SELF-STUDY FOR REACCREDITATION

2014

Prepared for

New England Association of Schools & Colleges
Commission on Institutions of Higher Education

University of Maine at
PRESQUE ISLE
North of Ordinary

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Institutional Characteristics Form

Date: **February 2014**

1. Corporate name of institution: **University of Maine at Presque Isle**
2. Date institution was chartered or authorized: **August 18, 1903**
3. Date institution enrolled first students in degree programs: **September 15, 1903**
4. Date institution awarded first degrees: **June 10, 1905**
5. Type of control:

   Public   Private

   X State   ☐ Independent, not-for-profit

   ☐ City   ☐ Religious Group

   ☐ Other   (Name of Church)

   ☐ Proprietary   ☐ Other: (Specify) _____

6. By what agency is the institution legally authorized to provide a program of education beyond high school, and what degrees is it authorized to grant?
   Legislature of the State of Maine; A.A., A.S., B.S., B.L.S., B.S.W., B.A.A.E., B.F.A.

7. Level of postsecondary offering (check all that apply)

   ☐ Less than one year of work   ☐ First professional degree

   ☐ At least one but less than two years   ☐ Master's and/or work beyond the first professional degree

   ☐ Diploma or certificate programs of least two but less than four years   ☐ Work beyond the master's level at but not at the doctoral level

   X Associate degree granting program of at least two years   ☐ A doctor of philosophy or equivalent degree

   X Four- or five-year baccalaureate degree granting program   ☐ Other doctoral programs

8. Type of undergraduate programs (check all that apply)

   ☐ Occupational training at the crafts/clerical level (certificate or diploma)   X Liberal arts and general

   X Occupational training at the technical or semi-professional level (degree)   X Teacher preparatory

	Two-year programs designed for full transfer to a baccalaureate degree	☒	Professional
		☐	Other_____ _____

9. The calendar system at the institution is:

X   Semester   ☐ Quarter   ☐ Trimester   ☐ Other _____

10. What constitutes the credit hour load for a full-time equivalent (FTE) student each semester?

a)   Undergraduate: **12 credit hours**
b)   Graduate
c)   Professional

11. Student population:

a)   Degree-seeking students:

	Undergraduate	**Graduate**	**Total**
Full-time student headcount	718	N/A	718
Part-time student headcount	545	N/A	545
FTE	842.54	N/A	842.54

b)   Number of students (headcount) in non-credit, short-term courses: _____

12. List all programs accredited by a nationally recognized, specialized accrediting agency.

Program	**Agency**	**Accredited Since**	**Last Reviewed**	**Next Review**
Athletic Training, B.S.	Commission on Accreditation of Athletic Training Education (CAATE)	2004	2013-2014	2018-2019
Social Work, B.S.W.	Council of Social Work Education (CSWE)	2000	2012	2020
Physical Therapist Assistant, A.S.	Commission on Accreditation in Physical Therapy Education (CAPTE)	2013	N/A	2018
Medical Laboratory Technology, A.S.	National Accrediting Agency for Clinical Laboratory Sciences	1980	2010	2015-2016

	(NAACLS)			
Education, B.S.	Maine Department of Education	1958	2012	2016

13. Off-campus Locations. List all instructional locations other than the main campus. For each site, indicate whether the location offers full-degree programs or 50 percent or more of one or more degree programs. Record the full-time equivalent enrollment (FTE) for the most recent year.

	Full degree	50 % -99 %	FTE
A. In-state Locations			
N/A			

14. International Locations: For each overseas instructional location, indicate the name of the program, the location, and the headcount of students enrolled for the most recent year. An overseas instructional location is defined as "any overseas location of an institution, other than the main campus, at which the institution matriculates students to whom it offers any portion of a degree program or offers on-site instruction or instructional support for students enrolled in a predominantly or totally on-line program." **Do not include study abroad locations**.

Name of program(s)	Location	Headcount
N/A		

15. Degrees and certificates offered 50 percent or more electronically: For each degree or Title IV-eligible certificate, indicate the level (certificate, associate's, baccalaureate, master's, professional, doctoral), the percentage of credits that may be completed on-line, and the FTE of matriculated students for the most recent year. Enter more rows as needed.

Name of program	Degree level	% On-line	FTE
English	B.A.	100%	7
History	B.A.	100%	4
Psychology	B.A.	100%	9
Liberal Studies	B.L.S.	100%	0

16. Instruction offered through contractual relationships: For each contractual relationship through which instruction is offered for a Title IV-eligible degree or certificate, indicate the name of the contractor, the location of instruction, the program name, and degree or

certificate, and the number of credits that may be completed through the contractual relationship. Enter more rows as needed.

Name of contractor	Location	Name of program	Degree or certificate	# of credits
N/A				

17. List by name and title the chief administrative officers of the institution. (Use the table on the following page.)

18. Supply a table of organization for the institution. While the organization of any institution will depend on its purpose, size and scope of operation, institutional organization usually includes four areas. Although every institution may not have a major administrative division for these areas, the following outline may be helpful in charting and describing the overall administrative organization:

a) Organization of academic affairs, showing a line of responsibility to president for each department, school division, library, admissions office, and other units assigned to this area;

b) Organization of student affairs, including health services, student government, intercollegiate activities, and other units assigned to this area;

c) Organization of finances and business management, including plant operations and maintenance, non-academic personnel administration, IT, auxiliary enterprises, and other units assigned to this area;

d) Organization of institutional advancement, including fund development, public relations, alumni office and other units assigned to this area.

19. Record briefly the central elements in the history of the institution:

September 15, 1903: Aroostook State Normal School opened its doors for classes.
Spring 1905: Aroostook State Normal School graduated its first class.
1905: Normal Hall, the school's first dormitory, officially becomes part of campus.
Summer 1910: Aroostook State Normal School offered its first summer session.
1921: Construction of the new Administration Building was completed; Building was renamed in 1922 to Preble Hall.
1950: Aroostook State Normal School upgraded its curriculum to a four-year program.
1952: Institution renamed Aroostook State Teacher's College to reflect its baccalaureate status; Dr. Wieden becomes the first University President.
1960: Wieden Hall, a new multi-purpose building, was added to campus.
1962: College purchases 123 acres, giving the campus a total size of 150 acres.
1963: Emerson Hall, a new women's dormitory, was added to campus.
1965: College renamed Aroostook State College.

1967: Merriman Hall, a new men's dormitory, was added to campus; Kelley Commons dining hall was completed.
1968: Folsom Hall, a new classroom facility was completed and dedicated.
1968: College becomes part of the University of Maine System; school renamed Aroostook State College of the University of Maine System.
1968: College joined the National Association of Intercollegiate Athletics (NAIA) and the National Collegiate Athletic Association (NCAA); the Owl is adopted as the team mascot.
1969: Dr. Stanley F. Salwak becomes the institution's second president—the fourth leader.
1969: Park and Pullen Halls are finished and dedicated.
1971: Renamed University of Maine at Presque Isle.
1973: WUPI, the student-run radio station, was built.
1975: The campus Library was completed.
1981: Dr. Constance Carlson becomes the first woman president in the UM System.
1981: The University Times, the student newspaper, began operation.
1986: Dr. James Roach becomes the sixth president.
1987: The Smith House is transformed into the President's House.
1990: The Facilities Support Building is constructed.
1992: The Campus Center is completed.
1993: Dr. W. Michael Easton becomes the seventh president.
1996: The University becomes home to the Northern Maine Museum of Science.
1999: Dr. Nancy Hensel becomes the University's eighth president.
1999: The University established the Houlton Higher Education Center.
2005: Dr. Carl E. Burgher is appointed as the University's ninth president.
2006: The first on-line course is offered.
January 21, 2006: Gentile Hall opens.
September 2006: Dr. Donald N. Zillman was appointed as the University's tenth president.
May 14, 2009: 600kW wind turbine was dedicated.
July 2012: The University welcomes Dr. Linda K. Schott, the University's eleventh president.

CHIEF INSTITUTIONAL OFFICERS

Function or Office	Name	Exact Title	Year of Appointment
Chair Board of Trustees	Samuel Collins	Chair	2010
President/CEO	Linda Schott	President	2012
Executive Vice President	N/A		
CAO	Raymond Rice	Interim Provost/VPAA	2014
Deans of Schools and Colleges	Barbara Blackstone	Interim Chair College of Education	2013
Deans of Schools and Colleges	Barbara Blackstone	Interim Chair College of Professional Programs	2013

Deans of Schools and Colleges	Jason Johnston	Interim Chair, College of Arts & Sciences	2014
Chief Financial Officer	Marty Parsons	Vice President for Administration & Finance	2013
Chief Student Services Officer	James Stepp	Interim Vice President of Student Affairs; Dean of Students	2012
Planning	N/A		
Inst. Research	N/A		
Assessment	N/A		
Development	Keith Madore	Director of Development & Alumni Relations	2007
Library	JoAnne Wallingford	Director of Information Services	2011
Chief Information Officer	JoAnne Wallingford	Director of Information Services	2011
Continuing Ed.	N/A		
Grants/Research	N/A		
Admissions	Erin Benson	Director of Admissions	2005
Registrar	Kathy Davis	Director of Student Records	2006
Financial Aid	Christopher Bell	Director	1985
Public Relations	Rachel Rice	Director of Community & Media Relations	2007
Alumni Association	Keith Madore	Director of Development & Alumni Relations	2007

PRESIDENT

Academic Affairs
Raymond Rice, Interim Provost & VPAA

COLLEGES

Houlton Higher Education Center
Charles Ames, Director

Student Records
Kathy Davis, Director

Reed Art Gallery
Heather Sincavage, Director

INFORMATION SERVICES
JoAnne Wallingford, Director

College of Education
Barbara Blackstone, Interim Chair

Advising

College of Professional Programs
Barbara Blackstone, Interim Chair

Advising

College of Arts & Sciences
Jason Johnston, Interim Chair

Advising

Honors Program

Library

Computer Services

PRESIDENT

Student Affairs
James Stepp, Interim Vice President for Student Affairs & Dean of Students

Admissions
Erin Benson, Director

PROMETRIC Testing Center

Dining Hall

Int'l Student Services
Barbara DeVaney, Director

National Student Exchange
Meghan Lightbown, Coordinator

Career Services & Employer Relations
Nicole Fournier, Director

Student Activities
Vanessa Pearson, Coordinator

Residence Life
Jannie Durr, Assistant Director of Residence Life

Upward Bound
Darylen Cote, Director

Counseling Services
Ralph McPherson, Director

Health Services
Linda Mastro, Director

Student Support Services
Mary Kate Barbosa, Director

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                        │        PRESIDENT        │
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                        │  Administration & Finance │
                        │ Marty Parsons, Vice President for │
                        │  Administration & Finance │
                        └─────────────────────────┘
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PRESIDENT

Administration & Finance
Marty Parsons, Vice President for
Administration & Finance

Campus Store
Greg Doak, Manager

Business Office
Eldon Levesque, Director
of Business Systems

Communications Center
Donald Sirois, Information
Technology Specialist

Financial Aid
Chris Bell, Director

Human Resources
Jennie Savage, Manager

Physical Plant
Gregg Bouchard, Director

Gentile Hall
Richard Gardiner, Director

Safety & Security
Fred Thomas, Coordinator

**Conferences
& Special Programs**
Mary Lawrence, Coordinator

ARAMARK
Food Services Contract

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                        │        PRESIDENT         │
                        └─────────────────────────┘
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        ┌───────────────────────┐       ┌───────────────────────────┐
        │  Alumni & Development  │       │ Community & Media Relations│
        │  Keith Madore, Director│       │   Rachel Rice, Director    │
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Introduction

INTRODUCTION

In spring 2012, as former President Donald Zillman was preparing to step down, he advised that the campus request that its upcoming NEASC review be postponed for one semester. The requested extension was intended to give UMPI's new president, Linda Schott, time to appraise the strengths and needs of the institution and to give Provost and Vice President for Academic Affairs Michael Sonntag additional time to develop a comprehensive team of writers for the individual standards. NEASC approved the extension, and Dr. Sonntag began formal planning of the review process, including visits with College chairs to NEASC self-study workshops and, in particular, General Education assessment and accreditation conferences. The Steering Committee was formed during the summer of 2012, fully three semesters in advance of the planned spring 2014 visit, and included Provost Sonntag; Clare Exner, Chair of the College of Professional Programs; Raymond Rice, Chair of the College of Arts and Sciences; and JoAnne Wallingford, Director of Information Services. Closely following the composition of the Steering Committee, leadership of the individual standards was set as follows: President Schott (coordinator of Standard 1); Provost Sonntag (Standard 2); Associate Professor of Athletic Training Barbara Blackstone (Standard 3); Ray Rice (Standard 4); Clare Exner (Standard 5); the interim Vice President for Student Affairs James Stepp (Standard 6); Joanne Wallingford (Standard 7); Director of Facilities Management Robert Aughinbaugh (Standard 8); Vice President for Administration and Finance Charles Bonin (Standard 9); Director of Student Records Kathy Davis (Standard 10); and Human Resources Manager Jennie Savage (Standard 11). The task of the Steering Committee was to develop a timeline, set goals within that timeline, approve the selection of individual standard sub-committee members, and lead the self-study process. The Steering Committee was chaired by Provost Sonntag.

The self-study process began in earnest in August 2012 when Carol L. Anderson, Vice President to the Commission on Institutions of Higher Education (NEASC), visited the UMPI campus. Anderson guided participants in a two-day organizational workshop providing an overview of the self-study writing process, the campus visit, as well as the process of gathering data and information for the electronic workroom, and the dissemination of the report both to the larger community and the visiting team scheduled for arrival in April 2014.

The goal of our self-study was to produce a comprehensive and evidence-based examination of our institution's programs and services to ascertain their effectiveness at meeting NEASC standards for accreditation as well as our own educational mission and purposes. We wished to place specific emphasis upon assessment and strategic planning, two areas cited during the 2003 self-study and 2008 progress report. Task forces were created for each of the eleven Standards with some variations in numbers of members (Standard Four, for instance, incorporated over ten members, including all of those involved with the General Education Task Force, while Standard Eight included a total of five members). Members of the Steering Committee served as both liaisons to the task forces and also as chairs of individual task forces themselves. The task forces were formally charged in September of 2012 and continued work throughout the summer of 2013. Each was given autonomy to determine the best process for review as well as the frequency of its meeting structure. This frequency ranged from nearly

every other week (in the case of Standard Four) to much less frequently, depending upon the level of scrutiny, collection, collating, analysis, and writing and revision warranted by the Standard and the institution's prior preparedness for the study. Each task force was charged with submitting drafts by May 2013; several were able to complete this work according to schedule, although others needed significantly more time to complete the process. Opportunities for periodic feedback were built into the timetable, as organized by the overlapping duties of Steering committee membership and task force chairs (in regards to Standards Two, Four, Five, and Seven). The original timetable called for each draft to be revised over the course of the summer of 2013 and for a complete draft of the separate standard chapters to be collated and prepared for revision in the fall of that year. However, due to the varying degrees of preparation, drafts were reviewed individually by Provost Sonntag and returned to the task forces, whenever possible, for further revision.

During the fall of 2013, Provost Sonntag commenced an interview process for employment outside of the University of Maine System; he interviewed extensively during the final months of the year and, in early January of 2014, announced his impending departure (agreed upon by President Schott to be effective as of January 31). In addition, the Chair of Professional Programs resigned from her administrative duties as of September 1, 2013 and returned to the faculty ranks. The Vice President for Administration and Finance retired in early fall; the Director of Facilities Management a short time thereafter. These major changes among middle and upper administration, as well as the continuing revisions being undertaken by individual task forces, delayed the completion of a finished draft prior to January 2014. The Chair of the College of Arts and Sciences was appointed interim Provost effective February 1, and assumed responsibility for completing the penultimate draft of the self-study. That draft was released to the President the first week of February. Drafts were sent to all faculty, both full and part time, as well as the Student Affairs staff, at this time as well. A final draft was prepared by the second week of February and made available on the campus portal; public feedback was sought from the broader community by means of the University's website as well as from copies made available to alumni.

Although several unexpected and significant changes in leadership occurred in the process of this self-study, the goals set at the outset by the Steering Committee have been met. Determined to involve the campus community in a transparent and comprehensive assessment of its programs and services, leading to a frank appraisal of our effectiveness in meeting the needs of our community and students, we believe this represents a fair examination of mutually understood strengths and opportunities, incorporating plans based upon realistic projections, grounded in assessable measurements. During this process, the institution has invited participation from each of its constituent groups, including faculty, staff, administration, students, alumni, and the wider community. Final discussions and preparations are in progress as we look forward to the NEASC team's visit in early April.

Table of CIHE Actions, Items of Special Attention, or Concerns

Date of CIHE Letter	Summary of CHE Actions, Items of Special Attention, or Concerns	Detailed Actions, Items of Special Attention, or Concerns	CIHE Standards Cited in Letter	Self-Study Page Number
January 8, 2009	Acceptance of fifth year report letter	Request that the Fall 2013 evaluation give emphasis to the institution's success in implementing a comprehensive retention program that insures the integration of support programs intended to strengthen retention and graduation rates	6.4 and 6.6	Description begins on pg. 73; Appraisal, pg. 79
Ibid.		Request appraisal of institution's financial well-being in report to be submitted in Fall 2010	9.1 and 9.2	Description begins on pg. 105; Appraisal, pg. 108
March 1, 2011	Acceptance of Fall 2010 report	Request to emphasize institution's success in strengthening its financial health	9.8	Appraisal, pg. 108; Data First forms, pg. 110
Ibid.		Request to demonstrate institution's record of success in implementing results of its planning in regards to admissions yield and increasing retention rates	2.3	Description begins on pg. 6; Appraisal, pg. 7; additional information, "Retention and Graduation," pg. 73

Overview

OVERVIEW

The University of Maine at Presque Isle (UMPI) was founded in 1903 as the result of a six-year endeavor by the Rev. George M. Park, whose goal was to turn the former St. John's Episcopal School for Boys, located on the hill overlooking Presque Isle and vacant since 1896, into a normal school. Although his requests to the state of Maine were twice turned down, Park prevailed upon the city of Presque Isle to purchase the property, along with five acres of land surrounding the three buildings, and deed it to the state. Thus it was that Governor John F. Hill authorized the establishment of Aroostook State Normal School—the seventh such in the state and the first in Aroostook County. As the very first *Catalog and Curricular* of the institution notes, its purpose was to train "pupils for the work of organizing, governing, and teaching in the public schools of the state." The campus was initially comprised of two buildings (the third, the old gymnasium, having been moved by the city to Academy Street prior to deeding over the land to the state)—Central Hall and the President's home. When the college opened officially on September 15, 1903, there were 17 students enrolled (16 women and one man), of whom 12 were to graduate two years later on May 28, 1905.

The past 110 years have been marked both by gradual evolution and periods of intense and sudden transformation. One such period of accelerated change occurred during World War II, when the U.S. government assumed control of the campus in support of its military effort. Principal Wieden (as the chief administrative officer was known at the time) packed up and stored away the library books and relocated staff and students to the Washington State Normal School in Machias. It wasn't until 1946 that students returned to an expanded curriculum, some of it taught by returned veterans, that included Social Studies, Psychology, English, Physical Education, Biology, Math, and Dramatics (the latter three taught by the same individual), and Educational methods courses. The institution experienced a period of significant enrollment growth throughout the 1950s and was renamed the Aroostook State College.

A second phase of rapid development began in the late 1960s, following the establishment of the University of Maine System (UMS) in 1968. By 1971, the college was renamed the University of Maine at Presque Isle, a title reflecting its regional mission within the larger System in offering a greatly expanded complement of degrees to Aroostook County students, including Fine Arts, Biology, Criminal Justice, Soviet Studies, and Environmental Studies (all added during the early 1970s). This period also saw the greatest expansion of facilities in the institution's history, with the construction of dormitories, an additional classroom building, the dedication of a Student Services facility, and a new and expanded library building. Thus, while many institutions of higher education were experiencing financial constraints and enrollment challenges, UMPI continued both to expand its student numbers and solidify its financial situation, a strength that would serve it well in subsequent decades.

The 1990s initially seemed to promise a new period of growth, epitomized by the construction of the Campus Center in 1992, providing an essential centrality to campus activities, including dining facilities, as well as a comprehensive bookstore, student offices, and multipurpose rooms

open to campus organizations as well as the community. In addition, UMPI began systemic attempts at off-campus and international outreach, expanding its educational mission beyond Aroostook County. This included significant recruitment of Canadian students from the neighboring provinces of New Brunswick, Ontario, and Nova Scotia, a demographic shift that greatly impacted our Education programs (as the majority of such students were looking to achieve post baccalaureate teacher certification).

During the same period, however, the federal government undertook the decommissioning of Loring Air Force Base, located only a few miles to the north of Presque Isle in Limestone, a hub of military activity from World War II throughout the Cold War. For many years UMPI had maintained an extensive educational center at Loring, including both on-site and distance education courses (at the time utilizing some of the most advanced technologies in the country and widely recognized for its efficacy); tuition revenues generated by military personnel and their families were highly significant within the overall budget and the level of diversity provided by many of these students especially productive to an open and inquisitive educational and cultural climate. When Loring closed for good in 1995, the enrollment and tuition losses proved substantial for our institution.

These losses were to some degree offset by the gains in international students as well as by the development of the Houlton Higher Education Center (HHEC), which formally opened in 2001 and served as a major point of interest in our previous self-study. Both initiatives helped the institution to mitigate its losses from Loring, but also, and more importantly, to begin a stronger period of community partnership and mutual cooperation, which ultimately reached a broader community of students and strengthened our financial foundations, leading ultimately to some of the highest enrollment numbers ever experienced by the institution (approximately 1400 throughout much of the first decade of the twenty-first century).

As we undertake this current self-study, UMPI is once again faced with a period of rapid change and opportunity. As has been widely reported, the Northeast faces significant demographic challenges in terms of college age students, with Maine, and northern Maine in particular, witnessing some of the grimmest of all such predictions. Maine was the only state in the union during the latest census to experience a negative population growth; for well over a decade, Aroostook County has experienced a continual out-migration of much of its college graduates and young adult population. In addition, the Maine Community College System (MCCS; reorganized from a system of technical colleges in 2002) has provided significant enrollment competition (with Northern Maine Community College located only two miles to our north); a reconceptualization of our relationship with the College System as one of seamless educational opportunity and transferability, rather than that of competitiveness and exclusivity, has proven to be a difficult and protracted one, only in the past two years receiving the requisite attention from both the UM and MCC Systems, let alone individual institutions.

In addition, the manifold "disruptive" forces currently facing the academy have profoundly begun impacting UMPI as an entity. The sense that a four-year college degree no longer provides a guaranteed ticket out of the working class into upper-middle-class status is profoundly troubling to a large portion of our traditional student population, which is largely first generation and working class, with well over two-thirds receiving federal and state aid. Although comparatively affordable, the cost of tuition within the UMS has outstripped the

average income of families (which has, in fact, declined since 2008). In addition, as is currently being experienced by institutions across the country, the traditional business model of higher education is itself under significant strain. And as is again the case with so many institutions, we have faced either reduced or flat appropriations from our legislature in several consecutive years, combined with a current three-year moratorium on tuition increases, which has effectively reduced our overall operating budget. Finally, as our recent enrollment decline underscores (15 percent drop over the past five years), unlike in past decades, UMPI is not insulated from current challenges and disruptions.

However, we believe our institution is well situated to respond to these disruptions and to emerge, as it did following World War II and the closing of Loring in the 1990s, an even stronger and more vibrant educational organization.

The groundwork for such change was laid by our previous President and Provost, both of whom led significant initiatives to instill a culture of assessment and ongoing programmatic review, as suggested by our previous accreditation report. Between 2008 and 2014 (the years in which the most recent Strategic Plan was functioning), the university initiated a significant number of partnerships with other higher education organizations, both two and four year, as well as the Maine School of Science and Mathematics, a magnate high school located in Limestone (at which students can now receive over 36 hours of UMPI college coursework simultaneous with their high school credit, or equivalent to over a full year of college credit). Critical existing professional programs were identified as priority for enrollment growth and given appropriate resources (e.g., Criminal Justice, Social Work, Athletic Training), and a new two year program was instituted (Physical Therapist Assistant). Roadblocks to student persistence were identified, particularly in the area of developmental coursework, and comprehensive revisions instituted, leading to the eradication of almost all "pre-college" coursework (only one Mathematics course remains that does not provide credit toward graduation). Major grant initiatives were acquired toward addressing systemic problems in retention and graduation rates, including the Nellie Mae-funded Project Compass grant of $1,000,000 earmarked to assist our substantial Native American population. In addition, student services were centralized in the Center for Student Success, providing a "one stop" location for all tutoring, advising, support/disability, counseling, and career services and a far more efficient means of tracking and communicating student needs. In addition, a rigorous structure for program self-study was initiated, resulting in the review of all but two programs over the past eight years alone (and those two are in fact undergoing their self-study as this report is being written). The General Education Curriculum was assessed and revised, leading to even more sweeping changes that will be incorporated in fall 2014.

Just as critically, the institution faced head on one of the most overwhelming of all the "disruptive" forces facing higher education—the growth of e-learning and on-line/hybrid delivery modalities. From 2006 to 2012, the percentage of on-line courses delivered by faculty went from literally 0 percent to 25 percent accounting for significant and sustained enrollment growth within the four programs that made their curriculum fully available to on-line majors around the world. Our revised General Education Curriculum (GEC) also became the first one in the UMS to be offered fully on-line.

Most important, under the leadership of our new President, Dr. Linda K. Schott, the campus is moving forward with a transition to a proficiency-based curriculum and complementary high impact teaching practices. Such curricular and pedagogic practices are commensurate with the goals of our institution's new vision and mission (see Standard One for more information on the development of our new vision and mission).

Vision

The University of Maine at Presque Isle will design a personalized, technologically innovative education with every student and prepare each graduate to pursue a career, make global contributions, and engage in lifelong learning.

Mission

The University of Maine at Presque Isle is an undergraduate institution in rural Maine that:

- Nurtures the intellectual and personal development of students who want to own their learning and use it to better themselves, their communities and the world;
- Supports research-based pedagogical techniques and a campus setting to promote deep learning;
- Partners with accreditors to set high academic standards for every student and every program;
- Embraces technological innovation while preserving the power of personal mentoring
- Connects to our alumni and regional employers to provide real-world work experience prior to graduation and to connect graduates with employment prospects;
- Provides educational opportunities for adult and distance learners as well as local community members;
- Promotes environmental sustainability; and
- Stimulates economic development and enhances the region's quality of life through research, public service, and cultural and athletic programming.

We all know that higher education is experiencing a sea-change, one that is not simply a "fad" or "passing phase." It is driven by the changing cultural realities of our nation and world, or what Raymond Williams would have called the ascension of an emergent ideology that is disrupting—permanently—the traditional "structure of feeling" that for so long governed the climate and practices of higher education.

Proficiency-based education, in which students are full co-inquisitors in the knowledge-making process of their education, is more than simply a change in delivery modalities or increased academic expectations. It is a profound change in the landscape of education itself, one that shifts the educational dynamic from mastery and adaptation to that of reflection and transformation, in which education is a process occurring within and (even more so) without the conventional classroom, informed by dialogue and problem-posing (rather than merely solving "problems" pre-identified by faculty). Just as importantly, we believe it will serve as a vital tool in our retention efforts, ensuring that our students develop a deep knowledge of the skills and competencies we view as crucial to the general education of all learners and embedding those competencies throughout the totality of their educational experience at UMPI.

As the Common Core and, more important, proficiency-based education and other elements of "mass customized learning" become more and more the norm of the elementary and secondary school experience (as is mandated in the state of Maine to occur by the class of 2018), students will expect—and demand—similar such educational environments in their institutions of higher education. Our move to proficiency-based education not only makes us the first campus in the UMS to do so, as well as the first university in the state of Maine to do so, but will make us a stronger, more effective, and more influential place of learning for decades to come. We look forward to talking with our accreditation team and NEASC leadership about this transition and how we will change over the next ten years.

Thus, for reasons that reach far beyond the present accreditation process, the past decade has been characterized by frank and open reflection, much of it necessitated by external forces acting upon us, but also by the fact that the stability in terms of long-term leadership that shaped, defined, and governed the institution for so many years has changed dramatically, even in the course of the writing of this self-study. At times, this has been a difficult and contentious process, but the leadership provided by President Schott has resulted in a shared vision, mission, and overall commitment to the purpose of our institution and the role it plays within the broader community, one that spans continents rather than a single county (as was the case in 1903). As the following self-study will illustrate, the University of Maine at Presque Isle is entering its 111th year this coming fall with a clear view of its strengths and challenges, a new-found vision for its educational mission, an engaged and energetic collaborative community founded upon the precepts of shared governance, and a bold and comprehensive plan for its future.

Standard ONE: Mission & Purposes

DESCRIPTION

Mission was an area of significant evaluation and revision as a result of the NEASC accreditation process in 1993. During the evaluation, the NEASC team found that the mission of the University of Maine at Presque Isle (UMPI) lacked precision, and charged the university to do what it had been able to postpone in the past: "it must develop a clearly articulated mission that chooses one path over another."

President W. Michael Easton provided the leadership that guided the University toward that end. A Planning Council was formed in 1994, and a new Mission Statement was developed with a Focus Statement rooted in the premise of a core of liberal arts learning, coupled with a series of professional degree programs. A key characteristic from the previous mission, the university's commitment to serving the needs of its region, was kept intact. Another piece of the previous mission that remained was the University's commitment to the following ideals:

- Close student, faculty, and staff interaction in support of intellectual growth and personal development
- Diversities of culture, age, economic background, and nationality among both students and staff
- Public service which promotes the well-being of the State's citizenry
- A global consciousness

The revised mission statement was accepted by the University in June 1996 and was approved in July 1996 by the UMS Board of Trustees (BOT).

Under the leadership of President Nancy Hensel, the institution engaged in an integrated marketing campaign to analyze the characteristics that have historically made UMPI a special institution. While this work did not change the wording of the Mission, what emerged was a vision statement that captured an adventurous learning approach and led to ongoing dialogue as to how this approach could be incorporated into strategic planning, academics, and student activities. The University Senate approved the final statement in April 2002.

At the beginning of academic year 2007-2008, President Don Zillman directed incoming Vice President of Academic Affairs Michael Sonntag to lead a review of UMPI's strategic plan that included a review of the institution's mission and vision statement. Dr. Sonntag convened a group of campus leaders to review the 2000 and 2002 versions of the strategic plan and the existing Mission and Vision statements for the campus. Early in this process it was determined that the Mission and Vision of the university had not substantially changed and that focus should be put upon bringing the strategic plan up to date and in line with the current direction and pressing issues on the campus. To date the Mission and Vision remain intact as presented to the NEASC committee during its 2003 accreditation. It should be noted, however, that during the last year, the campus has been engaged in a revision of its purpose, and a new vision, mission and strategic plan will be taken to the UMS BOT in May 2014.

APPRAISAL

The existing mission statement is appropriate to higher education and has correctly defined the general character and purpose of the University. It does not provide a clear vision for the future nor has it helped the institution identify priorities. Formally adopted by the BOT of the UMS and appropriately publicized, the mission is generally understood by faculty and staff, but other constituencies—such as students and community members who serve on institutional boards—are not fully aware of the mission.

The mission statement stipulates that the University "provides broad educational opportunities for a diverse student body, with particular reference to the people of its region and state." A close review of existing academic programs found that this part of the mission statement is generally accurate. The University offers both professional programs, such as Athletic Training, Education, and Business, and traditional degrees in the liberal arts and sciences. A majority of academic programs tie, in one way or another, to the particular needs of the region, particularly Aroostook County. Of particular relevance to the region are programs in Business Administration, Criminal Justice, Social Work, Medical Lab Technology, and Physical Therapy Assistance. Furthermore, the history of the University as a training center for educational professionals continues to inform the commitment of the University to its educational programs and its work with educational professionals in the region.

The mission statement further stipulates that the University offers "associate degrees, articulated transfer arrangements with campuses of the UMS, non-degree certificates, and continuing education for practicing professionals." The University does offer associate degrees in five areas and non-degree certificates in Management and Human Resource Management through the American Management Association. The University has had articulation agreements with other campuses within the UMS (in engineering, nursing, animal and veterinary science, human nutrition, sustainable agriculture, and wildlife ecology) but none of these are currently extant.

Finally, the mission statement stipulates a commitment to the following ideals: "close student, faculty, and staff interaction in support of intellectual growth and personal development; diversities of culture, age, and nationality among both students and staff; public service which promotes the well-being of the State's citizenry; and a global consciousness." The first ideal is widely embraced and guides administrative decisions and the work of faculty and staff. The faculty-student ratio is 14:1—and average class size ranges from 10-19 students (over 50 percent of classes are within this range). Furthermore, numerous faculty members engage students in undergraduate research, supervise experiential learning through internships and coursework, or take students on trips to deepen their learning. Finally, faculty and staff members serve as sponsors of student organizations, and many eat lunch or dinner with students in the campus dining facility.

In the area of diversity, the ethnic diversity among students on our campus has increased slightly, from a total minority enrollment of 4.3percent in 2003 to 5.4 percent in 2012; minority staff members are also approximately 5 percent of total staffing. This is similar to the current demographic profile of the city of Presque Isle (6.3 percent), of Aroostook County (4.3 percent), and of the state of Maine (4.7 percent) as well as to the University of System (5.7 percent). In

terms of gender, the percentage of women has declined from 66.6 percent in 2003 to 63.9 percent in 2012, thus moving toward a more equal representation of women and men on campus. In terms of age, approximately 40 percent of UMPI students are "non-traditional," with the percentage varying from 41.4 percent in 2003 to 39.2 percent in 2012. UMPI has also increased the number of international students on campus through a partnership with Bohua Education Investment and Management Company Ltd. in China, resulting in approximately 15 students on campus each semester.

The mission statement was formally adopted by the BOT of the UMS and appears on the UMPI website and in appropriate publications.

The University engages in public service, sponsoring community programs and partnering with community organizations. UMPI faculty and students frequently engage in service learning and other community service-focused activities that address the needs of schools, municipalities, and organizations in the region and around the world. Close to home, Geographic Information Systems students have saved area municipalities thousands of dollars by creating geo-databases that map their infrastructure, History students have completed local history research projects for area historical societies, Criminal Justice students have conducted a study for the local police department, and Physical Education students have provided free gym classes to local children. The University also recently unveiled a unique public service initiative. The UMPI OpenU project is an innovative effort that allows learners of all ages—and from anywhere in the world—to participate in on-line college courses for free, as long as they aren't seeking college credit.

UMPI faculty are required to engage in appropriate professional development, including the production and dissemination of original scholarship. During the review period, faculty have received external research grants from agencies such as the Maine Economic Improvement Fund, National Science Foundation (EPSCoR), and the Maine Technology Asset Fund. Faculty members publish articles and books—for example, an historian recently published with Louisiana University Press—and frequently present at professional conferences.

There is general understanding of the University's mission by faculty and staff and the BOT. The faculty develop the curriculum that serves the general mission and then develop expectations for student learning for that curriculum. The development of specific objectives for individual units has lagged because the University has not undertaken an institutional planning process.

The University has not formally changed the mission statement since its original passage in 1996. The mission statement was reviewed in 2007-2008, and the campus community determined that it continued to be appropriate for the institution.

PROJECTION

A new president, Dr. Linda Schott, assumed the leadership of the University on July 1, 2012. After spending a semester learning about the campus and community, she initiated a general campus discussion about trends in higher education and their impact on the University in spring 2013. During summer 2013, President Schott and the Vice Presidents drafted new vision

and mission statements as well as a statement of institutional values. These drafts were circulated to all campus constituencies, revised and refined, and finalized in fall 2013. (See UMPI Mission and Vision Fall 2013) The new vision and mission were presented to the BOT of the UMS; final approval of the new vision and mission will be sought in May 2014 when the new strategic plan is also presented to the Board.

A new strategic planning process began in December 2013. The Strategic Planning Committee has met and developed five focus areas: personalization of pedagogy, personalization of campus services; enrollment management; career preparation; and community outreach and alumni engagement. Sub-committees in each of these areas will prioritize 3 to 6 goals and strategies for achieving them as well as assessment measures. President Schott will meet with various campus constituencies as the planning process develops to allow input into the emerging plan. The plan will be finalized by May 2014 and presented to the BOT that month. (See the draft documents on the Strategic Planning Committee membership and Strategic Planning process documents for further information.)

The University hired a new Vice President for Administration and Finance in fall 2013, and he has been charged with the creation of an open budget process, ongoing education about the budget, and the realignment of the budget to support the University's new strategic plan.

After approval of the new vision, mission, and strategic plan, the University will engage in a continual planning process. The strategic plan will be revisited each fall. Goals that have been achieved will be celebrated, and new goals will take their place. Campus budgets will be adjusted as needed to continue to drive new goals.

INSTITUTIONAL EFFECTIVENESS

As noted, the institution has periodically reviewed its mission and vision, utilizing a comprehensive strategic planning process to ensure an appropriate linkage of institutional values and community relevance within our rapidly changing educational landscape.   The institution's Strategic Planning Committee is currently in the process of developing a Strategic Plan, based upon our newly accepted revised mission and vision, and extending institutional goals through 2020. This will help us to achieve our goal of educational excellence and financial stability. The Strategic Planning Committee will complete its work and make recommendations to the President by March of 2014. The process includes sub-committees focused on pedagogy, enrollment management, career preparation, personalization of campus services, and community/alumni. The decision to annually revisit the institution's strategic plan each fall will serve both to ensure the timely and direct oversight of planning and budget allocation as well as our common purpose both to Aroostook County and the state of Maine.

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

	URL		Date Approved by the Governing Board
Institutional Mission Statement	[?]	http://www.umpi.edu/about-umpi/mission-statement	[?] 7/96

		URL	Print Publication
[?] Institutional Mission Statement	[?]	http://www.umpi.edu/about-umpi/mission-statement	Course Catalogue

	Related statements	URL	Print Publication
[?]	Vision	[?] http://www.umpi.edu/about-umpi/vision-statement	Course Catalogue
	Commitment	http://www.umpi.edu/about-umpi/statement-of-commitment	Course Catalogue
	Principle	http://www.umpi.edu/academic-resources/course-catalogue	Course Catalogue
	AA/EEO	http://www.umpi.edu/aa-eeo	Course Catalogue
	Accreditation	http://www.umpi.edu/news/fast-facts	Course Catalogue

Standard TWO: Planning & Evaluation

DESCRIPTION

Planning

UMPI has a clear record of systematic, collaborative, comprehensive, and ongoing strategic planning and evaluation since our reaccreditation visit in 2003. Furthermore, an expectation for such planning efforts is being inculcated within the campus culture and efforts at planning and evaluation are seen in all areas.

Prior to 2007 and the arrival of President Zillman and Vice President for Academic Affairs Michael Sonntag, UMPI utilized a strategic plan that had been in place since approximately 2000. It had been formulated by the Planning and Budget Committee, a standing committee of the University Senate, and was reviewed annually by that body. In the fall of 2007, President Zillman charged the newly hired Vice President for Academic Affairs with revising and implementing a new strategic plan.

The Planning and Budget Committee Chair interviewed faculty, students, and staff who served on the Committee to assist the Vice President for Academic Affairs in understanding the history of the plan, as well as its strengths and weaknesses. Once given the benefit of the historical perspective, it was agreed that the Vice President for Academic Affairs and this Committee would partner to bring the strategic plan in line with current and future goals and objectives for the University.

Beginning in November of 2007, campus community meetings were held by Dr. Sonntag to share analysis and review process and then to communicate progress on the plan's revision. At the beginning of the spring semester, the plan was made available for review through a link on the Institution's website and all constituencies of the campus and community were encouraged to comment on the draft. Additionally, the Faculty Assembly, Student Senate, and the University Senate were each asked to review the document during regularly scheduled meetings. To build campus buy in, it was important that numerous opportunities for dialogue, input, and inclusion in formulating this important document be available to the campus community prior to its ratification. These activities culminated in the University Senate's recommendation to the President for approval of the plan in March 2008. After the new strategic plan was vetted through the UMS leadership (see Summary of Strategic Plan for Chancellor), the document was presented to the public through a news release in state papers and a televised press release in August 2008.

The 2008-2013 Strategic Plan consists of two strategic goals, detailed through a series of objectives and tasks. The two goals are:

Strategic Goal I: Student Success: Student success is the focus of all UMPI endeavors. However, four areas are identified for targeted emphasis: academic programs, student affairs programs, academic support services, and connections and relevance.

Strategic Goal II: Institutional Fitness and Sustainability: In order to insure student success, UMPI will focus on the following emphases related to administrative and academic functions, institutional physical plant, customer service, governance, and financial management.

Because UMPI is part of the seven campus UMS, the strategic planning efforts of the UMS naturally inform campus priorities and plans. Concurrent with campus strategic planning efforts in 2007-2008, the UMS Chancellor was working on a system wide plan entitled *New Challenges, New Directions.* NCND, as it came to be known, was a comprehensive effort involving faculty and staff from all campuses, UMS staff, Board of Trustee members, and national consultants; it was approved by the BOT on Nov. 16, 2009 (see Final NCND Plan). NCND identified three goals for UMS:

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

Evaluation

UMPI has a clearly defined process for faculty, staff, and administrative evaluation of performance. Workers at the University are represented by five separate unions, including the Associated Faculties of the University of Maine System (AFUM), the Universities of Maine Professional Staff Association (UMPSA), the Associated COLT. Staff of the Universities of Maine (COLT), the Service and Maintenance Teamsters Union Local #340 (TEAMSTERS), and the Maine Part-Time Faculty Association (PAFTA). Guidelines, Policies and Procedures, and various forms guiding faculty and staff evaluations can be found within individual bargaining contracts at the UMS website. Examples of evaluations conducted can be reviewed in the HR office.

As detailed in Standard 4, plans, policies, and procedures are in place to evaluate the general education curriculum and every academic program regularly. A variety of surveys are routinely administered and reviewed to evaluate faculty and student perceptions of their experiences on campus, including the NSSE, BCSSE, and the FSSE. Additional surveys have been administered over the last ten years as need arises for information on specific issues (e.g., the LibQual), with data shared with relevant constituents as necessary.

APPRAISAL

Planning

During President Zillman's tenure, the campus moved increasingly away from a rigid system of committees toward a much more collaborative and inclusive model whereby discussions, input, and feedback included the campus as a whole. President Zillman frequently called all-campus meetings, met faculty and staff in their offices, met with student groups, and held other "check-in" activities to discuss strategic priorities. He also met monthly with UMPI Board of Visitors,

periodically with UMPI Foundation BOT, and a variety of community, economic, and workforce groups in Aroostook County to gather feedback on campus priorities.

More formal assessments of progress also occurred and were reported and responded to at a variety of levels. The types of reports and "closing the loop" activities have been varied across the life of the current strategic plan, with each opportunity crafted for a particular need (e.g., opinion gathering, information sharing, formal reporting, problem solving, and budgeting). Similar activities provided periodic assessment of progress on UMS strategic initiatives. The VPAA, Dean of Students, and Chief Financial Officer likewise routinely meet with their staff, faculty, and students as appropriate to gather and disseminate information.

For example, in May 2009, the VPAA held a meeting on campus to discuss initiatives addressing Strategic Goal 1 (see [Report from Academic Affairs](#)); similar reports from College Chairs were made in subsequent years. Such reports created feedback loops that led to beneficial changes in strategy and policy. As an example, based on feedback received following the May 2009 meeting, the allocated faculty development funding was raised from $900/event to $1,100/event.

In another example, to gain campus feedback concerning ideas for marketing and an update on perceived strengths and weaknesses of the university, administration undertook a comprehensive survey of faculty, staff, students, and alumni. The data from this survey (see [UMPI Marketing Survey results](#)) were summarized and shared by the president and shaped later marketing and improvement efforts.

Finally, in 2011, President Zillman requested an update on strategic planning initiatives undertaken following the 2007-2008 strategic planning process. The VPAA provided a report (see [Strategic Plan Report](#)) that was subsequently shared by the President with the UMS Chancellor.

As these examples demonstrate, UMPI developed and maintained a proactive strategic plan, has directed its priorities in line with that plan, and routinely provides measures of progress to a variety of constituents. Information and feedback from constituents are used to further refine planning and implementation plans in an ongoing cycle.

Evaluation

Administrators from the UMS Office and the BOT have become increasingly interested in and insistent upon ongoing yearly evaluations of all faculty and staff. For the last three years data have been collected on the completion rate of annual staff evaluations and campus Presidents have been held accountable for explaining any shortfall from a 100 percent completion rate. Beginning in 2012-2013, faculty evaluation completion rates were also included in this mandate. As can be seen in the table below, UMPI has shown improvement in its completion rates, but still falls short of 100 percent.

Completed Performance Reviews: Year-to-Year Comparison

FY 2010

University	Total # Completed	Total # Due	% Completed
UM	924	1619	57.1%
UMA	203	261	77.8%
UMF	85	240	35.4%
UMFK	82	89	92.1%
UMM	3	64	4.7%
UMPI	45	106	42.5%
USM	570	977	58.3%
SWS	141	141	100.0%
TOTAL:	**2053**	**3497**	**58.7**%

FY 2011

University	Total # Completed	Total # Due	% Completed
UM	1059	1555	68.1%
UMA	240	257	93.4%
UMF	153	224	68.3%
UMFK	81	92	88.0%
UMM	64	64	100.0%
UMPI	46	91	50.5%
USM	602	798	75.4%
SWS	157	157	100.0%
TOTAL:	**2402**	**3238**	**74.2**%

FY 2012

University	Total # Completed	Total # Due	% Completed
UM	1639	1639	100.0%
UMA	263	274	96.0%
UMF	204	230	88.7%
UMFK	82	92	89.1%
UMM	58	59	98.3%
UMPI	67	95	70.5%
USM	698	782	89.3%
SWS	148	150	98.7%
TOTAL:	**3159**	**3321**	**95.1**%

Exceptional progress has been made in the assessment of academic programs since the last self-study. When the NEASC E-Series was first released, the UMPI VPAA identified the E-2 model as the best fit for institutional needs, since our UMS central office requires periodic program reviews and concurrently the UMS Chancellor was encouraging UMS campuses to adopt the VSA. Thus, after a variety of meetings with faculty to discuss adopting the E-2 model, as well as meetings to evaluate the variety of general education assessment tools required by the VSA, the model was adopted and faculty agreed to implement the MAPP as our general education assessment tool (see UMPI College Portrait). Between 2007 and 2009, the VPAA and faculty created a calendar for assessing all academic programs and developed comprehensive policies and procedures for conducting program reviews that incorporate external perspectives as well as both qualitative and quantitative analysis (see UMPI Program Review Procedures). Assessment utilizing this approach is discussed in more detail in Standard 4.

Program Review Schedule for University of Maine at Presque Isle						
Submitted by Michael Sonntag, Vice President for Academic Affairs						
Academic Year						
2008-2009	2009-2010	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015
Athletic Trng (5) Sciences	MLT (7)	Teacher Ed (5) English History	Social Work (7) Math	Art	Athletic Trng (5) Business	Criminal Justice
2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	2021-2022
Teacher Ed (5) Sciences	MLT (7)	English History	Athletic Trng (5) Social Work (7) Math	Art	Teacher Ed (5) Business	Criminal Justice
Numbers in parentheses indicate the number of years in an externally determined cycle of review.						
Revised September 2012						

In the 1980s and the early 1990s, UMPI was routinely performing program reviews. However, by 2007 when the new VPAA arrived on campus, program reviews were not regularly scheduled and no formal assessments were occurring. With the establishment of a calendar and policy, program reviews were formally scheduled and include external reviews. (Science Program Review, English Program Review, History Program Review, Fine Art Program Review). (Program Review of BIO and ESS External Reviewer, Program Review of ENG External Reviewer and Program Review of HTY External Reviewer). Programs highlighted in yellow in the table above follow the guidelines of their external accrediting agencies rather than UMPI internally established procedures; all such programs have submitted self-studies and been reaccredited per the calendar above.

We have had only minor challenges to accomplishing program reviews as scheduled, with the Math program review—currently in draft form as of February 2014, and originally scheduled to be completed a year prior—as the only outlier. The delay can in large part be attributed to changes in leadership and turnover of faculty who assist with the self-study. Somewhat more significantly, we have not yet had success getting a significant number of seniors to complete the ETS (formerly known as MAPP) test that is part of the VSA. An alternative strategy for measuring the "value added" by our general education is currently being considered.

PROJECTION

Planning

As the strategic plan was being written, the campus began to use the term "fatigue points" to refer to chronic weaknesses or problems on campus that seemed to hamper success and progress. At this point, many such "fatigue points" no longer exist due to the actions taken under the strategic plan. As just one example, a reorganization of the academic administrative structure reduced from six to three the number of chairs and brought several academic groups together for the first time. At first, this reorganization was resisted by some, but over time efficiencies have been recognized, better communication ensued, and synergies recognized as groups came together around common issues. As the current strategic plan comes to a conclusion, the campus is well-poised to move forward with a revised mission, vision, and appropriate strategies. The strong leadership provided by former President Zillman (who finished his tenure two years ago) allowed the current President the continuing guidance of the previous strategic plan while she both formally and informally assessed the campus and formulated her own leadership strategy. President Schott's current work around mission and planning is discussed in Standard 01. Similarly, VPAA Sonntag, who led the previous strategic planning effort, departed UMPI at the end of January 2014, allowing a new academic leader to take the reins at the very time a revised mission, vision, and new strategic plan will be implemented.

President Schott has already increased the use of committees and small working groups to engage planning efforts, and she plans to utilize the Board of Visitors, the Foundation Board, and other groups more extensively in future planning.

Evaluation

We project that better efforts at reporting out the data and analysis to campus and other constituencies will further improve the feedback loops that have been created on campus. As an example, while NSSE and BCSSE data are routinely collected, only a handful of administrators review the data for trends. In the future, these data will be more widely disseminated for campus response; such efforts will be bolstered by initiatives such as our $200,000 Davis Educational Foundation grant that calls for tracking metrics for demonstrating success. (See Davis Foundation Grant proposal for detailed information.)

President Schott is fully committed to comprehensive personnel evaluations and has already directed all senior staff to ensure 100 percent compliance. Such evaluations are being used for both formative and summative assessment of performance and will create a culture of ongoing improvement across the campus.

We anticipate changing the assessment we use for the VSA to another, more senior-friendly instrument, or abandoning the VSA approach for something more manageable. As of February, 2014, UMPI has enrolled in the Student Achievement Measure (SAM), described as a "collaborative effort to provide a more comprehensive picture of student progress and completion" and currently incorporating 240 colleges and universities. See http://www.studentachievementmeasure.org/ for further information.

We anticipate that as the UMS seeks to reduce expenses, we will be asked to collaborate even further, thus sharing resources across campuses and with the UMS central office. For example, since the resignation of our institutional researcher and inability to fill the vacancy, the institution has utilized UMS centralized personnel. We anticipate an increase in such centralized services over the next ten-year accreditation period.

INSTITUTIONAL EFFECTIVENESS

In previous reports UMPI indicated that large amounts of data were collected, but were seldom systematically utilized for decision making. That pattern has clearly changed and with promised UMS staff support in institutional research and financial reporting, we are optimistic this trend will continue. UMPI now has an established culture of strategic planning and is undergoing an on-time process for creating a new strategic plan. Faculty and staff evaluation procedures are now in place and effectively utilized. Academic majors are similarly routinely reviewed and modified to ensure best instructional and programmatic practices.

Standard 2: Planning and Evaluation

PLANS	Year of Completion		Effective Dates		URL or Folder Number
Strategic Plans					
Immediately prior Strategic Plan	? 2000	?	2000-2008	?	[UMPI Strategic Plan 2000.pdf](#)
Current Strategic Plan	? 2008	?	2008-2013		[Strategic Plan Final Draft, external, 08-24-08.pdf](#)
Next Strategic Plan	? 2014	?	2014-2020		draft not yet available
Other institution-wide plans					
Master plan	?	?		?	
Academic plan	?				
Financial plan	?				
Technology plan	?				
Enrollment plan	?				[Admissions Enrollment Management Report.pdf](#)
Development plan	?				
General Education Curriculum plan	2012		2012-2014		[GEC Assessment Plan and Preliminary Report.pdf](#)
Plans for major units (e.g.,departments, library)					
? 1	?	?		?	

EVALUATION	URL or Folder Number
Academic program review	
Program review system (colleges and departments). System last updated:	? [UMPI Program Review Procedures.pdf](#)
Program review schedule (every 7 years)	[UMPI Program Review Schedule 2008-2022.pdf](#)
Sample program review reports (name of unit or program)	
1 Physical Therapy Assistant	? [PTA Self Study](#)
2 Athletic Training	[ATH Self Study](#)
3a History Self-Study	[History program review summer 2011.docx](#)
3b History External Reviewer Report	[Program Review of HIS external reviewer.docx](#)
4a English Self-Study	[English program review summer 2011.docx](#)
4b English External Reviewer Report	[Program Review of ENG external reviewer.pdf](#)
5a Sciences Self-Study	[Science Program Review.pdf](#)

5b Sciences External Reviewer Report	[Science Program External Reviewer Report](#)
6a Education Self Study	[College of Education Final self study Report 2012.doc](#)
6b Education External Reviewer Report	[Educational External Reviewer Report](#)
7 Social Work Self-Study	[Social Work Self Study](#)
8 MLT Self-Study	[MLT Self Study and External Reviewer Report](#)
	[ ](#)

System to review other functions and units

Program review schedule (every X years or URL of schedule)

Sample program review reports (name of unit or program)

1	

Other significant evaluation reports (Name and URL or Location)

	Date
1 Strategic Plan President's update (2011)	[Strategic Plan UPdate for President (2011)](#)
2 UMS NCND Plan (2009)	[UMS New Challenges, New Directions Plan (2009)](#)
3 Academic Affairs Report to Faculty (2009)	[Academic Affairs Update to Faculty (2009)](#)
4 Strategic Plan Update to UMS (2008)	[Summary of Strategic Plan for Chancellor.docx](#)

14

Standard THREE: Organization & Governance

DESCRIPTION

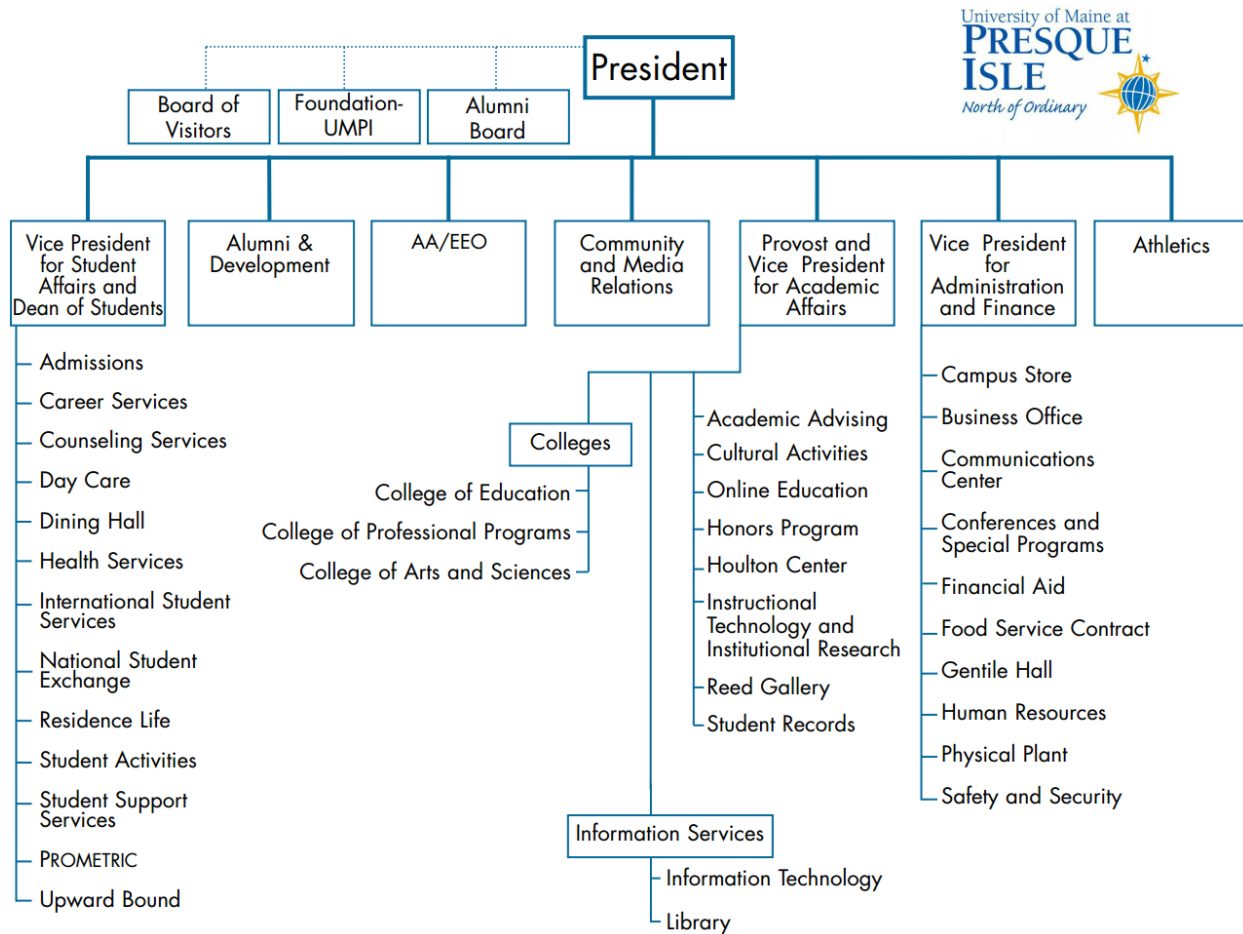### *The Board of Trustees and the University of Maine System*

UMPI is one of the seven campuses in the UMS, which is governed by a sixteen-member BOT. Fourteen Trustees are appointed by the Governor to staggered five-year terms; one seat is designated for a full-time UM-System student, appointed by the Governor for a two-year term; and the State Commissioner of Education is a Trustee, ex-officio. According to the BOT website detailing its duties and responsibilities, the Board has "final authority over all matters within its jurisdiction. The jurisdiction of the Board relates to, and is exercised over, inter alia, all educational, public service and research policies, financial policy, and the relation of the University System to the state and federal governments." The Board appoints a Chancellor who serves "at its pleasure" and as the "Chief Administrative and Education Officer of the University System." In addition, the Board appoints "Presidents of the various institutions and/or units of the University System" (including UMPI) and is "responsible for the preparation and approval of all operating and capital budgets, together with University System requests for appropriations, bond issues, and statutory changes, and for their presentation to executive or legislative branches of Maine government in accordance with the provisions of the Maine statutes." (See Policy Manual-BOT By-Laws for a complete listing of these duties and responsibilities.)

