Dr. Barbara W. Brittingham, President  
Commission on Institutions of Higher Education  
New England Association of Schools and Colleges  
3 Burlington Woods Drive, Suite 100  
Burlington, MA 01803-4514

The report is presented under four headings:

1. a brief history of recent communications with NEASC as well as a summary of senior level considerations concerning single accreditation post-July 2015;
2. an update of relevant One University initiatives underway or under development;
3. an appraisal of these initiatives measured against the Commission’s Revised Standards;
4. a summary list of currently open questions.

Additional or supporting information is included in Tabs as referenced in the report’s narrative.

We very much appreciate the constructive partnership we have with NEASC as we work through these very substantial issues, and I and my team look forward to discussing these matters with you.

Respectfully submitted,

Dr. James H. Page  
Chancellor
Letter submitted in response to the Commission's request for a report regarding progress toward integration to one university meeting the Commission's Standards.

March 14, 2016
1. Communications and considerations concerning One University/single accreditation

- Following a number of informal briefings between the University of Maine System (UMS) and NEASC concerning the challenges and opportunities facing UMS, on 13 May 2015 UMS submitted a Request for Advisory Opinion on Single Accreditation to the Commission. In this submittal, UMS noted its financial, demographic and competitive challenges, provided an outline of the One University concept, and requested a meeting with the Commission to explore replacing the current model of individual accreditations for each of the System’s seven universities with a single NEASC accreditation for the entire UMS enterprise. A copy of the submitted cover letter/executive summary is attached as Tab 1.

- On 1 June 2015, a UMS delegation consisting of the UMS Board Chair, Chancellor, Vice Chancellor, and two System presidents met with the Commission during its summer meeting in York, Maine, to discuss its request. A productive discussion ensued.

- UMS received its written response from the Commission in a letter dated 10 July 2015, a copy of which is included as Tab 2. Among other items communicated, the salient point for this report is that the Commission is open in principle to UMS converting to a single accreditation if the institution meets the Commission’s Standards.

- The UMS request together with its supporting materials and the Commission’s letter was made available to the public and to each campus community. The Chancellor and Presidents met with each campus community to discuss reasons for considering single accreditation as well as next steps. The consistent message was that if UMS decided to seek single accreditation, appropriate consultation and participation would follow.

- Subsequent leadership discussions have largely occurred in two venues: the System Board of Trustees (BOT) and the Presidents Council (PC) which consists of the Chancellor, Presidents, and select members of the Chancellor’s senior staff. Both bodies have been very appreciative of the Commission’s response and look forward to a close working relationship with NEASC as these issues are worked through.

- Because UMS is in the relatively early stages of transition to One University with much yet unknown or undecided, the PC determined that the move to single accreditation should not be the defining outcome of its current efforts. Rather, it determined that the Commission’s Standards should serve to guide the change effort and that a move to single accreditation become a primary goal only if the changes made to achieve other priority outcomes require such a move.

- BOT discussions concerning single accreditation are also tied generally to discussions of strategies required to achieve One University outcomes. (See Section 2.) The exception concerns discussion about final System structure. Yet while the question of final structure is important, it is not presently the primary driver. There is strong Board consensus that structure follows strategy, and therefore the structural outcome depends on those priorities, strategies and initiatives that will deliver the appropriate outcomes for our students and the state.
2. Current One University Initiatives

• The BOT vision statement for One University is:

The University of Maine System is an integrated system of distinct campuses, centers, and other facilities operating in concert to provide high-quality educational undergraduate and graduate opportunities that are accessible, affordable, and relevant to the needs of Maine students, businesses, and communities. It drives economic development by conducting world-class research, commercializing valuable ideas, and partnering successfully with businesses and industries throughout Maine and beyond. It is the state’s most engaged and responsive institution working on behalf of all Maine citizens, communities, and institutions. It is Maine’s most important public asset.

Informally, Board members understand this to entail that every UMS asset can, in principle, be brought to bear in coordinated support of every Maine student, business, and community. Examples of how this translates to concrete actions follow.

• There are three foundational elements to One University.

   i. Strategic unity through campus diversity
   ii. Administrative reduction and reform
   iii. Academic collaboration and integration

Each of these elements is organized by the BOT’s 2014 Strategic Outcomes and, in particular, by that document’s four Strategic Integration Targets SI1-4. (The 2014 Strategic Outcomes document is included here as Tab 3. The targets are to be reviewed and, where appropriate, updated in 2016.)

i. Strategic Unity through campus diversity ties primarily to Strategic Integration Target 1 (SI1): Complete all seven campus strategic plans ensuring that, taken as a whole, they meet the statewide mission-defined portfolio of services.

SI1 requires each campus to develop a strategic vision and plan that reflects its mission and strengths, provides focus, and gives it competitive advantage. These plans are largely complete, and an extremely condensed summary of the differentiators are

   o University of Maine – Maine’s landgrant/seagrant research university
   o University of Southern Maine – Maine’s metropolitan university
   o University of Maine Presque Isle – Maine’s university for proficiency based education
   o University of Maine Farmington – Maine’s public liberal arts university
   o University of Maine Fort Kent – Maine’s rural university
   o University of Maine Augusta – Maine’s university for universal access
   o University of Maine Machias – Maine’s coastal university

All campuses are to work together to ensure they collectively meet UMS’s regional and statewide challenges and responsibilities. (SI1 also acknowledges the essential educational, economic, and social roles each campus plays in serving its students and communities.)
Setting aside campus-based initiatives, current System-level initiatives and projects falling under SI1 include:

- Developing a coordinated, system-wide portfolio of campus programs and services to ensure all constituencies are adequately served statewide.
- Developing an interoperable system-wide IR function to support decision processes and operations.
- Developing an ongoing, comprehensive data collection and analysis process to support market segmentation and enrollment management, among other functions.
- Developing a coordinated and comprehensive enrollment management support system.
- Developing a coordinated and comprehensive marketing and marketing support system.

ii. Administrative reduction and reform is realized primarily by Strategic Integration Target 2 (SI2): Develop and implement a single comprehensive financial management structure for the entire system, and Strategic Integration Target 3 (SI3): Develop a comprehensive administrative plan that reduces total administrative costs, including academic administration, per student FTE to peer system benchmarks or below.

