



**Board of Trustees**  
**15 Estabrooke Drive**  
**Orono, ME 04469**

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March 17, 2022

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

FR: Ellen N. Doughty, Clerk of the Board

RE: March 2022 Board of Trustees Meeting

The University of Maine

University of Maine  
at Augusta

University of Maine  
at Farmington

University of Maine  
at Fort Kent

University of Maine  
at Machias

University of Maine  
at Presque Isle

University of  
Southern Maine

Enclosed are the materials for the Board of Trustees Meeting on Sunday and Monday, March 27-28, 2022, hosted by the University of Maine System. Directions are included in the Board meeting materials. Parking is available in the Wells parking lot.

**On Sunday, March 27th**, the Board meeting will be called to order at 1:00 pm in the Wells Conference Center - Room 3. The Board will go directly into an Executive Session until 3:30 pm. At 4:00 pm the Public Board meeting will reconvene in the Wells Conference Center – Room 1.

A reception is scheduled for 6:15 pm, followed by dinner at the Bangor Masonic Hall, 294 Union Street, Bangor. Individuals invited to the reception and dinner have been notified and include: Trustees, Faculty & Student Representatives to the Board, Chancellor Malloy, Vice Chancellors, Associate Vice Chancellors, Campus Presidents, Dean of the Maine Law School, the UMS Vice President for Finance & Controller, and the Chief Human Resources Officer.

**On Monday, March 28th**, the Board meeting will be called to order at 8:30 am with an opportunity for continental breakfast and networking starting at 8:00 am. The Board meeting on Monday will be in the Wells Conference Center – Room 1. Directly following the public meeting, the Board will enter into Executive Session for approximately 1 hour, in the Wells Conference Center – Room 3.

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

Incoming messages can be left with Heather Massey at 991-4724 or Ellen Doughty at 949-4905.

In the event of a postponement, cancellation, or changes to the Board of Trustees meeting, every effort will be made to personally contact the Board of Trustees, the Presidents, and the Faculty and Student Representatives.

cc: Chancellor Dannel P. Malloy  
University Presidents  
System Staff



### **Directions to UM Campus – Wells Conference Center**

**From the South on I-95:** take exit 191 to Kelly Road and turn right. Continue on Kelly Road for 1 mile until you reach the traffic light, then turn left onto Route 2 and go through downtown Orono. Cross the river, turn left at the lights onto College Avenue. Continue on College Ave and enter campus at the Long Road campus entrance on the right.

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

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



University of Maine System – Board of Trustees Meeting  
**March 27-28, 2022**  
at the University of Maine, Wells Conference Center  
hosted by the University of Maine System

**REVISED**  
**3/24/2022**

**AGENDA**

**Sunday, March 27, 2022**

**Call to Order @ 1:00 pm**

The Board of Trustees will go directly into Executive Session

**Executive Session** from 1:00 pm to 3:30 pm, Wells - Room 3

**Call to Order/Reconvene Public Meeting @ 4:00 pm**, Wells - Room 1

**Meeting with Faculty & Student Representatives to the Board of Trustees**

Tab 1 – **Engagement with Faculty & Student Representatives to the Board of Trustees on Student Success, Retention and Access (60 minutes)**

5:00 pm

**UMS Athletics Student Success & Retention (45 minutes)**

**Reception @ 6:15 pm (Cash Bar)** – Bangor Masonic Hall, 294 Union Street, Bangor  
(By Invitation Only)

**Dinner @ 6:45 pm** – Bangor Masonic Hall, 294 Union Street, Bangor  
(By Invitation Only)

**Monday, March 28, 2022**

**Coffee & Networking @ 8:00 am**, Wells – Room 1

**Call to Order/Reconvene @ 8:30 am**, Wells – Room 1

**Citizen Comment (5 minutes)**

**Individuals who wish to participate in Citizen Comment must indicate their name and topic on the signup sheet, which will be available in the meeting room on March 28th starting at 8:00 am until 8:25 am.**

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

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

- UMA Presidential Search Update

**Tab 2 - Authorizing Chancellor to Conclude Appointment of President, University of Maine at Augusta**

- USM Presidential Search Update
- Investment Statement Update

**Tab 3 - Establishment of the Trustee Nominating Committee**



**Chancellor's Report (20 minutes)**

- Human Resources Policy and Procedures Review Update
- Legislative Update

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

Tab 4 - Academic Affairs Update

**Vice Chancellor for Research and Innovation Report (20 minutes)**

Tab 5 - Vice Chancellor for Research and Innovation Update

**Vice Chancellor for Strategic Initiatives' Report (65 minutes)**

Tab 6 - Strategic Planning Update (20 minutes)

Tab 7 - Unified Accreditation and Unified Catalog Update (15 minutes)

Tab 8 - Maine College of Engineering, Computing and Information Science (MCECIS) Memorandum of Understanding (MOU) Discussion (30 minutes)

**Vice Chancellor for Finance and Administration & Treasurer's Report (25 minutes)**

Tab 9 - Finance & Administration Update

Approx. 12:05 pm

**Lunch Break (25 minutes)** (Timing of the lunch break will be at the discretion of the Chair)

**Action Items**

Tab 10 - Approval of the Maine Economic Improvement Fund Annual Report (10 minutes)

Tab 11 - UMS 2022 Tenure Nominations (15 minutes)

Tab 12 - Approval of the Board of Trustees Meeting Calendar for FY2023 & FY2024 (5 minutes)

Tab 13 - Confirmation of Student Representatives to the Board of Trustees (10 minutes)

Tab 14 - Approval of the Collective Bargaining Agreement, PATFA (10 minutes)

Tab 28 - Approval of Collective Bargaining Agreement, AFUM (10 minutes)

Tab 15 - Tenure at Time of Hire, Professor in the College of Engineering, UM (10 minutes)

**Consent Agenda (5 minutes)**

Tab 16 - Acceptance of Minutes

March 7, 2022 Academic & Student Affairs Committee

Tab 17 - University of Maine/University of Maine at Machias Integrated Organizational Chart

Tab 18 - Academic Program Elimination, Undergraduate Art Program, UMPI

March 10, 2022 Finance, Facilities & Technology Committee

Tab 19 - Internal Loan Request, UMA

Tab 20 - Medical Laboratory Technology Space Renovation, UMA

Tab 21 - Camden Hall Renovation, UMA

Tab 22 - Extension of the Cyberbit Range, UMA

Tab 23 - Acceptance of Aroostook Farm Maine Potato Board Building gift, UM

Tab 24 - Secure Laboratory, Advanced Structures and Composite Center, (ASCC), UM

Tab 25 - 300 Fore Street Renovation and Fit Out Increase, University of Maine and University of Maine School of Law

Tab 26 - Adaptive reuse of Coburn and Holmes Hall – Public-Private Partnership Authorization Increase, UM

Approx. 1:40 pm

**Discussion Items:**

Tab 27 - [Board Discussion with Chancellor, Presidents, Law School Dean and System staff on Student Success, Retention and Access Strategies and Initiatives \(30 minutes\)](#)

**Date of the Next Meeting:** May 22-23, 2022 at the University of Southern Maine

**Executive Session – 1 hour** (following the public meeting – *approximately 2:25 pm*), Wells – Room 3

**Attachments**

[Managed Investment Pool Flash Report](#)

[Pension Fund Flash Report](#)

[Operating Fund Flash Report](#)

[Fiscal Year-to-Date Forecast to Budget](#)

[Names of Candidates for Tenure 2022 \(\*Confidential\*\)](#)

[Brief Abstracts of Tenure 2022 Candidates \(\*Confidential\*\)](#)

[Tenure Table 1](#)

[Tenure Table 2](#)

[Board Policy 310 – Tenure](#)

[Tenure Statistics Report](#)

[Maine Economic Improvement Fund \(MEIF\) FY2021 Annual Report](#)

[Program Elimination Proposal, BA in Art – UMPI](#)

[Tenure at Time of Hire Background Materials \(\*Confidential\*\)](#)

[UM/UMM Integrated Organizational Chart](#)

[MCECIS Background Materials](#)

**Reports**

[UMS Interactive Dashboard](#)

[Agenda Calendar](#)

[Capital & Bond Project Report Executive Summary](#)

[Capital Project Status Report](#)

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

[State of IT 2021 Report](#)

[Gordian Report](#)

[Management Group Appointments Report](#)

**Presentations**

[UM Athletics](#)

[Faculty Spotlight](#)

[Early College](#)

[MEIF FY2021](#)

[Update on Research, Development & Innovation](#)

[MCECIS Update](#)

[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:** Engagement with Faculty & Student Representatives to the Board of Trustees on Student Success, Retention and Access

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

Collaboration and engagement with the Board of Trustees and the Faculty and Student Representatives to the Board of Trustees on issues impacting unified accreditation at all campuses.

**BACKGROUND:**

In order to enhance engagement with the Faculty and Student Representatives to the Board of Trustees, the Board is seeking to have a dialog to find common definitions and measures of student success. Additionally, the Board would like to understand how the Faculty and Student Representatives envision their role in helping students succeed and better understand what kind of support is needed for the Faculty and Student Representatives, to help them create a culture of student success.

This dialog will be facilitated by Carolyn Dorsey, UMS Associate Vice Chancellor for Academic Affairs. To guide the discussion, the following prompts have been developed:

- How should student success be defined (progression, retention, completion)?
- In your opinion, what is the greatest challenge our students face in achieving their academic goals?
- What do you see as the campus' role in helping students succeed? The faculty's role? The role of UMS?
- What is the greatest challenge in meeting students' needs and expectations?

03/17/2022

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Authorizing Chancellor to Conclude Appointment of President, University of Maine at Augusta

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

204 –Presidents Appointment

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The University of Maine at Augusta Presidential Search Committee, chaired by Trustee Sven Bartholomew, has conducted a comprehensive national search. Four finalist candidates visited UMA and met with many campus and community constituents and members of the UMS Leadership team in the past month. Chancellor Malloy is reviewing the committee and community input and pursuing discussions with a candidate that received broad support among and across the UMA communities.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees authorizes Chancellor Malloy to conclude negotiations and execute a contract with the selected candidate to be the next President of the University of Maine at Augusta.

03/17/2022

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

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

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

Bylaws, Section 3.2

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

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

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

3/17/2022



University of Maine System  
Board of Trustees

## **AGENDA ITEM SUMMARY**

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**NAME OF ITEM:** Academic Affairs Update

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**UNIFIED ACCREDITATION CONNECTION:**

**BACKGROUND:**

The Vice Chancellor for Academic Affairs Robert Placido will provide an update on the following items at the March 27-28, 2022 Board of Trustees.

**1. Faculty Spotlight:**

Dr. Juyoung Shim, Assistant Professor of Biology at the University of Maine at Augusta (UMA), will present on new programs or academic experiences she is currently developing, including the adoption of new Hyflex/Virtual courseware for laboratory courses, the launch of a new Toxicology and Aging laboratory at UMA, the development of a new online biochemistry course (Biology of Aging), and a collaborative research focused effort.

**2. Early College Update:**

UMS Director of Early College Amy Hubbard will provide a brief update on UMS Early College 2020-21 enrollments, offer updates on university initiatives, and review the areas of focus for Early College planned for the coming year.

**3. Enrollment Update**

Vice Chancellor Placido will provide an update on 2022 Spring enrollment and projections for 2022 Fall enrollment based on our current applications. The 2022 Spring UMS total credits hours were down 2% overall, Graduate and Law credit hours were flat from last year, and in-state undergraduate credit hours were down 4.6%. Applications are 2.2% up for 2022 Fall; however, matriculations are down 21.9% compared to last year. These data are frequently updated on the UMS Dashboard <https://public.tableau.com/app/profile/ums.academic.affairs>.

Presentations:

[Faculty Spotlight Presentation](#)

[Early College Presentation](#)

3/17/22

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. Additionally, such a focus helps advance the recommendations of the [University of Maine System Research and Development Plan FY20 – FY24](#).

**BACKGROUND:**

Joan Ferrini-Mundy, UMS Vice Chancellor for Research and Innovation, will provide updates at the March 28, 2022 Board of Trustees meeting.

1. The University of Maine's R1 designation and the UMS-wide implications
2. Consultation with presidents/dean: How to expand research and development across UMS
3. Challenges and opportunities

Presentation:

[Vice Chancellor for Research & Innovation Update – March 2022](#)

3/17/22

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Vice Chancellor for Strategic Initiatives and Chief Legal Officer Report

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

301 [Mission and Strategic Plan Policy](#)

**UNIFIED ACCREDITATION CONNECTION:**

To prepare and adopt a strategic plan by which the University of Maine System, acting through its universities and the University of Maine School of Law, will take full advantage of Unified Accreditation to achieve the UMS tripartite mission of teaching, research, and public service for the benefit of all UMS students and the State of Maine, with national and global impact as well.

**BACKGROUND:**

The Board's July 26, 2021 UMS Strategic Planning Resolution charged Chancellor Dannel Malloy to begin the work necessary to prepare a 5-year strategic plan for UMS.

At the Board's September 2021 meeting, Vice Chancellor for Strategic Initiatives and Chief Legal Officer James Thelen presented an initial timeline and plan for the work, and in November 2021, updated the Board on project status, including the System's work to identify a strategic planning consultant that will help UMS undertake the work to develop the plan.

Vice Chancellor Thelen will update the Board on the System's ongoing work with Huron Consulting Group to facilitate the System's strategic planning process and work with the Board's Ad Hoc Strategic Planning Committee and UMS Presidents' Council on the effort. A UMS Strategic Plan Working Group is now engaged with Huron as well, and the Huron team has conducted much of its first phase stakeholder input with System and university leaders. The Huron team has also compiled a data book of factual resources that will serve as a foundation for ongoing campus engagement and development of the strategic plan.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Unified Accreditation and Unified Catalog 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 in two areas:

- 1) the NECHE self study and preparations for the October evaluation visit.
- 2) the Unified Catalog initiative.

3/17/2021

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Maine College of Engineering, Computing and Information Science (MCECIS) Update

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

309 - [Organization & Establishment of Major Units](#)

**UNIFIED ACCREDITATION CONNECTION:**

The formation of a statewide Maine College of Engineering, Computing, and Information Science (MCECIS) is a signature initiative of the Harold Alfond Foundation's \$240 million grant commitment to the University of Maine System, which relative to MCECIS is intended to facilitate greater academic collaboration between UMS universities to better meet state needs for engineers and computer and information scientists.

**BACKGROUND:**

The October 2020 grant commitment agreement between UMS and the Harold Alfond Foundation provides \$75 million to UMS over 12 years (2022-2033), \$50 million of which is intended to renovate existing engineering infrastructure and \$25 million of which is intended to support scholarships (\$5 million); new faculty, faculty development, and curricular innovation (up to \$16 million); planning, development, and administration of the MCECIS entity (up to \$3.5 million); and assessment and marketing (up to \$500,000). UMS is required to match an additional \$75 million that advances the MCECIS initiative through privately raised funds and corporate philanthropy, state support (bonding, debt service, or targeted appropriation), and federal grants.

The initial academic administrative matter before the Board as an information item in March 2022 – with the expectation of a request for approval through the Academic and Student Affairs Committee and full Board, respectively, in May 2022 – is written agreement between the President of the University of Southern Maine, the Chancellor, the Vice Chancellor for Strategic Initiatives and Chief Legal Officer, and the Vice Chancellor for Research and Innovation and President of the University of Maine regarding the relationship the USM Department of Engineering will have to the MCECIS entity, which initially is intended to be formed through renaming the existing University of Maine College of Engineering.

USM engineering faculty and administration requested that UMS commit in writing to an arrangement that allowed USM to continue granting engineering degrees in its own programs even as they partner with University of Maine engineering programs in MCECIS. Further, USM requested to retain administrative control over the USM Department of Engineering and continue to be the “home” of USM engineering faculty.

3/17/22



The MCECIS MOU here accomplishes these ends. It has been reviewed by the USM and UMaine faculty senates, the MCECIS Steering Committee, and AFUM, and was provided to the UMS Faculty Governance Council with a request for review and comment. To date, all but the UMS Faculty Governance Council have provided written responses, which are included with these agenda materials noted below. The USM Faculty Senate's response and the AFUM response each express opposition to the MCECIS MOU.

UMS has prepared explanatory memos for the Board's consideration in response to the USM Faculty Senate's February 12, 2022 Resolution on the Status of MOUs and AFUM's February 28, 2022 Response to UMS regarding MCECIS MOU. These memos are attached for Board review as well.

Vice Chancellors Jim Thelen and Joan Ferrini-Mundy, who are the co-Principal Investigators for the UMS TRANSFORMS Harold Alfond Foundation grant initiatives, will discuss the MCECIS MOU framework and address the written responses received to date. For context, also included with the materials below are the March 2021 Board Resolution accepting the Harold Alfond Foundation grant agreement that includes the MCECIS initiative, as well as the Board's Statement on Shared Governance, which is referenced throughout the materials included here.

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### ***Materials included for Board Review***

Letter from USM Department of Engineering Chair Carlos Lück to Dean Jeremy Qualls Re: USM Engineering Autonomy (December 11, 2020)

Notification of Board Actions (March 23, 2021) (regarding acceptance of the Harold Alfond Foundation grant commitment)

UMS Memorandum of Understanding Regarding Formation and Initial Governance of MCECIS (signed January 2022)

Letter from USM Department of Engineering Chair Carlos Lück to USM Faculty Senate and USM AFUM Leadership regarding MCECIS MOU (February 10 2022)

USM Faculty Senate Resolution on the Status of MOUs (February 12, 2022)

- UMS Cover Memo to USM Faculty Senate Resolution (February 15, 2022)
- USM Faculty Senate Executive Committee letter to James Thelen responding to the February 15, 2022 UMS Cover Memo (February 23, 2022)

Email from University of Maine Faculty Senate President (William) Dee Nichols to James Thelen regarding MCECIS MOU and background materials (February 16, 2022)

AFUM Memo to UMS Regarding MCECIS MOU (received by UMS February 28, 2022)

- UMS Explanatory Notes to AFUM Response regarding MCECIS MOU
- UMS Board of Trustees Statement on Shared Governance

Attachment:

[MCECIS Background Materials](#)

Presentation:

[MCECIS Update](#)

3/17/22

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

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

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

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

Primary Outcomes:

Enhance fiscal positioning

**BACKGROUND:**

The Vice Chancellor for Finance and Administration and Treasurer Ryan Low will provide two brief updates at the March 27-28, 2022 Board of Trustees meeting.

1. Financial Update – Vice Chancellor Low will present the UMS Flash Reports
2. Vice Chancellor Low will speak briefly about the current Fiscal Year-to-Date Forecast to Budget

Attachments:

[Managed Investment Pool Flash Reports](#)

[Pension Fund Flash Reports](#)

[Operating Fund Flash Reports](#)

[Fiscal Year-to-Date Forecast to Budget](#)

[State of IT 2021 Report](#)

[Gordian Report](#)

3/17/22

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of FY2021 Maine Economic Improvement Fund Annual Report

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

**BACKGROUND:**

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

The Finance, Facilities & Technology Committee approved this item to be forwarded to the March 27-28, 2022 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 2021 Maine Economic Improvement Fund Annual Report as presented.

Attachment:

[Maine Economic Improvement Fund \(MEIF\) FY2021 Annual Report](#)

Presentation:

[MEIF FY2021](#)

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** UMS 2022 Tenure Nominations

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

Board Policy 310: Tenure

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Candidates recommended for tenure in the University of Maine System are brought forward for approval by the Board of Trustees in March with action to take effect September 1, 2022.

The Academic and Student Affairs Committee agreed to forward this item for Board of Trustees for approval at the March 27-28, 2022 Board Meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and approves the tenure nominations submitted by the Universities of the University of Maine System. Approvals will take effect September 1, 2022 for faculty with academic year appointments and on July 1, 2022 for faculty with fiscal year appointments.

Attachments:

[Board Policy 310 - Tenure](#)

[Names of Candidates for Tenure 2022 \(Confidential\)](#)

[Brief Abstracts of Tenure 2022 Candidates \(Confidential\)](#)

[Tenure Table 1: Tabular analysis of 2022 candidates](#)

[Tenure Table 2: Summary of campus tenure promotions for 2022 and the previous 5 years](#)

[Report on Tenure Statistics](#)

3/17/22

University of Maine System  
Board of Trustees

## **AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of the Board of Trustees Meeting Calendar for FY2023 & FY2024

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

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

The Board of Trustees Retreat and the Special Board Meeting in October have been added to the Board Meeting Calendar.

**Fiscal Year 2023** *(Approved March 2021)*

July 11, 2022 @ UM hosted by UMS  
September 11-12, 2022 @ UMPI  
October 2-3, 2022 – Board Retreat  
October 26, 2022 – Special Board Meeting  
November 13-14, 2022 @ UMF  
January 29-30, 2023 @ UMA  
March 26-27, 2023 @ UM  
May 21-22, 2023 @ UMFK

**Fiscal Year 2024** *(Proposed)*

July 10, 2023 - TBA  
September 10-11, 2023 - TBA  
October 1-2, 2023 – Board Retreat  
October 27, 2023 – Special Board Meeting  
November 5-6, 2023 - TBA  
January 28-29, 2024 - TBA  
March 24-25, 2024 - TBA  
May 19-20, 2024 - TBA

The Board of Trustees Office in consultation with the Chancellor and the Board Chair can modify the Board meeting calendar as necessary to accommodate the needs of the Board. The Board meeting locations for FY2024 have been noted as “to be announced” (TBA) and will be formulated based on the need to constrain costs and the desire for campuses to host Board meetings.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the Board of Trustees meeting calendar for FY2023 and FY2024, as presented.

3/17/2022



University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

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

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

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

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

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

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

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

The following nominations are being recommended by the campus:

Student Representative:

Lisa Prosienski, Law School – appointed for a 2 year term – March 2022 to March 2024

Sophia Paddon, USM Graduate Student, – appointed for a 1 year term – March 2022 to May 2023

Aidan Mulrooney, UMF – appointed for a 2 year term – March 2022 to March 2024

**TEXT OF PROPOSED RESOLUTION:**

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

Revised - 3/23/2022

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of Collective Bargaining Agreement, PATFA

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

Section 407 Labor Relations

**UNIFIED ACCREDITATION CONNECTION:** N/A

**BACKGROUND:**

The Board of Trustees delegates responsibility for negotiating collective bargaining agreements to the Chancellor. The Chancellor reports tentative agreements to the Board for approval prior to executing the agreements.

The University has reached a tentative agreement with the Maine Part-Time Faculty Association (PATFA). The Human Resources and Labor Relations Committee will be briefed on the terms of the Agreement at the meeting.

The Human Resources and Labor Relations Committee approved this item to be forwarded to the March 27-28, 2022 Board of Trustees meeting, for approval of the following resolution:

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Human Resources and Labor Relations Committee and authorizes the Chancellor to execute the collective bargaining agreement with the Maine Part-Time Faculty Association (PATFA) upon notice that the agreement has been ratified.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Tenure at Time of Hire, Professor in the College of 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. Yonghao Ni be awarded tenure at the rank of Professor in the College of Engineering, effective August 1, 2022 in accordance with Board of Trustee Policy 310. This coincides with his appointment as professor in the University of Maine Department of Chemical and Biomedical Engineering and as the J. Ober Chair in Chemical Engineering. Dr. Ni was selected after an extensive search and rigorous evaluation process. Dr. Ni holds a Ph.D. in Chemical Engineering from McGill University, has expertise in pulp and paper, and a stellar record of teaching, mentoring graduate students, and research. This recommendation has the full support of the Department of Chemical and Biomedical Engineering peer committee.

The Academic and Student Affairs Committee, approved this item to be forwarded for Board of Trustee approval at the March 27-28, 2022 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 in the College of Engineering, to Dr. Yonghao Ni with tenure to be effective August 1, 2022.

Attachment:

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

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Acceptance of Minutes

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

The following minutes will be presented to the Board of Trustees for approval at the January 24, 2022 Board meeting:

January 5, 2022 – Finance, Facilities & Technology Committee Meeting

January 19, 2022 – Ad Hoc Committee on Strategic Planning Meeting

January 24, 2022 – Board of Trustees Meeting

February 23, 2022 – Ad Hoc Committee on Strategic Planning Meeting

March 3, 2022 – Investment Committee Meeting

March 7, 2022 – Academic & Student Affairs Committee Meeting

March 7, 2022 – Human Resources and Labor Relations Committee Meeting

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

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees approves the minutes as presented.

3/17/22

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** University of Maine/University of Maine at Machias Integrated Organization Chart

**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:**

University of Maine President Ferrini-Mundy and UM Provost John Volin provided an overview of the integrated University of Maine/University of Maine at Machias organization chart at the March 27-28, 2022 Board of Trustees meeting.

The Academic and Student Affairs Committee approved the following resolution to be forwarded to the Consent Agenda for Board of Trustees approval at the March 27-28, 2022, Board meeting:

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and approves and ratifies the integrated University of Maine/University of Maine at Machias organization chart to go into effect on July 1, 2022.

Attachment:

[UM/UMM Integrated Organizational Chart](#)

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Academic Program Elimination: Undergraduate Art Program, UMPI

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

305.1 Program Approval, Review &  
Elimination Procedures

**UNIFIED ACCREDITATION CONNECTION:**

This is not a collaborative program.

**BACKGROUND:**

The University of Maine at Presque Isle (UMPI) is seeking permission to eliminate the Bachelor of Art in Art program.

As described in the included proposal from UMPI, headcount has been in the single digits for at least the last five years, with no students enrolled since 2020. There are no full-time faculty equivalents or budgets associated with the program. UMPI offers a Bachelor of Fine Art degree that is more appealing to students and can serve as the primary program when the BA in Art is eliminated.

The proposal for elimination was reviewed at all appropriate faculty and administrative levels at UMPI and was reviewed and subsequently recommended by the Chief Academic Officers Council. Dr. Robert Placido, Vice Chancellor of Academic Affairs recommended the program elimination to the Chancellor. Chancellor Malloy signed his approval of the BA, Art elimination on February 2, 2022.

The Academic and Student Affairs Committee approved the following resolution to be forwarded to the Consent Agenda for approval at the Board of Trustees meeting on March 27 - 28, 2022.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and approves the elimination of the Bachelor of Art in Art program at the University of Maine at Presque Isle.

Attachment:

[Program Elimination Proposal – BA in Art, UMPI](#)

3/17/22

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Internal Loan Request, UMA

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

712 – Debt Policy

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

Increase enrollment

Improve student success and completion

**BACKGROUND:**

The University of Maine System acting through the University of Maine at Augusta (UMA) requests authorization to fund two capital projects through an internal loan of up to \$3,000,000.

UMA plans to renovate roughly 3,800 square feet in Camden Hall on the Bangor campus in support of its Veterinary Technology academic program with a project budget of \$1,600,000. UMA also plans to renovate roughly 4,000 square feet on the Augusta campus in support of its Medical Laboratory Technology academic program with a budget of \$1,650,000.

In addition to the loan proceeds, UMA will utilize E&G capital funds to meet the total cost of the two projects. Debt service for the internal loan has been included in UMA's proposed FY23 budget.

This request is pursuant to Board Policy 712, which requires that debt and related agreements be approved by the Board. In this case the Committee recommendation will be forwarded to the Board of Trustees Consent Agenda at the March 27-28, 2022 Board meeting.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities & Technology Committee and authorizes the University of Maine System acting through the University of Maine at Augusta to issue an internal loan of up to \$3,000,000 for renovation costs in support of its Veterinary Technology and Medical Laboratory Technology academic programs.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Medical Laboratory Technology Space Renovation, UMA

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

Affiliation agreement with the University of Maine at Presque Isle

Increase enrollment

Improve student success and completion

**BACKGROUND:**

**a. Summary of the request**

The University of Maine System acting through the University of Maine at Augusta (UMA) requests authorization to spend up to \$1,650,000 to create a new Medical Laboratory Technology space in an appropriate location on the Augusta campus. Funding for this project will be mainly through an internal loan.

**b. Overall requested budget and funding source**

The overall project budget is \$1,650,000 to be funded mainly from the proceeds of an internal loan. 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 & Technology Committee. In this case the Committee recommendation will be forwarded to the Board of Trustees Consent Agenda at the March 27-28, 2022 Board meeting.

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

The demand for qualified medical laboratory technicians has never been greater. Graduates of the Medical Laboratory Technology (MLT) academic program have numerous job opportunities awaiting them. UMA very much needs to expand its program by enrolling a greater number of students, and this expansion can occur only with adequate and appropriate facilities. It is anticipated that this expansion will allow the program to increase enrollment by over 70% to 24 initially and possibly more in the future.

**d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above.**

Roughly 4,000 square feet of space will be renovated and developed into a laboratory for the MLT program. The scope of the work may include extensive demolition; structure reinforcement; plumbing; fire protection; HVAC; electrical; framing; doors and door

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hardware; interior finishes; toilets, lavatories; sinks; eyewash stations; mechanical systems; and audio/visual components. The final location is still under review.

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

No additional square footage is being added. Depending on the location, any additional operational expense should be covered by additional tuition and fee revenue.

**f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b) above**

The project is contingent upon Board of Trustees approval of an internal loan or other financing. Repayment of the loan is already built into the UMA FY23 budget proposal. In addition, E&G funding totaling up to \$350,000 has been set aside to cover costs related to this project and the Camden Hall Veterinary Technology renovation project.

**g. Alternatives that were considered to meet the need being addressed by this project**

Conversations took place with a potential donor to construct an allied health wing onto Jewett Hall. Those efforts were not successful. Currently a diligent review of campus spaces is underway to find the most suitable location.

**h. Timeline for start, occupancy and completion**

Project to begin after the bidding process with the goal of completion in time for the beginning of the fall 2023 semester.

**i. Timeline for further consideration or action anticipated to be needed by the Board or its committees regarding this project if full authority is not being requested from the outset.**

No further Board action is anticipated at this time if financing is approved.

**j. Additional information that may be useful to consideration of item.**

It is anticipated that the renovation will result in a positive impact on UMA's net asset value.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities & Technology Committee and authorizes the University of Maine System acting through the University of Maine at Augusta to expend up to \$1,650,000 to renovate existing space on the Augusta campus to develop a laboratory for the Medical Laboratory Technology academic program.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Camden Hall Renovation, UMA

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

Increase enrollment

Improve student success and completion

**BACKGROUND:**

**a. Summary of the request**

The University of Maine System acting through the University of Maine at Augusta (UMA) requests authorization to spend up to \$1,600,000 to renovate the second floor of Camden Hall on the Bangor campus in support of the expansion of the Veterinary Technology academic program. Funding for this project will be mainly through an internal loan.

**b. Overall requested budget and funding source**

The overall project budget is \$1,600,000 to be funded from the proceeds of an internal loan and from E&G capital 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 & Technology Committee. In this case the Committee recommendation will be forwarded to the Board of Trustees Consent Agenda at the March 27-28, 2022 Board meeting.

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

Veterinarians are in great need of technicians, particularly during this pandemic time where more people have adopted pets. Graduates of the program have job opportunities awaiting them. This project will provide the opportunity for expansion and to increase the enrollment by about 12% to a total of 72 students in the near future with possible increases later.

**d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above.**

Roughly 3,800 square feet of the second floor of Camden Hall will be renovated to include a classroom; computer lab; changing rooms; restrooms with showers; and a break room. The remaining portion of the second floor will remain unfinished. Included in the project will be fire protection; plumbing; HVAC; electrical; communications; electronic safety & security; and all finish work.

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

No additional square footage is being added. There will be increased costs due to increased utilization, which will be more than covered by additional tuition and fee revenue.

**f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b) above**

The project is contingent upon Board of Trustees approval of an internal loan or other financing. Repayment of the loan is already built into the UMA FY23 budget proposal. In addition, E&G funding totaling up to \$350,000 has been set aside to cover costs related to this project and the Medical Laboratory Technology project.

**g. Alternatives that were considered to meet the need being addressed by this project**

The second floor of Camden Hall is directly above the existing space occupied by the Veterinary Technology academic program. This space is not currently utilized and thus will not disrupt other activity.

**h. Timeline for start, occupancy and completion**

Project to begin after the bidding process with completion in time for the beginning of the fall 2023 semester.

**i. Timeline for further consideration or action anticipated to be needed by the Board or its committees regarding this project if full authority is not being requested from the outset.**

No further Board action is anticipated at this time if financing is approved.

**j. Additional information that may be useful to consideration of item.**

There will be a definite positive impact on the net asset value of Camden Hall.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities & Technology Committee, and authorizes the University of Maine System acting through the University of Maine at Augusta to expend up to \$1,600,000 to renovate existing space in Camden Hall to provide expansion opportunities for the Veterinary Technology academic program.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Extension of the Cyberbit Range, UMA

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

Utilized by other UMS Institutions with Cybersecurity programs (USM, UMPI)

**BACKGROUND:**

At its January 28, 2019 meeting, the Board of Trustees authorized the expenditure of \$855,000 over three years for UMA's acquisition of the Cyberbit Range security training and simulation platform. This platform has provided a virtual environment for teaching and learning in cyberwarfare training and cyber technology development. Graduating students are highly marketable with an estimated cybersecurity workforce gap in the Northeast United States approaching 50,000 positions currently.

UMA wishes to extend its agreement with Cyberbit for an additional three years as well as add ProTools; upgrade hardware; utilize the services of a Customer Success Manager; and provide 100 student labs. The cost is \$280,000 for the first year; \$380,000 for the second year; and \$380,000 for the third year for a total three year cost of \$1,040,000 to be funded with 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 & Technology Committee. In this case the Committee recommendation will be forwarded to the Board of Trustees Consent Agenda at the March 27-28, 2022 Board meeting.

The addition of ProTools enables the Cyber Range to create actual cybersecurity protection plans specifically designed for a particular company, government entity, or organization. Such development provides "real" training for students and offers the opportunity for revenue generation. Majors in this area produce over 2000 credit hours in Computer Science and over 3000 credit hours in Cyber Security. The numbers continue to increase each year. The continuation of the Cyber Range enhances the ability to attract and retain students.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities & Technology Committee and authorizes the University of Maine System acting through the University of Maine at Augusta to expend up to \$1,040,000 for the extension of the Cyber Range security training and simulation platform.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Acceptance of Aroostook Farm Maine Potato Board Building gift, UM

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

801 – Acquisition of Real Property  
Increase in Square Footage

**UNIFIED ACCREDITATION CONNECTION:**

Non-applicable

**BACKGROUND:**

**a. Summary of the request**

The University of Maine System, acting through the University of Maine (UM) requests authorization to accept the donation of the 9,500 square foot Maine Potato Board Building located on the University Aroostook Research Farm in Presque Isle. Estimated value of the building is approximately \$400,000.

This request is pursuant to Board Policy 801 Acquisition of Real Property, which requires Board approval for acquisition of real property with a cost exceeding \$50,000 prior to transfer of title.

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

The University of Maine System in May of 2002 leased approximately one acre of land located on the University of Maine Agricultural and Forest Experiment Station Farm in Presque Isle to the Maine Potato Board (MPB) to construct a 9,500 square foot potato storage research facility. The terms of the land lease at a cost of \$1 for the first year, was for an initial twenty years with an option to extend for an additional twenty years. The initial lease term expires May of 2022. MPB does not wish to renew the land lease. MPB voted unanimously in November of 2021 to offer the transfer of the building to the University at zero cost. Upon termination of the lease, per the lease agreement, MBP has one-year to dispose of the building, including an offer of first refusal to the university. Estimated value of the building is approximately \$400,000. The University currently maintains, operates, and utilizes the building for research. MPB is not currently, nor planning to, utilize the building.

After due diligence and careful review with President Ferrini-Mundy, in accordance with Board Policy Section 801 and APL II-G, the Treasurer recommends accepting the gift of the Maine Potato Board Building.

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

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The building is approximately 9,500 square feet and would be added to the University's total square footage. The University currently maintains, operates and utilizes the building for research, so no increased operating costs are anticipated.

**d. Additional information that may be useful to consideration of the item.**

The University will utilize this building as part of the modernization of the Aroostook Farm to support potato and other ground crops grown on the farm for research by the University, Cooperative Extension, USDA, and University of Presque Isle. This plan is supported by Dean Rowland.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance, Facilities, & Technology Committee, and approves the transfer of ownership of the 9,500 square foot Maine Potato Board Research Building located on the University of Maine Aroostook Farm, from the Maine Potato Board to the University of Maine System.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Secure Laboratory, Advanced Structures and Composite Center (ASCC), UM

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

The Secure Lab will be located at the University of Maine campus and will include highly-specialized research facilities and equipment that can be leveraged for researchers across the University of Maine System.

**BACKGROUND:**

**a. Summary of the request.**

The University of Maine System acting through the University of Maine requests authorization to expend up to \$2,451,268 to construct approximately 4,000 square feet of space mostly within the Advanced Structures and Composites Center (ASCC) located at the University of Maine to create a secured clean laboratory for textiles research. Funds to complete construction are fully available and committed to this project through several contracts with the U.S. Army Natick Soldiers System Center (Natick).

**b. Overall requested budget and funding source.**

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 will be forwarded to the Consent Agenda for Board of Trustee approval at the March 2022 Board meeting. The budget for this project is funded through a multi-year, multi-million-dollar contract with the U.S. Army Natick Soldier System Center. The additional square footage is dedicated to and in support of research activity so does not require Trustee authorization.

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

This project is the second and final part of a two-phase construction project that included secure offices and secure lab space. An initial phase of this project included construction of secure offices within the ASCC. That phase is now completed and the offices are occupied. This next phase will provide for construction of the secured clean lab space. This will include adding a 2nd floor above the existing, high bay, Thermoplastics Lab located at the ASCC.

This lab will allow expanded textile research and open new funding opportunities for textile and deployable shelter research with Natick and other funding agencies. The project is necessary to execute research tasks focused on developing advanced textile materials including photovoltaic wires and color changing filaments.

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Textile technologies are used throughout many ASCC research projects and the proposed lab will allow these projects to be supported internally and expand the options of what can be explored with further research. Capabilities and projects will further the development of green and bio-friendly materials for use in textiles, lightweight structures and 3D printing. “Smart” material systems will be developed, refined, and prototyped to the level of a commercial product.

**d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above.**

The second-floor construction above the existing Thermo-Plastic / Robotics Laboratory will include installation of a structural steel frame and concrete deck, stairs, mechanical, electrical, life safety/fire alarm, sprinkler, AV/IT, and architectural finishes to develop the second-floor space and all necessary requirements for continued operation of the first-floor laboratory.

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

The design being developed will create an estimated 4,000 square feet, most of which is within the existing building footprint. Any increases in operating costs will be covered by ASCC contracts which support these costs through Facilities and Administrative (F&A) rates charged on research projects.

**f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b) above.**

Funding for this construction phase is available and unencumbered in the correct accounts within contract W911QY-18-C-0101 P00006 and W911QY-20-C-0053.

**g. Alternatives that were considered to meet the need being addressed by this project.**

Many alternatives within and around the existing ASCC footprint were studied but found to be inadequate or cost prohibitive. Available space to accommodate the activities required to be accomplished in the Secure Laboratory are presently not available within the ASCC or cleanrooms at the UMaine campus.

**h. Timeline for start, occupancy and completion**

Design is currently in process with construction anticipated to start in the fall of 2022, with completion for occupancy in summer of 2023.

**i. Timeline for any further consideration or action anticipated to be needed by the Board or its committees regarding this project if full authority is not being requested from the outset.**

The present action is expected to accomplish the requirements of the laboratory with the funding available.

**j. Additional information that may be useful to consideration of the item.**

None

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

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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 to expend up to \$2,451,268 to construct approximately 4,000 square feet of space mostly within the existing ASCC facility to accommodate installation of a Secure Laboratory to be utilized for research on smart materials.

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** 300 Fore St. Renovation and Fit Out Increase, University of Maine and University of Maine School of Law

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

The collaborative and inter-disciplinary work being done throughout the System will be enhanced by the ability of faculty and leaders to come together for innovation and collaboration. The new facility will bring together the Graduate School of Business, the Graduate and Professional Center, and the Law School in professional and modern spaces. The University of Maine will have space for the Portland Gateway, MCECIS, and UMaine Foundation staff.

**BACKGROUND:**

**a. Summary of the request**

The University of Maine System, acting through the University of Maine and the University of Maine School of Law, request to increase the authorization for the Portland, 300 Fore St. renovation and fit out project by \$1,327,396 for a total expenditure of up to \$12,827,396.

**b. Overall requested budget and funding source**

The current request is for a near-final authorization for the 300 Fore Street renovation project, which is estimated, with System contingencies, to total approximately \$13,500,000. The Board has previously authorized the expending of \$11,500,000 with the understanding that additional funding and authorization would be forthcoming. If authorized, the amount approved will bring total authorization to \$12,827,396. The funding sources for this authorization include a second gift from Bobby Monks and Bonnie Porta of over \$1,000,000, along with other funding sources identified by the Treasurer and Chancellor. This request is pursuant to Board Policy 701, which requires projects with a total cost of more than \$500,000 and any increases to those projects, be considered by the Board of Trustees or its Finance, Facilities & Technology (FFT) Committee. The request is that the FFT Committee forward the authorization to the Consent Agenda at the March 27-28, 2022 Board meeting.

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

The anticipation of a long-term presence in the building, whether through lease agreements or an ultimate purchase of the property create an opportunity for a vibrant, collaborative, and cross-disciplinary center in the midst of a thriving City, with technological updates that will allow inclusion of University System students throughout Maine, the United States, and even internationally. The current request nearly completes

the funding necessary for the entire renovation and the anticipation of opening the building to students, faculty, staff, and visitors in the fall of 2022.

**d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above.**

No changes from prior Board authorizations

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

No changes from prior Board authorizations.

**f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b) above).**

With the signing of the Guaranteed Maximum Price (GMP) by Consigli, which contains a thorough review of the market and supply chain for materials as well as contingency budgets in the event of challenges, the final project costs can be established at approximately \$13,500,000 inclusive of contingencies that fall within the System's responsibilities, rather than Consigli's. In the absence of unanticipated fiscal challenges, it is anticipated that the System will seek a final authorization for expenditures of less than \$700,000.

**g. Alternatives that were considered to meet the need being addressed by this project.**

Previously addressed.

**h. Timeline for start, occupancy and completion.**

The project design is complete, many materials have been ordered, the GMP has been signed, pending City authorization renovations will begin in March, and the building will be occupied in October or November 2022, depending on construction speed.

**i. Timeline for any further consideration or action anticipated to be needed by the Board or its committees regarding this project if full authority is not being requested from the outset.**

It is anticipated that additional authorization may be requested to complete the project budget at a meeting prior to completion of the project.

**j. Additional information that may be useful to consideration of the item.**

Addressed in prior Board meetings.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 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 and the University of Maine School of Law, acting through the University of Maine System to expend an additional \$1,327,396 for a total of \$12,827,396 for the design, permitting, renovation and fit out of space at 300 Fore St, Portland. The funding sources will be gifts and other sources as identified by the Vice Chancellor for Finance and Administration and Treasurer and the Chancellor.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Adaptive reuse of Coburn and Holmes Hall – Public-Private Partnership Authorization Increase, UM

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

701 – Budgets, Operating & Capital

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

**a. Summary of the request**

The University of Maine System, acting through the University of Maine, requests to increase the authorization for the Adaptive reuse of Coburn and Holmes Hall– Public-Private Partnership Authorization by \$1,000,000 for a total expenditure of up to \$3,000,000. This request for additional funding is due to increased costs associated with the building, utilities upgrades, and parking lot construction. These increases are attributed to inflation, labor and material shortages and cost escalation in the construction market.

This request is pursuant to Board Policy 701, which requires projects with a total cost of more than \$500,000 and any increases to those projects, be considered by the Board of Trustees or its Finance, Facilities & Technology (FFT) Committee. The request is that the FFT Committee forward the authorization to the Consent Agenda at the March 27-28, 2022, Board meeting.

**b. Overall requested budget and funding source:**

The current request is for authorization for an additional \$1,000,000 to come from UMaine’s annual capital budget. In November 2021 the Board of Trustees authorized the expenditure of up to \$2,000,000 for the adaptive reuse of Coburn and Holmes Halls with funding to come from auxiliaries’ reserves. The University and the developer of this public private partnership are seeking New Markets Tax Credits, developer concessions, and potential fundraising opportunities which will be used to reduce the overall \$3,000,000 potential investment in this project.

**c. More detailed explanation of rationale for project and metrics for success of the project:**

No changes from prior Board authorizations.

**d. Explanation of the scope and substance of the project as needed to supplement (a) and (c) above:**

No changes from prior Board authorizations.

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- e. Changes, if any, in net square footage or ongoing operating costs resulting from the project:**  
No changes from prior Board authorizations
- f. Budget for the project and further elaboration on funding source and selection as needed to supplement (b):**  
Funding for the development project will be provided by Radnor Property Group through various sources including but not limited to private equity, debt as well as federal and state historic tax credits.
- g. Alternatives that were considered to meet the need being addressed by this project:**  
No changes from prior Board authorizations
- h. Timeline for start, occupancy, and completion:**  
UMaine and Radnor expects to close on this agreement on April 15<sup>th</sup>. Construction will begin in May of 2022 with completion in summer of 2023.
- i. Timeline for any further consideration or action anticipated to be needed by the Board or its committees regarding this Project if full authority is not being requested from the outset.**  
At this time, no additional consideration is anticipated to be needed.
- j. Additional information that may be useful for consideration of the item.**  
Addressed in prior Board meetings.

The Finance, Facilities & Technology Committee approved this recommendation to be forwarded to the Consent Agenda for Board of Trustee approval at the March 27-28, 2022 Board meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees accepts the recommendation of the Finance Facilities and Technology Committee and authorizes the University of Maine System, acting through the University of Maine to expend an additional \$1,000,000 for a total of \$3,000,000 to pursue a public private partnership through a 99-year ground lease and Definitive Agreement with Radnor Property Group, LLC for the building redevelopment of Coburn Hall and Holmes Hall, and an addition to Holmes Hall. The additional funds will come from annual campus capital budget expenditures.

3/17/2022



University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Engagement with Presidents and System Leadership to the Board of Trustees on Student Success, Retention and Access

**INITIATED BY:** Mark R. Gardner, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

**UNIFIED ACCREDITATION CONNECTION:**

Collaboration and engagement with the Presidents and System Leadership with the Board of Trustees on issues impacting unified accreditation at all campuses.

**BACKGROUND:**

In order to enhance engagement, the Board is seeking to have a dialog with the Presidents and System Leadership to find common definitions and measures of student success. This discussion will build on the dialog with the Faculty and Student Representatives scheduled for Sunday, March 27<sup>th</sup>.

This dialog will be facilitated by Carolyn Dorsey, UMS Associate Vice Chancellor for Academic Affairs. To guide the discussion, the following prompts have been developed:

- How should student success be defined (progression, retention, completion)?
- In your opinion, what is the greatest challenge our students face in achieving their academic goals?
- What do you see as the campus' role in helping students succeed? The faculty's role? The role of UMS?
- What is the greatest challenge in meeting students' needs and expectations?

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University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of Collective Bargaining Agreement, AFUM

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

**BOARD INFORMATION:**

**BOARD ACTION:** X

**BOARD POLICY:**

Section 407 Labor Relations

**UNIFIED ACCREDITATION CONNECTION:** N/A

**BACKGROUND:**

The Board of Trustees delegates responsibility for negotiating collective bargaining agreements to the Chancellor. The Chancellor reports tentative agreements to the Board for approval prior to executing the agreements.

The University has reached a tentative agreement with the Associated Faculties of the Universities of Maine (AFUM). The Board will be briefed on the terms of the Agreement at the meeting.

**TEXT OF PROPOSED RESOLUTION:**

That the Board of Trustees authorizes the Chancellor to execute the collective bargaining agreement with the Associated Faculties of the Universities of Maine (AFUM) upon notice that the agreement has been ratified.

03/23/2022

# University of Maine System Managed Investment Pool

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>MIP Composite</b>	<b>440,437,558</b>	<b>100.0</b>	<b>100.0</b>	<b>-4.6</b>	<b>-1.0</b>	<b>7.1</b>	<b>10.2</b>	<b>8.2</b>	<b>6.5</b>	<b>7.2</b>
Allocation Index				-3.9	-0.1	9.0	11.1	9.0	7.3	7.6
Policy Index				-3.8	-0.2	8.4	10.9	9.2	7.6	7.7
<b>Total Domestic Large Cap</b>	<b>106,114,698</b>	<b>24.1</b>	<b>22.0</b>	<b>-5.2</b>	<b>5.9</b>	<b>23.2</b>	<b>20.6</b>	<b>16.7</b>	<b>14.5</b>	<b>15.2</b>
S&P 500				-5.2	5.9	23.3	20.7	16.8	14.6	15.4
SSgA S&P 500	106,114,698	24.1	22.0	-5.2	5.9	23.2	20.6	16.7	14.5	15.4
S&P 500				-5.2	5.9	23.3	20.7	16.8	14.6	15.4
<b>Total Domestic Small/Mid Cap</b>	<b>26,578,665</b>	<b>6.0</b>	<b>6.0</b>	<b>-6.9</b>	<b>-1.4</b>	<b>17.0</b>	<b>17.6</b>	<b>13.5</b>	<b>12.0</b>	<b>13.3</b>
Russell 2500				-8.3	-7.4	5.8	14.2	11.5	10.7	12.4
Westfield Capital	12,809,349	2.9	3.0	-10.6	-5.8	5.5	18.8	16.5	12.8	13.9
Russell 2500 Growth				-13.2	-16.1	-11.3	14.9	13.8	11.8	13.3
DFA	13,769,316	3.1	3.0	-3.1	3.2	28.5	14.9	9.3	10.1	12.0
Russell 2000 Value				-5.8	-4.7	14.8	11.7	7.9	9.2	10.6
<b>Global Equity</b>	<b>45,029,343</b>	<b>10.2</b>	<b>10.0</b>	<b>-8.3</b>	<b>0.0</b>	<b>11.9</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>
MSCI World				-5.3	2.1	16.5	16.6	13.2	11.0	11.5
Walter Scott Global Equity	45,029,343	10.2	10.0	-8.3	0.0	11.9	--	--	--	--
MSCI World				-5.3	2.1	16.5	16.6	13.2	11.0	11.5
<b>Total International Equity (including emerging markets)</b>	<b>82,718,942</b>	<b>18.8</b>	<b>21.0</b>	<b>-6.8</b>	<b>-9.7</b>	<b>-3.6</b>	<b>6.9</b>	<b>6.0</b>	<b>4.2</b>	<b>5.1</b>
MSCI EAFE				-4.8	-2.7	7.0	9.3	7.8	5.9	6.9
Morgan Stanley	21,645,463	4.9	5.0	-1.7	-4.4	5.2	9.2	7.6	5.2	6.5
JO Hambro	19,485,644	4.4	5.0	-10.6	-6.1	-2.1	--	--	--	--
MSCI EAFE				-4.8	-2.7	7.0	9.3	7.8	5.9	6.9
Kabouter International Opportunities Offshore Fund II	13,082,500	3.0	4.0	-14.5	-23.6	-21.1	-0.6	--	--	--
MSCI EAFE Small Cap				-7.3	-6.4	2.4	9.9	8.6	8.3	9.1
<b>Emerging Markets Equity</b>	<b>28,505,335</b>	<b>6.5</b>	<b>7.0</b>	<b>-3.7</b>	<b>-8.2</b>	<b>-0.8</b>	<b>11.4</b>	<b>8.3</b>	<b>4.9</b>	<b>4.1</b>
Emerging Markets Equity Custom Benchmark				-3.2	-8.1	2.7	9.7	9.8	6.8	4.9
Aberdeen Emerging Mkts	13,731,164	3.1	3.5	-1.8	-12.1	-10.1	10.2	8.7	6.1	4.8
MSCI Emerging Markets				-1.9	-11.0	-7.2	7.2	8.3	5.7	4.2
Mondrian EM Small Cap	14,774,171	3.4	3.5	-5.4	-4.5	9.2	12.2	7.5	3.4	--
MSCI Emerging Markets Small Cap				-4.4	-5.2	13.4	12.7	9.5	6.4	5.8



January 31, 2022

# University of Maine System Managed Investment Pool

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Total Fixed Income</b>	<b>111,721,192</b>	<b>25.4</b>	<b>26.5</b>	<b>-1.3</b>	<b>-0.2</b>	<b>1.0</b>	<b>4.9</b>	<b>4.0</b>	<b>3.3</b>	<b>4.0</b>
<i>Bloomberg US Aggregate TR</i>				-2.2	-2.1	-3.0	3.7	3.1	2.4	2.6
Commonfund	53,102,543	12.1	9.5	-1.9	-1.7	-2.0	4.2	3.7	3.0	3.5
<i>Bloomberg US Aggregate TR</i>				-2.2	-2.1	-3.0	3.7	3.1	2.4	2.6
Vanguard Inflation-Protected Securities	7,689,319	1.7	3.5	-1.9	2.0	3.3	7.1	4.6	--	--
<i>Bloomberg US TIPS TR</i>				-2.0	2.0	3.5	7.2	4.7	3.5	2.6
Vanguard Short-Term Inflation-Protected Securities	7,522,413	1.7	3.5	-0.5	1.9	4.2	--	--	--	--
<i>Bloomberg US TIPS 1-5 Yr TR</i>				-0.7	1.9	4.2	4.9	3.2	2.6	1.8
Blackrock Strategic Income Opportunities	21,180,267	4.8	5.0	-1.0	-1.3	0.0	4.5	--	--	--
<i>3-Month Libor Total Return USD</i>				0.0	0.1	0.2	1.0	1.3	1.1	0.9
Bain Capital Senior Loan Fund	22,226,650	5.0	5.0	0.0	2.5	5.9	5.7	--	--	--
<i>Credit Suisse Leveraged Loans</i>				0.4	2.2	4.5	4.8	4.3	4.4	4.7
<b>Total GAA</b>	<b>34,957,166</b>	<b>7.9</b>	<b>7.5</b>	<b>-3.8</b>	<b>-0.9</b>	<b>4.0</b>	<b>4.7</b>	<b>4.3</b>	<b>3.2</b>	<b>4.0</b>
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills*</i>				-2.3	-0.6	2.7	7.2	7.0	6.0	6.4
Newton Global Real Return	34,957,166	7.9	7.5	-3.8	-0.9	4.0	7.5	6.0	--	--
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills</i>				-2.3	-0.6	2.7	6.5	5.5	--	--
<b>Total Hedge Funds</b>	<b>29,204,789</b>	<b>6.6</b>	<b>7.0</b>	<b>-1.5</b>	<b>-2.8</b>	<b>-0.8</b>	<b>9.7</b>	<b>6.3</b>	<b>4.5</b>	<b>4.3</b>
<i>HFRI Fund of Funds Composite Index</i>				-2.0	-1.0	4.6	6.8	5.0	3.7	4.1
Lighthouse	29,204,789	6.6	7.0	-1.5	-2.8	-0.8	9.7	6.9	--	--
<i>Credit Suisse Long Shrt Eqt USD</i>				-2.4	0.4	8.8	7.3	6.5	4.7	6.0
<b>Private Equity</b>	<b>1,991,811</b>	<b>0.5</b>	<b>0.0</b>	<b>0.0</b>	<b>7.4</b>	<b>12.7</b>	<b>15.2</b>	<b>13.7</b>	<b>12.3</b>	<b>--</b>
Landmark Equity Partners XV	1,991,811	0.5	0.0	0.0	7.4	12.7	15.2	13.7	12.3	--
<i>CJA US All PE (1 Qtr Lag)</i>				0.0	19.5	46.8	21.3	19.8	16.1	16.4
<b>Total Cash</b>	<b>2,120,952</b>	<b>0.5</b>	<b>0.0</b>							
Distribution Account	2,120,952	0.5	0.0	0.0	0.0	0.0	0.6	0.8	0.6	0.4
<i>91 Day T-Bills</i>				0.0	0.0	0.0	0.8	1.1	0.8	0.6

## Notes:

Fiscal YTD begins 7/1

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

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

Returns are net of manager fees

Landmark market value is estimated as of 1/31/2022.

In Sept 2021, the benchmark for Newton Global Real Return changed to 40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills.

January 31, 2022

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Past performance is no guarantee of future results.

Returns for pooled funds, e.g. mutual funds and collective investment trusts, are collected from third parties; they are not generally calculated by NEPC. Returns for separate accounts, with some exceptions, are calculated by NEPC. Returns are reported net of manager fees unless otherwise noted.

A “since inception” return, if reported, begins with the first full month after funding, although actual inception dates (e.g. the middle of a month) and the timing of cash flows are taken into account in Composite return calculations.

NEPC’s preferred data source is the plan’s custodian bank or record-keeper. If data cannot be obtained from one of the preferred data sources, data provided by investment managers may be used. Information on market indices and security characteristics is received from additional providers. While NEPC has exercised reasonable professional care in preparing this report, we cannot guarantee the accuracy of all source information contained within. In addition, some index returns displayed in this report or used in calculation of a policy index, allocation index or other custom benchmark may be preliminary and subject to change.

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Source of private fund performance benchmark data: Cambridge Associates, via Refinitiv





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# University of Maine System Pension Plan

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Pension Composite</b>	<b>23,877,019</b>	<b>100.0</b>	<b>100.0</b>	<b>-3.9</b>	<b>0.6</b>	<b>5.9</b>	<b>9.0</b>	<b>7.0</b>	<b>5.6</b>	<b>6.4</b>
Allocation Index				-2.7	1.4	7.6	8.8	7.4	6.1	6.8
Policy Index				-2.7	1.4	7.4	8.8	7.5	6.3	6.9
<b>Total Global Equity</b>	<b>7,237,225</b>	<b>30.3</b>	<b>30.0</b>	<b>-8.4</b>	<b>0.2</b>	<b>12.4</b>	<b>--</b>	<b>--</b>	<b>--</b>	<b>--</b>
MSCI World				-5.3	2.1	16.5	16.6	13.2	11.0	11.5
Walter Scott Global Equity Fund	7,237,225	30.3	30.0	-8.4	0.2	12.4	--	--	--	--
MSCI World				-5.3	2.1	16.5	16.6	13.2	11.0	11.5
<b>Emerging Markets Equity</b>	<b>760,339</b>	<b>3.2</b>	<b>3.0</b>	<b>-5.4</b>	<b>-4.5</b>	<b>9.2</b>	<b>12.2</b>	<b>7.5</b>	<b>3.4</b>	<b>--</b>
Mondrian EM Small Cap	760,339	3.2	3.0	-5.4	-4.5	9.2	12.2	7.5	3.4	--
MSCI Emerging Markets Small Cap				-4.4	-5.2	13.4	12.7	9.5	6.4	5.8
<b>Total Fixed Income</b>	<b>10,344,688</b>	<b>43.3</b>	<b>43.0</b>	<b>-1.8</b>	<b>-1.3</b>	<b>-1.1</b>	<b>4.3</b>	<b>3.5</b>	<b>2.8</b>	<b>3.3</b>
Bloomberg US Aggregate TR				-2.2	-2.1	-3.0	3.7	3.1	2.4	2.6
Baird Aggregate Bond Fund - BAGIX	7,046,147	29.5	26.0	-2.4	-2.4	--	--	--	--	--
Bloomberg US Aggregate TR				-2.2	-2.1	-3.0	3.7	3.1	2.4	2.6
Vanguard Inflation-Protected Securities	452,972	1.9	3.5	-1.9	2.0	3.3	7.1	--	--	--
Bloomberg US TIPS TR				-2.0	2.0	3.5	7.2	4.7	3.5	2.6
Vanguard Short-Term Inflation-Protected Securities - VTSPX	453,264	1.9	3.5	-0.5	1.9	4.2	--	--	--	--
Bloomberg US TIPS 1-5 Yr TR				-0.7	1.9	4.2	4.9	3.2	2.6	1.8
BlackRock Strategic Income Opportunities	1,163,217	4.9	5.0	-1.0	-1.3	0.0	4.5	--	--	--
3-Month Libor Total Return USD				0.0	0.1	0.2	1.0	1.3	1.1	0.9
Bain Capital Senior Loan Fund	1,229,088	5.1	5.0	0.0	2.5	5.9	5.7	--	--	--
Credit Suisse Leveraged Loans				0.4	2.2	4.5	4.8	4.3	4.4	4.7
<b>Total GAA</b>	<b>1,879,895</b>	<b>7.9</b>	<b>8.0</b>	<b>-3.8</b>	<b>-0.9</b>	<b>4.0</b>	<b>7.7</b>	<b>6.0</b>	<b>4.4</b>	<b>4.6</b>
40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills*				-2.3	-0.6	2.7	7.2	7.0	6.0	6.4
Newton Global Real Return	1,879,895	7.9	8.0	-3.8	-0.9	4.0	7.5	6.0	--	--
40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills				-2.3	-0.6	2.7	6.5	5.5	--	--
<b>Total Alternative Investments</b>	<b>1,134,259</b>	<b>4.8</b>	<b>5.0</b>	<b>-1.5</b>	<b>-2.8</b>	<b>-0.8</b>	<b>9.7</b>	<b>6.3</b>	<b>4.7</b>	<b>4.6</b>
HFRI Fund of Funds Composite Index				-2.0	-1.0	4.6	6.8	5.0	3.7	4.1
Lighthouse	1,134,259	4.8	5.0	-1.5	-2.8	-0.8	9.7	6.9	--	--
Credit Suisse Long Shrt Eqt USD				-2.4	0.4	8.8	7.3	6.5	4.7	6.0



## University of Maine System Pension Plan

# TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Total Real Assets</b>	<b>2,110,256</b>	<b>8.8</b>	<b>8.0</b>							
Principal	2,110,256	8.8	8.0	0.9	16.5	23.2	9.4	8.8	9.5	10.4
NCREIF ODCE				0.0	15.1	22.2	9.2	8.7	9.6	10.4
<b>Total Cash</b>	<b>410,357</b>	<b>1.7</b>	<b>3.0</b>							
Distribution Account	410,357	1.7	3.0	0.0	0.0	0.0	0.6	0.8	0.6	0.4
91 Day T-Bills				0.0	0.0	0.0	0.8	1.1	0.8	0.6

## Notes:

Fiscal YTD begins 7/1

Blended Index: 40% Bloomberg Aggregate, 30% Bloomberg U.S. TIPS 1-10YR, 10% S&amp;P 500, 10% Bloomberg 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.

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January 31, 2022



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Source of private fund performance benchmark data: Cambridge Associates, via Refinitiv





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# University of Maine System Operating Fund

## TOTAL PLAN PERFORMANCE

	Market Value (\$)	% of Portfolio	Policy %	1 Mo (%)	Fiscal YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
<b>Operating Funds Composite</b>	<b>388,897,037</b>	<b>100.0</b>	<b>100.0</b>	<b>-1.2</b>	<b>-0.4</b>	<b>1.7</b>	<b>4.7</b>	<b>3.8</b>	<b>3.1</b>	<b>3.1</b>
<i>Allocation Index</i>				-1.2	-0.3	1.6	3.9	3.4	2.8	2.8
<b>Liquidity Pool Composite</b>	<b>172,380,155</b>	<b>44.3</b>	<b>30.0</b>	<b>0.0</b>	<b>0.2</b>	<b>0.4</b>	<b>1.1</b>	<b>1.2</b>	<b>0.9</b>	<b>0.7</b>
State Pool	107,114,040	27.5		0.1	0.3	0.6	1.3	1.3	1.1	0.8
BOA General Fund	7,778,992	2.0		0.1	0.3	0.5	0.6	0.5	0.4	0.3
Federated Gov't Obligations	25,391,685	6.5		0.0	0.0	0.1	0.8	1.0	--	--
JP Morgan US Gov't Money Market Fund	32,095,438	8.3		0.0	0.0	0.0	0.8	1.0	--	--
<i>FTSE T-Bill 3 Months TR</i>				0.0	0.0	0.0	0.9	1.1	0.8	0.6
<b>Income Pool Composite</b>	<b>147,592,958</b>	<b>38.0</b>	<b>47.5</b>	<b>-0.9</b>	<b>-0.9</b>	<b>-0.7</b>	<b>3.1</b>	<b>2.5</b>	<b>2.4</b>	<b>2.5</b>
Income Research + Management	81,911,158	21.1	26.0	-0.6	-1.2	-1.1	2.6	2.1	1.8	--
<i>Bloomberg US Govt/Credit 1-3 Yr. TR</i>				-0.7	-1.2	-1.2	1.9	1.7	1.4	1.3
BlackRock Strategic Income Opportunities	21,099,969	5.4	7.0	-1.0	-1.3	0.0	4.5	3.7	--	--
<i>3-Month Libor Total Return USD</i>				0.0	0.1	0.2	1.0	1.3	1.1	0.9
Baird Aggregate Bond Fund - BAGIX	25,525,837	6.6	7.5	-2.3	-2.3	--	--	--	--	--
<i>Bloomberg US Aggregate TR</i>				-2.2	-2.1	-3.0	3.7	3.1	2.4	2.6
Bain Senior Floating Rate Fund	19,055,995	4.9	7.0	0.0	2.5	--	--	--	--	--
<i>Credit Suisse Leveraged Loans</i>				0.4	2.2	4.5	4.8	4.3	4.4	4.7
<b>Total Return Pool Composite</b>	<b>68,923,924</b>	<b>17.7</b>	<b>22.5</b>	<b>-3.3</b>	<b>-0.6</b>	<b>8.3</b>	<b>11.7</b>	<b>9.1</b>	<b>7.1</b>	<b>6.7</b>
Lighthouse	15,268,287	3.9	5.0	-1.5	-2.8	-0.8	9.7	6.9	--	--
<i>Credit Suisse Long Shrt Eqt USD</i>				-2.4	0.4	8.8	7.3	6.5	4.7	6.0
Newton Global Real Return	12,179,874	3.1	4.0	-3.8	-1.0	3.9	7.5	6.0	--	--
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills</i>				-2.3	-0.6	2.7	6.5	5.5	--	--
PIMCO All Asset	12,648,778	3.3	4.0	-1.6	1.0	11.8	9.8	7.9	6.4	5.7
<i>Blended Index</i>				-2.4	-0.3	1.6	6.3	5.0	4.3	4.3
Vanguard Total World Stock Index	28,826,985	7.4	9.5	-4.6	0.1	13.2	15.5	12.7	10.6	--
<i>FTSE Global All Cap Index</i>				-5.1	-0.2	12.8	15.5	12.7	9.8	9.6

## 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% Bloomberg Aggregate / 30% Bloomberg U.S. TIPS 1-10YR / 10% S&amp;P 500 / 10% Bloomberg High Yield / 10% JPM EMBI+

Composite excludes external loans.

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

In Sept 2021, the benchmark for Newton Global Real Return changed to 40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91- day T-Bills.

# DISCLAIMERS & DISCLOSURES

Past performance is no guarantee of future results.

Returns for pooled funds, e.g. mutual funds and collective investment trusts, are collected from third parties; they are not generally calculated by NEPC. Returns for separate accounts, with some exceptions, are calculated by NEPC. Returns are reported net of manager fees unless otherwise noted.

A “since inception” return, if reported, begins with the first full month after funding, although actual inception dates (e.g. the middle of a month) and the timing of cash flows are taken into account in Composite return calculations.

NEPC’s preferred data source is the plan’s custodian bank or record-keeper. If data cannot be obtained from one of the preferred data sources, data provided by investment managers may be used. Information on market indices and security characteristics is received from additional providers. While NEPC has exercised reasonable professional care in preparing this report, we cannot guarantee the accuracy of all source information contained within. In addition, some index returns displayed in this report or used in calculation of a policy index, allocation index or other custom benchmark may be preliminary and subject to change.

All investments carry some level of risk. Diversification and other asset allocation techniques are not guaranteed to ensure profit or protect against losses.

The opinions presented herein represent the good faith views of NEPC as of the date of this presentation and are subject to change at any time. Neither fund performance nor universe rankings contained in this report should be considered a recommendation by NEPC.

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Source of private fund performance benchmark data: Cambridge Associates, via Refinitiv





PROPRIETARY & CONFIDENTIAL

E & G and AUXILIARY FY2022 -FORECAST #2									
Institution	Operations					Deficit Resolution			NET
	Budget	Forecast #1	Forecast #2	Variance - Forecast 2 vs 1	Variance - Forecast 2 vs Budget	HEERF	Reserve	Stabilization	
UMAINE/UMM	\$ (1,505,655)	\$ (8,993,505)	\$ (6,674,254)	\$ 2,319,251	\$ (5,168,599)	\$ -	\$ 6,674,254	\$ -	\$ -
UMA	(384,675)	(950,918)	(620,126)	330,792	(235,451)	-	620,126	-	-
UMF <sup>1</sup>	(3,081,226)	(5,501,896)	(5,350,805)	151,091	(2,269,579)	2,040,460	145,961	3,000,000	(164,384)
UMFK	(878,748)	(1,109,707)	(553,844)	555,863	324,904	673,843			119,999
UMPI <sup>1</sup>	(1,239,582)	(2,546,993)	(2,475,496)	71,497	(1,235,914)	650,000		1,825,496	-
USM	(1,077,248)	(5,867,053)	(6,950,294)	(1,083,241)	(5,873,046)	6,950,294			-
Law <sup>1</sup>	(1,926,386)	(1,759,349)	(1,762,349)	(3,000)	164,037	-		1,762,349	-
<b>Campus Total</b>	<b>(10,093,520)</b>	<b>(26,729,421)</b>	<b>(24,387,168)</b>	<b>2,342,253</b>	<b>(14,293,648)</b>	<b>10,314,597</b>	<b>7,440,341</b>	<b>6,587,845</b>	<b>(44,385)</b>
Governance	-	-	-		-	-	-	-	-
Univ. Serv.	-	-	-		-	-	-	-	-
Employee Benefit Pool	-	-	500,000	500,000	500,000		-	-	500,000
<b>TOTAL</b>	<b>\$ (10,093,520)</b>	<b>\$ (26,729,421)</b>	<b>\$ (23,887,168)</b>	<b>\$ 2,842,253</b>	<b>\$ (13,793,648)</b>	<b>\$ 10,314,597</b>	<b>\$ 7,440,341</b>	<b>\$ 6,587,845</b>	<b>\$ 455,615</b>
<sup>1</sup> Approved Budget Stabilization Fund transfers at year end up to \$1,552,147 for UMF and \$1,926,386 for the Law School to offset any deficits. This forecast depicts an additional \$1,447,853 needed for UMF & \$2,569,630 for UMPI. Law School's need is projected to be \$164,037 less than approved limit.									

Unrestricted Investment Income	\$ 2,395,626	\$ 2,395,626	\$ (3,160,365)	\$ (5,555,991)	\$ (5,555,991)
Forecasted investment income equals actuals-to-date and does not include any projection for future gains or losses.					

E & G and AUXILIARY FY2022 - FORECAST #2														
	E&G					AUXILIARY					TOTAL			
Institution	Budget	Forecast #1	Forecast #2	Variance - Forecast 2 vs Budget		Budget	Forecast #1	Forecast #2	Variance - Forecast 2 vs Budget		Budget	Forecast #1	Forecast #2	Variance - Forecast 2 vs Budget
UMAINE/UMM	(1,505,655)	\$ (8,993,505)	\$ (6,674,254)	\$ (5,168,599)		\$ -	\$ -	\$ -	\$ -		\$ (1,505,655)	\$ (8,993,505)	\$ (6,674,254)	\$ (5,168,599)
UMA	66,407	(540,812)	(179,345)	(245,752)		(451,082)	(410,106)	(440,781)	10,301		(384,675)	(950,918)	(620,126)	(235,451)
UMF <sup>1</sup>	(2,552,482)	(4,623,700)	(4,180,696)	(1,628,214)		(528,744)	(878,196)	(1,170,109)	(641,365)		(3,081,226)	(5,501,896)	(5,350,805)	(2,269,579)
UMFK	(343,155)	(506,712)	(203,689)	139,466		(535,593)	(602,995)	(350,155)	185,438		(878,748)	(1,109,707)	(553,844)	324,904
UMPI	(1,015,871)	(1,748,195)	(1,825,496)	(809,625)		(223,711)	(798,798)	(650,000)	(426,289)		(1,239,582)	(2,546,993)	(2,475,496)	(1,235,914)
USM	(712,213)	(4,318,407)	(5,670,942)	(4,958,729)		(365,035)	(1,548,646)	(1,279,352)	(914,317)		(1,077,248)	(5,867,053)	(6,950,294)	(5,873,046)
Law <sup>1</sup>	(1,926,386)	(1,759,349)	(1,762,349)	164,037					-		(1,926,386)	(1,759,349)	(1,762,349)	164,037
Campus Total	\$ (7,989,355)	\$ (22,490,680)	\$ (20,496,771)	\$ (12,507,416)		\$ (2,104,165)	\$ (4,238,741)	\$ (3,890,397)	\$ (1,786,232)		\$ (10,093,520)	\$ (26,729,421)	\$ (24,387,168)	\$ (14,293,648)
Governance	-	-		-							-	-	-	-
Univ Serv	-	-		-					-		-	-	-	-
Benefits	-		500,000	500,000							-	-	500,000	500,000
TOTAL	\$ (7,989,355)	\$ (22,490,680)	\$ (19,996,771)	\$ (12,007,416)		\$ (2,104,165)	\$ (4,238,741)	\$ (3,890,397)	\$ (1,786,232)		\$ (10,093,520)	\$ (26,729,421)	\$ (23,887,168)	\$ (13,793,648)



## Travel & Contributions

FY2022 - FORECAST #2

Travel, Meals & Entertainment				
Funding Source	Budget	Actuals	Unexpended	
E&G/Auxiliary	\$ 5,950,485	\$ 2,926,305	\$ 3,024,180	50.8%
Restricted/Other	\$ 4,000,000	987,034	3,012,966	75.3%
Total	\$ 9,950,485	\$ 3,913,339	\$ 6,037,146	60.7%

Memberships, Gifts, Donations & Sponsorships				
Funding Source	Budget	Actuals	Unexpended	
E&G/Auxiliary	\$ 1,152,136	\$ 358,220	\$ 793,916	68.9%
Restricted/Other	550,000	96,633	453,367	82.4%
Total	\$ 1,702,136	\$ 454,853	\$ 1,247,283	73.3%

*Public Law 2011, Chapter 616 requires periodic reporting of the actual travel & contribution costs to the Board of Trustees*



**TABLE I**

**Numbers of Exceptions, Numbers of Women Candidates,  
and Total Numbers of Candidates for Tenure, 2022**

<b>Campus</b>	<b>Number</b>	<b>Exception to Board Policy</b>	<b>Women</b>	<b>Percentage of candidates who are women</b>
UM	28	1	14	50%
UMA	3		1	33%
UMF	3		2	67%
UMFK	0		0	N/A
UM Law School	0		0	N/A
UMM	0		0	N/A
UMPI	2		1	50%
USM	14		9	64%
<b>Total</b>	<b>50</b>		<b>27</b>	<b>54%</b>

**52.5% faculty are men; 47.5% of faculty are women**  
**60% of the male faculty are tenured; 44.3% of the women faculty are tenured**

**Table II. Numbers of Candidates Considered at Campus Level  
and Numbers Forwarded for Board Approval, 2016-2022**

	2016/2017	2017/2018	2018/2019	2019/2020	2020/2021	2021/2022	Total
<b>UMaine</b>							
Considered	11	13	21	17	17	28	107
Recommended	11	13	21	17	17	28	107
<b>UM - Augusta</b>							
Considered	3	0	2	2	3	3	13
Recommended	3	0	2	2	3	3	13
<b>UM - Farmington</b>							
Considered	3	4	1	5	7	3	23
Recommended	3	4	1	5	7	3	23
<b>UM - Fort Kent</b>							
Considered	1	0	0	1	0	0	2
Recommended	1	0	0	1	0	0	2
<b>UM - School of Law</b>							
Considered					0	0	0
Recommended					0	0	0
<b>UM - Machias</b>							
Considered	4	1	0	1	0	0	6
Recommended	4	1	0	1	0	0	6
<b>UM - Presque Isle</b>							
Considered	2	3	1	4	2	2	14
Recommended	2	3	1	4	2	2	14
<b>USM</b>							
Considered	3	2	3	3	5	14	30
Recommended	3	2	3	3	5	14	30
<b>System Total</b>							
Considered	27	23	28	33	34	50	195
Recommended	27	23	28	33	34	50	195

**UNIVERSITY OF MAINE SYSTEM**  
Policy Manual

**ACADEMIC AFFAIRS**

**Section 310     Tenure**

Effective: 6/7/70

Last Revised: 7/9/90

Responsible Office: Academic Affairs

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**Policy Statement:**

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

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

**Related Documents:**

Administrative Procedures for Awarding Tenure

## **Administrative Procedures for Awarding Tenure**

### **Guidelines:**

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

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



# **Faculty and Tenure Statistics**

2021 - 2022

**University  
Of  
Maine System  
Office of Human  
Resources**

**March 2022**

## University Of Maine System Faculty and Tenure Statistics

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

The information was extracted from the University's Human Resources Information file in January 2022, reflecting the 2021-2022 academic year. For the purpose of this report, a faculty member is defined as any regular professional employee with a rank of professor, associate professor, assistant professor, instructor, or lecturer. Included are teaching faculty and administrators with rank who may or may not be teaching.

