relationships to Faculty Curriculum Advisors assigned by partnering UMS institutions to ensure appropriate curriculum control and oversight of non-UMPI programming on behalf of those institutions. The Director of Operations will have daily operational oversight of Success Coaches, Professional Advisors, and Admissions Coordinators.

Dean of Competency-Based and Degree Completion Programs

The Dean of Competency-Based and Degree Completion Programs (CBDCP) is responsible for leading the university's academic unit dedicated to educating adult learners in market-responsive undergraduate, graduate, and continuing education programs that are both credit and non-credit bearing. Reporting to the Provost, the Dean will be a key thought leader in developing UMPI's YourPace competency-based program portfolio, workforce-oriented credentialing programming, and incorporating the university's Employer U offerings within both degree and non-degree initiatives. The Dean will provide strategic leadership in developing affordable programs that meet student, workforce, and societal needs, as well as deliver academic programs and certificates with alternative access points, including those that address the lifelong learning needs of students and alumni. The Dean will be responsible for expanding the university's commitment to the "adult market," or nontraditional learners in Maine and beyond, who seek to pursue undergraduate and graduate degrees and non-degree (but potentially stackable) credentials in service of dynamic career demands. The Dean will work closely with academic Deans, the Executive Director of Development, the Director of Early College Programming, and other cabinet-level leadership to chart UMPI's overall approach to continuing studies.

Leadership

- Provides overall leadership and creates an environment of excellence for competency-based education (CBE) at UMPI and the UMS more generally within a unified accreditation environment.
- Builds capacity across the UMS for faculty to develop competency-based curriculum and teach in a competency-based modality, learning architects / course designers in constructing CBE curriculum, and UMS governance to properly review CBE programs and policy changes.
- Ensures the continuous improvement in the CBE learning modality.
- Partners with the business and operations teams to ensure delivery of a unified student learning experience.
- Promotes retention and persistence / progression through evidence-based practices.
- Provides thought leadership to the UMS and the wider CBE community in terms of degree completion and credentialing.
- Integrates UMPI's mission and vision within all CBE learning modality initiatives, including credentialing and badging; ensures that UMS's broader mission is reflected in all CBE initiatives.
- Fosters a culture of evidence and promotes a variety of research and assessment activities designed to document the academic quality of UMPI's CBE programs.
- Participates in strategic planning and development of key internal and external University and UMS resources and relationships.

Management:

- Establish and manage a new Degree Completion Credentialing College at the university employing Competency-Based Education and credentialing programming with direct responsibility for any budget and personnel associated with the College.
- Successfully drives the intermediate and long-range goals and plans of CBE and the College and all UMS partners with enrollment management in growth efforts aimed at recruiting, advancing, and maintaining a diverse learning community of faculty, staff, and students.
- Monitor and ensure CBE curriculum quality in partnership with UMPI and UMS leadership and curriculum development teams.
- Supports marketing initiatives to foster the growth of competency-based education and other degree completion programs across the UMS.

External Relations:

- Acts as lead representative for the university for all adult learning, degree completion, and credentialing committees and initiatives at the University of Maine System level.
- Acts as lead representative for the UMS at all C-BEN convenings.
- Develops appropriate partnerships consistent with the UMS's mission.
- Represents the UMS at appropriate professional meetings and conferences related to CBE and other new modalities of learning.
- Supports the preparation of appropriate documentation for accrediting and other agencies.

UNIVERSITY OF MAINE SYSTEM
Board of Trustees
AGENDA CALENDAR

A working calendar for developing agendas and submitting various reports to the Board has been designed in order to allow maximum planning in organizing presentations and reference materials. The calendar identifies the timetable for submission of items and reports which recur every six to 24 months as well as special reports with specific time lines. It does not include general items which are ordinarily on each Board meeting agenda; e.g., reports and consent agenda. The following agenda is subject to change consistent with scheduling, reporting, and other factors that the Chancellor deems necessary to consider such matters.

The Calendar will be updated and included in the Board Meeting materials on a regular basis.

- JANUARY:** Academic Affairs
 Honorary Degree Nominations
 Fiscal Matters
 State Research Report
- MARCH:** Academic Affairs
 Tenure Nominations
 Tenure Report
 Governance/Administration
 Board Calendar
 Establishment of Nominating Committee
 Student Affairs
 Spring Enrollment Update
 Fiscal Matters
 Multi-Year Financial Analysis
- MAY:** Fiscal Matters
 Budgets and Student Charges
 Governance/Administration
 Election of Board Officers
 Confirmation of Board of Visitors
- JULY:** Governance/Administration
 Appointment of Standing Committees
 Human Resources
 Annual Report on Named Chairs and Professorships
- SEPTEMBER:** Fiscal Matters
 Appropriation Request
 Multi-Year Financial Analysis
- OCTOBER:** Fiscal Matters
 Review of Annual Financial Report
- NOVEMBER:** Academic Affairs
 Awarding of Academic Degrees
 Academic Year Calendar

 Student Affairs
 Official Fall Enrollment Update

Capital Project Status Report

Executive Summary

Overview:

Attached is the Capital Project Status Report for the May 23-24, 2021 meeting of the Board of Trustees. The report reflects a total of 18 projects; one project has been removed and one new project, UM's Neville Hall renovations, has been added since the last report.

In reviewing the status graphs at the end of this report a noted increase in the Total approved BOT estimated expenditures is visible. This is mainly due to the recently approved budget increase for USM's Portland development projects – Portland Commons and Career and Student Success Center. The graph reflecting the Total Approved Funding by Source lags behind the estimated expenditures graph as funding for the projects is set up in the financial system.

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, impacts continue.

- Projects previously placed on hold have been re-visioned. Two of which are being addressed in agenda items at this meeting. One remains on hold.
- Previously reported impacts continue to be relevant.
 - In particular, suppliers continue to notify contractors of material shortages and delays with potential schedule and cost impacts to our projects.

Bond Project Status Report:

The special portion of this report calling out only bond projects reflects forty-four (44) projects; an increase in nine projects since the last report. The new projects include four projects at UMA and five at UMF. The projects are currently estimated to account for more than \$41 million of the \$49 million in voter approved general obligation bond funding. Just over \$13 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 over \$61 million, including the bond funding and other project resources. The University continues to invest in additional projects as well.

- A new section was added to the end of the report that separates projects which are complete and closed out from the ones in progress. This section reflects 11 projects that are complete. Additionally, two projects listed as complete remain in the active table while closeout is completed; and one project is substantially complete.
- Nine (9) of the active bond projects also appear on the Capital Project Status Report with approved budgets above board threshold.
- Three (3) 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. One of those, UMPI's Wieden Hall Renovation, is currently before the board.
- 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

5/13/2021

Status Report. As projects are completed they will be moved to the completed projects section on this report and will remain on the 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.

Research space approvals:

This report 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 at the January 2020 Board Meeting:

Upstart Center location in Orono - Wet Lab

Annual Cost: \$39,000 - Term: 4/15/21 - 4/15/22

Harold Alfond Foundation (HAF) Grant funded projects:

In support of the MCECIS program and the improvement of engineering, teaching and research facilities on the UMaine campus, the University issued a request for qualifications for design firms to prepare a Master Plan for the relevant buildings. Responses are due May 12th and the selection process is expected to be complete by July, 2021.

USM Portland Development Project:

Abatement and demolition of the existing buildings began in earnest immediately following board approval in March. Site excavation focused on the Portland Commons and contractor mobilization are underway. Foundations are scheduled to begin in late May.

A virtual groundbreaking event is slated to be aired on May 20th.

UMF and UMPI Residential Housing P3 Initiative:

As reported at the March Board meeting, a Request for Qualifications was issued to gauge interest in the project from potential developers. There was significant interest as a number of qualifications were received. After reviewing the packages, a Request for Proposals was issued to the five potential partners deemed to be qualified. Proposals are due in early May at which time the university teams will work to select a partner for these projects. UMF/UMPI plan to seek FFT/BOT approval to enter an agreement with the selected partner in the July FFT/BOT meeting.

UM Historic Building P3 Initiative:

The University of Maine received proposals from qualified firms for the redevelopment of Coburn and Holmes Halls in February and held interviews to further qualify and assist in the selection of the interested teams. Negotiation with a selected partner is expected to begin soon.

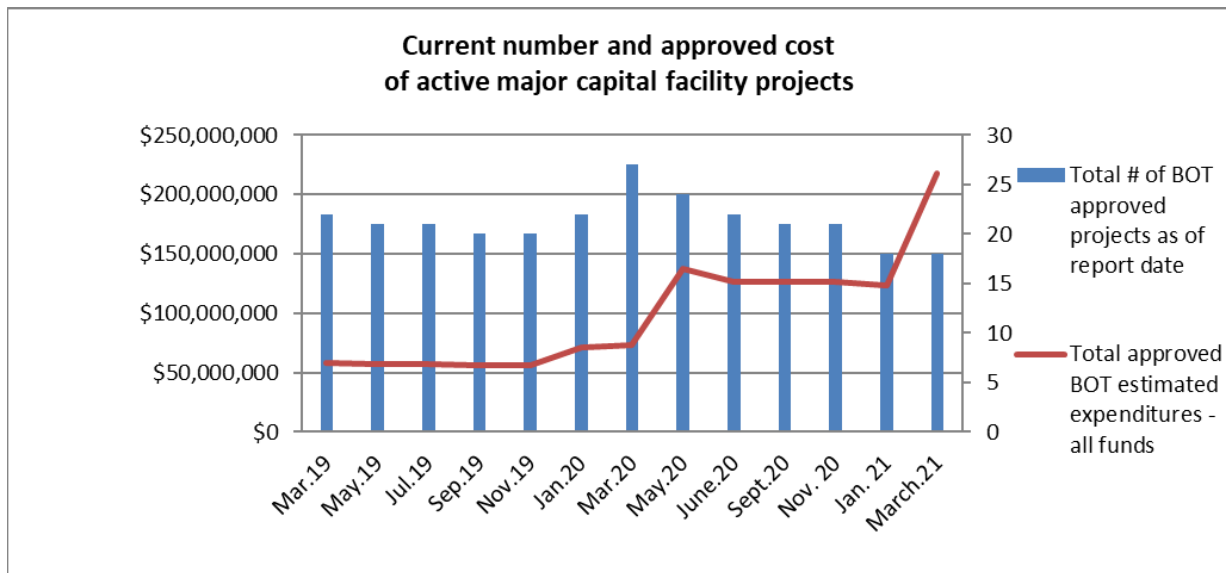
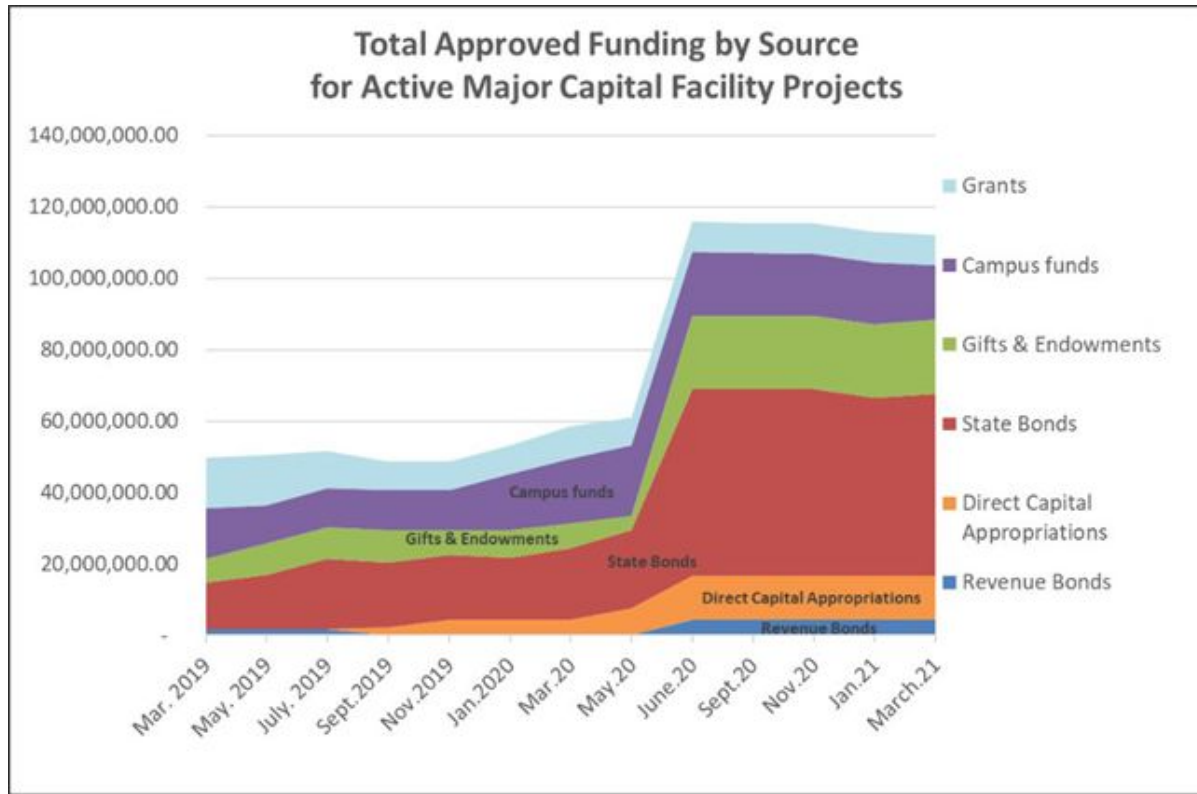
UM Ferland Engineering Education & Design Center Project:

Metal decking installation at each floor level is complete. Preparation work is underway for concrete placement on the floor decks beginning late April with completion by end of May. Exterior framing, sheathing, blocking, and insulation is in progress in preparation for exterior façade installation, beginning with brick in mid-May. Elevator and Stair shaft construction has begun. The project continues on schedule.

UMFK Enrollment and Advancement Center Update:

5/13/2021

The project is progressing on interior finishes, finalizing mechanical systems, and preparing for fireplace construction. Exterior siding is underway ahead of a June substantial completion.



*Direct Capital Appropriations funds consist of capital appropriations in anticipation of revenue bonding, as well as MEIF funds.

5/13/2021

Board of Trustees Meeting - May 2021 - Reports

Capital Project Status Report
Board Approved Projects
May 2021 - Board of Trustees
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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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 (7%), Campus E&G Funds (0%)	Project 5100316 is Complete, Project 5100414 Design in Progress, Project 5100432 is Complete	2014	2021	\$6,400,000	\$10,400,000	9,518,002	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 (63%), Campus E&G Funds (37%)	Substantially Complete	2017	2021	\$3,000,000	\$5,200,000	4,515,533	87%	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)	Campus Funds (87%), Grants (13%)	Construction in Progress	2024	2024	\$1,000,000	\$72,000,000	16,174,350	22%	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 (22%) Grants (78%)	Substantially Complete	2020	2021	\$450,000	\$1,400,000	727,158	52%	Board approved \$1,400,000 March, 2020
UM Energy Center Phase II (5100516, 5100517)	Campus E&G Funds (87%) / Grants (13%)	Pre-Design in Progress	2023	2022	\$5,700,000	\$5,700,000	372,548	7%	Board approved \$5.7M March, 2019.
*Neville Hall Renovations (5100534)	State Bond (100%)	Design in Progress	2021	2022	\$1,500,000	\$1,500,000	56,274	4%	Board approved up to \$1.5M expenditure in March 2021.

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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UMFK

UMFK Enrollment/Advancement Center (3100042)	Bond (100%)	Construction in Progress	2022	2021	\$3,249,000	\$3,249,000	1,258,130	39%	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 (54%), Campus E&G (46%)	Project 6100316 is Construction in progress, Project 6100323 is Complete	2019	2021	\$2,580,000	\$4,388,000	3,340,446	76%	Board approved \$2.58M in January, 2019.
**Career and Student Success Center and Portland Residence Hall (6100325, 6100338)	2018 State Bond (44%), Campus E&G (56%)	Construction in Progress	2020	2023	\$1,000,000	\$99,400,000	6,285,812	6%	Board approved \$1M in January, 2019. Board approved predevelopment expenditures of up to \$5.7M combined for the two projects in January 2020. Board approved an increase by \$93.7M in February 2021.
USM Center for the Arts (6100300)	Gifts (100%)	Design in Progress	2022	2023	\$1,000,000	\$1,000,000	709,585	71%	Board approved \$1M in January, 2018.

Board of Trustees Meeting - May 2021 - Reports

Capital Project Status Report
Board Approved Projects
May 2021 - Board of Trustees
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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USM

**Port Parking Garage Study (6100331)	Campus E&G Funds (100%)	Design in Progress	2022	2022	\$1,200,000	\$1,200,000	168,570	14%	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	276,382	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

Folsom 105 Nursing Renovation (7100026)	Bond (100%)	Substantially Complete	2020	2021	\$800,000	\$800,000	707,841	88%	Board approved \$800K March, 2020.
UMPI Solar Array (7100023)	Campus E&G Funds (100%)	Bidding	2020	2021	\$700,000	\$700,000	134,139	19%	Board approved \$700K June, 2020.

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 March 31, 2021 as a percentage of the current approved project estimate.
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Bond Project Status Report
Active Bond Projects
May 2021 - Board of Trustees
With Grand Totals and % of Current Approved Estimates

Campus, Project Name (Project ID)	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
UMA								
Augusta Campus Welcome Center (1100077)	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	\$307,740	\$305,000	
*Randall 2nd Floor Renovations (1100083)	Construction in Progress	2021	2021	Bond (100%)	\$100,000	\$36,165	\$100,000	
*Randall Center Student Lounge (1100084)	Construction in Progress	2021	2021	Bond (100%)	\$150,000	\$32,592	\$150,000	
*Randall Admissions Renovations (1200083)	Design in Progress	2021	2021	Bond (100%)	\$65,000	\$4,903	\$65,000	
*Katz Library HVAC Repairs (1200061)	Design in Progress	2021	2022	Bond (100%)	\$450,000	\$8,719	\$450,000	
Total Bond for Campus					\$4,456,433	\$766,940	\$8,970,000	
UMF								
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.
Scott Hall Renovations (2100092)	Construction in Progress	2019	2022	Bond (100%)	\$200,000	\$178,690	\$200,000	
*Scott North Renovation (2100109)	Design in Progress	2021	2021	Bond (0%)	\$150,000	\$0	\$150,000	
*Scott West Renovation (2100110)	Design in Progress	2021	2021	Bond (0%)	\$175,000	\$0	\$175,000	
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 Renovations (2100095)	Construction in Progress	2019	2022	Bond (100%)	\$200,000	\$29,074	\$200,000	
**274 Front St Renovation (2100096)	On Hold	2020	2022	Bond (100%)	\$450,000	\$18,744	\$1,000,000	Approved budget of \$450,000, as it remains in study/design phase.
*FRC Roof Replacement (2100111)	Design in Progress	2021	2021	Bond (0%)	\$60,000	\$0	\$60,000	
*FRC Façade Replacement (2100112)	Design in Progress	2022	2022	Bond (0%)	\$60,000	\$0	\$60,000	
Exterior Painting Merrill Hall (2200096)	Pre-Design in Progress	2020	2021	Bond (100%)	\$40,000	\$764	\$40,000	
**Olsen Center Renovations (2100102)	On Hold	2023	2023	Bond (100%)	\$1,900,000	\$62,247	\$1,900,000	Approved budget of \$300,000, as it remains in study/design phase.

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

Campus, Project Name (Project ID)	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
UMF								
Mantor Library Renovations (2100103)	Construction in Progress	2021	2022	Bond (100%)	\$300,000	\$220,925	\$300,000	
Campus ADA Ramps (2100104)	Construction in Progress	2021	2021	Bond (100%)	\$115,000	\$10,194	\$100,000	
Roberts HVAC Upgrade (2100106)	Design in Progress	2021	2021	Bond (100%)	\$150,000	\$10,524	\$150,000	
Merrill Hall HVAC Upgrade (2100107)	Design in Progress	2021	2021	Bond (100%)	\$400,000	\$0	\$400,000	
*Ricker Addition Renovation (2100108)	Design in Progress	2021	2021	Bond (0%)	\$175,000	\$0	\$175,000	
Total Bond for Campus					\$5,625,000	\$1,506,921	\$6,160,000	
UM								
**Neville Hall Renovation (5100534)	Design in Progress	2021	2022	Bond (100%), Campus E&G (0%)	\$1,500,000	\$56,274	\$1,500,000	Board approved up to \$1.5M expenditure in March 2021.
Total Bond for Campus					\$1,500,000	\$56,274	\$1,500,000	
UMFK								
UMFK Enrollment/Advancement Center (3100042)	Construction in Progress	2022	2021	Bond (100%)	\$3,249,000	\$1,258,130	\$3,249,000	Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000.
Total Bond for Campus					\$3,249,000	\$1,258,130	\$3,249,000	
USM								
**Career and Student Success Center (6100325)	Construction in Progress	2021	2023	Bond (100%)	\$19,000,000	\$2,416,045	\$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. Board approved an increase by \$93.7M in February 2021, of that amount, the specific budget for the CSSC is \$26.6M.
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	\$1,295,104	\$1,500,000	Board approved \$1.5M in January, 2020.
**Robie Andrews Renovation (6100339)	Bidding in Progress	2021	2021	Bond (100%)	\$491,605	\$51,953	\$491,605	
Total Bond for Campus					\$22,451,605	\$5,220,101	\$32,930,605	

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

Campus, Project Name (Project ID)	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Estimated Bond Funding for Project	Bond Funding Expended	Total Estimated Project Cost	Prior Actions, Information & Notes
UMPI								
Wieden Renovation Bond (7100025)	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	\$707,841	\$800,000	Board approved \$800K March, 2020.

Total Bond for Campus **\$925,000** **\$774,200** **\$4,800,000**
Totals: \$38,207,038 \$9,582,566 \$57,609,605

Completed Bond Projects

Campus, Project Name (Project ID)	Status	Original Estimated Completion	Current Est. Completion	Funding Source(s) & each source's share of expenditures to date	Bond Funding for Project	Bond Funding Expended	Total Project Cost	Campus
274 Front St Acquisition (2100089)	Complete	2019	2019	Bond (100%)	\$850,820	\$850,820	\$855,000	UMF
UMF Campus Paving (2100097)	Complete	2019	2019	Bond (100%)	\$97,338	\$97,338	\$97,338	UMF
FRC Floor Renovation (2100098)	Complete	2019	2019	Bond (100%)	\$209,503	\$209,503	\$200,729	UMF
Dakin Flooring, Ceiling, Light (2100105)	Complete	2021	2021	Bond (100%)	\$206,187	\$206,187	\$250,000	UMF
UMM Science Building Roof Replacement (4100042)	Complete	2020	2020	Bond (100%)	\$280,487	\$280,487	\$325,000	UMM
UMM Dorward Hall Roof Replacement (4100043)	Complete	2020	2020	Bond (100%)	\$296,092	\$296,092	\$300,000	UMM
UMM Sennett Roof Replacement (4100044)	Complete	2020	2020	Bond (100%)	\$152,000	\$152,000	\$152,000	UMM
UMM Reynolds Center Roof Repair (4200044)	Complete	2020	2020	Bond (100%)	\$154,226	\$154,226	\$164,000	UMM
UMM Site Work (4200045)	Complete	2020	2020	Bond (100%)	\$57,365	\$57,365	\$60,000	UMM
Woodward Hall Renovations (6100301)	Complete	2019	2019	Bond (86%), Campus E&G Funds (14%)	\$1,008,395	\$1,008,395	\$1,172,840	USM
Ricci Lecture Hall Renovations (6100308)	Complete	2019	2020	Bond (31%), Gifts (43%), Campus E&G Funds (26%)	\$172,010	\$172,010	\$564,197	USM
Totals:					\$3,484,423	\$3,484,423	\$4,141,104	

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

Campus, Project Name (Project ID)	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
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 March 31, 2021.

2020 Workforce Profile

Office of Human Resources

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Workforce Profile

Highlights

The Workforce Profile is an overview of the UMS workforce, reflecting full-time and part-time regular employees. This represents the 4,551 regular employees that were actively receiving a paycheck as of October 31, 2020. Additionally, there were 836 part time faculty members teaching in the Fall 2020 semester.

Count and Gender by Category

- Of the 4,551 UMS employees reported: 2.2 % are administrators, 27.2 % are faculty, 42.1 % are salaried staff, and 28.5 % are hourly paid staff.
- Overall, between the seven campuses, women make up a slight minority of full-time faculty at 48.1 % of the population. UMA, UMF, Maine Law and USM have women comprise the majority of full-time faculty at their locations.
- 49% of the administrators are women.
- There are 98 administrators, 72 of whom are in the Management Group. In the Management Group women make up a slight majority at 51.4 % of the cohort.
- Most of the regular hourly employee cohort consists of women at 53.2 % of the population.

Average Salary by Category

- The average annual salary for administrators is \$ 149,973; \$82,700 for faculty; \$56,672 for salaried staff; and \$34,200 for hourly staff.
- Most faculty are appointed on an academic year basis and the annual salary is rated for the nine-month appointment.

Age

- The average age by employee category is: Administrators average age is 55, faculty 52, salaried 46, and hourly employees average age is 51. These averages have held steady with little variation over the past few years.
- A significant proportion of administrators (52 %) are 55 or older.
- Almost half of the faculty (45.2 %) and hourly (48.9 %) are 55 or older while a slight majority is under that range.
- A large majority of salaried employees (70 %) are under the age of 55.

Highest Degree

- As would be expected, a high number of faculty (72.4 %) hold doctoral degrees. Administrators (40.8 %) also hold a significant number of terminal degrees.
- 16 % of hourly staff have self-reported a baccalaureate or higher degree. 59 % of salaried employees report holding a baccalaureate or higher degree.
- Education level was not reported by 29.7 % of employees.

Race and Ethnicity

- There is limited diversity as measured in the federal ethnicity categories. Overall, 6.9 % of employees system wide report a minority race/ethnicity. This is an increase over 6.2 % minority self-reported last year.
- The University of Southern Maine at 9.7 % and the University of Maine at 7.8 % have the highest reported minority populations.
- The University of Maine reports the highest quantity of minority employees with 157 employees followed by the University of Southern Maine with 103 employees identifying as such.

Years of Service/Average Years of Service

- UMS has many long-service employees. Average length of service ranges from 10.0 years for salaried staff to 14.4 years for administrators.
- 40.6 % of faculty and more than 45.9 % of administrators have 15 or more years of service.
- The University of Maine at Farmington has the highest average years of service for all employment categories at 13.6 years. The University of Southern Maine have the lowest average years of service at 10.5 years.

Part-Time Faculty

- In the Fall 2020 semester, there were approximately 836 Part-Time Faculty teaching 4653 credit hours of course work. The University of Southern Maine employs the most Part-Time Faculty with 365 (43.7 %), followed by the University of Maine with 193 (23.1 %) and then the University of Maine at Augusta with 131 (15.7 %).

UMS - OHR

Category Definitions

All UMS positions are categorized as administrator, faculty, salaried, or hourly depending upon the primary type of work performed. The categories, as defined by the IPEDS (Integrated Postsecondary Education Data System) Fall Staff Survey submitted biennially by colleges and universities to the National Center for Education Statistics, U.S. Department of Education, are defined below.