The BOT is thus the ultimate University decision making body, with its responsibilities including: establishing System-wide policies; initiating System-wide strategic planning; requesting funds from the Legislature; allocating budgets to individual campuses; negotiating System-wide collective bargaining agreements with six employee organizations; approving System campus mission statements as well as the creation or elimination of all degree programs and organization units. In addition, the Board is responsible for awarding tenure and approving appointments of all personnel earning $50,000 and above. Representatives from the Faculty and Students from all seven campuses attend Board meetings and serve on Board standing committees. The Chancellor is the chief administrator of the UMS and is responsible for program and budget control, public accountability, System-wide planning for academic and financial affairs, resource utilization, and physical facilities, legislative affairs, and public relations. The Chancellor is appointed by and serves under the BOT. The Presidents' Council composed of the president of the seven campuses meet regularly with the Chancellor on matters of strategy and governance.

UMPI Leadership

As recommended by the Chancellor, the President is appointed by the BOT as the chief administrative and educational officer of the campus. The President is responsible for all aspects of the campus operation within the campus mission, as well as plans and policies as stated by the Chancellor and the BOT. Other offices of the college include: Provost who also serves as the Vice President of Academic Affairs, (Interim)Vice President of Student Affairs who also serves as the Dean of Students, Vice President for Administration and Finance, Director of

Admissions, Director of Facilities Management, Human Resources Manager, (Interim) Athletic Director, Director of Development and Alumni Relations, Director of Community and Media Relations, and the Chairs of the Colleges of Arts and Sciences , Education and Professional Programs. The vice presidents comprise the President's Cabinet, which meets weekly with the President during the academic year.   An institutional organization chart is included below:

University of Maine at
PRESQUE ISLE
North of Ordinary

President

- Board of Visitors
- Foundation-UMPI
- Alumni Board

- **Vice President for Student Affairs and Dean of Students**
  - Admissions
  - Career Services
  - Counseling Services
  - Day Care
  - Dining Hall
  - Health Services
  - International Student Services
  - National Student Exchange
  - Residence Life
  - Student Activities
  - Student Support Services
  - PROMETRIC
  - Upward Bound
- **Alumni & Development**
- **AA/EEO**
- **Community and Media Relations**
  - Colleges
    - College of Education
    - College of Professional Programs
    - College of Arts and Sciences
  - Information Services
    - Information Technology
    - Library
- **Provost and Vice President for Academic Affairs**
  - Academic Advising
  - Cultural Activities
  - Online Education
  - Honors Program
  - Houlton Center
  - Instructional Technology and Institutional Research
  - Reed Gallery
  - Student Records
- **Vice President for Administration and Finance**
  - Campus Store
  - Business Office
  - Communications Center
  - Conferences and Special Programs
  - Financial Aid
  - Food Service Contract
  - Gentile Hall
  - Human Resources
  - Physical Plant
  - Safety and Security
- **Athletics**

UMPI, as with every UMS campus, maintains a Board of Visitors (BOV) whose members serve as liaisons between the University and the local community as well as serving as advocates for the University within Aroostook County and eastern New Brunswick, Canada. This group consists of fifteen members appointed by the President who serve for a term of three years, renewable for one consecutive term. This is a non-decision making body that has been involved in the selection of the President as well as the search process for any of the administrative positions of the campus. The primary objective of this group is to assist the University in developing a clear and unique niche within the UMS and in New England higher education. The Board serves as a resource for consideration of new programs and all recommendations are shared with the campus for discussion and possible action. (See BOV By-Laws for complete details of board membership, committees, and charges.)

Collective Bargaining

UMPI has five collective bargaining units. Full-time faculty are represented by the Associated Faculties of the University of Maine System (AFUM); part-time and adjunct faculty are represented by The Maine Part-time Faculty Association (AFT-Maine, AFL-CIO); professional staff are represented by the University of Maine Professional Association (UMPSA); classified staff are represented by the University of Maine Clerical, Office, Laboratory and Technical Unit (C.O.L.T.); University of Maine Clerical and physical facilities staff are represented by the Teamsters. All contracts are re-negotiated on a two year cycle and negotiations with all these entities are conducted at the System level.

Campus Governance, Administrative and Faculty Committees

The University maintains constituent assemblies that align with the collective bargaining units; Faculty Assembly, Part-Time Faculty group, Professional Staff Assembly, Classified Staff group, and Physical Plant. In addition, the University Senate functions as a centralized representative assembly with membership from each of the constituent assemblies noted above (see University Senate Constitution for specific details on its structure, organization, and committees).   After several years of relative inactivity and declining interest, the Senate undertook a major reorganization in 2011, leading to a newly written constitution and newly distributed membership. Currently, the Senate is comprised of three (3) faculty representatives, three (3) staff representatives (one professional, one clerical, and one physical plant), one adjunct faculty representative, a member of the Board of Visitors, and one student representative. In addition, a member of the Board of Visitors serves as a voting member at the invitation of the President, thus ensuring a connection to this important advisory board. Ex-officio membership includes: The President, the Provost and Vice President of Academic Affairs, the Vice President of Student Affairs/Dean of Students, the Athletic Director, the Director of Admissions, the Director of Student Records, the Assistant Dean of Students/Director of Residence Life, the Library Director, and the University Secretary (as designated by the VPAA). The Senate's charge currently states the following:

The University Senate shall be the official body, authorized by the UMS BOT, to make recommendations to the President of the University regarding the campus mission, policies, budgetary planning, and other matters. As part of the process of formulating recommendations, the Senate may ask relevant campus officers to meet with the Senate and discuss campus matters within their responsibility and offer their advice to the Senate. All recommendations of the University Senate shall go, in writing, to the President of the University, for action. The President of the University shall notify the University Senate in writing of action on all recommendations.

Thus, while the Senate is technically a recommending body, it is directly connected to all principal planning and organizational initiatives, with representatives to the 2014 Strategic Planning process (see Standard One), as well as serving as a recommending body for health and safety issues, such as the decision to become a "smoke free" campus in 2013.

The Student Senate provides both direct oversight of funding for various student activities and organizations as well as practical governance experience for the student body. The Senate

appoints student members to the UMS BOT and the University Senate as well as other positions where student representation is needed. Campus policies and procedures that impact students are reviewed and discussed during regular meetings. The Student Senate serves as the vetting body for funds to be allocated to Student clubs, organizations, and some activities are supported by student fees. A copy of the [Student Senate Constitution](#) for further information on its policies and regulations can be found here.

UMPI provides significant campus representation to System-wide initiatives, including the Distance Learning Steering Committee, General Education Task Force, Inclusiveness and Diversity Committee, and the T-4 committee that addressed the current scope and viability of e-learning and technology within the UMS.

Five faculty committees exist in support of the academic governance of the University and the role of each group will be discussed in more detail elsewhere in this report: (1) the Faculty Development Committee; (2) the Faculty Evaluation Committees located within each College; (3) the Curriculum Committee; (4) the Academic Standards Committee; and (5) the Academic Appeals Board, created by the Vice President for Academic Affairs.

APPRAISAL

The Board of Trustees and the University of Maine System

Several significant structural changes have occurred within the UMS over the past decade, which has seen no fewer than four Chancellors. Soon after assuming chief administrative duties in 2012, Chancellor James Page undertook a comprehensive review of the UMS administrative structure, leading to the suspension of the position and office of the Vice Chancellor for Academic Affairs. The Provosts from all seven campuses served as a task force advising the Chancellor in ensuring that the office most effectively met the needs and requirements of the campuses in terms of academic leadership.   The position was restored in fall 2013. Another important change in the operation of the BOT and the System office is the re-emergence of the System wide committee format which had fallen dormant under previous leadership. Board members, along with non-voting faculty and student representatives, now interact on issues organized on the Academic & Student Affairs Committee and the Finance/Facilities/Technology Committee. See [Academic and Student Affairs Committee](#) and [Finance/Facilities/Technology Committee](#), respectively, for detailed information about committee charges and duties.

UMPI Leadership

In 2007, the Vice President for Academic Affairs took on the task of updating and proposing a new Strategic Plan for the campus. Specific components pertaining to governance and administrative structure have, for the most part, been implemented. The administrative core has an identity and meets frequently under the leadership of the President. Collaborative initiatives promoted by the System have attempted to reduce managerial and academic duplication while at the same time encouraging each campus to maintain autonomy in how it serves the academic needs of the geographic location. The organization of academic programming under a three College system has accomplished more evident and effective cross

discipline initiatives, program development, and curriculum development. One example of this would be the purposeful development of on-line and distance learning courses and programs over the past two years. Both the College of Education and the College of Arts and Sciences now offer over 25 percent of their curriculum on-line and have entire programs than can be completed through that educational format. (See Standard Four for more detailed information.)

In an effort to provide alignment with the other System campuses and more clearly identify the role of Vice President for Academic Affairs, in 2012 President Don Zillman added the title of Provost to that position. Due to the level of System responsibilities as well as the oversight of the day-to-day academic operations of the campus, Dr. Zillman believed this title change was in the best interest of the campus and more accurately reflected the responsibilities entailed.

Campus Governance, Administrative & Faculty Committees

The process of re-organization of Academics as recommended in the strategic plan was initiated in 2009 with the creation of three Colleges and the Center for University Programs. Faculty members were recommended to the posts by faculties within the respective Colleges and the Vice President appointed those recommendations along with a veteran faculty member to direct the Center for University Programs. These changes were designed to encourage more interaction and collaboration among academic programs and to promote the campus as offering three academic foci: Arts and Sciences, Education, and Professional Programs. To date, the three Colleges continue to meet the objectives identified as the rationale for the re-organization. The Center for University Programs was eliminated after approximately two years and the responsibilities of that structure were split between the College chairs. It was determined the existence of a separate Center was not effective and the work could be accomplished more effectively within the larger college structures.

Another major initiative addressed by the University's organization and governance was the objective of improving student retention. Administrative re-organization as well as significant work done under the auspices of a NERCHE grant brought the offices of academic and student affairs closer together, allowing more effective student service through new student orientation, the creation of student support specialist positions, an Office of Advising, renewal of programming dealing with student support and other co-curricular activities.

As noted above, in 2010, the University Senate structure was no longer found to be fully effective for a number of reasons. Committees initially organized under the Senate had migrated to other assemblies; for instance, the Academic Standards Committee moved to Faculty Assembly, the Student Life Committee's mission was duplicated by a committee appointed by the administration and other, more recently appointed, committees were either never populated or failed to meet regularly. Attrition was a major contributing factor, with several faculty members who had established various committees retiring or leaving active campus governance roles. In addition, the Faculty Assembly was strengthened by returning both the Curriculum Committee and Academic Standards as reporting bodies, thus depriving the Senate of two major oversight roles. This also contributed to gradually lowering levels of faculty participation, as faculty attention became focused upon the Assembly, leading to habitually unfilled Senate seats. Additional Assemblies (e.g., Professional and Classified) also

demonstrated decreasing levels of participation, particularly following the faculty migration. By 2010, the Senate had ceased regular meetings, leading in 2011 to an appointed committee with representatives from the administration and all Assemblies to explore the viability of maintaining a Senate organization.

This committee conducted open meetings until October 2012. Active discussion with faculty, university employee and student representatives resulted in the ratification of a revised Constitution that dropped all standing committees from the University Senate responsibilities. (See the University Senate Constitution for complete details). The one remaining functional committee, the University Day Committee, moved to the Faculty Assembly as a part of the ratification process. A structure was developed through the appointment of a representative body of all assemblies, including the Adjunct Faculty Assembly which had heretofore gone unrepresented, even under the former University Senate. The University Senate is now fully populated and, as noted above, recently recommended a University –wide ban of tobacco products on campus, which took effect in 2013.

There have been no substantive changes in the structure or work of the Faculty Assembly or the Student Senate. There is a renewed interest from both those constituent groups to attain a more visible, active role at the UMS BOT level. Currently the campus sends a faculty and student representative to all Board meetings and these two constituencies are working together to establish a more effective role of collaboration with the Board. Contractual negotiations for the five collective bargaining units have proven particularly difficult over the past five years, with the faculty unit operating nearly two years without a contract.

The Faculty Assembly meets monthly, although attendance has sometimes been only marginally above quorum regulations. Generally, a core of 20 faculty members (out of roughly 50) attend regularly. An additional 10 -15 faculty members, based upon specific agenda items, attend less regularly. Thus, roughly 60percent of the full-time faculty either regularly or periodically engage in faculty governance. The remaining assemblies meet less frequently so proposed actions or deliberation of issues before the University Senate often are not debated by the constituent bodies. A much higher level of energy and willingness to grapple with challenging issues exists among those now participating in campus governance, even though the Senate continues to meet irregularly. Examples of this renewed engagement include the formation of the Environmental Stewardship committee, the result of recommendations from students in an Honors Program Seminar who reviewed the campus environmental policies. This student-initiated body regularly addresses issues such as recycling, the reduction of the campus carbon footprint, and the use of chemicals around the physical plant. Another example of broad-based constituent work is the aforementioned recent ban of tobacco products on campus. See UMPI's Tobacco Policy for complete information on this policy, which went into effect on June 1, 2013.

During the past five years, the Faculty Assembly has formulated and administered annual evaluations for the President and Vice President of Academic Affairs. Additionally, the Vice President for Academic Affairs office has distributed a Chair evaluation tool. These actions developed out of the recognition that no formal mechanism existed for assessment of these roles within the governance structure. Results from the President's evaluation are given to the President and the Chancellor and the President receives the results of the Vice President's

evaluation results. Outcomes of the Chair evaluations are managed by the Vice President who reviews that information with the relevant people. However, such evaluations were not administered the past two years.

PROJECTION

UMPI resembles many U.S. public academic institutions in this time of reduced state allocations and increased external pressures, in terms of its continued resiliency and dedication to maintaining effective campus governance and thus protecting the well-being and interests of its constituents, whether they be faculty, staff members, or students. Although each of the ranking administrative offices has seen turnovers within the past two years—including the University President, Vice President for Student Affairs, Vice President for Administration and Finance, and (as of January, 2014) the Provost and Vice President for Academic Affairs—transitions have gone relatively smoothly with a minimal disruption to general campus operations. The administrators chosen to fill these roles have both maintained a sense of stability and positioned the campus to make vital academic and structural changes to ensure its continued viability. (See Standard One regarding changes to the Mission and Vision and recently implemented Strategic Plan.) Deliberate and inclusive organizational decision making will remain essential toward moving the institution forward in its continued efforts to develop a unique niche in the current academic landscape.

Most important, a stronger general sense of trust and openness between faculty and administration has emerged since President Don Zillman's tenure. Dr. Zillman was appointed following a faculty "no confidence" vote of the prior President, Karl Burgher, who resigned his post in the summer of 2006. Zillman was dedicated to re-establishing positive relationships with the various bargaining units on campus and the faculty and its labor union in particular. Since her appointment, President Linda Schott has continued to develop an atmosphere of transparency, shared governance, and collaboration (most recently between Academic and Student Affairs, as noted in Standard Two). This sense of increasing trust and collaboration persisted even through the collective bargaining decision on the part of the faculty in spring 2013 to ''work to rule" following nearly two years of working without a contract. With the contract settled as of January 2014, the campus community is well-poised to move forward in implementing its revised mission and vision, along with its new Strategic Plan (to be completed by May 2014 for implementation in fall 2014).

INSTITUTIONAL EFFECTIVENESS

By means of its established and contractually-instituted system of shared governance, UMPI maintains an effective structure of Assemblies and its University Senate, providing inclusive representation that supports our institutional mission and academic integrity. As illustrated by the completed restructuring of the University Senate, the institution routinely revisits the cogency and effectiveness of its governance structures. The dedication of recent administrators to establishing a climate of collaboration and respect has been reciprocated by both faculty and staff, leading to a more productive general environment (as illustrated by the increased productivity of faculty in terms of service and professional accomplishments, along with greatly increased grant procurements and community outreach—see Standards Four and Five for detailed information). In turn, the emphasis on collaborative work between Student Affairs and

Academic Affairs, as illustrated by the establishment of the Center for Student Success (see Standard Four), which relies upon integral and sustained partnerships between faculty and Student Affairs staff, promises continued gains in terms of student retention and satisfaction in their educational experience. Thus, the organization and governance structure of the institution, guided by recent leadership, serves to empower faculty, staff, and students alike in contributing to a challenging and dynamic environment.

While the institution has thus made critical steps toward ensuring the continued viability of its governance structure as well as maintaining productive relationships between administration and the groups represented by its assemblies and senates, the institution will continue to strive for greater transparency, stronger communication among units, and routine assessment of its governance structures.   These will include effective, formative evaluations of executive leaders and work with colleagues throughout the UMS related to evaluation of the UMS BOT.

Standard 3: Organization and Governance

Please attach to this form:

    1) A copy of the institution's organization chart(s).

    2) A copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the legal authority of the institution to award degrees in accordance with applicable requirements.

If there is a "related entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution.

Name of the related entity	
URL of documentation of relationship	

Governing Board   **URL**

By-laws	http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section103/
Board members' names and affiliations	http://www.maine.edu/about-the-system/board-of-trustees/board-membership/

Board committees	URL or document name for meeting minutes
UMS Trustees	http://www.maine.edu/about-the-system/board-of-trustees/
UMS Chancellor	http://www.maine.edu/about-the-system/chancellors-office/

(Insert additional rows as appropriate.)

Major institutional committees or governance groups*   URL or document name for meeting minutes

UMPI University Senate	https://itssps.its.maine.edu/umpi/senate/Shared%20Documents/Forms/Allitems.aspx
UMPI Faculty Assembly	https://itssps.its.maine.edu/umpi/faculty/Shared%20Documents/Forms/Allitems.aspx
UMPI Professional Assembly	https://itssps.its.maine.edu/umpi/PA/default.aspx
UMPI Classified Assembly	https://itssps.its.maine.edu/umpi/CA/default.aspx
UMPI Board of Visitors	http://www.umpi.edu/static/neasc/committees-governance/UMPI%20Board%20of%20Visitors/
UMPI Foundation Board	http://www.umpi.edu/static/neasc/committees-governance/UMPI%20Foundation%20Board/

(Insert additional rows as appropriate.)

*Include faculty, staff, and student groups.

Standard 3: Organization and Governance
(Locations and Modalities)

Campuses, Branches, Locations, and Modalities Currently in Operation (See definitions, below)

(Insert additional rows as appropriate.)

	City	State or Country	Date Initiated	Enrollment*
? Main campus	Presque Isle	ME	1903	1263 headcount/12638 credit hours
? Other principal campuses				
? Branch campuses	Houlton (does n	ME	2003	n/a
? Other instructional locations				

Distance Learning, e-learning				Enrollment*
		Date Initiated		3255 credit hours
First on-line course		2006		
First program 50% or more on-line		2011		
First program 100% on-line		2012		

? Distance Learning, other			Date Initiated	Enrollment*
Modality	Distance ITV and Video Conference		1989	784 credit hours

? Correspondence Education			Date Initiated	Enrollment*

Low-Residency Programs			Date Initiated	Enrollment*
Program Name				

Standard FOUR: The Academic Program

DESCRIPTION

In fulfillment of its mission as a regional baccalaureate institution, UMPI offers 26 undergraduate academic majors in the arts, sciences, education, and the professional fields. Of those academic majors, six lead to Associate degrees, seven to the Bachelor of Arts degree, one to a Bachelor of Fine Arts, eight to the Bachelor of Science degree (four in Education and Physical Education), one to a Bachelor of Art in Art Education, and one to the Bachelor of Social Work. Students at Presque Isle may select from 30 academic minors, eight concentrations, and three Certificate Programs. The University offers both on-site and on-line majors (the latter in English, History, Psychology, and Liberal Studies). Presque Isle also offers its OpenU program to any interested academic (non-matriculated) learner in a number of disciplines. Aside from general NEASC accreditation, individual programs are accredited by specific agencies: all Teacher Education programs by the Maine Department of Education, the Medical Laboratory Technology-Associate Degree program by the National Accrediting Agency for Clinical Laboratory Sciences, the Social Work program by the Council of Social Work Education, Physical Therapist Assistant by the Commission on Accreditation in Physical Therapy Education, and the Athletic Training Education program by the Commission on Accreditation of Athletic Training Education.

The past ten years have seen a crucial and strategic series of development, revision, and restructuring of Presque Isle's academic programs. In 2008, the university's individual departments were consolidated into three Colleges: Arts and Sciences, Professional Programs, and Education. Each College was assigned a Chair from existing faculty ranks (voted upon by the faculty and approved by administration). This was modified in fall 2013 to include a Chair of the College of Arts and Sciences along with an assistant chair (designated to address the needs of the science and mathematics programs) and a Chair of the College of Professional Programs, with an assistant chair assigned to the College of Education. This has served to improve coordination and communication among programs, reduce costs and duplicative services, and provide stronger academic leadership and coordination.

Following Strategic Goal I of the University's 2008-2013 Strategic Plan, the institution reviewed both professional and non-professional programs to ensure the support of "high-quality, mission-relevant" majors (Objectives I-1 and I-2). In addition, the university added three programs (Physical Therapist Assistant, A. S., Special Education Paraprofessional, A.A., Professional Communication, A.A.); substantively revised a number of its historically significant programs (including Business Administration, Environmental Studies and Sustainability, Recreation/Leisure Services, and English); and suspended or eliminated under-performing programs (including concentrations in Political Science and Behavioral Science/Sociology). In accordance with Objective 1-3 of Strategic Goal I, evaluating the "impact on student learning of recent changes to the general education program," UMPI undertook a major revision of its General Education Curriculum (GEC), as well as developing, scheduling, and undertaking its first systemic assessment. In addition, all majors, along with the General Education Curriculum, now incorporate specific program outcomes and undertake regular assessment of these outcomes; all classes also document specific learning objectives.

UMPI now provides distance education and e-learning-based courses and programs in multiple venues. The university maintains a significant additional campus, the Houlton Higher Education Center (HHEC), in Houlton, Maine, 40 miles to the south of the main campus, providing an important educational, cultural, and economic presence in the southern Aroostook area. (Important note: the HHEC is not considered a "branch" campus, but incorporated formally, in terms of reporting structure, with UMPI.) The building (formerly an abandoned supermarket) was presented as a gift to the University by the Hannaford Brothers and a subsequent $2 million allocation from the legislature made possible the necessary renovations to create a modern educational facility. Although managed by UMPI, the HHEC is maintained as a cooperative venture among several significant partners, including Northern Maine Community College, the Carlton Project (a private, non-profit alternative high school), Women Work and Community, and the Houlton and Hodgdon Adult Education programs. UMPI broadcasts (and receives) video conferencing-based courses to the HHEC each semester; in addition, courses are broadcast from HHEC statewide via video conferencing to each of the Education Centers within the University College network. The University College, a distance learning vehicle of the UM-System, maintains statewide video conferencing and ITV services to students at all campus and center locations. The HHEC employs adjunct faculty specifically assigned to deliver courses at its campus; in addition, full-time UMPI faculty routinely travel to deliver courses at the HHEC each semester.

UMPI also provides a limited number of courses, primarily in Business Administration, to a site located at the Loring Commerce Center, formerly known as Loring Air Force Base. Loring was closed in 1994, ending a highly successful partnership between UMPI and the Air Force to deliver substantial courses to service and family members. With the opening of the government's Defense Finance and Accounting Service (DFAS) in 2005 and a Job Corps Center, UMPI once again began delivering classes, mainly to professionals looking to complete or continue degrees and credentials at DFAS.

UMPI has significantly increased its e-learning on-line course and program presence over the past five years, now offering its General Education Curriculum and four majors (English, History, Psychology, and Liberal Studies) completely on-line. No UMPI programs offered either at the HHEC or via on-line modalities differ in terms of requirements and program goals/objectives from traditional "live" modalities available on the main campus. Both on-line and HHEC students may attend in a non-degree status or matriculate at UMPI or any other campus in the UM-System in programs employing on-line and other distance modalities. Currently, approximately 25 percent of all enrollments are generated through on-line and other distance education modalities, provided either through the UMPI campus or the HHEC.

In order to broaden national and international education opportunities for students, the campus participates in the National Student Exchange program, as well as student exchange agreements with the New England/Quebec Student Exchange, St. Mary's University in Halifax, Nova Scotia, Kingwood University in New Brunswick, Canada, the Lertla consortium (Thailand), and the College Consortium for International Studies. UMPI also has transfer agreements with several universities in the People's Republic of China, resulting in a gradually expanding cohort of Chinese national students enrolled in specific programs (mainly Business Administration and Mathematics).

Through the Conference and Special Programs Office, UMPI sponsors short courses in Management and Human Resources by the American Management Association, as well as an enrichment program for senior citizens (SAGE). Conference and Special Programs also contracts with outside organizations for use of various campus facilities for a wide variety of activities that serve people and organizations in the region (e.g., Aroostook Right to Read, Gear-Up, TRiO programs, and the summer youth program, Project Explore). These arrangements consist of a formal agreement procedure and fee schedule to ensure the appropriateness of all activities.

In fall 2012, UMPI initiated OpenU, a "local open on-line course" program (or LOOC), initially comprised of English, History, Political Science, and Professional Communication courses. The program was designed explicitly to provide maximal student interaction and learning through direct interaction with instructors and matriculated students. Rather than create an automated (completely virtual) and isolated learning environment, as is the case with most MOOCs (massive open on-line courses), resulting in precipitously low rates of completion (generally under 5 percent for "participating" learners), OpenU engages "learners" within the actual classroom—live or through on-line modalities. As a result, OpenU learners (ranging from high school students to senior citizens, but mainly from within the state of Maine), directly participate in all activities within regularly scheduled courses. UMPI faculty volunteer their time to this project, which places a maximum of 5 OpenU learners within designated courses. In addition, all materials mandated by designated courses come at no cost to both matriculated students and OpenU learners. Approximately 35 individuals sign up for OpenU classes each semester. See the following documents for complete details and an example of the course selection form available to interested learners: OpenU Purpose and Policies; Sample OpenU Course Selection Form; OpenU website).

Undergraduate Degree Programs

The baccalaureate degree requires the completion of 120 credit hours with a cumulative grade point average of 2.0 and no less than a minimum of 2.0 in the major (some require a higher minimum G.P.A.). All students must fulfill General Education Curriculum requirements of no fewer than 40 credit hours, and requirements of a major which range from 40 to 84 credit hours. The remainder of the degree credit requirements may be filled by prerequisites, electives, or by the selection of minor(s) or a second major. All undergraduate degree programs have requirements that include introductory courses leading to upper division required courses and electives. The number of credit hours per major is widely determined by discipline and professional field and, in specific cases, external accrediting bodies (e.g., Social Work, Elementary and Secondary Education, Athletic Training, Physical Therapy Assistant). This can result in highly proscriptive program completion plans. For example, Education majors completing the core and requirements for certification in Elementary, Secondary, and Special Education have limited opportunities for elective courses (beyond GEC, Education, and discipline area classes). Such requirements may significantly affect students' freedom to explore areas outside their major and core. All programmatic learning goals and requirements are published in the Course Catalogue and disseminated at programmatic levels. Both GEC-level coursework and upper division coursework within individual majors assure that students receive support in information literacy and demonstrate collegiate-level skills in the English language (see "General Education" and "The Major or Concentration" below for further information).

Although minors are not required for graduation, students may elect to earn them; minors typically require completing between 18 and 24 credits of required courses and electives in a discipline other than the student's major. GEC courses may often be used to fulfill minor requirements as well. In addition, the Liberal Studies major allows students to incorporate minors as the major's "concentration" (with a minimum of 18 credit hours). Students then complete the Liberal Studies degree with a minimum of 24 credit hours of upper-level electives (these courses cannot be already counted within the GEC). In turn, this allows students to develop multiple concentrations within the Liberal Studies degree, such as Political Science and Pre-Law concentrations, Professional Communication and Management Information System concentrations, or English and Film Studies concentrations.

New degree programs have traditionally emerged through individual faculty or programmatic initiatives. During the past five years, specific UMS initiatives made available funds providing essential start-up resources for specific programs such as the Physical Therapist Assistant, A.S. Program proposals involving concentrations, minors, and revisions to existing majors proceed from the Colleges to the Curriculum Committee, the Faculty Assembly, and subsequently to the Provost and President. Formal and informal conversations during this process are facilitated by the Chairs between faculty and administration. Proposals involving new degrees (such as the P.T.A. noted above) or major program additions, suspensions, or deletions within approved degrees must proceed beyond campus administration and ultimately be approved by the System's BOT. For any program to be eliminated, Trustee policy requires the development of a Program Elimination Proposal with attention to specific guidelines.

Proposals to add, delete, or modify courses, minors, or concentrations are completely under campus jurisdiction. All proposals must first be approved by College Chairs before submission to the Curriculum Committee, which examines issues of program appropriateness, General Curriculum requirements, course numbering and designation, and learning objectives and instructional design/modality. The Curriculum Committee routinely examines all Catalogue courses for appropriate pre-requisite and placement test threshold designations and proper assignation within program plans of study and the General Education Curriculum. Within the past year, College Chairs have undertaken a systematic process of ensuring that all courses with permanent Catalogue assignations clearly identify and assess specific learning outcomes (See Arts and Sciences Course Objectives and Professional Programs Course Objectives for complete listing). In addition, all majors have identified program goals and outcomes and completed at least one round of assessment of progress toward meeting stated goals and outcomes (See Program Review Methods Arts and Sciences for a complete listing of program goals and outcomes. Professional Program goals and outcomes are listed separately in the following documents: Athletic Training Program Assessment; Business Program Assessment; Criminal Justice Program Assessment; Recreation Program Assessment; Social Work Program Assessment. The College of Education lists its assessment of goals and outcomes under its regular state accreditation documentation: CoE Final Self-Study Report). Whenever possible, the University and individual programs make provisions for students impacted by curricular change to complete the program with minimal disruption, granting waivers as appropriate, or grandfathering current students under the major requirements in place when the students declared their majors. In the rare situation when programs are eliminated, students nearing graduation are accommodated, sometimes taking their last major courses as independent studies or accepting substitute courses from other campuses within the UMS (through various

modalities). Through advising by faculty and the Center for Student Success staff (including Student Support Services and Advising personnel), students are kept apprised of changes to program requirements.

Transfer policies are guided by articulation agreements and institution-specific policies. UMS now maintains a [Transfer Credit Evaluation Portal](#) that allows current and prospective students to identify precisely course-by-course transferability among the seven campuses as well as program transferability. Transfer of courses to be applied to the major, minor, or concentration is reviewed by faculty in the appropriate department or discipline and approved by College Chairs. Currently, through the University of Maine Transfer Initiative, the UMS is developing a comprehensive transfer policy between each of the seven System institutions as well as the Community Colleges. This will greatly assist students in identifying qualifying courses for transferability within specific programs and majors (including General Education credit).

The University Catalogue for the year in which a student initially matriculates documents all necessary information on specific degree programs and GEC requirements. The Office of Student Records maintains a transcript analysis for each student detailing the degree program and year of entry and is updated automatically (through MaineStreet programs) to determine degree eligibility. In addition, a final transcript analysis is undertaken by the Office of Student Records the semester prior to graduation and sent to faculty advisors as well as College Chairs to ensure graduation eligibility. All such information is also available on-line. Programs such as Teacher Education, Athletic Training, Social Work, and Physical Therapist Assistant produce student manuals with details of program requirements for student teaching and clinical placements.

The UMS mandates periodic evaluation of each program and publishes procedural guidelines on the System website. UMPI incorporated a seven-year Program Review cycle with variations for situations where professional program accreditations occur on a different schedule. Each Program Review involves a self-study, an evaluator, and (if deemed necessary), a campus response. In place of on-line published procedures for program review, UMS accepts external accreditation reports. At UMPI, programs with external accreditation include Teacher Education (in Elementary, Secondary, Physical Education, Special Education, and Art), Medical Laboratory Technology, Athletic Training, Physical Therapist Assistant, and Social Work. Program reviews may result in recommendations for modification, suspension, or the elimination of a program. Reviews are kept on file in Academic Affairs as well as in the System Chancellor's Office where they are available for reference by members of the BOT. Programs that have undergone review in the past five years, since academic reorganization, include Biology, English, Environmental Studies and Sustainability, History, and Mathematics; external accreditations have been completed by Athletic Training, Education, Medical Laboratory Technology, Physical Therapist Assistant, and Social Work.

The General Education Curriculum (GEC)

The General Education Curriculum (GEC) at UMPI functions on the assumption that all graduates should receive a core of common competencies, providing a broad base of knowledge and skills. The GEC represents our ongoing efforts to provide a common learning experience for our students that will distinguish them from among their peers and prepare them for an uncertain future in a changing society regardless of their major.

Since 2003, the GEC has undergone two major revision processes, resulting in a curriculum that is now proficiency-based, provides a greater degree of educational scaffolding through the student's entire academic career, and has (for the first time in the institution's history) been comprehensively assessed (and will continue to be regularly assessed). In March 2007, under direction from its President, the UMPI faculty adopted a revised GEC designed to reduce the number of mandatory credit hours of completion to 40 (actual number of necessary hours dependent to some extent upon individual program requirements) and to revise the GEC from a completely distributive model to one "synthesizing disciplines to provide a total university experience, producing a liberally educated graduate, regardless of major." The GEC was divided into two inter-connected sections: Foundations of Knowledge (comprising 15-16 credit hours) and Approaches to Learning (comprising 31-33 credit hours). In addition, a Writing Intensive course (at the upper division level, specific to disciplines) and a Technology Intensive course were required (which could be met by specific courses in the above noted sections). This provided a minimal level of educational scaffolding and also a small number of high-impact educational practices (e.g., First Year Seminars, Writing-Intensive Courses, Diversity and Global Learning and (optional) Service Learning and Community-Based Learning experiences). See 2007 GEC.

In Fall 2011, the Provost constituted a General Education Curriculum Task Force, led by the Chair of the College of Arts and Sciences and composed of faculty from each of the three Colleges (Arts and Sciences, Professional Programs, and Education), as well as ex officio representatives from Student Services (the Director of Student Records and Director of Advising). The task force was charged with evaluating the efficacy of the existing GEC, making necessary recommendations to Faculty Assembly for revisions, and subsequently instituting a formal assessment process. The task force undertook an examination of the GEC in regards to its potential (re) alignment with the LEAP Essential Learning Outcomes (Liberal Education and America's Promise), producing a document that mapped existing curricular components of the GEC (not previously designated) and establishing five proficiency-based Essential Learning Outcomes (ELOs) representative of the GEC's philosophy and goals. It further identified specific measurable objectives within each of the ELOs to the curricular components and made specific recommendations to the Faculty Assembly, both toward the adoptions of identified ELOs and objectives and to necessary revisions within the GEC in terms of courses and curricular components. The Faculty Assembly adopted all of the recommendations. The adopted ELOs are: (1) Effective Written and Oral Communication; (2) Critical Thinking; (3) Quantitative Reasoning; (4) Information Literacy; (5) Global Consciousness and Intercultural Awareness. See General Education Essential Learning Outcomes 2012 for a copy of the GEC's curricular components, Essential Learning Outcomes and objectives, and the map of ELOs to curricular components. The General Education Essential Learning Outcomes 2013 document (noted above) reflects the changes made to this document in December 2013. Finally, the task force mapped each individual outcome to each course represented in the GEC; a final report was made to the Faculty Assembly and adopted. See General Education Course Objectives for a copy of individual objectives as incorporated in each GEC course. Each General Education course now designates these specific ELOs and objectives in its syllabus. See ELO Objectives Map 2013 for a spreadsheet indicating each of the ELOs and individual objectives as addressed by the overall GEC.

In Spring 2012, the task force undertook a comprehensive assessment of the GEC, beginning with ELO #1 (Effective Written and Oral Communication), continuing with ELOs #2 and #3 in Fall 2012, and concluding with ELOs #4 and #5 in Spring 2013. Each faculty member teaching a GEC course addressing the assigned ELO(s) was responsible for assessing student achievement levels through a series of standardized rubrics (see ELO 1 Rubric for a sample of the rubric for ELO #1). In addition to this course-based direct assessment, the task force produced an Assessment Plan and Preliminary Report, presented both to the Provost and Faculty Assembly, detailing course-embedded assessment and direct and indirect assessment procedures regarding the GEC (e.g., Beginning College Survey of Student Engagement, National Survey of Student Engagement and Faculty Survey of Student Engagement), assessment frequency rates, and a permanent assessment process. See GEC Assessment Plan and Preliminary Report for a copy of this report, which was adopted by the administration.

In September 2013, the task force undertook the charge of transforming the GEC entirely from its historical distributive model to a proficiency-based program. The task force undertook this charge by first examining the outcomes of the self-assessment process, completed in the summer of 2013, along with comments from several semesters of student evaluations, which (in summary) indicated (a) that many students did not fully understand the "purpose" of the GEC and saw it merely as a series of required courses; (b) that there was only a modest correlation between course grades and proficiencies within stated ELO objectives of individual courses; (c) based upon their self-assessment, faculty frequently did not believe students had demonstrated sufficient proficiency within these objectives upon completing GEC coursework.

The following charts illustrate the raw scoring of the GEC assessment from data gathered between spring 2012 and spring 2013. Faculty were requested to randomly assess competency of the specific ELO objectives of no fewer than 33 percent of enrolled students within each General Education course using a 1-3 (none to highest) scale.

ELO 1	Objective 1	Objective 2	Objective 3	Objective 4
Median	2	2	3	2
Mode	2	2	3	3
Average	2.10	2.19	2.30	2.08
ELO 2	Objective 1	Objective 2	Objective 3	Objective 4
Median	2.75	2	2	3
Mode	3	2	2	3
Average	2.37	1.97	2.59	2.36
ELO 3	Objective 1	Objective 2	Objective 3	Objective 4
Median	2	2	2	2
Mode	2	2	2	2
Average	2.28	2.25	2.15	2.10
ELO 4	Objective 1	Objective 2	Objective 3	Objective 4
Median	2.5	2	3	3
Mode	3	2	3	3
Average	2.50	2.24	2.46	3.00

ELO 5	Objective 1	Objective 2	Objective 3	Objective 4
Median	3	3	2	2
Mode	3	3	2	2
Average	2.51	2.47	2.20	2.38

Throughout the fall 2013 semester, the task force significantly revised both the individual objectives in each of the five ELO categories with which students were charged with demonstrating proficiency and significantly reduced the number of courses that were assigned to provide these proficiencies. In December, the task force presented a revised GEC to the Faculty Assembly, re-designed to focus upon educational objectives—or competencies—rather than disciplinary coursework. The task force will produce detailed rubrics in spring 2014 identifying proficiencies and benchmarks for the entire GEC (see Revised ELO 1a Rubric for an example of the proposed revisions). The fully revised, proficiency-based GEC will go into effect in fall 2014 as the first such proficiency-based General Education Curriculum in the UMS. See General Education Essential Learning Outcomes 2013 document for a copy of this revised document.

The Major or Concentration

As noted above, majors range from 40 to 84 credit hours or approximately one to two-thirds of the student's degree program. The requirements for academic majors, programs of study, course sequencing, and course information are published in the Course Catalogue. Many departments maintain a web page, publish program manuals, and some also utilize social networking sites such as Facebook to disseminate information. All academic majors are designed to lead students through introductory, intermediate, and advanced coursework. Some majors, including English, Environmental Studies and Sustainability, History, and Liberal Studies, allow for creative sequencing of requirements with attention to the major concentration areas. Other programs, including Athletic Training, Biology, Business Management, Criminal Justice, and Social Work, require a more standardized sequence of courses and that students follow a formalized sequence of courses. Some programs require a greater level of prerequisite scaffolding (e.g., Biology), while others have minimal prerequisite levels (e.g., History). Certain programs require completion of specific courses before students may apply for admission to the program (e.g., Elementary and Secondary Education). Still others, such as Physical Therapist Assistant, Medical Laboratory Technician, and Education, lay out the student's plan of study from initial to final year, with highly limited options (often due to time of completion constraints, particularly in the case of two-year programs such as Physical Therapist Assistant). Each of these programmatic structures adheres to standards within specific disciplines and is validated by the external review or accreditation process.

Academic programs are supported through a centralized budget maintained by Academic Affairs and by additional budgets maintained by specific programs (including a "Sciences" budget, a "Fine Arts" budget, etc.), generally used for laboratory purchases, equipment purchasing and maintenance, and studio course requirements.

The administration of the academic programs occurs at the program level under the oversight of the College chair. Course schedules and teaching assignments for both majors and the GEC

are determined by program faculty under the guidance of the appropriate chair. Departments develop their own courses and are responsible for course content; delivery of instruction is maintained at the College level. Individual instructors develop course syllabi, with programmatic guidelines determined by full-time faculty in the case of GEC courses. Instructors, with input of College chairs, determine course delivery modalities.

Several programs, including Social Work, Criminal Justice, Psychology, Environmental Studies and Sustainability, Athletic Training and Physical Therapist Assistant, as well as Education, either require or strongly encourage students to complete an internship or other type of field experience. Matriculated students in good academic standing and of specific class standing are eligible for placement following specific programmatic requirements (i.e., a student must be a "sophomore" to be successfully admitted to the Education programs). Matriculated students may also choose to enroll in independent studies, in which a detailed plan is created in conjunction with the supervising instructor. Specific policies for submission of independent studies may be found in the Course Catalogue.

Advising is viewed as both crucial to helping students attain their degree and an essential retention component. Faculty advisors are responsible for guiding students through a program of study that is sequential and ensures they acquire the knowledge and develop the skills and disposition required by the discipline. All academic programs assign a faculty advisor to each student upon declaration of a major. All first year and transfer students also receive guidance from Professional Advisors in the Center for Student Success. The faculty contract stipulates that faculty hold office hours throughout the week so that students have regular access to their faculty advisor. Advising is required each term in order to activate on-line registration (the faculty member or a Support Specialist must approve the student's "wish list" prior to the student being able to complete registration and be enrolled in courses of any delivery modality).

Programs undergoing the self-study and external review process over the past five years (e.g., Biology and Environmental Studies, English, History, Fine Art) have proposed recommendations via an initial self-study, followed by an independent external evaluation, often leading to vital programmatic developments (see Standard 2 for further discussion of this process). For instance, the Biology and Environmental Studies and Sustainability review encouraged the construction of a new laboratory specifically designed to meet the needs of recently hired faculty and to encourage greater levels of student research. Following the receipt of System grants and direct institutional financial support, the first new science lab constructed in over twenty years began in the summer of 2012 and was completed in early 2013. In addition, academic changes such as curriculum and overall program direction are often the result of these or more ad hoc program reviews. For example, program reviews mandated by the administration in fall 2009 (due to budgetary constraints and enrollment concerns), led to informed decisions to suspend two programs (Behavioral Sciences-Sociology and Political Science). However, such reviews also underscored the efficacy of maintaining individual programs, such as Environmental Studies, as noted above, by means of a comprehensive revision of that program.

Further impetus for program revision can be received through System-wide mandates, such as the recent directive to ensure that all majors require no more than a maximum of 120 credit hours for graduation (a small number of UMPI majors previously required up to 128 credit

hours for graduation). Regardless of the mandate, internal or external, all such changes must ultimately be approved by faculty academic governance structures as noted above.

In order to integrate classroom learning and community experiences, the University encourages all programs to incorporate service learning or similar high impact practices; the Center for Student Success was specifically incorporated in fall 2012 in part to assist in these efforts. The University maintains a standing Service Learning Committee and individual courses receive the service learning designation through the Curriculum review process. Currently, Biology, Business Administration, Criminal Justice, Professional Communication and Journalism, and Physical Therapist Assistant all include courses explicitly identifying service learning in the course Catalogue.

The Honors Program at the UMPI, redesigned in 1997 by a team of students and faculty advisors, is dedicated to the belief that students must take personal initiative and become active collaborative partners with each other and faculty to receive the greatest benefit from their education.   Specifically designed to complement General Education experiences, academic training in the Honors Program includes inquiry-based methods of research, posing problems of social and intellectual significance, and interdisciplinary thinking. The Honors Program affords an opportunity for students to delve more deeply into individual areas of interest, while providing the framework for a broader, richer understanding of the world and their place in it. Honors courses are distinguished by a higher level of student participation, more challenging reading and writing assignments, a higher order of critical thinking and debate, and the development of research skills. The program had been assigned a director since 1997, but the position has not received course release or re-assignment provisions since 2008.   Efforts are currently under way to develop further academic opportunities and increase the completion rate of senior honors projects. In fall 2012, Honors Learning Communities (incorporating English, History, and Biology first-year courses) were re-established to assist in achieving these efforts and creating deeper social (as well as academic) cohesion among Honors students.

Integrity in the Award of Academic Credit

In accordance with the AFUM Contract, faculty and administration maintain control over all academic matters (policies, procedures, and curricula) including the awarding of credits (both matriculated and non-matriculated students, including the assigning of transfer credits) and the conferral of all degrees regardless of the modality of the program or course instruction (on-site, on-line, and/or hybrid). The University also maintains oversight of all off-campus programs or courses (e.g., HHEC and courses delivered at the Loring Center in Limestone).

The Course Catalogue, available in print and on-line, clearly articulates the institution's academic policies, procedures, and program requirements. Updated policies, procedures, course offerings, advising information and registration dates are published on the UMPI academic website during the course of the year through the campus web master assigned to the Media Relations Office.

All degrees follow nationally recognized standards. The internal governance and external review processes ensure consistency of degree types awarded within American higher education. As a state university, all new programs must be reviewed and approved by the BOT, a process that also requires an external review.

The institution offers required and elective courses that allow students to graduate within four years with a 120 credit hour maximum requirement. Credit hour is defined, following federal regulation, as one hour of direct faculty instruction and a minimum of two hours of coursework beyond direct instruction each week for a fifteen week session. Summer sessions (of 8 or 6 weeks) are scheduled commensurately. This requirement applies to courses of all modalities (e.g., on-site and on-line). As of the 2004 cohort, the institutional graduation rate for four years is 31.3 percent, 31 percent for six years, and 35 percent for 8 years. This low graduation rate has multiple contributing factors: the high percentage of first generation students that comprise incoming classes; the relatively low aggregate high school GPA of incoming first year students; the large number of transfers occurring among the seven System campuses (particularly among UMPI, the University of Maine at Fort Kent, and the University of Maine at Machias). Our four-year graduation rate compares to a 49 percent state average of four-year degree-granting institutions, and 39.9 percent among the seven UMS institutions. Nationally, however, UMPI compares favorably to the four-year 24 percent graduation rate among public colleges, but less favorably to the 47 percent six-year graduation rate. In terms of persistence rates from first year to second year, UMPI once again scores significantly higher than public college averages. Our fall-to-spring persistence rate among first year students is a strong 86 percent; among second years students it is 72 percent; however, our rate drops to 40 percent of those completing a third year. This underscores the academic vulnerability toward persistence beyond an initial 48 credit hours, and is in alignment with a plurality of research on this subject (e.g., Astin and Oseguera, "Pre-College and Institutional Influences on Degree Attainment" in *College Student Retention*).

In recognition of the need to address these significantly lower graduation and retention levels, UMPI has undertaken a number of institution-wide efforts since 2008. Greater efforts were made during the development of semester schedules to offer an appropriate number of courses relative to enrollment data. The historical data of course offerings and enrollments were provided for Colleges to analyze and use in schedule development. Faculty were called upon to identify approved learning objectives in the syllabi of all GEC courses; all programs were mandated to identify assessable program-wide objectives. (Learning objectives in courses pertaining to the major (or minor) are the purview of individual programs and the faculty therein; learning objectives within the GEC are maintained by the GEC Task Force.) As of fall 2012, all courses were mandated to include learning objectives in their syllabi. Syllabi are available either through printed copies or electronically via the website.

Additional initiatives to assist four-year degree completion rates include a significant expansion of summer course offerings (including two 6-week sessions) to provide comprehensive GEC course offerings as well as lower and upper division offerings in a wide variety of majors (particularly Business Management, Criminal Justice, English, History, Medical Laboratory Technician, Physical Therapy Assistant, and Psychology). The University also greatly increased its on-line course offerings to accommodate student schedules (by 854 percent between fall 2008 and fall 2012).

UMPI does not allow remedial or developmental coursework as credit toward graduation. As discussed below, several initiatives since Fall 2009 have led to the reduction of non-credit-bearing developmental courses requiring layers of remediation (and significantly contributing to lower persistence rates among first and second year students, as numerous studies have

concluded); at present, only one such course remains (MAT 17: Basic Algebra). All other "remedial" courses have been revised to provide college-level credit with additional lab hours for students testing below specific competency levels (e.g., ENG 100, which provides GEC credit toward ELO #1 and requires 4 credit hours) or provide elective credit but no GEC credit (e.g., SCI 100, which provide 3 hours of elective credit and is a required course, based upon placement scoring, for GEC-level science courses). To ensure that students have adequate preparation to succeed in Reading and Writing, Mathematics, and Science, UMPI requires all first-year students to take Accuplacer tests in Mathematics, Reading, and Writing (this requirement is waived for students achieving specific SAT scoring levels). Revisions were subsequently made to the threshold levels of these tests in regards to placement of students in GEC-level coursework.

Perhaps most critically, the University was awarded a $1,000,000 competitive five-year grant as a participant in Project Compass (funded by Nellie Mae through NERCHE), 2008-2013. UMPI was one of four institutions receiving such a grant, which was specifically earmarked to target the university's Native American community in addressing persistence and graduation rates. Best practices addressed through the grant were applied to the recently established Center for Student Success, which included the hiring of two Student Success Specialists.

The University awards credit for coursework based on the semester hour. Consistent with the AFUM Contract and the NEASC "Statement on Credits and Degree," one semester hour of credit is awarded for one 50-minute block of instruction during the week for a semester consisting of approximately 14 weeks of instruction (therefore a three credit course meets for 150 minutes or 2 ½ hours per week). Two to three hours of laboratory or studio time per week is required for one credit over the same period of time. Weekly meeting times of any courses offered in a shorter time frame (summer and winter sessions, as well as "short semester" sessions during the fall and spring semesters) are adjusted accordingly to ensure a standard number of instructional hours.

On-line courses are designed to reflect the same number of "in class" hours during a standard week of instruction. The calculation of these hours include assigned work, such as timely submission of assignments and participation in discussion boards. Policies regarding required hours for internships, practicum, and field experience are clearly outlined in the Course Catalogue. All on-site and on-line students receive individual ID numbers upon matriculation or upon enrollment in individual courses, ensuring (equally for both on-site and on-line students) that the student enrolling in a course receives appropriate academic credit.

Prior Learning credit is currently awarded through nationally recognized programs such as CLEP and Advanced Placement. The university utilized the American Council on Education (ACE) recommendations for the minimum scores and the number of credits awarded. Also, the university is participating in a System-wide comprehensive Prior Learning Portfolio process that will provide general standards for all seven campuses for academic programs to determine acceptable credits, substitutions, and/or waivers of required or elective coursework. In addition, UMPI follows the recommendations of the American Council on Education in granting transfer credit for military and other nationally recognized training in subject areas taught by the University (this includes some GEC credit).

Policies are noted in the [Course Catalogue](#) as well as on-line that clearly delineate the requirements for continuation in, termination from, or readmission to academic programs. Each semester the Vice President for Student Affairs reviews matriculated students in accordance with the published guidelines on academic standing. The guidelines are based upon a combination of credits attempted and institutional GPA. Students are notified of their dismissal/suspension or placement on academic probation. Those receiving such notification have an option to appeal the action to the Academic Appeals Board. Students on probation are limited to carrying 12 credits for the semester and have one semester to achieve a GPA that places them in good standing or earn a 2.00 term GPA to continue their probation. Before being eligible to return, a dismissed or suspended student must return to good academic standing by taking coursework either through UMPI as a non-matriculated student or another accredited institution of higher education.

Each academic program assumes responsibility for maintaining a curriculum that meets or exceeds basic quality benchmarks and reflects current standards and best practices within the discipline; as described above, this work is done by the Curriculum Committee that routinely reviews and updates curricula. In addition, each program participates in the review cycle as noted above. A scrupulous hiring process ensures that faculty are highly qualified professionals in their respective fields; opportunities for faculty development are also provided (including $1100/per annum development fund for individual full-time faculty). An effective system of faculty evaluation closely follows [AFUM Contract](#) guidelines. While there is a limited amount of funding to support professional development activities, faculty members are encouraged to participate in conferences and workshops as attendees and presenters as well as produce traditional scholarship. Such activities are evaluated by individual College peer committees in consideration of personnel actions such as reappointment and tenure. As discussed in Standard Five, faculty teaching is evaluated not only by students in the form of course evaluations each fall and spring semester, but also periodically by administration, College chairs, and peers.

Assessment of Student Learning

Over the past five years, UMPI has engaged in a series of initiatives in an effort to inculcate a stronger culture of evidence and assessment.   The University's prior strength in these areas lay in faculty-led assessment practices with a focus on program development and improving student learning and faculty pedagogy. Since 2008, the University has engaged in extensive and comprehensive initiatives in universal program reviews, General Education Curriculum assessment, as well as individual course objectives and assessment. The University procured Dr. Barbara Wolvord, a nationally recognized expert in assessment, to consult with faculty and College chairs and to provide workshops in fall 2010. These workshops led to the establishment of program goals and assessment in all of the University's majors and the establishment of the GEC Task Force. (See above for more specific information concerning General Education assessment.)

Academic programs are now expected to engage in periodic assessment of the student learning outcomes they have developed for their programs. Programs convey their assessment progress in annual reports. Several programs on campus are actively engaged in robust cycles of assessment, often encouraged (as previously noted) by the requirements of outside accrediting

agencies. These include, but are not limited to, Education, Athletic Training, Physical Therapy Assistant, Medical Laboratory Technician, and Social Work. Several other programs have embraced the assessment process over the past few years and have actively utilized their findings to make appropriate changes to enhance student experiences in their particular programs. These include substantive revisions within the English program (e.g., the Professional Communication and Journalism concentration) and Environmental Studies and Sustainability. Some revisions are the result of suggestions and recommendations from external program reviewers (e.g., the previous Biology program external review). Links are provided here to the following formal program self-studies occurring since the previous accreditation visit (see Standard Two for further information): Business Program Review, Criminal Justice Program Review, English Program Review, Fine Art Program Review, History Program Review, and the Psychology Program Review. The Mathematics self-study is scheduled for completion in April 2014; the 1997 Mathematics Self-Study is the latest available prior to this review.

Several programs excelling at assessment show demonstrable revision and adjustments in courses and programs. For example, as noted above, the English program recently revised its developmental course offerings, replacing them with additional writing laboratory credit, thus allowing students to receive GEC credit (upon achieving a minimum grade requirement). The recently completed Education re-certification process has led to a comprehensive revision of both Elementary and Secondary education to ensure greater interaction with content providers within the disciplines (e.g., Biology, English, History). In addition, revisions to the Education majors provide more extensive professional preparation opportunities for prospective teachers. Many programs have adopted capstone-style experiences, which allow for an opportunity to assess the overall program using portfolios, performances, presentations, and written work to explore how students perform in relation to departmental outcomes. A capstone experience allows faculty to know in a number of ways whether they need to improve the program or the methods in order for students to demonstrate competency of program outcomes.