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

### Number of Faculty

- 1,201 faculty are included in this report. The number of faculty grew steadily throughout the 1980's; decreased throughout the 1990's, rose from 1997 to 2007, then declined steadily until 2015. There was a steady increase from 2015 to 2019 with the present and previous years showing a decrease. The change in the number of faculty continues to follow enrollment trends
- There are 11 less faculty than last year. Tenured faculty decreased to 631 from 640 last year, and the number of faculty without tenure decreased over last year's number by 2 to reach 570.
- This report includes all regular faculty, both AFUM and Non-Represented. Part-time "adjunct" faculty are not included in this report.
- Faculty participating in the partial retirement program, or with shared appointments, or similar arrangements, are counted as full-time for this report. These faculty are included in the full-time faculty bargaining unit, may be eligible for tenure or be tenured, and receive full-time benefits. 33 faculty members are in the partial retirement program.
- There are 50 faculty members who will be considered for tenure in the coming academic year.

### Tenured and Non-tenured Faculty

- 52.5% (631) of the faculty have tenure. The percentage of tenured faculty varies from a high of 82.6% at UMM due to turnover in non-tenured faculty, to a low of 37.9% at UMFK due to turnover in tenured faculty.
- The percent of tenured faculty at UMS decreased this year to 52.5% from last year's 52.8%.
- 47.5% (570) of UMS faculty do not have tenure. Of this number, 51.1% (291) are eligible for tenure, and 48.9% (279) are not eligible for tenure.
- On average, a faculty member serves 5.1 years in the University of Maine System before being awarded tenure. The average years of service from date of appointment to tenure has remained relatively consistent since 2009's value of 5.4 years.
- There are 71 pre-tenured faculty who have 5 or more years of service that are eligible for tenure over the next two academic years.
- There were 83 new faculty hired in 2021, of this number 37 (44.6%) are eligible for tenure and 1 (1.2%) were hired with tenure.



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

### Women and Minority Faculty

- Of the total faculty 47.5% (571) are women and 52.5% (630) are men. The proportion of women faculty ranges from a high of 63.4% at UMA to a low of 40.4% at UM.
- The percentage of faculty who are women has increased from 40.6% in 2009 to 47.5% in 2021. This is the highest percentage of women faculty ever reported at the University of Maine System.
- 60.0% of men faculty have tenure, and 44.3% of women faculty have tenure. At the two graduate centers, the proportion of women with tenure is 42.2% at UM and 35.5% at USM.
- The percentage of women faculty with tenure had grown over the years, from 31.9% in 2003 to 58.2% in 2014/15. However, there has been a decrease over the last few years in the percentage of women faculty with tenure (52.5% in 2015/16; 52.3% in 2016/17; 49.0% in 2017/18; 43.8% in 2018/19; 43.4% in 2019/20). The percentage of women with tenure for the present year is 44.3% and continues to be substantially lower than the percentage of men with tenure (60.0%).
- Women are under-represented at the rank of full professor; 22.0% of women are professors while 37.1% of men are professors. The percentage of women professors has steadily decreased since the peak in 2014/15 at 25.4%. In 2003, 22.5% of women were professors.
- Women faculty have an average of 5.3 years of service in a tenure track appointment when awarded tenure; men faculty serve 5.2 years on average before being awarded tenure.
- Minority faculty members have decreased from last year at 130 from 132, or 10.8% of total faculty. In 2003, 4.0% of faculty were minority. The current figure should be put in the context of the current demographic profile for the State of Maine, which shows a 5.7% minority population as reported by the U.S. Census Bureau.

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

### Age Distribution

- The average age of all faculty has continued to decrease over the last few years. The average age this year decreased from last year at 51.8 down to 51.7.
- Tenured faculty average 57.3 years of age and non-tenured faculty average 45.5 years of age.
- The average age varies from 49.4 years at the Maine School of Law to 57.3 years at UMM.
- The average age of faculty by rank is: professors, 60.8; associate professors, 52.6; assistant professors, 43.0; instructors, 55.1; and lecturers, 47.4.
- 96.0% of tenured faculty are age 40 or older while 62.1% of non-tenured faculty are age 40 or older. The percentage of tenured faculty who are age 40 or older has stayed fairly steady over the last 15 years with a 2004 metric of 95.7%.
- 253 tenured faculty (327 total faculty) are over the age of 60 and 143 tenured faculty (177 total faculty) are over the age of 65.
- Projections based on the current workforce indicate a large number of faculty are reaching normal retirement age. From fiscal year 2022 to fiscal year 2026, 148 faculty members will attain age 65.

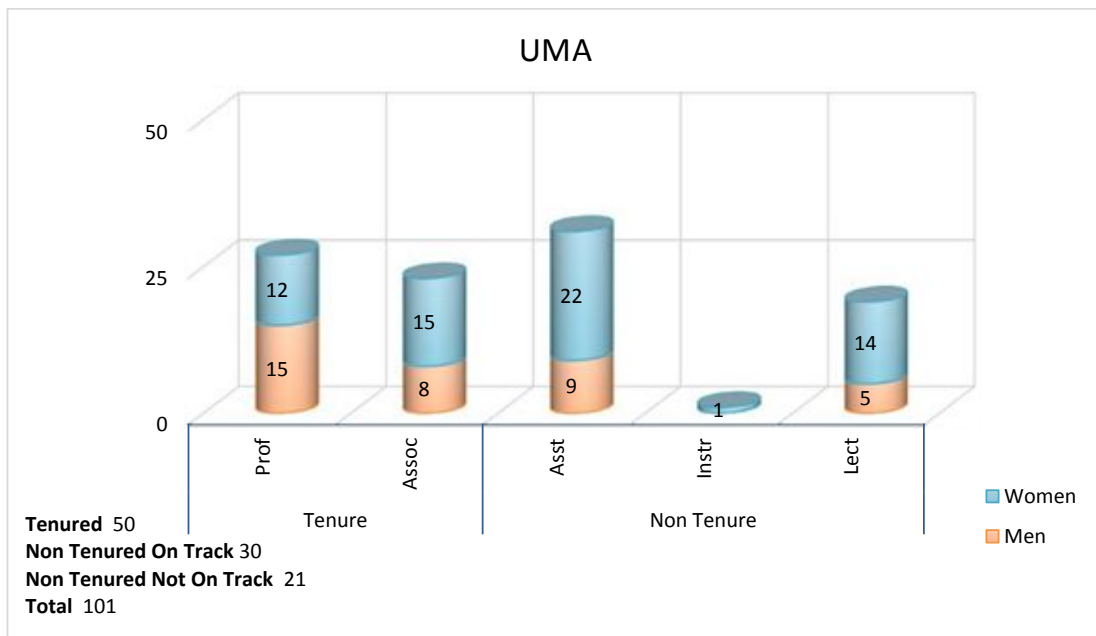
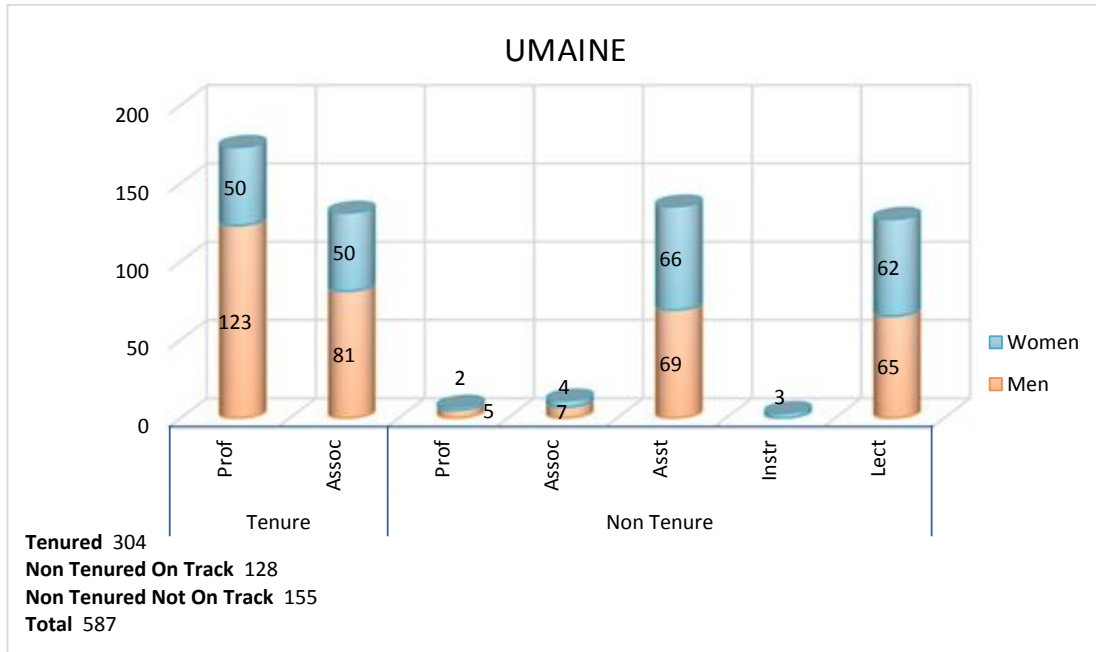
### Disciplines

- Education is the discipline area with the largest number of faculty (144), followed by Health Sciences (106), Social Sciences (90), Physical Sciences (89), and Biological and Life Sciences (89). The top 10 disciplines have remained constant for the past five years.

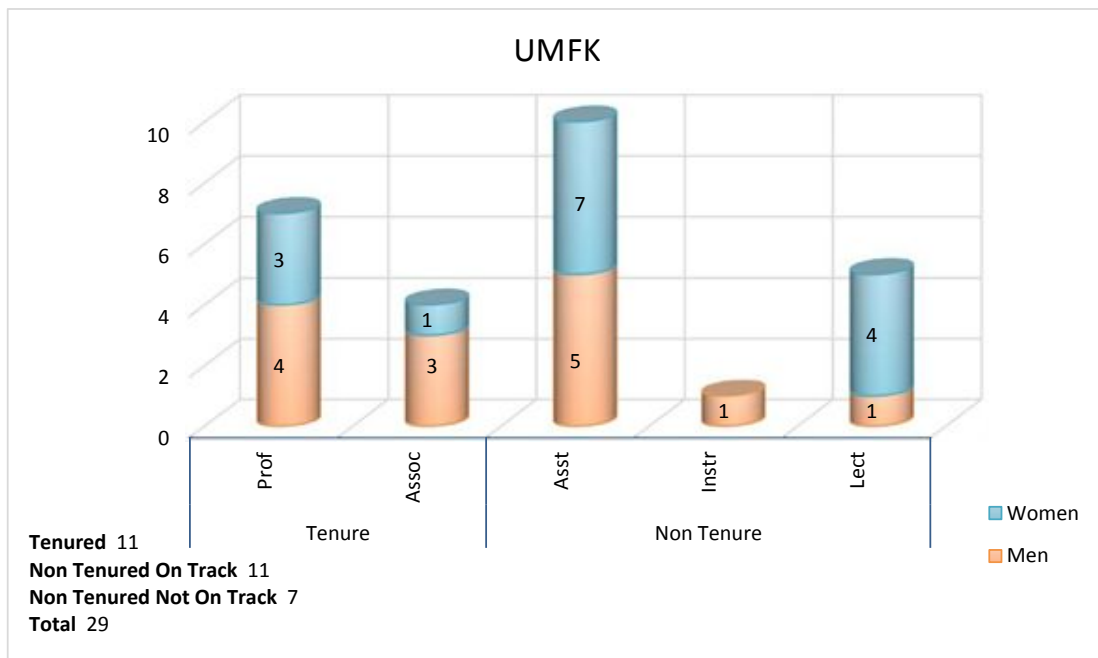
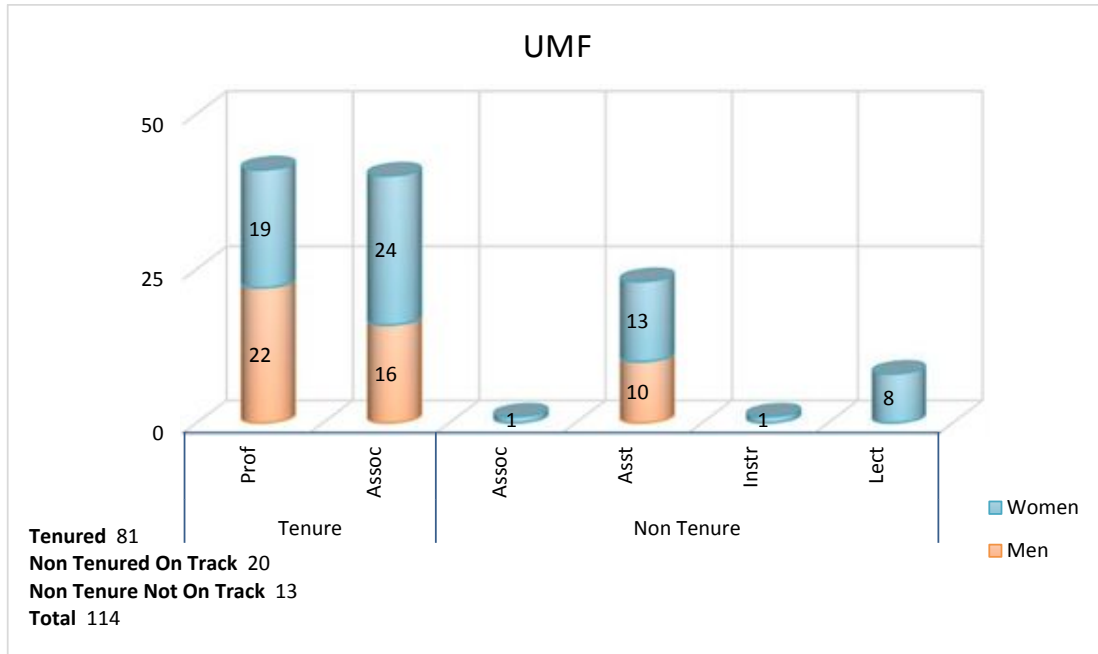
### Sabbaticals

- The AFUM collective bargaining agreement provides 51 sabbaticals per year across all Universities. Additional sabbaticals may be granted at the discretion of the departments if there are no additional costs to the University and the Chief Administrative Officer recommends additional awards.
- The total number of sabbaticals fluctuate over a 3 - 5 year period. There were a higher number of sabbaticals from the academic years 05/06 through 08/09 with a peak in 08/09 at 95. There have been fewer sabbaticals between the academic years 09/10 through 21/22. There were 34 faculty on sabbatical this year, which is down 10 from the prior year.

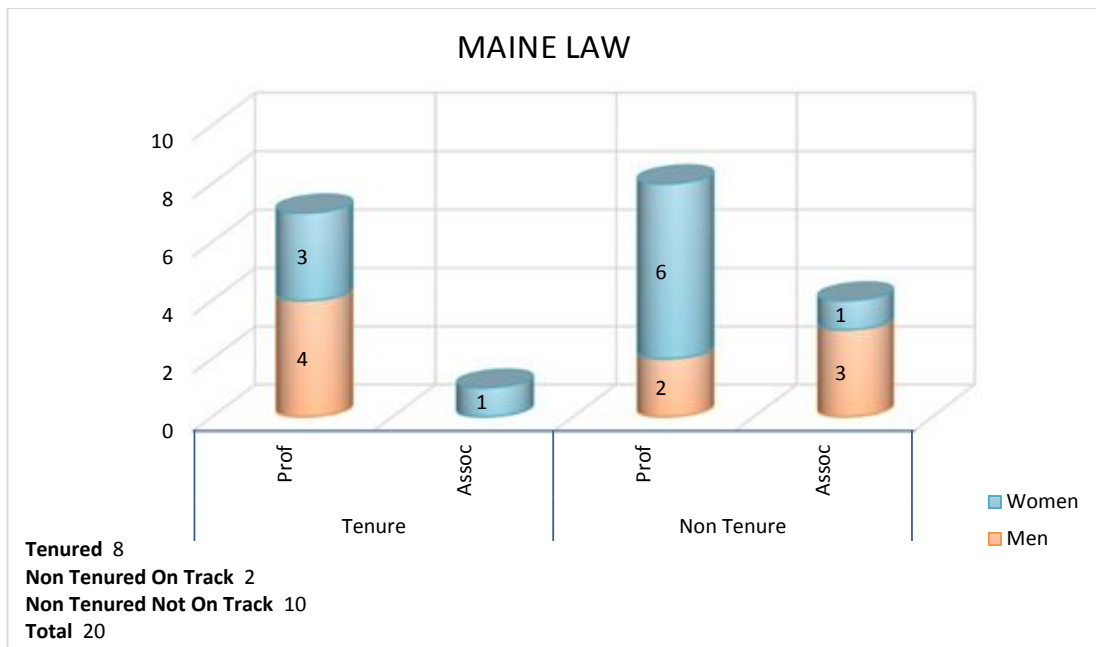
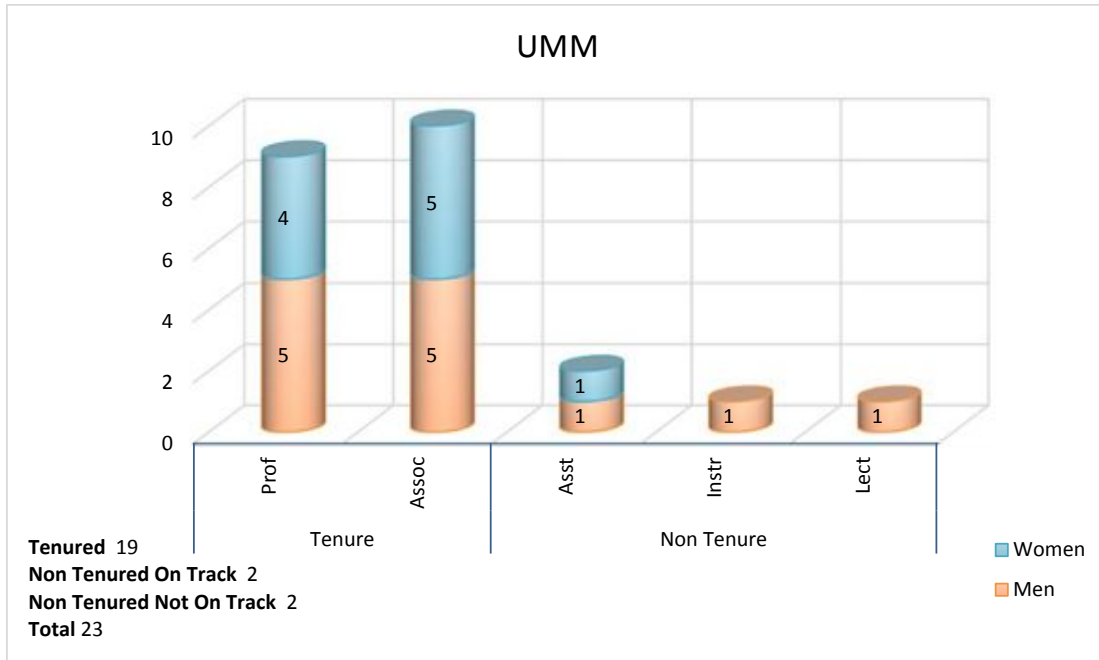
## Tenure Status by Rank and University



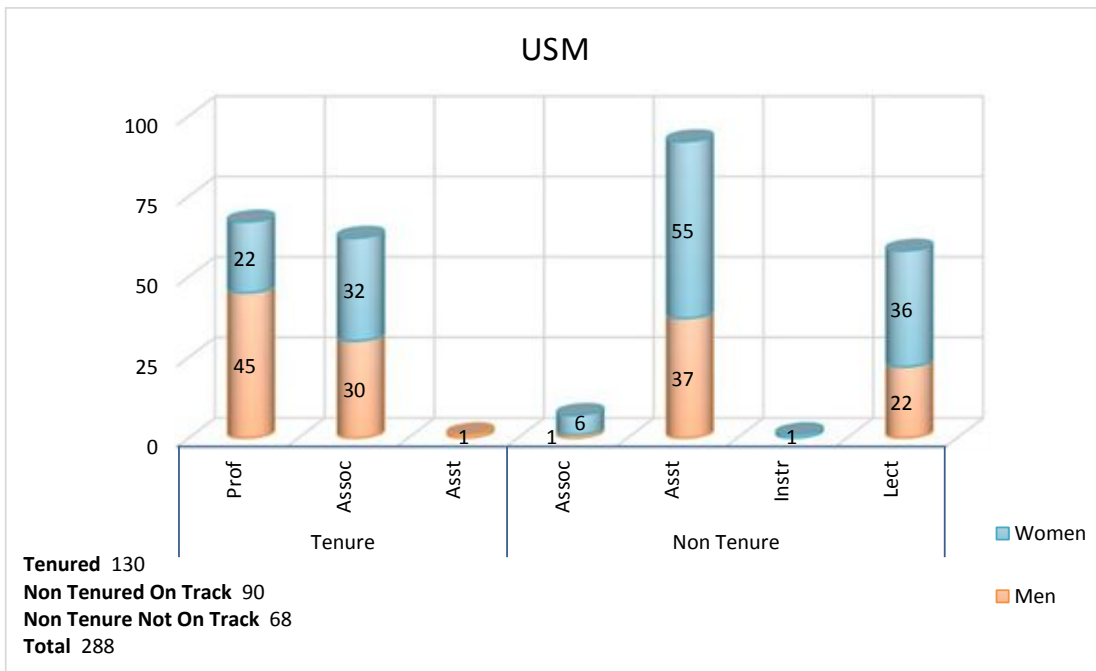
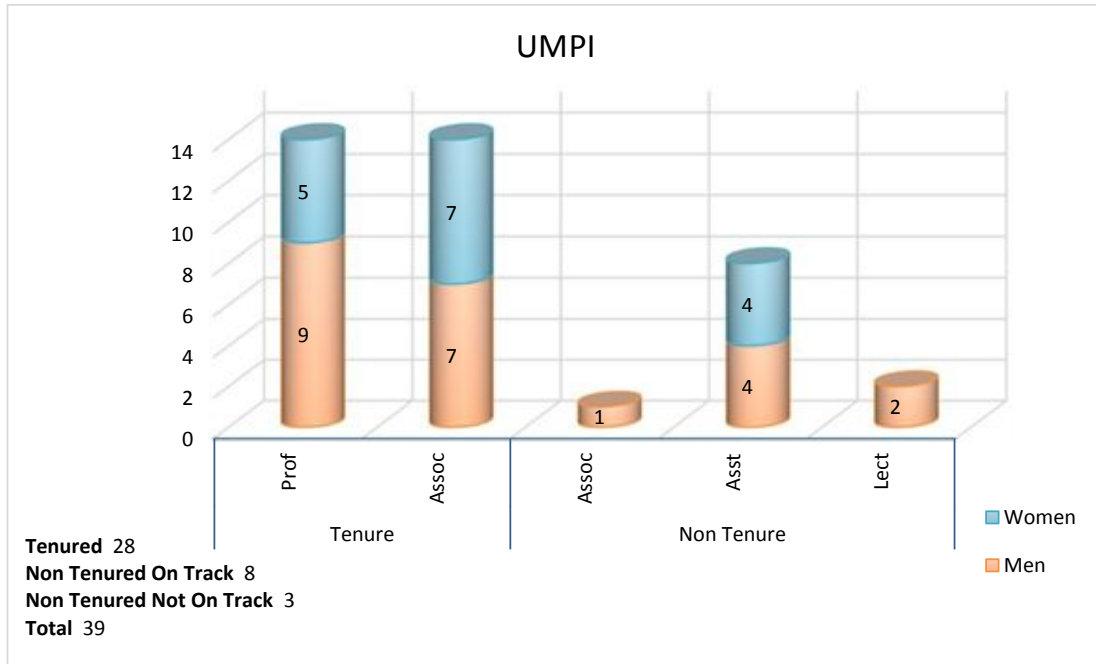
## Tenure Status by Rank and University



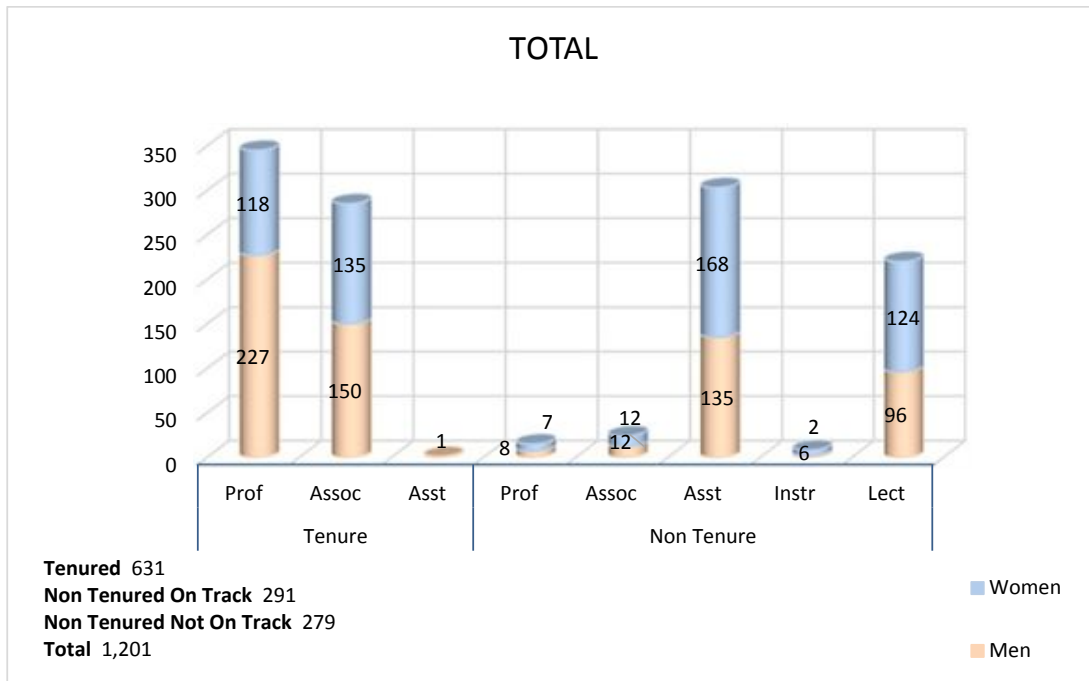
## Tenure Status by Rank and University



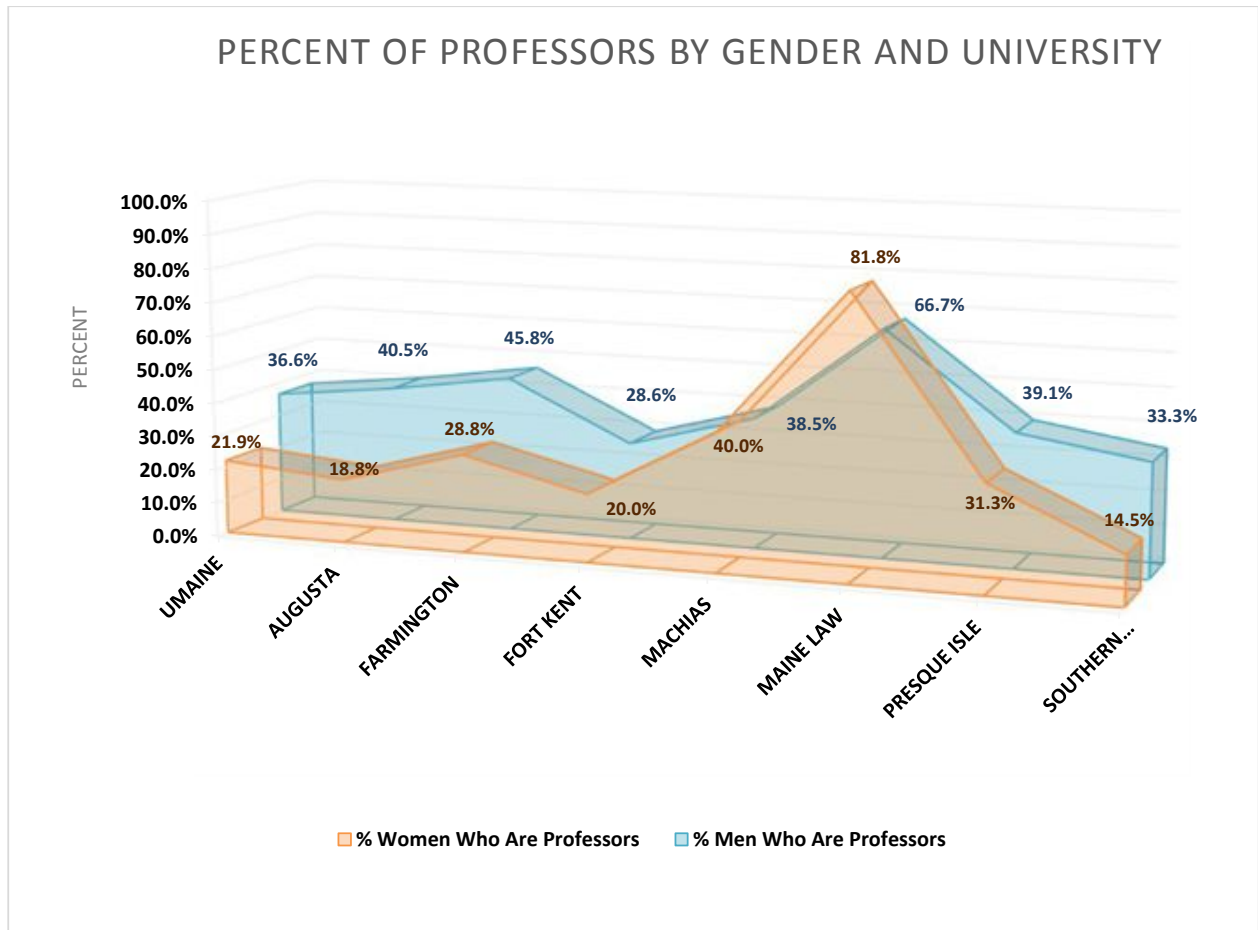
## Tenure Status by Rank and University



## Tenure Status by Rank and University



## Percent of Professors by Gender and University

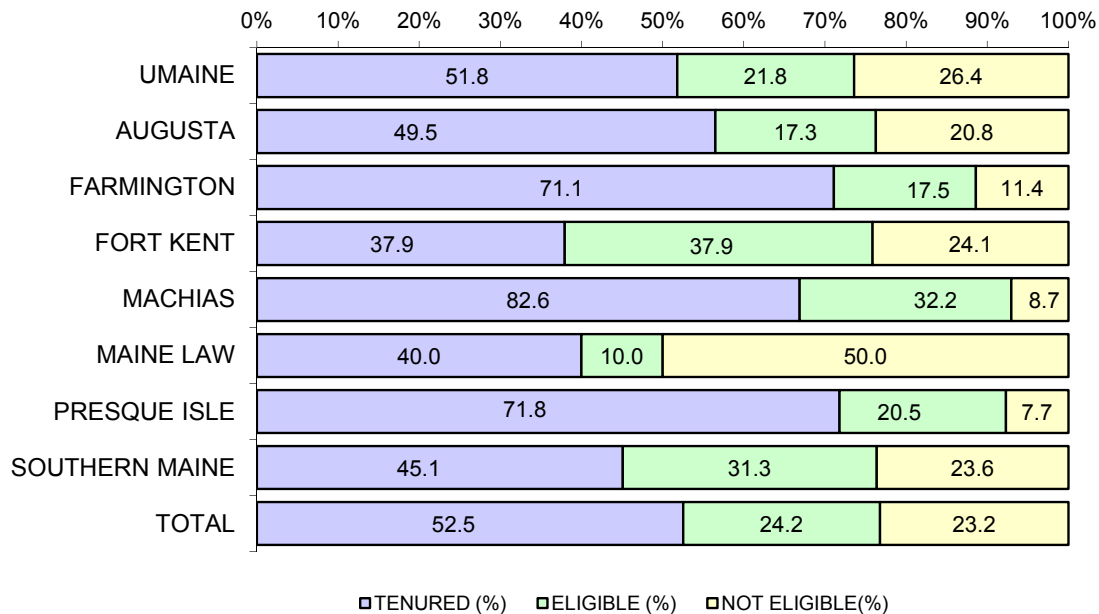




### Tenure Status by Gender and University

	TENURED WOMEN			TENURED MEN			TENURED FACULTY	
UNIVERSITY	NO.	% OF TOTAL WOMEN FACULTY		NO.	% OF TOTAL MEN FACULTY		NO.	% OF TOTAL FACULTY
UMAINE	100	42.2%		204	58.3%		304	51.8%
AUGUSTA	27	42.2%		23	62.2%		50	49.5%
FARMINGTON	43	65.2%		38	79.2%		81	71.1%
FORT KENT	4	26.7%		7	50.0%		11	37.9%
MACHIAS	9	90.0%		10	76.9%		19	82.6%
MAINE LAW	4	36.4%		4	44.4%		8	40.0%
PRESQUE ISLE	12	75.0%		16	69.6%		28	71.8%
SOUTHERN MAINE	54	35.5%		76	56.3%		130	45.1%
TOTAL	253	44.3%		378	60.1%		631	52.5%

### Tenure Status by University



### Tenure Status by University

UNIVERSITY	TOTAL NUMBER OF TENURED FACULTY	ELIGIBLE FOR TENURE	NOT ELIGIBLE FOR TENURE	TOTAL NOT TENURED	TENURED OR ELIGIBLE FOR TENURE	TOTAL FACULTY
UMAINE	304	128	155	283	432	587
AUGUSTA	50	30	21	51	80	101
FARMINGTON	81	20	13	33	101	114
FORT KENT	11	10	8	18	21	29
MACHIAS	19	2	2	4	21	23
MAINE LAW	8	2	10	12	10	20
PRESQUE ISLE	28	8	3	11	36	39
SOUTHERN MAINE	130	90	68	158	220	288
<b>TOTAL</b>	<b>631</b>	<b>290</b>	<b>280</b>	<b>570</b>	<b>921</b>	<b>1,201</b>

UNIVERSITY	TENURED FACULTY AS % OF FACULTY WHO ARE TENURED OR ARE ELIGIBLE FOR TENURE	% OF TOTAL FACULTY WHO ARE TENURED	% OF TOTAL FACULTY WHO ARE TENURED OR ARE ELIGIBLE FOR TENURE	% OF TOTAL FACULTY WHO ARE NOT ELIGIBLE FOR TENURE	% OF NON- TENURED FACULTY WHO ARE ELIGIBLE FOR TENURE
UMAINE	70.4	51.8	73.6	26.4	45.2
AUGUSTA	62.5	49.5	79.2	20.8	58.8
FARMINGTON	80.2	71.1	88.6	11.4	60.6
FORT KENT	50.0	37.9	75.9	24.1	61.1
MACHIAS	90.5	82.6	91.3	8.7	50.0
MAINE LAW	80.0	40.0	50.0	50.0	16.7
PRESQUE ISLE	77.8	71.8	92.3	7.7	72.7
SOUTHERN MAINE	59.1	45.1	76.4	23.6	57.0
<b>TOTAL</b>	<b>68.4</b>	<b>52.5</b>	<b>76.8</b>	<b>23.2</b>	<b>51.1</b>

### Ethnicity by Tenure Status

ETHNICITY	TENURE		ELIGIBLE FOR TENURE		NOT ELIGIBLE FOR TENURE		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
WHITE	577	91.4%	244	83.8%	250	89.6%	1,071	89.2%
MINORITY	54	8.6%	47	16.2%	29	10.4%	130	10.8%
<b>TOTAL</b>	<b>631</b>	<b>100.0%</b>	<b>291</b>	<b>100.0%</b>	<b>279</b>	<b>100.0%</b>	<b>1,201</b>	<b>100.0%</b>

### Ethnicity by University

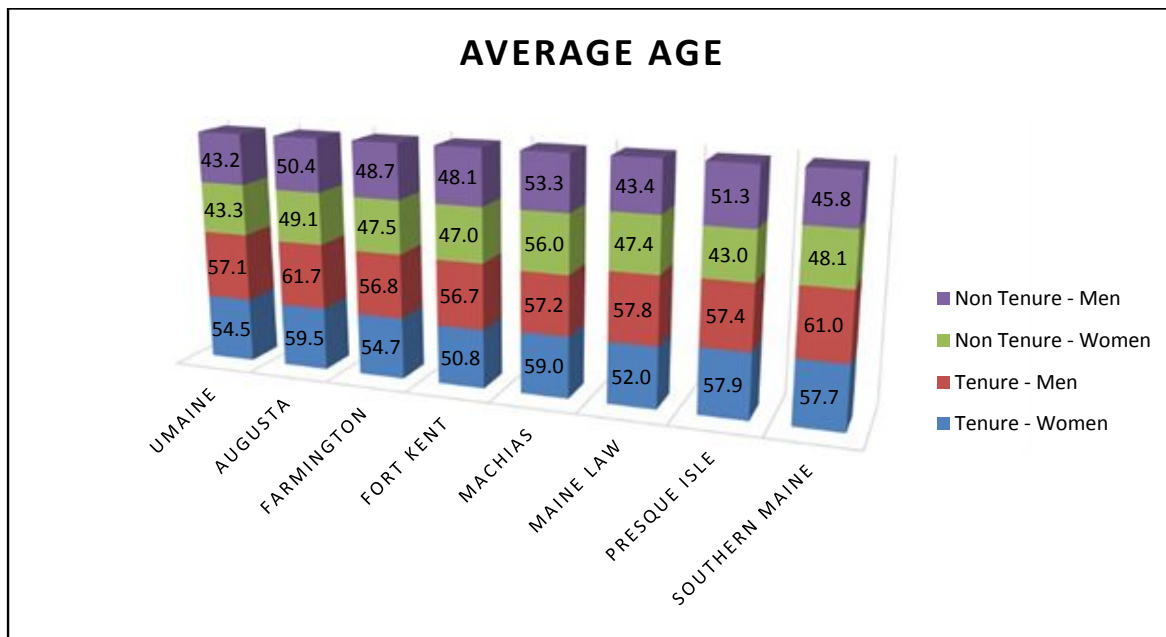
UNIVERSITY	MINORITY NUMBER	MINORITY PERCENT
UMAINE	79	13.5
AUGUSTA	2	2.0
FARMINGTON	5	4.4
FORT KENT	2	6.9
MACHIAS	1	4.3
MAINE LAW	1	5.0
PRESQUE ISLE	4	10.3
SOUTHERN MAINE	36	12.5
<b>TOTAL</b>	<b>130</b>	<b>10.8</b>

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

UNIVERSITY	WOMEN	MEN	TOTAL
UMAINE	5.5	5.0	5.2
AUGUSTA	5.6	6.0	5.8
FARMINGTON	4.9	5.1	5.0
FORT KENT	5.0	5.4	5.3
MACHIAS	6.0	5.6	5.8
MAINE LAW	5.3	2.8	3.9
PRESQUE ISLE	5.7	4.8	5.1
SOUTHERN MAINE	5.2	5.4	5.3
<b>TOTAL</b>	<b>5.3</b>	<b>5.2</b>	<b>5.2</b>

### Average Age by Gender and University

University	Tenured			Non Tenured			Grand Total
	Women	Men	Total	Women	Men	Total	
UMAINE	54.5	57.1	56.2	43.3	43.2	43.3	50.0
AUGUSTA	59.5	61.7	60.5	49.1	50.4	49.5	54.9
FARMINGTON	54.7	56.8	55.7	47.5	48.7	47.8	53.4
FORT KENT	50.8	56.7	54.5	47.0	48.1	47.4	50.1
MACHIAS	59.0	57.2	58.1	56.0	53.3	54.0	57.3
MAINE LAW	52.0	57.8	54.9	47.4	43.4	45.8	49.4
PRESQUE ISLE	57.9	57.4	57.6	43.0	51.3	48.3	55.0
SOUTHERN MAINE	57.7	61.0	59.6	48.1	45.8	47.3	52.8
<b>Grand Total</b>	<b>56.0</b>	<b>58.1</b>	<b>57.3</b>	<b>46.0</b>	<b>44.9</b>	<b>45.5</b>	<b>51.7</b>



### Average Age by Gender and Rank

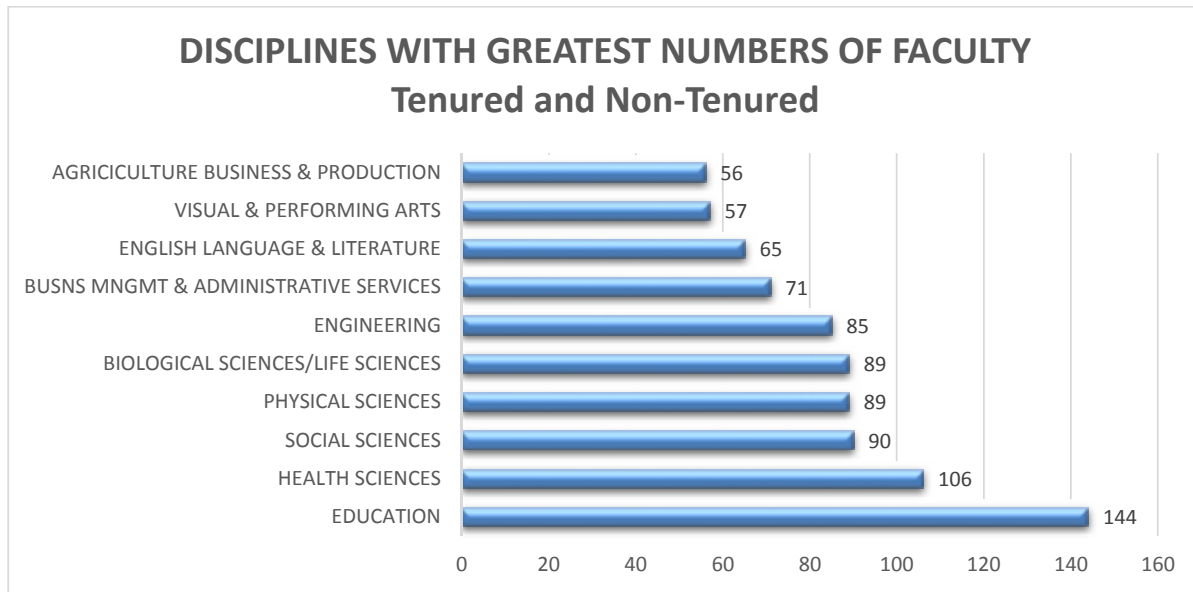
University	Rank	Tenure			Non Tenure			Total
		Women	Men	Total	Women	Men	Total	
<b>UMAINE</b>	Professor	60.3	60.9	60.7	71.0	69.4	69.9	61.0
	Associate Professor	48.6	51.4	50.3	49.3	55.0	52.9	50.5
	Assistant Professor				40.7	39.1	39.9	39.9
	Instructor				55.5		55.5	55.5
	Lecturer				44.0	44.3	44.2	44.2
<b>UMAINE Total</b>		<b>54.5</b>	<b>57.1</b>	<b>56.2</b>	<b>43.3</b>	<b>43.2</b>	<b>43.3</b>	<b>50.0</b>
<b>AUGUSTA</b>	Professor	65.0	63.9	64.4				64.4
	Associate Professor	55.1	57.5	55.9				55.9
	Assistant Professor				46.8	44.8	46.2	46.2
	Instructor				67.0		67.0	67.0
	Lecturer				51.5	60.4	53.8	53.8
<b>AUGUSTA Total</b>		<b>59.5</b>	<b>61.7</b>	<b>60.5</b>	<b>49.1</b>	<b>50.4</b>	<b>49.5</b>	<b>54.9</b>
<b>FARMINGTON</b>	Professor	58.7	60.7	59.8				59.8
	Associate Professor	51.5	51.6	51.6	42.0		42.0	51.3
	Assistant Professor				41.5	48.7	44.6	44.6
	Instructor				62.0		62.0	62.0
	Lecturer				56.1		56.1	56.1
<b>FARMINGTON Total</b>		<b>54.9</b>	<b>54.7</b>	<b>56.8</b>	<b>55.7</b>	<b>47.5</b>	<b>48.7</b>	<b>47.8</b>
<b>FORT KENT</b>	Professor	52.7	59.0	56.3				56.3
	Associate Professor	45.0	53.7	51.5				51.5
	Assistant Professor				43.1	47.0	44.8	44.8
	Lecturer					51.0	51.0	51.0
<b>FORT KENT Total</b>					<b>53.8</b>	<b>51.0</b>	<b>53.2</b>	<b>53.2</b>
<b>MACHIAS</b>	Professor	50.8	56.7	54.5	47.0	48.1	47.4	50.1
	Associate Professor	64.3	59.2	61.4				61.4
	Assistant Professor	54.8	55.2	55.0				55.0
	Instructor				56.0	80.0	68.0	68.0
	Lecturer					37.0	37.0	37.0
<b>MACHIAS Total</b>						<b>43.0</b>	<b>43.0</b>	<b>43.0</b>
<b>MAINE LAW</b>	Professor	56.3	57.8	57.1	48.3	50.5	48.9	52.7
	Associate Professor	39.0		39.0	42.0	38.7	39.5	39.4
<b>MAINE LAW Total</b>		<b>52.0</b>	<b>57.8</b>	<b>54.9</b>	<b>47.4</b>	<b>43.4</b>	<b>45.8</b>	<b>49.4</b>
<b>PRESQUE ISLE</b>	Professor	61.8	60.6	61.0				61.0
	Associate Professor	55.1	53.3	54.2		43.0	43.0	53.5
	Assistant Professor				43.0	50.0	46.5	46.5
	Instructor					58.0	58.0	58.0
	Lecturer	57.9	57.4	57.6	43.0	51.3	48.3	55.0
<b>PRESQUE ISLE Total</b>		<b>58.7</b>	<b>57.7</b>	<b>63.3</b>	<b>61.5</b>			
<b>SOUTHERN MAINE</b>	Professor	57.8	57.1	57.4	56.7	45.0	55.0	57.2
	Associate Professor		73.0	73.0	46.3	42.6	44.8	45.1
	Assistant Professor				63.0		63.0	63.0
	Instructor				49.2	51.2	50.0	50.0
	Lecturer	57.7	61.0	59.6	48.1	45.8	47.3	52.8
<b>SOUTHERN MAINE Total</b>		<b>55.4</b>	<b>56.3</b>	<b>57.8</b>	<b>57.1</b>	<b>48.3</b>	<b>50.5</b>	<b>48.9</b>

### Average Age by Gender and Rank System Totals

	Tenure			Non Tenure			
Rank	Women	Men	Total	Women	Men	Total	Total
Professor	59.9	61.4	60.9	54.0	64.0	58.7	60.8
Associate Professor	52.5	53.1	52.8	51.8	49.1	50.4	52.6
Assistant Professor		73.0	73.0	43.6	42.1	42.9	43.0
Instructor				59.1	44.0	55.8	55.8
Lecturer				47.5	47.1	47.3	47.3
<b>Total</b>	<b>56.0</b>	<b>58.1</b>	<b>57.3</b>	<b>46.0</b>	<b>44.9</b>	<b>45.5</b>	<b>51.7</b>

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

DISCIPLINE	UM	UMA	UMF	UMFK	UMM	Maine Law	UMPI	USM	Total
Agriculture Business & Production	45	2		3				6	56
Architecture & Related Programs	1	3							4
Area Ethnic & Cultural Studies		1	1					2	4
Biological Sciences/Life Sciences	53	8	7		5		4	12	89
Business Management	33	6	4	3	1		2	22	71
Communications	10	1						7	18
Computer & Information Sciences	10	7	1	2			2	6	28
Criminal Justice And Corrections		3		1					4
Education	71	1	31		4		5	32	144
Engineering	77							8	85
Engineering Or Related Technologies	18								18
English Language & Literature	23	10	12	2	1		6	11	65
Foreign Languages & Literature	6	1	3	1				6	17
Health Sciences	25	23	2	10			4	42	106
History	13	2	4	1			3	8	31
Home Economics – Family & Consumer Life	9								9
Law And Legal Studies		1				20			21
Liberal Arts & Sciences	2		1					1	4
Library Science		2							2
Mathematics	28	5	9	1	2		2	9	56
Multi/Interdisciplinary Studies	5	2		1					8
Parks, Recreation, Leisure & Fitness Studies	9				1		2	14	26
Philosophy & Religion	7	1	3					5	16
Physical Sciences	62	1	7	1	2		4	12	89
Psychology	15	6	10	1	4		1	11	48
Public Administration & Social Services	10						2	23	35
Social Sciences	34	8	11	1	2		2	32	90
Visual & Performing Arts	21	7	8	1	1			19	57
<b>TOTAL</b>	<b>587</b>	<b>101</b>	<b>114</b>	<b>29</b>	<b>23</b>	<b>20</b>	<b>39</b>	<b>288</b>	<b>1,201</b>



### Top 10 Disciplines 2017/18 – 2021/22

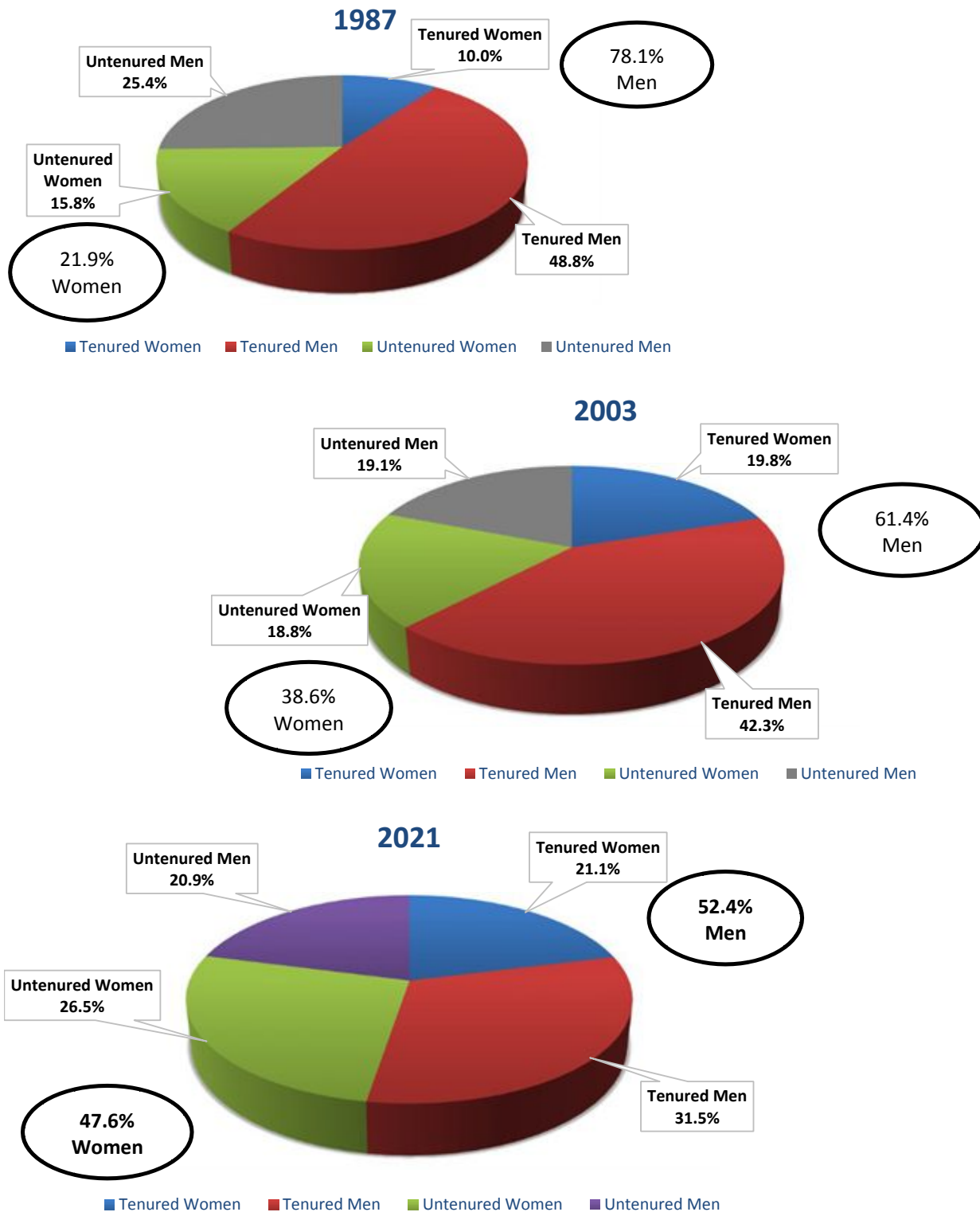




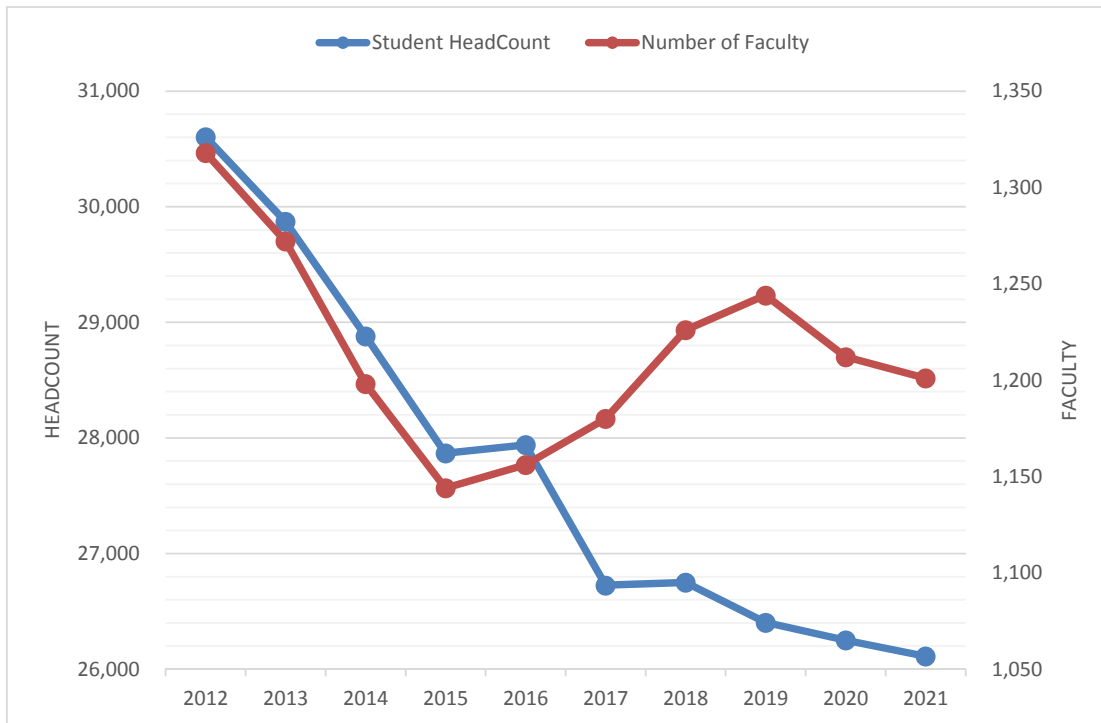
<b>Total Number of All Faculty 1990 - 2021</b>			
<b>YEAR</b>	<b>FACULTY</b>	<b>MEN %</b>	<b>WOMEN %</b>
2021	1,201	52.4	47.6
2020	1,212	52.5	47.5
2019	1,244	52.8	47.2
2018	1,226	53.4	46.6
2017	1,180	54.7	45.3
2014	1,198	57.7	42.3
2011	1,335	57.9	42.1
2008	1,400	59.4	40.6
2005	1,380	60.5	39.5
2002	1,388	61.1	38.9
1999	1,310	64.9	35.1
1996	1,288	68.0	32.0
1993	1,325	69.7	30.3
1990	1,394	72.0	28.0

<b>Percent Tenured Faculty by Gender 1990 - 2021</b>				
<b>YEAR</b>	<b>NUMBER</b>	<b>TENURED FACULTY %</b>	<b>MEN %</b>	<b>WOMEN %</b>
2021	631	52.5	60.1	44.3
2020	640	52.8	60.2	44.6
2019	650	52.3	60.1	43.4
2018	658	52.9	62.2	44.0
2017	669	56.7	63.1	49.0
2014	795	66.4	72.4	58.2
2011	876	65.6	71.9	56.9
2008	906	64.7	70.0	57.0
2005	870	63.0	69.0	53.9
2002	848	61.1	69.7	47.6
1999	832	63.5	70.5	50.7
1996	897	69.6	76.7	54.6
1993	907	68.5	75.8	51.6
1990	856	61.4	68.6	42.8

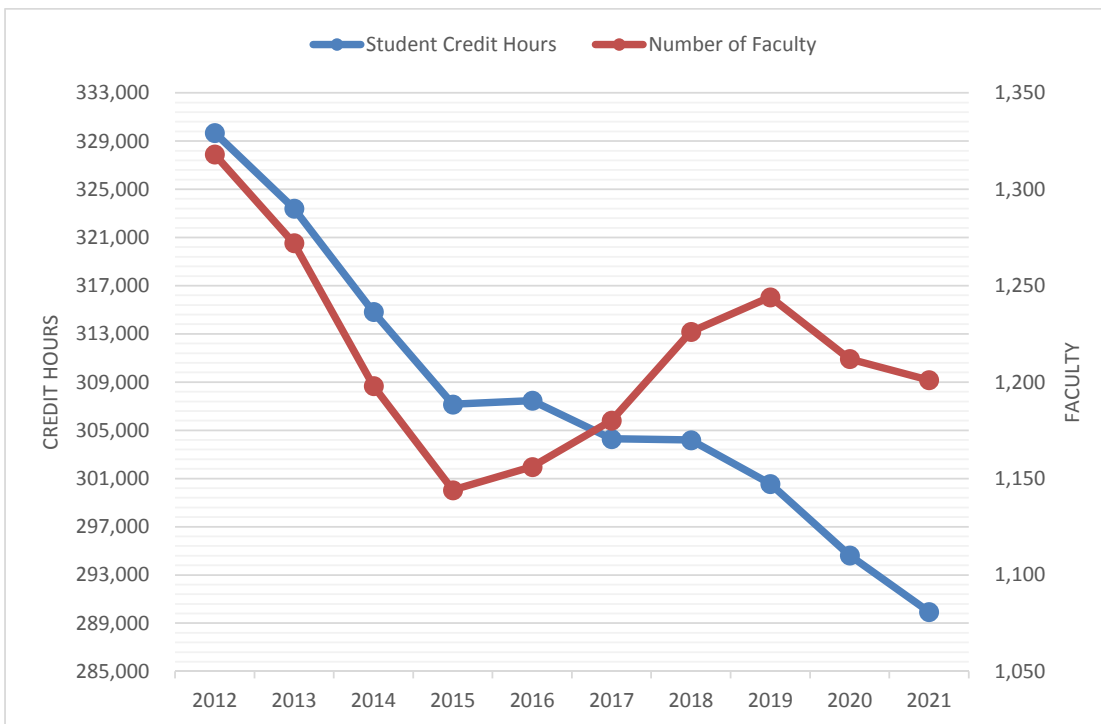
## Gender Composition Faculty 1987 - 2003 - 2021

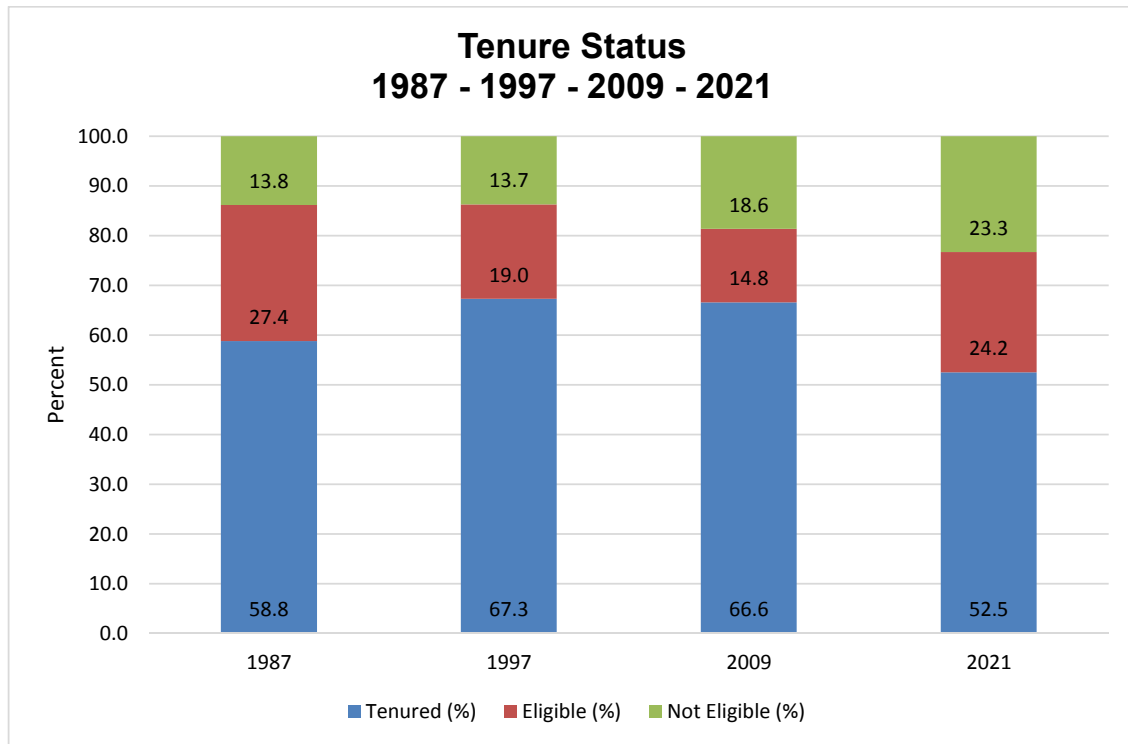


## Student Head Count/Number of Faculty 2012-2021



## Student Credit Hours/Number of Faculty 2012-2021





New Hire* Faculty on Tenure Track			
Year	Total Faculty	New Hires	Tenure Track
2021	1,201	83	38
2020	1,212	73	50
2019	1,244	96	45
2018	1,226	117	52
2017	1,180	85	44
2016	1,156	63	38
2015	1,144	95	40
2014	1,198	59	29
2013	1,272	68	24
2008	1,400	62	37

\* New hire as of 11/1/2020

## Faculty and Tenure Profile Trends 1990 - 2021

Years to Tenure by Gender			
<u>YEAR</u>	<u>AVG</u>	<u>MEN</u>	<u>WOMEN</u>
2021	5.2	5.2	5.3
2020	5.2	5.1	5.3
2019*	5.2	5.2	5.3
2017	5.7	5.5	6.1
2014	5.6	5.4	6.1
2011	5.6	5.3	6.0
2008	5.4	5.2	5.8
2005	5.5	5.2	5.9
2002	5.3	5.1	5.8
1999	5.4	5.2	6.1
1996	5.3	5.0	5.9
1993	5.1	4.9	5.8
1990	5.1	5.0	5.9

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

Minority Faculty		
<u>YEAR</u>	<u>NUMBER</u>	<u>PERCENT</u>
2021	130	10.8
2020	132	10.9
2019	110	8.8
2017	109	9.1
2014	81	6.8
2011	80	6.0
2008	73	5.2
2005	63	4.6
2002	57	4.1
1999	55	4.2
1996	39	3.0
1993	34	2.6
1990	40	2.9

Average Age				
<u>YEAR</u>	<u>AVG AGE</u>	<u>TENURED</u>	<u>NON-TENURED</u>	<u>TENURED OVER 40 %</u>
2021	51.7	57.3	45.5	94.5
2020	51.8	57.4	45.5	95.5
2019	51.6	57.4	45.3	96.5
2017	52.2	57.4	45.4	97.2
2014	53.8	57.4	46.8	96.1
2011	53.3	56.8	46.8	96.5
2008	53.5	56.9	47.1	97.1
2005	51.5	55.0	45.7	96.0
2002	49.9	54.0	43.5	95.4
1999	49.7	53.4	43.1	95.8
1996	49.6	52.5	42.9	94.1
1993	48.5	51.2	42.7	89.7
1990	47.5	51.0	41.9	88.7

**Faculty and Tenure Profile Trends (cont.)**  
**1990 - 2021**

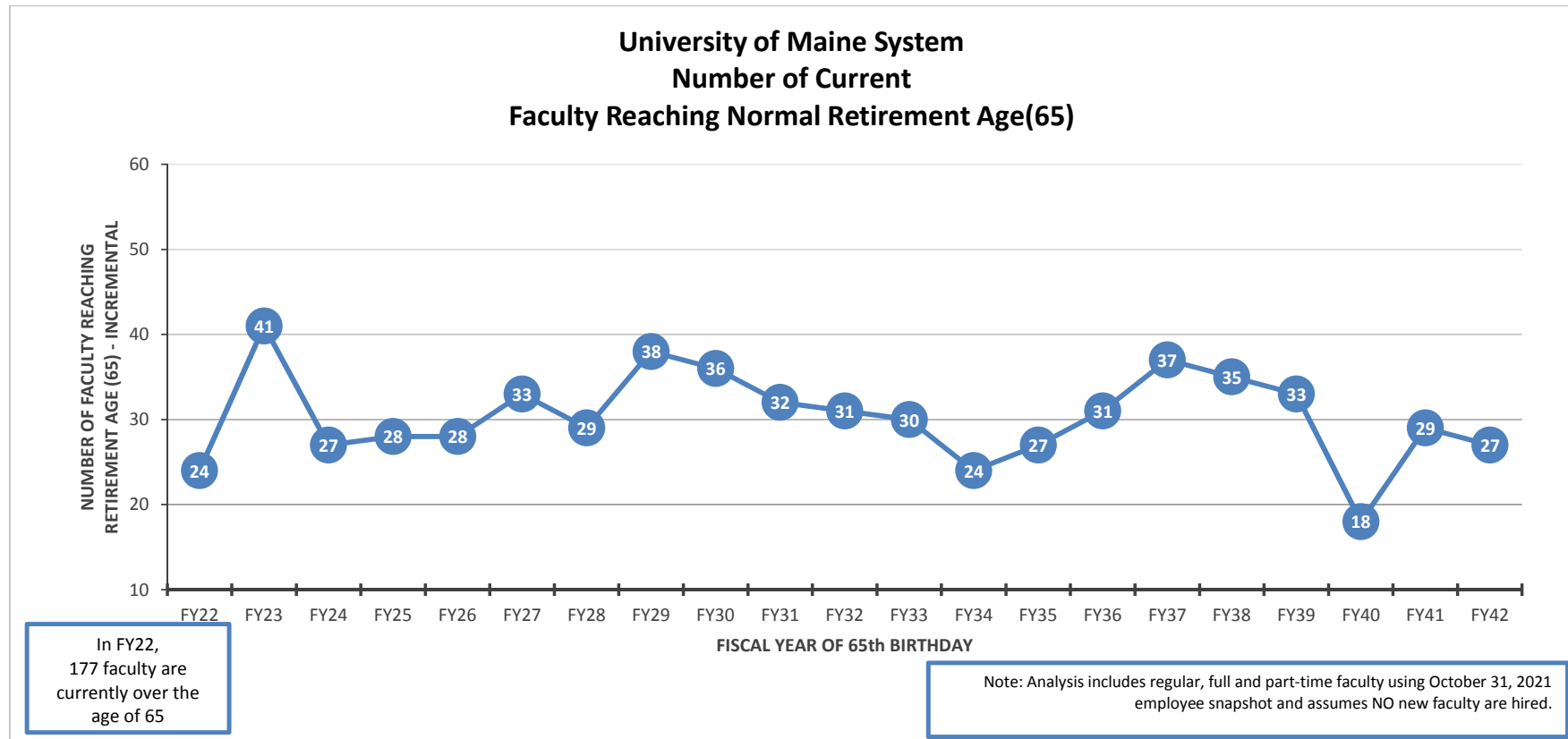
<b>Academic Rank by Percent</b>					
<b>YEAR</b>	<b>PROFESSOR</b>	<b>ASSOC PROF</b>	<b>ASST PROF</b>	<b>INSTRUCTOR</b>	<b>LECTURER</b>
2021	30.0%	25.7%	25.3%	0.8%	18.2%
2020	30.8%	25.1%	26.3%	0.8%	17.0%
2019	30.0%	24.9%	25.6%	1.8%	17.8%
2017	32.1%	26.9%	22.8%	2.1%	16.1%
2014	36.0%	33.2%	15.7%	2.1%	13.0%
2011	34.7%	34.5%	15.8%	2.4%	12.6%
2008	33.6%	34.8%	18.0%	3.6%	9.9%
2005	31.5%	34.5%	22.0%	3.8%	8.4%
2002	31.2%	32.7%	25.2%	3.2%	7.6%
1999	30.8%	35.0%	24.7%	3.0%	6.5%
1996	32.4%	39.8%	19.3%	3.3%	5.2%
1993	31.9%	37.6%	22.1%	4.2%	4.2%
1990	29.3%	33.1%	29.5%	4.0%	4.2%

<b>Academic Rank by Headcount</b>					
<b>YEAR</b>	<b>PROFESSOR</b>	<b>ASSOC PROF</b>	<b>ASST PROF</b>	<b>INSTRUCTOR</b>	<b>LECTURER</b>
2021	360	309	304	9	219
2020	373	304	319	10	206
2019	373	310	318	22	221
2017	379	317	269	25	190
2014	431	398	188	25	156
2011	463	461	211	32	168
2008	471	487	252	51	139
2005	435	474	303	52	116
2002	433	454	350	45	106
1999	404	459	323	39	85
1996	417	513	249	42	67
1993	428	505	297	56	59
1990	414	469	417	56	59

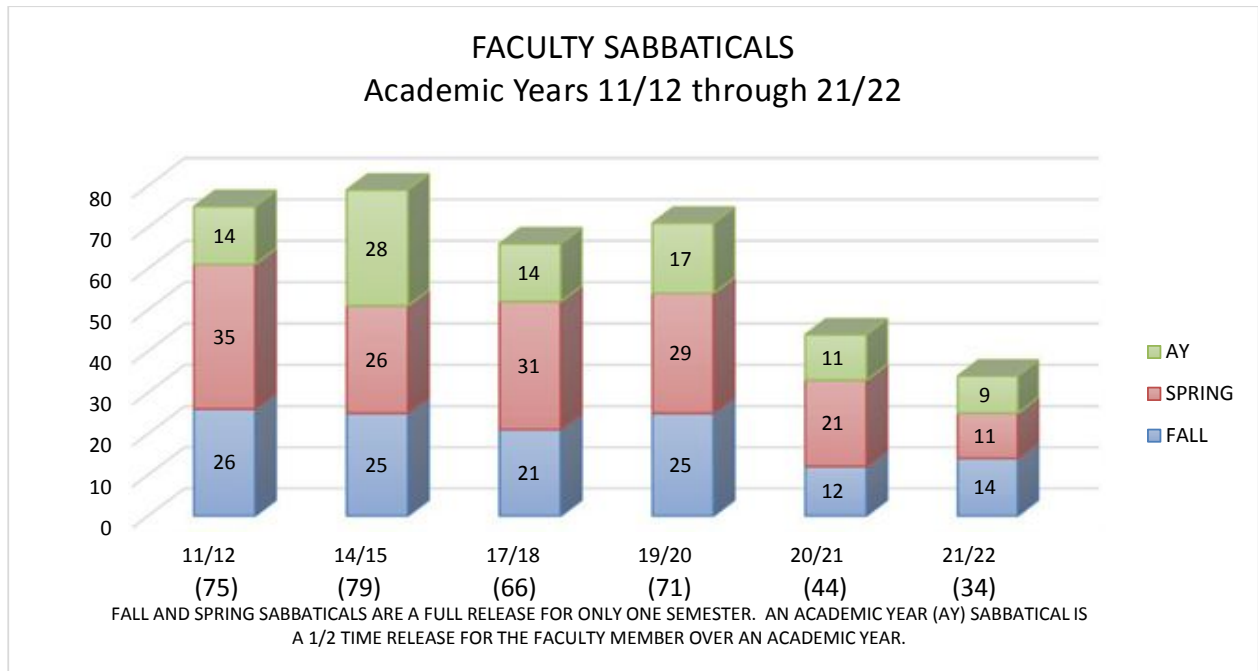
## Tenure Track Faculty by Anticipated Year of Tenure by Gender and by Ethnicity

Year of Tenure	Gender	UM	UMA	UMF	UMFK	UMM	MAINE LAW	UMPI	USM	Total
2023	Men	11	2	1	2	1		1	3	21
	Women	8	1	4	1	1		2	12	29
2024	Men	10		1	1				9	21
	Women	11	4	1					14	30
2025	Men	17	4	2			1	2	8	34
	Women	11	9	3	2			1	13	39
2026	Men	8		2	2		2	1	14	29
	Women	8		3	1	1		1	12	26
2027	Men	12			1			1	2	16
	Women	12	3	1	1				6	23

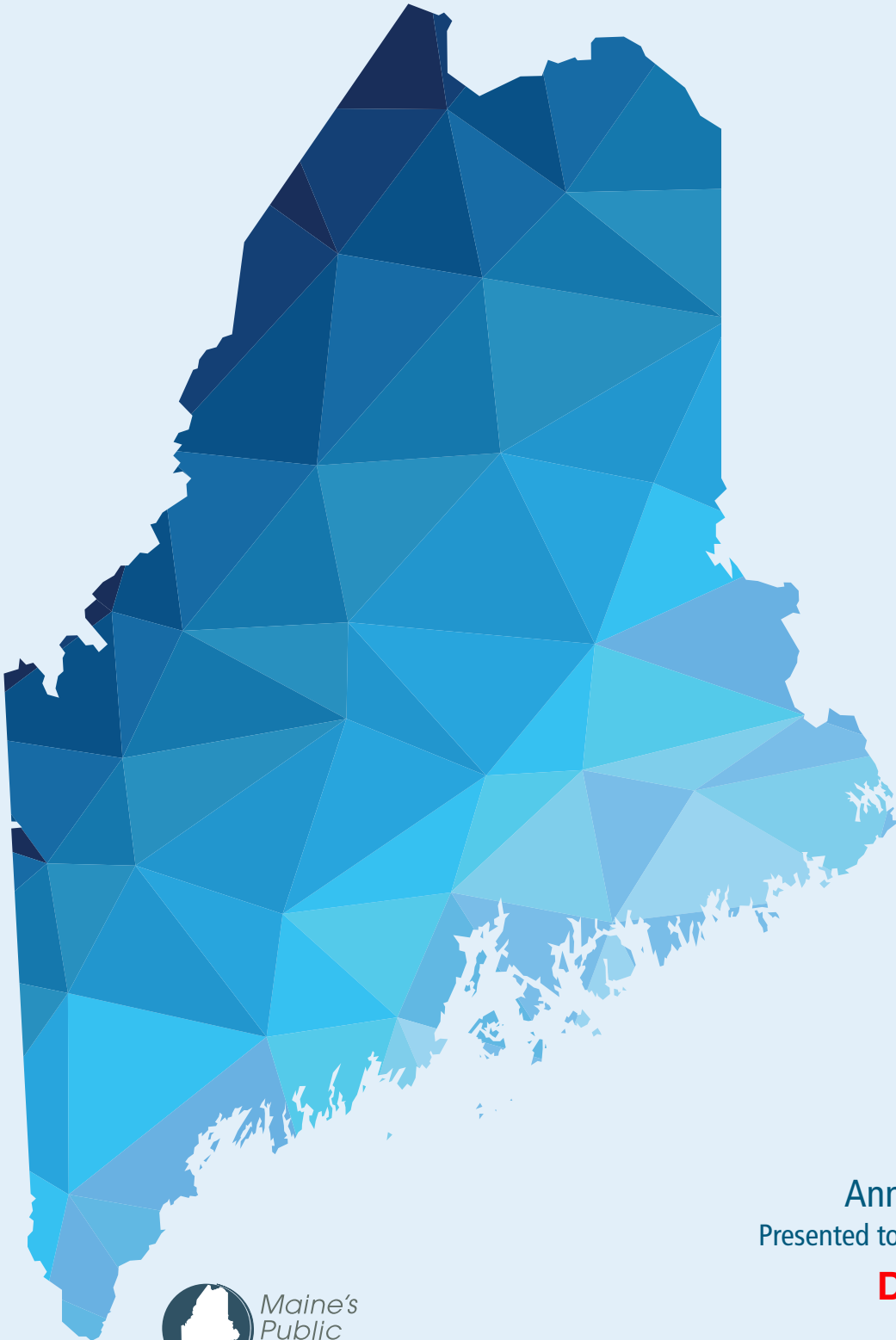
Year of Tenure	Ethnicity	UM	UMA	UMF	UMFK	UMM	MAINE LAW	UMPI	USM	Total
2023	MINORITY	4							2	6
	WHITE	15	3	5	3	2		3	13	44
2024	MINORITY	4							6	10
	WHITE	17	4	2	1				17	41
2025	MINORITY	7							4	11
	WHITE	21	13	5	2		1	3	17	62
2026	MINORITY	4					1		10	15
	WHITE	12		5	3	1	1	2	16	40
2027	MINORITY	6								6
	WHITE	18	3	1	2			1	8	33







# MAINE ECONOMIC IMPROVEMENT FUND



Annual Report FY2021  
Presented to Maine State Legislature

**DRAFT ONLY**



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



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MAINE ECONOMIC IMPROVEMENT FUND  
2021 ANNUAL REPORT

DRAFT

## Memo from the Chancellor



The State of Maine's investment in the Maine Economic Improvement Fund (MEIF) is a vital and ongoing commitment to advancing the research enterprise at Maine's public universities to improve the civic and economic life of Maine.