Administrators

All employees whose assignments require management of the institution, or a customarily recognized department or subdivision. Assignments require the performance of work directly related to management policies or general business operations of the institution, department or subdivision. Assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgment. This category includes employees holding the following titles who meet the above criteria: president, vice president (including assistant and associate), dean (including assistant and associate if their only activity is administrative and does not include a faculty workload), director (including assistant and associate), department head (including assistant and associate if their only activity is administrative and does not include a faculty workload). Employees in this category are in the management group.

Faculty

All individuals employed for the primary purpose of instruction, research, and/or public service and who hold academic rank of professor, associate professor, assistant professor, instructor, lecturer or the equivalent. These individuals may also hold titles such as associate dean, assistant dean, chairperson, and director if they also have a faculty work assignment. This report includes faculty in Cooperative Extension; the Tenure Report excludes faculty in this department.

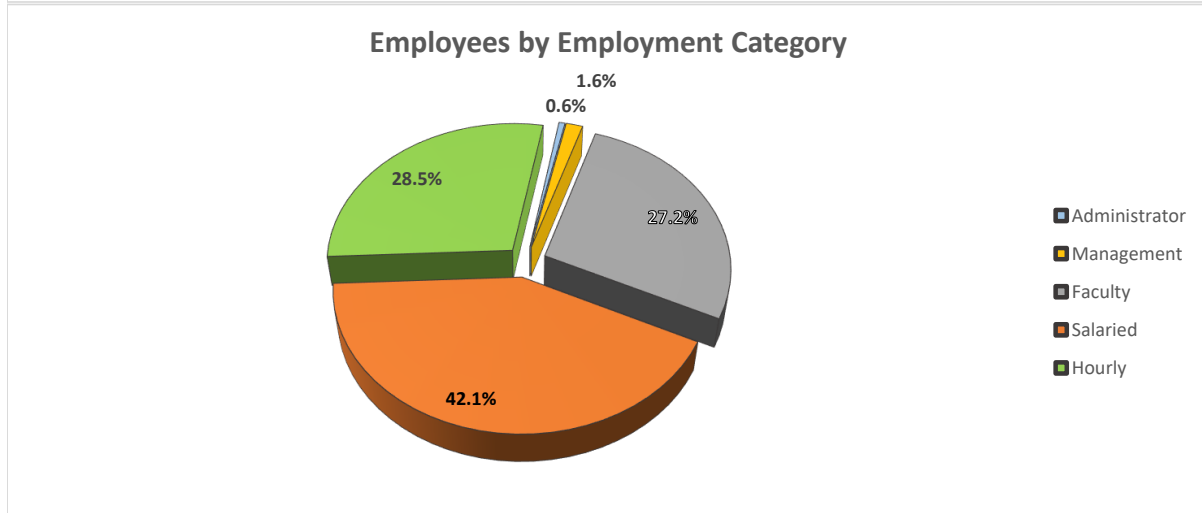
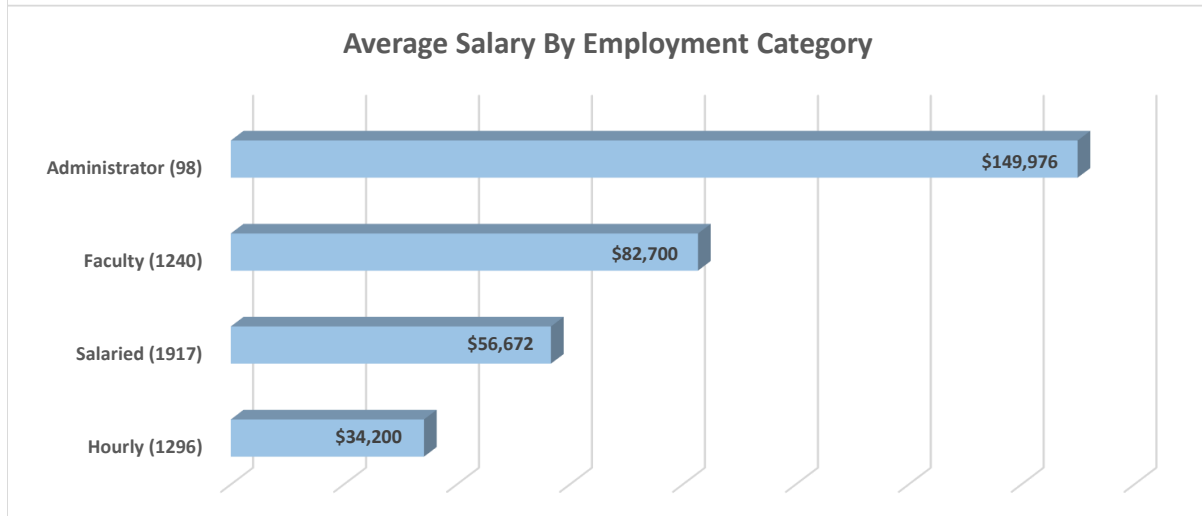
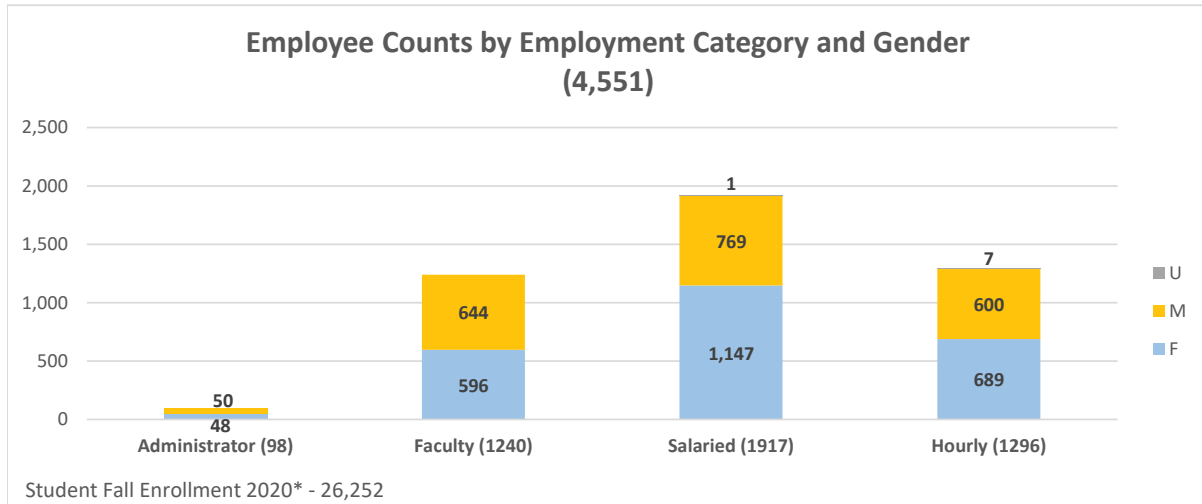
Salaried

All individuals employed for the primary purpose of performing academic support, student service and institutional support, whose assignments require either a baccalaureate degree or higher or experience of such kind and amount as to provide a comparable background. Includes employees with job titles such as: Business Operations Specialist, Financial Specialist, Accountant, Budget Analyst, Admissions or Financial Aid Counselor, Computer Specialist, Computer Analyst, Database Administrator, Librarian, Resident Director.

Hourly Staff

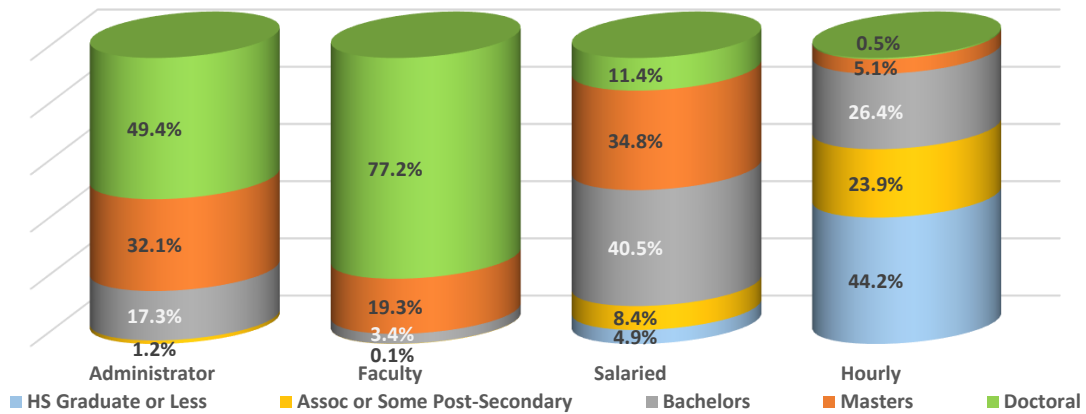
All employees whose assignments:

- Are technical or paraprofessional in nature (requires specialized knowledge or skills which may be acquired through experience, apprenticeship, on-the-job training or academic work in occupationally specific programs that result in a 2-year degree or other certificate or diploma). Includes such titles as Research or Laboratory Technician, Audiovisual Technician, Personnel Assistant. Or;
- Are associated with clerical or secretarial activities (responsible for internal and external communications, recording and retrieving data and/or information, and other paperwork required in an office). Includes such titles as Secretary, Administrative Assistant, Records Technician, Bookkeeper, Library Assistant. Or;
- Involve skilled crafts work (typically requires special manual skills and a thorough and comprehensive knowledge of the processes involved in the work, acquired through on-the-job-training and experience or through apprenticeship or other formal training programs). Includes such titles as Electrician, HVAC Technician, Printer, Garage Mechanic. Or;
- Involve service/maintenance work (requires limited degrees of previously acquired skills and knowledge, performs duties that result in or contribute to the comfort, convenience and hygiene of personnel and the student body or that contribute to the upkeep of the institutional property). Includes such titles as Custodian, Building & Grounds Maintenance Worker, Police Officer, Security Guard, Cook.



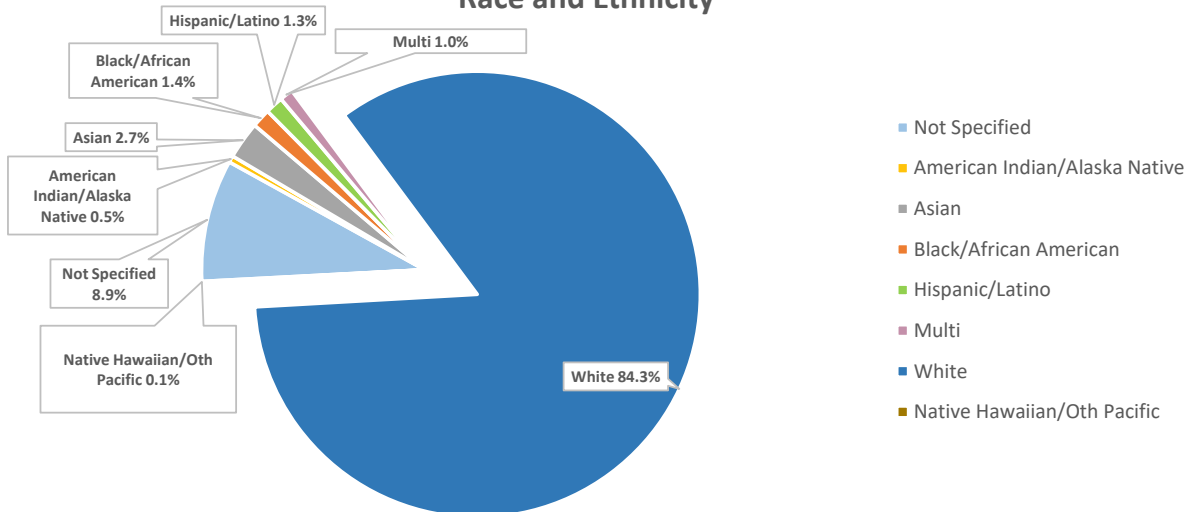
* Student Fall Enrollment 2020 includes undergraduate and graduate students. The source is Fall 2020 Enrollment Report - The University of Maine System, Fall Semester Headcount by Campus
 UMS Early College student headcount is no longer reported together with student headcount

Highest Degree by Employment Category *

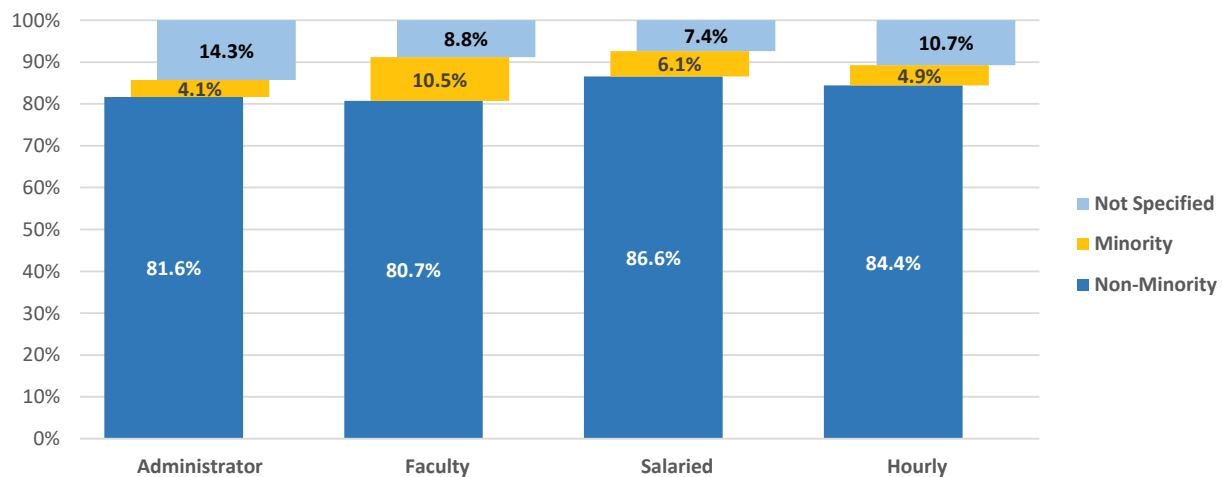


* Percentage shown for Highest Degree is a percent of the total employees who reported education level; 1,350 employees did not indicate.

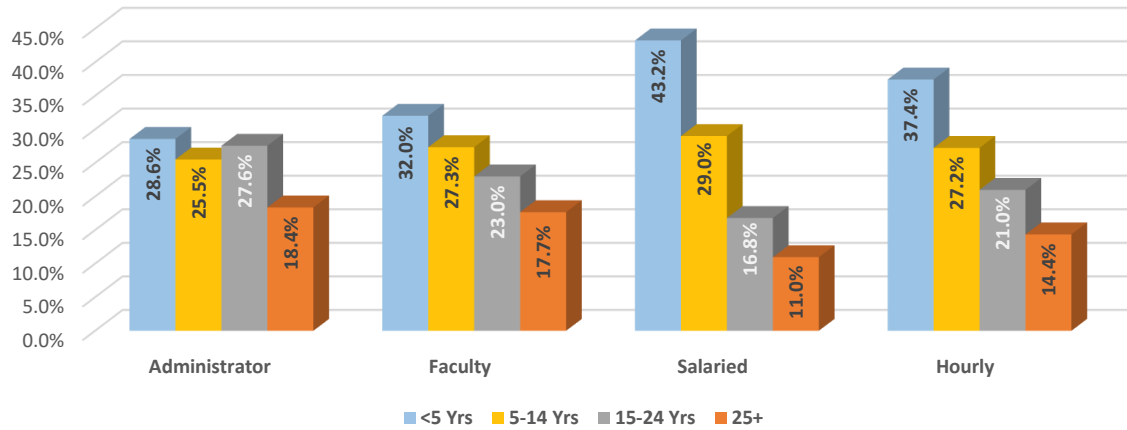
Race and Ethnicity



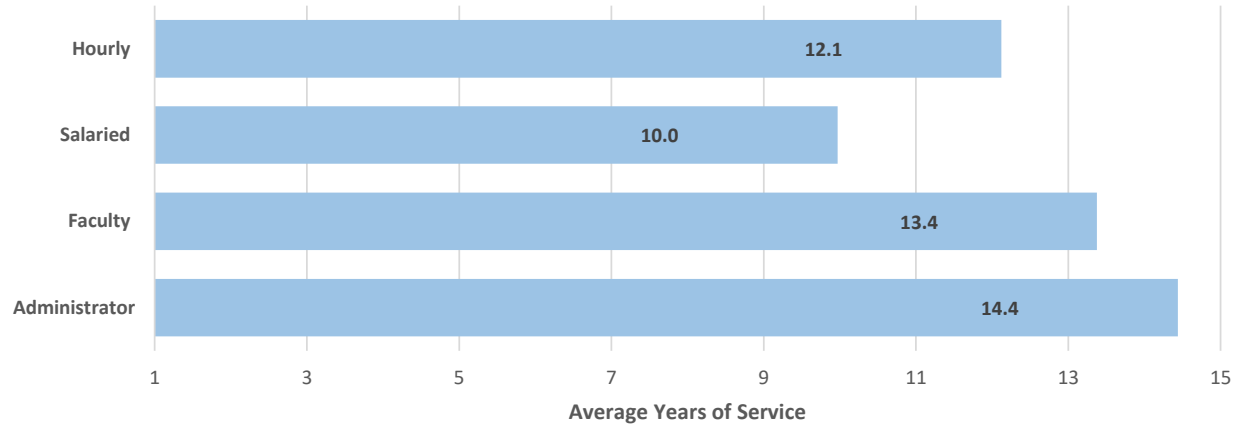
Employee Minority Grouping by Employee Category



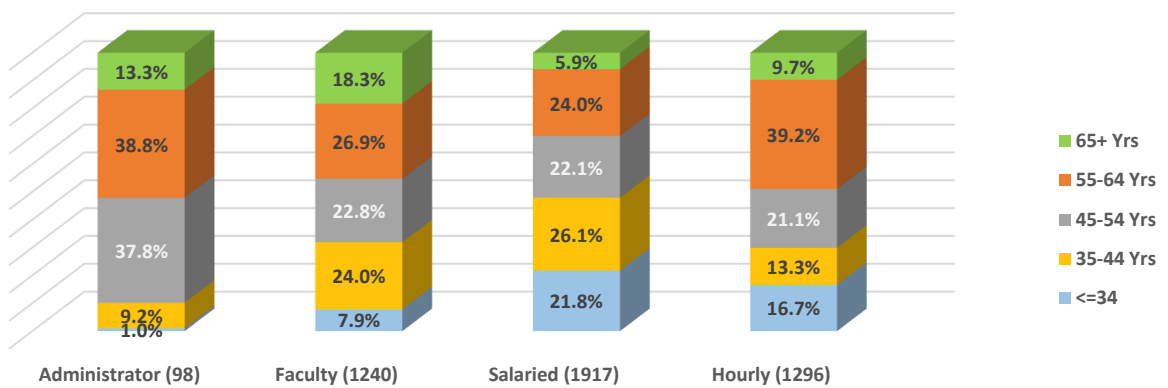
Years of Service by Employment Category



Average Years of Service by Employment Category

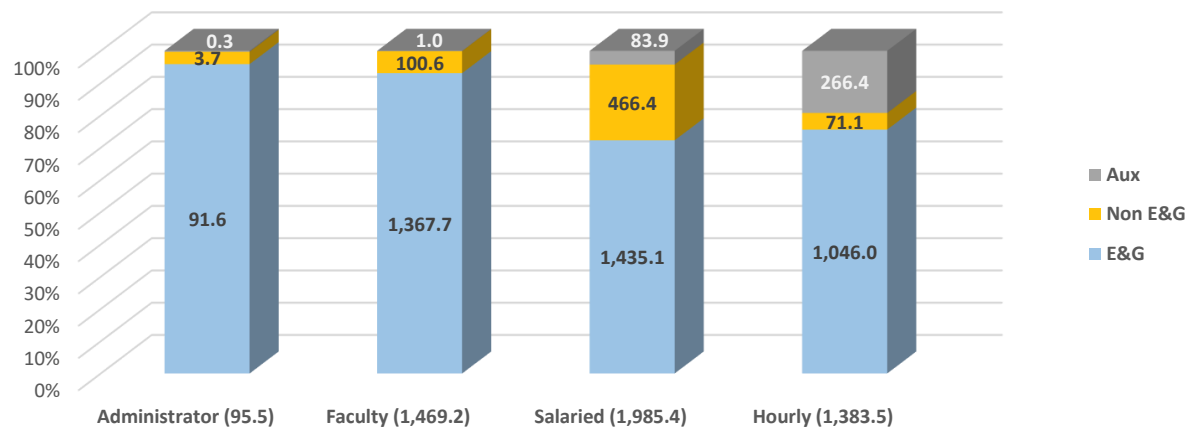


Age by Employment Category

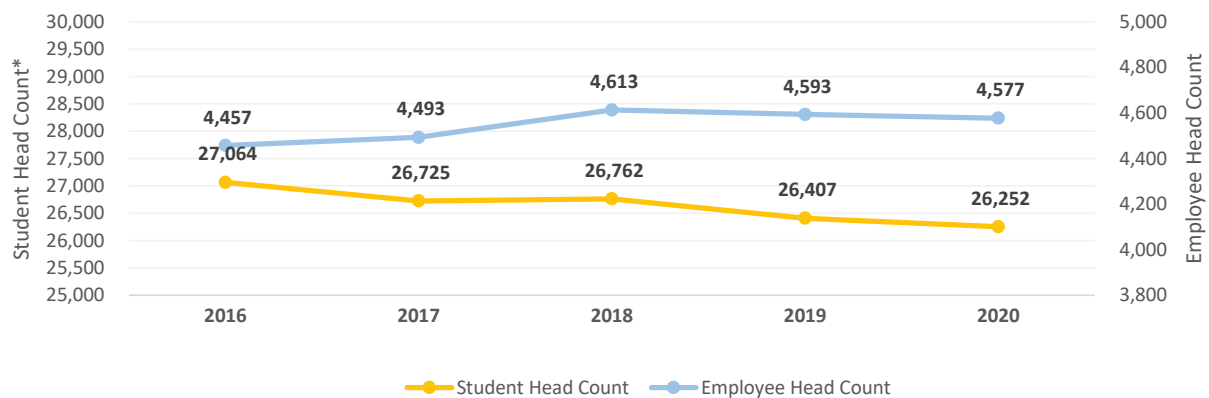


Average Age of Administrators is 55, Faculty 52, Salaried 46, Hourly 51

Full Time Equivalent by Funding Source

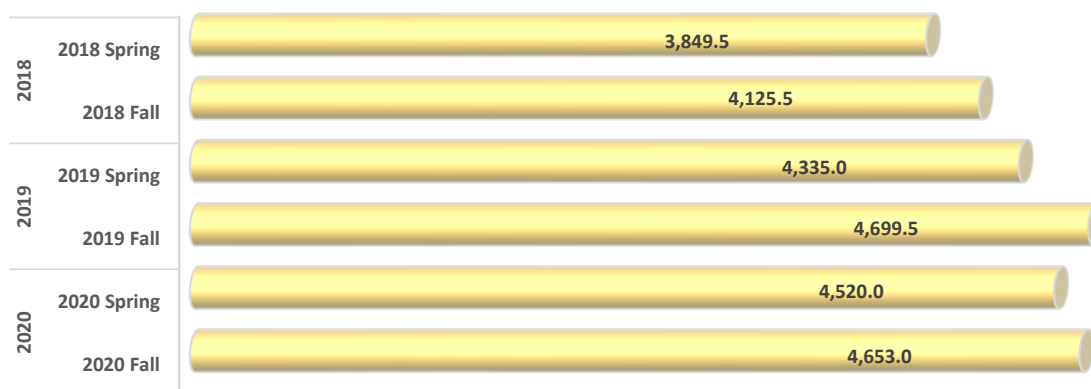


Student vs. Employee Head Count



* Student Head Count numbers were adjusted to match 2020 Fall Enrollment Report counts now that Early College students are no longer included

Part-Time Faculty Association Credit Hours by Semester



Board of Trustees Meeting - May 2021 - Reports

Counts by Employment Category and Gender

	University of Maine System				University of Maine				University of Maine at Augusta				University of Maine at Farmington				University of Maine at Fort Kent			
	F	M	U	Count	F	M	U	Count	F	M	U	Count	F	M	U	Count	F	M	U	Count
Administrators	48	50	0	98	12	14	0	26	5	3	0	8	5	4	0	9	3	1	0	4
Faculty	596	644	0	1,240	258	362	0	620	56	38	0	94	74	48	0	122	14	18	0	32
Salaried	1,147	769	1	1,917	435	374	0	809	83	39	0	122	56	35	1	92	19	17	0	36
Hourly	689	600	7	1,296	356	336	5	697	58	34	1	93	48	43	0	91	20	14	0	34
Total	2,480	2,063	8	4,551	1,061	1,086		2,147	202	114		316	183	130		314	56	50		106
Student Enrollment	26,252				11,326				3,407				1,803				950			

	University of Maine at Machias				University of Maine at Presque Isle				University of Southern Maine				University Governance				University Services				Maine Law			
	F	M	U	Count	F	M	U	Count	F	M	U	Count	F	M	U	Count	F	M	U	Count	F	M	U	Count
Administrators	0	1	0	1	2	3	0	5	4	11	0	15	7	6	0	13	9	6	0	15	1	1	0	2
Faculty	12	13	0	25	15	21	0	36	157	136	0	293	0	0	0	0	0	0	0	0	10	8	0	18
Salaried	15	3	0	18	39	19	0	58	335	126	0	461	0	1	0	1	141	154	0	295	24	1	0	25
Hourly	9	7	0	16	20	18	0	38	126	119	0	245	0	0	0	0	51	29	1	81	1	0	0	1
Total	36	24		60	76	61		137	622	392		1,014	7	7		14	201	189		391	36	10		46
Student Enrollment	498				1,022				6,987												259			

* Student Enrollment counts from the University of Maine System - Fall 2020 Enrollment Report, Fall Semester Headcount by Campus.

