

# MAINE STATE LEGISLATURE

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Maine's  
Public  
Universities

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UNIVERSITY OF MAINE SYSTEM

**GOVERNMENT EVALUATION ACT REVIEW  
PROGRAM EVALUATION REPORT**

*Title 3: LEGISLATURE*

*Chapter 35: STATE GOVERNMENT EVALUATION HEADING: PL 1995, C. 488, §2*



# University of Maine System Government Evaluation Act Review

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## **Section A**

# **Enabling or Authorizing Law or Other Mandate**



**CHARTER OF THE UNIVERSITY OF MAINE SYSTEM**  
**Last Revised**

**NOTES**

1865  
P.& S.L.,  
c: 532.  
As Revised  
by P.& S.L.  
1897,  
Ch. 551\*  
Original  
Legislation  
read, "by the name  
of the Trustees of  
the State College  
of Agriculture and  
Mechanical Arts."

Section 1. Samuel F. Perley, N. T. Hill, Bradford Cummings, Thomas S. Lang, Dennis Moore, William D. Dana S.L. Goodale, Robert Martin, Alfred S. Perkins, Joseph Farwell, Seward Dill, Joseph Day, Ebenezer Knowlton, Hannibal Hamlin, Charles A. Everett and William Wirt Virgin, are hereby constituted a body politic and corporate, by the name of the University of Maine System, having succession as hereinafter provided, with power to establish and maintain, subject to the provisions and limitations of this Act, such a college as is authorized and provided for, by the Act of the Congress of the United States, passed on the second day of July, in the year eighteen and sixty two, entitled, "an act donating lands to the several states and territories, which may provide colleges, for the benefit of agriculture and the mechanic arts." They shall be entitled to receive from the state the income which shall accrue from the funds granted to the state by the act aforesaid, and shall apply the same, together with all such income as they shall receive from any other sources to the maintenance of the college in conformity with the Act of Congress.

\*C. 551 also declares "and the said University of Maine System shall have all the rights, powers, privileges, property, duties and responsibilities, which belong to or have belonged to the Trustees."

1967,  
P.& S.L.,  
c. 229 as amended  
by P.& S.L., 1970,  
c. 238, and 1985  
P.L. c. 779, eff.  
July 16, 1986,  
which changed the  
name of the Univ.  
to University  
System. (Merger  
effective 04-26-68)

Section 1-A. Establishment; purposes. To develop, maintain and support a cohesive structure of public higher education in the State of Maine and in full recognition of the principle that each institution of higher education shall have a proper measure of control over its own operations and that its faculty shall enjoy the academic freedoms traditionally accorded institutions of higher education in teaching, research, and expressions of opinions, a system unifying the University of Maine, Gorham State College, Farmington State College, Aroostook State College, Washington State College and Fort Kent State College is established under the name of the University of Maine "System." As used in this Act, unless the context otherwise indicates, "University" means the University of Maine System.



1865  
P.& S.L.,  
c. 532.

Section 2. The Trustees shall annually elect one of their number to be president of the Board. They shall appoint a clerk and treasurer both of whom shall be sworn, and shall hold their offices at the pleasure of the Trustees. The clerk shall record all proceedings of the Board, and copies of their records certified by him shall be evidence in all cases in which the originals might be used. The treasurer shall be required to give suitable bond, and to renew the same, whenever the Trustees shall require.

1865  
P.&S.L.,  
c. 532., as  
repealed 1997,  
P. & S.L. , c. 37

Section 3. Power of Governor. (Repealed, 1997, P.L., c. 37)

1967, P. & S.L.  
c. 229, as amended  
1991 P.L. c. 147

Section 4. Board of Trustees. The Board of Trustees of the University of Maine System shall consist of 16 members.

1. Commissioner of Educational and Cultural Services. The Commissioner of Educational and Cultural Services shall serve as a voting member ex officio.

2. Members appointed by the Governor. Fourteen members shall be appointed for 5-year terms by the Governor, subject to review by the joint standing committee of the Legislature having jurisdiction over education and confirmation by the Legislature. Each term shall expire on May 26th of the appropriate year, except that the retiring member shall serve until a successor is appointed by the Governor and confirmed by the Legislature. No person accepting such appointment may be a member of the State Board of Education. In making appointments, the Governor shall strive to achieve a membership which is representative of the population of this State. Insofar as feasible when selecting qualified nominees to the Board, the Governor shall consider affirmative action criteria, professional education and experience and an equitable geographical representation among the members. Trustees may serve a maximum of 2 terms, except that an individual appointed to fill an unexpired term of 3 years or less is eligible for appointment to 2 full terms. Vacancies shall be filled by the Governor, subject to review by the joint standing committee of the Legislature having jurisdiction over education and confirmation by the Legislature, for the unexpired balance of the term. In order to restore and maintain rotation of terms of office of Trustees, an incumbent Trustee who was appointed for a term of 5 years at a time subsequent

to the expiration of the term of his predecessor in office shall be deemed to have commenced his 5-year term upon the date of the expiration of the term of office of his predecessor rather than from the date of his appointment and qualification. Trustees shall serve without compensation, but may be reimbursed for travel and other expenses incurred in the performance of their official duties.

As enacted, 1983,  
PL c. 33 and  
amended 1985, PL  
c. 779 & 1987, PL  
c. 735

3. Student member. One of the members shall be a full-time student at one of the campuses of the University of Maine System at the time of appointment and shall be a permanent resident of the State. To be eligible as a student member, a student must be enrolled for a minimum of 12 credit hours per semester. The student member shall be a full voting member of the Board of Trustees and shall serve for a 2-year term and until a successor is qualified. Sixty days prior to the expiration of the student member's term, the Governor shall solicit a list of 6 eligible students from the student senates from 6 of the campuses within the University of Maine System; the 7th campus being excluded in accordance with this subsection. The Governor shall then nominate a student member within 30 days of receiving the list of names and the nomination shall be subject to review by the Joint Standing Committee on Education and confirmation by the Legislature. The student representative shall not come from the same campus in any 2 consecutive terms. In the event that the student representative transfers from one campus to another during the student's term of appointment, the original campus of enrollment shall prevail in reference to the provisions of the subsection.

As enacted 1997,  
P & SL c. 37

3-A. Alumni members. The Governor shall make every effort to appoint to the Board of Trustees, subject to review by the joint standing committee of the Legislature having jurisdiction over education matters and confirmation by the Senate, 7 alumni members, one from each of the universities in the system.

Enacted 1991 PL  
c. 147

4. Meetings of the Board of Trustees. The Board of Trustees shall meet from time to time at each of the various campuses of the University of Maine System whenever reasonably practical. Each meeting of the Board must include an opportunity for citizen input.

Each citizen must be permitted to address the Board for a period of time established by the Board.

5. Transition. In order to continue the staggered nature of the terms of the Board of Trustees during the transition from 7 to 5-year terms, one of the successors to the 2 members whose terms expire in 1984 shall be appointed to a 3-year term and one to a 4-year term; and one of the successors to the 2 members whose terms expire in 1985 shall be appointed to a 4-year term and one to a 5-year term. The member appointed to the 3-year term is eligible for appointment to 2 full terms. The members appointed to 4-year terms are eligible for appointment to one full term.

1967 P & SL  
c. 229 as amended  
1987, PL 20

Section 4-A. Administration; Chancellor; campus heads; advisory committees. The Board of Trustees shall appoint a Chancellor of the University System who shall serve at its pleasure and be chief administrative and education officer thereof. The Chancellor may maintain an office at Augusta and such other offices as the Board of Trustees may designate. The Chancellor shall nominate and the Board of Trustees shall appoint the persons to head the various campuses and shall give the persons such titles as shall be deemed appropriate. The head of a campus shall not serve concurrently as Chancellor or as a member of the Board of Trustees. The Board of Trustees shall appoint such advisory committees on behalf of the various campuses and such other advisory committees as may appear desirable.

1967 P & SL  
c. 229, as amended  
1987 PL c. 20, and  
further amended,  
1997 P & SL, c.37

Section 4-B. Duties of the Board of Trustees, Chancellor and heads of the various campuses.

1. Board of Trustees; duties. The Board of Trustees, in consultation with the Chancellor, is the governing and planning body of the university and in addition has responsibility for preparing and approving the operating and capital budgets of the university and presenting them in accordance with the direction in the Maine Revised Statutes, Title 5, Section 1665, and Title 5, chapter 153. In fulfilling its duties, the Board of Trustees shall:

A. Support and enhance the system and the mission of the system;

B. Provide sound financial management of the system;

C. Exercise prudent stewardship of the assets of the system;

D. Evaluate the Chancellor and presidents appointed by the Board of Trustees pursuant to section 4-A;

E. Plan strategies for programs and allocation of resources that most effectively serve the educational needs of the citizens of this State;

F. Develop and maintain a strong system of accountability to the public for performance results of the system;

G. Visibly advocate higher education as a means to strengthen the economy and communities of the State; and

H. Establish mechanisms for review and approval of system programs.

1967 P & SL,  
c. 229 as amended  
by 1987 P & SL,  
c. 769, sec. 190 &  
further amended  
1997 P & SL,  
c. 37

2. Chancellor and staff members; duties. The Chancellor shall exercise such powers and fulfill such responsibilities as are delegated by the Board of Trustees. The Chancellor may delegate any of such powers and responsibilities to members of the Chancellor's staff as necessary. The Chancellor is the chief administrative and education officer of the system and shall:

A. Provide leadership to the universities in the system in addressing the State's highest priority needs;

B. Establish a vision and planning for the system that:

(1) Provides quality education that is affordable and accessible for the students of this State; and

(2) Strengthens the State's economy for its citizens;

C. Promote system planning, in collaboration with university presidents, for academic affairs, student affairs, outreach and community services programs, financial operations, capital plans and resource allocations;

D. Prepare all operating and capital budgets, appropriation requests and bond issues;

E. Take an active role in the nomination, appointment and evaluation of persons to head the universities and to serve in other major staff positions in the system;

F. Develop and implement an effective statewide public relations and legislative program;

- G. Provide a centralized management oversight of services;
- H. Coordinate University of Maine System academic offerings to avoid duplication with private and public institutions in this State; and
- I. Develop a method to transfer academic credits to all universities within the University of Maine System .

Amended 1997,  
P & SL, c. 37

3. Head of each campus; duties. 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; and in addition, shall exercise such rights and privileges as are generally recognized in the administering of admissions, curriculum development, extracurricular programs, long- range planning within the framework of the overall university plan, and supervision of faculty.

4. Administrative council. (Repealed, 1987, P.L., c. 20)

As enacted 1997  
P & SL

5. Boards of Visitors; membership; duties; reimbursement. Each of the 7 universities has a Board of Visitors.

A. Each Board of Visitors consists of up to 20 members recommended by campus presidents and confirmed by the Board of Trustees. Membership should reflect the mission of the university and the region it serves.

B. Each Board of Visitors shall:

(1) Advocate for the university;

(2) Raise private funds for the university;

(3) Advise the head of each campus on community and regional needs; and

(4) Review for final recommendation to the Board of Trustees tuition increases, new academic programs and the 5-year plan of the university.

Amended, 2003 P  
& SL 14

(5) Submit an annual report of its activities to the Board of Trustees. The Board of Trustees shall submit a copy of the annual report of each

Board of Visitors to the Legislature and to the Joint Standing Committee of the Legislature having jurisdiction over education matters annually in January as part of its report required in the Maine Revised Statutes, Title 20-A, section 10902-A.

C. Members of the Boards of Visitors may receive reimbursement for travel and other necessary expenses for attendance at meetings of the Board. Reimbursement expense for Board members must be absorbed within the existing budgeted revenues of the University of Maine System.

1967 P & SL  
c. 229 as amended  
1987 PL c. 735,  
sec. 76

Section 4-C. Properties, assets and liabilities. Thirty days after the effective date of this Act all of the assets, tangible or intangible, as real, personal and mixed, of, or used in connection with, Gorham State College, Farmington State College, Aroostook State College, Washington State College, Fort Kent State College, respectively, except such as are in trust or are subject to limitations purporting to restrict their transferability or assignability, are transferred and assigned to the University System. Any gift, bequest, devise or other transfer or conveyance to any state college which takes effect after the date of transfer of assets of the colleges to the University System shall become the property of the University System. All moneys appropriated to the state colleges and unexpended as of thirty days after the effective date of this Act shall be transferred over to the University System. As a condition of continued receipt of public funds, the University System shall assume the care, control, and disposition of said property together with all the duties and legal obligations and management of the former affairs of the state colleges including any obligations in connection with indebtedness for dormitories and dining facilities.

Any student fees relating to said state colleges presently required to be paid into the General Fund of the State shall continue to be paid into the fund until June 30, 1969. The Attorney General of Maine is authorized and empowered to execute in the name of the State any documents necessary to effect the above transfers. The Attorney General is directed to institute any court actions necessary to effectuate the transfer of properties held in trust or subject to any limitations purporting to affect their transferability.

As amended 1987  
PL c. 735

Any property previously or hereafter received by the University System which has been designated or limited for particular purposes or uses shall be used by the University System only for those

purposes.

1973, P & SL,  
c. 84 as amended  
1979 PL c. 541,  
sec. 71 of Part B

Ownership of any real property formerly held by Aroostook State College, Farmington State College, Fort Kent State College, Gorham State College or Washington State College, which is removed from educational use by the University of Maine System, may be sold by the University of Maine System subject to the approval of the Governor or may be conveyed by gift by the University of Maine System to any entity in whose ownership and use it will be exempt from real estate taxation.

1967 P & SL  
c. 229, as amended  
by 1969, P & SL  
c. 66

Section 4-D. Options for employment benefits of personnel. All personnel heretofore employed at the state colleges shall have the option of continuing their membership, if such exists, in the Maine State Retirement System or of becoming members of the retirement system in effect at the University System at the time the election is made. Such election shall be made within 6 months after the effective date of this Act on forms and in such manner as the Board of Trustees of the University of Maine System may direct. As to each such employee who elects to continue membership in the Maine State Retirement System, it shall thereafter be the responsibility of the University System to provide for payment from its appropriation to the Treasurer of the State of the amount which would have been the state's contribution to the retirement system for such employee had he remained in the state's service. Notwithstanding any other provisions of law, as to all such employees who elect to become members of the retirement system in effect at the University, such employees shall, within 90 days after such election, authorize the Maine State Retirement System to pay through the Treasurer of State into the retirement system in effect at the University System the total of the member's contributions for said employee. Any such employee electing to become a member of the retirement system in effect at the University System who has vested rights under the Maine State Retirement System may elect, notwithstanding the foregoing provision, to leave his contributions on deposit in said system. Within 6 months after the effective date of this Act, such employees shall exercise the option of determining whether they shall keep their personnel classification, salary level and tenure rights, to the extent they now exist, for their work with their present institutions, or adopt such benefits as they exist under the system in effect at the University System at the time election is made. The intent of the election herein provided is to assure that no employee's job classification, salary level and tenure rights shall be adversely affected solely as a result of the

unification provided for in this chapter. The Board of Trustees shall have the final authority in their efforts to work out, as well as may be, uniform personnel policies and procedures for all employees of the University of Maine System, except that nothing contained herein in any way shall abrogate the options for employment fits in this section. No faculty member employed at one campus may be transferred to another campus without his consent.

1967 P & SL

Section 4-E. Student tuition. (Repealed, P. & S.L., 1970, c. 251, para. D.)

1969 P & SL  
c. 117

Section 4-F. Contracts. The Board of Trustees of the University of Maine System shall have authority to authorize contracts with the State of Maine, or any department or agency thereof, or any city, town, district or other public instrumentality, on such terms and conditions as they shall approve for the furnishing to the University System of water and sewer services. The term of any such contract may not exceed 50 years.

Section 5. Power of Trustees to accept property. (Repealed, 1987, P.L., c.735)

Section 6. Governor & Council to sell land scrip. (Repealed, 1987, P.L., c. 735)

1865 P & SL  
c. 532

Section 7. It shall be the duty of the Trustees, as soon as may be, after their organization, to procure a tract of land suitable as a site for the establishment of the college. If no other provision shall be made therefor, there shall be placed at the disposal of the Trustees for this purpose, such proportion as the governor may deem suitable, of that part of the fund, which is authorized by the fifth section of the act of congress to be expended for the purchase of lands for sites or experimental farms.

Section 8. Trustees to appoint staff, set qualifications for admission. (Repealed, 1987, P.L., c. 735)

1865 P & SL  
c. 532 as amended  
1991 PL c. 147,  
548

Section 8-A. The Trustees of the University of Maine System, or such administrators of the University of Maine System as the Trustees may designate for this purpose, may appoint persons to act as police officers who, within the limits of the property owned by or under the control of the University of Maine System possess all of the powers of police officers in criminal cases and civil violations.



The Trustees may make rules and regulations for the control, movement and parking of vehicles within the limits of the property owned by or under the control of the University of Maine System. The rules and regulations have the same force and effect as municipal ordinances and District Courts are authorized to impose fines not to exceed \$50 for each parking violation. The Trustees, by resolution, may adopt the provisions of the Maine Revised Statutes, Title 30-A, Section 3009 relating to prima facie evidence, the establishment of a waiver of court action by payment of specified fees and the establishment and policing of parking spaces for handicapped persons. Notwithstanding this paragraph, speed limits within the limits of the property owned by or under the control of the University of Maine System must be established by the Department of Transportation and the Maine State Police as provided in the Maine Revised Statutes, Title 29, section 1251 and the speed limits must be posted by the University of Maine System in accordance with written directions or policies of the Department of Transportation. The violation of any rules and regulations relating to the movement of vehicles is deemed to be a traffic infraction unless defined as a felony or misdemeanor under Title 29.

2003 PL c. 233

The Trustees of the University of Maine System may authorize the University of Maine System's full-time police officers who have met the requirements of the Maine Revised Statutes, Title 25, section 2804-C to perform any of the acts described in Title 17-A, section 15 while outside of the limits of the property owned by or under control of the University of Maine System if the law enforcement agency of a foreign municipality in which the arrest is to be made has requested assistance in advance by cooperative agreement. When a University of Maine System police officer makes an arrest outside the limits of the property owned by or under control of the University of Maine System as authorized in this section, that police officer has the same immunity from tort liability and all of the pension, relief, disability, workers' compensation, insurance and any other benefits the police officer enjoys while performing duties within the limits of the property owned by or under control of the University of Maine System..

1865 P & SL  
c. 532

Section 9. In addition to the instruction which is to be given by, classes, textbooks, lectures, and apparatus, in such branches of learning as are related to agriculture and the mechanic arts, the Trustees shall provide, as fully as may be for practical experiments and demonstrations of scientific principles and rules. They shall encourage, and for due proportions of time, at different seasons of the

year, and with reference to other exercises, require all the students to engage in actual labor upon the lands and in the workshops with which the college may be furnished, and shall provide suitable oversight and direction in such labor, so that they may become habituated to skillful and productive industry.

1951 P & SL  
c. 97

Section 9-A. College of medicine authorized; standards of scholarship, degrees. The Board of Trustees of the University of Maine System is hereby authorized to locate, construct, equip, and operate a college of medicine and to set, establish and maintain standards of teaching and scholarship therefore; provided, nevertheless that the location, construction, and operation shall meet the approval of and that the standards of teaching and scholarship be at least equal to standards approved by the Council of Medical Education and Hospitals of the American Medical Association and of the Association of American Medical Colleges; and provided further, that the Board of Trustees shall be under no duty to perform any function under this section unless and until, in its opinion, the Board has received or is assured of sufficient funds either by gift from any source or by appropriation by the State of Maine to successfully construct and operate such college of medicine. The Board of Trustees is authorized to confer the degree of "Doctor of Medicine" upon such students of the college of medicine, when so established, as complete the 4-year course of said college to the satisfaction of said Board of Trustees.

1881 P & SL  
c. 74

2005 P & SL c. 28

Sec. 9-B. Graduate school of biomedical sciences. The Board of Trustees of the University of Maine System is authorized to establish a graduate school of biomedical sciences, referred to in this section as "the school," to educate and train students in basic and clinical fields of biomedicine and the biosciences. If the board establishes a graduate school of biomedical sciences, it must be in accordance with the following:

A. The school must be established in partnership with the Jackson Laboratory, the Maine Medical Center Research Institute and the Mount Desert Island Biological Laboratory, referred to in this section as "partner institutions."

B. The mission of the school is to administer a graduate education and fellowship program that is open on a competitive basis to its partner institutions, other Maine biomedical research institutions, Maine private education institutions and the University of Maine System.

C. To attract the most highly qualified graduate students from around the country and around the world, the school shall make every effort to ensure that the stipends offered by the school are sufficient to compete with the fellowship offers of the leading universities in the United States.

D. The Board of Trustees of the University of Maine System shall administer the school with the aid of an advisory committee composed of one representative from each of the partner institutions; one representative from the University of Southern Maine; one representative from the University of Maine System; and one representative from another research institution or institution of higher education in the State.

E. The school shall serve as the coordinating entity for interdisciplinary or interinstitutional graduate programs, including but not limited to doctoral programs in functional genomics, the Institute for Molecular Biophysics, cooperative doctoral programs in biochemistry and the Maine Institute for Human Genetics and Health.

F. The school shall work towards developing a college of allied health professions.

1865 P & SL  
c. 532

Section 10. Required military tactics for all students. (Repealed, 1963, P&SL, c.73)

1865 P & SL  
c. 532

Section 11. Such other studies are to be taught within the limitations of the act of Congress, as the facilities of the college, and the periods of instruction will permit.

1865 P & SL  
c. 532

Section 12. Students who satisfactorily complete any one or more of the prescribed courses of study, may receive public testimonials thereof, under the direction of the Trustees, stating their proficiency.

1865 P & SL  
c. 532

Section 13. Tuition. (Repealed, 1997, P.L., c.37)

1865 P & SL  
c. 532

Section 14. Morality and justice (Repealed, 1997, P.L., c.37)

1865 P & SL  
c. 532

Section 15. Trustees may limit admissions. (Repealed, 1987, P.L., 735)

1865 P & SL  
c. 532

Section 16. Trustees meetings and compensation. (Repealed, 1987, P.L., c.735)

1865 P & SL  
c. 532

Section 17. Treasurer's Report. (Repealed, 1987, P.L., c.735)

1865 P & SL  
c. 532. Amended  
1997 P & SL c. 37

Section 18. Rights of the Legislature reserved. The Legislature has the right to grant any further powers, to alter, limit or restrain any of the powers vested in the Board of Trustees of the University of Maine System established by this Act, as may be judged necessary to promote the best interests thereof. And this act takes effect upon its approval by the Governor.

NOTE:

1997, P.L. c. 37 also provided for the following:

Board of Trustees; review and report.

1. Review. The Board of Trustees of the University of Maine System shall:

A. Conduct a review and evaluation of programs existing on the effective date of this Act. This review must identify which of the programs best address future educational and economic priorities of citizens of the State;

B. Review the current method of distributing state resources in light of distinctive missions, enrollment shifts, program priorities, changing program costs, demographic patterns and emerging needs of the State. As part of its review, the Board shall ensure that the needs of the State's nontraditional students are met in a more equitable manner;

C. Determine what savings result from reorganization of the system as set out in this Act and develop a mechanism to ensure that any such savings are used to reduce increases in tuition; and

D. Study methods employed in other jurisdictions and make recommendations to create a system that is substantially more market-driven.

2. Report. The Board of Regents shall report its findings and recommendations based on its work pursuant to subsection 1 to the Joint Standing Committee on Education by January 1, 1998. The Joint

Standing Committee on Education may report out legislation it determines based on the report.

**Maine Revised Statute Title 20-A, Chapter 411: UNIVERSITY OF MAINE  
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## 20-A §10901. DEFINITIONS

As used in this chapter, unless the context otherwise indicates, the following terms have the following meanings. [1981, c. 693, §§ 5, 8 (NEW).]

**1. Trustees.** "Trustees" means the Trustees of the University of Maine System.

[ 1985, c. 779, §46 (AMD) .]

**2. University.** "University" means the University of Maine System.

[ 1985, c. 779, §46 (AMD) .]

### SECTION HISTORY

1981, c. 693, §§5,8 (NEW). 1985, c. 779, §46 (AMD).

## 20-A §10901-A. UNIVERSITY OF MAINE SYSTEM

The University of Maine System is made up of 7 universities. [2005, c. 12, Pt. UUU, §1 (NEW).]

**1. Campuses.** The universities of the University of Maine System are located and named as follows:

A. Orono - University of Maine; [2005, c. 12, Pt. UUU, §1 (NEW).]

B. Augusta - University of Maine at Augusta; [2005, c. 12, Pt. UUU, §1 (NEW).]

C. Farmington - University of Maine at Farmington; [2005, c. 12, Pt. UUU, §1 (NEW).]

D. Fort Kent - University of Maine at Fort Kent; [2005, c. 12, Pt. UUU, §1 (NEW).]

E. Machias - University of Maine at Machias; [2005, c. 12, Pt. UUU, §1 (NEW).]

F. Presque Isle - University of Maine at Presque Isle; and [2005, c. 12, Pt. UUU, §1 (NEW).]

G. Portland and Gorham - University of Southern Maine. [2005, c. 12, Pt. UUU, §1 (NEW).]

[ 2005, c. 12, Pt. UUU, §1 (NEW) .]

### SECTION HISTORY

2005, c. 12, §UUU1 (NEW).

## 20-A §10902. PUBLIC POLICY ON HIGHER EDUCATION

The following shall be the fundamental policies adhered to in the state's public higher educational planning: [1981, c. 693, §§5, 8 (NEW).]

**1. Recognition.** To recognize higher education as an organized program of instruction, research and service:

A. Primarily concerned with the field of organized knowledge, related theory and associated practice; [1981, c. 693, §§5, 8 (NEW).]

B. Offered by a collegiate institution, not necessarily of 4 years, authorized to award academic degrees; and [1981, c. 693, §§5, 8 (NEW).]





C. Administered and systematically pursued on a full-time or part-time basis by persons who have completed secondary school or who demonstrate equivalent competence; [1981, c. 693, §§5, 8 (NEW) .]

[ 1981, c. 693, §§5, 8 (NEW) .]

**2. Principles.** To support the principles that each higher educational institution in the State, public and private:

A. Shall have control over its educational program and related activities, within its board of control; [1981, c. 693, §§5, 8 (NEW) .]

B. That its faculty shall enjoy the freedom traditionally accorded to the faculty of higher educational institutions in teaching, research and expression of opinions; and [1981, c. 693, §§5, 8 (NEW) .]

C. That the faculty shall be consulted in the formulation of academic policies pertaining to it; [1981, c. 693, §§5, 8 (NEW) .]

[ 1981, c. 693, §§5, 8 (NEW) .]

**3. Cohesive system.** To develop, maintain and support a structure of public higher education in the State which will assure the most cohesive system possible for planning, action and service in providing higher educational opportunities, to which the highest priority for fiscal support shall be assigned;

[ 1981, c. 693, §§5, 8 (NEW) .]

**4. Programs.** To provide in its public higher educational institutions, or through cooperative arrangements with private institutions or institutions outside the State, the programs of study, research or experimentation that its citizens may require;

[ 1981, c. 693, §§5, 8 (NEW) .]

**5. Encourage growth.** To encourage the growth and development of existing or new private higher educational institutions within the State where studies justify their continuation or establishment;

[ 1981, c. 693, §§5, 8 (NEW) .]

**6. All citizens eligible.** To recognize that all citizens shall be considered eligible for the benefits of appropriate higher education, whether they are high school graduates or the equivalent, or those seeking retraining or training for new careers;

[ 1981, c. 693, §§5, 8 (NEW) .]

**7. Public funds.** To assign continually a high priority in the allocation of public funds to the development of services, programs and institutions designed to provide opportunities for those who do not now share equitably in the advantages of higher education, because of limiting economic, social, educational and cultural factors;

[ 1981, c. 693, §§5, 8 (NEW) .]

**8. Financial support.** To support financially the programs of public higher educational institutions through appropriations, grants and loans, based on comprehensive plans and budgets, both short-term and long-term;

[ 1981, c. 693, §§5, 8 (NEW) .]

**9. Public accountability.** To expect appropriate public accountability for this support;



[ 1981, c. 693, §§5, 8 (NEW) .]

**10. Federal funds.** To encourage all institutions, public and private, to make maximum use of federal funds available for the support of higher educational programs and activities, the State to provide matching funds, where necessary, initially and on a continuing basis;

[ 1981, c. 693, §§5, 8 (NEW) .]

**11. Cooperative undertakings.** To expect and request cooperative undertakings among the higher educational institutions, public and private, and between them and the business, industrial and labor interests, to further the development of quality and quantity in educational programs and services and the advancement of the state's economy;

[ 1981, c. 693, §§5, 8 (NEW) .]

**12. Evaluation and research.** To encourage a continuing program of evaluation and research with respect to higher educational opportunities in the State through financial support and the expectation of annual reporting;

[ 1981, c. 693, §§5, 8 (NEW) .]

**13. Master plan.** To give a high priority to the provisions of the master plan for higher education through legislative action and appropriate publicity;

[ 1983, c. 97, §1 (AMD) .]

**14. Commuter education.** To make the most effective use possible of the financial resources allocated to public higher education by maximum emphasis on commuter facilities.

[ 1981, c. 693, §§5, 8 (NEW) .]

**15. Transfer of credits.** To provide for a uniform system of transferring credits for equivalent courses between the various units of the University of Maine System;

[ 1985, c. 779, §47 (AMD) .]

**16. Uniform course numbering.** To provide for a uniform system of the numbering of courses for equivalent courses between the various units of the University of Maine System;

[ 1985, c. 779, §48 (AMD) .]

**17. Uniform course descriptions.** To provide for a uniform system of course descriptions for equivalent courses between the various units of the University of Maine System;

[ 1991, c. 407, §2 (AMD) .]

**18. Temporary Assistance for Needy Families recipients.** To develop programs with the goal of enabling recipients of Temporary Assistance for Needy Families to achieve educational and skill levels that will assist them to compete for employment; and

[ 1991, c. 407, §3 (AMD); 1997, c. 530, Pt. A, §34 (AMD) .]

**19. Public school restructuring.** To encourage the public and private postsecondary education institutions in the State to cooperate with the commissioner, the state board and school administrative units to provide appropriate and timely professional development programs and other support services to educators in public schools engaged in school restructuring efforts.



[ 1991, c. 407, §4 (NEW) .]

SECTION HISTORY

1981, c. 693, §§5,8 (NEW). 1983, c. 97, §§1,2 (AMD). 1983, c. 806, §§79,80 (AMD). 1985, c. 779, §§47,48 (AMD). 1987, c. 402, §A121 (AMD). 1991, c. 407, §§2-4 (AMD). 1997, c. 530, §A34 (AMD).

## **20-A §10902-A. REPORT BY TRUSTEES**

The trustees, or their board representative, shall appear annually, in January, before the Joint Standing Committee on Education to report on efforts by the University of Maine System to comply with the state public policy on higher education established by section 10902. That report shall include, but need not be limited to, the following: [1985, c. 779, §49 (AMD) .]

**1. Planning.** Efforts of the trustees to assure a cohesive system of planning for a delivery of higher educational opportunities; and

[ 1983, c. 799, §2 (NEW) .]

**2. Accounting.** An accounting of the prior year's funding.

[ 1983, c. 799, §2 (NEW) .]

SECTION HISTORY

1983, c. 799, §2 (NEW). 1985, c. 779, §49 (AMD).

## **20-A §10902-B. REPORT BY CHANCELLOR**

The Chancellor of the University of Maine System shall be invited by the Speaker of the House of Representatives and the President of the Senate annually, in January, to appear before a joint session of the Legislature to address the Legislature on the state of the university system and such other matters as the chancellor desires to bring to the Legislature's attention. [1985, c. 779, §50 (AMD) .]

SECTION HISTORY

1983, c. 799, §3 (NEW). 1985, c. 779, §50 (AMD).

## **20-A §10903. STATE AGENCY**

The university shall be an instrumentality and agency of the State for the purpose for which it was established and for which it has been managed and maintained under Private and Special Law 1865, chapter 532, and related supplementary legislation. [1981, c. 693, §§ 5, 8 (NEW) .]

SECTION HISTORY

1981, c. 693, §§5,8 (NEW).

## **20-A §10904. TRUST FUNDS**

**1. Accounting.** Endowment, trust and other nonexpendable funds for investment held by the trustees, which have been or may be created and established by private donors for the benefit of the university or for any purpose directly related to the activities of the university, shall be preserved in their several separate identities in the books of account of the university and administered according to the terms of the gifts.



[ 1981, c. 693, §§ 5, 8 (NEW) .]

**2. Management of individual funds.** For the purpose of investment only, and in order to afford to each fund the advantage of a diversification of risk wider than can be obtained by preserving the investment unity of each fund, and in the absence of any conditions or restrictions to the contrary made by the donor, the trustees may combine, pool and merge these funds with other similar funds. The trustees shall account for profits, losses and income to each individual fund in the proportion which its value bears to the total value of the merged fund as of the date of merger.

[ 1981, c. 693, §§ 5, 8 (NEW) .]

**3. Valuation of individual funds.** If a new fund is merged into an existing combination of funds, the proportionate shares shall be determined by calculating the assets of the existing combination of funds at the then market value, and calculating the future shares of each individual fund in proportion to its value to the whole of the new combination.

[ 1981, c. 693, §§ 5, 8 (NEW) .]

SECTION HISTORY

1981, c. 693, §§5,8 (NEW) .

**20-A §10904-A. MAINTENANCE FUND**

The treasurer of the university shall establish and maintain a fund for maintenance of building space constructed with proceeds of any bond issued pursuant to an Act of the Legislature that requires such an account. The trustees shall acquire sufficient private and other non-General Fund contributions to maintain the space for the expected duration of its use. [1997, c. 718, Pt. B, §1 (NEW); 1997, c. 718, Pt. A, §10 (AFF); 1997, c. 718, Pt. B, §2 (AFF).]

SECTION HISTORY

1997, c. 718, §B1 (NEW). 1997, c. 718, §§A10,B2 (AFF) .

**20-A §10905. TREASURER; COMPENSATION**

The trustees shall appoint a full-time treasurer of the university. The treasurer shall give bond for the faithful performance of the duties of the office in an amount and with such conditions and sureties as the trustees may determine. The compensation of the treasurer shall be set by the trustees. [1983, c. 862, §65 (AMD) .]

SECTION HISTORY

1981, c. 693, §§5,8 (NEW) . 1983, c. 806, §81 (AMD) . 1983, c. 862, §65 (AMD) .

**20-A §10906. POWERS AND DUTIES OF TREASURER**

**1. Receipt and custody of moneys, expenditures, authority to contract.** The treasurer shall:

A. Receive and have custody of all moneys received for the university; [1981, c. 693, §§ 5, 8 (NEW) .]

B. Make all expenditures upon vouchers authenticated and approved in a manner designated by the trustees; and [1981, c. 693, §§ 5, 8 (NEW) .]

C. Have no authority to contract debts and obligations or borrow money except:





- (1) Loans in anticipation of assured revenues when approved by vote of the trustees; and
- (2) Other loans when directed by vote of the trustees and duly and properly authorized by the Governor.

All such loans shall be effected in accordance with the provisions of chapter 412. [1987, c. 735, §13 (AMD) .]

[ 1987, c. 735, §13 (AMD) .]

**2. Report of treasurer.** The treasurer shall prepare a complete report for the period ending on June 30th of each year and forward a copy of the report to the Governor, the board of trustees and the members of the Legislature.

[ 1981, c. 693, §§ 5, 8 (NEW) .]

#### SECTION HISTORY

1981, c. 693, §§5,8 (NEW). 1987, c. 735, §13 (AMD) .

### **20-A §10907. TRANSFER OF CREDITS; UNIFORM COURSE NUMBERING; UNIFORM COURSE DESCRIPTION; COMMITTEE**

**1. Formation.** The Chancellor of the University of Maine System shall form a committee composed of:

A. The Dean of Academic Affairs or designee from each campus of the University of Maine System; [1985, c. 779, §51 (AMD) .]

B. One faculty member selected by the faculty from each campus of the University of Maine System; [1985, c. 779, §51 (AMD) .]

C. One student representative selected by the student body of each campus of the University of Maine System; [1985, c. 779, §51 (AMD) .]

D. The Vice-Chancellor of Academic Affairs of the University of Maine System to serve as an ex officio member; and [1985, c. 779, §51 (AMD) .]

E. One member of the joint standing committee of the Legislature having jurisdiction over education to serve as an ex officio member and to be selected by the chairmen of the joint standing committee of the Legislature having jurisdiction over education. [1983, c. 97, §3 (NEW) .]

[ 1985, c. 779, §51 (AMD) .]

**2. Chairman.** The committee shall elect one of its members as chairman.

[ 1983, c. 97, §3 (NEW) .]

**3. Meetings.** The committee shall be selected as soon as reasonably possible after the effective date of this section. The Vice-Chancellor of Academic Affairs shall notify all members of the time and place of the first meeting. At that time, the committee shall organize and adopt rules as to the administration of its affairs. The members shall serve without compensation, but shall be reimbursed by the chancellor for travel expenses.

[ 1983, c. 97, §3 (NEW) .]

**4. Duties.** The committee shall establish:

A. A uniform system to facilitate the transfer of credits for equivalent courses between the various units of the University of Maine System; [1985, c. 779, §51 (AMD) .]



B. Development of a uniform course numbering system; and [1983, c. 97, §3 (NEW) .]

C. Development of uniform course descriptions to provide an easy comparison of courses offered between the various units of the University of Maine System. [1985, c. 779, §51 (AMD) .]

[ 1985, c. 779, §51 (AMD) .]

**5. Report and implementation.** The committee shall report the results of its deliberations and its recommendations to the Board of Trustees of the University of Maine System no later than one year from the effective date of this subsection, as amended. The trustees shall implement the recommendations no later than the beginning of the fall semester of 1985.

REVISOR'S NOTE: In 1988 update there was no text - looks like it was repealed but couldn't find where it was repealed so we reinserted it.

[ 1985, c. 779, §51 (AMD) .]

SECTION HISTORY

1983, c. 97, §3 (NEW). 1985, c. 779, §51 (AMD) .

## **20-A §10908. EDUCATIONAL OPPORTUNITIES FOR RECIPIENTS OF AID TO FAMILIES WITH DEPENDENT CHILDREN**

In conjunction with the Maine Temporary Assistance for Needy Families Advisory Council established pursuant to Title 22, section 3789-D, the University of Maine System: [1997, c. 530, Pt. A, §5 (AMD) .]

**1. Placement.** Shall promote opportunities for educational placement for recipients of Aid to Families with Dependent Children who meet applicable admissions requirements; and

[ 1983, c. 806, §82 (NEW) .]

**2. Supportive services.** Within the limits of available funds for supportive services, shall make available to Aid to Families with Dependent Children recipients admitted as students opportunities for supportive services which may include, but are not limited to, remedial educational courses, day care services, counseling services and other programs and services consistent with the policy and intent of Title 22, chapter 1054.

[ 1983, c. 806, §82 (NEW) .]

SECTION HISTORY

1983, c. 806, §82 (NEW). 1985, c. 779, §52 (AMD). 1993, c. 360, §C2 (AMD). 1997, c. 530, §A5 (AMD) .

## **20-A §10909. UNIVERSITY OF MAINE SYSTEM SCHOLARSHIP FUND**

The University of Maine System Scholarship Fund is created and established as a nonlapsing fund under the jurisdiction and control of the Board of Trustees of the University of Maine System. All revenues credited to this fund must be distributed as need-based scholarships for students attending the University of Maine System. These scholarships may be awarded only to those students who are residents of the State. The fund may not be used for the costs of administering the scholarships. Fees credited from the University of Maine System registration plate pursuant to Title 29-A, section 456 may not be distributed as scholarships to students attending the University of Maine. [2005, c. 109, §2 (NEW) .]



SECTION HISTORY

2005, c. 109, §2 (NEW).

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## **Section B**

**Program Descriptions  
(priorities, performance  
criteria, and assessments)**





**UNIVERSITY OF MAINE SYSTEM  
PROGRAM DESCRIPTIONS**

- Educational & General Activities (01078A003101) – This program is critical to the University of Maine System’s tripartite mission of teaching, research, and public service. UMS strives to improve the quality of life for the citizens of Maine by offering affordable undergraduate, graduate, and professional educational programs as well as non-credit courses to students both on campus and at distance learning centers and sites across the State. This program also supports financial aid, student support services, administrative support services, and University sponsored research as well as state-wide cultural and educational enrichment activities and services such as cooperative extension.
  
- Maine Economic Improvement Fund (01078A098601) – Since the inception of this program, the State of Maine has invested in research and development efforts at UMS. This program is vital to the ongoing research efforts at UMS and the economic growth of the State. MEIF was created to focus on 7 key areas of great importance and potential to Maine: Aquaculture & Marine Sciences, Biotechnology, Composites & Advanced Materials Technologies, Environmental Technologies, Information Technologies, Advanced Technologies for Forestry & Agriculture, and Precision Manufacturing. MEIF appropriations are utilized to leverage funds from the federal and private sectors resulting in approximately a 5 to 1 return on the State’s investment.
  
- Debt Service (01078A090201) – This program supports the debt service payments on a \$25 million UMS Research & Development revenue bond. UMS issued revenue bonds based on the State of Maine’s commitment to fund the debt service payments.
  