At the start of 2022, the flagship University of Maine earned an R1 Carnegie Classification, joining the ranks of the nation's top 146 doctoral research universities engaged in "very high research activity." The R1 designation is the world standard for research universities, and this recognition is a direct result of more than 20 years of consistent MEIF and other investment that has supported the growth of UMaine's research capacity. The entire University of Maine System and the State of Maine as a whole are indebted to the foresight of the Maine Legislature for its commitment to this investment, which pays dividends back to Maine many times over.

UMaine's R1 classification will help Maine's public universities attract even more talent, investment and innovation to Maine at a pivotal moment in the state's history. Throughout the ongoing pandemic, Maine's public universities have been an essential and responsive partner, supporting Maine's communities and innovating to solve problems. Now, the University of Maine System is increasingly focused on supporting Maine's recovery and building resilience for the future. To do so, we draw upon the deep research strengths we have built across the seven MEIF sectors.

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

- In FY2021, the state's \$17.35 million MEIF investment was leveraged at a rate of 5.7:1 by our UMS campuses, leading to more than \$98 million in additional federal and private-sector grants and contracts in the seven sectors.
- MEIF funds, and the external grants and contracts they leverage, supported the work of 506 researchers and technicians, as well as 1190 graduate and undergraduate students.
- MEIF-supported grants and contracts provide funds to purchase major equipment to upgrade and outfit university laboratories.
- Maine's public universities secured 7 new US patents and 32 associated foreign patents, worked on development projects with large and small businesses and start-ups, and provided R&D support to 390 companies and individuals.

Also included with this FY2021 MEIF report are additional financial reports and information required in the statute that created MEIF.

I am available at your convenience to discuss how we use MEIF funding to expand knowledge, research, and economic opportunity in Maine. Please contact me directly if you'd like to do so.

Sincerely,

A handwritten signature in black ink that reads "D. Malloy".

Dannel Malloy  
Chancellor

The Maine Economic Improvement Fund Fiscal Year 2021

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## MEIF Background

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

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

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

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

The University of Maine and the University of Southern Maine have

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

## Role of MEIF

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

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

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

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

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

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

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

- Creating businesses and jobs, including the jobs of more than 500 faculty and staff, and nearly 1200 students working on MEIF-funded projects.
- Boosting Maine's economy by leveraging MEIF funds to bring federal and private-sector grants and contracts to Maine.
- Building capacity and expertise to help Maine companies solve problems and commercialize innovation.
- Generating new intellectual property and working to commercialize patents and innovations.
- Capitalizing on natural resources and core strengths by focusing R&D efforts on economic sectors where Maine can make real gains. University research personnel use MEIF resources to support the staff, equipment and facilities they need to successfully pursue and develop research projects.

## Progress in FY2021: Strategic Outcomes, Goals and Metrics

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

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

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

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

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

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

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

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

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

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

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

### MEIF Metric 1: Increase Research Capacity and Activity

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

**Table 1**

<b>FY2021 Total Grants and Contracts</b> (ALL Activity Inclusive)	<b>Number of Proposals</b> <b>UM/UMM</b>	<b>Total Value</b> <b>UM/UMM</b>	<b>Number of Proposals</b> <b>USM</b>	<b>Total Value</b> <b>USM</b>	<b>Number of Proposals</b> <b>ALL</b>	<b>Total Value</b> <b>ALL</b>
Total Proposals Submitted	935	\$277,167,149	186	\$49,000,000	1,121	\$326,167,149
Total Proposals Awarded	763	\$107,537,744	146	\$23,000,000	909	\$130,537,744

#### Grants and Contracts Awarded in MEIF Sectors Only

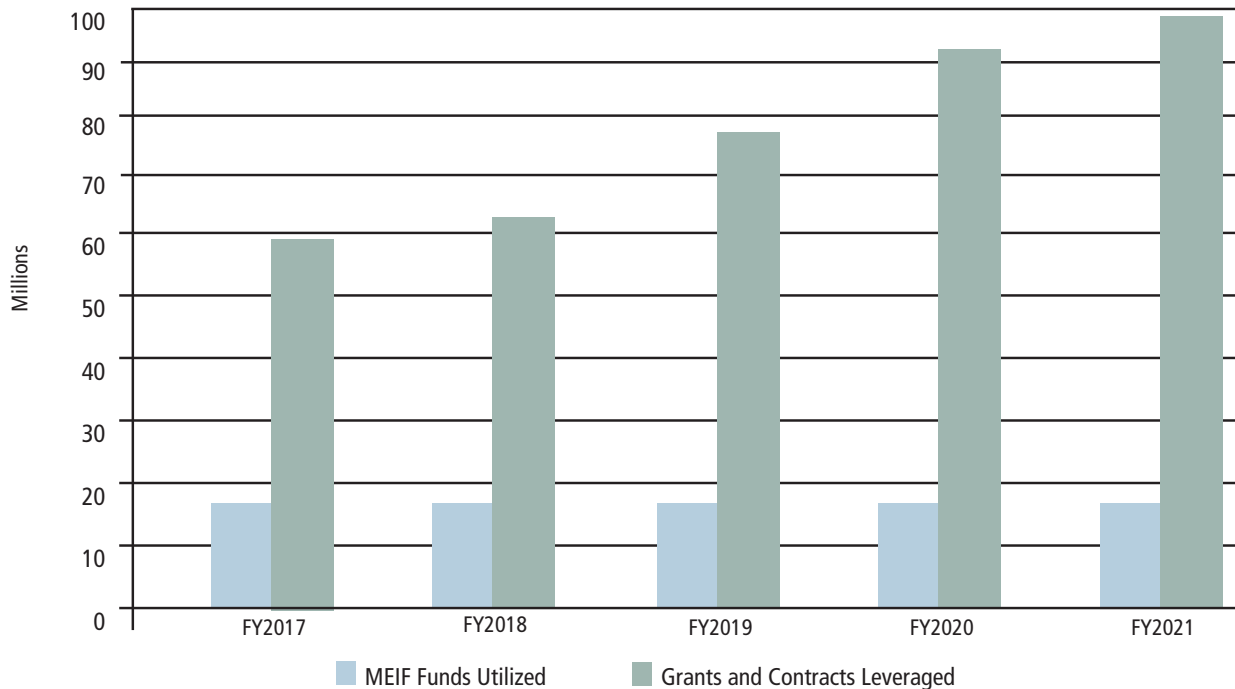
	<b>FY2017</b> <b>MEIF Awards</b>	<b>FY2018</b> <b>MEIF Awards</b>	<b>FY2019</b> <b>MEIF Awards</b>	<b>FY2019</b> <b>MEIF Awards</b>	<b>FY2021 Detail</b>		
					<b>UM/UMM</b> <b>MEIF Awards</b>	<b>USM MEIF</b> <b>Awards</b>	<b>Total UMS</b> <b>MEIF Awards</b>
Aquaculture and Marine	21,229,069	16,032,068	8,084,961	8,698,761	10,764,452	8,801	10,773,253
Biotechnology	3,821,390	6,552,964	16,035,473	14,611,906	8,292,946	36,685	8,329,631
Composites	13,504,642	9,952,947	11,478,611	31,093,652	38,754,403	0	38,754,403
Cross Sector	4,274,394	3,034,812	21,301,337	2,783,430	4,565,468	1,093,651	5,659,119
Environmental Technologies	5,543,121	7,407,213	7,250,820	7,466,987	9,890,019	1,718,935	11,608,954
Forestry and Agriculture	4,660,014	10,685,631	9,598,475	17,624,566	15,592,117	19,633	15,611,749
Information Tech	5,292,726	5,582,266	951,594	7,069,113	6,553,246	133,126	6,686,372
Precision Manufacturing	1,602,646	3,099,123	1,870,527	3,077,779	1,158,472	0	1,158,472
<b>Total</b>	<b>\$59,334,874</b>	<b>\$62,347,023</b>	<b>\$76,571,798</b>	<b>\$92,426,194</b>	<b>\$95,571,122</b>	<b>\$3,010,831</b>	<b>\$98,581,953</b>
<b>FY2020–FY2021 Increase 7%</b>							

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## Strategic Outcomes, Goals and Metrics

**Figure 1 FY2017-2021 MEIF Return on Investment 5.7:1 (UMS)**  
Tens of Millions Leveraged in Grants and Contracts (Five-Year Snapshot)



In summary, the MEIF Target 1 for increasing external grants and contracts leveraged through MEIF investments saw an increase of 7 percent over the previous fiscal year exceeding the goal of 3 percent per year. Continued growth can be attributed to the efforts of UMS researchers and energized by the turnover in faculty researchers resulting in more than 150 new faculty in the last few years. New faculty researchers typically need several years of start-up activity to become competitive proposal writers, and their success is starting to show. Another key

contributor to this growth is larger multi-principle investigator proposals at well-established centers.

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



## MEIF Metric 2: Support New Technologies, Licensing, and Commercialization

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

**Table 2**

MEIF Target 2 — Commercialization Activity	FY2017	FY2018	FY2019	FY2020	FY2021	Five-Year Average
Revenue from Commercialization	\$329,840	\$914,120	\$289,088	\$519,019	\$299,430	\$470,299
Rolling three year average	\$298,091	\$482,890	\$511,016	\$574,076	\$369,179	\$447,050
Number of Patents Filed (US/PCT)	18	20	17	16	23	19
Number of Patents Issued (US)	8	6	6	11	7	8
Number of License Agreements and License Options	7	9	11	8	4	7.8

**FY2020–FY2021 Change in Three-Year Average Revenue -36%**

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

The timeline for commercialization of newly invented technology is hard to predict, but it is lengthy. U.S. patent applications take four to five years from initial application to issuance. Newly issued UMS patents reported above and detailed in Appendix 1 were filed four to five years ago. In addition, many UMS technologies fall into capital-intensive categories, such as transportation infrastructure, pulp and paper, sensors and biotechnology.

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

## MEIF Metric 3: Increase Economic Development Partnerships

The UMS annual revenue from activities with business and industrial partners in the MEIF sectors has stalled, due in large part to reduced activity during the pandemic. Revenue reached \$9,581,790 in FY2021, a decrease of approximately 12 percent, but was buoyed by a few large projects started before the pandemic. The number of business and industry contracts in the MEIF sectors is beginning to rebound from the pandemic-related drop-off seen in FY2020.

**Table 3**

MEIF TARGET 3 — Business and Industry Contracts	FY2017	FY2018	FY2019	FY2020	FY2021
Revenue from Business and Industrial Contracts	\$5,035,394	\$6,339,260	\$7,211,422	\$10,876,661	\$9,581,790
Number of Business and Industrial Contracts	565	528	530	327	390

**FY2020–FY2021 Change in Revenue -11.91%**

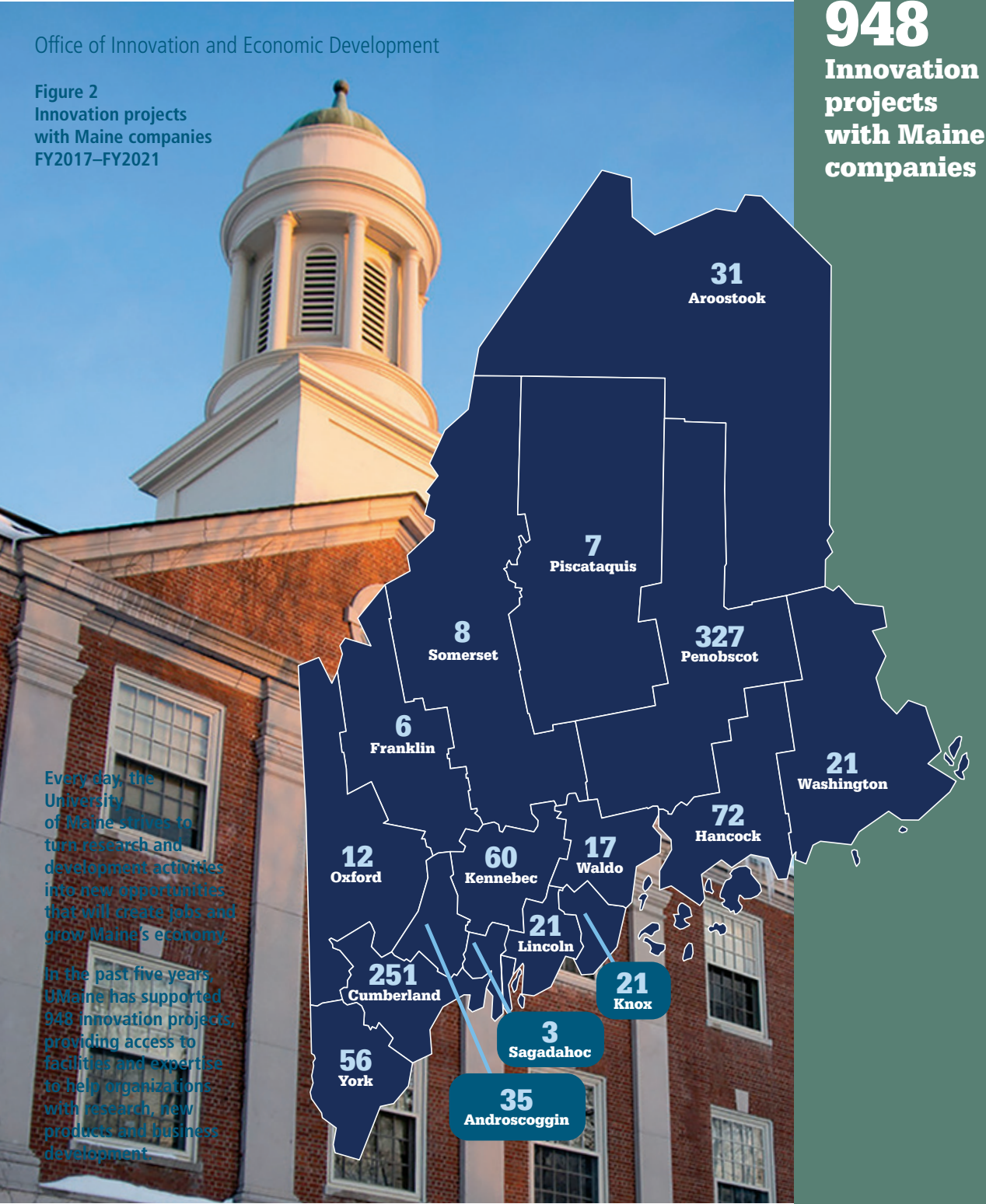
In summary, many MEIF investments not only leverage external grants and contracts, but – through a combination of MEIF funds, and grant and contract funds – help UMS campuses build capacity to work directly with industry partners. Figure 2 illustrates the breadth of contract work with companies throughout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

intellectual property, while many companies are working with UMS campuses for problem solving and product development. Figure 2 demonstrates the statewide nature of these partnerships for those contracts that are currently tracked. Many additional companies, inventors and entrepreneurs receive advice and guidance that does not result in formal contracts.

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Strategic Outcomes, Goals and Metrics



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## MEIF Metric 4: Support R&D Workforce Development

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

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

Grant and contract revenue also is an important source of funding for students’ salary, tuition and other types of support, allowing many research-active students to offset their cost of education while getting valuable skills and on-the-job experience, positioning them well to be leading contributors to Maine’s key growth sectors.

### Success and Strategic Impact

By investing MEIF funds in researchers, facilities and matching for grants, UMS has attracted more than \$389 million over the last five years (FY2017-2021) in federal and private-sector grants and contracts related to the seven strategic research areas. This funding directly results in Maine products and technologies, such as biofuels, pulp and paper products, biomaterials and bridges, new potato varieties, aquaculture technologies, offshore wind hulls, and software, which lead to improvements in Maine’s industries.

### Return on Investment

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

### Developing Workforce and Creating Jobs

Five hundred plus full-time equivalent jobs are funded in Maine through the grants and contracts leveraged and expended related to MEIF. These positions include faculty, technicians and research staff. Currently, 1,190 graduate and undergraduate students are funded for their involvement in research, development and commercialization. This student involvement in research, development and commercialization projects is comparable to an internship and gives students great real-world experience as well as life-long networks and connections.

**Table 4-A FY2021**

MEIF Target 4 — Workforce Development	Wages paid from MEIF	Wages paid from Grant/Contract	Totals
Number of faculty staff supported (FTE = Full Time Equivalent)	143.01	362.95	505.96
Number of Graduate students supported (headcount)	28	515	543
Number of Undergraduate students supported (headcount)	113	534	647

**Table 4-B**

Student costs from grants and contracts	FY2017	FY2018	FY2019	FY2020	FY2021
Student salaries and wages from grants and contracts	\$4,957,536	\$4,853,956	\$6,361,381	\$6,869,073	\$7,559,179
Student tuition paid by grants and contracts	870,787	795,339	916,618	1,384,425	\$1,306,089
Student fellowships/scholarships paid by grants and contracts	233,111	373,118	457,884	422,111	\$799,695
Student health insurance paid by grants and contracts	203,406	214,000	298,386	296,807	\$308,195
<b>Total soft money student support</b>	<b>\$6,658,528</b>	<b>\$6,264,840</b>	<b>\$6,236,413</b>	<b>\$8,034,269</b>	<b>\$9,973,158</b>

FY2020–FY2021 Change 19%

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## Strategic Outcomes, Goals and Metrics

### MEIF Metric 5: MEIF Small Campus Initiative

In 2009, the University of Maine System established the Small Campus Initiative Fund to promote seven-sector research and development activity at the other five UMS campuses and, as of 2013, Maine Maritime Academy (MMA).

**Table 5-A**

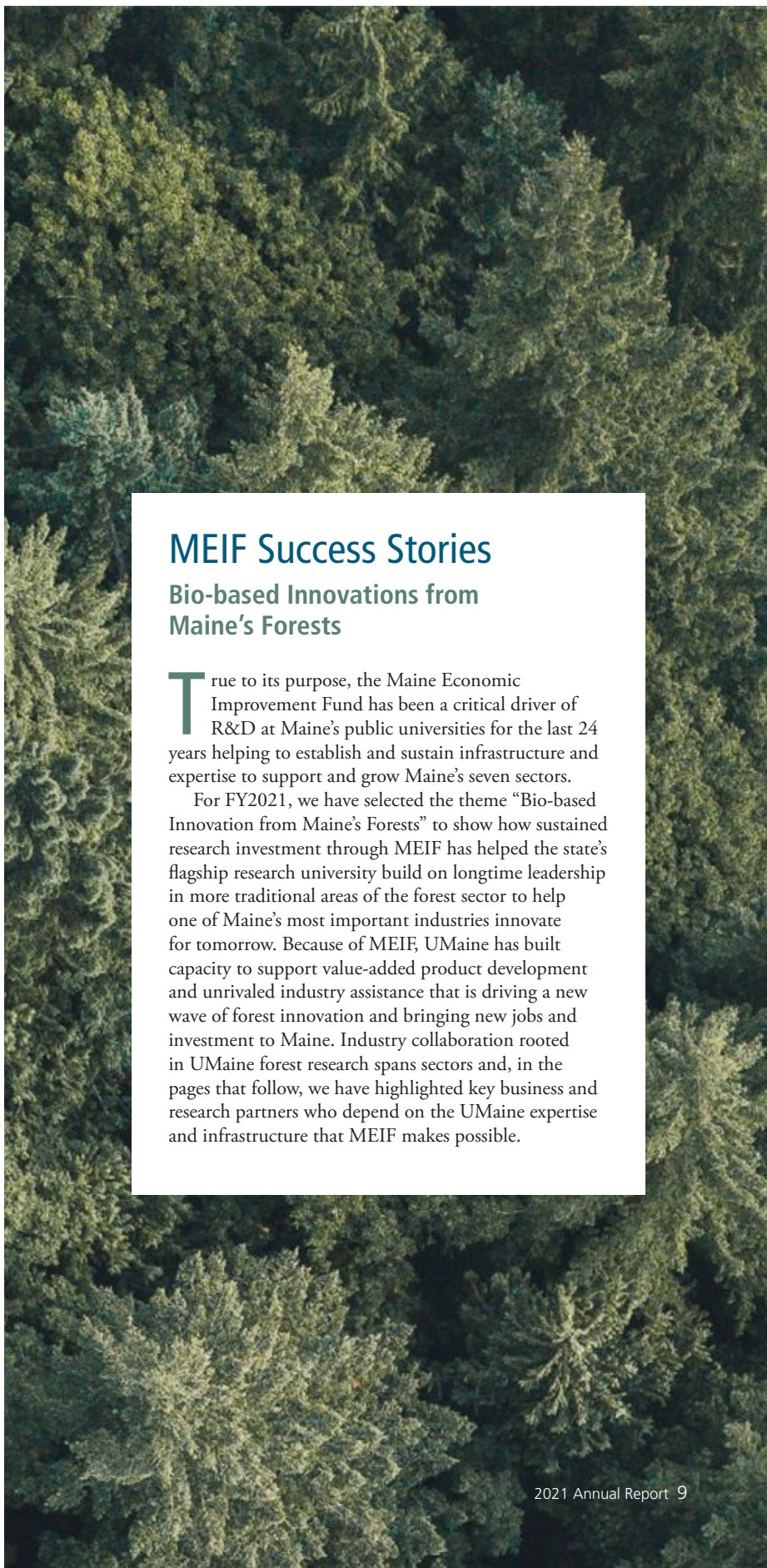
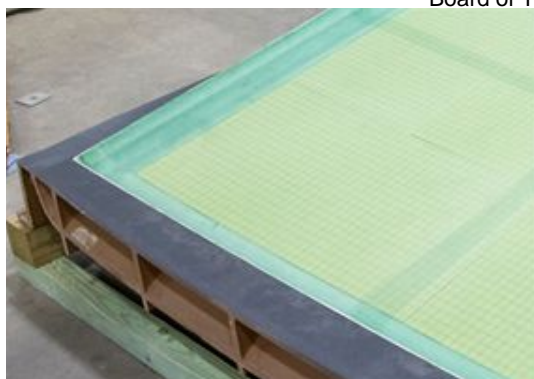
MEIF Small Campus Initiative Awards by Fiscal Year	FY2017	FY2018	FY2019	FY2020	FY2021
UM – Augusta	\$0	\$0	\$85,129	\$0	\$25,000
UM – Farmington	\$77,000	\$0	\$0	\$300,000	\$0
UM – Fort Kent	\$0	\$182,500	\$0	\$130,000	\$24,899
UM – Machias	\$200,000	\$300,000	\$300,000	\$0	\$250,000
UM – Presque Isle	\$0	\$182,500	\$0	\$0	\$168,474
Maine Maritime Academy	\$97,257	\$0	\$49,934	\$130,000	\$0
<b>Total Annual Awards</b>	<b>\$374,257</b>	<b>\$665,000</b>	<b>\$435,063</b>	<b>\$560,000</b>	<b>\$468,373</b>

**Table 5-B FY2021**

Awards by Campus	PI(s)	Campus	Amount
MLT Program: Modernization & Meeting Demand	Elisha Sirois	UMA	\$25,000
Monitoring the Impacts of Climate Change on Forest Dynamics in Northern Maine	Kennedy Rubert-Nason	UMFK	\$24,899
Applied R&D to Foster Economic Growth in Maine's Shellfish Aquaculture Industry	Brian Beal	UMM	\$250,000
Distributed Machine Learning Approaches for Big Data Analysis	Rafiul Hassan	UMPI	\$168,474
			<b>\$468,373</b>

- The Medical Laboratory Technologist (MLT) Program of Maine, a highly successful collaboration that trains skilled biotech professionals to meet a clinical laboratory workforce shortage
- Data collection and analysis to measure the impacts of climate change on four ecologically and economically important tree species: sugar maple, red spruce, balsam fir, and northern white cedar
- R&D in Maine's shellfish aquaculture industry (including the biological ramifications of ocean change on three commercially important bivalves and one crustacean) to inform decision-making for state and local officials, fisheries managers, harvesters, and aquaculturists
- The development of new machine learning approaches that can analyze large complex data sets using massive parallel and distributed computing power and help examine big data from biomedical, environmental and agricultural studies relevant to Maine.





## MEIF Success Stories

### Bio-based Innovations from Maine's Forests

**T** rue to its purpose, the Maine Economic Improvement Fund has been a critical driver of R&D at Maine's public universities for the last 24 years helping to establish and sustain infrastructure and expertise to support and grow Maine's seven sectors.

For FY2021, we have selected the theme "Bio-based Innovation from Maine's Forests" to show how sustained research investment through MEIF has helped the state's flagship research university build on longtime leadership in more traditional areas of the forest sector to help one of Maine's most important industries innovate for tomorrow. Because of MEIF, UMaine has built capacity to support value-added product development and unrivaled industry assistance that is driving a new wave of forest innovation and bringing new jobs and investment to Maine. Industry collaboration rooted in UMaine forest research spans sectors and, in the pages that follow, we have highlighted key business and research partners who depend on the UMaine expertise and infrastructure that MEIF makes possible.



## MEIF Success Stories



### UNIVERSITY OF MAINE

## Oak Ridge National Laboratory Partnership

**Founded:** 2019

**Phase 1:** \$20M

**MEIF Sectors:** Advanced Technologies for Forestry and Agriculture, Biotechnology, Composites and Advanced Materials, Environmental Technologies, Precision Manufacturing

The goal of the partnership between Oak Ridge National Laboratory and UMaine is to accelerate the advancement of nanocellulose and other forest products composite technology, reduce the time from laboratory discovery to market impact, and facilitate the transition of bio-based additive manufacturing technologies to industry. This collaboration is the first large-scale bio-based additive manufacturing program in the U.S., connecting regional industry and university clusters with national lab resources.

Scientists from ORNL and UMaine are conducting research in several key areas, including CNF production, drying, functionalization, and compounding with thermoplastics, multiscale modeling, and sustainability life-cycle analysis. ■



Technology collaborations are short-term, focused projects that enable industry partners to access UMaine and ORNL capabilities to explore a pressing challenge related to additive manufacturing or bio-based materials. **The goal is to help U.S. manufacturers large and small** incorporate next-gen materials and processes to help them be more competitive, efficient, and sustainable. The whole team is so driven and excited to share all the work we've been doing and start transferring it out into the marketplace."

**Susan MacKay**  
Senior R&D Program Manager, UMaine ASCC



#### TOPSHAM

### Muddy River Farm Aquaponics

**Founded:** 2019

**MEIF Sectors:** Advanced Technologies for Forestry and Agriculture, Biotechnology, Aquaculture and Marine Sciences, Composites and Advanced Materials, Environmental Technologies, Precision Manufacturing

**M**uddy River Farm Aquaponics (MRF) is a food production and research facility with a straightforward motto: “Healthy innovation you can eat.” The company grows fresh produce (mixed greens, tomatoes, cucumbers, and lettuce), Rainbow Trout, and Brook Trout in a sustainable and symbiotic semi-automated freshwater aquaponics system in Topsham, supplying several local restaurants and markets.

In addition to their freshwater aquaponics production, MRF is exploring terrestrial, saltwater recirculation systems made from 3D-printed bioplastic. For help with this project, founder Matt Nixon turned to UMaine’s Advanced Structures and Composites Center (ASCC). Through a technology collaboration made possible by UMaine’s partnership with Oak Ridge National Laboratory (ORNL), MRF worked with researchers to print an aquaculture tank insert made from forest product feedstocks and bioplastic. The “Oyster Pod” is designed to capitalize on the space-saving and energy-reducing principles of vertical aquaculture, eliminating the need for a flow-through seawater system and promoting a consistent growth environment in which shellfish will mature swiftly and thrive. The long-term goal is to commercialize a scalable system that will help Maine’s small shellfish farmers improve efficiencies and reduce risk. ■



MRF’s goal is to help lead Maine’s aquaculture and freshwater produce industries to a more sustainable, climate change-ready future through research, innovation, and adaptation. The UMaine ASCC and the U.S. Department of Energy’s ORNL have helped bring MRF’s R&D to the next level. Their engineering consultation, design advice, and additive manufacturing capacity have been **instrumental in developing and proving MRF’s prototype systems.** We look forward to working with both partners in the coming years to refine and commercialize our product.”

**Matt Nixon**  
Owner and Founder, Muddy River Farm Aquaponics

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## MEIF Success Stories



## BANGOR

## Biofine Developments Northeast (BDNE)

**Founded:** 2019

**MEIF Sectors:** Advanced Technologies for Forestry and Agriculture, Biotechnology, Environmental Technologies

**B**iofine Developments Northeast is the exclusive licensee of a suite of patents that position it to become a highly profitable leader in the fast-growing bio-economy. The proprietary technology, licensed from Biofine Technology, enables the economic production of a bio-based carbon negative substitute for heating oil and has been developed over the past 25 years with strategic partners, including the University of Maine.

To support commercialization, UMaine is demonstrating the biomass to mixed organic acid conversion process at the Forest Bioproducts Research Institute's (FBRI) Technology Research Center (TRC) in Old Town. The Biomass to Bioproducts Pilot Plant has the capacity to convert market pulp, recycled cardboard, and forest residues into the platform chemical levulinic acid, which can then be converted into renewable specialty chemicals and fuels for end-market testing. Complementing BDNE's efforts, FBRI researchers are using the TRC's Synthetic Crude Oil Pilot Plant to demonstrate the production of synthetic, biomass-derived crude oil using patented UMaine technology. The university also is a crucial technical consultant on a Maine Technology Institute award to BDNE to support commercial development of a large-scale bio-refinery in Maine. In 2021, BDNE announced an agreement with Lincoln and Lincoln Lakes Innovation Corp. to open a multi-phase biofuels refinery development on the former Lincoln paper mill site and a preliminary offtake contract with a large northeast-based fuel-oil distributor. ■



We consider Maine the ideal location to develop a sustainable biorefining industry. Here, we have access to plentiful wood-based biomass from Maine's sustainably managed forests, industrial infrastructure suitable for co-location, a ready local market and the opportunity to continue to leverage collaborative research and development at the University of Maine. The Forest Bioproducts Research Institute has been a **critical partner in demonstrating our technology and helping to set the stage** for our planned project in Lincoln, which we believe will be an engine for economic growth in the community."

Stephen Fitzpatrick  
Founder and CEO, BDNE



#### CAPE ELIZABETH

### Xylogen Medical, LLC

**Founded:** 2020

**MEIF Sectors:** Advanced Technologies for Forestry and Agriculture, Biotechnology, Composites and Advanced Materials, Environmental Technologies

U Maine researchers led by professor of biomedical engineering Michael Mason have developed a nanocellulose composite material suitable for a range of biomedical uses. Unlike existing metal orthopedic devices, this nanocellulose composite is a cost-effective, customizable, resorbable, porous platform biomaterial with the potential to help optimize the healing process for patients. It could be used as a synthetic bone, surgical bone scaffold, or bone grafting implement, designed for dissolution and gradual replacement with native bone cells.

Mason, along with the team at BESPA GLOBAL, a consortium of doctors experienced in commercializing technology, founded Xylogen Medical to bring this technology to market. The company has secured its first medical device company partnership, established an R&D&C timeline, and is generating prototypes for customer and market evaluation. ■



“

BESPA GLOBAL is dedicated to improving patient care through education and advancements in medical science. **UMaine's nanocellulose composite material is exactly the kind of technology we seek to develop.**

In addition to holding great promise for improved patient outcomes by reducing infection risk and eliminating the need for follow-up surgeries, it's also environmentally friendly and cost-effective.”

Lisa Viele  
President, BESPA Global

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## BELFAST & MADISON

### GO Lab

**Founded:** 2017

**Projected Jobs:** 120

**MEIF Sectors:** Advanced Technologies for Forestry and Agriculture, Biotechnology, Composites and Advanced Materials, Environmental Technologies

**G**O Lab, a privately-held, building products company, was founded in 2017 with one purpose — to manufacture high-performance, wood fiber insulation in North America under the brand name TimberHP. The company's boards, batts, and loose fill—building on wood fiber's two-decade legacy of proven market success in Europe—offer safe, cost competitive, sustainable insulation solutions.

TimberHP is a value-added, innovative product line for Maine's new forest economy. In its very early stages, GO Lab participated in the UMaine-facilitated Big Gig pitch competition and the Bangor-region Top Gun accelerator program. Early R&D collaborations included work with the Advanced Structures and Composites Center to test the response of wood fiber insulation boards to a variety of adhesives.

Now, as GO Lab renovates the shuttered former paper mill in Madison and prepares to begin manufacturing TimberHP wood fiber insulation there, the university remains a valued partner for the company.

Current collaborations include ongoing work with both the ASCC and the School of Forest Resources on wood fiber insulation product testing data monitoring of wood fiber insulated CLT buildings and discussions are underway exploring next generation technologies to enhance wood fiber board insulation with weather resistant barriers and bio-based adhesives. ■



**TIMBERHP**  
INSULATE BETTER. LIVE BETTER.™

“

The University of Maine's commitment to finding innovative new ways to use wood and wood composites has been a tremendous asset to GO Lab's growth. Early on, we used our research and development partnership with the university to determine if it was even feasible to bring wood fiber insulation to North America.

**Today, they continue to help us with product testing and more R&D on cutting-edge building prototypes** that, over time, can fundamentally change the built environment as we know it today.”

Josh Henry  
President, GO Lab

## MEIF at USM Success Stories

### ■ Growing Quality Control Collaboratory (QC2) to support brewing industry

**MEIF Sector:** Advanced Technologies for Forestry and Agriculture

The Quality Control Collaboratory (QC2) is an analytical chemistry laboratory at the University of Southern Maine supporting Maine's craft beverage industry through testing services, research, and education, while also providing undergraduate USM students with real-world lab experiences. Since 2016, MEIF has supported 25 highly trained QC2 students who have performed 2,500 testing services for more than 100 breweries in Maine and beyond. In the summer of 2021, QC2 launched a pilot internship program that placed students at local brewery worksites. The successful program will expand in 2022 and further strengthen USM's ties with the brewing community.

In addition to hands-on workshops and webinars that serve the brewing industry in Portland and around the world, QC2 has a robust research program dedicated to developing new and innovative analytical methods for quality testing in the brewing industry. Since 2016, the novel research conducted by undergraduate students has been presented at the American Chemical Society Spring Conference and other trade-specific conferences and events. In 2021, QC2 was awarded competitive funding from the American Society of Brewing Chemists to develop a portable device to analyze a volatile compound in beer.



Despite the challenges of COVID-19, demand for QC2's testing services doubled in 2021 thanks to expanded marketing outreach, website improvements, and the efforts of a newly hired lab manager. This growth has allowed the lab to invest in new instrumentation, fund more students, and involve new brewer partners in collaborative research.

### ■ Removing Barriers to Licensing for Foreign-Trained Professionals

**MEIF Sector:** Cross-Sector

Responding to the workforce challenges facing Maine businesses and with the support of MEIF dollars, a partnership between the State of Maine Department of Professional and Financial Regulation's Office of Professional and Occupational Regulation (OPOR), USM's Cutler Institute, Maine Regulatory Training and Ethics Center (MERTEC), and Maine Law seeks to remove barriers for foreign-trained professionals seeking licensure in specific professions/occupations. The goal is to enable those seeking licenses to work at the highest level of their education and training.

The partnership focuses on developing guides that explain the licensing process using clear language and charts. These guides identify licensing requirements and pathways to licensure, as well as relevant resources.

The project commenced in January 2021 and Maine Law interns have worked with OPOR & Cutler staff to complete four licensing guides. The hope is to complete a licensing guide for each of OPOR's 37 licensing entities. While the project is focused on foreign-trained or foreign-educated individuals, these easy-to-use guides will benefit all individuals seeking professional licensure in Maine.

"This partnership has helped expand the resources available to OPOR to dedicate to this to this important workforce initiative. It has also provided Maine law students with real world experience in regulation. OPOR is grateful for the university's and MEIF's financial and in-kind support of this valuable initiative." — Joan Cohen, Deputy, Department of Professional and Financial Regulation.

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## ■ Gateway to Opportunity (G2O)

### MEIF Sector: Information Technologies

Gateway to Opportunity is a comprehensive youth-adult partnership focused on building the workforce of tomorrow. Through partnerships and collaborations with high schools, colleges, and employers, G2O bridges workforce gaps in the community and offers an innovative model for supporting underserved youth while improving the local economy.

Based on best-practice research from Brandeis University, G2O was developed at the University of Southern Maine through grant funding, including USM's Maine Economic Improvement Fund (MEIF) support for the USM student leaders and mentors. Through G2O USM students are trained as Team Leaders to provide mentorship and guidance to young people, typically 16 to 19 years old, with paid, work-based learning projects where they can hone and develop 21st Century skills needed in the local job market. The projects have focused on helping young people, particularly those from low-income backgrounds, work on real business problems and solutions. With the USM team leaders serving as peer mentors, youth hold responsibility for

driving the work forward, culminating in a final presentation of their results. The program benefits youth and young adults, undergraduate college students and employers who are able to interact with young people who can fill the in-demand jobs of the future.

Since launching in the summer of 2016, G2O has supported project teams based at over 20 different host sites serving close to 120 youth. Analysis of data collected from youth, team leaders and host sites demonstrate that the program achieves results year after year, most notably statistically significant gains in communication, teamwork, problem-solving, and work-readiness skills for participating youth. In 2021, as part of an effort to expand beyond the Greater Portland community, USM's G2O team revamped a program toolkit and provided a three-part virtual training series to interested organizations across Maine to provide tangible strategies to implement G2O in their communities. In the summer of 2021, G2O successfully transitioned the management of the program to the Maine Youth Action Network (MYAN) at The Opportunity Alliance.

## ■ Collaborating for Arctic Solutions

### MEIF Sector: Aquaculture and Marine Sciences

Since 2019, USM's Maine Economic Improvement Fund has been instrumental in convening North Atlantic partners for the Arctic Circle Assembly (ACA) Graduate Student Cohort, a collaborative of faculty and students from the University of Southern Maine, the Arctic University of Norway, the University of Iceland, Reykjavik University, and the University of Akureyri. This collaborative began at the 2019 Arctic Circle Assembly in Reykjavik, Iceland, and in 2020-2021 multi-disciplinary teams of one faculty and two students from the same academic institutions came together representing the fields of business, law, social work, public health, mental health/counseling, psychology, and environmental science.

Participants considered Arctic-related issues through the lens of the "Triple Bottom Line" (TBL), a model that seeks to consider "People, Planet, and Profit" through measuring the social, environmental, and economic impacts of work and products. In practice, this can result in broad workable solutions, integrating the traditional silos of thought and action.

The collaborative demonstrated that interdisciplinary and multi-institutional teams of faculty/students from the United States, Iceland, and Norway with common interests



in the Arctic can work together to identify and promote solutions to concerns related to the Arctic. The result was a published research paper about the collaborative Arctic solutions and partnership processes of the cohort. Finally, students were able to present their work at a panel session at the 2021 Arctic Circle Assembly, "Triple Bottom Line in the Arctic: Graduate Student Cross Disciplinary Cohort." The panel included all who could travel to the Assembly, including three faculty members and four students.

The Planning Committee is currently at work on the next International Graduate Student Cohort scheduled to begin work in January 2022 with plans to publish and present at the 2022 Arctic Circle Assembly.

## Appendix 1 — University of Maine System Intellectual Property

Table A1-1

### University of Maine System — New Patent Applications Filed FY2021

Title	Application Type	Filing Date	Inventor	Campus
MOTION ABSORBING SYSTEM AND METHOD FOR A STRUCTURE	United States	5/7/21	Andrew Goupee, Habib Dagher, Anthony Viselli, Christopher Allen	Orono
CONTROLLED POROSITY STRUCTURAL MATERIAL WITH NANOCELLULOSE FIBERS	United States	11/10/20	Michael Mason, David Holomakoff, Muhammad Hossen	Orono
PROCESS FOR IMPROVING THE ENERGY DENSITY OF FEEDSTOCKS USING FORMATE SALTS	Norway	7/27/20	Paige Case, Adriaan van Heiningen, Clayton Wheeler	Orono
IMPROVED FILAMENTS FOR 3D PRINTING	Hong Kong	3/9/21	Douglas Gardner, Jordan Sanders, Lu Wang	Orono
NON-ORTHOGONAL ADDITIVE MANUFACTURING AND THE TREATMENT OF PARTS MANUFACTURED THEREOF	European Patent Convention	2/25/21	Matthew Ireland, James Anderson	Orono
COMPOUNDS AND METHODS FOR IMPROVING PLANT PERFORMANCE	Argentina	6/22/21	Pat Unkefer, Thomas Knight	USM
IMPROVED FILAMENTS FOR 3D PRINTING	China	7/8/20	Jordan Sanders, Lu Wang, Douglas Gardner	Orono
DOPPLER RADAR BASED BEE HIVE ACTIVITY MONITORING SYSTEM	United States	12/9/20	Herbert Aumann, Nuri Emanetoglu	Orono
TUNED MASS DAMPER FOR FLOATING STRUCTURES	United States	4/30/21	Andrew Goupee, Habib Dagher, Anthony Viselli, Christopher Allen	
NON-ORTHOGONAL ADDITIVE MANUFACTURING AND THE TREATMENT OF PARTS MANUFACTURED THEREOF	United States	1/22/21	Matthew Ireland, James Anderson	Orono
METHODS AND DEVICES FOR TREATMENT OF NEUROPATHY	PCT	5/7/21	Rosemary Smith, Kristy Townsend	Orono
LIGNOCELLULOSIC FOAM COMPOSITIONS AND METHODS OF MAKING THEREOF	PCT	10/28/20	Islam Hafez, Seyed Tayeb, Aileen Co, Michael Mason, Mehdi Tajvidi	Orono
PATHOGEN COLLECTION AND HANDLING SYSTEM "	PCT	6/30/21	Caitlin Howell, Daniel Regan	Orono
AF4124-7 HAMLIN RUSSET	United States	1/25/21	Gregory Porter	Orono
SYSTEMS AND METHODS FOR DETERMINING WATER CONTENT IN A SAMPLE	United States	9/14/20	Sfoog Saleh, Carl Tripp	Orono
METHODS AND SYSTEMS FOR AUGMENTING AND/OR SIMULATING FLAVORS	United States	7/24/20	Jonathan Roman Bland; Michael Gecawicz; R A Nimesha Ranasinghe, Meetha-Nesam James-Ravindran-Santhakumar	
CEMENT COMPOSITIONS, AND METHODS THEREOF	United States	3/12/21	Warda Ashraf, Hemant Pendse	Orono
ACTIVE COLOR-CHANGING LIQUID CRYSTAL FILAMENT AND YARN	United States	3/16/21	David Erb Jr, Christopher Erb	Orono
ADJUVANT FOR AQUACULTURE VACCINES USING ENGINEERED BACTERIA TARGETING THE STING PATHWAY	United States	11/24/20	Ian Bricknell, Jiahe Li, Deborah Bouchard	Orono
COMPOSITIONS AND METHODS FOR TOXIC SPECIES REMOVAL FROM FLUID	United States	6/15/21	Islam Hafez, Md Rahman	Orono
AUTONOMOUS ROAMING OFFSHORE WIND TURBINES	United States	4/9/21	Andrew Goupee, Habib Dagher, Anthony Viselli, Richard Kimball	Orono
DIGITAL MANUFACTURING FACILITY AND METHOD OF MANUFACTURING	United States	6/2/21	Habib Dagher	Orono
ELECTRICALLY CONTROLLABLE SURGICAL TOOLS	United States	12/4/20	Robert Ecker, Mohsen Shahinpoor	Orono
<b>Total 23</b>				

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Table A1-2

## University of Maine System — Patents Issued FY2021

Tech ID	Title	Country	Type	Patent Number	Issue Date
2000-05EP	COMPOUNDS AND METHODS FOR IMPROVING PLANT PERFORMANCE	Europe	European	3033316	8/5/20
2011-10US	RELEASE PAPER AND METHOD OF MANUFACTURE	United States	Utility	10731298	8/4/20
2012-17-05	IMPROVED METHODS OF CANCER DETECTION	United States	Divisional	10769790	9/8/20
2013-12US	SOFT TISSUE IN-GROWTH OF POROUS, THREE-Dimensionally PRINTED, TRANSCUTANEOUS IMPLANTS OF VARYING MATERIAL AND PORE GEOMETRY	United States	Nationalized PCT	10792129	10/6/20
2014-14US	METHODS FOR THE PRODUCTION OF HIGH SOLIDS NANOCELLULOSE	United States	Utility	10794002	10/6/20
2015-11US	COMPOSITE PRODUCTS OF PAPER AND CELLULOSE NANOFIBRILS AND PROCESS OF MAKING	United States	Utility	10875284	12/29/20
2015-16US	CONTROLLED POROSITY STRUCTURAL MATERIAL WITH NANOCELLULOSE FIBERS	United States	Nationalized PCT	10,870,950	12/22/20
2016-01US	ELECTRICALLY CONTROLLABLE SURGICAL TOOLS	United States	Utility	10881418	1/5/21
				<b>Total Issued</b>	<b>39</b>
				United States	7
				International	32

The above table lists  
US Patents Only

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

Table A2-1

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

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

#### 118th LEGISLATURE

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

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

#### 119th LEGISLATURE

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

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

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

#### 120th LEGISLATURE

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

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

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

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

#### 121st LEGISLATURE

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

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

#### 122nd LEGISLATURE

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

#### 123rd LEGISLATURE

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

#### 124th LEGISLATURE

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

#### 125th LEGISLATURE

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

#### 126th LEGISLATURE

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

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

#### 127th LEGISLATURE

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

#### 128th LEGISLATURE

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

#### 129th LEGISLATURE

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

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Table A2-2

## Legislative History of MEIF New Appropriations

118th LEGISLATURE	FY98	FY99	Total 2-Year
UM	\$400,000	\$400,000	\$3,200,000
USM	100,000	100,000	800,000
<b>Total</b>	<b>\$500,000</b>	<b>\$500,000</b>	<b>\$4,000,000</b>
119th LEGISLATURE	FY00	FY01	Total 2-Year
UM	\$4,440,000	\$40,000	\$4,480,000
USM	1,110,000	10,000	1,120,000
<b>Total</b>	<b>\$5,550,000</b>	<b>\$50,000</b>	<b>\$5,600,000</b>
120th LEGISLATURE	FY02	FY03	Total 2-Year
UM	\$0	\$0	\$0
USM	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
121st LEGISLATURE	FY04	FY05	Total 2-Year
UM	\$80,000	\$1,600,000	\$1,680,000
USM	20,000	400,000	420,000
<b>Total</b>	<b>\$100,000</b>	<b>\$2,000,000</b>	<b>\$2,100,000</b>
122nd LEGISLATURE	FY06	FY07	Total 2-Year
UM	\$0	\$540,000	\$540,000
USM	0	60,000	60,000
<b>Total</b>	<b>\$0</b>	<b>\$600,000</b>	<b>\$600,000</b>
*One-time funding			
123rd LEGISLATURE	FY08	FY09	Total 2-Year
UM	\$1,200,000	\$720,000	\$1,920,000
USM	300,000	180,000	480,000
INITIATIVES	0	100,000	100,000
<b>Total</b>	<b>\$1,500,000</b>	<b>\$1,000,000</b>	<b>\$2,500,000</b>
124th LEGISLATURE	FY10	FY11	Total 2-Year
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
125th LEGISLATURE	FY12	FY13	Total 2-Year
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<b>126th LEGISLATURE</b>	<b>FY14</b>	<b>FY15</b>	<b>Total 2-Year</b>
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>127th LEGISLATURE</b>	<b>FY16</b>	<b>FY17</b>	<b>Total 2-Year</b>
UM	\$2,056,400	\$0	\$2,056,400
USM	514,100	0	514,100
INITIATIVES	79,500	0	79,500
<b>Total</b>	<b>\$2,650,000</b>	<b>\$0</b>	<b>\$2,650,000</b>
<b>128th LEGISLATURE</b>	<b>FY18</b>	<b>FY19</b>	<b>Total 2-Year</b>
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>129th LEGISLATURE</b>	<b>FY20</b>	<b>FY21</b>	<b>Total 2-Year</b>
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>130th LEGISLATURE</b>	<b>FY22</b>	<b>FY23</b>	<b>Total 2-Year</b>
UM	\$0	\$0	\$0
USM	0	0	0
INITIATIVES	0	0	0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Total Yearly Research Appropriations for FY2021**

UM	\$13,263,600
USM	3,315,900
UMM	250,000
UMFK	0
UMA	0
UMPI	0
UMS	520,500
MMA	0
<b>Total</b>	<b>\$17,350,000</b>

**Small Campus Initiatives**

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  
Maine Maritime Academy

**S.C. Initiatives**

UMA  
UMF  
UMFK  
UMM  
UMPI  
MMA

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Table A2-3 Maine Economic Improvement Fund

## Utilization of FY2021 Operating Research Appropriation by Targeted Research Areas

Targeted Research Area	Source of R&D Funds				Utilization of R&D Funds			Balance
	FY2021 R&D Initial Base Budget	Unused R&D Funds from Prior Years As Reported	Adjustment to Prior Years Unused R&D Funds	Adjusted Unused R&D Funds from Prior Years	FY2021 R&D Funding Transfers	FY2021 Total R&D Funds Available	FY2021 R&D Actual Expenditures	
Adv. Technology Forestry & Agriculture	\$1,764,951	\$ (893,741)	\$ -	\$ (893,741)	\$ -	\$871,210	\$2,455,400	\$ (798,995)
Aquaculture & Marine Science	2,354,090	(1,072,229)	-	(1,072,229)	-	1,281,861	2,874,130	(892,904)
Biotechnology	1,285,268	(1,061,522)	-	(1,061,522)	-	223,746	1,517,752	(814,316)
Composites	1,628,070	144,607	-	144,607	-	1,772,677	2,275,448	66,559
Environmental	1,576,902	(383,676)	-	(383,676)	-	1,193,226	2,047,986	(175,715)
Information Technology	1,767,007	(719,912)	-	(719,912)	-	1,047,095	2,426,288	(580,300)
Precision Manufacturing	1,568,649	209,072	-	209,072	-	1,777,721	2,051,361	446,253
Cross Sector	1,318,663	(245,300)	-	(245,300)	-	1,073,363	1,237,413	(74,137)
<b>Total State Funding</b>	<b>\$13,263,600</b>	<b>\$ (4,022,701)</b>	<b>\$ -</b>	<b>\$ (4,022,701)</b>	<b>\$ -</b>	<b>\$9,240,899</b>	<b>\$16,885,778</b>	<b>\$ (2,823,555)</b>
UM Cost Sharing Funding <sup>2</sup>	6,903,424	-	-	-	-	6,903,424	-	-
<b>Total Funding</b>	<b>\$20,167,024</b>	<b>\$ (4,022,701)</b>	<b>\$ -</b>	<b>\$ (4,022,701)</b>	<b>\$ -</b>	<b>\$16,144,323</b>	<b>\$16,885,778</b>	<b>\$ (2,823,555)</b>

<sup>1</sup>Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).<sup>2</sup>Salary and benefits from University.

Targeted Research Area	Source of R&D Funds				Utilization of R&D Funds			Balance
	FY2021 R&D Initial Base Budget	Unused R&D Funds from Prior Years As Reported	Adjustment to Prior Years Unused R&D Funds	Adjusted Unused R&D Funds from Prior Years	FY2021 R&D Funding Transfers <sup>3</sup>	FY2021 Total R&D Funds Available	FY2021 R&D Actual Expenditures	
Forestry & Agriculture	\$629,054	\$152,543	\$ -	\$152,543	\$ -	\$781,597	\$497,681	\$150,611
Aquaculture & Marine	366,234	376,955	-	376,955	-	743,189	397,109	346,080
Biotechnology	207,920	44,411	-	44,411	16,642	268,973	229,439	39,534
Composites	-	-	-	-	-	-	21,059	(21,059)
Environmental	25,593	5,971	-	5,971	24,139	55,703	31,862	23,841
Information Technology	623,855	217,198	-	217,198	-	841,053	525,570	282,516
Precision Manufacturing	20,000	3,546	-	3,546	29,643	53,189	33,263	(74)
Cross Sector	1,443,244	206,604	-	206,604	-	1,649,848	1,213,766	431,687
Unassigned	-	337,864	-	337,864	(70,424)	267,440	-	267,440
<b>Total State Funding</b>	<b>\$3,315,900</b>	<b>\$1,345,092</b>	<b>\$ -</b>	<b>\$1,345,092</b>	<b>\$ -</b>	<b>\$4,660,992</b>	<b>\$2,949,749</b>	<b>\$1,520,576</b>

<sup>1</sup>Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).<sup>2</sup>At USM, projects are funded on a year to year basis with renewals contingent on performance. A majority of the unused funds carried forward into FY22 are committed to multi year projects.<sup>3</sup>Transfers for current year funding of USM R&D programs and awards from "Unassigned". UM base budgets the MEIF appropriation by sector and thus does not use funding transfers.

Table A2-4 Maine Economic Improvement Fund  
**FY2021 Summary Utilization of Operating Research Appropriation by University**

Targeted Research Area	Source of R&D Funds					Utilization of R&D Funds				Balance	
	FY2021 R&D Initial Base Budget	Unused R&D Funds from Prior Years As Reported	Adjustment to Prior Years Unused R&D Funds	Adjusted Unused R&D Funds from Prior Years	FY2021 R&D Funding Transfers <sup>3</sup>	FY2021 Total R&D Funds Available	FY2021 R&D Actual Expenditures	Transferred To Match Grants & Contracts	Transferred Between R&D Accounts <sup>2</sup>	Total R&D Funds Utilized	Unused Funds Carried Forward To FY2022 <sup>1</sup>
UMAINE	\$13,263,600	\$(4,022,701)	\$-	\$(4,022,701)	\$-	\$9,240,899	\$16,885,778	\$2,082,100	\$(6,903,424)	\$12,064,454	\$(2,823,555)
USM	3,315,900	1,345,092	-	1,345,092	-	4,660,992	2,949,749	190,667	-	3,140,416	1,520,576
UMM	250,000	98,896	-	98,896	250,000	598,896	313,375	-	-	313,375	285,521
UMFK	-	167,413	-	167,413	25,000	192,413	155,046	-	-	155,046	37,367
UMPI	-	9	-	9	168,474	168,483	-	-	-	-	168,483
UMA	-	1	-	1	25,000	25,001	-	-	-	-	25,001
UMF	-	308,186	-	308,186	-	308,186	156,184	-	-	156,184	152,002
UMS	520,500	(7,728)	-	(7,728)	(468,474)	44,298	-	-	-	-	44,298
MMA	-	216,793	-	216,793	-	216,793	79,310	-	-	79,310	137,483
Total State Funding	\$17,350,000	\$(1,894,039)	\$-	\$(1,894,039)	\$-	\$15,455,961	\$20,539,442	\$2,272,767	\$(6,903,424)	\$15,908,785	\$(452,824)

<sup>1</sup>Includes year-end equipment carry-over funds (equipment ordered, not received, and not paid).

<sup>2</sup>UM Cost Sharing.

<sup>3</sup>Inter-unit R&D funding transfers related to FY2021 MMA and Small Campus Initiative (SCI) awards.

DRAFT

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Vice Chancellor for  
Academic Affairs  
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Date: February 22, 2022

To: Dannel Malloy, Chancellor

University of Maine System (UMS)

From: Dr. Robert Placido, VCAA *RAP*

Regarding: UMPI Academic Program Elimination: BA, Art

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 attached a program elimination request from the University of Maine at Presque Isle (UMPI) to eliminate the Bachelor of Art in Art program. The attached material includes a 5-year enrollment summary, program faculty and course offering information, and rationale for the program elimination. With no students currently enrolled in the program, UMPI is proposing a continuation of the program suspension process approved in 2019, by eliminating the BA Art program while retaining the more desirable Bachelor of Fine Art degree.

The proposed UMPI program elimination was reviewed and recommended by the Chief Academic Officers Council (CAOC). The CAOC reviewed and recommended the proposal to me on February 17, 2022. I also recommend you approve the elimination of this program.

  
Chancellor Dannel Malloy

*2.22.22*  
Date

**Program Elimination Proposal  
University of Maine, Presque Isle  
Art, B.A.  
February, 2022**

a. A five-year summary of program enrollments (number of majors and number of graduates), course section enrollments, number of full-time faculty equivalents associated with the program, and budgets.

There are no full-time faculty equivalents associated with this program, and the only course (Art 499C) specifically associated with the program has not been run in the last 5 years. There is also no budget associated with this program (art supplies budget is generated through course fees). There have been zero graduates in the last five years, and the number of enrolled majors follows.

Headcount for Art, B.A. at fall census:

Fall 2017: 6

Fall 2018: 5

Fall 2019: 4

Fall 2020: 1

Fall 2021: 0

b. The specific rationale for the elimination of the program including an indication of the campus process used to reach the recommendation.

For many years there was an art program that included both a B.A. degree and a B.F.A. degree that shared many, but not all, courses. The B.F.A. degree is more desirable and marketable and thus we propose to eliminate the related B.A. degree. This began with suspension of the program in 2019 as a result of discussion between the program coordinator, the dean of the College of Arts and Sciences, and the provost. Now that there are no students enrolled in the B.A. we are ready to eliminate the program.

c. The relationship of the program elimination to the campus mission and to other programs on the campus.

There has been a longstanding art program at UMPI and this effort is part of a larger effort to maintain and bolster that program, by trimming unnecessary curricula. There is no effect on other programs on campus.

d. A plan for the retrenchment or reassignment of faculty.

There are no impacts on full-time faculty.

e. The impact of the program elimination on students.

Since we have suspended admissions to this program several years ago, there is no impact on students, since none are enrolled, with all legacy students having graduated or transferred to the BFA.

f. A timetable for the program elimination.

Eliminate in Spring, 2022 following UMS approval.

g. The input obtained from meeting and discussion with the Associated Faculties of the University of Maine System prior to completion of the proposal.

We discussed the proposal with UMPI AFUM Chapter President Jean Cashman and the fact that it would not impact any AFUM faculty; President Cashman indicated that AFUM did not have objections to the elimination of the program (with the understanding that the Bachelor of Fine Arts degree would continue). (email 1/26/2022)

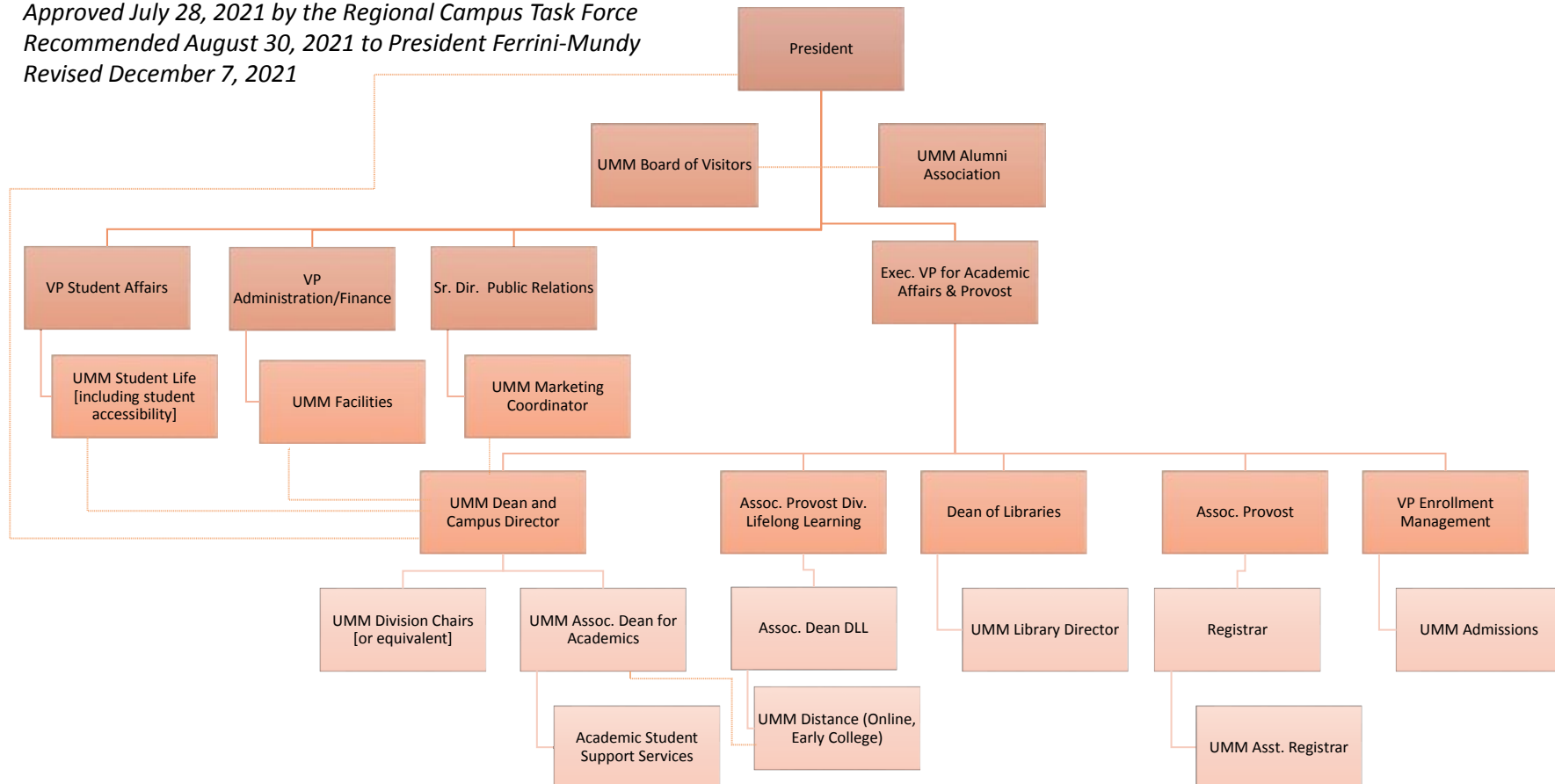
## UMaine/UMM

### Integrated Organizational Chart

*Approved July 28, 2021 by the Regional Campus Task Force*

*Recommended August 30, 2021 to President Ferrini-Mundy*

*Revised December 7, 2021*





Department of Engineering

11 December 2020

To:

Jeremy Qualls, Ph.D.

Dean, College of Science, Technology, and Health

University of Southern Maine

**Re: USM Engineering Autonomy**

Dear Dr. Qualls,

This letter is the result of internal discussions among the 8 members of the USM Department of Engineering full-time faculty, who unanimously endorse the following position as it pertains to the recent *Harold Alfond Foundation* gift to promote engineering education across the State of Maine. Unfortunately we are operating with very limited information, based exclusively on what is publicly available. With that in mind, the faculty favor that USM retains the authority to grant engineering degrees and has full autonomy over curriculum decisions and resource allocation. To that end, the faculty should remain affiliated with the University of Southern Maine as a unit of the College of Science, Technology, and Health. We urge the parties to involve us in any discussions that could result in any change of status of the Department of Engineering and its affiliation to USM.

The Department of Engineering was established as a unit of the University of Southern Maine in 1988 with the vision to serve the unique urban population of Greater Portland, providing quality engineers for the workforce in the center of the population and industry in the State of Maine – a need that was previously unmet. We have grown substantially, particularly since the Bachelor of Science in Mechanical Engineering degree program was added to the existing Bachelor of Science in Electrical Engineering degree program in 2006, resulting in an enrollment increase of 185% over the 13 years that followed.

Both programs are accredited by ABET and have received high praise during the last visit in 2015 – an exceptional distinction. Our 15-member Advisory Board is representative of the various companies that employ our graduates and they provide valuable input to our continuous improvement processes. The majority of our graduates are employed right here in southern Maine. Others are equally successful in graduate education and in high-technology companies throughout the country and the world. We are pursuing additional degrees and concentrations to promote growth and to strengthen our connections with the organizations that employ engineers in the State of Maine, which are concentrated in the area we serve.

The USM Department of Engineering collaborates significantly with our colleagues at the University of Maine, and has done so for 30 years. The transferability of students between the two institutions is in place and has worked well. Every student who wishes to transfer between USM and UMaine in either direction is supported with little or no disruption to their degree progress. Faculty regularly collaborate in grants and research projects. We jointly organize and deliver an expo that highlights and celebrates the work and the future of engineering to thousands of visitors every year.

We are excited about the vision being promoted alongside with the significant and generous gift of the *Harold Alfond Foundation* that targets engineering education statewide. It has been long recognized that Maine's demand for new engineers far outpaces the number of professionals that

**College of Science, Technology, and Health**

37 College Avenue, Gorham, ME 04038

(207) 780-5287, TTY (207) 780-5646 or 711, FAX (207) 780-5129

[usm.maine.edu/engineering](http://usm.maine.edu/engineering)

A member of the University of Maine System



Maine institutions graduate each year. Media releases indicate that there are two pieces to this vision, pertaining to graduate education and undergraduate education respectively. We look forward to participating in this new collaboration initiative between the two universities in the area of engineering graduate education based in Portland.

However, the approach of creating a multi-university College of Engineering, Computing and Information Science under the leadership of the University of Maine concerns us as it pertains to undergraduate education because we believe that preserving the autonomy of USM Engineering is in the best interest of the people of Maine and is the best way to manage a Portland-based engineering undergraduate education effort to address the shortage of engineers in the state. For that reason, **USM should retain the authority to grant engineering degrees and have full autonomy over curriculum decisions and resource allocation.** As a unit of USM, there are significant faculty governance issues with the prospect of the Department of Engineering moving to the control of the University of Maine. It would amount to the elimination of the USM engineering degree programs and the transfer of the entire budget, facilities and assets – including faculty and operation resources – to the University of Maine.

Our degrees are fully integrated with the general education curriculum of USM, and over 35% of the credits in our degrees is delivered by other USM units, such as mathematics, physics, chemistry, English, technology, theater, computer science, and others. Our schedules and course sequencing are intertwined and those relationships that are vital for a viable and vibrant program are the product of decades of collaboration. Disrupting those relationships will halt the growth that we anticipate for the coming years and will represent a net loss for the State of Maine. Our plans for additional degree programs will also be impacted. USM is uniquely positioned with the experience and expertise to serve the urban, place-bound, not-traditional student population of Greater Portland, which is essential to the mission of our department.

Unfortunately we are operating with very limited information, based exclusively on what is publicly available. Again, we urge the parties to involve us in any discussions that could result in any change of status of the Department of Engineering and its affiliation to USM.

Yours truly,



Carlos Lück, Ph. D.  
Associate Professor of Electrical Engineering and Department Chair  
(207) 780-5583  
[carlosl@maine.edu](mailto:carlosl@maine.edu)

cc: USM Engineering faculty



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March 23, 2021

TO: Members of the Board of Trustees

FR: Ellen N. Doughty, Clerk of the Board

RE: Notification of Board Actions

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

During a virtual Zoom meeting of the Board of Trustees on March 22, 2021, the Board approved the following actions:

**Appointment of James H. Page as Chancellor Emeritus**

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

**Diversity, Equity & Inclusion (DEI) Steering Committee Reinvigoration**

The Board of Trustees approved the following resolution as amended:

The Board of Trustees approved the Chancellor establishing a System-wide leadership Diversity, Equity and Inclusion Committee, which will report to the Chancellor and provide periodic updates to the Board of Trustees Human Resources and Labor Relations Committee and as appropriate to the Board of Trustees.

**Proposed Changes to Board of Trustees Policy 803 – Naming of Physical Facilities**

The Board of Trustees accepted the recommendation of the Finance, Facilities and Technology Committee and approved the proposed changes to Board of Trustees Policy 803 - *Naming of Physical Facilities*, as presented.

**UMS 2021 Tenure Nominations**

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

**Approval of the 2020 Maine Economic Investment Fund (MEIF) Report**

The Board of Trustees accepted the recommendation of the Finance, Facilities and Technology Committee and approved the 2020 Maine Economic Improvement Fund Annual Report as presented.

**Approval of the Board Meeting Calendar for FY2022 & FY2023**

The Board of Trustees approved the Board of Trustees meeting calendar for FY2022 and FY2023, as presented.

**Confirmation of Student Representatives to the Board of Trustees**

The Board of Trustees approved the appointments of the Student Representatives to the Board of Trustees as presented.

### **Formal Acceptance and Administration of Harold Alfond Foundation Grants**

In exercising its fiduciary governance responsibilities for the University of Maine System as the recipient of the Harold Alfond Foundation's gifts and grant investments, the Board of Trustees adopted the following resolution:

1. The University of Maine System Board of Trustees expresses its deep gratitude for and accepts the Harold Alfond Foundation's \$240 million grants to the University of Maine System, which provide unique and unprecedented opportunities for transformational change for the System as a whole.
2. System and university leadership will manage the \$240 million grants for student success and retention; Engineering, Computing, and Information Science; the Maine Center; and Division 1 athletics pursuant to the terms of the Harold Alfond Foundation grant agreements and all Board Policies and UMS Administrative Practice Letters that apply to the acceptance, implementation, administration, and reporting of such grants and the work undertaken to achieve the funded outcomes.
3. The \$150 million in grants for student success and retention; Engineering, Computing, and Information Science; and the Maine Center will be further administered by the principal investigator model customarily used to administer grants, as established by System and university leadership to manage these grants and track and report work undertaken for them. The Board of Trustees charges the Principal Investigators to execute the work, including through project leads and leadership teams, described in the Harold Alfond Foundation grant agreements according to the terms of this Resolution.
4. UMS will implement the funded initiatives to best serve students, advance the University of Maine System's existing strategic priorities and outcomes, and enhance UMS's role in improving civic and economic life in Maine through its teaching, research, and public service missions.
5. UMS will emphasize and prioritize diversity, equity and inclusion in all relevant aspects of implementing and scaling the funded initiatives.
6. Including through opportunities provided by unified accreditation, System leadership and the Principal Investigators will implement the funded initiatives so as to assure clear accountability for project management to achieve benchmarks, and to scale them and provide meaningful participation by all UMS universities and in all regions of the state as soon as practical.
7. In compliance with the University of Maine System's existing capital project planning and approval, financial, and budgetary policies, System and university leaders and the funded initiatives' Principal Investigators and leadership teams will coordinate annual project planning and funding and staffing needs with the Vice Chancellor for Finance and Administration and through the normal review processes of the Board's Finance, Facilities and Technology Committee to ensure cash flow, debt service and debt load undertaken in support of the funded initiatives align with existing and future budget procedures and priorities and ensure UMS fiscal stability.
8. System and university leaders will assure that the activities supported by the HAF grants are an integral component of the System's long-range plan and will provide regular updates to the Board's ASA and FFT Committees, and at least semi-annually to the full Board, on funded project outcomes, benchmarks, and fundraising, including progress toward match requirements.

### **CONSENT AGENDA**

#### **Acceptance of Minutes**

The following meeting minutes were approved as presented:

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

January 25, 2021 – Board of Trustees meeting

February 24, 2021 – Special Board of Trustees meeting

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

March 4, 2021 – Investment Committee meeting

The Board of Trustees reviewed the following agenda item as forwarded by the Finance, Facilities, & Technology Committee to the Consent Agenda from its meeting on March 3, 2021:

**Neville Hall Renovations, UM**

The Board of Trustees accepted the recommendation of the Finance, Facilities and Technology Committee, and authorized the University of Maine System acting through the University of Maine to expend up to \$1,500,000 of State Bond funds on the Neville Hall Renovations.

**Interim Financing Resolution**

The Board of Trustees accepted the recommendation of the Finance, Facilities and Technology Committee, and authorized the University of Maine System to finalize negotiations with and to execute a loan agreement with TDBank for short term capital financing needs.

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

The Board of Trustees accepted the recommendation of the Finance, Facilities and Technology Committee, and approved the Financing and Project Authorization resolution for the University of Maine Ferland Engineering, Education and Design Center project on the Orono campus with a maximum principal amount of debt of \$45,000,000.

Date of Next Meeting:

The next meeting of the Board of Trustees will be held on May 23-24, 2021.

cc:

Dannel Malloy, Chancellor

System Staff

Faculty & Student Representatives

University Presidents

Boards of Visitors

**Memorandum of Understanding Regarding Formation and  
Initial Governance of MCECIS**

This Memorandum of Understanding (MOU) among the undersigned Co-Principal Investigators of UMS TRANSFORMS, the Vice Chancellor for Strategic Initiatives and Chief Legal Officer, the President of the University of Maine, the President of the University of Southern Maine (USM), and the Chancellor of the University of Maine System (UMS) documents their agreement to the process and initial framework specified below regarding the basic structure, administration, and governance planned for the Harold Alfond Foundation-funded initiative to establish the Maine College of Engineering, Computing, and Information Science (MCECIS) and include the existing USM engineering programs.

This MOU is not a legal contract between USM and UMaine, as UMS universities do not have the legal capacity to contract between themselves. However, it is the intent and promise of the undersigned that these provisions be honored and presented to the UMS Board for approval following the process described below. The MOU remains subject to UMS Board Policy 309 and final review and approval of its relevant provisions by the UMS Board of Trustees.

*Process*

- This MOU will be submitted to the MCECIS Steering Committee and Faculty Senates at the University of Maine and University of Southern Maine, and to the UMS Faculty Governance Council for their final review and comment, which should be received no later than March 1, 2022. The MOU will be provided to AFUM at the same time. The framework further specified below, including as updated in the discretion of the Co-Principal Investigators, USM President, UMaine President, and UMS Chancellor based on input from the MCECIS Steering Committee and Faculty Senates pursuant to this paragraph, will thereafter be presented to the appropriate Board committee(s) and full UMS Board of Trustees for review and approval pursuant to UMS Board Policy 309 no later than May 2022.
- Although this MOU relates specifically to engineering, shared governance and administrative discussions related to the future relationship of UMaine's School of Computing and Information Science and other UMS university computer science and information science programs and departments to and within MCECIS are ongoing and will be addressed in supplements to this MOU, submitted for review and comment to the appropriate faculty shared governance bodies, and the UMS Board for review and approval.

*Initial MCECIS Administrative and Governance Framework for Engineering*

- The existing College of Engineering at the University of Maine will be renamed the Maine College of Engineering, Computing, and Information Science (MCECIS). The current USM engineering programs will participate in MCECIS as both a USM degree-granting academic department administratively housed within USM as well as a division of engineering within MCECIS, with coordination between the head of USM engineering programs and their counterpart UMaine programs, as explained further below. The USM Engineering programs within MCECIS will be known as the USM Division of Engineering.

- USM will continue to be the “home University” of USM engineering faculty with appointments in the USM Division of Engineering in MCECIS. This provision does not restrict future collaborative faculty appointments within MCECIS or between universities participating in MCECIS.
- Students who complete the degree requirements for any of USM’s engineering degree programs in MCECIS will be awarded degrees in the name of USM (or any successor name of the university). This provision does not restrict (i) the development of future collaborative engineering degree opportunities within MCECIS or between universities participating in MCECIS or (ii) USM students from electing to complete degree requirements for other degrees in other MCECIS programs that exist at its initiation or are established later.
- The MCECIS Dean will have primary administrative responsibility for MCECIS. The head of the USM Division of Engineering in MCECIS and the appropriate chairs of counterpart engineering programs at UMaine will coordinate closely regarding MCECIS departmental and program curricular matters, future MCECIS faculty hires in engineering, research, public service and outreach, and related matters affecting MCECIS, with the goal being to build forward-looking and innovative program options, achieve strategic complementarity and avoid unnecessary duplication. The head of the USM Division of Engineering in MCECIS will continue to report through USM’s existing academic organizational chart and also be a full member of the MCECIS executive committee, which will be convened by the MCECIS Dean for the purposes of administration and coordination within the college.
- Plans for programmatic coordination and collaboration within MCECIS will build on the UMS Academic Program Review and Integration Process (APRIP) Engineering Team report recommendations from 2015 and the February 2018 report titled “Growing Engineering to Grow Maine’s Economy: Five-Year Plan to Build Up Engineering in the University of Maine System.”
- Subject to UMS Board, university, and college policies, at the formation of MCECIS USM engineering faculty will retain primary control of USM engineering curriculum, as is customary for academic departments. It is expected that USM engineering degree programs will maintain ABET accreditation independently. Engineering, computing, and information sciences curricular committees will be convened by the MCECIS Dean in consultation with the Dean of Science, Technology, and Health (CSTH) at USM, and others as appropriate, to coordinate both distinct and collaborative academic offerings by and among UMS universities participating in MCECIS in the future, with a goal of meeting the engineering, computing, and information science needs of the Maine economy, maximizing strengths and efficiencies and reducing unnecessary future duplication in and between USM and UMaine and other System universities.
- Review of engineering and computing facilities will be undertaken at both universities for consideration of implementation of MCECIS plans and for growth of the production of engineers and computer and information scientists. This review will form the basis, together with the established goals and vision of MCECIS and UMS capital infrastructure needs generally, for future facilities renovation and planning at both universities. Future capital projects will include renovation/replacement of UMaine’s Boardman, Barrows, Jenness, and Crosby halls, future expansions to accommodate growth, and consideration for renovation as well as of USM’s John Mitchell Center and other USM facilities deemed important to MCECIS’s future.