Average Salary by Employment Category

	University of Maine System		University of Maine		University of Maine at Augusta		University of Maine at Farmington		University of Maine at Fort Kent	
	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary
Administrators	98	149,976	26	163,051	8	135,414	9	108,555	4	128,209
Faculty	1,240	56,672	620	91,046	94	65,918	122	65,214	32	60,779
Salaried	1,917	34,200	809	57,059	122	48,677	92	48,722	36	46,673
Hourly	1,296	82,700	697	34,271	93	31,725	91	34,434	34	34,970
Total	4,551	59,374	2,152	60,751	317	51,005	314	52,704	106	50,254

	University of Maine at Machias		University of Maine at Presque Isle		University of Southern Maine		University Governance		University Services		Maine Law	
	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary	Count	Avg Salary
Administrators	1	144,200	5	116,187	15	150,352	13	175,863	15	147,826	2	200,600
Faculty	25	65,302	36	70,582	293	81,507	0	0	0	0	18	108,188
Salaried	18	43,582	58	44,379	461	56,633	1	95,696	295	65,822	25	55,959
Hourly	16	32,724	38	34,997	245	34,616	0	0	81	34,763	1	12,736
Total	60	51,413	137	51,283	1,014	59,887	14	170,137	391	62,534	46	81,746

Average Age by Employment Category

	University of Maine System		University of Maine		University of Maine at Augusta		University of Maine at Farmington		University of Maine at Fort Kent	
	Count	Avg Age	Count	Avg Age	Count	Avg Age	Count	Avg Age	Count	Avg Age
Administrators	98	55	26	57	8	58	9	55	4	51
Faculty	1,240	46	620	50	94	55	122	53	32	52
Salaried	1,917	51	809	45	122	49	92	44	36	42
Hourly	1,296	52	697	51	93	50	91	54	34	52
Total	4,551	49	2,152	49	317	51	314	51	106	48

	University of Maine at Machias		University of Maine at Presque Isle		University of Southern Maine		University Governance		University Services		Maine Law	
	Count	Avg Age	Count	Avg Age	Count	Avg Age	Count	Avg Age	Count	Avg Age	Count	Avg Age
Administrators	1	53	5	55	15	55	13	53	15	53	2	54
Faculty	25	56	36	54	293	53	0	0	0	0	18	49
Salaried	18	48	58	46	461	46	1	66	295	48	25	48
Hourly	16	53	38	55	245	48	0	0	81	47	1	60
Total	60	52	137	51	1,014	49	14	54	391	48	46	49

Age by Employment Category*

University of Maine System		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		1	0.0%	9	0.2%	37	0.8%	38	0.8%	13	0.3%	98	2.2%
Faculty		98	2.2%	298	6.5%	283	6.2%	334	7.3%	228	5.0%	1,241	27.3%
Salaried		418	9.2%	501	11.0%	424	9.3%	461	10.1%	112	2.5%	1,916	42.1%
Hourly		216	4.7%	172	3.8%	274	6.0%	508	11.2%	126	2.8%	1,296	28.5%
Total		733	16.1%	980	21.5%	1,018	22.4%	1,341	29.5%	479	10.5%	4,551	100.0%

University of Maine		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		1	0.0%	0	0.0%	8	0.4%	12	0.6%	5	0.2%	26	1.2%
Faculty		60	2.8%	179	8.3%	117	5.4%	164	7.6%	100	4.6%	620	28.8%
Salaried		209	9.7%	218	10.1%	155	7.2%	187	8.7%	40	1.9%	809	37.6%
Hourly		103	4.8%	92	4.3%	156	7.2%	281	13.1%	65	3.0%	697	32.4%
Total		373	17.3%	489	22.7%	436	20.3%	644	29.9%	210	9.8%	2,152	100.0%

University of Maine at Augusta		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		0	0.0%	1	0.3%	1	0.3%	4	1.3%	2	0.6%	8	2.5%
Faculty		5	1.6%	18	5.7%	22	6.9%	21	6.6%	28	8.8%	94	29.7%
Salaried		12	3.8%	36	11.4%	30	9.5%	31	9.8%	13	4.1%	122	38.5%
Hourly		19	6.0%	10	3.2%	22	6.9%	31	9.8%	11	3.5%	93	29.3%
Total		36	11.4%	65	20.5%	75	23.7%	87	27.4%	54	17.0%	317	100.0%

University of Maine at Farmington		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		0	0.0%	1	0.3%	3	1.0%	4	1.3%	1	0.3%	9	2.9%
Faculty		4	1.3%	27	8.6%	32	10.2%	39	12.4%	20	6.4%	122	38.9%
Salaried		22	7.0%	24	7.6%	22	7.0%	23	7.3%	1	0.3%	92	29.3%
Hourly		4	1.3%	11	3.5%	22	7.0%	46	14.6%	8	2.5%	91	29.0%
Total		30	9.6%	63	20.1%	79	25.2%	112	35.7%	30	9.6%	314	100.0%

University of Maine at Fort Kent		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		0	0.0%	1	0.9%	2	1.9%	1	0.9%	0	0.0%	4	3.8%
Faculty		3	2.8%	4	3.8%	11	10.4%	7	6.6%	7	6.6%	32	30.2%
Salaried		14	13.2%	6	5.7%	8	7.5%	6	5.7%	2	1.9%	36	34.0%
Hourly		4	3.8%	7	6.6%	3	2.8%	19	17.9%	1	0.9%	34	32.1%
Total		21	19.8%	18	17.0%	24	22.6%	33	31.1%	10	9.4%	106	100.0%

University of Maine at Machias		Age Group											
		<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
		Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators		0	0.0%	0	0.0%	1	1.7%	0	0.0%	0	0.0%	1	1.7%
Faculty		0	0.0%	5	8.3%	5	8.3%	10	16.7%	5	8.3%	25	41.7%
Salaried		4	6.7%	3	5.0%	4	6.7%	5	8.3%	2	3.3%	18	30.0%
Hourly		2	3.3%	1	1.7%	2	3.3%	11	18.3%	0	0.0%	16	26.7%
Total		6	10.0%	9	15.0%	12	20.0%	26	43.3%	7	11.7%	60	100.0%

Age by Employment Category*

University of Maine at Presque Isle												
Age Group												
	<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators	0	0.0%	0	0.0%	2	1.5%	3	2.2%	0	0.0%	5	3.6%
Faculty	2	1.5%	5	3.6%	12	8.8%	8	5.8%	9	6.6%	36	26.3%
Salaried	11	8.0%	19	13.9%	8	5.8%	14	10.2%	6	4.4%	58	42.3%
Hourly	3	2.2%	2	1.5%	9	6.6%	19	13.9%	5	3.6%	38	27.7%
Total	16	11.7%	26	19.0%	31	22.6%	44	32.1%	20	14.6%	137	100.0%
University of Southern Maine												
Age Group												
	<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators	0	0.0%	1	0.1%	6	0.6%	6	0.6%	2	0.2%	15	1.5%
Faculty	22	2.2%	55	5.4%	77	7.6%	83	8.2%	56	5.5%	293	28.9%
Salaried	109	10.7%	111	10.9%	102	10.1%	106	10.5%	33	3.3%	461	45.5%
Hourly	60	5.9%	32	3.2%	48	4.7%	75	7.4%	30	3.0%	245	24.2%
Total	191	18.8%	199	19.6%	233	23.0%	270	26.6%	121	11.9%	1,014	100.0%
University Governance												
Age Group												
	<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators	0	0.0%	1	7.1%	8	57.1%	3	21.4%	1	7.1%	13	92.9%
Faculty	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	7.1%	1	7.1%
Salaried	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Hourly	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Total	0	0.0%	1	7.1%	8	57.1%	3	21.4%	2	14.3%	14	100.0%
University Services												
Age Group												
	<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators	0	0.0%	3	0.8%	6	1.5%	5	1.3%	1	0.3%	15	3.8%
Faculty	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Salaried	35	9.0%	77	19.7%	86	22.0%	84	21.5%	13	3.3%	295	75.4%
Hourly	21	5.4%	17	4.3%	12	3.1%	25	6.4%	6	1.5%	81	20.7%
Total	56	14.3%	97	24.8%	104	26.6%	114	29.2%	20	5.1%	391	100.0%
Maine Law												
Age Group												
	<= 34		35 - 44		45 - 54		55 - 64		65 Plus		Total	
	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total	Count	% of Total
Administrators	0	0.0%	1	2.2%	0	0.0%	0	0.0%	1	2.2%	2	4.3%
Faculty	2	4.3%	5	10.9%	7	15.2%	2	4.3%	2	4.3%	18	39.1%
Salaried	2	4.3%	7	15.2%	9	19.6%	5	10.9%	2	4.3%	25	54.3%
Hourly	0	0.0%	0	0.0%	0	0.0%	1	2.2%	0	0.0%	1	2.2%
Total	4	8.7%	13	28.3%	16	34.8%	8	17.4%	5	10.9%	46	100.0%

* Note - Due to rounding the % of Total in the Total column may not equal the sum of the percents in each age category.

Highest Degree by Employment Category

University of Maine System		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		17	0.4%	0	0.0%	1	0.0%	14	0.3%	26	0.6%	38	0.8%	96	2.1%
Faculty		76	1.7%	0	0.0%	1	0.0%	40	0.9%	224	5.0%	881	19.6%	1,222	27.1%
Salaried		607	13.5%	64	1.4%	107	2.4%	521	11.6%	452	10.0%	141	3.1%	1,892	42.0%
Hourly		644	14.3%	288	6.4%	156	3.5%	171	3.8%	33	0.7%	3	0.1%	1,295	28.7%
Total		1,344	29.8%	352	7.8%	265	5.9%	746	16.6%	735	16.3%	1,063	23.6%	4,505	100.0%

University of Maine		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		2	0.1%	0	0.0%	0	0.0%	1	0.0%	10	0.5%	13	0.6%	26	1.2%
Faculty		41	1.9%	0	0.0%	0	0.0%	24	1.1%	96	4.5%	459	21.3%	620	28.8%
Salaried		261	12.1%	38	1.8%	43	2.0%	212	9.9%	177	8.2%	78	3.6%	809	37.6%
Hourly		362	16.8%	167	7.8%	87	4.0%	63	2.9%	17	0.8%	1	0.0%	697	32.4%
Total		666	30.9%	205	9.5%	130	6.0%	300	13.9%	300	13.9%	551	25.6%	2,152	100.0%

University of Maine at Augusta		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		0	0.0%	0	0.0%	0	0.0%	0	0.0%	4	1.3%	4	1.3%	8	2.5%
Faculty		0	0.0%	0	0.0%	0	0.0%	3	0.9%	37	11.7%	54	17.0%	94	29.7%
Salaried		31	9.8%	3	0.9%	8	2.5%	29	9.1%	39	12.3%	12	3.8%	122	38.5%
Hourly		63	19.9%	11	3.5%	7	2.2%	9	2.8%	2	0.6%	1	0.3%	93	29.3%
Total		94	29.7%	14	4.4%	15	4.7%	41	12.9%	82	25.9%	71	22.4%	317	100.0%

University of Maine at Farmington		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		0	0.0%	0	0.0%	0	0.0%	1	0.3%	3	1.0%	5	1.6%	9	2.9%
Faculty		6	1.9%	0	0.0%	0	0.0%	0	0.0%	22	7.0%	94	29.9%	122	38.9%
Salaried		20	6.4%	2	0.6%	6	1.9%	35	11.1%	26	8.3%	3	1.0%	92	29.3%
Hourly		24	7.6%	35	11.1%	15	4.8%	15	4.8%	2	0.6%	0	0.0%	91	29.0%
Total		50	15.9%	37	11.8%	21	6.7%	51	16.2%	53	16.9%	102	32.5%	314	100.0%

University of Maine at Fort Kent		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		2	1.9%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	1.9%	4	3.8%
Faculty		3	2.8%	0	0.0%	1	0.9%	7	6.6%	9	8.5%	12	11.3%	32	30.2%
Salaried		14	13.2%	1	0.9%	1	0.9%	11	10.4%	8	7.5%	1	0.9%	36	34.0%
Hourly		9	8.5%	13	12.3%	3	2.8%	8	7.5%	1	0.9%	0	0.0%	34	32.1%
Total		28	26.4%	14	13.2%	5	4.7%	26	24.5%	18	17.0%	15	14.2%	106	100.0%

University of Maine at Machias		Degree													
		Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
		Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators		0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	1.7%	1	1.7%
Faculty		3	5.0%	0	0.0%	0	0.0%	0	0.0%	5	8.3%	17	28.3%	25	41.7%
Salaried		6	10.0%	1	1.7%	2	3.3%	6	10.0%	3	5.0%	0	0.0%	18	30.0%
Hourly		5	8.3%	5	8.3%	5	8.3%	1	1.7%	0	0.0%	0	0.0%	16	26.7%
Total		14	23.3%	6	10.0%	7	11.7%	7	11.7%	8	13.3%	18	30.0%	60	100.0%

Highest Degree by Employment Category

University of Maine at Presque Isle	Degree													
	Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators	1	0.7%	0	0.0%	0	0.0%	1	0.7%	1	0.7%	2	1.5%	5	3.6%
Faculty	3	2.2%	0	0.0%	0	0.0%	0	0.0%	14	10.2%	19	13.9%	36	26.3%
Salaried	21	15.3%	1	0.7%	2	1.5%	17	12.4%	16	11.7%	1	0.7%	58	42.3%
Hourly	13	9.5%	15	10.9%	6	4.4%	4	2.9%	0	0.0%	0	0.0%	38	27.7%
Total	38	27.7%	16	11.7%	8	5.8%	22	16.1%	31	22.6%	22	16.1%	137	100.0%

University of Southern Maine	Degree													
	Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators	1	0.1%	0	0.0%	0	0.0%	2	0.2%	5	0.5%	7	0.7%	15	1.5%
Faculty	20	2.0%	0	0.0%	0	0.0%	6	0.6%	41	4.0%	226	22.3%	293	28.9%
Salaried	113	11.1%	5	0.5%	14	1.4%	133	13.1%	154	15.2%	42	4.1%	461	45.5%
Hourly	120	11.8%	33	3.3%	21	2.1%	62	6.1%	8	0.8%	1	0.1%	245	24.2%
Total	254	25.0%	38	3.7%	35	3.5%	203	20.0%	208	20.5%	276	27.2%	1,014	100.0%

University Governance	Degree													
	Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators	7	50.0%	0	0.0%	1	7.1%	3	21.4%	1	7.1%	1	7.1%	13	92.9%
Faculty	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Salaried	1	7.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	7.1%
Hourly	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Total	8	57.1%	0	0.0%	1	7.1%	3	21.4%	1	7.1%	1	7.1%	14	100.0%

University Services	Degree													
	Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators	4	1.0%	0	0.0%	0	0.0%	6	1.5%	2	0.5%	3	0.8%	15	3.8%
Faculty	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Salaried	140	35.8%	13	3.3%	31	7.9%	78	19.9%	29	7.4%	4	1.0%	295	75.4%
Hourly	48	12.3%	9	2.3%	12	3.1%	9	2.3%	3	0.8%	0	0.0%	81	20.7%
Total	192	49.1%	22	5.6%	43	11.0%	93	23.8%	34	8.7%	7	1.8%	391	100.0%

Maine Law	Degree													
	Not Indicated		HS Graduate		Associates		Bachelor's		Master's		Doctoral		Total	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
Administrators	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	4.3%	2	14.3%
Faculty	1	2.2%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	17	37.0%	18	128.6%
Salaried	5	10.9%	0	0.0%	2	4.3%	8	17.4%	2	4.3%	8	17.4%	25	178.6%
Hourly	0	0.0%	0	0.0%	0	0.0%	1	2.2%	0	0.0%	0	0.0%	1	7.1%
Total	6	13.0%	0	0.0%	2	4.3%	9	19.6%	2	4.3%	27	58.7%	46	328.6%

Board of Trustees Meeting - May 2021 - Reports

Race and Ethnicity by Employment Category

	University of Maine System				University of Maine				University of Maine at Augusta				University of Maine at Farmington				University of Maine at Fort Kent			
	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %
Administrators	0.1%	1.8%	0.3%	2.2%	0.1%	1.1%	0.0%	1.2%	0.0%	2.5%	0.0%	2.5%	0.3%	2.5%	0.0%	2.9%	0.0%	1.9%	1.9%	3.8%
Faculty	2.9%	22.0%	2.4%	27.2%	3.5%	21.7%	3.6%	28.8%	0.9%	27.1%	1.6%	29.7%	1.6%	36.3%	1.0%	38.9%	2.8%	27.4%	0.0%	30.2%
Salaried	2.5%	36.5%	3.1%	42.1%	2.6%	31.3%	3.7%	37.6%	1.3%	36.3%	0.9%	38.5%	0.6%	27.7%	1.0%	29.3%	3.8%	25.5%	4.7%	34.0%
Hourly	1.4%	24.0%	3.1%	28.5%	1.2%	26.2%	5.0%	32.4%	0.6%	26.8%	1.9%	29.3%	0.3%	28.3%	0.3%	29.0%	0.9%	29.2%	1.9%	32.1%
Total	6.9%	84.3%	8.9%	100.0%	7.3%	80.3%	12.4%	100.0%	2.8%	92.7%	4.4%	100.0%	2.9%	94.9%	2.2%	100.0%	7.5%	84.0%	8.5%	100.0%

	University of Maine at Machias				University of Maine at Presque Isle				University of Southern Maine				University Governance				University Services				Maine Law			
	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %	Minority %	Non Minority %	Not Specified %	Total %
Administrators	0.0%	1.7%	0.0%	1.7%	0.0%	3.6%	0.0%	3.6%	0.0%	1.3%	0.2%	1.5%	0.0%	57.1%	35.7%	92.9%	0.3%	2.8%	0.8%	3.8%	0.0%	2.2%	2.2%	4.3%
Faculty	0.0%	41.7%	0.0%	41.7%	2.9%	22.6%	0.7%	26.3%	3.9%	23.3%	1.7%	28.9%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	28.3%	10.9%	39.1%
Salaried	0.0%	30.0%	0.0%	30.0%	0.7%	38.7%	2.9%	42.3%	3.7%	39.1%	2.7%	45.5%	0.0%	0.0%	7.1%	7.1%	3.1%	68.0%	4.3%	75.4%	0.0%	52.2%	2.2%	54.3%
Hourly	0.0%	21.7%	5.0%	26.7%	2.2%	23.4%	2.2%	27.7%	2.5%	20.5%	1.2%	24.2%	0.0%	0.0%	0.0%	0.0%	1.5%	18.2%	1.0%	20.7%	0.0%	2.2%	0.0%	2.2%
Total	0.0%	95.0%	5.0%	100.0%	5.8%	88.3%	5.8%	100.0%	10.2%	84.1%	5.7%	100.0%	0.0%	57.1%	42.9%	100.0%	4.9%	89.0%	6.1%	100.0%	0.0%	84.8%	15.2%	100.0%

Years of Service by Employment Category

University of Maine System					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	28	25	27	18	98
Faculty	397	339	285	219	1,240
Salaried	829	556	322	210	1,917
Hourly	485	353	272	186	1,296
Total	1,739	1,273	906	633	4,551

University of Maine					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	7	6	8	5	26
Faculty	195	166	143	116	620
Salaried	365	226	116	102	809
Hourly	233	195	159	110	697
Total	800	593	426	333	2,152

University of Maine at Augusta					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	2	1	3	2	8
Faculty	30	27	17	20	94
Salaried	44	44	19	15	122
Hourly	44	31	11	7	93
Total	120	103	50	44	317

University of Maine at Farmington					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	2	1	4	2	9
Faculty	28	43	29	22	122
Salaried	40	29	14	9	92
Hourly	23	21	28	19	91
Total	93	94	75	52	314

University of Maine at Fort Kent					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	2	1	1	0	4
Faculty	9	12	8	3	32
Salaried	19	10	4	3	36
Hourly	11	9	8	6	34
Total	41	32	21	12	106

University of Maine at Machias					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	0	1	0	0	1
Faculty	5	7	7	6	25
Salaried	10	6	0	2	18
Hourly	7	3	5	1	16
Total	22	17	12	9	60

Years of Service by Employment Category

University of Maine at Presque Isle					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	0	1	3	1	5
Faculty	5	13	13	5	36
Salaried	28	20	6	4	58
Hourly	10	17	6	5	38
Total	43	51	28	15	137

University of Southern Maine					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	4	4	5	2	15
Faculty	119	65	62	47	293
Salaried	208	121	91	41	461
Hourly	115	54	43	33	245
Total	446	244	201	123	1,014

University Governance					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	4	6	1	2	13
Faculty	0	0	0	0	0
Salaried	0	1	0	0	1
Hourly	0	0	0	0	0
Total	4	7	1	2	14

University Services					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	6	3	2	4	15
Faculty	0	0	0	0	-
Salaried	105	92	66	32	295
Hourly	42	22	12	5	81
Total	153	117	80	41	391

Maine Law					
	Years of Service				
	< 5 Years Svc	5 - 14 Yrs	15 - 24 Yrs	25 Plus Yrs	Total
	Count	Count	Count	Count	Count
Administrators	1	1	0	0	2
Faculty	6	6	6	0	18
Salaried	10	7	6	2	25
Hourly	0	1	0	0	1
Total	17	15	12	2	46

Average Years of Service by Employment Category

	University of Maine System		University of Maine		University of Maine at Augusta		University of Maine at Farmington		University of Maine at Fort Kent		University of Maine at Machias		University of Maine at Presque Isle		University of Southern Maine		University Governance		University Services		Maine Law	
Administrators	14.4	15.0	18.0	18.2	8.3	12.0	20.4	13.7	11.5	13.7	4.5											
Faculty	10.0	9.9	10.6	9.9	7.8	6.9	8.2	9.6	5.0	11.2	10.0											
Salaried	12.1	13.1	8.3	16.0	13.8	9.8	12.5	10.4	0.0	8.5	12.0											
Hourly	13.4	13.9	14.1	14.3	10.9	17.4	14.6	11.8	0.0	0.0	9.8											
Average Yrs Srvc	11.6	12.1	11.2	13.6	10.7	12.1	11.5	10.5	11.0	10.8	9.7											

Count of Employment Category with Management Group

	University of Maine System	University of Maine	University of Maine at Augusta	University of Maine at Farmington	University of Maine at Fort Kent	University of Maine at Machias	University of Maine at Presque Isle	University of Southern Maine	University Governance	University Services	Maine Law
Administrators	72	17	7	5	3	1	4	9	13	12	1
Management Grp	26	9	1	4	1	0	1	6	0	3	1
Faculty	1,240	620	94	122	32	25	36	293	0	0	18
Salaried	1,917	809	122	92	36	18	58	461	1	295	25
Hourly	1,296	697	93	91	34	16	38	245	0	81	1
Total	4,551	2,152	317	314	106	60	137	1,014	14	391	46

Board of Trustees Meeting - May 2021 - Reports

Full Time Equivalent by Funding Source

	University of Maine System				University of Maine				University of Maine at Augusta				University of Maine at Farmington				University of Maine at Fort Kent			
	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total
Administrators	91.6	3.7	0.3	95.5	25.0	1.0	0.0	26.0	7.1	1.0	0.0	8.0	9.0	0.0	0.0	9.0	3.0	0.0	0.0	3.0
Faculty	1,367.7	100.6	1.0	1,469.2	593.8	80.4	0.6	674.8	125.8	1.2	0.0	127.0	124.0	4.3	0.2	128.5	45.6	1.2	0.2	47.0
Salaried	1,435.1	466.4	83.9	1,985.4	546.4	220.0	63.3	829.7	90.2	25.7	2.0	118.0	81.1	13.4	6.0	100.5	38.9	2.5	1.3	42.7
Hourly	1,046.0	71.1	266.4	1,383.5	498.1	35.3	205.6	739.0	90.0	4.1	1.0	95.1	70.8	2.8	23.0	96.6	27.1	1.0	5.0	33.1
Total	3,940.3	641.8	351.6	4,933.7	1,663.3	336.7	269.5	2,269.5	313.1	31.9	3.0	348.1	285.0	20.5	29.2	334.6	114.6	4.7	6.5	125.8

	University of Maine at Machias				University of Maine at Presque Isle				University of Southern Maine				University Governance				University Services				Maine Law			
	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total	E&G	Non E&G	Aux	Total
Administrators	1.0	0.0	0.0	1.0	4.5	0.5	0.0	5.0	13.5	1.3	0.3	15.0	13.5	0.0	0.0	13.5	14.0	0.0	0.0	14.0	1.0	0.0	0.0	1.0
Faculty	35.3	0.2	0.0	35.5	44.0	2.5	0.0	46.5	372.7	9.7	0.0	382.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	26.4	1.1	0.0	27.5
Salaried	16.9	0.0	1.0	17.9	40.2	13.2	1.4	54.8	306.7	183.3	9.0	499.0	1.0	0.0	0.0	1.0	288.4	7.2	0.0	295.6	25.3	1.0	0.0	26.3
Hourly	15.0	0.0	1.9	16.9	39.3	2.5	2.2	44.0	224.7	22.1	27.8	274.6	0.0	0.0	0.0	0.0	79.9	2.1	0.0	82.0	1.1	1.3	0.0	2.4
Total	68.3	0.2	2.9	71.4	128.0	18.7	3.6	150.2	917.6	216.4	37.1	1,171.0	14.5	0.0	0.0	14.5	382.2	9.3	0.0	391.6	53.7	3.4	0.0	57.1

Part-Time Faculty by University

	University of Maine System			University of Maine			University of Maine at Augusta			University of Maine at Farmington			University of Maine at Fort Kent		
	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught
Spring 2018	858	3,849.5	1,362	205	899.0	338	152	767.0	257	50	274.0	79	42	281.0	80
Fall 2018	883	4,125.5	1,429	215	1,004.0	357	140	671.0	225	46	252.0	72	52	375.0	100
Spring 2019	861	4,335.0	1,547	211	1,090.0	398	132	708.0	242	42	255.0	70	38	256.5	73
Fall 2019	875	4,699.5	1,652	205	1,108.0	388	138	774.0	262	52	304.0	85	56	404.0	110
Spring 2020	869	4,520.0	1,601	218	1,080.5	395	134	708.0	242	49	334.0	81	48	294.5	89
Fall 2020	836	4,653.0	1,643	193	1,011.0	369	131	749.0	258	48	294.0	81	52	346.0	94

	University of Maine at Machias			University of Maine at Presque Isle			University of Southern Maine			Maine Law		
	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught	Count	Credit Hrs	Courses Taught
Spring 2018	35	130.5	52	39	182.0	59	346	1,316.0	497	3	7.0	3
Fall 2018	35	129.0	51	44	222.0	73	363	1,472.5	551	1	3.0	1
Spring 2019	33	143.0	53	45	265.0	87	373	1,617.5	624	1	6.0	1
Fall 2019	37	149.0	60	38	243.0	81	364	1,717.5	666	2	5.0	2
Spring 2020	31	117.0	43	44	272.0	89	358	1,708.0	661	1	6.0	1
Fall 2020	25	138.0	45	39	311.0	101	365	1,801.0	694	1	3.0	1



TURNOVER ANALYSIS

SEPARATIONS, RETENTION, AND HIRING STATISTICS

FOR
REGULAR EMPLOYEES

November 1, 2019 - October 31, 2020

April 16, 2021
UMS Office of Human Resources



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Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Methodology

This report includes only regular staff and primary position records for employees in an active, leave with pay or leave without pay status. Regular staff in the Part-Time Faculty bargaining unit are included; temporary staff in the Part-Time Faculty unit are excluded.

The report covers the period from November 1, 2019 through October 31, 2020.

The population is determined by averaging the number of staff active, on leave, or on leave without pay on November 1, 2019 and October 31, 2020.

Resignations, voluntary retirements, failure to return from leave, death, and disability are considered voluntary separations. All other separation reasons are considered involuntary separations. Separations due to death or disability were included with involuntary terminations in reports prior to 2014.

New hires are hired from outside the University and do not include staff who are already employees. The new hire and rehire statistics do not include employees who have taken a secondary job or transferred within the University System. Rehires include employees moving from temporary to regular positions and/or have had a separation from the University of Maine System. Internal hires and transfers are isolated and included for reference.