Until a unified financial budgeting and management structure is in place, coordinated, long-range strategic planning and resource allocation is not possible. Furthermore, with a student headcount of fewer than 30,000 statewide, Maine cannot afford an overhead structure of seven often redundant and non-coordinated university-level administrations.

Current System-level initiatives and projects falling under SI2 and SI3 include:

- Continue design and implementation of the unified financial management structure for completion in FY18. (There is further discussion of this initiative in Section 3.)
- Continue budget work to eliminate the System’s structural budget gap in FY19, including determining deeper levels of administrative collaboration between campuses.
- Continue the Administrative Reviews, budgeting, managing and operating by function rather than by campus. Areas include IT, procurement, HR, Facilities. IR is under review.
- Begin implementing a system-wide IT upgrade.
- Develop and implement a campaign for significant State investment ($100MM+) in the next legislative session that aligns with campus campaigns.

iii. Academic collaboration and integration is realized primarily through Strategic Integration Target 4 (SI4): Develop a model of academic program review and multi-campus integration that leverages academic resources to enhance program quality, expand access, and meet appropriate financial benchmarks.

Current System-level initiatives and projects falling under SI4 include:

- Continue developing the Academic Transformation (AT) process which uses a discipline-by-discipline approach to develop multi-campus collaborations and, where appropriate, integration, to leverage resources and expand opportunities. (17 are currently underway.) One
multi-institutional program, CyberSecurity, is now being implemented and is discussed in Section 3. Also under the AT initiative:

- A national search has begun for a System VCAA with the explicit authority to initiate, modify or close academic programs within UMS policies and processes.
- The Board of Trustees is contemplating substantial investment in reforming the underlying administrative and technical systems (e.g., IT) to facilitate collaborative academic opportunities. These System-level reforms are included in the initiatives listed under SI2 and SI3.
- Continue implementing the comprehensive credit transfer program to include major-to-major transfers.
- Develop and implement a unified online service of program delivery that encompasses the entire System.
- Continue development of the Portland Graduate and Professional Center, integrating business, law and public policy educational, research and service opportunities.
- Continue the System-wide ADC program (formerly ABCDE) to engage adult learners statewide.

- Other relevant initiatives include continuing the statewide coordination of all campus Boards of Visitors, providing more opportunities for the Board of Trustees and Boards of Visitors to engage and cooperate in these change initiatives.
3. **An evaluation of initiatives measured against the Commission’s Revised Standards**

- We believe the list of initiatives presented in Section 3 together with their anticipated consequences are compatible with the Commission’s Revised Standards, but note two possible exceptions presented here.

  i. **Standard Four: The Academic program**

  Standard 4.36 reads: “Students complete at least one-fourth of their undergraduate credits, including substantial advanced work in the major or concentration, at the institution awarding the degree.”

  The Academic Transformation Process (Strategic Integration Target 4) contemplates multi-campuse degree programs. There are several such programs under consideration or development, but for present purposes I will focus on one already being implemented, a multi-campus Bachelor of Science in Cybersecurity. (See Tab 4 for the CyberSecurity Program Executive Summary.)

  As presented in the Program’s Executive Summary, Cybersecurity is defined as follows.

  *Cybersecurity is an evolving discipline that involves the study of strategy, policy, and standards regarding the security of and operations in cyberspace, and encompassing the full range of threat reduction, vulnerability reduction, deterrence, international engagement, incident response, resiliency, and recovery policies and activities, including computer network operations, information assurance, law enforcement, diplomacy, military, and intelligence missions as they relate to the security and stability of the global information and communications infrastructure (National Initiative for Cybersecurity Careers and Studies).*

  At UMS, three institutions are in their first year of implementing this program with a fourth preparing to join. Importantly, this multi-institution collaborative allowed the program to receive the nation’s first multi-campus, or System designation as a Center of Excellence in Cybersecurity from the National Security Agency, the de facto accreditation standard for Cybersecurity programs. (A copy of the NSA certificate is also included in Tab 4.) It is important to note that none of the participating institutions would have qualified for this certification individually. The program has had a very successful start, enrolling 60 students its first year against a projected first year enrollment of 20. Indications suggest that interest and enrollment will increase significantly.

  Because this level of multi-campus partnership takes UMS into new territory, a temporary policy for the administration of multi-campus degree programs has been put in place but will need to be revisited as this is a work in progress. Among the administrative issues not yet resolved are faculty appointments, appropriate tuition and fee charges, etc. A copy of the policy is included in Tab 5.

  The Cybersecurity Program Steering Committee, which comprises representative faculty from each participating institution, has indicated that to optimize the opportunities this program presents, it may request the Administration consider creating a single, multi-institutional department.
The Cybersecurity example thus raises (at least) two issues. First, what are the accrediting implications of a single academic department that spans multiple, independently accredited institutions but whose governance and program delivery adheres to all elements contained within the standard, albeit in a multi-institutional model? (This question may also bring Standard 4.32 into consideration.) The second issue depends on how one reads “substantial” in Standard 4.63 because the participating institutions do not offer redundant upper division courses. Students draw on coursework from across the participating campuses, and it is likely - indeed it will occur - that a student might not take a majority of upper level courses from his or her home institution. So, if “substantial” means “majority”, an apparent conflict may exist.

We believe we can demonstrate the model we envision is “appropriate to higher education, consistent with each participating campus’ mission and purposes (and that of the System as whole) and effective in meeting the intent of the Commission’s standards” (Commission’s Standards), including the imperatives related to appropriate governance, assurance of academic quality and faculty oversight of the program(s) in question.

The hallmarks of any multi-campus collaborative degree program must include an assurance of academic quality, the implementation of a governance structure that provides for appropriate academic oversight by the faculty within the given program, the provision of adequate support and services for students within the program, and a systematic assessment process that ensures the effectiveness of the program in question.

In our current policy (Tab 5), multi-campus collaborative degrees will be governed by a program steering committee comprised of one faculty member from each participating campus, one of whom will be elected as chair (this responsibility will rotate annually across the participating campuses). Members from each campus will serve as the program coordinator for the program on their home campus. The Chief Academic Officer and Chief Student Affairs officer from the chairperson’s home campus will be responsible for representing and supporting the program at the System level and for ensuring that appropriate supports and services are in place for any student enrolled in the program. The program steering committee will be responsible for overseeing the curriculum of the program, for developing and maintaining a multi-year course schedule (including instructor assignment and determination of delivery mode), and for determining any special admissions standards. Any curriculum changes must still be approved by the normal faculty governance approval process at each participating campus. The program steering committee will ensure that appropriate assessments are in place to measure the effectiveness of the program.