The University employs a wide range of direct and indirect assessment measures, both quantitative and qualitative, as previously mentioned. These include course-based assessment both in majors and the GEC and a comprehensive two-year assessment schedule for the entire GEC (along LEAP curricular guidelines), both to establish a baseline and identify difficulties in the assessment of specific essential learning outcomes. Indirect assessment is accomplished through the use of several national surveys, including the National Survey of Student Engagement (NSSE), the Faculty Survey of Student Engagement (FSSE), the ETS Collegiate Learning Assessment (administered to all first year students in their FYS course), and the Beginning College Survey of Student Engagement (BCSSE). See Standard Six for further information regarding these surveys.

APPRAISAL

Undergraduate Degree Programs

UMPI's faculty members are committed to improving undergraduate programs and instruction, which they recognize will help lead to increased persistence and four year graduation rates. This commitment is reflected in the university's 2008-2013 Strategic Plan, specifically under

Strategic Goal I (Academic Programs). While each academic program is required to conduct periodic formal program reviews, faculty often undertake curricular, instructional, and delivery modality adjustments as needs are identified. Since the previous NEASC accreditation, faculty have designed new concentrations within majors, revised a number of existing majors, created a number of new courses (and eliminated/suspended a number of courses deemed anachronistic), incorporated service and other modes of experiential learning and high-impact practices into their course and program design, and initiated several new delivery patterns (including a winter session, "short sessions" during the fall and spring, and vastly increased summer offerings). These activities enrich program offerings and address student educational needs while demonstrating the faculty's dedication to maintaining curricular best practices and responding to student needs and interests.

In addition to reviewing its academic programs, the University has undertaken a number of initiatives toward improving its graduation and retention rates, as described above. The Project Compass initiative directly engaged the extremely low persistence and graduation rates of Native American students, who comprise a sizeable percentage of the student body (with three Wabanaki tribes within forty miles of campus: two in the United States and one in Canada). The establishment of the Center for Student Success, as a result of best practices learned through the Project Compass grant, is intended to create a "one stop" destination combining tutoring, advising, career services, and student support services engaging in "high touch" intervention practices with students from initial matriculation through graduation. Unfortunately, the lack of a comprehensive System-wide transfer process remains a significant hindrance to students' progress within majors and often results in confusion at the senior level as students are preparing to graduate and identify completion of major upper-division (and even GEC course) as barriers. The Professional Advisors within the Center assist students with transfer issues as much as possible until a comprehensive agreement within the System can be established.

UMPI has also experienced considerable changes in student demographics and enrollment trends in choice of major, which have led to significant drops in specific programs as well as growth in others. The College of Education, for instance, has experienced a 50 percent drop in majors and course enrollments within the past five years, leading to cuts in staffing and course offerings. Following last year's accreditation report, the College undertook major revisions to its Elementary and Secondary Education majors. However, other programs have showed significant growth over the past five years, particularly Criminal Justice (which now has almost a 50:1 advising ratio for its two full-time instructors), Biology (which showed a 40 percent enrollment growth in 2012-13 from the previous year), and Psychology (which has experienced a near 30 percent enrollment growth in the past five years). Several programs have shown significant recovery in terms of enrollment over the past two years, notably Business Administration (which undertook significant programmatic revisions and hired three new faculty, or over 50 percent of full-time staffing, within the past five years) and Environmental Studies and Sustainability. Some programs, such as Social Work and Athletic Training, have maintained steady enrollment levels even in the face of significant demographic shifts and economic hardships within Aroostook County and Maine. Still other programs, such as English and History, have maintained and even increased both their numbers of majors and general enrollments (in GEC-level and upper-division major courses) by significantly increasing on-line modality offerings and expanding the student base.

Faculty in specific programs often carry excessive advising loads, making it difficult to effectively serve students and requiring creative measures to meet student needs. Faculty in Criminal Justice, Business Management, and Athletic Training routinely have close to (or in excess of) 50 advisees and have to make special efforts during the advising period for substantial advising with individual students. The lack of integration between Education programs and content disciplines, particularly in Secondary Education, can create confusion in coursework requirements, often leading to last-minute substitutions and waivers in finding ways to enable student graduation. Since the last self-study, the university has added a degree audit system through the Advising Center. The on-line degree audit is available to students, faculty and other academic advisors. The audit outlines the student's progress in the GEC, major, minor and concentration within a major, and provides a GPA calculator. The audit, however, is often unable to record specific substitutions and specific allocation of course credit when multiple credit paths exist (i.e., whether a course should count toward GEC requirements or toward major requirements or toward a minor rather than the major, etc.). Although the audit has potential and has helped to empower students to more accurately chart their degree progress, significant barriers remain before the system can be uniformly trusted to reflect accurately a student's actual matriculation process.

At the other extreme, the University's smaller academic programs face a different challenge: upper division courses are difficult to sustain when low enrollments are not cost effective. Five years ago, the System enacted the so-called "12/5" rule, which attempted to mandate that any course enrolling fewer than 12 students should be cancelled and any program graduating an average of fewer than 5 students within a three year span should be suspended. As a result, administration and academic departments continue to negotiate in order to offer all the courses needed in low-enrolled majors to ensure that students may complete their degrees within four years, but a more thoughtful approach to course scheduling in several lesser-enrolled programs remains necessary.

Experiential coursework remains a strength of UMPI's academic programming. Many of the University's academic departments have extensive field placement and internship networks. In addition to its robust student teaching practicum program, the Education Department provides multiple opportunities for students to have practical experience in the classroom prior to student teaching. The University has also been steadily increasing service learning opportunities since the previous NEASC accreditation; however, it would certainly benefit from a more comprehensive plan and connected network of these opportunities for students.

General Education Curriculum (GEC)

As noted above, the extensive revisions to the General Education Curriculum surely represent the largest individual alteration to the undergraduate (four-year) curriculum. Revisions to the GEC were intended to open up the opportunity for students to more readily pursue a second major, minor, and/or concentration—or simply to graduate within a four year time frame. They were also intended to smooth out significant transferability issues, particularly between System campuses. The second, more recent, revision process was undertaken explicitly to ensure an efficacious assessment system, in part by identifying essential learning outcomes following the LEAP principles. More important, it led to a systematic mapping of individual learning outcomes to each GEC course and assisted in leading a shift in academic affairs to a

greater climate of assessment and accountability. Perhaps most important, the changes to the GEC are intended to ensure that the program truly provides essential skills and competencies to *every* UMPI student. This is particularly important, given the large percentage of undeclared entering students each year and an equally high rate of migration among majors (another contributing factor to our low four-year graduation rate). The GEC Task Force is currently reviewing data collected from the assessment process and preparing a formal report containing recommendations and revisions (see below for further information).

The establishment of Learning Communities (made possible initially through the Project Compass grant) within the GEC experience has proven to be highly successful in terms of retention and persistence rates, both among Native American students and the general population. Each semester, a minimum of three learning communities enroll students who are identified as being academically "at risk" (due to placement test scoring); the persistence rates among students enrolled in the Learning Communities are higher than their peers in non-community courses, in some years, by as much as 20 percent. The lack of campus-based institutional researcher, however, makes tracking the academic progress of individual students beyond their first year a challenge and a complete statistical analysis of the success of the program remains uncompleted.

While the University is committed to the First Year Seminar (FYS 100), it has recognized over the past ten years that specific areas of the program need improvement. Thus, the FYS component of the GEC has undergone the greatest degree of change of any individual area and remains an area of ongoing concern to both faculty and administration. It can be challenging to identify faculty willing to participate in the program, given that the 1 credit nature of the course necessitates that faculty accept teaching assignments as an "overload." This is rendered more problematic by the fact that the reduced overall number of faculty lines places more pressure on full-time faculty to engage in overload assignments of GEC and required major courses, or to rely upon even higher rates of adjunct assignments. As a result, FYS is often viewed as the least attractive or simply the least important academic assignment for faculty. Furthermore, the one hour per week contact time problematizes the ability of faculty and staff to deliver the large amount of content with which FYS is burdened (including administering standardized tests, an introduction to advising procedures and maintaining the student's degree audit program, as well as instruction in academic expectations, study skills, critical thinking skills, etc.).

The Major or Concentration

As of spring 2013, much progress has been made in reducing the number of credits necessary for graduation within specific majors to 120 (an external mandate of the System). A wide discrepancy yet remains, however, in regards to required credit hours among campus majors; several are now (or historically have been) below 50 credit hours (Art, English, History, Liberal Studies, Mathematics, Psychology); others are above 50 but below 70 (Biology, Business Administration, Criminal Justice, Environmental Studies and Sustainability, Social Work); still others are above 70 (Elementary and Secondary Education, Physical Education, Recreation/Leisure Services). For students in the third category, it remains exceedingly difficult to fulfill major and GEC requirements within the 120-credit threshold for graduation, much less to pursue minors or select free electives simply out of interest. This also places great urgency upon highly intensive advising practices, as students in that third category have

virtually no "margin of error" in the case of selecting a course that does not count directly toward the major or GEC. In addition, it makes it virtually impossible for a student to change majors and complete a degree with 120 credit hours, even as early as the first year of college. Certainly, these constraints figure into the low four-year graduation rates of our majors.

There are specific conventions for course sequencing, as noted in the Course Catalogue, but there is some minor inconsistency across programs and Colleges regarding the nature of course sequencing. While some programs use the 100, 200, 300, and (in certain cases) 400 designations to indicate depth of knowledge, others, often in professional programs but certainly not limited to them, use the designations to indicate the sequence in which courses should be taken. Some programs contain an admixture of the two systems. If attempts are made to better standardize sequencing conventions and better ascertain prerequisites, which would certainly assist in retention rates, a systemic study of proper course sequencing should be undertaken.

Although limited in number, the University has recently added Certificate programs to its offerings, including ones in Geographic Information Systems, Energy Development and Policy, Project Management, and Women's Studies. These complement the long-standing certification in Mental Health Rehabilitation Technician/Community Certification (or MHRT/C), a partnership between the Social Work and Psychology programs. These programs advance multiple institutional goals: not only do they expand our enrollment opportunities further into STEM-related areas, they also target non-traditional students while also allowing students to achieve job-specific credentials more quickly.

Integrity in the Award of Academic Credit

Different instructional modalities need to be addressed and a requisite amount of instructional design support for all such modalities provided, especially regarding on-line and hybrid courses. Currently, there are no established definitions of on-line and hybrid courses nor standard assessment tools for the oversight of such courses to help ensure a productive learning environment for students. Individual Colleges have instituted such processes, often adopting Quality Matters-style assessment tools, but the need to establish more formalized procedures remains. (See the On-line Course Evaluation Rubric used to assess all on-line courses taught by the College of Arts and Sciences as an example.) Faculty have been paid stipends in recent years to encourage movement into alternative modalities (i.e., on-line) which assisted greatly in the necessary increase in such courses; but no formal training is required for participating in such modalities.

The changes to developmental coursework and placement testing thresholds noted above in the Description of this area have successfully removed multiple layers of remediation, which has been shown to negatively impact student retention rates. The lack of institutional research currently available, however, leaves UMPI unable to fully assess the impact of these changes, even three years into the process. The creation of the Center for Student Success should also help in providing even stronger systematic attention to students requiring developmental academic support, both in terms of tutoring and student services. Additional initiatives, including supplemental instruction provided by highly qualified advanced undergraduates in such courses (which would also be provided out of the Center), are currently in discussion between the Director of Student Support Services and the interim Provost. All such initiatives should incorporate greater cooperation between Academic Affairs and Student Services, and

academic faculty and services staff. Although individual initiatives were undertaken by both groups over the past several years, a lack of overall institutional organization has at times led to miscommunication, duplicative efforts, and missed opportunities. The Project Compass initiative could well be used as a model for such cooperative undertakings.

Assessment of Student Learning

Historically, assessment across programs has been hindered by a lack of access to data (or even proper data collection). Although it is becoming easier to gain access to information due to greater connections between Academic Affairs and Student Services, academic program assessment has generally been viewed as a faculty prerogative; likewise, the assessment of individual cohorts of students is not addressed outside of Student Affairs. Project Compass, with its attention to both academic and student service initiatives regarding UMPI's Native American students, served as an exception to this general rule. Direct and indirect measures are employed to assess student development, both in and out of the classroom, standardized and non-standardized. A crucial positive development has been to link such measures to the GEC assessment process.

The employment of the ETS Proficiency Profile as a direct measure of student success, administered both to incoming first year students (in our FYS 100 course) and graduating seniors, affords a stronger measure of the development of student skills during their tenure at UMPI. Although the relatively small number of seniors willing to participate in the volunteer examination process (attempts to attract more volunteers through drawings for Kindles and gas cards have had limited success) limits the validity of some findings, the institution's ability to compare incoming and outgoing skill levels nevertheless provides a far stronger portrait of our institutional strengths and weaknesses in the areas of Critical Thinking, Reading, Writing, and Mathematics. For instance, over the past two years, the 540 entering first year students tested display the following range of scores.
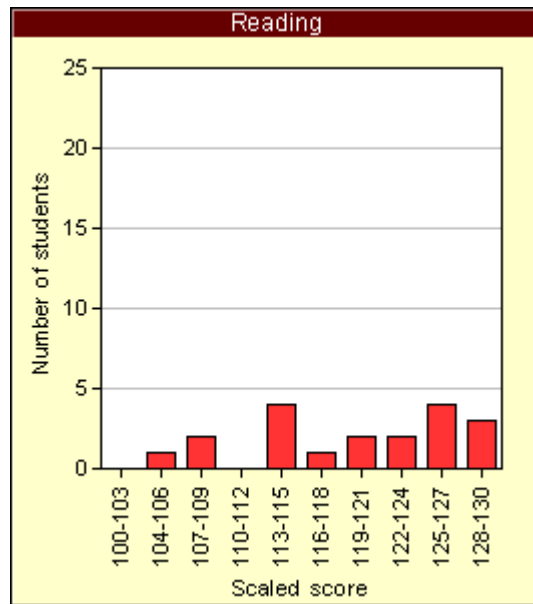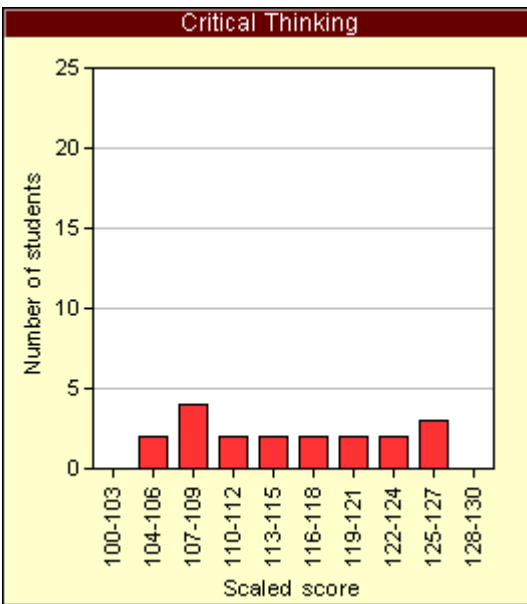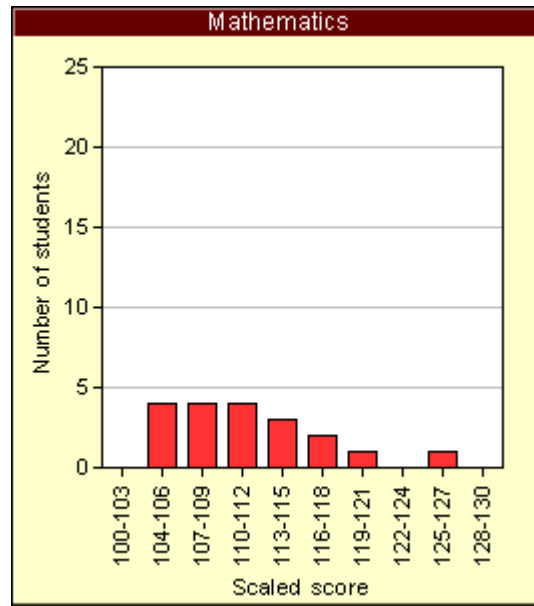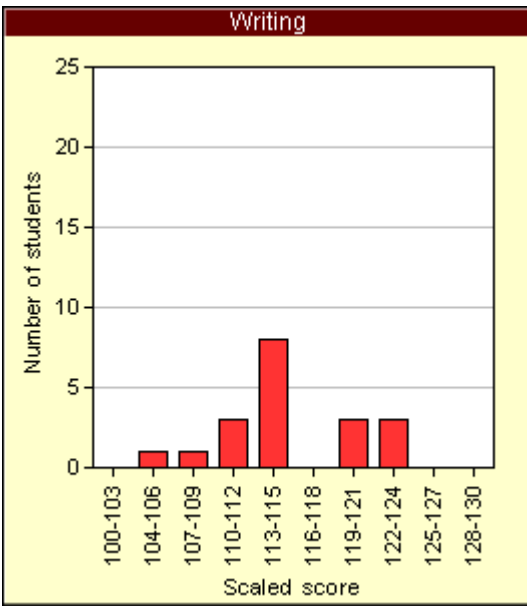
First Year Students
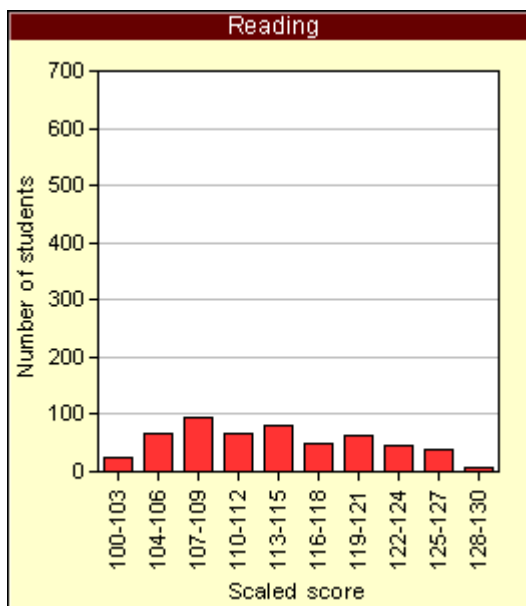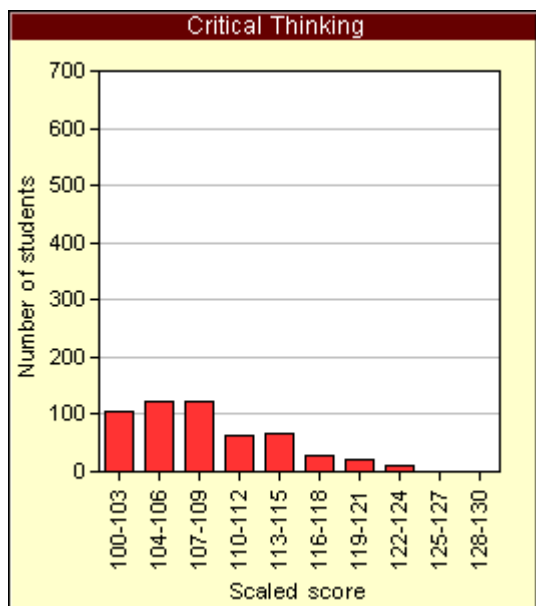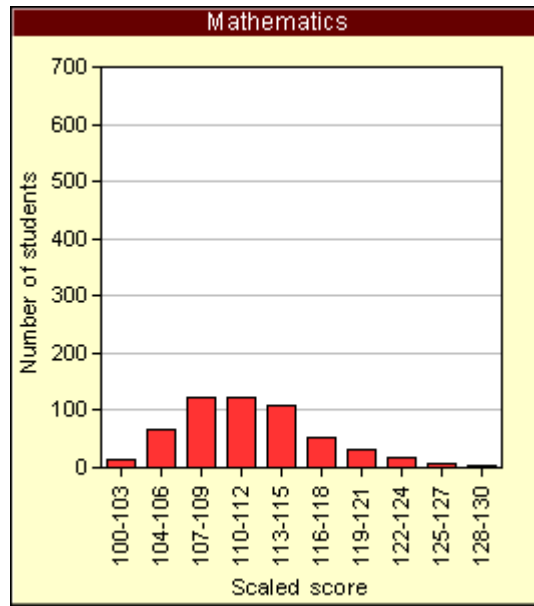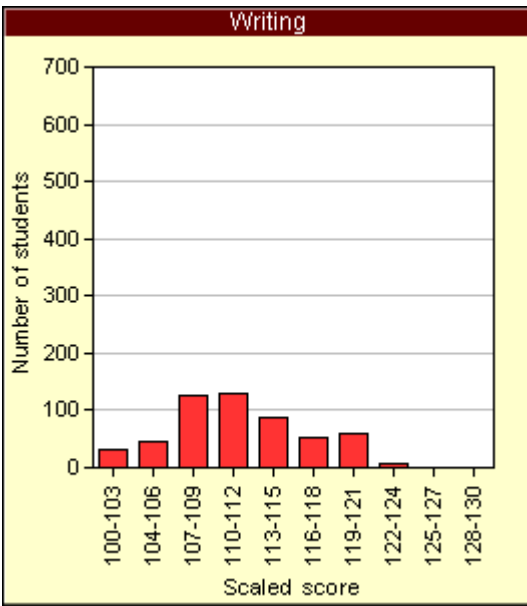
Graduating seniors (tested during the same period) scored in the following manner:

This assists the institution in identifying areas of stronger and weaker student development: both Critical Thinking and Reading scores show significant improvement, while Writing and Mathematics significantly less. Such data were crucial toward making decisions regarding the strengthening of quantitative reasoning and written communication skills within the newly revised General Education Curriculum.

Course design has not historically focused on alignment of student learning outcomes and course concepts to ensure adequate preparation of students for subsequent work. Syllabi now include learning outcomes (both at the GEC and major level of coursework), as determined by appropriate faculty within the disciplines. Work has been accomplished in several disciplines (i.e., Biology, Business Administration, English, and Social Work) to ensure that when different sections of specific courses are taught by multiple instructors, syllabi identify the same learning outcomes.

In addition to assessment efforts achieved at the campus level, UMPI faculty have participated in System-wide initiatives that in turn provided important resources in evaluating the efficacy of our courses and programs, particularly in regards to distance education. As an example, the former Chair of Arts and Sciences served as the institutional representative to T-4, a jointly maintained committee of both AFUM and UMS, which gathered and analyzed data and made recommendations to UMS concerning e-learning and distance education after a two-year study period. Its principle conclusions were as follows:

- Conduct campus level focus groups to determine the specific opportunities and barriers to the use of technologies in teaching, both in live/hybrid environments but also in on-line courses.
- Identify specific supports to improve the course taking experiences of students.
- Increase the on-line teaching skills of UMS faculty by providing appropriate professional development and direct supports (e.g., staff dedicated to designing on-line course environments) combined with peer review of on-line teaching methodologies.

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- Implement a comprehensive course evaluation system for on-line courses that permits methodologically valid comparisons to live course offerings. Seek to determine the equivalency of academic rigor, student engagement, and faculty feedback present in on-line and live / hybrid course offerings.
- Increase the other supports needed to successfully teach in on-line settings (e.g., graders, students / staff to assist with the preparation of materials, managing settings, and facilitating the communication between faculty and students.
- Increase the incentives for faculty to perform at exemplary levels. For example, a financial incentive for faculty whose courses exceed specified design and implementation criteria.

The entire report can be found at T4 Phase 4 Report. These recommendations have been addressed at the institutional level, as explained above and noted also in Standard Five, resulting in the following initiatives: (1) implementation of a comprehensive on-line evaluation system; (2) engagement through University College of course design specialists who assist faculty in the development, preparation and delivery of on-line courses; (3) the development of ongoing periodic professional development opportunities for faculty (both from campus resources, such as regular "Lunch and Learn" sessions—see Standard Five, and those made possible by significant external grants—see Standard One in regards to the Davis Foundation Grant).

The faculty governance structure, which includes a monthly meeting of the full-time faculty (with non-voting representatives from adjunct faculty), provides a productive means to share data and information with large groups. Administrators, including the President, Provost, Vice President for Student Services, and Vice President for Administration and Finance, are invited to address the group prior to new business. This would be a suitable venue for further discussions of learning outcomes and assessment processes as well as retention initiatives.

PROJECTIONS

Over the next several years, strategic academic planning (see Standards One and Two), a comprehensive assessment of the University's General Education Curriculum, an increasing commitment to outcomes-based assessment (both within the GEC and individual programs), greater integration of Academic Affairs and Student Affairs programming, and further progress toward establishing a culture of evidence and assessment will be the major areas of development relevant to UMPI's academic programming. Specific initiatives shall include:

Following a complete assessment of the GEC, the GEC Task Force shall make final recommendations to the Faculty Assembly concerning revisions to the curriculum in spring 2014 for implementation in fall 2014. Following its assessment of the curriculum, the GEC Task Force has already made significant recommendations, adding additional learning objectives to several of the ELOs, including ones addressing "tangible expressions of creativity," "moral reasoning and ethical behavior," and "citizenship." Most important, the revisions will move the General Education Curriculum to a proficiency-based model. The Task Force will also provide assessment rubrics for each of the objectives within the five ELOs in which students are measured for proficiency (using the Marzano scale as employed by the AAC&U Value Rubrics).

The University will develop a comprehensive website documenting all assessment plans for academic programming and facilitating faculty interaction and coordination of such activities.

The University will pursue pilot initiatives (e.g., Learning Communities) dedicated to developing pedagogies constructed around outcomes-based assessment of General Education courses and investigating alternative ways of meeting Essential Learning Outcome objectives (e.g., team-taught interdisciplinary courses, issue-based multiple credit Learning Communities engaging multiple proficiencies constructed around social problems and issues rather than disciplinary courses).

The University will adopt a standard policy for Prior Learning Assessment that will articulate closely with the GEC, thus recognizing the multiple pathways students may take to demonstrating competencies within the GEC's ELOs and their objectives.

Individual programs will initiate the process of moving to competency-based majors, thus building upon the competency-based platform of the General Education Curriculum. The English major is currently preparing a proposal for a fully competency-based approach to degree completion; History and Psychology will begin planning in fall 2014.

The Academic Affairs office will charge College chairs with ensuring the proper sequencing of courses within the majors (i.e., that courses are appropriately numbered based upon outcomes and prerequisites) to ensure consistency.

All programs (majors) will establish specific program outcomes (competencies), specific procedures for assessing student proficiency within the stated outcomes (following the guidelines set by the GEC revisions), and ensure that each course within a specific program "maps" its individual objectives to program outcomes. This should be accomplished no later than spring 2015.

INSTITUTIONAL EFFECTIVENESS

UMPI endeavors to assure the integrity and effectiveness of all its academic programming through a combination of practices that include the comprehensive program review and accreditation activities described under Standard Two and the establishment and assessment of essential learning outcomes across the GEC and academic program curricula. The University is committed to the ongoing development and implementation of an authentic assessment program to inform significant improvement and revision. Under the purview of the Provost and the College chairs, faculty directly oversee the development and implementation of both GEC and academic program assessment in collaboration with the Curriculum Committee. The University has provided resources to College chairs to attend relevant regional and national meetings, including the NEASC annual convention, IDEA assessment workshops, and AAC&U assessment conferences.

Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Major)

For Fall Term, as of Census Date		3 Years Prior (FY 2010)	2 Years Prior (FY2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Certificate						
? N/A						
Total		-	-	-	-	-
Associate						
? Criminal Justice	CRJ-AA	15	26	19	13	19
Liberal Studies	LST-AA	21	29	21	25	29
Medical Laboratory Technology	MLT-AS	32	27	25	24	25
Applied Art	APPART-AA	-	3	3	2	2
Professional Communication	PCM-AA	-	2	3	4	4
Physical Therapist Assistant	PTA-AS	-	-	-	36	36
? Undeclared						
Total		68	87	71	104	115
Baccalaureate						
? Accounting	ACC-BA	23	11	7	5	2
Art	ART-BA	19	10	9	6	9
Art Education	ARTED-BAAE	14	10	8	7	4
Applied Science	ASC-BAS	5	12	13	17	21
Athletic Training	ATH-BS	61	60	58	55	55
Behavioral Science - Sociology	BES-BA	17	12	7	-	-
Fine Arts	BFA-BFA	16	14	9	11	13
Biology	BIO-BA	36	45	46	53	58
Liberal Studies	BLS-BLS	1	4	21	34	40

Liberal Studies	BLS-PST	97	51	38	26	13
Liberal Studies	BLS-TC	-	10	1	1	1
Bachelor of Social Work	BSW-BSW	78	68	64	61	64
Business Administration	BUA-BA	25	77	115	125	135
Business Management	BUS-BA	70	40	21	3	-
Criminal Justice	CJB-BA	53	64	83	75	83
Elementary Education	ELE-BS	125	122	114	100	90
Elementary Education(PostGrad)	ELE-TC	49	35	15	12	8
English	ENG-BA	35	35	35	32	35
Environmental Studies	ENV-BS	9	22	9	5	3
Environmental Studies/Sustain	EVS-BS	-	-	18	18	22
History	HTY-BA	-	-	7	15	20
History and Political Science	HTYPOS-BA	9	22	15	6	2
International Studies	INT-BA	21	11	6	2	-
Mathematics	MAT-BS	6	4	6	10	10
Physical Education	PHE-BS	60	49	49	41	41
Physical Education (Post Bac)	PHE-TC	10	5	2	3	3
Psychology	PSY-BA	64	73	81	80	90
Recreation/Leisure Services	REC-BS	23	25	21	21	18
Secondary Education	SEC-BS	42	39	34	37	39
Secondary Education	SEC-TC	32	28	17	6	-
Secondary Education - English	SEN-TC	-	1	-	-	1
Undeclared		62	65	60	51	60
	Total	1,062	1,024	989	918	940
	Total Undergraduate	1,130	1,111	1,060	1,022	1,055

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 4: The Academic Program

## (Summary - Enrollment and Degrees)

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's	Clinical doctorates	Professional doctorates	M.D., J.D., DDS	Ph.D.	Total Degree-Seeking FTE
Main Campus FTE	63.00	565.20	0.00	0.00	0.00	0.00	0.00	628.20
Other Campus FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Branches FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Other Locations FTE	5.93	33.47	0.00	0.00	0.00	0.00	0.00	39.40
Overseas Locations FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
On-Line FTE	14.07	172.87	0.00	0.00	0.00	0.00	0.00	186.95
Correspondence FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Low-Residency Programs FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total FTE	83.00	771.54	0.00	0.00	0.00	0.00	0.00	854.54
Unduplicated Headcount Total	104	918	0	0	0	0	0	1,022
Degrees Awarded, Most Recent Year*	20	218	0	0	0	0	0	238

*__Note__: Defined as 2011-2012 in the UMS degrees conferred report.

Student Type/ Location & Modality	Non-Matriculated Students	Visiting Students	Title IV-Eligible Certificates: Students Seeking Certificates
Main Campus FTE	15.47	0.00	0.00
Other Campus FTE	0.00	0.00	0.00
Branches FTE	0.00	0.00	0.00
Other Locations FTE	60.67	0.00	0.00
On-Line FTE	269.20	0.00	0.00
Correspondence FTE	0.00	0.00	0.00
Low-Residency Programs FTE	0.00	0.00	0.00
Total FTE	345.34	0.00	0.00
Unduplicated Headcount Total	441	0	0
Certificates Awarded	N/A	N/A	0

Standard 4: The Academic Program
(Credit Hours Generated By Department or Comparable Academic Unit)
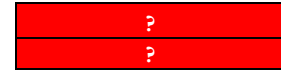
?
?

	3 Years Prior (FY 2010)	2 Years Prior (FY2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Undergraduate					
? Business and Int'l Studies	6,186	6,458	6,269	6,480	6,510
English and Fine Arts	5,488	5,642	6,067	5,135	5,600
Human Performance and Leisure	3,192	3,012	2,706	2,974	3,000
Math and Science	5,070	5,646	5,858	6,155	6,300
PSY, SWK, CRJ, SOC	4,356	5,202	5,427	5,283	5,300
Teacher Education	7,987	6,671	4,959	4,081	3,500
University Wide/Inter Programs	395	388	327	279	260
Total	32,674	33,019	31,613	30,387	30,470
Graduate					
N/A					
Total	-	-	-	-	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Total	-	-	-	-	-

Standard FIVE: Faculty

DESCRIPTION

Faculty Composition and Qualifications

UMPI supports a faculty of 52 full-time teacher-scholars who value excellence in both instruction and scholarship. As of fall 2012, UMPI employed 15 full-time academics at the rank of full professor (29 percent), 12 at the associate rank (23 percent), 18 at assistant rank (34 percent), and 7 at the instructor rank (13 percent). Adjunct (part-time) faculty numbered 57, or 52 percent of the total (109). Our faculty is drawn from a wide range of degree-granting institutions and professions, thus providing students the ability to engage with instructors who are both theoretically engaged and professional practitioners, providing a variety of ideological perspectives and teaching methodologies. All full-time faculty members at the ranks of professor, associate professor, and assistant professor are expected to teach, engage in scholarly activity, and provide institutional service. The primary responsibilities of instructors are generally teaching and service although many are highly active scholars. Adjunct faculty are employed primarily to instruct one or two specified courses per semester; however, some currently teach up to six sections.

Academic staffing in support of the faculty includes: two College chairs (working within the faculty bargaining unit); two assistant chairs; two Administrative Specialists (serving the chairs); three Professional Advisors (one assigned to each College; one of whom coordinates general advising services); the Director of Student Records and Information Management; the Director of Information Services (who oversees the Library); Reed Art Gallery administration (one quarter release time for a Fine Art faculty member); and Houlton Center administration.

Faculty are employed under a collective bargaining agreement, reappraised and negotiated on a statewide basis every two years. The AFUM Contract designates compensation and benefits, as well as expectations for teaching, advising, continuing scholarship and professional development, along with the evaluation, promotion, and tenure procedure for faculty. Minimum salaries are set by the AFUM Contract, but higher initial salaries within the ranges articulated by the AFUM Contract are often negotiated between prospective employees and the Vice President for Academic Affairs. Health and dental care plans, of varying costs, are also provided by contract, as are standard and optional retirement plans. Contributions made to retirement funds by the University are set by the AFUM Contract and are non-negotiable. Professional development funds are also available to faculty upon request.

The typical full-time faculty member maintains a 12 contact hour (or equivalent) workload per semester. This contact load is generally constructed around four 3-credit courses or, in the case of laboratory courses, 3-credit lectures and associated lab sections (which are designated at 3 contact hours for full-time faculty, thus providing equivalency between contact hours in lecture and laboratory sections). The Fine Art faculty historically have taught 4 contact hour, 3-credit studio courses, for which they receive 3 contact hours of compensation. Faculty employ lecture, experiential, discussion, service learning, and field and practicum instructional modalities

within the classroom, both on-site and at a distance (including asynchronous on-line as well as closed circuit broadcast). Scholarship (analytic or creative) is highly encouraged. While primarily a teaching institution with expectations aligned to a newly revised mission and vision (see Standard One), since 2006, with the beginning of the previous President's tenure, there has been an increasing expectation that faculty members engage in scholarship (see General Procedure for Reappointment and Promotion Tenure for a full definition of "scholarship"). As noted below, for some faculty this has incentivized an already strong scholarly foundation, whereas others have found it challenging to engage in such activity while balancing the demands of teaching and advising.

All faculty members are required, by contract, to advise students and adhere to a minimum number of office hour availability per semester. Academic advising at UMPI includes guidance in course/major planning, career advice, as well as general academic support and problem solving. As of fall 2013, the Advising Center relocated its professional advisors, assigning them directly to each of the three colleges (Arts and Sciences, Professional Programs, and Education). This provides an additional resource to students (particularly in regards to processing add/drops, withdrawals, and credit transfers) and is designed to improve retention practices. Program faculty advisors work in conjunction with the professional advisors, Student Support Services, and other university offices to provide and coordinate advising services, particularly in regards to students on academic probation or suspension and those within identified populations (such as first generation students). The Director of Advising Services (who also serves as the professional advisor to the College of Arts and Sciences), together with the professional advisors, provides training and information sessions on advising to new and continuing faculty. In addition, each College identifies informal "mentor" instructors to new faculty members, who also facilitate familiarity with the advising processes. Students with undeclared majors receive advising both from professional advisors and a designated full-time faculty member (a single individual who advises about 50 such students per annum).

The AFUM Contract stipulates that faculty engage in professional development (including scholarship, conference presentations, fine art exhibitions, etc.)—along with teaching and department/university service—to receive tenure and/or promotion. These accomplishments are recorded in the faculty's curriculum vitae, which demonstrates an increasing percentage of individuals engaged in scholarship and publication, including (in specific cases) single-authored monograms, novels, and edited collections (e.g., John Zaborney, Professor of History; Richard Zuras, Professor of English; Chunzeng Wang, Associate Professor of Earth and Environmental Science) . In addition, many faculty members now integrate scholarship and instruction by publishing and presenting papers on pedagogy and other issues crucial to their discipline-specific teaching practices.

Full-time as well as adjunct evaluation procedures are both defined by their negotiated *Contracts*. Regular full-time faculty are reviewed every year by their peers, college chairs (or assistant chairs), and the Provost and Vice President of Academic Affairs prior to tenure. Full-time faculty members complete (or update) an annual Faculty Activity Form that is incorporated into their personnel file and their annual or quadrennial peer review. All tenure-track faculty members are reviewed according to a timetable established by the AFUM Contract; this includes review following the first semester of employment and again in the fall of the second year, with evaluations continuing each spring semester until the sixth year

(tenure) review. Evaluations follow a process that includes preparation of a portfolio modeled on the tenure review portfolio required by the UMS BOT in the sixth year (see UMS Tenure Application and Procedures for Tenure for details). This portfolio is comprised of: curriculum vitae, student evaluations, a statement of teaching philosophy, professional development plan, examples of course syllabi, and evidence of scholarly work and professional development. Each College maintains a standing Peer Evaluation Committee (PEC) with guidelines approved both by the faculty and the administration (adhering to general contractual guidelines). (See General Procedure for Reappointment and Promotion for the Academic Affairs template; guidelines for the three Colleges may be found at: Procedures for Evaluating Faculty in the College of Education; Procedures for Evaluating Faculty in the College of Professional Programs; and Procedures for Evaluating Faculty in the College of Arts and Sciences). In the typical promotion pattern, faculty members prepare for tenure in their sixth year, are reviewed by their PEC as part of the pre-tenure process, and receive approval for promotion/tenure from the UMS BOT.

The IDEA student evaluation tool currently serves as the sole assessment method for individual courses, administered to all classes taught in the fall and spring semesters (it is not administered to summer courses, as they are considered "extra-contractual" by the AFUM Contract). All faculty, tenured or untenured, are required to conduct these evaluations for all scheduled classes. Criteria for assessment include instruction (teaching effectiveness, course and curriculum development, etc.), institutional service, and professional development, in which student evaluations play a crucial role. Adjunct faculty are covered by College-specific evaluation procedures (including guidelines for promotion in rank) that meet the contract language stipulated by their AFUM Contract. (See Adjunct Faculty Promotion Procedure for further information.) The university protects and supports academic freedom of all faculty, full-time and adjunct, regardless of rank or term of appointment.

Faculty Recruitment and Appointment

UMPI is dedicated to attracting the best possible faculty as determined by its strategic needs. The 2008-2013 Strategic Plan, among many other objectives, identifies in particular the support of "faculty scholarship, especially that which connects our faculty to the region and demonstrates the relevance of our campus for and to the region." The Vice President for Academic Affairs approves searches for full-time faculty in consultation with college chairs in congruence with consideration of program teaching needs, accreditation requirements, and scholarly expectations. Academic programs review applicants according to university search policies, with the Director of AA/EEO providing oversight of this process and ensuring that all hires meet appropriate federal and System standards. All job postings are made available both on the University website through the Human Relations office and in appropriate academic journals and websites (i.e., the *Chronicle*). Academic Affairs provides new hires with the conditions of hire; all search recommendations must be approved by the Director of AA/EEO and final search decisions are authorized by the Vice President for Academic Affairs and the President.

Recruitment procedures for full-time faculty have recently been incorporated within a holistic, transparent process including both academic and non-academic units to ensure the most appropriate allocation of resources. The approval procedure for authorizations of full-time

searches includes the following: a copy of the job announcement drafted by faculty in the appropriate discipline, the composition of the search committee (as approved by Director of Equal Employment Opportunity), salary range, and details for advertising the position. Announcements typically include required and preferred qualifications; these are used to develop a "Criteria Sheet" which is an important tool in reviewing applications (and also must be approved by the EEO officer). Following administrative approval for a search, the faculty Position Approval Form, including the composition of the search committee, is authorized by the Provost and Vice President for Academic Affairs, Finance and Administration (including HR) and the Director of Equal Employment Opportunity. Search committees are chaired by a tenured faculty member in the discipline and one or two faculty, preferably from related disciplines. The overriding principle is to value diversity in the committee composition, especially in the area of gender balance. There is some variation in membership with specific committees including students, staff, community members or alumni as well as faculty to provide various perspectives. The faculty hiring procedure is governed by a campus-wide standardized process. In exceptional circumstances a faculty member may be appointed without a search to a one-year, non-tenure track position (renewable up to a maximum of five years).

New faculty members are oriented formally to the campus through meetings with Human Resources and the Provost and Vice President for Academic Affairs. Typically, the search committee chair, faculty in the discipline/program, and the college chair will take an active role in mentoring the new hire. The University also has established policies ensuring that faculty act responsibly and ethically, observe established conditions of their employment, and function in a manner consistent with the mission and values of the institution (these policies follow either AFUM Contract or UMS guidelines). In addition, the UM-System maintains clear policies and guidelines about sexual harassment that are disseminated by the university's EEO Office (through both brochures and workshops). All such policies are collected and/or referenced in the Faculty Handbook (see Faculty Handbook for further information).

Adjunct faculty contracts are issued for the semester in which the adjunct is teaching and indicate specific courses to be taught as well as current compensation levels. Any potential limits for continued employment are detailed in these contracts. Prospective adjuncts complete an availability form and submit a letter of application, resume, transcripts, names of references and a list of the courses they are interested in teaching. Faculty in the relevant discipline review the materials; upon faculty approval, the Provost and VPAA determines an initial hiring rank. When there is a need to cover the course(s) and in compliance with contractual provisions, the individual contracts with UMPI to teach explicitly approved courses.

Part-time faculty serve two important functions on our campus. In some cases they provide a more flexible staffing to accommodate fluctuations in enrollments. In other cases they enhance program offerings by delivering specialized content and expertise not provided by full-time faculty members.

Full-Time Faculty Demographics, Compensation, and Evaluation

As of fall 2012, the 52 full-time faculty of UMPI are comprised of 28 males and 24 females. At the professor, associate and assistant ranks, the ratio of male to female is exactly 50/50. A

majority of full-time faculty (71 percent) have terminal degrees.   Mean salaries by rank are as follows: professor, $63,308; associate professor, $56,934; assistant professor, $50,321 and instructor, $47,072. Although 12 credit (or contact) hours is considered a standard "full load" for faculty, the median fall 2013 semester credit load for faculty at each rank was significantly higher: professor at 14; associate professor, 15.5; assistant professor, 13 and instructor, 11.5 (this median was lower because two of the instructors are contracted to teach only 50 percent loads). The number of full-time faculty employed at the institution has dropped significantly since the previous self-study (8 percent), partly in response to a 20 percent drop in student enrollment (FTEs) over the past five years. Conversely, the percentage of adjunct faculty has risen significantly, from 43 percent to 52 percent of total faculty employed in the fall 2012 semester.

As the table below illustrates, during the most recent completed academic year (2012-2013), full-time faculty taught 68 percent of all classes, but part time faculty taught a small majority of on-line courses. See Fall 2012 enrollments and Spring 2013 enrollments for complete details of course, instructors, and enrollments.

Faculty	Fall 2012 Sections	Spring 2013 Sections	Total Sections
Full-time	224	238	462
Part time	116	98	214
On-line courses (FT)	36	42	78
On-line courses (PT)	45	41	86
Totals	**340**	**336**	**676**

Full-time faculty thus taught over two-thirds of all courses during the academic year, whereas part time faculty taught 52 percent of all on-line sections. This indicates both a tremendous growth in on-line course modalities overall (from 0 percent in spring 2005 to 24 percent of all courses in spring 2013) and that part time faculty were increasingly called upon to provide such delivery modalities (thus replacing much of their on-site teaching). The percentage growth of on-line courses is similar to that experienced at other UMS institutions.

Full-time faculty are represented by the Associated Faculties of the UMS/Maine Teachers Association/National Education Association. The AFUM Contract between UMS and Associated Faculties of the Universities of Maine, MEA/NEA, governs the employment relationship.

The AFUM Contract indicates under Article 11 (Workload) that faculty evaluation shall consist of three categories: "teaching, research, University, and public service." The Agreement also stipulates under Article 10 (Evaluation) that "each department, division or other appropriate unit shall conduct annual evaluations of each unit member" by means of a peer evaluation committee (excluding faculty who have concluding contracts or those who are tenured, who are then evaluated every fourth year). Accordingly, each of the three colleges (Arts and Sciences, Professional Programs, and Education) maintains a standing Peer Evaluation Committee (PEC) with specific guidelines for promotion, tenure, and evaluation, as approved by the Provost and Vice President of Academic Affairs (see above for document details). The AFUM Contract further stipulates that the major basis for determining the composition of a unit member's workload shall be the "department, division or other appropriate responsibilities and needs, college needs, individual competencies and the past workload of an individual unit member."

The Standards and Criteria for Appointment, Reappointment, Promotion, Tenure and Post Tenure Review were approved by the Faculty Assembly of the UMPI on April 21, 2006 and subsequently approved by the Vice President for Academic Affairs, the President and the UMS BOT. (See General Procedure for Reappointment and Promotion.) Accordingly, the three categories of faculty evaluation include "Teaching, Professional Activity, and Professional Service." A detailed schedule of the dates for the various deadlines in the evaluation process is published by Academic Affairs each year. Peer evaluation committees within the Colleges conduct the reviews with College Chairs writing letters to the Provost and Vice President of Academic Affairs.

Full-time faculty members are responsible for ensuring that both content and methods of instruction meet generally accepted academic and professional standards and expectations. To this end, each program in all three colleges developed an Program Assessment Plan, identifying (on average) three specific assessment goals and the methodology(ies) by which these goals are being assessed. Currently, all programs have developed such Plans; several have already begun an assessment of collected data (particularly those with the College of Professional Programs and the College of Education, which maintained such assessment methods due to external accreditation demands, i.e., Social Work, Athletic Training, etc.); others are currently collecting such data with a plan to assess by the end of Spring 2014. In addition, the General Education Curriculum was systematically assessed over the previous two years, leading to a systemic and comprehensive revision, as passed by faculty in Fall 2013 (see Standard Four for more details).

Part-Time (Adjunct) Faculty Demographics, Compensation, and Evaluation

In the fall 2012 semester the 57 part-time faculty at UMPI consist of 1 continuing contract Assistant Professor and 56 part-time temporary faculty members (PTTF). Of the PTTF faculty, 4 are at the rank of Professor, 2 at Associate, 3 at Assistant, and 47 at Lecturer I-III ranks. Of these, 28 are male and 29 are female.

As noted above, part-time faculty taught a significantly larger portion of on-line classes than full-time faculty during the most recent completed academic year, with a majority of full-time faculty teaching on-line courses as "overloads" above and beyond their requisite 12 credit hours (with the exception of two full-time faculty members who taught exclusively on-line).

Part-time faculty are categorized as part-time regular and part-time temporary. Part-time regular faculty are responsible for teaching two or more courses a semester, participate in committee work, and may advise students. The 2012-2013 Faculty Handbook states that they are "reappointed each year and salary is established for the academic year." Part-time regular faculty have the rank of instructor or higher as recommended by the College.

Part-time temporary faculty are responsible for teaching not more than three courses each semester. Any assignment beyond nine credit hours of instruction technically requires specific consent from the VPAA and college chair; several adjunct faculty members routinely teach four courses or more each semester. Ranks are generally Lecturer I, II, and III depending on the number of semesters taught. Compensation is based on the number of credits taught per semester and the individual's rank.

The part-time faculty is represented by The Maine Part-Time Faculty Association, American Federation of Teachers Local #4593, AFT-Maine, AFL-CIO. The current Agreement between UMS and The Maine Part-Time Faculty Association is dated September 1, 2011 – August 31, 2013 (see PATFA contract for complete details). Eligible faculty are those who teach credit courses for at least two semesters of the four immediately preceding fall/spring semesters and who are teaching in the current semester.

The PATFA Agreement includes, among others, Articles addressing Academic Freedom, Evaluations, Service (Service Lists factor into pay and course assignment offerings and are posted by campus on the UMS website under "Labor Relations."), Workload, Academic Rank, Grievance Procedure and Part-Time Faculty Pay. Article 10 of the AFUM Agreement ensures that "Unit (full-time) members will evaluate the qualifications and credentials of new part-time faculty upon hire" and that "Unit members will evaluate part time faculty within appropriate discipline areas." Each of the three colleges has established evaluation procedures for both on-site and on-line adjunct instructors.

Teaching and Advising

UMPI is committed to ensuring teaching excellence as well as curricular innovation (see Standard Four in regards to recent curricular changes, including a re-structuring of the General Education Curriculum along competency-based outcomes). Regardless of rank or discipline, all faculty members are expected to excel at instruction. To this end, teaching forms a vital portion of the tenure and promotion evaluation process, as reflected by pre-tenure annual reviews and post-tenure evaluation schedules. Faculty employ a wide range of teaching methods with support from UMS-provided instructional designers and regular workshops ("Lunch and Learn" series were established in Fall 2013 and are open to all UMPI faculty as well as the local community college faculty; see Lunch and Learns Spring 2014 for an example of these events). A recently received Davis Foundation Grant (see Standard Two for further discussion) will also lead to the establishment of a Center for Innovative Learning, following in large part the recommendations made by the Project Compass working group in Fall 2012 that led to the establishment of the South Hall Student Center (see Teaching and Learning Center Proposal). This will allow the second phase of the report, focusing upon faculty development, to come to fruition.

As noted above, the formal peer evaluation procedure ensures a standardized, formalized, and equitable process in terms of faculty evaluation. However, a primary additional method of assessing teaching quality is the IDEA student evaluation procedure, which, as of 2011, has been piloted (and is under evaluation) as a replacement of the former, paper-based evaluation unique to the UMPI campus. IDEA fits well with outcomes assessment as faculty identify the important and essential learning objectives for each course. Students complete the evaluation on-line (or, optionally, through paper forms delivered to students during the last few weeks of courses), thus largely eliminating issues of the administration of in-class evaluations. IDEA provides individual course metrics to faculty as well as summary campus reports.

Faculty also dedicate significant time to working with students outside the classroom as advisors and informal (or formal) mentors. A commitment to "close student faculty interaction in support of intellectual growth and personal development" is identified as central in the

University's mission statement. Currently, all 52 full-time faculty members serve as formal advisers to first-year undergraduates; this advising service is supplemented, as detailed above, by the presence of professional advisors, now assigned individually to each of the three colleges. Faculty members also advise student organizations and clubs. As stated in the 2002 University's vision statement, we have worked to be "a University that supports its faculty's commitment to the preparation of undergraduate students."

The Strategic Plan adopted in March 2008 identified "Student Success" as one of two strategic goals (the other being "Institutional Fitness and Sustainability"). Target Emphasis 3 of the Strategic Plan identified tasks including enhancing advisor-advisee relationships, reviewing and revising the current structure and system of the academic advising program, as well as reviewing training for faculty as advisors and revising the advising handbook. Although a revised handbook has yet to be completed, the Advising Center was restructured in summer 2013, re-assigning each of the three professional advisors to work specifically with individual colleges (Arts and Sciences, Professional Programs, and Education). Advising also retains a presence in the Center for Student Success (see Standards Four and Six for more information), which refers students with specific advising needs to the professional or faculty advisors. As soon as students matriculate at UMPI, they are assigned both a professional advisor and a faculty advisor within their intended major; undeclared students are assigned a professional advisor as well as a faculty member accorded release time to advise such students. The professional advisors provide students with essential, immediate assistance in areas of course add/drops, withdrawals, semester schedules, transferability questions, and changing majors.

Electronic access to advising resources is now available under "Faculty Resources" by means of the UMPI Campus Portal "My UMPI". An "Advisor's Notebook" within the resources folder includes an Advising Checklist, Program Requirements, and various forms (course withdrawal, change of major, etc.). Faculty members may also access a list of advisees through their "Advising Center" located in their MaineStreet account (also accessible directly through the Portal). The screen shot below illustrates many of the resources located within the "Advisor's Notebook."

Scholarship and Institutional Service

As noted above, the AFUM Contract stipulates that evaluation include scholarship and institutional service as categories in addition to teaching and advising. Faculty curriculum vitae illustrate the increased level of general regular participation in conferences and professional societies within their fields since the previous self-study. As noted above, many faculty members now (or continue to) publish regularly (with all junior faculty having made presentations at national conferences and/or published in peer-reviewed journals with the past year). UMPI provides significant internal support for faculty scholarly activities. This includes, for example, faculty development funding (at a maximum of $1100/annum), a sabbatical program (equivalent to three paid one-semester sabbaticals per year), and newly awarded funding for professional development activities (potentially leading to scholarship) through a Davis Foundation Grant (awarded December, 2013). In addition, former President Donald Zillman and his wife, Linda, established the Zillman Professorship in 2012, providing substantial research support (partly through course release time) for a two-year period. Dr. Chunzeng Wang was the first recipient of this award in fall 2013. At the college or program

level, scholarship (as well as best teaching practices) is supported through faculty colloquia and presentations (such as those presented by the Biology faculty addressing recent pedagogical developments in STEM instruction). The university also hosts a Distinguished Lecture series, which annually brings five to six external lecturers to campus addressing a variety of disciplinary topics (membership on the committee responsible for scheduling the Lectures is comprised of representatives from each of the three colleges).

Additionally, the [AFUM Contract](#) mandates faculty participation in shared governance, with significant representation in the University Senate and numerous standing academic and student affairs-oriented committees, including Curriculum Committee, Academic Standards, Academic Appeals, the Professional Development Committee (responsible for recommending sabbatical awards), and the University Day Committee. Nearly 100 percent of all full-time faculty currently serve on committees, although there remain some expressed concerns that senior faculty withdraw from such work; conversely, concerns have been raised that individual junior faculty maintain excessively heavy committee schedules. The university's significant teaching workload remains an area of concern for some faculty members in regards to prohibiting them from participating in additional governance service or professional (scholarly) activities.

UMPI protects and fosters academic freedom for all faculty members regardless of rank or term of appointment. Policies relating to faculty evaluation, promotion and tenure, along with academic freedom and rights as faculty members, are outlined in the *Faculty Handbook* (discussed above). Together with the [AFUM Contract](#), this serves as the primary written foundation for faculty academic freedom at the university.

Organizational Structure and Academic Freedom

The [2008-2013 Strategic Plan](#) identified a "High Quality Governance System" as a primary objective. Included in that were objectives and tasks that relate to faculty such as "Revise and update Faculty Handbook" (Objective 1-3; completed in 2012).   In spring 2008, with input and guidance from the faculty, the university underwent a major academic re-organization, establishing three Colleges: Arts and Sciences, Professional Programs, and Education. Chairs serve as unit members (following a Memorandum of Understanding between the union and UM-System) and are selected in accordance with the AFUM agreement; college faculty recommend a candidate to the Provost whose decision to accept or reject the recommendation is final. Job descriptions for chairs as well as assistant chairs, program coordinators, and program advisors were developed. Chairs typically teach one course per semester; assistant chairs receive one-quarter release time as compensation for their administrative work.

Much of the work of the campus is accomplished through committees, with most maintaining representation from each of the three colleges. In addition to Academic Standards, Academic Appeals, Curriculum, and the General Education Assessment Task Force, faculty serve on a variety of other committees such as the Institutional Review Board, the Distinguished Lecturer Series Committee, and the Faculty Development Committee. Faculty also serve on campus committees such as the Diversity and Inclusiveness Committee, the University Day Committee, and the Library Committee. Many faculty members serve on multiple committees, often in leadership roles.

The Faculty Assembly meets monthly and provides a forum for continuing reports of representative committees, discussion of topics of interest to faculty, and communication between faculty and administration. All full-time faculty members, regardless of rank, have full voting rights in the Assembly. Faculty Assembly leadership meets on a regular basis with the Provost. Immediately prior to the "new business" of Faculty Assembly meetings, the executive leaders generally provides updates and an opportunity to discuss matters of interest to faculty and staff.

APPRAISAL

Faculty Composition and Qualifications, Recruitment and Appointment

As indicated by the high percentage of full-time faculty currently holding terminal degrees, the UMPI faculty is well qualified to support its institutional mission and strategies. Despite recently declining enrollments (due to specific program enrollment losses, as explained in Standard Four), UMPI has continued to hire new faculty members in targeted programs (i.e., Biology, Criminal Justice, Business, Medical Laboratory Technician) and, indeed, to initiate new programs necessitating multiple hiring's (i.e., Physical Therapy Assistant). In addition, faculty continued to be hired at the rate necessary to maintain programmatic integrity even in those programs experiencing considerable enrollment attrition (i.e., Education). UMPI's decision to further emphasize scholarship, from junior as well as senior faculty members, has resulted in significant programmatic recognition and grant achievement (particularly in the STEM disciplines). As of December 2013, a new Strategic Planning Process has been initiated that will identify and prioritize university and programmatic goals guiding such hiring decisions through 2020 (the suggested end-point of the new strategic plan). See Standard One for further information.

