

University of Maine System – Board of Trustees Meeting
September 15-16, 2024
at the University of Maine at Farmington

-

Sunday, September 15, 2024

Educate Maine’s Mobile BIOLAB will be parked at UMF for Trustees, the Chancellor, Presidents, Staff to tour. On Monday, there is an opportunity to tour it during lunch.

Call to Order @ 1:00pm

The Board of Trustees will go directly into Executive Session under provisions: 1 MRSA Section 405 6-A, C, D & E.

Executive Session from 1:00 pm to 5:05 pm, The Landing – Olsen Student Center First Floor

Reception @ 5:15 pm (Cash Bar) – Beaver Lodge – Olsen Student Center
(By Invitation Only)

Dinner @ 6:00 pm – South Dining Hall Cafeteria in the Olsen Student Center
(By Invitation Only)

Monday, September 16, 2024

Breakfast served @ 7:00 am – North Dining Hall A, B & C – Olsen Student Center

Coffee & Networking @ 8:00 am

Call to Order @ 8:30 am – North Dining Hall A, B & C

Citizen Comment

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 September 16, 2024 starting at 8:00 am until 8:25am.

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.

Approx 8:35 am

University of Maine at Farmington Discussion – President Joseph McDonnell

Approx 9:35 am

Chair’s Report

- Presidents’ Round Robin

Tab 1 – Redlined Board Policy First Read – Trustee Alexander

Tab 2 – Redlined Board Policies – Trustee Alexander

Approx 10:30 am

Chancellor’s Report (20 Minutes)

- Chancellor’s Update
- **Tab 3 – Board of Agriculture Appointments**

Approx 10:50 am.

Vice Chancellor for Strategic Initiatives’ Report (30 Minutes)

Tab 4 - Strategic Plan KPIs Discussion – Jeff St. John/ Carolyn Dorsey

Tab 5 – Update on Title IX

Approx. 11:20 am

Vice Chancellor for Finance and Administration & Treasurer’s Report (20 Minutes)

Tab 6 – Finance and Administration Update

Approx. 11:40am

Chief Information Officer’s Report (20 Minutes)

Tab 7 – Repaving MaineStreet/Unified Catalog

Approx. 12:00 pm

Tab 8 - BIOLAB - VC Dorsey, Jason Judd, Executive Director, Educate Maine (10 minutes)

Approx. 12:10 pm

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

Approx. 1:10 pm

Action Items (30 minutes)

Tab 9 – Budget Increase - E-Sports Arena Construction in Lower Brooks Dining Hall, USM

Tab 10 – Kelley Commons Boiler Replacement

Tab 11 – Mallett Restroom Budget Increase

Tab 12 - Sustainable Aquaculture Workforce and Innovation Center (SAWIC), UM

Approx 1:40 pm

Tab 13 - Overview Of Maine Center - Building Renovations Request For Funding– Chancellor, Seth Goodall, CEO, Maine Center Ventures, and Executive Director, The Maine Center

(30 minutes)

Approx 2:10 pm

Vice Chancellor for Academic and Student Affairs – (5 Minutes)

Tab 14 – UM Tenure of time of hire

Tab 15 – USM Tenure of time of hire

Approx. 2:15 pm

Consent Agenda (2 minutes)

Tab 16 - Acceptance of Minutes

Tab 17 - Authorization of Space Reduction and Construction of a New Facilities Management Building at UMF

Date of the Next Meeting:

November 17-18, 2024, meeting will be held at the University of Maine.

Public Meeting conclude at approximately 2:17 pm.

Executive Session – following the public meeting

Attachments

UMS Managed Investment Pool

UMS Pension Flash Report

UMS Operating Flash Report

Reports

[Agenda Calendar](#)

2018 State Bond Project Status Report

UMS Capital Project Status Report

Capital Projects Status Report and 2018 Bond Projects Update, UMS

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.



CAMPUS MAP



University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Redlined Board Policy First Read

INITIATED BY: Patricia A. Riley, Chair

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY: Section 103 Bylaws

UNIFIED ACCREDITATION CONNECTION: N/A

BACKGROUND:

At the direction of Chair Riley and agreement of the Board at the January 2023 meeting, the Bylaws Working Group has completed its review of the current Bylaws and recommended the changes noted in the redline format included in meeting materials. It has been the intent of the Working Group throughout this process to clarify the current wording of the Bylaws, add necessary details to reflect ongoing Board practice, and to include content in the Bylaws derived from our Charter and other operating principles where it was determined that language was important to include.

These initial provisions and redlined changes are being presented as an information item at the September 2024 Board of Trustees Meeting for consideration and further recommendations. The proposed Bylaw changes will be presented at the November 2024 Board of Trustees for final approval.

Attachments

[Policy 204.1 - President – Evaluation Process](#)

GOVERNANCE AND LEGAL AFFAIRS

Section 204.1 President – Evaluation Process

Effective: 1/23/89

Last Revised: 11/30/95; 6/30/98; 7/12/2010, 4/8/24

Responsible Office: Clerk of the Board

Policy Statement:

The Chancellor shall conduct an annual review of each President's performance to be completed in May. ~~In the third year~~ At the time of consideration of extending ~~of~~ the President's service or at the discretion of the Chancellor, the review will be a comprehensive review as described below. The Chancellor may modify the timing of an annual or comprehensive review as needed to meet needs of the System, with notice to the President and the Board of Trustees. ~~– Any recommendation to extend or make a significant change to the contract with the President based on an annual review shall be submitted to the Board of Trustees for its review and approval.~~

In years in which there is not a comprehensive review of the President, the President will submit a self-assessment, together with a statement of proposed goals for the coming fiscal year, in March. Utilizing the President's self-assessment, the Chancellor will meet with the President, to discuss both performance strengths and weaknesses and to finalize the President's goals for the coming year. Following the meeting, the Chancellor will prepare a letter to the President summarizing the performance review. ~~– Any recommendation to extend or change the contract with the President based on an annual review shall be submitted to the Board of Trustees for its review and approval.~~

The Comprehensive Review at the time of consideration of extending the contract, ~~in the third year of service~~, or at the discretion of the Chancellor, will be conducted according to the following guidelines:

1. The Chancellor will confer with the President and will establish a specific schedule, beginning in October, and time frame for the completion of the tasks necessary for the process.
2. The Chancellor may select an external reviewer to conduct the comprehensive review and to report to the Chancellor.
3. The Chancellor will establish the review process, develop criteria for assessing the President's performance and leadership, develop assessment tools, determine the parties to be consulted, and identify all issues and areas to be considered.
4. The Comprehensive Review will include at a minimum:
 1. A self-assessment statement prepared by the President addressing the areas and issues determined by the Chancellor and external reviewer (if applicable), and
 2. Interviews with, or other means of obtaining feedback from, all Board members, representatives of faculty, students and staff, Board of Visitors, and any other parties selected by the reviewer and Chancellor.

5. The Chancellor, and the external reviewer (if applicable), to review the findings of the review process.
6. Under the Chancellor's direction, based on the self -assessment, interviews and Chancellor's assessment, a draft report will be prepared and shared with the President.
7. Under the Chancellor's direction, a final written report will be prepared and forwarded to the Board.
8. Before the Chancellor acts on extending the President's contract, the Chancellor will report to the Board on the outcome of the review, and will recommend to the Board any adjustment to the President's compensation for the coming year and whether to extend the President's contract.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Proposed Change to Board of Trustee Policies 213 & 416

INITIATED BY: Patricia A. Riley, Chair

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY: Section 103 Bylaws

UNIFIED ACCREDITATION CONNECTION: N/A

BACKGROUND:

At the direction of Chair Riley and agreement of the Board at the January 2023 meeting, the Bylaws Working Group has completed its review of the current Bylaws and recommended the changes noted in the redline format included in meeting materials. It has been the intent of the Working Group throughout this process to clarify the current wording of the Bylaws, add necessary details to reflect ongoing Board practice, and to include content in the Bylaws derived from our Charter and other operating principles where it was determined that language was important to include.

These initial provisions and redlined changes are being presented as an information item at the May 2024 Board of Trustees Meeting for consideration and further recommendations. The proposed Bylaw changes are presented at the July 2024 Board of Trustees for final approval.

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approve the final version of the edited Board Policies 213 and 416 as initially presented in redlined form at the July 2024 Board Meeting and provided at the September 2024 Board Meeting materials in final form.

Attachments

[Board Policy 213 – Honorary Degrees](#)

[Board Policy 416 – Search and Hiring](#)

UNIVERSITY OF MAINE SYSTEM

Policy Manual

GOVERNANCE AND LEGAL AFFAIRS

Section 213 Honorary Degrees

Effective: 11/21/67

Last Revised: 06/06/05; 5/18/15

Responsible Office: Clerk of the Board

Policy Statement:

Honorary degrees are subject to approval by the Board of Trustees. Honorary degrees may be conferred by any university of the University of Maine System to persons of notable achievement in an academic field, the arts and letters, the professions, or public service. All nominees will be expected to have some connection with the State of Maine, except in the case of certain internationally and nationally known persons.

Candidates for honorary degrees may be nominated by Trustees, Chancellor, Presidents, or private citizens. Approved nominations from an institution shall be awarded as a degree from that institution. ~~There shall also be a University of Maine System degree. Nominations for the system degree may come from Trustees, Chancellor or Presidents with the Trustees designating the institution for conferring the degree.~~

In developing nominations it is understood that honorary degrees shall not be conferred on faculty or staff within the University of Maine System until their employment with the institution has ended or on Trustees until five years after their retirement from the Board; nor awarded to local or state government officials during their terms of office, nor awarded posthumously or in absentia. Normally, an individual shall not receive more than one honorary degree from the University of Maine System or its Universities in a five year period. Commencement speakers shall not be automatically nominated to receive an honorary degree, nor should nominees be contacted prior to the Board's consideration. A President may forward more nominations than the number of honorary degrees the campus wishes to award. Following endorsement by the Board of Trustees, the president will make final selections based on factors such as the nominee's availability and acceptance.

Action on honorary degree nominations shall normally be taken at the January Board meeting.

Related Documents:

Administrative Procedures for Honorary Degree Policy

UNIVERSITY OF MAINE SYSTEM

Policy Manual

HUMAN RESOURCES AND LABOR RELATIONS

Section 416 Search and Hiring

Effective:

Last Revised:

Responsible Office: Acting Vice Chancellor for Strategic Initiatives

Policy Statement

The University of Maine System is committed to attracting and retaining the best-qualified workforce and providing equal employment opportunities for all applicants and employees. The University of Maine System is further committed to a fair and ethical search and hiring process that is appropriately public and transparent while also maintaining proper confidentiality of applicants, applicant information, deliberations, and search materials.

Definitions

Applicant - An individual who has submitted all application materials as noted on the posting.

Hiring Manager - Typically the supervisor or other individual with departmental authority to make the final hiring selection.

Senior Hiring Authority - Typically the Cabinet or Senior Staff/Management Group leader or designee with budget authority to approve the filling of positions. In the case of executive searches, the Senior Hiring Authority is the Chancellor or Board of Trustees as appropriate.

Policy Body

Vacancies for all positions lasting three days or longer must be posted (advertised) in the UMS Applicant Tracking System and on the [UMS Employment Opportunities](#) website for a minimum of five (5) business days and filled through a competitive search and selection process (see [APL XII. B APL for Search and Hiring \(draft\)](#)) unless a search waiver has been approved in accordance with [APL XII-A. UMS Administrative Practice Letter for Search Waivers \(draft\)](#). In addition, searches of represented positions will be conducted in accordance with the applicable collective bargaining agreement.

Job Descriptions, including minimum/required qualifications for salaried positions must be approved by the Hiring Authority and Human Resources prior to posting positions and may not be altered during the search process.

In order to be considered for a position, all applicants are required to complete an application in the UMS applicant tracking system or, in the case of searches managed by an external search firm, in the process identified in the position posting and/or prospectus. The names and abbreviated curriculum vitae and/or resumes of finalists are made public by the search chair or designee with the applicant's consent prior to campus visits and/or open sessions for appropriate positions, typically faculty, mid-level administrators and above.

The Hiring Manager or designee must confirm that the successful applicant meets the minimum requirements for the position and the appropriate Human Resources Partner or Chief Human Resources Officer provides the final clearance prior to a conditional offer being made.

An applicant who receives a conditional offer of employment will undergo a background check which will consist of a criminal record search, education, and employment verification as appropriate and in accordance with Board policy [415 Employment Background Screening](#) prior to receiving a final offer. Some positions may require additional screening. The University utilizes the services of a third-party vendor to conduct the background check. A background check and any other specified requirements (such as a physical exam or credit check) must be completed before the successful applicant may commence employment at the University.

Related Documents & Resources

[Administrative Procedures for Board Policy 204 – Recruitment & Selection of Presidents](#)

[UMS Board Policy 415 Employment Background Screening](#)

They are finalized and have been posted on the web for a few months here:

- [APL XII-A – University of Maine System Administrative Practice Letter on Search Waivers.](#)
- [APL XII-B – University of Maine System Administrative Practice Letter on Search and Hiring Practices.](#)
 - [Administrative Procedures for APL XII.B – Search and Hiring Manual \(External Site\)](#)

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Approval of Appointment to the Board of Agriculture

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY: n/a

UNIFIED ACCREDITATION CONNECTION: N/A

BACKGROUND:

In 1998 the Maine Legislature formed the Board of Agriculture to advise the Chancellor and the University of Maine President on matters concerning agricultural research and extension. The legislation forming the board stipulates that members of the board serve five-year terms. They may be reappointed or replaced at the end of that five-year period.

In 1998 the Maine Legislature formed the Board of Agriculture to advise the Chancellor and the University of Maine President on matters concerning agricultural research and extension. The legislation forming the board stipulates that members of the board serve five-year terms. They may be reappointed or replaced at the end of that five-year period.

Pursuant to the legislation, the Chancellor makes one appointment to the board. UMaine recommended and the Chancellor approved the reappointment of Representative Donald Marean as the Chancellor designee. Rep. Marean is active in the Standard Bred equine industry in the State and is very knowledgeable about the industry.

The legislation also provides that two research faculty members associated with agricultural research at UMaine serve on the Board, with the approval of the Board of Trustees. The two research faculty recommendations are:

- Dr. Stephanie Burnett, Professor of Horticulture, to serve as a faculty representative to the Board of Agriculture for a five -year term beginning 2023.
- Dr. Philip Fanning, Assistant Professor of Agricultural Entomology, to serve as a faculty representative on the Board of Agriculture for a five -year term beginning 2024.

5. TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees approves the following two research faculty appointments to the UMaine Board of Agriculture: Dr. Stephanie Burnett for a five -year term beginning 2023 and Dr. Philip Fanning for a five-year term beginning 2024.

Attachments

Email

Memo from President Ferrini-Mundy regarding Dr. Burnett

Memo and Resume Dr. Burnett (*confidential*)

Memo from President Ferrini-Mundy regarding Dr. Fanning

Memo and Resume Dr. Fanning (*confidential*)



Kalyn Black <kalyn.black@maine.edu>

3.1

BoA | faculty appointment recommendation packets

Rowena Clukey <rowenac@maine.edu>

Tue, Aug 27, 2024 at 3:06 PM

To: Kalyn Black <kalyn.black@maine.edu>

Dear Kalyn,

Chancellor Malloy has had an opportunity to review the two faculty appointments to the Board of Agriculture and has no concerns with VC/President Ferrini-Mundy moving them forward to the Board of Trustees for their review and approval.

Best,
Rowena

[Quoted text hidden]

--

Rowena Clukey

Executive Director of the Chancellor's Office



267A Estabrooke Hall | 15 Estabrooke Drive
University of Maine System | Orono, ME 04469
207.973.3220 Office | 207.852.3069 Mobile

NAPAHE
Board of Directors member
Vice Chair, Annual Conference Planning Committee, 2025

Office of the President
University of Maine
University of Maine at Machias



5703 Alumni Hall
Orono, Maine 04469-5703
Tel: 207.581.1512
umaine.edu
machias.edu

August 20, 2024

Chancellor Dannel Malloy
University of Maine System
Chancellor's Office
15 Estabrooke Drive
Orono, ME 04469

Dear Chancellor Malloy:

In 1998, the Maine Legislature formed the Board of Agriculture to advise the Chancellor on the research and extension education needs related to Maine agriculture. The legislation stipulates that two research faculty members associated with agricultural research at the University of Maine serve on the Board of Agriculture, with the approval of the Board of Trustees of the University of Maine System. The term for Seat 17, formerly held by Dr. Ellen Mallory, ended on March 17, 2023. I am recommending the appointment of Dr. Stephanie Burnett, Professor of Horticulture, as the University of Maine faculty representative to the Board of Agriculture, with a term of March 18, 2023 to March 17, 2028.

Dr. Burnett is a leader in horticultural propagation and cultivation, finding sustainable and practical solutions for greenhouse growers and cut flower growers. Her research focuses on using soil moisture sensors to automate irrigation, reducing overwatering which can result in production and pathogen problems, as well as a focus on comparing several cultivars of popular cut flowers in terms of flower production, stem length, and vase life. Dr. Burnett has secured over \$300,000 in external funding to support her research and has published and presented extensively. She actively participates in public education events, including K-12 programming, and engages professionally by organizing regional conferences and providing lectures within her areas of expertise. A copy of Dr. Burnett's curriculum vitae is attached for additional information.

This recommendation has the support of Dr. Diane Rowland, Dean of the College of Earth, Life, and Health Sciences, and Dr. John Volin, Executive Vice President for Academic Affairs and Provost. Questions concerning this appointment may be addressed to Executive Vice President for Academic Affairs and Provost John Volin. Thank you for your consideration of this appointment.

Sincerely,

Joan Ferrini-Mundy
President

JFM/da

cc: John C. Volin, Executive Vice President for Academic Affairs and Provost
Diane L. Rowland, Dean, College of Earth, Life, and Health Sciences

Enclosures (3)

Office of the President
University of Maine
University of Maine at Machias



5703 Alumni Hall
Orono, Maine 04469-5703
Tel: 207.581.1512
umaine.edu
machias.edu

August 20, 2024

Chancellor Dannel Malloy
University of Maine System
Chancellor's Office
15 Estabrooke Drive
Orono, ME 04469

Dear Chancellor Malloy:

In 1998, the Maine Legislature formed the Board of Agriculture to advise the Chancellor on the research and extension education needs related to Maine agriculture. The legislation stipulates that two research faculty members associated with agricultural research at the University of Maine serve on the Board of Agriculture, with the approval of the Board of Trustees of the University of Maine System. The term for Seat 18, formerly held by Dr. Robert Causey, ended on January 29, 2024. I am recommending the appointment of Dr. Philip Fanning, Assistant Professor of Agricultural Entomology, as the University of Maine faculty representative to the Board of Agriculture, with a term of January 30, 2024, to January 29, 2029.

Dr. Fanning's research interests focus on investigating the biology, ecology, and associated natural enemies of pest species and evaluating emerging strategies to monitor and control pests in different cropping systems. This research informs the development of integrated pest management strategies and how to implement pest control strategies that complement existing integrated pest management programs. He has been awarded over \$16M in external funds and has presented extensively. Dr. Fanning works closely with the Maine Agricultural and Forest Experiment Station and he was instrumental in the development of the congressionally delegated spending project for irrigation and a fresh pack research line at the Blueberry Hill Farm. A copy of Dr. Fanning's curriculum vitae is attached for additional information.

This recommendation has the support of Dr. Diane Rowland, Dean of the College of Earth, Life, and Health Sciences, and Dr. John Volin, Executive Vice President for Academic Affairs and Provost. Questions concerning this appointment may be addressed to Executive Vice President for Academic Affairs and Provost John Volin. Thank you for your consideration of this appointment.

Sincerely,

Joan Ferrini-Mundy
President

JFM/da

cc: John C. Volin, Executive Vice President for Academic Affairs and Provost
Diane L. Rowland, Dean, College of Earth, Life, and Health Sciences

Enclosures (3)

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Key Performance Indicators (KPIs) Update

INITIATED BY: Emily Cain, Chair

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION: The Strategic Plan is a working document that is constructed and implemented by internal and external stakeholders to the System to bring about unified change and advance the tenets of UMS Unified Accreditation.

PURPOSE: To present the system-level Key Performance Indicators (KPIs) derived from the University of Maine System (UMS) Strategic Plan to the Board of Trustees. This will be the first full board discussion of these KPIs, which have already been reviewed by the strategic planning committee.

BACKGROUND: As part of our ongoing strategic planning efforts, the University of Maine System has identified a set of KPIs that will serve as benchmarks to measure progress and performance across the system. These KPIs are aligned with our strategic goals and will help ensure accountability, transparency, and focused efforts on priority areas. The strategic planning committee has vetted these KPIs, and we are now seeking input and feedback from the full Board of Trustees.

It is important to note that these KPIs were selected to be the system-wide measurements brought before the board on a regular basis. Other deliverables or metrics have been assigned to specific board committees and are being incorporated into the committee work plans.

Vice Chancellors St. John and Dorsey will provide an overview of the proposed system-level KPIs, explaining how they align with our strategic goals and the rationale behind their selection. Feedback from the trustees on the KPIs' relevance and alignment with strategic priorities, as well as the format in which trustees would prefer to receive ongoing KPI updates and performance reports, will be used to make final revisions and implement a robust system for tracking and reporting that meets the needs of the trustees and supports informed decision-making.

Attachment

[UMS Strategic Plan KPI Slides](#)

[UMS Strategic Plan KPIs and Metrics](#)



UMS Strategic Plan KPIs and Metrics

September 2024



KPIs at a Glance

- 1. Enrollment**
- 2. Retention**
- 3. Economic and Workforce Development**
- 4. Research**
- 5. Transfer**
- 6. Fiscal and Infrastructural Sustainability**
- 7. Institutional Equity and Environment**



1. Enrollment

4.1

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
Increase undergraduate and graduate enrollment	Fall to Fall Enrollment Counts	UMS Total 24,523 Undergraduate 19,520 Law+Grad 5,003 *Excludes Early College	UMS total range: 24,840 - 26,082 (1.2% - 5% increase over 5 years broken down as 80% of growth in undergraduate enrollment and 20% in graduate enrollment).	Each university has developed their own targets and the system wide target is a compilation of those targets. The total increase is predicated on headcount and credit-hour targets identified by four universities in their October 1, 2023 goals, and analysis of enrollment trends by VCASA and UMS Institutional Research staff.

3



2. Retention

4.1

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
Increase first to second year retention	Percentage of students retained Fall to Fall	72.0%	74% in 2026, with a goal of 80% to be achieved by fall 2028. This target may be adjusted upward pending four of our universities' participation in the National Institute for Student Success multi-year Playbook & Diagnostic analysis	The Target Value is grounded in historic UMS retention (return rates) and recently released IPEDS data and reflects ongoing initiatives to increase retention rates system wide.