- Casco Bay Estuary Project (01078A098301) – This program supports a cooperative effort to protect and restore the water quality and fish and wildlife habitats of Casco Bay and its watershed while ensuring compatible human uses encompassing: 985 miles; all or part of 41 municipalities from Bethel to the Bay; 3% of the land area of Maine; 25% of Maine’s population. This program is of great importance to the Casco Bay region and its surrounding communities



## **Measures of Progress**

New Challenges, New Directions Initiative  
November 16, 2009



## Appendix I: Measures of Progress

	BASE YEAR	2-YEAR TARGET	4-YEAR TARGET
<b>I. INDIVIDUAL GROWTH AND OPPORTUNITY</b>			
<b>1. Fall enrollment</b>			
Total Headcount	32,608	33,109	33,610
Total FTE Count	23,688	24,046	24,405
Undergraduate (Headcount)	28,290	28,665	29,040
(FTE)	20,943	21,251	21,560
Graduate (Headcount)	4,318	4,444	4,570
(FTE)	2,745	2,795	2,845
In-State (Headcount)	28,309	28,745	29,180
(FTE)	19,853	20,154	20,455
Out-of-State (Headcount)	4,299	4,365	4,430
(FTE)	3,834	3,892	3,950
<b>2. New Undergraduates</b>			
Total new undergraduates	6,483	6,570	6,680
1st Time	4,608	4,670	4,750
Transfer	1,875	1,900	1,930
<b>3. Graduation and Retention Rate</b>			
First-to-second year retention rate	69.1%	70%	75%
6-year graduation rate	47.6%	48%	50%
Annual completion rate (degrees as percentage of total enrollment)	17.2%	17.3%	18.1%
<b>4. Degrees Conferred</b>			
Total degrees conferred	5,610	5,735	6,075
Associates	348	350	375
Bachelors	4,173	4,250	4,500
Masters	927	950	1,000
Certificate of Advanced Studies	40	45	50
Doctorate	50	55	60
Law	72	85	90
<b>5. College Costs</b>			
Family contribution as a percentage of state household income (demonstrates true out of pocket cost)	11.9%	11.9%	11.9%
Family contribution as a percentage of cost of education	31.7%	31.7%	31.7%
<b>6. Biennial National Survey of Student Engagement (NSSE) scores (Number of universities at or above peer average)</b>			
Level of Academic Challenge	3	4	6
Enriching Educational Experiences	3	4	6
Supportive Campus Environment	5	6	6
<b>7. Survey of the General Population</b>			
"Very or Somewhat Favorable Overall Impression of the UMS"	75.3%	77%	79%



	BASE YEAR	2-YEAR TARGET	4-YEAR TARGET
<b>II. ECONOMIC COMPETITIVENESS</b>			
<b>1. Total R&amp;D Expenditures (\$millions)</b>			
Total Funds	\$72.0	\$80.0	\$100.0
Federal	\$36.0	\$41.0	\$57.0
State	\$9.0	\$10.0	\$11.0
Private	\$11.0	\$12.0	\$14.0
University	\$16.0	\$17.0	\$18.0
<b>2. MEIF Funds and Leveraged Funds (\$millions)</b>			
MEIF Funds	\$13.8	\$15.0	\$18.0
Grants & Contracts Generated	\$51.3	\$55.0	\$60.0
Total Funds	\$65.1	\$70.0	\$78.0
Supported R&D Jobs	597	600	625
<b>3. Business support measures</b>			
Businesses assisted (contracts)	193	197	200
Patents Filed	17	18	20
Patents Issued	3	4	5
<b>4. Percentage of Enrolled UMS Student Body Aged 25-64</b>	36.6%	37.8%	38.7%
<b>5. Science, Technology, Engineering and Mathematics (STEM) Degrees Awarded</b>	864	900	950
<b>6. Nursing and Allied Health Degrees Awarded</b>	447	500	600
<b>7. Business Degrees Awarded</b>	659	700	750
<b>8. Learning Opportunities through Technology</b>			
Credit hours served through technology	38,156	40,064	41,972
Number of class sections offered through technology	1,712	1,798	1,883
Number of students enrolled in online degree programs	400	700	1,000
<b>9. Percentage of Maine Population with at Least a Baccalaureate Degree (25+)</b>	25.9%	26%	26.2%
<b>10. Percentage of Maine Population with a Graduate Degree (25+)</b>	8.9%	9%	9.2%





	BASE YEAR	2-YEAR TARGET	4-YEAR TARGET
<b>III. FINANCIAL SUSTAINABILITY</b>			
<b>1. Financial Indicators</b>			
Primary Reserve Ratio = Expendable Net Assets/Total Expenses	26.8%	26.0%	27.0%
Return on Net Assets Ratio = Change in Net Assets/Total Net Assets	1.5%	1.5%	2.0%
Net Oper Rev Ratio = Oper Inc (Ls) Plus Net Non Oper Rev (Exp)/Oper Rev Plus Nonoper Rev	0.4%	0.5%	0.8%
Viability Ratio = Expendable Net Assets/Long Term Debt	80.2%	84.0%	90.0%
Debt Burden Ratio = Debt Service/Total Expenditures	2.7%	< 5%	< 5%
<b>2. Staffing Ratios</b>			
FTE Student/FTE Faculty Ratios (NCES-IPEDS)	14.8	15.5	16.0



# **Section C**

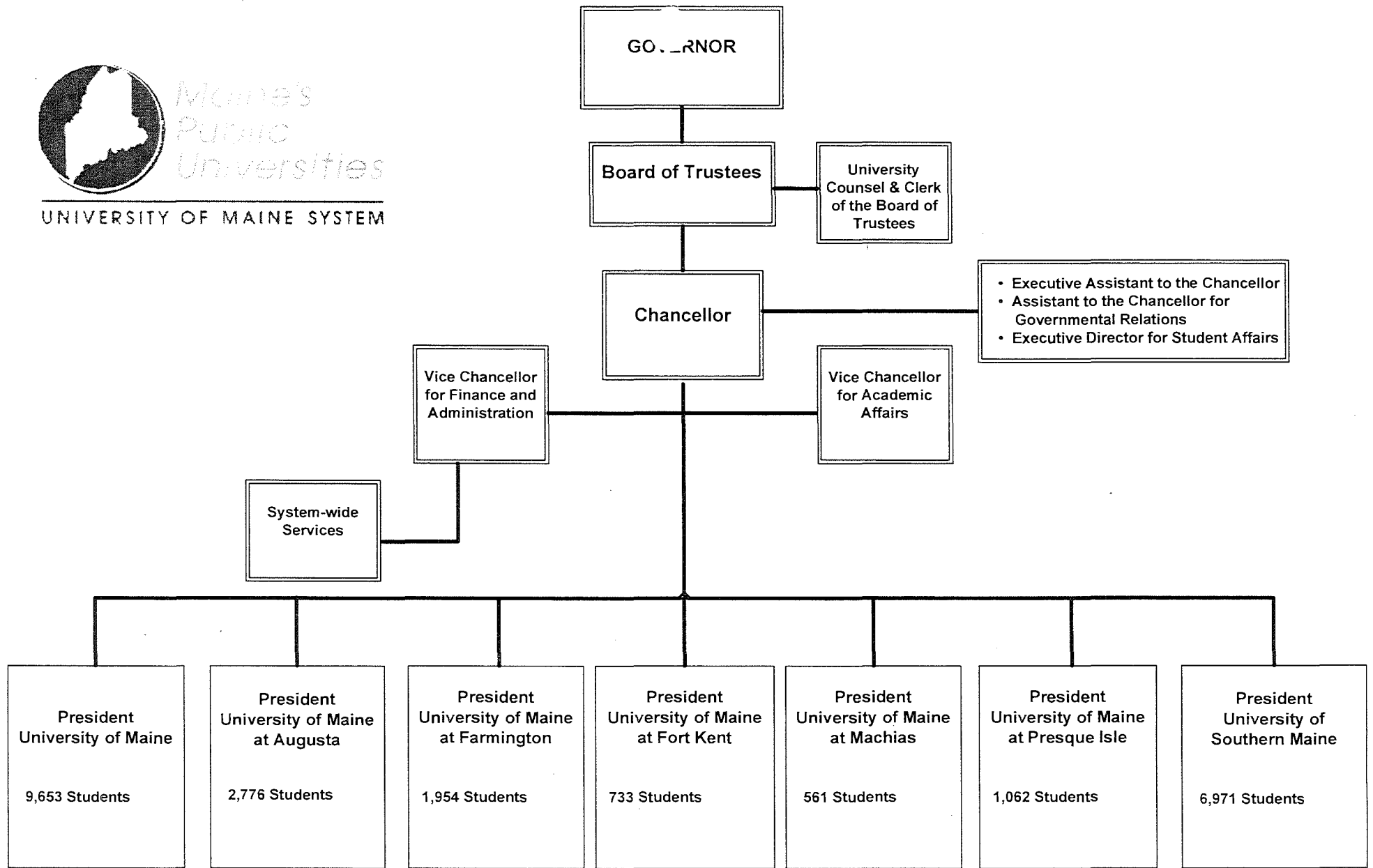
## **Organization Structure**





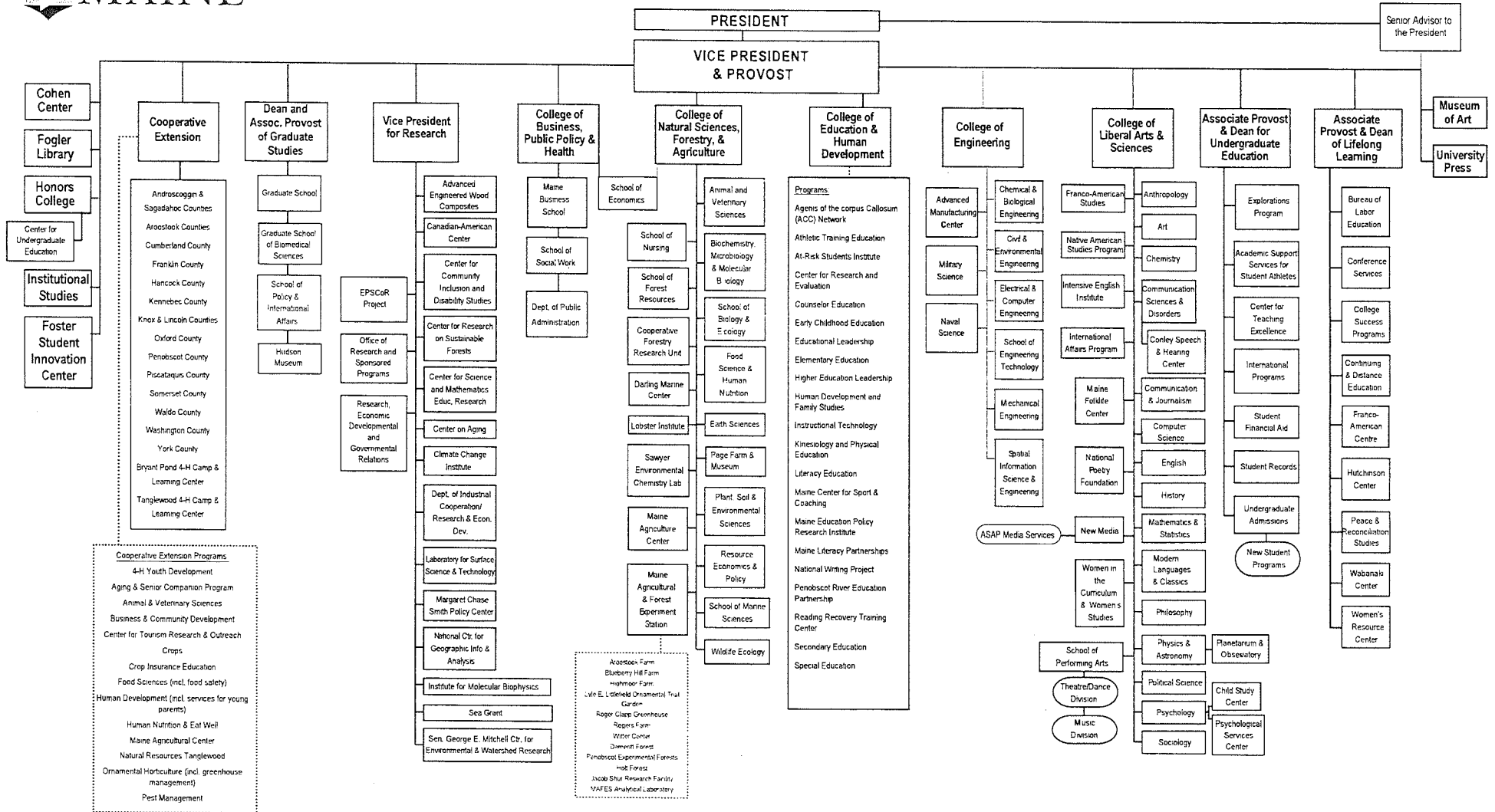
Maine's  
Public  
Universities

UNIVERSITY OF MAINE SYSTEM



# University of Maine System

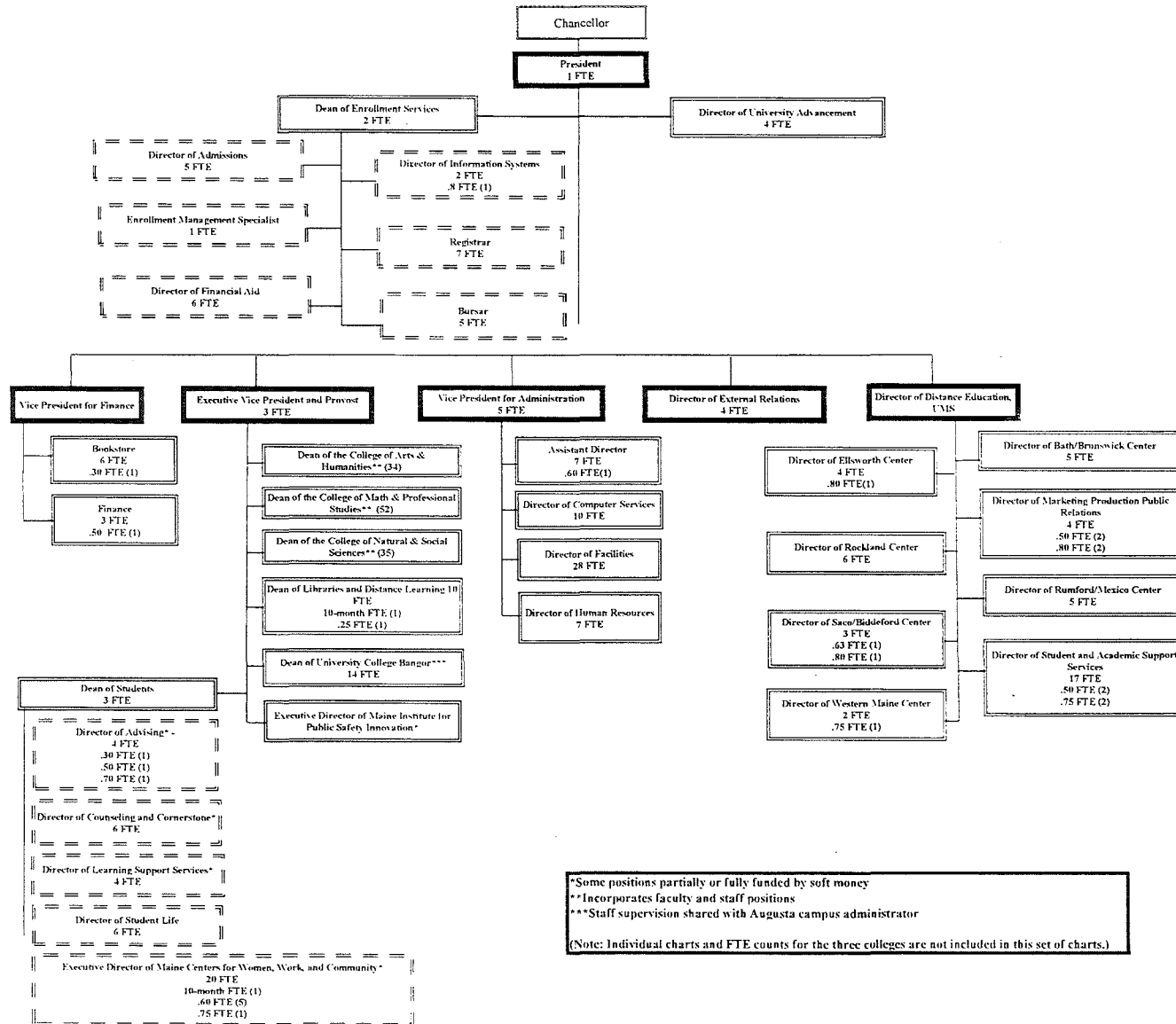








**University of Maine at Augusta  
Organizational Chart as of November 25, 2008**

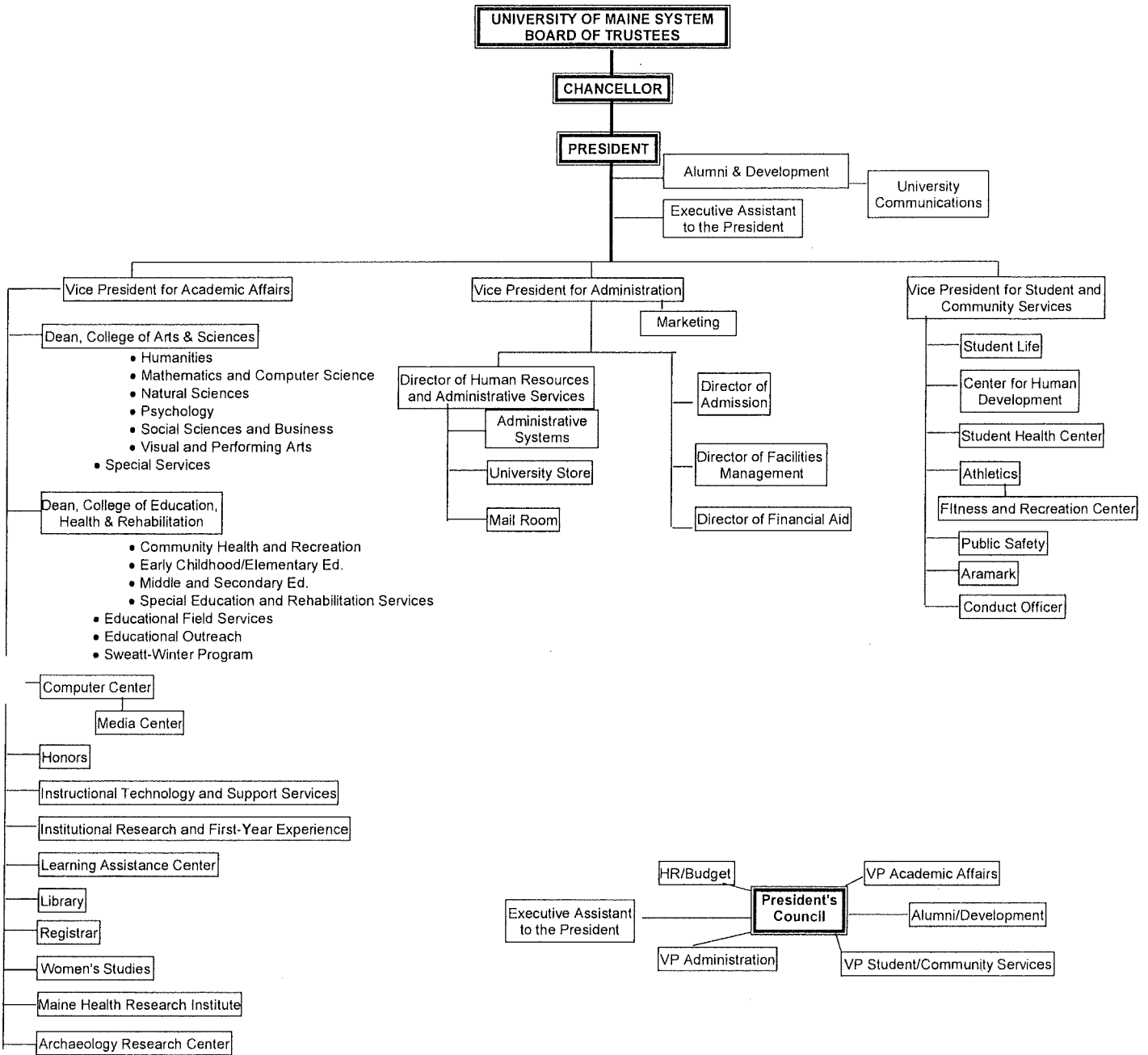


\*Some positions partially or fully funded by soft money  
 \*\*Incorporates faculty and staff positions  
 \*\*\*Staff supervision shared with Augusta campus administrator  
 (Note: Individual charts and FTE counts for the three colleges are not included in this set of charts.)

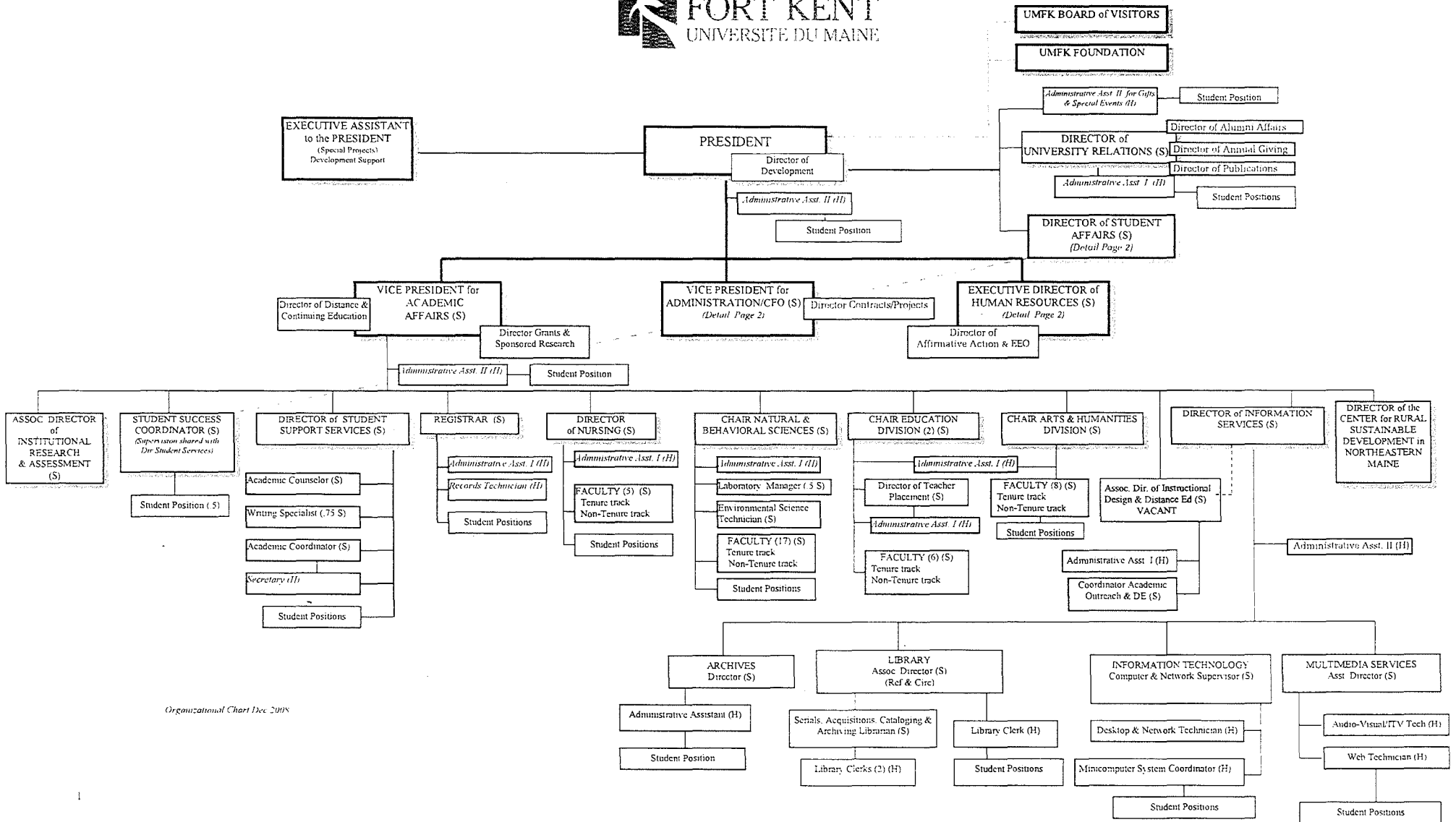




UNIVERSITY OF MAINE SYSTEM  
 ORGANIZATIONAL STRUCTURE  
 UNIVERSITY OF MAINE AT FARMINGTON



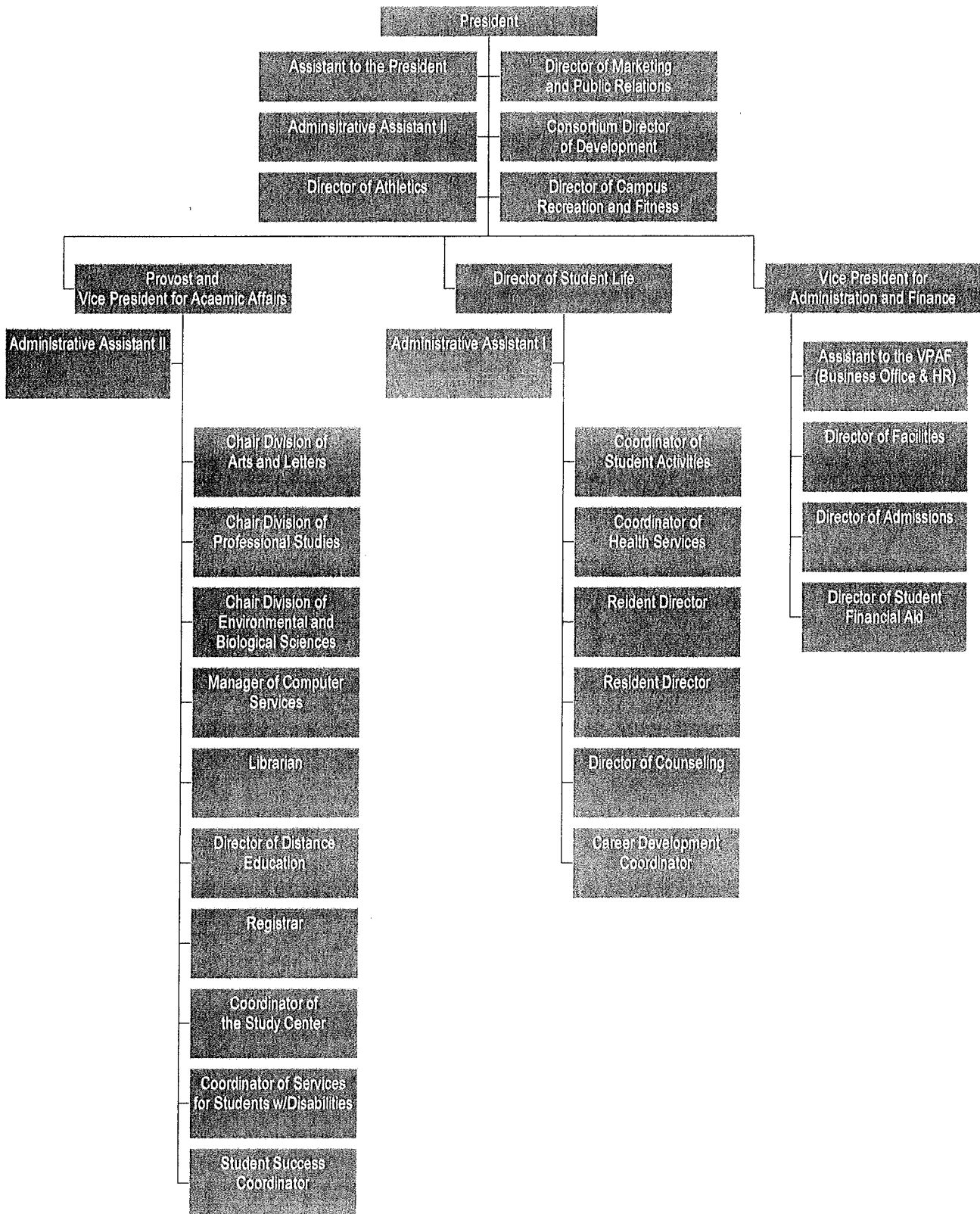




Organizational Chart Dec. 2008

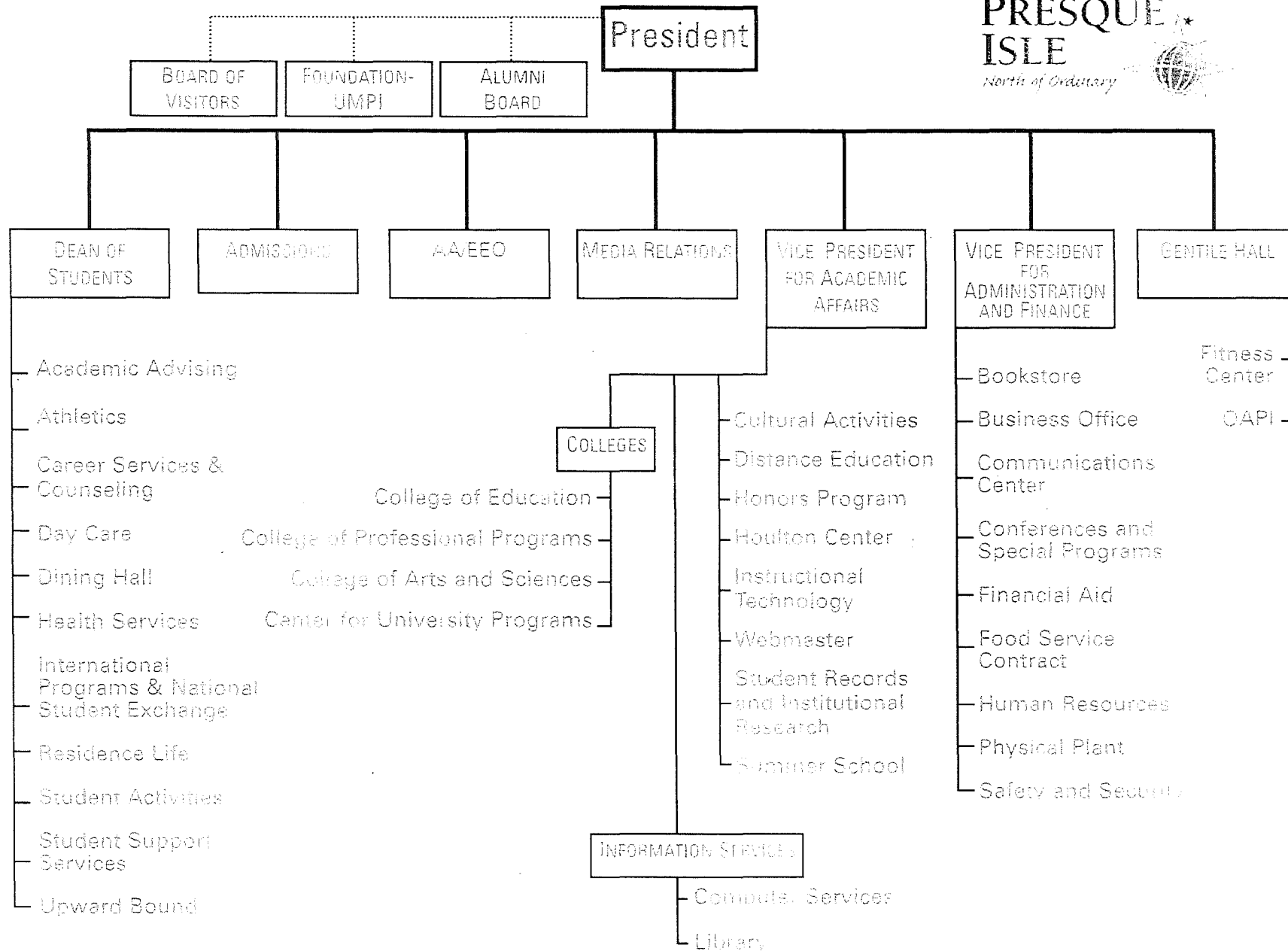


University of Maine at Machias  
Organization Chart



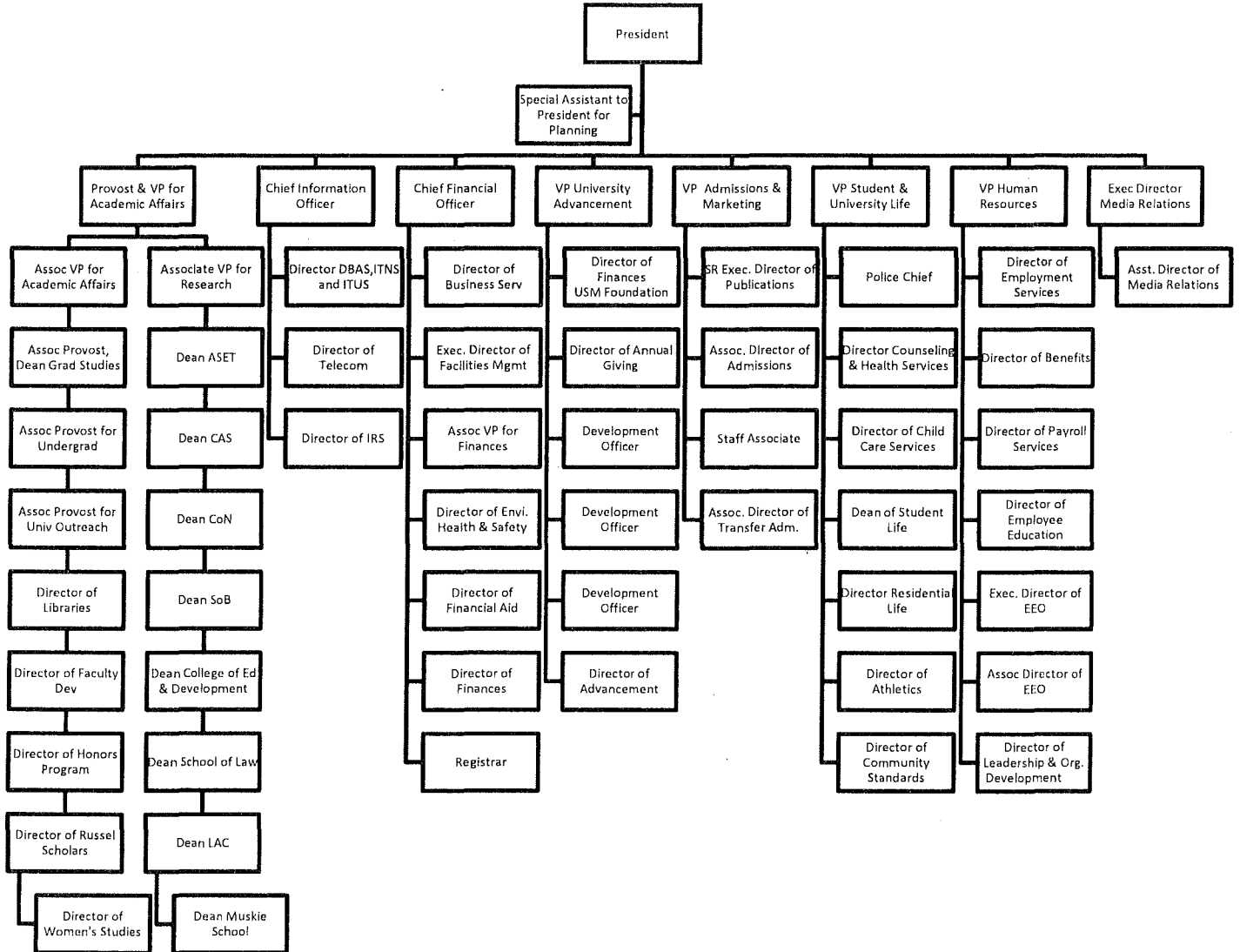








# UNIVERSITY OF SOUTHERN MAINE





**UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS  
SYSTEM TOTAL**

1

	10/31/05	10/31/06	10/31/07	10/31/08	Change From 10/31/08-10/30/09 <sup>5</sup>		10/30/09
					#	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	6,183	6,128	6,154	6,038	(229)	(3.8%)	5,809
Administrators	190	209	155	150	(5)	(3.3%)	145
Faculty	2,332	2,291	2,319	2,292	(94)	(4.1%)	2,198
Professional	1,750	1,758	1,821	1,804	(19)	(1.1%)	1,785
Classified	1,911	1,870	1,859	1,792	(111)	(6.2%)	1,681
Full-time	4,833	4,852	4,843	4,760	(181)	(3.8%)	4,579
Part-time	1,350	1,276	1,311	1,278	(48)	(3.8%)	1,230
Regular	5,326	5,332	5,332	5,220	(193)	(3.7%)	5,027
Temporary	857	796	822	818	(36)	(4.4%)	782
<b>B. Full-time Regular Employees</b>							
Administrators	184	204	154	148	(6)	(4.1%)	142
Faculty	1,382	1,383	1,388	1,366	(44)	(3.2%)	1,322
Professional	1,559	1,578	1,624	1,613	(27)	(1.7%)	1,586
Classified	1,708	1,687	1,677	1,633	(104)	(6.4%)	1,529
Total	4,833	4,852	4,843	4,760	(181)	(3.8%)	4,579
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	163	179	139	134	(3)	(2.2%)	131
Faculty	1,621	1,628	1,632	1,609	(65)	(4.1%)	1,544
Professional	1,102	1,084	1,126	1,142	(39)	(3.4%)	1,103
Classified	1,386	1,345	1,363	1,299	(73)	(5.6%)	1,226
Total	4,271	4,235	4,259	4,185	(180)	(4.3%)	4,005
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	24	27	16	15	(2)	(14.9%)	13
Faculty	98	97	123	103	(11)	(10.4%)	92
Professional	558	591	607	579	15	2.6%	594
Classified	436	437	409	422	(29)	(6.9%)	392
Total	1,117	1,153	1,154	1,118	(27)	(2.4%)	1,091
<b>C. Total (All ledgers)</b>							
Administrators	187	207	154	150	(5)	(3.5%)	144
Faculty	1,720	1,725	1,755	1,712	(76)	(4.4%)	1,636
Professional	1,659	1,675	1,732	1,721	(24)	(1.4%)	1,697
Classified	1,822	1,782	1,772	1,721	(102)	(6.0%)	1,618
Total	5,388	5,388	5,414	5,303	(208)	(3.9%)	5,096

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources.

Programming revisions were made to reflect changes to definitions and coding in HR and financial systems.

Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions.

Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later.

Data prior to 10/31/05 should not be directly compared to data from 10/31/05 and later.

<sup>2</sup> This is a measure of the full-timeness of all employees, e.g., a full-time employee is 1.0 FTE while a half-time employee is 0.5 FTE.

<sup>3</sup> Includes all employees paid from E&G funds - employees associated with the primary mission and supported primarily by the State appropriation and tuition & fee revenue. Also includes employees paid from funding sources MAFES and CE (both restricted and unrestricted sources), designated, and unrestricted projects.

<sup>4</sup> Includes employees paid from Auxiliary Enterprise and Restricted funds.

<sup>5</sup> University College Outreach staff were transferred to the University of Maine at Augusta effective July 1, 2008. These staff were previously reported in System Wide Services.

UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCES STATISTICS

2

UM

	10/31/05	10/31/06	10/31/07	10/31/08	Change From 10/31/08-10/30/09 <sup>5</sup>		10/30/09
					#	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	2,597	2,593	2,608	2,652	(82)	(3.1%)	2,570
Administrators	77	78	51	54	(2)	(3.7%)	52
Faculty	875	891	909	926	(36)	(3.9%)	890
Professional	670	660	695	717	12	1.7%	729
Classified	975	964	953	955	(56)	(5.9%)	899
Full-time	2,252	2,236	2,222	2,256	(74)	(3.3%)	2,182
Part-time	345	357	386	396	(8)	(2.0%)	388
Regular	2,424	2,416	2,394	2,420	(74)	(3.1%)	2,346
Temporary	173	177	214	232	(8)	(3.4%)	224
<b>B. Full-time Regular Employees</b>							
Administrators	76	78	51	54	(3)	(5.6%)	51
Faculty	648	648	637	642	(20)	(3.1%)	622
Professional	621	615	645	670	(4)	(0.6%)	666
Classified	907	895	889	890	(47)	(5.3%)	843
Total	2,252	2,236	2,222	2,256	(74)	(3.3%)	2,182
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	60	63	46	48	(1)	(1.9%)	47
Faculty	664	670	672	675	(24)	(3.5%)	651
Professional	418	404	420	449	(13)	(2.8%)	436
Classified	669	653	657	641	(25)	(3.9%)	616
Total	1,812	1,790	1,794	1,812	(63)	(3.5%)	1,749
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	16	15	6	6	(0)	(3.5%)	6
Faculty	71	71	74	76	(3)	(3.5%)	73
Professional	230	236	252	247	(6)	(2.4%)	241
Classified	280	281	266	284	(15)	(5.3%)	269
Total	597	603	598	613	(24)	(3.9%)	589
<b>C. Total (All ledgers)</b>							
Administrators	77	78	51	54	(2)	(3.8%)	52
Faculty	735	741	746	750	(30)	(4.0%)	721
Professional	647	640	672	696	4	0.5%	699
Classified	949	933	923	925	(50)	(5.4%)	875
Total	2,408	2,392	2,392	2,425	(78)	(3.2%)	2,347

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later. Data prior to 10/31/05 should not be directly compared to data from 10/31/05 and later.

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<sup>4</sup> Includes employees paid from Auxiliary Enterprise and Restricted funds.

UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS  
UMA

3

	10/31/05	10/31/06	10/31/07	10/31/08	Change From 10/31/08-10/30/09 <sup>5</sup>		10/30/09
					#	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	468	454	456	540	(16)	(3.0%)	524
Administrators	18	18	20	16	(1)	(6.3%)	15
Faculty	256	248	249	265	(2)	(0.8%)	263
Professional	93	90	87	130	(4)	(3.1%)	126
Classified	101	98	100	129	(9)	(7.0%)	120
Full-time	273	281	281	328	(7)	(2.1%)	321
Part-time	195	173	175	212	(9)	(4.2%)	203
Regular	306	305	309	375	(12)	(3.2%)	363
Temporary	162	149	147	165	(4)	(2.4%)	161
<b>B. Full-time Regular Employees</b>							
Administrators	17	17	20	15	(1)	(6.7%)	14
Faculty	94	98	100	98	1	1.0%	99
Professional	71	76	68	100	2	2.0%	102
Classified	91	90	93	115	(9)	(7.8%)	106
Total	273	281	281	328	(7)	(2.1%)	321
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	15	15	18	15	(1)	(6.7%)	14
Faculty	147	148	154	156	(3)	(1.7%)	153
Professional	55	55	53	89	(0)	(0.5%)	88
Classified	85	82	86	113	(9)	(7.6%)	105
Total	301	299	311	372	(13)	(3.4%)	360
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	3	3	1	1	0	0.0%	1
Faculty	0	0	2	0	1	-	1
Professional	26	27	24	27	(2)	(7.5%)	25
Classified	12	13	11	10	0	0.0%	10
Total	41	42	38	38	(1)	(2.7%)	37
<b>C. Total (All ledgers)</b>							
Administrators	18	18	20	16	(1)	(6.3%)	15
Faculty	147	148	155	156	(2)	(1.1%)	154
Professional	81	82	77	116	(2)	(2.1%)	113
Classified	97	94	97	123	(9)	(7.0%)	115
Total	342	341	349	410	(14)	(3.3%)	397

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later.

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UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS

UMF

	10/31/05	10/31/06	10/31/07	10/31/08	Change From 10/31/08-10/30/09 <sup>5</sup>		10/30/09
					#	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	409	424	437	413	(1)	(0.2%)	412
Administrators	19	18	17	17	(1)	(5.9%)	16
Faculty	172	181	190	166	1	0.6%	167
Professional	102	102	104	104	1	1.0%	105
Classified	116	123	126	126	(2)	(1.6%)	124
Full-time	327	346	351	342	(9)	(2.6%)	333
Part-time	82	78	86	71	8	11.3%	79
Regular	367	389	393	385	(7)	(1.8%)	378
Temporary	42	35	44	28	6	21.4%	34
<b>B. Full-time Regular Employees</b>							
Administrators	19	18	17	17	(1)	(5.9%)	16
Faculty	115	128	130	124	(4)	(3.2%)	120
Professional	93	94	93	93	0	0.0%	93
Classified	100	106	111	108	(4)	(3.7%)	104
Total	327	346	351	342	(9)	(2.6%)	333
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	15	13	13	13	0	0.0%	13
Faculty	134	149	147	138	(0)	(0.2%)	137
Professional	55	53	59	67	(2)	(2.4%)	66
Classified	77	82	85	82	(4)	(4.9%)	78
Total	280	297	304	300	(6)	(2.0%)	294
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	4	5	4	4	(1)	(24.6%)	3
Faculty	3	4	14	3	(1)	(24.5%)	2
Professional	44	46	41	33	2	7.0%	36
Classified	32	34	35	37	1	2.2%	37
Total	83	89	94	77	1	1.9%	78
<b>C. Total (All ledgers)</b>							
Administrators	19	18	17	17	(1)	(5.9%)	16
Faculty	137	153	161	140	(1)	(0.7%)	139
Professional	98	99	100	101	1	0.7%	101
Classified	109	116	120	118	(3)	(2.7%)	115
Total	363	385	398	376	(5)	(1.2%)	372

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later. Data prior to 10/31/05 should not be directly compared to data from 10/31/05 and later.

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UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS

UMFK

Change From  
10/31/08-10/30/09<sup>5</sup>

	10/31/05	10/31/06	10/31/07	10/31/08	#	%	10/30/09
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	152	162	158	157	(7)	(4.5%)	150
Administrators	5	5	5	4	0	0.0%	4
Faculty	69	78	76	72	(7)	(9.7%)	65
Professional	27	30	29	32	0	0.0%	32
Classified	51	49	48	49	0	0.0%	49
Full-time	115	122	122	121	(9)	(7.4%)	112
Part-time	37	40	36	36	2	5.6%	38
Regular	119	126	125	125	(2)	(1.6%)	123
Temporary	33	36	33	32	(5)	(15.6%)	27
<b>B. Full-time Regular Employees</b>							
Administrators	5	5	5	4	0	0.0%	4
Faculty	36	41	43	39	(3)	(7.7%)	36
Professional	24	28	27	30	0	0.0%	30
Classified	50	48	47	48	(6)	(12.5%)	42
Total	115	122	122	121	(9)	(7.4%)	112
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	5	5	5	4	0	0.0%	4
Faculty	47	55	56	49	(4)	(8.4%)	44
Professional	23	26	24	27	(1)	(3.8%)	26
Classified	46	44	43	44	(2)	(3.5%)	42
Total	121	130	127	123	(7)	(5.4%)	116
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	0	0	0	0	0	-	0
Faculty	1	0	1	0	0	-	0
Professional	3	4	5	5	1	21.1%	6
Classified	5	5	5	5	0	0.0%	5
Total	8	9	11	10	1	10.3%	11
<b>C. Total (All ledgers)</b>							
Administrators	5	5	5	4	0	0.0%	4
Faculty	48	55	57	49	(4)	(8.4%)	44
Professional	26	29	28	31	0	0.0%	31
Classified	51	49	48	49	(2)	(3.2%)	47
Total	130	138	138	133	(6)	(4.2%)	127

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later. Data prior to 10/31/05 should not be directly compared to data from 10/31/05 and later.

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UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS

UMM

	10/31/05	10/31/06	10/31/07	10/31/08	Change From		10/30/09
					10/31/08-10/30/09 <sup>5</sup>	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	158	154	154	143	(10)	(7.0%)	133
Administrators	3	3	3	3	0	0.0%	3
Faculty	81	78	77	72	(4)	(5.6%)	68
Professional	29	32	34	35	(5)	(14.3%)	30
Classified	45	41	40	33	(1)	(3.0%)	32
Full-time	96	100	103	99	(10)	(10.1%)	89
Part-time	62	54	51	44	0	0.0%	44
Regular	115	112	117	110	(10)	(9.1%)	100
Temporary	43	42	37	33	0	0.0%	33
<b>B. Full-time Regular Employees</b>							
Administrators	3	3	3	3	0	0.0%	3
Faculty	31	29	33	33	(2)	(6.1%)	31
Professional	26	30	32	32	(5)	(15.6%)	27
Classified	36	38	35	31	(3)	(9.7%)	28
Total	96	100	103	99	(10)	(10.1%)	89
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	3	3	3	3	0	0.0%	3
Faculty	44	44	46	46	(5)	(11.9%)	41
Professional	20	23	25	28	(5)	(16.6%)	23
Classified	27	30	28	27	(3)	(11.3%)	24
Total	94	100	102	104	(13)	(12.6%)	91
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	0	0	0	0	0	-	0
Faculty	2	0	1	0	0	470.0%	1
Professional	8	8	8	5	0	1.9%	5
Classified	14	10	10	5	1	11.1%	6
Total	24	18	19	11	1	10.8%	12
<b>C. Total (All ledgers)</b>							
Administrators	3	3	3	3	0	0.0%	3
Faculty	46	44	47	46	(5)	(10.8%)	41
Professional	28	31	33	33	(5)	(13.6%)	29
Classified	42	40	39	33	(2)	(7.5%)	30
Total	118	118	121	115	(12)	(10.4%)	103

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later.