- As of the signing of this specific MOU, spring 2022 UMS Board review and action on the plans described in this MOU is not yet expected to include integration of UMaine's School of Computing and Information Science and other UMS computing and information sciences programs, since planning for those matters continues through the UMS TRANSFORMS MCECIS steering and working committees. Additional MOUs and a process similar to that followed for MCECIS engineering will be developed for computing and information sciences about how these areas will be coordinated and/or integrated with MCECIS.

*Effective Term*

- The terms in this MOU are intended to apply to the formation and initial operation of MCECIS with respect to the USM Division of Engineering and the renaming of UMaine's College of Engineering to become and operate thereafter as MCECIS. The programs, administration and governance of MCECIS will be reviewed and subject to future evolution under UMS Board Policy 309 no later than three years after this MOU is signed, or sooner upon the Chancellor's request.

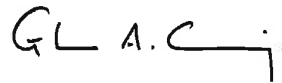
The substance of this MOU was first communicated to the faculty of the USM Department of Engineering on May 19, 2021 by:

Glenn Cummings, President, University of Southern Maine



Joan Ferrini-Mundy, President, University of Maine

James Thelen, University of Maine System Vice Chancellor for Strategic Initiatives and Chief Legal Officer

Agreed to by:

  
Dannel P. Malloy, Chancellor, UMS

Glenn Cummings, President, USM

  
Joan Ferrini-Mundy, President, UMaine and  
Vice Chancellor for Research and Innovation  
Co-Principal Investigator, UMS TRANSFORMS  
James B. Thelen, Vice Chancellor for Strategic  
Initiatives and Chief Legal Officer  
Co-Principal Investigator, UMS TRANSFORMS



10 February 2022

To the USM Faculty Senate and the USM AFUM leadership,

The USM Department of Engineering received a copy of the *Memorandum of Understanding Regarding Formation and Initial Governance of MCECIS* (the "MOU") that was signed in January of 2022 (no exact date provided). As a department, we have not been asked to review and comment on it, but the USM Faculty Senate and AFUM have been. Therefore, our faculty have considered and unanimously approved the following statement for your appreciation.

Ever since the announcement of the HAF generous gift as a driver to the UMS Transforms initiative was made public in the fall of 2020, there have been questions about the nature of this new proposed college, in particular as it pertains to the autonomy of the USM Engineering programs. In an effort to bring clarity and state the position of the USM Department of Engineering, we submitted a letter on December 11, 2020. In it we stated that we believe to be in the best interest of USM in service to the people of Maine that we remain a unit of USM, following its organizational structure. The substance of the letter remains true today.

As this new MOU has emerged, we have the following additional observations to make:

1. This MOU, just like the substance of the May 19, 2021 meeting referenced in its last sentence, was merely communicated to the USM Engineering Department. We were not a party to the drafting of either document nor were we asked to endorse them.
2. As a unit of USM, Engineering is under the shared governance of the USM Faculty and we affirm that it should remain that way, retaining full control over its curricula, assets and all personnel issues from hiring through tenure and promotion. Any organizational model to leverage collaborations with USM Engineering should respect that governance and not subject the Department to the governance of another university.
3. Our faculty operate under the AFUM Collective Bargaining Agreement (CBA), which specifies in its Article 7 that "Cooperating Departments" is the vehicle through which units of different universities may collaborate. We affirm that any agreement prescribing a relationship between USM Engineering and a unit of another university in the system should be in harmony with the CBA.

Respectfully submitted,

A handwritten signature in blue ink that reads "Carlos Lück".

Carlos Lück, Ph. D.  
Associate Professor of Electrical Engineering and Department Chair  
(207) 780-5583  
[carlosl@maine.edu](mailto:carlosl@maine.edu)

**College of Science, Technology, and Health**

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A member of the University of Maine System



### **USM Faculty Senate Resolution on the Status of MOUs**

Whereas the mechanism of a “Memorandum of Understanding” (MOU), such as the one establishing a Maine College of Engineering and Computer Information Systems (MCECIS), is being used to outline a potential administrative structure that will shape curriculum, which is under the purview of the faculty owing to their expertise and the standards of their profession;

Whereas all matters curricular are properly referred to the University of Southern Maine Faculty Senate as outlined in Article IV, Section A, Sub-section 1 of the Governance Document of the University of Southern Maine and affirmed by the Chancellor when he writes, “Among the best of traditions in higher education are shared governance and transparency. They are principles that we strive for in doing our work, and in working together”;

Whereas this jurisdiction is also reflected in the collective bargaining “Agreement between the University of Maine System and Associated Faculties of the Universities of Maine” (“Agreement”), in Article 7, Section A.7, ‘Cooperating Departments’” and affirmed throughout that document as a basic principle of shared governance;

Whereas this MOU presents the creation of a new college, which must receive the support of a vote by the Faculty Senates of The University of Maine and the University of Southern Maine;

Whereas the proper mechanism for establishing new programs across universities within the University of Maine System is the already-existing model of “Cooperating Departments” outlined in the “Agreement”;

Whereas all curricular changes should originate in a perceived need or opportunity for students that comes from faculty, who work with students and know them best;

Whereas philanthropically-driven curricular change, even when it comes with the best of intentions, is patently in violation of faculty oversight;

Whereas the Department of Engineering faculty have expressly stated that they do not wish to contradict the “Cooperating Departments” section of the “Agreement”;

Whereas the University of Maine System has yet to work out a basic mechanism for allowing universities within the System to share programs, including financial aid, course credit, credit transfer, technological infrastructure, equivalent faculty pay scales, governance, curricular approval, housing, transportation, and the myriad of other practical challenges that have never been solved or negotiated;

Whereas a “Memorandum of Understanding” is, as stated within the text of the “Memorandum” itself, non-binding and extra-legal;

Whereas universities within the System are independent entities that exist with their own faculties, governance documents, policies, and autonomy;

Whereas no one university should be allowed to take control of or subsume the programs, reporting structure, or curricular functions of another university within the University of Maine System;

*Resolved*, that the Faculty Senate rejects this and all MOUs meant to establish or re-negotiate administrative or curricular structures between USM and universities within the University of Maine System unless they follow the “Cooperating Departments” section of the AFUM contract. That agreement allows for cooperation, equivalent representation among the faculties involved, and a clear process to follow as explained in the governance documents of the universities, AFUM, and the Board’s own policies.

Vote: 16-1-4 [76%-5%-19%]

Transmitted to UMS February 12, 2022

**COVER MEMO TO USM FACULTY SENATE RESOLUTION**

TO: UMS Faculty Governance Council  
UMS Chief Academic Officers

CC: Robert Placido, UMS Vice Chancellor for Academic Affairs  
Carolyn Dorsey, UMS Assc Vice Chancellor for Academic Affairs  
Jeff St. John, UMS Assc Vice Chancellor for Accreditation and Strategic Initiatives  
Professor Shelton Waldrep, President, USM Faculty Senate  
UMS Presidents

FROM: Jim Thelen, UMS Vice Chancellor for Strategic Initiatives and Chief Legal Officer

RE: Explanatory Notes Regarding USM Faculty Senate “Resolution on the Status of MOUs” (February 11, 2022)

DATE: February 15, 2022

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On February 12, 2022, USM Faculty Senate President Shelton Waldrep emailed to me the following “Resolution on the Status of MOUs” (“Resolution”), which was adopted by the USM Faculty Senate on February 11, 2022 according to the vote noted at the end of the document. The Resolution was apparently provided as the USM Faculty Senate’s response to their review of a January 2022 “Memorandum of Understanding Regarding Formation and Initial Governance of MCECIS” (“MOU”), the latter of which documents an agreement between the Co-Principal Investigators of the UMS TRANSFORMS MCECIS grant initiative, the President of USM and the UMS Chancellor about the basic administrative arrangements for USM’s engineering programs to initially participate in MCECIS when it is formed.

Of particular note, USM engineering faculty specifically requested that the Chancellor commit in a written MOU that USM’s engineering programs could participate in MCECIS without losing the authority to issue engineering degrees in USM’s name and to maintain primary control over the curriculum of its engineering programs. The MOU addresses both points.

As provided in the MOU, the MCECIS Steering Committee, UMaine and USM Faculty Senates, the UMS Faculty Governance Council, and AFUM were all invited to review and comment on the MOU. The UMaine Faculty Senate briefly reviewed but did not provide any comment on or concerns about the MOU. The Resolution below has been offered as the response of the USM Faculty Senate.

Notes are offered beginning on the next page in **blue** to the statements adopted in the Resolution.

## Resolution on the Status of MOUs

Whereas the mechanism of a “Memorandum of Understanding” (MOU), such as the one establishing a Maine College of Engineering and Computer Information Systems (MCECIS), is being used to outline a potential administrative structure that will shape curriculum, which is under the purview of the faculty owing to their expertise and the standards of their profession;

**NOTE: The MOU, at p 2, provides that USM engineering faculty will retain primary control of USM engineering curriculum. The MOU further provides that the MCECIS Dean and USM CSTH Dean will coordinate distinct and collaborative programmatic offerings between the participating engineering programs from USM and UMaine.**

Whereas all matters curricular are properly referred to the University of Southern Maine Faculty Senate as outlined in Article IV, Section A, Sub-section 1 of the Governance Document of the University of Southern Maine and affirmed by the Chancellor when he writes, “Among the best of traditions in higher education are shared governance and transparency. They are principles that we strive for in doing our work, and in working together”;

**NOTE: This is in keeping with the UMS Statement on Shared Governance.**

Whereas this jurisdiction is also reflected in the collective bargaining “Agreement between the University of Maine System and Associated Faculties of the Universities of Maine” (“Agreement”), in Article 7, Section A.7, ‘Cooperating Departments’ and affirmed throughout that document as a basic principle of shared governance;

**NOTE: The AFUM contract provision on “Cooperating Departments” is not a provision of shared governance; it is a collectively-bargained provision that states the terms and conditions of employment that will be followed when faculty from one university teach a course that is used by another university for the second university’s academic program.**

Whereas this MOU presents the creation of a new college, which must receive the support of a vote by the Faculty Senates of The University of Maine and the University of Southern Maine;

**NOTE: UMS Board Policy 309 gives the Board final authority – and requires Board approval – to establish a new college within the System (typically on recommendation from a university president to the Chancellor and then to the Board).**

**The UMS Statement on Shared Governance provides UMS faculty (generally through their senates) the opportunity to review and provide input and recommendations on a proposal to establish a new college, rename an existing college, or reorganize an existing college. While faculty review and recommendations on such proposals are**

**therefore a critical element of such a proposal, the Board may approve the renaming, establishment, or reorganization even if the faculty senate(s) do not support the proposal.**

Whereas the proper mechanism for establishing new programs across universities within the University of Maine System is the already-existing model of “Cooperating Departments” outlined in the “Agreement”;

**NOTE: This is not accurate. The Cooperating Departments provision in the AFUM contract does not restrict UMS from adopting other academic collaboration models, and there are several examples of already-existing successful academic program collaborations different than the Cooperating Departments model (and that pre-date the Cooperating Departments provision in the AFUM contract). Faculty senates may recommend that a cooperating department model be used for academic programs that share courses and faculty between two or more universities, and the Board (under Board Policy 305) may adopt that model or another.**

Whereas all curricular changes should originate in a perceived need or opportunity for students that comes from faculty, who work with students and know them best;

**NOTE: While primary responsibility for curricular change rests with faculty, it is not exclusively so. UMS Board policy also empowers the Chief Academic Officers Council, the Vice Chancellor for Academic Affairs, and the Chancellor to propose curricular or academic program changes as well, with faculty senates still having important shared governance roles to play in such instances. But it is not true that curricular change cannot occur unless originated by a university’s faculty senate.**

Whereas philanthropically-driven curricular change, even when it comes with the best of intentions, is patently in violation of faculty oversight;

**NOTE: Faculty have the same shared governance rights with respect to “philanthropically-driven curricular change” as they would for any other curricular change, as do the Chief Academic Officers Council, the Vice Chancellor for Academic Affairs, and the Chancellor.**

Whereas the Department of Engineering faculty have expressly stated that they do not wish to contradict the “Cooperating Departments” section of the “Agreement”;

**NOTE: The USM Department of Engineering faculty’s December 11, 2020 and February 10, 2022 letters of preference will be provided to the UMS Board, along with this Resolution, when the Board is asked to act on any academic program or college proposal regarding this matter.**

Whereas the University of Maine System has yet to work out a basic mechanism for allowing universities within the System to share programs, including financial aid, course credit,

credit transfer, technological infrastructure, equivalent faculty pay scales, governance, curricular approval, housing, transportation, and the myriad of other practical challenges that have never been solved or negotiated;

**NOTE: As a general matter, the conclusion stated is not accurate and otherwise does not state any concerns regarding the specific matters covered in the MOU.**

Whereas a “Memorandum of Understanding” is, as stated within the text of the “Memorandum” itself, non-binding and extra-legal;

**NOTE: The MOU states that it is not a legally binding contract, but it nevertheless documents the express commitment of its signers to its terms.**

Whereas universities within the System are independent entities that exist with their own faculties, governance documents, policies, and autonomy;

**NOTE: This is a fundamentally inaccurate statement. The University of Maine System is a single public entity and instrumentality of the State of Maine that consists of the seven named universities. No university is completely autonomous or independent in and relative to the System; the System’s legal Charter provides that all universities are subject to the limits defined by the UMS Board and Chancellor. That said, universities are expected to maintain local control over their budgets and the academic programs they offer, which is recognized in the Guiding Principles of unified accreditation. The stated public policy and purpose of the University of Maine System is to unite Maine’s public universities to work in concert together to meet the System’s overall teaching, research, and public service mission to the State of Maine.**

Whereas no one university should be allowed to take control of or subsume the programs, reporting structure, or curricular functions of another university within the University of Maine System;

**NOTE: No university may do so of its own accord. The University of Maine System Board of Trustees has a fiduciary responsibility to the State of Maine, however, to “[p]lan strategies for programs and allocation of resources that most effectively serve the educational needs of the citizens of this State.” (UMS Charter, §4-B(1)(E))**

**Further, the Chancellor has the authority and responsibility to “[p]romote system planning, in collaboration with university presidents, for academic affairs, ... financial operations, capital plans and resource allocations” and “[c]oordinate University of Maine System academic offerings to avoid duplication with private and public institutions in this State ...” (UMS Charter, §4-B(2)(C), (H))**

*Resolved*, that the Faculty Senate rejects this and all MOUs meant to establish or re-negotiate administrative or curricular structures between USM and universities within the University of Maine System unless they follow the “Cooperating Departments” section

of the AFUM contract. That agreement allows for cooperation, equivalent representation among the faculties involved, and a clear process to follow as explained in the governance documents of the universities, AFUM, and the Board's own policies.

**NOTE: The Resolution states the general objection of the USM Faculty Senate to the MCECIS MOU for the reason stated above, and it will be shared with the UMS Board when a MCECIS MOU proposal is advanced. Unfortunately, the Resolution fails to provide any substantive comment or recommendation on any specific issue addressed in the MOU or acknowledge that USM Engineering faculty specifically asked the Chancellor to prepare it.**

Vote: 16-1-4 [76%-5%-19%]

February 23, 2022

Dear Mr. Thelen:

The University of Southern Maine's Faculty Senate is in receipt of your response to the Faculty Senate's resolution on the proposed MOU regarding collaboration of USM's Engineering Department with the University of Maine's College of Engineering. The Senate reiterates its role and responsibility in approving curriculum changes, especially one of this magnitude that could establish a model for collaboration going forward. While the System may wish to grow the number of majors within a subject area, it is the curricular responsibility of the faculty to manage programs for reasons of academic quality in concert with the best interests of current and future students. When these goals conflict with the System's, shared governance dictates that these decisions belong to the faculty due to their academic expertise. Likewise, any curricular pressures that come from an outside source should not be accorded undue influence in decisions made, again, by faculty in the interests of the students who study with them.

The Senate supports academic collaborations across universities but insists that those opportunities be vetted by the faculty, not administrators or outside parties who hope to shape programs for their own reasons. Although USM is one of seven universities in the System, it has its own faculty senate and governance, neither of which is trumped by the desires of a System office, no matter how inconvenient that office may see the process of shared governance. Absorbing USM's Engineering Department into UM's College of Engineering, and then changing the name of that college, is nothing less than absorbing USM's Engineering Department into the University of Maine, something that has already happened with our MBA to the detriment of USM and to the program's students, most of whom take no face-to-face classes and have only minimal engagement with any Business faculty at UM or USM.

Despite the merits of your memo, the fact remains that the USM Faculty Senate, in properly exercising its academic authority, voted to reject a similar change to our Engineering Department. However, we did indicate that a proper and available way forward is to utilize the existing process of "cooperating departments," which would be welcomed by the USM Engineering Department as well. Given the fact that the USM Faculty Senate, AFUM, and the MCECIS steering committee all agree to use the "cooperating departments" article of the Collective Bargaining Agreement, we suggest that the System put forward a revised UM/USM MOU on this matter with the explicit plan to utilize the "cooperating departments" model. If that provision can be held in place, as well as other updates in the "January 2022" memo, the USM Faculty Senate could endorse this structural change with the understanding that "cooperating departments" would become the norm for collaboration between universities within the System now and moving forward. In order to function with one unified accreditation, it is paramount that all universities within the system work together with the same rules in place for how faculties can work together.

Sincerely,

Members of the Executive Committee of the USM Faculty Senate





***Associated Faculties of the Universities of Maine***

On January 31, 2022 UMS informed AFUM that the MCECIS Steering Committee invited review of UMS proposed MCECIS structure by March 1 from UM & USM Senates, the FGC, and AFUM.

It was with concern that we read the plans to house USM engineering as a “division” within a UMaine College. As we are all aware, there is no provision for such an arrangement in the CBA. Since the Initial Governance MOU fails to define terms we will take the most obvious meaning that the intent is to make USM faculty “joint appointments” between UM & USM. As UMS is well aware the contract does not provide for such an arrangement. Furthermore, AFUM has repeatedly and thoughtfully rejected UMS proposals to allow such joint appointments across Universities.

It is a serious issue that UMS continues to propose a structure that violates the CBA and will result in an appropriate AFUM response. It is also serious that the concerns of our USM colleagues are ignored by this proposed structure.

There are two connected issues worth addressing at this time.

1: As UMS knows, AFUM developed the concept of Cooperating Departments to allow for cooperation between academic departments between UMS Universities. It was designed from the ground up to be consistent with academic principles, maintain academic integrity and quality while increasing the value of all participating Universities.

Instead of celebrating this unique and innovative way for departments to work together, the UMS response has been to consistently minimize and undermine Cooperating Departments.

One of the ways UMS seeks to undermine Cooperating Departments is to misrepresent past and ongoing cross-university initiatives to the Board. A review of these programs, with UMS having no information on many of them, is that most are very routine agreements. Others are clearly ad hoc with little indication of meeting contractual or governance requirements.

We urge the Board, and the FGC, to do a comprehensive review of all such programs UMS is using as a sign of success of collaboration since Unified Accreditation.

We also urge the Board, System leadership, and the Steering Committee to recognize that Cooperative Departments provides a mutually approved and defined structure for collaboration across the Universities.

2: Universities are rather unique structures. Shared Governance is not just a box to be checked. It is with considerable concern that we point out what should be obvious to all; the nature of the agreement between UMS & the Alford Foundation is a direct threat to shared governance.

It is entirely appropriate for the Foundation to assist us to meet the challenges our State faces. Yet, it is highly inappropriate for the Foundation and a few System Leaders to predetermine the structures we decide upon to best meet these challenges. When UMS signs such an inappropriate agreement it sends a clear signal that academic governance's role is to rubber stamp the agreement or to be run over.

No agreement between UMS & the Foundation provides a justification to violate the CBA or collective bargaining requirements.

In summary,  
UMS should:

- 1) fully embrace Cooperating Departments for MCECIS,
- 2) review existing cross-campus collaborations,
- 3) engage in a review of working in the true spirit of Shared Governance and Collective Bargaining in this and future endeavors.

In solidarity,  
The Executive Committee of Associated Faculties of the University of Maine

***Our Union, Our Voice***

[AFUMPresident@gmail.com](mailto:AFUMPresident@gmail.com)

[Online: afum.info](http://afum.info)



James Thelen <james.thelen@maine.edu>

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## MCECIS MOU and background materials

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William Nichols <william.nichols1@maine.edu>

Wed, Feb 16, 2022 at 11:08 AM

To: Jim Thelen <james.thelen@maine.edu>, John Volin <john.volin@maine.edu>

Dear Jim,

The Faculty Senate at the University of Maine shared the email below with Provost Volin last week. We discussed this at the senate and our executive committee meeting and had no objections to the MOU. You will see Dave Townsend's response as chair of the PCRRC, which simply indicates at this time we have no concerns regarding MOU. We will go through our normal process when intent to plan and official plans make it to our appropriate Senate committees. I hope this helps.

Dee

**To:** William (Dee) Nichols, President, University of Maine Faculty Senate

**Re:** Request to review attached MOU on the MCECIS

**Distr:** Michael Grillo, Mike Scott, Amanda Klemmer

**Date:** February 3, 2022

Dear Dee:

I am writing to respond to your request that I convene the PCRRC (the Faculty Senate's *"The Program Creation and Reorganization Review Committee"*, which I chair) in order to formally review the attached Memorandum, entitled: *"Memorandum of Understanding Regarding Formation and Initial Governance of MCECIS"*. (The MCECIS being a possible future, multi-campus college, the "Maine College of Engineering, Computing, and Information Science".)

As you know, and as we have discussed in recent meetings of Elected Senators and the Senate Executive Committee, the function of the PCRRC is defined as: *"The Program Creation and Reorganization Review Committee (PCRRC) has the responsibility to receive and review proposals for the creation, elimination and reorganization of academic programs. [emphasis added]. After the information is gathered and evaluated, the committee will present a recommendation to the faculty senate for its approval."* As such, I do not see how we can offer a review of the referenced document, as it is clearly a "memorandum of understanding" (MOU), not a proposal or an Intent to Plan. The MOU specifically and narrowly concerns an agreement reached among UM System Chancellor Malloy, Vice Chancellor Thelen, and University

Presidents Ferrini-Mundy and Cummings, which describes an "Initial Administrative and Governance for Engineering".

Finally, if useful to the administration(s), we are of course happy to participate in any discussions of these matters.

Sincerely,

David Townsend  
Professor of Oceanography, and  
PCRRC Chair

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David W. Townsend, Ph.D.  
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School of Marine Sciences  
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[Quoted text hidden]

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**UMS Explanatory Notes to AFUM Response regarding MCECIS MOU**

**AFUM: It was with concern that we read the plans to house USM engineering as a “division” within a UMaine College.**

*UMS: The AFUM statement here does not accurately characterize the clear language of the MOU. The MOU states:*

*The current USM engineering programs will participate in MCECIS as both a USM degree-granting academic department **administratively housed within USM** as well as a division of engineering within MCECIS ... [emphasis added]*

**AFUM: As we are all aware, there is no provision for such an arrangement in the CBA.**

*UMS: AFUM is correct. There is no provision in the AFUM CBA regarding – or for that matter restricting – the UMS Board’s authority under Board Policy 309 to organize or re-organize academic units within UMS. Specific to the MCECIS initiative, the AFUM CBA does not in any way restrict the ability or authority of UMS, through UMaine and USM, to establish the MCECIS unit at UMaine and establish the relationship that USM’s department of engineering will have to MCECIS while retaining the ability to grant USM degrees and remaining administratively governed by USM.*

**AFUM: Since the Initial Governance MOU fails to define terms we will take the most obvious meaning that the intent is to make USM faculty “joint appointments” between UM & USM.**

*UMS: The AFUM statement here does not accurately characterize the clear language of the MOU. The MOU states:*

*USM will continue to be the “home University” of USM engineering faculty with appointments in the USM Division of Engineering in MCECIS.*

**AFUM: As UMS is well aware the contract does not provide for such an arrangement.**

*UMS: It is not clear to what “arrangement” AFUM may be objecting. If the arrangement at issue is the possibility of joint faculty appointments between UMaine and USM (or between other UMS universities, for that matter), AFUM fails to acknowledge that Article 7(A)(6) the CBA expressly provides for joint faculty appointments:*

*Faculty may receive an appointment with funding and / or responsibilities in more than one department, division or other appropriate unit. Such appointments shall be called Joint Appointments.*

*The AFUM CBA expressly permits joint faculty appointments, and does not in any way restrict them between universities.*

**AFUM: Furthermore, AFUM has repeatedly and thoughtfully rejected UMS proposals to allow such joint appointments across Universities.**

*UMS: This is not true. Joint faculty appointments exist between UMaine and UMPI.*

**AFUM: It is a serious issue that UMS continues to propose a structure that violates the CBA and will result in an appropriate AFUM response.**

*UMS: UMS respects its collective bargaining obligations and will consider any accurate claim from AFUM that its actions do not comply with the AFUM CBA. No such claims have been made here.*

**AFUM: It is also serious that the concerns of our USM colleagues are ignored by this proposed structure.**

*UMS: The substance of the MCECIS MOU, including USM engineering's relationship to MCECIS, was prepared and agreed to at the specific request of USM engineering faculty and USM academic leadership. Neither the AFUM response here, nor the separate USM Faculty Senate objections, state any valid objection or directly address the substance of the MCECIS MOU.*

**AFUM: Shared Governance is not just a box to be checked. It is with considerable concern that we point out what should be obvious to all; the nature of the agreement between UMS & the Alford Foundation is a direct threat to shared governance.**

*UMS: To the contrary, AFUM has not identified any UMS action that violates the UMS Board's Statement of Shared Governance. Moreover, the UMS-Harold Alford Foundation October 2020 grant agreement expressly provides that MCECIS will be formed "following applicable UMS Board and shared governance policies ..."*

*Specifically, the UMS Board recognizes that faculty are to have critical roles and input in developing curriculum and academic policy, faculty selection and peer review/promotion and tenure, as well as input on academic administrator selection processes, budgeting and strategic planning, all provided for as follows:*

*Faculty have a critical role in fundamental areas such as curriculum, instruction, research and student life. Faculty engagement in these areas is important to assure the competence and quality of university graduates. Faculty participate in the selection and review of their peers, including recommendations for appointment, reappointment, promotion and tenure, in accordance with the boundaries of the collective bargaining agreement.*

*Faculty also participate in the selection process for academic administrators.*

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

See [UMS Statement on Shared Governance](#) (March 23, 2007).

*UMS's commitment to shared governance also meets NECHE's internal governance accreditation standards regarding the role of faculty in an accredited institution of higher education. By those standards, which UMS embraces at both the university and System level in our unified accreditation environment, faculty:*

- *Have "primary responsibility for the content, quality, and effectiveness of the curriculum" and a "substantive voice in matters of educational programs, faculty personnel, and other aspects of institutional policy that relate to their areas of responsibility and expertise";*
- *Are to be "consult[ed]" by the accredited institution's chief executive officer – here, the UMS Chancellor – and senior administrators, who are to be "appropriately responsive to their concerns, needs, and initiatives"; and*
- *Share "responsibil[ity] for the quality of the [institution's] academic program" in "concert with" the accredited institution's chief academic officer – here, the UMS Vice Chancellor for Academic Affairs.*

See NECHE Standards for Accreditation, [Standard Three](#) (Numbered Paragraphs 3.13-3.15).

*In summary, then, and most importantly, honoring shared governance requires seeking faculty input for consideration before the Board exercises its various governance authority to authorize, eliminate, or reorganize academic programs or units within and across UMS. Respect for shared governance does not restrict or constrain the Board's authority under its Charter and Board policies to do these things, and does not provide faculty or faculty bodies autonomy, independence, or final decision-making authority in these matters.*

**AFUM: No agreement between UMS [and] the [Harold Alfond] Foundation provides a justification to violate the CBA or collective bargaining requirements.**

*UMS: UMS respects its collective bargaining obligations and will consider any accurate claim from AFUM that its actions do not comply with the AFUM CBA. No such claims have been made here.*

**AFUM: In summary, UMS should:**

- 1) fully embrace Cooperating Departments for MCECIS,**
- 2) review existing cross-campus collaborations,**
- 3) engage in a review of working in the true spirit of Shared Governance and Collective Bargaining in this and future endeavors.**

*UMS: UMS respects its collective bargaining obligations and will consider any accurate claim from AFUM that its actions do not comply with the AFUM CBA. No such claims have been made here. The AFUM contract provision regarding Cooperating Departments does not restrict the*

*Board's authority, under Board Policy 309, to implement MCECIS on the basis of what is proposed in the MCECIS MOU.*

*AFUM suggests that the 2019-2021 AFUM contract's provision on "Cooperating Departments" is the only academic model that may be used when two or more universities within UMS collaboratively offer an academic program. This is incorrect.*

*The "Cooperating Departments" provisions in Article 7 of the AFUM contract are triggered only if two universities – through shared governance engagement with the relevant faculty and appropriate review and approval through applicable System policies – decide that courses taught by faculty in a program offered fully by the first university will be used in the second university's degree program. In that limited situation, Article 7 of the AFUM contract sets a threshold for the percentage of courses that AFUM faculty will teach, confirms that faculty remain "fully a member of the academic unit on their home campus," and provides a process for faculty credential and peer review for faculty whose courses are included in another university's academic program. It does nothing more. Article 7 does not restrict other forms or models of academic governance that collaboration between two or more universities might take to offer a single academic program with faculty and courses combined from these universities. That is a matter for shared governance engagement between faculty, their senates, university CAOs, and university and System leaders, with the Board retaining its full authority under its Charter and Board policy to authorize, eliminate, or reorganize academic programs or units within and across UMS.*



## **University of Maine System**

### **Board of Trustees**

#### **Statement on Shared Governance**

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

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

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

#### **Creating an atmosphere that fosters trust:**

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

#### **Enhancing communication and participation:**

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

#### **Encouraging participation and efficiency:**

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

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

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

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

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

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

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

## **Policy**

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

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

## Capital Projects Status Report

### Executive Summary

#### Overview:

Attached is the Capital Project Status Report for the March 28, 2022, Board of Trustees meeting. The report reflects a total of 26 projects. Four projects: USM's IPE Lab and Dubyak Center; UM's Priority 1 Athletics Fields; and UMF's 274 Front Street Renovation, were added as of this report and one project was removed: UM's ASCC W2 Expansion and Equipment project. Note that the projects highlighted in yellow reflect current P3 projects. Additionally, projects which are at Board approval level utilizing Harold Alfond Foundation (HAF) grant and matching money are highlighted in green. HAF projects below Board approval level are noted in a separate table at the end of the report as well.

While the number of Board approved projects has remained in the range of about 20 for the past few years, the total dollar value of these approved projects, at over \$250 million, has increased nearly four times over the past two years.

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

Projects continue to move forward however, impacts continue.

- Previously reported impacts continue to be relevant.
  - Various material shortages and delays continue along with labor shortages in many construction trades, causing schedule and cost impacts to our projects.
  - Inflation and cost escalation over the past year has been much higher than the norm, in most cases accounting for increases of over 20%.

#### Bond Project Status Report:

The special portion of this report calling out only projects funded with the 2018 State bonds reflects fifty-one (51) projects; an increase of two projects; one at UMA and one at USM. The projects are currently estimated to account for over \$45 million of the \$49 million in voter approved general obligation bond funding. Over \$22 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 is nearly \$63 million, including the bond funding and other project resources.

- Eleven (11) of the active bond projects also appear on the Capital Project Status Report with approved budgets above Board threshold.
- One (1) project is expected to be brought to the Board for additional authorization as design progresses but is currently in pre-design phase with budget below the Board approval threshold.
- The remaining bond funded projects do not have budgets that meet the threshold for Board of Trustees consideration and are therefore not present on the Capital Projects Status Report. As projects are closed 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.
- The Completed project section reflects 13 projects that are complete. There are another eighteen projects in the active projects table listed as complete and substantially complete. These will move to the completed section once closeout is finalized.

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Research space approvals:

No new approvals to report at this time.

Residence Hall Lock replacements:

Both USM and UM will undertake lock replacement projects during the summer of 2022 and 2023 in a number of their residence halls. In all two halls at USM and six halls at UM will be completed in 2022 and at UM nine will be completed in 2023. Individually none of these projects reach Board authorization threshold. However, the combined cost is over two million dollars.

HEERF funded projects:

As reported in the campus budget discussions, some of the campuses have Federal Relief Funds available and are using it to contribute to capital projects. These projects mainly encompass ventilation or HVAC (heating, ventilation, air conditioning) type projects. Two such projects were brought forward for Board consideration by UMA since the dollar value exceeded the \$500,000 threshold. However, a number of smaller projects are also being completed, mainly at USM and UMA, which fall below that threshold. To date, UMA has identified 11 projects totaling approximately \$3.3 million and USM has identified eleven projects totaling two million dollars all to be funded with this money. Utilization of the funding on the proposed projects is reviewed centrally to ensure it meets the intent of the funding.

Harold Alfond Foundation (HAF) Grant funded projects:

Planning for the Priority 1 Athletics fields continues with bidding and equipment procurement underway.

Master Planning for the MCECIS portion of the work continues.

USM Portland Development Project:

Four levels of the eight story wings of the Portland Commons are in place. Interior wall framing and utilities are being installed in these areas. Career and Student Success Center superstructure framing is complete. Floor slabs have been placed for the second and third story areas. Underslab utility installation is in progress for the first-floor areas. The building connector hall footings have been started.

UM Ferland Engineering Education & Design Center Project:

On the third floor painting, acoustical ceiling installation, ceramic tile flooring in restrooms and laboratory equipment installation is in progress. On the second floor drywall installation is nearing completion and wall painting and ceramic tile installation in the restrooms is in progress. On the first floor mechanical, plumbing and electrical rough-in is nearing completion and drywall installation and taping is underway. The temporary steam heat source for the building for this winter continues to operate properly, providing appropriate temperatures for installation of finishes. MEP rough-in continues in both the penthouse and basement with the building electrical power expected to be turned on in early March. The startup of the building mechanical systems will follow the turning on of the building electrical power. The brick veneer installation has been completed except for an area on the east side of the building used to move materials into the building on the second and third floors. The granite veneer installation continues to progress around the building. Window frame, glazing and metal panel installation is in progress on all

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sides of the building. The project continues to track within a few weeks of the original project schedule.

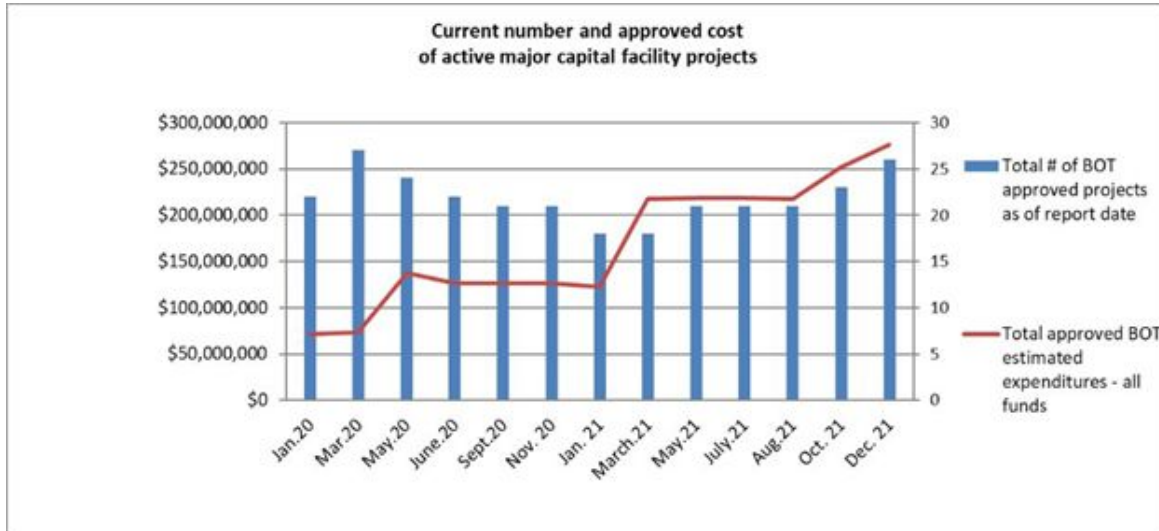
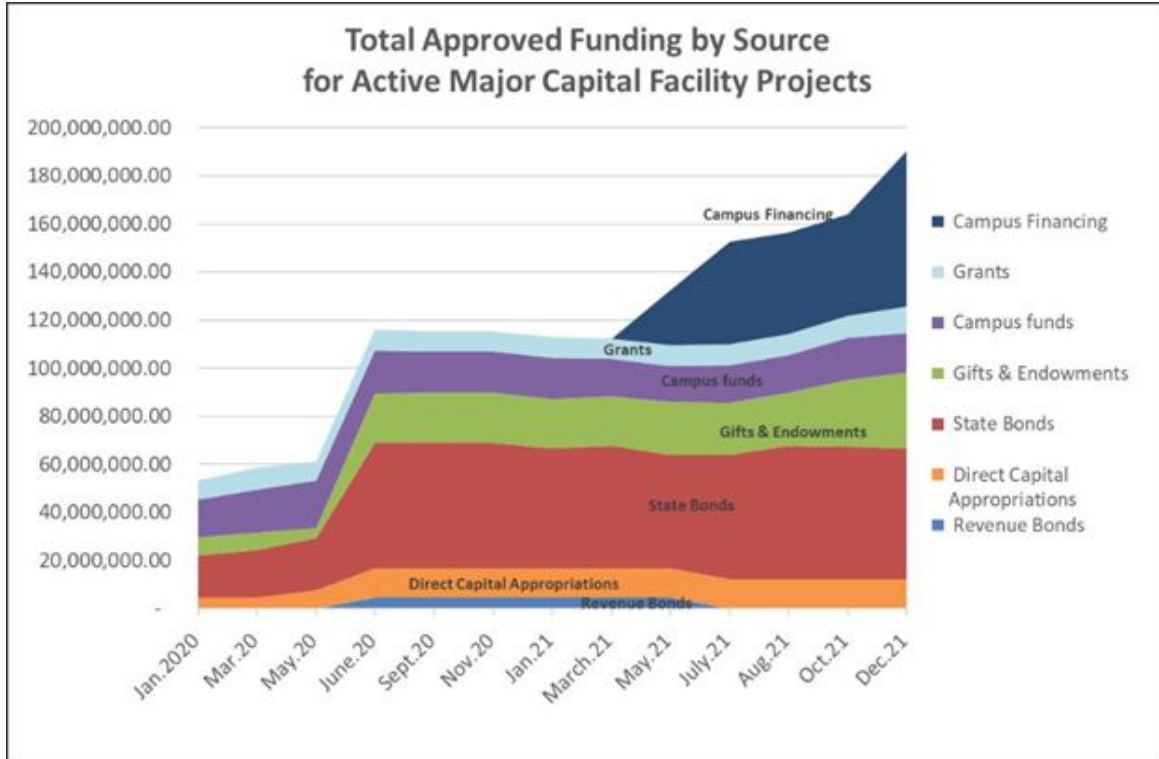
UM Advanced Structures and Composites Center (ASCC) Factory of the Future 1.0 equipment research project:

The University of Maine's ASCC is working on a grant funded "CONFIDENTIAL" equipment research project called Factory of the Future 1.0. As part of the project, building modifications within the Offshore Wind Laboratory (OWL) will be required. The ASCC is working with UM Facilities Management and CPPM to identify the required modifications. While this is a research equipment project and is exempt from Board authorization, it is included here given the unique tie-in to the building structure. The modifications once fully developed may result in upgrades to the facility in excess of \$500,000.

UMPI Solar Array Project:

The UMPI solar array project is moving along. All support "cages" and cabling are in place and panel installation is ongoing.

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\*Direct Capital Appropriations funds consist of capital appropriations in anticipation of revenue bonding, as well as MEIF funds.

\*\* Campus Financing demonstrates the use of interim financing in the form of a Bond Anticipation Note as approved at the March 2021 meeting of the Board.

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Board of Trustees Meeting - March 27-28, 2022 - REPORTS

**Capital Project Status Report**  
**Board Approved Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>UMA</b>									
Katz Library Repairs (1200061)	HEERF (100%)	Design in Progress	2021	2022	\$1,100,000	\$1,100,000	\$31,284	3%	Board approved \$1.1M Sept 2021.
Randall Welcome Center (1100085)	2018 State Bond (100%)	Substantially Complete	2021	2022	\$2,150,000	\$2,150,000	\$1,667,273	78%	Board approved \$2.15M May 2021. The approval of 1100085 in May of '21 replaces 1100077.
Handley Hall A/C replacement (1200029)	E&G (2%) HEERF (98%)	Design in Progress	2020	2022	\$575,000	\$1,230,000	\$26,433	2%	Board approved \$575K in September, 2019. Board approved \$1.2M in Emergency Relief Funds and up \$30k in E&G funds in Sept '21.

<b>UM</b>									
ASCC Building Addition GEM Lab (5100579)	Other (100%)	Pre-Design in Progress			\$1,500,000	\$1,500,000	\$4,029	0%	Board approved \$1.5M May 2021.
Darling Marine Center Waterfront Infrastructure (5100459, 5100460, 5100461, 5100574)	Gifts (3.3%), Campus E&G Funds (33.7%), Grants (61.5%), State Appropriations (1.5%)	Project # 5100574 is Bidding in Progress. The rest are Substantially Complete	2017	2022	\$3,000,000	\$5,410,000	\$4,948,387	91%	Board approved \$3M in July, 2017. Board approved increase of \$2.2M in September, 2019. Additional \$210k approved by Chancellor in December.
**UM Ferland Engineering, Education and Design Center (5100458, 5100493, 5100546, 5200604)	Campus Funds (3%), State Approp (34%) Gifts (7%) Campus Financing (54%) (Other 2%)	Construction in Progress	2024	2024	\$1,000,000	\$78,000,000	\$35,237,566	45%	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. Board authorized up to \$78M in Jan' 22.
ASCC Renovation - Mezzanine Office Expansion (5100525)	Campus E&G Funds (15%) Grants (85%)	Substantially Complete	2020	2022	\$450,000	\$1,400,000	\$1,030,174	74%	Board approved \$1,400,000 March, 2020
UM Energy Center Phase II (5100516, 5100517)	Campus E&G Funds (79%) Grants (21%)	Pre-Design in Progress	2023	2022	\$5,700,000	\$5,700,000	\$483,203	8%	Board approved \$5.7M March, 2019.
Neville Hall Renovations (5100534)	2018 State Bond (100%)	Construction in Progress	2021	2022	\$1,500,000	\$1,500,000	\$337,137	22%	Board approved up to \$1.5M expenditure in March 2021.
UM Adaptive Reuse project/Historic P3 (5200661)	Campus Funds (27%) Other (73%)	Design in Progress	2023	2023	\$2,000,000	\$2,000,000	\$301,676	15%	Board authorized for UM contribution of up to \$2M in October 2021.
*UM Priority 1 Athletics fields (5100593, 5100594, 5100597)		Design in Progress	2023	2023	\$14,000,000	\$14,000,000			Board authorized \$14M in January 2022.

<b>UMF</b>									
Dearborn Gym HW Upgrades (2100087)	2010 State Bond (10%) 2018 State Bond (90%)	Complete	2019	2022	\$600,000	\$850,000	\$846,267	100%	Board approved \$600K in March, 2019. Board approved additional \$250K in May, 2019.
*274 Front St Renovation (2100096)	2018 State Bond (100%)	Design in Progress	2020	2022	\$450,000	\$3,100,000	\$37,278	1%	Board approved up to \$3.1M in January 2022.

<b>UMFK</b>									
UMFK Enrollment/Advancement Center (3100042)	2018 State Bond (100%)	Substantially Complete	2022	2022	\$3,249,000	\$3,249,000	\$2,689,736	83%	Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000.

Board of Trustees Meeting - March 27-28, 2022 - REPORTS

**Capital Project Status Report**  
**Board Approved Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>USM</b>									
**Bailey Hall Fire Protection and Electrical Upgrades (6100316, 6100323)	2018 State Bond (36%), Campus E&G (64%)	Project 6100316 is Substantially Complete, Project 6100323 is Complete	2019	2021	\$2,580,000	\$4,388,000	\$4,130,959	94%	Board approved \$2.58M in January, 2019. Additional authorization of \$1,808,000 for a total of \$4,388,000 in January 2020
Career and Student Success Center and Portland Residence Hall (6100325, 6100338)	2018 State Bond (31%), Campus Financing (69%)	Construction in Progress	2020	2023	\$1,000,000	\$99,400,000	\$22,370,876	23%	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	\$4,200,000	\$853,135	20%	Board approved \$1M in January, 2018. Board authorized an additional \$3.2M for a total of \$4.2M in November 2021.
Port Parking Garage Study (6100331)	Campus E&G Funds (100%)	Design in Progress	2022	2023	\$1,200,000	\$23,000,000	\$483,464	2%	Board approved in March 2020 with initial spending limit of \$400,000; addtl \$800,000 authorized by the Chancellor and Vice Chancellor for Finance and Administration and Treasurer in April, 2021. Board authorized a new total of \$23m in November, 2021.
**Fitness Equipment Purchase and Space Renovation USM Gorham Costello Gym Reno (6100370), Sullivan Gym Equip Repl (6100371), LAC Gym Equip Repl (6200295)		Design in Progress	2020	2022	\$700,000	\$770,000	\$0	0%	Board Approved March, 2020. No expenditures as of yet. An increase of \$70k was authorized by the Chancellor to \$770k in December 2021.
USM Steam Line (6100361)	Campus E&G Funds (100%)	Completed	2021	2021	\$600,000	\$600,000	\$599,932	100%	Board approved \$600K in May 2021
*USM Dubyak Center (6100342)	Gifts (100%)	Design in Progress	2022	2022	\$2,500,000	\$2,500,000	\$30,000	1%	Board approved up to \$2.5 million in January, 2022. \$1M of bond funds to cover the total \$2.5m project budget. Addtl \$1.5M funding is from Maine Jobs Recovery funds.
*USM IPE Lab (6200286)	Gifts (100%)	Design in Progress	2022	2022	\$482,000	\$900,000	\$82,825	9%	Authorized by FFT at \$900,000
<b>UMS/Law School</b>									
**300 Fore St Portland Renovation (8100152)	Gifts (100%)	Bidding	2022	2022	\$6,000,000	\$11,500,000	\$617,414	5%	Board approved \$6M September 2021. Board approved increase to \$11.5M in Jan '22



**Capital Project Status Report**  
**Board Approved Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>UMPI</b>									
**Wieden Renovation Bond (7100025)	2018 State Bonds (100%)	Design in Progress	2020	2023	\$3,757,000	\$6,257,000	\$422,029	7%	Board approved \$3.7M May 2021. Board approved an addtl \$2.5 million Jan 2022. Bond funded portion remains at \$3,757,000 (the addtl funding is from gifts and internal loan).
**Folsom 105 Nursing Renovation (7100026)	2018 State Bonds (100%)	Complete	2020	2022	\$800,000	\$760,000	\$719,300	95%	Board approved \$800K March, 2020. Budget reduced by \$40K due to funds to Wieden Renovation.
UMPI Solar Array (7100023)	Campus E&G (100%)	Construction in Progress	2020	2022	\$700,000	\$1,144,240	\$155,015	14%	Board approved \$700K June, 2020. Board approved an increase to \$1,144,240 during the August 2021 Executive Committee.

**HAF projects which are currently below board level**

Campus, Project Name (Project ID)	Funding Source(s) & each source's share of expenditures to date	Status	Original Estimated Completion	Current Est. Completion	Total Expense to Date	Prior Actions, Information & Notes
**UM - Engineering Ph III - MCECIS Master Planning (5200692)	HAF Grant/HAF Match (100%)	Pre-Design	TBD	TBD	\$83,481	HAF Funded project. Below Board level.
**UM - HAF Athletics Master Plan (5200696)	HAF Grant/HAF Match (0%)	Pre-Design	TBD	TBD	\$0	HAF Funded project. Below Board level.
UM - Morse field Turf Replacement (5100559)	Campus Funds (100%)	Substantially Complete	2021	2021	\$445,517	HAF Funded project. Below Board level.

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. Highlighted: Board level HAF and P3 Projects	Funding source(s) reflects primary source(s) for project.		Calendar Year unless otherwise noted.					Percentage expended reflects total expended as of December 31, 2021 as a percentage of the current approved project estimate.
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**Bond Project Status Report**  
**Active Bond Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>UMA</b>								
**Bangor Campus Welcome Center (1100534)	Substantially Complete	2021	2022	Bond (95%) Campus (5%)	\$475,000	\$436,501	\$475,000	
**Randall Welcome Center (1100085)	Substantially Complete	2021	2022	Bond (100%)	\$1,750,000	\$1,667,273	\$2,150,000	Board approved \$2.15M May 2021. The approval of 1100085 in May of '21 replaces 1100077.
Randall 2nd Floor Renovations (1100083)	Construction in Progress	2021	2022	Bond (100%)	\$100,000	\$59,334	\$100,000	
**Randall Center Student Lounge (1100084)	Substantially Complete	2021	2022	Bond (100%)	\$150,000	\$137,873	\$150,000	
**Randall Admissions Renovations (1200083)	Construction in Progress	2021	2022	Bond (100%)	\$154,096	\$22,088	\$154,096	
*ACC Nursing Upgrades (1200082)	Construction in Progress	2022	2022	Bond (85%) Campus (15%)	\$50,000	\$0	\$50,000	
<b>Total Bond for Campus</b>					<b>\$2,679,096</b>	<b>\$2,323,069</b>	<b>\$3,079,096</b>	
<b>UMF</b>								
**Scott Hall Renovations (2100092)	Complete	2019	2022	Bond (100%)	\$200,000	\$193,660	\$200,000	
**Scott North Renovation (2100109)	Complete	2021	2022	Bond (100%)	\$150,000	\$89,256	\$150,000	
**Scott South Renovations (2200102)	Complete	2022	2022	Bond (100%)	\$125,000	\$132,222	\$125,000	
Scott West Renovation (2100110)	Construction in Progress	2021	2022	Bond (100%)	\$175,000	\$57,371	\$175,000	
**Dakin Hall Shower Renovations (2100093)	Complete	2019	2022	Bond (100%)	\$200,000	\$95,707	\$200,000	
**Lockwood Hall Shower Renovations (2100094)	Complete	2019	2022	Bond (100%)	\$200,000	\$87,103	\$200,000	
**Stone Hall Renovations (2100095)	Complete	2019	2022	Bond (100%)	\$200,000	\$178,530	\$200,000	
**274 Front St Renovation (2100096)	Design in Progress	2020	2022	Bond 100%	\$1,400,000	\$32,279	\$3,100,000	Board approved up to \$3.1M in January 2022. \$1.4m in 2018 bonds, the remaining is from gifts, Maine Jobs Recovery Act funds and other congressional earmarks.
**FRC Roof Replacement (2100111)	Construction in Progress	2021	2022	Bond (100%)	\$60,000	\$36,690	\$60,000	
FRC Façade Replacement (2100112)	Design in Progress	2022	2022	Bond (100%)	\$60,000	\$24,621	\$60,000	
Exterior Painting Merrill Hall (2200096)	Design in Progress	2020	2022	Bond (100%)	\$40,000	\$4,454	\$40,000	
Olsen Center Renovations (2100102)	On Hold	2023	2023	Bond (100%)	\$1,900,000	\$71,385	\$1,900,000	Approved budget of \$300,000, as it remains in study/design phase.
**Mantor Library Renovations (2100103)	Complete	2021	2022	Bond (100%)	\$300,000	\$246,223	\$300,000	
**Campus ADA Ramps (2100104)	Construction in Progress	2021	2022	Bond (100%)	\$115,000	\$24,094	\$115,000	
Roberts HVAC Upgrade (2100106)	Design in Progress	2021	2022	Bond (100%)	\$150,000	\$30,661	\$150,000	
**Merrill Hall HVAC Upgrade (2100107)	Complete	2021	2022	Bond (100%)	\$400,000	\$35,127	\$400,000	
Ricker Addition Renovation (2100108)	Design in Progress	2021	2022	Bond (100%)	\$175,000	\$47,938	\$175,000	
Dearborn Gym Hot Water Upgrades (2100087)	Complete	2019	2021	Bond (100%)	\$850,000	\$846,267	\$850,000	

**Bond Project Status Report**  
**Active Bond Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>UMF</b>								
Mallet Front Porch Painting (2200103)	Complete	2021	2021	Bond (100%)	\$25,000	\$11,715	\$25,000	
UMF Purington Front Porch Painting (2200104)	Complete	2021	2021	Bond (100%)	\$22,000	\$7,250	\$22,000	
UMF Preble/Ricker Flooring (2200105)	Complete	2021	2021	Bond (100%)	\$35,000	\$24,775	\$35,000	
<b>Total Bond for Campus</b>					<b>\$6,700,000</b>	<b>\$2,233,589</b>	<b>\$8,400,000</b>	
<b>UM</b>								
Neville Hall Renovation (5100534)	Construction in Progress	2021	2022	Bond (100%), Campus E&G (0%)	\$1,500,000	\$377,122	\$1,500,000	Board approved up to \$1.5M expenditure in March 2021.
UMM Science Bldg Rm 010 Renovation (5100575)	Design in Progress	2021	2021	Bond (100%)	\$100,650	\$100,885	\$100,650	
<b>Total Bond for Campus</b>					<b>\$1,500,000</b>	<b>\$377,122</b>	<b>\$1,500,000</b>	
<b>UMFK</b>								
UMFK Enrollment/Advancement Center (3100042)	Substantially Complete	2022	2022	Bond (100%)	\$2,990,000	\$2,689,736	\$3,249,000	Board approved \$2.99M in Bond Funding, March, 2020. Plus, \$259K for a total of \$3,249,000.
<b>Total Bond for Campus</b>					<b>\$2,990,000</b>	<b>\$2,689,736</b>	<b>\$3,249,000</b>	
<b>UMM</b>								
Reynolds Renewal (4100047)	Construction in Progress	2021	2021	Bond (100%)	\$400,000	\$323,431	\$400,000	
Dorward Hall Roofing (4200048)	Construction in Progress	2021	2021	Bond (100%)	\$45,000	\$32,939	\$45,000	
<b>Total Bond for Campus</b>					<b>\$45,000</b>	<b>\$32,939</b>	<b>\$45,000</b>	
<b>USM</b>								
Career and Student Success Center (6100325)	Construction in Progress	2022	2023	Bond (100%)	\$19,000,000	\$6,921,267	\$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 (40%), Campus E&G Funds (60%)	\$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	\$1,301,740	\$1,500,000	Board approved \$1.5M in January, 2020.
*USM Dubyak Center (6100342)	Design in Progress	2022	2022	Gifts (100%)	\$1,000,000	\$30,000	\$2,500,000	Board approved up to \$2.5 million in January, 2022. \$1M of bond funds to cover the total \$2.5m project budget. Addtl \$1.5M funding is from Maine Jobs Recovery funds.
<b>Total Bond for Campus</b>					<b>\$22,960,000</b>	<b>\$9,710,007</b>	<b>\$34,939,000</b>	

**Bond Project Status Report**  
**Active Bond Projects**  
**March 2022 - Board of Trustees Meeting**  
**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
<b>UMPI</b>								
**Wieden Renovation Bond (7100025)	Design in Progress	2020	2023	Bond (100%)	\$3,757,000	\$422,029	\$6,257,000	Board approved \$3.7M May 2021. Board approved an addtl \$2.5 million Jan 2022. Bond funded portion remains at \$3,757,000 (the addtl funding is from gifts and internal loan).
**Folsom 105 Nursing Renovation (7100026)	Complete	2020	2021	Bond (100%)	\$760,000	\$719,300	\$760,000	Board approved \$800K March, 2020. Reduced by \$40K due Wieden funding.
<b>Total Bond for Campus</b>					<b>\$4,517,000</b>	<b>\$1,141,329</b>	<b>\$7,017,000</b>	
<b>Totals:</b>					<b>\$41,391,096</b>	<b>\$18,507,790</b>	<b>\$58,229,096</b>	

<b>Completed Bond Projects</b>								
Augusta Campus Welcome Center (1100077)	Closed	2021	2021	Bond (100%)	\$350,388	\$350,388	\$350,388	UMA
Jewett Hall Boiler Design Work (1200062)	Complete	2021	2021	Bond (100%)	\$305,000	\$321,287	\$321,287	UMA
274 Front St Acquisition (2100089)	Complete	2019	2019	Bond (100%)	\$850,820	\$850,820	\$850,820	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	\$209,503	UMF
Dakin Flooring, Ceiling, Light (2100105)	Complete	2021	2021	Bond (100%)	\$206,187	\$206,187	\$206,187	UMF
UMM Science Building Roof Replacement (4100042)	Complete	2020	2020	Bond (100%)	\$280,487	\$280,487	\$280,487	UMM
UMM Dorward Hall Roof Replacement (4100043)	Complete	2020	2020	Bond (100%)	\$296,092	\$296,092	\$296,092	UMM
UMM Sennett Roof Replacement (4100044)	Complete	2020	2020	Bond (100%)	\$201,257	\$201,257	\$201,257	UMM
UMM Reynolds Center Roof Repair (4200044)	Complete	2020	2020	Bond (100%)	\$154,226	\$154,226	\$154,226	UMM
UMM Site Work (4200045)	Complete	2020	2020	Bond (100%)	\$57,365	\$57,365	\$57,365	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
<b>Totals:</b>					<b>\$4,189,068</b>	<b>\$4,205,355</b>	<b>\$4,761,987</b>	
<b>GRAND Total (Active and Completed Projects)</b>					<b>\$45,580,164</b>	<b>\$22,713,145</b>	<b>\$62,991,083</b>	

Explanatory Notes: * Project is new as of this report. ** Details of this project include updates since the last report. Completed projects will remain on this report unless otherwise specified.	Funding source(s) reflects primary source(s) for project.	Calendar Year unless otherwise noted.						Bond Funding expended reflects total expended as of December 31, 2021.
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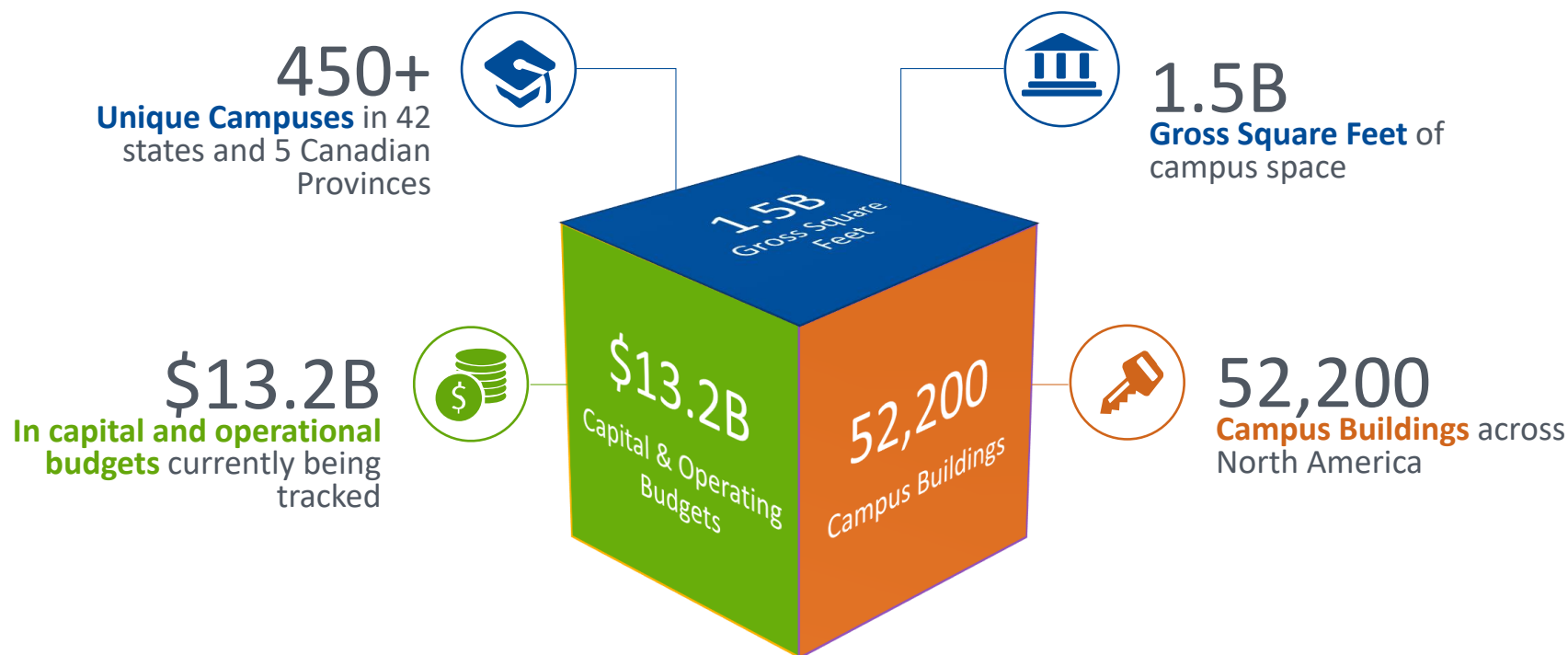
# The University of Maine System FY21 Return on Physical Assets Final Presentation

March 2022

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

## Gordian and Sightlines

Owners of the largest verified facilities database in higher education

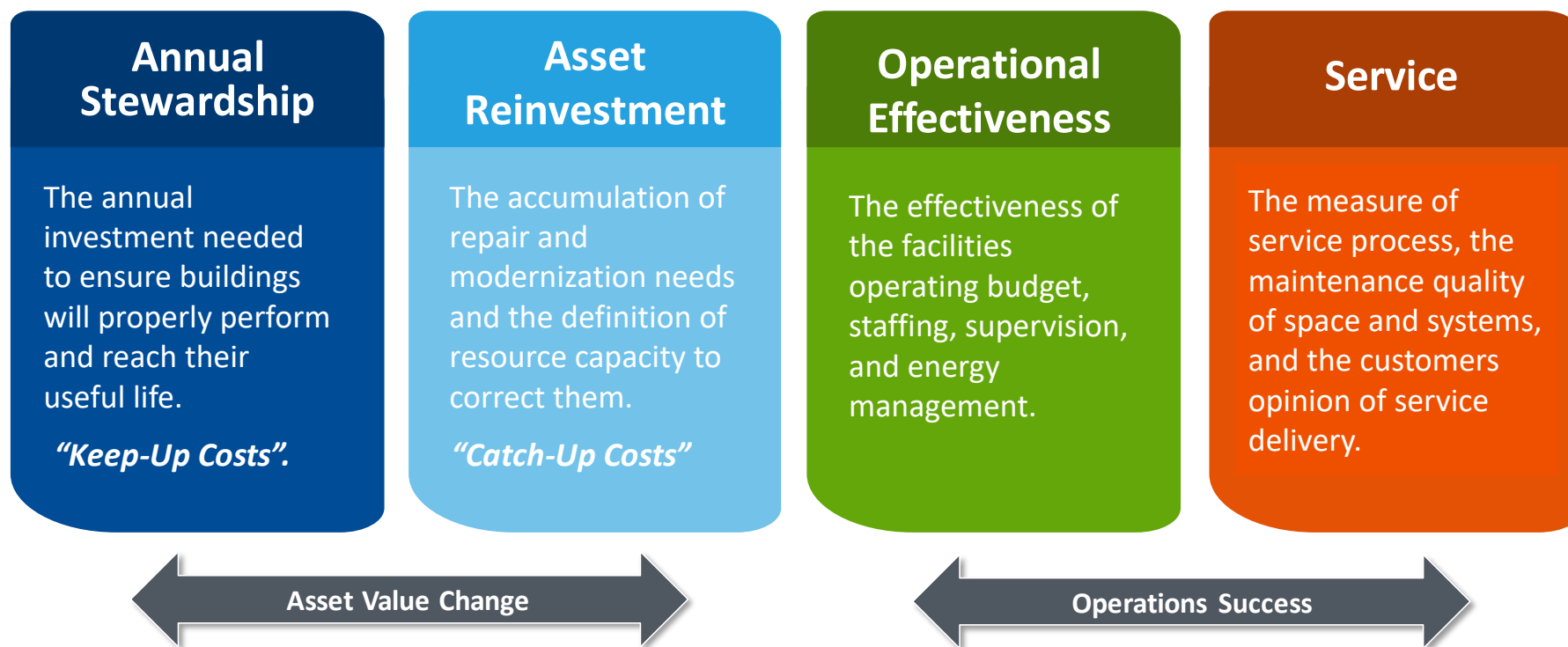


Sightlines members serve **over 20%** of US College Enrollment

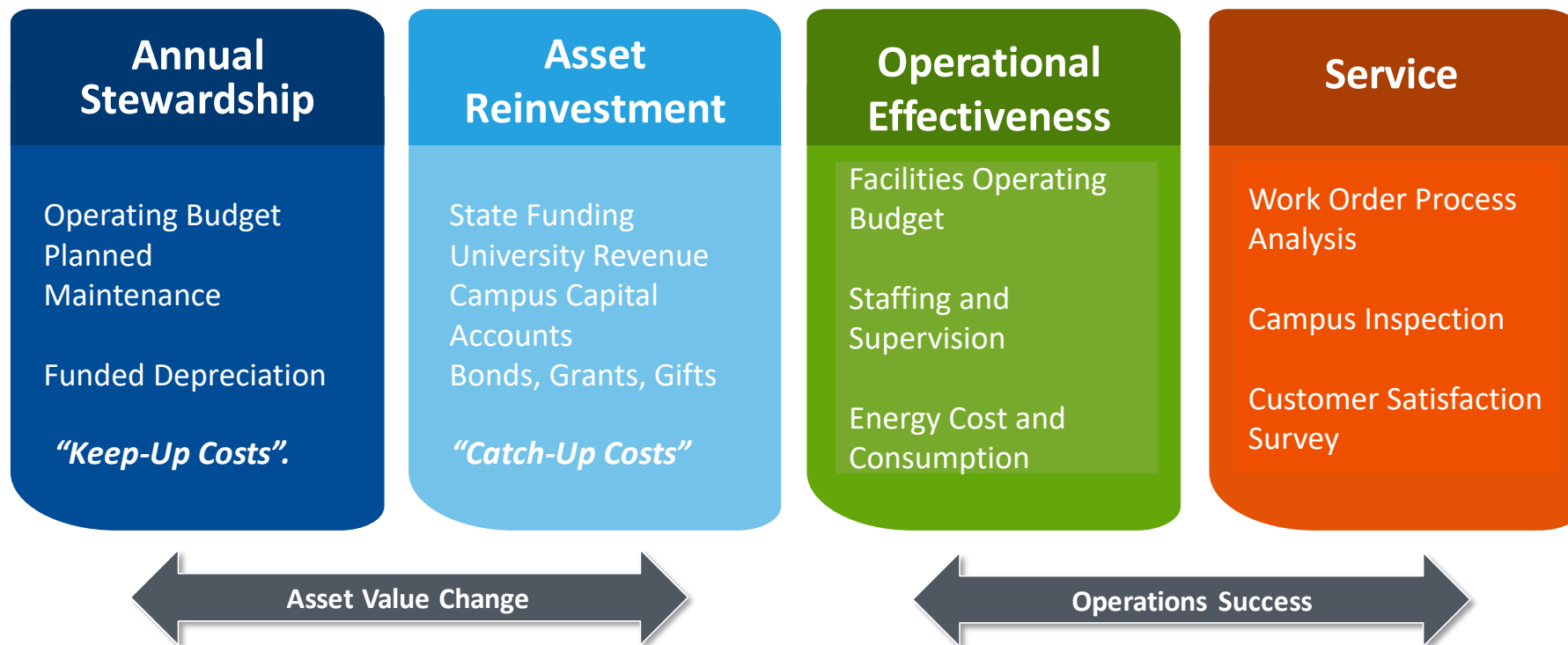


## Vocabulary for Return on Physical Assets (ROPA)

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## Vocabulary for Return on Physical Assets (ROPA)

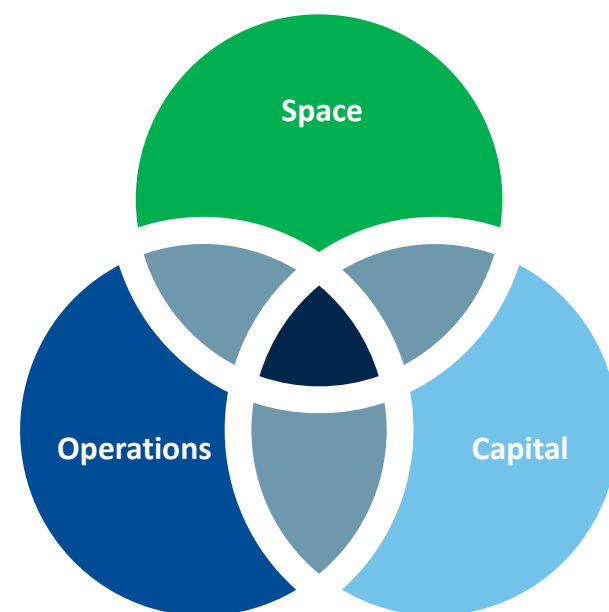




## Integrated Campus Stewardship

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- FY2021 GSF remains steady; campus populations decrease. Density of system is below interim goal.
- Space continues to age. Space over 50 years old increases; space under 10 years old shifts into higher age brackets. Residential space is the oldest subset of space on campuses.
- The highest \$/GSF needs exist in the oldest buildings on campus
- Capital investment, despite increasing in FY21, is not able to slow the aging process of System assets in existing spaces; focus shifts toward new space.
- AIM data provides areas for opportunity in planned maintenance and project selection.