3. Economic and Workforce Development

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
<p>Applying the Annual Academic Program Report (AAPR) in alignment with State of Maine in-demand jobs data, UMS will deliver relevant academic offerings</p>	<p>Job placement of new UMS undergraduate graduates within 12 months of degree earned</p>	<p>The baseline level to measure progress is not yet identified as this has not been previously measured at the system level. UMS job placement data collection process for undergraduates "First Destination" will be the tool used moving forward. The tool has been used since 2021-22 and will be combined with other data points to develop a baseline and target value.</p>	<p>The target value for this metric is not yet identified. National research indicates less than 53% of new graduates are employed in a degree relevant field within 12 months of degree completion. Data collection process will set UMS baseline with incremental gains assumptions to follow.</p>	<p>Using in-demand jobs data by the Maine Department of Labor Center for Workforce Research and Information that reflects state and labor market information, combined with AAPR information and First Destination data, a baseline and target value for this metric will be proposed to the Board in Spring 2025.</p>



4. Research

4.1

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
<p>UMS will further establish and invest in system-wide infrastructure to grow the research and development enterprise at our universities pursuant to a plan to be developed in 2023-24</p>	<p>Year over year headcount of students engaged in Research Learning Experiences (RLE) and Pathway to Careers opportunities</p>	<p>54 course sections, 501 students in Academic Year 2022-2023</p>	<p>The KPI Target Value for RLEs will be based on a collaborative assessment of growth trends across all UMS universities (2021-2024) and offered to the Board of Trustees in November 2024.</p>	<p>The pilot program, funded initially by the Harold Alfond Foundation, requires UMS to rigorously assess the impact of early-stage engagement in research for first- and second-year students on student success and retention. We will review the data collected through analysis of the Research Learning Experiences (RLEs) pilot project from its introduction in academic year 2021- 2022 through the fall semester of 2024 (based on October 15 census data).</p>

6



5. Transfer

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
<p>UMS will increase transfers and eliminate structural barriers to transfer and course registration.</p>	<p>Fall to Fall growth of MCCS and other transfer students into UMS universities</p>	<p>2,141 transfers into UMS across all universities in Fall 2023, 604 at UMPI and 1,537 non-UMPI</p>	<p>An <i>estimated</i> 10-30% growth in transfers to our universities *UMPI Your Pace experienced an exceptional transfer growth rate in 2024. It is unlikely that this rate will continue. This model demonstrates prospective growth if the current UMPI growth rate remains constant.</p>	<p>Several programs and innovations are expected to foster growth in transfer numbers: UMS-MCSS Transfer ME agreement & UM Black Bear Advantage agreement; additional/updated transfer pathways and articulation agreements System-wide; Implementation of Parchment/Raptor technologies for transfer evaluation; Unified Catalog improvements through RePaving Mainstreet</p>



6. Fiscal and Infrastructural Sustainability

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
Assess the fiscal health of each UMS university	The system consolidates four key ratios into one comprehensive index that reflects the financial well-being of the institution. The Composite Financial Index will be used to assess institutional financial health.	Varies by university, reported annually. Current UMS baseline for FY22 is 2.7	The System will achieve a Composite Financial Index of 3.0 and above annually.	Scores below a 3.0, including negative scores, are an indication of financial stress. Higher scores indicate stronger financial health and the ability to weather financial difficulties. A CFI of 3.0 is the standard threshold for institutional financial health and will be the minimum UMS target.



7. Institutional Equity and Environment

Action	Metric	Current Value/ Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
Growth in diversification of faculty, staff, and student population	Self reporting of workplace satisfaction and workplace belonging by faculty, staff and students via the Campus Climate Survey (DEI). The UMS Campus Climate Survey was conducted across the UMS in early 2022 with universities individual results being returned in fall 2022. The survey should be repeated every three years with a UMS plan for participating again in the survey in 2025.	Campus Climate Survey 2022 results indicated a participation rate of 18.3% with overall positive ratings from staff of 72% and faculty 62% positive. National CUPA data offers a 62% reporting general satisfaction.	2025 Campus Climate Survey results in both a 7% participation increase and a 3% increase in positive ratings in both staff and faculty categories	Using results from the planned 2025 survey and national CUPA data, targets for 2028-29 will be developed.

UMS Strategic Plan - KPIs and Metrics

UMS	Action	Metric	Current Value/Baseline (Census Fall 2023)	Target Value (Progress Reviewed Annually by BOT)	Target Rationale
1. Enrollment	Increase undergraduate and graduate enrollment	Fall to Fall Enrollment Counts	UMS Total 24,523 Undergraduate 19,520 Law+Grad 5,003 *Excludes Early College	UMS total range: 24,840 - 26,082 (1.2% - 5% increase over 5 years broken down as 80% of growth in undergraduate enrollment and 20% in graduate enrollment).	Each university has developed their own targets and the system wide target is a compilation of those targets. The total increase is predicated on headcount and credit-hour targets identified by four universities in their October 1, 2023 goals, and analysis of enrollment trends by VCASA and UMS Institutional Research staff.
2. Retention	Increase first to second year retention	Percentage of students retained Fall to Fall	72.0%	74% in 2026, with a goal of 80% to be achieved by fall 2028. This target may be adjusted upward pending four of our universities' participation in the National Institute for Student Success multi-year Playbook & Diagnostic analysis	The Target Value is grounded in historic UMS retention (return rates) and recently released IPEDS data and reflects ongoing initiatives to increase retention rates system wide.
3. Economic and Workforce Development	Applying the Annual Academic Program Report (AAPR) in alignment with State of Maine in-demand jobs data, UMS will deliver relevant academic offerings	Job placement of new UMS undergraduate graduates within 12 months of degree earned	The baseline level to measure progress is not yet identified as this has not been previously measured at the system level. UMS job placement data collection process for undergraduates "First Destination" will be the tool used moving forward. The tool has been used since 2021-22 and will be combined with other data points to develop a baseline and target value.	The target value for this metric is not yet identified. National research indicates less than 53% of new graduates are employed in a degree relevant field within 12 months of degree completion. Data collection process will set UMS baseline with incremental gains assumptions to follow.	Using in-demand jobs data by the Maine Department of Labor Center for Workforce Research and Information that reflects state and labor market information, combined with AAPR information and First Destination data, a baseline and target value for this metric will be proposed to the Board in Spring 2025.
4. Research	UMS will further establish and invest in system-wide infrastructure to grow the research and development enterprise at our universities pursuant to a plan to be developed in 2023-24	Year over year headcount of students engaged in Research Learning Experiences (RLE) and Pathway to Careers opportunities	54 course sections, 501 students in Academic Year 2022-2023	The KPI Target Value for RLEs will be based on a collaborative assessment of growth trends across all UMS universities (2021-2024) and offered to the Board of Trustees in November 2024.	The pilot program, funded initially by the Harold Alfond Foundation, requires UMS to rigorously assess the impact of early-stage engagement in research for first- and second-year students on student success and retention. We will review the data collected through analysis of the Research Learning Experiences (RLEs) pilot project from its introduction in academic year 2021- 2022 through the fall semester of 2024 (based on October 15 census data).
5. Transfer	UMS will increase transfers and eliminate structural barriers to transfer and course registration.	Fall to Fall growth of MCCS and other transfer students into UMS universities	2,141 transfers into UMS across all universities in Fall 2023, 604 at UMPI and 1,537 non-UMPI	An <i>estimated</i> 10-30% growth in transfers to our universities *UMPI Your Pace experienced an exceptional transfer growth rate in 2024. It is unlikely that this rate will continue. This model demonstrates prospective growth if the current UMPI growth rate remains constant.	Several programs and innovations are expected to foster growth in transfer numbers: UMS-MCSS Transfer ME agreement & UM Black Bear Advantage agreement; additional/updated transfer pathways and articulation agreements System-wide; Implementation of Parchment/Raptor technologies for transfer evaluation; Unified Catalog improvements through RePaving Mainstreet
6. Fiscal and Infrastructural Sustainability	Assess the fiscal health of each UMS university	The system consolidates four key ratios into one comprehensive index that reflects the financial well-being of the institution. The Composite Financial Index will be used to assess institutional financial health.	Varies by university, reported annually. Current UMS baseline for FY22 is 2.7	The System will achieve a Composite Financial Index of 3.0 and above annually.	Scores below a 3.0, including negative scores, are an indication of financial stress. Higher scores indicate stronger financial health and the ability to weather financial difficulties. A CFI of 3.0 is the standard threshold for institutional financial health and will be the minimum UMS target.
7. Institutional Equity and Environment	Growth in diversification of faculty, staff, and student population	Self reporting of workplace satisfaction and workplace belonging by faculty, staff and students via the Campus Climate Survey (DEI). The UMS Campus Climate Survey was conducted across the UMS in early 2022 with universities individual results being returned in fall 2022. The survey should be repeated every three years with a UMS plan for participating again in the survey in 2025.	Campus Climate Survey 2022 results indicated a participation rate of 18.3% with overall positive ratings from staff of 72% and faculty 62% positive. National CUPA data offers a 62% reporting general satisfaction.	2025 Campus Climate Survey results in both a 7% participation increase and a 3% increase in positive ratings in both staff and faculty categories	Using results from the planned 2025 survey and national CUPA data, targets for 2028-29 will be developed.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Update on Title IX

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

N/A

UNIFIED ACCREDITATION CONNECTION:

N/A

PURPOSE: To provide an update on the current status of federal regulatory changes to Title IX and to propose decoupling the Board policy from system procedures that should be offered as Administrative Practice Letters (APLs).

BACKGROUND: As a continuation of prior Board discussions regarding changes in federal and state actions related to Title IX, a law that ensures equal educational opportunities in federally funded programs, Acting Vice Chancellor for Strategic Initiatives Carolyn Dorsey will provide an update on recent federal developments in Title IX policy. She will also discuss the potential impact on the University of Maine System and offer recommendations for possible revisions to Board Policy 402 for the Board's consideration.

Attachment
[Policy 402](#)

HUMAN RESOURCES AND LABOR RELATIONS

Section 402 Sex Discrimination, Sexual Harassment, Sexual Assault, Relationship Violence, Stalking and Retaliation and Title IX Sexual Harassment

Effective: 3/26/90

Last Revised: 11/16/98; 11/17/14; 5/18/15, 8/14/2020, 4/21/2022, 6/30/2023

Responsible Office: Human Resources

Table of Contents

- I. Policy Statement
- II. Overview
- III. What to do if you are Sexually Assaulted or are the Victim of Domestic Violence, Dating Violence or Stalking
- IV. Terms Used in this Policy
- V. Consent
- VI. How to File a Complaint and How the University Will Respond
- VII. Confidentiality
- VIII. Support Services 2652
- IX. Options Regarding Law Enforcement
- X. Enforcement of Protection-from-Harassment or Protection-from-Abuse Orders
- XI. Student Amnesty
- XII. Free Speech and Academic Freedom
- XIII. Off-Campus Conduct and Off-Duty Conduct
- XIV. Educational Programs
- XV. External Complaints
- XVI. Title IX Sexual Harassment
- XVII. Review and Revision of this Policy

****Please note:** The reader will find sections within this document that are specific to each campus; each campus will have a version of this policy that contains more detailed information specific to that campus. These sections will be identified in the text with instructions to contact the [Title IX Coordinator on the campus of interest](#) for this information.

I. Policy Statement

The University of Maine System (“UMS” or “the University”) is committed to providing a safe environment which promotes the dignity and worth of each member of the community. In complying with the letter and spirit of applicable laws and in pursuing its own goals of diversity, the University does not discriminate on the basis of sex in employment, education, and all other programs and activities. UMS, inclusive of all its campuses and faculties, does not discriminate on the basis of race, color, religion, sex, sexual orientation, transgender status, gender, gender identity or expression, ethnicity, national origin, citizenship status, familial status, ancestry, age, disability physical or mental, genetic information, veteran or military status, or any other category protected by applicable law, in the administration of its educational policies, admission policies, scholarship and loan programs, employment, or other school-administered programs. For this reason, the University will not tolerate sex discrimination, sexual harassment, sexual assault, sexual violence,

intimate partner violence, dating violence, domestic violence, stalking, or retaliation in any form. All conduct of this nature is considered a violation of this policy. This policy addresses discrimination on the basis of sex. UMS does not discriminate on the basis of sex in its education programs or activities, and UMS is required by Title IX of the Education Amendments of 1972, and the final Title IX regulations issued by the U.S. Department of Education's Office for Civil Rights in May 2020, not to discriminate in such a manner. The requirement not to discriminate on the basis of sex in the education program or activity extends to admission and employment. Inquiries about the application of Title IX and its implementing regulations may be referred to the Title IX Coordinator, to the Assistant Secretary for Civil Rights, or both. This policy is compliant with Maine State Law, An Act Concerning Sexual Violence, Intimate Partner Violence and Stalking at Institutions of Higher Education. <http://www.mainelegislature.org/legis/statutes/20-A/title20-Ach445sec0.html>

The University will respond to complaints and reports of violations of this policy in a prompt, fair, impartial and equitable manner. Regardless of whether a complaint is filed, the University will respond promptly and reasonably when it has notice of potential misconduct that is a violation of this policy. The University will take steps to end and prevent recurrence of violations of this policy and to correct their discriminatory effects on the complainant and others when a determination of responsibility has been made against a Respondent. In responding to all complaints and reports, the University will act to ensure the safety of students, guests, and employees while complying with state and federal laws and provisions of applicable collective bargaining agreements and employee handbooks.

II. Overview

This policy applies to all members of the University community, including but not limited to all students (graduate and undergraduate), all employees (including faculty and staff), adjunct faculty, contractors, vendors and/or other third parties. This policy applies to all individuals regardless of gender, sexual orientation, transgender status, gender identity, or gender expression. It applies to all University programs and activities, both on campus and off campus, including, but not limited to, instruction, grading, housing, athletics, electronic communication and employment.

This policy does not substitute for or supersede related civil and criminal law. It is the policy of the University to strongly encourage individuals to report all incidents and violations to law enforcement officials or agencies with appropriate jurisdiction and to avail themselves of all the services and rights to which they are entitled.

Any individual may file a complaint under this policy at any time, regardless of where the alleged incident occurred. However, the University strongly encourages individuals to file complaints promptly in order to preserve evidence for a potential legal or disciplinary proceeding. A delay in filing a complaint may compromise the subsequent investigation. Reporting in a timely way also allows the University to provide all persons involved with information regarding their rights, options, and resources available under this policy and federal or state laws.

All members of the University community are encouraged to cooperate fully in investigations and other proceedings necessary for the effective execution of this policy, though no individual will be retaliated against for exercising their rights under this policy including their right not to participate in an investigation and/or adjudication process.

This policy covers the following information:

- What to do if you are the victim of sexual harassment, sexual assault, sexual violence, intimate partner violence, dating violence, domestic violence, stalking, or retaliation;
- Emergency Medical Assistance;
- Common terms used in this policy;
- Affirmative Consent;
- How and where to file a complaint;
- How the University will respond to a complaint;
- Confidentiality;
- Supportive measures that are available;
- Options regarding reporting to Law Enforcement;
- Protection orders;
- Student Amnesty;
- Free Speech and Academic Freedom;
- Off-campus conduct;
- Educational programs;
- External complaints;
- Review and revision of this policy.

III. What to do if you are Sexually Assaulted or Experience Sexual Violence, Intimate Partner Violence, Domestic Violence, Dating Violence or Stalking

- Get to a safe location.
- Consider asking a trusted friend or relative to be with you for support.
- You may choose to file a report with the local law enforcement agency. Your report puts in place support systems that you may choose to use. The University will provide someone to assist you in filing a report with Law Enforcement if you wish. You have the right to decline notification to a law enforcement agency, including campus, local, tribal, or state police and still receive assistance from the University.
- If you are on campus and unsure where to go or can think of nowhere that is safe at this time, please consider calling your campus Public Safety or Security Department or dial 911 in an emergency.

On Campus Resources (Police/Security/Safety Offices)

Campus Safety – University of Maine at Fort Kent 207-551-9374

Campus Safety -University of Maine at Presque Isle 207-768-9580
 Campus Police – University of Maine 207-581-4040
 Campus Safety -University of Maine at Machias 207-255-1320 or 207-263-4205(nights/weekends)
 Campus Security – University of Maine at Augusta 207-621-3400 – Bangor Campus 207-262-7777
 Campus Police – University of Maine Farmington 207-778-7400
 Campus Police – University of Southern Maine 207-780-5211

If you are off campus and are unsure of where to go that is safe, please consider calling local or state law enforcement. If it is an emergency dial 911. For a complete list of non-emergency numbers for police departments in the state please visit: <http://mainechiefs.com/police-departments>

<p>Fort Kent Police Dept.</p> <p>416 W Main St. STE 102</p> <p>Fort Kent, Maine 04743</p> <p>207-834-6550</p>	<p>Presque Isle Police Dept.</p> <p>43 North St. UNIT 2</p> <p>Presque Isle, Maine 04769</p> <p>207-764-4476</p>
<p>Bangor Police Dept.</p> <p>240 Main St.</p> <p>Bangor, Maine 04401</p> <p>207-947-7384</p>	<p>Orono Police Dept.</p> <p>63 Main St.</p> <p>Orono, Maine 04473</p> <p>207-866-4000</p>
<p>Old Town Police Dept.</p> <p>150 Brunswick St.</p> <p>Old Town, Maine 04468</p> <p>207-827-3400</p>	<p>Augusta Police Dept.</p> <p>33 Union St.</p> <p>Augusta, Maine 04330</p> <p>207-626-2370</p>
<p>Farmington Police Dept.</p> <p>116 Franklin Ave.</p>	<p>Machias Police Dept.</p> <p>17 Stackpole Rd.</p>

Farmington, Maine 04938

207-778-6311

Machias, Maine 04654

207-255-8558

Gorham Police Dept.

270 Main St.

Gorham, Maine 04038

207-839-5581

Portland Police Dept.

389 Congress St.

Portland, Maine 04101

207-874-8300

Gorham Police Dept.

270 Main St.

Gorham, Maine 04038

207-839-5581

Portland Police Dept.

389 Congress St.

Portland, Maine 04101

207-874-8300

Lewiston Police Dept.

171 Park St.

Lewiston, Maine 04240

207-784-6421

Maine State Police

Augusta Communications Center

207-624-7076 or 1-800-452-4664

(800 number in state only)

Maine State Police

Bangor Communications Center

207-973-3700 or 1-800-432-7381

(800 number in state only)

Maine State Police

Houlton Communications Center

207-532-5400 or 1-800-924-2261

(800 number in state only)

- Seek medical care as soon as possible. You may need basic medical treatment for injuries, and you may have injuries of which you are unaware. You also may be at risk of acquiring a sexually transmitted infection, and women may be at risk for pregnancy. Trained staff at your campus Health Center or the local emergency room can speak with you about all the medical options available and provide information about a sexual assault forensic

examination. Maine Victims' Compensation Program may be able to assist you with financial support for medical and medically-related expenses incurred as a direct result of a crime. For more information on the program please click [here](#).

- Sexual Assault Resource and Advocacy Centers and Domestic Violence Resource Centers across the state can assist you in identifying a local hospital and provide accompaniment during the medical forensic examination (see pg. 18 – 23 for a list of confidential resource centers). You may also contact the hospital directly and let them know you are coming in for a sexual assault or interpersonal violence forensic examination. If you need assistance for travel reimbursement please contact your Deputy Title IX Coordinator. Please note that you do not have to provide details of the incident to get reimbursed for travel to and from the hospital.

STATEWIDE HOSPITAL INFORMATION – FOR SEXUAL ASSAULT OR INTERPERSONAL VIOLENCE EXAM

Northern Maine Medical Center – 194 East Main Street, Fort Kent, Maine 04743 207-834-3155

Northern Light A.R. Gould Hospital – 140 Academy Street, Presque Isle, Maine 04769 207-768-4014

Northern Light Eastern Maine Medical Center – 489 State Street, Bangor, Maine 04402 207-973-8000

St. Joseph Hospital – 360 Broadway, Bangor, Maine 04402 207-970-3000

Down East Community Hospital – 11 Hospital Drive, Machias, Maine 04654 207-255-0215

Franklin Memorial Hospital – 111 Franklin Health Commons, Farmington, Maine 04938 207-778-6031

MaineGeneral Medical Center – 35 Medical Center Parkway, Augusta, Maine 04330 207-248-5000

Northern Light Mercy Hospital – 175 Fore River Parkway, Portland, Maine 04102 207-879-3000

- Preserve all evidence of the incident. This includes any physical and/or electronic evidence, such as, clothing, sheets, weapons, condom, videos, pictures/images, text/voice messages, etc. If you are no longer where the incident occurred or have changed, put any clothing or material items in a paper bag. Back up any videos, pictures/images, text/voice messages, etc. to a preserve them in case they are deleted.
- You may choose to file a report with the local law enforcement agency. Your report puts in place support systems that you may choose to use. The University will provide someone to assist you in filing a report with Law Enforcement if you wish.

- You can choose to have a forensic examination by a licensed health care practitioner, even if you are unsure if you want to file a report with the police. If you decide to have such an exam, it is important that you:
 - Do not bathe, wash your hands, brush your teeth, drink, eat, or even use the restroom—all these things can destroy evidence that may be helpful in a criminal investigation; however, if you have done any of these things since the incident, evidence can still be collected;
 - Do not clean or remove anything from the location where the incident occurred;
 - Write down as much as you can recall about the incident and the people involved.
- Seek some form of emotional support. While taking care of your physical needs may be the first step in taking care of yourself, it is important not to neglect the emotions you may be experiencing as a result of the assault, violence or stalking. It is your choice to determine when and in what manner you recover from your trauma. Give yourself the time you need and know that it is never too late to get help.
- KNOW THAT WHAT HAPPENED WAS NOT YOUR FAULT AND YOU ARE NOT ALONE.
- University counseling services have employees who are specially trained to assist students with recovery and healing. CIGNA EAP services are available for employees at 1.877.622.4327. In addition to University resources local sexual assault support centers and domestic violence resource centers are available to support and assist you.
- There are a variety of resources on your campus and in your community that are available to help you.

Campus Private Resources – [University of Maine System Deputy/Title IX Coordinators](#) – [University of Maine System](#)

Campus Confidential Counseling Services – [Campus Counseling](#) – [University of Maine System](#)

Campus Confidential Resource Advisors – [Campus Counseling](#) – [University of Maine System](#)

IV. Terms Used in this Policy

Sexual Harassment includes two distinct, but overlapping definitions applicable to this policy. The Title IX Regulations define sexual harassment as set forth in Section XVI of this policy. Consistent with Title VII of the Civil Rights Act of 1964 and the recognition that Sexual Harassment may also occur in a wider variety of contexts, UMS defines Sexual Harassment as:

A. Sexual Harassment

Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, including sexual assault and sexual violence. Sexual harassment, including sexual assault, can involve persons of the same or opposite sex. Consistent with the law, this policy prohibits two types of sexual harassment:

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

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

- i. Is subjectively and objectively offensive; and
- ii. Is so severe or pervasive as to alter the conditions of a person's employment, education or living situation that it creates an abusive working, educational or living environment.

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

Determining whether conduct creates a hostile environment depends not only on whether the conduct was unwelcome to the person who feels harassed, but also whether a reasonable person in a similar situation would have perceived the conduct as objectively offensive. The following factors will also be considered:

- a. the frequency, nature and severity of the conduct;
- b. whether the conduct was physically threatening;
- c. the effect of the conduct on the Complainant's mental or emotional state;
- d. whether the conduct was directed at more than one person;
- e. whether the conduct arose in the context of other discriminatory conduct;
- f. whether the conduct altered the conditions of the Complainant's educational or work performance and/or UMS programs or activities;
- g. whether the conduct implicates academic freedom or protected speech; and,
- h. other relevant factors that may arise from consideration of the reported facts and circumstances.

B. Sexual Assault

Sexual assault means an offense that meets the definition of rape, fondling, incest, or statutory rape.

Rape is the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

Fondling is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of

giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

Incest is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

Statutory rape is sexual intercourse with a person who is under the statutory age of consent. All forms of [sexual assault](#) and sexual contact prohibited by Maine law are also included

“Sexual violence” includes:

(A) Any crimes in Maine listed at

<http://www.mainelegislature.org/legis/statutes/17-A/title17-Ach11sec0.html>

(B) Unauthorized dissemination of certain private images pursuant to 17-A M.R.S.A.

- 511-A; <http://www.mainelegislature.org/legis/statutes/17-A/title17-Asec511-A.html>

(C) Aggravated sex trafficking or sex trafficking pursuant to 17-A M.R.S.A. §§852 or 853, respectively; <http://www.mainelegislature.org/legis/statutes/17-A/title17-Asec852.html>

or

(D) Sexual harassment as defined in 14 M.R.S.A.

§6000(2-A). <http://www.mainelegislature.org/legis/statutes/14/title14sec6000.html>

and may constitute Sexual Assault and/or Sexual Harassment.