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UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS

UMPI

Change From  
10/31/08-10/30/09<sup>5</sup>

	10/31/05	10/31/06	10/31/07	10/31/08	#	%	10/30/09
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	232	231	235	233	(17)	(7.3%)	216
Administrators	10	13	14	14	(1)	(7.1%)	13
Faculty	120	116	112	114	(16)	(14.0%)	98
Professional	44	46	46	45	2	4.4%	47
Classified	58	56	63	60	(2)	(3.3%)	58
Full-time	153	158	173	165	(3)	(1.8%)	162
Part-time	79	73	62	68	(14)	(20.6%)	54
Regular	170	170	185	180	(5)	(2.8%)	175
Temporary	62	61	50	53	(12)	(22.6%)	41
<b>B. Full-time Regular Employees</b>							
Administrators	10	13	14	14	(1)	(7.1%)	13
Faculty	53	51	59	55	(3)	(5.5%)	52
Professional	39	43	42	42	3	7.1%	45
Classified	51	51	58	54	(2)	(3.7%)	52
Total	153	158	173	165	(3)	(1.8%)	162
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	9	12	13	13	(1)	(7.7%)	12
Faculty	77	74	74	74	(6)	(8.6%)	68
Professional	33	34	33	32	1	1.9%	32
Classified	50	48	54	51	(3)	(6.0%)	48
Total	169	167	174	170	(10)	(5.8%)	160
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	1	1	1	1	0	0.0%	1
Faculty	3	2	4	2	(0)	(10.3%)	2
Professional	8	11	12	12	2	14.1%	14
Classified	6	7	7	7	1	14.5%	8
Total	18	21	24	22	3	11.5%	25
<b>C. Total (All ledgers)</b>							
Administrators	10	13	14	14	(1)	(7.1%)	13
Faculty	79	76	78	76	(7)	(8.6%)	70
Professional	41	44	45	44	2	5.3%	46
Classified	56	54	62	58	(2)	(3.4%)	56
Total	186	188	199	192	(7)	(3.8%)	185

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources.

Programming revisions were made to reflect changes to definitions and coding in HR and financial systems.

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<sup>4</sup> Includes employees paid from Auxiliary Enterprise and Restricted funds.

UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS

USM

	10/31/05	10/31/06	10/31/07	10/31/08	Change From		10/30/09
					10/31/08-10/30/09 <sup>5</sup>	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	1,947	1,876	1,876	1,740	(90)	(5.2%)	1,650
Administrators	36	49	33	30	0	0.0%	30
Faculty	757	699	706	677	(30)	(4.4%)	647
Professional	662	661	684	628	(23)	(3.7%)	605
Classified	492	467	453	405	(37)	(9.1%)	368
Full-time	1,421	1,398	1,386	1,295	(65)	(5.0%)	1,230
Part-time	526	478	490	445	(25)	(5.6%)	420
Regular	1,605	1,580	1,579	1,465	(77)	(5.3%)	1,388
Temporary	342	296	297	275	(13)	(4.7%)	262
<b>B. Full-time Regular Employees</b>							
Administrators	34	46	32	29	0	0.0%	29
Faculty	403	388	386	375	(13)	(3.5%)	362
Professional	569	564	587	537	(21)	(3.9%)	516
Classified	415	400	381	354	(31)	(8.8%)	323
Total	1,421	1,398	1,386	1,295	(65)	(5.0%)	1,230
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	35	44	29	27	0	0.0%	27
Faculty	506	487	485	473	(22)	(4.7%)	450
Professional	389	364	383	347	(16)	(4.7%)	331
Classified	366	343	340	308	(25)	(8.0%)	283
Total	1,295	1,238	1,237	1,154	(63)	(5.5%)	1,091
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	0	4	4	3	(0)	(4.9%)	3
Faculty	19	20	26	22	(5)	(23.2%)	17
Professional	228	251	257	243	(5)	(2.2%)	237
Classified	87	88	75	73	(6)	(8.8%)	67
Total	334	362	361	341	(17)	(5.0%)	324
<b>C. Total (All ledgers)</b>							
Administrators	35	47	33	30	(0)	(0.5%)	30
Faculty	525	507	510	495	(28)	(5.6%)	467
Professional	617	616	640	590	(22)	(3.7%)	569
Classified	453	430	415	381	(31)	(8.2%)	349
Total	1,630	1,600	1,597	1,495	(80)	(5.4%)	1,415

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources. Programming revisions were made to reflect changes to definitions and coding in HR and financial systems. Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions. Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later.

Data prior to 10/31/05 should not be directly compared to data from 10/31/05 and later.

<sup>2</sup> This is a measure of the full-timeness of all employees, e.g., a full-time employee is 1.0 FTE while a half-time employee is 0.5 FTE.

<sup>3</sup> Includes all employees paid from E&G funds - employees associated with the primary mission and supported primarily by the State appropriation and tuition & fee revenue. Also includes employees paid from funding sources MAFES and CE (both restricted and unrestricted sources), designated, and unrestricted projects.

<sup>4</sup> Includes employees paid from Auxiliary Enterprise and Restricted funds.

**UNIVERSITY OF MAINE SYSTEM - HUMAN RESOURCE STATISTICS  
SYSTEM WIDE SERVICES**

9

	10/31/05	10/31/06	10/31/07	10/31/08	Change From 10/31/08-10/30/09 <sup>5</sup>		10/30/09
					#	%	
<b>I. Total Headcount Employees (All ledgers)<sup>1</sup></b>							
<b>A. All Employees</b>							
Total	220	234	230	160	(6)	(3.8%)	154
Administrators	22	25	12	12	0	0.0%	12
Faculty	2	0	0	0	0	-	0
Professional	123	137	142	113	(2)	(1.8%)	111
Classified	73	72	76	35	(4)	(11.4%)	31
Full-time	196	211	205	154	(4)	(2.6%)	150
Part-time	24	23	25	6	(2)	(33.3%)	4
Regular	220	234	230	160	(6)	(3.8%)	154
Temporary	0	0	0	0	0	-	0
<b>B. Full-time Regular Employees</b>							
Administrators	20	24	12	12	0	0.0%	12
Faculty	2	0	0	0	0	-	0
Professional	116	128	130	109	(2)	(1.8%)	107
Classified	58	59	63	33	(2)	(6.1%)	31
Total	196	211	205	154	(4)	(2.6%)	150
<b>II. Full-time Equivalent Employees<sup>2</sup></b>							
<b>A. Educational &amp; General (E&amp;G)<sup>3</sup></b>							
Administrators	21	25	12	12	0	0.0%	12
Faculty	2	0	0	0	0	-	0
Professional	110	125	129	104	(3)	(2.9%)	101
Classified	66	65	69	34	(3)	(9.1%)	31
Total	199	215	211	150	(6)	(4.1%)	144
<b>B. Non-E&amp;G<sup>4</sup></b>							
Administrators	0	0	0	0	0	-	0
Faculty	0	0	0	0	(0)	(100.0%)	0
Professional	11	9	9	7	1	11.5%	7
Classified	1	1	1	0	0	-	0
Total	12	10	9	7	1	8.2%	7
<b>C. Total (All ledgers)</b>							
Administrators	21	25	12	12	0	0.0%	12
Faculty	2	0	0	0	(0)	(100.0%)	0
Professional	121	134	138	111	(2)	(2.0%)	109
Classified	66	66	70	34	(3)	(9.1%)	31
Total	210	225	220	157	(6)	(3.5%)	152

<sup>1</sup> Includes all regular and PATFA temporary employees, both full-time and part-time, paid from all funding sources.

Programming revisions were made to reflect changes to definitions and coding in HR and financial systems.

Decreases in Administrators and increases to Professional staff are a result of aligning categories to IPEDS standard federal definitions.

Due to multiple changes to the report it is advised to use HR Statistics reports dated January 10, 2008 or later.

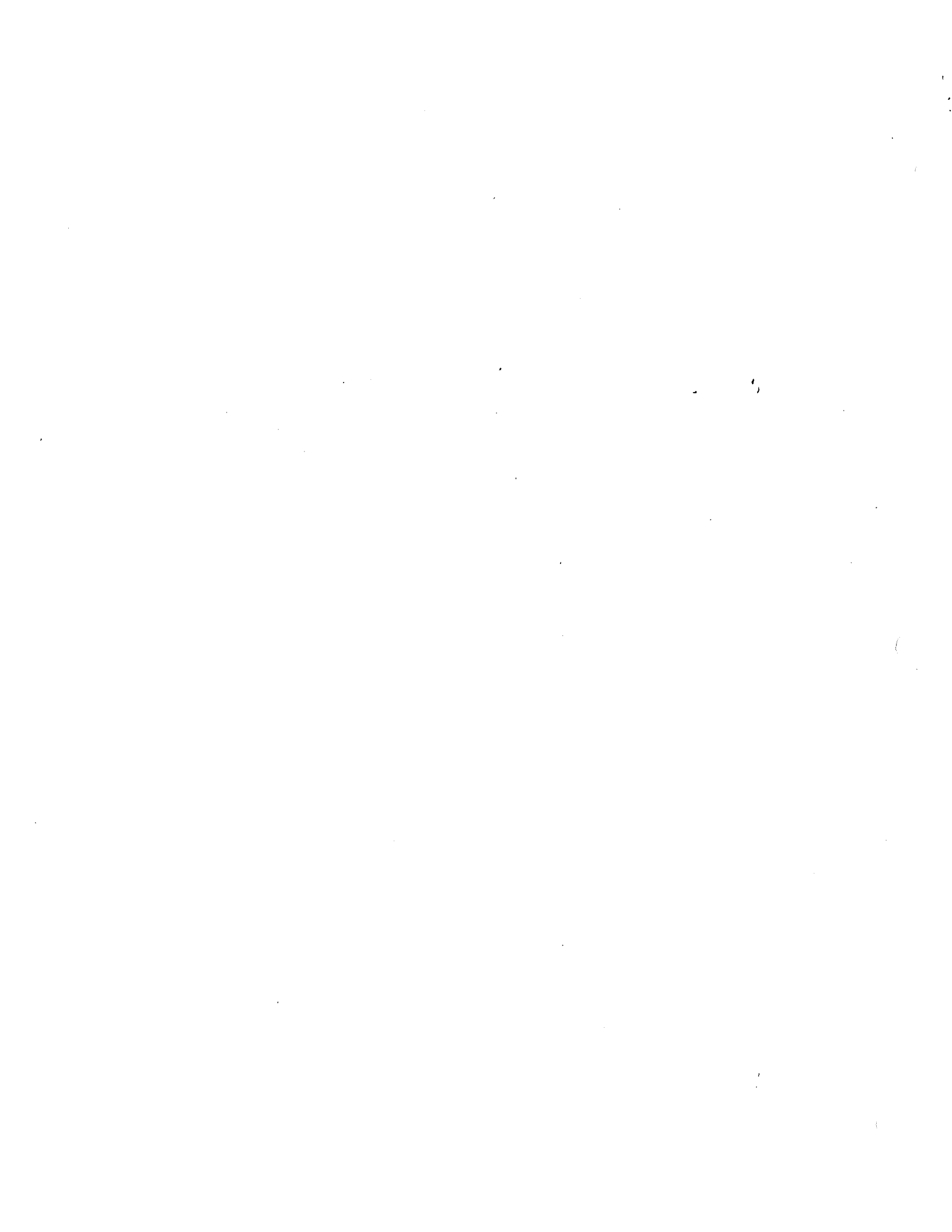
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<sup>2</sup> This is a measure of the full-timeness of all employees, e.g., a full-time employee is 1.0 FTE while a half-time employee is 0.5 FTE.

<sup>3</sup> Includes all employees paid from E&G funds - employees associated with the primary mission and supported primarily by the State appropriation and tuition & fee revenue. Also includes employees paid from funding sources MAFES and CE (both restricted and unrestricted sources), designated, and unrestricted projects.

<sup>4</sup> Includes employees paid from Auxiliary Enterprise and Restricted funds.

<sup>5</sup> University College Outreach staff were transferred to the University of Maine at Augusta effective July 1, 2008. These staff were previously reported in System Wide Services.



## **Section D**

# **Compliance with Health and Safety Laws**





# Maine's Public Universities - University of Maine System

## **Policy Manual - General Equal Opportunity**

### **HUMAN RESOURCES AND LABOR RELATIONS**

#### **Section 401 General Equal Opportunity**

Effective: 11/18/71

Last Revised: 1/23/06

Responsible Office: Human Resources

#### Policy Statement:

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

The University will regard freedom from discrimination and discriminatory harassment as an individual employee and student right which will be safeguarded as a matter of policy. Any employee or student will be subject to disciplinary action for violation of this policy. Retaliation against anyone who makes a complaint of discrimination or harassment or who is involved in a complaint process will not be tolerated.

#### Procedures:

Affirmative action plans for the various institutions and organizational units of the University System must be approved by the Chancellor. A copy of the current institutional plan shall be on file in the Office of Human Resources.

#### Related Documents:

[Procedure for Accommodating Individuals with Disabilities](#)

[Equal Opportunity Complaint Procedure](#)

#### [Go To Top of Page](#)

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# Maine's Public Universities - University of Maine System

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## **Equal Opportunity Complaint Procedure**

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The University of Maine System is committed to maintaining a respectful, fair educational and work environment, free from discrimination or harassment. The goal of the University is to prevent discrimination or harassment from occurring and to provide a means of raising and resolving complaints. The Equal Opportunity Complaint Procedure may be used by any employee or student of the University of Maine System who believes that he or she has been discriminated against or harassed based on race, color, religion, sex, sexual orientation, including transgender status or gender expression, national origin or citizenship status, age, disability, or veterans status. Sex discrimination complaints alleging discrimination based on marital status, pregnancy, or parental status may also be raised through this procedure.

These procedures provide a mechanism for employees and students to file complaints and for investigation and resolution of such complaints. The University is responsible for providing an environment free of discrimination and harassment whether or not an employee or student chooses to file a complaint using these procedures. Nothing in this document should be construed to limit the University's ability to take corrective action when the University's Non-Discrimination policy is violated.

### **General Information**

**Who may file a complaint.** Any employee or student with a concern about discrimination or harassment should contact the University Equal Opportunity Officer or other person designated by the University as soon as possible after the alleged incident. (In providing this procedure to the university community, each University shall specify the title(s), addresses, and telephone numbers of the persons designated. For the purposes of this System-wide procedure the title Equal Opportunity Officer will be used.) Any person may bring information or a concern about discrimination or harassment to the Equal Opportunity Officer. A complaint may be initiated by an employee or student who feels he or she has experienced discrimination or harassment, or by anyone with knowledge of an incident. When the complainant is not the person who may have experienced discrimination or harassment, the University's

ability to investigate and resolve the situation may depend on that person's willingness to participate in the investigation.

The Equal Opportunity Officer will provide information about University policy and relevant laws, suggest ways to handle the complaint either informally or formally, and provide referrals to counseling or other support services, as needed. In any situation in which the person accused of discrimination or harassment is a student and a formal complaint is filed, the investigation will be conducted by the Student Judicial Officer under the Student Conduct Code. In such cases the Equal Opportunity Officer may serve as a consultant.

**Alternate investigator.** The University shall also provide a qualified alternate investigator in certain circumstances (In providing this procedure to the University community, each University shall specify the title(s), addresses, and telephone numbers of the persons designated as alternate investigators or of the office or individual to whom a request for an alternate investigator should be made.) Complaints may be made to the alternate investigator if the Equal Opportunity Officer is the subject of the complaint. A request that the alternate investigator handle a complaint may be made if there is a concern that the Equal Opportunity Officer has a substantial conflict of interest in connection to the complainant or the person accused. If the Equal Opportunity Officer files a complaint, it shall be investigated by the Investigations Coordinator in the System Office of Human Resources.

**Confidentiality.** Investigations will be conducted as confidentially as possible to protect the privacy and due process rights of both the complainant and the individual accused. Consultation with and involvement of other employees, supervisors and others will be strictly limited to those who may have information about the alleged incident, who need to know that a complaint has been made, or whose job responsibilities include equal opportunity matters. All those involved in a complaint process are strongly encouraged not to discuss information about the complaint within the University in order to protect their privacy, the privacy of others, and the effectiveness of the process. The complainant and the person accused may discuss the matter with family and others outside the University as necessary for support and guidance and may obtain assistance from University counseling professionals.

**Supervisor's responsibility.** If a supervisor becomes aware of a discrimination or harassment concern regarding an employee's behavior, the supervisor should consult with the Equal Opportunity Officer. The Equal Opportunity Officer and the supervisor will discuss the situation and together decide how to proceed.

**Time limits.** The people responsible for this process will seriously attempt to meet all deadlines, but failure to do so will not prevent the process from continuing. Deadlines in this procedure are intended to serve as outside limits for actions to occur. In the interest of everyone concerned, all matters should be handled as expeditiously as possible. All deadlines refer to calendar days.

**Retaliation.** Retaliation against anyone who makes a complaint of discrimination or harassment or who is involved in a complaint process is illegal and constitutes a serious violation of University policy. Retaliatory action will be regarded as a basis for a separate complaint under these procedures.

### **Informal Complaints**

The University's experience is that most complaints can be resolved through an informal process. By its

nature an informal process is less procedurally detailed than a formal process. The informal process provides the maximum privacy and an opportunity for the earliest possible resolution for everyone concerned.

If the complainant wishes to explore an informal resolution of the problem, the Equal Opportunity Officer will provide assistance without fully investigating the allegation. The objective of the informal process is to seek a resolution to which all parties involved can agree. The Equal Opportunity Officer may suggest that the complainant speak directly to the accused person or may act as an intermediary. A complainant may request that the person accused not be informed of the complainant's identity if this is not essential to resolve the complaint informally. The Equal Opportunity Officer may also gather information from other sources in an effort to resolve the complaint.

If the person accused elects not to participate in an informal process, the non-participation will not be considered as damaging evidence. Failure of the accused person to participate does not change the University's responsibility to investigate and to make decisions based on available information.

Attempts to resolve an informal complaint will be completed within thirty (30) days from the date of the complaint. The complainant and the person accused will be informed of the outcome of the informal process. This notification may be oral. At the completion of the informal process if a formal complaint will not be filed, the complainant or person accused may request a letter from the Equal Opportunity Officer regarding the status of the complaint. If a complaint cannot be resolved informally, the complainant or the Equal Opportunity Officer may request a formal investigation.

### **Formal Complaints**

**Filing a complaint.** An employee or student who wishes to file a formal complaint should contact the Equal Opportunity Officer. Investigation of a formal complaint will normally be conducted by the Investigations Coordinator in the System Office of Human Resources. The complaint should be filed as soon as possible after the alleged incident or unsuccessful efforts to resolve the situation informally. A formal complaint must be put in writing and signed by the complainant. The complaint shall specify the incidents giving rise to the complaint. When possible, dates and location of incidents and potential witnesses shall be identified.

The University will attempt to balance the wishes of a complainant who does not want to file a formal complaint with the University's responsibility to investigate serious allegations and take prompt corrective action. A complainant who decides not to proceed with a formal complaint may be asked to state that preference in writing.

**Notifying the person accused.** The person accused of discrimination or harassment in a formal complaint will be informed in writing by the Equal Opportunity Officer within seven (7) days of both the allegations and the complainant's identity.

**Investigative process.** The Investigations Coordinator will meet with the complainant and the person accused and may request to meet with them together. The Investigations Coordinator may also interview witnesses, supervisors, or other persons who have information about the alleged incident, and may review personnel or other records relevant to the complaint. Prior allegations, or findings about prior incidents of discrimination or harassment, shall not be considered in determining whether the present

allegation has been substantiated.

**Findings and remedies.** The Investigations Coordinator will assess whether a violation of the University's non-discrimination or harassment policy has occurred and will submit findings in writing to the responsible administrator, the complainant, and the person accused within thirty (30) days of receiving the formal complaint. A copy of the findings will also be provided to the Equal Opportunity Officer. If the finding is that discrimination or harassment occurred, the Investigations Coordinator may discuss or provide information about appropriate remedies to the responsible administrator. The responsible administrator is the line administrator (for example, the dean, director, vice president, or president), who is responsible for acting on the findings and for making a decision regarding discipline of the person accused. Appropriate discipline may range from an oral reprimand up to and including termination, or any other appropriate remedial action.

In making a decision regarding discipline, the responsible administrator may consider properly established records of previous conduct and the seriousness of the violation. A complaint made more than twelve (12) months after the incident shall not be the basis for disciplining any person accused of discrimination or harassment. However, where there are allegations of discrimination or harassment made within the twelve (12) month period and a longer pattern or practice of discrimination or harassment exists, the responsible administrator shall consider the totality of events in determining appropriate discipline.

Before any disciplinary action is taken the responsible administrator shall discuss the findings and recommendations with the Investigations Coordinator, shall meet with the accused person, and shall offer to meet with the complainant. The responsible administrator may also interview other witnesses and review other relevant evidence. The accused person, the Investigations Coordinator, and the Equal Opportunity Officer will be notified of the decision of the responsible administrator in writing within fourteen (14) days. The complainant will be notified at the same time whether the allegations have been substantiated, what corrective action, if any, will be taken, and, in general, whether any discipline will be imposed. An employee who is disciplined after a complaint has been substantiated may grieve the discipline by filing a grievance according to the procedures in the appropriate collective bargaining agreement or non-represented employees' grievance procedure.

### **Appeals of Formal Complaints**

Either the complainant or person accused may file an appeal if (1) the findings include relevant factual errors or omit relevant facts, (2) relevant procedural errors are alleged, or (3) relevant issues or questions concerning interpretation of University policy are raised. An appeal must be made in writing to the Equal Opportunity Director for the University System within seven (7) days of being notified of the responsible administrator's decision. The appeal must state the reason(s) for the appeal. The Equal Opportunity Director will review the written record and may request additional information from the Investigations Coordinator, complainant, person accused, responsible administrator, or others with direct knowledge about the complaint. The Equal Opportunity Director's review will be completed within fourteen (14) days and will be reported in writing to the complainant, person accused, Investigations Coordinator, Equal Opportunity Officer, responsible campus administrator, and University president. The final decision on an appealed complaint rests with the University President. During an appeal, the University shall not impose any discipline on a respondent for the behavior which is the subject of the appeal.

At any point in the complaint process if the University believes that the accused person represents a danger to individuals or to operations of the University, the accused may be placed on a leave with pay.

### **Right to Representation**

**General.** The complainant and the person accused have the right to representation as specified below. **Any representative may attend any inquiry with the employee or student and may receive copies of documents, notice of proceedings, and copies of findings, but may not participate in the inquiry.**

**Bargaining unit members.** The University shall inform a bargaining unit member who is the subject of a complaint of the member's right to be accompanied by a grievance representative. An employee who files a complaint and who is a bargaining unit member may also be accompanied by a union representative.

**Students and non-represented employees.** A student or non-represented employee, as either complainant or accused, shall also have the right to be accompanied by another student or employee at the campus or other person.

**Attorneys.** Either the complainant or the accused may be accompanied by legal counsel when a formal complaint has been made.

### **Written Records**

The kinds of written records relating to a charge of discrimination or harassment that may be placed in an accused employee's official personnel file include: any document that has been mutually agreed to by the University and the employee; a letter issued by the responsible administrator to the employee at the conclusion of a formal investigation, which notifies the employee about discipline to be imposed or other remedies; a settlement agreement between the parties. Inclusion of such information in the personnel file shall be in accordance with the relevant collective bargaining agreement.

Other written records of informal or formal complaint investigations will be marked "CONFIDENTIAL" and will be retained in a separate and secure (locked) confidential file by the Equal Opportunity Officer and Investigations Coordinator.

### **Alternative Procedures**

Employees are encouraged to use the Equal Opportunity Complaint Procedure to address any complaints of discrimination or harassment based on protected class status. However, an employee may elect to file a grievance under the provisions of the applicable collective bargaining agreement or non-represented employees' grievance procedure, if the alleged incident is also a violation of the collective bargaining agreement or non-represented employees' handbook. This action may be in addition to, or in the place of, the procedures described above. An employee who wishes to use the Equal Opportunity Complaint Procedure but also to preserve his or her right to file a grievance must ask for, and normally will be granted, an extension of the initial deadline for filing a grievance. Such a request shall be made in writing before the initial deadline for filing a grievance passes by the bargaining agent or the non-represented employee to the University administrator with authority to grant an extension.



Any complaint of discrimination or harassment filed under these procedures shall be processed even if the complainant also files 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 for Civil Rights.

### **Academic Freedom**

Harassment based on sex, race, or other protected characteristics includes verbal conduct which has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive work or educational environment. However, harassment does not include verbal expression which is relevant to course subject matter, and University procedures for handling harassment complaints shall not abridge academic freedom.

### **Dissemination of Procedures**

A summary of the Equal Opportunity Complaint Procedure will be provided to all employees and students. Periodic notices sent to students, employees, and supervisors about the University's equal opportunity and sexual harassment policies will include information about the complaint procedure and will refer individuals to the Equal Opportunity Officer for additional copies.

*Site Last Updated: November 2, 2006*

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## **Procedure for Accommodating Individuals with Disabilities**

### **Procedure Definitions**

#### **Purpose**

It is the policy of the University of Maine System to provide reasonable accommodations for qualified individuals with disabilities. Federal law (the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990) and state law (the Maine Human Rights Act) establish the rights of individuals with disabilities. These laws provide that recipients of federal funds, employers, and places of public accommodation shall make reasonable accommodation to the known physical or mental limitations of an otherwise qualified person with a disability. Refusal to provide reasonable accommodation constitutes illegal disability discrimination and creates legal liability for the University. An accommodation is not reasonable, however, if it imposes an undue hardship.

Universities shall comply with all applicable federal and state laws and regulations regarding reasonable accommodations needed to provide equal opportunity to qualified individuals with disabilities. A qualified individual with a disability is a person who, with or without reasonable accommodation, can perform the essential functions of a job or meet essential program or course requirements. The University is required to make courses, programs, activities, and services that are offered at any university or off-university location accessible to qualified individuals with disabilities unless to do so would create an undue burden or cause a fundamental alteration of the program. The University is also required not to discriminate in employment on the basis of disability unless accommodation would impose an undue hardship on the University. Reasonable accommodation shall be provided in a timely, cost-effective manner. The essential functions of a job or essential requirements of an academic course or program need not be modified to accommodate an individual with a disability.

University faculty and staff bear a special responsibility for responding to the needs of individuals with disabilities. The attitude and responsiveness of faculty and staff with whom individuals with disabilities interact often determine, even more than physical barriers, the degree of access they feel they have to University programs, services, and employment. The actions of faculty, staff, and supervisors in responding to accommodation requests also raise legal implications for the University.

The following procedure should be used in responding to requests for accommodation of an individual with a disability.

#### **Procedure**

1. Each university has designated one or more staff who are responsible for providing information and services and for monitoring university compliance related to individuals with disabilities. The last page of this procedure lists the contacts at each university. A supervisor, administrator, or faculty member should

contact the appropriate university staff person when a request is received to accommodate an individual with a disability if:

- a. There are questions or concerns about services, means of accommodating someone with a disability, verification of a disability, or responsibility for responding to the needs of a person with a disability; and /or
  - b. Accommodation would or might alter the essential functions of a job or the essential requirements of an academic course or program
2. Requests for accommodation may be initiated by an individual who needs an accommodation; a supervisor, faculty member, or other staff member in whose area an accommodation is requested; or the Equal Opportunity Officer, Services for Disabled Students Counselor, 504 or ADA Coordinator, or other staff person who has been assigned responsibility for providing services or monitoring compliance related to individuals with disabilities.

For an employee or job applicant, a request can be made during the search process or at any time after hiring. For a student or applicant for admission, a request can be made during the application process or at any time after admission.

Students and employees with disabilities are encouraged to speak directly to faculty or their supervisor regarding accommodation needs within classes or the workplace. Faculty and supervisors are encouraged to consult with their department chair, director, or other appropriate administrator and with the appropriate university resource person for help in exploring possible accommodations.

All requests should be documented and processed as expeditiously as possible.

Note: Accommodations are the responsibility of the university which has administrative responsibility for the location, center, or site.

3. Once a qualified individual with a disability has requested an accommodation, the University will take steps to determine an appropriate accommodation. The appropriate reasonable accommodation is best determined through a flexible, interactive process that involves both the individual with a disability and the faculty member or supervisor to whom the request is directed, and may include the designated university contact who can serve as a resource. **Early consultation with the designated university contact is essential whenever questions of compliance or funding for an accommodation are involved.** The interactive process to determine a reasonable accommodation involves the following steps:
1. Analyze the job, course, or program involved to determine its purpose and essential functions or requirements;
  2. Talk with the individual with a disability to identify the precise job-related or education-related limitations imposed by the person's disability and how these limitations could be overcome with a reasonable accommodation;
  3. Involve the individual with a disability in identifying a range of potential accommodations and assessing the effectiveness each would have in enabling the individual to perform the essential functions of the position or to meet essential program or course requirements; and

4. Considering the preference of the individual, select and implement an effective accommodation that is most appropriate for the individual and the University.

Final responsibility for selection of the most appropriate accommodation rests with the University.

An individual with a disability will be expected to meet job performance standards or course or program standards whether or not an accommodation is needed. However, an individual with a disability who can meet these standards in a different way than is customary will be provided with a reasonable accommodation to enable the individual to do so.

4. Faculty and supervisors may approve requested accommodations if cost of the accommodation to the University is minimal and will be paid from the departmental budget, and if there is no effect on departmental or University schedule of operations or the assignments of other employees or students.
5. If a mutually acceptable accommodation cannot be found or if requested accommodations involve more than a minimal cost or affect the schedule of operations or the assignments of other individuals, faculty and supervisors should consult with their supervisor and must contact the designated university staff person responsible for providing services, managing the university accommodations budget, and/or monitoring compliance (see list on last page). *No request should be denied prior to review by the designated university staff person.*
6. The designated university staff person will determine whether the requested accommodation is reasonable based on relevant laws and regulations. It may be necessary to request a statement from the individual's health care provider identifying the specific condition, limitations or restrictions, and suggested accommodations. If additional information is required, the individual with a disability will be contacted for a release of medical information. The University reserves the right to require a second medical opinion if additional information is needed to evaluate the requested accommodation.
7. The individual with a disability will be notified about the response to the request as promptly as possible. If the request is approved, the accommodation will be provided as promptly as possible. If the decision is that the request should be denied on the basis that accommodation would impose an undue financial hardship on the institution, the request will be forwarded to the ADA Coordinator in the System Office for review by the appropriate members of the System ADA Committee before the individual is notified.
8. Departments that offer programs or events which are open to the public are strongly encouraged to invite participants with disabilities to request in advance any accommodations needed to allow them to participate. Public events and programs include, for example, non-credit courses, public lectures and cultural events, graduation, and athletic competitions. Brochures, registration forms, press releases, and posters announcing public programs and events should include a statement such as: "Any person with a disability who needs accommodations for this program should contact (see Resource Guide) to discuss their needs."

Registration forms may state: "If you are a person with a disability and will need any accommodations for the program, please check this box and a representative of the sponsoring department will contact you to discuss your accommodation needs."

Each university may establish and publicize a policy regarding how long in advance of a public program or event requests for accommodation must be made. The amount of lead time required must be reasonable and should be no longer than needed to arrange the accommodation.

9. Anytime that non-reappointment or other adverse action involving an employee is being considered, a review should be conducted to determine whether the employee may have a disability that is affecting job performance. If the supervisor has reason to believe that a disability may be involved, the supervisor should ask the employee if an accommodation is needed. If no disability exists or if it is not affecting job performance, the University may proceed with the disciplinary or non-reappointment process. If an employee's disability is affecting the performance of marginal functions of the job, a reasonable accommodation should be made to enable the employee to perform these functions, or the functions should be eliminated from the job. If a disability makes an employee unable to perform essential functions of the job even after all possible accommodations have been considered, the University must reassign the employee to a vacant position if the employee is qualified for the job and the job is available within a reasonable amount of time. If no job is available for which the employee is qualified, the University may proceed with the termination or non-reappointment process.

## **Definitions**

### **Individual with a Disability**

Any person who has a physical or mental impairment, has a record of such impairment, or is regarded as having an impairment, that:

- Substantially limits a major life activity such as seeing, walking, or working; or
- Significantly impairs physical or mental health for six months or more; or
- Requires special education, vocational rehabilitation, or related services; or
- Is on a list of health conditions established by Maine law.

### **Qualified Individual with a Disability**

An individual with a disability whose experience, education and/or training enable the person, with or without reasonable accommodation, to perform the essential functions of the job or fulfill the essential requirements of an academic course or program.

### **Reasonable Accommodation**

Any change in the work or educational environment or in the way things are customarily done that enables an individual with a disability to have equal employment or educational opportunities. This term may include:

1. making existing facilities and programs used by employees or students readily accessible to and usable by individuals with disabilities; and
2. for employees: for example, job restructuring, part-time or modified work schedules, reassignment to a vacant position, acquisition or modification of equipment or devices, appropriate adjustment or modification of training materials or policies, providing qualified readers or interpreters;
3. for students: for example, relocating classes, developing alternate testing procedures, providing educational auxiliary aids, readers, or interpreters.

**Undue Burden, Undue Hardship**

(not identical but very similar terms) - An action that requires significant difficulty or expense or that would fundamentally alter the nature or operation of a job or program. Determining whether an accommodation is "reasonable" or would impose an undue burden or undue hardship requires some subjective judgment. Factors to be considered include:

- the nature and cost of the accommodation needed;
- the overall financial resources of the university in providing reasonable accommodation; the number of employees at the university;
- the effect on expenses, resources, or other operations of the accommodation;
- the overall financial resources of the University System; the number of employees of the System; the number, type, and location of its facilities;
- the impact of the accommodation on university operations, including the impact on the ability of other employees to perform their duties and the impact on the university's ability to conduct business.

Adopted: 9/92

Revised: 12/07



# **Section E**

## **Financial Summaries**





UNIVERSITY OF MAINE SYSTEM  
STATE APPROPRIATION  
(Includes Base and One-Time Adjustments)

<u>Fiscal Year</u>	<u>E&amp;G</u>	<u>MEIF</u>	<u>Debt Service</u>	<u>Casco Bay Estuary</u>
FY01	174,960,510	10,100,000	2,500,000	
FY02	163,863,272	10,100,000	2,500,000	
FY03	160,736,418	10,100,000	2,500,000	
FY04	159,861,418	10,200,000	2,500,000	35,000
FY05	165,236,418	12,200,000	2,500,000	35,000
FY06	168,486,418	12,200,000	2,500,000	35,000
FY07	178,261,418	12,800,000	2,500,000	35,000
FY08	183,236,418	13,700,000	2,500,000	35,000
FY09	175,157,071	14,700,000	2,500,000	35,000
FY10 <sup>1</sup>	176,430,388	14,700,000	2,500,000	35,000

<sup>1</sup>Does not include potential curtailment in FY10.



# **Section G**

## **Coordination With Other Agencies**



**University of Maine System  
Cooperative Agreement and Partnership Program Grants  
as of November 9, 2009**

State of Maine Department	UM Augusta		UM Farmington		UM		USM		Total	
	Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
Maine Technical College System	1	150,000	-	-	-	-	-	-	1	150,000
ME Dept Health/Human Services	3	487,877	4	824,512	4	4,182,575	155	25,530,775	166	31,025,902
ME Dept of Corrections	2	354,769	-	-	-	-	11	1,112,231	13	1,467,011
ME Dept of Education	2	713,009	-	-	-	-	6	714,035	8	1,427,050
ME Dept of Marine Resources	-	-	-	-	6	492,054	-	-	6	492,060
ME Dept of Transportation	-	-	-	-	2	120,556	2	133,047	4	253,607
ME Economic/Community Dev	-	-	-	-	-	-	3	1,015,291	3	1,015,294
ME Environmental Protection	-	-	-	-	2	254,131	1	50,440	3	304,574
ME Inland Fisheries & Wildlife	-	-	-	-	2	61,576	-	-	2	61,578
ME Legislative Council	-	-	-	-	1	141,910	1	138,630	2	280,542
Me Public Utilities Commission	-	-	-	-	1	50,000	-	-	1	50,001
ME State Planning Office	-	-	-	-	-	-	4	609,700	4	609,704
St of ME Dirigo Health Program	-	-	-	-	-	-	1	117,695	1	117,696
St of Me Judicial Branch	1	362,859	-	-	-	-	-	-	1	362,859
<b>Total</b>	<b>9</b>	<b>2,068,514</b>	<b>4</b>	<b>824,512</b>	<b>18</b>	<b>5,302,802</b>	<b>184</b>	<b>29,421,844</b>	<b>215</b>	<b>37,617,878</b>



**University of Maine System  
Cooperative Agreement and Partnership Program Grants  
as of November 9, 2009**

Project Id	Proj Description	Proj Mgr Name	Proj Type	Proj Type Description	Project Sponsor	Proj Start Date	Proj End Date	Amount
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**UM Augusta**

1400927	Maine Cite FY 2009	Powers,Kathleen	PP	State-University Partnership Program	ME Dept of Education	10/1/08	4/30/10	385,404.70
1400928	Maine Cite FY 2010	Powers,Kathleen	PP	State-University Partnership Program	ME Dept of Education	7/1/09	6/30/10	327,604.00
1402111	DHHS Aspire FY 10-11	Nardone,Gilda	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	169,000.00
1440041	MCPJ Ld 1909 FY 2004	Mears,A. Richard	CA	Cooperative Agreement	St of Me Judicial Branch	7/1/03	7/1/10	362,859.32
1466101	Spurwink DHHS-CBHS (BHP) FY10	Leonard,Grace	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	268,877.00
1466102	Spurwink DHHS-ADDs (DSP) FY10	Leonard,Grace	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	12/31/09	50,000.00
1466103	Spurwink DOC Juvenile FY10	Leonard,Grace	PP	State-University Partnership Program	ME Dept of Corrections	7/1/09	6/30/10	179,000.00
1466104	Spurwink DOC Adult FY10	Leonard,Grace	PP	State-University Partnership Program	ME Dept of Corrections	7/1/09	6/30/10	175,768.51
1483111	Washington County CC Nursing	Bean, Frank	CA	Cooperative Agreement	Maine Technical College System	9/1/09	5/31/11	150,000.00

**UM Farmington**

2400311	Maine Afterschool Network FY09	Chase,Deborah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	82,000.00
2400319	Infant Toddler Inst FY10	Gamble,Linda	PP	State-University Partnership Program	ME Dept Health/Human Services	6/1/09	5/31/10	116,690.00
2400324	MHRI FY10	Bunnell,Sheena	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	625,822.00
2400337	Maine Afterschool Network FY10	Chase,Deborah	CA	Cooperative Agreement	ME Dept Health/Human Services	10/1/09	9/30/10	-

**UM**

5403696	Claytons Copper Butterfly	Rhymer,Judith	PP	State-University Partnership Program	ME Inland Fisheries & Wildlife	6/1/07	12/31/09	36,576.00
5403830	Lake Foodweb Response	Kinnison,Michael	PP	State-University Partnership Program	ME Environmental Protection	9/1/07	8/31/09	77,728.00
5403876	Sturgeon in Pen River	Zydlewski,Gayle	PP	State-University Partnership Program	ME Dept of Marine Resources	6/1/07	5/31/10	263,014.00
5403890	Wind Anemometer Program	Vileneuve,Paul	CA	Cooperative Agreement	ME Public Utilities Commission	9/18/07	12/31/11	50,000.00
5404000	Aquatic Animal Health Services	Bouchard,Deborah	PP	State-University Partnership Program	ME Dept of Marine Resources	5/1/08	12/31/09	13,670.00
5404086	Nutrition Education 2008-2009	Lincoln,Wanda	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	1,889,793.00
5404129	Road Salt Risk Assessment	Rubin,Jonathan	PP	State-University Partnership Program	ME Dept of Transportation	9/1/08	12/30/09	87,039.00
5404206	Time Series Modeling- Pers	Pershing,Andrew	PP	State-University Partnership Program	ME Dept of Marine Resources	7/1/08	5/31/10	94,686.00
5404226	Sea Run Brook Trout- Yr 2	Zydlewski,Joseph	PP	State-University Partnership Program	ME Inland Fisheries & Wildlife	1/1/09	12/31/09	25,000.00
5404254	Study Northern Shrimp	Chen,Yong	PP	State-University Partnership Program	ME Dept of Marine Resources	12/15/08	6/30/10	41,085.00
5404262	Maine Healthy Beaches 2009	Lindberg,Keri	PP	State-University Partnership Program	ME Environmental Protection	1/1/09	12/31/09	176,403.00
5404286	Char Fish Health	Bouchard,Deborah	PP	State-University Partnership Program	ME Dept of Marine Resources	2/1/09	6/30/10	52,597.00
5404327	Sea Scallop Distribution	Chen,Yong	PP	State-University Partnership Program	ME Dept of Marine Resources	7/1/09	6/30/10	27,002.00
5404373	ME Educ Policy Res Inst	Harris,Walter	CA	Cooperative Agreement	ME Legislative Council	7/1/09	6/30/10	141,910.00
5404405	Transportation Institute	Pendse,Shella	PP	State-University Partnership Program	ME Dept of Transportation	5/18/09	9/30/09	33,517.00
5404415	Infomatics Newborn 09-10	Tu,Shihfen	PP	State-University Partnership Program	ME Dept Health/Human Services	9/1/09	8/31/10	72,996.00
5404549	ME Nutrition 2009-2010	Lincoln,Wanda	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	2,104,229.00
5404551	Child Welfare Renew 09-10	Russel,Robin	CA	Cooperative Agreement	ME Dept Health/Human Services	10/1/09	9/30/10	115,557.00

**USM**

6420070	Blended Gen & Special 08/09	Jones,Kenneth	PP	State-University Partnership Program	ME Dept of Education	9/1/08	9/30/09	200,501.00
6420083	MEPRI 09/10	Silvernail,David	PP	State-University Partnership Program	ME Legislative Council	7/1/09	6/30/10	138,630.00
6420090	Pathways Newcomer ETEP 09/10	Evans,Linda	PP	State-University Partnership Program	ME Dept of Education	10/6/09	8/31/10	150,884.00
6430055	ME SBDC Carryover FY09	Delisle,Mark	PP	State-University Partnership Program	ME Economic/Community Dev	7/1/08	6/30/13	203,822.00
6430068	Maine SBDC Admin 2010	Delisle,Mark	PP	State-University Partnership Program	ME Economic/Community Dev	7/1/09	6/30/10	498,293.00
6430069	Maine SBDC Serv Ctr 2010	Delisle,Mark	PP	State-University Partnership Program	ME Economic/Community Dev	7/1/09	6/30/10	313,176.00
6440013	Surveillance Capacity 08/09	Spross,Judith	PP	State-University Partnership Program	ME Dept Health/Human Services	8/10/08	8/9/09	556,623.00
6440014	Influenza 08/09	Toy,Brian	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	12/31/09	87,394.00
6440015	Hepatitis 08/09	Spross,Judith	PP	State-University Partnership Program	ME Dept Health/Human Services	8/10/08	10/31/09	122,086.00
6440017	SurveillanceCapacity09/10	Spross,Judith	PP	State-University Partnership Program	ME Dept Health/Human Services	8/10/09	8/9/10	684,539.00
6460022	Youth Violence Prevention	Anderson,Pamela	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	78,000.00
6470063	GeoPortal	Wilson,Glenn	PP	State-University Partnership Program	ME Environmental Protection	4/1/08	5/14/10	50,440.00
6470094	Chronic Disease 09/10	Lichter,Erika	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	11/30/09	350,523.00
6470096	Environ Epidemiology 09/10	Thompson,W	PP	State-University Partnership Program	ME Dept Health/Human Services	6/1/09	5/31/10	321,375.00
6470099	2009 MeDOT Monitoring	Wilson,Karen	PP	State-University Partnership Program	ME Dept of Transportation	8/10/09	7/1/10	33,047.00
6480106	DOC MHI CJS	Rubin,Mark	PP	State-University Partnership Program	ME Dept of Corrections	11/1/05	3/31/10	59,164.00
6480112	RCSC Transformation Grant	Griffin,Eileen	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/05	9/30/10	1,503,865.00
6480122	JJAG Juvenile DMC	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	3/1/06	9/30/09	171,520.00
6480543	DOT Curriculum Development	Ebersten,Susan	PP	State-University Partnership Program	ME Dept of Transportation	1/1/07	12/31/09	100,000.00
6480546	JJAG Formula Grant Eval & TA	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	8/16/07	2/28/10	143,931.00
6480542	MDOC Collaborative PSE	Rozeff,Leslie	PP	State-University Partnership Program	ME Dept of Corrections	10/1/07	9/30/09	66,203.00
6480543	Team Nutrition Trng 07-09	Gatchell,Judith	PP	State-University Partnership Program	ME Dept of Education	10/1/07	9/30/09	134,775.00
6480583	MDOC Adult Program CPAIs	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	12/1/07	11/30/10	110,139.00