Key to bargaining groups:

AFUM - Associated Faculties of the Universities of Maine, MEA/NEA

UMPSA - Universities of Maine Professional Staff Association, MEA/NEA

COLT - Associated C.O.L.T. (Clerical, Office, Laboratory and Technical) Staff of the Universities of Maine, MEA/NEA

Service & Maintenance - Teamsters Union Local #340

University Supervisors

Police – Fraternal Order of Police Lodge #100

Non-Represented Hourly

Non-Represented Salaried

Non-Represented Faculty - Includes Law Faculty, Chairs at some Universities

PATFA Regular - Part-Time Faculty Association, MFT/AFT, AFL-CIO



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Turnover Highlights

1. University Highlights

- A. From November 1, 2019 through October 31, 2020 the number of employee separations for all reasons was 10.1% of the average population of regular employees. Of this, voluntary resignations made up 5.4%, and retirements accounted for 2.7%. The remaining 2.0% involuntary separations resulted from end of term appointments, layoff, and termination.
- B. The turnover rate of 10.1% is down from last year's rate of 11.8% due to a decrease in year-over-year voluntary separations.
- C. Externally benchmarking UMS' turnover rate, CUPA-HR Data On Demand gives an average turnover rate of 10.8% for institutions with student enrollment FTE greater than 8,659 between November 1, 2019 to October 31, 2020.
- D. The turnover rate reported for all education services by the Bureau of Labor Statistics shows an increasing trend of total annual separations levels. The University of Maine System's separation rate continues to trend downward since peaking in 2015.
- E. The number of separations due to position elimination/staff reduction is 9. This is 5 more than last year for the same period. Since this study is a point in time analysis, all furloughs that occurred during the time frame of study are not here reflected since their break in service started and ended between the reporting period.
- F. The rate of voluntary separations as a percent of the total UMS population is 5.4%.
- G. 80.7% of the 466 total separations are due to voluntary resignations and retirements. Retirements alone account for 27.0% of the 466 total separations.
- H. Separation rates vary among universities from a high of 21.5% for University of Maine Machias to 7.6% at the University of Maine Farmington.



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

- I. The average years of service for resignation is 4.5 years, 26.3 years for voluntary retirements, and 2.7 years for involuntary separations.
- J. There were 47 new hires with minority status. Of this number 21% left during their first year of employment. Comparing this metric to those with non-minority status, 22% left during their first year, indicating a non-disproportionate separation within the first year of employment.
- K. Retention of employees at all Universities is 89.1%.

2. Bargaining Group Highlights

- A. The percent of separations for the represented and non-represented as a percentage of the bargaining unit vary with a high of 23.5% for the Law Faculty unit to 4.8% in the University Supervisors unit. Separation rates in other represented bargaining units are: AFUM: 8.9%, UMPSA: 10.5%, ACSUM: 11.9%, S&M: 14.1%, Police: 20.0%, NR Hrly: 9.1%, NR Sal: 6.2%, NR Fac: 4.7%, PATFA Regular: 6.5%.
- B. The UMPSA bargaining unit is 34.3% of the population and accounts for 35.6% of the separations; 76.8% of UMPSA separations are voluntary resignations.
- C. The percent of new hires/rehires at Universities as a percent of Campus population varies among the campuses with a high of 17.8% at University of Maine School of Law to 3.7% at University of Maine Fort Kent.
- D. The percent of total UMS new hires/rehires (348) in represented and non-represented units vary from a high of 40.8% (142) in the UMPSA unit to a low of 0.3% (1) in the University Supervisors unit.
- E. The Law Faculty group had the lowest level of retention at 76.5%.



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Average Headcount - Regular Staff by University										
UM	UMA	UMF	UMFK	UMM	UMPI	USM	M LAW	U GOV	U SERV	TOTAL
Num	Num	Num	Num	Num	Num	Num	Num	Num	Num	Num
2,189	319	316	108	65	140	1,017	45	15	394	4,606

Headcount is an average of the number of regular staff on October 31, 2019 and October 31, 2020.

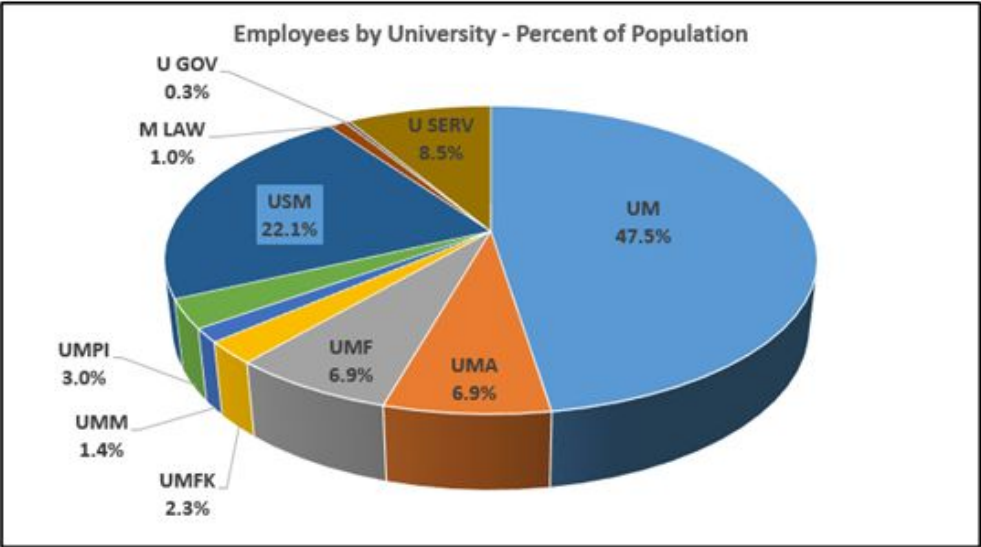
Turnover Formula

$$\frac{\text{\# of separations}}{\text{average employee population}} \times 100 = \frac{466}{4,606} = 10.1\%$$

Employee by University - Percent of Population										
UM	UMA	UMF	UMFK	UMM	UMPI	USM	M LAW	U GOV	U SERV	TOTAL
Per	Per	Per	Per	Per	Per	Per	Per	Per	Per	Per
47.5%	6.9%	6.9%	2.3%	1.4%	3.0%	22.1%	1.0%	0.3%	8.5%	100.0%



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020





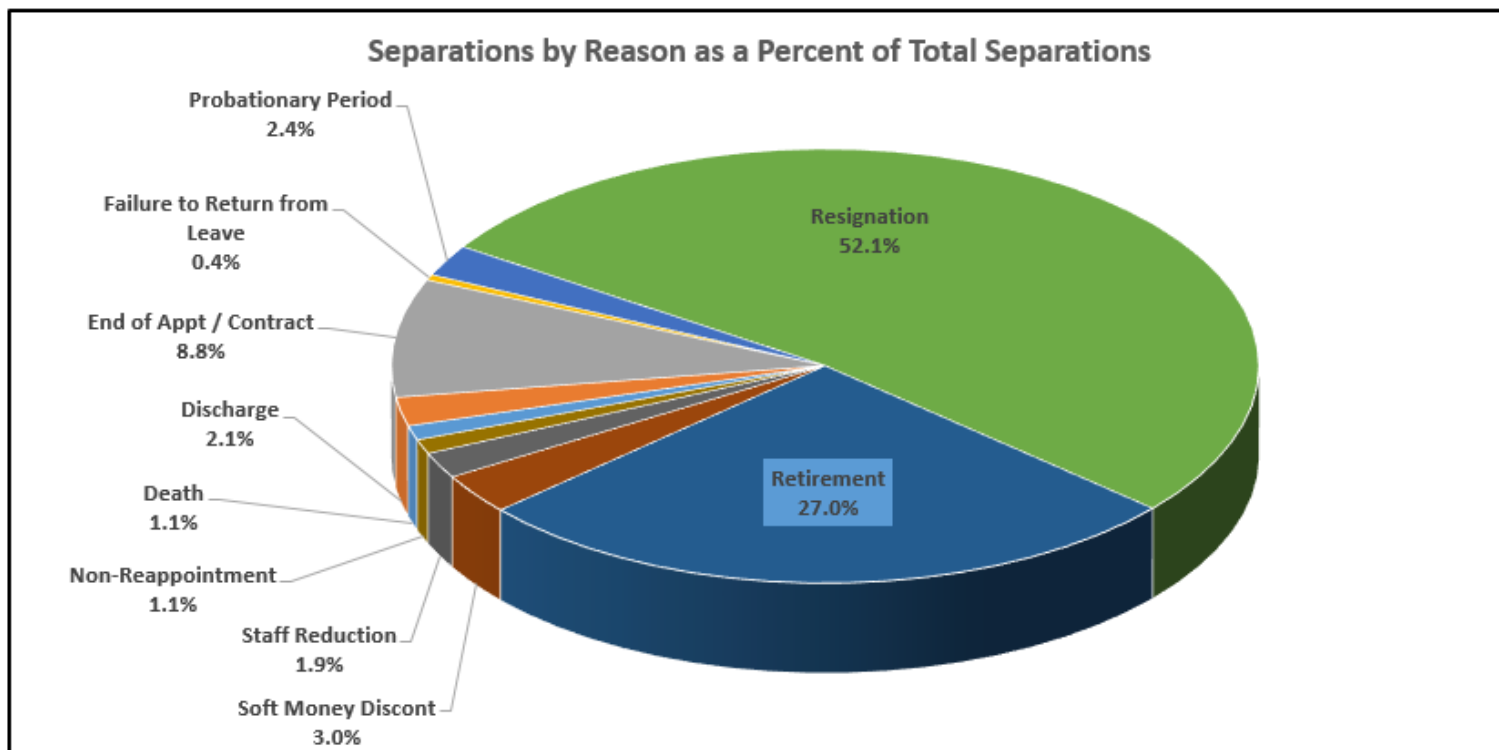
Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Separations by Reason by University											
Campus	Death	Discharge	End of Appt / Contract	Failure to Return from Leave	Probationary Period	Resignation	Retirement	Soft Money Discont	Staff Reduction	Non-Reappointment	Total
UM	1	2	24		6	106	67	11	5	5	227
UMA	1		4		1	14	10		2		32
UMF			2			17	5				24
UMFK			1			4	4		1		10
UMM		1	3	1	2	6		1			14
UMPI	2	1	1			8	2				14
USM		6	6	1	1	65	24	2	1		106
M LAW						2	3				5
U GOV							1				1
U SVC	1				1	21	10				33
Total	5	10	41	2	11	243	126	14	9	5	466



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

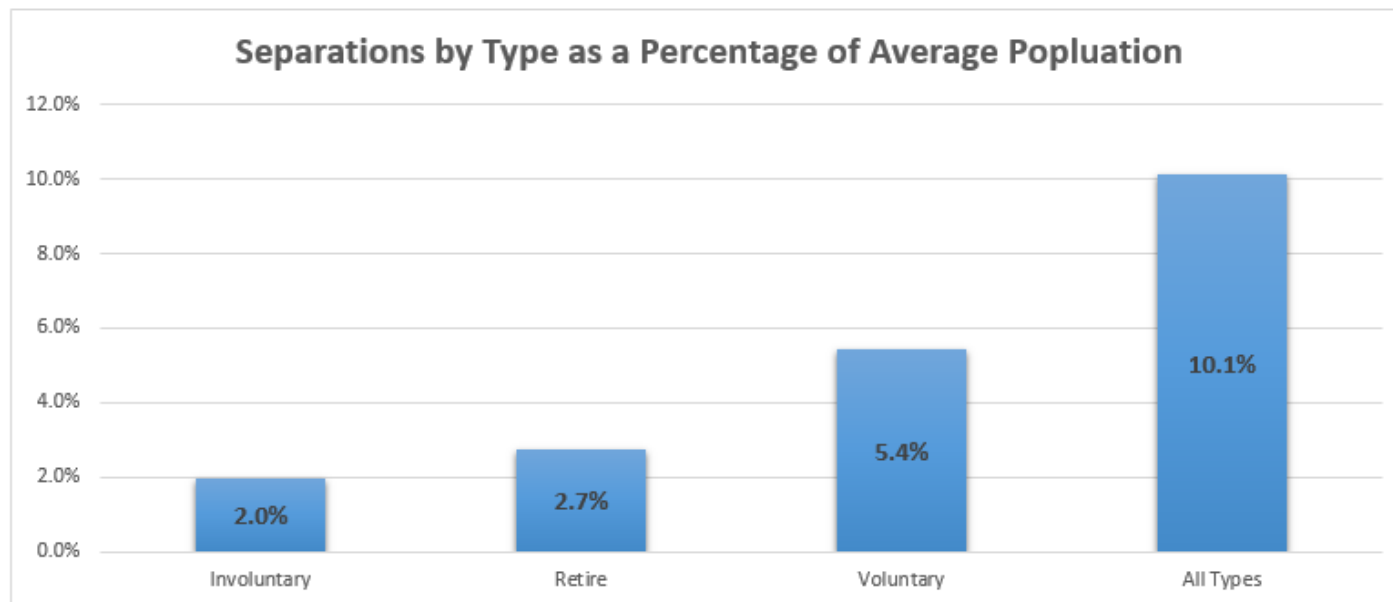
Separations by Reason as a Percent of Total Separations									
Death	Discharge	End of Appt / Contract	Failure to Return from Leave	Probationary Period	Resignation	Retirement	Soft Money Discont	Staff Reduction	Non-Reappointment
1.1%	2.1%	8.8%	0.4%	2.4%	52.1%	27.0%	3.0%	1.9%	1.1%





Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Separation Rate - Resignations and Total Separations as a Percent of University Population											
UM		UMA		UMF		UMFK		UMM		UMPI	
Resig	All	Resig	All	Resig	All	Resig	All	Resig	All	Resig	All
4.8%	10.4%	4.4%	10.0%	5.4%	7.6%	3.7%	9.3%	9.2%	21.5%	5.7%	10.0%
USM		M LAW		U GOV		U SERV		TOTAL			
Resig	All	Resig	All	Resig	All	Resig	All	Resig	All		
6.4%	10.4%	4.4%	11.1%	0.0%	6.9%	5.3%	8.4%	5.3%	10.1%		





Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

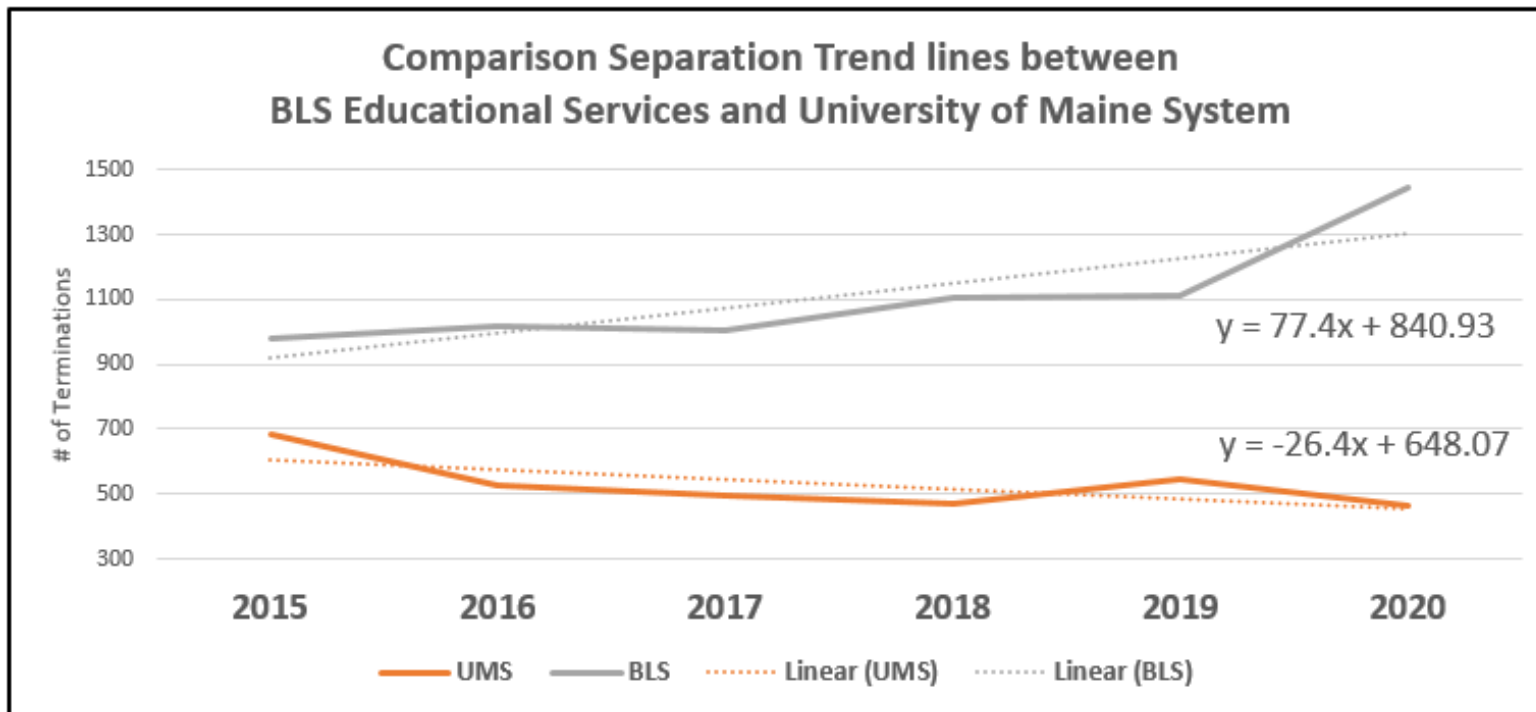
Average Years of Service Prior to Separation by University											
	UM	UMA	UMF	UMFK	UMM	UMPI	USM	M LAW	U GOV	U SERV	Total
	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs
Involuntary	2.8	3.1	2.0	2.6	1.9	6.9	2.4			0.4	2.7
Retirement	28.0	25.3	28.2	28.3		17.6	22.3	23.3	21.1	27.3	26.3
Voluntary	5.4	5.1	3.0	9.7	3.2	3.6	2.8	2.1		5.9	4.5
Total	11.4	11.0	8.2	15.7	2.6	6.1	7.2	14.8	21.1	12.2	10.1

Terminations by Years of Service, by Gender, and by Minority Status														
	Less Than One Year		One Year		Two Years		Three Years		Four Years		Over Five Years		Totals	
	Num	Per	Num	Per	Num	Per	Num	Per	Num	Per	Num	Per	Num	Per
# of Terminations	77	17%	71	15%	49	11%	41	9%	12	3%	216	46%	466	100%
Female	34	44%	36	51%	26	53%	26	44%	7	44%	124	57%	253	54%
Male	43	56%	35	49%	23	47%	15	56%	5	56%	92	43%	213	46%
Minority	10	13%	9	13%	4	8%	2	5%	0	0%	11	5%	36	8%
Non-minority	67	87%	62	87%	45	92%	39	95%	12	100%	205	95%	430	92%

Less Than One Year Terminations vs New Hires by Gender and by Minority Status			
	# of Terminations	New Hires	% Terminations vs New Hires
Female	34	188	18%
Male	43	160	27%
Minority	10	47	21%
Non-minority	67	301	22%



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020





Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

$$\text{Retention} = \frac{(\text{final \# of employees} - \text{\# separations})}{\text{initial \# of employees}} \times 100$$

Retention by University as Percent of Campus Population																					
UM		UMA		UMF		UMFK		UMM		UMPI		USM		M LAW		U GOV		U SERV		TOTAL	
Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%
1,939	88.6%	285	89.5%	289	91.5%	96	88.9%	46	70.8%	123	87.9%	911	89.6%	41	91.1%	14	96.6%	360	91.5%	4,104	89.1%

New Hires and Rehires by Number and Percent of Campus Population																					
UM		UMA		UMF		UMFK		UMM		UMPI		USM		M LAW		U GOV		U SERV		TOTAL	
Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%
149	6.8%	29	9.1%	16	5.1%	4	3.7%	5	7.7%	12	8.6%	98	9.6%	8	17.8%	0	0.0%	26	6.6%	348	7.6%

New Appointments and Transfers by Number and Percent of Campus Population																					
UM		UMA		UMF		UMFK		UMM		UMPI		USM		M LAW		U GOV		U SERV		TOTAL	
Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%
98	4.5%	17	5.3%	14	4.4%	7	6.5%	5	7.7%	3	2.1%	41	4.0%	4	8.9%	3	20.7%	18	4.6%	210	4.6%

New Hires and Rehires by University																					
UM		UMA		UMF		UMFK		UMM		UMPI		USM		M LAW		U GOV		U SERV		TOTAL	
Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%
149	42.8%	29	8.3%	16	4.6%	4	1.1%	5	1.4%	12	3.4%	98	28.2%	8	2.3%	0	0.0%	26	7.5%	348	100.0%

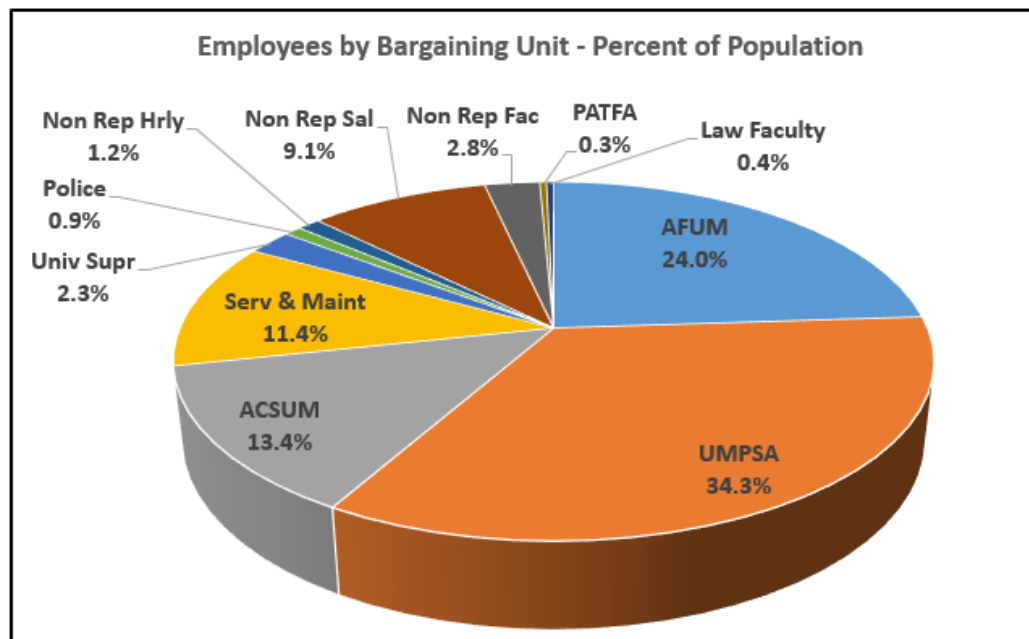
New Hires and Rehires by University by Gender and Minority Status																						
	UM		UMA		UMF		UMFK		UMM		UMPI		USM		M LAW		U GOV		U SERV		TOTAL	
	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%	Num	%
Female	77	52%	17	59%	12	75%	3	75%	4	80%	9	75%	50	51%	4	50%	1	100%	11	42%	188	54%
Male	72	48%	12	41%	4	25%	1	25%	1	20%	3	25%	48	49%	4	50%	0	0%	15	58%	160	46%
Minority	18	12%	0	0%	1	6%	0	0%	0	0%	3	25%	23	23%	1	13%	0	0%	1	4%	47	14%
Non-minority	131	88%	29	100%	15	94%	4	100%	5	100%	9	75%	75	77%	7	88%	1	100%	25	96%	301	86%



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Average Headcount - Regular Staff by Bargaining Unit											
AFUM	UMPSA	ACSUM	Serv & Maint	Univ Suprv	Police	Non Rep Hrly	Non Rep Sal	Non Rep Fac	PATFA	Law Faculty	Total
Num	Num	Num	Num	Num	Num	Num	Num	Num	Num	Num	Num
1,104	1,580	616	526	105	40	54	421	129	16	17	4,606

Employees by Bargaining Unit - Percent of Population											
AFUM	UMPSA	ACSUM	Serv & Maint	Univ Suprv	Police	Non Rep Hrly	Non Rep Sal	Non Rep Fac	PATFA	Law Faculty	Total
Per	Per	Per	Per	Per	Per	Per	Per	Per	Per	Per	Per
24.0%	34.3%	13.4%	11.4%	2.3%	0.9%	1.2%	9.1%	2.8%	0.3%	0.4%	100.0%





Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Separations by Reason by Bargaining Unit											
Union	Death	Discharge	End of Appt / Contract	Failure to Return from Leave	Probationary Period	Resignation	Retirement	Soft Money Discont	Staff Reduction	Non-Reappt	Total
AFUM			19			37	38			4	98
UMPSA	3		15		5	95	28	12	5	1	164
ACSUM	2	3	4		2	36	22	1	3		73
Serv & Maint		6		2	3	46	17				74
Univ Supr						1	4				5
Police		1				5	2				8
Non Rep Hrly					1	4					5
Non Rep Sal			2			15	10	1	1		29
Non Rep Fac						2	3				5
PATFA			1								1
Law Faculty						2	2				4
Total	5	10	41	2	11	243	126	14	9	5	466



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

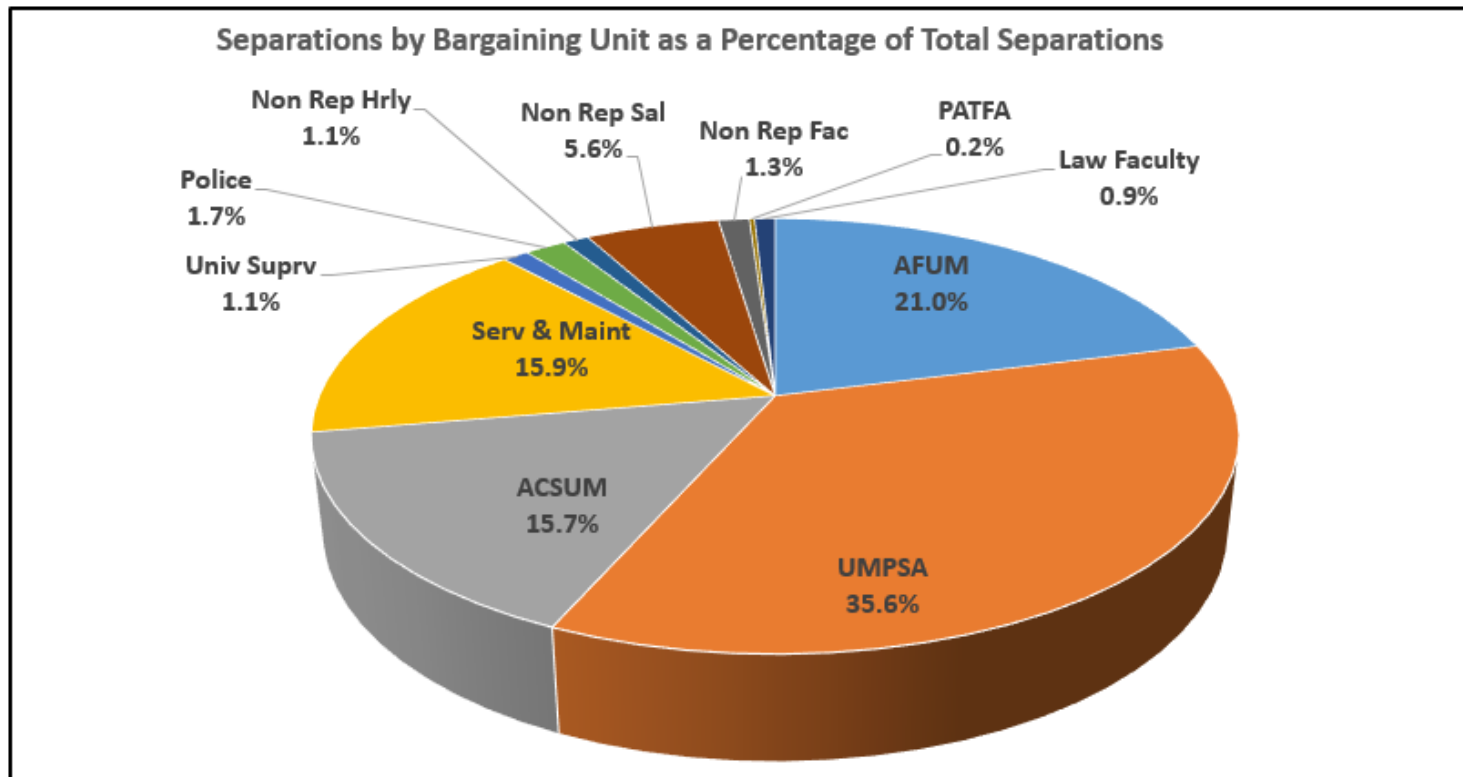
Separation Rate - Resignations and Total Separations as a Percent of Bargaining Unit Population											
AFUM		UMPSA		ACSUM		Serv & Maint		Univ Suprv		Police	
Resig	All	Resig	All	Resig	All	Resig	All	Resig	All	Resig	All
3.4%	8.9%	6.1%	10.5%	5.8%	11.9%	8.7%	14.1%	1.0%	4.8%	12.5%	20.0%
Non Rep Hrly		Non Rep Sal		Non Rep Fac		PATFA		Law Faculty		Total	
Resig	All	Resig	All	Resig	All	Resig	All	Resig	All	Resig	All
7.5%	9.3%	3.1%	6.2%	2.3%	4.7%	0.0%	6.5%	11.8%	23.5%	5.3%	10.1%