If there is a conflict between Cybersecurity and the Commission’s Standards, there are at least three options:

a. Forego development of this kind of multi-institutional program. (Yet the initial success of the program both in expanding student opportunity across the state and maximizing resources calls for the expansion of these kinds of programs, not their elimination.)

b. Accommodate multi-institutional programs (and/or the possibility of single academic programs residing within multiple institutions) within the Commission’s Standards, either
within the interpretation of existing language, as a part of substantive change policy, or as a consortial agreement between participating institutions.

c. Establish single accreditation which would presumably eliminate the conflict.

ii. Commission Standard Seven: Institutional Resources

Recent UMS changes to its financial management structure are sufficiently far-reaching to indicate a discussion with NEASC may be warranted. These changes could impact many of the standards articulated in Section Seven, but most notably Standards 7.4, 7.11, and 7.21.

Compliance with Standard 7 must necessarily be interpreted through the lens of compliance with Maine Law. Under its current structure, we believe the University of Maine System is well positioned for compliance with both Maine Law and the Commission’s Standard 7. In particular, Standard 7.11 states: “the institution ensures that it has sufficient professionally qualified finance staff, led by a chief financial officer whose primary responsibility to the institution is reflected in the organizational chart.”

In accordance with Strategic Integration Target 2 and pursuant to a directive of the Board of Trustees in November 2014, a unified financial structure for the University System was

1 Governance of Financial Affairs The University System charter (Maine law P&SL 1985 chapter 532 as amended, Section 4-B.1.; Bylaws of the Board of Trustees Section 1.3) states that the Board is the governing and planning body of the University System, and charges it with responsibility for preparing and approving the operating and capital budgets of the System and its seven institutions. Further, it states that the Board shall provide sound financial management and exercise prudent stewardship of the assets of the University System and its seven institutions, as well as plan strategies for programs and allocation of resources that most effectively serve the education needs of the citizens of Maine.

The charter also states that the Board will appoint a chancellor who will serve at its pleasure as chief administrative and education officer. Among other duties, the chancellor is charged with promoting planning for financial operations, capital plans and resource allocation; preparing all operating and capital budgets, appropriation requests and bond issues; and providing a centralized management oversight of services.

Section two of the charter states that the Board will appoint a treasurer to receive and have custody of all moneys received for the University System; make all expenditures upon authentication; exercise revenue bonding authority with the approval of the Board; and prepare the annual financial report for the University System. Board Policy (Section 207-Signatory Authority) rests all signatory authority to draw funds and to sign contracts grant applications, research proposals, purchase orders and similar instruments with the treasurer. The treasurer is authorized to delegate this authority for specific purposes and within specific limits to designated officers and employees of the University System.

The charter states the head of each campus is the chief administrative and educational officer thereof and is responsible for the day-to-day operation and development of its academic program within the limits defined by the Board of Trustees and the Chancellor.

Board Policy charges a president with implementing the plans, policies, and directives from the Board of Trustees and the Chancellor including, among other responsibilities: the development and administration of the institution’s operational and auxiliary budgets as approved by the Chancellor and the Board of Trustees; and the long-term planning, development, maintenance and operation of the physical plant within the mission and guidelines set forth by the Board of Trustees.
developed and adopted by the Board in July 2015 to enhance transparency, enable appropriate fiscal control, and advance comprehensive intra-system collaboration. This is the most far-reaching change to the System’s budgetary planning and financial management structure since the System’s inception.

Under the new structure, each institution continues to have a dedicated on-site and full-time Chief Business Officer (CBO) who serves as the chief financial and administrative officer for that institution. The CBO has a service reporting line to the President of his or her respective institution and serves as a key member of the President’s cabinet. Presidents continue to have responsibility for the preparation of the operating and capital budgets and have the authority to execute those budget as approved by the Board of Trustees within the parameters of Maine law, the University System charter, and Board of Trustees policies.

A working group of the CBOs and others under the direction of the System CFO is now considering six key areas of activity for the unified financial management structure: tuition & fees, the resource allocation model, institutional aid/waivers, reserves, outcomes based funding, and capital project funding to be fully implemented for FY18. (A copy of the Financial Management Reorganization process presentation is included as Tab 6.) Of particular importance is the matter of resource allocation. Current expectations are that certain resources will be allocated by function rather than by campus, as well as by System priorities.

We do not believe the contemplated changes conflict with Standard 7. Every accredited institution will have sufficient financial resources allocated to it to support its mission and will have considerable (but not complete) autonomy in how those allocated resources are deployed within the overall context of a System budget. Likewise, the accredited institution will have available to it sufficient and appropriate resources to support its mission.

4. Open questions and topics
The decision points and initiatives described above are all active and will be developing on their various schedules throughout calendar year 2016. This document identifies three current or pending questions that bear on the question of single accreditation.

1. Do multi-campus programs such as Cybersecurity conflict with the Commission’s Standards? As these programs are under active development, this question should be addressed as soon as possible.

2. Do system-wide administrative consolidations and allocations along functional rather than campus lines conflict with Commission Standards? In particular, does the unified budgetary and financial management structure conflict with Standard 7? As these changes are also underway, this question should also be addressed as soon as possible.

3. How will the ultimate structural model conform with Commission standards? While this question is of significant importance, there is currently no set schedule for determining that model. It is possible that the question may be addressed in the second half of calendar year 2016 but I will notify and engage with NEASC immediately if a decision comes under consideration.
May 13, 2015

Dr. Barbara W. Brittingham, President
Commission on Institutions of Higher Education
New England Association of Schools and Colleges
3 Burlington Woods Drive, Suite 100
Burlington, MA 01803-4514

Re: Request for Advisory Opinion on Single Accreditation

Dear President Brittingham:

I am submitting this document to support the University of Maine System's (UMS) request for a Commission Advisory Opinion on the matter of our seeking a single NEASC accreditation for the entire UMS enterprise, replacing the current model of individual accreditations for each of the System's seven universities. Our reasons for considering this change combine our responses to significant statewide challenges with equally significant opportunities.