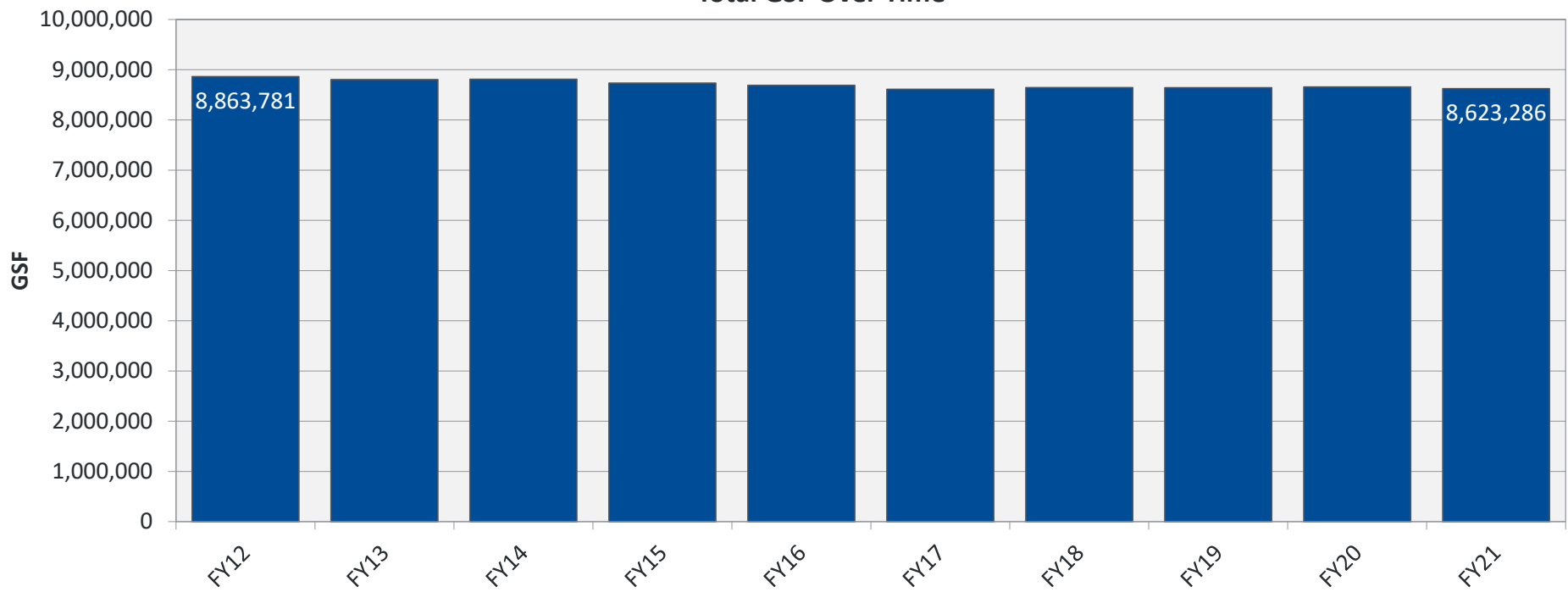
*Throughout the presentation UMS will be compared to the Gordian Public Higher Ed. Database Average for FY21. This subset of the database includes institutions like the University of Massachusetts, University of New Hampshire, University of Iowa, University of New Mexico and University of Connecticut.*



# Space Profile

## UMS GSF

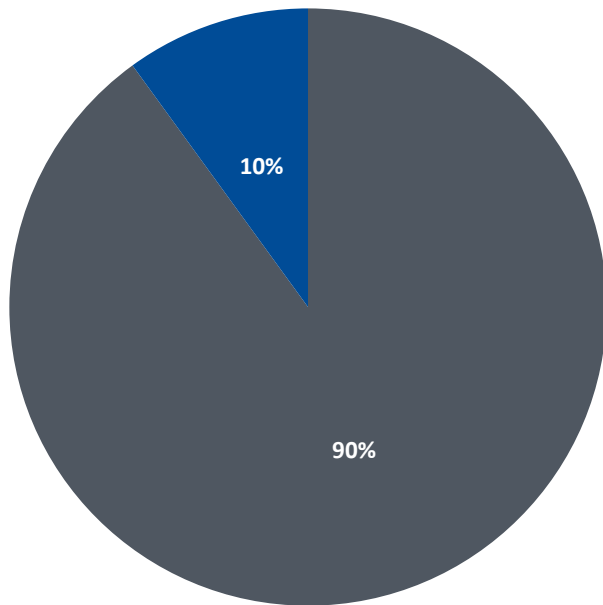
Total GSF Over Time



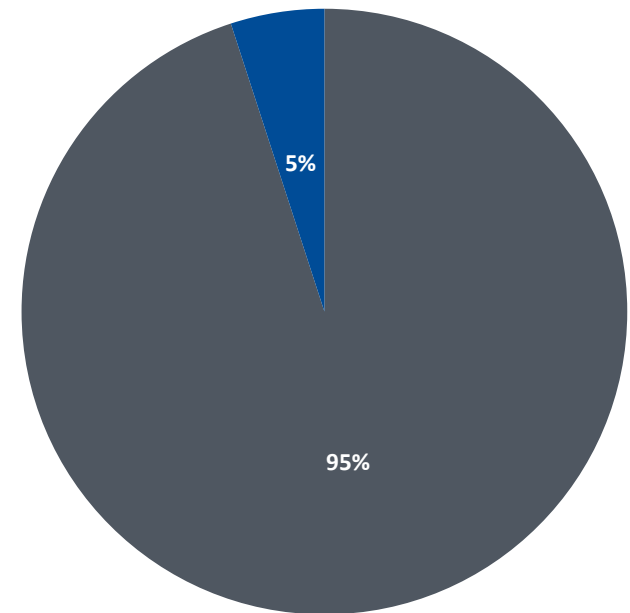
## Impact of Building Demolitions

Average size of buildings taken offline less than 10,000 GSF

FY12- FY21 Count of Buildings

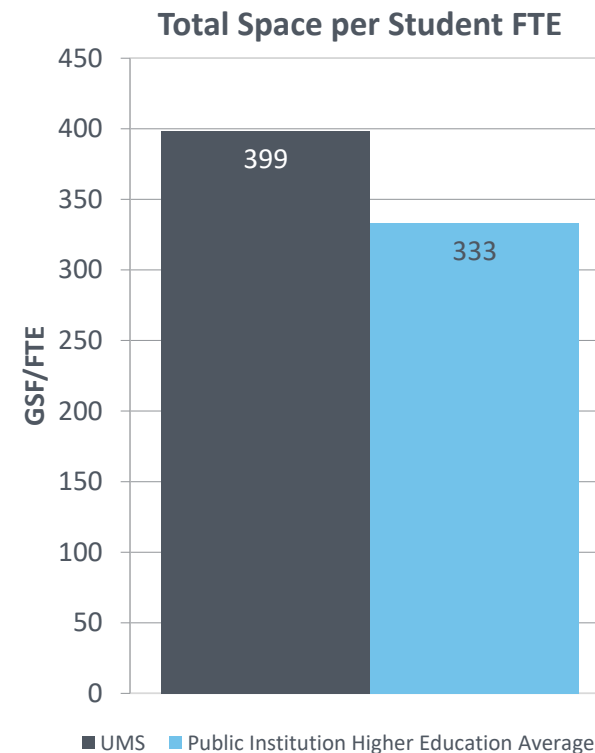
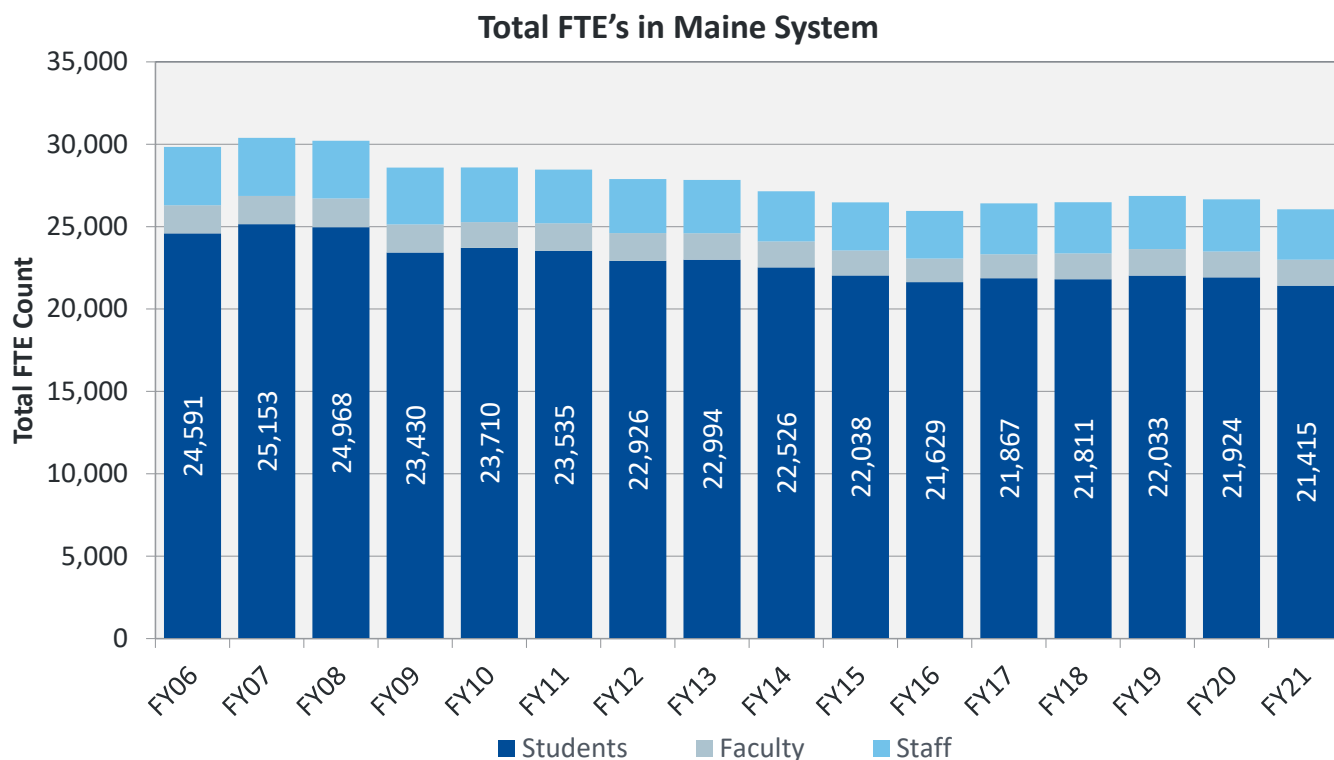


FY12-21 Total GSF



■ Buildings Online  
■ Buildings Taken Offline

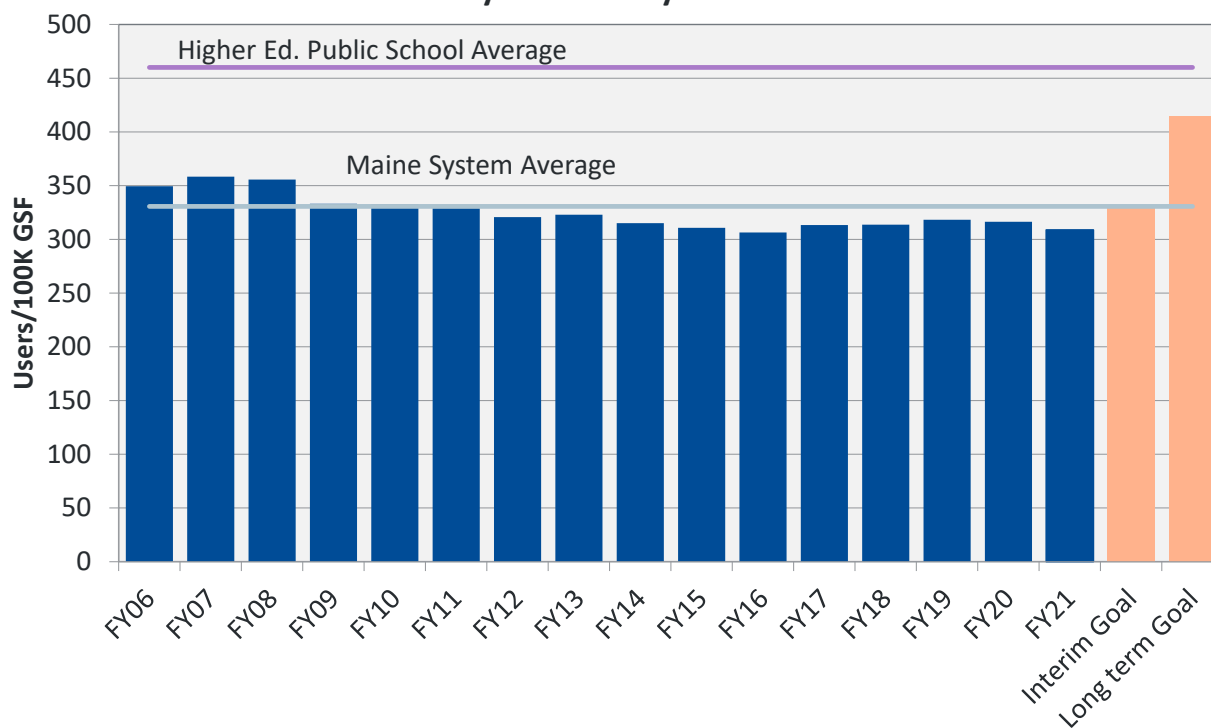
## FY21 Student Enrollment Sees Downward Trend



# Density Across the Maine System Decreases – COVID Impact

Density decreased to 309 users/100K GSF in FY21

Density at Maine System Level



Density Affects:



## Staffing Levels

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



## Material and Supplies

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



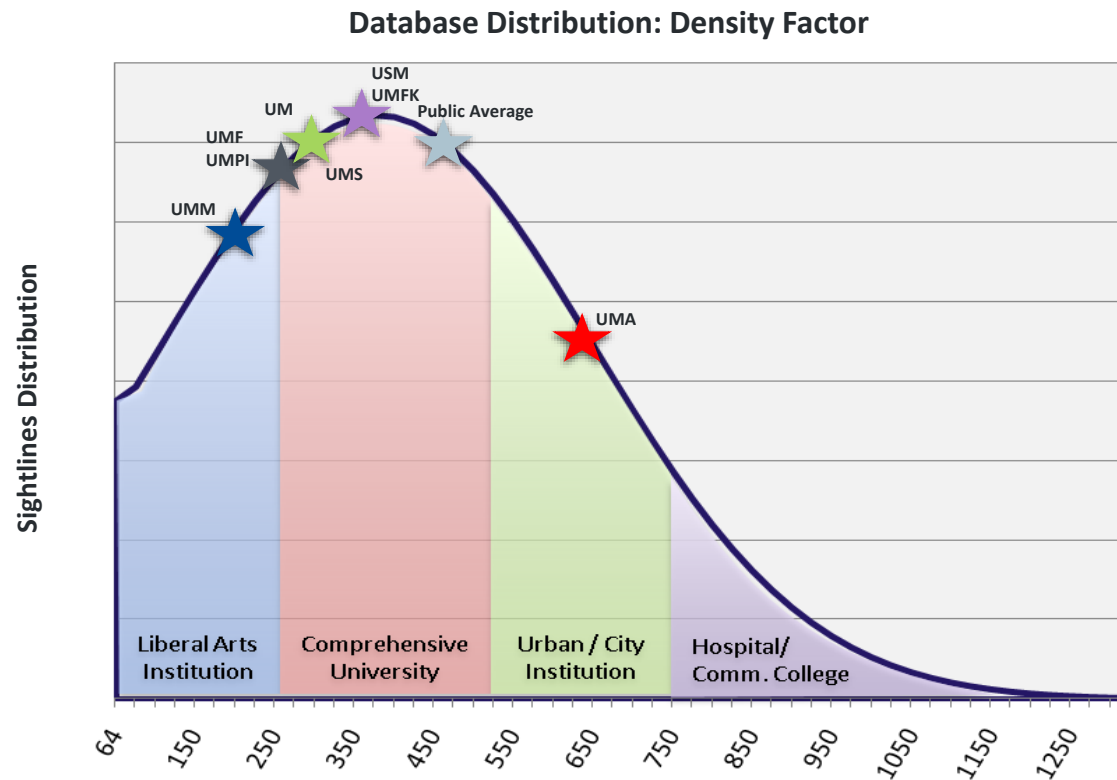
## Wear and Tear of Facilities

High traffic and space usage result in earlier lifecycle replacement.

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



# Density Across the System



## Density Affects:



### Staffing Levels

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



### Material and Supplies

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



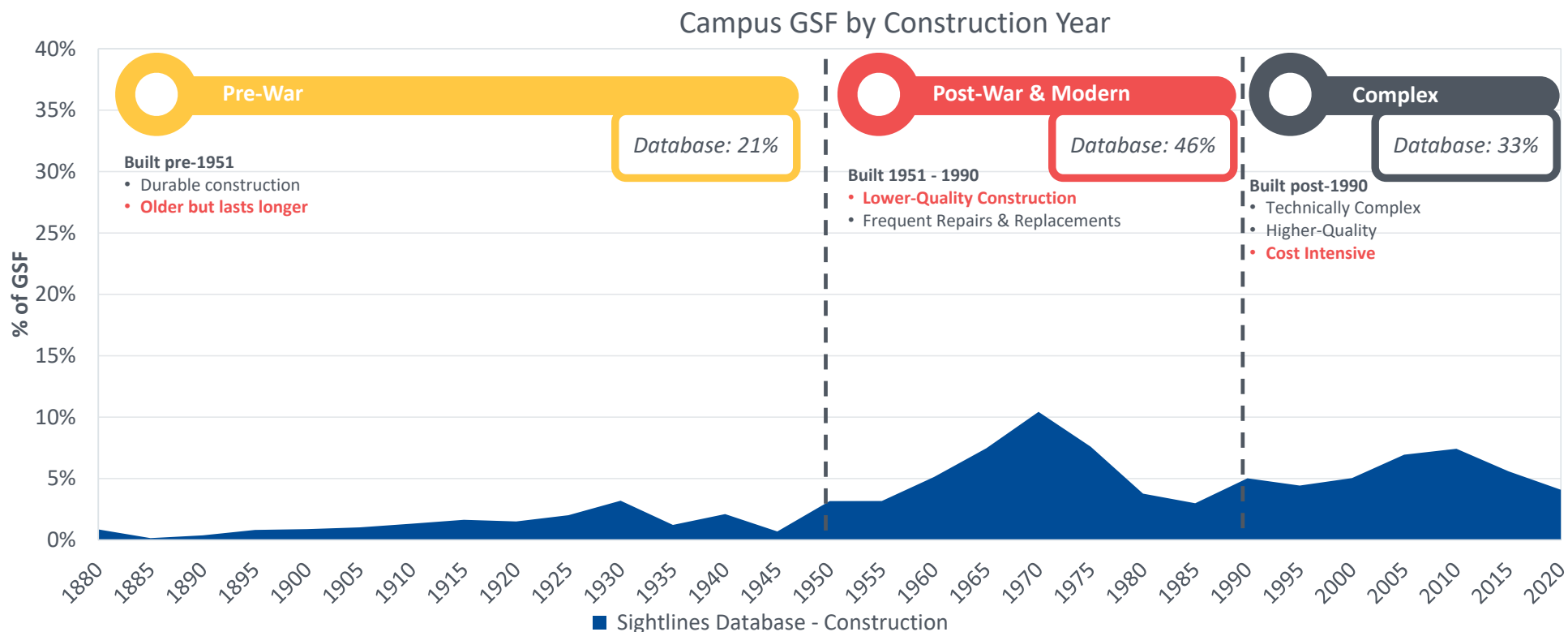
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**Density: Measures number of users per 100,000 GSF**  
 Users include all student, faculty and staff FTEs  
 Measures campus building usage on a daily basis

# Putting Your Campus Building Age in Context

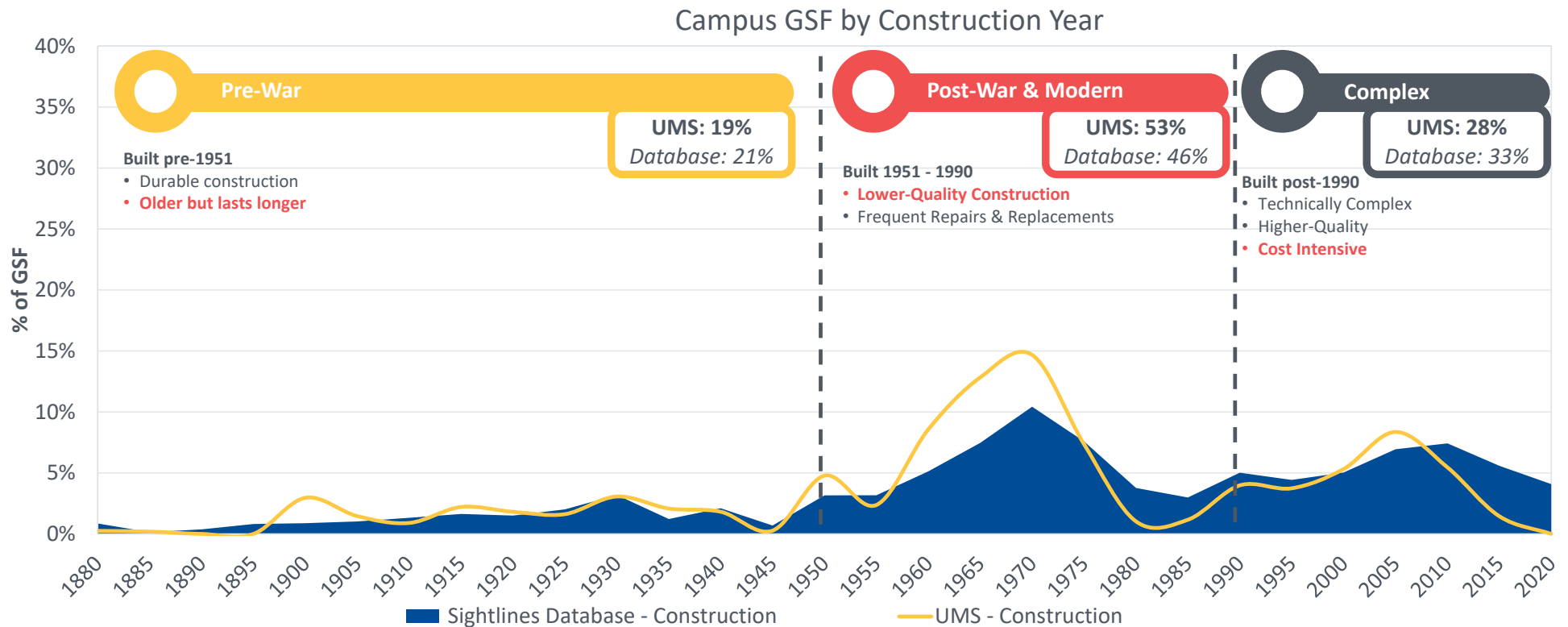
Campus age drives the overall risk profile





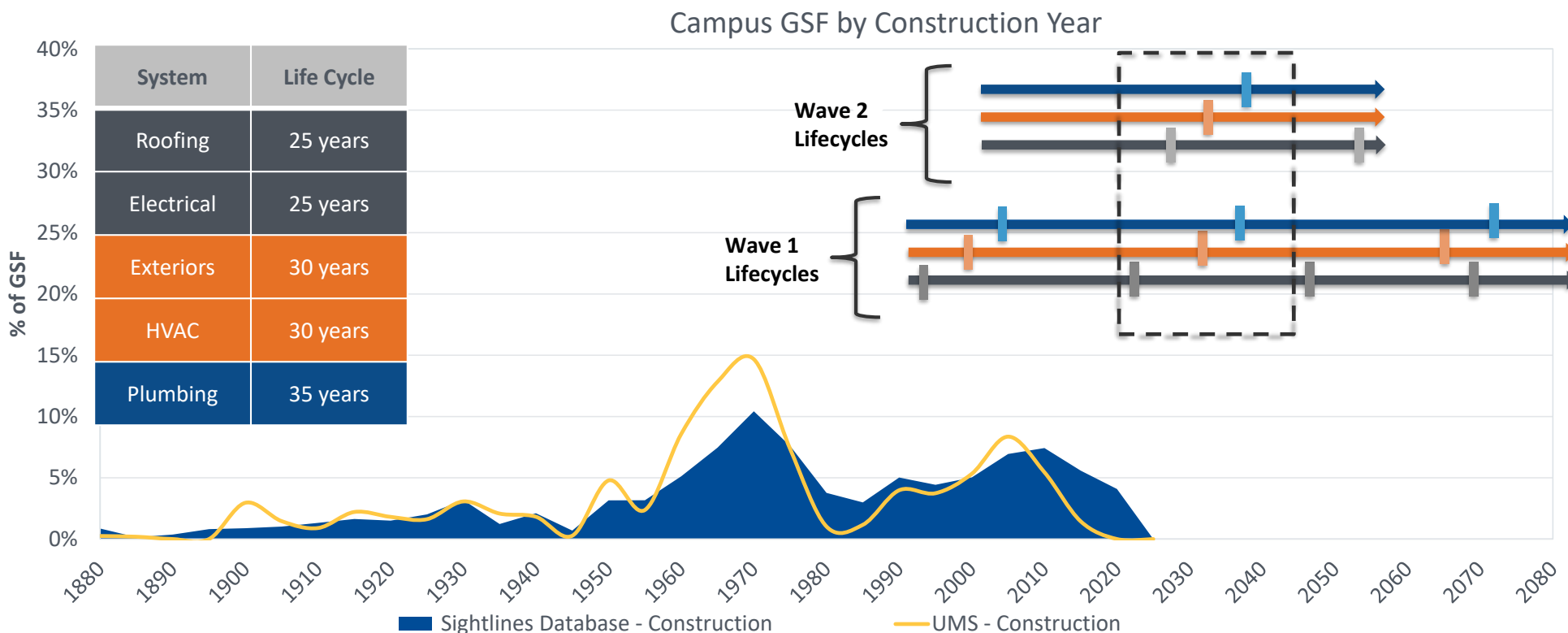
# Putting Your Campus Building Age in Context

Campus age drives the overall risk profile



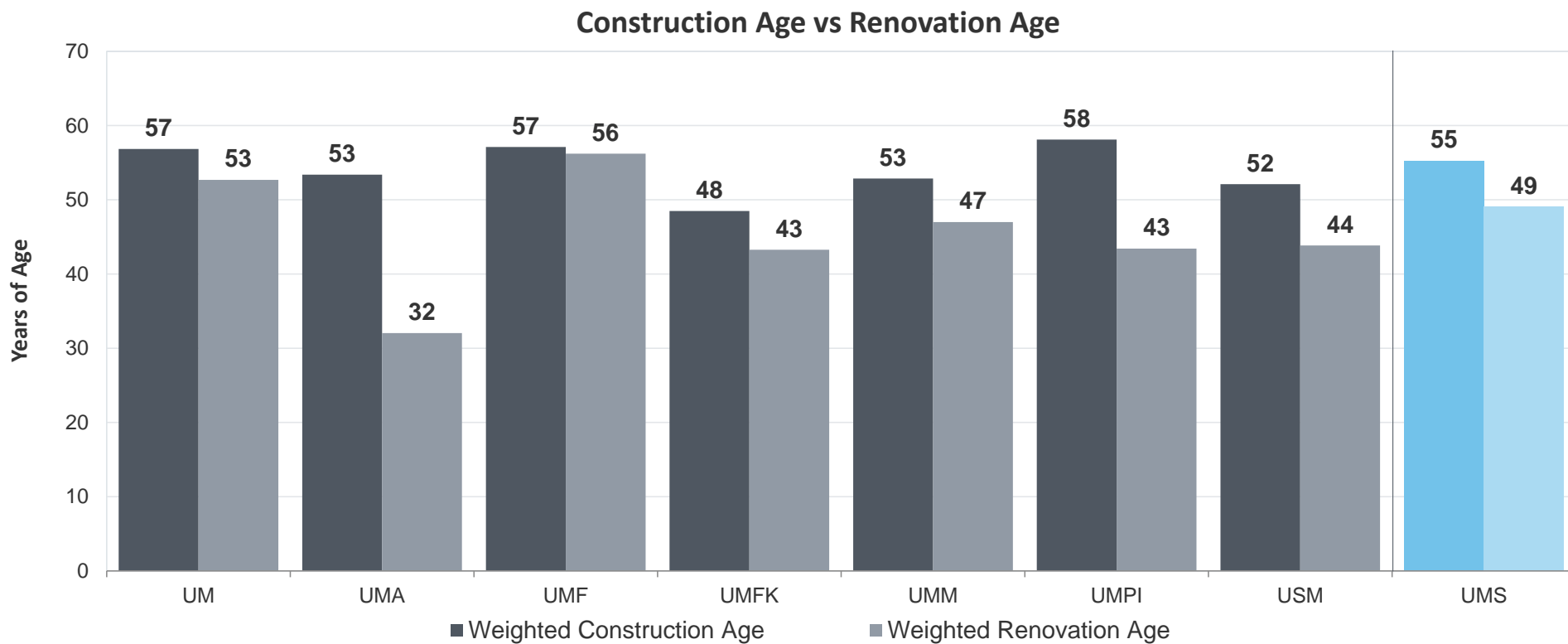
## Putting Your Campus Building Age in Context

Life cycle models forecasts waves of major building systems coming due in tandem



## Construction Age vs. Renovation Age by Campus

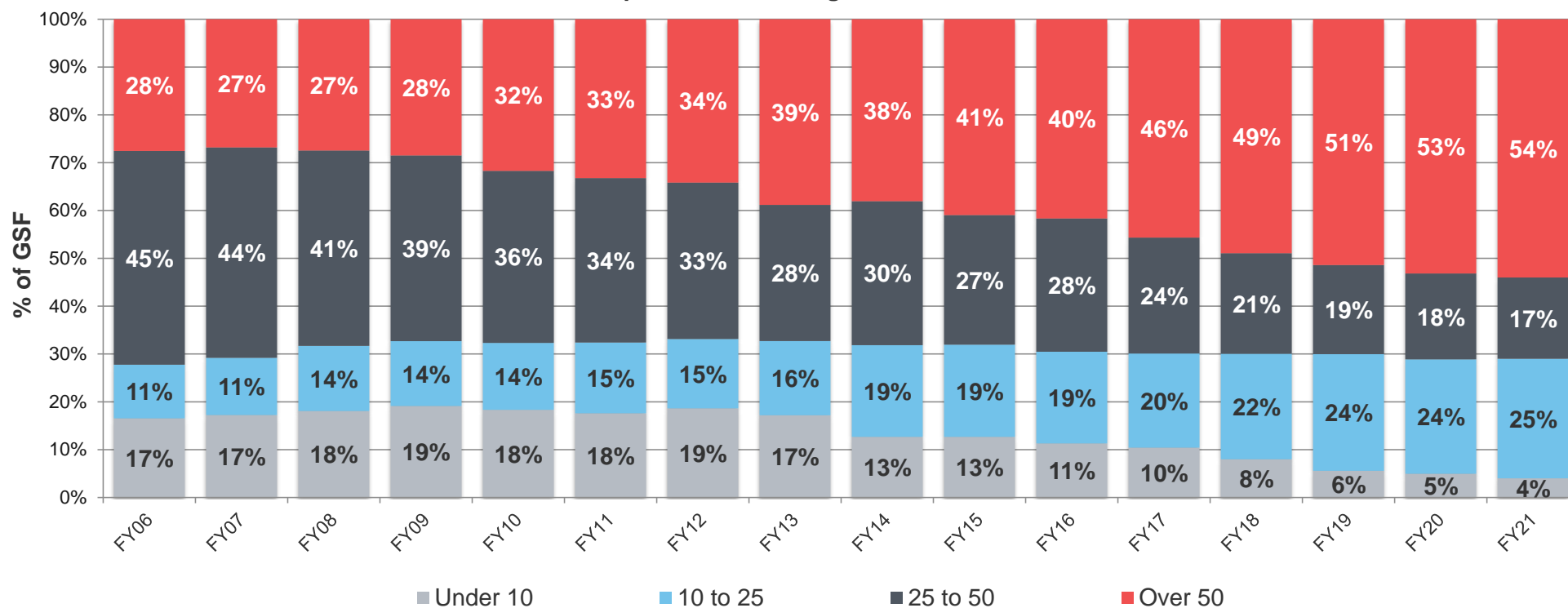
UMA has offset its age the most through renovations: 21 Years



## Maine System Continues to Age Over Time

Percent of GSF over 50 steadily rising

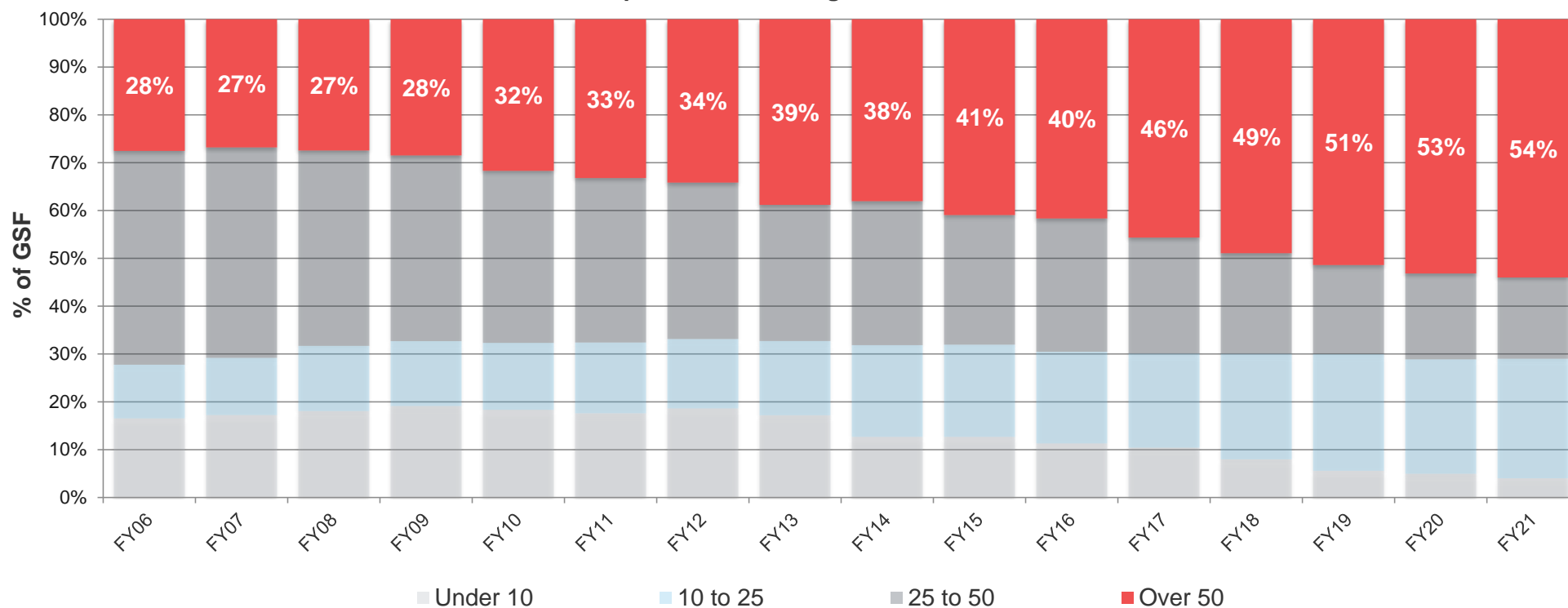
Campus Renovation Age Distribution Over Time



## Oldest Spaces on Campus Get Older

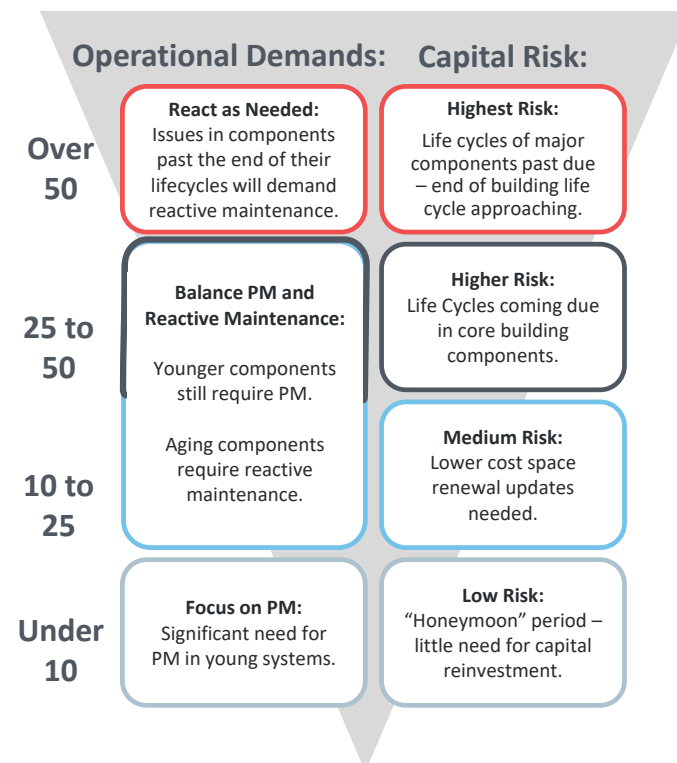
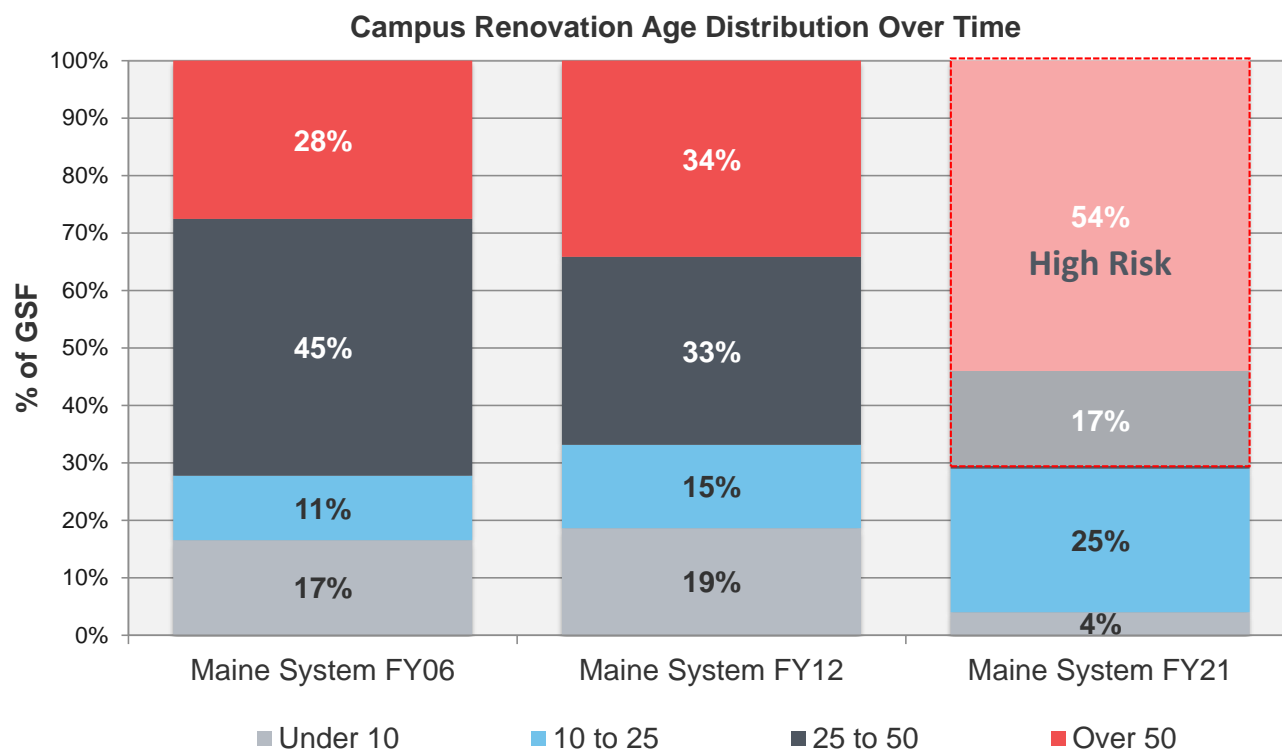
Space Over 50 almost doubles in 16 years

Campus Renovation Age Distribution Over Time



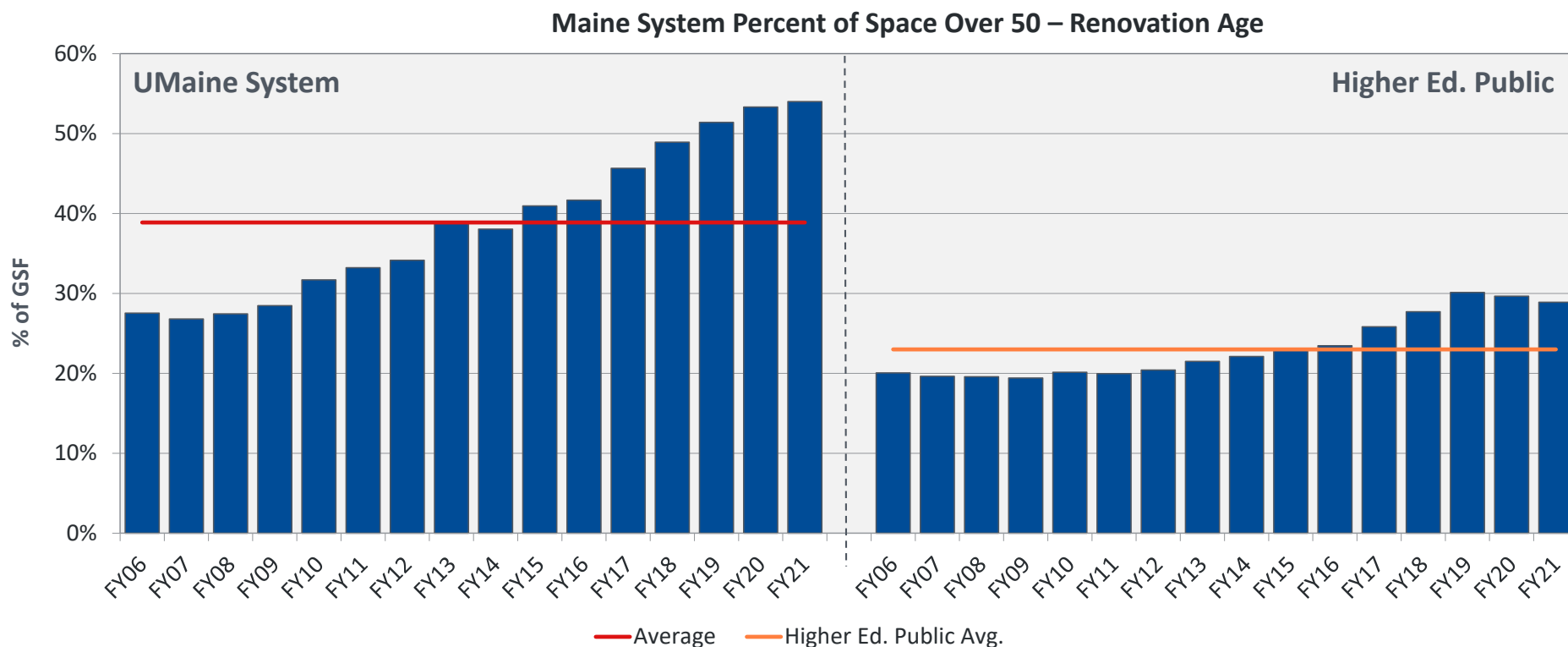
## 71% of Space Drives Investment Needs at UMS

Buildings over 25 years old require increased capital and operational demands



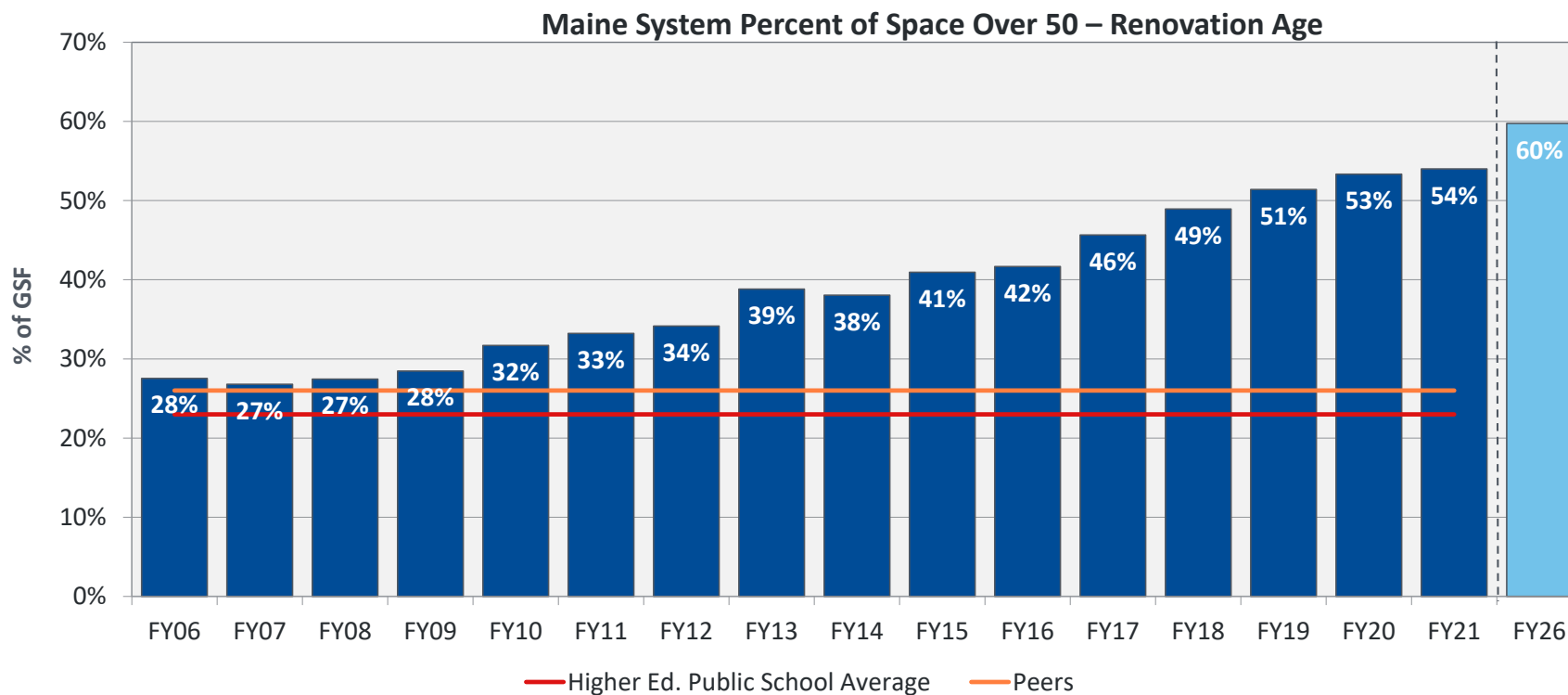
## Public Institutions Operate With Less High-Risk Space (16% on avg.)

UMS increases High Risk space YOY as Higher Ed Public decreases from FY19 to FY21



## 60% of Space Will be Over 50 Years Old by FY26

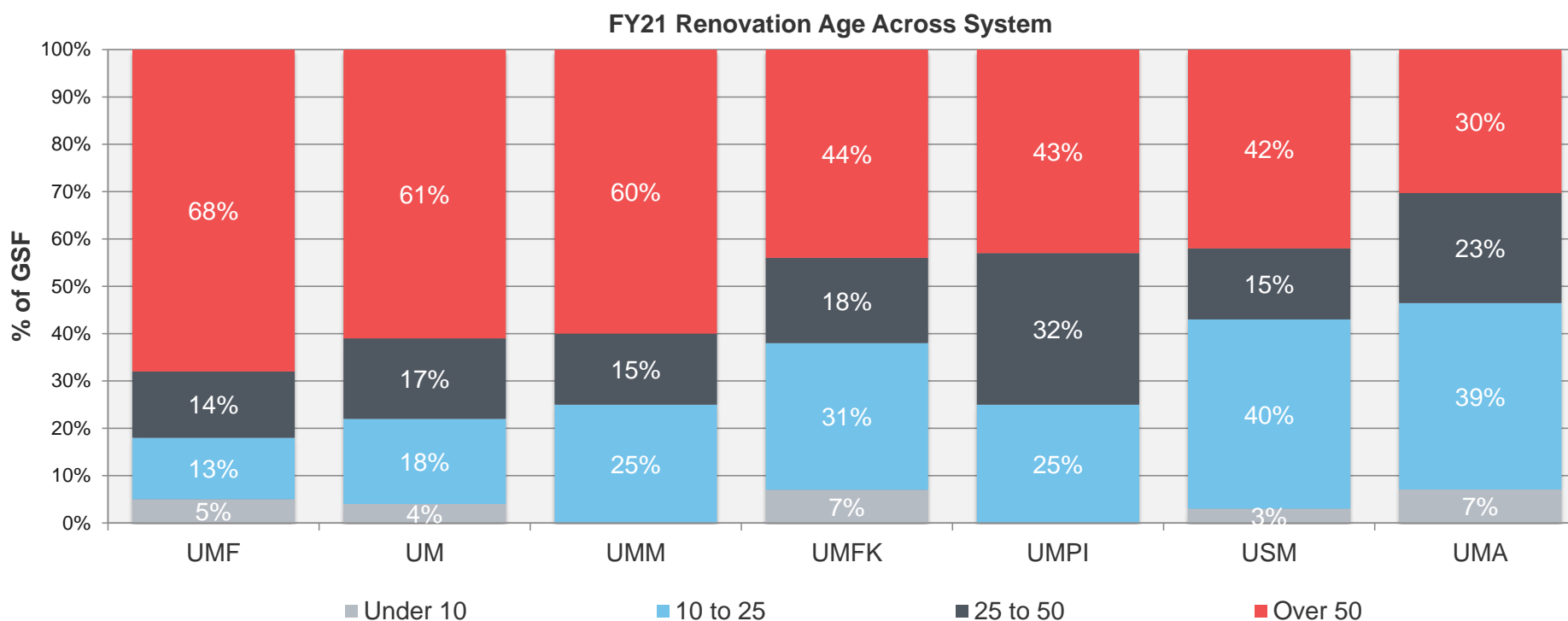
Plan now for major life cycle replacements in these buildings



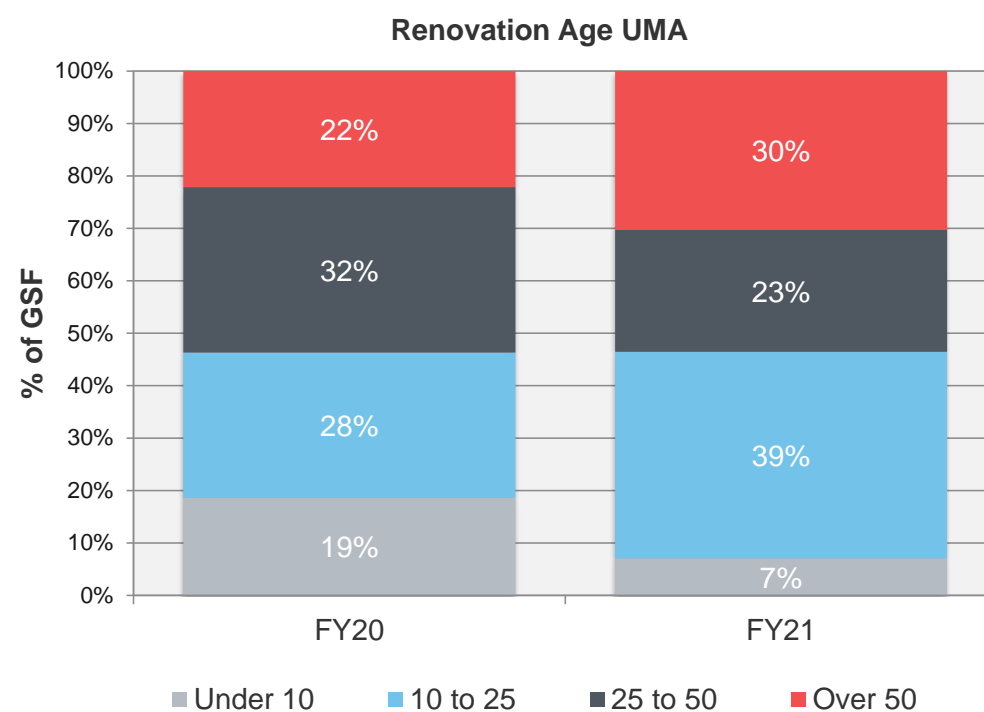
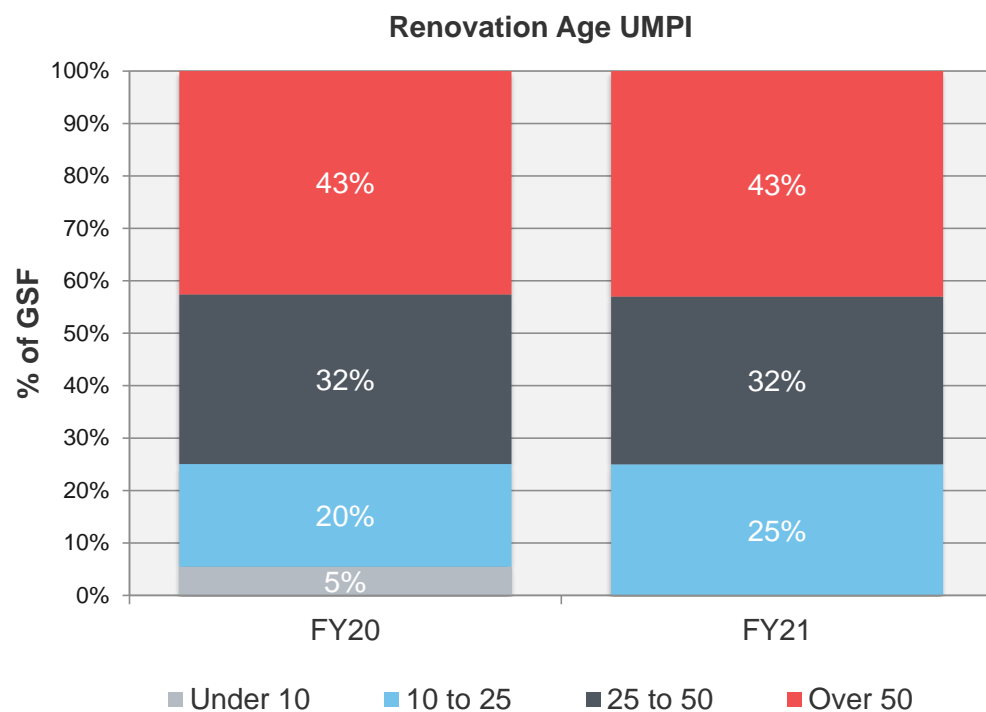


## High Risk Profile Above 50% At All Campuses

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

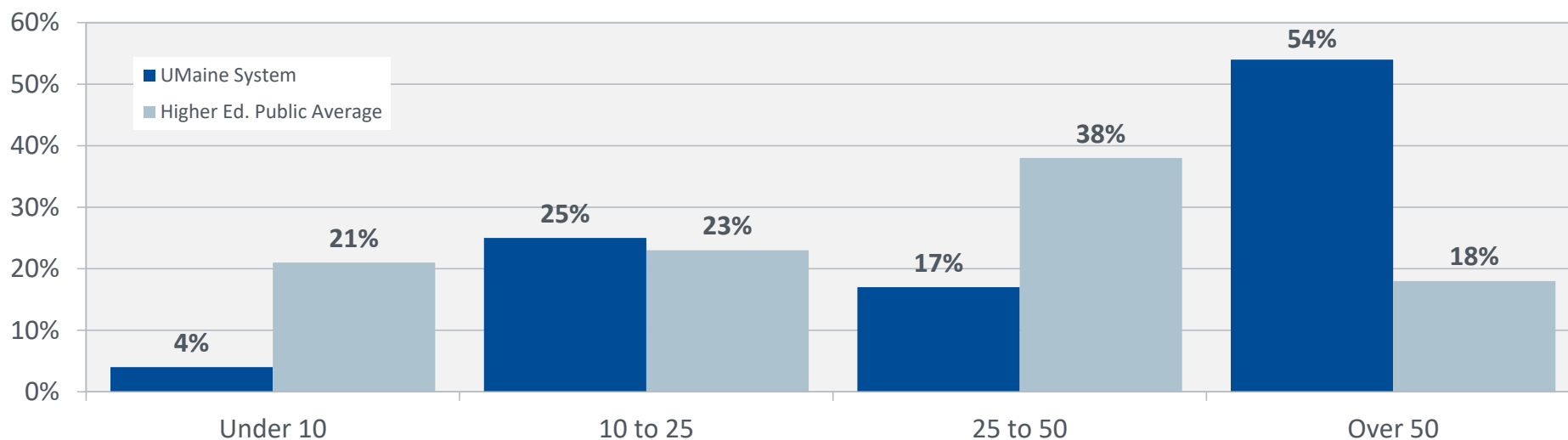


## UMPI & UMA See Largest Shift in Space Under 10



## UMS' Age Profile is Older Than Public Institutions

Campus Renovation Age by Category

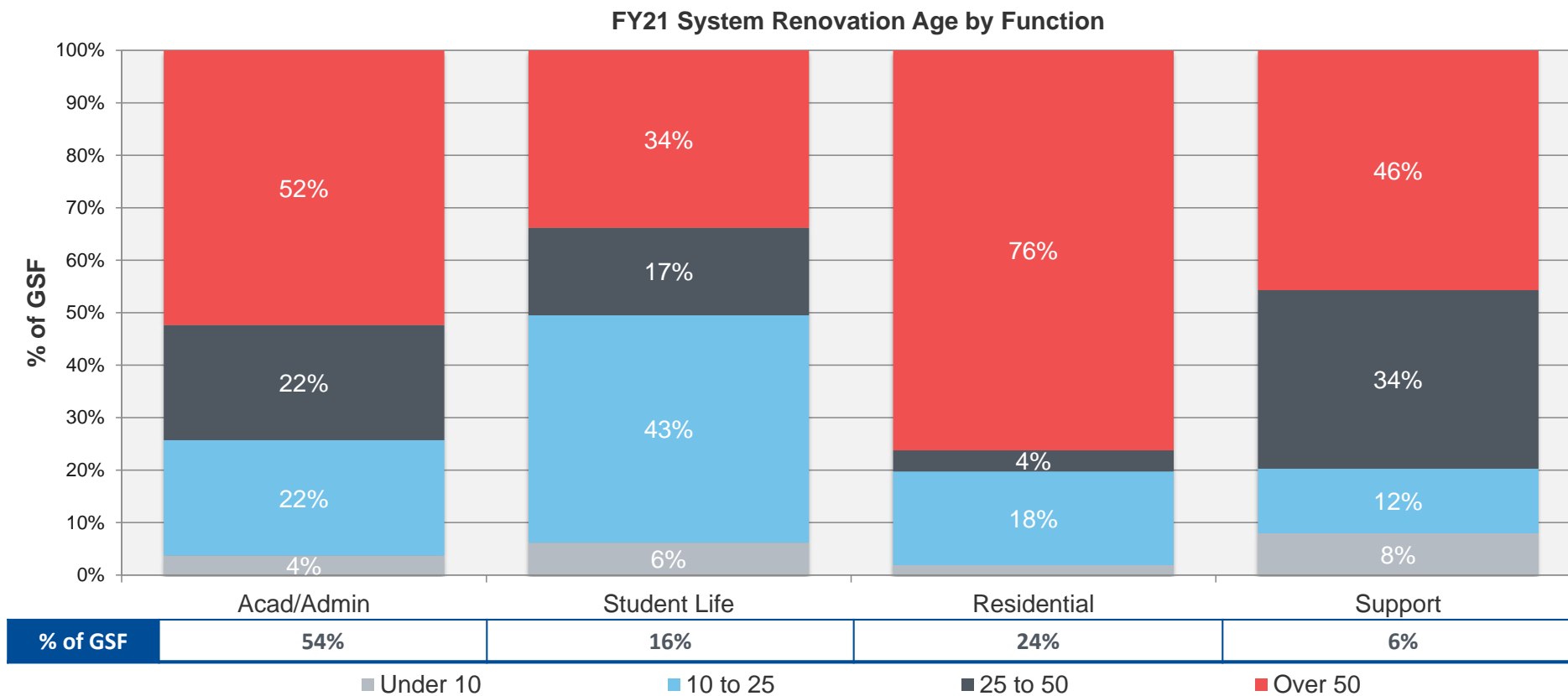


Capital Needs

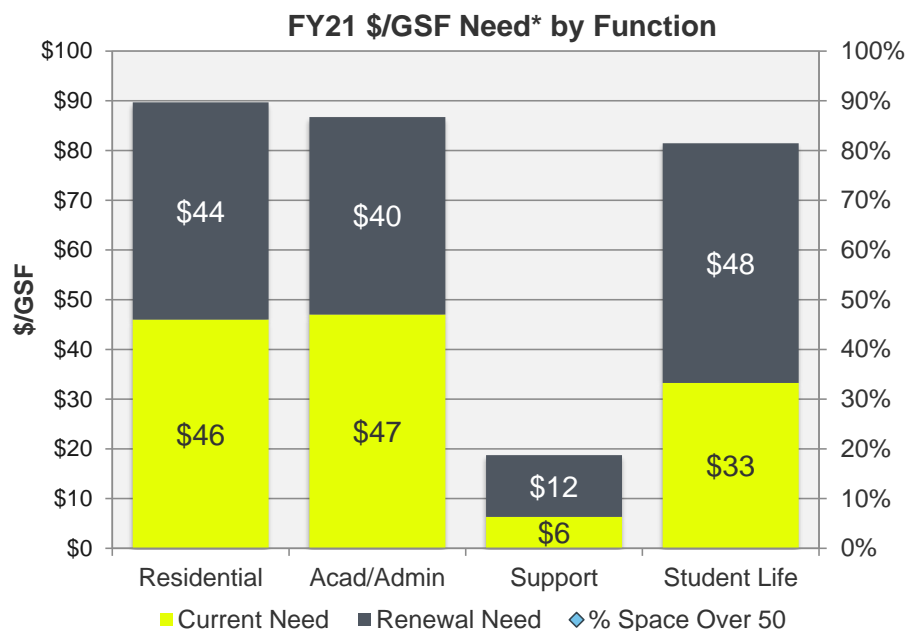
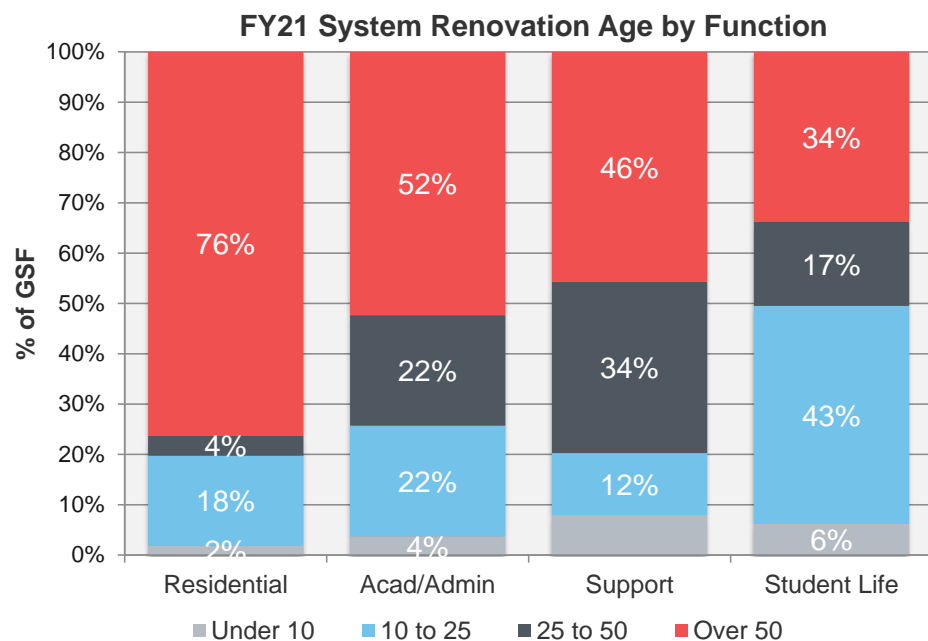
Preventive Maintenance

Reactive Maintenance

## Residential Space Has Largest Amount of Space Over 50



## High Risk Space Contains Higher Current Need



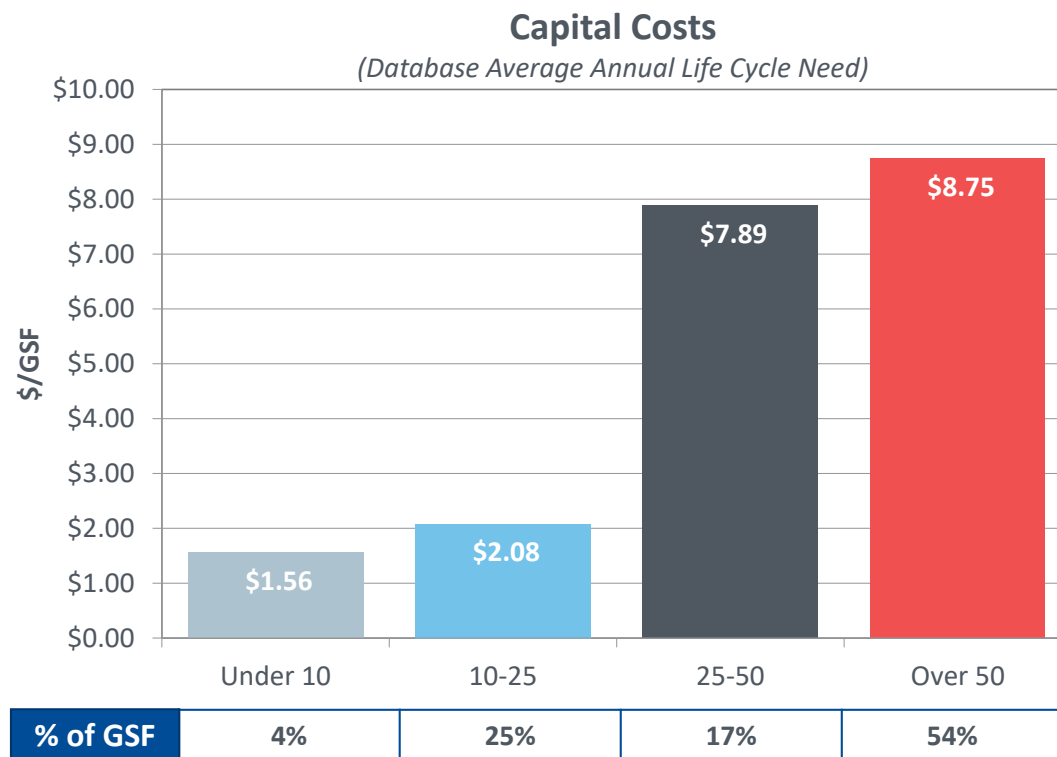
Function	Residential	Acad/Admin	Support	Student Life
% of GSF	24%	54%	6%	16%

\*Need is based on prediction data excluding modernization & infrastructure need

## Typical Capital Demands by Age Category

As buildings age the capital demands coming due progressively increase

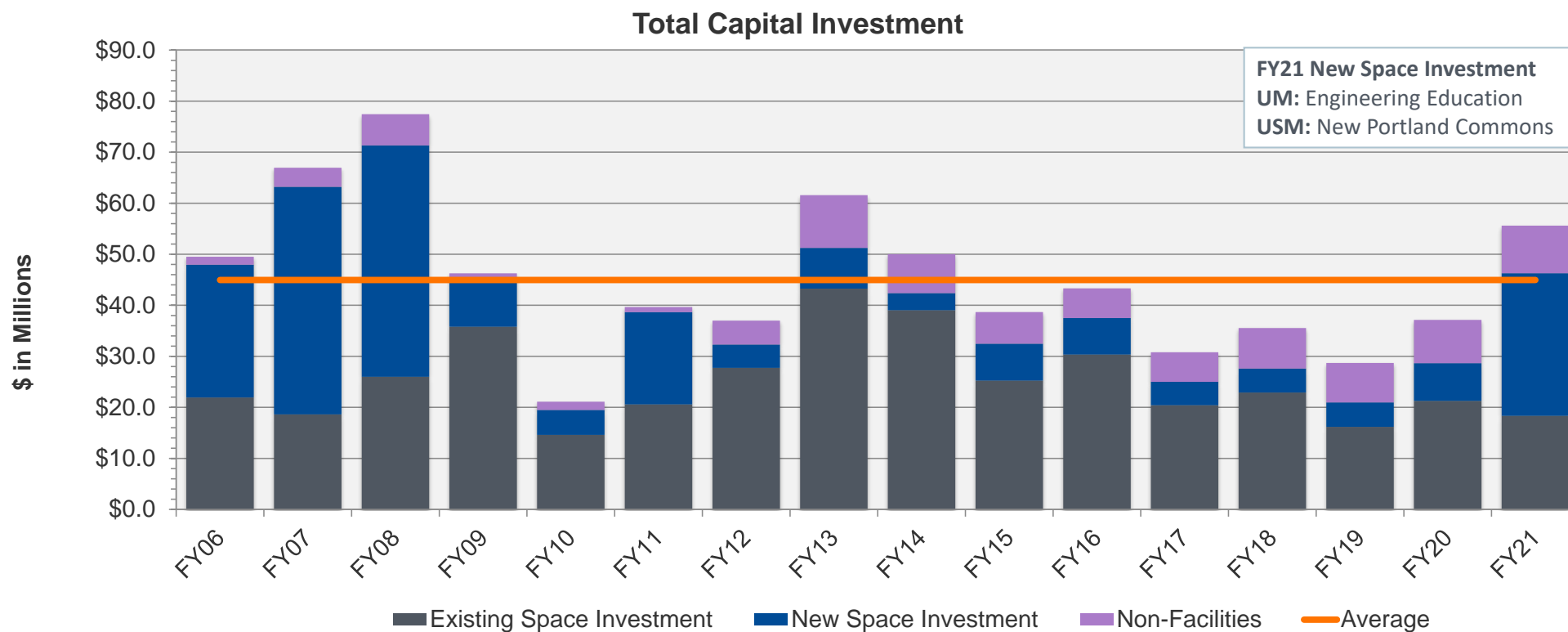
Capital Risk:	Operational Demands:
<b>Highest Risk:</b> Life cycles of major components past due – end of building life cycle approaching.	<b>React as Needed:</b> Issues in components past the end of their lifecycles will demand reactive maintenance.
<b>Higher Risk:</b> Life Cycles coming due in core building components.	<b>Balance PM and Reactive Maintenance:</b> Younger components still require PM.
<b>Medium Risk:</b> Lower cost space renewal updates needed.	Aging components require reactive maintenance.
<b>Low Risk:</b> “Honeymoon” period – little need for capital reinvestment.	<b>Focus on PM:</b> Significant need for PM in young systems.



# Asset Value Change

## Total Capital Investment Increases in FY21

Includes infrastructure investments



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

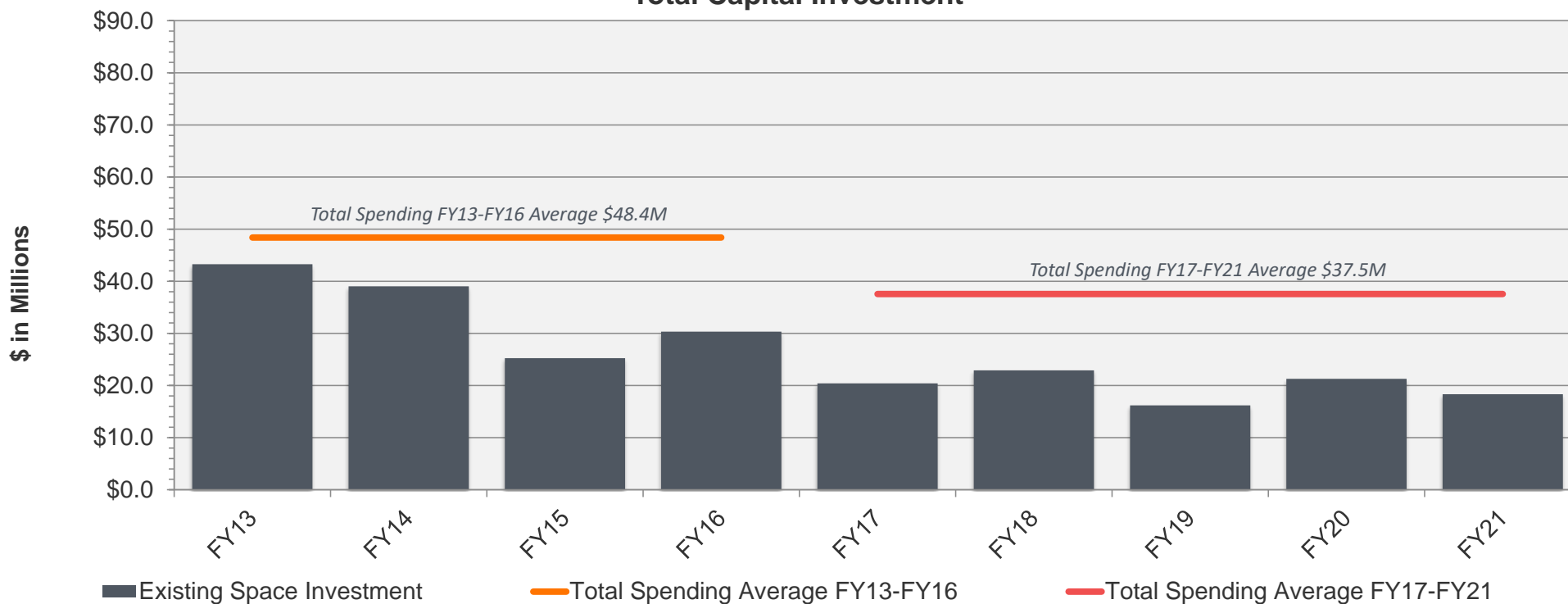




## Existing Space Capital Investment Decreases Over Time

Recent 5-year average falls \$10.9M below historical high investment during FY13-16

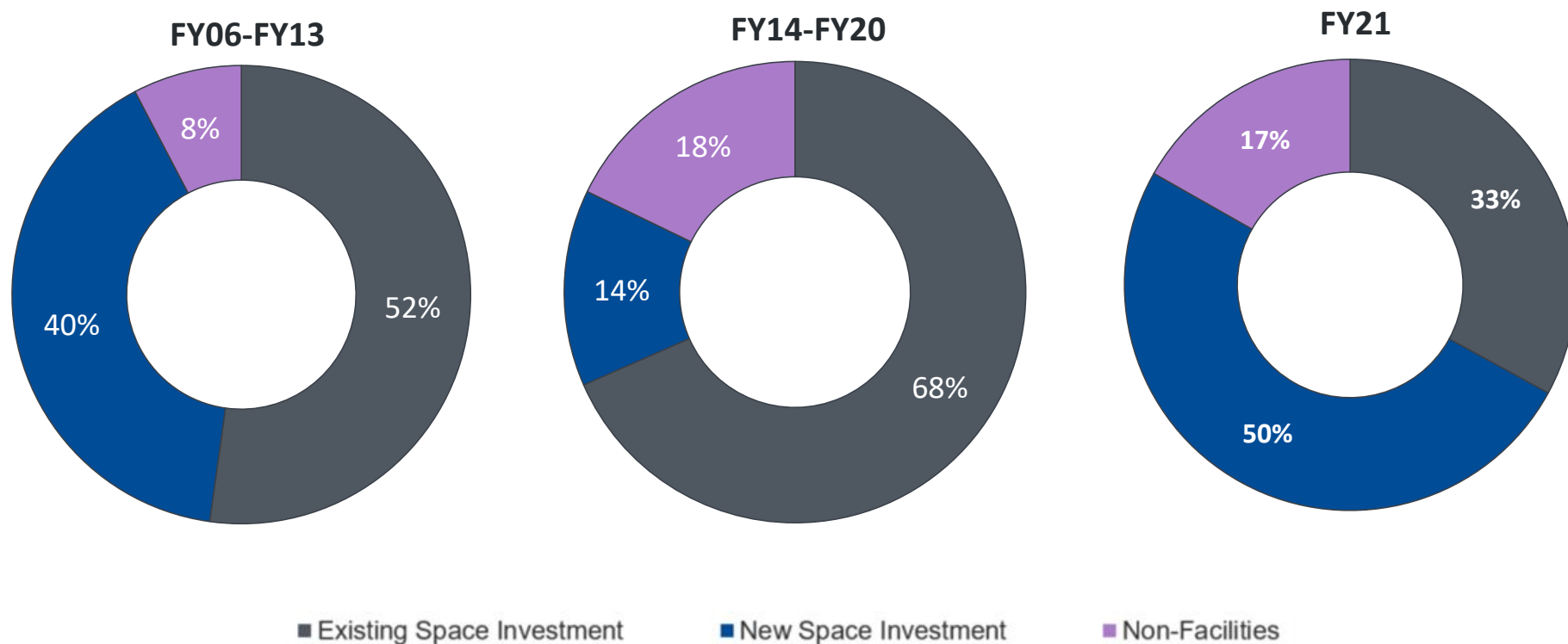
**Total Capital Investment**



*Includes infrastructure investments*

## Investments Shifts Back to New Space

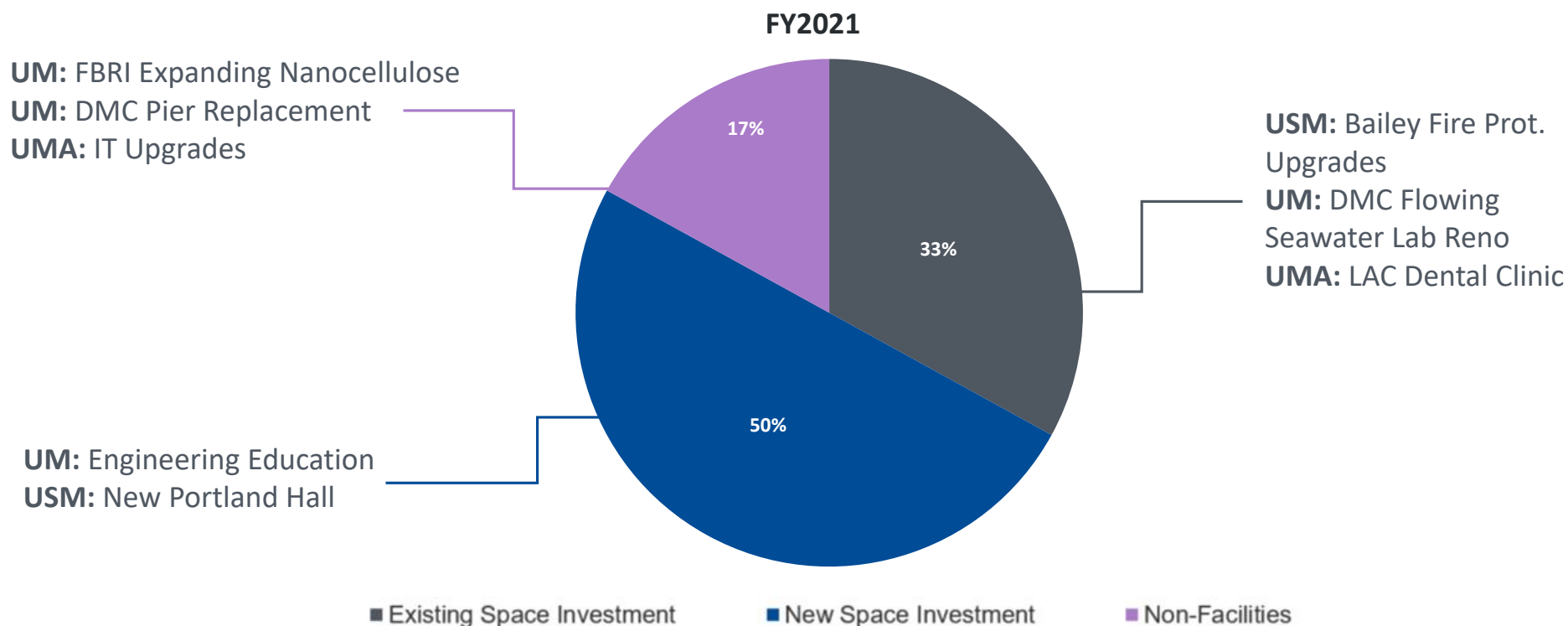
Historical existing space investments help to slow backlog growth



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

## New Space Drives FY21 Investment

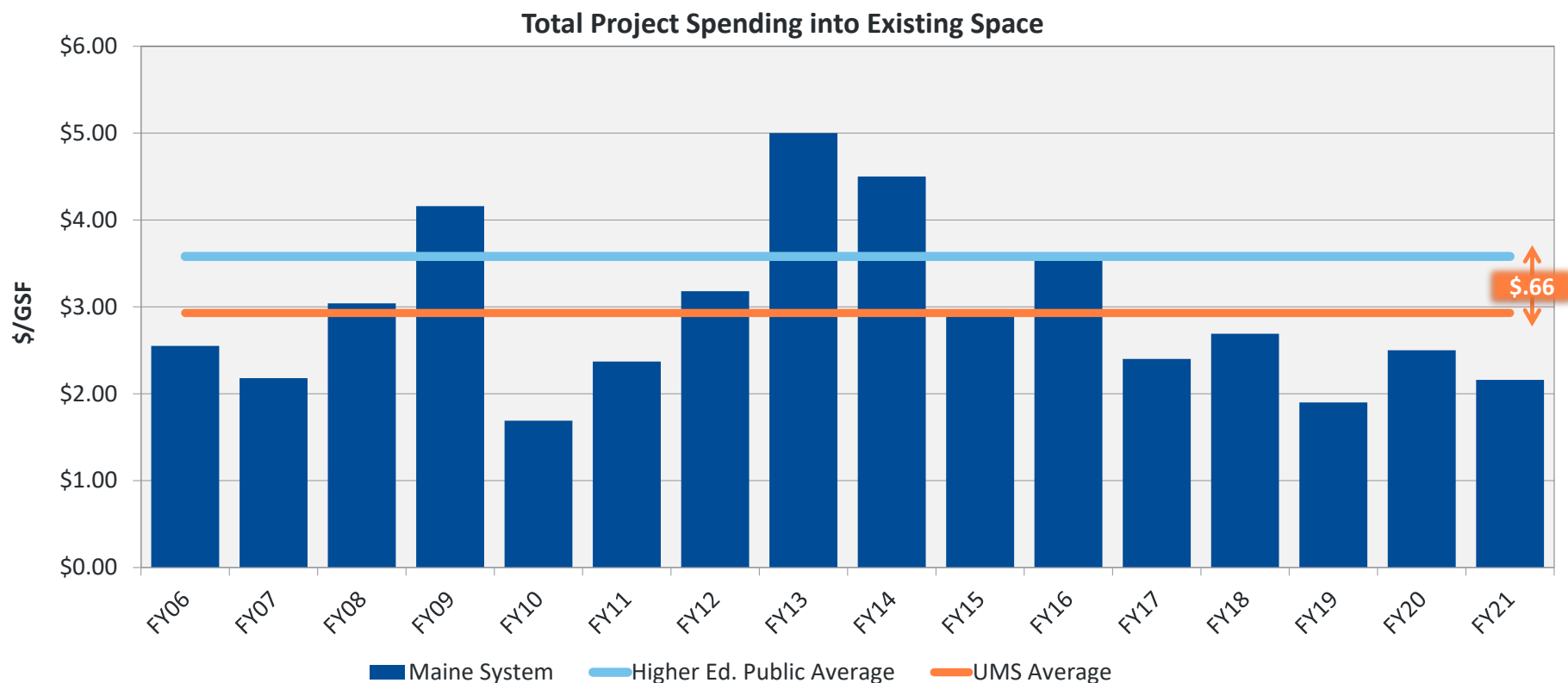
Highlighting strategic plans for record setting capital expenditures in coming years