Average Years of Service by Separation Reason by Bargaining Unit											
	AFUM	UMPSA	ACSUM	Serv & Maint	Univ Suprv	Police	Non Rep Hrly	Non Rep Sal	Non Rep Fac	PATFA	Law Faculty
	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs	Yrs
Involuntary	2.4	2.6	3.3	1.3		0.4	0.4	8.6		0.1	
Retire	30.9	22.9	24.4	22.4	28.6	30.3		26.2	32.0		28.1
Voluntary	3.3	4.1	5.7	4.7	10.2	4.2	5.2	3.7	17.5		2.1
Total	13.8	7.0	10.9	8.4	24.9	10.2	4.2	12.1	26.2	0.1	15.1



Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Separations by Bargaining Unit as a Percentage of Total Separations											
AFUM	UMPSA	ACSUM	Serv & Maint	Univ Suprv	Police	Non Rep Hrly	Non Rep Sal	Non Rep Fac	PATFA	Law Faculty	Total
Per	Per	Per	Per	Per	Per	Per	Per	Per	Per	Per	Per
21.0%	35.6%	15.7%	15.9%	1.1%	1.7%	1.1%	5.6%	1.3%	0.2%	0.9%	100.0%





Turnover Analysis
Nov. 1, 2019 – Oct. 31, 2020

Retention by Bargaining Unit by Number and Percent											
AFUM		UMPSA		ACSUM		Serv & Maint		Univ Suprv		Police	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
984	89.2%	1,421	89.9%	525	85.3%	441	83.8%	101	96.2%	32	80.0%
Non Rep Hrly		Non Rep Sal		Non Rep Fac		PATFA		Law Faculty		Total	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
45	84.1%	400	95.0%	127	98.4%	15	96.8%	13	76.5%	4,104	89.1%

New Hires and Rehires by Number and Percent of Bargaining Unit Population											
AFUM		UMPSA		ACSUM		Serv & Maint		Univ Suprv		Police	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
55	15.8%	142	40.8%	47	13.5%	51	14.7%	1	0.3%	8	2.3%
Non Rep Hrly		Non Rep Sal		Non Rep Fac		PATFA		Law Faculty		Total	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
8	2.3%	26	7.5%	3	0.9%	3	0.9%	4	1.1%	348	100.0%

New Appointments and Transfers by Number and Percent of Bargaining Unit Population											
AFUM		UMPSA		ACSUM		Serv & Maint		Univ Suprv		Police	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
36	17.1%	87	41.4%	28	13.3%	21	10.0%	5	2.4%	2	1.0%
Non Rep Hrly		Non Rep Sal		Non Rep Fac		PATFA		Law Faculty		Total	
Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct	Num	Pct
1	0.5%	21	10.0%	3	1.4%	3	1.4%	3	1.4%	210	100.0%



Faculty Spotlight Presentation
UMS Board of Trustees, May 2021

Anne Kelly Knowles

McBride Distinguished Professor of History
Director, Digital & Spatial History Lab

- ❖ Total career external funding: \$2 million
- ❖ Guggenheim Fellow (2016-17)
- ❖ American Ingenuity Award (History), Smithsonian Magazine
- ❖ International leader in Historical GIS and Spatial Humanities
- ❖ Founding co-leader, Holocaust Geographies Collaborative
- ❖ Founder, International Virtual Graduate Seminar in Holocaust Geographies
(30+ members from 11 countries)



Holocaust Ghettos Project

Mission:

- ❖ Reveal the complexity of the Holocaust through mapping and spatial analysis.
- ❖ Involve students in globally significant, team-based research using the latest skills in GIS, mapping, and computational textual analysis.
- ❖ Make history exciting and relevant for the digital generation.

Institutional Partners & Funders:



NATIONAL ENDOWMENT
FOR THE HUMANITIES



USC Shoah Foundation
The Institute for Visual History and Education

Total external funding since 2016: \$384,000 — the second largest total of any Humanities research project at UMaine.

Holocaust Ghettos Project Team

Washington University in St. Louis



Juana Torralbo



Nicci Mowszowski



Justus Hillebrand



Maja Kruse



Anne Kelly Knowles



Anika Walke



Eve Duffy



Jeremy Braun



Dakota Gramour



Hailey Cedor



Paul B. Jaskot



Antonio LoPiano



Caitlyn Rooms



Will Kochtitzky
(now U. Ottawa)

Duke University

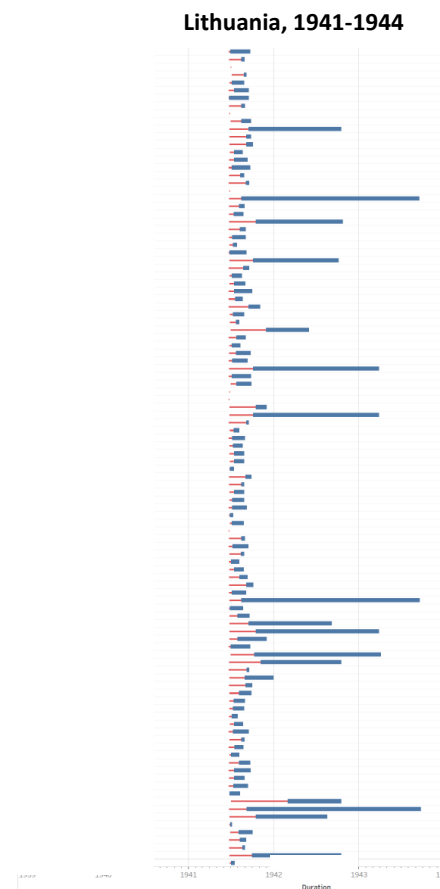
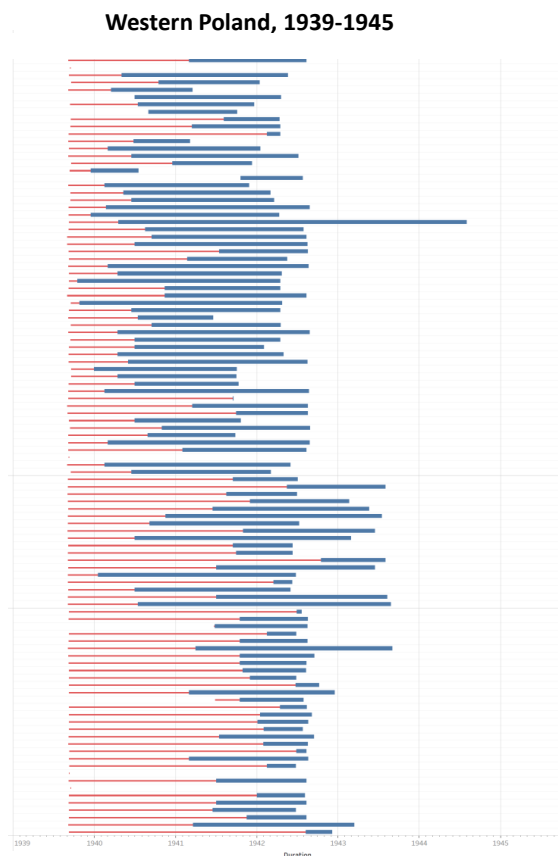
University of Maine

Not Pictured:
Dan Miller,
Chris St. Aubin

What is the Holocaust Ghettos Project and what is it discovering?

We are building databases from detailed historical sources about the traits of 1,142 ghettos in Eastern Europe and analyzing them in relation to victim experiences from hundreds of post-war interviews. In towns where German occupation continued months or years before ghettos were established, as in Western Poland, many more Jews survived. In Lithuania, 95% of Jews were killed.

Each line records German occupation (red) and duration of the ghetto (blue) for one city, town, or village.



Graphic by Jeremy Braun, 2020

Where were the best places to hide from German forces?



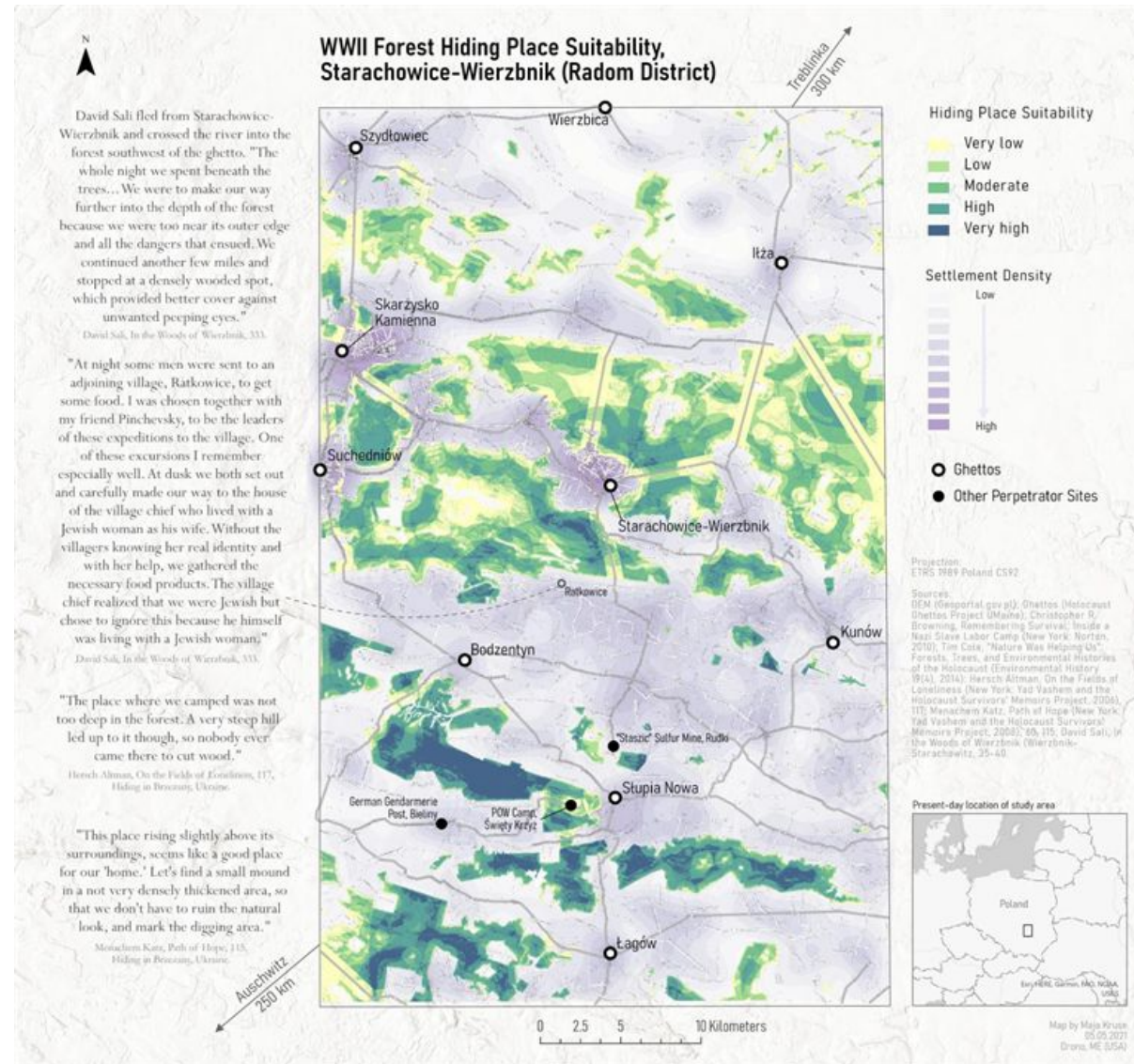
Interdisciplinary PhD student Maja Kruse used GIS to create a hiding suitability model, based on historical landscape features that she extracted from 1930s Polish maps like this one. She wanted to test criteria from one survivor's testimony, including the best kind of forest for hiding, ideal distance from towns and roads, and preference for high ground to avoid detection.

The result:

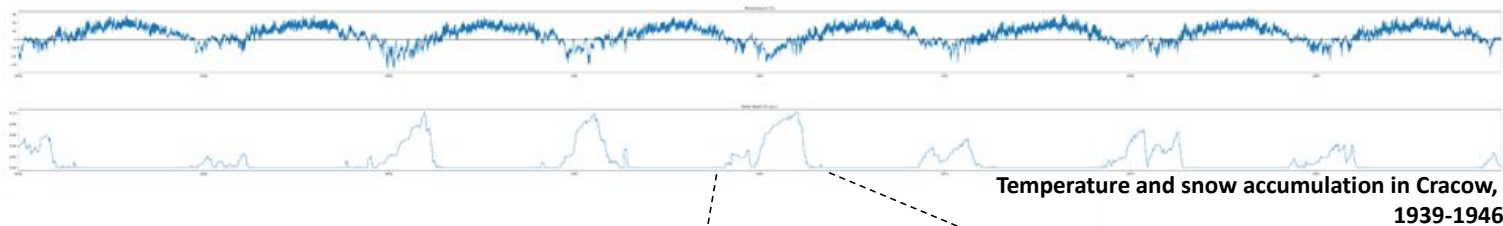
A professional quality map that predicts the relative safety of forested areas in an intensely patrolled part of central Poland.

Maja can now compare her model to interviews with people who lived in hiding.

Applied to other regions, the model will help explain how the physical environment facilitated or hindered escape from ghetto towns – in other words, the role environment may have played in survival.

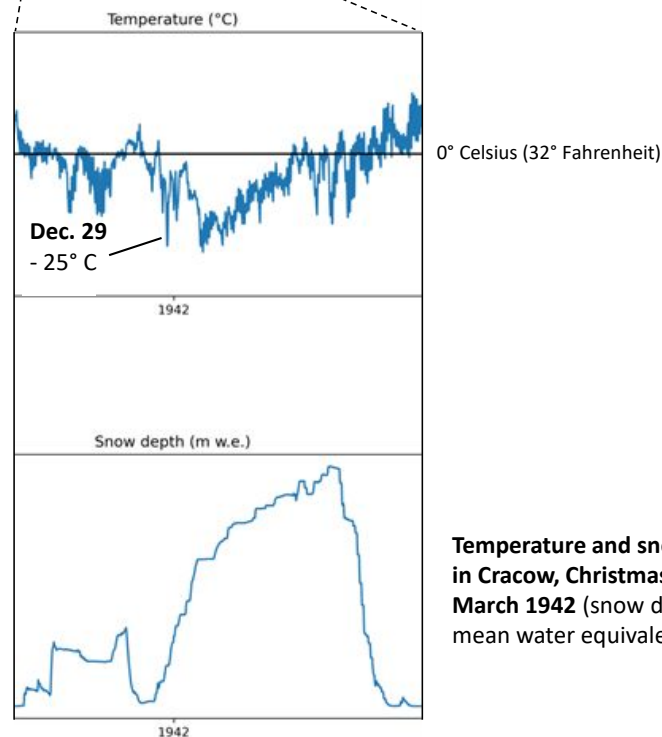


How did weather conditions affect living conditions in ghettos?



Will Kochtitzky (MSc Glaciology, UM 2019) built a weather estimation model based on European data from the war years. We are now testing the model's predictions of temperature and snowfall against survivor testimony and diaries.

The model proved incredibly accurate for the winter of 1941-42. On Dec. 29, 1941, German officials demanded that all ghetto residents hand over their furs and warm clothing. That left tens of thousands of people freezing during the coldest winter of the 20th century.



Temperature and snow accumulation in Cracow, Christmas 1941 to early March 1942 (snow depth measured in mean water equivalents).

Graphs by Will Kochtitzky, 2021

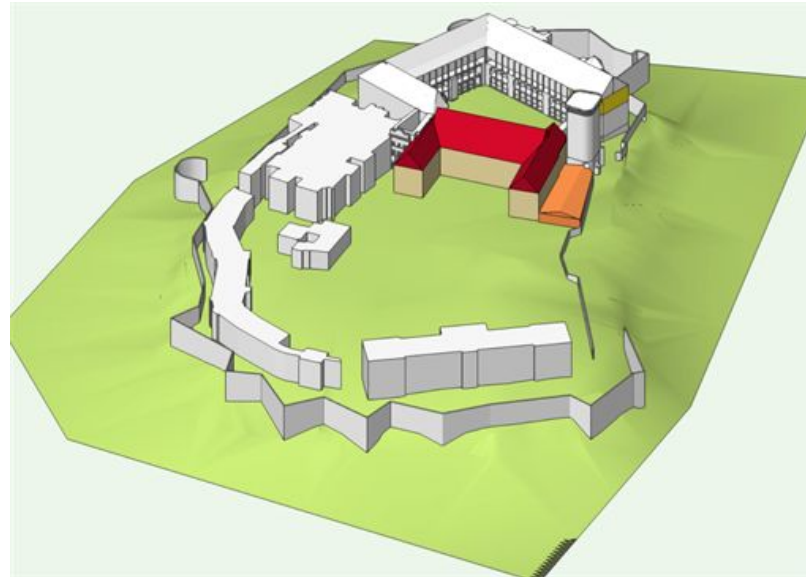
Case study of Cracow, Poland, under German occupation

Led by co-PI Paul Jaskot at Duke University, this part of the Ghettos Project is using 3D modeling to visualize how the Germans reshaped the built environment, part of their grand plan to make Cracow a new regional capitol for the Third Reich. Paul's group is also building a virtual Cracow Ghetto to better understand the richly place-specific post-war interviews of dozens of ghetto survivors. This was the ghetto where Oscar Schindler famously saved over a thousand Jews by employing them in his ceramic factory.



New German construction in the old castle complex (the Wawel), 1941-1944.

Photograph by Paul B. Jaskot

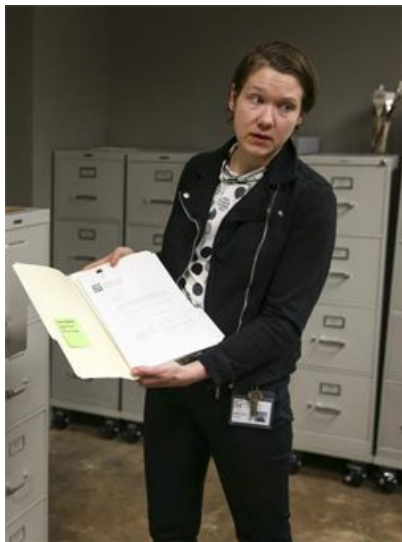


Digital model showing administrative extensions to the Wawel.

Model produced by the Wired! Art History Digital Lab, Duke University

What do students gain from their involvement in the Ghettos Project?

- ❖ Research experience with a diverse interdisciplinary team.
Team members come from History, Art History, Archaeology, Geography, German Studies, Earth Science, International Affairs, Computer Science and Information Science. Every student plays to their strengths while learning from the team.
- ❖ Superb preparation for graduate research.
All of the project's current RAs are pursuing graduate study in their chosen fields. Knowles's research is attracting MA and PhD applicants from across the USA and overseas.
- ❖ Highly competitive skills for today's job market.



Honors College graduate **Jennifer Cashin** (UM 2017) became an intern and then a staff member at the U.S. Holocaust Memorial Museum in Washington, DC. She now manages art collections at the University of Oklahoma.



UM History PhD student **Justus Hillebrand** is working as a consultant for the U.S. Holocaust Memorial Museum, where he is designing an online, interactive system to capture data on 40,000 sites of forced labor.

Programs for Examination

University of Maine
May 2021



University of Maine

Fall 2020 Enrollment: 11,741 (9,465 undergraduate/2,276 graduate)

Fall 2020 Faculty: 829 faculty

Degrees offered:

- 90 undergraduate majors and academic programs
- 85 master's degree programs
- 35 doctoral programs
- 23 Certificate programs

Carnegie Classification: High Research Activity

Rankings: Consistently ranked in US News & World Report and Princeton Review; Ranked among top third of public universities for research by National Science Foundation

Strategic Plan: Strategic Vision and Values Framework (Published fall 2019)

Strategic Focus: Strategic Vision and Values Framework

- Goal 1: We will support and grow Maine's economy through new discoveries and by building a workforce whose members are engaged in their communities and prepared for lifelong success
- Goal 2: We will continue to provide accessible and affordable education, research and service through processes that ensure effectiveness, efficiency and quality.
- Goal 3: The university will be a rewarding place to live, learn and work by sustaining an environment that is diverse and inclusive, and fosters the personal development of all its stakeholders.

Examples of Strategic Focus for Academic Priorities

We will welcome and support all learners and engage them in experiential learning.

Highlights: Support timely progress to graduation; offer a range of educational programs for diverse learners; provide authentic experience in research, scholarship and/or creative activity; expand production of students with graduate-level credentials to meet workforce needs

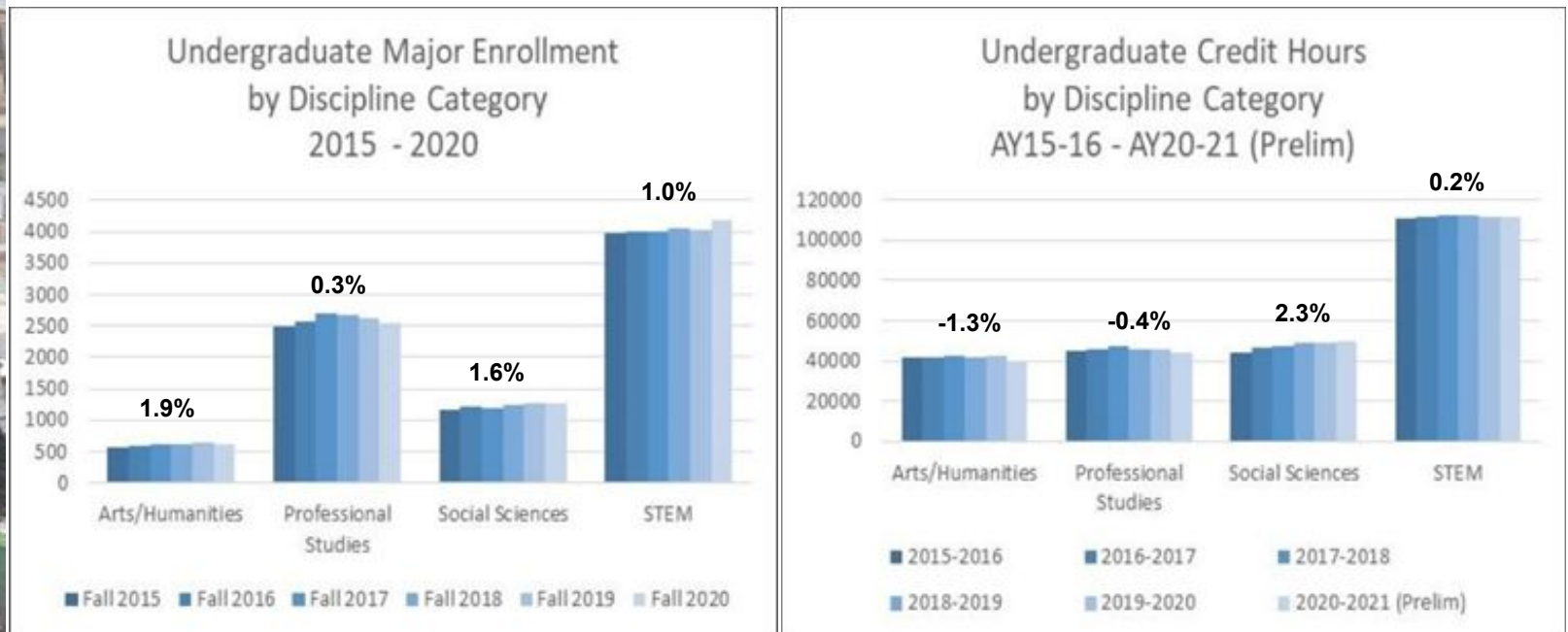
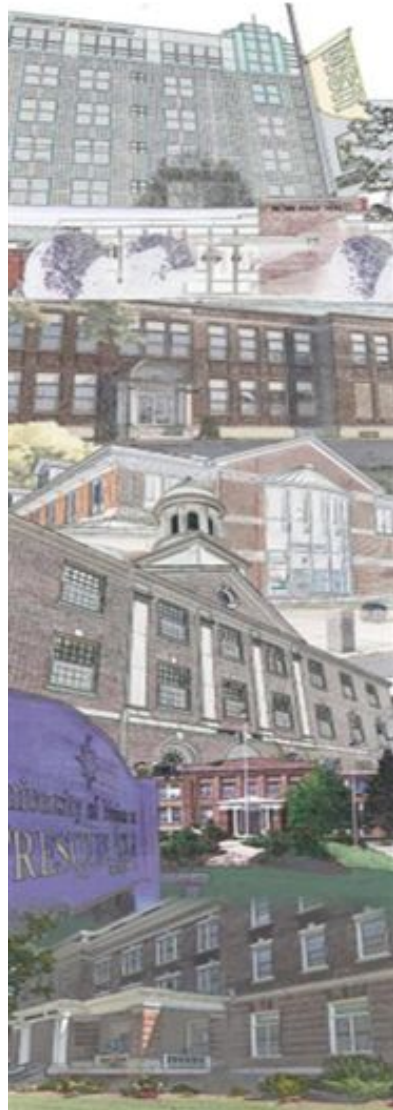
We will create new knowledge and apply innovative research and scholarship to enrich lives.