6480591	State Profile Tool	Griffin,Eileen	PP	State-University Partnership Program	ME Dept Health/Human Services	1/1/08	9/29/10	460,257.00
6480592	MDOC SS & CPA	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	3/1/08	9/30/09	13,887.00
6480671	AMH Research Models 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	150,648.00
6480672	AMH Cert Programs 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	142,032.00
6480673	AMH Workshop Allocation 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	19,545.00
6480674	AMH Tuition Reimburse 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	72,509.00
6480675	AMH Train for Med Staff 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	21,559.00
6480676	AMH CSN 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	311,871.00
6480677	AMH Health & Wellness 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	84,010.00
6480678	AMH Diversion & Reentry 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	95,069.00
6480679	AMH Consumer Initiatives 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	105,377.00
6480680	AMH Comm Inclusion 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	12/31/09	19,999.00
6480681	OACPD Org Eff & Sys Chg 08/09	Edris,Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	8/31/09	54,604.00
6480682	OACPD Svc Sys & Prog Dev 08/09	Edris,Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	8/31/09	204,075.00
6480683	OACPD Registration Rev 08/09	Edris,Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	8/1/08	8/31/09	5,800.00
6480691	MNN Part Init 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	320,099.00
6480692	MNN FSNE 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	82,356.00
6480693	MNN Food-N-Moves 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	578,217.00
6480694	MNN Nut Ed at Lib 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	84,802.00
6480695	MNN Broadreach Fam & Com 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	188,983.00
6480696	MNN HWAC 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	259,123.00
6480697	MNN Nutritional Initl 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	361,541.00
6480698	MNN Nut Ed Local Grown 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	146,682.00
6480699	MNN Tribal Initiatives 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	220,711.00
6480700	MNN Veggies for ME 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	80,334.00
6480701	MNN Nut Ed Somali 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	211,030.00
6480702	MNN Women Reentry 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	72,053.00
6480703	MNN Rural Food 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	90,150.00
6480704	MNN Adults Develop Dis 08/09	Kaley,Lori	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	75,816.00
6480706	DHHSTI OIAS Eligibility	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	914,950.00
6480707	DHHSTI OIAS Long Term 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	165,808.00
6480708	DHHS OIAS Aspire 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	138,016.00
6480709	DHHSTI OIAS DSER 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	153,416.00
6480710	DHHSTI OIAS Staff & Prof 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	267,263.00
6480711	DHHSTI OIAS Dept Wide 08/09	Ward,Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	52,751.00
6480712	Skill Building VENA	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	9/30/08	9/29/11	310,866.00
6480715	MD Case Mix 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	297,865.00
6480716	MD Claims & Eliq 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	495,762.00
6480717	MD MDS MECare 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	107,227.00
6480718	MD MDS Survey 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	18,799.00
6480719	MD QIES 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	78,752.00
6480720	MD Best Practice 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	8,685.00
6480721	MD FA Support 08/09	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/15/09	33,714.00
6480723	Maine SAC 08/09	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	9/1/08	9/30/09	49,847.00
6480724	PH Program Eval 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	20,606.00
6480725	PH Family Health TA 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	18,287.00
6480726	PH MCH Block Grant 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	78,854.00
6480727	PH Educ & Train 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	92,947.00
6480728	PH WIC 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	73,478.00
6480729	PH SBHC 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	78,000.00
6480730	PH DEH 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	30,485.00
6480731	PH HlthCare Workforce 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	84,711.00
6480732	PH RRQI 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	23,954.00
6480733	PH Minority Health 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	10,000.00
6480734	PH BRFSS 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	134,146.00
6480735	PH Chronic Disease 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	15,258.00
6480736	PH Cancer Registry 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	8,492.00
6480737	PH PTM 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	36,645.00
6480738	PH Dental Recruit 08/09	Dutram,Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/08	9/30/09	83,638.00
6480743	MD Ad Hoc 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	31,949.00
6480744	MD ASO 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	36,706.00
6480745	MD HCBS Workforce 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	40,915.00
6480746	MD Best Practices 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	76,996.00
6480747	MD LTC Needs Assess 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	118,031.00
6480748	MD LTC System 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	86,153.00
6480749	MD Lunch & Learn	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	13,634.00
6480750	MD MeCare Exp Survey 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	83,969.00
6480751	MD MeCare Support 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	51,452.00
6480752	MD Medicaid Rule Dev 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	24,488.00
6480753	MD Med- Kids 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	47,162.00
6480754	MD Noncat Waiver 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	52,034.00
6480755	MD PMP Meds 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	110,851.00
6480756	MD Reimbursement Rates 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	90,295.00
6480757	MD ResCare Eligibility 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	34,649.00
6480758	MD SCHIP 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	140,583.00
6480759	MD ED Study 08/09	Fox,Kimberley	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	133,460.00
6480763	MD ED Study 07/08	McGuire,Catherine	PP	State-University Partnership Program	ME Dept Health/Human Services	12/1/07	10/31/09	14,192.00
6480771	Alzheimers Diversion ADI	Fralich,Julie	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	3/31/10	60,311.00
6480776	Child Care Research & Data	Lahti,Michel	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	9/30/09	177,889.00
6480777	QRS Impl Support FY09	Dean,Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	10/31/09	328,689.00
6480778	MDOC WOCMM	Dorsey,Carmen	PP	State-University Partnership Program	ME Dept of Corrections	11/15/08	10/31/09	66,011.00
6480780	Maine CHOICES CEO II	Glanz,Larry	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/08	12/31/09	714,172.00
6480783	Policy Analysis 08/09	Ebersten,Susan	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/08	11/30/09	76,479.00
6480784	Licensing Training 08/09	Ebersten,Susan	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/08	11/30/09	27,181.00
6480785	Emergency Prep Initl 08/09	Ebersten,Susan	PP	State-University Partnership Program	ME Dept Health/Human Services	12/1/08	11/30/09	20,000.00
6480791	Dirigo Coop Agmt 2009	Booth,Maureen	PP	State-University Partnership Program	St of ME Dirigo Health Program	1/1/09	12/31/09	117,695.00
6480793	C4CY: CNCS Support 09/10	Curry,Glenn	PP	State-University Partnership Program	ME State Planning Office	3/1/09	2/28/10	109,217.00



6480794	C4CY: SPO Support 09/10	Curry, Glenn	PP	State-University Partnership Program	ME State Planning Office	3/1/09	2/28/10	73,236.00
6480795	C4CY: CNCS Volunteer 09/10	Curry, Glenn	PP	State-University Partnership Program	ME State Planning Office	3/1/09	2/28/10	336,283.00
6480796	C4CY: SPO Volunteer 09/10	Curry, Glenn	PP	State-University Partnership Program	ME State Planning Office	3/1/09	2/28/10	90,964.00
6480802	Team Nutrition Trng 08-10	Kaley, Lori	PP	State-University Partnership Program	ME Dept of Education	4/1/09	7/31/09	10,439.00
0848	MDOC DJS Coop Agree 09-10	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept of Corrections	7/1/09	6/30/10	368,169.00
6480849	VOCA Trn-State 09/10	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	15,589.00
6480850	VOCA Academy 09/10	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	50,900.00
6480851	VOCA - NH 09/10	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	15,000.00
6480852	VOCA Registrations 09/10	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	3,500.00
6480853	Distance Ed in 09/10	Ebersten, Susan	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	172,759.00
6480854	OACPD Org Effect 09/10	Edris, Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	67,577.00
6480855	OACPD Service Sys 09/10	Edris, Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	191,815.00
6480856	AMH Best Practice 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	45,783.00
6480857	AMH Cert. Programs 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	347,374.00
6480858	AMH Web Based 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	68,215.00
6480859	AMH Workshop All. 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	17,463.00
6480860	AMH Tuition 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	90,860.00
6480861	AMH CSN 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	172,410.00
6480862	AMH Data Decision 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	43,243.00
6480863	AMH Health-Well 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	73,656.00
6480864	AMH CSSP Tech 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	31,218.00
6480865	AMH MH Advance 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	94,828.00
6480866	AMH Peer Support 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	110,362.00
6480867	AMH Anti-Stigma 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	19,999.00
6480870	CFS - AFF Intro FC 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	232,068.00
6480871	CFS - AFF Intro Adpt 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	471,171.00
6480872	CFS - AFF In Svc 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	262,584.00
6480873	CFS - Child Trans 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	13,487.00
6480874	CFS - IV-E Admin 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	135,641.00
6480875	CFS - pre Svc 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	383,498.00
6480876	CFS - On-go Train 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	377,217.00
6480877	CFS - Super Prac 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	230,052.00
6480878	CFS - CBHI 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	148,283.00
6480879	CFS Sub Ab OSA 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	26,125.00
6480880	CFS Sub Ab IVE FC 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	26,126.00
6480881	Youth Dev Initiative 09-10	Zanghi, Martin	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	455,323.00
6480890	Juvenile Justice Task	Dorsey, Carmen	PP	State-University Partnership Program	ME Dept of Corrections	6/1/09	5/31/10	40,000.00
6480891	MNN Partner Initiatives 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	375,791.00
6480892	MNN Food-N-Moves 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	660,902.00
6480893	MNN Broadreach Fam & Com 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	224,435.00
6480894	MNN HWAC 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	432,143.00
6480895	MNN Nutrition Initiative 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	355,320.00
6480896	MNN Ed ME Seniors 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	240,197.00
6480897	MNN Tribal Initiatives 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	130,824.00
6480898	MNN Veggies for ME 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	118,933.00
6480899	MNN Nut Ed Somali 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	191,298.00
6480900	MNN Adults Develop Dis 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	158,523.00
6480901	Improved Decision Making	Rubin, Mark	PP	State-University Partnership Program	ME Dept of Corrections	8/1/09	6/30/10	23,360.00
6480902	DHHSTI OIAS Eligibility 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	856,520.00
6480903	DHHSTI OIAS Long Term 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	150,882.00
6480904	DHHSTI OIAS ASPIRE 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	186,128.00
6480905	DHHSTI OIAS DSER 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	247,277.00
6480906	DHHSTI OIAS Staff & Prof 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	277,950.00
6480907	DHHSTI OIAS Dept Wide 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	55,383.00
6480908	DHHSTI OIAS E&T 09/10	Ward, Sarah	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	11,600.00
6480914	Team Nut Trng 08-10 Yr2	Kaley, Lori	PP	State-University Partnership Program	ME Dept of Education	7/21/09	6/30/10	129,579.00
6480918	PH Accred 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	66,099.00
6480919	PH Family Health 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	146,423.00
6480920	PH SBHC 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	72,128.00
6480921	PH Student Learning 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	32,015.00
6480922	PH Minority Health 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	15,000.00
6480923	PH BRFS 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	133,923.00
6480924	PH Workforce Forum 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	58,987.00
6480925	PH Telehealth 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	53,191.00
6480926	PH Hlth Survey Data 09/10	Dutram, Kay	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	28,873.00
6480927	ME Infant Toddler Curr Y4	Reed, Susan	PP	State-University Partnership Program	ME Dept of Education	9/1/09	8/31/10	87,857.00
6480938	MRTQ Childcare Accred 09/10	Dean, Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	350,805.00
6480939	MRTQ Career Dev 09/10	Dean, Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	336,624.00
6480940	MRTQ Scholarship Adm 09/10	Dean, Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	20,693.00
6480941	MRTQ Scholarship 09/10	Dean, Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	28,476.00
6480942	MRTQ Support ECD 09/10	Dean, Allyson	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	46,959.00
6480946	Child Care Res & Data Yr2	Lahti, Michel	PP	State-University Partnership Program	ME Dept Health/Human Services	10/1/09	9/30/10	139,438.00
6480947	QRS Impl Support FY10	Lahti, Michel	PP	State-University Partnership Program	ME Dept Health/Human Services	11/1/09	10/31/10	308,057.00
6480953	OACPD Brain Injury Asses 09/10	Edris, Nadine	PP	State-University Partnership Program	ME Dept Health/Human Services	7/1/09	6/30/10	13,572.00



**PUBLIC LAW CHAPTER 240 SEC. UUUU-1**  
**Of the 123<sup>rd</sup> Legislature**

*Administrative Savings Group Report*

**January 1, 2008**

*Presented By:*

*Chancellor Richard Pattenaude – University of Maine System*

*President John Fitzsimmons – Maine Community College System*

*President Leonard Tyler – Maine Maritime Academy*



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# I. Introduction

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To fulfill the obligations of Public Law Chapter 240 Sec. UUUU-1, the Chancellor of the University of Maine System, the President of the Maine Community College System, and the President of the Maine Maritime Academy formed the “Administrative Savings Group”. The Chief Financial Officers (CFOs) from each of the three institutions were asked to coordinate the research and fact finding necessary to determine opportunities for savings and impact on operations (including student related services).

The efforts of the Administrative Savings Group were centered in three areas: existing efficiencies within and among the three systems; existing collaborations and their effectiveness; new and continuing opportunities for collaboration.

The University of Maine System, the Maine Community College System, and the Maine Maritime Academy, while all serving the higher educational needs of the State of Maine, have three very distinct missions.

- The University of Maine System unites seven distinctive public universities in the common purposes of providing first-rate higher education, research, and public service at a reasonable cost in order to improve the quality of life for the citizens of Maine.

The University of Maine (at Orono) first opened in 1868. One hundred years later, in 1968, the Maine State Legislature established the University of Maine System to unite the seven public universities and their regional outreach centers into a single system. The seven universities offer a variety of academic settings each with their own strengths and ways of learning.

Enrollment within the University of Maine System exceeds 34,000 students.

- The Maine Community College System is Maine’s comprehensive two-year college system offering over 300 occupational and transfer programs, continuing education, and customized training for business and industry.

The System was originally established after World War II to provide vocational and technical training to returning veterans. The System was created in 1986 by act of the Maine State Legislature and in 2003 the Legislature changed the name to the Maine Community College System to reflect its broader mission of providing career and liberal arts transfer programs for Maine college students.

Today the System’s seven colleges have a headcount enrollment of over 13,800 students.



- The mission of Maine Maritime Academy is a college specializing in ocean and marine programs at the undergraduate and graduate level. Proposals for an institution devoted to nautical training began in Maine in the 1930s and led to the creation of Maine Maritime Academy by an act of the 90th Maine Legislature in 1941.

The Academy has grown steadily since then offering three degrees, 10 undergraduate and graduate academic majors, new training labs and expanded student services. The Academy serves 825 students.

These distinct missions resonate throughout the organizational structure and work processes of the three entities. The University System has nine classifications of employees, with six collective bargaining contracts negotiated with three different unions (MEA (3), AFT and Teamsters (2)). The Community College System has seven classifications of employees, with five collective bargaining contracts negotiated with three different unions (MSEA (2), MEA (2), and AFSCME). The Maritime Academy has five classifications of employees, with three collective bargaining contracts negotiated with one union (MSEA).

The efforts of the Administrative Savings Group focused on meeting the objectives of Public Law Chapter 240 Sec. UUUU-1 without changing the mission or function of the three systems. It is important to note that any proposal aimed at administrative savings that might change the nature or scope of work covered by the various collective bargaining agreements would have to be negotiated with the respective bargaining units.



## II. Efficiency of Maine's Higher Education Systems

The three systems of higher education strive to meet their distinct missions in an efficient, collaborative and thoughtful manner. A report—which will be delivered to the Joint Standing Committee on Education and Cultural Affairs no later than January 31, 2008—written jointly by UMS, MCCS, and MMA pursuant to Resolve Chapter 119 clearly documents the relative decline in state funding for Maine's higher educational systems. In 1990 funding for state higher education equaled 17 percent of the state's general fund revenue; this year, fiscal 2008, higher education's share of the general fund budget is only 9 percent. In 2007 Maine ranked 38<sup>th</sup> in state appropriations per capita and 32<sup>nd</sup> in appropriations per dollar of income.

Over the past ten years, proportionate state support has declined at each of the three Systems. State appropriations once comprised 58 percent of the Maine Community College System's total revenue. That number has fallen to 42 percent. Forty-six percent of the Maine Maritime Academy's budget was once state-funded; it is now 29 percent. And almost half of the University of Maine System budget (45 percent) was provided by the state. It is now 28 percent.

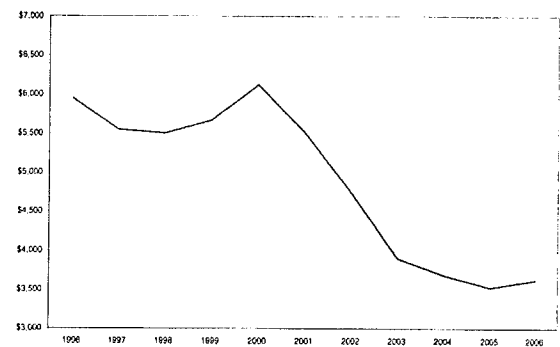
In fiscal 2000 state appropriations to all of higher education averaged over \$6,000 per student served ('headcount'); in fiscal 2006 the appropriation was just over \$5,000. If the fiscal 2000 level of per student funding had been sustained, current State appropriations to the three Systems would be approximately \$50 million dollars higher in 2006 than was actually expended.

Academic quality is tied directly to adequate funding, and reduced state support puts considerable pressure on the budgets of each institution. Although Maine's colleges, universities, and maritime academy continually seek ways to make operations more efficient, efficiencies alone are not enough to cover rising costs.

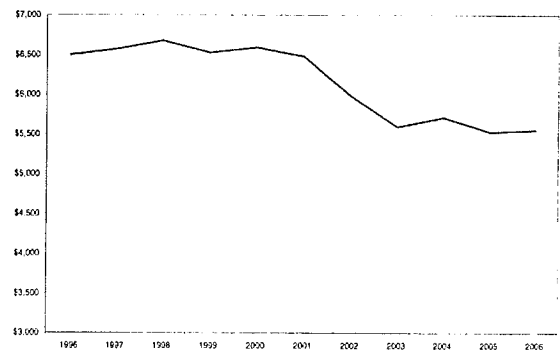
As the following section—*Existing Collaborations*—makes clear, the three institutions have been very creative in their efforts to work together to reduce administrative and overhead costs while sustaining quality educational opportunities for the students they serve.

Appropriations per student served:

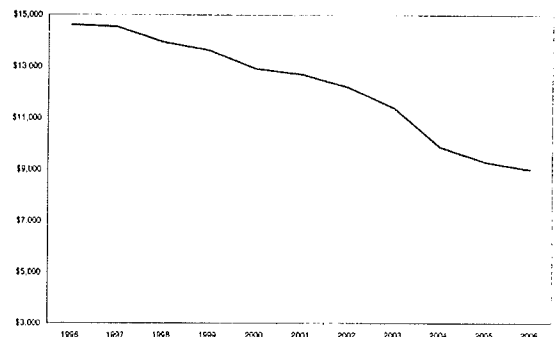
MCCS:



UMS:



MMA:





### III. Existing Collaborations and Efficiencies

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Maine's three systems of higher education have a long and successful history of collaboration in both academic and non-academic areas. A brief overview of some of the more significant collaborative efforts includes, but is not limited to:

#### *1. Purchasing and Procurement*

- UMS, MMA, and MCCA all purchase desktop software and some hardware from the University of Maine's Computer Connection, the University's technology store; these purchases saved MCCA and MMA almost \$56,000 in fiscal 2007.
- UMS has negotiated "blanket" software licensing agreements with Microsoft and Adobe covering all three systems.
- UMS is negotiating with Symantec for software licensing agreements for virus protection in a volume purchase agreement that leverages the combined power of UMS, MCCA, and MMA.
- Several MCCA campuses along with UM and UMA share one common license agreement for AutoCAD software.
- UMS, MCCA, and the Maine State Library jointly procure online library management services. Bangor Public Library and the Maine State Library are also part of this joint procurement; and there is a direct link to the library systems at Colby, Bates and Bowdoin. Had each library individually purchased, set up and operated the library management system, costs for individual libraries would have been much higher than current consortial costs.

Access to aggregate and subject databases are provided to all citizens of the State of Maine by consortial efforts through state and federal funding sources. Costs for individual subscriptions for these databases would be significantly higher than the library consortium pays.

- MCCA and MMA have joined the UMS Energy Team. This effort has resulted in grants benefiting each institution to help offset the costs of retrofitting certain facilities with a more energy efficient building infrastructure.
  - MCCA piloted a regional fuel oil procurement plan saving NMCC about \$1,400 in reduced transportation costs for heating oil.
  - For several years UMFK, UMPI, and NMCC negotiated with electricity suppliers to aggregate their usage and buying power. These negotiated supply contracts ended in February 2005. With the departure of Energy Atlantic in 2004, northern Maine no longer has a competitive electricity market. However, should future opportunities present themselves, all three institutions are eager to participate in aggregating electrical procurement.





## *2. Shared Administrative Personnel*

MCCS and UMS jointly operate a number of their off-campus centers, sharing facilities and personnel in order to make most efficient use of resources. "

- At the Hancock County Higher Education Center in Ellsworth, MCCS and UMS share a director and support staff.
- At the Penquis Higher Education Center in Dover-Foxcroft, the two systems have hired one director to manage both university and community college efforts.
- At the Western Maine University and Community College Center in South Paris, the two Systems share support staff.
- WCCC and the UMM are building a collaborative relationship that maximizes higher education opportunities for residents of Washington County, while minimizing costs for both institutions and their students. The UMS distance education center, formerly located in downtown Calais, has relocated to the WCCC campus; UMM courses that do not overlap WCCC courses are offered at the Center. The ultimate goal is for students to be able to transfer from WCCC to UMM and complete a baccalaureate degree in Calais. An agreement also allows WCCC students graduating with an associate degree admittance to UMM with junior standing
- And in Bath, at the Midcoast Center for Higher Education, MCCS and UMS use joint orientation programs for students.

In all, these efforts have resulted in avoiding approximately \$511,000 per year in duplication of personnel costs.

In addition:

- MMA utilizes UM's Office of International Programs for most visiting faculty visa filings.
- USM's Social Justice Program provides training to SMCC Residential Life Staff around topics of diversity, SAFE Zone Training, and sexual assault/domestic violence first responder training.
- UMS is currently coordinating with federal TRIO Student Support Services (SSS) programs around Maine, including at both UMS and the community colleges, to provide writing assistance for the next round of grants, ensure compliance with federal regulations, and promote effective and efficient services to students.



### *3. Facilities Management*

- MCCS and UMS share higher education outreach centers at seven locations: in Houlton, Calais, Bath, South Paris, Ellsworth, East Millinocket, and Dover-Foxcroft. These efforts have resulted in avoiding approximately \$353,000 in duplication of facilities costs.
- Since the mid-1990's, SMCC has sub-let a block of dormitory rooms at USM's Portland Hall in order to address a lack of housing on the SMCC campus. The SMCC students have had full access to USM food services and other amenities available to USM students living in the residence hall.
- UM Recreation Center memberships are provided at student cost to EMCC students.

### *4. Information Technology*

- UMS manages MMA's internet connectivity, interactive classrooms, external network management, and dial-up connectivity for students. MMA has estimated that it avoids alternative costs of approximately \$50,000 per year by coordinating network management with UMS.



## IV. New Initiatives Considered Through this Review Process

This fall fifteen college administrators representing all three Systems met in Bangor to systematically review potential savings in non-instructional areas through the sharing or combining of services. The analysis covered all functional areas of the three institutions. Following the meeting, the Administrative Savings Group met to review the various concepts that had been presented and weighed the impact of each on cost, institutional mission, and student services.

### *1. Purchasing and Procurement*

- As previously mentioned, MCCA and MMA have joined the UMS Energy Team and MCCA piloted a regional fuel oil procurement plan that saved NMCC about \$1,400 in reduced transportation costs for heating oil. By expanding this pilot program to all seven of the MCCA institutions, the community colleges could realize additional savings of over \$5,000.

**This item will be pursued in an effort to achieve additional savings.**

- The University of Maine System has a centralized procurement office that leverages purchasing power through system-wide and multiple campus procurements when feasible and practical. In addition, the UMS central procurement office develops and promotes best procurement practices. MCCA and MMA could avail themselves of these benefits by collaboration with UMS. Some tangible savings, both financial and administrative, could be realized. Examples include:
  - *Copier Contract*: UMS has implemented a cost-per-copy printing and photocopying solution. The cost-per-copy program replaces institution owned and/or leased photocopiers and networked printers with photocopiers fully owned and maintained by the supplier. In addition to the photocopying function, many of the units also scan and fax, thus further reducing the institution's equipment overhead. UMS pays only a per-copy charge to the supplier for printed/photocopied pages (excluding paper and staples). UMS realizes annual savings of 43 percent or \$500,000 (based on 40 million copies). Both MCCA and MMA could be added to the UMS contract when it is re-bid in 2009. If MCCA and MMA realized savings similar to those of UMS, when combined the two institutions would save approximately \$125,000. (Contract start date would be July 2010.)
  - *Wright Express Fleet Management Card*: UMS utilizes a fleet management solution from Wright Express for all institution-owned vehicles. This system includes a fuel card for purchases of vehicle fuel accepted at service stations across the U.S. UMS will engage Wright Express to extend its program to the MCCA and MMA as appropriate.



- *Organized Events/Training:* UMS has offered training and presentations on cooperative group purchasing organizations. UMS will seek additional opportunities to share best procurement practices with MCCA and MMA, including membership in the newly formed UMS Procurement Council.
- *Furniture:* UMS utilizes several contracts for the purchase of furniture. In the past year annual purchases under this contract were \$137,000, with contract savings of \$178,000. UMS will work with its suppliers to extend these contracts to MCCA and MMA. Projected savings for MCCA and MMA range from 12 percent to 20 percent.
- *Shipping:* UMS utilizes two contracted shipping options with UPS and FedEx. Both contractual programs provide capabilities that include online shipping and billing. UMS saves approximately \$46,600 annually on total system-wide contractual shipping purchases of \$264,500. UMS can work with MCCA and MMA to transition to these contracts where practical.

**These areas of consideration, and others of a similar nature, will be considered and acted upon as contracts are scheduled for renewal.**

## *2. Contractual Services*

- *Food Services Operations:* UMS has transitioned to a single master contract for managing cafeteria and food service operations for six of its universities. The UMS experience with food services did not result in measurable “out-of-pocket” savings, but consolidating six contracts into one did generate administrative efficiencies. MCCA and MMA will explore the practicality and benefits of contracting the operation of their cafeteria and food service operations in a similar fashion.
- *Book Store Operations:* As noted above, master contracting of Food Service Operations generated certain administrative efficiencies. UMS, MCCA, and MMA will explore the practicality and benefits of contracting the operation of their bookstores in a similar fashion.

**These areas need further discussion and exploration before action is considered.**

## *3. Payroll Services*

- UMS processes payroll internally as part of their fully integrated PeopleSoft ERP System. MCCA currently uses ADP, an independent payroll processing firm. MMA is installing SunGard Higher Educational Systems, a fully integrated ERP System. MCCA and UMS have explored the option of having UMS process the MCCA payroll. Because MMA is beginning an ERP implementation, the concept was not practical for them.

The cost to MCCA for ADP’s services is approximately \$100,000 annually.





Expanding UMS's license agreement with PeopleSoft to include MCCA payroll would cost \$352,500 (one time) plus an annual maintenance charge of approximately \$70,000 per year. In addition, UMS would have to incur some staff, operational, and computer hardware costs to bring MCCA into the UMS system. As a result, the total approximate cost for UMS to process MCCA's payroll would be \$325,000 annually (amortizing the one time outlay over ten years).

**The analysis demonstrates that merging payroll processing would result in higher costs. Merging payroll processing will not be pursued.**

#### *4. Facilities Management*

- Individual campuses manage day-to-day maintenance and minor repairs locally but have a broader range of internal and external consulting resources available for advice and assistance on major improvements.

Current State law requires that MCCA and MMA enlist the support and expertise of the State Bureau of General Services (BGS) on all public improvement projects. The University of Maine System has a small centralized facilities management and planning staff that leads the development and implementation of System policies and procedures for facilities management, capital asset planning, project management, real property and lease management, safety and environmental management, and energy management. The staff serves as subject matter experts to the seven universities and augments the in-house capabilities of the smaller campuses as required.

The three institutions can refine protocols for sharing existing professional services for capital renewal and acquisition projects as well as in areas related to: real property management; facilities maintenance; environmental, safety and compliance issues; and, energy management.

**These areas need further discussion and exploration before action is considered.**

#### *5. Information Technology*

- *Managing Enterprise Resource Planning* (enterprise-wide information management). UMS began implementation of PeopleSoft several years ago to manage enterprise-wide information; MMA is installing SunGard Higher Educational Systems, a smaller ERP system; and MCCA utilizes a version of Jenzabar that it has considered upgrading. While it would not be practical for MMA to consider joining UMS in the use of PeopleSoft, MCCA did consider the option.

Expanding UMS's license agreement with PeopleSoft to include MCCA would cost \$822,500 (one time) plus an annual maintenance charge of approximately \$165,000 per year. In addition, UMS would have to incur some staffing, operations, and computer hardware costs to bring MCCA into the UMS system resulting in a charge of approximately \$482,000 annually (amortizing the one time outlay over ten years).



If M CCS were to migrate to PeopleSoft, UMS could not begin implementation until Fiscal Year 2011 to allow for completion of current PeopleSoft applications.

If M CCS were to upgrade its current Jenzabar system, the cost would be approximately \$338,000 (one time) plus annual maintenance charges of \$66,000. If M CCS chose this option, M CCS would not incur additional staff or operational costs and might be able to reduce staff by one-half of a full-time employee. M CCS would incur computer hardware costs of approximately \$255,000 resulting in an annual charge of approximately \$125,000 annually (amortizing the one time outlay over ten years).

**The analysis demonstrates that merging ERP processing would result in higher costs. Merging ERP processing will not be pursued.**

- *Managing Wide-Area Network Administration:* UMS is developing a robust wide-area network and Internet connection capacity that includes 2 gigabytes of redundant access to the traditional Internet and to “Internet 2”. Most of this network is composed of fiber optic connections owned by the University System. UMS leases “last mile” connectivity through a variety of sources, not the least of which is Time Warner.

As mentioned, MMA is already part of the UMS wide-area network. M CCS recently re-engaged Time Warner to provide 30 megabytes of access to the traditional Internet (“burstable” to 100MB), and Time Warner now manages M CCS’s wide-area network. M CCS’s contract with Time Warner expires June 30, 2010.

M CCS has initiated conversations with UMS to determine if there are financial advantages to having UMS provide Internet access and wide-area network management while retaining Time Warner to provide “last mile” connectivity. The outcome of these conversations should be available in the spring or early summer of 2008.

**This area needs further discussion and exploration before action is considered.**

To insure that Maine’s Systems of Higher Education remain effective and efficient, the Chancellor of the University of Maine System, the President of the Maine Community College System and the President of Maine Maritime Academy have reached agreement on the following; to convene an annual meeting of the respective Chief Financial Officers (CFOs) and appropriate senior managers to review strategic, operational, and procurement plans and to identify an agenda for further collaborative efforts identifying new opportunities for streamlining operations, leveraging combined purchasing powers, and realizing additional administrative efficiencies. Second, in order to address items noted in this report the three CEOs will have the three CFOs review the various opportunities identified and recommend appropriate action steps. Considerations for efficient operations will be acted upon when a substantive business case identifies demonstrative savings opportunities.



## **Section H**

# **Constituencies Served by the University of Maine System**



## Identification of Constituencies

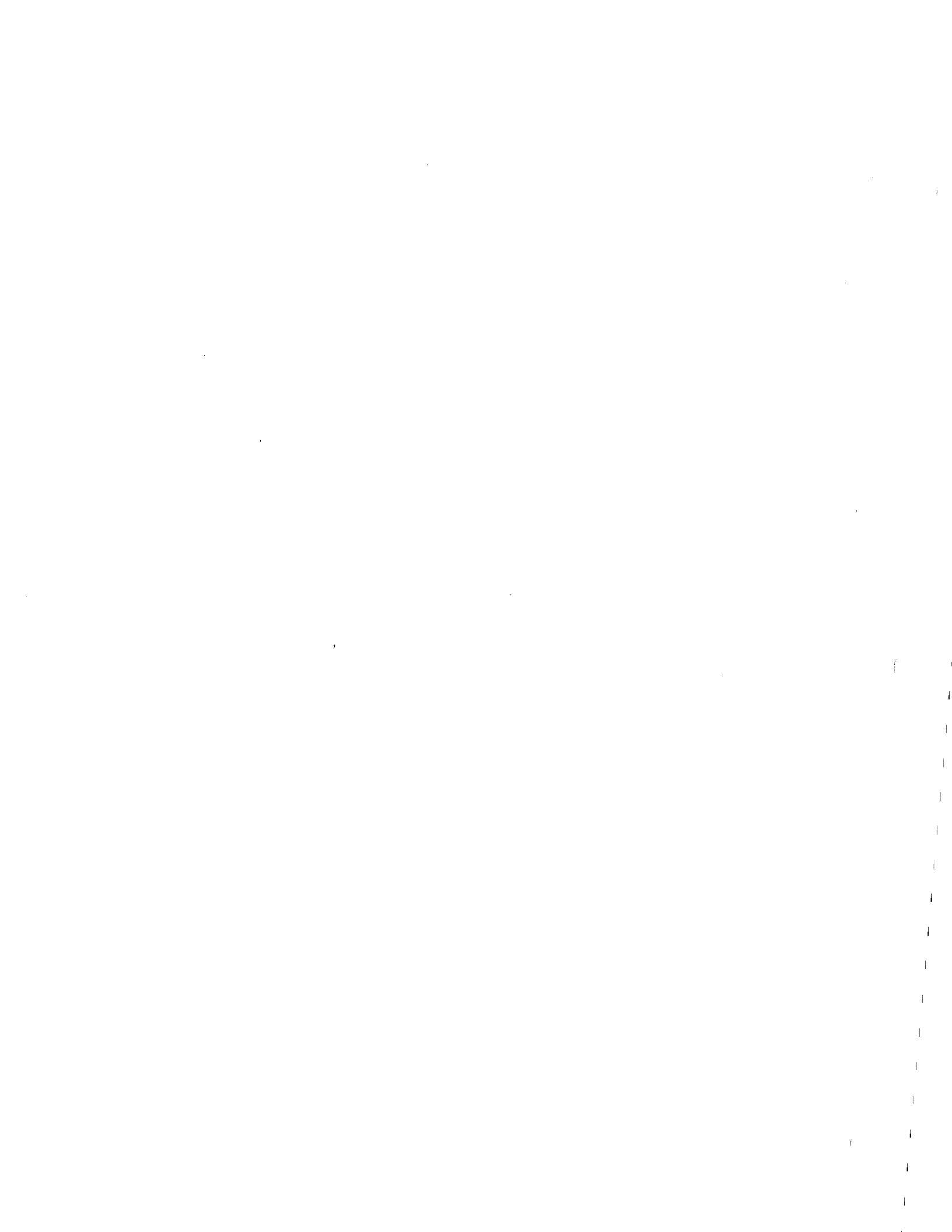
- Students and prospective students of all ages.
- Parents and family members of students and prospective students.
- K-12 community—classroom educators, guidance counselors, coaches, administrators.
- Businesses, entrepreneurs and industries, which depend on us for workforce development, R&D, and contributions to Maine’s economy and quality of life.
- Not-for-profit organizations large (e.g., Jackson Lab) and small (e.g., Eastern Area Agency on Agency) which depend on university expertise and labor (paid and volunteer) for their operation and success.
- Healthcare and social services communities.
- Families and small businesses which utilize and/or depend on our public service and outreach programs.
- Those who work in and depend on Maine’s natural resources for employment and sustenance.
- Taxpayers who expect us to meet Maine’s educational, cultural, social, and economic needs and opportunities.
- Public policy makers at the local, county, state, and national levels.
- The higher education community in Maine and nationally.





# **Section I**

## **Alternative Delivery Systems**



Revised October 27, 2009



**Arena One -- New Challenges, New Directions**  
**ADMINISTRATIVE, STUDENT AND FINANCIAL**  
**SERVICES**

Submitted by the Chief Financial Officers

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**Laurie Pruett, UMA**  
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**Bill Geller, UMF**  
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**Charlie Bonin, UMPI**  
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## APPENDIX

### ARENA ONE FINAL WORKGROUP REPORTS AND OTHER INFORMATION

- A. System-wide Services
- B. Information Technology
- C. Finance and Accounting
- D. Facilities Management
- E. Procurement
- F. Human Resources and Workforce Management
- G. Student Services Delivery
- H. Revenue Enhancement

## **I. INTRODUCTION**

Administrative, student and financial services support the core academic mission of our seven universities and perform many of the compliance and accountability functions on behalf of the Chancellor and the Board of Trustees that allow them to fulfill their governance obligations. Ensuring the most efficient and effective delivery of these services was the work of the University of Maine System's Chief Financial Officers working on Arena One of the "New Challenges, New Directions" report.

The administrative, student and financial services arena consists primarily of information technology, financial management and accounting, facilities, risk, safety and environmental management, strategic procurement, human resources and benefits management, and other support and infrastructure-related operations. The arena also includes appropriate student administrative functions such as admissions data entry and loan processing, transfer credit processing, student billing and refunds, financial aid processing, tax return verification and immunization document processing.

To assist in their work, the CFOs also engaged campus and System level leaders in information technology, finance and accounting, facilities, procurement, and human resources, student services and others. A complete list of participants appears in this document on page 2.

Primary emphasis in the Arena One work was placed on controlling costs, including those related to compensation and benefits, by harnessing economies of scale through the distribution of personnel and other resources on an enterprise-wide level, with a dual focus of enhancing services to students. A separate effort to investigate opportunities for enhancing revenue was also undertaken and is included in this report.

It should be noted that prior efforts to reduce costs have thinned staffing in many of the areas covered under Arena One. On our smaller campuses, many of the administrative, student and financial services employees perform multiple functions making it difficult to reduce a position even if a particular function could be consolidated and performed at an enterprise level. Additionally, aging information systems and a lack of standardization of processes amongst the campuses impact the ability to form data-driven decisions and leverage economies of scale. Finally, many of our policies governing administrative procedures are outdated.

Nevertheless, the Chief Financial Officers undertook their task with the belief that additional opportunities did exist and, through our efforts, we determined that significant savings are possible, but implementing that savings will require some tough decisions on the part of System leadership.

The CFOs also note that the Multi-Year Plan on which the four-year \$42 million structural gap is based was developed in more prosperous times and is now nearly a year old, therefore we have committed to updating that analysis over the summer of 2009 as we begin preparations for the FY11 budget cycle.

Specifically, Arena One was charged with investigating the following:

1. **Establishment of a centralized information technology function.** To realize the potential of our PeopleSoft investment and to obtain economies of scale. This effort will investigate drawing university IT personnel into a coordinated unit which is responsive to the needs of the university system as a whole. It will also seek to establish greater commonality of definitions, equipment and processes.
2. **Achievement of greater centralization of back-office services and enhanced oversight.** Investigate the consolidation of other critical administrative and support services such as finance, facilities and human resources to leverage core competencies through standardization and clarity of processes, use of new technologies and best practices, transparency and evaluation of performance against agreed upon metrics.
3. **Management of work force, compensation and benefits.** Explore alternative, demand-linked employment arrangements; implementation of administrative staffing ratios; alignment of collectively bargained compensation, benefits programs, and terms of employment with available resources; and conduct a review of appointment terms for the management group.
4. **Establishment of a centralized procurement function.** Investigate opportunities for savings through centralization of staffing and implementation of strategic procurement practices, including periodic re-bidding of all major contracts utilizing a System-wide contract where possible.
5. **Partner with other state or public entities.** Explore opportunities to partner outside the University System to share costs and improve services.
6. **Implementation of Internet-based services to support academic and student services.** Explore greater centralization of many services such as help desks, bursars and student billing offices to create a self-service environment that provides quality, timely services to students. This work builds upon the vision for the Shared Processing Center as outlined in the SSTP/THESIS report.
7. **Enhancement of revenue opportunities.** Assess the opportunity to generate additional revenue through new and existing sources.



## **II. SUMMARY OF RECOMMENDATIONS**

### **A. System-wide Services Recommendations**

1. The current array of services is needed to support the campuses and should be preserved.
2. An Advisory Council consisting of the seven campus CFOs and the Vice Chancellor for Finance and Administration should provide guidance and customer input for the management of System-wide Services.
3. System-wide Services should not be billed to campuses, but should be supported by appropriations or other resources.

### **B. Information Technology Recommendations**

1. The Hybrid IT Consolidation model should be adopted creating dotted lines between campus IT directors and the System CIO; however, the System and its campuses should continue to explore opportunities for further consolidation as technology evolves.
2. An IT advisory group should be formed to provide for academic customer input into the management of certain IT resources.
3. The ERP Competency Center should be implemented. Note that funding for this proposal has already been included in the SWS FY10 budget as approved by the Board of Trustees.

### **C. Finance and Accounting Recommendations**

1. To achieve efficiencies, the seven campuses must work like a System in implementing technology solutions and business processes in order to take advantage of economies of scale.
2. The Board of Trustees should engage in a review of the current waivers and reevaluate the original intent against current outcomes. Many of the waivers can be tightened through needs testing by requiring the completion of a FAFSA, which also ensures the UMS becomes the payer of last resort.

### **D. Facilities Management Recommendations**

1. Update policies and practices that govern the performance of facility management to avoid future costs.
2. Replace the existing out-dated facilities information management system to provide consistent, reliable information to assess performance, ensure accountability, and support data driven decisions. As a first step, plan for near-term replacement of existing maintenance management systems.

3. Explore options for providing energy management support to campuses. While additional costs may be incurred, the opportunity for additional savings is significant.

#### **E. Procurement Recommendations**

1. Implement the business practice refinements related to strategic sourcing consistent with the recommendations suggested in the Huron report.
2. Investigate the options for new technology that will enhance opportunities for savings through automation of procurement and accounts payable. Develop a funding and implementation plan, including any necessary realignment of staff.

#### **F. Human Resources and Workforce Management Recommendations**

1. Implement increased employee and manager self service, portal, document imaging and management, and case management tools to improve efficiency of HR delivery.
2. Adopt a Center of Expertise (COE) model for the organization of HR and EEO services to leverage campus expertise across the system starting with a pilot project for benefits administration and wellness.
3. Accelerate implementation of payroll streamlining to increase use of direct deposit and electronic advice, decrease special checks and off cycle payroll runs, and determine the feasibility and return on investment of reducing the number of payroll cycles.
4. Implement incentives for wellness, disease management and use of quality care to reduce the cost trend increase in the group health plan for employees and retirees.
5. Contain the cost of compensation and benefits at current levels over the next two year period or reduce staffing by 200 FTEs, or some combination thereof, to control the growth of the largest cost component of the budget.
6. Future compensation increases should be tied to the availability of ongoing revenue.
7. Benefit redesign must occur to bring costs in line with the availability of ongoing revenue.

#### **G. Student Services Delivery Recommendations**

1. Work in the student service areas should continue in the quest for efficiencies and commonality. As functional groups become more familiar with MaineStreet, there will be discoveries and resultant opportunities for additional centralized processing.

2. Proceed with the implementation of immunization data entry, Native American waiver data entry and Stafford exit interviews at the Shared Processing Center as these can be accomplished within available staffing.
3. Develop a robust front end portal and virtual self service center to provide an easily accessible and navigable entry point to MaineStreet allowing students to access services at their convenience.
4. Re-examine the current status of one stop service at each campus to determine the most appropriate delivery of in-person front line services in the integrated world of MaineStreet.
5. Upon completion of the portal, virtual self service center and campus one stop service re-evaluate staffing needs across all campuses and the potential for sharing additional resources through the Shared Processing Center.
6. Direct the University College/ITV/On-line Assessment Committee to include within its deliberations the appropriate delivery of services to multi-campus students.

#### **H. Revenue Enhancement Recommendations**

1. UMS System leadership must play a role in determining the strategy by which the System and its campuses meet the needs of the state and its citizens and how it supports the work of and collaboration among the campuses in achieving the desired outcomes.
2. Consider a campaign to promote public baccalaureate and graduate education and link it to the future of Maine's economy and citizenry.
3. Leverage academic and financial resources across the system to develop an enrollment strategy to meet consumer interest and economic demand through quality academic programs and innovative tuition and financial aid strategies to ensure accessibility.
4. Explore additional opportunities for recruitment such as the non-traditional, international and transfer markets, partnerships with business and industry, and new methods of educational delivery to improve the accessibility of higher education to Maine people.
5. Ensure that auxiliary operations pay for themselves and are not a drain on E & G operations.

## The Last Word

A consistent question reverberated throughout the discussions held by the CFOs and the six workgroups that labored on various aspects of Arena One. It bears repeating here.

**Are we a System in which we have similar goals and operations, or are we seven independent institutions?**

If there is a desire to move beyond the current state of affairs and refinement of operations to seek further savings through efficiencies and economies of scale and to ensure that higher education is accessible to Maine people, then the answer to this question must be that we are a System.

### III. SUMMARY OF SAVINGS

Even while the work on Arena One progressed, the seven campuses and System-wide Services worked to balance their respective FY10 budgets in time to be implemented by July 1, 2009. The combined efforts to balance the FY10 budget yields over \$20 million in ongoing savings by FY13, however, those savings are significantly offset by declining revenues and increased costs. Nevertheless, these savings serve to reduce the structural gap in FY13 by \$13.2 million.

The work of Arena One identifies opportunities for significant savings, however, it will require the clear direction of System leadership and the focused efforts of many at both the System and the campus level to bring these savings to fruition and position the University of Maine System on a fiscally sustainable path.

A summary of all of the Arena One savings identified in the recommendations and opportunities outlined in this report appear below.

New Challenges, New Directions Arena One Savings Compilation (\$ in millions)				
	<u>FY10</u>	<u>FY11</u>	<u>FY12</u>	<u>FY13</u>
<u>LOW ESTIMATE OF SAVINGS</u>				
Campus/SWS FY10 Savings	\$11.5	\$12.4	\$12.8	\$13.2
Workforce Management	6.5	14.2	14.4	13.8
Hybrid IT Model & Other Savings	0.9	1.1	1.1	1.1
Finance & Accounting/Waivers	0.4	1.2	1.3	1.3
Procurement Strategic Sourcing	0.6	0.6	0.6	0.6
<b>Total Savings</b>	<b>\$19.9</b>	<b>\$29.5</b>	<b>\$30.2</b>	<b>\$30.0</b>
<u>HIGH ESTIMATE OF SAVINGS*</u>				
Enterprise IT Model & high-end savings	0.3	0.7	0.7	0.7
Enterprise Procurement Model	0.5	0.9	1.1	1.3
<b>Total Savings</b>	<b>\$20.7</b>	<b>\$31.1</b>	<b>\$32.0</b>	<b>\$32.0</b>
*Total savings available assuming high-end estimates and adoption of enterprise models for IT and Procurement.				