As supported by Human Resources and employed by the three colleges, the faculty hiring process, for both full and part time members, functions effectively and does not require major revisions beyond those noted above. A recently hired new Vice President for Administration and Finance has brought transparency to the budgeting process, which together with the needs assessment plan now undertaken by Academic Affairs (including input from college chairs and assistant chairs) has helped to make faculty hiring more strategic, responsive, and consistent. Departmental faculty members of all ranks are involved in the hiring process (although only those with tenure generally are allowed to chair hiring committees). Although the process for hiring adjunct faculty is not as elaborate, the newly agreed upon guidelines for promotion, together with a consistent evaluation procedure in each of the colleges, helps to ensure a systematic hiring and assessment process.

Each university program now has established Program Assessment Plans in place and the University has fully assessed and revised the General Education Curriculum. Individual professional programs maintain necessary accreditation processes, and the institution is working toward a competency-based assessment process within General Education (and ultimately individual majors). As a result of these activities, we believe UMPI is adequately assessing its programs. This said, we strive to do even more in this area, particularly ensuring ongoing (annual) assessment of all university programs and a comprehensive assessment

framework for the competencies students are expected to achieve in regards to the General Education Curriculum.

Finally, the recently achieved AFUM Contract between the faculty union and the University System (after working over two years without a contract) should alleviate some of the faculty frustration over compensation and service; this also concludes a "work to rule" atmosphere adopted by several of the System campuses, including UMPI, in 2013.

Faculty Demographics, Evaluation, and Compensation

Over the most recent four year period, full-time faculty declined from 53 in 2010 to 47 in 2011 but then rose to 52 in fall 2012. Part time faculty ranged from 42 to 57 in fall 2012. Mean salaries for full-time professors declined about $5,000 during this period; mean salaries for associate professors remained stable; mean salaries for assistant professors rose by slightly over $3,000. Much of this decline can be attributed to increased retirements and phased-retirements implemented during this period.

Offering competitive compensation to both full-time and adjunct instructors is of critical importance in attracting and retaining qualified faculty. As is the case with many institutions, faculty compensation, salary compression, and salary inversion remain persistent issues. More often than not, UMPI must make initial salary offers at or close to the "rank minimum" prescribed by the AFUM Contract. Quadrennial review compensations provide (upon "satisfactory" performance designation) a minimum 3.5 percent increase with a maximum of an additional 3.5 percent (at the discretion of the Provost to address issues of compression, inversion, etc.). Minimum promotion percentages are also prescribed by the AFUM Contract; again, the university must often make salary offers to prospective faculty at or close to such levels, leading to higher rates of attrition (particularly at the late assistant professor level) than the institution would prefer.

After five years of orientation and adaptation to the new academic structure, faculty evaluation systems are firmly established, with full-time faculty receiving (by AFUM Contract) annual evaluations and (if tenured) post-tenured review through a process both thorough and systematic. Recent discussions among college chairs and assistant chairs regarding the overall functionality of the assessment process indicate that regularly scheduled workshops or individualized development opportunities would assist junior faculty in ensuring they are meeting all contractual requirements in regards to promotion/tenure. College chairs work closely with the Peer Evaluation Committee chairs to ensure that tenure-track faculty members receive explicit formative feedback as part of yearly evaluations. Chairs, as well as the Provost, are available to faculty to discuss any questions regarding the promotion/tenure process and its expectations.

The (pilot) adoption of the IDEA student evaluation instrument was a major accomplishment undertaken by faculty in attempting to ensure a process providing cogent, formative student feedback. Inarguably, this new instrument provides far more detailed pedagogical and content assessment, as well as vital critical comparisons with peer institutions of institutional achievement in specific objectives. Such data can be especially useful in providing faculty with a more systemic and formative (rather than primarily summative) evaluative tool. Concerns

about low student response rates are currently being collaboratively addressed by administration and Faculty Assembly (including earlier communication with students in regards to on-line evaluations and administering traditional paper evaluation forms to on-site classes if faculty prefer to do so). Administration has also proposed solutions to contractual questions concerning "signed" qualitative comments (the AFUM Contract stipulates that only signed student comments must be included in the peer review process) that are currently being considered by Faculty Assembly and should allow IDEA to be accepted as the formal and permanent evaluation tool for the institution. Administration has also been responsive to faculty concerns about training and information that fully explain the process by which IDEA resources offer strategies and direction so that faculty can respond to specific pedagogical areas. With a variety of activities competing for faculty attention, it is particularly important that the institution continue to make the IDEA process a priority to help ensure that effective instruction remains at the core of faculty work.

Teaching, Advising, Scholarship, and Institutional Service

There is little question that UMPI relies heavily upon adjunct faculty for classroom instruction at both its Presque Isle and Houlton campuses (in fact, only one full-time faculty member teaches at the Houlton campus on a regular basis, leaving 8-10 adjunct UMPI faculty members to instruct the vast majority of courses at this site). Even with student attrition in several programs, and generally lower enrollment rates, several individual programs remain highly reliant upon adjunct instruction, well beyond the 25 percent of total course instruction rate for a program as suggested by the AFUM Contract. (These programs include Criminal Justice, English, and Psychology.) It is important to note that adjunct faculty members often bring essential professional expertise to the institution and many have provided outstanding instruction for years. However, because they do not have equal opportunities for professional development and often work at multiple institutions (or maintain full-time jobs outside of academia), adjunct faculty do not generally have the ability to attend conferences and professional seminars that could assist them in their subject areas or pedagogical growth. Linked to this situation, although chairs (or senior faculty) observe adjuncts in regard to their teaching, there is not always a clear indication from the Adjunct Contract (PATFA) how to use teaching evaluations and observations to improve teaching. Over the last two years, the colleges have employed such evaluations more systematically, leading to more productive discussions between full-time and adjunct faculty in regards to teaching assessment as well as individual mentoring and development. Although such practices are much more effective than historically documented, these procedures continue to need further refinement, development, and systematization.

While faculty roles are clearly outlined and designated (in a general sense) by the AFUM Contract, the institution could do more to ensure that faculty roles and expectations are closely aligned to the (newly revised) institutional mission and vision. The recently initiated Strategic Planning process is a vital instrument for achieving such alignment, including addressing remaining issues of scholarship and teaching load and the pedagogical changes (including staffing and support needs) implicit in a move toward competency-based learning outcomes.

In addition, although the institution's [Faculty Handbook](#) has recently been revised (after over 10-year period in which the Handbook was unavailable), many of the issues noted above are not addressed in it, nor does it yet reflect our newly adopted mission and vision.

Finally, as noted in other Standards, campus deferred maintenance or lack of available financial resources necessitates that faculty routinely make do with inadequate or marginally adequate technological, studio, and laboratory space. The recent addition of a new biology lab (made possible by faculty-developed and procured grants) has provided science majors (and faculty) with previously unavailable research opportunities. A state bond issue passed in fall 2013 will also provide desperately needed resources to update other STEM-related facilities. Information Services, which supplies campus IT needs, and System technological services (which support on-line learning platforms and distance education technologies), remain sources of ongoing concern for faculty. These concerns include response time to faculty requests, the consistency of support for Blackboard (the UMS learning management system) and associated technologies (including video capturing programs), and support for instructional design initiatives and innovations.

Organizational Structure and Academic Freedom

The new academic structure has proven to be an effective one for faculty, providing stable leadership (after a long period of great flux) while also adaptive to curricular and enrollment challenges. For example, the College of Education originally had a full-time chair; over time this position has been modified and currently the College of Education and the College of Professional Programs share one chair and an assistant chair, equivalent to the structure in the College of Arts and Sciences.

Faculty Assembly has become an increasingly effective forum for faculty; leadership's formal channel of communication with administration, particularly the provost, results in more satisfactory outcomes for both faculty and administration. In addition, issues raised in committees or task forces are now communicated more effectively from assembly to administration, leading to more timely resolution.

Improved resources, such as the faculty section of the portal and MaineStreet, help faculty to be more efficient and productive in handling time-consuming administrative tasks associated with advising, course registration, degree completion, etc. This frees faculty to engage in more qualitative advising activities such as career exploration and planning.

In addition, the aforementioned [Davis Foundation Grant](#) (see Standard Two), has afforded the institution the ability to establish and staff a long-planned Center for Innovative Learning. This Center will assist in meeting multiple faculty needs, including: engaging part-time faculty more effectively in teaching development; disseminating best teaching practices in regards to retention of "at risk" students; exploring the pedagogical demands and challenges of a competency-based curriculum; providing support for on-line teaching best practices; helping ensure that the institution stays current with best practices and trends in teaching and learning. Currently, two Instructional Design specialists from University College (a UMS organization) assist many faculty in regards to both on-site and on-line course development and pedagogical

best practices.   This sharing of resources has been positively received by faculty and could well be used as a model for the Center for Innovative Learning.

PROJECTIONS

As UMPI develops its Strategic Planning goal of developing a proficiency-based curriculum model emphasizing a greater attention to high impact practices and personalized instruction along with interdisciplinary integrated learning communities of students (particularly in the first year of the college experience), faculty will need increased resources for professional development and research. This should include both on-campus seminars and workshops as well as opportunities to enroll in activities offered by institutions utilizing such practices (i.e., Alverno College and Evergreen College). Such workshops should include instruction in the use of proficiency-based assessment measures, as well as specific high impact teaching practices (as identified by the LEAP initiative's identification such practices — see High Impact Practices). The Davis Grant, as noted above, is a critical element in making such opportunities affordable for faculty; further such grants will need to be pursued both to support and accelerate these vital initiatives.

In regards to its growing number of on-line programs and on-line offerings, the individual colleges and faculty Curriculum Committee, together with the office of Academic Affairs, will need to provide university-wide oversight of curriculum and instructional standards (by best utilizing assessment tools such as IDEA, as well as formal on-line instructional review processes as noted in Standard Four) to continue to ensure that on-line students have an educational experience commensurate to that of on-site students, particularly in regards to proficiency initiatives. Providing faculty with appropriate incentives, both in terms of available technology and training, as well as compensation, will be critical for the success of these areas.   In addition, faculty should present more explicit suggestions to IT towards providing more consistent service in regards to standard technological services, particularly those supporting Blackboard and associated technologies. This could readily be achieved through the Provost's office by means of on-line surveys and followed up through direct discussions with the director of IT Services.

The institution should also work to resolve remaining tensions existing between the recent emphasis placed upon increased scholarship and professional activities and its continuing emphasis upon excellence in teaching, particularly as it embraces the proficiency-based models noted elsewhere in this document. The VPAA's office can be directly helpful in directing this process by emphasizing that individual units have a higher level of autonomy in determining what serves as examples of appropriate "professional activities" and "development" — as best meet the needs of their specific disciplines — while still following specific contractual guidelines.

The interim Provost will reinstate a formal faculty orientation procedure, including workshops on health care and other related Human Resources issues, advising and MaineStreet data base training, and a peer mentor system. This should be established no later than September 1, 2014.

INSTITUTIONAL EFFECTIVENESS

The effectiveness of full-time faculty members is maintained through contractually-stipulated annual pre-tenure evaluations, the procedure for tenure and promotion, and post-tenure quadrennial review process. The three colleges have successfully developed individual protocols for these processes, particularly in terms of tenure/promotion criteria. Similar guidelines for part-time faculty are now also institutionalized, as explained above.

As UMPI implements its 2014 strategic plan, particularly in the area of proficiency-based curriculum initiatives, data related to the impact on faculty teaching and professional activities (including scholarship), as well as advising and public service, will need to be collected and analyzed in order to evaluate how such changes impact the faculty's contributions to the institution's new vision and mission.

Standard 5: Faculty
(Rank, Gender, and Salary, Fall Term)

		3 Years Prior (FY 2010)		2 Years Prior (FY 2011)		1 Year Prior (FY 2012)		Current Year* (FY 2013)		Next Year Forward (goal) (FY 2014)	
		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Number of Faculty											
Professor	Male	9	2	7	4	7	3	8	3	7	3
	Female	10	-	9	1	9	-	8	-	7	-
Associate	Male	9	-	10	-	8	-	6	-	6	-
	Female	6	1	7	1	6	2	6	1	7	1
Assistant	Male	6	1	6	2	7	3	7	2	7	2
	Female	6	1	5	1	5	-	7	1	6	1
Instructor	Male	4	16	4	14	4	20	7	17	7	17
	Female	3	23	1	19	1	22	3	24	3	24
Other	Male	-	-	-	-	-	-	-	-		
	Female	-	-	-	-	-	-	-	-		
Total	Male	28	19	27	20	26	26	28	22	27	22
	Female	25	25	22	22	21	24	24	26	23	26
Total Faculty											
Professor		19	2	16	5	16	3	16	3	14	3
Associate		15	1	17	1	14	2	12	1	13	1
Assistant		12	2	11	3	12	3	14	3	13	3
Instructor		7	39	5	33	5	42	10	41	10	41
Other		-	-	-	-	-	-	-	-	-	-
Total		53	44	49	42	47	50	52	48	50	48
Salary for Academic Year		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum	40,695	12,591	37,458	12,591	35,046	12,591	35,046	12,906	35,046	12,906
	Mean	68,106	13,641	64,185	13,011	63,692	12,591	63,308	12,953	63,308	12,953
Associate	Minimum	50,492	34,280	50,462	34,280	50,462	10,935	50,462	11,655	50,462	11,655
	Mean	56,868	34,280	56,582	34,280	56,171	38,525	56,934	11,655	56,934	11,655
Assistant	Minimum	43,602	9,360	44,256	9,360	44,327	9,360	44,327	9,675	44,327	9,675
	Mean	47,119	24,300	47,319	19,320	50,715	19,320	50,321	23,245	50,321	23,245
Instructor	Minimum	38,739	2,571	40,092	2,571	40,092	5,933	35,000	840	35,000	840
	Mean	46,382	9,172	49,168	8,616	49,486	9,150	47,072	9,581	47,072	9,581
Other	Minimum	-	-	-	-	-	-	-	-	-	-
	Mean	-	-	-	-	-	-	-	-	-	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

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Standard 5: Faculty (Highest Degrees and Teaching Assignments, Fall Term)											
		3 Years Prior (FY 2010)		2 Years Prior (FY 2011)		1 Year Prior (FY 2012)		Current Year* (FY 2013)		Next Year Forward (goal) (FY 2014)	
	?	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Highest Degree Earned: Doctorate											
Professor		16	1	13	4	12	2	12	2	10	2
Associate		10	1	11	1	10	1	8	-	9	-
Assistant		9	2	9	3	8	3	11	3	10	3
Instructor		-	3	-	2	-	5	-	4	-	4
Other		-	-	-	-	-	-	-	-	-	-
Total		35	7	33	10	30	11	31	9	29	9
Highest Degree Earned: Master's											
Professor		3	1	3	1	4	1	4	1	4	1
Associate		5	-	6	-	4	1	4	1	4	1
Assistant		3	-	2	-	3	-	6	-	6	-
Instructor		7	23	5	18	5	18	5	22	5	22
Other		-	-	-	-	-	-	-	-	-	-
Total		18	24	16	19	16	20	19	24	19	24
Highest Degree Earned: Bachelor's											
Professor		-	-	-	-	-	-	-	-	-	-
Associate		-	-	-	-	-	-	-	-	-	-
Assistant		-	-	-	-	-	-	-	-	-	-
Instructor		-	7	-	7	-	11	-	7	-	7
Other		-	-	-	-	-	-	-	-	-	-
Total		-	7	-	7	-	11	-	7	-	7
Highest Degree Earned: Professional License											
Professor		-	-	-	-	-	-	-	-		
Associate		-	-	-	-	-	-	-	-		
Assistant		-	-	-	-	-	-	-	-		
Instructor		-	-	-	-	-	-	-	-		
Other		-	-	-	-	-	-	-	-		
Total	**?**	-	-	-	-	-	-	-	-	-	-
Fall Teaching Load, in credit hours											
Professor	Maximum	68	9	30	6	10	12	36	12	36	12
	Median	13	7.5	12.5	6	8.5	9	14	3	14	3
Associate	Maximum	21	12	32	12	42	12	32	9	32	9
	Median	15	12	15	12	16.5	12	15.5	9	15.5	9
Assistant	Maximum	22	9	18	9	21	9	21	9	21	9
	Median	14.5	6	15	9	15	3	13	9	13	9
Instructor	Maximum	12	63	14	57	18	40	18	36	18	36
	Median	11	6	9	6	11	6	11.5	6	11.5	6
Other	Maximum	-	-	-	-	-	-	-	-	-	-
	Median	-	-	-	-	-	-	-	-	-	-

Explanation of Teaching Load (if not measured in credit hours):

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

	3 Years Prior (FY 2010)		2 Years Prior (FY 2011)		1 Year Prior (FY 2012)		Current Year* (FY 2013)		Next Year Forward (goal) (FY 2014)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
# of Faculty Appointed [?]										
Professor	-	-	-	-	-	-	-	-	-	-
Associate	-	-	-	-	-	-	-	-	-	-
Assistant	-	-	2	-	4	-	3	1	3	1
Instructor	-	5	-	3	-	8	-	3	1	-
Other	-	-	-	-			-	-	-	-
Total	-	5	2	3	4	8	3	4	4	1
[?]										
# of Faculty in Tenured Positions										
Professor	18	2	16	4	16	2	16	2	13	2
Associate	14	1	16	1	13	1	11	-	13	-
Assistant	2	-	-	-	-	-	-	-	-	-
Instructor	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-
Total	34	3	32	5	29	3	27	2	26	2
# of Faculty Departing [?]										
Professor	-	1	2	1	-	-	1	-	-	-
Associate	-	-	-	-	1	-	1	-	-	-
Assistant	2	-	2	-	4	1	1	1	-	-
Instructor	2	27	2	24	1	14	-	9	-	-
Other	-	-	-	-	-	-	-	-	-	-
Total	4	28	6	25	6	15	3	10	-	-
# of Faculty Retiring [?]										
Professor	3	-	2	-	-	-	2	-	4	-
Associate	-	-	-	-	1	1	-	-	-	-
Assistant	-	-	-	-	-	-	-	-	-	-
Instructor	-	1	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-
Total	3	1	2	-	1	1	2	-	4	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 5: Faculty

(Number of Faculty by Department or Comparable Unit, Fall Term)

	3 Years Prior (FY 2010)		2 Years Prior (FY 2011)		1 Year Prior (FY 2012)		Current Year* (FY 2013)		Next Year Forward (goal) (FY 2014)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Number of Faculty by Department (or comparable academic unit)										
Business and Int'l Studies	9	7	8	7	7	11	9	11	7	12
English and Fine Arts	8	9	7	11	9	11	8	13	7	14
Human Performance and Leisure	9	2	7	2	6	6	7	3	7	3
Math and Science	10	5	10	7	11	9	13	9	13	9
Psych, SWk, Crim Just, Soc	7	6	8	5	7	2	7	3	8	3
Teacher Education	8	14	7	9	5	10	6	8	5	8
University Wide/Inter Programs	2	1	2	1	2	1	2	1	2	1
Total	53	44	49	42	47	50	52	48	49	50

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard SIX: Students

DESCRIPTION

Admissions

UMPI has an organized, systematic admissions process that is consistent with our mission statement. UMPI attempts to recruit, accept and welcome applicants who will help us maintain a diverse student body. Our admissions' policy does not discriminate on the grounds of race, color, religion, sex, sexual orientation, including transgender status and gender expression, national origin, citizenship status, age, disability, genetic information or veteran's status. Every effort is made to attract students who can bring diverse points of view to our institution.

Efforts to maintain a diverse population on campus may be seen in our enrollment percentages of underrepresented populations. The current number of minority students at the University has increased nearly 30 percent from the 2002 accreditation report (90 as compared to 70). Our Hispanic population remains comparable with that of Aroostook County. Our current African American population is more than double this demographic for Aroostook County and on par with the State's percentage of African Americans. Finally, our Native American enrollment is over five times the state percentage of this population and over twice the Aroostook County demographic.

	Black/African American	Asian	American Indian/Native American	Hispanic
Maine *	1.3%	1.1%	0.7%	1.4%
Aroostook County *	0.8%	0.5%	1.7%	1.0%
2013 UMPI **	17 or 1.3%	15 or 1.2%	47 or 3.7%	11 or 0.9%

* Maine and Aroostook county census information is based on the U.S. census estimates for 2012 (http://quickfacts.census.gov/qfd/states/23/23003.html)
** Current diversity numbers for UMPI are as of 09/09/2013.

The Admissions Office has developed a plan that sets goals for the enrollment of students at the University. These goals are reviewed each year in late October; see "Admissions Enrollment Management Report". This 2013 review incorporated an evaluation of trends and a comparison to the data provided by the 2009-2010 Noel Levitz UMS initiative. As part of this goal setting report, goals were set by looking at the actual 2012 new student enrollment and adding three percent for each year through the fall of 2015. (Due to a lower than expected new student enrollment at UMPI in the fall of 2013, and throughout the UMS, new goal numbers may be produced for the Admissions Enrollment Fall 2014 report.)

UMPI has and maintains an orderly and ethical program that complies with the requirements of legislation concerning the equality of educational opportunities. Our admissions policy is clearly stated on the Admissions web page (www.umpi.edu/admissions). This page provides specific information for the admissions policy related to various categories of students. These

categories include Traditional Aged Students; Non-Traditional Aged Students; International Students; Canadian Students; Teacher Certification Students; and Veterans.

The Admissions Office sets and maintains standards to ensure that only qualified students are accepted. Acceptance is based on class rank, grade point average, and high school participation. Although SAT scores are not required, they are looked at if provided. The Admissions Office also will accept students near the minimum requirements if they are willing to agree to a conditional acceptance that includes a behavioral/academic agreement associated with it. These behavioral/academic agreements provided to these conditionally admitted students stipulate the need to work with one of the professional advisors and the use of the tutoring and/or the writing centers from the beginning point of their enrollment.

The University evaluates newly admitted students in order to identify deficiencies in areas that may lead to difficulties in their academic pursuits. Initial base lines are set up by observing submitted SAT scores. Students achieving a score of 500 or greater in the Critical Reading and the Mathematics sections of the SAT test are exempt from taking placement tests. All other students who have not completed a college level Mathematics class, an English class or a Science class at another college must take the placement tests. Students who score below set limits in each area of the placement testing are required to enroll in courses that include developmental material. These courses include ENG 100 Introduction to College Reading and Writing, Math 17 Elementary Algebra, and SCI 100 Survey of Science. Currently, only MAT 17 does not provide credit toward graduation, although SCI 100 does not provide General Education credit. See Standard Four for further information about revisions to "developmental" coursework.

Placement in classes occurs during the Ready to Register process (R2R), through on-site and distance meetings with the student and a member of Academic Advising.

The University's Center for Student Success is housed in South Hall. The Center provides services to new and returning students who may need assistance to improve their academic performance. The Center for Student Success houses Academic Tutors, Career Services, Counselor Services, Disability Services, International Student Services, National Student Exchange, Student Support Services, and the Writing Center.

Retention and Graduation

Since 1978, the federally funded TRiO Program Student Support Services (SSS) has provided tutoring, counseling and accommodations to students with documented disabilities. Personnel in the program include two full-time professionals (Director and an Assistant Director/Tutor Coordinator), a one-half time secretary, one math instructor/tutor each at 75% time, and one science instructor at 40% time. There are also approximately 20 peer tutors.

All matriculated students receive an informational letter from the Director of SSS Program. During the University's Accepted Student Days (ASD), the SSS staff meets individually with every prospective student to identify the student's eligibility based on the federal guidelines for services (including students with disabilities). The University provides additional money to support students not eligible for the SSS program, thus permitting all UMPI students to receive academic support services at no charge. Students are encouraged during ASD to schedule an

appointment for academic tutoring or personal counseling as early as the first day of the semester. In addition, the SSS Director provides one-on-one, as well as group workshops, to help students understand their individual learning styles. Students can visit the SSS office at any time during the semester to obtain support.

Additional information about the services provided by SSS is provided during orientation, First Year Seminar classes, in brochures, and during the University's Early Warning and Mid-term Warning process.

UMPI provides accommodations to persons with disabilities in all curricular or co-curricular programs. The Student Support Services Office (SSS), in conjunction with the Director of AA/EEO and the Associate Director of Physical Plant, responds in a timely fashion to the needs of students with disabilities. UMPI acts on self-identified requests and documented requests for services that may occur as early as, or even prior to, orientation or any time during a student's academic tenure. During Accepted Students Days, the Director of Student Support Services describes the types of support available through the SSS Program, including academic accommodations for students with diagnosed disabilities.

Rates of retention and graduation are measure for the student population. These measurements include rates of retention by class rank and by specific subpopulations. Graduation rates are measured for the entire population, specific subpopulations and by major. Examples of specific subgroups currently include American Indian/Alaska Native, Asian, Black/African American, Hispanic/Latino, student athletes and White students. The information gained through these measurements is used to adapt our retention plan each year.

The most recent institution retention and graduation goals were outlined in a January 7, 2013 report for the UMS Office. These goals were developed by looking at the overall retention rates for the University beginning in the fall of 2008 and ending in the fall of 2012. These numbers are different from the numbers used for the IPEDs report because they include non-degree students when calculating the rates of retention.

Retention data goals were based on a five year average retention rate for the spring to fall retention rate (59.5%) and a four year average retention rate for the fall to spring retention rate (69.7%). These retention rates appear to be lower than the IPEDs percentages because they treat students who graduated the same way a student who withdrew would be counted. The inclusion of the graduation rate in the retention rate as seen above is being used as a predictor for budgetary reasons.

Finally, the award of the Project Compass grant (of $1,000,000 over a five year period) earmarked toward increasing retention and graduation rates among Native American students, allowed for a number of vital campus initiatives that impacted both Native students and the general student population. (See Project Compass News Release for details about the grant from 2009.) This included the establishment of a Native Education Center on the third floor of South Hall, staffed by a director, activities coordinator, and administrative assistant, as well as a number of cultural, educational, and retention-based activities. See the final year report for a summary of these initiatives as well as challenges toward their continued functioning at Project Compass Final Report.

Student Services

The Division of Student Services at UMPI has the following three primary functions:

- Supporting the curricular mission;
- Leading in the development of the curriculum;
- Contributing to an enhanced sense of campus community.

The Division's philosophy statement has been reviewed and accepted by the professional staff and is elaborated in detail in the on-line [Student Handbook](#).

Based on these functions, the division of Student Affairs identifies the characteristics and learning needs of our student population using faculty comments and entrance examinations. Ongoing review of our student's needs is utilized to develop changes in the services we provide. Each department evaluates its effectiveness on an ongoing basis to ensure that our students are receiving the services they need.

UMPI offers a full range of Student Services to its students. These services include Admissions, Career Services/Internships, Counseling, Disability Services, Dining Services, Health Services, International Student Services, Leadership Development, Mentoring, Residence Life, Student Activities, Testing Services, and Tutoring. In additions to these services, other functions are provided in the areas of Academic Advising, Business Office, Maintenance, and Safety & Security outside of the auspices of the Student Affairs division. The services listed above are described in other appropriate locations of this document.

All of the services provided on campus are available to on-line and distance students. Various methods are utilized to accomplish this including electronic messaging, phone calls, Polycom, Skype, and Google hang-outs.

Essential services provided at the Houlton Center include academic advising by the Director and the Coordinator of Student Services. Houlton Center Students may use videoconferencing or Skype calls to communicate with on-campus faculty advisors. The Center handles all money transactions, thus avoiding the need for these students to travel the 45 miles to the UMPI Campus. The Coordinator of Student Services also facilitates special accommodations for students with disabilities, in consultation with the Director of Student Support Services. Students have full access to Library services. Center staff also proctor all examinations, either electronically or in person, as well as placement testing and mail services. Because Center students are at a significant distance from campus, they do not pay a Student Activity Fee unless they are also taking a course in Presque Isle.

The University's faculty and staff have multiple outlets to interact with the student body both inside and outside of the classroom. Several instructors provide out of class, faculty led, projects for their students. Additional opportunities exist through faculty run "Lunch and Learns" and co-curricular activities that involve faculty and staff.

Academic and career guidance programs are provided by the faculty through their roles as advisors. The University's Director of Career Preparation and Employer Relations was recently relocated to the newly renovated Center for Student Success (comprising the majority of the

first floor of South Hall).   The Career Office, comprehensively reorganized in 2013 to promote an increased emphasis on providing practical internships for our students, includes a reception area to answer questions and to direct students to appropriate offices; a printer; job listings; summer internships; volunteer information; books and videos on career development; information on various occupations; job search and graduate school materials; and free handouts on a wide variety of career development topics.

Career Services also helps to prepare students for professional employment by presenting workshops (e.g., creating a résumé, graduate school information, and job interviewing tips); hosting the Etiquette Dinner; assisting students in job searches for full-time, part-time, and summer employment, the Job Fair, Senior Success information packets, Club and Community Fair, on-campus recruiter opportunities, and a placement file service.

The University equitably meets female and male students' recreational and athletic opportunities. Recreational opportunities for female and male students are available through the University's UMPI Outing Club, administered through Gentile Hall's Recreation Program Coordinator. The Outing Club sponsors such activities as skiing, rock climbing, white water rafting, and hiking. All students have equal access to organized intramural sports and intercollegiate level sports. Travel accommodations for intercollegiate athletes are equal for both genders, as are practice and game times. A full gender equity report is filed every year.

The University has the potential to house approximately 350 students in its four residence halls and four family housing units. The Office of Residence Life provides a residential environment that fosters the intellectual and personal development of resident students. Residence hall programs are a major conduit for participation in the co-curriculum and the assumption of leadership positions. Resident Assistants are expected to sponsor a minimum of eight educational and social programs each academic year. Additional programming directed toward the freshmen students is provided through the Preparation for University Life and Learning (PULL) Program. PULL was initiated in the fall semester of 1996 to aid first year students in their adjustment to university life. PULL sponsors social, intellectual, wellness, spiritual, and community service programs (open to all students, including commuters).

The Student Health Services Office, located in the center of campus (Emerson Annex), provides the services of a nurse practitioner who is on campus Monday through Friday from 1:15 p.m. to 5:00 p.m. during the academic year. This office offers a wide range of services, as well as health education programs and brochures on such topics as healthy lifestyle diets, assistance with smoking cessation, sexual health education, and the prevention of communicable diseases. The nurse practitioner is certified to write prescriptions in Maine and New Brunswick, Canada, thus making it more economical for our Canadian students to obtain their prescriptions.

The Coordinator of Student Activities and Leadership Development is responsible for developing and coordinating co-curricular activities. Appropriate campus facilities are available for student programs and events. These facilities include, but are not limited to, the athletic facilities, Wieden Auditorium, Campus Center rooms, and meeting spaces in the residence halls. Programs that focus on entertainment, social activities, service projects, and intellectual stimulation are developed and produced.

A clear description of the nature, extent, and availability of the services provided at the University is provided to the students on-line under both the "Campus Life" tab and the "Offices and Services" tab of our home page (www.umpi.edu). This information is also provided to new students during our Accepted Student Days (ASDs) and Orientation in paper documents and orally during the Student Services session of these programs. During orientation material on academic opportunities, academic expectations, FERPA, Title IX/Sexual Assault and other pertinent topics are provided. Students have the opportunity to meet with the Business Office, the Financial Aid Office and staff from the work study program to finalize any outstanding issues.

The primary goal of the Financial Aid Office is to help students achieve their educational potential by providing appropriate financial resources. Approximately 70% of all UMPI students receive financial aid. The federal need analysis formula is applied consistently. Information regarding the availability of federal, state, and university aid programs, as well as the application requirements, award process, and eligibility criteria, is available on the University's web page (www.umpi.edu/offices-services/financial-aid), in the UMPI Course Catalogue, financial aid brochures, and in publications provided by the U.S. Department of Education and the Finance Authority of Maine. The University System-wide financial aid web page (http://www.maine.edu/admissions-aid/financial-aid/) allows easy access to student-specific financial aid application requirements and aid packages. The Financial Aid Office is accessible and provides adequate space to ensure confidentiality. Staffed by two professionals and an Administrative assistant the office is open on an appointment or walk-in basis from 8:00 a.m. – 4:30 p.m., Monday through Friday.

Students working with the Financial Aid Office receive timely notification relating to financial aid including eligibility, application processes, awards and scholarships, loans, grants, withdrawal and return of funds policies, student employment, a net price calculator, and additional information through SALT, a free membership program developed by the non-profit group American Student Assistance (ASA) to help students manage their money and loans. Scholarships are available for students through the UMPI Foundation. A scholarship committee, in accordance with the criteria outlined by the donor(s), selects recipients. Tuition waivers are awarded to a number of eligible underrepresented groups of students, including Native Americans and international students.

The Financial Aid Office considers extenuating circumstances that might affect a student's need, and a Financial Aid Appeals Committee reviews appeals and exceptional situations. Student aid is awarded by the Financial Aid Office and disbursed to student accounts by the Business Office. The Financial Aid Office works closely with the Business Office and Office of Student Records to ensure the accuracy of the aid prior to disbursement.

The University supports opportunities for student leadership and participation in campus governance through the Student Senate and approximately 35 clubs and organizations. Student members of the Student Senate elect representatives to serve on the University Senate and on selected search and ad hoc committees. Leadership development is supported by the Student Senate, which funds student attendance at conferences on the topics of general leadership and leadership in academically-related clubs. Other student development opportunities exist through the Residence Advisory Committee (RAC) and work study opportunities.

The University provides recreational and athletic programs for our students. Recreational opportunities for female and male students are available through the UMPI Outing Club and the intramural sports program. Students participating in recreational sports sign participation agreement that include roles of participation and assumption of risk.

Students also have the opportunity to compete at the intercollegiate level. Men's teams include Baseball, Basketball, Cross County, Golf, Skiing, and Soccer. Women athletes compete in Basketball, Cross County, Skiing, Soccer, Softball, and Volleyball. All of these intercollegiate teams receive appropriate funding to participate in NCAA III athletics. Intercollegiate athletes must sign participation agreements that include academic standards, behavioral standards, and an agreement to follow the University's Student Conduct Code. Athletes are also informed of athletic department policies regarding hazing, drug and alcohol policy, tobacco, discrimination, and NCAA academic eligibility standards.

Many of our majors have internships, fieldwork, and research opportunities. The majors with such co-curricular learning opportunities (e.g., Social Work, Athletic Training, Education (CACE), and Physical Therapy) assess their students through community advisory boards. Other areas assess their students through formal and informal discussions with employers and site coordinators.

UMPI ensures throughout the hiring process that individuals responsible for student services are qualified for the student affairs positions they hold. Educational background, previous work experience, appropriate skills, and transcripts are assessed throughout the search process.

Appropriate office space, technology and operating budgets are provided to Student Affairs Offices. Technology is kept up to date and reviewed as needed. Funding for each office is reviewed by the Vice President of Student Affairs and Dean of Students during the budget creating process each year in December.

The institution has identified, published widely, and implemented an appropriate set of clearly stated ethical standards to guide student services in two publications. The Course Catalogue describes the policies and procedures used by student services and the University as a whole. Also included in the Course Catalogue are the grievance policies for academic appeals, denial of refunds, financial aid, grade appeals, housing cancellations, meal plan cancellations, and residency issues. All of these grievance policies provide for an appeal to the appropriate Vice President and ultimately the President of the University. Each Vice President is tasked with ensuring that the policies and procedures are carried out fairly and consistantly.

Policies on student rights and responsibilities are found in the Student Handbook, the Residence Hall Guide and the Student Code of Conduct. Policies and procedures listed in the Residence Hall Guide and the Student Code of Conduct are administered by the Assistant Dean of Students/Director of Residence Life and the residence life staff. Appeals of residential policies decisions are handled by the Vice President of Student Affairs and Dean of Students who ensures that the policies and procedures are carried out fairly and consistantly.

Policies regarding the kinds of information that is included in a student's permanent record, the retention of records, the safety and security of student records and the disposal of student's

records may be found on the Office of Student Record's web page under the Confidentiality/FERPA link (www.umpi.edu/offices-services/student-records). This information is emailed to all students enrolled at UMPI to their maine.edu account at the start of each semester and is made known to the students and their parents during Accepted Students Day and Orientation.

Based on FERPA regulations, the University sends information to all students via their official email accounts regarding directory information. Students wishing to conceal their directory information may do so by changing their settings in their MaineStreet account.

APPRAISAL

UMPI makes every effort to assess and respond to student needs. As mentioned previously, all new students complete the CIRP survey, which identifies self-reported characteristics of the entering freshmen class. For the last several years, the University has administered a Student Satisfaction Survey (SSS) in January with one-quarter participating. The Office of Residence Life also administers an end of the year Residence Life Satisfaction Survey to residence hall students. The Alumni Affairs Office and the Student Support Services Office administer an annual Alumni Placement Survey and Graduate Survey (in spring, for graduating seniors). The University also has students complete the NSSE survey every other year (odd numbered years), the BCSSE (every year) and the FSSE (every five years, last administered in 2013).

In January 2014, the Student Affairs Office administered a comprehensive Student Satisfaction Survey in order to evaluate the current campus climate regarding specific services as we prepare to move toward proficiency based education. The survey concluded that, overall, students were satisfied with their UMPI experience, both academically and co-curricularly. Most significantly, over 74% of the students surveyed felt satisfied or very satisfied with their sense of belonging at UMPI. This sense of belonging is crucial in retaining students, so indicates that the institution has a solid base of customer satisfaction as we move forward. However, the survey also disclosed that many students are not utilizing critical services such as Career Services, Student Support Services, and Health Services. This may be due to a lack of need or lack of knowledge about these services. Hopefully with the new Center for Student Success, students will become more aware of these support services and utilization will increase.

The survey also addressed student attendance at campus events, finding that, while the number of events has mostly stayed constant over the past several years, attendance has increased. This can be attributed to better publicity, family friendly events, and a more engaged first year class. As the campus demographic changes, including more on-line, non-traditional, and full-time employed students, the Student Activities Office recognizes its continuing need to adapt programming to fit the needs of the student body, with the goal of increasing non-residential student attendance by 10% over the next 5 years. Traditionally most campus events have been targeted towards residential students, and the focus will now be on attracting the larger student population. See Event Attendance Data for specific information on student attendance at campus events.

As an institution, perhaps the most significant factor impacting the sustainability of UMPI's enrollments that we can immediately more effectively address is our ability to keep our

students from admission through graduation. UMPI has worked to analyze and more fully understand the challenges posed by the combination of student academic and financial need, negative demographic factors, and increased competitiveness from four and two year institutions within the state as well as Aroostook County that impact our retention and graduation rates.   Historically, our institution has ranked among the lowest in the UMS in this regard. Although progress had been made over the years through the establishment of specific offices and the procurement of various grants and initiatives, as explained above, in terms of first-time/full-time students (and particularly our significant cohort of Native American students), UMPI continues to compare unfavorably with the rates attained by peer institutions.

The Office of Student Support Services, as supported by a long-standing TRiO grant of approximately $300,000 per annum, as noted above, serves both as an essential—and the most comprehensive—component of our retention efforts as well as an indispensable facility for collecting, analyzing, and developing best practices toward retention. As the latest SSS Grant Report illustrates, a significant percentage of our students are *both* first generation and come from low income families:

TABLE 1: SSS Eligible Students Enrolled Fall of 2008

Total US Citizen or National degree-seeking (FTE) students =1081
Total SSS Eligible Students = 767 (71%)

	Number	**% of eligible**
Low Income	391	51%
First Generation	490	64%
Disability	78	10%
Both Disability and Low Income	49	6.3%

Source: UMPI Institutional Research

As illustrated, over 70% of our students are eligible for Student Support Services/TRIO support and funding; fully two-thirds of all our students receive financial aid. As summarized in the report, "compounding the economic and academic problems faced by UMPI students is the fact that a high percentage of them (71.3%) worked for 6 or more hours a week in their senior year of high school and must work half- or full-time jobs to help pay for college (CIRP). These financial stresses cause many of them to take longer than 4 years to graduate, with the added result of prolonged and higher loans…SSS is the only mechanism on campus that provides this level of assistance and advice through its holistic approach, especially for those from disadvantaged backgrounds" (9). Thus, our most "at risk" students—particularly those who are both first generation and of low income backgrounds—generally have the greatest number of external barriers (e.g., full-time jobs and lack of prior knowledge in negotiating the financial aid process) toward retention into the second year. The SSS grant delivers a significant positive impact in this retention, as the following graphic illustrates:

Freshmen Retention Rates 2008-2009

- All Freshmen 66%
- Eligible, Not Served 59%
- Eligible, Served
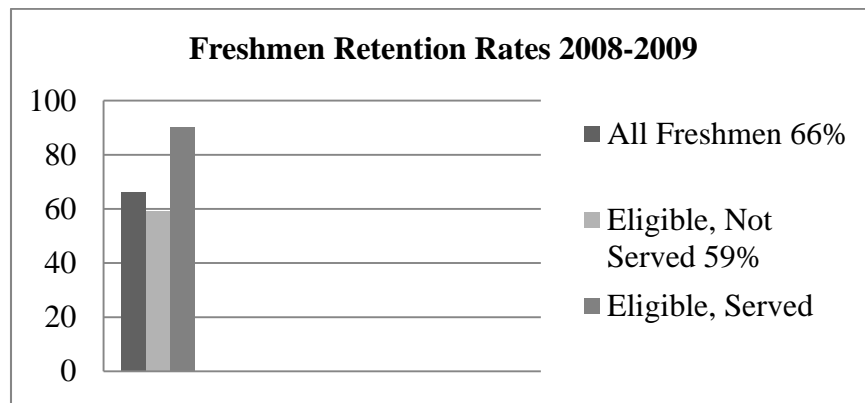
In addition, assistance through the SSS grant-provided initiatives also profoundly impacts our opportunity to see students through to graduation, both within four and six years. The following chart details these percentages:

TABLE 2: Graduation Rates for First-Year, First-Time Students Entering Fall 2002

	Students Enr.	Graduate in 4 yrs.	Graduate in 6 yrs.	Total
Total Enrollment	286	32 (11%)	62(22%)	33%
Eligible for SSS	197			
Eligible Served	71	10 (14%)	13 (18%)	32%
Eligible Not Served	126	8 (6%)	18 (14%)	21%
Not Eligible	89	9 (10%)	23 (26%)	36%

Thus, of the total of 286 entering first-time, first-year students in 2002 (the latest year analyzed in the current SSS grant), 33% graduated within six years. Graduation rates, both at four and six years, are significantly higher for eligible students served by SSS than both those who were eligible but not served and those who were not eligible at all. Such data strongly suggests that the best practices used in the SSS retention initiatives, if applied to a broader cohort of students (including those not eligible for such support due to federal guidelines) would significantly increase our general graduation rates for all students.

Additionally, as the following graphic shows, SSS supports significantly increases students' chances at maintaining a strong GPA, with SSS eligible and served students averaging just over a 3.00 (a full tenth of a point higher than all first year students combined):

First-Year, First-Time Freshmen
Fall 2008 GPA's (PeopleSoft)
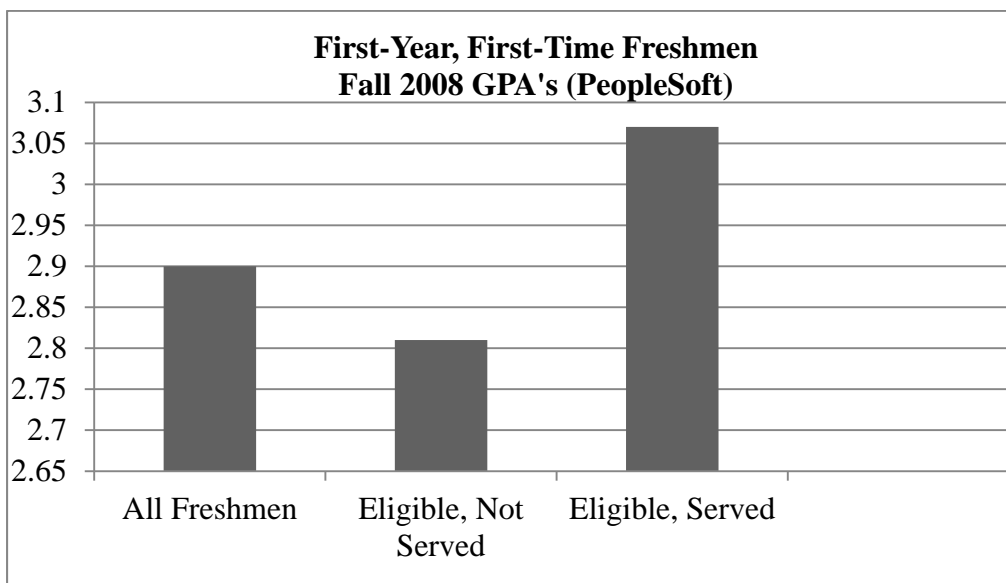
As of 2008, the initial year in which the campus's institutional researcher began compiling formal data, UMPI's persistence rate of all incoming students to the second semester was 70%; for first-time students, the persistence rate was 85%. The link to the UMPI Retention Report affords a complete breakdown by degree-seeking status and minority status, with specific attention to Native American students (the institution having received funding for its Project Compass initiative focused upon Native American students; see Standard Four for further information). As the chart indicates, although 77% of degree seeking students persisted into the second semester, significantly lower rates of non-white students persisted (61% overall, with 64% of Native American students persisting).

In addition, institutional research tracked the persistence rates of students from 2007 forward three full years (at which time the institutional researcher left the institution), with the following results available at UMPI Persistence Rates of 2007 cohort. Much as the SSS data have for over two decades provided valuable data regarding best practices toward retaining first generation/ low income students, the above institutional research provided information critical toward identifying programs that maintained institutionally high persistence rates (e.g., Art Education, Elementary Education, Environmental Studies) and those with low rates (e.g., Business, Physical Education, Recreation, Secondary Education). This assisted in providing a clearer explanation for the institution's 31.3% four-year graduation rate and 31% six-year graduation rate, enabling critical academic initiatives toward addressing both low persistence and graduation rates (see Standard Four). More important, it allowed us to begin engaging our retention needs through both Student Affairs and Academic Affairs, in the sense of program-level initiatives.

Additionally, data from our NSSE and FSSE surveys afford us a much stronger analysis of both areas of disjunction between faculty expectations in regards to academic challenge and student perceptions of those same challenges as well as comparisons with peer group institutions. Our latest NSSE Engagement Indicators (following Spring 2013 surveys) demonstrates the following strengths and weaknesses. See the FSSE-NSSE Combined Report 2013 for complete details.

Such information is essential to an accurate assessment of the strength of various components of our academic programs (as noted in Standard Four). For although our students elicit a significantly higher satisfaction in our "campus environment" than students at peer public schools, they report significantly lower satisfaction rates in "learning with peers" as well as, notably, confidence in "quantitative reasoning." This information strongly supports the conclusions of our recent ETS testing, particularly in regards to weakness in Quantitative Reasoning skills among graduating seniors (see Standard Four). Available multi-year data in the NSSE, covering 2001 through 2011, also strongly correspond: seniors routinely scored UMPI higher in the "Supportive Campus Environment" category, close to peer average in "Level of Academic Challenges," but significantly lower in "Active and Collaborative Learning" and, even of greater concern, in "Student-Faculty Interaction." As noted in Standard Four, the latter two categories are ones receiving specific attention in specific programs (e.g., Criminal Justice, Professional Communication and Journalism); however, these data indicate that these two highly interrelated (and inter-dependent) categories are considered far less prevalent among the general student body.

Finally, the NSSE 2013 Frequencies and Statistical Comparisons data confirm the findings of our recent GEC assessment that students are not achieving as highly in specific learning outcomes (within the ELOs; see Standard Four) as was deemed acceptable by the GEC Task Force and Faculty Assembly. Specific data indicate a disjunction, at times, between faculty expectations and student experiences. For instance, in the Frequencies and Statistical Comparison report, our students consistently reported, on average, that their courses required less memorization, more analyzing and application of facts, theories or methods, and more evaluation than our New England public peers (with UMPI scoring a lower mean in "memorizing" and meeting or scoring above the average means in all other categories). However, in the FSSE-NSSE Combined Report 2013, faculty routinely believed that such "higher order" skills were emphasized far more than students did. For example, 89% of faculty believed that "applying facts" was "very much or quite a bit" emphasized in lower division coursework; only 20% of first year and 32% of seniors felt the same way. Similarly, 85% of faculty believed that "combining ideas from different courses" was highly important when completing assignments; only 11% of first year students and 23% of seniors felt similarly. However, points of strong congruence exist, such as in terms of "evaluating a point of view," in which a higher overall percentage of both first year and senior students felt it "very much or quite a bit" important than the 65% of faculty.   As we develop our proficiency based curricula, both in the GEC and majors, such data will be essential toward identifying congruency between how productively faculty address individual competencies and how students actually perceive their achievements in those areas.

Following the departure of the Vice President for Student Affairs in 2011, the interim VPSA set total student body retention goals based upon an increase of 1% for each term over the corresponding term from the previous year. The goal overall retention rates were thus set as follows. In addition, the VPSA identified the following retention initiatives with specific programs or offices and when such initiatives would occur so as to better plan and distribute necessary resources to maximize retention efforts.

	Spring 2013	Fall 2013	Spring 2014	Fall 2014	Spring 2015	Fall 2015
% Returning	70.7%	60.5%	71.7%	61.5%	72.7%	62.5%

In addition, the Noel Levitz Retention Committee charged specific programs with the promotion of retention and graduation at the University. They include the following:

Activity	Department(s) assigned to work with the activity	Time of activity
Identify at risk students based on high school rank, high school GPA, and SAT scores	Admissions Office	Ongoing
Schedule meetings with all students identified as at risk	Academic Advising, Student Support Services and the VP of Student Affairs	First week of each semester.
Collect early warning information	Administrative Specialist for the VP of Student Affairs	End of the third week of each semester
Early Warning Meetings	Academic Advising, Residence Life, Student Support Services, VP of Student Affairs	Fourth week of each semester through the sixth week of the semester
Midterm Warning Meetings	Academic Advising, Residence Life, Student Support Services, VP of Student Affairs	Eighth week of each semester through the last day of being able to withdraw with a W grade. Meetings may continue into the tenth week of the semester.
Ongoing meetings with students identifies by faculty and students	Student Support Services, VP of Student Affairs and other departments as assigned (Advising Center, Business Center, Counseling Services, Financial Aid, Health Services, or Residence Life)	Ongoing
Contacting students who have completed wish lists, but have not completed registration	Academic Advising	Immediately after priority registration until two weeks prior to the start of the next semester.
Contacting students who were registered for classes in the current semester, but not now registered for the following semester	Academic Advising, Student Support Services, VP of Student Affairs	Immediately after the end of the semester until two weeks prior to the start of the next semester.
Conduct exit interviews with students who have left UMPI but did not fill out a LOA form or a WD form.	Academic Advising, Student Support Services, VP of Student Affairs	Immediately after the end of the semester until two weeks prior to the start of the next semester.
Contacting students who have LOAs that are timing out.	Academic Advising	Immediately after priority registration until two weeks prior to the start of the next semester.

The end of the Project Compass grant in 2012 posed significant challenges to the momentum enabled by its initiatives in working with Native American students, including the inability of the institution to sustain the two positions associated with the grant (an Activities Coordinator and administrative assistant). A summer 2013 search for a part-time Native Center director proved unsuccessful and the position remains unfilled. Most critically, the gains in Native retention and graduation rates (a 20% increase in persistence rates and an astounding 30% increase in graduation rates) will be difficult to maintain as the ability to track, advise, and assist individual Native students must shift primarily to existing resources within the Center for Student Success.

However, the Learning Communities made possible by the grant have proven highly successful (with a 20% increase in persistence rates among associated students) and even will increase in the coming academic year under the aegis of the Davis Foundation Grant. The removal of "layered" remedial courses, through a careful review, analysis, and curricular revision process (see Standard Four), also contributed to gains in retention numbers, particularly among our most at-risk student populations. In addition, the Center for Student Success, also a product of the Compass project, allowed for a necessary centralization of retention services.

As the final report for Project Compass concludes:

> It is remarkable not only that the institution has effectively addressed the needs of its original Project partners, the Aroostook Band of Micmacs and Houlton Band of Maliseet Indians, but that the "transformational approach" it took toward student retention needs moved so far beyond the establishment of a "Native American Student Center" and first year learning communities. Indeed, some four years later, UMPI has refocused in general advising practices, established a Student Success Center and the Native Education Center, and profoundly transformed its overall retention practices. Much work remains ahead of us, including the procurement of future funding initiatives (already in process under our new President). But the invaluable support made possible by Project Compass leaves the University of Maine at Presque Isle not only prepared to meet the challenges facing its students, but to proactively engage such challenges as they continue to emerge.

PROJECTIONS

Although some important initiatives have begun to address the institution's low persistence and graduation rates, including the development of professional and faculty advising teams that work much more closely with Student Affairs than in previous years, and the centralizing of such services within the Center for Student Success, made possible through the collaborative methodologies of the Project Compass grant, the continued and increased coordination of retention efforts between Student Affairs and Academic Affairs is of paramount concern if the institution's historically low retention and graduation rates are going to be systemically (and successfully) addressed. This will entail the continued dismantling of departmental silos, the productive sharing of institutional data, the coordination of both Academic and Student Affairs staff members and faculty in regards to critical retention efforts such as advising and tutoring, and the incorporation of both faculty and Student Affairs staff members within the transition to proficiency-based educational methods. Modeling the best practices demonstrated by the TRIO Program Student Support Services retention efforts with a wider audience of both staff and faculty, through workshops and seminars, would be a particularly powerful tool for inculcating

this collaborative mindset between Student Affairs and Academic Affairs. Additionally, it is critical that all SSS-eligible students be identified and served by its initiatives.

As noted above, the data gathered by the NSSE and FSSE surveys contain invaluable data for ascertaining the effectiveness of GEC and program major curricula. Such data must be analyzed more systematically, disseminated to College chairs as well as Student Service directors, and routinely assessed by a joint group of Student Affairs and Academic Affairs leadership. In addition, such data must in turn be made regularly available to faculty and staff members. A joint committee that was initiated in 2010 but ceased meeting after its first semester should be reconstituted and chaired by the interim Vice Presidents of Academic Affairs and Student Affairs. In addition, the CIRP survey (noted above as providing valuable information) needs to be administered on a regular basis.

In addition, the exceptional challenges posed by changing demographics in the Northeast, the strengthening of the Maine Community College System (particularly Northern Maine Community College, located in Presque Isle), and increased competition from UMPI's fellow institutions with the UMS, are of great significance. As a recent Noel-Levitz Report to the University System concluded, simply maintaining the current number of incoming students will be a significant challenge (as the most recent enrollment numbers clearly underscore). Not only will UMPI have to maintain its "traditional" markets within Aroostook County, it will have to increase its on-line offerings and majors as well as find ways to attract more students from both Maine and the New England area. The recent decision by UMS to allow reduced tuition rates at UMPI for *all* out-of-state and international students should prove a significant factor in achieving these goals (see Tuition Break for further information).

Thus, we believe it essential that three tasks receive heightened attention: (1) further agreement and understanding of institutional enrollment priorities and our articulation with both two year colleges and our fellow four year institutions within UMS; (2) greater collaboration and coordination of retention efforts between Student Affairs and Academic Affairs; (3) a clearly articulated and updated mission and vision outlining the UMPI student experience and the strengths of an UMPI degree. The just-initiated strategic planning process and the decision to move toward proficiency-based educational methods (as noted in standards One, Four, and Five) will assist in achieving these goals.

INSTITUTIONAL EFFECTIVENESS

As noted above, UMPI administers a number of standardized assessments in order to better understand and address the needs of our students' educational experiences, both within and without the classroom. These include the National Survey of Student Engagement (NSSE), the Faculty Survey of Student Engagement (FSSE), the Beginning College Survey of Student Engagement (BCSSE), and most recently, the ETS examination (administered to both incoming first year students and graduating seniors). Results from these assessments are now employed to identify needs in areas of student engagement as well as satisfaction with campus services. They are also now directly employed in curricular review and evaluation, particularly in the General Education Curriculum (see Standard Four).

UMPI was also involved in a UMS initiative that provided a formal enrollment audit and recommendations by Noel-Levitz. These recommendations were used to address enrollment

planning and retention efforts and have led to continued enrollment management initiatives by both Student Affairs and Academic Affairs officers.

Finally, the establishment of the Center for Student Success, as well as the collaborative undertakings in Advising within the three colleges, have provided the groundwork for both centralized record-keeping and more efficient sharing of essential data, critical to our continued efforts to increase retention and graduation rates.