Highlights: Produce graduates to contribute to knowledge, innovation, and creative economy; grow and diversify doctoral enterprise

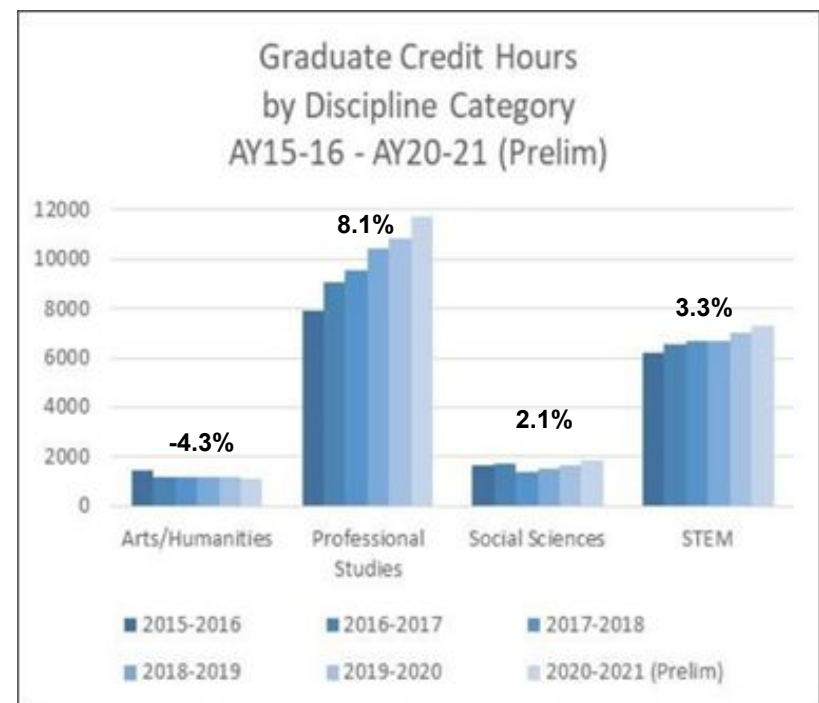
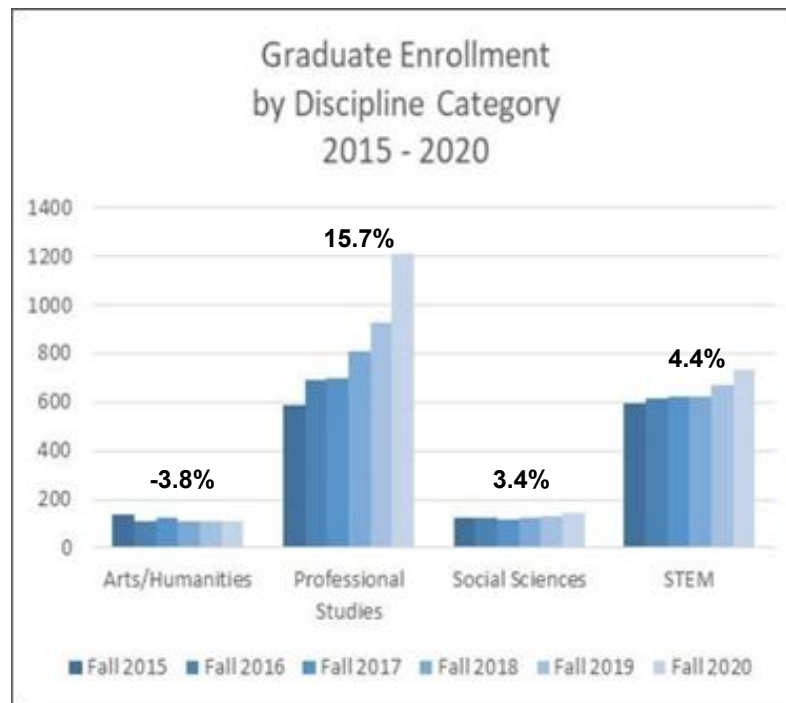
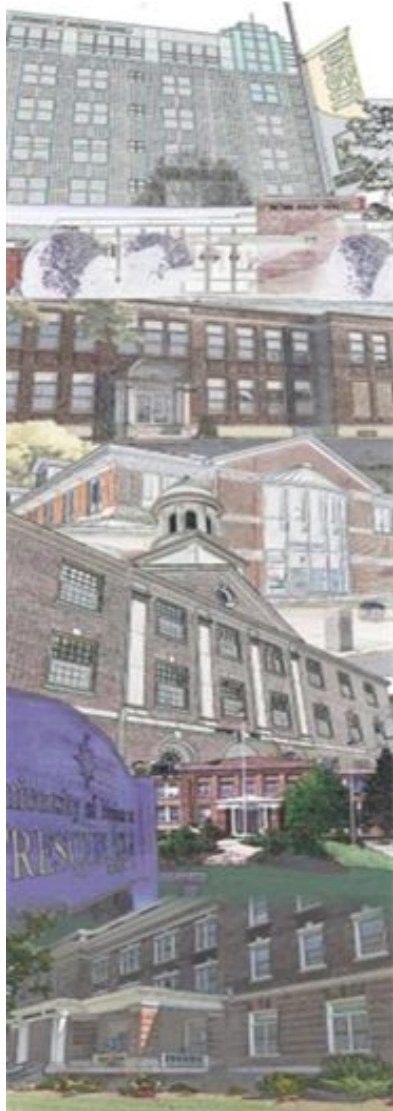
We will grow and advance partnerships to catalyze the cultural, economic and civic future of Maine and beyond.

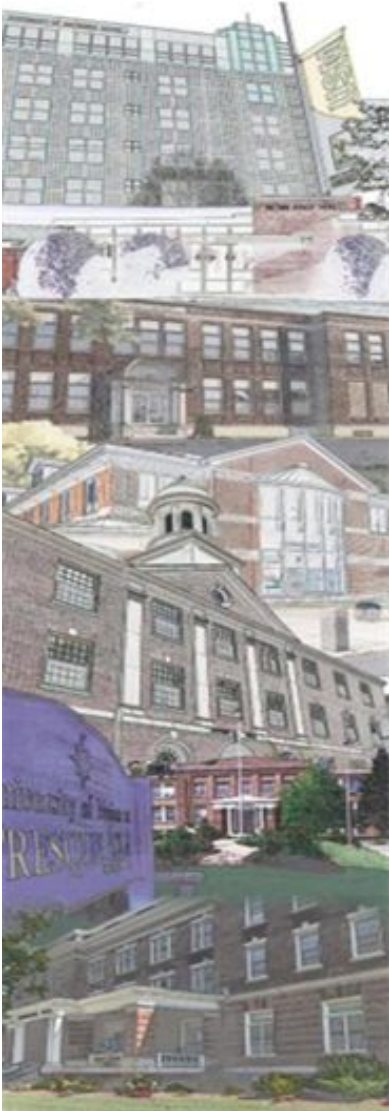
Highlights: Collaborate with stakeholders; engage in cross-campus partnerships to expand opportunities for students

Inventory: Enrollment (and compound annual growth rate)



Inventory: Enrollment (and compound annual growth rate)





Inventory: Other Programs

- Over 100 minor programs (15% of undergraduates are enrolled in a minor)
- 4+1 Programs: 22 disciplines
- Experiential learning/undergraduate research
 - Experiential Programs Innovation Central (EPIC)
 - Foster Center for Student Innovation
 - Maine Learning Assistant opportunities
 - Center for Undergraduate Research (CUGR)
 - UMaine Arctic
- Student success
 - First-year success courses
 - Academic Recovery Program
 - UMS Transforms

Strengths, Challenges, Opportunities

Strengths:

- Interdisciplinary opportunities
- Explorations and other programming for first-year students
- Research learning experiences for students
- Pedagogy informed by STEM Education research

Challenges:

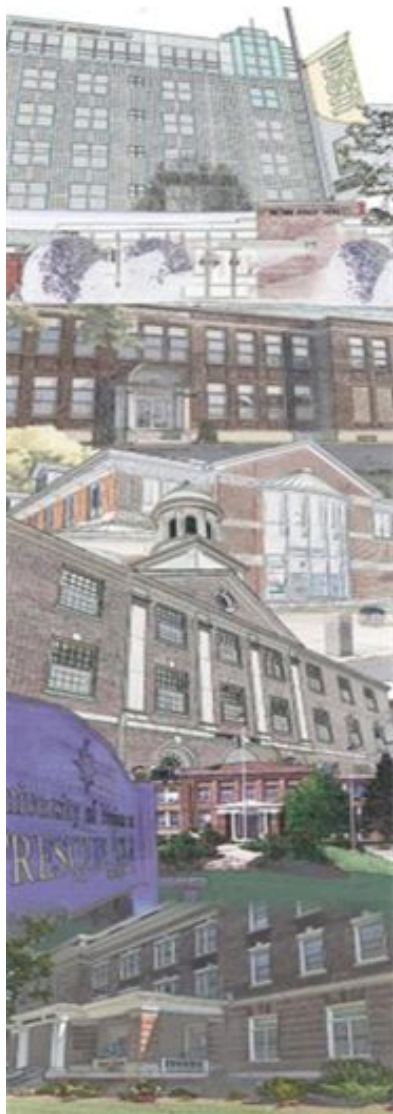
- Student retention
- General college readiness
- Gateway course barriers
- Achievement gaps
- Hiring/retaining faculty

Opportunities:

- Restructuring of Academic Affairs
- UMS Transforms

Aspirations:

- Enrollment growth





Evaluation: Program Review process

Program Review – campus process revision

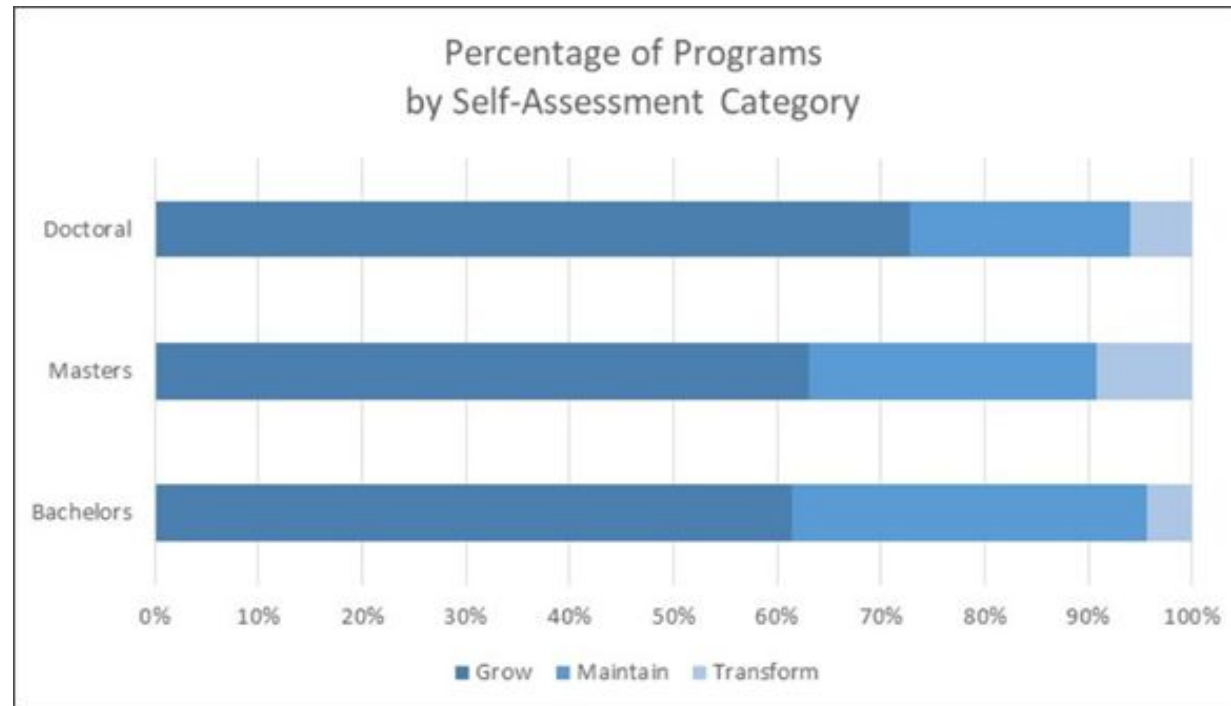
- Created 2 summary resources for units preparing reviews, emphasizing key requirements/elements and suggested timeframes
- Developed a program review overview web presentation in collaboration with OIRA for August delivery when units are preparing to undergo reviews
- Reinstated annual communication in August with the dean's office in each college to confirm their upcoming reviews in the academic year ahead





Evaluation

2020 Programs For Examination





Evaluation

Recent Enrollment Growth/Decline (2020 PFE Self-Assessment)

Growing Undergraduate Disciplines

- Business (*Grow*)
- Surveying Engineering Technology (*Grow*)
- Financial Economics (*Grow*)
- Sociology (*Grow*)
- Political Science (*Grow*)
- Ecology & Environmental Sciences (*Grow*)

Undergraduate Disciplines with Declining Enrollment

- Modern Languages & Classics (*Maintain/Grow*)
- Food Science & Human Nutrition (*Maintain*)
- Child Development/Family Relations (*Grow*)

Growing Graduate Programs

- MS Information Systems (*Grow*)
- MEd Instructional Technology (*Grow*)
- MBA (*Grow*)
- PhD programs in Chemistry (*Grow*),
Biomedical Science (*Grow*), Ecology &
Environmental Sciences (*Maintain*)

Graduate Programs with Declining Enrollment

- Master's of Science in Teaching (*Grow*)
- Electrical/Computer Engineering (*Grow*)



Evaluation

GROW: Expanding Access through Online Programs

- Online Bachelor's Degree in Economics
- Online Bachelor's Degree in Business Management
- Online Undergraduate Certificate and Bachelor's degrees in Survey Engineering Technology
- Online Graduate Certificates in Business Analytics, Computational Thinking for Educators, Computing for Educators, Data Science & Engineering, Food Technology, Human Nutrition, Library & Media Specialist, Try on Leadership

Relevant SVV Goals: We will offer a range of educational programs to our diverse learners, including noncredit, professional development programs, badges and other micro-credentials. We will expand production of students with graduate-level credentials to meet workforce needs in Maine and beyond.



Evaluation

GROW: Addressing Workforce Needs

Majors

- MS in Data Science and Engineering (collaboration with UMA/UMM/USM)
- New MBA Concentrations (e.g., Business Analytics, Healthcare Systems)

Other programs

- Expand Internships/field experience opportunities (undergraduate and graduate)
- Mental Health and Rehabilitation Minor (collaboration with UMM)
- Minor in Professional Skills for the Liberal Arts
- Expanding micro-credential opportunities (e.g., Food safety, 4-H STEM Ambassadors, Innovation Engineering)

Relevant SVV Goals: We will expand production of students with graduate-level credentials to meet workforce needs in Maine and beyond.

We will produce graduates prepared to contribute to the knowledge, innovation and creative economy.



Evaluation

TRANSFORM to Improve the Student Experience

- One catalog planning in progress with UM/UMM
- UM/UMM program collaborations underway
- Modern Languages & Classics: French and Spanish redesign
- Adding online delivery option for Master's in Music Education

Relevant SVV Goals: We will support timely progress to graduation.

Our curricula will prepare undergraduate and graduate students for success by aligning tailored academic pathways with the skills needed to thrive in a range of career contexts.



Evaluation

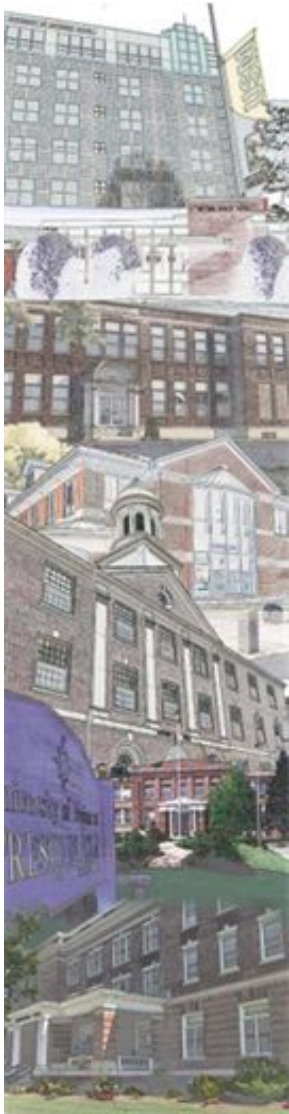
Collaborations Across Campuses

- UM/UMM: Minor in Mental Health Rehabilitation
- MEd Instructional Technology (UMF/USM)
- MS Athletic Training (UMPI/USM)
- MEd/EdS Rural Education Leadership (UMPI)
- MS 4+1 Special Education (UMA/UMM)
- MS Data Science and Engineering (UMA/USM/UMM)

Relevant SVV Goals: We will align research and academic resources in cross-campus partnerships to expand opportunities for students and communities throughout Maine.

Plan: Growth Phase for UMaine

- Aspiration to significantly grow undergraduate and graduate enrollment
- Cluster hiring of faculty with related, interdisciplinary interests that support university priorities
 - Cluster hires will be linked to addressing complex societal problems and/or translational research areas through convergence research





Initiatives: 2021-2022

- Full implementation of new math placement exam software
- Expansion/modification of first-year success courses (College of Liberal Arts & Sciences)
- Summer Bridge program first-generation students (Natural Sciences, Forestry, & Agriculture)
- New living learning communities (Maine Business School, College of Education & Human Development)
- Major-specific RLE offerings (All Colleges)
- Summer excursion cohort-building experiences (Honors College)



Initiatives: 2020 - 2021

- Summer Start Program
- UMA-UM STEM Bridge Program
- One catalog collaboration with UMM
- Navigate Early Alert/Progress Report expansion
- President's Council for Diversity, Equity, and Inclusion
- UMS Transforms Student Success & Retention Initiative



Initiatives: UMS Transforms

Student Success and Retention 2021 and Beyond Example Initiatives

Research Learning Experiences

- One-week summer bridge program focused on RLE (Summer 2021 start)
- One-credit RLE fall courses (Fall 2021 start)
- Expansion of EPIC (2021 and beyond)
- Research incubators (Honors College)
- GEM green engineering micro-credential certificates

Gateways to Success

- Maine Learning Assistants

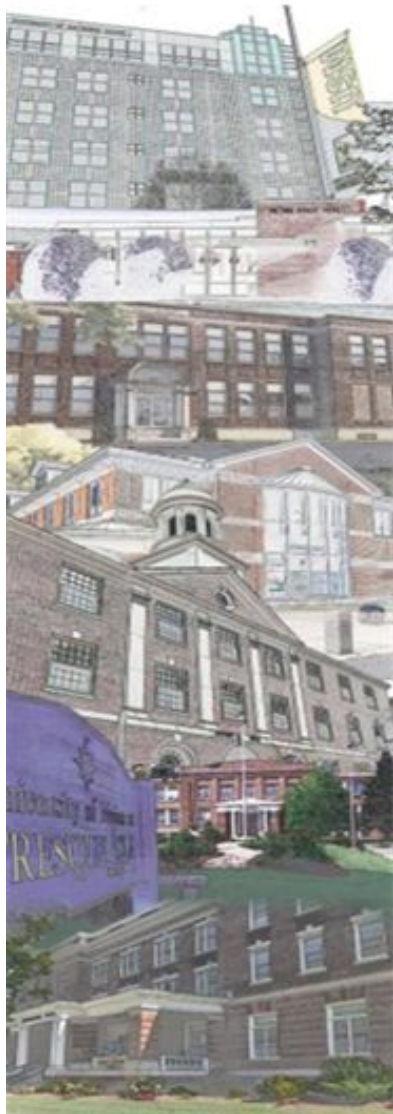
Pathways to Careers

- Expanding internship and Co-op opportunities

Programs for Examination

University of Maine at Machias
May 2021

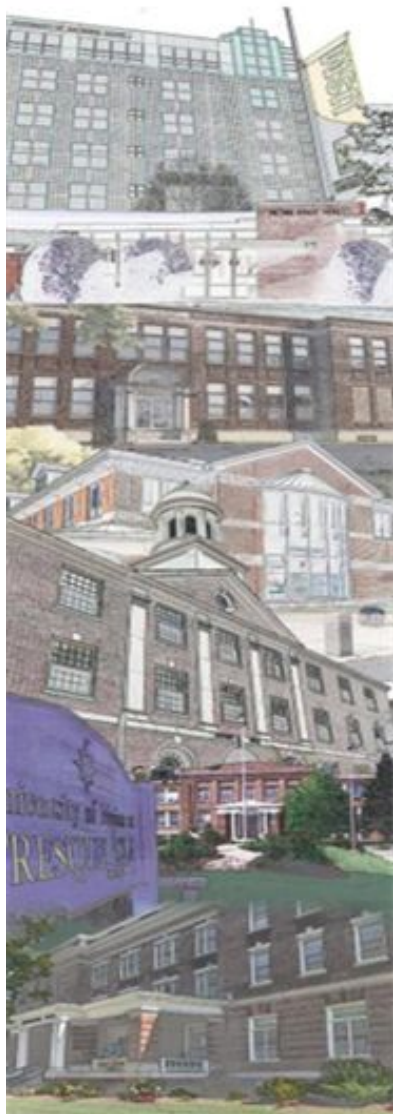




Program Inventory

- Business & Entrepreneurial Studies
- **Education** (total)
- Recreation & Tourism Management
- Bachelor of College Studies (degree completion program)

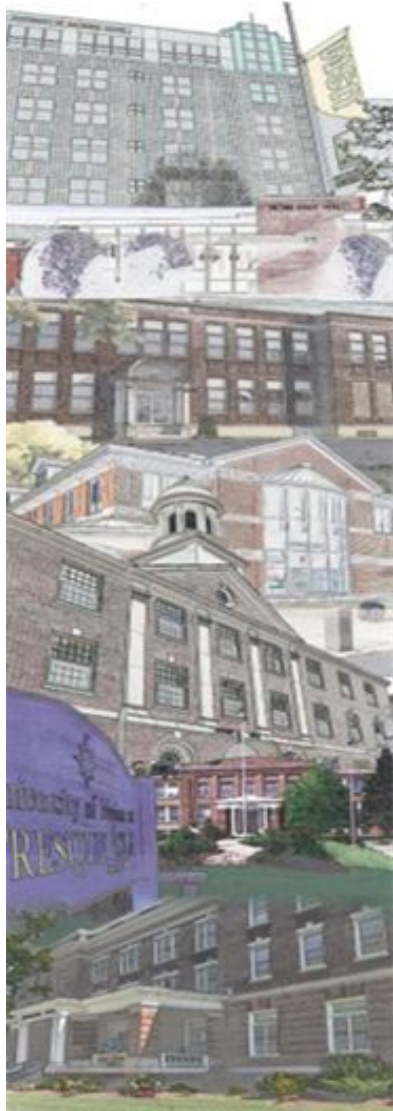
Distinct Count of Majors (2019-20)	Degrees Conferred (2018-19)	Faculty FTE (12/31/2018)
57	6	3
68	4	3
37	6	3
30	11	--



Program Inventory

- **Creative Arts**
- **Psychology & Community studies**
- ~~Interdisciplinary Studies~~
- ~~English, Creative Writing and Book Arts~~

Distinct Count of Majors (2019-20)	Degrees Conferred (2018-19)	Faculty FTE (12/31/2018)
21	2	3
90	19	5
1	0	--
17	3	1



Program Inventory

- Biology
- **Environmental Studies***
- Marine Biology

Distinct Count of Majors (2019-20)	Degrees Conferred (2018-19)	Faculty FTE (12/31/2018)
51	10	--
16	5	--
42	8	-- (9)

*Environmental GIS



Evaluation

UMM has identified professional preparation as a strategic focus and mission of our academic programming.

- Added **Aquaculture** to our Associates degree and Marine Biology degree.
- **Creative Arts** has incorporated Adobe Suite and workplace skills.
- Every program has required field placements and internships.
- Every program has a significant professional experience in the first semester.



Evaluation

- **Grow**

- Business & Entrepreneurial Studies (WCCC)
- Education (UM 4+1)
- Creative Arts (Low residency model)
- Psychology & Community Studies (UM's MHRT)
- Biology (Career focus in Allied Health/Hutchinson Center)

- **Transform**

- Bachelor of College Studies (UM's BUS)
- Recreation & Tourism Management (Outdoor Leadership/Business)
- Marine Biology (Aquaculture focus)
- Environmental Studies (Environmental GIS)

- **Sunset**

- Secondary and Elementary Education (Now Education)
- English, Creative Writing and Book Arts
- Interdisciplinary Studies

Plan

To strengthen the existing academic portfolio:

- Include more career focus curriculum
- Combine (ES+GIS and ELEM+SEC)
- Partner (WCCC & UM)





Regional Campus Initiative

- 2017 Primary Partnership is in the Academic Phase with the Regional Campus Task Force in place.
- Working to combine and align the UM and UMM catalogs into a unified University of Maine catalog comprising the institution's total course offerings, programs, and a unified set of academic policies and procedures.
- UM and UMM data will be consolidated and housed in one location.
- The work is ongoing progress report May 2021 and incorporate feedback from all relevant parties by August 2021 for a target implementation of fall 2022.

Questions?