## **IV. DISCUSSION OF RECOMMENDATIONS**

### **A. System-wide Services: General Review**

While the work of Arena One was focused on exploring opportunities for further efficiencies by leveraging additional resources across the system as a whole, the CFOs also committed to a review of the existing shared services and alternative methods of funding those services.

The CFOs reviewed the proposed FY10 budget and staffing levels for both the Chancellor's Office and System-wide Services, as well as detailed information regarding the roles and functions served by both the Chancellor's Office and System-wide Services, University of Maine System: Chancellor's Office and System-wide Services, March 2009, prepared for the "New Challenges, New Directions" Task Force (see **APPENDIX A-1**). They also directed the Information Technology, Facilities, Procurement, Human Resources and Student Services work groups formed under Arena One to evaluate the utility of the shared services accessed by each respective group and to identify any duplication of services that may exist.

The CFOs endorsed the FY10 budget for System-wide Services as proposed, which represents a \$0.2M reduction from the FY09 budget and a \$1.4M reduction from the anticipated FY10 budget under the Multi-Year Plan. Additionally, each workgroup and the CFOs affirmed the need for the current array of services provided. While neither the workgroups nor the CFOs believe a duplication of services exists, they did identify opportunities for leveraging the current resources of the seven campuses across the System to produce savings and improve service.

The Chief Financial Officers also unanimously endorsed an ongoing investment in an Enterprise Resource Planning Competency Center to support our PeopleSoft investment and ensure implementation and maintenance of critical applications across the System. The ERP CC builds on the 2008 Oracle Insights report which identified understaffing in key areas. Seventy-five percent of the funding needed to create the ERP CC was identified through an internal reallocation of funds within System-wide Services. The remaining cost has been built into the campus FY10 budgets.

An alternative funding plan allocating all of the costs associated with both the Chancellor's Office and System-wide Services was developed (see **APPENDIX A-2**). While the CFOs unanimously agreed that the cost allocation plan represented a fair distribution of costs, they declined to endorse an implementation of the plan. Generally, the CFOs concluded the potential drawbacks of billing out governance functions and shared services outweighed any perceived benefit. Nevertheless, they found the cost allocation plan to be a useful tool to employ in future funding decisions should new services be added. The CFOs also committed to a review of those existing services that are currently billed out and whether the allocation of those costs represents the best method of funding in the future.

Finally, the CFOs endorsed the implementation of a System-wide Services Advisory Council to provide guidance and customer input to the Vice Chancellor for Finance and Administration. The CFOs endorsed the recommendations of the “New Challenges, New Directions” Task Force CO/SWS subcommittee pertaining to System-wide Services (see **APPENDIX A-3**), with the following exceptions: first, the CFOs strongly believe they should make up the membership of the Advisory Council as they oversee most of the campus functions that interact with SWS; second, they do not believe a system-wide review of administrative services to identify duplication is necessary as prior studies and reports have already identified the appropriate hand-off between campus and system on affected services. Instead, they believe charging the Advisory Council with the responsibility of avoiding duplication is sufficient. Finally, they strongly caution that allowing campuses to select from a menu of services that are billed to the user campus at cost will not promote economies of scale.

## **B. Information Technology**

The CFOs reviewed the current IT operations, as well as two organizational options for information technology services (see **APPENDIX B**). Regardless of which model is selected, \$788,296 in additional ongoing savings exists due to the retirement of the legacy system and changes in the maintenance of other applications.

The first organizational option entailed an Enterprise IT Model organized by distinct skill areas, leveraging existing resources across the system and resulting in additional ongoing savings of \$950,000.

The second option, termed the Hybrid IT Model, continues current reporting lines but adds a dotted line responsibility from campus IT directors to the system CIO and focuses attention on key areas for cooperation and consolidation. At this time, the campus IT directors and the CFOs have endorsed the Hybrid IT Model with additional savings of only \$300,000 to \$400,000, however, they remain open to further consolidation as technology changes warrant. The opportunities for savings from the Hybrid IT Model are outlined as follows:

1. Desktop/Laptop Procurement. A System-wide inventory of the total number of desktops/laptops on each campus was taken. The models procured were found to be substantially similar. Campus IT directors agreed to work to provide more common models and buy in aggregate from a limited number of vendors. It is anticipated that annual acquisition costs can be reduced between \$75,000 - \$150,000 starting late in FY10.
2. Server Consolidation. Overlap was found in the servers and storage systems procured by the system office and the campuses. An inventory was compiled and all campuses are working towards consolidating their servers on a campus basis. There is also agreement to achieve an additional consolidation on a system-wide basis by further consolidating services at one of the two system data centers (Orono and Portland) pending necessary upgrades to these centers. Additionally, operational costs can be lowered as we move to technology with less demand for power. Savings will be in the range of \$75,000 - \$150,000 starting in FY11 for acquisition.

3. E-Mail Consolidation. Additional savings can be found in outsourcing e-Mail for students to Google and plans are underway to implement this change. A recommendation to move faculty and staff to a similar model is also being explored. Savings are anticipated to be \$70,000 starting in FY11.
4. Replace MS Office with Google's Office Applications or Open Office. This recommendation in general is being explored and a detailed project plan and business case is being prepared. A number of academic units currently use MS Office in their programs, so determining the extent of the possible conversion is difficult. Savings are in the range of \$100,000, or less, depending on level of adoption.
5. Common Software and Courseware Licenses. A System-wide inventory was conducted and agreement was reached to move towards a single System-wide license for these items as current contracts expire. For example, the University of Maine has agreed to use Blackboard and terminate their WEB CT (Course Management Systems) in the fall of 2011. A savings of \$40,000 will accrue to UMaine.

### **C. Finance and Accounting**

The CFOs explored a number of opportunities for savings related to financial activities (see **APPENDIX C**), including: convenience fee solutions; bill payment suite; e-refunding; electronic transactions; lockbox services; centralization of credit card data uploads and reconciliations; travel management; purchasing card administration; housing application alternatives; payroll administration; and a review of current tuition waivers.

Immediate savings are projected to be \$350,000 and may grow to \$428,425 in FY13 by implementing the TouchNet Convenience Fee solution at three campuses, UMF, UMM and USM. UM already employs a convenience fee. Additional savings are possible if the remaining campuses choose to implement. Other opportunities for additional savings exist and continue to be explored.

Generally, the CFOs determined:

- Standardization of practices and requiring individual accountability are the biggest areas of savings.
- One of the greatest opportunities for efficiencies and savings can be found in the utilization of our investment in PeopleSoft.
- Only minor savings can be found in pursuing each of the opportunities identified under financial activities.
- To achieve efficiencies, we must act like a System in implementing technology solutions and business processes in order to take advantage of economies of scale.



The Vice Chancellor for Finance and Administration was charged with pursuing opportunities to partner with other State or public entities to share costs and improve services. Several initial areas for consideration were identified, including: data centers, health plan and ITV.

The IT workgroup is currently exploring alternatives for our two aging and outdated data centers, including co-location with the State of Maine Office of Information Technology. The Maine OIT must relocate by the end of 2012 due to the termination of a current lease. Synergies exist such that co-locating would result in savings for both parties. However, it should be noted that this is clearly a cost avoidance issue for the UMS.

The UMS also recently participated in a review by Mercer, the State's actuary, assessing the advantages to either the State or the UMS in joining their health plans. Although much speculation has occurred over the years, the review produced no clear evidence that either party would reap a significant immediate benefit. Nevertheless, we have committed to continue working with the State to allow for this opportunity in the future should cost savings prove achievable.

As the UMS considers how to transition to online delivery of educational programs and wean itself off of ITV, it has engaged in discussions with the Maine Public Broadcasting Network. UMS has a limited window of two to four years between the time it would have to invest in digital technology for its EBS spectrum and when it can complete a transition to online programming. This coincides with a window of opportunity that MPBN has to maximize its current capacity for digital television and when it plans to use that capacity to pursue other opportunities. While no final commitments have been made, we continue to explore this limited partnership opportunity in greater detail.

The CFOs also engaged in a review of the current waiver programs within the UMS and make the following recommendations for consideration by the Board of Trustees:

North American Indian Waiver

In order to ensure that students take full advantage of all resources available, prior to being awarded the NA waiver, all students for both the waiver and the scholarship should be required to fill out the FAFSA. Summer room and board scholarships should only be awarded for those students whose academic program requires summer attendance and enrollment. These changes would result in estimated savings of \$500,000 per year.

Senior Citizen Waiver

The intent behind this waiver should be revisited to determine if the reasons for its continuation remain valid. Consideration should be given to discontinuing this waiver and encouraging individuals to apply for financial aid to determine eligibility. Savings from discontinuing this waiver is approximately \$160,000 per year.

### USS Maine Commemorative Tuition Waiver

As a part of the expectation of students prior to being awarded the USS Maine waiver, all students for the waiver should be required to fill out the FAFSA. Savings cannot be determined at this time.

### High School Aspirations Incentive Waiver

The intent behind this waiver should be revisited to determine if the reasons for its continuation remain valid or if the purposes should be modified to reflect the current outcomes. It is the belief of the CFOs that, while serving a valuable purpose, the waiver is primarily used by students who will continue on to higher education regardless.

Each campus should have the ability to limit the availability of these waivers to a threshold number. Savings would be dependent on the campus decision regarding threshold.

### Veteran's Dependent Waiver

The veteran's dependent waiver is found in State law and cannot be amended by the Board of Trustees. The CFOs believe the waiver should continue but that the statute should be amended to ensure that advantage is taken of other available funds thus ensuring that the UMS is the payer of last resort. Example – "...qualifies for a waiver from the tuition and fees that remain after the application of all payments from the federal Department of Veterans Affairs." Savings is estimated to be \$200,000 per year.

## **D. Facilities Management**

The CFOs concluded that major opportunities for consolidation of services related to facilities management have already been accounted for in past reviews. While cost savings opportunities are few, there are still significant opportunities to coordinate activities in order to avoid future costs. Much of this work is in the updating of policies and practices that govern the performance of facilities management.

Two alternative organizational structures were considered by the facilities directors work group and presented to the CFOs, a full consolidation and a regional structure (see **APPENDIX D**). Advantages and disadvantages were considered for both of these, as well as the current distributed model. However, no option emerged that represented significant cost savings.

In contrast, concerns were raised that staffing levels in System and campus facilities management have decreased over the past ten years as square footage has increased 17 percent. Also noted were critical investments in information systems to support facility management functions that have not been addressed.

Effective facilities management is dependent on consistent and reliable information to assess performance and ensure accountability. Facilities management has historically not been able to effectively compete for IT resources. This has resulted in out-dated technology that limits the usefulness of information to support management decisions. An investment in facility information management is required to ensure and maintain data integrity, and provide consistent management information to support campus operations and accountability needs.

Finally, the facilities directors recommended investing in a System-wide resource for energy management. It was estimated the cost of a position to serve this function on a System-wide basis would be \$100,000 and that it would pay for itself through savings generated. UM offered an alternative pilot project where they would share, at no cost, their campus energy management resources with the other campuses. Campuses could also have access to UM's consultant, at cost, through the current UM contract or through a System-wide contract to be developed. The CFOs agreed to explore options for providing energy management support to all campuses.

### **E. Procurement**

The procurement workgroup began work last fall under a Davis Educational Foundation grant and with the assistance of Huron Consulting Group to explore opportunities for savings through the implementation of System-wide strategic procurement strategies. The Huron report (see **APPENDIX E**) demonstrated significant opportunities for savings through business practice refinements in procurement and accounts payable and also recommended the addition of new technology and a consolidated procurement organizational model to ensure implementation and optimize utilization of resources.

The spend analysis performed by Huron suggests that significant opportunity for savings exists through pursuing coordinated strategic sourcing alone, as much as \$600,000 annually. Additional opportunity exists through pursuing internal compliance, external compliance, prompt pay discounts and p-card settlement rebates and requires some initial investments in technology and changes in organizational structure to yield the full opportunity for savings. An additional positive return on investment of \$1.3 million is possible by Year 4 if the Enterprise Procurement Model is fully implemented.

UM also put forward a hybrid option that would split the functions for procurement and accounts payable between UM and the system office, with UM being responsible for transactional work on accounts payable and specialty purchasing for other campuses.

The CFOs believe that significant opportunity exists in pursuing strategic sourcing immediately. They are also eager to explore the enhanced opportunities for savings through the application of new technology but wish to fully investigate the return on investment prior to recommending implementation. They also recommend that changes in organizational structure follow further investigation into the application and impact of automation.

## **F. Human Resources and Workforce Management**

The HR workgroup developed a consensus service delivery model for sharing expertise and resources across the system called Centers of Expertise (see **APPENDIX F**). The Centers of Expertise (COE) would overlay the current System/university organization. Campus and system HR/EO staff would serve in the COE's as either team members or contributors. There would be COE's for each of the following five areas: Total Compensation, Employment Services and Equity, Labor Relations, Organizational Effectiveness, and Human Resources Information and Reporting Systems. A COE may be led by a campus or the system office. Employees in a COE may be co-located or geographically dispersed. Campus HR staff with special expertise in a specific area will have a system-wide role in that function through the COE. The HR workgroup proposed to pilot the model with an initial effort in benefits administration and wellness under the Total Compensation COE.

The workgroup also focused on key technological investments and other actions that would generate efficiencies. These include: increased employee/manager self service; increased usage of direct deposit, electronic advice and other actions that reduce the need for printed documents and paper handling; and focused efforts on reducing the cost of the group health plan through incentives for wellness, disease management and use of quality care.

Although no initial savings were identified, the opportunity for future cost avoidance in the implementation of these recommendations is significant.

The CFOs also reviewed information regarding the UMS workforce and its package of compensation and benefits. For the FY10 E & G Budget, compensation and benefits account for 74% of all expenses. Simply put, there is no way to bring spending in line with available resources without impacting this line of the budget. "New Challenges, New Directions" charged the CFOs with exploring alternative, demand-linked employment arrangements, implementation of administrative staffing ratios, alignment of collectively bargained compensation, benefits programs, and terms of employment within available resources, as well as a continuing review of appointment terms for the management group. This represents an ongoing effort on the part of CFOs.

The consultant for the "New Challenges, New Directions" Task Force, National Center for Higher Education Management Systems, provided valuable information on administrative staffing ratios to the Task Force in its May 20<sup>th</sup> presentation. A comparison of each campus to its peers suggests that, for the most part, our seven universities fall in the middle of the range for FTE students per full-time administrators. While no data is available for comparison of system-wide administration, NCHEMS suggested that 80% of public universities are in systems and that adding the SWS operation to the data they offered would not skew the results in any significant way.

In FY09, the average salary of a UMS employee equaled \$50,220 and the benefit rate was 47.8%, for a total average cost of \$74,225.

Assuming UMS was able to contain compensation and benefit package costs at the current level for the next two years, we would yield an ongoing savings by the end of year two of nearly \$14 million. Alternatively, if this savings had to come entirely from reductions in the workforce it would require the elimination of almost 200 full time positions.

The CFOs understand that to gain control of expenditures, UMS must engage in the proactive management of its workforce and how it is compensated. The benefit rate is nearly 50% and efforts must be made to both control costs through wellness incentives, disease management and use of quality care, as well as slowing the rate of increase in benefits costs or paring back the level of benefits.

### **G. Student Services Delivery**

The task of the Student Services Delivery work group was to identify any near term cost savings or efficiencies related to MaineStreet operations involving admission, student records, student accounts and financial aid (see **APPENDIX G**).

The CFOs found that further opportunities to achieve significant savings are neither easy nor obvious, and that any movement beyond the current state is predicated on resolving broader organizational decisions that require more commonality in business processes and a willingness to manage these functions as a system versus seven independent campuses.

In 2002, the UMS began a migration from its legacy software to what we now know as PeopleSoft. A key factor in that discussion and planning was a definition of "System" and how PeopleSoft would be set up to accommodate whatever definition ultimately emerged. Although the PeopleSoft system was intended to be a "vanilla" implementation (e.g. little or no modification), it soon became apparent that the campuses were limited in their ability to agree on consistent policy and process applications in many situations; this resulted in a definition of "System" in which the operating procedures of the past (e.g. seven independent campuses with seven different ways of doing business) were protected.

The final module, Financial Aid, of the MaineStreet Student Service Areas (Campus Solutions) came on-line in February 2009. It takes an entire cycle of a functional implementation in order to develop an understanding of how PeopleSoft works and how the various functional areas intersect, limiting the ability to realize any efficiencies until a more comprehensive knowledge of the software develops for the users. Likewise, until all functional area modules within an integrated system are implemented, there is limited knowledge as to changes and efficiencies that can result from cross-functionality.

The original assumption was that back office functions could be handled in a centralized manner. A Shared Processing Center (SPC) was developed to begin this process. Opportunities for additional work for the SPC require that the centralized function lend itself to consistent policy and practice and all end users must agree. Additionally, current capacity of the SPC is limited by what can fit within the "off cycle" of admissions processing, such as immunization processing, North American Indian waiver data entry and Stafford exit interviews. Adding additional capacity to the SPC depends on eliminating equal or greater staffing capacity at the campus level in order to present a valid business case.

For small campuses, certain staff members are responsible for multiple functions. Thus, while a reduction in the cost of delivery can be achieved, a reduction in the campus' bottom-line is often not achievable because small fractions of a person make it difficult to identify savings. Even when a reallocation of duties on the campus is possible, minimal savings result. No matter what the distribution of personnel across the campuses and the organizational structure, it takes a certain number of personnel to deliver the service our students require and our campuses expect. Remaining opportunities for savings through consolidation of services at the SPC require a broader System-level view to delivering student services.

It is clear that UMS is significantly behind our competitors in terms of the delivery of streamlined, robust self service capability for our students. We also know that our students consistently report the need for more "one stop" student services, delivered both in actual service locations and virtually.

A "virtual" robust self service environment is essential for our students, and has the potential of reducing or, minimally, avoiding cost in the long term while increasing student satisfaction. Investment will be needed to move the UMS to an easily navigable, accessible student self service entry point.

Portals are being developed at institutions across the country as a way to deliver a broad range of student services but also to greatly expand the virtual ability of a student to manage their entire academic career (including their academic portfolio). Numerous "virtual" student services could be combined into a front end portal through which students could receive any number of services beyond those this workgroup was researching. The development of such a portal is an expensive proposition for any individual campus and even for the System but, in the long term, this sort of development is needed if we are to both deliver the kind of service our students expect and remain competitive. A workgroup has been formed to assess the design parameters for a UMS portal.

Based on the work of THESIS, the formation of campus based one stop service locations was recommended strongly and was supported by the campuses. However, this development stalled in recent years. Theoretically, the key component of such one stop operations is a cross functionally trained staff that can more effectively and efficiently manage the delivery of service across the entire academic year, and can potentially result in cost savings (or, again, cost avoidance) as the knowledge base of the staff matures.

Finally, it is very clear that the service delivery to multi-campus students is a major issue for such students and for those who serve them, regardless of the current number of students who are so categorized. As campuses potentially offer more collaborative degrees, this number will only grow. Additionally, with the increase in the numbers of students accessing on line coursework, the different learning modes of the students will increase as well. Absent any changes in how we currently define the System and assuming that our current mode of many different ways of doing business holds, developing a broad based solution to the appropriate delivery of services to these students is critical. The University College/ITV/On-line Assessment Committee, chaired by President Allyson Handley, is conducting a review of the future use of technology for distance education in the University System. The CFOs recommend that this review include recommendations to resolve the many barriers confronting multi-campus students.

#### **H. Revenue Enhancement**

This workgroup was charged with identifying and evaluating areas of revenue enhancement and recommending actions that will be pursued (see APPENDIX H). These areas included but were not limited to: tuition and fees (to include dining and residence fees), enrollment, grants and contracts (including F & A cost sharing/ indirect cost recovery), collaborative arrangements for revenue sharing with outside agencies/organizations, continuing education/lifelong learning outreach, sales/services, other auxiliary revenue areas, and others as appropriate.

Federal, state, and local policy makers recognize that policy decisions are influenced by the demographics of their respective populations. The CFOs of the System understand this. Since 1990, New England's population has grown by just 8% compared with 22% for the nation as a whole. While Maine's population has grown 7% over this timeframe, the expected number of high school graduates within the next decade is expected to decrease by 16%. Currently about 50% of those students going on to a four-year college have gone out-of-state. Because Maine's public universities rely principally on this traditional source for its students and therefore its primary revenue source, because the campuses of the UMS are limited in their resources to be able to aggressively recruit these and other populations, and because there is increasing competition with Maine's Community College System campuses for this declining student population base, there are real limits to revenue growth for the campuses.

The UMS has invested substantial resources to understand and manage its expenses and track revenues. However, it has not made the parallel investment to understand, or the policy decisions to manage, enrollment.

In addition, there exist unrealized potentials for the System to act in ways that support the campus-level core efforts by connecting public higher education to the quality of life of Maine people and to the economic development of the state.

Learning accrues over a lifetime, and the many opportunities presented by the University of Maine System build that foundation and that future for Maine's people. However, the UMS has not been as effective as it could have been in promoting these core values, developing a strong reputation or in expanding the support for public baccalaureate and post-baccalaureate education in Maine.

UMS leadership and the Board of Trustees must address one fundamental question:

**“What is the role of the UMS/System leadership in determining the strategy by which the System and its universities meet the needs of the state and its citizens and how then does it support the work of and collaboration among the universities in achieving the desired outcomes?”**

Further, the UMS leadership and the Board of Trustees should consider whether tuition is set in order to achieve a balanced budget or whether it is set to achieve student access.

The current funding model of our campuses suggests that we believe we can continue to grow enrollment year after year. In reality, enrollments have been dropping over the past few years and this appears to be an ongoing trend. While a discussion of revenue enhancement “around the edges” is possible, more pressing questions demand attention.

Enrollment increases in direct proportion to consumer interest in and awareness of the programs offered. To sustain, expand or grow enrollment is largely a function of programs offered but is also impacted by cost factors including tuition, the availability of financial aid, as well as qualified faculty and staff. The UMS has not heretofore engaged in a strategic review of existing programs in light of state need, nor have the campuses worked collaboratively to establish new programs responsive to state and regional needs, and student interests.

Increasing the number of students pursuing a baccalaureate and graduate education at our seven universities will require a System-level tuition and financial aid strategy, as well as investment in a common campaign for UMS that raises the reputation and perception of UMS campuses and public higher education as a good and cost effective choice.

The CFOs believe that threshold issue for future success of the UMS is indeed the public’s understanding and reputation of the UMS as a whole entity, and how its programs contribute to the economic development of Maine. We need to foster a collaborative approach across the campuses in all of our work that enables us to improve our image, serve our mission, and ensure financial sustainability. In the current model, our campuses cannot all thrive and some may only barely survive; the constant reductions in budget, staff and programs to meet costs with no comprehensive strategy to improve revenues only serves to plunge our campuses towards mediocrity. A new model must emerge which ensures that all campuses can succeed in whatever role makes the most sense for them in the collective future of the System. While there may be opportunities for some enrollment growth, it will not be sufficient to resolve the needed revenue in the current construct of the UMS.

As seven independent campuses which compete with each other, our campuses have not traditionally been encouraged to “share” students, programs or resources. As a System, we should be thinking about the collective welfare of the campuses and how together we can best meet the needs of our students and our State.





# **Section J**

## **Emerging Issues**



# **The University of Maine System and the Future of Maine**

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**The Final Report and Implementation Plan of the  
New Challenges, New Directions Initiative**

**November 16, 2009**



UNIVERSITY OF MAINE SYSTEM

**THE UNIVERSITY OF MAINE SYSTEM AND THE FUTURE OF MAINE**

**THE FINAL REPORT AND IMPLEMENTATION PLAN OF THE  
NEW CHALLENGES, NEW DIRECTIONS INITIATIVE**

**INTRODUCTION**

Maine faces a rapidly changing economic and social environment. The nation has been wracked by recession and recovery will take years, industries and careers are undergoing stunning changes, and the needs of modern society are evolving rapidly. At the heart of this dynamic and often distressing environment are some things that do not change—the desire to succeed, the search for meaningful and rewarding lives and careers, and the dream of building a better tomorrow for the next generation. These goals are particularly compelling in a state where the aspiration for a rewarding quality of life is a powerful force. It is imperative that our public universities help lead Maine forward into a positive future. University education, research, and public service are essential elements of individual opportunity, a strong economy, and vibrant cultural and community life.

During the past six months, the University of Maine System has undergone a rigorous and public assessment of its finances, its current performance, and its ability to meet the changing needs of Maine people as it faces an unprecedented financial challenge.

The “New Challenges, New Directions” initiative looked closely at both costs and opportunities in three broad arenas: Administrative, Student, and Financial Services; Academic Programs and Services; and Structure and Governance. Stakeholder work groups were formed, with representation from all seven universities and their communities. National consultants and experts were utilized to provide insight on best practices and the experience of other states. The work group reports have been invaluable in providing the UMS Board of Trustees with information, analysis, and recommendations that support this plan. Many people from campuses and communities worked hard to produce these reports and deserve thanks.

In this broad, public effort, the three core goals or principles of NCND’s original charge focused the work. This will ensure the health and vitality of our universities and their capacity to achieve their respective missions.

New Challenges, New Directions Core Goals

1. Serve the changing and evolving knowledge, research, public service, and educational needs of the people, businesses, and organizations of the state.
2. Keep the cost of baccalaureate and graduate education affordable for our students by moderating tuition increases.
3. Implement efficiencies, organizational changes, and further economies of scale to bring spending in line with available resources.

The conclusions of this study are clear: the University of Maine System is a strong university system, but it must both resolve its financial issues and improve its performance in order to continue adding value to Maine in the years ahead. More than ever, the University of Maine System must play a critical role by serving more students more efficiently, strengthening a state economy which is becoming increasingly based on knowledge, research, and high-level skills, and supporting a society that depends on a well-informed and engaged citizenry. To be successful, we must work together more as a system rather than simply as a collection of seven separate universities.

The faculty and staff of our universities and administration work hard, care deeply, and have achieved much. The success of our graduates and the contributions of our universities to Maine's economy and quality of life are testimony to that. But in these times of new educational and economic challenges, we are now called upon to think more creatively, work differently, and achieve more.

The UMS Board of Trustees recognizes that it must exercise leadership and empower the Chancellor to direct the University of Maine System in accordance with this plan. This includes strengthening the System Office while also making it more efficient in operation and more responsive to campus needs, as described in the New Ways of Working section of this report.

The Trustees have embraced the recommendations put forward in the reports of all three arenas nearly in their entirety. To understand this plan in detail one must link back to the rich content of these reports. The analysis and supporting information for these recommendations appear in the three arena reports. (Visit [www.maine.edu/UMSNEND](http://www.maine.edu/UMSNEND) to view reports.) One of the differences between the recommendations and this report is that, given the current state of the economy, it is not an opportune time to alter fundamentally the base funding of our universities. Nevertheless, we do recognize the need to expend our resources strategically and have committed to reallocating a small portion of the current State appropriations over time.

The work described in this plan prioritizes, organizes, and establishes action benchmarks against which to measure the implementation of the recommendations contained in the three arena

reports, plus a small number of additional recommendations brought forward in the public comment period.

The plan will accomplish the following basic outcomes:

- The structural financial gap will be eliminated, with expenses and revenues in balance;
- Quality and academic integrity will be maintained in programs which define the essence of the universities and support the universities' evolving missions;
- More students will attend and graduate from our universities;
- New programs and research efforts will be offered to support economic development;
- Operations and service delivery will be more efficient, responsive, and cost effective;
- Technology will be used more broadly and intensively for program and service delivery.

**THE CHALLENGES**

The University System is facing two fundamental, critical, and interrelated challenges.

Financial Sustainability

The first challenge is financial and led to the creation of the New Challenges, New Directions Initiative which presented a budget planning scenario that has served as a guide for estimating the structural financial gap. Much has been done to date, but more shared sacrifice will be called for.

The projected growth in expenses exceeds the projected growth in revenues and will result, if no action is taken, in an annual shortfall in FY13 projected to be \$42.8 million and is expected to grow thereafter. This is not sustainable. Neither can we continue to raise tuition at the rates necessary to bridge the budget gap. Consequently, this plan must first lay out steps to resolve this financial shortfall which, given current conditions, will most likely worsen.

Serving Maine People in a Time of Challenge and Change

The second challenge, despite current financial constraints, is to serve the people of Maine at a higher level than is currently the case. To do so, the University System must work in new and different ways to establish programs and services in geographic areas in Maine where they are most needed. Through better collaboration, reallocation, and careful planning, important undergraduate and graduate programs such as allied health, innovation, world languages and global studies, science education, and science, technology, engineering, and math (STEM) can be expanded in a timely fashion within current resources.

## ACTIONS

What follows is a set of actions that draws on the talents of our faculty, staff, friends, and supporters to craft a University System with stronger universities, leaner operations—including the System Office, clearer objectives, and more focused, measurable outcomes. As noted, the initial analysis and discussion of these recommendations may be found in the three arena reports. Through these actions, the University of Maine System will become a more efficient and productive educational, economic, and cultural engine for the state and, in that role, will enhance the means by which Maine people can achieve a better future.

The work to be accomplished consists of a carefully chosen set of specific steps; a concise summary of actions, including persons responsible, priority, and completion date, follows on the next pages. In a separate report, the Work Plan, greater detail is provided for each action. In several cases the individual steps are combined into a single integrated work item. This companion report, posted on the UMS web site along with this Implementation Plan, is an essential component for understanding the scope and detail of work to be done.



## Action Plan - Short-Term (2010 or sooner)

Recommendations Requiring Action	Arena	Ref	Priority	Executive Sponsor	Responsible Parties	Investment	Svg/Rev FY13	Initiation	Completion Date	Metric
<b>Administrative, Student, and Financial Services</b>										
Implement University/System FY10 budget savings initiatives	I	p. 10	H	VCFA	CFOs		\$13.2m	N/A	COMPLETE	Savings achieved
Implement convenience fee solution (UMF, UMM and USM)	I	C. 1.	H	VCFA	CIO, CFOs	\$12k	\$428k	Apr-09	COMPLETE	Savings achieved
Create IT Advisory Group composed of academic and administrative stakeholders	I	B. 2.	M	VCFA	CIO, IT Directors			Sep-09	COMPLETE	Advisory Group established
Create an Advisory Council for SWS composed of the presidents (or designees)	III	3. 1.	M	VCFA	Presidents			Sep-09	COMPLETE	Advisory Council established
Contain the total cost of compensation and benefits at current levels for FY10 & FY11	I	F. 5.	H	VCFA	HR, CFOs		\$13.8m	Mar-09	Dec-09	Savings achieved
Implement strategic sourcing for procurement	I	E. 1.	H	VCFA	CFOs, Procurement		\$600k	Jul-09	Jan-10	Savings achieved
Accelerate implementation of payroll streamlining	I	F. 3.	M	VCFA	HR Directors			Sep-09	Feb-10	90% direct deposit participation
Implement an annual survey of SWS customers to assess satisfaction with services	III	3. 2. D.	M	VCFA	SWS Advisory Council			Nov-09	Mar-10	Baseline established
Implement service level agreements between SWS and campuses	III	3. 2. E.	M	VCFA	SWS Advisory Council			Nov-09	Mar-10	SLAs implemented
Complete study of markets, strategic pricing & financial aid to improve access and affordability	III	4. 2.	H	VCFA	EDSA, CFOs	\$250k	\$3-5m	Oct-09	Mar-10	Implement recommendations
Adopt 'Centers of Expertise' model for HR and EEO	I	F. 2.	M	VCFA	HR Directors/EEO			Sep-09	Mar-10	Pilot implemented
Develop energy management support for campuses	I	D. 3.	M	VCFA	CFOs, UM		TBD	Nov-09	Apr-10	Support implemented
Conduct an annual system-wide planning summit on access, affordability & enrollment			M	EDSA	CSAOs, CFOs	\$4k		Dec-09	Apr-10	Summit held/actions determined
Implement incentives for wellness	I	F. 4.	M	VCFA	HR	\$250k	\$600k	Sep-09	Apr-10	Launch wellness initiative
Conduct annual reviews of SWS services	III	3. 2. F.	M	VCFA	SWS Advisory Council			Mar-10	Jul-10	Performance evaluated
Implement the ERP Competency Center	I	B. 3.	H	VCFA	CIO	\$259k		Sep-09	Jul-10	Positions hired & trained
Review current tuition waivers and interaction with financial aid to control costs	I	C. 2.	H	VCFA	BOT		\$860k	Nov-09	Sep-10	Schedule BOT review/decision
Implement data entry for immunizations, Native American waivers & Stafford exit interviews at SPC	I	G. 2.	M	EDSA	SPC	\$30k		May-09	Sep-10	SPC processing transactions
Implement automation of procurement and accounts payable	I	E. 2.	H	VCFA	CFOs, CIO	\$1.3m	\$239k	Sep-09	Dec-10	Technology & org implemented
Implement a common set of self-service practices and payment policies	II/UC	2	M	VCFA	EDSA, CFOs, CAOs			Jan-10	Dec-10	Polices/practices consistent
Incorporate document imaging and management into employee benefits administration	I	F. 1.	L	VCFA	CIO, HR Directors			Sep-09	Dec-10	Technology implemented
<b>Academic Programs and Services</b>										
Partner with Maine Community Adult Education programs	II/UC	6	H	EDSA				Sep-09	Jan-10	Collaboration implemented
Strengthen data collection and institutional research for distance education	II/UC	3, 4	M	VCAA	Institutional Research			Dec-09	Jan-10	New reports created/analyzed
Finalize establishment of peer groups by institution and identify base funding levels	III	Appx II	M	VCAA	CAOs, VCFA, CFOs			Sep-09	Mar-10	Base funding levels identified
Conduct an annual system-wide planning summit on academic program development			M	VCAA	CAOs	\$4k		Nov-09	May-10	Summit held/actions determined
Accelerate the degree proposal and approval process			M	VCAA	CAOs			Sep-09	Sep-10	Process implemented
Increase statewide access to professional programs, particularly at the graduate level			H	VCAA	UM & USM presidents			Dec-09	Sep-10	Plan implemented
Create System-wide program on alternative energy education and research			H	VCAA	UM president			Dec-09	Sep-10	Plan implemented
Implement Three Year Baccalaureate Option			H	VCAA	CAOs, Deans			Nov-09	Sep-10	Option available
Increase enrollment in on-line degree programs to 1,000				VCAA	Presidents, CAOs	TBD	\$780k	Jan-09	Sep-13	Enrollment is achieved
<b>Governance</b>										
Create an annual report on Measures of Progress to measure UMS performance			H	Chancellor	Sr. Staff			Sep-09	COMPLETE	Progress on measures published
Develop a UMS feedback website			M	BOT	Government Relations			Jan-10	Mar-10	Website launched
Conduct a biennial statewide planning summit on Maine's higher education needs			H	Chancellor	Sr. Staff, Presidents			Dec-09	Apr-10	Summit held/actions determined
Generate a Public Agenda	III	1. 1	H	Chancellor	Sr. Staff, Presidents	\$4k		Sep-09	Apr-10	Public Agenda published
Create strategic investment fund (phase in)	III	4. 1.	H	Chancellor	BOT	\$5.3m	TBD	Nov-09	May-10	Projects identified/funded
Define Role and Scope statements for each university providing mission differentiation	III	2. 2.	H	Chancellor	BOT			Jan-10	Nov-10	Role & Scope stmts established
Expand distance education mission and implement plan to expand	II/UC	1	H	Chancellor	Presidents			Jan-10	Dec-10	Missions adopted
Engage MCCS in planning, improving transfer of credits and sharing resources	III	2. 7.	H	Chancellor	Presidents			Jan-10	Dec-10	Plan developed
Board of Trustees and Boards of Visitors meet annually			M	BOT	Chair			Jan-10	Dec-10	BOT and BOVs have met

Priority: H-high; M-medium; L-low

Executive Sponsor: VCAA-Vice Chancellor for Academic Affairs; VCFA-Vice Chancellor for Finance & Administration; EDSA-Executive Director of Student Affairs

Ranked by completion date within category

Reference refers to Arena reports, see [www.maine.edu/UMSNCD](http://www.maine.edu/UMSNCD)

## Action Plan - Long-Term (2011 or later)

Recommendations Requiring Action	Arena	Ref	Priority	Executive Sponsor	Responsible Parties	Investment	Svg/Rev FY13	Initiation	Completion Date	Metric
<b><u>Administrative, Student, and Financial Services</u></b>										
Develop a front end portal and virtual self service center for MaineStreet	I	G. 3.	H	VCFA	CIO, EDSA	\$1m plus		Oct-09	Jun-11	Portal launched
Implement the Hybrid IT Consolidation Model	I	B. 1.	H	VCFA	CIO, IT Directors		\$1.1m	Sep-09	Jul-11	Model implemented
Implement one-stop student service at each campus	I	G. 4.	M	EDSA	Presidents, CFOs, CSAOs			Sep-09	Aug-11	One-stop centers established
Replace outdated facilities information management system	I	D. 1,2	L	VCFA	CIO, Facility Directors	\$750k - \$1m		Sep-10	Dec-11	Technology implemented
Negotiate and implement incentives for use of quality care	I	F. 4.	M	VCFA	HR			Jan-11	Jan-12	Agreements achieved
Expand HR employee and manager self service tools	I	F. 1.	L	VCFA	CIO, HR Directors			Jan-11	Jan-12	Technology implemented
Implement HR self service portal and case management tools	I	F. 1.	L	VCFA	CIO, HR Directors			Jan-11	Jan-13	Portal launched
Modernize distance learning technologies and connectivity	II/UC	1, 5, 7	M	VCFA	CIO	TBD		Jan-10	Sep-13	Technology implemented
<b><u>Academic Programs and Services</u></b>										
Implement seamless student transfer of credit hours within UMS	III	2. 3.	H	EDSA	VCAA, CAOs			Sep-09	Jan-11	Satisfaction improved
Increase the number of graduates in allied health programs			H	VCFA	CAOs			Jan-10	Sep-11	Implement expansion
Review; grow; justify, or eliminate courses with enrollment of 12 or fewer	II	1	H	VCAA	CAOs		\$2m	Sep-09	Sep-13	Changes implemented/savings
Review; grow or eliminate academic programs with five or fewer graduates	II	2	H	VCAA	CAOs			Sep-09	Sep-13	Changes implemented/savings
Establish and reach student-faculty ratio targets	II	3	H	VCAA	CAOs		\$6-8m	Nov-09	Sep-13	Targets achieved
Modernize the operation of University College	II/UC	10 - 18	M	UMA President	UC staff	TBD		Jan-10	Sep-13	Policies implemented
<b><u>Governance</u></b>										
Implement refined missions and 5-year strategic plans for each university	III	2. 2.	H	Presidents	University Community			Jan-10	Jun-11	Missions implemented
Implement a common calendar for the seven universities	III		M	Chancellor	Presidents, VCFA, CAOs			Jan-10	Sep-11	Common calendar implemented
Establish and reach enrollment targets	II	4	H	Chancellor	Presidents		\$3-5m	Jan-10	Sep-13	1000 headcount
Establish and reach student graduation targets	II	5	H	Chancellor	Presidents			Jan-10	Nov-13	18% completion; 50% graduation

Priority: H-high; M-medium; L-low

Executive Sponsor: VCAA-Vice Chancellor for Academic Affairs; VCFA-Vice Chancellor for Finance & Administration; EDSA-Executive Director of Student Affairs

Ranked by completion date within category

Reference refers to Arena reports, see [www.maine.edu/UMSNCD](http://www.maine.edu/UMSNCD)

### A. Closing the Financial Gap

The first responsibility of this plan is to generate enough savings, efficiencies, and revenues to resolve the projected operating shortfall by FY13. Taken together, the many actions shown in the Action Plan—some large, some small—accomplish this first goal. The universities deserve credit for achieving considerable savings to-date and acknowledgement that the bulk of savings will need to occur at that level. These savings are summarized below:

#### Administrative, Student, and Financial Services Savings:

SAVINGS TARGET (in millions)	FY10	FY11	FY12	FY13
Universities/SWS Savings	\$11.5	\$12.4	\$12.8	\$13.2
Work Force Management	\$6.5	\$14.2	\$14.4	\$13.8
Hybrid IT Model and Other Savings	\$0.9	\$1.1	\$1.1	\$1.1
Finance and Accounting/Waivers	\$0.4	\$1.2	\$1.3	\$1.3
Strategic Procurement	\$0.6 - \$1.1	\$0.6 - \$1.5	\$0.6 - \$1.7	\$0.6 - \$1.9
<b>Savings</b>	<b>\$19.9 - \$20.4</b>	<b>\$29.5 - \$30.4</b>	<b>\$30.2 - \$31.3</b>	<b>\$30.0 - \$31.3</b>

#### Academic Programs and Services Savings:

SAVINGS TARGET (in millions)	FY10	FY11	FY12	FY13
Review of Low-Enrolled Courses	\$1.0	\$1.0	\$1.5	\$2.0
Faculty-Student Ratios/Program Review	\$0.0	\$2.0 - \$3.0	\$5.0 - \$7.0	\$6.0 - \$8.0
<b>Savings</b>	<b>\$1.0</b>	<b>\$3.0 - \$4.0</b>	<b>\$6.5 - \$8.5</b>	<b>\$8.0 - \$10.0</b>

#### Revenue Growth Above Current Projections:

SAVINGS TARGET (in millions)	FY10	FY11	FY12	FY13
Enrollments: Recruitment/Retention	\$0.0	\$0.0 - \$0.8	\$1.0 - \$2.0	\$3.0 - \$5.0

The recommendations from the three arena reports point to new and strategic uses of tuition and fees and student financial aid, as part of student recruitment strategies aimed at reversing the recent trend of flat enrollment. Tuition policy must seek not only to provide necessary revenue, but also to promote access and completion, while student financial aid policy must ensure the affordability of higher education. Implementation of a System-wide strategy to recruit and retain students through strategic pricing of tuition and use of student financial aid will serve to improve Maine's higher education attainment levels.

As the Arena III Task Force report states, “no organization can cut its way to long-term success.” Revenue growth is essential to the long-term sustainability of our seven university system. A holistic and integrated approach to attract and retain an additional 500 to 700 full-time equivalent students would yield approximately \$3-5 million in increased net revenues by FY13, if developed and implemented over the next two years.

### **Investments**

The investments identified are necessary to modernize our capacity to better serve our students and to produce the savings needed to balance the FY13 budget. These investments have long-term returns that make this overall financial plan sustainable for the foreseeable future. Investments will come from savings, reallocations and from the Strategic Investment Fund (SIF) which is being carefully expanded as part of this plan.

The Strategic Investment Fund provides funds to support new initiatives, as well as existing programs, through reinvestment. The procedures and criteria for use of the funds will be developed by January 2010. In the current fiscal year, FY10, \$1 million in stimulus funds were set aside for this purpose. The UMS will then begin a phase-in of funding over three years to reach a total of 3% of State appropriations. In FY 11, an amount equal to 1% of appropriations, or \$1.7 million, will be set aside from either stimulus funds or appropriations; in FY12, an amount equal to 2% of appropriations, or \$3.5 million; and in FY13, an amount equal to 3% of appropriations, or \$5.3 million. Additional funds for the SIF will come from new appropriations beyond the current level.

The three “New Challenges New Directions” arena reports have identified savings, cost avoidance actions, efficiencies, and new revenues that **offset the structural deficit by FY13**. If that shortfall increases we will need to intensify our work but the basic strategies do not change.

When adopted, these changes will produce the following broad operational outcomes:

- A substantial reduction in projected costs;
- A more transparent, accountable, and agile approach to problem solving;
- Increased operational efficiency drawing on best practices in organizational management;
- A stronger emphasis, internally and externally, on “customer service”;
- A consistent focus on improving quality of operations and programs;
- Increased enrollments, particularly in high need, high demand programs.

Even with these efforts, additional cost reductions will likely be necessary for the System Office and the seven universities given the continued uncertainty of the economy.

## **B. Serving the People of Maine**

This plan must do more than produce financial sustainability. It must also protect academic quality and expand the impact of the System. This occurs at several levels. The broad outcomes of this work are identified below; specifics are found in the Action Plan in the body of this report, in the attached Measures of Progress, and in the separate Work Plan that will guide implementation.

1. *Individual Growth and Opportunity*: National research has made it clear that the most important measure of individual success is graduation from college. This must include all students: traditional undergraduates, non-traditional students, graduate students, currently employed individuals, and those who transfer into our institutions. All learning must have a high-quality academic foundation of arts and sciences so that graduates, no matter what academic degree they receive, develop the educational grounding that they will need for life, careers, and citizenship. Increasing graduation rates will also depend on enhancing student support programs.