Standard 6: Students
(Admissions, Fall Term)

		3 Years Prior (FY 2010)	2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Freshmen - Undergraduate	?					
Completed Applications	?	480	506	502	532	530
Applications Accepted	?	390	416	409	425	413
Applicants Enrolled	?	192	209	193	181	199
% Accepted of Applied		81.3%	82.2%	81.5%	79.9%	77.9%
% Enrolled of Accepted		49.2%	50.2%	47.2%	42.6%	48.2%
Percent Change Year over Year						
Completed Applications		-	5.4%	-0.8%	6.0%	-0.4%
Applications Accepted		-	6.7%	-1.7%	3.9%	-2.8%
Applicants Enrolled		-	8.9%	-7.7%	-6.2%	9.9%
Average of Statistical Indicator of Aptitude of Enrollees: (Define Below)	?					
		N.A	N.A	N.A	N.A	N.A
Transfers - Undergraduate	?					
Completed Applications		351	333	252	294	214
Applications Accepted		286	272	190	219	162
Applications Enrolled		161	174	138	150	112
% Accepted of Applied		81.5%	81.7%	75.4%	74.5%	75.7%
% Enrolled of Accepted		56.3%	64.0%	72.6%	68.5%	69.1%
Master's Degree	?					
Completed Applications						
Applications Accepted						
Applications Enrolled						
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-
First Professional Degree - All Program	?					
Completed Applications						
Applications Accepted						
Applications Enrolled						
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-
Doctoral Degree	?					
Completed Applications						
Applications Accepted						
Applications Enrolled						
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-

Credit Seeking Students Only - Including Continuing Education

Standard 6: Students
(Enrollment, Fall Census Date)

			?

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
		FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
UNDERGRADUATE	?					
First Year	Full-Time Headcount ?	304	324	291	249	257
	Part-Time Headcount ?	48	34	34	37	243
	Total Headcount	352	358	325	286	500
	Total FTE ?	316.9	318.7	290.3	256.3	317.1
Second Year	Full-Time Headcount	173	177	184	230	191
	Part-Time Headcount	35	44	41	49	137
	Total Headcount	208	221	225	279	328
	Total FTE	178.0	184.8	190.2	236.2	224.7
Third Year	Full-Time Headcount	127	156	119	135	118
	Part-Time Headcount	34	28	37	31	67
	Total Headcount	161	184	156	166	185
	Total FTE	136.0	159.0	131.1	137.6	132.4
Fourth Year	Full-Time Headcount	306	261	217	175	95
	Part-Time Headcount	103	86	104	102	44
	Total Headcount	406	347	321	277	139
	Total FTE	354.1	295.0	245.4	210.2	101.0
Unclassified	Full-Time Headcount ?	3	13	40	8	57
	Part-Time Headcount	303	311	386	433	54
	Total Headcount	306	324	426	441	111
	Total FTE	77.1	86.7	140.0	119.0	67.3
Total Undergraduate Students						
	Full-Time Headcount	913	931	851	#N/A	718
	Part-Time Headcount	523	503	602	#N/A	545
	Total Headcount	1,436	1,434	1,453	#N/A	1,263
	Total FTE	1,062.1	1,044.1	996.9	959.3	842.5
	% Change FTE Undergraduate	na	-1.7%	-4.5%	-3.8%	-13.5%
GRADUATE	?					
	Full-Time Headcount ?					
	Part-Time Headcount ?					
	Total Headcount	-	-	-		-
	Total FTE ?					
	% Change FTE Graduate		-	-	-	-
GRAND TOTAL						
Grand Total Headcount		1,436	1,434	1,453	#N/A	1,263
Grand Total FTE		1,062.1	1,044.1	996.9	959.3	842.5
	% Change Grand Total FTE	na	-1.7%	-4.5%	-3.8%	-12.2%

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 6: Students
(Financial Aid, Debt, and Developmental Courses)

? Where does the institution describe the students it seeks to serve?

	3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget***	Next Year Forward (goal)
	(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
? Student Financial Aid					
Total Federal Aid	$6,794,155	$7,466,188	$7,332,673	$7,269,965	$7,250,000
Grants	$2,818,635	$3,046,706	$2,882,771	$2,770,144	$2,750,000
Loans	$3,501,297	$3,972,369	$4,018,696	$4,076,901	$4,075,000
Work Study	$474,223	$447,113	$431,206	$422,920	$425,000
Total State Aid	$389,387	$408,369	$392,474	$439,124	$410,000
Total Institutional Aid	$1,068,226	$1,332,065	$1,420,535	$1,304,303	$1,350,000
Grants	$1,068,226	$1,332,065	$1,420,535	$1,304,303	$1,350,000
Loans	$0	$0	$0	$0	$0
Total Private Aid	$655,348	$618,747	$683,174	$623,786	$508,000
Grants	$521,406	$536,224	$542,422	$487,467	$400,000
Loans	$133,942	$82,523	$140,752	$136,319	$108,000
Student Debt					
Percent of students graduating with debt*					
Undergraduates	38%	47%	56%	48%	48%
Graduates					
For students with debt:					
Average amount of debt for students leaving the institution with a degree					
Undergraduates	18,242	18,345	21,163	21,929	22,000
Graduates					
Average amount of debt for students leaving the institution without a degree					
Undergraduates	4,508	5,610	5,373	5,224	
Graduate Students					
Cohort Default Rate *(see below)	6.6	7.2	12.5	13.9	
Percent of First-year students in Developmental Courses					
English as a Second/Other Language	0%	0%	0%	0%	
English (reading, writing, communication skills)	37%	28%	24%	0%	
Math	49%	45%	39%	40%	
Other	23%	25%	0%	0%	

* All students who graduated should be included in this calculation.

**Courses for which no credit toward a degree is granted.

***"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

*   The Institution is moving from a 2-year default rate to a 3-year default rate in the current year.

Standard SEVEN: Library & Other Information Resources

DESCRIPTION

The library building was built and dedicated in 1975 and is located in the center of campus. It has undergone many minor renovations since that time, but aside from the addition of technology, it still looks very much like a traditional academic library. The main floor houses a reference area, all library staff (director, reference librarian, access librarian, library assistants, student workers) , circulation desk, work station for seeing impaired students, group study tables, computer work stations for students and public patrons, a reading area, and a conference room (with video conferencing) that doubles as a classroom used for bibliographic instruction. The lower level contains a student use computer lab (quiet study), group study area, special collections, government documents, and computer services. The top floor contains a children's library area, most of the stacks, some group study areas, quiet study, a slide library and a classroom/seminar room.

The library at UMPI (http://www.umpi.edu/library) is purposed with providing support for the mission of the campus – academic support and information resources for the university community: students (in all modalities), faculty (in all modalities), administration and staff. As the largest institution of higher education in Maine's northern and largest (geographically) county, it is a vital source of information for the larger local community (including book readings/signings). It also serves as the primary library for the Maine School of Science and Mathematics (MSSM) in nearby Limestone and the Carleton Project (a private alternative high school situated on the UMPI campus). The library has reciprocal agreements with nearby Northern Maine Community College (NMCC), Husson University's local education center, and the Aroostook Medical Center (via HSLIC-Health Science Libraries and Information Consortium). The UMPI library consists of traditional stacks, electronic databases available worldwide, and special collections.

In support of the entire campus and local community, the UMPI library has many special features. These features include the state and federal depositories, government documents (both hardcopy and on-line resources), special collections and the Native American Artifact collection. We are the only federal documents depository north of Orono and our special collections are in an environmentally controlled room. Our special collections room includes things such as university archives, state vital records, town records, personal papers and historic photographs. The library has begun digitizing these photos to publish on the Web. In addition to these features the library continually updates the collection of best sellers (including graphic novels) as requested by our students. Since the mid-1980s, the UMPI library has been one of eleven libraries that form a statewide consortium that provides a unified catalog of library materials called URSUS. This consortium consists of the seven UMS libraries, the Garbrecht Law Library, the Maine State Library, the Maine State & Legislative Research Library, and Bangor Public Library. The URSUS Library Directors' Council has worked together for more than 25 years to provide excellent access to resources by carefully collaborating to plan and develop collections. "The URSUS catalog now has more than 2.8 million bibliographic records and 4.3 million shared items." Maine InfoNet is an organization jointly funded by UMS and the Maine State Library. It provides centralized technical support for on-line library

systems and databases. This URSUS collaboration includes savings in core technology, shared databases, delivery service, shared catalog/collection, and shared policies and procedures.

Over that past 10 years, academic libraries find themselves in the midst of a paradigm shift in their focus and valuation. It is commonly known among academic library directors that the focus of library evaluation has shifted from the management of the physical collection to providing access to information and learning spaces. This appraisal and self-assessment touches upon the change in academic library roles and looks for different evidence to support our developing roles at the institution.

APPRAISAL

Resources and Access

The UMPI library staff members have not developed a specific mission statement separate from the university mission as we believe that our mission is to promote and support the mission of the institution. This approach is consistent with the findings from the Association of College and Research Libraries, a The Value of Academic Libraries: *Comprehensive Research Review and Report*, by Megan Oakleaf. According to the Ithaka S+R Library Survey 2010: *Insights from U.S. Academic Library Directors,* "Academic library directors identified their libraries' mission with the support of teaching needs of their institutions."

During the spring 2013 semester, the Library Planning Committee was formed to address the emerging needs of our academic library. This committee met throughout the summer, and has agreed upon a draft report that includes several recommendations for the reorganization of both services and physical space. These recommendations include the need for learning areas that are extensions of the classroom environment including: collaborative, virtual and quiet study spaces. They also include 24/7 access for students with a café style group learning environment and a place for active learning projects.

During the summer of 2013, UMPI's President Schott and her council worked to develop a new draft for the UMPI Vision and Mission statement. President Schott shared this draft with the Library Planning Committee, with the university constituencies, and community. The focus of UMPI's developing vision is to "design a personalized, technologically innovative education with every student and prepare each graduate to pursue a career…" There are several sections of the mission that have direct impact on the Library Planning Committee's recommendations and are echoed in the report (listed above) by Megan Oakleaf. Most significant of these are providing students with "voice and choice" on their learning styles and environments to support their choices.

As a member of a consortium, the library contributes to URSUS (http://ursus.maine.edu), a shared on-line catalog, as well as collections of electronic resources in a variety of formats. Resource sharing with the URSUS consortium has allowed better utilization of resources. This resource sharing initiative began in the mid-1980s. The consortium also provides us with access to the state-funded MARVAL resources, shared technical support, shared database acquisitions, and a shared catalog. In 2007, the URSUS libraries participated in LibQual+. While the results for the UMPI library were favorable, the survey data are outdated. The consortium library directors are discussing the best timing to repeat this valuable survey to inform our plans.

The library acquisitions budget has remained flat for years. The cost of periodicals and on-line database subscriptions traditionally increase about 5% annually. However, there are increasingly more and more journals that are included in certain common databases, offsetting the costs. This trend of moving the journals and periodicals from physical collections to on-line databases coupled with the participation in the statewide URSUS consortium has allowed the UMPI campus to keep pace with faculty needs in support of academic programs. As evidenced by the 2013 PTA Accreditation Team's Report, "Interviews with library staff and a tour of the library indicated a strong overall commitment to quality education and access to textbook, reference material, and on-line formats. The library possessed appropriate levels of technology for student use. During the tour or the library, the on-site team noted numerous quiet learning spaces, small-group study rooms and computer stations located throughout the building."

The current library director started in her position in July 2011. She reports directly to the Provost/VPAA and has worked closely with him to integrate faculty decisions back into the collection (physical and virtual) building process for the library. During the AY 2012, the library book budget was reinstated, providing each full-time faculty member control over a small budget for building the collection. Current practice allots a designated monetary value of the materials budget to every full-time faculty member to be spent at his/her discretion to augment our collection with the resources they need in support of their program. A massive weeding project has already begun in the library government docs and reference areas. This process to weed the general stacks will solicit help from faculty in all colleges and continue throughout the academic year.

Faculty input is also being sought in the management of e-databases/journals. Beginning in AY 2012, annually, the library staff review the list of UMPI e-database/journal purchases looking for duplicate and underutilized journals. Frequently duplicates are discovered because the shared databases we belong to often pick up ones that we are paying for separately and they also frequently become available as part of a free database. This list is compiled with prices and utilization statistics and presented to the college chairs who solicited information from the faculty in each area to ensure that the periodical renewals meet their needs.

UMPI faculty and staff are involved in system-wide committees which make decisions on information systems used for distance education. The Provost/VPAA sits on the technology governance group (CIO Council). The library director, a faculty member, and help desk staff from UMPI participate in a system-wide governance group for the learning management system. UMPI is proud of our faculty commitment to serve on this committee as the inclusion of faculty on this committee is not common practice across the system.

UMPI has an active inter-library loan program and catalog sharing with other URSUS and statewide libraries. All campus patrons can use our on-line inter-library loan application (Illiad) to request journal articles and books. A large majority of the article requests can be handled the same day with electronic delivery. Occasionally patrons are required to pay for one time requests. During the fall 2013 semester, the library set aside funds to help purchase one-off article needs by students and faculty for classroom related needs when we cannot secure them for free. For book requests, the consortium libraries use a delivery service that visits 150+ library locations across the state of Maine. These daily deliveries add significant value to the

consortium libraries as we all share the same catalog and can process the circulation requests at the patron's home library.

The library systems technology needed to support 24/7 access to the catalog and on-line resources is mostly supported by the UMS and the Maine State Library through the consortium. This agreement provides the UMPI patrons with service levels and access to collections that could not be achieved individually. This benefits all academic programs on campus. As part of the consortium, the UMPI library has access to over 27,000 electronic periodicals. This shared access is from mutually agreed upon needs for all consortium member libraries. UMPI pays its representative portion to these on-line resources. UMPI also subscribes to individual database and journals based on faculty member needs. Over the past ten years, printed journal collections have given way to e-journals.

The computers in the library are mostly hand-me-downs from the instructional labs. They are annually assessed and upgraded as needed. The library has recently purchased laptops and MACBooks for students to borrow while in the library. To help with the planning for future technology purchases, UMPI participated in the ECAR (EDUCAUSE Center for Applied Research) Survey of Undergraduate Students and Technology, 2013.

UMPI imposes a student technology fee to partially cover the costs of instructional technology. This fund provides technology related to the teaching and learning environment, including: network access, classroom technology (instructor stations, projectors, DVD players, speakers, electronic white boards, document cameras, etc.), instructor laptops for use in the classroom (on-line or on-ground), lecture capture software (Panopto and Camtasia), clickers, collaboration software (Adobe Connect Pro, Google Apps), computer lab upgrades, and laptop carts. The individual computer and networking access is provided by the UMPI campus. We have a robust network that includes wireless networking capability (one for students, faculty and staff and an open wireless network for the public) throughout the campus and wired computers and laptops dedicated to student use in the library and across campus.

Faculty can request (through their Chairs and the VPAA) additional technology needed in support of their programs. The technology fee fund often funds these needs. There are also grant moneys from the UMS available on a competitive basis to fund these needs. One prime example of this is the funding for the new PTA program's technological needs. In 2013, the accreditation team for the PTA program commented that, "Students spoke highly of the use of technology in the classroom as well as maintaining connections to PTA staff via e-mail and Blackboard."

Beginning in fall 2013, we are investigating classroom control units to improve the classroom experience for instructors. We have also repurposed a room in the library for instructor computer training and lecture capture recordings.

The UMS, including UMPI, has significant difficulty in keeping up with mobile technologies in both the library services and classroom environments. This includes easy access and navigation to the on-line library systems and learning management system software with mobile devices. The vendors in support of higher education have not provided enterprise wide solutions that keep pace with the use of Smart phones and iPads with wireless projectors.

Since spring 2012, the UMS has been undergoing an administrative review process. The review of the information technology area has resulted in a more unified IT organization across the system. While the IT organization is currently reinventing itself, the goals of this review include reducing costs, improving quality of service, and aligning expenditures more closely with the missions and visions of the campuses. The campus has already gained some benefits from this reorganization as the campus and local IT staff are able to pull from the expertise system wide in support of campus initiatives.

In light of the IT system-wide IT planning and new mission and vision for the UMPI campus, UMPI will need to develop a new IT plan that aligns the IT expenditures with the needs of the university.

There are 4.5 permanent, full-time members of the library staff (who are augmented by student employees during the academic year): Director of Information Services (responsible for library and information technology (.5 FTE library); one reference librarian (reference, government documents, and instructional librarian); one head of access services (manages day-to-day circulation and access services, manages and processes inter-library loan requests, provides on-line access cards for students at a distance); and two classified staff members. Budgeting shortfalls in recent years have affected staffing with positions reduced and impacting service hours for reference help.

Permanent library staff members participate in statewide consortia committees related to their areas of expertise and job duties. This representation in the consortia is vital to ensure continued collaboration in order to provide UMPI with maximum benefit from the consortia arrangement. One example of the importance and ability to leverage the consortium arrangement is that during the 2012 AY it was identified that all users needed access to self-help on-line tutorials for accessing library systems as we do not provide 24/7 access to reference librarians. The URSUS directors responded to this need by tasking the reference group with developing a process to produce on-line tutorials. The reference group has developed standards and a procedure to allow these self-help videos to be sustainable and have begun developing them. Throughout the 2014 AY, this self-help tutorial catalog will grow. The database consortium group collaborates on subscription pricing to ensure that we get the lowest price available for needed resources (some vendors provide cheaper pricing individually and some by consortium).

Computer Services is conveniently located in the library building and provides phone and walk up service to students, staff, and faculty. They also provide repair services for personal owned computers as our geographic location does not offer students and employees many repair options. Computing services supports access to all enterprise-wide systems (payroll, HR, ledger, student administration, LMS, email) and to the local campus network. They support faculty by supporting classroom equipment and computer labs; providing training on instructional technology; assessing needs for special hardware; and training students in classes for use of instructional tools. UMPI also shares in the use of an instructional designer and an instructional technologist from University College. While access to these shared resources is beneficial, with the significant expansion of our on-line offerings and programs, the institution would greatly benefit from a full-time instructional design specialist.

The reference librarian is also our instructional librarian. She teaches all bibliographic classes/segments. All First Year Seminar (FYS) classes have a bibliographic instruction module. This instruction includes a tour of our building (including building art), website, electronic tools (including catalog searches, e-database searches, inter library loan information), and a relevant assignment to practice the skills. Many upper division classes also request bibliographic instruction modules for specific subject matters. Students can receive one-on-one reference help through appointments and walk-up service. They also can email questions to ask-a-librarian on our website.

All university students have worldwide access to the LMS. The access librarian proactively emails all on-line instructors with information on how their students can access our library resources from a distance. Recently, UMS worked with the tech support team from Maine InfoNet to link the access to on-line library services with the student's university credentials. The library is also a partner to on-line instructional initiatives by the system reference librarians who are in the process of collaboratively developing on-line instructional modules. These self-help tutorials will support students and faculty in all modalities. The library is also a partner to on-line instructional initiatives by the System reference librarians who are in the process of collaboratively developing on-line instructional modules. These self-help tutorials will support students and faculty in all modalities.

Information and Technology Literacy

As discussed in standard 4, the faculty integrated information literacy modules throughout the GEC. A new GEC was ratified by the faculty in fall 2011, including the assessment plan for this requirement. Faculty frequently request bibliographic instruction from the reference librarian for classes and one-on-one sessions. Feedback was solicited from the faculty on the effectiveness of the bibliographic instruction. This feedback includes the following comments:

- *"she helped them discover which databases might be most helpful by subject areas and demonstrated how to use Boolean operators, search for only peer reviewed sources…"*
- *"I would like to thank the UMPI reference librarian for many hours of consultation, advising, and teaching afforded my ENG 121 (College Composition II) students again this semester."*

Beginning in spring 2014, the UMPI reference librarian and library director are working closely with the University College/UMA librarian on the use of LibGuides in support of on-line and on-site classes. These LibGuides are being designed with faculty and will enhance our goal of improving information literacy.

The reference librarian works closely with faculty on specific assignment requirements to ensure that the guidance given to students is appropriate and complete. UMPI currently has only one reference librarian. Some of our consortium libraries have enough reference librarians to support the practice of assigning a reference librarian to each class.

PROJECTIONS

The following activities are planned for the future:

- UMPI will develop a current information technology plan as part of the new strategic planning initiative.
- UMPI will work more closely with faculty chairs on acquisition budget expenditures in meeting education needs.
- UMPI will continue the massive weeding project for the physical collection and develop a periodic plan to prune the collection as needed.
- UMPI will continue to transform the library services and space usage to meet the needs of UMPI's mission, including 24/7 student access and more learning spaces.
- UMPI will research and implement a more sophisticated web analytics package to provide more complete information on web resource utilization.
- The UMPI library will continue to develop self-help tutorials to meet the needs of all patrons.
- UMPI will make seamless mobile access a priority for the consortium and Maine InfoNet.

INSTITUTIONAL EFFECTIVENESS

UMPI participates in a biennial survey conducted by the National Center for Education Statistics. This table compares the UMPI results for the calendar year of 2012 with three other URSUS consortium libraries. The most significant differences occur in the Total Staff per 1,000 FTE, the Gate Count, and Circulation Transactions per 1,000 FTE.

Academic Libraries Survey Fiscal Year 2012
National Center for Education Statistics, Summary of Results

	UMPI	UMF	UMFK	UMM	Average
Librarian & Professional Staff/1,000 FTE	2.74	2.30	3.24	2.80	2.77
Total Staff/ 1,000 FTE	6.40	7.18	10.10	8.59	8.07
Total Library Expenditures/ 1,000 FTE	323.26	305.55	318.72	345.10	323.16
Hours Open Per Week	77.00	90.00	83.00	79.00	82.25
Gate Count/ 1,000 FTE	0.71	1.34	1.81	0.90	1.19
Circulation Transactions/ 1,000 FTE	3.00	8.00	13.00	9.00	8.25

As discussed in standard 4, UMPI now generates 25% of its credit hours with on-line classes. As shown in the results of the ECAR (EDUCAUSE Center for Applied Research) 2013 Study of Undergraduate Students and Technology, 76% of UMPI students report that they have taken an on-line course from UMPI; compared with only 36.5% of students from peer institutions and 34.8% of all US students (see page 29). This is a significantly higher number than the other campuses listed. It is expected that the gate count and circulation transactions are lower for UMPI than the peer libraries, as many of our students are not geographically located near the physical library. In an effort to evaluate the number of virtual gate count people we serve, UMPI requested numbers from the web master and from Maine InfoNet. The following table summarizes those results. It is recognized that we currently do not have this information

broken down by location (from within the library versus off campus), but we will add this monitoring to the statistics we gather.

Electronic Gate Count Fiscal Year 2013 (July 2012-June 2013)
Data Source—Maine InfoNet Technical Support

Resource	Logins	Searches
Proquest	456	1207
EBSCO	13327	49397
Ebrary	165	79
Ancestry Library	808	18310
Gale	268	888
Totals	**15024**	**69881**

This is the information that Google Analytics provided us on our library home page usage. What we do not know is whether or not our library home page was used to access any of the databases, catalog and periodicals supported by Maine InfoNet. UMPI will work with the web master to start gathering this information for the future. In the ECAR study, 71.7% of UMPI students report that the library website is important to their learning environment.

Library Home Page Usage

Library Home Page	22,355
Find Books	473
Find Articles	480
Research Help	112
Library Tutorials	91
E-Reference	1,222
Directory	360
Hours	755

The numbers listed here suggest that the library home page provides the access to information (via the links that are on the main page) most users need as there are over 15,000 logins to the databases/periodicals. Most of these would have been reached directly from the library home page or e-reference page.

As mentioned in the appraisal section, the library strives to meet the mission(s) of UMPI and continues to find innovative ways to support the various academic initiatives.

Standard 7: Library and Other Information Resources
(Library)

		3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
		(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
Expenditures/FTE student						
	Materials	$ 75	$ 79	$ 88	$ 93	$ 90
	Salaries & Wages	$ 299	$ 242	$ 341	$ 427	$ 340
	Other operating	$ 12	$ 19	$ 22	$ 21	$ 20
Collections						
	Total print volumes	166,339	159,678	160,199	160,787	160,000
	Electronic books		1	96,826	113,865	114,000
	Print/microform serial subscriptions	93	77	122	103	100
	Full text electronic journals	19,429	24,927	28,592	31,534	32,000
	Microforms	456,537	455,851	457,565	455,715	455,000
	Total media materials	3,082	3,226	3,238	3,279	3,280
Personnel (FTE)						
	Librarians -- main campus	2.0	1.0	1.0	1.0	1.0
	Librarians -- branch campuses	n/a	n/a	n/a	n/a	n/a
	Other library personnel -- main campus	3.0	3.0	4.0	4.0	4.0
	Other library personnel -- branch campus	n/a	n/a	n/a	n/a	n/a
Library Instruction						
?	Total sessions -- main campus	36	60	35	21	30
	Total attendance - main campus	600	327	331	245	300
	Total sessions -- branch campuses	n/a	n/a	n/a	n/a	n/a
	Total attendance -- branch campuses	n/a	n/a	n/a	n/a	n/a
Reference and Reserves						
?	In-person reference questions	1399	1346	1356	850	950
?	Virtual reference questions	79	90	53	98	150
	Traditional Reserves:					
	courses supported	45	35	25	24	25
	items on reserve	150	130	72	68	70
	E-Reserves:					
?	courses supported	n/a	n/a	n/a	n/a	n/a
?	items on e-reserve	n/a	n/a	n/a	n/a	n/a
Circulation (do not include reserves)						
?	Total/FTE student	2.1	1.2	1.5	3.1	2.5
?	Total full-text article requests (cannot determine t	n/a	n/a	n/a	n/a	n/a
	Total e-journal logins	n/a	n/a	n/a	15024	15000
	Total e-journal searches	n/a	n/a	n/a	69881	70000
	Number of hits to library website	n/a	n/a	n/a	22355	22300
	Student borrowing through inter-library loan	n/a	n/a	n/a	360	400
	Student borrowing through consortia or contract	1182	1185	1100	1385	1250
Availability/attendance						
?	Hours of operation/week main campus	77	77	77	77	77
	Hours of operation/week branch campuses	n/a	n/a	n/a	n/a	n/a
	Gate counts/year -- main campus	33274	31192	26141		24000
?	Gate counts/year -- average branch campuses	n/a	n/a	n/a	n/a	n/a
URL of most recent library annual report:	n/a					
URL of Information Literacy Reports:	n/a					

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 7: Library and Other Information Resources							
(Information Technology)							
			3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
			(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
Number (percent) of students with own computers			N/A	N/A	N/A	95%	95%
Course management system		Blackboard: numbers include all broadcast					
Number of classes using the system							
Classes on the main campus			829	718	765	826	800
Classes offered off-campus			0	0	0	0	0
Distance education courses			88	134	174	171	171
Bandwidth							
On-campus network			100Mbps	100Mbps	100Mbps	100Mbps	1000Mbps
Off-campus access							
commodity internet (Mbps)			100 Mbps	100 Mbps	100 Mbps	100 Mbps	10000Mbps
high-performance networks (Mbps)			100 Mbps	100 Mbps	100 Mbps	100 Mbps	10000Mbps
Wireless protocol(s)			802.11 a/b/g	802.11 a/b/g	802.11 a/b/g	802.11 a/b/g	802.11 a/b/g
Network							
Percent of residence halls connected to network							
wired			100%	100%	100%	100%	100%
wireless			100%	100%	100%	100%	100%
Percent of classrooms connected to network							
wired			100%	100%	100%	100%	100%
wireless			100%	100%	100%	100%	100%
Public wireless ports			Yes	Yes	Yes	Yes	Yes
Multimedia classrooms (percent)							
Main campus *1			100%	100%	100%	100%	100%
Branches and locations *2			40%	40%	40%	40%	40%
IT Personnel (FTE)							
Main campus			6.75	6.25	6.25	6.75	5.75
Branch campuses			0.25	0.25	0.25	0.25	0.25
Dedicated to distance learning			1.00	1.00	1.00	1.00	1.00
Software systems and versions							
Students		PeopleSoft					
Finances		PeopleSoft					
Human Resources		PeopleSoft					
Advancement		Advancement Web 9410					
Library		URSUS, Ref Works					
Website Management		Joomla -- 2.5.9					
Portfolio Management		None					
Interactive Video Conferencing		Adobe Connect Pro, Polycom, tandberg, Google Hangout, Skype					
Digital Object Management		Image Now/Web Now					

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

*1. Special science labs are excluded from this number as the environment is not condusive to standard computing equipment

*2. There are some mobile projectors and laptops available as needed.

Standard EIGHT: Physical & Technological Resources

DESCRIPTION

UMPI is located on 150 acres in Presque Isle, Maine, the economic hub of Aroostook County, which is simply known statewide as "The County."   Aroostook County is larger than the states of Connecticut and Rhode Island combined. Unique challenges for our campus include its location in the northernmost county in the state of Maine, harsh winters, a rural environment with a population of 71,870 (U.S. Census Bureau Data 2010), and available heating sources. These same challenges, however, are offset by an abundance of available resources that can enhance virtually all educational initiatives.

Our Facilities Management Office is responsible for overall maintenance of our infrastructure. Forest and natural areas surrounding the epicenter of campus enhance the beauty of our rural campus. Athletic fields include two soccer fields, tennis courts that are lit and open to the general public, and walking trails. Our campus includes eleven academic/administrative buildings, six residential buildings, one student life building, and one recreational building.

The Caroline D. Gentile Hall opened its doors on January 21, 2006. Named in honor of the University's legendary and longest serving physical education professor, the $9 million, 45,000 square foot building is dedicated to academics, student life, and community wellness. The facility features a multipurpose gymnasium that has a floor space of 104' x 125'. The four layered, poured urethane floor (rubber) is marked for basketball, volleyball, badminton, tennis, team handball, and two types of racquetball. The $140,000 climbing area has a state of the art 37' wall, with a bouldering wall on the opposite side. The walking/jogging track has a 1/12 mile track with handrails for safety. The 174,000 gallon tiled swimming pool is 25 yards in length and has a maximum depth of 10'. The pool has two handicapped accessible areas, including a lift, while also offering a friendly entrance of graduated stairs that provides ease of access for all ages. Both the male and female locker rooms have 160 lockers that are available for day use. The fitness center has over 4,000 square feet and well over $100,000 of exercise equipment. The room includes free weights, strength machines, and cardio equipment. The exercise/physiology lab, which is used for research, teaching, and testing, allows for students and athletes to be involved in every aspect of physical testing. The lobby has a reception desk with information about our facility and features a fiddlehead sculpture created by Vermont sculptor Jim Sardonis. The UMPI Outing Club, the campus outing club, is located in Gentile Hall. The club is well stocked with quality gear, such as cross country skis, snowshoes, climbing gear, kayaks, canoes, tents, camping equipment, and more. The club hosts a wide range of events throughout the year. These events range from day trips to overnight trips and camping trips and summer camps for kids. The club is unique in that events and equipment are available to students, faculty, staff, and members of the community. The facility has also been the site of several national and international biathlon ceremonies, as well as large local events such as the annual Sportsman Show, health fairs, college fairs, project graduation parties, and more. The building has becomes a popular site for school fieldtrips, community gatherings, birthday parties, and variety of special events.

Our buildings are equipped with wireless connectivity; other features include instructional computer labs, computer-equipped student lounges, a GIS lab, a molecular imaging lab, video and teleconferencing capabilities, and testing labs. Several of our buildings are equipped with security cameras for 24 hour surveillance. Another significant addition has been our $2M mid-sized wind turbine. This turbine, the first located on a university campus in the state of Maine, provides exceptional educational opportunities and emphasizes the green initiative on our campus. Others include bio-mass boiler systems utilizing wood pellets, a solar power generating facility, and heat pump systems.

APPRAISAL

UMPI has adequate space for classrooms and laboratories. Our density studies reflect a lower density than the national average on campuses.

Positive strides have recently been made in better serving the needs of all faculty, staff, and students by providing greater accessibility in several of the buildings. For example, the largest lecture hall on campus, located in the first floor of Pullen Hall, was inaccessible by wheelchair until 2012, when a motorized lift was installed allowing for access to the lecture console and equipment at the base of the room. In addition, signage for site impaired individuals was posted in all of the public access buildings (such as the Library, Student Center, classroom buildings, etc.).

The UMS Office provides superior guidance and resources for our facilities management needs. The campus Director of Facilities Management and the Vice President for Administration and Finance work closely with leadership at the System to coordinate issues related to deferred maintenance, contracts, risk management, ADA compliance and accessibility issues, life safety, and campus planning.

Our campus planning is focused on one primary area: the needs of the students. This would include all services, administrative functions, and financial planning.   UMPI is fortunate to include in its resources the UMS Office, which includes an Information Technology area that has oversight of the major IT functions for all system campuses. A satellite office is located on the UMPI campus that reports to the IT Office within the UMS Office. A liaison reporting relationship exists on our campus to ensure proper support and customer service to our campus constituents, including the students.

Our campus, under the overall direction of the UMS Office, has contracted with SightLines, Inc. to provide expertise in the areas of managing deferred maintenance and space planning.

The Information Technology Office within the UMS Office maintains oversight of the reliability of the systems, including the integrity and security of the data.   Policies and procedures are implemented from the System in coordination with the campus IT service centers.   Higher lever coordinated oversight is conducted by the Shared Services Advisory Council, which primarily consists of the Vice Presidents for Administration and Finance from all campuses and System leadership including the Director of Information Technology at the System Office.

Additional oversight specific to security of our information technology systems is coordinated through the Information Security Governance Council. This Council is coordinated by the Information Technology Office at the System and includes representatives from all campuses.

UMPI has a balance of laboratory space, student space, and classroom space and technology to provide an atmosphere of higher learning; recent additions to laboratory space, as well as a STEM grant procured in 2013, have allowed for significant improvements to students' educational opportunities in such areas (see Standard Four for further information). In addition, our location in northern Maine provides an outdoor laboratory second to none.

PROJECTIONS

In terms of accessibility, UPMI has made significant progress over the past ten years in extending the percentage of campus facilities that are accessible to all personnel and students (including the lecture hall in Pullen noted above). However, the development of a construction checklist addressing accessibility issues that is updated by both faculty and Student Services offices would be helpful toward future planning and budget allocation initiatives. This should include addressing Normal Hall, one of the primary office and instructional buildings on campus, which remains ADA inaccessible above the first floor.

Continued discussion of necessary and significant rehabilitation of Wieden Auditorium (toward which a fundraising initiative is underway) and areas within the library (see Standard Seven) will require significant planning and development as well.

INSTITUTIONAL EFFECTIVENESS

The planning process and budget allocation methods are driven by UMPI's strategic plan. Continual evaluations occur of our facilities, including working with SightLines, Inc. to study the infrastructure of our campus and strategically plan to address the most critical needs of our campus in a timely manner. Planning is underway to establish a single point of contact office to address student administrative needs and to ensure that our processes are as efficient as possible, which would allow our budget process to direct as many funds as possible to the academic mission of the campus strategic plan.

Standard 8: Physical and Technological Resources

Campus location			Serviceable Buildings		Assignable Square Feet (000)			
Main campus			23		385,161			
Other U.S. locations			5		33,448			
International locations								

				3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
				(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
Revenue ($000)								
Capital appropriations (public institutions)								
Operating budget				$1,908,792	$2,030,418	$2,865,323	$3,059,221	$3,074,218
Gifts and grants				$60,250	$1,004,723	$554,462	$4,582	$0
Debt				$1,845,000	$1,800,000	$1,750,000	$1,700,000	$1,650,000
TOTAL				$3,814,042	$4,835,141	$5,169,785	$4,763,803	$4,724,218
Expenditures ($000)								
New Construction								
Renovations, maintenance and equipment				$57,133	$1,224,860	$460,628	$407,466	
Technology				$219,066	$241,946	$216,136	$387,559	$630,913
TOTAL				$276,199	$1,466,806	$676,764	$795,025	$630,913

Assignable square feet (000)		Main campus		Off-campus		Total	
Classroom		16,767		3,959		20,726	
Laboratory		19,405		2,949		22,354	
Office		52,115		2,147		54,262	
Study		17,980				17,980	
Special		37,295				37,295	
General		50,199		6,863		57,062	
Support		13,966		1,241		15,207	
Residential		48,320		9,977		58,297	
Other		82,264		8,071		90,335	

Major new buildings, past 10 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet (000)	Cost (000)	Year
Gentile Hall	Academic	49,026	$9,400,000.00	2006
Wind Turbine	Academic		$1,900,000.00	2009

New buildings, planned for next 5 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year

Major Renovations, past 10 years (add rows as needed)

The list below includes renovations costing $_____ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
Folsom Hall	Academic	26,694	$1,750,178.00	2006
Pullen Hall	Academic	20,273	$1,673,118.00	2009

Renovations planned for next 5 years (add rows as needed)

The list below includes renovations costing $_____ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard NINE: Financial Resources

DESCRIPTION

Although each university within the UMS has its own financial staff, the System's Office of Finance and Accounting directs overall treasury operations, internal audit functions, policy development, budgeting, and consolidated internal and external financial reporting. Budget processes at UMPI are guided by policies and practices of the seven-campus UMS Office. These include budget timetables, standardized forms and procedures, system-wide assumptions for all campuses (compensation increases, fringe benefit rates, state appropriation allotment, and maximum recommended tuition increase), budget review, and oversight. Specific financial policies and practices are guided by a series of Administrative Practice Letters (APLs) developed by the System that cover a range of topics including accounting, asset management, finance, general administration, gifts/investments, information technology, procurement, sponsored programs, and student financials. The APLs are supplemented by guidelines posted to the USM website in a variety of locations (Finance and Administration, Business Services, Human Resources).

The organization structure in place between the UMS Office and the administrative staff within UMPI provides adequate controls and separation of responsibilities. This assists all involved to maintain the highest possible integrity standards.

Through receipt of an annual State of Maine legislative appropriation and revenue generated from tuition and fees, UMPI provides sufficient resources to sustain the quality of its education mission. The University's budget process and regular review by the President's Council ensures that allocations support the University's mission. The Presque Isle campus currently has approximately four months of expenses in reserves, which meets the benchmark set by the Strategic Financial Analyses for Higher Education, Seventh Edition, published by KPMG, Sealy & Co., LLC and ATTAIN (Reference Core Financial Rates Jan. 2013). This reserve allows UMPI to respond to financial emergencies and unforeseen circumstances. (January 2014 Core Financial Ratios and Composite Financial Index).

UMPI and the UMS are both financially stable and each has sufficient resources to carry out its respective mission. The State of Maine Legislature has sufficiently supported the UMS, even during the current economic downturn, to support our mission. The University's State of Maine allocation and tuition and fee revenue provide a source of revenue for the campus operations. The Presque Isle campus has dealt with enrollment fluctuations, increased costs of salaries and benefits, mandated maintenance requirements and relatively flat funding from the State Legislature. The campus benefits from a relatively high degree of fiscal autonomy and campus control of its financial resources and budgeting process. The institution maintains its fiscal autonomy by preparing an annual balanced budget using planning assumptions provided by the UMS. At the end of each fiscal year, the institution closes its Education and General account balances into its reserve account. The auxiliary department account balances also flow into reserves. The institution has full control of its reserve account to maintain its financial stability and meet unexpected emergencies. (See Financial Statement, June 30, 2013)

The Presque Isle campus has a multi-year financial plan that is part of a UMS plan. The plan projects State of Maine appropriations, institution tuition and fee revenues, and unrestricted operating expenses. The plan is completed and submitted to the UMS for review. Once approved, the plan is incorporated into the overall System's plan and presented to the UMS's BOT.

The plan is realistic according to the planning assumption provided by System-wide services, anticipated enrollment levels, and resources. The multi-year plan outcomes are reviewed annually to ensure that they are still appropriate and are adjusted as needed. (Multi-year Financial Plan 2015-2019).

The primary funding sources of the Educational and General budget (E & G) are tuition revenue, fees, and State appropriations.

The State of Maine Legislature appropriates funding in a biennial budget directly to the UMS BOT. The BOT allocates funds to the seven university campuses and System Office. The BOT adopted a new funding formula in January 2013. The allocations for the FY14 budget have been allocated based on an outcome-based funding model. This resource allocation replaces the pro-rata based formula. (See FY14 Operating Budget and Outcomes Based Funding Model).

The Vice President for Administration and Finance works closely with the Director of Financial Aid on a continual basis to ensure that the financial aid policies and procedures are advancing not only the institution's mission but also to ensure that the institution enrolls and supports the population it seeks to serve. The utmost consideration is given to the campus' stated financial aid philosophy, which is: UMPI makes every effort to ensure that each student who is enrolled or wishes to enroll has the financial ability to meet his/her educational expenses. Financial aid is offered to qualified students in the forms of scholarships, grants, loans, and work assistance. Over the years, the institution has worked diligently to maintain and enhance our need-based assistance programs. In addition, several years ago the campus, in conjunction with the UMS, hired an external consultant. Noel-Levitz, the firm hired, was charged with reviewing the financial aid policies and practices with an eye toward improving the delivery of aid at the Presque Isle campus. As a result, the firm recommended strategies to assist UMPI in utilizing merit money in the recruitment of new students. It is important to note that no adjustments were recommended in the existing policies and practices for delivering our need-based resources.

UMPI has a stable finance staff with many years of experience. In addition to the campus staff, the institution is supported by a financial management and accounting staff at the UMS Offices. The campus has a full-time Vice President for Administration and Finance, who reports directly to the President, whose primary responsibility is managing the campus finances. In October 2013, due to the retirement of the long-standing Vice President for Administration and Finance, the campus hired an individual with more than 30 years of experience in higher education finance and administration.

Fiscal policies are available in various on-line publications, Board of Trustee Policies and Procedures Manual, Administrative Practice Letters, and periodic memos communicated to the

campus. Campus open forums review up-to-date financial status updates for the campus; and discussions of re-allocation of existing funding is a major part of our annual budget process.

The budget development process begins with the President's Executive Leadership Team. System-wide Services provides budget building assumptions such as benefits, compensation, depreciation funding and supporting costs for shared services. The President's Executive Leadership Team members receives information on their respective areas of responsibility, and, in turn, all are responsible for meeting with their account managers to develop expenditure budget and priorities. The campus Planning and Budget Committee plays a limited role in reviewing and recommending budget allocations, especially in relation to mission and strategic planning priorities for a given year. The President's Executive Leadership Team makes final budget determinations. The President submits the final report to the Chancellor, who incorporates it into the total System budget. The budget is presented to the governance body, the UMS BOT, for review and approval.

In addition to its primary operating budget derived from tuition, fees, and State appropriation, the campus operates budgets in the areas of auxiliary enterprise, grants and contracts, endowed funds, and capital projects.

Auxiliary enterprise budgets include dining services, residence halls, motor pool, and campus store. These operations do not receive support from State appropriation. The campus works diligently to keep prices affordable and cover annual operating costs and emergencies. Grants and contracts consist of various funding sources, state, federal, foundations, and private awards. Each award has specific restricted use and a termination date.

A significant step in the overall budget process at UMPI includes an overall review of existing available and previously budgeted funds to assess whether our budget reflects the goals as outlined in our strategic plan.   Internal re-allocations are considered during each budget cycle, along with budget variance analysis at regular intervals during a fiscal year.   This budget analysis would include a study of revenue and expense overall categories to determine if mid-year adjustments are necessary as well as planning for future years.

New and additional sources of revenue are continually being reviewed and considered based on the overall strategic plan of the University.   A recent grant from the Davis Foundation will assist our University to move forward with our proficiency-based curriculum. Agreements with high schools from across the state emphasizing the change to proficiency-based education will increase our enrollment from high schools already utilizing this method of teaching.

The UMS Office and the administration of UMPI provide excellent oversight of resources.   The two entities, while working together on many initiatives, also provide 'checks and balances' of our resources between the two entities.

The Office of the Vice President for Administration and Finance operates according to federal, state, and University regulations and guidelines. In addition to the reporting required set by the BOT, the UMS and UMPI follow Governmental Accounting Standards. The UMS utilizes GASB 34 & 35 guidelines as required by law. The certified public accountant Berry Dunn audits the System and campuses yearly. This process assures that funds are allocated and expended in

the support of institutional activities. This report is a tool to assess the financial stability of the institution.

Since the inception of the Foundation of the University of at Presque Isle in 1972, the University has conducted an annual fund drive to build its endowment. The President reports the use of these funds to the Foundation Board of Directors at their annual meeting in the fall. The market value of the University Foundation's endowment has grown 84% over the last decade, from $2,082,844 in FY03 to $3,834,148 in FY13. This increase represents both a growth in existing endowments and the establishment of new ones. The endowment is invested in a financial portfolio that is currently managed by KeyBank Investments.

All materials prepared for the University's fundraising efforts accurately portray how a donor's gift can be used. All gifts and pledges received by the Development Office are entered into the University's fundraising database and officially acknowledged. Funds are promptly deposited into the accounts designated by the donor. The foundation annually reviews its investment pools and determines the percentage amount used for scholarships based on interest earned on the market value.

The purpose and criteria for dispersing funds from each endowment are outlined in a trust agreement between the donor and the Foundation of the University at Presque Isle. Copies of the trust agreements are maintained by the Development Office, which also ensures that the wishes of the donors are carried out as the funds are dispersed for scholarships and other awards. New trusts are created with guidance from the Development Office to ensure that they will help advance the mission of the institution. The foundation is audited annually by a certified public accountant, and the report is provided to the Foundation's Board. (University Affiliated Fundraising, Annual Report of Gifts 6/30/2013).

The University also adheres to guidelines set forth in the University of Maine System Policies and Procedures Manual approved by the BOT. Administrative Practice Letters approved by the UMS constitute guidelines that the campus follows to assure compliance with ethical and financial practices.

The UMS requires that all contractual agreements conform to established policies and are reviewed by the UMS general council. The process also includes the UMS Risk Management officers as necessary. The UMS has outside contract counsel for specialized contracts.

APPRAISAL

UMPI has sufficient reserve balances in both E & G and Auxiliary operations to fund revenue shortfalls without impacting its core education mission.

The university has made an effort to provide access to lower and middle income students. The university has had modest increases in university scholarships and grants, from approximately $1 million dollars in FY 2010 to $1.27 million in FY 2014. The foundation has also provided additional financial aid resources. The university's efforts have been rewarded by a recent US News and World Report that listed UMPI as the public regional college in the North with the lowest amount of student debt.

PROJECTIONS

UMPI is projecting a slight increase in total credit hours for FY15 and FY16. This will be a result of our transition to a proficiency based educational institution and our aggressive marketing efforts with high schools utilizing similar methods. We do not anticipate an increase in State appropriation. The campus will aggressively seek other revenue alternatives for continuing development, improvement of academic programs, energy alternatives, and technology infrastructure. The University will continue to refine its market strategy and revise the strategic plan to assure that revenue and expenses are available to meet the new vision and mission of the campus.

The development operation will improve and enhance fundraising by cultivating relationships with alumni and will expand efforts to secure gifts from foundations and corporations.

INSTITUTIONAL EFFECTIVENESS

UMPI has maintained an effective planning process that has assured the fiscal sustainability of the campus even during highly challenging economic periods. The institution developed a unique financial system organically connected to its strategic planning processes. However, as financial management has become a more integrated part of such planning, and external fiscal pressures have applied increased pressures upon achievement of that planning (e.g., reduced state appropriations, negative student demographics, increased institutional competition), UMPI has initiated a more transparent and participatory budgeting process that will further improve its ability to respond to future fiscal pressures.

Standard 9: Financial Resources						
(Statement of Financial Position/Statement of Net Assets)						
FISCAL YEAR ENDS month &day: (6/30)	2 Years Prior (FY 2010)	1 Year Prior (FY 2011)	Most Recent Year	Percent Change	
				2 yrs-1 yr prior	1 yr-most recent
ASSETS					
CASH AND SHORT TERM INVESTMENTS	$4,478	$5,598	$6,173	25.0%	10.3%
CASH HELD BY STATE TREASURER				-	-
DEPOSITS HELD BY STATE TREASURER				-	-
ACCOUNTS RECEIVABLE, NET	$779	$1,656	$964	112.6%	-41.8%
CONTRIBUTIONS RECEIVABLE, NET	$0	$0	$0	-	-
INVENTORY AND PREPAID EXPENSES	$97	$127	$86	30.9%	-32.3%
LONG-TERM INVESTMENTS	$980	$1,135	$1,065	15.8%	-6.2%
LOANS TO STUDENTS	$1,050	$1,015	$970	-3.3%	-4.4%
FUNDS HELD UNDER BOND AGREEMENT	$0	$0	$0	-	-
PROPERTY, PLANT AND EQUIPMENT, NET	$20,870	$21,439	$21,828	2.7%	1.8%
OTHER ASSETS	$29	$28	$26	-3.4%	-7.1%
TOTAL ASSETS	$28,283	$30,998	$31,112	9.6%	0.4%
LIABILITIES					
ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	$322	$1,111	$447	245.0%	-59.8%
DEFERRED REVENUE & REFUNDABLE ADVANCES	$487	$542	$486	11.3%	-10.3%
DUE TO STATE				-	-
DUE TO AFFILIATES	$0	$0	$0	-	-
ANNUITY AND LIFE INCOME OBLIGATIONS				-	-
AMOUNTS HELD ON BEHALF OF OTHERS	$179	$181	$167	1.1%	-7.7%
LONG TERM DEBT	$1,862	$1,816	$1,766	-2.5%	-2.8%
REFUNDABLE GOVERNMENT ADVANCES	$941	$942	$922	0.1%	-2.1%
OTHER LONG-TERM LIABILITIES					
TOTAL LIABILITIES	$3,791	$4,592	$3,788	21.1%	-17.5%
NET ASSETS					
UNRESTRICTED NET ASSETS					
INSTITUTIONAL	**$23,121**	**$24,844**	**$25,648**	7.5%	3.2%
FOUNDATION				-	-
TOTAL	**$23,121**	**$24,844**	**$25,648**	7.5%	3.2%
TEMPORARILY RESTRICTED NET ASSETS				-	-
INSTITUTIONAL	**$928**	**$1,119**	**$1,233**	20.6%	10.2%
FOUNDATION				-	-
TOTAL	**$928**	**$1,119**	**$1,233**	20.6%	10.2%
PERMANENTLY RESTRICTED NET ASSETS				-	-
INSTITUTIONAL	**$443**	**$443**	**$443**	0.0%	0.0%
FOUNDATION				-	-
TOTAL	**$443**	**$443**	**$443**	0.0%	0.0%
TOTAL NET ASSETS	$24,492	$26,406	$27,324	7.8%	3.5%
TOTAL LIABILITIES AND NET ASSETS	$28,283	$30,998	$31,112	9.6%	0.4%

FISCAL YEAR ENDS month &day: (6/30)		3 Years Prior (FY 2010)	2 Years Prior (FY 2011)	Most Recently Completed (FY 2012)	Current Budget* (FY 2013)	Next Year Forward (FY 2014)
	OPERATING REVENUES					
?	TUITION & FEES	$8,174	$8,552	$8,405	$8,182	$8,085
?	ROOM AND BOARD	$1,862	$2,126	$2,142	$2,117	$2,135
?	LESS: FINANCIAL AID	($3,041)	($3,464)	($3,401)	($1,213)	($1,238)
	NET STUDENT FEES	$6,995	$7,214	$7,146	$9,086	$8,982
?	GOVERNMENT GRANTS & CONTRACTS	$4,680	$4,741	$4,678	$6,268	$6,346
?	PRIVATE GIFTS, GRANTS & CONTRACTS	$96	$151	$246	$3	
?	OTHER AUXILIARY ENTERPRISES	$550	$531	$524	$429	$328
	ENDOWMENT INCOME USED IN OPERATIONS	$59	$52	$46	$4	
?	OTHER REVENUE (specify):	$101	$137	$160	$191	$101
	OTHER REVENUE (specify):	$852	$844	$712	$539	$164
	NET ASSETS RELEASED FROM RESTRICTIONS					
	TOTAL OPERATING REVENUES	**$13,333**	**$13,670**	**$13,512**	**$16,520**	**$15,921**
	OPERATING EXPENSES					
?	INSTRUCTION	$6,372	$5,817	$5,989	$5,931	$5,203
?	RESEARCH	$33	$16	$28	$4	$0
?	PUBLIC SERVICE	$1,390	$1,220	$1,406	$245	$117
?	ACADEMIC SUPPORT	$1,837	$1,896	$1,924	$1,700	$1,710
?	STUDENT SERVICES	$2,453	$2,821	$2,659	$225	$2,188
?	INSTITUTIONAL SUPPORT	$1,836	$1,908	$1,964	$1,849	$1,977
	FUNDRAISING AND ALUMNI RELATIONS					
?	OPERATION, MAINTENANCE OF PLANT (if not allocated)	$1,840	$2,076	$2,067	$2,587	$2,737
?	SCHOLARSHIPS & FELLOWSHIPS (Cash refunded by public institutions)	$1,124	$1,282	$1,257	$24	$151
?	AUXILIARY ENTERPRISES	$2,335	$2,501	$2,498	$2,521	$2,375
?	DEPRECIATION (if not allocated)	$776	$764	$806	$756	$747
?	OTHER EXPENSES (specify):					
	OTHER EXPENSES (specify):					
	TOTAL OPERATING EXPENDITURES	**$19,996**	**$20,301**	**$20,598**	**$15,842**	**$17,205**
	CHANGE IN NET ASSETS FROM OPERATIONS	**($6,663)**	**($6,631)**	**($7,086)**	**$678**	**($1,284)**
	NON OPERATING REVENUES					
?	STATE APPROPRIATIONS (NET)	**$6,441**	**$6,408**	**$6,375**	**$6,268**	**$6,354**
?	INVESTMENT RETURN	**$11**	**$1**	**$2**		
?	INTEREST EXPENSE (public institutions)	**($79)**	**($77)**	**($75)**		
	GIFTS, BEQUESTS & CONTRIBUTIONS NOT USED IN OPERATIONS	**$37**	**$170**	**$135**		
?	OTHER (specify):	**$234**	**$478**	**$10**	**$0**	**$0**
	OTHER (specify):	**$0**	**$0**	**$0**	**$603**	

110

	OTHER (specify):	$143	$183	$603	$110	$110
	NET NON OPERATING REVENUES	$6,787	$7,163	$7,050	$6,981	$6,464
	INCOME BEFORE OTHER REVENUES EXPENSES, GAINS, OR LOSSES	$124	$532	($36)	$7,659	$5,180
?	CAPITAL APPROPRIATIONS (public institutions)	$0	$220	$225		
		$49	$154	($70)		
		$29	$1,005	$746		
?	OTHER	($39)	$3	($70)		
	TOTAL INCREASE/DECREASE IN NET ASSETS	$163	$1,914	$795	$7,659	$5,180

		Standard 9: Financial Resources					
		(Statement of Debt)					
		FISCAL YEAR ENDS month & day (/)	**3 Years Prior (FY 2010)**	**2 Years Prior (FY 2011)**	**Most Recently Completed Year (FY 2012)**	**Current Budget* (FY 2013)**	**Next Year Forward (FY 2014)**
		DEBT					
		BEGINNING BALANCE	$1,907	$1,862	$1,816	$1,766	$1,616
		ADDITIONS	$0				
	?	REDUCTIONS	($45)	($46)	($50)	($50)	($50)
		ENDING BALANCE	**$1,862**	**$1,816**	**$1,766**	**$1,716**	**$1,566**
		INTEREST PAID DURING FISCAL YEAR	$79	$77	$75	$76	$73
		CURRENT PORTION	$45	$50	$50	$53	$54
		BOND RATING					
		DEBT COVENANTS (PLEASE DESCRIBE):					
		Debt consists of UMPI's share of bond issued by the University of Maine System and related discounts and premiums.					
		The most recent bond issuance for the University of Maine System is dated 5/23/12.					
		The Standard and Poor's rate the new 2013 AA- in May 2013					

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

		Standard 9: Financial Resources (Supplemental Data)					
		FISCAL YEAR ENDS month & day (6/30)	**3 Years Prior (FY 2010)**	**2 Years Prior (FY 2011)**	**Most Recently Completed Year (FY 2012)**	**Current Budget* (FY 2013)**	**Next Year Forward (FY 2014)**
		NET ASSETS					
		NET ASSETS BEGINNING OF YEAR	$24,329	$24,492	$26,406	$27,324	$27,561
		TOTAL INCREASE/DECREASE IN NET ASSETS	$163	$1,914	$918	$237	$150
		NET ASSETS END OF YEAR	**$24,492**	**$26,406**	**$27,324**	**$27,561**	**$27,711**
		FINANCIAL AID					
		SOURCE OF FUNDS					
		UNRESTRICTED INSTITUTIONAL	$985	$1,179	$1,231	$1,212	$1,272
		FEDERAL, STATE & PRIVATE GRANTS	**$3,138**	**$3,432**	**$3,273**	**$3,354**	**$3,360**
		RESTRICTED FUNDS	**$42**	**$135**	**$154**		
		TOTAL	**$4,165**	**$4,746**	**$4,658**	**$4,566**	**$4,632**
		% DISCOUNT OF TUITION & FEES	51.0%	55.5%	55.4%		
?		% UNRESTRICTED DISCOUNT	12.1%	13.8%	14.6%		
		PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:					
		The expendable income objective was 5% for FY10 and FY11 and 4.75 % for FY 12 and FY 13. The spending objective for FY 14 is 4.5%					

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard TEN: Public Disclosure

DESCRIPTION

UMPI is committed to providing information to the public that describes the institution in an accurate and consistent manner, allowing its various constituencies to make informed decisions about the University. UMPI's Community and Media Relations (CMR) Office and its Admissions Office coordinate public disclosure for the institution, releasing information to the media and producing a wide variety of high-quality print and electronic publications and information resources that accurately represent the University.