C. Dating Violence

Dating violence is violence committed against a person by an individual who is or has been in a social relationship of a romantic or intimate nature with that person. Whether a dating relationship exists is determined based on the reporting party’s statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence. All forms of dating violence prohibited by Maine law are also included (see [Assault](#) <http://www.mainelegislature.org/legis/statutes/17-A/title17-Asec207.html>)

D. Domestic Violence

A felony or misdemeanor crime of violence committed—

(A) By a current or former spouse or intimate partner of the victim;

(B) By a person with whom the victim shares a child in common;

(C) By a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner;

(D) By a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred, or

(E) By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

All forms of domestic violence prohibited by Maine law are also included (see [Domestic Violence Assault](#), [Domestic Violence Criminal Threatening](#), [Domestic Violence Terrorizing](#), [Domestic Violence Stalking](#), and [Domestic Violence Reckless Conduct](#)).

“Intimate Partner violence” means any of the acts that constitute abuse under 19-A M.R.S.A. §4002(1)(A to H) that are committed by an individual who is or has been in a social relationship with another individual of an intimate nature regardless of whether the individuals were or are sexual partners. <http://www.mainelegislature.org/legis/statutes/19-A/title19-Asec4002-1.html>

[and may constitute Dating Violence or Domestic Violence.](#)

E. Stalking

Stalking is engaging in a course of conduct directed at a specific person that would cause a reasonable person to—

(A) Fear for the person's safety or the safety of others; or

(B) Suffer substantial emotional distress.

(ii) For the purposes of this definition—

(A) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.

(B) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.

(C) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

All forms of stalking prohibited by Maine law are also included ([Stalking](#) and [Domestic Violence Stalking](#)).

F. Retaliation

Retaliation is action taken by the University or any individual or group against any person for opposing any practices forbidden under this policy or for filing a complaint, testifying, assisting, or participating in an investigation or proceeding under this policy. This includes action taken against a bystander who intervened to stop or attempt to stop a violation of this policy. Retaliation includes intimidating, threatening, coercing, or in any way discriminating against an individual because of the individual's complaint, participation or non-participation. Action is generally deemed retaliatory if it would deter a reasonable person in the same circumstances from opposing practices prohibited by this policy.

G. Sexual Misconduct

Sexual misconduct includes, but is not limited to, prostituting another person, nonconsensual image capturing of sexual activity, presentation or unauthorized viewing of a nonconsensual videotaping of sexual activity, letting others watch you have sex without the knowledge or consent of your sexual partner, possession of child pornography, peeping tommy, and/or knowingly transmitting an

STD or HIV to another person. Sexual misconduct may constitute sexual harassment. All forms of sexual misconduct prohibited by Maine law are also included (see [Violation of Privacy](#), [Possession of Sexually Explicit Material](#), and [Sex Trafficking](#)).

V. Affirmative Consent

Affirmative consent is a voluntary agreement to engage in sexual contact. Affirmative consent must be informed, freely and actively given, and consist of a mutually agreeable and understandable exchange of words or actions. Affirmative consent is clear, knowing and voluntary. Affirmative consent is active, not passive, and can be revoked at any time. Silence, in and of itself, cannot be interpreted as affirmative consent. Affirmative consent can be given by words or actions, as long as those words or actions create mutually understandable clear permission regarding willingness to engage in (and conditions of) sexual activity. Past consent does not imply future consent. Affirmative consent to engage in one form of sexual activity does not imply consent to engage in any other sexual activity. Affirmative consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with any other person.

It is not affirmative consent when the exchange involves unwanted physical force, coercion, intimidation, and/or threats. If an individual is mentally or physically incapacitated or impaired such that one cannot understand the fact, nature or extent of the sexual situation, and the incapacitation or impairment is known or should be known to the other person, there is no consent. This includes conditions resulting from alcohol or drug consumption, or being asleep or unconscious. Affirmative consent is not valid if the person is too young to consent to sexual activity under [Maine law](#).

VI. How to File a Complaint and How the University Will Respond

The University strongly encourages anyone who has experienced sex discrimination, sexual harassment, retaliation, sexual violence, sexual assault, domestic violence, dating violence, intimate partner violence or stalking to report the incident to the appropriate contact at the University (see VI (A)). A report can be made under this policy at any time, regardless of when or where the incident happened. Reporting the incident to the University does not mean that you have to file a formal complaint or report the incident to the police. Reporting the incident, however, will allow the University to provide individuals involved with information about available support and services, both on campus and off campus.

Any individual may make a third-party complaint about a violation of this policy. Individuals are encouraged to contact the appropriate office identified below as soon as possible. After receiving a complaint, the University will determine what further action, including contacting the alleged victim, is warranted. If a concern is reported by someone other than the alleged victim and the

alleged victim is unwilling or unable to cooperate with an investigation, the University's ability to respond may be significantly limited. The identity of a reporting/complaining party and the responding party and all information related to an incident covered under this policy are confidential and may not be disclosed by the University except as necessary to carry out a disciplinary process or as otherwise permitted under state or federal law.

An investigation, including any hearing and resulting disciplinary proceedings, must be conducted by an individual who received not less than annual training on issues relating to sexual violence, intimate partner violence or stalking, investigatory procedures and hearing procedures to protect the safety and rights of students and employees, promote accountability objectivity, impartiality, and a trauma-informed response.

The reporting party and the responding party will be provided with a copy of the policy and procedures regarding the submission and consideration of evidence that may be used during a disciplinary hearing. Both parties will be simultaneously informed in writing of the results of a disciplinary proceeding not later than 7 business days after a final determination of a complaint, not including time for appeal, unless good cause for additional time is shown. Both parties will be informed of any appeal process.

The UMS Title IX Coordinator is responsible for the University's overall compliance and response to incidents of sexual assault, sexual harassment and sex discrimination in general.

A. How and Where to File a Complaint

1. Complaints or Reports of Employees' Conduct

All complaints or reports relating to violations of this policy by a University employee should be made to the UMS Title IX Coordinator, Liz Lavoie at 207.581.5866 or titleix@maine.edu or to the Equal Opportunity Office, Amie Parker at 207.581.1226 or equal.opportunity@maine.edu

Upon receiving a complaint or report of a violation of this policy by a University employee, the UMS Title IX Coordinator will assess the complaint or report and will follow the procedures described in the University of Maine System Equal Opportunity Complaint Procedure or the Title IX Sexual Harassment Procedure. The UMS Title IX Coordinator will provide the complainant

with information about options for filing a formal complaint and explain the formal investigation and grievance process, supportive measures, and any options of informal resolution. The UMS Title IX Coordinator will provide the complainant with a written explanation of the complainant's rights, options, and supportive measures. Supportive measures are available to complainants even if they do not file a formal complaint. When a formal complaint is decided, the University will use a preponderance of the evidence standard – whether it is more likely than not that the alleged violation occurred. For more information about the Equal Opportunity Complaint Procedure, follow this link: <https://www.maine.edu/human-resources/university-equal-opportunity-officers/equal-opportunity-complaint-procedure/> For more information about the Title IX Sexual Harassment Process, follow the link in Article XVI of this Policy.

2. Complaints or Reports of Students' Conduct

All complaints or reports relating to violations of this policy by a University student regardless of where the offense occurred should be made to the campus Deputy Title IX Coordinator who will notify the UMS Title IX Coordinator of the complaint or report.

Upon receiving a complaint or report of a violation of this policy by a University student, the Deputy Title IX Coordinator/Title IX Coordinator will assess the complaint or report and follow the procedures described in the University of Maine System Student Conduct Code or the Title IX Sexual Harassment Process. The Deputy Title IX Coordinator/Title IX Coordinator will provide the complainant with information about options for filing a formal complaint and explain the formal investigation and grievance process, offer supportive measures, and explain any options of informal resolution. The Deputy Title IX Coordinator/Title IX Coordinator will provide the complainant with a written explanation of the complainant's rights and options. When a formal complaint is decided, the University will use a preponderance of the evidence standard – whether it is more likely than not that the alleged violation occurred. For more information about the procedure for adjudicating complaints against students, see the UMS Student Conduct Code at: <https://www.maine.edu/board-of-trustees/policy-manual/section-501/> or the Title IX Sexual Harassment Process at <https://www.maine.edu/title-ix/procedures/>

3. Complaints or Reports of Third Parties' Conduct (Campus Guests, Vendors, Contractors, etc.)

All concerns regarding violations of this policy by third parties such as vendors, contractors and campus guests should be made to the UMS Title IX Coordinator at 207.581.5866 or titleix@maine.edu or to the Equal Opportunity Office at 207.581.1226 or equal.opportunity@maine.edu

Upon receipt of a report or complaint, the University will respond appropriately depending on the nature of its relationship to the third party.

4. Confidential Resource Advisors (CRA's)

CRA's are also available to the University Community. CRA's are confidential and can assist a person in filing a formal complaint. A CRA can provide all of the same resources that a Title IX Coordinator or Deputy Title IX Coordinator can assist with. Please see pg.26 for a list of supportive measures. A disclosure under this policy to a CRA or the performance of a service by a CRA shall not be considered actual or constructive notice of such an alleged incident to the University. [For a list of University CRA's please click here.](#)

B. How the University Will Respond to a Complaint

The University's investigation and decision-making process is separate from and does not serve as a substitute for any criminal or civil investigation and adjudication regarding the same incident. The University will provide a prompt, fair, impartial, and equitable investigation and resolution of the complaint. The investigation and decision-making shall be conducted by officials who receive annual training on discrimination, harassment, retaliation, intimate partner violence, domestic violence, dating violence, sexual violence, sexual assault, and stalking, and how to conduct an investigation and hearing process that protects the safety and rights of all individuals and promotes accountability, objectivity, impartiality and a trauma-informed response.

Both the complainant and the respondent have the right to have another present during any investigative or disciplinary meeting or proceeding, including the opportunity to be accompanied to any related meeting or proceeding by an advisor of their choice, who may be, but is not required to be, an attorney. The University will not limit the choice or presence of an advisor for either the complainant or respondent in any meeting or grievance proceeding; however, the University may establish restrictions regarding the extent to which the advisor may participate in the meetings or proceedings, as long as the restrictions apply equally to both parties.

In investigating allegations covered by this Policy, the investigator and decision-makers will not question the complainant about the complainant's prior sexual conduct with anyone other than the respondent unless relevant to establish that someone else committed the conduct alleged to be a violation of this policy. Information regarding any prior sexual conduct or dating relationship between the complainant and the respondent by itself shall not imply consent or preclude a finding of a violation, but may be relevant to understand the nature and context of the parties' relationship and how consent to sexual activity was communicated between the parties. No direct questioning of the either party by the other will be permitted, though in the Title IX sexual harassment process, the parties' advisors have the opportunity to cross-examine the other party and witnesses during the hearing process.

The respondent's use of alcohol and other drugs in connection with a violation of this policy does not mitigate accountability for the behavior or diminish the seriousness of the incident, unless it is determined that the respondent was incapacitated and unable to consent to the sexual activity at issue. The respondent's intentional use of a substance to affect an individual in order to facilitate a violation of this policy will be considered relevant when determining responsibility and appropriate sanctions.

In the investigation and decision-making processes for all complaints of sexual assault, domestic violence, dating violence or stalking made under this policy, both the complainant and the respondent shall be simultaneously informed, in writing, of: (1) the outcome of any institutional disciplinary proceeding that arises from the alleged violation including all sanctions and the rationale for the result and sanctions; (2) the procedure for the respondent and the complainant to appeal the results of the institutional disciplinary proceeding; (3) any change to the results that occurs prior to the time that the results become final; and (4) when the results are final. The University shall not require a party to abide by a non-disclosure agreement in writing or otherwise regarding the final results of the institutional disciplinary proceeding.

Any student or employee found to have violated this policy may be subject to disciplinary action, up to and including suspension or dismissal/termination from the University. Sanctions for third parties who violate this policy will be in accordance with the circumstances.

For information about sanctions, students should refer to the Student Conduct Code at: <https://www.maine.edu/board-of-trustees/policy-manual/section-501/>. All of the possible sanctions that the University may impose upon a student following the results of any University disciplinary proceeding for an allegation of dating violence, domestic violence, intimate partner violence, sexual violence, sexual assault, or stalking are:

A. Assigned Educational Projects: This may include research projects, reflective essays, counseling assessments, sanction seminars or other related assignments intended to promote learning.

B. Community Service: The type of service may be related to the nature of the violation.

C. Deferred Sanction: A specific period of time during which a Respondent's continued enrollment or housing contract at the University is clearly in jeopardy. Any further violation of the Code during that time will minimally result in the imposition of the deferred sanction and any additional sanctions deemed necessary.

D. Disciplinary Dismissal: Permanent separation (subject to the right of review after five years) from the University.

E. Disciplinary Probation: A period of time when a Respondent is under closer scrutiny of the University. It may include the loss of one or more privileges.

F. Disciplinary Suspension: Separation from the University for a stated period of time and/or until a stated condition(s) is met.

G. Fine: Payment of money. Respondents who are unable to pay may discuss alternate payment arrangements.

H. Loss of Contact with a Specific Person(s): With this sanction, the person may not initiate direct or indirect contact with a specified person(s).

I. Loss of Visitation Privileges: This loss of visitation may be to any designated area(s) of campus.

J. Official Warning: Official acknowledgment of a violation and the expectation that it will not be repeated.

K. Removal from University Housing: Removal from a particular hall or all housing.

L. Restitution: Restitution, up to the replacement value of the items damaged, stolen, removed or used without authority and damages incurred.

M. Such other action as the Committee or Officer may reasonably deem appropriate (e.g., suspension of an organization's official campus recognition or suspension of a student from an extracurricular activity).

For information about possible disciplinary action, represented employees should refer to the [appropriate collective bargaining agreement](#). Non-represented employees should refer to the [non-represented employee handbook](#). All of the possible sanctions that the University may impose upon an employee following the results of any University disciplinary proceeding for an allegation of dating violence, domestic violence, intimate partner violence, sexual violence, sexual assault or stalking are:

A. Oral Warning

B. Written Warning

C. Suspension

D. Termination

E. Such other action as the University may reasonably deem appropriate.

C. Retaliation

The University and the law prohibit retaliation against an individual for opposing any practice forbidden under this policy, for bringing a complaint, for assisting someone with a complaint, for attempting to stop a violation of this policy, or for participating or for refusing to participate in any manner in an investigation or resolution of a complaint. It is central to the values of this University that any individual who believes he or she may have been the target of a violation of this policy feels free to report their concerns for appropriate investigation and response, without fear of retaliation or retribution. After making, assisting with or otherwise participating in a report or complaint to the University, any individual who believes he or she has been subjected to retaliation by the complainant, respondent, the University or any other person or group should report the alleged retaliation immediately to the appropriate person identified in this policy. The University will take strong responsive action when retaliation is found to have occurred.

VII. Confidentiality

Confidentiality: What are the Options?

The University encourages people who have experienced sex discrimination, sexual harassment, sexual violence, sexual assault, dating violence, intimate partner violence, domestic violence, stalking, or retaliation to talk to somebody about what happened so they can get the support they need, and so the University can respond appropriately. People on campus and off-campus have different abilities to maintain confidentiality depending on their roles and responsibilities.

A. Confidential Communications

1. Professional and Pastoral Counselors.

Professional, licensed individuals who provide mental health services as part of their job responsibilities (including those who act in that role under the supervision of a licensed professional) and pastoral counselors (clergy, ministers, priests, rabbis, etc.) who provide religious counseling to members of the school community are not required to report any information about an incident to the Title IX Coordinator without an individual's permission provided that such information was disclosed in a counseling context. A person can seek assistance and support from these individuals without triggering a University investigation that could reveal the person's identity or that the person has disclosed the incident. This does not apply to professional, licensed individuals who receive a report outside of their licensed duties, such as when acting in a teaching capacity. On Campus Counseling Contact Information: [Campus Counseling – University of Maine System](#)

Speaking with a professional or pastoral counselor does not constitute notice to or a report or complaint to the University. The University will be unable to conduct an investigation into the incident or pursue disciplinary action against the respondent based on such a disclosure.

NOTE: Professional counselors may maintain a person's confidentiality within the University, but they may have external reporting or other obligations under state law (such as mandatory reporting to law enforcement in case of abuse of minors; imminent harm to self or others; requirement to testify if subpoenaed in a criminal case). A person who initially requests confidentiality may later decide to file a complaint with the University or report the incident to local law enforcement and have the complaint investigated. Professional and pastoral counselors can assist a person who later decides to file a complaint or report.

2. Licensed Health Professionals

Certain licensed health professionals who receive information about an incident in connection with the provision of health care services may not report that information to the Title IX Coordinator without an individual's permission provided that such information was disclosed in a healthcare setting. However, some licensed health professionals who are designated as Campus Security Authority's may be required to report non-identifying statistical information to the University as required by federal law. Speaking with a licensed health care professional does not constitute notice to or a report or complaint to the University, and the University will be unable to conduct an investigation into the incident or pursue disciplinary action against the respondent.

NOTE: Licensed health professionals may maintain a person's confidentiality within the University, but they may have external reporting or other obligations under state law (such as mandatory reporting to law enforcement in case of abuse of minors).

3. On-campus and Off-campus Counselors and Advocates.

On-campus counselors, CRA's, Off-campus counselors, advocates, and health care providers will also generally maintain confidentiality and not share information with the University unless the individual requests the disclosure and signs a consent or waiver form.

On-Campus CRA's can be located here: [Campus Counseling – University of Maine System](#)

On-Campus Counseling can be located here: [Campus Counseling – University of Maine System](#)

Off-campus Confidential Resources – see below.

Statewide Confidential Sexual Assault & Domestic Violence Support Centers and Resources:

For TTY-based telecommunications relay service please dial 711 and ask them to dial any of the phone numbers located in this policy. For more information please visit the **Federal**

Communications Commission's Website: [Federal Communications Commission \(fcc.gov\)](#)

Name & Contact Information	Areas of Service	Description of Services
Maine Coalition Against Sexual Assault (MECASA)	Connecting the entire state of Maine to local support centers	MECASA engages in programming and partnership voices of Maine's sexual assault support centers a

1-800-871-7741

victims/survivors they serve to inform statewide ar violence prevention and response.

Maine Coalition to End Domestic Violence (MCEDV)	Serving the entire state of Maine through nine member networks across the state.	MCEDV advocates for the right of all people to live domestic abuse and all forms of violence.
1-866-834-HELP		
Deaf or Hard of Hearing 1-800-437-1220		

Wabanaki Women’s Coalition

Serving tribal communities across the state of Maine

The mission of the Wabanaki Women’s Coalition is capacity of tribal communities to respond to dome violence, and influence tribal, national, and region increase awareness, safety, justice, and healing fo

Maine TransNet	Serving the entire state of Maine	Our mission is to support and empower transgend create a world where they can thrive, including sup trans survivors. NOTE: This organization does not p support or case management.
info@maintransnet.org		

Local Confidential Sexual Assault & Stalking Resources throughout the State of Maine:

Sexual Assault and Stalking resources in Maine provide free and private support from trained people who understand and want to help. In times of crisis, they offer support to survivors, their families, and friends, when, and if they need it. Helpful information and in person support for survivors who wish to go to the hospital, file a report with police, or need to attend court are just a phone call away. These services can assist with bridging connections to help in your community. If and when you are ready they provide access to support groups.

Name & Contact Information	Areas of Service	Description of Services
Maine Coalition Against Sexual Assault (MECASA)	Connecting the entire state of Maine to local support centers	MECASA engages in programming and partnerships to br Maine’s sexual assault support centers and the victims/s serve to inform statewide and national sexual violence p response.
1-800-871-7741		

<p>AMHC Sexual Assault Services (AMHC)</p> <p>1-800-871-7741</p>	<p>Aroostook, Hancock, & Washington Counties</p>	<p>The mission of AMHC Sexual Assault Services is to provide justice to all who are affected by sexual violence through education, and prevention.</p>
<p>Immigrant Resource Center of Maine (IRCM)</p> <p>1-800-871-7741</p>	<p>Maine’s refugee and immigrant communities)</p>	<p>The mission of immigrant resource center of Maine is to serve and immigrant communities by offering culturally and linguistically sensitive services to promote a healthy and equitable Maine.</p>
<p>Rape Response Services (RRS)</p> <p>1-800-871-7741</p>	<p>Penobscot & Piscataquis Counties</p>	<p>Our mission is to offer hope, support, and advocacy to victims affected by sexual assault & stalking, to provide education on violence, and to promote prevention.</p>
<p>Sexual Assault Prevention & Response Services (SAPARS)</p> <p>1-800-871-7741</p>	<p>Androscoggin, Oxford, & Franklin Counties & the Towns of Bridgton & Harrison</p>	<p>Sexual assault prevention and response services works to eliminate sexual violence and promote healing and empowerment for people of all genders and ages who are affected by rape, child sexual abuse, sexual exploitation, stalking and sexual violence.</p>
<p>Sexual Assault Crisis & Support Center (SAC&SC)</p> <p>1-800-871-7741</p>	<p>Kennebec & Somerset Counties</p>	<p>The sexual assault crisis & support center’s mission is to lessen the related suffering of sexual assault and promote healing by providing support to those affected by sexual violence toward survival through support, education and community collaboration. Our agency supports victim autonomy.</p>
<p>Sexual Assault Response Services or Southern Maine (SARSSM)</p>	<p>Cumberland & York Counties</p>	<p>Providing free services in York and Cumberland counties to victims by sexual harassment, sexual abuse, or sexual assault, through programs, support, education, and advocacy.</p>

5.1

1-800-871-7741

5.1

Sexual Assault Support Services of Midcoast Maine (SASSMM) Eastern Cumberland County, Sagadahoc, Knox, Waldo, & Lincoln Counties SASSMM'S mission is to support and advocate for people affected by domestic violence, while working to prevent it in our communities.

1-800-871-7741

Local Confidential Domestic Violence Resources throughout the State of Maine:

Domestic Violence and Stalking resources in Maine provide free and private resources to all people impacted by domestic abuse and violence. Offering non-judgmental, emotional support, with tailored safety and risk planning to survivors in current abusive relationships. Trained people who understand and want to help. In times of crisis, they offer support to survivors, their families, and friends, when, and if they need it. Helpful information and in person support for survivors who wish to go to file a police report or need to attend court are just a phone call away. These services can assist with making meaningful connections to assist you in your community. If and when you are ready they provide access to support groups.

Name & Contact Information	Areas of Service	Description of Services
Maine Coalition to End Domestic Violence (MCEDV) 1-866-834-HELP Deaf or Hard of Hearing 1-800-437-1220	Serving the entire state of Maine through nine member networks across the state.	MCEDV advocates for the right of all people to live free from domestic violence and all forms of violence.
Hope & Justice Project 1-800-439-2323	Serving Aroostook County	We help people whose family and dating relationships are affected by domestic violence.