UMS faces an unprecedented combination of economic, demographic, and competitive challenges. The most stark expression of these challenges is the structural budget gap estimated November 2014 to exceed $75MM by FY19. While we have made significant reductions and reallocations since November and have some relief in the current State budget, our best case scenario still shows a gap of more than $36MM over that same period. External remedies are limited as State appropriations and tuition increases will likely not exceed inflationary indexes. While we are actively pursuing enrollment management strategies, the facts remain that Maine is in a demographic winter and that we are midway through an estimated ten-year, 19.5 percent drop in our secondary school population. Furthermore, the "market share" for most of our institutions has fallen at a greater rate than the demographic drop for traditional-age students. These challenges have led the Board of Trustees and Presidents Council to conclude that with a general population of 1.35 million, Maine simply cannot afford to maintain seven four-year universities acting as a loose confederation.
Our response to these challenges has been predicated on the necessity of comprehensive change. Since 2012 we have reorganized several administrative functions, eliminated more than 525 FTE positions (a number that increases to 900 if we look back to 2007), and introduced a number of system-wide initiatives including Maine's first comprehensive credit transfer program and a new statewide initiative to engage adult learners who had left post-secondary education without achieving their degree. Nevertheless, the Board of Trustees and the Presidents Council agree that we cannot fulfill our statewide mission in an academically responsible and financially sustainable way within the current operational model. In July 2014, the Trustees published a set of strategic outcomes for a successful and sustainable university resource and, in March 2015, I introduced the One University concept as a framework to realize those outcomes.

In brief, the One University model builds on three premises. First, to meet our statewide mission, we will maintain a multi-campus, mission-differentiated model. The Trustees do not believe that any of the campuses could be closed without doing irreparable economic and social damage to the communities and constituencies they serve, and they also believe that mission differentiation gives each campus a competitive advantage. Moreover, state law requires the current seven-campus configuration by location. Second, recognizing that we cannot afford redundant administration (the current model requires eight administrative structures for a total student body of approximately 30,000 headcount / 22,500 FTE), we will dramatically reduce and reform all administrative services creating, in effect, a single functionally organized administrative resource, albeit one that maintains a president as the head of each campus. Third, we are working with faculty and staff to coordinate and, where appropriate, integrate academic programs across the enterprise to increase innovation while leveraging student and faculty opportunities.

When considering any substantial change we are mindful of how they impact, or might be impacted by, our compliance with NEASC accreditation standards. One instance of an initiative that charts new territory is the development of multi-campus degree programs. For example, we have proposed to the Board of Trustees a new, multi-campus program in Cybersecurity in which it is possible that much of the advanced coursework would be offered at partner UMS institutions other than the one granting the degree to a particular individual. Indeed, many of the program resourcing and delivery models envisioned as part of academic coordination and integration initiative could test the usual interpretation of the accreditation standards. Moving to a single accreditation could therefore allow us a greater ability to offer new and enhanced programming to qualified students regardless of location.

A second example comes from the proposed reorganization of UMS's financial management structure to allow for greater transparency, ensure appropriate fiscal control, and enhance our ability to work collaboratively across the enterprise. While the campus presidents will retain
considerable operational autonomy, these changes do position their budgeting and planning within a larger, system-wide context subject to review and, when appropriate, reallocation. This again raises important questions concerning our meeting the accreditation standards.

For these and other reasons, it appears that the clearest pragmatic expression of our change efforts may be a single accreditation for the seven campuses. Not only do we see this initiative as a defining outcome, but we also believe that structuring our change efforts using the Commission's Accreditation Standards as an organizing framework will greatly enhance our efforts.

We anticipate that moving to a single accreditation would take approximately two years to accomplish in order to allow for engagement of the seven-campus community and the resolution of the issues a path to single accreditation raises. Detailed implementation and communication plans are due this coming September and will outline the process and timeline by which this effort will be undertaken.

As we are all traversing new ground, I welcome the opportunity to meet with the Commission to discuss the initiative and answer questions. We greatly appreciate your willingness to consider our efforts and look forward to working with you on what we see as a positive, transforming process for our students and the state.

Sincerely,

James H. Page, Ph.D.
Chancellor
July 10, 2015

Dr. James H. Page
Chancellor
University of Maine System
16 Central Street
Bangor, ME 04401-5106

Dear Chancellor Page:

I write to inform you that at its meeting on June 2, 2015, the Commission on Institutions of Higher Education considered the information submitted by the University of Maine System and voted the following:

that the Commission is open in principle to accrediting what are now the seven Universities in the University of Maine System as a single institution if the institution meets the Commission's Standards for Accreditation;

that the Commission understands that the single institution may operate with a tiered system of admissions, programs, and research focus;

that in considering the accreditation for a single institution, the Commission will also want to understand its relationship to the University of Maine System;

that the schedule of reports and visits to the seven University of Maine institutions previously established through Commission action will continue, with each to include, in addition to matters previously specified, an update on the progress toward integration from the point of view of the institution reporting;

that the University of Maine System and the seven Universities be asked to submit a report for consideration in Spring 2016 regarding progress toward integrating the seven universities into one institution that will meet the Commission's Standards, along with the anticipated timeline going forward;

that the Commission will conduct a comprehensive evaluation of the single institution once it has been established and asks that at least a year's notice be given so that all arrangements for comprehensive evaluation can be made by the institution and the Commission;
that in the intervening time the Commission may ask for additional reports or schedule an advisory visit regarding progress toward integration; and that the System, with the institutions, may also initiate reports to the Commission or request an advisory visit or an additional meeting with the Commission.

The Commission gives the following reasons for its action.

The information submitted by the University of Maine System was clear and helpful in outlining the economic, demographic, and financial conditions facing the System and the seven Universities. We understand that Maine is facing a nearly 20% decrease in high school graduates in the current decade, expects that state appropriations and tuition increases will not significantly exceed inflation, and projects a structural budget gap of $75M by FY2019. With Maine's population base of 1.3 million, the System and its Universities have concluded that operating seven separate institutions plus a system office, is unsustainably expensive. We also understand the System's general intentions going forward to develop a One University model, maintaining the "multi-campus, mission-differentiated" approach, and to seek a single accreditation. The Commission applauds the University of Maine System and the seven Universities for your willingness to take on these difficult challenges, and the creativity and good will being brought to the work as established by the report submitted in advance of the June meeting and the interaction at the meeting. The Commission appreciated the opportunity to meet with you and is grateful for your candor in the discussion.