Website

Chief among these communications is the University's website, www.umpi.edu, which increasingly has become a one-stop, comprehensive source of information for prospective and current students, their parents, other members of campus, and the wider community. An array of information, from academic offerings to student services to employment opportunities by degree, is available on the University's website. Some information is available through links to external websites; for example, course descriptions and class schedules can be accessed through links to MaineStreet, https://peportal.maine.edu, the UMS portal.

The University provides campus constituencies with detailed information about University policies, procedures, and demographics through an electronic version of its Course Catalogue and Student Handbook, and a link to its Common Data Set information.

The University's website undergoes change on a daily basis; however, several major updates are currently underway. The Admissions Office is in the process of updating its website to better serve the needs of prospective students and their parents. The University undertook another major project starting in 2011 to create a portal, or intranet, to serve as a single sign-on for all resources that students, staff and faculty frequently need, including Blackboard, Gmail and MaineStreet. This portal, "myUMPI", went live in fall 2012. Because numerous web pages from umpi.edu were moved "inside" the portal, they have been removed from the public website. This change has necessitated a major website redesign, which was mainly completed by the end of 2013.

In the past two years, the University has taken the plunge into social media, establishing a Facebook, twitter, vimeo, and YouTube presence, which can be accessed from a link on the homepage.

Public Information

In addition to the website, officials share information about the University through several print and electronic communications. These include the "image" newsletter, "Blue and Gold" alumni magazine, Admissions materials, and other brochures, fliers, and ads. They are shared in several ways—through the media, public distribution, email distribution lists, and the website. The CMR Office oversees the majority of these campus publications (Admissions oversees its

promotional materials) to ensure clarity and accuracy, as well as to create a consistent, uniform, and professional image and, where appropriate, publish them to the University's website. Individual departments or student organizations autonomously produce some informal publications, such as posters or fliers, following a Graphic Standards Manual that is available on the University website and supports a consistent image identity.

The University strives to ensure that all communications are consistent with its Catalogue content—for example, the Office of Student Records (OSR) continually updates its web pages to provide a user-friendly location for reflecting policy information found in the Catalogue. The Admissions and CMR offices work to ensure, through regular review and annual updates, that these publications accurately portray the conditions and opportunities available at UMPI. Contact information is provided on all of these items to ensure that inquiries can be made.

University officials also maintain and update entries about the University on several directory-style websites, like www.cappex.com, and general information-sites, like Wikipedia, so accurate information is available and members of the public can easily connect with the institution. In addition, the University provides notification on its website that all of its publications are available upon request.

Through these efforts, the public is assured that each informational or promotional piece conforms to written and visual standards and portrays an honest picture of the campus and its offerings in order for students to make informed choices about their higher education experience.

University officials are responsive to reasonable requests for information. For example, since the University commissioned a 600kW wind turbine on campus in 2009, the President, CFO, and Physical Plant Director, along with several faculty members and the CMR Office, have responded to scores of often detailed requests about the turbine's operation. In an effort to share as much information as possible with the public, the University also maintains a live data website, www.umpi.edu/wind/live

As cited in the Datafirst Forms, a wealth of University-related information—from mission statement, objectives and status as a public institution to policies and procedures—can be found within the Catalogue and on the website. In particular, the University strives to ensure its expected educational outcomes are publically available. These outcomes are being assessed and attached to all General Education Curriculum courses, and are included for most majors in the Catalogue. A task force is working to develop proficiency-based essential learning outcomes for all courses taught at UMPI. In terms of on-line and on-campus class information, details can be found on www.learn.maine.edu or via the MaineStreet portal (linked throughout the University website). Other educational opportunities can be found under the Community Offerings, Short Terms and UMPI OpenU web pages. For individuals looking for information on degree requirements, degree audit worksheets are available in downloadable PDF format. The University additionally provides incoming students with a thumb drive that includes a variety of resources, from the UMPI and Community Info Guide to a document with links to important web pages, such as the Academic Integrity Policy, Student Handbook, and the Residence Hall Guide.

Details about the size and characteristics of the student body can be found in the Common Data Set, which is linked on the website. The Common Data Set provides detailed data about UMPI that can be used by groups like *U.S. News & World Report* for their publishing purposes while also providing accurate and timely data to students and their families. In addition, the University provides in-depth information, photos, videos and interactive maps to provide visitors with an up-close look at the campus through its recently unveiled Virtual Tour. The Catalogue and the website provide detailed information about the availability of academic and other support services—from the Writing Center to Career Services—as well as the range of non-academic opportunities for students. Institutional learning and physical resources for students—from the Northern Maine Museum of Science to the health and wellness center Gentile Hall—can be found in the Student Life section of the website.

The mission statement, vision statement, statement of commitment, and learning outcomes by major clearly define the University's goals for students' education. Press releases and other promotional items help to share success stories that illustrate how students have achieved these goals. The Student Handbook and Student Conduct Code, both available on the University website, provide important guidance for students. Included in the Common Data Set is information on Enrollment and Persistence, which provides details on student retention and graduation rates. Passage rates for licensure examinations are not currently published.

An explicit statement about the University's accreditation status through the New England Association of Schools and Colleges can be found on-line (http://www.umpi.edu/admissions/transfer-students/faq), in the Catalogue, and within the Transcript Key.

Catalogue

The UMPI Course Catalogue is the most comprehensive publication the University produces. It sets forth the obligations and responsibilities of both students and the institution by presenting information relative to admission, attendance, mission, programs, registration, academics, scholastic standards, student fees, student services, and a description of learning and physical resources.

The Catalogue is now on a one-year publication cycle, with the Academic Affairs Office working with the CMR Office to publish it. The Catalogue is primarily an on-line publication, but 1,000 copies are printed each year for distribution to campus constituencies and prospective students. Past printed issues are archived in several campus locations, including the OSR and the UMPI Library, and have been archived on-line since 2008.

Academic Information

The University maintains campus directory information in three locations—the on-line Campus Directory on the website, the employee directory published electronically by the Human Resources Office, and in the Catalogue. These entries include names, titles, program and office affiliations, and contact information. In addition, administrative officers, UMS BOT members, their principal affiliations, and Emeritus Faculty are listed in all three locations. The on-line Campus Directory and Catalogue further detail full or part-time status, degrees held, and institutions granting them.

The Houlton Higher Education Center serves as the University's only off-campus learning site, providing educational opportunities to people in southern Aroostook County, western New Brunswick, and northern Washington and Penobscot counties. Information about the Houlton Center, including location, classes and services offered, is published on the website and in promotional materials. Details about program offerings can be found through the MaineStreet class search, which is linked to umpi.edu; courses not scheduled to be taught on the UMPI campus are highlighted in red.

Programs, courses, and services are updated in the Catalogue on an annual basis. The Human Resources Office maintains a list of full, part-time and adjunct faculty members and removes the names of individuals who have not taught for 5 years. This list is used to update the on-line Campus Directory and the HR Office's electronic employee directory. Personnel and services not available during an academic year will be posted to the on-line Campus Directory and/or appropriate office web pages.

The University currently does not have a system or personnel in place to formally and consistently gather documentation on statements and promises about program excellence, success in placement, and achievements of graduates and faculty. The University has anecdotal data on these items, but no consistent way of gathering, tracking, or scoring them.

Financial Information

The University provides details about the cost of education and the availability of financial aid in the Catalogue and on the Admissions, Business Office, and Financial Aid web pages. Information about the typical length of study is included on the Financial Aid web page. A more detailed web page focused on overall student debt after graduation is being developed. The University has provided its information on student debt to websites like www.projectonstudentdebt.org so it can be shared with a broad audience.

In addition, the University's audited financial reports are available for public viewing on the UMS website, www.maine.edu/system/oft/annualfinancialreports.php , and a link is provided in the "About UMPI" section of the website.

APPRAISAL

The CMR Office takes care to prepare and edit published materials, whether print or electronic. The process is both creative and collaborative. In terms of its **website**, the University is constantly working to keep the content on its web pages current and relevant. For instance, in the past year, the web master and the OSR undertook a major project to seamlessly link website visitors with the most accurate and up-to-date course listings. Clicking on a specific link now takes them directly to the information they need.

With the emergence of the myUMPI portal, the nature of the University's website is changing. It is increasingly becoming a marketing and publically focused forum for prospective students and other interested parties instead of a repository of information. The University is eager to use this opportunity to consolidate its website and focus its message to a more targeted audience.

Its foray into social media has proved a challenge—in terms of finding the time and resources to effectively use it—but also has delivered some excellent results. The University now has a respectable Facebook presence (over 800 likes) and has nearly 20,000 views on its YouTube page. While still a newcomer to the field, the University has found these social media to be helpful tools in its efforts to share information with the public.

In terms of public information, all printed materials, from business cards and advertisements to brochures and admissions publications, are purposely filtered through the CMR office. Thus, everything reflects the university's image and can be easily identified as being part of the whole. This established product oversight ensures accuracy and consistency throughout all university materials. In those instances where individual offices, student groups or even off-campus organizations utilize logos or other University branding elements, they are asked to consult the University's Graphic Standards Manual. This continues to be a consistent and user-friendly point of reference for sharing UMPI's image identity.

One publication in particular—the Alumni Directory—recently underwent a major overhaul. In years past, publication of alumni directories was in-house and sporadic. The Alumni Office recently undertook the effort to update and publish a new Alumni Directory. It became available in spring 2013 and provides alumni and the public with detailed information about the University and its graduates.

This past year, after identifying the need for a formal schedule to review the University's publications, the CMR Office established the following schedule:

Publication	Review Schedule	Overseen By
Website	Ongoing	Webmaster
Image Newsletter	Monthly	Community & Media Relations
Catalogue	Yearly	Academic Affairs
Admissions View Book	Yearly	Admissions
Search Piece	Every two years	Admissions
Other Admissions Materials	Ongoing	Admissions
Student Handbook	Yearly	Student Affairs
Conduct Code	Every three years	Student Affairs
Faculty Handbook	Every two years	Academic Affairs
Staff Directory	Yearly	Human Resources
Houlton Center Brochure	Yearly	Community & Media Relations
Blue and Gold	Yearly	Alumni Relations
Conferences & Special Programs Office Materials	Ongoing	Conference & Special Programs
Audited Financial Statement	Yearly	Administration & Finance

In addition, articulation agreements previously have not been publically accessible, but a move was made during 2013 to add this information to the OSR web space.

In reviewing public disclosure of alumni success in terms of formal job placement and licensure exam passage rates, it was discovered that these data were not being routinely collected, processed, analyzed, or disclosed. This information needs to be better articulated and associated tracking efforts (and tracking of alumni success) need to be done. Specifically in terms of passage rates for licensure exams, if exact success rates are not available because data are not gathered, estimates or recent jobs attained could be included under appropriate program web spaces.

The Office of Academic Affairs has worked to review course and program offerings and reflect those accurately in the Catalogue. The work of producing the Catalogue each year had been divided among several offices, but in 2010, that effort was centralized in Academic Affairs. Now, all course and program changes get updated in a draft version of the upcoming Catalogue as soon as they have been approved by the Curriculum Committee and Faculty Assembly. Academic Affairs oversees the proofing and printing process and then provides an electronic copy to the webmaster for publishing on-line. This streamlined process has created efficiencies and helped to ensure that potential errors are avoided.

In terms of academic information, University officials in several offices have worked hard to ensure directory information and details about its off-campus learning site are available and easily accessible. The University needs to do a better job, however, of disclosing information about programs, courses, services and personnel not available during a given academic year. Academic Affairs, working with programs and coordinators, needs to find a workable, consistent way to clearly identify courses not available during a given year.

While there are areas of public disclosure that the University could do better, one of the most needed is in the area of data collection. Meeting the requirements, especially those outlined in Standard 10.5 and 10.12, could be more successfully achieved through the hiring of an Institutional Researcher. Currently, different University constituencies collect data; however, these data are not being analyzed on a formal basis for interpretation or identification of trends. Many of the disclosure efforts that could be improved upon rely on the re-hiring of an Institutional Researcher to collect, analyze and interpret the data—such as those related to program excellence, success in placement and achievements of graduates or faculty—so it can then be shared with the public. The Common Data Set is being used as a sort of "stop-gap" to fill the information void. While the Common Data Set is practical and provides a great deal of public information about the institution, it is very dense. This creates a challenge for the University in terms of meeting the requirements outlined in Standard 10.9 in a user-friendly way. College Portraits, a website that the University previously utilized when it had a full-time Institutional Researcher, contained much of the same information, but in a format that was easy for the public to read and understand.

Detailed information about educational costs and University financial reports are publically available. The campus recently has taken steps to do a better job of disclosing financial information. For instance, the new interactive Tuition and Fees Estimator feature provides an important tool for prospective students and their parents, making the process of estimating the cost of an UMPI education a more user-friendly one.

PROJECTION

Electronic forms of communication have drastically changed the way the University communicates with its internal and external audiences. Going forward, the University anticipates an ever-increasing reliance on and utilization of the University's website and social media efforts to share information with the public. Though major updates on the University's website are underway—from a "catch-all" to a true marketing tool—even more work is anticipated in order to stay current. A unique challenge for the University is to find a way to allocate more resources toward its web design/social media efforts. The CMR Office currently hires a contractor to do major website redesign, and staff have to make time to oversee social media efforts. With the addition of a staff member, the University would be able to handle both areas more effectively and consistently.

As electronic publications increasingly serve as the University's main method of sharing public information, the utilization of printed materials has slowed. The CMR and Admissions offices, however, still anticipate specific efforts that require printed materials. Whether print or paperless, publications will still require the design and proofing work needed to maintain consistency and reinforce branding.

In the past 15 years, four professional photographers have visited campus in order to create a portfolio of representative photographs for promotional use. This collection must grow, as should a portfolio of fresh footage for videos/commercials/social media, in order for the University to market itself and to accurately portray the conditions and opportunities available. Long-term funding needs to be allocated to cover the cost of continually updated photo and video images.

In terms of the [Course Catalogue](#), the University needs to move toward an interactive electronic Catalogue, such as Acalog—used by other campuses in the UMS. Currently, UMPI's on-line Catalogue is a PDF with links from its Table of Contents to specific sections of the Catalogue. Someone perusing the Catalogue could not, however, review an academic program sheet, click on a specific course and be directed to a specific course description. While there has been discussion about the System Office purchasing such a management system, if this is not done soon, UMPI needs to move forward on a user-friendly e-catalog for the public.

Two efforts need to be completed to provide the most accurate and up-to-date academic information to the public. Academic Affairs piloted a new process in spring 2013 for identifying courses not available in a given academic year. As part of this process, the Director of Student Records provides a list of courses not taught for two consecutive years to the Chair of the Curriculum Committee. This may result in courses being offered temporarily or removed from the curriculum. This process should help to increase transparency with the public. To best position itself for the future, the University also needs to hire an Institutional Researcher so data can be collected, analyzed, interpreted, and reported on a systematic basis. This work touches many University offices and remains the best way for details about the size and characteristics of the campus to be gathered, tracked, and shared with the public.

With increasing scrutiny on the cost of education and other financial information, it is important for the University to provide as much detailed information as it can, especially on its website, to

allow prospective students, their parents, and members of the public to make informed decisions about enrollment. An effort currently underway to create a web page on overall student debt after graduation should be done in a way to help present accurate and easily understood information to the public. In addition, the University should ensure that its audited financial reports are available for public viewing in a more direct way than through a link to the UMS website.

INSTITUTIONAL EFFECTIVENESS

Because the University is committed to providing the public with information that describes the institution in an accurate and consistent manner, it has established many ongoing efforts to ensure that all of its publications, both print and electronic, are complete, accurate, available and current. Through the additional implementation in 2013 of a formal review schedule, the University has gone a step further, initiating a comprehensive and systematic process of periodic review for its publications. The results of such periodic review are not only used for improvements, but also to ensure that the highest-quality materials are presented to the public.

Standard 10: Public Disclosure

Information	Web Addresses	?	Print Publications
How can inquiries be made about the institution? Where can questions be addressed?	http://www.umpi.edu/contact		Course catalogue , 2012-2013, page 2
Notice of availability of publications and of audited financial statement or fair summary	http://www.maine.edu/about-the-system/system-office/finances/annual-financial-reports/		
Institutional catalog	http://www.umpi.edu/academic-resources/course-catalogue		Printed yearly
Obligations and responsibilities of students and the institution	http://www.umpi.edu/academic-resources/course-catalogue		Course catalogue, 2012 – 2013, page before page 1 Course catalogue, 2012 – 2013, page 1 Course catalogue, 2012 – 2013, page 21 – 30 Course catalogue, 2012 – 2013, page 128
Information on admission and attendance	http://www.umpi.edu/admissions/non-traditional/how-to-apply		
Institutional mission and objectives	http://www.umpi.edu/about-umpi/mission-statement http://www.umpi.edu/about-umpi/vision-statement http://www.umpi.edu/about-umpi/statement-of-commitment		2012-2013 Catalogue, page 1
Expected educational outcomes	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue pages 35-43
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	http://www.umpi.edu/about-umpi/public-disclosure		2012-2013 Catalogue, page 1
Requirements, procedures and policies re: admissions	http://www.umpi.edu/admissions		
Requirements, procedures and policies re: transfer credit	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue, pages 2-3 and pages 26 and 27
A list of institutions with which the institution has an articulation agreement	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue, page 3 and 4
Student fees, charges and refund policies	http://www.umpi.edu/offices-services/business-office/tuition-a-fees		2012-2013 Catalogue, pages 12-14 Fee schedule mailed with acceptance packet

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Rules and regulations for student conduct	http://www.umpi.edu/files/student-life/student-handbook.pdf		
Procedures for student appeals and complaints	http://www.umpi.edu/files/student-life/student-handbook.pdf		2012-2013 Catalogue, pages 28-30
Other information re: attending or withdrawing from the institution	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue, page 26
Academic programs	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue pages 47-86, 87-91 and 93-126. Admissions distributes a print copy of all major programs to interested students and/or parents.
Courses currently offered	https://peportal.maine.edu/psp/PAPRD89/EMPLOYEE/EMPL/h/?tab=PAPP_GUEST		No longer printing materials
Other available educational opportunities	http://www.umpi.edu/academic-resources/umpi-openu		
	http://www.umpi.edu/nec/student-services		National Student Exchange Brochure
Other academic policies and procedures	http://www.umpi.edu/academic-resources/course-catalogue		Academic Policies, 2012-2013 Catalogue pages 25-30
Requirements for degrees and other forms of academic recognition	http://www.umpi.edu/academic-resources/course-catalogue		Dean's List, 2012-2013 Catalogue, page 28 Latin Honors, 2012-2013 Catalogue, pages 28-29
List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them	http://www.umpi.edu/campus-directory		2012-2013 Catalogue, pages 134-139
Names and positions of administrative officers	http://www.umpi.edu/campus-directory http://www.umpi.edu/university-offices/office-of-the-president http://www.umpi.edu/university-offices/academic-affairs http://www.umpi.edu/university-offices/dean-of-students		2012-2013 Catalogue, page 131
Names, principal affiliations of governing board members	http://www.maine.edu/about-the-system/board-of-trustees/		2012-2013 Catalogue, page 131

Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	n/a		
Programs, courses, services, and personnel not available in any given academic year.	n/a		
Size and characteristics of the student body	http://www.collegeportraits.org/ME/UMPI/characteristics https://umpi.edu/about-umpi/common-data-set		2012-2013 Catalogue, page 1
Description of the campus setting	http://www.umpi.edu/about-umpi		
Availability of academic and other support services	http://www.umpi.edu/offices-services/dean-of-students		2012-2013 Course Catalogue, pages 15-17, 31 Admissions sends Student Support Services information in acceptance packet SSS has a brochure they print for students
Range of co-curricular and non-academic opportunities available to students			2012-2013 Catalogue Student Organizations & Activities Pages 18-19
Institutional learning and physical resources from which a student can reasonably be expected to benefit	http://www.umpi.edu/academics http://www.umpi.edu/student-life http://www.umpi.edu/current-students/residence-life		2012-2013 Catalogue under Building and Facilities
Institutional goals for students' education	http://www.umpi.edu/academic-resources/course-catalogue		2012-2013 Catalogue, page 7 Academic Departments have Learning Outcomes attached to each Major Program (2012-2013 Catalogue, pages 35-42)
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	http://www.collegeportraits.org/ME/UMPI/degrees		

Total cost of education, including availability of financial aid and typical length of study	http://www.collegeportraits.org/ME/UMPI/costs		
Expected amount of student debt upon graduation	http://projectonstudentdebt.org/		
Statement about accreditation	http://www.umpi.edu/about-umpi/accreditation		2012-2013 Catalogue, pre-page one

Standard ELEVEN: Integrity

DESCRIPTION

UMPI maintains and publicizes the policies and procedures established by the BOT in its interactions with students, faculty, staff, members of the community, and external agencies. These policies establish and foster the ethics and institutional integrity of the campus.

The Course Catalogue contains all degree requirements and academic policies needed by students. The Student Conduct Code and other documents clearly spell out their rights and responsibilities. We have a Director of Student Support Services who coordinates services for students with disabilities and oversees ADA compliance campus wide. The provision of student accommodations in the classroom is included on every syllabus; in addition, accommodation information is on the website. Policies concerning such topics as students' rights, academic integrity, relationships and appeals can be found in policies, procedures, and regulations located in the Catalogue, Student Handbook, Conduct Code, etc. The student handbook is located on-line.

Conflict of interest is addressed through the Board of Trustees Policy. The intellectual property rights of faculty, staff, and students of all UMS campuses is addressed by a system-wide Statement of Policy Governing Patents and Copyrights and provides detailed guidance to the University about the disclosure, release, ownership, and administration of patentable inventions and copyrightable works. The policy also includes a "copyleft" addendum, which encourages the copying and distribution of copyrightable works and specifies a formula for the distribution of revenue resulting from modified or adapted university-owned intellectual property. The primary federal policy that guides privacy protection at UMPI is FERPA, which is consistently referenced in handbooks and practiced in all forms of communication with or about covered students and university employees.

UMPI's commitment to the free pursuit and dissemination of knowledge follows the academic freedom described by the AFUM Contract, Article 2 and in the PATFA contract, Article 3, and in Section 1-A of the UMS Charter.

The institutional commitment to integrity begins at the overarching level of the UMS as evidenced by the UMS charter, which grants UMPI general operating authority and specific authority to grant degrees.

Hiring procedures conform to the law requiring that all candidates be evaluated only on criteria specified in our advertisements. Faculty and staff are hired and supported through UMPI's Human Resources office. UMPI has non-discriminatory policies for recruitment, admissions, employment, evaluation, disciplinary action and advancement. The non-discrimination statement is located in all published and on-line media. There is an affirmative action plan in place.

The academic integrity of student's courses of study are defined and described in the Faculty Handbook, Catalogues, syllabi, and through the work of advisors and curriculum committee. It is the purpose of the Student Conduct Code to promote the pursuit of activities that contribute to the intellectual, ethical and physical development, as well as safety, of the individuals under system auspices. The Student Conduct Code, including procedures and timelines, is available on the UMS website. Prospective students can access this information on the website.

The University delivers and hosts several conferences, workshops, continuing education and community enrichment opportunities. It is with this mission in mind that the mission statement for the Office of Conferences and Special Programs has been developed, which states:

"The mission of the Office of Conferences and Special Programs (CSP) at the UMPI is to assist in furthering the overall mission of the University in education and community service. CSP acts as the representative agent of the University in planning, developing, implementing and evaluating conferences and special programs that meet the non-academic needs of clients from both the public and private sectors."

Examples of the programs offered and/or supported by the University are:

Certificates in Management and Human Resources in cooperation with the American Management Association (AMA), Aroostook Right To Read, Seniors Achieving Greater Education, Young Professionals Institute, Distinguished Lecture Series, and University Day. Along with the items mentioned above, the University also offers summer educational and athletic youth programs. The University also serves collaboratively and hosts several events including on the International level.

For employees, negotiated agreements with our bargaining units ensure employees' rights to academic freedom, non-discrimination, privacy, a safe workplace, and procedures for evaluation, reappointment, promotion, and tenure. Each unit has a clearly designated process for grievances. We abide by the UMS's Conflict of Interest policy. We have a Sexual Harassment policy, and training about prevention of discrimination and of sexual and other types of harassment is given to all new employees. We comply with all Federal regulations, including the Occupational Safety and Health Act, the Family and Educational Rights and Privacy Act, the Family and Medical Leave Act, Title IX, the Rehabilitation Act of 1973, the Americans with Disabilities Act, and the Clery Act, which requires university compliance with crime reporting. Reports on incidents that could be a danger to the campus community are broadcast to faculty and students via e-mail and text messages from our Dean of Students and/or the Coordinator of Campus Security.

At the beginning of each academic year, each member of the campus community receives brochures, pamphlets and emails pertaining to campus policy and procedures regarding sexual harassment.

Grievance procedures are clearly articulated in negotiated contracts with each bargaining unit and easily accessible on the Web. Procedures for non-represented employees and for supervisors are outlined in on-line handbooks. Regulations delineating the rights and expectations of students and assuring equitable treatment of students appear in several

documents: The Catalogue, Student Handbook, Student Conduct Code, and Residence Hall Guide. The indexed on-line Student Handbook includes such topics as the rights of students with disabilities; policies and procedures regarding discrimination and consenting relationships; and the policy governing student academic integrity.

APPRAISAL

Necessary to the maintenance of integrity at the higher education level is open and inclusive communication. During his tenure, President Zillman set a high standard for communication, making it a priority to keep campus informed through regular campus wide email updates and periodic forums for the entire campus. New institutional leadership continues to foster an atmosphere of openness, involvement and communication, as President Schott continues this inclusive style. In addition to campus updates, President Schott has initiated open campus discussions on trends in higher education, held budgeting classes and formulated an across campus planning group to reexamine the current mission and vision of the University. Currently there is a diverse group of individuals, including faculty, staff and community members, involved in the strategic planning process. With assistance from the Community and Media Relations Office, information shared by the President is frequently also shared in the broader community.

Members of the Board of Visitor's, Alumni Board, Foundation Board, and community members are often asked to serve on committees or invited to meetings. All of these avenues provide for dialogue and diverse feedback and input.

The percentage of ethnic diversity among students remains relative to the demographic profile of Aroostook County and the UMS, as referenced in Standard 1. The campus works hard to sponsor, promote and encourage diverse cultural programming. There is a close working relationship between cultural events groups in the local area and campus, and the campus is often the venue for such events. Students are encouraged to attend these events free of charge. The commitment to student engagement learning can be seen in the opportunities to travel to professional conferences and on educational trips in order to experience cultural diversity. The campus participates in the National Student Exchange. This program affords another manner through which students from this area have an opportunity to enrich their educational experience. In addition, UMPI also now has transfer agreements with universities in the People's Republic of China, resulting in gradually expanding cohorts of enrolled Chinese national students. President Schott recently announced a reduction in tuition for international and out of state students to go into effect this fall. This initiative and the targeted recruitment plan will enhance the goal of increasing diversity on campus.

The Human Resources Manager and the Director of Equal Opportunity are attentive in overseeing the campus compliance with all campus/system-wide policies, state and federal laws on nondiscrimination in all areas of campus life. The University System, especially the Office of University Counsel and Office of Human Resources, provides vital services to each campus in its dealings with ethical and legal issues, as well as questions concerning discrimination, grievances, and collective bargaining. Results of a recent administrative review of human resources has expanded this support to include a Multi-University Human Resources

Officer to begin work with UMPI late fall 2013. Such expertise is substantial and a cost effective advantage for a small campus such as UMPI.

UMPI fosters an atmosphere that respects and supports people of diverse characteristics and backgrounds. There is an [Affirmative Action plan](#) in place; however, it is outdated and is currently under revision. To date, a draft of the narrative portion of the AA Plan is available for review. In spring 2014, the Human Resources office and the Equal Opportunity office will work together to classify each position. This information will be sent to the UMS to do the comparison data review. The data results will be sent back to UMPI to complete the AA Plan. The draft of the AA Plan will go through the campus review process, including Faculty Assembly, for presidential approval and be ready for implementation summer 2014.

Components of ethnicity and diversity education can be found in the core curriculum, proficiency based initiative, and education learning outcomes. Several programs accredited by national or state organizations (i.e., Education, Social Work, Athletic Training) mandate diversity education within their formal curricula. The General Education Curriculum identifies specific learning outcomes engaging ethnic and cultural difference required by all matriculating students (e.g., Students will demonstrate an appreciation of the diversity and interrelationship of cultures locally, regionally, nationally, and internationally; Students will demonstrate knowledge of diverse intellectual, social, political, economic, or cultural perspectives and practices. See [General Education Essential Learning Outcomes 2012](#) for complete information. As noted above, Project Compass also provided multiple mini-grants over a three year period for faculty and staff diversity initiatives, many of which included curricular development and classroom activities. Among these mini-grants is one undertaken by Dr. Jacquelyn Lowman in 2010 that analyzed all course syllabi within the College of Arts and Sciences, identifying where individual courses engaged Native American and First Nation cultural, social, education, and/or political content and where further growth would be possible ([Project Compass Report-Year 3](#)). Such research helped to lay the groundwork for the development of the Wabanaki Studies Minor (See [Course Catalogue](#) for further details). See Project Compass reports [Year 3 (2010)](#) and [Year 4 (2011)](#) for complete details on the mini-grants (see [Mini-Grant Application](#) for a copy of the guidelines). Finally, as individual course syllabi document, the majority of our faculty regularly and systemically address issues of diversity, multiculturalism, inclusivity, or difference on an individual course (as well as often programmatic) level.

The establishment of a formal review schedule by the Community and Media Relations Office this past year affords a routine review of policies and conditions that are maintained in the Student Handbook, Faculty Handbook, and the Conduct Code.

PROJECTION

UMPI remains committed to maintaining a respectful, fair educational and work environment, free from any discrimination or harassment. We are confident that tried and tested mechanisms are in place on this campus to address any problems or issues that might arise and that an atmosphere of openness and tolerance for all points of view prevails. In coherence with an emerging campus mission and vision, the University will aggressively continue to foster and build relationships with business and organizations, strengthening existing relationships and

creating new ones and creating an even larger engagement with its alumni base. Currently, a four-year career preparation program is being planned that supports internships and portfolio planning for the more "career prepared" university graduate. The campus community shares a collective sense of integrity. The faculty and staff are dedicated to our students, the University, and the community.

INSTITUTIONAL EFFECTIVENESS

UMPI functions under the guiding precept that its Boards, faculty, staff, administration, and students will exercise integrity and act with ethical responsibility in any and all capacities in which they represent the institution. UMPI views integrity as a core value of its educational mission, as is reflected both by its policies and guidelines and curricular components. We believe that we have an appropriate complement of policies in place to guide appropriate behavior and ethical decision-making processes and all levels of community interactions. All of UMPI's policies are appropriately reviewed and revised by responsible offices or administrators on a regular basis. In addition, the institution is guided by UMS policies (including contractual Agreements and BOT initiatives) that are reviewed by both internal and external counsel. Grievance policies and procedures are clearly delineated and readily accessible.

Standard 11: Integrity

Policies	Last Updated	?	URL Where Policy is Posted	Responsible Office or Committee
Academic honesty	2012		http://www.umpi.edu/files/student-life/student-academic-integrity-policy.pdf	Standards Committee/Provost
Intellectual property rights	5/21/2001		http://www.maine.edu/pdf/intellectualproperty.pdf	University Counsel/Provost
Conflict of interest	11/16/1998		https://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section410/	Human Resources
Privacy rights/employees	2012		https://www.maine.edu/about-the-system/system-office/human-resources/notice-of-privacy-practices-cosws-hipaa/	Human Resources
Privacy rights/students	2012		http://www.umpi.edu/files/catalogue/academic-information.pdf	Provost
Fairness for students	5/21/2012		http://www.umpi.edu/files/student-life/student-handbook.pdf	VP for Student Affairs
Fairness for faculty	2010		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section407/	Human Resources
Fairness for staff	2012		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section407/	Human Resources
Academic freedom	2010		http://www.maine.edu/wp-content/uploads/2014/02/AFUM_2013-2015.pdf	Provost
Non-discrimination policies				
Recruitment and admissions	12/2011		https://www.maine.edu/non-discrimination-notice/	
Employment	05/23/2011		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section401/	Human Resources
Evaluation	2010/2012		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section401/	Vice Presidents/HR
Disciplinary action	2010/2012		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section401/	Vice Presidents/HR
Advancement	2010/2012		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section401/	Vice Presidents/HR
Resolution of grievances				
Students	5/21/2012		http://www.maine.edu/system/policy_manual/policy_section501.php	VP for Student Affairs
	2012		http://www.umpi.edu/files/catalogue/academic-information.pdf	VP for Student Affairs
Faculty	2010		http://www.maine.edu/wp-content/uploads/2014/02/AFUM-Appendices.pdf	President
Staff	2012		http://www.maine.edu/pdf/umpsacba.pdf	VP for Administration
			http://www.maine.edu/pdf/coltcba.pdf	
			http://www.maine.edu/wp-content/uploads/2013/08/smcba.pdf	
Non-represented Staff	11/5/2012		http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section408/	VP for Administration

Other	Last Updated	Relevant URL or Publication	Responsible Office or Committee
Sexual Harassment	11/16/1998	http://www.maine.edu/pdf/sexharasbroc.pdf	Human Resources
Human Subject Research	05/18/2009	http://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section601/	Provost
Campus Violence	11/17/2008	http://www.maine.edu/pdf/SystemOfficeWorkplaceViolencePolicycurrent.pdf	Human Resources/VP for Student Affairs
Envtl & Safety Policy	01/13/2003	https://www.maine.edu/about-the-system/board-of-trustees/policy-manual/section1002/	Human Resources/Facilities

Appendices

Appendix A: Affirmation of Compliance with Federal Requirements of Title IV
Appendix B: S-Series
Appendix C: E-Series
Appendix D: Most Recent Audited Financial Statement & Auditor's Management Letter
Appendix E: Workroom Exhibits

Appendix A: Affirmation of Compliance

AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

1. **Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also *Standards for Accreditation* 4.34.)

URL	http://www.umpi.edu/files/catalogue/academic-information.pdf
Print Publications	UMPI Course Catalogue 2013-2014 pg.30
Self-study/Fifth-year report Page Reference	Pg. 34 & 35

2. **Credit Transfer Policies**. The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also *Standards for Accreditation* 4.44 and 10.5.)

URL	http://www.umpi.edu/files/catalogue/academic-information.pdf ; http://www.maine.edu/transfer-students/
Print Publications	UMPI Course Catalogue pg. 28
Self-study/Fifth-year Report Page Reference	Pg. 29

3. **Student Complaints. "**Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (*Standards for Accreditation* 6.18, 10.5, and 11.8.)

URL	http://www.maine.edu/pdf/conductcode.pdf
Print Publications	UMPI Course Catalogue pg. 32 and University

	of Maine System Conduct Code
Self-study/Fifth-year Report Page Reference	Pg. 77

4. **Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.42.)

Method(s) used for verification	All students have an individual ID number, ensuring that the student who registers is the one receiving academic credit for a course.
Self-study/Fifth-year Report Page Reference	Pg. 36

5. **FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment:** The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (CIHE Policy 77.)

URL	http://www.umpi.edu/about-umpi/neasc
Print Publications	Available in campus offices (e.g., Academic Affairs, HR, Business Office), notice made in local papers in early March (Star Herald, Aroostook Republican, and Pioneer Times)
Self-study Page Reference	Pg. xii

The undersigned affirms that **The University of Maine at Presque Isle** (institution name) meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer: ___ Linda Schott   Date: February 18, 2014

Appendix B: S-Series

<table>
<tr><td colspan="6">Form S1. RETENTION AND GRADUATION RATES</td></tr>
<tr><td>Student Success Measures/

Prior Performance and Goals</td><td>3 Years Prior</td><td>2 Years Prior</td><td>1 Year Prior</td><td>Most Recent Year (2013)</td><td>Goal for 2014</td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">IPEDS Retention Data</td></tr>
<tr><td>Associate degree students</td><td>81%</td><td>50%</td><td>86%</td><td>60%</td><td>61%*</td></tr>
<tr><td>Bachelors degree students</td><td>63%</td><td>63%</td><td>61%</td><td>59%</td><td>60%*</td></tr>
<tr><td colspan="6">IPEDS Graduation Data</td></tr>
<tr><td>Associate degree students</td><td>29%</td><td>27%</td><td>25%</td><td>45%</td><td>46%*</td></tr>
<tr><td>Bachelors degree students</td><td>31%</td><td>30%</td><td>37%</td><td>30%</td><td>31%</td></tr>
<tr><td colspan="6">*goal based upon addition of professional advisors employing intrusive (high touch) strategies</td></tr>
<tr><td colspan="6"></td></tr>
<tr><td colspan="6">Other Undergraduate Retention Rates (1)</td></tr>
<tr><td>a   TRiO/Student Support Services cohort (1)--persistence rate to second year</td><td>n/a</td><td>86%</td><td>85%</td><td>85%</td><td>86%</td></tr>
<tr><td>b   TRiO Academic Good Standing (1)</td><td>n/a</td><td>98%</td><td>96%</td><td>97%</td><td>98%</td></tr>
<tr><td>c</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Other Undergraduate Graduation Rates (2)</td></tr>
<tr><td>a   TRiO Bachelor's degree rate within six years (1)</td><td>n/a</td><td>55%</td><td>51%</td><td>52%</td><td>53%</td></tr>
<tr><td>b</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>c</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Graduate programs *</td></tr>
<tr><td>Retention rates first-to-second year (3)</td><td>n/a</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Graduation rates @ 150% time (4)</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Distance Education</td></tr>
<tr><td>Course completion rates (5)</td><td>Not available</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Retention rates (6)</td><td>Not available</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Graduation rates (7)</td><td>Not available (information not disaggregated)</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Branch Campus and Instructional Locations</td></tr>
<tr><td>Course completion rate (8)</td><td>Not applicable*</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Retention rates (9)</td><td>Not applicable</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Graduation rates (10)</td><td>Not applicable</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">*Houlton Center does not meet federal guidelines of a branch campus</td></tr>
<tr><td colspan="6">Definition and Methodology Explanations</td></tr>
<tr><td colspan="6">1   TrIO/Student Support Services students are defined according to federal regulations as citizens meeting residency requirements, first-generation and/or low-income and/or with a disability. The UMPI SSS program officially serves 180 students per year and are tracked in regards to retention, academic good standing, and graduation rates.</td></tr>
<tr><td colspan="6">2</td></tr>
<tr><td colspan="6">3</td></tr>
<tr><td colspan="6">4</td></tr>
<tr><td colspan="6">* An institution offering graduate degrees must complete this portion.</td></tr>
</table>

Form S2. OTHER MEASURES OF STUDENT ACHIEVEMENT AND SUCCESS					
Measures of Student Achievement and Success/ Institutional Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2013)	Goal for 2014
Success of Students Pursuing Higher Degree					
1 Students receiving Mid-Term Warning notice persistence rates into second semester (1)	Not available	91.3% (small sample size)	66.9%	52.3%	66.7%
2					

Definition and Methodology Explanations

    (1) Vice President for Student Affairs office tracks and intervenes (with in-person or phone meetings by Vice President of Student Affairs, Director of Student Support Services, professional advisors, and other designated Student Affairs staff) with all students receiving Mid-Term Warning notices.

Rates at Which Graduates Pursue Mission-Related Paths (e.g., Peace Corps, Public Service Law)

1 Graduates planning to attend graduate school in upcoming fall or within two years (1)	12%	5%	24%	12%	14%
2 Volunteer Activity/ Peace Corps in fall or within two years (1)	n/a	0%	0%	3%	3%
3 Military service in fall or within two years (1)	n/a	1%	3%	1%	1%
4 Graduates who are in or have completed a higher degree (2)	14%	3%	6%	8%	n/a
5 Graduates employed within their major field (2)	60%	65%	46%	23%	n/a

Definition and Methodology Explanations

    (1) Data from Graduating Student Questionnaire administered annually to May graduates; questionnaire was adjusted in 2013 to capture more accurately volunteer activity and military service. Url: http://wp.umpi.edu/forms/graduatesurvey/

    (2) Data from Alumni survey updated annually

Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared

1 Graduates accepting employment in professions not directly aligned with majors (1)	15%	8%	17%	14%	14%
2					

Definition and Methodology Explanations

Data from Graduating Student Questionnaire administered annually to May graduates. Url: http://wp.umpi.edu/forms/graduatesurvey/

Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation)

1					

Definition and Methodology Explanations

Other (Specify Below)

1					

Definition and Methodology Explanations

Appendix C: E-Series (E-2 VSA)

I.   Institutions selecting this option should include copies of the most recent College Portrait institutional template under VSA and up to two prior templates. The templates will be available from APLU and AASCU.

Most recent template web site address: http://www.collegeportraits.org/ME/UMPI

II.   Complete the information on program review, below.

CATEGORY	(1) What is the date of the most recent program review?	(2) How is an "external perspective" incorporated into the review?	(3) How are the results of the program review considered?	(4) What major changes have been made as a result of the most recent program review?	(5) What is the date of the next program review?
1. Art, B.F.A., B.A., Art Education (B.A.A.E.), Applied Art, A.A.	June 2013	Self-study will be sent to external evaluators in Spring 2014 for evaluation.	Recommendations will lead to major program revisions and future hiring decisions. See self-study for details.	This is the first formal review since the addition of the B.A.A.E. and program consolidation.	2019-2020
2. Athletic Training, B.S.	National accreditation report, Summer 2013	Commission on Accreditation of Athletic Training Association accreditation team evaluates self-study and makes direct and binding recommendations for continued accreditation.	Institution initiates all mandatory recommendations for accreditation purposes.		2013-2014

3. Bachelor of Applied Science, B.A.S.	N/A (program has never been reviewed; formally added as a "University Wide Program" in 2008)	N/A	N/A	N/A	2014-2015 (initial evaluation)
4. Biology, B.A.	September 2010	External evaluators critiqued self-study and made program recommendations.	Recommendations from external evaluators were examined by faculty and further evaluated by College Chair and Assistant Chair; Provost formally authorized all recommendations following the review process.	All recommendations from self-study and external evaluators were implemented or are in the process of implementation (including construction of new laboratories, additional faculty line, etc.)	2015-2016
5. Business Administration, B.A.	November 1999, as part of the Academic Program Initiative review process (not a complete program review); no record on file of a recent full program review.	N/A	Recommendations accepted by the Provost and President.	Since the API review of 1999, the Business program has revised its offerings substantially, most recently as a Business Administration major with concentrations in Accounting, Management and Leadership, MIS, and Recreation Management	2013-2014
6. Criminal Justice, B.A. and	November 1999, as part of the Academic Program	N/A	Recommendations accepted by the Provost and President.		2014-2015

A.A.	Initiative review process (not a complete program review); no record on file of a recent full program review.				
7. Elementary Education, B.S.	State accreditation report, February 2012 (see Appendix F)	State accreditation team evaluates self-study and makes direct and binding recommendations for continued accreditation	Institution initiates all mandatory recommendations for accreditation purposes.	Major changes to the elementary and education curricula have occurred as a result of accreditation report, including a full revision of the Elementary Education curriculum (see Appendix Fa).	2020-2021
8. English, B.A. (includes Professional Communication, A.A.)	September, 2011 (see Appendix G)	External evaluators critiqued self-study and made program recommendations	Recommendations from external evaluators were examined by faculty and further evaluated by College Chair and Assistant Chair; Provost formally authorized all recommendations following the review process.	All recommendations from self-study and external evaluators were implemented or are in the process of implementation.	2017-2018
9. Environmental Studies and Sustainability, B.S.	September 2010 (see Appendix C)	External evaluators critiqued self-study and made program recommendations.	Recommendations from external evaluators were examined by faculty and further evaluated by College Chair and	All recommendations from self-study and external evaluators were implemented or are in the process of implementation	2015-2016

			Assistant Chair; Provost formally authorized all recommendations following the review process.	(including construction of new laboratories, additional faculty line, etc.)	
10. History, B.A.	July 2012 (see Appendix H)	External evaluator critiqued self-study and made program recommendations.	Recommendations from external evaluators were examined by faculty and further evaluated by College Chair and Assistant Chair; Provost formally authorized all recommendations following the review process.	All recommendations from self-study and external evaluators were implemented or are in the process of implementation.	2017-2018
11. Liberal Studies, B.L.S. and A.A.	N/A (program has never been reviewed; formally added as a "University Wide Program" in 2008)	N/A	N/A	N/A	2014-2015 (initial evaluation)
12. Mathematics, B.S.	Last self-study completed in 1997 (see Appendix I); self-study overdue and currently being completed (projected November 2013)	External evaluators will critique self-study and make program recommendations	Recommendations from external evaluators will be examined by faculty and further evaluated by College Chair and Assistant Chair; Provost will formally authorize all recommendations	Program has lost two full time faculty lines through retirements (one replaced by a non-tenure full time position); current self-study will make thorough recommendations for significant revisions to	2018-2019

			following the review process.	structure and content of the program.	
13. Medical Laboratory Technology, A.S.	2009 (National accreditation study; see Appendix J)	Nationally accredited program evaluated through site visit and comprehensive review of the program.	Any recommendations from national accreditation visit are incorporated into program.		2016-2017
14. Physical Education, B.S.	State accreditation report, February 2012 (see Appendix F)	State accreditation team evaluates self-study and makes direct and binding recommendations for continued accreditation	Institution initiates all mandatory recommendations for accreditation purposes.		2020-2021
15. Physical Therapist Assistant, A.S.	N/A (Program receiving initial accreditation; see Appendix L)				2021-2022
16. Psychology, B.A.	March 2008 (see Appendix M)	Self-study undertaken when Psychology was moved to the College of Arts and Sciences in 2008; an earlier study was conducted following Psychology's separation from the "Behavioral Sciences" (including Sociology) program in 2001 and became an independent program.	Recommendations from were examined by faculty and further evaluated by College Chair and Assistant Chair; Provost formally authorized all recommendations following the review process.	Recommendations finalized the development of Psychology as an independent program in the College of Arts and Sciences and led to the discontinuation of the Behavioral Sciences degree.	2017-2018
17. Secondary Education, B.S.	State of Maine accreditation report, February 2012 (see	State accreditation team evaluates self-study and makes direct and	Institution initiates all mandatory recommendations for	Education faculty are currently drafting a comprehensive	2020-2021

	Appendix F)	binding recommendations for continued accreditation	accreditation purposes.	revision to the Secondary Education program.	
18. Social Work, B.S.W.	National accreditation report, 2011-2012 (see Appendix N)	Council on Social Work Education accreditation team evaluates self-study and makes direct and binding recommendations for continued accreditation.	Institution initiates all mandatory recommendations for accreditation purposes.		2018-2019
19. Special Education Paraprofessional, A.A.	Incorporated in Elementary and Secondary Education Certification (see Appendix F)				2020-2021
20. Recreation/ Leisure Services, B.S. (suspended as of 2013-14)	No program review on file.	N/A	N/A	The Recreation degree was formally suspended in Fall 2013 and specific aspects of the program moved into Business Administration as a concentration.	N/A

Appendix D: Most Recent Audited Financial Statement & Auditor's Management Letter

ANNUAL FINANCIAL REPORT

YEAR ENDED JUNE 30, 2013

Maine's Public Universities

UNIVERSITY OF MAINE SYSTEM

Office of the Chancellor
16 Central Street
Bangor, ME 04401-5106

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Fax: 207-973-3221
TDD/TDY: 207-973-3262
www.maine.edu

The University of Maine

University of Maine
at Augusta

University of Maine
at Farmington

University of Maine
at Fort Kent

University of Maine
at Machias

University of Maine
at Presque Isle

University of
Southern Maine

November 2013

Dear Friend:

Wherever you travel in Maine, you see businesses, schools and communities positively impacted by the University of Maine System. Whether it is the presence of one of our seven universities, the law school, or our more than 35 research, outreach, and Cooperative Extension centers and facilities throughout Maine the University of Maine System and its students, faculty and staff are an integral part of our state.

During the past 18 months we have made steady progress in promoting mission excellence at Maine's public universities. This year, for example, we launched a new transfer portal on our website to ease the transition for the more than 1,000 students who transfer to UMS from other institutions annually.

We are also working to strengthen relationships with Maine's business community and help meet workforce needs with initiatives such as Project Login, that will double the number of computer science and IT graduates each year.

Many more initiatives are underway or soon to be launched, including a plan to help Maine meet its workforce needs by focusing on degree completion among an estimated 230,000 adults with some college credit but no degree. This will be achieved by enhancing prior learning assessment, certificate programs, online and hybrid online and classroom programs and developing targeted financial assistance for part-time adult students.

Finally, I encourage you to visit the University of Maine System website at www.maine.edu to learn more about our universities, our talented faculty and staff, and their accomplishments.

Sincerely,

James H. Page, Ph.D.
Chancellor

INDEPENDENT AUDITOR'S REPORT

The Board of Trustees
University of Maine System

Report on the Financial Statements

We have audited the accompanying financial statements of the business-type activities and the discretely presented component unit of the University of Maine System (the System), a component unit of the State of Maine, which collectively comprise the System's statements of net position and net assets as of June 30, 2013 and 2012, and the related statements of revenues, expenses and changes in net position, activities and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with U.S. generally accepted accounting principles; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audits. We did not audit the financial statements of the discretely presented component unit. Those statements were audited by another auditor, whose reports have been furnished to us, and our opinions, insofar as they relate to the amounts included for the discretely presented component unit, are based solely on the reports of the other auditor. We conducted our audits in accordance with U.S. generally accepted auditing standards and the standards applicable to financial audits contained in *Governmental Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall financial statement presentation of the financial statements.

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We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, based on our audits and the reports of the other auditor, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities and the discretely presented component unit of the System as of June 30, 2013 and 2012, and the respective changes in financial position and, where applicable, cash flows thereof for the years then ended in accordance with U.S. generally accepted accounting principles.

Other Matters

Required Supplementary Information

U.S. generally accepted accounting principles require that the Management's Discussion and Analysis on pages 6 through 23, and Schedules of Funding Progress and Employers' Contributions on page 61, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with U.S. generally accepted auditing standards, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audits of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audits were conducted for the purpose of forming opinions on the financial statements that collectively comprise the System's basic financial statements as a whole. The supplementary information presented in the Schedules of Activities on page 62 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied by us in the audits of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with U.S. generally accepted auditing standards. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards,* we have also issued our report dated November 18, 2013 on our consideration of the System's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the System's internal control over reporting and compliance.

Berry Dunn McNeil & Parker, LLC

Bangor, Maine
November 18, 2013

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University of Maine System ("the System" or UMS) management has prepared the following unaudited Management's Discussion and Analysis (MD&A) to provide users with a narrative and analysis of the System's financial position based on currently known facts, decisions, and conditions. This discussion includes an analysis of the financial condition and results of activities of the System for the fiscal years ended June 30, 2013 and prior years. As this presentation includes highly summarized information, it should be read in conjunction with the accompanying basic financial statements and related notes.

MISSION

The University of Maine System unites seven distinctive public universities in the common purposes of providing first-rate higher education at reasonable cost in order to improve the quality of life for the citizens of Maine. The System, through its Universities, carries out the traditional tripartite mission – teaching, research, and public service. As a System, it extends its mission as a major resource for the State, linking economic growth, the education of its people, and the application of research and scholarship.

UNIVERSITY OF MAINE SYSTEM UNIVERSITIES, CAMPUSES & CENTERS

The University of Maine System is a comprehensive public institution of higher education serving nearly 41,000 students annually and is supported by the efforts of 1,279 regular full-time faculty, 102 regular part-time faculty, 3,162 regular full-time staff, and 329 regular part-time staff members.

Created in 1968 by the Maine State Legislature, the System consists of seven public universities, each with a distinctive mission and character. From Maine's largest city to its rural northern borders, our universities are known for excellence in teaching and research. Those universities are:

University of Maine (UM):	Maine's land and sea-grant institution
University of Maine at Augusta (UMA):	Central Maine's baccalaureate and associate degree institution
University of Maine at Farmington (UMF):	Maine's selective liberal arts college
University of Maine at Fort Kent (UMFK):	Baccalaureate university in the St. John Valley
University of Maine at Machias (UMM):	Eastern Maine's baccalaureate institution
University of Maine at Presque Isle (UMPI):	Baccalaureate education for the Northeastern region
University of Southern Maine (USM):	A comprehensive public university

The University of Maine School of Law, a freestanding institution within the System, is located in Portland and is Maine's only law school. Lewiston-Auburn College is a campus of the University of Southern Maine. University of Maine at Augusta-Bangor is a campus of the University of Maine at Augusta. The Hutchinson Center in Belfast is a campus of the University of Maine.

University College provides online and community access to the courses and degree programs of the System. Courses are offered on-site, via interactive television (ITV), or online at eight University College Centers:

Bath/Brunswick	East Millinocket	Ellsworth	Houlton
Norway/South Paris	Rockland	Rumford/Mexico	Saco

Students may also participate in ITV and online courses at sites throughout Maine.

STUDENT ENROLLMENT

Throughout the System, 31,012 students were enrolled on a headcount basis for the Fall 2012 semester, down 0.3% from Fall 2011 and 4.9% since Fall 2008.

Table 1: Fall Student Enrollments by Headcount

	Fall 2012		Fall 2011		Fall 2010		Fall 2009		Fall 2008	
Full-Time	20,153	65%	20,057	64%	20,542	64%	20,739	64%	20,593	63%
Part-Time	10,859	35%	11,051	36%	11,467	36%	11,601	36%	12,015	37%
Headcount	31,012	100%	31,108	100%	32,009	100%	32,340	100%	32,608	100%

As seen in Table 2 below, on a full-time equivalent (FTE) basis, 22,993 students were enrolled for the Fall 2012 semester, up 0.3% from Fall 2011. FTE enrollments were down 2.6% from Fall 2010 to Fall 2011. Since Fall 2008, enrollments have declined by 695 students or 3%. For Fall 2012, 65% of the student population was enrolled full-time and 85% were Maine residents.

Table 2: Fall Student FTE Enrollments

	% Change Fall 2008 to 2012	Fall 2012	% Change	Fall 2011	% Change	Fall 2010	% Change	Fall 2009	% Change	Fall 2008	% Change
UM	-6%	9,040	-0.9%	9,120	-2.5%	9,358	-3.1%	9,653	0.3%	9,620	0.8%
UMA	8%	2,862	1.4%	2,823	0.6%	2,805	1.0%	2,776	5.2%	2,639	0.1%
UMF	-3%	1,896	-4.4%	1,983	-1.0%	2,003	2.5%	1,954	-0.5%	1,964	-1.9%
UMFK	3%	779	11.0%	702	-0.4%	705	-3.8%	733	-2.7%	753	-17.3%
UMM	-1%	571	6.3%	537	-5.6%	569	1.4%	561	-2.4%	575	-1.0%
UMPI	-12%	974	-2.3%	997	-4.5%	1,044	-1.7%	1,062	-3.7%	1,103	-9.7%
USM	-2%	6,871	1.6%	6,764	-4.1%	7,051	1.1%	6,972	-0.9%	7,034	-1.7%
Total	-3%	22,993	0.3%	22,926	-2.6%	23,535	-0.7%	23,711	0.1%	23,688	-1.5%
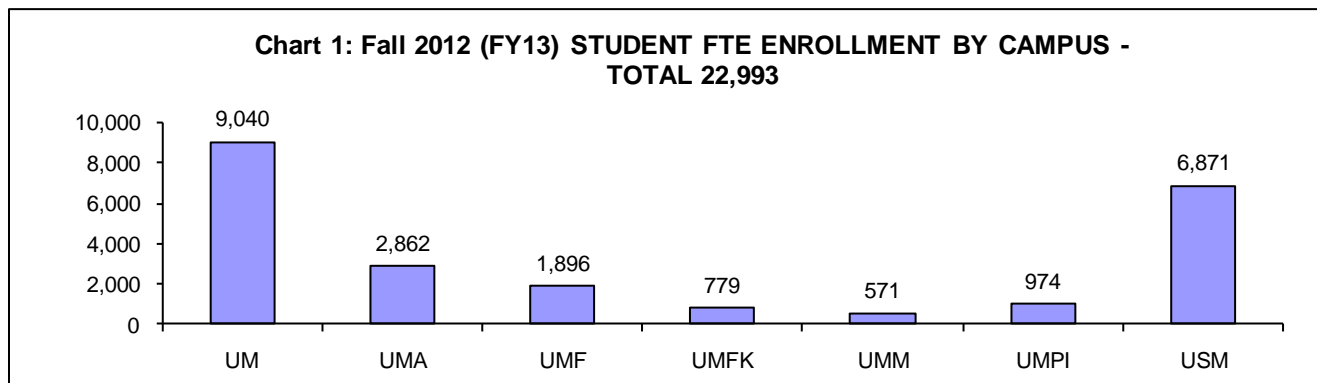
Chart 1: Fall 2012 (FY13) STUDENT FTE ENROLLMENT BY CAMPUS - TOTAL 22,993

STUDENT COMPREHENSIVE COST OF EDUCATION

The weighted average comprehensive cost of education for UMS undergraduate, graduate and Law School students is shown in Table 3 below. The modest increases in the student cost of education compared with prior years reflect UMS' continued commitment to providing affordable higher education. Tempering increases in this revenue source has been increasingly challenging given the pressures of operating cost increases and the decline in the State appropriations which peaked in FY08 at $201M and stood at $194M in FY13 and $198M in FY12.