<p>NextStep Domestic Violence Project</p>	<p>Serving Washington & Hancock Counties</p>	<p>Our free services are available to our community members of sexual orientation, age, race, nationality, religion, and economic status. Our services include a 24/7 helpline, emergency shelter, safety planning, emotional support, legal assistance and court accompaniment, supportive housing, education and support groups, and resolution services.</p>
<p>1-800-315-5579</p>		
<p>Partners for Peace</p>	<p>Serving Penobscot & Piscataquis Counties</p>	<p>We provide support, advocacy and safety planning to anyone affected by domestic violence. We foster safe and healthy relationships through prevention and training.</p>
<p>1-800-863-9909</p>		
<p>1-800-437-1220 (TTY)</p>		
<p>New Hope Midcoast</p>	<p>Serving Waldo, Knox, Lincoln, & Sagadahoc Counties</p>	<p>New Hope Midcoast believes that a life free from abuse is a fundamental right and works to build a culture that will not tolerate domestic abuse. We support people as they create pathways to safety. By educating and empowering communities, we support a more just and effective response to domestic violence and abuse.</p>
<p>1-800-522-3304</p>		
<p>Family Violence Project</p>	<p>Serving Kennebec & Somerset Counties</p>	<p>The Family Violence Project provides a helpline, advocacy work, emergency shelter & supportive housing, prevention & training programs, child abuse intervention, and a program that works directly with abusers who want to change their behavior.</p>
<p>1-877-890-7788</p>		
<p>Immigrant Resource Center of Maine (IRCM)</p>	<p>Maine's refugee and immigrant communities)</p>	<p>The mission of immigrant resource center of Maine is to support and promote a healthy and equitable Maine.</p>
<p>1-800-871-7741</p>		
<p>Safe Voices</p>	<p>Serving Oxford, Franklin, & Androscoggin Counties</p>	<p>The mission of Safe Voices is to support and empower those affected by violence and engage the community in creating social change in Androscoggin, Oxford, and Franklin counties.</p>
<p>1-800-559-2927</p>		

Through These
Doors

Serving Cumberland
County

In collaboration with local partners and all affected by abuse, TTD
create innovative responses, mobilize our community, promote safety,
oppression and systems of violence.

1-800-537-6066

5.1

Caring
Unlimited

Serving
York
County

Caring Unlimited works with the community to end domestic violence in York County
providing support and safe haven to adults and children whose lives are affected by violence.
We provide services in a manner that honors individuals' essential worth, nurtures their
strengths and respects their right of self-determination.

1-800-239-
7298

Local Confidential Domestic, Sexual Violence, and Stalking Resources for Tribal Communities throughout the State of Maine:

Serving survivors of all types of sexual violence, intimate partner violence, and stalking by providing free services and resources to all native people. Empowering survivors through hospital accompaniment, court and system advocating, safety planning, transportation, and emergency shelter services. Assisting survivors by connecting them with community referrals and resources. Assisting with transitional services and support groups that lead survivors to safety, justice, and healing.

Wabanaki Women's
Coalition

Serving tribal communities across
the state of Maine

The mission of the Wabanaki Women's Coalition is to increase the
capacity of tribal communities to respond to and prevent
sexual violence, and influence tribal, national and state
systems to increase awareness, safety, justice and healing
all our relations.

207-866-3030

Micmac Domestic &
Sexual Violence Advocacy
Center

Serving the Micmac Tribe and
other community members

It is the mission of the Micmac Domestic and Sexual Violence
Advocacy Center to serve the needs of the victims of
domestic and sexual violence who seek our services. We are
working to end violence against Native women and their
children.

207-551-3639

Maliseet Domestic &
Sexual Violence Advocacy
center

Serving the Maliseet Tribe and
community members

The Maliseet Domestic and Sexual Violence Advocacy Center is
dedicated to ending violence against Native women and their
victims in regaining personal safety and control, and
ensuring accountability of perpetrators of violence. We work
with Tribal and non-tribal Law enforcements and justice
systems.

207-532-6401 and promoting peaceful relations in our Tribal Community.

Indian Township
Passamaquoddy
Domestic & Sexual
Violence Advocacy Center

Serving the Passamaquoddy Tribe
and community members

It is the mission of the Indian Township Passamaquoddy Domestic and Sexual Violence Advocacy Center to serve the needs of victim/survivors of domestic violence, dating violence, stalking, and human trafficking and to end violence against Native people.

207-214-1917

Passamaquoddy Peaceful
Relations Domestic &
Sexual Violence Advocacy
Center

Serving the Pleasant Point
Passamaquoddy Tribe and all
community members residing on
the Pleasant Point
Passamaquoddy Reservation

The mission of Passamaquoddy Peaceful Relations and Sexual Violence Advocacy Center is to effect positive change in our Tribal community where equality, respect, and trust become cornerstones of all relationships.

1-877-853-2613

Penobscot Nation
Domestic & Sexual
Violence Advocacy Center

Serving the Penobscot Nation
Tribe and other community
members

It is the mission of the Penobscot Nation Domestic and Sexual Violence Advocacy Center to serve the needs of victims/survivors of domestic and sexual violence and to provide support services while working to end violence against women.

207-631-4886

NOTE: On-campus CRA's and Off-campus counselors and advocates are not required to disclose information to the University, but they may have external reporting or other obligations under state law (such as mandatory reporting to law enforcement in case of abuse of minors).

4. Researchers

Research involving human subjects (which require approval by the appropriate campus Institutional Review Board for the Protection of Human Subjects) may ask subjects to provide personal information in a confidential setting. Information about an incident covered under this policy may be disclosed by a research subject as part of participation in that research. Researchers involved in the research project are not required to report the incident to the Title IX Coordinator.

B. Reporting to Another Student or a University Volunteer.

If you discuss a violation of this policy with another student or with a University volunteer, that person may be able to maintain your confidentiality, except as described within section C, Mandatory Reporting. All University students and volunteers are strongly encouraged to report all

that they witnessed or heard regarding a violation of this policy to the designated University officials identified above.

C. Mandatory University Reporting

All University employees (except as provided within section A) have a duty to report incidents of sexual misconduct potentially covered under this policy (including gender discrimination, sexual assault, sexual harassment, domestic violence, dating violence, and stalking) to the Title IX Coordinator. Student employees, peer advocates and volunteers who learn of a potential violation of this policy in the course of their employment, programming or volunteer responsibilities are also required to report.

If a University employee receives or becomes aware of an incident covered by this policy, if possible before hearing it fully, the employee should be clear with the complainant that (1) they are not a confidential resource, if they are not so designated, and (2) they are obligated to report any incident to the Title IX Coordinator.

If a University employee receives or becomes aware of an incident covered by this policy, the University employee shall promptly report to the Title IX Coordinator all relevant details about the alleged incident shared by the complainant that the University will need to determine what happened – including the names of the complainant and respondent(s), any witnesses, and any other relevant facts, including the date, time and specific location of the alleged incident. To the extent possible, information reported will be shared only with people responsible for handling the University's response to the report. If the University determines that there is a continuing threat to the safety of members of the University community, it may have to issue a timely warning regarding the incident.

D. How the University Will Respond to Requests for Confidentiality

When a complainant reveals any information about a potential violation of this policy to any University employee, as soon as possible, the employee should make sure that the complainant understands the employee's reporting obligations. If the complainant wants to maintain confidentiality, University employees should direct the complainant to confidential resources but the employee must still report any information disclosed to the Title IX Coordinator. If the complainant wants to tell the employee what happened but also maintain confidentiality, the employee should tell the complainant that the University will consider the request, but cannot guarantee that the University will be able to honor it. In reporting the details of the incident to the Title IX Coordinator, the employee will also inform the Coordinator of the complainant's request for confidentiality.

An employee will not pressure a complainant to request confidentiality, or pressure a complainant to file a report or complaint. An employee will respect the complainant's wishes to the extent possible. If a complainant discloses an incident to an employee but wishes to maintain confidentiality or requests that no investigation into an incident be conducted or disciplinary action taken, the employee still must disclose the incident to the Title IX Coordinator, and the University will weigh the complainant's request against the University's obligation to provide a safe, non-discriminatory environment for all students and employees, including the complainant. If the

University honors the request for confidentiality, a complainant needs to understand that the University's ability to meaningfully investigate the incident and pursue disciplinary action, if warranted, against the

respondent(s) may be limited. There are times when the University may not be able to honor a complainant's request because it would pose a risk to providing a safe, non-discriminatory environment for students and employees. If the University determines that it cannot maintain a complainant's confidentiality, the University will inform the complainant prior to starting an investigation and, to the extent possible, will share information only with people responsible for handling the University's response.

Except as required by law, the University shall not include personally identifiable information about a complainant in its campus crime statistics or report, its campus crime log, publicly available police reports or timely warning notices.

The University shall maintain as confidential any accommodations or supportive measures provided to the complainant, respondent or other party, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the accommodations or supportive measures or to the extent otherwise required by law.

The University is committed to providing a safe and non-discriminatory environment for the entire campus community. Because the University is under a continuing obligation to address violations of this policy campus-wide, reports of violations of this policy (including non-identifying reports) may also prompt the University to consider broader remedial action –such as increased monitoring, supervision or security at locations where the reported incident occurred; increasing education and prevention efforts, including to targeted population groups; conducting climate assessments/ victimization surveys; and/or revisiting its policies and practices.

E. Miscellaneous

Public awareness events such as “Take Back the Night,” the Clothesline Project, candlelight vigils, protests, “survivor speak outs” or other forums in which students or employees disclose violations of this policy, are not considered notice to the University of violations of this policy for purposes of triggering its obligation to investigate a particular incident(s). Such disclosures may, however, inform the need for campus-wide education and prevention efforts, and the University may provide information about students' and employees' Title IX rights at these events. If conduct which might constitute Title IX Sexual Harassment is disclosed at such an event, and the Title IX Coordinator, Deputy Title IX coordinator or an Official with Authority is present, the University may be required to contact the complainant as described in Article XVI below.

F. Anonymous Reporting

Although the University encourages complainants to talk to someone, the University provides a for anonymous reporting. Providing personally identifying information through an anonymous reporting system may serve as notice to the University for the purpose of triggering the University's obligation to reach out to the complainant to explain the options for filing a formal complaint, offer supportive measures, and describe the formal and informal resolution processes. This is the mechanism for anonymous reporting on your campus.: [University of Maine System | Reporting \(maxient.com\)](https://www.maxient.com/)

VIII. Supportive Measures

Whether or not an individual who has experienced a violation of this policy files a formal complaint, reporting the incident will allow the University to provide all individuals involved with available support and services, both on-campus and off-campus. The University can also take supportive measures to promote the safety and well-being of both the complainant and respondent, including, but not limited to, moving the complainant or respondent to a new living, dining or working situation; issuing a no contact order; changing class or work schedules; changing transportation; financial aid accommodations; taking a leave of absence, and other academic and/or employment accommodations and support. Supportive Measures are non-disciplinary, non-punitive individualized measures offered as appropriate, as reasonably available and without fee or charge to the complainant or respondent.

The University can assist all individuals involved in obtaining counseling on or off campus and provide information regarding medical care and other resources, such as victim advocacy, safety planning, legal assistance and visa and immigration assistance. The University will provide written notification to students and employees about existing resources, both within the University and the community. The University will provide written notification to complainants and respondents about how to request the above services and accommodations. The University must offer such supportive measures if they are reasonably available, regardless of whether the complainant chooses to report the incident to campus police or local law enforcement, or file a formal complaint with the University. Supportive measures can be adjusted or reviewed at the request of the individual receiving them. To initiate this request please contact the person who implemented the supportive measure or the Title IX Coordinator, Deputy Title IX Coordinator, the Director of Equal Opportunity or a campus CRA..

IX. Options Regarding Law Enforcement

An individual who has experienced sexual violence, sexual assault, domestic violence, dating violence, intimate partner violence, or stalking, or any other conduct which may violate criminal laws, has a right, at his or her own discretion, to:

1. Notify law enforcement authorities, including on-campus and local police;
2. Be assisted by campus authorities in notifying law enforcement; or
3. Decline to notify law enforcement.

University officials may, however, provide law enforcement with details about an incident under some circumstances if a determination has been made that such disclosure is required by law and/or is necessary to secure campus safety. See section VII(D) above. Complainants have a right to proceed simultaneously with a criminal investigation and a University internal investigation. If necessary to the criminal investigation, the University may defer its investigation for a limited time for fact gathering by law enforcement, and then will promptly resume its investigation.

X. Enforcement of Protection-from-Harassment or Protection-from-Abuse Orders

The University will provide assistance or referrals for a student or employee who wishes to obtain a protection-from-abuse or protection-from-harassment order. If a protection-from-abuse or

protection-from-harassment order has been issued by a court in a civil or criminal proceeding, a copy of the order should be provided to University police or security and the UMS Title IX Coordinator or the Deputy Title IX Coordinator, as soon as possible to enable enforcement by the appropriate authorities. The University will work in good faith to implement the requirements of judicially issued protective orders and similar orders, to the extent that doing so is within its authority.

XI. Student Amnesty

The University strongly encourages students to report instances of sexual misconduct covered under this policy. Students or employees who report information about a potential violation of this policy will not be disciplined by the University for any violation of drug or alcohol use, , trespassing, unauthorized entry of the University's facilities or other minor violations of University policy or the Student Conduct Code in which they might have engaged in connection with the reported incident; unless the University determines that the report was not made in good faith or that the violation was egregious. An egregious violation must include, but is not limited to, taking an action that places the health and safety of another person at risk.

XII. Free Speech and Academic Freedom

Recognizing that many citizens have differing views on the matter of whom and which groups should have an opportunity to express opinions, the University of Maine System affirms its commitments to the rights of free speech and academic freedom.

To that principle, there shall be no restrictions, at any of the System institutions, placed on the fundamental rights of free speech and assembly, except those necessary to preserve the order for the University System to function as an institution of higher learning. Additional information pertaining to Free Speech can be found at: <https://www.maine.edu/board-of-trustees/policy-manual/section-212/>

Academic freedom is essential to the fulfillment of the purposes of the University. The University acknowledges and encourages an atmosphere of confidence and freedom while recognizing that the concept of academic freedom is accompanied by a corresponding concept of responsibility to the University and its students and employees. Academic freedom is the freedom to present and discuss all relevant matters in the classroom, to explore all avenues of scholarship, research and creative expression, and to speak or write without any censorship, threat, restraint, or discipline by the University with regard to the pursuit of truth in the performance of teaching, research, publishing or service obligations.

The University of Maine System is a public institution of higher education committed to excellence in teaching, research, and public service. Together, the students, faculty, and staff form our state wide University community. The quality of life on and about the member Universities is best served by preserving the above described freedoms and civility. This policy shall not be construed or applied to restrict academic freedom within the University, nor construed to restrict constitutionally protected expression

XIII. Off-Campus and Off-Duty Conduct

Reports of violations of this policy that occur off campus and/or off-duty can be the subject of a complaint. Reports of off-campus and/or off-duty sexual harassment, sexual violence, sexual assault, intimate partner violence, domestic violence, dating violence and stalking should be brought to the University's attention as soon as possible. The University will evaluate the incident to determine whether it violates this policy by resulting in continuing effects that create a hostile environment on campus or otherwise has a substantial connection to the University's education programs and activities.

XIV. Educational Programs

The University will conduct educational programs to promote awareness of sex discrimination, sexual harassment, sexual assault, domestic violence, dating violence, and stalking. This will include primary prevention and awareness programs for incoming students and new employees, and ongoing prevention and awareness campaigns for students, faculty and staff. All employees and students must participate in all required educational programs.

XV. External Complaints

Individuals who experience a violation of this policy may file a complaint or suit with an outside agency, including the Maine Human Rights Commission, U.S. Equal Employment Opportunity Commission, or U.S. Department of Education Office of Civil Rights. The University will still investigate and respond appropriately to any internal complaint.

A complainant who filed a complaint with the University and believes the University's response was inadequate may also file a complaint with the above agencies.

Complainants should keep in mind, however, that although they may report a violation of this policy to the University at any time; external agencies typically have time limits within which complaints must be filed. To learn more about the procedures for filing complaints with an outside agency, Complainants should contact that entity directly. To learn more about the procedures for filing complaints with an outside agency, Complainants should contact that entity directly.

Office of Civil Rights (OCR) U.S. Department of Education, 400 Maryland Avenue, SW Washington, D.C. 20202-1100

Customer Service Hotline #: (800) 421-3481 Facsimile: (202) 453-6012

TDD#: (877) 521-2172 Email: OCR@ed.gov Web: <http://www.ed.gov/ocr>

Maine Human Rights Commission, Office of the Commission, 51 State House Station Augusta, ME 04330 Phone: 207.624.6290 Fax: 207.624.8729 Email: info@mhrc.maine.gov

For Employee Title IX/ADA Complaints:

US Department of Justice
950 Pennsylvania Avenue, NW
Civil Rights Division
Disability Rights Section – 1425 NYA
Washington, D.C. 20530
Fax: (202) 307-1197

You may also file a complaint by E-mail at ADA.complaint@usdoj.gov. If you have questions about filing an ADA complaint, please call: ADA Information Line: 800-514-0301 (voice) or 800-514-0383 (TTY).

U.S. Equal Employment Opportunity Commission Complaints: Call 1-800-669-4000

For Deaf/Hard of Hearing callers:

1-800-669-6820 (TTY)

1-844-234-5122 (ASL Video Phone)

info@eeoc.gov

XVI. Title IX Sexual Harassment (Pursuant to May 2020 Title IX Regulations)

This Article XVI and the corresponding Title IX Sexual Harassment process apply to all complaints of Title IX Sexual Harassment that are made after August 14, 2020 regarding conduct that occurs after that date. All complaints made after August 14, 2020 regarding conduct that occurred before August 14, 2020, will follow the policies in place at the time of the incident and the applicable process in place at the time of the complaint. The Title IX Sexual Harassment policy and process described in this Article XVI go into effect at midnight on August 14, 2020 and will remain in effect unless/until this policy and process are stayed, enjoined, limited, amended, repealed or otherwise are ruled or become inapplicable in whole or in part due to action by a court or the U.S. Department of Education. Should the Title IX Regulations be revoked, any conduct covered under this Policy shall be investigated and adjudicated under this policy and the applicable processes described in Articles IV and VI.

Finally, conduct that falls outside of Title IX, such as gender-based and sexual harassment that does not meet the Title IX regulations' definition or conduct that occurs outside of the United States but still within the University's education programs or activities, may be covered by Articles IV and VI of this Policy. The University condemns all forms of sexual misconduct, even conduct that does not meet the definition of sexual harassment under Title IX. Accordingly, this Policy provides procedures for reporting and investigating sexual harassment that falls outside of Title IX's definition of sexual harassment or outside of Title IX's geographic scope but is nonetheless detrimental to the safety and wellbeing of the University community.

If you have any questions or concerns about which policy or process may apply to your case/report, please contact the UMS Title IX Coordinator at 207.581.5866 or at titleix@maine.edu for clarifications.

Glossary:

i. *Advisor* means a person chosen by a party or appointed by the institution to accompany the party to meetings related to the complaint process, to advise the party on that process, and to conduct cross-examination for the party at the hearing, if any.

ii. *Complainant* means an individual or group of individuals who is alleged to be the victim of conduct that could constitute harassment based on a sex or retaliation for engaging in a protected activity. The term complainant and reporting party are used interchangeably throughout this policy.

iii. *Complaint (formal)* means a written document, paper or electronic, filed by a Complainant or signed by the Title IX Coordinator alleging harassment or discrimination based on sex, or retaliation for engaging in a protected activity, against a respondent and requesting that the University investigate the allegation of harassment based on sex or retaliation for engaging in a protected activity. At the time of filing a formal complaint of Title IX sexual harassment, a Complainant must be participating in or attempting to participate in the education program or activity of the University with which the formal complaint is filed. The complaint must contain the Title IX Coordinator's or the Complainant's physical or digital signature, or otherwise indicate that the Complainant is the person filing the formal complaint. Where the Title IX Coordinator signs a formal complaint, the Title IX Coordinator is not considered a Complainant or otherwise a party.

iv. *Directly Related Evidence* is evidence that in the reasoned judgment of the investigator, is determined to be connected to the complaint even if not relied upon by the investigator in the investigation report.

v. *Education program or activity* means all of the operations of the University, as well as, locations, events or circumstances where UMS exercises substantial control over both the Respondent and the context in which the Title IX sexual harassment occurs and also includes any building owned or controlled by a student organization that is officially recognized by the University.

vi. *Final Determination* a written determination by a Decision-maker or Panel by the preponderance of the evidence standard whether the alleged conduct occurred and whether it did or did not violate policy, which includes all of the following: identification of the allegations potentially constituting Title IX Sexual Harassment as defined in Article XVI(1)(xii) below; a description of the procedural steps taken by the University from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held; findings of fact supporting the determination; conclusions regarding the application of the this Policy to the facts; a statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions imposed on the Respondent, and whether remedies designed to restore or preserve equal access to UMS's education program or activity will be provided by the University to the Complainant; and the procedures and permissible bases for the Complainant and Respondent to appeal.

ii. *Formal Complaint Process* means a method of formal resolution designated by the University to address conduct that falls within this Title IX Sexual Harassment policy and process, and which complies with the requirements of the Title IX regulations.

iii. *Notice* means that an employee, student, or third-party informs the Title IX Coordinator or other Official with Authority of the alleged occurrence of harassing conduct on the basis of sex.

iv. *Official with Authority (OWA)* means an employee of UMS explicitly vested with the responsibility to implement corrective measures for harassment based on sex, and/or retaliation on behalf of UMS.

v. *Relevant Evidence* is evidence that tends to prove or disprove an issue in the complaint.

vi. *Remedies* are post-finding actions provided to the Complainant where a determination of responsibility for sexual harassment has been made against the Respondent after the Formal Complaint Process in this Policy as mechanisms to address safety, prevent recurrence, and restore access to UMS's educational program.

vii. *Title IX Sexual Harassment* is the umbrella category including the offenses of sexual harassment, sexual assault, stalking, and dating violence and domestic violence as defined in Article XVI(2) below.

viii. *Title IX Team* refers to the Title IX Coordinator, Deputy Title IX Coordinators, Investigators, Hearing Decision-maker or Panel, or University provided Advisor.

1. Title IX Sexual Harassment Jurisdiction

Title IX jurisdiction applies when the alleged sexual harassment occurs within the context of the University's "education program or activity" which includes all of the operations of the University, and locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the sexual harassment occurred, and also includes any building owned or controlled by a student organization that is officially recognized by the University.

2. Title IX Sexual Harassment Definitions

The Title IX regulations define Sexual Harassment as: conduct on the basis of sex that must satisfy one or more of the following:

- a. A University employee conditions the provision of an aid, benefit, or service of UMS on an individual's participating in unwelcome sexual conduct; or
- b. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to UMS' education program or activity;

Sexual Assault is defined as having or attempting to have sexual intercourse with another individual, including: (1) by use of force or threat; (2) without effective consent; or (3) where the actor knew or should have known the individual is incapacitated by drugs and/or alcohol or was physically or mentally unable to make informed or reasonable judgments or provide consent. For purposes of this definition, sexual intercourse includes vaginal, anal or oral penetration, no matter how slight, with any body part or object, or oral penetration involving any form of mouth to genital contact. Sexual Assault includes rape, fondling, incest, or statutory rape as those crimes are defined by the Federal Bureau of Investigation (FBI) Uniform Crime Reporting Program. This definition conforms to the FBI's Uniform Crime Report and Clery Act definition and also conforms to the definition of rape under Maine law.

Force is the use of physical violence and/or the threat of physical violence to gain sexual access. Force also includes threats against others, intimidation (implied threats), and coercion that is intended to overcome resistance or produce consent (e.g., "Have sex with me or I'll hit you").

Sexual activity that is forced is, by definition, non-consensual, but non-consensual sexual activity is not necessarily forced. Silence or the absence of resistance alone is not consent. Consent is not demonstrated by the absence of resistance. While resistance is not required or necessary, it is a clear demonstration of non-consent.

Coercion is unreasonable pressure for sexual activity. Coercive conduct differs from seductive conduct based on factors such as the type and/or extent of the pressure used to obtain consent. When someone makes clear that they do not want to engage in certain sexual activity, that they want to stop, or that they do not want to go past a certain point of sexual interaction, continued pressure beyond that point can be coercive, and there is no consent.

Incapacitation is defined as the inability to make rational, reasonable decisions because the individual lacks capacity to give knowing consent (e.g. to understand the “who”, “what”, “when”, “where”, “why”, or “how” of their sexual interaction. A person may be incapacitated because of their consumption of drugs/alcohol and/or because they are mentally/physically helpless or disabled, asleep, unconscious, or otherwise unaware that the sexual activity is occurring. Where drugs or alcohol are involved, incapacitation is a state beyond impairment or intoxication, and involves an assessment of the person’s decision-making ability, awareness of consequences, ability to make informed, rational judgments, capacity to appreciate the nature and quality of the act, and/or level of consciousness. The assessment is based on objectively and reasonably apparent signs of incapacitation when viewed from the perspective of a sober, reasonable person.