The Commission is open in principle to accrediting what are now the seven Universities in the University of Maine System as a single institution, as it takes no position on the organization of public higher education in a state as long as each institution seeking accreditation – or to continue in accreditation – meets the Commission's Standards for Accreditation. The Commission realizes there are many elements to be decided or developed in order to have the integration appropriate for a single accreditation. Therefore, the Commission wants to make sure that its feedback and advice here is not characterized as 'pre-approval.'

The Commission understands that the single institution may operate with a tiered system of admissions, programs, and research focus, maintaining the research intensity of the Orono campus. To the extent the system is tiered, the Commission wishes to be kept informed and asks that the single institution address these and potentially other dimensions in its self study for accreditation. The Commission wishes to be assured that the University is clear internally and externally in these matters. One aspect of a tiered system is whether, for example, a B.A. in mathematics would be the same at any campus at which it could be earned, and if not, how the various degrees would be represented.

Because the Commission accredits institutions not systems, in considering accreditation for a single institution for what are now seven University of Maine institutions, the Commission will want to understand the relationship between the institution and the surviving System. In the Commission's experience, system offices are established to coordinate, promote, lead, serve, and ensure the quality of separately accredited institutions. The Commission appreciates that the movement toward a single accreditation for public institutions can only realistically be coordinated and led by a system office; at the same time it looks forward to understanding the relationship between a 'single accreditation' and any surviving System.

The schedule of reports and visit to the seven University of Maine institutions, sent to you earlier, will remain in place so that the Commission can continue to monitor its separately accredited institutions for as long as that structure continues. We ask that, in addition to matters previously specified, each report include an update on the progress toward integration from the perspective of the institution, including any significant anticipated changes, so that the Commission can fulfill its responsibilities with respect to each of the separately accredited Universities.
Dr. James H. Page  
July 10, 2015  
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In order to promote communication between the System and the Universities and the Commission, we ask that the University of Maine and the seven Universities submit a report in Spring 2016 providing an update on progress toward integrating the Universities into one institution that will meet the Commission's Standards for Accreditation. The Commission reminds the System and the Universities that the Standards for Accreditation are currently being revised and encourages your participation and the participation of the Universities in the revision process. The Commission anticipates approving the revised Standards in early 2016 and having a final draft available late in 2015. We also ask that the Spring 2016 report include a timeline of the integration process going forward.

The Commission will schedule a comprehensive evaluation of the single institution once it has been established. We ask that you notify the Commission at least one year in advance of when you anticipate the integration will be complete. This request will allow Commission staff sufficient time to work with the institution on the self-study and to compose an evaluation team to undertake the visit that will be part of the comprehensive evaluation. Normally the Commission's decision occurs one semester after the visit. The Commission understands that, even assuming integration to a single institution with a single accreditation, the further process of integration will continue for the foreseeable future.

We understand you anticipate that the process will take two years and acknowledge that a different schedule may develop. To further promote communication, either the Commission or the System and its Universities may request an advisory visit or additional reports or another meeting with the Commission.

The Commission expressed appreciation for the information submitted by the University of Maine System and hopes that its preparation has contributed to your planning process. It appreciates your cooperation with the effort to provide public assurance of the quality of higher education in New England.

The Commission appreciated the opportunity to meet with you; Samuel Collins, Board Chair; Susan Hunter, President, University of Maine; Kathryn Foster, President, University of Maine at Farmington; and Rebecca Wyke, Vice Chancellor for Finance and Administration.

You are encouraged to share this letter with all of the System and Universities' constituencies. It is Commission policy to inform the governing board chairperson of action on the accreditation status of affiliated institutions. In a few days we will be sending a copy of this letter to Samuel Collins. The System and Universities are free to release information about the report and the Commission's action to others, in accordance with the enclosed policy on Public Disclosure of Information about Affiliated Institutions.

If you have any questions about the Commission’s action, please contact Barbara Brittingham, President of the Commission.

Patricia Maguire Meservey

cc: Mr. Samuel Collins  
President Kathryn Foster  
President Joyce Hedlund  
President Susan Hunter  
President John Murphy  
President Linda Schott  
President Rebecca Wyke
INTRODUCTION

The University of Maine System (UMS) is Maine’s most important public asset. It alone has the resources, expertise, scale, and – above all – the responsibility to serve all Maine citizens, businesses, and communities through its tripartite mission of education, research and economic development, and public service.

UMS is in a period demanding transformative change. The Board of Trustees and the Presidents Council strongly agree that UMS cannot meet its mission in a financially responsible and sustainable way under its current business and organizational model. The FY15-19 structural gap is sufficient evidence of that fact. This financial reality, as well as the changing nature and needs of Maine students and the forces of change affecting higher education throughout the nation, have led to a new vision for the University System – a system that, while smaller, better matches capacity to resources, strategically aligns faculty and staff to the most impactful and relevant academic and research programs, and makes use of innovation and technology to serve a broader and more diverse student base.

The Board of Trustees adopts the following Vision for the University of Maine System: The University of Maine System is an integrated system of distinct campuses, centers, and other facilities operating in concert to provide high-quality educational undergraduate and graduate opportunities that are accessible, affordable, and relevant to the needs of Maine students, businesses, and communities. It drives economic development by conducting world-class research, commercializing valuable ideas, and partnering successfully with businesses and industries throughout Maine and beyond. It is the state’s most engaged and responsive institution working on behalf of all Maine citizens, communities, and institutions. It is Maine’s most important public asset.

This document sets out the general criteria through which the UMS Board of Trustees directs its vision, presented here in terms of demonstrable strategic outcomes at the System level and in each of its three mission categories of (I) Education, (II) Research & Economic Development, and (III) Public Service. These outcomes have goals, or targets, which measure success for each outcome. UMS will achieve these outcomes through an intensely collaborative approach that positions our campuses, programs, and services in competitively advantageous ways. Specific initiatives for achieving these outcomes (comprehensive credit transfer reform, for example, or a unified strategy for online education) are presented separately from this document as they will evolve as circumstances demand. Finally, believing that form follows function, we will develop and implement those organizational models that best realize these outcomes.