The detailed work in this area will achieve the following broad outcomes:

- Simplify transfer among UMS institutions, and also from other institutions, particularly the Maine Community Colleges;
  - Increase the number of undergraduate and graduate programs in essential academic fields;
  - Keep college affordable through cost containment and efficient operations;
  - Increase financial aid for those who cannot afford college;
  - Invest in student support programs that increase retention and graduation;
  - Recruit those who otherwise might not attend a Maine university;
  - Support students through graduation with focused academic and student services.
2. *Economic Competitiveness*: The economy of the 21<sup>st</sup> century will be built upon knowledge, technology, advanced skills, and global interaction. The majority of future jobs and businesses will rely on people with more education and knowledge, on processes that are more sophisticated, and on products that are not yet invented. Building and supporting the new economy in Maine will rely greatly upon the resources, responsiveness, and creativity of the University of Maine System's universities—allowing us to draw more effectively on our geographic access to Canada and Europe.

The detailed work in this area will achieve the following broad outcomes:

- Add undergraduate and graduate programs and degrees which support living in an increasingly diverse and global society, e.g., allied health professions, sustainable energy, science education, informatics, innovation, world languages and STEM (science, technology, engineering, and math);
  - Increase learning opportunities for working adults;
  - Enhance the role of each university as a regional partner in economic development;
  - Expand distance education into a key component in the System's access strategy by expanding capacity and increasing enrollment in on-line degree programs;
  - Strengthen basic and applied research linked to Maine's future;
  - Emphasize the traditional statewide land grant role of the University of Maine.
3. Quality of Life: The rigors of a dynamic and mobile society demand greater attention to the quality of life in our communities. Universities offer cultural events, provide continuing education and self improvement courses, partner in studying and addressing local issues such as community planning and diversity, and offer convening functions for discussion and the development of public policy.

The detailed work in this area will achieve the following broad outcomes:

- More active faculty, staff, and student engagement in the lives of their communities;
- Greater public access to university resources, programs, and events;
- More frequent faculty, staff, and student involvement in community and regional problem solving.

### **NEW WAYS OF WORKING**

Accomplishing this plan requires substantial changes in how we work.

This was made clear in the Task Force Report ([www.maine.edu/UMSTaskForce](http://www.maine.edu/UMSTaskForce)) which urged the University of Maine System to "act as a union not a confederation." This would add the ability to "...provide focus, quality, and consumer-friendliness to the System." An example would be to move forward quickly on a common calendar. The Task Force also recommended that the University System restructure System-wide Services, to make those services "...accountable, while at the same time urging the University System to explore the expansion of common service provision and purchases" in selected areas. In addition, the Task Force called for the "use of financial policy to realize System goals."

These changes would make it easier to “align financing, including allocation of State General Fund appropriations, tuition policy, and student aid policy, with the goals of the public agenda and differentiated institutional missions.”

It will take time and fortitude to develop these substantive changes. New structures are needed to facilitate new ways of working but they will not replace the role of the presidents and university leadership; nor can they weaken the rich tradition of shared governance. Also the Chancellor will need a more visible presence in the state capitol, working regularly from his existing System office provided by the University of Maine at Augusta, to meet with State and other leaders to impact public policy.

The plan includes the establishment of the following System-wide improvements and innovations:

- A. *Public Agenda*** - Working with educational institutions, State leadership, and the private and non-profit sectors, the Chancellor will lead the way in generating a broad Public Agenda by late spring of 2010, that has, at its core, the goals of enrolling and graduating more students, strengthening the economy, and enhancing Maine’s quality of life. The end result would be a shared set of priorities that articulate the value of higher education and the steps needed to strengthen it.
- B. *Statewide Summit on Maine’s Higher Education Needs*** - Every two years, the Chancellor and Chair of the UMS Board of Trustees will co-host a statewide public summit on the status of higher education in Maine to assess changing employment patterns and projections. The findings of the summit, distributed widely, will guide the System in prioritizing new programs and activities that better serve the citizens of Maine.
- C. *System Program Development Summit*** - Academic and administrative leadership of each university will gather annually with System leadership for a multi-day discussion of needed program changes, deletions, or additions. Annual SWOT (Strength-Weakness-Opportunity-Threat) reports by each university will inform this discussion. The development of an annual report to the Trustees on planned undergraduate and graduate program developments will be the outcome of this work. Some programs will require greater collaboration such as the joint UMaine-USM effort to provide greater access statewide to graduate and professional degrees.
- D. *Access, Affordability, and Enrollment Summit*** - Student affairs officers and enrollment management leaders will meet annually to develop coordinated strategies to grow enrollment. The development of an annually updated integrated enrollment management plan, including specific strategies for each university, will be the outcome of this work and will be provided to the Trustees.

- E. *Shared Services Advisory Council*** - The Advisory Council will evaluate the needs of the universities and their constituencies and help shape the growth, reduction, or changes in shared and/or centralized services and the opportunity to employ alternative service models, such as university-based delivery. The Advisory Council will also assist in further defining those services that constitute shared operations between—and on behalf of—the universities, versus governance functions that serve the leadership and oversight responsibilities of the UMS Board of Trustees. Internal satisfaction surveys will be an integral part of this work and will be utilized to improve services. The Advisory Council, made up of presidents (or their designees) and chaired by the Vice Chancellor of Finance and Administration, will meet regularly to provide guidance, oversight, and university input.
- F. *Annual Report on Measures of Progress*** - A public report will assess progress based on a set of metrics related to public satisfaction as well as the financial, public service, and academic performance of the System. A list of metrics appears in Appendix I.
- G. *UMS Feedback Web site*** - Students, faculty, staff, and members of the public will have access to a web site where they may communicate their suggestions, satisfaction, or concerns. This initiative will increase the customer service capacity of the university both internally and externally.

The above are the first and most immediate steps necessary to implement new ways of working and identifying problems and solutions.

### **SUMMARY/CONCLUSION**

The University of Maine System is responding to the challenges it faces by seeing them as opportunities—opportunities to think more creatively and deeply about finances, purposes, work, and outcomes. The process has been open and inclusive. The implementation of the plan will be undertaken with the same commitment to accountability and transparency.

Through greater collaboration and an unwavering focus on the state's priorities, we indeed will be able to say—and demonstrate—that we are adding value through educational opportunity, public service, research, and economic development.





## **Section M**

# **Agency Policies for Collecting, Managing and Using Personal Information over the Internet or Electronically**



# Maine's Public Universities - University of Maine System

## Notice of Privacy Practices

### CHANCELLOR'S OFFICE/SYSTEM WIDE SERVICES

#### NOTICE OF PRIVACY PRACTICES

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Chancellor's Office/System Wide Services Health Care Component ("University" or "we") must maintain the privacy of your protected health information ("PHI") and give you this notice that describes our legal duties and privacy practices concerning your PHI. Health information and other student records of University of Maine System students are generally not subject to this notice and are protected by other federal and state laws. In general, when we release your PHI, we must release only that information we need to achieve the purpose of the use or disclosure. However, all of your PHI, with limited exceptions, will be available for release if you sign an authorization form, if you request the information for yourself, to a provider regarding your treatment, or due to a legal requirement. We must follow the privacy practices described in this notice. However, we reserve the right to change the privacy practices described in this notice, in accordance with the law. Changes to our privacy practices would apply to all health information we maintain. If we change our Notice of Privacy Practices, you will receive a revised copy at your next visit. Participants in the Health Care Advantage Account and the System EAP will receive a revised copy within 60 days of a material revision.

**Without your written authorization, we can use and disclose your protected health information for the following purposes:**

1. **Treatment:** For example, we may use or disclose the information in your medical record to determine which treatment option best addresses your health needs. The treatment selected will be documented in your medical record, so that other health care professionals can make informed decisions about your care. Notwithstanding the above, in non-emergency situations, authorization is required to disclose health care information derived from mental health services provided by certain providers to outside health care practitioners or facilities.
2. **Payment:** In order for an insurance company to pay for your treatment, we must submit information that identifies you, your diagnosis, and the treatment provided to you. As a result, we will pass such health information on to an insurer in order to help receive payment for your

medical bills.

3. **Health Care Operations:** We may need your diagnosis, treatment, and outcome information in order to improve the quality or cost of care we deliver. These quality and cost improvement activities may include evaluating the performance of your health care providers, or examining the effectiveness of the treatment provided to you when compared to patients in similar situations. In addition, we may want to use your protected health information for appointment reminders. For example, we may look at your medical record to determine the date and time of your next appointment with us, and then send you a reminder letter to help you remember the appointment.
4. **Required by Law:** As required by law, we may use and disclose your protected health information. For example, we may disclose medical information to government officials to demonstrate compliance with HIPAA.
5. **Public Health:** As required by law, we may use or disclose your protected health information to public health authorities for purposes related to; preventing or controlling disease, injury or disability, reporting child abuse or neglect, reporting to the Food and Drug Administration problems with products and reactions to medications, and reporting disease or infection exposure.
6. **Health Oversight Activities:** We may use or disclose your protected health information to health agencies during the course of audits, investigations, inspections, licensure and other proceedings related to oversight of the health care system.
7. **Judicial and Administrative Proceedings:** We may use or disclose your protected health information in the course of any administrative or judicial proceeding in response to a court order or as otherwise authorized or required by statute.
8. **Law Enforcement:** We may use or disclose your protected health information to a law enforcement official for purposes such as reporting a crime at our facility, in complying with a court order, subpoena or similar lawful process if disclosure is authorized or required by statute, to protect the public health and welfare when reporting is required or authorized by law, and for other law enforcement purposes as authorized or required by statute.
9. **Coroners, Medical Examiners and Funeral Directors:** We may use or disclose your protected health information to coroners, medical examiners and funeral directors. For example, this may be necessary to identify a deceased person or determine the cause of death.
10. **Organ and Tissue Donation:** If you are an organ donor, we may use or disclose your protected health information to organizations involved in procuring, banking or transplanting organs and tissues, as necessary to facilitate organ or tissue donation or transplantation.
11. **Public Safety:** We may use or disclose your protected health information to appropriate persons in order to prevent or lessen a direct threat of imminent harm to the health and safety of any individual.
12. **National Security:** We may use or disclose your protected health information to authorized officials for purposes of intelligence, counterintelligence, other national security activities and protective services for governmental leaders as authorized or required by statute.
13. **Worker's Compensation:** We may disclose your protected health information as necessary to comply with worker's compensation or similar laws.
14. **Marketing:** We will not engage in any marketing or fund raising activities using your protected health information.
15. **Disclosures to Plan Sponsors:** We may disclose your protected health information to the sponsor of your health plan (if applicable), for the purposes of administering benefits under the plan.
16. **Domestic Violence:** We may disclose your protected health information to a government authority authorized by law to receive reports of abuse, neglect, or domestic violence if we

reasonably believe you to be a victim of abuse, neglect, or domestic violence to the extent the disclosure is required or authorized by law or if you agree to the disclosure.

17. **Research:** We may disclose your protected health information for research, regardless of the source of funding of the research, provided that we obtain documentation that an alteration to or waiver, in whole or in part, of authorization for use or disclosure of protected health information has been approved either by an Institutional Review Board or a privacy board, or if such disclosure is otherwise permitted by law.
18. **Military and Veterans:** If you are a member of the armed forces, we may use or disclose your protected health information to provide information about immunization and/or a brief confirmation of general health status as required by military command authorities.
19. **Inmates:** If you are an inmate at a correctional facility or in the custody of a law enforcement official, we may use or disclose your protected health information to the correctional facility or to the law enforcement official as may be necessary to provide information about immunization and/or a brief confirmation of general health status, or as otherwise authorized or required by law.
20. **Family or Household Members:** we may use or disclose your protected health information, pursuant to your verbal agreement, and in certain circumstances without your agreement, for the purpose of including you in our directory or for purposes of releasing information to family or household members, who are involved in your care or payment for your care.
21. **Emergency Services:** We may use or disclose your protected health information to provide to emergency services, health care or relief agencies a brief confirmation of your health status for purposes or notifying your family or household members.
22. **Business Associates:** We may use or disclose your protected health information to a Business Associate, who is specifically contracted to provide us with services utilizing that health information, pursuant to an approved business associate agreement which assures, to the extent practicable, that the business associate will handle the protected health information in compliance with privacy regulations.
23. **Limited Data Set:** We may use or disclose your protected health information as part of a limited data set if we enter into a data use agreement with the limited data set recipient. A limited data set is protected health information that excludes most direct identifiers of an individual or of relatives, employers or household members of the individual.

### **When the University May Not Use or Disclose Your Health Information:**

Except as described in this Notice of Privacy Practices we will not use or disclose your health information without written authorization from you. If we ask for an authorization, we will give you a copy. If we disclose partial or incomplete information as compared to the authorization to disclose, we will expressly indicate that the information is partial or incomplete. If you do authorize us to use or disclose your health information for another purpose, you may revoke your authorization in writing at any time. If you revoke your authorization, we will no longer be able to use or disclose health information about you for the reasons covered by your written authorization, though we will be unable to take back any disclosure we have already made with your permission. Revocation may be the basis for the denial of health benefits or other insurance coverage or benefits.

**Statement of Your Health Information Rights:**

1. **Right to Request Restrictions:** You have the right to request restrictions on certain uses and disclosures of your health information. The University is not required to agree to the restrictions that you request. If you would like to make a request for restrictions, you must submit your request in writing to Anthony J. Richard, Telephone 207-973-3379.
2. **Right to Request Confidential Communications:** You have the right to request that you receive your health information through a reasonable alternative means or at an alternative location. A University health care provider is required to accommodate reasonable requests. A health plan must permit individuals to request and must accommodate reasonable requests to receive communications by alternative means or at alternative locations, if the individual clearly states that the disclosure of all or part of that information could endanger the individual. To request confidential communications, you must submit your request in writing to Anthony J. Richard, Telephone 207-973-3379.
3. **Right to Inspect and Copy:** With very limited exceptions, you have the right to inspect and copy health information about you. To inspect and copy such information, you must submit your request in writing to Anthony J. Richard, Telephone 207-973-3379. If you request a copy of the information, we may charge you a reasonable fee to cover the expenses associated with your request.
4. **Right to Request Amendment:** You have the right to request the University correct, clarify and amend your health information. To request a correction, clarification or amendment, you must make your request in writing to Anthony J. Richard, Telephone 207-973-3379. We may add a response to your submitted correction, clarification or amendment and will provide you with a copy.
5. **Right to Accounting of Disclosures:** You have the right to receive a list or “accounting of disclosures” of your health information made by the University, except that we do not have to account for disclosures made for the purposes of treatment, payment functions, or health care operations, or for those disclosures made to you. Additionally, we do not have to account for disclosures made pursuant to an authorization; for those made to our facility’s directory or to those persons involved in your care; incidental disclosures; for lawful inquiries made pursuant to national security or intelligence purposes; for lawful inquiries made by correctional institutions or other law enforcement officials in custodial situations; or, for disclosures when your information may become part of a limited data set. To request this accounting of disclosures, you must submit your request in writing to Anthony J. Richard, Telephone 207-973-3379. Your request should specify a time period of up to six years and may not include dates before April 14, 2003. The University will provide one list per 12 month period free or charge; we may charge you for additional lists.
6. **Right to Paper Copy:** You have a right to receive a paper copy of this Notice of Privacy Practices at any time. To obtain a paper copy of this Notice, send your written request to Anthony J. Richard, Telephone 207-973-3379. You may also obtain a copy of this notice at our website on the Benefits page.

If you would like to have a more detailed explanation of these rights, or if you would like to exercise one or more of these rights, contact Anthony J. Richard, Telephone 207-973-3379.

**Changes to this Notice of Privacy Practices**

The University reserves the right to amend this Notice of Privacy Practices at any time in the future and

to make the new Notice provisions effective for all health information that it maintains. We will promptly revise our Notice and distribute it to you at your next visit whenever we make material changes to the Notice. Participants in the Health Care Advantage Account and the System EAP will receive a revised copy within 60 days of a material revision. Until such time, the University is required by law to comply with the current version of this Notice.

### **Complaints**

Complaints about this Notice of Privacy Practices or other inquiries about how we handle your health information should be directed to Anthony J. Richard, Telephone 207-973-3379. The University will not retaliate against you in any way for filing a complaint, participating in an investigation, or exercising any other rights under the Health Insurance Portability and Accountability Act (HIPAA). All complaints to the University must be submitted in writing. If you believe your privacy rights have been violated, you may file a complaint with the Secretary of the U. S. Department of Health and Human Services.

Effective Date of this Notice: 09/04/03

16 Central Street Bangor, ME 04401

Telephone: (207) 973-3201 | Fax: (207) 973-3296

Express Message: (207) 973-3399 | TTY Phone (24 Hours) (207) 973-3262

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# **Maine's Public Universities - University of Maine System**

## **Health Information Policy**

### **CHANCELLOR'S OFFICE/SYSTEM WIDE SERVICES HEALTH INFORMATION POLICY**

#### **I. USES AND DISCLOSURES OF HEALTH INFORMATION**

##### **1. Policy Statement**

It is the policy of the Chancellor's Office/System Wide Services Health Care Component ("University") to inform individuals about the institution's privacy practices as they relate to health information that may be stored in any campus file or depository, or stored electronically or that exists in any recording device or in any clinical or research data base, hereafter collectively referred to as the "health record," to safeguard health information in its possession, and, to the extent practicable, to protect the communication of health information, including oral information, from intentional or unintentional use or disclosure. It is further the University's policy to accommodate, to the extent practicable, requests of individuals regarding the place, time, and method of communicating to them their own health information. For the purposes of compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), employment records and UM System student records subject to the Family Educational Rights and Privacy Act (FERPA) and UM System student medical records, are specifically excluded from the definition of "protected health information."

##### **2. Policy Purpose**

The purpose of this policy is to assure that all individuals are provided with adequate notice of the University's privacy practices and that our employees treat health information to which they have access whether in oral, written or electronic form, confidentially within each campus and also to those outside the institution.

##### **3. Policy Standards**

Health care recipients at the University, including those who are participants in treatment-oriented research and from who protected health information will be obtained, will be provided the campus Notice of Privacy Practices. A good faith effort will be made to receive an acknowledgment of such notice prior to treatment or research. The University will also provide the Notice to participants in the Health Care Advantage Account Plan and the System EAP. The University will not knowingly use or disclose health information in a manner inconsistent with its privacy notice, except in instances where emergency patient care would be compromised. The University reserves the right to amend its Notice of

Privacy Practices as deemed necessary and, to the extent and in a manner practicable, will inform health care recipients of these material changes. This policy statement and the Notice of Privacy Practices are official University policies and may not be amended or otherwise altered without the approval of the University of Maine System Privacy Official.

Health information that is communicated in any form is to be treated as confidential and in a manner that reasonably protects the communication from being intentionally or unintentionally overheard or intercepted by those who do not have a need or right to know the information. The University recognizes that in a treatment setting, communications must occur freely and quickly and there can be no assurance of absolute privacy. However, it is the responsibility of the University to implement procedures, to achieve a reasonable degree of confidentiality within its respective departments or divisions, and to establish operating policies and procedures that reasonably protect the confidentiality of oral, written and electronic communications. Written communications that include identifiable health information, medical files, electronic storage devices, fax machines, and other electronic equipment over which protected health information may be read or transmitted are to be maintained in secure sites and/or away from public access. Computer screens containing protected health information are to be inaccessible to public view. Computers that store protected health information are to be secured before being left unattended.

The University will communicate health information to personal representatives authorized by our health care recipients. We will also communicate health information in accordance with state and federal law. The University may, however, communicate health information to persons directly involved in care where necessary due to an emergency or other professionally sound reason without prior authorization.

#### **4. Minimum Necessary Standards**

An individual's health information may only be accessed, used or disclosed by authorized personnel. With the exception of the uses and disclosures of health information directly related to treatment, to the individual, pursuant to an authorization, as required by law and for compliance purposes, and to the extent practicable, access to health information by University employees or other authorized personnel is restricted to the minimum necessary to execute their job responsibilities. It is the responsibility of each University department or administrative unit to identify those persons or classes of persons who are authorized to access, use or disclose health information and specifically to identify what health information they may have access to, and limit their access to that information.

#### **5. Violations**

Violations of this policy by any University employee or student which result in or have the potential to result in the unauthorized use or release of identifiable health information, may result in disciplinary action up to and including termination of employment or suspension from a student employment program.

## **II. NOTIFICATION AND AUTHORIZATION**

### **1. Policy Statement**

It is the policy of the University Health Care Component that an individual's identifiable health

information may typically only be used or disclosed pursuant to notification and/or permissions granted by the individual, or unless otherwise permitted or required by statute.

## **2. Policy Purpose**

The purpose of this policy is to assure that identifiable health information is used and disclosed only for the purposes for which an individual has been notified, or where a reasonable attempt of such notification has been made. It may also be disclosed pursuant to the prior written authorization of the individual or, where the information is to be used in research, a waiver of that authorization has been granted by the University's Institutional Review Board. It may also be disclosed without prior permission where disclosure is required by law.

## **3. Policy Standards**

The University will provide individuals with its Notice of Privacy Practices prior to initial treatment, unless an emergency or a communications barrier makes providing or obtaining this advanced notice and/or acknowledgment impossible or impracticable. It will also make good faith efforts to obtain the individual's written acknowledgment and receipt of the Notice. The University will also provide the Notice to participants in the Health Care Advantage Account Plan and the System EAP. Except in emergency situations where patient care might be compromised, the University will not use or disclose identifiable health information in a manner inconsistent with its Notice of Privacy Practices. Only the approved Notice of Privacy Practices may be used for providing notification and no additions, deletions, or modifications may be made to the Notice without the approval of the University of Maine System Privacy Official.

The University allows individuals to request restrictions of the use and disclosure of their health information for treatment, payment and healthcare operations. The University may choose not to agree with the requested restrictions, however, it will adhere to any restrictions to which it agrees. Except where patient care may be compromised, the University may condition provision of services on obtaining acknowledgment of receipt of the Notice of Privacy Practices. Acknowledgments of the Notice of Privacy Practices will be retained by the University for a minimum of six years. Any agreed upon restrictions arising out of the notification will remain in effect until revoked by the individual or until the individual is notified by the University that it will no longer honor the agreed restriction(s).

In the event that the University receives more than one authorization or permission from a patient that appear to be in conflict with each other, the University will abide by the more restrictive patient permission until the conflict is resolved. The University will attempt to determine the true intentions of the individual and thus resolve the issue as soon as practicable. An individual's health information may be used, or disclosed, by the University for purposes other than treatment, payment, or healthcare operations, such as for research. Use and disclosure for such purposes, except where otherwise required or permitted by law, requires a valid, signed authorization specifically detailing what information will be used or disclosed, how and by whom the information will be used or disclosed, and during what time period the information will be needed or a statement indicating that there is no defined time period.

Only an approved University Authorization Form may be used and no additions, deletions, or modifications may be made without the approval of the University of Maine System Privacy Official. Authorizations are valid only for the conditions outlined in the document and may not be used for any

purposes not specifically stated and agreed to by the signing individual. The University will allow an individual to revoke their authorization at any time by submitting a written request. However, any such revocation shall not be retroactive to the extent that the University has already relied and acted on the authorization. A copy of the revocation must be kept with the authorization.

Treatment of an individual at the University may not be conditioned on obtaining a signed authorization, except treatment associated with a research protocol or with treatment performed by a third party. Except where otherwise permitted or required by statute, the requirement to obtain authorization for purposes other than treatment, payment, or healthcare operations may only be waived by the University's Institutional Review Board (IRB) and in accordance with the Board's stated policies and procedures.

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University of Maine System

**ADMINISTRATIVE PRACTICE LETTER**

**SUBJECT: Information Security**

**I. General**

Information Security is the protection of information against unauthorized disclosure, transfer, modification, or destruction, whether accidental or intentional; although Information Security often involves electronic data, hard copy (written or printed) and verbally transmitted information require appropriate safeguards.

This APL covers general information regarding security practices and responsibilities, as well as guidelines for identifying and reporting breaches in security, unauthorized acquisition and disclosure of personal information and identity theft.

A separate APL exists for strong passwords.

**RESPONSIBILITIES**

Information Security is the responsibility of each individual in the UMS community. Each individual needs to understand and protect Covered Data, and must promptly report any suspected incidents. Supervisors and Department Heads are responsible for ensuring all employees they supervise, who are responsible for or come in contact with Covered Data, are aware of this APL and for complying with all procedures for protecting University collected and preserved data. All employees who use a personal or portable device for University work need to understand the security risks with their usage (see Appendix A for checklist).

Campus and System Information Technology departments and the Controller's Office will assist departments in identifying risks and provide information for educating personnel on issues of Information Security.

**GUIDELINES**

***Covered Data***

Covered data is information which requires special protection because the misuse could harm members of the UMS community or compromise the mission of the System and/or any one of the Universities. Covered data includes personally-identifiable information, confidential research information, and information that requires protection under law or agreement such as FERPA (the Family Educational Rights and Privacy Act), GLBA (the Gramm-Leach Bliley Act), HIPAA (the Health Insurance Portability and Accountability Act), FTC "Red Flag Rule", and by the PCI (Payment Card Industry) data security standards. Examples of Covered Data include: financial records, health records, student educational records, and any information which could permit a person to attempt to harm or assume the identity of an individual.

***The Maine Data Act***

The Notice of Risk to Personal Data Act (the Act) (10 M.R.S.A. § 1346 et.seq.) creates a duty to investigate breaches in the security of an individual's computerized data and an obligation to notify such individual of the breach in specified situations.

**ADMINISTRATIVE PRACTICE LETTER**

**SUBJECT: Information Security**

A breach is defined as an unauthorized acquisition of data “that compromises [its] security, confidentiality or integrity,” or an authorized acquisition which is then used for an unauthorized disclosure of such Personal Information.

For the purposes of the Act, the data protected is referred to as “Personal Information” stored in a University storage system. That is: An individual’s first name, or first initial, and last name in combination with any one or more of the following data elements, when either the name or the data elements are not encrypted or redacted:

- A. Social security number;
- B. Driver’s license number or state identification card number;
- C. Account number, credit card number or debit card number, if circumstances exist wherein such a number could be used without additional identifying information, access codes or passwords;
- D. Account passwords or personal identification numbers or other access codes; or
- E. Any of the data elements contained in paragraphs A to D when not in connection with the individual’s first name, or first initial, and last name, if the information if compromised would be sufficient to permit a person to fraudulently assume or attempt to assume the identity of the person whose information was compromised.

Personal Information does not include “publicly available information that is lawfully made available to the general public from federal, state or local government records or widely distributed media.”

Someone “unauthorized” is a person who “does not have authority or permission to access the information... and/or obtains access by fraud, misrepresentation or similar deceptive practices.”

If the University becomes aware of a breach, it must “conduct in good faith a reasonable and prompt investigation to determine the likelihood that Personal Information has been or will be misused.”

If, after the investigation, it is determined that a covered breach has occurred, notice must be given to the person(s) affected. It must contain the date of the breach; the information believed to have been accessed, a summary of the University’s response to the breach and a person they can contact for additional information. The notice must be given as “expediently” as possible and “without unreasonable delay,” consistent with the needs of law enforcement and the need to restore the reasonable integrity, security and confidentiality of the data in the system.

Notification is required when personal information was or is reasonably believed to have been acquired by an unauthorized person...and there is likelihood that it will be misused.

Notice must be in writing (presumably given by U.S. Mail) to the person’s known address unless the cost would exceed \$5,000 or notification has to be given to more than 1,000 people. In these events or if there is no mailing address available “substitute notice” can be given by both e-mail and also placed conspicuously on the University’s website. If substitute notice is given, the statewide media must also be notified.

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**SUBJECT: Information Security**

If a single breach involves notification of more than 1,000 people, notice must also be given “without unreasonable delay” to consumer reporting agencies that compile and maintain files on consumers on a nationwide basis. Notification must include the date of the breach, an estimate of the number of persons affected by the breach, if known, and the actual or anticipated date that persons were or will be notified of the breach.

A report must be sent to the State of Maine Attorney General.

***Basic Risks and Safeguards***

General

- Cross shred spent confidential paper documents.
- Lock desks, file cabinets and office doors containing confidential data when unattended.
- Protect paper documents containing covered data from casual view.
- Store critical paper documents in a fireproof vault.
- If vendors will handle UMS data refer to APL VII-A Purchasing Procedures.
- Restrict data available to vendors and employees to that data necessary to perform their function.
- If in doubt as to whether information is considered covered data, contact the department responsible for that information or University Counsel.

Conversations

- Be aware of who may overhear your conversation.
- Do not discuss covered data with anyone who does not have a need to know.

FAX

- Make arrangements to immediately retrieve or secure sensitive documents that are printed on copy machines, fax machines and printers.
- Make every effort to ensure that a fax reaches only its intended recipient.

Staff Management

- Regularly remind staff and students of the importance of information security.
- During orientation, supervisors will train new employees in:
  - The importance of the confidentiality of covered data.
  - The proper use of IDs and passwords.
  - How to dispose of documents that contain covered data and controls and procedures to prevent employees from providing covered data to an unauthorized individual, including “pretext calling”.
  - How to recognize “red flag” warnings of actual or potential identity theft.



## **ADMINISTRATIVE PRACTICE LETTER**

### **SUBJECT: Information Security**

#### Email and FTP

- Encrypt any email containing covered data. Check with your local IT/computer services department for guidance on how to encrypt email.
- Either do not send or take great care when sending anything by e-mail that you would not want disclosed to someone else. E-mail may be miss-addressed; recipients of your e-mail may forward data or store it on an unsecure machine.

#### Data Storage and Disposal

- Backup media will be stored in a secure location that will account for protection of covered data.
- When disposing of media (disk drives, removable media or solid state drives) which may contain covered data, simply deleting files is inadequate. Destroy or overwrite the media with software which overwrites previously stored data three times with a predetermined pattern of meaningless information effectively rendering the data unrecoverable. If a disk drive doesn't function, the disks will need to be removed and physically destroyed.

#### Desktops & other Hardware

- Orient computer screens away from the view of others.
- Set screen savers with password protection to activate after 10 minutes of inactivity.
- Physically secure all data storage devices against theft - especially laptops and removable media.
- Completely shut down the desktop computer at the end of the workday unless you have your supervisor's approval for remote access.
- Limit who can remotely access a computer.
- Maintain the operating system with the latest patches, spy ware and anti-virus tools.
- Do not download and install unknown programs. Downloads may install spy ware which allows others to access a data without your knowledge and to log keystrokes.
- Do not open unexpected e-mail attachments.
- Do not download documents from unknown parties.
- Avoid storing covered data on a device with a web server. Consider whether or not your website should be password protected.
- Contact your Desktop Support Technician or UMS-ITS with any question about security.

#### Passwords

- Secure your passwords – if you must write them down, lock them up or keep them on you.
- Follow the standards in the Strong Passwords APL VI-D .

University of Maine System

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*Other Resources & Tools*

System and Campus IT departments can direct employees to a number of resources and tools that are available. Awareness videos/presentations and checklists are available online. Computer tools are available that scan PC hard disks for SSN and credit card numbers, encrypt hard disks, or wipe computer data from a computer so it cannot be recovered.

**II. Security Incident Response**

Loss of covered or other confidential data has serious consequences to the University as well as a possible widespread impact on others. An immediate and thorough response to an Information Security incident including analysis and reporting is required by legislation – including, but not limited to, the Health Insurance Portability and Accountability Act, the Gramm-Leach Bliley Act and the Maine Data Act.

Initial Notification

Known or suspected loss of covered or other confidential data must be reported promptly. An event such as the loss of a portable computer or device which may contain protected data, suspected intrusions, or other suspicious activities needs to be reported promptly.

If a non-IT (paper based) compromise of information is suspected, incidents need to be reported to the department head and up through the chain of command, including the System Director of Finance and Controller, so that an appropriate and timely investigation and reporting of information to Legal and External Affairs can be made. Campus or System IT does not need to be involved in non-IT (paper-based) compromises, but should be notified immediately if there is any suspicion that electronic systems are involved.

For any suspected compromise of information that is stored or transmitted on an electronic system or device, report the breach to the Campus Chief Information Officer (CIO) or IT Director, who will coordinate a response. Campus IT will contact UMS/ITS when the incident involves UMS/ITS managed systems. Likewise, System office employees, who suspect a compromise of information, must notify the UMS-ITS director /associate director. If that director is not available the UMS CIO is to be contacted. If the CIO is not available, the employee shall continue to try to locate a responsible individual by calling the campus Help Desk, the UMS-ITS Help Desk or the UMS Network Operations Center. The UMS CIO or the appropriate UMS/ITS director or associate director will ensure a response is coordinated.

The Campus CIO and/or the UMS CIO will notify the System Director of Finance and Controller regarding any compromise of financially related information or any information that may involve or increase the risk of identity theft.

University of Maine System

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**SUBJECT: Information Security**

Initial Notification Message – Content:

1. Brief description of the incident including a description of any information believed to have been accessed.
2. Date and time of the incident or of the discovery/report of the incident.
3. Campus.
4. Name of person making this notification.
5. Email, phone, cell phone or other contact information for a person familiar with the incident who is available to provide more information.

Initial Analysis of the Incident

The IT Director determines if an incident has actually occurred. An incident most likely would involve:

- Any computer fraud.
- A compromise which may have resulted in the leakage of personal information (data theft).
- A successful denial of service attack.
- A natural disaster which compromises access to the information systems.
- An adverse event that threatens the confidentiality, integrity or availability of University information assets, information systems, or the networks that deliver the information.
- Damage to data or unauthorized data modification.
- Unauthorized access to a system of unknown origin.
- Unusual, unexplainable system behavior.

Events which in themselves are not an incident:

- Port scans.
- Equipment failure or software failure.
- Routine detection and remediation of a virus or mal-ware.

Response to Incident

After determining that an incident has occurred, the IT director will form and direct a Computer Incident Response Team (CIRT). The IT Director will immediately notify the UMS CIO, the UMS Network Operations Center, External Affairs, University Counsel, and the Director of Finance and Controller and will keep these individuals apprised of the status of the incident.

The CIRT will take the following actions as appropriate to investigate the incident, contain the compromise, and make proper notifications.

- Follow the provisions of the Maine Data Act as enumerated above.
- Determine how the incident occurred.

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- Conduct interviews.
- Preserve evidence.
- Protect or copy any logs which may relate to the incident.
- Maintain a response log including date, time, action taken and individuals contacted.
- Step back and analyze the scope (i.e. is more involved than initially suspected?).
- Seize, segregate and preserve hardware for possible forensic analysis.
- Disable the compromised hardware or software.
- Take steps to prevent proliferation of the incident.
- Contain the incident; reduce the incident impact with a plan to restore functionality.

Notify any known individuals who may be harmed by this incident.

- Notify the help desks to consider and report related events to avoid duplicate effort.
- Notify campus police and law enforcement if appropriate.
- Notify and coordinate with hardware or software vendors.
- Coordinate regulatory reporting and notice to other members of the University community.

After resolution, prepare a report of the incident including cause, action taken, cost to the organization, resources needed to fully recover, recommendations to improve security and prevent similar incidents and recommendations for future incident response. Issue a copy to all individuals who were initially notified.

**APPROVED:**

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**Vice Chancellor for Finance and Administration**

Note: Official copy on file in the Office of Finance and Administration at the University of Maine System

**Related Documents:**

**APL VI-D Strong Passwords**

**APL VII-A.2 Purchasing Procedures**

**Maine Revised Statute Title 10, Chapter 210-B: Notice of Risk to Personal Data**

**<http://www.mainelegislature.org/legis/statutes/10/title10ch210-Bsec0.html>**

**ADMINISTRATIVE PRACTICE LETTER**

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**APPENDIX A**

***Checklist for the Protection of Covered Data When Using Portable University-Owned and All Non-University Devices***

Employees who telecommute will complete this checklist as part of their telecommuting agreement. Supervisors will ensure that any employee who is issued a University portable device also completes this checklist. Based on the employee's contact with covered data, a supervisor may require this checklist be completed by an employee who works at home or uses a personal device for University work.

Covered data is information which requires special protection because the misuse could harm members of the University community or compromise the mission of the University of Maine System and/or any one of the Universities. Covered data includes personally-identifiable information, confidential research information, and information that requires protection under law or agreement such as FERPA (the Family Educational Rights and Privacy Act), GLBA (the Gramm-Leach Bliley Act), HIPAA (the Health Insurance Portability and Accountability Act), and by the PCI (Payment Card Industry) standards. Examples of covered data include: financial records, health records, student educational records, and any information which could permit a person to attempt to harm or assume the identity of an individual such as an individual's name in combination with a Social Security, credit card or bank account number.

Complete the entire checklist that follows. For each "YES", provide a response to the appropriate measures. If you have arranged an exception or alternate to any measure with IT/computer services, annotate the measure with an asterisk (\*) and note the alternate measure at the bottom.

1. University Laptop

YES  NO I use a University laptop.

↳ If YES (check one of the following):

I store Covered Data, access Covered Data with software other than MaineStreet, or send/receive Covered Data via email; and I have worked with my IT/ computer services department to have an area of the laptop's hard drive encrypted for storage of Covered-Data.

I will not store Covered Data, access Covered Data with software other than MaineStreet, or send/receive Covered Data via email.

2. Personally-Owned Computer

YES  NO I use a personally-owned computer for work at home or to telecommute, even if only for University email.

↳ If YES (check as applicable):

I agree that Covered Data may never be stored on my personally-owned computer.

I agree that I will install virus protection on the computer which I use to access University systems. One copy of virus protection will be provided by the University.

I agree that, in the case of a suspected breach, I may be required to provide access to my personally-owned computer to UMS staff.

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- I access MaineStreet Covered Data from my personally-owned computer or device for more than my own personal information and I agree not to download and save Covered Data from MaineStreet to my personally-owned computer or device.
- I use remote access services (such as Remote Desktop Protocol or VPN) to connect to an office computer and I agree to not transfer files with Covered Data to my personally-owned computer.
- I send/receive Covered Data via email, and I will use secure (https) webmail that will not cache or save email/files. I will work with my IT/computer services department if I need help with using appropriate email.
- I agree to not open Covered Data email attachments on my personally-owned computer because doing so would automatically copy the attachment to my computer's drive.

3. Portable Handheld Devices such as Smart Phones

YES  NO I use a University provided or personally-owned handheld device to access University email or connect to University data.

↳ If YES (check as applicable):

- I access Covered Data, or send/receive Covered Data via email from my handheld device and have completed all of the following measures.
  - I have worked with my IT/ computer services department to ensure encryption is available and turned on for the device.
  - I have enabled the requirement to use a password to access email.
  - I agree that in the case of a suspected breach, I may be required to provide access to my personally-owned device to UMS staff.
- I will not access Covered Data, or send/receive Covered Data via email from my handheld device.

4. USB drives or other portable storage

YES  NO I use a USB drive (e.g., pen drive, memory stick, etc.).

↳ If YES (check one of the following):

- I move or store Covered Data with a USB drive; and I have worked with my IT/ computer services department to encrypt the Covered Data storage area.
- I will not move or store Covered Data with a USB drive.

5. Home Wireless

YES  NO I have a wireless network at home even if the computer I use is hardwired and I might access Covered Data.

↳ If YES (check one of the following):

- I have secured my wireless access point to prevent a wireless intrusion to my network which would allow an intrusion into a wireless or wired computer.
- I will turn off wireless access while I work at home.

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6. Other Situations and Alternate Measures or Exceptions.

YES  NO I access, store or transmit Covered Data in a manner that isn't listed here and I have worked with my supervisor and IT /computer services department to implement the following measures:

YES  NO I am implementing the following alternate measures or exceptions to the requirements above with my supervisor's and the IT / computer services department approval:

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7. Required Conditions

I agree that if any conditions change regarding access or storage of Covered Data, to include receiving an email with Covered Data, I will notify my supervisor and work with my IT /computer services department to ensure proper actions are taken to secure the data and employ the appropriate protections.

I agree that if any Covered Data is accessed or stored on a University or personally-owned device to include receiving email with Covered Data, without the proper measures taken, I will treat this as an urgent security incident. I will notify my supervisor and work with my IT /computer services department to ensure prompt proper actions are taken to secure the data and employ the appropriate protections. I understand that swift actions are needed to prevent unauthorized access to Covered Data.

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# **Family Education Rights and Privacy Act Regulations (FERPA)**





**Authority:** 20 U.S.C. 1232g, unless otherwise noted.

**Source:** 53 FR 11943, Apr. 11, 1988, unless otherwise noted.

### Subpart A—General

 [top](#)

#### § 99.1 To which educational agencies or institutions do these regulations apply?

 [top](#)

(a) Except as otherwise noted in §99.10, this part applies to an educational agency or institution to which funds have been made available under any program administered by the Secretary, if—

(1) The educational institution provides educational services or instruction, or both, to students; or

(2) The educational agency is authorized to direct and control public elementary or secondary, or postsecondary educational institutions.

(b) This part does not apply to an educational agency or institution solely because students attending that agency or institution receive non-monetary benefits under a program referenced in paragraph (a) of this section, if no funds under that program are made available to the agency or institution.

(c) The Secretary considers funds to be made available to an educational agency or institution of funds under one or more of the programs referenced in paragraph (a) of this section—

(1) Are provided to the agency or institution by grant, cooperative agreement, contract, subgrant, or subcontract; or

(2) Are provided to students attending the agency or institution and the funds may be paid to the agency or institution by those students for educational purposes, such as under the Pell Grant Program and the Guaranteed Student Loan Program (titles IV-A-1 and IV-B, respectively, of the Higher Education Act of 1965, as amended).

(d) If an educational agency or institution receives funds under one or more of the programs covered by this section, the regulations in this part apply to the recipient as a whole, including each of its components (such as a department within a university).

(Authority: 20 U.S.C. 1232g)

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59295, Nov. 21, 1996; 65 FR 41852, July 6, 2000]

#### § 99.2 What is the purpose of these regulations?

 [top](#)

The purpose of this part is to set out requirements for the protection of privacy of parents and students under section 444 of the General Education Provisions Act, as amended.

(Authority: 20 U.S.C. 1232g)

Note to §99.2: 34 CFR 300.610 through 300.626 contain requirements regarding the confidentiality of information relating to children with disabilities who receive evaluations, services or other benefits under Part B of the Individuals with Disabilities Education Act (IDEA). 34 CFR 303.402 and 303.460 identify the confidentiality of information requirements regarding children and infants and toddlers with disabilities and their families who receive evaluations, services, or other benefits under Part C of IDEA. 34 CFR 300.610 through 300.627 contain the confidentiality of information requirements that apply to personally

identifiable data, information, and records collected or maintained pursuant to Part B of the IDEA.

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59295, Nov. 21, 1996; 73 FR 74851, Dec. 9, 2008]

### § 99.3 What definitions apply to these regulations?



The following definitions apply to this part:

*Act* means the Family Educational Rights and Privacy Act of 1974, as amended, enacted as section 444 of the General Education Provisions Act.

(Authority: 20 U.S.C. 1232g)

*Attendance* includes, but is not limited to—

(a) Attendance in person or by paper correspondence, videoconference, satellite, Internet, or other electronic information and telecommunications technologies for students who are not physically present in the classroom; and

(b) The period during which a person is working under a work-study program.

(Authority: 20 U.S.C. 1232g)

*Biometric record*, as used in the definition of *personally identifiable information*, means a record of one or more measurable biological or behavioral characteristics that can be used for automated recognition of an individual. Examples include fingerprints; retina and iris patterns; voiceprints; DNA sequence; facial characteristics; and handwriting.

(Authority: 20 U.S.C. 1232g)

*Dates of attendance.* (a) The term means the period of time during which a student attends or attended an educational agency or institution. Examples of dates of attendance include an academic year, a spring semester, or a first quarter.

(b) The term does not include specific daily records of a student's attendance at an educational agency or institution.

(Authority: 20 U.S.C. 1232g(a)(5)(A))

*Directory information* means information contained in an education record of a student that would not generally be considered harmful or an invasion of privacy if disclosed.

(a) Directory information includes, but is not limited to, the student's name; address; telephone listing; electronic mail address; photograph; date and place of birth; major field of study; grade level; enrollment status ( e.g. , undergraduate or graduate, full-time or part-time); dates of attendance; participation in officially recognized activities and sports; weight and height of members of athletic teams; degrees, honors and awards received; and the most recent educational agency or institution attended.

(b) Directory information does not include a student's—

(1) Social security number; or

(2) Student identification (ID) number, except as provided in paragraph (c) of this section.

(c) Directory information includes a student ID number, user ID, or other unique personal identifier used by the student for purposes of accessing or communicating in electronic systems, but only if the identifier cannot be used to gain access to education records except when used in conjunction with one or more factors that authenticate the user's identity, such as a personal identification number (PIN), password, or

other factor known or possessed only by the authorized user.

(Authority: 20 U.S.C. 1232g(a)(5)(A))

*Disciplinary action or proceeding* means the investigation, adjudication, or imposition of sanctions by an educational agency or institution with respect to an infraction or violation of the internal rules of conduct applicable to students of the agency or institution.

*Disclosure* means to permit access to or the release, transfer, or other communication of personally identifiable information contained in education records by any means, including oral, written, or electronic means, to any party except the party identified as the party that provided or created the record.

(Authority: 20 U.S.C. 1232g(b)(1) and (b)(2))

*Educational agency or institution* means any public or private agency or institution to which this part applies under §99.1(a).

(Authority: 20 U.S.C. 1232g(a)(3))

*Education records.* (a) The term means those records that are:

(1) Directly related to a student; and

(2) Maintained by an educational agency or institution or by a party acting for the agency or institution.

(b) The term does not include:

(1) Records that are kept in the sole possession of the maker, are used only as a personal memory aid, and are not accessible or revealed to any other person except a temporary substitute for the maker of the record.

(2) Records of the law enforcement unit of an educational agency or institution, subject to the provisions of §99.8.