Dating Violence, Domestic Violence, and Stalking, as defined above.

Retaliation

No person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX of the Education Amendments of 1972 or its implementing regulations.

No person may intimidate, threaten, coerce, or discriminate against any individual because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding or hearing under this Title IX Policy and accompanying process

Any intimidation, threats, coercion, or discrimination, for the purpose of interfering with any right or privilege secured by Title IX or its implementing regulations constitutes retaliation. This includes any charges filed against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but that arise from the same facts or circumstances as a report or complaint of sex discrimination or a report or formal complaint of sexual harassment, as set forth in the University’s amnesty policy.

Complaints alleging retaliation may be filed with the Title IX Coordinator.

UMS reserves the right to impose any level of sanction, ranging from a reprimand up to and including suspension or dismissal/termination, for any offense under this policy.

XVII. Review and Revision of this Policy

A representative Policy Review Board will be established consisting of University and UMS participants to review and recommend changes, as appropriate, to this policy and procedures. The Board will meet at least every three years or more often, as needed and in synchronization with the review of the University of Maine System Student Conduct Code. Revisions of this policy require approval of the Board of Trustees.

Related documents:

[Procedures for Title IX Sexual Harassment](#)

[Sexual Harassment Brochure](#)

[Guidelines on Consenting Relationships \(Word Document\)](#)

[Equal Opportunity Complaint Procedure](#)

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

6

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 a brief investment update and present the flash reports at the September 15-16, 2024, Board of Trustees meeting.

Attachments

[Managed Investment Pool Flash Reports](#)

[Pension Fund Flash Reports](#)

[Operating Fund Flash Reports](#)

July 31, 2024

University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy (%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
MIP Composite	373,105,408	100.0	100.0	1.5	7.9	11.3	2.9	7.2	6.3	5.4
Allocation Index				1.6	9.1	12.9	4.1	8.1	7.2	6.4
Policy Index				1.8	9.4	13.2	4.2	8.0	7.3	6.6
Total Domestic Large Cap	91,985,045	24.7	25.0	1.3	16.8	22.8	9.8	15.1	14.2	13.2
S&P 500 Index				1.2	16.7	22.1	9.6	15.0	14.1	13.2
SSgA Fossil Fuel Free S&P 500 Index	91,985,045	24.7	25.0	1.3	16.8	22.6	-	-	-	-
S&P 500 Fossil Fuel Free Index				1.3	16.9	22.7	-	-	-	-
Total Domestic Small/Mid Cap	10,728,280	2.9	5.0	4.0	5.0	9.0	4.1	11.8	10.6	9.7
Russell 2500 Index				7.4	10.0	13.1	2.7	9.6	9.4	9.3
Westfield Capital	10,728,280	2.9	2.5	4.0	6.9	9.0	-0.2	10.2	10.9	9.9
Russell 2500 Growth Index				6.1	10.3	11.9	-1.5	8.5	10.0	10.0
Global Equity	41,175,279	11.0	10.0	0.7	8.2	11.5	3.4	-	-	-
MSCI World Index (Net)				1.8	13.7	18.3	6.8	-	-	-
Walter Scott Global Equity	41,175,279	11.0	10.0	0.7	8.2	11.5	3.4	-	-	-
MSCI World Index (Net)				1.8	13.7	18.3	6.8	-	-	-
Total International Equity (including emerging markets)	68,414,238	18.3	19.0	2.7	5.5	6.7	-2.6	3.8	2.4	2.4
MSCI AC World ex USA (Net)				2.3	8.1	9.7	1.8	6.3	5.0	4.2
Silchester International Value Equity	20,659,712	5.5	5.0	5.5	5.4	8.6	-	-	-	-
MSCI EAFE (Net)				2.9	8.4	11.2	-	-	-	-
JO Hambro	20,387,971	5.5	5.0	1.8	5.8	8.2	-3.6	-	-	-
MSCI EAFE (Net)				2.9	8.4	11.2	3.6	-	-	-
Axiom International Small Cap Equity	8,421,560	2.3	2.0	3.0	10.5	10.4	-	-	-	-
MSCI EAFE Small Cap (Net)				5.7	6.2	9.1	-	-	-	-

6.1



University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

July 31, 2024

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy (%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Emerging Markets Equity	18,944,995	5.1	7.0	0.6	3.5	2.6	-3.6	5.0	3.3	2.2
<i>Emerging Markets Equity Custom Benchmark</i>				0.1	7.4	9.5	0.2	6.9	5.0	4.2
Aberdeen Emerging Mkts	11,739,568	3.1	5.0	1.7	6.3	3.2	-7.6	1.6	1.5	1.7
<i>MSCI Emerging Markets (Net)</i>				0.3	7.8	6.3	-2.7	3.4	2.7	2.6
Mondrian EM Small Cap	7,205,427	1.9	2.0	-1.2	-2.2	1.4	0.8	8.5	5.0	2.6
<i>MSCI Emerging Markets Small Cap</i>				0.0	7.0	12.6	3.0	10.3	6.5	5.1
Total Fixed Income	101,137,188	27.1	26.5	1.8	3.0	6.6	0.1	2.3	2.6	2.5
<i>Blmbg. U.S. Aggregate Index</i>				2.3	1.6	5.1	-2.6	0.2	1.1	1.6
Commonfund	26,425,032	7.1	6.5	2.2	2.2	5.3	-2.7	0.4	1.4	1.8
<i>Blmbg. U.S. Aggregate Index</i>				2.3	1.6	5.1	-2.6	0.2	1.1	1.6
Fidelity Intermediate Treasury Bond Index (FUAMX)	18,291,239	4.9	5.0	2.8	1.9	4.7	-	-	-	-
<i>Blmbg. U.S. Treasury Index</i>				2.2	1.3	4.1	-	-	-	-
Vanguard Inflation-Protected Securities	18,272,119	4.9	5.0	1.8	2.7	4.5	-1.6	2.3	2.6	-
<i>Blmbg. U.S. TIPS</i>				1.8	2.5	4.4	-1.6	2.4	2.7	-
Blackrock Strategic Income Opportunities	18,037,193	4.8	5.0	1.9	3.6	8.1	1.6	3.1	-	-
<i>90-Day Avg. SOFR (Secured Overnight Fin. Rate)</i>				0.4	3.2	5.5	3.2	2.2	-	-
Bain Capital Senior Loan Fund	20,111,604	5.4	5.0	0.6	5.1	10.1	5.6	5.5	-	-
<i>Credit Suisse Leveraged Loan Index</i>				0.7	5.2	10.4	6.2	5.4	-	-
Total GAA	30,337,987	8.1	7.5	1.0	6.3	10.1	0.8	2.7	2.7	2.3
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills*</i>				1.6	5.4	8.8	1.8	4.3	4.7	4.6
Newton Global Real Return	30,337,987	8.1	7.5	1.0	6.3	10.1	0.8	3.9	4.4	-
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills</i>				1.6	5.4	8.8	1.8	4.3	4.3	-
Total Hedge Funds	28,336,593	7.6	7.0	-0.1	6.3	8.2	5.2	7.9	6.5	4.5
<i>HFRI Fund of Funds Composite Index</i>				0.4	5.3	8.0	2.5	4.9	4.3	3.6
Lighthouse	28,336,593	7.6	7.0	-0.1	6.3	8.2	5.2	7.9	6.9	-
<i>Credit Suisse Long/Short Equity</i>				0.3	10.8	14.4	5.5	7.2	6.1	-

6.1



University of Maine System Managed Investment Pool

TOTAL PLAN PERFORMANCE

July 31, 2024

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy (%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Private Equity	864,748	0.2	0.0	0.0	-4.0	-5.7	-5.8	2.9	5.2	6.0
Landmark Equity Partners XV	864,748	0.2	0.0	0.0	-4.0	-5.7	-5.8	2.9	5.2	6.0
<i>CJA US All PE (1 Qtr Lag)</i>				<i>0.0</i>	<i>4.8</i>	<i>8.1</i>	<i>11.5</i>	<i>15.0</i>	<i>14.8</i>	<i>13.4</i>
Total Cash	126,049	0.0	0.0							
Distribution Account	126,049	0.0	0.0	0.4	2.8	4.4	2.8	1.8	1.7	1.2
<i>90 Day U.S. Treasury Bill</i>				<i>0.4</i>	<i>3.1</i>	<i>5.5</i>	<i>3.2</i>	<i>2.2</i>	<i>2.1</i>	<i>1.5</i>

Notes:

Fiscal YTD begins 7/1

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

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.

6.1



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.

This report may contain confidential or proprietary information and may not be copied or redistributed to any party not legally entitled to receive it.

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





University of Maine System Operating Fund

July 31, 2024

TOTAL FUND PERFORMANCE

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy(%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Operating Funds Composite	261,317,291	100.0	100.0	1.1	4.4	7.9	2.9	4.0	3.7	3.1
<i>Allocation Index</i>				1.0	4.5	7.8	2.9	3.6	3.5	3.0
Liquidity Pool Composite	80,138,457	30.7	30.0	0.3	2.7	4.6	2.7	2.0	1.9	1.5
State Pool	20,148,797	7.7		0.0	2.2	3.9	2.3	1.9	1.8	1.4
BOA General Fund	1,163,851	0.4		0.1	1.1	1.8	1.4	1.0	0.9	0.6
Federated Gov't Obligations	23,417,935	9.0		0.4	3.1	5.8	3.6	2.4	2.2	-
Transition Cash	102,042	0.0		0.1	0.9	0.9	-	-	-	-
JP Morgan US Gov't Money Market Fund	35,305,832	13.5		0.4	3.1	5.3	3.3	2.2	2.1	-
<i>90 Day U.S. Treasury Bill</i>				0.4	3.1	5.5	3.2	2.2	2.1	-
Income Pool Composite	122,773,815	47.0	47.5	1.4	3.2	6.9	1.3	2.2	2.3	2.2
Income Research + Management	66,001,828	25.3	26.0	1.2	3.0	6.2	1.3	2.2	2.1	1.8
<i>Blmbg. 1-3 Year Gov/Credit index</i>				1.2	2.6	5.7	0.9	1.5	1.7	1.5
BlackRock Strategic Income Opportunities	17,615,612	6.7	7.0	1.9	3.6	8.1	1.6	3.1	3.2	-
<i>90-Day Avg. SOFR (Secured Overnight Fin. Rate)</i>				0.4	3.2	5.5	3.2	2.2	-	-
Baird Aggregate Bond Fund - BAGIX	18,911,827	7.2	7.5	2.3	2.1	6.1	-2.4	-	-	-
<i>Blmbg. U.S. Aggregate Index</i>				2.3	1.6	5.1	-2.6	-	-	-
Bain Senior Floating Rate Fund	20,244,548	7.7	7.0	0.6	5.1	10.1	5.6	-	-	-
<i>Credit Suisse Leveraged Loan Index</i>				0.7	5.2	10.4	6.2	-	-	-
Total Return Pool Composite	58,405,018	22.4	22.5	1.8	9.1	12.9	4.7	8.8	7.7	6.3
Lighthouse	13,982,003	5.4	5.0	-0.1	6.3	8.2	5.2	7.9	6.9	-
<i>Credit Suisse Long/Short Equity</i>				0.3	10.8	14.4	5.5	7.2	6.1	-
Newton Global Real Return	9,311,208	3.6	4.0	1.0	6.3	10.1	0.7	3.8	4.4	-
<i>40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills</i>				1.6	5.4	8.8	1.8	4.3	4.3	-
PIMCO All Asset	9,957,242	3.8	4.0	2.5	4.5	6.7	0.8	5.5	4.9	4.1
<i>PIMCO All Asset Index III</i>				1.2	3.5	5.6	-0.2	3.4	3.5	2.7
Silchester International Value Equity	9,940,807	3.8	3.3	5.5	5.4	8.6	-	-	-	-
<i>MSCI EAFE (Net)</i>				2.9	8.4	11.2	-	-	-	-
SSgA Fossil Fuel Free S&P 500 Index	15,213,759	5.8	6.2	1.3	16.8	22.6	-	-	-	-
<i>S&P 500 Fossil Fuel Free Index</i>				1.3	16.9	22.7	-	-	-	-

6.2



July 31, 2024

University of Maine System Operating Fund

TOTAL FUND PERFORMANCE

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&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.

State Pool is final as of 6/30/24 and carried to date.

6.2



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.

This report may contain confidential or proprietary information and may not be copied or redistributed to any party not legally entitled to receive it.

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





University of Maine System Pension Plan

July 31, 2024

TOTAL FUND PERFORMANCE

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy (%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Pension Composite	17,533,682	100.0	100.0	1.2	4.3	7.3	1.4	5.2	5.0	4.4
Allocation Index				1.5	6.2	9.2	2.8	5.9	5.5	5.2
Policy Index				1.6	6.3	9.8	3.0	5.9	5.6	5.4
Total Global Equity	5,403,758	30.8	30.0	0.7	8.3	12.5	3.9	10.5	-	-
MSCI World Index (Net)				1.8	13.7	18.3	6.8	12.1	-	-
Walter Scott Global Equity Fund	5,403,758	30.8	30.0	0.7	8.3	12.5	3.9	10.5	-	-
MSCI World Index (Net)				1.8	13.7	18.3	6.8	12.1	-	-
Emerging Markets Equity	383,972	2.2	3.0	-1.2	-2.1	1.4	0.8	8.5	5.0	2.6
Emerging Markets Equity Benchmark				0.0	7.0	12.6	3.0	10.3	7.2	5.7
Mondrian EM Small Cap	383,972	2.2	3.0	-1.2	-2.1	1.4	0.8	8.5	5.0	2.6
MSCI Emerging Markets Small Cap				0.0	7.0	12.6	3.0	10.3	6.5	5.1
Total Fixed Income	8,220,552	46.9	48.0	2.0	2.7	6.6	-0.8	1.6	2.1	2.2
Blmbg. U.S. Aggregate Index				2.3	1.6	5.1	-2.6	0.2	1.1	1.6
Baird Aggregate Bond Fund - BAGIX	4,672,509	26.6	25.0	2.3	2.1	6.1	-2.4	-	-	-
Blmbg. U.S. Aggregate Index				2.3	1.6	5.1	-2.6	-	-	-
Fidelity Intermediate Treasury Bond Index (FUAMX)	874,263	5.0	5.0	2.8	1.9	4.6	-	-	-	-
Blmbg. U.S. Treasury Index				2.2	1.3	4.1	-	-	-	-
Vanguard Inflation-Protected Securities	690,651	3.9	8.0	1.8	2.6	4.5	-1.6	2.3	2.6	-
Blmbg. U.S. TIPS				1.8	2.5	4.4	-1.6	2.4	2.7	-
BlackRock Strategic Income Opportunities	906,745	5.2	5.0	1.9	3.6	8.0	1.6	3.1	-	-
90-Day Avg. SOFR (Secured Overnight Fin. Rate)				0.4	3.2	5.5	3.2	2.2	-	-
Bain Capital Senior Loan Fund	1,076,385	6.1	5.0	0.6	5.1	10.1	5.6	5.5	-	-
Credit Suisse Leveraged Loan Index				0.7	5.2	10.4	6.2	5.4	-	-
Total GAA	1,450,861	8.3	8.0	1.0	6.3	10.1	0.8	3.9	3.9	3.1
40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills*				1.6	5.4	8.8	1.8	4.3	4.7	4.6
Newton Global Real Return	1,450,861	8.3	8.0	1.0	6.3	10.1	0.8	3.9	4.4	-
40% Bloomberg Agg/30% MSCI ACWI/30% ICE BoA 91-day T-Bills				1.6	5.4	8.8	1.8	4.3	4.3	-

6.3



University of Maine System Pension Plan

July 31, 2024

TOTAL FUND PERFORMANCE

	Allocation			Performance (%)						
	Market Value (\$)	% of Portfolio	Policy (%)	1 Mo (%)	YTD (%)	1 Yr (%)	3 Yrs (%)	5 Yrs (%)	7 Yrs (%)	10 Yrs (%)
Total Alternative Investments	772,028	4.4	5.0	-0.1	6.3	8.2	5.2	7.9	6.5	4.8
<i>HFRI Fund of Funds Composite Index</i>				0.4	5.3	8.0	2.5	4.9	4.3	3.6
Lighthouse	772,028	4.4	5.0	-0.1	6.3	8.2	5.2	7.9	6.9	-
<i>Credit Suisse Long/Short Equity</i>				0.3	10.8	14.4	5.5	7.2	6.1	-
Total Real Assets	949,630	5.4	3.0							
Principal	949,630	5.4	3.0	0.3	-2.7	-8.6	1.1	2.5	3.9	6.1
<i>NCREIF ODCE</i>				0.0	-2.8	-9.3	1.9	3.2	4.4	6.4
Total Cash	352,882	2.0	3.0							
Distribution Account	352,882	2.0	3.0	0.4	2.5	4.4	2.5	1.7	1.6	1.2
<i>90 Day U.S. Treasury Bill</i>				0.4	3.1	5.5	3.2	2.2	2.1	1.5

Notes:

Fiscal YTD begins 7/1

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

Returns are net of manager fees.

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.

6.3



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.

This report may contain confidential or proprietary information and may not be copied or redistributed to any party not legally entitled to receive it.

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





University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

(Information Item Only)

NAME OF ITEM: Unified Catalog and Repaving MaineStreet Update

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

N/A

UNIFIED ACCREDITATION CONNECTION:

N/A

BACKGROUND:

Dr. Robert Placido will provide an update on the Unified Catalog and Repaving MaineStreet Initiatives.

The Unified Catalog Initiative is a strategic effort by the University of Maine System (UMS) to enhance student retention and drive enrollment growth by creating a more streamlined and integrated academic experience across all UMS institutions. This initiative focuses on improving course visibility, harmonizing academic policies, supporting multi-institution programming, and modernizing transfer and articulation agreements. The goal is to eliminate barriers to student success and provide a seamless educational journey that encourages transfers and participation in multi-university programs. Dr. Placido will provide an overview of the Unified Catalog Initiative and share additional steps and recommendations.

The Repaving MaineStreet project complements the Unified Catalog Initiative by addressing critical enterprise management systems and process challenges that have hindered the system's ability to innovate. An assessment of the project was performed by a third party. Dr. Placido will provide an overview of that assessment and share next steps.

Attachment

[Unified Catalog Initiative](#)

Unified Catalog

PROJECT PLAN: 2024

7.1

Contents

.....	1
EXECUTIVE SUMMARY	4
INTRODUCTION	4
MEASUREMENT OF SUCCESS.....	4
CROSS-INITIATIVE CONNECTIONS	4
EXISTING EFFORTS AND CURRENT STATUS.....	5
OVERVIEW	6
UNIFIED CATALOG INITIATIVE TIMELINE	6
EXISTING UNIFIED CATALOG INITIATIVE (UCI) EFFORTS	6
<i>UNIVERSAL COURSE VISIBILITY.....</i>	6
<i>ALIGN ACADEMIC POLICY AND PRACTICE ACROSS UMS INSTITUTIONS.....</i>	7
<i>MULTI-INSTITUTION PROGRAMMING.....</i>	7
<i>Cross-Linked Course Processes for Multi-University Programs.....</i>	8
<i>Adult Degree Completion and Credentialing.....</i>	8
<i>Expansion of Online Programs</i>	9
<i>Career Relevant Experiences</i>	9
<i>TRANSFER AND ARTICULATION AGREEMENTS.....</i>	9
<i>Transfer Policy Alignment.....</i>	10
<i>Articulation Agreement Development.....</i>	10
<i>Maine Direct Transfer Pathway.....</i>	11
<i>Early College Transfer Pathways</i>	11
<i>TECHNOLOGY & DATA INFORMED DECISION MAKING</i>	11
<i>Raptor Integration.....</i>	12
<i>Parchment Integration</i>	12
<i>New Data Tracking & Reporting.....</i>	12
<i>Training on New Tools.....</i>	13
TRANSPARENCY AND CONTINUAL IMPROVEMENT	13
<i>Establish Key Performance Indicators (KPIs)</i>	13
ADDITIONAL RECOMMENDATIONS	14
DEGREE PLANNING REPORT IMPLEMENTATION	14
COURSE AUDITOR IMPLEMENTATION	15
DEGREE PLANNING SYSTEM IMPLEMENTATION	15
DATA INTEGRATION AND MANAGEMENT ENHANCEMENT.....	16

7.1

EXECUTIVE SUMMARY

INTRODUCTION

The Unified Catalog Initiative represents a pivotal strategy in the University of Maine System's (UMS) mission to enhance student retention and catalyze enrollment growth. This comprehensive approach, decoupled from the overhaul of the Student Information System, aims to streamline processes and forge stronger connections between UMS institutions and external partners, including the Maine Community College System (MCCS).

Rather than creating a monolithic catalog, the initiative focuses on harmonizing practices to optimize registration and transfer processes across the system. By leveraging technological innovations such as advanced search mechanisms and integrated credential management systems, the initiative seeks to create a more intuitive, responsive, and seamless educational experience for students throughout their academic journey.

Key components of this initiative include:

1. **Universal Course Visibility** Developing an intuitive, system-wide course search platform encompassing all UMS undergraduate and graduate offerings.
2. **Align Policy, Practices, and Technologies** that support student success across UMS institutions.
3. **Multi-Institution Programming** Support, and grow enrollment in multi-university academic programs, collaborative courses, and related academic pathways and partnerships.
4. **Transfer and Articulation Agreements** Substantially modernize transfer processes and integrations of transfer and articulation agreements.
5. **Automation & Data Informed Decision-Making** Develop and implement innovative technologies to streamline initiatives, enhance enrollment processes, and enable data-driven decision-making.
6. **Transparency and Continual Improvement** Improve communication within and across the University of Maine System.

MEASUREMENT OF SUCCESS

The success of the UCI will be measured in the following areas:

1. **Student Success Indicators:** Increases in transfers, retention, and reductions in time-to-degree.
2. **Enrollment Growth:** Increases in overall enrollment and participation in distance education and multi-university programs.
3. **Processing Time:** Decreases in the time required for services like transcript processing.
4. **Service Usage:** Initial measures and increases in the usage of new implementations such as the course search.

CROSS-INITIATIVE CONNECTIONS

The UCI is closely tied to several strategic initiatives within UMS:

1. **Unified Accreditation:** Achieved system-wide accreditation under NECHE, with goals including improved access to schedules and catalogs, aligned academic policies, and the development of multi-university programs.
2. **UMS Strategic Plan 2023–2028:** Includes commitments to eliminate barriers and expand multi-university programming, leveraging technology and human resources to increase enrollment.

EXISTING EFFORTS AND CURRENT STATUS

The Unified Catalog Initiative encompasses various efforts aimed at achieving specific goals, with over 50 activities focused on student success. The following sections summarize the status of efforts under each major objective.

Universal Course Search

- **Status:** Phase 1 Complete
- **Details:** Centralized access to a universal course search from the UMS public website.

Align Academic Policy and Practice

- **Status:** Substantially Complete
- **Details:** All institutions, except UMPI, are eligible to adopt the unified Domestic Study Away Form.

Multi-Institution Programming

- **Status:** Ongoing
- **Details:** Policies for cross-linking courses and multi-campus approvals are being explored to ensure smooth implementation.

Transfer and Articulation Agreements

- **Status:** Ongoing
- **Details:** Several transfer barriers have been resolved. Efforts continue to revisit remaining barriers and streamline processes.

Automation & Data-Informed Decision Making

- **Status:** Ongoing
- **Details:** Implementation of tools like Raptor and Parchment for student records management. Training and robust data tracking mechanisms are essential.

Transparency and Continual Improvement

- **Status:** KPIs under development
- **Details:** Finalizing and implementing specific KPIs to measure success and ensure regular monitoring and reporting.