SYSTEM STRATEGIC INTEGRATION AND FINANCIAL SUSTAINABILITY

In realizing the UMS Vision we seek integration, not homogeneity. Building on our distinctive campus identities, UMS will develop the best and most comprehensive statewide portfolio of programs and services to serve our students, businesses, and communities. Noting the Trustees’ and Presidents’ consensus concerning the need for a new operating model to accomplish this outcome, System strategic integration outcomes include the development of differentiating campus identities under the Board’s newly adopted vision, as well as integrating financial, administrative and academic resources and services.
Strategic Integration

- **Strategic Integration Target 1**: Complete all seven campus strategic plans, as well as those from other major elements of the enterprise (e.g., Extension), ensuring that, taken as a whole, they meet the statewide mission-defined portfolio of services. All plans complete and checked against the statewide portfolio by EOY 2014.

- **Strategic Integration Target 2**: Develop and implement a comprehensive financial management structure for the entire System that enhances transparency, enables appropriate fiscal control, and advances comprehensive intra-system collaboration. New model review September 2014; implementation in FY15.

- **Strategic Integration Target 3**: Develop a comprehensive administrative plan in FY15 that reduces total administrative costs, including academic administration, per student FTE to peer system benchmarks or below by FY17.

- **Strategic Integration Target 4**: Develop a model of academic program and portfolio review and integration that leverages academic resources to enhance program quality, expand access, and meets appropriate financial benchmarks, with at least three pilot projects underway in FY15.

While the current budget crisis may catalyze a much needed debate over funding public higher education, general economic conditions limit what can be expected from state appropriations in the near future. Likewise, any increases in tuition must be limited to what Maine families can reasonably afford. Finally, Maine demography points to ongoing stable or reduced enrollment for the majority of UMS institutions. Therefore, while opportunities for revenue growth and diversification must be pursued, revenue growth projections must be conservative. Costs, meanwhile, continue to rise despite major efforts to reduce the rate of expense increases. Meeting the requirement of System financial responsibility and sustainability requires financial outcomes that eliminate the current structural gap between revenues and expenses, meet standard measures of financial soundness, and yield resources to support priority outcomes and emerging opportunities.

Close the Structural Budget Gap

- **Financial Sustainability Target 1**: Reduce the current structural gap with year-over-year gap reduction that eliminates it entirely through a combination of expense reductions and revenue growth by FY19. Four year plan due in FY15. Revised budget calendar for FY16 complete July 2014.

Implement a Sustainable Financial Model

- **Financial Sustainability Target 2**: Achieve year-over-year improvement in the System Core Financial Ratios through FY19 with a goal of consistently exceeding the low benchmark for the Composite Financial Index. Where Board sanctioned activities require compromising these financial ratios, there must be an approved investment plan with a build-back strategy.

Ensure Investment Resources

- **Financial Sustainability Target 3**: Establish and maintain a BOT-directed strategic investment pool equivalent to 5% of the annual E&G state appropriations derived exclusively from Administrative Review savings by FY17. A plan for use of available FY15 funds is ready for BOT review July 2014.
MISSION CATEGORY I: EDUCATION

The University of Maine System is an integrated system of distinct campuses, centers and other facilities operating in concert to provide high-quality educational undergraduate and graduate opportunities that are accessible, affordable, and relevant to the needs of Maine students, businesses, and communities. Education mission outcomes are statewide access to educational opportunities, high rates of student success, and program affordability, quality, and relevance.

Ensure Student Access

- **Education Target 1.** Every Maine citizen with a high school diploma has access through diverse modes of delivery to an appropriate UMS degree or certificate program by FY17. Plan complete in FY15.

Increase Student Success

- **Education Target 2.** Each UMS institution executes retention and persistence strategies that achieves an ongoing, aggregate degree and certificate completion rate relative to market segment (each category of population served) exceeding the 3-year rolling average of peer institutions by FY19. Implementation plans are updated and reviewed annually.

- **Education Target 3.** Beginning in FY15, each campus will measure levels of student satisfaction through surveys such as the National Survey of Student Engagement or its VCAA approved equivalent with all outcomes reported to the BOT for review and action.

Ensure Program Affordability

- **Education Target 4.** Average in-state undergraduate tuition and mandatory unified fees as a percentage of 3-year rolling average of Maine median family income is in the lowest (best) quartile nationally with an initial plan for achieving that target available January 2015.

Ensure Program Quality

- **Education Target 5.** All program and campus accreditation requirements are met and System-reviewed; at least five UMS academic programs are rated in the top 50 of the best such programs in the country; at least two graduate programs are rated in the top-10. Benchmarks and strategies developed by the Presidents Council in FY15.

- **Education Target 6.** To ensure continuing innovation, the VCAA will maintain a portfolio of best pedagogic practices including the use of technology with updates and adoption metrics reported to the BOT twice annually, beginning FY15.

Ensure Program Relevance

- **Education Target 7.** Maine employer surveys show that UMS works actively with businesses to meet state workforce needs, and that UMS graduates are best-prepared to fill those needs at both the undergraduate and graduate level. Implementation plan by EOY 2014.

- **Education Target 8.** Alumni surveys show that UMS prepared them for career success as well as for civic engagement. Implementation plan by EOY 2014.
MISSION CATEGORY II – RESEARCH & ECONOMIC DEVELOPMENT

UMS research drives economic development by conducting world-class research, commercializing valuable ideas, and by partnering successfully with businesses and industries throughout Maine and beyond. Mission outcomes are research activity, developing new technologies, licensing and commercialization, and active economic development partnerships with Maine businesses.

Increase Research Activity

➢ Research and Economic Development Target 1. UMS maintains a sponsored programs grants and contracts effort growing greater than 3% annually on a 3-year rolling average from a 2013 baseline of $91MM and NSF-defined total research expenditures of $90MM.

Support New Technologies, Licensing, and Commercialization

➢ Research and Economic Development Target 2. Annual revenue from commercialization including IP licensing increases at least 20% annually on a 3-year rolling average from its current baseline of $200,000.

Increase Economic Development Partnerships


➢ Research and Economic Development Target 4. Annual revenue from activities with industrial partners increases from a FY13 baseline of $4.2MM to $9MM in FY17, and the number of contracts increases from a base of 407 in FY13 to 600 in FY19.