(3)(i) Records relating to an individual who is employed by an educational agency or institution, that:

(A) Are made and maintained in the normal course of business;

(B) Relate exclusively to the individual in that individual's capacity as an employee; and

(C) Are not available for use for any other purpose.

(ii) Records relating to an individual in attendance at the agency or institution who is employed as a result of his or her status as a student are education records and not excepted under paragraph (b)(3)(i) of this definition.

(4) Records on a student who is 18 years of age or older, or is attending an institution of postsecondary education, that are:

(i) Made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in his or her professional capacity or assisting in a paraprofessional capacity;

(ii) Made, maintained, or used only in connection with treatment of the student; and

(iii) Disclosed only to individuals providing the treatment. For the purpose of this definition, "treatment" does not include remedial educational activities or activities that are part of the program of instruction at the agency or institution; and

(5) Records created or received by an educational agency or institution after an individual is no longer a student in attendance and that are not directly related to the individual's attendance as a student.

(6) Grades on peer-graded papers before they are collected and recorded by a teacher.

(Authority: 20 U.S.C. 1232g(a)(4))

*Eligible student* means a student who has reached 18 years of age or is attending an institution of postsecondary education.

(Authority: 20 U.S.C. 1232g(d))

*Institution of postsecondary education* means an institution that provides education to students beyond the secondary school level; "secondary school level" means the educational level (not beyond grade 12) at which secondary education is provided as determined under State law.

(Authority: 20 U.S.C. 1232g(d))

*Parent* means a parent of a student and includes a natural parent, a guardian, or an individual acting as a parent in the absence of a parent or a guardian.

(Authority: 20 U.S.C. 1232g)

*Party* means an individual, agency, institution, or organization.

(Authority: 20 U.S.C. 1232g(b)(4)(A))

#### Personally Identifiable Information

The term includes, but is not limited to—

(a) The student's name;

(b) The name of the student's parent or other family members;

(c) The address of the student or student's family;

(d) A personal identifier, such as the student's social security number, student number, or biometric record;

(e) Other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name;

(f) Other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or

(g) Information requested by a person who the educational agency or institution reasonably believes knows the identity of the student to whom the education record relates.

(Authority: 20 U.S.C. 1232g)

*Record* means any information recorded in any way, including, but not limited to, handwriting, print, computer media, video or audio tape, film, microfilm, and microfiche.

(Authority: 20 U.S.C. 1232g)

*Secretary* means the Secretary of the U.S. Department of Education or an official or employee of the Department of Education acting for the Secretary under a delegation of authority.

(Authority: 20 U.S.C. 1232g)

*Student*, except as otherwise specifically provided in this part, means any individual who is or has been in attendance at an educational agency or institution and regarding whom the agency or institution

maintains education records.

(Authority: 20 U.S.C. 1232g(a)(6))

[53 FR 11943, Apr. 11, 1988, as amended at 60 FR 3468, Jan. 17, 1995; 61 FR 59295, Nov. 21, 1996; 65 FR 41852, July 6, 2000; 73 FR 74851, Dec. 9, 2008]

#### **§ 99.4 What are the rights of parents?**



An educational agency or institution shall give full rights under the Act to either parent, unless the agency or institution has been provided with evidence that there is a court order, State statute, or legally binding document relating to such matters as divorce, separation, or custody that specifically revokes these rights.

(Authority: 20 U.S.C. 1232g)

#### **§ 99.5 What are the rights of students?**



(a)(1) When a student becomes an eligible student, the rights accorded to, and consent required of, parents under this part transfer from the parents to the student.

(2) Nothing in this section prevents an educational agency or institution from disclosing education records, or personally identifiable information from education records, to a parent without the prior written consent of an eligible student if the disclosure meets the conditions in §99.31(a)(8), §99.31(a)(10), §99.31(a)(15), or any other provision in §99.31(a).

(b) The Act and this part do not prevent educational agencies or institutions from giving students rights in addition to those given to parents.

(c) An individual who is or has been a student at an educational institution and who applies for admission at another component of that institution does not have rights under this part with respect to records maintained by that other component, including records maintained in connection with the student's application for admission, unless the student is accepted and attends that other component of the institution.

(Authority: 20 U.S.C. 1232g(d))

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3188, Jan. 7, 1993; 65 FR 41853, July 6, 2000; 73 FR 74852, Dec. 9, 2008]

#### **§ 99.6 [Reserved]**



#### **§ 99.7 What must an educational agency or institution include in its annual notification?**



(a)(1) Each educational agency or institution shall annually notify parents of students currently in attendance, or eligible students currently in attendance, of their rights under the Act and this part.

(2) The notice must inform parents or eligible students that they have the right to—

(i) Inspect and review the student's education records;

(ii) Seek amendment of the student's education records that the parent or eligible student believes to be inaccurate, misleading, or otherwise in violation of the student's privacy rights;

(iii) Consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that the Act and §99.31 authorize disclosure without consent; and

(iv) File with the Department a complaint under §§99.63 and 99.64 concerning alleged failures by the educational agency or institution to comply with the requirements of the Act and this part.

(3) The notice must include all of the following:

(i) The procedure for exercising the right to inspect and review education records.

(ii) The procedure for requesting amendment of records under §99.20.

(iii) If the educational agency or institution has a policy of disclosing education records under §99.31(a)(1), a specification of criteria for determining who constitutes a school official and what constitutes a legitimate educational interest.

(b) An educational agency or institution may provide this notice by any means that are reasonably likely to inform the parents or eligible students of their rights.

(1) An educational agency or institution shall effectively notify parents or eligible students who are disabled.

(2) An agency or institution of elementary or secondary education shall effectively notify parents who have a primary or home language other than English.

(Approved by the Office of Management and Budget under control number 1880-0508)

(Authority: 20 U.S.C. 1232g (e) and (f))

[61 FR 59295, Nov. 21, 1996]

### § 99.8 What provisions apply to records of a law enforcement unit?



[top](#)

(a)(1) *Law enforcement unit* means any individual, office, department, division, or other component of an educational agency or institution, such as a unit of commissioned police officers or non-commissioned security guards, that is officially authorized or designated by that agency or institution to—

(i) Enforce any local, State, or Federal law, or refer to appropriate authorities a matter for enforcement of any local, State, or Federal law against any individual or organization other than the agency or institution itself; or

(ii) Maintain the physical security and safety of the agency or institution.

(2) A component of an educational agency or institution does not lose its status as a *law enforcement unit* if it also performs other, non-law enforcement functions for the agency or institution, including investigation of incidents or conduct that constitutes or leads to a disciplinary action or proceedings against the student.

(b)(1) Records of a law enforcement unit means those records, files, documents, and other materials that are—

(i) Created by a law enforcement unit;

(ii) Created for a law enforcement purpose; and

(iii) Maintained by the law enforcement unit.

(2) Records of a law enforcement unit does not mean—

(i) Records created by a law enforcement unit for a law enforcement purpose that are maintained by a component of the educational agency or institution other than the law enforcement unit; or

(ii) Records created and maintained by a law enforcement unit exclusively for a non-law enforcement purpose, such as a disciplinary action or proceeding conducted by the educational agency or institution.

(c)(1) Nothing in the Act prohibits an educational agency or institution from contacting its law enforcement unit, orally or in writing, for the purpose of asking that unit to investigate a possible violation of, or to enforce, any local, State, or Federal law.

(2) Education records, and personally identifiable information contained in education records, do not lose their status as education records and remain subject to the Act, including the disclosure provisions of §99.30, while in the possession of the law enforcement unit.

(d) The Act neither requires nor prohibits the disclosure by an educational agency or institution of its law enforcement unit records.

(Authority: 20 U.S.C. 1232g(a)(4)(B)(ii))

[60 FR 3469, Jan. 17, 1995]

### **Subpart B—What Are the Rights of Inspection and Review of Education Records?**



#### **§ 99.10 What rights exist for a parent or eligible student to inspect and review education records?**



(a) Except as limited under §99.12, a parent or eligible student must be given the opportunity to inspect and review the student's education records. This provision applies to—

(1) Any educational agency or institution; and

(2) Any State educational agency (SEA) and its components.

(i) For the purposes of subpart B of this part, an SEA and its components constitute an educational agency or institution.

(ii) An SEA and its components are subject to subpart B of this part if the SEA maintains education records on students who are or have been in attendance at any school of an educational agency or institution subject to the Act and this part.

(b) The educational agency or institution, or SEA or its component, shall comply with a request for access to records within a reasonable period of time, but not more than 45 days after it has received the request.

(c) The educational agency or institution, or SEA or its component shall respond to reasonable requests for explanations and interpretations of the records.

(d) If circumstances effectively prevent the parent or eligible student from exercising the right to inspect and review the student's education records, the educational agency or institution, or SEA or its component, shall—

(1) Provide the parent or eligible student with a copy of the records requested; or

(2) Make other arrangements for the parent or eligible student to inspect and review the requested



records.

(e) The educational agency or institution, or SEA or its component shall not destroy any education records if there is an outstanding request to inspect and review the records under this section.

(f) While an education agency or institution is not required to give an eligible student access to treatment records under paragraph (b)(4) of the definition of *Education records* in §99.3, the student may have those records reviewed by a physician or other appropriate professional of the student's choice.

(Authority: 20 U.S.C. 1232g(a)(1) (A) and (B))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59296, Nov. 21, 1996]

### **§ 99.11 May an educational agency or institution charge a fee for copies of education records?**



(a) Unless the imposition of a fee effectively prevents a parent or eligible student from exercising the right to inspect and review the student's education records, an educational agency or institution may charge a fee for a copy of an education record which is made for the parent or eligible student.

(b) An educational agency or institution may not charge a fee to search for or to retrieve the education records of a student.

(Authority: 20 U.S.C. 1232g(a)(1))

### **§ 99.12 What limitations exist on the right to inspect and review records?**



(a) If the education records of a student contain information on more than one student, the parent or eligible student may inspect and review or be informed of only the specific information about that student.

(b) A postsecondary institution does not have to permit a student to inspect and review education records that are:

- (1) Financial records, including any information those records contain, of his or her parents;
- (2) Confidential letters and confidential statements of recommendation placed in the education records of the student before January 1, 1975, as long as the statements are used only for the purposes for which they were specifically intended; and
- (3) Confidential letters and confidential statements of recommendation placed in the student's education records after January 1, 1975, if:
  - (i) The student has waived his or her right to inspect and review those letters and statements; and
  - (ii) Those letters and statements are related to the student's:
    - (A) Admission to an educational institution;
    - (B) Application for employment; or
    - (C) Receipt of an honor or honorary recognition.

(c)(1) A waiver under paragraph (b)(3)(i) of this section is valid only if:

(i) The educational agency or institution does not require the waiver as a condition for admission to or

receipt of a service or benefit from the agency or institution; and

(ii) The waiver is made in writing and signed by the student, regardless of age.

(2) If a student has waived his or her rights under paragraph (b)(3)(i) of this section, the educational institution shall:

(i) Give the student, on request, the names of the individuals who provided the letters and statements of recommendation; and

(ii) Use the letters and statements of recommendation only for the purpose for which they were intended.

(3)(i) A waiver under paragraph (b)(3)(i) of this section may be revoked with respect to any actions occurring after the revocation.

(ii) A revocation under paragraph (c)(3)(i) of this section must be in writing.

(Authority: 20 U.S.C. 1232g(a)(1) (A), (B), (C), and (D))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59296, Nov. 21, 1996]

### **Subpart C—What Are the Procedures for Amending Education Records?**



#### **§ 99.20 How can a parent or eligible student request amendment of the student's education records?**



(a) If a parent or eligible student believes the education records relating to the student contain information that is inaccurate, misleading, or in violation of the student's rights of privacy, he or she may ask the educational agency or institution to amend the record.

(b) The educational agency or institution shall decide whether to amend the record as requested within a reasonable time after the agency or institution receives the request.

(c) If the educational agency or institution decides not to amend the record as requested, it shall inform the parent or eligible student of its decision and of his or her right to a hearing under §99.21.

(Authority: 20 U.S.C. 1232g(a)(2))

[53 FR 11943, Apr. 11, 1988; 53 FR 19368, May 27, 1988, as amended at 61 FR 59296, Nov. 21, 1996]

#### **§ 99.21 Under what conditions does a parent or eligible student have the right to a hearing?**



(a) An educational agency or institution shall give a parent or eligible student, on request, an opportunity for a hearing to challenge the content of the student's education records on the grounds that the information contained in the education records is inaccurate, misleading, or in violation of the privacy rights of the student.

(b)(1) If, as a result of the hearing, the educational agency or institution decides that the information is inaccurate, misleading, or otherwise in violation of the privacy rights of the student, it shall:

(i) Amend the record accordingly; and

(ii) Inform the parent or eligible student of the amendment in writing.

(2) If, as a result of the hearing, the educational agency or institution decides that the information in the education record is not inaccurate, misleading, or otherwise in violation of the privacy rights of the student, it shall inform the parent or eligible student of the right to place a statement in the record commenting on the contested information in the record or stating why he or she disagrees with the decision of the agency or institution, or both.

(c) If an educational agency or institution places a statement in the education records of a student under paragraph (b)(2) of this section, the agency or institution shall:

(1) Maintain the statement with the contested part of the record for as long as the record is maintained; and

(2) Disclose the statement whenever it discloses the portion of the record to which the statement relates.

(Authority: 20 U.S.C. 1232g(a)(2))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59296, Nov. 21, 1996]

### § 99.22 What minimum requirements exist for the conduct of a hearing?



[top](#)

The hearing required by §99.21 must meet, at a minimum, the following requirements:

(a) The educational agency or institution shall hold the hearing within a reasonable time after it has received the request for the hearing from the parent or eligible student.

(b) The educational agency or institution shall give the parent or eligible student notice of the date, time, and place, reasonably in advance of the hearing.

(c) The hearing may be conducted by any individual, including an official of the educational agency or institution, who does not have a direct interest in the outcome of the hearing.

(d) The educational agency or institution shall give the parent or eligible student a full and fair opportunity to present evidence relevant to the issues raised under §99.21. The parent or eligible student may, at their own expense, be assisted or represented by one or more individuals of his or her own choice, including an attorney.

(e) The educational agency or institution shall make its decision in writing within a reasonable period of time after the hearing.

(f) The decision must be based solely on the evidence presented at the hearing, and must include a summary of the evidence and the reasons for the decision.

(Authority: 20 U.S.C. 1232g(a)(2))

### Subpart D—May an Educational Agency or Institution Disclose Personally Identifiable Information From Education Records?



[top](#)

### § 99.30 Under what conditions is prior consent required to disclose information?



[top](#)

(a) The parent or eligible student shall provide a signed and dated written consent before an educational agency or institution discloses personally identifiable information from the student's education records, except as provided in §99.31.

(b) The written consent must:

- (1) Specify the records that may be disclosed;
- (2) State the purpose of the disclosure; and
- (3) Identify the party or class of parties to whom the disclosure may be made.

(c) When a disclosure is made under paragraph (a) of this section:

- (1) If a parent or eligible student so requests, the educational agency or institution shall provide him or her with a copy of the records disclosed; and
- (2) If the parent of a student who is not an eligible student so requests, the agency or institution shall provide the student with a copy of the records disclosed.

(d) "Signed and dated written consent" under this part may include a record and signature in electronic form that—

- (1) Identifies and authenticates a particular person as the source of the electronic consent; and
- (2) Indicates such person's approval of the information contained in the electronic consent.

(Authority: 20 U.S.C. 1232g (b)(1) and (b)(2)(A))

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3189, Jan. 7, 1993; 69 FR 21671, Apr. 21, 2004]

### **§ 99.31 Under what conditions is prior consent not required to disclose information?**



(a) An educational agency or institution may disclose personally identifiable information from an education record of a student without the consent required by §99.30 if the disclosure meets one or more of the following conditions:

(1)(i)(A) The disclosure is to other school officials, including teachers, within the agency or institution whom the agency or institution has determined to have legitimate educational interests.

(B) A contractor, consultant, volunteer, or other party to whom an agency or institution has outsourced institutional services or functions may be considered a school official under this paragraph provided that the outside party—

( 1 ) Performs an institutional service or function for which the agency or institution would otherwise use employees;

( 2 ) Is under the direct control of the agency or institution with respect to the use and maintenance of education records; and

( 3 ) Is subject to the requirements of §99.33(a) governing the use and redisclosure of personally identifiable information from education records.

(ii) An educational agency or institution must use reasonable methods to ensure that school officials obtain access to only those education records in which they have legitimate educational interests. An educational agency or institution that does not use physical or technological access controls must ensure that its administrative policy for controlling access to education records is effective and that it remains in compliance with the legitimate educational interest requirement in paragraph (a)(1)(i)(A) of this section.

(2) The disclosure is, subject to the requirements of §99.34, to officials of another school, school system, or institution of postsecondary education where the student seeks or intends to enroll, or where the student is already enrolled so long as the disclosure is for purposes related to the student's enrollment

or transfer.

Note: Section 4155(b) of the No Child Left Behind Act of 2001, 20 U.S.C. 7165(b), requires each State to assure the Secretary of Education that it has a procedure in place to facilitate the transfer of disciplinary records with respect to a suspension or expulsion of a student by a local educational agency to any private or public elementary or secondary school in which the student is subsequently enrolled or seeks, intends, or is instructed to enroll.

(3) The disclosure is, subject to the requirements of §99.35, to authorized representatives of—

(i) The Comptroller General of the United States;

(ii) The Attorney General of the United States;

(iii) The Secretary; or

(iv) State and local educational authorities.

(4)(i) The disclosure is in connection with financial aid for which the student has applied or which the student has received, if the information is necessary for such purposes as to:

(A) Determine eligibility for the aid;

(B) Determine the amount of the aid;

(C) Determine the conditions for the aid; or

(D) Enforce the terms and conditions of the aid.

(ii) As used in paragraph (a)(4)(i) of this section, *financial aid* means a payment of funds provided to an individual (or a payment in kind of tangible or intangible property to the individual) that is conditioned on the individual's attendance at an educational agency or institution.

(Authority: 20 U.S.C. 1232g(b)(1)(D))

(5)(i) The disclosure is to State and local officials or authorities to whom this information is specifically—

(A) Allowed to be reported or disclosed pursuant to State statute adopted before November 19, 1974, if the allowed reporting or disclosure concerns the juvenile justice system and the system's ability to effectively serve the student whose records are released; or

(B) Allowed to be reported or disclosed pursuant to State statute adopted after November 19, 1974, subject to the requirements of §99.38.

(ii) Paragraph (a)(5)(i) of this section does not prevent a State from further limiting the number or type of State or local officials to whom disclosures may be made under that paragraph.

(6)(i) The disclosure is to organizations conducting studies for, or on behalf of, educational agencies or institutions to:

(A) Develop, validate, or administer predictive tests;

(B) Administer student aid programs; or

(C) Improve instruction.

(ii) An educational agency or institution may disclose information under paragraph (a)(6)(i) of this section only if—

(A) The study is conducted in a manner that does not permit personal identification of parents and students by individuals other than representatives of the organization that have legitimate interests in the

information;

(B) The information is destroyed when no longer needed for the purposes for which the study was conducted; and

(C) The educational agency or institution enters into a written agreement with the organization that—

( 1 ) Specifies the purpose, scope, and duration of the study or studies and the information to be disclosed;

( 2 ) Requires the organization to use personally identifiable information from education records only to meet the purpose or purposes of the study as stated in the written agreement;

( 3 ) Requires the organization to conduct the study in a manner that does not permit personal identification of parents and students, as defined in this part, by anyone other than representatives of the organization with legitimate interests;

and

( 4 ) Requires the organization to destroy or return to the educational agency or institution all personally identifiable information when the information is no longer needed for the purposes for which the study was conducted and specifies the time period in which the information must be returned or destroyed.

(iii) An educational agency or institution is not required to initiate a study or agree with or endorse the conclusions or results of the study.

(iv) If this Office determines that a third party outside the educational agency or institution to whom information is disclosed under this paragraph (a)(6) violates paragraph (a)(6)(ii)(B) of this section, the educational agency or institution may not allow that third party access to personally identifiable information from education records for at least five years.

(v) For the purposes of paragraph (a)(6) of this section, the term *organization* includes, but is not limited to, Federal, State, and local agencies, and independent organizations.

(7) The disclosure is to accrediting organizations to carry out their accrediting functions.

(8) The disclosure is to parents, as defined in §99.3, of a dependent student, as defined in section 152 of the Internal Revenue Code of 1986.

(9)(i) The disclosure is to comply with a judicial order or lawfully issued subpoena.

(ii) The educational agency or institution may disclose information under paragraph (a)(9)(i) of this section only if the agency or institution makes a reasonable effort to notify the parent or eligible student of the order or subpoena in advance of compliance, so that the parent or eligible student may seek protective action, unless the disclosure is in compliance with—

(A) A Federal grand jury subpoena and the court has ordered that the existence or the contents of the subpoena or the information furnished in response to the subpoena not be disclosed;

(B) Any other subpoena issued for a law enforcement purpose and the court or other issuing agency has ordered that the existence or the contents of the subpoena or the information furnished in response to the subpoena not be disclosed; or

(C) An *ex parte* court order obtained by the United States Attorney General (or designee not lower than an Assistant Attorney General) concerning investigations or prosecutions of an offense listed in 18 U.S.C. 2332b(g)(5)(B) or an act of domestic or international terrorism as defined in 18 U.S.C. 2331.

(iii)(A) If an educational agency or institution initiates legal action against a parent or student, the educational agency or institution may disclose to the court, without a court order or subpoena, the education records of the student that are relevant for the educational agency or institution to proceed with the legal action as plaintiff.

(B) If a parent or eligible student initiates legal action against an educational agency or institution, the

educational agency or institution may disclose to the court, without a court order or subpoena, the student's education records that are relevant for the educational agency or institution to defend itself.

(10) The disclosure is in connection with a health or safety emergency, under the conditions described in §99.36.

(11) The disclosure is information the educational agency or institution has designated as "directory information", under the conditions described in §99.37.

(12) The disclosure is to the parent of a student who is not an eligible student or to the student.

(13) The disclosure, subject to the requirements in §99.39, is to a victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense. The disclosure may only include the final results of the disciplinary proceeding conducted by the institution of postsecondary education with respect to that alleged crime or offense. The institution may disclose the final results of the disciplinary proceeding, regardless of whether the institution concluded a violation was committed.

(14)(i) The disclosure, subject to the requirements in §99.39, is in connection with a disciplinary proceeding at an institution of postsecondary education. The institution must not disclose the final results of the disciplinary proceeding unless it determines that—

(A) The student is an alleged perpetrator of a crime of violence or non-forcible sex offense; and

(B) With respect to the allegation made against him or her, the student has committed a violation of the institution's rules or policies.

(ii) The institution may not disclose the name of any other student, including a victim or witness, without the prior written consent of the other student.

(iii) This section applies only to disciplinary proceedings in which the final results were reached on or after October 7, 1998.

(15)(i) The disclosure is to a parent of a student at an institution of postsecondary education regarding the student's violation of any Federal, State, or local law, or of any rule or policy of the institution, governing the use or possession of alcohol or a controlled substance if—

(A) The institution determines that the student has committed a disciplinary violation with respect to that use or possession; and

(B) The student is under the age of 21 at the time of the disclosure to the parent.

(ii) Paragraph (a)(15) of this section does not supersede any provision of State law that prohibits an institution of postsecondary education from disclosing information.

(16) The disclosure concerns sex offenders and other individuals required to register under section 170101 of the Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 14071, and the information was provided to the educational agency or institution under 42 U.S.C. 14071 and applicable Federal guidelines.

(b)(1) *De-identified records and information.* An educational agency or institution, or a party that has received education records or information from education records under this part, may release the records or information without the consent required by §99.30 after the removal of all personally identifiable information provided that the educational agency or institution or other party has made a reasonable determination that a student's identity is not personally identifiable, whether through single or multiple releases, and taking into account other reasonably available information.

(2) An educational agency or institution, or a party that has received education records or information from education records under this part, may release de-identified student level data from education records for the purpose of education research by attaching a code to each record that may allow the recipient to match information received from the same source, provided that—

(i) An educational agency or institution or other party that releases de-identified data under paragraph (b)(2) of this section does not disclose any information about how it generates and assigns a record code, or that would allow a recipient to identify a student based on a record code;

(ii) The record code is used for no purpose other than identifying a de-identified record for purposes of education research and cannot be used to ascertain personally identifiable information about a student; and

(iii) The record code is not based on a student's social security number or other personal information.

(c) An educational agency or institution must use reasonable methods to identify and authenticate the identity of parents, students, school officials, and any other parties to whom the agency or institution discloses personally identifiable information from education records.

(d) Paragraphs (a) and (b) of this section do not require an educational agency or institution or any other party to disclose education records or information from education records to any party except for parties under paragraph (a)(12) of this section.

(Authority: 20 U.S.C. 1232g(a)(5)(A), (b), (h), (i), and (j)).

[53 FR 11943, Apr. 11, 1988; 53 FR 19368, May 27, 1988, as amended at 58 FR 3189, Jan. 7, 1993; 61 FR 59296, Nov. 21, 1996; 65 FR 41853, July 6, 2000; 73 FR 74852, Dec. 9, 2008; 74 FR 401, Jan. 6, 2009]

### **§ 99.32 What recordkeeping requirements exist concerning requests and disclosures?**



(a)(1) An educational agency or institution must maintain a record of each request for access to and each disclosure of personally identifiable information from the education records of each student, as well as the names of State and local educational authorities and Federal officials and agencies listed in §99.31(a)(3) that may make further disclosures of personally identifiable information from the student's education records without consent under §99.33(b).

(2) The agency or institution shall maintain the record with the education records of the student as long as the records are maintained.

(3) For each request or disclosure the record must include:

(i) The parties who have requested or received personally identifiable information from the education records; and

(ii) The legitimate interests the parties had in requesting or obtaining the information.

(4) An educational agency or institution must obtain a copy of the record of further disclosures maintained under paragraph (b)(2) of this section and make it available in response to a parent's or eligible student's request to review the record required under paragraph (a)(1) of this section.

(5) An educational agency or institution must record the following information when it discloses personally identifiable information from education records under the health or safety emergency exception in §99.31(a)(10) and §99.36:

(i) The articulable and significant threat to the health or safety of a student or other individuals that formed the basis for the disclosure; and

(ii) The parties to whom the agency or institution disclosed the information.

(b)(1) Except as provided in paragraph (b)(2) of this section, if an educational agency or institution discloses personally identifiable information from education records with the understanding authorized under §99.33(b), the record of the disclosure required under this section must include:

(i) The names of the additional parties to which the receiving party may disclose the information on behalf of the educational agency or institution; and

(ii) The legitimate interests under §99.31 which each of the additional parties has in requesting or obtaining the information.



(2)(i) A State or local educational authority or Federal official or agency listed in §99.31(a)(3) that makes further disclosures of information from education records under §99.33(b) must record the names of the additional parties to which it discloses information on behalf of an educational agency or institution and their legitimate interests in the information under §99.31 if the information was received from:

(A) An educational agency or institution that has not recorded the further disclosures under paragraph (b)(1) of this section; or

(B) Another State or local educational authority or Federal official or agency listed in §99.31(a)(3).

(ii) A State or local educational authority or Federal official or agency that records further disclosures of information under paragraph (b)(2)(i) of this section may maintain the record by the student's class, school, district, or other appropriate grouping rather than by the name of the student.

(iii) Upon request of an educational agency or institution, a State or local educational authority or Federal official or agency listed in §99.31(a)(3) that maintains a record of further disclosures under paragraph (b)(2)(i) of this section must provide a copy of the record of further disclosures to the educational agency or institution within a reasonable period of time not to exceed 30 days.

(c) The following parties may inspect the record relating to each student:

(1) The parent or eligible student.

(2) The school official or his or her assistants who are responsible for the custody of the records.

(3) Those parties authorized in §99.31(a)(1) and (3) for the purposes of auditing the recordkeeping procedures of the educational agency or institution.

(d) Paragraph (a) of this section does not apply if the request was from, or the disclosure was to:

(1) The parent or eligible student;

(2) A school official under §99.31(a)(1);

(3) A party with written consent from the parent or eligible student;

(4) A party seeking directory information; or

(5) A party seeking or receiving records in accordance with §99.31(a)(9)(ii)(A) through (C).

(Approved by the Office of Management and Budget under control number 1880-0508)

(Authority: 20 U.S.C. 1232g(b)(1) and (b)(4)(A))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59297, Nov. 21, 1996; 73 FR 74853, Dec. 9, 2008]

### § 99.33 What limitations apply to the redisclosure of information?



(a)(1) An educational agency or institution may disclose personally identifiable information from an education record only on the condition that the party to whom the information is disclosed will not disclose the information to any other party without the prior consent of the parent or eligible student.

(2) The officers, employees, and agents of a party that receives information under paragraph (a)(1) of this section may use the information, but only for the purposes for which the disclosure was made.

(b)(1) Paragraph (a) of this section does not prevent an educational agency or institution from disclosing personally identifiable information with the understanding that the party receiving the information may make further disclosures of the information on behalf of the educational agency or institution if—

- (i) The disclosures meet the requirements of §99.31; and
  - (ii)(A) The educational agency or institution has complied with the requirements of §99.32(b); or
  - (B) A State or local educational authority or Federal official or agency listed in §99.31(a)(3) has complied with the requirements of §99.32(b)(2).
- (2) A party that receives a court order or lawfully issued subpoena and rediscloses personally identifiable information from education records on behalf of an educational agency or institution in response to that order or subpoena under §99.31(a)(9) must provide the notification required under §99.31(a)(9)(ii).
- (c) Paragraph (a) of this section does not apply to disclosures under §§99.31(a)(8), (9), (11), (12), (14), (15), and (16), and to information that postsecondary institutions are required to disclose under the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 U.S.C. 1092(f) (Clery Act), to the accuser and accused regarding the outcome of any campus disciplinary proceeding brought alleging a sexual offense.
- (d) An educational agency or institution must inform a party to whom disclosure is made of the requirements of paragraph (a) of this section except for disclosures made under §§99.31(a)(8), (9), (11), (12), (14), (15), and (16), and to information that postsecondary institutions are required to disclose under the Clery Act to the accuser and accused regarding the outcome of any campus disciplinary proceeding brought alleging a sexual offense.
- (e) If this Office determines that a third party outside the educational agency or institution improperly rediscloses personally identifiable information from education records in violation of this section, or fails to provide the notification required under paragraph (b)(2) of this section, the educational agency or institution may not allow that third party access to personally identifiable information from education records for at least five years.

(Authority: 20 U.S.C. 1232g(b)(4)(B))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59297, Nov. 21, 1996; 65 FR 41853, July 6, 2000; 73 FR 74853, Dec. 9, 2008]

### **§ 99.34 What conditions apply to disclosure of information to other educational agencies or institutions?**



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- (a) An educational agency or institution that discloses an education record under §99.31(a)(2) shall:
  - (1) Make a reasonable attempt to notify the parent or eligible student at the last known address of the parent or eligible student, unless:
    - (i) The disclosure is initiated by the parent or eligible student; or
    - (ii) The annual notification of the agency or institution under §99.7 includes a notice that the agency or institution forwards education records to other agencies or institutions that have requested the records and in which the student seeks or intends to enroll or is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer;
  - (2) Give the parent or eligible student, upon request, a copy of the record that was disclosed; and
  - (3) Give the parent or eligible student, upon request, an opportunity for a hearing under subpart C.
- (b) An educational agency or institution may disclose an education record of a student in attendance to another educational agency or institution if:
  - (1) The student is enrolled in or receives services from the other agency or institution; and
  - (2) The disclosure meets the requirements of paragraph (a) of this section.

(Authority: 20 U.S.C. 1232g(b)(1)(B))

[53 FR 11943, Apr. 11, 1988, as amended at 61 FR 59297, Nov. 21, 1996; 73 FR 74854, Dec. 9, 2008]

### **§ 99.35 What conditions apply to disclosure of information for Federal or State program purposes?**



(a)(1) Authorized representatives of the officials or agencies headed by officials listed in §99.31(a)(3) may have access to education records in connection with an audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs.

(2) Authority for an agency or official listed in §99.31(a)(3) to conduct an audit, evaluation, or compliance or enforcement activity is not conferred by the Act or this part and must be established under other Federal, State, or local authority.

(b) Information that is collected under paragraph (a) of this section must:

(1) Be protected in a manner that does not permit personal identification of individuals by anyone other than the officials or agencies headed by officials referred to in paragraph (a) of this section, except that those officials and agencies may make further disclosures of personally identifiable information from education records on behalf of the educational agency or institution in accordance with the requirements of §99.33(b); and

(2) Be destroyed when no longer needed for the purposes listed in paragraph (a) of this section.

(c) Paragraph (b) of this section does not apply if:

(1) The parent or eligible student has given written consent for the disclosure under §99.30; or

(2) The collection of personally identifiable information is specifically authorized by Federal law.

(Authority: 20 U.S.C. 1232g(b)(3))

[53 FR 11943, Apr. 11, 1988, as amended at 73 FR 74854, Dec. 9, 2008]

### **§ 99.36 What conditions apply to disclosure of information in health and safety emergencies?**



(a) An educational agency or institution may disclose personally identifiable information from an education record to appropriate parties, including parents of an eligible student, in connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student or other individuals.

(b) Nothing in this Act or this part shall prevent an educational agency or institution from—

(1) Including in the education records of a student appropriate information concerning disciplinary action taken against the student for conduct that posed a significant risk to the safety or well-being of that student, other students, or other members of the school community;

(2) Disclosing appropriate information maintained under paragraph (b)(1) of this section to teachers and school officials within the agency or institution who the agency or institution has determined have legitimate educational interests in the behavior of the student; or

(3) Disclosing appropriate information maintained under paragraph (b)(1) of this section to teachers and school officials in other schools who have been determined to have legitimate educational interests in the behavior of the student.

(c) In making a determination under paragraph (a) of this section, an educational agency or institution may take into account the totality of the circumstances pertaining to a threat to the health or safety of a student or other individuals. If the educational agency or institution determines that there is an articulable and significant threat to the health or safety of a student or other individuals, it may disclose information from education records to any person whose knowledge of the information is necessary to protect the health or safety of the student or other individuals. If, based on the information available at the time of the determination, there is a rational basis for the determination, the Department will not substitute its judgment for that of the educational agency or institution in evaluating the circumstances and making its determination.

(Authority: 20 U.S.C. 1232g (b)(1)(l) and (h))

[53 FR 11943, Apr. 11, 1988; 53 FR 19368, May 27, 1988, as amended at 61 FR 59297, Nov. 21, 1996; 73 FR 74854, Dec. 9, 2008]

### § 99.37 What conditions apply to disclosing directory information?

 [top](#)

(a) An educational agency or institution may disclose directory information if it has given public notice to parents of students in attendance and eligible students in attendance at the agency or institution of:

- (1) The types of personally identifiable information that the agency or institution has designated as directory information;
- (2) A parent's or eligible student's right to refuse to let the agency or institution designate any or all of those types of information about the student as directory information; and
- (3) The period of time within which a parent or eligible student has to notify the agency or institution in writing that he or she does not want any or all of those types of information about the student designated as directory information.

(b) An educational agency or institution may disclose directory information about former students without complying with the notice and opt out conditions in paragraph (a) of this section. However, the agency or institution must continue to honor any valid request to opt out of the disclosure of directory information made while a student was in attendance unless the student rescinds the opt out request.

(c) A parent or eligible student may not use the right under paragraph (a)(2) of this section to opt out of directory information disclosures to prevent an educational agency or institution from disclosing or requiring a student to disclose the student's name, identifier, or institutional e-mail address in a class in which the student is enrolled.

(d) An educational agency or institution may not disclose or confirm directory information without meeting the written consent requirements in §99.30 if a student's social security number or other non-directory information is used alone or combined with other data elements to identify or help identify the student or the student's records.

(Authority: 20 U.S.C. 1232g(a)(5) (A) and (B))

[53 FR 11943, Apr. 11, 1988, as amended at 73 FR 74854, Dec. 9, 2008]

### § 99.38 What conditions apply to disclosure of information as permitted by State statute adopted after November 19, 1974, concerning the juvenile justice system?

 [top](#)

(a) If reporting or disclosure allowed by State statute concerns the juvenile justice system and the system's ability to effectively serve, prior to adjudication, the student whose records are released, an educational agency or institution may disclose education records under §99.31(a)(5)(i)(B).

(b) The officials and authorities to whom the records are disclosed shall certify in writing to the educational agency or institution that the information will not be disclosed to any other party, except as

provided under State law, without the prior written consent of the parent of the student.

(Authority: 20 U.S.C. 1232g(b)(1)(J))

[61 FR 59297, Nov. 21, 1996]

**§ 99.39 What definitions apply to the nonconsensual disclosure of records by postsecondary educational institutions in connection with disciplinary proceedings concerning crimes of violence or non-forcible sex offenses?**



As used in this part:

*Alleged perpetrator of a crime of violence* is a student who is alleged to have committed acts that would, if proven, constitute any of the following offenses or attempts to commit the following offenses that are defined in appendix A to this part:

Arson

Assault offenses

Burglary

Criminal homicide—manslaughter by negligence

Criminal homicide—murder and nonnegligent manslaughter

Destruction/damage/vandalism of property

Kidnapping/abduction

Robbery

Forcible sex offenses.

*Alleged perpetrator of a nonforcible sex offense* means a student who is alleged to have committed acts that, if proven, would constitute statutory rape or incest. These offenses are defined in appendix A to this part.

*Final results* means a decision or determination, made by an honor court or council, committee, commission, or other entity authorized to resolve disciplinary matters within the institution. The disclosure of final results must include only the name of the student, the violation committed, and any sanction imposed by the institution against the student.

*Sanction imposed* means a description of the disciplinary action taken by the institution, the date of its imposition, and its duration.

*Violation committed* means the institutional rules or code sections that were violated and any essential findings supporting the institution's conclusion that the violation was committed.

(Authority: 20 U.S.C. 1232g(b)(6))

[65 FR 41853, July 6, 2000]

**Subpart E—What Are the Enforcement Procedures?**



**§ 99.60 What functions has the Secretary delegated to the Office and to the Office of Administrative Law Judges?**

(a) For the purposes of this subpart, *Office* means the Family Policy Compliance Office, U.S. Department of Education.

(b) The Secretary designates the Office to:

- (1) Investigate, process, and review complaints and violations under the Act and this part; and
- (2) Provide technical assistance to ensure compliance with the Act and this part.

(c) The Secretary designates the Office of Administrative Law Judges to act as the Review Board required under the Act to enforce the Act with respect to all applicable programs. The term *applicable program* is defined in section 400 of the General Education Provisions Act.

(Authority: 20 U.S.C. 1232g (f) and (g), 1234)

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3189, Jan. 7, 1993]

**§ 99.61 What responsibility does an educational agency or institution have concerning conflict with State or local laws?**

If an educational agency or institution determines that it cannot comply with the Act or this part due to a conflict with State or local law, it shall notify the Office within 45 days, giving the text and citation of the conflicting law.

(Authority: 20 U.S.C. 1232g(f))

**§ 99.62 What information must an educational agency or institution submit to the Office?**

The Office may require an educational agency or institution to submit reports, information on policies and procedures, annual notifications, training materials, and other information necessary to carry out its enforcement responsibilities under the Act or this part.

(Authority: 20 U.S.C. 1232g(f) and (g))

[73 FR 74854, Dec. 9, 2008]

**§ 99.63 Where are complaints filed?**

A parent or eligible student may file a written complaint with the Office regarding an alleged violation under the Act and this part. The Office's address is: Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202.

(Authority: 20 U.S.C. 1232g(g))

[65 FR 41854, July 6, 2000, as amended at 73 FR 74854, Dec. 9, 2008]

**§ 99.64 What is the investigation procedure?**

(a) A complaint must contain specific allegations of fact giving reasonable cause to believe that a violation of the Act or this part has occurred. A complaint does not have to allege that a violation is based on a policy or practice of the educational agency or institution.

(b) The Office investigates a timely complaint filed by a parent or eligible student, or conducts its own investigation when no complaint has been filed or a complaint has been withdrawn, to determine whether an educational agency or institution has failed to comply with a provision of the Act or this part. If the Office determines that an educational agency or institution has failed to comply with a provision of the Act or this part, it may also determine whether the failure to comply is based on a policy or practice of the agency or institution

(c) A timely complaint is defined as an allegation of a violation of the Act that is submitted to the Office within 180 days of the date of the alleged violation or of the date that the complainant knew or reasonably should have known of the alleged violation.

(d) The Office may extend the time limit in this section for good cause shown.

(Authority: 20 U.S.C. 1232g(f))

[53 FR 11943, Apr. 11, 1988, as amended at 58 FR 3189, Jan. 7, 1993; 65 FR 41854, July 6, 2000; 73 FR 74854, Dec. 9, 2008]

**§ 99.65 What is the content of the notice of investigation issued by the Office?**

(a) The Office notifies the complainant, if any, and the educational agency or institution in writing if it initiates an investigation under §99.64(b). The notice to the educational agency or institution—

(1) Includes the substance of the allegations against the educational agency or institution; and

(2) Directs the agency or institution to submit a written response and other relevant information, as set forth in §99.62, within a specified period of time, including information about its policies and practices regarding education records.

(b) The Office notifies the complainant if it does not initiate an investigation because the complaint fails to meet the requirements of §99.64.

(Authority: 20 U.S.C. 1232g(g))

[73 FR 74855, Dec. 9, 2008]

**§ 99.66 What are the responsibilities of the Office in the enforcement process?**

(a) The Office reviews a complaint, if any, information submitted by the educational agency or institution, and any other relevant information. The Office may permit the parties to submit further written or oral arguments or information.

(b) Following its investigation, the Office provides to the complainant, if any, and the educational agency or institution a written notice of its findings and the basis for its findings.

(c) If the Office finds that an educational agency or institution has not complied with a provision of the Act or this part, it may also find that the failure to comply was based on a policy or practice of the agency or institution. A notice of findings issued under paragraph (b) of this section to an educational agency or

institution that has not complied with a provision of the Act or this part—

- (1) Includes a statement of the specific steps that the agency or institution must take to comply; and
- (2) Provides a reasonable period of time, given all of the circumstances of the case, during which the educational agency or institution may comply voluntarily.

(Authority: 20 U.S.C. 1232g(f))

[53 FR 11943, Apr. 11, 1988, as amended at 73 FR 74855, Dec. 9, 2008]

### § 99.67 How does the Secretary enforce decisions?



(a) If an educational agency or institution does not comply during the period of time set under §99.66(c), the Secretary may take any legally available enforcement action in accordance with the Act, including, but not limited to, the following enforcement actions available in accordance with part E of the General Education Provisions Act—

- (1) Withhold further payments under any applicable program;
- (2) Issue a complaint to compel compliance through a cease-and-desist order; or
- (3) Terminate eligibility to receive funding under any applicable program.

(b) If, after an investigation under §99.66, the Secretary finds that an educational agency or institution has complied voluntarily with the Act or this part, the Secretary provides the complainant and the agency or institution written notice of the decision and the basis for the decision.

(Note: 34 CFR part 78 contains the regulations of the Education Appeal Board)

(Authority: 20 U.S.C. 1232g(f); 20 U.S.C. 1234)

[53 FR 11943, Apr. 11, 1988; 53 FR 19368, May 27, 1988, as amended at 58 FR 3189, Jan. 7, 1993; 73 FR 74855, Dec. 9, 2008]

### Appendix A to Part 99—Crimes of Violence Definitions



#### Arson

Any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.

#### Assault Offenses

An unlawful attack by one person upon another.

Note: By definition there can be no "attempted" assaults, only "completed" assaults.

(a) *Aggravated Assault.* An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in serious injury if the crime were successfully completed.)

(b) *Simple Assault.* An unlawful physical attack by one person upon another where neither the offender



displays a weapon, nor the victim suffers obvious severe or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.

(c) *Intimidation*. To unlawfully place another person in reasonable fear of bodily harm through the use of threatening words or other conduct, or both, but without displaying a weapon or subjecting the victim to actual physical attack.

Note: This offense includes stalking.

#### Burglary

The unlawful entry into a building or other structure with the intent to commit a felony or a theft.

#### Criminal Homicide—Manslaughter by Negligence

The killing of another person through gross negligence.

#### Criminal Homicide—Murder and Nonnegligent Manslaughter

The willful (nonnegligent) killing of one human being by another.

#### Destruction/Damage/Vandalism of Property

To willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.

#### Kidnapping/Abduction

The unlawful seizure, transportation, or detention of a person, or any combination of these actions, against his or her will, or of a minor without the consent of his or her custodial parent(s) or legal guardian.

Note: Kidnapping/Abduction includes hostage taking.

#### Robbery

The taking of, or attempting to take, anything of value under confrontational circumstances from the control, custody, or care of a person or persons by force or threat of force or violence or by putting the victim in fear.

Note: Carjackings are robbery offenses where a motor vehicle is taken through force or threat of force.

#### Sex Offenses, Forcible

Any sexual act directed against another person, forcibly or against that person's will, or both; or not forcibly or against the person's will where the victim is incapable of giving consent.

(a) *Forcible Rape* (Except "Statutory Rape"). The carnal knowledge of a person, forcibly or against that person's will, or both; or not forcibly or against the person's will where the victim is incapable of giving consent because of his or her temporary or permanent mental or physical incapacity (or because of his or her youth).