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

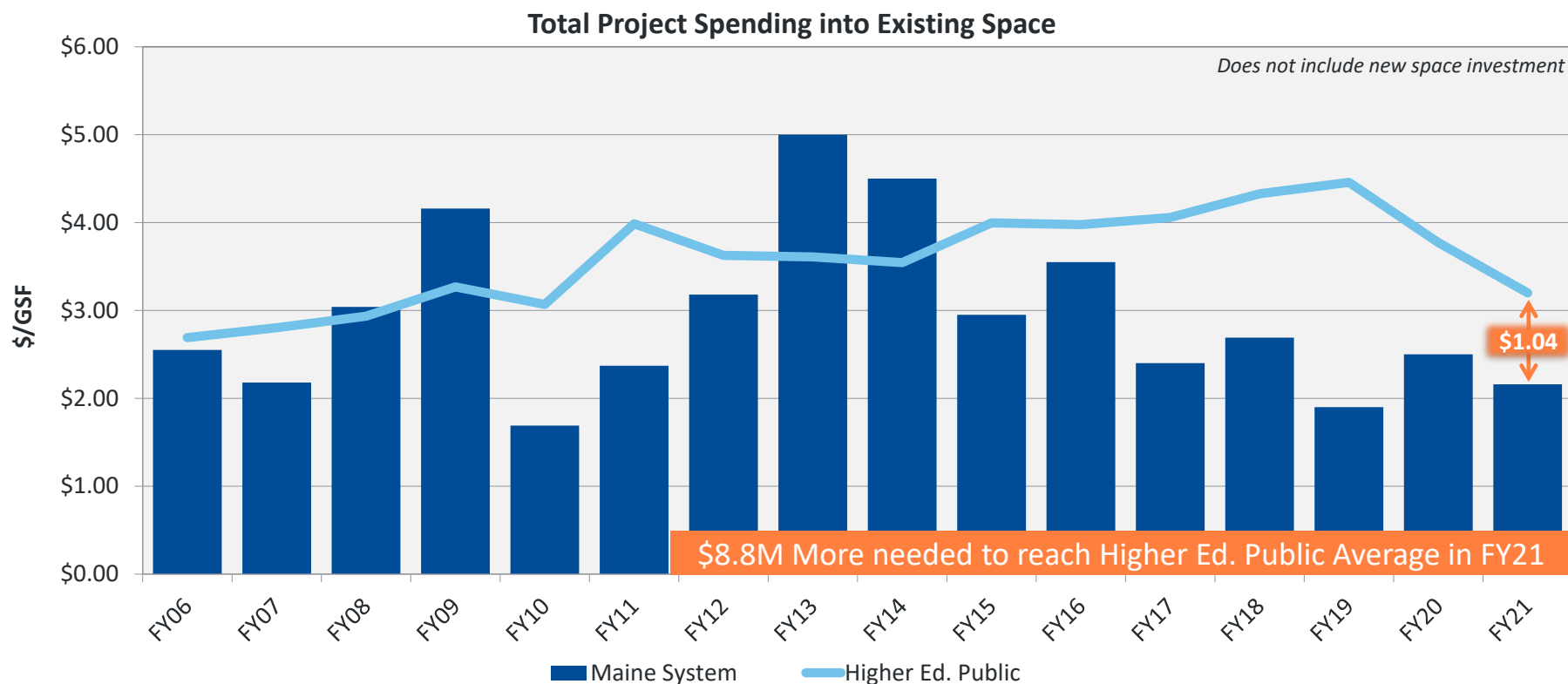
## Existing Space Investment vs. Public Institutions

Peers invest an average of \$.66/GSF more than UMS from FY06-FY21



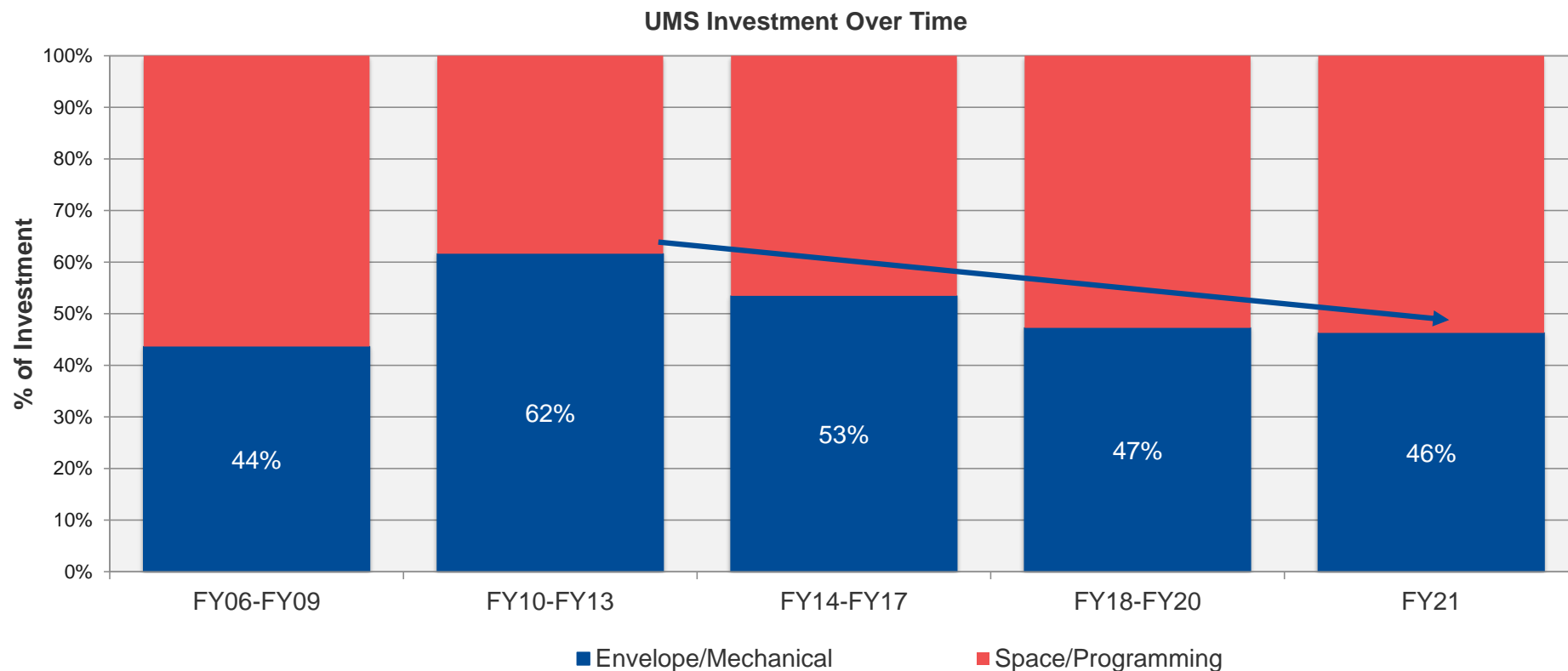
## Higher Ed Public Institutions See Dramatic Drop in FY21

UMS gap to Public Institutions investment widens \$1.04/GSF in FY21



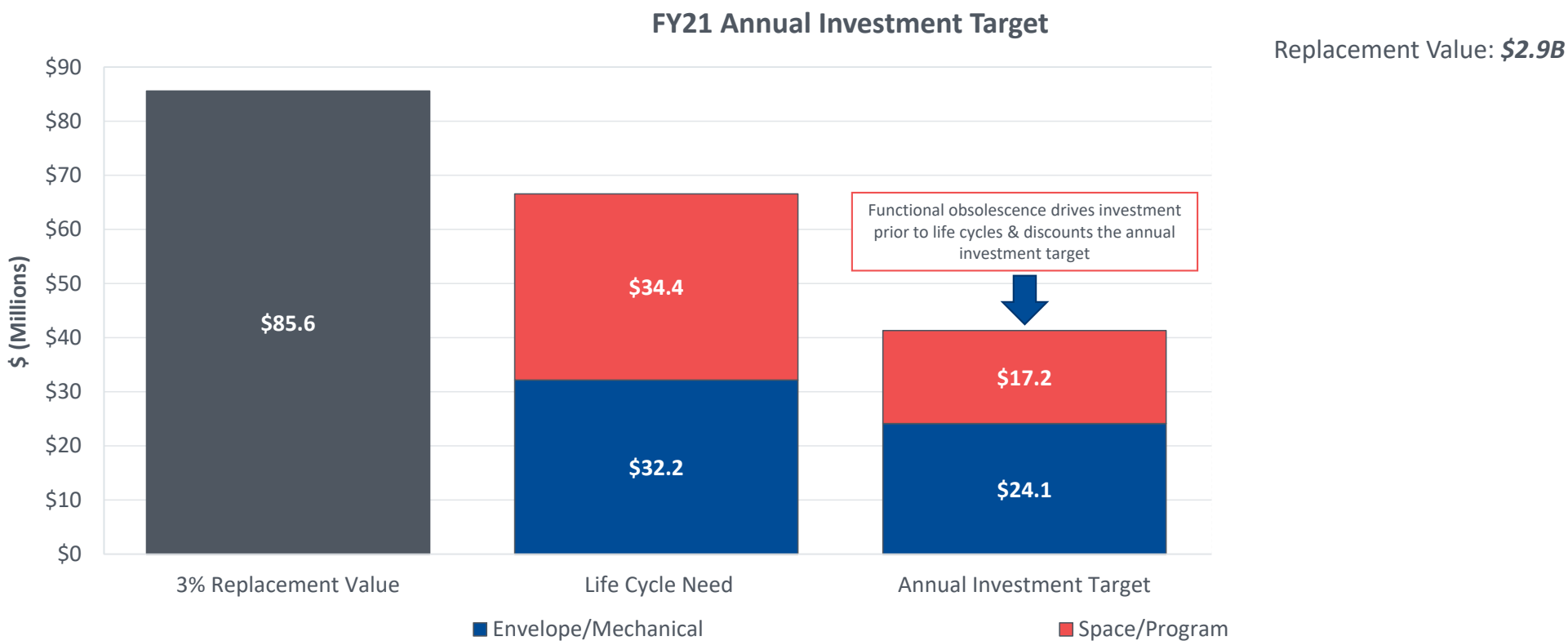
## Investment Focus Shifts Towards Space/Program

Moving investments away from high return envelope/mechanical projects

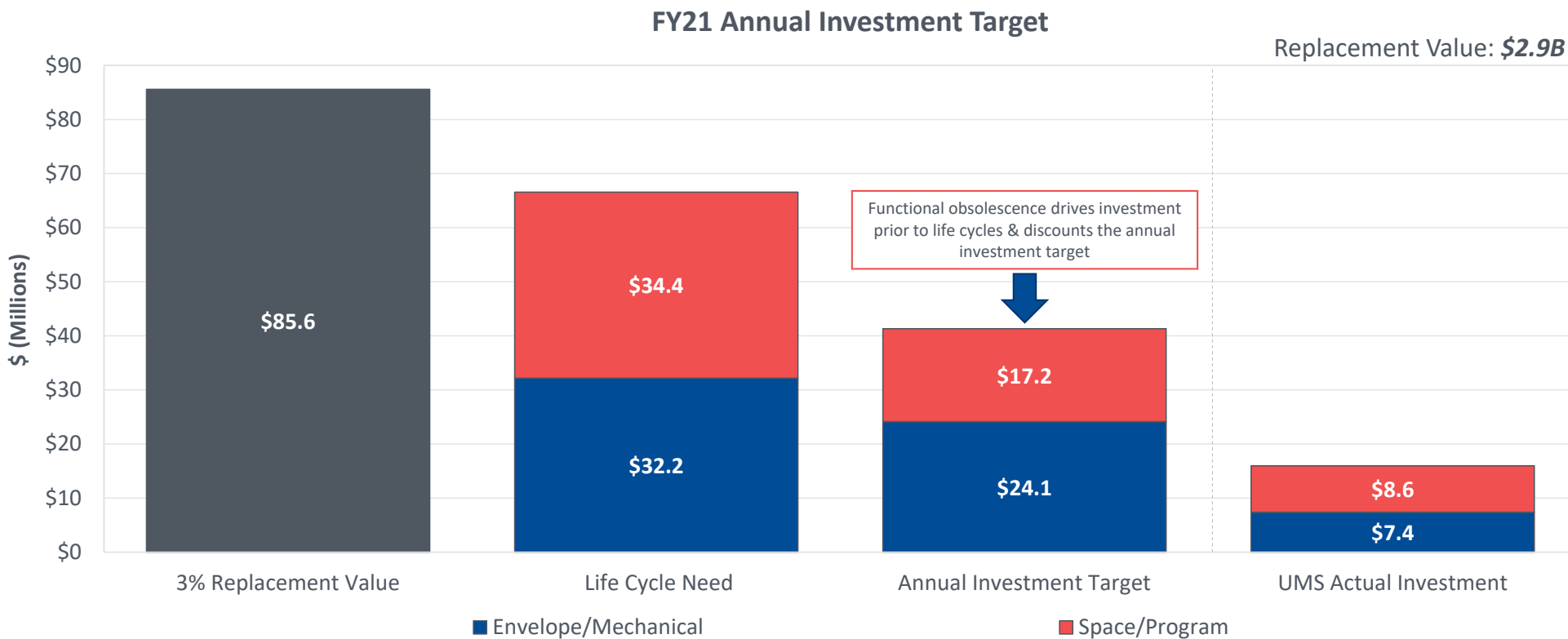


*Does not include infrastructure investments.*

# UMS FY21 Annual Investment Target: \$41.3M



# UMS FY21 Annual Investment Target: \$41.3M



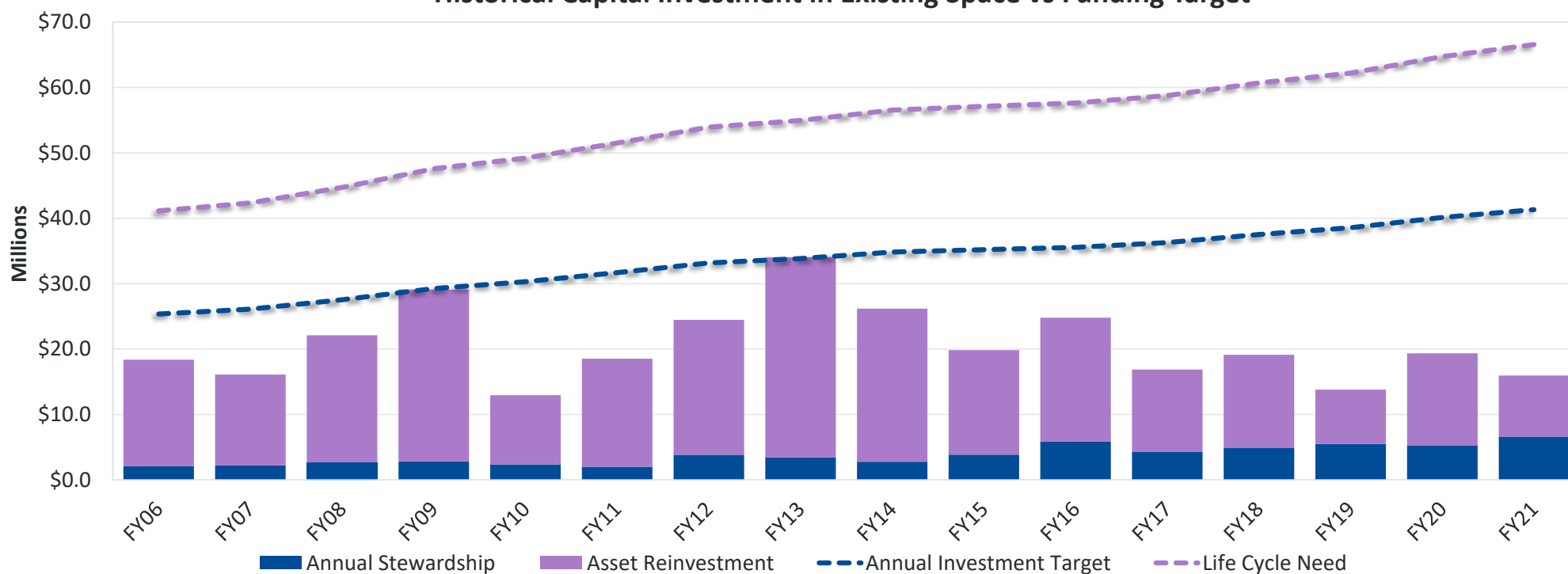
*Does not include infrastructure, new space or non-facilities spending*



## UMS Falls \$25.3M Short of Annual Investment Target in FY21

Deferral to Backlog of Need Continues in FY21

Historical Capital Investment in Existing Space vs Funding Target

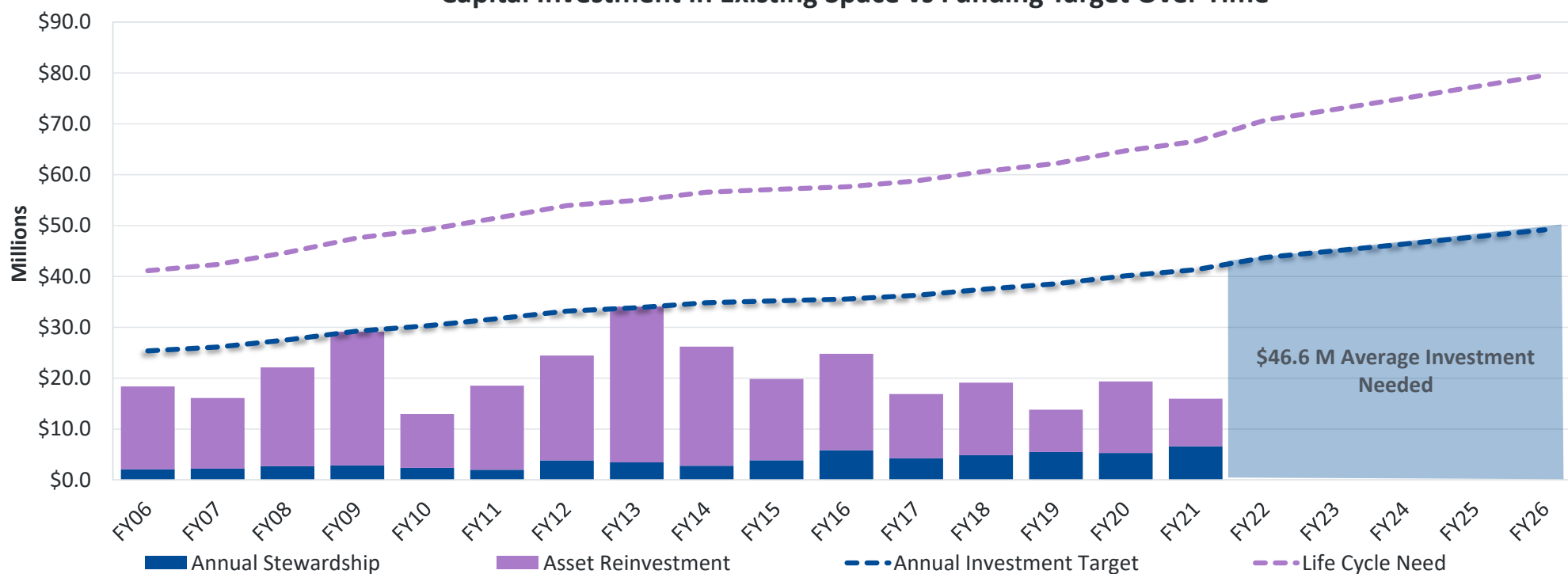


Does not include infrastructure, new space or non-facilities spending

## Sightlines' Targets Continue to Increase Over Time

Approximately \$45-\$60M needed each year to keep System assets at steady NAV

Capital Investment in Existing Space vs Funding Target Over Time

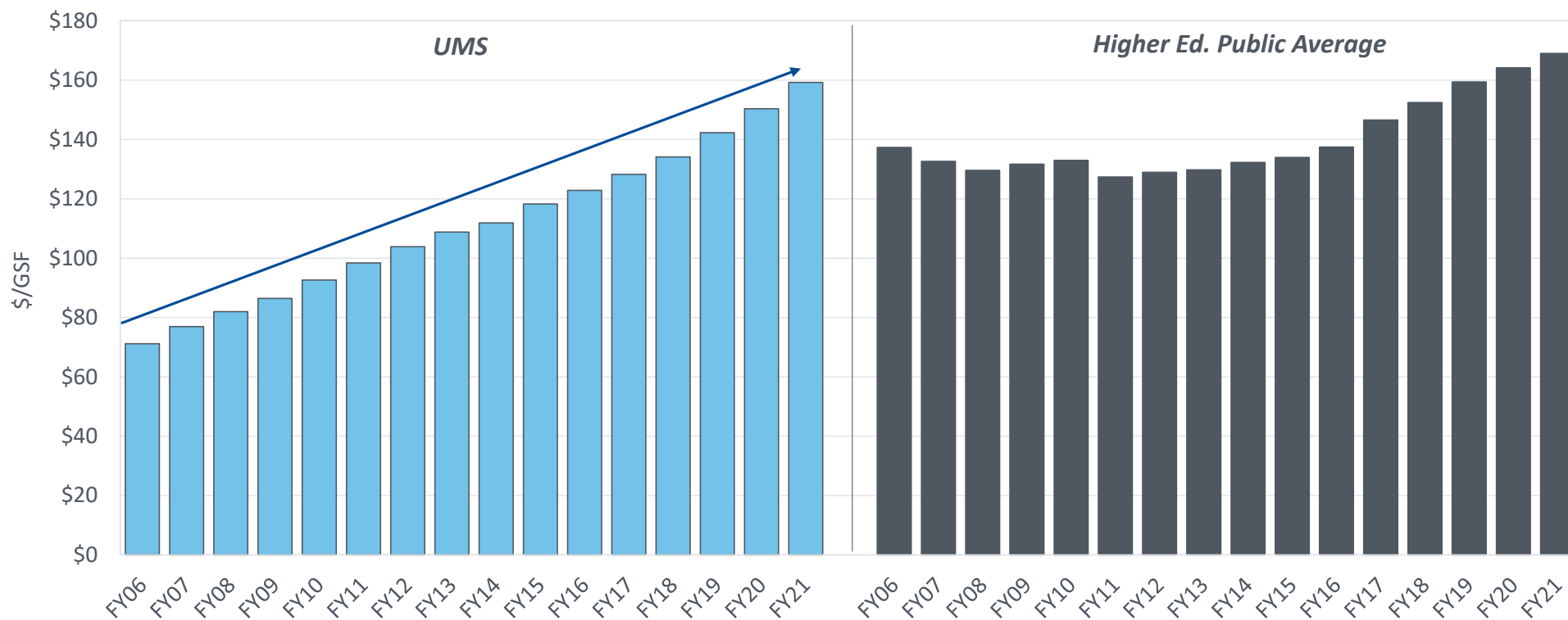


*Does not include infrastructure, new space or non-facilities spending*



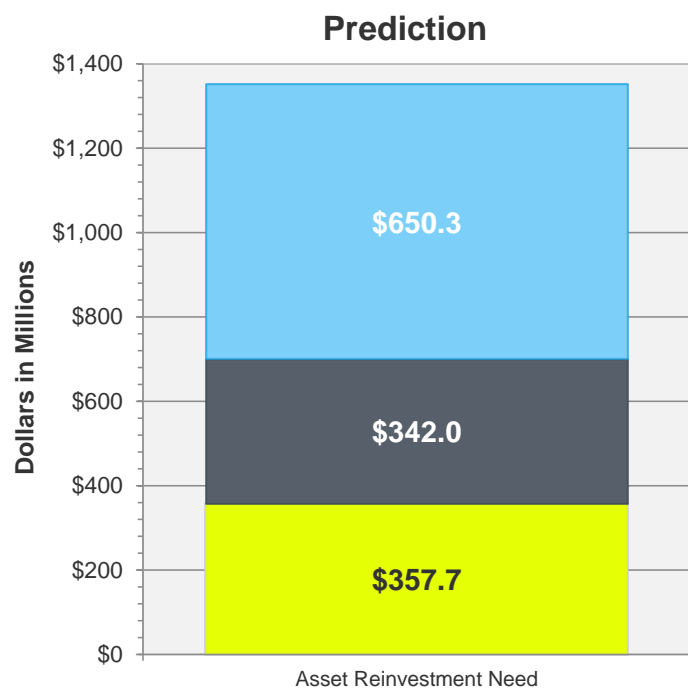
## Asset Reinvestment Need Growth Similar to Higher Ed. Public

Asset Reinvestment Need vs. Peers



# \$1.35B of Need at UMS Over the Next 10 Years

Current Need or Deferred Maintenance accounts for 26% of total need, \$357.7M



■ Modernization and Infrastructure ■ Renewal Need ■ Current Need

## Modernization and Infrastructure

- ✓ **Combination of Funds**
- ✓ Estimated using a combination of the Gordian's database and financial modeling

## Renewal Need

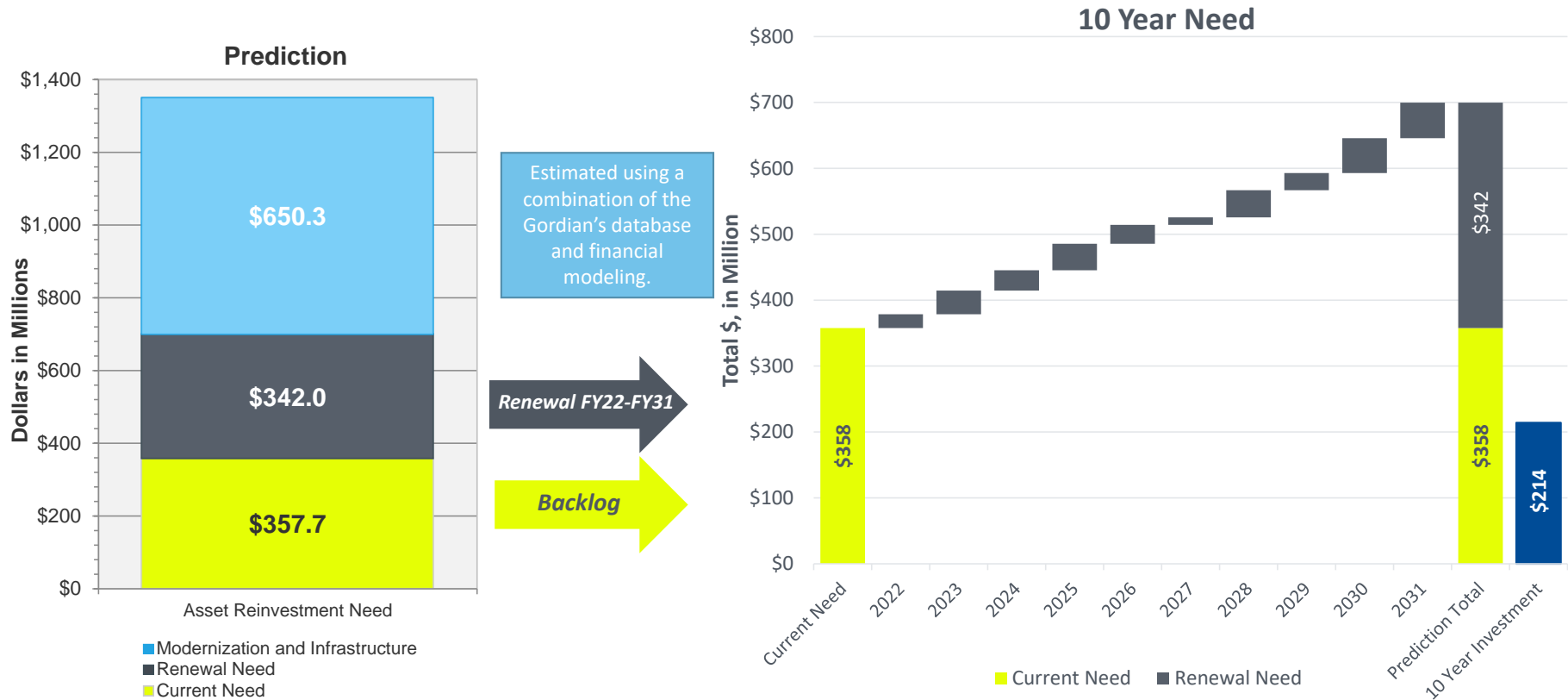
- ✓ **"Keep-Up" Funds**
- ✓ Life Cycle Needs coming due between FY22 – FY31

## Current Need

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

## Planning Investments Over the Next Ten Years

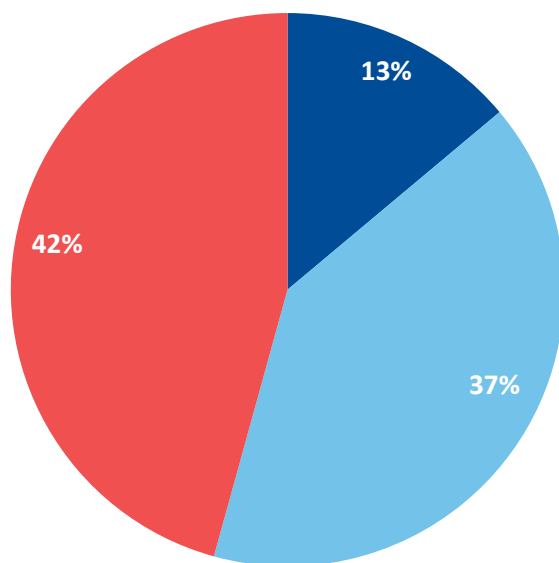
Current Need or Deferred Maintenance accounts for 26% of total need, \$357.7M



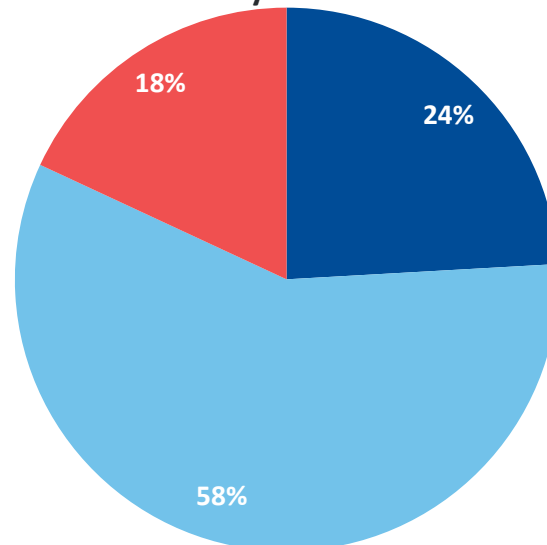
## Continued Investment in Mechanical and Envelope Needed

UMS invested only 30% of required 10 year need in the prior 10 years

FY12-FY21 Historical Project Investment



Distribution of Maine System Need\* by System



■ Envelope ■ Mechanical ■ Interiors

\$214M Invested

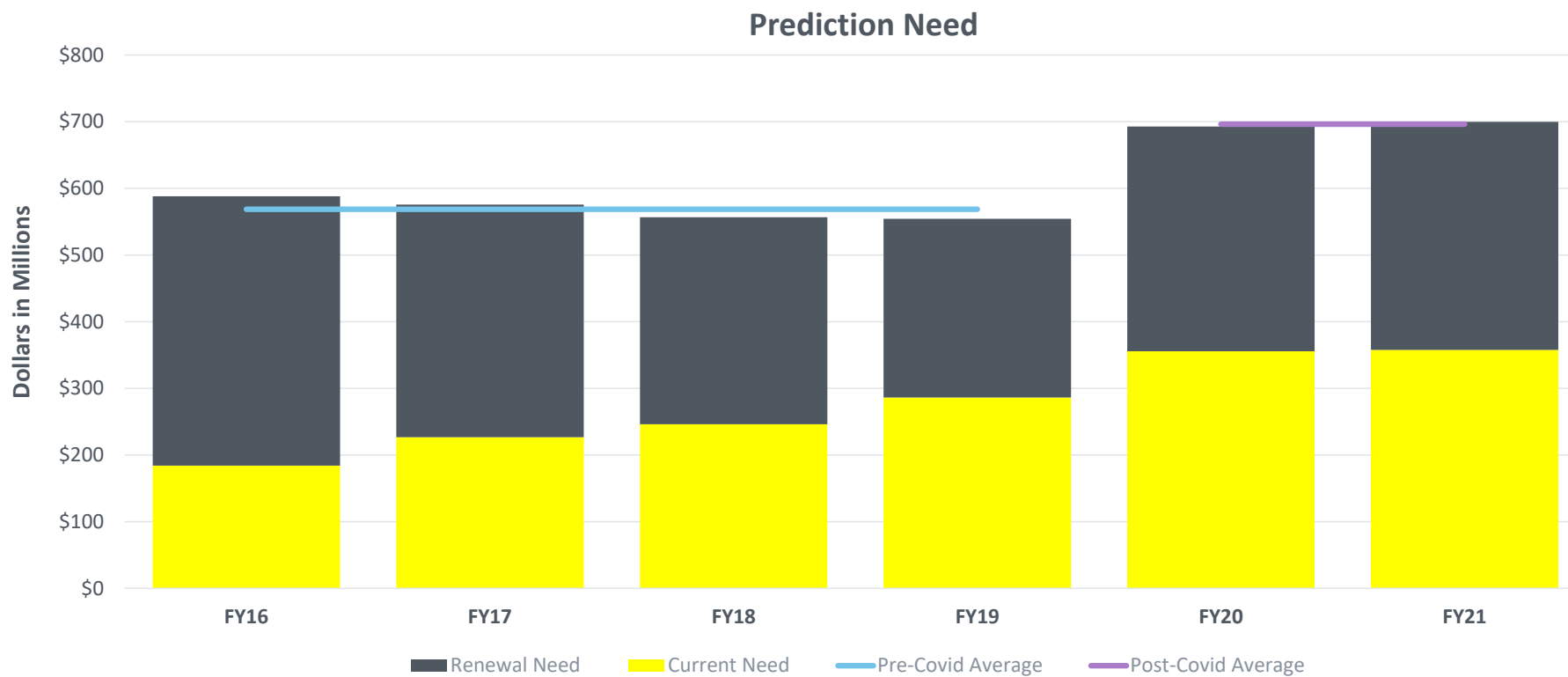
\$699.7M of Need

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

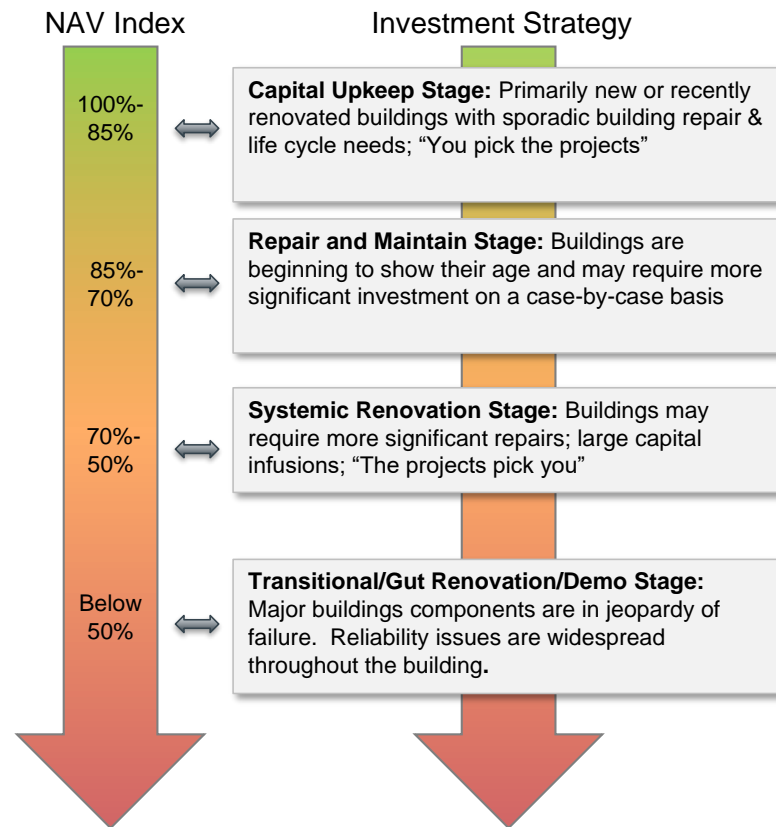
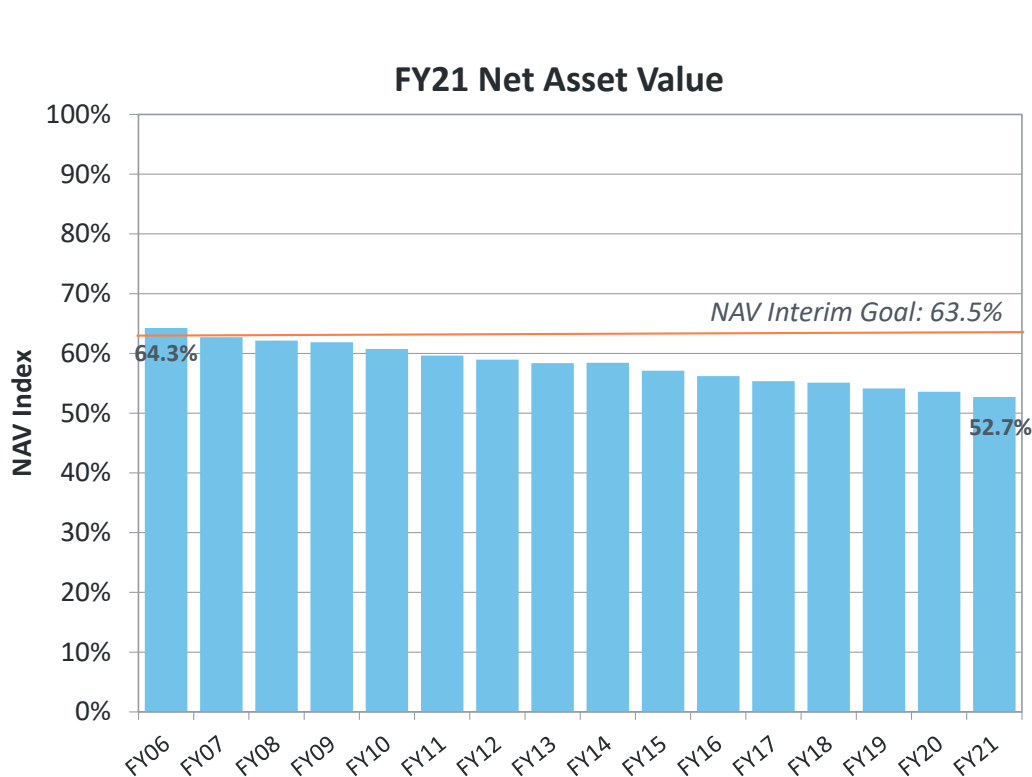
42

## Investment Strategy Keeps Predicted Need Steady

Additional modernization, program and infrastructure investments still needed

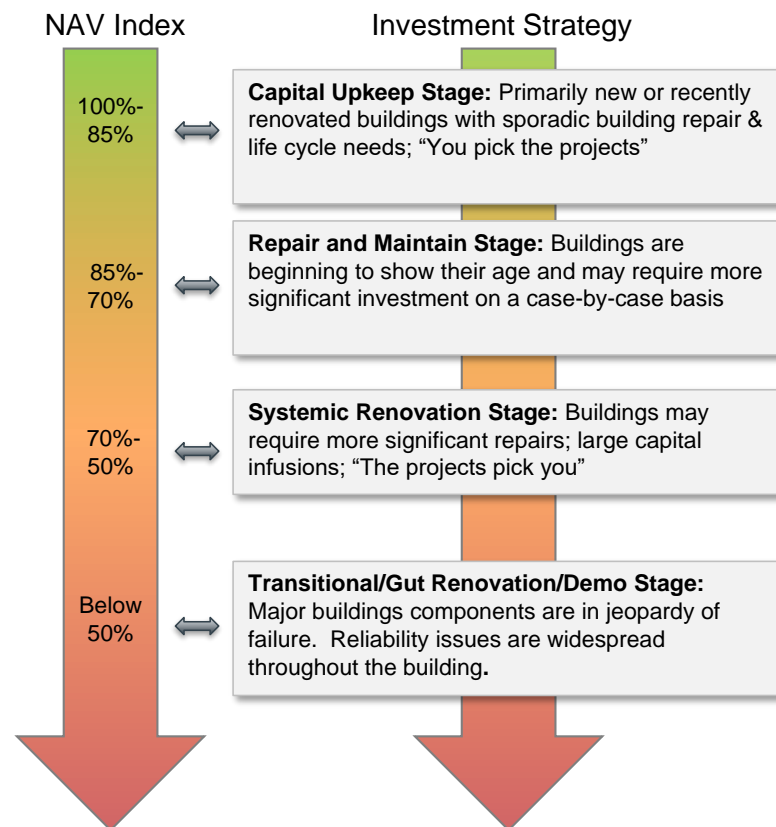
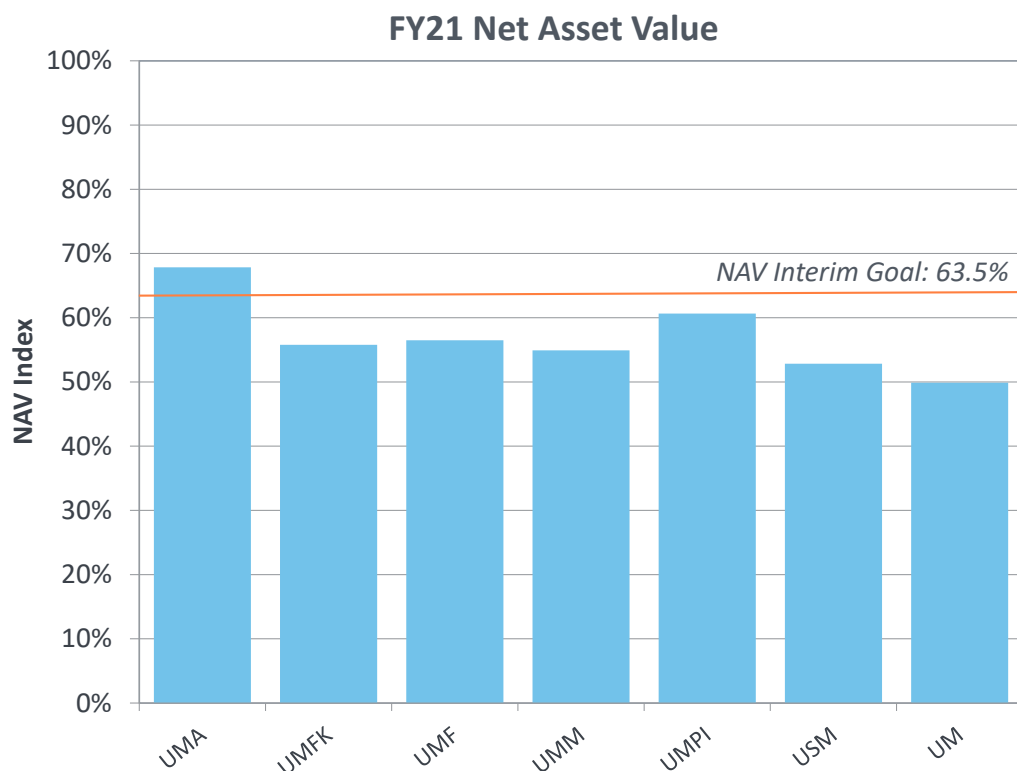


## Net Asset Value Over Time; Below KPI Interim Goal



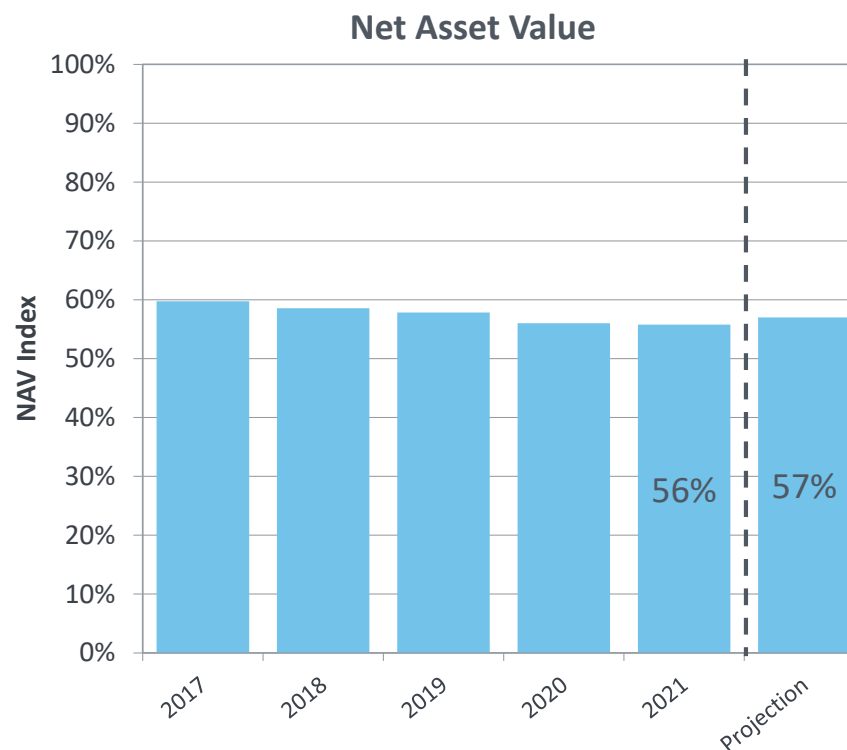
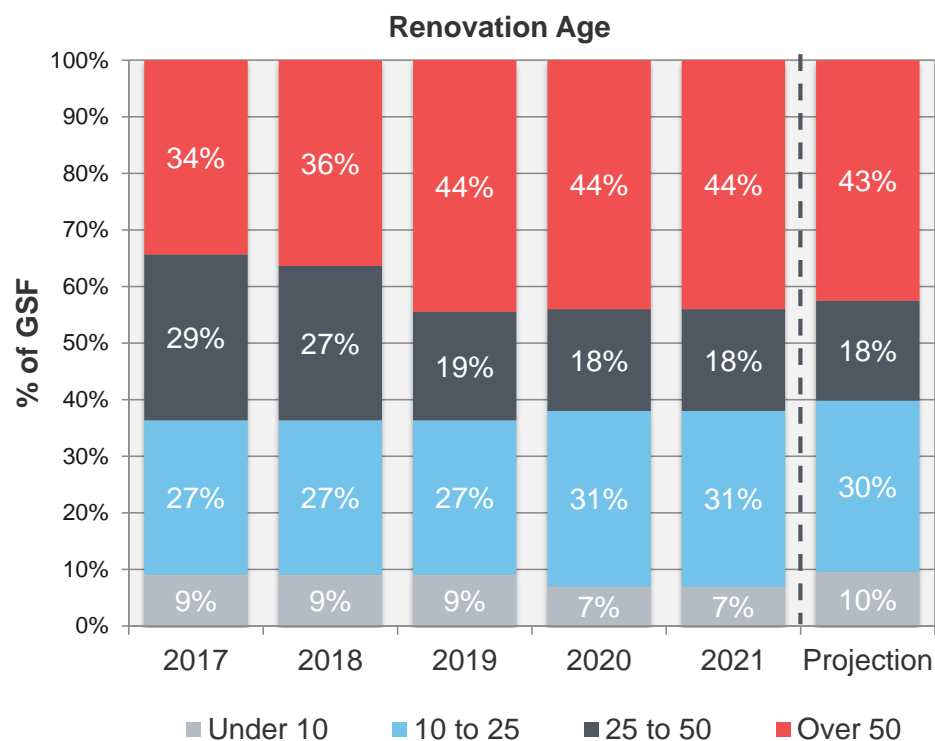


## FY21 Net Asset Value By Campus

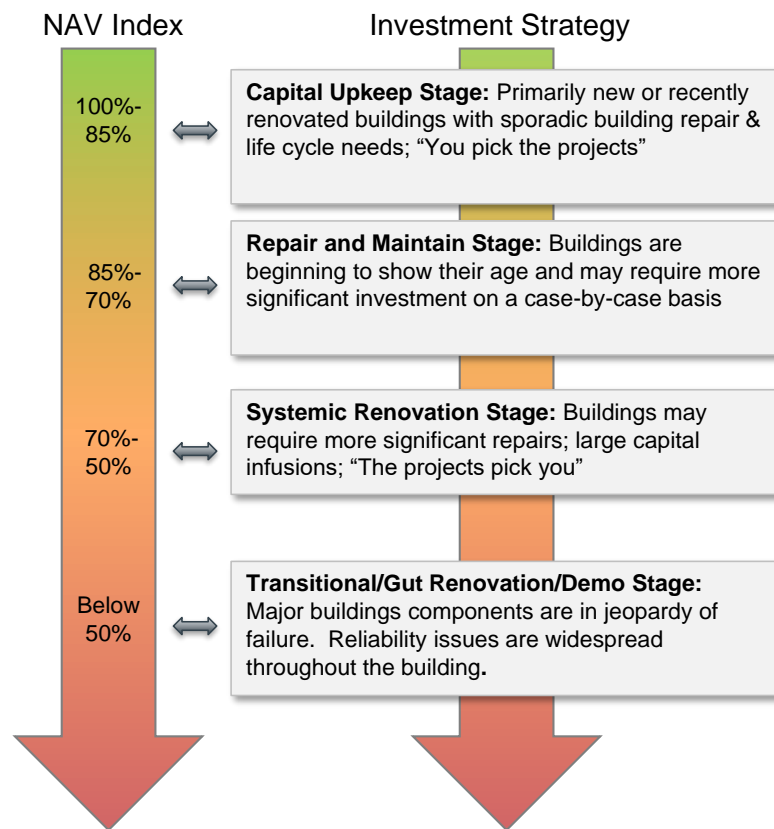
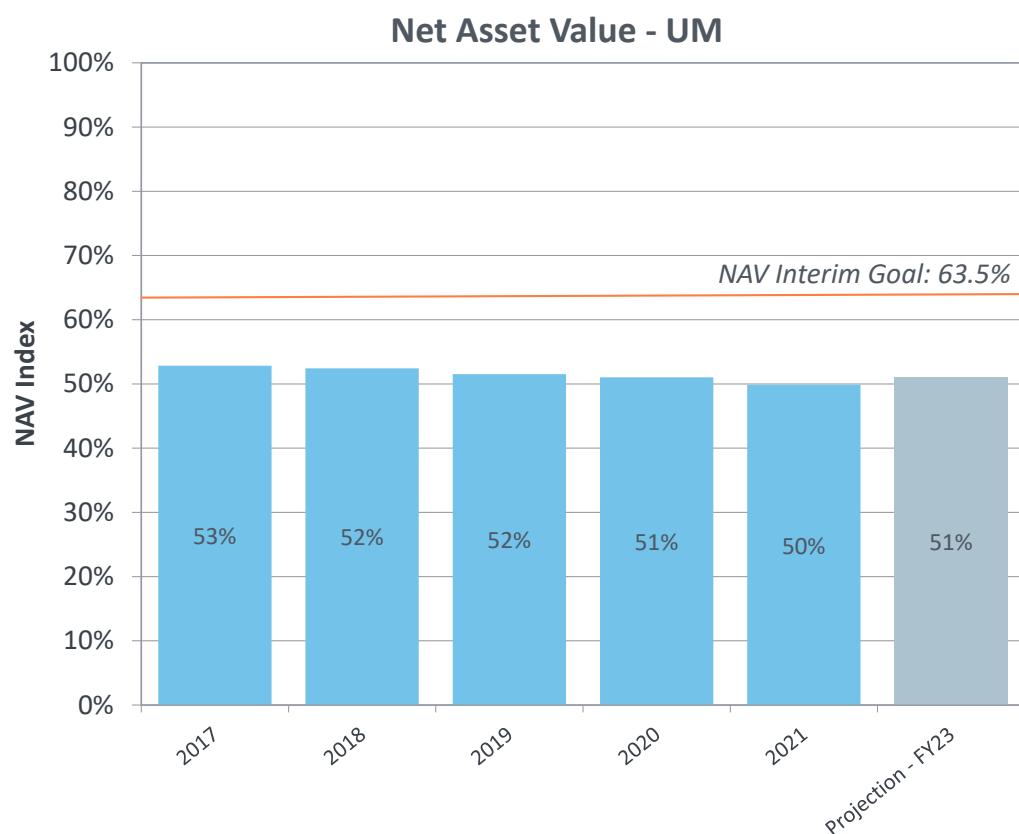


## Case Study: Fort Kent Enrollment and Advancement Center

Removing older spaces in addition to the new facility improves NAV and renovation age



## Case Study: New Space Projected to Increase NAV @ UM

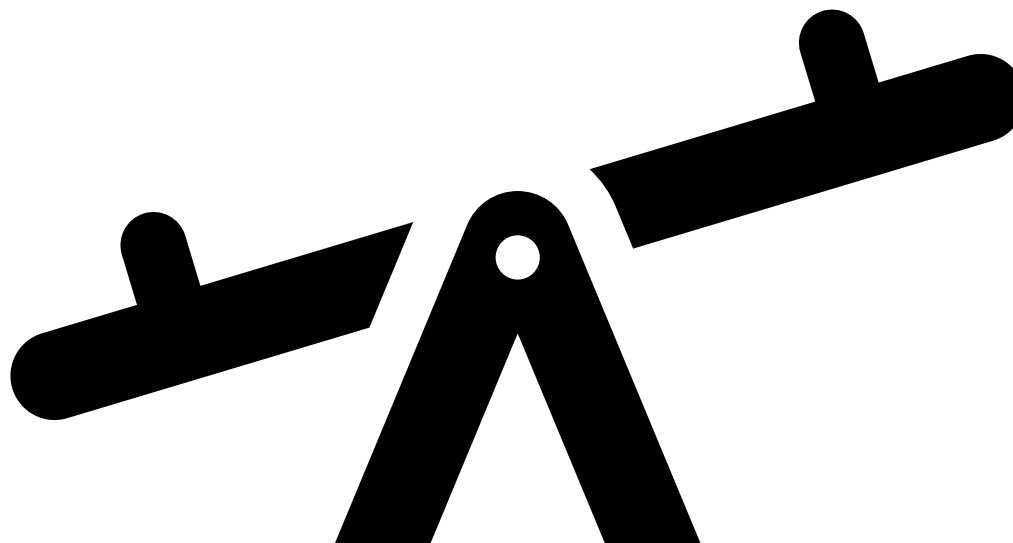
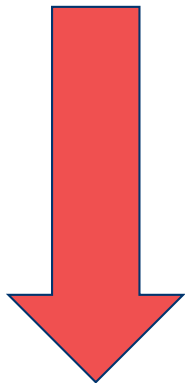


# Operations Success

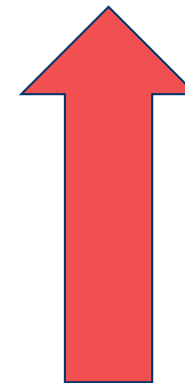
## Balancing Capital Projects With Daily Operations

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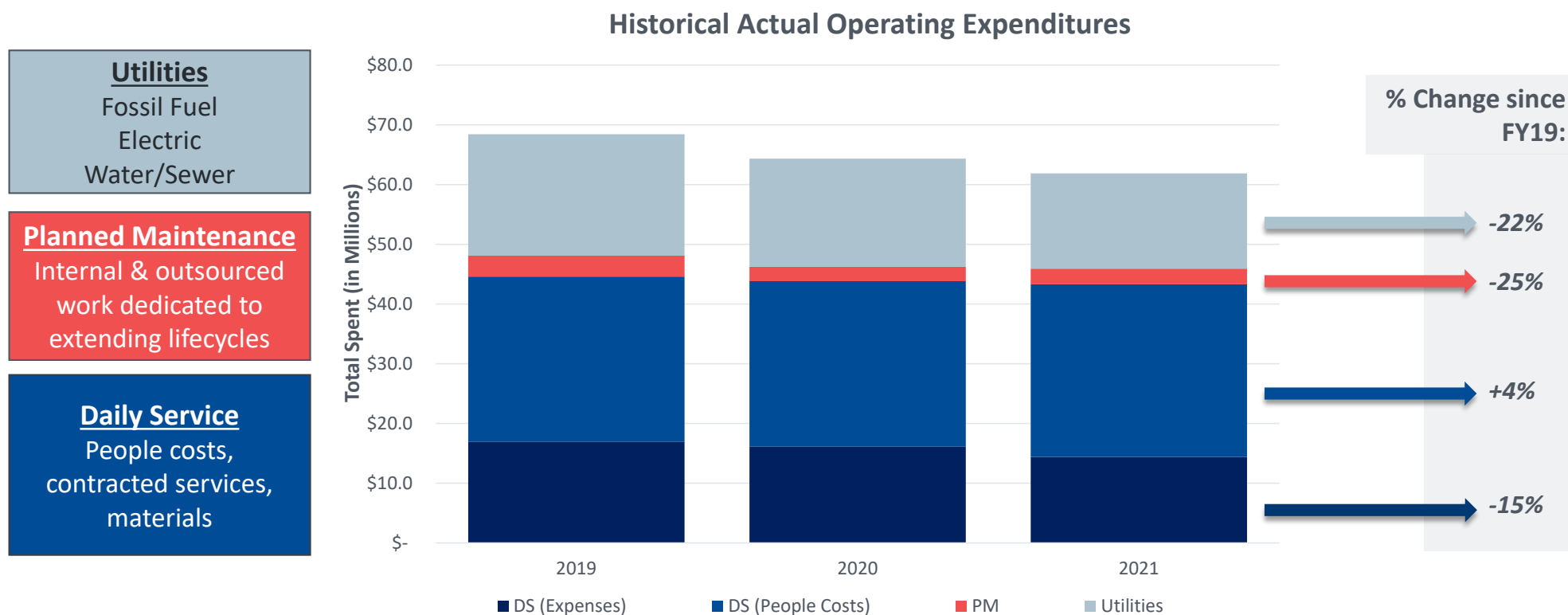
Capital Investment \$\$



Daily Operating \$\$



## Operating Actuals Decreasing Over Time

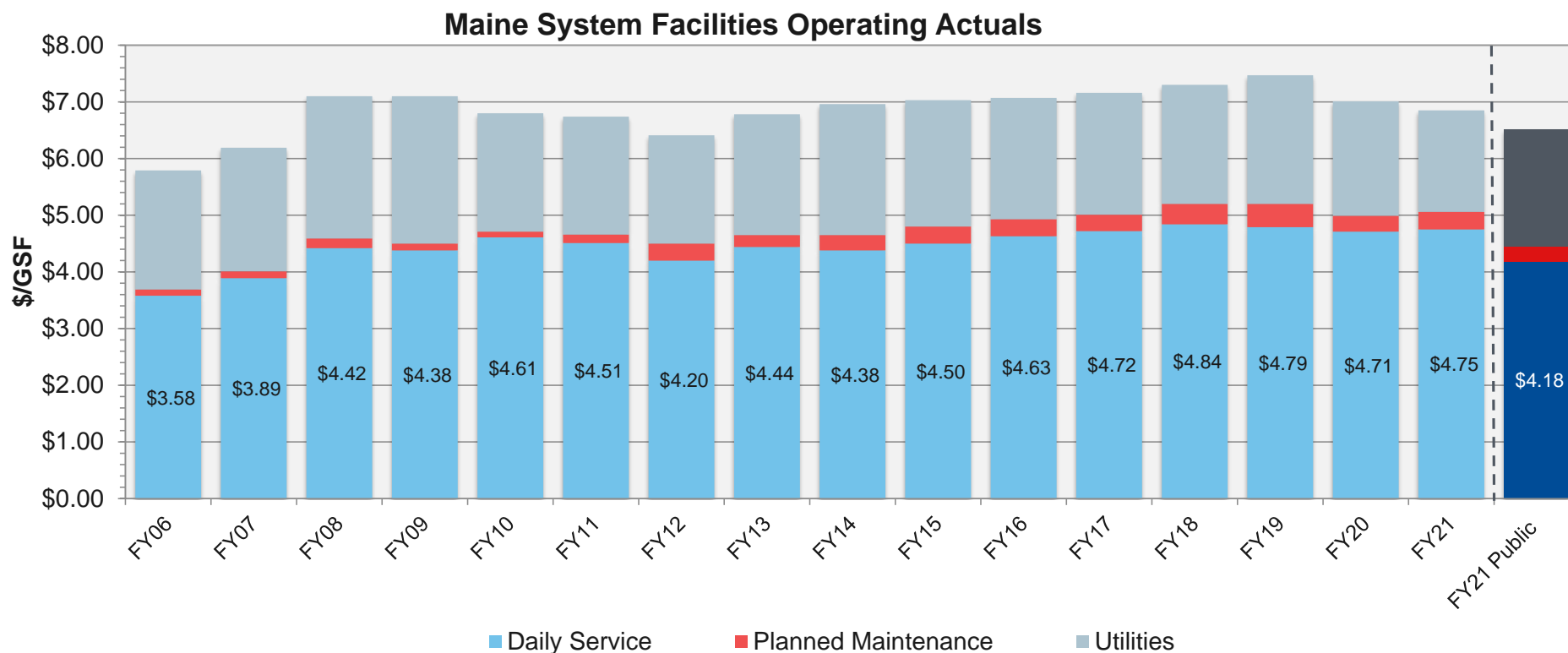


\*Operating budget does not include Covid-19 expenses

\*\*Utilities expenditures is a combination of consumption and unit costs

# COVID Continues to Impact Operating Budget

Utilities drive decrease in FY21

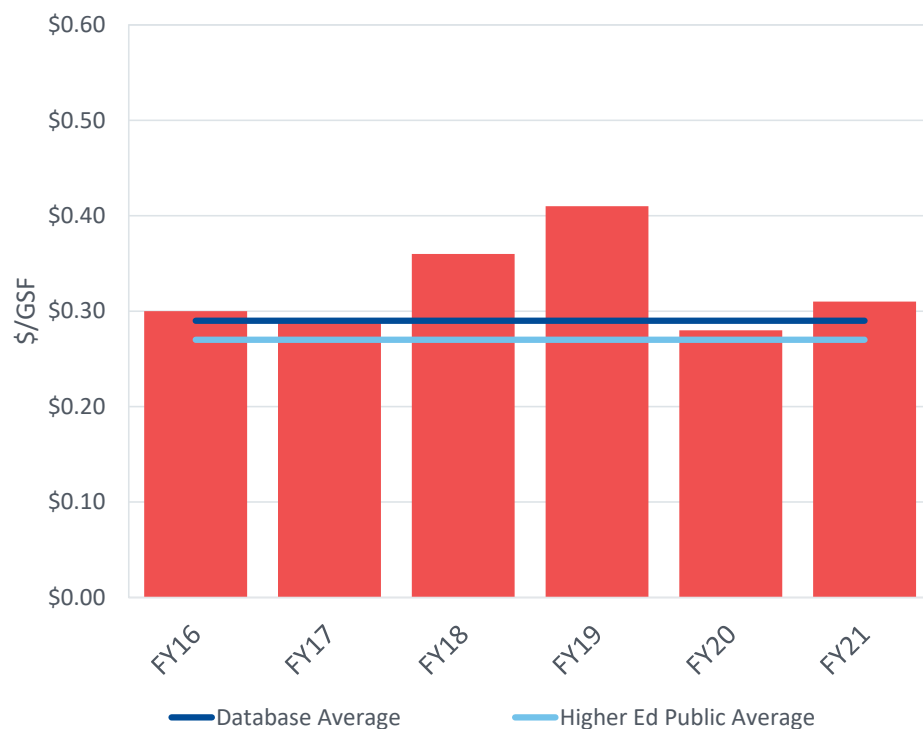


FY21 Public: Gordian Public Higher Ed. Database Average for FY2021

# Planned Maintenance Strategic Opportunities

AIM tracking can improve strategic PM investment

UMS Planned Maintenance Spending



## THEORY



\$1.00 invested in  
PM now



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

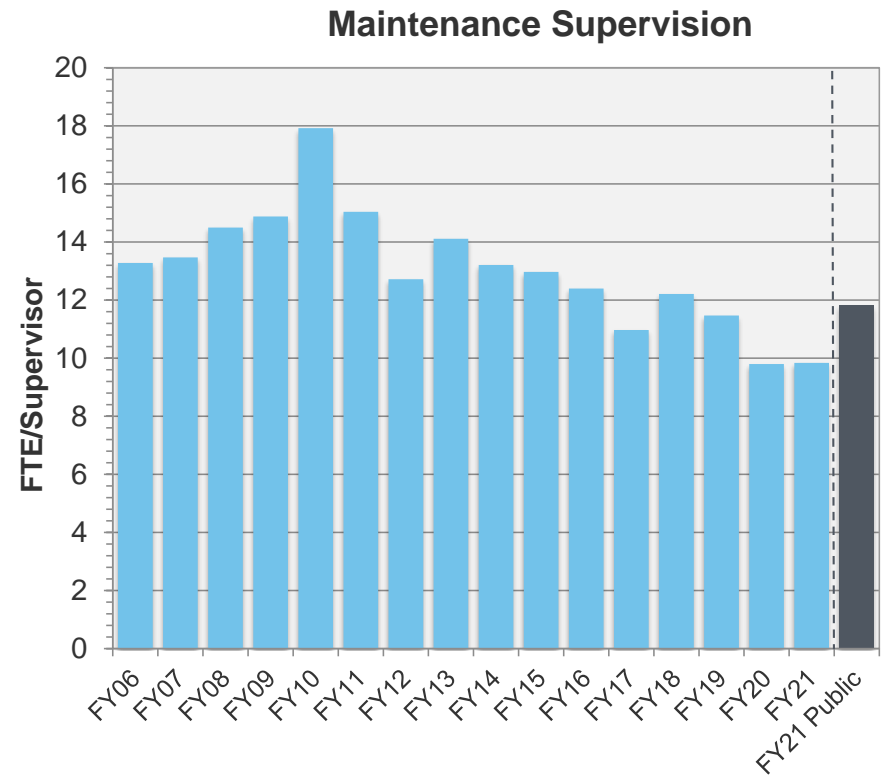
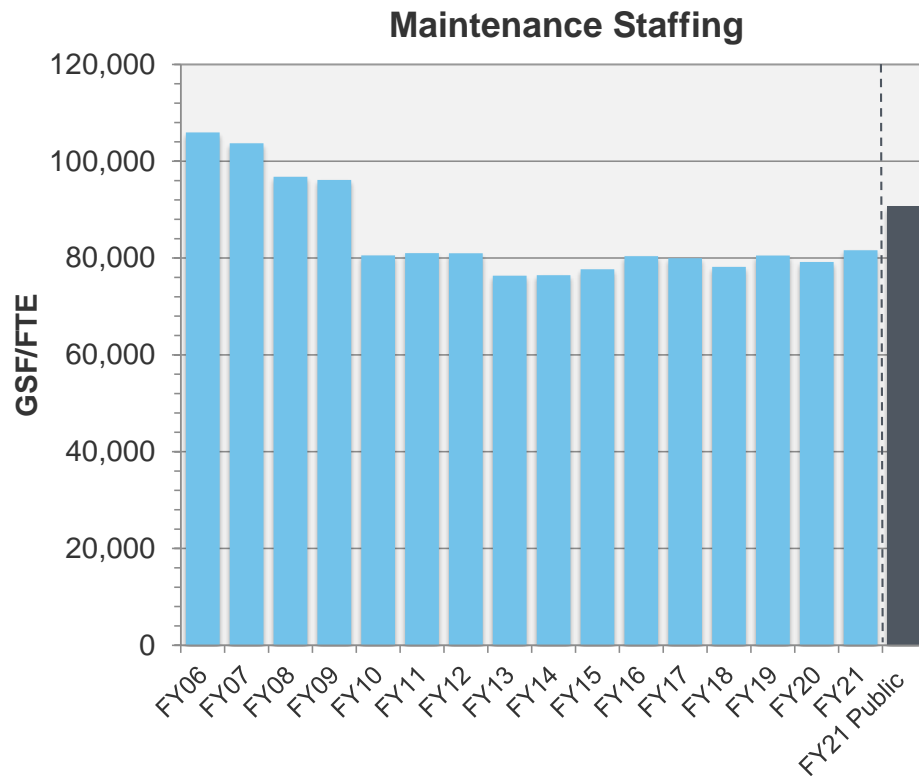
### Strategic Deferral of PM

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



# Maintenance Operations

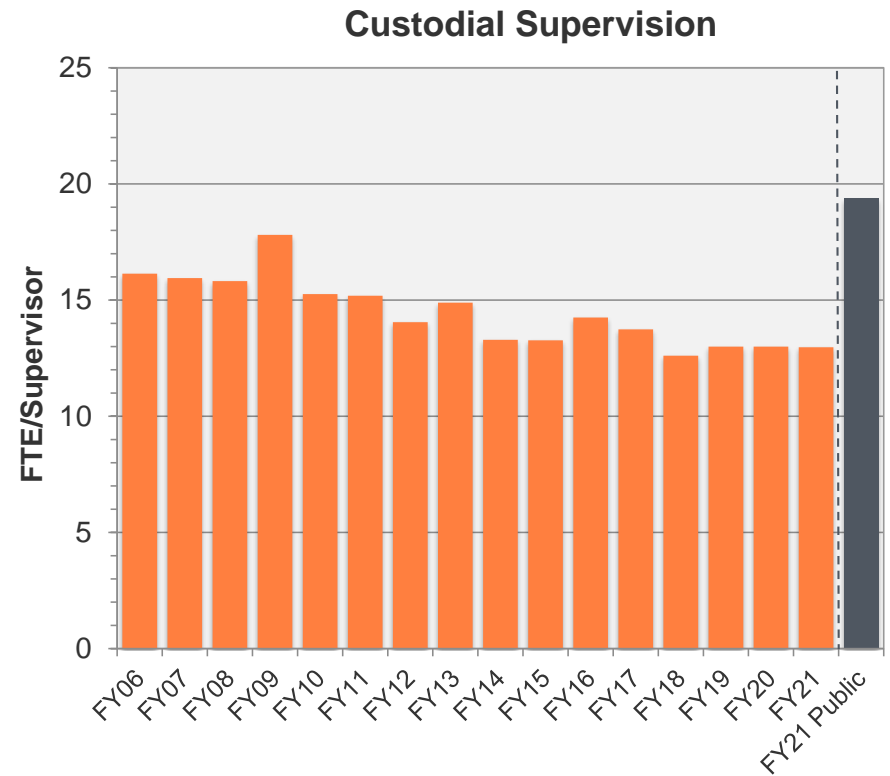
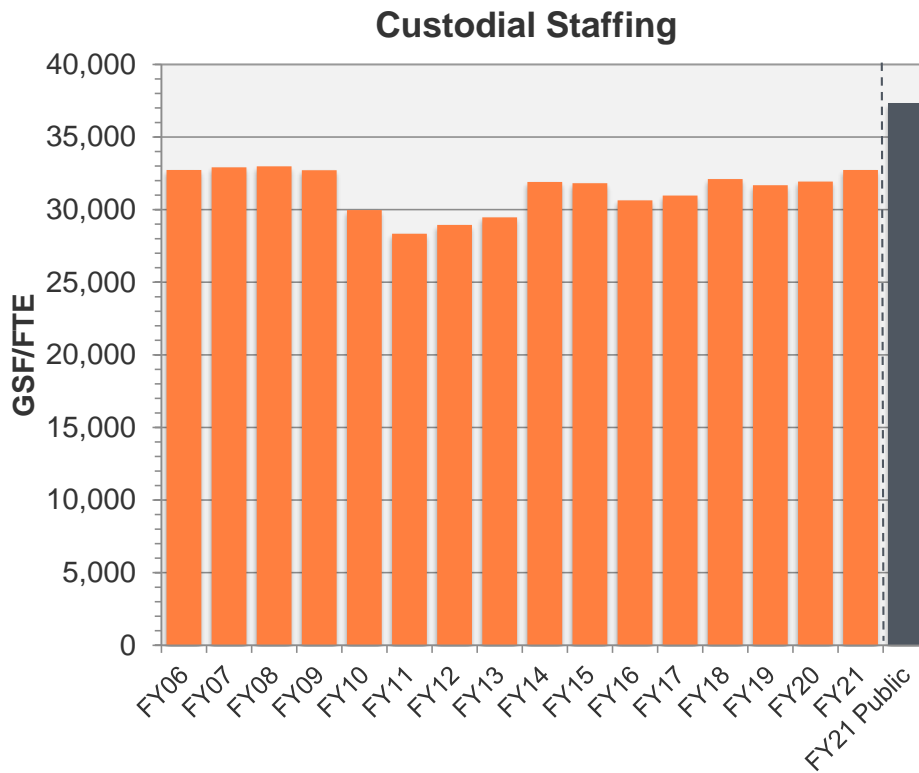
Staff covered less GSF/FTE, has more supervision to Public Higher Ed. in FY21



FY21 Public: Gordian Public Higher Ed. Database Average for FY21

# Custodial Operations

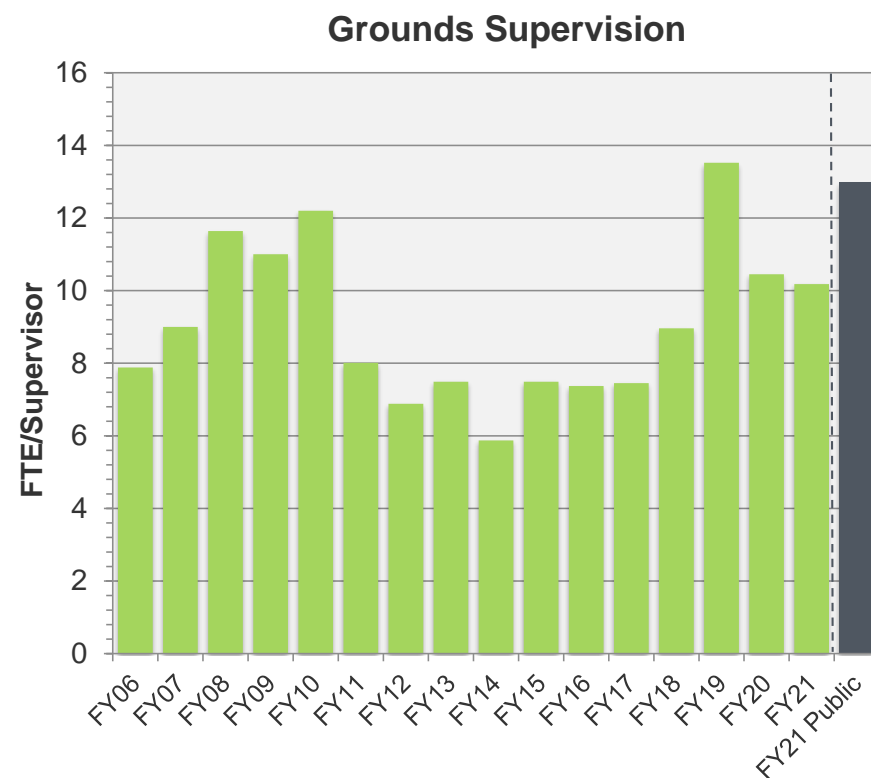
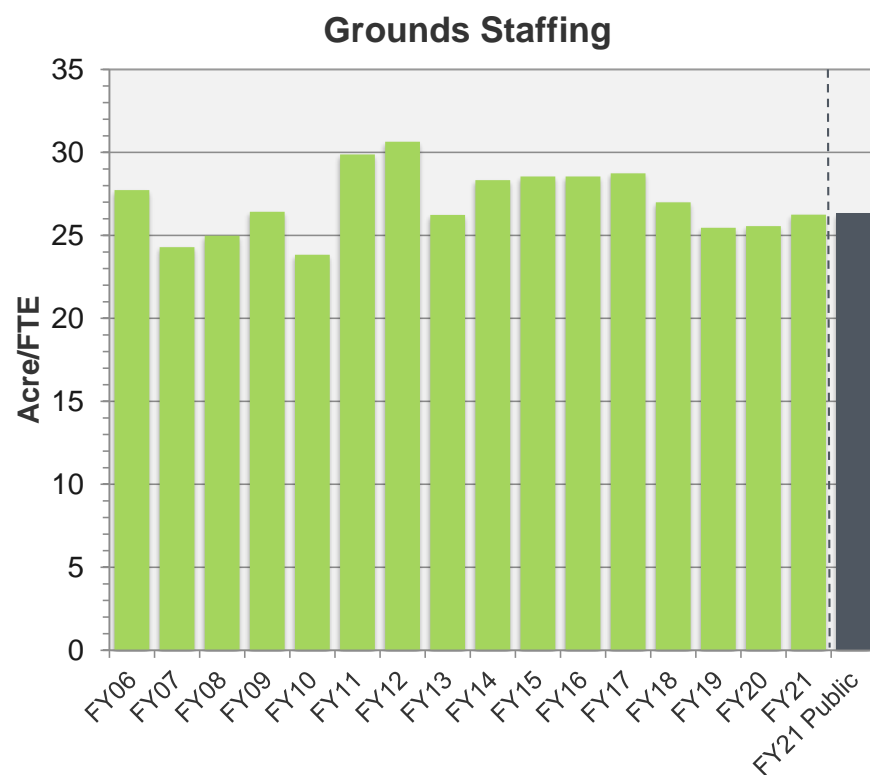
UMS has more custodial staff with closer supervision than public school average