MISSION CATEGORY III - PUBLIC SERVICE

UMS is the state’s most engaged and responsive institution working on behalf of all Maine’s citizens, communities, and institutions. Excellence in Public Service involves the mission outcome of being widely recognized for critical community engagement with high public value.

Advance Community Engagement

➢ Public Service Target 1. Each UMS institution is formally recognized by appropriate regional or national organizations (e.g., the Carnegie Foundation for the Advancement of Teaching) for a high level of community engagement by FY19. Plan designed and implementation begins in FY15.

➢ Public Service Target 2. Regular community impact studies by each campus or major program show a continuous upward trend-line of community engagement and economic value. Plan designed and implementation begins in FY15.

Increase the Recognition of Public Value

➢ Public Service Target 3. Independent public surveys show that at least one UMS service to Maine families, businesses or communities is rated as important or essential by 80% of the state’s population by FY19. Plan designed and implementation begins in FY15.
Executive Summary

Cybersecurity is an evolving discipline that involves the study of strategy, policy, and standards regarding the security of and operations in cyberspace, and encompassing the full range of threat reduction, vulnerability reduction, deterrence, international engagement, incident response, resiliency, and recovery policies and activities, including computer network operations, information assurance, law enforcement, diplomacy, military, and intelligence missions as they relate to the security and stability of the global information and communications infrastructure (National Initiative for Cybersecurity Careers and Studies). In addition, this major offers a holistic approach to cybersecurity education by affording students the opportunity to take courses not only in computer science and technology but also in the humanities and social sciences (e.g. Crisis Communication, Human Communication Skills, Philosophy of Social Media, and Security). This document proposes a baccalaureate degree in cybersecurity offered by UMS Partnering Institutions as defined by a "Bachelor of Science in Cybersecurity Online Consortium - Memorandum of Understanding" (MOU). It proposes a 4-year program closely coordinated among the Partnering Institutions that is based on an existing curriculum. The curriculum has recently achieved National Security Agency/Department of Homeland Security (NSA/DHS) recognition as the core component of a UMS distributed Center of Academic Excellence in Information Assurance/Cyber Defense (CAEINCD).

The goals of the degree program are to prepare students to fill a gap in Maine's workforce and provide a smooth articulated path from Maine's community college system to an accredited Bachelor's degree from any of the Partnering Institutions. This is a practice-oriented curriculum with opportunities for internships and significant Capstone projects. The program curriculum has been designed to meet the stringent academic standards of the NSNDHS jointly sponsored CAEIA/CD program. This NSA/DHS recognition program serves as the de facto accreditation standard for Cybersecurity programs.

BS Cybersecurity graduates will meet an employment need in Maine's IT workforce, significantly improving the statewide prospect for excellence in the computer-based delivery of information security services. Local industry and state government are asking for this program as demonstrated through letters of support for the NSA/DHS CAEIA/CD (ref Appendix).

All program topics have been and continue to be taught by existing faculty among the Partnering Institutions. The financial analysis is strongly positive given that no new resources are required; to the contrary, newfound synergy among the Partnering Institutions and optimized sharing of existing resources are expected to yield savings while extending the effective reach and market potential for this much needed program.

Last Revised April 3, 2015
Having met the criteria for measuring the depth and maturity of established programs in the field of Information Assurance/Cybersecurity

University of Maine System
is hereby designated as a
National Center of Academic Excellence in
Information Assurance/Cybersecurity Education
for Academic Years 2014-2019

This certificate is presented in the recognition of significant contributions in meeting the national demand for information assurance/cybersecurity education, developing a growing number of professionals with information assurance and cybersecurity expertise in various disciplines, and ultimately contributing to the protection of the national information infrastructure.

ANDY OZMENT
Assistant Secretary
Cybersecurity and Communications, DHS

ADM MICHAEL S. ROGERS
Commander, U.S. Cyber Command
Director, NSA/Chief, CSS

DEBORA A. PLUNKETT
Information Assurance
Director, NSA
Administration of Multiple-Campus Degree Programs
Academic Year 2015-2016

Description of Multiple-Campus Degree Program: A degree program that is offered on multiple campuses using identical degree requirements. The program proposal must go through the full approval process (faculty and administration) on each campus. Campuses often share courses and instructors, but specific courses might also be duplicated on the various campuses. Each student matriculates at one of the campuses and earns their degree from that specific campus. Credit hours, tuition rates, and tuition revenue follow the instructor/campus, and the policies and procedures applicable to students may vary from campus to campus.

In our current multiple campus model, following is a breakdown of the administrative issues that must be addressed for at least the current academic year (AY 15-16).

This management model is applicable only to newly emerging multi-campus collaborations. All existing, ongoing MOUs will continue to be honored. This management model will be evaluated after AY15-16 (and any subsequent year for which it is used) to assist in formulating a future, more permanent management model.

I. Student policies, procedures, and support systems
   a. Marketing and student recruitment will be conducted at the individual campus level, with appropriate support from University College for online programs.
   b. Minimum admission and transfer standards for students will vary by campus, according to campus mission and policy. The program steering committee (see below) may decide to establish more stringent admission requirements that are consistent among the participating campuses, as long as minimum campus standards continue to be enforced.
   c. Students will be subject to all current policies and procedures, at both the campus and Trustee level (e.g., student conduct code, class registration, grade transfer, etc.)
   d. Students will be assigned advisors according to procedures at their home campus. However, the program steering committee may propose alternative assignment of faculty advisors within the program but perhaps from other campuses, to better balance instructor workloads and meet individual student needs.

II. Department structure and operations
   a. A steering committee will be established to include one faculty member from each participating campus. Faculty from each participating campus will make a recommendation for the steering committee appointment from their campus. Such recommendation shall be sent to their campus Provost / Vice President for Academic Affairs who will consider the recommendation and make the final decision for appointment.
   b. A chairperson will be elected from the steering committee membership, and that position will rotate among the campuses as appropriate.
   c. Members of the steering committee will also serve as program coordinators on their respective campuses.
d. The chairperson is responsible for convening the steering committee on a monthly basis and coordinating the schedule and delivery of program course requirements on a year-to-year basis.

e. The chief academic and student officers from chairperson's home campus will be responsible for representing and supporting the program, as needed, at the System level.

f. Individual instructors will continue to function as employees of their respective campuses with regard to all aspects of BOT policy, campus policy, and relevant collective bargaining agreement (e.g., compensation, performance evaluation, etc.)

g. Primary responsibility for faculty hires remains at the individual campus level. Search committees are encouraged to consider allowing a member or members of the program steering committee-from another campus-to participate in the search process in some manner and provide input and thoughts to the search committee for the search committee's consideration.