(b) *Forcible Sodomy*. Oral or anal sexual intercourse with another person, forcibly or against that person's will, or both; or not forcibly or against the person's will where the victim is incapable of giving consent because of his or her youth or because of his or her temporary or permanent mental or physical incapacity.

(c) *Sexual Assault With An Object*. To use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, forcibly or against that person's will, or both; or not forcibly or against the person's will where the victim is incapable of giving consent because of his or her youth or because of his or her temporary or permanent mental or physical incapacity.

Note: An "object" or "instrument" is anything used by the offender other than the offender's genitalia. Examples are a finger, bottle, handgun, stick, etc.

(d) *Forcible Fondling*. The touching of the private body parts of another person for the purpose of sexual gratification, forcibly or against that person's will, or both; or not forcibly or against the person's will where the victim is incapable of giving consent because of his or her youth or because of his or her temporary or permanent mental or physical incapacity.

Note: Forcible Fondling includes "Indecent Liberties" and "Child Molesting."

Nonforcible Sex Offenses (Except "Prostitution Offenses")

Unlawful, nonforcible sexual intercourse.

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

(b) *Statutory Rape*. Nonforcible sexual intercourse with a person who is under the statutory age of consent.

(Authority: 20 U.S.C. 1232g(b)(6) and 18 U.S.C. 16)

[65 FR 41854, July 6, 2000]

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**University of Maine System**

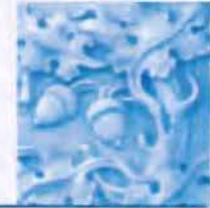
*Ratio Analysis*

January 5, 2010

KPMG LLP

**Presented by:**  
Renee Bourget-Place

AUDIT • TAX • ADVISORY



## Core Financial Ratios and Composite Financial Index

The following ratios and related benchmarks are derived from Strategic Financial Analysis for Higher Education, Sixth Edition published by KPMG, Prager, Sealy & Co., LLC, and BearingPoint. This book is widely used in the higher education industry and the most recent edition includes guidance specifically for public institutions of higher education.

The following four core ratios help answer these key questions:

- **Primary Reserve Ratio**

Are the resources sufficient and flexible enough to support the University's mission? This ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable reserves without relying on additional net assets generated by operations.

Ratio of 40% (provides about 5 months of expenses) or better is advisable to give institutions the flexibility to manage the enterprise.

- **Net Operating Revenues Ratio**

Do the operating results indicate that the University is living within available resources? A positive ratio indicates that the institution experienced an operating surplus for the year.

A target of at least 2% to 4% is a goal over an extended time period, although the target will likely vary from year to year. A key for institutions establishing a benchmark for this ratio would first be the anticipated institutional growth in total expenses.

- **Return on Net Assets**

Does financial asset performance support the strategic direction of the University? Institutions should establish a real rate of return target in the range of approximately 3% to 4%. The real return plus the actual inflation index, either the Consumer Price Index (CPI) or the Higher Education Price Index (HEPI), published by Research Associates in Washington, D.C., will provide the nominal rate of return.

- **Viability Ratio**

Is debt managed strategically to advance the University's mission? Analysis of financial statements over the past three fiscal years indicates that this ratio should fall between 1.25x and 2.00x, and higher for the strongest creditworthy institutions.

When combined, these four ratios deliver a single measure of the overall financial health of the University, hereafter referred to as the Composite Financial Index.

The ratios are calculated as follows:

$$\frac{\text{Primary Reserve Ratio}}{\text{Expendable Net Assets}} \\ \text{Total Expenses}$$

*Net Operating Revenues Ratio*

$$\frac{\text{Operating Income (Loss) plus Net Non-Operating Revenues}}{\text{Operating Revenues plus Non-Operating}}$$

$$\frac{\text{Return on Net Assets}}{\text{Change in Net Assets}} \\ \text{Total Net Assets}$$

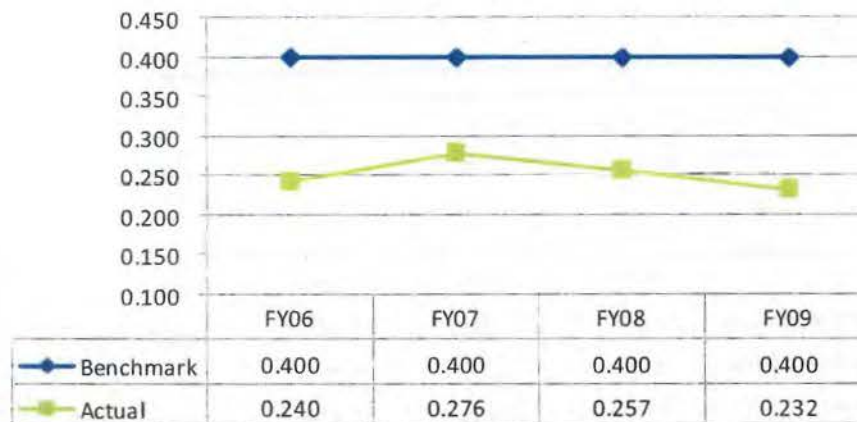
$$\frac{\text{Viability Ratio}}{\text{Expendable Net Assets}} \\ \text{Long-Term Debt}$$





## Primary Reserve Ratio – Expendable Net Assets to Total Expenses

Primary Reserve Ratio



- This ratio indicates the ability of the University to support current level of operations from expendable resources, without considering revenues generated from operations. A benchmark of 40% or better is considered an advisable reserve.
- Components:

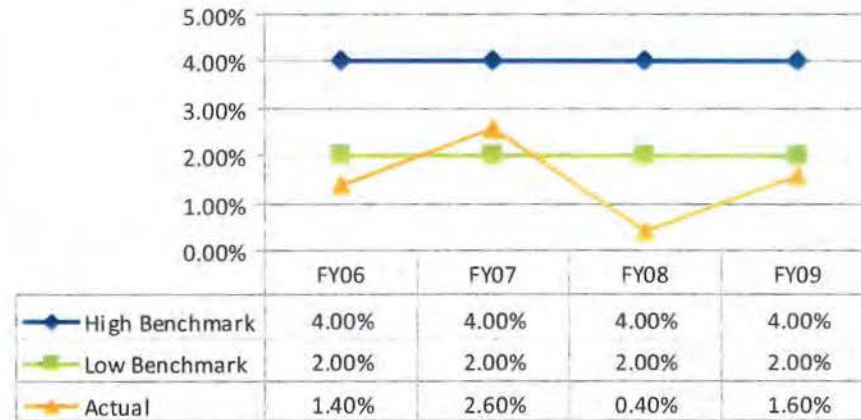
	2006	2007	2008	2009
Expendable net assets *	\$ 143,129	168,618	167,168	152,055
Expenses	\$ 596,327	610,265	651,158	656,400

\* Excludes expendable net assets restricted for capital



## Net Operating Revenues Ratio – *Operating Income (Loss) Plus Net Non-Operating Income to Operating Revenues Plus Non-Operating Revenues*

**Net Operating Revenues Ratio**



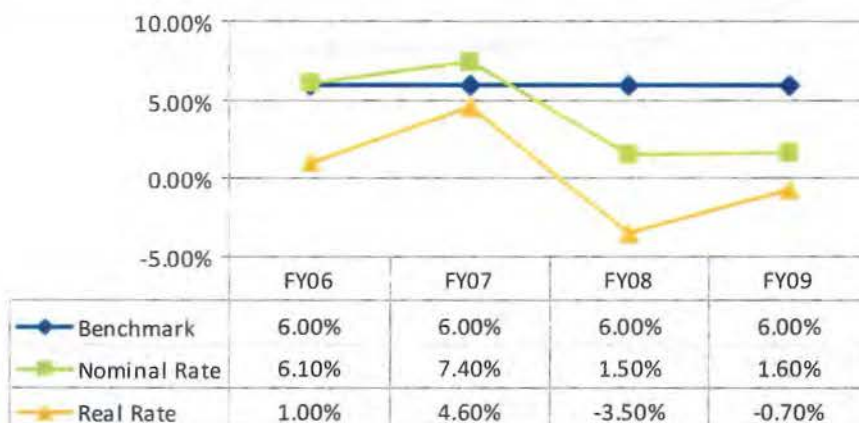
- A positive ratio indicates the University lived within its means during the year. Generally, the larger the surplus, the stronger the institution's financial performance as a result of the current year's activity.
- Components:

	2006	2007	2008	2009
Operating income (loss) plus net non-operating revenues	\$ 8,232	16,193	2,499	10,825
Operating revenues plus non-operating revenues	\$ 604,559	626,458	653,657	667,225



## Return on Net Assets Ratio – Change in Net Assets to Total Net Assets

Return on Net Assets Ratio



- This ratio measures whether the University is financially better off by measuring total economic return – the return on net assets that occurred as a result of the University's activities.
- The nominal rate of return on net assets is the actual return calculated/unadjusted for inflation or other factors. The real rate of return adjusts the nominal rate for the effects of inflation using the Higher Education Price Index.
- Components:

	2006	2007	2008	2009
Change in total net assets	\$ 33,875	43,290	9,432	10,245
Total net assets (beginning of year)	\$554,663	588,538	631,828	641,260





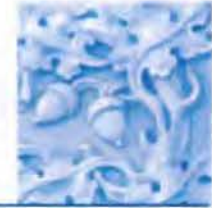
## Viability Ratio – Expendable Net Assets to Long-Term Debt



- This ratio measures one of the most basic determinants of clear financial health – the availability of expendable net assets to cover debt should the University need to settle its obligations. A ratio of 1.25 or greater indicates the University has sufficient reserves to satisfy all liabilities, including long-term debt.
- Components:

	2006	2007	2008	2009
Expendable net assets*	\$143,129	168,618	167,168	152,055
Long-term debt	\$ 196,384	223,779	217,529	212,185

\* Excludes expendable net assets restricted for capital



## Computing the Composite Financial Index – *Overview of Methodology*

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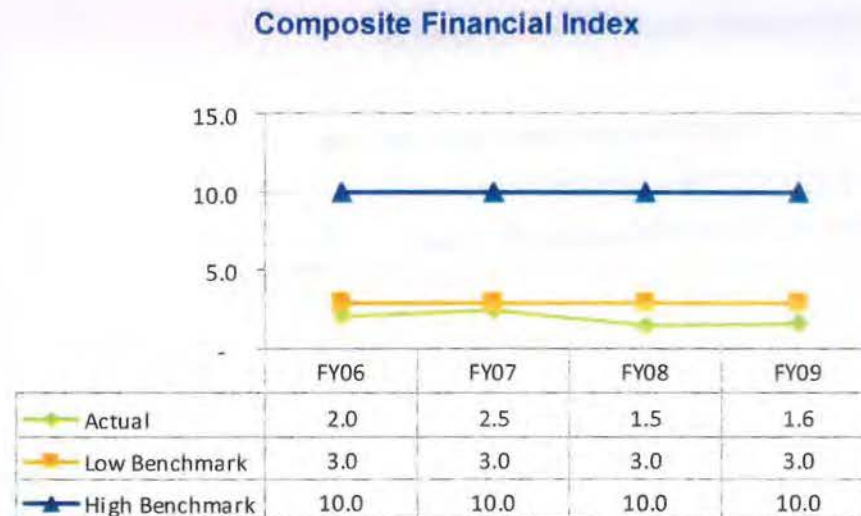
The methodology is an arithmetic means of combining different but complementary measures (the four ratios previously displayed) of fundamental elements of financial health to yield a single measure (the composite financial index) representing an institution's overall financial health.

Under the methodology, the composite financial index (CFI) is calculated by:

- Determining the value of each ratio;
- Converting the value of each ratio to strength factors along a common scale;
- Strength factors are then multiplied by specific weighting factors; and
- The resulting four numbers are totaled to reach the single CFI score.

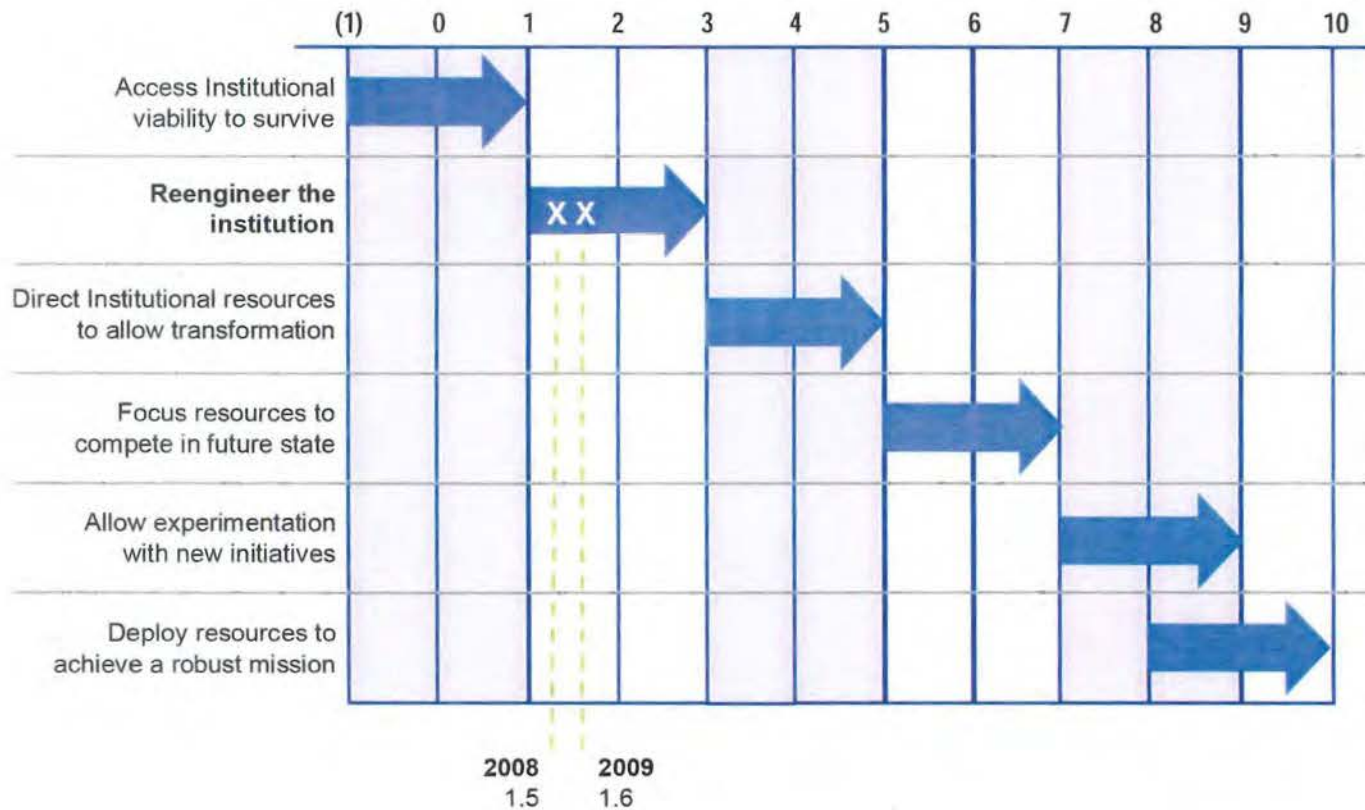
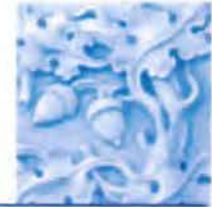


## Composite Financial Index – Trend



- These scores do not have absolute precision. They are indicators of ranges of financial health that can be indicators of overall institutional well-being, when combined with nonfinancial indicators. This would be consistent with the fact that there are a large number of variables that can impact an institution and influence the results of these ratios. However, the ranges do have enough precision to be indicators of the institutional financial health, and the CFI as well as its trend line, over a period of time, can be the single most important measure of the financial health for the institution.

# Scale for Charting – Composite Financial Index Performance





## OPENING FALL HEADCOUNT ENROLLMENT

	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009
UM	9,945	10,282	10,698	11,135	11,222	11,358	11,435	11,797	11,912	11,818	11,867
UMA	5,612	5,617	5,575	5,722	5,943	5,538	5,494	5,257	5,101	4,974	5,054
UMF	2,479	2,413	2,435	2,395	2,420	2,349	2,452	2,424	2,265	2,227	2,238
UMFK	926	886	897	827	924	1,076	1,193	1,339	1,269	1,102	1,126
UMM	908	927	1,017	1,068	1,313	1,191	1,149	1,259	1,093	1,023	964
UMPI	1,378	1,427	1,367	1,560	1,546	1,652	1,548	1,655	1,533	1,455	1,436
USM	10,645	10,820	10,966	11,382	11,007	11,089	10,974	10,478	10,453	10,009	9,655
<b>TOTAL</b>	<b>31,893</b>	<b>32,372</b>	<b>32,955</b>	<b>34,089</b>	<b>34,375</b>	<b>34,253</b>	<b>34,245</b>	<b>34,209</b>	<b>33,626</b>	<b>32,608</b>	<b>32,340</b>

## OPENING FALL FTE ENROLLMENT\*

	1999	2000	2001	2002	2003	2004	2005	2006**	2007**	2008**	2009**
UM	7,719	7,980	8,335	8,665	8,923	9,054	9,204	9,401	9,548	9,620	9,653
UMA	2,736	2,706	2,690	2,769	2,936	2,806	2,759	2,689	2,637	2,639	2,776
UMF	2,105	2,123	2,117	2,093	2,116	2,087	2,149	2,126	2,002	1,964	1,954
UMFK	729	731	694	708	779	907	919	954	910	753	733
UMM	606	605	653	680	754	666	626	617	581	575	561
UMPI	1,081	1,135	1,058	1,158	1,207	1,293	1,242	1,260	1,221	1,103	1,062
USM	6,496	6,658	6,844	7,296	7,223	7,305	7,348	7,180	7,157	7,035	6,971
<b>TOTAL</b>	<b>21,472</b>	<b>21,938</b>	<b>22,391</b>	<b>23,369</b>	<b>23,938</b>	<b>24,118</b>	<b>24,247</b>	<b>24,227</b>	<b>24,056</b>	<b>23,688</b>	<b>23,711</b>

\* The formula for calculating Fall FTE (for all campuses except UMF starting in Fall 2006) is as follows:

Fall Undergraduate Credit Hours/15 + Fall Professional (Law) Credit Hours/15 + Fall Graduate Credit Hours/9 = Fall FTE

\*\*UMF: Fall Undergraduate Credit Hours/16 + Fall Graduate Credit Hours/9 = Fall FTE

UNIVERSITY OF MAINE SYSTEM  
2009/2010 ACTUAL ANNUAL ENROLLMENT

	Credit Hours				FTE			
	Summer 2009	Fall 2009	Spring 2010	Annual	Summer 2009	Fall 2009	Spring 2010	Annual
UM								
Undergraduate	11,883.8	123,992.3		135,876.0	792.3	8,266.2	0.0	4,529.2
Graduate	4,889.5	12,484.8		17,374.3	543.3	1,387.2	0.0	965.2
Total	16,773.3	136,477.0	0.0	153,250.3	1,335.5	9,653.3	0.0	5,494.4
UMA								
Undergraduate	9,168.0	41,645.5		50,813.5	611.2	2,776.4	0.0	1,693.8
Graduate	0.0	0.0		0.0	0.0	0.0	0.0	0.0
Total	9,168.0	41,645.5	0.0	50,813.5	611.2	2,776.4	0.0	1,693.8
UMF								
Undergraduate	3,119.5	30,959.0		34,078.5	195.0	1,934.9	0.0	1,065.0
Graduate	126.5	173.5		300.0	14.1	19.3	0.0	16.7
Total	3,246.0	31,132.5	0.0	34,378.5	209.0	1,954.2	0.0	1,081.7
UMFK								
Undergraduate	3,751.0	10,995.0		14,746.0	250.1	733.0	0.0	491.5
Graduate	0.0	0.0		0.0	0.0	0.0	0.0	0.0
Total	3,751.0	10,995.0	0.0	14,746.0	250.1	733.0	0.0	491.5
UMM								
Undergraduate	1,745.0	8,418.5		10,163.5	116.3	561.2	0.0	338.8
Graduate	0.0	0.0		0.0	0.0	0.0	0.0	0.0
Total	1,745.0	8,418.5	0.0	10,163.5	116.3	561.2	0.0	338.8
UMPI								
Undergraduate	1,471.0	15,932.0		17,403.0	98.1	1,062.1	0.0	580.1
Graduate	0.0	0.0		0.0	0.0	0.0	0.0	0.0
Total	1,471.0	15,932.0	0.0	17,403.0	98.1	1,062.1	0.0	580.1
USM								
Undergraduate	14,551.0	82,368.5		96,919.5	970.1	5,491.2	0.0	3,230.7
Graduate	6,730.5	10,965.0		17,695.5	747.8	1,218.3	0.0	983.1
Law	264.0	3,923.0		4,187.0	17.6	261.5	0.0	139.6
Total	21,545.5	97,256.5	0.0	118,802.0	1,735.5	6,971.1	0.0	4,353.4
TOTAL								
Undergraduate	45,689.3	314,310.8	0.0	360,000.0	3,033.0	20,825.1	0.0	11,929.1
Graduate	11,746.5	23,623.3	0.0	35,369.8	1,305.2	2,624.8	0.0	1,965.0
Law	264.0	3,923.0	0.0	4,187.0	17.6	261.5	0.0	139.6
Total	57,699.8	341,857.0	0.0	399,556.8	4,355.7	23,711.4	0.0	14,033.7

NOTE: Undergraduate includes associate and non-degree.

Annual FTE = Annual Undergraduate Credit Hours/30 + Annual Graduate Credit Hours/18 + Annual Law Credit Hours/30  
Annual FTE = Annual Undergraduate Credit Hours/32 at UMF due to 4-credit curriculum beginning in FY2007

FTE enrollment may differ from official enrollment statistics due to rounding.

UNIVERSITY OF MAINE SYSTEM

2009/2010 BUDGETED ANNUAL ENROLLMENT

	Credit Hours				FTE			
	Summer 2009	Fall 2009	Spring 2010	Annual	Summer 2009	Fall 2009	Spring 2010	Annual
UM								
Undergraduate	11,123.0	118,304.0	110,865.0	240,292.0	741.5	7,886.9	7,391.0	8,009.7
Graduate	4,375.0	11,115.0	10,050.0	25,540.0	486.1	1,235.0	1,116.7	1,418.9
Total	15,498.0	129,419.0	120,915.0	265,832.0	1,227.6	9,121.9	8,507.7	9,428.6
UMA								
Undergraduate	8,269.0	39,634.0	37,701.0	85,604.0	551.3	2,642.3	2,513.4	2,853.5
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	8,269.0	39,634.0	37,701.0	85,604.0	551.3	2,642.3	2,513.4	2,853.5
UMF								
Undergraduate	2,643.0	29,953.0	27,219.0	59,815.0	165.2	1,872.1	1,701.2	1,869.2
Graduate	300.0	150.0	180.0	630.0	33.3	16.7	20.0	35.0
Total	2,943.0	30,103.0	27,399.0	60,445.0	198.5	1,888.8	1,721.2	1,904.2
UMFK								
Undergraduate	4,445.0	11,858.0	10,568.0	26,871.0	296.3	790.5	704.5	895.7
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	4,445.0	11,858.0	10,568.0	26,871.0	296.3	790.5	704.5	895.7
UMM								
Undergraduate	1,938.0	8,088.0	8,194.0	18,220.0	129.2	539.2	546.3	607.3
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	1,938.0	8,088.0	8,194.0	18,220.0	129.2	539.2	546.3	607.3
UMPI								
Undergraduate	869.0	15,643.0	14,162.0	30,674.0	57.9	1,042.9	944.1	1,022.5
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	869.0	15,643.0	14,162.0	30,674.0	57.9	1,042.9	944.1	1,022.5
USM								
Undergraduate	14,941.0	83,195.0	75,998.0	174,134.0	996.1	5,546.3	5,066.5	5,804.5
Graduate	7,101.0	11,001.0	10,985.0	29,087.0	789.0	1,222.3	1,220.6	1,815.9
Law	189.0	3,988.0	3,933.0	8,110.0	12.6	265.9	262.2	270.3
Total	22,231.0	98,184.0	90,916.0	211,331.0	1,797.7	7,034.5	6,549.3	7,690.7
TOTAL								
Undergraduate	44,228.0	306,675.0	284,707.0	635,610.0	2,937.5	20,320.2	18,867.0	21,062.4
Graduate	11,776.0	22,268.0	21,215.0	55,257.0	1,308.4	2,474.0	2,357.3	3,069.8
Law	189.0	3,988.0	3,933.0	8,110.0	12.6	265.9	262.2	270.3
Total	56,193.0	332,929.0	309,855.0	698,977.0	4,258.5	23,060.1	21,486.5	24,402.5

NOTE: Undergraduate includes associate and non-degree.

Annual FTE = Annual Undergraduate Credit Hours/30 + Annual Graduate Credit Hours/18 + Annual Law Credit Hours/30  
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FTE enrollment may differ from official enrollment statistics due to rounding.



UNIVERSITY OF MAINE SYSTEM  
2008/2009 ACTUAL ANNUAL ENROLLMENT

	Credit Hours				FTE			
	Summer 2008	Fall 2008	Spring 2009	Annual	Summer 2008	Fall 2008	Spring 2009	Annual
<b>UM</b>								
Undergraduate	11,143.0	125,672.3	119,229.0	256,044.3	742.9	8,378.2	7,948.6	8,534.8
Graduate	4,451.0	11,180.0	10,059.8	25,690.8	494.6	1,242.2	1,117.8	1,427.3
Total	15,594.0	136,852.3	129,288.8	281,735.0	1,237.4	9,620.4	9,066.4	9,962.1
<b>UMA</b>								
Undergraduate	8,907.0	39,582.0	37,701.0	86,190.0	593.8	2,638.8	2,513.4	2,873.0
Graduate	3.0	0.0	0.0	3.0	0.3	0.0	0.0	0.2
Total	8,910.0	39,582.0	37,701.0	86,193.0	594.1	2,638.8	2,513.4	2,873.2
<b>UMF</b>								
Undergraduate	3,750.5	31,191.0	29,113.0	64,054.5	234.4	1,949.4	1,819.6	2,001.7
Graduate	0.0	129.5	126.0	255.5	0.0	14.4	14.0	14.2
Total	3,750.5	31,320.5	29,239.0	64,310.0	234.4	1,963.8	1,833.6	2,015.9
<b>UMFK</b>								
Undergraduate	4,233.0	11,292.5	10,065.0	25,590.5	282.2	752.8	671.0	853.0
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	4,233.0	11,292.5	10,065.0	25,590.5	282.2	752.8	671.0	853.0
<b>UMM</b>								
Undergraduate	2,161.0	8,622.5	8,633.0	19,416.5	144.1	574.8	575.5	647.2
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	2,161.0	8,622.5	8,633.0	19,416.5	144.1	574.8	575.5	647.2
<b>UMPI</b>								
Undergraduate	1,070.0	16,538.0	14,340.0	31,948.0	71.3	1,102.5	956.0	1,064.9
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	1,070.0	16,538.0	14,340.0	31,948.0	71.3	1,102.5	956.0	1,064.9
<b>USM</b>								
Undergraduate	14,941.0	83,195.5	75,998.0	174,134.5	996.1	5,546.4	5,066.5	5,804.5
Graduate	7,101.0	11,001.5	10,985.5	29,088.0	789.0	1,222.4	1,220.6	1,616.0
Law	189.0	3,987.5	3,932.5	8,109.0	12.6	265.8	262.2	270.3
Total	22,231.0	98,184.5	90,916.0	211,331.5	1,797.7	7,034.6	6,549.3	7,690.8
<b>TOTAL</b>								
Undergraduate	46,205.5	316,093.8	295,079.0	657,378.3	3,064.7	20,942.9	19,550.6	21,779.1
Graduate	11,555.0	22,311.0	21,171.3	55,037.3	1,283.9	2,479.0	2,352.4	3,057.7
Law	189.0	3,987.5	3,932.5	8,109.0	12.6	265.8	262.2	270.3
Total	57,949.5	342,392.3	320,182.8	720,524.5	4,361.2	23,687.8	22,165.2	25,107.1

NOTE: Undergraduate includes associate and non-degree.

Annual FTE = Annual Undergraduate Credit Hours/30 + Annual Graduate Credit Hours/18 + Annual Law Credit Hours/30  
Annual FTE = Annual Undergraduate Credit Hours/32 at UMF due to 4-credit curriculum beginning in FY2007

FTE enrollment may differ from official enrollment statistics due to rounding.

UNIVERSITY OF MAINE SYSTEM

2008/2009 BUDGETED ANNUAL ENROLLMENT

	Credit Hours				FTE			
	Summer 2008	Fall 2008	Spring 2009	Annual	Summer 2008	Fall 2008	Spring 2009	Annual
UM								
Undergraduate	11,906.0	122,512.0	115,534.0	249,952.0	793.7	8,167.5	7,702.3	8,331.7
Graduate	4,931.0	11,915.0	10,565.0	27,411.0	547.9	1,323.9	1,173.9	1,522.8
Total	<u>16,837.0</u>	<u>134,427.0</u>	<u>126,099.0</u>	<u>277,363.0</u>	<u>1,341.6</u>	<u>9,491.4</u>	<u>8,876.2</u>	<u>9,854.5</u>
UMA								
Undergraduate	8,269.0	39,551.0	37,386.0	85,206.0	551.3	2,636.7	2,492.4	2,840.2
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	<u>8,269.0</u>	<u>39,551.0</u>	<u>37,386.0</u>	<u>85,206.0</u>	<u>551.3</u>	<u>2,636.7</u>	<u>2,492.4</u>	<u>2,840.2</u>
UMF								
Undergraduate	2,703.0	32,113.0	29,231.0	64,047.0	168.9	2,007.1	1,826.9	2,001.5
Graduate	264.0	132.0	90.0	486.0	29.3	14.7	10.0	27.0
Total	<u>2,967.0</u>	<u>32,245.0</u>	<u>29,321.0</u>	<u>64,533.0</u>	<u>198.2</u>	<u>2,021.8</u>	<u>1,836.9</u>	<u>2,028.5</u>
UMFK								
Undergraduate	4,300.0	13,500.0	12,200.0	30,000.0	286.7	900.0	813.3	1,000.0
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	<u>4,300.0</u>	<u>13,500.0</u>	<u>12,200.0</u>	<u>30,000.0</u>	<u>286.7</u>	<u>900.0</u>	<u>813.3</u>	<u>1,000.0</u>
UMM								
Undergraduate	2,207.0	8,714.0	8,906.0	19,827.0	147.1	580.9	593.7	660.9
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	<u>2,207.0</u>	<u>8,714.0</u>	<u>8,906.0</u>	<u>19,827.0</u>	<u>147.1</u>	<u>580.9</u>	<u>593.7</u>	<u>660.9</u>
UMPI								
Undergraduate	869.0	16,778.0	14,840.0	32,487.0	57.9	1,118.5	989.3	1,082.9
Graduate	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	<u>869.0</u>	<u>16,778.0</u>	<u>14,840.0</u>	<u>32,487.0</u>	<u>57.9</u>	<u>1,118.5</u>	<u>989.3</u>	<u>1,082.9</u>
USM								
Undergraduate	16,775.0	83,768.0	75,654.0	176,197.0	1,118.3	5,584.5	5,043.6	5,873.2
Graduate	7,897.0	11,882.0	12,100.0	31,879.0	877.4	1,320.2	1,344.4	1,771.1
Law	170.0	3,789.0	3,691.0	7,650.0	11.3	252.6	246.1	255.0
Total	<u>24,842.0</u>	<u>99,439.0</u>	<u>91,445.0</u>	<u>216,726.0</u>	<u>2,007.0</u>	<u>7,157.3</u>	<u>6,634.1</u>	<u>7,899.3</u>
TOTAL								
Undergraduate	47,029.0	316,936.0	293,751.0	657,716.0	3,123.9	20,995.2	19,461.5	21,790.4
Graduate	13,092.0	23,929.0	22,755.0	59,776.0	1,454.6	2,658.8	2,528.3	3,320.9
Law	170.0	3,789.0	3,691.0	7,650.0	11.3	252.6	246.1	255.0
Total	<u>60,291.0</u>	<u>344,654.0</u>	<u>320,197.0</u>	<u>725,142.0</u>	<u>4,589.8</u>	<u>23,906.6</u>	<u>22,235.9</u>	<u>25,366.3</u>

NOTE: Undergraduate includes associate and non-degree.

Annual FTE = Annual Undergraduate Credit Hours/30 + Annual Graduate Credit Hours/18 + Annual Law Credit Hours/30  
 Annual FTE = Annual Undergraduate Credit Hours/32 at UMF due to 4-credit curriculum beginning in FY2007

FTE enrollment may differ from official enrollment statistics due to rounding.

## FALL FULL-TIME FIRST-TIME FIRST-YEAR STUDENTS<sup>1</sup>

		Fall 1989	Fall 1990	Fall 1991	Fall 1992	Fall 1993	Fall 1994	Fall 1995	Fall 1996	Fall 1997	Fall 1998	Fall 1999	Fall 2000	Fall 2001	Fall 2002	Fall 2003	Fall 2004	Fall 2005	Fall 2006	Fall 2007	Average
UMS	Initial Cohort	4,251	3,800	3,460	3,258	3,379	3,138	3,007	3,222	3,086	3,393	3,638	3,680	3,771	3,862	3,849	3,850	3,918	3,970	3,952	3,643
	1st-to-2nd yr #	2,954	2,596	2,386	2,206	2,305	2,040	2,130	2,231	2,173	2,467	2,599	2,650	2,677	2,765	2,763	2,703	2,823	2,843	2,732	2,556
	Retention %	69.5%	68.3%	69.0%	67.7%	68.2%	65.0%	70.8%	69.2%	70.4%	72.7%	71.4%	72.0%	71.0%	71.6%	71.8%	70.2%	72.1%	71.6%	69.1%	70.2%
UM	Initial Cohort	2,195	1,846	1,595	1,429	1,593	1,416	1,139	1,292	1,108	1,355	1,544	1,615	1,568	1,690	1,637	1,642	1,736	1,842	1,853	1,627
	1st-to-2nd yr #	1,649	1,374	1,167	1,064	1,163	930	893	978	889	1,081	1,202	1,267	1,233	1,318	1,300	1,295	1,387	1,444	1,402	1,243
	Retention %	75.1%	74.4%	73.2%	74.5%	73.0%	65.7%	78.4%	75.7%	80.2%	79.8%	77.8%	78.5%	78.6%	78.0%	79.4%	78.9%	79.9%	78.4%	75.7%	76.4%
UMA	Initial Cohort	189	218	222	226	216	172	363	341	290	291	366	316	323	327	381	353	301	320	303	285
	1st-to-2nd yr #	87	101	121	118	107	86	188	176	152	170	191	158	173	170	194	178	149	170	159	147
	Retention %	46.0%	46.3%	54.5%	52.2%	49.5%	50.0%	51.8%	51.6%	52.4%	58.4%	52.2%	50.0%	53.6%	52.0%	50.9%	50.4%	49.5%	53.1%	52.5%	51.7%
UMF	Initial Cohort	450	465	457	440	419	471	473	477	466	484	470	475	479	453	520	510	560	518	479	473
	1st-to-2nd yr #	313	338	336	312	311	335	341	338	323	379	374	384	352	349	395	387	412	380	336	350
	Retention %	69.6%	72.7%	73.5%	70.9%	74.2%	71.1%	72.1%	70.9%	69.3%	78.3%	79.6%	80.8%	73.5%	77.0%	76.0%	75.9%	73.6%	73.4%	70.1%	73.9%
JMFk	Initial Cohort	98	96	86	98	81	78	72	84	77	93	109	82	98	130	126	166	129	116	131	101
	1st-to-2nd yr #	64	60	66	72	54	48	50	54	50	71	77	43	57	71	83	87	80	72	75	64
	Retention %	65.3%	62.5%	76.7%	73.5%	66.7%	61.5%	69.4%	64.3%	64.9%	76.3%	70.6%	52.4%	58.2%	54.6%	65.9%	52.4%	62.0%	62.1%	57.3%	63.2%
UMM	Initial Cohort	145	154	147	140	133	146	129	143	121	148	122	128	155	132	144	82	104	99	108	131
	1st-to-2nd yr #	87	89	93	84	86	94	91	100	71	96	72	74	106	91	88	54	74	72	80	84
	Retention %	60.0%	57.8%	63.3%	60.0%	64.7%	64.4%	70.5%	69.9%	58.7%	64.9%	59.0%	57.8%	68.4%	68.9%	61.1%	65.9%	71.2%	72.7%	74.1%	64.3%
UMPI	Initial Cohort	210	202	187	230	204	223	210	202	262	227	203	201	216	228	193	229	183	188	188	207
	1st-to-2nd yr #	140	114	112	129	128	141	143	129	164	137	129	130	133	155	129	125	123	112	111	129
	Retention %	66.7%	56.4%	59.9%	56.1%	62.7%	63.2%	68.1%	63.9%	62.6%	60.4%	63.5%	64.7%	61.6%	68.0%	66.8%	54.6%	67.2%	59.6%	59.0%	62.2%
USM	Initial Cohort	964	819	766	695	733	632	621	683	762	795	824	863	932	902	848	868	905	887	890	819
	1st-to-2nd yr #	614	520	491	427	456	406	424	456	524	533	554	594	623	611	574	577	598	593	569	539
	Retention %	63.7%	63.5%	64.1%	61.4%	62.2%	64.2%	68.3%	66.8%	68.8%	67.0%	67.2%	68.8%	66.8%	67.7%	67.7%	66.5%	66.1%	66.9%	63.9%	65.8%

<sup>1</sup>Number of fall first-time first-year students who returned the following fall.

## Fall, First-Time Maine Community College System Students Transferring to UMS

	Fall 2008	Fall 2009
<b>UM</b>	104	107
<b>UMA</b>	117	125
<b>UMF</b>	29	29
<b>UMFK</b>	15	14
<b>UMM</b>	12	6
<b>UMPI</b>	14	17
<b>USM</b>	202	234
<b>TOTAL</b>	493	532
<b>% Change</b>		7.9%

**University of Maine System  
Full-Time Equivalent Employees**

<b>University</b>	<b>Faculty</b>	<b>Salaried</b>	<b>Hourly</b>	<b>Administrators</b>	<b>Total</b>
University of Maine	721	699	875	52	<b>2347</b>
University of Maine at Augusta	154	113	115	15	<b>397</b>
University of Maine at Farmington	139	101	115	16	<b>371</b>
University of Maine at FortKent	44	31	47	4	<b>126</b>
University of Maine at Machias	41	29	30	3	<b>103</b>
University of Maine at Presque Isle	70	46	56	13	<b>185</b>
University of Southern Maine	467	569	349	30	<b>1415</b>
University of Maine System Office	0	109	31	12	<b>152</b>
<b>Total</b>	<b>1636</b>	<b>1697</b>	<b>1618</b>	<b>145</b>	<b>5096</b>

Includes all regular employees and temporary faculty, regardless of funding source  
Data as of October 30, 2009

UNIVERSITY OF MAINE SYSTEM  
STATE APPROPRIATION  
(Includes Base and One-Time Adjustments)

Fiscal Year	E&G		MEIF	Debt Service	Casco Bay Estuary	Total
FY98	\$138,165,672		\$500,000			\$138,665,672
FY99	\$141,952,445	2.7%	\$500,000			\$142,452,445
FY00 <sup>2</sup>	\$156,666,828	10.4%	\$5,550,000			\$162,216,828
FY01 <sup>3</sup>	\$179,460,510	14.5%	\$5,600,000	\$2,500,000		\$187,560,510
FY02	\$163,863,272	-8.7%	\$10,100,000	\$2,500,000		\$176,463,272
FY03	\$160,736,418	-1.9%	\$10,100,000	\$2,500,000		\$173,336,418
FY04	\$159,861,418	-0.5%	\$10,200,000	\$2,500,000	\$35,000	\$172,596,418
FY05	\$165,236,418	3.4%	\$12,200,000	\$2,500,000	\$35,000	\$179,971,418
FY06	\$168,486,418	2.0%	\$12,200,000	\$2,500,000	\$35,000	\$183,221,418
FY07 <sup>4</sup>	\$178,261,418	5.8%	\$12,800,000	\$2,500,000	\$35,000	\$193,596,418
FY08	\$183,236,418	2.8%	\$13,700,000	\$2,500,000	\$35,000	\$199,471,418
FY09	\$175,157,071	-4.4%	\$14,700,000	\$2,500,000	\$35,000	\$192,392,071
FY10 <sup>1</sup>	\$170,460,323	-2.7%	\$14,700,000	\$2,500,000	\$35,000	\$187,695,323
FY11 <sup>1</sup>	\$170,399,301	0.0%	\$14,700,000	\$2,500,000	\$35,000	\$187,634,301

<sup>1</sup>Based on Governor's Supplemental Budget Proposal

<sup>2</sup>Provides \$4.7M in one-time construction funds

<sup>3</sup>Provides \$17.3M in one-time capital improvement funds

<sup>4</sup>Provides \$3.0M in one-time funds for Regional Optical Network

# UNIVERSITY OF MAINE SYSTEM

## GROWTH IN WEIGHTED AVERAGE ANNUAL UNDERGRADUATE TUITION RATES

	IN-STATE			OUT-OF-STATE		
	TUITION RATE	INCREASE		TUITION RATE	INCREASE	
		\$	%		\$	%
FY69	\$275	-	-	\$680	-	-
FY70	275	\$0	0.0	680	\$0	0.0
FY71	330	55	20.0	1,210	530	77.9
FY72	475	145	43.9	1,495	285	23.6
FY73	475	0	0.0	1,585	90	6.0
FY74	475	0	0.0	1,585	0	0.0
FY75	510	35	7.4	1,685	100	6.3
FY76	510	0	0.0	1,685	0	0.0
FY77	610	100	19.6	1,950	265	15.7
FY78	720	110	18.0	2,190	240	12.3
FY79	830	110	15.3	2,430	240	11.0
FY80	830	0	0.0	2,665	235	9.7
FY81	1,005	175	21.1	2,900	235	8.8
FY82	1,230	225	22.4	3,520	620	21.4
FY83	1,380	150	12.2	4,110	590	16.8
FY84	1,480	100	7.2	4,425	315	7.7
FY85	1,480	0	0.0	4,425	0	0.0
FY86	1,480	0	0.0	4,425	0	0.0
FY87	1,480	0	0.0	4,425	0	0.0
FY88	1,555	75	5.1	4,520	95	2.1
FY89	1,646	91	5.9	4,591	71	1.6
FY90	1,793	147	8.9	5,009	418	9.1
FY91	2,024	231	12.9	5,665	656	13.1
FY92 <sup>1</sup>	2,429	405	20.0	6,821	1,156	20.4
FY93	2,602	173	7.1	7,258	437	6.4
FY94	2,806	204	7.8	7,853	595	8.2
FY95	2,948	142	5.1	8,228	375	4.8
FY96	3,070	122	4.1	8,515	287	3.5
FY97	3,223	153	5.0	8,964	449	5.3
FY98	3,385	162	5.0	9,333	369	4.1
FY99	3,484	99	2.9	9,605	272	2.9
FY00	3,567	83	2.4	9,821	216	2.2
FY01	3,658	91	2.6	10,098	277	2.8
FY02	3,811	153	4.2	10,408	310	3.1
FY03	3,991	180	4.7	10,767	359	3.4
FY04	4,297	306	7.7	11,616	849	7.9
FY05	4,623	326	7.6	12,957	1,341	11.5
FY06	5,005	382	8.3	14,200	1,243	9.6
FY07	5,440	435	8.7	15,277	1,077	7.6
FY08	5,985	545	10.0	16,946	1,669	10.9
FY09	6,602	617	10.3	18,518	1,572	9.3
FY10	6,985	383	5.8	19,765	1,247	6.7

<sup>1</sup>Includes mid-year tuition increase.

## University of Maine System FY08 Average Student Loan Debt

<u>Campus</u>	<u>Level</u>	<u># Borrowers</u>	<u>\$ Average</u>
UMA	Undergraduate	237	\$15,842
UMF	Undergraduate	327	\$16,017
UMFK	Undergraduate	96	\$17,638
UMM	Undergraduate	54	\$13,875
UM	Undergraduate	719	\$19,173
	Graduate	154	\$29,842
USM	Undergraduate	646	\$22,656
	Graduate	126	\$40,579
	Law	62	\$66,938
UMPI	Undergraduate	98	\$14,103



## Three Year Degrees: Financial Aid

### Pell Grants

A new provision of the Pell Grant would permit a student to receive more than one Pell Grant within a single year for situations such as an accelerated degree; however, this rule is new and is still being developed.

### Institutional Aid, Federal Work Study, Perkins Loans and SEOG

Our universities also have some ability to increase institutional aid, federal work study, Perkins loans and Supplemental Education Opportunity Grants for students, but this is dependent on funding at the institutional level and the financial aid needs of the entire student population.

### Maine State Grant and Stafford Loans

Aid awarded on an annual basis in a flat amount is not flexible enough to accommodate 3 year degree students:

Maine State Grant – is awarded July 1-June 30 and only one award is permitted in this time period.

Stafford Loans – students qualify for \$7500 (dependent student) or \$12,500 (independent student) as 3<sup>rd</sup> and 4<sup>th</sup> year students – this is a maximum amount per year.

### Other Financial Benefits of a Three Year Degree:

A student who opts to complete a degree within a three year time period experiences other financial benefits. For example, students save a year's worth of living expenses (room and board) and either enter the workforce or continue their post-baccalaureate education at an accelerated rate.