Enhancing Opportunities for Research, Development, and Innovation UMS-Wide: Role of the VCRI

*UMS Board of Trustees Update
May 24, 2021*

Joan Ferrini-Mundy

Vice Chancellor for Innovation and Research

President, University of Maine and University of Maine at Machias

joan.ferrini-mundy@maine.edu



Special thanks to:

Jason Charland

University of Maine Senior Advisor to the President for Research and Director of Office of Research Development

Laurel Hyle

UMS Deputy General Counsel

Glen Mandigo

Senior Vice President, Strategic Marketing Innovations, IINC, Washington DC; UMaine Government Relations partner

Kris Sahonchik

University of Southern Maine, Director of Research & Cutler Institute

Kody Varahramyan

University of Maine Vice President for Research and Dean of the Graduate School

Jake Ward

University of Maine Vice President for Innovation and Economic Development

Sam Warren

UMS Director of Government & Community Relations



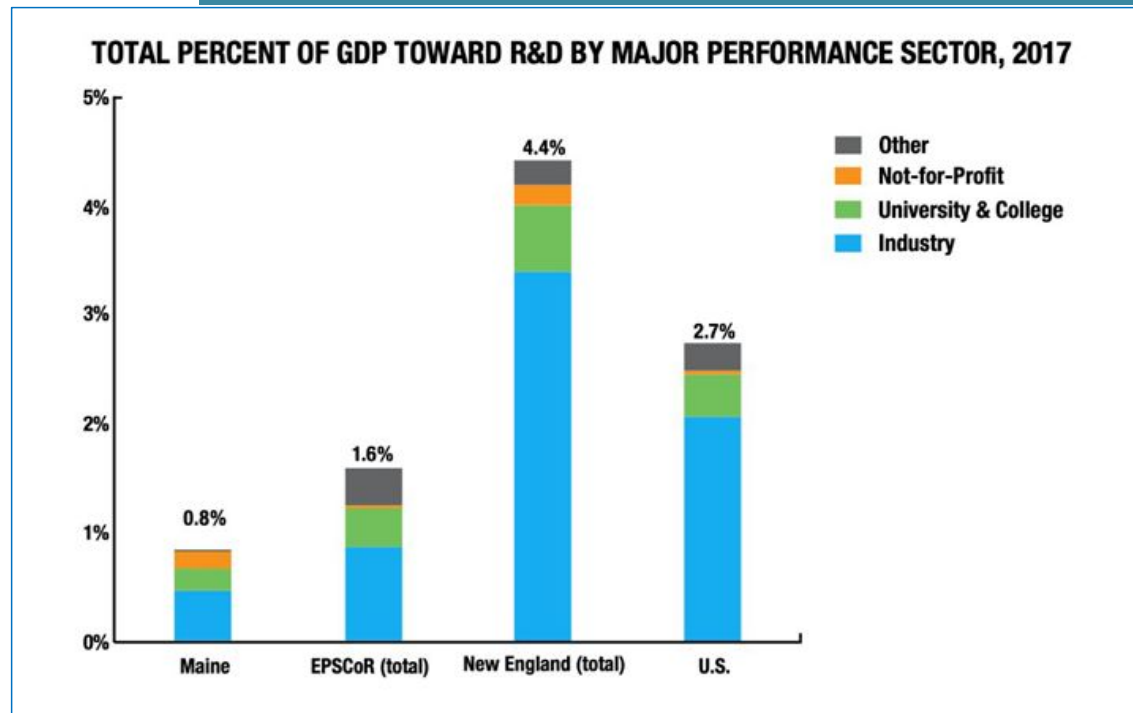
Context for the Research-Development-Innovation-Commercialization Discussion in Maine: Economic Development and Workforce Talent

The collage includes the following documents:

- Maine Economic Development Strategy 2020-2029**: A focus on talent and innovation.
- GOVERNOR'S ECONOMIC RECOVERY COMMITTEE** report.
- Research AND DEVELOPMENT PLAN FY20-FY24** from the University of Maine System.
- UMS Research Reinvestment Fund (RRF) Annual Report of Activities** from the UMS Board of Trustees Meeting March 24 & 25, 2019.
- MEASURES OF GROWTH+ 2020** report on performance measures and benchmarks.
- MAINE ECONOMIC IMPROVEMENT FUND** report.
- Strategic Roadmap to Achieve Carnegie Classification of Highest Research Activity** by Kody Varahramyan.
- The Maine Jobs & Recovery Plan** from May 4, 2021.
- MAINE'S CLIMATE FUTURE** report with a 2020 update.
- MS FORMS** document.
- Harold Alfond Foundation Grant** information.
- Biden Administration FY FY2022 Proposed Budget** table.

Agency/Program	FY2021	FY2022 Proposed	\$ Increase	% Increase
Agriculture	\$1.0	\$27.8	+\$3.8	+16.0%
Commerce	\$1.0	\$11.4	+\$2.5	+27.7%
Education	\$703.7	\$715.0	+\$11.3	+1.6%
Health and Human Services	\$73.0	\$102.8	+\$29.8	+40.8%
Transportation	\$41.8	\$46.1	+\$4.3	+10.2%
Other Services	\$108.6	\$133.7	+\$25.1	+23.1%
Security	\$51.9	\$52.0	+\$0.1	+0.2%
Community and Urban Development	\$50.8	\$58.2	+\$7.4	+14.6%
Interior	\$15.0	\$17.4	+\$2.4	+16.3%
Justice (DOJ)	\$33.4	\$35.2	+\$1.8	+5.3%
Labor	\$12.5	\$14.2	+\$1.7	+14.0%
State and Foreign Aid	\$56.7	\$63.5	+\$6.8	+11.9%
Transportation	\$25.3	\$25.6	+\$0.3	+1.2%
Treasury	\$13.5	\$14.9	+\$1.4	+10.6%
Veterans Affairs	\$104.6	\$113.1	+\$8.5	+8.2%
Environmental Protection Agency	\$9.2	\$11.2	+\$2.0	+21.3%
Other Agencies	\$71.5	\$80.4	+\$8.9	+12.4%
Total	\$1,404.4	\$1,522.4	+\$118.0	+8.4%

Source: Office of Management and Budget



Measures of Growth: Performance Measures and Benchmarks to Achieve a Vibrant and Sustainable Economy for Maine, December 2020, p. 18

Since early March...

- Engaging in conversations/listening sessions to determine how to shape the new role of VCRI and to gather ideas about research and innovation possibilities for UMS - ongoing
- Facilitating UMS-wide coordination of selected initiatives involving federal funding/research-development-innovation-workforce
- Expanding access to UMaine research infrastructure and expertise UMS-wide
- Learning about the research and innovation portfolio and future plans/aspirations for each campus



Conversations/listening sessions: WHO

- National colleagues (university presidents, VPRs and VCRs, NSF)
- Congressional delegation
- Maine business leaders
- State government
 - Governor's cabinet members
 - Former legislators

- UMaine center and institute directors, deans, cabinet members
- UMS leaders
- UMS presidents and researcher leaders
- Faculty and graduate students



Conversations/listening sessions: THEMES

- Think big, look at national context and plan for Maine
- Consider the key needs of the state and UMS role in the future of the economy
- Look at full research and innovation cycle: basic research, applied research, development, commercialization
- Build capacity in research areas that are underdeveloped for Maine
- Inform policy in Maine
- Build a workforce for Maine that has learned in a research environment and has had research learning experiences
- Develop clarity about the role of the System, in addition to the role of UMaine as the land-sea-space grant institution



Conversations/listening sessions: IDEAS

UMS R&D role statewide to improve Maine economy

- Build more MEPRI-like capacity (UMaine and USM)
- Emphasize commercialization of UMS IP

UMS research infrastructure

- Address compliance, IRB/IACUC, grants and contracts management, licensing of databases, indirect cost recovery
- Make UMaine research infrastructure and resources more available UMS-wide



Conversations/listening sessions: IDEAS

Support for faculty

- Clearinghouse/database of all UMS research projects
- Provide seed funds for UMS-based research
- Professional development, onboarding, how to have an active research agenda with heavy teaching loads, finding grant opportunities, partnering with researchers, working with graduate students
- Commercialization opportunities

UMS research infrastructure

- Address compliance, IRB/IACUC, grants and contracts management, licensing of databases, indirect cost recovery
- Make UMaine research infrastructure and resources more available UMS-wide



Coordination of Initiatives: Examples

- MEIF Small Campus Initiative
- Research Reinvestment Fund
- Community Project Funding – US House of Representatives
- Congressionally Developed Spending – US Senate
- American Rescue Plan/Governor's Maine Jobs and Recovery Plan



Expanded access to UMaine research infrastructure

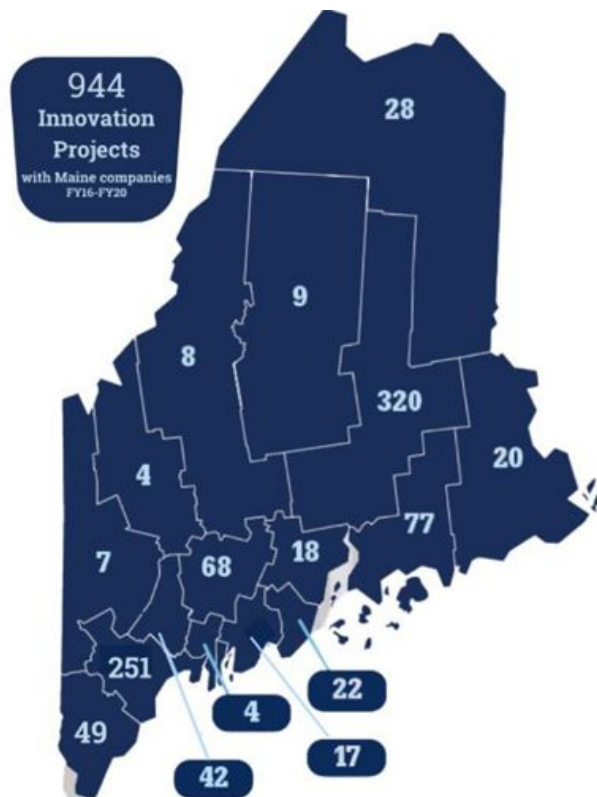
UMS Grants Academy

- 17 UMS researchers participating in year-long cohort-based grant writing course (1 UMA, 1 UMFK, 2 UMF; 2 UMPI; 6 USM; and 5 UMaine)
- Currently recruiting for the AY 21-22 cohort

Summer 2021 Research Faculty Affiliates Pilot Programming

1. Faculty/researcher consults to develop individualized funding plans
2. Rolling RRF planning grants to promote UMS research team formation
3. Project development targeting 2022 MEIF Small Campus Initiatives
4. Facilitation of faculty affiliation pathways
5. Graduate student teaching exchange
6. Match-making with initiatives and professional development opportunities

Expanded access to UMaine innovation infrastructure



4 Cohorts

18 teams | 38 total participants | 10 graduate students

\$ 148,000

Total external grant funding

4 Patents

Issued to related inventions



9
Teams in first two cohorts



\$2 MILLION +
raised in
external funding
and prototype
sales

5
Startups
Incorporated

3
Teams to
National I-Corps

4
Patents filed
or in process



What's Next?

- *Graduate faculty registry (Joe Szakas, Robert Placido and CAOC)*
- *UMaine Research Faculty Affiliates (Jason Charland)*
- *UMS-wide Research and Innovation Council (build from RRF Advisory Board)*
- *Issues: IRB and compliance (Laurel Hyle, Kody Varahramyan, Ross Hickey, and Amanda Ashe)*
- *UMS R&D and Commercialization Summit, in partnership with Maine State Chamber, DECD and others, fall 2021 (Sam Warren, Jake Ward, others)*
- *Evaluation of UMS Transforms Research Learning Experiences (RLEs) and plans for scaling (John Volin, Deb Hedeem)*
- *Proposal for KPIs that are aligned with research universities (UMaine team)*
- *Discussions with research-interested faculty on individual campuses (presidents, faculty, VCRI)*



Discussion and Questions



Repaving MaineStreet Initiative




**University of Maine System
Board of Trustees**
May 24, 2021





UNIVERSITY OF MAINE SYSTEM

**University Services
Information Technology**

1





MaineStreet Review








UNIVERSITY OF MAINE SYSTEM


- **MaineStreet:** Enterprise Resource Planning (ERP) platform supporting the University of Maine System
 - PeopleSoft ERP
 - Campus Solutions (Student Information System)
 - Human Capital Management (HR System)
 - Financials (Budget)
 - Implemented 16+ years ago (2004-2009)
 - Driven by need to migrate legacy SIS (ISIS) from mainframe
 - Many configuration decisions influenced by desire to maintain pre-existing, familiar business processes (ISIS), including:
 - **Separate configurations** supporting each campus
 - Maintaining **separation of data**

2

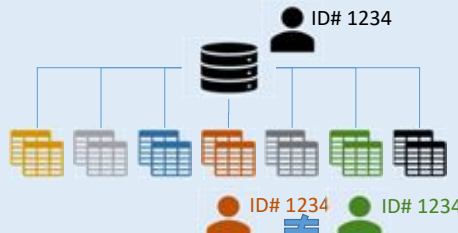
MaineStreet Review



**Maine's
Public
Universities**
UNIVERSITY OF MAINE SYSTEM


• Current Data Architecture Compromises:

- Student record portability
- Course cross-listing
- Collaborative degree programming
- Data access, retrieval, analysis







• Future State Opportunities:

- Re-architect data structure to take advantage of shared data structure
- Improve native credit options
- Expand educational access across UMS
- Enhance operational efficiency




3




MaineStreet Review



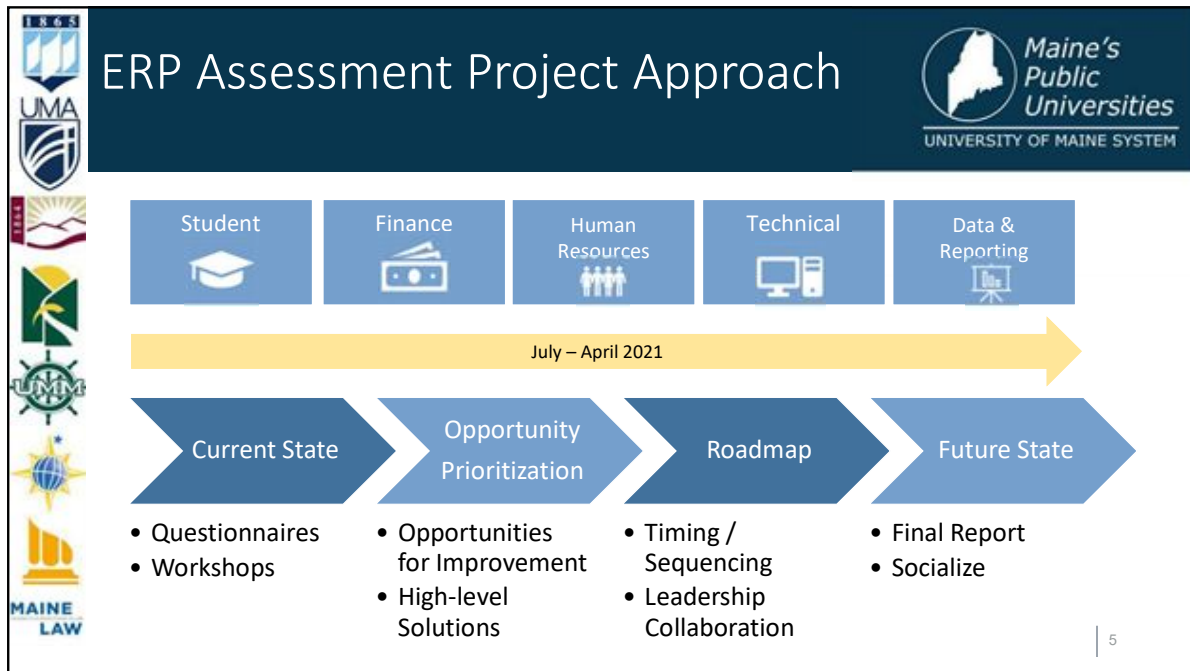
**Maine's
Public
Universities**
UNIVERSITY OF MAINE SYSTEM

• From MaineStreet Improvements Update

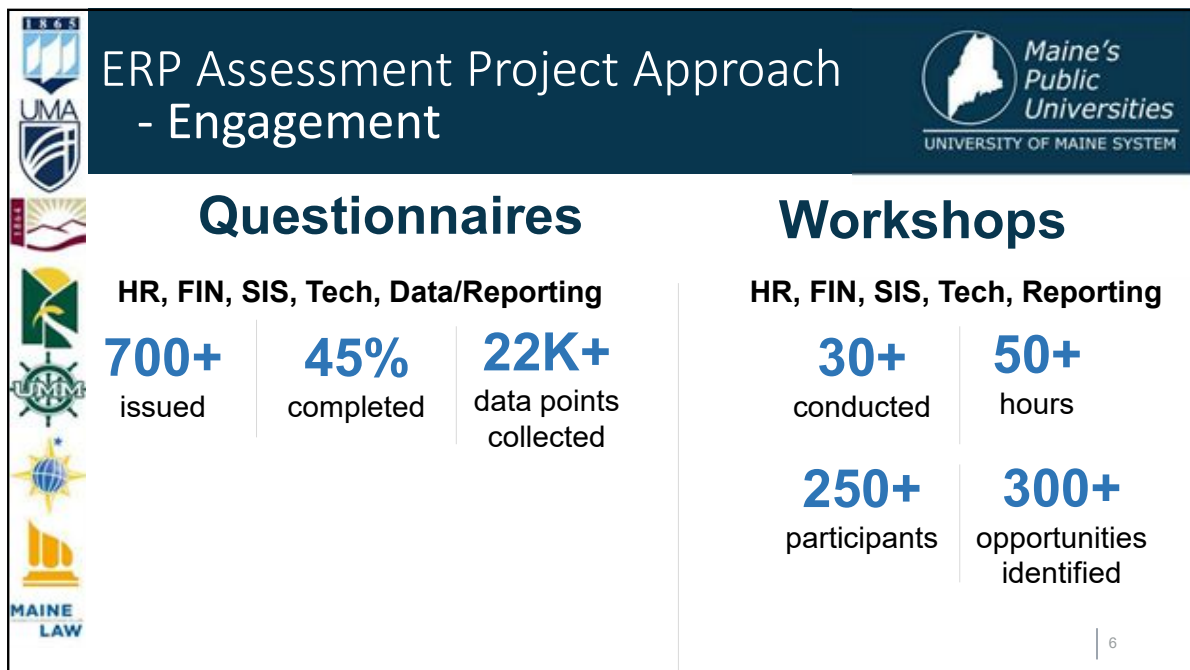
- **ERP Evaluation (Project 3 of 4):**
 - Conduct RFP to identify consultant/partner to assist with functional assessment of 'enhanced' MaineStreet environment
 - Identify essential functional ERP specifications and requirements to inform ERP replacement strategy
 - Support 'One University' initiative/Unified Accreditation
- **Huron Identified as Consultation Partner to assist with MaineStreet ERP Evaluation in June, 2020**



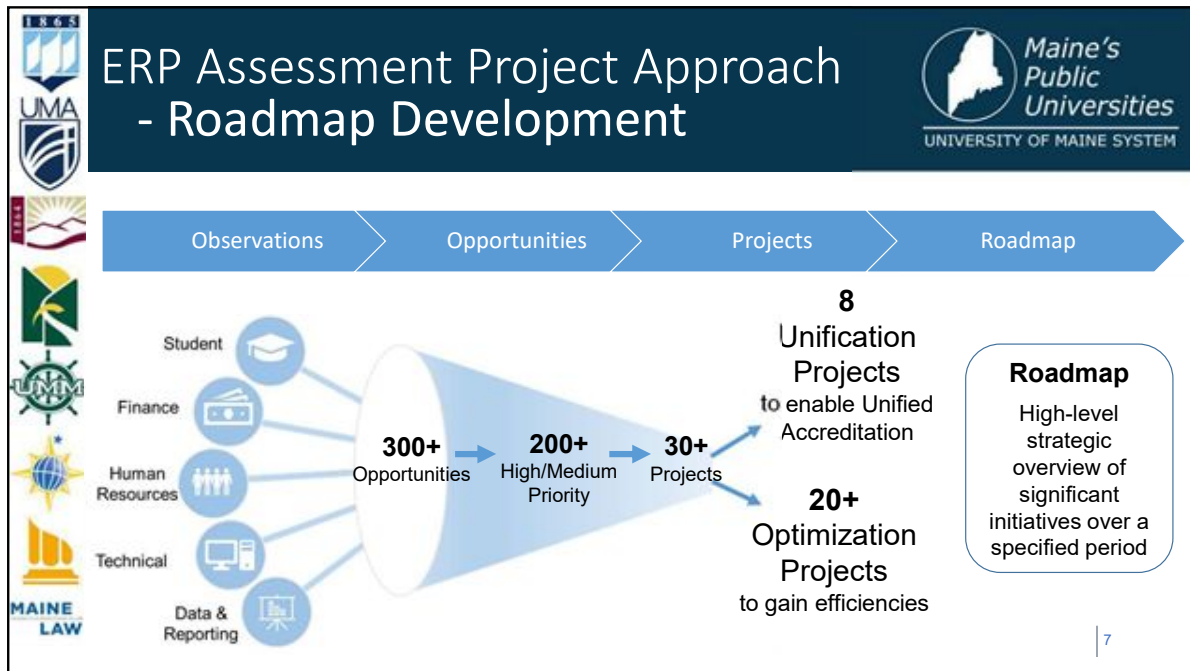

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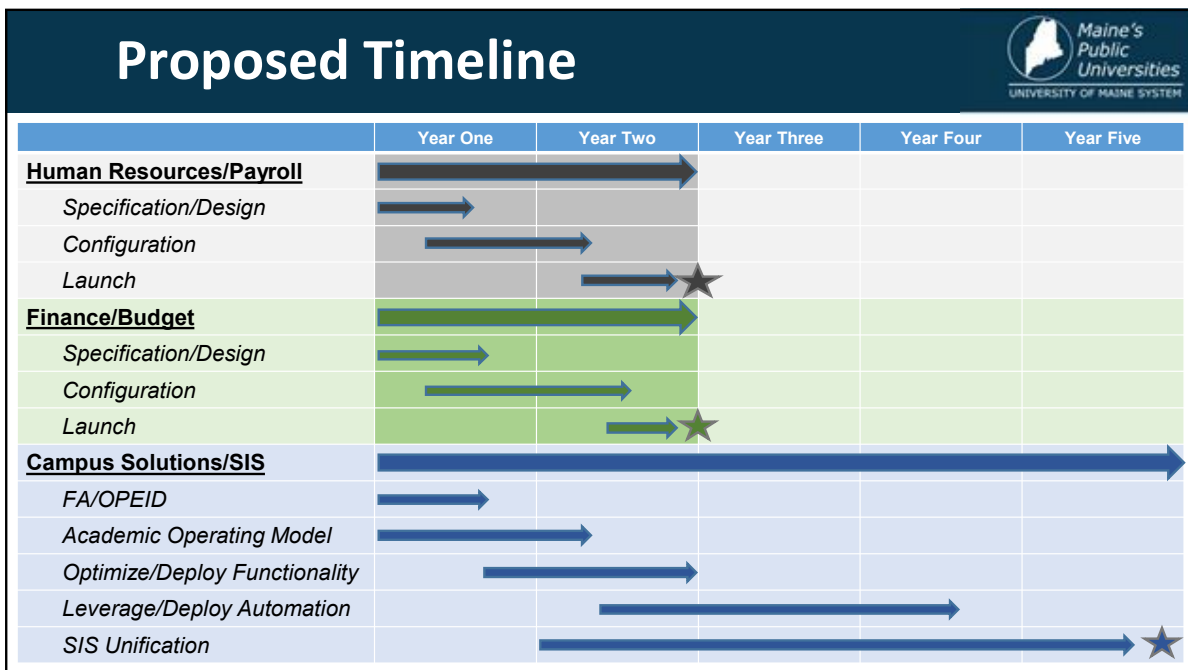
7

ERP Assessment Recommendations - Key Outcomes	
Student Information System	Finance/Budget
<ul style="list-style-type: none"> • Re-implement Campus Solutions SIS <ul style="list-style-type: none"> • Meet DOE Single OPEID requirement for <u>Financial Aid</u> • Modernized, feature rich on-line and mobile <u>Student Self Service</u> capabilities and experience • System-wide Academic Program requirements supporting seamless course enrollment from <u>Unified Course Catalog</u> • Automated, optimized and aligned <u>business processes</u> within all functional areas of MaineStreet • Streamlined, well-defined <u>data integration</u> with Institutional Research 	<ul style="list-style-type: none"> • Deploy Cloud/SaaS Solution(s) <ul style="list-style-type: none"> • Standardized <u>planning</u> and <u>budget process</u> with <u>automated integration</u> with G/L • New <u>chart of accounts</u> aligned with unified strategic priorities • Modern and automated <u>cash management</u> processes – billing, receivables, bank and POS integrations • End-to-end <u>grants management</u> solution with integration • <u>Integrated</u> asset/inventory, procure-to-pay and travel processes and tools

8

ERP Assessment Recommendations - Key Outcomes		 Maine's Public Universities UNIVERSITY OF MAINE SYSTEM	
Human Resources		Data & Reporting	
<ul style="list-style-type: none"> Deploy Cloud/SaaS Solution(s) <ul style="list-style-type: none"> Standardized/optimized recruiting and onboarding process and solution Expanded self-service capabilities with automation (personnel actions, benefits) Standard, integrated time reporting solution(s) Fully integrated payroll solution with automated processes, labor distribution, and encumbrance functionality Standard performance management process and automated solution 		<ul style="list-style-type: none"> Data governance and master data management strategy Enterprise standard reporting processes and tools Extended data warehouse to support new data structures 	
		Technology	
		<ul style="list-style-type: none"> Reduce portfolio of applications by consolidating and retiring redundant or unused applications Redesigned Identity and Access Management (IAM) policies and processes Enhanced security including multi-factor authentication 	

9



10

Next Steps



UMS Board of Trustees – May 2021

- Present Huron Assessment and Phase III MaineStreet Improvement Initiative Project (“Repaving MaineStreet”)
- Project budget approval

UMS Community – April to June 2021

- Socialize Huron Assessment Report Recommendations and Phase III MaineStreet Improvement Initiative Project
- Develop project plan for Year 1 deliverables, including coordination and planning with ‘Unified Catalog’ Initiative
- Initiate search for Implementation Partner/Consultant Pool
- Monitor and explore ongoing funding opportunities to support completion of project



Building Name Recommendation - Beryl Warner Williams Hall

UMS Board of Trustees Meeting

May 24, 2021

Joan Ferrini-Mundy

**President, University of Maine and University of Maine at Machias
Vice Chancellor for Research and Innovation**

Beryl Elizabeth Warner Williams, '35,'40



- Born: May 23, 1913
- Expired: May 7, 1999
- Native of Bangor Maine and is buried in Mount Hope Cemetery, Bangor ME
- Earned two degrees from the University of Maine
 - 1935, BS in Mathematics with honors and minor in English
 - 1940, Master's in Mathematics



Beryl Warner Williams

- As a student, she participated in field hockey, riflery and orchestra
- Member of the All Maine Women honor society
- 1945 Elected the first female president of the Penobscot Interracial Forum in Bangor
- Honored with Doctor of Pedagogy Degree from UMaine in 1972
- Received the University of Maine Alumni Career Award in 1995



Beryl Warner Williams

- Noted as the Founding Mother of Continuing Education at Morgan State University
- 1948 began working as part-time evening instructor Morgan State College
- 1954 English and mathematics instructor, also taught humanities courses
- 1963 Appointed as first Director of the Office of the Evening and Summer Sessions
- 1970 Appointed as Dean of the Center for Continuing Education – first female to become academic dean at Morgan State University
- 1981 Retired from Morgan State after 33 years of service
- 1986 Name Dean Emeritus
- 1995 received Morgan Heritage Award



Beryl Warner Williams

- In addition to her professional accomplishments, she also made a significant impact through her civic engagement activities in Baltimore, the state of Maryland and nationally
 - Her civic engagement included :
 - Maryland Association for Adult Education (President)
 - American Association of University Women
 - Women's International League for Peace and Freedom
 - National Association for the Advancement of Colored People (NAACP)
 - National Council of Negro Women
 - American Red Cross
 - Delta Sigma Theta Sorority, Incorporated
- She traveled to seventeen countries in Africa and translated Alex Haley's Roots in Swahili with her husband Roger Williams.





GEM



Green Engineering & Materials Laboratory

Factory of the Future

Industry 4.0

The Advanced Structures and Composites Center proposes to develop a 90,740 ft² facility attached to our current laboratory that will usher in a new era of AI-enabled large-scale bio-based additive manufacturing. The **GEM** Laboratory will house the *Factory of the Future* where AI-enabled arrays of printers and sensors will manufacture and test new products from wood-derived cellulose and other advanced bio-based materials, collaborate with industry, and train the next generation manufacturing workforce, including undergraduates, graduate students and working professionals.



Innovation-Led Economic Recovery

- The *Factory of the Future* will drive new business growth in Maine's affordable housing, clean energy, construction, transportation, boatbuilding, furniture, and more, estimated \$90B+ economic output by 2040
- Enable ASCC to execute on \$260 million in R&D projects secured through federal sources and industry and activate \$90B+ industry sectors by 2040



Transform Education through Immersive Learning

- Integrate research and scholarship into instruction and service, positioning UMaine as the premier destination for high-caliber researchers in key GEM research fields
- R&D Gateway for UMaine
- 300-person R&D Conference Center with 360-degrees floor-to-ceiling projection.