III. Curriculum

a. Any alterations to the program curriculum, including significant revision to individual course syllabi that result from significant changes in curriculum, must be initially approved by the program steering committee. After such approval is granted, the change must then be vetted and approved through the appropriate faculty process at each participating campus.

b. The steering committee is responsible for developing and maintaining a multi-year course schedule, including specific instructor and delivery mode. Nothing in this responsibility shall impact the modification of future schedules, including any necessary modification for sabbaticals that may be granted under the terms of the AFUM collective bargaining agreement.

IV. Budget and finance

a. Credit hours will follow the instructor and be housed at their campus of employment. Credit hours for team-taught courses will be divided between the two instructors’ home campuses, based on the percentage of the workload carried by each instructor.

b. Instructors will be financially compensated according to their contract with their individual campus of employment, including any stipend based on course delivery mode.

c. Financial aid will continue to be offered and managed by a student's home campus and according to that campus's policies and procedures.

d. Students will continue to be charged according to current policies and procedures; students taking courses from multiple campuses will be billed by each campus.

e. Students will be charged the standard tuition and fees applicable at their home campus. For courses taken from other campuses, they will continue to be charged the tuition rate in effect at the originating campus for those courses.

f. Tuition revenue will remain at the student's home campus, except for courses taken from other campuses.

g. Non-personnel expenses specific to a multi-campus program are the responsibility of the individual campuses, as negotiated by the steering committee with the chief academic officers at the participating campuses. However, the program steering committee may also propose program and/or course fees, common to students at all participating campuses, that would be restricted to cover such expenses.

This temporary operating model varies little from the current state of operations and does not yet fully capitalize on more collaborative, effective, and efficient opportunities that will improve the educational experience for our students. The UMS is on the brink of significant expansion of collaborative academic ventures among our seven campuses, which will require different ways of managing academic affairs writ large.
Financial Management Reorganization
Board of Trustees Charge

*Strategic Integration Target 2:* Develop and implement a comprehensive financial management structure for the entire System that enhances transparency, enables appropriate fiscal control, and advances comprehensive intra-system collaboration.
New Administrative Structure

Chief Financial Officer
Ryan Low

Chief Business Officers

Claire Strickland
Timothy Brokaw
Laurie Gardner
Pam Ashby
Mark Hatt
Ben Shaw
Buster Neel
### FY17 Budget Prep

<table>
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### FY18 Unified Budget

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Focus of CBO’s as we move towards implementation of a Unified Budget

1. Tuition & Fees
2. State Allocation Model
3. Institutional Aid/Waivers
4. Reserves
5. Outcomes Based Funding
6. Capital Project Funding
1. Tuition & Fees

- Tuition & Fees currently retained at campus level.
- Tuition levels in-state and out-of-state vary by campus

Issues

- Should UMS continue to set Tuition/Fees at the campus level, w/BOT approval?
- Should UMS consider establishing tuition levels based on tiers?
- How does different tuition levels at each campus impact the multi-campus student? Collaborative degree programming?

Timeline

2015

- July: CBO’s work to develop options for consideration
- Aug: Create subcommittees
- Sept: Seek stakeholder and campus input

2016

- Oct: Develop Policies to implement (to July 2016)
2. State Allocation Model

- Currently nearly 80% of the State appropriation is allocated based on the historic funding formula.
- 20%, plus 100% of any new appropriations are allocated through the OBF formula.

Issues

- In a unified budget, what is the best way to allocate revenue – both tuition and appropriations?
- Incremental model? Formula based model?
- Should tuition/fees revenue be centrally pooled?

Timeline

2015
- July: CBO’s work to develop options for consideration
- Aug: Create subcommittees
- Sept: Seek stakeholder and campus input
- Oct: Nov: Dec

2016
- Jan: Develop Policies to implement (to July 2016)
3. Institutional Aid/Waivers

- Institutional aid is funded and retained at the individual campus level.
- This includes grant and merit aid, as well as mandatory waivers and campus waivers.

**Issues**
- What changes, if any, should be recommended to apply for the way we consider Financial Aid moving forward?
- Should aid be funded and administered centrally?
- Is there additional back-office collaboration?

**Timeline**

2015
- July: CBO’s work to develop options for consideration
- Aug: Create subcommittees
- Sept: Seek stakeholder and campus input

2016
- Develop Policies to implement (to July 2016)
4. Reserves

- Each campus currently retains its own reserves with some campuses needing central reserves to balance.

Issues

- How will UMS handle reserve policy once we shift to a unified budget?
- Will we continue a campus-based policy or combine reserves with some % carrying back to campuses?

Timeline

- 2015
  - July: CBO’s work to develop options for consideration
  - Aug: Create subcommittees
  - Sept: Seek stakeholder and campus input
  - Oct: Develop Policies to implement

- 2016
5. Outcome Based Funding

- UMS established an outcomes based funding formula 3 years ago.
- For FY17, 20% of State appropriation flows throughout the formula.
- Current plan is 30% by 2019, plus 100% of any new money.

Issues

- In a unified budget, does OBF have a roll?
- Should OBF be eliminated as we attempt to breakdown individual budgeting silos?

Timeline

- **CBO’s work to develop options for consideration**
- **Create subcommittees**
- **Seek stakeholder and campus input**
- **Develop Policies to implement (to July 2016)**
6. Capital Project Funding

- Facility-related capital funding and related funding, if budgeted, is held in historic campus budgets. There is no capital fund per se.
- The University seeks to achieve certain goals regarding the quality, utilization and cost of facilities to improve its competitive position.
- Trustees specifically have called for capital budgeting to become a distinct component of the annual budget process.

Issues
- What changes, if any, in budgeting for such funds should be recommended to maximize progress toward the specified goals?
- Should there be an enterprise capital or capital facility fund?

Timeline

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- CBO’s work to develop options for consideration
- Create subcommittees
- Seek stakeholder and campus input
- Develop Policies to implement (to July 2016)