Across the board, students in 2013 saw the lowest increase in the comprehensive cost of education in 5 years. Percentage increases in 2013 range from a high of 2.6% for Undergraduate Out-of-State students to a decrease of 0.1% for New England Board of Higher Education (NEBHE) students. Percentage increases in 2012 range from a high of 5.3% for Graduate students receiving the NEBHE rate to a low of 3.0% for Undergraduate Out-of-State students.

Table 3: Student Comprehensive Cost of Education
Tuition, Mandatory Fees, and Room and Board
Weighted Averages

	2013		2012		2011		2010		2009	
	Cost	% Change	Cost	% Change	Cost	% Change	Cost	% Change	Cost	% Change
Undergraduate										
In-State	$17,802	0.4%	$17,731	3.3%	$17,172	4.5%	$16,431	5.3%	$15,598	8.3%
Out-of-State	32,250	2.6%	31,418	3.0%	30,505	4.4%	29,211	6.2%	27,514	8.5%
NEBHE	22,213	-0.1%	22,239	3.8%	21,428	5.7%	20,266	5.2%	19,269	15.0%
Canadian	20,725	0.7%	20,572	4.0%	19,786	5.3%	18,796	4.9%	17,917	6.9%
Graduate										
In-State	$16,721	0.5%	$16,634	3.2%	$16,116	4.8%	$15,375	5.4%	$14,582	8.4%
Out-of-State	30,757	2.2%	30,099	3.5%	29,072	4.5%	27,816	5.5%	26,365	8.7%
NEBHE	20,552	0.8%	20,389	5.3%	19,361	4.6%	18,503	4.7%	17,675	8.0%
Canadian	20,572	0.4%	20,492	3.3%	19,843	4.7%	18,959	5.0%	18,052	10.3%
Law School										
In-State	$31,989	0.4%	$31,857	4.1%	$30,606	5.3%	$29,052	5.8%	$27,464	6.5%
Out-of-State	43,059	0.7%	42,777	3.2%	41,436	4.8%	39,552	4.2%	37,964	5.8%
NEBHE/Canadian	40,119	0.6%	39,897	3.5%	38,556	4.2%	37,002	3.2%	35,864	4.0%

OVERVIEW OF THE FINANCIAL STATEMENTS

The University of Maine System's financial statements include three primary components, the:

- Statements of Net Position,
- Statements of Revenues, Expenses, and Changes in Net Position, and
- Statements of Cash Flows.

The University of Maine Foundation is a legally separate tax-exempt component unit of the University of Maine System. This entity's financial position and activities are discretely presented in the University's financial statements as required by Governmental Accounting Standards Board (GASB) Statement No. 61, *The Financial Reporting Entity: Omnibus, an Amendment of GASB Statements No. 14 and No. 34.* The MD&A includes information only for the System, not its component unit. These financial statements are prepared in accordance with U.S. generally accepted accounting principles.

STATEMENTS OF NET POSITION

The Statements of Net Position presents the financial position of the System at one point in time – June 30 – and include all assets, liabilities, and the net position of the System. This statement is the primary statement used to report financial condition. Net position represents the residual interest in the System's assets after liabilities are deducted. The change in net position is an indicator of whether the overall financial condition has improved or deteriorated during the year. Table 4 on page 10 shows Condensed Statements of Net Position for the past five years.

Total assets of $1,186 million at June 30, 2013 have increased $181 million, or 18%, since June 30, 2009. Total assets are categorized as either current or noncurrent. Current assets are available to satisfy current liabilities, which in turn are those amounts expected to be payable within the next year. The major component of current assets is short-term investments which total $244 million at June 30, 2013 and 2012.

Noncurrent assets consist mainly of endowment investments and capital assets, net of depreciation. Endowment investments total $133 million at June 30, 2013, an increase of $12 million or 10% from the FY12 year-end balance $121 million and a $38 million or 40% increase since June 30, 2009. Capital assets total $688 million and $684 million at June 30, 2013 and 2012, respectively. The System's progress in upgrading older facilities and meeting new facilities needs is addressed later in this report.

Current liabilities of $71 million and $79 million at June 30, 2013 and 2012, respectively, consist primarily of accounts payable and various accrued liabilities including those for the System's workers compensation, health, and retirement plans. Accounts payable and accrued liabilities are impacted by the timing of the last check cycle for the fiscal year, the level of construction activity in progress, timing of the funding of the Other Post Employment Benefits (OPEB) Trust and budget constraints.

At $262 million, total noncurrent liabilities declined $14 million or 5% from June 30, 2012 to 2013 following a decline of $4 million from June 30, 2011 to 2012, primarily the result of the system paying down bonds and notes payable.

The total net position at $853 million increased $28 million or 3% from June 30, 2012 to 2013 and $38 million or 5% from June 30, 2011 to 2012.

Table 4: Condensed Statements of Net Position as of June 30

($ in millions)

	2013	% Change	2012	% Change	2011	2010	2009
Current Assets	$307	-3%	$315	7%	$295	$259	$207
Noncurrent Assets							
Endowment investments	133	10%	121	-3%	125	104	95
Capital assets, net	688	1%	684	2%	668	644	645
Other	58	-3%	60	15%	52	50	58
Total Assets	$1,186	1%	$1,180	4%	$1,140	$1,057	$1,005
Current Liabilities	$71	-10%	$79	8%	$73	$68	$64
Noncurrent Liabilities:							
Bonds and Notes Payable	165	-8%	179	-2%	182	192	201
Other	97	0%	97	-1%	98	90	88
Total Liabilities	333	-6%	355	1%	353	350	353
Net investment in capital assets	514	3%	500	5%	474	444	436
Restricted:							
Nonexpendable	56	2%	55	6%	52	49	47
Expendable	100	8%	93	-2%	95	86	85
Unrestricted	183	3%	177	7%	166	128	84
Total Net Position	853	3%	825	5%	787	707	652
Total Liabilities and Net Position	$1,186	1%	$1,180	4%	$1,140	$1,057	$1,005

Investment Pool

The System pools certain funds for investment purposes including the System's endowment monies and monies on behalf of the following entities: the University of Maine at Fort Kent Foundation, the University of Southern Maine Foundation, the John L. Martin Scholarship Fund, Inc., the UMS OPEB Trust, Maine Maritime Academy, and the University of Maine School of Law Foundation.

Table 5 below shows the June 30, 2013, 2012, and 2011 market values of the pooled investments, including the amounts held on behalf of each entity.

Table 5: Market Value of Pooled Investments by Entity

($ in millions)

	2013	2012	2011
University of Maine System & Affiliates Endowments	$133	$121	$125
Other Post Employment Benefits Trust	73	53	50
Maine Maritime Academy	25	17	18
University of Maine School of Law Foundation	3	0	0
Total	$234	$191	$193

The accompanying Statements of Net Position and Statements of Revenues, Expenses, and Changes in Net Position include only the System's and affiliates' share of the pooled investments and related investment activity. The OPEB Trust, Maine Maritime Academy, and the University of Maine School of Law Foundation investments are not included in those Statements.

The pooled investments are diversified among the following asset classes to minimize risk while optimizing return.

Table 6: Asset Allocation Percentages for Managed Investment Pool
at June 30

	2013	2012	2011
Domestic Equities	23%	31%	29%
International Equities	23%	20%	20%
Fixed Income	14%	16%	15%
Global Asset Allocation	25%	16%	16%
Hedge Funds	12%	15%	16%
Timber	2%	2%	2%
Cash	1%	0%	2%
Total	**100%**	**100%**	**100%**

As shown below, the markets continued their volatility with the pool experiencing a net of fees return of 12.7% in FY13, up from -2.0% in FY12, after experiencing a return of 21.9% in FY11. The pooled investments have a 5-year annualized net of fees return of 4.8%.
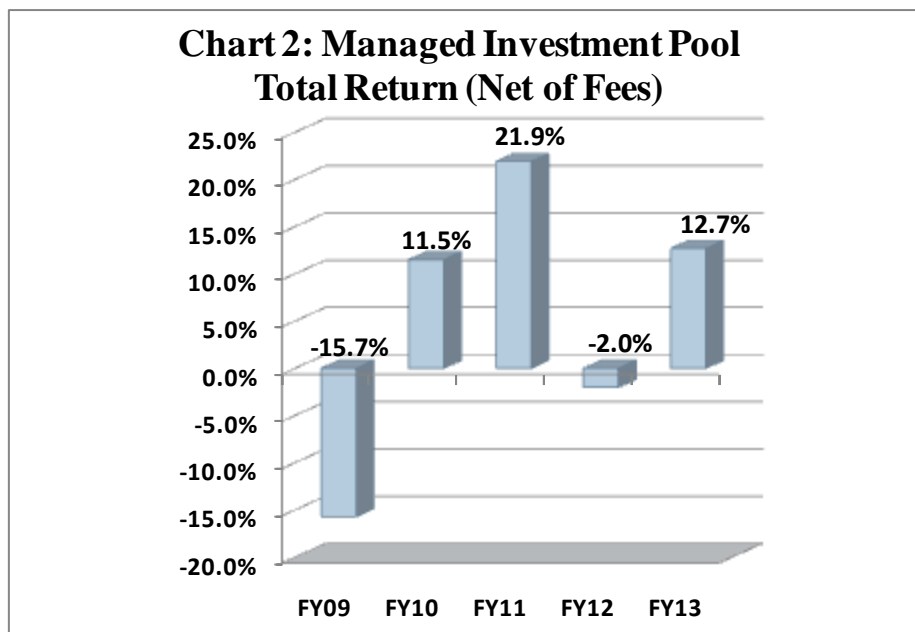
Chart 2: Managed Investment Pool Total Return (Net of Fees)

Endowments (Including Affiliates)

Endowments are gifts received from donors where the original amount of the gift (corpus) cannot be expended while the income earned and related appreciation can be expended. If the donor established criteria to determine how the expendable amounts can be used, then such amounts are considered restricted expendable. If the use of funds is left to the discretion of the System, the endowment income and appreciation is considered unrestricted.

As mentioned above, the System continues to use a pooled investment approach for its endowments, unless otherwise specified by the donor, and the endowments of three affiliates. Affiliates investing in the endowment pool include: the University of Maine at Fort Kent Foundation, the University of Southern Maine Foundation, and the John L. Martin Scholarship Fund, Inc. The University of Maine at Farmington Alumni Foundation had participated in the pool up until January 31, 2012, when its members voted to dissolve the corporation. At that time, the Foundation gifted their $1 million of assets to the University of Maine at Farmington for continued endowment of scholarships.

As shown below, these pooled investments had a market value of $133 million at June 30, 2013, increasing $12 million from the prior year end market value of $121 million. This growth included $15 million in net performance, plus $2 million in endowment contributions, less $5 million distributed for scholarships and operating activities. The FY12 market value of $121 million had decreased $4 million from the prior year which included $3 million from negative net performance, plus $4 million in endowment contributions, less $5 million distributed for scholarships and operating activities.

Chart 3: Market Values of UMS & Affiliates Endowments Invested in Pool ($ in millions)
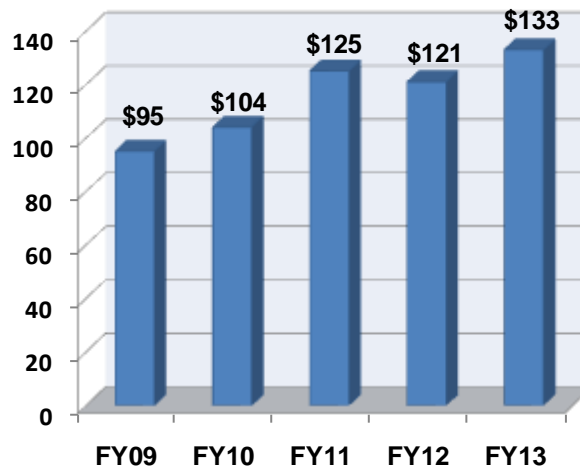
The System manages its endowment with the goal of generating a fairly consistent stream of annual support for current needs, while at the same time preserving the endowment as a whole to ensure funds for future years.

The UMS endowment distribution formula is designed to smooth market volatility. The method uses a 3-year market value average with a percentage spending rate applied. The spending rate applied in FY13 was 4.5%, down from 4.75% in FY12 and 5% in FY11. The rate was reduced over a two year

period to bring UMS in line with other educational institutions' endowments and to better enable preservation of corpus.

Capital Assets and Debt Activities

Table 7 on page 14 shows the status of major capital construction projects, including related equipment, as of June 30, 2013 along with the Board of Trustees (BOT) approved budget.

The System's facilities are critical to accomplishing the mission of the System as they provide the physical framework and environment for educational, research, cultural programs and residential life. The System continually considers its long-term capital needs, upgrading older facilities and constructing new facilities when necessary. These types of activities are funded with State bonds, gifts, grants, educational and general funds, and System revenue bonds.

During FY13, the System had capital asset additions of $36 million which included $32 million related to construction in progress and $4 million in equipment and software. FY12 capital asset additions of $47 million included $40 million in construction in progress and $7 million in equipment and software; while FY11 additions of $53 million consisted of $43 million in construction in progress and $10 million in equipment and software.

The System strives to manage all of its financial resources effectively including the prudent use of debt to finance construction projects that support the System's mission; thereby, placing the System in a better position to achieve its strategic goals. Capital leases, bonds, and notes payable as of June 30, 2013 and 2012 were $181 million and $194 million, respectively.

Table 7: Major Capital Construction Projects Completed During FY13 or In Progress at June 30, 2013
($ in millions)

Project	Funding Source	Status	BOT Approved Budget
UMA			
Jewett Hall Roof Replacement	Educational & General	Pre-Design	$0.54
UMF			
Merrill Hall Heating Boiler Replacement	Educational & General	In Progress	0.71
Mantor Green Geothermal Well Field	Educational & General	In Progress	1.55
Ricker Hall Phase II	State Bond, Educational & General	Complete	2.20
UMFK			
Renewable Biomass Heating Plant	Grant, Educational & General	Complete	0.93
Renewable Biomass District Heating Plant	Grant, Educational & General	Pre-Design	3.00
UM			
University Park-Demolition/Renovation/Sprinklers	State Bond, Auxiliary, Educational & General	In Progress	1.50
Advanced Structures and Composites Center Expansion	Grant, Educational & General	In Progress	6.40
Center for Cooperative Aquaculture Research - Tank Building	Grant	Complete	1.90
Estabrooke Repurposing & Renovation and International Study Center	Educational & General	In Progress	4.20
Fogler Library HVAC Upgrades Phase I	State Bond, Educational & General	In Progress	1.47
Forest Bioproducts Research Initiative (FBRI) Technology Center	Grant	Complete	2.10
Stewart New Media/Art Complex	Gifts, State Bond, Grant, Educational & General	Complete	10.00
Heat Plant Boiler 8 Design	Grant, Educational & General	Complete	3.20
Bennett Hall Renovations	Grant, Educational & General	Complete	0.97
Nutting Hall Renovation	State Bond, Education & General	Complete	3.95
Aquaculture Research Center Fish Lab Addition	Grant	In Progress	0.60
Planetarium and Observatory	Gifts & Fund Raising, Educational & General	In Progress	5.20
Memorial Gym Field House Renovation	2012 Revenue Bond, Gifts, Educational & General	In Progress	15.00
USM			
Science Technology Research Center	Grant	Complete	0.85
Luther Bonney Hall – Energy Efficiency Enhancements	State Bond, Educational & General	Complete	1.14
Gorham Central Heat Plant Replacement	Educational & General	Design in Progress	2.70
Gorham Water Tank Refurbishment	Educational & General	Design in Progress	0.63
International Study Center	Educational & General	Pre-Design	0.80
Science Technology Research Center	Grant	In Progress	0.90
UMS			
Data Center Projects	Educational & General	Complete	4.99
		TOTAL	**$77.43**

Net Position

Net investment in capital assets represents the historical cost of the System's capital assets reduced by total accumulated depreciation and outstanding principal balances on debt attributable to the acquisition, construction, or improvement of those assets. As seen in Table 4 on page 10, the System's net investment in capital assets was $514 million at June 30, 2013. The FY13 increase of $14 million was primarily the result of $4 million in net additions to capital assets after annual depreciation and a $10 million decline in related debt. The FY12 increase of $26 million was the result of $16 million in net additions to capital assets after annual depreciation and $10 million in changes to related debt; while the FY11 increase of $30 million was primarily the result of $24 million in net additions to capital assets after annual depreciation and $6 million in changes to related debt.

The restricted-nonexpendable net position of $56 million represents the System's permanent endowment funds. Items that impact this category of net assets include new endowment gifts and fair market value fluctuations for those endowments whose fair value has fallen below the endowment corpus. For this net position category, there was a $1 million increase in FY13, and a $3 million increase in both FY12 and in FY11.

The restricted-expendable net position of $100 million includes unexpended gifts and System endowment appreciation, above corpus, subject to externally imposed conditions on spending. This category of net position is restricted for a wide variety of purposes including student financial aid, capital asset acquisitions, research, and public service. The $7 million net increase in FY13 is primarily the result of an $8 million increase in endowment market values from positive financial market conditions, a $2 million increase in State appropriated scholarship funding generated from increased Maine casino revenue, and a $2 million reduction in debt service reserves as a result of the System refinancing bonds in 2013 to achieve savings. The $2 million net decrease in FY12 is the result of a number of factors with the major contributors being a $6 million decline in endowment market values due to unfavorable market conditions, a $2 million decrease in gift balances restricted for capital assets, and a positive increase of $5 million as a result of a gift for capital construction. The FY11 restricted-expendable balance of $95 million saw a $9 million increase over the prior year which was primarily the result of favorable markets net of gift money expenditures for capital construction at UMF.

The unrestricted net position of $183 million grew by $6 million, $11 million, and $38 million in FY13, FY12 and FY11, respectively. This net position category is not subject to externally imposed stipulations; however, these resources are critical for the financial stability of the UMS and have been designated for specific areas, including operational and capital needs, operating investment and other budget fluctuations, and benefits costs including covering the risks associated with self insured plans. Given both the physical and financial size of the University of Maine System, funds must be readily available to cover various situations including emergency expenditures, strategic priorities, operating losses, over-expenditures on capital or other projects, and benefits costs.

Statements of Revenues, Expenses, and Changes in Net Position

The Statement of Revenues, Expenses, and Changes in Net Position reports total operating revenues, operating expenses, nonoperating revenues (expenses), other changes in net position, and the resulting change in net position for the fiscal year.

The System's total net position increased $28 million in FY13 and $38 million in FY12. Table 8 shows Condensed Statements of Revenues, Expenses, and Changes in Net Position for the past five fiscal years ended June 30.

Table 8: Condensed Statements of Revenues, Expenses, and Changes in Net Position
Years Ended June 30
($ in millions)

	2013	% Change	2012	% Change	2011	2010	2009
Net Student Fees	$243	1%	$241	1%	$239	$236	$235
Grants, Contracts and Indirect Cost Recovery	161	-10%	178	-4%	186	171	152
Other Operating Revenues	56	-2%	57	-3%	59	62	61
Operating Revenues	460	-3%	476	-2%	484	469	448
Operating Expenses	(669)	0%	(672)	1%	(667)	(648)	(647)
Operating Loss	(209)	7%	(196)	7%	(183)	(179)	(199)
Nonoperating Revenues (Expenses)							
Noncapital State of Maine Appropriations	194	-2%	198	2%	195	190	194
State Fiscal Stabilization Funds	0	0%	0	-100%	6	7	7
Gifts Currently Expendable	11	-8%	12	9%	11	11	16
Endowment Return Used for Operations	5	0%	5	0%	5	5	6
Investment Income	10	100%	5	-55%	11	11	(3)
Interest Expense	(7)	-13%	(8)	0%	(8)	(9)	(10)
Net Nonoperating Revenues	213	0%	212	-4%	220	215	210
Income Before Other Changes in Net Position	4	-75%	16	-57%	37	36	11
Other Changes in Net Position							
State of Maine Capital Appropriation	6	20%	5	25%	4	7	9
Capital Grants and Gifts	8	-60%	20	-9%	22	8	14
Endow. Return, Net of Amt. Used for Operations	8	233%	(6)	-143%	14	5	(23)
Other	2	-33%	3	0%	3	(1)	0
Total Other Changes in Net Position	24	9%	22	-49%	43	19	0
Change in Net Position	$28	-26%	$38	-53%	$80	$55	$11

Operating and Nonoperating Revenue

In addition to receiving tuition and fees, the System receives revenue from other sources such as governmental and privately funded grants and contracts; gifts from individuals, foundations, and corporations; state appropriations; and investment income.

UMS revenues and expenses are categorized as either operating or nonoperating. Certain significant recurring revenues and expenses are considered nonoperating including state appropriations, gifts, investment income or loss, and interest expense.

The following pie charts illustrate both the operating and net nonoperating revenue sources used to fund the System's activities for FY13 and FY12.

CHART 4: TOTAL OPERATING & NET NONOPERATING REVENUE

2013 - $673 million

Educ. Sales & Services/Aux. Enterprises 8%

State Appropriation 29%

Indirect Cost Recovery 2%

Other Nonoperating Revenues Net 3%

Grants & Contracts 22%

Net Student Fees 36%

2012 - $688 million

Educ. Sales & Services/Aux. Enterprises 8%

State Appropriation 29%

Indirect Cost Recovery 2%

Other Nonoperating Revenues Net 2%

Grants & Contracts 24%
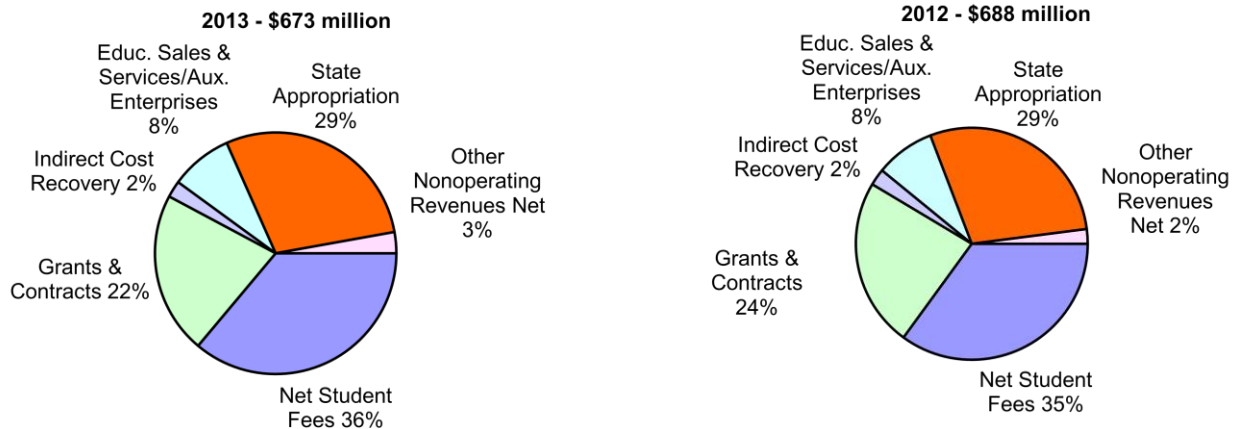
Net Student Fees 35%

Net student fees revenues of $243 million for FY13 are the primary source of operating revenues. The portion of total operating and net nonoperating revenues funded by net student revenues increased by 1% in FY13 and in FY12 after declining 1% in FY11. Net student revenues comprised 36% of total revenue for FY13 and 35% for FY12.

Net student revenues are comprised of tuition and fees and residence and dining fees less scholarship allowances:

- Tuition and fees totaled $269 million in FY13, increasing $3 million (or 1%) over the prior year. FY12 and FY11 saw increases in revenues of 2% and 4%, respectively, compared to their prior year.
- Residence and dining fees of $58 million in FY13 was up less than $1 million compared with the prior year, following a decrease of $2 million (3%) from FY11. FY11 had increased nearly $1 million over FY10.
- Scholarship allowances of $83 million increased $1 million or 1% in FY13 and 1% in FY12 after increasing $8 million or 11% in FY11.

Student Financial Aid:

Student financial aid awards are made from a variety of sources including federal, state, private, and university funds. Aid received from third parties is recognized as grants and contracts revenue on the Statements of Revenues, Expenses, and Changes in Net Position while the distribution of aid from all sources is shown as one of two components:

1. Scholarship Allowances – financial aid retained by the System to cover students' tuition, fees, and on-campus housing and meals. These amounts are reported as a direct offset to operating revenues.
2. Student Aid Expense – financial aid refunded to students to cover off-campus living costs, books, and other personal living expenses. These amounts are reported as operating expense.

Federal financial aid awards are based on a student's financial need compared with their total cost of education which includes tuition and fees, housing and meals (both on and off campus), books, and other personal living expenses.

In FY13, total financial aid provided to students was $111 million, which was a $1 million or 1% increase over FY12 aid. This change is the net result of a number of factors with the most notable being an increase in institutional aid.

In FY12, total financial aid of $110 million also saw a $1 million or 1% increase over FY11 aid. This increase is primarily the result of an increase in institutional aid to partially offset the increase in the students' cost of education less a decrease in federal aid as a result of the discontinuance of the ACG and SMART grants.

In FY11, total financial aid was $109 million, increasing $11 million or 11% over FY10 aid of $98 million. This increase is primarily the result of an increase in Pell funding and an increase in institutional aid to partially offset the increase in the students' cost of education.

Grants, Contracts, and Indirect Cost Recovery:

Grants and contracts revenues are recognized to the extent of related expenses. Consequently, reported revenues will fluctuate based on the timing of expenses across fiscal years. The System receives funding from federal, state, and private sources with the majority of funding being provided by the federal government for research activities. State research and development funding is often used to leverage federal dollars.

Grants and contracts revenues totaled $146 million in FY13, decreasing $16 million from FY12. This decrease includes a $3 million decline in ARRA funding, a decline of $7 million from the Maine Department of Health and Human Services, a $1 million decline in federal student financial aid, and a $1 million decline from the Maine Technology Institute. With the exception of UMFK, all campuses shared in the decline of grant funding in FY13, with UM experiencing the largest dollar loss at over $7 million or an 11% reduction from the prior year. USM saw the greatest percentage decline at 14% or almost $7 million. UMF's grant revenue also declined by almost $1 million or 11% from the prior year.

In FY12, grants and contracts revenues totaled $162 million, decreasing $7 million from FY11. This decrease includes an almost $4 million decline in ARRA funding, a decline of $3 million from the discontinuance of federal SMART and ACG grant programs, and a $1 million decline in Maine Technology Institute funding. These decreases were partially offset by a $2 million increase in the Public Utilities Commission funding for the Maine School and Library Network.

Grants and contracts revenues totaled $169 million in FY11, increasing $13 million over FY10. Pell grant revenue accounted for nearly $6 million, or 46%, of this increase.

In addition to providing for direct costs, grants and contract sponsors also provide for recovery of Facilities and Administrative (F&A) costs which are also known as indirect costs. The amount of allowable F&A costs is calculated for each grant and contract using the applicable negotiated rate subject to specific sponsor limitations and other proposal and award conditions. Recovery of indirect costs totaled $15 million, $16 million, and $17 million for FY13, FY12 and FY11, respectively.

Noncapital State of Maine Appropriations:

State noncapital appropriation revenue includes amounts for general operations as well as amounts legislatively earmarked for research and development, financial aid, and various other areas. Although not

considered operating revenue under GASB reporting requirements, the noncapital State appropriation was the second largest funding source for educational and general operations behind Net Student Fees.

As shown in Chart 5 below, the System received $194 million in noncapital State appropriation revenue during FY13, down $4 million or 2.0% from FY12, and flat compared with FY09. The System received $198 million in noncapital State appropriation revenue during FY12, up $3 million or 1.5% over FY11.

At $194 million, noncapital state appropriation covered 93% of the $209 million net operating loss in FY13, down from net operating loss coverage levels of 101% in FY12 and 107% in FY11.

CHART 5: NONCAPITAL STATE APPROPRIATION & ANNUAL % CHANGE
($ in millions)
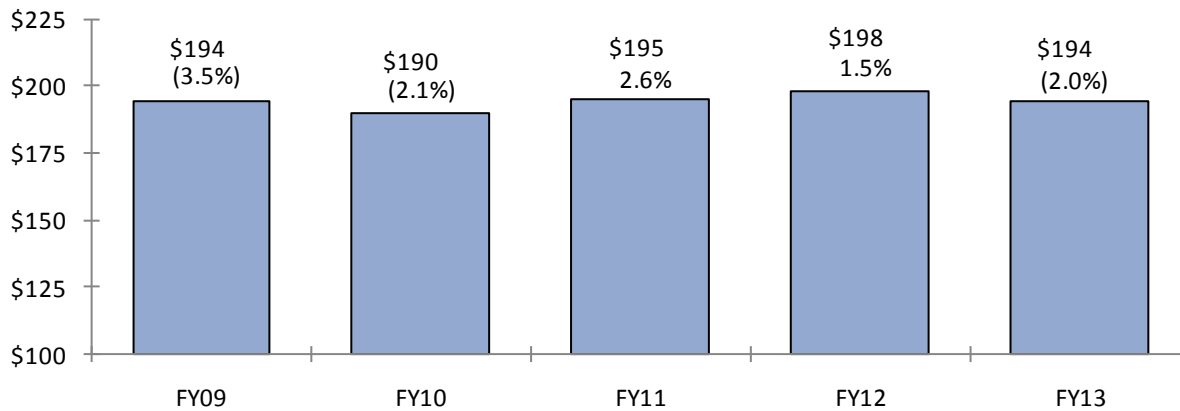
State Fiscal Stabilization Funds:

A notable revenue category in Table 8 on page 16 is State Fiscal Stabilization Funds which resulted from an award of $20.3 million under the American Recovery and Reinvestment Act (ARRA) of 2009. The award was for a three year period. During FY12, the System received the final $0.2 million disbursement for a total of $20.3 million over the life of the grant. With decreased support from State appropriations and the investment losses sustained during FY09, these ARRA funds were critical to stabilizing the System's financial condition over the past several years allowing the System time to initiate administrative reviews and other cost saving measures.

Cash Gifts:

As shown in Chart 6 on page 20, gifts received in FY13 are down $5 million from the prior year. This decline is largely the result of UM having received several large gifts for athletic facility renovations in FY12. $14 million or 91% of gifts received in FY13 were restricted compared with 95% in FY12 and 92% in FY11. The donor type consistently contributing the most gift dollars is University Foundations.

CHART 6: CASH GIFTS BY DONOR TYPE
($ in millions)

	FY09	FY10	FY11	FY12	FY13
Total	$24	$17	$19	$21	$16
Other	$2	$2	$2	$2	$1
Alumni	$1	$1	$3	$2	$2
Non-Profits	$3	$5	$5	$4	$4
Corporations	$2	$3	$3	$5	$4
University Foundations	$16	$6	$6	$8	$5

Legend: ■ University Foundations ■ Corporations ☐ Non-Profits ■ Alumni ☐ Other
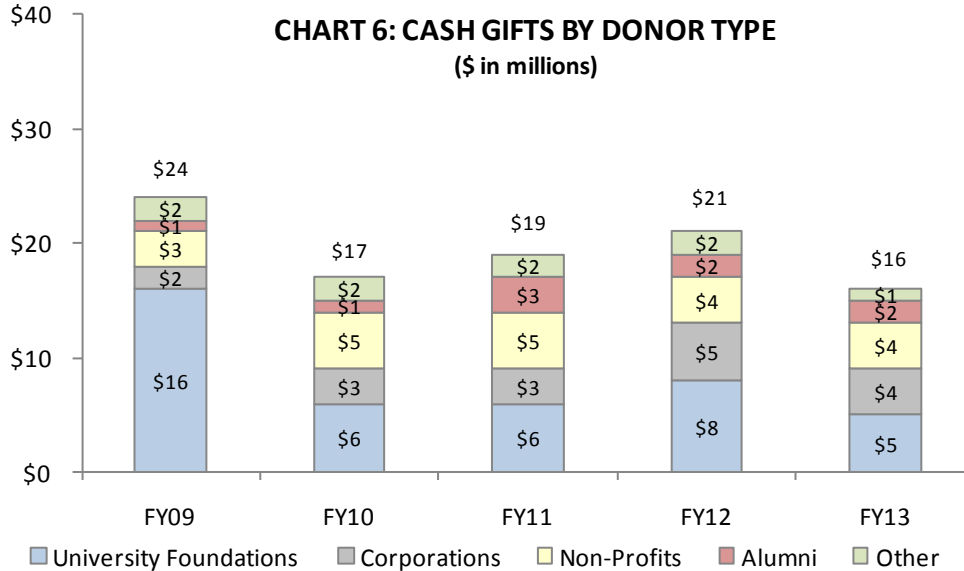
Operating Expenses

Table 9: Operating Expenses, Classified by Function
For the Years Ended June 30

($ in millions)

	2013		2012		2011		2010		2009	
Instruction	$180	27%	$179	27%	$178	27%	$180	28%	$179	28%
Research	69	10%	73	11%	79	12%	75	12%	73	11%
Public service	60	9%	64	10%	61	9%	60	9%	57	9%
Academic support	77	12%	77	12%	73	11%	67	10%	66	10%
Student services	51	8%	48	7%	47	7%	47	7%	48	7%
Institutional support	54	8%	56	8%	50	8%	47	7%	48	7%
Operation and maintenance of plant	49	7%	47	7%	49	7%	46	7%	51	8%
Depreciation and amortization	32	5%	30	4%	29	4%	27	4%	26	4%
Student aid	28	4%	28	4%	28	4%	25	4%	21	4%
Auxiliary enterprises	69	10%	70	10%	73	11%	74	12%	78	12%
Total Operating Expenses	**$669**	**100%**	**$672**	**100%**	$667	100%	$648	100%	$647	100%

Table 9 shows expenses on a functional basis while Table 10 presents a comparative summary of the System's expenses based on natural classification.

Table 10: Total Expenses by Natural Classification
For the Years Ended June 30
($ in millions)

	2013		2012		2011		2010		2009	
Operating:										
Compensation and Benefits	$433	64%	$434	64%	$427	63%	$424	65%	$425	65%
Utilities	34	5%	32	5%	32	5%	27	4%	32	5%
Supplies and Services	142	21%	148	22%	151	23%	144	22%	143	22%
Depreciation & Amortization	32	5%	30	4%	29	4%	28	4%	26	4%
Student Aid	28	4%	28	4%	28	4%	25	4%	21	3%
Total Operating Expenses	669	99%	672	99%	667	99%	648	99%	647	99%
Nonoperating:										
Interest	7	1%	8	1%	8	1%	9	1%	10	1%
Total Expenses	$676	100%	$680	100%	$675	100%	$657	100%	$657	100%

As shown in Table 10, compensation and benefits expense declined $1 million in FY13 after increasing by $7 million in FY12 and $3 million in FY11.

Since FY09, compensation and benefits are up $8 million or 2%. Due to financial and program reasons UMS has eliminated a substantial number of positions over the past several years. From Fall 2008 to Fall 2012, total employment from all sources decreased by 311 full-time equivalent employees which included 162 full-time equivalent employees funded by educational and general sources.

CURRENT AND FUTURE CONSIDERATIONS

The System continues to work on the Goals and Actions for achieving mission excellence as outlined by the Board of Trustees in January 2012. System leadership was directed to move quickly forward in reviewing key areas of program and workforce development, cost control, and student success with the goal of improved administrative efficiencies and services. Those savings will be reinvested in the System's core mission critical areas of education, research and public service. Administrative reviews in information technology, strategic procurement, human resources, and facilities are in various stages while other priority initiatives are underway including work on:

- Credit transfer. The System launched a new transfer portal on its website to ease the transition for the more than 1,000 students who transfer to UMS from other institutions annually. Work has begun on an alignment of general education requirements across the UMS campuses and with the Maine Community College System. In November 2013, focused work will begin on specific high demand majors like business, nursing and Science, Technology, Engineering and Math (STEM) to better align major requirements. The goal is for all of this work to be completed by September 2014.

- Adult Baccalaureate Completion/Distance Education (ABCDE). The goal is to help Maine meet its workforce needs by focusing on degree completion among an estimated 230,000 adults with some college credit but no degree. This will be achieved by enhancing prior learning assessment, certificate programs, online and hybrid online and classroom programs and developing targeted financial assistance for part-time adult students.

- Project Login. These efforts are intended to double the number of computer science, computer engineering and information technology graduates by 2016 to meet the workforce needs of Maine businesses.

Compensation and Benefits Considerations

At $433 million in FY13, compensation and benefits constituted 64% of all operating expenses [74% of the educational and general budget]. Of this total, compensation was $308 million and benefits were $125 million.

Salary and wage compensation increases are significant cost drivers for the System. All groups except full-time faculty received adjustments for FY13 in accordance with collective bargaining agreements or Board of Trustee approved action. The collective bargaining agreement for the full-time faculty remains unsettled since its expiration at the end of FY11.

As a significant portion of benefits costs is attributed to health care, the System Employee Health Plan Task Force continues the work it began in FY11 to provide leadership to the UMS and to the collective bargaining process by recommending actions that support a competitive employee health care benefit while reducing the cost trend for the employee health plan. These actions are necessary for the financial sustainability of UMS. Recommended actions include quality, cost and payment reform; plan design changes; health improvement; communication and education; and ongoing stakeholder involvement. Key factors necessary to successfully achieve the cost trend targets include: support from the Board of Trustees, senior management and unions; ongoing monitoring and adjustment to a changing environment; and effective communication and education to consumers of the UMS health benefit.

Postemployment Benefits also continue to be a major cost driver for the System. The System accounts for postemployment health costs on an accrual basis rather than the pay-as-you-go basis which had been used up until FY08. Over the past several years, to reduce its liability and the annual required contribution (ARC), the System has made changes in retiree health plan eligibility rules and premium contributions, replaced the Medicare supplement plan by a Medicare Advantage Plan, and continues to fund an irrevocable OPEB Trust which was established in FY09.

Capital Considerations

UMS owns more than 650 buildings providing more than 9 million square feet of space located across the State. Currently campus budgets do not fully fund depreciation with facilities capital maintenance needs being funded primarily with operating surpluses, which has resulted in a depreciation "gap". To address this situation the System issues revenue bonds when prudent and possible. The System also continues to seek State bond funding. In the November 2013 election, Maine voters approved a $15.5 million bond issue to enhance educational and employment opportunities for Maine citizens and students by updating and improving existing laboratory and classroom facilities of the System.

World and State Economic Considerations

Risks from financial market volatility continue as uncertainty persists regarding the Federal Reserve's plans to taper its accommodative monetary policy and as the country faces ongoing budget and debt limit challenges.

With 29% of the System's revenues coming from State of Maine appropriation, the health of Maine's economy plays a crucial role in the stability of revenues. The State continues to make significant adjustments to UMS' appropriation and other fiscal support as it balances its own budget. As shown previously in Chart 5, Noncapital State Appropriations at $194 million are flat when compared with FY09 levels. In February 2012, the State enacted legislation following the work of the Streamline and Prioritize Core Government Services Task Force which resulted in a $2.3 million permanent reduction to the UMS appropriation starting in FY13. In addition, the System experienced a $2.5 million one-time curtailment of appropriation in FY13. Further still, the Maine Office of Policy and Management issued recommendations to permanently reduce the UMS appropriation by another $2 million in FY15; however, no legislative action has occurred to date.

Despite fiscal challenges, the System froze FY13 undergraduate in-state tuition and mandatory unified fees at FY12 levels; the first time in a quarter century that there has been no tuition increase. Further, the System has committed that if it receives level funding from the State of Maine for FY14 and FY15 it will likewise freeze tuition for those two years. This is a clear recognition of not only the State's fiscal struggles, but also those of Maine families as the System recognizes the need to keep tuition affordable and continues to look at how it can most efficiently and effectively spend its resources.

The Work Ahead

Economic conditions, unfavorable trends in demographics, and increased competition in higher education delivery mechanisms are all factors that call for continued transformational change requiring ongoing stakeholder engagement as we move forward as a System together.

The System views the work ahead as an opportunity to improve mission excellence, in three core areas:
- first-class, accessible, and affordable education for students;
- research and economic development that positions Maine more favorably economically and socially; and
- the provision of critical services to our communities.

Statements of Net Position
June 30, 2013 and 2012
($ in thousands)

	2013	2012
Assets		
Current Assets		
Cash and cash equivalents (Note 2)	$ 1,492	$ 1,125
Short-term investments (Note 3)	244,333	244,412
Accounts, grants, and pledges receivable, net (Note 4)	56,616	63,889
Inventories and prepaid expenses	4,806	5,106
Notes and lease receivable, net (Note 5)	63	63
Total Current Assets	307,310	314,595
Noncurrent Assets		
Deposits with bond trustees (Notes 3 and 6)	6,366	10,191
Accounts, grants, and pledges receivable, net (Note 4)	9,938	9,318
Notes and leases receivable, net (Note 5)	40,044	39,344
Endowment investments (Note 3)	132,690	121,077
Bond issuance costs, net (Note 7)	1,844	2,052
Capital assets, net (Note 6)	687,989	683,724
Total Noncurrent Assets	878,871	865,706
Total Assets	$ 1,186,181	$ 1,180,301
Liabilities		
Current Liabilities		
Accounts payable	$ 16,354	$ 18,011
Deferred revenue and deposits (Note 8)	11,531	12,300
Accrued liabilities (Notes 7, 11, 13 and 14)	28,986	37,089
Funds held for others	1,644	1,380
Current portion of capital lease obligations (Note 7)	375	339
Current portion of bonds and notes payable (Note 7)	12,005	10,197
Total Current Liabilities	70,895	79,316
Noncurrent Liabilities		
Accrued liabilities (Notes 7, 11 and 13)	44,291	44,660
Funds held for others (Note 3)	18,640	16,829
Capital lease obligations (Note 7)	3,410	3,754
Bonds and notes payable, net (Note 7)	164,995	179,390
Government advances refundable (Note 9)	30,743	31,009
Total Noncurrent Liabilities	262,079	275,642
Total Liabilities	332,974	354,958
Net Position		
Net investment in capital assets (Note 10)	513,846	500,486
Restricted		
Nonexpendable (Note 10)	56,187	55,362
Expendable (Notes 3 and 10)	99,955	92,863
Unrestricted (Notes 3 and 10)	183,219	176,632
Commitments and contingencies (Notes 6, 7 and 11)	-	-
Total Net Position	853,207	825,343
Total Liabilities and Net Position	$ 1,186,181	$ 1,180,301

See accompanying notes to the basic financial statements.

Statements of Financial Position – Discretely Presented Component Unit
June 30, 2013 and 2012
($ in thousands)

	2013	Restated 2012
Assets		
Cash and cash equivalents	$ 85	$ 168
Other receivables	192	468
Promises to give, less allowance for uncollectible pledges of $50 for 2013 and 2012	514	482
Investments	179,523	165,215
Notes receivable	786	979
Property and equipment, net of accumulated depreciation of $140 and $101, respectively	90	138
Other assets	772	444
Irrevocable trusts	11,032	11,324
Assets managed for Buchanan Alumni House	300	319
Net funding to be provided from Buchanan Alumni House	165	192
Total Assets	$ 193,459	$ 179,729
Liabilities		
Accounts payable	$ 47	$ 41
Distributions due income beneficiaries	1,851	1,890
Accrued expenses	511	801
Notes payable	910	1,031
Custodial accounts payable	3,006	2,910
Total Liabilities	6,325	6,673
Net Assets		
Unrestricted net assets	6,704	4,492
Temporarily restricted net assets	46,033	37,140
Permanently restricted net assets	134,397	131,424
Total Net Assets	187,134	173,056
Total Liabilities and Net Assets	$ 193,459	$ 179,729

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See accompanying notes to the basic financial statements.

University Of Maine System
Statements of Revenues, Expenses and Changes in Net Position
Years Ended June 30, 2013 and 2012
($ in thousands)

	2013	2012
Operating Revenues		
Tuition and fees	$ 268,863	$ 266,043
Residence and dining fees	57,562	57,401
Less: scholarship allowances	(83,014)	(81,999)
Net student fees	243,411	241,445
Federal, state, and private grants and contracts	146,130	161,877
Recovery of indirect costs	14,989	16,130
Educational sales and services and other revenues	31,789	31,294
Other auxiliary enterprises	23,906	25,778
Total Operating Revenues	460,225	476,524
Operating Expenses		
Instruction	179,640	178,722
Research	68,775	73,026
Public service	60,396	63,622
Academic support	76,754	77,048
Student services	50,497	47,769
Institutional support	54,184	56,216
Operation and maintenance of plant	49,361	46,957
Depreciation and amortization	32,414	30,422
Student aid	28,122	28,291
Auxiliary enterprises	69,098	70,349
Total Operating Expenses	669,241	672,422
Operating Loss	(209,016)	(195,898)
Nonoperating Revenues (Expenses)		
Noncapital State of Maine appropriations	194,417	197,656
State Fiscal Stabilization Fund	-	62
Gifts currently expendable	11,020	12,448
Endowment return used for operations (Note 3)	5,015	4,862
Investment income (Note 3)	9,586	4,596
Interest expense, net (Note 7)	(7,240)	(8,032)
Net Nonoperating Revenues	212,798	211,592
Income Before Other Changes in Net Position	**3,782**	**15,694**
Other Changes in Net Position		
State of Maine capital appropriations	6,144	5,450
Capital grants and gifts	8,106	19,695
Endowment return (loss), net of amount used for operations (Note 3)	8,380	(6,419)
True and quasi endowment gifts	1,452	3,582
Loss on disposal of capital assets	-	(34)
Total Other Changes in Net Position	24,082	22,274
Change in Net Position	**27,864**	**37,968**
Net Position - Beginning of Year	825,343	787,375
Net Position - End of Year	$ 853,207	$ 825,343

See accompanying notes to the basic financial statements.

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total 2013	Restated Total 2012
Revenues, Gains, Losses, and Reclassification					
Contributions	$ 489	$ 4,717	$ 2,610	$ 7,816	$ 12,360
Investment income and other revenue	3,139	11,109	(207)	14,041	(5,326)
Net assets released from restrictions	6,363	(6,933)	570	-	-
Total Revenues, Gains, Losses, and Reclassification	9,991	8,893	2,973	21,857	7,034
Expenses and Losses					
Program services	6,259	-	-	6,259	7,925
Management and general	653	-	-	653	793
Fundraising	867	-	-	867	824
Total Expenses	7,779	-	-	7,779	9,542
Uncollectible promises to give	-	-	-	-	376
Total Expenses and Losses	7,779	-	-	7,779	9,918
Change in unrestricted net assets	2,212			2,212	(2,854)
Change in temporarily restricted net assets		8,893		8,893	(11,445)
Change in permanently restricted net assets			2,973	2,973	11,415
Total Change in Net Assets	**2,212**	**8,893**	**2,973**	**14,078**	**(2,884)**
Net Assets - Beginning of Year, Previously Reported					194,753
Prior Period Adjustment					(18,813)
Net Assets - Beginning of Year, Restated	4,492	37,140	131,424	173,056	175,940
Net Assets - End of Year	$ 6,704	$ 46,033	$ 134,397	$ 187,134	$ 173,056

See accompanying notes to the basic financial statements.

University Of Maine System
Statements of Cash Flows
Years Ended June 30, 2013 and 2012
($ in thousands)

	2013	2012
Cash Flows From Operating Activities		
Tuition, residence, dining, and other student fees	$ 241,836	$ 240,419
Grants and contracts	165,473	180,770
Educational sales and services and other auxiliary enterprise revenues	54,439	56,225
Payments to and on behalf of employees	(434,053)	(416,849)
Financial aid paid to students	(34,419)	(34,588)
Payments to suppliers	(176,182)	(178,677)
Loans issued to students	(6,712)	(6,738)
Collection of loans to students	5,482	5,754
Interest collected on loans to students	744	734
Net Cash Used for Operating Activities	(183,392)	(152,950)
Cash Flows From Noncapital Financing Activities		
State appropriations	194,417	197,656
State Fiscal Stabilization Program	-	62
Noncapital grants and gifts	14,021	16,337
Agency transactions	2,509	(2,512)
Net Cash Provided by Noncapital Financing Activities	210,947	211,543
Cash Flows From Capital and Related Financing Activities		
Proceeds from capital debt issuances and escrow restructurings	-	7,202
Capital appropriations	3,690	6,117
Capital grants and gifts	10,998	14,966
Proceeds from sale of capital assets	-	801
Acquisition and construction of capital assets	(35,583)	(47,276)
Issuance costs on capital debt	(220)	(170)
Principal paid on capital debt and leases	(10,351)	(10,723)
Interest paid on capital debt and leases	(8,274)	(9,251)
Net Cash Used for Capital and Related Financing Activities	(39,740)	(38,334)
Cash Flows From Investing Activities		
Proceeds from sales and maturities of investments	418,302	160,156
Purchases of investments	(411,762)	(189,308)
Earnings from investments	6,012	7,683
Net Cash Provided (Used) by Investing Activities	12,552	(21,469)
Net Increase (Decrease) in Cash and Cash Equivalents	367	(1,210)
Cash and cash equivalents - Beginning of Year	1,125	2,335
Cash and cash equivalents - End of Year	$ 1,492	$ 1,125

Reconciliation of operating loss to net cash used for operating activities:

	2013	2012
Operating loss	$ (209,016)	$ (195,898)
Adjustments to reconcile net operating loss to net cash used for operating activities:		
Depreciation and amortization	32,414	30,422
Changes in assets and liabilities:		
Accounts and grants receivable, net	3,820	3,214
Inventories and prepaid expenses	300	(378)
Notes receivable, net	(763)	(472)
Accounts payable	(1,669)	599
Deferred revenue and deposits	(639)	(1,410)
Accrued liabilities	(7,573)	11,335
Grants refundable	(266)	(362)
Net Cash Used for Operating Activities	$ (183,392)	$ (152,950)

Noncash investing, capital, and financing activities:

	2013	2012
Capital asset additions included in accounts payable and accrued liabilities as of June 30	$ 4,246	$ 3,914
Capital asset additions acquired through capital leases	$ -	$ 598
Capital asset additions acquired through long-term debt	$ 87	$ 76
Bond issuance costs financed with bond payable	$ 653	$ 401
Refunding of debt through new bond issuance	$ 72,030	$ 29,950
Liquidation of debt service reserve	$ 2,905	$ -

1. SIGNIFICANT ACCOUNTING POLICIES

a. <u>Organization</u>

The University of Maine System ("the System"), a discretely presented component unit of the State of Maine, consists of seven Universities, eight centers, and a central administrative office. All activities of the System are included in the accompanying financial statements, including those of its discretely presented component unit which is a not-for-profit entity controlled by a separate governing board whose goal is to support the System (see Note 15). The component unit receives funds primarily through donations and contributes funds to the System for student scholarships and institutional support.

b. <u>Basis of Presentation</u>

The accompanying financial statements of the System have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with U.S. generally accepted accounting principles, as prescribed by the Governmental Accounting Standards Board (GASB).

The System's policy for defining operating activities in the Statements of Revenues, Expenses, and Changes in Net Position are those that generally result from exchange transactions such as payments received for services and payments made for the purchase of goods and services and certain grants. Certain other transactions are reported as nonoperating activities in accordance with GASB Statement No. 35, *Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities.* These nonoperating activities include the System's operating appropriations from the State of Maine, net investment income, gifts, and interest expense.

In FY13, the System adopted GASB Statement No. 61, *The Financial Reporting Entity: Omnibus, an amendment of GASB Statements No. 14 and No. 34.* This Statement modifies certain requirements for inclusion of component units in the financial reporting entity. The adoption of Statement No. 61 is described further in Note 15.

In FY13, the System adopted GASB Statement No. 62, *Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 Financial Accounting Standard Board (FASB) and American Institute of Certified Public Accountants (AICPA) Pronouncements.* The objective of this Statement is to incorporate into the GASB's authoritative literature certain accounting and financial reporting guidance that is included in the following pronouncements issued on or before November 30, 1989, which does not conflict with or contradict GASB pronouncements:

- FASB Statements and Interpretations
- Accounting Principles Board Opinions
- Accounting Research Bulletins of the AICPA's Committee on Accounting Procedure

Pursuant to the provisions of Statement No. 62, the System has updated references in its financial statements issued for the years ended June 30, 2013 and 2012. The adoption of Statement No. 62 did not impact the System's financial position or results of operations.

In FY13, the System adopted GASB Statement No. 63, *Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*, retroactive to July 1, 2010. Pursuant to the provisions of Statement No. 63, the System has updated its financial statements to reflect the residual measure in the statement of net position as net position, rather than net assets. The adoption of Statement No. 63 did not impact the System's financial position or results of operations.

c. **Net Position**

The System's net position (assets minus liabilities) is classified for accounting purposes in the following four categories:

Net investment in capital assets: Capital assets, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets. It also includes the unamortized issuance costs and premiums/discounts related to the outstanding debt. This category excludes the portion of debt attributable to unspent bond proceeds.

Restricted – nonexpendable: Net position subject to externally imposed conditions that the System maintain them in perpetuity. In the event that market fluctuations have caused the fair value of an endowment to fall below corpus, the related net position is valued at the lower fair value amount. Such net position includes the historical gift value of restricted true endowment funds.

Restricted – expendable: Net position subject to externally imposed conditions that can be fulfilled by the actions of the System or by the passage of time. Such net position includes the accumulated net gains on true endowment funds, restricted gifts and income, and other similarly restricted funds.

Unrestricted: All other categories of net position. Unrestricted net position may be committed by actions of the System's Board of Trustees.

The System has adopted a policy of generally utilizing restricted – expendable resources, when available, prior to unrestricted resources.

d. **Cash and Cash Equivalents**

The System considers all highly liquid investments (including restricted assets) with a maturity of three months or less when purchased to be cash equivalents.

e. **Investments**

All investments are reported at fair value. University management is responsible for the fair measurement of investments reported in the financial statements. The System has implemented policies and procedures to assess the reasonableness of the fair values provided and believes that reported fair values at the statement of net position date are reasonable.

Third party investments: Three outside entities, the UMS Other Post Employment Benefit (OPEB) Trust, Maine Maritime Academy and University of Maine School of Law Foundation (joined in FY13), pool monies with the System's endowment pool. Investment performance results of these pooled monies are allocated on a pro rata basis based on the numbers of pool shares held by each entity. Contributions to and withdrawals from the pool are allowed only on the first business day of a calendar quarter. Investment of these monies follows guidelines approved by the Board of Trustees Investment Committee. These guidelines are further disclosed in the remainder of this Note and Note 3 to these financial statements as part of the discussion of endowments.

Endowment: The System follows the pooled investment concept for its endowed funds, whereby all invested funds are included in one pool, except for funds that are separately invested as directed by the donor. Investment income is allocated to each endowed fund in the pool based on its pro-rata share of the pool.

The income produced by the fund, including realized and unrealized gains, can be used to meet the spending objective. As determined by policy, the expendable income objective was 4.50% and 4.75% for FY13 and FY12, respectively. The percentage was applied to a 3-year market value average to determine expendable income.

Under State of Maine law, the System may spend realized and unrealized appreciation on endowments in addition to earnings on the funds. It is the System's policy to spend a portion of the endowment earnings on operations and reinvest the balance. The reinvested earnings are presented as other changes in net position.

Authorized Investment Vehicles:

Short-term Investments: The System has a three-tiered approach regarding its short-term investments:

- Cash Pool – This tier is invested in a portfolio of highest quality short-term fixed-income securities (treasury obligations, agency securities, banker's acceptances, money market funds, certificates of deposit (CDs), commercial paper, short-term bond funds) with adequate liquidity. The average rating of the pool is at least "A1".
- Intermediate Pool – This tier is invested in a diversified portfolio, in accordance with investment manager guidelines, consisting primarily of fixed income securities with a normal average duration 1-5 years. The overall average quality rating of this pool is at least "A-".
- Long-term Pool – This tier consists of funds that will not be required for at least 36 months. Assets should be diversified both by asset class and within asset classes. No minimum quality rating is specified for this pool, since it can invest in non-fixed income securities.