FY21 Public: Gordian Public Higher Ed. Database Average for FY21

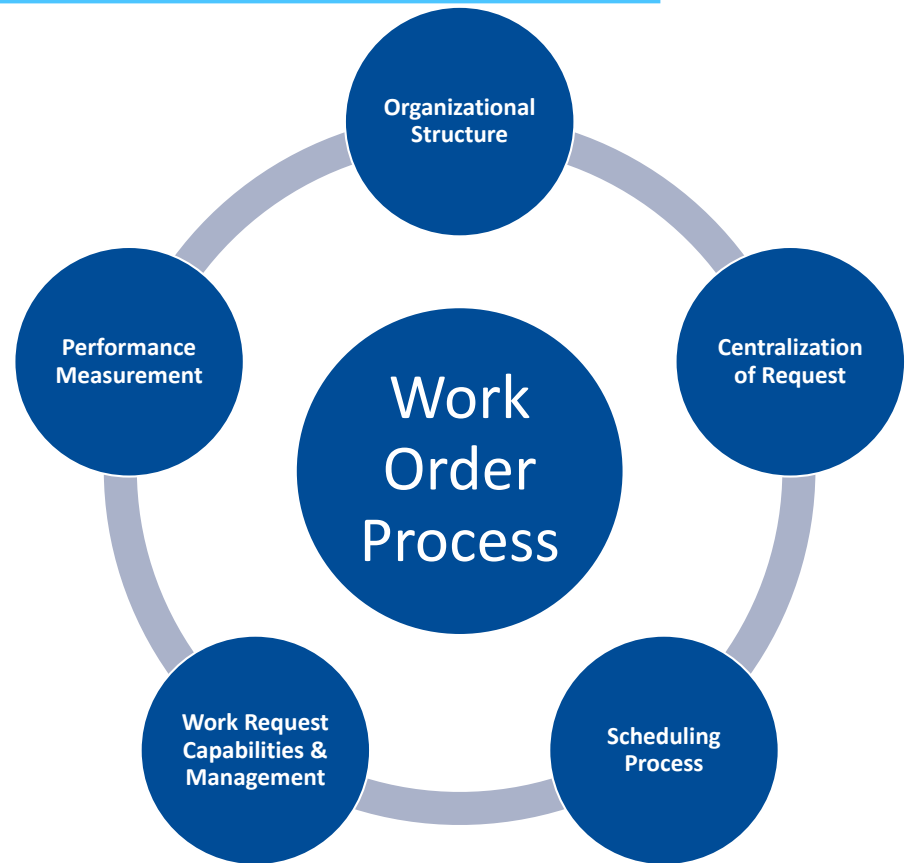
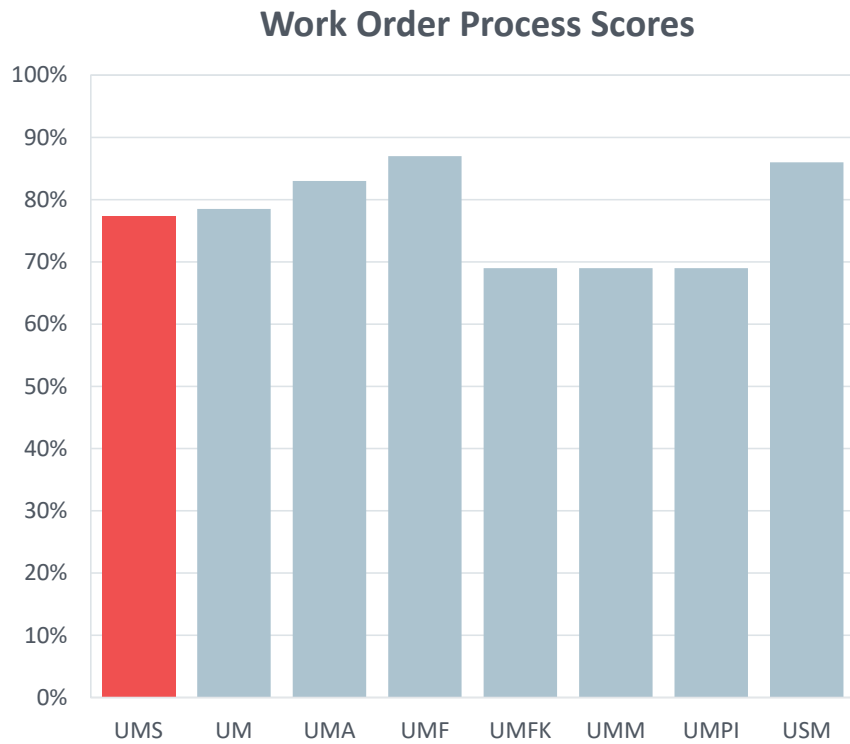
## Grounds Operations

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



FY21 Public: Gordian Public Higher Ed. Database Average for FY201

## AIM Boost Service Process Abilities Across the System



# Improving Scheduling, Services Levels, Reporting Mechanisms

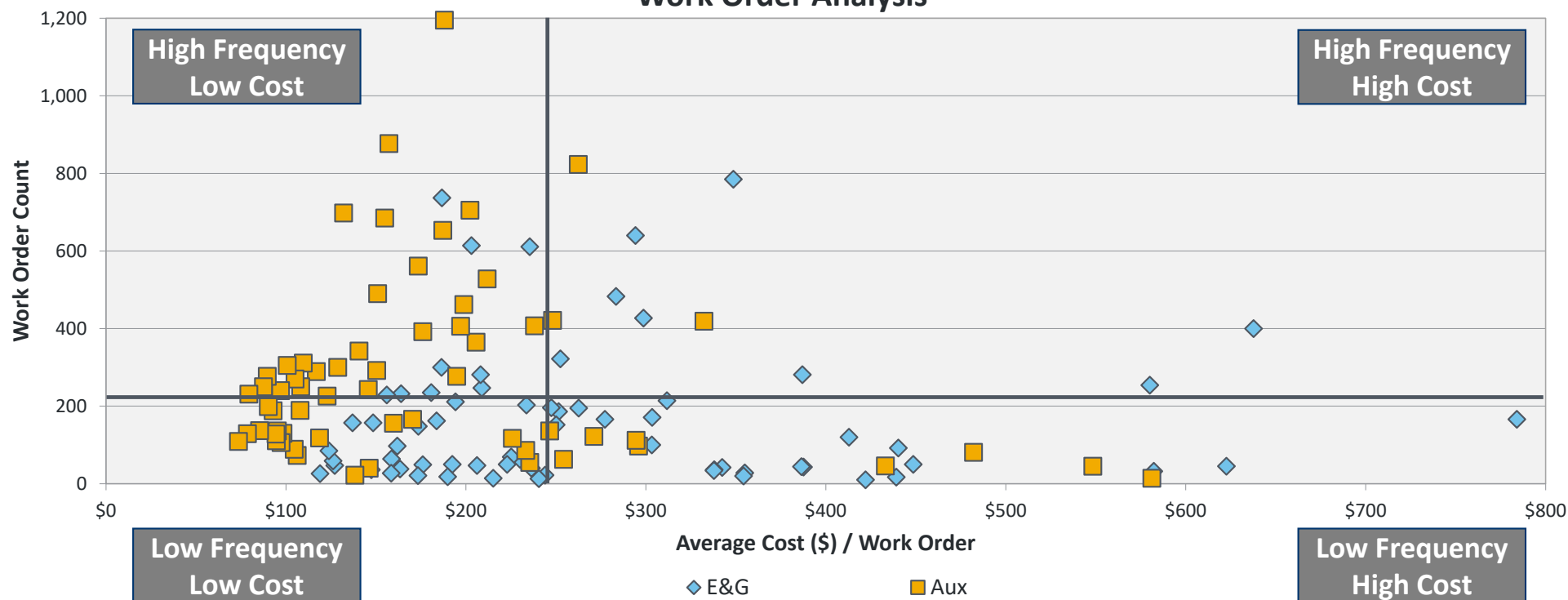
Scheduling Process	
	Service desk assigns priority
	Service desk assigns schedule
	Shop supervisor assigns personnel
	Schedules are communicated to the customer
	Changes in the schedule are communicated to the customer
	Customers can access the current status of work requests through a web-based system
	Changes to work request status are communicated to customer
	Customer satisfaction is surveyed after work request is completed
Work Request Capabilities & Management	
<b>Work Type</b>	System CAN track planned/preventive maintenance work requests
	System DOES track planned/preventive maintenance work requests
	System CAN track additional work request purposes (ie, emergency, vandalism, events, projects)
	System DOES track additional work request purposes (ie, emergency, vandalism, events, projects)
<b>Status</b>	System CAN track status of work request
	System DOES track status of work request
<b>Location</b>	System CAN track work request data by building
	System DOES track work request data by building
<b>Craft/Trade</b>	System CAN track work request data by craft/trade
	System DOES track work request data by craft/trade
<b>Transactions</b>	System CAN track labor hours to complete work request
	System DOES track labor hours to complete work request
	System CAN track labor costs
	System DOES track labor costs
	System CAN track material dollars
	System DOES track material dollars
	System CAN track costs for contracted maintenance services
	System DOES track costs for contracted maintenance services

*Difficult to do with standing work orders*

## Work Order Analysis – Sample Data

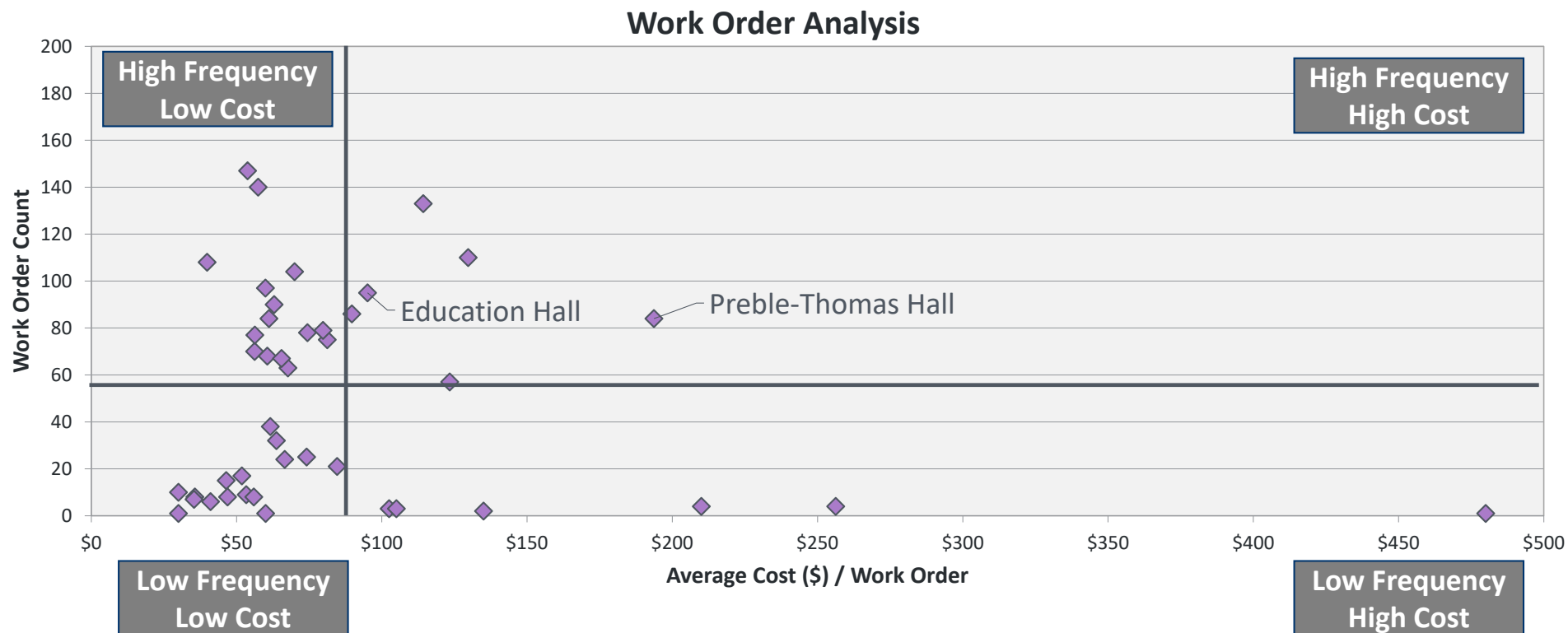
Using the work order system to understand demands of campus buildings

Work Order Analysis



## Work Order Analysis – Farmington Example

Using the work order system to understand demands of campus buildings



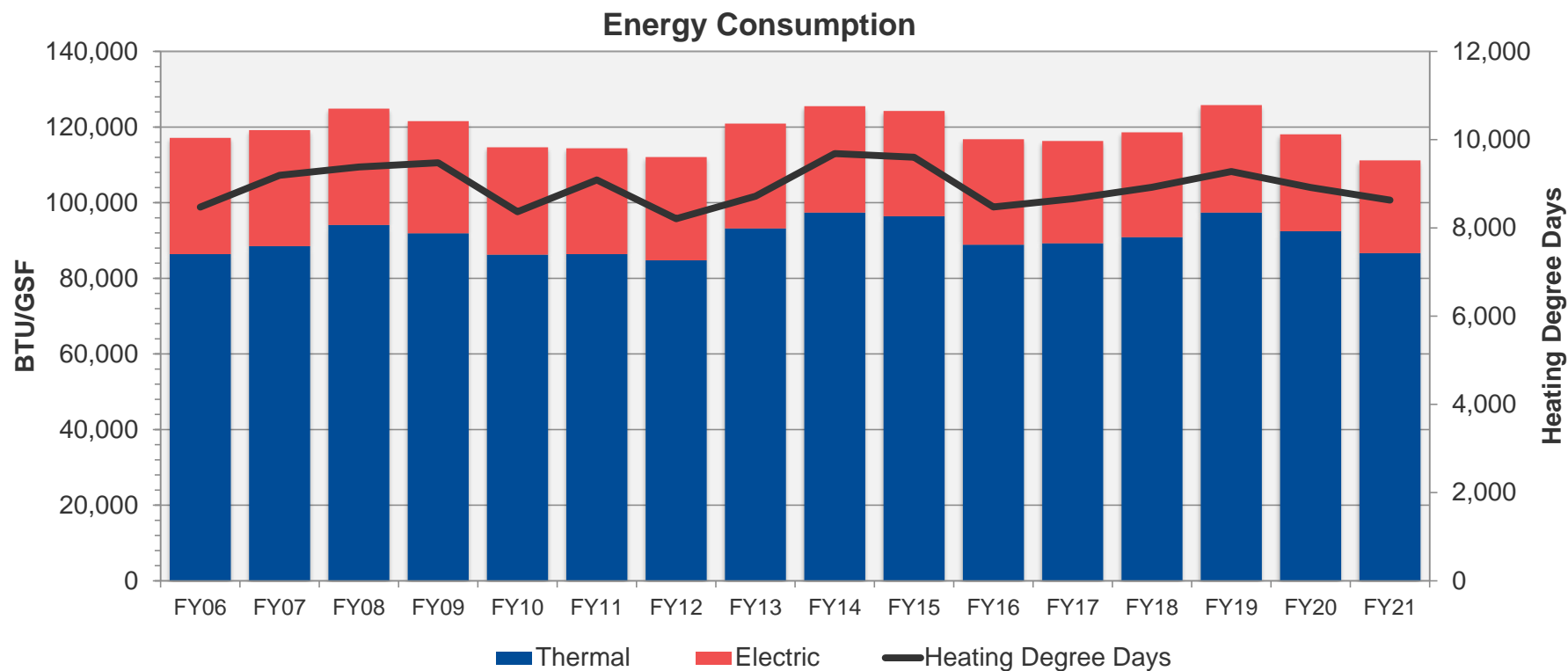
Average Frequency = 87 WO

Average Cost = \$59 / WO

59

## System Matches Performance to Weather and Avoids Waste

System continues downward trend

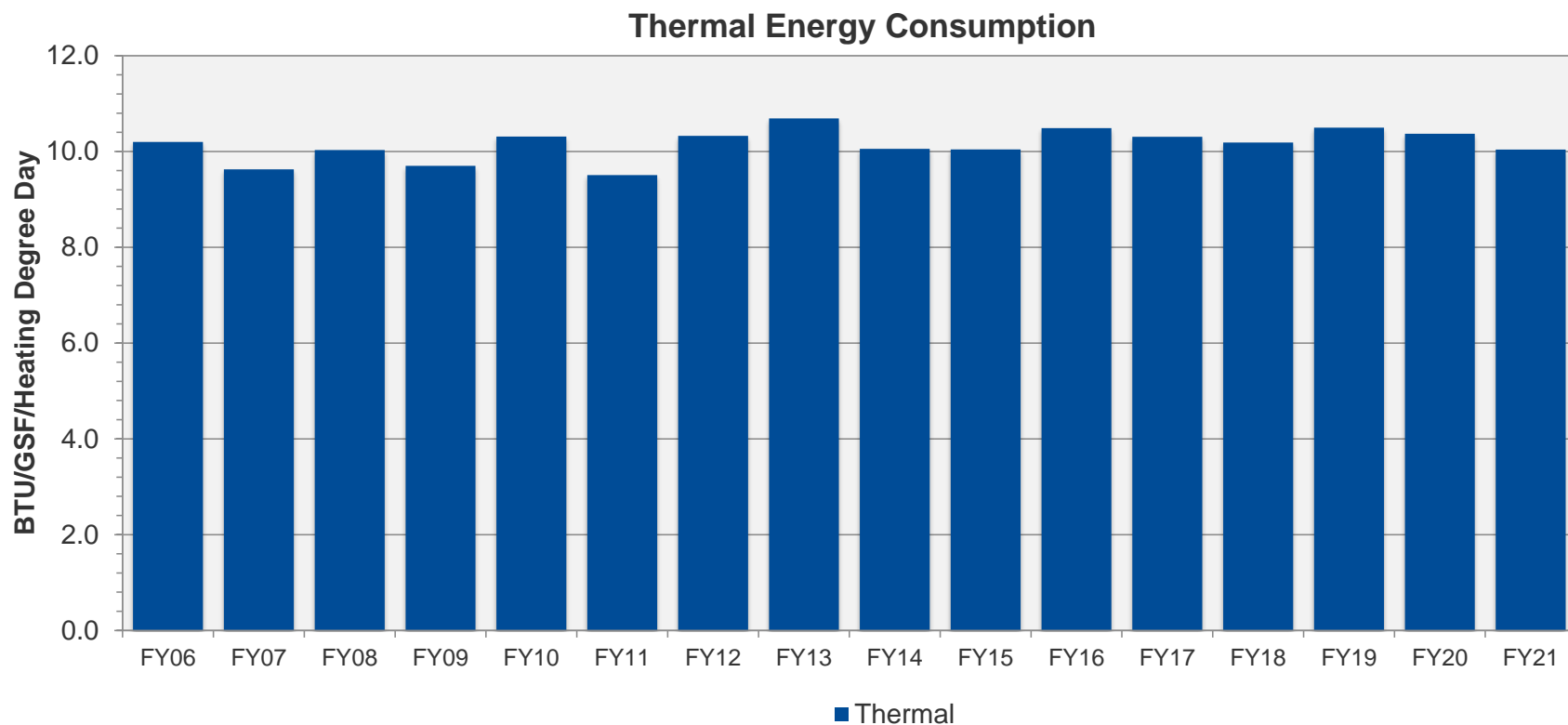


\*Degree days noted are based on the Orono, Maine location

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



## System Matches Performance to Weather and Avoids Waste

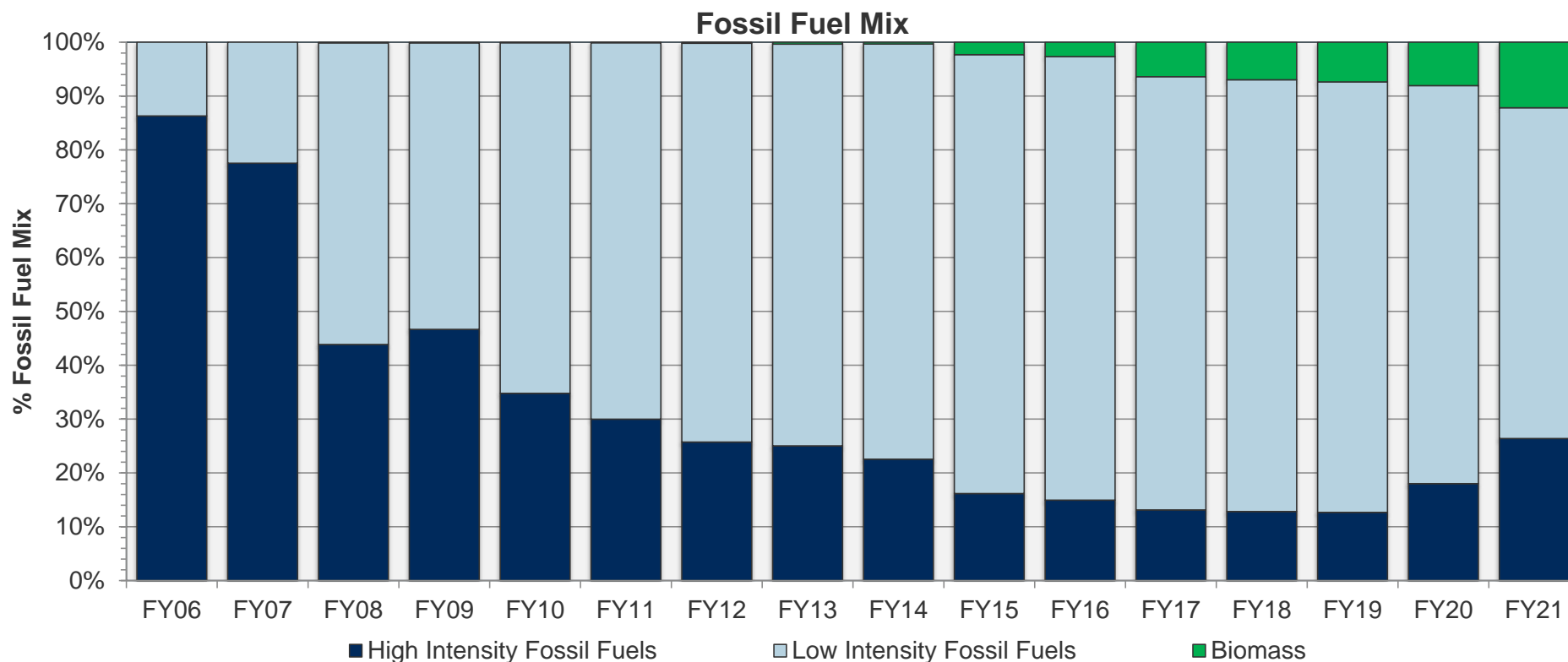


*\*Degree days noted are based on the Orono, Maine location*

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

## High Intensity Fossil Increases as Low Intensity Decreases

UM need for oil drives up high intensity fossil usage



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

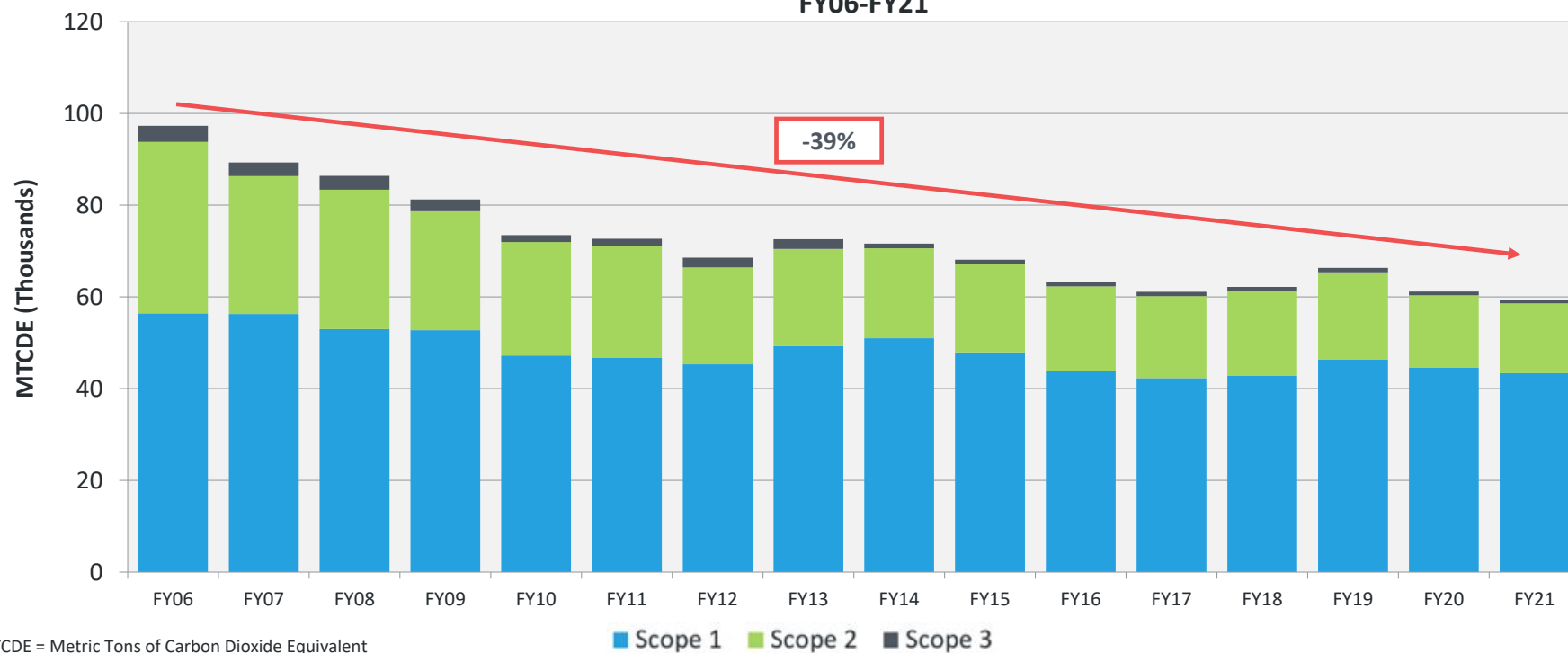
\*\*Low intensity fuels include natural gas and propane



## Fuel Mix and Consumption Drive Emission Rates

Total gross emissions have decreased 39% since FY06

University of Maine System Total Gross Emissions  
FY06-FY21



# Concluding Comments

## Key Takeaways

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### SUCCESSES

- Campus footprints are stable. New space offset by older GSF taken offline. Strategic planning includes effectively supporting new space. Not “making the problems greater.”
- Continue to incentivize space removal. To see progress in this area, larger buildings will need to be considered. Campus constituents need to understand short term inconveniences will achieve longer term improvements.
- The work control center and AiM data provides the opportunity to pinpoint where operational resources are being dedicated. This information can be used to focus capital investment and ultimately free up operating dollars.

### CONTINUED CHALLENGES

- Campus is aging. UMS will need \$45-\$60M each year to slow the aging process and mitigate deferred maintenance. How can UMS incrementally grow investment to these levels for existing space while supporting the record levels of investment happening over the coming years?
- To reverse the aging process and begin to increase Net Asset Value within the System inventory, campuses can:
  1. Remove space
  2. Utilize renovation through replacement strategy
  3. Add new construction GSF
- Space/Student FTE remains higher to peers. Removing space from the inventory will improve density and enhance utilization of space at the campuses. To date only a small portion of overall GSF has been removed.



## System Strategies

Approach	Impact to KPIs	Challenges
Removal of (older/high need) space	Eliminates backlog of need if buildings are older Increases NAV Decrease % of space over 50 years old	Reallocation of programs Cost of demolitions
Utilize renovation through replacement strategy	Eliminates backlog of need if buildings are older Increases NAV Decrease % of space over 50 years old	Cost of demolitions Cost of construction Length of process
Add new construction GSF	Artificially increases NAV in the short term Decrease % of space over 50 years old Draw new students to campuses but increase in FTEs might not over come additional GSF to increase density	Cost of construction Length of process Expands operating resources required in the future

### **Gordian Recommendations:**

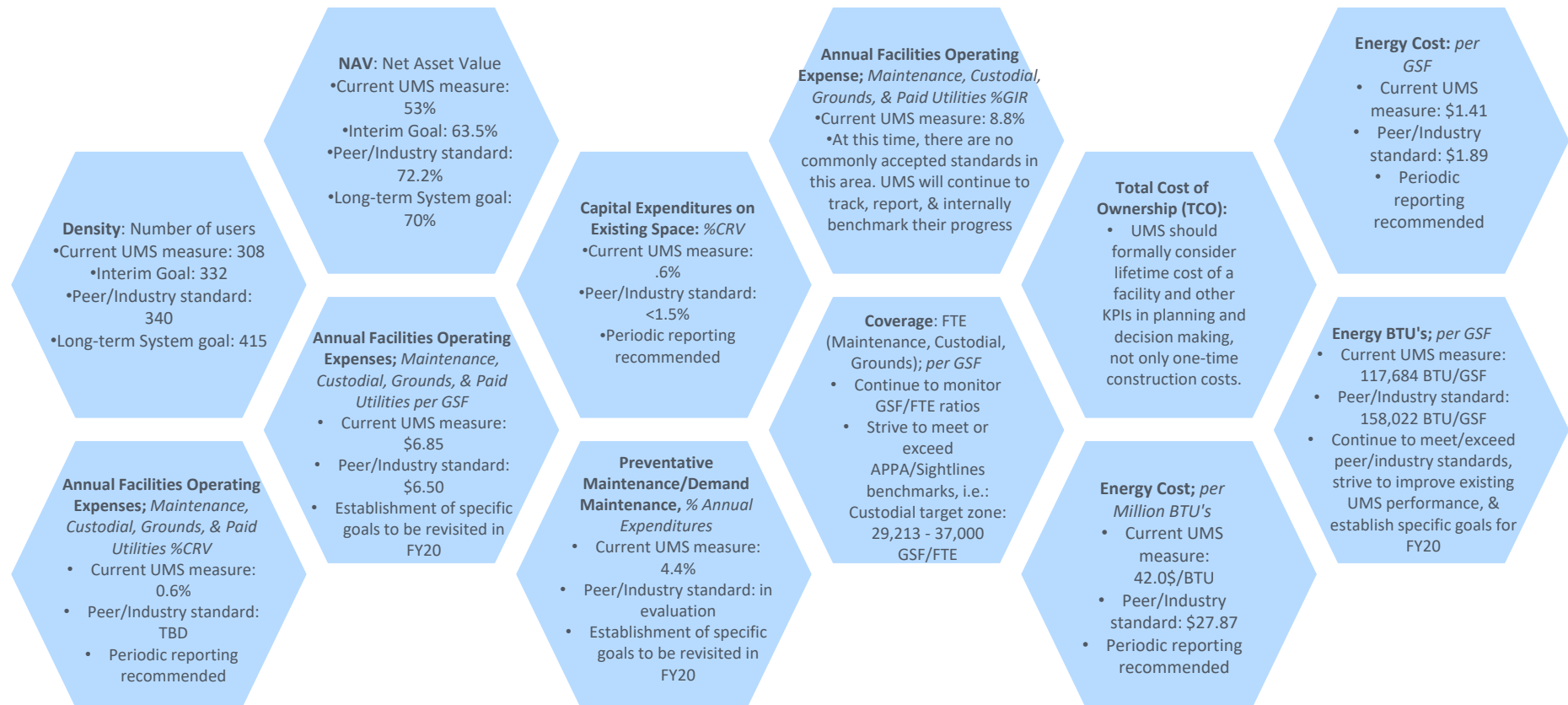
- *Although adding new construction (additional GSF) to campuses is a strategy some institutions take, Gordian does not recommend this approach for the UMS. Resources are limited, and opportunity exists to increase utilization rates with current footprint.*
- *Figure out how to incentivize space removal. To see progress in this area, larger buildings will need to be considered. Campus constituents need to understand short term inconveniences will achieve longer term improvements.*
- *Movement within Systemwide KPIs are difficult to obtain. Consider institution KPIs to understand specific resources needed and see progress.*

# Questions and Comments

# Appendix: UMS Key Performance Indicators

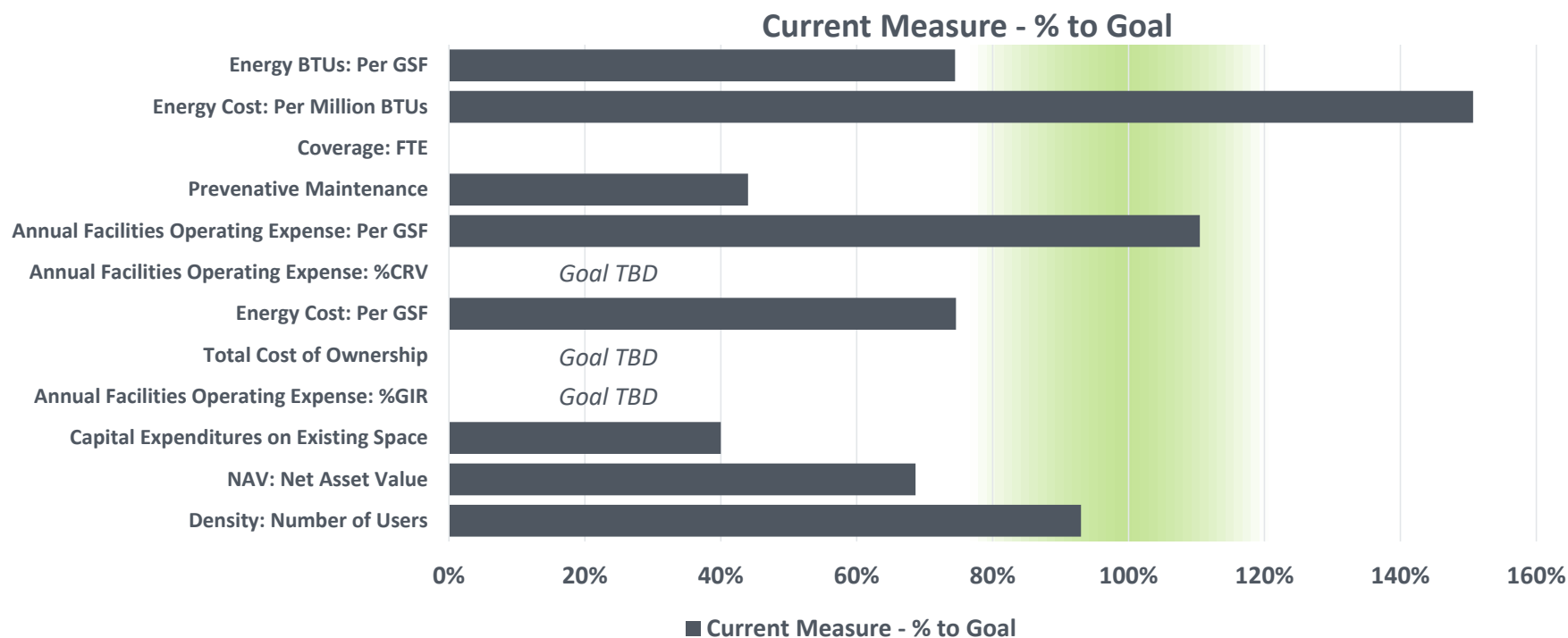


# Using Sightlines Data to Monitor UMS KPIs



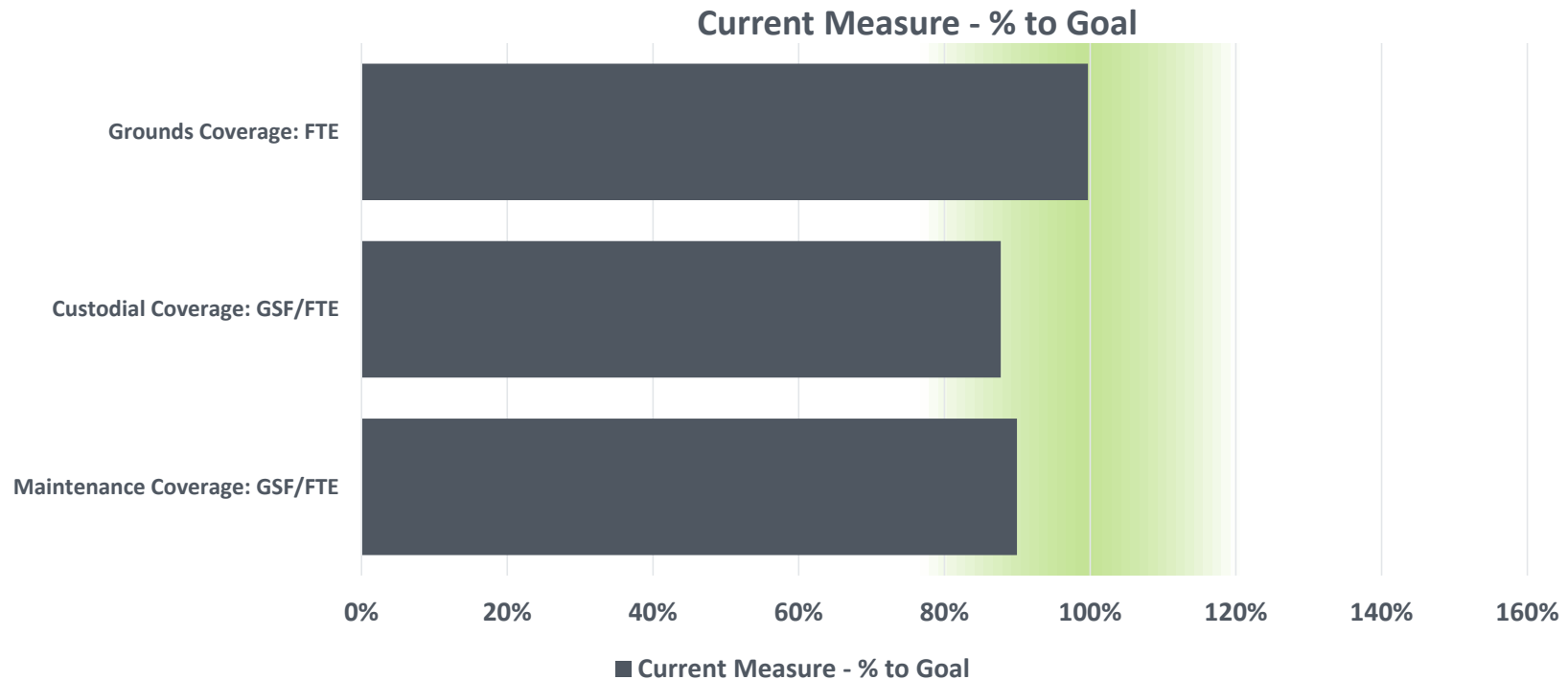
## Using Sightlines Data to Monitor UMS KPIs

Measures normalized as % to goal



## Using Sightlines Data to Monitor UMS KPIs - Coverage

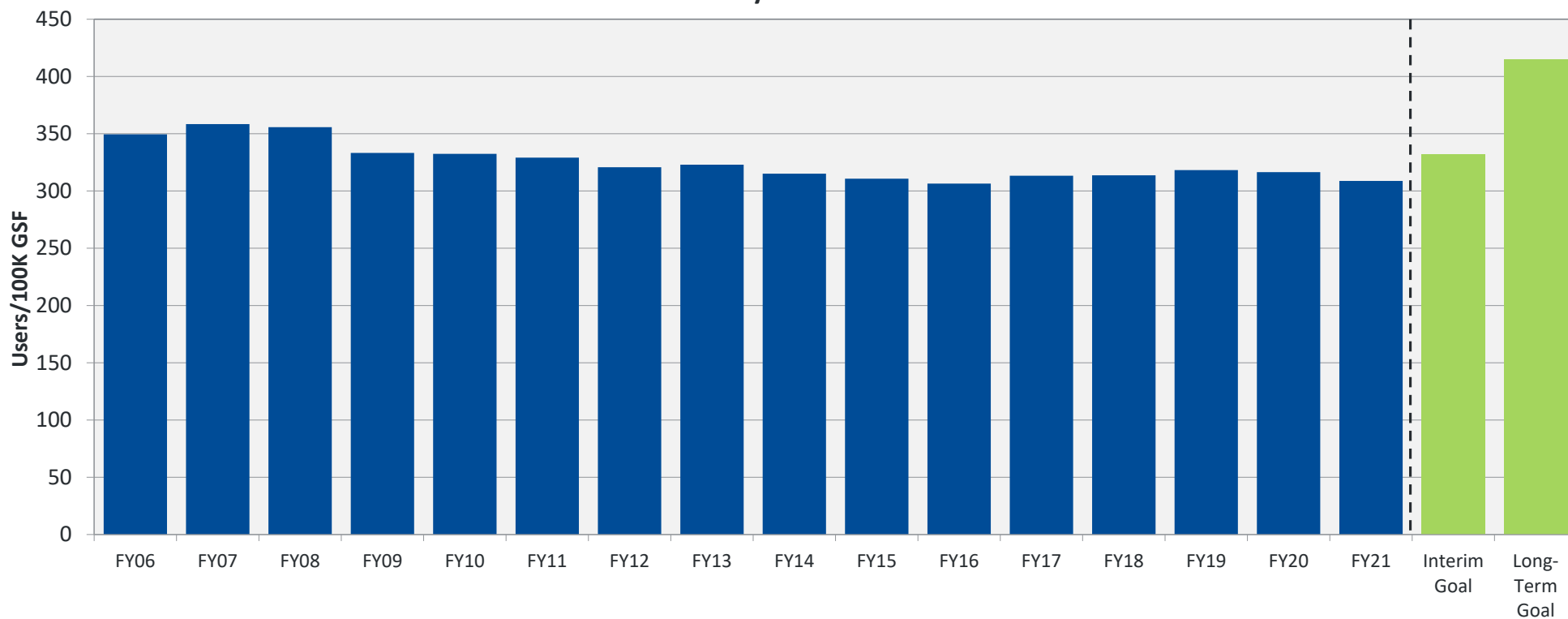
Coverage ratios measured normalized as % to goal



## Density Factor

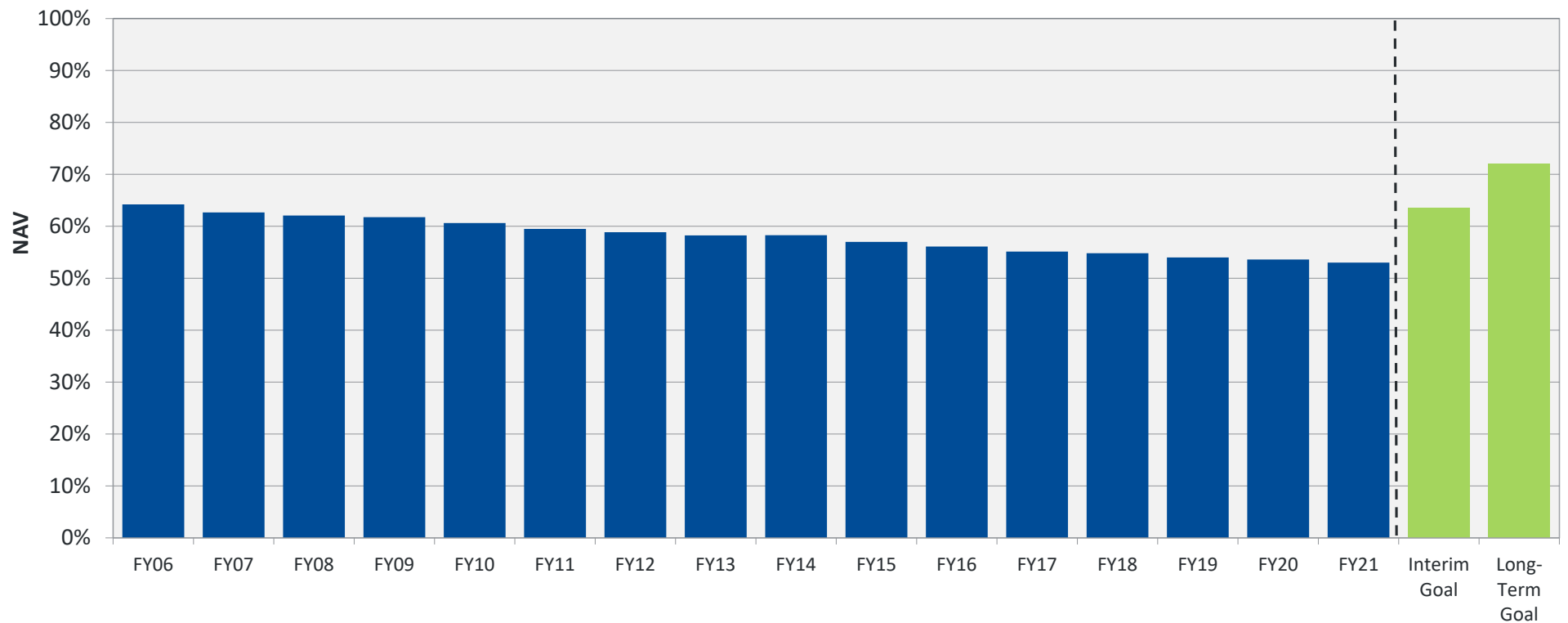
Density: Measures number of users per 100,000 GSF

Density Factor

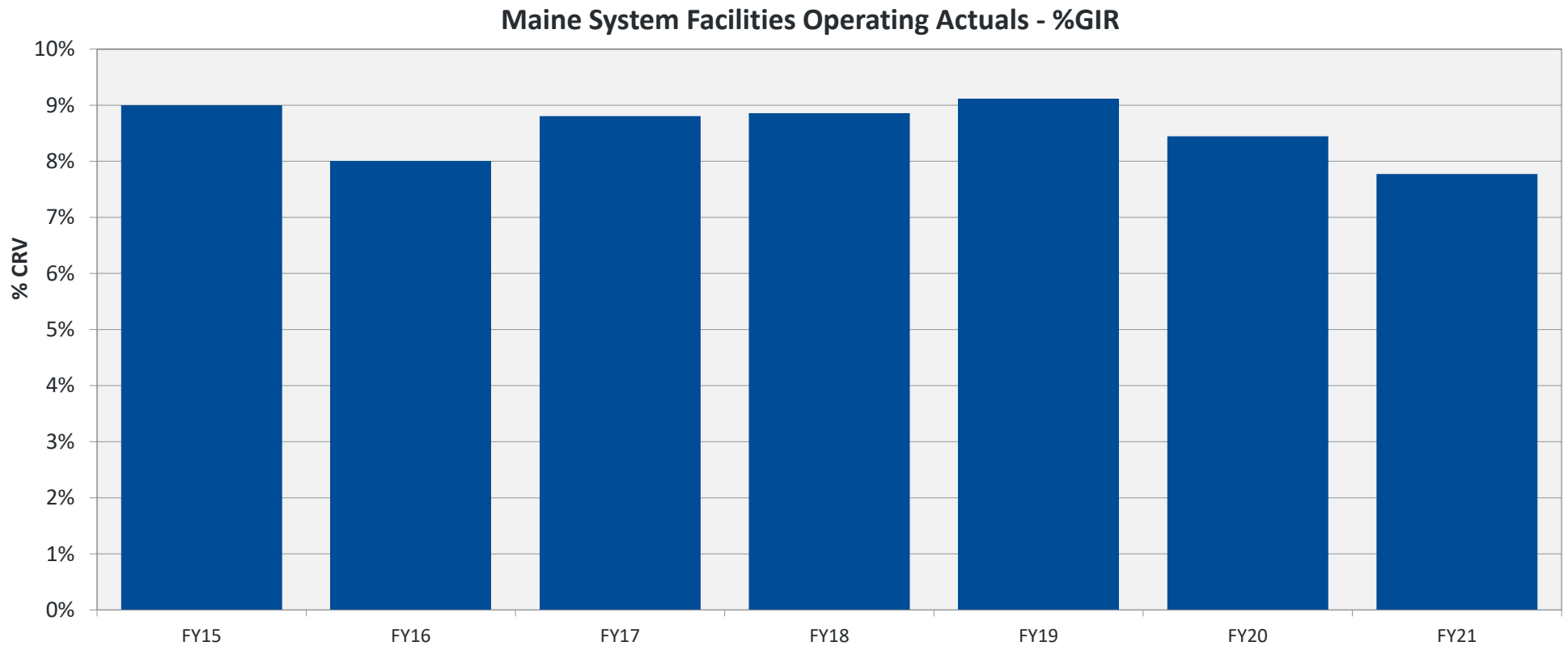


# Net Asset Value

Net Asset Value



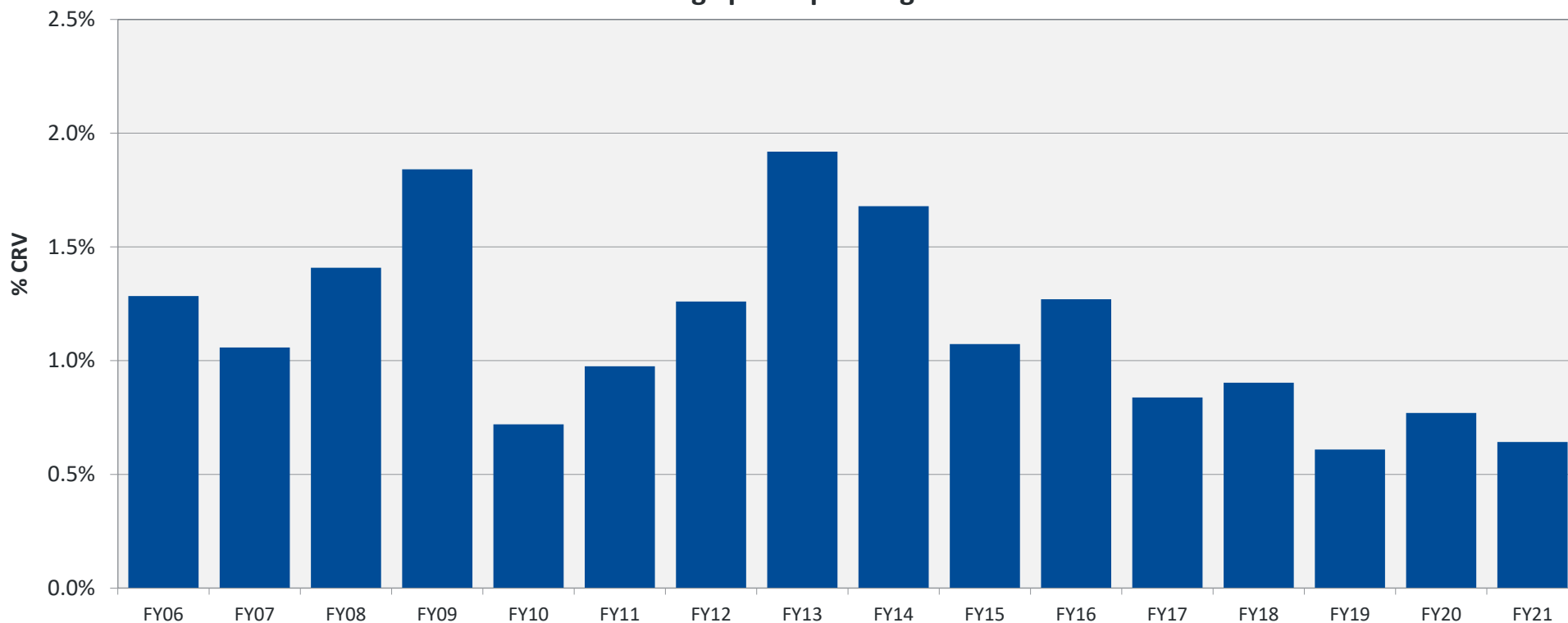
## Facilities Operating Actuals as % of GIR



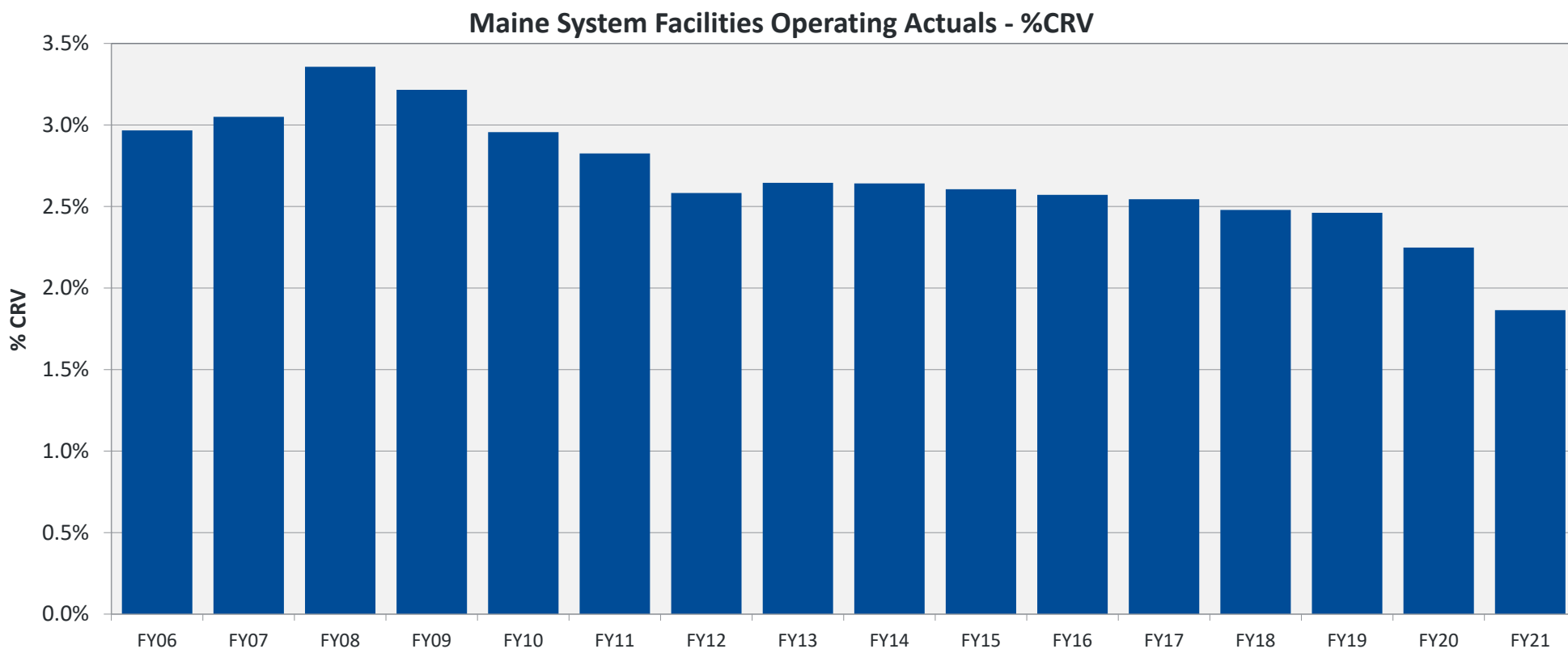
## Capital Spending - % CRV

Existing space investment only

Existing Space Spending - % CRV

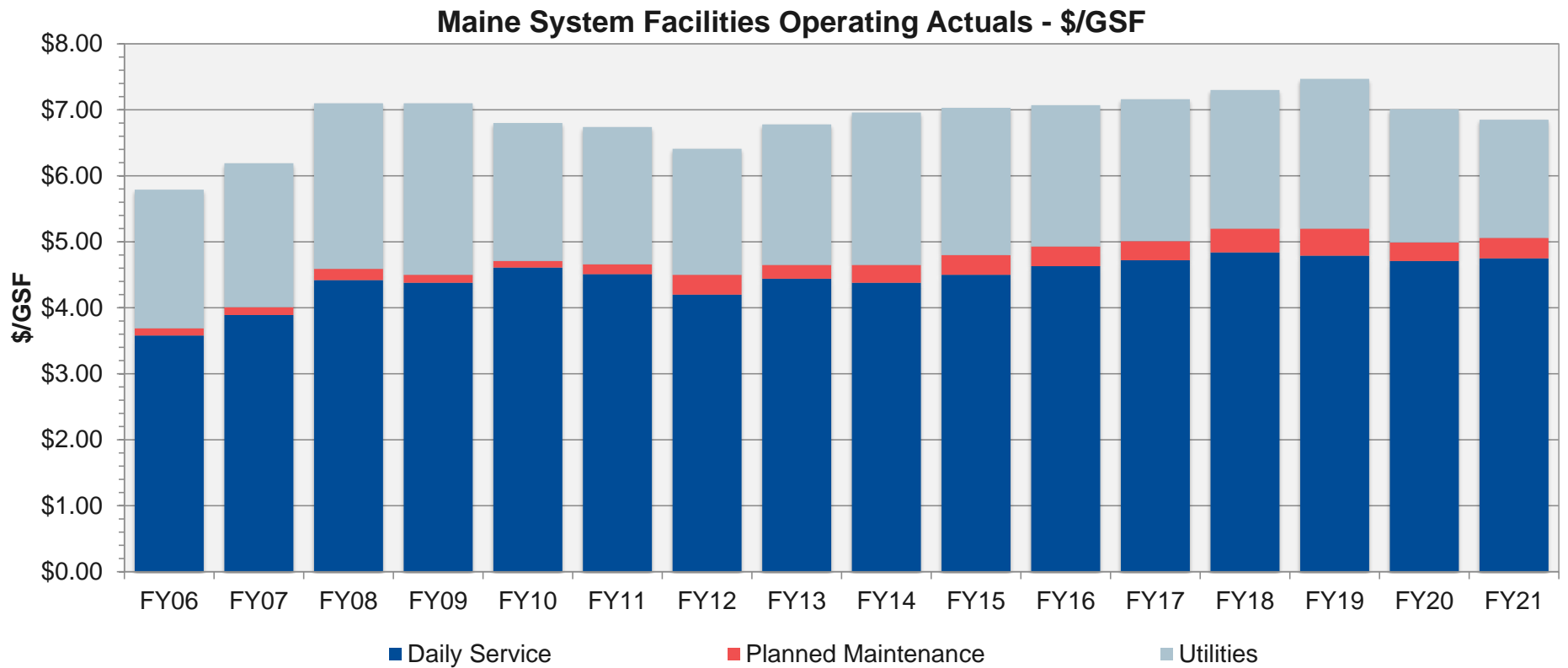


## Facilities Operating Actuals as % of CRV

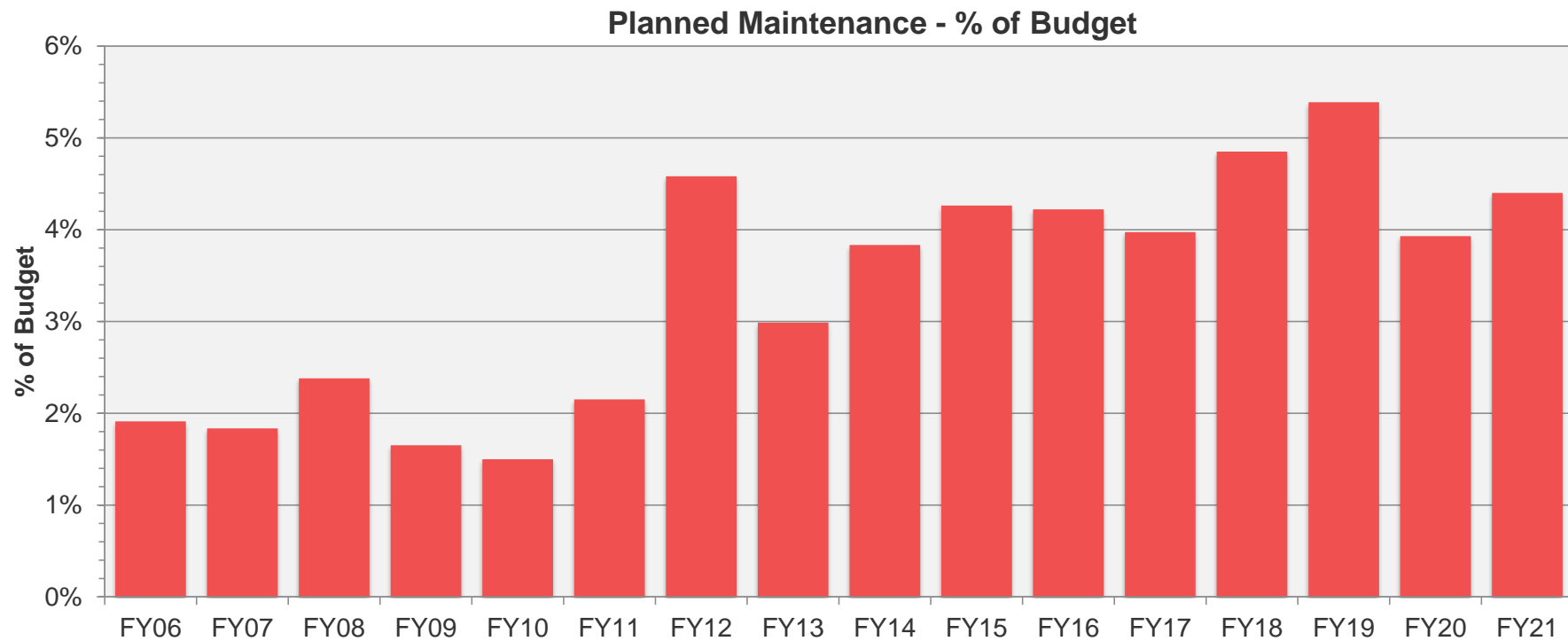




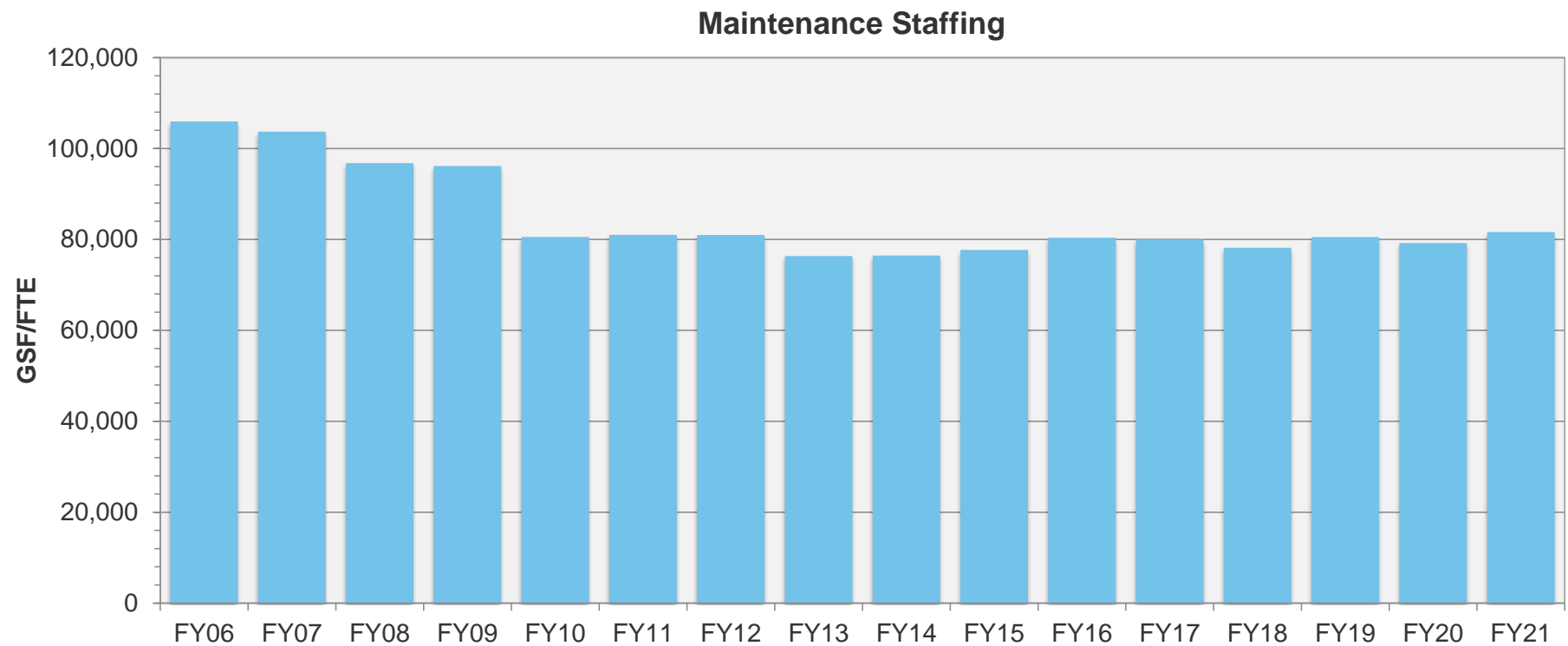
# Facilities Operating Budget Actuals



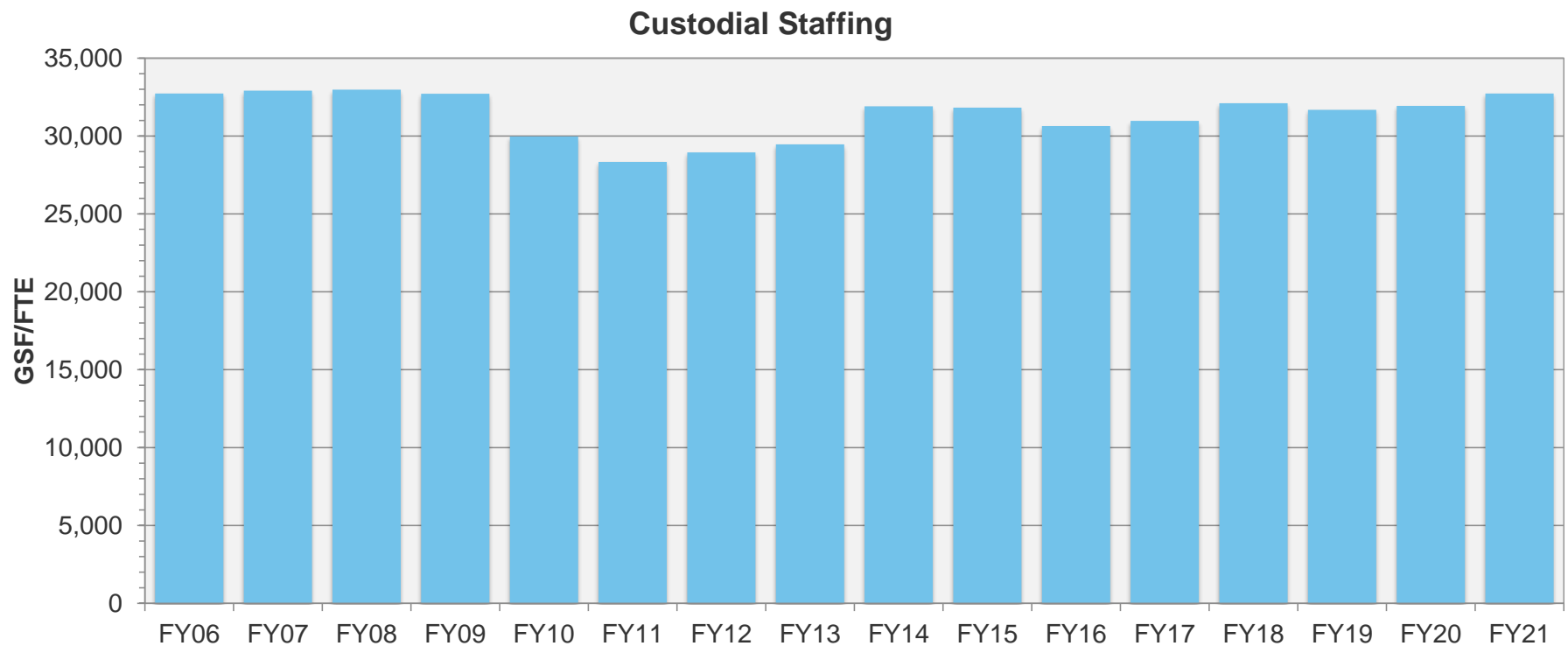
## Planned Maintenance



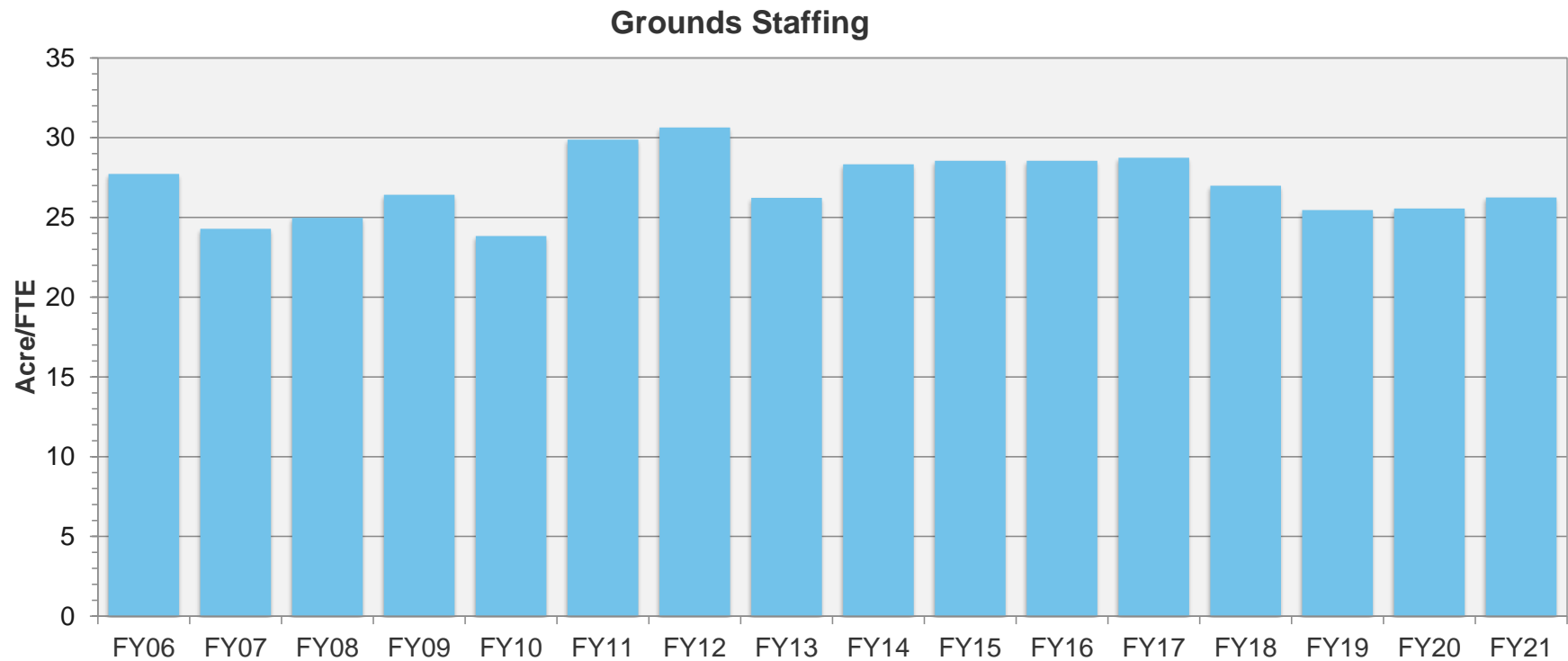
## Maintenance Staffing



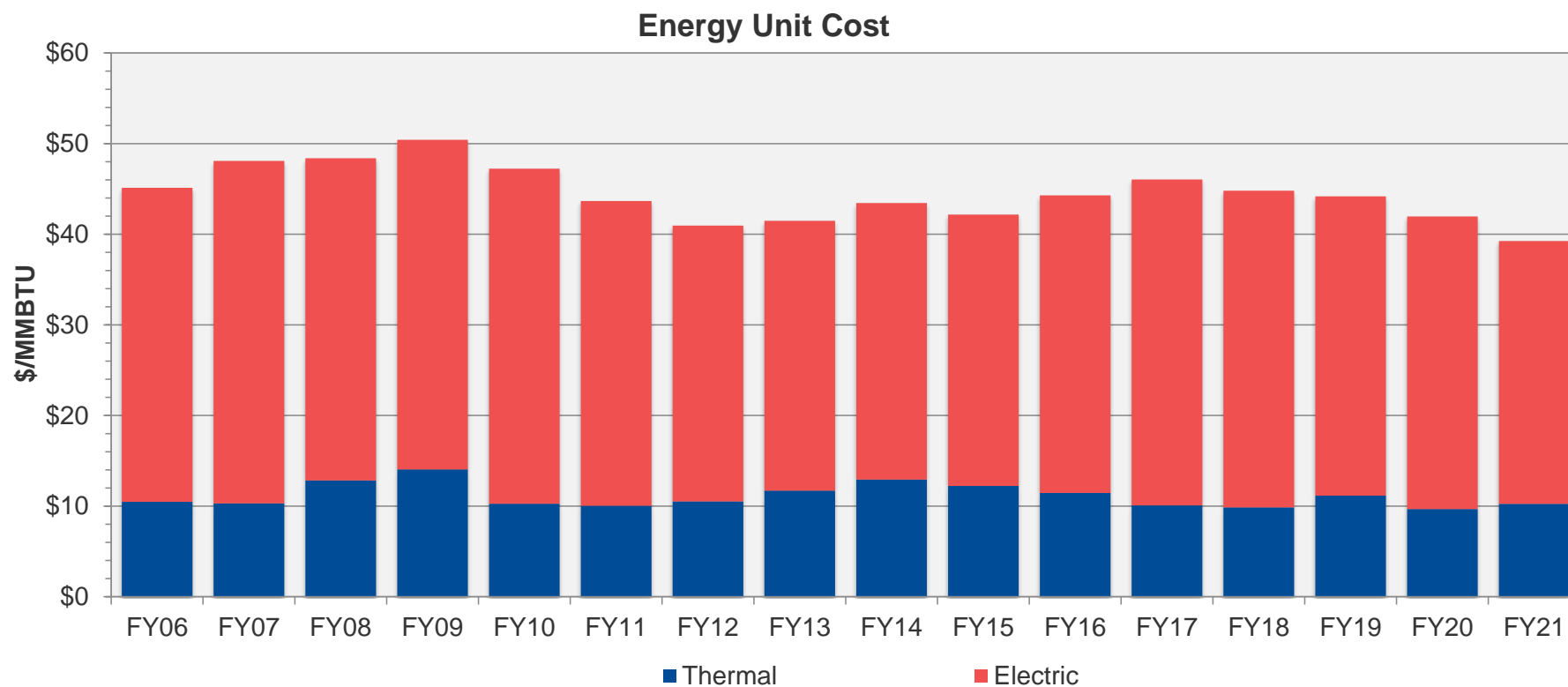
## Custodial Staffing



## Grounds Staffing

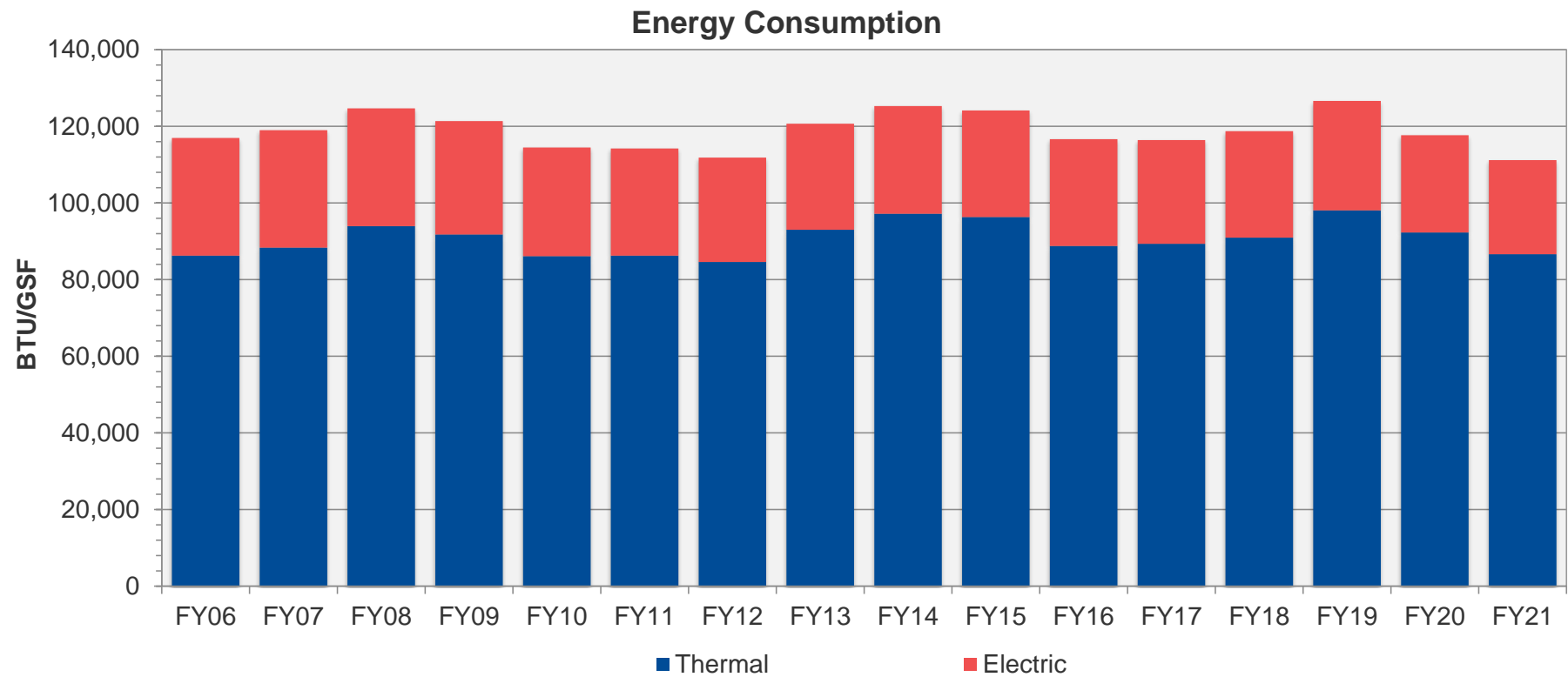


## Energy Costs



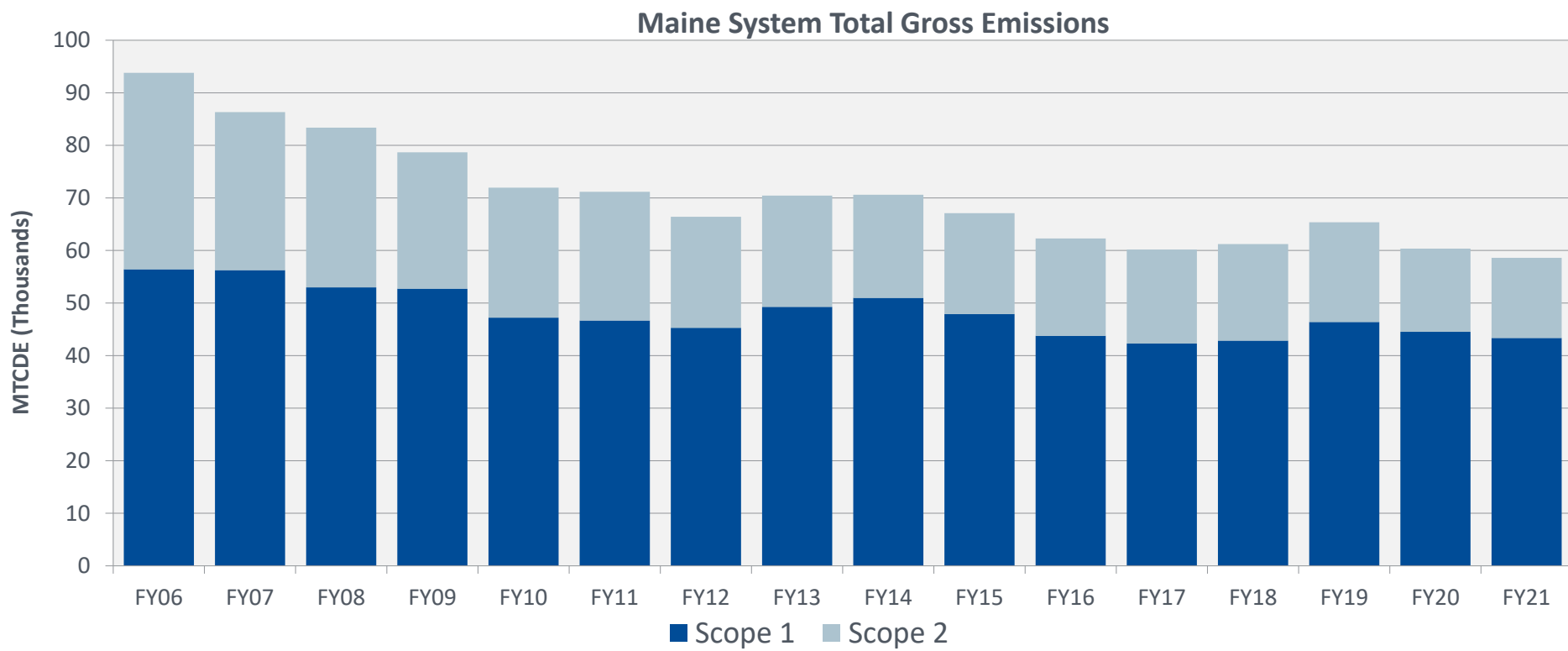
*\*\*Thermal contain all heating fuel sources, including alternative fuel sources (ie biomass, wood chips, etc.)*