Establish University of Maine as a Top-Tier Institution at the intersection of Computing and Engineering

- Secure Maine's research leadership role in large-scale bio-based additive manufacturing, while addressing critical state needs including housing, energy and transportation
- Help UMaine achieve R1 Research Classification.
- Create an immersive learning environment that houses over 300 research personnel and provides unparalleled educational experiences

GEM R&D Gateway

Catalyzes innovation-led economic development in Maine's fastest-growing industries



Activate new markets for Maine's Forest Products Industry

\$12B/yr by 2025 annual economic impact¹



Modernize Maine's Infrastructure

\$4.5 B by 2021-2030 annual capital investment²

¹Forest Opportunities Roadmap, 2018

²UMass Amherst

³Maine Housing Authority

⁴Wood Mackenzie, 2020

⁵Maine Offshore Wind Report



Meet Maine's demand for 20,000 Affordable Housing units

\$3.8B by 2040 total capital investment³

Access clean, local power from floating offshore wind

\$23B by 2035 total capital investment⁴



\$5B/year Mainer's energy bills redirected back to state's economy due to clean, locally-produced power and electrification of heating and transportation⁵



GEM Design Investment Proposal



Design Phase	Est. Duration	Est. Design Cost	Cumulative Design Cost
May 5, 2021: Board of Trustees review & approval of \$1.5 million design phase			
Schematic Design	5 months	\$642,750	\$ 642,750
Detailed Design	5 months	\$857,000	\$ 1,499,750
March 27-28, 2022: Board of Trustees review & approval for \$1.714 m construction documents			
Construction Documents	8 months	\$1,714,000	\$3,213,750
November 2022: Release Construction Bid			



GEM Facility Cost Estimate



Component	Estimate
Facility Construction Estimate <i>(Developed by Consigli Construction, Scott Simons Architects, Thornton Tomasetti, Becker Structural Engineers, SmartLam, & UMaine Facilities)</i>	\$55,578,660
Equipment Estimate	\$15,490,000
Total	\$71,068,660

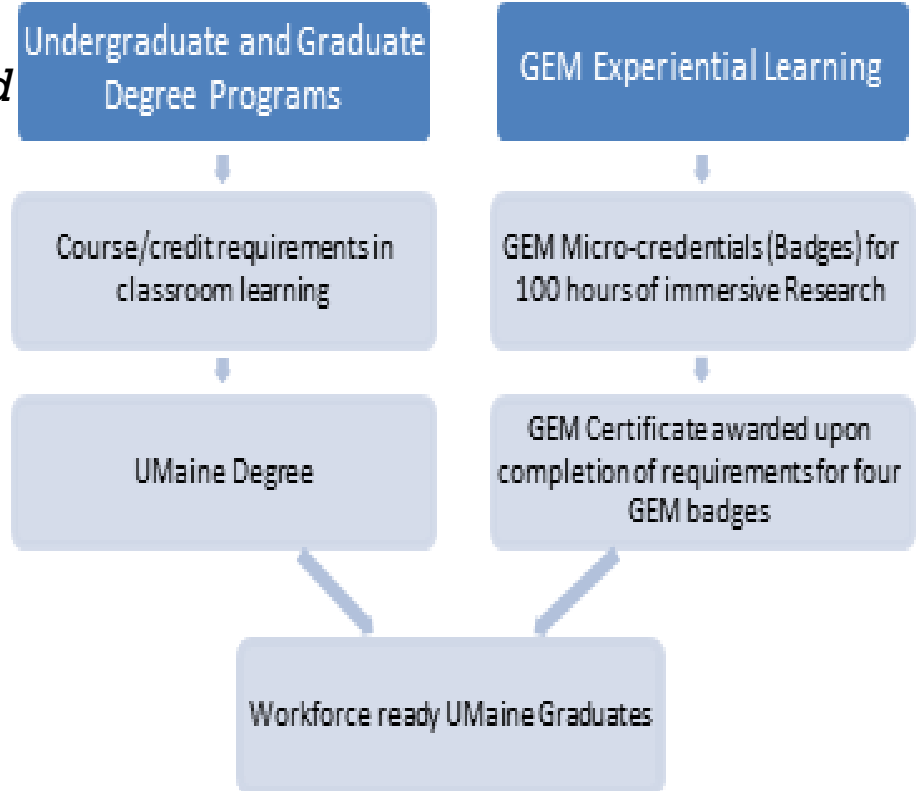


GEM Education Plan



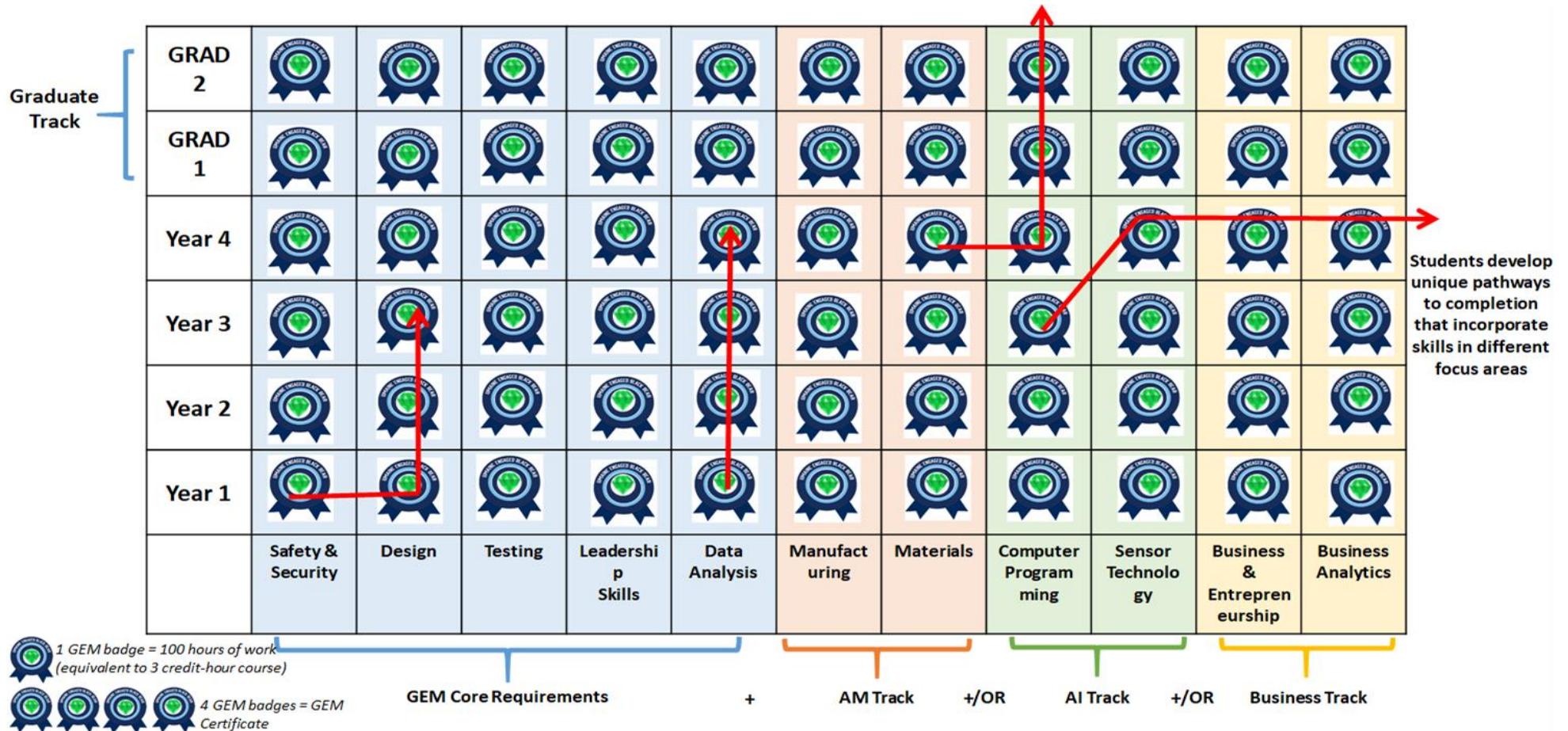
A Customizable Parallel Learning System, Enabling UMS Transforms/Alfond

- The **GEM research and education experience runs in parallel with the students' academic programs**, and leads to specific credentials that they can earn.
- These credentials include **GEM badges earned after completing 100 hours of research work** and meeting specific learning objectives, as well as **GEM certificates earned once a student successfully accumulates four GEM badges**. 100 hours of GEM research work that accomplish specific learning objectives are equivalent to the time a student puts into a typical 3-credit hour course.
- **Students across disciplines can customize their GEM experience based on their interests.** Ex: an undergraduate student who averages 20 hours per week of research work over a calendar year has the equivalent of 2 years of full-time experience. GEM allows the student to earn credentials for this experience, and customize it to their needs and interests.



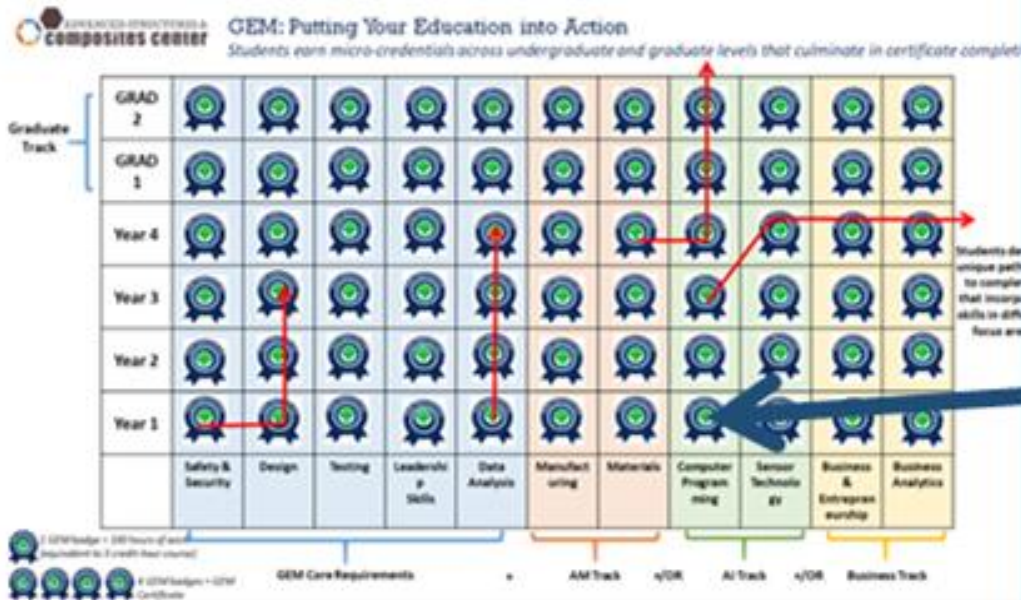


GEM Education Plan: Putting your Education into Action





Example: How to earn a GEM Badge



GEM Computer Programming Badge (Level 1)

Course Requirements:

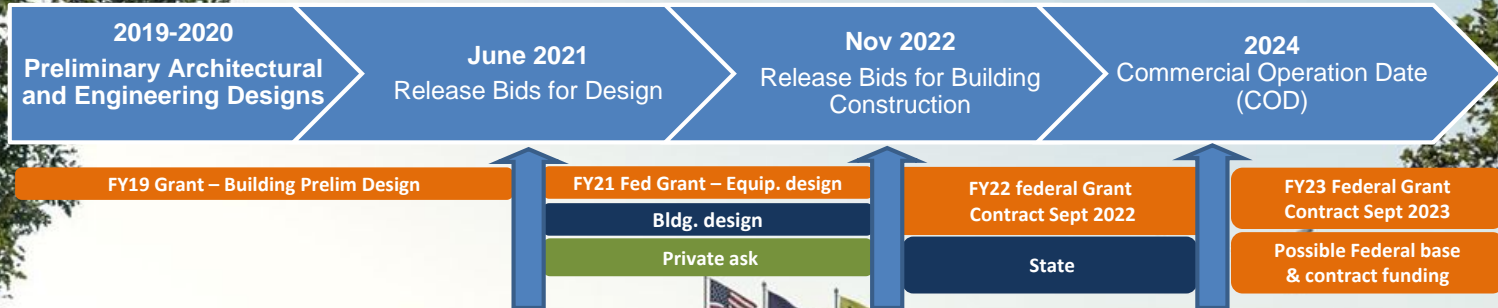
- ☐ COS 125: Introduction to Problem Solving Using Computer Programming
- ☐ COS 225: Object-Oriented Design, Programming and Data Structure

Lab Requirements:

- ☐ 100 hours of computer programming research



GEM Factory of the Future Funding Plan and Schedule



Research, Education, and Economic Development

Strategic Plan Alignment

GEM is a convergence of shared interests and priorities for the State of Maine and UMaine

1. Fostering Learner Success^D 2. Discovering and Innovating^D 3. Growing Partnerships^D



The University of Maine
Green Energy and Materials (GEM) Laboratory

Meeting shared goals within each plan:

Innovation-led Economic Development

1. Establish an innovation-driven Maine economy for the 21st century ^{A,B,C,D,F}
2. Increase value of what we sell per worker by 10%, increase workforce by 75,000, increase per capita wages by 10%^A
3. Make Maine the best state in the nation in which to live, work, and learn by 2030 ^B

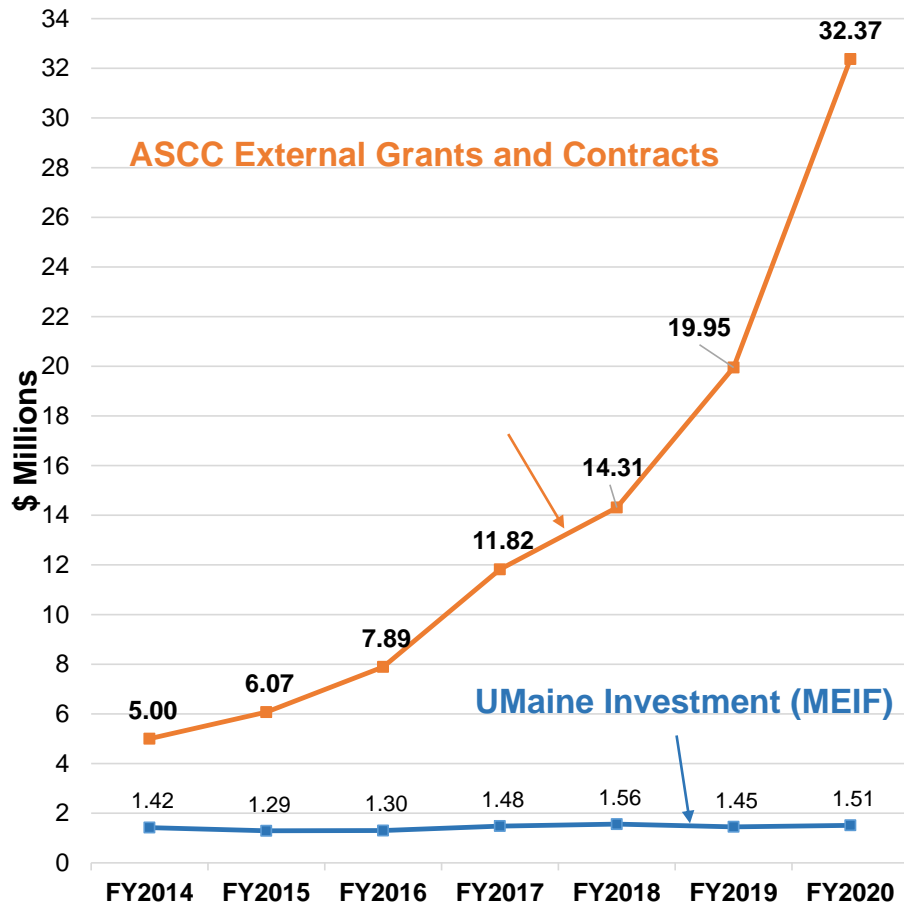
Workforce Readiness & Competitiveness

1. Prepare the knowledge and Innovation Workforce for Maine ^{B,C,D}. Advancing Workforce Readiness and Economic Development ^{B,C,F}
2. Align Academic Programs and Innovation to Drive Student Success and Employer Responsiveness ^{C,D}
3. Maintaining Competitiveness and Sustainability to Meet Critical State Needs ^{A,B,C,D,E,F}

Emphasis on bio-based, renewable, sustainability solutions

1. Enable Governor's Climate and Clean Energy Goals ^{A,B,E,F}
2. Lead in developing bio-based and recyclable materials ^{A,B,E,F}
3. Lead in developing sustainable, more durable infrastructure ^{B,E}

ASCC Largest Univ.-Based Research Center in Maine



Personnel Growth Plans						
Number of Personnel	2018	2019	2020	2021	2022	2023
Senior Faculty/Staff	10	12	14	16	17	18
Staff/Faculty/Post-Docs	51	56	63	69	77	84
Total students	137	151	169	188	206	225
% Undergrad students with desks	28%	40%	50%	60%	70%	75%
Total Personnel	198	219	246	273	300	327
Total office space required (ft2)	7,535	9,138	11,510	13,414	15,360	17,020
Space deficit/required office-space (ft2)	163	(1,440)	(3,812)	(5,716)	(7,662)	(9,322)

\$260M research projects, including future options and private investment

Sponsor	Contract Value	Sponsor	Contract Value
U.S. Department of Energy	\$45,610,167	Advanced Research Projects Agency	\$2,675,417
U.S. Department of Defense	\$40,753,921	Maine Technology Institute	\$1,397,361
Oak Ridge National Laboratory	\$30,000,000	U.S. Department of Agriculture	\$571,661
U.S. Army Corps of Engineers	\$21,368,000	NASA	\$144,369
U.S. Department of Transportation	\$12,929,600	Private	\$104,589,254

Board of Trustees Policy 501 Student Conduct Code

Review & Revision Process

- Diverse range of stakeholders from the System, all 7 campuses, the University of Maine School of Law, and the Board of Trustees
- Chief Student Affairs Officers (CSAOs)
- Campus Conduct Officers
- Student Representatives to the Board of Trustees
- Alignment with other BOT policies such as 314, 402
- Code is reviewed every 3 years

Goals of Review

- Evaluate and update as appropriate current policies and practices, incorporating feedback from diverse stakeholder groups, including:
 - CSAOs/Conduct Officers
 - Students
 - Leadership
- Formal inclusion of the University of Maine School of Law
- Mitigate Legal and Risk Concerns
 - Enhance due process
 - Create a structure that increases consistency
 - Rights, responsibilities, and consequences equally applied to everyone

Key Updates

- Student rights and responsibilities section added
- Academic misconduct violation definitions aligned with BOT Policy 314, Academic Integrity Policy
- Alternative Resolution name change (formerly Informal Resolution)
- Administrative Resolution section added
- Interim measures or actions hearing added to align with case law

Key Updates – Formal Hearing Process

- 2 Initial Hearing Formats
 - Conduct Officer Hearing
 - Hearing Board Hearing
- Appeal (if applicable)
 - Appeal Panel
 - Presidential Appeal
- Unifies practices and procedures across the University while maintaining discretion at the campus level

Response to Stakeholder Feedback

- Student feedback
 - Language added at the beginning of Code to inform student of rights and responsibilities under the Code
- Board of Trustees feedback
 - Language to address criminal law implications
- CSAO/Conduct Officer feedback
 - Expansion of Alternative Resolution (formerly Informal Resolution)
 - Addition of Administrative Resolution (new provision)
 - Maintain discretion at the campus level while unifying practice across UMS

Diversity, Equity, and Inclusion

- Ongoing review by Megan Clough and team.

Questions?

ENVIRONMENTAL, SOCIAL AND GOVERNANCE (ESG) INVESTMENT APPROACH



UNIVERSITY OF MAINE SYSTEM

May 24, 2021

Kelly Regan, Senior Consultant

Jay Roney, Partner



BOSTON | ATLANTA | CHARLOTTE | CHICAGO | DETROIT | LAS VEGAS | PORTLAND | SAN FRANCISCO

SUMMARY

- **This presentation is designed to provide the UMS Board of Trustees with:**
 - The history of fossil fuel divestment discussions between the UMS students, UMS Investment Committee and NEPC
 - A review of UMS' decisions and investment approach to impact investing
 - Portfolio results as it relates to impact investing
- **The UMS Investment Committee and NEPC have actively engaged with UMS students in their requests to divest from fossil fuels**
 - Multiple meetings have occurred since 2013 between the groups to discuss the issues and provide the students with portfolio updates and progress
 - Numerous education sessions conducted with the UMS Investment Committee to review the topic, analyze benefits/considerations and explore solutions
- **Ultimately, the UMS Investment Committee and Board of Trustees decided to:**
 - Divest from coal in 2015 (Managed Investment Pool "MIP" and Operating Fund)
 - Utilize a holistic approach in the MIP by focusing on Environmental, Social and Governance (ESG) factors and not to fully divest from fossil fuels
 - Incorporate ESG goals into the MIP Investment Policy Statement "IPS"
- **The ESG approach has significantly reduced the portfolio's fossil fuel exposure while maintaining risk and return goals**



UNIVERSITY OF MAINE SYSTEM

ESG PROGRESS & RESULTS

The ESG approach allows UMS investment managers to positively screen companies based on ESG criteria rather than negatively screen out companies and opportunities. As a result, this process attempts to exclude the worst offenders while still allowing the MIP to invest in companies that align with the MIP's long-term investment goal.

Managed Investment Pool "Endowment"	Pension	Operating Fund
<ul style="list-style-type: none"> • Reduced fossil fuel exposure by 70% <ul style="list-style-type: none"> –2014: 6.2% of Portfolio –2020: 1.9% of Portfolio • Added five investment managers that incorporate ESG to Portfolio <ul style="list-style-type: none"> –Walter Scott –JO Hambro –Kabouter –Bain Capital –Newton 	<ul style="list-style-type: none"> • Reduced fossil fuel exposure by 57% <ul style="list-style-type: none"> –2014: 4.4% of Portfolio –2020: 1.9% of Portfolio • Added three investment managers that incorporate ESG to Portfolio <ul style="list-style-type: none"> –Walter Scott –Bain Capital –Newton 	<ul style="list-style-type: none"> • Reduced fossil fuel exposure by 63% <ul style="list-style-type: none"> –2014: 3.5% of Portfolio –2020: 1.3% of Portfolio • Added one investment manager that incorporate ESG to Portfolio <ul style="list-style-type: none"> –Newton

Across the 23 different investment managers, 21 are PRI signatories



Note: Fossil fuel exposure estimated utilizing 3/31/2020 manager provided holdings and 2/28/2021 manager allocations in the three Portfolios

UNIVERSITY OF MAINE SYSTEM - HISTORY

2013 &
2014

Fossil Fuel Divestment Discussions Begin

- Investment Committee Education
 - What is Fossil Fuel Divestment & Movement's History
 - Trends in Responsible Investing
 - Divestment Options
 - Performance Implications

2015
Action

Fossil Fuel Divestment Decision

- **UMS Board approved divestment of all direct holdings in coal mining companies**
 - Impacted two investment managers with separate accounts
 - Westfield (MIP) and IR+M (Operating Fund)
 - Both managers updated investment guidelines to exclude coal and reflected in the UMS IPS

2016

Re-evaluation of Fossil Fuel Divestment with Divest UMaine

- Investment Committee and NEPC reviewed investment & operational challenges with regards to full divestment
 - Return requirements
 - Investment fees
 - Process for investment manager changes and investment vehicle availability

2016
Action

Explored Divestment Alternatives and **UMS Board approved ESG Policy in the MIP**

- ESG is a holistic approach to positively screen for best in class companies
- Included ESG language in MIP Investment Policy
 - Goals & Objectives
 - Investment Manager and Investment Consultant Guidelines
- Contracted with MSCI to review ESG holdings on an annual basis



DIVESTMENT CONSIDERATIONS FOR THE MIP

Investment Manager Selection

- **Equity allocation** – accounts for 70% of the MIP's fossil fuel exposure
- **Consolidate the current strategy into several separate accounts**
 - Reason: Ability for UMS to set investment guidelines
 - Considerations: Important to evaluate performance impact (asset allocation and implementation) and assess investment manager fees
- **Terminate the majority of mandates and select new fossil fuel free managers**
 - ¹Approximately 80 fossil fuel free mutual funds available across US and International Equity
 - Options may not be institutional quality or currently rated through NEPC's due diligence process
 - Reason: Invest with managers that have specific fossil fuel mandates
 - Considerations: Important to evaluate if "best in class" managers can be hired, ensure performance is not impacted (asset allocation and implementation) and assess investment manager fees

Asset Allocation

- **Fixed Income and Alternative allocation** – accounts for 30% of the MIP's fossil fuel exposure
- **There are fewer options to reduce fossil fuel exposure**
 - Manager/strategy availability
 - Portfolio size may not be conducive for separate accounts
- **Important to maintain the allocation for risk reduction and portfolio construction**
 - Portfolio relies on meeting stated risk/return goals







¹Source: fossilfuelfree.org

APPENDIX

NEPC, LLC

SUMMARIZING IMPACT INVESTING OPTIONS

	 <p>Negative Screening</p>	 <p>ESG Integration</p>	 <p>Thematic</p>	 <p>Corporate Active Engagement</p>
Strategy Focus	Screening out certain securities for non-financial reasons	ESG factors built-in as part of the investment process	Pro-actively seeking opportunities in targeted areas (e.g. Renewable Energy)	Actively engage in corporate voting process to push key agenda
Investment Universe	Varied across asset classes	Sizable and includes mainstream managers	Growing in size, but most funds are smaller and newer	Small but growing
Performance	May lag benchmarks due to restricted universe	Performance studies show neutral to positive impact	Varied and will have sizable tracking error due to sector focus	Values-oriented motivations, performance impacts tangential
Level of Impact	Low	Low/Medium	High	High



Note: Thematic investments may include ESG integration in the investment process

WHAT IS PRI?

- **Principles of Responsible Investing (PRI) began in 2006 as a network of investors working together to integrate the 'six principles' into common practice in an effort to create a more sustainable financial system**
 - Initially known as UNPRI (supported by the UN), the organization has since dropped the 'UN' from its name
 - PRI is a non-profit organization and utilizes membership fees to advance their mission
- **The 'six principles' that signatories pledge to implement:**
 1. We will **incorporate** ESG issues into investment analysis and decision-making processes
 2. We will **be active** owners and incorporate ESG issues into our ownership policies and practices
 3. We will **seek appropriate disclosure** on ESG issues by the entities in which we invest
 4. We will **promote** acceptance and implementation of the Principles within the investment industry
 5. We will **work together** to enhance our effectiveness in implementing the Principles
 6. We will each **report** on our activities and progress towards implementing the Principles
- **There are three types of signatories: Asset Owners, Investment Managers and Service Providers**
 - Asset owners and investment managers are responsible for reporting to PRI annually on how they are implementing the six principles
 - PRI provides feedback to each asset owner and investment manager on how their organization stacks up against peers with regard to implementing the principles and on areas of improvement



Note: "ESG" represents environmental, social, and corporate governance issues.