Endowment Investments: The fund will be diversified both by asset class and within asset classes. In order to have a reasonable probability of consistently achieving the Fund's return objectives, the following asset allocation policy has been adopted as of June 30:

	2013	2012
• Equity securities	35-55%	40-60%
• Fixed income securities	10-20%	10-20%
• Other	30-50%	30-40%
• Cash	0-10%	0-10%

Deposits with Bond Trustees: These monies are invested in accordance with the governing bond resolutions and arbitrage certificates.

f.   Inventories

Inventories are stated at cost. Cost is determined using the first-in, first-out method.

g. Gifts and Pledges

Gifts are recorded at their fair value at the date of gift. Promises to donate to the System are recorded as receivables and revenues when the System has met all applicable eligibility and time requirements. Gifts and bequests to be used for endowment purposes are categorized as endowment gifts. Other gifts are categorized as currently expendable. Since the System cannot fulfill the time requirement for gifts to endowments until the gift is received, pledges to endowments are not reported. Pledges receivable are reported net of amounts deemed uncollectible, and after discounting to the present value of the expected future cash flows. Because of uncertainties with regard to their realizability and valuation, bequests and intentions to give and other conditional promises are not recognized as assets until the specified conditions are met.

h. Grants and Contracts and Capital Appropriations

The System records a receivable and corresponding revenue for these funding sources at the point all eligibility requirements (e.g., allowable costs are incurred) are met.

i.   Capital Assets

Capital assets which include property, plant, equipment, intangible assets and library holdings are recorded at cost when purchased or constructed and at fair value at date of donation. Costs for maintenance, repairs and minor renewals and replacements are expensed as incurred; major renewals and replacements are capitalized.

Prior to July 1, 2003, library materials were generally capitalized and depreciated over a ten-year period. Effective July 1, 2003, the System began to expense library materials as incurred.   The System will retain the undepreciated library materials balance as a core non-depreciating asset.

The System does not capitalize and depreciate its collections of historical treasures and works of art because it is the System's policy that:

- Works of art and historical treasures are to be held for public exhibition, education, or research in furtherance of public service, rather than for financial gain.
- Works of art and historical treasures are to be protected, kept unencumbered, cared for, and preserved.
- The proceeds from sales of works of art and historical treasures are to be used to acquire other items for the collections.

A capitalization threshold of $50 is used for buildings, building additions and improvements, land improvements and internally generated intangibles. Equipment (including equipment acquired under capital leases) and purchased software are capitalized with a unit cost of $5 or more.

These assets, with the exception of land, are depreciated and amortized using the straight-line basis over the estimated useful lives of the related assets, which range from 4 to 60 years.

Interest costs on debt related to capital assets, net of investment income on unspent bond proceeds, are generally capitalized during the construction period.

j. Deferred Revenue and Deposits

Deferred revenue in the Statements of Net Position consists primarily of grant and contract advances and deposits and advance payments received for tuition and fees related to certain summer programs and tuition received for the following academic year. Deferred revenue for summer programs is presented net of related expenses (e.g., student aid).

k. Compensated Absences

Employees earn the right to be compensated during absences for annual vacation leave. The accompanying Statements of Net Position reflect an accrual for the amounts earned, including related benefits ultimately payable for such benefit. The System accounts for the vacation leave hours on a last-in, first-out basis. A portion of this liability is classified as current and represents the System's estimate of vacation time that will be paid during the next fiscal year to employees leaving the System.

l. Deferred Amounts on Refunding

Deferred amounts on refunding represent the difference between the reacquisition price and the carrying value of refunded revenue bonds. These amounts are amortized and charged to operations as additional interest expense over the shorter of the remaining life of the refunded bonds or the life of the new bonds. The unamortized portion is reported in the Statements of Net Position as a reduction of bonds payable.

m. Net Student Fees

Student tuition, dining, residence, and other fees are presented net of scholarships and fellowships applied to students' accounts. Certain other scholarship amounts are paid directly to, or refunded to, the student and are generally reflected as expenses.

n. Tax Status

The System is exempt from income taxes under Section 115 of the Internal Revenue Code as a governmental entity. It has also been recognized by the Internal Revenue Service as an organization described in Section 501(c)(3) of the Code.

o. Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the dates of the financial statements and the reported amounts of revenues and expenses during the reporting periods. The most significant estimates in the financial statements include liabilities for self-insured plans, pension and other retirement benefit obligations, as well as allowances for uncollectible receivables. Actual results could differ from those estimates. The current economic environment increases the uncertainty of those estimates.

2. CASH AND CASH EQUIVALENTS

Custodial credit risk is the risk that in the event of bank failure, the System's deposits may not be returned. Deposits are considered uninsured and uncollateralized if they are not covered by depository insurance and are (a) uncollateralized, (b) collateralized with securities held by the pledging financial institution, or (c) collateralized with securities held by the pledging financial institution's trust department or agent but not in the University's name. The System's policy is that with the exception of daily operating cash, it will carry no deposits that are uncollateralized or uninsured. As of June 30, 2013 and 2012, the bank balances with uninsured or uncollateralized operating cash deposits was $3,610 and $0, respectively.

3. INVESTMENTS

a. Composition and Purpose of Investments

The System uses a pooled investment approach for its endowments (including Affiliates' endowments invested with the System) unless otherwise required by the donor. Three outside entities, the UMS Other Post Employment Benefit (OPEB) Trust, Maine Maritime Academy and the University of Maine School of Law Foundation, pool monies with the System's endowment. Investment policies and strategies are determined for the combined pool. Fair values, credit ratings, and interest rate risk for the entire investment pool are presented below under 'endowment' investments. The amount held for these three outside entities is then deducted to show only the amount of the System's endowment investment.

Short-term Investments: The System's short-term investments are available to fund operations or other purposes as determined by System management.

Endowment Investments: Except for certain gifts invested separately at the request of the donors ($180 and $145 at June 30, 2013 and 2012, respectively), the System's endowment is managed as a pooled investment fund using external investment managers. The   University

of Maine at Fort Kent Foundation, the University of Southern Maine Foundation, and the John L. Martin Scholarship Fund, Inc. participate in the System's endowment pool through a management agreement. The fair values of the investments held for these affiliated organizations at June 30, 2013 and 2012, respectively are $18,640 and $16,829, and are reported as funds held for others in the accompanying Statements of Net Position.

Endowed gifts are invested to generate income to be used to fund various activities such as scholarships, research, etc. as specified by the donors. Total endowment accumulated income and gains available to the System for spending are as follows at June 30:

	2013	2012
Restricted - expendable	$43,824	$36,750
Unrestricted	13,753	11,822
Total available for spending	$57,577	$48,572

Deposits with Bond Trustees: Deposits with bond trustees are composed of debt service reserves required by bond covenants and unexpended revenue bond proceeds.

The System's investments are composed of the following at June 30, 2013:

	Fair Value	Credit Rating	Interest Rate Risk	
Short-term Investments:				
Equities:				
Multi-strategy funds	$ 69,080			
Fixed Income Funds:				
Bank loans	22,606	Not rated	.1 years	Duration
Bonds	118,886	Not rated	.61 - 5.5 years	Duration
Money markets	12,390	Not rated	43-47 days	Ave maturity
State pool	21,371	Not rated	.67 years	Duration
Total	$ 244,333			
Deposits with Bond Trustees:				
Fixed Income Funds:				
Bonds	$ 190	Aaa-Moody's	53 days	Ave maturity
Money markets	6,172	Not rated	43-47 days	Ave maturity
State pool	4	Not rated	.67 years	Duration
Total	$ 6,366			
Endowment Investments:				
Pooled Investments:				
Money funds, savings, CDs	$ 563			
Equities:				
Equities	40,048			
Equity funds	85,111			
Multi-strategy funds	86,387			
Fixed Income Funds:				
Money markets	706	Not rated	50 days	Ave maturity
Bonds	21,343	Not rated	4.3 years	Duration
Total Pooled Investments	234,158			
Less portion held on behalf of outside entities	(101,648)			
Endowment portion of pooled investments	132,510			
Separately Invested Assets:				
Money funds, savings, CDs	68			
Equities	112			
Total	$ 132,690			

The System's investments are composed of the following at June 30, 2012:

	Fair Value	Credit Rating	Interest Rate Risk	
Short-term Investments:				
Equities:				
Multi-strategy funds	$ 53,988			
Fixed Income Funds:				
Bank loans	18,545	Not rated	.1 years	Duration
Bonds	124,033	Not rated	-.07 - 5.1 years	Duration
Money markets	5,853	Not rated	39-42 days	Ave maturity
State pool	41,993	Not rated	.64 years	Duration
Total	$ 244,412			
Deposits with Bond Trustees:				
Guaranteed investment contracts	$ 2,870	Not rated		
Money funds, savings, CDs	119			
Fixed Income Funds:				
Bonds	190	Aaa-Moody's	52 days	Ave maturity
Money markets	6,990	Not rated	39 days	Ave maturity
State pool	22	Not rated	.64 years	Duration
Total	$ 10,191			
Endowment Investments:				
Pooled Investments:				
Money funds, savings, CDs	$ 2			
Equities:				
Equities	42,075			
Equity funds	67,528			
Multi-strategy funds	60,868			
Fixed Income Funds:				
Money markets	151	Not rated	41 days	Ave maturity
Bonds	20,651	Not rated	3.7 years	Duration
Total Pooled Investments	191,275			
Less portion held on behalf of outside entities	(70,343)			
Endowment portion of pooled investments	120,932			
Separately Invested Assets:				
Money funds, savings, CDs	68			
Equities	77			
Total	$ 121,077			

b. <u>**Interest Rate Risk**</u>

Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. The System's policy for managing interest rate risk is as follows:

Short-term Investments: To limit interest rate exposure, the System diversifies its investments as specified in Note 1.e.

Endowment Investments: To limit interest rate exposure, the Endowment investment policy restricts:

- The average effective duration of the investment grade fixed income portfolio to no more than 1 year greater than the duration of the Barclays Capital Aggregate Bond Index which is 5.28 years and 4.88 years at June 30, 2013 and 2012, respectively
- The average effective duration for the high yield bond portfolio to no more than 1 year greater than the duration of the Citigroup BB/B Bond Index which is 6.7 years and 6.6 years at June 30, 2013 and 2012, respectively

c. <u>**Foreign Currency Risk**</u>

Short-term Investments: Several of the institutional funds in which the System invests include holdings in various foreign currencies, with some funds hedging against foreign currency risk. Foreign currency holdings represent 3% or less of the total dollar value of short-term investments at June 30, 2013 and 2012.

Endowment Investments: University policy is that up to 20% of the endowment portfolio may be invested in international equity assets and currency exposure may be hedged or unhedged. Additionally, 15% may be invested in a diversified global asset portfolio, which may be hedged or unhedged at the investment manager's discretion.

d. **Investment Income**

Income (loss) related to the System's investments is as follows:

	2013							
	Net Gains (Losses)		Interest and Dividends		Investment Fees		Net Earnings	
Endowment investments	$	12,406	$	2,263	$	(1,136)	$	13,533
Managed funds distributed								(138)
University endowment income							$	13,395
Reported as endowment return used for operations							$	5,015
Reported as endowment gain, net of amount used for operations								8,380
Net income from endowment investments							$	13,395
Short-term investments	$	4,672	$	6,041	$	(1,265)	$	9,448
Deposits with bond trustees		-		138		-		138
Total other investment income	$	4,672	$	6,179	$	(1,265)	$	9,586

	2012							
	Net Gains (Losses)		Interest and Dividends		Investment Fees		Net Earnings	
Endowment investments	$	(4,022)	$	2,068	$	(1,078)	$	(3,032)
Managed funds distributed								1,475
University endowment loss							$	(1,557)
Reported as endowment return used for operations							$	4,862
Reported as endowment loss, net of amount used for operations								(6,419)
Net loss from endowment investments							$	(1,557)
Short-term investments	$	(791)	$	6,530	$	(1,313)	$	4,426
Deposits with bond trustees		-		170		-		170
Total other investment income	$	(791)	$	6,700	$	(1,313)	$	4,596

4. ACCOUNTS, GRANTS, AND PLEDGES RECEIVABLE

Accounts, grants, and pledges receivable include the following at June 30:

	2013			2012		
	Total	Current Portion	Noncurrent Portion	Total	Current Portion	Noncurrent Portion
Student and other accounts receivable	$ 34,368	$ 34,367	$ 1	$ 33,385	$ 33,314	$ 71
Grants receivable	30,223	26,545	3,678	35,375	34,016	1,359
Pledges receivable	7,732	1,192	6,540	9,721	1,528	8,193
Total gross receivables	72,323	62,104	10,219	78,481	68,858	9,623
Less allowance for doubtful accounts	(5,598)	(5,488)	(110)	(5,123)	(4,969)	(154)
Less discount on pledges receivable	(171)	-	(171)	(151)	-	(151)
Total receivables, net	$ 66,554	$ 56,616	$ 9,938	$ 73,207	$ 63,889	$ 9,318

In accordance with GASB Statement No. 35, grants receivable related to the acquisition of capital assets are reported as a noncurrent receivable even though collection is expected within the next twelve months.

5. NOTES AND LEASES RECEIVABLE

Notes and leases receivable include the following at June 30:

	2013			2012		
	Total	Current Portion	Noncurrent Portion	Total	Current Portion	Noncurrent Portion
Perkins Loans	$ 30,593	$ -	$ 30,593	$ 30,249	$ -	$ 30,249
Nursing Loans	1,743	-	1,743	1,661	-	1,661
Institutional Loans	8,183	-	8,183	7,816	-	7,816
Lease receivable **(a)**	1,001	63	938	1,063	63	1,000
Total notes and leases receivable	41,520	63	41,457	40,789	63	40,726
Less allowance for doubtful accounts	(1,413)	-	(1,413)	(1,382)	-	(1,382)
Total notes and leases receivable, net	$ 40,107	$ 63	$ 40,044	$ 39,407	$ 63	$ 39,344

Collections of the notes receivable for Perkins, Nursing, and Institutional loans may not be used to pay current liabilities, as the proceeds are restricted for making new loans. Accordingly, these notes receivable are recorded in the accompanying Statements of Net Position as noncurrent assets.

(a) Lease receivable consists of the following:

	2013	2012
<u>University of New Hampshire</u>		
Secured by equipment; monthly payments of $5,		
including interest at 4.85% per annum; matures 2029	$ 1,001	$ 1,063

6. CAPITAL ASSETS

Capital asset activity for the year ended June 30, 2013 is as follows:

	Beginning Balance	Additions	Reclasses	Retirements	Ending Balance
Land	$ 17,460	$ 167	$ 74	$ -	$ 17,701
Library materials	25,686	-	-	-	25,686
Construction in progress	21,784	31,966	(32,155)	-	21,595
Total nondepreciable assets	64,930	32,133	(32,081)	-	64,982
Land improvements	47,106	-	1,409	-	48,515
Buildings & improvements	777,051	-	21,829	-	798,880
Equipment	96,700	4,308	8,843	-	109,851
Software	25,995	78	-	-	26,073
Total depreciable assets	946,852	4,386	32,081	-	983,319
Less accumulated depreciation:					
Land improvements	28,073	1,658	-	-	29,731
Buildings & improvements	241,669	18,969	-	-	260,638
Equipment	47,370	9,428	-	-	56,798
Software	10,946	2,199	-	-	13,145
Total accumulated depreciation	328,058	32,254	-	-	360,312
Net depreciable assets	618,794	(27,868)	32,081	-	623,007
Total capital assets	$ 683,724	$ 4,265	$ -	$ -	$ 687,989

Capital asset activity for the year ended June 30, 2012 is as follows:

	Beginning Balance	Additions	Reclasses	Retirements	Ending Balance
Land	$ 17,229	$ -	$ 231	$ -	$ 17,460
Library materials	25,686	-	-	-	25,686
Construction in progress	21,943	39,670	(39,829)	-	21,784
Total nondepreciable assets	64,858	39,670	(39,598)	-	64,930
Land improvements	44,059	-	3,047	-	47,106
Buildings & improvements	746,234	-	33,292	(2,475)	777,051
Equipment	89,381	6,599	3,214	(2,494)	96,700
Software	26,420	232	45	(702)	25,995
Total depreciable assets	906,094	6,831	39,598	(5,671)	946,852
Less accumulated depreciation:					
Land improvements	26,536	1,537	-	-	28,073
Buildings & improvements	225,735	17,632	-	(1,698)	241,669
Equipment	40,891	8,913	-	(2,434)	47,370
Software	9,428	2,220	-	(702)	10,946
Total accumulated depreciation	302,590	30,302	-	(4,834)	328,058
Net depreciable assets	603,504	(23,471)	39,598	(837)	618,794
Total capital assets	$ 668,362	$ 16,199	$ -	$ (837)	$ 683,724

Additions to capital assets for the years ended June 30, 2013 and 2012 include the following:

- Assets acquired through capital leases of $0 and $598, respectively
- Capitalized interest costs of $95 and $120, respectively, less $5 of interest earnings on unexpended bond proceeds

As of June 30, 2013 and 2012, $6,176 and $7,013, respectively, in proceeds from revenue bond issuances remain unspent. These amounts are included in the accompanying Statements of Net Position as part of deposits with bond trustees.

Also remaining unspent as of June 30, 2013 is $8,528 in capital appropriations awarded by the State of Maine. These amounts are not included in the accompanying financial statements because the System has not met all eligibility requirements, e.g., incurred costs.

Both the revenue bond and capital appropriation monies are earmarked for specific projects, most of which are capital construction projects. As monies are spent on these projects the costs are included in capital assets in the accompanying Statements of Net Position.

Outstanding commitments on uncompleted construction contracts totaled $24,212 and $14,619 at June 30, 2013 and 2012, respectively.

7. LONG-TERM LIABILITIES

Changes in long-term liabilities during the year ended June 30, 2013 consist of the following:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Leases and bonds payable:					
Capital lease obligations **(a)**	$ 4,093	$ -	$ (308)	$ 3,785	$ 375
Bonds and notes payable **(b)**	189,587	69,837	(82,424)	177,000	12,005
Total leases and bonds payable	193,680	69,837	(82,732)	180,785	12,380
Accrued liabilities:					
Workers' compensation - Note 11	5,744	-	(1,363)	4,381	1,380
Health insurance - Note 11	8,531	61,396	(63,673)	6,254	6,254
Postemployment health plan - Note 14	7,017	16,327	(20,835)	2,509	2,509
Other employee benefit programs - Note 13	43,765	56,197	(54,966)	44,996	4,264
Other	16,692	14,147	(15,702)	15,137	14,579
Total accrued liabilities	81,749	148,067	(156,539)	73,277	28,986
Total long-term liabilities	$ 275,429	$ 217,904	$ (239,271)	$ 254,062	$ 41,366

Changes in long-term liabilities during the year ended June 30, 2012 consist of the following:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Leases and bonds payable:					
Capital lease obligations **(a)**	$ 4,600	$ 598	$ (1,105)	$ 4,093	$ 339
Bonds and notes payable **(b)**	191,966	37,553	(39,932)	189,587	10,197
Total leases and bonds payable	196,566	38,151	(41,037)	193,680	10,536
Accrued liabilities:					
Workers' compensation - Note 11	5,904	1,246	(1,406)	5,744	1,519
Health insurance - Note 11	4,212	57,750	(53,431)	8,531	8,531
Postemployment health plan - Note 14	3,338	15,262	(11,583)	7,017	7,017
Other employee benefit programs - Note 13	41,396	55,881	(53,512)	43,765	4,384
Other	17,394	15,451	(16,153)	16,692	15,638
Total accrued liabilities	72,244	145,590	(136,085)	81,749	37,089
Total long-term liabilities	$ 268,810	$ 183,741	$ (177,122)	$ 275,429	$ 47,625

(a) Lease Obligations

The System leases certain equipment and real estate under leases with terms exceeding one year. Future minimum lease payments under capital leases and under non-cancelable operating leases (with initial or remaining lease terms in excess of one year) as of June 30, 2013 are as follows:

| Year Ending June 30: | Capital Leases | | Operating Leases | Total |
	Principal	Interest		
2014	$ 375	$ 163	$ 1,516	$ 2,054
2015	345	144	853	1,342
2016	395	130	547	1,072
2017	338	113	279	730
2018	274	101	274	649
2019-2023	920	344	1,330	2,594
2024-2028	967	155	1,294	2,416
2029-2033	171	9	732	912
Total minimum lease payments	$ 3,785	$ 1,159	$ 6,825	$ 11,769

The rent expense related to operating leases amounted to $1,588 for the year ended June 30, 2013 and $1,576 for the year ended June 30, 2012.

(b) <u>Bonds and Notes Payable</u>

Bonds and notes payable consist of the following at June 30:

	2013	2012
2013 Series A Revenue Bonds (original principal of $65,255)		
Serial bonds, maturing from 2014 to 2033, wth annual principal payments from $1,275 to $4,425 and coupon interest rates from 2.0% to 5.0%. Issued to refund 2000A, 2003A, 2004A, and 2005A Series Revenue bonds.	$ 60,260	$ -
3.5% Term Bonds due March 1, 2034	2,455	-
3.5% Term Bonds due March 1, 2035	2,540	-
Add: unamortized premium	9,433	-
Less: unamortized deferred amount on refunding of 2000A, 2003A, 2004A, and 2005A bonds	(4,792)	-
Total 2013 Series A Bonds	69,896	-
2012 Series A Revenue Bonds (original principal of $34,975)		
Serial bonds, maturing from 2013 to 2028, and 2031, wth annual principal payments from $1,070 to $2,540 and coupon interest rates from 2.0% to 4.0%. Issued to refund balloon on the 2002A Series Revenue bonds and to provide funding for a capital project.	27,695	29,815
3.0% Term Bonds due March 1, 2030	2,540	2,540
3.0% Term Bonds due March 1, 2033	2,620	2,620
Add: unamortized premium	2,079	2,448
Total 2012 Series A Bonds	34,934	37,423
2007 Series A Revenue Bonds (original principal of $46,740)		
Serial bonds, maturing from 2008 to 2037, with annual principal payments from $195 to $3,380 and coupon interest rates from 4.0% to 5.0%. Issued to partially refund the 1998A and 2004A Series Revenue Bonds and to provide funding for capital projects.	42,655	43,505
Add: unamortized premium	551	596
Total 2007 Series A Bonds	43,206	44,101
2005 Series A Revenue Bonds (original principal of $69,125)		
Serial bonds, maturing from 2006 to 2035, with annual principal payments from $75 to $3,455 and coupon interest rates from 3.5% to 5.0%. Issued to partially refund the 1998A, 2000A, 2002A, and 2003A Series Revenue Bonds and to provide funding for capital projects.	12,100	61,980
Add: unamortized premium	105	335
Less: unamortized deferred amount on refunding of 1998A, 2000A, 2002A, and 2003A bonds	(272)	(290)
Total 2005 Series A Bonds	11,933	62,025

	2013	2012
2004 Series A Revenue Bonds (original principal of $43,270)		
Serial bonds, maturing from 2005 to 2029, with annual principal payments from $335 to $5,080 and coupon interest rates from 2.0% to 5.0%. Issued to partially refund the 1998A and 2000A Series Revenue Bonds and to provide funding for capital projects.	$ 9,960	$ 27,125
4.25% Term Bonds, due March 1, 2034	6,410	6,410
Add: unamortized premium	230	533
Total 2004 Series A Bonds	16,600	34,068
2003 Series A Revenue Bonds (original principal of $19,970)		
Serial bonds, maturing from 2004 to 2032, with annual principal payments from $145 to $1,610 and coupon interest rates from 3.0% to 4.75%. Issued to refund the 1993A and 1993B Series Revenue Bonds.	-	9,560
Add: unamortized premium	-	95
Less: unamortized deferred redemption fee on 1993 bonds	-	(129)
Total 2003 Series A Bonds	-	9,526
2000 Series A Revenue Bonds (original principal of $41,725)		
Serial Bonds, maturing from 2001 to 2015, with annual principal payments from $1,490 to $4,465 and coupon interest rates from 4.5% to 5.75%.	-	1,985
Add: unamortized premium	-	7
Total 2000 Series A Bonds	-	1,992
University of Maine Foundation		
Note payable, drawn against $300 line of credit, unsecured, semi-annual payments of $3, including interest at 3.67%, matures 2013	3	8
Note payable, secured by equipment, matures 2019, with annual payments of $75, including interest at 3.94%.	371	444
State of Maine Department of Defense, Veterans and Emergency Management		
Note payable, matures 2015, secured by real estate, with annual payments of $30, including imputed interest of 2.9%.	57	-
Total bonds and notes payable, net	$ 177,000	$ 189,587
Total par value of outstanding bonds and notes payable	$ 169,666	$ 185,992
Total unamortized premiums, discounts, and deferred amounts on refunding	7,334	3,595
Total bonds and notes payable, net	$ 177,000	$ 189,587

Costs associated with the issuance of revenue bonds have been reported in the accompanying Statements of Net Position as bond issuance costs, net and are being amortized over the life of the related bond issuance as part of depreciation and amortization expense. Premiums, discounts, and deferred amounts on refunding are also being amortized over the life of the respective bond issuances as part of interest expense using the effective interest method.

Principal and interest payments on bonds and notes payable for the next five years and in subsequent five-year periods are as follows at June 30, 2013:

Year Ending June 30:	Principal	Interest	Total
2014	$ 10,520	$ 6,677	$ 17,197
2015	12,023	6,907	18,930
2016	8,214	6,361	14,575
2017	8,529	5,986	14,515
2018	8,970	5,595	14,565
2019-2023	41,990	22,035	64,025
2024-2028	35,750	13,144	48,894
2029-2033	35,175	5,694	40,869
2034-2038	8,495	576	9,071
	$ 169,666	$ 72,975	$ 242,641

Interest costs related to the revenue bonds for FY13 and FY12 were $7,164 and $7,881, respectively.

Refunding of Debt – FY13

On May 23, 2013, the System issued $65,255 of 2013 Series A Revenue Bonds to currently refund $10,760 of 2003 and 2000 Series A Revenue Bonds and to advance refund a total of $61,270 of 2005 and 2004 Series A Revenue Bonds. The System completed the refunding to reduce its total debt service payments over the following twenty-two years by $10,477 and to obtain economic gain (difference between the present values of the old and new debt service payments) of $7,547. The principal amount of debt refunded through in-substance defeasance was $72,030. The amount still outstanding at June 30, 2013 was $61,270.

Refunding bond proceeds of $76,962 were placed in an escrow account to pay the interest due on the refunded bonds and to retire the bonds on their respective maturity dates which range from FY13 to FY15. The escrow is invested to yield enough earnings to pay required future payments, which are $66,268 as of June 30, 2013.

The FY13 refunding resulted in a deferred amount of refunding of $4,809 which represents the difference between the reacquisition price and the carrying value of the refunded bonds. Amortization of this deferred amount on refunding will be charged to operations as additional interest expense through the year FY35. The unamortized portion of the deferred amount on refunding, which is $4,792 as of June 30, 2013, is reported in the accompanying Statements of Net Position as a reduction of the 2013 Series A Revenue Bonds.

Refunding of Debt – FY12

On February 23, 2012, the System issued 2012 Series A Revenue Bonds to currently refund a $29,950 balloon payment for the 2002 Series A Revenue Bonds and to fund a new capital project. Refunding proceeds were temporarily placed into an escrow account and were used to retire the 2002 bonds on March 1, 2012.

8. **UNEXPENDED GRANTS**

Generally, grants and contracts awarded to the System, but for which it has not fulfilled the eligibility requirements (e.g., incur allowable costs) are not included in the System's financial statements. The total of such awards as of June 30, 2013 and 2012 was $40,477 and $50,549, respectively.

In certain circumstances, however, the System receives cash in advance of fulfilling its obligations. In such situations the System reports the cash as an asset and reports an offsetting deferred revenue liability in the Statements of Net Position. The System's outstanding advances as of June 30, 2013 and 2012 totaled $4,183 and $4,164, respectively.

9. **GOVERNMENT ADVANCES REFUNDABLE**

The System participates in the Federal Perkins Loan and Nursing Loan Programs. These programs are funded through a combination of Federal and Institutional resources. The portion of these programs that has been funded with Federal funds is ultimately refundable to the U.S. Government upon the termination of the System's participation in the programs. The portion that would be refundable if the programs were terminated as of June 30, 2013 and 2012 has been included in the accompanying Statements of Net Position as a noncurrent liability.

10. NET POSITION

The System's net position is composed of the following as of June 30:

	2013	2012
Net investment in capital assets	$ 513,846	$ 500,486
Restricted - Nonexpendable:		
Endowment funds	56,187	55,362
Restricted - Expendable:		
Student financial aid	36,927	30,170
Capital assets and retirement of debt	10,589	12,865
Loans	14,153	13,830
Academic support	11,074	10,732
Research and public service	7,290	6,811
Library	2,569	2,384
Other	17,353	16,071
Total restricted - expendable	99,955	92,863
Unrestricted:		
Educational and general reserves	56,150	54,528
Risk management	3,088	2,887
Budget stabilization	15,000	10,000
Auxiliary enterprises	15,164	15,262
Benefit pool carryover	20,511	17,593
Information technology initiatives	3,585	3,533
Internally designated projects	15,924	17,023
Facility projects	35,700	40,402
Endowment earnings	13,753	11,820
Cost sharing and other	4,344	3,584
Total unrestricted	183,219	176,632
Total net position	$ 853,207	$ 825,343

11. COMMITMENTS AND CONTINGENCIES

a. Grant Program Involvement

The System participates in a number of federal programs subject to financial and compliance audits. The amount of expenditures that may be disallowed by the granting agencies cannot be determined at this time, although the System does not expect these amounts, if any, to be material to the financial statements.

b. Risk Management – Insurance Programs

The System is exposed to various risks of loss related to torts; thefts of, damage to and destruction of assets; errors and omissions; injuries; environmental pollution and natural disasters. The System manages these risks through a combination of commercial insurance policies purchased in the name of the System, a self-insurance program for workers' compensation claims, and a retention program for physical damage to vehicles and mobile equipment.

The System's annual retention obligation for general liability is capped at $400, plus a $5 per claim deductible once the retention obligation is met. Educator's legal liability risks are subject to a $150 per loss retention with no annual cap. The System's estimate of the amount payable under these retention levels has been included in the accompanying Statements of Net Position as part of current accrued liabilities. As of June 30, 2013 and 2012 certain legal claims existed for which the probability or amount of payment could not be determined. The System, however, does not expect these amounts, if any, to be material to the financial statements.

It is the policy of the System not to purchase primary commercial insurance for the risk of loss related to workers' compensation. Instead, the System's management believes it is more economical to manage its risk internally and to set aside assets for claims settlement. The liability for unpaid claims is based on the requirements of GASB Statement No. 10, *Accounting and Financial Reporting for Risk Financing and Related Insurance Issues,* which requires that a liability for claims be reported if information prior to the issuance of the financial statements indicates that it is probable that a liability has been incurred at the date of the financial statements and the amount of the loss can be reasonably estimated. The System's estimated liability at June 30, 2013 and 2012 of $4,381 and $5,744, respectively, for workers' compensation claims is included in accrued liabilities in the accompanying Statements of Net Position (see Note 7). The System purchases commercial specific and aggregate excess workers' compensation insurance which limits the exposure for any one incident to $1,000 and provides coverage in the event that total claims exceed expectations.

The System's active employee and under age 65 retiree health plans are self-funded with an Administrative Services Only (ASO) agreement with a commercial carrier. The System's Medicare eligible retiree health plan is a fully insured Medicare Advantage Private Fee for Service program with a commercial carrier. Both contracts are in effect from January 1 through December 31, 2013. As of June 30, 2013 and 2012, the estimated liability for claims incurred but not reported is included in total health insurance accrued liabilities in the accompanying Statements of Net Position (see Note 7). The System purchases stop-loss insurance which limits the exposure to $1,000 per individual.

The System's health insurance liability for the years ended June 30 consists of the following:

	2013	2012
Claims incurred but not reported	$ 5,251	$ 6,884
Reported claims	1,003	1,647
Total health insurance liability - Note 7	$ 6,254	$ 8,531

The System continues to carry commercial insurance for all other risks of loss. Settled claims resulting from these risks have not exceeded commercial insurance coverage in any of the past three fiscal years.

12. PASS THROUGH GRANTS

During FY13 and FY12, the System distributed $149,486 and $155,525, respectively, for student loans through the U.S. Department of Education Federal Direct Lending Program. These distributions and related funding sources are not included as expenses and revenues or as cash disbursements and cash receipts in the accompanying financial statements.

13. PENSION PLANS

The System has several single-employer pension plans, each of which is described in more detail below. The System's pension expense for each of these plans was as follows for the years ended June 30:

	2013	2012
Faculty and Professional Employees:		
Contributory Retirement Plan	$ 19,806	$ 19,896
Incentive Plan	2,467	2,519
Hourly Employees:		
Basic Retirement Plan	3,611	3,568
Defined Benefit Plan	305	328
Total net pension expense	$ 26,189	$ 26,311

Faculty and Professional Employee Plans

Contributory Retirement Plan

Eligible salaried employees participate in the University of Maine System Retirement Plan for Faculty and Professional Employees (Contributory Plan), a defined contribution retirement plan administered by the Teachers Insurance and Annuity Association/College Retirement Equities Fund (TIAA-CREF). The Board of Trustees and collective bargaining agreements establish mandatory employee and employer contribution rates.

All full-time employees are eligible once employment begins. Part-time employees are eligible upon achieving the equivalent of five years of continuous, full-time, regular service. All eligible employees are required to participate when they reach thirty years of age. The System contributes an amount equal to 10% of each participant's base salary, and each participant contributes 4% of base salary. The System implemented a five year vesting schedule for the employer matching contribution for certain salaried employees hired on or after January 1, 2010.

Employees hired before January 1, 2010 were fully and immediately vested in the employer matching contribution. All participant contributions are fully and immediately vested. Participants may direct up to 100% of existing accumulations and/or future contributions to selected investment vehicles outside of TIAA-CREF. Upon separation from the System, participants may withdraw up to 100% of their vested account balances, or transfer funds to other investment alternatives subject to Internal Revenue Service limitations and the contractual provisions of the Contributory Plan.

Employee contributions made to the Contributory Plan were $7,918 in FY13 and $7,996 in FY12.

Incentive Retirement Plan

The Incentive Retirement Plan is a single employer plan administered by the University of Maine System. The Plan does not issue standalone financial statements.

Represented faculty who were employed before July 1, 1996 and other professional employees who were employed before July 1, 2006, participate in the University of Maine System Incentive Retirement Plan (Incentive Plan), a defined benefit plan, which was established on July 1, 1975. The Board of Trustees has authority to establish and amend provisions under the Incentive Plan subject to collective bargaining.

The Incentive Plan provides that eligible retiring employees with at least 10 years of continuous regular service immediately prior to retirement will receive a benefit equivalent to 1½% times their completed years of service times their final annual base salary (up to a maximum of 27 years). This amount is to be paid as a lump-sum contribution to the participant's retirement account. Employees do not make contributions under the Incentive Plan. Employees enrolled in the Contributory Plan may elect to retire at any age after 55.

The Incentive Plan, which is funded on a termination basis (i.e., when costs become due and payable), holds no assets. An actuarial valuation, utilizing the projected unit credit actuarial cost method and 30-year declining-open period, level dollar amortization, was performed as of July 1, 2013. Interest was assumed to compound at an annual rate of 4.25% and salaries were assumed to increase at an annual rate of 3.5%. The mortality assumptions as prescribed under §430(h)(3)(A) of the Internal Revenue Code using 2013 static tables, with separate mortality rates for annuitants and nonannuitants, was utilized for all participants.

As of July 1, 2013, the most recent actuarial valuation, the actuarial accrued liability for benefits was $28,900 and the actuarial value of assets was $0 resulting in an unfunded actuarial accrued liability (UAAL) of $28,900 which results in a funded ratio of 0%. The covered payroll (annual payroll of active employees covered by the plan) was $109,224 and the ratio of the UAAL to the covered payroll was 26.5%.

The net pension obligation (NPO), as shown on page 54, represents the cumulative difference between annual pension cost and employer contributions to the plan. The NPO is included in the accompanying Statements of Net Position in noncurrent accrued liabilities (see other employee benefit programs in Note 7). Three-year trend information through June 30, 2013, including changes in the NPO, was as follows:

Fiscal Year Ended June 30	(a) Annual Required Contribution (ARC)	(b) Interest on NPO	(c) ARC Adjustment	(d) (a)+(b)-(c) Annual Pension Cost (APC)	(e) Employer Contributions Made	(f) (e)/(d) Percentage of APC Contributed	(g) (d)-(e) Change in NPO	Ending NPO Balance
2013	$ 3,387	$ 1,089	$ 2,009	$ 2,467	$ 1,730	70%	$ 737	$22,510
2012	$ 3,387	$ 1,027	$ 1,895	$ 2,519	$ 1,294	51%	$ 1,225	$21,773
2011	$ 3,235	$ 1,129	$ 1,779	$ 2,585	$ 1,666	64%	$ 919	$20,548

Hourly Employees

Basic Retirement Plan

The Basic Retirement Plan is a single employer plan administered by the University of Maine System. The Plan does not issue standalone financial statements. The Defined Contribution Program of the Basic Retirement Plan for Classified Employees (Basic Plan) was created on July 1, 1998 in accordance with Section 403(b) of the Internal Revenue Code. Hourly employees hired July 1, 1998 or later participate in the Basic Plan.

Eligible employees who were hired before July 1, 1998 and aged 50 or older on June 30, 1998 could elect to roll over to the Basic Plan the value of their accrued benefit in the Defined Benefit Retirement Plan for Classified Staff (Defined Benefit Plan, as described further below) or remain in the Defined Benefit Plan. Most eligible employees who were younger than age 50 as of June 30, 1998 chose to roll over the value of their accrued benefit to the Basic Plan.

Full-time employees are eligible to participate in the Basic Plan once employment begins. Part-time employees are eligible once they have achieved the equivalent of five years of continuous, full-time regular service. Participants may direct up to 100% of existing accumulations and/or future contributions to selected investment vehicles outside of TIAA-CREF.

Employees hired prior to July 1, 1998 and who have more than five years of completed service may voluntarily contribute up to 4% of base pay and receive a 100% match from the System. Employees hired July 1, 1998 or later are required to contribute 1% and may contribute up to 4% of base pay to the Basic Plan. Contributions are matched 100% by the System. In addition, if these employees have four or more years of completed service and do not participate in the Defined Benefit Plan, they automatically receive System contributions equal to 6% of their base pay.

The System implemented a four year vesting schedule for the employer matching contribution for classified employees hired on or after January 1, 2010 and, on January 1, 2013, implemented a five year vesting schedule. Employees hired before January 1, 2010 were fully and immediately vested in the employer matching contribution. All participant contributions are fully and immediately vested.

Upon separation from the System, participants may withdraw up to 100% of their vested account balances, or transfer funds to other investment alternatives subject to Internal Revenue Service limitations and the contractual provisions of the Basic Plan.

Employee contributions made to the Basic Plan were $1,487 in FY13 and $1,479 in FY12.

Defined Benefit Plan

The Defined Benefit Plan is a single employer plan administered by the University of Maine System. The Plan does not issue standalone financial statements. The Defined Benefit Plan is maintained for eligible employees who chose not to join the Basic Plan. Normal retirement benefits are paid to participants who attain age 65 and retire. The monthly retirement benefit is based on a formula specified by policy in collective bargaining agreements.

Early retirement benefits are paid to participants who retire upon the attainment of age 55 and who have completed five years of continuous service. The benefit is computed in accordance with the normal retirement benefit, but is reduced by an actuarial factor because benefits will be paid over a longer period of time. No reduction is made if an employee retires after attaining 62 years of age with 25 or more years of service. Participants are also eligible for disability and death benefits.

Employees who participate in the Defined Benefit Plan may also participate in the Optional Retirement Savings Plan (ORSP). The ORSP is a voluntary, employee-funded defined contribution plan. Employees may contribute up to 4% of their base pay and receive a 100% match from the System. The ORSP is administered by TIAA-CREF.

The Defined Benefit Plan funds benefit payments and related costs from assets invested in a diversified portfolio of investments following parameters identified in the investment guidelines approved by the Investment Committee of the Board of Trustees. At June 30, 2013 and 2012 the value of these assets was less than the Defined Benefit Plan's actuarial accrued liability. The Defined Benefit Plan is a separate trust; therefore, its assets and liabilities are not included in the accompanying financial statements. The actuarial accrued liability is a standardized measure representing the actuarial present value of credited projected pension benefits, adjusted for the effects of projected salary increases and any step-rate benefits estimated to be payable in the future, as a result of employee service rendered to date.

An actuarial valuation was performed as of July 1, 2013. The following methods and assumptions were used for those valuations:

Actuarial cost method	Projected Unit Credit
Amortization method	10-year open period level dollar
Asset Valuation method	5-year smoothing of differences between actual and expected returns

Actuarial Assumptions:

Investment rate of return/discount rate	7.25%
Projected salary increases	3.5%
Mortality rates – Healthy participants	As prescribed under §430(h)(3)(A) of the Internal Revenue Code using 2013 static tables with separate mortality rates for annuitants and nonannuitants
Mortality rates – Disabled participants	Disabled tables prescribed for 412(l) purposes under Revenue Ruling 96-7

As of July 1, 2013, the most recent actuarial valuation, the actuarial accrued liability for benefits was $45,132 and the actuarial value of assets was $38,139 resulting in an unfunded actuarial accrued liability (UAAL) of $6,993 which results in a funded ratio of 84.5%. The covered payroll (annual payroll of active employees covered by the plan) was $692 and the ratio of the UAAL to the covered payroll was 1010.5%. The schedule of funding progress, presented as required supplementary information following the notes to the financial statements, presents information about whether the actuarial plan assets are increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

Funding of Basic and Defined Benefit Plans

While the Basic Plan and Defined Benefit Plan are administratively separate, they are both part of the Retirement Plan for Classified Employees and are covered by the same plan document. In accordance with Section 414(k) of the Internal Revenue Code, the System may elect to fund employer contributions to the Basic Plan and ORSP from any excess assets in the Defined Benefit Plan, subject to certain limitations.

The NPO balance of the Defined Benefit Plan at transition was zero, since all actuarially determined required contributions were made by the System prior to that date. Annual required contributions and other metrics, shown in the following table, accordingly reflect the funded status of the Defined Benefit Plan, as well as expected benefits attributable to the Basic Plan and ORSP.

Three-year trend information through June 30, 2013, including changes in the NPO, was as follows:

Fiscal Year Ended June 30	(a) Annual Required Contribution (ARC)	(b) Interest on NPO	(c) ARC Adjustment	(d) (a)+(b)-(c) Annual Pension Cost (APC)	(e) Employer Contributions Made	(f) (e)/(d) Percentage of APC Contributed	(g) (d)-(e) Change in NPO	Ending NPO Balance
2013	$ 377	$ 74	$ 146	$ 305	$ -	0%	$ 305	$ 1,323
2012	$ 377	$ 50	$ 99	$ 328	$ -	0%	$ 328	$ 1,018
2011	$ 674	$ 2	$ 3	$ 673	$ -	0%	$ 673	$ 690

As of June 30, 2013 and 2012 the NPO is included in the accompanying Statement of Net Position as part of the noncurrent portion of accrued liabilities.

14. POSTEMPLOYMENT HEALTH PLAN

The System follows GASB Statement No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, which requires the System to account for other postemployment benefits (OPEB), primarily health care, on an accrual basis. The effect is the recognition of an actuarially required contribution as an expense on the statement of revenues, expenses, and changes in net position when future retirees earn their postemployment benefits, rather than when they use their postemployment benefit. To the extent that an entity does not fund its actuarially required contribution, a postemployment benefit liability is recognized in the statement of net position over time.

The System provides postemployment health insurance to retirees meeting certain age and years-of-service requirements. The Postemployment Health Plan is a defined benefit, single employer plan, administered by the University of Maine System. The Plan does not produce standalone financial statements. The Board of Trustees has authority to establish and amend provisions under the Plan. As of June 30, 2013 and 2012, there were approximately 6,957 persons covered by the System's postemployment health plan.

The System subsidizes the cost of insurance for the following persons:

- Retired from the System with at least 10 years of full-time regular service and have reached age 65 or
- Former employees approved for long-term disability benefits regardless of age or service.

The subsidy for those meeting the above requirements is 100% of the cost for the retiree and 50% of the costs for eligible dependents; however, the subsidy for employees who retire on or after July 1, 2010 is reduced to 93%, 90%, or 85%, of the individual health premium, depending on the

employee's years of University service. As of June 30, 2013 and 2012, there were approximately 1,830 and 1,896 persons, respectively, receiving a subsidy from the System.

With certain restrictions, dependents are eligible to continue coverage at the 50% rate after the death of a retiree meeting the above criteria.

Persons who are retired from the System with at least 10 years of full-time regular service and have reached age 55 but are under age 65 may also participate in the System's health insurance plan after retirement; however, they must pay 100% of the cost for themselves and their dependents. As of June 30, 2013 and 2012, there were 77 and 96 persons, respectively, participating in the plan but not receiving a subsidy from the System.

Health insurance coverage for eligible persons is provided as part of the System's regular health insurance contract. Persons eligible for a subsidy from the System may not convert their benefit into an in-lieu of payment to secure coverage under independent plans.

The System's annual OPEB cost (expense) is calculated based on the annual required contribution of the employer (ARC), an amount actuarially determined in accordance with the parameters of GASB Statement 45. The ARC represents a level of funding that, if paid on an ongoing basis is projected to cover normal cost each year and amortize any unfunded actuarial liabilities (or funding excess) over a period not to exceed thirty years.

The following table shows the components of the System's annual OPEB cost for the year, the amount actually contributed to the plan, and the changes in the net OPEB obligation for the years June 30:

Fiscal Year Ended June 30	(a) Annual Required Contribution (ARC)	(b) Interest on OPEB Obligation	(c) ARC Adjust-ment	(d) (a)+(b)-(c) Annual OPEB Cost	(e) Employer Contributions Made	(f) (e)/(d) Percentage of Annual OPEB Cost Contributed	(g) (d)-(e) Change in Net OPEB Obligation	Net OPEB Obligation Balance
2013	$ 16,327	$ -	$ -	$ 16,327	$ 20,835	128%	$ (4,508)	$ 2,509
2012	$ 15,262	$ -	$ -	$ 15,262	$ 11,583	76%	$ 3,679	$ 7,017
2011	$ 19,741	$ -	$ -	$ 19,741	$ 21,990	111%	$ (2,249)	$ 3,338

Employer contributions made are comprised of the following:

	Pay-as-you-go	(OPEB) Irrevocable Trust	Total Employer Contributions
2013	$ 7,817	$ 13,018	$ 20,835
2012	$ 8,245	$ 3,338	$ 11,583
2011	$ 8,402	$ 13,588	$ 21,990

The net OPEB obligation of $2,509 and $7,017 at June 30, 2013 and 2012, respectively, is recorded as an accrued liability in the accompanying Statements of Net Position. The System is committed to funding the net obligation balance by December 31 on an annual basis. The Other Post Employment Benefits Trust pools its assets with the System's endowment investments and follows the investment guidelines described in Note 3 of these financial statements.

As of July 1, 2012, the most recent actuarial valuation, the actuarial accrued liability for benefits was $169,921 and the actuarial value of assets was $52,800 resulting in UAAL of $117,121 which results in a funded ratio of 31%. The covered payroll (annual payroll of active employees covered by the plan) was $234,720 and the ratio of the UAAL to the covered payroll was 49.9%.

Actuarial valuation of an ongoing plan involves estimates of the value of reported amounts and assumptions about the probability of occurrences of events far into the future. Examples include assumptions about future employment, mortality, and the health care cost trend. Amounts determined regarding the funded status of the plan and the annual required contributions of the employer are subject to continual revision as the actual results are compared with past expectation and new estimates are made about the future. The schedule of funding progress, presented as required supplementary information following the notes to the financial statements, presents information about whether the actuarial plan assets are increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

Projections of benefits for financial reporting purposes are based on the substantive plan (the plan as understood by the employer and plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefits costs between employer

and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce the effects of short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

In the July 1, 2012 actuarial valuations, the projected unit credit actuarial cost method was used. The actuarial assumptions included an 8.25% investment rate of return/discount rate (net of administrative expenses), which is the rate of the expected long-term investment returns on plan assets calculated based on the funded level of the plan at the valuation date, and an annual health care cost trend rate of 4% initially, increasing to an ultimate rate of 5% after six years. The actuarial value of assets is based on their fair value at July 1, 2012. After the Trust has 5 years in which it has been in existence, the actuarial value of assets will be determined using techniques that spread the effects of short-term volatility in the market value of investments over a five-year period. The UAAL is being amortized on a level dollar basis over an open thirty year period.

15. COMPONENT UNITS

The System is supported in part by several foundations and alumni associations that raise funds on the System's behalf. The System determined that one of those entities, the University of Maine Foundation ("the Foundation"), meets the criteria set forth under GASB Statement No. 61 for inclusion as a discretely presented component unit of the System. The System determined that a component unit discretely presented as of and for the year ended June 30, 2012 does not meet the criteria under GASB Statement No. 61 for inclusion as a component unit, and as a result, the beginning net assets for fiscal year ended June 30, 2012 were reduced by $18,813. Additionally, as of and for the year ended June 30, 2012, total assets and total net assets were reduced by $18,034 and the change in net assets increased by $779.

The Foundation is a legally separate, tax-exempt organization, which acts primarily as a fund-raising organization to supplement the resources that are available to the System in support of its programs. The Board of Directors of the Foundation is self-perpetuating and independent of the System's Board of Trustees. Although the System does not control the timing or amount of receipts from the Foundation, the Foundation holds and invests resources almost entirely for the System's benefit (specifically the University of Maine); the System is entitled to access a majority of the economic resources held; and the economic resources held are "significant to the System" based on a 5% of net position threshold. The Foundation has accordingly been discretely presented as a component unit of the System in the accompanying financial statements as of and for the years ended June 30, 2013 and 2012, and is reported in separate financial statements because of the difference in its reporting model.

The Foundation is a private, not-for-profit organization that reports its financial results under Financial Accounting Standards Board standards. As such, certain revenue recognition criteria and presentation features are different from GASB revenue recognition criteria and presentation features. No modifications have been made to the component unit's financial information in the System's financial reporting entity for these differences.

During the years ended June 30, 2013 and 2012, the Foundation distributed $5,388 and $6,785, respectively, to the System for both restricted and unrestricted purposes. Complete financial statements for the Foundation can be obtained from the Foundation's office at Two Alumni Place, Orono, ME 04469-5792.

University of Maine System
Required Supplemental Information – Retirement Plans
Schedules of Funding Progress and Employers' Contributions
Year ended June 30, 2013
(Unaudited)
($ in thousands)

Actuarial valuation (date as of July 1)	Actuarial value of assets (a)	Actuarial accrued liability (AAL) (b)	Unfunded AAL (UAAL) (b-a)	Funded ratio (a/b)	Covered payroll (c)	UAAL as a percentage of covered payroll (b-a)/(c)
Incentive Retirement Plan for Faculty and Professionals						
2013	$ —	$ 28,900	$ 28,900	—	$ 109,224	26.5%
2011	$ —	$ 27,120	$ 27,120	—	$ 119,334	22.7%
2009	$ —	$ 25,460	$ 25,460	—	$ 133,609	19.1%
Defined Benefit Retirement Plan for Classified Staff						
2013	$ 38,139	$ 45,132	$ 6,993	84.5%	$ 692	1010.5%
2011	$ 47,658	$ 49,214	$ 1,556	96.8%	$ 1,420	109.6%
2009	$ 44,477	$ 47,380	$ 2,903	93.9%	$ 3,340	86.9%
Postemployment Health Plan						
2013	$ 52,800	$ 169,921	$ 117,121	31.1%	$ 234,720	49.9%
2011	$ 50,170	$ 160,336	$ 110,166	31.3%	$ 232,737	47.3%
2010	$ 29,940	$ 179,513	$ 149,573	16.7%	$ 221,170	67.6%

Schedules of Employers' Contributions

Year ended June 30	Annual required contribution	Percentage contributed	Annual required contribution	Percentage contributed
	Incentive Retirement Plan for Faculty and Professionals		**Retirement Plan for Classified Staff**	
2013	$ 3,387	51%	$ 377	—
2012	$ 3,387	38%	$ 377	—
2011	$ 3,235	51%	$ 674	—

Year Ended June 30, 2013

Functions/Programs	Expenses	Charges for Services	Program Investment Income	Operating Grants/ Contributions	Capital Grants/ Contributions	Net (Expense) Revenue
University of Maine System	$ 676,481	$ 299,106	$ 8,380	$ 177,154	$ 8,106	$(183,735)

General Revenues:	
Unrestricted interest and investment earnings	9,586
Additions to endowments - gifts	1,452
State of Maine noncapital appropriation	194,417
State of Maine capital appropriation	6,144
Total Revenues and Extraordinary Items	211,599
Change in Net Position	27,864
Net Position, Beginning of Year	825,343
Net Position, End of Year	$ 853,207

Year Ended June 30, 2012

Functions/Programs	Expenses	Charges for Services	Program Investment Loss	Operating Grants/ Contributions	Capital Grants/ Contributions	Net (Expense) Revenue
University of Maine System	$ 680,454	$ 298,517	$ (6,419)	$ 195,379	$ 19,695	$(173,282)

General Revenues:	
Unrestricted interest and investment earnings	4,596
Additions to endowments - gifts	3,582
State of Maine noncapital appropriation	197,656
State of Maine capital appropriation	5,450
Loss on disposal of capital assets	(34)
Total Revenues and Extraordinary Items	211,250
Change in Net Position	37,968
Net Position, Beginning of Year	787,375
Net Position, End of Year	$ 825,343

**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED
IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

The Board of Trustees
University of Maine System

We have audited, in accordance with U.S. generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the accompanying financial statements of the business-type activities and the discretely presented component unit of University of Maine System (the System) as of and for the years ended June 30, 2013 and 2012, and the related notes to the financial statements, which collectively comprise the System's basic financial statements, and have issued our report thereon dated November 18, 2013.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the System's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the System's internal control. Accordingly, we do not express an opinion on the effectiveness of the System's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the System's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the System's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards.*

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the System's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the System's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Berry Dunn McNeil & Parker, LLC

Bangor, Maine
November 18, 2013

Appendix E: Workroom Exhibits

Standard ONE: *Mission and Purpose*
1.1   UMPI Mission and Vision
1.2   Strategic Planning Committee Membership
1.3   Strategic Planning Process

Standard TWO: *Planning & Evaluation*
2.1   Summary of Strategic Plan for Chancellor
2.2   2008—2013 Strategic Plan
2.3   Final New Challenges, New Directions (NCND) Plan
2.4   AFUM—Associated Faculties of the University of Maine System
2.5   UMPSA—Universities of Maine Professional Staff Association
2.6   COLT—Associated C.O.L.T. Staff of the Universities of Maine
2.7   TEAMSTERS—Service & Maintenance Teamsters Local Union #340
2.8   PATFA—Maine Part-Time Faculty Association
2.9   Report from Academic Affairs
2.10   UMPI Marketing Survey Results
2.11   Strategic Plan Report
2.12   UMPI College Portrait (HTML)
2.13   UMPI Program Review Procedures
2.14   Science Program Review
2.15   English Program Review
2.16   History Program Review
2.17   Fine Art Program Review
2.18   Program Review of BIO and ESS External Reviewer
2.19   Program Review of ENG External Reviewer
2.20   Program Review of HTY External Reviewer
2.21   Davis Foundation Grant Proposal

Standard THREE: *Organization & Governance*
3.1   Policy Manual - Board of Trustees By-Laws
3.2   Board of Visitors By-Laws
3.3   University Senate Constitution
3.4   Student Senate Constitution
3.5   Academic and Student Affairs Committee
3.6   Finance/Facilities/Technology Committee
3.7   Tobacco Policy

Standard FOUR: *The Academic Program*
4.1   2008—2013 Strategic Plan (See 2.2)
4.2   OpenU Purpose & Policies
4.3   Sample OpenU
4.4   Course Selection Form
4.5   Course Catalogue
4.6   Arts & Sciences Course Objectives

Standard FIVE: *Faculty*

Standard SIX: *Students*

Standard SEVEN: *Library & other Information Resources*

Standard EIGHT—*Physical & Technological Resources*

Standard NINE: *Financial Resources*

9.4   FY14 Operating Budget
9.5   Outcomes Based Funding Model
9.6   University Affiliated Fundraising, Annual Report of Gifts 6/30/2013
9.7   UMS Policies and Procedures Manual Website (HTML)
9.8   UMS Administrative Practice Letters Website (HTML)

Standard TEN: *Public Disclosure*
10.1   UMPI Website (HTML)
10.2   MaineStreet Portal Website (HTML)
10.3   Course Catalogue
10.4   www.cappex.com Website (HTML)
10.5   www.umpi.edu/wind/live (Wind Turbine Website--HTML)
10.6   www.learn.maine.edu (University College Website—HTML)
10.7   http://www.umpi.edu/admissions/transfer-students/faq (NEASC Accreditation
        Status-HTML)
10.8   www.projectonstudentdebt.org (HTML)
10.9   www.maine.edu/system/oft/annualfinancialreports.php (Audited Financial Reports--
HTML)

Standard ELEVEN: *Integrity*
11.1   Course Catalogue (see 4.5)
11.2   Student Code of Conduct (see 6.9)
11.3   Board of Trustees Policy
11.4   Statement of Policy Governing Patents and Copyrights
11.5   AFUM Contract (see 2.5)
11.6   PATFA Contract (see 2.8)
11.7   UMS Charter
11.8   Affirmative Action Plan
11.9   General Education Essential Learning Outcomes 2012 (see 4.18)
11.10   Project Compass Report—Year 3
11.11   Project Compass Report—Year 4
11.12   Project Compass Mini Grant Application form