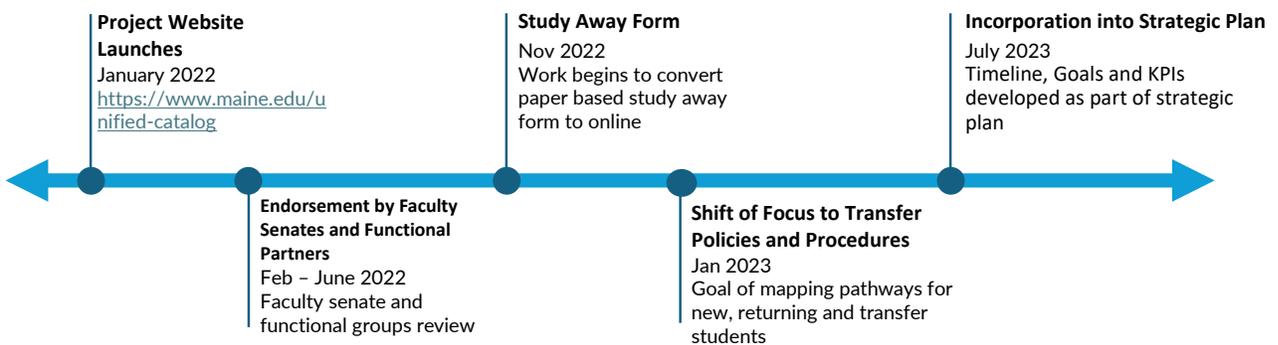
OVERVIEW

UNIFIED CATALOG INITIATIVE INITIAL TIMELINE

Work on the Unified Catalog Initiative began in February of 2021 with a cross functional workgroup project team led by the Vice Chancellor for Academic Affairs and the Vice Chancellor for Accreditation and Strategic Initiatives. The initial goal of the project was to move all course offerings into a single data housing so they could be searched by students regardless of home institution. The more ambitious goals were to identify and eliminate all barriers to student academic success and barriers to faculty participation in multi-university academic programs. The project started with the launch of a website and subsequent review of the three initial projects proposed by the project team: improving the domestic study away form, improving internal transfer practices, and reviewing residency requirements.

7.1

Figure 1: Unified Catalog Initiative Initial Timeline



Source: Author created based on Unified Catalog Initiative Updates

EXISTING UNIFIED CATALOG INITIATIVE (UCI) EFFORTS

Given that the Unified Catalog Initiative is a collection of related efforts that work together to meet a set of goals, there have been a number of activities undertaken under the umbrella of this initiative. There are over 50 student success related activities connected to the UCI. The efforts and their current statuses in which IT has a supporting role are discussed below. The efforts are categorized by UCI project objective and each section provide a description of the effort, the planned timeline, and identifies the known status.

UNIVERSAL COURSE VISIBILITY

Providing access for students to search for classes across the University of Maine System regardless of home institution and view all institutional course catalogs in one location were two of the earliest efforts under the UCI umbrella.

Unified Course Search and Catalog Access

Status: Initial Deliverable

One of the first major commitments in the accreditation and strategic plan documents is providing centralized access to a cross-institution course search. The initial deliverables have been achieved through a unified course search on the UMS Website [University of Maine System Statewide Course Search](#). However, additional improvements are needed to make the course search truly cross-institutional within MaineStreet with the aspirations of enabling students to register across institutions within a single page.

ALIGN ACADEMIC POLICY AND PRACTICE ACROSS UMS INSTITUTIONS

The **UCI objective** to align academic policy and practice focuses on creating a unified academic environment by aligning technical and procedural elements to remove obstacles. **These efforts enhance** operational efficiencies and promotes the success of students, faculty, and staff through streamlined processes **and** improved collaboration.

The Domestic Study Away Form

Status: Substantially Complete

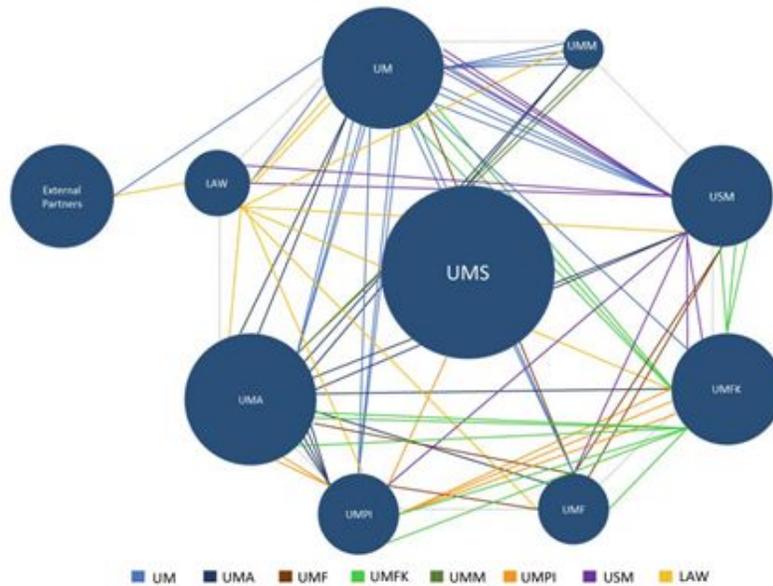
Historically, each university within the University of Maine System used its own paper version of the Domestic Study Away Form, leading to inconsistencies in content and format. This variability caused processing delays and frustration among students and staff. A unified approach to the form was seen as a key step in supporting cross-institutional programming and broadening access to study away opportunities, which students have identified as a significant area of concern.

Implementation: All institutions, except for the University of Maine at Presque Isle (UMPI), are eligible to adopt the new [Student Study Away Request Form](#). UMA, UMF, and UMFK have committed to using the Domestic Study Away Form.

MULTI-INSTITUTION PROGRAMMING

The strategic goal to increase and support multi-institution programming within the University of Maine System (UMS) focuses on creating and enhancing collaborative academic programs across its universities. These efforts aim to centralize resources, promote the development and delivery of multi-university programs, and measure their effectiveness, ensuring these programs address workforce needs and attract a diverse student population. While these programs have great potential, there is a need to increase enrollment and provide increased training, technical and administrative support.

Figure 2: Representation of Current UMS Collaborations



Note: The size of each circle represents the number of collaborations in which that university is engaged.
 Source: Reproduced from the 2022 UMS Strategic Planning Data Book¹

7.1

Cross-Linked Course Processes for Multi-University Programs

Status: Ongoing

As part of providing ongoing support for existing multi-university programs, clear processes for cross-linking courses in multi-university programs need to be established to ensure seamless integration and consistency across the University of Maine System. This involves developing standardized protocols for course registration, credit transfer, and academic advising that are uniform across all participating institutions. By implementing these processes, the system aims to enhance collaboration, reduce administrative barriers, and provide a more cohesive educational experience for students enrolled in multi-university programs.

Substantial work has been done to produce policy documents and support documents that provide guidance on how to cross-link courses and handle multi-campus academic approvals. Exploration needs to be done to ensure that these policies are supported by the technology in place and that there are not barriers preventing implementation. Examples of existing resources include:

[APL on multi-campus academic approval](#)

[APL on cross-listed vs cross-linked courses](#)

[Cross-linked course guidance](#)

[TDX article on instructional modalities](#)

[University of Maine System Collaborations Website](#)

[AFUM contract regarding limitations on percentage of cooperative departments](#)

Timeline

Needs to be evaluated given the amount of work that already exists, and existing barriers need to be assessed.

Adult Degree Completion and Credentialing

Status: Ongoing

The University of Maine System's strategic goal for adult degree completion supports the state's aim for 60% of adults to hold a degree by 2025. This initiative focuses on creating accessible pathways with flexible options like

¹ University of Maine System, *Ums Strategic Planning Data Book* (2022), 40, <https://www.maine.edu/strategic-plan/wp-content/uploads/sites/193/2022/05/UMS-Strategic-Planning-Data-Book-Accessibility-Edits.pdf>.

online courses and competency-based education to accommodate working adults. The plan includes targeted marketing, tailored programming, and comprehensive support services, along with tracking industry certifications and licensure preparation to enhance employability and career prospects for adult learners.

Current Situation

The project is in the early stages of development in response to state legislation. KPIs are under development by the Board of Trustees to identify how progress will be measured. IT support in the future will be needed for data tracking and reporting, and adult learner enrollment tracks.

Timeline

By October 2024, UMS will finalize a summary of progress and next steps for its 2028 targets. Since May 2023, initiatives in adult degree completion, direct admissions, and transfer pathways have aimed to boost in-state and out-of-state enrollment. Marketing, recruitment, and new programming for adult degree completion launched at all seven universities in January 2024, with an update provided to the Board in May 2024.

7.1

Expansion of Online Programs

Status: Ongoing

The University of Maine System aims to significantly expand its online academic offerings by doubling the number of fully online programs by 2028. This strategic initiative will enhance accessibility and flexibility for students across the UMS, allowing them to pursue their educational goals regardless of their *home campus*. Additionally, by offering more online programs, UMS plans to increase enrollment through targeted recruitment efforts outside of Maine, attracting a diverse student body and broadening the system's reach.

In Fall 2022, UMS offered 162 online programs. By May 2024, 30 more were added, including both converted in-person and new online programs. The plan to meet the 2028 goal is to add at least 33 programs fully online programs annually over the next four years. IT support will be needed for Brightspace, and program integration into MaineStreet, and reporting.

Timeline

UMS aims to double its online offerings by 2028.

Career Relevant Experiences

Status: Ongoing

The University of Maine System (UMS) strategic goal to increase career-relevant **programs** experiences aims to ensure that **UMS offers employer relevant programs and** every student in every degree program has such experiences by 2028. This goal will be supported through structured learning opportunities, known as High Impact Practices (HIPs), which include internships, service-based projects, and related activities.

This effort is in the early stages of development. KPIs are under development by the Board of Trustees Strategic Planning Committee to identify how progress will be measured. IT support in the future will be needed for systemwide data tracking and reporting of job placement data for new UMS graduates.

Timeline

The implementation will start in spring 2024 and expand incrementally through 2028.

TRANSFER AND ARTICULATION AGREEMENTS

Due to a variety of factors, the University of Maine System is seeing both declining enrollments and declining transfers. Transfers from the Maine Community College System have declined by 28.7% over the last five years. Internal transfers are also down 11.7% over the same period.

Increasing transfer enrollments from outside the University of Maine System and supporting transfer credit within the system are both connected to the overall strategic goals of increasing enrollment and retention. Multiple efforts and goals are included in this objective which include tracking internal transfers, increasing external transfers from within Maine and across the nation, and increasing articulation agreements.

Transfer Policy Alignment

Status: Ongoing

During discovery sessions, the Unified Catalog Initiative project team, collected feedback from a cross section of faculty and academic support staff identified multiple pain points related to transfer policies and procedures both across institutions within the University of Maine System and from institutions outside of the system, such as students transferring from the Maine Community College System (MCCS).

The general recommendation was made to create a targeted set of policy and practice alignments to remove the following specific transfer barriers noted in the discovery:

1. Transfer difficulties between internal system institutions, particularly University of Maine at Farmington (UMF) and University of Maine at Presque Isle (UMPI) for both single courses and full transfer.
2. Resolving residency and cross-institution transfer issues related to multi-university programs where students have difficulty fulfilling residency requirements at their home institution due to transferred coursework.

At the most recent June 27, 2024, Strategic Planning Committee meeting, Carolyn Dorsey indicated that a list of approximately 30 transfer barriers was collected during the initial review process and that 8 or 9 of the original list of have been resolved. The committee discussion indicated that revisiting the topic to re-identify current transfer barriers, particularly internal transfer barriers is important to pursue.

Timeline

Adopt a set of the initial policy alignments across system universities in fall 2023. It is unknown the extent to which the policies related to internal transfer and residency issues related to cross-institution transfer were aligned. The discussion about reopening the exploration of internal transfer tracking and issues is new, the larger transfer strategic KPI has an evaluation deadline of fall 2026. The Strategic Planning Committee also notes that elimination of remaining structural barriers to transfer and course registration is dependent on completion of the Repaving MaineStreet project.

Focused Repaving MaineStreet Efforts

The Campus Solution Reimplementation team's transfer issue analysis and discovery sessions on transfer policies and practices revealed that there are complex software related and business process related reasons that impact the ability of the University of Maine to streamline transfer policies and practices quickly or easily. In the current state, using Campus Solutions as delivered, transfer credit will always be processed as if occurring from an outside institution, even if coming from within the system. Significant work is needed to address the following, with recommendations to consider an external vendor:

- Addressing degree audit rules for automatic transfer articulations
- Resolving pre-requisite rules for cross-institution enrollments and transfer credit
- Addressing repeat rule policy differences
- Building and supporting cross-institution articulation agreements
- Supporting advisors with tools/technology for managing cross-institution enrollments
- Resolving transfer credit impacts on financial aid
- Addressing single institution versus system level reporting implications of transfer credit requests

Articulation Agreement Development

Status: Ongoing

UMS has the strategic goal to increase active articulation agreements by 50% within the next academic year and implement regular review cycles to ensure they remain current.

Completing agreements like UMS-MCCS Maine Direct and UM Black Bear Advantage agreements are expected to increase transfer numbers in alignment with the strategic goals.

Maine Direct Transfer Pathway

Status: Launching

Transfer ME is a program that allows Maine Community College System graduates to transfer seamlessly to the University of Maine System. This pathway eliminates the traditional transfer application process, offering automatic admission to eligible students based on their academic performance. The program covers various associate degree programs and provides direct admission to relevant bachelor's degree programs at Maine's public universities².

In March 2024, UMS and MCCS agreed to launch the Maine Direct admissions program starting Fall 2024. This program offers MCCS students automatic admission to qualifying UMS programs upon completing 30 MCCS credits and their associate degree³.

Timeline

Rolling out now for fall 2024.

Early College Transfer Pathways

Status: Complete

In the Early College program, student career exploration pathways aligned with UMS college majors have been added to the ExploreEC application portal. This provides students with clear information on how their current courses apply to academic programs, ensuring a seamless transition to degree programs. This program speaks to the benefit of having transfer and articulation agreements integrated into the various transfer tools and portals available to potential students.

Current Situation

Rolled out now, the Early College Transfer Pathways program integrates student career exploration pathways into the ExplorEC portal, ensuring seamless transitions to UMS degree programs and highlighting the benefits of transfer agreements.

Access

Resources and guidance on how to use the ExplorEC Portal: [Apply for or Manage Classes with the ExplorEC Portal](#)

The ExplorEC Portal: <https://explorec.maine.edu/student/>

Timeline

Rolled out by March 2024 deadline

TECHNOLOGY & DATA INFORMED DECISION MAKING

UMS will implement advanced technologies to automate administrative processes and enhance efficiency. By integrating data analytics, the system will support data-driven decision-making, improving the delivery of

² University of Maine System, "Transferme," 2024, accessed August 07, 2024, <https://www.maine.edu/students/transferme/>.

³ Board of Trustees Strategic Planning Committee, June 27, 2024 - *Strategic Planning Committee Meeting Materials*.

initiative activities and overall institutional effectiveness. This approach aims to foster innovation and agility within the university system.

Raptor Integration

Status: Ongoing

The implementation of Raptor, a new product aimed at improving student records and transfer processes, and the introduction of Parchment, a credentials management software system aligned with Raptor, will automate, and enhance the processing of college transcripts and credential management across the system. These tools are designed to streamline administrative tasks and improve overall efficiency.

Current Situation

Raptor is live and operational in the Campus Solutions environment. Most integration work with Perceptive Content is complete, pending final backend connections. Full functionality, including automatic transcript processing, is still in progress. Staff training sessions are ongoing to ensure smooth adoption and efficient use of the system.

Timeline

- August 7, 2024: Raptor goes live in the production environment for Campus Solutions.
- Ongoing: Final backend connections for Perceptive Content integration are being completed.
- Ongoing: Training sessions for staff are being conducted, with additional sessions planned to address initial sign-in issues and provide further guidance on system usage.
- Pending: Full functionality, including automatic processing of transcripts, will be operational once Perceptive Content integration is finalized.

Parchment Integration

Status: Ongoing

The Parchment integration effort involves installing Parchment Award – Transcript Services and automating the process through integration with the PeopleSoft Connector. This integration aligns with UMS strategic goals by enabling single sign-on (SSO) for current students and self-registration for alumni, facilitating the electronic and printed distribution of transcripts, and removing barriers to transfer and course registration through advanced technology integration.

Current Situation

As of the current date, the Parchment integration project is in the Planning/Design phase, having completed the kickoff meeting on Monday. Over the next 2-3 weeks, the team will focus on completing the welcome kit, initial meetings, and obtaining necessary sign-offs. The typical timeline proposed by the vendor is a 12 week sprint, with a target go-live December 9, 2024. However, this does not take into account any technical assessment findings (related to customizations), competing priorities, or academic black-out periods.

Timeline

- Kickoff: August 5, 2024
- Planning/Design (2-3 Weeks): Complete initial meetings and obtain sign-offs
- Configuration (3-4 Weeks): Set up Parchment Storefront and deploy connector
- Testing (3-4 Weeks): Conduct admin training, UAT, and migrate to production
- Go-Live (1 Week): Post storefront link and obtain go-live acceptance
- Expected Completion: TBD

New Data Tracking & Reporting

Status: Ongoing

Multiple new initiatives related to increasing transfer and enrollment including adult degree completion, system wide graduate job placement, micro-credentialing, tracking internal transfers and degree completions across institutions beyond what is required for IPEDs⁴ will introduce new data into the UMS system that does not exist today that will have implementation, tracking and reporting needs. Many of these connect directly to KPIs under current development by the Board of Trustees and the Strategic Planning Committee.

These new initiatives have KPIs and measurements that are under development or need to be developed either as part of Board of Trustees and strategic planning activities or UCI KPIs that need to be developed to measure progress.

Timeline

The timeline for each of these data tracking endeavors needs to be assessed.

Training on New Tools

Status: Ongoing

New tools will require training to get staff up to speed and maximize efficiency. For example, training on Raptor and Parchment would enable staff to efficiently manage and process college transcripts and related documents. This training ensures that staff can effectively use these tools to streamline transcript handling, reduce processing times, and improve accuracy in document management.

Staff training sessions for the Raptor system are ongoing, addressing initial sign-in issues and providing guidance on system usage to ensure smooth adoption. For the Parchment integration, training will commence during the Testing phase, scheduled to start in a few weeks, to prepare administrators and users for the new system.

Timeline

- **Ongoing:** Staff training sessions for Raptor, addressing initial sign-in issues and system usage.
- **Upcoming (3-4 Weeks):** Admin training and User Acceptance Testing (UAT) for the Parchment system
- **Future:** Additional training sessions to ensure full functionality and smooth transition to the new systems.

TRANSPARENCY AND CONTINUAL IMPROVEMENT

Establish Key Performance Indicators (KPIs)

Status: Ongoing

Establish key performance indicators (KPIs) to measure the success of the Unified Catalog Initiative, aligning them with existing strategic-level KPIs. These KPIs should include metrics on course search usage, the effectiveness of transfer agreements, and processing times for college transcripts and credentials. By integrating these metrics with current strategic KPIs, UMS can ensure consistent tracking and improvement, thereby enhancing the overall efficiency and effectiveness of the initiative.

Current Situation

Some KPIs relevant to UCI efforts exist as part of the strategic plan, and some are under development by the Board of Trustees Strategic Planning Committee. Additional KPIs will need to be developed to measure success of specific UCI efforts.

Timeline

This needs to be assessed for UCI specific KPI development. KPIs from the Board of Trustees will be reported on again in October 2024.

⁴ UMS Board of Trustees, "Strategic Planning Committee Meeting - June 27, 2024."

Monitor and Adapt Strategies

Status: Ongoing

Continuously monitor strategies and outcomes to ensure alignment with the University of Maine System's strategic goals. This involves regular data collection and analysis to track progress against established KPIs. Transparency in reporting is crucial, providing stakeholders with clear insights into performance and areas needing improvement. As new data and insights are gathered, strategies will be adapted and refined to address challenges and leverage opportunities effectively, ensuring the initiatives remain responsive to changing needs and conditions.

This is directly connected to the development of KPIs in the previous effort. KPIs need to be developed before they can be tracked. Communication across stakeholders will need to be planned given the wide range of efforts under the UCI umbrella.

Timeline

This needs to be assessed in tandem with KPI development.

Additional Recommendations

The recommendations section outlines key strategies for advancing the Unified Catalog Initiative (UCI) within the University of Maine System (UMS). Based on thorough evaluation, these recommendations focus on enhancing universal course visibility, aligning academic policies, supporting multi-institution programming, and streamlining transfer agreements. Emphasis is placed on automation, data-informed decision-making, and transparency to improve the educational experience for students. Continuous stakeholder engagement, rigorous monitoring, and comprehensive training are also prioritized to ensure the initiative's sustained success.

Degree Planning Report Implementation

Status: Ongoing

The University of Maine System (UMS) is utilizing PeopleSoft Degree Audits and the Degree Planning Report tool as part of its effort to standardize and verify degree information across all institutions. This degree audit tool is essential for ensuring the accuracy and consistency of degree requirements, course prerequisites, and academic policies within the UMS system. By providing detailed audits of degree programs, the tool helps institutions identify discrepancies, streamline degree pathways, and ensure that students have a clear and accurate understanding of their academic progress.

Current Situation:

Degree Audits have already been implemented across all UMS universities, with each institution using them to evaluate a student's progress towards completing the requirements of their degree program. Progress on the PeopleSoft Degree Planning Report tool varies by institution; some universities are further along in the process, while others continue to address issues related to data accuracy and system alignment. This cleanup effort is critical for ensuring that all degree programs are correctly represented and that students receive reliable guidance on course requirements and degree completion.

Timeline:

The goal is to complete the degree information cleanup across all institutions by Spring 2025. This timeline is crucial as the successful completion of this effort is a prerequisite for launching the broader Degree Planner tool to students. Key milestones include ongoing audits and corrections throughout the 2024-2025 academic year, with regular progress checks to identify and address any remaining issues. Institutions are expected to finalize their degree data verifications by the end of Spring 2025, ensuring a seamless transition to the student-facing

Degree Planner.

Completing the Degree Planning Report implementation is a vital step in UMS's strategy to enhance academic planning and support student success. By ensuring that degree information is accurate and up-to-date, UMS will be better positioned to deploy the Degree Planner, providing students with a reliable tool to navigate their academic pathways and make informed decisions about their educational journeys.

Course Auditor Implementation

Status: Planning and Initial Configuration

The University of Maine System (UMS) is implementing a Course Auditor system to provide a streamlined and comprehensive approach to auditing courses across all institutions within the system. This tool will enable UMS to efficiently evaluate course prerequisites, assess completion criteria, and ensure that courses meet degree requirements, enhancing the overall academic planning process for students and advisors alike. By offering a unified view of course applicability, the Course Auditor aims to reduce administrative barriers, support seamless credit transfers, and improve student outcomes.

Current Situation:

The Course Auditor is currently in the planning and initial configuration stages. This tool is designed to automatically review and audit student coursework against degree requirements, offering students and advisors real-time feedback on how completed and in-progress courses fulfill specific academic goals. The system will provide detailed reports and actionable insights, allowing for early identification of any course-related challenges or gaps in student degree plans. The auditor will also help ensure compliance with academic standards and policies across the UMS institutions, promoting consistency and accuracy in course evaluations.

Timeline:

We expect the Course Auditor to go live by the end of Spring 2025, after pilot testing phase to ensure system reliability and user acceptance. Training sessions for academic staff and advisors will be conducted during the Spring semester to equip them with the necessary skills to leverage the tool effectively. The full implementation across all UMS institutions will occur by the end of Spring 2025, with continuous monitoring and updates based on user feedback and performance metrics.