## Energy Consumption



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

## Emission Rates



MTCDE = Metric Tons of Carbon Dioxide Equivalent



# Strategies to Reduce % of Space Over 45

Renovations and Removal of Buildings from the Inventory

## Over 45 Template Distributed to Every Institution

Sample taken from UMS

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

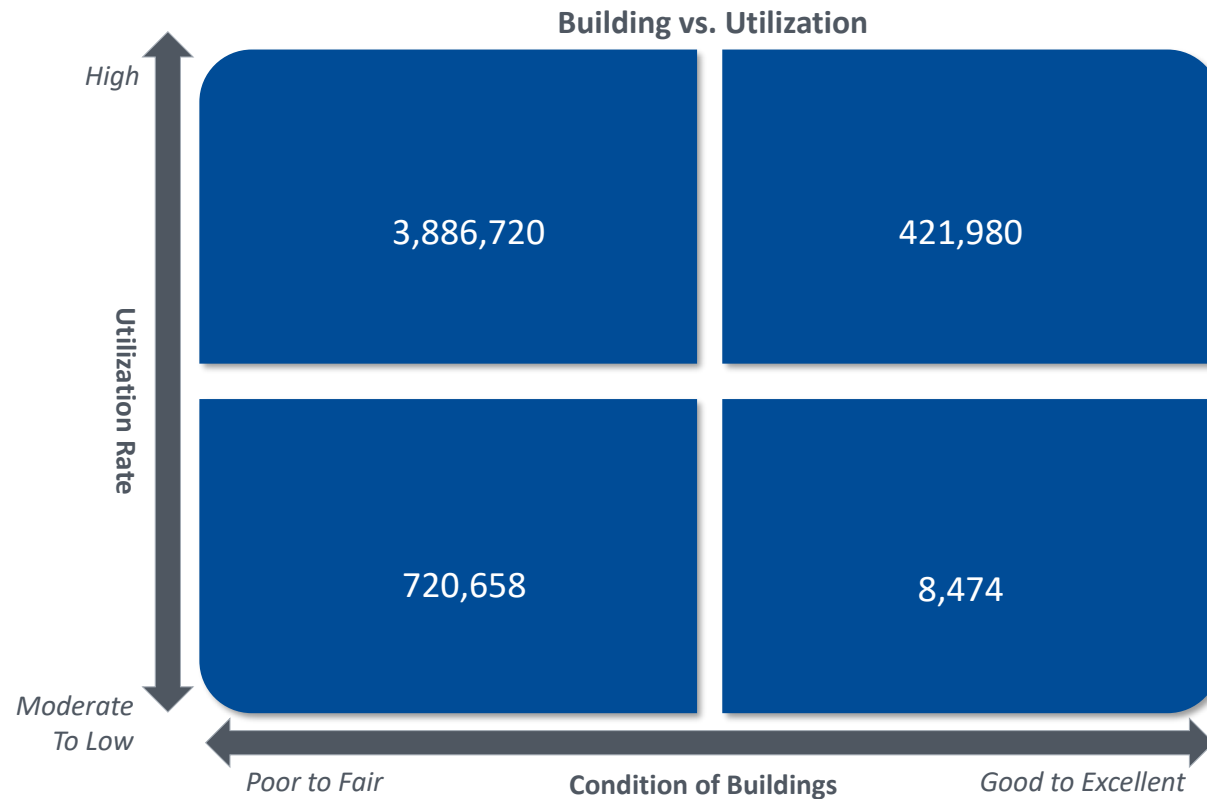
Assessment of Space for all buildings over 45 years old in Renovation Age

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

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

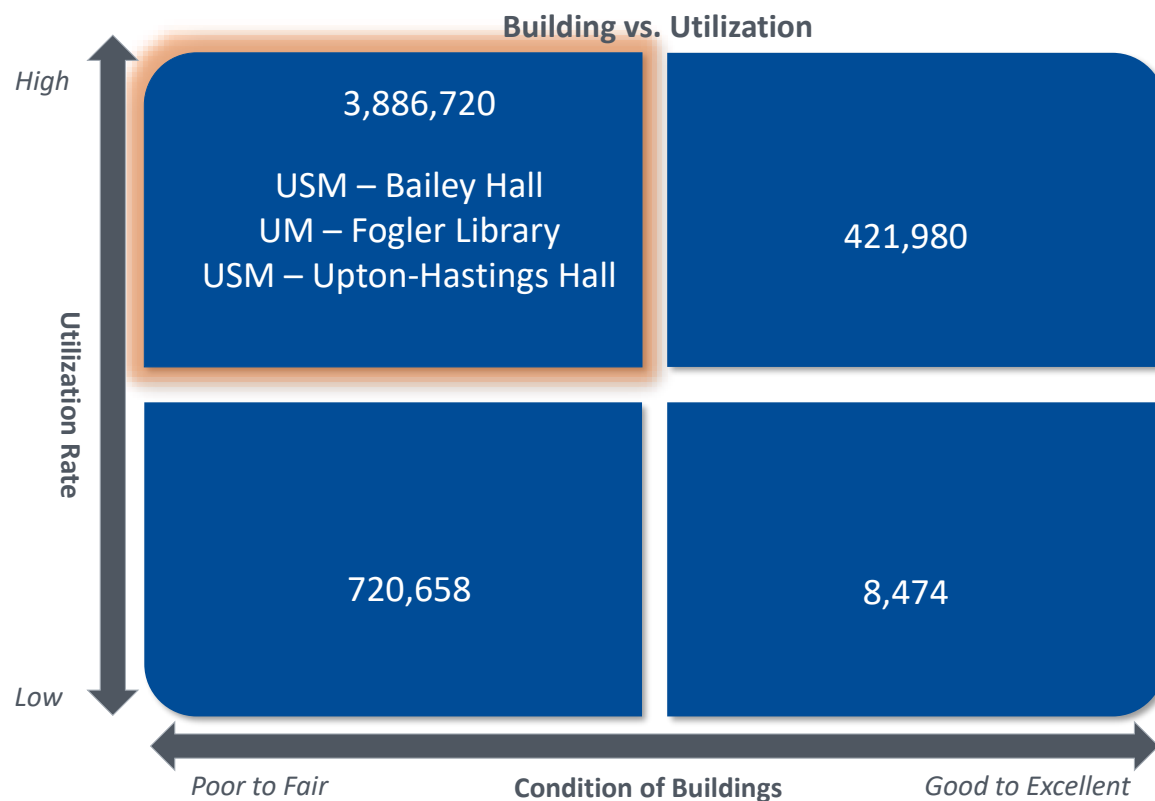
## Total Maine System Findings

Comparing condition with utilization across the system



## Candidates for Potential Renovation

Comparing condition with utilization across the system



The University of Maine	2,075,079
University of Maine at Augusta	93,468
University of Maine at Farmington	454,546
University of Maine at Fort Kent	103,492
University of Maine at Machias	170,445
University of Maine at Presque Isle	147,465
University of Southern Maine	842,225
<b>Grand Total</b>	<b>3,886,720</b>

# Candidates for Potential Renovation

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

## UM (2,075,079 GSF)

ALUMNI HALL	32,367
ANDROSCOGGIN HALL	59,373
AROOSTOOK HALL	49,699
BALENTINE HALL	34,568
BARROWS HALL-ORIG	52,979
BENNETT HALL	52,979
BOARDMAN HALL-ORIG	48,906
CHADBOURNE HALL	41,926
CHILD STUDY CENTER-ORIG	3,931
CHILDRENS CENTER, COLLEGE AVE-113	4,527
CORBETT HALL	49,433
CROSBY LAB	19,673
CUMBERLAND HALL	59,373
DAYCARE FACILITY	2,198
DEERING HALL	50,001
DUNN HALL	49,447
EAST ANNEX	20,780
FOGLER LIBRARY-AD1	57,531
FOGLER LIBRARY-ORIG	116,896
GANNETT HALL	59,373
HANCOCK HALL	68,610
HART HALL	60,410
HAUCK AUDITORIUM	46,735
HITCHNER HALL, ANIMAL SCIENCE WING-AD1	25,844
HITCHNER HALL-ORIG	9,366
KENNEBEC HALL	49,009
KNOX HALL	76,468
LENGYEL HALL	37,079
LIBBY HALL	24,208
LITTLE HALL	50,808

MACHINE TOOL LAB	12,816
MAINE BOUND ADVENTURE CTR	6,840
MAPLES, THE	8,313
MERRILL HALL-ORONO	26,729
MURRAY HALL	47,953
NEVILLE HALL-GSF CORRECTION	24,085
NEVILLE HALL-ORIG	48,660
OFFICES/LABS	7,316
OXFORD HALL	76,468
PENOBSCOT HALL	49,481
PICS BLDG-KEYO	24,300
SERVICE BLDG B	25,770
SHIBLES HALL	41,296
SOMERSET HALL	76,468
STEVENS HALL CENTER	32,596
STEVENS HALL NORTH	23,670
STEVENS HALL SOUTH	24,598
UNIV PK BLDG 12	2,198
UNIV PK BLDG 13	2,198
UNIV PK BLDG 14	5,062
UNIV PK BLDG 15	2,198
UNIV PK BLDG 16	5,062
UNIV PK BLDG 17	2,198
UNIV PK BLDG 18	5,062
UNIV PK BLDG 20	2,198
UNIV PK BLDG 23	5,062
UNIV PK BLDG 24	5,062
UNIV PK BLDG 25	5,062
UNIV PK BLDG 26	5,062
UNIV PK BLDG 27	5,062
UNIV PK BLDG 28	5,062

## UM Cont.

UNIV PK BLDG 32	2,198
UNIV PK BLDG 33	5,062
UNIV PK BLDG 34	2,198
UNIV PK BLDG 35	5,062
UNIV PK BLDG 36	2,198
UNIV PK BLDG 37	5,062
UNIV PK BLDG 38	2,198
WINGATE HALL	14,580
WINSLOW HALL	25,292
YORK HALL	82,825

## UMA (93,468 GSF)

Acadia Hall	3,232
BD KATZ LIBRARY	21,632
Eastport Hall	20,090
Farmhouse-Uma - North Wing	2,561
Farmhouse-Uma - West Wing	3,897
Fine Arts Bldg	7,657
Jewett Hall	32,925
Maintenance Garage, Ucb	1,474

# Candidates for Potential Renovation

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

## USM (842,225 GSF)

ANDERSON HALL	29,291
BAILEY HALL- Sci -Orig	31,896
BAILEY HALL-Connector	70,195
BAILEY HALL-Library	41,554
BROOKS STUDENT CTR	45,645
CORTHELL HALL-North Wing	28,782
CORTHELL HALL-South Wing	19,188
COSTELLO SPORTS COMPLEX, HILL GYM	43,478
LAW BLDG-Orig	85,475
LUTHER BONNEY HALL	77,040
PAYSON SMITH HALL	52,517
ROBIE-ANDREWS HALL	44,110
ROBIE-ANDREWS HALL-Andrews Wing	34,012
ROBIE-ANDREWS HALL-Entrance	1,391
RUSSELL HALL	29,480
SCIENCE BLDG-A WING, Tower/Planetarium	47,345
SCIENCE BLDG-B Wing- Research	37,602
UPTON-HASTINGS HALL-Hastings Wing	48,760
UPTON-HASTINGS HALL-Upton wing-orig	53,896
WOODWARD HALL	20,568

## UMFK (103,492 GSF)

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

## UMM (170,445 GSF)

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

## UMPI (147,465 GSF)

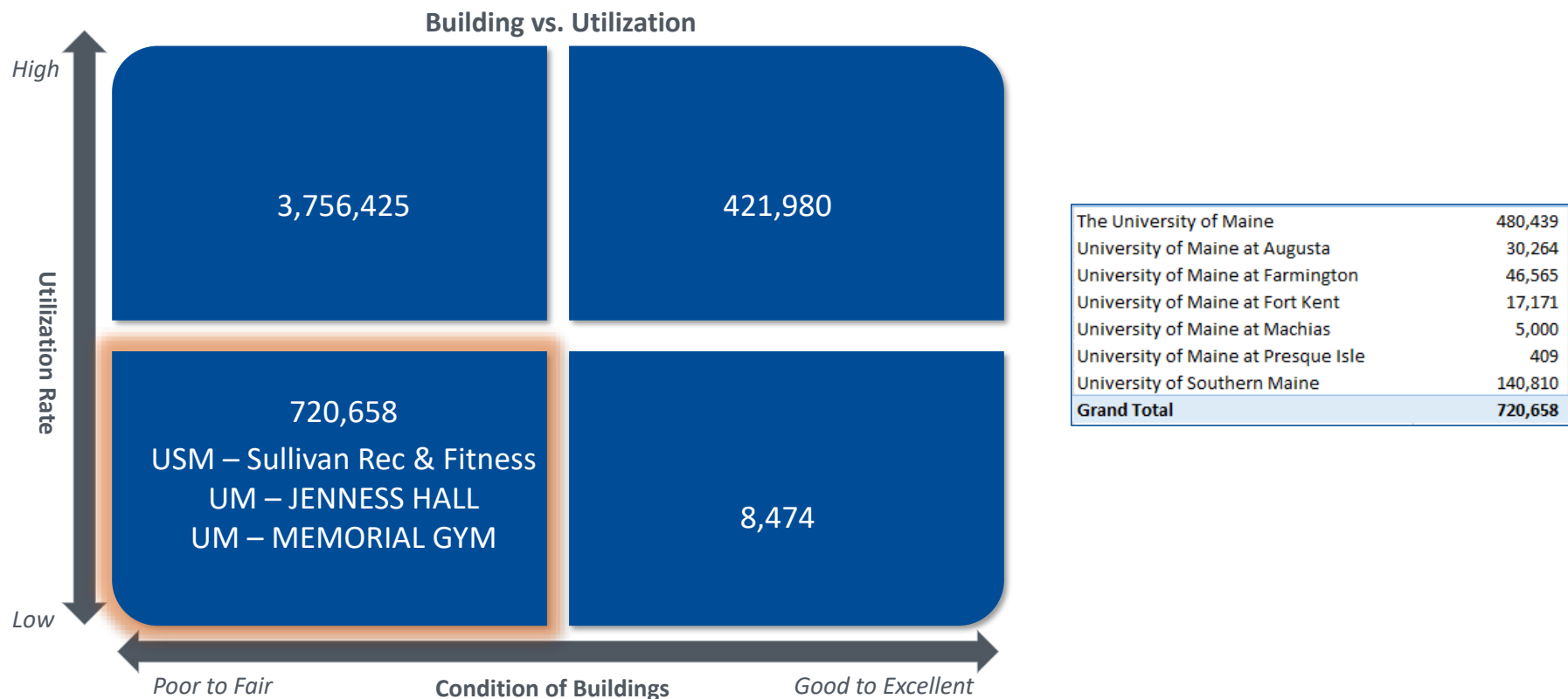
EMERSON HALL	43,440.00
KELLEY COMMONS	18,683.00
MERRIMAN HALL	19,532.00
PARK HALL	26,148.00
VEHICLE STORAGE BUILDING	1,854.00
Wieden Hall Total GSF	37,808.00

## UMF (324,251 GSF)

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

## Potential Candidates for Removal

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



## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

The University of Maine	480,439
University of Maine at Augusta	30,264
University of Maine at Farmington	46,565
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	140,810
<b>Grand Total</b>	<b>720,658</b>

Less  
Historic  
Buildings



The University of Maine	300,978
University of Maine at Augusta	30,264
University of Maine at Farmington	46,565
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	116,355
<b>Grand Total</b>	<b>516,742</b>



## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

The University of Maine	300,978
University of Maine at Augusta	30,264
University of Maine at Farmington	46,565
University of Maine at Fort Kent	17,171
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	116,355
<b>Grand Total</b>	<b>516,742</b>

Less  
Storage

The University of Maine	282,868
University of Maine at Augusta	27,270
University of Maine at Farmington	46,065
University of Maine at Fort Kent	12,251
University of Maine at Machias	5,000
University of Maine at Presque Isle	409
University of Southern Maine	116,355
<b>Grand Total</b>	<b>490,218</b>

## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

**UM (282,868 GSF)**

AQUACULTURE RESEARCH CTR	13,440	GARAGE-TRACTOR 2	2,680
BARN-CALF	720	ISOLATION BLDG 5	1,200
BARN-HORSE, WF	14,428	JENNESS HALL-ORIG	33,368
BARN-LIVESTOCK	8,557	MACHINE SHOP	4,000
BARN-SHEEP	1,700	MEMORIAL GYM COMPLEX, WALLACE POOL-AD2	33,086
COLLEGE AVE-109, FAC MGMT GREENHOUSE	3,995	METAL UTILITY BLDG	1,920
COLLEGE AVE-154, CANADA HSE	5,000	PARK ST-204, RESIDENCE	1,320
COLLEGE AVE-378, NAVY ROTC	2,400	PERKINS HALL-AG LAB	7,781
COLLEGE AVE-495	2,300	POTATO HANDLING RESEARCH	1,600
CUTLER HEALTH CENTER, AMBULANCE BAY	588	ROGER CLAPP GREENHOUSE-GSF CORRECTION	981
CUTLER HEALTH CENTER-ORIG	29,954	SERVICE BLDG A-AD1	22,795
DAIRY FACILITY	7,240	SERVICE BLDG A-ORIG	30,627
DEPOT-FIRE STATION	6,653	SHEEP HOUSE	2,000
ENTOMOLOGY BLDG	1,539	SIGMA CHI HERITAGE HOUSE	12,370
ENTOMOLOGY GREENHOUSE	2,304	SMALL ANIMAL FACILITY	4,280
ENVIRONMENTAL SCIENCES LAB	7,175	STEAMFITTERS SHOP	2,086
FARM HOUSE	2,256	STORAGE-DEERING	68
FARM SHOP-WF	4,273	STORAGE-GAS, RF	60
FARM STORE	1,486	STORAGE-SHED	156
FORAGE RESEARCH LAB	900	STORAGE-STEWART	372
GARAGE-COLLEGE AVE-378, NROTC	783	UNIVERSITY PARK	27
GARAGE-CWRU	1,200	UTILITY BLDG-DF	1,200

## Low Utilization and Poor Condition Space

Removing historical buildings and storage structures from the equation

### UMA (27,270 GSF)

Bangor Hall	11,276
Fitness Center	11,307
Mod I	953
Mod II	953
Mod III, Maine Cite	1,035
Pottery Shop	1,746

### UMF (46,065 GSF)

Alumni Theater	13,166
Brinkman Hse, Main St-228	4,602
Lincoln St-125, Honors Center	4,034
Main St-234, Psychology	9,759
Main St-242, Ferro Alumni Hse	7,899
Quebec St-149	2,586
South St-101	4,019

### UMFK (12,251GSF)

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

### UMM (5,000 GSF)

O'Brien House	5,000
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### UMPI (409 GSF)

KILN	409
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### USM (116,355 GSF)

BASEBALL PRESSBOX	859
BEDFORD ST-092	5,975
BEDFORD ST-094	2,859
BEDFORD ST-098	3,020
BEDFORD ST-102	3,682
BEDFORD ST-106	3,837
BEDFORD ST-126	5,371
COLLEGE AVE-019	4,109
DEERING AVE-222	2,792
DEERING AVE-228	3,842
EXETER ST-047	3,732
EXETER ST-059-061	6,610
PRINT MAKING STUDIO	1,555
SCHOOL ST-062	3,313
SULLIVAN REC & FITNESS CTR-Orig	54,452
The Farm House	10,347

Board of Trustees Meeting - March 27-28, 2022 - REPORTS



University of Maine System  
Management Group Appointments/Changes  
Board of Trustees Meeting March 2022

Campus	Name	Position Title	Effective Date	Prior Salary	New Salary	Previous Position Title	Notes
USM	Dominic Barraclough	Vice Provost for Academic Affairs	9/1/2021	\$120,200	\$132,221	Vice Provost for Academic Affairs	10% Equity Inc.
USM	Jeannine Uzzi	Provost and Executive Vice President for Academic and Student Affairs	9/1/2021	\$203,889	\$244,667	Provost and Executive Vice President for Academic and Student Affairs	20% Equity Inc.
SWS	Samantha Warren	Director of Community and Government Relations	6/30/2021	\$138,647	\$157,000	Director of Community and Government Relations	\$18,353 Equity Inc.

## University of Maine Athletics

- 17 Varsity Sports, all at the NCAA Division I level.
- Women's Sports (9) – Soccer, Field Hockey, Cross Country, Ice Hockey, Basketball, Softball, Swimming, Indoor Track & Field, Outdoor Track & Field.
- Men's Sports (8) – Football, Cross Country, Ice Hockey, Basketball, Swimming, Baseball, Indoor Track & Field, Outdoor Track & Field.
- 550 Varsity Athletes.
- 26 Different Nations represented on varsity rosters.



## University of Maine Athletics

- Full Member of America East for all sports other than hockey and football.
- Associate Member of the Colonial Athletic Association for football.
- Full member of Hockey East for men's and women's hockey.



# University of Maine Athletics

## Recent Successes

- 2021 Field Hockey Team won the Regular Season and Post Season America East Championship and made their first appearance in the NCAA Championship Tournament.
- Women's Basketball has won three conference championships since 2018
- Football team won 2018 CAA Championship and won multiple games in the NCAA Tournament advancing to the Final Four.
- In 2019, Track athlete James Olivier won the USA Track & Field U-20 Championship in the 800M and qualified for the Pan-Am Games.



## University of Maine Athletics Academic Achievement

- In Fall 2021, 15 of 17 program achieved a GPA in excess of 3.0
- Women's Basketball had the highest GPA among the women's teams with a 3.717.
- Men's Ice Hockey had the highest GPA among the men's programs with a 3.684.
- For the 2020-21 academic year the Black Bears had the highest cumulative GPA for any school in the America East Conference.





# University of Maine Athletics

## Social Media Reach

Football	Twitter	21,000 Followers 8,066,945 Impressions 462,155 Profile Views
	Instagram	8,197 Followers
M. Hockey	Twitter	18,500 Followers 7,349,900 Impressions 395,923 Profile Views
	Instagram	5,331 Followers
W. Basketball	Twitter	4,998 Followers 3,089,800 Impressions 116,964 Profile Views
	Instagram	4,902 Followers



# University of Maine Athletics

## UMS Transforms

- Historic Gift from the Harold Alfond Foundation.
- Entirely for capital expenditures and not for operating support.
- Moves us towards our goals regarding access, gender equity, community involvement, competitive excellence, and allows us to assist other UMaine campuses.
- Requires a \$20M match. Progress is well underway!
- First three projects are now in construction document stage.



# University of Maine Athletics

Coming Summer 2022!



# University of Maine Athletics

Coming Summer 2022!





# University of Maine Athletics

Coming Summer 2022!



# Faculty Spotlight

Juyoung Shim  
University of Maine at Augusta

## Education/Background

- B.A in English (major) and Secondary Education (minor) at HUFS, Seoul, Korea, 1994
- Presque Isle, ME 1994-2001
- B.S. in Biochemistry/Pre-med track, Bates College, 2001-2005
- Scientific Technician, Research Associate, Lab Manager, UMO 2005-2013
- Ph.D. in Molecular and Biomedical Sciences. 2013- 2018
- Post Doctoral Training. Mount Desert Biological Laboratory 2018-2019

## Teaching at UMA (2019-present)

- Bio 210 Anatomy and Physiology with Laboratory
- Bio 340 Integrated Anatomy and Physiology with Laboratory
- Bio 322 Biochemistry
- Bio 345 Pathophysiology
- Bio 304E Biology of Aging



## Research at UMA

- UMA Presidential Strategic Development Fund (AY 2020-22)
  - *Launching a biomedical and toxicological research laboratory to assess arsenic contamination of well water in Maine on health-span and Aging using C. elegans*
- UMA Presidential Research Grant (AY 2022-23)
  - *Development of in-vivo bioassays for testing toxicity of environmental toxicants on stem cells and regenerative aging biology*
- The University of Maine system Research Reinvestment Fund (UMS RRF) Rural Health and Wellbeing Grand Challenge Grant Program
  - *Re-purposing an Existing Drug to Rapidly Fight SARS-CoV-2 and Influenza.*
  - Dr. Gosse & Dr. Hess (UMO), Dr. Currie (USM), Dr. Zimmerberg (NIH)

## Outcome from collaborative work

- NIH R15 AREA grant (AY 22-25) Mechanisms of cetylpyridinium chloride inhibition of immune cell function Role: Senior Co-investigator. PI: Dr. Julie Gosse (UMO).
- Katrina Daigle, Ella Sulinski, Juyoung Shim, Nicole Heller, Julie Gosse, Marie Hayes “Impaired Maternal Responsivity and Oxytocin Suppression in Opioid Dependent Mothers.” Developmental Psychobiology. 2020. 62(1):21-35.
- Sarah Conlin, M. Scarlett Tudor, Juyoung Shim, Andrew Neilson, Julie Gosse, Heather Hamlin. “Elevated nitrate alters the metabolic activity of embryonic zebrafish.” Environmental Pollution, 2017. Vol 235, pp 180-185.

# Outreach and Trainings

- Research Academy; Mini cohort- Faculty from UMO, USM
- Research Affiliates
- Course Director/faculty-Bridging Discipline: March Break- Biomedical research course
- Scientist-partner-NIH Science Education Partnership Award (SEPA) project: MDIBL, Dartmouth College, COA
- Early College Science Program Coordinator: Aspirations, Concurrent enrollment, Bridge Academy
- Intercollegiate council
- Fusion: Enhancing Online Education through Community-Based Learning workshop(2020)
- SAALT: Summer Academy of Adult Learning and Teaching (2021)
- ALT-FIG: Adult Learning and Teaching Faculty-led Interest Group- USM, UMO, UMA



# ExplorEC

Early College at Maine's Public Universities

Board of Trustees Update 3/28/2022

Year in review and next steps

**Amy Hubbard**

**Executive Director of Early College, University of Maine System**

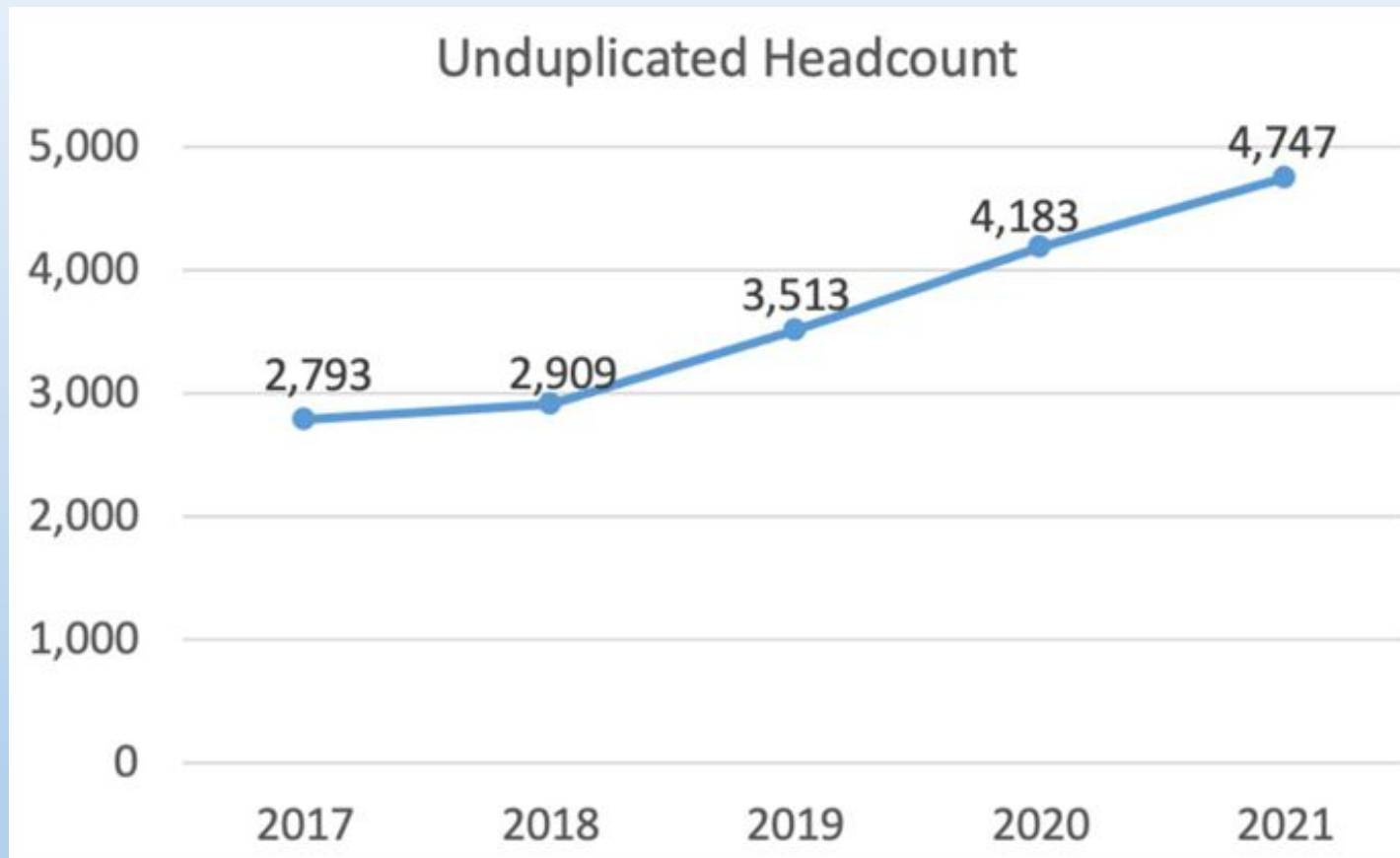
<https://www.maine.edu/early-college/>

## Early College Definitions

Programs within the EC umbrella:

- **Online/on campus-** courses taught by college faculty
- **Concurrent Enrollment(CE)** courses taught by college-approved high school teachers on the high school campus (formerly dual enrollment)
- **Bridge Academy-(CE)** provides college courses for students in CTE programs, combining rigor, skills, career exploration, and mentoring

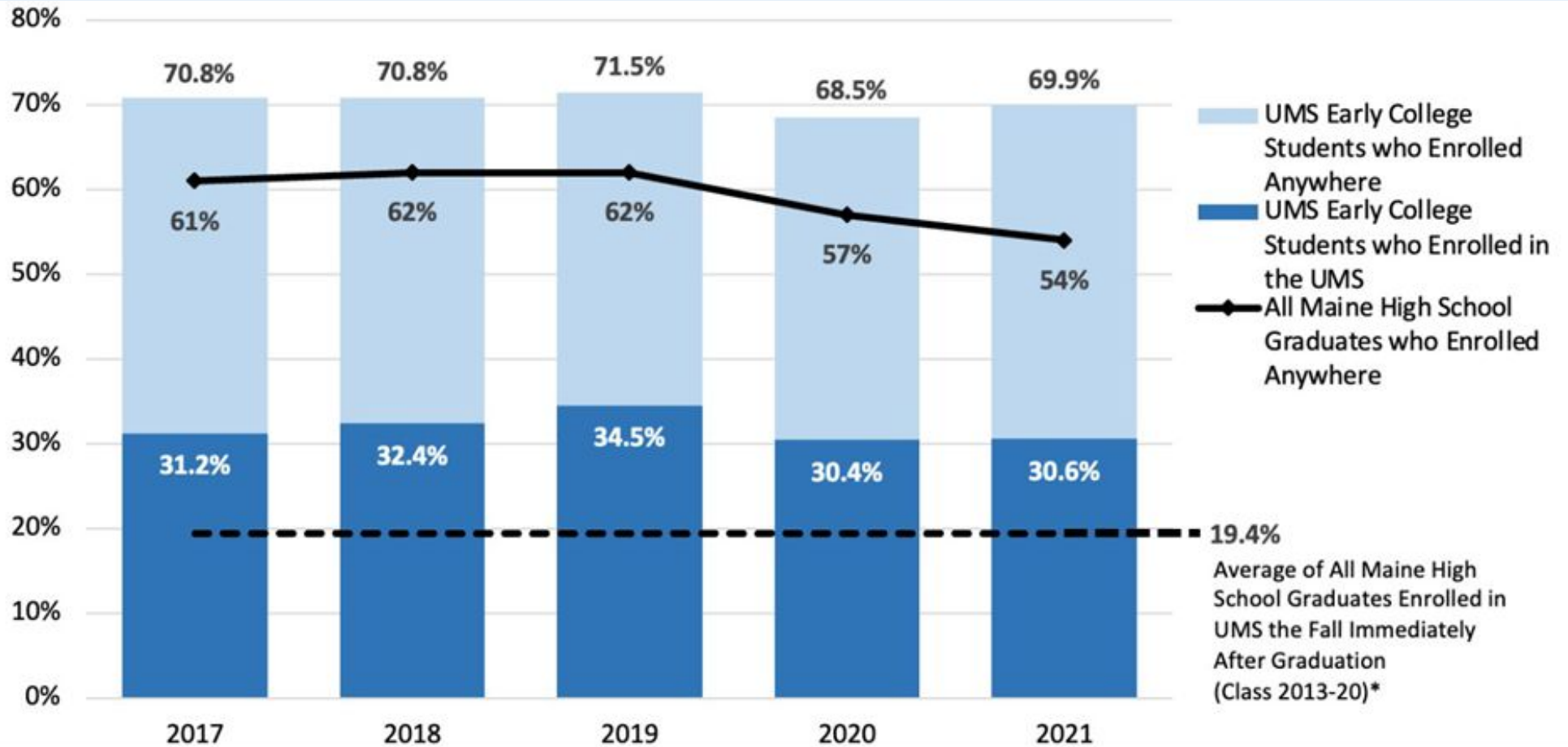
## Enrollment in Early College



Justin Young, Bob Zuercher and Haliru Omosun  
University of Maine System Office of Institutional Research



# Enrollment in College Following High School Graduation



Justin Young, Bob Zuercher and Haliru Omosun  
University of Maine System Office of Institutional Research

*Maine's Public Universities ~ Building Futures, Strengthening Maine*

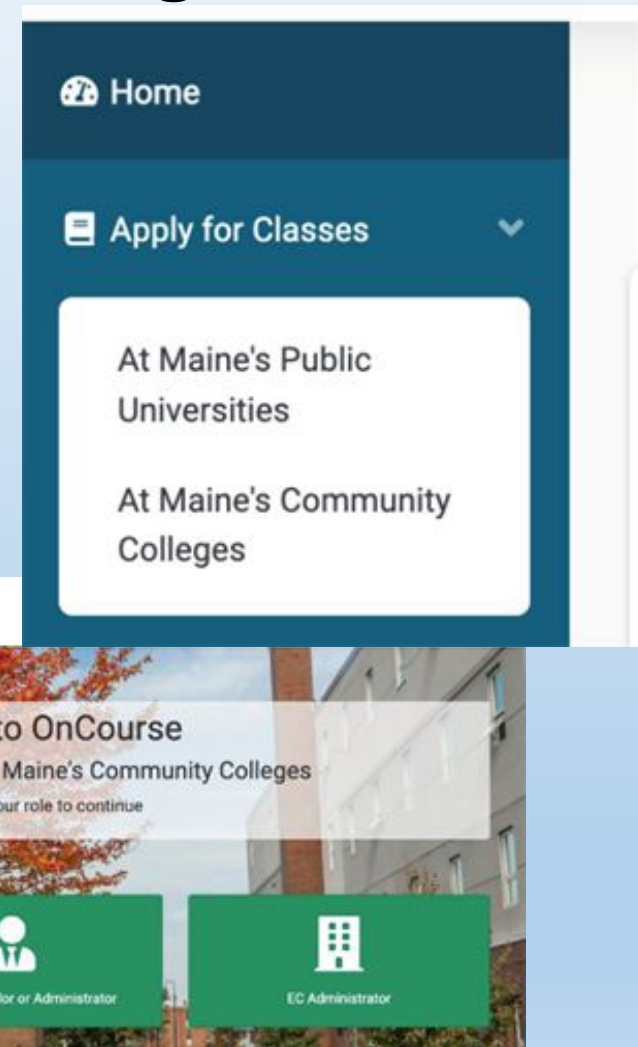
# Campus Highlights

Campus	Increase in Credit Hours FY20-FY21	Program highlights
UMA	15%	Bridge Academy, Flight Academy, career exploration pathways
UMF	66%	New dedicated EC Director, new niche in online courses
UMFK	21%	Statewide outreach, Project login (computer science), first year of nursing with Region 2 CTE
UMPI	17%	Increased support for local high school counselors and teachers, career exploration pathways
UMM	70%	Pioneered career exploration pathways, late start courses, first concurrent enrollment course
UM	87%	Summer programming (e.g. leadership institute), new concurrent enrollment courses, career exploration pathways
USM	27% (online/on campus increase)	New dedicated EC staffing, diverse array of online options, state-wide concurrent enrollment courses in math, history, Spanish

*Maine's Public Universities ~ Building Futures, Strengthening Maine*



# Collaboration & Data Sharing: MCCS



# Equity Report

- National sponsors, MCCC, UMS, DOE
- Focus group meetings with diverse group of stakeholders
- Report includes recommendations for improving equity in EC programming



**COMPLETE  
COLLEGE  
AMERICA**



# Strategic Plan

## Priorities:

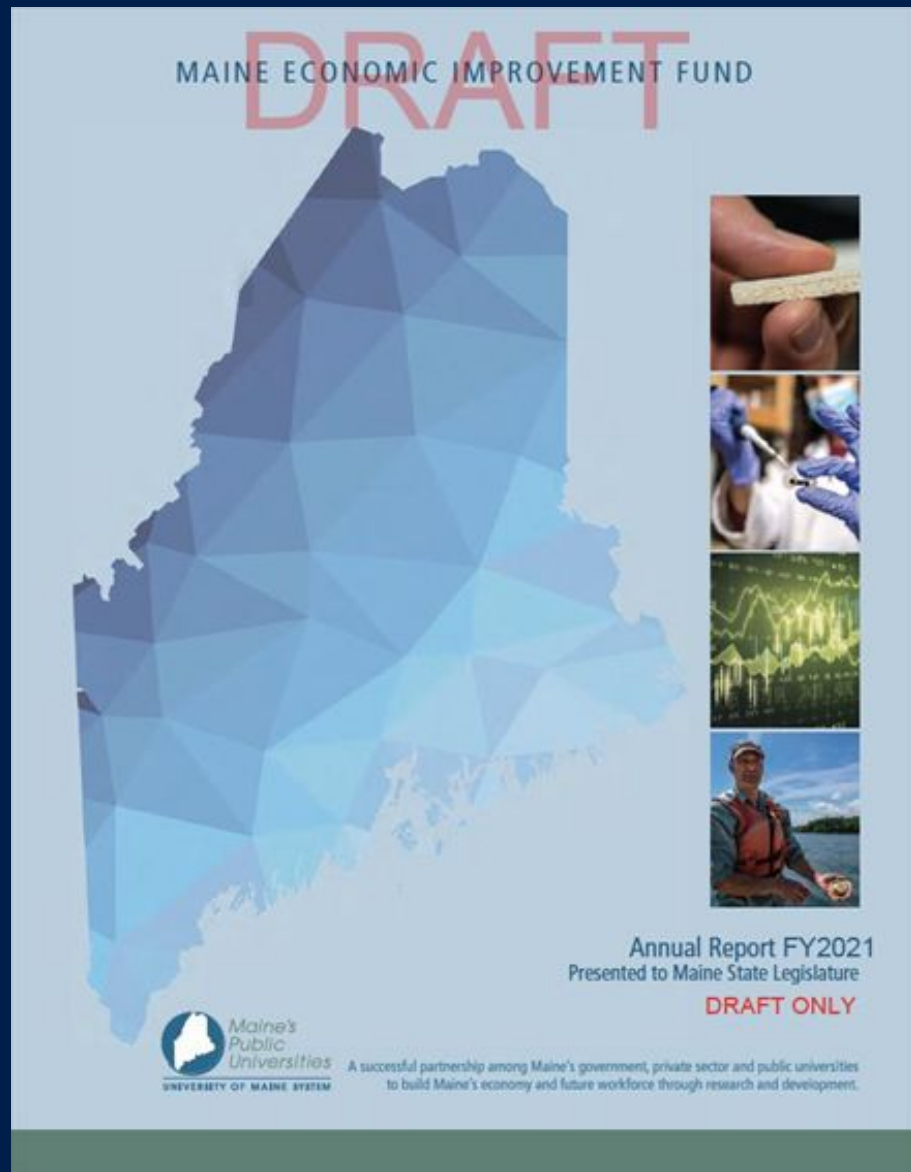
1. Establish the role of EC in increasing aspirations and providing equitable college access
2. Program structure and sustainability
3. Student and program success
4. Partnerships and collaborations



## For more information: [Early College Website](#)

- Resources
- Student support
- Which classes should I take
- Career exploration pathways
- Enrollment checklist
- Credits with purpose
- ExplorEC Portal (How to Apply for Classes)
- UMS Early College report (Data and year in review)
- Strategic plan
- Equity report





# Maine Economic Improvement Fund

## FY 2021 Annual Report

March 10, 2022

Joan Ferrini-Mundy

President and Vice Chancellor for  
Research and Innovation

Jake Ward

Vice President for Innovation and  
Economic Development





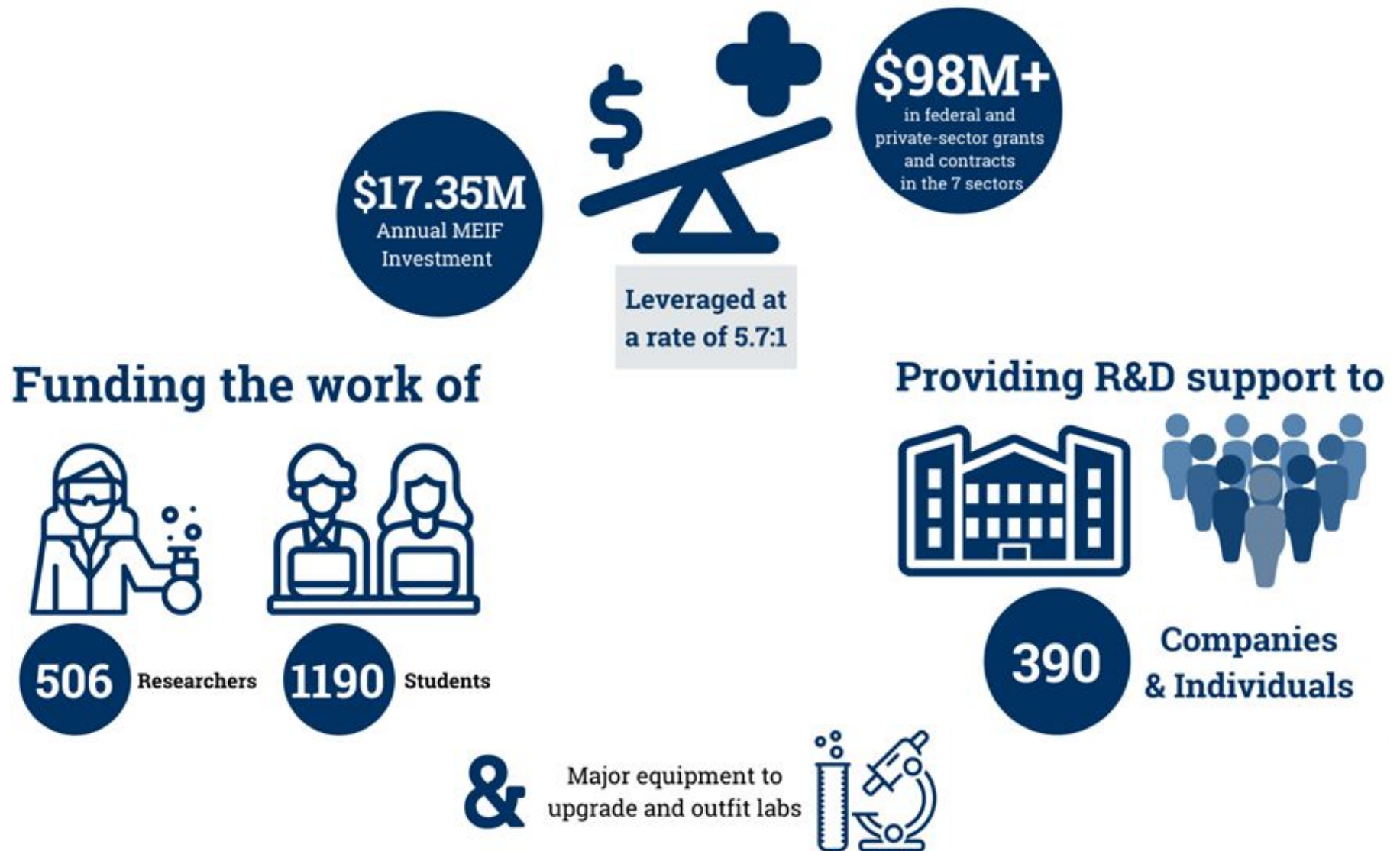
***The role of MEIF is to solve fundamental problems and discover new solutions.***

*MEIF provides researchers at Maine's public universities with the investment necessary to:*

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



# *The FY2021 MEIF investment made an impact.*





THE UNIVERSITY OF  
**MAINE**

## *Maine trails badly in R&D investment.*

### 9 - Research and Development

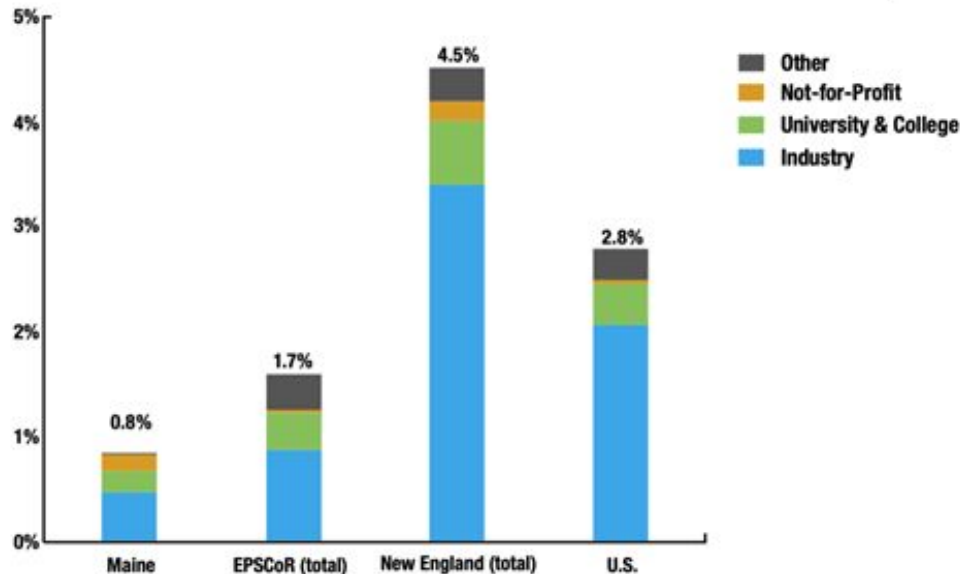


0%

Maine trails badly in R&D investment



**TOTAL PERCENT OF GDP TOWARD R&D BY MAJOR PERFORMANCE SECTOR, 2018**



**Benchmark:**  
Maine's research and development spending as a proportion of the economy will reach the U.S. average by 2030.

**Source:**  
Camoin Associates, National Science Foundation, U.S. Bureau of Economic Analysis, University of Maine

Research and development (R&D) spending is an indicator of the level of innovation in an economy, an important driver of economic growth. In 2018, Maine's total R&D spending was \$527 million, up slightly from \$520 million in 2017.

R&D spending in Maine represents 0.8% of total gross domestic product (GDP), compared to 2.8% nationwide. This ranks us 43rd of the 50 states and is about one-half of the estimated 1.7% average among EPSCoR states. Maine lags other states in private sector

and university R&D investments relative to GDP, while our non-profit sector contributes a relatively higher proportion of spending.

Maine's lack of an R1\* research university contributes to this situation. To address this, the University of Maine System Board of Trustees recently prioritized the expansion of R&D across the system. In 2020, the University of Maine's R&D expenditures reached \$165.1 million, a record high. These gains may improve Maine's overall R&D ranking in future years.

\*\*R1\* refers to doctoral universities with "very high research activity," as defined by the Carnegie Classification of Institutions of Higher Education.

"Maine's lack of an R1\* research university contributes to this situation."

**MEASURES OF GROWTH+**  
Performance Measures and Benchmarks to Achieve a Vibrant and Sustainable Economy for Maine  
2021





THE UNIVERSITY OF  
**MAINE**

***The University of Maine and UMS are the State's most promising resource for growing R&D as a percent of GDP.***



University of Maine Portland Gateway: one-stop connection to UMaine's research, education, and outreach

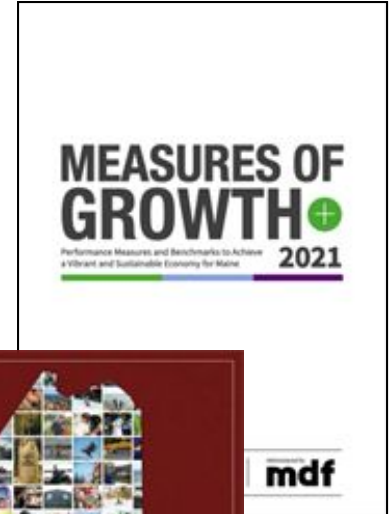
Blind Dog Photo, courtesy of Wright-Ryan Construction



UMaine is Statewide

- Academic
- ◆ Research facilities
- ▲ Cooperative Extension





UNIVERSITY OF MAINE SYSTEM  
**TRANSFORMS**  
*Maine's Public Universities*

**R1**  
DEFINES  
**TOMORROW**





***MEIF builds UMS's talent, innovation and infrastructure.***

## **MEIF FY2021 Objectives**

- Objective 1: Attract top talent and new financial resources to the state of Maine to increase the state's R&D capacity
- Objective 2: Address the current and future workforce needs of the state to benefit the people and businesses of Maine
- Objective 3: Elevate R&D activities within the UMS to benefit Maine's economy.



## ***MEIF supports research that matters to Maine.***

- Increasing focus on rapid response to solve Maine challenges and drive immediate opportunities as part of pandemic recovery
- Using UMS's talent, innovation and infrastructure assets as the springboard for recovery and growth
- Fostering innovation in Maine's heritage industries and developing new markets and new products for key Maine economic sectors
- Building strategic partnerships with business, industry and government to support State economic priorities





## ***We have ideas about the future evolution of MEIF: A grand challenge approach.***

Around the world, research universities lead grand challenge initiatives in partnership with the private sector and government to focus their research, education, and outreach efforts to:

- Promote discovery
- Develop the workforce
- Engage the public in solving pressing societal problems





## ***Sector Impact Examples***

### **Forestry**

Accelerate the goals for FOR/ME and forest sector: collaborations including Maine-based biomaterials for packaging

### **Public Health**

Expand capacity to respond to public health challenges (use of telemedicine, AI, etc.) in partnership with Maine Healthcare, State DHHS/CDC, non-profit biomedical

### **Aquaculture**

Accelerate the development of land-based recirculating aquaculture (RAS) with companies like Nordic, Whole Oceans, Kingfish Maine, American Unagi

### **Renewable Energy**

Accelerate offshore wind commercialization with NEAV, Cianbro and work with state, external partners to advance other Climate Action Plan goals

### **Education and Healthcare**

Pursuing \$20M in funding from EDA to create good jobs challenge partnership with MCCS, DHHS, MDOE, and UMS to fill teacher and nursing shortages



## ***We will be proposing a pilot in FY2023 of a DARPA\*-like approach for some MEIF funds.***

- Conduct market research, market development, field trials, etc.
- Fund university-business partnerships meant to solve specific problems in Maine.
- Support post-docs, graduate students and undergraduate fellows who can advance innovation and commercialization.
- Establish joint fellowship appointments with State of Maine agencies to help them implement research in the field.
- Use limited funding for facility upgrades and critical path equipment (leveraging external funds).

\* DARPA - [Defense Advanced Research Projects Agency](#)

## ***Update on UMS Research, Development, and Innovation***

Joan Ferrini-Mundy

UMS Vice Chancellor for Research and Innovation  
President, University of Maine

UMS Board of Trustees Meeting  
Orono, ME, March 28, 2022





- The University of Maine's R1 designation and the UMS- wide implications
- Consultation with presidents and dean: How to expand research and development across UMS
- Challenges and opportunities



- The University of Maine's R1 designation and the UMS-wide implications
- Consultation with presidents and dean: How to expand research and development across UMS
- Challenges and opportunities





## The road map to R1 goes back to 1998.

**1998**

Maine Economic Improvement Fund established, Maine State Legislature

**2018**

University of Maine System Board of Trustees Strategic Priorities

**2019**

Faculty and staff identify steps to R1.  
  
UMS Research and Development Plan articulates R1 goal.

**2020**

R1 in 2024 investment and development plan presented to BOT

**2021**

All-time highs:  
-R&D expenditures \$179.3M  
-External funding \$133.6M  
-Graduate student and doctoral enrollment

**2022**



## UMaine R1 strengthens the entire University of Maine System.

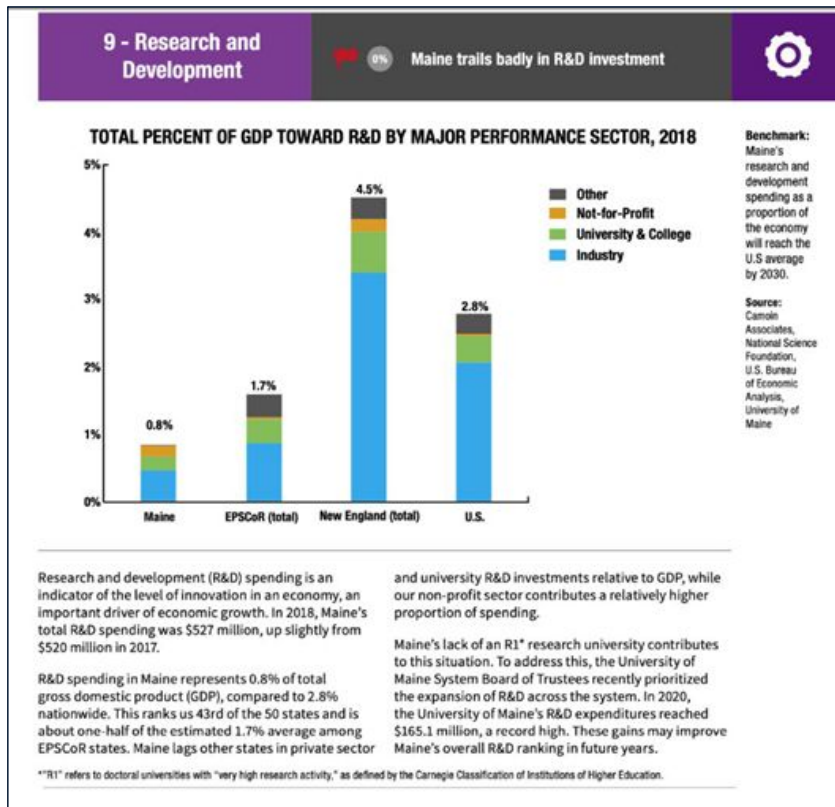
- Recruiting and retaining students
- Drawing world-class faculty and researchers
- Increasing federal grants and contracts and private investment
- Developing collaborating programs, centers/institutes
- Strengthening UMaine research administration



*“The research enterprise at the University of Maine is **a vital state economic and educational asset.** The R1 designation is the world standard for research universities. With it, **we will attract more talent, investment and innovation to Maine.**”*

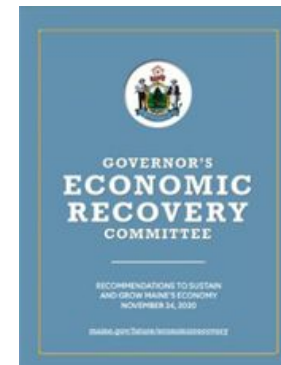
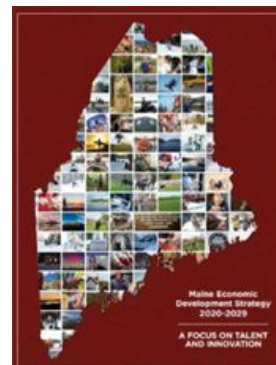
– Chancellor Dannel Malloy

## UMaine/UMS: key partners in growing Maine's workforce and economy through R&D.

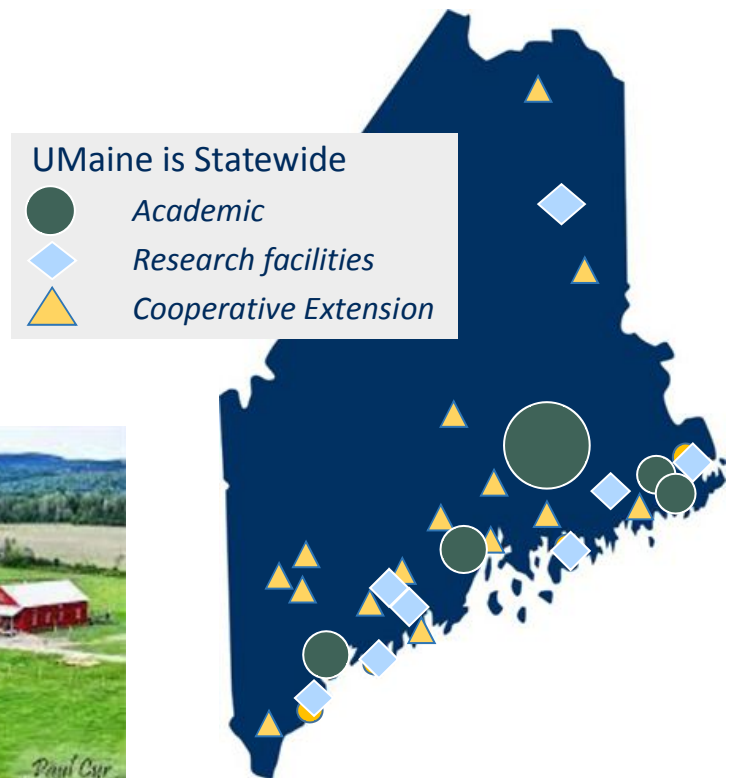


2021 Measures of Growth Report flagged Maine's continued lack of R&D investment as a lid on the state's economic growth, noting **"Maine's lack of an R1\* research university contributes to this situation."**

**R1**  
DEFINES  
TOMORROW



**UMaine and UMS are the State's most promising resources for growing R&D as a percent of GDP.**





## We can derive mutual benefit by collaborating.



- **R&D expenditures in Science and Engineering**
  - UMS institution S&E grants developed and submitted in partnership with UMaine
  - UMS institution faculty working on UMaine grants/paid through UMaine
  - R&D partnerships through UMaine VPIED between UMS campuses and local businesses/industries
- **R&D expenditures in non-Science and Engineering**
  - Collectively much “non-Science and Engineering” across UMS
  - Work with UMaine to bring in grants at UMS campuses
  - Cross-university joint centers and institutes
  - Residencies at UMaine at MCSPC, McGillicuddy, ZAM, etc.
  - Residencies at Law School
  - Other UMS programs for UMaine staff to introduce research focus



## We can derive mutual benefit by collaborating.



- **Number of R&D staff with doctoral degrees (postdoctoral and non-faculty)**
  - Joint appointments/embedded assignments at UMS campuses with UMaine CORE, OVPRDGS offices (compliance, development, administration), ARCSIM, and research labs (technicians, staff, etc.)
  - Shared postdoc programs
  - UMaine appointments for UMS central staff with doctoral degrees to engage in research
- **Number of STEM, social sciences, humanities, and other doctoral degrees awarded**
  - Create programs for faculty and staff at UMS campuses who have not completed their doctoral degrees
  - “Grow our own” faculty in 2+3 (MS to PhD) programs to attract and retain faculty UMS-wide
- **Number of full-time faculty**
  - UMaine faculty located at UMS campuses for teaching and research assignments

- The University of Maine's R1 designation and the UMS- wide implications
- Consultation with presidents and dean: How to expand research and development across UMS
- Challenges and opportunities



## Conversations with presidents/dean - great ideas.



Faculty P&T  
expectations

Student  
research

Regional  
impacts

Expertise  
sharing

Pathways to  
PhD  
completion

Integration of  
research and  
instruction

**We are working to make UMaine research and innovation services available systemwide.**



## RESEARCH

- ✓ Award administration
- ✓ Professional development
- ✓ Compliance
- ✓ Grant-writing cohorts
- ✓ Research faculty affiliates
- ✓ Graduate teaching exchange
- ✓ CORE facility/instruments

## INNOVATION

- ✓ Intellectual property protection
- ✓ Commercialization training
- ✓ Business incubation
- ✓ Industry partnerships
- ✓ Internships and co-ops

## **UMS intramural grants are key to building R&D capacity and success.**

1. **Maine Economic Improvement Fund (MEIF) Small Campus Initiative (SCI)**
  - 4 new projects: UMA, UMF, UMM, and MMA
  - R&D aligned with Maine's targeted technology sectors
  - Student research learning experiences embedded
2. **UMS Research Reinvestment Fund (RRF) – 10 new projects**
  - Economic Recovery Response Grants
  - Interdisciplinary Undergraduate Research Collaboratives
  - Research Collaboration Networks
3. **MIRTA Accelerator – Cohort 5.0**
  - 4 new teams
  - UMS faculty, graduate students, and external partners
  - First cohort that included UMF faculty

- The University of Maine's R1 designation and the UMS- wide implications
- Consultation with presidents and dean: How to expand research and development across UMS
- Challenges and opportunities



## UMaine is leading two proposals to EDA with UMS partners.



### PK-12 Education and Nursing in Maine



**Accelerating the Northern Forest Bioeconomy Through Innovation, Commercialization, Workforce and Community Redevelopment**



## Maine Jobs and Recovery Plan UMS projects are progressing toward funding.

Proposed Project	Request	Current Status/Most Recent Action
UMaine Green Engineering and Materials Factory of the Future	\$15M	Deemed eligible via revenue replacement and approved to move onto Part II, <b>UM developing Part II case (3/8/22)</b>
UMS Talent, Research & Innovation Small Campus Competition	\$4M	<b>UMS reviewing revised Part I eligibility case (2/25/22)</b>
UMaine Sustainable Aquaculture Workforce and Innovation Center	\$3.5M	Deemed eligible under revenue replacement, <b>awaiting final State Part I review (2/28/22)</b>
University of Maine Aroostook Farm Research and Education Center	\$3M	Initially deemed eligible, <b>awaiting State Part I review (12/15/21)</b>
UMaine Food Innovation Cluster Food Quality Laboratory	\$2.5M	Initially deemed eligible, <b>awaiting State Part I review (12/15/21)</b>



## Maine Jobs and Recovery Plan UMS projects are progressing toward funding.

Proposed Project	Request	Current Status/Most Recent Action
UMS Solutions for Maine Research, Development and Innovation Hub	\$2.5M	Initially deemed eligible, <b>needs update from UM Hub Team and resubmission (3/2/22)</b>
UMS Rural Career Pathway Center	\$1.5M	Initially deemed eligible, <b>awaiting State Part I review (2/28/22)</b>
USM Michael E. Dubyak Center for Digital Science and Innovation	\$1.5M	<b>USM revising Part I eligibility case (2/23/22)</b>
UMF Sweatt-Winter Early Childhood Education Center	\$1M	Deemed eligible and approved to move onto Part II, <b>UMF/UMS developing Part II case (2/16/22)</b>
UMM/Downeast Institute Workforce Development	\$500,000	Initially deemed eligible, <b>awaiting State Part I review (1/13/21)</b>

## Secured FY22 UMS Federal Earmarks

*“High-impact projects in Maine that can reach completion with assistance from the federal government.” - Sen. King*

Project	Amount	Recipient
UMaine Green Engineering and Materials Factory of the Future	\$10M*	UMaine
Strengthening Local and Regional Seafood Systems for Resilient Communities	\$2M	UMaine
UMaine Wood-fiber Insulated Panels for Modular Construction and Retrofit Applications	\$2M	UMaine
Pediatric and Obstetric Mobile and Stationary Simulators for Nursing Education and Training	\$1M	All (UMaine lead)

*\*In addition to this earmark, Sen. Collins also secured \$25M through the Defense Appropriations bill for GEM with support from the Maine delegation as part of \$58.5M in new FY22 funding for UM/UMS*



*Sen. Collins, who championed UMS earmarks, participates in a simulated delivery at UMPI's Lisnik Nursing Simulation Lab during a visit last month promoting the UMS mobile nursing simulator earmark.*

## Secured FY22 UMS Federal Earmarks

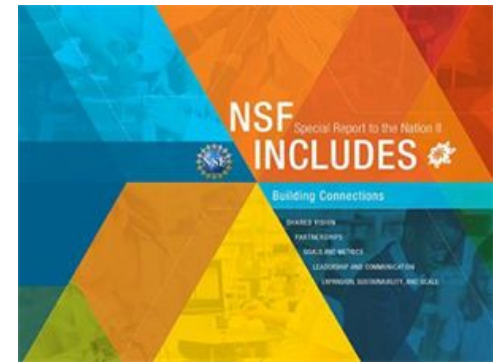
Project	Amount	Recipient
UMF Sweatt-Winter Early Childhood Education Center Expansion	\$1M total	UMF
University of Maine State Climate Coordination Center	\$1M	UMaine
UMS Teacher Residency Program	\$989,000	USM lead, UMaine, UMA, UMF, UMPI
UMS Adult Transitions, Learning and Success Pilot Program (ATLAS)	\$945,000	All (UMA lead)
4-H Innovation Lab and Learning Center	\$450,000	Maine 4-H Foundation
UMaine Managing Invasive Emerald Ash Borer	\$300,000	UMaine
UMaine Business, Agriculture and Rural Development (BARD) Technical Assistance Pipeline	\$292,000	UMaine



## We are exploring new initiatives and areas.

- Semiconductors – a growing area for leadership and funding
- Climate Change Consortium, UMS-wide
- Statewide efforts to educate stakeholders about R&D
- “Grand Challenge” approach for MEIF

... and more



**Thank you.  
Questions and  
discussion?**

# UMS Board of Trustees March 28, 2022

## Discussion on MCECIS MOU

Vice Chancellor for Strategic Initiatives and Chief Legal Officer Jim Thelen  
Vice Chancellor for Research and Innovation and President Joan Ferrini-Mundy



## MCECIS – Broad Goals

- Double graduates to meet Maine's workforce needs
- Double faculty
- Double research funding
- Upgrade and expand facilities to accommodate growth
- Increase diversity
- Expand existing & add new degree programs
- Strong links with K-12, CC's, industry, and across the UMS
- Ties with *Student Success and Retention & Maine Graduate and Professional Center*



Summer intern **Allie Hayford** of Cape Neddick at Pratt & Whitney in North Berwick





## MCECIS – Support and Historical Precedent

- HAF grant (\$75M/\$75M match) committed to establish MCECIS
- Lawrence Scientific School at Harvard
  - 1847 gift of \$50,000 (~\$1.73M today)
  - Textile magnate Abbott Lawrence
- Sheffield Scientific School at Yale
  - 1848 gift of \$130,000 (~\$4.63M today)
  - Railroad entrepreneur Joseph Sheffield
- HAF grant dwarfs Harvard and Yale gifts
  - HAF grant would be \$2.14M in 1847 dollars
  - 43x Harvard gift/16x Yale gift



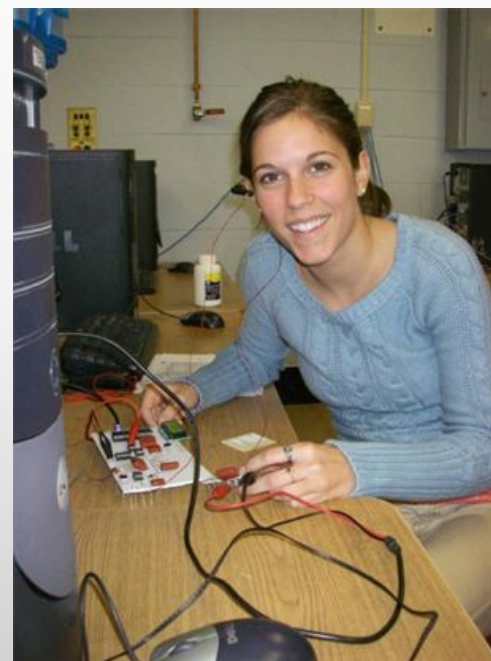
The Lawrence Scientific School





## MCECIS

- MCECIS will include:
  - Renamed UMaine College of Engineering
  - Faculty/program participation from UMaine School of Computing & Information Science and other UMS universities (tbd)
  - USM Dept of Engineering (as a partner division)
- Capitalize on synergies between engineering and related computing and information science evolving disciplines
- Envision partnerships with:
  - All campuses in UMS
  - Community colleges
  - K-12
- Relationship between units beneficial to all



## MCECIS – What's already happened

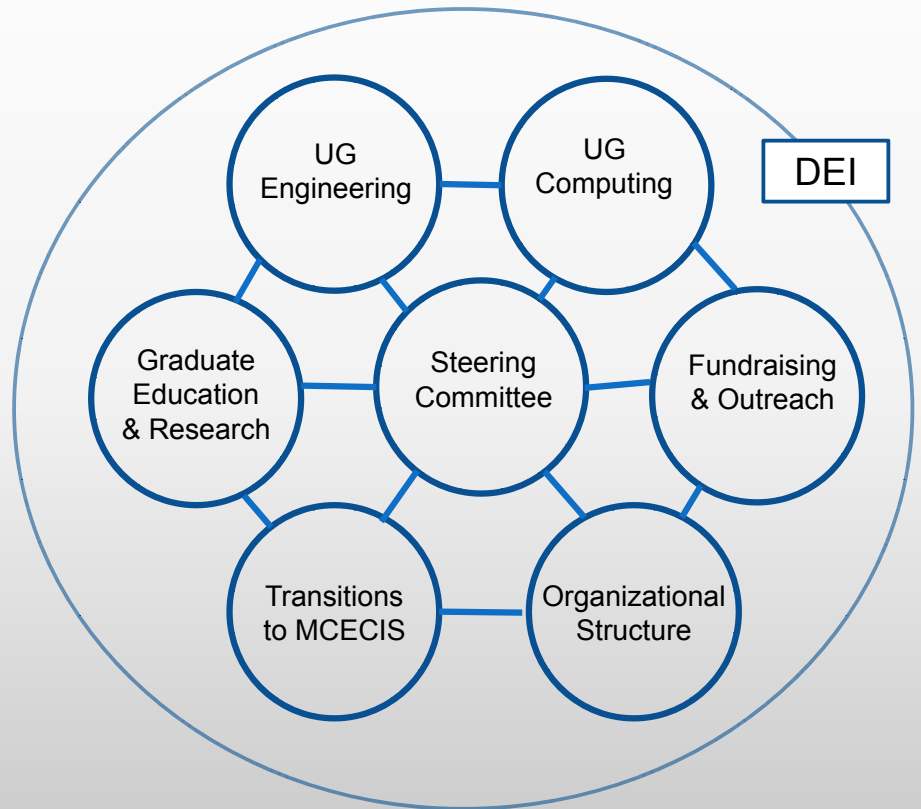
- Visioning workshops

- USM Engineering
- USM Computing
- System-wide Computing
- UMaine School of Computing & Information Sci.
- UMaine Engineering – all five units
- UMaine COE Dean's Advisory Council
- Maine Geospatial Institute
- SCIS Advisory Board
- Educate Maine
- Supporting programs from UMaine College of Liberal Arts and Science
- And more



## MCECIS – Working Committees

- Six faculty-driven working committees
  - Make recommendation to steering committee
  - Example charge: *recommend new undergraduate certificates, minors, and degrees driven by student interest, industry need, and future trends*
- DEI committee that unifies efforts to increase Diversity, Equity and Inclusion
- Approximately 100 faculty, staff, and outside constituents involved
- Recommendations by end of Spring semester



## MCECIS MOU

### Calls for:

- Renaming UMaine College of Engineering to MCECIS
- Partnering the USM Department of Engineering with MCECIS as the “USM Division of Engineering,” with USM retaining:
  - USM degrees in its own programs
  - Administrative responsibility and authority over USM faculty and staff and the USM programs that participate in MCECIS
  - USM Engineering Chair to coordinate with UMaine counterparts (e.g., chairs of like UMaine programs)
- Faculty maintain shared governance responsibility for curriculum
- Written at request of USM engineering faculty and administration



## MCECIS MOU – Faculty Review

Feedback invited from:

- USM and UMaine Faculty Senates
- MCECIS Steering Committee (and Org Structure working group)
- AFUM
- UMS Faculty Governance Council
- Discussed with UMS Chief Academic Officers
- Only USM Faculty Senate and AFUM responded
- UMS honoring shared governance
  - Faculty maintain shared governance responsibility for curriculum



## MCECIS MOU – Next Steps

- UMaine College of Engineering dean search launched
- Evaluate UMS Faculty Governance Council, MCECIS Steering Committee, and MCECIS Org Structure working group feedback
- Leave all curricular matters to faculty
- UMS Computing and Information Science representatives still working on framework for participation
- Request for approval from ASA/Board in May 2022:
  - Renaming UMaine College of Engineering to MCECIS
  - Confirm USM engineering partnership with MCECIS as defined in MOU
    - Further program and curricular details to be worked out by faculty and existing working groups and committees