This Course Auditor will play a vital role in enhancing the student experience by providing clarity and efficiency in degree planning, helping students make informed decisions about their course selections, and ultimately supporting their timely progression towards graduation. The degree planning tool will only be effective after the course auditor and degree audit implementations are completed.

Degree Planning System Implementation

Status: Planning Phase

The University of Maine System (UMS) is implementing a comprehensive enhanced degree planning system that will operate across all institutions within the system. This initiative aims to provide students with a unified platform to view how courses from any UMS university can be applied to their degree programs, thus facilitating more efficient degree planning and course selection. By enabling cross-institutional visibility and planning, the system supports UMS's strategic goals of enhancing student success, reducing time to degree completion, and increasing retention and enrollment through streamlined academic pathways.

Current Situation:

The project is currently in the planning phase, with initial evaluations and configurations underway. The degree planning system is designed to reside within our student information system, allowing for real-time updates on course offerings, prerequisites, and degree requirements. This integration will support students in making

informed decisions about their academic journeys, particularly those engaged in multi-university programs or exploring transfer options within the UMS. The system will also provide advisors with enhanced tools to guide students through personalized academic planning, aligning course selections with career goals and academic requirements.

Timeline:

The implementation of the degree planning system is set to begin in early 2025, with pilot testing expected at select universities within the UMS. Full rollout across all institutions is targeted for the Fall 2025 semester, contingent on successful integration and user training outcomes. Key milestones include the completion of system integration testing by mid-2025, training sessions for academic advisors and staff in the summer of 2025, and a full system launch by the start of the 2025 academic year. Progress updates and initial feedback will be reported to the Board of Trustees in late 2025, with further enhancements and system optimizations planned based on user feedback and system performance evaluations.

This degree planning system will be a critical tool in UMS's commitment to providing a more cohesive and transparent academic experience, helping students navigate their educational pathways across the entire university system.

Data Integration and Management Enhancement

Status: Planning Phase

The University of Maine System (UMS) IT department is embarking on a critical initiative to mature its data integration and management capabilities across all institutions. The current limitations in data handling between systems have been identified as the primary barrier to faster adoption of innovative solutions and overall IT agility. To address these gaps, UMS intends to implement Boomi's Intelligent Integration & Automation Capabilities, which will streamline processes, enhance data synchronization, and foster a more data-driven operational environment.

Current Situation and Gaps to be Addressed:

UMS IT currently struggles with several challenges, including manual data processes, fragmented data management, and inefficient integration across multiple systems. These issues contribute to delayed decision-making and hinder the university system's ability to respond dynamically to changing needs. The following gaps have been identified as critical areas for improvement, which Boomi's platform will address:

Lack of Automation in Manual Processes: Many data-related tasks are still performed manually, leading to inefficiencies and increased risk of errors. Boomi will automate these manual processes, allowing IT staff to focus on strategic activities rather than routine data management tasks.

Inefficient EDI/B2B Transaction Integration: UMS's current methods for handling EDI/B2B transactions are outdated and lack the flexibility needed to support a modern trading partner network. Boomi's platform will integrate these transactions and modernize the network, facilitating more efficient and reliable data exchanges.

Fragmented Data Synchronization Across Applications: Currently, critical business data is often out-of-sync across different applications, leading to inconsistencies and unreliable data insights. Boomi will provide a unified approach to synchronize data across all applications, ensuring that information is current, accurate, and accessible for decision-making.

Limited API Management Capabilities: The existing infrastructure lacks robust API management, making it difficult to establish new controls and services that enhance data interoperability. Boomi's platform will create and manage APIs, simplifying the deployment and oversight of data services across UMS.

Absence of Web-Native Applications for Data Interaction: UMS currently lacks user-friendly tools for business users to interact with data, such as dashboards or customizable reports. Boomi's low-code capabilities will enable the development of web-native applications, empowering users to engage with data more effectively and derive actionable insights.

Timeline:

The implementation of Boomi's integration and automation platform is scheduled for completion by Spring 2025 (ideally even sooner) which is critical for supporting UMS's strategic IT initiatives. The initial setup and pilot phase will begin in Fall 2024, with full deployment and training expected to occur throughout the 2024-2025 academic year. By the end of Spring 2025, UMS aims to have a fully operational data integration framework that will support subsequent projects.

Through the adoption of Boomi's platform, UMS IT will improve current data integration challenges but also lay the foundation for ongoing innovation, enabling a more agile and responsive IT environment that aligns with the university system's strategic goals.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Educate Maine – Maine Mobile BioLab Sponsorship

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

N/A

UNIFIED ACCREDITATION CONNECTION:

University of Maine System leadership is committed to fostering collaboration and synergy among its universities by seeking ways to help them share resources, streamline messaging, achieve greater efficiency, and maintain consistency in their operations. This partnership was developed to be a system-wide initiative with all campuses participating.

PURPOSE: To present Educate Maine’s Mobile BIOLAB to the UMS Trustees, explain strategic objectives of the sponsorship in relation to UMS and Board priorities, and encourage Trustees to support future financial requests relating to this work.

BACKGROUND:

Acting Vice Chancellor for Strategic Initiatives (VCSI), Carolyn Dorsey, will be joined by Jason Judd, Executive Director of Educate Maine, to provide background on an exciting initiative that the University of Maine System is partnering on with Educate Maine – the Maine Mobile BioLab.

The University of Maine System (UMS) has been invited to collaborate with higher education institutions (such as the Roux Institute and the Maine Community College System) and Maine-based businesses and organizations (including IDEXX, Maine & Co., Jackson Laboratories, MaineHealth, and Focus Maine) to help develop a more robust life sciences ecosystem. A key focus of this effort is expanding educational opportunities for K-12 students, college students, and working learners. Creating pathways for Maine’s middle and high school students into degree programs, particularly in STEM fields, is essential to this work.

The partnership between UMS, Educate Maine, and the Maine Mobile BioLab directly supports the UMS mission and the goals of the broader collaborative by engaging middle school students early on, especially those in rural and under-resourced communities. By fostering an interest in STEM, this initiative strengthens the future pipeline of students who may eventually enroll in UMS, positively impacting long-term enrollment and revenue. Moreover, Maine faces significant challenges in developing a skilled workforce, particularly in STEM fields. This initiative aligns with statewide workforce development goals, which are crucial to supporting the state’s economic health.

Attachment
[BIOLAB One Pager](#)

EDUCATE MAINE



MAINE MOBILE BIOLAB



8.1

Bringing Innovative Opportunities to Learn About Bioscience in Maine

A state-of-the-art mobile science lab that will meet students where they live and learn, engaging them in the life sciences with an emphasis on rural and under-resourced communities.

Leveraging the strengths of Maine's life science ecosystem, the BIOLAB creates a unique opportunity for students to learn about meaningful, in-demand careers that allow them to live, study, and work in Maine.



450+ LIFE SCIENCE COMPANIES IN MAINE



INTEGRATED LESSONS ACROSS LIFE SCIENCE AND STEM FIELDS



9,000+ LIFE SCIENCE JOBS IN THE STATE AND GROWING



DOZENS OF UNIVERSITY SYSTEM PROGRAMS CONNECTED TO STEM

AUGUST 2024

PILOT IMPACT SUMMARY



REACHING ALL 16 COUNTIES BY JUNE 2025

www.mainemobilebiolab.org

Kate Howell Director, Workforce Partnerships
kate@educatemaine.org



University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Budget Increase - E-Sports Arena Construction in Lower Brooks Dining Hall, USM

CAMPUS PRESENTER(S): Dr. Jacqueline Edmondson, President; Justin Swift, Chief Business Officer and Vice President for Finance & Administration

INITIATED BY: Dannell P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION: N/A

UMS STRATEGIC PLAN CONNECTION:

Commitment 4; Goal 3.2: Support community social and cultural gatherings and events to promote collegiality, fun, and a sense of institutional affiliation. This project, when complete, will provide a space for students, especially those in the club sport team which makes up approximately 100 students and continues to grow. This activity fosters belonging, interaction, and community among students. Not only does this enhance the space and utilization of this space, but also through community building and establishing belonging, increases student retention.

BACKGROUND:

a. Summary of the request

The University of Maine acting through the University of Southern Maine (USM) requests a budget increase from \$750,000 to \$1,625,000 for the renovation of space in lower area of the Brooks Dining Hall on the Gorham campus for a E-Sports Arena to support the growing club sport team which makes up approximately 100 students. This project was originally approved by the Finance, Facilities, and Technology Committee at a budget of \$750,000 at their January 2024 meeting. After bidding this out, the project was significantly over budget. The University redesigned the space and hired a construction estimator to further refine the project cost.

This resolution also enables USM to enter into an internal loan with UMS to cover the additional project costs while the USM Foundation raises the funds over a three-year period. USM requests an internal loan of \$875,000 to fund those costs that will be reimbursed when philanthropy funds are raised.

The renovation includes new flooring, HVAC upgrades, FF&E, computer, and console gaming spaces for approximately 18 personal computer (PC) players and 6 console players with seating to host up to 24 players and spectators.

08/30/24

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 Full Board for consideration.

The project budget is estimated at \$1,625,000. The funding for the budget increase will come from an internal System loan in the amount of \$875,000 paid back with philanthropy funds over a three-year term. University would reallocate E&G funds from FY26 and later if the USM Foundation does not meet their projected fundraising.

c. Confirmation of whether the project was included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees.

N/A

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

The E Sports team is growing and competing in tournaments. The renovation and addition of state-of-the-art equipment will help with retention and overall student experience at USM. The possibility of state championships being held at USM in the future is also a possibility - bringing future USM students to campus.

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

Currently students are competing in tournaments from their dorm rooms. The addition of this arena will improve the overall experience on campus and allow the e-sports team to be competitive with other Universities in their division.

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

No change in net square footage. There will be an increase in electrical usage for the space because of the upgraded HVAC and computer stations needed for an E-sports arena.

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

N/A

h. Alternatives that were considered to meet the need being addressed by this project:

The alternative was to use E&G Capital funding which would have taken away from deferred maintenance for other projects. This project is possible because of gift funds received specifically for this project from a donor. The campus also expects improvements to student recruitment and

08/30/24

retention because of this project. In the unlikely event philanthropy funding falls short, the campus is committed to directing revenue from any enrollment increases to ensuring the debt service payments for the project are fulfilled. One-half percent increase in enrollment will cover the estimated full annual debt service.

i. Timeline for start, occupancy, and completion:

Design completed in July 2024. Construction starts Fall 2024, with occupancy in August 2025.

j. 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.

N/A

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

N/A

The Finance, Facilities and Technology Committee approved this item to be forwarded to the September 15-16, 2024 Board of Trustees meeting, for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Finance, Facilities and Technology Committee and authorizes the University of Maine System, acting through the University of Southern Maine to increase the budget from \$750,000 to \$1,625,000 to be funded through a UMS loan of up to \$875,000 for the renovation of the lower area of the Brooks Dining Area for an E-Sports Arena located on the Gorham campus of the University of Southern Maine.

08/30/24

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Kelley Commons Boiler Replacement

CAMPUS PRESENTER: President Raymond Rice and Betsy Sawhill Espe, CBO

INITIATED BY: Dannell P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

Board of Trustees Policy 701, Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

The University of Maine System and all the University members are committed to our oversight and support of the facilities on our campuses. Whether as an element of our annual budget or as a specially funded capital project, the University of Maine at Presque Isle is committed to addressing the needs and requirements in all our buildings.

UMS STRATEGIC PLAN CONNECTION:

Over the last 30+ years, the University of Maine at Presque Isle has relied upon the boilers originally installed in Kelley Commons. They are beyond their lifespan and require replacement. Upgrading the boilers is crucial to maintain our ability to provide meals and heat for all our residents.

This project supports Principle 8: Modernize aging facilities and improve organizational infrastructure while preserving our history and supporting future strategic initiatives. It also aims to satisfy Financial Sustainability Goal 3.3 to "identify reductions in energy consumption" and Effective Infrastructure Goal 1.1 to address system-wide physical plant needs.

BACKGROUND:

- a. **Summary of the request** Engineer, design and install new boilers and HVAC system for the Kelley Commons building.
- b. **Overall requested budget and funding source(s):** We have the engineering plans in place but need to go out to bid in order to confirm the cost of the project. Replacement costs are estimated to be up to \$1.5 million. We have \$625,000 currently budgeted. Additional funding will be derived from the Skyway proceeds (approximately \$640,000) and the remainder \$235,000 will come from the expected budget surplus.
- c. **Is the project included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees? If not, please explain**

08/30/24

- why.** This project was identified on the FY24-FY25 5-year capital plan and the most recent 1-year capital plan developed for FY25.
- d. **Detailed explanation of rationale for project and metrics for success of the project (ROI or other)** The Kelley boiler project is a relatively large complex boiler and HVAC upgrade. This upgrade will be replacing the two 1967 low-pressure steam #2 fuel oil boilers with two new high-efficiency propane boilers. This project will also remove the underground #2 fuel oil tank that was installed in 1996 and replace it with a propane tank. The HVAC system servicing the kitchen and dining room will also be replaced with new high-efficiency units providing a more comfortable environment. The new high-efficiency units will not only save money on energy usage but will also lower our CO2 emissions.
- e. **Explanation of the scope and substance of the project as needed to supplement (a) through (d) above. Note: scope includes an explanation of community impact, how the project ties to the University's mission, etc.**
- f. **Changes, if any, in net square footage or ongoing operating costs resulting from the project** No changes required.
- g. **Alternatives that were considered to meet the need being addressed by this project** We have looked at the installation of multiple kinds of boilers. This is the most effective and least costly.
- h. **Project Timeline for: 1. Start 2. Occupancy and 3. Completion** We would like to initiate the bid process in September with a target project start date of May 2025, immediately following Graduation.
- 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.** None known
- j. **Additional information that may be useful to consideration of the item.** This project is included in our FEMA Hazard Mitigation Plan, committing to upgrading UPMI heating systems to provide more reliable heat, especially during winter storms.

Note: For items over \$5M, indicate when the item was originally presented as an information item. N/A

The Finance, Facilities and Technology Committee approved this item to be forwarded to the September 15-16, 2024 Board of Trustees meeting, for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees, authorizes the University of Maine System, acting through the University of Maine at Presque Isle to spend up to \$1.5 million to replace two boilers in Kelley Commons.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Budget increase for Mallett Hall Renovation Project, UMF

CAMPUS PRESENTER(S): Joseph McDonnell, President; Laurie A. Gardner, CBO

INITIATED BY: Dannell P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

N/A

UMS STRATEGIC PLAN CONNECTION:

Commitment 2, Goal 3.2: This project when complete, will support community, social, and educational activities by addressing the accessibility of the bathrooms, upgrading plumbing fixtures, and creating ADA accessibility in Mallett Hall.

BACKGROUND:

The University of Maine System, acting through the University of Maine at Farmington (UMF), requests authorization to increase the total project budget by \$500,000 to finish the renovation of Mallett Hall. This increase is requested due to unforeseen structural issues discovered during demolition.

a. Summary of the request

The University of Maine System, acting through the University of Maine at Farmington (UMF) requests authorization to increase the total project budget by \$500,000 to finish the renovation of Mallett Hall. This increase is requested due to unforeseen structural issues discovered during demolition.

b. Overall requested budget and funding source(s):

The original budget for this project received full board approval on July 10, 2023. The additional \$500,000 requested to complete this project is also funded through the state annual capital improvements commitment.

c. Is the project included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees? If not, please explain why.

This project is on the capital plan previously approved by the Trustees and is currently on the state annual capital improvements project list for UMF. This project transforms the bathrooms of one of our oldest residence halls into single users, moves the laundry from the basement to the first floor, and creates an ADA-accessible floor in the building.

08/30/24

d. Detailed explanation of rationale for project and metrics for success of the project (ROI or other)

Mallett Hall is one of UMF's oldest residence halls and houses 105 students. The increase in the project budget will allow the completion of the restroom renovation, bring the building up to code, and will reduce work orders for pre-renovation plumbing issues that were due to failing pipes.

e. Explanation of the scope and substance of the project as needed to supplement (a) through (d) above. Note: scope includes an explanation of community impact, how the project ties to the University's mission, etc.

The project increase allows for the replacement of failing structural floor joists found during the demo of existing restrooms; the project removes all existing plumbing infrastructure throughout the building, removes existing restroom floor joists, and configures the layout to allow single-user resulting in a better use of the space. It also makes all first-floor areas ADA-compliant.

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

This project will not reduce square footage but will create savings by reducing the work orders generated from the building due to failing plumbing infrastructure. It will also capture energy savings from the installation of new equipment that is energy efficient and matches our ongoing ESCO project on campus.

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

The \$500,000 budget increase is due to unforeseen structural deficiencies underneath the subfloor and from past renovations in the building leaving the floor joist compromised and not meeting code. Replacement is necessary to continue moving the project forward to reach our opening goal for the Fall 2025 move-in.

h. Project Timeline for: 1. Start 2. Occupancy and 3. Completion

Approval of the project budget increase will allow the construction to be completed by April 26, 2025, to house students for the Fall 2025 school year.

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.

No further funding requests are anticipated; this funding is needed to complete the project.

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

Note: For items over \$5M, indicate when the item was originally presented as an information item.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the September 15-16, 2024 Board of Trustees meeting, for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Finance, Facilities, and Technology Committee and authorizes the University of Maine System, acting through the University of Maine at Farmington to increase the construction budget up to \$500,000 making the total project budget

08/30/24

\$3,200,000 to renovate the restrooms and replace the failing plumbing infrastructure at Mallett Hall.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Sustainable Aquaculture Workforce and Innovation Center (SAWIC), UM

CAMPUS PRESENTER(S): Joan Ferrini-Mundy, President and Vice Chancellor for Research & Innovation; Kelly Sparks, Vice President for Finance and Administration & Chief Business Officer

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 - Budgets, Operating & Capital

UNIFIED ACCREDITATION CONNECTION:

The Sustainable Aquaculture Workforce and Innovation Center (SAWIC) at the University of Maine directly supports NECHE Standard 6.20: “Consistent with its mission and purposes, the institution provides support for scholarship, research, and creative activities. Faculty and students undertake research to an extent reflective of the level and nature of the degrees awarded. Policies and procedures related to research are communicated throughout the institution.” This project aligns with the unified accreditation principles outlined for the University of Maine System by fostering collaboration and integration among the system's universities. It does not involve merging or closing campuses and programs but enhances collaborative efforts across academic and scholarship programs focused on aquaculture.

UMS STRATEGIC PLAN CONNECTION:

The Sustainable Aquaculture Workforce and Innovation Center (SAWIC) at the University of Maine supports Research Action 1, “UMS will further establish and invest in system-wide infrastructure to grow the research and development enterprise at our universities,” and Research Action 2, “Develop and incentivize cross-university collaboration in research and scholarship to attract new learners engaging in faculty-mentored learning.” SAWIC will provide authentic research experiences to undergraduate and graduate students, align curricula with career needs, and offer diverse educational programs to ensure access for all learners. By creating new knowledge and applying innovative research, SAWIC aims to move products from concept to commercialization and produce graduates ready to contribute to the aquaculture sector's knowledge economy.

SAWIC also supports Research Action 4, “Serve as an engine for innovation for Maine businesses, non-profits, state, and local governments, communities, and the K-12 schools,” as growing and advancing partnerships is a core focus of SAWIC as it collaborates with stakeholders to address needs, innovate for the future, and align resources to expand opportunities for students and communities.

08/30/24

BACKGROUND:**a. Summary of the request**

The University of Maine System, acting through the University of Maine (UMaine), requests to increase the authorization to expend an additional \$9,565,000 for the construction and completion of an approximately 14,200 square foot facility to house Sustainable Aquaculture Workforce and Innovation Center (SAWIC). The Board of Trustees approved \$1.5 million in July of 2024 for the continued design of SAWIC; thus, this additional request would bring the total approval to expend up to \$11,065,000. This request is pursuant to Board policy 701, which requires Board approval for projects with a value of \$500,000 or greater.

b. Overall request budget and funding source(s):

Funding sources for the \$11,065,000 have been secured for SAWIC through multiple funding sources, outlined below.

- Maine Jobs & Recovery Plan (\$3,335,000), put forth by Governor Janet Mills and supported by the 130th Maine Legislature to invest in the state's share of the federal American Rescue Plan relief funds, including in the University of Maine System workforce development.
- Fiscal Year 2024 Congressionally Directed Spending (\$6,930,000) secured by U.S. Senator Susan Collins, Vice Chair of the Senate Appropriations Committee, and U.S. Senator Angus King.
- Additional funding includes:
 - Builders Initiative for \$300,000.
 - U.S. Department of Agriculture-Agricultural Research Service Non-Assistance Cooperative Agreement (USDA-ARS NACA) for \$350,000.
 - UMaine Cooperative Extension for \$50,000.
 - UMaine Office of Strategic Partnerships, Innovation, Resources, & Engagement (SPIRE) for \$50,000; and
 - UMaine Office of the Vice President for Research & Dean of the Graduate School (OVPRDGS) for \$50,000.

c. Is the project included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees?

This project is included in the 1-year capital plan most recently approved by the Trustees.

d. Detailed explanation of rationale for project and metrics for success of the project (ROI or other)

SAWIC is squarely aligned with the Comprehensive Economic Development Strategy (CEDS) for central and eastern Maine, where aquaculture is identified as a niche sector within the Emerging Innovation target industry cluster. The statewide Maine economic development strategy focuses on recruiting and training talent for opportunities in aquaculture and its "support services, such as fin fish vaccines, testing for exports, and veterinary support to grow ancillary economies." (p. 6).

SAWIC's impact can be further measured by various key performance indicators (KPIs) and impact metrics, including economic impact, return on investment, innovation and research impact, workforce development impact, and educational impact. Our focus areas revolve around promoting comprehensive training in aquaculture system operation for students and conducting innovative research to propel the aquaculture industry forward.

By analyzing these impact measurements, SAWIC can effectively demonstrate its progress, achievements, and contributions toward fostering sustainable and innovative practices in the aquaculture sector.

e. Explanation of the scope and substance of the project as needed to supplement (a) through (d) above. Note: scope includes an explanation of community impact, how the project ties to the University's mission, etc.

The structural scope includes design and detailing of a new structure to house an aquaculture teaching and research facility. The structure is expected to be a high-bay Pre-Engineered Metal Building (PEMB) that is approximately 80 ft. wide and 65 ft. long with a cast-in-place concrete foundation. A mechanical mezzanine is planned within the high-bay portion of the building, with a long edge along the exterior wall. A smaller portion of the building, approximately 45 ft. long and 80 ft. wide for classroom and office areas, is planned to be formed with a low roof; this portion of the structure may be framed with smaller PEBM bents or as a conventional wood frame. The total square footage is 14,200 sq ft with room for expansion to 20,000 sq. ft.

In line with our commitment to advancing aquaculture research and development in the state of Maine, SAWIC will feature innovative non-building equipment designed by Innovasea to support our core objectives. The equipment within SAWIC is strategically designed to cater to different life stages of fish, enabling optimal experimental designs and seamless integration into our educational programs.

In addition to supporting the UMS strategic plan as outlined above, ARI has existing programming that expands aquaculture education access to Indigenous students, supporting UMaine's Diversity, Equity, and Inclusion Initiatives including the USDA-funded Aquaculture Experiential Opportunities for Undergraduate Students and the Integrating Indigenous and Western Science through Applied Aquaculture (AquEOUS), a fellowship where students approach applied aquaculture research through traditional ecological knowledge. Faculty will also mentor fellows on the Orono campus using SAWIC systems. The SAWIC programming will also collaborate with Educate Maine's Equity in Internships Program (EQUIP), which works to remove barriers to experiential learning opportunities for black, Indigenous, and people of color (BIPOC) students.

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

The project includes approximately 14,200 square feet of additional space with room for expansion to 20,000 square feet. Operating costs will be paid primarily through indirect cost recovery from grants and industry services.

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

Alternative solutions included locating the research within existing facilities; however, due to the size of the fish tanks and special building systems, no existing facility could accommodate these needs.

h. Project Timeline for: 1. Start 2. Occupancy and 3. Completion

The project is currently under design, with anticipated construction to start in the fall of 2024, with completion and occupancy anticipated at the end of 2025 or early 2026.

- 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.**

N/A

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

The University previously housed similar research in the approximately 13,500-square-foot Aquaculture Research Center (ARC). ARC was one of the many barns on the south side of campus and utilized as a chicken barn. In 1970, the barn was renovated and became the Aquaculture Research Center. Over the next fifty years, the facility conducted countless aquaculture-related research activities. However, over those fifty years, the facility slowly deteriorated due to the high humidity of the aquaculture tanks. The facility closed in the fall of 2021, and in the spring of 2022, it was demolished. A rendering of the proposed facility is provided.

The Finance, Facilities and Technology committee approved this item to be forwarded to the September 15-16, 2024 Board of Trustees meeting, for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Finance, Facilities, and Technology Committee and authorizes the University of Maine System, acting through the University of Maine, to increase the authorization to expend an additional \$9,565,000 for a total expenditure of up to \$11,065,000 for the construction and completion of an approximately 14,200 square foot facility to house Sustainable Aquaculture Workforce and Innovation Center (SAWIC).

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Maine Graduate and Professional Center (“The Maine Center”) Building Renovations

CAMPUS PRESENTER(S): Seth Goodall, CEO, Maine Center Ventures, and Executive Director, The Maine Center

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY: Board Policy 701, Operating and Capital

UNIFIED ACCREDITATION CONNECTION:

The Maine Center is focused on supporting multiple universities and academic programs by creating a center that fosters collaboration among students, faculty, staff, and the community with statewide impact.

UMS STRATEGIC PLAN CONNECTION:

The Maine Graduate and Professional Center (“The Maine Center”) building renovations connects directly with multi components of the UMS Strategic Plan, including but not limited to:

- Commitment 1, Research Actions, Action 1: UMS will further establish and invest in system-wide infrastructure to grow the research and development enterprise at our universities
- Commitment 2, Effective Academic Portfolio Actions, Action 1: Develop innovative programs and curricula responsive to changing economic and workforce needs, data-driven projections of growth areas, and technological innovation.
- Commitment 5, Unified Accreditation Actions, Action 2: UMS will support the development of new multi-university academic programs.

BACKGROUND:

a. Summary:

The Maine Center is seeking approval to spend \$650,000 from existing UMS Capital Improvement Funds (CIF) to launch design work, renovations and needed capital improvements at the Maine Center in Portland, Maine. The Maine Center expanded from 300 Fore Street into 7 Custom House Street in the end of 2023. Significant renovations are required at 7 Custom House and additional capital expenditures remain in 300 Fore Street

and/or are required to connect both buildings. Design and engineering work must be completed to identify priorities, costs and sequencing of construction due to the building's condition and it being occupied. The requested funds will pay for the initial phase of design, engineering and immediate capital improvements. The Maine Center will return to the BOT for additional approvals for future phases of construction and capital improvements once the project design is complete and the construction schedule is determined.

b. Overall requested budget and funding source(s).

\$650,000 from CIF. There is currently approximately \$6.1M available in CIF earmarked for the Maine Center. This request will draw down these funds. This project is also supported by \$2.4M in Congressionally Directed Spending that has been approved and will be released by the U.S. Small Business Administration to UMS for the Maine Center on October 1, 2024, resulting in approximately \$8.5M total for improvements. The overall budget will be determined once the design and engineering phase is complete and estimates of costs are assigned. Additional fundraising is anticipated for future phases of construction and improvements to the Maine Center.

c. Is the project included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees? Yes.

d. Detailed explanation of rationale for project and metrics for success of the project:

The primary rationale for this project is based on the \$55M commitment from the Harold Alfond Foundation (HAF) to the Maine Center as part of UMS TRANSFORMS. The HAF grant includes \$40M to purchase the buildings at 300 Fore Street and 7 Custom House Street, and \$15M for faculty, scholarship and programming. The HAF grant does not provide funds for capital improvements. Funding for improvements to "facilities and infrastructure" under the HAF grant are specifically the responsibility of UMS through qualified "match" of at least \$30M. To date, approximately \$20.5M has been raised and/or spent on "facilities and infrastructure".

The \$650,000 funding request will enable the design and engineering work, along with necessary immediate capital improvements, to begin at 7 Custom House Street so that the buildings are renovated in line with the co-vision of the donor and UMS.

The secondary rationale is that this expense will help expedite the planning, design and, ultimately, renovation of 7 Custom House Street so that the Maine Center will become a hub of interdisciplinary graduate education, professional development and executive education, entrepreneurship and innovation, and a center of convening in the state's commercial hub.

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

The scope and substance of the project tie to the UMS Strategic Plan and UMS TRANSFORMS as above mentioned, while also elevating UMS' role in the innovation economy and responsiveness to the emerging needs of state and its workforce. This phase of

the project will begin the process to expand the Maine Center into a world-class facility that hosts industry and community partners, provides entrepreneurial and workforce solutions, and advances R&D activity, especially from UMS' flagship and RI university – the University of Maine.

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

No net square footage changes. Increased operating costs resulting from renovated floors becoming available will be supported by additional revenue sources composing funding from UMS Strategic Building Funds, revenue from membership fees, and allocations from each university participating in the Maine Center programming, amongst other sources.

g. Alternatives that were considered to meet the need being addressed by this project.
None.

h. Project Timeline for: 1. Start 2. Occupancy and 3. Completion

The Maine Center has already begun occupancy on one of the four available floors at 7 Custom House. This work will not result in additional occupancy but will enable design and engineering work for construction to begin in first half of 2025 with additional floors being occupied in 2025 and 2026. Full occupancy of 7 Custom House will occur upon completion of the construction.

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 the Maine Center will return to FFT and BOT in first half of 2025 with a completed design and project costs for one or more phases of construction. Since this is a renovation, it is anticipated that construction and capital improvements will occur on a rolling basis for 3 or more years. It is anticipated the timeline will ultimately be forecasted once the design and engineering phase is completed this fall.

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

Note: For items over \$5M, indicate when the item was originally presented as an information item.

See accompanying presentation for the FFT Committee on the Maine Center Building dated August 28, 2024.

The Finance, Facilities and Technology Committee approved this item to be forwarded to the September 15-16, 2024 Board of Trustees meeting, for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Finance, Facilities, and Technology Committee and authorizes the University of Maine System, acting through the Maine Center, to expend \$650,000 for design, planning and limited renovations and capital improvements at the Maine Center in Portland, Maine.

Attachment

[Maine Center Building Overview](#)

The Maine Graduate and Professional Center (The Maine Center) An Overview

September 16, 2024

Seth Goodall, CEO, Maine Center Ventures, and Executive Director, The Maine Center

13.1



Agenda

The Maine Center presentation to the University of Maine System (UMS) Board of Trustees (BOT) will cover three areas:

- **The Maine Center's Focus Areas**
- **Creating "One" Maine Center Building**
- **Future Contingent Liabilities and Fundraising**

The Maine Center's Focus Areas.

13.1

The Maine Center is a graduate education and innovation hub in downtown Portland with statewide impact.

A vibrant interdisciplinary center for graduate students, professionals and innovators located in Maine's economic and commercial center.



1 Interdisciplinary Graduate Degrees & Programs

- Maine Graduate School of Business – *MaineMBA*
- University of Maine School of Law – *JD*
- USM's Muskie School of Public Service – *MPPM & MPH*
- Maine College of Engineering & Computing – *Programming*

2 Professional Development & Executive Education

- Responsive to Maine's economy
- Industry partnerships to address Maine's workforce

3 Hub of Entrepreneurship & Innovation

- Supporting entrepreneurs, commercialization and investment in Maine
- Advancing economic development and R&D

4 Center of Convening & Knowledge Sharing

- Convenings to address Maine's defining challenges
- Host events, scholars and public and private sector leaders to establish the Maine Center as a leading voice

1 Interdisciplinary Graduate Education

The Maine Center provides interdisciplinary graduate education across law, business, policy, and engineering and computing that is responsive to today’s professional workforce and the state’s economy.

Programs Based @ Maine Center*	Supporting Program Partners*
<p>The University of Maine School of Law</p>  <ul style="list-style-type: none"> • 261 JD students in residence at the Maine Center • Executive and Continuing Legal Education • 4 Certificates • Online Masters of Legal Studies (<i>under-development</i>) <p>Maine Graduate School of Business</p>  <ul style="list-style-type: none"> • 377 students primarily taught online • 13 interdisciplinary concentrations responsive to Maine’s economy • <i>MaineMBA</i> Academy Capstone 	<p>USM’s Muskie School of Public Service</p>  <ul style="list-style-type: none"> • 155 MPPM & MPH students • 4 MBA concentrations • Dual degree with Maine Law • Based at USM’s Portland campus and delivered online and in-person <p>Maine College of Engineering and Computing</p>  <ul style="list-style-type: none"> • MBA concentration in Engineering Management • Greater access to R&D and flagship RI university • Professional education, R&D, and industry partnerships aligned with workforce needs

← Students supported with scholarships, intern and externships, and leadership development. →

2 Professional Development & Executive Education

The Maine Center is seeking to build off existing successes to provide additional offerings to business leaders seeking to advance their real-world skills, practical knowledge, leadership and careers.

Professional Development & Executive Education	
Examples of Current Offerings	<ul style="list-style-type: none"> • Privacy Law Institute • Certificate in Compliance • Build a Better Maine (leadership development) • Curated programs/seminars responsive to industry
Expansion Opportunities	<ul style="list-style-type: none"> • Focus on professionals and C-suite leaders • Leverage expertise across UMS and existing online offerings (MBA, MPH, MPPM, and new MLS program) • Customized programs delivered in a timely manner for industry and public sector partners
Online & In-Person	<ul style="list-style-type: none"> • Online offerings to meet schedules of today's professional • In-person courses providing full immersion and expanded professional networks • Blending learning experiences incorporating online and in-person learning in Portland
Revenue and Brand Building	<ul style="list-style-type: none"> • Revenue opportunities for Maine Center and UMS partners • Strengthens brand and reputation in Maine and beyond

Information Privacy Institute

- Artificial Intelligence
- Information Privacy & Cybersecurity
- Data Governance
- Law & Regulation

Professionals & Students | Multi-Week Institute & Conference



Build a Better Maine

- Emerging C-Suite
- Leadership Development
- Peer Learning Networks
- Professional Networks













Compliance Program

For business leaders & compliance professionals

- Compliance principles
- Enterprise Risk Management
- Employment & HR
- Investigations
- Data & Cyber
- Procurement









3 Hub of Entrepreneurship & Innovation

An innovation hub brings together academic, public and private partners and entrepreneurs to nurture innovation, drive economic growth and advance solutions for today's pressing challenges and opportunities.

Physical Space	
Leverages Proximity	<ul style="list-style-type: none"> To Maine's commercial center in Portland and industry, startups and workforce Connectivity to UMS partners and UMaine's R1 university
Open Concept	<ul style="list-style-type: none"> Open layout, welcoming and inclusive Attracts and enables people to meet Delivering post-pandemic ways of working
Fosters Innovation	<ul style="list-style-type: none"> Ideation, R&D and commercialization Entrepreneurship Public and private sector partnerships
Technology Assisted	<ul style="list-style-type: none"> Cutting edge tech-enabled workplace tools Facilitates virtual delivery Connections statewide and beyond

Programming	
Business Assistance	<ul style="list-style-type: none"> Small biz training and counseling Mentorship Expanding access to capital
Supporting Startups & Scaleups	<ul style="list-style-type: none"> Accelerators Incubators Collaboratory / Venture Studio Business Law Clinic (<i>New</i>)
R&D / Innovation	<ul style="list-style-type: none"> Connections to UMaine's R1 university Commercialization Collective problem-solving with global impact and local relevance
Convening	<ul style="list-style-type: none"> Entrepreneurship and small business Researchers, policy makers and industry Founders and investors

13.1

4 Center of Convening & Knowledge Sharing

The Maine Center is establishing itself as a center of convening that brings together academics, scholars, business and policy leaders to address pressing challenges and opportunities to advance the state’s economy.

Approach	
Focus Areas	<p>Curated Events by the Maine Center and UMS Partners</p> <ul style="list-style-type: none"> • Convenings to address Maine’s defining challenges • Host academics, scholars, industry, and public and private sector leaders <p>Corporate and Community Events</p> <ul style="list-style-type: none"> • Events hosted by outside organizations
Physical Space*	<ul style="list-style-type: none"> • Multi-functional and flexible meeting, event and conference space • State-of-the art technology • “White box” event spaces to allow branding and promotion • Natural light with views overlooking Casco Bay
Customer Centric Approach	<ul style="list-style-type: none"> • Hospitality-forward approach, whether internal or external to UMS • Led by a Maine Center manager to assist with planning and event oversight • One-stop shop approach with streamlined event management
Robust Online Resources & Digital Media	<ul style="list-style-type: none"> • Seeking to establish robust online and digital presence to enhance learning and engage and attract students, partners and a global community • Strengthens the UMS and Maine Center brand and reputation



Events at the Maine Center and view from 7 Custom House overlooking Casco Bay.



*Plans still in concept phase. Work currently underway by architect to determine feasibility, size and scope of event and convening spaces.

Creating “One” Maine Center Building.

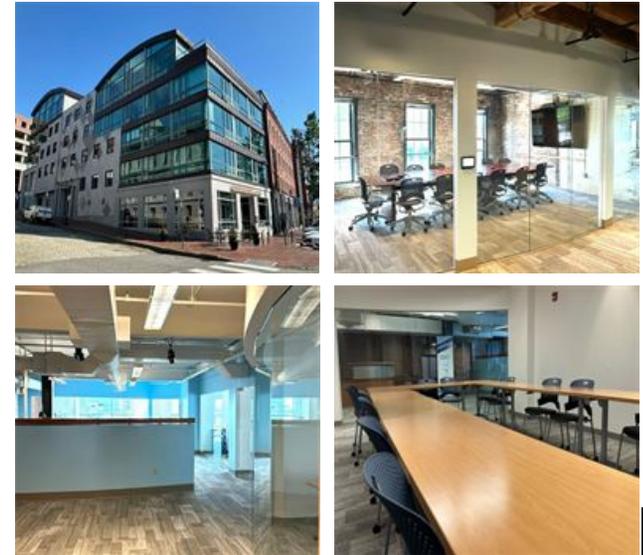


300 Fore Street (top) and 7 Custom House Street (bottom)

Bringing together two buildings for a hub of academics, entrepreneurship and innovation, and convening.

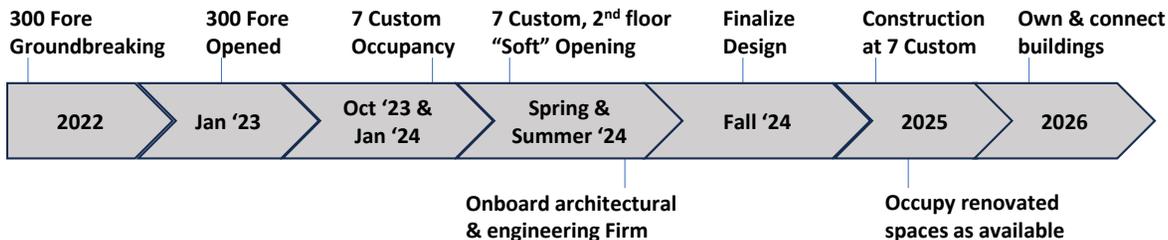
Creating “One” Signature Maine Center Building

300 Fore Street		7 Custom House*	
Square Footage	63,000	Square Footage	67,000
Floors	6	Floors	5
Renovation Cost	\$13.8M	Renovation Cost & Source	<ul style="list-style-type: none"> • Cost is TBD* • Source: ~\$6M in Capital Investment Funds, \$2.4M Congressional Directed Spending, and fundraising
Opened	January 2023	Opened	Rolling basis, beginning in spring 2024
Primary Focus	Delivery of graduate education and educational programming	Primary Focus	Innovation Hub <ul style="list-style-type: none"> • Entrepreneurship, R&D • Workforce Development • Convening & Industry Partnerships
Purchase	\$17M in Fall 2026	Purchase	\$20M in Summer 2026



7 Custom House, including improvements to the 2nd floor.

13.1



*Renovation cost estimates will be finalized latter this year or early in 2025. Costs will be greater than \$5M requiring Board of Trustees approval. Currently, approximately \$8.5M is available through \$6.1M Capital Improvement Funds and \$2.4 in Congressionally Directed Spending.

Future Contingent Liabilities and Fundraising.

13.1

Future Contingent Liabilities for New Faculty and Staff, and Fundraising:

The generosity of the Harold Alfond Foundation (HAF) provides funding for the buildings, new faculty and staff, scholarships and programming. The HAF grant requires \$50M in qualifying match by 2032 with \$28.2M raised to date.

Harold Alfond Foundation Grant				
Focus Area	\$	Description	Projected Length of Funding	Future Funding Source
Purchase Buildings*	\$40M	<ul style="list-style-type: none"> \$17M for 300 Fore & \$20M for 7 Custom House \$3M in Occupancy costs pre-purchase 	FY 2027 @ time of purchase	n/a
New Faculty & Staff	\$5M	<ul style="list-style-type: none"> Faculty: two each for UMaine (biz), Maine Law, & USM (policy) Maine Center: three positions 	3 years of funding per position	<ul style="list-style-type: none"> Faculty: E&G from UMaine, USM & Maine Law Maine Center: Building revenue and UMS Strategic Funds
Alfond Ambassador Scholarships	\$5M	<ul style="list-style-type: none"> Two students each in biz, law, policy & engineering 	10+ years of funding	Fundraising
Programming	\$5M	<ul style="list-style-type: none"> Funding for new/expanded programs, marketing, etc. 	Through 2032	n/a

Required HAF Fundraising Match

- 1 **\$30M Facilities & Infrastructure Match**
 - \$20.5M match raised to date
 - \$9M from UMS Capital Improvement Funds
 - \$9.1M in UMS investment in 300 Fore Street renovation
 - \$2.4M in Congressionally Directed Spendingng
 - \$9.5M Left to Raise by 2032
- 2 **\$20M Programming & Faculty/Student Support, including \$2M for Maine Center scholarships**
 - \$7.7M raised-to-date, including \$200K for Maine Center scholarships
 - \$12.3M remaining match to be raised, including \$1.8M for Maine Center scholarships

13.1

*The \$40M accounts for the purchase price of 300 Fore Street (\$17M) and 7 Custom House (\$20M), occupancy costs prior to purchase, and related transactional costs.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Associate Professor in the Department of Communication Sciences and Disorders, University of Maine

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 asked that Dr. Michelle Moore be awarded tenure at the rank of Associate Professor in the Department of Communication Sciences and Disorders effective June 1, 2024, in accordance with Board Policy 310. Dr. Moore's credentials have been reviewed by the faculty of the Department of Communication Sciences and Disorders and received their full support.

That the Academic and Student Affairs Committee forwards this item to the September 15-16, 2024, Board of Trustees meeting for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and approves tenure at the time of hire, Associate Professor in the Department of Communication Sciences and Disorders at the University of Maine, effective June 1, 2024.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Associate Professor in the Osher School of Music, University of Southern Maine

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 Southern Maine has asked that Dr. Kyle Nielson be awarded tenure at the rank of Associate Professor in the Osher School of Music effective September 1, 2024, in accordance with Board Policy 310. Dr. Nielson's credentials have been reviewed by the faculty of the Osher School of Music and received their full support.

That the Academic and Student Affairs Committee forwards this item to the September 15-16, 2024, Board of Trustees meeting for approval of the following resolution:

TEXT OF PROPOSED RESOLUTION:

That the Board of Trustees accepts the recommendation of the Academic and Student Affairs Committee and approves tenure at the time of hire, Associate Professor in the Osher School of Music at the University of Southern Maine, effective September 1, 2024.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Acceptance of Minutes

INITIATED BY: Patricia A. Riley, 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 September 16, 2024, Board meeting:

May 16, 2024 Audit Committee Meeting

May 19-20 Board of Trustees Meeting

June 24, 2024 Academic and Student Affairs Committee Meeting

June 24, 2024 Executive Committee Meeting

June 24, 2024 Human Resources and Labor Relations Committee Meeting

June 26, 2024, 2024 Finance, Facilities and Technology Committee Meeting

June 27, 2024 Strategic Planning Committee Meeting

July 14-5, 2024 Board of Trustees 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.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Authorization of Space Reduction and Construction of a New Facilities Management Building at UMF

CAMPUS PRESENTER(S): Laurie Gardner, Chief Business Officer

INITIATED BY: Dannel P. Malloy, Chancellor

BOARD INFORMATION:

BOARD ACTION: X

BOARD POLICY:

701 – Operating & Capital Budgets

802 – Disposition of Real Property

UNIFIED ACCREDITATION CONNECTION:

N/A

UMS STRATEGIC PLAN CONNECTION:

EIP 2, Action 2 – Achieve fiscal and energy efficiencies through physical space reduction.

This project aims to enhance our physical infrastructure through several disposals and one construction project. First, we will sell two underutilized parcels of land totaling approximately 12.5 acres. Separately, we will offer one house for public bid, resulting in approximately 4,000 square foot reduction. Additionally, we will sell one commercial building, reducing our square footage by approximately 13,500 square feet. The proceeds from these sales will be used to construct a new facilities management building equating to approximately 6,500 square feet. These transactions will show a net reduction of approximately 11,000 square feet.

BACKGROUND:

a. Summary of the request:

UMF is responding to the need to reduce our campus footprint by exploring the reduction of campus square footage through the sale of property while also improving our net asset value (NAV). To accomplish this, UMF is seeking authorization to sell or transfer properties to fund the construction of a new facilities management building.

b. Overall requested budget and funding source(s):

Construction of a new facilities management building is estimated to cost approximately \$600,000. Construction of the new building will be contingent on the sale of the parcels of land and the commercial building.

c. Is the project included or reflected in the Master Plan, Long Term capital plan or 1-year capital plan most recently approved by Trustees? If not, please explain why.

We are considering the sale of the properties to align with the UMS space reduction and energy commitment.

d. Detailed explanation of rationale for project and metrics for success of the project (ROI or other)

08/30/2024

The land parcels are underutilized and funds from their sale would allow UMF to reinvest in areas that are needed to help reduce energy costs as well as space reduction. The house being offered for public bid for sale or transfer will help create more green space on campus.

- e. **Explanation of the scope and substance of the project as needed to supplement (a) through (d) above. Note: scope includes an explanation of community impact, how the project ties to the University's mission, etc.**

N/A

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

The campus footprint would reduce 12.5 acres of land. Sale of commercial building and removal of the house will result in a reduction of approximately 17,500 square feet. Once we build the new facilities management building, the net reduction in square feet will be approximately 11,000 square feet. These efforts will also result in a reduction of operating costs of approximately \$35,000 +/- per year. This will be realized through energy savings and other factors.

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

Many options and locations were considered for a new facilities management building and the location chosen has the least impact to campus operations.

- h. **Project Timeline for: 1. Start 2. Occupancy and 3. Completion**

The timeline depends on the sale of the real estate; our first step would be listing real estate for sale / bid. The new building would be available for occupancy approximately 12 months after sale of land and then sale of FM building would happen.

- 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.**

N/A

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

Note: For items over \$5M, indicate when the item was originally presented as an information item.

The Finance, Facilities and Technology Committee approved this recommendation at its June 26, 2024 meeting to be forwarded to the Consent Agenda for Board of Trustee approval at the September 15-16, 2024 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 Farmington to dispose of two parcels of land, one house, and one commercial building. Proceeds from these sales will be utilized to fund construction of a new 6,500 square foot facilities management building with construction costs not to exceed \$600,000.